



**PUBLIC SUMMARY
STAGE 2 AUDIT REPORT (2017) ON
RAVENCOURT FOREST MANAGEMENT UNIT
FOR FOREST MANAGEMENT CERTIFICATION**

**Certificate Number: FMC– NF00116
Date of First Certification:
Audit Date: 16-20 May 2017 and 22-24 August 2017
Date of Public Summary: 19th July 2017**

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EXECUTIVE SUMMARY

The Stage 2 audit for forest management certification on the Ravenscourt Sdn Bhd – Ravenscourt FMU was conducted from 16-20 May 2017 and the audit was continued on 22-24 August 2017. This was an audit conducted following the Stage 1 audit which was conducted in 13-17 February 2017 on the overall forest management system and practices of the FMU against the requirements of the Malaysian Criteria and Indicators for Forest Management Certification [MC&I (Natural Forest)] using the verifiers stipulated for Sarawak, Malaysia.

The audit was conducted with the full cooperation of the Samling Reforestation (Bintulu) Sdn. Bhd. by a four-member team comprising Khairul Najwan Ahmad Jahari (Lead Auditor), Mohd Razman Salim, Hj Roslee Jamaludin and Dr. Lim Hin Fui.

In general, the findings of this stage 2 audit have indicated that the Ravenscourt FMU had complied with most of the requirements of the MC&I (Natural Forest) despite the issuance of total seven (7) Major and ten (10) Minor Non-Conformance Report (NCRs), against the requirements of the MC&I (Natural Forest).

The FMU had submitted a proposed corrective action plans to address the NCRs and OFI raised during the stage 2 audit by hand on 17th June 2017 and via email on 17th October 2017 which has been accepted by the audit team leader. The last evidences of corrective action taken for Major NCR was received on 25th October 2017 - 14th November 2018, and has been accepted and closed on 22nd November 2017

The effectiveness of the corrective actions taken by the FMU to address the Minor NCRs and OFIs shall be verified by the audit team during the next surveillance audit.

2 INTRODUCTION

2.1 Name of FMU

Ravenscourt Sdn. Bhd – Ravenscourt FMU

2.2 Contact Person and Address

David Marsden
Chief Forester
Wisma Samling, Lot 296
Jalan Temenggong Datuk Oyong Lawai Jau
98000 Miri Sarawak

2.3 General Background on the Ravenscourt FMU

The Forest Timber Licence (FTL) No. T/0294 was issued to Ravenscourt Sdn. Bhd. by the Sarawak Forestry Department on 28th January 1985 to manage a total 117,941 ha of the forest, which is located within the Lawas District of Limbang Division, Sarawak for an initial period of 15 years. It was subsequently renewed on 24th November 1994 until 27th January 2015 for re-entry logging. It has been further extended on annual basis until 27th January 2018.

The Natural Forest (NFM) managed by Ravenscourt Sdn. Bhd. covers an area of 117,941 ha of Limbang Protected Forest (82,407 ha) and proposed Trusan-Kelalan Protected Forest (24,492 ha). The remaining area of the FMU is occupied by the respective local communities. The forest area is situated approximately between Latitudes 3° 45' 000" N to 4° 13' 071" N and Longitudes 115° 10.21' E to 115° 41.16' E in the Lawas District of Limbang Division, Sarawak. The

Ravenscourt FMU is about 113 km South from Lawas town and accessible by the logging roads constructed by the Samling Group.

The forest types in the FMU are Hill Mixed Dipterocarp Forest (MDF), Lower Sub-Montane Forest, Kerangas Forest. The general landform of the FMU ranges from gentle to considerably uneven terrain with elevation between 800m to 1600m a.s.l. The FMU has been zoned into three forest function for Protection (water catchment, fish conservation and border zone) (18,357 ha), Production (90,543ha) and Community (8,749 ha). The FMU also within the Heart of Borneo Corridor (HoB)

Currently, the FMU has undertaken Detailed Harvesting Plan (DP) for Coupe 01/Block 06. However, no logging activities conducted at the time of audit.

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

2.4 Date First Certified

4th Jun 2018

2.5 Location of the FMU

The FMU is located between Latitudes 3° 45' 000' N to 4° 13' 071" N and Longitudes 115° 10.21' E to 115° 41.16' E in the Lawas District of Limbang Division, Sarawak

2.6 Forest Management System

The Forest Management Plan for Forest Timber Licence (FTL) No. T0294, Ravenscourt Forest Management Unit for period 2016 to 2025, dated November 2016, was made available during the audit. A review of the FMP found that the plan had addressed all issues and requirements of Criterion 7.1. items (a) to (i) listed in Principle 7.

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

The overall AAC for the FMU was based on the preliminary calculation. Para 5.4 in Chapter 3 of FMP showed AAC calculation, the net operable area of forest in Timber Licence T/0294 estimated to be 90,543ha. Assuming the production area is evenly distributed at the cutting cycle of 27 years, the AAC is set at 3,353 ha. The optimum sustained commercial harvesting volume was set at 25.0-27.5 m³/ha which projected the annual harvestable volume range from 83,825 m³ – 92,208 m³.

2.8 Environmental and Socioeconomic Context

A stakeholder notification was issued in 16 April 2017 for a period of one month inviting relevant stakeholders to give comments on the FMU. However, there was no comment received from the stakeholders on Ravenscourt FMU during the period.

The audit team had conducted an onsite consultation with the relevant stakeholders during the Stage 2. Details of the consultation with the stakeholders are showed in the audit plan as well as in the Stage 2 audit report in Principles 2, 3 and 4.

3. **AUDIT PROCESS**

3.1 Audit Dates

16-20 May 2017 and 22-24 August 2017

3.2 Audit Team

1. Khairul Najwan bin Ahmad Jahari (Lead Auditor)
2. Mohd Razman Salim
3. Dr. Lim Hin Fui
4. Hj Roslee Jamaludin

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 Peninsular Malaysia.

3.4 Stakeholder Consultations

A stakeholder notification was issued in 16 April 2017 for a period of one month inviting relevant stakeholders to give comments on the FMU. However, there was no comment received from the stakeholders on Ravenscourt FMU during the period.

The audit team had conducted an onsite consultation with the relevant stakeholders during the Stage 2. Details of the consultation with the stakeholders are showed in the audit plan as well as in the Stage 2 audit report in Principles 2, 3 and 4.

3.5 Audit Process

A total of seven (7) Major, and ten (10) Minor Non-Conformance Report (NCRs) were raised on the Ravenscourt FMU against the requirements of the MC&I (Natural Forest). The audit team had examined all the action plans received on 17th June 2017 and found them to be adequate. Ravenscourt FMU had showed their commitment to address the non-conformities by establishing action plans as detailed in Attachment 3.

The summary on the findings of the Stage 2 on the Ravenscourt FMU against the requirements of the MC&I (Natural Forest) are as follows:

Principle	Strengths	Weaknesses
<p>Principle 1 Compliance with Laws and Principles</p>	<p>The forest management had maintained records of all relevant national and local laws and regulations and policies related to forest management. Copies of all relevant laws, policies and regulations stipulated in the MC&I (Natural Forest) fundamental for the FMU management was up to date. These documents were also available in the District Forest Offices.</p> <p>Forest managers are aware and/or knowledgeable of the applicable federal, state and local laws, as well as the regulatory framework for forest management.</p> <p>Ravenscourt FMU has not violated any law and therefore no compound or penalty imposed by the relevant authorities.</p> <p>Current list of all legally prescribed fees, royalties, taxes, and other charges was available at the Ravenscourt Camp Office.</p> <p>The forest managers had expressed their willingness to participate in resolution of such conflicts if they arise</p>	<p>Legal provisions were available for the establishment and protection of the Ravenscourt FMU.</p> <p>However, during site inspection at Coupe 2026/11, it was found that a permanent structure house was being constructed, and Four (4) trees were illegally felled in the Ravenscourt FMU without approval and the knowledge of the Ravenscourt FMU management Thus a Major NCR KN01/2017 Indicator 1.5.2 was raised.</p>
<p>Principle 2 Tenure and Use Rights and Responsibilities</p>	<p>The documentation of legal documents such as The Constitution of the state of Sarawak, Land Code 1958 (Cap 81), Natives Court Ordinance 1992, Natives Customs (Declaration) 1996, Sarawak Cultural Heritage Ordinance 1993, Adat Iban 1993, Community Chiefs and</p>	<p>There were no negative findings</p>

Principle	Strengths	Weaknesses
	<p>Headmen Ordinance 2004, Native Courts (Amendment) Ordinance 2001 (Cap A87) are available.</p> <p>Forest managers support legally recognised mechanisms for resolving land claims as demonstrated by traditional NCR land claim by 2 Lun Bawang who resided in Limbang (outside FMU).</p> <p>Forest managers consultations held with the indigenous local community to identify and document areas of traditionally used and sites of significant importance was documented in "High Conservation Value Assessment Report 2016".</p> <p>There are two mechanisms to resolve disputes over tenure and use rights. There are Community Representative Committee (CRC) and SFM Liaison Committee. Community Representative Committee (CRC)</p>	
<p>Principle 3 Indigenous People's Rights</p>	<p>The customary use rights of the Indigeneous people within the FMU were respected in forest management planning and implementation in accordance to the The Constitution of the state of Sarawak. There was no case of logging/harvesting/forest operations being carried out in area local community use.</p> <p>There was no recorded civil court case pertaining to legal or customary tenure or use rights within the FMU.</p>	<p>There were no negative findings</p>

Principle	Strengths	Weaknesses
	<p>Appropriate procedures for identification and protection of sites of special cultural, ecological, economic or religious significance to the Orang Asli had been established. Management procedure mechanisms had been put in place to ensure that these sites were identified and duly protected and the community's right of access to these areas were provided for.</p> <p>There was no evidence to show that the Indigenous people traditional forest-related knowledge and practices in forest species or management systems had been used in forest operations.</p>	
<p>Principle 4 Community Relations and Workers' Rights</p>	<p>Ravenscourt FMU has established training plan titled 'Annual Training Plan for 2017' which has covered on safety and health information to forest workers Training and retraining were made available to the employees of the Ravenscourt FMU as well as logging workers.</p> <p>There were records to confirm that people in communities living within, or adjacent to the FMU were given preference for employment and contract works.</p> <p>The workers were aware of the freedom to form/join union of their own choice. The audit found that there is no union formed in the FMU.</p> <p>A Social Impact Assessment (SIA) Report on Ravenscourt Forest Management Unit was</p>	<p>The local employers (89 staffs) have been insured by Lonpac Insurance Bhd which covered from 1 September 2016 – 31 August 2017.</p> <p>However, during the audit, it was found there is no records of insurance for 14 Indonesian workers. Thus, a Major NCR MRS01/2017 for Indicator 4.2.2 was raised</p> <p>Information on basic needs/facilities of local communities, locations of local settlements in map, local dependence on forest resources, location of burial ground, FMU's impact on local communities, and management/monitoring recommendations were contained in the report entitled High Conservation Value (HCV) Assessment FMC Area Within T/0294, Sarawak dated 2016. The information was summarized in Forest Management Plan (2016–2025).</p> <p>The social impact assessment was not complete as it covered minimumly the indigenous Penan community in four villages located within the FMU and the people</p>

Principle	Strengths	Weaknesses
	<p>made available on 19 May 2017. In the report, the list of villages within the FMU was provided, comprising both the indigenous Lun Bawang and Penan communities. The report covers local communities, local settlements, activities of local communities. It also identified the socio-economic issues (land, protection of water quality, work force, public safety and health and communities) and mitigation measures. Other aspects included in the report are formation of local community such as CRC, SFM Liaison Committee, Forum Masyarakat Adat Dataran Tinggi Borneo (FORMADAT) and their activities. The report also contained cultural sites of the Lun Bawang.</p>	<p>and groups directly affected by the forest management operations have yet to have access to information on the results of the social impact evaluations. Therefore, Major NCR LIM01/2017 Indicator 4.4.1 was raised</p> <p>The FMP (2016–2025) merely stated basic needs and cultural identity of local communities and it does not adequately describe local land use and socio-economic conditions of indigenous community. It also does not incorporate the results of socio-economic evaluation. Thus Minor NCR LIM02/2017 Indicator 4.4.2 was raised.</p>
<p>Principle 5 Benefits from the Forest</p>	<p>Forest Management Plan (FMP) for the period of 2016 – 2026 has been available. Chapter 2 of the FMP had detailed out the forest resource assessment for the FMU. For the assessment of timber resource, the FMU had established sampling units of 20m width and 240m length and systematic recording of field data and information are being carried out by the FMU. A</p>	<p>Ravenscourt FMU had prepared the annual budget for the duration from July 2016 to June 2017. This annual budget is called Camp Admin Budget, which includes budget for staff welfare & amenity, office expenses, general expenses.</p> <p>However, the annual budget did not allocate budget for research, forest protection, and forest development. The FMU had marked 1277 ha for silvicultural treatment in Ravenscourt Sdn Bhd. as shown in a map of Detailed Harvesting Plan. Thus a Minor NCR RBJ/2017 on Indicator 5.1.1 was raised.</p>

Principle	Strengths	Weaknesses
	<p>minimum 121 of Sampling unit has been targeted to be established throughout the productive area of FMU, during the audit, 61 sampling unit has been completed. The data collected will be used to obtain preliminary information on growth and yield and to determine AAC. Non timber forest resource recorded at the block level prior to the commencement of timber harvesting operation. Wildlife survey on mammal and birds coupled with the study on wildlife habitats were covered in the HCV Assessment Study.</p> <p>The main products extracted from the forest in the FMU were logs. The harvesting processes were just started in coupe 1 and in accordance to RIL guidelines and detailed harvesting plans.</p>	<p>Implementation of tree tagging for harvesting not fully followed the “Guidelines for Reduced and Low Impact Logging systems in Forest Management Certification (Natural Forest)” Area. Under para 2.7 of the guideline, marking of the harvestable trees should as follows: Harvestable trees are tagged with white colour tag, PCT with orange colour and mother or protected trees with blue colour.</p> <p>Block 14 of Coupe 01A tree tagging area was inspected during the site visit. Tagged trees in Main trail MT – 1 and Secondary trail ST- 1-6 were inspected. Trees for felling was tagged with white tag, tree no: 4 dbh 58cm spp Selangan, tree no: 5 dbh 51cm spp Rengas, tree no:7 dbh 47cm spp. Selada, tree no: 6 dbh 69cm spp. Mrtm at MT-1, also inspected trees tagged for felling at ST-1-6, tree no:158 dbh 60cm spp.Lunx, tree no: 157 dbh 58cm spp Medang, tree no:156 dbh 55cm spp Bindang, tree no:154 dbh 53cm spp Medang and tree no:153 dbh 53cm spp. Selangan and those tree were recorded and verified. However, no Potential Crop Tree (PCT) was found that has been tagged. Three (3) mother trees of Meranti 91cm DBH, Bintangor 45cm DBH and Bintangor 46cm DBH were marked with ribbon only. Thus a Minor NCR RBJ02/2017 on Indicator 5.3.1 was raised.</p>
<p>Principle 6 Environmental Impact</p>	<p>Forest Management Plan Incorporating assessment of environmental impacts as seen in Chapter 7 of FMP. The EIA for The Re-Entry Hill Logging Under Timber Licence No. T/0294 in the Ulu Batang Trusan – Ulu Sg Limbang – Ulu Sg Kubaan Area, Limbang and Miri Divisions, Sarawak was conducted for the FMU</p>	<p>The activities on hunting, fishing and collecting activities and inappropriate activities prevented in the FMU were controlled by Honorary Wildlife Rangers. An aerial surveillance license boundary was conducted on 3rd March 2017 by helicopter and report of surveillance dated 6th March 2017 was verified during the audit.</p>

Principle	Strengths	Weaknesses
	<p>as required under item 2(i) of the First Schedule of the said Order under Section 11A (1) of the Natural Resources and Environmental Ordinance.</p> <p>There is no water catchment declared by Sarawak State in the Ravenscourt FMU.</p> <p>Environmental impact assessments (EIA) on rare and threatened species of flora and fauna were included in the EIA report on the FMU. The need for biological corridors for wildlife movement was also addressed in the report.</p> <p>Harvesting was designed in the FMU taking into consideration the need for the conservation of biological corridors and buffer zones for features of special biological interest for wildlife.</p> <p>Although production forests represented the largest function class in the FMU, specific areas were however conserved as virgin jungle reserves (VJRs) as to preserve its vegetation and environment of the forest area in its natural and original condition.</p> <p>Biological control agents have not been used in the Ravenscourt FMU management. There are no records of application of biological control agents in the FMU.</p> <p>There was no plan for converting the forest area to plantations. Conversion of natural forest into</p>	<p>However, based on the records, the control measures on periodical patrolling of forest areas was not following the schedule. In addition, the frequency was not sufficient and not satisfactorily conducted as below;</p> <ul style="list-style-type: none"> • The Patrolling Concession Schedule was conducted on every 2-month basis (February, April, June, August) concentrating on North West area only. The frequency of monitoring was not sufficient. • Latest monitoring record was on 5th March 2017 specifically on boundaries at Coupe 06A (T0294) and did not follow the schedule. • The activities on hunting, fishing and collecting activities and inappropriate activities prevented in the FMU were controlled by four (4) Honorary Wildlife Rangers. However, the validity of the appointment was expired since 14th December 2014. <p>Thus, Minor NCR KN02/2017 Indicator 6.2.4 was raised</p> <p>The environmentally friendly non-chemical methods of pest management were not stated in the FMU's Environmental Policy. Thus, a Minor NCR MRS 02/2017 was raised for Indicator 6.6.1.</p>

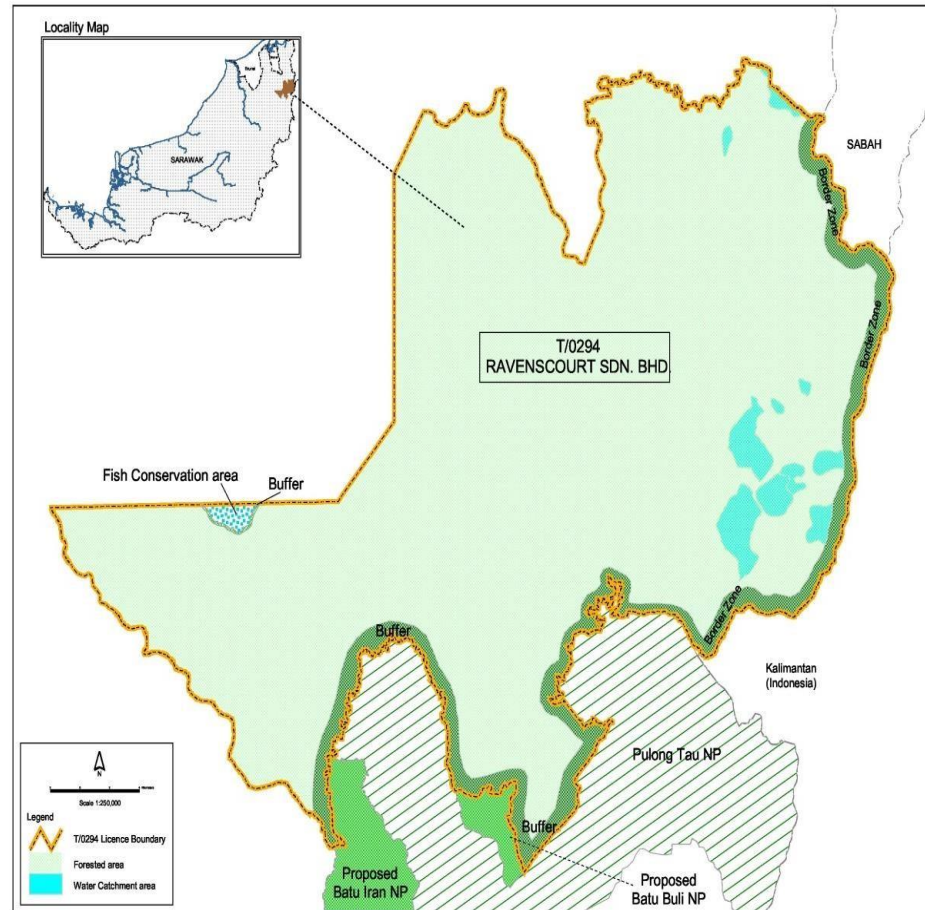
Principle	Strengths	Weaknesses
	non-forest land use had not occurred within the FMU.	
Principle 7 Management Plan	<p>The Forest Management Plan for Forest Timber Licence (FTL) No. T0294, Ravenscourt Forest Management Unit for period 2016 to 2025, dated November 2016, was made available during assessment. The document provided for all the items (a-i) as listed above including annual harvest rate, species selection, environmental safeguard and assessment, protection of ERT species, protected areas, and planned management activities and the Reduced/Low Impact Logging (RIL) Operation. Collectively the elements contribute to the overall objective of managing the nation's forest resources sustainably for the continuous yield in forest products and services and their optimum use in harmony with the requirements of the environment.</p> <p>The harvesting workers attached to the logging site at Block 6 of Coupe 1, indicated that they are aware for the need for to use PPE when working. Site inspection found the Emergency Response Procedures have been established to accommodate emergencies during fire occurrence.</p>	<p>The summary of the primary elements of the forest management plan in http://www.samling.com/uto_pubsummary.php was not available specifically on;</p> <p>a) Management objectives,</p> <p>c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories,</p> <p>g) Plans for the identification and protection of rare, threatened and endangered species,</p> <p>h) Maps describing the forest resource base including protected areas, planned management activities and land ownership, and</p> <p>i) Description and justification of harvesting techniques and equipment to be used.</p> <p>Therefore, Major NCR KN03/2017 on indicator 7.4.1 was raised.</p>
Principle 8 Monitoring and Assessment	All logs transported out of the forest in the FMU were accompanied by a delivery order prepared	For inspection during harvesting operation has yet to be carry out by Sarawak Forestry Corporation (SFC) due to the operation just started about 1 week from this stage 2 audit.

Principle	Strengths	Weaknesses
	<p>by the logging contractor where the tree number, species, log production number, log length, diameter, and net volume were documented. On the same form, the block number, coupe/license number, stumping point, name of recorder, date and vehicle number were also recorded.</p> <p>Results and findings of the monitoring activities had been incorporated into the draft PSFD forest management plan, FMP (2016-2025). The following results from monitoring activities were incorporated into the FMP:</p> <ul style="list-style-type: none"> • Analysis of growth and yield • Wildlife inventory analysis • Soil and water quality analysis • Social impact analysis • Social, environment, and economic cost benefit analysis. 	<p>However, during the audit it was found that procedures to monitor social, ecological, environmental and economic impacts to monitor on impacts of harvesting operation and monitoring report for assessing social, ecological, environmental and economic impacts for harvesting operation at Block 6, Coupe 1 also was not available. Thus, a Major NCR MRS 03/2017 was raised for Indicator 8.1.2.</p> <p>The FMU has conducted environmental impacts assessment in order to evaluate the impact of harvesting to the environment titled 'Environmental Impact Assessment for the Re-Entry Hill Logging in the Ulu Batang Trusan – Ulu Sg. Limbang – Ulu Sg. Kubaan area, Limbang and Miri Divisions, Sarawak'.</p> <p>However, during the audit it was found that relevant information and monitoring for (c) Composition and observed changes in the flora and fauna and (e) Costs, productivity and efficiency of forest management as required by the standards were not available. Furthermore, location of inventory plot (PSP 112) was not found during the site inspection. Thus, a Major NCR MRS 04/2017 was raised for Indicator 8.2.1.</p> <p>Auditor has verified summary of the results of monitoring in Indicator 8.2.1 at the Samling's website. A summary of the monitoring results for (a) Yield of all forest products harvested, (c) Composition and observed changes in the flora and fauna, and (e) Costs, productivity and efficiency of forest management as verified in the public summary titled 'Public Summary – Forest Management Plan for Forest Management Unit Ravenscourt Sdn Bhd T/0294 for the period 2016 - 2026' at the Samling's website: http://www.samling.com/doc/RVC%20FMU.pdf were not made publicly available. Thus, a Minor NCR MRS05/2017 for Indicator 8.5.1 was raised.</p>

Principle	Strengths	Weaknesses
<p>Principle 9 Maintenance of High Conservation Values</p>	<p>Ravenscourt FMU had consulted relevant stakeholders on the options to maintain or enhance the identified HCVFs. Forest management operations had considered and protected areas of high conservation value in the FMU with identified conservation attributes and options for the maintenance in FMP.</p>	<p>The FMU has demarcated HCVFs attributes and documented in the FMP (2016-2025):</p> <ol style="list-style-type: none"> 1. HCV 1.1 – Protected areas (border zone) 2. HCV 1.4 – Critical Forest Use (nesting area, saltlicks, etc.) 3. HCV 2 – Landscape-level Forest 4. HCV 3 – Ecosystem 5. HCV 4.1 – Watershed 6. HCV 5 – Basic Needs of Local Communities 7. HCV 6 – Cultural Identity of Local Communities <p>However, the FMU did not demarcate HCVFs attributes on map in the FMP (2016-2025) as listed below:</p> <ol style="list-style-type: none"> 1. HCV 1.2 – Threatened and endangered species 2. HCV 1.3 - Endemism 3. HCV 4.2 – Erosion control 4. HCV 4.3 – Barriers to Destructive Fire <p>Thus, a Minor NCR MRS 06/2017 for Indicator 9.3.1 was raised.</p> <p>Auditor has verified public summary of all HCVFs as written in the Forest Management Plan titled 'Executive Summary' in the file – Principle 9: Maintenance of High Conservation Value Forests. Auditor also has verified public summary of the HCVFs at the Samling's website which can be access at the link: http://www.samling.com/doc/RVC%20Public%20Summary%206%20Jun%2017.pdf</p> <p>However, the public summary for HCVFs titled 'Public Summary – Forest Management Plan for Forest Management Unit Ravenscourt Sdn Bhd T/0294 for the period 2016 - 2026' only mentioned on HCV5 and HCV6. For the rest HCVFs (1.1, 1.2, 1.3, 1.4, 2, 3, 4.1, 4.2 & 4.3), has yet to be made publicly available. Thus, a Minor NCR MRS 07/2017 for Indicator 9.3.2 was raised.</p>

Principle	Strengths	Weaknesses
		<p>The FMU has established monitoring procedure to assess the effectiveness of the measures in the management of the HCVFs titled 'Procedures on Hunting Control and Wildlife Monitoring'. The procedure only mentioned on wildlife monitoring for mammals, avifauna (birds), conservation status of ERT fauna species and endemic fauna species which covered HCV 1.2, HCV 1.3, HCV 1.4 and HCV 2.</p> <p>However, there were non-compliances found which was raised as Major NCR MRS 08/2017 for Indicator 9.4.1 on the HCVFs monitoring.</p>

Map of Ravenscourt FMU



Experiences and Qualifications of Audit Team Members

Details of the auditors and their qualification

Assessment Team	Role/Area of MC&I Requirement	Qualification and Experience
<p>Khairul Najwan Ahmad Jahari</p>	<p>Audit Team Leader / Forester</p>	<p>Academic Qualification:</p> <p>B.Sc. of Forestry (Forest Management), Universiti Putra Malaysia.</p> <p>Work Experience:</p> <p>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 Lead 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 OHSAS 1800</p> <p>Training / Research Areas:</p> <p>Was attending and pass in the following training programmes:</p> <p>Auditor Training Course on Malaysian Criteria and Indicators for Forest Management Certification [MC&I (2002)] organized by MTCC, 30 March - 2 April 2009.</p> <p>EMS 14001: 2004 Lead Auditor Course organized by SIRIM Training Services Sdn Bhd, 2-6 March 2009.</p> <p>OHSAS 18001: 2007 Lead Auditor Course organized by SIRIM Training Services Sdn Bhd, 23-27 Feb 2009.</p> <p>QMS 9001: 2008 Lead Auditor Course organized by SIRIM Training Services Sdn Bhd, 16 – 21 Feb 2009.</p>

Mohd Razman Salim	Auditor/ Forester/ Safety Auditor	<p>Academic Qualification:</p> <p>B.Sc. of Forestry (Forest Production), Universiti Putra Malaysia.</p> <p>Work Experience:</p> <p>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 OHSAS 18001</p> <p>Training / Research Areas:</p> <p>Was attending and pass in the following training programmes:</p> <p>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.</p> <p>EMS 14001: 2004 Lead Auditor Course organized by SIRIM Training Services Sdn Bhd, 18-22 March 2013.</p> <p>OHSAS 18001: 2007 Lead Auditor Course organized by SIRIM Training Services Sdn Bhd, 11-15 March 2013.</p> <p>QMS 9001: 2008 Lead Auditor Course organized by SIRIM Training Services Sdn Bhd, 4-8 March 2013.</p>
Dr. Lim Hin Fui	Auditor / workers' & community issues and related legal issues	<p>Academic Qualification:</p> <p>Dr. Lim Hin Fui is a Senior Research Officer (Sociologist) at Forest Research Institute of Malaysia, (FRIM). He graduated in 1983 with a B.A. Honours in Anthropology and Sociology from the UKM, Master Degree in Social Science from University Sains Malaysia and PhD from University Malaya. He was the Research fellow at Institute of Advance Studies, University Malaya from 1983 to 1987.</p> <p>Training / Research Areas:</p> <p>Evaluation of Perak State FMU against the Malaysian Criteria, Indicators, Activities and Standards of Performance (MC&I) for Forest Management Certification (Forest Management Unit Level), Peninsular Malaysia</p>

		<p>(Malaysia-The Netherlands Ad-Hoc Working Group) - [conducted by SGS (Malaysia) Sdn Berhad 2001]</p> <p>Member of the audit team to field test the Malaysian Criteria and Indicators for Forest Management Certification [MC&I (2002)] in the Perak State FMU, 1-6 March 2004.</p> <p>Member of the audit team in the Second Surveillance Audit for forest management certification on the Perak State FMU, conducted by SIRIM QAS International in 2005.</p> <p>Member of the audit team in the assessment of Pahang Forest Management Unit (FMU) against the MC&I (2002) conducted by SGS (Malaysia) Sdn Bhd, 17-21 April and 24-25 April 2006.</p> <p>Member of the audit team in the assessment on the Kubaan Puak FMU for forest management certification, conducted by SIRIM QAS International 11-16 March 2007.</p> <p>Member of the audit team in the assessment of the Perak State FMU for forest management certification against the MC&I (2002) conducted by SIRIM QAS International 12-16 November 2007.</p> <p>Member of the audit team in the assessment of the Selangor FMU for forest management certification against the Malaysian Criteria & Indicators for Forest Management Certification [MC&I (2002)], conducted by SGS (Malaysia) Sdn Bhd., 7-11 January 2008.</p> <p>Member of the audit team in the assessment of the Terengganu State FMU for forest management certification against the Malaysian Criteria & Indicators for Forest Management Certification [MC&I (2002)], conducted by SGS (Malaysia) Sdn Bhd., 23-27 March 2008.</p> <p>Member of the audit team in the assessment of Carotino Sdn Berhad, Pahang against RSPO Requirement, conducted by SGS (Malaysia) Sdn Bhd, 2-5 September 2008.</p> <p>Member of the audit team in the assessment of Carotino Sdn Berhad, Pahang against RSPO Requirement, conducted by SGS (Malaysia) Sdn Bhd, 11-15 May 2009.</p> <p>Member of the audit team in the assessment of the Johor State FMU for forest management certification against the Malaysian Criteria & Indicators for Forest Management Certification [MC&I (2002)], conducted by SGS (Malaysia) Sdn Bhd., 22-26 June 2009.</p> <p>Member of the audit team in the assessment of the Negeri Sembilan State FMU for forest management certification against the Malaysian Criteria &</p>
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		<p>Indicators for Forest Management Certification [MC&I (2002)], conducted by SIRIM QAS International, 27-31 July 2009.</p> <p>Member of the audit team in the assessment of the Perak State FMU for forest management certification against the Malaysian Criteria & Indicators for Forest Management Certification [MC&I (2002)], conducted by SIRIM QAS International, 26 October-2 November 2009.</p>
Hj. Roslee Bin Jamaludin	Auditor/ Forester	<p>Academic Qualification:</p> <p>B.Sc of Forestry (Forest Management), University Putra Malaysia.</p> <p>Diploma of Forestry, Mara Institute of Technology, Malaysia.</p> <p>Work Experience:</p> <p>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, Johore. Forest Plantation Officer in Johore 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 improved 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 fasilitator and trainer for Forest Road Guidelines by Forestry Department Peninsular Malaysia.</p> <p>Training / Research Areas:</p> <p>NA</p> <p>Attended training programmes:</p> <p>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</p> <p>EMS 14001: 2004 Lead Assessor Training Course organised by SIRIM Training Services Sdn Bhd, 23 Nov. – 27 Nov. 2015.</p> <p>Briefing on RSPO Principle & Criteria (HCV) organised by SIRIM QAS (Food, Agri& Forestry Section) 21 August 2015.</p>

		Workshop on Auditing Technique for FMC (2) organised by SIRIM QAS (Food, Agr & Forestry Section) 26 Jan 2016.
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Comments Received from Stakeholders and Responses by Audit Team Leader

No.	Comments/Issues Raised	Response by Audit Team
	No comment received	

		<ul style="list-style-type: none"> Review of Day 1 Findings by Audit Team Leader 	
Day 2 17.5.17	7.30 am – 1.00 pm	Site visit <ul style="list-style-type: none"> Inspection of active harvesting area Inspection of Coupe Boundary Enrichment activities Conservation area and PSP plots Fauna monitoring sites/HCVF sites Nursery 	Site visit <ul style="list-style-type: none"> Consultation with Local Community Kg Pa' Berunot Consultation with Local Communities Long Semadoh Staying at Ba'kelalan
	2.00 pm – 6.30pm	<ul style="list-style-type: none"> Review of Day 2 Findings by Audit Team Leader 	
Day 3 18.5.17	7.30 am – 1.00 pm	Site visit <ul style="list-style-type: none"> Inspection of active harvesting area Inspection of stumping site Inspection of FMU Licenses Boundaries Consultation with contractors and workers operating in active logging area, bulldozer, hook-man, chainsaw and supervisor. 	Site visit <ul style="list-style-type: none"> Consultation with Local Communities of Ba'kelalaan
	2.00 pm – 6.30pm	<ul style="list-style-type: none"> HCVF area Check on workshop, nursery and chemical store Review of Day 3 Findings by Audit Team Leader 	
Day 4 19.5.17	7.30 am – 1.00 pm	<ul style="list-style-type: none"> Inspection of tree tagging area Inspection of Pre-harvesting area 	<ul style="list-style-type: none"> Consultation with workers and worker's representative Inspection of staff quarters
	2.00 pm – 6.30pm	<ul style="list-style-type: none"> Inspection of PSP plots Boundary of FMU License boundaries 	
Day 5	8.30 am – 1.00 pm	<ul style="list-style-type: none"> Documentation and records review Preparation of audit report and finding 	

20.5.17	2.00pm-3.00 pm	<ul style="list-style-type: none"> Briefing to representatives of FMU on the findings of audit
	3.00pm	<ul style="list-style-type: none"> Closing Meeting and presentation of findings of audit and discussion on follow-up activities Adjourn Closing Meeting Travel back to Lawas, check-in at Seri Malaysia Hotel.
<p>All Auditors travel back to Kuala Lumpur on 21 May 2017, Flight LWY to MYY- MH3527</p> <p>ETD - 10:35, ETA - 11:20. Connecting Flight MYY to KUL – MH2575, ETD – 13:25, ETA – 15:35</p>		

Continuations audit plan

DAY	TIME	PROGRAM
Day 0 21.8.2017		Travelling from KLIA to Miri KUL to MYY- MH2574, ETD - 10:25, ETA - 12:40 Travelling from Miri to Lawas MYY to LWY- MH3516, ETD – 14:50, ETA – 15:35 Travel to Merarap Camp
Day 1 22.8.2017	8.00 am – 9.00 am 9.00 am – 5.30 pm	<ul style="list-style-type: none"> Opening Meeting with representatives of FMU Briefing session by Forest Manager of the FMU Q&A Session Follow up on issues of Major NCRs <ul style="list-style-type: none"> Site inspection PSP - travelling by Helicopter Local Communities Site inspection of licence boundaries - by Helicopter Documentation and records review
Day 2 23.8.2017	8.00 am-5.00 pm	<ul style="list-style-type: none"> Site visit on issues of Major NCRs Local Communities – Long Adang Site inspection of HCVF area
		<ul style="list-style-type: none"> Site inspection of HCVF area

<p>Day 3</p> <p>24.8.2017</p>	<p>8.30 am – 1.00 pm</p> <p>2.00pm-3.00 pm</p> <p>3.00pm</p>	<ul style="list-style-type: none"> • Preparation of audit report and finding • Briefing to representatives of FMU on the findings of audit • Closing Meeting and presentation of findings of audit and discussion on follow-up activities • Adjourn Closing Meeting • Travel back to Lawas
<p>Travel back to Kuala Lumpur date 25 August 2017, LWY to MYY- MH3511, ETD - 08:10, ETA - 08:55</p> <p>MYY to KUL – MH2591, ETD – 11:50, ETA – 13:55</p>		

Stage 2 Audit Findings and Corrective Action Taken

Indicator	Specification Major/Minor/ OFI	Detail Non-conformances	Corrective Action Taken	Verification by Assessor
Indicator 1.5.2 NCR: KN01/ 2017	Major	<p>Requirement: Indicator 1.5.2 - Control of encroachment, illegal harvesting, hunting, and settlement, and other unauthorised activities in the FMU.</p> <p>Finding: The control of encroachment, illegal harvesting and settlement, and other unauthorised activities in the FMU was not sufficient.</p> <p>Objective evidence:</p> <p>During site inspection at Coupe 2026/11, it was found;</p> <ul style="list-style-type: none"> • a permanent structure house was being constructed, and • Four (4) trees were illegally felled 	<p>Result of investigation and determination of root cause:</p> <ul style="list-style-type: none"> • The said house was constructed by the local who purportedly has a claim on the land • The felled trees were used to repair the log bridge crossing along S-1-1 Road which is used by nearby logging contractor for trucking to Lawas logpond • Royalty assessment for logs used in PSP access has not been fully done during the verification audit visit <p>Correction and corrective action plan including completion date:</p> <ul style="list-style-type: none"> • These two cases of encroachment have been reported to Divison Forest Officer, Limbang via our letter RVC/CORR/17-06 dated 30 May 	<p>A letter to Limbang District Forest Officer dated 30th May 2017 was issued regarding the newly constructed house and illegal felling of trees (RVC/CORR/17-06). Interview with the Limbang DFO has conform the action and the case is being investigated</p> <p>Investigation report in <i>“Inspection Record Book”</i> by Mr. Pagan (PIC) dated 26 May 2017 was verified.</p> <p>Trees felled for culvert was approved by SFC. Site visit along M1 found all culvert log were tagged and royalty paid. Log specification form (Royalty Assessment) dated 19.8.2017 and records of <i>“Log used for Culverts & Bridges Replacement Along M-1 & S-1-</i></p>

			<p>2017 for investigation and appropriate action</p> <ul style="list-style-type: none"> • DFO has initiated the investigative paper (IP) on the report. Please see the reply • Had sought clarification regarding legality of felling trees and used the logs for construction and/or repair of log bridges and culverts from Forest Department Sarawak • Royalty payment for logs used in PSP access road has been paid 	<p>7 Coupe 17&18 Ravenscourt" was verified.</p> <p>Request letter to One Stop Compliance Centre (OSCC) SFC, dated 9 August 2017 on along M1 South was verified.</p> <p>Site inspection along M1 road found the trees or logs used for the culvert was tagged and royaltied.</p> <p>Status: Closed</p>
<p>Indicator 6.2.4</p> <p>NCR: KN02/ 2017</p>	<p>Minor</p>	<p>Requirement: Indicator 6.2.4 - Hunting, fishing and collecting activities shall be controlled and inappropriate activities prevented in the FMU.</p> <p>Finding: The control measures on periodical patrolling of forest areas was not following the schedule. In addition, the frequency was not sufficient and not satisfactorily conducted</p>	<p>Result of investigation and determination of root cause:</p> <ul style="list-style-type: none"> • Current patrolling is being done in area currently accessible by road. • Patrolling was done <i>ad hoc</i> and not strictly abide by the schedule. • Honorary Wildlife Rangers Program has been inactive since 2014. 	<p>Corrective action has been accepted and the effectiveness of the action taken to be verified during the next audit</p> <p>Status: Accepted</p>

		<p>Objective evidence:</p> <ul style="list-style-type: none"> The Patrolling Concession Schedule was on every 2-month basis (February, April, June, August) concentrating on North West area only. The frequency of monitoring was not sufficient. Latest monitoring record was on 5th March 2017 specifically on boundaries at Coupe 06A (T0294) and did not follow the schedule. The activities on hunting, fishing and collecting activities and inappropriate activities prevented in the FMU were controlled by four (4) Honorary Wildlife Rangers. However, the validity of the appointment was expired since 14th December 2014. 	<p>Correction and Corrective action plan including completion date:</p> <ul style="list-style-type: none"> The Patrolling Concession Schedule has been changed to be on monthly basis on June 2017. Furthermore, a helicopter fly-over could be scheduled, if necessary, in hotspot areas which is not served by existing road. Sarawak Forestry Corporation (SFC) has renewed the appointment of the Honorary Wildlife Rangers on 21/07/2017. 	
Indicator 7.4.1 NCR: KN03/	Major Area/Location:	<p>Requirement: Indicator 7.4.1 - A summary of the primary elements of the forest management plan as prepared and implemented under Indicator 7.1.1 shall be made available to the public.</p>	<p>Result of investigation and determination of root cause:</p> <ul style="list-style-type: none"> The Public Summary has been amended accordingly. 	<p>The SST Public Summary FMP Ravenscourt Sdn Bhd, Edition 2 has been amended accordingly as in http://www.samling.com/doc/RVC%20Public%20Summary%206%20Jun%2017_new.pdf</p>

2017	Public Summary	<p>Finding: The summary of the primary elements of the forest management plan as prepared and implemented under Indicator 7.1.1 shall be made available to the public was not sufficient</p> <p>Objective evidence:</p> <p>The summary of the primary elements of the forest management plan in http://www.samling.com/uto_pubsummary.php was not available specifically on;</p> <p>a) Management objectives.</p> <p>c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories.</p> <p>g) Plans for the identification and protection of rare, threatened and endangered species.</p> <p>h) Maps describing the forest resource base including protected areas, planned management activities and land ownership.</p>	<p>Correction and Corrective action plan including completion date:</p> <ul style="list-style-type: none"> The amended Public Summary was uploaded on 6/06/2017. Please see Attachment O (Public Summary). 	Status: Closed
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		i) Description and justification of harvesting techniques and equipment to be used		
Indicator 4.4.1 NCR: LIM01/ 2017	Major Area/Location:	<p>Requirement: Indicator 4.4.1 – Forest managers shall evaluate, through consultations, social impact of forest management operations directly affecting communities, and the people and groups directly affected by the forest management operations shall have access to information on the results of the social impact evaluations.</p> <p>Finding: The social impact assessment was not complete as it covered minimumly the indigenous Penan community in four villages located within the FMU and the people and groups directly affected by the forest management operations have yet to have access to information on the results of the social impact evaluations.</p> <p>Objective evidence:</p>	<p>Result of investigation and determination of root cause:</p> <ul style="list-style-type: none"> • Except for the Penan settlement at Long Peresek (inside RVC FMU), the others at Long Adang, Long Keneng and Long Pusit are outside the FMU (Jayl Langub, pers. Comm., EIA Report). There is minimum official information on these Penan settlements. • The community consultation on the first SIA Report (June 2017) has yet to be carried out due to time constraint. Executive Summary is enclosed <p>Correction and Corrective action plan including completion date:</p> <ul style="list-style-type: none"> • A social impact assessment on the Penan settlements at Long Adang region has been carried out in order 	<p>The social impact assessment dated 15 July 2017 and Second SIA Report on Long Adang Communities dated 7th August 2017 were verified by the auditor.</p> <p>The implementation of the SIA by UPM research team was confirmed by verification audit discussion on 22 August 2017 with 9 males and 9 females or a total of 18 villagers (7 from Long Adang, 10 from Long Gita and 1 from Long Keneng). Similarly, the UPM study on SIA was confirmed by three villagers (two males and one female), from Long Peresek (located within FMU) during another verification audit discussion on 23 August 2017, also attended six villagers (two males and four females) from Long Gita and five villagers (two males and three females) from Long Adang. They also confirmed that findings of the social impact of forest management operations directly</p>

		<p>The presence of Penan community within the FMU was not declared during Stage 1 audit and also during the opening meeting of Stage 2 audit on 16 May 2017. Consequently, this Stage 2 audit was not able to cover the Penan community, comprising 4 settlements (Long Adang, Long Keneng, Long Peresek and Long Pusit) with 40 families (165 people).</p> <p>Audit discussion with 15 villagers in Kg Long Pa' Berunot and headman of Long Kerabangan on 17 May 2017, with 52 villagers in Long Semadoh region on 18 May 2017 and 7 villagers in Ba' Kelalan on 19 May 2017 showed that they have yet to receive information on the findings of the social impact of forest management operations directly affecting the communities.</p>	<p>to complement the insufficient official data. The social impact assessment was completed on 15 July 2017. Executive Summary of the second SIA Report dated 7th August 2017</p> <ul style="list-style-type: none"> • A CRC sharing session with Long Semadoh and Ba Kelalan as requested by FORMADAT was held on 13-14 July 2017 at Long Semadoh and Ba Kelalan with invitation extended to Pa Adang. WWF helped to facilitate the event. SIA Report was shared with the community at the same event. Please see • The CRC sharing session was done on at Ba Kelalan on 13/07/2017, Long Semadoh 14/07/2017 and Long Adang on 15/07/2017. Please see Attachment G. • The community consultation on SIA with Long Adang community was held 17/08/2017. 	<p>affecting the communities were made access to them. This was also evidenced in the Bahasa Melayu power-point presentation entitled "Laporan penilaian impak sosial; sesi perkongsian masyarakat Long Adang 17 Julai 2017" or "Social impact assessment report sharing session, Long Adang communities, Ravenscourt forest management unit (T/0294) dated 17 July 2017 Pa Adang. The presentation was in Bahasa Melayu with translation into the Penan dialect by a local Penan informant. The sharing session was also evidenced from the list of attendance involving a total of 30 Penan villagers (12 from Long Gita, 11 from Long Adang, 6 from Long Peresek and 1 from Long Keneng).</p> <p>Status: Closed</p>
<p>Indicator 4.4.2</p> <p>NCR: LIM02/2017</p>	<p>Minor</p> <p>Area/Location:</p>	<p>Requirement: Indicator 4.4.2 - Forest planning and management practices shall consider and incorporate the results of such (socio-impact) evaluations.</p>	<p>Result of investigation and determination of root cause:</p> <ul style="list-style-type: none"> • Social-cultural environment and economic activities of local communities are described in FMP Section 1.5 whereas community 	<p>Corrective action has been accepted and the effectiveness of the action taken to be verified during the next audit</p> <p>Status: Accepted</p>

		<p>Finding: Management planning and practices have yet to incorporate the results of socio-economic evaluation.</p> <p>Objective evidence:</p> <p>The FMP (2016–2025) merely stated basic needs and cultural identity of local communities and it does not adequately describe local land use and socio-economic conditions of indigenous community. It also does not incorporate the results of socio-economic evaluation.</p>	<p>services and projects are listed FMP Chapter 12 – Community Development.</p> <ul style="list-style-type: none"> The SIA findings would cover these socio-economic aspects. <p>Correction and Corrective action plan including completion date:</p> <ul style="list-style-type: none"> Social Impact Assessment was done and Reports (June 2017 and August 2017). The findings of the evaluation are incorporated into the FMP. 	
<p>Indicator 5.1.1</p> <p>NCR: RBJ01/2017</p>	<p>Minor</p> <p>Area/Location:</p>	<p>Requirement: Indicator 5.1.1 - Investment and reinvestment are made in forest management, including for forest administration, research, human resource, development, protection, economic, conservation, environmental and social aspect, consistent with the tenure of the FMU.</p> <p>Finding: The annual budget and expenditure for forest management does not include the silvicultural treatment.</p>	<p>Result of investigation and determination of root cause:</p> <ul style="list-style-type: none"> New budget is for financial year July 2017 – June 2018. The schedule for silvicultural treatment shall be revised to July 2017 – March 2020. The rule of thumb used by Forest Department Sarawak is the cost to the Licensee for such silvicultural work (if required after Post Harvesting Inspection [PHI]) shall not exceed RM0.50/m³ of timber from the licensed area for royalty payment during the previous operational year. 	<p>The Corrective action plan has been accepted and the effectiveness of the action taken to be verified during the next audit.</p> <p>Status: Accepted</p>

		<p>Objective evidence:</p> <p>The Annual budget (July 2016 – June 2017) does not include the budget for the silvicultural treatment, as FMU has demarcated 1277 ha of the area under coupe T/0294/16/01A, as shown in the map of Detailed Forest Harvesting, ref no: SFC Approval Ref: SF&C 628.65(11) - 19 dated 27th December 2016.</p>	<p>Correction and Corrective action plan including completion date:</p> <ul style="list-style-type: none"> For new financial year, assessment work (using Procedures on Silviculture Treatment Methods and Schedules, June 2017 – Attachment J) on Block S1 shall commence in <u>November 2017</u>. The cost items will include the labour cost of survey crews assigned for the work plus materials. This activity shall be on trial basis as there is no precedence to assess the cost of silvicultural treatment at the FMU level. 	
<p>Indicator 5.3.1</p> <p>NCR: RBJ02/2017</p>	<p>Minor</p> <p>Area/Location:</p>	<p>Requirement: Indicator 5.3.1 - Implementation of guidelines for reduced/low impact logging to minimize damage to residual stand.</p> <p>Finding: Implementation of tree tagging for harvesting not fully followed the “Guidelines for Reduced and Low Impact Logging systems in Forest Management Certification (Natural Forest)” Area. Under para 2.7 of the guideline, marking of the harvestable trees should be as follows: Harvestable trees are tagged with white colour tag, PCT with orange</p>	<p>Result of investigation and determination of root cause:</p> <ul style="list-style-type: none"> The current practice is to use BLUE plastic tag for PCT, Protected Tree and Mother Tree in the vicinity which are in danger of damage by felling tagged merchantable trees. No record is entered into the Tree List. Please see Manual, Procedures and Guidelines for Sustainable Forest Management Certification 2014 (Guidelines/Procedures for Reduced and Low Impact Harvesting Systems 	<p>The Corrective action plan has been accepted and the effectiveness of the action taken to be verified during the next audit.</p> <p>Status: Accepted</p>

		<p>colour tag and mother or protected trees with blue colour tag.</p> <p>Objective evidence:</p> <p>During the site visit to block 14 of Coupe 01A, at MT – 1 and ST- 1-6, tagged trees for felling were tagged with white tags. However, no PCT were found that has been tagged. Three (3) mother trees of Meranti 91cm DBH, Bintangor 45cm DBH and Bintangor 46cm DBH were marked with ribbon only.</p>	<p>Correction and Corrective action plan including completion date:</p> <ul style="list-style-type: none"> The ribbons of the three (3) mother trees had been replaced with the correct BLUE color tag in 29/08/2017 per Guidelines. 	
<p>Indicator 6.5.4</p> <p>NCR: RBJ03/2017</p>	<p>Minor</p> <p>Area/Location:</p>	<p>Requirement: Indicator 6.5.4 - Availability and implementation of guidelines for conservation of buffer strip along streams and river.</p> <p>Finding: The implementation of the buffer strips was not fully followed the “Guidelines for Forest Road Layout and construction, 1999”.</p> <p>Objective evidence:</p>	<p>Result of investigation and determination of root cause:</p> <ul style="list-style-type: none"> Demarcation of the required buffer strips had to be done as soon as possible <p>Correction and Corrective action plan including completion date:</p> <ul style="list-style-type: none"> The Riparian Buffer Zones were demarcated and signage’s in place 	<p>The Corrective action plan has been accepted and the effectiveness of the action taken to be verified during the next audit.</p> <p>Status: Accepted</p>

		Site visit to the camp area at Ravenscourt found that there is a stream running through the base camp. However, the buffer strips were not marked on the ground as required in the "Guidelines for Forest Road Layout and construction, 1999"	on 31 st July 2017. Pictorial reports dated June 2017 was attached.					
Indicator 4.2.2 NCR: MRS01/2017	Major Area/Location:	<p>Requirement: Indicator 4.2.2 - Availability of management policies addressing the occupational safety and health of forest workers and their families in accordance with current legislation and/or regulations.</p> <p>Finding: Employee's insurance record was not available</p> <p>Objective evidence : Record of insurance for 14 Indonesian workers as listed in the table below were not available at the time of audit:</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th></th> <th>Name of employee</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Sirilus Joseph</td> </tr> </tbody> </table>		Name of employee	1	Sirilus Joseph	<p>Result of investigation and determination of root cause: Ten (10) of these workers have insurance and four (4) of them, newly recruited, having insurance in process</p> <p>Correction and Corrective action plan including completion date: Copy of the insurance for the 14 workers is being extended to camp for record</p>	<p>Copy of the 14 workers was verified during the verification audit on 23 Aug 2017 and found all the listed workers have insurance. Certificate of Insurance of Lonpac Insurance No.E/15/WF01/001081/KCG-1 was verified during the audit</p> <p>Status: Closed</p>
	Name of employee							
1	Sirilus Joseph							

		2 Yunus Paliling 3 Sabarudin 4 Pangala Tandilolo 5 Nofriso Padan 6 Ruben Pakidi 7 Yohanis Sampe Iru 8 Mus Jumadil 9 Hasan Kamusu 10 Anton 11 Yulius Paleon 12 Frederikus Oleng Sakeng 13 Marthen Lapik 14 Riswan Mansyur		
Indicator 6.6.1 NCR: MRS02/ 2017	Minor Area/Location:	Requirement: Indicator 6.6.1 - Availability of management policy on environmentally friendly non-chemical methods of pest management.	Result of investigation and determination of root cause: <ul style="list-style-type: none"> A separate Policy shall be drafted. 	The Samling Policy Number 10; Policy for Pesticide Use in Natural Forest Management dated on 5 June 2017 was verified Status: Accepted

		<p>Finding: Policy on environmentally friendly non-chemical methods of pest management was not available.</p> <p>Objective evidence:</p> <p>Auditor has found that the FMU's Environmental Policy did not state on the use of environmentally friendly non-chemical methods of pest management and avoiding the use of chemical pesticides.</p>	<p>Correction and Corrective action plan including completion date:</p> <ul style="list-style-type: none"> The Policy for Pesticide use in natural forest has been approved by COO on 5 June 2017. 	
<p>Indicator 8.1.2</p> <p>NCR: MRS03/2017</p>	<p>Major</p> <p>Area/Location:</p>	<p>Requirement: Indicator 8.1.2 - Forest managers shall identify and implement appropriate monitoring procedures, in accordance with the scale and intensity of the forest management operations, for assessing social, ecological, environmental and economic impacts.</p> <p>Finding: Appropriate monitoring procedures and monitoring report for assessing social, ecological, environmental and economic impacts were not available</p>	<p>Result of investigation and determination of root cause:</p> <p>The Procedure is prepared and for implementation.</p> <p>Correction and Corrective action plan including completion date:</p> <ul style="list-style-type: none"> The Monitoring Report is enclosed. 	<p>Objective evidences and Procedures to Monitor Social, Ecological, Environmental and Economic Impacts were received through e-mail with attachments dated 14 November 2017 to SIRIM QAS Int Sdn Bhd</p> <p>Procedures to Monitor Social, Ecological, Environmental and Economic Impacts (SFM/PR-008) dated 1st October 2017 and Monitoring Report No.01, March-October 2017 (MR No.01-2017) were accepted and verified by the auditor</p>

		<p>Objective evidence:</p> <p>1. Procedures to monitor social, ecological, environmental and economic impacts to monitor on impacts of harvesting and management operation was not available.</p> <p>2. Monitoring report for assessing social, ecological, environmental and economic impacts for harvesting operation at Block 6, Coupe 1 was not available.</p>		Status: Closed
Indicator 8.2.1 NCR: MRS04/2017	Major Area/Location:	<p>Requirement: Indicator 8.2.1 - Forest managers shall gather the relevant information, appropriate to the scale and intensity of the forest management operations, needed to monitor the items (a) to (e) listed in Criterion 8.2.</p> <p>Finding:</p> <p>1. Relevant information for item (c) and (e) were not available</p> <p>2. Location of permanent sample plot (PSP) was not found in the FMU</p>	<p>Result of investigation and determination of root cause:</p> <ul style="list-style-type: none"> • Listing of ERT and Endemic flora and fauna species is given in Tables 1.4, 1.5, 1.6 and 1.7 under Chapter One Section 1.4.5 Biodiversity. Wildlife has commenced in March 2017. • Reduced Impact Logging (RIL) has just commenced in early May 2017 and the post-harvest impact assessment on completed block 6 is to be carried out in November 2017. • Marking locations of all PSPs on site with signages are in place. 	<p>Wildlife Monitoring Report (March-July 2017) was verified.</p> <p>All PSP have been marked with the proper signage and completed in 31st July 2017. PSPs map for Ravenscourt and PSP N0.112 was verified.</p> <p>Site inspection was conducted on 22 Aug 2017 on PSP No.26 and No.59 and No.52 found sufficient. Interviews with survey team found they are aware of correct GPS handling</p>

		<p>Objective evidence:</p> <p>1. Relevant information and monitoring for (c) Composition and observed changes in the flora and fauna and (e) Costs, productivity and efficiency of forest management were not available.</p> <p>2. Location of inventory plot (PSP 112) was not found during site inspection at Coupe 2A.</p>	<p>Correction and Corrective action plan including completion date:</p> <ul style="list-style-type: none"> Wildlife Monitoring Report (March-July 2017) enclosed. Report on the costs, productivity and efficiency shall be available upon completion operation of the annual Coupe 01. All PSP have been marked with the proper signage and completed in 31st July 2017. Training of GPS for survey crew by Forest Department Sarawak in November 2017 is proposed. 	<p>Composition changes on flora to be conducted by UPM Bintulu, draft of MoU with UPM dated 29.5.2017 and communication with UPM by email on 9.6.2017 was verified. Changes on fauna was conducted every month and Wildlife Monitoring Report No.1 (March-July 2017) (WMR No.1) was verified.</p> <p>Status: Closed</p>
<p>Indicator 8.5.1</p> <p>NCR:</p> <p>MRS05/</p> <p>2017</p>	<p>Minor</p>	<p>Requirement: Indicator 8.5.1 - A summary of the results of monitoring indicators, including those listed in Criterion 8.2, shall be made available to the public.</p> <p>Finding: A summary of monitoring result for item (a), (c) and (e) was not adequate</p>	<p>Result of investigation and determination of root cause:</p> <p>The monitoring elements and indicators are being identified.</p>	<p>Summary report of the monitoring indicators as in Public summary http://www.samling.com/doc/RVC%20Public%20Summary%206%20Jun%2017_new.pdf was verified and updated.</p> <p>Status: Accepted</p>

		<p>Objective evidence:</p> <p>A summary of the monitoring results for (a) Yield of all forest products harvested, (c) Composition and observed changes in the flora and fauna, and (e) Costs, productivity and efficiency of forest management as verified in the public summary titled 'Public Summary – Forest Management Plan for Forest Management Unit Ravenscourt Sdn Bhd T/0294 for the period 2016 - 2026' at the Samling's website: http://www.samling.com/doc/RVC%20F MU.pdf was not adequate.</p>	<p>Correction and Corrective action plan including completion date:</p> <p>Please see Monitoring Elements and Indicators in Public Summary.</p>	
<p>Indicator 9.3.1</p> <p>NCR: MRS06/2017</p>	<p>Minor</p>	<p>Requirement: Indicator 9.3.1 - Measures to demarcate, maintain and/or enhance the HCVF attributes are documented in the forest management plan and effectively implemented.</p> <p>Finding: HCVFs area was not demarcated on maps in the Forest Management Plan</p> <p>Objective evidence:</p>	<p>Result of investigation and determination of root cause:</p> <ul style="list-style-type: none"> The attributes of HCVFs were demarcated on separate maps in the FMP Chapter 11 under Section 11.6: Management and Monitoring of HCV Areas. <p>Correction and Corrective action plan including completion date:</p>	<p>Map of Summary of High Conservation Value Assessment (HCV) at Ravenscourt FMU printed 16/6/2017 was verified</p> <p>Status: Accepted</p>

		<p>The FMU did not demarcate HCVFs attributes on map in the FMP (2016-2025) as listed below:</p> <ol style="list-style-type: none"> 1. HCV 1.2–Threatened and endangered species 2. HCV 1.3 – Endemism 3. HCV 4.2 – Erosion control 4. HCV 4.3 – Barriers to Destructive Fire 	<ul style="list-style-type: none"> • The separate maps have been consolidated in the consolidated FMU Map on August 2017. 	
<p>Indicator 9.3.2</p> <p>NCR: MRS07/2017</p>	<p>Minor</p>	<p>Requirement: Indicator 9.3.2 - These measures shall be included in the forest management plan summary made available to the public.</p> <p>Finding: Public summary of HCVFs in the FMU area was not made publicly available</p> <p>Objective evidence:</p> <p>The public summary for HCVFs titled 'Public Summary – Forest Management Plan for Forest Management Unit Ravenscourt Sdn Bhd T/0294 for the period 2016 - 2026' only mentioned on</p>	<p>Result of investigation and determination of root cause:</p> <ul style="list-style-type: none"> • The Public Summary is amended accordingly and uploaded for public. <p>Correction and Corrective action plan including completion date:</p> <ul style="list-style-type: none"> • Upload was done in 6/06/2017. • Please see Public Summary. 	<p>Public summary http://www.samling.com/doc/RVC%20Public%20Summary%206%20Jun%2017_new.pdf was verified and updated as required by the standard.</p> <p>Status: Accepted</p>

		HCV5 and HCV6. For the rest HCVFs (1.1, 1.2, 1.3, 1.4, 2, 3, 4.1, 4.2 & 4.3), has yet to be made publicly available.		
Indicator 9.4.1 NCR: MRS08/ 2017	Major	<p>Requirement: Indicator 9.4.1 - Forest managers shall conduct, appropriate to scale and intensity of forest management operations, annual monitoring to assess the effectiveness of the measures in the management of the HCVFs in the FMU.</p> <p>Finding: HCVFs monitoring procedure and record of monitoring were not available.</p> <p>Objective evidence:</p> <ol style="list-style-type: none"> Monitoring procedures for HCV 1.1, HCV 3, HCV 4.1, HCV 4.2, HCV 4.3, HCV 5 and HCV 6 still not completed. Auditor only verified the draft of 'High Conservation Value Management & Monitoring Plan (HCV Plan) April 2017'. Record of monitoring for all HCVFs (HCV 1.1, HCV 1.2, HCV 1.3, HCV 1.4, HCV 2, HCV 3, HCV 4.1, HCV 	<p>Result of investigation and determination of root cause:</p> <ul style="list-style-type: none"> In the absence of procedures from FDS, the Procedures for Monitoring the HCV Management Measures have been compiled. The new HCV area (salt licks) was GPSed and demarcated in the Block 9 Map. <p>Correction and Corrective action plan including completion date:</p> <ul style="list-style-type: none"> HCV Monitoring Procedures were completed and approved on 1st August 2017 by COO. Demarcation and signages around salt licks (Block 9), burial site (Block 19) and Lepo Batu (Block 20) were completed on 24/08/2017. 	<p>Pictures and Maps of Locality Coupe 1A was verified.</p> <p>Procedures for monitoring the High Conservation Value (HCV) Management Measures (SFM/PR 007, Rev 0) was verified. Frequency of monitoring for each HCV were identified.</p> <p>Records of monitoring Wildlife Monitoring Report No.1 (March-July 2017) (WMR No.1) was verified.</p> <p>Last monitoring on salt lick and Lepo Batu was conducted on 25 June 2017. Pictorial report was verified during the audit. Demarcation and signages around salt licks (Block 9) and burial</p>

		<p>4.2, HCV 4.3, HCV 5 and HCV 6) were not evident.</p> <p>3. Record of monitoring for new HCV area – salt licks in Block 9, Coupe 1 which was found in December 2016 by the FMU was not evident.</p>		<p>site (Block 19) were completed on 24/08/2017, and was verified by the auditors on 23 Aug 2017.</p> <p>Status: Closed</p>
<p>Indicator 9.4.2</p> <p>NCR: MRS09/2017</p>	<p>Minor</p>	<p>Requirement: Indicator 9.4.2 - Forest managers shall incorporate the results and findings of the HCVFs monitoring activities into the implementation and revision of the forest management plan.</p> <p>Finding: The FMU has not incorporated the new HCV area in the forest management plan.</p> <p>Objective evidence:</p> <p>The FMU has yet to update Forest Management Plan 2016 – 2025 with the new HCV area of salt lick, in the Block 9, Coupe 1 which was found in December</p>	<p>Result of investigation and determination of root cause:</p> <p>The new HCV area of salt lick was discovered a month (December 2016) after the submission of FMP.</p> <p>Correction and Corrective action plan including completion date:</p> <p>The discovery of the new HCV area of salt lick, burial sites and Lepo Batu are incorporated in the GP map (update on August 2017) as component of FMP.</p>	<p>The map of salt lick, burial sites and Lepo Batu are incorporated in the GP map (update on August 2017) as component of FMP. The map was verified.</p> <p>Status: Accepted</p>

		2016 as the FMP was just completed in November 2016.		
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