

NCCF FOREST MANAGEMENT AUDIT REPORT- PUBLIC SUMMARY

Uttar Pradesh Forest Corporation (UPFC) <i>Lucknow, Uttar Pradesh</i>	
Certificate Code	GIPL-FM-0001
Client Contact Person	Mr. A.K. Dwivedi, Managing Director
Client Address	Aranya Vikas Bhawan, 21/475, Indira Nagar, Lucknow, Uttar Pradesh
Telephone	0522-2716609
Website	http://www.upforestcorporation.in/
Certified forest Area	4,04,104 ha
Audit Type	Full Evaluation Audit
Date of Evaluation (Audit dates)	30 th October to 3 rd November 2018
Date of certificate Issuance	13-February-2020
Date of certificate expiration	12-February-2025

Certificate Issued by:	GICIA India Pvt. Ltd.
Address:	505, Matrix towers, Opposite Jaypee Hospital, Sector 132 Noida, Uttar Pradesh. Pin Code: 201301
Website:	www.gicia.org
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1. FME General Information

1.1 Scope of Certification

Area Under the Scope of Certification: 404104 ha			
Geographic Location Latitude: Please refer below Longitude: Please refer below			
Type of Forest under the Scope of the certificate: <input checked="" type="checkbox"/> Natural Forest <input checked="" type="checkbox"/> Plantations			
Certificate type: <input type="checkbox"/> Single Certificate <input checked="" type="checkbox"/> Multiple Certificate <input type="checkbox"/> Group Certificate			
Enlist Name of FMUs (applicable for the Group/Multiple Certificate)			
S. No.	Name of the FMU	Area (ha)	Geographical location
1	South Kheri	42856	27°45'N to 28°30'N 80°00'E to 80°45'E
2	North Kheri	43968	27°42'N to 28°46'N 80°12'E to 81°16'E
3	Najibabad	34846	29°-4' to 29°-48' N 78°-7' to 78°-41'E
4	Pilhibit	73142	28°46'N to 28°52'N 79°55'E to 82°15'E
5	Katarniyaghat	13496	27° 41' To 27° 56' 81° 48' To 81° 56'
6	Sohelwa	68837	27°30'01" To 27° 55'43 82° 13' 00" To 82° 48' 33"
7	Shiwalik	33326	30°-0' to 30°-25'N 77°-32' to 78°-1' E
8	Gonda	20293	26°47'00" To 27°32'30" N 81°37'50" To 82°37'35" E
9	Bahraich	12066	27020' To 280 10' 81 0 25" To 820 05'
10	Shahjahanpur	12103	27°26'N to 28°15'N 79°21'E to 80°15'E
11	Gorakhpur	16389	26° 35' To 27° 17'N 83° 13' To 83° 35' E
12	Bijnor	15595	29° 2' to 29° 58' N 77° 58' to 78° 56' E
13	Srawasti	17187	27°20' to 28°10' N 81° 25' To 82°

1.2 Composition of Certified Forest Area

A. Production Forest Details	Area (ha)
Forest from which timber is harvested (as prescribed in working plan):	249399

Forest classified as 'Plantation': Plantations area on strips (Road/Canal/Rail lines)		NA
Forest regenerated primarily by replanting or by a combination of replanting, natural regeneration and coppicing of the previous plantations and/or naturally regenerated stems (249399
Silvicultural system(s) (Even-aged, Uneven aged and Others)		
S.No.	System of felling	Area (ha)
1.	Even-aged management	NA
	Clear felling	
	Other	
2	Uneven-aged management	
	Individual tree selection	
	Selection system	401404
	Other:	
3	<input type="checkbox"/> Other (e.g. JFMC, Forest nurseries, bund plantations, bamboo, silvipastoral system, agro-forestry system, etc.)	NA

B. Conservation			
Area of forest and non-forest land protected from commercial harvesting of timber and managed primarily for conservation objectives as prescribed in Working Plan: 154705 ha			
Area of Forest classified as High Conservation Forest Value			72378.5 ha
Area of forest classified as 'high conservation value forest'			72378.5 ha
Not Applicable (Skip below table and move to next section)			<input type="checkbox"/>
Applicable (Fill below table)			<input checked="" type="checkbox"/>
HCV Code	Description of HCV	Location	Area (ha)
HCV1	Forest land containing Concentrations of biological diversity including endemic species, and rare, threatened or endangered species, that are significant at global, regional or national levels.	Parvati Aranga Wildlife Sanctuary	1084
		Pilhibit Tiger Reserve	71288
HCV2	Intact forest landscapes and large landscape-level ecosystems and ecosystem mosaics that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.	NA	
HCV3	Rare, threatened, or endangered ecosystems, habitats or refugia.	NA	
HCV4	Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.	NA	
HCV5	Sites and resources fundamental for satisfying the basic necessities of local communities or Indigenous Peoples (for example for livelihoods, health, nutrition, water),	NA	

	identified through engagement with these communities or Indigenous Peoples.		
HCV6	Sites, resources, habitats and landscapes of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities or Indigenous Peoples, identified through engagement with these local communities or Indigenous Peoples.	Sacred Groves: Samay Mai ka Sthan – Kuana Range Van Sati Devi – Kuana Range Vansati Devi – Tikari Comp. 4	6.5
Total HCVF Area			72378.5

1.3 Product Categories

These are the categories to be included in scope of FM certificate (available for sale as PEFC/NCCF-certified products) and list of main commercial timber and non-timber species:

Product Category, Botanical Name & Common Trade Name			
Product Category			
<input checked="" type="checkbox"/>	01000 Roundwood	<input type="checkbox"/> 01010 Sawn logs and veneer logs <input type="checkbox"/> 01020 Pulpwood <input type="checkbox"/> 01030 Chips and particles <input type="checkbox"/> 01040 Wood residues <input checked="" type="checkbox"/> 01050 Other industrial roundwood	
<input type="checkbox"/>	02000 Fuelwood and charcoal	<input type="checkbox"/> 02010 Fuelwood (incl chips, residues, pellets, brickets, etc.) <input type="checkbox"/> 02020 Charcoal	
<input type="checkbox"/>	03000 Sawn wood and sleepers	<input type="checkbox"/> 03010 Railway sleepers <input type="checkbox"/> 03020 Sawn wood	
<input type="checkbox"/>	13000 Non-wood products	E.g. Latex	
<input type="checkbox"/>	11000 Cork and cork products	<input type="checkbox"/> 11010 Natural cork and cork waste <input type="checkbox"/> 11020 Cork manufactures	
<input type="checkbox"/>	14000 Other		
Species Categorization under PEFC system			
Coniferous	All woods derived from trees classified botanically as Gymnospermae - e.g. fir (<i>Abies</i>), parana pine (<i>Araucaria</i>), deodar (<i>Cedrus</i>), ginkgo (<i>Ginkgo</i>), larch (<i>Larix</i>), spruce (<i>Picea</i>), pine, chir, kail (<i>Pinus</i>), etc. These are generally referred to as softwoods.		
Non-coniferous tropical	All woods derived from trees classified botanically as Angiospermae - e.g., maple (<i>Acer</i>), alder (<i>Alnus</i>), ebony (<i>Diospyros</i>), beech (<i>Fagus</i>),	Non-coniferous woods originating from tropical countries.	

Non-coniferous other	<i>lignum vitae (Guaiacum), poplar (Populus), oak (Quercus), sal (Shorea), teak (Tectona), casuarina (Casuarina), etc.</i> These are generally referred to as broadleaved or hardwoods.	Non-coniferous woods originating from countries other than tropical.
Not specified		

List of commercial timber and non-timber species under certification scope

Acacia catechu (Khair), Aegle marmelos (Bael), Albizia lebbeck (black siris), Albizia procera (safedsiris), Alstonia scholaris (Chitvan), Barringtonia acutangula (Samundarphal), Bauhinia purpurea (Kaniyar), Bombax ceiba (semal), Bridelia retusa (Khasa/Kaji), Buchania cochinchinensis (Chironji), Cassia fistula (Amaltas), Cordia dichotoma (Lasora), Dalbergia sissoo (shisham), Dillenia pentagyna (Karmal), Diospyros exculpta (Tendu), Ehretia laevis (Chamror), Phyllanthus emblica (Amla), Eucalyptus spp. (Eucalyptus), Ficus bengalensis (Bargad), Ficus hispida (gobla/katgularia), Ficus palmate (anjeer), Ficus racemose (Goolar), Ficus rumphii (kabaipipal/pakad), Grewia tiliifolia (Dhaman), Haldina cordifolia (Haldu/karam), Holoptelea integrifolia (Kanju/chilbil), Hymenodictyon orixense (bhurkur/kala-bachnag), Kydia calycina (pulaa), Lagerstroemia parviflora (Dhaura/asidi), Lannea coromandelica (Mohin), Leucaena leucocephala (Subabool), Litsea glutinosa (medhalakari/chandna), Litsea monopetala (Meda/jangli-rai-am/gava), Madhuca longifolia var. latifolia (Mahua), Mallotus nudiflorus (Pindalu/kumkum), Mallotus philippensis (rohini/sinduri), Miliu savelutina (Choparchilla/domsaal), Mitragyna parvifolia (Kaim/faldu), Bergera koenigii (kadi patta), Desmodium oojeinense (Sandan), Putranjiva roxburghii (Putrajeeva), Schleicheria oleosa (Kusum), Semecarpus anacardium (Bhilawan/agnimukh), Shorea robusta (sal/shakhu), Sterculia villosa (Katira/udal), Stereospermum chelonoides (Padeli), Streblus asper (Dahia), Syzygium cumini (Jamun), Syzygium heyneanum (Kathjamun), Tectona grandis (Teak/shagaun/saagvan), Haplophragma adenophyllum (Kath Sagon), Terminalia elliptica (asna), Toona ciliata (Toon), Ziziphus mauritiana (Ber), Mangifera Indica (mango), Acacia Nilotica (babool/kekar). Acacia auriculiformis (aauri), terminalia arjuna (arjun), ceiba pentandra (safeedsemal), Neolamarckia Anthocephalus (cadamba) (Krishna kadamba), Artocarpus heterophyllus (kathal), Tetrameles nudiflora (jungli dungy), Azadirachta indica (neem), Melia azedarach (bakain), Haplophragma adenophyllum (Kathsagaon), Bombax ceiba (harisemal)

1.3 Standards Used for Audit

Name of the Standard	Version	Date of Finalization
NCCF Forest Management Standard (NCCF STD-FM-01/2017)	V1.0	2017
NCCF Logo Usage Standard	V1.0	15th March 2018

2. Audit Plan and Sites Visited

Date	Name of sites Visited	Activities done (in brief)
Day 1: 30-10-2018	Uttar Pradesh Forest Corporation	Opening Meeting: Introductions, client update, review scope of evaluation, audit plan, intro/update to NCCF Forest Management certification, confidentiality and public summary, conformance evaluation methods and review of open CARs/OBS, emergency and security procedures for evaluation team, final site selection.
	Chouch Van Nigam	Checked all depot registers, meeting and training

	<p>Timber Depot, Lakhimpur Kheri</p>	<p>registers, records and stocks of timber intake in the depot and out flow from the depot (1266 m³ logs and 230 m³) cut sizes in the stock as on the day as per records; Last year annual sale of Rs 40 million reported); (Sal timber and logs for UP Govt and mango certified material bought by private buyers), sales invoices, way permits, sales records; verified non-certified materials which are kept separately and also interacted with the DSM and other field staff etc. Safety equipment like gum boots and helmets along with first aid kit and fire extinguishers were found to be in place; Boundary wall, fencing and night lights etc. were intact.</p>
	<p>Gorakhpur Circle Nursery Operations – Basaudi Nursery</p>	<p>Team visited Basaudi Nursery in Faizabad division. The team verified non-usage of chemical pesticides, nursery operations and technology. The team also reviewed status of the annual targets.</p>
<p>Day 2: 31-10-2018</p>	<p>Gola SF range East South Kheri Div. Plantation 16-17</p> <p>Mohamadali range Logging on Gola Shazahanpur SH 8th to 12th km road side</p> <p>Mailani timber Depot</p>	<p>Inspection and discussion with staff in following areas -Plantation (10 ha) raised in recovered forest area; misc. species doing well -boundaries pillars</p> <p>-Logging area–mainly old huge eucalyptus and some Sissoo (approx. 30 years old) being logged for road widening after obtaining due permissions from the competent authority; -checked logging register, marking list and production record (1.1.), permits (2.1) etc/also inspected and discussed with contractor about workers payment, safety, equipment like power saws, gum boots, helmets, welfare and other aspects; workers are wearing helmets and are insured under FME labour insurance scheme -Checked all depot registers, meeting and training registers, records and stocks of timber intake in the depot and out flow from the depot (2163 m³ in the stock as on the day as per records; inspected).</p> <p>Certified material (totally 66 spp. including Mango, Sal, Sissoo but not many takers for these due to high premium as per the officials. (Only around 1.2% of the material sold from Nigam depots is certified wood due to lack of demand); Also witnessed live auction and interacted with bidders whose concerns were communicated to the DSM.</p>

	<p>North Kheri Div. Bheera range Elephant camp Plantation Nursery</p>	<p>-Checked health and accident related systems records and found them in place; -sales invoices, way permits, sales records were also checked; verified non certified materials which are kept separately -Also interacted with the DSM and other field staff etc. -Safety equipment, such as gum boots and helmets along with first aid kit and fire extinguishers (12) were found to be in place in working conditions; -Boundary wall, fencing and night lights etc were inspected and observed intact. -The infrastructure, depot roads, and office etc are in very poor condition and need large scale repairs.</p> <p>-Inspected elephant camp where 10 elephants are kept warding off human animal conflict which is huge in this area, due to presence of tigers and leopards which stray in villages very often resulting in casualties and injuries to villagers. -Plantation Charasi beat comptt 15 ha 2017; Jamun and Sal planted; good survival -Nursery in chak beat 46000 seedlings misc. spp. like jamun, sisoo, arjuna, gutel, honge); Banned pesticide was being used earlier to ward off termite attack which is of serious nature. The staff explained that previously due to severe attack they were forced to continue the use of banned pesticides due to lack of alternatives for termite control and to save young and old forests. The DCF also briefed about serious protection and man animal conflict prevailing in this area and wanted more support in terms of budget, staff, and infrastructure.</p>
	<p>Visit to Nurpur Khajuri Akbarpur Ahamatmal & Rasulpur papade Ahatmal (previously encroached area)</p> <p>Visit to Khajanabar sales depot</p>	<p>Meeting with Saharanpur Conservator 12 ha of land was released from the gram Samaj for plantation. 5000 plants which includes. <i>Dalbergia sissoo</i> (shisham), kadam, <i>Toona ciliata</i> (toon), chukroshia, <i>Syzigium cuminii</i> (jamun), <i>Terminalia arjuna</i> (arjun), <i>Tectona grandis</i> (teak), guava etc. were planted.</p> <p>Interaction with DSM of logging division, checked Sales Register, stock register, Transit pass for the certified wood, safety requirements are fulfilled;</p>

	<p>Visit to Mohand Range (khajanabar 2B; Sal Protection and Development Management)</p> <p>Visit to Bhudabhan nursery (Mohand range)</p>	<p>fire extinguishers are placed in the working place. Fencing around the depot was not proper. Stacking was done properly.</p> <p>Visit to Khajanabar 2B, total area 6800 ha; Reserve forest area; management plan was checked; regeneration plan, compartment history register was maintained; compensation register was checked.</p> <p>Species planted in Nursery were <i>Dalbergia Sissoo</i> (shisham), <i>Terminalia arjuna</i> (arjun), lasura, kanjir, banna, teak (<i>Tectona grandis</i>), <i>Bahunia variegata</i> Interacted with nursery staff, payment is being done on time; basic facilities are provided to the working staff.</p>
	<p>Gorakhpur Team Meeting with CCF – Gorakhpur Circle</p> <p>Visit to Assisted Natural Regeneration (ANR) Sal Forest area</p> <p>Taungya Village and Sal Plantations</p> <p>Roadside plantations, Kushinagar Forest Division Eco-tourism site</p>	<p>Team reviewed Training and relevant documents like wage payment receipts at Chief Conservator of Forests office.</p> <p>Discussion with the Forest officer and workers. The team visited Sal Forest in Gorakhpur and Khushinagar Forest division. The team verified the boundary demarcation, stump marking on the harvested trees, assisted natural regeneration and sample conservation plot in the Forest division.</p> <p>The team had a consultative meeting with the previously Taungya villagers; discussed about socio-economic opportunities and benefits from the forests.</p> <p>The team visited the roadside plantation verified the road plantation maps, plantation monitoring journal. UPFC in collaboration with State Tourism department is working together for establishing “Buddha Circuit” (a pilgrimage site for Buddhists).</p>
Day 3: 01-11-2018	<p>Kataraniaghat wildlife division</p> <p>Motipur Eco tourism area</p> <p>Motipur nursery</p>	<p>The eco-tourism centre is being run in partnership with EDC (7 members from local community) on revenue sharing basis with Van Nigam; Increase by 15-20% in tourist arrivals; employment to around 25 locals. 3 vehicles being run by Nigam and rest by EDC and they want more tourist arrivals. Was informed about a school called Mowgali school being run by Satyendra Kumar S.I. STF which is stationed for protection of forests.</p> <p>95000 tall plants of around 20 varieties raised last</p>

		<p>season being maintained for next year plantations. No banned pesticides being used. Instead Neem based ones are in use.</p>
	Motipur Depot	<p>Around 5000m³ in stock mainly Khair, sisoo, jamun; Staff informed that due to reduced demand and fall in offer price, lot of khair stock has built up despite repeated efforts; this is a concern.</p>
	Motipur ANR 2018-compatt. 29/V planting area and visit around core HCV areas.	<p>8 ha planted with Jamun, Arjuna mostly in a very well stocked natural forest core area which is fenced; Reportedly wildlife includes tiger. It is core area of the tiger reserve; poaching is not an issue here as per staff; fire protection work going on; Field staff is using MSTRIFE software to monitor patrolling in the jungles.</p>
	Nishatgadh Forest HCV area	<p>Very good Sal tree regeneration area; well protected with the help of Sashtra Seema Bal (SSB) although international Nepal border is only 5 km; Elephants and Rhinos from Nepal cross over into these forests ; Management plan will expire in 2 years' time; Meanwhile tiger conservation plan is being updated; Leopard conflict serious (3 human deaths) and 6 of them have been shifted to Etawah in the recent past; 60% vacancy in this division and 40% in Nigam seriously affecting work; There is a plan to run eco-train on the existing railway line which has now been stopped for commercial use by High Court.</p>
	Sadar beat –compatt X HCV area	<p>RET spp also include Mahseer, dolphin, ghariyal, otter, and leopards (100) besides tiger (25). Also, Krait and cobra are chief reptiles found here besides cheetahs, barking deer and sambhar the chief herbivores; Birds include brown headed eagles, fishing eagles and owlets.</p>
	International Border Pillar No 76	<p>Interacted with SSB who go for joint patrolling with FMU staff; Also inspected forests which are well demarcated on FMU side by CPT etc; Nepal side is completely cleared for rehabilitation and this has caused serious anthropogenic pressure on these forests; Protection is strengthened by deployment of PAC.</p>
	Rampurva	<p>Visited and interacted with EDC and saw</p>

	<p>Katarania ghat eco-tourism cum interpretation center</p> <p>Return to Motipur and Halt</p>	<p>handicraft works of few members which is being tied up with FME for sale in their eco-tourism centers. EDC consisting of around 100 members many of which are settlers from far off Thar desert is getting all support from FMU and FME.</p> <p>Inspected above center and ghariyal (<i>Gavialis gangeticus</i>) and dolphin rehabilitation center which is not maintained.</p> <p>About 50% vacancy in the FMU and recently proposal is moved for recruiting forest guards; Budget of FMU also reduced (2.5 crores allotted as against proposal of 6.5 crores);</p>
	<p>Jafrabad compartment no. 7; Range Kauriyan Plantation</p> <p>Jafra-6 Bijnor Logging Division</p> <p>Jafrabad Depot</p> <p>Visit to social forestry area; Daranagar Nijawatpura; Bijnor Range and nursery in Bijnor range</p>	<p>One-hectare area was planted in 2018; MGNREGA Plantation; social forestry area</p> <p>Total of 35000 cubic feet estimated to felled in year 2018-19; Operational plan was checked for the current year; operational plan for the next year will be ready by December; safety measures are provided for the labour in felling site; helmets, gum boots, safety jackets are provided while working; Interview with scalar and labour about payment and other facilities.</p> <p>100% certified timber; online auction is being done to sell the timber, timber photos are provided online; interview with stakeholders (traders); interview with depot staff.</p> <p>10 ha of area was planted; 6250 species were planted; species <i>Acacia catechu</i> (khair), shisham, black siris, jamun; interview with the watcher</p>
	<p>Gorakhpur Circle</p> <p>Campianganj Depot</p> <p>Sal Forests, Campianganj</p>	<p>Team visited depot area, verified the chain of custody operations; verify invoice and stamps used;</p> <p>Team found that no purchase from this particular depot has been done.</p> <p>Team randomly verified three invoices to trace the origin of the wood.</p> <p>Team interviewed workers for health and safety and payments</p> <p>The team visited the Forest area – predominantly Sal Forest – verified tree marking, harvesting</p>

		marks and demarcation
Day 4: 2-11-2018	Motipur to Bahraich Division	Discussion with Motipur eco-tourism centre staff who wanted more power for managing daily issues as they are also facing competition from private safaris. Also discussed logging and other issues with DLM Bahraich who informed that since monsoon was over only recently, fresh marking list is yet to be prepared by the FMU.
	Chakiya Range office and discussion with the DCF and staff and checking of documents and records	Bahraich DFO informed that working of the non-wild life areas (buffer areas -2 ranges) is being done under sanctioned working scheme (dead and fallen extraction only) for 2 years as full-fledged working plan is yet to be completed after its expiry. There is a plan to include these in Tiger Action Plan. Meanwhile ANR working is also awaiting sanction from NGT.
	Visit to Compartment no. 6 and International boundary pillar no 43	This range has serious poaching ,forest protection, encroachment (83 ha evicted out of 130 ha encroachment) and fire protection problems, being again a border range, which the staff has commendably faced and reduced such instances drastically as seen by the records; such cases have fallen by 90% (presently around 15 cases reported as against earlier 120 and odd cases) by strict patrolling and by invoking gangster act and anti-mafia act, by seizure and confiscation of vehicles and saw mills and by constant perambulation of International border with the help of PAC and SSB etc; The leadership provided by senior officers and response of the lower staff has been tremendous in controlling this menace. ; fire is kept under control since last 2 years; FRA cases settled; Maoism is also a serious issue; This range needs extra support from the govt. due to above sensitivity prevailing; The DCF has sent a proposal in this regard which needs to be examined seriously by the head office. Otherwise all the good work done in the recent past is feared to go back to old days of no control. Sal regeneration in above forest visited by us is very good thanks to above efforts even though the area is right on the international border facing severe problems mentioned above from across the border.
Joginia nursery (Chakiya range)	Nursery operation have begun to raise 4 lakh (misc) seedlings; no chemical fertilizers being used; using vermicompost which is started on a	

	<p>Road side planting of Bahraich SF range (Nanpara-Mihirpura road)</p> <p>Road side logging area 2018</p> <p>Kalpipara Depot (Bahraich)</p>	<p>small note by the RFO who also informed that there is no termite problem here; Nursery workers are trained first according to the staff.</p> <p>2018 planting (3.9 km); tall plants of mango, sisso, ficus, neem, semal; established well; being fenced now; The RFO informed that he has 90ha planting and 4 lakh seedlings target for next year.</p> <p>On the same road inspected road side tree felling area in which 1200 trees have been felled; checked logging registers including training records (15-16, 16-17 and 17-18) and health and safety aspects which were found in place as seen and discussed in the field; Also interacted with laborers (hired directly by FME) and staff on above aspects including payments etc; no issues reported in these regards.</p> <p>5000 sal sleepers which are certified) prepared for govt and ready for delivery; protection needs strengthening as villagers have access thorough broken wall and fences; internal depot roads too need repairs; checked sale records; stock register and ; E app based sale and RIDF chips are being introduced on pilot basis; would need staff to man these new initiatives; Loading unloading being done by machines brought on hire through contactor; physical stock verification done regularly through internal and external checks ; All relevant documents and registers checked and found maintained ; Staff welfare society is formed; Safety and security aspects in place including equipment to deal with any unforeseen exigencies ; A small nursery also started by the depot staff; large quantity of unsold khair and sisoo due to higher floor price is also a concern for the depot officer. Overall infrastructure improvement is required.</p>
	<p>Meerut Circle Nursery Amroha</p> <p>Visit to Kumrala depot and Munadapade depot</p>	<p>Interaction with DFO Amroha; nursery register was checked; Nursery register was well maintained.</p> <p>Interview with depot staff; facilities are provided to the depot staff inside the depot; stacking was proper; safety measures were taken to avoid any losses; fire extinguishers are being used</p>

	<p>Visit to plantation – Moradabad</p> <p>Visit to Industry sites and Stakeholder consultation</p>	<p>Interview with DFO; total area of 11 ha was planted with 12100 plants of <i>Dalbergia sissoo</i>, <i>Syzgium cuminii</i>, <i>Tectona grandis</i>, <i>Ficus religiosa</i> etc.; one-year old plantation.</p> <p>Meerut team had a discussion with nearby handicraft and furniture industry procuring certified raw material from the FME. The team also consulted with the local traders and buyers.</p>
	<p>Gorakhpur Team Sohelwa Forest Division</p> <p>Seema Suraksha Bal (SSB) – Border Safety Force</p> <p>Vulture restaurant</p> <p>Meeting with NGO representatives Kuvana Depot</p> <p>Ramgarh Depot</p>	<p>The team visited reserve forests area and assessed conservation activities. The team also witnessed the pugmarks of leopard and its cub indicating good health of the forest and protection of the forests.</p> <p>The audit team consulted with the representatives from SSB to discuss cases of illicit activities on International Border area. The SSB personnel briefed the audit team about their patrolling and monitoring activities to curb illicit activities.</p> <p>In Balrampur area of Sohelwa, the DFO informed about a special site that forest department is maintaining. This site, called as Vulture Restaurant, is famous for dumping carcass of cattle and pet animals for scavenging. The newly opened site will help in conserving the Vulture’s species.</p> <p>The audit team consulted a local NGO representative and an environmentalist. The team verified the invoices for Sale of Certified material.</p> <p>The team verified the health and safety measures, facilities to the depot workers, wages and complaint register.</p>
Day 5: 3-11-2018	<p>Gorakhpur Circle HCV area</p> <p>Parvati Aranga Wildlife Sanctuary</p>	<p>The team visited the Parvati Aranga protected area and Sacred groove. The audit team interacted with the Head Priest to understand impact and benefits from forest activities.</p> <p>Team visited the area and verified training documents, complaints, maps, Habitat Improvement work etc.</p>
	UPFC office	Closing Meeting Preparation: Auditor(s) consolidated notes, deliberated, and confirmed evaluation findings. Closing Meeting: Reviewed preliminary findings (potential non-conformities

		and observations) and discussed next steps.
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3. Audit Team

Name of the Auditor	Role	Qualifications	Brief Experience
Mr. Arun Kumar Bansal	Lead Auditor	M.Sc Forestry; Indian Forest Services (Retd); Former Additional Director General (Forest); qualified IRCA lead Auditor	Has experience of more than 35 years in government in forestry, trade of NWFPs, wildlife management in sectors in India. He has participated in FM audits and Surveillance Audit in U.P Forest Corporation, International papers, JK Papers and New Ambadi.
Dr. Jagdish Kishwan	Lead Auditor	M.Sc. Forestry; Indian Forest Services (Retired), Chief Advisor to Ed & CEO and Former Head, Policy and programme implementation at Wildlife Trust of India and Former Additional Director General (Wildlife), MoEF. Qualified IRCA, NCCF FM lead Auditor	38 years' experience of working in Government in forestry, natural resources, water-conservation and wildlife management sectors in India. He has participated in FM audits of New Ambadi Estate, International Papers, SARA, TFDPC and UPFC
Mr. Avani Kumar Varma	Auditor	Indian Forest Service (R), M.Sc. (Physics), Associate of Indian Forest College, Dehradun and Post-graduate Diploma in Environmental Law from National Law University School of India Bangalore. Qualified IRCA lead Auditor.	He has about 38 years' experience of working in Government in forestry, plantations, natural resources, eco-tourism and wild life management sectors in India. He has participated in FM audits and Surveillance Audit in SARA Dandeli, Bhamaragarh Forest Division, U.P Forest Corporation, Patneswari Agri. Co-Operative Society Ltd. (PACL) Orissa, Tripura Forest Development Corporation and Kasu Brahmananda National Park Hyderabad in India. He has also done peer review of audit report of Horana plantations of Sri Lanka.
Ms. Taruna	Audit team	M.Sc. Environmental Sciences.; ISO 9001:2008 certified Auditor; NCCF Forest Management Auditor.	Participated in FM audits in JKPM Evaluation Audit and Surveillance audits of SARA, TFDPC, New Ambadi, Uttar Pradesh Forest

			Corporation and International Papers APPM.
Mr. SM Raghavendra	Audit team	M.Sc Forestry and Phd (Pursuing) Agroforestry; ISO 9001 QMS Lead Auditor.	Has participated in SARA first surveillance audit in Dec 2017; Auditor NCCF Chain of Custody
Mr. Shreevathasa Jois H.J.	Audit team	M.Sc. in Wood Sciences and Technology; B.Sc. in Forestry; IRCA ISO 9001 certified Lead Auditor;	Has participated in Forest Management audits
Ms. Nidhi Choudhary	Technical Expert	M.Sc. in Wood Sciences and Technology, B.Sc. In Forestry;	M.Sc. in Wood Sciences and Technology, B.Sc. In Forestry

4. Audit Results

The Table below shows the strengths and weaknesses of the subject forest management operation relative to the applicable standard. Weaknesses are noted as Corrective Action Requests (CARs) related to each principle in section 4.1.2 below.

4.1 Findings

4.1.1. Strength and Weaknesses

S.No.	Principle	
1	Compliance to National, State and Local laws and International treaties and regulations	
	Strength	-FME has a strong legal base and was established under UPFC Act 1974, by the state legislature of Uttar Pradesh. Forest managers regularly and timely pay taxes, dues, royalties and other charges. FME follows the ILO, CITES, ITTA guidelines as India is a signatory country. -All the applicable taxes and royalties are paid by client on time.
	Weaknesses	However, the team found a few areas of weakness, Refer Finding No. 1 and 2
2	Land Tenure, Rights and Responsibilities	
	Strength	-Land and Tenure rights of the forest areas are clear and legally secure and documented. All the forest area belongs to the government and is managed by respective divisional working plan approved by Ministry of Environment, Forest and Climate Change. -Customary tenure and use rights of the local people have been settled at the time of creation of reserve forests and the remaining which are disputed are under arbitration with the courts.
	Weaknesses	However, the team found a few areas of weakness, Refer Finding No. 3
3	Development and implementation of a Management Plan/Working Plan	
	Strength	-FME has very well documented written management plan which complies with the NCCF P & C at most of the places. Management plans are revised after every 10 years by the Working Plan Officer. Revisions of the management plan is adaptive in nature. The management/working plans are very well implemented at the field level through the annual prescriptions transcribed from them. -The state forest department has various monitoring mechanism to assess

		the implementation of the working plan and other guidelines issued by PCCF and HoFF office.
	Weaknesses	However, the team found a few areas of weakness. Refer finding No. 4 and 5
4	Monitoring, Assessment and Review of management plan and its implementation	
	Strength	<p>-The management plan is periodically monitored after review and required changes or any update if required are made in the management plan.</p> <p>-Monitoring is carried out by PCCF (Monitoring and Evaluation) and UPFC officials separately. Monitoring plan is documented by the forest managers are put in place. Monitoring done by under Monitoring and Evaluation is very stringent and punitive actions are taken if forest managers are not found to be implementing said guidelines.</p> <p>- Forest managers practice adaptive management by incorporating the monitoring result</p>
	Weaknesses	However, the team found a few areas of weakness. Refer finding No. 6. 7,8
5	Forest Management activities – Social, Economic and Environmental Impacts	
	Strength	<p>-The social and environmental impact reports are provided for the area under certification. Forest managers have safeguards to protect RTE species in the area -Conservation and protection zones have been established by the forest managers throughout the length and breadth of the area wherever required.</p> <p>-Forest managers have put in place to identify and understand various ecological values in FMU</p> <p>-In addition to this, the team interacted with the locals and were satisfied with forest management operations and livelihood opportunities produced for local communities.</p>
	Weaknesses	However, the team found few areas of weakness. Refer finding No. 9 and 10
6	Forests and Climate Change – contribution of forest management activities to climate change mitigation and adaptation, change in forest carbon inventories etc.	
	Strength	-The FMU showed interest in the carbon sequestration of the plantations, though they have not initiated the process. During interaction with the - Forest Officials it was found that Uttar Pradesh Forest Department will be shortly engaging Forest Survey of India (FSI) for forest inventory and carbon sequestration assessment shortly.
	Weaknesses	No weaknesses found
7	Inventory and sustainable harvest regimes for forest resources	
	Strength	<p>-The FME has well defined records of all the harvest produced from the certified area.</p> <p>- The harvesting rate is done based on the sustainability parameters and only dead, dying and moribund trees are marked for felling.</p>
	Weaknesses	No weaknesses found
8	Benefits from Forests	
	Strength	-Forest managers operate on financially viable principles and is profit making entity. Forest managers have diversified the forest products and have incorporated NTFPs in their inventory. Forest managers have put in place policies for minimal wastage of the forest products. Forest managers are very well aware of the forest services within the FME and

		<p>have documented the same. Annual Allowable Cut has been fixed through scientific analysis in the forests.</p> <p>-Client was also found to be venturing into Ecotourism activities to realize optimum benefits from the forests.</p>
	Weaknesses	<p>However, the team found a few areas of weakness. Refer finding No. 11, 12, 13</p>
9	Community rights and relations – Forest management operations recognize the rights of local communities, forest dwellers and indigenous people/tribals and maintain and enhance their long term social and economic well-being	
	Strength	<p>-Forest department and corporation work in close association with the community and locals. All the customary and legal rights given to locals, communities and tribal are respected and recognized. All such rights are given communities. Forest department also ensure to provide opportunities to locals for forestry related field operations.</p> <p>-The rights of local communities and tribal communities are secured.</p> <p>-The right of passage, right to collect firewood, sal leaves, NTFPs etc were found to be secured</p> <p>- It was also found that client was engaging local communities for forest management operations like harvesting, afforestation, managing EDC, Ecotourism shops etc.,</p>
	Weaknesses	No weaknesses found
10	Workers’ rights – including permanent, temporary and contract workers at all levels	
	Strength	<p>-FME has ensured that all the safety equipment has been provided to the workers like helmets, boots, safety gloves etc.</p> <p>-Fire Extinguishers have been placed in the depot. Records of any injury to the workers during the work is maintained and compensation is also provided</p> <p>-FME is following all Labour related regulations like – group insurance, sanitation and workers’ health and safety, workers’ shed etc.</p>
	Weaknesses	However, the team found an area of weakness. Refer finding No. 14,15,16
11	Ecology, biodiversity and Natural Resource Management – Conservation, Enhancement and Rehabilitation	
	Strength	Protected Areas are being maintained and protected by excluding all interfering activities interfering activities like logging, removals etc. and by concentrating only on eco habitat developmental and protection works.
	Weaknesses	However, the team found a few areas of weakness. Refer finding no. 17
12	Identification, Protection and Management of High Conservation Value Forests (HCVFs)/Special Sites for conservation	
	Strength	HCV identified in the form of wild life sanctuaries and tiger protection areas. The management plans and its executive summary of management plans of protected areas are revised every 10 years.
	Weaknesses	No weaknesses found
13	Forest ecosystem services – identifying, quantifying and valuation of both tangible and non-tangible ecosystem services	
	Strength	The Ecosystem Services have been identified
	Weaknesses	No weaknesses found
14	Biodiversity conservation – including measures for conservation and maintenance and rehabilitation of losses to biodiversity values arising out of management activities or occurring within the FME	
	Strength	Forest data is collected as per the forest resource assessment

		methodology. Such an assessment covers - Forest composition and distribution, plant species diversity, status of biodiversity conservation of forests, status of species prone to over exploitation, conservation of genetic resources, fauna and their habitats, threats and challenges to wildlife, protection and management of fauna
	Weaknesses	No weaknesses found

4.1.2 Corrective Action Requests and Observations

Finding No.	NCCF-FM Indicator	CAR Type	Corrective Action Request
1	1.4.2	Minor	FME shall initiate immediate action to map actual resource required in corporation as well as in forest department at field level keeping in view the present and future load of work and management operations and ensure that adequate staff is made available or proper protection of FME assets and property and meeting management objectives and to minimize the illegal activities.
2	1.5.3	Obs.	The FME should provide the correct details of the area under the scope of the certification. If significant increase or decrease in the area under the scope of certification has been occurred, the notification should be released for transparency.
3	2.1.2	Minor	The FME shall ensure that measures are in place and well taken to ensure that no illegal and unauthorized activities take place inside the FME's operations and interfere with its management and protection objectives.
4	3.3.1	Obs.	Forest workers should engage in regular dialogue with stakeholders that are subject to impact from forest operations.
5	3.3.2	Obs.	The FME shall solicit the opinion of identified stakeholders in the process of plan development, plan implementation as well as plan revision. The process of consultation is based on free, prior and informed consent (FPIC) and shall be documented, both at plan preparation stage as well as during implementation and monitoring stage.
6	4.3.2	Minor	The FME shall ensure that Monitoring protocols for different areas as per the prescriptions of the Management Plan are developed and regular monitoring and management changes considered based on result of monitoring.
7	4.3.3	Minor	The FME management shall undertake performance review against monitoring indicators in achieving objectives of forest management. The reviews are undertaken at the FME level at least annually.
8	4.5.1	Obs.	The FME should put in place specific system for adaptive management based on performance against measurable indicator
9	5.1.4	Obs.	The FME should upload the summary of the assessment report on the Public domain of the FME website.
10	5.4.5	Minor	The FME shall take steps to fence in parts progressively the Sal regeneration area in the Compartment 2b Mohand to obviate the damage to young regeneration by livestock and human trespassing and to ensure that regeneration is successful in

			areas where felling has been done.
11	8.3.2	Minor	FME shall ensure that spacing between the stacks is proper and as per the norms prescribed by the FME to avoid any losses due to accidental fires.
12	8.3.3	Minor	The FME shall have written guidelines for retention of harvest residue as well as other biomass on site.
13	8.3.5	Minor	FME shall ensure that regeneration operations in the above mentioned and other such areas, if any, are taken up on priority.
14	10.1.1	Obs.	FME should ensure that equipment's are periodically inspected, and related documents are maintained at the depot.
15	10.3.1	Minor	FME should issue proper guidelines for engagement of and payment to workers at the depot and ensure that periodic reconciliation of amount due and payments made to the workers is done and record thereof are kept.
16	10.3.2	Minor	FME should issue proper guidelines for engagement of and payment to workers as per the national/state norms of minimum wages.
17	11.3.1 11.3.2	Minor	FME shall ensure that guidelines/officer order for not using chemical pesticides is available with all the nurseries and all instructions are uniformly circulated.

5. Stakeholder Comments

Aspect	Economic	Social	Environmental
Evaluation Audit			
Comments from Stakeholders (if any)	Stakeholders consulted during the visit in Meerut division raise their concern about the grading of logs in the sales depot.	During consultation with NGO representatives in Sohelwa, the representative suggested that Forest Department should be more cautious for the Indo-Nepal safety for both wildlife concerns and conservation.	The team visited Taungya villagers. These villagers are settled on forest fringes and have concerns related to lack of income opportunities and education facilities.

6. Pesticide and Other Chemical Use

Name of Pesticides or other Chemicals used.	FME does not use any pesticides. All chemical pesticides have been replaced by biopesticides, like Neem cake and Neem oil.
Name active ingredients of the pesticide used	Not Applicable
What is the reason to use pesticides and chemicals	Not Applicable
Average consumption of Pesticides and other Chemicals used	Not Applicable

7. Certificate Recommendation and Decision

Certification Recommendation	
<p>Auditor's Recommendation</p> <p>FME be awarded NCCF certification as a "NCCF FM Standard Certified well Managed Forests" subject to acceptance of non-conformances and fulfills corrective action requests stated in Section 4.</p>	<p>Yes <input checked="" type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Any other Remarks:</p>
<p>Technical Review's comments and Certification Decision</p> <p>FME can be awarded NCCF FM certification subject to –</p> <ul style="list-style-type: none"> - closure of all Major Non-conformities before certificate issuance - fulfilling minor corrective action requested within stipulated time 	<p>Yes <input checked="" type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Any other Remarks:</p>