

FOREST MANAGEMENT AND STUMP-TO-FOREST GATE CHAIN-OF-CUSTODY SURVEILLANCE EVALUATION REPORT

State of New York, Bureau of State Land Management

SCS-FM/COC-00104N

State of New York, DEC, Bureau of State Land Management
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CERTIFIED	EXPIRATION
28 January 2018	27 January 2023

DATE OF FIELD EVALUATION
22-24 September 2020
DATE OF REPORT FINALIZATION
18 December 2020

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Foreword

Cycle in annual surveillance evaluations				
<input type="checkbox"/> 1 st annual evaluation	<input type="checkbox"/> 2 nd annual evaluation	<input checked="" type="checkbox"/> 3 rd annual evaluation	<input type="checkbox"/> 4 th annual evaluation	<input type="checkbox"/> Other (expansion of scope, Major CAR audit, special audit, etc.):
Name of Forest Management Enterprise (FME) and abbreviation used in this report:				
New York State (NYS), Department of Environmental Conservation (DEC or NYSDEC), Bureau of Forest Resource Management (BFRM).				

All certificates issued by SCS under the aegis of the Forest Stewardship Council (FSC) require annual evaluations to ascertain ongoing conformance with the requirements and standards of certification. A public summary of the initial evaluation is available on the FSC Certificate Database <http://info.fsc.org/>.

Pursuant to FSC and SCS guidelines, annual / surveillance evaluations are not intended to comprehensively examine the full scope of the certified forest operations, as the cost of a full-scope evaluation would be prohibitive and it is not mandated by FSC evaluation protocols. Rather, annual evaluations are comprised of three main components:

- A focused assessment of the status of any outstanding conditions or Corrective Action Requests (CARs; see discussion in section 4.0 for those CARs and their disposition as a result of this annual evaluation);
- Follow-up inquiry into any issues that may have arisen since the award of certification or prior to this evaluation; and
- As necessary given the breadth of coverage associated with the first two components, an additional focus on selected topics or issues, the selection of which is not known to the certificate holder prior to the evaluation.

Organization of the Report

This report of the results of our evaluation is divided into two sections. Section A provides the public summary and background information that is required by the Forest Stewardship Council. This section is made available to the public and is intended to provide an overview of the evaluation process, the management programs and policies applied to the forest, and the results of the evaluation. Section A will be posted on the FSC Certificate Database (<http://info.fsc.org/>) no less than 90 days after completion of the on-site evaluation. Section B contains more detailed results and information for required FSC record-keeping or the use by the FME.

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SECTION A – PUBLIC SUMMARY

1. General Information

1.1 Evaluation Team

Auditor name:	Evan Poirson	Auditor role:	FSC Lead Auditor
Qualifications:	Evan Poirson has worked in the SCS Forest Management program since 2015. He has been a Lead FSC Forest Management auditor since 2018, and a Lead FSC COC auditor since 2020. Prior to working with SCS, he served as an environmental volunteer in Peace Corps in the Dominican Republic from 2010-2012. In addition to auditing, his duties include managing the administrative and quality-related aspects of forest management operations at SCS headquarters in California. He holds degrees in Biology from Occidental College (B.A., cum laude, 2009) and Environmental Management from Duke University (M.E.M., 2014).		
Auditor name:	Keri Yankus	Auditor role:	FSC Auditor
Qualifications:	Keri Yankus has over 20 plus years of experience in the forestry industry. She has a B.S. in Forest Management and Recreation and Park Management from the University of Maine. She has worked as an employee for the following: US Army Corps of Engineers, MA, West Virginia Division of Forestry, National Park Service (South Dakota and Pennsylvania), Bureau of Land Management (31 States East of MS and Washington D.C.), NRCS (Michigan and Ohio), USDA Wildlife Services and joint with the Marines, Airforce, Navy and Coast Guard, DOD (North Carolina and New Hampshire), US Forest Service in Michigan and West Virginia. She worked for private industry as forester with Weyerhaeuser and Bioforest Technologies in USA and Canada. Keri holds current professional forestry licenses for West Virginia, and North Carolina, and is an SAF Certified Forester and an active SAF member. She is currently active GSD SAF and is serving on the board for NH Project Learning Tree. She has worked for NSF as an auditor since 2000. She also holds her certification as Exemplar Global Lead Auditor. She has conducted numerous EMS, SFI (FM, FS, CS and COC/PEFC), TLMI & ATFS audits.		

1.2 Total Time Spent on Evaluation

A. Number of days spent on-site assessing the applicant:	3
B. Number of auditors participating in on-site evaluation:	2
C. Number of days spent by any technical experts (in addition to amount in line A):	0
D. Additional days spent on preparation, stakeholder consultation, and follow-up:	2
E. Total number of person days used in evaluation:	8

1.3 Standards Used

All standards used are available on the websites of FSC International (www.fsc.org) or SCS Global Services (www.SCSglobalServices.com). All standards are available on request from SCS Global Services via the comment form on our website. When no national standard exists for the country/region, SCS Interim Standards are developed by modifying SCS's Generic Interim Standard to reflect forest management in the region and by incorporating relevant components of any Draft Regional/National Standard and comments from stakeholders. More than one month prior to the start of the field evaluation, SCS Draft Interim Standards are provided to stakeholders identified by FSC International, SCS, forest managers under evaluation,

and the FSC National or Regional Office for comment. SCS's COC indicators for FMEs are based on the most current versions of the FSC Chain of Custody Standard, FSC Standard for Group Entities in Forest Management Groups (FSC-STD-30-005), and FSC Accreditation Requirements.

Standards applicable <i>NOTE: Please include the full standard name and Version number and check all that apply.</i>	<input checked="" type="checkbox"/> Forest Stewardship Standard(s), including version: FSC-US Forest Management, 2010.
	<input checked="" type="checkbox"/> FSC Trademark Standard (FSC-STD-50-001 V2-0)
	<input checked="" type="checkbox"/> SCS COC indicators for FMEs, V8-0
	<input type="checkbox"/> FSC standard for group entities in forest management groups (FSC-STD-30-005), V1-1
	<input type="checkbox"/> Other:

2. Certification Evaluation Process

2.1 Evaluation Itinerary, Activities, and Site Notes

Day/Date	Time	Activity/Process and Location to be Audited
Tuesday, 22 September 2020		
	9:00-9:15 am	<ul style="list-style-type: none"> Opening Meeting: Region 6 (Greenwood Creek SF); Review FSC and SFI Audit Procedures; Discussion of recent jobs in the region; Discussion of field site visit provisions and other logistical issues; Verify effective implementation of any corrective action plans from the previous audit (1 minor non-conformance Demonstrate of commitment to legal compliance through available regulatory action information). Check status 2 OFI issued in 2019.
	9:15am-12:30pm	<ul style="list-style-type: none"> Review of 91-acre Greenwood SF revenue sale (as yet unnamed), including skid trails, trout stream crossing, no-cut buffer and basal area retention at site. Review of maple-basswood RSA forest, including ash, maple, birch, and cherry. Discussion of pesticide/herbicide use and application methodology (hack-and-squirt and cut stump). Discussion of RTE species monitoring and database management, plus Natural Heritage DB ground-truthing. Review of Class C trout stream and construction of arch culvert for protection of same. Discussion of public UMP consultation process, including indigenous (Mohawk tribe) outreach. Discussion of tribal Voluntary Stewardship Agreements (VSA) for basket-making and black ash management Review of regeneration strategies (here, for maple and ash), including forecasted issues with invasive species such as EAB.
	12:30 – 1 pm	<i>Lunch in field</i>

	1-4:30 pm	<ul style="list-style-type: none"> • Region 6 Continued field visits - with NYSDEC Region 6 staff. • Hemlock-oak stand and closed-out job “X010860;” ca. 124 acres on Brasher SF. • Review of landing sites and sizes • Discussion of regeneration strategies (natural vs. planting). • Discussion of strategies for discouragement of illegal ATV use (berm use). • Review of wetland management, boundary demarcations, and crossings (geotextile fabric or corduroy used to minimize damage). • Discussion of leave and seed trees (high-quality oak, hemlock, and maple) and stocking guidelines. • Discussion of local nurseries and provenance of seedlings • Further discussion of RTE species and monitoring requirements, plus related GIS layers • Viewing of water bars and BMPs • Viewing of in-holding and discussion of boundaries and mitigation of boundary violation risks. • Viewing of recreational (hiking/ATV) trail, posted use information • Discussion of archaeological sites, related GIS layers, and preservation measures for same • Discussion of overstory removal for aging pine and openings for maple, plus 10-Year Inventory requirements. • Viewing of HCV site (Indian paintbrush) • Review of pesticide application and applicator licenses • Review of retention policies and overstory removal, plus species diversity enhancement efforts.
Wednesday, 23 September 2020		
	8:00 am-8:30 am	Brief Opening meeting with NYSDEC staff Review and finalize field sites Regions 5 <u>FRS #6L741</u> (See Regional Map attached for addresses)
	8:30am – 9:30am	Review of open 2019 findings with NYSDEC staff (TRP process, NYSDEC Strategic Plan)
	9:30am – 12pm	<p><u>Gulf Unique Area</u></p> <ul style="list-style-type: none"> • Review of gated access • Discussion of pertinent TRPs • Discussion of log landing site (no longer an active timber harvesting site due to budgeting and logistical considerations – site is too remote for feasible timber removal, so area is being managed primarily for recreational purposes) • Discussion of recreational use and access points, plus control of illegal and unauthorized use <p><u>“Civil War Home” ruins site</u></p> <ul style="list-style-type: none"> • Discussion of archaeological site management, database registration, and protection from site-disturbing activities

		<ul style="list-style-type: none"> • Discussion of Indigenous consultation with the local chapter of St. Regis Mohawks and other tribes (Oneida, Onondaga, Tuscarora, Shinnecock) more generally. <p><u>Moon Pond SF</u></p> <ul style="list-style-type: none"> • Discussion of relationship and intersecting management duties of NYSDEC and the Adirondack Park Agency. • Discussion of TRP process, violation of same by local landowner, and ongoing legal issues with neighboring landowner. • Discussion of remediation efforts for above, including restorative efforts undertaken on wetland fill, inappropriate culvert installation, illegal garbage disposal, and rutting issues.
	12:00-12:30pm	<i>Lunch in field</i>
	12:30 – 4:00pm	<p><u>Terry Mountain TRP</u></p> <ul style="list-style-type: none"> • Review of TRP process (in this case, made for road improvements with a one-year validity period). <p><u>Terry Mountain campsite</u></p> <ul style="list-style-type: none"> • Review of Voluntary Stewardship Agreement (VSA), which includes winter road maintenance and other management activities at the campsite. • Further discussion of basket-weaving VSA for black ash, held by indigenous community members.
	4:30 pm	Daily debrief with Region 5 staff
Thursday, 24 September 2020		
	9am – 2pm	<p>Office remote interviews and documentation reviews in Albany.</p> <p>Interviews schedule:</p> <ul style="list-style-type: none"> • 9:00 am: NYSDEC staff re: Indian nations communication and UMPs • 9:45: NYSDEC staff regarding TRPs and the LEAN process • 10:30 NYSDEC Division of Lands and Forests • 11:45: Bureau of Forest Resource Management, Division of Lands and Forests • 1:00: Professor at SUNY College of Environmental Science and Forestry
	2-2:30 pm	Auditors caucus and follow up any audit trails. Prepare for closing meeting
	2:30pm	Closing meeting with Albany staff and Regions 6 & 5 via conference call

2.2 Evaluation of Management Systems

SCS deploys interdisciplinary teams with expertise in forestry, social sciences, natural resource economics, and other relevant fields to assess an FME’s conformance to FSC standards and policies. Evaluation methods include reviewing documents and records, interviewing FME personnel and

contractors, implementing sampling strategies to visit a broad number of forest cover and harvest prescription types, observing implementation of management plans and policies in the field, and collecting and analyzing stakeholder input. When there is more than one team member, each member may review parts of the standards based on their background and expertise. On the final day of an evaluation, team members convene to deliberate the findings of the assessment jointly. This involves an analysis of all relevant field observations, interviews, stakeholder comments, and reviewed documents and records. Where consensus among team members cannot be achieved due to lack of evidence, conflicting evidence or differences of interpretation of the standards, the team is instructed to report these in the certification decision section and/or in observations.

3. Changes in Management Practices

- There were no significant changes in the management and/or harvesting methods that affect the FME’s conformance to the FSC standards and policies.
- Significant changes occurred since the last evaluation that may affect the FME’s conformance to FSC standards and policies (*describe*):

4. Results of Evaluation

4.1 Definitions of Major CARs, Minor CARs and Observations

Major CARs: Major nonconformances, either alone or in combination with nonconformances of all other applicable indicators, result (or are likely to result) in a fundamental failure to achieve the objectives of the relevant FSC Criterion given the uniqueness and fragility of each forest resource. These are corrective actions that must be resolved or closed out before a certificate can be awarded. If Major CARs arise after an operation is certified, the timeframe for correcting these nonconformances is typically shorter than for Minor CARs. Certification is contingent on the certified FME’s response to the CAR within the stipulated time frame.

Minor CARs: These are corrective action requests in response to minor nonconformances, which are typically limited in scale or can be characterized as an unusual lapse in the system. Most Minor CARs are the result of nonconformance at the indicator-level. Corrective actions must be closed out within a specified time period of award of the certificate.

Observations: These are subject areas where the evaluation team concludes that there is conformance, but either future nonconformance may result due to inaction or the FME could achieve exemplary status through further refinement. Action on observations is voluntary and does not affect the maintenance of the certificate. However, observations can become CARs if performance with respect to the indicator(s) triggering the observation falls into nonconformance.

4.2 History of Findings for Certificate Period

FM Principle	Cert/Re-cert Evaluation 2017	1 st Annual Evaluation 2018	2 nd Annual Evaluation 2019	3 rd Annual Evaluation 2020	4 th Annual Evaluation 2021
No findings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

P1		Minor 1.5.a	Minor 1.1.b	Minor 1.1.b (Covid-19 extension)	
P2					
P3					
P4					
P5		Minor 5.1.a Obs 5.1.b Obs 5.6.c	Obs 5.6.c		
P6	Minor 6.5.b OBS 6.5.d				
P7	OBS 7.1.b		Obs 7.2.a	Obs 7.2.a	
P8					
P9					
P10					
COC for FM					
Trademark					
Group	N/A				
Other					

4.3 Existing Corrective Action Requests and Observations

Finding Number: Minor 2019.1	
Select one: <input type="checkbox"/> Major CAR <input checked="" type="checkbox"/> Minor CAR <input type="checkbox"/> Observation	
FMU CAR/OBS issued to (when more than one FMU):	
Deadline	<input type="checkbox"/> Pre-condition to certification/recertification <input type="checkbox"/> 3 months from Issuance of Final Report <input checked="" type="checkbox"/> 12 months or next regularly scheduled audit (surveillance or re-evaluation) <input type="checkbox"/> Observation – response is optional <input type="checkbox"/> Other deadline (specify):
FSC Indicator:	1.1.b To facilitate legal compliance, the forest owner or manager ensures that employees and contractors, commensurate with their responsibilities, are duly informed about applicable laws and regulations.
Non-Conformity (or Background/ Justification in the case of Observations):	
NY State is currently conducting a detailed and comprehensive analysis of the workflows associated with the TRP process. A multi-divisional team was assembled and the comprehensive review started in May 2019. The team assembled includes the support staff person who processes the TRPs and enters into databases; supervisors from Regions 3, 4, 5, 6; FW Supervisors from Region 5/8; Operations staff Region 5; Central Office operations staff (campgrounds); and facilitators for the Lean process being used as the framework for the review project work. The first “kick-off” meeting was June 13, 2019; The “pre-mapping” to identify high level process barriers was June 21, 2019; the team created a process map and identified opportunities for improvement, July 17, 2019; statistical summaries (baseline data) were started and are still underway, early results indicates thousands of TRPs are being done across divisions; workflow analyses are being done now by facilitators. Milestones for the revision process have been	

<p>started by the team.</p> <p>Milestones are being identified based on the following High Level Process Steps:</p> <ol style="list-style-type: none"> 1. (Public) Make inquiry about activity on state land; fill out TRP application; 2. (RO) Receive application; 3. (RO & CO) Review application for completeness and appropriate fee request additional information as needed; 4. (RO) Draft permit and log in to State Forest Inventory Database (L& database); 5. (Regional Land/WL/Fisheries Mgr, NRS) Sign off on draft permit; 6. (RO) Send draft permit package to CO for processing; 7. (CO) Review draft permit package; 8. (CO) Sign off on final permit and return to RO; (RO) Issue permit (TRP). <p>While this process continues the DEC is using interim instructions and language under the “Special Instruction” section of the TRPs, as was confirmed in sampled TRPs during the audit (see Site Notes). The new Internal Audit being done by the DEC included TRPs in their discussions, and supervisors confirmed during interviews some awareness of the interim instructions. However, these was some confusion about how the new revisions would be communicated effectively to all staff involved with TRPs.</p>	
<p>Corrective Action Request (or Observation):</p> <p>To facilitate legal compliance, the forest owner or manager ensures that employees and contractors, commensurate with their responsibilities, are duly informed about applicable laws and regulations, including application of Interim and any future revised TRP policies that apply to DEC lands under scope of the “green certification”.</p>	
<p>FME response <i>(including any evidence submitted)</i></p>	<p>The multi-divisional review process started in June 2019 has been stalled, at this point, due to the COVID pandemic. The review team has met and has developed a number of recommendations that need to be presented to Executive staff for approval, but no definitive time frame has been set yet. A final guidance document was sent to staff in August 2020 specifying under what circumstances 48-hour notification is required prior to a permitted activity taking place.</p>
<p>SCS review</p>	<p>According to a memorandum issued by Division Director Rob Davies on 20 August 2020, the TRP Process is currently undergoing a “mini” lean evaluation to determine where improvements can be made to the TRP process to improve overall efficiency. Until the lean assessment is complete, the memo will serve as interim guidance and identifies a list of six activities that require 48-hour notification prior to commencement:</p> <ul style="list-style-type: none"> ○ Vegetation management ○ Herbicide application ○ Firearms usage ○ Animal eradication ○ Heavy equipment operation ○ Activities which may be of concern to the public (at the professional discretion of regional staff) <p>The 2020 audit team was satisfied to see that progress toward closing this Corrective Action Request has been undertaken. However, due to the 2020 COVID pandemic and the ensuing suspension of the TRP review process, this finding due date is extended as Minor CAR 2020.1 and will be reevaluated during the 2021 annual surveillance audit.</p>

Status of CAR:	<input type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input checked="" type="checkbox"/> <i>Other decision (refer to description above)</i>
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Finding Number: OBS 2019.2	
Select one: <input type="checkbox"/> Major CAR <input type="checkbox"/> Minor CAR <input checked="" type="checkbox"/> Observation	
FMU CAR/OBS issued to (when more than one FMU):	
Deadline	<input type="checkbox"/> Pre-condition to certification/recertification <input type="checkbox"/> 3 months from Issuance of Final Report <input checked="" type="checkbox"/> 12 months or next regularly scheduled audit (surveillance or re-evaluation) <input type="checkbox"/> Observation – response is optional <input type="checkbox"/> Other deadline (specify):
FSC Indicator:	5.6.c. Rates and methods of timber harvest lead to achieving desired conditions and improve or maintain health and quality across the FMU. Overstocked stands and stands that have been depleted or rendered to be below productive potential due to natural events, past management, or lack of management, are returned to desired stocking levels and composition at the earliest practicable time as justified in management objectives.
Non-Conformity (or Background/ Justification in the case of Observations): DEC has consulted with experts on both growth and yield modeling and validation of forest inventory data. These consultations are clarifying needs for data sources and methodology needed for these activities. DEC reports plans to evaluate CFI plot installations and needs and analyze potential programs for growth and yield modeling such as the USFS FVS, as an example. Additionally, DEC is aware of and planning the 5-year PAI (periodic growth update, last done 2015). For additional detail see OBS 2018.4.	
Corrective Action Request (or Observation): NYSDEC should support efforts to understand how rates of timber harvest lead to achieving desired conditions and improving or maintaining health and quality across the FMU. To support validation of forest inventory and modeling, NYSDEC should continue improvements towards understanding needs for CFI plots on state land; possible methods for projecting/modeling growth and yield; and documentation that captures methodology and plans of action for institutional reference.	
FME response (including any evidence submitted)	<p>In exploring our options to address the open observation regarding our inventory system, we have investigated several different avenues at this point. During this exploration we also looked at the USFS FIA data corresponding to our certified acreage again to see if we could glean what we needed out of that as an alternative to the very time consuming and cost-prohibitive option of completely revamping our inventory system. While examining the FIA data we found that the USFS analyzes their inventory data at a 68% confidence interval (CI) and with a sampling intensity of 1 plot per ~ 6,000 acres. The total number of FIA plots we have on our certified acreage is 126 on ~ 797,000 acres, or 1 plot per ~ 6,300 acres. Roughly the same intensity as FIA sampling.</p> <p>Initially, we consulted with a expert of the SUNY College of Environmental Science and Forestry (SUNY ESF) to develop a 90% CI for our data and found that the data</p>

	<p>was not statistically significant at that interval. We then asked SUNY ESF expert to develop a 68% CI for our growth-to-removal data to follow the national standards used by the USFS. The FIA data corresponding to our certified acreage proved to be significantly significant at a 68% CI. Please see the attached document and the correspondence below Dr. "EB" regarding analysis of NY state's FIA data. Additionally, we were planning on updating our Periodic Annual Increment (PAI) calculation to further supplement the FIA data via an internship program with SUNY ESF, however that program was cancelled due to the COVID pandemic. We plan on pursuing this recalculation in 2021.</p>
SCS review	<p>The FSC audit team, through consultation with NYSDEC staff and further conversation with SUNY ESF expert during the 2020 surveillance audit, acknowledges that the FME has made significant strides toward understanding and achieving its desired stocking conditions; these efforts will be further enhanced upon the finalization of the next update to the PAI and planned research endeavors by SUNY ESF, planned for the next couple of years.</p> <p>NYSDEC's desired future condition includes the creation and maintenance of a variety of age and size classes within healthy high-quality stands. Significant early-successional habitat has been created through a variety of silvicultural treatments such as patch cuts and salvage operations. The audit team judges that this Observation may be closed.</p>
Status of CAR:	<p><input checked="" type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input type="checkbox"/> Other decision (refer to description above)</p>

Finding Number: OBS 2019.3	
Select one: <input type="checkbox"/> Major CAR <input type="checkbox"/> Minor CAR <input checked="" type="checkbox"/> Observation	
FMU CAR/OBS issued to (when more than one FMU):	
Deadline	<input type="checkbox"/> Pre-condition to certification/recertification <input type="checkbox"/> 3 months from Issuance of Final Report <input checked="" type="checkbox"/> 12 months or next regularly scheduled audit (surveillance or re-evaluation) <input type="checkbox"/> Observation – response is optional <input type="checkbox"/> Other deadline (specify):
FSC Indicator:	7.2.a The management plan is kept up to date. It is reviewed on an ongoing basis and is updated whenever necessary to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances. At a minimum, a full revision occurs every 10 years.
Non-Conformity (or Background/ Justification in the case of Observations): The DEC has 7 State Forest Regions which work collaboratively with multiple Divisions. Overall, the DEC is in conformance with this indicator. However, interviews during the 2019 audit identified some inconsistencies about how frequently such scientific/technical reviews are done and incorporated into forestry work for implementing forest management plan (SF UMPs).	
Corrective Action Request (or Observation):	

When incorporating new scientific and technical information into technical implementation of new scientific and technical information, the DEC could improve consistency across all SF Regions.	
FME response <i>(including any evidence submitted)</i>	The NYS Natural Heritage Program (NYNHP) currently monitors all of our Special Treatment Areas and Rare Communities located on our certified acreage. In 2017 the Division of Lands and Forests (DLF) entered into an agreement with the NYNHP to monitor all 287 STAs and 50 RCs over a 5-year period as outlined in the attached proposal. Monitoring data and associated information for these areas are entered into NYNHP databases and then summarized and made available via NYNHP data layers using the DEC GIS Data Selector tool. Additionally, quarterly reports are provided to DLF detailing the NYNHP’s actions and findings and are distributed to all regional staff as well as posted on the DLF intranet site. These sites are monitored on a schedule in advance of Unit Management Plans (UMPs) being written to make the most recent data available to staff to incorporate into each UMP. Regional staff are aware of these results and are encouraged to reach out to NYNHP staff directly with any specific inquires related to their particular geographic areas of responsibility. The NYNHP staff also routinely reach out to regional staff when conducting this monitoring to offer an opportunity to ask questions and/or accompany them on site visits. DLF staff review the monitoring results and any management recommendations provided to ensure they are consistent with State Land management policies and compatible with our Forest Certification program prior to finalizing any recommendations.
SCS review	As confirmed via interviews with Rob Messenger and other FME staff on 24 September 2020, the NYSDEC is soon to publish a new version of its Forest Action Plan by 2021. The draft version of the Plan is available for public review at https://www.dec.ny.gov/docs/lands_forests_pdf/nysfap.pdf , and had originally been previewed for publication during 2020. However, due to the 2020 COVID pandemic and the ensuing prolongation of the Plan updates, this finding due date is extended as Observation 2020.2 and will be reevaluated during the 2021 annual surveillance audit.
Status of CAR:	<input type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input checked="" type="checkbox"/> <i>Other decision (refer to description above)</i>

4.4 New Corrective Action Requests and Observations

Finding Number: Minor 2020.1	
Select one: <input type="checkbox"/> Major CAR <input checked="" type="checkbox"/> Minor CAR <input type="checkbox"/> Observation	
Deadline	<input type="checkbox"/> Pre-condition to certification/recertification <input type="checkbox"/> 3 months from Issuance of Final Report <input checked="" type="checkbox"/> 12 months or next regularly scheduled audit (surveillance or re-evaluation) <input type="checkbox"/> Observation – response is optional <input type="checkbox"/> Other deadline (specify):

FSC Indicator:	1.1.b To facilitate legal compliance, the forest owner or manager ensures that employees and contractors, commensurate with their responsibilities, are duly informed about applicable laws and regulations.
<p>Non-Conformity (or Background/ Justification in the case of Observations):</p> <p>2019: NY State is currently conducting a detailed and comprehensive analysis of the workflows associated with the TRP process. A multi-divisional team was assembled and the comprehensive review started in May 2019. The team assembled includes the support staff person who processes the TRPs and enters into databases; supervisors from Regions 3, 4, 5, 6; FW Supervisors from Region 5/8; Operations staff Region 5; Central Office operations staff (campgrounds); and facilitators for the Lean process being used as the framework for the review project work. The first “kick-off” meeting was June 13, 2019; The “pre-mapping” to identify high level process barriers was June 21, 2019; the team created a process map and identified opportunities for improvement, July 17, 2019; statistical summaries (baseline data) were started and are still underway, early results indicates thousands of TRPs are being done across divisions; workflow analyses are being done now by facilitators. Milestones for the revision process have been started by the team.</p> <p>Milestones are being identified based on the following High Level Process Steps:</p> <ol style="list-style-type: none"> 1. (Public) Make inquiry about activity on state land; fill out TRP application; 2. (RO) Receive application; 3. (RO & CO) Review application for completeness and appropriate fee request additional information as needed; 4. (RO) Draft permit and log in to State Forest Inventory Database (L& database); 5. (Regional Land/WL/Fisheries Mgr, NRS) Sign off on draft permit; 6. (RO) Send draft permit package to CO for processing; 7. (CO) Review draft permit package; 8. (CO) Sign off on final permit and return to RO; (RO) Issue permit (TRP). <p>While this process continues the DEC is using interim instructions and language under the “Special Instruction” section of the TRPs, as was confirmed in sampled TRPs during the audit (see Site Notes). The new Internal Audit being done by the DEC included TRPs in their discussions, and supervisors confirmed during interviews some awareness of the interim instructions. However, these was some confusion about how the new revisions would be communicated effectively to all staff involved with TRPs.</p>	
<p>Corrective Action Request (or Observation):</p> <p>To facilitate legal compliance, the forest owner or manager ensures that employees and contractors, commensurate with their responsibilities, are duly informed about applicable laws and regulations, including application of Interim and any future revised TRP policies that apply to DEC lands under scope of the “green certification”.</p>	
FME response (including any evidence submitted)	2020: The multi-divisional review process started in June 2019 has been stalled, at this point, due to the COVID pandemic. The review team has met and has developed a number of recommendations that need to be presented to Executive staff for approval, but no definitive time frame has been set yet. A final guidance document was sent to staff in August 2020 specifying under what circumstances 48-hour notification is required prior to a permitted activity taking place. See the attached guidance.
SCS review	2020: According to a memorandum issued by Division Director Rob Davies on 20 August 2020, the TRP Process is currently undergoing a “mini” lean evaluation to determine where improvements can be made to the TRP process to improve overall efficiency. Until the lean assessment is complete, the memo will serve as interim guidance and identifies a list of six activities that require 48-hour notification prior to commencement: <ul style="list-style-type: none"> o Vegetation management

	<ul style="list-style-type: none"> ○ Herbicide application ○ Firearms usage ○ Animal eradication ○ Heavy equipment operation ○ Activities which may be of concern to the public (at the professional discretion of regional staff) <p>The 2020 audit team was satisfied to see that progress toward closing this Corrective Action Request has been undertaken. However, due to the 2020 COVID pandemic and the ensuing suspension of the TRP review process, this finding due date was extended as Minor CAR 2020.1 and will be reevaluated during the 2021 annual surveillance audit.</p>
Status of CAR:	<input type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input type="checkbox"/> <i>Other decision (refer to description above)</i>

Finding Number: OBS 2020.2	
Select one: <input type="checkbox"/> Major CAR <input type="checkbox"/> Minor CAR <input checked="" type="checkbox"/> Observation	
FMU CAR/OBS issued to (when more than one FMU):	
Deadline	<input type="checkbox"/> Pre-condition to certification/recertification <input type="checkbox"/> 3 months from Issuance of Final Report <input checked="" type="checkbox"/> 12 months or next regularly scheduled audit (surveillance or re-evaluation) <input type="checkbox"/> Observation – response is optional <input type="checkbox"/> Other deadline (specify):
FSC Indicator:	7.2.a The management plan is kept up to date. It is reviewed on an ongoing basis and is updated whenever necessary to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances. At a minimum, a full revision occurs every 10 years.
Non-Conformity (or Background/ Justification in the case of Observations):	
The DEC has 7 State Forest Regions which work collaboratively with multiple Divisions. Overall, the DEC is in conformance with this indicator. However, interviews during the 2019 audit identified some inconsistencies about how frequently such scientific/technical reviews are done and incorporated into forestry work for implementing forest management plan (SF UMPs).	
Corrective Action Request (or Observation):	
When incorporating new scientific and technical information into technical implementation of new scientific and technical information, the DEC could improve consistency across all SF Regions.	
FME response (including any evidence submitted)	The NYS Natural Heritage Program (NYNHP) currently monitors all of our Special Treatment Areas and Rare Communities located on our certified acreage. In 2017 the Division of Lands and Forests (DLF) entered into an agreement with the NYNHP to monitor all 287 STAs and 50 RCs over a 5-year period as outlined in the attached proposal. Monitoring data and associated information for these areas are entered into NYNHP databases and then summarized and made available via

	<p>NYNHP data layers using the DEC GIS Data Selector tool. Additionally, quarterly reports are provided to DLF detailing the NYNHP’s actions and findings and are distributed to all regional staff as well as posted on the DLF intranet site. These sites are monitored on a schedule in advance of Unit Management Plans (UMPs) being written to make the most recent data available to staff to incorporate into each UMP. Regional staff are aware of these results and are encouraged to reach out to NYNHP staff directly with any specific inquires related to their particular geographic areas of responsibility. The NYNHP staff also routinely reach out to regional staff when conducting this monitoring to offer an opportunity to ask questions and/or accompany them on site visits. DLF staff review the monitoring results and any management recommendations provided to ensure they are consistent with State Land management policies and compatible with our Forest Certification program prior to finalizing any recommendations.</p>
<p>SCS review</p>	<p>2020: As confirmed via interviews with Rob Messenger and other FME staff on 24 September 2020, the NYSDEC is soon to publish a new version of its Forest Action Plan by 2021. The draft version of the Plan is available for public review at https://www.dec.ny.gov/docs/lands_forests_pdf/nysfap.pdf, and had originally been previewed for publication during 2020. However, due to the 2020 COVID pandemic and the ensuing prolongation of the Plan updates, this finding is maintained as Observation 2020.2 and will be reevaluated during the 2021 annual surveillance audit.</p>
<p>Status of CAR:</p>	<p><input type="checkbox"/> Closed <input type="checkbox"/> Upgraded to Major <input type="checkbox"/> <i>Other decision (refer to description above)</i></p>

5. Stakeholder Comments

In accordance with SCS protocols, consultation with key stakeholders is an integral component of the evaluation process. Stakeholder consultation takes place prior to, concurrent with, and following field evaluations. Distinct purposes of such consultation include:

- To solicit input from affected parties as to the strengths and weaknesses of the FME’s management, relative to the standard, and the nature of the interaction between the FME and the surrounding communities.
- To solicit input on whether the forest management operation has consulted with stakeholders regarding identifying any high conservation value forests (HCVFs).

Stakeholder consultation activities are organized to give participants the opportunity to provide comments according to general categories of interest based on the three FSC chambers, as well as the SCS Interim Standard, if one was used.

5.1 Stakeholder Groups Consulted

Principal stakeholder groups are identified based upon results from past evaluations, lists of stakeholders from the FME under evaluation, and additional stakeholder contacts from other sources. Stakeholder groups who are consulted as part of the evaluation include FME management and staff, consulting foresters, contractors, lease holders, adjacent property owners, local and regionally-based social interest and civic organizations, purchasers of logs harvested on FME forestlands, recreational user groups, tribal members and/or representatives, members of the FSC National Initiative, members of the regional FSC working group, FSC International, local and regionally-based environmental organizations and conservationists, and forest industry groups and organizations, as well as local, state, and federal regulatory agency personnel and other relevant groups.

5.2 Summary of Stakeholder Comments and Evaluation Team Responses

The table below summarizes the major comments received from stakeholders and the assessment team’s response. Where a stakeholder comment has triggered a subsequent investigation during the evaluation, the corresponding follow-up action and conclusions from SCS are noted below.

<input type="checkbox"/> <i>FME has not received any stakeholder comments from interested parties as a result of stakeholder outreach activities during this annual evaluation.</i>	
Stakeholder Comment	SCS Response
Answering for the Saratoga County Association of Snowmobile Clubs: Principle 3: Indigenous People’s Rights - <i>n/a</i> Principle 4: Community Relations and Workers’ Rights- <i>Excellent, highly professional; Never witnessed or heard anything negative</i> Criterion 5.6: Harvest Rate of Forest Products- <i>Excellent, highly professional; Never witnessed or heard anything negative</i> Criteria 6.2, 6.3, and 6.9: RTE species, Ecological Functions and Values, and Exotic Species- <i>Excellent, highly professional; Never witnessed or heard anything negative</i> Criterion 9.4: Annual Monitoring of High Conservation Value Forests- <i>Excellent, highly professional; Never witnessed or heard anything negative.</i>	Noted by audit team.

6. Certification Decision

The certificate holder has demonstrated continued overall conformance to the applicable Forest Stewardship Council standards. The SCS annual evaluation team recommends that the certificate be sustained, subject to subsequent annual evaluations and the FME’s response to any open CARs.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Comments: N/A	

7. Annual Data Update

<input type="checkbox"/> No changes since previous evaluation.	
<input checked="" type="checkbox"/> Information in the following sections has changed since previous evaluation.	
<input type="checkbox"/> Name and Contact Information <input type="checkbox"/> FSC Sales Information <input checked="" type="checkbox"/> Scope of Certificate <input type="checkbox"/> Non-SLIMF FMUs <input type="checkbox"/> Social Information	<input type="checkbox"/> Pesticide and Other Chemical Use <input type="checkbox"/> Production Forests <input type="checkbox"/> FSC Product Classification <input type="checkbox"/> Conservation & High Conservation Value Areas <input type="checkbox"/> Areas Outside of the Scope of Certification

Name and Contact Information

Organization name	State of New York, DEC, Bureau of Forest Resource Management		
Contact person	Josh Borst, Forester 2, Bureau of Forest Resource Management, Division of Lands and Forests		
Address	625 Broadway, 5th Floor Albany, NY 12233-4255	Telephone	518-473-9209
		Fax	518-402-9028
		e-mail	joshua.borst@dec.ny.gov
		Website	www.dec.ny.gov

FSC Sales Information

<input checked="" type="checkbox"/> FSC Sales contact information same as above.
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Scope of Certificate

Certificate type	<input checked="" type="checkbox"/> Single FMU	<input type="checkbox"/> Multiple FMU
	<input type="checkbox"/> Group	
SLIMF if applicable	<input type="checkbox"/> Small SLIMF certificate	<input type="checkbox"/> Low intensity SLIMF certificate
	<input type="checkbox"/> Group SLIMF certificate	
# Group Members (if applicable)	N/A	
Number of FMU's in scope of certificate	1	
Geographic location of non-SLIMF FMU(s)	Latitude & Longitude: 42.6529/-73.7491	
Forest zone	<input type="checkbox"/> Boreal	<input checked="" type="checkbox"/> Temperate
	<input type="checkbox"/> Subtropical	<input type="checkbox"/> Tropical
Total forest area in scope of certificate which is:		Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac
privately managed		
state managed	782,854	
community managed		
Number of FMUs in scope that are:		
less than 100 ha in area		100 - 1000 ha in area

1000 - 10 000 ha in area		more than 10 000 ha in area	1
Total forest area in scope of certificate which is included in FMUs that: Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac			
are less than 100 ha in area	0		
are between 100 ha and 1000 ha in area	0		
meet the eligibility criteria as <i>low intensity</i> SLIMF FMUs	0		
Division of FMUs into manageable units:			
<p>This FME consists of 9 regions located throughout the state of which 7 regional areas are certified. Within each region, the Division of Operations supports the Bureau of Forest Resource Management, BFRM, by providing technical services, facilities management, and maintenance of physical assets. The Bureau of Fish and Wildlife assists with developing management decisions to protect species and habitat. The Divisions of Law Enforcement and Forest Protection provide support through law enforcement, education and public outreach. Personnel from each Division are assigned to regional offices and collaborate to manage the Reforestation Areas, Multiple Use Areas, Unique Areas, and State Nature and Historic Preserves within the scope of this assessment.</p> <p>Land within each region is grouped into planning units. A Unit Management Plan is written for each unit and includes objectives and activities that are designed to accomplish specific management goals. This FME maintains 74 planning units.</p>			

Non-SLIMF FMUs (Group or Multiple FMU Certificates)

Name	Contact information	Latitude/ longitude of Non-SLIMF FMUs
N/A		

Social Information

Number of forest workers (including contractors) working in forest within scope of certificate (differentiated by gender):		
male workers: 60	female workers: 17	
Number of accidents in forest work since previous evaluation:	Serious: 0	Fatal: 0

Pesticide and Other Chemical Use

<input type="checkbox"/> FME does not use pesticides.				
Commercial name of pesticide / herbicide	Active ingredient	Quantity applied since previous evaluation (gallons)	Total area treated since previous evaluation (ac)	Reason for use
4 Ester	Triclopyr	33	15	basal bark treatment to control beech
Accord	Glyphosate	18	121	Control invasive species
Accord XRT	Glyphosate	20	79	Control interfering vegetation

Accord XRT II	glyphosate	87	602	Control interfering vegetation
Alligare	Sulfometuron methyl	1	60	Control interfering vegetation
Alligare SFMX	Glyphosate	2	51	treat understory fern (back pack sprayer)
Arsenal	imazapyr	6	307	Control beech, striped maple and Japanese knotweed
Garlon	triclopyr	5	18	Basal treatment of birch, Hornbeam, Red Maple
Garlon 3A	Triclopyr	23	43	Power Company used it to control stump sprouts
Garlon 3a & Mad Dog	Triclopyr & glyphosate	25	21	Steuben Rural Electric line maintenance
Garlon 4 Ultra	Triclopyr	1	2	Basal bark treatment on small honeysuckle/buckthorn
Garlon 4a/ basal oil	triclopyr	23	43	Basal bark/hack and squirt American beech interference
Mad Dog	glyphosate	31	1	Foliar spray to control black locust
Mad Dog & Garlon 4 Ultra	glyphosate & triclopyr	107	4	Foliar spray to control Swallowtail & black locust
Mad Dog Plus	glyphosate	4	9	Power Company used it to control stump sprouts
Oust	sulfometuron methyl	18	867	Control interfering vegetation
Oust Extra	sulfometuron methyl	0.04	33	foliar spray to control fern and invasives
Oust XP	Sulfometuron-methyl	13	228	Control interfering vegetation & invasives
Pathfinder II	Triclopyr	62	149	Basal Bark Application BE, IW, STM
Rodeo	glyphosate	137	1076	foliar spray/hack & squirt to control fern, beech, striped maple
Rodeo & Arsenal	glyphosate & imazapyr	2	12	Control interfering vegetation
Round Up	Glyphosate	6	1	Control interfering vegetation
Roundup Pro Max	Glyphosate	6	107	Control invasive species
Safari & Quali-Pro	Dinotefuran & Imidacloprid 2F	101	29	Basal bark spray to control HWA
St. Gabriel Organics BurnOut II	11% Citric Acid, 6.5% Clove Oil, 3% Sodium Lauryl Sulfate,	1	0.25	City of Rochester, under contract w/DEC - Poison Ivy adj to parking lots & boat launches.

	79.5 % Mineral Oil(USP) & Lecithin & Water			
Stalker	Imazapyr	0.2	9	Basal treatment of birch, Hornbeam, Red Maple
Tank mix of - 7% Rodeo, 4floz/100 gal Escort XP, and 1% Polaris carried in Thinvert RTU	glyphosate / metsulfuron methyl methyl 2 / isopropylamine salt of imazapyr	2	0.1	Foliar spray to control Knotweed
Tank mix of 8% Rodeo and 1% Polaris carried in Thinvert RTU	glyphosate / isopropylamine salt of imazapyr	33	3	Foliar spray to control Knotweed

Production Forests

Timber Forest Products	Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac
Total area of production forest (i.e. forest from which timber may be harvested)	673,000
Area of production forest classified as 'plantation'	-
Area of production forest regenerated primarily by replanting or by a combination of replanting and coppicing of the planted stems	20,000
Area of production forest regenerated primarily by natural regeneration, or by a combination of natural regeneration and coppicing of the naturally regenerated stems	650,000
Silvicultural system(s)	Area under type of management
Even-aged management	
Clearcut (clearcut size range)	324
Shelterwood	155
Other:	2517
Uneven-aged management	
Individual tree selection	1752
Group selection	
Other:	
<input type="checkbox"/> Other (e.g. nursery, recreation area, windbreak, bamboo, silvo-pastoral system, agro-forestry system, etc.)	
Non-timber Forest Products (NTFPs)	
Area of forest protected from commercial harvesting of timber and managed primarily for the production of NTFPs or services	-
Other areas managed for NTFPs or services	-

Approximate annual commercial production of non-timber forest products included in the scope of the certificate, by product type	-
Species in scope of joint FM/COC certificate: <i>Scientific/ Latin Name (Common/ Trade Name)</i>	
<i>Acer rubrum</i> , Red Maple; <i>Acer saccharum</i> , Sugar Maple; <i>Prunus serotina</i> , Black Cherry; <i>Quercus rubra</i> , Red Oak; <i>Quercus alba</i> , White Oak; <i>Fraxinus americana</i> , White Ash; <i>Tsuga canadensis</i> , Eastern Hemlock; <i>Abies balsamea</i> , Balsam Fir; <i>Larix laricina</i> , Eastern Larch; <i>Picea abies</i> , Norway Spruce; <i>Pinus strobus</i> , White Pine; <i>Pinus resinosa</i> , Red Pine; <i>Picea rubens</i> , Red Spruce	

FSC Product Classification

Timber products		
Product Level 1	Product Level 2	Species
Logs W1	W1.1	Refers to species list above
Fuelwood W1	W1.2	Refers to species list above
Non-Timber Forest Products		
Product Level 1	Product Level 2	Product Level 3 and Species
Food N9	N9.6	N9.6.1 Sugar Maple (<i>Acer Saccharum</i>)

Note: W1, W2, and W3 product groups usually do not require a separate evaluation to FSC-STD-40-004 (COC) if processing occurs in the field for FM/COC and CW/FM certificate types. N1-N10 (NTFPs) are eligible to be sold with FSC claims under FM/COC certification if reported here. Bamboo and NTFPs derived from trees (e.g. cork, resin, bark) may be eligible for FM/COC and CW/FM certification. NTFPs used for food and medicinal purposes are not eligible for CW/FM certification. Check with SCS if you have any products intended to be sold with an FSC claim outside of any of these categories.

Conservation and High Conservation Value Areas

Conservation Area	Units: <input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac
Total amount of land in certified area protected from commercial harvesting of timber and managed primarily for conservation objectives (includes both forested and non-forested lands).*	108,979

**Note: Total conservation and HCV areas may differ since these may serve different functions in the FME’s management system. Designation as HCV may allow for active management, including commercial harvest. Conservation areas are typically under passive management, but may undergo invasive species control, prescribed burns, non-commercial harvest, and other management activities intended to maintain or enhance their integrity. In all cases, figures are reported by the FME as it pertains local laws & regulations, management objectives, and FSC requirements.*

High Conservation Value Forest / Areas			Units: <input type="checkbox"/> ha or <input type="checkbox"/> ac
Code	HCV Type	Description & Location	Area
HCV1	Forests or areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia).	Special Treatment: New York Natural Heritage Element Occurrences (non-community type only) with survey dates between 1990-2013 with a state “rarity” rank of S1, S2, and S1S2. Clipped to State Forests	18,625
HCV2	Forests or areas containing globally, regionally or nationally significant large		

	landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance.		
HCV3	Forests or areas that are in or contain rare, threatened or endangered ecosystems.	Rare Community: New York Natural Heritage Element Occurrences (community type only) with survey dates between 1990-2013 with a state “rarity” rank of S1, S2, and S1S2. Clipped to State Forests	11,328
HCV4	Forests or areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control).	Watershed: Portions of State Forests that overlay Sole and Primary Source Aquifers, have public water supply intakes downstream within the Hydrologic Unit Code (HUC) 12 watershed or are within the Department of Health Source Water Assessment Program Plan (DOH SWAPP) delineated buffers (zone of influence) around public ground water wells that are surface water influenced.	124,336
HCV5	Forests or areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).	Cultural Heritage: Currently over 825 point locations that are delineated on the ground by forestry/field staff representing any number of culturally significant/historic sites in our state land assets data set.	N/A
HCV6	Forests or areas critical to local communities’ traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).	Cultural Heritage: Currently over 825 point locations that are delineated on the ground by forestry/field staff representing any number of culturally significant/historic sites in our state land assets data set.	
Total area of forest classified as ‘High Conservation Value Forest / Area’			154,289

Areas Outside of the Scope of Certification (Partial Certification and Excision)

<input type="checkbox"/> N/A – All forestland owned or managed by the applicant is included in the scope.		
<input checked="" type="checkbox"/> Applicant owns and/or manages other FMUs not under evaluation.		
<input type="checkbox"/> Applicant wishes to excise portions of the FMU(s) under evaluation from the scope of certification.		
Explanation for exclusion of FMUs and/or excision:	<p>New York State owns and manages 2,800,000 acres of Forever Wild Forests within the Adirondack Forest Preserve and 300,000 acres within the Catskill Forest Preserve. These acreages are part of a preserve system where harvesting is not allowed and excluded from this certificate.</p> <p>Additional acreages located on Long Island are not harvested and are not included within this certificate.</p>	
Control measures to prevent mixing of certified and non-certified product (C8.3):	Harvesting does not take place in the excluded acreage.	
Description of FMUs excluded from or forested area excised from the scope of certification:		
Name of FMU or Stand	Location (city, state, country)	Size (<input type="checkbox"/> ha or <input checked="" type="checkbox"/> ac)
Adirondack Forest Preserve	NY, USA	2,800,000
Catskill Forest Preserve	NY, USA	300,000
NYSDEC Region 1	Suffolk County, NY, USA	16,218
NYSDEC Region 2	Bronx, Richmond and Queens Counties (Long Island), NY, USA	770
NYSDEC Region 7	Lower Salmon River State Forest	1726
NYSDEC Region 3	Stewart State Forest	384.5

SECTION B – APPENDICES (CONFIDENTIAL)

Appendix 1 – List of FMUs Selected for Evaluation

- FME consists of a single FMU
- FME consists of multiple FMUs or is a Group

SCS staff establish the design and level of sampling prior to each group or multiple FMU evaluation according to FSC-STD-20-007. A list of the FMUs sampled and the rationale behind their selection is listed below.

Appendix 2 – Staff and Stakeholders Consulted

List of FME Staff Consulted

To protect privacy, **only FME staff who have expressly provided written permission are listed.** These records are retained by SCS and subject to FSC or ASI examination.

Name	Title	Contact Information	Consultation method
Josh Borst	Forest Certification Coordinator	joshua.borst@dec.ny.gov	Interview
Barb Lucas-Wilson	Forester 3	barbara.lucas-wilson@dec.ny.gov	Interview
Keith Rivers	Forester 2	<i>Not available</i>	Interview
Henry Dedrick	Forester 2	<i>Not available</i>	Interview
Andrea Mercurio	Forester 1	<i>Not available</i>	Interview
Tony Sparacino	Forester 1	<i>Not available</i>	Interview
Scott Glenn	Forestry Technician 3	<i>Not available</i>	Interview
Greg Rutley	Forestry Technician 3	<i>Not available</i>	Interview
Tyler Richardson	Forestry Technician 1	<i>Not available</i>	Interview
Patrick Lee	Forest Ranger	<i>Not available</i>	Interview
Kris Alberga	Natural Resources Supervisor	<i>Not available</i>	Interview
Rob Daley	Regional Forester (Forester 3)	<i>Not available</i>	Interview
Dan Levy	Forester 1	<i>Not available</i>	Interview
Rob Messenger	Forester 4	<i>Not available</i>	Interview
Ian Crisman	Natural Resources Planner	<i>Not available</i>	Interview

Rob Davies	Division Director	<i>Not available</i>	Interview
Peter Innes	Assistant Division Director	<i>Not available</i>	Interview

List of other Stakeholders Consulted*

To protect privacy, participating stakeholders’ contact information is not presented in this report. **These records are retained by SCS and subject to FSC or ASI examination.**

Appendix 3 – Additional Evaluation Techniques Employed

- None.
- Additional techniques employed (*describe*):

Appendix 4 – Required Tracking

Pesticide Derogations

- There are no active pesticide derogations for this FME.

Progressive HCVF Assessments

- FME does not use partial or progressive HCVF assessments.

Special Instructions or Scoping Notes for Next Regularly Scheduled Annual Audit

<input type="checkbox"/>	Not applicable; no significant issues identified that may impact the next audit.
Some issues were identified during this audit that the next audit team could consider in the next audit, such as:	
<input type="checkbox"/>	Scope of certificate:
<input type="checkbox"/>	Audit sampling:
<input type="checkbox"/>	Audit time:
<input type="checkbox"/>	Audit season:
<input type="checkbox"/>	Travel time between sites or FMUs:
<input type="checkbox"/>	Audit frequency:
<input type="checkbox"/>	Suggested audit team competency for next audit:
<input type="checkbox"/>	Suggested requirements to include during the next audit:
<input type="checkbox"/>	Suggested issues investigate during the next audit: Continue reviewing the resolution of and remediation measures undertaken related to the TRP process violation at Moon Pond SF (see site notes and 1.5.a in the conformity table).
<input type="checkbox"/>	Suggested sites for inspection:
<input type="checkbox"/>	Stakeholders to be consulted:
<input type="checkbox"/>	Other(s) – please describe:

Appendix 5 – Forest Management Standard Conformance Table

Criteria required by FSC at every surveillance evaluation (<i>check all situations that apply</i>)	<input type="checkbox"/> NA – all FMUs are exempt from these requirements. <input type="checkbox"/> Plantations > 10,000 ha (24,710 ac): 2.3, 4.2, 4.4, 6.7, 6.9, 10.6, 10.7, and 10.8 <input checked="" type="checkbox"/> Natural forests > 50,000 ha (123,553 ac) ('low intensity' SLIMFs exempt): 1.5, 2.3, 3.2, 4.2, 4.4, 5.6, 6.2, 6.3, 8.2, and 9.4 <input checked="" type="checkbox"/> FMUs containing High Conservation Values ('small forest' SLIMFs exempt): 6.2, 6.3, 6.9 and 9.4
Documents and records reviewed for FMUs/sites sampled	<input checked="" type="checkbox"/> All applicable documents and records as required in section 7 of audit plan were reviewed; or <input type="checkbox"/> The following documents and records as required in section 7 of the audit plan were NOT reviewed (<i>provide explanation</i>):

Requirements Reviewed in Annual Evaluation

Evaluation Year	Requirements Reviewed (FSC P&C Reviewed, FM/COC Indicators, Trademark Indicators, Group Standard Indicators, etc.)
2017	All – (Re)certification Evaluation
2018	P5, P8, and mandatory criteria above.
2019	P1, P2, and P9; mandatory criteria
2020	P3, P4; mandatory criteria
2021	-

C= Conformance with Criterion or Indicator

NC= Nonconformance with Criterion or Indicator

NA = Not Applicable

NE = Not Evaluated

REQUIREMENT	C/NC	COMMENT/CAR
Principle #1: Compliance with Laws and FSC Principles Forest management shall respect all applicable laws of the country in which they occur, and international treaties and agreements to which the country is a signatory, and comply with all FSC Principles and Criteria.		
1.5. Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.	C	

<p>1.5.a. The forest owner or manager supports or implements measures intended to prevent illegal and unauthorized activities on the Forest Management Unit (FMU).</p>	<p>C</p>	<p>UMPs present known cases of disputes over property ownership and/or property rights and efforts to resolve them. Boundary lines are maintained (inspected in the field on several occasions), and appropriate signs are posted and maintained. Gated roads and trails are common as confirmed by all site visits conducted in 2020.</p> <p>Gates and signs are used effectively to prevent unauthorized activities. Gates and signs were observed during on-site visits to regions visited in 2020. This FME maintains support from conservation officers and rangers who patrol the FME and from legal counsel.</p> <p>At Moon Pond SF in early 2020, a neighboring landowner took the unauthorized step of converting a dirt road leading to his property into a graveled road. NYSDEC ownership extends to the center line of the road, which should have triggered their notification and review of such a plan. Several required environmental steps, which should have been overseen by NYSDEC, were not taken. These include appropriate wetland mitigation, installation of culverts, and appropriate waste disposal. The FME took immediate action upon learning of the road graveling, though only remediation efforts are possible at this point. A judge’s decision remains pending on what party will be financially responsible for the necessary environmental remediation. Because the NYSDEC could not have prevented this action, no finding concerning this issue was warranted. The audit team recommends that the 2021 audit team learn about the outcome of this process and request further information on what steps have been taken to amend the issues caused by the landowner’s action.</p>
<p>1.5.b. If illegal or unauthorized activities occur, the forest owner or manager implements actions designed to curtail such activities and correct the situation to the extent possible for meeting all land management objectives with consideration of available resources.</p>	<p>C</p>	<p>Environmental Conservation Officers (ECOs) and Forest Rangers are available for enforcement and are well-staffed. DEC maintains a robust staff of attorneys in Central Office and Regional Offices to pursue illegal actions and conflicts.</p> <p>The FME devotes considerable resources to the control of unauthorized access and activities on state forests. Despite some instances of small-scale dumping and unauthorized ATV use, no egregious examples of misuse of state forestlands were viewed during the 2020 surveillance audit.</p>
<p>Principle #2: Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.</p>		

<p>2.3. Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified.</p>	<p>C</p>	
<p>2.3.a If <i>disputes</i> arise regarding tenure claims or use rights then the forest owner or manager initially attempts to resolve them through open communication, negotiation, and/or mediation. If these good-faith efforts fail, then federal, state, and/or local laws are employed to resolve such disputes.</p>	<p>C</p>	<p>At the 2020 audit, NYSDEC staff confirmed that there are no current, active disputes related to tenure claims or use rights.</p> <p>Most tenure claims relate to property boundaries, but significant boundaries have all been surveyed and marked, so disputes usually are settled within the regions where the properties occur. If necessary, DEC has adequate legal staff to address more serious disputes. Bureau Chief related several examples of ongoing trespass disputes and their resolution.</p> <p>Although not formal disputes, the UMP system includes Current Management Issues or otherwise sections of the plan to treat stakeholder issues.</p>
<p>2.3.b The forest owner or manager documents any significant disputes over tenure and use rights.</p>	<p>C</p>	<p>Files that document past disputes are available in regional offices were visited during the audit.</p>
<p>Principle #3: The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognized and respected.</p>		
<p>3.1. Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and</p>	<p>NA</p>	<p>N/A; tribal forests are not included in this FMU</p>

<p>informed consent to other agencies.</p>		
<p>3.2. Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.</p>	<p>C</p>	
<p>3.2.a During management planning, the forest owner or manager consults with American Indian groups that have legal rights or other binding agreements to the FMU to avoid harming their resources or rights.</p>	<p>C</p>	<p>Auditors interviewed State Forests UMP Coordinator in consulting and facilitations with Indian Affairs Coordinator, Office of Environmental Justice. Among other initiatives, the DEC conducts annual meetings with Indian Nations done by the Chief of the Bureau of Forest Resource Management.</p> <p>As confirmed via interviews with the Coordinator, specific UMPs determine the targets and level of indigenous community outreach. Over the past 18 months, this process has been formed as part of a corrective action request taken to resolve a former FSC CAR.</p> <p>These maps are located as layers on GIS and confirmed as letters are written. During the timber marking process, if areas within specific sales are marked as archeologically sensitive, any additional follow-up work is determined. Finally, the Center for Native Peoples and the Environment is also consulted to see if there have been any shifts away from traditional areas.</p> <p>St. Regis Mohawk have been generally responsive, though there were no alterations to management plans this year due to Indian Nations input.</p>
<p>3.2.b Demonstrable actions are taken so that forest management does not adversely affect tribal resources. When applicable, evidence of, and measures for, protecting tribal resources are</p>	<p>C</p>	<p>Commissioner Policy-42 outlines the Departments obligations and responsibilities as they relate to Indian Nation consultations and involvement in the UMP planning process and this policy is available on In-Site. Accompanying guidance in 2017 led to a greater revision of NYSDEC’s strategies for Indian Nations consultation.</p> <p>Annual meetings are held with the Indian Nations, during which the UMPs are addressed. A training with the Onondaga tribe was also carried out within the past year.</p>

<p>incorporated in the management plan.</p>		<p>UMP authors are meant to reach out to Ian Crisman (see staff listing in Appendix 2, above) prior to UMP creation. This process has been discussed verbally but is not yet recorded in the template. According to Mr. Crisman, “the Strategic Plan is undergoing revision and should provide additional clarity to the UMP process going forward.”</p>
<p>3.3. Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in cooperation with such peoples, and recognized and protected by forest managers.</p>	<p>C</p>	
<p>3.3.a. The forest owner or manager invites consultation with tribal representatives in identifying sites of current or traditional cultural, archeological, ecological, economic or religious significance.</p>	<p>C</p>	<p>Public hearings notices including meetings to discuss proposed management actions by this FME are mailed to representatives of tribal groups as confirmed through stakeholder interviews and contact list review. The FME understands that updates to the contact list for tribal representatives is periodically required and continues to work on this list. The FME continue to use mailings and electronic notifications to reach stakeholders.</p> <p>Voluntary Stewardship Agreements (VSAs) are often used for groups who want to do work that benefits the DEC, e.g. trail maintenance, etc. A VSA held by tribal members in Region 6 for black ash basket-weaving, which is considered an activity of both cultural and economic significance.</p>
<p>3.3.b In consultation with tribal representatives, the forest owner or manager develops measures to protect or enhance areas of special significance (see also Criterion 9.1).</p>	<p>C</p>	<p>Public hearing and management review notices including meetings to discuss proposed management actions by this FME are mailed to representatives of tribal groups. To date, tribal groups have not suggested measures to protect or enhance areas of special significance.</p> <p>As confirmed through interviews with a cultural resource specialist and review of GIS data layers, areas of special significance have been identified throughout the state of New York (mostly on private land) and this layer is available to land managers who consult with the Historic Preservation Officer when areas of special significance overlap with active management prescriptions.</p>

<p>3.4. Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations. This compensation shall be formally agreed upon with their free and informed consent before forest operations commence.</p>	<p>NA</p>	
<p>3.4.a The forest owner or manager identifies whether <i>traditional knowledge</i> in forest management is being used.</p>	<p>NA</p>	<p>Traditional knowledge has not been used.</p>
<p>3.4.b When traditional knowledge is used, written protocols are jointly developed prior to such use and signed by local tribes or tribal members to protect and fairly compensate them for such use.</p>	<p>NA</p>	<p>Traditional knowledge has not been used.</p>
<p>3.4.c The forest owner or manager respects the confidentiality of tribal traditional knowledge and assists in the protection of such knowledge.</p>	<p>NA</p>	<p>Traditional knowledge has not been used.</p>
<p>Principle #4: Forest management operations shall maintain or enhance the long-term social and economic well-being of forest workers and local communities.</p>		
<p>4.1. The communities within, or adjacent to, the forest management</p>	<p>C</p>	

<p>area should be given opportunities for employment, training, and other services.</p>		
<p>4.1.a Employee compensation and hiring practices meet or exceed the prevailing <i>local</i> norms within the forestry industry.</p>	C	<p>Full time employee compensation packages include competitive wages, benefits, training and decision-making opportunities. As confirmed through interviews and observations, 80% employees work 80% of a work week and often remain in these positions for a long period of time while waiting for a permanent vacancy to occur. This FME has developed measures to ensure that these employees’ actual duties remain within their job descriptions.</p>
<p>4.1.b Forest work is offered in ways that create high quality job opportunities for employees.</p>	C	<p>Safety expectations and requirements are specified in all contracts; auditors found conformance by all contractors interviewed.</p>
<p>4.1.c Forest workers are provided with fair wages.</p>	C	<p>Logging contractors are the most common service providers. They are selected through well-established bidding processes with detailed contract provisions. New York Logger Training – Trained Logger Certification requirement in Timber Sale Contracts. (sample <i>Notice of Sale of Forest Products</i> Article XIII).</p> <p>Logging contractors manage their own payments to their employees – NYSDEC does not dictate contractors’ employee rates.</p>
<p>4.1.d Hiring practices and conditions of employment are non-discriminatory and follow applicable federal, state and local regulations.</p>	C	<p>Every office has an employee bulletin board containing this information. There are 10 mandatory trainings a year that include topics such as discrimination, protected classes, etc.</p> <p>Interviews with a variety of employees confirm that hiring practices and conditions follow applicable laws and regulations. Posters observed in the work rooms of offices during the 2017 audit included the FME’s written policy and demonstrated commitment to comply with equal employment opportunities, anti-discrimination and anti-harassment measures, workers’ compensation, right to know, prevailing wages, workers’ right to organize and occupational health and safety.</p>
<p>4.1.e The forest owner or manager provides work opportunities to qualified local applicants and seeks</p>	C	<p>Every region has its local pool of contractors that routinely bids on NYSDEC jobs. Herbicide contracts are another way in which opportunities are given to the local labor pool.</p>

<p>opportunities for purchasing local goods and services of equal price and quality.</p>		<p>Payment schedules have been adjusted to be fairer to local contract loggers. Over a three-year contract length, for example, they might wait until the 2.5-year mark to require payment. This offers them more flexibility so that they may gain some revenue before owing any money to NYSDEC.</p>
<p>4.1.f Commensurate with the size and scale of operation, the forest owner or manager provides and/or supports learning opportunities to improve public understanding of forests and forest management.</p>	<p>C</p>	<p>Interpretive trails and kiosks are placed based on regional foresters’ decisions. Office of Communications Services works with local foresters to create signs and ensure that information is relevant. In addition, the use of informal informational signs was observed in the past in association with management activities in some locations including Cold Spring Brook State Forest’s herbicide treatment of the non-native plant, Pale Swallowwort (<i>Cynanchum rossicum</i>).</p> <p>The public website is updated routinely to show maps and information regarding each state forest. FSC and SFI signage exists on landings so that the public may learn more about these “green certifications.”</p>
<p>4.1.g The forest owner or manager participates in local economic development and/or civic activities, based on scale of operation and where such opportunities are available.</p>	<p>C</p>	<p>Lands and Forests’ Division has an outreach team that maintains an active presence on certified lands. Foresters also teach basic silviculture classes to the public, as discussed during the field visit. Foresters participate in logger training workshops, environmental education and outreach and local advisory committees. Specific recent examples also include participation in the outdoor writers association meeting, Lewis/Jefferson/Duchess county Envirothon, Lewis/Jefferson county conservation field days, State fair exhibit staffing, forestry awareness day, Eagle Scout lean-to project on state land and earth day booth at the Albany Office. Stakeholder comments in the past indicate a high level of staff engagement in local community activities.</p> <p>However, Due to the COVID-19 pandemic, many of these activities have been canceled in 2020.</p>
<p>4.2. Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.</p>	<p>C</p>	

<p>4.2.a The forest owner or manager meets or exceeds all applicable laws and/or regulations covering health and safety of employees and their families (also see Criterion 1.1).</p>	<p>C</p>	<p>NY State has a well-developed administration that establishes appropriate laws and regulations for safety, with conformance observed throughout the 2019 audit by BFRM employees. The BFRM has a health and safety system with policies and procedures that are well developed and largely understood by staff, as observed and confirmed through interviews during the audit. Several types of safety training are offered and completed by staff as confirmed by review of training records.</p>
<p>4.2.b The forest owner or manager and their employees and contractors demonstrate a safe work environment. Contracts or other written agreements include safety requirements.</p>	<p>C</p>	<p>Timber sale contracts and employee handbooks were examined during the audit to confirm that expectations for safety were specified. Auditors found consistency in the Notice of Sale requirements and compliance by the one contractor interviewed on site.</p> <p>PPE is required, as is obeying all OSHA requirements. Workers' Comp and General Liability are also required of all contractors. See also 4.2.a., above.</p>
<p>4.2.c The forest owner or manager hires well-qualified service providers to safely implement the management plan.</p>	<p>C</p>	<p>Logging contractors are the most common service providers. They are selected through well-established bidding processes with detailed contract provisions. Trained Logger Certification is a requirement in Timber Sale Contracts, required by NY state law. Interviews on-site and separate confirmations with logger training programs confirmed.</p>
<p>4.3 The rights of workers to organize and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labor Organization (ILO).</p>	<p>C</p>	
<p>4.3.a Forest workers are free to associate with other workers for the purpose of advocating for their own employment interests.</p>	<p>C</p>	<p>The workers' rights to organize are understood as confirmed through interviews with FME staff. Though the audit team was not able to enter indoor locations during the 2020 surveillance audit due to the pandemic, posters that explain these rights are said to be posted at many regional offices.</p>
<p>4.3.b The forest owner or manager has effective and culturally sensitive</p>	<p>C</p>	<p>Standard union negotiation processes provide effective mechanisms for conformance with this section of the standard.</p>

<p>mechanisms to resolve disputes between workers and management.</p>		<p>Very few contractor disputes are elevated up to the main office in Albany; most disputes are settled by the regional offices.</p> <p>Standard contracts last 3 years, with up to two, 1-year extensions. In 2019-20, one contractor wanted an extension even further. His request was denied without incident.</p>
<p>4.4. Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups (both men and women) directly affected by management operations.</p>	<p>C</p>	
<p>4.4.a The forest owner or manager understands the likely social impacts of management activities, and incorporates this understanding into management planning and operations. Social impacts include effects on:</p> <ul style="list-style-type: none"> • Archeological sites and sites of cultural, historical and community significance (on and off the FMU); • Public resources, including air, water and food (hunting, fishing, collecting); • Aesthetics; • Community goals for forest and natural resource use and 	<p>C</p>	<p>This FME completed a Summary Report of the New York State Social Impact Assessment of State Land Management during summer 2012 that was based on a survey of user groups. This FME also maintains a system for notifying the public, receiving comments and incorporating comments into management plans and proposed activities.</p> <ul style="list-style-type: none"> • The social impacts associated with archeological sites are minimized through consultation with tribal groups and consultation with Historic Preservation Officer for the Division of Lands and Forests who maintains a database of known cultural sites and provides this information to staff during the Unit Management Planning process. This information is also incorporated into a GIS data layer as confirmed during a demonstration of the GIS system. The Strategic Plan for SF Management (p. 137, 181) includes sections on archeological, cultural, historical and community resources. • The Strategic Plan for SF Management (for example p. 107, 181, 189-192) includes sections on air, water and subsistence resources. Each unit management plan incorporates local details into the text. • The Strategic Plan for SF Management (p. 125) and each unit management plan include a section on visual and aesthetic resources. For example, aesthetic considerations were specifically incorporated into roadside harvest operations observed during field visit to contract LSSF2 CH9 (74) during the 2019 audit. • The Strategic Plan for SF Management (p. 181, 243) includes sections on supporting local communities. Each unit

<p>protection such as employment, subsistence, recreation and health;</p> <ul style="list-style-type: none"> • Community economic opportunities; • Other people who may be affected by management operations. <p>A summary is available to the CB.</p>		<p>management plan incorporates local details into the text including for example the Six Nations Unit Management Plan (p. 81) that describes that gates on 2 roads continue to be opened for hunting season and a description for example fishing opportunities.</p> <ul style="list-style-type: none"> • The Strategic Plan for SF Management (p. 243) includes a section on community economic opportunities. A variety of timber harvest project sizes are designed to provide local opportunities including for example smaller (“local”) sales. Several were included in the 2019 audit, see Site Notes. • The Strategic Plan for SF Management (for example p. 171-244) includes a section for example on public/permitted uses including for example universal access, motorized access for people with disabilities, formal and informal partnerships. The Summary Report of the New York State Social Impact Assessment of State Land Management was presented and reviewed and includes a review of the likely social benefits and concerns of management activities. <p>As a state agency, BFRM relies on input from the public and to assess social impacts of resource management. Social impacts are addressed in the <i>Strategic Plan</i>, and in detail as UMPs are revised. A summary can be found on public DEC web pages.</p>
<p>4.4.b The forest owner or manager seeks and considers input in management planning from people who would likely be affected by management activities.</p>	<p>C</p>	<p>This FME maintains a system for notifying the public for example of proposed management activities and planning documents in conformance with the requirements of 4.4a and 4.4b. This step is completed during the draft planning process and again in each final plan. Written comments and FME responses are incorporated into Unit Management Plan documents. FME responses were reviewed and reflected well on the agency’s ability to consider input effectively.</p> <p>BFRM seeks input from the public at all levels of planning, especially in development of Unit Management Plans (public process discussed during audit in Regions 5 and 6). Stakeholder comments and responses are found in sections or appendices of each UMP.</p>
<p>4.4.c People who are subject to direct adverse effects of management operations are apprised of relevant activities in advance of the action so that they may express concern.</p>	<p>C</p>	<p>This FME maintains a system for notifying the public for example of proposed management activities. The DEC maintains a general stakeholder list for this purpose. This step is completed during the draft planning process and again in each final plan. Written comments and FME responses are incorporated into Unit Management Plan documents for example. FME responses were reviewed and confirmed the agency’s ability to consider input effectively.</p>

		<p>Foresters interviewed on site visits indicated that they use judgement in determining the level of contact with nearby landowners prior to any harvesting activities. Most commonly, landowners observe activities of foresters during sale layout and take the initiative to inquire about planned management. Several examples were reviewed in folders for harvests examined during the 2020 audit.</p>
<p>4.4.d For <i>public forests</i>, consultation shall include the following components:</p> <ol style="list-style-type: none"> 1. Clearly defined and accessible methods for public participation are provided in both long and short-term planning processes, including harvest plans and operational plans; 2. Public notification is sufficient to allow interested stakeholders the chance to learn of upcoming opportunities for public review and/or comment on the proposed management; 3. An accessible and affordable appeals process to planning decisions is available. <p>Planning decisions incorporate the results of public consultation. All draft and final planning documents, and their</p>	<p>C</p>	<ol style="list-style-type: none"> 1. This FME maintains a system for notifying the public for example of proposed management activities and planning documents. This step is completed during the draft planning process and again in each final plan. A draft schedule of harvest plans is included within each draft and final unit management plan. Kiosks are also used in some SFs and provide an opportunity for users to provide a response directly to SF staff. SFs offices are also open to the public and provide another accessible location for comment. 2. This FME generally uses a 30-day public comment period. 3. This FME’s appeals processes are transparent and affordable. For example, the agency website includes a section for public involvement including links to “have a question?”; “make your voice heard”; “find out what is happening”; “public access to DEC documents” and “more about public involvement and news”. <p>Written comments and FME responses are incorporated into Unit Management Plans, as reviewed during the 2020 surveillance audit.</p> <p>See 4.4a-c: BFRM staff are aware of the importance of consulting with the public. The DEC has clearly defined processes for appeals from the public. All UMPs include summary of public comments and responses to them.</p>

<p>supporting data, are made readily available to the public.</p>		
<p>4.5. Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources, or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage.</p>	<p>C</p>	
<p>4.5.a The forest owner or manager does not engage in negligent activities that cause damage to other people.</p>	<p>C</p>	<p>A variety of management plans implemented management activities and other documents described elsewhere in this report were reviewed. Management activities were reviewed on-site; negligent activities were not found.</p>
<p>4.5.b The forest owner or manager provides a known and accessible means for interested stakeholders to voice grievances and have them resolved. If significant disputes arise related to resolving grievances and/or providing fair compensation, the forest owner or manager follows appropriate dispute resolution procedures. At a minimum, the forest owner or manager maintains open</p>	<p>C</p>	<p>Comments and responses are received for example on the FME’s website, at regional offices, at Kiosks, during public meetings and at the state office. FME responses were reviewed and reflected well on the agency’s ability to consider input effectively. As confirmed through unit management plan review and including public comment that are published as part of each plan, a relatively high level of satisfaction exists as a result of public comment period associated for example with the unit management planning process.</p> <p>This FME has a clear process for resolving grievances and providing compensation. Grievances that have been filed in recent years have been resolved by regional managers, have not been significant and have not been elevated to the state office. Stakeholders may call DEC; regional or divisional foresters may respond, depending on the context of the dispute. Each region has its own inbox, for comments and concerns and disputes alike.</p>

<p>communications, responds to grievances in a timely manner, demonstrates ongoing good faith efforts to resolve the grievances, and maintains records of legal suites and claims.</p>		
<p>4.5.c Fair compensation or reasonable mitigation is provided to local people, communities or adjacent landowners for substantiated damage or loss of income caused by the landowner or manager.</p>	<p>C</p>	<p>None reported or discovered during the audit. Management activities were reviewed on-site; negligent activities were not found.</p>
<p>Principle #5: Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits.</p>		
<p>5.6. The rate of harvest of forest products shall not exceed levels which can be permanently sustained.</p>	<p>C</p>	
<p>5.6.a In FMUs where products are being harvested, the landowner or manager calculates the sustained yield harvest level for each sustained yield planning unit, and provides clear rationale for determining the size and layout of the planning unit. The sustained yield harvest level calculation is documented in the Management Plan.</p>	<p>C</p>	<p>This FME is harvesting at a conservative rate as confirmed through review of AAC calculations and harvest data from 2015 (see 5.6.c for further information).</p> <p>This FME's harvest level is determined as part of the unit management plan process. The sustained yield calculation is based on inventory data that include:</p> <ul style="list-style-type: none"> • As confirmed on p. 251 in The Strategic Plan for SF Management (2010) and Estimating Periodic Annual Increment on SF Lands in New York (2010) and through interviews itemized elsewhere in this report, calculations were based on documented growth rates for acreages of each forest type/age class and species distribution. • As confirmed on p. 252 in The Strategic Plan for SF Management (2010) and interviews itemized elsewhere in this report, calculations include mortality and decay. • As confirmed on p. 251 in The Strategic Plan for SF Management (2010) and Estimating Periodic Annual

<p>The sustained yield harvest level calculation for each planning unit is based on:</p> <ul style="list-style-type: none"> • documented growth rates for particular sites, and/or acreage of forest types, age-classes and species distributions; • mortality and decay and other factors that affect net growth; • areas reserved from harvest or subject to harvest restrictions to meet other management goals; • silvicultural practices that will be employed on the FMU; • management objectives and desired future conditions. <p>The calculation is made by considering the effects of repeated prescribed harvests on the product/species and its ecosystem, as well as planned management treatments and projections of subsequent regrowth beyond single rotation and multiple re-entries.</p>		<p>Increment on SF Lands in New York (2010) and through interviews itemized elsewhere in this report, all forest acres were used to complete this growth and sustained yield harvest calculation.</p> <ul style="list-style-type: none"> • Annual harvest levels are based on silvicultural practices on areas subject to harvests as described in each unit management plan. • Annual harvest levels accurately but conservatively reflect the management objectives and desired future conditions as described by each unit management plan. For example, the draft Hemlock-Candice Unit Management Plan includes text and a table describing Management Objectives and Actions (pp 55-60 and the desired future condition (pp 64-71)). <p>The harvest level is conservative as confirmed through review of AAC calculations and harvest data from the past 10 years and p. 252 in The Strategic Plan for SF Management (2010). Current harvests average around 43 million bf per year.</p> <p>Management units are defined by each region, and harvest schedules are planned for these units based on conditions in each stand and appropriate silviculture and desired future conditions. These plans do not set a sustained harvest level per se. As public lands, there is a history of harvesting less than the annual increment of growth in order to meet other management objectives. Periodically, DEC analyzes inventory data and confirms that harvest is well below annual growth. DEC had hoped to undertake a new analysis of PAI data in 2020, but this was not financially or logistically possible due to the COVID-19 pandemic.</p>
<p>5.6.b Average annual harvest levels, over rolling periods of no more than 10 years, do</p>	<p>C</p>	<p>This FME is harvesting at a conservative rate as confirmed through review of AAC calculations and harvest data from the past 10 years and p. 252 in The Strategic Plan for State Forest Management (2010). Current harvests yield 17,485 Mbf plus 27,000 cords (~ 31 million bf/per year).</p>

<p>not exceed the calculated sustained yield harvest level.</p>		<p>DEC has contracted analysis of Periodic Annual Increment (PAI) to researchers at SUNY-ESF, the first in 2010 and a follow-up in 2015. In both studies, the finding was that DEC is cutting considerably less than what is being grown. Current estimate is 25-30% of growth. See <i>Updating of Periodic Annual Increment on State Forest Lands in New York</i>, September, 2015. Auditors were presented with actual harvest data for the past year, confirming that harvesting has been conservative with regard to a sustained yield harvest level. NYSDEC had planned to undertake a five-year update to the PAI, but this was not logistically or fiscally possible, due to the COVID-19 pandemic. The FME plans to update the PAI in the near future, possibly as early as 2021.</p>
<p>5.6.c Rates and methods of timber harvest lead to achieving desired conditions, and improve or maintain health and quality across the FMU. Overstocked stands and stands that have been depleted or rendered to be below productive potential due to natural events, past management, or lack of management, are returned to desired stocking levels and composition at the earliest practicable time as justified in management objectives.</p>	<p>C</p>	<p>The SCS-NSF audit team, through consultation with NYSDEC staff and further conversation with Dr. Eddie Bevilacqua during the 2020 surveillance audit, acknowledges that the FME has made significant strides toward understanding and achieving its desired stocking conditions; these efforts will be further enhanced upon the finalization of the next update to the PAI and planned research endeavors by SUNY ESF.</p> <p>NYSDEC’s desired future condition includes the creation and maintenance of a variety of age and size classes within healthy high-quality stands. Significant early-successional habitat has been created through a variety of silvicultural treatments such as patch cuts and salvage operations.</p>
<p>5.6.d For NTFPs, calculation of quantitative sustained yield harvest levels is required only in cases where products are harvested in significant commercial operations or</p>	<p>NE</p>	<p>Not evaluated in 2020.</p>

<p>where traditional or customary use rights may be impacted by such harvests. In other situations, the forest owner or manager utilizes available information, and new information that can be reasonably gathered, to set harvesting levels that will not result in a depletion of the non-timber growing stocks or other adverse effects to the forest ecosystem.</p>		
<p>Principle #6: Forest management shall conserve biological diversity and its associated values, water resources, soils, and unique and fragile ecosystems and landscapes, and, by so doing, maintain the ecological functions and the integrity of the forest.</p>		
<p>6.2 Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g., nesting and feeding areas). Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping, and collecting shall be controlled.</p>	<p>C</p>	
<p>6.2.a If there is a likely presence of RTE species as identified in Indicator 6.1.a then either a field survey to verify the</p>	<p>C</p>	<p>Natural Heritage Surveys have been completed in all regions. It is required for foresters to consult the GIS database of RTE species when planning a harvest. A second database, Predicted Richness Overlay (PRO) has been developed by the Natural Heritage Program to predict sites that may include rare species and</p>

<p>species' presence or absence is conducted prior to site-disturbing management activities, or management occurs with the assumption that potential RTE species are present.</p> <p>Surveys are conducted by biologists with the appropriate expertise in the species of interest and with appropriate qualifications to conduct the surveys. If a species is determined to be present, its location should be reported to the manager of the appropriate database.</p>		<p>communities. Evidence that both sources of information are being used was found on all <i>Stand Diagnosis and Prescription</i> forms examined during the 2020 surveillance audit and in repeated questioning of foresters in the field.</p>
<p>6.2.b When RTE species are present or assumed to be present, modifications in management are made in order to maintain, restore or enhance the extent, quality and viability of the species and their habitats.</p> <p>Conservation zones and/or protected areas are established for RTE species, including those S3 species that are considered rare, where they are necessary to maintain or improve the short and long-term viability of the species.</p>	<p>C</p>	<p>In Regions 5 and 6, several examples were presented and discussed where measures were taken in planning and implementation of harvest to protect unique habitats and rare species. Personnel from the Natural Heritage Program and Bureau of Wildlife are available for consultation on appropriate conservation measures to protect RTE species and communities.</p> <p>2020: Timber harvesting is the only significant activity that may occur within or near protected areas. Implementation of BMPs, adequate buffers and monitoring occur when conducting inventory, writing prescriptions and designing harvests. Significant oversight of harvesting activities is adhered to for protecting these sensitive areas, as confirmed via interviews with FME personnel and staff foresters.</p>

<p>Conservation measures are based on relevant science, guidelines and/or consultation with relevant, independent experts as necessary to achieve the conservation goal of the Indicator.</p>		
<p>6.2.c For medium and large public forests (e.g. state forests), forest management plans and operations are designed to meet species' recovery goals, as well as landscape level biodiversity conservation goals.</p>	<p>C</p>	<p>The draft <i>Strategic Plan</i> (expected to be published in 2021) contains landscape-level biodiversity plans. Some of these feature the recovery of rare species. Efforts to protect habitat for floral species in Region 6 was such an example during the audit. BFRM and Bureau of Wildlife collaborate frequently on biodiversity goals and monitoring, so it should be expected that recovery efforts would be coordinated.</p>
<p>6.2.d Within the capacity of the forest owner or manager, hunting, fishing, trapping, collecting and other activities are controlled to avoid the risk of impacts to vulnerable species and communities (See Criterion 1.5).</p>	<p>C</p>	<p>DEC's Conservation Officers are well equipped to enforce the many state and federal regulations pertinent to this indicator. Gated roads are maintained to restrict vehicle access in many places, as observed on numerous occasions during the 2020 surveillance audit. Collecting materials from state forests is regulated through Part 190 of the Environmental Conservation Law and the Temporary Revocable Permitting process.</p>
<p>6.3. Ecological functions and values shall be maintained intact, enhanced, or restored, including: a) Forest regeneration and succession. b) Genetic, species, and ecosystem diversity. c) Natural cycles that affect the productivity of the forest ecosystem.</p>	<p>C</p>	

<p>6.3.a. Landscape-scale indicators</p>	<p>C</p>	
<p>6.3.a.1 The forest owner or manager maintains, enhances, and/or restores under-represented successional stages in the FMU that would naturally occur on the types of sites found on the FMU. Where old growth of different community types that would naturally occur on the forest are under-represented in the landscape relative to natural conditions, a portion of the forest is managed to enhance and/or restore old growth characteristics.</p>	<p>C</p>	<p>Ecoregional Landscape Assessments, in the draft <i>Strategic Plan</i>, present summaries of landscape assessments for seven ecoregions in the state. Land cover and age-class distributions were examined. UMPs build on the <i>Strategic Plan</i> and provide details of current and planned distributions of forest types and age classes.</p> <p>2020: Currently, early successional forests types tend to be the most under-represented stages on State Forests. Proper forest management attempts to meet many of these habitat needs, including creating clearings for desired species and age diversity.</p>
<p>6.3.a.2 When a rare ecological community is present, modifications are made in both the management plan and its implementation in order to maintain, restore or enhance the viability of the community. Based on the vulnerability of the existing community, conservation zones and/or protected areas are established where warranted.</p>	<p>C</p>	<p>Rare communities are part of the Natural Heritage database and are treated in the same manner as rare species during harvest planning and management.</p>
<p>6.3.a.3 When they are present, management maintains the area, structure, composition,</p>	<p>C</p>	<p>Old-growth stands are found almost exclusively within the Forest Preserve system which is owned and managed by this FME but is not part of this FME’s certified land base. As part of the Forest Preserve system, these old growth stands are protected from harvesting and other timber management activities. Where other</p>

<p>and processes of all Type 1 and Type 2 old growth. Type 1 and 2 old growth are also protected and buffered as necessary with conservation zones, unless an alternative plan is developed that provides greater overall protection of old growth values.</p> <p>Type 1 Old Growth is protected from harvesting and road construction. Type 1 old growth is also protected from other timber management activities, except as needed to maintain the ecological values associated with the stand, including old growth attributes (e.g., remove exotic species, conduct controlled burning, and thinning from below in dry forest types when and where restoration is appropriate).</p> <p>Type 2 Old Growth is protected from harvesting to the extent necessary to maintain the area, structures, and functions of the stand. Timber harvest in Type 2 old growth must maintain old growth</p>		<p>old-growth stands are found, they are classified as HCVF and protected from harvest.</p> <p>2020: Late successional forests are either managed to maintain their character or protected from negative impacts from harvesting, weather, pests and pathogens.</p>
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<p>structures, functions, and components including individual trees that function as refugia (see Indicator 6.3.g).</p> <p>On public lands, old growth is protected from harvesting, as well as from other timber management activities, except if needed to maintain the values associated with the stand (e.g., remove exotic species, conduct controlled burning, and thinning from below in forest types when and where restoration is appropriate).</p> <p>On American Indian lands, timber harvest may be permitted in Type 1 and Type 2 old growth in recognition of their sovereignty and unique ownership. Timber harvest is permitted in situations where:</p> <ol style="list-style-type: none"> 1. Old growth forests comprise a significant portion of the tribal ownership. 2. A history of forest stewardship by the tribe exists. 3. High Conservation Value Forest attributes are maintained. 		
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<p>4. Old-growth structures are maintained.</p> <p>5. Conservation zones representative of old growth stands are established.</p> <p>6. Landscape level considerations are addressed.</p> <p>7. Rare species are protected.</p>		
<p>6.3.b To the extent feasible within the size of the ownership, particularly on larger ownerships (generally tens of thousands or more acres), management maintains, enhances, or restores habitat conditions suitable for well-distributed populations of animal species that are characteristic of forest ecosystems within the landscape.</p>	<p>C</p>	<p>Habitat for wildlife is a major objective for BFRM, as confirmed by examining both the Strategic Plan and various UMPs. Wildlife biologists from Bureau of Wildlife are often housed with BFRM personnel and participate in UMP development. Most recently, the “young forest initiative” of the Wildlife Bureau has increased such cooperation and is contributing to addressing the overall lack of early-successional habitat on the landscape. This is being further acknowledged in the draft <i>Strategic Plan (see Forest habitat-dependent Species of Greatest Conservation Need (SGCN), p. 47)</i>.</p> <p>2020: FME staff have implemented treatments for the establishment of early successional habitat to benefit grouse by releasing aspen. Staff have also worked with Division of Fish and Wildlife to enhance New England cottontail habitat and have buffered nesting sites for Goshawk and other known raptors found on State Forests, as viewed during the 2020 surveillance audit.</p>
<p>6.3.c Management maintains, enhances and/or restores the plant and wildlife habitat of Riparian Management Zones (RMZs) to provide:</p> <p>a) habitat for aquatic species that breed in surrounding uplands;</p> <p>b) habitat for predominantly terrestrial species</p>	<p>C</p>	<p>RMZs are addressed in DEC’s <i>Guidelines for Special Management Zones</i>. Guidelines are clear, but there is an often-used exemption for intrusions into buffer zones in cases where existing or former trails or roads still exist. Exemptions are addressed in each stand prescription and are approved at a regional level. Only one such example was observed and discussed during the field audit, a marked sale in Ulster 8. See <i>DEC Division of Lands and Forests Management Rules for Establishment of Special Management Zones on State Forests (SMZ Rules)</i>.</p> <p>2020: It is common for management activities to take place near water features. Staff are required to follow the Special Management Zone Rules for State Forest and Wildlife</p>

<p>that breed in adjacent aquatic habitats;</p> <p>c) habitat for species that use riparian areas for feeding, cover, and travel;</p> <p>d) habitat for plant species associated with riparian areas; and,</p> <p>e) stream shading and inputs of wood and leaf litter into the adjacent aquatic ecosystem.</p>		<p>Management Areas. Good example noted at the first field site (Greenwood SF) where a trout stream crossing was observed.</p>
<p>Stand-scale Indicators</p> <p>6.3.d Management practices maintain or enhance plant species composition, distribution and frequency of occurrence similar to those that would naturally occur on the site.</p>	<p>C</p>	<p>Management plans and harvest prescriptions address plant species composition. Site conditions are routinely used to determine appropriate species. This FME’s clear-cut policy and plantation policy provide direction toward natural species distributions. As existing plantations mature and are converted to a mix of native species</p> <p>UMPs and the <i>Strategic Plan</i> emphasize the importance of using an analysis of site conditions to determine management goals and objectives for forest types. Field visits confirmed efforts to promote natural regeneration.</p>
<p>6.3.e When planting is required, a local source of known provenance is used when available and when the local source is equivalent in terms of quality, price and productivity. The use of non-local sources shall be justified, such as in situations where other management objectives (e.g. disease resistance or adapting to climate change) are best served</p>	<p>C</p>	<p>Planting is not widely used for regeneration. The state nursery provides planting materials that are from local sources when supplemental planting is the preferred option. Some use of Norway spruce (<i>Picea abies</i>) continues and has been documented to be non-invasive in this region.</p> <p>Most regeneration is natural, but some planting is still done, using local stock from state. See Policy <i>ONR-DLF-1 Plantation Management on State Forests</i>.</p> <p>2020: Most seedlings planted on State Forests are supplied by the NYS DEC Saratoga Tree Nursery. Most of the seeds used for growing seedlings comes from seed orchards established on State Forests across New York.</p>

<p>by non-local sources. Native species suited to the site are normally selected for regeneration.</p>		
<p>6.3.f Management maintains, enhances, or restores habitat components and associated stand structures, in abundance and distribution that could be expected from naturally occurring processes. These components include:</p> <ul style="list-style-type: none"> a) large live trees, live trees with decay or declining health, snags, and well-distributed coarse down and dead woody material. Legacy trees where present are not harvested; and b) vertical and horizontal complexity. <p>Trees selected for retention are generally representative of the dominant species found on the site.</p>	<p>C</p>	<p>The Strategic Plan for State Forest Management (last updated in 2010; in draft in 2020) and this FME’s retention policy include guidelines for these habitat features. These guidelines have also been integrated into revisions of each unit management plan.</p> <p>Importance of these habitat elements has been clearly stated in both <i>Strategic Plan</i> and in most recent UMPs. Field foresters interviewed during the audit are aware of these habitat elements and take pride in demonstrating trees marked for retention to protect such habitat components. Examples were evident in most field sites visited. See Policy ONR-DLF-2 Retention on State Forests: http://www.dec.ny.gov/lands/69658.html</p> <p>2020: This requirement was discussed on Brasher SF; NYSDEC’s policy is to leave ca. 4 snags or legacy trees per acre. These trees are marked with a “W” (for “Wildlife”) as observed in various examples throughout the 2020 surveillance. More than adequate DWD also observed, thanks to whole-tree skidding methods viewed throughout audit.</p>
<p>6.3.g.1 In the Southeast, Appalachia, Ozark-Ouachita, Mississippi Alluvial Valley, and Pacific Coast Regions, when even-aged systems are employed, and during</p>	<p>C</p>	<p>More than half of the harvesting on state forests is even-aged and a number of examples were provided during site visits. See site notes. The FME has addressed this topic in detail and developed two relevant policies: ONR-DLF-2, Retention on State Forests and ONR-DLF-3, Clearcutting on State Forests.</p>

<p>salvage harvests, live trees and other native vegetation are retained within the harvest unit as described in Appendix C for the applicable region.</p> <p>In the Lake States Northeast, Rocky Mountain and Southwest Regions, when even-aged silvicultural systems are employed, and during salvage harvests, live trees and other native vegetation are retained within the harvest unit in a proportion and configuration that is consistent with the characteristic natural disturbance regime unless retention at a lower level is necessary for the purposes of restoration or rehabilitation. See Appendix C for additional regional requirements and guidance.</p>		
<p>6.3.g.2 Under very limited situations, the landowner or manager has the option to develop a qualified plan to allow minor departure from the opening size limits described in Indicator 6.3.g.1. A qualified plan:</p> <ol style="list-style-type: none"> 1. Is developed by qualified experts in 	<p>C</p>	<p>Departures from opening sizes have not been requested.</p>

<p>ecological and/or related fields (wildlife biology, hydrology, landscape ecology, forestry/silviculture).</p> <p>2. Is based on the totality of the best available information including peer-reviewed science regarding natural disturbance regimes for the FMU.</p> <p>3. Is spatially and temporally explicit and includes maps of proposed openings or areas.</p> <p>4. Demonstrates that the variations will result in equal or greater benefit to wildlife, water quality, and other values compared to the normal opening size limits, including for sensitive and rare species.</p> <p>5. Is reviewed by independent experts in wildlife biology, hydrology, and landscape ecology, to confirm the preceding findings.</p>		
<p>6.3.h The forest owner or manager assesses the risk of, prioritizes, and, as</p>	<p>C</p>	<p>Risks of invasive species are articulated in both the <i>Strategic Plan</i> and in recently prepared UMPs. The extent of invasive species in state forests varies among regions, but all regions have programs to identify, treat, and monitor key species. Interviews with the</p>

<p>warranted, develops and implements a strategy to prevent or control <i>invasive species</i>, including:</p> <ol style="list-style-type: none"> 1. a method to determine the extent of invasive species and the degree of threat to native species and ecosystems; 2. implementation of management practices that minimize the risk of invasive establishment, growth, and spread; 3. eradication or control of established invasive populations when feasible: and, 4. monitoring of control measures and management practices to assess their effectiveness in preventing or controlling invasive species. 		<p>Section Chief revealed that DEC has promoted the “Competing Vegetation Program” by supporting staff to maintain and gain their pesticide applicators license with the goal of conducting spot treatments for invasive species. Also, DEC has a newly formed Bureau of Invasive Species and Ecosystem Health which continues to monitor and control the establishment and spread of exotic and invasive species.</p> <p>2020: DEC has implemented and expanded its “Competing Vegetation Program” by supporting staff to maintain and gain their pesticide applicators license with the goal of conducting spot treatments for invasive species. Additionally, the DEC has a newly formed <i>Bureau of Invasive Species & Ecosystem Health</i> which continues to monitor and control the establishment and spread of exotic and invasive species, including EAB as discussed at Greenwood SF.</p>
<p>6.3.i In applicable situations, the forest owner or manager identifies and applies site-specific fuels management practices, based on: (1) natural fire regimes, (2) risk of wildfire, (3) potential economic losses, (4)</p>	<p>C</p>	<p>Prescribed burning is used occasionally on state forests, most often to maintain openings for wildlife. A burn permit is required. Wildfires are very rare, but when they do occur BFRM is equipped to participate in suppression. For example, during the 2016 audit the audit team visited Roosa Gap SF to view recovery from a large wildfire in 2015. The fire burned mostly in a pitch pine-chestnut oak forest, a fire-dependent community.</p> <p>No prescribed burns visited during the 2020 surveillance audit.</p>

<p>public safety, and (5) applicable laws and regulations.</p>		
<p>6.9. The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.</p>	<p>C</p>	
<p>6.9.a The use of <i>exotic species</i> is contingent on the availability of credible scientific data indicating that any such species is non-invasive and its application does not pose a risk to native biodiversity.</p>	<p>C</p>	<p>Norway spruce, Scotch pine, and Larch are the only exotic species deliberately established on NYSDEC lands. Planting is not widely used for regeneration. The state nursery provides planting materials that are from local sources when supplemental planting is the preferred option. Norway spruce is planted in limited, but declining quantities. Managers have determined through experience and document review that this species is considered non-invasive in this landscape.</p>
<p>6.9.b If exotic species are used, their provenance and the location of their use are documented, and their ecological effects are actively monitored.</p>	<p>C</p>	<p>Planting stock is acquired from the state nursery, including provenance. Success of planting and any evidence of invasion are monitored during the inventory process.</p>
<p>6.9.c The forest owner or manager shall take timely action to curtail or significantly reduce any adverse impacts resulting from their use of exotic species</p>	<p>C</p>	<p>BFRM’s Plantation Policy (<i>Strategic Plan</i>) is to move away from planting for regeneration, but Norway spruce has been successful on some sites where natural regeneration is not adequate for successful restocking.</p> <p>Several spruce and pine harvests with planned shift to native species were visiting during the 2020 audit. See site notes.</p> <p>Monitoring is conducted on a case-by-case basis with staff assigned to State Forest Management. State-wide monitoring and control of invasive, exotic species is conducted by the newly formed Bureau of Invasive Species & Ecosystem Health.</p>
<p>Principle #7: A management plan -- appropriate to the scale and intensity of the operations -- shall be written, implemented, and kept up to date. The long-term objectives of management, and the means of achieving them, shall be clearly stated.</p>		
<p>Principle #8: Monitoring shall be conducted -- appropriate to the scale and intensity of forest management -- to assess the condition of the forest, yields of forest products, chain of custody, management activities and their social and environmental impacts.</p>		

<p><i>Applicability Note: On small and medium-sized forests (see Glossary), an informal, qualitative assessment may be appropriate. Formal, quantitative monitoring is required on large forests and/or intensively managed forests.</i></p>		
<p>8.2. Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators: a) yield of all forest products harvested, b) growth rates, regeneration, and condition of the forest, c) composition and observed changes in the flora and fauna, d) environmental and social impacts of harvesting and other operations, and e) cost, productivity, and efficiency of forest management.</p>	<p>C</p>	
<p>8.2.a.1 For all commercially harvested products, an inventory system is maintained. The inventory system includes at a minimum: a) species, b) volumes, c) stocking, d) regeneration, and e) stand and forest composition and structure; and f) timber quality.</p>	<p>C</p>	<p>As confirmed through review of the SFID database and interviews itemized elsewhere in this report, this FME's inventory includes items a-f.</p>
<p>8.2.a.2 Significant, unanticipated removal or loss or increased vulnerability of forest resources is monitored and recorded. Recorded information shall include</p>	<p>C</p>	<p>Special monitoring has been undertaken in recent years to assess levels of damage from windstorms and floods. Likewise, monitoring in being carried out for several exotic insect pests and diseases. Intensive monitoring is being done for Emerald Ash Borer with pre-salvage and salvage harvests resulting (see site notes), but as of 2020, it has not yet arrived on NYSDEC forestlands.</p>

<p>date and location of occurrence, description of disturbance, extent and severity of loss, and may be both quantitative and qualitative.</p>		
<p>8.2.b The forest owner or manager maintains records of harvested timber and NTFPs (volume and product and/or grade). Records must adequately ensure that the requirements under Criterion 5.6 are met.</p>	<p>C</p>	<p>BFRM maintains records of harvest volume, product, species and acreage. Summary reports are generated each quarter and were inspected during the audit.</p>
<p>8.2.c The forest owner or manager periodically obtains data needed to monitor presence on the FMU of:</p> <ol style="list-style-type: none"> 1) Rare, threatened and endangered species and/or their habitats; 2) Common and rare plant communities and/or habitat; 3) Location, presence and abundance of invasive species; 4) Condition of protected areas, set-asides and buffer zones; 5) High Conservation Value Forests (see Criterion 9.4). 	<p>C</p>	<p>Data associated with RTEs is primarily completed by Natural Heritage Program staff with assistance from foresters and are supplemented by Natural Heritage Program’s existing data. This data provides one method to identify historic locations of RTE species. Secondly, workshops have been designed and implemented to train forest management staff to supplement these inventories with the aid of predictive species overlays. Evidence that these methods of data acquisition have been implemented include:</p> <ol style="list-style-type: none"> 1. RTE lists are contained in Appendix B of each Unit Management Plan. 2. Common and rare plant communities are described in included in draft The Strategic Plan for SF Management (estimated to be published in 2021) p. 55 and in a sample of UMPs examined during the 2020 audit. 3. Resource maps that include HCVF delineations have been distributed to each region and observed in regions 5 and 6 during the 2020 surveillance audit. 4. Foresters and NHP maintain a list of sites and visit sites classified as HCVF to monitor changes (see Criterion 9.4, below). <p>Data associated with RTEs is primarily gathered by Natural Heritage Program staff with assistance from foresters who have received training in recent workshops. Interview with Natural Heritage staff confirmed trainings. Trainings also confirmed by documentation of agendas with dates and topics covered. The Bureau of Wildlife conducts assessments of vertebrate species,</p>

		<p>with emphasis on RTE and game species. Rare plant communities are monitored by NHP; forest types by BFRM.</p> <p>Invasive species are monitored, as needed, on a regional basis, mostly as a product of the extensive field work done by foresters.</p>
<p>8.2.d.1 Monitoring is conducted to ensure that site specific plans and operations are properly implemented, environmental impacts of site disturbing operations are minimized, and that harvest prescriptions and guidelines are effective.</p>	C	<p>Foresters normally visit harvesting sites 1-2 times/week to monitor compliance with harvest plans and conditions of the Notice of Sale, and monitoring records are maintained for 1-, 3-, and 5-years post-harvest.</p>
<p>8.2.d.2 A monitoring program is in place to assess the condition and environmental impacts of the forest-road system.</p>	C	<p>The Operations Division of DEC maintains most roads on state forests and keeps records in a GIS data layer. UMPs provide an accounting of roads, needs for improvements, and plans for additional roads. Many roads in State Forests are town or county roads.</p> <p>2020: In 2019-20, foresters alerted the DEC about the rocked road that was established without consultation from NYSDEC near the entrance to Moon Pond State Forest (see site notes). Legal and remediation actions are ongoing.</p>
<p>8.2.d.3 The landowner or manager monitors relevant socio-economic issues (see Indicator 4.4.a), including the social impacts of harvesting, participation in local economic opportunities (see Indicator 4.1.g), the creation and/or maintenance of quality job opportunities (see Indicator 4.1.b), and local purchasing opportunities (see Indicator 4.1.e).</p>	C	<p>This FME completed studies related to socio-economic values of forests including the Department published the Statewide Forest Resources Assessment & Strategy (2010) and “New York State Industrial Timber Harvest Production and Consumption Report-2011”.</p> <p>BFRM periodically contracts for studies of socio-economic impacts and has utilization and marketing specialists on staff. As a public agency, numerous branches of government monitor some elements of this indicator.</p>

<p>8.2.d.4 Stakeholder responses to management activities are monitored and recorded as necessary.</p>	<p>C</p>	<p>BFRM conducts formal outreach to stakeholders as UMPs and <i>Strategic Plans</i> are prepared and revised. They also do so when new policies, e.g., extraction for natural gas, are developed and debated. Stakeholders are invited to attend open houses, visit regional offices, telephone, or send email messages in order to make their opinions known.</p>
<p>8.2.d.5 Where sites of cultural significance exist, the opportunity to jointly monitor sites of cultural significance is offered to tribal representatives (see Principle 3).</p>	<p>C</p>	<p>Sites of tribal significance are not known to occur on state forests (interview with David Witt and Ian Crisman), although tribal representatives are regularly invited to comment on management plans and their revisions; see further discussion under Principle 3, above.</p>
<p>8.2.e The forest owner or manager monitors the costs and revenues of management in order to assess productivity and efficiency.</p>	<p>C</p>	<p>As confirmed through the review of quarterly reports and the annual total harvest.xls spreadsheet and individual contracts itemized elsewhere in this report, this FME maintains records including for example harvest volume, product, species and acreage. The cost of management is monitored as described during interviews with Rob Messenger during the final day of the 2020 surveillance audit. The information that has been collected is sufficient and has been used to assess productivity and efficiency of harvest projects.</p> <p>According to this data, a large number of small (local sale) projects are administered in some regions by this FME; based on the FMEs analysis, these small local sale projects are not as efficient or productive as larger projects due to the high level of administrative overhead. These smaller sales yield a much lower value per unit of volume. While the completion of some small sale projects is desirable for a variety of reasons including but not limited to conformance with indicator 5.2.c, an increase in the proportion of longer-term (usually larger) contracts and the resulting decrease in the proportion of short-term (usually smaller) contracts in some regions may be a desired approach for this FME during these challenging economic times. Interviews conducted during this audit confirm that this FME has submitted a proposal to the state legislature that will increase the current small/local Timber sale contract cap to \$50,000 from \$10,000. If approved, this change will mean that the comptroller’s office will no longer need to approve timber harvest contracts that are less than \$50,000. This approval process will require a change to state law for revenue sales but will significantly enhance and speed up the process for timber sale contract approval.</p> <p>As confirmed through the review of quarterly reports and the annual total harvest.xls spreadsheet and individual contracts</p>

	<p>itemized elsewhere in this report, this FME maintains records including for example harvest volume, product, species and acreage. The cost of management is monitored as described during interviews with Rob Messenger. The information that has been collected is sufficient and has been used to assess productivity and efficiency of harvest projects.</p> <p>As a public agency, costs and revenues are carefully monitored. Summary statistics are found on the DEC web pages.</p>
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Principle #9: Management activities in high conservation value forests shall maintain or enhance the attributes which define such forests. Decisions regarding high conservation value forests shall always be considered in the context of a precautionary approach.

High Conservation Value Forests are those that possess one or more of the following attributes:

- a) Forest areas containing globally, regionally or nationally significant: concentrations of biodiversity values (e.g., endemism, endangered species, refugia); and/or large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance**
- b) Forest areas that are in or contain rare, threatened or endangered ecosystems**
- c) Forest areas that provide basic services of nature in critical situations (e.g., watershed protection, erosion control)**
- d) Forest areas fundamental to meeting basic needs of local communities (e.g., subsistence, health) and/or critical to local communities’ traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).**

Examples of forest areas that *may have* high conservation value attributes include, but are not limited to:

Central Hardwoods:

- Old growth – (see Glossary) (a)
- Old forests/mixed age stands that include trees >160 years old (a)
- Municipal watersheds –headwaters, reservoirs (c)
- Rare, Threatened, and Endangered (RTE) ecosystems, as defined by GAP analysis, Natural Heritage Inventory, and/or the World Wildlife Fund’s Forest Communities of Highest Conservation Concern, and/or Great Lakes Assessment (b)
- Intact forest blocks in an agriculturally dominated landscape (refugia) (a)
- Intact forests >1000 ac (valuable to interior forest species) (a)
- Protected caves (a, b, or d)
- Savannas (a, b, c, or d)
- Glades (a, b, or d)
- Barrens (a, b, or d)
- Prairie remnants (a, b, or d)

North Woods/Lake States:

- Old growth – (see Glossary) (a)
- Old forests/mixed age stands that include trees >120 years old (a)

- Blocks of contiguous forest, > 500 ac, which host RTEs (b)
- Oak savannas (b)
- Hemlock-dominated forests (b)
- Pine stands of natural origin (b)
- Contiguous blocks, >500 ac, of late successional species, that are managed to create old growth (a)
- Fens, particularly calcareous fens (c)
- Other non-forest communities, e.g., barrens, prairies, distinctive geological land forms, vernal pools (b or c)
- Other sites as defined by GAP analysis, Natural Heritage Inventory, and/or the World Wildlife Fund’s Forest Communities of Highest Conservation Concern (b)

Note: In the Lake States-Central Hardwoods region, old growth (see Glossary) is both rare and invariably an HCVF.

In the Lake States-Central Hardwoods region, cutting timber is not permitted in old-growth stands or forests.

Note: Old forests (see Glossary) may or may not be designated HCVFs. They are managed to maintain or recruit: (1) the existing abundance of old trees and (2) the landscape- and stand-level structures of old-growth forests, consistent with the composition and structures produced by natural processes.

Old forests that either have or are developing old-growth attributes, but which have been previously harvested, may be designated HCVFs and may be harvested under special plans that account for the ecological attributes that make it an HCVF.

Forest management maintains a mix of sub-climax and climax old-forest conditions in the landscape.

<p>9.4 Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.</p>	<p>C</p>	
<p>9.4.a The forest owner or manager monitors, or participates in a program to annually monitor, the status of the specific HCV attributes, including the effectiveness of the measures employed for their maintenance or enhancement. The monitoring program is</p>	<p>C</p>	<p>Interviews with NYSDEC staff and visual examination of GIS databases confirmed that regular monitoring of HCV attributes occurs by the FME and other DEC bureaus. Results are documented and recorded in relevant GIS HCVF data layers. The GIS data layers and recent relational database records of monitoring were demonstrated for the audit team during this audit program.</p>

designed and implemented consistent with the requirements of Principle 8.		
9.4.b When monitoring results indicate increasing risk to a specific HCV attribute, the forest owner/manager re-evaluates the measures taken to maintain or enhance that attribute, and adjusts the management measures in an effort to reverse the trend.	C	Management actions related to HCV attributes were reviewed. None were associated with increasing risk.
<p>Principle #10: Plantations shall be planned and managed in accordance with Principles and Criteria 1-9, and Principle 10 and its Criteria. While plantations can provide an array of social and economic benefits, and can contribute to satisfying the world's needs for forest products, they should complement the management of, reduce pressures on, and promote the restoration and conservation of natural forests.</p>		

Appendix 6 – Chain of Custody Indicators for FMEs Conformance Table

Chain of Custody indicators were not evaluated during this evaluation.

Appendix 7 – Trademark Standard Conformance Table

SCS Trademark Annex for FMEs: FSC Trademarks, FSC-STD-50-001 V2-0

- N/A, does not use/intend to use FSC trademarks for any purposes (finished with this section); or
- N/A, is fully integrated and all trademark uses are treated under the COC Annex to this report that includes a full review of FSC-STD-40-004 and FSC-STD-50-001.
- Applicable, see below.

PART I: General Requirements for Use of the FSC Trademarks

(FSC “checkmark-and-tree” logo, initials “FSC,” and/or name “Forest Stewardship Council”)

<p>Description of how the FME currently uses, or intends to use, FSC trademarks and/or labels, including but not limited to printed materials, Internet applications, on-product labeling, and other public-facing media:</p>	<p>Use is for only for: 1) promotional purposes, 2) sales documentation, and 3) internal communications/documentations.</p>
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<p>1.2 Trademark License Agreement and valid certificate In order to use these FSC trademarks, the FME shall have a valid FSC trademark license agreement and hold a valid certificate. <i>Note: Consultations for certification Organizations applying for forest management certification or conducting activities related to the implementation of controlled wood requirements, may refer to FSC by name and initials for stakeholder consultation.</i></p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p>1.6 Product Group List The products intended to be labeled or promoted as FSC certified have been included in the FME’s certified product group list.</p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p>Section 1.2 and 1.6 Evidence: Valid TLA is maintained on file. See product listing in FSC Product Classification of this report.</p>	
<p>1.3 Trademark License Code The FSC trademark license code assigned by FSC to the FME accompanies any use of the FSC trademarks. It is sufficient to show the code once per product or promotional material.</p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p>1.4 Trademark Symbol The FSC logo and the ‘Forests For All Forever’ marks shall include the trademark symbol ® in the upper right corner when used on products or materials to be distributed in a country where the relevant trademark is registered. For use in a country where the trademark is not yet registered, use of the symbol ™ is recommended. The Trademark Registration List document is available in the FSC trade-mark portal and marketing toolkit. The symbol ® shall also be added to ‘FSC’ and ‘Forest Steward-ship Council’ at the first or most prominent use in any text; one use per material is sufficient (e.g. website or brochure). <i>NOTE: The use of the trademark symbol is not required for FSC claims in sales and delivery documents, or for the disclaimer statement specified in requirement 6.2.</i></p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, one or more noted exceptions apply
<p>2.1 Restrictions on using FSC trademarks The FME has not used the FSC trademarks in the following ways:</p> <ul style="list-style-type: none"> a) in a way that could cause confusion, misinterpretation, or loss of credibility to the FSC certification scheme; b) in a way that implies that FSC endorses, participates in, or is responsible for activities performed by the FME, outside the scope of certification; c) to promote product quality aspects not covered by FSC certification; d) in product brand or company names, such as ‘FSC Golden Timber’ or website domain names; e) in connection with FSC controlled wood or controlled material – they shall not be used for labelling products or in any promotion of sales or sourcing of controlled material or FSC controlled wood; the initials FSC shall only be used to pass on FSC controlled wood claims in sales and de-livery documentation, in conformity with FSC chain of custody requirements. 	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p>2.2 Translations</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs

<p>The name 'Forest Stewardship Council' has not been replaced with a translation. A translation may be included in brackets after the name, for example: Forest Stewardship Council® (translation)</p>	<p><input checked="" type="checkbox"/> N/A, no translations</p>
<p>Sections 1.3, 1.4, 2.1, and 2.2 Evidence: Reviews of websites, sales documents (Timber Sale contracts) and other documents encountered during the audit including timber sale contracts, manuals, handbooks, and promotional materials on field information signs and online. The only public-facing use of the FSC TM and language is on the NYSDEC website, which conforms with 50-001 requirements.</p>	
<p>Sections 8 and 9 Graphic Rules The FME has only used FSC logos that conform to the standard requirements governing:</p> <ul style="list-style-type: none"> • color and font (8.1-8.3); • format and size (8.4-8.9); • label placement (8.10); and • 'Forests For All Forever' marks (9.1-9.7). 	<p><input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, not using FSC logo</p>
<p>1.5 Trademark Use Approval The FME has submitted all intended uses of the FSC trademarks to SCS for approval. OR The FME has an approved trademark use management system in place. (If the FME has a trademark use management system, complete Annex A.)</p> <p>4.6 FSC trademarks may be used to identify FSC-certified materials in the chain of custody before the products are finished. It is not necessary to submit such segregation marks for approval. All segregation marks shall be removed before the products go to the final point of sale or are delivered to uncertified organizations.</p>	<p><input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs</p>
<p>Sections 1.5 Evidence: The only public-facing use of the FSC TM and language is on the NYSDEC website, which conforms with 50-001 requirements. NYSDEC has not made any new requests for FSC trademark or logo use over this audit period.</p>	

PART II: On-Product Use of FSC Trademarks

N/A, not using on-product trademarks (skip Part II)

PART III: Promotional Use of FSC Trademarks

N/A, not using promotional trademarks (skip Part III)

<p>6.1 Catalogues, Brochures, and Websites When the FSC trademarks have been used in catalogues, brochures, or websites, the following requirements apply:</p>	<p><input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, not using trademarks in</p>
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<ul style="list-style-type: none"> It is sufficient to present the promotional elements only once in catalogues, brochures, websites, etc. If both FSC-certified and uncertified products are listed, then a text such as “Look for our FSC®-certified products” shall be used next to the promotional elements and the FSC-certified products shall be clearly identified. If some or all the products are available as FSC certified on request only, this is clearly stated. 	<input type="checkbox"/> catalogues/ brochures/websites
<p>6.2 Sales and Delivery Documents</p> <p>When the FSC trademarks are included on sales or delivery document templates that may be used for both FSC and non-FSC products, the following or a similar statement is included: “Only the products that are identified as such on this document are FSC certified”.</p> <p><i>NOTE: Use of the FSC claim and certificate code on invoices does not qualify as FSC trademark use.</i></p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input checked="" type="checkbox"/> N/A, not using trademarks on templates for FSC & non-FSC products
<p>6.3 Promotional Items</p> <p>All promotional items (e.g., mugs, pens, T-shirts, caps, banners, vehicles, etc.) have displayed, at minimum, the FSC logo and FSC trademark license code.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input checked="" type="checkbox"/> N/A, not labeling promotional items
<p>6.5 Trade Fairs</p> <p>When the FSC trademarks are used for promotion at trade fairs, the FME has:</p> <ol style="list-style-type: none"> clearly marked which products are FSC certified, or add an add a visible disclaimer stating “Ask for our FSC®-certified products” or similar if no FSC-certified products are displayed. <p><i>NOTE: Use of text to describe the FSC certification of the FME does not require a disclaimer.</i></p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input checked="" type="checkbox"/> N/A, not using trademarks at trade fairs
<p>Section 6.6 and 6.7 Investment/Financial Claims</p> <p>When investment companies or others are making financial claims based on the FME’s FSC certified operations, the FME has taken full responsibility for the use of the FSC trademarks.</p> <p>Any such claims have been accompanied by the disclaimer, “FSC is not responsible for and does not endorse any financial claims on returns on investments.”</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input checked="" type="checkbox"/> N/A, not making financial claims about FSC status
<p>7.1 and 7.2 Other Forestry Certification Scheme Logos</p> <p>The FSC trademarks have not been used together with the marks of other forest certification schemes in a way which implies equivalence, or in a way which is disadvantageous to the FSC trademarks in terms of size or placement.</p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, not using other scheme logos
<p>7.3 Business Cards</p> <p>The FSC trademarks have not used on business cards to promote the FME’s certification.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs

<p>The FSC logo or ‘Forests For All Forever’ marks are not used on business cards for promotion.</p> <p>A text reference to the FME’s FSC certification, with license code, is allowed, for example “We are FSC® certified (FSC® C#####)” or “We sell FSC®-certified products (FSC® C#####)”.</p>	<table border="1"> <tr> <td><input checked="" type="checkbox"/></td> <td>N/A, approval granted prior to July 1, 2011</td> </tr> </table>	<input checked="" type="checkbox"/>	N/A, approval granted prior to July 1, 2011				
<input checked="" type="checkbox"/>	N/A, approval granted prior to July 1, 2011						
<p>7.4 Promotion with CB Logo</p> <p>FSC certified products have not been promoted using only the SCS Kingfisher and/or SCS Global Services logo.</p>	<table border="1"> <tr> <td><input checked="" type="checkbox"/></td> <td>C</td> </tr> <tr> <td><input type="checkbox"/></td> <td>NC</td> </tr> <tr> <td><input type="checkbox"/></td> <td>C w/Obs</td> </tr> </table>	<input checked="" type="checkbox"/>	C	<input type="checkbox"/>	NC	<input type="checkbox"/>	C w/Obs
<input checked="" type="checkbox"/>	C						
<input type="checkbox"/>	NC						
<input type="checkbox"/>	C w/Obs						
<p>Sections 6.1 - 6.3, 6.5-6.7, 7.1-7. 4 Evidence: Review of websites, promotional materials and other documents. Interviews with staff regarding use of promotion and confirmation of not using business cards with FSC logo. The only public-facing use of the FSC TM and language is on the NYSDEC website, which conforms with 50-001 requirements. NYSDEC has not made any new requests for FSC trademark or logo use over this audit period.</p>							
<p>Number of trademark uses reviewed and rationale that sample choice is sufficient to confirm requirements are met: The only public-facing use of the FSC TM and language is on the NYSDEC website, which conforms with 50-001 requirements. NYSDEC has not made any new requests for FSC trademark or logo use over this audit period. The website was searched for use of “FSC” and “Forest Stewardship Council”.</p>							

Annex A: Trademark use management system

N/A, not using a trademark management system

Annex B. Additional trademark rules for group FM certificate holders

N/A, not a group FM certificate holder or group does not use any FSC trademarks

Appendix 8 – Group Management Program

This is not a group certificate, so this appendix is not applicable.