

**RSPO PRINCIPLE AND CRITERIA
2nd Annual Surveillance Assessment (ASA2_1)
Public Summary Report**

Sime Darby Plantation Sdn Bhd
Head Office: Level 3A, Main Block Plantation Tower, No. 2, Jalan P.J.U 1A/7 47301 Ara Damansara Selangor, Malaysia
Strategic Operating Unit (SOU 8) East Palm Oil Mill 42960 Carey Island Selangor, Malaysia

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Section 1: Scope of the Certification Assessment

1. Company Details			
RSPO Membership Number	1-0008-04-000-00	Date	Member since: 6 September 2004
Company Name	Sime Darby Plantation Sdn Bhd		
Address	Head Office: Level 3A, Main Block, Plantation Tower, No. 2, Jalan PJU 1A/7 47301 Ara Damansara, Selangor, Malaysia Certification Unit: Strategic Operating Unit (SOU 8) – East Palm Oil Mill 42960 Carey Island, Selangor, Malaysia		
Subsidiary of (if applicable)	N/A		
Contact Name	Mdm. Shylaja Devi Vasudevan Nair (Head, Sustainability Unit PSQM) Mr Sallahuddin Abd Rashid (SQM CER Manager)		
Website	www.simedarby.com	E-mail	Sallahuddin.abdulrashid@simedarby.com
Telephone	+603-78484379 (Head Office) +603-3122 4001/03 (Mill)	Facsimile	+603-78484356 (Head Office) +603-31224005 (Mill)

2. Certification Information			
Certificate Number	RSPO 543543	Original Certificate Issued Date	19/05/2010
		Expiry Date	18/05/2020
Scope of Certification	Palm Oil and Palm Kernel Production from East Palm Oil Mill and Supply Base (East Estate, Sepang Estate & Dusun Durian Estate)		
Other Certifications			
Certificate Number	Standard(s)	Certificate Issued by	Expiry Date
Nil			

3. Location(s) of Mill & Supply Bases			
Name (Mill / Supply Base)	Location [Map Reference #]	GPS	
		Eastings	Northing
East Palm Oil Mill	SOU 8 Management Unit (East Palm Oil Mill) 42960 Carey Island, Selangor, Malaysia	101° 21' 36.36'	2° 54' 21.81"
East Estate	East Estate, 42960 Carey Island, Selangor, Malaysia.	101° 23' 27.60"	2° 53' 37.75"
Dusun Durian Estate	Ladang Dusun Durian 42700 Banting, Selangor, Malaysia	101° 27' 54.00"	2° 45' 41.90"

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Sepang Estate	Ladang Sepang 43900 Sepang, Selangor, Malaysia	101° 43' 26.4"	2° 41' 11.32"
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4. Description of Supply Base

Estate	Mature (ha)	Immature (ha)	Total Planted (ha)	HCV (ha)	Infras & Other (ha)	Total Hectarage	% of Planted
East Estate	4,129.23	865.92	³ 4,995.15	12.15	627.15	⁴ 5,634.45	88.65%
Dusun Durian Estate	1,765.91	302.91	¹ 2,068.82	1.43	² 22.03	2,092.28	98.88%
Sepang Estate	2,207.60	516.64	2,724.24	2.40	467.27	3,193.91	85.29%
Total	8,102.74	1,685.47	9,788.21	15.98	1,116.45	10,920.64	

Dusun Durian Estate:

¹ Dusun Durian Estate total planted hectarage has increased 14.49 ha due to new planting activities through converting from coconut to oil palm within certified area at plot 2014D; P7 applicable.

² The reduction of ha 108 ha is being taken by Sime Darby Property and 76.28 ha planted with other crops; the infrastructure is reduce to 22.03.

East estate:

³ Increase of 12.95 ha of total planted area (4.19ha/P15A & 8.76ha/P14C). Conversion part of the green book area (vegetable farm for workers) such as block 2015A, the balance of area remains as green book for workers. The rationale of this exercise was mainly due to full implementation of mechanisation in most of the operations especially harvesting and collection hence less no of workers required.

⁴ Reduction of 73.87 ha after GPS Survey carried out and the land statement was verified through the report.

5. Plantings & Cycle

Estate	Age (Years)					Tonnage / Year		
	0 - 3*	4 - 10	11 - 20	21 - 25	26 - 30	Estimated (Jan 2016 – Dec 2016)	Actual (Jan 2016 – Dec 2016)	Forecast (Jan 2017 – Dec 2017)
East Estate	865.92	368.52	2,974.71	786.00	0	45,370.00	38,374.28	39,525.51
Dusun Durian Estate	302.91	1037.53	597.25	131.13	0	53,668.00	40,637.78	49,562.83
Sepang Estate	516.64	547.88	1,216.29	443.43	0	50,147.00	39,394.49	57,577.24
Total	1685.47	1953.93	4,788.25	1,360.56	0	149,185.00	118,406.55	146,665.58

6. Certified Tonnage of FFB (Own Certified Scope)

Estate	Tonnage / year		
	Estimated (ASA2_1) (Jan 2016 – Dec 2016)	Actual (ASA2_1) (Jan 2016 – Dec 2016)	Forecast (ASA3_1) (Jan 2017 – Dec 2017)
East Estate	45,370.00	38,374.28	39,525.51
Dusun Durian Estate	53,668.00	40,637.78	49,562.83
Sepang Estate	50,147.00	39,394.49	57,577.24
Total	149,185.00	118,406.55	146,665.58

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7. Non-Certified Tonnage of FFB (outside supplier – excluded from certificate) if applicable			
Independent FFB Supplier	Tonnage / year		
	Estimated (ASA2_1) (Jan 2016 – Dec 2016)	Actual (ASA2_1) (Jan 2016 – Dec 2016)	Forecast (ASA3_1) (Jan 2017 – Dec 2017)
Not applicable.			

8. Certified Tonnage (Own Certified Scope)									
Mill	Estimated (ASA2_1) (Jan 2016 – Dec 2016)			Actual (ASA2_1) (Jan 2016 – Dec 2016)			Forecast (ASA3_1) (Jan 2017 – Dec 2017)		
	FFB	CPO	PK	FFB	CPO	PK	FFB	CPO	PK
East Palm Oil Mill	149,185.00	33,567.00	7,459.00	118,406.55	26,536.07	5,039.63	146,665.58	31,753.10	6,599.95
*Other certified estates	-	-	-	4,656.40	1,043.50	198.36	-	-	-
Total	-	-	-	123,062.95	27,579.57	5,237.99	-	-	-
OER/KER%	-	-	-	-	22.41	4.26	-	21.65	4.50

Section 2: Assessment Process

Certification Body:

BSI Services Malaysia Sdn Bhd,
(ASI Accreditation Number: RSPO-ACC-19)
Unit 3, Level 10, Tower A
The Vertical Business Suites, Bangsar South
No. 8, Jalan Kerinchi
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BSI is a leading global provider of management systems assessment and certification, with more than 60,000 certified locations and clients in over 100 countries. BSI Standards is the UK's National Standards Body. BSI provides independent, third-party certification of management systems. BSI is ASI Accredited (RSPO-ACC-19) to conduct RSPO assessment since 31/10/2014 with accredited office located at Kuala Lumpur, Malaysia. BSI is accredited for RSPO Supply Chain Certification Systems (SCCS) and Principles & Criteria for Sustainable Palm Oil Production (P&C, Single Site & Group) certification Worldwide.

Assessment Methodology, Programme, Site Visits

This 2nd Annual Surveillance Assessment was conducted from 21-23 February 2017. The audit programme is included as Appendix D. The approach to the audit was to treat the mill and its supply base as an RSPO Certification Unit. Mill was audited together with the sample estates (East Estate & Sepang Estate). A range of environmental and social factors were covered. This includes consideration of topography, palm age, proximity to areas with HCVs, declared conservation areas and local communities.

The methodology for collection of objective evidence included physical site inspections, observation of tasks and processes, interviews of staff, workers and their families and external stakeholders, review of documentation and monitoring data. RSPO Principles & Criteria 2013 (MYNI-2014) and RSPO Supply Chain Certification Standard 2014 were used to guide the collection of information to assess compliance. The comments made by external stakeholders were also taken into account in the assessment.

The approach to the audit was to treat the mill and its supply base as an RSPO Certification Unit. The mill was audited together with the estates (or smallholders) of its supply base. The estates sample were determined based on formula $N = 0.8\sqrt{y}$ where y is the number of estates while when applicable.

Meetings were held with stakeholders to seek their views on the performance of the company with respect to the RSPO requirements and aspects where they considered that improvements could be made. At the start of each meeting, the interviewer explained the purpose of the audit followed by an evaluation of the relationship between the stakeholder and the company before discussions proceeded. The interviewer recorded comments made by stakeholders and these have been incorporated into the assessment findings.

Structured worker interviews with male and female workers and staff were held in private at the workplace in the mill and the estates. Fieldworkers were interviewed informally in small groups in the field. In addition, the wives of workers and staff were interviewed in informal group meetings at their housing. Separate visits were made to each of the local communities to meet with the village head and residents. Company officials were not present at any of the internal or external stakeholder interviews. A list of Stakeholders contacted is included as Appendix E.

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All the previous nonconformities are remains closed. The assessment findings for the 1st Annual Surveillance Assessment are detailed in Section 3.3.

This report is structured to provide a summary of assessment finding as attached in the Appendix A. The assessment was based on random samples and therefore nonconformities may exist that have not been identified.

This report was externally reviewed by RSPO approved Certification Reviewer prior to certification decision by BSI.

The following table would be used to identify the locations to be audited each year in the 5 year cycle

1. Assessment Program					
Name (Mill / Supply Base)	Year 1 (Recertification)	Year 2 (ASA 1)	Year 3 (ASA 2)	Year 4 (ASA 3)	Year 5 (ASA 4)
East Palm Oil Mill	√	√	√	√	√
East Estate		√	√		√
Sepang Estate	√		√	√	
Dusun Durian Estate	√	√		√	√

[Click here to enter a date.](#)

Tentative Date of Next Visit: August 8, 2017 – August 10, 2017

Total No. of Mandays: 9 mandays

BSI Assessment Team:

Hoo Boon Han – Lead Auditor

He holds Master of Technology (Environmental Management) from the University Malaya and Bachelor of Science Forestry (Hons) Majored in International Tropical Forestry from University Malaysia Sabah. He has more than 3 years working experience in in environmental monitoring & audit, carbon accounting & reduction, wastewater treatment, waste management and sustainable development. He has successfully completed the RSPO Lead Auditor and RSPO Supply Chain Training in April 2012. He has been involved in RSPO P&C audit in Indonesia and Malaysia as well as RSPO SC audit across different region including Asia, Europe and North America for the past 4 years. During this assessment, he assessed on the aspect of environment, Safety and Health, Legal, social and community engagements, stakeholders consultation, and workers welfare. He is able to speak and understand Bahasa Malaysia, English and Mandarin.

Hafriazhar Mohd Mokhtar – Team Member

Hafriazhar Mohd. Mokhtar is a Chemical Engineer by qualification. He has more than five years of direct work experience in the upstream processes of palm oil within the plantation industry. He is a qualified Lead Auditor for CDM, ISO 14001, ISO 50001 and ISO 9001 and has accumulated more than 500 audit days throughout his current career as the auditor for multiple disciplines covering Malaysia, Indonesia and Thailand. He has been trained in the RSPO P&C and SCCS standards and recently completed his RSPO P&C Lead Assessor training and has been involved in RSPO audits within Malaysia, Papua New Guinea and Solomon Islands. During assessment, he covered the mill and estate best practices, legal issues, social issues, workers consultation, stakeholder consultation, environmental and occupational safety & health. He is fluent in Bahasa Malaysia and English languages.

Daniel Francis - Team Member

Daniel Francis is a fulltime employee with BSI Services Malaysia. He holds a Bachelor of Applied Science Degree in Food Science, graduated from Charles Sturt University, Australia. He has over 8 years of working experience in the oil and gas industry and 3 years in the food & beverage industry. He is an experienced auditor for several management system standards including ISO 9001, ISO 14001, OHSAS 18001 and Integrated Management System. He had completed the ISO 9001:2015 Lead Auditor Course and RSPO SCC Lead Auditor Course. He had been involved in the RSPO audits with various companies in Malaysia. During assessment, he covers the legal issues and occupational safety and health.

Accompanying Persons: -

Section 3: Assessment Findings

3.1 Details of audit results

This assessment has been assessed using the following RSPO normative requirements. The assessment details are provided in Appendix A.

- Sime Darby Plantation Sdn Bhd Time Bound Plan
- RSPO P&C MY-NIWG 2014 Checklist
- RSPO Supply Chain Certification Checklist November 2014

3.2 Progress against Time Bound Plan

Sime Darby Time Bound Plan (TBP) is included as Appendix B. Sime Darby has achieved RSPO certification for 34 management units in Malaysia and 24 Management Units in Indonesia. There are no any changes in the existing certified units in Malaysia. All units' certifications are valid. Sime Darby has acquired NBPOL. NBPOL is managed as a separate management unit. NBPOL has its own RSPO membership (1-0016-04-000-00) and have achieved certification for all the certification units. As for the Plantation in Liberia, Sime Darby has completed the NPP in 2011. However, the plantation sites will be included in TBP upon completion of the mill which is delayed due to Ebola and long drought season.

There was a change of the Time Bound Plan (TBP) under Sime Darby Indonesia Operation due to the on-going mediation and DSF facilitation Process by RSPO DSF at PT Mitra Austral Sejahtera (PT MAS). This was the result from the mediation meeting held on 22 July 2014. PT MAS was audited as per the original TBP by RSPO accredited Certification Body in 2011. Due to the on-going mediation process, the CB that assessed PT MAS is yet to issue the certificate. BSI has accepted the revision as justified revision due to the commitment shown by all parties involves resolving the community issue. This is also accepted by the CB that assessed PT MAS. Discussion was held with the CB that assessed the PT MAS and Sime Darby.

Due to the present mediation process, PT Mitra Austral Sejahtera TBP was revised to 2016 by Sime Darby pending on the resolution and mediation process which is acknowledged by RSPO. The final decision of issuing the certificate is under the CB that audited the PT MAS. BSI has contacted the CB and consultation was held. The CB that audited PT MAS accepted the revision of the TBP. BSI accepted the feedback from the CB that audited PT MAS as per the RSPO Certification System requirement "Where the Certification Body conducting the surveillance audit is different from that which first accepted the time-bound plan, the later Certification Body shall accept the appropriateness of the time-bound plan at the moment of first acceptance and shall only check continued appropriateness". BSI understands that there are community issue still under negotiation through agreed process.

The improvement is in progress and acknowledge by RSPO and all parties as mutually agreed process. Latest meeting among the community and Sime Darby was held on 14 January 2016. The current status details are provided in the Appendix B. BSI has consider that Sime Darby still comply with the RSPO requirement for partial certification and has justified the revision to TBP.

- a) There is no any other isolated lapse in Time Bound Plan.
- b) No systematic failures to proceed with implementation of the Time Bound Pan since first certified.
- c) The changes in the Time bound Plan for PT Mitra Austral Sejahtera was justified and appropriate.

BSI has continued involvement with assessments of Sime Darby Management Units during the 2014 period and beginning 2015. BSI is also communicating with other Certification Bodies that auditing Sime Darby's other operating units to identify any noncompliance with rules of partial certification as per requirement in RSPO Certification System. During this assessment BSI has contacted the certification body that audited PT MAS to get the latest update of the

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progress. Sime Darby consistently has kept BSI informed of any emerging issues and claims made against it. Other than the PT MAS issue, at the time of preparation of this Report, BSI is not aware of any new issues involving:

- a. Any unresolved significant land disputes;
- b. Any replacement of primary forest or loss of HCVs;
- c. Any labour disputes that are not being resolved through an agreed process;
- d. Any evidence of noncompliance with any law at any of the landholdings.

Time Bound Plan		
Requirement	Remarks	Compliance
Summary of the Time Bound Plan		
Does the plan include all subsidiaries, estates and mills?	The time bound plan includes all SOUs in Malaysia and Indonesia. Malaysia- Effectively 34 SOUs: Sg Samak and Jeleta Bumi, Yong Peng, Sepang, Mostyn and Segaliud POM has been closed down. Indonesia- Effectively 25 SOUs. For Liberia operations, a new mill is being set up and commissioned in Feb 2016. Preparation to undergo the RSPO Certification process is in progress and SDP targets to undergo RSPO Certification by end 2017.	Yes
Is the time bound plan challenging? <ul style="list-style-type: none"> • Age of plantations. • Location. • POM development • Infrastructure. • Compliance with applicable law. 	Sime Darby Plantation's time bound plan for certification is initially 3 years, starting 2008 – 2011. SDP has had all its SOUs (Malaysian & Indonesian) completing the RSPO Main Assessment by end Dec 2011 in accordance to the initial timebound plan. As at Dec 2011, all Malaysian SOUs have been RSPO certified (with the exception of 2 new oil mills commissioned to replace the current oil mills after the initial timebound plan targets). The 2 new mills have been RSPO Certified in Jan and Feb 2014. For Indonesian operations, currently, 1 SOU in Indonesia (PT MAS) is pending for RSPO Certification due to social legacy issues. SDP's is actively working on its certification targets given the span across a large geographical location and over 200 estates and mills in operation.	Yes
Have there been any changes since the last audit? Are they justified?	97% of Sime Darby Plantation's upstream operations is RSPO certified, one SOU - PT MAS pending certification in Indonesia due to some social disputes and a new oil mill in Liberia has been commissioned in Feb 2016. SDP's time bound plan has been revised to take into consideration the social challenges encountered in Indonesia for the remaining SOU (PT MAS) yet to be certified. Sime Darby Plantation will proceed with the next steps of certification upon satisfactory resolution of the matter.	Yes

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<p>If there have been changes, what circumstances have occurred?</p>	<p>Indonesia- PT MAS has undergone RSPO Main Assessment in July 2011. The certification body for PT MAS has considered that Sime Darby Plantation still meets the requirements of the RSPO for Partial Certification and the report has been submitted for EB review. A verification audit was conducted by the Certification Body in early 2013 and Sime Darby Plantation will proceed with the next steps of certification upon satisfactory resolution of the matter. Ongoing and regular (bi-monthly) discussions is ongoing between Sime Darby Plantation and the project affected communities. Reports on the progress update are submitted to RSPO on a regular basis since November 2012. The latest progress report submitted to RPSO dated 30th June 2016.</p> <p>Smallholders- As at June 2016, total of 24,820 Ha (59%) of total Ha, (42,008 Ha) of associated smallholders in Indonesia has been certified. Certification process for the remaining associated smallholders areas is on-going. SDP expect to achieve 100% RSPO certification of associated smallholders and outgrowers by end 2019.</p> <p>Liberia- A new mill will be set up in Liberia and planned for commissioning in Feb 2016. Preparation to undergo the RSPO Certification process is in progress and SDP targets to undergo RSPO Certification by end 2017. RSPO NPP process has been completed in 2011. Internal assessment against the draft Liberia NI has been completed and closing of gaps is in progress.</p>	<p>Yes</p>
<p>Have there been any stakeholder comments?</p>	<p>Up to date, there is no comment. SDP continues to engage all affected parties through regular discussions and progress reporting is being made to the RSPO Secretariat.</p>	<p>Yes</p>
<p>Have there been any newly acquired subsidiaries?</p>	<p>In March 2015, Sime Darby Plantation completed the acquisition of New Britain Palm Oil Limited (NBPOL). NBPOL is managed under a separate entity and the reporting of timebound plan will be under NBPOL's management. NBPOL is considered as a different entity/member under the RSPO and NBPOL is 100% RSPO Certified.</p> <p>A new mill has been set up in Liberia and planned for commissioning in Feb 2016. Preparation to undergo the RSPO Certification process is in progress and SDP targets to undergo RSPO Certification by end 2017. *RSPO NPP process has been completed in 2011. Internal assessment against the draft Liberia NI has been completed and closing of gaps is in progress.</p>	<p>Yes</p>
<p>Have there been any isolated lapses in implementation of the plan?</p>	<p>No lapses.</p>	<p>Yes</p>
<p>Un-Certified Units or Holdings</p>		

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<p>Did the company conduct an internal audit? If so, has a positive assurance statement been produced?</p>	<p>Indonesia - PT Mitra Austral Sejahtera has undergone RSPO Main Assessment in July 2011. The certification body for PT MAS has considered that Sime Darby Plantation still meets the requirements of the RSPO for Partial Certification and the report has been submitted for EB review. A verification audit was conducted by the Certification Body in early 2013 and Sime Darby Plantation will proceed with the next steps of certification upon satisfactory resolution of the matter. Reports on the progress update are submitted to RSPO on a regular basis since November 2012. The latest progress report submitted to RPSO dated 30th June 2016. Further details please refer to the RSPO Complaints Website: http://www.rspo.org/members/complaints/status-of-complaints/view/29 Liberia – New mill commissioned in Feb 2016, identification of gaps and preparation to meet the requirements of the RSPO P&C is in progress.</p>	<p>Yes</p>
<p>No replacement after dates defined in NIs Criterion 7.3:</p> <ul style="list-style-type: none"> • Primary forest. • Any area identified as containing High Conservation Values (HCVs). • Any area required to maintain or enhance HCVs in accordance with RSPO criterion 7.3. 	<p>HCV assessment has been conducted for uncertified units i.e. PT Mas (by Aksenta in March 2009) and Sime Darby Plantation Liberia operations (by RSPO approved assessors – Dr SK Yap in 2011).</p>	<p>Yes</p>
<p>Any new plantings since January 1st 2010 must comply with the RSPO New Plantings Procedure.</p>	<p>A new mill will be set up in Liberia and planned for commissioning in Feb 2016. Preparation to undergo the RSPO Certification process is in progress and SDP targets to undergo RSPO Certification by end 2017. RSPO NPP process has been completed in 2011. Internal assessment against the draft Liberia NI has been completed and closing of gaps is in progress. *Note: RSPO NPP Announcements for SDP can be http://www.rspo.org/certification/new-planting-procedures/public-consultations/page/14?</p>	<p>Yes</p>
<p>Any Land conflicts are being resolved through a mutually agreed process, e.g. RSPO Grievance procedure or Dispute Settlement Facility, in accordance with RSPO criteria 6.4, 7.5 and 7.6.</p>	<p>Sime Darby (Liberia) Plantation Inc. Status: Box G - Close for Monitoring Further details please refer to: http://www.rspo.org/members/complaints/status-of-complaints/view/46 PT Mitra Austral Sejahtera (Sime Darby Sdn Bhd) Further details please refer to: http://www.rspo.org/members/complaints/status-of-complaints/view/29</p>	<p>Yes</p>
<p>Any Labor disputes are being resolved through a mutually agreed process, in accordance with RSPO criterion 6.3.</p>	<p>No stakeholder comments or complaints received.</p>	<p></p>

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Any Legal non- compliance is being resolved in accordance with the legal requirements, with reference to RSPO criteria 2.1 and 2.2.	None noted. No stakeholder comments or complaints received.	Complied.
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3.3 Details of findings

The nonconformity is listed below. The summary report of the assessment by criteria is listed in Appendix A.

During the 2nd Annual Surveillance Assessment there was 2 (two) Major nonconformities & 2 (two) Minor nonconformities raised. The East Palm Oil Mill Certification unit submitted Corrective Action Plans for the nonconformity. Corrective action plans with respect to the nonconformity was reviewed by the BSI audit team and accepted.

The implementation of the Corrective Actions for the Major Nonconformity(ies) has been verified for it effectiveness and closed accordingly.

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1444834-201702-M1	Requirements Indicator 4.7.2 All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers.	Major
	Evidence of Nonconformity Installation works new Boiler in the mill was not identified and included in the HIRARC register.	
	Statement of Nonconformity Non-routine operation was not comprehensively risk assessed and documented.	
	Corrective Actions The identified the risk involve in installation work for the new Boiler in the mill and included in HIRARC register. HIRARC is required to be prepared before start of job for non-routine operation (Contract Work). The kick off meeting will be conducted before commencement any work and the HIRARC issue will mention in the meeting. Training has been provided to all the staff and executive to ensure all the activities in the mill and estate.	
	Assessment Conclusion The CAP and evidence submitted confirmed that the issue has been fully addressed hence the Major NC was closed on 17/3/2017. No onsite audit is required as the closure evidence relating to documentation is sufficient for offsite closure.	

Non-Conformity		
NCR #	Description	Category

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		(Major / Minor)
1444834-201702-M2	Requirements Indicator 2.1.1 Evidence of compliance with relevant legal requirements shall be available. FMA Act 1967 Section 19 Certificate of fitness – no person shall operate or cause or permit to be operated any machinery in respect of which a certificate of fitness is prescribed, unless there is in force in relation to the operation of the machinery a valid certificate of fitness issued under this Act.	Major
	Evidence of Nonconformity During site visit to the workshop (storeroom), the air compressor in use does not have the certificate of fitness for unfired pressure vessels.	
	Statement of Nonconformity Evidence of compliance was not effectively implemented.	
	Corrective Actions Compressor with no certificate of fitness for unfired pressure vessel stored at main store was dismantled and removed from store to prevent unauthorized use. Machinery identified to have no fitness certificates shall be dismantled and disposed and no longer keep at the main store. List of register of active machineries are used to monitor the permit and license.	
	Assessment Conclusion The machine dismantled and verified during onsite audit. No other machinery which without certificate of fitness detected onsite. The CAP and evidence submitted later confirmed that the issue has been fully addressed hence the Major NC was closed on 17/3/2017. No onsite audit is required as the closure evidence relating to documentation is sufficient for offsite closure.	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1444834-201702-N1	Requirements Indicator 5.2.3 There shall be a programme to regularly educate the workforce about the status of these RTE species, and appropriate disciplinary measures shall be instigated in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species.	Minor
	Evidence of Nonconformity A macaque was found in cage at worker's house no. B21, species was then confirmed as long tail macaques (m. Fascicularis), it is a non protected species in Malaysia and listed as Least Concern under IUCN. However, it is confirmed through worker's interview that no permit or approval has been obtained from the management to keep macaques. Awareness training to workers on wildlife management within the concession is lacking. No relevant record found on the muster briefing book since Sep 2016 till Feb 2017 as stated in the HCV management plan FY16/17 for HCV training during muster.	

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	<p>Statement of Nonconformity HCV awareness training to workers on wildlife management within the concession is lacking.</p>	
	<p>Corrective Actions Estate management has decided any macaques is not permitted cage in the housing complex. The immediate action has been taken with release the macaques to the field. The warning letter has been issue to the related worker. Auditor had verified that the manqué being released during onsite visit. Review and revise the HCV plan for FY 16/17. To obtain awareness training from PSQM and ensure the training involve by the workers. Conduct the housing inspection periodically (weekly).</p>	
	<p>Assessment Conclusion The corrective action plan is accepted. Effectiveness of corrective action taken will be verified in the next audit.</p>	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1444834-201702-N2	<p>Requirements Indicator 4.7.3 Adequate and appropriate protective equipment shall be available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application.</p>	Minor
	<p>Evidence of Nonconformity During the field visit at block 15b at Sepang Estate , sprayer operators were found not wearing any eye protection during spraying. Interviews the workers noted that the workers did not wear the goggles due to misty.</p>	
	<p>Statement of Nonconformity Protective equipment for eye protection was not available to sprayer at the field to cover all potentially hazard during the pesticide application.</p>	
	<p>Corrective Actions Briefing was conducted to the sprayers on the importance of wearing provided eye protection during carry out spraying work. A new and improved 3M anti-fog goggles model was issued to the sprayers on 24th February 2017. Daily PPE checklist for sprayer prior commencement of spraying work.</p>	
	<p>Assessment Conclusion The corrective action plan is accepted. Effectiveness of corrective action taken will be verified in the next audit.</p>	

Observation	
OBS #	Description

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1	Nil
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Positive Findings	
PF #	Description
1.	The organization has a mature management system and has demonstrated a satisfactory implementation of the system particularly on areas being assessed during this visit.
2.	All personnel were cooperative during the assessment process

Issues raised by Stakeholders	
<p>Stakeholder consultation involved internal and external stakeholders. External stakeholders were contacted by telephone to arrange meetings at a location convenient to them to discuss East Palm Oil Mill Certification Unit's environmental and social performance, legal and any known dispute issues.</p> <p>Meetings were conducted with stakeholders to seek their views on the performance of the company with respect to the RSPO requirements and aspects where they considered that improvements could be made. At the start of each meeting, the interviewer explained the purpose of the audit followed by an evaluation of the relationship between the stakeholder and the company before discussions proceeded. The interviewer recorded comments made by stakeholders and later was verified with the management team. These have been incorporated into the assessment findings.</p> <p>Structured worker interviews with male and female workers and staff were held in private at the workplace in the mill and the estates. Fieldworkers were interviewed informally in small groups in the field. In addition, the wives of workers and staff were interviewed in informal group meetings at their housing. Separate visits were made to each of the local communities to meet with the village head and residents. Company officials were not present at any of the internal or external stakeholder interviews. A list of Stakeholders contacted is included as Appendix E.</p>	
IS #	Description
1	Issues: Crèche teacher- the teacher request a water supply tank due to water disruption from Syabas.
	Management Responses: The management will continue to support the committee in organising activities.
	Audit Team Findings: No further comment.
2	Issues: Gender Committee Head- Up to date, no any cases of sexual harassment in the management unit. The committee also try to be active in organizing more activities on monthly basics.
	Management Responses: The management will continue to support the committee in organising activities.
	Audit Team Findings: No further comment.
3	Issues: Smallholder (Sepang Estate) - The smallholder using the estate road to access to their orchard. Up to date, no land dispute was reported. They have good relationship with the management.
	Management Responses: The management has maintained trenches and pegging to demarcate the boundaries.
	Audit Team Findings: No further issue.
4	Issues:

	Contractors – The contractor supplying some workers to the estate. They informed that the payment was made promptly and they signed contract agreement with the management.
	Management Responses: The management has made payment promptly according to the agreement signed.
	Audit Team Findings: Document review on the payment records and contract agreements found that no issue sighted.
5	Issues: NUPW Representative – He explained that the pay and conditions was according to Minimum Wage Order 2016. They were provided with housing and amenities such as medical assistant and transport to send children to school.
	Management Responses: The management will continue to comply with the legal requirement.
	Audit Team Findings: No further issue.

3.3.1 Status of Nonconformities Previously Identified and Observations

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1298818N1	<p>Requirements: Indicator 6.5.3 Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible.</p> <p>Evidence of Nonconformity: Durian Dusun Estate: Visit to the Crèche found ceiling and cupboards were not in good condition and could cause harmful effects to the children and caretaker.</p> <p>Statement of Nonconformity: Maintenance of Crèche was not adequate.</p> <p>Corrective Action: Demolishing old cupboards and repainting ceiling to prevent harmful to the children and caretaker. Weekly inspection of the housing area and facilities to ensure all building are properly maintain.</p> <p>Assessment Conclusion: The CAP and evidence submitted confirmed that the issue has been fully addressed hence the Minor NC was closed on 24/2/2017. Site visit to the Crèche and other facilities found the maintenance are sufficient. Interviewed the person in charge and confirmed all the required repairs are done accordingly.</p>	Minor

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1298818N2	<p>Requirements: Indicator 5.6.3</p>	Minor

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	<p>A monitoring system shall be in place, with regular reporting on progress for these significant pollutants and emissions from estate and mill operations, using appropriate tools.</p>	
	<p>Evidence of Nonconformity: All operating units: No evident of reporting on progress of monitored GHG emissions to RSPO - ERWG as required by RSPO.</p>	
	<p>Statement of Nonconformity: Regular reporting on progress of monitored GHG emissions from mill not in place.</p>	
	<p>Corrective Action: Root cause: Sime Darby propose to used own GHG Calculator however data from estate and mill was not yet ready to be generated before audit conducted. Correction: Collect and gather all data required for the GHG Calculator.</p> <p>Corrective Action Plan: Data generated from the system will ease the calculation of the GHG and will be available during next coming audit.</p>	
	<p>Assessment Conclusion: Based on email dated 22/2/2017 from GHG calculation reporting PIC, communication was done with RSPO ERWG PIC through email dated 17/1/2017 to seek for extension of reporting time. RSPO ERWG PIC allowed reporting for period from Jan – Dec 2016 by Feb 2017. The previous GHG monitoring period (Jan – Dec 2015) was generated and reported to GHG ERWG on 19/4/2016. GHG monitoring data for the period from Jan – Dec 2016 was produced and reported to RSPO ERWG on 23/2/2017 through email as evidence.</p> <p>This confirmed the corrective action taken was effective after verified the new GHG calculation. Hence minor nonconformity satisfactorily closed on 24/2/2017.</p>	

Observation	
OBS #	Description
N.A	

3.3.2 Summary of the Nonconformities and Status

CAR Ref.	CLASS	ISSUED	STATUS
CR01 - 2.1.1	Major	23/1/2009	Closed out on 30/1/2009
CR02 - 5.3.1	Major	5/4/2011	Closed out on 10/5/2011
CR03 - 2.2.3	Minor	5/4/2011	Closed out on 21/03/2012
CR04 - 4.4.6	Minor	21/3/2012	Closed out on 6/2/2013
CR05 - 6.1.3	Minor	6/2/2013	Closed out on 12/2/2014
1022245M1 - 4.7.1	Major	14/2/2014	Closed out on 7/4/2014
1022245N0 - 5.3.2	Minor	14/2/2014	Escalated into Major NC (1149356M2) under indicator 5.3.3 (P&C 2013)
1022245N2 - 6.5.2	Minor	14/2/2014	Closed out on 26/2/2015
1149356M1- 2.1.1	Major	27/2/2015	Closed out on 8/4/2015

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1149356M2 – 5.3.3	Major	27/2/2015	Closed out on 8/4/2015
1298818N1 – 6.5.3	Minor	24/2/2016	Closed out on 24/2/2017.
1298818N2 – 5.6.3	Minor	24/2/2016	Closed out on 24/2/2017.
1444834-201702-M1 – 4.7.2	Major	23/02/2017	Closed out on 17/3/2017
1444834-201702-M2 – 2.1.1	Major	23/02/2017	Closed out on 17/3/2017
1444834-201702-N1 – 5.2.3	Minor	23/02/2017	“Open”
1444834-201702-N2 – 4.7.3	Minor	23/02/2017	“Open”

Assessment Conclusion and Recommendation:

Based on the findings during the assessment East Palm Oil Mill Certification Unit and supply base complies with the RSPO P&C 2013 (MY-NI 2014) and the RSPO Supply Chain Certification Standard (Nov 2014) for CPO Mill. It is recommended that the certification of East Palm Oil Mill Certification Unit is approved and continued.

Acknowledgement of Assessment Findings	Report Prepared by
Name: 	Name: Mr Hoo Boon Han
Company name: Sime Darby Plantation Sdn Bhd East Palm Oil Mill (SOU 8)	Company name: BSI Services Malaysia Sdn Bhd
Title: Mill Manager	Title: Lead Auditor
Signature:  Date: 25 April 2017	Signature:  Date: 25 April 2017

Appendix A: Summary of Findings

Criterion / Indicator		Assessment Findings	Compliance
Principle 1: Commitment to Transparency			
Criterion 1.1: Growers and millers provide adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages and forms to allow for effective participation in decision making.			
1.1.1	There shall be evidence that growers and millers provide adequate information on (environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making. - Minor compliance -	Adequate information covering on environmental, social and legal issues which are relevant to RSPO Criteria and relevant to stakeholders is shared for effective participation and decision making. Requests for information from the Regulatory Department such as DOE quarterly reports were attended and no noncompliance or complaints were noted. Information on environmental, social and legal issues relevant to RSPO Criteria was made available to relevant stakeholders for effective participation in decision making. Publicly available documents such as land title, OSH plan, HGV documents, negotiation procedure, complaint records, RSPO public summary reports, EIA, Management Plans & Continuous Improvement Plans and company policies are available.	Complied
1.1.2	Records of requests for information and responses shall be maintained. -Major compliance	Records of request for information maintained in individual files by the chief clerk. Records of stakeholder requesting information recorded in the visitor's book.	Complied
Criterion 1.2: Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.			

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Criterion / Indicator	Assessment Findings	Compliance
<p>1.2.1</p> <p>Publicly available documents shall include, but are not necessary limited to:</p> <ul style="list-style-type: none"> • Land titles/user rights (Criterion 2.2); • Occupational health and safety plans (Criterion 4.7); • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); • HCV documentation (Criteria 5.2 and 7.3); • Pollution prevention and reduction plans (Criterion 5.6); • Details of complaints and grievances (Criterion 6.3); • Negotiation procedures (Criterion 6.4); • Continual improvement plans (Criterion 8.1); • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13). <p>- Major compliance –</p>	<p>There was no restriction noted as to the documents made available to the public except those prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes. Sime Darby Plantation Sdn Bhd continued to use the internet for disseminating public information. Information relating to land titles, safety and health plans, pollution prevention plans was made available at all operating units. Procedure for complaints and grievances were available through Sime Darby Plantation Sdn Bhd website: http://www.simedarbyplantation.com/Sustainability.aspx</p> <p>Among the documents that were made available for viewing are:</p> <ul style="list-style-type: none"> • Good Agricultural Practices • Social Enhancement • Sustainability Management Programs • Complaint and Grievances procedure. • Environmental Conservation <p>These documents highlight current Sime Darby Plantation Sdn Bhd practices and their continual improvement plans. Besides the above document Sime Darby Plantation Sdn Bhd policy on the followings are also available at the same website:</p> <ol style="list-style-type: none"> 1. Social 2. Quality 3. Food Safety 4. Occupational Safety & Health 5. Environment & Biodiversity 6. Slope Protection and Buffer Zone 7. Lean Six Sigma 8. Gender <p>In addition to the website, the policies were also displayed at various locations including the main notice boards of the estates, mill offices and muster ground notice boards for employees and visitors to view.</p>	<p>Complied</p>
<p>Criteria 1.3: Growers and millers commit to ethical conduct in all business operations and transactions.</p>		
<p>1.3.1</p> <p>There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions, which shall be documented and communicated to all levels of the workforce and operations.</p> <p>-Minor compliance</p>	<p>Committing to a code of ethical conduct and integrity in all operations and transactions documented and communicated to all levels of the workforce and operations.</p> <p>The code of business conduct available since December 2011 includes elements of human right as well.</p> <p>Signed declaration for compliance with Sime Darby Group COBC was verified and copy made available in the website http://www.simedarby.com/Governance.aspx</p>	<p>Complied</p>
<p>Principle 2: Compliance with applicable laws and regulations</p>		
<p>Criterion 2.1: There is compliance with all applicable local, national and ratified international laws and regulations.</p>		

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<p>2.1.1</p>	<p>Evidence of compliance with relevant legal requirements shall be available. - Major compliance -</p>	<p>SOU8 had continued to comply with the legal requirements as per indicator. Compliance to each applicable law and regulation is monitored by the operating units and PSQM sustainability team. SOU8 had obtained and renewed license and permits as required by the law.</p> <p>Sample of licenses or permit viewed were:</p> <p>EPOM:</p> <ol style="list-style-type: none"> 1. MPOB license: 533088004000 (validity period 01/10/2016 – 30/09/2017) for 144,000MT. 2. DOE License: JPKKS/16/001456 (validity period 01/07/2016 - 30/06/2017). 3. Diesel Permit # B024360, ref B.PGK.SEL/5857 (P) (27/12/2016 – 26/12/2017) Quantity: 15,500 liter. 4. Energy commission license no: 2016/01737; serial no: 17179 (validity period 26/07/2016 – 25/07/2017) for 2040 kW installation capacity. 5. Electrical Charge-man A4, PJ-T-4-H-1382-2000 licenses registered since 10/2/2014. 6. Steam Boiler and Steam Engine Driver <ol style="list-style-type: none"> i. JKJ 18 – SL/13/EIS/02/19 (2nd Grade) ii. JKJ 18 – SL/16/EIS/02/10 (2nd Grade) 7. Competent Person for Scheduled Waste - CePSWaM (Certified Professional in Scheduled Waste Management) – Mohd Azhar Bin Md Zain (720913-03-5183) validity 01/06/16 to 01/06/17. <p>During site visit to the workshop (storeroom), the air compressor in use does not have the certificate of fitness for unfired pressure vessels.</p> <p>East Estate:</p> <ol style="list-style-type: none"> 1. MPOB license: 5313308002000 (validity period 01/08/2016 – 31/07/2017). 2. Diesel Permit # B019646, ref B.PGK.SEL/01023 (18/11/2015 – 17/11/2016) Quantity: 15,000 liter. New permit is under process due to failure of BLESS system. However payment made (20/02/17 – BLESS20170220211349134323). 3. DOA Permit to Purchase of Acephate Quantity: 2000kg Ref#: SEL/2017/ACP/0002(GL) (validity period 06/01/2017 – 26/01/2017). 4. License to possess arms and ammunition KP Approval FSA/K.LGT/-1/2016 bth.10/11/2016. Receipt No. C997591, District arms license register serial no. BSA Meteor No TH28249. <p>Sepang Estate:</p> <ol style="list-style-type: none"> 1. MPOB license: 533267002000 (validity period 01/10/2016 – 30/09/2017). 2. Diesel Permit # B008990, ref SL (SPG) 89/09 SK (D) (15/09/2016 – 14/09/2017) Quantity: 12,000 liter. 	<p>Major nonconformance</p>
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Criterion / Indicator		Assessment Findings	Compliance
		<p>3. DOA Permit to Purchase of Acephate Quantity: 500kg Ref#: SEL/2016/ACP/00028(GL) (validity period 03/06/2016 – 23/06/2016).</p> <p>4. License to possess arms and ammunition KP Approval SPG/407@256749 bth.08/11/2016. Receipt No. 978805.</p>	
2.1.2	<p>A documented system, which includes written information on legal requirements, shall be maintained. - Minor compliance -</p>	<p>SOU8 had documented the Legal & Other Requirements Register (LORR) covering all the necessary regulatory requirements. List of applicable legal and other requirements was made available during the assessment.</p> <p>EPOM – KKS East LORR FY 2016/2017</p> <p>East Estate – Sime Darby Plantation Sdn Bhd FY 16/17 East Estate.</p> <p>Sepang Estate – Sepang Estate FY 2016/2017 Sepang Estate.</p> <p>Documented procedure has been established and implemented; refer to Estate/Mill Quality Management System, Level 2: Standard Operating Manual, Appendix 5.2.4: Procedure for Legal and Other Requirements dated 10 December 2008.</p>	Complied
2.1.3	<p>A mechanism for ensuring compliance shall be implemented. - Minor compliance -</p>	<p>A mechanism to ensure compliance to legal and other requirement has been documented in EQMS & MQMS (Estate & Mill Quality Management System) under Standard Operation Manual distributed to all operating units. PSQM Department and respective operating units will undertake the responsibility of identifying, managing, updating and tracking the legal requirement as well as monitoring the status of legal compliance. Refer to Estate/Mill Quality Management System, Level 2: Standard Operating Manual, Appendix 5.2.4: Procedure for Legal and Other Requirements dated 10 December 2008.</p> <p>Evaluation of the legal requirements and compliance status with legal requirement are monitored by the operating units.</p> <p>EPOM - Latest review was done on 31/12/2016. East Estate - Latest review was done on 05/01/2017. Sepang Estate - Latest review was done on 01/09/2016.</p>	Complied
2.1.4	<p>A system for tracking any changes in the law shall be implemented. - Minor compliance -</p>	<p>Tracking system to identify changes in the relevant regulations is available through the head office, website information and is communicated from the Group Head Office.</p> <p>On the site verification, interviews with office personnel and records indicate that the system is appropriate to the operation. Tracking system on any changes in the law had been well implemented.</p>	Complied
<p>Criterion 2.2: The right to use the land is demonstrated, and is not legitimately contested by local people who can demonstrate that they have legal, customary or user rights.</p>			

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Criterion / Indicator	Assessment Findings	Compliance
2.2.1 Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available. - Major compliance -	East Mill and Estate operation is on freehold and leasehold land. Land titles and copy of land titles are available during the audit. East Estate land titles with paid quit rent sighted for: 1. Grant No.0009688 (Lot#0005989) 2. Grant No.0044326 (Lot#0002700) 3. Grant No.0049799 (Lot#0002698) 4. Grant No.0000437 (Lot#0002669) 5. Grant No.0310867 (Lot#0002664) Sepang Estate land titles with paid quit rent sighted for: 1. Grant No.0080528 (Lot#0005759) 2. Grant No.0080527 (Lot#0005755) 3. Grant No.0053307 (Lot#0001074) 4. Grant No.0047020 (Lot#0001145) 5. Grant No.0080611 (Lot#0005758)	Complied
2.2.2 Legal boundaries shall be clearly demarcated and visibly maintained. - Minor compliance -	East Estate - Field visit to OP 08C2 noted that boundary is visibly maintained at "Mah Meri graveyard" and verified during the visit. Sepang Estate - Field visit to O5C1 noted that boundary with smallholders is visibly maintained and verified during the visit. Legal boundaries are clearly demarcated and visibly maintained throughout the estate. EPOM is located inside East Estate and sharing the estate boundary. All the boundaries are visibly maintained as per company SOP.	Complied
2.2.3 Where there are or have been disputes, additional proof of legal acquisition of title and evidence that fair compensation has been made to previous owners and occupants shall be available, and that these have been accepted with free, prior and informed consent (FPIC). - Minor compliance -	Sime Darby did not acquire land from landowners, but leased it directly from the government.	Complied
2.2.4 There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved. -Major compliance	Sime Darby did not acquire land from landowners, but leased it directly from the government.	Complied
2.2.5 For any conflict or dispute over the land, the extent of the disputed area shall be mapped out in a participatory way with involvement of affected parties (including neighbouring communities where applicable). -Minor compliance	Sime Darby did not acquire land from landowners, but leased it directly from the government.	Complied

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Criterion / Indicator	Assessment Findings	Compliance
2.2.6	To avoid escalation of conflict, there shall be no evidence that palm oil operations have instigated violence in maintaining peace and order in their current and planned operations. -Major compliance	Sime Darby did not acquire land from landowners, but leased it directly from the government. Complied
Criterion 2.3: Use of the land for oil palm does not diminish the legal rights, customary or user right of other users without their free, prior and informed consent.		
2.3.1	Maps of an appropriate scale showing the extent of recognized legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighbouring communities where applicable, and relevant authorities). - Major compliance -	Sime Darby did not acquire land from landowners, but leased it directly from the government. Complied
2.3.2	Copies of negotiated agreements detailing the process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and shall include: a) Evidence that a plan has been developed through consultation and discussion with all affected groups in the communities, and that information has been provided to all affected groups, including information on the steps that shall be taken to involve them in decision making; b) Evidence that the company has respected communities’ decisions to give or withhold their consent to the operation at the time that this decision was taken; c) Evidence that the legal, economic, environmental and social implications for permitting operations on their land have been understood and accepted by affected communities, including the implications for the legal status of their land at the expiry of the company’s title, concession or lease on the land. - Minor compliance -	Sime Darby did not acquire land from landowners, but leased it directly from the government. Complied
2.3.3	All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements. -Minor compliance	Sime Darby did not acquire land from landowners, but leased it directly from the government. Complied

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Criterion / Indicator		Assessment Findings	Compliance
2.3.4	Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel. -Major compliance	Sime Darby did not acquire land from landowners, but leased it directly from the government.	Complied
Principle 3: Commitment to long-term economic and financial viability			
Criterion 3.1: There is an implemented management plan that aims to achieve long-term economic and financial viability.			
3.1.1	A business or management plan (minimum three years) shall be documented that includes, where appropriate, a business case for scheme smallholders. - Major compliance -	SOU8 had an annual budget for the financial year 2016/2017. The palm oil mill budget includes the projected FFB processed, CPO and PK production which projected for five years. Sighted for East Estate 10 years business plan (MPLAN_2016) from the FY 2012/13 until FY 2020/21.	Complied
3.1.2	An annual replanting programme projected for a minimum of five years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review, shall be available. - Minor compliance -	Annual replanting programme projected for a minimum of five years and yearly review conducted at the head office level and participated by the Regional GM and Estate managers. Replanting and immature checklist form R1.20 used for evaluating the replanting area. Review based on the replanting information form R1.10. <u>East Estate:</u> 322.65ha (6%) will be replanted in current 2016/17 FY. The ten years replanting programme was available from FY 2015/16 until 2024/25. <u>Sepang Estate:</u> 165.56ha (6%) will be replanted in current 2016/17 FY. The long range replanting programme was available for FY 2015/16 until FY 2025/26.	Complied
Principle 4: Use of appropriate best practices by growers and millers			
Criterion 4.1: Operating procedures are appropriately documented, consistently implemented and monitored.			
4.1.1	Standard Operating Procedures (SOPs) for estates and mills are documented - Major compliance -	SOP available for the Palm Oil Mill and the Estates. Palm Mill holds two SOPs: Sustainability Plantation Management System (MQMS/SOM/08 v.1 dated 1/11/2008) includes mill SOP and Mill Quality Management System Manual v.1 2008/MQMS/QMM/08 as a guidance document to operate the mill. Estates have a separate SOP (Sime Darby SOP issued 2/1/2008 and Agricultural Reference Manual serial no.: SDP/OP/ARM/10428; ver. 3; dated: 1/7/2011) covers land preparation, planting material, upkeep, harvesting, transport etc. Latest update to SOP was SOP for water quality monitoring, water sampling and fertilizer sampling techniques, SPMS-Appendix 7 where trainings were conducted at 11 different locations and SOUs on December 2016.	Complied

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Criterion / Indicator	Assessment Findings	Compliance
4.1.2 A mechanism to check consistent implementation of procedures shall be in place. - Minor compliance -	External Mill Advisor and a Planting Advisor inspect and report on the operations on annual basis. The on-site managers develop Action Plans from the Advisory Reports for improvement of the operations. Review of Advisory Reports, Action Plans and site inspections confirmed consistent records of implementation of SOPs. During mill visit it was noted that that operating parameters were consistently recorded by the operators. Mill advisor visit - Report ref: SOU8/ETM/01/16-17 Date of visit: 19-21 Dec 2016 There were other audits by PSQM and GCAD to ensure compliance against company policy and procedure with regards to operation, finance as well as safety, health and welfare requirements. Latest internal audit visit was conducted by PSQM department personnel from 7-9/12/2016 for SOU 8.	Complied
4.1.3 Records of monitoring and any actions taken shall be maintained and available, as appropriate. - Minor compliance -	The records of monitoring and the actions taken maintained for more than 12 months. Records were verified during the document review found compliance. Internal RSPO audit was conducted on 7/12/2016 by the RSPO & Certification Unit, PSQM. East Estate: PA visit: 20-25 Jul 2016 Report ref: SOU8/EE/01/16-17 PQR Rating given: Mature: 67.64 %, Others: 14.39% Agronomist: 8 Jul 2016 Sepang Estate: PA visit: 7-10 Nov 2016 report #: PAR/SeE/01/2016-17 Agronomist visited on 20-21 Dec 2016. Sighted also a Breeding Trial Proposals and Point Plan Maps as part of monitoring actions by R&D for sampled trial proposals and pint plan maps plots effective from 10/6/2016 which are still in active recording.	Complied
4.1.4 The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB). - Major compliance -	Not applicable. East Oil Mill only receive FFB from their own certified plantations.	Complied
Criterion 4.2: Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.		
4.2.1 There shall be evidence that good agriculture practices, as contained in Standard Operating Procedures (SOPs), are followed to manage soil fertility to a level that ensures optimal and sustained yield, where possible. - Minor compliance -	Good agriculture practices which follows the group agriculture manual contains Standard Operating Procedures to ensure soil fertility is managed to a level that ensures optimal and sustained yield.	Complied
4.2.2 Records of fertiliser inputs shall be maintained. - Minor compliance -	The application of fertilizer has been recorded in the application program form. Fertilizer application was based on agronomist recommendation (2016/2017 Agronomic & Fertilizer Manuring Recommendation Report – Oil Palm) from his visit on 8 Jun 2016. Recommendation was made as following for sampled field 98P1 Block 1 of East Estate: <ul style="list-style-type: none"> • Jul – Oct 2016: AS (21%N) = 2.25kg/palm • Jul – Oct 2016: MOP (60%K₂O) = 1.50kg/palm • Feb – Mar 2017: AS (21%N) = 2.25kg/palm • Feb – Mar 2017: RP (28%P₂O₅) = 2.00kg/palm • May/ Jun 2017: MOP (60% K₂O) = 1.25kg/palm 	Complied

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Criterion / Indicator		Assessment Findings	Compliance
4.2.3	There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status. - Minor compliance -	Sime Darby Seeds and Agriculture Services Sdn Bhd prepare the annual fertilizer recommendation. Leaf analysis result which shows the nutrient level was used as guidance for the fertilizer recommendation. Leaf sampling for Sepang Estate carried out on 20-21 Dec 2016 by Sime Darby R&D Department personnel. Periodic soil sampling is carried out at 5 years interval. Last done for both East and Sepang Estate was on 22/8/2014 (Test Report no.: S72/2014 dated 2/12/2014).	Complied
4.2.4	A nutrient recycling strategy shall be in place, and may include use of Empty Fruit Bunches (EFB), Palm Oil Mill Effluent (POME), and palm residues after replanting. - Minor compliance -	EFB application only applied to selected fields at the estates. Average about 45mt/ha EFB applied. Palm Oil Mill Effluent (POME) is applied to palms in furrows at East estate. Inspection of the area confirmed a well-managed system with two full-time operators in attendance continue to be employed.	Complied
Criterion 4.3: Practices minimise and control erosion and degradation of soils.			
4.3.1	Maps of any fragile soils shall be available. - Major compliance -	All the estates hold copies of soil map. Soil maps and field visit confirm that there is no fragile soil on the estates.	Complied
4.3.2	A management strategy shall be in place for plantings on slopes above a certain limit (this needs to be soil and climate specific). - Minor compliance -	Slope map available. Slope area constructed with terrace and side drainage. Planting terraces had been constructed where slope >10°. Fields are established with cover crops such as mucuna and soft grasses and ferns.	Complied
4.3.3	A road maintenance programme shall be in place. - Minor compliance -	Estates visited have implemented annual Road Maintenance Programme. Roads inspected during field audit are generally in a good condition due to the lateritic soil. Road maintenance carried out internally with grader and compactor. Road maintenance includes road grading, laterite re-surfacing wherever necessary, road side drain upkeep, culvert upkeep, road side silt pits construction etc. Monthly progress records are prepared and sent to head office.	Complied
4.3.4	Subsidence of peat soils shall be minimised and monitored. A documented water and ground cover management programme shall be in place. - Minor compliance -	There is no peat soil or soil categorised as problematic or fragile soil at all estates visited.	Complied
4.3.5	Drainability assessments shall be required prior to replanting on peat to determine the long-term viability of the necessary drainage for oil palm growing. - Minor compliance -	There is no peat soil.	Complied
4.3.6	A management strategy shall be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils). - Minor compliance -	There is no soil categorised as problematic or fragile soil at all estates visited.	Complied
Criterion 4.4: Practices maintain the quality and availability of surface and ground water.			

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<p>4.4.1</p> <p>An implemented water management plan shall be in place. - Minor compliance -</p>	<p><u>EPOM</u> Sighted an implemented plan established as East Oil Mill Environment Management Programme for Financial Year 2016/2017 included the normal water usage mainly for process, cleaning & etc.</p> <p>Water management action plan identified:</p> <ol style="list-style-type: none"> 1. Locate additional water source 2. Minimize water waste <p><u>East Estate</u> Sighted an implemented plan established as East Estate Water Management Plan FY 1617 included the normal water usage mainly for process, cleaning & etc.</p> <p>Water management action plan identified:</p> <ol style="list-style-type: none"> 1. Bund management 2. Tide gate management 3. Sluice gate/drain block 4. Desilting program 5. Water level marker 6. Water sampling <p>The Rainfall monitoring records (SOU8) East Estate was made available. The data shows an average rainfall from January 2016 till December 2016 at 185.94mm.</p> <p><u>Selang Estate</u> Sighted an implemented plan established as Identification and Management of Wastewaters for Financial Year 16/17 – SOU (8) Selang Estate included the normal water usage mainly for process, cleaning & etc.</p> <p>Action plan to reduce fresh water usage identified rainwater collection using containers and recycle the rainwater for washing office compounds.</p> <p>Contingency plan during water shortage identified water storage/dry spell where water bought from SYABAS for domestic use.</p> <p>The Rainfall monitoring records (SOU8) Selang Estate was made available. The data shows an average rainfall from January 2016 till December 2016 at 169.83mm.</p>	<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance												
<p>4.4.2 Protection of water courses and wetlands, including maintaining and restoring appropriate riparian and other buffer zones (refer to national best practice and national guidelines) shall be demonstrated. - Major compliance -</p>	<p>Documented as a Guidelines on River Reserve Management (Management of River Reserve in Sime Darby Plantation; dated April 2014). Buffer zones established as following:</p> <table border="1" data-bbox="659 504 1297 687"> <thead> <tr> <th>River width</th> <th>Buffer zone</th> </tr> </thead> <tbody> <tr> <td>> 40 meters</td> <td>50 meters</td> </tr> <tr> <td>20 to 40 meters</td> <td>40 meters</td> </tr> <tr> <td>10 to 20 meters</td> <td>20 meters</td> </tr> <tr> <td>5 to 10 meters</td> <td>10 meters</td> </tr> <tr> <td>< 5 meters</td> <td>5 meters</td> </tr> </tbody> </table> <p>Monitoring based on Sustainable Plantation Management System Appendix 7 Standard Operation Procedure (SOP) for taking water samples from streams/ivers, version 1, year 2008, issue no. 1, dated 1/11/2008.</p> <p>The water sampling exercise for river samples as well as water for domestic usage requirements need to be carried out on quarterly basis (January, April, July and October) as following:</p> <p>EPOM - East Palm Oil Mill monsoon drain water monitoring before & after records: Report no. IE111/2017 dated 18/01/17 by Sime Darby Research Sdn. Bhd. Report shown result was in compliance against the standard tested.</p>	River width	Buffer zone	> 40 meters	50 meters	20 to 40 meters	40 meters	10 to 20 meters	20 meters	5 to 10 meters	10 meters	< 5 meters	5 meters	<p>Complied</p>
River width	Buffer zone													
> 40 meters	50 meters													
20 to 40 meters	40 meters													
10 to 20 meters	20 meters													
5 to 10 meters	10 meters													
< 5 meters	5 meters													
<p>4.4.3 Appropriate treatment of mill effluent to required levels and regular monitoring of discharge quality, especially Biochemical Oxygen Demand (BOD), shall be in compliance with national regulations (Criteria 2.1 and 5.6). - Minor compliance -</p>	<p>Palm Oil Mill Effluent (POME) treated through anaerobic pond treatment system where the licensed limit for final discharge BOD allowed by DOE was 5000mg/l through land application. Regular monitoring was conducted by the mill by taking the sample of waste water in final discharge point on monthly basis and water at the upstream, midstream and downstream of the river on quarterly basis.</p> <p>Sampled effluent monitoring records: Monthly Effluent Analysis Test Report no. EP56/2017 dated 06/01/2017 by Sime Darby Research Sdn. Bhd.; parameter monitored-: pH, Total Alkalinity, VFA, BOD, COD, TS, SS, VSS, TN, AN, O&G.</p> <p>Samples were taken from each point of treatment in the system consist of raw pond, acid ponds, digester tanks and final pond before field application. BOD limit for final discharge <5000mg/L were met as well as all parameters that were within allowable limit.</p>	<p>Complied</p>												
<p>4.4.4 Mill water use per tonne of Fresh Fruit Bunches (FFB) (see Criterion 5.6) shall be monitored. - Minor compliance -</p>	<p>Recorded in File no. 5. Mill water use per tonne of FFB monitoring done accordingly as following:</p> <p>Water used: Average water consumed for the period from Jul 16 – Dec 16 = 1.07 t/FFB processed.</p>	<p>Complied</p>												
<p>Criterion 4.5: Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.</p>														

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Criterion / Indicator	Assessment Findings	Compliance
4.5.1 Implementation of Integrated Pest Management (IPM) plans shall be monitored. - Major compliance -	Similar to last assessment, the IPM is documented in Agriculture Reference Manual. The estates continue to implement biological control for the oil palm pest in the plantation such as leaf eating pest and rat. IPM techniques applied at the estates include monitoring of pest numbers and the use of triggers for initiation of control measures. Barn owls <i>Tyto alba</i> has been introduced for biological control of rats. Barn owl boxes are constructed at the rate of 1 box to 10ha. Plantation advisor report and Census records show that there is outbreak of leaf eating pest i.e bagworm. Chemical treatment being carried out with the approval from Agriculture Department. As biological control, beneficial plants are continuously being established along roadsides to attract natural predators with the ration of 2dm/ha. The estates have planted beneficial plants such as <i>Cassia cobanensis</i> and <i>Turnera subulata</i> and <i>Antigonon leptopus</i> . It was noted that the census interval for barn owl occupancy was as per Sime Darby SOP in Agricultural Reference Manual v.1 Section 15.	Complied
4.5.2 Training of those involved in IPM implementation shall be demonstrated. - Minor compliance -	IPM training is given by the Agronomist and plantation executives with qualification in agriculture. Interview with the barn owl occupancy census team confirm their understanding of the Sime Darby SOP in Agricultural Reference Manual v.1 Section 15 on census. IPM training covers barn owl census, bird peaching stick, planting of beneficial plants & construction of drain block and etc. training provided by the R&D department on 13/11/2015, Attended by 18 personnel including managers, assistants, staff and workers.	Complied
Criterion 4.6: Pesticides are used in ways that do not endanger health or the environment		
4.6.1 Justification of all pesticides used shall be demonstrated. The use of selective products that are specific to the target pest, weed or disease and which have minimal effect on non-target species shall be used where available. - Major compliance -	The written justification in Standard Operating Procedure (SOP) of all agrochemical are available the Agricultural Reference Manual (ARM), SOP and in the Safety Pictorial Book prepared by Sime Darby Plantation Sdn Bhd. Refer to Sime Darby Agricultural Reference Manual, issue: 1 version: 3 dated 1/7/2011. Selected products are specific to the target pest, weed and disease. Some of recommended pesticides are: Immature planting samples: <ul style="list-style-type: none"> • General weeds : Glyphosate • Legume & broad leave : Metsulfuron Methyl • <i>Stenochlaena palustris</i> : Sodium chlorate Mature planting samples: <ul style="list-style-type: none"> • VOPs : glyphosate & sodium chlorate The selection is also evaluated by the agronomist during his visit to the estate.	Complied

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Criterion / Indicator	Assessment Findings	Compliance
4.6.2 Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per ha and number of applications) shall be provided. - Major compliance -	Records of pesticides and their active ingredients used, LD50, area treated, amount of a.i. applied per ha, and number of applications was maintained. Both estates visited were replaced Methamidophos (Class I) to Acephate (Class III) pesticide since November 2015. Monitoring done for chemical brand, active ingredients, type, rate/ha, water/unit, fertilizer usage, water usage, water footprint (blue water use, run-off fraction, grey water use from monthly zone reporting email dated 7/2/2017.	Complied
4.6.3 Any use of pesticides shall be minimised as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations identified in national Best Practice guidelines. - Major compliance -	The quantity of agrochemicals required for various field conditions are documented and justified in Sime Darby Plantation Agriculture Reference Manual Section 16.5. The implementation in the field is consistent with the Agriculture Reference Manual Section 16.5.	Complied
4.6.4 Pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimised and eliminated as part of a plan, and shall only be used in exceptional circumstances. - Minor compliance -	Paraquat was eliminated. Alternatives such as Glyphosate were used with the elimination of Paraquat. At the time of assessment, Class 1a chemical was no longer in use at Sepang Estate for Bagworm treatment. Alternative class IA chemical, Acephate was used at East & Sepang Estate. Permit to buy highly toxic pesticides regulations/ controlled pesticides. Acephate (class III chemical) Latest: SEL/2017/ACP/0001(GL), quantity: 200 kg, date of approval: 3/1/17. Permit validity 3-23 Jan 2017.	Complied
4.6.5 Pesticides shall only be handled, used or applied by persons who have completed the necessary training and shall always be applied in accordance with the product label. Appropriate safety and application equipment shall be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7). - Major compliance -	Pesticide operators given training on the safe handling and application of the pesticides. Suitable personal protective equipment's and application equipment provided to the operators. All precautions attached to the products explained to operators and understood by them. This was noted during the interview with workers.	Complied
4.6.6 Storage of all pesticides shall be according to recognised best practices. All pesticide containers shall be properly disposed of and not used for other purposes (see Criterion 5.3). - Major compliance -	The operating units comply with Regulation 9 of the Pesticides Act 1974 requiring balance of remaining solution to be kept under lock and key. During visit it was noted that all the remaining pesticides are kept in the store and securely locked and comply with regulation.	Complied
4.6.7 Application of pesticides shall be by proven methods that minimise risk and impacts. - Minor compliance -	The quantity of agrochemicals required for various field conditions are documented and justified in Sime Darby Plantation Agriculture Reference Manual Section 16.5. The implementation in the field is consistent with the Agriculture Reference Manual Section 16.5.	Complied

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Criterion / Indicator	Assessment Findings	Compliance
4.6.8	Pesticides shall be applied aerially only where there is documented justification. Communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application. - Major compliance -	No aerial spraying at SOU8. Complied
4.6.9	Maintenance of employee and associated smallholder knowledge and skills on pesticide handling shall be demonstrated, including provision of appropriate information materials (see Criterion 4.8). - Minor compliance -	No associated smallholders at SOU8. Employees demonstrate knowledge and skills on pesticide handling. MSDS/SDS was displayed in local Bahasa Malaysia language at the agrochemical store for each chemical stored as well as the use of safety pictorial poster for the easy understanding of the agrochemical handlers Complied
4.6.10	Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated (see Criterion 5.3). - Minor compliance -	Disposal method of all identified waste was already included in the pollution prevention plan where the site visit confirmed that the practice of reduce, reuse and recycle of materials has been implemented throughout the company within mill and estates. Complied
4.6.11	Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated. - Major compliance -	East Estate: Klinik Hartati – Quarterly Check (Cholinesterase Level) for Trunk Injection Workers dated 10/11/2016 for 41 workers & Quarterly Check (Manganese Level) dated 5/2/2017 for 4 workers. Verified OHD cert.: Datin Dr. Hartati Suhaimi; JKPP No.: HO/08/DOC/00/709 Last year’s audit, 5 workers required for re-test were sent for check-up on 12/2/2016 and result of re-test dated 22/2/2016 shown one found unfit to work due to decreased of 15% cholinesterase level compare to previous medical surveillance. Action has been taken to isolate the worker out of spraying team. Sepang Estate: Klinik Sri Singam, 18/2/2017 for 37 workers. All fit to work. Verified OHD cert.: Dr. Arul Raj Rajoo; JKPP no.: HO/15/DOC/00/446. East Mill: Annual Medical Surveillance for Hexane Level for 7 workers done at Klinik Hartati on 9/12/2016. Result shown low hexane level for all workers with recommendation of fit to work. Annual Medical Surveillance for Manganese Level for 8 workers done at Klinik Hartati on 1/12/2016. Result shown low manganese exposure level for all workers with recommendation of fit to work. Complied
4.6.12	No work with pesticides shall be undertaken by pregnant or breast-feeding women. - Major compliance -	There are female operators but only for normal weeding work. However, based on interview with female workers confirmed knowledge of the policy of transfer to alternative duties if they wished to continue working when pregnancy was confirmed or breast-feeding. Complied

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Criterion / Indicator	Assessment Findings	Compliance
<p>Criterion 4.7: An occupational health and safety plan is documented, effectively communicated and implemented. The health and safety plan shall cover the following:</p>		
<p>4.7.1</p>	<p>A health and safety policy shall be in place. A health and safety plan covering all activities shall be documented and implemented, and its effectiveness monitored. - Major compliance -</p> <p>SOU8 has maintained an approved Health and Safety Policy dated January 2015 that is displayed prominently on notice boards in English.</p> <p><u>Annual & Baseline Audiometric Testing</u> EPOM – Baseline & annual audiometric testing completed on 04-05/01/17 by Specialist Mobile Safety Supplies Sdn Bhd, HQ/13/DOC/00/329. Total of 73 workers were sent for the annual testing. Results found that a total of 21 workers are with hearing impairment, 10 workers are with standard threshold shift and 12 workers are with no test required.</p> <p><u>Chemical Health Risk Assessment (CHRA)</u> EPOM - CHRA conducted on 19/11/2014 by registered assessor JKPP HIE 127/171-2(129). Based on the CHRA, a total of 11 findings/recommendations reported. East Estate - CHRA conducted on 13/07/2015 by registered assessor JKPP HIE 127/171-2(353). Based on the CHRA, a total of 08 findings/recommendations reported. Sepang Estate - CHRA conducted on 22/09/2015 by registered assessor JKPP HIE 127/171-2(353). Based on the CHRA, a total of 08 findings/recommendations reported. The action plan was established through the recommendation from the assessor.</p> <p><u>Chemical Exposure Monitoring</u> EPOM - The chemical exposure monitoring was conducted on 06/01/17 by JKPP HIE 127/171-3/1(20) for the laboratory was observed. The chemical exposure monitoring carried out at SOU8, n-Hexane exposure level to the personnel and area was below the PEL listed in Schedule I and the IPA monitored on the laboratory staff has complied to USECHH Regulations 2000.</p> <p><u>LEV inspection and testing</u> EPOM - LEV inspection and testing was conducted on 30/12/2016 by registered assessor JKPP HIE 127/171-3/2(23). The LEV systems installed met the minimum required face velocity and duct transport velocity along the ducting and hoods.</p> <p><u>Contractors Management</u> EPOM - Permit to Work (PTW) has been implemented for internal and external works involving confined space, hot work, working at height, LOTO and etc. Monitoring of PTW for confined space entry, permit issuance and cancellation are effectively implemented.</p>	<p>Complied</p>

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<p>4.7.2</p>	<p>All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers. - Major compliance -</p> <p>SOU8 had identified and reviewed significant hazards and risks and determined appropriate risk control measures. The hazard identification, risk assessment and risk control (HIRARC) records, as well as CHRA reports were verified during the assessment. Appropriate control measure has been determined and revised in the HIRARC register.</p> <p>EPOM - HIRARC was reviewed on 04/02/17 and approved by the Manager. Mill activities was identified and risk assessed with respect to FFB grading and sorting, FFB sterilization, kernel and oil extraction, oil clarification, maintenance activities at the workshop, working in confined space, working at height and hot work activities.</p> <p>Revision made on cleaning and drilling activities due to accident reported.</p> <p>During the site visit, it was observed that the installation works for the new Boiler has started. However, the new job/activity was not identified and included in the HIRARC register.</p> <p>At the estates, among the HIRARC carried out covered activities like chemical mixing and spraying, chemical storage, harvesting and FFB collection and vehicle maintenance.</p> <p>East Estate - HIRARC was reviewed on 09/01/2017 and approved by the Manager. Revision done for cutting and stacking fronds due to accident reported.</p> <p>Sepang Estate - HIRARC was reviewed on 25/11/2016 and approved by the Manager. Revision done for trailer parking at collection point due to accident reported.</p>	<p>Major nonconformance</p>

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<p>4.7.3</p> <p>All workers involved in the operation shall be adequately trained in safe working practices (see Criterion 4.8). Adequate and appropriate protective equipment shall be available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, harvesting and, if it is used, burning.</p> <p>- Minor compliance -</p>	<p>Awareness and training program had been carried out. All workers involved had been adequately trained in safe working practices. The objective was to ensure all workers involved have been adequately trained in understanding MSDS, safe working practices and the correct use of PPE.</p> <ol style="list-style-type: none"> 1. Sime Darby Plantation SOU8 East Oil Mill Training Plan Financial Year 2016-2017 was established and approved. 2. Environment, Safety & Health Program East Estate, Carey Island FY 2016/2017 was established and approved by the Estate Sr Manager. 3. Sepang Estate Safety Programs year 2017 was established and approved by the Manager. <p>Suitable PPE has been provided to the workers based on the information in the MSDS and CHRA assessor's recommendation.</p> <p>List of Personal Protective Equipment (PPE) Provided – identifies the type of PPE for the respective activities.</p> <ol style="list-style-type: none"> i. Boiler/Engine operator – Safety Helmet, Semi leather Hand Glove, Cotton Gloves, Safety Shoes, Safety Vest and Ear Muff. ii. Field workers (sprayer, manure & harvester) – N95 respirator, anti-mist goggles, wellington boots, apron and sickle cover. <p>During the site visit, it was noted that the PPE will be replaced by the workers when damaged or lost.</p> <p>During the field visit, sprayers at Sepang Estate were found not wearing any eye protection during spraying. Interviews with the workers noted that the workers did not bring the goggles to the field and had left it at home. Complaints were raised due to discomfort and not suitable due to mist formation.</p> <p>The chemical store was found to be adequately organized, properly labelled, secured and person in charge understands the OSH procedures. MSDS was placed at the chemical stores and is available. The person in charge understands the information written in MSDS.</p>	<p>Minor nonconformance</p>

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Criterion / Indicator	Assessment Findings	Compliance
<p>4.7.4</p> <p>The responsible person/persons shall be identified. There shall be records of regular meetings between the responsible person/s and workers. Concerns of all parties about health, safety and welfare shall be discussed at these meetings, and any issues raised shall be recorded. - Major compliance -</p>	<p>SOU8 OSH policy is well briefed to all workers. Interview with workers reveal that they understand the policy and the importance of safety at work.</p> <p>EPOM</p> <p>OSH/ESH meeting conducted on quarterly basis and last meeting conducted on 31/01/2017 attended by 13 persons.</p> <p>The work place inspection conducted on 30/01/2017 and review of accident record was discussed during the OSH meeting. No any unresolved safety and health issues noted.</p> <p><u>OSH Committee Members for 2016/2017</u></p> <p>Chairman –appointment letter dated 01/01/2015. Appointment letters for other OSH committee members dated 01/01/2015.</p> <p>OSH/EHS meeting: 31/01/2017, 28/10/2016 & 29/07/2016.</p> <p>East Estate</p> <p>OSH/ESH meeting conducted on quarterly basis and last meeting conducted on 28/12/2016 attended by 39 persons.</p> <p>The work place inspection conducted on 15/11/2016 and review of accident record was discussed during the OSH meeting. No any unresolved safety and health issues noted.</p> <p><u>OSH Committee Members for 2016/2017</u></p> <p>Chairman –appointment letter dated 06/07/2016. Appointment letters for other OSH committee members dated 01/07/2016.</p> <p>OSH/EHS meeting: 22/09/2016, 24/06/2016, 25/03/2016 and 16/12/2015.</p> <p>Sepang Estate</p> <p>OSH/ESH meeting conducted on quarterly basis and last meeting conducted on 25/11/2016 attended by 19 persons.</p> <p>The work place inspection conducted on 27/01/2017 and review of accident record was discussed during the OSH meeting. No any unresolved safety and health issues noted.</p> <p><u>OSH Committee Members for 2016/2017</u></p> <p>Chairman –appointment letter dated 01/01/2017. Appointment letters for other OSH committee members dated 01/01/2017.</p> <p>OSH/EHS meeting: 25/11/2016, 05/09/2016, 13/06/2016, 22/03/2016 and 02/01/2016.</p>	<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance
<p>4.7.5</p> <p>Accident and emergency procedures shall exist and instructions shall be clearly understood by all workers. Accident procedures shall be available in the appropriate language of the workforce. Assigned operatives trained in First Aid should be present in both field and other operations, and first aid equipment shall be available at worksites. Records of all accidents shall be kept and periodically reviewed. - Minor compliance -</p>	<p>Accident and emergency procedures have been communicated to employees, contractors and visitors.</p> <ol style="list-style-type: none"> EPOM - Fire evacuation drill was last conducted on 22/10/2016 to test the state of readiness during emergency situation. East Estate - Fire evacuation drill was last conducted on 15/12/2016 to test the state of readiness during emergency situation. Sepang Estate - Fire evacuation drill was last conducted on 10/03/2016 to test the state of readiness during emergency situation. <p>Accident and emergency procedures are in Bahasa Malaysia and this is understood by the responsible workers, staff or executives involved in the operation. Good understanding level observed among the workers.</p> <ol style="list-style-type: none"> Training for First Aid is conducted in annually. Sufficient first aiders trained. First aid equipment is available at worksites. During the site visit there is evident that First Aid Box is available at the relevant area with sufficient contents and in good condition. Fire extinguisher (ABC Powder) assessed during the site observation are available and within the expiry date. Portable emergency eye wash facility available at chemical store and laboratory. Both are in good working condition. <p>Quarterly review on accident cases carried out during OSH quarterly meeting.</p> <p>EPOM 02 accidents reported. JKKP 8 was sent to DOSH on 15/01/2017. DOSH visits (14/12/2016) been recorded in the DOSH log book and comments highlighted by DOSH was noted and action taken accordingly.</p> <p>East Estate 22 accidents reported. JKKP 8 was sent to DOSH on 20/01/17. DOSH visits (13/10/2016) been recorded in the DOSH log book and comments highlighted by DOSH was noted and action taken accordingly.</p> <p>Sepang Estate 1 accident reported. JKKP 8 was sent to DOSH on 20/01/17. DOSH visits (06/11/2016) been recorded in the DOSH log book and comments highlighted by DOSH was noted and action taken accordingly.</p>	<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance																					
<p>4.7.6</p> <p>All workers shall be provided with medical care, and covered by accident insurance. - Minor compliance -</p>	<p>Medical care is provided to all the employees. Reviewed on workers profile records found that all workers are covered by the accident insurances.</p> <p>Malaysian workers are covered by SOCSO or Perkeso (Pertubuhan Keselamatan Sosial). Refer to form 8A, "Jadual Caruman" for January 2017.</p> <p>Foreign workers are covered by Foreign Workers Compensation Scheme Certificate of Insurance.</p> <table border="1" data-bbox="660 667 1297 1167"> <thead> <tr> <th>Insurance</th> <th>Period</th> <th>Remark</th> </tr> </thead> <tbody> <tr> <td>RHB Insurance (MW105300)</td> <td>16/10/2016 – 15/10/2017</td> <td>EPOM</td> </tr> <tr> <td>RHB Insurance (MW107054)</td> <td>11/12/2016 – 10/12/2017</td> <td>EPOM</td> </tr> <tr> <td>RHB Insurance (MW184427)</td> <td>29/03/2016 – 28/03/2017</td> <td>East Estate</td> </tr> <tr> <td>RHB Insurance (MW116247)</td> <td>18/01/2017 – 17/01/2018</td> <td>East Estate</td> </tr> <tr> <td>RHB Insurance (MW125102)</td> <td>31/03/2017 – 30/03/2018</td> <td>Selangor Estate</td> </tr> <tr> <td>RHB Insurance (MW120385)</td> <td>25/02/2017 – 24/02/2018</td> <td>Selangor Estate</td> </tr> </tbody> </table>	Insurance	Period	Remark	RHB Insurance (MW105300)	16/10/2016 – 15/10/2017	EPOM	RHB Insurance (MW107054)	11/12/2016 – 10/12/2017	EPOM	RHB Insurance (MW184427)	29/03/2016 – 28/03/2017	East Estate	RHB Insurance (MW116247)	18/01/2017 – 17/01/2018	East Estate	RHB Insurance (MW125102)	31/03/2017 – 30/03/2018	Selangor Estate	RHB Insurance (MW120385)	25/02/2017 – 24/02/2018	Selangor Estate	<p>Complied</p>
Insurance	Period	Remark																					
RHB Insurance (MW105300)	16/10/2016 – 15/10/2017	EPOM																					
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RHB Insurance (MW125102)	31/03/2017 – 30/03/2018	Selangor Estate																					
RHB Insurance (MW120385)	25/02/2017 – 24/02/2018	Selangor Estate																					
<p>4.7.7</p> <p>Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics - Minor compliance -</p>	<p>Accident records are found to be updated. All records on Lost Time Accident (LTA) metrics are maintained.</p> <p>Samples of accident statistic as shown below :</p> <table border="1" data-bbox="660 1323 1297 1507"> <thead> <tr> <th>Year to-date</th> <th>EPOM</th> <th>East Estate</th> <th>Selangor Estate</th> </tr> </thead> <tbody> <tr> <td>2015</td> <td>1 (LTA 52)</td> <td>21 (LTA 291)</td> <td>0 (LTA 0)</td> </tr> <tr> <td>2016</td> <td>2 (LTA 2)</td> <td>22 (LTA 139)</td> <td>1 (LTA 7)</td> </tr> </tbody> </table> <p>*LTA is equivalent to lost man days (MC)</p> <p>EPOM recorded LTI as at January 2017 – 359,602.</p> <p>East Estate recorded LTI as at January 2017 – 1,272,000.</p> <p>Selangor Estate recorded LTI as at January 2016 – 63,899.</p>	Year to-date	EPOM	East Estate	Selangor Estate	2015	1 (LTA 52)	21 (LTA 291)	0 (LTA 0)	2016	2 (LTA 2)	22 (LTA 139)	1 (LTA 7)	<p>Complied</p>									
Year to-date	EPOM	East Estate	Selangor Estate																				
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2016	2 (LTA 2)	22 (LTA 139)	1 (LTA 7)																				
<p>Criterion 4.8: All staff, workers, smallholders and contract workers are appropriately trained.</p>																							

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Criterion / Indicator	Assessment Findings	Compliance
<p>4.8.1</p> <p>A formal training programme shall be in place that covers all aspects of the RSPO Principles and Criteria, and that includes regular assessments of training needs and documentation of the programme.</p> <p>- Major compliance -</p>	<p>SOU8 has established an annual training program that covers all aspects of the RSPO Principles and Criteria.</p> <p>The training need analysis and program was made available for verification at all visited sites.</p> <p>EPOM – Training Plan FY2016/2017. Implementation is still on-going. 32 training needs/requirements identified for various categories of operating units.</p> <p>East Estate – Training Plan 2016/2017. Implementation is still on-going. 34 training needs/requirements identified for various categories of operating unit.</p> <p>Sepang Estate – Training Plan FY2017. Implementation is still on-going. Total of 14 training needs/requirements identified for various categories of operating units.</p>	<p>Complied</p>

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<p>4.8.2</p>	<p>Records of training for each employee shall be maintained. - Minor compliance -</p>	<p>Training records for employees available and maintained at the office. Records are verified on a sampling basis which covers all aspect of training and RSPO P&C requirement. Samples of training record for 2016 as follows:</p> <p>EPOM</p> <table border="1"> <thead> <tr> <th>Date</th> <th>Training</th> </tr> </thead> <tbody> <tr> <td>09/12/16</td> <td>RSPO – Supply Chain Certification Training for SOU8 & SOU9 Mills.</td> </tr> <tr> <td>24/11/16</td> <td>Training on Ear Conservation.</td> </tr> <tr> <td>17/11/16</td> <td>Training on Boiler Operation.</td> </tr> <tr> <td>28/10/16</td> <td>Safety Meeting</td> </tr> <tr> <td>21/09/16</td> <td>Scheduled Waste & Chemical Handling</td> </tr> <tr> <td>09/06/16</td> <td>Training LOTO, Work Permit, Confined Space and Working at height</td> </tr> <tr> <td>05/02/16</td> <td>5S Introduction</td> </tr> </tbody> </table> <p>East Estate</p> <table border="1"> <thead> <tr> <th>Date</th> <th>Training</th> </tr> </thead> <tbody> <tr> <td>25/01/15</td> <td>Safety Townhall</td> </tr> <tr> <td>22/11/16</td> <td>Safety Training in Frond Stacking</td> </tr> <tr> <td>01/09/16</td> <td>Manuring Training</td> </tr> <tr> <td>02/09/16</td> <td>Rat Baiting Training</td> </tr> <tr> <td>27/06/16</td> <td>Harvesters Briefing</td> </tr> <tr> <td>28/04/16</td> <td>Refresher Training Frond Stacker</td> </tr> </tbody> </table> <p>Sepang Estate</p> <table border="1"> <thead> <tr> <th>Date</th> <th>Training</th> </tr> </thead> <tbody> <tr> <td>07/10/16</td> <td>Sprayers Training for Pesticide & Herbicides</td> </tr> <tr> <td>08/08/16</td> <td>Briefing Defaulted Loose Fruit Collections to Loose Fruit Picker</td> </tr> <tr> <td>30/07/16</td> <td>Safety at Loading /Unloading & Manuring Techniques</td> </tr> </tbody> </table>	Date	Training	09/12/16	RSPO – Supply Chain Certification Training for SOU8 & SOU9 Mills.	24/11/16	Training on Ear Conservation.	17/11/16	Training on Boiler Operation.	28/10/16	Safety Meeting	21/09/16	Scheduled Waste & Chemical Handling	09/06/16	Training LOTO, Work Permit, Confined Space and Working at height	05/02/16	5S Introduction	Date	Training	25/01/15	Safety Townhall	22/11/16	Safety Training in Frond Stacking	01/09/16	Manuring Training	02/09/16	Rat Baiting Training	27/06/16	Harvesters Briefing	28/04/16	Refresher Training Frond Stacker	Date	Training	07/10/16	Sprayers Training for Pesticide & Herbicides	08/08/16	Briefing Defaulted Loose Fruit Collections to Loose Fruit Picker	30/07/16	Safety at Loading /Unloading & Manuring Techniques	<p>Complied</p>
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Criterion / Indicator		Assessment Findings		Compliance
		18/02/16	First Aid Box Usage Training	
		11/02/16	ERT Team Formation	
Principle 5: Environmental responsibility and conservation of natural resources and biodiversity				
Criterion 5.1: Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.				
5.1.1	An environmental impact assessment (EIA) shall be documented. - Major compliance -	SOU8 Plans and impact assessments relating to environmental impacts based on documents as following: <ul style="list-style-type: none"> Appendix 5.4.1b - Environmental Aspect and Impact Evaluation Procedure, Version 1; Year 2008 Issue no. 1; Dated 1 April 2009; Register Appendix 5.4.1c - Environmental Aspect and Impact Identification form, Version 1; Year 2008 Issue no. 1; Dated 1 April 2009; MR-01/EAI Appendix 5.4.1d - Environmental Impacts Evaluation form, Version 1; Year 2008 Issue no. 1; Dated 1 April 2009; MR-02/EIE 		Complied

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Criterion / Indicator	Assessment Findings	Compliance
<p>5.1.2</p> <p>Where the identification of impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a comprehensive management plan. The management plan shall identify the responsible person/persons. - Minor compliance -</p>	<p>There is no change of current practices required to mitigate negative effects based on identified impacts for both the mill and estates.</p> <p>However the mill and estates have conducted periodical review on the aspects and impacts identified and evaluated as registered.</p> <p>The mill and estates has continuously implemented its annual programs that were established as part of its individual Pollution Prevention Plan. Managers and assistant managers of mill and estates were identified as person-in-charge of the programs which were established upon review of the aspect and impact register. It was observed that the reviewing and updating on the registers were done annually if there's no any new activity within respective sites.</p> <p>Review of aspect and impact register were done as following:</p> <p><u>EPOM</u> Environmental Aspect Identification (EAI) and Environmental Evaluation (EIE) reviewed and updated on 31/12/2016. Neither any change to current operation nor new activity identified by the mill other than normal mill operation including weighbridge operation, process, maintenance, water and waste water treatment.</p> <p><u>East Estate</u> Environment Aspect and Impact (EAI) East Estate FY2015/16 reviewed on 05/12/2015. New EAI included was for Chemical store.</p> <p>Environment Impact Evaluation (EIE) East Estate FY2015/16 reviewed on 05/12/2015. New EIE included was for Chemical store.</p> <p><u>Sepang Estate</u> Environment Aspect and Impact (EAI) East Estate FY2016/17 reviewed on 01/09/2016. No any changes identified to the environmental aspects and impacts.</p> <p>Environment Impact Evaluation (EIE) East Estate FY2016/17 reviewed on 01/09/2016. No any changes identified to the environmental aspects and impacts.</p>	<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance
<p>5.1.3</p> <p>This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.</p> <p>- Minor compliance -</p>	<p>EPOM: Monitoring plan was established based on DOE license compliance schedule which include scheduled waste storage and disposal record, POME final discharge BOD and boiler stack sampling.</p> <p>Based on Sustainable Plantation Management System Appendix 10 Procedure for Mill Environmental Performance version 1, year 2008, issue no. 1, dated 1 October 2008. Uses the Mill Environmental Performance Review (Form A) Mill environmental monitoring records available/sighted:</p> <ul style="list-style-type: none"> • Sampled effluent monitoring records: Monthly Effluent Analysis Test Report no. EP56/2017 dated 26/01/2017 for sample taken on 05/01/2017 by Sime Darby Research Sdn. Bhd.; parameter monitored:- pH, Total Alkalinity, VFA, BOD, COD, TS, SS, VSS, TN, AN, O&G. Samples were taken from each point of treatment in the system consist of raw pond, acid ponds, digester tanks and final pond before field application. BOD limit for final discharge <5000mg/L were met as well as all parameters that were within allowable limit. • Boiler stack sampling records: Air Emission Monitoring (Chimney 2) on 21/6/2016 by UiTM – A&A Laboratory (SAMM084) of A&A Scientific Resources Sdn Bhd (Report ref. #2566/2016-06; dated 29/06/2016). Result in certificate of analysis #CN06105-2016 shown the stack emissions are within limit at 0.07 g/Nm3 for particulates and 0.14 g/Nm3 corrected at 12% CO2. • Online scheduled waste inventory & consignment (file ref. no. 31/152/000/308; Inventory no. 1002B454130122017) – updated as of 08/02/2017 where the quantity and storage period were within allowable limit. <p>The monitoring was based on Sustainable Plantation Management System version 1, year 2008, and issue no. 1, dated 1 October 2008.</p> <p>An environmental performance indicator monitoring master list has been established to monitor the effectiveness of the mitigation measures and being used for annual review.</p>	<p>Complied</p>

Criterion 5.2:
The status of rare, threatened or endangered species and other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and and operations managed to best ensure that they are maintained and/or enhanced.

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Criterion / Indicator	Assessment Findings	Compliance
<p>5.2.1</p> <p>Information shall be collated in a High Conservation Value (HCV) assessment that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors). - Major compliance -</p>	<p>A Peer Review Report on HCV Re-Assessment for Strategic Operation Unit (SOU) 8, 9 & 9a.</p> <p>Dr. Wan Asma Ibrahim FRIM Kepong Dated 14/2/2015</p> <p>Re-assessment of HCV was conducted by Sustainability Department (Social & Environment Projects Unit) on February 2015. The assessment incorporating SOU8 East, SOU9 West and SOU9A Sepang. In summary, the areas covered within these SOU landholdings in this report are 17,711.16 hectare and the HCV area presence are 277.57 ha (HCV4 & HCV6).</p> <p>The assessment concluded with recommendations that incorporated basic conservation planning principles for consideration into management regimes of preserving the HCV and conservation areas. The proposed management and monitoring for HCVA possible threats also recorded.</p> <p>Visits to HCV site such as Wildlife sanctuary and Mah Meri graveyard at East estate confirmed that the area are well maintain.</p>	<p>Complied</p>
<p>5.2.2</p> <p>Where rare, threatened or endangered (RTE) species, or HCVs, are present or are affected by plantation or mill operations, appropriate measures that are expected to maintain and/or enhance them shall be implemented through a management plan. - Major compliance -</p>	<p>No RTE was identified within the planted or surrounding village area based on the HCV assessment report dated February 2015.</p> <p>Regular patrols within the operating unit estates were carried out and findings recorded by the respective Estate executives to monitor the Conservation / buffer zone areas. Monitoring and control of any illegal hunting, fishing or collecting activities was also implemented.</p> <p>Signage that prohibit hunting, fishing and water polluting activities were verified on-site at the estates visited (i.e. Dusun Durian and East estates) found to have been satisfactorily maintained.</p>	<p>Complied</p>
<p>5.2.3</p> <p>There shall be a programme to regularly educate the workforce about the status of these RTE species, and appropriate disciplinary measures shall be instigated in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species. - Minor compliance -</p>	<p>In East Estate, competencies training on how to manage HCV at estate by DSQM team conducted 20 October 2016. Similar training conducted in Sepang estate on 5 Oct 2016.</p> <p>A macaque was found in cage at worker's house no. B21, species was then confirmed as long tail macaques (m. Fascicularis), it is a non-protected species in Malaysia and listed as Least Concern under IUCN.</p> <p>However, it is confirmed through worker's interview that no permit or approval has been obtained from the management to keep macaques. Awareness training to workers on wildlife management within the concession is lacking. No relevant record found on the muster briefing book since Sep 2016 till Feb 2017 as HCV training shall conduct during muster as stated in the HCV management plan FY16/17 for.</p>	<p>Minor nonconformance</p>

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5.2.4 Where a management plan has been created there shall be ongoing monitoring: <ul style="list-style-type: none"> • The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported; • Outcomes of monitoring shall be fed back into the management plan. - Minor compliance -	HCV management plan FY16/17 objectives & program East estate. The scope incorporated mangrove/fringe coastline, wildlife sanctuary and Mah Meri graveyard. Verification were also made during on-site assessment and found to be satisfactory. The overall management plan on the status of HCV/RTE of the East operating unit is collated reviewed and monitored by the HQ sustainability team and is on-going.	Complied
5.2.5 Where HCV set-asides with existing rights of local communities have been identified, there shall be evidence of a negotiated agreement that optimally safeguards both the HCVs and these rights. - Minor compliance -	There was no HCV set-aside that needs any negotiation process with the local communities in exception the consensus together maintain Mah Meri graveyard (in plantation area) with the natives from Bumbun Village. East Estate: Division A 1) Wildlife sanctuary 35.03ha 2) Fringe mangroves 52.72ha 3) Watershed 7.58ha East Estate: Division B 1) Concrete bund - 2) Mah Meri graveyard 0.815ha Sepang Estate: Division Main/Sg. Linau 3) Wild duck sanctuary 0.4ha 4) Water catchment 2ha Sepang Estate: Division Sg. Rawang 5) Pond 6) Forest tree planting initiative	Complied
Criterion 5.3: Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.		

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Criterion / Indicator	Assessment Findings	Compliance
<p>5.3.1</p> <p>All waste products and sources of pollution shall be identified and documented. - Major compliance -</p>	<p>As per Sustainable Plantation Management System Appendix 9 Procedure for Handling of Domestic Waste version 1, year 2008, issue no. 1, dated 1 October 2008.</p> <p>Mill: type of waste – effluent, fibre/shell, EFB, boiler clinker, wash water, scrap metal, scheduled waste, boiler blowdown, hydro-cyclone wash water, methane gas.</p> <p>Estate: type of waste – scheduled waste – SW102, SW305, SW306, SW409, SW410, SW404 – workshop, clinic, SW store, store; domestic waste – rubbish & sewage – line-site, office, workshop, store, shop & recycle waste – empty container, scrap metal.</p> <p>Records on the usage and disposal were well recorded and documented. Appropriate secondary containment for the diesel skid tanks, chemical and scheduled waste storage areas was verified to be maintained accordingly.</p> <p>EPOM</p> <p>Scheduled waste for KKS East through Kualiti Alam Sdn Bhd:-</p> <ol style="list-style-type: none"> 1. 29/11/16 consignment #2016120511R2FJGH for SW322. 2. 16/12/16 consignment #2016121612CM4OYL for SW409. <p>East Estate</p> <p>Record of medical waste disposal shown latest disposal was done on 10/01/17 through Radicare (M) Sdn Bhd serial #0079971.</p> <p>Scheduled waste for East Estate through Famous Phase Sdn Bhd:-</p> <ol style="list-style-type: none"> 1. 24/01/17 consignment #FP1701117 for SW409. 2. 23/01/17 consignment #FP1701110 for SW410. <p>Sepang Estate</p> <p>Record of medical waste disposal shown latest disposal was done on 20/02/17 through Kualiti Alam Sdn Bhd serial #052806 0096.</p> <p>Scheduled waste for Sepang Estate through SS Setia Teknologi Enterprise:-</p> <ol style="list-style-type: none"> 1. 22/02/17 consignment #0412 for SW409. 2. 20/02/17 consignment #0731 for SW409. 	<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance
<p>5.3.2</p> <p>All chemicals and their containers shall be disposed of responsibly. - Major compliance -</p>	<p>Based on policy to reduce, reuse and recycle, the management of used chemicals and containers were done in accordance Scheduled Waste regulations.</p> <p>For estates, the empty pesticides container were collected in scheduled waste store after being triple rinsing and punctured at the bottom of the container.</p> <p>Stores for scheduled waste were inspected at audited sites in mill and estates and disposal was done by scheduled waste disposal company authorized and licensed by Department of Environment.</p> <p>The mill and estates also have a proper Scheduled Waste Store for storing scheduled waste until time of disposal by DOE authorized waste disposal contractor.</p>	<p>Complied</p>
<p>5.3.3</p> <p>A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented. - Minor compliance -</p>	<p>Scheduled waste is managed well with designated storage area at the mill and each of the estates not to less than 180 days in accordance with the requirements of the Environmental Quality Act 1974 (Scheduled Wastes), Regulations, 2005. Disposal was through licensed collector.</p> <p>The company has continued managing scheduled waste stores at the mill and each of the estates. Agrochemical containers are triple rinsed and punctured to avoid any misuse.</p> <p>Sampled Pollution Prevention Plan – FY 2016/2017 (KKS East) dated 10/07/2016 including control of black smoke, effluent, POME, oil spillage domestic, waste water and scheduled waste sighted during the visit as well as for estates.</p>	<p>Complied</p>
<p>Criterion 5.4: Efficiency of fossil fuel use and the use of renewable energy is optimised.</p>		

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5.4.1 A plan for improving efficiency of the use of fossil fuels and to optimise renewable energy shall be in place and monitored. - Minor compliance -	<p>Monthly record on energy consumption for both renewable and non-renewable sources were kept and documented. It is monitored to optimise use of renewable energy. Data is being compiled for comparison and control for future improvement. Apart from use of grid supply (TNB) for electricity, palm fibre and shells were also used to generate electricity through steam turbine and boiler. The use of energy in palm oil mill and line site was monitored monthly to compare the energy usage against the production of CPO. Electricity generation was through steam turbine and boiler where Palm fibre and PK shells were used as renewable energy/fuel on a 70:30 ratio basis respectively.</p> <p>Monthly records of energy consumption of non-renewable and renewable fuel per metric tonne of palm product at the Mill were available as following:</p> <ul style="list-style-type: none"> • Mill diesel usage: 0lt/FFB • TNB consumption: 10.59kWh/mt FFB • Turbine: 19.34kWh/mt FFB <p>At the estates, diesel consumption per metric ton FFB was also monitored on a monthly basis. It was verified that energy usage are being monitored at the operating units for better control and comparison of trends. Domestic electricity was supplied by TNB while diesel was used for vehicles and machineries.</p>	Complied
Criterion 5.5: Use of fire for preparing land or replanting is avoided, except in specific situations as identified in the ASEAN guidelines or other regional best practice.		
5.5.1 There shall be no land preparation by burning, other than in specific situations as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions. - Major compliance -	<p>Zero burning within estate area has been implemented in Sepang Estate and East Estate as part of its pollution prevention plan. This was based on the action plan to prevent open burning which includes planting cover crops, installing zero burning notice boards, briefing and etc.</p> <p>Furthermore, the Group commitment of "Zero open burning" was enforced since July 2008. The operating units adhered to the policy of "Zero open burning" for any replanting, if any, in the estates. Field inspections made in both East and Sepang estates field showed no evidence of open burning.</p>	Complied
5.5.2 Where fire has been used for preparing land for replanting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions. - Minor compliance -	<p>The operating units have adhered to the zero burning policy for replanting at the estates.</p> <p>During the audit, there were no replanting activities carried out in the East and Sepang estates.</p> <p>There was no evidence of any burning of domestic waste at the housing line sites and at the domestic landfills of the estates during on site field assessment.</p>	Complied
Criterion 5.6: Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.		

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Criterion / Indicator	Assessment Findings	Compliance
5.6.1 An assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent (see Criterion 4.4). - Major compliance -	Based on the assessment of all polluting activities as of the Environment Aspect and Impact assessment in line with Sime Darby Plantation Carbon Policy – to reduce carbon emissions by 40% from 2009 levels by year 2020 signed by MD on January 2015	Complied
5.6.2 Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimise them implemented. - Major compliance	Main source of significant pollutants and greenhouse gas (GHG) identified was methane (CH ₄) emission through POME treatment as well as boiler stack from the mill. Other less significant GHG emissions identified including CO _x , SO _x and NO _x from various sources including fossil fuel, chemical and fertilizer consumptions mainly from estates activities.	Complied
5.6.3 A monitoring system shall be in place, with regular reporting on progress for these significant pollutants and emissions from estate and mill operations, using appropriate tools. - Minor compliance -	Monitoring of the GHG quantity was done through its licensed GHG calculator, "SD-Global Plantation Carbon Inventory Calculation Methodology calculator" where annual quantification of all GHG sources was input into the calculator. Default values of emissions factor Calculation of the GHG emissions were derived from publicly available sources including IPCC. These calculations were reported to RSPO-ERWG for confirmation of acceptance of calculation method. The GHG calculations were done separately between the mill and estates using latest PalmGHG calculator version 3. Previous year's (2015) annual submission of monitored GHG calculation was done on 19/4/2016 to RSPO ERWG by Sime Darby Plantation Sustainability Department personnel. Latest submission for 2016 monitored GHG calculation final report was done on 23/2/2017 as per email evidence sighted.	Complied
Principle 6: Responsible consideration of employees and of individuals and communities affected by growers and millers.		
Criterion 6.1: Aspects of plantation and mill management that have social impacts, including replanting, are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.		
6.1.1 A social impact assessment (SIA) including records of meetings shall be documented. - Major compliance -	Social Impact Assessment (SIA) was conducted on five yearly basics by Social & Environment Projects Unit, Sustainability Department (PSQM) on 24th March-26th March 2014 & 23rd May 2014. The SIA incorporating East Palm oil mill, East estate, Dusun Durian estate and Sepang estate. Attended representatives available from local government agencies, local communities, service providers, and neighbouring estates. Findings, issues and suggestion in respective area were recorded in the report.	Complied

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<p>6.1.2</p> <p>There shall be evidence that the assessment has been done with the participation of affected parties. - Major compliance -</p>	<p>The participation of both internal and external stakeholders which was evident with the list of participants recorded in the attendance list. Minutes of meetings as appended to the SIA Report were maintained as records.</p> <p>Reviewed list of stakeholders that included government bodies, union representatives, gender committee, group associated stakeholders, clinic, management staff and workers including representative of migrant workers such as Indonesians, Bangladeshis, Indians, Contractors/suppliers and government clinic staff.</p> <p>East Mill stakeholder meeting was done on 20/1/15 attended by 11 people. At Dusun Durian Estate, last stakeholder meeting was done on 16/2/15 attended by 6 people. East Estate stakeholder holding was done on 13/2/2015 attended by 14 people.</p> <p>Interviewed with the contractor and local communities confirmed that they had attended the stakeholder meeting.</p>	<p>Complied</p>
<p>6.1.3</p> <p>Plans for avoidance or mitigation of negative impacts and promotion of the positive ones, and monitoring of impacts identified, shall be developed in consultation with the affected parties, documented and timetabled, including responsibilities for implementation. - Major compliance -</p>	<p>Social impact assessment- action plan FY16/17 has been developed based on the complaints as well as the stakeholder meeting. The action plan incorporated issue, action plan, status and date.</p> <p>In East estate, the issues such as road maintenance, drain cleaning and also hiring local residents form Sg Bumbun village were addressed successfully.</p> <p>In Sepang estate, the village head request for help in grass cutting in their village; Tok Batin request for fencing their area to prevent rubbish being thrown into their area.</p>	<p>Complied</p>
<p>6.1.4</p> <p>The plans shall be reviewed as a minimum once every two years and updated as necessary, in those cases where the review has concluded that changes should be made to current practices. There shall be evidence that the review includes the participation of affected parties. - Minor compliance -</p>	<p>The SIA action/management plan is reviewed annually. In East estate, the action plan was sighted and the last review was conducted on for FY16/17 available during site.</p>	<p>Complied</p>
<p>6.1.5</p> <p>Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme). - Minor compliance -</p>	<p>Not applicable as no scheme smallholder in this management unit.</p>	<p>Not applicable</p>
<p>Criterion 6.2: There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.</p>		

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Criterion / Indicator	Assessment Findings	Compliance
6.2.1 Consultation and communication procedures shall be documented. - Major compliance -	SOU8 engage in communication with local communities and interested parties. Documented procedure in Sustainable Plantation Management System on handling social issues, Appendix 5, Version 1, and Issue No.1, dated 01/11/2008 was established and available. The communication procedure is as per Sime Darby's group communication policy which shows flow chart of the procedure. This was confirmed during interview with the local community representative and village head.	Complied
6.2.2 A management official responsible for these issues shall be nominated. - Minor compliance -	Mill and Estate Assistant Manager have been appointed as responsible person for communication and consultation with the affected parties. In Sepang estate, the appointment letter for person in charge signed on 1 July 2016 sighted during onsite.	Complied
6.2.3 A list of stakeholders, records of all communication, including confirmation of receipt and that efforts are made to ensure understanding by affected parties, and records of actions taken in response to input from stakeholders, shall be maintained. - Minor compliance -	East POM and its' supply base has updated stakeholders list and stakeholder meeting and communication records. a. List of stakeholder 2016/2017 incorporating local government authority, villages, supplier, contractor and etc b. Stakeholder meeting minutes of East estate dated 30 July 2016; during the meeting, request for road maintenance; job opportunities for local residents and etc. c. In Sepang estate, the stakeholder meeting conducted on 22 Dec 2016. d. In POM, the stakeholder meeting conducted on 07 December 2016. Discussed on the permit to work and also sponsor to school	Complied
Criterion 6.3: There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all effected parties.		
6.3.1 The system, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistleblowers, where requested. - Major compliance -	Sime Darby has an established and documented system for dealing with complaints and grievances. Record shows that "Complaints and Grievances Book" in all estates visited are still active in recording complaints/requests made by employees and other stakeholders. Over the past 12 months, entries made were mainly on minor repairs needed to the road conditions, delay in rubbish collections, housing facilities repairs and mill road entrance which were verified to be attended to in a timely manner.	Complied
6.3.2 Documentation of both the process by which a dispute was resolved and the outcome shall be available. - Major compliance –	Complaints and grievances are handled by respective responsible persons. Outcomes from the actions taken are recorded in different manners, e.g. meeting minutes, verifications by person who made complaints and payment vouchers to contractors after completion the jobs. Mechanisms are appropriately established and implemented. Records of meeting and any resolutions or outcomes are maintained through Minutes or in Complaints Log.	Complied

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Criterion 6.4: Any negotiations concerning compensation for loss of legal, customary or user rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.			
6.4.1	A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be in place. - Major compliance -	SOP to identify legal and customary rights as well as people entitled to compensation has been established- titled "Handling Land Disputes" SOP dated 01 Nov 2008. There have been no issues related to loss of legal customary rights with indigenous peoples, local communities and other stakeholders.	Complied
6.4.2	A procedure for calculating and distributing fair compensation (monetary or otherwise) shall be established and implemented, monitored and evaluated in a participatory way, and corrective actions taken as a result of this evaluation. This procedure shall take into account: gender differences in the power to claim rights, ownership and access to land; differences of transmigrants and long-established communities; and differences in ethnic groups' proof of legal versus communal ownership of land. - Minor compliance -	Procedure for handling land disputes to identify legal, customary rights and people entitled to compensation has been established dated 01 Nov 2008.	Complied
6.4.3	The process and outcome of any negotiated agreements and compensation claims shall be documented, with evidence of the participation of affected parties, and made publicly available. - Major compliance -	No issues related to loss of legal customary rights with indigenous peoples, local communities and other stakeholders.	Complied
Criterion 6.5: Pay and conditions for employees and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.			

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Criterion / Indicator	Assessment Findings	Compliance
<p>6.5.1 Documentation of pay and conditions shall be available. - Major compliance -</p>	<p>Documentation of pay and conditions such as pay slips shows gross pay, net pay, leave, medical leave pay etc are maintained by the company. Samples taken:</p> <p>East POM:</p> <ul style="list-style-type: none"> a. Worker no: 77300 b. Worker no: 11525 c. Worker no: 84262 d. Worker no: 86260 e. Worker no: 52594 <p>East estate:</p> <ul style="list-style-type: none"> a. Worker no: 84986 b. Worker no: 130396 c. Worker no: 123025 d. Worker no: 5960 e. Worker no: 63435 f. Worker no: 122882 <p>Sepang estate:</p> <ul style="list-style-type: none"> a. Worker no: 126361 b. Worker no: 3015 c. Worker no: 3074 d. Worker no: 3193 e. Worker no: 90024 f. Worker no: 89021 <p>For the implementation of minimum wage order 2016 (revised to RM1000), an email already circulated from HR department regarding the revised basic rate which takes effect 1st July 2016.</p>	<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance
<p>6.5.2</p> <p>Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be available in the languages understood by the workers or explained carefully to them by a management official.</p> <p>- Major compliance -</p>	<p>The mill and estates have employed local and foreign workers under direct and contract employment. Employment contract are available in language that understood by workers. The contract has detailing the payments and employment conditions such as period of working, working hour, medical assistance, holiday and annual leave, period of notice and etc. The contract was signed by the workers and sampled contracts as below:</p> <p><u>East Palm Oil Mill:</u></p> <ul style="list-style-type: none"> a. Worker no: 52594 b. Worker no: 86260 c. Worker no: 121525 d. Worker no: 77300 <p><u>East estate:</u></p> <ul style="list-style-type: none"> e. Worker no: 123025 f. Worker no: 5960 g. Worker no: 63435 h. Worker no: 122882 <p><u>Selang Estate:</u></p> <ul style="list-style-type: none"> a. Worker no: 3104 b. Worker no: 93397 c. Worker no: 3088 d. Worker no: 105599 <p>During interviewed confirmed there is no discrimination in terms of implementation such as water supply and electricity deduction and medical although the contract's content is difference.</p>	<p>Complied</p>
<p>6.5.3</p> <p>Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible.</p> <p>- Minor compliance –</p>	<p>Mill and estates provide adequate housing to their employees and meets the government standard. All the houses are provided with water and electricity supply and the local water department-SYABAS was responsible for the clean water supply and appointed contractors were responsible for the cleaning of septic areas. In East mill, extra water tank were provided to the household due to the water disruption from local water department- SYABAS.</p> <p>House inspection was conducted on monthly basics. The latest inspection conducted on 20th February 2017 in East estate.</p> <p>Beside the housing, the company is also provide other facilities such as worshipping places, children nursery(NEST-Nursery for Estate Toddlers), clinics, sports facilities and community hall.</p>	<p>Complied</p>
<p>6.5.4</p> <p>Growers and millers shall make demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food.</p> <p>- Minor compliance –</p>	<p>Food for the staff and workers (incl. foreign workers) provided through sundry shops at the vicinity of the operating units. Most of the sundry shops are operated by the former estates workers or family members.</p> <p>Workers also will purchase food from the nearby market.</p>	<p>Complied</p>

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Criterion / Indicator		Assessment Findings	Compliance
Criterion 6.6: The employer respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.			
6.6.1	A published statement in local languages recognising freedom of association shall be available. - Major compliance -	The company has developed Social Policy dated January 2015 signed by Managing Director stated the employees have freedom of association. The employees are freely choose to join workers union.	Complied
6.6.2	Minutes of meetings with main trade unions or workers representatives shall be documented. - Minor compliance -	The Union has also held meetings with the Management in cases where the matters discussed and actions taken could not resolve the issues concerned at estate or mill level. The minutes for each of the meetings held to discuss internal issues by union or worker representatives and the estate management were available during the audit. East POM: 23 Vomber 2016 for Union Committee Members Meeting-discussed topic such as revised minimum wages, rubbish collection from estate, installation of garage and repairing the light at badminton court. Sepang Estate: 30 December 2016 for Union Meeting-mainly discuss on the topic such as transportation to work, foreign labour as Mandor, overtime and etc	Complied
Criterion 6.7: Children are not employed or exploited.			
6.7.1	There shall be documentary evidence that minimum age requirements are met. - Major compliance -	Reviewed inspection of employee contract agreement and list of registration confirmed that those employed are as per company policy on minimum age. The minimum working age is 18 and above. During field visit and consultation with stakeholders confirm that there is no child labour at any of the operation sites.	Complied
Criterion 6.8: Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.			
6.8.1	A publicly available equal opportunities policy including identification of relevant/affected groups in the local environment shall be documented. - Major compliance -	Social & Humanity Management Policy dated January 2015 is available and displayed at the office which is accessible by the relevant parties.	Complied
6.8.2	Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated against. - Major compliance -	There is no any discrimination based on religion, gender, nationality and etc during their recruitment. Amenities provided to all the workers without any discrimination. There are OSH committee, Gender committee and stakeholder meeting as a channel for all the stakeholders to complaint if any. No grievances were highlighted to the audit team by internal and external stakeholders.	Complied

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Criterion / Indicator	Assessment Findings	Compliance
6.8.3	It shall be demonstrated that recruitment selection, hiring and promotion are based on skills, capabilities, qualities, and medical fitness necessary for the jobs available. - Minor compliance -	There is no any discrimination based on religion, gender, nationality and etc during their recruitment. The recruitment process is based on skills, capabilities, medical fitness necessary and etc. Complied
Criterion 6.9: There is no harassment or abuse in the work place, and reproductive rights are protected.		
6.9.1	Policy to prevent sexual and all other forms of harassment and violence shall be implemented and communicated to all levels of the workforce. - Major compliance -	A statement to prevent sexual harassment and violence is documented in the Sime Darby Plantation Social Policy and Gender Policy. A woman representative (internal staff) has been appointed at every sight for gender committee in representing each operating units and work category that involve female workers. Complied
6.9.2	A policy to protect the reproductive rights of all, especially of women, shall be implemented and communicated to all levels of the workforce. - Major compliance -	Gender policy dated January 2015 signed by Managing Director is available and displayed at the office compound. Social & Humanity Management Policy dated January 2015 described the management protects women reproductive rights. Complied
6.9.3	A specific grievance mechanism which respects anonymity and protects complainants where requested shall be established, implemented, and communicated to all levels of the workforce. - Minor compliance -	The company has developed specific grievance mechanism on sexual harassment and violence. Female workers interview confirmed understanding of the mechanism and no issue was raised during the audit. In East POM, the last gender committee meeting was held on 23 Nov 2016. As for Sepang estate, there are total 18 females in the committee; last meeting was done on 04 Feb 17. For East Estate, meeting was held on 22/2/2016 attended by 14 members. The meeting minutes at all 3 sites visited shows that there were no harassment issue that was raised. The meeting follows the guidelines as per the Gender Committee Manual. Complied
Criterion 6.10: Growers and mills deal fairly and transparently with smallholders and other local businesses.		
6.10.1	Current and past prices paid for Fresh Fruit Bunches (FFB) shall be publicly available. - Minor compliance -	East palm oil mill process FFB from company owned estates only. No FFB purchased from out-growers or smallholders. Complied
6.10.2	Evidence shall be available that growers/millers have explained FFB pricing, and pricing mechanisms for FFB and inputs/services shall be documented (where these are under the control of the mill or plantation). - Major compliance -	East palm oil mill process FFB from company owned estates only. No FFB purchased from out-growers or smallholders. Complied
6.10.3	Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent. - Minor compliance -	Evidence available through the sampled agreement which has been signed appropriately between the mill and FFB supplier. Complied

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6.10.4	Agreed payments shall be made in a timely manner. - Minor compliance -	Review on payment records found all payment was made in timely manner for all FFB suppliers as well as other vendors. This was further verified during interviews with the respective stakeholders that were contractors, re-planters, transportations, spare-parts, hardware. Evidence was obtained during the review; At Mill (Payment Voucher) - Effitherm Sdn Bhd; D.O number: 020217 dated 02 Feb 2017 being pay to conduct steam traps survey - SS Naveen Engineering; D.O number: 2038 dated 11 Feb 2017 being pay to supply labour, tools, equipment, consumable, material and transportation.	Complied
Criterion 6.11: Growers and millers contribute to local sustainable development where appropriate.			
6.11.1	Contributions to local development that are based on the results of consultation with local communities shall be demonstrated. - Minor compliance –	In East estate, one of the CSR program was helping the native people from Sg Bumbun to clean the graveyard area held at 22 July 2016. Other CSR activities such as provide clinic, kindergarten and crèche for free. The Estates and Mill make donations to local communities for their places of worship, local schools, events and etc. These contributions are considered appropriate for the socioeconomic setting and resulted from the yearly stakeholder meetings results / as and when there is a need. Records being sighted during site visit.	Complied
6.11.2	Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve smallholder productivity. - Minor compliance –	Not applicable as no scheme smallholder available in this SOU8 management unit.	Not applicable
Criterion 6.12: No forms of forced or trafficked labour are used.			
6.12.1	There shall be evidence that no forms of forced or trafficked labour are used. - Major compliance -	All employees are legal with local identification card for local employees and foreign employees are with valid passports and working permits. No evident of trafficked workers were found during the audit. Interviewed the workers during field observation at block 15b of division A/Sg Rinao, Sepang estate and East estate confirmed no forced or trafficked labour are used.	Complied
6.12.2	Where applicable, it shall be demonstrated that no contract substitution has occurred. - Minor compliance –	No contract substitution was noted. This was confirmed through inspection of employment contract and interview with workers at block 15b of division A/Sg Rinao, Sepang estate.	Complied
6.12.3	Where temporary or migrant workers are employed, a special labour policy and procedures shall be established and implemented. - Major compliance -	No contract substitution was noted. This was confirmed through inspection of employment contract and interview with workers	Complied
Criterion 6.13: Growers and millers respect human rights.			

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Criterion / Indicator	Assessment Findings	Compliance	
6.13.1	A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations (see Criteria 1.2 and 2.1). - Major compliance -	The Social and Humanity management policy dated January 2015 covers the necessary aspects of human rights. Employees are aware of their rights and workers and staff union monitor to ensure no violations.	Complied
6.13.2	As long as children of foreign workers in Sabah and Sarawak are ineligible to attend government school, the plantation companies should engage in a process to secure these children access to education as a moral obligation.	Not applicable.	Not applicable

Principle 7: Responsible development of new plantings

**Criterion 7.1:
A comprehensive and participatory independent social and environmental impact assessment is undertaken prior to establishing new plantings or operations, or expanding existing ones, and the results incorporated into planning, management and operations.**

7.1.1	An independent social and environmental impact assessment (SEIA), undertaken through a participatory methodology including the relevant affected stakeholders, shall be documented. - Major compliance -	Last SEIA was carried out on 27-28/4/2016 for the new planting plot, (14.49 ha, Field 2014D, Dusun Durian Estate & 4.19 ha, Field P15A and 8.76 ha, Field P14C East Estate). Report dated May 2016 was made available during audit. The area is within estate's certified and the only cover internal stakeholder (staff and workers) and sundry shop owner.	Complied
7.1.2	Appropriate management planning and operational procedures shall be developed and implemented to avoid or mitigate identified potential negative impacts. - Minor compliance -	Management plan has been incorporated in the SEIA report dated 27-28/4/16. Among the management plan sighted: i) All bare areas shall be replanted with appropriate vegetation or grass. ii) Drainage system shall be provided to drain the water out of the structure of the road and diverted to vegetated areas. iii)The use of fertilizers and pesticides to be applied in a controlled manner. The disposal or dumping of fertilizers and pesticides are not allowed in the river or watercourse iv) Safety and health - Dust accumulated - Machinery & transportation Progress of the management plan was monitored regularly. As for 2017, there was no change of management plan noted.	Complied
7.1.3	Where the development includes an outgrower scheme, the impacts of the scheme and the implications of the way it is managed shall be given particular attention. - Minor compliance -	There was no outgrower scheme included in SOU8 land development.	

Criterion 7.2:

Soil surveys and topographic information are used for site planning in the establishment of new plantings, and the results are incorporated into plans and operations.

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Criterion / Indicator	Assessment Findings	Compliance	
7.2.1	Soil suitability maps or soil surveys adequate to establish the long-term suitability of land for oil palm cultivation shall be available and taken into account in plans and operations. - Major compliance -	Based on soil series map dated 21 April 2015 by R&D Plantation Research and Advisory Department, Precision Agriculture Unit SBMH, the new planting plot was not under problematic or fragile soil at all estates visited and suitable for oil palm cultivation.	
7.2.2	Topographic information adequate to guide the planning of drainage and irrigation systems, roads and other infrastructure shall be available and taken into account in plans and operations. - Minor compliance -	Adequate topographic information provided to guide the planning of drainage and irrigation systems, roads and other infrastructure to guide the planning of drainage and irrigation systems, roads and other infrastructure. Previously the land planted with coconut. Refer to the latest topography map dated February 2016 by R&D-PRA, Precision Agriculture Unit NHM.	Complied
<p>Criterion 7.3: New plantings since November 2005 have not replaced primary forest or any area required to maintain or enhance one or more High Conservation Values.</p>			
7.3.1	There shall be evidence that no new plantings have replaced primary forest, or any area required to maintain or enhance one or more High Conservation Values (HCVs), since November 2005. New plantings shall be planned and managed to best ensure the HCVs identified are maintained and/or enhanced (see Criterion 5.2). - Major compliance -	The new planting plot was previously planted with coconut and was under R&D trial plot. The area was not categorized under HCV based on the latest HCV assessment version 2, February 2015.	Complied
7.3.2	A comprehensive HCV assessment, including stakeholder consultation, shall be conducted prior to any conversion or new planting. This shall include a land use change analysis to determine changes to the vegetation since November 2005. This analysis shall be used, with proxies, to indicate changes to HCV status. - Major compliance -	Verified the latest HCV report dated May 2016 for the new planting plot (14.49 ha, Field 2014D, Dusun Durian Estate & 4.19 ha, Field P15A and 8.76 ha, Field P14C East Estate) with the new classification of conservation set aside based on HCVRN definition. Land use change has been incorporated in the carbon stock assessment dated May 2016.	Complied
7.3.3	Dates of land preparation and commencement shall be recorded. - Minor compliance -	Dates of land preparation and commencement have been recorded by estate. For example, land preparation for plot Field 2014D was started on December 2014 and will be matured in January,2018	Complied
7.3.4	An action plan shall be developed that describes operational actions consequent to the findings of the HCV assessment, and that references the grower's relevant operational procedures (see Criterion 5.2). - Major compliance -	The biodiversity action plan has been established and updated on yearly basis. The HCV and Biodiversity around the estate were monitored and maintained by Sime Darby Research and Development located in the same vicinity of the estate. Refer to criteria 5.2 for details.	Complied

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7.3.5	Areas required by affected communities to meet their basic needs, taking into account potential positive and negative changes in livelihood resulting from proposed operations, shall be identified in consultation with the communities and incorporated into HCV assessments and management plans (see Criterion 5.2). - Minor compliance -	It is verified that there has been no area required by affected communities to meet their basic needs, taking into account potential positive and negative changes in livelihood resulting from proposed operations at west estate. Thus consultation with communities of such nature is not applicable.	Complied
Criterion 7.4: Extensive planting on steep terrain, and/or marginal and fragile soils, including peat, is avoided.			
7.4.1	Maps identifying marginal and fragile soils, including excessive gradients and peat soils, shall be available and used to identify areas to be avoided - Minor compliance -	Based on soil series map dated 21 April 2015 by R&D Plantation Research and Advisory Department, Precision Agriculture Unit SBMH, the new planting plot was not under marginal, fragile and peat soil.	Complied
7.4.2	Where limited planting on fragile and marginal soils, including peat, is proposed, plans shall be developed and implemented to protect them without incurring adverse impacts. - Major compliance -	No marginal soil and peat area within SOU 8.	Complied
Criterion 7.5: No new plantings are established on local peoples' land where it can be demonstrated that there are legal, customary or user rights, without their free, prior and informed consent. This is dealt with through a documented system that enables these and other stakeholders to express their views through their own representative institutions.			
7.5.1	Evidence shall be available that affected local peoples understand they have the right to say 'no' to operations planned on their lands before and during initial discussions, during the stage of information gathering and associated consultations, during negotiations, and up until an agreement with the grower/miller is signed and ratified by these local peoples. - Major compliance -	Not applicable. The new planting plot was previously planted with coconut and was under R&D trial plot and within their certified area. There were no communities or local people establishment at the specific plot.	N.A
Criterion 7.6: Where it can be demonstrated that local peoples have legal, customary or user rights, they are compensated for any agreed land acquisitions and relinquishment of rights, subject to their free, prior and informed consent and negotiated agreements.			
7.6.1	Documented identification and assessment of demonstrable legal, customary and user rights shall be available. - Major compliance -	Not applicable. The new planting plot was previously planted with coconut and was under R&D trial plot and within their certified area. There were no communities or local people establishment at the specific plot.	N.A

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Criterion / Indicator	Assessment Findings	Compliance
7.6.2 A system for identifying people entitled to compensation shall be in place. - Major compliance -	Not applicable. The new planting plot was previously planted with coconut and was under R&D trial plot and within their certified area. There were no communities or local people establishment at the specific plot.	N.A
7.6.3 A system for calculating and distributing fair compensation (monetary or otherwise) shall be in place. - Major compliance -	Not applicable. The new planting plot was previously planted with coconut and was under R&D trial plot and within their certified area. There were no communities or local people establishment at the specific plot.	N.A
7.6.4 Communities that have lost access and rights to land for plantation expansion shall be given opportunities to benefit from plantation development. - Minor compliance -	Not applicable. The new planting plot was previously planted with coconut and was under R&D trial plot and within their certified area. There were no communities or local people establishment at the specific plot.	N.A
7.6.5 The process and outcome of any compensation claims shall be documented and made publicly available. - Minor compliance -	Not applicable. The new planting plot was previously planted with coconut and was under R&D trial plot and within their certified area. There were no communities or local people establishment at the specific plot.	N.A
7.6.6 Evidence shall be available that the affected communities and rights holders have access to information and advice, that is independent of the project proponent, concerning the legal, economic, environmental and social implications of the proposed operations on their lands. - Minor compliance -	Not applicable. The new planting plot was previously planted with coconut and was under R&D trial plot and within their certified area. There were no communities or local people establishment at the specific plot.	N.A
Criterion 7.7: No use of fire in the preparation of new plantings other than in specific situations, as identified in the ASEAN guidelines or other regional best practice.		
7.7.1 There shall be no land preparation by burning, other than in specific situations, as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions. - Major compliance -	Zero open burning policy as per SOP Section B2 - Felling/Land Clearing & Land Preparation dated November 2008. Management complying with the Malaysian environmental law –EQA and Regulations 1974. Based on the records, zero burning techniques are implemented during land preparation for (14.49 ha, Field 2014D, Dusun Durian Estate & 4.19 ha, Field P15A and 8.76 ha, Field P14C East Estate) planting.	Complied
7.7.2 In exceptional cases where fire has to be used for preparing land for planting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions. - Minor compliance -	No use of fire for land preparation during new planting. It was verified during site visit.	Complied

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Criterion / Indicator	Assessment Findings	Compliance	
<p>Criterion 7.8: New plantation developments are designed to minimise net greenhouse gas emissions.</p>			
7.8.1	<p>The carbon stock of the proposed development area and major potential sources of emissions that may result directly from the development shall be identified and estimated. - Major compliance -</p>	<p>Carbon stock for the new planting (14.49 ha, Field 2014D, Dusun Durian Estate & 4.19 ha, Field P15A and 8.76 ha, Field P14C East Estate) is based on the report dated May 2016. The GHG calculation has include the new planting area under conversion of tree corps to oil palm. Total carbon stock value (CSV) after conversion to oil palm is 724.5 of total CSV.</p>	Complied
7.8.2	<p>There shall be a plan to minimise net GHG emissions which takes into account avoidance of land areas with high carbon stocks and/or sequestration options. - Minor compliance -</p>	<p>Plan to minimise net GHG emissions which takes into account avoidance of land areas with high carbon stocks and/or sequestration options. Noted based on the carbon stock assessment, the new planting (14.49 ha, Field 2014D, Dusun Durian Estate & 4.19 ha, Field P15A and 8.76 ha, Field P14C East Estate) was not under high carbon stock. Slight increase of CSV after conversion record due to default value of carbon density tC/ha for oil palm is higher than previous planted crop.</p>	Complied

Principle 8: Commitment to continual improvement in key areas of activity			
Criterion 8.1:			
Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.			
8.1.1	<p>The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria.</p> <p>As a minimum, these shall include, but are not necessarily be limited to:</p> <ul style="list-style-type: none"> • Reduction in use of pesticides(Criterion 4.6); • Environmental impacts (Criteria 4.3, 5.1 and 5.2); • Waste reduction (Criterion 5.3); • Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); • Social impacts (Criterion 6.1); <ul style="list-style-type: none"> • Optimising the yield of the supply base. <p>- Major compliance -</p>	<p>East Palm Oil Mill and supply base estates have carried out annual review of the environmental and social aspects of its operations to identify improvements.</p> <p>The Social Action Plan has continued to work towards improving stakeholder relationship through engagement and dialogue besides further improving the workers housing.</p> <p>Initiative on KAIZEN project at East Palm Oil Mill showed commitment towards continual improvement to improve plant safety and process performance.</p> <p>Pesticide use is limited to use only when there is outbreak and justified with census prior to application.</p> <p>IPM is continuously implemented as part of efforts to reduce pesticide usage. Class I pesticide (Methamidaphos) has been replaced with Class III less hazardous pesticide (Acephate). Paraquat is completely eliminated.</p> <p>Recycling awareness is progressively implemented and evidence of recycling was noted during the assessment.</p> <p>Sighted mill continuous improvement project:</p> <ol style="list-style-type: none"> 1) Kaizen Charter – One For Each Improvement Title: Collection of usable material (bolt & nuts, washers, poly-pipes, bushes and etc.) from factory floor for reuse and reduce cost of purchase of these materials at mill by 30/3/2016 2) Kaizen Charter – One For Each Improvement Title: Reduce power wastage during the day of 200kW per day to 0kW per day at mill by 15/3/2016 3) Kaizen Charter – One For Each Improvement Title: Improve fuel (fibre & shell) saving, to enable from 7 delivery per month shell from external source to less than 3 delivery shell per month to mill by 15/3/2016 4) Kaizen Charter – One For Each Improvement Title: Reduce water wastage of 0.3m³ per hour to 0m³ per hour at front of meeting room in mill by 5/2/2016 5) Construction of new boiler 	Complied

Appendix B: Approved Time Bound Plan

SDP- RSP0 Certification Status for Malaysia Operations

SOU NO	Name of SOU	Location	Date of Certification	End Date of Certification	Certificate Number	Remarks
1	Sg. Dingin	Karangan, Kedah	12 Aug '10	11-Aug-20	SPO 550179	N.A
2	Chersonese	Kuala Kurau, Perak	5 Oct '11	4-Oct-21	CU-RSPO-815148, RSPO 590800	N.A
3	Elphil	Sg Siput, Perak	18 Jun '11	17-Jun-21	RSPO 550180	N.A
4	Flemington	Teluk Intan, Perak	5 Oct '11	4-Oct-21	CU-RSPO-819144, RSPO 590802	N.A
5	Seri Intan	Teluk Intan, Perak	3 Mar '11	2-Mar-21	CU-RSPO-811218, RSPO 0015	N.A
5	Selaba	Teluk Intan, Perak	3 Mar '11	2-Mar-21	CU-RSPO-819142, RSPO 0016	N.A
5a	Sg Samak		3 Mar '11	NA	NA	N.A
6	Tennamaram	Bestari Jaya, Selangor	3 Mar '11	2-Mar-21	CU-RSPO-819143, RSPO 0014	N.A
7	Bkt Kerayong	Kapar, Selangor	15 Apr '11	14-Apr-21	RSPO 550181	N.A
8	East	Carey Island, Selangor	19 May '10	18-May-20	SPO 543543	N.A
9	West	Carey Island, Selangor	19 May '10	18-May-20	SPO 543594	N.A

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9a	Selangor	Selangor, Selangor	19 May '10	NA	NA	N.A
10	Bukit Puteri	Raub, Pahang	7 Jul '16	6-Jul-21	CU-RSPO-815147, 18502206 001, 824 502 14020	N.A
11	Kerdau	Temerloh, Pahang	7 Jul '16	6-Jul-21	CU-RSPO-819155, 18502207 001, 824 502 14019	N.A
12	Jabor	Kuantan, Pahang	7 Jul '16	6-Jul-21	CU-RSPO-819156, RSPO 928288, 824 502 16049	N.A
13	Labu	Nilai, Negeri Sembilan	30 Dec '11	29-Dec-16	CU-RSPO-819163, SGS-RSPO/PM/MY13/01284, 824 502 16039	Recertification of Labu POM is in progress. PalmTrace License is valid till end of March 2017 in the PalmTrace system.
14	Tanah Merah	Port Dickson, Negeri Sembilan	19 May '10	18-May-20	SPO 541905	
15	Sua Betong	Port Dickson, Negeri Sembilan	18/2/2014	17-Feb-19	SGS-RSPOPM-MY14/01364, 824 502 16032	Sua Betong Oil Mill has been commissioned to replace Rantau Oil Mill with Certificate No: CU- RSPO-819165, certification date: 30 Dec 2011.
16	Kok Foh	Bahau, Negeri Sembilan	7 Jul '16	6-Jul-21	CU-RSPO-819157, RSPO 928188, 824 502 16051	N.A
17	Kempas	Jasin, Melaka	19 May '10	18-May-20	RSPO 005	N.A
18	Diamond Jubilee	Jasin, Melaka	5 Oct '11	4-Oct-21	CU-RSPO-819146, RSPO 591224	N.A
19	Pagoh	Muar, Johor	28/1/2014	27-Jan-19	RSPO 600305	Pagoh Oil Mill has been commissioned to replace Nordanal Oil Mill with Certificate No: SPO 549297, certification date: 7 Jan 2011.
19a	Yong Peng	Yong Peng, Johor	20 Oct '10	19-Oct-15	RSPO 550182	N.A
20	Chaah	Chaah, Johor	18 Nov '10	17-Nov-20	RSPO 548299	N.A
21	Gunung Mas	Kluang, Johor	19 May '10	18-May-20	RSPO 901888	N.A
22	Bukit Benut	Kluang, Johor	5 Oct '11	4-Oct-21	CU-RSPO-819147, RSPO 591229	N.A

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23	Ulu Remis	Layang-layang, Johor	11 Apr '16	10-Apr-21	SGS-RSPO/PM-00722, 824 502 16042	N.A
24	Hadapan	Layang-layang, Johor	29 Mar '11	28-Mar-21	SGS-RSPO/PM-00715, 824 502 16040	N.A
25	Segaliud	Sandakan, Sabah	20 May '10	19-May-15	RSPO 547123	N.A
26	Sandakan Bay	Sandakan, Sabah	1 Oct '08	30-Sep-18	RSPO 537872	N.A
27	Melalap	Tenom, Sabah	21 Jan '11	20-Jan-21	RSPO 547124	N.A
28	Binuang	Kunak, Sabah	16 Jan '09	12-Jul-20	RSPO 001	N.A
29	Giram	Kunak Sabah	16 Jan '09	12-Jul-20	RSPO 002	
30	Merotai	Tawau, Sabah	16 Jan '09	12-Jul-20	RSPO 004	
30a	Jeleta Bumi	Kunak, Sabah	24/5/2010	NA	NA	N.A
30b	Mostyn	Kunak Sabah	16 Jan '09	NA	NA	N.A
31	Lavang	Bintulu, Sarawak	30 Dec '11	29-Dec-21	CU-RSPO-819166, MUTU-RSPO/053	N.A
32	Rajawali	Bintulu, Sarawak	30 Dec '16	29-Dec-21	CU-RSPO-819167, RSPO 0020	N.A
33	Derawan	Bintulu, Sarawak	30 Dec '11	29-Dec-21	CU-RSPO-819169, RSPO 0019	N.A
34	Pekaka	Bintulu, Sarawak	30 Dec '11	29-Dec-21	CU-RSPO-815150, MUTU-RSPO/054	N.A

Legends

Certification Withdrawal

NA - NOT APPLICABLE

Note: There are 2 certificate numbers for some SOUs due to transfer of CB.

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SDP- RSPO Certification Status for Indonesia Operations

NO	Name of PT	Name of Mill	Location	Date of Certification	End Date of Certification	Certificate Number	Remarks
1	PT LAHAN TANI SAKTI	ALUR DUMAI	Bagan Sinembah/Tanh Putih, Pujud, Rokan Hilir, Riau	16-Jan-12	16-Jan-17	MUTU-RSPO/011	
2	PT SAJANG HEULANG	ANGSANA MINI	Sebamban, Indonesia	6-Jul-11	6-Jul-16	MUTU-RSPO/006b	Mill closed down
3	PT SAJANG HEULANG	MUSTIKA	Sebamban, Indonesia	3-Jul-13	3-Jul-18	MUTU-RSPO/027	
4	PT LADANGRUMPUN SUBURUBADI	ANGSANA	Sebamban, Indonesia	9-Nov-16	8-Nov-21	MUTU-RSPO/006a	
5	PT LANGGENG MUARAMAKMUR	BEBUNGA	Pamukan Utara, Tanah Grogot, Kotabaru/Pasir, Kalimantan Selatan/Kalimantan Timur	16-Mar-12	16-Mar-17	MUTU-RSPO/014	
6	PT KRIDATAMA LANCAR	SUKAMANDANG	Seruyan Tengah, Sampit, Seruyan, Kalimantan Tengah	2-Sep-16	1-Sep-21	MUTU-RSPO/003	
7	PT BAHARI GEMBIRARIA	LADANG PANJANG	Kumpeh Ulu, Jambi, Muaro Jambi, Jambi	9-Jul-12	9-Jul-17	MUTU-RSPO/019	
8	PT TUNGGAL MITRA PLANTATIONS	MANGGALA	Riau, Indonesia	25-Nov-10	24-Nov-20	MUTU-RSPO/002	
9	PT PARIPURNA SWAKARSA	PONDOK LABU	Pamukan Selatan, Tanah Grogot, Kotabaru, Kalimantan Selatan	16-Mar-12	16-Mar-17	MUTU-RSPO/016	
10	PT BERSAMA SEJAHTERA SAKTI	GUNUNG ARU	Sebamban, Indonesia	21-Oct-16	20-Oct-21	MUTU-RSPO/005	
11	PT GUTHRIE PECCONINA	RANTAU PANJANG	Muara Lakitan, Lubuk Linggau, Musi Rawas, Sumatera Selatan	16-Mar-12	16-Mar-17	MUTU-RSPO/017	

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12	PT LAGUNA MANDIRI	RANTAU	Sungai Durian, Kotabaru, Kalimantan Selatan	30-Dec-11	30-Dec-16	MUTU-RSPO/009	Recertification of Rantau POM is in progress. PalmTrace License is valid till end of Feb 2017 in the PalmTrace system.
13		BETUNG		1-April-14	1-April-19	MUTU-RSPO/035	
14	PT INDOTRUBA TENGAH	SEKUNYIR	Kalimantan Tengah, Indonesia	23-Nov-10	22-Nov-20	MUTU-RSPO/001	
15	PT SWADAYA ANDIKA	SELABAK	Sungai Durian, Kotabaru, Kalimantan Selatan	16-Mar-12	16-Mar-17	MUTU-RSPO/015	
16	PT BINA SAINS CEMERLANG	SG PINANG	Muara Lakitan, Lubuk Linggau, Musi Rawas, Sumatera Selatan	11-Sep-12	11-Sep-17	MUTU-RSPO/020	
17	PT TEGUH SEMPURNA	PEMANTANG	Kuala Kuayan, Sampit, Kotawaringin Timur, Kalimantan Tengah	9-Sep-16	8-Sep-21	MUTU-RSPO/004	
18	PT BHUMIREKSA NUSA SEJATI	TELUK BAKAU	Pelangiran, Sg. Guntung, Indragiri Ilir, Riau	01-Dec-16	30-Nov-21	MUTU-RSPO/008	
19		MANDAH		1 April 2014	1 April 2019	MUTU-RSPO/036	
20	PT ANEKA INTIPERSADA	TELUK SIAK	Tualang, Perawang, Siak, Riau	8-Dec-16	7-Dec-21	MUTU-RSPO/007	
21	PT TAMACO GRAHA KRIDA	UNGKAYA	Witaponda, Kolonodale, Morowali, Sulawesi Tengah	10-Jul-12	10-Jul-17	MUTU-RSPO/018	
22	PT SIME INDO AGRO	BK AJONG	Kalimantan Barat, Indonesia	18-Jul-16	17-Jul-21	MUTU-RSPO/088	
23	PT PADANG PALMA PERMAI/PT PERKASA SUBUR SAKTI	BLANG SIMPO	Karang Baru, Kuala Simpang, Aceh Tamiang, Nangroe Aceh Darussalam	3-May-13	3-May-18	MUTU-RSPO/026	
24	PT SANDIKA NATAPALMA/PT	LEMBIRU	Desa Suka Karya Kec. Marau Kab. Ketapang, Kalimantan Barat	3-Jul-14	2-Jul-19	MUTU-RSPO/044	

	BUDIDAYA LESTARI	AGRO						
25	PT MITRAL SEJAHTERA	AUSTRAL	MAS Mill	Desa Rahayu Kab.Sanggau, Barat	Kec. Parindu Kalimantan	NA	NA	NA

Legends

Pending Certification by RSPO EB	Mill closed down
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NA - NOT APPLICABLE

Appendix C: Certification Unit RSPO Certificate Details

Sime Darby Plantation Sdn Bhd
Strategic Operating Unit (SOU 8)
East Palm Oil Mill
42960 Carey Island
Selangor, Malaysia
RSPO membership number: 1-0008-04-000-00

BSI RSPO Certificate No. : RSPO 543543
Date of Initial Certificate Issued: 19/05/2010
Date of Expiry: 18/05/2020
Applicable Standards: RSPO P&C MYNI-2014; RSPO Supply Chain Certification Standard November 2014 Module D – CPO Mills: Identity Preserved)

East Palm Oil Mill and Supply Base					
Location Address	SOU 8 Management Unit (East Palm Oil Mill 42960 Carey Island, Selangor, Malaysia)				
GPS Location	101° 21' 36.36" E ; 2° 54' 21.82" N				
CPO Tonnage Total	31,753.10 mt				
PK Tonnage Total	6,599.95 mt				
CPO Claimed for Certification*	31,753.10 mt				
PK Claimed for Certification *	6,599.95 mt				
Own estates FFB Tonnage	146,665.58 mt				
Scheme Smallholder FFB Tonnage	-				
Estates	Production Area		Other use (ha)	Certified Area / Total land lease (ha)	Annual FFB Production (mt)
	Mature (ha)	Immature (ha)			
East Estate	4,129.23	865.92	639.3	5,634.45	39,525.51
Dusun Durian Estate	1,765.91	302.91	23.46	2,092.28	49,562.83
Sepang Estate	2,207.60	516.64	469.67	3,193.91	57,577.24
TOTAL	8,102.74	1,685.47	1,132.43	10,920.64	146,665.60

Appendix D: Assessment Plan

Date	Time	Subjects	Hoo BH	Hafri	Daniel
Tuesday 21/02/2017	PM	Audit team traveling to site	√	√	√
Wednesday 22/02/2017	0830-0900	Opening Meeting: • Opening Presentation by Audit team leader. • Confirmation of assessment scope and finalize Audit plan (including stakeholder’s consultation).	√	√	√
Sepang Estate	0900-1100	Sepang Palm Oil Mill Field visit, boundary inspection,, field operations, staff & workers interview, buffer zone, HCV area, IPM implementation, OSH & ERP, workshop, storage area (agrochemical, fertilizer, lubricant etc) Agrochemical mixing area, schedule waste management, worker housing, clinic, landfill, etc.	√	√	√
	1100-1200	Meeting with stakeholders (Government, village rep, smallholders, workers leader, contractor etc)	√	√	√
	1200-1300	Lunch	√	√	√
	1300-1630	Sepang Estate Document review P1 – P8: (General Documentation e.g. Legal, Manual and Procedure, production & monitoring records, IPM & HCV records, SEIA documents & records, OSH records, review pay documents, records of communication with stakeholder/workers representatives, new planting, CIP and implementation etc).	√	√	√
	1630-1700	Interim Closing briefing	√	√	√
	Thursday 23/02/2017	0830-1100	East Estate Field visit, boundary inspection, field operations, staff & workers interview, buffer zone, HCV area, IPM implementation, OSH&ERP, workshop, storage area (agrochemical, fertilizer, lubricant etc), agrochemical mixing area, Schedule waste management, worker housing, clinic, Landfill, ,etc.	√	√
East Estate	1100-1200	Meeting with stakeholders (Government, village rep, smallholders, Union Leader, contractor etc.)	√	√	√
	1200-1300	Lunch	√	√	√
	1300-1630	East Estate Inspection: FFB receiving, warehouse, workshop, wastes management & Landfill, Effluent Ponds, OSH & ERP, Environment issues, POME application, water treatment, staff, workers and contractor interview, housing and facility inspection, clinic, meeting stakeholders etc.	√	√	√

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Date	Time	Subjects	Hoo BH	Hafri	Daniel
	1630-1700	Interim Closing briefing	√	√	√
Friday 24/02/2017 East Palm Oil Mill	0830-1200	East Palm Oil Mill Inspection: FFB receiving, warehouse, workshop, wastes management & Landfill, Effluent Ponds, OSH & ERP, Environment issues, POME application, water treatment, staff, workers and contractor interview, housing and facility inspection, clinic, meeting stakeholders etc.	√	√	√
	1100-1200	Supply chain for CPO mill, weighbridge officer, production record and etc	√	√	√
	1200-1300	Lunch	√	√	√
	1300-1630	Document review P1 – P8: (General Documentation e.g. Legal, Manual and Procedure, production & monitoring records, IPM & HCV records, SEIA documents & records, OSH records, review pay documents, records of communication with stakeholder/workers representatives, new planting, TBP, CIP and implementation etc).	√	√	√
	1530-1630	Verify any outstanding issues & Preparation for closing meeting	√	√	√
	1630-1730	Closing meeting	√	√	√

Appendix E: Stakeholders Contacted

<p>Internal Stakeholders East Certification Unit Management team and Staff Representatives from Sustainability Department On site compliance executives Mill Manager and Assistants Estate Managers and Assistants Facility Administrators Gender Committee Representatives Hospital Assistant Male and Female workers Kindergarten Teacher Workers Union Representatives Onsite NUPW secretary</p>	<p>Contractors General Supplier FFB Transport contractor Engineering work contractor</p> <p>External Stakeholders NUPW</p>
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Appendix F: CPO Mill Supply Chain Assessment Report (Module D: Identity Preserved)

Requirements	Compliance
D.1. Definition	
<p>D.1.1 A mill is deemed to be Identity Preserved (IP) if the FFB used by the mill are sourced from its own supply base certified to the RSPO Principles and Criteria (RSPO P&C). Certification for CPO mills is necessary to verify the volumes and sources of certified FFB entering the mill, the implementation of any processing controls (for example, if physical separation is used), and volume sales of RSPO certified products. A mill may be taking delivery of FFB from uncertified growers, in addition to those from its own certified land base. If a mill processes certified and uncertified FFB without physically separating the material then only Module E is applicable.</p>	<p>The East mill only receives certified FFB. Therefore qualifies for the Identity Preserved supply chain system and module. During the P&C assessment, the audit team verified the volumes and sources of certified FFB entering the mill, the implementation of processing controls and volume sales of RSPO certified products</p>
D.2 Explanation	
<p>D.2.1 The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill must be recorded by the certification body (CB) in the public summary of the P&C certification report. This figure represents the total volume of certified palm oil product (CPO and PK) that the certified mill is allowed to deliver in a year. The actual tonnage produced shall then be recorded in each subsequent annual surveillance report.</p>	<p>The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill is recorded in this public summary report.</p>
<p>D.2.2 The mill must also meet all registration and reporting requirements for the appropriate supply chain through the RSPO supply chain managing organization (RSPO IT platform or book and claim).</p>	<p>The mill has met all registration and reporting requirements for the appropriate supply chain through the RSPO supply chain managing organization (RSPO IT platform or book and claim).</p>
D.3 Documented procedures	
<p>D.3.1 The site shall have written procedures and/or work instructions to ensure the implementation of all the elements specified in these requirements. This shall include at minimum the following:</p> <p>a) Complete and up to date procedures covering the implementation of all the elements in these requirements;</p> <p>b) The role of the person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the site's procedures for the implementation of this standard.</p>	<p>Latest written documented procedures (RSPO SCCS v.2 March 2016) for the chain of custody is with Identity Preserved (IP) model covering all the RSPO Supply Chain Certification Standard and Traceability for handling certified and non-certified FFB under Appendix 15. This developed based on the RSPO SCCS 21 November 2014.</p> <p>The mill manager has the responsibility to ensure implementation assisted by the on-site compliance executive. The IP model is used because only certified FFB from own supply base is received and processed at East Palm Oil Mill. The mill manager and assistant manager have awareness of the supply chain system. The manager has overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements.</p>
<p>D.3.2 The site shall have documented procedures for receiving and processing certified and non-certified FFBs.</p>	<p>East Palm Oil mill has documented procedures (as per above in D 3.1) for the incoming FFB, processing and outgoing palm products (CPO and PK). The procedure covers receiving and processing certified and non-certified FFBs.</p>
D.4 Purchasing and goods in	

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<p>D.4.1 The site shall verify and document the tonnage and sources of certified and the tonnage of non-certified FFBs received.</p>	<p>Similar to last assessment daily records are prepared at the entry point at the weighbridge. Daily summary and monthly summary documented for all the certified FFB. Records verified by internal and external audit. East oil mill have system to verify at the weighbridge and only received certified FFB.</p> <p>Records of the FFB as below:</p> <ol style="list-style-type: none"> FFB Weighbridge ticket FFB Despatch Note Daily & Monthly Mill Production Record <p>Samples taken as below:</p> <ol style="list-style-type: none"> Weighbridge ticket no: 125078; dated 30 Dec 2016 Weighbridge ticket no: 125412; dated 05 Jan 2016 Weighbridge ticket no: 123981; dated 17 Nov 2016
<p>D.4.2 The site shall inform the CB immediately if there is a projected overproduction of certified tonnage.</p>	<p>The facilities aware of this procedure and stated in the.</p>
<p>D.5 Record keeping</p>	
<p>D.5.1 The site shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a three-monthly basis.</p>	<p>All the inventory records are maintained and updated on daily basis and monthly report shows monthly inventory. Computerized system in place. No PKO and Palm kernel meal at Chersonese Palm Oil mill. PK is sold to Sime Darby's Kernel Crushing Plant and also other 3rd party KCP. Daily records are prepared at the entry point at the weighbridge. Daily summary and monthly summary documented for all the FFB received. Records of certified FFB received verified during annual surveillance. Records verified by internal and external audit. Verified records of physical delivery for 2016:</p> <ol style="list-style-type: none"> Ticket no: 008736 dated 31 Dec 2016; CPO (RSPO IP) Ticket no: 008703 dated 29 Nov 2016; CPO (RSPO IP) Ticket no: 008842 dated 31 Jan 2017; CPO (RSPO IP)
<p>D.6 Processing</p>	
<p>D.6.1 The site shall assure and verify through documented procedures and record keeping that the RSPO certified oil palm product is kept segregated from noncertified material including during transport and storage.</p>	<p>During this assessment it was confirmed that only certified source of FFB from own plantation is processed. This ensures that there is no possibility of mixing during processing. There are diversion of certified crops from nearby estate. No non-certified FFB received.</p>
<p>D.6.2 The objective is for 100 % segregated material to be reached.</p>	<p>Processing and storage records can trace back to only certified segregated FFB and finish product (CPO and PK) through traceability records such as weighbridge records. This ensures that 100% segregated materials are reached.</p>

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Actual Tonnage Certified Palm Production – January 2016 – December 2016 (ASA2 1)

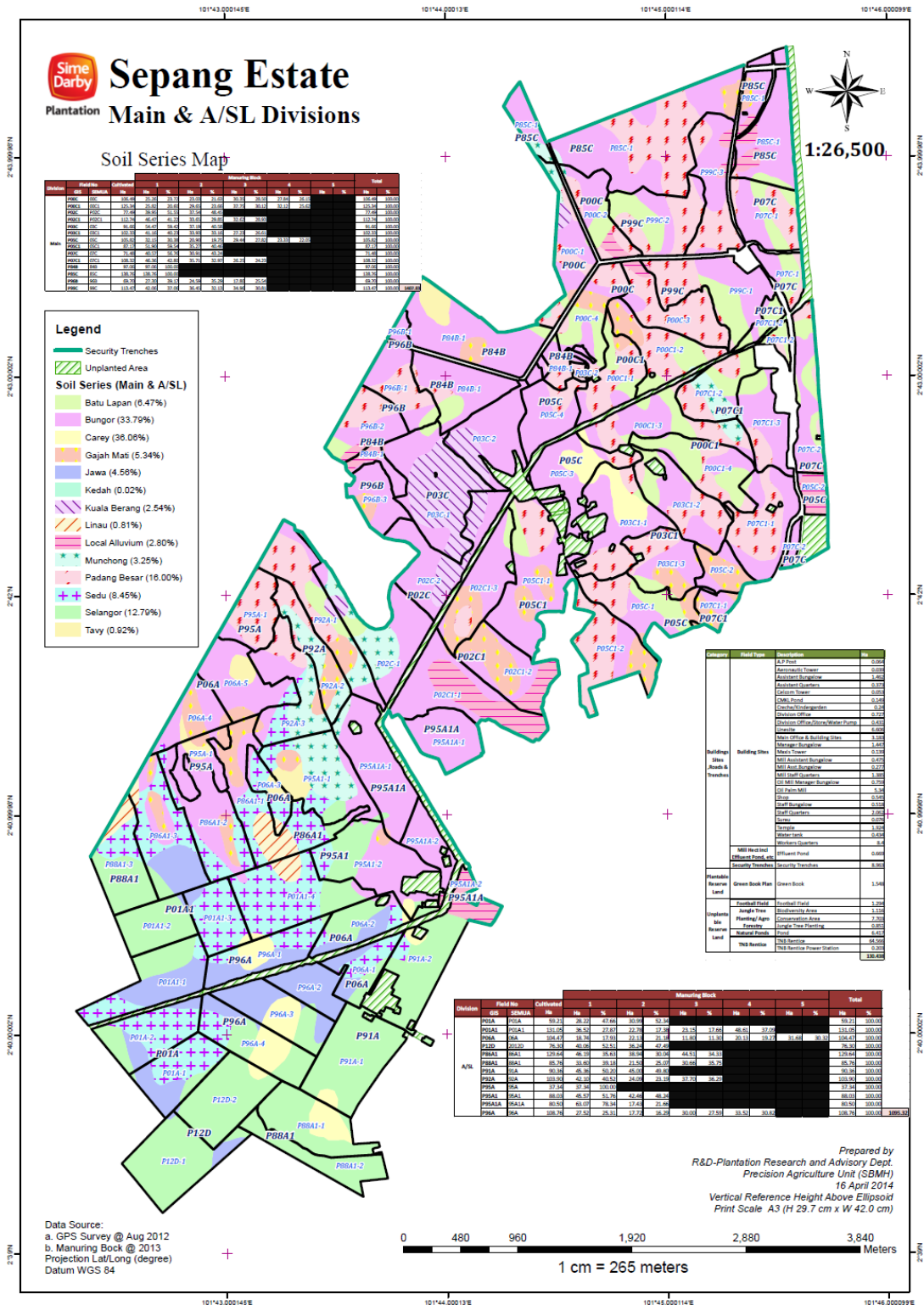
Mill	Capacity	CPO	PK
East Palm Oil Mill	30 MT/hr	26,536.07	5,039.63

Actual Tonnage Sales of Certified Palm Products – January 2016 – December 2017 (ASA2 1)

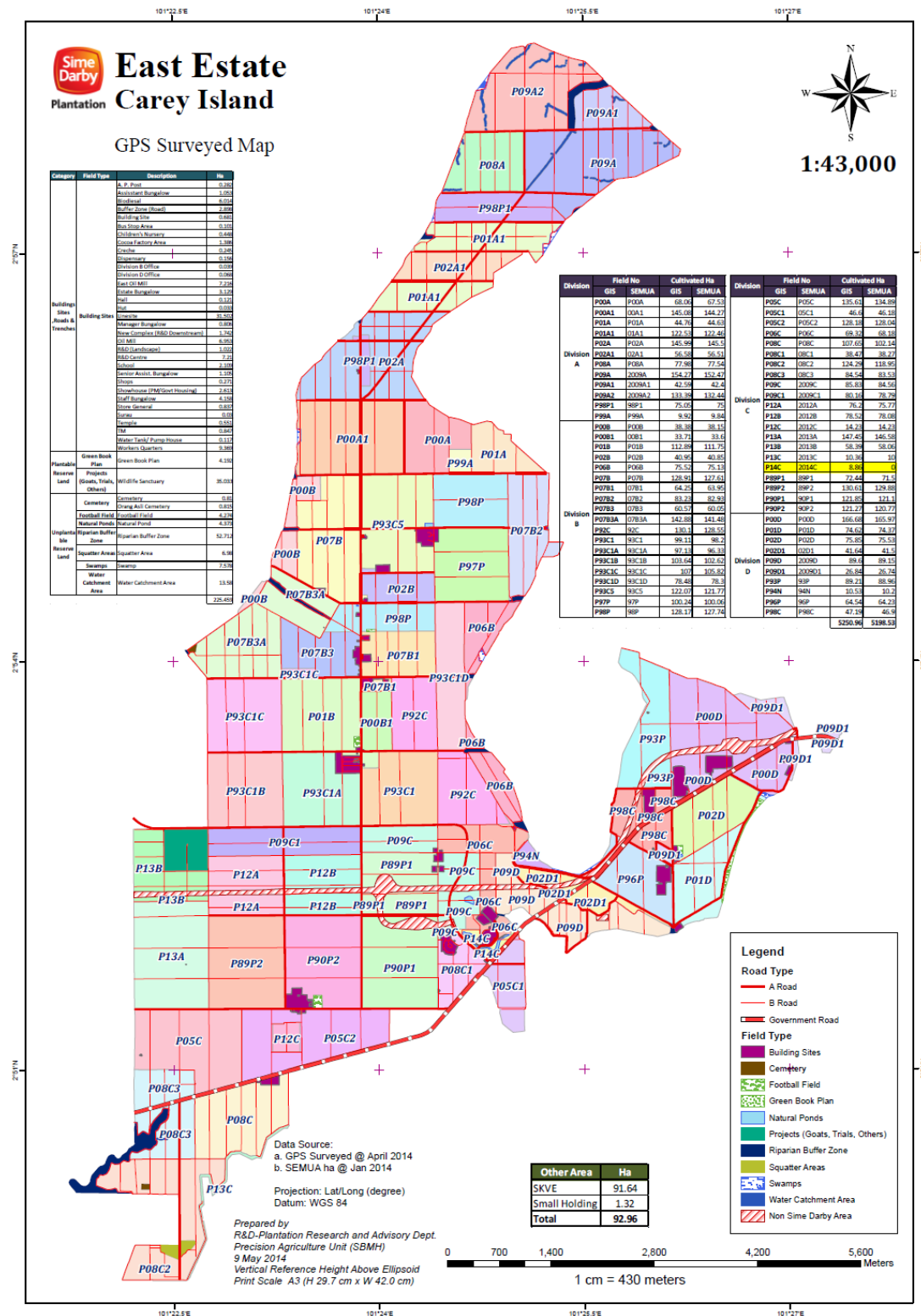
Mill	Certified CPO Sales	Certified PK Sales	Remarks
East Palm Oil Mill	3,837.16	7,083.20	N.A

Month	Own Supply Base (Estates)			Certified Supply Base (from adjacent certified supply base) (mt)				
	East Estate	Sepang Estate	Dusun Durian Estate	Glengowrie Estate	Bukit Kerayong Estate	Bukit Cheraka Estate	Labu Estate	Total FFB/Month (mt)
Jan 16	2,458.00	2,488.87	2,737.52	205.65	113.34	-	-	8,003.38
Feb 16	3,429.78	3,227.49	3,277.62	277.54	-	-	-	10,212.43
Mar 16	3,166.41	4,089.26	3,455.39	341.97	625.75	895.63	-	12,574.41
Apr 16	2,436.81	3,638.98	3,081.49	283.17	107.93	-	-	9,548.38
May 16	3,964.75	3,697.39	4,324.71	280.02	245.35	400.94	-	12,913.16
Jun 16	2,816.26	3,098.42	3,841.41	183.56	-	266.84	-	10,206.49
July 16	3,321.98	2,904.28	3,539.57	63.43	-	293.38	-	10,122.64
Aug 16	4,621.36	3,695.18	4,004.80	-	-	-	-	12,321.34
Sep 16	4,321.73	3,698.69	4,597.24	-	-	-	-	12,617.66
Oct 16	2,449.32	2,510.51	2,360.84	-	-	-	-	7,320.67
Nov 16	4,056.92	4,730.33	4,111.79	-	-	-	71.90	12,970.94
Dec 16	1,330.96	1,615.09	1,305.40	-	-	-	-	4,251.45
Total	38,374.28	39,394.49	40,637.78	1,635.34	1,092.37	1,856.79	71.9	123,062.95

Appendix H: Sepang Estate Field Map



Appendix I: East Estate Field Map



Appendix J: GHG Reporting Executive Summary

The GHG emissions that were produced in 2016 for GPPOL mill and supply base (both owned estates and smallholders) was calculated using the GHGpalm Calculator version 3.0. The assessment team had verified the data input in the GHGpalm Calculator against operations records. Palm GHG Calculation Options selected 'Full version' and 'Exclude LUC Emission' calculation option is not applied. The records verified includes:

- i. Estates planted data
- ii. Fuel consumed
- iii. Mill datas include CPO produced, PKO Produced and FFB Processed
- iv. Fertilizer consumed data for estates.

The summary of the Net GHG emitted in 2016 for East mill and supply base are as following:

Emission per product	tCO ₂ e/tProduct
CPO	1.32
PKO	1.32

Extraction	%
OER	21.52
KER	4.09

Production	t/yr
FFB Process	123,141.07
CPO Produced	26,497.00
PKO Produced	5,042.14

Land Use	Ha
OP Planted Area	18,793.83
OP Planted on peat	0
Conservation (forested)	0
Conservation (non-forested)	0
Total	18,793.83

Summary of Field Emission and Sink

	Own Crop*		Group		3rd Party		Total	
	tCO ₂ e	tCO ₂ e / FFB	tCO ₂ e	tCO ₂ e / FFB	tCO ₂ e	tCO ₂ e / FFB	tCO ₂ e	tCO ₂ e / FFB
Emission								
Land Conversion	57,876.14	0.46	1,775.85	0.56	0	0	59,651.99	1.02
CO ₂ Emission from fertilizer	6,603.46	0.05	175.75	0.06	0	0	6,779.21	0.11
NO ₂ Emmision	5,227.74	0.04	127.85	0.04	0	0	5,355.59	0.08
Fuel Consumption	655.59	0.01	24.13	0.01	0	0	679.72	0.02
Peat Oxidation	0	0	0	0	0	0	0	1.02
Sink								
Crop Sequestration	-54,838.26	-0.44	-1,683.28	-0.53	0	0	-56,521.54	-0.97
Conservation Sequestration	0	0	0	0	0	0	0	0
Total	15,524.67	0.12	420.3	0.13	0	0	15,944.97	0.25

**Note: Includes both estates*

Summary of Mill Emission and Credit

	tCO ₂ e	tCO ₂ e/tFFB
Emission		
POME	24,137.74	0.2
Fuel Consumption	48.15	0
Grid Electricity	1513.84	0.01
Utilisation	0	0
Credit		
Export of Grid Electricity	0	0
Sales of PKS	0	0
Sales of EFB	0	0
Total	25,699.73	0.21

Summary of Kernel Crusher Emission and Credit (if applicable)

Emissions	tCO₂e
PK from own mill	5,043.14
PK from other source	0
Fuel Consumptions	0
Total Crusher emissions	0

Palm Oil Mill Effluent (POME) Treatment:	
Divert to Compost (%)	0
Divert to anaerobic diversion (%)	100

POME Diverted to Anaerobic Digestion:	
Divert to anaerobic pond (%)	100
Divert to methane captured (flaring) (%)	0
Divert to methane captured (energy generation) (%)	0

Appendix K: List of Abbreviations Used

AMESU	All Malaysia Estate Staff Union
AN	Ammoniacal Nitrogen
ASA	Annual Surveillance Assessment
BOD	Biological Oxygen Demand
CHRA	Chemical Health Risk Assessment
CIP	Continual Improvement Plan
COD	Chemical Oxygen Demand
CPO	Crude Palm Oil
DOE	Department of Environment
DOSH	Department of Occupational Safety & Health
EFB	Empty Fruit Bunch
EIA	Environmental Impact Assessment
EMS	Environmental Management System
ERP	Emergency Response Plan
FFB	Fresh Fruit Bunch
HCV	High Conservation Value
IPM	Integrated Pest Management
ISCC	International Sustainable Carbon Certification
MAPA	Malayan Agricultural Producers Association
MPOA	Malaysian Palm Oil Association
MSDS	Material Safety Data Sheet
MSPO	Malaysian Sustainable Palm Oil
MY-NI	Malaysian National Interpretation
NGO	Non Governmental Organisation
NUPW	National Union of Plantation Workers
OSH	Occupational Safety & Health
O&G	Oil and Grease
PK	Palm Kernel
PKO	Palm Kernel Oil
POM	Palm Oil Mill
PPE	Personal Protective Equipment
RED	Renewable Energy Directive
RSPO	P&C Roundtable on Sustainable Palm Oil Principle & Criteria
SAJ	Syarikat Air Johor
SCCS	Supply Chain Certification Standard
SDPSB	Sime Darby Plantation Sdn Bhd
SEIA	Social & Environmental Impact Assessment
SIA	Social Impact Assessment
SOP	Standard Operating Procedure
SOU	Strategic Operating Unit
SS	Suspended Solids
TS	Total Solids
VFA	Volatile Fatty Acids