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**Rainforest  
Alliance**

*SmartWood Program*

Forest Management  
**2011 Annual audit**  
Report for:

Paul Smith's College  
In  
Paul Smiths, New York USA

Report Finalized: February 18, 2011  
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Audit Team: Dan Pubanz

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### Standard Conversions

1 mbf = 5.1 m<sup>3</sup>  
 1 cord = 2.55 m<sup>3</sup>  
 1 gallon (US) = 3.78541 liters  
  
 1 inch = 2.54 cm  
 1 foot = 0.3048 m  
 1 yard = 0.9144 m  
 1 mile = 1.60934 km  
 1 acre = 0.404687 hectares  
  
 1 pound = 0.4536 kg  
 1 US ton = 907.185 kg  
 1 UK ton = 1016.047 kg

# 1. INTRODUCTION

The purpose of this report is to document annual audit conformance of Paul Smith's College, hereafter referred to as PSC or Forest Management Enterprise (FME). The report presents the findings of SmartWood auditors who have evaluated company systems and performance against FSC forest management standards and policies. Section 2 of this report provides the audit conclusions and any necessary follow-up actions by the company through corrective action requests.

SmartWood audit reports include information which will become public information. Sections 1-3 will be posted on SmartWood's website according to FSC requirements. All appendices will remain confidential.

Dispute resolution: If SmartWood clients encounter organizations or individuals having concerns or comments about Rainforest Alliance / SmartWood and our services, these parties are strongly encouraged to contact SmartWood regional or Headquarters offices directly (see contact information on report cover). Formal complaints or concerns should be sent in writing.

## 2. AUDIT FINDINGS AND RESULTS

### 2.1. Audit conclusion

<b>Based on Company's conformance with FSC and SmartWood requirements, the audit team makes the following recommendation:</b>	
<input checked="" type="checkbox"/>	<b>Certification requirements <u>met</u>, certificate maintenance recommended</b> No CAR(s) issued
<input type="checkbox"/>	<b>Certification requirements <u>not met</u>:</b>
Additional comments:	None.
Issues identified as controversial or hard to evaluate.	None.

### 2.2. Changes in the forest management of the FME and the associated effects on conformance with the standard.

There have been no changes to PSC's staffing related to its forest management activities or in its forest management strategies and practices since their reassessment in 2009.

As of the date of the audit, PSC brought two additional ownership parcels under their FSC certificate. On the Airport 3 Tract, Stands 101, 102, 201, 204, and 205, totaling 347 acres, have been added to PSC's FSC acreage. PSC does not own all of the property rights on the only other forested area on Airport 3 that could be managed for forestry (although this area is currently managed under the same forest management systems as PSC's certified lands). Since PSC manages the property in cooperation with the Town of Harrietstown, who has the development rights, this area remains excluded from PSC's FSC certificate. The boundaries

for this area have been surveyed. All planned forest management activities were completed on Airport 3 in 2008, prior to its coming under the certificate. No other harvest activity is scheduled in this tract for the next 15 years.

PSC is also in the process of adding the VIC 3 Tract to the certificate. This was the remaining area of the VIC property that was previously leased by PSC to the State of NY-Adirondack Park Agency (APA) for the APA's Visitor Interpretive Center. This area consists of 1,660 total acres in the northeast and central parts of the VIC property, excluding the 30-acre area of infrastructure for the Interpretive Center from the certificate. This new acreage will be refined by the next audit as areas unsuited to forest management are identified and excluded from planning.

It is necessary to clarify PSC's total fee title ownership and the acreage under the FSC certificate. PSC's total fee title ownership is currently 12,542.2 acres, which was previously reported as PSC's FSC-certified acreage. PSC is including under their certified acreage only fee title forested acreage, which consists of commercial harvest acreage and educational use acreage. The FSC-certified acreage claimed by PSC, as of the date of the audit, is 9,880.5 acres.

**2.3. Stakeholder issues**

PSC reported no outstanding stakeholder issues. No stakeholder issues were discovered during the audit. Unsolicited stakeholder input was not received by the auditor or by SmartWood.

**2.4. Conformance with applicable corrective action requests**

The section below describes the activities of the certificate holder to address each applicable corrective action issued during previous evaluations. For each CAR a finding is presented along with a description of its current status using the following categories. Failure to meet CARs will result in nonconformances being upgraded from minor to major status with conformance required within 3 months with risk of suspension or termination of the SmartWood certificate if Major CARs are not met. The following classification is used to indicate the status of the CAR:

Status Categories	Explanation
Closed	Operation has successfully met the CAR.
Open	Operation has either <u>not met</u> or has <u>partially met</u> the CAR.

Check if N/A (there are no open CARs to review)

**2.5. New corrective actions issued as a result of this audit**

New corrective actions were not issued during this audit.

**2.6. Audit observations**

**Observations** are very minor problems or the early stages of a problem which does not of itself constitute a non-conformance, but which the auditor considers may lead to a future non-conformance if not addressed by the client. An observation may be a warning signal on a particular issue that, if not addressed, could turn into a CAR in the future (or a pre-condition or condition during a 5 year re-assessment).

<b>OBS 01/11</b>	<b>Reference Standard &amp; Requirement: FSC-National US Standard and Family Forest Standard (Northeast Regional Standard V9.0)</b>
On July 8 <sup>th</sup> , 2010 the FSC Board of Directors approved the revised FSC Forest Management National Standard for the US, including the FSC Family Forest Standard. Now that this revision is finalized it will replace the current <i>Revised Final Forest Stewardship Standard for the Northeast Region, Version V9.0 2/10/05</i> .	
<b>Observation:</b> PSC's systems and procedures should be updated and implemented to conform to this standard by the next annual audit. Conformance to the requirements of the new standards will be evaluated during the next annual audit.	

<b>OBS 02/11</b>	<b>Reference Standard &amp; Requirement: 5.5.a</b>
Field observations verified that diversity was typically considered and protected during management activities. The only exception was at the Airport 1 2010 timber sale, where downed woody material, especially of larger size classes, was rare after a whole-tree chipping harvest on a sandy, conifer harvest site. This stand likely resulted from railroad fires in the early part of the last century, and consisted of relatively open stocking with a range of tree diameters, including small/large sawtimber. Young, vigorous, larger diameter trees are now present on the site. There were opportunities to have retained some portion of the harvested larger diameter material to provide large downed woody habitat elements sooner than will now occur, since it will take some period of time for the healthy trees to contribute to downed woody material.	
<b>Observation:</b> PSC should ensure that all aspects of biological diversity are considered, protected, and enhanced during the course of forest management operations and as a distinct element of overall forest management.	

### 3. AUDIT PROCESS

#### 3.1. Auditors and qualifications:

Auditor Name	Dan Pubanz	Auditor role	Forester
Qualifications:	M.S. (1988) and B.S. (1985) in Forestry, University of Wisconsin-Madison. Sixteen years of experience in public land management with responsibility for all pre-harvest activity on a 250,000-acre landbase in Wisconsin, which was FSC-certified for 10 years. Currently, practicing small-scale private land resource management throughout Wisconsin since 2003. Experienced in Lake States silviculture, private and public land management issues, FMP development, and forest management planning. Since 1999, extensive experience in FSC auditing of businesses, forest management organizations, and public lands in the Midwest, Appalachians, and Northeast US, having performed over 50 FSC		

	FM audits or assessments, 15 as Team Leader.
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### 3.2. Audit schedule

Date	Location /Main sites	Principal Activities
August 9, 2010	Office of PSC's consultant	Opening meeting: Review changes to FME management systems, structure, personnel, operating environment, and the disposition of properties; stakeholder issues; discuss evidence for the Criteria to be reviewed during the audit.
August 9, 2010	VIC 3, Tongue, Airport 1, Airport 3, and Johnson Tracts	Review PSC field performance.
August 9, 2010	PSC Administration Building office	Closing meeting: Review field findings, preliminary CARs/OBSs (if required), discuss additional evidence needs.
August 9, 2010	Off site.	Additional stakeholder/ FME consultation and evidence review.

Total number of person days used for the audit:**3.5**  
= number of auditors participating 1 X number of days spent in preparation, on site and post site visit follow-up including stakeholder consultation **3.5**

### 3.3. Sampling methodology:

This is the first annual audit for PSC since their reassessment in 2009. The office visit included discussion and a review of documents to address any organizational changes PSC experienced over the past year and to evaluate the effects of those changes on the ability of PSC to conduct forest management in conformance with the FSC Standard. The field objective for this annual audit was to verify that PSC forest management practices continue to meet the FSC Principles and Criteria (P&C) and other requirements. To accomplish these objectives, the SmartWood audit involved interviews with PSC staff and consultants, a review of documents, and a field performance review of their forest management practices.

The audit focused on areas where management activity had been initiated or completed since the reassessment (VIC 3, Tongue, Airport 1, Johnson), and on the new property added to the certificate since the reassessment (Airport 3). The auditor reviewed management practices or discussed PSC management proposals at each field site for multi-aged intermediate and regeneration treatments, management of a variety of forest cover types, protection of riparian/wetland areas, and for a range of harvest conditions and techniques. PSC provided data and descriptions for all harvest areas.

The auditor was accompanied in the field by the PSC consultant in charge of the forested properties and by the forestry consultant (Northwoods Forest Consultants) contracted by PSC to provide management services. PSC was asked to discuss the management objectives for each site visited, the means used to accomplish them, and how PSC policies and procedures

guided actions in the field. The auditor walked a portion of each site to view site conditions and management effects.

### 3.4. Stakeholder consultation process

Stakeholder consultation for the audit focused on verifying conformance with the FSC Standard.

<b>Stakeholder type</b> (i.e. NGO, government, local inhabitant etc.)	<b>Stakeholders notified</b> (#)	<b>Stakeholders consulted or providing input</b> (#)
Adjacent property owner	1	0
Government agency	2	1

### 3.5. Changes to Certification Standards

Forest stewardship standard used in audit:	Northeast Regional Forest Stewardship Standard V9.0
Revisions to the standard since the last audit:	<input checked="" type="checkbox"/> No changes to standard. <input type="checkbox"/> Standard was changed (detail changes below)
Changes in standard:	N/A
Implications for FME:	Not applicable - no new requirements