

RSPO – 4th ANNUAL SURVEILLANCE ASSESSMENT

Sime Darby Plantation Sdn. Bhd.
Head Office: Level 3A, Main Block, Plantation Tower, No 2 Jalan P.J.U 1A/7 47301 Ara Damansara, Selangor, Malaysia.
Certification Unit: KKS Bukit Kerayong, Bukit Kerayong Road, 42200 Kapar, Klang, Selangor Darul Ehsan.

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Section 1 Scope of the Annual Surveillance Assessment

1. Company Details			
RSPO Membership Number	1-0008-04-000-00	Date	Member since 6 September 2004
Company Name	Sime Darby Plantation Sdn Bhd		
Address	Certification Unit: KKS Bukit Kerayong, Bukit Kerayong Road, 42200 Kapar, Klang, Selangor Darul Ehsan.		
Subsidiary of (if applicable)	N/A		
Contact Name	Tn Hj Anuar Zakaria (Bukit Kerayong Palm Oil Mill Manager)		
Website	www.simedarby.com	E-mail	kks.bk.kerayong@simedarby.com
Telephone	013-2086959	Facsimile	

2. RSPO Certification Information			
Certificate Number	SPO 550181	Date	15 November 2011
Scope of Certification	Bukit Kerayong Palm Oil Mill Bukit Kerayong Estate Elmina Estate Bukit Cheraka Estate		
Other Certifications			
Certificate Number	Standard(s)	Certificate Issued by	Expiry Date
AC 3985	5S	MPC (Malaysian Productivity Council)	22 December 2014

3. Location(s) of Mill & Supply Bases			
Name (Mill / Supply Base)	Location [Map Reference #]	GPS	
		Easting	Northing
Bukit Kerayong Palm Oil Mill	KKS Bukit Kerayong, Jalan Bukit Kerayong, 42200, Kapar, Klang, Selangor	101.37'36.71"	3.18'67.19"
Bukit Cheraka Estate	Bukit Cheraka Estate, P.O Box 202, 45809, Jeram, Kuala Selangor	101°36'57.91"	3°22'74.19"
Elmina Estate	Elmina Estate, 47000, Sg.Buloh, Selangor	101.50'21.28"	3.20'28.62"
Bukit Kerayong Estate	Bukit Kerayong Estate, P.O. Box 204, 42200, Kapar, Selangor.	101°22'36.66"	3°11'24.58"

4. Description of Supply Base						
Estate	Mature (ha)	Immature (ha)	Infrastructure & Other (ha)	Total Planted (ha)	Total Hectarage	% of Planted
Bukit Kerayong Estate	2,196.15	601.61	315.49	2,797.76	3,113.25	100
Elmina Estate	1,957.26	112.60	520.83	1,957.26	2,478.08	80
Bkt. Cheraka Estate	3,089.62	396.78	178.38	3,486.0	3,664.78	95.12

* Elmina Estate : Reduction of planted area due to property development

5. Plantings & Cycle								
Estate	Age (Years)					Tonnage / Year		
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30	Estimated (Previous Year)	Actual (This Year)	Forecast (Next Year)
Bukit Kerayong Estate	678.59	1436.81	260.73	279.69	141.94	61,103.97	47,159.62	64,348.48
Elmina Estate	112.60	594.31	329.93	432.53	487.89	36,036.83	9,563.77	39,313.65
Bkt. Cheraka Estate	396.78	916.43	1601.59	132.00	142.95	73,847.26	70,411.61	71,999.19
TOTAL	1187.97	2947.55	2192.25	844.22	772.78	170988.06	127,135	175661.32

6. Certified Tonnage									
Mill	Estimated (Previous Year Jan 2013 – Dec 2013)			Actual (This Year Jan 2014 – Dec 2014)			Forecast (Next Year Jan 2015 – Dec 2015)		
	FFB	CPO	PK	FFB	CPO	PK	FFB	CPO	PK
Bukit Kerayong Palm Oil Mill	170,988	35,907	8,549	127,135	25,222	6265	175,661	36,898	8,783

Section 2 Assessment Process

Certification Body: PT BSI Group Indonesia, Menara Bidakara 2, 17th Floor, Unit 5, Jalan Jend. Gatot, Subroto Kav 71-73, Pancoran, 12870 Jakarta Selatan, Indonesia. Tel +62 8379 3174 Fax +62 8379 3287 Aryo Gustomo: aryo.gustomo@bsigroup.com www.bsigroup.com

Assessment Methodology, Programme, Site Visits

BSi has conducted the Fourth Annual Assessment (ASA 4) of Sime Darby Plantation Sdn Bhd, Bukit Kerayong Certification Unit (SOU7) located in Jeram, Selangor, Malaysia comprising one mill, three company owned estates, support services and infrastructure. BSi concludes that Bukit Kerayong Palm Oil Mill and three supply base estates comply with the RSPO requirements [RSPO P&C Generic 2014; RSPO Certification System June 2007 (revised March 2011) including Annex 4: Procedures for Annual Surveillance Assessment; and Supply Chain Certification Standard: November 2014, Module D – CPO Mills:Identity Preserved]

The approach to the audit was to treat each mill and its supply base as an RSPO Certification Unit. The mill was audited together with the plantations of its supply base. A range of environmental and social factors were covered.

These included consideration of topography, palm age, proximity to areas with HCVs, declared conservation areas and local communities.

The methodology for collection of objective evidence included physical site inspections, observation of tasks and processes, interviews of staff, workers and their families, review of documentation and monitoring data. Checklists and questionnaires were used to guide the collection of information. The comments made by external stakeholders were also taken into account in the assessment.

The Nonconformities that were assigned during this Fourth Annual Surveillance Assessment will be followed up on the effectiveness of corrective actions taken in the next audit.

This summary report is structured to provide detail of the assessment. The assessment was based on random samples and therefore nonconformities may exist that have not been identified.

This report was reviewed by Senniah Appalasamy, the Scheme Manager prior to certification decision.

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

1.Assessment Program					
Name (Mill / Supply Base)	Year 1 (2011)	Year 2 (2012)	Year 3 (2013)	Year 4 (2015)	Year 5 (2016)
Bukit Kerayong Palm Oil Mill	√	√	√	√	√
Bukit Kerayong Estate		√		√	√
Bukit Cheraka Estate	√		√		√
Elmina Estate		√		√	

Tentative Date of Next Visit: January 2016

Total No. of Mandays: 10.5**BSI Assessment Team:****Mohamed Hidhir Bin Zainal Abidin – Lead Assessor**

He holds Bachelor Degree in Chemical Engineering, graduated from National University of Malaysia on 2006. He has 7 years working experience in palm oil industry specifically on palm oil milling for 5 years. He also has the experiences as auditor for several standards including ISO 9001, ISO 140001, OHSAS 18001, MSPO and RSPO in his previous certification body. He completed the ISO 9001 Lead Auditor Course, ISO 14001 Lead Auditor Course and OHSAS 18001 Lead Auditor Course in 2012, Endorsed RSPO P&C Lead Auditor Course in 2013, MSPO Awareness Training in 2014 and Endorsed RSPO SCCS Lead Auditor Course in 2015. He had been involved in RSPO auditing since May 2012 in more than various companies in Malaysia. During this assessment, he assessed on the aspects of legal, mill best practices, safety and health, environmental and workers and stakeholders consultation.

Muhammad Haris B. Abdullah – Team member

He graduated from the Open University Malaysia with a Bachelor of Business Administration (Hons) Majored in Human Resource Development and completed his Master's Degree in Business Administration from the University Utara Malaysia in January 2014. He has more than 3 years working experience in oil palm plantation and conducting social impact assessments of agriculture, agriculture best practices, and environmental impact assessment and workers welfare. He completed the RSPO Lead Auditor Training in April 2013 and passed the course. He is also passed the ISO 14001 Lead Auditor Training, OHSAS 18001 Lead Auditor Training Course and qualified as EICC auditor. He has completed International Sustainable, Carbon Certification (ISCC) Lead Auditor Training Courses and Social Auditing Training by RSPO at Bangkok. He had assisted with conducting audits of oil palm plantation for more than 7 companies against the RSPO P&C in Indonesia and in Malaysia for the past 4 years. During this assessment, he assessed on the aspect of environment, Safety and Health, Legal, Social and community engagements, Stakeholders consultation, and workers welfare. He is able to speak and understand Bahasa Malaysia, English, Tamil and Bahasa Indonesia.

Kelvin Lim Kok Wei – Team member

Kelvin Lim Kok Wei is a fulltime employee with BSI Services Malaysia. He graduated from University Tunku Abdul Rahman, Malaysia. He attended internal RSPO training in May 2014. He has completed ISO 9001:2008 Quality Management System Lead Auditor training in February 2014 and MSPO training on 14 March 2014. Currently he is an ISO 9001:2008 and Medical Device auditor with BSI. He has involved in MSPO audits since May 2014 covering legal and social aspects. Recently he is involved as Social Auditor during the RSPO Assessment to assess the social aspects and legal issues.

Accompanying Persons: Not Applicable

Section 3 Assessment Findings

3.1 Details of audit results are provided in the following Appendix:

- Sime Darby Time Bound Plan – Appendix B
- RSPO Group Certification Standard 2010 Checklist
- RSPO Independent smallholders INA-SWG 2010 Checklist
- RSPO P&C for Smallholders TH-WG 2012 Checklist
- RSPO P&C GN-NIWG 2010 Checklist
- RSPO P&C INA-NIWG 2008 Checklist
- RSPO P&C PNG-NIWG 2008 Checklist
- RSPO P&C SI-NIWG 2010 Checklist
- RSPO P&C TH-WG 2011 Checklist
- RSPO Scheme Smallholders INA-SWG 2009 Checklist
- RSPO Smallholders Guidance MY-NIWG 2010 Checklist
- RSPO Supply Chain Certification Checklist
- RSPO P&C GENERIC-2013 Checklist – Appendix A

3.2 Progress against Time Bound Plan

Sime Darby Time Bound Plan (TBP) is included as Appendix B. Sime Darby has achieved RSPO certification for 34 management units in Malaysia and 24 Management Units in Indonesia. There are no any changes in the existing certified units in Malaysia. All units' certifications are valid.

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

Due to the present mediation process, PT Mitra Austral Sejahtera TBP was revised to 2015 by Sime Darby pending on the resolution and mediation process which is acknowledged by RSPO. The final decision of issuing the certificate is under the CB that audited the PT MAS. BSI has contacted the CB and consultation was held. The CB that audited PT MAS accepted the revision of the TBP. BSI accepted the feedback from the CB that audited PT MAS as per the RSPO Certification System requirement "Where the Certification Body conducting the surveillance audit is different from that which first accepted the time-bound plan, the later Certification Body shall accept the appropriateness of the time-bound plan at the moment of first acceptance and shall only check continued appropriateness". BSI understands that there are community issue still under negotiation through agreed process. The improvement is in progress and acknowledge by RSPO and all parties as mutually agreed process. Latest meeting among the community, RSPO and the Sime Darby was held on 22 July 2014. BSI has consider that Sime Darby still comply with the RSPO requirement for partial certification and has justified the revision to TBP.

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BSI has continued involvement with assessments of Sime Darby Management Units during the 2014 period. BSI is also communicating with other Certification Bodies that auditing Sime Darby's other operating units to identify any noncompliance with rules of partial certification as per requirement in RSPO Certification System. During this assessment BSI has contacted the certification body that audited PT MAS to get the latest update of the progress. Sime Darby consistently has kept BSI informed of any emerging issues and claims made against it. Other than the PT MAS issue, at the time of preparation of this Report, BSI is not aware of any new issues involving:

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

BSI considers that Sime Darby complies with the RSPO requirements for Partial Certification rules.

3.3 Details of findings

The nonconformity is listed below. The detail of findings by criteria is listed in Appendix A.

During the 4th annual surveillance assessment there were 1 major and 2 minor nonconformity raised. Bukit Kerayong Palm Oil Mill and Supply Base Estates 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.

Non-Conformity		
NCR #	Description	Category (Major/Minor)
1147372M1	<p>Requirements</p> <p>1. Indicator 2.1.1 : Evidence of compliance with relevant legal requirements shall be available.</p> <p>2. Environmental Quality Act 1974 (Schedule wastes) Regulations 2005. Pesticide (Highly Toxic Pesticide) Regulations 1996</p> <p>Evidence of Nonconformity</p> <p>Bukit Kerayong estate:</p> <p>1.) Visit to the schedule waste store and document review on 21/1/15 found that the schedule waste management does not compliance with the EQA 1974 (Schedule Wastes) Regulation 2005. The details as below:</p> <p>a.) Records show that last disposal was done on 25/1/2014. However, the Consignment Note for the disposal was not available.</p> <p>b.)5th Schedule for inventory was not available.</p> <p>c.) No approval from DOE to transfer Schedule Waste from divisions to centralized schedule waste store at Jalan Acob division.</p> <p>d.) Labelling of Schedule Waste was not in accordance to 3rd Schedule.</p> <p>2.) Document review found that class I pesticide (Multiphos) have been used on 12/1/15 at block 02B. However, Form I,II and III for highly toxic pesticide usage was not available as required by the Pesticide (Highly Toxic Pesticide) Regulation 1994.</p> <p>Bukit Kerayong POM</p> <p>a.) The updated 5th Schedule was not made available. Last updated 5th schedule was on April 2014.</p> <p>b.) Signed copy of 6th schedule was not made available for disposal made by Tensidchem Sdn Bhd on 22/11/2014</p> <p>c.) 7th schedule was not available for the all schedule waste generated (SW305, SW322, SW409, SW 410)</p> <p>Statement of Nonconformity</p> <p>Compliance to legal requirement was not consistently implemented.</p> <p>Action</p> <p>Respective operating unit has implemented the correction and corrective action plan. Evidence submitted was found sufficient to close the major NC.</p> <p>Bukit Kerayong Estate and Mill</p> <p>i) Records of disposal dated 21/1/15 and received by Tex Cycle on the same date.</p> <p>ii)5th schedule as updated using E-CN system (inventory num 168008, as at 21/2/2015 by submitted by Estate Assistant.</p> <p>iii)Minute of meeting dated 6/3/2015 was verified. Decision for divisional disposal of schedule waste</p> <p>iv)Labelling sample of SW container was verified for SW 305.</p> <p>v) Schedule waste training was conducted on 30/1/15 by Puan Sharifah form PSQM-ESH Department for all OU. Verified attendance list from respective OU.</p> <p>vi)Form I,II &III was filled in for February & March application and training for trunk injector was conducted on 17/2/15.</p> <p>vii)5th schedule was updated, signed copy of 6th schedule and waste card</p> <p>Status</p> <p>The NC was closed out on 22/1/15</p>	Major

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Non-Conformity		
NCR #	Description	Category (Major/Minor)
1147372N1	<p>Requirements Indicator 6.5.3: Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible.</p>	Minor
	<p>Evidence of Nonconformity Bukit Kerayong estate: During the audit visit, 8 new Nepalese workers has been placed in community hall as the temporary housing facilities for more than a month where was not suitable as a housing facility and was not meeting the minimum national standard. Elmina estate: The 2 catchment pond which was used as water source for drinking water treatment plant was found not in satisfactory condition and this was also commented by Ministry of health department officer during the visit on 24/4/14 and 3/12/14 that requested the 2 ponds to be clean.</p>	
	<p>Statement of Nonconformity Bukit Kerayong estate: The housing provided was not according to the national standard. Elmina estate: The condition of the water catchment pond that used as water source for drinking water treatment plant was not in satisfactory condition.</p>	

Non-Conformity		
NCR #	Description	Category (Major/Minor)
1147372N2	<p>Requirements Indicator 5.3.3: A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented.</p>	Minor
	<p>Evidence of Nonconformity Bukit Kerayong estate (Sg. Kapar Div): Visit to the agrochemical mixing area and empty agrochemical container triple rinsing area found that the waste water was directly drained into the nearest monsoon drain without any sump.</p>	
	<p>Statement of Nonconformity Pollution prevention plan implementation was not effective.</p>	

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Positive Findings	
PF #	Description
1	Introduction of new harvesting mechanism, CANTAS developed by MPOB to increase harvesting efficiency and safety.
2	Continuous rehabilitation of old quarters and replacement of staff and workers quarters for FY14/15. For example RM 550,000 allocated for 5 unit of staff quarters and RM660,000 for 30 units of workers quarters At Bukit Kerayong Estate
3	Safety awareness and campaign was organized through “Townhall Meeting” with internal and external stakeholder.

Issues raised by Stakeholders	
IS #	Description
1	Issues Foreign workers representative: No issue regarding pay and condition of work. The representative highlighted that they are treated equally. All foreign workers have access to all facilities similar to local workers.
	Management Responses The management treat all employees equally and no discrimination.
	Audit Team Findings No disputes were highlighted by foreign workers interviewed during field visit.
2	Issues Contractors: Contractors confirm payment is prompt as per agreed contract.
	Management Responses Payment is made as per the agreed terms.
	Audit Team Findings No other issues.
3	Issues School teacher : It was re-confirmed that the management always support school activities. The relationship is good. No other issues.
	Management Responses Management assist wherever possible.
	Audit Team Findings No other issues.
4	Issues Workers union secretary: No pending disputes or any wage issues. Company follow the NUPW/MAPA

agreement and minimum wage requirement.
Management Responses Management always encourage union representative and workers to meet them to resolve any issue immediately and open for discussion.
Audit Team Findings No disputes were raised by workers interview with them which indicate that the freedom to join union and procedure to voice out grievances is implanted.

3.3.1 Status of Nonconformities Previously Identified and Observations

Non-Conformity		
NCR #	Description	Category (Major/Minor)
1021303N3	Requirements Indicator 6.2.3: Maintenance of a list of stakeholders, records of all communication and records of actions taken in response to input from stakeholders	Minor
	Evidence of Nonconformity Bukit Kerayong Mill: Document audit at Bukit Kerayong POM revealed that the stakeholder meeting involving the affected parties such contractors, local communities, government agencies is yet to be conducted for the Year 2014. Bukit Cerakah Estate: The stakeholder list in Bukit Cerakah Estate updated on 18/02/2014 however did not include two parties, Smart Road System Sdn Bhd and AJK Taman Permai who was invited for the consultation on 19/02/2014.	
	Statement of Nonconformity Bukit Kerayong Mill: Stakeholder consultation for Bukit Kerayong POM yet to be conducted. Bukit Cerakah Estate: Stakeholder list is not well updated.	
	Action Taken Bukit Kerayong POM: The meeting was conducted on 4/9/14 attended by 22 stakeholders including contractors, local communities and government agencies. Bukit Cerakah Estate: The stakeholder list has been updated on July 2014. Smart Road System Sdn Bhd and AJK Taman Permai has been included in the list The minor NC was closed out 20/1/15.	

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Observation	
OBS #	Description
1	4.7.1 Elmina Estate: The water treatment area is fenced, but the fencing is too low and easily can be trespass. Action taken: Budget for the new fencing and WTP rehabilitation have been included in the FY15/16 CAPEX. The progress will be verified in the next audit.

Observation	
OBS #	Description
2	6.3.2 Bukit Kerayong Mill & Bukit Cheraka Estate – Free cooking oil and rice provided by company as an extra benefit. There is a delay in providing the oil and rice to workers as per normal schedule of two months interval. Action taken: Based on the interview with workers, there was no delay in providing the oil and rice to the workers.

Observation	
OBS #	Description
3	Bukit Kerayong Mill: Awareness of gender policy and complaint procedure can be part of gender committee’s meeting agenda. Action taken: Agenda for the latest gender committee meeting dated 19/1/15 for Bukit Kerayong Estate and Mill have included the awareness of gender policy and compliant mechanism for the committee member.

3.3.2 Summary of Non-Conformities and Status



CAR Ref.	CLASS	ISSUED	STATUS
CR01	Major 1.2.5	IAV 31/07/2009	Closed on 20/09//2010
CR02	Major 2.1.1	IAV 31/07/2009	Closed on 03/01/2011
CR03	Major 4.7.1	IAV 31/07/2009	Closed on 03/01/2011
CR04	Major 5.5.1	IAV 31/07/2009	Closed 20/09/2010
CR05	Minor 2.1.3	IAV 31/07/2009	Closed 20/09/2010
CR06	Minor 4.4.6	IAV 31/07/2009	Closed 20/09/2010
CR07	Minor 4.4.7	IAV 31/07/2009	Closed 20/09/2010
CR08	Minor 4.5.4	IAV 31/07/2009	Closed 20/0/2010
CR09	Minor 5.3.2	IAV 31/07/2009	Closed 20/09/2010

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CR10	Minor 5.4.2	IAV 31/07/2009	Closed 20/09/2010
CR11	Minor 5.5.3	IAV 31/07/2009	Closed 14/04/2010
CR12	Major 4.6.3	ASA1 14/04/2012	Closed 31/05/2012
CR13	Minor 5.2.3	ASA1 14/04/2012	Closed 22/02/2013
CR14	Minor 6.1.3	ASA1 14/04/2012	Closed 22/02/2012
A848470/1 (465344-1M)	Major 4.6.5	ASA2 22/02/2013	Closed 05/04/2013
A848470/2 (465344-2M)	Major 4.7.1	ASA2 22/02/2013	Closed 05/04/2013
A848470/3 (465344-3M)	Major 4.8.1	ASA2 22/02/2013	Closed 05/04/2013
A848470/4 (465344-4M)	Major SCCS D.6	ASA2 22/02/2013	Closed 05/04/2013
A848470/1 (465344-1)	Minor 5.3.2	ASA2 22/02/2013	Closed 19/02/2014
A848470/2 (465344-2)	Minor 6.5.2	ASA2 22/02/2013	Closed 19/02/2014
1021303N3	Minor 6.2.3	ASA3 21/02/2014	Closed 20/1/2015
1147372M1	Major 2.1.1	ASA4 23/1/2014	Closed 22/3/2015
1147372N1	Minor 6.5.3	ASA4 23/1/2014	"Open"
1147372N2	Minor 5.3.3	ASA4 23/1/2014	"Open"

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Acknowledgement of Assessment Findings by Bukit Kerayong Certification Unit	Report Prepared by BSI
Name: Tn Hj Anuar Bin Zakaria	Name: Mohamed Hidhir Bin Zainal Abidin
Company name: Sime Darby Plantation Sdn. Bhd. Bukit Kerayong Palm Oil Mill	Company name: BSI Services Malaysia Sdn. Bhd.
Title: Mill Manager	Title: Lead Auditor
Signature:  <small>SIME DARBY PLANTATION SDN BHD 33 KELAPA SAWIT KERAYONG (647766-V) ANUAR BIN ZAKARIA MILL MANAGER</small>	Signature: 

Appendix A: Summary of Findings

Criterion / Indicator	Assessment Findings	Compliance	
Principle 1: Commitment to Transparency			
Criterion 1.1:			
Growers and millers provide adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages and forms to allow for effective participation in decision making.			
1.1.1	There shall be evidence that growers and millers provide adequate information on (environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making. - Minor compliance -	Adequate information covering on environmental, social and legal issues which are relevant to RSPO Criteria and relevant to stakeholders is shared for effective participation and decision making. Requests for information from the Regulatory Department such as DOSH visiting log book and OHD report via JKPP 7 were attended accordingly.	Comply
1.1.2	Records of requests for information and responses shall be maintained. -Major compliance	All operating units maintain records of information request and response. For example, school has requested donation for school activity on 1/11/14 (Ref. No.: SRAPK.KLG 07/004/03(12)) and replied by the management on the same day.	Comply
Criterion 1.2:			
Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.			

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

1.3.1	<p>There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions, which shall be documented and communicated to all levels of the workforce and operations.</p> <p>-Minor compliance</p>	<p>Sime Darby plantation has established policy on code of ethical conduct and integrity which covers all operations in the plantation operation. Policy displayed on the notice board and communicated to employees. Interview with employees reveal that they are aware of the policy.</p>	Complied
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Principle 2: Compliance with applicable laws and regulations

Criterion / Indicator	Assessment Findings	Compliance
<p>Criterion 2.1: There is compliance with all applicable local, national and ratified international laws and regulations.</p>		

<p>2.1.1</p>	<p>Evidence of compliance with relevant legal requirements shall be available. - Major compliance -</p>	<p>SOU 7 had continued to comply with legal requirements as per indicator. Compliance to each applicable law and regulation is monitored by the operating units and PSQM sustainability team. SOU 7 had obtained and renewed license and permits as required by the law. Sample of licenses or permit viewed were :</p> <p><u>Bukit Kerayong Palm Oil Mill</u></p> <ul style="list-style-type: none"> a) DOE Licence/ <i>Jadual Pematuhan</i> : JPKKS/14/003124 (validity period 1/7/14 - 30/6/2015) for 30 MT/hr and method of POME discharge on land application for 5000 mg/l BOD limit b) Licenses for Steam Boiler (SB)(PMD1628 & PMD-SL 13488), unfired pressure vessel (UPV) (sterilizers PMT-SL 126834, back pressure receiver, steam separator, air receiver and found to be valid until 5/2/15. Last DOSH mill inspection was conducted on 6th November 2013. c) License for electricity generation from Electrical Commission (00117755) validity period (23/5/14 to 22/5/15) d) Electrical Charge man license – A4 & A0 registration number (PJ-T-4-B-1382-2000 & Pj-T-1-B-0153-2002), recently renewed, refer to ST(TKL)647766V/KPAR/0001 dated 23/12/14. Competent person licenses valid until 6/1/14 e) Confined space competence person license – AESP (NW-HQ-AE-R-6286-L) valid until 22/12/2015 f) Competent Person for ETP – CePPOME (Certified Professional in Palm Oil Mill Effluent), Mohd Hafiz Kamaruddin, EiMAS training on 2/1/2014. g) Competent Person for Scheduled Waste – CePSWaM (Certified Professional in Scheduled Waste Management), Mohd Isa Bin Hashim, EiMAS training on 29/9/2014 <p>For Bukit Kerayong POM, there were some issue on Scheduled waste management with regards to inventory updating, consignment notes and waste card information.</p> <p><u>Bukit Kerayong Estate</u> At Bukit Kerayong estate, it was noted that schedule waste were last disposed on 25/1/14 and the consignment note for disposal was not available. Furthermore, the fifth schedule for inventory is also not in use. The estates also transport the schedule waste from division stores to centralized store without DOE approval. All the above are non-compliance to DOE schedule waste regulation 2005.</p> <p>In addition, on the handling of Highly Toxic Pesticides (Methamidophos) it was found that class I pesticide (Multiphos) have been used on 12/1/15 at block 02B. However, Form I,II and III for highly toxic pesticide usage was not available as required by the Pesticide (Highly Toxic Pesticide) Regulation 1994.</p> <p>Thus, under the said indicator Major NC was issued for the above issues. Refer to NC 1147372M1.</p>	<p>Major Non-Compliance</p>
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2.1.2	<p>A documented system, which includes written information on legal requirements, shall be maintained.</p> <p>- Minor compliance -</p>	<p>All operating units maintain documented system for identifying, evaluating, reviewing and updating applicable regulations and other requirements. The list of applicable legal and other requirement was made available during the assessment. The list covers legal requirements such as :</p> <ul style="list-style-type: none"> a) Factories and Machinery Act 1967 (Notification, Certificate of Fitness and Inspection Regulation 1970, Steam Boiler & Unfired Pressure Vessel Regulation 1970, Safety Health and Welfare 1970, Noise Exposure Regulation 1989, Person In Charge Regulation 1970 etc. b) Occupational Safety and Health Act 1994 (NADOOPOD Regulation 2004, Safety Health Committee Regulation 1996, USECHH Regulation 2004) etc. c) Industrial Code Of Practice for Confined Space 2010 d) Environment Quality Act 1974 (Prescribed Premise (CPO) Regulations 1977, Clean Air Regulation 1978, Scheduled Waste Regulation 2005 etc. e) Fire Services (Fire Service Act 1984 & Fire Certificate Regulation 2001) f) Housing and Amenities (Worker’s Minimum Standard of Housing and Amenities Act 1990) g) Labour, EPF and SOCSO (Employment Act 1955, Employee Provident Fund Act 1991, Employees Social Security Act 1969, Minimum Wages Order 2012, h) Electric Supply Act 1990 – Electricity Regulation 1994 	Complied
2.1.3	<p>A mechanism for ensuring compliance shall be implemented.</p> <p>- Minor compliance -</p>	<p>Evaluation of legal requirements and compliance status with legal requirement is monitored by operating units, PSQM team, OHS Department and head office Group Compliance Department (GCAD).</p>	Complied
2.1.4	<p>A system for tracking any changes in the law shall be implemented.</p> <p>- Minor compliance -</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.</p>	Complied
<p>Criterion 2.2: The right to use the land is demonstrated, and is not legitimately contested by local people who can demonstrate that they have legal, customary or user rights.</p>			
2.2.1	<p>Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available.</p> <p>- Major compliance -</p>	<p>SOU 7 was developed on freehold land titles and a copy of each is held on site. Bukit Kerayong Estate (bkt kerayong division) holds 21 titles i.e., Grant No. 44851 for lot 8, grant no. 52712 for lot 2894, Elmina Estate consist of 11 land titles i.e. 9452 lot 364, 31447 lot 368, 27405 lot 1505, 28045 lot 1242 etc. There was reduce in the hectarage of Elmina estate which was due to some land has been convert to housing project by Sime Darby Property. The terms stated in the land title is for agriculture and the operations are consistent with the permit conditions.</p>	Complied

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2.2.2	Legal boundaries shall be clearly demarcated and visibly maintained. - Minor compliance -	During the field visit it was noted that legal boundaries are clearly demarcated and visibly maintained throughout the estate.	Complied
2.2.3	Where there are or have been disputes, additional proof of legal acquisition of title and evidence that fair compensation has been made to previous owners and occupants shall be available, and that these have been accepted with free, prior and informed consent (FPIC). - Minor compliance -	There is no land dispute in the SOU7 at the time of audit. The land belongs to Sime Darby and land ownership documents verified.	Complied
2.2.4	There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved. -Major compliance	There is no land dispute in the SOU7 at the time of audit. The land belongs to Sime Darby and land ownership documents verified.	Complied
2.2.5	For any conflict or dispute over the land, the extent of the disputed area shall be mapped out in a participatory way with involvement of affected parties (including neighbouring communities where applicable). -Minor compliance	There is no land dispute in the SOU7 at the time of audit. The land belongs to Sime Darby and land ownership documents verified.	Complied

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Criterion / Indicator		Assessment Findings	Compliance
2.2.6	To avoid escalation of conflict, there shall be no evidence that palm oil operations have instigated violence in maintaining peace and order in their current and planned operations. -Major compliance	There was no land conflict occur in SOU7 since the last visit. In addition, policy for prohibition uses of extra-judicial intimidation and harassment was in process of being documented and communicated to all levels of workforce in all operation units. This to be followed up on the next visit as this was the new requirement of the P&C 2013.	Complied
Criterion 2.3: Use of the land for oil palm does not diminish the legal rights, customary or user right of other users without their free, prior and informed consent.			
2.3.1	Maps of an appropriate scale showing the extent of recognized legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighbouring communities where applicable, and relevant authorities).. - Major compliance -	The estate lands are legally owned by the company. The existing estates are not encumbered by any customary land rights. Interview with the surrounding communities and stakeholders confirm no disputes.	Complied
2.3.2	Copies of negotiated agreements detailing the process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and shall include: a) Evidence that a plan has been developed through consultation and discussion with all affected groups in the communities, and that information has been provided to all affected groups, including information on the steps that shall be taken to involve them in decision making; b) Evidence that the company has respected communities’ decisions to give or withhold their consent to the operation at the time that this decision was taken; c) Evidence that the legal, economic, environmental and social implications for permitting operations on their land have been understood and accepted by affected communities, including the implications for the legal status of their land at the expiry of the company’s title, concession or lease on the land. - Minor compliance -	The estate lands are legally owned by the company and no other users were identified within the land area.	Complied
2.3.3	All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements. -Minor compliance	The estate lands are legally owned by the company and no other users were identified within the land area.	Complied
2.3.4	Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel. -Major compliance	The estate lands are legally owned by the company and no other users were identified within the land area.	Complied

Principle 3: Commitment to long-term economic and financial viability

Criterion / Indicator		Assessment Findings	Compliance
Criterion 3.1:			
There is an implemented management plan that aims to achieve long-term economic and financial viability.			
3.1.1	A business or management plan (minimum three years) shall be documented that includes, where appropriate, a business case for scheme smallholders. - Major compliance -	SOU7 had an annual budget for the financial year 2014/2015. The palm oil mill budget includes the projected FFB processed, CPO and PK production which projected for five years	Complied
3.1.2	An annual replanting programme projected for a minimum of five years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review, shall be available. - Minor compliance -	Estates have long range replanting programme for 5 year from 2015-2020 and reviewed yearly. The last review was done on July 2014. For example, 273.55 ha will be replanted in 2015/16 financial year at Bukit Kerayong estate. There will be no replanting has been planned for the current 2014/15 financial year.	Complied

Principle 4: Use of appropriate best practices by growers and millers

Criterion 4.1:			
Operating procedures are appropriately documented, consistently implemented and monitored.			
4.1.1	Standard Operating Procedures (SOPs) for estates and mills are documented - Major compliance -	SOP available for the Palm Oil Mill and the Estates. Palm Mill holds two SOPs: Sustainability Plantation Management System (MQMS/SOM/08 v.1 dated 1/11/2008) includes mill SOP and Mill Quality Management Manual v.1 2008/MQMS/QMM/08 as a guidance document to operate the mill. Estates have a separate SOP (Sime Darby SOP issued 2/1/2008 and Agricultural reference Manual) covers land preparation, planting material, upkeep, harvesting, transport etc.	Complied
4.1.2	A mechanism to check consistent implementation of procedures shall be in place. - Minor compliance -	External Mill Advisor and a Planting Advisor inspect and report on the operations on annual basis. The on-site managers develop Action Plans from the Advisory Reports for improvement of the operations. Review of Advisory Reports, Action Plans and site inspections confirmed consistent records of implementation of SOPs. During mill visit it was noted that that operating parameters were consistently recorded by the operators.	Complied
4.1.3	Records of monitoring and any actions taken shall be maintained and available, as appropriate. - Minor compliance -	The records of monitoring and the actions taken maintained for more than 12 months. Records were verified during the document review found compliance.	Complied
4.1.4	The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB). - Major compliance -	No third party FFB purchased by the mill.	Complied
Criterion 4.2:			
Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.			
4.2.1	There shall be evidence that good agriculture practices, as contained in Standard Operating Procedures (SOPs), are followed to manage soil fertility to a level that ensures optimal and sustained yield, where possible. - Minor compliance -	Good agriculture practices which follows the group agriculture manual contains Standard Operating Procedures to ensure soil fertility is managed to a level that ensures optimal and sustained yield	Complied

Criterion / Indicator		Assessment Findings	Compliance
4.2.2	Records of fertiliser inputs shall be maintained. - Minor compliance -	The soil series of the estates mostly are Serdang and Collivium. Agronomist visited the estate on 14/10/2014 and given fertilizer recommendations for 2015.	Complied
4.2.3	There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status. - Minor compliance -	Sime Darby's Agronomy Section of Research and Development (R&D) Department carries out annual leaf sampling to monitor nutrient status on the palms. Soil analysis is carried out on 5 years interval. Sample of the record verified for the latest leaf sampling, analysis and monitoring that conducted on 4/8/14 was verified in at the Elmina estate.	Complied
4.2.4	A nutrient recycling strategy shall be in place, and may include use of Empty Fruit Bunches (EFB), Palm Oil Mill Effluent (POME), and palm residues after replanting. - Minor compliance -	EFB is being applied at the field at the rate of 35Mt/ha. For example, Elmina estate has applied EFB at field OP 94B, 02D and 11A89 in November to December 2014.	Complied
Criterion 4.3: Practices minimise and control erosion and degradation of soils.			
4.3.1	Maps of any fragile soils shall be available. - Major compliance -	All the estates hold copies of soil map. Soil maps and field visit confirm that there is no fragile soil on the estates. The soil series mostly are Serdang and Collivium.	Complied
4.3.2	A management strategy shall be in place for plantings on slopes above a certain limit (this needs to be soil and climate specific). - Minor compliance -	Planting terraces had been constructed where slope >10°. Fields are established with cover crops such as muccuna and soft grasses and ferns.	Complied
4.3.3	A road maintenance programme shall be in place. - Minor compliance -	Road maintenance programme for 2014/15 is available. Sample records shows road grading work has been completed at field No. P09C and P92C at Bukit Kerayong Estate	Complied
4.3.4	Subsidence of peat soils shall be minimised and monitored. A documented water and ground cover management programme shall be in place. - Minor compliance -	There is no peat soil or soil categorised as problematic or fragile soil at all estates visited.	Complied
4.3.5	Drainability assessments shall be required prior to replanting on peat to determine the long-term viability of the necessary drainage for oil palm growing. - Minor compliance -	There is no peat soil.	Complied
4.3.6	A management strategy shall be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils). - Minor compliance -	There is no peat soil or soil categorised as problematic or fragile soil at all estates visited.	Complied
Criterion 4.4: Practices maintain the quality and availability of surface and ground water.			

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Criterion / Indicator		Assessment Findings	Compliance						
4.4.1	An implemented water management plan shall be in place. - Minor compliance -	Elmina estate recorded rainfall for the last 3 years range from 2,600 – 3,500 mm/year with rain-days ranged from 122 – 139 days/year. Based on the rainfall data, the water management plan was developed for the efficiency use of water, availability of resources, contingency plan during dry spell and flooding and water reduction plan.	Complied						
4.4.2	Protection of water courses and wetlands, including maintaining and restoring appropriate riparian and other buffer zones (refer to national best practice and national guidelines) shall be demonstrated. - Major compliance -	Buffer zones are marked with red paint and signage erected. Reference was made to Department of Irrigation and Drainage regulations and guidelines from the state authorities. Restoration of riparian buffer as per Sime Darby Plantation' s policy at both side of the stream is implemented. This was observed during the field visit to the field area which is near to the riparian buffer. Use of agrochemical has been ceased and replaced with manual weeding along the riparian buffer	Complied						
4.4.3	Appropriate treatment of mill effluent to required levels and regular monitoring of discharge quality, especially Biochemical Oxygen Demand (BOD), shall be in compliance with national regulations (Criteria 2.1 and 5.6). - Minor compliance -	Treated mill effluent discharge was regularly monitored as prescribed under " <i>Jadual Pematuhan</i> " JPKKS/14/003124. 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 " <i>Borang Penyata Suku Tahun</i> " to DOE for compliance. Sample of latest month analysis done by Sime Darby R&D laboratory dated 27/11/14 was sighted. BOD result was recorded at (315 vs 5000 mg/l) and way below the final discharge limit. The latest " <i>Borang Penyata Suku Tahun</i> " 3 rd quarter of 2014 was sighted during the audit. Result was found in compliance with the regulatory limit.	Complied						
4.4.4	Mill water use per tonne of Fresh Fruit Bunches (FFB) (see Criterion 5.6) shall be monitored. - Minor compliance -	Bukit Kerayong mill has maintained monitoring on water usage for processing which recorded on daily and summarised month end. Below is the summary for FY 14/15 & FY15/16 : <table border="1" data-bbox="654 1411 1316 1512"> <thead> <tr> <th>Financial year</th> <th>Water Usage ratio</th> </tr> </thead> <tbody> <tr> <td>FY 14/15</td> <td>1.32 m3/ton FFB</td> </tr> <tr> <td>FY 15/16</td> <td>1.31 m3/ton FFB</td> </tr> </tbody> </table>	Financial year	Water Usage ratio	FY 14/15	1.32 m3/ton FFB	FY 15/16	1.31 m3/ton FFB	Complied
Financial year	Water Usage ratio								
FY 14/15	1.32 m3/ton FFB								
FY 15/16	1.31 m3/ton FFB								
Criterion 4.5: Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.									

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<p>4.5.1</p>	<p>Implementation of Integrated Pest Management (IPM) plans shall be monitored. - Major compliance -</p>	<p>SOU 7 continued to implement IPM and as documented in Agriculture Reference Manual. The estates continue to implement biological control for the oil palm pest in the plantation such as leaf eating pest and rat. IPM techniques applied at the estates include monitoring of pest numbers and the use of triggers for initiation of control measures. Progress of IPM implementation as to date :</p> <p><u>Bukit Kerayong Estate</u> Beneficial plant – Density Program (2 dm/ha) actual 1.05 dm/ha Type of BP Cassia Cobanensis : 60% Tunera subulata : 20% Antigonon leptopus : 20%</p> <p><u>Elmina Estate</u> Beneficial Plant Elmina : Target (2dm/ha), actual 1.2 dm/ha Bukit Lagong : Target (2dm/ha), actual 1.1 dm/ha Barn owl box was set up 1 barn owl box/ 20ha. 40% occupancy.</p>	<p>Complied</p>
<p>4.5.2</p>	<p>Training of those involved in IPM implementation shall be demonstrated. - Minor compliance -</p>	<p>IPM training is given by the Agronomist and plantation executives with qualification in agriculture. Interview with the barn owl occupancy census team confirm their understanding of the Sime Darby SOP in Agricultural Reference Manual v.1 Section 15 on census.</p>	<p>Complied</p>

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Criterion / Indicator		Assessment Findings	Compliance
Criterion 4.6: Pesticides are used in ways that do not endanger health or the environment			
4.6.1	Justification of all pesticides used shall be demonstrated. The use of selective products that are specific to the target pest, weed or disease and which have minimal effect on non-target species shall be used where available. - Major compliance -	The written justification in Standard Operating Procedure (SOP) of all agrochemical are available the Agricultural Reference Manual (ARM), SOP and in the Safety Pictorial Book prepared by Sime Darby Plantation Sdn Bhd. Refer to Sime Darby Agricultural Reference Manual, issue:1 version:3 dated 1/7/2011. Selected products are specific to the target pest, weed and disease. Some of recommended pesticides are: Immature planting (sample) - General weeds : Glyphosate - Legume & broad leave : Metsulfuron Methyl - Stenochlaena palustris : Sodium chlorate Mature planting - VOPs : glyphosate & sodium chlorate The selection is also evaluated by the agronomist during his visit to the estate.	Complied
4.6.2	Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per ha and number of applications) shall be provided. - Major compliance -	Records of pesticides and their active ingredients used, LD50, area treated, amount of a.i. applied per ha, and number of applications was maintained.	Complied
4.6.3	Any use of pesticides shall be minimised as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations identified in national Best Practice guidelines. - Major compliance -	The quantity of agrochemicals required for various field conditions are documented and justified in Sime Darby Plantation Agriculture Reference Manual Section 16.5. The implementation in the field is consistent with the Agriculture Reference Manual Section 16.5	Complied
4.6.4	Pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimised and eliminated as part of a plan, and shall only be used in exceptional circumstances. - Minor compliance -	Paraquat was eliminated. Alternatives such as Glyphosate were used with the elimination of Paraquat. At the time of assessment, Class 1a chemical was used at Bukit Kerayong Estate for Bagworm treatment. Permit for Class 1a chemical was granted from Department of Agriculture (DOA), refer to permit SG/METHA(GL)/14/d5 for the quantity of 400 liter.	Complied
4.6.5	Pesticides shall only be handled, used or applied by persons who have completed the necessary training and shall always be applied in accordance with the product label. Appropriate safety and application equipment shall be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7). - Major compliance -	Pesticide operators given training on the safe handling and application of the pesticides. Suitable personal protective equipments and application equipment provided to the operators. All precautions attached to the products explained to operators and understood by them. This was noted during the interview with workers.	Complied

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4.6.6	Storage of all pesticides shall be according to recognised best practices. All pesticide containers shall be properly disposed of and not used for other purposes (see Criterion 5.3). - Major compliance -	The operating units comply with Regulation 9 of the Pesticides Act 1974 requiring balance of remaining solution to be kept under lock and key. During visit it was noted that all the remaining pesticides are kept in the store and securely locked and comply with regulation.	Complied
4.6.7	Application of pesticides shall be by proven methods that minimise risk and impacts. - Minor compliance -	The quantity of agrochemicals required for various field conditions are documented and justified in Sime Darby Plantation Agriculture Reference Manual Section 16.5. The implementation in the field is consistent with the Agriculture Reference Manual Section 16.5	Complied

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Criterion / Indicator		Assessment Findings	Compliance
4.6.8	Pesticides shall be applied aerially only where there is documented justification. Communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application. - Major compliance -	No aerial spraying at SOU7.	complied
4.6.9	Maintenance of employee and associated smallholder knowledge and skills on pesticide handling shall be demonstrated, including provision of appropriate information materials (see Criterion 4.8). - Minor compliance -	No associated smallholders at SOU7. Employees demonstrate knowledge and skills on pesticide handling. MSDS/SDS was displayed in local Bahasa Malaysia language at the agrochemical store for each chemical stored as well as the use of safety pictorial poster for the easy understanding of the agrochemical handlers.	Complied
4.6.10	Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated (see Criterion 5.3). - Minor compliance -	Proper disposal of waste material are carried out as per the company procedures. The procedures are fully understood by workers and managers. Workers interview reveal that they are aware of the zero burning policy including domestic waste are not allowed to be burned. Management of waste material disposal such as empty chemical container as in accordance with scheduled waste and domestic waste regulations and guidelines.	Complied
4.6.11	Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated. - Major compliance -	Medical surveillance carried out once a year for all pesticide handlers. Last medical check-up was conducted on 24/1/2014 by DOSH Registered doctor. No.: HQ/08/DOC/00(329) for Bukit Kerayong Estate. 10 out of 42 workers was found unfit based on the medical results and recommended to undergo retest before initiate the medical removal protection (MRP). Retest report dated 23/9/14 showed that all workers are fit recommendation was given to applicators to continue work.	Complied
4.6.12	No work with pesticides shall be undertaken by pregnant or breast-feeding women. - Major compliance -	There are female pesticide operators but only for normal weeding work. However, based on interview with female workers confirmed knowledge of the policy of transfer to alternative duties if they wished to continue working when pregnancy was confirmed or breast-feeding.	Complied
Criterion 4.7: An occupational health and safety plan is documented, effectively communicated and implemented. The health and safety plan shall cover the following:			

<p>4.7.1</p>	<p>A health and safety policy shall be in place. A health and safety plan covering all activities shall be documented and implemented, and its effectiveness monitored. - Major compliance -</p>	<p>SOU7 estates has maintained an approved Health and Safety Policy dated April 2008 that is displayed prominently on notice boards in English and local language Bahasa Malaysia. The Policy is implemented through the OSH activities by the on-site safety officers and monitored by OSH Manager from Head Office. Environment safety and health (ESH) management plan for each operating unit had been established. The ESH management plan sighted addressed issues related to hazards and risks, legal register and its requirements for compliance, OSH awareness and training programme, accident and emergency procedures, treatment of illness/injury during the job, use of PPE, OSH Committee meetings, etc. The latest ESH plan FY2014/2015 was made available during this assessment. Sample of Bukit Kerayong Plam Oil Mill ESH programme for FY2014/2015 were :</p> <p><u>Audiometric Testing</u> Last audiometric testing was done on 7/1/14. For the 2015, the testing has been planned in February 2015 based on the PO(4300268738) dated 21/2/15 to Specialist Mobile Safety Supplies. Full report will be verified in the next audit.</p> <p><u>Medical Surveillance Programme</u> As per CHRA recommendation dated July 2010 by (JKKP IH 127/171-(2)124, medical surveillance programme has been planned for those exposed to N-hexane, Benzene and welding fumes (manganese etc). The latest medical surveillance was carried out by registered OHD, (HQ/08/DOC/00(329) under Klinik Kapar for 6 workers from laboratory and workshop personnel. From the results, all workers sent for medical surveillance are fit to work with no detrimental of heath.</p>	<p>Complied</p>
<p>4.7.2</p>	<p>All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers. - Major compliance -</p>	<p>SOU 7 had identified and reviewed significant hazards and risks and determined appropriate risk control measures. The hazard identification, risk assessment and risk control (HIRARC) records, as well as CHRA reports were verified during the assessment. Refer to generic CHRA report for Bukit Kerayong POM, (JKKP IH 127/171-(2)124 dated July 2010. All CHRA for estates and mill and have yet to be revisited and will be expired in 2015. Status will be verified in the next assessment.</p> <p>At the estates, among the HIRARC carried out covered activities like chemical mixing and spraying, chemical storage, harvesting and FFB collection and vehicle maintenance. For mill operations, all key activities identified and risk assessed with respect to FFB grading and sorting, FFB sterilization, kernel and oil extraction, oil clarification, maintenance activities at the workshop, working in confined space, working at height and hot work activities. HIRARC has been reviewed on the 20/8/2014 on the sterilizer station to review the accident occur on the BKOM-01/STE rev. 1. Appropriate control measure has been determined and revised in the HIRARC register.</p>	<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance
<p>4.7.3</p> <p>All workers involved in the operation shall be adequately trained in safe working practices (see Criterion 4.8). Adequate and appropriate protective equipment shall be available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, harvesting and, if it is used, burning.</p> <p>- Minor compliance -</p>	<p>Awareness and training programme had been carried out. All workers involved had been adequately trained in safe working practices. The objective was to ensure all workers involved have been adequately trained in understanding MSDS, safe working practices and the correct use of PPE. Suitable PPE has been provided to the workers based on the information in the MSDS/CSDS and CHRA assessor's recommendation.</p> <p>List of Personal Protective Equipment (PPE) Provided – identifies the type of PPE for the respective activities.</p> <ul style="list-style-type: none"> i) Sterilizer and boiler/power operator – Safety Helmet, Semi leather Hand Glove, Cotton Gloves, Safety Shoes, Safety Vest and Ear Muff ii) Lab operator – Respirator (double cartridge) Nitrile Glove (chemical resistant), safety boots, Ear plug (NRR = 24 dB) iii) Field workers (sprayer, manurer & harvester) – N95 respirator, anti-mist goggles, wellington boots, apron and sickle cover. 	<p>Complied</p>
<p>4.7.4</p> <p>The responsible person/persons shall be identified. There shall be records of regular meetings between the responsible person/s and workers. Concerns of all parties about health, safety and welfare shall be discussed at these meetings, and any issues raised shall be recorded.</p> <p>- Major compliance -</p>	<p>Assistant manager at each of the operating units are appointed as OSH Coordinators and Estate Hospital Assistant as Safety and Health Committee Secretary. OSH Committees meeting conducted quarterly and meeting minutes includes issues raised and action taken form workplace inspection report etc. The last meeting was conducted on the 16/10/14 at Bukit Kerayong Palm Oil Mill. 15 members has attended the meeting with discussion on the accident review, safety improvement plan, issues from workers has been discussed and action to be taken. There was no major issue.</p> <p><u>Elmina Estate</u> SHC organization chart FY14/15</p> <ul style="list-style-type: none"> i) Chairman – R. Chelappan (Estate Manager) ii) Secretary – Sani B. Yasin (Estate Hospital Assistant) <p>Date of SHC meeting carried out</p> <ul style="list-style-type: none"> - 1/14 : 30/1/14 - 2/14 : 24/4/14 - 3/14 : 25/7/14 - 4/14 : 24/10/14 	<p>Complied</p>

<p>4.7.5</p>	<p>Accident and emergency procedures shall exist and instructions shall be clearly understood by all workers. Accident procedures shall be available in the appropriate language of the workforce. Assigned operatives trained in First Aid should be present in both field and other operations, and first aid equipment shall be available at worksites. Records of all accidents shall be kept and periodically reviewed. - Minor compliance -</p>	<p>Emergency Response Plan (ERP) has been established and defined in procedure, Level 2, Standard Operation Manual, Sub Section 5.5, Management Responsibility, Appendix 5.5.3.3 Emergency Preparedness and Response Procedure, version:1, issue :1 dated 1/11/2008. Emergency response activities were also included in the ESH plan FY 14/15. The following were Emergency Response Plan were addressed: Fire Outbreak, Accident and incident occurrence, Oil Spillage and etc</p> <p>Accident and emergency procedures have been communicated to employees, contractors and visitors. Workers trained in First Aid were present in the mill and field operations. First Aid Kits were available at worksites. Records on all accidents kept and summary sent to Head Office. Quarterly review on accident cases carried out during OSH quarterly meeting. All operating units keeping all the JKKP 6 & 8 forms. The previous nonconformity remains closed and the action plans implemented.</p>	<p>Complied</p>									
<p>4.7.6</p>	<p>All workers shall be provided with medical care, and covered by accident insurance. - Minor compliance -</p>	<p>Medical care is provided to all the employees. Local workers are covered under SOCSO scheme while foreign workers are covered under foreign workers compensation scheme. Mill: RHB Insurance Berhad Policy No.: FW071580 valid till 30/6/2015 covering 51 workers.</p>	<p>Complied</p>									
<p>4.7.7</p>	<p>Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics - Minor compliance -</p>	<p>Records on Lost Time Accident (LTA) metrics displayed at the operating units through Safety Statistic Billboard and reported to PSQM-ESH department using new online system called SMS-IT. Sample of accident statistic as shown below :</p> <table border="1" data-bbox="691 1149 1281 1249"> <thead> <tr> <th>Year</th> <th>Bukit Kerayong Estate</th> <th>Elmina Estate</th> </tr> </thead> <tbody> <tr> <td>2013</td> <td>3 (229 LTA)</td> <td>6 (110 LTA)</td> </tr> <tr> <td>2014</td> <td>1 (43 LTA)</td> <td>6 (65 LTA)</td> </tr> </tbody> </table> <p>*LTA is equivalent to lost man days (MC)</p>	Year	Bukit Kerayong Estate	Elmina Estate	2013	3 (229 LTA)	6 (110 LTA)	2014	1 (43 LTA)	6 (65 LTA)	<p>Complied</p>
Year	Bukit Kerayong Estate	Elmina Estate										
2013	3 (229 LTA)	6 (110 LTA)										
2014	1 (43 LTA)	6 (65 LTA)										
<p>Criterion 4.8: All staff, workers, smallholders and contract workers are appropriately trained.</p>												
<p>4.8.1</p>	<p>A formal training programme shall be in place that covers all aspects of the RSPO Principles and Criteria, and that includes regular assessments of training needs and documentation of the programme. - Major compliance -</p>	<p>A formal training programme on all aspects of RSPO principle and Criteria has been established and implemented. The training program FY14/15 includes:</p> <ul style="list-style-type: none"> • SOP training for Sterilizer & Laboratory Operator • Fire Drill and Emergency / Response Team Training • Safety Manuring Training • Vehicle and Tractor Driver Training • Safety Training for Harvester • Safety Training for Sprayer • Trunk Injector Training • Accident Investigation Training • First Aid Training 	<p>Complied</p>									

<p>4.8.2</p>	<p>Records of training for each employee shall be maintained. - Minor compliance -</p>	<p>Records of training for employees available and maintained. Records verified on a sampling basis at the Mill and r estates visited covers all aspect of training and RSPO P&C.</p> <table border="1" data-bbox="683 405 1289 1805"> <thead> <tr> <th>Date Training</th> <th>Title</th> <th>Trainer(s)</th> <th>Participants</th> </tr> </thead> <tbody> <tr> <td>23/10/14</td> <td>SOP training for Sterilizer Operator</td> <td>Management</td> <td>Sterilizer Operator</td> </tr> <tr> <td>19/11/14</td> <td>SOP training for Laboratory Operator</td> <td>Management</td> <td>Laboratory Operator</td> </tr> <tr> <td>9/1/15</td> <td>Fire Drill and Emergency / Response Team Training</td> <td>MJ Fire Protection</td> <td>Staff and workers</td> </tr> <tr> <td>15/4/14</td> <td>Safety Manuring Training</td> <td>Management</td> <td>Manuring operator</td> </tr> <tr> <td>27-28/3/14</td> <td>Vehicle and Tractor Driver Training</td> <td>Metro Driving Academy</td> <td>Driver (estate and Mill)</td> </tr> <tr> <td>19/1/15</td> <td>Safety Training for Harvester</td> <td>PSQM- ESH</td> <td>Harvester</td> </tr> <tr> <td>10/10/14</td> <td>Safety Training for Sprayer</td> <td>My-Crop</td> <td>Sprayer</td> </tr> <tr> <td>18/3/14</td> <td>Trunk Injector Training</td> <td>PSQM- ESH</td> <td>Trunk Injector</td> </tr> <tr> <td>15/10/14</td> <td>Accident Investigati on training</td> <td>PSQM- ESH</td> <td>SHC commitee</td> </tr> <tr> <td>17/1/15</td> <td>First aid training</td> <td>EHA</td> <td>First Aider</td> </tr> </tbody> </table>	Date Training	Title	Trainer(s)	Participants	23/10/14	SOP training for Sterilizer Operator	Management	Sterilizer Operator	19/11/14	SOP training for Laboratory Operator	Management	Laboratory Operator	9/1/15	Fire Drill and Emergency / Response Team Training	MJ Fire Protection	Staff and workers	15/4/14	Safety Manuring Training	Management	Manuring operator	27-28/3/14	Vehicle and Tractor Driver Training	Metro Driving Academy	Driver (estate and Mill)	19/1/15	Safety Training for Harvester	PSQM- ESH	Harvester	10/10/14	Safety Training for Sprayer	My-Crop	Sprayer	18/3/14	Trunk Injector Training	PSQM- ESH	Trunk Injector	15/10/14	Accident Investigati on training	PSQM- ESH	SHC commitee	17/1/15	First aid training	EHA	First Aider	<p>Complied</p>
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Principle 5: Environmental responsibility and conservation of natural resources and biodiversity

Criterion / Indicator	Assessment Findings	Compliance	
Criterion 5.1: Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.			
5.1.1	An environmental impact assessment (EIA) shall be documented. - Major compliance -	Environmental aspect and impacts assessment has been prepared in term of management Action Plans and Continuous Improvement Plans for 2014/15 financial year with the last review on July 2014 for Bukit Kerayong Palm Oil Mill. As for Bukit Kerayong estate, the latest review was done on 2/1/15 and the Petronas LPG pipeline which passes through the estate has been included.	Complied
5.1.2	Where the identification of impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a comprehensive management plan. The management plan shall identify the responsible person/persons. - Minor compliance -	The continuous implementation of the improvements activities were checked during the field and document audit. The HCV & environmental management plan has been established to monitor the identified HCV areas and significant activities that give impacts on environment. A specific staff and executive have been appointed to do the monitoring to ensure the plan is effectively implemented	Complied
5.1.3	This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts. - Minor compliance -	An environmental improvement plan was implemented to monitor the effectiveness of the mitigation measures. This plan incorporated a monitoring protocol, which is adaptive to operational changes and is reviewed every year to reflect the results of monitoring operational changes that may have positive and negative environmental impacts. For HCV monitoring, the plan is being reviewed on yearly basis with latest review was done on July 2014. Continuous awareness training programme has been carried out by the company to its workers and other stakeholders.	Complied
Criterion 5.2: The status of rare, threatened or endangered species and other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and operations managed to best ensure that they are maintained and/or enhanced.			
5.2.1	Information shall be collated in a High Conservation Value (HCV) assessment that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors). - Major compliance -	Baseline HCV and Bio Diversity assessment has been done on 2009 by PSQM team. There were HCV 4 and HCV 6 has been identified within the estates. Conservation areas such as water catchment, riparian reserves are being maintained.	Complied
5.2.2	Where rare, threatened or endangered (RTE) species, or HCVs, are present or are affected by plantation or mill operations, appropriate measures that are expected to maintain and/or enhance them shall be implemented through a management plan. - Major compliance -	The assessment found there were no RTE present within the estates compound. However, the estates have a continuous monitoring plan along the Bukit Cheraka forest reserve area to ensure no illegal logging or encroachment.	Complied

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Criterion / Indicator	Assessment Findings	Compliance
5.2.3 There shall be a programme to regularly educate the workforce about the status of these RTE species, and appropriate disciplinary measures shall be instigated in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species. - Minor compliance -	No hunting signages and RTE signages were erected at the boundary to create awareness among workers and other stakeholders.	Complied
5.2.4 Where a management plan has been created there shall be ongoing monitoring: • The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported; • Outcomes of monitoring shall be fed back into the management plan. - Minor compliance -	The estates have management plan which has reviewed in July 2014 for the monitoring of the identified HCV areas. For example, Bukit Kerayong estate has a weekly inspection record book showing the boundary monitoring and other HCV status.	Complied
5.2.5 Where HCV set-asides with existing rights of local communities have been identified, there shall be evidence of a negotiated agreement that optimally safeguards both the HCVs and these rights. - Minor compliance -	The HCV 4 identified is within the estate land hold. As for the HCV 6, it was allocated by the company for the social benefit of its workers.	Complied
Criterion 5.3: Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.		
5.3.1 All waste products and sources of pollution shall be identified and documented. - Major compliance -	The Mill and estates have identified and documented all waste products and sources of pollution. For example, the mill has listed POME, EFB, chemical containers, domestic waste, clinical waste and etc as sources of pollution.	Complied
5.3.2 All chemicals and their containers shall be disposed of responsibly. - Major compliance -	The estates dispose all chemical containers through licensed contractor. The empty containers were triple rinsed before send to the collector as per the DOE guidelines. The clinical wastes were disposed through Medivest Sdn. Bhd with latest disposal was on 31/10/14 (Consignment Note No.: 534202)..	Complied
5.3.3 A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented. - Minor compliance -	Waste management and disposal plan has been included in the environmental management plan. However, visit to the agrochemical mixing area and empty agrochemical container triple rinsing area at Bukit Kerayong estate (Sg. Kapar Division) found that the waste water was directly drained into the nearest monsoon drain without any sump. Refer to minor NC 1147372N2.	Minor Non-Compliance
Criterion 5.4: Efficiency of fossil fuel use and the use of renewable energy is optimised.		
5.4.1 A plan for improving efficiency of the use of fossil fuels and to optimise renewable energy shall be in place and monitored. - Minor compliance -	The mill has used average of 7.91kW-hr/Mt FFB for processing in 2014. This is above the target due to the low crop trend. Shell and fibre is being used as renewable energy for boiler to reduce the fossil fuel usage.	Complied

Criterion / Indicator	Assessment Findings	Compliance							
Criterion 5.5: Use of fire for preparing land or replanting is avoided, except in specific situations as identified in the ASEAN guidelines or other regional best practice.									
5.5.1	There shall be no land preparation by burning, other than in specific situations as identified in the „Guidelines for the Implementation of the ASEAN Policy on Zero Burning“ 2003, or comparable guidelines in other regions. - Major compliance -	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. No open burning noted during the field visit and facility visit.	Complied						
5.5.2	Where fire has been used for preparing land for replanting, there shall be evidence of prior approval of the controlled burning as specified in „Guidelines for the Implementation of the ASEAN Policy on Zero Burning“ 2003, or comparable guidelines in other regions. - Minor compliance -	No use of fire for land preparation during replanting.	Complied						
Criterion 5.6: Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.									
5.6.1	An assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent (see Criterion 4.4). - Major compliance -	Assessment of all polluting activities was conducted under Environmental Aspect Impact for identifying activities that contributes significant impact to environment. Source of pollution from mill processes and related activities in the premise were described as follows : <table border="1" data-bbox="659 1144 1305 1323"> <thead> <tr> <th data-bbox="659 1144 906 1205">Mill Processes /Activity</th> <th data-bbox="906 1144 1305 1205">Source of pollution</th> </tr> </thead> <tbody> <tr> <td data-bbox="659 1205 906 1265">Boiler and genset operation</td> <td data-bbox="906 1205 1305 1265">Clinkers@ soot, smoke and particulate emission</td> </tr> <tr> <td data-bbox="659 1265 906 1323">POME (palm oil mill effluent)</td> <td data-bbox="906 1265 1305 1323">POME liquor and solid</td> </tr> </tbody> </table> <p data-bbox="659 1352 1305 1525">As prescribed under "Jadual Pematuhan" JPKKS/14/003124, air emission from boiler stack have to be monitored twice per year. 1st half year monitoring was carried out on 29/1/14 and 2nd half of 2014 has yet to be conducted based on PO 4300264903 dated 18/12/14. The full report will be verified in the next assessment.</p> <p data-bbox="659 1554 1305 1727">Smoke emission was monitored using online system (CEMS-DIS) to DOE based on the transmitted data from boiler smoke density indicator and recorder. Emission result was found in compliance with the regulatory limit. Smoke density recorder was last calibrated on 20/1/15 and valid until 20/7/15 for the next calibration.</p> <p data-bbox="659 1756 1305 1839">For effluent discharge, regular monitoring was conducted as per requirement. Monthly and quarterly report was submitted to DOE. Refer to Indicator 4.4.3 for details.</p>	Mill Processes /Activity	Source of pollution	Boiler and genset operation	Clinkers@ soot, smoke and particulate emission	POME (palm oil mill effluent)	POME liquor and solid	Complied
Mill Processes /Activity	Source of pollution								
Boiler and genset operation	Clinkers@ soot, smoke and particulate emission								
POME (palm oil mill effluent)	POME liquor and solid								
5.6.2	Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimise them implemented. - Major compliance	Significant pollutants and greenhouse gas (GHG) emissions were identified includes methane from effluent, smoke and fertilizer usage have been documented. It was noted that the PSQM Department from HQ have established plans for implementation and monitoring of GHG emissions.	Complied						

<p>5.6.3</p>	<p>A monitoring system shall be in place, with regular reporting on progress for these significant pollutants and emissions from estate and mill operations, using appropriate tools. - Minor compliance -</p>	<p>Tools and systems used to monitor significant pollutants includes the DOE CEMS monitoring system for air emissions, water quality at discharge points as per DOE regulations. POME is treated using anaerobic and aerobic ponds or biological treatment system. To monitor effective mitigating method for particulate emission, 3rd party environmental consultant was appointed to conducted stack emission monitoring as prescribed under "<i>Jadual Pematuhan</i>".</p>	<p>Complied</p>
<p>Principle 6: Responsible consideration of employees and of individuals and communities affected by growers and millers</p>			
<p>Criterion 6.1: Aspects of plantation and mill management that have social impacts, including replanting, are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.</p>			
<p>6.1.1</p>	<p>A social impact assessment (SIA) including records of meetings shall be documented. - Major compliance -</p>	<p>Plantation Sustainability and Quality Management (PSQM) Department has conducted the baseline social impact assessment in 2009 for Bukit Kerayong operating unit. The assessment has been done with the participation of internal and external stakeholders. The attendance records are available.</p>	<p>Complied</p>
<p>6.1.2</p>	<p>There shall be evidence that the assessment has been done with the participation of affected parties. - Major compliance -</p>	<p>Meeting attendance and interview with stakeholders found they were invited for the meeting and the issues highlighted by them have been included in the management plan.</p>	<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance
6.1.3 Plans for avoidance or mitigation of negative impacts and promotion of the positive ones, and monitoring of impacts identified, shall be developed in consultation with the affected parties, documented and timetabled, including responsibilities for implementation. - Major compliance -	Social management plan has been included in the SIA assessment to mitigate the negative impacts with time frame and person in charge. There were no negative impacts raised by any external stakeholders. Internal stakeholders raised mainly issues on housing repair and other facilities	Complied
6.1.4 The plans shall be reviewed as a minimum once every two years and updated as necessary, in those cases where the review has concluded that changes should be made to current practices. There shall be evidence that the review includes the participation of affected parties. - Minor compliance -	Annual SIA improvement plans reviewed in June 2014. The assessment was through meeting with the effected parties and stakeholders.	Complied
6.1.5 Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme). - Minor compliance -	No smallholder schemes at Bukit Kerayong Certification Unit.	Complied
Criterion 6.2: There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.		
6.2.1 Consultation and communication procedures shall be documented. - Major compliance -	Consultation and communication procedure is similar to the procedure reported during the previous assessments.	Complied
6.2.2 A management official responsible for these issues shall be nominated. - Minor compliance -	The mill has appointed the assistant manager as the management official for any social issues. Appointment letter dated 1/7/14 sighted during the audit.	Complied
6.2.3 A list of stakeholders, records of all communication, including confirmation of receipt and that efforts are made to ensure understanding by affected parties, and records of actions taken in response to input from stakeholders, shall be maintained. - Minor compliance -	The mill and estates have an updated list of stakeholders. It includes internal and external stakeholders such as government departments, contractor, suppliers and workers representatives.	Complied
Criterion 6.3: There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all effected parties.		
6.3.1 The system, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistleblowers, where requested. - Major compliance -	A documented dispute resolution procedure is available in Mill and Estate Quality Management System Manual which is effective, timely, appropriate and open to any affected parties. The complaint and grievances is open to effected parties including internal and external stakeholders.	Complied

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Criterion / Indicator	Assessment Findings	Compliance
6.3.2 Documentation of both the process by which a dispute was resolved and the outcome shall be available. - Major compliance –	SOP to resolve social disputes “Handling Social Issues” SOP dated 01 Nov 2008 has been established. Stakeholder meetings are held regularly to identify and give opportunity to stakeholders to complaint or raise disputes. Issues are discussed and consensual agreements reached during stakeholder meetings. Follow-up actions had timelines, responsibilities, and details of actions and monitored by managers for satisfactory conclusion. Minutes of meetings are maintained and reviewed.	Complied
Criterion 6.4: Any negotiations concerning compensation for loss of legal, customary or user rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.		
6.4.1 A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be in place. - Major compliance -	SOP to identify legal and customary rights as well as people entitled to compensation has been established- titled “Handling Land Disputes” SOP dated 01 Nov 2008. There have been no issues related to loss of legal customary rights with indigenous peoples, local communities and other stakeholders.	Complied
6.4.2 A procedure for calculating and distributing fair compensation (monetary or otherwise) shall be established and implemented, monitored and evaluated in a participatory way, and corrective actions taken as a result of this evaluation. This procedure shall take into account: gender differences in the power to claim rights, ownership and access to land; differences of transmigrants and long-established communities; and differences in ethnic groups” proof of legal versus communal ownership of land. - Minor compliance -	SOP is as per in 6.4.1 above.	Complied
6.4.3 The process and outcome of any negotiated agreements and compensation claims shall be documented, with evidence of the participation of affected parties, and made publicly available. - Major compliance -	No issues related to loss of legal customary rights with indigenous peoples, local communities and other stakeholders to date.	Complied
Criterion 6.5: Pay and conditions for employees and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.		
6.5.1 Documentation of pay and conditions shall be available. - Major compliance -	Interview with employees and workers from local and foreign country reveal that they understand details and deductions outlined on their pay slips. Payroll checks confirm that correct remuneration was paid for standard hours as well as for any overtime hours worked. Employee’s payslip (e.g. employee# 96862, 108157, 108168, 97974 106337) which from mill and estate) for the month of December 2014 was checked and verified shows the basic pay, allowances and incentives were paid and deduction for EPF, SOCSO, NUPW and personal insurance are clearly stated. The minimum wages of RM 900 set by the government has been implemented as well.	Complied

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Criterion / Indicator	Assessment Findings	Compliance
<p>6.5.2 Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be available in the languages understood by the workers or explained carefully to them by a management official. - Major compliance -</p>	<p>Pay and conditions are documented through MAPA/AMESU Agreement and MAPA/NUPW Field and Other General Employees and Fringe Benefits Agreement and complies to Minimum Wage Order. Similar to the last surveillance assessment, interview with mill and estate staff and workers confirmed that they understand Terms and Conditions of their employment contracts and receive correct entitlements.</p>	<p>Complied</p>
<p>6.5.3 Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible. - Minor compliance -</p>	<p>Schools are within close proximity such as the Primary School (SK Bukit Kerayong) is located at Bukit Kerayong mill and Estate, and Secondary Schools are located at Kapar Town approximately 7km distance.</p> <p>A Crèche is available for children of staff and workers. The children at the crèche are provided with malt drink and biscuits by the operating units at no cost.</p> <p>Electricity to Bukit Kerayong mill houses was supplied by the mill and estates housing's electricity is from the Government supply. Water to all housing is from the Government supply except for Elmina estate as the water was self-treated water. The drinking water analysis was conducted half yearly by MOH officer from Petaling Jaya with the result showing comply to the national drinking water standard. However, The 2 catchment pond which was used as water source for drinking water treatment plant was found not in satisfactory condition and this was also commented by Ministry of health department officer during the visit on 24/4/14 and 3/12/14 that requested the 2 ponds to be clean. Therefore, a minor non-conformity was raised.</p> <p>Medical treatment at the company clinics to staff, workers and their families are provided free and any cost any referral to government clinics for further treatments are covered by the operating units as well.</p> <p>All the housing meets the government standard and interview of staff and workers raised no issues related to housing and facilities provide by the company. However during the site visit at Bukit Kerayong estate, 8 new Nepalese workers has been placed in community hall as the temporary housing facilities for more than a month where was not suitable as a housing facility and was not meeting the minimum national standard. Therefore a minor non-conformity 1147372N1 was raised.</p>	<p>Minor Non-Compliance</p>

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<p>6.5.4</p>	<p>Growers and millers shall make demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food. - Minor compliance -</p>	<p>Accesses to food for the workers are considered adequately and sufficiently.</p>	<p>Complied</p>
<p>Criterion 6.6: The employer respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.</p>			
<p>6.6.1</p>	<p>A published statement in local languages recognising freedom of association shall be available. - Major compliance -</p>	<p>Workers have freedom to join the workers union. Policy on Freedom of Association dated April 2008.</p>	<p>Complied</p>
<p>6.6.2</p>	<p>Minutes of meetings with main trade unions or workers representatives shall be documented. - Minor compliance -</p>	<p>Local and foreign workers are represented in the NUPW. Latest meeting at mill was conducted on 22/12/2014 attended by 4 workers representatives. The objective of the meeting was to discuss the holidays in 2015. As for Bukit Kerayong estate, last meeting was done on 29/12/14.</p>	<p>Complied</p>
<p>Criterion 6.7: Children are not employed or exploited.</p>			
<p>6.7.1</p>	<p>There shall be documentary evidence that minimum age requirements are met. - Major compliance -</p>	<p>Operating units are complied with the minimum age requirement. No employees below the age of 18.</p>	<p>Complied</p>
<p>Criterion 6.8: Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.</p>			
<p>6.8.1</p>	<p>A publicly available equal opportunities policy including identification of relevant/affected groups in the local environment shall be documented. - Major compliance -</p>	<p>A policy on equal opportunity available and displayed at the offices along with the other policies.</p>	<p>Complied</p>

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Criterion / Indicator		Assessment Findings	Compliance
6.8.2	Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated against. - Major compliance -	Migrant workers are recruited with 3 years contract. Local workers are on a long term employment. No any kind of discrimination was noted. Job opportunities and amenities such as free housing, water and electricity supplies, medical care are given to all employees without discrimination. All employees are aware of the grievance procedures through the various Committees such as Gender Committee for women, foreign workers representation and union committee to highlight their concerns and grievances if any. No grievances were highlighted to the audit team by internal and external stakeholders.	Complied
6.8.3	It shall be demonstrated that recruitment selection, hiring and promotion are based on skills, capabilities, qualities, and medical fitness necessary for the jobs available. - Minor compliance -	Recruitment selection, hiring and promotion are based on skills, capabilities, qualities, and medical fitness necessary for the jobs available. It was noted during the audit that there is no discrimination based on nationality, race, gender, age, etc.	Complied
Criterion 6.9: There is no harassment or abuse in the work place, and reproductive rights are protected.			
6.9.1	Policy to prevent sexual and all other forms of harassment and violence shall be implemented and communicated to all levels of the workforce. - Major compliance -	Policy on protection against Sexual Harassment and other forms of harassment available and implemented. There is no any reported case of harassment in the operating units.	Complied
6.9.2	A policy to protect the reproductive rights of all, especially of women, shall be implemented and communicated to all levels of the workforce. - Major compliance -	Reproductive rights of the female workers are protected. Female employees are aware that they are entitled for two months paid maternity leave.	Complied
6.9.3	A specific grievance mechanism which respects anonymity and protects complainants where requested shall be established, implemented, and communicated to all levels of the workforce. - Minor compliance -	Sime Darby has developed a Handbook for gender committee in 2014. Mill has formed gender committee. Latest meeting was done on 19/1/15 attended by 7 members. No issues were highlighted during the meeting. As for Bukit Kerayong estate, the last meeting was done on 9/1/15 attended by 9 members..	Complied
Criterion 6.10: Growers and mills deal fairly and transparently with smallholders and other local businesses.			
6.10.1	Current and past prices paid for Fresh Fruit Bunches (FFB) shall be publicly available. - Minor compliance -	Bukit Kerayong Palm Oil Mill does not purchase FFB from outside source (smallholder/out-grower). Pricing mechanism for other contract works such as housing and general repair work is available.	Complied
6.10.2	Evidence shall be available that growers/millers have explained FFB pricing, and pricing mechanisms for FFB and inputs/services shall be documented (where these are under the control of the mill or plantation). - Major compliance -	Bukit Kerayong Palm Oil Mill does not purchase FFB from outside source (smallholder/out-grower). Pricing mechanism for other contract works such as housing and general repair work is available.	Complied
6.10.3	Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent. - Minor compliance -	Sample contract of civil work contractor (MH Millenium Resources) dated 29/10/2014 (Doc. No.: 4300257594) was checked. Interview with the contractor confirmed that he understand the terms and conditions of the contract.	Complied

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Criterion / Indicator		Assessment Findings	Compliance
6.10.4	Agreed payments shall be made in a timely manner. - Minor compliance -	Payment record of the above contractor for the month of November 2014 found as per the contract term (Payment voucher No.: 418745).	Complied
Criterion 6.11: Growers and millers contribute to local sustainable development where appropriate.			
6.11.1	Contributions to local development that are based on the results of consultation with local communities shall be demonstrated. - Minor compliance –	All operating units contribute to local development through consultation and communication. Continuous donations were made to local schools for activities and assistance for local community events.	Complied
6.11.2	Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve smallholder productivity. - Minor compliance –	No scheme smallholders.	Complied
Criterion 6.12: No forms of forced or trafficked labour are used.			
6.12.1	There shall be evidence that no forms of forced or trafficked labour are used. - Major compliance -	Workers, staff and stakeholder interview confirm that there is no any form of forced labour or trafficked labour in the operating units. All employees have employment contract and paid the agreed national minimum wages.	Complied
6.12.2	Where applicable, it shall be demonstrated that no contract substitution has occurred. - Minor compliance –	No contract substitution was noted.	Complied
6.12.3	Where temporary or migrant workers are employed, a special labour policy and procedures shall be established and implemented. - Major compliance -	Equal opportunity and non-discriminatory policy is implemented. No temporary workers. Migrant workers are treated equally as per the locals.	Complied
Criterion 6.13: Growers and millers respect human rights.			
6.13.1	A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations (see Criteria 1.2 and 2.1). - Major compliance -	The existing policy covers the necessary aspects of human rights. Employees are aware of their rights and workers and staff union monitor to ensure no violations.	Complied
Principle 7: Responsible development of new plantings Bukit Kerayong Certification unit and supply base did not carry out any new plantings after Nov 2005. Therefore, the requirement of Principle 7 is not applicable during this recertification assessment.			
Principle 8: Commitment to continual improvement in key areas of activity			
Criterion 8.1: Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.			

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Criterion / Indicator	Assessment Findings	Compliance
<p>8.1.1 The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria.</p> <p>As a minimum, these shall include, but are not necessarily be limited to:</p> <ul style="list-style-type: none"> • Reduction in use of pesticides(Criterion 4.6); • Environmental impacts (Criteria 4.3, 5.1 and 5.2); • Waste reduction (Criterion 5.3); • Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); • Social impacts (Criterion 6.1); • Optimizing the yield of the supply base. <p>- Major compliance -</p>	<p>SOU7 prohibited the use of paraquat in the field and totally replaced by systemic herbicides, glufosinate ammonium. IPM implementation is progressively improving with the current density programme as well as barn owl occupancy rate to reduce pesticides usage.</p> <p>Environmental impacts of the operations were identified and evaluated. The mitigations measures which were derived from the identification of environmental aspects were adequately implemented and monitored.</p> <p>SOU7 generally active in maximizing the recycling. This could be evident through sales of recyclable materials such as plastic and metal. Process waste is fully utilized for boiler fuel (shell and fibre) and POME used as organic fertilization.</p> <p>CEMS-DIS used as online performance monitoring to DOE for black smoke emission. Introduction of new CANTAS system developed by MPOB has improved the harvesting efficiency.</p>	Complied

Appendix B: Sime Darby Plantation Sdn. Bhd. Time Bound Plan

TIME BOUND PLAN – Certification Units in Malaysia			
No.	MANAGEMENT UNIT		LOCATION
	P O M	Time Bound	
1	Sg Dingin	Certified 2010	Kedah
2	Chersonese	Certified 2011	Perak
3	Elphil	Certified 2011	Perak
4	Flemington	Certified 2011	Perak
5	Seri Intan	Certified 2011	Perak
6	Selaba	Certified 2011	Perak
7	Tennamaram	Certified 2011	Selangor
8	Bkt Kerayong	Certified 2011	Selangor
9	East	Certified 2010	Selangor
10	West	Certified 2010	Selangor
11	Bukit Puteri	Certified 2011	Pahang
12	Kerdau	Certified 2011	Pahang
13	Jabor	Certified 2011	Pahang
14	Labu	Certified 2011	N. Sembilan
15	Tanah Merah	Certified 2010	N. Sembilan
16	Sua Betong	Certified 2014	N. Sembilan
17	Kok Foh	Certified 2011	N. Sembilan
18	Kempas	Certified 2010	Malacca
19	Diamond Jubilee	Certified 2011	Malacca
20	Bukit Kerayong	Certified 2014	Johor
21	Chaah	Certified 2010	Johor
22	Gunung Mas	Certified 2010	Johor
23	Bukit Benut	Certified 2011	Johor
24	Ulu Remis	Certified 2011	Johor
25	Hadapan	Certified 2011	Johor
26	Sandakan Bay	Certified 2008. Recertification completed.	Sabah
27	Melalap	Certified 2011	Sabah
28	Binuang	Certified 2009. Recertification completed.	Sabah

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29	Giram	Certified 2009. Recertification completed.	Sabah
30	Merotai	Certified 2009. Recertification completed.	Sabah
31	Lavang	Certified 2011	Sarawak
32	Rajawali	Certified 2011	Sarawak
33	Derawan	Certified 2011	Sarawak
34	Pekaka	Certified 2011	Sarawak

TIME BOUND PLAN – Certification Units in Indonesia			
No.	MANAGEMENT UNIT		LOCATION
	P O M	Time Bound	
1	Sekunyir (PT. Indotruba Tengah)	Certified 2010	Seruyan and West Kotawaringin District – Central Kalimantan
2	Manggala (PT. Tunggal Mitra Plantations)	Certified 2010	Rokan Hilir District – Riau
3	Bk. Ajong (PT. Sime Indo Agro)	Certified 2010	Sanggau District –West Kalimantan
4	Teluk Siak (PT Aneka Inti Persada)	Certified 2011	Pekanbaru, Siak District – Riau
5	Sungai Pinang (PT. Bina Sains Cemerlang)	Certified 2012	Musi Rawas District – South Sumatera

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6	Sukamandang (PT. Kridatama Lancar)	Certified 2011	Seruyan and East Kotawaringin District – Central Kalimantan
7	Pematang (PT. Teguh Sempurna)	Certified 2011	Seruyan and East Kotawaringin District – Central Kalimantan
8	Alur Dumai (PT Lahan Tani Sakti)	Certified 2011	Rokan Hilir District – Riau
9	Teluk Bakau (PT. Bhumireksa Nusa Sejati)	Certified 2011	Indra Giri Hilir District – Riau
10	Mandah (PT. Bhumireksa Nusa Sejati)	Certified 2014	Indra Giri Hilir District – Riau
11	Angsana Mini (PT Sajang Heulang)	Certified 2011	Tanah Bumbu District – South Kalimantan
12	AngsanaPT Ladangrumpun Suburabadi	Certified 2011	Tanah Bumbu District – South Kalimantan
13	Mustika (PT Sajang Heulang)	Certified 2013	Tanah Bumbu District – South Kalimantan
14	Gunung Aru (PT Bersama Sejahtera Sakti)	Certified 2011	Kotabaru District – South Kalimantan
15	Bebunga (PT. Langgeng)	Certified 2011	Kotabaru District – South Kalimantan
16	Blang Simpo (PT Padang Palma Permai)	Certified 2013	Aceh Tamiang, Nangroe Aceh Darussalam
17	Pondok Labu (PT Paripurna Swakarsa)	Certified 2012	Kotabaru District – South Kalimantan
18	Selabak (PT Swadaya Andhika)	Certified 2012	Kotabaru District – South Kalimantan
19	Rantau (PT Laguna Mandiri)	Certified 2012	Kotabaru District – South Kalimantan
20	Betung (PT Laguna Mandiri)	Certified 2014	Kotabaru District – South Kalimantan
21	Ungkaya (PT Tamaco Graha Krida)	Certified 2012	Morowali District – Sulawesi Tengah
22	Ladang Panjang (PT Bahari Gembira Ria)	Certified 2012	Muaro Jambi District - Jambi
23	Rantau Panjang (PT Guthrie Pecconina Indonesia)	Certified 2012	Musi Banyuasin District – South Sumatera
24	MAS (PT Mitra Austral Sejahtera) The certification body for PT MAS has considered that Sime Darby Plantation still meets the requirements of the RSPO for Partial Certification and the report has been submitted for EB review. A verification audit was conducted by the Certification Body in early 2013 and Sime Darby Plantation will proceed with the next steps of certification upon satisfactory resolution of the matter. Regular discussions is ongoing between Sime Darby Plantation and the project affected communities.	2015	Sanggau District – West Kalimantan
25	Lembiru (PT Sandika Nata Palma)	Certified 2014	Ketapang District – West Kalimantan

Appendix C: Sime Darby Plantation Sdn Bhd – SOU 7 Bukit Kerayong Certification Unit RSPO Certificate Details

Sime Darby Plantation Sdn. Bhd.
 SOU 7 Management Unit (Bukit Kerayong Palm Oil Mill)
 Ladang Bukit Cheraka,
 45800 Jeram
 Selangor Darul Ehsan, MALAYSIA

BSI RSPO Certificate No: SPO 550181

Date of Initial Certificate Issued: 15 April 2011

Date of Expiry: 14 April 2016

RSPO membership number: 1-0008-04-000-00

Applicable Standards: RSPO P&C 2013; RSPO Certification System June 2007 (revised March 2011); Annex 4: Procedures for Annual Surveillance; RSPO P&C MY-NIWG 2010; RSPO Supply Chain Certification Standard 21 November 2014 Module D - CPO Mills: Identity Preserved

Bukit Kerayong Palm Oil Mill and Supply Base					
Location Address	SOU 7 Management Unit (KKS Bukit Kerayong), Ladang Bukit Cheraka, 45800 Jeram, Selangor Darul Ehsan, MALAYSIA				
GPS Location	102° 22' 36.66" E; 3° 11' 24.58"N				
CPO Tonnage Total	36,898				
PK Tonnage Total	8783				
CPO Claimed for Certification	36,898				
PK Claimed for Certification	8783				
Own estates FFB Tonnage	175,661				
Scheme Smallholder FFB Tonnage	-				
Company's adjacent Suppliers FFB Tonnage – Other adjacent estates (Certified)	-				
Estates	Production Area		Other use (ha)	Certified Area / Total land lease (ha)	Annual FFB Production (mt)
	Mature (ha)	Immature (ha)			
Bukit Kerayong Estate	2,196.15	601.61	315.49	3,113.25	64,348.48
Elmina Estate	1,957.26	112.60	520.83	2,478.08	39,313.65
Bkt. Cheraka Estate	3,089.62	396.78	178.38	3,664.78	71,999.19
TOTAL	7,243.03	1,110.99	1,014.70	9,256.11	175661

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Appendix D: Assessment Plan

PRELIMINARY AGENDA					
Date	Time	Subjects	Mohd Hidhir	Kelvin	Muhd Haris
Monday 19/1/2015	PM	Audit Team travelling to the site.	√	√	√
Tuesday 20/1/2015 Bukit Kerayong Palm Oil Mill	08.30 – 09.00	Opening Meeting: <ul style="list-style-type: none"> • Opening Presentation by Audit team leader. • Confirmation of assessment scope and finalize Audit plan (including stakeholder’s consultation). 	√	√	√
	09.00 – 12.00	Bukit Kerayong Palm Oil Mill Inspection: FFB receiving, warehouse, workshop, wastes management & Landfill, Effluent Ponds, OSH & ERP, Environment issues, POME application, water treatment, staff, workers and contractor interview, housing and facility inspection, clinic, etc.	√	√	√
	12.00 – 13.00	Lunch	√	√	√

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PRELIMINARY AGENDA					
Date	Time	Subjects	Mohd Hidhir	Kelvin	Muhd Haris
	13.00 – 16.30	Bukit Kerayong Palm Oil Mill: Visit to laboratory, weighbridge and palm product storage area. Document Review P1 – P8: SOPs, Supply chain for CPO mill, Review on SEIA documents and records, wage records, employee data, training records, legal permits, mill inspection and internal monitoring records, CIP & implementation etc. Verify previous nonconformities.	√	√	√
	16.30 - 17.00	Interim Closing briefing.	√	√	√
Wednesday 21/1/2015	08.30 – 12.00	Bukit Kerayong Estate Field visit, boundary inspection, field operations, staff & workers interview, buffer zone, HCV area, IPM implementation, OSH&ERP, workshop, storage area (agrochemical, fertilizer, lubricant etc), agrochemical mixing area, Schedule waste management, worker housing, clinic, Landfill, , etc.	√	√	-
	10.00 – 12.00	Meeting with stakeholders (Government, village rep, smallholders, Workers Leader, contractor etc.)	-	-	√
	12.00 – 13.00	Lunch	√	√	√
	13.00 – 16.30	Bukit Kerayong Estate Document review P1 – P8: (General Documentation e.g. Legal, Manual and Procedure, production & monitoring records, IPM & HCV records, SEIA documents & records, OSH records, review pay documents, records of communication with stakeholder/workers representatives, new planting, CIP and implementation etc).	√	√	√
	16.30 - 17.00	Interim Closing Briefing	√	√	√
Thursday 22/1/2015	8.30 – 12.00	Elmina Estate Field visit, boundary inspection, field operations, staff & workers interview, buffer zone, HCV area, IPM implementation, OSH&ERP, workshop, storage area (agrochemical, fertilizer, lubricant etc), agrochemical mixing area, Schedule waste management, worker housing, clinic, Landfill and etc.	√	√	√
	12.00 – 13.00	Lunch	√	√	√
	13.00 – 16.30	Elmina Estate Document review P1 – P8: (General Documentation e.g. Legal, Manual and Procedure, production & monitoring records, IPM & HCV records, SEIA documents & records, OSH records, review pay documents, records of communication with stakeholder/workers representatives, new planting, CIP and implementation etc).	√	√	√
	16.30 - 17.00	Interim Closing Briefing	√	√	√
Friday 23/1/2015	8.30 – 10.30	Verify any outstanding issues & Preparation for closing meeting	√	√	√
	10.30 - 12.00	Closing Meeting	√	√	√

Appendix E: Stakeholders Contacted

<p>Internal Stakeholders</p> <p>Managers and Assistants Male Mill Staff/Workers Female Mill Staff/Workers Field workers Male and Female Estate workers Hospital Assistant Union Representatives Gender Committee Secretary Boiler operators Engine room operators Store clerk Workshop attendant/ helper Carpenter Weighbridge Staff</p>	<p>External Stakeholders</p> <p>Contractors & Consultants General Supplier Sundry Shop Owner</p>
<p>Government Departments</p> <p>School – SJK(T) Ladang Braustein School –SJK(T) Jalan Akob School – SK Bukit Kerayong</p>	<p>Non Governmental Organisation</p> <p>National Union of Plantation Workers All Malaysia Estate Staff Union</p>

Appendix F: Bukit Kerayong Palm Oil Mill Supply Chain Assessment (Module D – CPO Mills: Identity Preserved)

Requirements	Compliance
D.1. Definition	
<p>D.1.1 A mill is deemed to be Identity Preserved (IP) if the FFB used by the mill are sourced from its own supply base certified to the RSPO Principles and Criteria (RSPO P&C). Certification for CPO mills is necessary to verify the volumes and sources of certified FFB entering the mill, the implementation of any processing controls (for example, if physical separation is used), and volume sales of RSPO certified products. A mill may be taking delivery of FFB from uncertified growers, in addition to those from its own certified land base. If a mill processes certified and uncertified FFB without physically separating the material then only Module E is applicable.</p>	<p>The Bukit Kerayong mill only receives certified FFB. Therefore qualifies for the Identity Preserved supply chain system and module. During the P&C assessment, the audit team verified the volumes and sources of certified FFB entering the mill, the implementation of processing controls and volume sales of RSPO certified products</p>
D.2 Explanation	
<p>D.2.1 The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill must be recorded by the certification body (CB) in the public summary of the P&C certification report. This figure represents the total volume of certified palm oil product (CPO and PK) that the certified mill is allowed to deliver in a year. The actual tonnage produced shall then be recorded in each subsequent annual surveillance report.</p>	<p>The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill is recorded in this public summary report.</p>
<p>D.2.2 The mill must also meet all registration and reporting requirements for the appropriate supply chain through the RSPO supply chain managing organization (RSPO IT platform or book and claim).</p>	<p>The mill has met all registration and reporting requirements for the appropriate supply chain through the RSPO supply chain managing organization (RSPO IT platform or book and claim).</p>
D.3 Documented procedures	
<p>D.3.1 The site shall have written procedures and/or work instructions to ensure the implementation of all the elements specified in these requirements. This shall include at minimum the following:</p> <ul style="list-style-type: none"> a) Complete and up to date procedures covering the implementation of all the elements in these requirements; b) The role of the person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the site's procedures for the implementation of this standard. 	<p>Latest written documented procedures (RSPO SCCS v.2 Year 2014) for the chain of custody is with Identity Preserved (IP) model covering all the RSPO Supply Chain Certification Standard and Traceability for handling certified and non-certified FFB under Appendix 15. This developed based on the RSPO SCCS 21 November 2014. The previous SOP was for SG. The mill manager has the responsibility to ensure implementation assisted by the on-site compliance executive. The IP model is used because only certified FFB from own supply base is received and processed at Bukit Kerayong Palm Oil Mill.</p> <p>The mill manager and assistant manager have awareness of the supply chain system. The manager has overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements.</p>
<p>D.3.2 The site shall have documented procedures for receiving and processing certified and non-certified FFBs.</p>	<p>Bukit Kerayong Palm Oil mill has documented procedures (as per above in D 3.1) for the incoming FFB, processing and outgoing palm products (CPO and PK). The procedure covers receiving and processing certified and non-</p>
D.4 Purchasing and goods in	
<p>D.4.1 The site shall verify and document the tonnage and sources of certified and the tonnage of non-certified FFBs received.</p>	<p>Similar to last assessment daily records are prepared at the entry point at the weighbridge. Daily summary and monthly summary documented for all the certified FFB. Records verified by internal and external audit. Bukit Kerayong mill have system to verify at the weighbridge.</p>

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D.4.2 The site shall inform the CB immediately if there is a projected overproduction of certified tonnage.	The facilities aware of this procedure and stated in the.
D.5 Record keeping	
D.5.1 The site shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a three-monthly basis.	All the inventory records are maintained and updated on daily basis and monthly report shows monthly inventory. Computerized system in place. No PKO and Palm kernel meal at Bukit Kerayong Palm Oil mill. PK is sold to Sime Darby's Kernel Crushing Plant and also other 3 rd party KCP . Daily records are prepared at the entry point at the weighbridge. Daily summary and monthly summary documented for all the FFB received. Records of certified FFB received verified during annual surveillance. Records verified by internal
D.6 Processing	
D.6.1 The site shall assure and verify through documented procedures and record keeping that the RSPO certified oil palm product is kept segregated from noncertified material including during transport and storage.	During this assessment it was confirmed that only certified source of FFB from own plantation is processed. This ensures that there is no possibility of mixing during processing. There is a possibility that the mill will receive Certified FFB from other Sime Darby's Certified Estate which was certified under Tennamaram Certification Unit (SIRIM QAS International Sdn Bhd, valid until 13 March 2016). This will be further verified during next surveillance assessment if such cases occurred and observed. No non- certified FFB received.
D.6.2 The objective is for 100 % segregated material to be reached.	Processing and storage records can trace back to only certified segregated FFB and finish product (CPO and PK) through traceability records such as weighbridge records. This ensures that 100% segregated materials are reached.

Actual Certified Palm Production –Jan 2014 – Dec 2014 (ASA 3)

MILL	CAPACITY	CPO	PK
Bukit Kerayong Palm Oil Mill	30 mt/hr	25222	6265

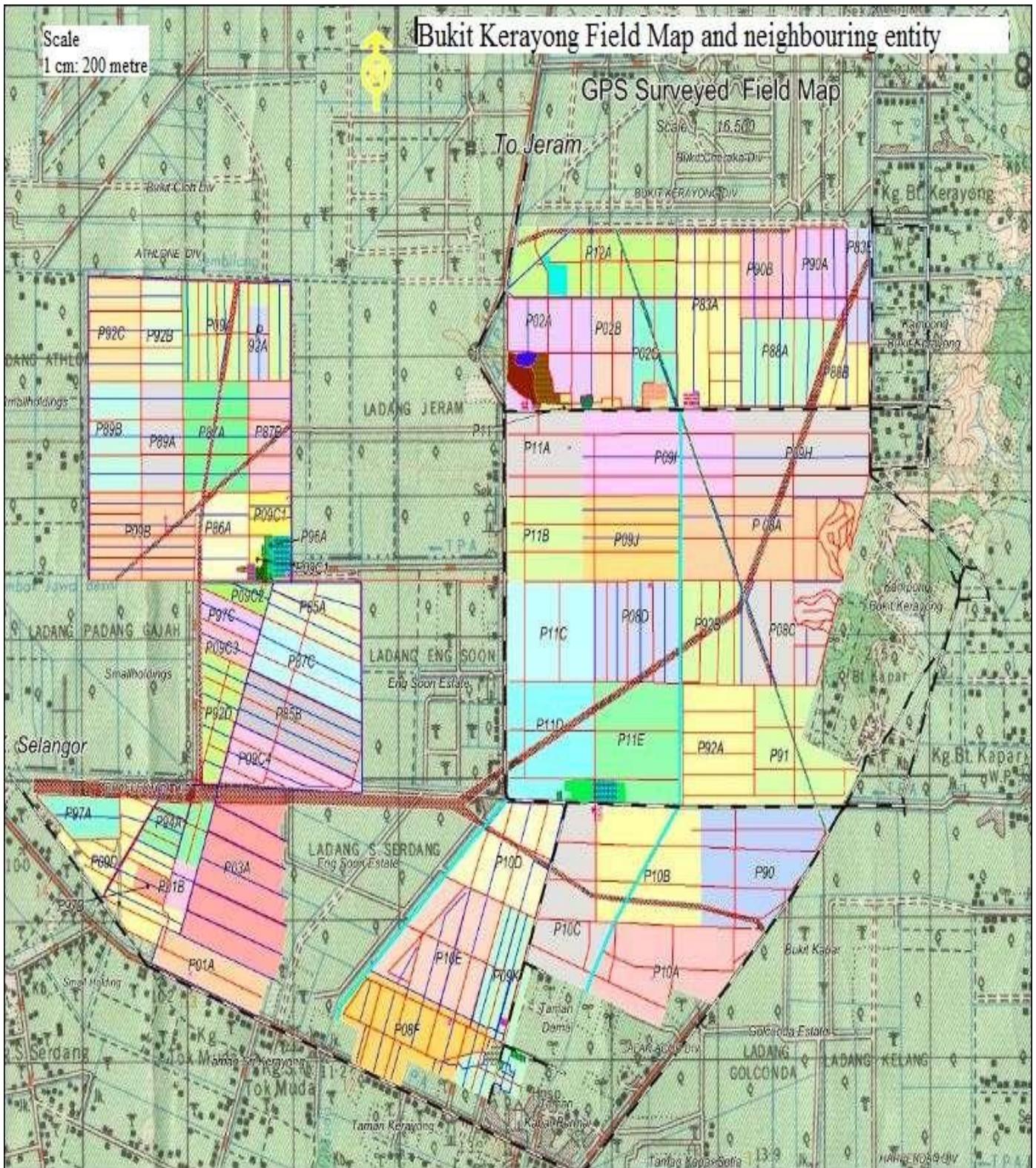
Actual Sales of Certified Palm Products –Jan 2014 –Dec 2014 (ASA 3)

MILL	Certified CPO Sales	Certified PK Sales	Remarks
Bukit Kerayong Palm Oil Mill	750 tonne (Confirmed sales through eTrace)	853.24 tonne	(Confirmed sales through eTrace)

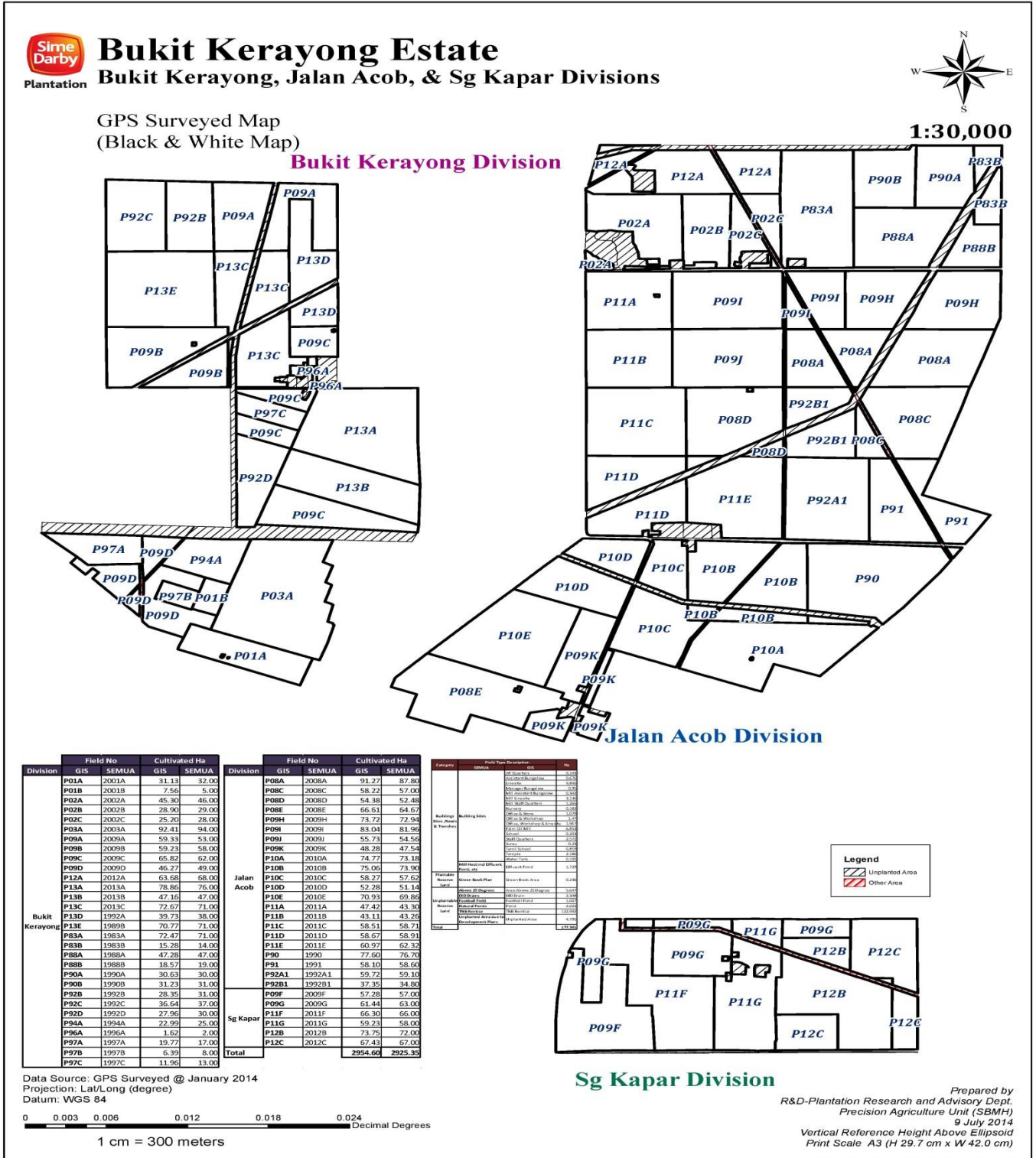
Actual Certified FFB Received Monthly –Jan 2014 – Dec 2014 (ASA 3)

Month	Bkt Kerayong Estate	Bukit Cheraka Estate	Elmina Estate	Total FFB/Month
January 2014	3594.97	5479.35	2927.04	12001.36
February 2014	2508.69	3120.86	1660.87	7290.42
March 2014	4381.55	6545.79	1875.18	12802.52
April 2014	3664.74	5663.21	2169.17	11497.12
May 2014	3655.83	6796.01	654.93	11106.77
June 2014	3643.15	6441.77	0.00	10084.92
July 2014	3818.60	6086.61	0.00	9905.21
August 2014	5156.27	7969.50	0.00	13125.77
Sept. 2014	4478.95	5989.87	0.00	10468.82
Oct. 2014	4939.64	6786.64	0.00	11726.28
Nov. 2014	4037.37	5533.23	0.00	9570.60
Dec. 2014	3279.86	3998.77	276.58	7555.21
Total	47159.62	70411.61	9563.77	127135.00

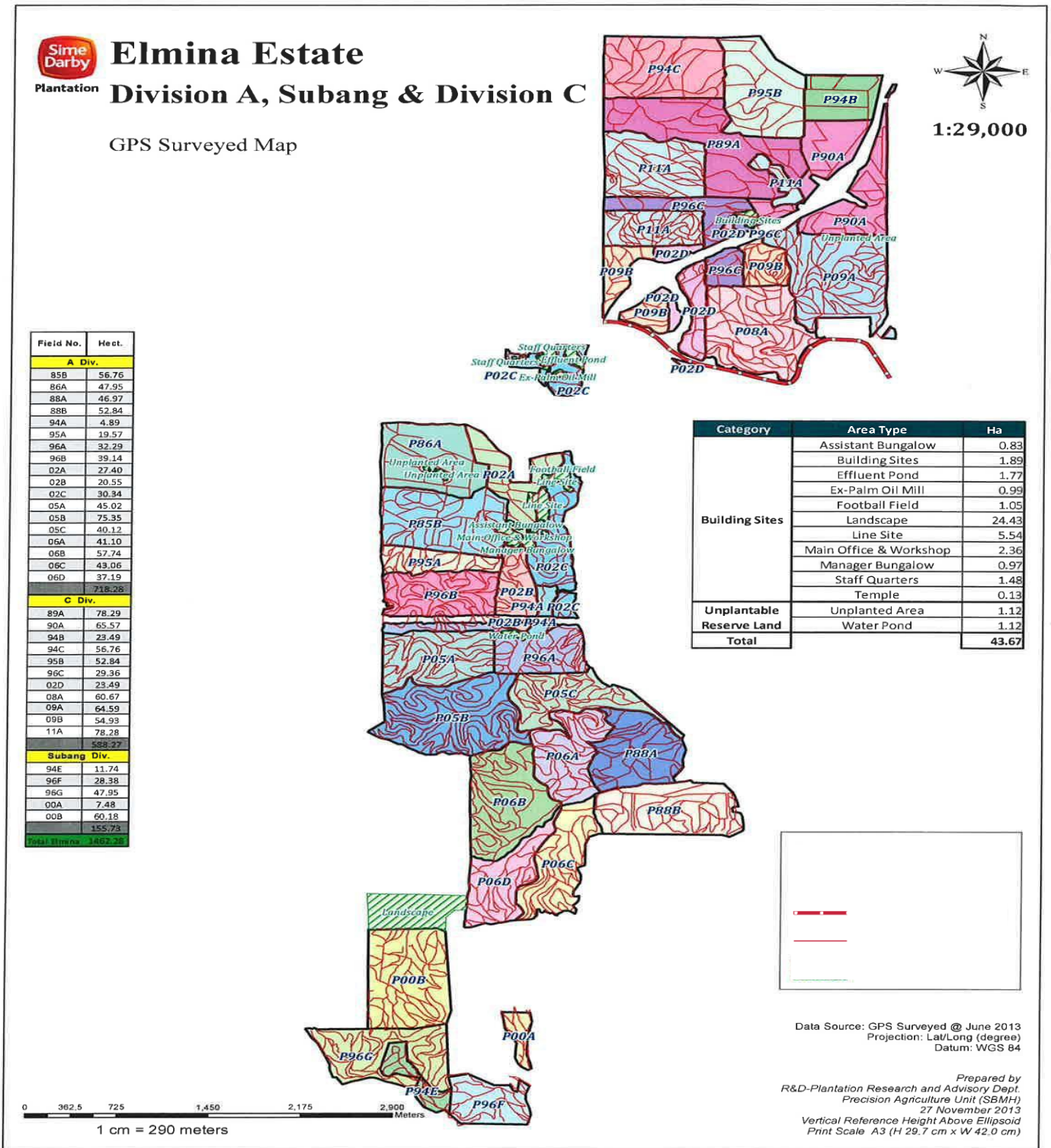
Appendix G: Map shows location of the Bukit Kerayong Palm Oil Mill and Supply Base in Kapar, Selangor, Peninsular Malaysia



Appendix H: Map shows location of the Bukit Kerayong Estate



Appendix I: Map shows location of the Elmina Estate



Data Source: GPS Surveyed @ June 2013
Projection: Lat/Long (degree)
Datum: WGS 84

Prepared by
R&D-Plantation Research and Advisory Dept.
Precision Agriculture Unit (SBMH)
27 November 2013
Vertical Reference Height Above Ellipsoid
Print Scale A3 (H 29.7 cm x W 42.0 cm)

Appendix J: List of Abbreviations Used

ASA1	Annual Surveillance Assessment 1
BOD	Biological Oxygen Demand
CHRA	Chemical Health Risk Assessment
CPO	Crude Palm Oil
DOE	Department of Environment
DOSH	Department of Occupational Safety & Health
EFB	Empty Fruit Bunch
EMS	Environmental Management System
FFB	Fresh Fruit Bunch
GMP	Good Manufacturing Practice
HCV	High Conservation Value
IAV	Initial Assessment Visit
IPM	Integrated Pest Management
ISCC	International Sustainable Carbon Certification
PPOM	Bukit Kerayong Palm Oil Mill
MAPA	Malaysian Agriculture Producers Association
MPOA	Malaysian Palm Oil Association
MSDS	Material Safety Data Sheet
MY-NI	Malaysian National Interpretation
NUPW	National Union of Plantation Workers
PK	Palm Kernel
PPE	Personal Protective Equipment
PSQM	Plantation Sustainability and Quality Management
RED	Renewable Energy Directive
RSPO P&C	Roundtable on Sustainable Palm Oil Principle & Criteria
SCCS	Supply Chain Certification Standard
SEIA	Social & Environmental Impact Assessment
SIA	Social Impact Assessment
SOP	Standard Operating Procedure
SOU	Strategic Operating Unit