



**PUBLIC SUMMARY
3rd SURVEILLANCE AUDIT (1st CYCLE) ON
ULU TRUSAN FOREST MANAGEMENT UNIT
FOR FOREST MANAGEMENT CERTIFICATION**

**Certificate Number: FMC-NF 00120
Date of First Certification: 19th December 2018
Audit Date: 7th - 10th March 2022
Date of Public Summary: 9th November 2022**

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EXECUTIVE SUMMARY

The Surveillance 3 audit for forest management certification on the Syarikat Samling Timber Sdn Bhd – Ulu Trusan FMU was conducted on 7th – 10th March 2022. This was an audit conducted following the surveillance 1 audit which was conducted from 12-15 Nov. 2019, 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 SFM using the verifiers stipulated for Sarawak, Malaysia.

This surveillance 3 audit was conducted by a four-member team comprising Hj. Roslee Jamaludin (Lead Auditor), Mohd. Annas Amin Hj. Omar (Auditor), Dr. Mohd. Nazre Saleh (Auditor), Angelica Sinimis Suimin (Auditor) and Azrul Ikhsan Mohamed (Trainee Auditor).

Based on the findings of this surveillance 3 audit, indicated that the Ulu Trusan FMU had complied with most of the requirements of the MC&I SFM despite the issuance of total two (2) Major and five (5) Minor Non-Conformance Report (NCRs) and Two (2) OFI, against the requirements of the MC&I SFM. The team had also verified the implementation of corrective actions taken by the FMU on the surveillance 1 audit findings.

This public summary contains the general information on the Ulu Trusan FMU, the findings of the surveillance 3 audit, NCRs raised as well as the decision on the continued certification of the FMU.

1. INTRODUCTIONS

1.1 Name of FMU

Ulu Trusan Forest Management Unit

1.2 Contact Person and Address

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

1.3 General Background on the Ulu Trusan FMU

The Ulu Trusan Forest Management Unit (FMU) is the combination of Forest Timber Licence (FTL) No. T/9115 (Majulaba Sdn. Bhd.) and Forest Timber Licence (FTL) No. T/0280 (KTN Timor Sdn. Bhd.) and was issued to Syarikat Samling Sdn. Bhd. by the Sarawak Forestry Department to manage a total 92,751 ha of the forest, which is located within the Lawas District of Limbang Division, Sarawak. The Forest Timber Licence No: T/9115 was initially issued to Majulaba Sdn. Bhd. on 9th Nov 2005 to 8 Nov 2015 for 10 years, subsequently it was renewed until 8th November 2021. Meanwhile, the Forest Timber Licence No: T/0280 was initially issued to KTN Timor Sdn. Bhd. on 23rd June 1984 - 22 June 1999 for 15 years, subsequently it was further extended to 23rd June 2021 and later extended to 22nd June 2022.

Timber Licence for No. T/9115 for Majulaba Sdn. Bhd. will be renewed when the FMU comply with the DF Circular No.2/2019 regarding the enrichment planting and restoration program within the licenced area. (Refer letter from Sarawak Forest Depart. Ref. no WPO.628.68.1(11)-83 dated 26th September 2019. The FMU has responded to SFD through a letter Ref. MMD/CORR/19-05 dated 22nd October 2019 by submitting photos and locality map of nursery established. However, the FTL for No. T/9115 (Majulaba Sdn. Bhd.) was still pending renewal, the department required the enrichment planting to be conducted. The letter from FDS Ref. No. (27) JHS/WD.628.68.1 (III) dated 15th February 2022, clearly stated that the FMU must submit the progress of the enrichment planting conducted within the licence area before the licence can be renew.

Initially the Ulu Trusan FMU covers an area of 92,751 ha of proposed Ulu Trusan Protected Forest (62,613 ha) and proposed Trusan-Kelalan Protected Forest (4,695 ha). The remaining area of the FMU is occupied by the respective local communities (9,579 ha). The forest area is situated approximately between Latitudes 4° 35' 41" N to 4° 11' 8" N and Longitudes 115° 29' 2" E to 115° 40' 7" E in the Lawas District of Limbang Division, Sarawak, about 70 km South from Lawas town and accessible by the logging roads constructed by the Samling Group. However, during this surveillance 3 audit, the FMU has presented a letter from Forest Department of Sarawak address to Company Secretary of KTN Timor Sdn. Bhd. at Wisma Samling, Ref. No. WPO.628.64 (VIII)-28 dated 18th September 2019 title "Revised *Locality Map Type A and Forest Map Type B for Forest Timber Licence No. T/0280 and T/9115 Merged Under Ulu Trusan FMU*", the map referred to, involved the reduction of hectarage of the Ulu Trusan FMU scope. The new hectarage of Ulu Trusan FMU stand at 92,279ha. (Revised area under Licence No. T/0280- 68,561ha) and (Revised area under Licence No. T/9115 – 23718ha). The deduction of 472ha.

The forest types in the FMU are Hill Mixed Dipterocarp Forest (MDF) (63%), Mixed Dipterocarp Forest (4%), Sub-Montane Forest (4.4%), Kerangas Forest scattered on sandy terraces (4.4%), and Secondary/Degraded Forest (10.1%). The rest of the forest is within the Ulu Sebuang Nature Reserve, Paya Maga Conservation Area, and border zone (14.2%). The general landform of the

FMU ranges from hilly to mountainous terrain with elevation between 300m to 1600m a.s.l. The FMU also within the Heart of Borneo Corridor (HoB).

The Forest Management Plan for Forest Timber Licences FTL No. T/9115 and FTL No.T/0280, Ulu Trusan Forest Management Unit for period 2017 to 2026, dated March 2022, was made available during the audit.

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

1.4 Date First Certified

19th December 2018

1.5 Location of the FMU

The FMU is located approximately between Latitudes 4° 35' 41" N to 4° 11' 8" N and Longitudes 115° 29' 2" E to 115° 40' 7"

1.6 Forest Management System

The FMU had followed the principles of sustainable forest management (SFM) and the requirements of the Licence Agreement of the State government. A Forest Management Plan (FMP) (2017) to (2026) was presented during this audit.

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

The net operable area of forest in Timber Licence T/0280 and T/9115 estimated to be 55,406 ha. Assuming the production area is evenly distributed at the cutting cycle of 25 years, the AAC is set at 2,216 ha/yr, and for 30 years is set at 1,847ha the optimum sustained commercial harvesting volume was set at 25.16m³ /ha - 30.10 m³ /ha which projected the annual harvestable volume range between 55,591 m³ – 55,761 m³.

1.8 Environmental and Socioeconomic Context

The EIA for The Re-Entry Hill Logging Under Timber Licence No. T/0280 at the Batang Trusan – Sg Tengoa – Sg Lopeng, Lawas District and Miri Divisions, Sarawak, and The EIA Report for Re-entry Hill Logging Under Timber Licence No. T/9115 for Majulaba at Sg. Berayong – Sg Pasia were conducted for the FMU 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. The reports were approved by Natural Resources and Environment Board (NREB) on 26th May 2010 for FTL T/0280 and 8th June for FTL T/9115.

The Forest Management Plan of Ulu Trusan FMU (2017-2026) dated March 2022 had also incorporated an assessment of environmental impacts specific to potential impacts on endangered, rare, and threatened species of flora and fauna (ERT), and the need for biological corridors in the FMU.

Documents on legal or customary tenure or use rights of local communities within relevant federal and state legal frameworks and customary laws for the forest areas were available in base camp main office. Guidelines on Conflict Resolution Revision 0 and Procedures on Land Claim Revision 0 are the appropriate mechanisms used to resolve any conflicts and grievances arise.

Assessment consultation with FMU managers and stakeholders showed that no indigenous traditional forest-related knowledge and practices has been used by the FMU in forest operations.

Qualified people in communities living within, or adjacent to, the FMU were given preference for employment and contract works.

2. AUDIT PROCESS

2.1 Audit Dates

7th – 10th March 2022 (16 man-days)

2.2 Audit Team

Hj. Roslee Jamaludin (Lead Auditor) (Forester)
Mohd.Anas Amin Hj.Omar (Forester)
Angelica Sinimis Suimin (Sociology)
Dr. Mohd. Nazre Saleh (Forester)

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 in February 2022 to solicit feedback from stakeholders on the compliance of the Ulu Trusan FMU against the requirements of the MC&I (Natural Forest). 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 Ulu Trusan 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 all local communities in Long Sukang CRC and Long Semadoh CRC, Sarawak Forest Department were also consulted.

The coverage of this surveillance 3 audit is as shown in the surveillance 3 Audit Plan in **Attachment 4**.

The FMU had sent a corrective action plan to the audit team to address the major and minor NCRs which the audit team had reviewed and accepted them. The audit team had prepared an interim surveillance 3 audit report and sent it to the Ulu Trusan FMU for comment. A second draft of surveillance 3 audit report which had incorporated the comments received from the Ulu Trusan was then prepared.

3. SUMMARY OF AUDIT FINDINGS

Based on the findings of this surveillance 3 audit, it was found that Syarikat Samling Sdn. Bhd had continued to manage the Ulu Trusan FMU in compliance with most of the requirements of the MC&I SFM. This surveillance 3 had resulted in the issuance of 2 major, 5 minor NCRs and 2 OFIs. The details on the NCRs/OFIs raised are shown in **Attachment 5**.

The audit team had reviewed, accepted, and verified the corrective actions taken by Syarikat Samling Sdn. Bhd to address the 2 major NCR raised during this surveillance 3 audit. The audit team was satisfied that the corrective action had been effectively implemented and had therefore closed out this major NCR. The audit team had also reviewed and accepted the proposed corrective actions to address the 5 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 Syarikat Samling Sdn. Bhd to address the 4 Major, 5 Minor NCRs and 2 OFIs 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 and OFIs 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). It was noted that there was no recorded civil court case pertaining to legal or customary tenure or use rights filed against the management.

Regarding Criterion 6.10, There was no plan for converting the forest area to plantations. Conversion of natural forest into non-forest land use had not occurred within the FMU.

As the major NCR raised during this surveillance 3 audit had been closed out, the audit team had therefore recommended that the Certificate for Forest Management be awarded to the Ulu Trusan FMU be maintained.

The summary on the findings of the surveillance 3 audit on the Ulu Trusan FMU against the requirements of the MC&I SFM are as follows:

Principle	Strengths	Weaknesses
Principle 1 Compliance with Laws and Principles	<p>The forest management had maintained records of all relevant national, local laws, regulations and policies related to forest management. Copies of all relevant laws, policies and regulations stipulated in the MC&I SFM fundamental for the FMU management were available in the office at the Merarap Base Camp Lawas District, Limbang Division, Sarawak.</p> <p>Current list of all legally prescribed fees, royalties, taxes, and other charges was available at the Merarap Camp Office, as stated in the Licence Agreement.</p> <p>Forest manager and senior officer of the FMU showed that they had demonstrated an awareness and understanding of the federal, state, and local laws and regulatory framework for forest management.</p> <p>Sign boards on control of hunting had been erected at the strategic location. Posters on Total Protected Wildlife in Sarawak were also observed at the Base Camp office.</p> <p>The policy statement was displayed at prominent sites within the FMU and had been communicated throughout the organization. The document was signed by the Chief Executive Officer of Samling Group of Companies on 1st Mach 2017.</p>	<p>During previous s audit SA1 (2019), the site inspection at Merarap basecamp, it was found that permanent building was constructed to accommodate the PETRONAS staffs and workers for the gas pipelines project (SSGP), there is no evidence of approval from the Forestry Department. Therefore, a Minor NCR RJ 02/2019 for Indicator 1.5.2 was raised. However, during this Surveillance 3 audit, the approval was still not evidence. Besides that, during site inspection in this surveillance 3 audit, additional noncompliance as follows were found:</p> <ol style="list-style-type: none"> 1. Site inspection along S-3-1 road, coordinate (N 04°20.723', E115°26.906) found that 1 camping site was constructed without prior approval from the forestry department. 2. Site inspection along M-1 road, coordinate (N 04° 19.284', E115° 27.703) found that 2 camping site was constructed without prior approval from the forestry department. <p>Therefore, Minor NCR RJ02/2019 for Indicator 1.5.2 raised during surveillance 1 audit was upgraded to Major NCR ANS01/2022.</p>
Principle 2 Tenure and Use Rights and Responsibilities	<p>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, Community Chiefs and Headmen Ordinance 2004, Native Courts (Amendment) Ordinance 2001 (Cap A87) has been made available at main office at Merarap Camp.</p> <p>Records showed the appropriate mechanisms to resolve disputes over tenure and use rights comprising</p> <ol style="list-style-type: none"> (a) CRC at Long Semadoh and CRC at Long Sukang where members discussed issues which will be brought to the attention of FMCLC. (b) FMCLC, comprising members from CRC, Sarawak Forestry Corporation (SFC), invited NGO (FORMADAT) and FMU, discussed the issues and made 	<p>Documentation review showed that, Forest Timber Licence (FTL) T/9115 (Majulaba Sdn. Bhd) and Forest Timber Licence (FTL) T/0280 (KTN Timor Sdn. Bhd.) formed Ulu Trusan Forest Management Unit. However, FTL T/9115(Majulaba Sdn. Bhd.) has expired on 8th November 2021 and has not been renewed by Forest Department of Sarawak due to the FMU did not comply to the DF Circular No. 02/2019 – “Restoration Program Within Licenced Area”. Therefore, Minor NCR RJ01/2022 for Indicator 2.1.1 was raised.</p>

Principle	Strengths	Weaknesses
	<p>recommendations. This was evidenced in FMCLC meeting minutes dated 25th January, 2022.</p> <p>The FMC/PRO-002 on Conflict Resolution replaces SFM/GL 001 was revised and approved on 12 January, 2022, effective on 7th February 2022 was made available during the audit as an appropriate mechanism to resolve disputes over tenure and user rights.</p>	
Principle 3 Indigenous People's Rights	<p>Documentation of the customary rights of indigenous peoples' lands was available. Guidelines on Conflict Resolution Revision 0 and Procedures on Land Claim Revision 0 are the appropriate mechanisms used to resolve any conflicts and grievances arise.</p> <p>The FMU has established Strategic Forest Management Plan (2017-2026), approved by Forest Department of Sarawak. Forest management practices in indigenous people's lands recognised within relevant federal, state, and local laws FMP- Chapter 12, Community Development, the FMU will not threaten or diminish, either directly or indirectly, their resources or tenure rights.</p> <p>Based on interview with FMU managers and stakeholder's consultation, no indigenous traditional forest-related knowledge and practices has been used by the FMU in forest operations.</p>	No Negative Findings
Principle 4 Community Relations and Workers' Rights	<p>Qualified people in communities living within, or adjacent to, the FMU are given preference for employment and contract works. However, since there was no active harvesting during the audit, the number of staff and workers for the FMU was reduced.</p> <p>Up-to-date information on all applicable laws and/or regulations covering occupational safety and health of forest workers is disseminated to them from time to time.</p> <p>Personal Protective Equipment (PPE) were provided to all workers comprising safety helmet, safety vest, cotton gloves, leather gloves, earmuff and goggle. The workers were aware for the need for use of PPE when working to ensure safety and health. This was confirmed during assessment consultation with 8 workers on 7/3/2022.</p> <p>Document on Right to Organize and Collective Bargaining (ILO Convention No. 98) was available at main office at Merarap Camp.</p>	<p>Site inspection to the Schedule Waste store at Ulu Trusan Workshop, found that, the storage and handling of schedule waste was not complied to the Guideline on storage and handling of schedule waste, as 2 drums of SW 409, one drum of SW 410 and one drum SW 408 were not label with the date of first generated. Therefore, a Minor NCR RJ 02/2022 for Indicator 4.2.5 was raised.</p>

Principle	Strengths	Weaknesses
	<p>The FMU handles complaint, or any grievances raised by workers following FMC/PRO-004 revelation 4(16/2/2022) replacing SFM/PR 002 Procedures on Employees' Grievance Resolution. A form entitled "Borang Keluhan" was available for workers to raise any complaint, discontent, and dissatisfaction.</p> <p>The FMU managers are aware and understand <i>Adat</i> e.g. Tanah adat (NCR), <i>Pulung Kara</i> (hunting area, resources area,) <i>Amug Kara</i>, <i>Amug Balui</i>, <i>Amug dari Amug</i> , Shifting Agricultural Area) Lengutan (, burial area etc.) as practices by villagers.</p>	
Principle 5 Benefits From the Forest	<p>For the year 2021-2022, monthly costing records for SFM including forest administration, protection, research, human resource development, economic, conservation, environmental, and social aspects were shown during the audit, and the amount was within the allocated annual budget, and the budget was presented during the audit.</p> <p>Forest Management Plan (FMP) for the period of 2017 – 2026 dated March 2022 has been presented during the audit. 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 minimum 123 of Sampling unit has been targeted to be established throughout the productive area of FMU, however during this audit there was no active harvesting area.</p> <p>For the year 2017-2026, the AAC is calculated at 2,216 ha / year, and for 30 years, it is set at 1,847 ha, the optimal sustained commercial harvest volume was set at 25.16m³/ha - 30.10 m³ / ha, which projected the annual harvestable volume range between 55,591 m³ – 55,761 m³. However, the logging activity was stopped since 2019 and no log was extracted.</p> <p>Timber is the main product, no non-timber forest product harvested from the FMU.</p> <p>Protection Areas of terrain IV, watershed area, shifting cultivation area, low density mixed dipterocarp forest, Kerangas were excluded from logging and were demarcated on the map was verified during the audit.</p>	<p>No Negative Finding</p>

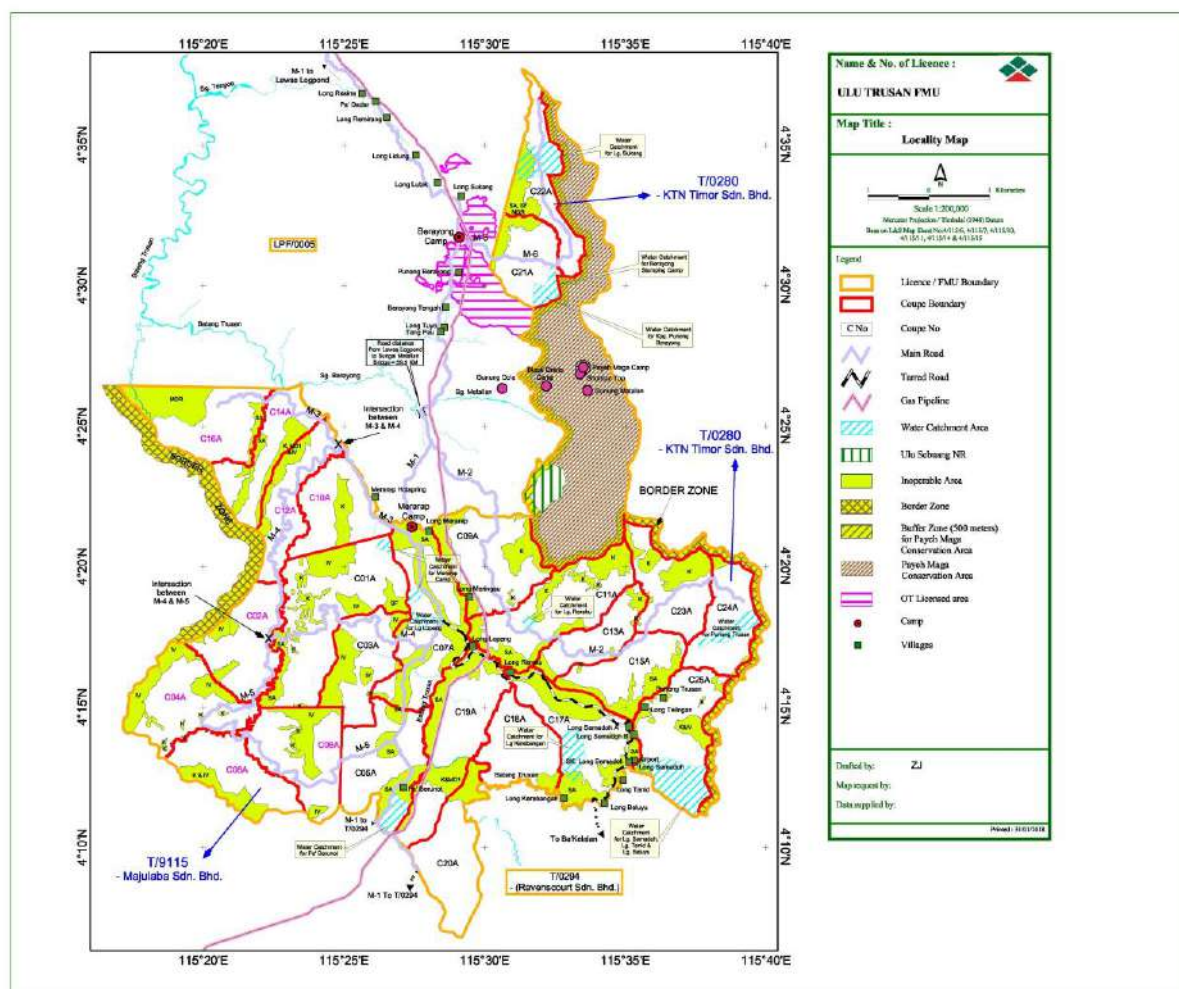
Principle	Strengths	Weaknesses
Principle 6 Environmental Impact	<p>The EIA for The Re-Entry Hill Logging Under Timber Licence No. T/0280 at the Batang Trusan – Sg Tengoa – Sg Lopeng, Lawas District and Miri Divisions, Sarawak and The EIA Report for Re-entry Hill Logging Under Timber Licence No. T/9115 for Majulaba at Sg. Berayong – Sg Pasia were conducted for the FMU 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. The EIA reports were approved by Natural Resources and Environment Board (NREB) on 26th May 2010 for FTL T/0280 and 8th June for FTL T/9115. Forest Management Plan had incorporated assessment of environmental impacts as seen in Chapter 7 of FMP (2017-2026).</p> <p>The EMR for 4th and 2nd Quarter 2021 (October to December 2021) for both licensees Ref. no. NREB/6-3/21/8 and Ref no.NREB / 6-3/21/9 were verified.</p> <p>The guidelines to establish representative conservation and protection areas, in accordance with existing forest ecosystems were stated in 'Procedures for Pre-Felling Inventory' (by SFC). The guidelines were including the List of Protected Species and List of Totally protected Species (First and Second Schedule, Wildlife Protection Ordinance, 1998 (Cap. 26).</p> <p>Existence of cooperation between forest managers, and conservation organizations and regulatory authorities in implementing conservation and management activities as listed below;</p> <ul style="list-style-type: none"> • Assessment on Bird Diversity at Payeh Maga Highland Conservation Project, Long Tuyo, Lawas, Sarawak- Collaboration with Department of Forestry Sarawak and University Putra Malaysia Bintulu Sarawak Campus. • Tree Diversity at Payeh Maga, Lawas collaborative project Forestry Department Sarawak and University Putra Malaysia, Bintulu Sarawak Campus. <p>Prevention of activities on hunting, fishing, and collecting activities and inappropriate activities in the FMU were controlled by seven appointed Honorary Wildlife Rangers. Wildlife monitoring programs were also scheduled and carried out.</p>	<p>Record of evaluation for post-harvest area (analysis of stocking) at Coupe 01A to identify the areas need for silvicultural treatment not available. Therefore, Minor NCR ANS01/2022 for Indicator 6.3.1 was raised.</p>

Principle	Strengths	Weaknesses
	<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. However, during this audit, there was no harvesting conducted.</p> <p>Management policy on the use of environmentally friendly non-chemical methods of pest management and avoiding the use of chemical pesticides were available in "Environmental Policy" signed by the CEO on dated 5th June 2017.</p> <p>Procedure on scheduled waste management titled 'Guidelines on Disposal and Storage of Scheduled Wastes' was available. Disposal of Scheduled Waste has been conducted based on the guidelines.</p> <p>There was no application of biological control agents in the FMU.</p> <p>No exotic species were planted in the the FMU forest.</p> <p>There was no plan for converting the forest area to plantations. Conversion of natural forest into non-forest land use had not occurred within the FMU.</p>	
Principle 7 Management Plan	<p>The Forest Management Plan for Forest Timber Licences FTL No. T/9115 and FTL No.T/0280, Ulu Trusan Forest Management Unit for period 2017 to 2026, dated February 2018, was made available during the audit.</p> <p>Periodic review as prescribed in the Forest Management Plan will be conducted at every five years.</p> <p>Records of new scientific and technical information and from monitoring activities were covered in the FMP as cooperation between forest managers, and conservation organizations and regulatory authorities in implementing conservation and management activities.</p> <p>The FMU provides classroom facility and training has been conducted as per Training Schedule 2021 and 2022. Progressive communication and planning have been done with Samling HQ and supported by SFC, Forestry Department of Sarawak etc.</p>	<p>The training for forest workers to their respective roles for proper implementation of the forest management plan was insufficient. Based on the training record conducted in 2021 & 2022, it was found that the following awareness briefing & training were not conducted:</p> <ol style="list-style-type: none"> 1. MC&I SFM. 2. Reduced Impact Logging. <p>Therefore, Minor NCR RJ03/2022 for Indicator 7.3.2 was raised.</p>

Principle	Strengths	Weaknesses
	<p>The summary of the primary elements of the forest management plan as prepared and implemented under Indicator 7.1.1 were made available in http://www.samling.com/uto_pubsummary.php</p>	
Principle 8 Monitoring and Assessment	<p>Procedures to Monitor Social, Ecological, Environmental and Economic Impacts (Procedures to monitor on impacts of harvesting operation was made available in Procedures: SFM/PR-009, Rev:0, dated 1st October 2017 was verified during the audit.</p> <p>Based on SOP Log Tracking System (LOTS), the FMU will monitor on the yield harvested through Harvestable Tree List, Daily Production Record (DPR), Grading & Storage of Logs at Lawas Logpond, and Log Delivery Order. However, during this Surveillance 3 audit (2022), there was no production as the harvesting has been suspended.</p> <p>Logs leaving the logged stand to stumping area are issued with a Transit Bill prepared by the FMU where the log production number, LPI No., species, log length, diameter, and net volume were documented, including the block number, coupe/license number, stumping point, name of recorder, property mark, date and vehicle number. From stumping area to Lawas Log Pond, Forest Department Sarawak (FDS) will issue a Removal Pass where coupe No., Licence No., name of licensee, date of issue and date of expiry were documented.</p> <p>Log landing at the Merarap stumping site at KM 96 was visited during this surveillance 3 audit (2022). No logs harvested from Ulu Trusan FMU was found. The last records on Chain of Custody (COC) documentations (royalty payment, hill timber premium (sf), premium kayu-kayan (R&D) and STI premium) for Batch MRP0119A08-01) dated 27 February 2019 verified during this audit.</p> <p>The relevant results of monitoring activities to be incorporated into the periodic review as prescribed in the Forest Management Plan for Forest Timber Licences FTL No. T/9115 and FTL No. T/0280, Ulu Trusan Forest Management Unit for period 2017 to 2026, dated February, at every five years.</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</p>	<p>Based on documentation review of PSP Records for PSP 8, 11, 10, 16, and 17, the scientific names were not properly written as per Guideline 3.5 (pg. 76) of the 'Green Book'. Site inspection in PSP 16 (Coupe 10A) and PSP 8 (Coupe 01A), also found that the species identification not done up to species level. Therefore, Minor NCR MNS 01/2022 for indicator 8.1.1 was raised.</p> <p>The Internal audit and management review not conducted according to the requirement of the standard however the FMU has documented procedure for internal audit and management review (FMC/PRO-001) that effective date 7 February 2022, Thus an OFI for indicator 8.1.3 was raised.</p>

Principle	Strengths	Weaknesses
	<p>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 was verified in the public summary titled 'Public Summary – Forest</p> <p>Management Plan for Ulu Trusan Forest Management Unit for the period 2017 - 2026' at the Samling's website: http://www.samling.com/uto_pubsummary.php</p>	
<p>Principle 9 Maintenance of High Conservation Values</p>	<p>The assessment report titled 'High Conservation Value (HCVF) Assessment Report Ulu Trusan FMU, dated February 2018 by Sarawak Forestry Corporation Sdn Bhd' was presented. Demarcation on Maps of HCVF has been verified in "Map of Summary of High Conservation Value Assessment (HCVA) at Ulu Trusan FMU, dated 24.2.2018".</p> <p>All the comments from the stakeholders were previously incorporated in the '<i>The Third Forest Management Plan (2019-2028) Ulu Trusan Forest Reserve, FMU 19B</i>' as described in Chapter 3.4 (pg. 48-62).</p> <p>Specific measures to maintain and enhance the conservation attributes of HCVF sites identified in the 'HCVF assessment for Ulu Trusan Forest Reserve 2019 revision', had been updated on the website http://www.samling.com/uto_pubsummary.php.</p>	<p>The HCVFs monitoring was found to be not sufficient. Based on documentation review found that, HCVF monitoring for Saltlick at Sungai Dualan not done annually for 2021. Furthermore, during site visit to Saltlick at Sungai Dualan found that the HCFV area was damage, and the signage was not available. Therefore, Major NCR ANS02/2022 for Indicator 9.4.1 was reissued.</p>

Map of Ulu Trusan FMU



Experiences and Qualifications of Audit Team Members

Assessment Team	Role/Area of MC&I Requirement	Qualification and Experience
Hj.Roslee Bin Jamaludin	Audit Team Leader / Forester	<p>Academic Qualification: B.Sc. of Forestry (Forest Management), University Putra Malaysia. Diploma of Forestry, Mara Institute of Technology, Malaysia.</p> <p>Work Experience: A retiree of Forest Conservator from Forestry Department of Peninsular Malaysia, with 36 years of experience in forest management, operation, and administration. Has been working in various position since appointment in 1977, which includes Assistant Forest Management officer in Kuantan, Forestry Department of Pahang, Assistant District Forest Officer in Kuala Lipis Pahang and Segamat, Johor. Forest Plantation Officer in Johor and Terengganu, Forestry Officer for the State of Malacca. Assistant Director for Forest Harvesting and Industries in Selangor, District Forest Officer in Dungun Terengganu, Assistant Director for Forest Management in Negeri Sembilan and the State Director of Forestry Penang before retirement in April 2015. Has involved in several Working Committee form by the Forestry Department of Peninsular Malaysia to further improve the existing procedures, such as, Forestry Manual, Forest Road Guidelines, Forestry Rules, other guidelines regarding the MC&I for forest certification. A member of MAJURUS, was appointed as an Internal Auditor for the MC&I. Has attended several forestry Conference overseas and local. A member of IRIM (Institut Rimbawan Malaysia). Appointed as a facilitator and trainer for Forest Road Guidelines by Forestry Department Peninsular Malaysia.</p> <p>Attended training programmes:</p> <ul style="list-style-type: none"> • Auditor Training Course on Malaysian Criteria and Indicators for Forest Management Certification [MC&I (Natural Forest)] & [MC&I (Plantations)] organised by MTCC, 9 – 10 July 2015. • EMS 14001: 2004 Lead Assessor Training Course organised by SIRIM Training Services Sdn Bhd, 23 Nov. – 27 Nov. 2015. • Briefing on RSPO Principle & Criteria (HCV) organised by SIRIM QAS (Food, Agri & Forestry Section) 21 August 2015. • Workshop on Auditing Technique for FMC (2) organised by SIRIM QAS (Food, Agri & Forestry Section) 26 Jan 2016. • Forest Management Certification (FMC) Workshop' organised by SIRIM (Food,Agr.& Forestry Section)06 & 07 December 2016. • Forest Management Certification (FMC) Workshop 2017 organised by SIRIM (Food,Agr. & Forestry Section)08 – 09 May 2017. • 'Forest Management Certification (FMC) Workshop' for 2017 organised by SIRIM (Food,Agr. &Forestry Section)28 & 29 November 2017. • FMC Workshop for 2018 organised by SIRIM (Food,Agr. &Forestry) 22 November 2018. • COC Workshop 2018 organised by SIRIM 26 November 2018 <p>Auditor Training Course on PEFC Chain of Custody Certification organized by MTCC on 19th -20th December 2018.</p>

Mohd Annas Amin bin Haji Omar	Auditor	<p>Academic Qualification: <i>Diploma in Forestry, UPM</i> <i>B. Sc. In Forestry, UPM</i></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 Kinta Manjung Forest District. Also appointed to be Investigative Officer in Investigations into a case involved Ayer Chepam Forest Reserve and Cased Prosecuted in Court.</p> <p>Attended and pass the following training programmes:</p> <ul style="list-style-type: none"> • Program of MTCS Training Course (MC&I) in Kuantan (9-12 July 2018). • Lead Auditor ISO 9001, ISO 14001 & ISO 45001 Exemplar Global Certified (13-18 August 2018).
Angelica Suimin SInimis	Auditor/ Social	<p>Academic Qualification:</p> <p>Currently, as independent consultant on Social Forestry, Corporate Social Responsibility, land use conflict mediation and Social Impact Assessment. 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 Resource Management (UM), 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 (10 years) 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. Has done consultancy work in Malaysia and Papua New Guinea both for Forest and palm oil plantation since 2012.</p> <p>Has attended the following course:</p> <ol style="list-style-type: none"> 1. MTCC Forest certification standards for Forest Management and Plantation, 2013, SIRIM QAS. 2. FSC Forest certification standards for Forest Management and Control Wood, 2015, Nepcon. 3. Lead Assessor Course ISO 140001 (Exemplar Global Certified LEMS01), 2016, SIRIM QAS. 4. Diplomacy Training (Human Rights, Indigenous People, the Private Sector and Development), 2017; Faculty of Law, Uni New South Wales. 5. MC&I Natural Forest and Plantation.v2 standars, 2017 – MTCC. 6. FSC Training – Forest Management and controlled wood in Bogor Indonesia by SCS Global, USA on Sept 2018.
Dr.Nazre Saleh	Assessment Team Member/ Forester	<p>Academic Qualification: <i>Diploma in Forestry, UPM</i> <i>B. Sc. Conservation Biology & Ecology (UKM)</i> <i>MSc. Botany (UKM)</i> <i>PhD. Botany (Edinburgh)</i></p>

		<p>Work Experience:</p> <p>One year as Research Assistant in WWF-Malaysia in the year from 1999-2000. Become an academic staff in Faculty of Forestry, Universiti Putra Malaysia (UPM), Serdang Selangor from 2000 to present (16 years), starting as a tutor promoted as Senior Lecturer in 2009, and currently as an Associate Professor since 2013. Main responsibility is teaching the undergraduates in the subject of Dendrology, Forest Ecology and Ethnobotany, and Forest Dynamics for postgraduate students. Main research subjects are botany, forest ecology and, forest conservation and management done by supervising both undergraduate and postgraduate (Master/PhD) students funded by local and international grants. Appointed as Head of Department since 2010 for Department of Forest Production (2010-2012) and Department of Forest Management (2013-present). Has sat in many committees for university and ministry (national) related to forestry subjects such as Mangrove Conservation, Forest Management, Forest Protection and Forest Plantation. Published more than 50 articles in local and international book, journals, chapters in books, conference proceeding and technical reports. Attended and presented in many workshops, conferences, seminars held at both local and international levels.</p> <p>Attended and pass the following training programmes:</p> <ul style="list-style-type: none"> • Auditor Training Course on MC& I (Natural Forest) and MC&I (Forest Plantation V2) (SIRIM QAS Sdn. Bhd), 9th-10th July 2015. • EMS 14001: 2004 Lead Auditor Course organized by SIRIM Training Services Sdn Bhd, 18th – 22nd July 2016. • Forest Management Certification (FMC) Workshop, SIRIM Bhd, 6th – 7th December 2016 • Training on Auditing Techniques (SIRIM QAS Int. Sdn. Bhd), 26th January 2016.
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Comments Received from Stakeholders and Responses by Audit Team Leader

Stakeholder	Stakeholders Comment	Auditors Comment
Comment received on: 9 November 2021	<p>WWF-Malaysia is present within the Ulu Trusan FMU (FMU) whereby we are actively implementing community-based projects with the Long Semadoh village cluster i.e. Long Semadoh, Long Tanid, Puneng Trusan. We understand that under the forest management certification exercise by the FMU, the Community Representative Committee (CRC) have been formed, which include members of communities from these villages. WWF-Malaysia had in the past been invited by FORMADAT to share on the CRC concept and carried out capacity building for the relevant communities.</p> <p>We would like to highlight some points for the consideration of the forest certification audit team.</p> <ul style="list-style-type: none"> • The set-up of the CRC should be transparent and properly articulated to the relevant stakeholders. The CRC members should be empowered with relevant knowledge of SFM and be given the opportunity to take part in decision-making process, which can be tracked via records of such activities kept by the FMU (to include full list of participants). The adequacy of such meetings or consultations eg xx times/year, can be raised to the CRC members as well. Where possible, the knowledge of CRC members on their roles should be ascertained by the audit team to ensure that the CRC can function effectively. The welfare and security aspects of the communities could also be assessed. • The representatives of the Forest Management Unit Representative Committee, and in the case of this FMU is called the "FMU Conservation and Community Development (CCD) Committee", should ideally be stationed within the FMU so that the local stakeholders can have better reach to the committee. • Make enquiries on actions or mitigation measures that are in place to prevent encroachment or enhance protection of the proposed Payah Maga Conservation Area (11,073 ha) and the proposed Ulu Sebuang Nature Reserve (646 ha). 	<p>Noted.</p> <p>Noted. The forest harvesting has been temporarily suspended by the FMU. The FMU has been informed regarding the issues raised.</p> <p>Noted.</p> <p>The periodical patrolling has been conducted by the FMU to as the mitigation measure to prevent any encroachment and report the cases if any to the FDS. The Forest Department of Sarawak has the authority for the management action on any</p>

	<ul style="list-style-type: none"> • Information about wildlife protection and management is lacking in the Public Summary document. The FMU contain landscape level HCVs due to its proximity to and location within the HoB Corridor Project. • The link to the master HCV map in the Public Summary is not working. Thus, the completeness of the HCV maps cannot be ascertained eg demarcations and enhancement - what plans does the company have to develop the maps, to demarcate HCVs, HCVMAAs, and where needed, enhance degraded HCVs. • The Public Summary states that "hunting is no longer important for the villagers as there is a dearth of larger wildlife in the nearby forest". Feedback on actions by the FMU to help address this is much welcomed. <p>Other stakeholder to consult:</p> <ul style="list-style-type: none"> • The Audit team should take note of SAVE Rivers (NGO), which highlighted issues pertaining to FPIC process in engaging local communities for decision-making related to FMU operations; and sharing of the EIA and SIA reports with the local communities 	<p>encroachment.</p> <p>Wildlife protection and management at landscape level/HCV level is part of the North-East Corridor project under the control of FDS. The FMU has conducted wildlife monitoring.</p> <p>The FMU has activated the link.</p> <p>The Statement have been reviewed by the FMU and has incorporated additional fact. "The enforcement at the Wildlife Protection Ordinance coupled with the control of the firearms has further curtailed hunting activity in the FMU. Game meat,if any, is for the hunters own consumption and prohibited for sale".</p> <p>Noted</p>
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Surveillance 3 Audit Plan (2022)

DAY	TIME	PROGRAM			
		Auditor 1 (Hj.Roslee)	Auditor 2 (Mohd. Annas)	Auditor 3 (Dr. Nazre)	Auditor 4 (Angelica)
Day 0 6.03.22 (Sunday)	8:00 am - 8:00pm	<p>Auditor (Hj.Roslee, Annas, Dr. Nazre and Azrul) travel from Kuala Lumpur to Kota Kinabalu. MH 2612 ETD 08.20, ETA 11.00. Auditor (Angelica) travel from Kota Kinabalu.</p> <p>All auditors travel to Lawas and Ulu Trusan Camp by land.</p> <p>Briefing by Audit Team Leader on the surveillance 3 audit plan</p>			
Day 1 7.03.22 (Monday)	8.30 am – 10.00 pm	<ul style="list-style-type: none"> Opening Meeting with representatives of FMU Briefing session by Forest Manager of the FMU Q&A Session Follow up on findings from Surveillance 2 Check on complaints, stakeholder comments and follow- up actions (if any) <ul style="list-style-type: none"> Local Communities Government agencies NGOs Consultation with workers and worker's representative (Auditor 4) Evaluate on internal audit and management review 			
	10.00 am – 5.30 pm	Documentation and records review			
		Principle 1 – Compliance with Laws and Principles Principle 7 – Management Plan Principle 4: Indicator 4.2.5	Principle 6 – Environmental Impact Principle 8 – Monitoring and Assessment	Principle 5 – Benefits from the forest Principle 9 – Maintenance of High Conservation Value (HCV)	Principle 2 – Tenure and Use Rights and Responsibilities Principle 3 – Indigenous Peoples' Right Principle 4 - Community Relations and Worker's Right <ul style="list-style-type: none"> Merarap – camp workers FDS consultation
Day 2 08.03.22 (Tuesday)	7.30 am – 1.00 pm	<u>Site visit</u> <ul style="list-style-type: none"> Post-Harvest RIL Compliance, Coupe 01A, Block 005 Coupe 1 (Part I) FMU Licenses boundaries – Ulu 	<u>Site Visit</u> <ul style="list-style-type: none"> Payeh Maga PSP No. 8 (Long Semadoh area, Coupe 18) Salt Lick (dried) 	<u>Site Visit</u> <ul style="list-style-type: none"> Camera Trapping at Coupe 01A Takung Buen (Long Luping) 	<u>Site Visit</u> <ul style="list-style-type: none"> Consultation with Local Communities Puneng Berayong

DAY	TIME	PROGRAM			
		Auditor 1 (Hj.Roslee)	Auditor 2 (Mohd. Annas)	Auditor 3 (Dr. Nazre)	Auditor 4 (Angelica)
	2.00 pm – 6.30pm	Trusan FMU & Kanaya LPF.	– Long Luping	<ul style="list-style-type: none"> SA (Long Luping), Terrain IV & Water catchment (Long Luping) FMU license boundaries - Demaring 	<ul style="list-style-type: none"> Long Sukang All under CRC <ol style="list-style-type: none"> 1.Long Tuyo 2.Tang Pau 3.Puneng Berayong 4.Berayung Tengah 5.Long Lutok/Long Lidung 6.Long Remirang 7.Long Resina Overnight – Long Semadoh
		<ul style="list-style-type: none"> Review of Day 2 Findings by Audit Team Leader 			
Day 3 09.03.22 (Wednesday)	7.30 am – 5.30pm	Site visit <ul style="list-style-type: none"> SBR- Sg.Dualan Workshop Nursery Clinic Merarap camp – worker's quarters Consultation with FDS 	Site Visit <ul style="list-style-type: none"> Post-Harvest RIL Compliance, Coupe 01A, Block 007 Site visit – on going project e.g. SSGP (active KP), SEB (transmission line), SSLR (road) 	Site Visit <ul style="list-style-type: none"> PSP 16-New establishment in Coupe 01A <u>Rafflesia (Long Semadoh)</u> 	Site Visit <p>Consultation with Local Communities:</p> <ul style="list-style-type: none"> Long Semadoh – CRC <ol style="list-style-type: none"> 1.Lg Kerabangan 2.Lg. Beluyu 3.Lg. Semadoh Rayeh 4.Pa'Berunot
		<ul style="list-style-type: none"> Review of Day 3 Findings by Audit Team Leader 			
Day 4 (Thursday) 10.03.22	7.30 a.m – 10.30 a.m	<p>Documentation and records review.</p> <p>Preparation of audit report and finding.</p> <p>Briefing to representatives of FMU on the findings of audit.</p> <p>Closing Meeting and presentation of findings of audit and discussion on follow-up activities.</p> <p>Travel back to Lawas, overnight in Lawas.</p>			
11.3.22 (Friday)	8.00am	Travel back to Kota Kinabalu by land. Travel to Kuala Lumpur by Flight MH 2621. ETD 18.30, ETA 21.10.			

Audit Findings and Corrective Action Taken (Current year: 2022)

Indicator	Detail Non-conformances	Corrective Action Taken	Verification by Assessor
Major NCR: ANS01/2022	<p>Requirement: Indicator 1.5.2 - Control of encroachment, illegal harvesting, hunting, and settlement, and other unauthorized activities in the FMU.</p> <p>Finding: The control of encroachment illegal settlement, and other unauthorized activities in the FMU was not sufficient.</p> <p>Objective evidence:</p> <p>During Surveillance 1 audit, the site inspection on Merarap base camp found that permanent building was constructed to accommodate the PETRONAS staffs and workers without prior approval from the Forestry Department, during this surveillance 3 audit, the approval was still not evidence.</p> <p>Surveillance 3 Audit, found that;</p> <ol style="list-style-type: none"> 1. Site inspection along S-3-1 road, coordinate (N 04°20.723', E115°26.906) found that 1 camping site was constructed without prior approval from the forestry department. 2. Site inspection along M-1 road, coordinate (N 04° 19.284', E115° 27.703) found that 2 camping sites was constructed without prior approval from the forestry department. <p>The Minor NCR RJ02/2019 surveillance 1</p>	<p>Result of investigation and determination of root cause:</p> <p>Investigation: the OE for A. is correct. Samling wrote to FDS on this matter on 8 May 2019 following which FDS wrote to Petronas on 22 May 2019. Despite numerous follow-up calls to FDS the response was always same: "Petronas has not yet responded".</p> <p>Root cause: No Petronas response to FD.S.</p> <p>Investigation: the OE for B. is correct. The first camp noted above was constructed by the SEB contractor but as it now claimed by an unknown native the contractor will not use it & has in effect has "surrendered" it. Camps 2 & 3, referred to above, were constructed by the SEB contractor for his temporary use and are in use.</p> <p>Root cause: B. The FMU Patrol Reports had not recorded any of these 3 camps as "encroachment" because they were thought to belong to a Sarawak Energy Bhd (SEB) contractor working on SEB's rural electrification scheme. Hence, they were assumed by the patrol to be "official".</p> <p>Correction and corrective action plan including completion date:</p> <p>Correction: A. To obtain FDS approval for the Petronas camp buildings to be within the FMU.</p> <p>CAP: A. Samling to write again to FDS (Done - 11 March 2022) and FDS to write again to Petronas –</p>	<p>Evidences below was verified and accepted : Correction A: To obtain FDS approval for the Petronas camp buildings to be within the FMU.</p> <ul style="list-style-type: none"> ○ Letter dated 8th May 2019 from Sy Samling Timber Sdn Bhd (SST) to Director of Forests (FDS), Sarawak, seeking approval to use & construct facilities for the Petronas Sabah-Sarawak Gas Pipeline (SSGP) Project within SST's FMU camps and, for Ulu Trusan, specifically in Merarap Camp (T/0280) (Ref. No. SST/CORR/19-03). ○ Letter dated 25 May 2022 from Forest Department Sarawak (FDS) to Sy Samling Timber Sdn Bhd, responding to the letter dated 8th May 2019, giving approval for the usage of SST's facilities within the FMU for execution of the Petronas Sabah-Sarawak Gas Pipeline (SSGP) Project.(Ref.no. (98)JHS/600-3/7/102/ Jld.17). <p>Correction B:</p> <ol style="list-style-type: none"> (a) Encroachment by persons unknown into FMU to be reported to FDS for their investigative action; and (b) Any SEB contractor must have FDS approval for all their camps in the FMU <ul style="list-style-type: none"> ▪ Letter dated 30 March 2022 from SST to FDS Limbang, cc: Director of Forests, re camping site

	audit was upgraded to Major ANS01/2022	<p>this time to the project office in Kota Kinabalu (Done – 17 March 2022). On 30 March 22 Mr Thomas Apun (Head of Samling's Sabah-Sarawak Gas Pipeline (SSGP) project) met with Petronas in KK and raised this matter as being one of some urgency. At that meeting Mr Apun provided Hj Shaiful (of Petronas) directly with copies of the relevant letters for immediate discussion. Mr Apun has since advised that a process was agreed on, one which would start with SSGP writing direct to Petronas with cc to FDS.</p> <p>Correction: B. (a) Encroachment by persons unknown into FMU to be reported to FDS for their action. (b.) Any SEB contractor must have FDS approval for all their camps in the FMU.</p> <p>CAP: B. Temporary Camp # 1 is claimed by a local (presently unknown to Samling) & not used by the SEB contractor. Samling has reported this (30 March 2022) to the Regional Forest Officer, Limbang, requesting that FDS investigate the encroachment. Temporary Camps #2 & #3 are used by the SEB contractor. Samling has notified the SEB contractor (30 March 2022) that, whilst Samling has no objection to these two camps, they must request approval from FDS for them, and for all future camps, within Ulu Trusan FMU. The SEB contractor should ensure that Samling HQ, Miri, receives copies of all such approvals given by FDS.</p> <p>Completion date: 8 June 2022</p>	<p>(encroachment) along M-1 claimed by unknown persons. SST requesting that FDS investigate. (Ref. No. KTN/CORR/22-02)</p> <ul style="list-style-type: none"> Letter dated 30 March 2022 from SST to FDS Limbang, cc Director of Forests, re: two camp sites along M-1 constructed by a Sarawak Energy Bhd (SEB) contractor. (KTN/CORR/22-01) Letter dated 30 March 2022 from SST to Larsen & Toubro (East Asia) Sdn Bhd – the Sarawak Energy Bhd (SEB) contractor – re construction of two camp sites along M-1. (Ref. No. SST/CORR/22-14) Letter dated 9 June 2022 from FDS to SESCO giving approval for Sarawak Energy Bhd contractors' use of existing and future temporary camps in Ulu Trusan FMU. (Ref. No. (101) JHS/600-3/7/102/ Jld.17) <p>Status: Closed</p>
Major NCR ANS03/2022	<p>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: The HCVFs monitoring was not</p>	<p>Result of investigation and determination of root cause:</p> <p>Investigation shows:</p> <p>OE 1. is correct. Following a site visit on 6 May 2020 it was noted on the HCV monitoring form (by tick under the 'NO' column) that the <i>site was not active</i>;</p>	<p>Evidences below was verified and accepted:</p> <ul style="list-style-type: none"> Item #2-1: The 2020 HCV monitoring form with the pink highlight showing that the "<i>no longer active</i>" status had been selected. This was overlooked on the evening of the 9th March 2022 when this matter was discussed with the auditor,

	<p>sufficient.</p> <p>Objective evidence:</p> <ol style="list-style-type: none"> 1. Based on documentation review found that HCVF monitoring for Saltlick at Sungai Dualan not done annually for 2021. 2. During site visit at Saltlick at Sungai Dualan found that the HCVF area was damaged, and the signage was not available. 	<p>with a comment "...may consider removing from protection.....".</p> <p>Root cause: Monitoring in 2021 was not done because the spring that gave rise to the salt lick was found to be no longer active in 2020. In the 2020 monitoring report it should have been made abundantly clear that the salt spring was <u>no longer active</u>, rather than saying "<i>No animal activity</i>" to indicate that salt was no longer available to attract the animals.</p> <p>OE 2. Is not correct in that the salt lick was no longer active and consequently the signage had been removed. Consequently, it had not been damaged by the roadside terracing that was done in 2021, well after the monitoring visit in early 2020. Likewise, the signage was not available as it had been removed.</p>	<p>Frazier (the person responsible for undertaking the 2020 HCV monitoring visit) and D Marsden (i/c FMCU). (6th May 2020)</p> <ul style="list-style-type: none"> ▪ Item #2-2: Frazier's explanation and clarification about the 2020 HCV monitoring report that led to the NCR. (14 March 2022) ▪ Item #2-3: Some details of construction of the roadside terracing at the site and confirmation that this was carried out in 2021 <i>long after</i> the saltlick had been identified as being longer active and <i>after</i> the HCV sign board had been removed. (25th August 2021). ▪ Item #2-4: A statement from TR Yohanes Abai of Lg Luping that the salt-lick in question had dried up (29 March 2022). ▪ Item #2-5: Memo dated 29 April 2022 from i/c Forest Management Certification Unit (FMCU) to all FMCU staff responsible for undertaking HCV monitoring visits on the importance of making sure that their reports are clearly written and correctly reflect the status of the HCV at the time of the monitoring visit. <p>Status: Closed</p>
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<p>Minor NCR: RJ01/2022</p>	<p>Requirement: Indicator 2.1.1 - 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>Finding: Forest Timber Licence (FTL) No.T/9115 (Majulaba Sdn. Bhd.) has not been renewed.</p> <p>Objective evidence:</p> <p>Document review showed that, Forest Timber Licence (FTL) T/9115 (Majulaba Sdn. Bhd) and Forest Timber Licence (FTL) T/0280 (KTN Timor Sdn. Bhd.) formed Ulu Trusan Forest Management Unit. However, FTL T/9115(Majulaba Sdn. Bhd.) has expired on 8th November 2021 and has not been renewed by Forest Department of Sarawak due to the FMU did not comply to the DF Circular No. 02/2019 – “Restoration Program Within Licenced Area”.</p>	<p>Result of investigation and determination of root cause: Investigation: the OE is correct.</p> <p>Root cause: The discussion with FDS re “restoration” in Majulaba T/9115 has still to be resolved.</p> <p>Correction and corrective action plan including completion date:</p> <p>Correction: Determine the way forward that will comply with FDS requirements.</p> <p>CAP: Undertake the restoration work in compliance with the FDS agreed requirements.</p> <p>Completion date: once the FDS requirement has been determined then ASAP to have the licence renewed ASAP</p>	<p>The Corrective Action Plan Accepted</p> <p>Status: Will be verified in the next audit</p>
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<p>Minor NCR: RJ 02/2022</p>	<p>Requirement: Indicator 4.2.5 - Demarcation of hazardous areas and provision of guidelines for storage and handling of hazardous materials.</p> <p>Finding: Storage and handling of schedule waste, was not comply to the Guidelines on Storage and Handling of schedule waste as requirement in Environmental Quality (Scheduled Wastes) Regulations 2005.</p> <p>Objective evidence:</p> <p>Site inspection to Schedule Waste Store at Ulu Trusan Workshop found that; 2 (two) drums of SW 409, 1 (one) drum of SW 410 and one (1) drum of SW 408 has not been labelled with the date of first generated.</p>	<p>Result of investigation and determination of root cause</p> <p>Investigation: the OE is correct.</p> <p>Root cause: Both drums were correctly labeled with new labels but the PIC had omitted to enter the date when the drums were first used.</p> <p>Correction (if applicable) and corrective action plan including completion date:</p> <p>Correction: The date of first use has already been entered on both labels.</p> <p>CAP: S&H will give toolbox talk to the PIC</p> <p>Completion: before June 2022</p>	<p>The Corrective Action Plan Accepted</p> <p>Status: Will be verified in the next audit</p>
<p>Minor NCR: ANS02/2022</p>	<p>Requirement: Indicator 6.3.1 - Availability and implementation of management guidelines to assess post-harvest natural regeneration, and measures to supplement natural regeneration and rehabilitate degraded areas, where necessary, in the FMU.</p> <p>Finding: Implementation of guidelines to assess post-harvesting area was not evident.</p> <p>Objective evidence:</p> <p>Record of evaluation for post-harvest area (analysis of stocking) at Coupe 01A to identify the areas need for silvicultural treatment not available.</p>	<p>Result of investigation and determination of root cause:</p> <p>Investigation: OE is correct.</p> <p>Root cause: The Post-Harvest Inventory (PHI), or Diagnostic Sampling (DS), required to identify the areas that might need silvicultural treatment was still in progress. The analysis will not be undertaken until the field work has been completed.</p> <p>Correction (if applicable) and corrective action plan including completion date.</p> <p>CAP: Complete the PHI and then undertake an analyse of the data to determine the need for silvicultural treatment.</p> <p>Completion date: before Surveillance Audit #4</p>	<p>Corrective action plan accepted.</p> <p>Status: Will be verified in the next audit</p>

<p>Minor</p> <p>NCR: RJ 03/2022</p>	<p>Requirement: Indicator 7.3.2 - Availability of programmes to train forest workers to their respective roles for proper implementation of the forest management plan.</p> <p>Finding: Training for forest workers to their respective roles for proper implementation of the forest management plan was insufficient.</p> <p>Objective evidence:</p> <p>Based on the training record conducted in 2021 & 2022, it was found that the following awareness briefing & training were not conducted:</p> <ol style="list-style-type: none"> 1. MC&I SFM. 2. Reduced Impact Logging. 	<p>Result of investigation and determination of root cause</p> <p>Investigation: the OE for 1. and 2. is correct.</p> <p>Root cause: 1. The awareness briefing had been inadvertently omitted from the original schedule.</p> <p>Root cause: 2. There has been no harvesting in Ulu Trusan since October 2019. This means that there is neither the machinery nor the operators available at Ulu Trusan FMU to enable training to be conducted. External RIL trainers were brought in (14-18 February 2022) to conduct RIL training at Baram CTB and Gerenai FMU but as no operators were required to be stationed at Ulu Trusan no one from there could sensibly participate.</p> <p>Correction (if applicable) and corrective action plan including completion date.</p> <p>Correction: a) Fulfil the MC&I requirement under Indicator 5.3.2. b) Try to obtain waiver of this requirement for FMUs that are not harvesting.</p> <p>CAP: 1. Awareness briefing is scheduled for May 2022</p> <p>CAP: 2. a) Try to locate a suitable person from Ulu Trusan who could attend in house training at Ulu Baram. b) Appeal to MTCC to issue a directive to CBs on Indicator 5.3.2 on the grounds that this indicator is illogical when an FMU is not harvesting and therefore has neither the relevant machinery nor the relevant operators on site.</p> <p>Completion date: before the Surveillance Audit #4</p>	<p>Corrective Action Plan Accepted</p> <p>Status: Will be verified in the next audit.</p>
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<p>Minor</p> <p>NCR: MNS 01/2022</p>	<p>Requirement: Indicator 8.1.1 – Forest managers shall comply with the regulatory monitoring procedures in accordance with relevant federal and state and other relevant agencies.</p> <p>Finding: Monitoring procedures not following the guidelines of the Forestry Departments.</p> <p>Objective evidence:</p> <p>Based on documentation review of PSP Records for PSP 8, 11, 10, 16, and 17, the scientific names were not properly written as per Guideline 3.5 (pg. 76) of the 'Green Book'. Site inspection in PSP 16 (Coupe 10A) and PSP 8 (Coupe 01A), also found that the species identification not done up to species level.</p>	<p>Result of investigation and determination of root cause:</p> <p>Investigation: the OE is correct.</p> <p>Root cause: The PSP crews had very occasionally used family names, when they were known, for trees that could not be identified to at least genus level rather than coding such a tree as "unknown" (code: ZZZZZZ). (The species coding system no longer refers to family.)</p> <p>Correction (if applicable) and corrective action plan including completion date:</p> <p>Correction: ID species to at least genus level and where this is not possible enter "ZZZZZZ" (unknown). CAP: Circulate an instruction to the PSP crews to the above effect.</p> <p>Completion date: before end of April 2022</p>	<p>Corrective Action Plan Accepted</p> <p>Status: Will be verified in the next audit</p>
<p>OFI</p> <p>Indicator 7.2.1</p>	<p><u>Implementation of procedures to periodically revise the forest management plan, incorporating the results of monitoring or new scientific and technical information, the frequency of which shall be appropriate to the scale and intensity of forest management operations, so as to respond to changing environmental, social and economic circumstances.</u></p> <p>New information such as the numbers of existing villages within/close to the FMU was not updated. Similarly, the mid-term review for the FMP that should be done in the year 2022 has not started yet.</p>	<p>Not required</p>	<p>Will be verified in the next audit</p>

<p>OFI Indicator 8.1.3</p>	<p><u>Forest managers shall undertake annual internal audit and management review of forest management for continual improvement. The conduct of internal audit, management review and continual improvement is stipulated in APPENDIX A.</u></p> <p>The Internal audit and management review not conducted according to the requirement of the standard however the FMU has documented procedure for internal audit and management review (FMC/PRO-001) that effective date 7 February 2022.</p>	<p>Not Required</p>	<p>Will be verified in the next audit</p>
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Corrective Actions Taken and Final Status on NCRs and OFIs Raised During Previous Audit (2019)

Indicator	Specification Major/Minor/ OFI	Detail Non-conformances	Corrective Action Taken	Verification by Assessor
Indicator 1.5.2 NCR: RJ02/2019	Minor	<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 settlement, and other unauthorized activities in the FMU was not sufficient.</p> <p>Objective evidence: During the site inspection at Merarap basecamp it was found that permanent building was constructed to accommodate the PETRONAS staffs and workers for the gas pipelines project (SSGP), there is no evidence of approval from the Forestry Department.</p>	<p>Result of investigation and determination of root cause: a) Samling had informed FDS of these activities undertaken by Sy Samling Timber Sdn Bhd as contractor for the SSGP by letter dated 8th May 2019 but there has been no response to date. b) On enquiry to FDS we were advised that FDS had written in May to PETRONAS seeking clarification without response to date</p> <p>Correction and corrective action plan including completion date: Obtain the approval letter from FDS a) Liaise with and maintain a follow up with FDS until the letter is in hand. b) On 18 Nov 2019 D Marsden spoke to Deputy Director FDS on this. He will look further and speak to the Director. c) Samling has followed up by letter to FDS dd 25 Nov 2019</p> <p>Completion date: Evidence will be available by next surveillance audit.</p>	<p>Status: The Minor NCR RJ02/2019 surveillance 1 audit was upgraded to Major ANS01/2022</p>
Indicator 2.3.1 NCR:	Minor	<p>Requirement: Indicator 2.3.1 - Availability of appropriate mechanisms to resolve disputes over tenure and use rights.</p>	<p>Result of investigation and determination of root cause: The Samling Guidelines on Conflict Resolution (SFM/GL001) do not make use of a form for raising a complaint. The need for such a form had</p>	<p>The FMC/PRO-002 on Conflict Resolution replaces SFM/GL 001 was revised and approved on 12 January, 2022, effective on 7th February 2022 was made available</p>

LHF02/2019		<p>Finding: No form was available for villagers to raise the any complaint.</p> <p>Objective evidence: Assessment consultations with villagers in Long Kerabangan, Long Luping and Long Sukang showed that no form was available for them to raise the any complaint.</p>	<p>never been raised by any party involved in disputes over tenure and use rights.</p> <p>Correction and Corrective action plan including completion date:</p> <p>An appropriate form is required. a) Form will be designed and made available to the community; and b) Use of the form will be incorporated into Figure 1 of Conflict Resolution Flow Chart Guidelines in Conflict Resolution (SFM/GL001</p> <p>Completion date Evidence will be available by next surveillance audit.</p>	<p>during the audit as an appropriate mechanism to resolve disputes over tenure and user rights.</p> <p>Status: Closed</p>																		
<p>Indicator 5.2.1 NCR:</p> <p>RJ01/2019</p>	<p>Minor</p>	<p>Requirement: Indicator 5.2.1 - Forest management practices encourage the optimal use of forest resources.</p> <p>Finding: Trees within the definition of Potential crop tree (PCT) (Guideline for Reduced Impact Logging: Part 1) not marked.</p> <p>Objective evidence: During Site inspection harvesting area in Block 25 coupe 01A at M-4 and Block 29 Coupe 1A at ST-6-2, it was evidence that trees with DBH above 30cm were not tag as PCT, trees as follows:</p> <table><tr><td>No.</td><td>Species</td><td>DBH</td></tr><tr><td>1</td><td>Empenit</td><td>36.0cm</td></tr><tr><td>2</td><td>Empenit</td><td>37.0cm</td></tr><tr><td>3</td><td>Akau</td><td>38.6cm</td></tr><tr><td>4</td><td>Asam</td><td>38.3cm</td></tr><tr><td>5</td><td>Medang</td><td>30.0 cm</td></tr></table>	No.	Species	DBH	1	Empenit	36.0cm	2	Empenit	37.0cm	3	Akau	38.6cm	4	Asam	38.3cm	5	Medang	30.0 cm	<p>Result of investigation and determination of root cause:</p> <p>Whilst it is correct that the above PCTs had not been tagged there is currently no requirement to do so.</p> <p>Root cause: Block 25 was enumerated (100% tagging) in September 2018. At that time the MC&I verifier was (and still is) the Guidelines/Procedures on Reduced & Low Impact Harvesting Systems,1999, in which PCTs are not mentioned. Whilst Ch.10A of the RIL Guideline in the 2019 Green Book requires PCTs to be tagged it states: “only such trees that are in danger of being damaged by the fall of a harvestable tree will be identified.” This RIL Guideline it is currently under consideration for revision in order to clarify certain ambiguous points, one of which is that of tagging PCTs.</p> <p>Correction and Corrective action plan including completion date:</p>	<p>Site inspection was conducted in post-harvest areas in Block 005 at MT -01 and 007 MT- 02 in coupe 01A, since there was no active harvesting area at the time of audit. It was found that, the PCT trees were well tagged with orange tag, and no evidence that the PCT above 30cm been left out at the skid trail been inspected.</p> <p>Status: Closed</p>
No.	Species	DBH																				
1	Empenit	36.0cm																				
2	Empenit	37.0cm																				
3	Akau	38.6cm																				
4	Asam	38.3cm																				
5	Medang	30.0 cm																				

		<table><tr><td>6</td><td>Akau</td><td>34.0cm</td></tr><tr><td>7</td><td>Meranti</td><td>40.8cm</td></tr><tr><td>8</td><td>Medang</td><td>40.6cm</td></tr></table>	6	Akau	34.0cm	7	Meranti	40.8cm	8	Medang	40.6cm	<p>1. Since September 2018 there have been three RIL training courses for Samling staff and contractor crews.</p> <p>a) 29 Oct-7 Nov 2018 in CTB Baram conducted by SFC.</p> <p>b) 13-15 May 2019 in CTB Baram conducted by SFC: and</p> <p>c) 14 Aug 2019 in Merarap Camp conducted by HQ SEU for SEU staff and contractor.</p> <p>Correction (additional): Refresher courses will be conducted</p> <p>Corrective action plan:</p> <p>a) In 2020 there will be at least one refresher course on RIL for Samling staff and contractor crews.</p> <p>b) The course content will use the revised RIL Guideline.</p> <p>Completion date: Evidence will be available by next surveillance audit</p>	
6	Akau	34.0cm											
7	Meranti	40.8cm											
8	Medang	40.6cm											
<p>Indicator 3.1.3</p> <p>NCR: LHF01/2019</p>	Major	<p>Requirement: -Indicator 3.1.3 - Availability of appropriate mechanisms to resolve any conflicts and grievances between parties involved.</p> <p>Finding: The conflict and grievances of three villagers were not adequately addressed.</p> <p>Objective evidence: This assessment found that conflict and grievances of the third villager were not adequately addressed where missing records of claim has yet to be made</p>	<p>Result of investigation and determination of root cause:</p> <p>a) Penghulu Dennis Yahya Ating had confirmed to the then camp manager, Perry Sigar, that Yohanis Rugu had no valid claim to commission on log production from Block 03, 04, 05 & 06 inside Coupe 03A of KTN.</p> <p>b) Perry Sigar had requested Samling Native Affairs office in Miri HQ to obtain a statement from Yohanis Rugu withdrawing his claim for log commission.</p> <p>Root Cause: There was:</p>	<p>Ulu Trusan FMU management has conducted a meeting with Penghulu Dennis Yahya on 5th Feb.2020 as Yohanis Rugu is said to be working offshore Brunei.The meeting involved the Penghulu and the management of Ulu Trusan FMU. The minute of the Meeting was attached. The conclusion of the meeting,as stated by the Penghulu Dennis Yahya: Let the issue of land ownership be settle among their family without interference from outside.Document attached as evidence: Notes to the corrective</p>									

		<p>available.</p> <p>Therefore, the previous MINOR NCR LYD 01/2018 raised during stage 2 audit is upgraded to a Major NCR.</p>	<p>a) no written record of the meeting with Penghulu Dennis Yahya Ating and camp manager; and b) no written statement from Yohanis Rugu.</p> <p>Correction and Corrective action plan including completion date:</p> <p>Either Root Cause a) or b) is to be resolved. As Yohanis Rugu is said to be working offshore Brunei a meeting with the Penghulu is planned for 28th Nov 2019 when a signed statement confirming that Yohanis Rugu is not eligible for commission on logs produced from the area in question.</p> <p>Completion date: Before 14th Feb 2020</p>	<p>Action Plan & Evidence dated 11th Feb. 2020 (Prepared by David Marsden- Samling Sdn Bhd), Statement from Senior Community Service, (Mr. Stewart Paran of Ulu Trusan FMU), A Minute of Meeting with Penghulu Dennis Yahya Ating, dated 5th Feb. 2020 and Locality Map of Claimed Area in Coupe T/0280/13/03A.</p> <p>Status: Closed</p>
<p>Indicator 4.4.1</p> <p>NCR: LHF02/2019</p>	<p>Major</p>	<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 villages located within and near to FMU which were involved in the social impact assessment have yet to have access to the results of the assessment.</p> <p>Objective evidence: Assessment consultation with villagers in Long Kerabangan, Long Luping and Long Sukang showed that villagers have no access to the information on the results of the social impact evaluation.</p>	<p>Result of investigation and determination of root cause:</p> <p>The villagers in Long Kerabangan, Long Luping and Long Sukang had no access to the results of the social impact evaluation.</p> <p>Root Cause: It was planned to conduct the sharing session together with recent CRC meeting, but the logistic arrangements were upset, and it did not happen.</p> <p>Correction and Corrective action plan including completion date:</p> <p>Access to the results of the social impact evaluation will be given to the communities of Long Kerabangan, Long Luping and Long Sukang.</p> <p>a) Social impact evaluation will be conducted in the local communities located within and near to Ulu Trusan FMU,</p>	<p>A compilation report of Social Impact Assessment (SIA) Ulu Trusan FMU (T/9115 and T/0280) on: (1) SIA Findings Sharing Session with Long Kerabangan, Long Luping and Long Sukang (14th & 19 Jan 2020). (2) Social Impact Monitoring for Long Kerabangan, Long Luping and Long Sukang was presented.</p> <p>Based on the letter dated 11th Jan. 2020 title "Jemputan Untuk Menghadiri Sesi Perkongsian Hasil Dapatan Penilaian Impak Sosial Ulu Trusan FMU (T/0280 and T/9115)". The FMU has invited Headman of Kg. Long Sukang, Long Luping and Long Kerabangan on 13th Jan. 2020 for Long Sukang (postpone to 19th Jan. 2020), 14th Jan 2020 for Long Kerabangan</p>

		<p>A Major NCR is raised as the same issue was included under Indicator 4.5.2 during stage 2 audit.</p>	<p>b) The social impact of the forest operation on the local community will be evaluated under the monitoring process.</p> <p>c) Results of the social impact evaluation will be made available to Long Kerabangan, Long Luping and Long Sukang by means of sharing with the community.</p> <p>Completion date: Before 14th Feb 2020</p>	<p>and Long Luping.</p> <p>The evidence of the meeting and consultation were presented.</p> <p>Status: Closed.</p>
<p>Indicator 8.2.1</p> <p>NCR: ANS01/2019</p>	Major	<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: Tree tagging, measurements and recordings at PSP plots were not appropriately conducted.</p> <p>Objective evidence:</p> <p>During the Stage 2 audit, the measurement of the plots (length and width of the plots) was not corrected based on clinometer slope reading (correction table).</p> <p>During this surveillance audit on the PSP 7 and 14, The auditors has found:</p> <ol style="list-style-type: none"> 1. The measurement of the plots (length and width of the plots) was not corrected based on clinometer slope reading (correction table). 2. Useful information on unique 	<p>Result of investigation and determination of root cause:</p> <ol style="list-style-type: none"> a) Slope corrections had not been made when establishing the PSP. b) The Remarks column of the inventory form was not fully utilized. <p>Root Cause: No PSP refresher course conducted during the year.</p> <p>Correction and Corrective action plan including completion date:</p> <ol style="list-style-type: none"> a) All linear measurements to be checked & plot boundaries to be re-established as necessary. b) Border-line trees on existing plot boundaries to be excluded or included consequent of the revised boundaries. <p>Corrective action plan:</p> <ol style="list-style-type: none"> a) Refresher course on use of clinometer in correcting linear measurements for slope to be conducted for FMC & SEU personnel on 29th November 2019 b) Tool box talk on data recording & use of forms for PSPs establishment to be conducted on 	<p>A compilation of report of permanent Sample Plot (PSP) for Ulu Trusan FMU (T/0280 & T/9115) on:</p> <ol style="list-style-type: none"> (a) Refresher Course (b) Re-Align PSP length and size precisely on the ground with slop Correction for PSP no.7 and 14. <p>The FM has conducted a refresher course on forest survey on 27th November 2019 for Toolbox briefing and on the ground training on 11-16 Dec. 2019 which involved 7 workers from surveyor section. Re –measurement for PSP 7 and 14 has also been carried out, the new data has been collected and entered and the PSP 7 and 14 have been corrected.</p> <p>Status: Closed.</p>

		<p>tree location and tree shape were not recorded in the inventory form (Remarks column). Such information is needed in explaining unusual tree growth.</p> <p>Therefore, the Minor NCR KN 02/2018 raised during Stage 2 audit is upgraded to Major NCR.</p>	<p>29th November 2019</p> <p>c) Plot boundaries of PSPs 7 & 14 will be re-established.</p> <p>d) Trees affected by changes in the position of the boundaries will be recorded or deleted from the previous record as appropriate.</p> <p>Completion date: Before 14th Feb 2020</p>	
<p>Indicator 9.4.1</p> <p>NCR: ANS02/2019</p>	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: The HCVFs monitoring procedure was not sufficient.</p> <p>Objective evidence: During the Stage 2 audit the "Procedures for Monitoring the High Conservation Value (HCV) Management Measures, Procedures: SFM/PR 007, Revision:0, dated 1st August 2017", and had clearly recommended monitoring activities. However, the timeline or frequency of monitoring to assess the effectiveness of the HCVFs measures were not stated in any procedures or management plan.</p> <p>During this surveillance audit, the timeline or frequency of monitoring to assess the effectiveness on HCVFs were not stated in any procedures or management plan.</p>	<p>Result of investigation and determination of root cause: It is correct that the timeline or frequency of monitoring to assess the effectiveness of the HCVFs measures were not stated in any procedures or management plan.</p> <p>Correction and Corrective action plan including completion date:</p> <p>Corrective action plan: a) Timeline or frequency of monitoring to assess the effectiveness of the HCVFs measures will be stated in all relevant procedures and in the management plan on first revision.</p> <p>Completion date Before 14th Feb 2020</p>	<p>The Ulu Trusan FMU has revised the "Procedure for Monitoring the High Conservation Value (HCV) Management Measures, Procedure" – SFM/ PR007, Revision: 1.0 dated 2nd December 2019. The Procedure has included the timeline or frequency of monitoring to assess the effectiveness of the HCVFs measures.</p> <p>Status: Closed.</p>

		Therefore, the minor NCR KN 04/2018 raised during stage 2 audit is upgraded to Major NCR		
Indicator 1.1.1	OFI	<p><u>Records and availability of up-to-date applicable federal, state and local laws, and regulations and policies, in particular those related to forest management.</u></p> <p>Employment agreement for workers is available and there is room for improvement to include matters such as leaves and termination of contract service by notice, to be in line with Labour Ordinance Sarawak 1952 (Act A1237).</p>	This OFI was sent to HR for their action [21 Nov 2019]	<p>The Employment Agreement has included those matters, based on the sample document of agreement for Asst. Surveyor, Headman (mandor) and Chief Clerk.</p> <p>Status: Closed</p>
Indicator 4.3.2	OFI	<p><u>Provisions for workers the right to organise and undertake collective bargaining leading to agreements in accordance with ILO Convention No. 98 – The Right to Organise and Collective Bargaining Convention, 1949 - Articles 1 and 2, ILO Convention No. 111 – Discrimination (Employment and Occupation), 1958 - The Right to Equal Treatment, ILO Convention No. 100 – Equal Remuneration, 1951 - The Right to Equal Pay.</u></p> <p>It was observed that the “Borang Keluhan” (complaint form) could be further improved to include matters such as signature of worker, date of submission to relevant unit for further action, action taken and confirmation by officer-in-charge.</p>	<p>Both the BM & English versions of the form attached to the Employees’ Grievance Resolution Procedure have been revised to include all the items mentioned in the OFI.</p> <p>A compressed sample of the revised BM Borang Keluhan is shown opposite.</p>	<p>It was observed that the “Borang Keluhan” was further improved incorporating signature of worker, date of submission to relevant unit for further action, action taken and confirmation by officer-in-charge.</p> <p>Status: Closed</p>

BORANG KELUHAN

Tarikh Hantar: _____

Keluhan Tertentu *(Sila berikan sebanyak mungkin butiran. Jika ruang yang disediakan tidak mencukupi, lapiran yang berasingan boleh disertakan.)*

Difaikan oleh:

Nama Pekerja dan syarikat
Tandatangan

1. _____

2. _____

3. _____

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Borang Keluhan diterima oleh:

Nama: _____

Tarikh: _____

		Tindakan: _____ _____ _____ _____ _____ _____ Tindakan diambil oleh: _____ Jawatan : _____ Tarikh: : _____ _____ cc. Ketua Jabatan/Jabatan Sumber Manusia Unit Operasi		
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End of Report