

NCCF FOREST MANAGEMENT AUDIT REPORT- PUBLIC SUMMARY

Uttar Pradesh Forest Corporation (UPFC) <i>Lucknow, Uttar Pradesh</i>	
Certificate Code	GIPL-FM-0001
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Certified forest Area	450408.31
Audit Type	Extra Audit- Scope Enhancement Audit
Date of Evaluation (Audit dates)	24 th to 29 th February 2020
Date of certificate Issuance	13-February-2020
Date of certificate expiration	12-February-2025

Certificate Issued by:	GICIA India Pvt. Ltd.
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1. FME General Information

1.1 Scope of Certification

Area Under the Scope of Certification: 450408.31			
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	Amroha	6208.39	29°12'11" N 78°31'55" E
2	Rampur	1361.54	28°50'33" N 79°01'04" E
3	Moradabad	282.65	28°50'44" N 78°46'13" E
4	Sambhal	185.20	28°35'31" N 78°34'14" E
5	Meerut	1542.17	28°59'24" N 77°42'22" E
6	Hapur	1320.63	28°56'37" N 77°39'33" E
7	Gautam Budh Nagar	2231.36	28°45'59" N 77°46'20" E
8	Bulandshahr	8551.22	28°24'29" N 77°51'00" E
9	Bagpat	1755.00	28°56'34" N 77°13'30" E
10	Ghaziabad	852.77	28°46'49.1" N 77°31'03.9" E
11	Bareilly	2909.67	28°22'15" N 79°25'47" E
12	Badayun	7777.94	28°02'01" N 79°07'37" E
13	Saharanpur	547.43	29°58'13" N 77°33'16" E
14	Muzaffarnagar	1762.26	29°28'25" N 77°42'30" E
15	Shamli	5128.44	29°26'58" N 77°18'58" E
16	Ayodhya	4425.82	26°47'32" N 88°11'55" E

17	Ambedkar Nagar	384.73	26°30'26" N 82°41'21" E
18	Azamgarh	2388.18	26°04'52" N 83°11'05" E
19	Mau	1286.18	25°56'45" N 83°33'50" E
20	Baliya	1811.74	25°46'01" N 84°09'01" E
21	Kushinagar	1280.10	26°30'10" N 83°46'46" E
22	Devariya	494.51	26°44'24" N 83°53'10" E
23	Siddharth Nagar	3697.02	27°17'58" N 83°05'30" E
24	Sant Kabir Nagar	2356.69	26°47'38" N 83°02'09" E
25	Basti	6231.98	26°48'21" N 82°44'40" E
26	Sohagibarwa	1386.39	29°17'21" N 83°53'39" E
27	Hardoi	13200.37	27°23'17" N 80°06'36" E
28	Sitapur	7632.88	27°33'41" N 80°40'30" E
29	South Kheri	43258.23	27°45'N to 28°30'N 80°00'E to 80°45'E
30	North Kheri	44095.61	27°42'N to 28°46'N 80°12'E to 81°16'E
31	Najibabad	34846.00	29°-4' to 29°-48' N 78°-7' to 78°-41'E
32	Pilhibit	73452.71	28°46'N to 28°52'N 79°55'E to 82°15'E
33	Katarniyaghat	13496.00	27° 41' To 27° 56' 81° 48' To 81° 56'
34	Sohelwa	23198.70	27°30'01" To 27° 55'43" 82° 13' 00" To 82° 48' 33"
35	Shiwalik	33326.00	30°-0' to 30°-25'N 77°-32' to 78°-1' E
36	Gonda	20318.25	26°47'00" To 27°32'30" N 81°37'50" To 82°37'35" E
37	Bahraich	12437.25	27020' To 280 10' 81 0 25" To 820 05'
38	Shahjahanpur	12753.07	27°26'N to 28°15'N 79°21'E to 80°15'E
39	Gorakhpur	16686.25	26° 35' To 27° 17'N 83° 13' To 83° 35' E
40	Bijnor	16321.56	29° 2' to 29° 58' N 77° 58' to 78° 56' E
41	Srawasti	17225.44	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): 13 Territorial Divisions (including RF areas and block and strip plantations - roadside, railway and canal side) - 3,61,415.07 ha and Social Forestry Division (strip plantations -roadside, railway and canal side) – 88,993.24 ha		450408.31
Forest classified as 'Plantation': Plantations area on strips (Road/Canal/Rail lines) in both Territorial (3099.37) and Social Forestry division (23356.18 ha)		26455.55
Forest regenerated primarily by replanting or by a combination of replanting, natural regeneration and coppicing of the previous plantations and/or naturally regenerated stems (RF area in 13 divisions (358315.70 ha) and block plantations in RF in Social Forestry divisions (65637.06 ha)		423952.76
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	4,50,408.31
	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:			
All 13 territorial forest divisions are managed primarily for conservation purposes, only dead, dying and morbid trees are extracted. However, few forest divisions are more important from conservation point of view considering linkages to Protected area (Wildlife Sanctuary and Tiger reserves). These divisions are Pilibhit Forest Divisions (73452.71 ha), Sohelwa Forest Division (23198.70) and Katarniyaghat Forest Division (13,496 ha)			
Area of Forest classified as High Conservation Forest Value			73459.21 ha
Area of forest classified as 'high conservation value forest'			73459.21 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
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.	Pilhibit Tiger Reserve	73452.71
HCV2	Intact forest landscapes and large landscape-level ecosystems and ecosystem mosaics that are significant	NA	

	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.		
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), identified through engagement with these communities or Indigenous Peoples.	NA	
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			73459.21

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>), lignum vitae (<i>Guaiacum</i>), poplar (<i>Populus</i>), oak (<i>Quercus</i>), sal (<i>Shorea</i>), teak (<i>Tectona</i>), casuarina (<i>Casuarina</i>), etc. These are generally referred to as broadleaved or hardwoods.	Non-coniferous woods originating from tropical countries.
Non-coniferous other		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 lebeck* (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), *Schleichera 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), *Millettia pinnata* (kanji), *Santalum album* (Chandan), *Pithecellobium dulce* (Jungli Jalebi), *Kigelia spp.* (*Balamkheera*), *Cassia siamea* (kassod tree).

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: 24-02-2020	Gautam Budh Nagar Forest Division	Opening meeting with DFO Gautam Budh Nagar and UPFC officials were on Skype call; Discussed scope and sites to be covered during the audit Audit team split into two teams A and B
	TEAM B Surajkund Nursery (Gautam Budh Nagar Forest Division)	Visited Surajkund Nursery covering 1.5 hectare of area; Interview with the field staff; cow dung and vermicomposting are used as bio-fertilizers; Nursery Register was checked; 28 species planted in the nursery which include Shisham, <i>Ficus</i> , Jamun, Arjuna, Acacia catechu etc.; around 2.5 lacks seedlings were planted in the nursery. Nursery was properly fenced for protection from the wild animals. Guard was also posted to provide safety during the night. Basic amenities like shelter rooms for workers etc. were also available.
	Dadri Railway side Plantation (Gautam Budh Nagar Forest Division)	Visited 2017-18 Dadri Railway side plantation covering 36 ha of plantation, visited railway side plantation; species planted were Kanji, Arjun, Shisham, babul, Prosopis, Amla etc., Plantation was properly fenced Visited TPC Dadri bypass 2017-18 Roadside Plantation; Plantation was in 9 km stretch; Plantation was properly fenced to protect it from the cattle and human interference.
Day 2: 25-02-2020	TEAM B Raithani Depot; (Meerut Region ,) 28°56'37" N 77°39'33" E	Visited Raithani depot covering 10 ha of area ; area was taken from forest department on lease; Checked depot register 1.1, staff are now using handheld device for filling the register 3.2 and 3.7 and all the registers i.e. 1.1, 3.2 and 3.7 are maintained by adding the entries from the handheld device; Checked fire extinguishers; major species in the depot were Shisham, Eucalyptus, Jamun etc.; Interview with the depot staff; Checked accident register and Medical kit in the depot; No case of accident was noticed; Checked staff list of the depot; there was shortage of staff in the depot. Helmets and gum boots were provided to the workers. Basic amenities like rest room etc. were also there. Only certified material was present in the depot.
	Sardhana Range; Barnawa Road (11 to 12 km)	Visited logging site in the Sardhana Range, Felling was done by Sub-contractor and Forest Corporation staff was also present for marking of

	29°7'29" N 77°30'34" E	the logs; workers were following safety rules and using helmets, gumboots during the felling. Major species marked for felling was Eucalyptus. Forest department and Corporation staff was also present at the time of felling. They had marking list and same is verified in the field also. The felling operation was being carried out for more than 35 years old roadside plantations. Workers are receiving the timely wages directly in their account.
	East Yamuna Canal Side Plantation (30°1'33" N 77°31'48" E	Visited 2014-15 canal Side Plantation; it was old plantation and major species were Babul, kanji, Sal, Teak, Shisham etc. Forest department has also prepared adjoining area of 30 ha with plantation for fresh plantation which was encroached earlier by the local people. Soil work like digging of the pits was completed and plantation will be done in the coming year.
	Chilkana Roadside Plantation	Visited 6 ha roadside plantation, 2017 plantation along the chilkana roadside, Major species planted are Shisham, Gutel, Chukrasia, Jamun etc
	Aasanbali Nursery 30°08'N 77°35'3" E	Visited Aasanbali nursery covering an area of 2.5 ha; checked nursery register, vermicomposting being done in the nursery, major species present in the nursery are Rhudhraksh, Rakhtchandan, Almond, Eucalyptus, Melia, Guava, Kanakchampa, Gutel, Neem, Arjuna etc; total seedlings present in the Nursery are around 3.1 lacs
	Hindon Vatika 29°57'13" N 77°38'12" E	Visited 13 ha of 2018-19 plantation; the land was previously encroached, and encroachment was evicted in 2017-18 and an urban forest park was established; Proper fencing was provided to the plantation and guard was also there. Proper weeding operations are being carried out as same is verified during the visit. Workers were also interviewed during the visit about the payment and other facilities. Survival percentage was also calculated as it is a part of the monitoring exercise.
Day 3: 26-02-2020	TEAM A Kachhauna Range, Hardoi Social Forestry Division 27°14'03" N 80°35'48" E	Visited Kamipur Nursery, 3.5 ha. Major species grown – bougainvillea, sagon, shehtoot. Worker training provided in 2 phases – one to gardener by forest guard and other to SHG. 6,95,000 new plantations planned for 2020, 1,48,000 existing from 2019. Interacted with women workers,

	<p>Neerbang Filganj Roadside Plantation</p> <p>27°38'74" N 80°23'30" E</p>	<p>payment received online. Visited nearby Kachhauna depot. The team observed that the depot had been properly demarcated and fenced. The depot received material from Hardoi social forestry division only. CoC procedures were checked randomly, and found to be correct. Eucalyptus and Sal timber were found to be in high demand. Since only certified material coming from the Hardoi SF Division is stacked in the depot, no special arrangement for segregation for certified and non-certified products is required. Understaffing was reported to be an issue.</p> <p>Meeting with DFO Hardoi at DFO Office. Working Plan expired in March 2019. Working Scheme for 2 years sent for approval to MoEFCC. Complaints received through CM's portal and Tehsil Samadhan Divas.</p> <p>Visited 2019 Neerbang Filganj Roadside plantation Spread over an area of 6 ha with 3750 plants. The plantation was observed to be duly demarcated using boundary pillars, and was found to be fenced also. Observed <i>Prosopis juliflora</i> in the area. Soil compactness reportedly improved because of prosopis growth.</p>
	<p>Chandraval Nursery, Mishrik Range, Sitapur Division</p> <p>Sarayan Riverside Plantation, Sitapur 27°57'41" N 80°66'79" E</p> <p>Prakashth Depot, Sitapur 27°59'02" N 80°65'73" E</p>	<p>Visited Sarayan Riverside 2017 Plantation. 6 ha area. Major species: Arjun, Shisham, Kanji, Kajnoor, Semal. The audit team found that the nursery was effectively protected by watch and ward staff. The nursery was also found to be duly fenced providing effective protection from cattle and humans.</p> <p>Visited Sitapur Social Forestry Division depot. 8 workers in the depot. Last training of trainer conducted in December 2019. The team observed that the depot had been properly demarcated and fenced. The depot received material from Sitapur social forestry division only. CoC procedures were checked randomly, and found to be correct. Eucalyptus and Sal timber were found to be in high demand. Since only certified material coming from the Sitapur and Hardoi SF Division is stacked in the depot, no special arrangement for</p>

		segregation for certified and non-certified products is required.
	<p>TEAM B</p> <p>Naitor-Hardoi road 29°19'16" N 78°22'25" E</p> <p>Panipat Khatima Marg 151-56 km 29°18'49" N 78°21'19" E</p> <p>Nehtor Dharampur road 29°19'N 78°27'46" E</p> <p>Ram Ganga Feeder canal (26 to 41 km) 29°12'11" N 78°31'55" E</p>	<p>Visited 1984-85 plantation along the roadside, Major species planted were Mango, Eucalyptus, Shisham and Jamun; Monitoring of the plantation being done by the beat officer; lops and tops are provided for the local people after felling</p> <p>Visited Eucalyptus roadside plantation, it was 2015-16 plantation. Growth and Survival of the percentage is being calculated in monitoring and Evaluation process.</p> <p>Visited 2016 canal side plantation; Interview with the forest staff, major species planted were Shisham, Teak, Bakain, Chukrasia, Kadam, Teak etc.</p> <p>Area under plantation was 15 ha with around 9500 plants</p>
	<p>Ram Ganga Feeder canal (61 to 69 km) 28°59'3" N 78°16'25" E</p>	<p>Visited 2019 canal side plantation; Major species planted were Shisham, Kachnar, Bahera, Acacia auriculiformis, Neem, Jamun, Peepal etc. Interview with the forest staff</p>
	<p>Ram Ganga Feeder canal side plantation</p>	<p>Visited 2019-20 canal side plantation; it was a replanted site which was harvested in 2019; Plantation was properly fenced; major species planted were Shisham, Kachnar, Baheda etc.; Interview with the watcher confirmed that the wages were being paid regularly. Total area under plantation was 800 ha and it was fenced to protect it from the cattle and human interference. No human interference was observed and verified by interviewing the guard.</p>
Day 4: 27-02-2020	<p>Team A</p> <p>Prakashth Depot, Chhauch, Lakhimpur-Kheri Forest Division</p> <p>27°59'02" N 80°65'73" E</p>	<p>Visited Sale Depot of Lakhimpur-Kheri Forest Division, started in 1999. Logs from territorial and some social forestry divisions (Nighasan Road, Pallia-Bhira Road, Lakhimpur-Gola Road) of Lakhimpur-Kheri, both North and South, come to the depot. Around 78% of the total logs entering the depot are from social forestry divisions. First aid box available. Lots were checked for CoC procedures and were found to be in order. No</p>

	<p>Biswan Roadside Plantation</p> <p>Nursery, 11th Battalion PAC Campus</p>	<p>complaints reported from depot workers. Proper demarcation of the depot was observed</p> <p>Meeting with SDO Sitapur and RO Sitapur at Range Office.</p> <p>Visited two 2019 plantations at Tappa Khajuria, one 6 ha with 6600 plants, other 10 ha with 11000 plants Harvesting and growth records were found to be maintained in respective plantation journals and annual monitoring records.</p> <p>Visited Biswan Roadside 2017 plantation. 11-13 km, 3125 plants. Major species: shisham, arjun, jamun, ficus, chitwan, sagon.</p> <p>Visited 1 ha nursery in 11th Battalion PAC Campus. 2019 production 4,18,555. 2020 plan – 3,72,150. Sagon and Eucalyptus produced mostly.</p> <p>Visited DFO Office, Sitapur. Working Plan expired in 2019. Working Scheme for 2 years sent for approval to MoEFCC.</p>
	<p>Team B Ghaziabad Division DFO Office</p> <p>Forest Range office and Nursery Muradnagar 28°46'49.1" N 77° 31'03.9" E</p>	<p>Document review at Ghaziabad office; Interview with SDO Ghaziabad; Checked working plan of Ghaziabad, areas details; total area under plantation; Documents like working plan, complaint, plantation journal etc. were checked. Other documents like copies of various laws, regulation and policies were also present at the time of interaction at DFO Ghaziabad office.</p> <p>Document review at range office; Checked plantation journal of old plantations; checked monitoring records of the plantations.</p> <p>Also, visited nursery; Major species planted were Jamun, Guava, Silver oak, <i>Pongamia Pinnata</i>, Kanakchampal, <i>Pterocarpus acerifolium</i>, Shisham; Interview with the staff; total area was 2.5 to 3 ha</p>
	<p>Upper Ganga Plantation 28°48'40.0" N 77° 31'01.3" E</p>	<p>Visited 2013-14 plantation; it was around 5 ha plantation; Checked plantation Journal; major species planted were Pongamia, Amaltash and Shisham; Interview with field staff; Growth and Survival data of the plantation was also checked by the audit team.</p>
	<p>Upper Ganga Plantation; (96 to 97 km)</p>	<p>Visited 2014 plantation; total area 5 ha; Boring was there for irrigation; major spp planted were <i>Albizia Lebbeck</i>, <i>Siris Spp. Chilbil</i>, 4m* 4m spacing</p>

	28°48'40.0" N 77°31'01.3" E	was adopted in the plantation, Growth and Survival data of the plantation was also checked by the audit team.
Day 5: 28-02-2020	TEAM A: Kushahri Plantation, Ayodhya Division Rudauli Range University Plantation Takpura Depot Pandey Pakauli Nursery Bikwajitpur Gram Samaj, Akbarpur Range	<p>Visited Kushahri 2019 plantation. 8ha, 16000 plants. Species planted – sagon, shisham, kanji, etc. Plantation was properly demarcated using pillars and was properly fenced.</p> <p>Visited Basaudi Nursery. 1,81,699 plants sold in 2019. 2020 plan – 2,00,000. 1,17,938 plants sold to villagers from 155 gram sabhas and to other departments. 40% vacancy in the division, 1 forest guard per 20-gram panchayats. Working Plan from 2019-20 to 2028-29.</p> <p>Visited 2017 Bhelsar-Tikrinagar roadside plantation. 4 km, 5 ha, 3125 plants. Species planted – shisham, mango, jamun, pipal, paakad, etc.</p> <p>Visited plantation in University area. 5 ha.</p> <p>Visited Takpura depot, which receives timber from Ambedkar Nagar and Ayodhya social forestry divisions. CoC procedure was verified. Almost 1500-2000 cu.m material comes every year. Depot is properly demarcated with guards also employed for security of stocks. Fire safety provisions were in place; however, fire extinguishers were yet to be inspected and refilled.</p> <p>Visited Pandey Pakauli Nursery. 2 ha. Monitoring done for villagers who procured plants from nursery. FSI starting third party monitoring. Working Plan approved in December 2019 (till 2028-29).</p> <p>Visited Bikwajitpur 2017 plantation. 5 ha. 3125 plants.</p> <p>Visited 2014 Gobind Ganesh plantation. 5 ha.</p> <p>Visited DFO Office, Ambedkar Nagar. No dispute reported. Land dispute handled by Revenue Dept.</p>

		Training records checked.
Day 6: 29-02-2020	UPFC Head Office, Lucknow	Team A and Team B Closing Meeting with UPFC officials. Discussion of Corrective action Requests

3. Audit Team

Name of the Auditor	Role	Qualifications	Brief Experience
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. Arun Kumar Bansal	Auditor	M.Sc Forestry; Indian Forest Services (Retd); Former Additional Director General (Forest)	Has experience of more than 35 years in government in forestry, trade of NWFPs, wildlife management in sectors in India. He is a qualified IRCA lead Auditor. He has participated in FM audits and Surveillance Audit in U.P Forest Corporation, International papers, JK Papers and New Ambadi.
Dr. Devendra Pandey	Trainee Auditor	PhD in Forest Biometry, Assessment & Monitoring, M.Sc. in Forestry; Indian Forest Service (Retired). ISO 19011 certified Lead Auditor; Qualified NCCF FM Lead Auditor	More than 30 years of experience in Forest Inventory; FAO; M&E: Policy Advocacy; NWFP; Forest Management; Wildlife and tribal welfares. Also, participated in FM audit of ITC-PSPD paper mill
Ms. Taruna	Auditor	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. Abhijit Sharan	Trainee Auditor and Technical Expert	M.Sc. in Environmental Economics; ISO 19011 certified Lead Auditor; Qualified FSC FM and NCCF FM Lead Auditor)	Participated in Surveillance audits of UPFC, ITC, SARA and pre-assessment audit of Telangana State Forest development Corporation

			(TSFDC)
Ms. Nidhi Choudhary	Trainee Auditor and Technical Expert	M.Sc. in Wood Sciences and Technology, B.Sc. In Forestry; Qualified NCCF FM and FSC FM Lead Auditor exam; ISO 9001:2015 QMS Certified LA	Participated in FM audits of JK Paper mills and UPFC, Did Coordination of around dozen FM audits.

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	No weaknesses found
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	No weaknesses found
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. 1,2 and 3
4	Monitoring, Assessment and Review of management plan and its implementation	
	Strength	-The management plan is periodically monitored after review and required changes or any update if required are made in the management

		<p>plan.</p> <ul style="list-style-type: none"> -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. - Forest managers practice adaptive management by incorporating the monitoring result
	Weaknesses	However, the team found a few areas of weakness. Refer finding No. 4
5	Forest Management activities – Social, Economic and Environmental Impacts	
	Strength	<ul style="list-style-type: none"> -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. -Forest managers have put in place to identify and understand various ecological values in FMU -In addition to this, the team interacted with the locals and were satisfied with forest management operations and livelihood opportunities produced for local communities.
	Weaknesses	However, the team found few areas of weakness. Refer finding No. 5
6	Forests and Climate Change – contribution of forest management activities to climate change mitigation and adaptation, change in forest carbon inventories etc.	
	Strength	<ul style="list-style-type: none"> -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	<ul style="list-style-type: none"> -The FME has well defined records of all the harvest produced from the certified area. - The harvesting rate is done based on the sustainability parameters and only dead, dying and moribund trees are marked for felling.
	Weaknesses	However, the team found a few areas of weakness. Refer finding No. 6
8	Benefits from Forests	
	Strength	<ul style="list-style-type: none"> -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 have documented the same. Annual Allowable Cut has been fixed through scientific analysis in the forests. -Client was also found to be venturing into Ecotourism activities to realize optimum benefits from the forests.
	Weaknesses	However, the team found a few areas of weakness. Refer finding No. 7
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	-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. -The rights of local communities and tribal communities are secured. -The right of passage, right to collect firewood, sal leaves, NTFPs etc were found to be secured - It was also found that client was engaging local communities for forest management operations like harvesting, afforestation, managing EDC, Ecotourism shops etc.,
	Weaknesses	However, the team found a few areas of weakness. Refer findings No.3, 8 and 10
10	Workers’ rights – including permanent, temporary and contract workers at all levels	
	Strength	-FME has ensured that all the safety equipment has been provided to the workers like helmets, boots, safety gloves etc. -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 -FME is following all Labour related regulations like – group insurance, sanitation and workers’ health and safety, workers’ shed etc.
	Weaknesses	However, the team found an area of weakness. Refer finding No.3
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	No weaknesses found
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	However, the team found a few areas of weakness. Refer finding No. 9
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	3.1.1	Minor	FME shall initiate immediate action to institutionalize a system of timely revision of Working/Management Plans of all the 28 SF Divisions by starting the process of revision much in advance of the expiry of a plan. Since, this is an important issue, the FME should complete the action to address this CAR in next 6 months, and corrective action shall be reviewed in a field and office assessment by the audit team.
2	3.3.2.	Obs.	The FME should initiate the system of consulting and involving the stakeholders, like local communities during the process of development or preparation of the new Working/Management Plans based on free, prior and informed consent (FPIC). The audit teams observed that although some consultations were being held with the local stakeholders, there was no written guidance to conduct such consultations
3	3.2.4 9.2.1 10.4.2	Minor	The FME shall ensure proper maintenance of records of the trainings and put institutional measures in place to ensure the same
4	4.6.1.	Minor	The FME shall ensure that a summary of salient results of the monitoring indicators in respect of each SF Division is put in public domain
5	5.1.2 5.1.4	Obs.	The FME should supplement the existing SIA/EIA report with an additional study on the impact of management operations on wildlife and append this study with the existing SIA/EIA report. SIA/EIA study is an imperative component of the management plan of each FMU without exception. The FME already has SAI/EIA study of all the divisions under its operation. It is only that wildlife aspect of the study needs to be included in the existing SIA/EIA report, hence the observation. As per the observation of the audit, no such corridors existed in the area inspected by the audit teams
6	7.1.1 7.1.2	Minor	The FME shall ensure that periodic surveys of all plantations are undertaken at the field level including growth parameters recorded, and based on these proper inventories are made, and yields calculated.
7	8.1.2	Minor	The FME shall prepare an action plan to fill the existing vacancies in a time-bound manner over a period of time. In due course of time, additional posts would also need to be created to take care of the plantations and other activities, like nursery operations, etc on the huge area being added to the existing areas of all 28 SF Divisions. Since, this is an important issue, the FME should complete the action to address this CAR in next 6 months, and corrective action shall be reviewed in a field and office assessment by the audit team
8	9.5.1	Obs.	The FME should review the GO issued in January 2020 increasing the number of restricted tree species.
9	13.1.6.	Minor	The FME shall plan and conduct trainings for its staff to make them aware about the ecosystem services generated by

			plantations and other forested areas of their SF Divisions, and importance of the same in the lives of the local communities and other stakeholders.
10	9.4.3	Minor	The audit team feels that new working plans should be developed by engaging stakeholders in the process and seeking their inputs following the principle of free, prior and informed consent. Also, documents with stakeholders' comments and concerns shall be maintained.

5. Stakeholder Comments

Aspect	Economic	Social	Environmental
Comments from Stakeholders (if any)	No comments	No Comments	No comments

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	
Auditor's Recommendation 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.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Any other Remarks:
Technical Review's comments and Certification Decision FME can be awarded NCCF FM certification subject to – <ul style="list-style-type: none"> - closure of all Major Non-conformities before certificate issuance - fulfilling minor corrective action requested within stipulated time 	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Any other Remarks: