



**PUBLIC SUMMARY
RECERTIFICATION AUDIT (SECOND CYCLE) ON
NEGERI SEMBILAN FOREST MANAGEMENT UNIT
FOR FOREST MANAGEMENT CERTIFICATION**

Certificate Number: FMC 0002
Date of First Certification: 29 December 2009
Audit Date : 26-30 October 2015
Date of Public Summary: 5 September 2016

Certification Body:

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1 EXECUTIVE SUMMARY

The Negeri Sembilan Forest Management Unit (hereafter referred as the Negeri Sembilan FMU) is managed by the Negeri Sembilan State Forestry Department (NSSFD). The NSSFD was awarded the Certificate for Forest Management against the Malaysian Criteria and Indicators for Forest Management Certification (Natural Forest) [MC&I (Natural Forest)] for managing the Negeri Sembilan FMU following a recertification audit that was conducted on 3-7 September 2012 by SIRIM QAS International Sdn Bhd (SIRIM QAS International).

SIRIM QAS International is the oldest and leading certification, inspection and testing body in Malaysia. SIRIM QAS International provides a comprehensive range of certification, inspection and testing services which are carried out in accordance with internationally recognised standards. Attestation of this fact is the accreditation of the various certification and testing services by leading national and international accreditation and recognition bodies such as the Department of Standards Malaysia (STANDARDS MALAYSIA), the United Kingdom Accreditation Services (UKAS), the International Automotive Task Force (IATF), and the Secretariat of the United Nations Framework Convention for Climate Change (UNFCCC). SIRIM QAS International is a partner of IQNet, a network currently comprising of 36 leading certification bodies in Europe, North and South America, East Asia and Australia.

This recertification audit (third cycle) on the Negeri Sembilan FMU was conducted on 26-30 October 2015 to assess the continued compliance of the Negeri Sembilan FMU's against the requirements of the MC&I (Natural Forest) using the verifiers stipulated for Peninsular Malaysia. In addition, the audit team had also verified on the corrective actions taken by the NSSFD to address the Non-Conformity Reports (NCRs) and Opportunity for Improvements (OFIs) which were raised during the previous surveillance audit.

This recertification audit was conducted by a three-member team comprising Khairul Najwan bin Ahmad Jahari (Lead Auditor), Dr. Samsudin Musa (Auditor) and Prof. Mohd Basri Hamzah (Auditor). Puteri Arlydia Abdul and Roslee Jamaludin had joined the audit team as trainee auditor and observer respectively. The scope of the recertification audit was still limited to the forest management system and practices of the natural forest within the Permanent Reserved Forests (PRFs) of the Negeri Sembilan FMU.

Based on the findings of this recertification audit, it was found that generally, the Negeri Sembilan FMU had continued to comply with the requirements of the MC&I (Natural Forest). This recertification audit had resulted in the issuance of five (5) minor NCRs (including re-issue of one minor) and four (4) OFIs. It was also found that the NSSFD had taken the appropriate corrective actions to address the NCRs and OFIs which were raised during the previous audit. The audit team had verified that the corrective actions had been effectively implemented and had therefore closed out these minor NCRs and OFIs.

As no major NCR was raised, the audit team had therefore recommended that the Certificate for Forest Management No. FMC 0002 awarded to the NSSFD be extended for another 3 years from 28 December 2015 to 27 December 2017.

This public summary contains general information on the Negeri Sembilan FMU, the findings of the recertification audit, NCRs raised as well as the decision on the continued certification of the FMU.

2. INTRODUCTION

2.1 Name of FMU

Negeri Sembilan FMU

2.2 Contact Person and Address

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Negeri Sembilan State Forestry Department
Level 4, Blok C, Wisma Negeri
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2.3 General Background on the NSSFD

The Negeri Sembilan FMU which is managed by the NSSFD currently comprises 155,825 hectares (ha) of PRF of the state's total land area of 665,700 ha. The total area of PRF had increased from 154,676 ha to 155, 825 ha following a new gazettment of 1,149 ha of the mangrove forest in the Kenaboi and Gemas Selatan Forest Reserves.

The PRF of the Negeri Sembilan FMU consists mainly of inland forest with a small area of Beach Forest while most of the mangrove forest was still under Stateland. The inland PRF consists mainly of Hill and Upper Hill Dipterocarp Forests with patches of Lowland Dipterocarp which are protected mainly for research purposes.

The administration of the FMU had continued to be divided into two forest districts namely the East Negeri Sembilan and West Negeri Sembilan Forest Districts. The map of the FMU is as in **Attachment 1**.

2.4 Date First Certified

29 December 2009

2.5 Location of the Certified FMU

The FMU is located within 2° 29' N to 3° 5' N and 101° 49' E to 102° 35' E.

2.6 Forest Management System

A Forest Management Plan (FMP) covering the period from 2006 to 2015 had been written and presented during the audit. A mid-term review on the FMP was completed in December 2012. The inland forest of the Negeri Sembilan FMU had continued to be managed on a sustainable basis under a Selective Management System (SMS) on a 30-year rotation period.

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

For the Tenth Malaysia Plan (2011 - 2015), the annual allowable cut (AAC) for the FMU had been set at 2,250 ha.

3. AUDIT PROCESS

3.1 Audit Dates

26-30 October 2015 (15 man-days)

3.2 Audit Team

Khairul Najwan Ahmad Jahari (Audit Team Leader)
Dr. Samsudin Musa (Auditor)
Prof. Mohd Basri Hamzah (Auditor)
Puteri Arlydia Abdul (Trainee Auditor)
Roslee Jamaludin (Observer)

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

Peer Reviewers:

1. Dr. Woon Weng Chuen
2. Dr. Nur Supardi Md. Noor

3.3 Standard Used

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

3.4 Stakeholder Consultations

A one-month stakeholder consultation was conducted in September 2015 to solicit feedback from stakeholders on the compliance of the Negeri Sembilan FMU to the requirements of the MC&I (Natural Forest). The comments by the stakeholders and responses from the audit team are shown in **Attachment 3**.

3.5 Audit Process

The recertification audit was conducted primarily to evaluate the level of continued compliance of the Negeri Sembilan FMU's current documentation and field practices in forest management against the MC&I (Natural Forest), using the verifiers stipulated for Peninsular Malaysia.

For each Indicator, the auditors had conducted a documentation review, consultations with the relevant personnel of the FMU 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 overall compliance against the indicator and decided whether or not to issue a major or minor NCR or an OFI which are defined as follows:

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

The coverage of the certification audit on the Negeri Sembilan FMU is as shown in the Recertification Audit Plan as in **Attachment 4**.

The NSSFD 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 then prepared an interim recertification audit report and sent it to the NSSFD for comment. A second draft recertification audit report which had incorporated the comments received from the NSSFD was then prepared and sent to two peer reviewers for independent reviewing. The comments received from the peer reviewers on the second draft recertification audit and the responses made by the audit team leader are as in **Attachment 5**. A final recertification audit report was prepared dated 30 November 2015 which was sent to and acknowledged by the NSSFD on 22 July 2016.

4. SUMMARY OF AUDIT FINDINGS

Based on the findings of this recertification audit, it was found that generally the Negeri Sembilan FMU had continued to comply with the requirements of the MC&I (Natural Forest). However, there were still lapses in the management system and practices which had resulted in the issuance of five (5) minor NCRs (including re-issuance of one minor) and four (4) OFIs. There was no major NCR being raised. The details on the minor NCRs and OFIs raised are as in **Attachment 6**. The NSSFD has taken necessary corrective actions in order to address all the minor NCRs and OFIs. The audit team had reviewed and accepted the corrective actions taken by the NSSFD to address these NCRs and OFIs. However, the verification on these corrective actions would be done during the next surveillance audit.

With the exception for the minor NCR which was raised on indicator 6.1.3 which was still outstanding, the NSSFD had taken the appropriate corrective actions to address the other NCRs and OFIs which were raised during the previous audit. The audit team had verified that the corrective actions had been effectively implemented and had therefore closed out these minor NCRs and OFIs. The details on the verification of the corrective actions taken and the status of the NCRs and OFIs raised during the previous surveillance audit are shown in **Attachment 7**.

On indigenous peoples' right, the NSSFD's forestry operations had not extended into the Orang Asli Reserves. As such, there was no record of the community delegating control of their rights with free, prior and informed consent to the FMU management. In spite of the unresolved status of the Orang Asli land located within the FMU, the rights of the community to use the surrounding forest resources for subsistence were still being recognized by the NSSFD in the planning and implementation of forest management activities of the FMU.

With regard to Criterion 6.10, a total of 3,000 ha had been zoned for the establishment of Timber Latex Clone (TLC) forest plantations in the FMU. During the intervening period since the last audit, only an additional 67.5 ha of new TLC plantation had been established. To-date, a total of 2,761.96 ha of TLC rubber trees plantation have been established since 2012 in the Triang, Johol and Senaling Inas PRFs.

As no major NCR was raised, the audit team had therefore recommended that the Certificate for Forest Management No. FMC 0002 awarded to the NSSFD be extended for another 3 years from 28 December 2015 to 27 December 2018.

The summary on the findings of the recertification audit on the compliance of the Negeri Sembilan FMU against the requirements of the MC&I (Natural Forest) are as follows:

PRINCIPLE	STRENGTHS	WEAKNESSES
Principle 1	The NSSFD had continued to maintain records of all the relevant national and local laws, regulations and policies related to forest management. Forest officers above the level of District Forest	There were no negative findings.

	<p>Officers still had a good understanding and were knowledgeable on the national and local laws and regulatory framework on forest management.</p> <p>NSSFD had continued to comply with all the applicable federal, state and local laws and administrative requirements.</p> <p>All applicable and legally prescribed fees, royalties, taxes, and other charges were paid accordingly as per records verified during this audit.</p> <p>The forest managers were aware of all the binding international agreements on forest management.</p> <p>It was found that the FMU continued to be legally protected by the provisions of sections 7 to 13 of the National Forestry Act 1984.</p> <p>The NSSFD had continued with its commitment to manage the forest resources on a sustainable basis as enshrined in the National Forestry Policy 1984.</p>	
<p>Principle 2</p>	<p>Long-term tenure and the use rights to the land and forest resources had been clearly defined, documented and legally established.</p> <p>There was no conflict with the local community on legal or customary tenure or use rights to the land and forest resources with existing laws and regulations.</p> <p>Mechanism to resolve land claims was available. However, there were no such claims being recorded during this audit.</p> <p>The NSSFD had continued to consult the local Orang Asli communities on the management operations of the FMU. For example, the representatives of two Orang Asli settlements (Kg. Air Lerek and Kg. Pak Bai, both located in the Kuala Pilah district) had been briefed on the coming forestry operations and their concerns taken care pertaining to the potential impacts of the FMU's forestry operations.</p> <p>There were several mechanisms in place at various levels for use to resolve disputes over tenure and use rights.</p>	<p>There were no negative findings.</p>

<p>Principle 3</p>	<p>The legal and customary rights of indigenous peoples to own, use and manage their lands, territories and resources continued to be recognised and respected.</p> <p>The FMU's forestry operations had not extended into the Orang Asli Reserves. As such, there was no record of the community delegating control of their rights with free, prior and informed consent to the FMU management.</p> <p>In spite of the unresolved status of the Orang Asli land located within the FMU, the rights of the community to use the surrounding forest resources for subsistence continued to be recognized by the NSSFD in the planning and implementation of forest management activities of the FMU.</p> <p>These mechanisms in the FMU's management procedures had been maintained to ensure sites of special cultural, ecological, economic or religious significance to the local Orang Asli community were being protected and their rights of access to these areas were also being provided for.</p> <p>Significant sites such as cultural areas and burial grounds were mapped and the information incorporated in the management of the FMU. Any conflict, potential or consequential arising on the management of such sites would be raised during briefings or other consultations.</p> <p>There was no record of commercial utilization of the Orang Asli's traditional forest-related knowledge and practices.</p>	<p>There were no negative findings.</p>
<p>Principle 4</p>	<p>Generally, the NSSFD had continued to give preference to the local communities living within or adjacent to the FMU opportunities for employment and contract works as had been recorded during the site visits to Compartment (Compt.) 132A of the Pasoh PRF and Compt. 59 of the Angsi PRF.</p> <p>Based on discussions held with the logging contractors and the head of work crew, it was found that the workers had continued to be briefed on safety and health from time to time, especially before the commencement of a new harvesting area.</p> <p>Being government employees, all the NSSFD's staff had continued to enjoy the full benefits of</p>	<p>During an inspection conducted at the workers' quarters in Compartment 132A of the Pasoh PRF, it was found that the first aid kit was empty. An OFI was therefore raised on indicator 4.2.3.</p> <p>It was found that the rights of the workers for the benefits and protection was not sufficient. For examples, 7 of 16 workers doing work in Compt. 59 of the Angsi PRF had no insurance coverage. In addition, it was also found that 18 workers working in Compt. 132A of the Pasoh PRF had not been provided with insurance</p>

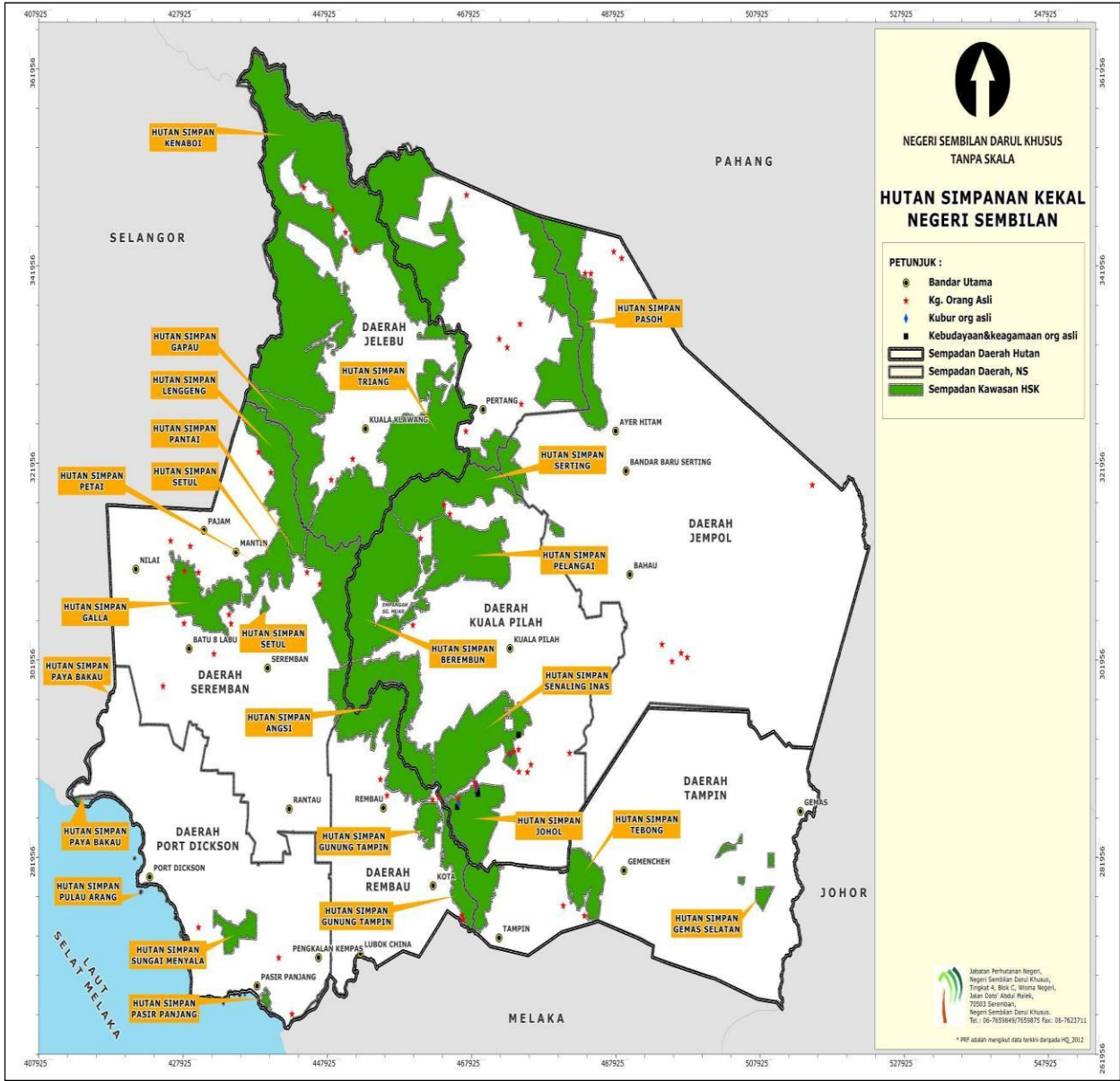
	<p>medical care, SOCSO and Employee Provident Fund. They were also fully aware of the Occupational Safety and Health Act, 1994, Employees' Social Security Act, 1969 and Workmen's Compensation Act, 1952.</p> <p>The NSSFD had continued to follow its management policy on safety and health of workers established on 15 August 2008.</p> <p>The supporting staff of the NSSFD were still being allowed to organize into union of their own choice. They were still members of the Congress of Unions of Employees in the Public and Civil Services (CUEPACS). The supporting staff (basically the uniformed field staff) had remained as members of the Kesatuan Pegawai-Pegawai Hutan Melayu Semenanjung Malaysia (KPPHMSM) or the (Union of Malay Forest Officers Peninsular Malaysia).</p> <p>The forest workers hired by the contractors were un-unionized. However, their welfare was being protected under the Employment Act 1955.</p> <p>The same mechanisms and procedures were being used to address grievances raised by workers and/or their unions and for conflict resolution using the standing procedures and the relevant laws such as (i) Employment Act, 1955, (ii) Industrial Relations Act, 1967 (Section 4 & 13), and (iii) Trade Union Act, 1959 (Act 262). It continues to be a normal practice for minor grievances and complaints being directly communicated to the respective supervisor.</p> <p>The uniformed field staff had continued to use the KPPHM to channel complaints and grievances, including suggestions to be resolved during the "Mesyuarat Bersama Jabatan" (MBJ).</p> <p>Social Impact assessments (SIAs) had been conducted prior to felling operation in harvesting areas. The recommendations made in the SIAs were incorporated into the planning and management of the felling operations.</p> <p>Appropriate mechanisms exist for use in resolving grievances and providing the local community with fair and equitable compensation if they being negatively impacted by the FMU's forestry operations.</p>	<p>coverage. An OFI was therefore raised on indicator 4.3.3.</p>
Principle 5	The NSSFD had continued to encourage the efficient use of forests multiple products and	It was found that directional felling had not been strictly followed.

	<p>services to ensure economic viability and wide range of environmental and social benefits.</p> <p>The 5-Year Development Plan Budget from year 2011 to 2015 was made available. In 2015, the total budget had increased to RM12.76 million from RM 12.26 million the previous year.</p> <p>The management of forest within the FMU was guided by the Forest Management Plan (FMP) and followed the selective management system (SMS) where trees were selectively felled based on a cutting limit determined based on the growing stock estimated through a pre-felling inventory.</p> <p>Harvesting was done following the 'Guidelines for Reduced Impact Logging (RIL) in Peninsular Malaysia'. The total annual harvesting in 2014 was 761.34 ha while that for 2015 (until September) was 526 ha. The NSSFD had continued to control felling not to exceed the AAC. Apparently, the state was not very keen on opening PRFs for logging.</p> <p>Timber was still the main product being extracted from the Negeri Sembilan FMU. There was no non-timber forest product licence being issued.</p>	<p>During inspections on active logging sites in Compt. 59 of the Angsi PRF and Compt. 22 of the Pelangai PRF, it was found that tagged trees were felled without adhering to the fixed direction that had resulted in damage to residual stand. There were also trees being felled which had crossed the boundary into adjacent block. Therefore a minor NCR SAM 1/2015 was raised on Indicator 5.3.1.</p> <p>Regular training had been conducted for the NSSFD's staff, contractors and licensees on RIL techniques. Training program in 2015 was made available. However training of forest workers would need to be enhanced. Based on interviews held with the forest workers in Compt. 59 of the Angsi PRF, it was found that they were not clear on the procedures related to directional felling. An OFI on Indicator 5.3.3 was therefore raised.</p>
<p>Principle 6</p>	<p>A listing of endemic and rare flora species especially those in the IUCN list had been included in the FMP (2006-2015). Additional list of endangered, rare, and threatened (ERT) species had been provided by research institutions and universities.</p> <p>The NSSFD had also taken initiative to protect one of the endangered species being identified i.e. <i>Vatica yeechiongii</i> in the Setul PRF by designating the site as HCVF area. The NSSFD had also taken effort to locate the site of <i>Begonia tampinica</i> with the cooperation of the Forest Research Institute Malaysia (FRIM).</p> <p>The NSSFD had continued to follow the established procedures for the protection of biological diversity as prescribed in the three volumes of Forest Manual 2003.</p> <p>Hunting and collecting activities had continued to be strictly controlled. The NSSFD had not issued any permit on hunting and fishing and had installed gates at the entrances of the main access roads to prevent encroachment.</p>	<p>During the previous surveillance audit, a minor NCR SAM 2/2014 was raised on indicator 6.1.3 as measures to mitigate the environmental impacts identified in the EIA had not been incorporated into the FMP and the mid-term review of the FMP. The FMU has indicated that these measures would be included in the revision of the FMP which was still ongoing. As such, the minor NCR SAM 2/2014 raised on Indicator 6.1.3 during the previous surveillance audit is retained.</p> <p>In order to mitigate the decrease in genetic and species diversity, log landings and skid trails of logging sites would be planted with commercial species after the completion of logging operations. However, it was found that planting had not been completely done in some of the skid trails. Only half of the skid trails had been planted. There was also no water bar being</p>

	<p>The NSSFD had continued to practise the SMS in forest management thus ensuring the availability of sufficient residual trees in the FMU for the next harvest.</p> <p>The NSSFD had also continued to maintain Virgin Jungle Reserves (VJR) amounting to 3,802 ha representing different forest types found in the FMU.</p> <p>Harvesting operations in the FMU had been conducted adhering to the 'Guidelines for RIL in Peninsular Malaysia 2003' and the 'Forest Road Guidelines 2010 (Amended 2013)' to reduce soil compaction and minimize erosion.</p> <p>Chemicals was not been widely used in forest operations except for paints and fuel. The use of approved chemicals had continued to be controlled and followed the accepted procedures.</p> <p>A total of 3,000 ha have been zoned for the establishment of Timber Latex Clone (TLC) forest plantations in the FMU. During the intervening period since the last audit, only an additional 67.5 ha of new TLC plantation had been established. To-date, a total 2,761.96 ha of TLC rubber tree plantation have been established since 2012 in the Triang, Johol and Senaling Inas PRFs.</p> <p>The FMP (2006-2015) had incorporated all the items listed from a) to i) in Criterion 7.1. The results of monitoring operation, changing environmental, social and economic circumstances had also been incorporated in the mid-term review of the FMP. A new FMP for the period 2016 -2025 was being prepared.</p> <p>The officers of the NSSFD were aware of new scientific and technical information. In addition reports on research projects conducted by local and international scientists in the Pasoh PRF managed by the FRIM were made available to the NSSFD.</p> <p>The public summary of the FMP (2011-2015) was made available during the audit and could be accessed at the NSSFD home page.</p>	<p>constructed in the skid trails to prevent soil erosion. An OFI was raised on Indicator 6.3.1.</p> <p>The logging sites in Compt. 59 of the Angsi PRF and Compt. 98 of the Triang PRF were generally hilly and with steep terrain. Many of the main access roads were constructed using old roads to reduce wastage. It was found that some of the roads were steep and had exceeded the maximum slope allowed under the guidelines on roads and skid trails. There were also insufficient cross drains and side ditches to reduce soil erosion. Gullies were seen forming in the side drains. Some of the culverts were found to be too small and as a result had been clogged with soil. A minor NCR SAM 3/2015 was raised under Indicator 6.5.1.</p> <p>During the inspection of an active logging sites in Compt. 59 of the Angsi PRF, it was found that the alignment of some of the skid trails had not followed the harvesting plan. One of the access roads had been wrongly constructed and was asked to be closed down by the NSSFD but was found to be used to skid logs. It was also found that the slope of some of skid trails and access road in this compartment and the closed area in Compt. 98 of the Triang PRF had exceeded the (>20⁰) the allowable limit. A Minor NCR SAM 2/2015 was raised on Indicator 6.5.3.</p>
Principle 7	<p>The FMP (2006-2015) had incorporated all the items listed from a) to i) in Criterion 7.1. The results of monitoring operation, changing environmental, social and economic circumstances had been incorporated in the</p>	<p>There were no negative findings.</p>

	<p>midterm review of the FMP. A new FMP for the period 2016 -2025 was being prepared.</p> <p>The officers of the NSSFD had generally been aware of new scientific and technical information. In addition research projects and reports conducted by local and international scientists in the Pasoh PRF managed by the FRIM was available to the NSSFD.</p> <p>The public summary of the FMP (2011-2015) was made available during the audit and could be accessed at the NSSFD home page.</p>	
Principle 8	<p>The NSSFD had continued to apply the procedures to monitor ecological, environmental and economic impacts through the use of monitoring Forms A (Infrastructure), B (Forest Harvesting), C (Environment and Protection) and D (Timber Output) as required in the Director General's circulars before, during and after forest harvesting operations.</p> <p>Growth plots which had been established in the FMU were enumerated on a regular basis by the staff from the Forestry Department Headquarters Peninsular Malaysia. The results of monitoring had been incorporated into the revised FMP.</p> <p>The movement of certified logs from the FMU had been monitored through the issuance of the Removal Pass (RP).</p> <p>The NSSFD had continued to incorporate the results from monitoring activities on HCVF and scientific research into the new FMP (2016-2025).</p>	<p>During an inspection of record at the mobile checking station in Compt. 59 of the Angsi PRF, it was found that the information stated in a number of RPs (MLK 014612, MLK 014613) did not tally with Tree Tagging Record Book. Therefore a minor NCR LYD-01/2015 was raised on indicator 8.3.1.</p>
Principle 9	<p>The NSSFD had continued to determine the presence of HCVF attributes in the FMU with the cooperation of the relevant research institutions and government agencies as in the determination of HCVF of Resak (<i>vatica yeechongii</i>) trees which are endemic in the Setul PRF and Lowland Dipterocarp Forest at the Sungai Menyala PRF.</p> <p>The NSSFD had continued to conduct annual monitoring to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.</p>	<p>There were no negative findings.</p>

Map of Negeri Sembilan FMU



Experiences and Qualifications of Audit Team Members

Assessment Team	Role/Area of MC&I Requirement	Qualifications and Experiences
Khairul Najwan Ahmad Jahari	Lead Auditor	<p>Academic Qualifications: B. Sc Forestry (Forest Management), Universiti Putra Malaysia (UPM).</p> <p>Work Experiences:</p> <ul style="list-style-type: none"> • 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 as well as quarterly physical and financial reports. • Coordinate and participate in field works, multi-level meetings, seminars, conferences and workshops. • Spent some time in other existing FRIM projects (inter divisional) as an organizing committee member, division level activities and projects • Currently as Auditor at the Food, Agriculture and Forestry Section (FAF), SIRIM QAS International, since 2009. Involved in conducting assessments on forest management certification (MC&I and FSC P&C), MYNI of RSPO P&C and other management system on ISO 9001, 14001 and OHSAS 1800 <p>Training/Research Areas: Attended and passed in the following training programmes:</p> <ul style="list-style-type: none"> • Auditor Training Course on Malaysian Criteria and Indicators for Forest Management Certification [MC&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.
Dr, Samsudin Musa	Auditor	<p>Dr. Samsudin bin Musa is a Senior Research Officer at the Forest Research Institute of Malaysia (FRIM) since 1997. He graduated in 1984 with a B Sc. Forestry from the University Putra Malaysia and has completed his PhD studies in Universiti Kebangsaan Malaysia (UKM) in 2011. From 1993 to 1997 he was the Forest Inventory Officer at the Forestry Department Headquarters, Peninsular Malaysia. Prior to that, he was the Head of Inventory Unit of the ASEAN Institute of Forest Management in Kuala Lumpur from 1987 to</p>

		<p>1993. His area of expertise include silviculture, climate change and forest certification.</p> <p>He was involved in the following forest management/chain-of-custody certification training programmes:</p> <ul style="list-style-type: none"> • Resource Person - Workshop on Forest Management Certification, FRIM, Kepong. (12-13 December 1996); • Resource Person - XXI IUFRO Pre-Congress Workshop on Sustainable forest management and Criteria & Indicators, FRIM, Kepong, Malaysia (1-4 August, 2000); • Resource Person - Workshop on Methodologies for Assessing Forest Biodiversity and Estimating its Recovery. Kuala Lumpur, Malaysia (30-31 October, 2001); • Training in Forest Management Certification by Scientific Certification System, SIRIM QAS International Sdn Bhd, February 2000, Shah Alam, Selangor; • Quality Assurance Auditor/Lead Auditor Training Course and Examination, 25-29 March 2003, Moody International Certification., FRIM, Kepong, Selangor; • Forest Management Certification Procedures, SIRIM QAS International Sdn Bhd, 19 February 2009, Shah Alam, Selangor; • ISO 14001:2004 EMS Lead Auditor Training Course under SIRIM Training Services Sdn Bhd, 2-6 March 2009; and • Auditor Training Course on MC&I 2002, 30 March – 2 April 2002 by Malaysian Timber Certification Council (MTCC), Kuala Lipis, Pahang <p>His auditing experiences include the following:</p> <ul style="list-style-type: none"> • Lead Auditor in Field Tests of MC&I (2002) conducted by SIRIM QAS International for the Malaysian Timber Certification Council (MTCC) on 9-13 April 2007 in Sarawak; • Member of the Team under MTCC/SGS(M) Sdn. Bhd. (Local (Local expert/Auditor) for the testing of the Malaysian Criteria and Indicators for Forest Management Certification (MC&I) in the State of Johor, Malaysia, 14-18 August 2001; • FRIM Internal Auditor for ISO 9002; • Observer in the Assessment for forest management certification of the Perak Integrated Timber Complex by SIRIM QAS International based on FSC principles in collaboration with the Scientific Certification Services (SCS) on 8-11 October 2001; • Local Expert - GTZ-FD Project on the Development of Internal Assessment Procedures for Forest Certification. 1999; • Consultancy Project Leader - GTZ-FD Project on the
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		<p>Development of Internal Assessment Procedures for Sustainable Forest Management using new MC&I. 2000/2001;</p> <ul style="list-style-type: none"> • Auditor for forest management certification on the Kelantan FMU conducted by SIRM QAS International against the MC&I under the MTCS in 2004 • Auditor for forest management certification on the Kedah FMU conducted by SIRIM QAS International against the MC&I (2002), 5-9 March 2006 • Auditor for forest management certification on the Perak FMU conducted by SIRIM QAS International against the MC&I (2002), 10-15 September 2006 • Auditor for forest management certification on the Negeri Sembilan FMU conducted by SIRIM QAS International against the MC&I (2002)
<p>Prof. Mohd Basri Hamzah</p>	<p>Auditor</p>	<p>Academic Qualifications: M.Sc. (Australian National University), B.Sc. (Forestry) (Australian National University), B.Sc. (Botany) (University of Western Australia)</p> <p>Work Experiences: 2008 - Present: Director, Tiara Nusa Sdn Bhd (No.807309-P) 2012 - Present: Consultancy Associate, INTROP (Institute of Tropical Forestry and Forest Products), UPM 2008-2011: Consultancy Fellow, INTROP, UPM 2005-2008: Professorial Researcher 2001-2004: Consultant, International Tropical Timber Organisation (ITTO) 1984-2001: Associate Professor, Faculty of Forestry, UPM 1985–1986: Deputy Dean, Faculty of Forestry, UPM 1983–1984: Head, Department of Forest Production, UPM 1981–1982: Course Co-ordinator UPM (Sarawak Campus) 1979-1982. FDPM (Forestry Department Peninsular Malaysia): 1976-1983: Lecturer, Faculty of Forestry, UPM 1973-1976: Tutor, Faculty of Forestry, UPM</p> <p>Training/Research Areas: Main research area: Regeneration and rehabilitation problems of Malaysian Rainforest; with emphasis on Hill Dipterocarp Forests: Refinements of the Selective Management System: Forest Plantation Establishment</p> <p>Specialisation: Silviculture, Forest Ecology, Agroforestry Latest research: Mapping and Assessment of Present and Future Potential Carbon Storage in Malaysian Forest: Soil Carbon, Woody Debris and Vegetation. RUGs, UPM, 2009-2011</p>

		<p>Other Academic/University Experiences:</p> <ul style="list-style-type: none"> • Faculty Research supervision of postgraduate and undergraduate students, up to 2001; • Chairman, Faculty Curriculum Committee, 1985; • Head, Faculty Research Thrust in Hill Dipterocarp Forest, 1983-88; • Chairman, Faculty Student Affairs Committee, 1984-85. • UPM Panel Chairman/Member for Postgraduate Theses Examination & Viva up to 2001 • Chairman, UPM Diploma Curriculum Revision Committee, 1985; • Member, UPM Curriculum Comm. 1984-85; • College Master (Bangi College), 1984-85.
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Comments by Stakeholders and Responses by Audit Team

No.	Stakeholder	Comments/Issues Raised	Response by Audit Team
1	<p>Prof Dr. Mohamed Zakaria Hussin</p> <p>Dekan Fakulti Perhutanan Universiti Putra Malaysia 43400 UPM Serdang, Selangor</p>	<p>Perlindungan Alam Sekitar:</p> <p>1.1 Isu perlindungan alam Sekitar adalah penting dalam memastikan keberkesanan fungsi hutan didalam melindungi alam sekitar. Penekanan terhadap isu ini semasa proses persijilan dijalankan perlu dititik beratkan. Aspek yang perlu dinilai bukan sahaja tertumpu kepada aktiviti aktiviti yang dirancang untuk pelaksanaan didalam Pelan Pengurusan Hutan, tetapi juga aspek “proactiveness” Jabatan Perhutanan Negeri yang ditugaskan sebagai “custodian” didalam mengurus kawasan hutan secara berkesan sebagai warisan generasi akan datang. Ini perlu diberi perhatian yang serius kerana peranan serta fungsi hutan yang belum diterokai tetapi perlu dipelihara kerana berpotensi untuk pelaksanaan “payment for ecosystem services” (PES) yang mana isu ini mendapat perhatian kerajaan pusat dan diberi perhatian yang khusus didalam pelaksanaan Rancangan Malaysia ke-11 (2016-2020) yang akan dilaksanakan ini perlu mengambil kira persediaan Jabatan Perhutanan peringkat negeri kearah perlindungan alam sekitar yang ada kaitan rapat dengan rancangan pelaksanaan PES</p> <p><u>Translation:</u> <i>The issue on the protection of the environment is important to enable the forest to effectively play its functional role to protect the environment. This issue should become the focus during the conduct of a certification process. The audit must not just evaluate on the planned activities which have been outlined in the Forest Management Plan (FMP) but should cover on the pro-activeness of the State Forestry Department as the custodian to effectively manage the forest resources as heritage for the future generations. This should be given serious attention as undisturbed forests should be preserved to enable them to play their potential role and function in the ‘payment of ecosystem service’ (PES)</i></p>	<p>The enforcement unit of the FMU had presented to the audit team a schedule for monitoring activities on all the licenced areas on a monthly basis. The FMU also has identified 16 hotspot areas which are highly potential for illegal encroachment. Monthly inspection has been conducted by the Operations and Enforcement Unit. The latest inspection was conducted on 29 August 2015.</p> <p>NSSFD has taken effort to control all the logging operation. In addition, SIRIM QAS Int. as CB will verify all the action taken by the NSSFD to ensure compliance with the MC&I (Natural Forest) certification. However, audit findings related to road construction have been raised to ensure continual improvement with regard to road construction and maintenance. During this audit, NCR Indicator 6.5.1 (to protect the soil from compaction and erosion during harvesting) and NCR Indicator 6.5.3 (Road layout and construction) were raised</p> <p>NSSFD has taken action to gazette new PRF, which are Gemas Selatan FR, Kenaboi FR and Paya Bakau FR totalling 1,148.77 ha.</p>

		<p><i>which has become the attention of the central government under the 11th Malaysian Plan (2016-2020). Therefore in the implementation of forest certification, consideration should be given on the preparedness of the State Governments to protect the environment which is closely related to the implementation of 'PES'.</i></p> <p>1.2 Selain dari itu sebagai stakeholder kami juga memandang serius terhadap peningkatan didalam usaha mengatasi kerosakan semasa kerja kerja pembalakkan dijalankan. Kerosakan akibat pembinaan jalan balak perlu diatasi. Perkara ini adalah merupakan "re-current issues" dan perlu ditangani secara berkesan oleh jabatan. Kerja kerja rawatan pemulihan hutan selepas pembalakkan tidak akan dapat dilaksanakan dengan sempurna sekiranya jalan tidak dibina serta diselenggara secara baik. Isu jalan sentiasa menjadi isu utama dimana jabatan sering mendapat teguran semasa proses persijilan dijalankan dan dijangkakan penambahbaikkkan telah 19ensiti dibuat oleh jabatan melalui teguran yang diterima dari pasukan auditing dimasa lepas. Isu mengenai jalan tidak sepatutnya timbul lagi dimasa auditing akan 19ensit.</p> <p><u>Translation:</u> <i>Meanwhile, as one of the stakeholders, we seriously look towards increased effort to prevent damages during the conduct of logging activities. Damages caused by the construction of forest roads must be prevented. This subject has become 're-current issues' which should be effectively solved by the respective State Forestry Departments. Activities on forest rehabilitation cannot be undertaken successfully without proper construction and maintenance of forest roads. The construction of forest road has always become a major issued being raised during the conduct of a certification audit and it is expected that the state should have made an improvement so that forest road would no longer become an issue in future audits.</i></p> <p>2. Pemuliharaan Kepelbagaian biologi</p>	<p>The audit had found that NSSFD has made efforts to comply with all the requirements in the standard. Nevertheless, NCRs have been raised on the inadequacy in implementation. Refer OFI Indicator 6.3.1 (supplement on natural regeneration), and NCR Indicator 5.3.1 (directional felling to minimize damage to residual stand)</p>
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		<p>2.1 Dijangkakan peningkatan telah dibuat oleh Jabatan untuk menjaga kepelbagaian biologi melalui pengalaman serta teguran yang telah dibuat semasa proses persijilan yang lepas. Pemuliharaan kepelbagaian biologi tidak seharusnya terhad kepada kawasan tanah tinggi yang 20ensitive, kawasan tadahan air, kawasan perlindungan hidupan liar, tetapi juga didalam kawasan hutan yang diistiharkan sebagai kawasan pengusahaan kayu balak (productive forest). Proses persijilan kali ini harus menumpukan kepada usaha usaha penambahbaikan pemuliharaan kepelbagaian biologi dalam kawasan hutan produktif.</p> <p><i>Translation:</i> <i>Biodiversity Conservation</i> <i>It is expected that the State Forest Department should have intensified efforts to safeguard on biodiversity based on the experiences and comments received during the previous certification audits. Biodiversity conservation shall not be limited to the fragile highland, water catchments and wildlife reserves but shall include the productive forest areas. Current certification should focus on efforts being undertaken to improve on biodiversity conservation of the productive forest areas.</i></p> <p>2.2 Usaha juga perlu dibuat untuk menilai pemuliharaan species pokok yang dianggap terancam oleh kerja kerja pembalakkan disebabkan oleh “low density” species tersebut didalam kawasan compartment yang dibalak. Usaha memelihara pokok ibu yang sedang dilaksanakan adalah usaha yang sangat positif dan pemuliharaan pokok yang terancam disebabkan “low density” adalah penambahbaikan yang dialu alukan dari pihak Jabatan Perhutanan Negeri. Mungkin telah banyak species yang dikategorikan sebagai “low density” telah pupus disebabkan oleh ketidak prihatinan semasa membuat persediaan sebelum tebang dijalankan. Kekurangan maklumat serta kepakaran tidak boleh dijadikan alasan untuk meneruskan amalan pengurusan yang kurang sihat sehingga lebih banyak spesies hutan yang akan mengalami kepupusan dimasa hadapan. Proses</p>	
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		<p>persijilan adalah merupakan asas atau tapak yang sangat baik untuk membuat teguran supaya penambahbaikan terhadap amalan pengurusan dapat dilaksanakan.</p> <p><i>Translation:</i> <i>Effort should be undertaken to evaluate on the conservation of species which are considered as being threatened by logging activities due to their 'low density' in a logging compartment. The protection of mother trees being undertaken currently is a very positive effort and the conservation of threatened 'low density' tree species would be another most welcomed improvement by the State Forestry Department. Probably, there were many species categorised as low density had gone extinct due to the lack of attention on them during preparation work before commencing logging operations. The lack of information and expertise on these species cannot be the reasons why we should continue to managing them badly and risk many of them becoming extinct in the future. The process of certification is the best platform or starting point to suggest the implementation of improved management practices.</i></p>	
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Recertification Audit Plan

DAY	TIME	PROGRAM		
		AUDITOR 2	AUDITOR 1	AUDITOR 3
Day 0		Briefing by Audit Team Leader on the recertification audit plan		
Day 1	9.30 am – 1.00 pm	<ul style="list-style-type: none"> Travel from Kuala Lumpur to Seremban Opening Meeting with representatives of FMU Briefing session by Forest Manager of the FMU on progress of forest activities Q&A Session Evaluation of changes to the management of the FMU Check on progress of planned activities aimed at enhancing the operation system to achieve improvement in overall performance Check on complaints, stakeholder comments and follow-up actions <ul style="list-style-type: none"> Orang Asli Government agencies NGOs Check on verification for closing NCRs raised during the previous audit Evaluate on procedures for internal audit Evaluate on management review system 		
	2.00 pm – 5.30 pm	Documentation and records review <ul style="list-style-type: none"> Principle 1 – Compliance with Laws and Principles Principle 2 – Tenure and Use Rights and Responsibilities Principle 3 – Indigenous Peoples' Right 	Documentation and records review <ul style="list-style-type: none"> Principle 4 - Community Relations and Worker's Right Principle 8 – Monitoring and Assessment Principle 9 – Maintenance of High Conservation Value Forests 	Documentation and records review <ul style="list-style-type: none"> Principle 5 – Benefits from the forest Principle 6 – Environmental Impact Principle 7 – Management Plan
		<ul style="list-style-type: none"> Review of Day 1 Findings by Audit Team Leader 		
Day 2	8.30 am – 5.30 pm	Site visit <ul style="list-style-type: none"> Tree tagging and active area at Compt 59, Angsi FR Boundaries inspection at Angsi FR Interview with forest workers 	Site visit <ul style="list-style-type: none"> Active area at Compt 22, Pelangai FR Pre-F area at Compt 30 Pelangai FR Interview with contractors 	Site visit & consultations <ul style="list-style-type: none"> Kg Beting Kg Air Lerek

		<ul style="list-style-type: none"> • HCVF Setul FR • Chemical handling at Mantin Nursery 	<ul style="list-style-type: none"> • Workers camp • Forest boundaries • Forest Checking Station 	
		<ul style="list-style-type: none"> • Briefing to representatives of FMU on the progress of audit • Review of Day 2 Findings by Audit Team Leader 		
Day 3	7.30 am – 5.30 pm	<p>Site visit</p> <ul style="list-style-type: none"> • Closed area at Compt 98, Triang FR • Boundaries inspection at Triang FR • Interview with forest workers 	<p>Site visit</p> <ul style="list-style-type: none"> • Tree tagging and active area at Compt 132A, Pasoh FR • Boundaries inspection at Pasoh FR • Checking Station Pasoh • Interview with forest workers • Chemical handling at Serting Ulu Nursery 	<p>Site visit</p> <ul style="list-style-type: none"> • HCVF Sg Menyala • VJR Pasir Panjang
Day 4	7.30 am – 5.30 pm	<p>Site Visit</p> <p>Compt 58,59 Triang FR (TLC)</p>	<p>Stakeholder consultations</p> <p>Wildlife Department (PERHILITAN)</p> <p>Department of Environmental (JAS)</p> <p>Kesatuan KPPHM Malaysia Barat</p>	
Day 5	<p>8.30 am – 1.00 pm</p> <p>2.00pm-4.00 pm</p> <p>4.30pm</p>	<p>Documentation and records review</p> <p>Preparation of audit report and finding</p> <p>Briefing to representatives of FMU on the progress of audit</p> <p>Closing Meeting and presentation of findings of audit and discussion on follow-up activities</p> <p>Adjourn Closing Meeting</p>		

**Peer Reviewers' Evaluation of Audit Report
Peer Reviewer 1 – Dr Woon Weng Chuen**

No	Item	Comments	Auditor's Response
1.	Comprehensiveness and quality of reporting	The Report was comprehensive and of acceptable quality.	Noted.
2.	Has the audit been conducted objectively and professionally?	In my opinion, the audit has been conducted objectively and professionally.	Noted.
3.	Has each Principles and Criterion been adequately addressed? Please include comments on each principles and Criterion	Overall, all the Principles and Criterion have been adequately addressed.	Noted.
4.	Are the conclusions of the findings appropriate?	The conclusions of the findings were appropriate.	Noted.
5.	Agreement/Disagreement with the NCRs raised by the Audit Team	I am in agreement with all the NCRs raised by the Audit Team, except for Indicator 6.5.3 where the auditor has raised a minor NCR. I have some reservation with regards to the effort of the NSFD taken to ensure that contractors follow the specifications of the forest road construction and skid trails. They could have taken more action as the areas are known to be hilly and consist of steep terrain. Regular monitoring and stricter enforcement by NSFD would certainly improve compliance with the Forest Road construction.	Agreed with the peer review comments. The effectiveness of the actions taken (including all said by the peer reviewer) would be verified during the next surveillance audit
6.	Are the recommendations by the audit team appropriate?	In my opinion, the recommendation for recertification was appropriate. So were the 4 + 1 minor NCRs raised.	Noted.
7.	Areas where additional information is required	Would be stronger if the Auditor could include proof of evidence especially pertaining to action taken	Agreed with the peer reviewer's comment.

		against errant logging contractors (fines, letter of warning etc.)	
8.	Others	I noticed the short duration given to the auditors to do the audit (26-30 Oct 2015) and prepare the recertification evaluation report (30 Nov 2015). The expiration date of the current certification period was 28 Dec 2015. This could be due to the NSFD needing more time to prepare for the recertification audit but this should have been factored in much earlier as the expiration date is known all along. Hopefully, auditees could better prepare themselves for the recertification earlier to ensure a proper and more meaningful recertification process could be carried out.	Noted.

Indicator	Detail Non-conformances	Corrective Action Taken	Verification by Assessor	Peer Reviewer's Comments	Auditor's Response
<p>Indicator 8.3.1</p> <p>Minor NCR # : LYD -01/2015</p>	<p>Forest managers shall provide relevant documents for identifying all forest products leaving the area to be certified so that their origin could be easily determined.</p> <p>Identification of forest products leaving the area did not tally with tagging record</p> <p>During an inspection of records at the mobile checking station in Compt. 59 of the Angsi PRF, it was found that the information stated in a number of RPs (MLK 014612, MLK 014613) did not tally with the Tree Tagging Record Book.</p>	<p>Show course letter has been issued to the person in charge of the forest checking station. The person in charge had also been transferred immediately and replaced by a new personnel. (Refer a letter ref. PHD.NS.B.1/ 5 Klt.1 (94) dated 6 Nov 2015.</p> <p>The NSSFD would conduct a training on checking station and revise the SOP to improve the checking system being implemented at the Forest Checking Station.</p>	<p>The audit team leader had reviewed and accepted the corrective actions taken by the NSSFD.</p> <p>The effectiveness of the corrective actions taken would be verified during next audit</p>	<p>In agreement with the Auditor for raising a Minor NCR. The NSSFD's prompt action to replace the personnel at the checking station should be lauded and show its commitment to the certification process. Clearly, there is a case on the need to conduct regular monitoring at all checking stations to ensure that proper records are being kept there.</p> <p>Revising the SOP is a step in the right direction but it must also include regular monitoring at the checking stations.</p> <p>Training of personnel on proper record keeping must also be conducted.</p>	<p>Noted.</p>

<p>Indicator 5.3.1</p> <p>Minor NCR # : SAM 01/2015</p>	<p>Implementation of guidelines for reduced/low impact logging to minimize damage to residual stand.</p> <p>Directional felling to minimize damage to residual stand was not fully adhered.</p> <p>On the inspection of active logging sites in Compt. 59 of the Angsi PRF and Compt. 22 of the Pelangai PRF, it was found that directional felling had not been fully adhered. Tagged trees felled without adhering to the fixed direction has resulted in damage to residual stand. Trees were also found to be felled across the boundary to adjacent block.</p>	<p>Training on directional felling would be conducted to refresh the tree fellers including the NSSFD's staff and forest ranger in 2016.</p>	<p>The audit team leader had reviewed and accepted the corrective actions taken by the NSSFD.</p> <p>The effectiveness of the corrective actions taken would be verified during next audit.</p>	<p>In agreement with the Minor NCR raised.</p> <p>The remarks that directional felling was not fully adhered to, due to safety reason and the unsafe site condition at the time of logging operation indicates 2 possible scenario:</p> <p>Firstly, the direction of felling is clearly marked and if it is not safe due to slope condition this indicates the personnel is not properly trained in Directional Felling. He/she should have taken safety factor into consideration when determining the direction of felling, not only in terms of minimizing damages to surrounding trees but also the safety aspects of workers. Also there should have been regular site inspection during and after logging activities.</p> <p>Secondly, if condition at site was not safe for directional logging, it should not have been carried out on that day.</p>	<p>Noted.</p>
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<p>Indicator 6.5.3</p> <p>Minor NCR # SAM - 02/2015</p>	<p>Availability and implementation of guidelines for forest road lay-out and construction, including log landings and drainage requirement.</p> <p>The construction of access roads and skid trails did not adhere to the guideline "Guidelines for Forest Road 2010 (Amended 2013).</p> <p>During the inspection of active logging sites in Compt. 59 of the Angsi PRF, it was found that the alignment of some of the skid trails did not follow the harvesting plan. One of the access roads was wrongly constructed and was asked by the Forestry Department to close. However it was found to be used to skid logs. It was also found that the slope of some of the skid trails and access roads in this Compartment and closed area in Compartment 98 of the Triang PRF had exceeded (>20o) the allowable limit.</p>	<p>The NSSFD would conduct briefing to all logging contractors on road construction and specifications.</p> <p>The NSSFD would conduct courses on RIL in 2016.</p> <p>The NSSFD has directed their officers to conduct monitoring on the forest more effectively.</p>	<p>The audit team had reviewed and accepted the corrective actions taken by the NSSFD.</p> <p>The effectiveness of the corrective actions taken would be verified during the next audit</p>	<p>Agreed with the Minor NCR raised but with some reservation.</p> <p>The Auditor pointed out that the areas are generally hilly and of steep terrain. As such, the NSFD should have paid more attention to these areas by having more frequent monitoring during the harvesting operation.</p> <p>There was no indication of a fine or warning (no evidence cited by Auditor) letter issued by the NSFD to the contractor. The alignment of some of the skid trails did not follow the harvesting plan and one access road wrongly constructed.</p> <p>Certainly requires a lot of effort on the NSFD to ensure that the skid trails and access road alignment adheres to the harvesting plan specifications.</p>	<p>Agreed with the peer reviewer's comments. The effectiveness of the corrective actions taken as said by the peer reviewer would be verified during the next surveillance audit</p>
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<p>Indicator 6.5.1</p> <p>Minor NCR #: SAM 03/2015</p>	<p>Availability and implementation of harvesting procedures to protect the soil from compaction by harvesting machinery and erosion during harvesting operations.</p> <p>The implementation of harvesting procedures to protect the soil from compaction by harvesting machinery and erosion during harvesting operations did not fully adhere to the requirements of Guidelines for Forest Road 2010 (amended 2013).</p> <p>In the inspection of one of the active logging site in Compt. 59 of the Angsi PRF, it was found that the side drains were not properly maintained resulting in the formation of gullies. The site which was relatively steep also did not have adequate cross drains and side ditches to minimize soil erosion. Culverts used in the construction of cross drains were too small resulting in them being clogged up with soil.</p>	<p>Contractor was instructed to repair the roads following the specifications in the 'Guidelines for Forest Road 2010 (amended 2013)'. NSSFDF would conduct briefing to all contractor on road construction and specifications. NSSFDF would conduct training on RIL and Guidelines for Forest Road 2010 (amended 2013) in 2016. The NSSFDF has directed their officers to conduct monitoring on the forest more effectively</p>	<p>The audit team leader had reviewed and accepted the corrective actions taken by the NSSFDF. The effectiveness of the corrective actions taken would be verified during the next audit</p>	<p>In agreement with the Minor NCR raised. This is closely related to Minor NCR on Indicator 6.5.3. Auditor need to cite evidence such as circulars, letters, fines etc. issued by NSFD to address those issues raised. This is important as they represent proof of actions taken. The consistent inability of the contractors to meet all of the specifications for Forest Road 2010 Guidelines especially in the Triang PRF and Angsi PRF should raise the red flag that these two areas needed more monitoring and enforcement. The fact that these areas encompasses steep terrain, requires more care to prevent soil compaction and soil erosion.</p>	<p>Agreed with the peer reviewer's comments. The effectiveness of the actions taken as said by the peer reviewer would be verified during the next surveillance audit</p> <p style="text-align: right;">Page 29 of 44</p>
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<p>Indicator 4.2.3 OFI</p>	<p>Appropriate safety and operational equipment in good working condition, including operational procedures, shall be made available to forest workers in the work place.</p> <p>During an inspection conducted at the workers' quarters in Compt. 132A of the Pasoh PRF, it was found that the first aid kit was empty.</p>	<p>-</p>	<p>Auditor would verify the OFI during the next audit.</p>	<p>In agreement with the OFI raised.</p> <p>This is a very simple requirement yet important in emergencies. Workers' safety at work place should not be taken for granted.</p>	<p>Noted.</p>
<p>Indicator 4 .3.3 OFI</p>	<p>The right of workers to benefits and protection is assured under applicable laws and/or regulations.</p> <p>It was found that the right of workers for the benefits and protection had not been sufficient. For examples, 7 of 16 workers doing work in Compt. 59 of the Angsi PRF had no insurance coverage. In addition, it was also found that 18 workers working in Compt. 132A of the Pasoh PRF had not been provided with insurance coverage.</p>	<p>-</p>	<p>Auditor would verify the OFI during the next audit</p>	<p>In agreement for the OFI raised.</p> <p>NSSFD must ensure that the contractors are reminded to provide adequate insurance coverage for all their workers in the terms and conditions of the timber harvesting agreements.</p>	<p>Noted.</p>

<p>Indicator 5 .3.3 OFI</p>	<p>Regular training shall be conducted for the staff on techniques of reduced - impact logging.</p> <p>Regular training had been conducted for the NSSFD's staff, contractors and licensees on RIL techniques. However, training of forest workers would need to be enhanced. Based on interviews held with the forest workers in Compt. 59 of the Angsi PRF, it was found that they were not clear on the procedures related to directional felling.</p>		<p>Auditor would verify the OFI during the next audit</p>	<p>In agreement with OFI raised.</p> <p>This is also related to the Minor NCR raised for Indicator 5.3.1., 6.5.1, and 6.5.3.</p> <p>The course should not only be conducted for the logging workers but also the staff of the forestry department especially pertaining to the proper drawing up of harvesting plan and enforcement procedures.</p>	<p>Noted.</p>
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**Peer Reviewers' Evaluation of Audit Report
Peer Reviewer 2 – Dr. Nur Supardi bin Md. Noor**

No	Item	Comments	Auditor's Response
1.	Comprehensiveness and quality of reporting	The report covers all the 9 principles and focuses on the indicators. The quality is generally good.	Noted.
2.	Has the audit been conducted objectively and professionally?	The assessors are very professional in auditing and verifying, and gave sufficient evidence to support their judgement.	Noted.
3.	Has each Principles and Criterion been adequately addressed? Please include comments on each principles and Criterion	All the principles and criteria were adequately considered and commented. Comments on the principles and criterion are deliberated in the peer review report.	Noted.
4.	Are the conclusions of the findings appropriate?	Yes, appropriate.	Noted.
5.	Agreement/Disagreement with the NCRs raised by the Audit Team	Yes, I agree with all the NCRs raised.	Noted.
6.	Are the recommendations by the audit team appropriate?	Not many recommendations were given by the Audit Team except those related to non-conformities and opportunities for improvement.	Noted.
7.	Areas where additional information is required	Detailed but non-lengthy information should be given on the seven (7) permanent forest reserves subjected to the assessments. Some pre-and post-logging information such as the area demarcated for forest harvesting, the number of trees felled, the timber volume extracted, and residual stands would be useful to visualize the effectiveness of the management regime used. Assessment report should also come with the operational site map of problematic area in particular that for Compartment 59 of Angsi PRF.	To be improved during the next surveillance audit.
8.	Others	None	-

Comments On Each Principles

A. BACKGROUND

The Recertification Audit (RA) Report on Negeri Sembilan Forest Management Unit (Cert. No: FMC 002) by the SIRIM QAS International Sdn. Bhd., with audit dated 26th till 30th October, 2015 was peer reviewed in late December 2013.

As indicated in the RA Report, the audit was conducted for the recertification of Negeri Sembilan Forest Management Unit (here known as NSSFD; an area of 155,825 hectares) for Management of Natural Forest

within the Permanent Reserved Forest (PRF). The audit exercise is the requirement of the certification standard namely Malaysian Criteria and Indicators for Forest Management Certification or MC&I (Natural Forest) enforced as of 1st July 2012.

The inspected RA Report includes the followings:

- Appendix 1: Map of Negeri Sembilan FMU
- Appendix 2: Recertification Audit Plan
- Appendix 3: Recertification Audit Findings (2015) and Corrective Action Taken (4 Minor NCRs; 4 OFIs)
- Appendix 4: Verification on 2nd Surveillance (2014) Audit Findings and Action Taken (2 Minor NCRs; 5 OFIs)
- Appendix 5: Comments by Stakeholders and Responses from Audit Team
- Appendix 6: Details of auditors and their qualification

During the auditing, documents, records and observation during interviews were referred to before comments and decisions made and reported by the Auditing Team. Among others these include applicable/relevant federal, state or local laws, policies and regulations stipulated in the MC&I (Natural Forest) fundamental for FMU management; inspection reports by *Unit Operasi dan Penguatkuasaan*; evidences of control measures of signage, boundaries demarcation; violation of local and national laws as recorded by NSSFD office in *Buku Rekod Bayaran Denda Kesalahan Hutan*; statements of payment for fees, royalties, taxes, and other charges in *Penyata Kutipan Hasil Pejabat Hutan Negeri*; interviews of staff of the NSSFD, logging contractors and workers at offices, permanent forest reserves (PFRs), forest camps; log yards; mobile forest checking station, forest nurseries etc; and communications with others including the Orang Asli communities residing close to the PFRs.

In carrying out the peer review report, the document entitled Malaysian Criteria and Indicators for Forest Management Certification (Natural Forest) (<http://www.mtcc.com.my/wp-content/uploads/2013/01/18.pdf>) was examined in parallel with the RA Report. The Malaysian Criteria and Indicators for Forest Management Certification [MC&I(2002)] was also referred. The peer reviewer also browsed the official website of NSSFD (http://www.Negeri_Sembilan_forestry.gov.my/index.php?lang=en) and some of the readily available documents used and mentioned in RA Report.

No pictorial exhibit (other than the map) was made available for observation and comment. Comments were given based on the documents provided, what could be retrieved and what is known to the peer review as part of his professional knowledge and fields of interest.

This report evaluates all of the above and the minor non-conformities report (NCR) and opportunities of improvement (OFI) that were raised against requirements of MC&I (Natural Forest).

TERMS OF REFERENCE

The terms of reference of the peer review, as provided by the SIRIM QAS International Sdn. Bhd. are as follows:

- i. State whether the reviewer agree or disagree with the certification recommendation of the Assessors (here called Audit Team)
- ii. Indicate which findings, including all major and minor Non-Conformity Report (NCRs) and recommendations the reviewer agree with, and why;
- iii. Indicate areas where the reviewer feels more information is necessary; and
- iv. Suggest action(s) that should be taken, or issues that should be considered, but have not been addressed in the Recertification Audit Report.

These terms are captured in the comments made for the report in general, the five (5) minor non-conformities report (NCRs), and four (4) opportunities for improvement (OFIs) against requirements of MC&I (Natural Forest). The NCR includes the re-issued one minor from previous 2nd Surveillance Audit that was held on 2nd till 4th September, 2014.

COMMENTS

1. **Criteria under Principle 1: Compliance with Laws and Principles**

NSSFD keeps and ensures that the forest managers are aware and knowledgeable of all up-to-date applicable laws, regulations, policies, binding agreements, prescribed charges, and keep records of the violations, action

taken and payment made. No conflict was documented or has been identified between the standards and any of the regulatory principles.

Under the provisions in the National Forestry Act 1984 (Section 7 to 13) the FMU is legally protected. There was evidence of measures taken to control, and activities to enforce the Act. The enhancement in the competency of staff and usage of updated imageries in Forest Monitoring using Remote Sensing (FMRS Plus) is found to make detecting illegal encroachment more effective. **The peer reviewer thus supports OFI#:1 for Indicator 1.5.2 to be closed.**

2. Criteria under Principle 2: Tenure and User Rights and Responsibilities

A total of 22 forest reserves with a total area of 155,825 hectares have been gazette in accordance to the National Forestry Act 1984. While increasing the forest reserves area by 1148.8 ha, no document of conflict with the local community was recorded on legal or customary tenure or use rights with existing laws and regulations. These rights are much recognized and respected by the forest managers. Mechanisms to resolve any disputes were well in placed.

3. Criteria under Principle 3: Indigenous People's Right

This principle, coupled with the 2nd principle gives special attention to the indigenous people in particularly the Orang Asli. Such considerateness is attentively maintained by NSSFD in managing the social aspects related to permanent forest reserves.

4. Criteria under Principle 4: Community Relations and Worker's Right

There are evidences that NSSFD provides sufficient guidance and facilities for the staff to maintain or enhance their competencies and safety in workplace. Evidences were provided on the employment of contract workers from people living close to logging operation sites.

The health and safety of NSSFD employees and their families are taken care by the government under the provisions of various worker-related acts. Such issues on the workers for the logging contractors are being monitored by forest managers in accordance to the management policy on safety and health of workers established on 15th August 2008 and worker-related acts. Operational procedures were made available to forest workers of active harvesting sites.

Verification on demarcation of hazardous areas and provision of guidelines for storage and handling of hazardous materials were made. Chemical store for pesticides and equipment were in placed with signage. There were posters that create awareness of the risks involved to workers.

OFI#:2 for Indicator 4.2.3 was raised in the previous 2nd Surveillance Audit (2014) was first closed as all fire extinguishers in work-places and camps have been maintained and useable. However, an OFI for the same **Indicator (4.2.3)** is raised as an **empty First Aid Kit** was discovered at the workers quarters at Compartment 132A Pasoh PFR. **The peer reviewer is supportive of this OFI. Such important safety equipment should always be available in case of accidents or mishaps.**

The Audit Team gave a long but clear objective evidence for the indicators of Criterion 4.3 on the rights of workers as outlined in Convention 87 and 98 of the International Labor Organization (ILO). NSSFD are in compliance with these indicators. The peer reviewer is agreeable with the assessors' judgment on NSSFD compliance to the indicators under Criterion 4.4 (related to social impact assessments on people and groups affected by management operations) and Criterion 4.5 (mechanisms employed for resolving grievances and providing fair compensation, and measure to avoid loss or damage)

5. Criteria under Principle 5: Benefit from the forest

The objective evidence for Indicator 5.1.1 was not stated in great detail. Little is reported on expenditure of NSSFD or its involvement in research, protection, conservation environment and social aspects in maintaining the ecological stability of the forest. It is worth to mention that NSSFD is part of both national and international research collaborations on Tropical Forest Ecology & Biodiversity centered at the research and education forests of Pasoh PFR. This is indicative of the effort put by NSSFR and others in managing the forest towards achieving economic viability. Such collaboration should cover the whole of NSSFR and the existing committees should not only focus on Pasoh PFR.

Auditors' comment: Agreed. The objective evidence for Indicator 5.1.1 specific to research, protection, conservation environment and social aspects in maintaining the ecological stability of the forest will be included during the next audit.

Even though NSSFD was allowed to cut some 2,250 ha of forest a year, the actual area harvested for its timber was much less than half. This trend has been observed for over 15 years. This may be a good indication that the ecological integrity of the FMU and its economic viability has been achieved.

In contrarily to the above statement, it is rather awkward when the Audit Team discovered that the implementation of guidelines for reduced impact/low impact logging (RIL) was not fully carried out. The density of logging roads at Compartment 59 Angsi PFR was observed at 53.85 m/ha, exceeded the maximum of 40 m/ha. It is not clear whether the ending of the sentence written on page 23 of the RA Report was mistakenly written "all roads" for "**old roads**":

"However approval from the NSFD has been given as many of the roads being used are consist (consisted) of **all roads**"

Auditors' comment: Agreed. Report has been amended from "all roads" to "old roads".

It was also found that directional felling guideline was not followed as was inspected at an active logging site in Compartment 59 Angsi PRF and Compartment 22 Pelangai PRF. This resulted in damage to residual stands and the felling of trees across the boundary to adjacent block. **The Minor NCR for Indicator 5.3.1 raised is therefore valid.**

The Audit Team also suggested that training of forest workers needs to be further enhanced as workers in Compartment 59 Angsi PRF were observed to be unclear on the regulations for directional felling. **The OFI on Indicator 5.3.3 (regular training on techniques of RIL) raised is justifiable.**

All the evidences for indicators in Criteria 5.4, 5.5 and 5.6 showed that the management of FMU is not solely on timber production, gives attention on other services/resources and practice sustainable timber harvesting.

6. Criteria under Principle 6: Environmental Impact

Much has been done to mitigate environmental impacts, to have forests of high conservation values and to conserve species listed under IUCN Red List. The measures in mitigating environmental impact was found not satisfactorily incorporated in the mid-review of the Forest Management Plan. Improvement on the matter is in progress. **This justifies the Audit Team decision for the minor NCR3: SAM-2 (2014) for Indicator 6.1.3 to be retained.**

On issues of endemic, and endangered, rare, and threatened (ERT) species in particularly *Begonia tampinica*: *What* was reported by staff of NSSFD is not correct. FRIM has for or the last 3 years been monitoring the population of *B. tampinica* at the recreation forest close to Tampin town. The peer reviewer was told by experts from FRIM that the species has not been found elsewhere. Steps need to be taken to preserve the population as it is located close to pathway of joggers and visitors to the forest. This is important to ensure the population is not loss, even though preliminary observation by FRIM has not observed sudden, abrupt or significant decrease in the number of individuals.

Auditors' comment: Strongly agree with the peer review comment. Audit team will consult FRIM during stakeholder consultation session for the next surveillance audit (2017)

Observation made by the Audit Team on Criterion 6.2 was lengthy and covered the five (5) indicators. NSSFD is in compliance with this criterion that safeguards special species and habitats. **It is unclear why a tick (√) is placed as OFI for Indicator 6.2.1.**

Auditors' comment: mistakenly putting the tick. Report amended.

OFI for Indicator 6.3.1 (post-harvest regeneration of forest) was issued to NSSFD as planting of seedlings on the skid trails was only half complete. **Further planting work need to be made and verified by the Audit Team in the next audit.**

NSSFD comply with the needs of Criterion 6.4 that requires the protection of VJRs or forest as sample or representative of unique ecosystem. It did not comply with two of four indicators under Criterion 6.5 (control procedures to minimize damage due to harvesting, including the protection of water resources. The closing of Minor NCR SAM-1/2014 Indicator 6.5.1 is justified as work were made to construct retaining walls and silt trap. However, a Minor NCR was again raised for Indicator 6.5.1 because of the poor construction of access roads in Angsi PRF and Triang PRF. **This decision made is logical and corrective actions taken need to be checked.**

It seems that the logging contractor in Compartment 59 Angsi PRF made a number of faults. Other what were mentioned above, the contractor did not follow the harvesting plan when aligning some of the skid trails that were later used to skid logs. On top of that the slope of some of skid trails and access road in this Compartment exceeded (>200) the allowable limit. **It is therefore reasonable that a Minor NCR SAM2 (2015) was raised for Indicator 6.5.3.**

The peer reviewer is agreeable with the descriptive evident given by the Audit Team for Criterion 6.6, 6.7, 6.8, 6.9 and 6.10. NSSFD is in compliance and has addressed to all the given indicators

7. Criteria under Principle 7: Management Plan

The development and revision of the management plan, and dissemination/ training of the contents for implementation was properly done and well documented.

8. Criteria under Principle 8: Monitoring and Assessment

Monitoring procedures and its implementation is part of the routine practice of NSSFD as required by the standards. An OFI was however raised by the Audit Team for Indicator 8.2.1 (ticked ✓) as NSSFD did not conduct research and analysis of wildlife or biodiversity inventory with relevant stakeholder. This is not the requirement of under Criterion 8.2. NSSFD involvement in research and inventory with other agencies had been mentioned above (e.g. Principle 5) and in the RA Report.

Auditors' comment: *mistakenly putting the tick. Report amended.*

A rather serious observation made by the Audit Team and given a Minor NCR is on the Criterion 8.3 related to the "chain of custody" process. The information on three (3) removal passes did not tally with the tree tagging records. Such discrepancies should not be allowed. The peer reviewer is supportive of the Minor NCR for Indicator 8.3.1.

An OFI Indicator 8.5.1 (summary of results for public accessed) was raised during the 2014 Surveillance Audit because NSSFD website was slow when assessed by public computers. A new website that can be accessed faster is in place. The closing of this OFI (8.5.1) is therefore appropriate.

9. Criteria under Principle 9: Maintenance of High Conservation Value Forests

An OFI#:5.2014 for Indicator 9.1.1 (HCVF in consultation with stakeholders) is closed as NSSFD consulted with FRIM, PERHILITAN and JKOA. Minutes of meetings and discussions held over the years involving FRIM and forest managers from NSSFD or JPSM FD should also be referred before the OFI is raised.

The evidences given for indicators under Criterion 9.2, 9.3 and 9.4 sufficed for NSSFD to comply with the 9th Principle.

10. General

- i. Given the short 5-day assessment duration, it is observed that the overall assessment made by the experience Audit Team was professionally executed. Information and comments provided under each criterion are generally good and focus precisely on the indicators provided by the standards.
- ii. Verifications made on NCRs and OFIs raised during the 2014 Surveillance Audit are valid and the comments made are appropriate.
- iii. For documentation and reviewing purpose, detailed but non-lengthy information should be given on the seven (7) permanent forest reserves subjected to the assessments. Some pre- and post-logging

information such as the area demarcated for forest harvesting, the number of trees felled, the timber volume extracted, and residual stands would be useful to visualize the effectiveness of the management regime used.

- iv. Assessment report should also come with the operational site map of problematic area in particular that for Compartment 59 of Angsi PFR. The seriousness of the damages caused by the exceeded length of logging roads per hectare constructed can be better visualized by a map or pictures taken.

Auditors' comment: *to be improved during the next surveillance audit*

- v. Steps are being taken for NSSFD to conform to the five (5) indicators raised, and improving and strengthening areas as recommended by the Audit Team. This could be handled within a few months and would not affect the management of the FMU

CONCLUSION

The peer reviewer is agreeable with the Audit Team on the 4 NCRs and 4 OFIs that were raised in the Recertification Audit (2015) and the re-issue of 1 NCR from the previous 2nd Surveillance Audit. Taking into account of all the reports and evident available, the peer reviewer is in agreement with the certification recommendation of the Audit Team, that is, Negeri Sembilan FMU (NSSFD) is to continue to be certified against MC&I (Natural Forest).

Recertification Audit Findings and Corrective Actions Taken

Indicator	Specification Major/Minor/OF I	Detail Non-conformances	Corrective Action Taken	Verification by Assessor
Indicator 8.3.1 NCR: LYD-01 /2015	Minor Area/Location: Compt. 59 of the Angsi PRF.	<p>Identification of forest products leaving the area did not tally with tagging record</p> <p>Inspection of records at the mobile checking station in Compartment 59 PRF Angsi, found that the information in the removal pass did not tally with tree tagging record</p>	<p>Warning letter has been issued to the person in charge of the forest checking station. The person in charge also transferred with new personnel immediately. (Letter PHD.NS.B.1/5 Klt. 1(94) dated 6 Nov 2015.</p> <p>The NSSFD would conduct a training on checking station and revising the SOP to improve the forest checking system implementation.</p>	Corrective action taken had been reviewed and accepted by the audit team. The effectiveness of the corrective action would be verified during the next surveillance audit
Indicator 5.3.1 NCR: SAM 01/2015	Minor Area/Location: Compt. 59 of the Angsi PRF and Compt. 22 of the Pelangai PRF.	<p>Directional felling to minimise damage to residual stand was not fully adhered.</p> <p>It was found that directional felling was generally not being followed. During inspections on active logging sites in Compt. 59 of the Angsi PRF and Compt. 22 of the Pelangai PRF, it was found that tagged trees were felled without adhering to the fixed direction that had resulted in damage to residual stand. There were also trees which had been felled and crossed the boundary into adjacent block.</p>	Training on directional felling would be conducted to refresh the contractors' tree fellers including the NSSFD's staff and forest ranger in 2016.	Corrective action had been reviewed and accepted by the audit team. The effectiveness of this corrective action would be verified during the next surveillance audit
Indicator 6.1.3	Minor	During the previous surveillance audit, a minor NCR SAM 2/2014 was raised on indicator 6.1.3 as measures to mitigate the environmental impacts identified in the EIA had not been adequately incorporated into the FMP and the mid-term review of the FMP.	The NSSFD had indicated that these measures would be included in the revision of the FMP which was still underway. As such the minor NCR SAM 2/2014 on Indicator 6.1.3 was being retained.	The corrective action taken would be verified during the next surveillance audit.

<p>Indicator 6.5.3</p> <p>NCR: SAM 02/2015</p>	<p>Minor Area/Location: Compt. 59 of the Angsi PRF.</p>	<p>The construction of access roads and skid trails had not adhered to the “Guidelines for Forest Road 2010 (Amended 2013)”</p> <p>During the inspection of an active logging sites in Compt. 59 of the Angsi PRF, it was found that the alignment of some of the skid trails had not followed the harvesting plan. One of the access roads had been wrongly constructed and was asked to be closed down by the NSSFD but was found to be used to skid logs. It was also found that the slope of some of skid trails and access road in this compartment and the closed area in Compt. 98 of the Triang PRF had exceeded the (>20°) the allowable limit.</p>	<p>The NSSFD would conduct briefing to all contractors on road construction and specifications in 2016.</p> <p>The FMU has directed their officers to monitor the construction of forest road.</p>	<p>The audit team had reviewed and accepted the corrective action. The effectiveness of the corrective action would be verified during next surveillance audit.</p>
<p>Indicator 6.5.1</p> <p>NCR: SAM 03/2015</p>	<p>Minor Area/Location: Compt. 59 of the Angsi PRF.</p>	<p>The logging sites in Compt. 59 of the Angsi PRF and Compt. 98 of the Triang PRF were generally hilly and with steep terrain. Many of the main access roads were constructed using old roads to reduce wastage. It was found that some of the roads were steep and had exceeded the maximum slope allowed under the roads and skid trails. There were also insufficient cross drains and site ditches to reduce the soil erosion. Gullies were seen forming in side drains. Some of the culverts were found to be too small and as a result had been clogged with soil.</p>	<p>The drainage was constructed during harvesting, however it was not being maintained due to raining season. The contractors were advised to use the old road to reduce the usage of skid trails and earthwork during the operation.</p> <p>The Contractor was instructed to repair the roads according to the specification as contained in the Guidelines for Forest Road 2010 (amended 2013)</p> <p>NSSFD will conduct a briefing to all contractors on road construction and specifications</p> <p>To conduct RIL and Guidelines for Forest Road 2010 (amended 2013) course in 2016</p>	<p>The audit team had reviewed and accepted the corrective action. The effectiveness of the corrective action would be verified during next surveillance audit.</p>

			The FMU has directed their officers to conduct monitoring on the forest more effectively.	
Indicator 4.2.3	OFI	During an inspection in Compt. 132A of the Pasoh, First Aid Kit at the workers quarters was found to be empty.	Not applicable	To be verified during the next audit
Indicator 4.3.3	OFI	The right of workers for the benefits and protection was not sufficient e.g.: 1. 7 of 16 workers doing work in Compt. 59 of the Angsi PRF had no insurance coverage. 2. 18 workers working in Compt. 132A of the Pasoh PRF had also not been provided with insurance coverage.	Not applicable	To be verified during the next audit
Indicator 5.3.3	OFI	Training records on directional felling for chainsaw operator need to improve. Interviews held with forest workers at Compartment 59 of the Angsi PRF found that the awareness and understanding on road specification for skid trail and feeder road were not sufficient.	Not applicable	To be verified during the next audit
Indicator 6.3.1	OFI	During an inspection on the closed area in Compartment 98 of the Triang PRF, it was found that planting had not been completely done in some of the skid trails. Only half of the skid trails had been planted. There was also no water bar being constructed in the skid trails to prevent soil erosion.	Not applicable	To be verified during the next audit

Verification on Corrective Actions Taken on NCRs and OFIs Raised During Previous Audit

Indicator	Specification Major/Minor/OFI	Detail Non-conformances	Corrective Action Taken	Verification by Assessor
Indicator 6.5.1	Minor NCR:SAM-1	<p>The implementation of harvesting procedures to protect the soil from compaction by harvesting machinery and erosion during harvesting operations did not fully adhere to the requirements of Guidelines for Forest Road 2010.</p> <p>In the construction of one of the bridges inspected on the access road within the active logging site in Compartment 25 of the Pelangai PRF, measures taken to prevent soil from being washed into the river was not adequate. It was found that there was no retaining walls constructed and the sump constructed was too small and insufficient to prevent loose soil from entering into the river system.</p>	<p>The contractors had repaired the retaining walls for each bridge and maintenance of river side.</p> <p>Training to all forest rangers and contractors, including licensees had been conducted to enhance the understanding on new requirement "<i>Garis Panduan Jalan Hutan 2010 (pindaan 2013)</i>".</p>	<p>During this recertification audit, it was found that all bridges on the access roads within active harvesting areas in Compt. 59 of the Angsi PRF, Compt. 22 of the Pelangai PRF and Compt 123A of the Pasoh PRF as well as closed area in Compt. 98 of the Triang PRF have improved retaining wall and silt traps.</p> <p><u>Status:</u> This minor NCR was closed out.</p>
Indicator 6.1.3	Minor NCR: SAM-2	<p>Forest management plans shall incorporate measures to mitigate the environmental impacts identified in the assessments.</p> <p>Measures to mitigate the environmental impacts identified in the environmental impacts assessment was not adequately incorporated into the FMP</p> <p>The EIA report developed for the FMU has specified mitigation measures to reduce the impact of logging on the environment. These include soil erosion, air pollution, noise pollution, waste management, biodiversity conservation, socio-economic impacts, microclimate and HCVF. These mitigation measures</p>	<p>Additional mitigation measures would be included in the FMP in year 2015.</p> <p>The NSSFD had conducted a meeting on 13 July 2015 with the appointed consultant and made an agenda to include mitigation measures in the FMP in year 2015.</p>	<p>The corrective action was still in progress of being implemented due to instruction from the the Forestry Department Peninsular Malaysia Headquarters in Kuala Lumpur.</p> <p><u>Status:</u> This minor NCR remained outstanding.</p>

		have not been adequately included in the mid-term review of the FMP.		
Indicator 1.5.2	OFI 1	More effective and preventive measures were needed to control and reduce the incidences of encroachment in the FMU. More frequent patrolling and control of access roads were needed to reduce such incidences. Additional forest reserve signboard plates could be erected at strategic locations with the FMU such as besides the roads leading into PRFs. The FMRS needs to be more effective in detecting illegal encroachment at the FMU level. It was found that the FRMS is slow in uploading and imageries used are not up to date. The competency of staff to utilize the system needs to be enhanced.	Not applicable	The enforcement unit of the FMU had presented to the audit team a schedule for monitoring activities on all the licenced areas on a monthly basis. NSSFD has also identified 16 hotspot areas which are highly potential for illegal encroachment. Monthly inspection has been conducted by “Unit Operasi dan Penguatkuasaan”. Latest inspection has been conducted on 29 August 2015. <u>Status:</u> This OFI was therefore closed out.
Indicator 4.2.3	OFI 2	A fire extinguisher was made available at the temporary checking station (Balai Pemeriksaan Sementara). However, the fire extinguisher has been used and no maintenance/refill action was carried out and a re-inspection had not been carried out since 3/12/2013.	Not applicable	During this audit it was found that all fire extinguishers in the workers’ camps at Compt. 59 of the Angsi PRF, Compt. 132A of the Paloh PRF, Mantin and Serting Ulu Nursery, Angsi Mobile Forest Checking Station and Pasoh Mobile Checking Station have been replenished and were in good working condition. <u>Status:</u> This OFI was therefore closed out.
Indicator 6.7.1	OFI 3	a) Standard operating procedure on managing waste disposal has been established by management. However, the understanding of interviewed site worker (Pelangai PRF contractors	Not applicable	The Standard Operating Procedure on waste entitled “Langkah-langkah Pelupusan Bekas Racun Makhluk Perusak”. was made available.

		<p>and nursery Serting Ulu staff) on the management of contaminated soil/sand with spill of lubricant oil were contradicted with the SOP.</p> <p>b) Based on interview with workers, some of used engine oil has been sold to car workshop and small quantity of it was kept at the store for the usage of chainsaw. However, record of disposal/selling and recycling of the used engine oil could not be verified by auditor.</p>		<p>The SOP on recycling of liquid and solid non-organic waste was also made available. Some of the used-engine oil had been used in the lubrication of chainsaws and were recorded. It was observed the contractor at Compt. 22 of the Pelangai PRF had constructed a shed with lock and key for the storage of lubricants and engine oil at the logging camp. A sign had been attached on its wall. Diesel fuel was also stored in drums next to the store. The empty containers was sent to "Unit Kawalan Racun Perosak" Agriculture Department, Chembong Rembau Negeri Sembilan.</p> <p>No containers and solid organic wastes were observed during the inspection of active harvesting in Compartment 59 Angsi FR, Comp 22 Pelangai FR and Compt 123A Pasoh as well as closed area in Compartment 98 Triang FR</p> <p><u>Status:</u> This OFI was therefore closed out.</p>
Indicator 8.5.1	OFI 4	A summary of the results of monitoring indicators were made available on the NSSFD website. However, the website is slow when accessed by public computer.	Not applicable	The new website had been improved and can be accessed by the public.

				<u>Status:</u> This OFI was therefore closed out.
Indicator 9.1.1	OFI 5	It was found that consultation with stakeholders on the assessment and identification of HCVF was not up-to-date. The last consultations were conducted in June and December 2013 with Jabatan Perancangan Bandar and WWF respectively. It would be appropriate that a proper consultation with major stakeholders be conducted periodically to assess and identify potential HCFV sites.	Not applicable	There were records on consultations being held with the relevant stakeholders on 2 Sept 2015 involving the Forest Research Institute of Malaysia (FRIM), Jabatan Kemajuan Orang Asli (JKOA) and Wildlife Department (PERHILITAN). <u>Status:</u> This OFI was therefore closed out.