

**New York State
Department of Environmental Conservation**

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

SFI 2015-2019 Standards and Rules®, Section 2, Forest Management

Surveillance Audit



NSF International

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NSF Forestry Program Audit Report

A. Certificate Holder

New York State Department of Environmental Conservation

NSF Customer Number

6L741

Contact Information (Name, Title, Phone & Email)

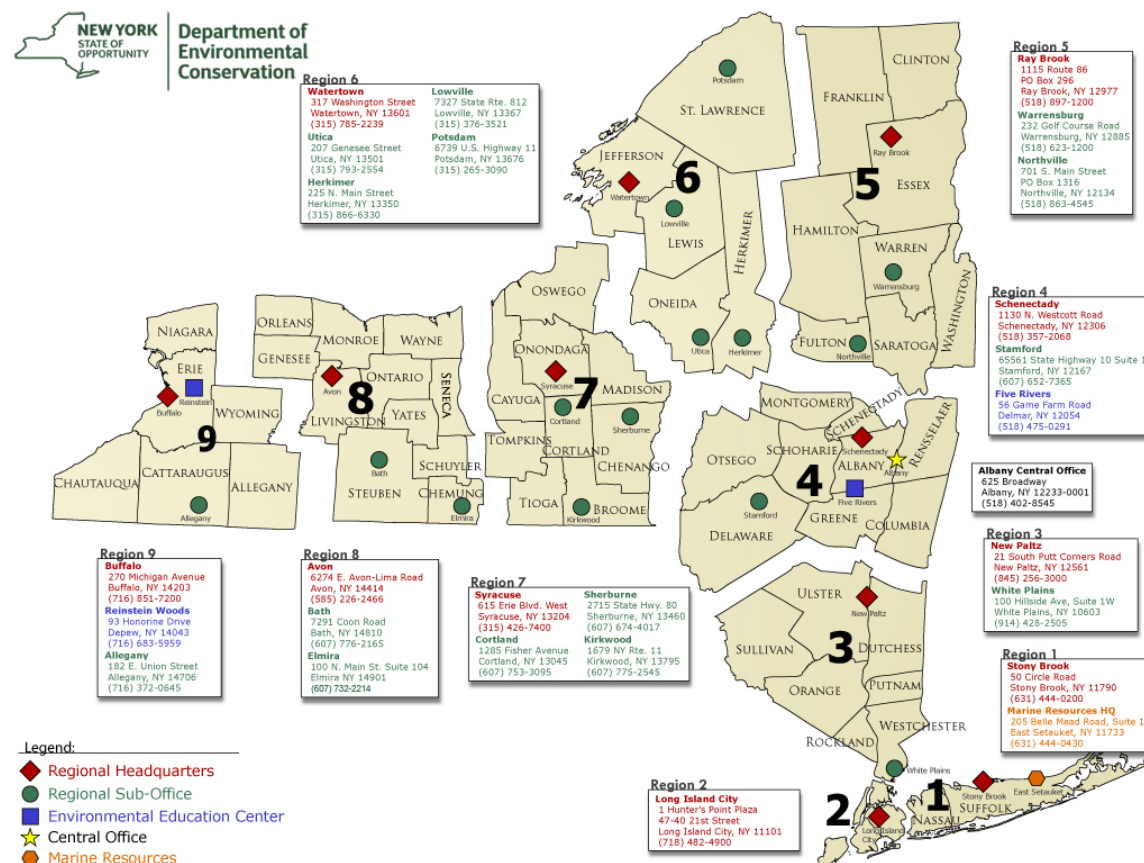
Josh Borst, Forester 2, Bureau of Forest Resource Management
P: (518) 473-9209 | F: (518) 402-9028 | joshua.borst@dec.ny.gov

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 number is NSF-SFI-FM-6L741.

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, Sr. Lead Auditor

Audit Date(s) (If multiple locations were audited, indicate the date of each site visit)

Albany – Main Office: 9/11/18

Regions- 6 & 7: 9/12/18

Region- 5: 9/13/18

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

Personnel changes within the organization

E. Audit Results

☐ No nonconformities or opportunities for improvement were identified.

☒ There was/were 2 opportunity(ies) for improvement identified.

2.1.1: Opportunity to improve this process between Albany and Regions as it relates to field staff understanding what other options or alternatives available for acquiring and planting planned seedling stock.

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 and auditing Albany activities as it relates to various process and capture that information in the internal audits by meeting the multi-site requirements.

☒ There was/were 1 minor nonconformity(ies) identified.

13.1.2: the permit terms requiring 48 hours' notice to designated NYDEC staff is not always followed, nor is the failure to notify enforced by staff.

☐ There was/were 0 major nonconformity(ies) identified.

Issues identified at previous audits reviewed for continued conformance.

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

Verified that the BMP field inspection forms were modified to capture status of NY Logger training for the loggers and contract provisions language has been modified and in reviews at Albany. Forester's field files did have this documented information showing status of logger training or that they rechecked during the active period of the contact. NSF auditor checked for full implementation, and verified that the process is now effective. NSF SFI auditor closed the minor nonconformance.

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

Verified that the BMP field inspection forms were modified to capture status not only NY Logger training for the loggers but other BMP attributes. Reviewed several revised BMP inspection forms. Observed good monitoring of overall BMPs in active and recently closed sales visited in the field in different two regions. NSF auditor checked for full implementation, and verified that the process is now effective. NSF SFI auditor closed the minor nonconformance.

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

- understand and respect traditional forest-related knowledge;
- identify and protect spiritually, historically, or culturally important sites;
- 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
- respond to Indigenous Peoples' inquiries and concerns received.

Auditors reviewed the documents provided. Interviews with staff confirmed new procedures were understood and being implemented at the field level. Interviewed new UMP coordinator who serves as initial point of contact identified by NYDEC for field staff as first point of contact (POC) for pursuing Native American consultations. Confirmed several examples of contacts already made by local UMP planners for this purpose. POC then confirms with NYDEC staff Indian Affairs Coordinator for additional guidance, as needed. Evidence for full implementation was given for 2 UMPs during the 2018 audit, the Salmon River and Draft Onondaga UMP. Although the NYDEC is

still working out details for a simple checklist to assist UMP planners, the new procedures were distributed, and the immediate implementation of the new procedures is sufficient. NSF auditor checked for full implementation, and verified that the process is now effective. NSF SFI auditor closed the minor nonconformance.

☒ Yes ☐ No ☐ N/A (not using)

All logos and/or labels, including ANSI, ANAB, SFI, PEFC, ATFS, etc., are utilized correctly in accordance with NSF SOP 14680 and SOP 4876. If answering "No", a finding of nonconformity should be issued.

For Recertification Audits:

Auditors are required to review the reports from all audits in the current certification period, starting with the certification or recertification audit and including all surveillance or other audits. The auditor shall consider the performance of the program over the cycle through a review of internal audits, management reviews, corrective actions, continual improvement, and NSF audit findings, to determine if there is evidence of:

- An effective interaction between all parts of the program and its overall effectiveness?
- An overall effectiveness of the system in its entirety in light of internal and external changes?
- A demonstrated commitment by top management to maintain the effectiveness and improvement of the system to enhance overall performance?
- Continual improvement over the cycle?
- The program contributing to the achievement of the client's policy and objectives, and the intended results?
- Repeated audit findings during the audit cycle that would indicate systemic issues?

Answer: N/A: Surveillance

F. Appendices

[Appendix 1:](#) Audit Notification Letter & Agenda

SFI Forest Management and SFI Multi-Site Checklists

[Appendix 2:](#) Field Notes

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

[Appendix 4:](#) Meeting Attendance



Appendix 1

Audit Notification Letter

August 17, 2018

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

RE: 1st surveillance SFI 2015-2019 audit

Dear Mr. Borst,

As we discussed, I will be conducting your SFI 1st surveillance audit and dates of September 11-13, 2018 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 SFI 2015-2019 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:

Field Site Selections:

Please provide a list of management activities for the forests being audited. 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 two weeks** before the start of the audits to allow you time to prepare travel route keeping in mind we will be looking at the newly acquired land and adjacent forest management activities on NYDEC Lands.

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

Forest Management Plan for the lands to be audited to SFI

- Status of Inventory and growth and yield modeling
- Approval for logo usage (if used SFI and NSF)
- Internal Audit records
- Management Review records
- Training records (Internal and external)
- Documentation for operation of complaint procedure
- Herbicide and Pesticide listing of chemicals and acreage
- Policies regarding certification, health, and safety (Example Organizations HR Manual)
- Wildlife habitat plans and forestry prescriptions
- BMP monitoring documents
- Contracts with loggers/operators/truck drivers and road building operators
- Listing of State and Regulatory contacts including but not limited to (SIC, I-800- SFI)
- Invoice showing commitment to research and educational opportunities
- Educational Opportunities for Loggers/landowners/community outreach
- Any ILO (International Labor Organization) complaints
- Average sizes of clear cuts

- How many acres planted
- How many acres burned
- Cultural resources listed with SHPO (State Historic Preservation Office)
- Recreational Leases documents/records and monitoring program

Please have this information available for me prior and during the audit

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 number is NSF-SFI-FM-6L741.

SFI Requirements Selected for 2018 Surveillance Audit

The audit will include a sampling of requirements within Objectives 1 through 8 (field-oriented requirements) to the extent they are relevant to the field sites inspected. In addition, the following SFI requirements will be audited (Note: The first number indicates the Objective; for example, 8.1 is under Objective 8.):

1.1.1	Forest management planning at a level appropriate to the size and scale of the operation, including...
1.1.4	Periodic updates of <i>forest inventory</i> and recalculation of planned harvests to account for changes in growth due to <i>productivity</i> increases or decreases, including but not limited to: improved data, <i>long-term</i> drought, fertilization, <i>climate change</i> , changes in forest land ownership and tenure, or <i>forest health</i> .
2.1.1, 2.1.2, 2.2.3, 2.2.4, 2.3.2, 2.4.2	Documented <i>reforestation</i> plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt <i>reforestation</i> , unless delayed for site-specific environmental or <i>forest health</i> considerations or legal requirements, through <i>planting</i> within two years or two <i>planting</i> seasons, or by planned <i>natural regeneration</i> methods within five years. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for <i>planting</i> , <i>direct seeding</i> and <i>natural regeneration</i> Use of pesticides registered for the intended use and applied in accordance with label requirements. The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available Use of erosion control measures to <i>minimize</i> the loss of soil and site <i>productivity</i> Management to promote healthy and productive forest conditions to <i>minimize</i> susceptibility to damaging agents
3.1.1, 3.1.2, 3.1.3, 3.2.3	<i>Program</i> to implement federal, state or provincial water quality <i>best management practices</i> during all phases of management activities. Contract provisions that specify conformance to <i>best management practices</i> . Monitoring of overall <i>best management practices</i> implementation. Document and implement plans to manage and protect rivers, streams, lakes, <i>wetlands</i> , other water bodies and <i>riparian areas</i> .
4.1.5, 4.1.6, 4.2.1, 4.3.1, 4.4.2	<i>Program</i> to address <i>conservation</i> of known sites with viable occurrences of significant species of concern Identification and <i>protection</i> of <i>non-forested wetlands</i> , including bogs, fens and marshes, and <i>vernal pools</i> of ecological significance. <i>Program</i> to protect threatened and endangered species. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for <i>protection</i> . A methodology to incorporate research results and field applications of <i>biodiversity</i> and ecosystem research into forest management decisions.

5.1.2	Incorporation of aesthetic considerations in harvesting, road, landing design and management, and other management activities where visual impacts are a concern.
5.1.1,	Program to address visual quality management
5.2.2,	Documentation through internal records of clearcut size and the process for calculating average size.
5.3.2	Harvest area tracking system to demonstrate conformance with the <i>green-up requirement</i> or alternative methods.
6.1.1	Use of information such as existing natural heritage data, expert advice or stakeholder consultation in identifying or selecting <i>special sites for protection</i> .
7.1.1 B & C	Program or monitoring system to ensure efficient utilization, which may include provisions to ensure:
8.2.1	Program Participants with forest management responsibilities on public lands shall confer with affected Indigenous Peoples with respect to sustainable forest management practices. Indicator:
9.1.2,	System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.
9.1.3,	Demonstration of commitment to legal compliance through <i>available regulatory action information</i> .
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.
10.2.1	Participation, individually and/or through cooperative efforts involving <i>SFI Implementation Committees</i> and/or associations at the national, state, provincial or regional level, in the development or use of some of the following
11.1.2	Assignment and understanding of roles and responsibilities for achieving <i>SFI 2015-2019 Forest Management Standard objectives</i>
11.1.3	Participation of staff education and training sufficient to their roles and responsibilities.
12.1.1	12.3.2. Support, including financial, for efforts of <i>SFI Implementation Committees</i>
13.1	Participate in the development of public land planning and management processes if they have forest management responsibilities on public lands.
14.1	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.
14.2	Report annually to SFI Inc. on their conformance with the SFI 2015-2019 Forest Management Standard.
15.1	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.
	Multisite requirements



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 Hamilton, Coordinator, Office of Statistics and Label Use
Sustainable Forestry Initiative, Inc.
343-803-0590
rachel.hamilton@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 to provide your audit services.

Sincerely,

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

Copy: SCS Beth Jacqmain | FSC Lead Auditor

Audit Agenda

Type of Audit

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

Audit Objectives

Determine if certification should be maintained SFI 2015-2019 Standards and Rules®, Section 2, Forest Management, and section 9 of multi-site requirements.

Schedule

Day/Date	Time	Activity/Process and Location to be Audited	Auditor(s)
Tuesday, 11 September 2018			
	9:00 am – 9:15 am	<p>Opening Meeting: Albany Office: FRS #6L741 Main Office 625 Broadway, 5th Floor Albany, NY 12233-4255 - <i>Brief Opening Meeting</i></p> <p><i>Processes:</i> 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</p> <p>Review NSF SFI Audit Procedures</p> <p>Discuss field site visit provisions and other logistical issues</p> <p>Verify effective implementation of any corrective action plans from the previous audit (3 minor non-conformances Identified):</p> <p>3.1.2 Contract provisions that specify conformance to <i>best management practices</i>.</p> <p>3.1.3 Monitoring of overall <i>best management practices</i> implementation.</p> <p>8.2.1. <i>Program</i> that includes communicating with affected <i>Indigenous Peoples</i> to enable <i>Program Participants</i> to:</p> <ol style="list-style-type: none"> understand and respect traditional forest-related knowledge; identify and protect spiritually, historically, or culturally important sites; 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 respond to Indigenous Peoples' inquiries and concerns received. <p>Check status of the 2 OFI issued</p> <p>Review SFI Survey forms and confirm public report is available to public</p> <p>Review minutes of Management meetings</p> <p>Review Logo or Label use issues</p>	KY
	9:15 am	<p>Interviews; Review key documents that address SFI standard 2015-2019 Standard changes; SFI Program Review – (SFI 2015-2019 Standard):</p> <p>Process of checking on Obj. 1-15 Requirements for the Standard, office review focus</p> <ol style="list-style-type: none"> Management Planning Forest Health and Productivity Protection and Maintenance of Water Resources Conservation and biological diversity 	KY

		5. Management of <i>Visual Quality</i> and Recreational Benefits 7. Efficient Use of Fiber Resources 8. Recognize and Respect Indigenous Peoples' Rights 10. Forestry Research, Science and Technology 11. Training and Education 12. Community Involvement & Landowner Outreach 13. Public Land Management Responsibilities 14. Communications & Public Reporting 15. Management Review & Continual Improvement Multi-site requirements	
	12:00 pm – 12:30 pm	Lunch at the NYDEC office	KY
	1:00 pm – 4:30 pm	Head to Regions 6 & 7 Continued document review and discussions- NSF auditor with NYDEC Main office staff: Possible Process 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). On-site interviews at SUNYESF Syracuse, NY, 4-6 pm. Met with representative and affiliates of the Center for Native Peoples and the Environment to discuss the interactions between the NYDEC and indigenous Peoples.	KY
Wednesday, 12 September 2018			
	8:00 am – 8:30 am	Brief Opening meeting with NYDEC staff Review and finalize field sites Regions 6 & 7 <u>FRS #6L741 R6 address:</u> Lowville NYSDEC 7327 St Rt. 812 Lowville, NY 13367 R7 address: Salmon River Hatchery, Altmar 2133 County Route 22, Altmar, NY 13302	KY
	8:30 am	Head to the field sites for Regions and 6 & 7 NSF auditors both in field with NYDEC Possible Process SFI topics: (forest management activities, wildlife issues, invasive plants, road building/Logger 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). Obj. 1-15 Requirements for the Standard, field review focus 1. Management Planning 2. Forest Health and Productivity 3. Protection and Maintenance of Water Resources 4. Conservation and biological diversity 5. Management of <i>Visual Quality</i> and Recreational Benefits 7. Efficient Use of Fiber Resources 8. Recognize and Respect Indigenous Peoples' Rights 10. Forestry Research, Science and Technology 11. Training and Education 12. Community Involvement & Landowner Outreach 13. Public Land Management Responsibilities 14. Communications & Public Reporting 15. Management Review & Continual Improvement Multi-site requirements	KY

	12:00 pm – 12:30pm	Lunch in the field - all	ALL
	12:30 pm – 4:00 pm	Field sites for Regions and 6 & 7 continues– <i>Main Albany office staff will participate and will be in the field with Auditors and other field NYDEC foresters. Possible SFI processes:</i> 8 Recognize and Respect Indigenous Peoples’ Rights 10 Forestry Research, Science and Technology 12 Community Involvement & Landowner Outreach 13 Public Land Management Responsibilities 14 Communications & Public Reporting 15 Management Review & Continual Improvement	KY
	4:30 pm	Daily debrief with Regions 6 & 7	KY
Thursday, 13 September 2018			
	8:00 am	Brief Opening meeting with NYDEC staff Review and finalize field sites Region 5 Northville <u>FRS #6L741</u> Address: (701 North Main Street, Northville, New York 12134)	KY
	8:30 am	Head to the field sites for Region 5 NSF auditor in field with NYDEC. Possible Process SFI topics: (forest management activities, wildlife issues, invasive plants, road building/Logger 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). Obj. 1-15 Requirements for the Standard, field review focus 1. Management Planning 2. Forest Health and Productivity 3. Protection and Maintenance of Water Resources 4. Conservation and biological diversity 5. Management of <i>Visual Quality</i> and Recreational Benefits 7. Efficient Use of Fiber Resources 8. Recognize and Respect Indigenous Peoples’ Rights 10. Forestry Research, Science and Technology 11. Training and Education 12. Community Involvement & Landowner Outreach 13. Public Land Management Responsibilities 14. Communications & Public Reporting 15. Management Review & Continual Improvement Multi-site requirements	KY
	12:00 pm – 12:30 pm	Lunch in the field	
	12:30 pm	Resume field site visits in Region 5 (Same SFI topics noted for previous regions above will be covered)	KY
	2:00 pm – 3:00 pm	Auditors caucus and follow up any audit trails. Prepare for closing meeting	KY
	3:15 pm – 4:00 pm	Closing with NYDEC in the field	KY
	4:00 pm	Head to Albany and NYDEC port to pick up auditor vehicle	

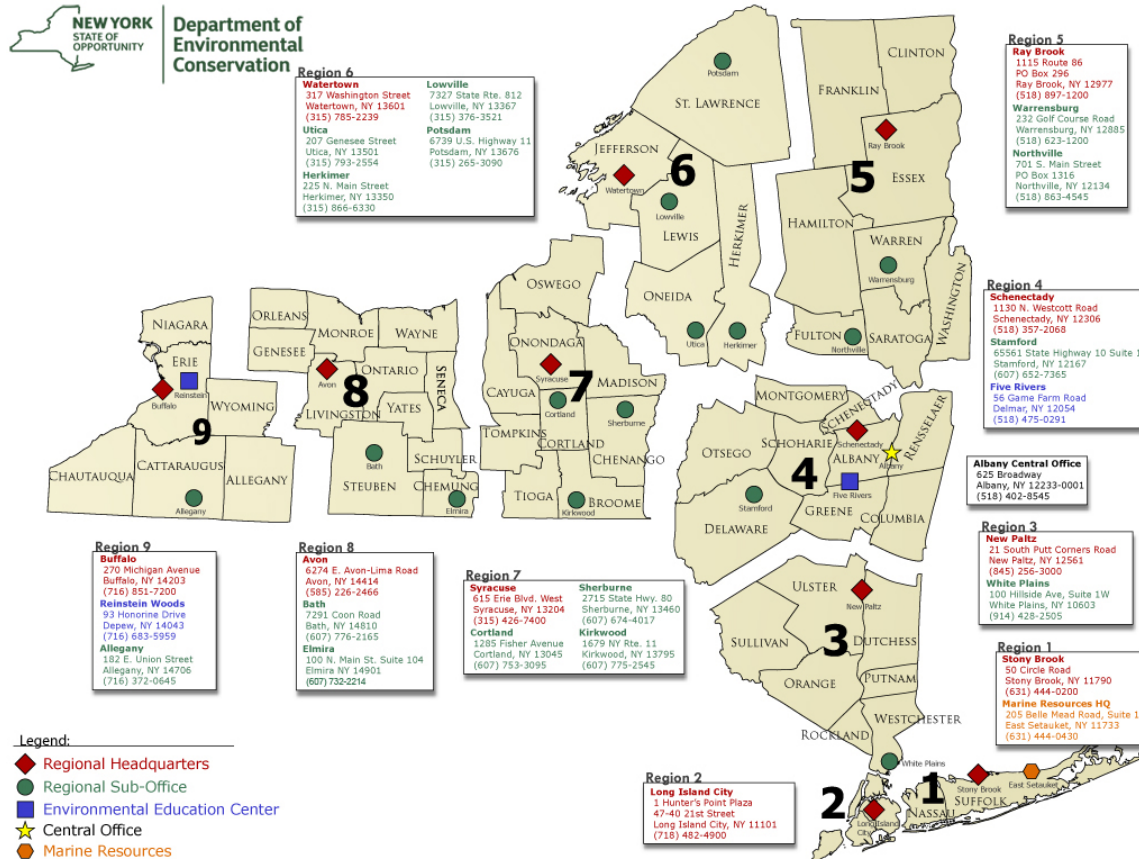
**Audit times approximate and may vary also. Not all SFI indicators will be covered as this is 1st surveillance audit.

Audit logistics

- The auditors will arrange their own lodging in advance. NYDEC will provide letters to get state rates;
- Auditors will coordinate with the NYDEC in advance or the day of a bag lunch each day of the audit;
- Travel to and from field sites will occur in NYDEC vehicle(s) each day during the audit.
- The audit team will have its own transportation from our hotels to the designated office locations.
- Auditors will require safety equipment and personal protective gear as needed.

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.





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 as behind schedule.

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 (Chateaugay SF, Eastern Lake Ontario UMP, Salmon Falls UMP and Winona UMP). Management plans for NYDEC include 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, SFID, 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 Burkhardt, 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."

However, modeling results from the last Periodic Annual Increment (PAI) from 2015 in Region 3 shows stands with negative growth rates. This reflects stands declining in growth rate which may be attributable to mortality events, senescing stands, or other factors that contribute to apparent reductions in productivity. In follow-up interviews with modeling contractors it was determined that methods used to account for ingrowth and mortality in estimated periodic annual increments of stand volume growth or loss are not fully clear. Further, methods to validate quality of forest inventory, which serve as data source for growth, yield, and sustainability modeling are also not fully clear.

Growth levels are estimated to be well above actual and projected harvest volumes. From this, auditors concluded that there is low- to no- risk of over-harvesting on a state-wide or Regional basis. However, it is not clear how DEC is accounting for potential impacts of growth and mortality which may affect desired stocking levels nor is it clear how forest inventory data is being validated for modeling efforts. This will be followed up at 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, SFID, 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:
- Is in compliance with relevant national and regional *policy* and legislation related to land use and forest management; and
 - 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
 - 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: Did not audit in 2018.

- 1.2.2. Where a *Program Participant* intends to convert another *forest cover type*, an assessment considers:
- Productivity* and *stand* quality conditions and impacts which may include social and economic values;
 - 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
 - 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 cover type, site conditions were reviewed and this was in alignment 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. Organizations harvest areas include a prescription for natural regeneration but the organization monitors and if needed planting does occur.

OFI: There is an opportunity to improve this process between Albany and Regions as it relates to field staff understanding of what other options or alternatives are available for acquiring and planting.

- 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 to 5 years before harvest. If there is not enough natural regeneration observed then a plan is formulated with appropriate actions taken with planting of 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: Did not audit in 2018.

- 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: Invasive Glossy buckthorn treatment project within completed harvest area, Oswego 7, Stand A-12.1, A-13. Cooperative project with Oswego SWCD who had funding to treat Glossy buckthorn and inquired with DEC forester for potential treatment sites. DEC suggested this one. SWCD put out the contract, which was reviewed. Terms of contract required approval by DEC forestry staff. Contract provided to auditors. DEC approval required for herbicides applied and contractor terms. Treatment project contract examined.

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: FY 2018 spray site for invasive Japanese knotweed. Visually identified by forester on roadside near recreational trail head. Forester arranged treatment with another forester who is a NY licensed pesticide applicator. Records available and checked on-site including herbicides used. Stem injected used to avoid any drift to non-target species. Monitoring was done by forester and showed over 95% success. Approval for spraying under the General EIS for the Strategic Plan State Forest Management (SPSFM). Chemical use is recorded in an official registry maintained in office and examined by auditors. Registry record provided digitally by forester who applied the chemicals.

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 during previous year (acres)	Reason for use
Accord	glyphosate	63.35	306.7	foliar spray to control undesirable hardwoods, invasives and ferns
Accord XRT II	glyphosate	154.92	1089.887	control striped maple, ironwood, muscledwood, fern, honeysuckle, multiflora rose, and swallow-wort
Arsenal	glyphosate	14.98	429	hack and squirt to control undesirable hardwoods; treatment of japanese knotweed, beech, striped maple, and ironwood
Callisto	Mesotrione	4.15	86	Agriculture
Garlon 4	triclopyr	201.57	185	basal bark spray to control undesirable hardwoods
Garlon 4 Ultra	Triclopyr	52.35	116	Stump treatment to control re-sprouting of various tree species; Foliar spray to control swallowwart
Lannate LV	Nudrin Methomyl	4.88	13	Agriculture
Mad Dog	glyphosate	0.46	4	Foliar spray to control Phragmites and swallowwort
Makaze	Makaze	0.02	2	Agriculture
Metribuzin 75	Metribuzin	3 lbs	4	Agriculture
Microthiol	Disperess Sulfur	7 lbs	7	Agriculture
Oust	glyphosate	9.42	748.7	backpack, and hack and squirt on st. maple, ironwood, muscledwood, and fern
Oust XP	sulfometuron methyl	1.20	181	foilar application for ferns

Outlook	Dimethenamid-P	9.75	101.5	Agriculture
Pathfinder II	Triclopyr	2.50	5	Cut stump treatment on HS, MFR, AB, SM
Polyram	Metiram	6 lbs	4	Agriculture
Quintec	Quinoline	0.43	11	Agriculture
Ranger Pro	imazapyr	38.33	44	hack and squirt application to control beech, ironwood and striped maple
Rodeo	glyphosate	217	1319	stem injection and foliar application on beech, striped maple, ironwood, swallow-wort, muscledwood, honeysuckle, multiflora rose, barberry and ironwood
Rodeo - 2.5% solution	glyphosate	2.50	105	Cut stump treatment in water, to control re-sprout of undesirable species;
RoundUp Pro-Max	glyphosate	0.91	9	foliar spray to control beech, striped maple, honeysuckle, swallowwort, and m.f. rose
RoundupPro	Glyphosate	0.28	12	Treatment of beech
Strategy	Clomazone Ethalfuralin	4.13	11	Agriculture
Tank mix of - 7% Rodeo, 4floz/100 gal Escort XP, and 1% Polaris carried in Thinvert RTU	glyphosate / metsulfuron methyl methyl 2 / isopropylamine salt of imazapyr	19.55	12	Foliar spray to control Knotweed
Vivando	Metrafenone	1.32	11	Agriculture
Wrangler	Imidacloprid	0.31	4.0	Agriculture

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 lists have been posted to In-Site page for reference. See field notes for 2018.

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 lists have been posted to In-Site page for reference. See field notes.

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 including example of monitoring for 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' current certifications as certified applicators. Confirmed documented paper work for a contactor (state trained and certified). Visited several field offices and checked the chemical storage area at Northville.

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. Invasive Glossy buckthorn treatment project within completed harvest area, Oswego 7, Stand A-12.1, A-13. Cooperative project with Oswego SWCD who had funding to treat Glossy buckthorn and inquired with DEC forester for potential treatment sites. DEC suggested this one. SWCD put out the contract, provided and reviewed. Terms of contract required approval by DEC forestry staff. Contract provided to auditors. DEC approval required for herbicides applied and contractor terms. Treatment project contract examined.

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 and 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 installment, or corduroy of 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 at 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 by foresters and contractors 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 are 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 is managing for forest condition and looking to minimize susceptibility to damaging agents. See 2.4.3

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: Pest Control - NYDEC foresters are monitoring for the following:

[Emerald Ash Borer \(EAB\)](#) - The Emerald Ash Borer (EAB) is a non-native insect that attacks all native species of ash trees.

[Gypsy Moth](#) - A non-native insect that, as a caterpillar, eats many different species of tree leaves.

[Hemlock Woolly Adelgid](#) - The Hemlock Woolly Adelgid is an invasive insect species from Asia that preys on hemlock trees by depriving the tree of vital nutrients.

[Spotted Lanternfly](#) - An invasive insect from Asia that feeds on 70 different plant species.

[Tent Caterpillars](#) - Forest Tent Caterpillar (*Malacosoma disstria*) and Eastern Tent Caterpillar (*Malacosoma americanum*).

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 and in most instances they implement BMPs 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 contract and BMP topics such as stump heights were being met or other BMP topics including water bars, or contract required NY trained logger for the life of active contact. Verified that the BMP field inspection forms were modified to capture status of NY Logger training for the loggers and contact provision language has been modified and is reviewed at Albany. Foresters' field files did have this documented information showing status of logger training or that they rechecked during the active period of the contact. BMPs were also being checked per the contact provisions. NSF auditor checked for full implementation, and verified that the process is now effective.

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

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

Audit Notes: Verified that the BMP field inspection forms were modified to capture status not only of NY Logger training for the loggers but other BMP attributes. Reviewed several revised BMP inspection forms. Observed good monitoring of overall BMPs in active and recently closed sales visited in the field in two regions. NSF auditor checked for full implementation, and verified that the process is now effective.

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 where public water supply was protected.

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 (Northeaster 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 included sites where foresters incorporate wildlife habitats such as item recognized on the Natural Heritage data base.

- 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, down woody debris, and den trees were being left and implementing the agency goals.

- 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.

- 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. DEC staff described training they received in using the natural heritage and PROs layers. Forester described process for investigating occurrences:

- Checked for and found occurrence on GIS layer.
- Look up guidance and descriptions.
- Analyzed and evaluated site potential for actual occurrences.

- 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.

- 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 within 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: Did not audit in 2018.

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 are now itemized in an inventory system by 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 hatched 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 exceeds the requirements of this 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: Did not audit 2018.

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 part of SFID at 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. Checked field diary.

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 < 40-acre 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 that included a handicap accessible trail, mountain biking, hiking, a recreational area for horse trails, and winter sports. The NYDEC Division of Land and Forest has established an exemplary recreation program to allow multi-user access, while concurrent traditional forestry operations take place. 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 sites 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 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 makes it challenging for the contractor at times to get full utilization.

FY 18 c. Wood utilization and marketing update, external communication: "Soft wood prospectus for Regions 4 & 7".

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 Indigenous Peoples on any Department decision or action which could foreseeably have Indigenous Peoples' implications. Auditors reviewed the documents provided. Interviews with staff confirmed new procedures were understood and being implemented at the field level. Interviewed new UMP coordinator who serves as initial point of contact identified by NYDEC for field staff as first point of contact (POC) for pursuing Indigenous Peoples' consultations. Confirmed several examples of contacts already made by local UMP planners for this purpose. POC then confirms with NYDEC staff Native American Tribe Coordinator for additional guidance, as needed. Evidence for full implementation was given for 2 UMPs during the 2018 audit, the Salmon River and Draft Onondaga UMP. Although the NYDEC is still working out details for a simple checklist to assist UMP planners, the new procedures were distributed, and the immediate implementation of the new procedures is sufficient. Auditor checked for full implementation, and verified that the process is now effective.

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 a 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 email.

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. Observed field offices visited had Federal, State laws and regulations posted.

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 Northville Office. Chemicals stored with labeling, and SDS. Quarterly master reports track usage to ensure compliance with federal, state and local laws and regulations as it relates to chemical management. Field visits on active harvests confirmed necessary permits.

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 BMPs.

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 office 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 via Emails from NYDEC Aug 3, 2018.

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 R5: Peck Hill State Forest Willie Marsh and UNH Beech 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: Did not audit in 2018.

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: Did not audit in 2018.

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: Confirmed the "Commitment to Forest Certification to the SFI and FSC Forest Management Standards" was posted on In-site in the different regions visited 2018. Interviews revealed that newly hired staff were aware of the state commitment. Commissioner Seggos signed this commitment August 2016 and he is fully supportive of dual certification on State Forests.

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. FY18 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. FY 2018 Field interviews confirmed several foresters actively took the field classes with the NE Silviculture Institute.

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:
- awareness of sustainable forestry principles and the SFI program;
 - best management practices, including streamside management and road construction, maintenance and retirement;
 - reforestation, invasive exotic plants and animals, forest resource conservation, aesthetics and special sites;
 - 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);
 - awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe, The Nature Conservancy, etc.
 - logging safety;
 - 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;
 - transportation issues;
 - business management;
 - public policy and outreach; and
 - 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. Confirmed draft language change FY 2018.

- 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:
- completion of *SFI Implementation Committee* recognized logger training *programs* and meeting continuing education requirements of the training *program*;
 - independent in-the-forest verification of conformance with the logger certification *program* standards;
 - 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*;
 - use of *best management practices* to protect water quality;
 - logging safety;
 - compliance with acceptable *silviculture* and utilization standards;
 - aesthetic management techniques employed where applicable; and
 - 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 and financial support 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 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. Confirmed support of 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: Appropriate contact and implementation of the TRP's with independent collaborators needs to occur in order to prevent unauthorized activities occurring on the Forest Management Units.

NC: It was discovered that the permit terms requiring 48 hours' notice to designated NYDEC staff is not always followed, nor is the failure to notify enforced by staff. At the site "R5: Peck Hill State Forest Willie Marsh and UNH Beech Research TRP", it was found that a cooperating educational institution, for whom a TRP had been issued for research purposes, failed to notify the NYDEC forester before commencing activities which resulted in incorrect trees being impacted, essentially an unauthorized activity occurring on the site. During follow-up interviews with staff, it was determined to be relatively common for this notification requirement to be omitted by permittees, and that there was no enforcement by NYDEC staff when such omissions occur. As a documented requirement within the TRP, lack of compliance with the 48-hour notification constitutes a lack of authorization to conduct work or proceed with activities as specified by the TRP. This requirement for 48 hours' notice was described as supporting public safety goals and ensuring any specific permit conditions that may apply towards preventing unauthorized activities. This does not result in a fundamental failure of forest protection activities which justifies the grading of this finding as a Minor NC.

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 description of the audit process, *objectives* and scope;
 - a description of substitute *indicators*, if any, used in the audit and a rationale for each;
 - the name of *Program Participant* that was audited, including its *SFI* representative;
 - a general description of the *Program Participant's* forestland included in the audit;
 - 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*);
 - the dates the audit was conducted and completed;
 - 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
 - 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 17.

Email dated 9/8/18 from RH at SFI Inc. confirmed NYDEC report was approved Feb 20, 2018.

- 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 2017 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 2018 Statewide Internal Audit Report. Reviewed the detailed internal management review and outcomes of the audit.

The 2018 Bureau of Forest Resource Management Internal Audit (IA) occurred between July 9 - 11, in the Region 7 Sherburne sub-office (Crew 2) and July 16 - 18, in the Region 9 Dunkirk sub-office (Crew 1). IA Crew 1 and Crew 2 audited each Region.

NYDEC Internally audited the Potsdam and Schenectady offices 2017 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 2017-2018 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 2018. There is an opportunity for addressing and auditing Albany activities as it relates to various process in an effort to capture that information in the internal audits by meeting the multi-site requirements.

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 meet the requirements of the SFI Standard. The regions visited in the sampling (Regions 3 & 5 for 2017) and (Regions 7 & 9 for 2018) 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". Confirmed that the organization now considers previous topics and includes in current year review.

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.

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

NYDEC 2018 Audit Field Notes

11 September 2018

Opening Meeting @ Albany Main Office

Discussed following topics:

- HCVF- Natural Heritage
- SFID- GIS attributes:
- Landscape Planning;
- Old Growth;
- Regeneration;
- Clear Cut acreage
- Unit Management Planning- status and updates on the template
- Interviewed Leadership- Management Review and Internal Audits
- Wood Utilization & Marketing status and updates
- Communicating with affected Indigenous Peoples

Reviewed auditing process and status of previous NC and OFI's, discussed schedule of Albany Staff interviews, and confirmed the daily itinerary and safety considerations for the regions to be visited. Discussed HCVF Natural Heritage, SFID- landscape planning status with updates (Cover type emphasis, patch size and rotation ages mapped in GIS) and training. Various other topics include internal/external communications, roles and responsibilities changes - HR possible new hires, status of regeneration & inventory, Old Growth, Unit Management Planning and review. Internal Audits and Management Review covered in the Albany Leadership. Contract language draft changes.

Phone interview while traveling to Region & SUNYESF. Topic: Wood utilization- External communication: "Soft wood prospectus for Regions 4 & 7". This is a pilot program.

On site interviews at SUNYESF Syracuse, NY. Center Native People and Environment and the interactions between the NYDEC and indigenous Peoples. Topics: A joint NYDEC in person meeting with the Native People week of September 18, 2018. Summer intern interviewed was involved in the Unit Management Plan Process. Status of joint efforts and outreach by NY DEC.

12 September 2018

Region 7 Salmon River Fall Unique Area

Temporary Revocable Permit (TRP): Recreation, legal, Indigenous People use UMP, invasive and herbicide application.

Brief opening meeting at the Salmon Fish hatchery, finalize field sites, head to the field.

Field site Salmon River Fall Unique Area- TRP #11128(Technical Rope Rescue and Drive Operations Training) & #10680(Wedding Ceremony) Discussions on the pressure of Recreation use fisheries is an economic drive for the region. Group walked the handicap-accessible (ADA) trails 110 feet water falls- fisheries is very important. High Value Conservation forest (bird's eye primrose and yellow mountain saxifrage). Cultural and historical site: From the Salmon River Fall UMP *"Prior to the arrival of Europeans, the Salmon River Falls was part of lands occupied by the Five Nations of Iroquois Indians. Human habitation of the Salmon River area was mostly seasonal for hunting and fishing purposes. The 110-foot-high Salmon River Falls, located nineteen miles upstream from the mouth of the river where it enters Lake Ontario, was the upstream barrier to fish migration, including native Atlantic salmon. The Onondaga, Oneida, and Cayuga tribes of the Iroquois Nation utilized the falls as fishing grounds where they annually harvested Atlantic salmon."* Discussions occurred on the topic of no management per the Unit Management Plan. Discussions occurred on forest health such as a possible HWA infestation and how future management per the Strategic Plan for state forest management. Observed signage posted for the knot weed spray on the public trail system. Discussions on chemical application on invasive, chemical used, document (Applicator/Technician Pesticide Annual Report) dated 2018, applicators licensure, notification to the public. Applicator-NYDEC Forester. Roundup-Promax sprayed on the knotweed. Forester communicated to us that they checked chemicals used against the internal NYDEC listings for World Health Organization (WHO) type 1A and 1B pesticides and Stockholm Convention on Persistent Organic Pollutants (2001). Collaboration happened this field season between NYDEC Forester and NYDOT road crew to not mow along the ROW where chemical application for invasive species occurred.

DEC staff described training they received in using the natural heritage and PROs layers. Forester described process for investigating occurrences:

- Checked for and found occurrence on GIS layer.
- Look up guidance and descriptions.
- Analyzed and evaluated site potential for actual occurrences.

Consult with Natural Heritage as warranted to confirm or rule out.

Region 7 Salmon River State Forest Oswego RA #8 Contract Active local sale #TX10745

Sale Planning and prescription, BMPs on active harvest, standing residual trees, and recreation

Degraded old agricultural field planted with pine and being shifted to hardwood cover type. Avian potential identified in PROs layer but ruled out because lack of open water required by identified species. Forester created new landing with easier access to southern portion of stand and away from an existing recreational snowmobile trail on north side of sale area. Timber sale contract inspected. Northern hardwood thinning, marked and partially cut. Prescription to remove ash and thin other hardwoods from below. Confirmed effectiveness of sale planning, landing layout and design, administration and contract language. Confirmed BMPs were checked and documented in project field file called "Sale Diary" last entry noted 9/11/2018. Contractor G & C Martin Logging subcontracted to NY logger trained Todd R. Martin Logging. 160 tons of gravel used at the landing. Very limited to no trash and no oil spills observed on active harvest. Unable to interview logger as they were shut down due to heavy rains that occurred on Monday 9/10/18. No issues with stump heights meeting specifications. No damage to standing residual trees and BMPs were being applied by the operator. Approximately 140 acres with the following species to be harvested: White Ash, Red Maple, Black Cherry, Hard Maple, Yellow Birch and Beech. Wood Utilization firewood 466 cords more or less and softwood pulp 35 tons more or less. Discussion occurred on Emerald Ash Borer and Quarantine Notice. Observed the NYDEC signage posted with the FSC and SFI logo being used. No issues noted.

Region 7 Inactive Timber Harvest TX10885

Sale, Landscape Planning, BMP, recently closed harvest 1/10/18.

Discussions occurred in the field on landscape planning as it relates to the reserves and also wildlife habitat topics. Confirmed the foresters checked the Natural Heritage data base and noted in prescription. Water Resources noted: Unclassified Wetland Pond or Lake.

Marked in the summer of 2017. Site was purchased by J.T.L. Forestry LLC. harvested -NY Logger trained. Site was harvested: Red Pine, White Pine and White Ash. Small Patch cut with seed trees. Recent training that NYDEC foresters attended was the North East Silviculture Institute for foresters. No trash or oil spills observed. Stump heights met specifications. Active snowmobile trail adjacent to the site harvested 100-foot buffer. Discussion on Boundary line since this harvest adjacent to private lands. Reviewed documented stand diagnosis and prescription and the stocking guides used.

Region 7 Chateau gay State Forest, Oswego RA #5 TX08852

Closed timber harvest, Water protection (SMZ) cultural resources, Visual, and BMPs.

Closed Timber Harvest #TX08852. Buyer Spink Lumber INC. Contractor is NY Logger trained: Spink Lumber. BMP inspections noted last entry dated 7/23/2013. Site adjoins public water supply thus a HCVF. 50.5 acres (size treated 40.2 acres). UMP called for uneven age management. Treatment Intermediate thinning, conversion to hardwood. Plantation stand of Red Pine. Hardwoods left to convert the stand from Planation to Natural Hardwoods. Off the log landing old house foundation protected by buffer. No signs of trash or oil spills. Walked 3 different old skid trails, no issues. Field Observations noted no damage standing residual trees. Broad-winged hawk sighting led to consultation with Wildlife biologist for protection which was followed up. Walked to the Streamside Management Zone (SMZ) which buffered the water supply and trout habitat. Noted boundary was marked by blue paint and NYDEC sign present. Observed established regeneration with competition from ferns that are established on the site.

Region 7 Sandy Creek State Forest TRP #11083

TRP, Recreation, Herbicide Application.

Glossy buckthorn treatment site. Treatment in 2017 in collaboration with Oswego County Soil and Water Conservation District. Previously Harvested in 2014 Contract #X009288. Confirmed through email the herbicide applicator registration number for Chase Enterprises is #14110. Specimen Label Accord XRT II, and Garlon 4 Ultra- Application Plan 155.8 quarts. 4.1 quarts per acre.

Region 6 Winona State Forest TX100059

Local firewood sale, Sale Planning and prescription, BMPs on closed harvest, inventory, standing residual trees, and climate change.

9-acre firewood sale. Logger: Danny Robbins NY Logger trained. Equipment used cable skidder. Winter Harvest cut in 2016. Foresters used the most current forest inventory dated 2012. Pro layer checked for rare, threatened and endangered species Outcome uneven age management with black cherry and sugar maple. No signs of trash or oil spills. Walked old skid trails, no issues. Field Observations noted no damage with standing residual trees. Discussions occurred on snow depth and planning for various climate changes in the region.

Region 6 Winona State Forest X010751

Sale Planning and prescriptions UMP SMZ protection, management planning.

Confirmed effectiveness of sale planning, landing layout and design, administration and contract language. Trees marked for immediate thinning, even aged management 1/3 of the stand which is 37.7 acres. Observed trees marked for a notable SMZ wetland protection. Discussion occurred about White and Red Pine species. Observed good live crown ratio and spacing criteria for release in the field.

Region 6 Bargy road

Road maintenance (extra random stop).

Observed NYDEC road. Road is graded every spring and sides are mowed by NYDEC crews. This activity is put in a monthly report which is reported to the Region. Confirmed through a NYDEC regional personnel. Observed the road was well graded, cross drain were in place. Side ditching minimally present. Discussion occurred on the PFAR. No issues noted.

Region 6 Frank Fancy

Sale Planning/Prescriptions, Visual Considerations/BMP close out.

120 acres Franks Fancy. 3 different landings noted along primary road. Landing size discussed. Visual considerations were observed 50 Foot no cut buffer established. Close out of BMPs were observed as part of the planning & implementation. BMPs checked no issues.

Region 6 Bargy

Recreation.

Campsite provides winter opportunity for the public. Consistent with the UMP and forest management objective.

Region 6 CCC Camp

Recreation/TRP/UMP.

Consistent with the UMP and forest management objective. Visited, observed old building during the CCC era. Discussions about high multiple use groups for winter recreation from activities-cross country skiing, and snowmobile. Region is in process of coordinating with cultural resources in Albany.

Region 6 recently closed harvest

Regeneration/Recreation/Visual.

Winter Harvest. 11/2/2017. Checked BMP monitoring. Confirmed record in project field folder. G & C Martin: Logging NY trained logger contract 3/16/2018. Red Pine Plantation with good live crown ration. State Wildlife Action Plan reviewed for planning. As part of the logging contract foresters lay out trail extension created to connect to the CCC Camp to help reduction recreational pressures and impacts to the resource. Noted- high basal area completed to described target BA in prescription. Examined Completion Report, Stand Diagnosis and Prescription, Prescription Approval Checklist, PRO layer Map, Bid Solicitation, Summary of Quotation, Sale Contract and Sale Diary.

13 September 2018

Brief opening meeting Northville Office

Reviewed auditing process and selected field sites, made changes to include active harvest, and confirmed the daily itinerary and safety considerations.

Topics covered prior to going into the field: New Foresters show NSF auditor the intra net website. Observed SOP's, Legal, research publications, SFI and FSC training for new staff hired, SFI and FSC commitment letter, and varies SFI topics such as public interests including ATV, Mountain Bikes and other recreation opportunities. Roles and responsibilities changes were discussed - HR possible new hires, and status of regeneration & inventory. Northville office was checked for chemical storage two flammable cabinets (first aid kits, fire extinguishers and spill kits present), PPE, SDS Sheets for chemical management, safety equipment and newly revised Safety Manual was checked.

Peck Hill State Forest Willie Marsh and UNH Beech Research TRP

Research /contract TRP process monitoring /Recreation.

Active TRP with the UNH. NYDEC forester communicated in the field that reporting issue related to notification requirement listed in the TRP was not followed by UNH. They had GPS the wrong trees. NYDEC followed up with the UNH and got trees flagged, marked and understood the research trial being implemented in the field on beech. Observed several trees had core boring samples removed. Research field transect crossed very active ATV/ recreation trail. Discussion on beach bark disease and monitoring processes. Reviewed documented information Letter dated May 2, 2018 from the Natural Resources Supervisor. Reviewed start date of March 1, 2018 and end date of March 1, 2020. TRP contract language checked. See finding in audit report.

Peck Hill State Forest Willie Marsh ADA access

Legal/Recreation/monitoring/ management of contracts.

Crossed primary road- Recreational Educational Kiosk explaining resources, and expectations to the general public. Confirmed log book that tracks recreational use. Numerous entries noted. Walked trail, observed numerous pull outs, trail well maintained. Observed ADA picnic table and primitive restroom facility, walked to newly built board walk. Reviewed document: CONTRACT NO. D010457 dated MARCH 8, 2017. Topics covers USDA Soil Maps, Soil Depth below Water Level Map, Permit 1: Freshwater Wetland under NYSDEC Article 24 003002.2 Permit 2: US Army Corps of Engineers Nationwide General Permit No. 24. Funding project through environmental justice.

Peck Hill state Forest Mountain Bike trail

Planning new bike trail/ Agreements/UMP/ Monitoring.

Reviewed documented information: Stewardship Agreements 17-05-WA-01 and 17-05-NO-01 dated April 20, 2017. Agreement is with the Adirondack Velo Club. Walked the newly constructed mountain bike trail. Discussions occurred on implementation of layout of the Mountain Bike Trail and criteria used. It was observed one portion of the trail is steep. Forester discussed how changes will need to be made to the trail. Trail layout has a visual screen adjacent to a primary road. Forester also communicated that during field monitoring that trail signs went up which were removed and documented in forester project folder. While walking on the bike trail discussion on UMP planning and that this area is projected for a timber harvest. A prescription has not been written as of yet. Auditor checked two NYDEC vehicles for fire extinguishers and first aid kits. No issues.

Fulton County State Forest HCVF Watershed Project

Right of way private landowner/ HCVF/Forest health/Water Shed Protection.

Private road utilized for access to High Conservation Valued Forest (HCVF). Access is gated with double locks. NYDEC and landowner have joint access. No trash noted and boundary lines delineated. Observed signage for both private and state ownership. Observed hardwood buffer parallel to main highway per visual guidelines. Foresters checked the Natural Heritage data base and found no known species. SMZ delineated and the primary watershed is protected in the HCVF. UMP discussions on landowner input. Landowner agreed to foot trail for access. The right of way is legally deeded. Discussed long term monitoring for forest health conditions since HCVF primary species is Hemlock. The software application is expected to be used as part of monitoring. Wildlife topic described this stream as providing great fish habitat. On-going consultation will happen to further communication with affected Indigenous Peoples in the UMP.

Rockwood State Forest

HCVF.

Discussions occurred on drafted conceptual prescription for state forest in Fulton on Lassellsville State Forest. Reviewed documents showing cover types, stand identification. Observed in the field the stand is overly mature for HCVF. Seems overstock and susceptible to insect and disease.

Active Logging

BMP/Interview of Logger/Contract.

Interviewed logging company owner and operator on-site, Sam Beisler. Owned operated company 8 years. Two-man crew using an intern from Paul Smith College through the PSC logger certification training program. Inspected skidder and harvester (in repair). Harvester with no label on extinguisher (expired?). Confirmed PPE, map, contract, spill kit, first aid kit, vehicle hazard kit with up-to-date extinguisher. Discussed contract terms, site adjustments with forester. Forester lays out skid trails and landings. DEC foresters flexible but retain authority to make landing/skid trail relocations. Training through Empire State Forest Products, certified but certificate not available on-site.

Appendix 3

New York State Department of Environmental Conservation (NYDEC) 2018 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 – Judy Drabicki, Acting Deputy Commissioner
 - a. Division of Lands and Forests – Robert Davies, Director
 - i. Bureau of Forest Resource Management – Robert Messenger, Chief
 1. State Forest Section – Barbara Lucas-Wilson, 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 – Judy Drabicki, Acting 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)
 - a. Natural Resources 3-9 – Natural Resource Supervisors
 - i. Bureau of Forest Resource Management
 1. Forestry 3-9 – Regional Forester
 - a) State Land Foresters
(Regional supervision of State Land Foresters)
 - b. Division of Fish and Wildlife – Tony Wilkinson, Director
(State Foresters rely on this Divisions expertise when developing policy and management decisions)
- 3) Public Protection & Regional Affairs – 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 – Doug Bernhard Director
 - i. Bureau of Maintenance & Technical Services – Andrew Niles, 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; monitor the ecological health and function of forestland statewide; provide expertise, assistance and action where invasive species are a threat; 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 September 11-13, 2018 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. 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 third 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. 3 field offices, 1 central office and 18 field sites were visited. The 18 field sites consisting of the 2 active timber harvests (hardwood thinning, hardwood even aged), 1 conversion softwood to hardwood, 1 over story removal, 5 recently closed sale with wildlife considerations, 2 with herbicide application with invasive species, 3 High Conservation Forest, 4 natural regeneration, 5 recreation sites, 4 inactive harvests, 1 cultural resources, and 1 research. There were also several roads, several smaller road-trail/stream crossings with cross drains and BMPs 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.

2018 Audit Findings

NYDEC was found to be in conformance with the standard, as NSF determined that there was one new non-conformance. 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):

- 13.1 Public Land Management Responsibilities: Appropriate contact with local stakeholders over forest management issues through state, provincial, federal or independent collaboration.

Appropriate contact and implementation of the TRP's with independent collaborators needs to occur in order to prevent unauthorized activities occurring on the Forest Management Units. It was discovered that the permit terms requiring 48 hours' notice to designated NYDEC staff is not always followed, nor is the failure to notify enforced by staff. At the site "R5: Peck Hill State Forest Willie Marsh and UNH Beech Research TRP", it was found that a cooperating educational institution, for whom a TRP had been issued for research purposes, failed to notify the NYDEC forester before commencing activities which resulted in incorrect trees being impacted, essentially an unauthorized activity occurring on the site. During follow-up interviews with staff, it was determined to be relatively common for this notification requirement to be omitted by permittees, and that there was no enforcement by NYDEC staff when such omissions occur. As a documented requirement within the TRP, lack of compliance with the 48-hour notification constitutes a lack of authorization to conduct work. or proceed with activities as specified by the TRP. This requirement for 48 hours' notice was described as supporting public safety goals and ensuring any specific permit conditions that may apply towards preventing unauthorized activities. This does not result in a fundamental failure of forest protection activities which justifies the grading of this finding as a Minor CAR.

Opportunity for Improvement(s):

- 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. Opportunity to improve this process between Albany and Regions as it relates to field staff understanding what other options or alternatives available for acquiring and planting planned seedling stock.

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 and auditing Albany activities as it relates to various process and capture that information in the internal audits by meeting the multi-site requirements.

Exceeds the Requirements

- 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 concur traditional forestry operations happen and excellent educational kiosk 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).
- 4.1.5. *Program* to address *conservation* of known sites with viable occurrences of significant species of concern.
The NYDEC Division of Land and Forest has established and incorporated natural heritage and Pro's layers in various aspects of planning and management processes (harvesting, and landing design).

2017 Audit Findings and Resolution

- 3.1.2. Contract provisions that specify conformance to *best management practices*.
There is a system in place to achieve compliance with contract provisions as it relates to best management practices. Full implementation and effectiveness occurred and NSF closed this finding.
- 3.1.3. Monitoring of overall *best management practices* implementation.
There is consistent BMP monitoring checks and final completion reports now occurring to ensure effectiveness of BMP implementation across all regions. Full implementation and effectiveness occurred and NSF closed this finding.
- 8.2.1. *Program* that includes communicating with affected *Indigenous Peoples* to enable *Program Participants* to:
There is a revised process in place with staff members are aware of the requirement to contact Indian Nations directly during the development of Unit Management Plans. Full implementation was given for 2 UMPs during the 2018 audit, the Salmon River and Draft Onondaga UMP.

2017 Opportunities for Improvement Resolved

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

Internal Auditors are starting to consider results of previous findings and incorporating into the next internal audits.

- 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.
All levels of the organization, especially seasonal and temporary staff in each of the regions are now aware of documented commitment.

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 BMPs 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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Appendix 4



Printed: August 29, 2018

NSF Audit Attendance Sheet

Company Name NYDEC
FRS #6L741 Main Office

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

Regions 6 & 7 FRS #6L741 R6 address: Lowville NYSDC 7327 St Rt. 812 Lowville, NY 13367 R7 address: Salmon River Hatchery, Altmar 2133 County Route 22

Location Altmar, NY 13302 & Region 5 Northville FRS #6L741Address: (701 North Main Street, Northville, New York 12134)

Type of Audit Surveillance Audit

Opening Meeting Date 9/11/18

Closing Meeting Date 9/13/18

Name	Position	Attended Opening Meeting?	Attended Closing Meeting?
<i>Kevin Yarker</i>	<i>NSF SFT Lead Auditor</i>	<i>KY</i>	
<i>Beth MacGorman</i>	<i>SCS PSC Lead Auditor</i>	<i>BM</i>	
<i>Maria Lantz</i>	<i>HST Senior Auditor</i>	<i>ML</i>	
<i>Eric Lehner</i>	<i>ASI Tech. Expert</i>	<i>EL</i>	
<i>Rob Messinger</i>	<i>Bureau Chief, NYSDC</i>	<i>RM</i>	
<i>Josh Borst</i>	<i>Forest Cent. Coordinator</i>	<i>JB</i>	
<i>Barbara Lucas-Wilson</i>	<i>State Lands Section Lead</i>	<i>BW</i>	
<i>Jan Crisman</i>	<i>UMP Coordinator</i>	<i>JC</i>	
<i>Peter Innes</i>	<i>Asst Director, Lands + Forests</i>	<i>PI</i>	
<i>Robert Davies</i>	<i>Director, Lands & Forests</i>	<i>RD</i>	
<i>DJ Evans</i>	<i>Director, NY Natural Heritage</i>	<i>DE</i>	
<i>Max Henschell</i>	<i>Ecologist, NY Natural Heritage</i>		
<i>Catherine Landis</i>	<i>Center Native Peoples + Env., SUNYESF</i>		
<i>Neil Patterson JR</i>	<i>SUNYESF CNPE</i>		
<i>Annabel Roberts-Mcmichael</i>	<i>SUNY ESF student</i>		



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NSF Audit Attendance SheetCompany Name NYDECFRS #6L741 Main Office

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

Regions 6 & 7 FRS #6L741 R6 address: Lowville NYSDEC 7327 St Rt. 812 Lowville, NY 13367 R7address: Salmon River Hatchery, Altmar 2133 County Route 22

Location

Altmar, NY 13302 & Region 5 Northville FRS #6L741Address: (701 North Main Street,
Northville, New York 12134)

Type of Audit

Surveillance AuditOpening Meeting Date 9/11/18Closing Meeting Date 9/13/18

Name	Position	Attended Opening Meeting?	Attended Closing Meeting?
Erin Jennings	Forester 1	Y	N
Christine Elliott	Forestry Tech 2	Y	N
Josh Borst	FOR 2	Y	Y
Barbara Lucas-Wilson	For. 3	Y	Y
David S. Smith	Forester 3 - Regional Forester	Y	
ANDY GOENER	FORESTER 3 R7	Y	
Brian Buxlew	Forestry Tech. 1	Y	
Jan Crisman	UMP Coordinator	Y	
ROB MESSENGER	BUREAU CHIEF	Y	
ANDREA MERCURIO	FORESTER I	N	



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Northville, New York 12134)Type of Audit Surveillance AuditOpening Meeting Date 9/11/18Closing Meeting Date 9/13/18

Name	Position	Attended Opening Meeting?	Attended Closing Meeting?
JOHN M. CLAUDY	SUPERVISING FORESTER R7	Y	Y
Travis Pelt	Forest Tech 1	Y	Y
Jake Murphy	Forest tech 1	Y	Y
Tim Day	Forester 1	Y	
Eric Zeller	Asst. Tech. ex.	Y	
Martin Walker	RD Assessor	Y	
Dan Little	Forester 1	Y	
Dan Bishop	Natural Resource Sup. (7)		
Andy Blum	Forester 1	Y	
ANDREA MERMURIO	FORESTER I	N	
Dora Redner	Forest Tech	N	
KEITH EMERSON	FOREST TECH	N	
Scott Glenn	Forest Tech 3	N	



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Type of Audit

Surveillance AuditOpening Meeting Date 9/11/18Closing Meeting Date 9/13/18

Name	Position	Attended Opening Meeting?	Attended Closing Meeting?
Eric Leahu	ASI, Tech. exp.	Y	✓
Marki Valler	Adm. Assistant	Y	✓
Alex McDermott	Forester	Y	✓
Seth Thomas	Forester 1	Y	✓
Rebecca Terry	Forester Trainee	Y	✓
Jan Crisman	UMP Coordinator	Y	✓
Kris Alberga	Regional Forester	Y	✓
Josh Berst	FOR 2	Y	✓
Barbara Lucas-Wilson	FOR 3	Y	✓
BEN THOMAS	FOR 2	Y	✓
Pat Manning	BUREAU CHIEF	Y	✓
Ben Jacaman	SCS Cert. Forester	Y	✓
Mike Mulligan	Forester	Y	✓
Keri Yankus	NSF Lead Auditor		✓
Beth Jacaman	SCS FSC Lead Auditor		✓