



**PUBLIC SUMMARY  
1<sup>st</sup> SURVEILLANCE AUDIT (1<sup>st</sup> CYCLE) ON  
GAAT- MENGIONG FOREST MANAGEMENT UNIT  
FOR FOREST MANAGEMENT CERTIFICATION**

**Certificate Number: FMC-NF 00127  
Date of First Certification: 10<sup>th</sup> July 2020  
Audit Date: 8<sup>th</sup> – 11<sup>th</sup> February 2022  
Date of Public Summary: 17<sup>th</sup> August 2022**

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## EXECUTIVE SUMMARY

This Surveillance 1 audit on the Gaat-Mengiong Forest Management Unit (hereafter referred as the Gaat-Mengiong FMU) was conducted from 8<sup>th</sup> – 11<sup>th</sup> February 2022 to assess the compliance of the overall forest management system of the Gaat-Mengiong FMU against the requirements of the Malaysian Criteria and Indicators for Forest Management Certification [MC&I SFM] using the verifiers stipulated for Sarawak. The scope of this surveillance 1 audit was limited to the forest management system and practices within the Gaat-Mengiong FMU.

This Surveillance 1 audit was conducted by a 3-member team comprising Mohd Annas Amin Bin Haji Omar (Lead Auditor), Khairul Najwan Ahmad Jahari (Auditor) and Angelica Sinimis Suimin (Auditor).

Based on the findings of this surveillance 1 audit, it was found that Gaat-Mengiong FMU had complied with the requirements of the MC&I SFM. This surveillance 1 audit had resulted in the issuance of six (6) minor Non-Conformity Reports (NCRs).

This public summary contains the general information on the Gaat-Mengiong FMU, the findings of the surveillance 1 audit, NCRs raised as well as the decision on the certification of the FMU.

## 1.0 INTRODUCTION

### 1.1 Name of FMU

Gaat-Mengiong Forest Management Unit

### 1.2 Contact Person and Address

Name : Ngu Leong Hui  
Designation : Certification Manager  
Address : 18A, 3<sup>rd</sup> Floor,  
Lanang Road  
96007 Sibuluan  
Sarawak  
Phone : 084 316336  
Fax: : 084 334604

### 1.3 General Background on the Gaat- Mengiong FMU

The Gaat-Mengiong FMU is managed by Billion Venture Sdn. Bhd. covers an area of 66,190 ha with the combination of Baleh Protected Forest (44,482 ha) and State Land (21,708 ha). About 3,501 ha of the FMU is within the Heart of Borneo (HoB) Corridor. Two rivers, Sg. Gaat and Sg. Balang defined most of the northern boundaries.

The forest area is situated approximately between Latitudes 1<sup>o</sup> 30.096' N to 1<sup>o</sup> 47.603' N and Longitudes 113<sup>o</sup> 03.288' E to 113<sup>o</sup> 30.890' E in within the Kapit Division, Sarawak, and accessible from Kapit by the 88km with logging roads to Billion Venture Camp. The Billion Venture Camp is about 30km south-east of Kapit Town. It covers a total took about 3 hours of travelling time from Kapit to Billion Venture Camp.

The forest types in the FMU consist of Mixed Dipterocarp Forest (MDF). The general landform of the FMU ranges from undulating to steep terrain where the slopes are predominantly in the 5<sup>o</sup> to 35<sup>o</sup> range (Terrain Class II and III), rolling hills with altitudes of more than 300m above mean sea level (amsl). Currently, the Gaat-Mengiong FMU in progress of conducting tree tagging in Coupe 01.

During this surveillance 1 audit, the Gaat-Mengiong FMU has remained constant in size at 66190 ha (Baleh Protected Forest, 44,482 ha) and State Land (21,708ha).

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

### 1.4 Date First Certified

10 July 2020

### 1.5 Location of the FMU

The FMU is located between Latitudes 10 30.096' N to 10 47.603' N and Longitudes 1130 03.288' E to 1130 30.890' E within the Kapit Division, Sarawak.

### 1.6 Forest Management System

The Gaat-Mengiong FMU had followed the principles of sustainable forest management (SFM) and the requirements of the Licence Agreement of the State government. Forest Management Plan for Forest Timber Licence (FTL) No. T/3400, Gaat Mengiong Forest Management Unit for period 2019 to 2024, dated June 2017 revised on June 2019, was presented during the audit.

### 1.7 Annual Allowable Cut/Annual Harvest under the Forest Management Plan

The annual allowable cut (AAC) for the FMU had been set at 75,160m<sup>3</sup>/annum. During this surveillance 1 audit, the size of the FMU is 66,190 ha.

## 1.8 Environmental and Socioeconomic Context

The EIA for The Re-Entry Hill Logging of Area B Under Timber Licences No. T/3400 and T/3401 at Sg. Gaat-Sg. Mengiong Area, Kapit Division, Sarawak was conducted for the FMU. The EIA report was approved by Natural Resources and Environment Board (NREB) on 24 February 2009 (12) NREB/6-3/2F/41.

The Forest Management Plan for Forest Timber Licence (FTL) No. T/3400, Gaat Mengiong Forest Management Unit for period 2019 to 2024, dated June 2017 revised on June 2019 included in Chapter 11 on Community Development, defined the general objectives of community development is to enable effective community participation in sustainable forest management. Actions has been taken by FMU to prevent or mitigate adverse impacts by demarcation of sites for shifting agriculture, burial ground, settlements, and water catchment as in evidence in the Map of Forest Zonation in the updated of Forest Management Plan. The revised FMP had also incorporated mitigation measures for the protection of endangered, rare and threatened (ERT) species and occupational safety.

The FMU have been providing various assistances to Longhouses communities from time to time comprising road maintenance, supplying fuel, mechanical assistant, education funds, donation for celebration and others.

Qualified people in communities living within, or adjacent to the FMU are given preference for employment and contract works. Employment for local communities were encouraged when harvesting operations in the certified area commences. There was no record on the application of any traditional forest-related knowledge and practices of natives in forest operations.

## 2.0 AUDIT PROCESS

### 2.1 Audit Dates

8th to 11th February 2022 / 12 auditors' day

### 2.2 Audit Team

Mohd Annas Amin Bin Haji Omar (Lead Auditor)  
Khairul Najwan Ahmad Jahari (Forester)  
Angelica Sinimis Suimin (Sociologist)

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

### 2.3 Standard Used

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

### 2.4 Stakeholder Consultations

A one-month stakeholder consultation was conducted beginning January 2022 to solicit feedback from stakeholders on the compliance of the Gaat-Mengiong FMU against the requirements of the MC&I SFM. The comments by the stakeholders and responses by the audit team are shown in **Attachment 3**.

### 2.5 Audit Process

The audit was conducted primarily to evaluate the level of continued compliance of the Gaat-Mengiong FMU's current documentation and field practices in forest management with the detailed of the standard of performances (SOPs) listed in the MC&I SFM, 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 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 SFM.
- (ii) a minor NCR is a deviation or a lapse in complying with the requirements of the MC&I SFM; and
- (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 SFM but without sufficient objective evidence to support a non-conformance.

Consultations were held with local communities in Sepulau 1- Tr.William, Sepulau 2- Tr.Menggah, Rh.Balang, Rh Melintang,Rh Jegai, Rh Tungku, Rh. Jementang, Rh Nanga Ajan and Rh Ramong, which is located within and outside the FMU., and with Contractor's worker's representative,

The coverage of this surveillance 1 audit is as shown in the surveillance 1 Audit Plan in **Attachment 4**.

The Gat-Mengiong FMU had sent a corrective action plan to the audit team to address the minor NCRs which the audit team had reviewed and accepted them. The audit team had prepared an interim surveillance 1 audit report and sent it to the Gaat-Mengiong FMU for comment. A second draft of audit report which had incorporated the comments received from the FMU was then prepared.

### **3.0 SUMMARY OF AUDIT FINDINGS**

Based on the findings of this surveillance 1 audit, it was found that Billion Venture Sdn. Bhd. had continued to manage the Gaat-Mengiong FMU in compliance with most of the requirements of the MC&I SFM. This surveillance 1 audit had resulted in the issuance of six (6) minor NCRs. Details on the NCRs raised are shown in **Attachment 5**.

The audit team had reviewed, accepted, and verified the corrective actions taken by the FMU to address the Minor NCR raised during this surveillance 1 audit. The audit team had reviewed and accepted the FMU's proposed corrective actions to address the 6 Minor NCRs. However, these corrective actions shall be verified by the audit team during the next audit.

The audit team had also verified on the corrective actions taken by the FMU to address the 5 Minor NCRs which were raised during the previous audit. The responses made by the audit team leader on these corrective actions and on the final status of the NCRs are as in **Attachment 6**.

On local community rights, there were mechanisms in place to resolve disputes over tenure and use rights through meetings with the Community Representative Committee (CRC).

Regarding Criterion 6.10, there was no new conversion of the Protected Forest to forest plantations or other non-forest land uses during the intervening period since the last audit. The Protected Forest in the Gaat-Mengiong FMU has remained constant in size of forest area.

Only Minor NCR raised during this Surveillance 1 audit, the audit team had therefore recommended that the Certificate for Forest Management maintained by Gaat-Mengiong FMU.

The summary on the findings of the Surveillance 1 audit on the Gaat-Mengiong FMU against the requirements of the MC&I (Natural Forest) are as follows:

Principle	Strengths	Weaknesses
<p><b>Principle 1 Compliance with Laws and Principles</b></p>	<p>The forest management had maintained records of all relevant national, local laws, regulations and policies related to forest management, stipulated in the MC&amp;I (SFM) fundamental for the FMU management.</p> <p>Forest managers are aware and knowledgeable of the applicable federal, state, and local laws, as well as the regulatory framework for forest management.</p> <p>Current list of all legally prescribed fees, royalties, taxes, and other charges was available.</p> <p>A written policy entitled “Sustainable Forest Management Policy” was presented. The policy statement was displayed at prominent sites within the FMU and had been communicated throughout the organization.</p>	<p>During site Inspection on Pre-Harvesting activities at Coupe 02 Block 20 found that the Block Boundary was not demarcated along the main road (M-2).</p> <p>Therefore, <b>Minor NCR ANS01/2022</b> for <b>Indicator 1.5.2.</b> was raised.</p>
<p><b>Principle 2 Tenure and Use Rights and Responsibilities</b></p>	<p>Forest Timber Licence (FTL) No. T/3400 was issued to “Perbadanan Kemajuan Perusahaan Kayu Sarawak” (STIDC) by the Forest Department of Sarawak on 12 April 2001 to 11 April 2020. Renewal for the Licence was approved from 12<sup>th</sup> April 2021-11<sup>th</sup> April 2022.</p> <p>There is no NCR land or civil courts pertaining to legal customary tenure in the FMU at the time of audit. FMU had acknowledge and identified the Shifting Agriculture (SA) which include water catchment area, settlements &amp; burial sites within the FMU and together with local communities.</p> <p>A legal documentation under the Sarawak Gazette Schedule II was made available during the audit. The documents had acknowledged the user rights of communities as rubber planters and were listed individually of having rights over the trees planted without further extension in the PFZ area.</p>	<p>There were no negative findings</p>
<p><b>Principle 3 Indigenous People’s Rights</b></p>	<p>A total of 5,454 ha Shifting Cultivation/Area (SA) inside FMU area has been mapped for local community use but is still in progress of ground demarcation.</p> <p>The FMU has prevented and mitigate adverse impacts included marking of sites</p>	<p>Consultations with 6 of the communities (Rh. Sepulau 1 and Sepulau 2, Rh. Ramong, Rh, Senentang, Rh Tunku, Rh. Jegai) indicated that the community representatives don’t understand the functions of CRC as mechanism to resolve conflicts and grievances</p>

Principle	Strengths	Weaknesses
	<p>for shifting agriculture, burial ground, settlements, and water catchment.</p> <p>SOP GMFMU/SOP/ODM Rev.1 dated June 2018 revised on 5<sup>th</sup> August 2019 was formulated to carry out boundary demarcation with regards to sites of special cultural, ecological, economic, or religious significance to indigenous peoples. Consultations with the longhouse communities confirmed that they were consulted by FMU.</p> <p>There was no record on the application of any traditional forest-related knowledge and practices of natives in forest operations.</p>	<p>between parties.</p> <p>Therefore, a <b>Minor NCR AS01/2022</b> for <b>Indicator 3.1.3</b> was raised.</p>
<p><b>Principle 4 Community Relations and Workers' Rights</b></p>	<p>Forest managers had provided training for all workers; trainings includes tree felling, forest survey, RIL, safety, and were documented. The FMU also provide social programmes for local communities.</p> <p>The FMU have been providing various assistances to Longhouses communities from time to time comprising road maintenance, supplying fuel, mechanical assistant, education funds, donation for celebration and others.</p> <p>Person in-charge as Safety and Health Officer (SHO) has been officially appointed by Billion Venture Sdn Bhd. Meetings of the Safety and Health Committee was conducted once in 3 months as according to the re Gaat-Mengiong FMU had prepared the Annual Budget, which includes budget for staff welfare &amp; amenity, office expenses, general expenses quirement. The latest meeting was conducted on 4/11/21 GMFMU/MM/JKKP/2021/03 attended by 8 workers.</p> <p>Qualified people in communities living within, or adjacent to the FMU are given preference for employment and contract works.</p>	<p>There was no approval of accumulated monthly rest days from Labour Department. This is a non-compliance to section 105b of the Labour Ordinance Sarawak Cap 76(1958 ed).</p> <p>Therefore, <b>A Minor NCR AS02/2022</b> for <b>Indicator 4.3.3</b> was raised.</p> <p>The Socio- Economic Assessment for Hill Logging under Timber Licenses No. T/3400 and T/3401 at the Sg. Gaat-Sg. Mengiong Area Kapit Division, Sarawak dated March 2012 was examined but data was not consistent with the FMP information in Chapter 1 Section 1.5 on Social and Cultural Environment.</p> <p>Therefore, a <b>Minor NCR AS03/2022</b> for <b>Indicator 4.4.1</b> was raised.</p>
<p><b>Principle 5 Benefits From the Forest</b></p>	<p>Gaat-Mengiong FMU had prepared the Annual Budget, which includes budget for staff welfare &amp; amenity, office expenses, general expenses, Budget for 2021 was made available during the audit.</p> <p>Provisions and management prescriptions was established to maintain, restore or enhance the productive capacity and ecological integrity of the FMU to ensure its economic viability.</p>	<p>There were no negative Findings</p>

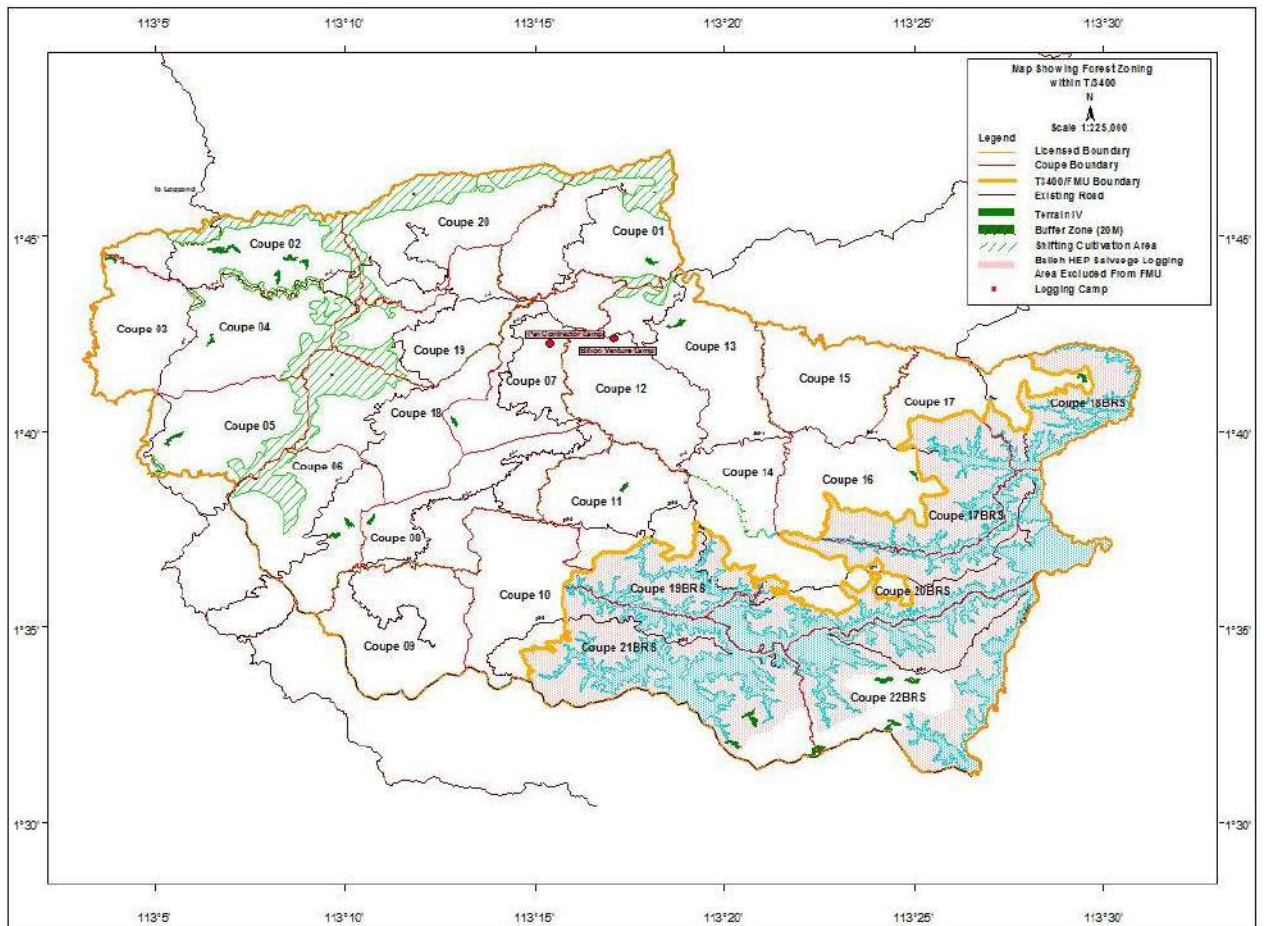


Principle	Strengths	Weaknesses
	<p>The main products extracted from the forest in the FMU were logs. No minor forest produce had been extracted.</p> <p>During this audit logging operation is not started yet. Visit to tagging area found implementation of tree tagging for harvesting has followed the “Guidelines for Reduced and Low Impact Logging systems in Forest Management Certification (Natural Forest)” Area.</p> <p>A Reduce Impact Logging (RIL) Briefing were conducted on 19-20 October 2021 for forest surveyor which involved in forest harvesting</p> <p>The FMU implemented the identification and demarcation of sensitive areas for the protection of soil and water, watercourse, and wetland base on the “<i>Procedures for Identifying and Demarcating Sensitive Areas for the Protection of Soil and Water, 1999</i>”,</p> <p>The optimum sustained commercial harvesting volume was set at 25m<sup>3</sup>/ha which projected the annual harvestable volume range 75,160 m<sup>3</sup> per annum, cutting cycle of 25 years, the AAC is set at 60,128ha.</p>	
<p><b>Principle 6 Environmental Impact</b></p>	<p>The EIA for The Re-Entry Hill Logging of Area B Under Timber Licences No. T/3400 and T/3401 at Sg. Gaat-Sg. Mengiong Area, Kapit Division, Sarawak was conducted for the FMU, approved by Natural Resources and Environment Board (NREB) on 24 February 2009 (12) NREB/6-3/2F/41.</p> <p>The Gaat-Mengiong FMP had also incorporated mitigation measures on the environmental impacts from forest management operations, specific to potential impacts on endangered, rare and threatened species of flora and fauna, and the need for biological corridors.</p> <p>Guidelines to identify and protect endangered, rare and threatened species of forest flora and fauna, including features of special biological interest such as seed trees, salt licks, nesting and feeding areas in the FMU were available.</p> <p>Cooperation existed between forest</p>	<p>Audit found that, scheduled wastes, since June 2019 and record of “Inventory of Scheduled Wastes as of December 2021” [Fifth Schedule] from month of September 2021 to December 2021 were not disposed in an environmentally appropriate and legal manner, as required in Environmental Quality (Scheduled Wastes) Regulations 2005.</p> <p>Therefore, <b>Minor NCR KN01/2022 for Indicator 6.7.1</b> was raised</p>

Principle	Strengths	Weaknesses
	<p>managers, and conservation organizations and regulatory authorities in implementing conservation and management activities.</p> <p>Prevention of activities on hunting, fishing, and collecting activities and inappropriate activities in the FMU were controlled by nine appointed Honorary Wildlife Rangers. Wildlife monitoring programs were also scheduled and carried out.</p> <p>Forest Fire Management Plan for Gaat Mengiong FMU was made available during the audit.</p> <p>No biological control agents been used in the FMU.</p> <p>Conversion of natural forest into non-forest land use had not occurred within the FMU.</p>	
<p><b>Principle 7 Management Plan</b></p>	<p>The Forest Management Plan for Forest Timber Licence (FTL) No. T/3400, Gaat Mengiong Forest Management Unit for period 2019 to 2024, dated June 2017 revised on June 2019, was made available during the audit.</p> <p>Records of new scientific and technical information and from monitoring activities were covered in the FMP.</p> <p>Gaat Mengiong FMU was clearly define and assign specific roles and responsibilities of the forest worker to ensure effective implementation of the forest management plan.</p> <p>Records of training, certificates and interview with staf and workers has confirmed all respective personnel and contractor has been trained accordingly to their roles.</p> <p>The summary of the primary elements of the forest management plan in <a href="https://gaat-mengiongfmu.blogspot.com/">https://gaat-mengiongfmu.blogspot.com/</a> was available.</p>	<p>Review of the Forest Management Plan for Forest Timber License (FTL) No. T/3400, Gaat Mengiong Management Unit for period 2019 to 2024, revised June 2019, found the following information yet to be included in the FMP:</p> <ol style="list-style-type: none"> <li>1. Fire prevention and control (Paragraph C in Criterion 7.1)</li> <li>2. Description of stakeholder's consultation (Paragraph J in Criterion 7.1)</li> <li>3. Consideration of risks and opportunities concerning compliance with the requirements of the standard</li> </ol> <p>Therefore, a <b>Minor NCR ANS01/2022</b> for <b>indicator 7.1.1</b> was raised.</p>
<p><b>Principle 8 Monitoring and Assessment</b></p>	<p>The FMU had established programme for annual patrolling and monitoring. Social monitoring was carried out through CRC and field visit done by the Certification executive. Gaat-Mengiong FMU management also has programme for annual area patrolling and monitoring schedule. The programme for 2019-2022 was available and verified during the</p>	<p>There were no negative findings</p>

Principle	Strengths	Weaknesses
	<p>audit.</p> <p>Internal audit was conducted on 18-20 August 2021, and Management Review Meeting (MRM) was conducted on 25 October 2021. Review of the Internal Audit Report found it was conducted appropriately by the FMU.</p> <p>The Environmental Monitoring Report (EMR) for 4<sup>th</sup> quarter 2021 (October – December) has been conducted on 13 October 2021 by Ecosol Consultant.</p> <p>A total of new 10 PSPs were established in Gaat-Mengiong FMU, replacing the former established 20 Permanent Sample Plots (PSP). The new PSP plots will give the information on the regeneration and condition of the trees (forest).</p> <p>'Public Summary – Forest Management Plan for Forest Management Unit Gaat-Mengiong T/3400 for a period 2016 - 2026' is available online at <a href="http://gaat-mengiongfmu.blogspot.com">http://gaat-mengiongfmu.blogspot.com</a></p>	
<p><b>Principle 9 Maintenance of High Conservation Values</b></p>	<p>A HCVF Assessment Survey and Identification of Value Forest of Forest Timber Licence No. T/3400 was done in accordance with the WWF Toolkit. The location of the HCVF areas i.e., Salt lick area were marked on the Forest Zonation Map of Gaat Mengiong FMU.</p> <p>The FMU has incorporated HCVFs information into the Forest Management Plan in Chapter 10 [Identification and Management of Protection Areas].</p> <p>Monitoring procedure was established to assess the effectiveness of the measures in the management of the HCVFs.</p> <p>Public summary of the HCVFs at the Gaat Mengiong website which can be access at the link: <a href="http://gaat-mengiongfmu.blogspot.com/">http://gaat-mengiongfmu.blogspot.com/</a></p> <p>Results and findings of the HCVFs monitoring activities in Gaat-Mengiong FMU has been incorporated into the implementation and revision of the Gaat-Mengiong Forest Management Plan (FMP)</p>	<p>There was no negative finding</p>

Map of Gaat-Mengiong FMU



## Experiences and Qualifications of Audit Team Members

Assessment Team	Role/Area of MC&I Requirement	Qualification and Experience
Mohd Annas Amin bin Haji Omar	Audit Team Leader/Forester	<p>Academic Qualification: Diploma in Forestry, UPM B. Sc. In Forestry, UPM</p> <p>Work Experience: Six years as Assistant Forest Officer at Perak Forestry State Department in the year from 2013-2018. Main responsibility is Assisting District Forest Officers in administrative work, forest development and forest operations. Conduct forest Enforcement Team Activities such as The Prevention of illegal logging. Appointed to be Raid Officer in Raid Eradicating Illegal Refinery in Perak Forestry. Also appointed to be Investigative Officer in Investigations into a case involved Forest Reserve and Cased Prosecuted in Court.</p> <p>Training / Research Areas: Program of MTCS Training Course (MC&amp; I) in Kuantan (9-12 July 2018)</p> <p>Lead Auditor ISO 9001, ISO 14001 &amp; ISO 45001 Exemplar Global Certified (13-18 Ogos 2018)</p> <p>RSPO Lead Auditor Training (9-13 March 2020)</p>
Khairul Najwan Ahmad Jahari	Auditor / 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 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&amp;I and FSC P&amp;C), MYNI of RSPO P&amp;C and other management system on ISO 9001, 14001 and OHSAS 1800</p> <p>Training / Research Areas: Was attending and pass in the following training programmes:</p> <p>Auditor Training Course on Malaysian Criteria and Indicators for Forest Management Certification [MC&amp;I (2002)] organized by MTCC, 30 March - 2 April 2009. 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.</p>

<p>Angelica Sinimis Suimin</p>	<p>Auditor/ Sociology</p>	<p><b>Academic Qualification:</b> She has a Bachelor of Arts in Social Science and MSc in Environmental Management and Social Development. Has a certificate in Paralegal Studies and Diploma in Emergency Medical Technician (UK) and Human Resources Management (UM).</p> <p><b>Work Experience:</b> A competent One to One Competency Based and Education Trainer from De Taffe University, Australia. Independent Auditor under SIRIM QAS Malaysia and Technical Expert for FSC audit under SCS Global services. Has worked as Rural Sociologist under the World Bank project under the Japanese Trust Fund for Community Forestry Project in Sabah for 3 years. She has over 30 years of working experience and was working in the Forestry Related Industries both in Sabah and Sarawak for 28 years in different capacities (e.g independent Researcher, Rural Sociologist, Sr. Training and Administrator, Human Resources Executive, Emergency Medical Technician, Training Officer, CSR Manager, Chief Operation Officer for Avantha Foundation Malaysia).</p> <p><b>Attended training programmes:</b> Has attended the following courses:</p> <ol style="list-style-type: none"> <li>1. MTCC Forest certification Standards for Forest Management and Plantations, 2013, Sirim QAS</li> <li>2. FSC Forest Certification standards for Forest Management and Control Wood, 2015; Nepcon</li> <li>3. LEAD ASSESSOR COURSE ISO 14001 (EXEMPLAR GLOBAL CERTIFIED LEMS01) , 2016; Sirim QAS</li> <li>4. DIPLOMACY TRAINING (Human Rights, Indigenous People, the Private Sector and Development), 2017; Faculty of law, Uni New South Wales</li> <li>5. MC&amp;I *Natural Forests and Plantation v.2 standards, 2017 – MTCC</li> </ol>
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**Comments Received from Stakeholders and Responses by Audit Team Leader**

No.	Stakeholder	Comments/Issues Raised	Response by Audit Team
	-	-	-

## Surveillance 2 Audit Plan

DAY	TIME	PROGRAM		
		AUDITOR (1)	AUDITOR (2)	AUDITOR (3)
<b>Day 0</b> <b>6/2/2022</b> <b>&amp;</b> <b>7/2/2022</b> <b>(Mon)</b>	08.00am- 11.00pm	<ul style="list-style-type: none"> <li>(Travel from Kuala Lumpur to Sibul Mohd. Annas &amp; Khairul Najwan</li> <li><b>ETD 0835 ETA 1030 (MH2712)</b></li> <li><b>Angelica (ETD 1045- ETA 1045) (BKI-SBW) (AK6090)</b></li> </ul> <ul style="list-style-type: none"> <li>Travel from Sibul to Base Camp</li> <li>Briefing by Audit Team Leader on the surveillance audit plan</li> </ul>		
<b>Day 1</b> <b>8/2/2022</b> <b>(Tue)</b>	8.00 am – 1.00 pm   2.00 pm – 5.00 pm	<ul style="list-style-type: none"> <li>Opening Meeting with representatives of FMU</li> <li>Briefing session by Forest Manager of the FMU</li> <li>Q&amp;A Session</li> <li>Evaluation of changes to the management of the FMU</li> <li>Check on progress of planned activities aimed at enhancing the operation system to achieve improvement in overall performance</li> <li>Check on complaints and follow-up actions</li> <li>Evaluate on procedures for internal audit and management review</li> <li>Verification of NCRs raised during the previous audit.</li> </ul> Documentation and records review  Principle 1 – Compliance with Laws and Principles Principle 2 – Tenure and Use Rights and Responsibilities Principle 3 – Indigenous Peoples' Right Principle 4 - Community Relations and Worker's Right Principle 5 – Benefits from the forest Principle 6 – Environmental Impact Principle 7 – Management Plan Principle 8 – Monitoring and Assessment Principle 9 – Maintenance of High Conservation Value (HCV) <ul style="list-style-type: none"> <li>Review of Day 1 Findings by Audit Team Leader</li> </ul>		
<b>Day 2</b> <b>9/2/2022</b> <b>Wed</b>	7.30 am – 1.00 pm   2.00 pm – 5.00pm	Site visit  <ul style="list-style-type: none"> <li>Inspection of Pre-harvesting (Coupe 2 /Block 20)</li> <li>PSP 10 /Block 20</li> <li>Inspection of Shifting Agriculture Area (SA) -(Coupe 2)</li> <li>Inspection of FMU Licenses Boundaries/ External Boundary - Coupe 2 &amp; 4</li> </ul>	Site visit  <ul style="list-style-type: none"> <li>Inspection of Pre-harvesting (Coupe 2/Block 18)</li> <li>HCV (Coupe 2)</li> </ul>	Site visit  <ul style="list-style-type: none"> <li>Consultation with Sepulau 1 (Tr. William) and Rh Sepulau 2 (Tr. Menggah)</li> <li>Rh Balang</li> <li>Rh. Melintang (Sebiro Hilir), Rh Jegai (Ng. Sebiro Tengah) and Rh. Tungku (Sebiro Ulu)</li> </ul>
		<ul style="list-style-type: none"> <li>Review of Day 2 Findings by Audit Team Leader</li> </ul>		



<b>Day 3</b> <b>10/2/2022</b> <b>(Thu)</b>	7.30 am – 1.00 pm	<b>Site visit</b> <ul style="list-style-type: none"> <li>• Inspection of FMU Licenses Boundaries at Coupe 1/Sg Piat</li> <li>• Consultation with contractors and workers (surveyor) operating in FMU</li> <li>• Nursery</li> </ul>	<b>Site visit</b> <ul style="list-style-type: none"> <li>• PSP 2 (Coupe 15)</li> <li>• Inspection of FMU Licenses Boundaries FMU &amp; Salvage /Coupe 17 &amp; Coupe 11</li> <li>• Workshop Pan Contractor</li> </ul>	<b>Site visit</b> <ul style="list-style-type: none"> <li>● Rh.Senentang</li> <li>● Rh.Nanga Ajan/Calling</li> <li>• Rh.Ramong</li> </ul>
	2.00 pm – 5.00pm	<ul style="list-style-type: none"> <li>• Review of Day 3 Findings by Audit Team Leader</li> </ul>		
<b>Day 4</b> <b>11/2/2022</b> <b>Friday</b>	8.30 am – 1.00 pm	<ul style="list-style-type: none"> <li>• Documentation and records review</li> <li>• Preparation of audit report and finding</li> <li>• Briefing to representatives of FMU on the findings of audit</li> <li>• Closing Meeting and presentation of findings of audit and discussion on follow-up activities</li> <li>• Adjourn Closing Meeting</li> </ul>		
	2.00pm-3.00 pm			
	4.00 pm			
<b>12/2/2022</b> <b>Saturday</b>	9.00am	Travel from Sibü to Kuala Lumpur – Annas& Najwan <b>MH2715 ETD1130-ETA1320,</b>  Angelica		

## Details on NCRs and OFIs Raised During this Surveillance 2 Audit and Corrective Actions Taken (2022)

Indicator	Detail Non-conformances	Corrective Action Taken	Verification by Assessor
Minor NCR: ANS01/ 2022	<p><b>Requirement: Indicator 1.5.2</b> - FMU shall be protected from encroachment, illegal harvesting, hunting, and settlement, and other unauthorised activities</p> <p><b>Finding:</b> Block Boundary not fully demarcated on the ground.</p> <p><b>Objective evidence:</b> During site Inspection on Pre-Harvesting activities at Coupe 02 Block 20 found the Block Boundary was not demarcated along the main road (M-2).</p>	<p><b>Result of investigation and determination of root cause:</b></p> <ul style="list-style-type: none"> <li>The surveyors were not aware the need to demarcate the block boundary along the logging road.</li> </ul> <p><b>Correction and corrective action plan including completion date:</b></p> <ul style="list-style-type: none"> <li>The demarcation of block boundary along the logging road in Coupe 2 will be carried out progressively and expected complete by Jun 2022.</li> </ul>	<p>The Corrective action plan dated 4 March 2022 has been accepted and the effectiveness of the action taken to be verified during the next audit.</p> <p>Status: Accepted</p>
Minor NCR: AS01/2022	<p><b>Requirement: Indicator 3.1.3</b> - Availability and use of appropriate mechanisms to resolve any conflicts and grievances between parties involved.</p> <p><b>Finding:</b> Community Representatives Committee (CRC) as a mechanism to resolve conflicts and grievance between parties were not fully understood.</p> <p><b>Objective evidence:</b> Consultations with 6 of the communities (Rh. Sepulau 1 and Sepulau 2, Rh. Ramong, Rh, Senentang, Rh Tunku, Rh. Jegai) indicated that the community representatives don't understand the functions of CRC as mechanism to resolve conflicts and grievances between parties</p>	<p><b>Result of investigation and determination of root cause:</b></p> <ul style="list-style-type: none"> <li>CRC as mechanism to resolve conflicts and grievances between parties is considered new to local community. Awareness program was carried out once in year 2019 but subsequent awareness program planned for year 2020 and 2021 has been delayed or postpone due to Covid Pandemic.</li> </ul> <p><b>Correction and corrective action plan including completion date:</b> The awareness program regarding the function of CRC as mechanism to resolve conflict and grievances between parties will be included as once of the agenda in FMCLC Meeting for year 2022 that will be attended by CRC members/representatives. The awareness</p>	<p>The Corrective action plan dated 4 March 2022 has been accepted and the effectiveness of the action taken to be verified during the next audit.</p> <p>Status: Accepted</p>

		program will mainly focus on the CRC members/representatives to enable them to understand their role in the mechanism and play their role in sharing the information regarding the CRC to local communities they represent	
Minor NCR: AS02/2022	<p><b>Indicator 4.3.3</b> - The right of workers to employment benefits and social protection is assured under applicable laws and/or regulations.</p> <p><b>Finding:</b> The right of workers to employment benefits and social protection under Labour Ordinance [Cap. 76 (1958 Ed.)] were not fully complied.</p> <p><b>Objective evidence:</b> There was no approval of accumulated monthly rest days from Labour Department as per requirement of the Sarawak Labour Ordinance (1958).</p>	<p><b>Result of investigation and determination of root cause:</b> The FM management was not aware on the need to obtain approval for accumulated monthly rest days from Labour Department.</p> <p><b>Correction and corrective action plan including completion date:</b> The management will write into the labour department to obtain approval from Labour Department on accumulated monthly rest days</p>	<p>The Corrective action plan dated 4 March 2022 has been accepted and the effectiveness of the action taken to be verified during the next audit.</p> <p>Status: Accepted</p>
Minor NCR: AS03/2022	<p><b>Indicator 4.4.1</b> – Forest managers shall evaluate, through consultations, social impact of forest operations directly affecting communities, and the people and groups directly affected by the forest operations shall have access to information on the results of the social impact evaluations.</p> <p><b>Finding:</b> The Socio- Economic Impact Assessment was not revised and updated.</p> <p><b>Objective evidence:</b> The Socio- Economic Assessment for Hill Logging under Timber Licenses No. T/3400 and T/3401 at the Sg. Gaat-Sg. Mengiong Area Kapit Division, Sarawak dated March 2012 was examined but data was not consistent with the FMP information in Chapter 1 Section 1.5 on Social and Cultural Environment</p>	<p><b>Result of investigation and determination of root cause:</b></p> <ul style="list-style-type: none"> <li>The FMU management was not aware on the need to revise and update the Social Impact Assessments report.</li> </ul> <p><b>Correction and corrective action plan including completion date:</b> The Social Impact Assessments will be revised and updated.</p>	<p>The Corrective action plan dated 4 March 2022 has been accepted and the effectiveness of the action taken to be verified during the next audit.</p> <p>Status: Accepted</p>

<p>Minor NCR: KN01/2022</p>	<p><b>Indicator 6.7.1</b> – Oil, fuel, tyres, containers, liquid, and solid non-organic wastes, shall be disposed of in an environmentally appropriate and legal manner.</p> <p><b>Finding:</b> Scheduled wastes were not disposed environmentally appropriate and legal manner.</p> <p><b>Objective evidence:</b> Audit found scheduled wastes since June 2019 and record “Inventory of Scheduled Wastes as of December 2021” [Fifth Schedule] from month of September 2021 to December 2021 were not disposed environmentally appropriate and legal manner, as required in Environmental Quality (Scheduled Wastes) Regulations 2005.</p>	<p><b>Result of investigation and determination of root cause:</b></p> <ul style="list-style-type: none"> <li>The remoteness of FMU caused registered schedule waste collector to hesitate to collect schedule waste from FMU.</li> </ul> <p><b>Correction and corrective action plan including completion date:</b></p> <p>The FMU management will obtain approval from DOE on the extension of storage period for schedule Waste</p>	<p>The Corrective action plan dated 4 March 2022 has been accepted and the effectiveness of the action taken to be verified during the next audit.</p> <p>Status: Accepted</p>
<p>Minor NCR: ANS02/ 2022</p>	<p><b>Indicator 7.1.1</b> - Availability and implementation of forest management plan including consideration of risks and opportunities concerning compliance with the requirements of the standard.</p> <p><b>Finding:</b> The supporting documents were not sufficient to cover Forest Management Plan.</p> <p><b>Objective evidence:</b> Review of the Forest Management Plan for Forest Timber License (FTL) No. T/3400, Gaat Mengiong Management Unit for period 2019 to 2024, revised June 2019, found the following information yet to be included in the FMP:</p> <ol style="list-style-type: none"> <li>4. Fire prevention and control (Paragraph C in Criterion 7.1)</li> <li>5. Description of stakeholder’s consultation (Paragraph J in Criterion 7.1)</li> </ol> <p>Consideration of risks and opportunities concerning compliance with the requirements of the standard</p>	<p><b>Result of investigation and determination of root cause:</b></p> <ul style="list-style-type: none"> <li>The forest management Plan is yet to be revised after the review of MC&amp;I Standard.</li> </ul> <p><b>Correction and corrective action plan including completion date:</b></p> <p>The forest management plan will be revised and updated in accordance with the new standard MC&amp;I SFM</p>	<p>The Corrective action plan dated 4 March 2022 has been accepted and the effectiveness of the action taken to be verified during the next audit.</p> <p>Status: Accepted</p>

## Corrective Actions Taken and Final Status on NCRs and OFIs Raised During Previous Audit (2019)

Classification / Indicator	Detail Non-conformances	Corrective Action Taken	Verification by Assessor
<p>Major</p> <p>Indicator 2.2.2</p> <p>NCR: AS01/2019</p>	<p><b>Requirement: Indicator 2.2.2</b> - Forest managers shall recognise, respect, and collaborate with holders of duly recognised legal or customary tenure or use rights within relevant federal, state and local laws, in activities that may affect such rights.</p> <p><b>Finding:</b> Insufficient consultation with stakeholders and keeping records of consultation.</p> <p><b>Objective evidence:</b> Consultation with 8 longhouses Rh. Melintang, Rh. Jegai, Rh. Tunku, Rh. Sepulau 1, Rh. Sepulau 2, Rh. Ramong, Rh. Balang and Rh. Senentang indicated that consultation was not sufficient. Majority of the communities were not aware of the Forest Management Certification process, CRC concept and the background of the FMU.</p>	<p><b>Result of investigation and determination of root cause:</b></p> <p>Due to time constraint, only 5 out of total 9 long houses are given awareness briefing on FMC. For CRC, only 3 representatives from each long house are invited and briefing is only given to those who attended the CRC Meeting.</p> <p><b>Correction and Corrective action plan including completion date:</b></p> <p>Consultation with all the nine local communities were done 26th – 30th July 2019 with assistance from Forest Department Sarawak (FDS), Sarawak Forestry Corporation (SFC) and also joined by Licensee (STIDC) in long houses. FMCLC were also conducted on 16<sup>th</sup> August 2019. FMU will continuously consult the local communities to ensure Free, Prior and Informed Consent is applied. All the evidence and record of consultation and meeting shall be kept.</p>	<p>The Corrective action plan dated 4 October 2019 and 23 January 2020 has been accepted</p> <p>Records of consultation with 9 Long Houses dated 26 – 30 July 2019 was verified in report “Awareness on Sustainability Forest Management and Community Representative Committee and Consultation with Local Communities (GMFMU/LOCO/03)”. The report includes pictures of each longhouse visited during the consultations and presentation material were verified and accepted by auditor</p> <p>Status: Closed</p>
<p>Major</p> <p>Indicator 3.3.1</p> <p>NCR: AS02/2019</p>	<p><b>Requirement: Indicator 3.3.1</b> - Availability of appropriate procedures within current administrative processes for identifying and protecting such sites and provisions for rights of access to these sites by indigenous peoples within relevant federal, state, and local laws or by mutual agreement.</p> <p><b>Finding:</b> No procedures for consultation with</p>	<p><b>Result of investigation and determination of root cause:</b></p> <p>No procedures for consultation with local communities before SA boundary demarcation.</p> <p><b>Correction and Corrective action plan including completion date:</b></p>	<p>The Corrective action plan dated 4 October 2019 and 23 January 2020 has been accepted</p> <p>Revised Standard Operating Procedure (SOP) GMFMU/BDM/01, revised 10 Dec 2019 for boundary demarcation on SA area and obtain consent from local communities before demarcation of SA boundary was</p>

	<p>Shifting Agriculture (SA) owners to carry out boundary demarcation.</p> <p><b>Objective evidence:</b> Consultation with communities from the 8 longhouses indicated that FMU has not consulted the local communities prior to carrying out the boundary demarcation on the Shifting Agriculture (SA) area.</p>	<p>Revise Standard Operating Procedure (SOP) for boundary demarcation on SA area and obtain consent from local communities before demarcation of SA boundary.</p>	<p>verified and accepted</p> <p>The SOP was presented and discussed during “Forest Management Certification Liaison Committee Meeting” on 16 August 2019, at Kapit District Office. Minute of meeting and attendance list was reviewed by auditor.</p> <p>Status: Closed</p>
<p>Major Indicator 3.3.2</p> <p>NCR: AS03/2019</p>	<p><b>Requirement:</b> Indicator 3.3.2 Availability of appropriate mechanisms for conflict resolution.</p> <p><b>Finding:</b> FMCLC is yet to be established as part of the conflict resolution mechanism. Formation of CRC is known only to village representatives.</p> <p><b>Objective evidence:</b> Mechanism for conflict resolution through the establishment of CRC is available but not fully disclosed to communities at the longhouse. Briefing on CRC establishment is only carried out on the 20<sup>th</sup> of June 2019 at Meligai Hotel, Kapit, involving only the headmen as village representatives.</p>	<p><b>Result of investigation and determination of root cause:</b></p> <p>Due to time constraint, the FMCLC was not established during audit. For CRC, only 3 representatives from each long house are invited for CRC meeting and CRC concept was only briefed to those who had attended the meeting.</p> <p><b>Correction and Corrective action plan including completion date:</b></p> <p>Consultation with all the nine local communities were done from 26<sup>th</sup> to 30<sup>th</sup> July 2019 with assistance from Forest Department Sarawak (FDS), Sarawak Forestry Corporation (SFC) and joined by Licensee (STIDC) in long houses and one of the agenda covered is briefing on CRC. FMCLC were also established on 16<sup>th</sup> August 2019.</p>	<p>The Corrective action plan dated 4 October 2019 and 23 January 2020 has been accepted</p> <p>Records of consultation with 9 Long Houses dated 26 – 30 July 2019 was verified in report “Awareness on Sustainability Forest Management and Community Representative Committee and Consultation with Local Communities (GMFMU/LOCO/03)”. The report includes pictures of each longhouse visited during the consultations</p> <p>The mechanism for conflict resolution was presented and discussed during the establishment of CRC called “Forest Management Certification Liaison Committee Meeting” on 16 August 2019, at Kapit District Office. Minute of meeting and attendance list was reviewed by auditor.</p> <p>Status: Closed</p>
<p>Major Indicator 4.3.1</p> <p>NCR: AS04/2019</p>	<p><b>Requirement: Indicator 4.3.1 -</b> Provisions for workers to freely organize into union of their own choice in accordance with ILO Convention No. 87.</p> <p><b>Finding:</b> Entitlement of annual and sick leave is not disclosed to workers in their appointment</p>	<p><b>Result of investigation and determination of root cause:</b></p> <p>The entitlement of annual leave and sick leave is not disclosed in the employment agreement due to lacking awareness on the requirement. The two workers were not paid according to the minimum</p>	<p>The Corrective action plan dated 4 October 2019 and 23 January 2020 has been accepted</p> <p>The employment agreement has been revised by including the entitlement of annual leave [Clause 5] and sick leave</p>

	<p>letter. Two of the workers were not paid according to the minimum wage.</p> <p><b>Objective evidence:</b> Consultation with 15 workers and Inspection of Ballinwood Resources Sdn. Bhd. employment agreement indicated that there is no annual and sick leave provision for the workers which against section 105D of the Labour Ordinance (Sarawak Cap 76). Salary slips for the month of April and May 2019 for two workers also indicated that they were not paid according to the Minimum Wage Order 2018. A non-conformance notification was also issued by Labour Department was issued to Ballinwood Resources Sdn. Bhd. on the same issue dated 28<sup>th</sup> June 2019 (ref PMK/31037/2019/0130)</p>	<p>wage is due to miscommunication as instruction has been given from top management to review all workers' wage in accordance with Minimum Wage Order 2018 when the Minimum Wage Order come into enforcement.</p> <p><b>Correction and Corrective action plan including completion date:</b></p> <p>The employment agreement has been revised to include the entitlement of annual leave and sick leave. For the workers not paid according to the minimum wage, the wage had been reviewed in compliance with Minimum Wage Order 2018 and back dated to 1<sup>st</sup> January 2019.</p>	<p>[Clause 6] as in new revised working contract agreement dated 30 August 2019 and signed by the workers. For the workers not paid according to the minimum wage, the wage had been reviewed in compliance with Minimum Wage Order 2018 and back dated to 1<sup>st</sup> January 2019, and as in contract agreement [Clause 1, para (a)]. The pay slips dated August 2019 was reviewed and accepted by auditor.</p> <p>Status: Closed</p>
<p>Minor Indicator 1.6.2</p> <p>NCR: KN01/2019</p>	<p><b>Requirement: Indicator 1.6.2</b> - Policies or statements are communicated throughout the organization and contractors and are made available to the public.</p> <p><b>Finding:</b> The policies or statements are not communicated throughout the organisation and contractors.</p> <p><b>Objective evidence:</b> The agreement between Billion Venture Sdn. Bhd. with Ballinwood Resources Sdn. Bhd. dated 23 August 2002, did not mention on policies or statement regarding the commitment to Principles and Criteria.</p>	<p><b>Result of investigation and determination of root cause:</b></p> <p>The agreement between Billion Venture Sdn Bhd and Ballinwood Resources Sdn Bhd did not mention on policies or statement regarding the commitment to Principles and Criteria due to lacking awareness</p> <p><b>Correction and corrective action plan including completion date:</b></p> <p>The agreement between Billion Venture Sdn. Bhd. and Ballinwood Resources Sdn. Bhd. has been revised to include policies or statement regarding the commitment to Principles and Criteria dated 15th July 2019.</p>	<p>During surveillance audit, it was found the agreement between Billion Venture Sdn. Bhd. with Ballinwood Resources Sdn. Bhd. dated 15 July 2019, did mention on policies or statement regarding the commitment to Principles and Criteria. The policies or statements was communicated throughout the organisation and contractors Thus Minor NCR KN01/2019 was satisfactorily closed.</p> <p>Status: Closed</p>
<p>Minor Indicator 2.1.1</p> <p>NCR: KN02/2019</p>	<p><b>Requirement: Indicator 2.1.1</b> - Availability of documentation of legal status and established forest use rights of the land or forest resources within the relevant federal, state and local laws in the FMU.</p>	<p><b>Result of investigation and determination of root cause:</b></p> <p>The use right of FMU area is based on Forest Timber Licence. No effort has been made to clarify the land status until the concern is</p>	<p>The minutes meeting of the FMC Technical Committee Meeting No. 1/2019 dated 9th April 2019 was verified by the auditor, a decision no more provisional lease to be issued and the existing provisional lease overlapping the FMUs to be excluded.</p>

	<p><b>Finding:</b> There was no clear evidence of long-term forest use right to the state land or lease agreements demonstrated.</p> <p><b>Objective evidence:</b> It is about 21,000 ha of the Gaat-Mengiong FMU were in State Land area, and there was no clear evidence of long-term forest use rights to the land in the FMU</p>	<p>raised by Auditor.</p> <p><b>Correction and Corrective action plan including completion date:</b> We have written to Forest Department Sarawak with letter dated 11th July 2019 to ask for assistance from FDS to clarify the long-term forest use right of the state land areas mentioned. Reply from FDS informed that the issue had been discussed during the FMC Technical Committee Meeting No. 1/2019 dated 9th April 2019 with decision no more provisional lease to be issued and the existing provisional lease overlapping the FMUs to be excluded. Measures also to be taken to avoid overlapping areas.</p>	<p>Measures also to be taken to avoid overlapping areas. Thus, a Minor NCR KN02/2019 for Indicator 2.1.1 was satisfactorily closed</p> <p>Status: Closed</p>
<p>Minor Indicator 6.2.4</p> <p>NCR: KN03/2019</p>	<p><b>Requirement: Indicator 6.2.4</b> - Hunting, fishing, and collecting activities shall be controlled and inappropriate activities prevented in the FMU.</p> <p><b>Finding:</b> The control measures on hunting, fishing, and collecting activities, and inappropriate activities prevented in the FMU were not sufficient.</p> <p><b>Objective evidence:</b> The control measures on periodical patrolling of forest areas were not sufficient.</p> <ul style="list-style-type: none"> <li>• The Patrolling Schedule was conducted on every 3-month basis (March, June, Sept). The frequency of monitoring was not sufficient.</li> <li>• Latest monitoring record was on 30 Jun 2019, found the records was not sufficient specifically on hunters' records</li> <li>• No Honorary Wildlife appointed.</li> </ul>	<p><b>Result of investigation and determination of root cause:</b></p> <p>No specific guidelines for control measures on periodic patrolling of forest areas and we have not gone through Honorary Wildlife Ranger training, so we are lacking in term of knowledge on frequency of monitoring and how the monitoring record should be maintained. Honorary Wildlife Ranger had not been appointed as none had been trained as Honorary Wildlife Ranger.</p> <p><b>Correction and Corrective action plan including completion date:</b></p> <p>8 persons for our FMU including one Tuai Rumah have attended the Honorary Wildlife Ranger training from 24th to 27th September conducted by Sarawak Forestry Corporation (SFC) in Bintulu. SOP of Patrolling, Control Hunting and Forest Protection have been revised on 1st October 2019 to increase monitoring frequency to once a month. Monitoring record to be improved to include hunters' records. All those who have attended the HWR training will be appointed as Honorary Wildlife Ranger. The SOP and appointment of</p>	<p>The Corrective action plan dated 4 October 2019 and 23 January 2020 has been accepted and the effectiveness of the action taken to be verified during the next audit.</p> <p>Status: Accepted</p>



		HWR effectively from 1st October 2019.	
Minor Indicator 7.3.1  NCR: ANS02/2019	<p><b>Requirement: Indicator 7.3.1 –</b> Availability of facilities and programmes for training of forest workers for proper implementation of the forest management plan.</p> <p><b>Finding:</b> The programs for training of forest workers for proper implementation of the forest management plan were not sufficient.</p> <p><b>Objective evidence:</b> Training proposal for the year 2019 (internal and external) and Summary List of Training/Seminar for Gaat-Mengiong FMU did not include the following courses:</p> <ol style="list-style-type: none"> <li>1. PSP establishment and monitoring</li> <li>2. HCVF establishment and monitoring</li> <li>3. Safety and Health Training</li> <li>4. Control and monitoring on encroachment and external boundaries</li> <li>5. Firefighting Training</li> </ol>	<p><b>Result of investigation and determination of root cause:</b></p> <p>Lacking awareness and knowledge on the importance of the listed courses. Availability of training courses and trainers also hinder the training program.</p> <p><b>Correction and Corrective action plan including completion date:</b></p> <p>To include those courses listed in our Annual Training Program. Annual Training Program is revised on 3rd September 2019.</p> <p>To-date, we have done First Aid Training and Honorary Wildlife Ranger Training. PSP training and HCVF assessment and monitoring is in the planning.</p>	<p>The Corrective action plan dated 4 October 2019 and 23 January 2020 has been accepted and the effectiveness of the action taken to be verified during the next audit.</p> <p>Status: Accepted</p>
Minor Indicator 9.2.1  NCR: ANS01/2019	<p><b>Requirement: Indicator 9.2.1 -</b> Forest managers shall consult with relevant stakeholders on the options to maintain or enhance the identified HCVFs.</p> <p><b>Finding:</b> The relevant stakeholders consulted on the options to maintain or enhance the identified HCVFs were not sufficient</p> <p><b>Objective evidence:</b> The relevant stakeholders such as NGOs, government bodies and Universities were not consulted on the options to maintain or enhance the identified HCVFs.</p>	<p><b>Result of investigation and determination of root cause:</b></p> <p>HCVF consultation has been conducted with local communities, but we are not aware that the consultation for other stakeholder such as NGOs, government bodies and University also needed in the HCVF consultation.</p> <p><b>Correction and Corrective action plan including completion date:</b></p> <p>Stakeholder consultation on the options to maintain or enhance the identified HCVFS had been conducted on 16 August 2019 in Kapit.</p>	<p>The Corrective action plan dated 4 October 2019 and 23 January 2020 has been accepted and the effectiveness of the action taken to be verified during the next audit.</p> <p>Status: Accepted</p>

End of Report