



SABAH FORESTRY DEPARTMENT


DERAMAKOT FORESTRY DISTRICT
(DERAMAKOT FR-FMU 19A & TANGKULAP/SG. PINANGAH FR-FMU17A)

Standard Operating Procedures

Social Assessment

Document No: SFD/DFR/SOP - 001

Approved by:



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Director Of Forestry

(25.2.2010)

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1.0 BACKGROUND & PURPOSE

Sabah Forestry Department (SFD) has initiated a policy to pursue certification by meeting the requirements of FSC as well as national standards in its management systems for Sabah. To ensure that its operations are in line with FSC requirements the SFD has developed a series of Guidelines for forest management in 2008 that has been adopted into procedures for use in FMU 19A and FMU 17A.

The purpose of this procedure is to define the process for conducting a social assessment that incorporates social HCVF elements to meet the requirements of the FSC Forest Management Standard.

2.0 SCOPE

The scope of this procedure is limited to **social impact assessment preparation and implementation** within FMUs 19A & 17A managed by SFD. The procedure is to ensure that work may be completed in a controlled, consistent and effective manner.

3.0 RESPONSIBILITIES

The Head of Social Forestry is responsible for:

- SIA planning
- Preparation SIA checklist or evaluation
- Training of forest officers and supervisors
- Ensuring the implementation of this procedure

The Forest Officer (Social Forestry) is responsible for:

- Conducting SIA with rangers
- Analysis and evaluate social impact
- Preparing mitigation plan based on output of SIA
- Training of supervisors and rangers
- Reporting on SIA implementation

4.0 DEFINITIONS

This procedure contains definitions of common terms used by FSC and SFD in the procedures for forest management.

FSC: Forest Stewardship Council, an international non-government organization that (governs) the Forest Management and Chain of Custody standard.



FMU: A clear defined forest area with mapped boundaries, managed by a single managerial body to a set of explicit objectives which are expressed in a self –contained multi-year management plan.

SIA: Social Impact Assessment – an approach is used to analyse the impacts of a proposal on individuals and communities, and to mitigate the adverse effects and enhance the positive effects. It also provides a framework to manage **social** change.

5.0 INTRODUCTION

Social Impact Assessment (SIA) in forestry is required to identify local communities and indigenous groups that are directly associated with the management unit whereby forestry operations can have a significant impact to their livelihood. The SIA needs to identify potential negative and positive impact of the operations and define means to mitigate any negative impacts to each of the communities. The SIA also needs to define the current status of the communities in respect to basic needs such as health, education, infrastructure / access, livelihood, etc that can form the basis of a social development program.

6.0 METHODS

6.1 Aerial Surveillance

For Forest management units (FMUs) that are large scale (100,000+ ha) the manager should conduct an aerial survey to identify communities living within of adjacent to the FMU that could be affected by the planned forestry operations. Aerial surveillance is also needed to verify the extent of agricultural activities of local communities within the FMU and bordering the forest. Use of Aerial Surveys to identify areas using GPS then mapped within GIS system is the optimal objective to clearly define and locate areas occupied by local communities.

6.2 Ground – Village Surveys

Following identification of location of all villages within and adjacent to the FMU a small team of staff qualified for social work should conduct a survey of each village. The survey needs to be conducted in a systematic procedure that can include household and or community surveys using a standard format (checklist) to collect data (Appendix 1- SIA checklist).

Surveys conducted by the staff need to hold discussions with as many people as possible within the community as per a general meeting where the entire village is invited to attend or by visiting individual households. The survey must also be balanced in the collection of information and viewpoints from both women and men and not only the village leaders and men.



The survey should also confirm the location and extent of agriculture planting of the villagers within and adjacent to the FMU. The use and dependence on the forest resources for basic livelihood is critical to the assessment that needs to define use rights and mitigation measures to minimize impacts to the communities' dependence on the resources.

6.3 Data Analysis

The field data needs to be compiled for each community / village as to define the significant aspects of the community that area directly associated with the FMU.

6.4 Defining of significant impacts

SFD shall define the impacts that may have significant affect on each of the associated villages. These impacts can be both positive or negative. All identified negative impacts must be addressed though formal mitigation measures or development programs.

Positive Impacts: employment, road access, health facilities at forest base camp

Negative Impacts: siltation of streams & rivers, poor fishing, reduced hunting, collection of food and medicinal plants in logged over areas

7.0 LISTING MITIGATION MEASURES SPECIFIC TO COMMUNITIES

Mitigation measure to specific villages need to be identified such as community forest areas and protected watershed areas associated to a specific village. Each impact shall be detailed in the management plan and shall be addressed within the system for communication and dispute resolution as per the committee based system.



APPENDIX 1 – SIA CHECKLIST

COMMUNITY ASSESSMENT CHECKLIST

VILLAGE: _____ Date: _____
KAMPUNG **Tarikh**

Contact: _____

| | | |
|--------------------------------------|--------------------------|----------------|
| Name of Villager interviewed | Position / Title | Phone |
| Nama Penduduk yang ditemubual | Jawatan / Pangkat | Telefon |

**A. PHYSICAL ATTRIBUTES
CIRI-CIRI FIZIKAL**

| | | | | | | | | | | |
|---|---|------------------------------|---------------------------------|------------------------------|---------------------|--|--|----------------------------|----------|----------|
| Location (GPS: N _____ E _____) Lokasi | Number of households per village Bilangan (keluarga/rumah) dalam kampung Total villagers in this village: Jumlah orang dalam kampung: | | | | | | | | | |
| Number of household per village 10 years ago: Bilangan (keluarga/rumah) dalam kampung 10 tahun yang lalu: Total villagers in this village 10 years ago: Jumlah orang dalam kampung 10 tahun lalu: | Area of town & agriculture / cultivated Kawasan pekan & pertanian / penanaman <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>Activity Aktiviti</td> <td>Agriculture Pertanian</td> <td>Planting Penanaman</td> </tr> <tr> <td>Area Luas</td> <td></td> <td></td> </tr> <tr> <td>GPS Location Lokasi GPS</td> <td>N: S:</td> <td>N: S:</td> </tr> </table> | Activity Aktiviti | Agriculture Pertanian | Planting Penanaman | Area Luas | | | GPS Location Lokasi GPS | N: S: | N: S: |
| Activity Aktiviti | Agriculture Pertanian | Planting Penanaman | | | | | | | | |
| Area Luas | | | | | | | | | | |
| GPS Location Lokasi GPS | N: S: | N: S: | | | | | | | | |
| Average persons / house Purata penduduk / rumah | Associations with Tribes Persatuan dengan suku kaum Tribe: Kaum Existence of tribe association: Yes/ No Ada persatuan atau tidak: Ya / Tidak | | | | | | | | | |
| River Access (small boats or large commercial boats) Laluan Sungai (bot kecil atau bot komersil besar) Small boat/ Big Commercial Boat Bot kecil/ Bot Komersil Besar | Road Access (motorbike, truck, bus) Laluan Jalanraya (motosikal, trak, bas) Motorbike/Truck/Bus/4WD/Walking/Car Motosikal/Trak/Bas/4WD/Jalan Kaki/ Kereta | | | | | | | | | |



| |
|--|
| Land Tenure (Application and date) Hak Pemilikan Tanah (Pemohonan dan tarikh) Existence of land tenure rights: Yes / No Hak pemilikan tanah: Ada / Tiada Application: Yes / No Pemohonan : Ada / Tiada Year applied: Tahun memohon: |
|--|

**B. LIVELIHOOD
PENDAPATAN**

| | % Annual Income Pendapatan Tahunan | % Subsistence Saraan hidup | Remarks Catatan |
|---|---|--|--|
| Employment / Contract work Bekerja / Kerja Kontrak | Total employed: Jumlah yang bekerja: Total Income per month/year/contract: Jumlah pendapatan untuk 1 bulan/ tahun/ kontrak: | Total unemployed: Jumlah yang tidak bekerja: | State in types of jobs referred: Catatan jenis pekerjaan: |
| Fishing Memancing | Total Income per month/year/contract: Jumlah pendapatan untuk 1 bulan/ tahun/ kontrak: | Total / month Jumlah / bulan | |
| Farming – Rice Pertanian – Padi | Total Income per month/year/contract: Jumlah pendapatan untuk 1 bulan/ tahun/ kontrak: | Total / month Jumlah / bulan | Identify on map Identifikasi atas peta |
| Other Agriculture Lain-lain pertanian | Total Income per month/year/contract: Jumlah pendapatan untuk 1 bulan/ tahun/ kontrak: | Total / month Jumlah / bulan | Identify on map Identifikasi atas peta |
| Hunting Memburu | Total Income per month/year/contract: Jumlah pendapatan untuk 1 | Total / month Jumlah / bulan | Identify on map Identifikasi atas peta |



| | bulan/ tahun/ kontrak: | | |
|---|---|---|--|
| Collection Rattan / NTFP Pengumpulan rotan / NTFP | Total Income per month/year/contract : Jumlah pendapatan untuk 1 bulan/ tahun/ kontrak: | Total / month Jumlah / bulan | Identify on map Identifikasi atas peta |
| Timber harvesting Penuaian balak | Total Income per month/year/contract: Jumlah pendapatan untuk 1 bulan/ tahun/ kontrak: | Total / month Jumlah / bulan | Identify on map Identifikasi atas peta |
| Cottage Industries Industri desa | Total Income per month/year/contract: Jumlah pendapatan untuk 1 bulan/ tahun/ kontrak: | Total / month Jumlah / bulan | Types of handicrafts at home Jenis Kraf tangan dalam rumah |

**C. CULTURAL ASPECTS (HCVF-6)
ASPEK KEBUDAYAAN (HCVF-6)**

| | Location (GPS/map location) Lokasi (GPS/lokasi peta) | Area (hectares) Luas (hektar) |
|--|---|---|
| Religious Sites Tapak Keagamaan | Have /Don't Have Ada / Tiada State the religious site Nyatakan kawasan tapak keagamaan | GPS: (N _____ E _____) |
| Burial Grounds Tanah Perkuburan | Have /Don't Have Ada / Tiada State the burial ground Nyatakan kawasan tanah perkuburan | GPS: (N _____ E _____) |
| Sacred Places, Ancestral and Historical Sites Kawasan Keramat, Nenek-moyang dan Tapak Bersejarah | Have /Don't Have Ada / Tiada State the sacred area Nyatakan kawasan keramat | GPS: (N _____ E _____) |
| Hunting/Fishing Grounds Kawasan Memburu/Memancing | Have /Don't Have Ada / Tiada State location / area Nyatakan lokasi / kawasan | GPS: (N _____ E _____) |



| | | |
|--|--|--|
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**D. SOCIAL NEEDS
KEPERLUAN SOSIAL**

| | | | | | |
|--|---|---|---|--|--|
| | <p>Description Penerangan</p> | | | | |
| <p>Education primary/secondary Pelajaran rendah/menengah</p> | <p>Have /Don't Have Ada / Tiada</p> <table border="1" style="margin-left: 40px;"> <tr> <td style="width: 50%;">Primary School Sekolah Rendah</td> <td style="width: 50%;">Secondary School Sekolah Menengah</td> </tr> <tr> <td style="height: 20px;"></td> <td style="height: 20px;"></td> </tr> </table> <p>If don't have, where is the nearest school? Jika tiada, sekolah mana yang terdekat?</p> | Primary School Sekolah Rendah | Secondary School Sekolah Menengah | | |
| Primary School Sekolah Rendah | Secondary School Sekolah Menengah | | | | |
| | | | | | |
| <p>Clinics/hospitals Klinik/hospital</p> | <p>Distance / time from village Jarak / masa dari kampung</p> <p>Accessible / not? Senang dikunjungi / tidak</p> | | | | |
| <p>Employment Opportunities Peluang Pekerjaan</p> | <p>Long term / seasonal Jangkamasa panjang / Bermusim</p> <p>In village / outside village Dalam kampung / Luar Kampung</p> | | | | |
| <p>Transport by roads Pengangkutan melalui jalanraya</p> | <p>Quality good or bad Kualiti baik atau tidak</p> <p>All year long/ Seasonal? Sepanjang Tahun/ Bermusim</p> | | | | |
| <p>Transport by river Pengangkutan melalui sungai</p> | <p>Quality good or bad Kualiti baik atau tidak</p> <p>All year long/ Seasonal? Sepanjang Tahun/ Bermusim??</p> | | | | |
| <p>Market Access Pasaran Hasil Tempatan</p> | <p>Have /Don't Have Ada / Tiada</p> <p>Buyers/ Customers: Pembeli/ Pelanggan:</p> | | | | |
| <p>Electricity / Water Elektrik / Air</p> | <p>Have /Don't Have Ada / Tiada</p> | | | | |



| | |
|---|----------|
| Women's issues Isu-isu kewanitaan | 1. 2. |
|---|----------|

**E. COMMUNITY CONSERVATION VALUES OF THE FOREST (HCVF)
NILAI PEMULIHARAAN KOMUNITI TERHADAP HUTAN (HCVF)**

| | |
|--|--|
| Hunting / Wildlife / Fishing (HCVF-5) Memburu / Hidupan Liar / Memancing (HCVF 5) | Identify on map Identifikasi atas peta GPS: (N _____ E _____) Importance: high/low Kepentingan: tinggi/rendah |
| Drinking Water (HCVF 4) (importance: high/low) Air Minuman (HCVF 4) (Kepentingan: tinggi/rendah) | Identify on map Identifikasi atas peta GPS: (N _____ E _____) Importance: high/low Kepentingan: tinggi/rendah |
| Collection of Rattan, Fruits, Medicinal Plants (HCVF-5) Pengumpulan Rotan, Buah- buahan, Tumbuhan Perubatan (HCVF 5) | Identify on map Identifikasi atas peta GPS: (N _____ E _____) Importance: high/low Kepentingan: tinggi/rendah |
| Other Lain-Lain | Identify on map Identifikasi atas peta GPS : (N _____ E _____) Importance: high/low Kepentingan: tinggi/rendah |

**F. OTHER ISSUES
LAIN-LAIN ISU**

| |
|--|
| |
|--|