

**MALAYSIAN SUSTAINABLE PALM OIL  
- ANNUAL SURVEILLANCE ASSESSMENT (ASA 3)  
Public Summary Report**

<b>Sime Darby Plantation Berhad</b>
Client company Address: Level 5, Main Block, Plantation Tower, No. 2, Jalan PJU 1A/7, 47301 Ara Damansara, Selangor, Malaysia
Certification Unit: Strategic Operating Unit (SOU 9) - West Palm Oil Mill & West Estate  Location of Certification Unit: West Palm Oil Mill, 42960 Carey Island, Selangor, Malaysia

**Report prepared by:**  
**Nor Halis Abu Zar** (Lead Auditor)

**Report Number: 3293283**

**Assessment Conducted by:**  
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## Section 1: Executive Summary

1.1 Organizational Information and Contact Person			
Company Name	Sime Darby Plantation Berhad		
Mill/Estate	MPOB License No.	Expiry Date	
	West POM: 533238004000	30/09/2021	
	West Estate: 522968002000	31/08/2021	
Address	<u>Head Office:</u> Level 5, Main Block, Plantation Tower, No. 2, Jalan PJU 1A/7, 47301 Ara Damansara, Selangor, Malaysia  <u>Certification unit:</u> West Palm Oil Mill, 42960 Carey Island, Selangor, Malaysia		
Certification Unit	Strategic Operating Unit (SOU 9) - West Palm Oil Mill		
Contact Person Name	Mdm. Shylaja Devi Vasudevan Nair (Head, Sustainability Unit - PSQM) Encik Zalizan Bin Mohd Tahir		
Website	www.simedarbyplantation.com	E-mail	zalizan.mohd.tahir@simedarbyplantation.com
Telephone	+6012-5812769 +603-3122 0346/48	Facsimile	+603-3122 0375

1.2 Certification Information			
Certificate Number	Palm Oil Mill: MSPO 682052 Plantations: MSPO 690774		
Issue Date	13/02/2018	Issue Date	12/02/2023
Scope of Certification	Palm Oil Mill: Production of Sustainable Palm Oil and Palm Oil Products Plantations: Production of Sustainable Oil Palm Fruits		
Standard	1) MS 2530-3:2013 Malaysian Sustainable Palm Oil (MSPO) Part 3: General Principles for Oil Palm Plantations and Organized Smallholders 2) MS 2530-4:2013 Malaysian Sustainable Palm Oil (MSPO) Part 4: General Principles for Palm Oil Mills		
Stage 1 Date	N/A (The certification unit is RSPO Certified)		
Stage 2 / Initial Assessment Visit Date (IAV)	05 - 06/12/2017		
Continuous Assessment Visit Date (CAV) 1	31/01 - 01/02/2019		
Continuous Assessment Visit Date (CAV) 2	27 - 28/07/2020		
Continuous Assessment Visit Date (CAV) 3	03 - 04/03/2021		

Continuous Assessment Visit Date (CAV) 4	TBA		
Other Certifications			
Certificate Number	Standard(s)	Certificate Issued by	Expiry Date
EU-ISCC-Cert-DE107-70040320	ISCC	agroVet GmbH	16/04/2021
RSPO 543594	RSPO P&C 2018 (MYNI 2019)	BSI Services Malaysia Sdn. Bhd.	18/05/2025
MSPO 714130	MSPO Supply Chain Certification Standard, dated 1 October 2018	BSI Services Malaysia Sdn. Bhd.	15/08/2024

1.3 Location of Certification Unit			
Name of the Certification Unit (Palm Oil Mill/ Estate/ Smallholder/ Independent Smallholder)	Site Address	GPS Reference of the site office	
		Latitude	Longitude
West Palm Oil Mill	West Palm Oil Mill, 42960 Carey Island, Selangor, Malaysia	2.905460	101.360085
West Estate	Ladang West, 42960 Carey Island, Selangor, Malaysia	2.889492	101.360620

1.4 Certified Area					
Estate	Total Planted (Mature + Immature) (ha)	HCV (ha)	Infrastructure & Other (ha)	Total Area (ha)	% of Planted
West Estate	5,064.64	45.75	645.30	5,755.69	88%
<b>Total</b>	<b>5,064.64</b>	<b>45.75</b>	<b>645.30</b>	<b>5,755.69</b>	<b>88%</b>

1.5 Plantings & Cycle							
Estate	Age (Years)					Mature**	Immature
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30		
West Estate	1,047.67	579.90	2,885.34	503.75	47.98	4,016.97	1,047.67
<b>Total (ha)</b>	<b>1,047.67</b>	<b>579.90</b>	<b>2,885.34</b>	<b>503.75</b>	<b>47.98</b>	<b>4,016.97</b>	<b>1,047.67</b>

1.6 Certified Tonnage of FFB			
Estate	Tonnage / year		
	Estimated (Jan 2020 - Dec 2021)	Actual (Jan 2020 - Jan 2021)	Forecast (Jan 2021 - Dec 2022)
West Estate	124,314.12	98,472.91	108,892.73

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East Estate (crop diversion)	78,155.67	60,467.42	51,201.41
Dusun Durian Estate (crop diversion)	-	4,013.61	-
Sepang Estate (crop diversion)	-	3,481.98	-
<b>Total</b>	<b>202,469.80</b>	<b>166,435.92</b>	<b>160,094.14</b>

1.7 Uncertified Tonnage of FFB			
Estate	Tonnage / year		
	Estimated (Jan 2020 - Dec 2021)	Actual (Jan 2020 - Jan 2021)	Forecast (Jan 2021 - Dec 2022)
		Nil	
<b>Total</b>	Nil	Nil	Nil

1.8 Certified Tonnage			
	Estimated (Jan 2020 - Dec 2021)	Actual (Jan 2020 - Jan 2021)	Forecast (Jan 2021 - Dec 2022)
	<b>Mill Capacity: 50 MT/hr</b>	<b>FFB</b>	<b>FFB</b>
	202469.80	166,435.92	160,094.14
<b>SCC Model: SG</b>	<b>CPO (OER: 21.50%)</b>	<b>CPO (OER: 20.63%)</b>	<b>CPO (OER: 21.63%)</b>
	43,531.01	34,334.89	34,620.50
	<b>PK (KER: 5.00%)</b>	<b>PK (KER: 5.08%)</b>	<b>PK (KER: 5.07%)</b>
	10,123.49	8,460.68	8,115.45

1.9 Actual Sold Volume (CPO)					
CPO (MT)	MSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSPO		
34,334.89	-	-	34,334.89	-	34,334.89

1.10 Actual Sold Volume (PK)					
PK (MT)	MSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSPO		
8,460.68	-	-	8,460.68	-	8,460.68

## Section 2: Assessment Process

BSI is a leading global provider of management systems assessment and certification, with more than 80,000 certified locations and clients in over 190 countries. BSI Standards is the UK's National Standards Body. BSI provides independent, third-party certification of management systems.

### Assessment Methodology, Programme, Site Visits

This remote assessment was conducted from 03-04/03/2021. The audit programme is included as Section 2.3. The approach to the audit was to treat the SD SOU 9 West POM and Estate as a MSPO Certification Unit. A range of environmental and social factors were covered. This includes consideration of topography, palm age, proximity to areas with HBVs, 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. MS 2530-3:2013 and MS 2530-4:2013 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 estates or smallholders sample were determined based on formula  $S = r\sqrt{n}$  where  $n$  is the number of estates while when applicable, the smallholders sample were determined following the MSPO Certification Requirement. The sampling of smallholders were based on the formula  $(r\sqrt{n})$ ; where  $r$  is the risk factor (may defers 1, 1.5 and 2 depending on risk), where  $n$  is total number of group members. The sampled smallholder listed in Appendix C.

Meetings were held with stakeholders to seek their views on the performance of the company with respect to the MSPO 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 B.

All the previous nonconformities are remains closed. The assessment findings for the initial assessment are detailed in Section 4.2.

This report is structured to provide a summary of assessment finding as attached in the Section 3. The assessment was based on random samples and therefore nonconformities may exist that have not been identified.

This report was externally reviewed by MSPO approved Peer Reviewer prior to certification decision by BSI.

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

Assessment Program					
Name (Mill / Plantation / Group smallholders)	Year 1 (Certification)	Year 2 (ASA 1)	Year 3 (ASA 2)	Year 4 (ASA 3)	Year 5 (ASA 4)
West Palm Oil Mill	√	√	√	√	√
West Estate	√	√	√	√	√

**Tentative Date of Next Visit: March 3, 2022 - March 4, 2022**

**Total No. of Mandays: 4 mandays**

**2.1 BSI Assessment Team**

Team Member Name	Role <i>(Team Leader or Team member)</i>	Qualifications <i>(Short description of the team members)</i>
Nor Halis Abu Zar	Team Leader	He holds Bachelor of Science, Plantation Technology and Management, graduated from Universiti Teknologi Mara. He started his career as Assistant Manager at Kulim Plantations Sdn. Bhd. managing the day to day plantation operations. In his career at Kulim Plantation, Halis had accumulated more than 6 years of sustainability implementation experience including workers' welfare, workers' occupational, health & safety, environment conservation and protection at buffer areas and continuous improvement management plans. He is a qualified Lead Auditor for MS2530:2013 and has accumulated more than 300 audit days throughout his current career as the auditor for multiple disciplines covering Malaysia. He has completed ISO IMS 9001, 14001 Lead Auditor Course in January 2019, MSPO 2530:2013 Lead Auditor Course in February 2019 and endorsed RSPO Lead Auditor Course in October 2020. Fluent in Bahasa Malaysia and English languages. During this assessment, he assessed on the aspects of legal, mill best practices, safety and health and workers consultation.
Hu Ning Shing	Team member	She holds bachelor's degree in science majoring in Applied Chemistry, graduated from University of Malaya on 2011. She has 5 years working experience in rubber and palm oil industry. She also has the experiences as auditor for several standards including ISO 9001, MSPO and RSPO in her previous certification body. She completed the ISO 9001 Lead Auditor Course on 2016, Endorsed RSPO P&C Lead Auditor Course in 2012 and Endorsed RSPO SCCS Lead Auditor Course in 2015. She attended Endorsed MSPO Auditor and MSPO SCCS Lead Auditor Course in 2019. She had been involved in RSPO auditing since November 2015 in more than various companies in Malaysia. She is fluent in Bahasa Malaysia and English languages. During this assessment, she assessed on the aspects of social, legal, workers & stakeholders consultation and SCC for CPO mill.

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**2.2 Accompanying Persons**

No.	Name	Role
	Nil	

**2.3 Assessment Plan**

The Assessment plan was sent to the client prior to the assessment (attached assessment plan).

Date	Time	Subjects	(NHA)	(HNS)	ICT Planned
Friday, 26/02/2021	11.00 - 12.00	Communication on document preparation - Audit plan - Any additional Information	√	√	Teleconference, Microsoft Team Meeting, Email
Wednesday, 03/03/2021 SOU 9 West Palm Oil Mill	9.00 - 9.15	Opening meeting - Opening presentation by audit team leader - Confirmation of assessment scope and finalize audit plan	√	√	Teleconference, Microsoft Team Meeting, Email
	0915 - 1030	Assessment and documentation review on mill best practice, legal requirements, OHS, environment and continual improvement	√		Teleconference, Microsoft Team Meeting, Email
	1030 - 1040	10-minute break	√		
	1040 - 1230	Assessment and documentation review on mill best practice, legal requirements, OHS, environment and continual improvement	√		Teleconference, Microsoft Team Meeting, Email
	1230 - 1330	Lunch & Break	√	√	Teleconference, Microsoft Team Meeting, Email
	1330 - 1450	Assessment and documentation review on social aspects, legal requirements, employees' welfare and stakeholder management		√	Teleconference, Microsoft Team Meeting, Email
	1450 - 1500	10-minute break		√	
	1500 - 1700	Assessment and documentation review on social aspects, legal requirements, employees' welfare and stakeholder management		√	Teleconference, Microsoft Team Meeting, Email
	1700 - 1730	Interim closing briefing	√		Teleconference, Microsoft Team Meeting, Email
Thursday, 04/03/2021 SOU 9 West Estate	0900 - 1030	Assessment and documentation review on good agricultural practices, legal requirements, OHS, environment, biodiversity and continual improvement	√		Teleconference, Microsoft Team Meeting, Email
	1030 - 1040	10-minute break	√		
	1040 - 1230	Assessment and documentation review on good agricultural practices, legal requirements, OHS, environment, biodiversity and continual improvement	√		Teleconference, Microsoft Team Meeting, Email



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Date	Time	Subjects	(NHA)	(HNS)	ICT Planned
	1230 - 1330	Lunch & Break	√	√	Teleconference, Microsoft Team Meeting, Email
	1330 - 1450	Assessment and documentation review on social aspects, legal requirements, employees' welfare, and stakeholder management		√	Teleconference, Microsoft Team Meeting, Email
	1450 - 1500	10-minute break		√	
	1500 - 1700	Assessment and documentation review on social aspects, legal requirements, employees' welfare, and stakeholder management		√	Teleconference, Microsoft Team Meeting, Email
	1700 - 1730	Assessment team discussion and preparation of closing meeting and Closing Meeting	√	√	Teleconference, Microsoft Team Meeting, Email

### Section 3: Assessment Findings

#### 3.1 Details of audit results

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

- MSPO MS 2530-2:2013 – General Principles for Independent Smallholders
- MSPO MS 2530-3:2013 – General Principles for Oil Palm Plantations and Organized Smallholders
- MSPO MS 2530-4:2013 – General Principles for Palm Oil Mills

#### 3.2 Details of Nonconformities and Opportunity for improvement

The nonconformity is listed below.

During the Certification Assessment there were 1 Major, 0 Minor nonconformities and 2 OFI’s raised. The SOU 9 West POM and Estate 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 action plans to address the minor nonconformity will be followed up during the next surveillance assessment. The implementation of the Corrective Actions for the Major Non-conformity(ies) has been verified for its effectiveness and closed accordingly.

Major Nonconformities:		
<b>Ref:</b> <b>2027707-202103-M1</b>	<b>Area/Process: West Estate</b>	<b>Clause: 4.4.5.4 – Part 3</b>
	<b>Issue Date: 04/03/2021</b>	<b>Date of closure: 18/05/2021</b>
Requirements:	Management should ensure employees of contractors are paid based on legal or industry minimum standards according to the employment contract agreed between the contractor and his employee.	
Statement of Nonconformity:	The management did not ensure employees of contractors are paid based on Employment Act 1955 and the employment contract was incomplete.	
Objective Evidence:	1. Reviewed the 5 employment contracts for the contractor’s workers from Bumi Sejahtera (M) Sdn Bhd found that the salary/ wages entitlement was not stated in the contract. The sampled workers as below: <ul style="list-style-type: none"> <li>i. I/C No.: 050925-10-62XX</li> <li>ii. Passport No.: C5025716</li> <li>iii. Passport No.: C5026947</li> <li>iv. Passport No.: C5025375</li> <li>v. Passport No.: EE0296947</li> </ul> 2. Reviewed the payslips for June 2020, September 2020 and December 2020 found that the wages for gazetted public holiday as per Employment Act 1955 were not paid to the contractors’ workers in YGNT Enterprise and Bumi Sejahtera (M) Sdn Bhd. The gazette public holidays are the Birthday of Yang di-Pertuan Agong (08/06/2020), the Birthday of the Ruler or the Yang di-Pertua Negeri (11/12/2020) and Malaysia Day (16/09/2020). Sampled workers as below:	

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	<ul style="list-style-type: none"> <li>i. I/C No.: 050925-10-62XX (BS)</li> <li>ii. Passport No.: C5025716 (BS)</li> <li>iii. Passport No.: C5026947 (BS)</li> <li>iv. Passport No.: C5025375 (BS)</li> <li>v. Passport No.: EE0296947 (BS)</li> <li>vi. I/C No.: 640425-10-81XX (YGNT)</li> <li>vii. I/C No.: 821108-10-60XX (YGNT)</li> <li>viii. I/C No.: 791016-10-56XX (YGNT)</li> <li>ix. I/C No.: 890501-10-51XX (YGNT)</li> </ul> <p>This is recurring of major non-conformance of Ref.: 1937437-202002-M1.</p>
Corrections:	<ul style="list-style-type: none"> <li>1. Improve the monitoring system by standardizing the employment contract agreement</li> <li>2. Issue a warning letter to contractor for non-compliance to Employment Act 1955 and request the contractor to pay balance due to their worker and submit the evidence of payment for record</li> </ul>
Root cause analysis:	<ul style="list-style-type: none"> <li>1. Non-standardization of employment contract agreement for contract worker</li> <li>2. Improper training of legal compliance to contractor</li> </ul>
Corrective Actions:	Annual training to contractor on compliance to legal requirement especially on Employment Act 1955 related to Part III and Part XII by SQM
Assessment Conclusion:	<p>CAP has been accepted and evidence of CAP implementation was verified as following:</p> <ul style="list-style-type: none"> <li>1. Payment voucher (Underpaid) YGNT Enterprise for YDPA Birtyday, Malaysia Day, BIRTHDAY of Sultan Selangor for workers IC number dated 25/03/2021: <ul style="list-style-type: none"> <li>- I/C No.: 640425-10-81XX (YGNT)</li> <li>- I/C No.: 821108-10-60XX (YGNT)</li> <li>- I/C No.: 791016-10-56XX (YGNT)</li> <li>- I/C No.: 890501-10-51XX (YGNT)</li> </ul> </li> <li>2. Reviewing of contract agreement (Rate of salary were stated in the agreement) and Payment voucher (Underpaid) Bumi Sejahtera Sdn Bhd for YDPA Birtyday, Malaysia Day, BIRTHDAY of Sultan Selangor for workers IC number dated 30/04/2021: <ul style="list-style-type: none"> <li>- I/C No.: 050925-10-62XX (BS)</li> <li>- Passport No.: C5025716 (BS)</li> <li>- Passport No.: C5026947 (BS)</li> <li>- Passport No.: C5025375 (BS)</li> <li>- Passport No.: EE0296947 (BS)</li> </ul> </li> </ul> <p>It was confirmed that the CAP has been effective and no recurrence of issue. Hence, Major NC has been closed on 18/05/2021.</p>

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Opportunity For Improvement		
<b>Ref:</b> 2027707-202103-I1	<b>Area/Process: West POM</b>	<b>Clause: 4.2.3.3 Part 4</b>
Objective Evidence:	Related to appointed person in charge on traceability, management could improve on the awareness of the appointed employees to implement and maintain the traceability system.	

Opportunity For Improvement		
<b>Ref:</b> 2027707-202103-I2	<b>Area/Process: West Estate</b>	<b>Clause: 4.4.4.2 (g) Part 3</b>
Objective Evidence:	Related to frequency of Osh Meeting refer Part IV Section 21 OSHA Regulation 1996, management should consider other method or platform to conduct OSH committee meeting during new norm of COVID-19.	

Noteworthy Positive Comments	
1	Good cooperation from the management team in facilitation the assessment.
2	Good relationship being maintained with surrounding communities.

**3.3 Status of Nonconformities Previously Identified and OFI**

Major Nonconformities:																									
<b>Ref:</b> 1937437-202002- M1	<b>Area/Process: West Estate</b>			<b>Clause: 4.4.5.4 Part 3</b>																					
	<b>Issue Date: 28/07/2020</b>			<b>Due Date: Next Surveillance Audit</b>																					
Requirements:	Management should ensure employees of contractors are paid based on legal or industry minimum standards according to the employment contract agreed between the contractor and his employee.																								
Statement of Nonconformity:	The employees of contractors are not paid based on its employment contract and Employment Act 1955.																								
Objective Evidence:	1. In West Estate, it was found that the contractor's workers for YGNT Enterprise as below has the incorrect of SOCSO & EIS contribution from employee as per pay slip for March, April and May 2020: <table border="1" data-bbox="477 1561 1457 1854"> <thead> <tr> <th>Worker's Name</th> <th>SOCSSO deduction at pay slip</th> <th>SOCSSO rate deduction as per Pekeliling</th> <th>EIS deduction at pay slip</th> <th>EIS deduction as per Pekeliling</th> </tr> </thead> <tbody> <tr> <td>Shahruddy</td> <td>May: 11.20</td> <td>May: 11.25</td> <td>May: 4.48</td> <td>May: 4.59</td> </tr> <tr> <td>Samsul bin Tukiman</td> <td>Apr: 11.20 Mar: 11.20</td> <td>Apr: 11.25 Mar: 11.25</td> <td>Mar: 4.48</td> <td>Mar: 4.59</td> </tr> <tr> <td>Radha Krishnan A/L Paneerselvam</td> <td>Mar: 11.20</td> <td>Mar: 11.25</td> <td>-</td> <td>-</td> </tr> </tbody> </table>					Worker's Name	SOCSSO deduction at pay slip	SOCSSO rate deduction as per Pekeliling	EIS deduction at pay slip	EIS deduction as per Pekeliling	Shahruddy	May: 11.20	May: 11.25	May: 4.48	May: 4.59	Samsul bin Tukiman	Apr: 11.20 Mar: 11.20	Apr: 11.25 Mar: 11.25	Mar: 4.48	Mar: 4.59	Radha Krishnan A/L Paneerselvam	Mar: 11.20	Mar: 11.25	-	-
Worker's Name	SOCSSO deduction at pay slip	SOCSSO rate deduction as per Pekeliling	EIS deduction at pay slip	EIS deduction as per Pekeliling																					
Shahruddy	May: 11.20	May: 11.25	May: 4.48	May: 4.59																					
Samsul bin Tukiman	Apr: 11.20 Mar: 11.20	Apr: 11.25 Mar: 11.25	Mar: 4.48	Mar: 4.59																					
Radha Krishnan A/L Paneerselvam	Mar: 11.20	Mar: 11.25	-	-																					
	2. The sampled workers also have unpaid public holiday and being paid normal rate for work on rest day as below: <table border="1" data-bbox="477 1951 1457 2016"> <thead> <tr> <th>Worker's Name</th> <th>Unpaid Public Holiday</th> <th>Normal rate for work on Rest Day</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>					Worker's Name	Unpaid Public Holiday	Normal rate for work on Rest Day																	
Worker's Name	Unpaid Public Holiday	Normal rate for work on Rest Day																							

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	<table border="1"> <tr> <td>Magesan A/L Thangaraju</td> <td>May: 3 days</td> <td>May: 1 day March: 1 day</td> </tr> <tr> <td>Shahruddy Samsul bin Tukiman</td> <td>May: 3 days</td> <td>May: 1 day March: 1 day</td> </tr> <tr> <td>Radha Krishnan A/L Paneerselvam</td> <td>May: 3 days</td> <td>April: 1 day March: 1 day</td> </tr> </table> <p>3. There is no evidence that YGNT has made the employer’s contribution on SOCSO &amp; EPF too.  4. The employment contract doesn’t have the termination/resignation clause.</p> <p>Since this is a reoccurrence issue, minor NC has been escalated to Major NC.</p>	Magesan A/L Thangaraju	May: 3 days	May: 1 day March: 1 day	Shahruddy Samsul bin Tukiman	May: 3 days	May: 1 day March: 1 day	Radha Krishnan A/L Paneerselvam	May: 3 days	April: 1 day March: 1 day
Magesan A/L Thangaraju	May: 3 days	May: 1 day March: 1 day								
Shahruddy Samsul bin Tukiman	May: 3 days	May: 1 day March: 1 day								
Radha Krishnan A/L Paneerselvam	May: 3 days	April: 1 day March: 1 day								
Corrections:	To advise the contractor as follows: - i. To reimburse their worker for the underpaid wages ii. To revise their employment contract. iii. To ensure statutory contribution i.e. SOSCO and EPF are in order									
Root cause analysis:	Inadequate monitoring/enforcement on contractor’s compliance to legal labour requirement and employment act 1955									
Corrective Actions:	Briefing session with contractors on compliance to legal labour requirement is schedule on 17th August 2020. Monitoring of contractor’s documentation on legal requirement on quarterly basis and warning letter will be issued should the contractor fail to comply to the legal requirement and breach the contract.									
Assessment Conclusion:	Audit team have reviewed the evidence submitted and the major NC is satisfactorily closed. Continuous implementation of corrective action taken will be further verified in the next assessment visit. The major NC was closed out on 13/10/2020. Evidence reviewed: 1. Reimbursement of salary for YGNT workers in Aug 2020 pay slip. 2. Amended employment contract. 3. SOCSO & EPF contribution. 4. Records of briefing session with contractor on 04/08/2020.									
Verification Statement	The major non-conformance did not close effectively. Details refer to Indicator 4.4.5.4 Part 3.									

Minor Nonconformities:			
<b>Ref:</b> <b>1937437-202002-N1</b>	<b>Area/Process: West POM</b>		<b>Clause: 4.4.5.4 Part 4</b>
	<b>Issue Date: 28/07/2020</b>		<b>Date of closure: 04/03/2021</b>
Requirements:	Management should ensure employees of contractors are paid based on legal or industry minimum standards according to the employment contract agreed between the contractor and his employee.		
Statement of Nonconformity:	The employees of contractors are not paid based on its employment contract and Employment Act 1955.		
Objective Evidence:	1. Sighted the contractor workers (Lotus Two Enterprise) employees’ contract and pay slips for March, April and May 2020. The sampled workers have unpaid public holiday and being paid normal rate for work on rest day as below:		
	Worker’s Name	Unpaid Public Holiday	Wrong work on overtime Rest day rate
			Wrong work on rest day rate

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	<table border="1"> <tr> <td>Adil Hossain (Passport no: BL0296313)</td> <td>May: 3 days</td> <td>Mar 2020: RM 14.37 (Rate of OT in Rest Day is RM 14.50)</td> <td>April: RM 115 March: RM 115 (RM 116 as per employment contract)</td> </tr> <tr> <td>Najrul Islam (Passport No: BW0998968)</td> <td>May: 3 days</td> <td style="text-align: center;">-</td> <td style="text-align: center;">-</td> </tr> <tr> <td>Najrul Islam (Passport No: BW0998968)</td> <td>May: 3 days</td> <td>Apr &amp; Mar 2020: RM14.37 (Rate of OT in Rest day is RM 15)</td> <td>April: RM 115 (Rate of RM120 for rest day)</td> </tr> </table> <p>2. The employment contract has wrongly mentioned the rate of overtime on Public Holiday rate which supposed to be Rest day rate.</p> <p>3. The employment contract doesn't have the resignation term and condition.</p> <p>4. Md Faruk Hossain (Passport no: EB0010051) has the work permit under (SS Taz (M) Sdn Bd).</p> <p>5. The contractor's workers for Lotus Two Enterprise as below has the incorrect of SOCSO contribution from employee for March, April and May 2020:</p> <table border="1" style="margin-left: 40px;"> <thead> <tr> <th>Worker's Name</th> <th>SOCSCO contribution by employer</th> <th>SOCSCO contribution rate as per Pekeliling</th> </tr> </thead> <tbody> <tr> <td>Adil Hossain (Passport no: BL0296313)</td> <td>May: 19.40 Apr: 19.40 Mar: 19.40</td> <td>May: 21.90 Apr: 25.60 Mar: 34.40</td> </tr> <tr> <td>Najrul Islam (Passport No: BW0998968)</td> <td>May: 16.40 Apr: 19.40 Mar: 16.90</td> <td>Mar: 18.10 Apr: 24.40 Mar: 31.90</td> </tr> <tr> <td>Md Faruk Hossain (Passport no: EB0010051)</td> <td>May: 19.40 Apr: 16.90 Mar: 19.40</td> <td>Mar: 20.60 Apr: 26.90 Mar: 33.10</td> </tr> </tbody> </table>	Adil Hossain (Passport no: BL0296313)	May: 3 days	Mar 2020: RM 14.37 (Rate of OT in Rest Day is RM 14.50)	April: RM 115 March: RM 115 (RM 116 as per employment contract)	Najrul Islam (Passport No: BW0998968)	May: 3 days	-	-	Najrul Islam (Passport No: BW0998968)	May: 3 days	Apr & Mar 2020: RM14.37 (Rate of OT in Rest day is RM 15)	April: RM 115 (Rate of RM120 for rest day)	Worker's Name	SOCSCO contribution by employer	SOCSCO contribution rate as per Pekeliling	Adil Hossain (Passport no: BL0296313)	May: 19.40 Apr: 19.40 Mar: 19.40	May: 21.90 Apr: 25.60 Mar: 34.40	Najrul Islam (Passport No: BW0998968)	May: 16.40 Apr: 19.40 Mar: 16.90	Mar: 18.10 Apr: 24.40 Mar: 31.90	Md Faruk Hossain (Passport no: EB0010051)	May: 19.40 Apr: 16.90 Mar: 19.40	Mar: 20.60 Apr: 26.90 Mar: 33.10
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Corrections:	To advice the contractor as follows:- <ul style="list-style-type: none"> <li>i. to reimburse the underpaid wages in the next salary calculation</li> <li>ii. to revise employment contract with the inclusion of termination and resignation clause.</li> <li>iii. To ensure statutory contribution i.e. SOSOCO and EPF are in order</li> <li>iv. To request temporary work permission letter from SS Taz (M) Sdn Bhd to Lotus Two</li> </ul>																								
Root cause analysis:	Inadequate monitoring/enforcement on contractor's compliance to legal labour requirement and employment act 1955																								
Corrective Actions:	Briefing session with contractors on compliance to legal labour requirement is schedule on 19th August 2020. Monitoring of contractor's documentation on legal requirement on quarterly basis and warning letter will be issued should the contractor fail to comply to the legal requirement and breach the contract.																								
Assessment Conclusion:	Audit team have reviewed and accept the Corrective Action Plan (CAP) submitted and the minor NC CAP implementation will be further verified in the next assessment visit.																								

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Verification Statement	<p>Seen the employment contract of the workers found the clauses of termination of service were included under Clause 12 of the employment contract signed by the contractor's workers. The sampled of employment contract as below:</p> <ul style="list-style-type: none"> <li>i. Passport No.: BF0755756</li> <li>ii. Passport No.: BL0296313</li> <li>iii. Passport No.: BW0998968</li> </ul> <p>Besides, letter of approval from the J&amp;A Global Resources to Lotus Two Enterprise dated 07/10/2019 was sighted for the transfer of worker to work with Lotus Two Enterprise.</p> <p>The sampled workers have been paid back the underpaid wages on June 2020's salary and seen the summary of payment made. Besides, seen the SOCSO contribution for the foreign workers according to the regulation. Briefing for the contractors on compliance to legal requirements was conducted on 24/09/2020 and seen the attendance list of the briefing. The management monitor the compliance of contractors by requesting the contractors to submit the documents on monthly basis and the reminder email was sent on 20/07/2020 to the contractor.</p> <p>No recurrence of issue observed thus the minor NC was closed effectively on 04/03/2021. Continuous implementation will be further verified in the next audit.</p>
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<b>Minor Nonconformities:</b>											
<b>Ref:</b> 1937437-202002-N2	<b>Area/Process: West POM</b>	<b>Clause: 4.3.1.4 Part 4</b>									
	<b>Issue Date: 28/07/2020</b>	<b>Date of closure: 04/03/2021</b>									
Requirements:	The management should assign a person responsible to monitor compliance and to track update the changes in regulatory requirements.										
Statement of Nonconformity:	The changes in regulatory requirements was not effectively track and update										
Objective Evidence:	The mill acquired compliance schedule for DOE License no. 003180. Furthermore, the mill has also acquired compliance schedule for DOE Contradiction License no. 003765. In the compliance schedule for DOE Contradiction License no. 003765 under section no. 5 stated as follows: "Laporan pemantauan berterusan daripada cerobong perlu dikemukakan kepada JAS satu (1) kali setiap tiga (3) Bulan". Noted during document review, the mill only conducted Isokinetic Stack and Air Emission Monitoring Report ion 15/2/2019 as per report no. ALM/WESTOIL/0219/4605. The changes for compliance schedule for DOE License no. 003180 and compliance schedule for DOE Contradiction License no. 003765 was not effectively track and updated.										
Corrections:	DOE Selangor has clarified in an e-mail dated 6th August 2020 that WSM needs to submit the smoke density monitoring report on quarterly basis as per DOE Contradiction License no. 003765 under section no. 5. The first submission will be in September 2020. Isokinetic Stack and Air Emission Monitoring had been conducted biannually and the reports are available at site for reference.										
	<table border="1" style="width: 100%;"> <thead> <tr> <th>No</th> <th>Date of Test</th> <th>Report No.</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>15th February 2019</td> <td>ALM/WESTOIL/0219/4605</td> </tr> <tr> <td>2</td> <td>20th August 2019</td> <td>ALM/KKSWEWEST/0819/5328</td> </tr> </tbody> </table>		No	Date of Test	Report No.	1	15th February 2019	ALM/WESTOIL/0219/4605	2	20th August 2019	ALM/KKSWEWEST/0819/5328
No	Date of Test	Report No.									
1	15th February 2019	ALM/WESTOIL/0219/4605									
2	20th August 2019	ALM/KKSWEWEST/0819/5328									

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	3	9 th June 2020	ALM/KKSWEST/0620/5898
Root cause analysis:	Wrong interpretation of the requirement as the same report can be assessed online.		
Corrective Actions:	Mill has assigned new QA to monitor compliance and to track and update the changes in regulatory requirements.		
Assessment Conclusion:	Audit team have reviewed and accept the Corrective Action Plan (CAP) submitted and the minor NC CAP implementation will be further verified in the next assessment visit.		
Verification Statement	<p>Management has assigned person in charge on monitoring law and regulation as per appointment letter for Mr Md Kamal Arshad (Sr Asst. Manager) dated 01/01/2021.</p> <p>Isokinetic Stack and Air Emission Monitoring for 2021 had been conducted biannually and the reports are available at site for reference.</p> <p>No recurrence of issue observed thus the minor NC was closed effectively on 04/03/2021. Continuous implementation will be further verified in the next audit.</p>		

**3.4 Summary of the Nonconformities and Status**

CAR Ref.	CLASS	ISSUED	STATUS
1568497-201712-M	Major	06/12/2017	Closed
1737402-201901-M1	Major	01/02/2019	Closed
1737402-201901-N1	Minor	01/02/2019	Closed
1737402-201901-N2	Minor	01/02/2019	Closed
1737402-201901-N3	Minor	01/02/2019	Closed
1937437-202002-M1	Major	28/07/2020	Reoccurring Major NC
1937437-202002-N1	Minor	28/07/2020	Closed on 04/03/2021
1937437-202002-N2	Minor	28/07/2020	Closed on 04/03/2021
2027707-202103-M1	Major	04/03/2021	Closed on 18/05/2021

**3.5 Issues Raised by Stakeholders**

IS #	Description
1	<p><b>Issues:</b></p> <p>Contractors – They have signed agreement with the management prior to work and have understood all the terms and conditions stated in the agreement. The payment was made promptly. They also understand the MSPO requirements and aware of the complaint procedures.</p>
	<p><b>Management Responses:</b></p> <p>The management will ensure good relationship with the contractors.</p>
	<p><b>Audit Team Findings:</b></p> <p>No further issue.</p>



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<p><b>2</b></p>	<p><b>Issues:</b></p> <p>Workers – They have signed on contract agreement prior to work and briefed on the terms and benefits. They were paid according to Minimum Wage Order 2020 and overtime is on voluntarily basis. They management treats them equally without any discrimination of genders and nationalities. They aware of the complaint procedures. They informed that management took prompt action to rectify their complaints.</p> <p><b>Management Responses:</b></p> <p>The management will ensure the compliance of regulations and respect the rights of workers.</p> <p><b>Audit Team Findings:</b></p> <p>No other issue.</p>
<p><b>3</b></p>	<p><b>Issues:</b></p> <p>Local communities (Kg. Kepau Laut and Kg. Sg. Bumbun) – They informed that no land encroachment by the company at this moment. They have good relationship with the management, and they are aware of the complaint procedure of the company. They informed that local communities in the villages are given job opportunities to work in the mill and estate.</p> <p><b>Management Responses:</b></p> <p>The management will continue to maintain good relationship with the stakeholders.</p> <p><b>Audit Team Findings:</b></p> <p>No other issue.</p>

**Section 4: Assessment Conclusion and Recommendation**

<b>Acknowledgement of Internal Responsibility and Formal Sign-off of Assessment Findings</b>	
Based on the findings during the assessment <i>Sime Darby SOU 9 West POM and Estate</i> Certification Unit complies with the <i>MS 2530-3:2013</i> and <i>MS 2530-4:2013</i> . It is recommended that the certification of <i>Sime Darby SOU 9 West POM and Estate</i> Certification Unit is approved and continued.	
<b>Acknowledgement of Assessment Findings</b>	<b>Report Prepared by</b>
<b>Name:</b> Syed Musharef Azhar bin Syed Mohamad	<b>Name:</b> Nor Halis Bin Abu Zar
<b>Company name:</b> Sime Darby Plantation :	<b>Company name:</b> BSI Service Malaysia
<b>Title:</b> sou chairman. (sou 9 west pom)	<b>Title:</b> Client Manager
<b>Signature:</b> 	<b>Signature:</b> 
<b>Date:</b> 18/05/2021	<b>Date:</b> 18/05/2021

**Appendix A: Summary of the findings by Principles and Criteria**

**A) MS 2530-3:2013 Malaysian Sustainable Palm Oil (MSPO) Part 3: General Principles for Oil Palm Plantations and Organized Smallholders**

Criterion / Indicator		Assessment Findings	Compliance
<b>4.1 Principle 1: Management commitment &amp; responsibility</b>			
<b>Criterion 4.1.1 – Malaysian Sustainable Palm Oil (MSPO) Policy</b>			
<b>4.1.1.1</b>	A policy for the implementation of MSPO shall be established. <b>- Major compliance -</b>	Sime Darby Plantation Berhad has issued an inter-office mail (Ref. No.: SQM.RSPO.1811/22.11) dated 23/11/2018 regarding the statement on commitment towards MSPO implementation by Head, Global Sustainability Operations, Mr. Tang Men Kon. Sime Darby Plantation Berhad is committed to comply and implement the MSPO certification to demonstrate our commitment towards the production of certified sustainable palm oil products.	Complied
<b>4.1.1.2</b>	The policy shall also emphasize commitment to continual improvement. <b>- Major compliance -</b>	Sime Darby Plantation Berhad has clearly emphasized to achieve commitment towards a systematic approach in ensuring continuous improvement in the operation, compliance to statutory, legal and other regulatory requirements and establishment of traceability within the supply chain in the above-mentioned memorandum.	Complied
<b>Criterion 4.1.2 – Internal Audit</b>			
<b>4.1.2.1</b>	Internal audit shall be planned and conducted regularly to determine the strong and weak points and potential area for further improvement. <b>- Major compliance -</b>	Seen the notification of internal audit SOU 8 & 9 sent out by the Sustainability Compliance Unit on 18/01/2021. The last MSPO, RSPO & SCCS Internal Audit was conducted on 22/01/2021 in West Estate by GSD Malaysia & Central East RSQM. The audit was carried out based on the reference of MS 2530-4:2013. Total 2 major, 1 minor non-conformity and 3 Opportunity for Improvement raised.	Complied

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Criterion / Indicator		Assessment Findings	Compliance
		Seen the Internal Audit Report with root cause identified for the non-conformities and OFIs raised. All the non-conformities and OFIs were closed accordingly on 06/02/2021.	
<b>4.1.2.2</b>	The internal audit procedures and audit results shall be documented and evaluated, followed by the identification of strengths and root causes of nonconformities, in order to implement the necessary corrective action.  - <b>Major compliance</b> -	Sime Darby Plantation Berhad has developed Internal Audit Procedure, Doc. No.: SD/SDP/PSQM/IAP, Rev. 2 dated 01/11/2017. The frequency of the internal audit shall be carried out at least once a year and when is required.  Total 2 major, 1 minor non-conformities and 3 Opportunity for Improvement raised. Seen the Internal Audit Report with root cause identified for the non-conformities and OFIs raised. All the non-conformities and OFIs were closed accordingly on 06/02/2021.	Complied
<b>4.1.2.3</b>	Report shall be made available to the management for their review. - <b>Major compliance</b> -	The internal audit report has distributed to the estate's management. The Management Representative has acknowledged on the acceptance of the Internal Audit Report on 22/01/2021. Management review meeting was conducted to review the findings of the internal audit.	Complied
<b>Criterion 4.1.3 – Management Review</b>			
<b>4.1.3.1</b>	The management shall periodically review the continuous suitability, adequacy and effectiveness of the requirements for effective implementation of MSPO and decide on any changes, improvement and modification.  - <b>Major compliance</b> -	The latest management review meeting was carried out on 06/02/2021 in West Estate which chaired by Senior Manager of the estate where the agenda that discussed as below:  1. Results of internal audits covering RSPO & MSPO 2. Customer Feedback 3. Status of preventive and corrective actions 4. Follow-up actions from management reviews	Complied

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Criterion / Indicator		Assessment Findings	Compliance
		<ul style="list-style-type: none"> <li>- To follow-up with RSQM on training/ coaching session for HIRARC</li> <li>- To issue a new format of employment contract and brief the worker accordingly.</li> </ul> 5. Changes that could affect the management system 6. Recommendations for improvement 7. Improvement of the effectiveness of the management system and processes 8. Resources needs	
<b>Criterion 4.1.4 – Continual Improvement</b>			
<b>4.1.4.1</b>	<p>The action plan for continual improvement shall be based on consideration of the main social and environmental impact and opportunities of the company.</p> <p><b>- Major compliance -</b></p>	<p>Estate has developed Kaizen project Charter to initiate project for continual improvement. The projects for Y2020 are as below:</p> <ol style="list-style-type: none"> <li>1. Field above 30 tonnes – good agriculture practices in place i.e. canopy management, timely fertilizer application and good crop recovery, Key improvement: Actual YPH – 36.04 tonnes.</li> <li>2. Installation new piping systems to workers quarters – to eliminate distribution clean water using water tank and to ensure every housing get water from main pipe. Key improvement: direct clean water was distributed to every housing and no more water tanker be used for water distribution. Keep worker quarters clean and tidy and provide safety living condition.</li> </ol> <p>The CIP for Y2021 was to install water reticulation pipework.</p>	Complied
<b>4.1.4.2</b>	<p>The company shall establish a system to improve practices in line with new information and techniques or new industry</p>	<p>The estate is under collaboration with R&amp;D Mechanization Department in the trial process to use Tanaloxx GPS device for harvesters. The</p>	Complied

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Criterion / Indicator		Assessment Findings	Compliance
	standards and technology (where applicable) that are available and feasible for adoption. <b>- Major compliance -</b>	purpose of the usage of GPS device in harvesters is to monitor the traceability of number of bunches harvested and the area harvested by the harvesters. Seen the Worker Detailed Report dated 25/02/2021 for the monitoring of usage of GPS device by the harvester.	
<b>4.1.4.3</b>	An action plan to provide the necessary resources including training, to implement the new techniques or new industry standard or technology (where applicable) shall be established. <b>- Major compliance -</b>	The estate has arranged briefing on the usage of Tanaloxx GPS device to all the harvesters on 07/12/2020 by the supplier, Tanalink. Seen the attendance list and photo evident of the training conducted. The R&D is in the midst of collecting data of the usage of the device.	Complied
<b>4.2 Principle 2: Transparency</b>			
Criterion 4.2.1 – Transparency of information and documents relevant to MSPO requirements			
<b>4.2.1.1</b>	The management shall communicate the information requested by the relevant stakeholders in the appropriate languages and forms, except those limited by commercial confidentiality or disclosure that could result in negative environmental or social outcomes. <b>- Major compliance -</b>	Sime Darby Plantation has developed Estate Quality Management System – Standard Operation Manual, Sub-section 5.5, Appendix 5.5.3.2, version 1, issue date 1/4/2008). The procedure has detailing the process of handling complaints from stakeholders and the time frame for external communication to be dealt with. The time frame to provide feedback is within two weeks of the date of receipt for communication and within one week of the completion of the investigation. The management has briefed the stakeholders during the stakeholder meeting last conducted on 05/02/2020 regarding on the communication and complaint procedures.	Complied
<b>4.2.1.2</b>	Management documents shall be publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.	Publicly available management documents such as land titles, OHS plans, EIA and SIA reports, HCV documentation, pollution prevention and reduction plans, records of complaints and grievances, negotiation procedures, RSPO Public Summary Report, company policies and	Complied

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Criterion / Indicator		Assessment Findings	Compliance
	- <b>Major compliance</b> -	continual improvement plans are available. All operating units have individual documents and records to demonstrate compliance to this indicator. Sustainability Reports, policies and procedures are also accessible through the company's website: <a href="http://www.simedarbyplantation.com/">http://www.simedarbyplantation.com/</a> .	
<b>Criterion 4.2.2 – Transparent method of communication and consultation</b>			
<b>4.2.2.1</b>	Procedures shall be established for consultation and communication with the relevant stakeholders.  - <b>Major compliance</b> -	<p>Sime Darby Plantation has developed Estate Quality Management System – Standard Operation Manual, Sub-section 5.5, Appendix 5.5.3.2, version 1, issue date 1/4/2008) to put in place a system to effectively communicate with external interested parties on matters pertaining to performance. Timeframe for external communication to provide feedback within two weeks of the date of receipt for communication requiring direct feedback and within one week of the completion of the investigation for communication requiring investigation.</p> <p>Besides, the company has developed a documented procedure in Sustainable Plantation Management System on handling social issues, Appendix 5, Version 1, and Issue No.1, dated 01/04/2008. The procedure has detailing the process of handling social issues raised by the stakeholders and resolve in an effective, timely and appropriate manner.</p>	Complied
<b>4.2.2.2</b>	A management official should be nominated to be responsible for issues related to Indicator 1 at each operating unit.  - <b>Minor compliance</b> -	Senior Assistant Manager of the West Estate has been appointed as Social Officer to handle any issue related to social in the mill. Seen the appointment letter dated 01/01/2020 issued by the Senior Manager. Role and responsibilities were clearly stated in the appointment letter.	Complied
<b>4.2.2.3</b>	List of stakeholders, records of all consultation and communication and records of action taken in response to input	A combine stakeholder meeting for West POM and West Estate was conducted on 05/02/2020. Stakeholders such as contractors, school's	Complied

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Criterion / Indicator		Assessment Findings	Compliance
	<p>from stakeholders should be properly maintained.</p> <p><b>- Major compliance -</b></p>	<p>representatives, local communities and government authorities were attended the meeting. Issues raised by stakeholders were recorded in the minutes and responded by the management accordingly. However, the stakeholder meeting which was scheduled for Year 2021 was postponed due to Movement Control Order by the government. Seen the letter of notification dated 29/01/2021 issued to the stakeholders.</p> <p>Stakeholder list was developed with relevant stakeholders such as local communities, government authorities, NGOs, contractors and suppliers were included in the list.</p>	
<b>Criterion 4.2.3 – Traceability</b>			
<b>4.2.3.1</b>	<p>The management shall establish, implement and maintain a standard operating procedure to comply with the requirements for traceability of the relevant product(s).</p> <p><b>- Major compliance -</b></p>	<p>The Sustainable Plantation Management System Appendix 15 dated March 2016 documented the procedure for traceability. The procedure requires validation of certificate of supplying estate. The current traceability system is Sime Weigh System</p>	Complied
<b>4.2.3.2</b>	<p>The management shall conduct regular inspections on compliance with the established traceability system.</p> <p><b>- Major compliance -</b></p>	<p>The Sustainable Plantation Management System, Appendix 15, SOP for Sustainable Supply Chain and Traceability Version 2, 2018, issue no 5 dated April 2019 documented the procedure for traceability. Procedure has combined all related sustainability standard requirements of RSPO/ISCC/MSPO.</p>	Complied
<b>4.2.3.3</b>	<p>The management should identify and assign suitable employees to implement and maintain the traceability system.</p> <p><b>- Minor compliance -</b></p>	<p>Sighted the Letter of Appointment Letter for Traceability. Refer Appointment letter as Person In Charge for Environmental/Quality Management System dated 06/01/2020</p>	Complied
<b>4.2.3.4</b>	<p>Records of sales, delivery or transportation of FFB shall be</p>	<p>Records of FFB sales &amp; delivery including FFB Weighbridge Tickets together with FFB Delivery Note (DO Chit) and Daily Record (Daily FFB</p>	Complied



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Criterion / Indicator		Assessment Findings	Compliance
	<p>maintained.</p> <p><b>- Major compliance -</b></p>	<p>Despatch Summary Log Book) were maintained based on Standard Operating Procedure; Effective date: 2/5/2012; Chapter 7: Sales of Produce Ex-Estate/Mill Procedures; Section 7.1 FFB Sales and Despatches &amp; Chapter 13: Retention of Documents which specified a minimum retention period of 7 years prior of disposal. Sighted samples record available as following:</p> <p>Date: 09/03/2020            Do No: 174938            Lorry Number: AAM3300W11            Weight: 4.72 MT</p> <p>Date: 10/03/2020            Do No: 175778            Lorry Number: NAJ3589W17            Weight: 8.05 MT</p>	
<b>4.3 Principle 3: Compliance to legal requirements</b>			
<b>Criterion 4.3.1 – Regulatory requirements</b>			
<b>4.3.1.1</b>	<p>All operations are in compliance with the applicable local, state, national and ratified international laws and regulations.</p> <p><b>- Major compliance -</b></p>	<p>SOU 9 had continued to comply with the legal requirements. Compliance to each applicable law and regulation is monitored by the operating units and SQM sustainability team. SOU 9 had obtained and renewed license and permits as required by the law.</p> <p>1. MPOB License 522968002000 valid until 31/08/2021</p>	Complied

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Criterion / Indicator		Assessment Findings	Compliance
		<p>2. Permit Barang Kawalan Berjadual B002821 – In Progress of renewable, refer Pemakluman Penghantaran Permohonan Lesen BLESS BL22021010348.</p> <p>3. VMO License from JKKP valid until 13/11/2021</p> <p>4. Air Compressor License valid until 01/01/2021</p> <p>5. Pressure Vessel License valid until 01/01/2021</p> <p>Air Compressor and Pressure Vessel renewable has been requested as per evidence to JKKP.</p> <p>West Estate has obtained the approval from <i>Jabatan Tenaga Kerja Semenanjung Malaysia</i> and <i>Jabatan Tenaga Kerja Selangor</i> for the following:</p> <p>1. Ref. No.: JTKS(E)6/115 Jld VII – 22(4) dated 15/05/2014 for deduction of wages for <i>Koperasi Serbaguna Kebangsaan Berhad</i>, school bus fare and Great Eastern Insurance (M) Berhad.</p> <p>2. Ref. No.: BHG.PU/9/129 JLD 33(53) dated 06/07/2017 for electricity bill.</p>	
<b>4.3.1.2</b>	<p>The management shall list all laws applicable to their operations in a legal requirements register.</p> <p><b>- Major compliance -</b></p>	<p>LORR was established to cover all legal acts, regulations and other requirement related to West Estate. Management has listed applicable laws and regulations. The sample of Act and Legal:</p> <p>1. Akta Kawalan Penyakit Berjangkit 1998 (Amendment 2020)</p> <p>2. Minimum Wages Order (Amendment 2020)</p> <p>3. Workers Minimum Standard of Housing and Amenities (Amendment Act 2019)</p>	Complied

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<b>4.3.1.3</b>	<p>The legal requirements register shall be updated as and when there are any new amendments or any new regulations coming into force.</p> <p><b>- Major compliance -</b></p>	<p>A mechanism to ensure compliance to legal and other requirement has been documented in EQMS &amp; MQMS (Estate &amp; Mill Quality Management System) under Standard Operation Manual distributed to all operating units under SOU 9. 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. Tracking system available to identify changes in the relevant regulations through head office, website information and the information are communicated from the Group Head Office. On the site verification, interviews with office personnel and records indicate that the system is appropriate to the operations. Tracking system on any changes in the law been well implemented. E.g. regular notification by Head Office and regular updates from the DOE/DOSH websites as well as from MAPA circulars</p>	Complied
<b>4.3.1.4</b>	<p>The management should assign a person responsible to monitor compliance and to track and update the changes in regulatory requirements.</p> <p><b>- Minor compliance -</b></p>	<p>Tracking system available to identify changes in the relevant regulations through head office, website information and the information are communicated from the Group Head Office. On the site verification, interviews with office personnel and records indicate that the system is appropriate to the operations. Tracking system on any changes in the law been well implemented. E.g. regular notification by Head Office and regular updates from the DOE/DOSH websites as well as from MAPA circulars. Refer Appointment letter as Person In Charge for Environmental/Quality Management System dated 06/01/2020.</p>	Complied
<b>Criterion 4.3.2 – Lands use rights</b>			

Criterion / Indicator		Assessment Findings	Compliance
4.3.2.1	The management shall ensure that their oil palm cultivation activities do not diminish the land use rights of other users. <b>- Major compliance -</b>	The management do not diminish the land use rights of other users as the lands are belonging to Sime Darby Plantation Berhad as verified through the land title. Besides, phone interviewed with the local communities confirmed that no encroachment of land and land dispute reported.	Complied
4.3.2.2	The management shall provide documents showing legal ownership or lease, history of land tenure and the actual use of the land. <b>- Major compliance -</b>	There are total 21 land titles in West Estate and the estate able to show legal ownership on the use of land. Sampled the land title as below:  1. Land title No.: 334108; Lot No.: 958; 5,305.791935 hectares 2. Land title No.: 46219; Lot No.: 2601; 2,028.2812 hectares 3. Land title No.: 46220; Lot No.: 2602; 2,651.9008 hectares  The owner of the lands is belonging to Sime Darby Plantations Berhad.	Complied
4.3.2.3	Legal perimeter boundary markers should be clearly demarcated and visibly maintained on the ground where practicable. <b>- Major compliance -</b>	The legal boundary for estate visited was clearly demarcated by constructing security trenches along the boundary and it was visibly maintained. The legal boundary was clearly demarcated with signboard and security trenches as sighted at P09G adjacent to smallholder's estate and Kg. Sg. Judah.	Complied
4.3.2.4	Where there are, or have been, disputes, documented proof of legal acquisition of land title and fair compensation that have been or are being made to previous owners and occupants; shall be made available and that these should have been accepted with free prior informed consent (FPIC). <b>- Minor compliance -</b>	There is no land dispute in the West Estate at the time of audit. The land belongs to Sime Darby Plantation Berhad and land ownership documents verified. Phone interviewed with the local communities confirmed that no encroachment of land and land dispute reported.	Complied
<b>Criterion 4.3.3 – Customary rights</b>			

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4.3.3.1	Where lands are encumbered by customary rights, the company shall demonstrate that these rights are understood and are not being threatened or reduced. - <b>Major compliance</b> -	There is no customary land or negotiated agreements within the West Estate land area. Interviewed with the local communities confirmed that no land encroachment.	Complied
4.3.3.2	Maps of an appropriate scale showing extent of recognized customary rights land, if any, should be made available. - <b>Minor compliance</b> -	There is no customary land or negotiated agreements within the West Estate land area. Interviewed with the local communities confirmed that no land encroachment.	Complied
4.3.3.3	Negotiation and FPIC shall be recorded and copies of negotiated agreements should be made available. - <b>Major compliance</b> -	There is no customary land or negotiated agreements within the West Estate land area. Interviewed with the local communities confirmed that no land encroachment.	Complied
<b>4.4 Principle 4: Social responsibility, health, safety and employment condition</b>			
<b>Criterion 4.4.1: Social Impact Assessment (SIA)</b>			
4.4.1.1	Social impact should be identified and plans are implemented to mitigate the negative impacts and promote the positive ones. - <b>Minor compliance</b> -	SIA was conducted on 27 – 28/03/2014 for SOU 9 West POM and West Estate by Social & Environment Projects Unit, PSQM Department. The methodology of the assessment was through field interview with stakeholders, site observation and documentation review. The assessment has involved the affected stakeholders such as contractors, schools’ representatives, officers from government authorities and internal workers. Issues raised by the stakeholders were incorporated into a management plan. Social profile such as social background of employees, background of local community, education, safety and health, living condition, infrastructure and amenities and stakeholder engagement were assessed accordingly. West Estate has developed the social management plan on 01/02/2021 where the issues collected from OSH meeting, union meeting and	Complied

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		<p>complaint book. The social management plan was implemented, reviewed and updated on yearly basis in the participatory way by collected feedbacks during meeting with stakeholders. Seen the Social Management Plan 2020 where the issues captured in the stakeholder meeting dated 05/02/2020 were included. Reviewed the area of concerns for Social Management Plan 2020 as below:</p> <ol style="list-style-type: none"> <li>1. Area of concern: Shortcut road build by the native to enter the estate area.</li> </ol> <p>Action taken: The management has appointed contractor to clear the illegal trespassing by desilting the boundary drain. Seen the photo evident of the desilting activity by the contractor. Invoice# 16126 dated 08/02/2021 was sighted for the activity completed.</p>	
<b>Criterion 4.4.2: Complaints and grievances</b>			
<b>4.4.2.1</b>	<p>A system for dealing with complaints and grievances shall be established and documented.</p> <p><b>- Major compliance -</b></p>	<p>Sime Darby Plantation has implemented Flowchart and Procedure on Handling Social Issues, version 1 and dated 01/04/2008. Initial negotiation between the management and the dispute parties should be taken within two weeks after outbreak of issue which the involvement of disputed parties, zone heads, third parties and stakeholders. Besides, the company has implemented Whistleblowing Channels where the e-Form, email address and toll free number/hotline can be found in <a href="https://www.simedarbyplantation.com/corporate/whistleblowing">https://www.simedarbyplantation.com/corporate/whistleblowing</a>. Besides, the company has implemented "Suara Kami" as a platform for the workers to raise any issue. Besides, the managements have briefed the stakeholders during stakeholder meetings on the procedure of complaint.</p>	Complied

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4.4.2.2	The system shall be able to resolve disputes in an effective, timely and appropriate manner that is accepted by all parties. <b>- Major compliance -</b>	West Estate has implemented Complaint Book and Housing Defect Record to record any complaints from internal and external stakeholders. Sampled of the complaints as below: 1. Issue: Septic tank issue, toilet blockage and flooring in the toilet broken reported on 30/01/2021.  Status: The management has informed on 30/01/2021 and checked by the carpenter. The action taken on 13/02/2021 by the contractor. Seen the photo evident of the repair done. Besides, receipt from the contractor dated 13/02/2021 with Receipt No.: 210727 was sighted. The complainant has acknowledged on the complaint form after the complaint has been resolved.	Complied
4.4.2.3	A complaint form should be made available at the premises, where employees and affected stakeholders can make a complaint. <b>- Minor compliance -</b>	West Estate has implemented Complaint Book for internal and external to record complaints and requests reported by the stakeholders. The complaint book is available outside the main office as verified through photo evidence.	Complied
4.4.2.4	Employees and the surrounding communities should be made aware that complaints or suggestions can be made any time. <b>- Minor compliance -</b>	Interviewed with the internal and external stakeholders during stakeholder consultation found that they were aware of the complaint procedure and they were briefed by the management. The workers in the West Estate have been briefed on the grievance procedure on 24/07/2020 and seen the record of briefing.	Complied
4.4.2.5	Complaints and resolutions for the last 24 months shall be documented and made available to affected stakeholders upon request. <b>- Major compliance -</b>	Record review found that previous complaints and requests from Year 2018 were still available.	Complied

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<b>Criterion 4.4.3:</b> Commitment to contribute to local sustainable development			
<b>4.4.3.1</b>	<p>Growers should contribute to local development in consultation with the local communities.</p> <p><b>- Minor compliance -</b></p>	<p>The estate management has made contribution to the community such as construction of hump at the school upon request by the representative. Seen the photo evident of the construction done. Besides, the management provided assistance to the school for the development of the surrounding of school and a certificate of appreciation from the school was awarded to the estate management.</p>	Complied
<b>Criterion 4.4.4:</b> Employees safety and health			
<b>4.4.4.1</b>	<p>An occupational safety and health policy and plan shall be documented, effectively communicated and implemented.</p> <p><b>- Major compliance -</b></p>	<p>Sime Darby Plantation has established environmental policy Upstream Malaysia Health, Safety and Environment (HSE) Policy Statement signed by CEO Upstream Malaysia dated 1/6/2020. In the Policy Statement stated as follows: "Upstream Malaysia is committed to providing safe and healthy workplaces and operating in an environmentally responsible manner at all our operations in Malaysia." The policy has been communicated to the workers through induction training for new workers, morning briefing and displayed at various notice board within the estate.</p>	Complied
<b>4.4.4.2</b>	<p>The occupational safety and health plan shall cover the following:</p> <ul style="list-style-type: none"> <li>a) A safety and health policy, which is communicated and implemented.</li> <li>b) The risks of all operations shall be assessed and documented.</li> <li>c) An awareness and training programme which includes the following requirements for employees exposed to pesticides:</li> </ul>	<ul style="list-style-type: none"> <li>a. Sime Darby has established the Group Policy on Health and Safety signed by the Managing Director on Jan 2015. The policy has been communicated to the workers through induction training for new workers, morning briefing, I CARE Safety and Health Townhall meeting, and displayed at various notice board within the estate. Latest policy briefing was conducted during muster call on 26/12/2020.</li> <li>b. The estates visited has conducted assessment for risk on all the operations and documented in Hazard Identification, Risk</li> </ul>	OFI



Criterion / Indicator	Assessment Findings	Compliance
<ul style="list-style-type: none"> <li>i. all employees involved shall be adequately trained on safe working practices</li> <li>ii. all precautions attached to products shall be properly observed and applied</li> <li>d) The management shall provide the appropriate PPE at the place of work to cover all potentially hazardous operations as identified in the risk assessment and control such as Hazard Identification, Risk Assessment and Risk Control (HIRARC).</li> <li>e) The management shall establish Standard Operating Procedure for handling of chemicals to ensure proper and safe handling and storage in accordance to Occupational Safety Health (Classification Packaging and Labeling) Regulation 1997 and Occupational Safety Health (Use and Standard of Exposure of Chemical Hazardous to Health) Regulation 2000.</li> <li>f) The management shall appoint responsible person(s) for workers' safety and health. The appointed person(s) of trust must have knowledge and access to latest national regulations and collective agreements.</li> <li>g) The management shall conduct regular two-way communication with their employees where issues affecting their business such as employee's health, safety and welfare are discussed openly. Records from such meeting are kept and the concerns of the employees and any remedial actions taken are recorded.</li> </ul>	<p>Assessment, and Risk Control (HIRARC). HIRARC Training has been conducted on 24/07/2020 during muster call o the workers. The assessment covers all main operations and support operations such as harvesting, weeding, manuring, office operation, security, pest and disease and other support operation. The HIRARC was reviewed at minimum once a year, if accident occur or changes on the operation. Latest review on 25/07/2020. HIRARC for Covid 19 has been prepared on 01/07/2020.</p> <ul style="list-style-type: none"> <li>c. The estate has established training program for employees exposed to chemicals used at the palm oil mill to ensure the continuous awareness to the employee. The training was conducted by the Executives, Medical Assistant and representative form the chemical suppliers to the supervisors and operators. This training programme is used as a guideline to ensure continuous awareness and assessment on the understanding of the required modules. Sighted Estate Safety and Health (ESH) Management plan for the year of 2021. Latest JKPP visit sighted on 02/10/2019.</li> <li>d. The estates visited provided appropriate PPE to all workers according to the job type. The PPE given as per HIRARC and Pictorial Safety Standard (PSS) dated 17/3/2008. The PPE issuance records were available for review. Latest record sighted on 23/02/2021.</li> <li>e. Procedures of chemical handling is presented in several documents, such Document No. SD/SDP/SQM (ESH)/001-1Sime Darby Plantation Environment, Safety, and Health Management System (ESHMS) Manual dated July 1st, 2012. CHRA assessment has been conducted on 11/11/2020 refer HQ/09/ASS/00/124-2020/0032. Medical surveillance has been verified for Sprayer, Chemical storekeeper, and fertilizer applicator. Chemical register has been prepared dated 25/01/2021.</li> </ul>	

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<p>h) Accident and emergency procedures shall exist and instructions shall be clearly understood by all employees.</p> <p>i) Employees trained in First Aid should be present at all field operations. A First Aid Kit equipped with approved contents should be available at each worksite.</p> <p>j) Records shall be kept of all accidents and be reviewed periodically at quarterly intervals.</p> <p><b>- Major compliance -</b></p>	<p>f. The Estate Manager has been appointed as Person Responsible / Chairman for Safety and Health in the estate as per appointment letter dated 1/1/2020 signed by the Regional CEO. The Estate Manager has appointed the Sr. Assistant Manager as person responsible for Safety and health issue in the estate as per appointment letter.</p> <p>g. The estate management has established Safety Committee Member consist of Secretary, representatives from Employer and representatives from Employee as per appointment letter by the Mill Manager. The OSH committee discussed regarding the safety and health of the workers on quarterly basis during the OSH committee meeting. In the meeting discussed on the matters arising from the previous meetings, accident and incident report, workplace inspection, and training. Sighted the minutes meeting records as follows:  1<sup>st</sup> Meeting: 02/01/2020  2<sup>nd</sup> Meeting: Cancelled due to Covid 19  3<sup>rd</sup> Meeting: 21/07/2020  4<sup>th</sup> Meeting: 24/12/2020  Related to frequency of Osh Meeting refer Part IV Section 21 OSHA Regulation 1996, management should consider other method or platform to conduct OSH committee meeting during new norm of Covid 19.</p> <p>h. Accident of emergency procedure is presented in Mill Quality Management System Standard Operation manual (MQMS SOM) dated November 1st, 2008. Flowchart of emergency handling was presented in Appendix 5.5.3.3. Latest ERP training has been conducted on 10/09/2020.</p>	

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		<ul style="list-style-type: none"> <li>i. The assigned first aiders were nominated. Verified through video call showed First Aider understanding on the contents and usage of the items in the First Aid Kits. First aid kits placed at the amin office and given to the mandores. Sighted latest First Aid Training on 25/01/2021.</li> <li>j. Records of all accidents were kept in the estate and reviewed at quarterly intervals during the JKPP Meeting. Lost Time Incident are monitored by the estate and records were sighted in the estate. Sighted JKPP 6 report submitted on 19/10/2020. Sighted JKPP 8 report submitted. Refer JKPP8/65257/2021 submitted on 07/01/2021.</li> </ul>	
<b>Criterion 4.4.5:</b> Employment conditions			
<b>4.4.5.1</b>	<p>The management shall establish policy on good social practices regarding human rights in respect of industrial harmony. The policy shall be signed by the top management and effectively communicated to the employees.</p> <p><b>- Major compliance -</b></p>	<p>Sime Darby Plantation has established Group Sustainability &amp; Quality Policy Statement dated 02/12/2019 by Group Managing Director where the company is respecting, upholding &amp; no-exploitation of fundamental human rights. This policy statement is guided by the commitment spells out in the Human Rights Charter (HRC). The HRC was last revised on August 2020. They promote the human rights, safeguard democracy and its institutions and not violate the rights of others. They also recognize the important role Human Right Defenders. In accordance with the United Nations Declaration on Human Rights Defenders, they are committed to safeguarding the confidentiality of those involved by establishing clear operational guidelines on the coordination, administration and response to the allegations of threats through our Human Rights Defender Policy and ensuring that their internal policies and mechanisms protect and prevent harm to complainants, as well as respond to complaints on any alleged threats made to them. Refer to Policy on the Protection of Human Rights</p>	Complied

Criterion / Indicator		Assessment Findings	Compliance
		<p>Defenders (HRDs) dated 25/03/2020 for more information. <a href="#">Policy on the Protection of HRDs FINAL.pdf (sime-darbyplantation.com)</a>.</p> <p>The policies were communicated to stakeholders during stakeholder meetings. Besides, the briefing of the policies to workers was conducted on 26/12/2020 in West Estate.</p>	
<b>4.4.5.2</b>	<p>The management shall not engage in or support discriminatory practices and shall provide equal opportunity and treatment regardless of race, colour, sex, religion, political opinion, nationality, social origin or any other distinguishing characteristics.</p> <p><b>- Major compliance -</b></p>	<p>Sime Darby Plantation has developed Human Rights Charter to ensure decent work for all workers means providing equal opportunity, social protection, respecting rights at work and providing a platform for workers' voice and social dialogue. They respect the rights of workers and provide fair and favourable working conditions by Promoting diversity and inclusion by providing equal opportunities and not tolerating any form of</p> <p>discrimination on the grounds of ethnic origin, caste, national origin, religion, disability, gender, sexual orientation, gender identity, union membership, political affiliation or age. They will facilitate opportunities for advancement for our employees, especially women, by removing barriers to progress and respecting reproductive and maternal rights. The policy could be downloaded from <a href="https://www.sime-darbyplantation.com/sustainability/human-rights-charter">https://www.sime-darbyplantation.com/sustainability/human-rights-charter</a>.</p>	Complied
<b>4.4.5.3</b>	<p>Management shall ensure that employees' pay and conditions meet legal or industry minimum standards and as per agreed Collective Agreements. The living wage should be sufficient to meet basic needs and provide some discretionary income based on minimum wage.</p> <p><b>- Major compliance -</b></p>	<p>There were employment contracts for staffs and workers. Pay and conditions are documented and achieved the Minimum Wage Order 2020. Sime Darby has sign the Collective Agreement with National Union of Plantation Workers (NUPW). Sample of employment contracts are reviewed and the agreements are signed in both English and home country language (i.e. Hindi, Bahasa Malaysia/Indonesia). Upon the foreign workers arriving to the estate, they will be inducted for the</p>	Complied

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		terms and conditions of employment contract and briefed on the company's policies.	
<b>4.4.5.4</b>	<p>Management should ensure employees of contractors are paid based on legal or industry minimum standards according to the employment contract agreed between the contractor and his employee.</p> <p><b>- Minor compliance -</b></p>	<p>1. Reviewed the 5 employment contracts for the contractor's workers from Bumi Sejahtera (M) Sdn Bhd found that the salary/ wages entitlement was not stated in the contract. The sampled workers as below:</p> <ul style="list-style-type: none"> <li>i. I/C No.: 050925-10-62XX</li> <li>ii. Passport No.: C5025716</li> <li>iii. Passport No.: C5026947</li> <li>iv. Passport No.: C5025375</li> <li>v. Passport No.: EE0296947</li> </ul> <p>2. Reviewed the payslips for June 2020, September 2020 and December 2020 found that the wages for gazetted public holiday as per Employment Act 1955 were not paid to the contractors' workers in YGNT Enterprise and Bumi Sejahtera (M) Sdn Bhd. The gazette public holidays are the Birthday of Yang di-Pertuan Agong (08/06/2020), the Birthday of the Ruler or the Yang di-Pertua Negeri (11/12/2020) and Malaysia Day (16/09/2020). Sampled workers as below:</p> <ul style="list-style-type: none"> <li>i. I/C No.: 050925-10-62XX (BS)</li> <li>ii. Passport No.: C5025716 (BS)</li> <li>iii. Passport No.: C5026947 (BS)</li> <li>iv. Passport No.: C5025375 (BS)</li> </ul>	Major Non-Compliance

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		v. Passport No.: EE0296947 (BS) vi. I/C No.: 640425-10-81XX (YGNT) vii. I/C No.: 821108-10-60XX (YGNT) viii. I/C No.: 791016-10-56XX (YGNT) ix. I/C No.: 890501-10-51XX (YGNT)  This is recurring of major non-conformance of Ref.: 1937437-202002-M1.	
<b>4.4.5.5</b>	The management shall establish records that provide an accurate account of all employees (including seasonal workers and subcontracted workers on the premises). The records should contain full names, gender, date of birth, date of entry, a job description, wage and the period of employment.  <b>- Major compliance -</b>	The estate management has registered all their workers into Employee Master Details Listing in SEMUA system where personal details such as full name, gender, date of birth, date join company, race, designation and wages were recorded. Verified the Employee Master Details Listing.	Complied
<b>4.4.5.6</b>	All employees shall be provided with fair contracts that have been signed by both employee and employer. A copy of employment contract is available for each and every employee indicated in the employment records.  <b>- Major compliance -</b>	Sample of 14 employment contracts in West Estate are reviewed, and the contracts are signed in dual language which is English and their home country language such as Hindi, Bahasa Malaysia/Indonesia. The terms and conditions such as working hours, deduction, overtime, sick leave, holiday entitlement, reason of dismissal and period of notice were outlined in the contract.	Complied
<b>4.4.5.7</b>	The management shall establish a time recording system that makes working hours and overtime transparent for both employees and employer.  <b>- Major compliance -</b>	Seen the Estate Daily Attendance Report for March 2020, September 2020 and December 2020 where it recorded the number of days work and hours of overtime work. The data was transferred from pocket checkroll and input form into the SAP system.	Complied

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<b>4.4.5.8</b>	The working hours and breaks of each individual employee as indicated in the time records shall comply with legal regulations and collective agreements. Overtime shall be mutually agreed and shall always be compensated at the rate applicable and shall meet the applicable legal requirement.  - <b>Major compliance</b> -	Interviewed with the workers confirmed that they have rest time in between of the working hours. Overtimes were paid according to the rate stated in the agreement and regulatory requirements. The overtime offered upon mutually agreement.	Complied
<b>4.4.5.9</b>	Wages and overtime payment documented on the pay slips shall be in line with legal regulations and collective agreements.  - <b>Major compliance</b> -	Wages and overtime were paid according to the Estate Daily Attendance Report. Total hours of overtime and daily attendance has recorded in the SAP system and the payslips.	Complied
<b>4.4.5.10</b>	Other forms of social benefits should be offered by the employer to employees, their families or the community such as incentives for good work performance, bonus payment, professional development, medical care and health provisions.  - <b>Minor compliance</b> -	All the workers are provided with free medical facilities. The workers are entitled with the phone allowance of RM 5 for every month. Free housing facilities were provided to all the workers and their families with free water supply. 10kg of rice was supplied to all the workers once every 2 months and confirmed through interviewed with the workers.	Complied
<b>4.4.5.11</b>	In cases where on-site living quarters are provided, these quarters shall be habitable and have basic amenities and facilities in compliance with the Workers' Minimum Standards Housing and Amenities Act 1990 (Act 446) or any other applicable legislation.  - <b>Major compliance</b> -	The estate management has provided free housing facilities to all the workers. Basic amenities such as water and electricity were provided to the workers. The estate workers are using SAJ water. Linesite inspection was carried out on weekly basis by Supervisor using Housing Complex/ Nest/ Community Hall Inspections. The last inspection for February 2021 was conducted on 06/02/2021, 09/02/2021, 17/02/2021 and 27/02/2021.	Complied

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<p><b>4.4.5.12</b> The management shall establish a policy and provide guidelines to prevent all forms of sexual harassment and violence at the workplace.</p> <p><b>- Major compliance -</b></p>	<p>Sime Darby Plantation has developed Human Rights Charter where they create a working environment with zero tolerance for sexual harassment and abuse, and in which violence is never used to resolve issues or conflict.</p> <p>The policy was communicated to the workers conducted on 26/12/2020 in West Estate.</p> <p>Gender Committee has organized meeting and the last meetings were conducted on 08/08/2020 and 03/02/2021 in West Estate. There is no issue raised during the meeting.</p>	<p>Complied</p>
<p><b>4.4.5.13</b> The management shall respect the right of all employees to form or join trade union and allow workers own representative(s) to facilitate collective bargaining in accordance with applicable laws and regulations. Employees shall be given the freedom to join a trade union relevant to the industry or to organize themselves for collective bargaining. Employees shall have the right to organize and negotiate their work conditions. Employees exercising this right should not be discriminated against or suffer repercussions.</p> <p><b>- Major compliance -</b></p>	<p>Sime Darby Plantation has developed Human Rights Charter where they respect Freedom of Association by respecting the rights of employees to form and join unions and bargain collectively. In jurisdictions where this right is limited, they will provide alternative means of employee engagement and grievance redressal.</p> <p>Union meeting was held on 23/01/2021 with total 8 participants. Issues raised during the meeting were responded by the management during the meeting. Most of the issues related to festival celebration and cash advance during festival period. Meeting minutes was sighted.</p> <p>Besides, there was a letter from representative of NUPW from estate dated 24/09/2020 related to issues in the workers' housing area. The management has responded the letter on 07/10/2020 with proposed action to be taken or action taken, and a copy of the respond letter was given to the representative with acknowledgement of receipt. Seen the evidence of quotation dated 12/10/2020 issued to contractor</p>	<p>Complied</p>



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Criterion / Indicator		Assessment Findings	Compliance
		to repair streetlight at Division as reported by the representative. Photo evident of the repair work was sighted.	
<b>4.4.5.14</b>	<p>Children and young persons shall not be employed or exploited. The minimum age shall comply with local, state and national legislation. Work by children is acceptable on family farms, under adult supervision, and when not interfering with their education programmes. Children shall not be exposed to hazardous working conditions.</p> <p><b>- Major compliance -</b></p>	<p>Sime Darby Plantation has developed Human Rights Charter where they recognise that protecting the wellbeing of children means safeguarding them from any form of maltreatment or exploitation, including child sex tourism, child trafficking and child pornography by:</p> <ul style="list-style-type: none"> <li>• Eradicating child labour in our supply chain. They will not employ anyone under the age of 18 years.</li> <li>• Providing process for remedy if children are found working. They will develop a solution that is in the best interest of the child in partnership with qualified organisations.</li> <li>• Recognising that education is a crucial component in effectively eliminating child labour, they commit to providing all our workers' children with access to primary and secondary education.</li> </ul> <p>The policy was communicated to the workers conducted on 26/12/20220 in West Estate.</p>	Complied
<b>Criterion 4.4.6: Training and competency</b>			
<b>4.4.6.1</b>	<p>All employees, contractors and relevant smallholders are appropriately trained. A training programme (appropriate to the scale of the organization) that includes regular assessment of training needs and documentation, including records of training shall be kept.</p> <p><b>- Major compliance -</b></p>	<p>The estate has implemented a Training Programme for the year 2020 and 2021 which includes Maintenance Training Programme, OSH Training Programme and Operations Training. This training programme was used as a guideline to ensure continuous awareness and assessment on the understanding of the required modules.</p> <p>Sampled Training records are as follows:</p> <ol style="list-style-type: none"> <li>1. First Aider and CPR Training dated 25/01/2021</li> </ol>	Complied

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Criterion / Indicator		Assessment Findings	Compliance
		2. Training PPE for handling Chemical dated 28/12/2020 3. Safety and Health Briefing dated 24/07/2020 4. PPE and Spraying Technique Training dated 20/10/2020 5. HIRARC Briefing dated 24/07/2020	
<b>4.4.6.2</b>	Training needs of individual employees shall be identified prior to the planning and implementation of the training programmes in order to provide the specific skill and competency required to all employees based on their job description.  <b>- Major compliance -</b>	The estates visited has conducted training need analysis for all employee, management, and contractors. The need analysis was conducted base on the job designation and training required by the job type. 28 training was identified for management, employee and contractors and programmed throughout FY 2021.	Complied
<b>4.4.6.3</b>	A continuous training programme should be planned and implemented to ensure that all employees are well trained in their job function and responsibility, in accordance to the documented training procedure.  <b>- Minor compliance -</b>	The estates visited has training program which updated annually. The annual internal audit by GSQM and management review does review the effectiveness of the training plan and its execution.	Complied
<b>4.5 Principle 5: Environment, natural resources, biodiversity and ecosystem services</b>			
<b>Criterion 4.5.1: Environmental Management Plan</b>			
<b>4.5.1.1</b>	An environmental policy and management plan in compliance with the relevant country and state environmental laws shall be developed, effectively communicated and implemented.  <b>- Major compliance -</b>	Sime Darby Plantation has established environmental policy documented in Group Sustainability and Quality Statement signed by Group Managing Director dated 2/12/2019 and Upstream Malaysia Health, Safety and Environment (HSE) Policy Statement signed by CEO Upstream Malaysia dated 1/6/2020.	Complied

Criterion / Indicator		Assessment Findings	Compliance
		Group Sustainability and Quality Statement: Minimizing Environmental Harm: i. Protecting and enhancing biodiversity and ecosystem ii. No deforestation and No new development on peat land iii. Enhancing resilience against climate change impact iv. Adopting responsible consumption and production Upstream Malaysia Health, Safety and Environment (HSE) Policy Statement Environment i. Comply to emission and effluent standard ii. efficient use of water and energy iii. Minimize waste iv. Protect the ecosystem and biodiversity.	
4.5.1.2	The environmental management plan shall cover the following: a) An environmental policy and objectives; b) The aspects and impacts analysis of all operations. <b>- Major compliance -</b>	The estate visited has established environmental management plan for the year 2021 base on aspect and impacts analysis conducted. The environmental management plan was established base on Environmental Aspect Impact Identification and Environmental Impact Evaluation conducted and documented in Pollution Prevention Plan.  The EAI/EIE was reviewed by the estate management team. The EAI/EIE and management plan was reviewed on annually basis. Latest review for EIE was conducted on 01/01/2021. The management plan was implemented to monitor the effectiveness of the mitigation measures. This plan incorporated Environmental Issue, Mitigation Measures and Person Responsible.	Complied
4.5.1.3	An environmental improvement plan to mitigate the negative impacts and to promote the positive ones, shall be developed, effectively implemented and monitored. <b>- Major compliance -</b>	As specified in indicator 4.5.1.1 & 4.5.1.2 above, it confirmed that the developed environmental improvement plan to mitigate the negative impacts and to promote the positive ones were effectively implemented and monitored. The management plan were focused on waste management, Water Management Plan, HCV and Biodiversity.	Complied
4.5.1.4	A programme to promote the positive impacts should be included in the continual improvement plan. <b>- Minor compliance -</b>	Program to promote positive impact was documented in Environmental Management Plan. Samples of programme were: 1. Energy – Fuel saving for tractors 2. Housing complex – Weekly inspection	Complied

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Criterion / Indicator		Assessment Findings	Compliance
		3. Spraying – Provide tray to avoid soil contamination	
4.5.1.5	An awareness and training programme shall be established and implemented to ensure that all employees understand the policy and objectives of the environmental management and improvement plans and are working towards achieving the objectives.  - Major compliance -	The above programs were regularly communicated by estate management to all employees from time to time during morning briefing. The recent specific Bund Patrolling and Bakau Monitoring Training dated 27/02/2021.	Complied
4.5.1.6	Management shall organize regular meetings with employees where their concerns about environmental quality are discussed.  - Major compliance -	Sighted evidence of environment meeting has been conducted. Refer Minutes of meeting Management Meeting section 6.0 Environment Issue RSPO / MSPO dated 26/11/2020.	Complied
<b>Criterion 4.5.2: Efficiency of energy use and use of renewable energy</b>			
4.5.2.1	Consumption of non-renewable energy shall be optimized and closely monitored by establishing baseline values and trends shall be observed within an appropriate timeframe. There should be a plan to assess the usage of non-renewable energy including fossil fuel, electricity and energy efficiency in the operations over the base period.  - Major compliance -	West Estate has conducted the assessment of all polluting activities during Environmental Aspects identification, Environmental Impact Evaluation.	Complied
4.5.2.2	The oil palm premises shall estimate the direct usage of non-renewable energy for their operations, including fossil fuel, and electricity to determine energy efficiency of their operations. This shall include fuel use by contractors, including all transport and machinery operations.	The action plan to reduce the identified significant impact has been documented in Environmental Management Plan under section Pollution Prevention Plan and Energy Management Plan. Sighted the implementation of the management plan as follows: i. The monitoring of diesel usage was conducted on monthly basis. Sighted the sample records as follows:	Complied

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Criterion / Indicator		Assessment Findings				Compliance
	- <b>Major compliance</b> -	Month	Diesel	FFB	Diesel/ FFB	
		November	14,351	6991.45	0.487	
		December	16,003	7218.46	0.451	
<b>4.5.2.3</b>	The use of renewable energy should be applied where possible. - <b>Minor compliance</b> -	No possible usage of renewable energy at the estate.				Complied
<b>Criterion 4.5.3: Waste management and disposal</b>						
<b>4.5.3.1</b>	All waste products and sources of pollution shall be identified and documented. - <b>Major compliance</b> -	All waste products and sources of pollution had been identified in Environmental management Plan 2021 Section Waste Management Action Plan for the estate. Based on the Waste Management Action Plan Year 2020 the following wastes and its sources were identified:  1. Domestic waste 2. Industrial waste 3. Schedule waste 4. Recyclable waste				Complied
<b>4.5.3.2</b>	A waste management plan to avoid or reduce pollution shall be developed and implemented. The waste management plan should include measures for: a) Identifying and monitoring sources of waste and pollution b) Improving the efficiency of resource utilization and recycling of potential wastes as nutrients or converting	Estate has established management Plan base on the identification and source of pollutions and the documented in Waste management Plan FY 2021 and were available for review. In the management plan stated the type of waste, description, source of pollution, action to be taken and person responsible.				Complied

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Criterion / Indicator		Assessment Findings	Compliance
	<p>them into value-added by-products</p> <p><b>- Major compliance -</b></p>		
4.5.3.3	<p>The management shall establish Standard Operating Procedure for handling of used chemicals that are classified under Environment Quality Regulations (Scheduled Waste) 2005, Environmental Quality Act, 1974 to ensure proper and safe handling, storage and disposal.</p> <p><b>- Major compliance -</b></p>	<p>Procedure for Scheduled Waste Management was established (SD/SDP/PSQM (ESH)/203-EN1 dated 26/2/2016. Proper disposal of waste material is carried out as per the company procedures.</p> <p>Sighted latest of disposal on 08/10/2020 by Sime Kubota for SW 305 and SW 410.</p> <p>Registration of E-Swiss has been made and waiting for approval by DOE. Refer email evidence from West Estate to DOE on 04/03/2021.</p>	Complied
4.5.3.4	<p>Empty pesticide containers shall be punctured and disposed in an environmentally and socially responsible way, such that there is no risk of contamination of water sources or to human health. The disposal instructions on manufacturer's labels should be adhered to. Reference should be made to the national programme on recycling of used HDPE pesticide containers.</p> <p><b>- Major compliance -</b></p>	<p>Empty pesticides container was identified as recycle waste. All empty pesticides containers were triple rinse, puncture and stored at designated stored before disposed to licensed contractors, SS Setia Technology Enterprise. Latest disposal record on 18/12/2020 refer Bill number 1798.</p>	Complied
4.5.3.5	<p>Domestic waste should be disposed as such to minimize the risk of contamination of the environment and watercourses.</p> <p><b>- Minor compliance -</b></p>	<p>Domestic waste was managed by Majlis Daerah Kuala Langat.</p>	Complied
<p><b>Criterion 4.5.4:</b> Reduction of pollution and emission</p>			

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Criterion / Indicator		Assessment Findings	Compliance
<b>4.5.4.1</b>	An assessment of all polluting activities shall be conducted, including greenhouse gas emissions, scheduled wastes, solid wastes and effluent.  <b>- Major compliance -</b>	West estate has conducted the assessment of all polluting activities during Environmental Aspects identification, Environmental Impact Evaluation.	Complied
<b>4.5.4.2</b>	An action plan to reduce identified significant pollutants and emissions shall be established and implemented.  <b>- Major compliance -</b>	The action plan to reduce the identified significant impact has been documented in Environmental Management Plan under section Energy Management Plan. Sighted the implementation of the management plan as follows:  1. Workshop – to ensure all schedule waste must be accordance as per legal requirement  2. Spraying activities – To provide tray and prevent direct contact to soil.	Complied
<b>Criterion 4.5.5: Natural water resources</b>			
<b>4.5.5.1</b>	The management shall establish a water management plan to maintain the quality and availability of natural water resources (surface and ground water). The water management plan may include:  a. Assessment of water usage and sources of supply.  b. Monitoring of outgoing water which may have negative impacts into the natural waterways at a frequency that reflects the estate’s current activities.  c. Ways to optimize water and nutrient usage to reduce wastage (e.g. having in place systems for re-use, night	Documented in Sime Darby Slope and River Protection Policy dated 15/1/2015 signed by the Managing Director stated that buffer zone shall be maintained on both side of the riverbanks.  - Riparian buffer zone  - Areas where buffer zone not established  - Water quality monitoring  - Access of clean water to workers  - Renewability of water source  - Rainwater harvest	Complied

Criterion / Indicator		Assessment Findings	Compliance
	<p>application, maintenance of equipment to reduce leakage, collection of rainwater, etc.).</p> <p>d. Protection of water courses and wetlands, including maintaining and restoring appropriate riparian buffer zones at or before planting or replanting, along all natural waterways within the estate.</p> <p>e. Where natural vegetation in riparian areas has been removed, a plan with a timetable for restoration shall be established and implemented.</p> <p>f. Where bore well is being use for water supply, the level of the ground water table should be measured at least annually.</p> <p><b>- Major compliance -</b></p>	<p>a. Source of water by Syarikat Air Selangor (SYABAS).</p> <p>b. There is no natural waterways cross the estate.</p> <p>c. Sighted management has committed to optimize water and nutrient usage to reduce wastage from evidence Rainwater harvesting use for general cleaning, operation, gardening etc.</p> <p>d. Protection of water course has been implemented for pond, reservoir, and wetland.</p> <p>e. Sighted evidence on protection of riparian buffer zone for bund area</p> <p>f. There is no usage of bore well in the estate.</p>	
<b>4.5.5.2</b>	<p>No construction of bunds, weirs and dams across main rivers or waterways passing through an estate.</p> <p><b>- Minor compliance -</b></p>	No main river crossing the estate.	Complied
<b>4.5.5.3</b>	<p>Water harvesting practices should be implemented (e.g. water from road-side drains can be directed and stored in conservation terraces and various natural receptacles).</p> <p><b>- Minor compliance -</b></p>	The estate practice water harvesting at strategic locations. They also maintained monitoring records of water usage which recorded every day and summarized on monthly basis including the monitoring of rainfall water, which has been an alternative source of water as mitigation plan during draught season.	Complied
<b>Criterion 4.5.6:</b> Status of rare, threatened, or endangered species and high biodiversity value			



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Criterion / Indicator	Assessment Findings	Compliance
<p><b>4.5.6.1</b></p> <p>Information shall be collated that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors). This information should cover:</p> <ul style="list-style-type: none"> <li>a) Identification of high biodiversity value habitats, such as rare and threatened ecosystems, that could be significantly affected by the grower(s) activities.</li> <li>b) Conservation status (<i>e.g.</i> The International Union on Conservation of Nature and Natural Resources (IUCN) status on legal protection, population status and habitat requirements of rare, threatened, or endangered species), that could be significantly affected by the grower(s) activities.</li> </ul> <p><b>- Major compliance -</b></p>	<p>As per Amendment to HCV Re-Assessment for Strategic Operating Unit (SOU) 8 East, 9 West and 9A Sepang conducted by Conservation &amp; Biodiversity Unit Group Sustainability Department, dated October 2020.</p> <p>HCV were identified as per report reviewed. 2 under HCV 4 category and 1 HCV under HCV 6 category has been identified in SOU 8 as follows:</p> <ul style="list-style-type: none"> <li>1. HCV 6 – Hatters Castle</li> <li>2. HCV 4 – Fridge Mangrove</li> <li>3. HCV 4 – Natural Ponds</li> </ul> <p>Otherwise, 2 potential HCV 4 has been identified which is Water catchment and Erosion control bunds and include in the monitoring plan.</p>	<p>Complied</p>
<p><b>4.5.6.2</b></p> <p>If rare, threatened or endangered species, or high biodiversity value, are present, appropriate measures for management planning and operations should include:</p> <ul style="list-style-type: none"> <li>a) Ensuring that any legal requirements relating to the protection of the species are met.</li> <li>b) Discouraging any illegal or inappropriate hunting, fishing or collecting activities; and developing responsible measures to resolve human-wildlife conflicts.</li> </ul> <p><b>- Major compliance -</b></p>	<p>No RTE species were identified in the assessment conducted as per Amendment to HCV Re-Assessment for Strategic Operating Unit (SOU) 8 East, 9 West and 9A Sepang conducted by Conservation &amp; Biodiversity Unit Group Sustainability Department, dated October 2020.</p> <p>The estate has established HCV/Biodiversity Management Plan base on the HCV identified in the report.</p> <ul style="list-style-type: none"> <li>1. To ensure the signage is maintained at site and retrievable on map</li> <li>2. To update monitoring record of terracing</li> <li>3. To promote awareness on HCV</li> </ul>	<p>Complied</p>

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Criterion / Indicator		Assessment Findings	Compliance
		4. To identify how tasks relating HCV / biodiversity able to be performed and competencies required 5. To maintain / enhance the biodiversity in the estates.	
<b>4.5.6.3</b>	A management plan to comply with Indicator 1 shall be established and effectively implemented, if required. <b>- Major compliance -</b>	The estate has established HCV/Biodiversity Management Plan base on the HCV identified in the report. Sighted the implementation of the management plan as follows: 1. To ensure the signage is maintained at site and retrievable on map 2. To update monitoring record of terracing 3. To promote awareness on HCV 4. To identify how tasks relating HCV / biodiversity able to be performed and competencies required 5. To maintain / enhance the biodiversity in the estates.	Complied
<b>Criterion 4.5.7: Zero burning practices</b>			
<b>4.5.7.1</b>	Use of fire for waste disposal and for preparing land for oil palm cultivation or replanting shall be avoided except in specific situations, as identified in regional best practice. <b>- Major compliance -</b>	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	Complied
<b>4.5.7.2</b>	A special approval from the relevant authorities shall be sought in areas where the previous crop is highly diseased and where there is a significant risk of disease spread or continuation into the next crop. <b>- Major compliance -</b>	Not applicable since there is no used of fire for replanting waste disposal.	Complied

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<b>4.5.7.3</b>	Where controlled burning is allowed, it shall be carried out as prescribed by the Environmental Quality (Declared Activities) (Open Burning) Order 2003 or other applicable laws.  - <b>Major compliance</b> -	Not applicable since there is no used of fire for replanting waste disposal.	Complied
<b>4.5.7.4</b>	Previous crops should be felled or mowed down, chipped and shredded, windrowed or pulverized or ploughed and mulched.  - <b>Minor compliance</b> -	The old pam was mowed down, chipped, and shredded during replanting progress verified during site visit in replanting area.	Complied
<b>4.6 Principle 6: Best Practices</b>			
<b>Criterion 4.6.1: Site Management</b>			
<b>4.6.1.1</b>	Standard operating procedures shall be appropriately documented and consistently implemented and monitored.  - <b>Major compliance</b> -	SOP was established for the Estates. Sime Darby SOP issued 2/1/2008 and Agricultural reference Manual, Sustainability Plantation Management System and EQMS (Estate Quality Management System) were distributed to all operating units under SOU8 as a guidance document to conduct estate operation. The SOP covers land preparation, planting material, upkeep, harvesting, FFB transportation and etc. Sime Darby has established mechanism to monitor the implementation of their procedure by Plantation Advisor Visit, Performance Monitoring Visit and Agronomist Visit. The visit focusing on Yield Improvement, Crop Recovery, R	Complied
<b>4.6.1.2</b>	Where oil palm is grown within permitted levels on sloping land, appropriate soil conservation measures shall be implemented to prevent both soil erosion as well as siltation of drains and waterways. Measures shall be put in place to prevent	Sime Darby has established policy on slope protection and documented in Slope and River Protection Policy signed by the Managing Director in Jan 2015.	Complied

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Criterion / Indicator		Assessment Findings	Compliance												
	contamination of surface and groundwater through runoff of either soil, nutrients or chemicals. <b>- Major compliance -</b>														
<b>4.6.1.3</b>	A visual identification or reference system shall be established for each field. <b>- Major compliance -</b>	Field marking was maintained at west Estate. Verified through interview with assistant manager.	Complied												
<b>Criterion 4.6.2: Economic and financial viability plan</b>															
<b>4.6.2.1</b>	A documented business or management plan shall be established to demonstrate attention to economic and financial viability through long-term management planning. <b>- Major compliance -</b>	SOU 9 has continued its commitment to long term sustainability and improvements through a capital expenditure program. The management has forecasted 5 years business plan from FY 2021 – 2026.	Complied												
<b>4.6.2.2</b>	Where applicable, an annual replanting programme shall be established. Long term replanting programme should be established and review annually, where applicable every 3-5 years. <b>- Major compliance -</b>	The revised replanting program was established which was updated. The replanting programme sighted as follow: - <table border="1" data-bbox="1048 1029 1449 1361"> <thead> <tr> <th>Year</th> <th>Replanting (Ha)</th> </tr> </thead> <tbody> <tr> <td>2022</td> <td>233.82</td> </tr> <tr> <td>2023</td> <td>266.01</td> </tr> <tr> <td>2024</td> <td>250.08</td> </tr> <tr> <td>2025</td> <td>252.52</td> </tr> <tr> <td>2026</td> <td>65.92</td> </tr> </tbody> </table>	Year	Replanting (Ha)	2022	233.82	2023	266.01	2024	250.08	2025	252.52	2026	65.92	Complied
Year	Replanting (Ha)														
2022	233.82														
2023	266.01														
2024	250.08														
2025	252.52														
2026	65.92														

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Criterion / Indicator		Assessment Findings	Compliance
<b>4.6.2.3</b>	<p>The business or management plan may contain:</p> <ul style="list-style-type: none"> <li>a) Attention to quality of planting materials and FFB</li> <li>b) Crop projection: site yield potential, age profile, FFB yield trends</li> <li>c) Cost of production : cost per tonne of FFB</li> <li>d) Price forecast</li> <li>e) Financial indicators : cost benefit, discounted cash flow, return on investment</li> </ul> <p><b>- Major compliance -</b></p>	<p>All relevant information contained in the annual budget plan for as sighted in annual budget FY2021 such as: i. Total crop projection and yield potential ii. Activity direct cost a. Mature upkeep b. Manuring c. Harvesting and collection d. Transportation e. Nursery iii. Estate administration a. Admin Cost iv. Labour overhead v. Road and bridges</p>	Complied
<b>4.6.2.4</b>	<p>The management plan shall be effectively implemented and the achievement of the goals and objectives shall be regularly monitored, periodically reviewed and documented.</p> <p><b>- Major compliance -</b></p>	<p>The budget plan was reviewed annually with both actual and forecasted amount for 5 years (up to 2025) and well documented upon request.</p>	Complied
<b>Criterion 4.6.3: Transparent and fair price dealing</b>			
<b>4.6.3.1</b>	<p>Pricing mechanisms for the products and other services shall be documented and effectively implemented.</p> <p><b>- Major compliance -</b></p>	<p>Sampled the letter of award (LOA) for services provided as below:</p> <ul style="list-style-type: none"> <li>i. Company Name: Tiong Ying Enterprise Sdn Bhd for transportation of FFB which valid until 31/03/2021.</li> <li>ii. Company Name: YGNT Enterprise for EFB loading, transport &amp; application at mature fields in West Estate which valid until 31/12/2021.</li> <li>iii. Company Name: Bumi Sejahtera (M) Sdn Bhd for scout harvesting, sanitation, circle raking &amp; transport for field 2017B &amp; 2017C in West Estate which valid until 31/12/2021.</li> </ul>	Complied

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Criterion / Indicator		Assessment Findings	Compliance
		Pricing of the contract was stated in the LOA and acknowledged by the contractors.	
<b>4.6.3.2</b>	All contracts shall be fair, legal and transparent and agreed payments shall be made in timely manner. <b>- Major compliance -</b>	Verified the invoice submitted and payment records as below: i. Tax INV# 1016 dated 30/11/2020; Payment made on 08/12/2002 with Transaction Ref.: 521448290100970 ii. Tax INV# TYESB/DEC20/014 dated 02/01/2021; Payment made on 08/01/2021 with Transaction Ref.: 521744140100658  Besides, phone interviewed with contractors also confirmed that payment was made promptly.	Complied
<b>Criterion 4.6.4: Contractor</b>			
<b>4.6.4.1</b>	Where contractors are engaged, they shall understand the MSPO requirements and shall provide the required documentation and information. <b>- Major compliance -</b>	The contractors engaged by the estate management has signed on a letter with subject RSPO/ ISCC/ MSPO/ SCCS dated 26/06/2019.  Briefing of sustainability were given to contractors on 05/02/2020 during stakeholder meeting. Phone interviewed with the contractors confirmed that they were provided with training and have signed on the letter.	Complied
<b>4.6.4.2</b>	The management shall provide evidence of agreed contracts with the contractor. <b>- Major compliance -</b>	West Estate has engaged contractors for varieties of works such as transporting and scout harvesting. Sampled the letter of award (LOA) for services provided as below: i. Company Name: Tiong Ying Enterprise Sdn Bhd for transportation of FFB which valid until 31/03/2021. ii. Company Name: YGNT Enterprise for EFB loading, transport & application at mature fields in West Estate which valid until 31/12/2021.	Complied

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Criterion / Indicator		Assessment Findings	Compliance
		iii. Company Name: Bumi Sejahtera (M) Sdn Bhd for scout harvesting, sanitation, circle raking & transport for field 2017B & 2017C in West Estate which valid until 31/12/2021.	
<b>4.6.4.3</b>	The management shall accept MSPO approved auditors to verify assessments through a physical inspection if required.  - <b>Minor compliance</b> -	A letter dated 26/06/2019 on RSPO/ ISCC/ MSPO/ SCCS signed by Senior Manager of estate to all the contractors and suppliers in the estate. The letter has stated that all Contractors need to follow RSPO/ ISCC/ MSPO/ SCCS guideline in accordance with the Sime Darby Plantation of Estate Quality Management System. All contractors shall provide access to the RSPO/ ISCC/ MSPO/ SCCS auditors to contractors' operation site(s) and employees whenever deemed necessary. The contractors have agreed, understood and acknowledged on the letter. Sampled of the letters for YGNT Enterprise and Bumi Sejahtera (M) Sdn Bhd were sighted.	Complied
<b>4.6.4.4</b>	The management shall be responsible for the observance of the control points applicable to the tasks performed by the contractor, by checking and signing the assessment of the contractor for each task and season contracted.  - <b>Major compliance</b> -	All works performed at the estates are checked and verified by the estate's personnel. Projects where tenders are issued by HQ are checked by representative from HQ.	Complied
<b>4.7 Principle 7: Development of new planting (Not Applicable)</b>			

**B) MS 2530-4:2013 Malaysian Sustainable Palm Oil (MSPO) Part 4: General Principles for Palm Oil Mills**

Criterion / Indicator		Assessment Findings	Compliance
<b>4.1 Principle 1: Management commitment &amp; responsibility</b>			
<b>Criterion 4.1.1 – Malaysian Sustainable Palm Oil (MSPO) Policy</b>			
<b>4.1.1.1</b>	Policy for the implementation of MSPO shall be established. <b>- Major compliance -</b>	Sime Darby Plantation Berhad has issued an inter-office mail (Ref. No.: SQM.RSPO.1811/22.11) dated 23/11/2018 regarding the statement on commitment towards MSPO implementation by Head, Global Sustainability Operations, Mr. Tang Men Kon. Sime Darby Plantation Berhad is committed to comply and implement the MSPO certification to demonstrate our commitment towards the production of certified sustainable palm oil products.	Complied
<b>4.1.1.2</b>	The policy shall also emphasize on the commitment to continual improvement with the objective of improving the milling operation. <b>- Major compliance -</b>	Sime Darby Plantation Berhad has clearly emphasized to achieve commitment towards a systematic approach in ensuring continuous improvement in the operation, compliance to statutory, legal and other regulatory requirements and establishment of traceability within the supply chain in the above-mentioned memorandum.	Complied
<b>Criterion 4.1.2 – Internal Audit</b>			
<b>4.1.2.1</b>	Internal audit shall be planned and conducted regularly to determine the strong and weak points and potential area for further improvement. <b>- Major compliance -</b>	Seen the notification of internal audit SOU 8 & 9 sent out by the Sustainability Compliance Unit on 18/01/2021. The last MSPO, RSPO & SCCS Internal Audit was conducted on 21/01/2021 in West POM by GSD Malaysia & Central East RSQM. The audit was carried out based on the reference of MS 2530-4:2013. Total 3 major, 3 minor non-conformity and 4 Opportunity for Improvement raised.	Complied



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Criterion / Indicator		Assessment Findings	Compliance
		Seen the Internal Audit Report with root cause identified for the non-conformities and OFIs raised. All the non-conformities and OFIs were closed accordingly on 03/02/2021.	
<b>4.1.2.2</b>	The internal audit procedures and audit results shall be documented and evaluated, followed by the identification of strengths and root causes of nonconformities, in order to implement the necessary corrective action.  - <b>Major compliance</b> -	Sime Darby Plantation Berhad has developed Internal Audit Procedure, Doc. No.: SD/SDP/PSQM/IAP, Rev. 2 dated 01/11/2017. The frequency of the internal audit shall be carried out at least once a year and when is required.  Total 3 major, 3 minor non-conformities and 4 Opportunity for Improvement raised. Seen the Internal Audit Report with root cause identified for the non-conformities and OFIs raised. All the non-conformities and OFIs were closed accordingly on 03/02/2021.	Complied
<b>4.1.2.3</b>	Reports shall be made available to the management for their review. - <b>Major compliance</b> -	The internal audit report has distributed to the mill's management. The Management Representative has acknowledged on the acceptance of the Internal Audit Report on 21/01/2021. Management review meeting was conducted to review the findings of the internal audit.	Complied
<b>Criterion 4.1.3 – Management Review</b>			
<b>4.1.3.1</b>	The management shall periodically review the continuous suitability, adequacy and effectiveness of the requirements for effective implementation of MSPO and decide on any changes, improvement and modification.  - <b>Major compliance</b> -	The latest management review meeting was carried out on 27/01/2021 in West POM which chaired by Mill Manager where the agenda that discussed as below:  1. A follow-up action from Previous Minutes of Meeting 2. Review on Status/ Issue Mill - Review on new mill organization structure - Review on FY 2020-year end performance	Complied

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		3. Audit RSPO/ MSPO/ ISCC - Results from internal audits 4. Any other matters - Other audits related issues, environmental, safety and health (ESH), training matrix and AOM 5. Recommendation for Improvement 6. Any other matters Management review meeting presentation was sighted as well.	
<b>Criterion 4.1.4 – Continual Improvement</b>			
<b>4.1.4.1</b>	The action plan for continual improvement shall be based on a consideration of the main social and environmental impact and opportunities for the company. <b>- Major compliance -</b>	Mill has implemented Kaizen project Charter to initiate project for continual improvement. The projects are as below: 1. RO Water plant for waste elimination. Project benefits: To get much cost-efficient water for mill processing. 2. TGO Despatch platform for safety. Project benefits: Make the dispatch activity much save. 3. To enhance mill safety condition. Project benefits: without LTI cases can enhance mill personnel productivity.	Complied
<b>4.1.4.2</b>	The company should establish a system to improve practices in line with new information and techniques; and for disseminating this information throughout the workforce. <b>- Major compliance -</b>	The mill is in the progress to construct biogas plant and currently is under process of approval from TNB to install cable synchronize. Target to be completed by May 2021. Seen the graph monitoring of target vs actual completion progress.	Complied

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<b>4.2 Principle 2: Transparency</b>			
Criterion 4.2.1 – Transparency of information and documents relevant to MSPO requirements			
<b>4.2.1.1</b>	The management shall communicate adequate information to other stakeholder on environmental, social and legal issues relevant to sustainable practices in the relevant languages and forms.  <b>- Major compliance -</b>	Sime Darby Plantation has developed Estate Quality Management System – Standard Operation Manual, Sub-section 5.5, Appendix 5.5.3.2, version 1, issue date 1/4/2008). The procedure has detailing the process of handling complaints from stakeholders and the time frame for external communication to be dealt with. The time frame to provide feedback is within two weeks of the date of receipt for communication and within one week of the completion of the investigation. The management has briefed the stakeholders during the stakeholder meeting last conducted on 05/02/2020 regarding on the communication and complaint procedures.	Complied
<b>4.2.1.2</b>	The management documents shall be publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.  <b>- Major compliance -</b>	Publicly available management documents such as land titles, OHS plans, EIA and SIA reports, HCV documentation, pollution prevention and reduction plans, records of complaints and grievances, negotiation procedures, RSPO Public Summary Report, company policies and continual improvement plans are available. All operating units have individual documents and records to demonstrate compliance to this indicator. Sustainability Reports, policies and procedures are also accessible through the company's website: <a href="http://www.simedarbyplantation.com/">http://www.simedarbyplantation.com/</a> .	Complied
<b>Criterion 4.2.2 – Transparent method of communication and consultation</b>			
<b>4.2.2.1</b>	Procedures shall be established for consultation and communication with the relevant stakeholders.  <b>- Major compliance -</b>	Sime Darby Plantation has developed Estate Quality Management System – Standard Operation Manual, Sub-section 5.5, Appendix 5.5.3.2, version 1, issue date 1/4/2008) to put in place a system to effectively communicate with external interested parties on matters	Complied

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		<p>pertaining to performance. Timeframe for external communication to provide feedback within two weeks of the date of receipt for communication requiring direct feedback and within one week of the completion of the investigation for communication requiring investigation.</p> <p>Besides, the company has developed a documented procedure in Sustainable Plantation Management System on handling social issues, Appendix 5, Version 1, and Issue No.1, dated 01/04/2008. The procedure has detailing the process of handling social issues raised by the stakeholders and resolve in an effective, timely and appropriate manner.</p>	
4.2.2.2	<p>The management shall nominate management officials at the operating unit responsible for issues related to <i>indicator 1</i>.</p> <p><b>- Minor compliance -</b></p>	<p>Assistant Manager of the West POM has been appointed as Social Officer to handle any issue related to social in the mill. Seen the appointment letter dated 01/01/2021 issued by the Mill Manager. Role and responsibilities were clearly stated in the appointment letter.</p>	Complied
4.2.2.3	<p>A list of stakeholders, records of all consultation and communication and records of action taken in response to input from stakeholders shall be properly maintained.</p> <p><b>- Major compliance -</b></p>	<p>A combine stakeholder meeting for West POM and West Estate was conducted on 05/02/2020. Stakeholders such as contractors, school's representatives, local communities and government authorities were attended the meeting. Issues raised by stakeholders were recorded in the minutes and responded by the management accordingly. However, the stakeholder meeting which was scheduled for Year 2021 was postponed due to Movement Control Order by the government. Seen the letter of notification dated 29/01/2021 issued to the stakeholders.</p> <p>Stakeholder list was developed with relevant stakeholders such as local communities, government authorities, NGOs, contractors and suppliers were included in the list.</p>	Complied

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<b>Criterion 4.2.3 – Traceability</b>			
<b>4.2.3.1</b>	The management shall commit itself to implement and maintain the requirements for the traceability and shall establish a standard operation procedure for traceability.  - <b>Major compliance</b> -	The sustainable Plantation Management System, Appendix 15, SOP for sustainable Supply Chain and Traceability Version 2, 2018, issue no 5 dated April 2019 documented the procedure for traceability. Procedure has combined alk related sustainability standard requirements of RSPO/ISCC and MSPO.	Complied
<b>4.2.3.2</b>	The management shall conduct regular inspections on compliance with the established traceability system.  - <b>Major compliance</b> -	Regular inspections on compliance with the established traceability system were conducted through daily process through FFB weighbridge ticket and periodical internal audit. Every consignment ticket will be verified by the weighbridge operator and executive.	Complied
<b>4.2.3.3</b>	The management shall identified and assign suitable employees to implement and maintain traceability system.  - <b>Minor compliance</b> -	Management has assigned person in charge on traceability. Sighted appointment letter for Mr Md Kamal Arshad (Sr Asst. Manager) dated 01/01/2021. Related to appointed person in charge on traceability, management could improve on the awareness of the appointed employees to implement and maintain the traceability system.	OFI
<b>4.2.3.4</b>	Records of storage, sales, delivery or transportation of crude palm oil and palm kernel shall be maintained.  - <b>Major compliance</b> -	Records of CPO & PK sales & delivery including Weighbridge Tickets together with sales Delivery Note (DO Chit) and Daily Record (Daily CPO/PK Despatch Summary Logbook) were maintained based on Standard Operating Procedure.  FFB Date: 07/07/2020 Chit Number: 181578 Supplier: West Estate Lorry Number: KT464QW46 Weight: 2.85 MT	Complied

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		<p>CPO  Date: 09/07/2020  Chit Number: J00052925  Buyer: SD Jomalina  Lorry Number: NDG6142  Weight: 38.64 MT</p> <p>Date: 20/07/2020  Chit Number: J00053124  Buyer: SD Jomalina  Lorry Number: WD6327F  Weight: 31.91 MT</p>	
<b>4.3 Principle 3: Compliance to legal requirements</b>			
<b>Criterion 4.3.1 – Regulatory requirements</b>			
<b>4.3.1.1</b>	<p>All operations shall be in compliance with applicable local, state, national and ratified international laws and regulations.</p> <p><b>- Major compliance -</b></p>	<p>The list of permit and license required for the operations of the mill were sighted. The sample of permit and license:  West Mill</p> <ol style="list-style-type: none"> <li>1. MPOB license 533238004000 valid until 30/09/2021</li> <li>2. DOE Licence 003765 valid until 30/06/2021</li> <li>3. Jadual Pematuhan No: 003180 AS(B) 31/152/000/086 valid until 04/06/2021</li> <li>4. Licence of Majlis Perbandaran Kuala Langat No: 036001001100168 valid until 16/02/2021</li> </ol>	Complied

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		<p>5. Perakuan BOMBA No: JBPM:5L-7/1084/2020 valid until 18/03/2021</p> <p>West POM has obtained the approval from <i>Jabatan Tenaga Kerja Semenanjung Malaysia</i> and <i>Jabatan Tenaga Kerja Selangor</i> for the following:</p> <ol style="list-style-type: none"> <li>1. Ref. No.: BHG. PU/9/129 Jld 46 (19) dated 08/10/2018 for Great Eastern Life Insurance (M) Berhad.</li> <li>2. Ref. No.: JTKS(E)6/ 115. Jld 41-22 (2) dated 02/10/2018 for insurance – RM 20/ month, loan to purchase motorcycle and <i>koperasi</i> company.</li> <li>3. Ref. No.: BHG. PU/9/134 Jld 12(24) dated 25/01/2018 for overtime limit for maximum 130 hours.</li> </ol>	
<b>4.3.1.2</b>	<p>The management shall list all relevant laws related to their operations in a legal requirements register.</p> <p><b>- Major compliance -</b></p>	<p>LORR was established to cover all legal acts, regulations and other requirement related to West Mill. Management has listed applicable laws and regulations. The sample of Act and Legal:</p> <ol style="list-style-type: none"> <li>1. Akta Kawalan Penyakit Berjangkit 1998 (Amendment 2020)</li> <li>2. Minimum Wages Order (Amendment 2020)</li> <li>3. Workers Minimum Standard of Housing and Amenities (Amendment Act 2019)</li> <li>4. Occupational Safety and Health (Noise Exposure) Regulations 2019</li> <li>5. Pesticides (Amendment of First Schedule) Order 2019</li> <li>6. Akta Bekalan Elektrik 1990 valid until 20/06/2021.</li> </ol>	Complied

Criterion / Indicator		Assessment Findings	Compliance
<b>4.3.1.3</b>	<p>The legal requirements register shall be updated as and when there are any new amendments or any new regulations coming into force.</p> <p><b>- Major compliance -</b></p>	<p>LORR was established to cover all legal acts, regulations and other requirement related to West Mill. Management has listed applicable laws and regulations. The sample of Act and Legal:</p> <ol style="list-style-type: none"> <li>1. Akta Kawalan Penyakit Berjangkit 1998 (Amendment 2020)</li> <li>2. Minimum Wages Order (Amendment 2020)</li> <li>3. Workers Minimum Standard of Housing and Amenities (Amendment Act 2019)</li> <li>4. Occupational Safety and Health (noise Exposure) Regulations 2019</li> <li>5. Pesticides (Amendment of First Schedule) Order 2019</li> </ol> <p>Verified that LORR has been updated as and when there are any new amendments or any new regulations coming into force.</p>	Complied
<b>4.3.1.4</b>	<p>The management should assign a person responsible to monitor compliance and to track update the changes in regulatory requirements.</p> <p><b>- Minor compliance -</b></p>	<p>Mill has assigned new QA to monitor compliance and to track and update the changes in regulatory requirements.</p> <p>Management has assigned person in charge on monitoring law and regulation as per appointment letter for Mr Md Kamal Arshad (Sr Asst. Manager) dated 01/01/2021.</p> <p>Isokinetic Stack and Air Emission Monitoring for 2021 had been conducted biannually and the reports are available at site for reference.</p>	Complied
<b>Criterion 4.3.2 – Lands use rights</b>			



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4.3.2.1	The management shall ensure that their oil palm milling activities do not diminish the land use rights of other users. <b>- Major compliance -</b>	West POM is located inside of the land of West Estate. The land is belonging to Sime Darby Plantation (Peninsular) Sdn Bhd. Sighted the copy of the land title# 44294; Lot No.: 2697. There is no issue on land use claims evidence during the audit.	Complied
4.3.2.2	The management shall provide documents showing legal ownership or lease, history of land tenure and the actual legal use of the land. <b>- Major compliance -</b>	West POM is located inside of the land of West Estate. The land is belonging to Sime Darby Plantation (Peninsular) Sdn Bhd. Sighted the copy of the land title# 44294; Lot No.: 2697. There is no issue on land use claims evidence during the audit.	Complied
4.3.2.3	Legal parameter boundary markers should be clearly demarcated and visibly maintained on the ground where practicable. <b>- Major compliance -</b>	Legal boundary along the mill were demarcated with fences. Land title was under estate	Complied
4.3.2.4	Where there are, or haven been disputes, documented proof of legal acquisition of land and fair compensation that have been or are being made to previous owners and occupants; shall made available and that these should have been accepted with free prior informed consent (FPIC). <b>- Minor compliance -</b>	There is no land dispute in the West POM at the time of audit. The land belongs to Sime Darby Plantation (Peninsular) Sdn Bhd and land ownership documents verified. Interviewed with the local communities confirmed that no land encroachment.	Complied
<b>Criterion 4.3.3 – Customary rights</b>			
4.3.3.1	Where lands are encumbered by customary rights, the company shall demonstrate that these rights are understood and are not being threatened or reduced. <b>- Major compliance -</b>	There is no customary land or negotiated agreements within the West POM land area. Interviewed with the local communities confirmed that no land encroachment.	Complied

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4.3.3.2	Maps of an appropriate scale showing extent of recognized customary rights shall be made available. - <b>Minor compliance</b> -	The right to use the land is not disputed and there was no customary land within the West POM. Interviewed with the local communities confirmed that no land encroachment.	Complied
4.3.3.3	Negotiation and FPIC shall be recorded and copies of the relevant agreements should be made available. - <b>Major compliance</b> -	There is no land dispute or customary rights issues in the mill. Interviewed with the local communities confirmed that no land encroachment.	Complied
<b>4.4 Principle 4: Social responsibility, health, safety and employment condition</b>			
<b>Criterion 4.4.1: Social Impact Assessment (SIA)</b>			
4.4.1.1	Social impacts should be identified and plans should be implemented to mitigate the negative impacts and promote the positive ones. - <b>Minor compliance</b> -	SIA was conducted on 27 – 28/03/2014 for SOU 9 West POM and West Estate by Social & Environment Projects Unit, PSQM Department. The methodology of the assessment was through field interview with stakeholders, site observation and documentation review. The assessment has involved the affected stakeholders such as contractors, schools’ representatives, officers from government authorities and internal workers. Issues raised by the stakeholders were incorporated into a management plan. Social profile such as social background of employees, background of local community, education, safety and health, living condition, infrastructure and amenities and stakeholder engagement were assessed accordingly. Social management plan was developed in West POM on 27/01/2021 after the management review meeting. The management plan was developed after collected the feedbacks and issues during various of meeting such as stakeholder meeting, union meeting and gender committee meeting.	Complied
<b>Criterion 4.4.2: Complaints and grievances</b>			

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4.4.2.1	<p>A system for dealing with complaints and grievances shall be established and documented.</p> <p><b>- Major compliance -</b></p>	<p>Sime Darby Plantation has implemented Flowchart and Procedure on Handling Social Issues, version 1 and dated 01/04/2008. Initial negotiation between the management and the dispute parties should be taken within two weeks after outbreak of issue which the involvement of disputed parties, zone heads, third parties and stakeholders. Besides, the company has implemented Whistleblowing Channels where the e-Form, email address and toll free number/ hotline can be found in <a href="https://www.simedarbyplantation.com/corporate/whistleblowing">https://www.simedarbyplantation.com/corporate/whistleblowing</a>. Besides, the company has implemented "Suara Kami" as a platform for the workers to raise any issue. Besides, the managements have briefed the stakeholders during stakeholder meetings on the procedure of complaint.</p>	Complied
4.4.2.2	<p>The system shall be able to resolve dispute in an effective, timely and appropriate manner, which is accepted by all parties.</p> <p><b>- Major compliance -</b></p>	<p>West POM has implemented Complaint Book to record any complaints from internal and external stakeholders. Sampled of the complaints as below:</p> <p>2. Issue: Streetlight and spotlight in the housing area (Block A, B, E, E12, F and F5 were malfunction reported on 25/01/2021.</p> <p>Status: A Contract Form with Doc. No.: 4300534731 was issued to the contractor on 23/02/2021 and the management has informed the complainant on 01/02/2021 for the status of complaint during the morning assembly. Seen the record of morning assembly. Interviewed with the Auxiliary Police confirmed that the management will keep the status updated to them.</p>	Complied
4.4.2.3	<p>A complaint form should be made available at the premises, where employees and affected stakeholders can make complaints.</p> <p><b>- Minor compliance -</b></p>	<p>West POM has implemented Complaint Book to record complaints and requests reported by the stakeholders. The complaint book is available at the guard post. Interviewed with the Auxiliary Police and one of the workers confirmed that the complaint book is available at the guard post.</p>	Complied

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4.4.2.4	Employees and surrounding communities should be made aware of its existence and that complaints or suggestions may be made at any time.  - <b>Minor compliance</b> -	Phone interviewed with the internal and external stakeholders during stakeholder consultation found that they were aware of the complaint procedure and they were briefed by the management.	Complied
4.4.2.5	Complaints and solutions within the past 24 months shall be documented and be made available to affected stakeholders upon request.  - <b>Major compliance</b> -	Record review found that previous complaints and requests from Year 2018 were still available.	Complied
<b>Criterion 4.4.3: Commitment to contribute to local sustainable development</b>			
4.4.3.1	Palm oil miller should contribute to local development in consultation with the local communities. Where the mill is an integral part of plantation, such contribution to local community development may be regarded as a joint effort by the mill and the plantation.  - <b>Minor compliance</b> -	The mill management has offered majority job opportunity to the local communities by verified through employee master listing. Besides, the management has provided 10 kgs of rice every 2 months to the workers. Seen the records of rice distribution. The management has assisted the neighboring school to repaint the fence and provided clean water to the school during water disruption. Seen the confirmation form acknowledged by the school's representative dated 25/01/2021.	Complied
<b>Criterion 4.4.4: Employees safety and health</b>			
4.4.4.1	An occupational safety and health policy and plan which is in line with Occupational Safety and Health Act 1994 and Factories and Machinery Act 1967 (Act 139) shall be documented, effectively communicated and implemented.  - <b>Major compliance</b> -	Sime Darby has established environmental policy Upstream Malaysia Health, Safety and Environment (HSE) Policy statement signed by CEO Upstream Malaysia dated 01/06/2020. An OSH Plan was available in the form of "important areas" and the trainings required for the respective personals for the year 2020/2021. In the Policy stated, "Upstream Malaysia is committed to providing	Complied

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		<p>safe and healthy workplaces and operating in an environmentally responsible manner at all our operations in Malaysia.”</p> <p>The OSH policy and plan are regularly communicated to the staffs and workers during the morning briefings and OSH Meetings.</p>	
<b>4.4.4.2</b>	<p>The occupational safety and health plan should cover the following:</p> <ul style="list-style-type: none"> <li>a) A safety and health policy, which is communicated and implemented.</li> <li>b) The risk of all operations shall be assessed and documented.</li> <li>c) An awareness and training programme which includes the following requirements for employees exposed to chemicals used at the palm oil mill:               <ul style="list-style-type: none"> <li>i. All employees involved are adequately trained on safe working practices;</li> <li>ii. All precautions attached to products should be properly observed and applied;</li> </ul> </li> <li>d) The management shall provide the appropriate PPE at the place of work to cover all potentially hazardous operations as identified in the risk assessment and control such as Hazard Identification, Risk Assessment and Risk Control (HIRARC).</li> <li>e) The management shall establish Standard Operating Procedure for handling of chemicals to ensure proper and safe handling and storage in accordance to Occupational Safety Health (Classification Packaging and Labeling) Regulation 1997 Occupational Safety Health (Use and Standard of Exposure of Chemical Hazardous to Health) Regulation 2000.</li> <li>f) The management shall appoint responsible person(s) for workers’ safety and health. The appointed person(s) of trust</li> </ul>	<p>The OSH plan generated by the Mill for the year 2020/2021 covers the important aspects of OSH such as Safety Trainings, OSH Meetings, Fire Extinguisher Inspections, HIRARC Reviews, Workplace Inspections, ERP Trainings, Fire Drills and Medical Surveillance &amp; Audiometric Test.</p> <ul style="list-style-type: none"> <li>a. Sime Darby has established environmental policy Upstream Malaysia Health, Safety and Environment (HSE) Policy statement signed by CEO Upstream Malaysia dated 01/06/2020. The OSH policy and plan are regularly communicated to the staffs and workers during the morning briefings and OSH Meetings. Latest policy briefing sighted on 01/02/2021.</li> <li>b. The mill has conducted assessment for risk on all the operations and documented in Hazard Identification, Risk Assessment, and Risk Control (HIRARC). The assessment covers all main operations and support operations such as boiler station, FFB ramp, fruit handling station, Sterilizer station, office operation, security, pest and disease and other support operation. The HIRARC was reviewed at minimum once a year if accident occur or changes on the operation. Latest review on 05/02/2021. Verified that HIRARC for Covid 19 has been prepared on 25/04/2020. Mitigation plans and</li> </ul>	Complied

Criterion / Indicator		Assessment Findings	Compliance
	<p>shall have knowledge and access to latest national regulations and collective agreements.</p> <p>g) The management shall conduct regular two-way communication with their employees where issues that affect their business such as those related to employees' safety, health and welfare are discussed openly. Records from such meeting shall be kept and the concerns of employees and any remedial actions taken shall be recorded.</p> <p>h) Accident and emergency procedures shall exist and instructions shall be clearly understood by all employees.</p> <p>i) Employees trained in First Aid shall be present at all mill operations. First Aid equipment should be available at each worksite.</p> <p>j) Records shall be kept of all accidents and be reviewed periodically at quarterly intervals.</p> <p><b>- Major compliance -</b></p>	<p>control procedures such as PPE, Administrative Control and Trainings were documented. Latest JKPP visit on 08/02/2021 refer DOE visit logbook.</p> <p>c. The mill has established training program for employees exposed to chemicals used at the palm oil mill to ensure the continuous awareness to the employee. Sighted evidence of training plan and record for the year of 2020 and 2021. The training was conducted by the Manager, Asst. Manager and representative from the chemical suppliers to the supervisors and operators. This training programme is used as a guideline to ensure continuous awareness and assessment on the understanding of the required modules.</p> <p>d. All workers were provided with appropriate PPE as identified in the HIRARC. Latest PPE record sighted on 12/01/2021. PPE issuance was recorded in PPE Issue form. The records were kept by monthly basis for monitoring purpose.</p> <p>e. SOPs for Best Practices of Chemical Handling were available in the POM. Procedures of chemical handling is presented in several documents, such Document No. SD/SDP/SQM (ESH)/001-1Sime Darby Plantation Environment, Safety, and Health Management System (ESHMS) Manual dated July 1st, 2012. Chemical register review on 23/09/2020. CHRA assessment has been conducted on 15/07/2020. Refer HQ/09/ass/00/124 conducted by HJ Shaari Chin. Medical surveillance has been conducted latest on 15/02/2020, refer report dated 28/03/2020 by Klinik Hartati. Verified sample of Mill Operator, Lab Assistant and Foremen.</p>	

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	<ul style="list-style-type: none"> <li>f. The POM has appointed Mr Pravin AL Pakeanathan as PIC for safety and health dated 06/01/2020 together with Employer and Employee representative based on their work units as members of the safety committee.</li> <li>g. The Occupational Safety &amp; Health Meetings were done on a regular basis (3 months Interval) to address the safety and health issues in the Mill.  1<sup>st</sup> Meeting: 17/01/2020  2<sup>nd</sup> Meeting: 18/06/2020  3<sup>rd</sup> Meeting: 11/09/2020  4<sup>th</sup> Meeting: 28/12/2020</li> <li>h. Accident &amp; Emergency Response Plans are available for Emergency Contact Number, Emergency Evacuation, First Aid Locations, Fire Extinguisher Locations, Emergency Response Plans (Fire, Chemical Spillage, Chemical Contamination, Flood and Accident) and displayed at strategic locations around the mill, estate office and stores. The competent personals are appointed and trained to be part of the Emergency Response Team. Appointment letters were sighted in the POM. Latest ERP training has been conducted on 27/07/2020.</li> <li>i. Management has nominated for First aider. Training conducted on 29-30/09/2020. Sample First aider were Nur Syafiqah Rayme and Eddi Budiarmen. First Aid were check through interview and video call and found in order.</li> <li>j. Records of all accidents were kept in the POM and reviewed at quarterly intervals during the JKKP Meeting. Lost Time Incident are monitored by the POM and records were sighted in the POM. Sighted JKKP 6 report SLK1710 dated 09/09/2020 and JKKP 7 dated 31/12/2020. Sighted evidence of JKKP 8</li> </ul>	

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		report submitted on 05/01/2021 with reference number JKPP8/63510/2020.	
<b>Criterion 4.4.5:</b> Employment conditions			
<b>4.4.5.1</b>	<p>The management shall establish a policy on good social practice regarding human rights in respect of industrial harmony. The policy shall be signed by the top management and communicated to the employees.</p> <p><b>- Major compliance -</b></p>	<p>Sime Darby Plantation has established Group Sustainability &amp; Quality Policy Statement dated 02/12/2019 by Group Managing Director where the company is respecting, upholding &amp; no-exploitation of fundamental human rights. This policy statement is guided by the commitment spells out in the Human Rights Charter (HRC). The HRC was last revised on August 2020. They promote the human rights, safeguard democracy and its institutions and not violate the rights of others. They also recognize the important role Human Right Defenders. In accordance with the United Nations Declaration on Human Rights Defenders, they are committed to safeguarding the confidentiality of those involved by establishing clear operational guidelines on the coordination, administration and response to the allegations of threats through our Human Rights Defender Policy and ensuring that their internal policies and mechanisms protect and prevent harm to complainants, as well as respond to complaints on any alleged threats made to them. Refer to Policy on the Protection of Human Rights Defenders (HRDs) dated 25/03/2020 for more information. Policy on the Protection of HRDs_FINAL.pdf (simedarwinplantation.com).</p> <p>The policies were communicated to stakeholders during stakeholder meetings. Besides, the briefing of the policies to workers was conducted on 01/02/2021 in West POM.</p>	Complied
<b>4.4.5.2</b>	The management shall not engage in or support discriminatory practices and shall provide equal opportunity and treatment	Sime Darby Plantation has developed Human Rights Charter to ensure decent work for all workers means providing equal opportunity, social protection, respecting rights at work and	Complied



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<p>regardless of race, colour, sex, religion, political opinion, nationality, social origin or any other distinguishing characteristics.</p> <p><b>- Major compliance -</b></p>	<p>providing a platform for workers' voice and social dialogue. They respect the rights of workers and provide fair and favourable working conditions by Promoting diversity and inclusion by providing equal opportunities and not tolerating any form of discrimination on the grounds of ethnic origin, caste, national origin, religion, disability, gender, sexual orientation, gender identity, union membership, political affiliation or age. They will facilitate opportunities for advancement for our employees, especially women, by removing barriers to progress and respecting reproductive and maternal rights. The policy could be downloaded from <a href="https://www.simedarbyplantation.com/sustainability/human-rights-charter">https://www.simedarbyplantation.com/sustainability/human-rights-charter</a>.</p>	
<p><b>4.4.5.3</b> Management shall ensure that employees' pay and conditions meet legal or industry minimum standards as per Collective Agreements. The living wage should be sufficient to meet basic needs and provide some discretionary income based on minimum wage.</p> <p><b>- Major compliance -</b></p>	<p>There were employment contracts for staffs and workers. Pay and conditions are documented and achieved the Minimum Wage Order 2020. Sime Darby has sign the Collective Agreement with National Union of Plantation Workers (NUPW). Sample of employment contracts are reviewed and the agreements are signed in both English and home country language (i.e. Hindi, Bahasa Malaysia/Indonesia). Upon the foreign workers arriving to the estate, they will be inducted for the terms and conditions of employment contract and briefed on the company's policies.</p>	Complied
<p><b>4.4.5.4</b> Management should ensure employees of contractors are paid based on legal or industry minimum standards according to the employment contract agreed between the contractor and his employee.</p> <p><b>- Minor compliance -</b></p>	<p>Reviewed the payslips and punch card for the contractor's (Lotus Two Enterprise) worker for June 2020, September 2020 and December 2020. The workers have been paid according to the employment contract signed and the Minimum Wage Order 2020. Worked on public holiday on 31/08/2020 was paid as per Employment Act 1955 as verified the payslips. The workers who on annual leave were paid on the wages on December 2020 for total</p>	Complied

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		<p>8 days of paid leave. Seen the payslips of reimbursement of December 2020.</p> <p>The workers also signed on revised employment contracts where terms and conditions such as resignation and period of notice was mentioned clearly. The workers have signed on a letter on 20/07/2020 on the salary reduction due to the financial constrain of the company.</p>	
<b>4.4.5.5</b>	<p>The management shall establish records that provide an accurate overview of all employees (including seasonal workers and subcontracted workers on the premises). The records should contain full names, gender, date of birth, date of entry, a job description, wage and the period of employment.</p> <p><b>- Major compliance -</b></p>	<p>The mill management has registered all their workers into Employee Master Details Listing in SEMUA system where personal details such as full name, gender, date of birth, date join company, race, designation and wages were recorded. Verified the Employee Master Details Listing.</p>	Complied
<b>4.4.5.6</b>	<p>All employees shall be provided with fair contracts that have been signed by both employee and employer. A copy of employment contract shall be made available for each and every employee indicated in the employment records.</p> <p><b>- Major compliance -</b></p>	<p>Sample of 9 employment contracts in West POM are reviewed, and the contracts are signed in dual language which is English and their home country language such as Hindi, Bahasa Malaysia/Indonesia. The terms and conditions such as working hours, deduction, overtime, sick leave, holiday entitlement, reason of dismissal and period of notice were outlined in the contract.</p>	Complied
<b>4.4.5.7</b>	<p>The management shall establish a time recording system that makes working hours and overtime transparent for both the employees and employers.</p> <p><b>- Major compliance -</b></p>	<p>Seen the Mill Daily Attendance Report for June 2020, September 2020 and December 2020 where it recorded the number of days work and hours of overtime work. The data was transferred from punch card into the SAP system.</p>	Complied
<b>4.4.5.8</b>	<p>The working hours and breaks of the individual worker indicated in the time records shall comply with legal regulations and collective</p>	<p>Interviewed with the workers confirmed that they have rest time in between of the working hours. Overtimes were paid according to</p>	Complied

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	<p>agreements. Overtime shall be mutually agreed upon and shall meet the legal requirements applicable.</p> <p><b>- Major compliance -</b></p>	<p>the rate stated in the agreement and regulatory requirements. The overtime offered upon mutually agreement.</p>	
4.4.5.9	<p>Wages and overtime payment documented on the pay slips shall be in line with legal regulations and collective agreements.</p> <p><b>- Major compliance -</b></p>	<p>Wages and overtime were paid according to the Mill Daily Attendance Report. Total hours of overtime and daily attendance has recorded in the SAP system and the payslips.</p>	Complied
4.4.5.10	<p>Other forms of social benefits should be offered by the employer to employees, their families or community such as incentives for good work performance, bonus payment, support of professional development, medical care provisions and improvement of social surroundings.</p> <p><b>- Minor compliance -</b></p>	<p>All the workers are provided with free medical facilities. The workers are entitled with the phone allowance of RM 5 for every month. Free housing facilities were provided to all the workers and their families with subsidized water supply. 10kg of rice was supplied to all the workers once every 2 months and confirmed through interviewed with the workers.</p>	Complied
4.4.5.11	<p>In cases where on-site living quarters are provided, these quarters shall be habitable and have basic amenities and facilities.</p> <p><b>- Major compliance -</b></p>	<p>The mill's management has provided free housing facilities to all the workers. Basic amenities such as water and electricity were provided to the workers. The mill workers are using SAJ water. Linesite inspection was carried out on weekly basis by Supervisor using Housing Complex/ Nest/ Community Hall Inspections. The last inspection for February 2021 was conducted on 03/02/2021, 10/02/2021, 18/02/2021 and 26/02/2021.</p>	Complied
4.4.5.12	<p>The management shall establish a policy to prevent all forms of sexual harassment and violence at the workplace.</p> <p><b>- Major compliance -</b></p>	<p>Sime Darby Plantation has developed Human Rights Charter where they create a working environment with zero tolerance for sexual harassment and abuse, and in which violence is never used to resolve issues or conflict.</p>	Complied

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		<p>The policy was communicated to the workers conducted on 01/02/2021 in West POM.</p> <p>Gender Committee has organized meeting and the last meetings were conducted on 25/07/2020, 30/12/2020 and 03/01/2021 in West POM. Issues raised in the mill were incorporated into the social management plan where proposed action were identified.</p>	
<b>4.4.5.13</b>	<p>The management shall respect the right of all employees to form and join trade union and allow workers' own representative(s) to facilitate collective bargain in accordance with applicable laws and regulations. Employees shall be given freedom to join trade unions relevant to the industry or organize themselves for collective bargaining. Employees shall have the right to organize and negotiate their work conditions. Employees exercising this right should not be discriminated against or suffer repercussions.</p> <p><b>- Major compliance -</b></p>	<p>Sime Darby Plantation has developed Human Rights Charter where they respect Freedom of Association by respecting the rights of employees to form and join unions and bargain collectively. In jurisdictions where this right is limited, they will provide alternative means of employee engagement and grievance redressal.</p> <p>Union meeting was held on 05/06/2020 with total 11 participants. Issues raised during the meeting were incorporated into the Social Management Plan 2020 and carried forward to Social Management Plan 2021 for issues unresolved.</p>	Complied
<b>4.4.5.14</b>	<p>Children and young persons shall not be employed or exploited. The minimum age shall comply with local, state and national legislation.</p> <p><b>- Major compliance -</b></p>	<p>Sime Darby Plantation has developed Human Rights Charter where they recognise that protecting the wellbeing of children means safeguarding them from any form of maltreatment or exploitation, including child sex tourism, child trafficking and child pornography by:</p> <ul style="list-style-type: none"> <li>• Eradicating child labour in our supply chain. They will not employ anyone under the age of 18 years.</li> <li>• Providing process for remedy if children are found working. They will develop a solution that is in the best interest of the child in partnership with qualified organisations.</li> </ul>	Complied

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		<ul style="list-style-type: none"> <li>Recognising that education is a crucial component in effectively eliminating child labour, they commit to providing all our workers' children with access to primary and secondary education.</li> </ul> <p>The policy was communicated to the workers conducted on 01/02/2021 in West POM.</p>	
<b>Criterion 4.4.6: Training and competency</b>			
<b>4.4.6.1</b>	<p>All employees and contractors shall be appropriately trained. A training programme shall include regular assessment of training needs and documentation, including records of training.</p> <p><b>- Major compliance -</b></p>	<p>Records of training were maintained and sighted as below: -</p> <ol style="list-style-type: none"> <li>Contractor briefing on RSPO and MSPO dated 24/09/2020</li> <li>FFB Grading Clinic dated 17/10/2020</li> <li>Townhall safety and Health training dated 08/10/2020</li> <li>Boiler Operator training on racking jobs SOP dated 09/04/2020</li> <li>Boiler 1 new ID fan controller system training dated 22/10/2020</li> </ol>	Complied
<b>4.4.6.2</b>	<p>Training needs of individual employees shall be identified prior to the planning and implementation of the training programmes in order to provide the specific skill and competency required to all employees based on their job description.</p> <p><b>- Major compliance -</b></p>	<p>Training needs of individual employees have been identified prior to the planning and implementation of the training programs in order to provide the specific skill and competency required to all employees based on their job description.</p>	Complied
<b>4.4.6.3</b>	<p>A continuous training programme shall be planned and implemented to ensure that all employees are well trained in their job function and responsibility in accordance to the documented training procedure.</p> <p><b>- Minor compliance -</b></p>	<p>Training programme planned for year 2020/2021 was available during the visit. The OSH program generated by the Mill for the year 2020/2021 covers the important aspects of OSH such as Safety Trainings, OSH Meetings, Fire Extinguisher Inspections, HIRARC Reviews, Workplace Inspections, ERP Trainings, Fire Drills and Medical Surveillance &amp; Audiometric Test.</p>	Complied
<b>4.5 Principle 5: Environment, natural resources, biodiversity and ecosystem services</b>			

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<b>Criterion 4.5.1: Environmental Management Plan</b>			
<b>4.5.1.1</b>	An environmental policy and management plan shall be in line with the relevant country and state environmental laws shall be established, effectively communicated and implemented.  <b>- Major compliance -</b>	Sime Darby has established environmental policy Upstream Malaysia Health, Safety and Environment (HSE) Policy statement signed by CEO Upstream Malaysia dated 01/06/2020.  Sighted Environmental Management Plan 2021 for SOU 9 West POM.  Sighted Jadual Pematuhan West POM valid until 04/06/2021. Refer Licence No: 003180, AS(B)31/152/000/086. Verified document and interview found West POM comply with all Jadual Pematuhan.	Complied
<b>4.5.1.2</b>	The environmental management plan shall cover the following: a) An environmental policy and objectives; b) The aspects and impacts analysis of all operations  <b>- Major compliance -</b>	On top of the above biodiversity management plan and objectives, the environmental management plan covered in the established action plan of significant environmental aspects identified and impacts evaluated as per documents sighted as following: a. Sime Darby has established environmental policy Upstream Malaysia Health, Safety and Environment (HSE) Policy statement signed by CEO Upstream Malaysia dated 01/06/2020.  b. Sighted the Environmental Aspect and Impact Identification for the year 2021. Refer EAI/2021/013-4 and EAI/2021/008-5. Stated the discussion for the activity Effluent Treatment Plan and Boiler. Sighted evidence of Environmental Impact Evaluation Form. Refer EIE/2021/008/4 and EIE/2021/008/5	Complied
<b>4.5.1.3</b>	An environmental improvement plan to mitigate the negative impacts and to promote the positive ones, shall be developed, implemented and monitored.	As specified in indicator 4.5.1.1 & 4.5.1.2 above, confirmed that the developed environmental improvement plan to mitigate the negative impacts and to promote the positive ones were effectively implemented and monitored. Sighted the Schedule Waste Inventory Records as one of the environmental improvement plans.	Complied

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	- Major compliance -		
4.5.1.4	<p>A programme to promote the positive impacts should be included in the continual improvement plan.</p> <p>- Minor compliance -</p>	<p>Few environmental plans have been established including Pollution Prevention Plan.</p> <ol style="list-style-type: none"> <li>1. Workshop – to ensure all waste must be attended accordance as per legal requirement</li> <li>2. Boiler – To ensure released smoke are within DOE parameter</li> <li>3. ETP – To ensure all pond level and bund are in decent condition.</li> </ol>	Complied
4.5.1.5	<p>An awareness and training programme shall be established and implemented to ensure that employees understand the policy, objectives and management plans and are working towards achieving objectives.</p> <p>- Major compliance -</p>	<p>The above programs were regularly communicated by estate management to all employees on regular basis during the morning briefings. Refer Awareness related schedule waste and energy usage, disallowed any illegal wiring on 10/08/2020.</p>	Complied
4.5.1.6	<p>The management shall organize regular meetings with workers where concerns of workers about the environmental quality are discussed.</p> <p>- Major compliance -</p>	<p>Environmental Quality within the Mill were regularly discussed amongst the management and workers during the Health &amp; Safety Meeting as one of the Agendas. Sighted evidence of Environmental Performance Monitoring Committee Meeting dated 28/12/2020.</p>	Complied
<p><b>Criterion 4.5.2:</b> Efficiency of energy use and use of renewable energy</p>			

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4.5.2.1	<p>Consumption of non-renewable energy shall be optimized and closely monitored by establishing baseline values and trends shall be observed within appropriate timeframe. There should be a plan to assess the usage of non-renewable energy including fossil fuel, electricity in the operations over the base period</p> <p><b>- Major compliance -</b></p>	<p>A plan for improving efficiency of the use of fossil fuels was established as per Environmental Management Plan 2021 section Energy Management. The plan as per below:</p> <ol style="list-style-type: none"> <li>Workers housing inspection to ensure no illegal wiring.</li> <li>To used boiler fuel to generated electricity</li> <li>Biogas plan</li> </ol> <p>The Consumption of Diesel for the year 2020 are as follows.</p> <table border="1"> <thead> <tr> <th>Year</th> <th>Diesel</th> <th>FFB</th> <th>Diesel/FFB</th> </tr> </thead> <tbody> <tr> <td>2020</td> <td>9727.00</td> <td>152,525.78</td> <td>0.84</td> </tr> </tbody> </table> <p>The Consumption of Electricity for the year 2020 are as follows.</p> <table border="1"> <thead> <tr> <th>Year</th> <th>KwH</th> <th>FFB</th> <th>KwH/FFB</th> </tr> </thead> <tbody> <tr> <td>2020</td> <td>2,823,628</td> <td>152,525.78</td> <td>19.44</td> </tr> </tbody> </table> <p>The Consumption of Water for the year 2020 are as follows.</p> <table border="1"> <thead> <tr> <th>Year</th> <th>Litter</th> <th>FFB</th> <th>KwH/FFB</th> </tr> </thead> <tbody> <tr> <td>2020</td> <td>150,834.40</td> <td>152,525.78</td> <td>1.02</td> </tr> </tbody> </table>	Year	Diesel	FFB	Diesel/FFB	2020	9727.00	152,525.78	0.84	Year	KwH	FFB	KwH/FFB	2020	2,823,628	152,525.78	19.44	Year	Litter	FFB	KwH/FFB	2020	150,834.40	152,525.78	1.02	Complied
Year	Diesel	FFB	Diesel/FFB																								
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4.5.2.2	<p>The oil palm premises shall estimate the direct usage of non-renewable energy for their operations, including fossil fuel, and electricity to determine energy efficiency of their operations. This shall include fuel use by contractors, including all transport and machinery operations.</p> <p><b>- Major compliance -</b></p>	<p>The mill has estimation on total energy required. This estimation was compared to the actual usage by monthly and reported to the head office for monitoring. Estimation base on Budget.</p>	Complied																								
4.5.2.3	<p>The use of renewable energy should be applied where possible.</p> <p><b>- Minor compliance -</b></p>	<p>Renewable energy used is from biofuel (shell and fibre) for boiler start-up. Sighted the records for usage of renewable energy FY 2020 as follows:</p>	Complied																								



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		Month, 2020	Shell (MT)	Fibre (MT)	Usage mt/CPO	
		November	568.52	1705.57	101.78	
		December	550.09	1650.26	101.71	
		Todate 2020	7626.29	22,878.87	1129.21	
<b>Criterion 4.5.3: Waste management and disposal</b>						
<b>4.5.3.1</b>	All waste products and sources of pollution shall be identified and documented.  <b>- Major compliance -</b>	The mill has established management Plan base on the identification and source of pollutions and the documented in Environmental Management Plan 2021 section Waste management and were available for review. In the management plan stated the type of waste, description, source of pollution, action to be taken and person responsible. Sighted evidence of identification of Schedule waste, Industrial waste, Domestic waste etc.				Complied
<b>4.5.3.2</b>	A waste management plan shall be developed and implemented, to avoid or reduce pollution. The waste management plan should include measure for: a) Identifying and monitoring sources of waste and pollution. b) Improving the efficiency and recycling potential of mill by-products by converting them into value-added products.  <b>- Major compliance -</b>	As above, all waste products and sources of pollution had been identified in Waste Management Action Plan Year 2021 for the mill. Site visit confirmed that the practice of reduce, reuse and recycle of materials has been implemented.  Segregation of wastes i.e. general wastes and scheduled wastes were verified to be satisfactory. Proper storage areas were identified for the storage of the recyclable wastes at the mill.				Complied
<b>4.5.3.3</b>	The palm oil mill management shall establish Standard Operating Procedure for handling of used chemicals that are classified under Environmental Quality Regulations (Scheduled Waste) 2005, Environmental Quality Act, 1974 to ensure proper and safe handling, storage and disposal. Scheduled waste shall be disposed	Procedure for Scheduled Waste Management was established SD/SDP/PSQM (ESH)/203-EN1 dated 26/2/2016. Proper disposal of waste material is carried out as per the company procedures. The procedures are fully understood by workers and managers. The mill also has a proper Scheduled Waste Store for storing scheduled				Complied

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	as per Environmental Quality Act 1974 (Scheduled Waste) Regulations, 2005 <b>- Major compliance -</b>	waste until time of disposal by DOE authorized waste disposal contractor. Stores for scheduled waste were inspected at both estates visited and disposal was done by scheduled waste disposal company authorized and licensed by Department of Environment. Records sighted for Schedule Waste were the e-Swiss (Fifth Schedule (Regulation 11) Inventory of Schedule Waste recorded on monthly basis and submitted online.  Latest Inventory E Swiss report on 23/02/2021. Refer (B)B31/152/000/086.  Latest record of disposal sighted on 13/12/2020. Refer 2020123015AGSFOE. Disposal record for SW409 to Kualiti Alam Sdn Bhd.	
<b>4.5.3.4</b>	Domestic waste should be disposed as such to minimize the risk of contamination of the environment and watercourse. <b>- Minor compliance -</b>	Domestic waste was collected once a week by contractors appointed by the Majlis Daerah Kuala Langat and disposed at the municipal landfill.	Complied
<b>Criterion 4.5.4:</b> Reduction of pollution and emission			
<b>4.5.4.1</b>	An assessment of all polluting activities shall be conducted, including greenhouse gas emissions, particulate and soot emissions, scheduled wastes, solid wastes and effluent. <b>- Major compliance -</b>	The mill has conducted assessment of all polluting activities in the Environmental Aspect Impact and Environmental Impact Evaluation. A management plan has been established based on the significant aspect and DOE license compliance schedule which include scheduled waste storage and disposal record, POME final discharge BOD and boiler stack sampling. Current monitoring was through online boiler smoke density and alarm and quarterly boiler	Complied

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		<p>stack monitoring of dust particulate. Other environmental assessment carried out as per Action Plan for Environmental Assessment 2020/2021 established.</p> <p>Sighted monitoring report Isokinetic Stack and Air Emmission Monitoring Report by Alam Hijau Integrasi (M) Sdn Bhd dated 09/06/2020.</p> <p>Sighted Annual Audiograms Report dated 07/02/2020.</p>					
<b>4.5.4.2</b>	<p>An action plan to reduce identified significant pollutants and emissions shall be established and implemented.</p> <p><b>- Major compliance -</b></p>	<p>The mill has conducted assessment of all polluting activities in the Environmental Aspect Impact and Environmental Impact Evaluation. A management plan has been established based on the significant aspect and DOE license compliance schedule which include scheduled waste storage and disposal record, POME final discharge BOD and boiler stack sampling. The plan was reviewed on annual basis. Sighted the sampled if stack sampling conducted as follows:</p>	Complied				
<b>4.5.4.3</b>	<p>Palm oil mill effluent (POME) shall be treated to ensure compliance with standards as stipulated in the relevant Environmental Quality (Prescribed Premises) (Crude Palm Oil) Regulations 1977. POME discharge limits and method should be in accordance with the respective state and national policies and regulations.</p> <p><b>- Major compliance -</b></p>	<p>Treated POME discharge was regularly monitored as prescribed under Compliance Schedule License. Limit of Biochemical Oxygen Demand (BOD) discharge is 5000 mg/l for land application. Regular monitoring was done on monthly basis and every quarterly via Quarterly return form to DOE for compliance by Sime Darby Research Sdn Bhd. Sighted Effluent Analysis Report dated 07/01/2021 EP9/2021.</p> <table border="1" data-bbox="1086 1252 1624 1356"> <tr> <td>Type of Test</td> <td>31/01/2021</td> </tr> <tr> <td>pH Value</td> <td>6.7 @ 29°</td> </tr> </table>	Type of Test	31/01/2021	pH Value	6.7 @ 29°	Complied
Type of Test	31/01/2021						
pH Value	6.7 @ 29°						

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		BOD	3435.00 @ 30°	
		COD	0.00	
		NH3-N	97.00	
		Total N	178.00	
		Oil and Grease	5.00	
		Suspended Soils	19,700	
<b>Criterion 4.5.5:</b> Natural water resources				
<b>4.5.5.1</b>	<p>The management shall establish water management plans to maintain the quality and availability of natural water resources (surface and ground water). The water management plan may include:</p> <ul style="list-style-type: none"> <li>a) Assessment of water usage and sources.</li> <li>b) Monitoring of outgoing water which may have negative impacts into the natural waterways at a frequency that reflects the mill's current activities.</li> <li>c) Ways to optimize water and nutrient usage and reduce wastage (<i>e.g.</i> having in place systems for re-use, night application, maintenance of equipment to reduce leakage, collection of rainwater, etc.).</li> </ul> <p><b>- Major compliance -</b></p>	<p>Sighted Environmental Management Plan Section Water Management Plan for the year 2021. Verified 3 main objective discussed which is Contingency during water shortage, Monitor the usage of treated water in monthly basis and monitor ETP.</p> <ul style="list-style-type: none"> <li>a. Water source from Jabatan Air Selangor (JAS). Mill also maintained monitoring records of water usage by monthly bill.</li> <li>b. Monitoring of water sample has been conducted. Refer report dated 27/01/2021, E103/2021, for sample marking DAM, DG and DS.</li> <li>c. Management has implemented ways to optimize water usage as stated in Water Management Plan 2021.</li> </ul>		Complied

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<b>4.5.5.2</b>	Where open discharge of POME into water course is practiced, mills should undertake to gradually phase it out in accordance to the applicable state or national regulations.  - <b>Major compliance</b> -	Treated POME discharge was regularly monitored as prescribed under Compliance Schedule License no. 003180. Limit of Biochemical Oxygen Demand (BOD) discharge is 5000 mg/l for land application. Regular monitoring was done on monthly basis and every quarterly via Quarterly return form to DOE for compliance Refer Lab report E210206/06A-06C. Sighted record of POME application to the field.	Complied
<b>4.6 Principle 6: Best Practices</b>			
<b>Criterion 4.6.1: Mill Management</b>			
<b>4.6.1.1</b>	Standard operating procedures shall be appropriately documented and consistently implemented and monitored.  - <b>Major compliance</b> -	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 Manual v.1 2008/MQMS/QMM/08 as a guidance document to operate the mill. Sime Darby has established a system to monitor the mill operation. The Mill advisor, Structured Oil Recovery Assessment (SORA) and Planning and Monitoring Unit visited the operating units on timely basis. Their reports cover on all aspect of operation.	Complied
<b>4.6.1.2</b>	All palm oil mills shall implement best practices.  - <b>Major compliance</b> -	The monitoring of the mill process is made through the shift supervision headed by an Engineer. All process parameters are documented and summarized in a daily report. The Mill advisor, Structured Oil Recovery Assessment (SORA) and Planning and Monitoring Unit visited the operating units on timely basis. Their reports cover on all aspect of operation.	Complied
<b>Criterion 4.6.2: Economic and financial viability plan</b>			

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<b>4.6.2.1</b>	A documented business or management plan shall be established to demonstrate attention to economic and financial viability through long-term management planning.  - <b>Major compliance</b> -	Annual business plan in the form of annual budget and the projection for 5 years prepared as guidance for future planning. Sighted the annual budget FY 2021 and business plan FY 2021 – FY 2025 In the 5 years business plan include items as follows: i. Mill intake – FFB input ii. Production of CPO iii. Production of PK iv. Total Palm Oil Extraction v. Total Palm Kernel Extraction vi. Mill cost The business plan for FY2020 contains FFB yield, CPO, OER, and KER, costs of production, milling utilization and etc. It also includes environment, social (workers and staff’s welfare), and health and safety component and associated capital expenditure.	Complied
<b>Criterion 4.6.3: Transparent and fair price dealing</b>			
<b>4.6.3.1</b>	Pricing mechanisms for the products and other services shall be documented and effectively implemented.  - <b>Major compliance</b> -	West POM has received and processed FFB from owned supplying estates and diversion crops from own company’s certified estates only.  Sampled the letter of award (LOA) for services provided as below: i. Company Name: Lotus Two Enterprise for supply contract labour for preventive maintenance, corrective maintenance and projects at KKS West which valid until 31/12/2021. ii. Company Name: SS Naveen Engineering for supply labour for cages repair at KKS West which valid until 31/12/2021. Pricing of the contract was stated in the LOA and acknowledged by the contractors.	Complied
<b>4.6.3.2</b>	All contracts shall be fair, legal and transparent and agreed payments shall be made in timely manner.  - <b>Major compliance</b> -	Payment terms were clearly stated in the invoice issued by the contractors which is 30 days term. Verified the invoice submitted and payment records as below:  i. Tax INV# I-1158 dated 29/12/2020; Payment made on 08/01/2021 with Transaction Ref.: 521744140100982	Complied

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Criterion / Indicator		Assessment Findings	Compliance
		ii. Tax INV# I-1128 dated 30/11/2020; Payment made on 08/12/2020 with Transaction Ref.: 521448290100936 iii. Tax INV# I-1128 dated 30/11/2020; Payment made on 08/12/2020 with Transaction Ref.: 521448290100936 Besides, phone interviewed with contractors also confirmed that payment was made promptly.	
<b>Criterion 4.6.4: Contractor</b>			
<b>4.6.4.1</b>	In case of the engagement of contractors, they shall be made to understand the MSPO requirements and shall provide the required documentation and information.  - <b>Major compliance</b> -	The contractors engaged by the mill management has signed on a letter with subject RSPO/ ISCC/ MSPO/ SCCS dated 26/06/2019.  Briefing of sustainability were given to contractors on 05/02/2020 during stakeholder meeting. Phone interviewed with the contractors confirmed that they were provided with training and have signed on the letter.	Complied
<b>4.6.4.2</b>	The management shall provide evidence of agreed contracts with the contractor.  - <b>Major compliance</b> -	Mill has engaged contractors for varieties of works such as maintenance work. Sampled the letter of award (LOA) for services provided as below:  i. Company Name: Lotus Two Enterprise for supply contract labour for preventive maintenance, corrective maintenance and projects at KKS West which valid until 31/12/2021. ii. Company Name: SS Naveen Engineering for supply labour for cages repair at KKS West which valid until 31/12/2021.	Complied
<b>4.6.4.3</b>	The management shall accept MSPO approved auditors to verify the assessments through a physical inspection, if required.  - <b>Minor compliance</b> -	A letter dated 26/06/2019 on RSPO/ ISCC/ MSPO/ SCCS signed by Mr. Tang Men Kon to all the contractors and suppliers in the mill. The letter has stated that all Contractors need to follow RSPO/ ISCC/ MSPO/ SCCS guideline in accordance with the Sime Darby Plantation of Mill Quality Management System. All contractors shall provide access to the RSPO/ ISCC/ MSPO/ SCCS auditors to	Complied

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Criterion / Indicator	Assessment Findings	Compliance
	contractors' operation site(s) and employees whenever deemed necessary. The contractors have agreed, understood and acknowledged on the letter. Sampled of the letters for Lotus Two Enterprise and SS Naveen Engineering were sighted.	



**Appendix B: List of Stakeholders Contacted**

<p><b>Government Officer:</b>          SJKT Ladang Pulau Carey Barat</p>	<p><b>Community/neighbouring village:</b>          Local communities (Kg. Kepau Laut and Kg. Sg. Bumbun)</p>
<p><b>Suppliers/Contractors/Vendors:</b>          Contractors &amp; Suppliers</p>	<p><b>Worker’s Representative/Gender Committee:</b>          Gender Committee Representatives          Workers</p>

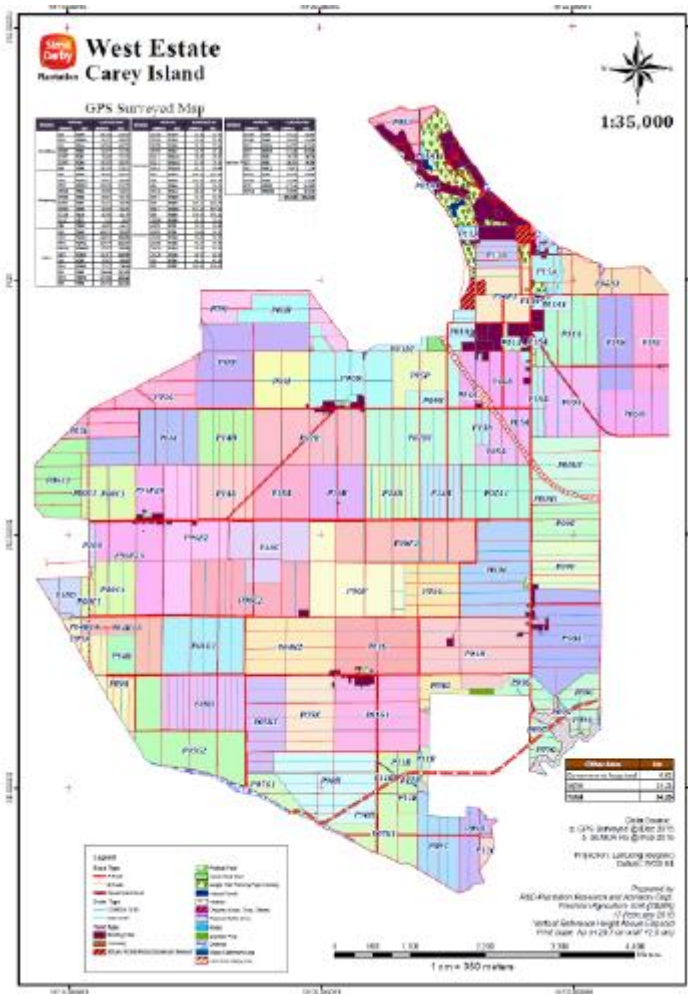
**Appendix C: Smallholder Member Details**

Nil

**Appendix D: Location and Field Map**



**West POM**



**Appendix E: List of Abbreviations**

BOD	Biochemical Oxygen Demand
CB	Certification Bodies
CHRA	Chemical Health Risk Assessment
COD	Chemical Oxygen Demand
CPO	Crude Palm Oil
EFB	Empty Fruit Bunch
EHS	Environmental, Health and Safety
EIA	Environmental Impact Assessment
EMS	Environmental Management System
FFB	Fresh Fruit Bunch
FPIC	Free, Prior, Informed and Consent
GAP	Good Agricultural Practice
GHG	Greenhouse Gas
GMP	Good Manufacturing Practice
GPS	Global Positioning System
HCV	High Conservation Value
IPM	Integrated Pest Management
ISCC	International Sustainable Carbon Certification
LD50	Lethal Dose for 50 sample
MSPO	Malaysian Sustainable Palm Oil
MSDS	Material Safety Data Sheet
MT	Metric Tonnes
OER	Oil Extraction Rate
OSH	Occupational Safety and Health
PK	Palm Kernel
PKO	Palm Kernel Oil
POM	Palm Oil Mill
POME	Palm Oil Mill Effluent
PPE	Personal Protective Equipment
RTE	Rare, Threatened or Endangered species
SEIA	Social & Environmental Impact Assessment
SIA	Social Impact Assessment
SOP	Standard Operating Procedure