



**PUBLIC SUMMARY
SURVEILLANCE 1 AUDIT (SECOND CYCLE) ON
ANAP MUPUT FOREST MANAGEMENT UNIT
FOR FOREST MANAGEMENT CERTIFICATION**

**Certificate Number: FMC 0006
Date of First Certification: 25 July 2013
Audit Date: 3 – 6 July 2017
Date of Public Summary : 20 December 2017**

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EXECUTIVE SUMMARY

This Surveillance 1 Audit (2017) on the Anap Muput Forest Management Unit (FMU) was conducted on 3 – 6 July 2017 to assess the continued compliance of the overall forest management system of the FMU against the requirements of the *Malaysian Criteria and Indicators for Forest Management Certification (Natural Forest)* [MC&I (Natural Forest)] using the verifiers stipulated for Sarawak. The scope of this surveillance audit was limited to the forest management system and practices on the Anap Muput FMU which was classified as Permanent Forest Estate (PFE) under the Anap Protected Forests constituted on 1st March 1958 under Notification No. 587, gazetted on 1st September 1956 (No. 1102).

This surveillance certification audit was conducted by a 3-member team comprising Mohd Razman Salim (Lead Auditor), Khairul Najwan Ahmad Jahari (Auditor) and Tn. Hj. Roslee Jamaludin (Auditor).

This surveillance audit had resulted in the issuance of four (4) Major and six (6) Minor Non Conformity Requirements (NCRs). There was no Observation for Improvement (OFI) raised. Based on the findings of this surveillance audit, and following the acceptance of the corrective actions taken to close the major NCRs and the plans to close the minor NCRs, it was found that the Anap Muput FMU had continued to comply with the requirements of the MC&I (Natural Forest).

This public summary contains the general information on the Anap Muput FMU, the findings of the surveillance audit, NCRs raised, the corrective actions taken as well as the decision on the continued certification of the FMU.

2 INTRODUCTION

2.1 Name of FMU
Anap Muput Forest Management Unit

2.2 Contact Person and Address
Mr. Wong Ing Yung
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2.3 General Background on the Anap Muput FMU

The Anap Muput FMU is managed by Zedtee Sdn Bhd (Zedtee) under Timber Licence No. T/4317 which expires on 8 March 2024. Zedtee is committed in the management of the FMU on a sustainable basis. The FMU is bounded by Sg. Muput Kiba to the north; Sg. Malat and Sg. Anap to the east; Sg. Belawit to the southeast; Bt. Maleng, Bt. Obar and Bt. Likang mountain ridges on the south and the cut-line common boundary with Licence No. T/3393 to the west.

The Anap Muput FMU covers an area of 83,535 hectares which covered 0.67 % of total area of Sarawak State. The FMU is located between latitudes 2°08' and 2°32'N, and longitudes 112°37' and 113°E in the Tatau District of Bintulu Division. Forest type covered in the FMU area ranges from lowland dipterocarp forest to hill dipterocarp forest with elevation from less than 100m to 900m above sea level.

The FMU was classified as Permanent Forest Estate (PFE) under the Anap Protected Forests (76,935 hectares) constituted on 1st March 1958 under Notification No. 587 and Mukah Hills Protected Forests (6,600 hectares) gazetted on 1st September 1956 (No. 1102) and 13th June 1958 (No. 790). During this Surveillance 1 audit, the Anap Muput FMU has remained unchanged in its area coverage under the respective gazettelements.

A map of the FMU showing the significant features of the forest is attached in **Attachment 1**.

2.4 Date First Certified
25 July 2013

2.5 Location of the FMU

The FMU is located between latitudes 2°08' and 2°32'N, and longitudes 112°37' and 113°E in the Tatau District of Bintulu Division.

2.6 Forest Management System

The revised *Forest Management Plan 2011-2024* dated 11 January 2011 for Anap Muput FMU had incorporated all the items listed from a) to i) in Criterion 7.1 of the MC&I (Natural Forest). The FMU completed the fifth revision to the FMP titled 'Forest Management Plan for Anap Muput (2017 - 2024)' on 1 December 2016 which was approved by Sarawak Forest Department on 19 December 2016 covering the remaining seven years of the harvest period of 2017-2024. The certified area is managed towards Sustainable Forest Management with 25-year cycle.

2.7 Annual Allowable Cut/Annual Harvest under the Forest Management Plan

The AAC as approved by the Sarawak Forestry Department for Anap Muput FMU, in August 2016, was 3,125 ha (for coupe 18/2017), 2,168 ha (coupe 19/2018) and 3,502 ha (coupe 20/2019). The AAC calculation as shown in the revised Anap Muput FMP gave an estimate on yield in logs volume at 75% harvest efficiency which is 1.5 m³/ha/year, and estimated yield per annum at 125,302 m³.

2.8 Environmental and Socioeconomic Context

An EIA report for the “*Re-entry Hill Logging Within the Anap-Muput FMU Under Timber Licence No. T/4317 and LPF/0039, Bintulu and Sibul Divisions Sarawak*” was produced as required under the Natural Resources and Environment (Prescribed Activities) Order 1994. The potential impacts and strategies to mitigate the impacts were written in this document.

The EIA was approved on 26 November 2008 by the Natural Resources and Environment Board (NREB), reference no. (20) NREB/6-3/2G/18 with conditions to be implemented by the FMU. It had specified quarterly environmental monitoring every year and reports to be submitted to NREB. With this requirement an *Environment Management Plan (EMP) for the Re-entry Logging Within Coupe 15 to 19 in the Anap Muput Forest Management Unit Under Forest Timber Licence No. T/4317 Bintulu and Sibul Divisions Sarawak September 2013* was written.

Protection through enforcement of no hunting policy had been implemented in accordance to Wildlife Protection Ordinance 1998. The circular DF 6/99 from the FDS's Director banning all hunting by employees of the FMU, no selling of wild meat and closing of feeder roads on completion of harvesting activities was posted in the office at the base camp.

The FMU had formulated the Anap Sustainable Development Unit (ASDU) together with the FDS and SFC through a Memorandum of Understanding for both the Anap Muput FMU and including the LPF/0039 areas. An ASDU Liaison Committee (ASDULC) comprising representatives from Sarawak Forestry Corporation, Forest Department, FMU and local community Conservation and Community Development (CCD) committees had been established to serve as a forum for consultation by members and to arbitrate social problems affecting the FMU as guided by the FMU CCD Committee.

There was no issue on disputes that required resolution by the Native Courts or Civil Courts. It was confirmed during the consultation with Tuai Rh. Gasah, at Rh. Sayong, Rh. Entrie, Rh. Bilong, and Rh. Philips.

Actions taken by FMU to prevent or mitigate adverse impacts included marking of sites for shifting agriculture, burial ground and water catchment in the Forest Zonation and General Harvesting Plan of Anap Muput FMU (T/4317) dated 20 March 2014. Discussion with the Tuai Rumah (headmen) of Rh. Philip, and villagers outside/bordering with the FMU at Rh.Sayong, Rh. Gasah, Rh. Enteri and Rh. Bilong during this audit confirmed that their *Temuda* and water catchment areas were not affected by forest management practices.

The FMU had given preference for employment and contract works for qualified people in communities living within or adjacent to the FMU area. Record 'Distribution of household with residents on Zedtee SB payroll' inspected showed a total of 26 workers from Rumah Entrie (2), Rumah Bilong (2), Rumah Gasah (1), Rumah Mawang (20), and Ph. Philip (1) were hired in camp administration, workshop, store, survey, log pond & transit, road repair, road construction, trucking, hauling and felling operations.

3. AUDIT PROCESS

3.1 Audit Dates

03 – 06 July 2017 (12 man-days days)

3.2 Audit Team

- | | |
|--------------------------------|----------------|
| 1. Mohd Razman Salim | (Lead Auditor) |
| 2. Khairul Najwan Ahmad Jahari | (Auditor) |
| 3. Tn. Hj. Roslee Jamaludin | (Auditor) |

The details on the experiences and qualifications of the audit team members are as in **Attachment 2**.

3.3 Standard Used

Malaysian Criteria and Indicators for Forest Management Certification (Natural Forest) [MC&I (Natural Forest)] using the verifiers stipulated for Sarawak.

3.4 Stakeholder Consultations

A stakeholder notification was issued in June 2017 for a period of one month for comments on management of the FMU. However, there was no response from the stakeholders notified within the specified period.

In addition to the above, consultations with stakeholders were also carried out during the audit as indicated in Attachment 3.

3.5 Audit Process

The audit was conducted primarily to evaluate the level of continued compliance of the Anap Muput FMU's current documentation and field practices in forest management with the standard of performances (SOPs) listed in the MC&I (Natural Forest), using the verifiers stipulated for Sarawak.

For each Indicator, the auditors had conducted either a documentation review, consultation with the relevant personnel of the FMU, local community or stakeholders or field audit or a combination of these methods. Depending on the compliance with the verifiers for a particular indicator, the auditors then decided on the degree of the FMU's overall compliance with the indicator and decided whether or not to issue a major or minor NCR or an OFI which is defined as follows:

- (i) A major NCR is a non-compliance with the requirements of the MC&I (Natural Forest).
- (ii) A minor NCR is a deviation or a lapse in complying with the requirements of the MC&I (Natural Forest).
- (iii) An OFI is a situation where the auditor has noted an area of concern on the capability of the forest management system to achieve conformance to the requirements of the MC&I (Natural Forest) but without sufficient objective evidence to support a non-conformance.

Consultations were held with the Tuai Rumah (headmen) of Rh. Philip, and villagers outside/bordering with the FMU at Rh. Sayong, Rh. Gasah, Rh. Enteri and Rh. Bilong. The audit team had also held meetings with the officers and the uniformed field staff of the SFD.

The coverage of this surveillance audit is as shown in the surveillance Audit Plan in **Attachment 3**.

4 SUMMARY OF AUDIT FINDINGS

Based on the findings of this Surveillance 1 audit, Zedtee Sdn.Bhd. had continued to manage the Anap Muput FMU in compliance with the requirements of the MC&I(Natural Forest). This surveillance audit had resulted in the issuance of four (4) Major NCR and six (6) Minor NCRs. The details on the NCRs raised are shown in **Attachment 4**.

The audit team had reviewed the corrective actions taken by the FMU to address the one (1) Major NCR, three (3) Minor NCRs and three (2) OFIs raised during the previous Recertification Audit in

2015. The actions taken to address the NCRs raised were duly accepted and the non-compliance therefore considered closed. The responses made by the audit team leader on the corrective actions and on the final status of the NCRs are provided in **Attachment 5**.

On indigenous peoples' rights, there were appropriate mechanisms employed to resolve disputes over tenure claims and use rights of the local communities through the operation of Anap Sustainable Development Unit Liaison Committee (ASDULC) framework. This was confirmed through consultation with the local community and as verified through minutes of committee meetings on 26 May 2016 and 15 March 2017.

During this Surveillance 1 audit, the Anap Muput FMU has remained unchanged in its area coverage of a total 83,535 ha PEF under gazettelement between Anap Protected Forests (76,935 ha) and Mukah Hills Protected Forests (6,600 ha).

With regard to Criterion 6.10, there was no new conversion of the PFE to forest plantations or other non-forest land uses during the intervening period since the last audit.

Based on the findings gathered during the audit, the Anap Muput FMU had continued to conform to the requirements of the MC&I (Natural Forest). And since all nonconformities have been closed out through verification of records of corrective action taken, the assessment team therefore recommends that the Anap Muput FMU continue to be certified against the MC&I (Natural Forest).

The summary on the findings of the surveillance audit on the Anap Muput FMU against the requirements of the MC&I (Natural Forest) are as follows:

Principle	Strengths	Weaknesses
Principle 1 Compliance With Laws and Principles	<p>The Anap Muput FMU had continued to maintain records of all relevant national law, local laws, regulations and policies related to forest management. Copies of all relevant laws, policies and regulations stipulated in the <i>MC&I (Natural Forest)</i> fundamental for the FMU management were available in the office of the Sekawie Camp. Senior officers of the FMU had demonstrated an awareness and understanding of these laws and the regulatory framework for forest management. There was no non-compliance reported by officers from the SFC and FDS.</p> <p>The current list of all prescribed fees, royalties, taxes and other charges as shown in the Forest Ordinance 2015 (Chapter 71), under First Schedule, Second Schedule and Third Schedule was sighted including a new DF Circular No.2/2017 on <i>New Rate of Hill Timber Premium (Sarawak Foundation Fund)</i> in accordance with Section 46(1) of the Forest Ordinance, 2015. Record of all payment for royalties and premium for the duration of April 2016 to March 2017 were made available.</p> <p>The forest managers were found to be aware of all the binding international agreements and their main intentions on forest management such as the United Nations Agreement on Biological Diversity, 1992 and International Tropical Timber Agreement, 1994.</p> <p>The <i>Conflict Resolution Guidelines for Sustainable Forests Management</i> was sighted at the Muput Base Camp. The FMU had also written to Sarawak Forest Department and Sarawak Timber Association regarding potential conflicts and possible resolution. The forest managers had also expressed their willingness to participate in any conflict resolution.</p> <p>The FMU is legally protected by provisions in nine (9) relevant regulations as listed out and sighted during audit. Boundary assessment using helicopter, as measure in controlling encroachment, was verified through <i>Heliborne Surveillance Report</i>, June 2017.</p> <p>The FMU management was committed to forest certification through a policy entitled <i>Policy Statement of Sustainable Forest Management of Anap Muput FMU</i> to undertake forest management certification under <i>MC&I (Natural Forest)</i>. The statement was available on FMU website - www.anapmuputfmu.com.</p>	
Principle 2 Tenure and Use Rights and Responsibilitie	<p>Five relevant documents of legal or customary tenure or use rights of the FMU were sighted including gazetteement records for Anap Protected Forest (Pelagau-Muput PF Part), Gazette No. 587 August 1941, and Mukah Hills Protected Forest, Gazette no. 790, June 1958. There is no NCR land</p>	

Principle	Strengths	Weaknesses
s	<p>or civil court cases pertaining to legal customary tenure in the FMU at the time of audit. There was no land claim from villagers who lived outside or bordering the FMU as verified during interview conducted at Rh. Sayong, Rh. Entrie, Rh. Michael Agul, Rh. Bilong, Rh. Marayang, Rh. Danggat, Rh. Sili and Rh. Suah as well as officers of SFC and FDS. The FMU had acknowledged use rights regarding shifting agriculture and water catchment area within the FMU. Mechanisms for resolving land claims were recognized, such as the Anap Sustainable Development Unit (ASDU) established in cooperation with the FDS and SFC for both the Anap Muput FMU and the LPF/0039 areas.</p> <p>User rights of local communities were recognized and the areas concerned demarcated within the FMU on the Forest Zonation and General Harvesting Plan of Anap Muput FMU (T/4317) dated 20 March 2014. The area included longhouses in and around the Anap-Muput Forest Management Unit (FMU) Area, burial ground of villagers of (Rumah Philip), water catchment area for (Rumah Mawang) and all Shifting Agriculture (SA) sites. There was no documented new land claims by villagers within the FMU. Forest managers had recognized, respected and collaborated with holders of duly recognized legal or customary tenure or use rights of the local communities. For example, the Forest Department had issued farming permits for restoration of cleared forests within the PFE within Lot no. M001 of Coupe 24A, T/4317 FMU for 15 years beginning January 2013.</p> <p>Appropriate mechanisms were employed to resolve disputes over tenure claims and use rights of the local communities through the operation of Anap Sustainable Development Unit Liaison Committee (ASDULC) framework. This was confirmed through consultation with the local community.</p>	
Principle 3 Indigenous People's Rights	<p>The relevant documentation on the customary rights of indigenous peoples' lands was kept at Muput Base Camp. The management and use of such lands and resources were controlled by the local communities unless they had delegated control with free, prior and informed consent to other parties. For example, residents of Rh. Bilong had permitted the FMU to harvest timber from their forest area (Blocks 40-43, Coupe 13). As compensation, the FMU agreed to prepare the site for their new longhouse and supply building materials. Mechanism to resolve any conflicts and grievances was established through the ASDULC mentioned earlier.</p> <p>The Director of Forests had on 4 February 2010 approved Anap Sustainable Development Unit (ASDU), formed in 2009, as the management framework model for social forestry and community development. The objective of community development (FMP 2011-2024. Chapter 12) is to</p>	

Principle	Strengths	Weaknesses
	<p>wean the residents from destructive shifting cultivation practice and improve social wellbeing effectively through their participation in the SFM. Actions taken by FMU to prevent or mitigate adverse impacts included site marking of sites for shifting agriculture, burial ground and water catchment for inclusion in the Forest Zonation and General Harvesting Plan of Anap Muput FMU (T/4317) dated 20 March 2014.</p> <p>The appropriate procedures within current administrative processes for identifying and protecting sites of special cultural, ecological, economic or religious significance and provisions for rights of access to these sites by indigenous peoples within relevant federal, state and local laws or by mutual agreement were verified in SOP CR/02 on Conservation and Community Development (CCD)/CCD Planning Process. These sites were demarcated on the Forest Zonation and General Harvesting Plan of Anap Muput FMU (T/4317) of 20 March 2014. Appropriate mechanisms for conflict resolution with regards to sites of special cultural, ecological, economic or religious significance to indigenous peoples was verified. These were included in the SOP CR/13 on Conflict Resolution/Management supported by Grievance/Conflict Management Flow Chart and revised on June 2017.</p> <p>There was no record on the application of any traditional forest-related knowledge and practices of natives in forest operations. As such there is no necessity for any legislation ensuring compensation for their commercial utilization.</p>	
Principle 4 Community Relations and Workers' Rights	<p>Forest managers provided training for their workers. The training programme for 2016/2017 including training records were sighted.</p> <p>Every forest worker continued to maintain a pocket book as reference guide for correct work procedure in forest operation. The <i>Tractor Operator Handbook in Anap Muput FMU (T/4317)</i>, for example was sighted. A Safety and Health Policy statement, revised on 25 April 2017, continued to be displayed on notice boards in Muput base camp office, Muput and Keliyau workshops. The Summary Equipment Maintenance Record for the Year 2016, including monthly equipment maintenance records, was presented. Records showed that the latest Safety and Health Committee meeting was conducted on 6 March 2017 with representatives from management, forest operations and workers. Summary record of accident (JKKP 8) for year 2016 was reported to DOSH before 31 January 2017 as per requirement.</p> <p>Documents on relevant ILO conventions were available in Muput Camp. The Anap Muput FMU workers were allowed to join any legal union as</p>	<p>During consultations with Tuai Rumah (headman) and villagers in Rh. Sayong, Rh. Gasah, Rh. Enteri and Rh. Bilong, it was found that the FMU did not distribute job vacancy advertisements to the local communities. Therefore, a Minor NCR KN01/2017 for Indicator 4.1.2 was raised.</p> <p>Forest workers (survey and logging) and committee member of <i>Jawatankuasa Pengurusan Pekerja</i> (workshop/store and forest survey section) consulted were unaware of appropriate procedures to address grievances raised and for conflict resolution. Therefore, a Minor NCR KN03/2017 for Indicator 4.3.4 was raised.</p>

Principle	Strengths	Weaknesses
	<p>stated in a memo titled <i>Penyertaan dan Penubuhan Persatuan</i> dated 1 May 2016. Workers in the harvesting sector were insured under Lonpac Insurans Berhad from 29 October 2016 – 28 October 2017. Staff employment contracts indicated that they were eligible for rest day, public holidays, sick leave, annual leave, and maternity leave (female employee). Workers' grievances were channelled to the Management Workers Committee for resolution. The SOPs for <i>LR/02 Grievance Procedure</i> dated June 17 was sighted.</p> <p>Social impact of forest operations on indigenous and local communities were evaluated through community consultations. A report titled <i>Socio-economic profiling and agroforestry options among communities within and surrounding the Anap-Muput Forest Management Unit, Tatau, Bintulu Division, Sarawak (2007)</i> covering 19 longhouses was prepared by the FMU. Another document sighted was the <i>Guidelines for community development plan for sustainable forest management in the permanent forest estates of Sarawak (2008)</i>. The FMU has revised the social impact assessment report titled <i>Socio-economic and environmental impact assessment of Ulu Anap communities affected by harvest operations 2014-2024 in Anap Muput Forest Management Unit</i>. The areas used by the local communities were incorporated in forest planning and management.</p> <p>The provisions and measures within relevant federal, state and local laws to prevent loss or damage affecting the local communities' legal or customary rights, property, resources, or their livelihoods were available. These were contained in the <i>Forest Management Plan for Anap Muput FMU (2011-2014) revised 1st December 2016</i>. The main mechanism employed for grievances resolution which provided fair and equitable compensation, caused by impact of forest operations, was the ASDU Liaison Committee (ASDULC).</p>	<p>Consultations with the Anap Muput Committee (AMC) Exco and several Headman and villagers (Rh. Sayong, Rh. Gasah, Rh. Enteri, Rh. Bilong and Rh. Philips), revealed that access roads to their longhouses were not repaired before the Gawai festival as agreed in the ASDU Management Meeting on 6 April 2017. The AMC Exco were also unaware of SOP on grievances by local communities as verified by auditor during. Thus, a Major NCR KN02/2017 for Indicator 4.5.2 was raised.</p>
Principle 5 Benefits from the Forest	<p>The budget for expenditures (May 2016 to 30 April 2017; and 1 May 2017 to 30th April 2018) were verified. This included items on local community benefits, workers benefits and operating expenses, among others. Staff training (under worker benefits) and sundry expenses (survey, security, environment and others; placed under operating expenses) were also included. Provisions and management prescriptions were planned and implemented according to the <i>Anap-Muput Forest Management Plan (2017 – 2024) revised on 1st December 2016</i> to maintain, restore or enhance the productive capacity and ecological integrity of the FMU and ensure economic viability.</p> <p>Timber was the sole main product of the FMU with the total volume quota harvested controlled by the</p>	

Principle	Strengths	Weaknesses
	<p>Forest Department under the Annual Allowable Cut (AAC). The gazette royalty structures and rates for the FMU was available at the Sekawie Camp. In addition, a DF Circular 4/2015, <i>The Royalty Rates for Poles</i>, was also sighted. There was no harvest of non- timber forest product.</p> <p>RIL was implemented as verified in the harvesting Coupe 17A in active harvesting Block 27. The relevant documents, <i>Guidelines/Procedures on Reduced Impact Harvesting Systems, 1999, Basic Chainsaw Maintenance and Directional Tree Felling 2001, Detailed harvesting Plan and Guidelines for Reduced & Low Impact Logging System in Forest Management Certification (Natural Forest), 2014</i>, were available. The Detailed Harvesting Plan (DHP) and RIL Plan (RILP) of Coupe 17A, Block 27, and License T4317/16/17A clearly marked out the skid trails and feeder roads. The training Programme for 2016/2017 was also sighted. This included training on Safety & Health, Personal Protected Equipment (PPE) and Reduced Impact Logging, among others.</p> <p>The FMU extracted timber from different tree species and processing it into different end products. As stated earlier there was no commercial harvesting of non-timber forest resources except for domestic consumption by the local community.</p> <p>The FMU implemented guidelines to identify and demarcate sensitive areas for the protection of soil and watercourses which included buffer zones. The Management Plan, revised on 1st December 2016 (2017-2024), specified guidelines to maintain the values of forest services highlighted together with the RIL guidelines as specified in Indicator 5.5.2.</p> <p>The AAC, as shown in the revised FMP, estimated log volume yield at 75% harvest efficiency equal to 1.5 m³/ha/year, and estimated yield per annum at 125,302 m³. Closing block summary for the given coupe quantified the number of trees harvested and potential crop trees (PCTs) retained to ensure sustainability. For example, the summary for Coupe 16A (3,807ha), showed that out of the 40,378 harvestable trees only 28,042 trees were extracted and 77,877 PCTs were marked in the post- felling inventory.</p>	
Principle 6 Environmental Impact	<p>An EIA report, Re-entry Hill Logging Within the Anap-Muput FMU Under Timber Licence No. T/4317 and LPF/0039, Bintulu and Sibu Divisions Sarawak, was produced as a requirement under the Natural Resources and Environment (Prescribed Activities) Order 1994. Potential impacts were anticipated and mitigating strategies prescribed in the document. The potential impacts of harvesting activities on endangered, rare and threatened (ERT) species of flora and fauna were continuously monitored in the FMU with assistance of the SFC. Among measures reported included a no hunting policy, ban on sale of</p>	<p>Records of briefing on endangered, rare and threatened species of forest flora and fauna in the Anap Muput FMU for forest workers was not available. Therefore, a Minor NCR MRS 01/2017 for Indicator 6.2.5 was raised.</p> <p>Although the FMU has conducted analysis of change of forest stand composition for</p>

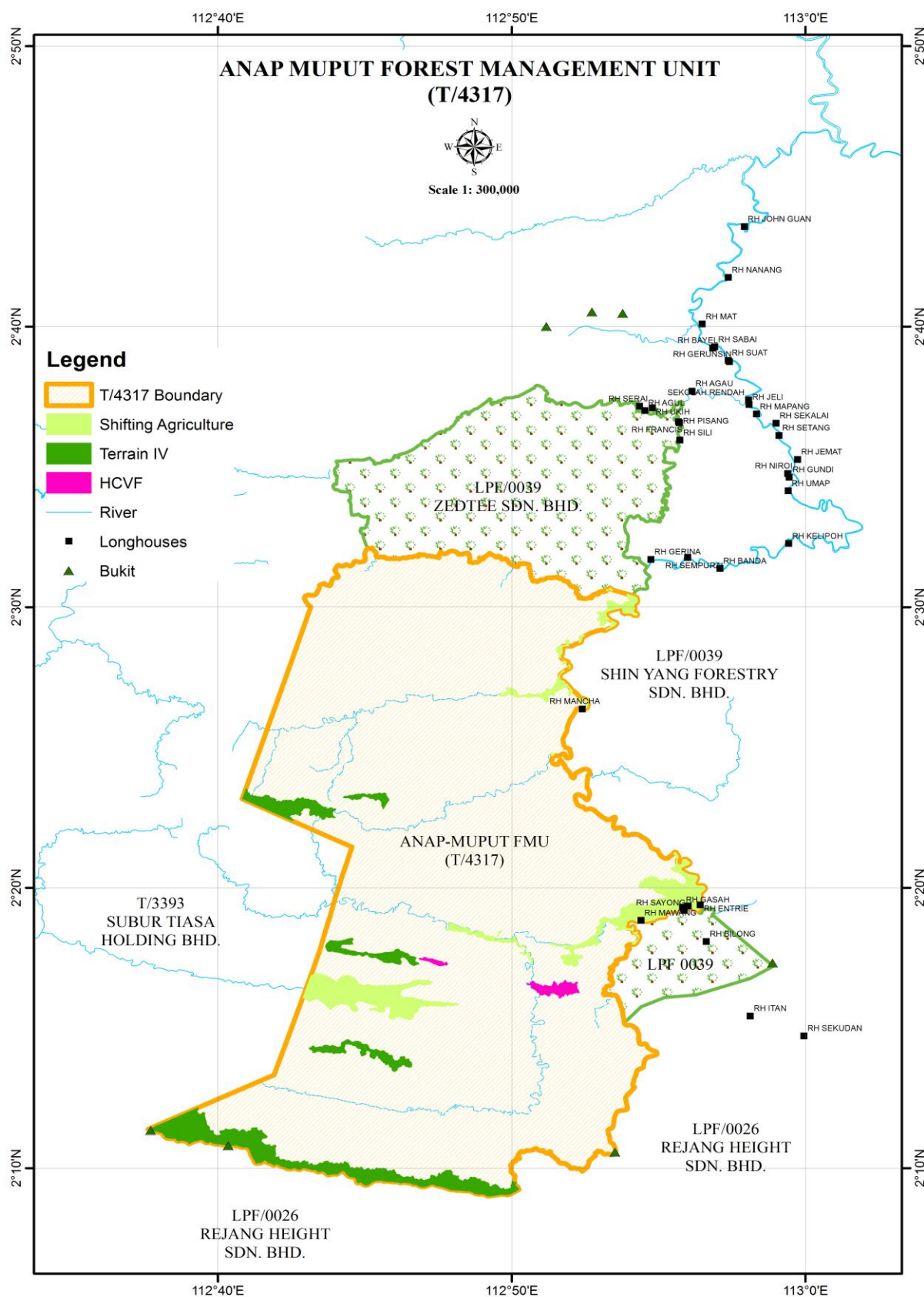
Principle	Strengths	Weaknesses
	<p>wild meat and closure of feeder roads on harvest completion. The Forest Management Plan for Anap-Muput FMU (2017-2024) incorporated measures to mitigate environmental impacts in Section 7.3, under Mitigation Measures. The revised FMP also incorporated similar measures as identified in the EIA study.</p> <p>Prescribed guidelines for identification and protection of ERT species included the Wildlife Protection Ordinance 1998 and A Master Plan for Wildlife in Sarawak 1996, the Sarawak Plant Red List Dipterocarpaceae on protected tree species, the IUCN Red List of Threatened Species and Guidelines to Identify Endangered and the Rare Threatened Species or Protected Forest Tree Species in Sarawak. Protected ERT trees as well as fruit trees were tagged for protection. There was no salt lick found in the harvesting area audited. The FMU collaborated with other conservation agencies in implementing conservation and management activities. For example the FMU participated in the workshop on Technical Consultation on HoB Corridor Project Implementation Connecting Brunei to Sabah and North Kalimantan through north eastern part of Sarawak at Curtin University Malaysia, Sarawak on 26-27 April 2017. It was co-organized by Sarawak Forest Department, WWF-Malaysia and the university. The FMU instituted a no hunting policy in accordance with the Wildlife Protection Ordinance, 1998. Three FMU members were appointed as Honorary Wildlife Rangers by the Controller of Wildlife of Sarawak. Awareness of ERT species was fostered among workers through notices and posters at Muput Camp. The local community was similarly informed through continuous dialogues and education on conservation organized by the Conservation and Community Development Committee.</p> <p>The FMU has conducted analysis on change of forest stand composition for PCTs per hectare as verified through Summary Closed Block for Coupe 16A. SFC had established a Checklist for Inspection Prior to Pre-felling Checking. The list serves to detect activities that contravene the Forest Ordinance and Forest Rules, including license conditions and management plan prescriptions. The revised FMP had mentioned guidelines for the conservation of genetic, species and ecosystem diversity in the FMU as stated in the Section 11 Identification and Management of Protection Areas. Detailed Harvesting Plans were prepared taking into consideration biological corridors and buffer zones. These were demarcated for the individual coupe.</p> <p>Representative areas of existing forest ecosystem were demarcated and mapped for protection consistent with respective FMP criteria and as verified through Forest Zonation & General Harvesting Plan of Anap Muput Forest Management</p>	<p>PCTs, as verified through Summary Closed Block for Coupe 16A, there was no recommendation on follow up silvicultural treatment. Therefore, a Minor NCR MRS 02/2017 for Indicator 6.3.1 was raised.</p> <p>The audit team found non-conformities on Indicator 6.5.2 as related to (i) Section 2.6 Construction of skid trails, and (ii) Section 2.8 Tree felling, in the Guidelines for reduced and low impact logging systems in forest management certification (Natural Forest) area, 2nd Edition, 2014.</p> <ol style="list-style-type: none"> 1. Width of feeder trail at FT-0-0-10 in Block 27, Coupe 17A was more than 5 meters 2. Trees on both side of feeder trail FT-0-0-7 and at temporary logyard at FT-0-0-3 in Block 27, F-1- 16 -1 in block 31 Coupe 17A were pushed down during the road construction. 3. One PCT tree (Meranti Merah) with tag number of J08428, 57 cm DBH at FT-0-03, Block 27 in Coupe 17A was felled <p>Therefore, A Major NCR MRS 03/2017 for Indicator 6.5.2 was therefore raised.</p> <p>The audit team also found that road construction and drainage requirement were not in accordance with the guidelines - 3(b) Operational Planning Stage, Guidelines for forest road layout and construction. Road density for harvesting operation exceeded 10 meters per hectare at Coupe 16A and Coupe 17A. No side drain was constructed along feeder road at F-1-16-1 in Coupe 17A. Therefore, a Major NCR MRS 04/2017 for Indicator 6.5.3 was raised.</p> <p>In Coupe 16A, excessive blading of earthwork was recorded on road S-1-16 in Block 62. Soil was also pushed into the buffer zone at Sungai Kelait blocking the flow of water</p>

Principle	Strengths	Weaknesses
	<p>Unit (T/4317) dated 27 January 2017. The demarcation included riparian buffer zone, terrain Class IV and PSPs.</p> <p>Harvesting procedures to protect the soil from compaction by harvesting machinery and erosion during harvesting operations were available in the Guidelines for reduced and low impact logging systems in forest management certification (Natural Forest) area, 2nd Edition, 2014. All constructed trails were included in Detailed Harvesting Plans. RIL guidelines of the Forest Department were followed in FMU operations which used the Log Fisher system. The RIL Guidelines for the logging system was sighted. Emplacement of water bunds, earth buns and blading of skid trails were complied with.</p> <p>The policy on use of environmentally friendly non-chemical methods of pest management and avoiding the use of chemical pesticides was not available at the FMU. The FMU however did not use any chemical pesticides in its operation and as such did not conduct any training on chemical handling.</p> <p>The procedure on scheduled waste management titled EM/06 Scheduled Waste (SW) Oil was followed. This included prevention of fuel spillage, proper storage facility for diesel tank and disposal of liquid waste. Disposal of scheduled waste was carried out by registered contractor, E-Concern (M) Sdn Bhd.</p> <p>There was no application of biological control agents in the FMU.</p> <p>No exotic tree species were planted in the FMU.</p> <p>There was no plan for converting the forest area to plantation in the FMU.</p>	<p>into its tributaries. Therefore a Major NCR RJ01/2017 was raised for Indicator 6.5.4.</p> <p>Policy on the use of environmentally friendly non-chemical methods of pest management and avoiding the use of chemical pesticides was not available at Anap Muput FMU. Therefore, a Minor NCR MRS 05/2017 for Indicator 6.6.1 was raised.</p>
Principle 7 Management Plan	<p>The revised Forest Management Plan 2017-2024, 1 December 2016, for Anap Muput FMU had incorporated all the items listed (a-i) in Criterion 7.1. Harvesting followed RIL specifications, RET species documented for protection, maps demarcated resource base, protected areas, management activities and land ownership.</p> <p>The revised Forest Management Plan 2017-2024 for the FMU had incorporated data obtained from monitoring and research activities. Forest managers attended seminars on new scientific and technical information (Forest Landscape Restoration Forum, Kuching, March 2017; Aerial Surveillance and Mapping/ Drone Management & Related GIS: Sarawak Forestry Corporation, April 2017).</p> <p>Workers attended various training courses which included harvesting, OSH, COC, safety and health. The training programme for 2016/2017 was sighted.</p>	<p>During the inspection of PSP no. 29 in coupe 16, workers involved in its establishment and monitoring were not adequately trained on procedure and tree identification. Therefore, a Minor NCR RJ02/2017 for Indicator 7.3.2 was raised.</p>

Principle	Strengths	Weaknesses
	The summary of the Forest Management Plan for Anap Muput (2017-2024) was made publicly available in the management's web page http://www.anapmuputfmu.com/fmp.php .	
Principle 8 Monitoring and Assessment	<p>Forest Department Sarawak had established monitoring procedures in accordance with the Procedures for the Inspection of Harvesting Areas 1999 and guidelines of the Sarawak Forestry Department. The standard format Field Report on Inspection of Blocks where Harvesting is in Progress was used. A report based on a survey of downstream communities, entitled Socio-Economic and Environmental Impact Assessment of Ulu Anap Communities affected by Harvest Operation 2014-2024 in Anap-Muput Forest Management Unit, 5 May 2016, was presented. The report contended that harvesting in Ulu Anap, within the FMU, will not negatively impact the communities. Appropriate monitoring procedures for ecological and environmental impacts, in accordance with the various guidelines, were developed. An Environment Monitoring Report (EMR) was submitted to NREB every 3 months as per contract requirement. The Environmental Monitoring Report (EMR) for the Re-Entry Hill Logging Within The Anap-Muput FMU Under Timber Licence No. T/4317 & LPF/0039, Bintulu & Sibul Division, Sarawak, 2016 (October-December) was sighted. Water quality was monitored for various parameters (e.g., pH, DO, BOD, COD, TSS, etc.) and the river water sampled (Sungai Kamayau, Sungai Anap) was found free of major pollution.</p> <p>The FMU gathered data on yield of timber harvested from each Coupe. Relevant information necessary to monitor the various items in Criterion 8.2 was included in the revised FMP. A Standard Operating Procedure FR/02 The Manual for PSP establishment and Assessment was sighted.</p> <p>The SOPs, MA/01 Chain Of Custody, and MA/02 Log Tracking were presented as records of tagged timber movement from the stump to the Place of Royalty Marking (PoRM). Records at the PoRM was verified as acceptable in the audit. Logs matched with tagging records in the Operational Inventory Recording Sheet.</p> <p>Results from the various monitoring activities were incorporated in the revised FMP.</p> <p>It was noted that there was a public summary presented in the web page of the Anap-Muput FMU – http://www.anapmuputfmu.com/fmp.php. The summary was publicly available and had included all the specified items as well as figures on the efficiency of the FMU management with a profit margin in link 16 Extract of Audited Financial Report.</p>	
Principle 9 Maintenance	The FMU consulted 11 stakeholders in January 2013, comprising NGOs, government agencies and	

Principle	Strengths	Weaknesses
<p>of High Conservation Values</p>	<p>ASDULC regarding the HCVF sites. In February 2013 the SFC also organized the Stakeholders Consultation on High Conservation Value Forests (HCVFs) for stakeholders from the SFC, FDS, NREB and NGOs. A description of existing HCVF sites and potential sites, identified in accordance with the Malaysian Toolkit was included in the revised FMP. An SOP, FR/03 HCVF and Biodiversity was used as guidelines in HCVF management. Two HCVF sites were demarcated and mapped in the Forest Zonation Map of Anap-Muput FMU, comprised a stand of Kapur (<i>Dryobalanops aromatic</i>) and a residual Kerangas forest.</p> <p>Stakeholders were consulted on January 2013, February 2013 and May 2014 where representatives from various agencies (FDS, SFC, NREB, District Office Tatau, UNIMAS, ASDULC, etc.) and the community (Anap Muput) were consulted on the HCVFs. The established sites were highlighted in the revised FMP (2017-2024). Evidence/records of these consultations were available to the auditors.</p> <p>The HCVF areas were demarcated in the Forest Zonation and General Harvesting Plan of Anap Muput Forest Management Unit for License T/4317, in the revised Forest Management Plan for Anap Muput (2017-2024). The sites were demarcated on the ground with new signage and clearly marked boundaries. Information of the HCVF sites and measures for their protection was included in the Public Summary and accessible at the website http://www.anapmuputfmu.com/other-links-high-conservation-value-forests.php.</p> <p>A HCVF Monitoring Report for aerial Surveillance of HCVF site II (Kapur) & site III (Bindang) in May 2017 was presented during audit. Aerial surveillance was conducted on both sites using a drone (DJI Phantom 4). No sign of encroachment was recorded. Kapur and Bindang growth increments were assessed earlier in March 2013 and April 2015 respectively. Updated information from HCVF areas was incorporated in the revised FMP (2017-2024), December 2016 and included in the Public Summary.</p>	

Map of Anap Muput FMU



Experiences and Qualifications of Audit Team Members

Assessment Team	Role/Area of MC&I Requirement	Qualification and Experience
Mohd Razman Salim	Audit Team Leader / Forester	<p>Academic Qualification: B. Sc. of Forestry (Forest Production), University Putra Malaysia.</p> <p>Work Experience: Five years experienced as Research Officer at the Forest Research Institute Malaysia (FRIM) since 2007 in a various area such as ecological research for lowland and hill dipterocarp forest, Geographic Information Systems, forest inventories, forest harvesting and forest management system (SMS). Participate in organizing committee member, division level activities and projects. Coordinate and collaborate a long term ecological plot and inventory data about 25 years at the Pasoh, Negeri Sembilan with Negeri Sembilan Forestry Department, universities (local & international) and NGOs. Published and presented research findings at the seminars and conferences. Currently as Auditor at the Food, Agriculture and Forestry Section (FAF), SIRIM QAS International Sdn Bhd, since 2013. Involved in conducting assessments on forest management certification [MC&I (Natural Forest)] & [MC&I (Plantations)], MYNI of RSPO P&C and other management systems on ISO 9001, 14001 and OHSA 18001</p> <p>Training / Research Areas:</p> <ul style="list-style-type: none"> • Auditor Training Course on Malaysian Criteria and Indicators for Forest Management Certification [MC&I (Natural Forest)] & [MC&I (Plantations)] organized by MTCC, 1-4 December 2013. • EMS 14001: 2004 Lead Auditor Course organized by SIRIM Training Services Sdn Bhd, 18-22 March 2013. • OHSAS 18001: 2007 Lead Auditor Course organized by SIRIM Training Services Sdn Bhd, 11-15 March 2013. • QMS 9001: 2008 Lead Auditor Course organized by SIRIM Training Services Sdn Bhd, 4-8 March 2013.
Khairul Najwan Ahmad Jahari	Assessment Team Member / Forester	<p>Academic Qualification: B. Sc of Forestry (Forest Management), Universiti Putra Malaysia.</p> <p>Work Experience: Appointed as contract Research Officer in the Natural Forest Division, Forest Research Institute of Malaysia (FRIM), since 2001. Conduct and coordinate a research on 8th Malaysian Plan Project. Produce technical reports, meeting, seminar and conferences reports as well as quarterly physical and financial reports. Coordinate and participate field works, multi-level meetings, seminars, conferences and workshops. Spent some time in other existing FRIM projects (inter divisional) as an organizing committee member, division level activities and projects. Currently as Auditor at the Food, Agriculture and Forestry Section (FAF), SIRIM QAS International, since 2009. Involved in conducting assessments on forest management certification (MC&I and FSC P&C), MYNI of RSPO P&C and other management system on ISO 9001, 14001 and OHSA 1800</p> <p>Training / Research Areas:</p> <ul style="list-style-type: none"> • Auditor Training Course on Malaysian Criteria and Indicators for Forest Management Certification [MC&I (2002)] organized by

		<p>MTCC, 30 March - 2 April 2009.</p> <ul style="list-style-type: none"> • EMS 14001: 2004 Lead Auditor Course organized by SIRIM Training Services Sdn Bhd, 2-6 March 2009. • OHSAS 18001: 2007 Lead Auditor Course organized by SIRIM Training Services Sdn Bhd, 23-27 Feb 2009. • QMS 9001: 2008 Lead Auditor Course organized by SIRIM Training Services Sdn Bhd, 16 – 21 Feb 2009.
Tn. Hj. Roslee Jamaludin	Auditor / Forester	<p>Academic Qualification: B. Sc. of Forestry (Forest Management), University Putra Malaysia. Diploma of Forestry, Mara Institute of Technology, Malaysia.</p> <p>Work Experience: A retiree of Forest Conservator from Forestry Department of Peninsular Malaysia, with 36 years of experience in forest management, operation and administration. Has been working in various position since appointment in 1977, which includes Assistant Forest Management officer in Kuantan, Forestry Department of Pahang, Assistant District Forest Officer in Kuala Lipis Pahang and Segamat, Johor. Forest Plantation Officer in Johor and Terengganu, Forestry Officer for the State of Malacca. Assistant Director for Forest Harvesting and Industries in Selangor, District Forest Officer in Dungun Terengganu, Assistant Director for Forest Management in Negeri Sembilan and the State Director of Forestry Penang before retirement in April 2015. Has involved in several Working Committee form by the Forestry Department of Peninsular to further improve the existing procedures, such as, Forestry Manual, Forest Road Guidelines, Forestry Rules, other guidelines regarding the MC&I for forest certification. A member of MAJURUS, was appointed as an Internal Auditor for the MC&I. Has attended several forestry Conference overseas and local. A member of IRIM (Institut Rimbawan Malaysia). Appointed as a facilitator and trainer for Forest Road Guidelines by Forestry Department Peninsular Malaysia.</p> <p>Training / Research Areas:</p> <ul style="list-style-type: none"> • Auditor Training Course on Malaysian Criteria and Indicators for Forest Management Certification [MC&I (Natural Forest)] & [MC&I (Plantations)] organised by MTCC, 9 – 10 July 2015 • EMS 14001: 2004 Lead Assessor Training Course organised by SIRIM Training Services Sdn Bhd, 23 – 27 Nov. 2015. • Briefing on RSPO Principle & Criteria (HCV) organised by SIRIM QAS (Food, Agri & Forestry Section), 21 August 2015. • Workshop on Auditing Technique for FMC (2) organised by SIRIM QAS (Food, Agr & Forestry Section), 26 Jan 2016.

Surveillance 1 - 2017 Audit Plan

DAY	TIME	PROGRAM		
		AUDIT TEAM LEADER (AUDITOR 1)	AUDITOR (2)	AUDITOR (3)
Day 1 3 July 2017 (Mon)	7.00 am – 12.00pm	<ul style="list-style-type: none"> • Travel from Kuala Lumpur to Bintulu • KUL – KCH = 7:20 – 9:00 (MH2542) • KCH – BTU = 10:30 – 11:35 (MH3384) • Travel from Bintulu to Muput Base Camp • Briefing by Audit Team Leader on the surveillance audit plan 		
	2.00 – 7.00 pm	<ul style="list-style-type: none"> • Opening Meeting with representatives of FMU • Briefing session by Forest Manager of the FMU • Q&A Session • Evaluation of changes to the management of the FMU • Check on progress of planned activities aimed at enhancing the operation system to achieve improvement in overall performance • Check on complaints and follow-up actions • Evaluate on procedures for internal audit • Evaluate on management review system • Verification of NCRs raised during the previous audit. • Stakeholders consultation with relevant stakeholders: <ul style="list-style-type: none"> (i) AMC Exco (Anap Muput Community) (ii) Sarawak Forest Corporation (iii) Forest Department Sarawak 		
	8.00 – 10.00 pm	<ul style="list-style-type: none"> • Documentation Review ○ Principle 1 – Compliance with Laws and Principles ○ Principle 6 – Environmental Impact ○ Principle 7 – Management Plan 	<ul style="list-style-type: none"> • Documentation Review ○ Principle 2 – Tenure and Use Rights and Responsibilities ○ Principle 3 – Indigenous Peoples' Right ○ Principle 4 – Community Relations and Workers' Right 	<ul style="list-style-type: none"> • Documentation Review ○ Principle 5 – Benefits from the forest ○ Principle 8 – Monitoring and Assessment ○ Principle 9 – Maintenance of High Conservation on Value Forests
Day 2 4 July 2017 (Tue)	8.00 am – 5.00 pm	Site visits: <ul style="list-style-type: none"> • Active harvesting areas in Coupe 17 • Inspection of Post harvesting area in Coupe 16 • Road construction and stream buffer belts • Interview with field workers: <ul style="list-style-type: none"> i. Chainsaw feller operator ii. Log fisher operator iii. Bulldozer operator iv. Choker man 	Site visits: <ul style="list-style-type: none"> • Boundary and control of encroachment • Inspection of HCVF sites – <ul style="list-style-type: none"> (i) <i>Agathis endertii</i> (Bindang) (ii) <i>Dryobalanops aromatica</i> (Kapur) 	Site visits: <ul style="list-style-type: none"> • PSPs in Coupe 16 <ul style="list-style-type: none"> i. Cluster ii. Strips

	8.00 – 10.00 pm	<ul style="list-style-type: none"> Documentation review
Day 3 5 July 2017 (Wed)	8.00 am – 5.00 pm	<ul style="list-style-type: none"> Site visit and consultation with local communities <ul style="list-style-type: none"> (i) Rh. Gasah Ak. Subang (ii) Rh. Sayong Ak. Murapi (iii) Rh. Enteri Ak. Anju (iv) Rh. Bilong (v) Rh. Philips Chain of custody inspection at Sekawie Log Pond Workshop
	8.00 – 10.00 pm	<ul style="list-style-type: none"> Documentation review
Day 4 6 July 2017 (Thu)	8.00 am – 12.00 pm	<ul style="list-style-type: none"> Continue auditing on unfinished area
	2.00 – 5.00 pm	<ul style="list-style-type: none"> Audit team discussion Issuance of NCRs (if any). Closing meeting
Day 5 7 July 2017 (Fri)	7.00 am – 2.00 pm	<ul style="list-style-type: none"> Travel from Bintulu to Kuala Lumpur (MH2743; 1120 – 1325)

Surveillance Audit Findings (2017) and Corrective Action Taken

Indicator	Specification Major/Minor/OFI	Detail Non-conformances	Corrective Action Plans Taken	Comments by Audit team
4.1.2	KN 01/2017 Minor	<p>Requirement: Indicator 4.1.2 – Qualified people in communities living within, or adjacent to, the FMU are given preference or employment and contract works</p> <p>Finding: the local community was unaware of any job vacancy since the FMU did not distribute the advertisements in their area.</p> <p>Objective evidence : During consultation with Tuai Rumah (headman) and villagers in Rh. Sayong, Rh. Gasah, Rh. Enteri and Rh. Bilong it was found that the FMU did not distribute the vacancy advertisements to the local communities.</p>	<p>Zedtee Sdn. Bhd. shall give notice to the local communities should employment/contract opportunities become available.</p> <p>AMC and its office will facilitate the pertinent communication with the local communities.</p>	<p>The corrective action plan was accepted by audit team.</p> <p>Status: Implementation and effectiveness of the corrective action plan will be verified during next audit.</p>
4.3.4	KN 03/2017 Minor	<p>Requirement: Indicator 4.3.4 – Availability of appropriate procedures to address grievances raised by workers and/or their organisations and for conflict resolution.</p> <p>Finding: The workers were unaware of appropriate procedures to address grievances raised to their organisations and for conflict resolution.</p> <p>Objective evidence : During consultation with workers (forest survey and FMU logging) and committee member of <i>Jawatankuasa Pengurusan Pekerja</i> (workshop/store and forest survey section) showed that they were not aware of appropriate procedures to address grievances raised to their organisations - LR/02 Grievance Procedure.</p>	<p>All supervisors had been tasked to explain the content of the Human Resource Development (HRD) Guide to staff and workmen under their charge.</p> <p>All local communities are also given the HRD Guide through the headmen and representatives as stakeholder and potential workmen.</p> <p>The HRD Guide shall be incorporated as a compendium in the employment contract of new workmen.</p>	<p>The corrective action plan was accepted by audit team.</p> <p>Status: Implementation and effectiveness of the corrective action plan will be verified during next audit.</p>
4.5.2	KN 02/2017 Major	<p>Requirement: Indicator 4.5.2 – Appropriate mechanisms are employed to expeditiously resolve grievances, and provide fair and equitable compensation for any loss or damage affecting the local communities' legal or customary rights, property, resources, or their livelihoods, caused by forest operations</p> <p>Finding: Appropriate mechanisms were not employed to expeditiously resolve grievances, and provide fair and equitable compensation for any loss or damage affecting the livelihoods of the local communities.</p> <p>Objective evidence : During consultation with Anap Muput Committee (AMC) Exco and</p>	<p>Repair of the roads had been completed.</p> <p>AMC office at Muput camp shall assume some responsibility for more effective communication between the FMU and the communities.</p>	<p>1. Auditor has received and verified photo of road after maintenance work completed to longhouses at Ulu Anap.</p> <p>2. Photo of consultation with the affected communities on the road maintenance at Rumah Bilong, Ulu Anap.</p> <p>3. The FMU has briefed on SOP – CR/12 – Grievance Procedure and Process Flow for Grievance and Conflict Management to the Anap Muput Community Conservation and Community</p>

		<p>consultation with Tuai Rumah (Headman) and villagers in Rh. Sayong, Rh. Gasah, Rh. Enteri, and headman of Rh. Bilong and Rh. Philips, it was found that the roads leading to their Longhouses were not repaired before Gawai as agreed in the ASDU Management Meeting 07/2017 dated 6th April 2017.</p> <p>The AMC Exco was not aware of SOP on grievances - CR/12 – Process Flow to Address Grievances/Conflicts by Local Communities.</p>		<p>Development Committee Exco (AMC CCD) on 12 August 2017.</p> <p>4. Letter of acknowledgement from the affected communities (Tr. Gasah, Tr. Enteri, Tr. Philip, Tr. Sayong & Tr. Bilong) regarding completion of road repair dated 26 July 2017.</p> <p>Status: Closed</p>
6.2.5	MRS 01/2017 Minor	<p>Requirement: Indicator 6.2.5 - Forest workers shall be aware of endangered, rare and threatened species of forest flora and fauna found in the FMU. Such awareness shall be promoted among local communities</p> <p>Finding : Records of awareness activities such as briefings on endangered, rare and threatened species of forest flora and fauna in the FMU for forest workers was not available</p> <p>Objective evidence : Records of briefing on endangered, rare and threatened species of forest flora and fauna in the Anap Muput FMU for forest workers was not available.</p>	<p>Anap Muput FMU has initiated discussion among its management staff on the awareness of the "IUCN Redlist" simplified as the "Red Book" with reference to the Totally Protected Flora and Fauna posters.</p> <p>A request has been made to Sarawak Forestry Corporation to design and produce a poster for awareness of ERT species and simplified training for forest workers and local community.</p>	<p>The corrective action plan was accepted by audit team.</p> <p>Status: Implementation and effectiveness of the corrective action plan will be verified during next audit.</p>
6.3.1	MRS 02/2017 Minor	<p>Requirement: Indicator 6.3.1 - Availability and implementation of management guidelines to assess post-harvest, natural regeneration, and measures to supplement natural regeneration, where necessary, in the FMU</p> <ul style="list-style-type: none"> Chapter 9 Silviculture, Forest Rehabilitation and Reforestation, FMP 2017-2024 <p>Finding : Silvicultural treatments was not conducted at post-harvest area although the revised FMP has stated that forest rehabilitation by enrichment planting may be considered in logged over patches, log landing and skid trails with unacceptable low density of trees.</p> <p>Objective evidence : The FMU has conducted analysis of change of forest stand composition for potential crop trees (PCT) per hectare as verified through 'Summary closed Block for Coupe 16A'. However, there was no recommendation of silvicultural treatment for this post-harvest area.</p>	<p>The result of post-harvest RIL compliance assessment shall be reflected on the Reduced Impact Logging Plan (RILP). Recommendation for silvicultural treatment if any will be indicated.</p> <p>Sites which required measures to supplement natural regeneration shall be demarcated/delineated on the post-harvest RILP for the compilation of a summary statement for the future crop of the coupe.</p>	<p>The corrective action plan was accepted by audit team.</p> <p>Status: Implementation and effectiveness of the corrective action plan will be verified during next audit.</p>
6.5.2	MRS 03/2017 Major	<p>Requirement: Indicator 6.5.2 - Implementation of reduced/low impact logging to minimise damage to the environment.</p>	<p>Retraining and heightened supervision for all logging teams shall be conducted immediately.</p>	<p>The FMU has briefed to all logging teams on road/skid trail specifications and PCT tree based on RIL Guidelines on 26 August</p>

		<ul style="list-style-type: none"> Section 2.6 Construction of skid trails, Guidelines for reduced and low impact logging systems in forest management certification (Natural Forest) area, 2nd Edition, 2014 Section 2.8 Tree felling, Guidelines for reduced and low impact logging systems in forest management certification (Natural Forest) area, 2nd Edition, 2014 <p>Finding :</p> <ol style="list-style-type: none"> The width of the skid trail exceeded 5 metres Residual trees beside feeder trail was pushed down Potential crop tree (PCT) was felled and the dbh was below limit <p>Objective evidence :</p> <ol style="list-style-type: none"> Width of feeder trail at FT-0-0-10 in Block 27, Coupe 17A was more than 5 meters Trees on both side of feeder trail FT-0-0-7 and at temporary logyard at FT-0-0-3 in Block 27, F-1- 16 -1 in block 31 Coupe 17A were pushed down during the road construction. One PCT tree (Meranti Merah) with tag number of J08428, 57 cm DBH at FT-0-03, Block 27 in Coupe 17A was felled 	<p>Remedial planting with cover vegetation shall be considered in gaps created by excessively wide skid trails during the block decommissioning process.</p>	<p>2017.</p> <p>Photo of replanting programme with binuang and sawih seedlings vegetation at feeder trail FT 0-0-10 in Block 27, Coupe 17A.</p> <p>Status: Closed</p>
6.5.3	MRS 04/2017 Major	<p>Requirement : Indicator 6.5.3 - Availability and implementation of guidelines for forest road lay-out and construction, including log landings and drainage requirements</p> <ul style="list-style-type: none"> 3(b) Operational Planning Stage, Guidelines for forest road layout and construction <p>Finding :</p> <ol style="list-style-type: none"> Road density for harvesting operation has exceeded 10 meters per hectare Side drain was not constructed along feeder road in active harvesting area <p>Objective evidence :</p> <ol style="list-style-type: none"> Road density for Coupe 16A and Coupe 17A are 14m/ha and 15 m/ha. Side drain was not constructed along feeder road at F-1-16-1 in Coupe 17A 	<ol style="list-style-type: none"> FDS and SFC had embarked on the review of the RIL Guidelines on the road density vis-à-vis other forest engineering considerations. <p>SFC shall consider the pre-existing roads, topography and other forest conditions before the approval of the Detailed Harvesting Plan (DP)/Road Plan for harvesting Coupes.</p> <ol style="list-style-type: none"> Road construction and logging supervisors had been warned on their failure to comply with road construction and RIL prescriptions. All constructed road shall be subjected to inspection before endorsement for payment. <p>The affected side drain</p>	<ol style="list-style-type: none"> Training on road construction & RIL prescriptions to logging teams has been conducted on 26 August 2017. Auditor has received an official letter from Sarawak Forestry Corporation (SFC) dated 3 October 2017 (REF: SF&C/AMFMU(V)-18) that additional logging roads in Coupes 16A & 17A was allowed for the Anap Muput FMU. Management meeting with the Road Construction and Logging teams on the compliance with the relevant SOPs. Auditor has received and verified photo of side drain constructed at F-1-16-1 in Coupe 17A. <p>Status: Closed</p>

			at F-1-16-1 had been constructed.	
6.5.4	RJ 01/2017 Major	<p>Requirement : Indicator 6.5.4 Availability and implementation of guidelines for conservation of buffer strips along streams and rivers</p> <p>Finding : The implementation of guidelines for conservation of buffer strips along streams and rivers was not adhered to.</p> <p>Objective evidence : During the site visit to Coupe 16, It was observed by the audit team that the excessive blading of earthwork occurred at road S-1-16 in block 62. The soil was pushed into the buffer zone at Sungai Kelait., and the flow of water in its tributaries was blocked due to the excess soil.</p>	<p>Remedial and Mitigation measures are in progress: Clearing of debris across the tributary of Sungai Kelait. Diversion of the road side drains into the forest parallel to the SBR where feasible. Construction of silt traps along the drains where appropriate. Exposed earth work to be planted with cover vegetation where indicated.</p> <p>Retraining of responsible workmen for compliance with SOP FE/03: "RILP for Bridges and Culverts" and SOP FE/04: "Earthwork management".</p>	<p>1. Retraining of road construction team for compliance with SOP FE/03: <i>RILP for Bridges and Culverts</i> and SOP FE/04: <i>Earthwork management</i> was conducted on 27 August 2017.</p> <p>2. Consultation with Forest Management Certification Technical Committee at FDS dated 11th September 2017 on:</p> <ul style="list-style-type: none"> • RIL Guidelines for conservation of buffer strips along streams and rivers for bridge construction. • Mitigation and remedial actions taken. <p>3. Auditor has received and verified photo of seedlings planting using binuang seedlings (<i>Octomeles sumatrana</i>) and cover crop seedlings along the buffer zone of Sg. Kelait bridge on 17 September 2017.</p> <p>4.</p> <p>5. A photo of culvert for water diversion with silt traps at the Sg. Kelait bridge.</p> <p>Status: Closed.</p>
6.6.1	MRS 05/2017 Minor	<p>Requirement : Indicator 6.6.1 - Availability of management policy on environmentally friendly non-chemical methods of pest management</p> <p>Finding : Policy on the use of environmentally friendly non-chemical methods of pest management and avoiding the use of chemical pesticides was not available</p> <p>Objective evidence : Policy on the use of environmentally friendly non-chemical methods of pest management and avoiding the use of chemical pesticides was not available at Anap Muput FMU</p>	<p>AMFMU has commenced study on the subject matter including: FSC Pesticide Policy: (FSC-POL-30-001), 2007 FSC Pesticide Policy: Guidance on Implementation (FSC-GUI-30-001), 2007 List of approved derogations for use of FSC "Highly hazardous Pesticides", 2014.</p> <p>AMFMU will consult the relevant stakeholders for the formulation of a Policy on the use of environmentally friendly non-chemical methods of pest management.</p>	<p>The corrective action plan was accepted by audit team.</p> <p>Status: Implementation and effectiveness of the corrective action plan will be verified during next audit.</p>
7.3.2	RJ 02/2017	Requirement : Indicator 7.3.2 Forest workers shall be	AMFMU has consulted Sarawak Forestry	The corrective action plan was accepted by audit team.

	Minor	<p>trained as to their respective roles in the implementation of the forest management plan.</p> <p>Finding : Forest workers were not adequately trained in their respective roles as in the establishment of PSPs</p> <p>Objective evidence : During the inspection of PSP no. 29 in coupe 16, the workers involved in the establishment and monitoring of Permanent Sample Plots (PSPs) were not adequately trained on the PSP procedure and tree identification.</p>	Corporation to finalize its procedure and capacity building programme on this matter.	<p>Status: Implementation and effectiveness of the corrective action plan will be verified during next audit.</p>
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Verification on Previous Recertification Audit (2016) Audit Findings and Action Taken

Indicator	Specification Major/Minor/OFI	Detail Non-conformances	Corrective Action Plans Taken	Comments by Audit team
Indicator 4.2.1	Major NCR MRS 01 2016	<p>The FMU did not notify DOSH for accident which had occurred in the operation area using JKPP 7 form within 7 days. Summary record of accident (JKPP 8 form) for year 2015 was not reported to DOSH before 31 January 2016</p> <p>Objective evidence:</p> <ol style="list-style-type: none"> 1. Auditor has verified medical report for one (1) accident case on alleged snake bite dated 23 March 2016 (given medical leave for 6 days). 2. Auditor has verified that the meeting had reported 4 cases of accidents which occurred until 7 December 2015 from the 'Mesyuarat Jawatankuasa Keselamatan dan Kesihatan' 	<p>Form JKPP-7 has been filed and acknowledged by JKPP Bintulu.</p> <p>Form JKPP-8 has been submitted to JKPP Putra Jaya.</p> <p><i>Guidelines on Safety and Health (Notification of Accident, Dangerous Occurrence, Occupational Poisoning and Occupational Disease) Regulations 2004 and Guidelines on Occupational Safety and Health Management Systems</i> had been printed and distributed to all senior administrative staff for information and training of forest workers.</p> <p>OSH laws, regulation, guidelines, policy and practices shall be manifested on the check-list of essential knowledge required of all forest workers under the <i>General Module</i> of ASDU HRD Framework.</p>	<p>Auditor has received and verified evidence of submission of JKPP 7 and JKPP 8 to DOSH Bintulu and DOSH Putra Jaya dated 3 June 2016.</p> <p>During this Surveillance 1 Audit, the FMU has notified DOSH for accident which has occurred in the operation area using JKPP 6 within 7 days. Auditor has verified medical report for one (1) accident case on head injury dated 14 June 2017 with medical leave for 3 days. Auditor has verified that the meeting has reported 1 case of accident occurred until 6 March 2017 from 'Mesyuarat Jawatankuasa Keselamatan dan Kesihatan'.</p> <p>Summary record of accident (JKPP 8) for year 2016 was reported to DOSH before 31 January 2017 as required by OSH (Notification of Accident, Dangerous Occurrence, Occupational Poisoning and Occupational Disease) Regulations 2004.</p> <p>Status: Closed</p>
Indicator 1.5.2	Minor NCR MRS 02 2016	<p>Record of work performed under the Annual Boundary Surveillance Programme in Quarterly Reports for periods ending March, June, September and December (for periodical patrolling of forest areas to prevent inappropriate hunting, fishing, trapping, collection and extreme recreational activities) as stated in the SOP was not evident</p> <p>Objective evidence:</p> <p>The FMU only conducted once a year monitoring of forest boundaries and buffer zone areas:</p> <ol style="list-style-type: none"> i) Rebrushing of licence boundary between Anap Muput FMU and plantation 	<p>The availability of FDS and SFC aerial surveillance capabilities, programme and early warning procedure built into the processing of Permit to Enter Coupe affecting T/3393 shall require a less intensive general boundary patrol by Anap Muput FMU.</p> <p>The SOP <i>BV FS/03 FMU Boundary Protection</i> shall be revised to read <i>Unless advised by FDS/SFC otherwise, aerial surveillance of the planned</i></p>	<p>Auditor has received the corrective action plan for Annual Boundary Surveillance Programme from the FMU.</p> <p>During this Surveillance 1 Audit, the FMU has conducted boundary assessment using helicopter as verified through 'Heliborne Surveillance Report' dated 22 June 2017. Forestry Department Sarawak also has joined this activity. On ground inspection, the FMU has</p>

		<p>area LPF/0039 dated 22 April 2016.</p> <p>ii) Buffer zone marking dated 11 April 2015.</p>	<p><i>and harvesting coupe of T/3393 situated along the common boundary with T/4317 shall be carried out once a year. This activity may be supplemented with physical boundary checking and maintenance when and where indicated by the aerial surveillance, and/or upon advice by the relevant agencies.</i></p> <p>An aerial surveillance over the common boundary with T/3393 will be scheduled within 2016 in accordance with the revised SOP.</p>	<p>assessed the common boundary between Anap Muput FMU and Bukit Tani Sdn Bhd (T/4393) in 15 June 2017.</p> <p>Status: Closed.</p>
Indicator 9.2.2	Minor NCR KN01/2016	<p>Incorporation of protected HCVF areas into the Forest Management Plan was not demonstrated</p> <p>Objective evidence: The HCVF site with dominant stand of Kapur (<i>Dryobalanops aromatica</i>) trees in Coupe 22A/2021 (58ha) was not specifically highlighted in the Forest Management Plan for Anap Muput (2011-2024) dated 11 January 2011</p>	<p>We expect to complete the revision of Anap Muput FMP before July 2017. The relevant HCVF shall be highlighted in the revised FMP.</p>	<p>Auditor has received the corrective action plan that the HCVF will be incorporate in the FMP before July 2017.</p> <p>During this Surveillance 1 Audit, the established HCVF sites had been incorporated in Chapter 11 of the FMP. Both sites of the HCVFs Kapur and Bindang have been highlighted in the revised FMP of Anap- Muput (2017-2024) dated 1st December 2016.</p> <p>Status: Closed.</p>
Indicator 9.3.2	Minor NCR KN02/2016	<p>The HCVF measures were not included in the forest management plan summary made available to the public</p> <p>Objective evidence: The public summary did not included the specific HCVF sites identified and the associated measures for their protection.</p>	<p>The FMP shall be updated to highlight the specific HCVF sites and associated management measures, and made available to the public by/before July 2017.</p>	<p>Auditor has received the corrective action plan that the HCVF information will be made publicly available by/before July 2017.</p> <p>The specific HCVF sites identified and the associated measures for their protection have been included in the Public Summary and can be accessed. http://www.anapmuputfm.com/other-links-high-conservation-value-forests.php</p> <p>Status: Closed.</p>
Indicator 7.2.1	OFI	<p>The FMPs for Anap Muput FMU was revised every five years with latest revision in 2011. The FMU could mentioned the revision period in the FMP text.</p>	<p>Not required</p>	<p>The revised <i>Forest Management Plan 2017-2024</i> for Anap Muput FMU had incorporated data obtained from monitoring and research activities within the FMU. The FMPs for Anap</p>

				<p>Muput FMU also was revised every five years or earlier to respond to significant changes to environmental, social and economic circumstances as verified in the Section 3.7 Amendment/Revision of Management Plan in the FMP 2017-2024. The next revision will be conducted in 2021.</p> <p>Status: Closed.</p>
Indicator 7.3.1	OFI	<p>The FMU had conducted training on chain of custody, tree felling and forest surveying for workers for 2016 as listed in the annual training schedule. Refresher training on log fishing, PPE and first aid box also could be considered.</p>	Not required	<p>The FMU has conducted training as listed in the annual training schedule titled 'Training Programme 2016/2017'. Refresher training on log fishing, PPE and first aid box have been listed in the annual training.</p> <p>Status: Closed.</p>