

New York State Department of Environmental Conservation

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

6L741

2015-2019 SFI Standard®

Audit Type Surveillance

September 15-17,2015

NSF International Forestry Program Audit Report

A. Program Participant's Name

NYDEC

NSF Customer Number (FRS)

6L741

B. Scope:

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

C. NSF Audit Team

Keri Yankus

D. Audit Dates

September 15-17, 2015

E. Reference Documentation

2015-2019 SFI Standard®

Company Documentation

NYDEC SFI Documentation, Green Certification Website, Timber Revenue and Local Sales Contracts, UMP's.

F. Audit Results: Based on the results of this assessment, the auditor concluded:

- Acceptable with no nonconformities
- Acceptable with transitional nonconformities that must have an approved, implemented corrective action plan in-place by December 31, 2015
- Not acceptable with minor nonconformities and/or one or two major nonconformities – corrective action required.
- Several major nonconformities – certification may be cancelled unless immediate action is taken

G. Changes to Operations or to the Standard

Are there any significant changes in operations, procedures, specifications, facility records, etc., from the previous visit?

- Yes (Please explain:) New Field foresters, new vehicles, A report on Updating of Periodic Annual Increment on State Forest Lands in NY September 10, 2015.
- No

H. Other Issues Reviewed

- Yes No N/A Public report from previous audit(s) is posted on the SFI/SBP/etc. website

Yes No N/A

Relevant logos or labels (SFI, PEFC, etc.) are utilized correctly. NYDEC has them Located in UMP's and wording in Timber sale contracts. Auditor Notes- NYDEC contacted SFI Inc., see below:

From: Dierolf, Rachel [mailto:Rachel.Dierolf@sfiprogram.org]
Sent: Friday, September 25, 2015 12:41 PM
To: Perry, Justin A (DEC)
Subject: RE: NY DEC SFI Certification Number

Hi Justin,

Please use this claim:

SFI Certified Forest Content

This is found in the CoC Standard Part 3.3. The certificate number is good to leave on there.

Best Regards,
Rachel Dierolf, SFI Manager, Office of Label Use and Licensing
PEFC US Governing Body Secretary
tel: 613-274-0124 email: rachel.dierolf@sfiprogram.org
From: Perry, Justin A (DEC) [mailto:justin.perry@dec.ny.gov]
Sent: September-25-15 11:29 AM
To: Dierolf, Rachel
Subject: NY DEC SFI Certification Number

Rachel,

Not sure if you are the correct person to ask, but, we recently were audited by NSF to the 2015-2019 SFI Forest Management Standard and were asked if we are using the correct certification number on our timber sale contract. I was wondering the language below is acceptable to use on our timber sale notices (we are also certified to the FSC standard as well):

*These forest products are being sold from lands which have been certified as being managed using responsible forestry practices and having met the requirements for Forest Certification according to the policies and principles of the Forest Stewardship Council (FSC) and the Sustainable Forestry Initiative® (SFI®). The stumpage advertised above may be considered **FSC 100%** under certificate number **SCS-FM/COC-00104N** and SFI certified under certificate number **NSF-SFIS-61741**.*

Any guidance would be most appreciated.

Sincerely,

Justin A Perry, CF/FCA

Forester 3, Bureau of State Land Management
Division of Lands and Forests

New York State Department of Environmental Conservation

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

P: (518) 402-9436 | F: (518) 402-9028 | justin.perry@dec.ny.gov “

Yes No N/A

Nonconformities from previous audit were reviewed.

If yes, briefly explain: Yes: One minor nonconformance issued in the 2014 audit. Minor nonconformance 2014-01 had a corrective action plan that was approved last year. The plan included effectively implementing a review of the management plan to determine changes need from a site level internal audit findings and report out the overall outcomes in the audit report. The 2015 audit confirmed that the corrective action was implemented and this corrective action was closed.

I. New Corrective Action Requests

Corrective action plan is not required.

Minor Nonconformities: Corrective action plan should be provided within thirty (30) days of this visit. NSF may suspend the certificate if the plan is not received within sixty (60) days. Effectiveness of implementation of corrective actions will be verified during the next regularly scheduled visit.

Major Nonconformities: Corrective action plan should be provided within thirty (30) days of this visit. The auditor will make arrangements to verify the corrective action has been effectively implemented. All major nonconformities must be closed by a special verification audit or by desk review. NSF may suspend the certificate is the corrective action plan is not received within sixty (60) days or if evidence verifying the corrective action is not provided within 120 days.

At the conclusion of this audit, the following number of draft NCs was communicated:

Major: 0 Minor: 0

In addition, 1 opportunity for improvement (OFI) was identified): There is an opportunity to improve “Internal Audit Team Charter and Executive Review Process” for addressing collection, analyzation, and evaluation of corrective actions identified in yearly audits for the multi-site criteria IAF=MDI 4.4.1 d.

Corrective actions and supporting documentation should be submitted to NSF through the NSF Online Customer Portal. For assistance, please contact your NSF Certification Project Manager.

J. Future Audit Schedule

Following the initial registration audit, continued certification requires annual assessments commonly referred to as “Surveillance Audits”. Additionally, at the end of the certification period, maintaining certification requires the completion of a recertification or “Reassessment Audit”. Your next audit is an audit is a surviellance audit, scheduled to be conducted on September26-30, 2016 to the following regions: Regions 3 – New Paltz office, Region 5 – Raybrook office, and Region 6 –Herkimer office.

Appendices

- [Appendix 1:](#) Audit Notification Letter and Audit Schedule
- [Appendix 2:](#) Audit Standard Checklist SFI Forest Management Standard:
- [Appendix 3:](#) SFI Forest Management Public Summary Report
- [Appendix 4:](#) Meeting Attendance
- [Appendix 5:](#) Form for Reporting SFI no changes

Appendix 1 Audit Notification Letter

August 24, 2015

Justin Perry, Forester 3
NYDEC
625 Broadway, 5th Floor
Albany, NY 12233-4255
justin.perry@dec.ny.gov

RE: Annual SFI Surveillance/Upgrade Audit

Dear Mr. Perry,

As we discussed, I will be conducting your SFI Surveillance/Upgrade audit as described in the attached itinerary. Please confirm that this date of Tuesday thru Thursday September 15-17, 2015 is still an appropriate for the audit of your program's continued conformance up date to the SFI 2015-2019 standard. The scope statement (appearing currently on your certificate) is as follows "Forest management for 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 including Objectives 1-7 and 14-20"

If this needs to be changed because of the **new standard** please advise in advance of what the changes will be via email 2 weeks prior to the audit (**September 4, 2015**).

During the SFI part of the audit I will:

1. Review selected components of your SFI program and all of the new requirements of the SFI 2015-2019 Standards. Please assemble office evidence needed to confirm conformance to these requirements;
2. Verify continued effective implementation of corrective action plans from recent previous NSF audits;
3. Review logo and/or label use;
4. Confirm public availability of public reports;
5. Evaluate the effectiveness of planned activities aimed at continual improvement of your SFI Program.
6. Audit the multisite requirements.

Additional Requirements SFI 2015-2019 Standards

The additional requirements associated with the new SFI 2015-2019 Standards are highlighted in the NSF Matrix (checklist which I sent in a separate email). The NSF Lead Auditor will assess conformance with all of these additional requirements and is required to issue "transitional" corrective action requests (CARs) if evidence of conformance is not available. For any such transitional CARs NYDEC must develop a plan for **conforming by December 31, 2015**. The transitional CARs will not be used by NSF to determine overall conformance (continued certification).

Field Site Selections

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

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

Preparing for the Audit

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

- Receiving documents for raw material
- Supplier documentation of certifications
- Approval for logo usage (if used)
- Internal Audit records
- Management Review records
- Multi- site requirements
- Training records
- Documentation for operation of complaint procedure
- Documentation for subcontracting/outsourcing
- Policies regarding certification, health, and safety to the new SFI standard
- Annual SFI report to SFI Inc. and SFI logo approval

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

Role of SFI Inc. Office of Label Use and Licensing

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

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

Agenda for Review

Attached for your review is the tentative agenda that will guide the conduct of the audit. Please contact me via email or phone if you would like to recommend changes or have any questions regarding what is needed for the audit. I look forward to visiting you and evaluating continual improvement in your SFI Program. If you have any questions regarding this planned audit, please contact me.

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

Sincerely,

Keri Yankus

Keri Yankus

Lead Auditor, NSF

603-340-1304

kyankus@nsf-isr.org

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 |

Audit Objectives: Determining if certification should be maintained and upgrade to the 2015-2019 SFI standard.

Schedule: Below the tentative schedule outlines the broad flow of the audit process during this visit. The schedule can be adapted either in advance or on-site to accommodate any special circumstances.

FSC and SFI auditor drive from Vermont and New Hampshire to Albany on Monday, meet NYDEC, leave our vehicles, and travel to Corning, NY arriving around 6:00pm.

Day/Date	Time	Activity/Process to be Audited	Lead Auditor
Tuesday, Sept. 15, 2015	8:00 am	Opening Meeting: <u>Office, NYDEC & Staff</u> Bath office Review changes to the Facility Record Sheet (contact information, billing information, etc.) Discuss changes/improvements to the SFI Program, changes in operations, or changes in scope since the Re-certification audit Review NSF SFI Audit Procedures Discuss field site visit provisions and other logistical issues Verify effective implementation of any corrective action plans from the previous NSF certification audit Review SFI Survey forms and confirm public report is available to public Review minutes of Management meetings Review Logo or Label use issues	Keri Yankus NSF LA SFI, Dave Capen FSC LA & NYDEC and Bath Staff
	8:30 am	(Review key documents that address SFI standard 2015-2019 Standard changes)(Information will be covered office/field) <u>SFI Program Review – (SFI 2015-2019 Standard)Obj. 1-15</u> Requirements for the Standard 1 Biodiversity in Fiber Sourcing 2 Adherence to Best Management Practices 3 Use of Qualified Resource and Qualified Logging Professionals 4 Legal & Regulatory Compliance 5 Forest Research, Science & Technology 6 Training & Education 7 Community Involvement & Landowner Outreach 8 Public Land Management Responsibilities	Keri Yankus NSF LA SFI, Dave Capen FSC LA and NYDEC

		9 Communications & Public Reporting 10 Management Review & Continual Improvement Multi –site requirements.	
Tuesday September 15, 2015	9:00 am-3:30pm	Visit selected Bath field sites (lunch in the field) Drive Tuesday night to stay in Cortland, NY	Keri Yankus NSF LA SFI, Dave Capen FSC LA and NYDEC
Wednesday September 16, 2015	8:00am-3:00 PM	Brief opening meeting. then Visit selected Cortland field sites (lunch in field) Drive Wednesday night to stay in Oneonta, NY	Keri Yankus NSF LA SFI, Dave Capen FSC LA and NYDEC
Thursday September 17, 2015	8:00am-3:00 PM	Brief opening meeting. Visit selected Stamford field sites (lunch in field) Drive Thursday afternoon to the Albany Office	Keri Yankus NSF LA SFI, Dave Capen FSC LA and NYDEC
Thursday September 17, 2015	3:00-3:30 PM	Closing Meeting in the field and head back to Albany port to pick up vehicles	Keri Yankus NSF LA SFI, Dave Capen FSC LA and NYDEC

Appendix 2

NSF International Forestry Program

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

FRS# 6L741, NYDEC

Date of audit(s): July 30-31, 2015

One Auditor on Project: 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 up to date.

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).

Note: Requirement is new or significantly revised. Transition rules apply until December 31, 2015.

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

Audit Notes: Reviewed management plans (UMP's that covered Urbana SF, Cinnamon Lake SF and others such as Schoharie 3 & 7. Management plans for NYDEC include, and have included for several years extensive sections a. thru h. A recent report released "updating of Periodic Annual Increment of State Forest Lands in NY" dated 9/10/2015. 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: UMP's: each region has harvest trends on spreadsheets that track harvests levels.

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: Confirmed in Albany and in the Regional field offices.

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: Organization has a designated field crew in process working on collection of field data to update the forest inventory and recalculation of planned harvests. Inventory is completed prior to the development of the unit management plan. Managers and field staff discussed the emphasis placed on inventory work.

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: This was not audited in 2015.

Performance Measure 1.2

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

Note: Requirement is new or significantly revised. Transition rules apply until December 31, 2015.

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

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

Note: Requirement is new or significantly revised. Transition rules apply until December 31, 2015.

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

Audit Notes: Organization is not converting one forest cover type to another forest cover type, unless it is aligns with the "Strategic Plan for State Forest Management", and the UMP for that forest in each of the regions. In most cases it is reverting pine plantations back to native forest cover types for the region.

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

Note: Requirement is new or significantly revised. Transition rules apply until December 31, 2015.

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

Audit Notes: Considerations in the UMP's.

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.

Note: Requirement is new or significantly revised. Transition rules apply until December 31, 2015.

N/A Conformance Exceeds O.F.I. Major NC Minor NC Transitional 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: Regeneration methods are clearly stated in harvesting prescriptions. Planting is rarely done; natural regeneration is relied on almost exclusively unless there is a regeneration issue. Interviews and field observations helped confirm that for most sites natural regeneration is used, and planting for the others. This designation is made by field foresters and is documented in the stand prescriptions.

- 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: Not audited in 2015

Auditor:

- 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: ONR-“ Plantation Management on State Forests” http://www.dec.ny.gov/docs/lands_forests_pdf/policysplantatic

There are plantations of European Larch, Japanese Larch and Norway Spruce on New York State Forests, and more might be planted. These are not invasive, based on long experience and sustainable forestry practices. Experience over 100+ years, some published research, and the fact that these species do not have invasive properties and have a New York invasive risk assessment of medium or less (page 27 of the Strategic Plan for State Forest Management) are conclusive evidence of conformance. ONR-DLF-1 "Plantation Management on State Forest" document was reviewed.

- 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: Confirmed by field observations that a variety of methods are employed to protect advanced natural regeneration. Examples include planned and widely-spaced skid trails, bumper trees or stumps (trees cut at three to four feet above ground), winter harvesting on snow, directional felling, and selection of harvesting equipment to meet site and stand conditions. Also confirmed that on some sites preplanned skid trails are put into the GPS unit in the felling machine, supplemented by flagging. Noted on field site some significant deer browsing which is impacting the natural regeneration.

- 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: Review of planned and actual herbicide release projects in 2014 showed that the program uses minimal chemicals. Accord 25 acres in rows Lewis Forest.

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

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

Audit Notes: Reviewed Region 3-9 Annual State Forest Herbicide Report 2014, 2015 will be generated at the end of the FY 15. This report contains State Forest, Stand commercial name of pesticide/herbicide, active ingredients, quantity applied size of the area treated and the reason for use.

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: Confirmed the chemicals used were registered for intended use.

Auditor:

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 listing.

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 chemicals to ensure that none are on the banned listing.

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

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

Audit Notes: Chemical treatments are applied only as needed following a request from the forester and a careful review by an experienced, licensed application contractor in the NYDEC or if needed a qualified external contractor is used. Confirmed with interviews in Region 8 & 7 and in the field region 7 where chemical had been applied by the Albany IPM staff. Field observations confirmed generally healthy forests, including regular thinning and regeneration treatments to ensure thrifty stands of trees

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: Did not audit in 2015

- 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: Did not audit in 2015

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: Visited several active harvest during the 2014 audit confirmed training and implementation of practices to protect and maintain forest and soil productivity is occurring see field notes. GIS is used with NRCS soils mapping
-
- 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: Erosion control measures are in place and are generally effective; auditors noted continued attention to the design and placement of water bars by contractors. Although contractor's ability to install effective water bars varies improvements continued to be observed.
- Ongoing significant attention to ensuring that water bars have unrestricted outlets and otherwise meet NY BMP's design specifications has clearly resulted in improvement to results on the ground.
-
- 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. Rutting is controlled and often restricted to modest portions of harvest sites, down woody debris is maintained on site, though often concentrated in the skid trails, and trail spacing and width are planned and controlled to limit the extent of soils/site impacts. Skid trails are planned or minimized, primarily by management of skid trail width and spacing. This is noted in each project folder Revenue or local sales on State Lands.
-
- 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: NYDEC field foresters are well-versed in silviculture and use their knowledge to manage to leave vigorous trees that are well matched to sites and objectives.

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: Visited several active harvests in several different regions. Forester Field notes and/or an excel spreadsheet are being used to track this trends and the organization is having field meeting with contractors as it relates to harvesting and site preparation.

Auditor:

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

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

Audit Notes: Programs for careful planning for road layout, the use of a variety of harvest systems and equipment, the use of un-surfaced (frozen in) winter roads, etc. results in minimized road construction. Observed in the field were improvements were being made on ATV trail for access which was part of the original revenue sale.

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: The Div Division of Forestry employs several forest health specialists, mostly working from their Albany offices: Forest Health: Jerry Carlson, Research Scientist; Jason Denham, Senior Forester; Robert Cole, Senior Forester

Field Notes

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: All for F From the Strategic Plan for State Forest Management: "Recommended actions include: Apply an "early detection, rapid response" approach to new infestations and "slow the spread" strategies to reduce the impact of populations which are not feasible to eradicate.

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: Not audited in 2015

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: Not audited in 2015

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: Trained foresters, trained loggers, harvest supervision, and harvest inspection forms comprise a comprehensive BMP program.

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: Confirmed that the NYDEC Revenue of Sales Contract specifies that all harvesting and road building activities will be designed and implemented in a manner approved by NYDEC and to prevent accelerated erosion.

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

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

Audit Notes: The NSF auditor reviewed a sample of Harvest inspection field notes and or monitoring spread sheets or hand written notes which completed periodically (bi-weekly at a minimum) for every harvest site visited 2015

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: All jobs are planned and supervised by NYDEC foresters, and operated by trained loggers, with a strong emphasis on protecting rivers, streams, lakes, and other water bodies and riparian zones.
The program focuses on complying with NY BMP, which focus on such riparian and wetland features.

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: Confirmed maps show these features and flagging of these features at field harvest sites

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: Foresters carefully review all harvest sites using maps, remote sensing data, and on-the-ground reviews to find sensitive wetlands and ensure that they are protected during harvests. Observed in the field audit portion areas where an exemption were applied for at the Albany Office, (Scholarie 7 X009623 Region 4)

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: Did not audit in 2015

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: Foresters understand the policy for leaving wildlife trees and will mark the wildlife or Den Trees. The NY TNC program for updating the Natural Heritage Database has been completed for all 7 regions under the certificate. This provides a comprehensive identification of ecologically important sites for protection which included species, and ecological community types that might be in the field on a landscape level.

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: Foresters are aware of the benefits of retention of snags and woody debris, and use various sources for guidance. Much of the needed structural retention is found near harvest blocks in SMZ-zoned protection areas or in riparian zones, but within harvest blocks retention, at lower levels, is also seen, consistent with OSHA –safety concerns for harvesting/logger operators.

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: Did not audit in 2015

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: Did not audit in 2015

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: Did not audit in 2015

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: Did not audit in 2015

Auditor:

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: Field visit to an area being managed for invasive, see field notes (Region 7).

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: Did not audit in 2015.

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: Did not audit in 2015

Auditor:

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: Did not audit in 2015

Auditor:

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: Did not audit in 2015

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 (Region 8, 7 & 4).

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: In addition, NYDEC field foresters or inventory foresters log in new special sites which will be recorded, by GPS coordinates, in the GIS database.

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: Did not audit in 2015

Auditor:

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: Did not audit in 2015

Auditor:

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: At many field sites visited it was observed that visual quality management was being applied by field foresters and contractors.

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. "To protect backcountry resources and ensure the quality of visual aesthetics, New York State law requires that all campsites be located at least 150 feet from any water source, trail or road, unless otherwise designated by the Department."

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 in 2015

Auditor:

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: Did not audit in 2015

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: Did not audit in 2015

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: Did not audit in 2015

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: Did not audit in 2015

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: Confirmed continuing emphasis on recreation; DEC Foresters have embraced their dual roles as land managers and as providers of access to and quality recreational opportunities in the public lands. Observed in the field.

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: Still some confusion/ inconsistencies from region to region among field foresters regarding collecting field information on possible/ potential (rock piles/walls) that might be considered a special site for protection by the State Archeologist. 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. Heritage database is also used by foresters while planning harvests.

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 know areas.

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 that utilization is generally good, including efforts to separate saw longs, pulpwood, firewood and chips. 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.

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: 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: **NYSDEC Indian Nations Meeting, April 27-29, 2015**
 SUNY College of Environmental Science & Forestry, Syracuse, NY
 Document Reviewed: Agenda from the April 2015 meeting between the NYSDEC and the Haudenosaunee (Iroquois) Confederacy – (The Haudenosaunee Confederacy includes the five recognized Indian Nations in New York State: Mohawk, Seneca, Oneida, Cayuga and Onodaga).

Performance Measure 8.3

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

Indicators:

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

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

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

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

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

Audit Notes: UMP inputs and process. Policy CP-42 has a process for the organization to respond to *Indigenous Peoples’* inquiries and concerns received.

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: Field foresters have access to relevant laws through the internet.

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: Policies and the use of trained loggers and foresters to plan and implement all activities comprise the system.

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: Field observations confirmed that NYDEC is comply with available regulatory action information.

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: Each Regional office has bulletin boards where written policy or documents are posted associated with EEO, anti-harassment, workers compensation, right to know, wages and OSHA.

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: There were not any ILO-related complaints.

Objective 10 Forestry Research, Science and Technology

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

Performance Measure 10.1

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

Indicators:

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

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

Audit Notes: Research support in the 2014 SFI Reporting Form. TRP spreadsheet for 2014-2015.

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: Did not audit in 2015

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 2015

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: Interviews with Division of Forestry personnel with various duties (field foresters, managers, central office) revealed good understanding.

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: A commitment to the SFI standard is found on the NYDEC Website.

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: Did not audit this in 2015.

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.

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: 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 and BMP training.

Auditor:

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

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

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

Performance Measure 11.2

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

Indicators:

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

- a. awareness of sustainable forestry principles and the SFI program;
- b. best management practices, including streamside management and road construction, maintenance and retirement;
- c. reforestation, invasive exotic plants and animals, forest resource conservation, aesthetics and special sites;

- d. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to protect wildlife habitat (e.g., Forests with Exceptional Conservation Value);
- e. awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe, The Nature Conservancy, etc.
- f. logging safety;
- g. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (CCOHS) regulations, wage and hour rules, and other provincial, state and local employment laws;
- h. transportation issues;
- i. business management;
- j. public policy and outreach; and
- k. awareness of emerging technologies.

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

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

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

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

Audit Notes: Did not audit in 2015

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

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

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

Audit Notes: Justin Perry participates in nearly all of the New York SFI Implementation Committee meetings, which 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: Justin Perry, NYDEC, participates in nearly all of the New York SFI Implementation Committee meetings, which are generally held quarterly.

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: Such support is within the Forestry Division's "Private Land Services Program".

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: Did not audit in 2015

Auditor:

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: Such support is within the Forestry Division's "Private Land Services Program".

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: This support is provided through the NY SFI Implementation Committee

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

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

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

Objective 13 Public Land Management Responsibilities

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

Performance Measure 13.1

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

Indicators:

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

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

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

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

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

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

Objective 14 Communications and Public Reporting

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

Performance Measure 14.1

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

Indicator:

- 14.1.1. The summary audit report submitted by the *Program Participant* (one copy must be in English), shall include, at a minimum,
- a 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: See indicator above

- 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: NYDEC provided an electronic version for 2014; they have not filed as of yet their 2015.

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: There is a formal internal audit program in its second year of implementation. This process is described in the "Internal Audit Team Charter & Process document" (current version July 22, 2014) and was discussed with DEC employees who participated in the most recent round of internal audits including Albany staff. The organization has various annual monitoring programs. Monitoring protocols are wide spread, with focus on timber harvests and treatments.

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: "Bureau of State Land Management 2015 Statewide Internal Audit Executive Summary". Rob Davies, Division Director reviewed last year's summary as confirmed in an interview via phone. Interviews in Albany office and in the field showed that many employees were uncertain about organization changes and or improvements made associated with the internal findings and status updates. See OFI issued in multi-site checklist.

Checklist for Section 9, Appendix 1:

Audits of Multi-Site Organizations **Applicable** **Not Applicable**

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.**

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**

Auditor Instructions:

- 1. This sub-checklist applies to Multi-Site Organizations using the IAF-MD1 eligibility criteria. If not using the approach then the checklist below may be deleted.
- 2. Auditor should delete these instructions when compiling the audit report.

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 which is the central office which has an annual management review of all relative sites in the recent internal audit September 10, 2015.

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 management system to the new standard and the regions visited in the sampling Regions 8, 7 and 4 help the organization meet the requirements of the standard.

Auditor:

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:

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

Yes No N/A

Audit Notes: There is a formal internal audit program described in the Internal Audit Team Charter & Process and was discussed with DEC employees who participated in the most recent round of internal 2015 audits. The organization has various annual monitoring program.

OFI: There is an opportunity to improve "Internal Audit Team Charter and Executive Review Process" for addressing collection, analyzation, and evaluation of corrective actions identified in yearly audits for the multi-site criteria.

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 was determined to meet/not meet the sample selection and intensity criteria for MD1.

Auditor: Albany and several regions are audited each year.

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

5 SAMPLING

5.1 Methodology

5.1.1 The sample should be partly selective based on the factors set out below and partly nonselective, and should result in a representative range of different sites being selected, without excluding the random element of sampling.

5.1.2 At least 25% of the sample should be selected at random.

5.1.3 Taking into account the provisions mentioned below, the remainder should be selected so that the differences among the sites selected over the period of validity of the certificate is as large as possible.

5.2 Size of Sample

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

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

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

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

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

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

5.2.4 The certification body should define within its management system the risk levels of activities as applied above.

5.2.5 The central office shall be audited during every initial certification and recertification audit and at least annually as part of surveillance.

5.2.6 The size or frequency of the sample should be increased where the certification body's risk analysis of the activity covered by the management system subject to certification indicates special circumstances in respect of factors such as:

The size of the sites and number of employees (eg. more than 50 employees on a site);

The complexity or risk level of the activity and of the management system;

Variations in working practices (eg. shift working);

Variations in activities undertaken;

Significance and extent of aspects and associated impacts for environmental management systems (EMS);

Records of complaints and other relevant aspects of corrective and preventive action;

Any multinational aspects; and

Results of internal audits and management review.

- 5.2.7 When the organization has a hierarchical system of branches (e.g. head/central office, national offices, regional offices, local branches), the sampling model for initial audit as defined above applies to each level.

Example:

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

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

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

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

5.3 Audit Times

- 5.3.1 The audit time to spend for each individual site is another important element to consider, and the certification body shall be prepared to justify the time spent on multisite audits in terms of its overall policy for allocation of audit time.
- 5.3.2 The number of man-days per site, including the central office, should be calculated for each site using the most recently published IAF document for the calculation of man-days for the relevant standard.
- 5.3.3 Reductions can be applied to take into account the clauses that are not relevant to the central office and/or the local sites. Reasons for the justification of such reductions shall be recorded by the certification body.
- **Note:** Sites which carry out the most or critical processes are not subject to reductions (clause 3.1.1).
- 5.3.4 The total time expended on initial assessment and surveillance is the total sum of the time spent at each site plus the central office and should never be less than that which would have been calculated for the size and complexity of the operation if all the work had been undertaken at a single site (i.e. with all the employees of the company in the same site).

5.4 Additional Sites

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

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

NYDEC change(s) for FY 2015 and Field Notes:

New operational foresters in certain regions NYDEC starting to hire foresters:

From: Messenger, Robert W (DEC)
Sent: Monday, September 21, 2015 11:29 AM
To: 'Dcapen'; 'Yankus, Keri Lynn'
Cc: Perry, Justin A (DEC)
Subject: NYSDEC State Forest staff

Dave/Keri:

Here is a list of all DEC staff who currently work in some way on certified State Forests in New York. Not all staff devote 100% of their time to State Forests.

Central Office

Rob Davies – State Forester
Rob Messenger – State Lands Bureau Chief
Justin Perry – State Forests Section Chief
Chuck Vandrei – Agency Historic Preservation Officer
Stephanie Schmid – Environmental Program Specialist
Laurie Daly – Agency Program Aide
Sheri Hao – Seasonal Clerk
Linda Kashdan-Schrom – Environmental Analyst

Region 3

Jeff Wiegert – Regional Forester
Jeff Rider – Supervising Forester
Matt Paul – Senior Forester
Troika Newson – Principal Clerk

Region 4

Bill Schongar – Regional Forester
Mike Callan – Supervising Forester
Mike Mulligan – Senior Forester
Louise Potter – Seasonal Forestry Technician
Alexandra Ashby – Seasonal Forestry Technician
Tina Elliott – Seasonal Forestry Technician
Pat McGarry – Seasonal Forestry Technician
Vicki Cross – Senior Forester
Bob Cross – Senior Forester
Jason Drobnack – Senior Forester
Paul Wenner – Senior Forester
Nate Funk – Forester Trainee

Region 5

Kris Alberga – Regional Forester
Rob Daley – Supervising Forester
Ben Thomas – Supervising Forester
Barbara Lucas-Wilson – Supervising Forester
Dan Levy – Senior Forester
Ethan Pierce – Senior Forester
Rich McDermott – Senior Forester
Seth Thomas – Forester Trainee

Cynthia Trummer – Secretary

Region 6

Dave Smith – Regional Forester
Pat Whalen – Supervising Forester
Keith Rivers – Supervising Forester
Scott Healy – Supervising Forester
Tony Sparacino – Forester Trainee
Greg Rutley – Forestry Technician
Andrea Mercurio – Senior Forester
Ed Sykes – Senior Forester
Scott Glenn – Forestry Technician
MaryKay Allen – Senior Forester
Jessica Mosher – Seasonal Forestry Technician

Region 7

Dave Sinclair – Regional Forester
John Clancy – Supervising Forester
Andy Goeller – Supervising Forester
Henry Dedrick – Senior Forester
Mark Zubal – Senior Forester
Matt Swayze – Senior Forester
Dan Little – Forester Trainee
Dan Welc – Forestry Technician
Pat Hazard – Secretary
Andy Blum – Senior Forester
Chris Sprague – Senior Forester
Greg Owens – Senior Forester
Jason Schoellig – Senior Forester
Rob Off – Senior Forester
Erin Jennings – Forester Trainee
Michelle Volk – Forestry Technician
Nick Wilcox – Seasonal Forestry Technician
Susan Morgan – Clerk

Region 8

Mark Gooding – Regional Forester
Joel Fiske – Supervising Forester
Gretchen Cicora – Senior Forester
Tad Norton – Senior Forester
Tom Williams – Seasonal Forestry Technician
Eric Egger – Seasonal Forestry Technician

Region 9

Dave Paradowski – Regional Forester
Ron Abraham – Senior Forester
Nate Tucker – Senior Forester
Dan Shaffer – Senior Forester
Keith Carrow – Senior Forester
Theresa Laurie – Forestry Technician
Rick Silvestro – Forester Trainee
Kaytlynn Walters – Seasonal Forestry Technician

Total – 76
Men – 55
Women – 21

There are at least half a dozen Seasonal Technician vacancies we are in the process of filling, and at least one permanent Forester vacancy being filled as well.

Rob

Robert Messenger

Chief, Bureau of State Land Management
Division of Lands & Forests

Recent Report on Updating of Periodic annual Increment on State Forest Lands in New York dated September 10, 2015

New state field vehicles in field offices and more to be deployed.

NYDEC held Feb 2015 winter state meeting which involved breakout sessions NYDEC policies and employee training

Strategic Plan for State Forest Management (indicators 1.1.1.a, 1.1.2, 1.1.4, 2.2.1, 2.2.2, 2.2.3, 2.2.6, 2.2.8, 2.4.2, 4.1.4, 4.1.8, 4.2.1)

<http://www.dec.ny.gov/lands/64567.html>

Policy ONR-DLF-1 Plantation Management on State Forests (indicators 1.2.2, 2.1.2, 2.1.3, 2.1.5)

http://www.dec.ny.gov/docs/lands_forests_pdf/policysplantation.pdf

Policy ONR-DLF-2 Retention on State Forests (indicators 2.3.4, 4.1.2)

http://www.dec.ny.gov/docs/lands_forests_pdf/policysretention.pdf

Policy ONR-DLF-3 Clearcutting on State Forests (indicators 5.1.1, 5.3.3)

http://www.dec.ny.gov/docs/lands_forests_pdf/policysclearcutting.pdf

Routing Guidelines for Timber Harvesting and TRPs on State Forests (indicators 2.3.5, 2.3.6)

http://www.dec.ny.gov/docs/lands_forests_pdf/routingguidelines.pdf

Unpaved Forest Road Handbook (indicator 2.3.6)

http://www.dec.ny.gov/docs/lands_forests_pdf/sfunpavedroad.pdf

DEC Division of Lands and Forests Management Rules for Establishment of Special Management Zones on State Forests (indicators 3.2.1, 3.2.3, 4.1.6, 6.1.1)

http://www.dec.ny.gov/docs/lands_forests_pdf/sfsmzbuffers.pdf

Policy CP-42 Contact, Cooperation, and Consultation With Indian Nations (indicators 8.1.1, 9.2.1)

http://www.dec.ny.gov/docs/permits_ej_operations_pdf/cp42.pdf

Commitment to SFI standard (indicator 11.1.1)

<http://www.dec.ny.gov/lands/42947.html>

Updated acreage:

Listed below is the acreage as of August 1, 2015 for State Forest: Reforestation Areas, Multiple Use, Trail way, and Unique Area in Region 3 – 9. This acreage would constitute all DEC certified acres:

R3 - 33,132 acres
R4 – 105,218 acres
R5 – 63,173 acres
R6 – 222,735 acres
R7 – 198,939 acres
R8 – 56,243 acres
R9 – 100,738 acres
780,178 acres – Total SFI/FSC certified acres

Region 8:

Field stop # 1 Field notes: TX9553 Ash 4 sale Wagner is the company bid on the local sales 62.1 acres northern timber harvesting last winter harvesting cutting finished up the mud season EAB saw logs. Field prescription was modified from OSR to ASH removal. Field monitoring form reviewed for BMP monitoring programs 8-21-14 thru 9-22-14 road work at the gate. Prescriptions approximate 50 % basal area removal of ash for (EAB) post-harvest to deal with multi flora rose – known area for deer browsing on the harvest previously prescription was an even aged management – Urbana State forest boundary lines are marks on the site Wagner forester were asked by the NYDEC forester to come back to scatter material back into the woods at the landing. Wagner forester was also asked to come back and deal with stump height in the forest. Install water bars on the access road to the landing of the job. Regeneration of oak was present on the site. Skid trails no issues, standing residual trees no damage on site. This portion of the forest has various recreational uses for hiking and also hunting. Excluded from harvest area was a white stand. Field forester's awareness of climate change, no stream crossing on this site. Data layers in GIS identified, no unique features in the area. Emerald Ash borer legal requirements changed in the NYDEC contracts. Verified in the contract, No issues for documents or in the field.

Stop #2 Birds Eye Hallow County Park (State co-operation recreation site). Located in Birds Eye State Forest. New ADA walkway were installed on site, educational sign present. Recreational opportunities include the following: fishing Pier can also be used for hunting for birds. NYDEC coordinated a significant goose management program.

Stop #3 Cinnamon State Forest Contract # X009777 100 acres multiple field stops at this location:

H-3 Schuyler County1: recently 5 acre block Red Pine over story. Recently finished harvest. There is one landing. Wood utilization occurring on the landing. Several spots of leaky oil on site and not noted in the foresters BMP monitoring site inspection forms. Row thinning, stump height low to the ground. Only issue was the leaky oil on landing.

Stop: # 4 J-2 – Steuben County Walked down the skid trails which was also a designated winter snow mobile trails, upgrades will be occurring on the site for the road since it is part of the forestry operations(logger is using it as a skid trail). NYDEC Ownership is marked with signage and blue paint adjacent to private property. One stream crossing (pole forward) recently installed – logger took a couple of passes over the intermittent stream crossing. NYDEC forester communicated to the logger /contractor to install hay bales to prevent mud over the sides into the streams. Soil movement (minimal has occur on the primary skid trails) rutting guidelines were reviewed in the field. Contractor interviewed is Homer Logger owner/operator of the company was NY Trained Logger certification. Spill kit in truck per the interview. Awareness of NY State BMP manual and the need for water bars installation if it gets to wet or if the company has to shut down and come back in the spring time to finish harvesting operations. Verified the NYDEC Field foresters monitoring field site visits documented records: 7/30/15 3B Timber sub-contractor agreement, 8/20/15 orange flagging 2 mark the back of the stand of the block in H-3. Active and interviewed the owner/operator/logger on site. No issues.

Stop #5 H-I Norway spruce stand which was marked with row thinning's but has not been harvested yet. Walked down a pre-existing haul road gated and also marked with assessable signage for multi-use recreational purposes. Logger went off the designated haul road, damaged the culvert for cross drain, and the NYDEC sign post was damaged. NYDEC field forester was documenting issues and was going to speak to the contractor again during the audit process. Issue of the culvert and damage to the NYDEC educational sign and post.

Stop # 6: Japanese Knot wood control: Forks Road (Town Road) Invert is the chemical applied with a back pack sprayer. The chemical was applied three times, in three years, early in the growing season. Forester in the Bath office is an approved certified licensed applicator of chemicals. In the field interviews confirmed no notification made to the public.

Region 7:

Stop # 1 Block 1 (24 Ac) Tompkins #1 (Danby SF) Notice of Sale Contract Number X008700: Logger TB was certified in PA and got NY Logger training. Forest Type: Northern Hardwood-Hemlock (species composition (hemlock (27%), red maple (16%), Sugar maple (15%), red oak (13%) white ash(12%), white oak (5%), white pine(4%), black cherry(3%), chestnut oak(2%) and other species. Soils noted: well drained Bath and Valois; UMP is Rapid Waters, UMP direction un-even aged high canopy. Water on site spring seep, perennial stream and intermittent streams. Species of concern noted, recreation is the Finger Lakes trail a 25 foot no cut buffer will be left along the trail, no archeology or special sites noted. Field auditors with NYDEC personnel walked down recently closed steep skid trails, multiple water bars in place, landing clear of debris and several pole forwards, several wildlife or Den trees and some ash to meet the NYDEC retention standards marked with blue paint in the field and noted. Reviewed the electronic BMP monitoring form dates of field inspection 12/3/14 thru 9/10/2015- noted as a positive practice. This is a newly established electronic spreadsheet used which links BMP monitoring to the contract, prescription and the UMP. This information is housed in a shared folder so any NYDEC employee in the region can access to check on the status of the harvest. NY Logger trained. NYDEC inspecting field foresters noted on 9/8/2015 they met with the logger, Bill, to look at rerouting a couple of skid trails of the southern section of Block #3. One area observed in the field audit: Where the logger re-routed the skid trail, they didn't extend the water bars but currently no issue of soil movement.

Recent Research occurring in this region 7: (TRP) Yellow Barn – Cornell has a site for nonnative worms and the impact on soil structure. Kyle Hill with even aged and uneven age management jointly with Ralph Nyland. Cornell has Bear study with multiple NYDEC regions with bait canisters to check status of bear populations.

Stop#2 Contract No: TX09858 local sale Danbury State Forest-UMP Rapid Waters block B size treated 65 acres, a one year extension was granted for the contract. Tompkins #1 (Danby State Forest). Small harvested patch cuts, to regenerate about 11 acres into early successional habitat and establish access lanes. Finger Lakes trails goes through the operational area, visual concerns was high consideration with recreation trail contractor is expected to pull any tops at least 25 feet back from the trail head winter harvest to protect regeneration, old homestead site, no skid trails near or run through this area or the known stone walls on site. Species Red Pine, White Ash and misc. Hardwood. No issues.

Stop#3 Contract No: X008969 Tompkins #1(Danby S.F.) Stand D-4 UMP Rapid Waters 23 acres. Patch cuts to convert back to original Northern Hardwoods. Red Pine mainly planted in 1955. Outside the patch cut harvested areas, honeysuckle and American beech pose the threat to the stand and is recommended mechanical or chemical treatment is current prescription. Reviewed the recently released electronic BMP monitoring form/spreadsheet 8/7/15 thru 9/15/15 SMZ and BMP are being applied on recent harvest. Educational: External communication by NYDEC sign posted on the treatment block, explains to the public what type of forestry operations are occurring adjacent to the Finger Lakes Trail. No issues.

Stop#4 Contract No: X009399 Tompkins 3(Shindagin State Forest) Stand A 23 28 acres, Forest Type: Oak UMP: Rapid Waters, Prescription: Retain white oak and eastern white pine. This is a high recreation area, designated bike trail. Special SMZ applied on site there will be no harvesting of trees on yellow 7 bike trail. Restricted ATV access. No skidding on trails. Reviewed BMP electronic spreadsheet. 6/29/15 thru 8/25/15. Issue noted in the BMP form on 8/5/15 where the NYDEC Forester had to have a serious meeting with the logger operator on harvesting trees that were not marked by the NYDEC. No issues.

Stop #5 Unplanned stop. Giant Hogweed: chemical spray control on a designated snow mobile trail. NYDEC Albany staff sprayed the location with back pack sprayers. Reviewed pictures prior to the spray. Auditors and NYDEC staff walked on the spray location and noticed one green Giant Hogweed present. NYDEC will notify the Albany group to inform them the status in the field.

Region 4:

Stop#1Revenue Contract No. X008994- Ovleart Valley Logging , Schoharie County Rossman Hills State Forest salvage harvest from straight line winds, 24 acres, Red Pine sale is complete on 10/22/2014, mechanical processor, high stumps do to the salvage and wind damage. OSR prescription and removal of down or damage trees. BMP applied on skid trails, seeding on the landing, regeneration occurring on site. 2nd route for snowmobile trail. No issues.

Stop#2 Contract No X009623 active harvest Schoharie RA #7(Mallet Pond State Forest) walked through several areas: Block 48 and Block # 52 and the active landing and haul road (white spruce on the ground, multi flora rose(external spray contract for the multi flora rose, Auditors and NYDEC observed the spray lines from the contractor in the field)Red Pine on the round, the active landing had small drops of hydraulic fluid,(not currently noted in NYDEC BMP monitoring paper work) spill kit on landing . Several type #3 exemptions applied through the NYDEC -central office Albany office. Known hits from Natural Heritage database, sensitive areas along the road and harvested block painted and protected. Foundations and stone walls protected on site. Interviewed the sub-contractor TLC, Logger Adam Ricci, who was the sub-contractor to Mike Farley. Confirmed NY Logger Trained TLC #8503 11/20/15(John Miles) Northern Timber Harvesting LLC.

Appendix 3: SFI Forest Management Public Summary Report

SFI Forest Management

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 Justin Perry, 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 a Deputy Commissioner, Assistant Commissioner and 9 Regional Directors.

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

- 1) Office of Natural Resources – Kathleen Moser, Assistant Commissioner
 - a. Division of Lands and Forests – Robert Davies, Director
 - i. Bureau of State Land Management – Robert Messenger, Chief
 1. State Forest Section – Justin Perry, Section Chief
 - a. Green Certification Coordinator – Justin Perry

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

- 2) Office of Natural Resources – Kathleen Moser, Assistant Commissioner
 - a. Division of Lands and Forests – Robert Davies, Director
 - i. Bureau of Real Property – Robert A. Burgher, Superintendent
(Responsible for land acquisition program and conducting land surveys)
 - b. Division of Fish, Wildlife & Marine Resources – Patricia Riexinger, Director
(State Land Foresters rely on this Divisions expertise when developing policy and management decisions on State Forests)
- 3) Office of Regional Affairs & Permitting – Christian Ballantyne, Deputy 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 – Joseph Zeglen, Director
 - i. Forest Rangers by Region
(Responsible for enforcement of the Environmental Conservation Law on State Forests)
- 5) Office of Administration – Jeffrey Stefanko, Deputy Commissioner
 - a. Division of Operations – Mark Malinoski, Director
 - i. Bureau of Maintenance & Technical Services – Roland Ozols, Chief
(Perform construction and maintenance on State Forests as requested by the State Land Foresters and develop policy/technical specifications for bridges, and dams.)

* *“The Division’s other three bureaus manage and protect the 2.7 million acre Adirondack*

Forest Preserve and the 288,000 acre Catskill Forest Preserve; promote good forest stewardship practices among private landowners, communities and the forest industry; and handle all land conveyance transactions for the Department.” Source: DEC Web site

The BSLM has primary responsibility for the management of the resources on State Forests, including the harvesting and sale of State-owned timber. The BSLM manages approximately 789,339 acres of land. Certification pertains to 780,178 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 15-17, 2015 by an audit team headed by Keri Yankus, Lead Auditor and SCS FSC Auditor Dave Capen. 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.

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 initial Surveillance Audit is scheduled for date September 2016.

During the audit NSF reviewed a sample of the written documentation assembled to provide objective evidence of Conformance. NSF also selected field sites for inspection based upon the risk of environmental impact, likelihood of occurrence, special features, and other criteria outlined in the NSF protocols. 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.

Overview of Audit Findings

One minor nonconformance that had been issued in the 2014 audit was reviewed. Minor nonconformance 2014-01 had a corrective action plan that was approved last year. The plan included effectively implementing a review of the management

plan to determine changes needed from a site level internal audit findings and report out the overall outcomes in the audit report. The 2015 audit confirmed that the corrective action was implemented and this corrective action was closed.

NYDEC was found to be in conformance with the standard, as NSF determined that there were no new non-conformances. One opportunity for improvement was 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.

OFI: Multi-site criteria IAF=MDI 4.4.1 d.: There is an opportunity to improve “Internal Audit Team Charter and Executive Review Process” for addressing collection, analyzation, and evaluation of corrective actions identified in yearly audits for the multi-site criteria.

NSF also identified the following areas where forestry practices and operations of NYDEC exceed the basic requirements of the SFI Standard:

2.2.6. Use of *integrated pest management* where feasible

The Forestry Division has exemplary programs to monitor and control forest pests, both on the state forests and within all of the forests in New York.

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

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

General Description of Evidence of Conformity

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

Objective 1 Forest Management Planning

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

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

Objective 2 Forest Health and Productivity

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

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

Objective 3 Protection and Maintenance of Water Resources

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

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

Objective 4 Conservation of Biological Diversity

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

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

Objective 5 Management of Visual Quality and Recreational Benefits

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

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

Objective 6 Protection of Special Sites

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

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

Objective 7 Efficient Use of Fiber Resources

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

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

Objective 8 Recognize and Respect Indigenous Peoples' Rights

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

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

Objective 9 Legal and Regulatory Compliance

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

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

Objective 10 Forestry Research, Science and Technology

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

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

Objective 11 Training and Education

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

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

Objective 12 Community Involvement and Landowner Outreach

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

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

Objective 13 Public Land Management Responsibilities

To participate and implement sustainable forest management on public lands.

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

Objective 14 Communications and Public Reporting

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

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

Objective 15. Management Review and Continual Improvement

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

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

Relevance of Forestry Certification

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

1. Sustainable Forestry

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

2. Forest Productivity and Health

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

3. Protection of Water Resources

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

4. Protection of Biological Diversity

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

5. Aesthetics and Recreation

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

6. Protection of Special Sites

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

7. Responsible Fiber Sourcing Practices in North America

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

8. Legal Compliance

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

9. Research

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

10. Training and Education

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

11. Community Involvement and Social Responsibility

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

12. Transparency

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

13. Continual Improvement

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

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

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

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

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

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Appendix 4



Printed: September 13, 2015

NSF Audit Attendance Sheet

Company Name: NYDEC
 Location (Plant # and/or City & State): NY
 Type of Audit: SFI 2015-2019 SA and upgrade from SFI 2010-2014
 Opening Meeting Date: 9/15/15 Closing Meeting Date: 9/17/15

NAME (Printed)	TITLE/POSITION	OPENING MEETING (Initials)	CLOSING MEETING (Initials)
Keri Yankus	NSF Lead SFI	KRY	KRY
David Lipen	SCS Lead FSC	DL	
Mark Gooding	Regional Forester	MG	
John Gibbs	NRS	JG	
JOEL FISKE	FORESTER 2	JF	
Gretchen Cicora	Forester 1	GC	
BOB MESSENGER	FORESTER 4	BM	
Justin Perry	Forester 3	JP	
Tad Norton	Forester 1	TN	
Eric Egger	Forest Technician	EPE	
Paul D'Amato	Region 8 Director	PD	
Tom Williams	Forest Technician	TEW	

NSF Audit Attendance Sheet

Company Name: NYDEC
 Location (Plant # and/or City & State): NY
 Type of Audit: SFI 2015-2019 SA and upgrade from SFI 2010-2014
 Opening Meeting Date: 9/15/15 Closing Meeting Date: 9/17/15

NAME (Printed)	TITLE/POSITION	OPENING MEETING (Initials)	CLOSING MEETING (Initials)
DAVID SINCLAIR	REGIONAL FORESTER	DMS	
Michelle Volk	Forestry Technician	ML	
Matt Swayze	Forester	MS	
Dan Weil	Forest Technician	DW	
Dan Little	Forester Trainee I	DIL	
Henry Dedrick	Forester 1	HCD	
KEB MESSENGER	FORESTER 4	KEB	
Justin Perry	Forester 3	JAP	
Erin Jennings	Forester Trainee I	EJ	
ROBERT OFF	FORESTER	ROO	
Brian Burlaw	Forestry Technician (seasonal)	BLB	
Nick Wilcox	Forestry Technician I	NMW	
GREG OWENS	FORESTER I	GO	
ANDY GOELLER	SUPERV. FORESTER	AG	
Andy Blum	Forester 1	AB	
Kevin Yankus	NSF	KZY	KZY

NSF Audit Attendance Sheet

Company Name: NYDEC

Location (Plant # and/or City & State): NY

Type of Audit: SFI 2015-2019 SA and upgrade from SFI 2010-2014

Opening Meeting Date: 9/15/15

Closing Meeting Date: 9/17/15

NAME (Printed)	TITLE/POSITION	OPENING MEETING (Initials)	CLOSING MEETING (Initials)
Michael Callan	Forester 2	MC	
Mike Mulligan	Forester 1	MM	
Christine Elliott	Seasonal Forest Tech.	CE	
Louise Potter	Forest Tech	LP	
Alex Ashby	Forest Tech	AA	
Paul Wenner	Forester	PJW	
Josh Benest	Forester 1	JAB	
Patrick McGarry	Seasonal Forest Tech	PM	
Jason Probnack	Forester 1	JP	
VICAR CROSS	FORESTER 1	VC	
Bob Cross	Forester 1	BC	
Bill Schongan	FORESTER 3	BS	
ROB MESSENGER	FORESTER 4	RM	
Justin Perry	Forester 3	JAP	
Peter Innes	Nat. Resource Supervisor	PI	
Kevin Yankel	NSF	KY	KY

Appendix 5

Minimal Changes to the Form for Reporting SFI:

New Scope to the new SFI standard 2015-2019 and new acreage: Certification pertains to 780,178 acres of State Forests in Regions 3-9.