

**RSPO PRINCIPLE AND CRITERIA
4th Annual Surveillance Assessment (ASA4_1)
Public Summary Report**

Sime Darby Plantation Berhad
Head Office: Level 3A, Main Block Plantation Tower, No. 2, Jalan P.J.U 1A/7 47301 Ara Damansara Selangor, Malaysia
Strategic Operating Unit (SOU 26) Sandakan Bay Palm Oil Mill Locked Bag 39, Suanlamba District 90009 Sandakan, Sabah, Malaysia

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Section 1: Scope of the Certification Assessment

1. Company Details			
RSPO Membership Number	1-0008-04-000-00	Date	Member since: 6 September 2004
Company Name	Sime Darby Plantation Berhad		
Address	Head Office: Level 3A, Main Block, Plantation Tower, No. 2, Jalan PJU 1A/7 47301 Ara Damansara, Selangor, Malaysia Certification Unit: Strategic Operating Unit (SOU 26) – Sandakan Bay Palm Oil Mill, Locked Bag 39, Suanlamba District 90009 Sandakan, Sabah, Malaysia		
Subsidiary of (if applicable)	N/A		
Contact Name	Mdm. Shylaja Devi Vasudevan Nair (Head, Sustainability Unit PSQM) Mr Hudal Firdaus Lahuri (Sandakan Bay Palm Oil Mill Manager)		
Website	www.simedarby.com	E-mail	Shylaja.vasudedvean@simedarby.com kks.sandakan.bay@simedarby.com
Telephone	+603-78484371 (Head Office) +6089-622276/247225 (Mill)	Facsimile	+603-78484363 (Head Office) +6089-622276 (Mill)

2. Certification Information			
Certificate Number	RSPO 537872	Original Certificate Issued Date	01/10/2008
		Expiry Date	30/09/2018
Scope of Certification	Palm Oil and Palm Kernel Production from Sandakan Bay Palm Oil Mill and Supply Base (Segaliud Estate, Sentosa Estate, Tigowis Estate, Tun Tan Estate and Tunku Estate)		
Other Certifications			
Certificate Number	Standard(s)	Certificate Issued by	Expiry Date
Nil	n/a	n/a	n/a

3.Location(s) of Mill & Supply Bases			
Name (Mill / Supply Base)	Location [Map Reference #]	GPS	
		Easting	Northing
Sandakan Bay Palm Oil Mill	Locked Bag 39, Suanlamba District, 90009, Sandakan, Sabah, Malaysia	E 118° 10' 20"	N 5° 45' 20"
Segaliud Estate	WDT 250, 90009, Sandakan Sabah, Malaysia	E 117° 45' 20"	N 5° 43' 33"
Sentosa Estate	Locked Bag 39, Suanlamba District, 90009, Sandakan, Sabah, Malaysia	E 118° 10' 21"	N 5° 43' 44"
Tigowis Estate	Locked Bag 39, Suanlamba District, 90009, Sandakan, Sabah, Malaysia	E 118° 07' 49"	N 5° 57' 1"
Tun Tan Estate	Locked Bag 39, Suanlamba District, 90009, Sandakan, Sabah, Malaysia	E 118° 10' 20"	N 5° 45' 20"
Tunku Estate	Locked Bag 39, Suanlamba District, 90009, Sandakan, Sabah, Malaysia	E 118° 10' 20"	N 5° 45' 20"

4.Description of Supply Base							
Estate	Mature (ha)	Immature (ha)	Total Planted (ha)	HCV (ha)	Infrastructure & Other (ha)	Total Hectarage	% of Planted
Segaliud Estate	3,164.00	1,144.05	4,308.05	261.19	250.89	4,820.13	89.37
Sentosa Estate	2,337.13	797.88	3,134.68	74.64	337.21	3,546.53	88.39
Tigowis Estate	1,224.37	659.27	1,883.64	9.93	180.45	2,074.02	90.82
Tun Tan Estate	1,355.15	1,437.53	2,792.68	4.74	336.19	3,143.23	89.00
Tunku Estate	1,972.85	835.41	2,808.26	30.00	364.79	3,203.05	87.67
Total	10,053.5	4,874.14	14,927.31	380.5	1,469.53	16,786.96	88.92

5. Plantings & Cycle								
Estate	Age (Years)					Tonnage / Year		
	0 - 3*	4 - 10*	11 - 20	21 - 25	26 - 30	Estimated (July 16- June 17)	Actual (July 16- June 17)	Forecast (July 17- June 18)
Segaliud Estate	1,144.05	1,554.91	444.46	664.86	499.77	56,507.49	43,202.34	47,119.50
Sentosa Estate	797.88	684.24	-	1,652.56	-	39,857.88	36,877.37	43,462.87
Tigowis Estate	659.27	521.73	-	702.64	-	21,182.98	19,668.46	22,658.53
Tun Tan Estate	1,437.53	64.84	-	1,290.31	-	26,608.93	29,815.54	28,800.00
Tunku Estate	835.41	549.38	-	1,423.47	-	35,530.63	33,477.49	35,046.00
	4,874.14	3375.1	444.46	5,733.84	499.77	179,687.91	163,041.20	177,086.90

***Note: Replanting**

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6. Certified Tonnage of FFB (Own Certified Scope)			
Estate	Tonnage / year		
	Estimated (July 16-June 17)	Actual (July 16-June 17)	Forecast (July 17- June 18)
Segaliud Estate	56,507.49	43,202.34	47,119.50
Sentosa Estate	39,857.88	36,877.37	43,462.87
Tigowis Estate	21,182.98	19,668.46	22,658.53
Tun Tan Estate	26,608.93	29,815.54	28,800.00
Tunku Estate	35,530.63	33,477.49	35,046.00
Total	179,687.91	163,041.20	177,086.90

7. Non-Certified Tonnage of FFB (outside supplier – excluded from certificate)			
Independent FFB Supplier	Tonnage / year		
	Estimated (July 16-June 17)	Actual (July 16-June 17)	Forecast (July 17- June 18)
Golden Forefront Sdn Bhd	2,400.00	1,984.05	-
Mai Shang Holding Sdn Bhd	4,800.00	2,791.50	-
Bacho Hj. Jansie	1,200.00	665.33	-
Novel Borneo Sdn Bhd	2,400.00	1,550.12	-
Maju Jaya Plantations Sdn Bhd	4,700.00	4,052.10	-
Corporate Spirit Sdn Bhd - SG Harvest	1,200.00	3,108.39	-
Wira Jayamas Sdn Bhd	1,200.00	146.64	-
Setuju Harapan Sdn Bhd	1,200.00	1,984.05	-
Otp-Others	26,306.00	-	-
TOTAL	45,406.00	14,298.13	-

8. Certified Tonnage									
Mill	Estimated (July 16-June 17)			Actual (July 16-June 17)			Forecast (July 17- June 18)		
	FFB	CPO	PK	FFB	CPO	PK	FFB	CPO	PK
KKS Sandakan Bay	179,687.91	38,811.13	8,803.28	163,041.20	34,632.59	7,820.55	177,086.90	37,896.60	7,968.91
OER/KER	-	21.60%	4.90%	-	21.24%	4.80%	-	21.4%	4.50%

Section 2: Assessment Process

Certification Body:

BSI Services Malaysia Sdn Bhd,
(ASI Accreditation Number: RSPO-ACC-19)
Unit 3, Level 10, Tower A
The Vertical Business Suites, Bangsar South
No. 8, Jalan Kerinchi
59200 Kuala Lumpur
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Nicholas Cheong: Nicholas.Cheong@bsigroup.com
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BSI is a leading global provider of management systems assessment and certification, with more than 60,000 certified locations and clients in over 100 countries. BSI Standards is the UK's National Standards Body. BSI provides independent, third-party certification of management systems. BSI is ASI Accredited (RSPO-ACC-19) to conduct RSPO assessment since 31/10/2014 with accredited office located at Kuala Lumpur, Malaysia. BSI is accredited for RSPO Supply Chain Certification Systems (SCCS) and Principles & Criteria for Sustainable Palm Oil Production (P&C, Single Site & Group) certification Worldwide.

Assessment Methodology, Programme, Site Visits

This 4th Annual Surveillance Assessment was conducted from 6 – 8 June 2017. The audit programme is included as Appendix D. The approach to the audit was to treat the mill and its supply base as an RSPO Certification Unit. Mill was audited together with the sample estates (Tigowis Estate & Tun Tan Estate). A range of environmental and social factors were covered. This includes consideration of topography, palm age, proximity to areas with HCVs, declared conservation areas and local communities.

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

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

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

Structured worker interviews with male and female workers and staff were held in private at the workplace in the mill and the estates. Fieldworkers were interviewed informally in small groups in the field. In addition, the wives of workers and staff were interviewed in informal group meetings at their housing. Separate visits were made to each

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of the local communities to meet with the village head and residents. Company officials were not present at any of the internal or external stakeholder interviews. A list of Stakeholders contacted is included as Appendix E.

All the previous nonconformities are remains closed. The assessment findings for the 4th Annual Surveillance Assessment are detailed in Section 3.3.

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

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

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

1. Assessment Program					
Name (Mill / Supply Base)	Year 1 (Recertification)	Year 2 (ASA 1)	Year 3 (ASA 2)	Year 4 (ASA 3)	Year 5 (ASA 4)
Sandakan Bay POM	√	√	√	√	√
Segaliud Estate	√			√	
Sentosa Estate		√		√	
Tigowis Estate			√		√
Tun Tan Estate		√			√
Tunku Estate	√		√		

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

Tentative Date of Next Visit: June 5, 2018 – June 7, 2018

Total No. of Mandays: 9 mandays

BSI Assessment Team:

Hoo Boon Han – Lead Auditor

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

Daniel Francis – Team Member

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

Hu Ning Shing - Team Member

She holds Bachelor Degree in Science majoring in Applied Chemistry, graduated from University of Malaya on 2011. She has 5 years working experience in rubber and palm oil industry. She also has the experiences as auditor for several standards including ISO 9001, MSPO and RSPO in her previous certification body. She completed the ISO 9001 Lead Auditor Course on 2016, Endorsed RSPO P&C Lead Auditor Course in 2012 and Endorsed RSPO SCCS Lead Auditor Course in 2015. She had been involved in RSPO auditing since November 2015 in more than various companies in Malaysia. During this assessment, she assessed on the aspects of social. She is fluent in Bahasa Malaysia and English languages.

Accompanying Persons: -

Section 3: Assessment Findings

3.1 Details of audit results

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

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

3.2 Progress against Time Bound Plan

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

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

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

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

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

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

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

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

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

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

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

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agreed process, in accordance with RSPO criterion 6.3.		
Any Legal non- compliance is being resolved in accordance with the legal requirements, with reference to RSPO criteria 2.1 and 2.2.	None noted. No stakeholder comments or complaints received.	Complied.

3.3 Details of findings

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

During the 4th Annual Surveillance Assessment there were 1 (one) Major nonconformity & 1 (one) Minor nonconformities raised. The Sandakan Bay Palm Oil Mill Certification unit submitted Corrective Action Plans for the nonconformity. Corrective action plans with respect to the nonconformity was reviewed by the BSI audit team and accepted.

The implementation of the Corrective Actions for the Major Nonconformity has been verified for its effectiveness and closed accordingly.

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1487745-201706-M1	<p>Requirements Indicator 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.</p>	Major
	<p>Evidence of Nonconformity There are few sampled workers in Sandakan Bay POM were found with extension contract in old version (January 2015) as below: a. Employee No.: 34362 b. Employee No.: 34414 c. Employee No.: 58382 d. Employee No.: 68373</p> <p>Sampled letter of employment in Tigowis Estate where the annual leave entitlement was not consistent among the workers as below: a. Employee No.: 105780 (AL 11 days) b. Employee No.: 107538 (AL 11 days) c. Employee No.: 119987 (AL 11 days) d. Employee No.: 109692 (AL 11 days) e. Employee No.: 127916 (AL 14 days) f. Employee No.: 133851 (AL 14 days)</p>	
	<p>Statement of Nonconformity Worker's contract and extension contract of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday</p>	

	<p>entitlement, maternity leave, reasons for dismissal, period of notice, etc.) were not effectively managed.</p> <p>Corrective Actions</p> <ol style="list-style-type: none"> 1. In the new regional structure of Sime Darby Plantation, HR Regional for Sabah is available to manage and monitor on region HR matters including employment contract for workers. 2. Estate and mill management will appoint PIC for monitoring the workers contract of employment. 3. Estate and mill management will use the new version of worker's employment contract for all affected workers which release by Human Resource department. <p>Assessment Conclusion</p> <p>Major NC close out verification: <u>Sandakan Bay POM</u> Verified newly revised contract extension for 11 workers based on the latest employee master list as at 15/7/17. Contract extension version EMP04/INDO/2017/01 and for other's nationality (Sabah) extension (Philippine) were checked the following workers:</p> <ol style="list-style-type: none"> i) Philippines nationality - EMP34362, EMP68573 and EMP34414 ii) Indonesian nationality - EMP34368, EMP34429, EMP50929, EMP34348, EMP58382, EMP34423, EMP34385 and EMP34367 Interview session with the above workers confirmed that they have acknowledged and understand the new term and condition stipulated in the contract extension. <p><u>Tigowis Estate</u> Verified newly revised contract extension for 11 workers based on the latest employee master list as at July 2017. Contract extension version EMP04/INDO/2017/01 and for other's nationality (Sabah) extension (Philippine) were checked the following workers:</p> <ol style="list-style-type: none"> i) Philippines nationality - EMP105780, EMP119987, EMP86270, EMP118532, ii) Indonesian nationality - EMP109692, EMP127916, EMP133851, EMP31917, EMP122153, EMP54802, EMP85492 <p>Tun Tan Estate Verified newly revised contract for 12 workers based on the latest employee master list as at 17/7/17. Main contract contract version EMP03/INDO/2017/01 and for other's nationality (Sabah) (Philippine) were checked the following workers:</p> <ol style="list-style-type: none"> i) Philippines nationality - EMP130134 ii) Indonesian nationality - EMP52176, EMP132499, EMP134742 <p>For contract extension version EMP04/INDO/2017/01 and for other's nationality (Sabah) extension (Philippine) the following workers were checked: i) Philippines nationality - EMP32174, EMP52176, EMP32085, EMP32022, EMP32147 ii) Indonesian nationality - EMP52176, EMP76988, EMP95708</p> <p>Interview session with the above workers confirmed that they have acknowledged and understand the new term and condition stipulated in the contract extension.</p> <p>Corrective action found to be effective, thus the major NC was closed on 28/7/17 based on-site verification and supported with sufficient documented evidence.</p>	
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Non-Conformity		
NCR #	Description	Category (Major / Minor)
1487745-201706-N1	<p>Requirements Indicator 5.2.4 Where a management plan has been created there shall be ongoing monitoring:</p> <ul style="list-style-type: none"> • The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported; • Outcomes of monitoring shall be fed back into the management plan. 	Minor
	<p>Evidence of Nonconformity Tigowis Estate: Biodiversity Conservation Action Plan FY 2016/2017 for areas such as waterways, Bukit Dato and water catchment area. However, visited to Bukit Dato in Tigowis estate which categorized as the HCV 4, part of the conservation area has been encroached by the local workers for chicken breeding and cash crop planting such as banana and cassava. The signage of the conservation area fell down without any proper maintenance. The implementation of the management plan and monitoring of the HCV area is not effective.</p> <p>Tun Tan Estate: Wildlife monitoring is lacking as part of the jungle reserved that are protected where significant population of flora and fauna exist. For example, according to the watchman, elephant intrusion happened in March 2017, however, no sighting record or action plan being updated.</p>	
	<p>Statement of Nonconformity The HCV management plan and monitoring is not implemented effectively.</p>	
	<p>Corrective Actions Tigowis Estate</p> <ol style="list-style-type: none"> 1. Estate management will conduct HCV awareness training to all workers to create awareness on the HCV conservation in the estate. 2. All the chicken breeding and cash crop will be transferred to another non HCV area. 3. Estate management will issue a memo to all workers regarding on the encroachment of Bukit Dato and stated no such activity are allowed at HCV area in the estate. 4. Estate management will establish a monitoring schedule for the HCV area in the estate. 5. Estate management will do necessary maintenance for the signage at Bukit Dato. <p>Tun Tan Estate: Tun Tan Estate:</p> <ol style="list-style-type: none"> 1. Estate will include wildlife monitoring in the HCV action plan. 2. Estate management will appoint PIC for wildlife monitoring in the estate and establish the monitoring records. Any sighting of the wildlife in the estate will be recorded in the HCV monitoring record. 	
	<p>Assessment Conclusion</p>	

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	The CAP and evidence has been submitted on 7/7/2017. The continuous implementation of the corrective action will be verified during the next surveillance assessment.	
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Observation	
OBS #	Description
Not applicable.	

Positive Findings	
PF #	Description
1	External stakeholders for the mill and estates shown positive feedbacks towards the company.
2	The SOU 26 management unit has maintained good relationship with the local community and other stakeholders.
3	KAIZEN projects have been initiated to improve on safety working environment and process efficiency to maximize output and minimize lost time incident on human and machinery.

Issues raised by Stakeholders	
Stakeholder consultation involved internal and external stakeholders. External stakeholders were contacted by telephone to arrange meetings at a location convenient to them to discuss Sandakan Bay Palm Oil Mill Certification Unit's environmental and social performance, legal and any known dispute issues.	
Meetings were conducted with stakeholders to seek their views on the performance of the company with respect to the RSPO requirements and aspects where they considered that improvements could be made. At the start of each meeting, the interviewer explained the purpose of the audit followed by an evaluation of the relationship between the stakeholder and the company before discussions proceeded. The interviewer recorded comments made by stakeholders and later was verified with the management team. These have been incorporated into the assessment findings.	
Structured worker interviews with male and female workers and staff were held in private at the workplace in the mill and the estates. Fieldworkers were interviewed informally in small groups in the field. In addition, the wives of workers and staff were interviewed in informal group meetings at their housing. Separate visits were made to each of the local communities to meet with the village head and residents. Company officials were not present at any of the internal or external stakeholder interviews. A list of Stakeholders contacted is included as Appendix E.	
IS #	Description
1	<p>Issues: Crèche Attendants – Informed that company has provided formula milk and biscuits for the kids. Their salary was achieved the Minimum Wage Order 2016. They were treated equally with no discrimination from the management.</p> <p>Management Responses: The management will continue to pay attention and take care of the kids as well as the workers.</p> <p>Audit Team Findings: No further issue.</p>
2	Issues:

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	<p>Gender Committee’s representatives – They were reported that no sexual harassment and violence case report. They are understood on their rights and aware of no chemical handling if detected pregnant and during breast-feeding period.</p> <p>Management Responses: They will monitor closely if there is any case reported.</p> <p>Audit Team Findings: Document reviewed and interviewed with female workers confirmed that no case occurred.</p>
3	<p>Issues: Contractors – They confirmed that the payment is made promptly as per agreed contract.</p> <p>Management Responses: Payment is made as per the agreed terms.</p> <p>Audit Team Findings: No other issues.</p>
4	<p>Issues: Smallholder – He informed that no land encroachment by the management. He has good relationship with the management. Payment was made according to the contract agreement signed.</p> <p>Management Responses: The management will maintain good relationship with the smallholder and to ensure no encroachment in future.</p> <p>Audit Team Findings: No issue that need further verification.</p>
5	<p>Issues: Workers’ Representative – He reported that no discrimination happened from the management. Their salary was achieved the Minimum Wage Order 2016. He has requested the Mill Management to provide land route to send children to school at the next village instead of boat transfer.</p> <p>Management Responses: The management has informed that they already got the tender from bus driver. Seen the letter of offer for the tender dated 16/3/2017 and awaiting acceptance from the bus driver.</p> <p>Audit Team Findings: This will be verified during the next audit.</p>
6	<p>Issues: Head of Village, Kg. Sepinong – He informed that the management has provided work opportunities to the local communities. No land dispute case reported. The management has given assistance whenever they requested such as supply of clean water during drought season.</p> <p>Management Responses: The management will continue to provide support/ assistance whenever request by the local communities.</p> <p>Audit Team Findings: No further issue.</p>
7	<p>Issues: Market for workers to purchase food and clothing in the estate area.</p> <p>Management Responses: The management has planned to arrange monthly market in the estates but will have to limit the stalls because it will attract many people from outside the estates and cause social problems.</p> <p>Audit Team Findings: Managements effort is positive and satisfactory.</p>
8	<p>Issues: Unclear with the terms and conditions in the work contract (eq. return to home country and expenses)</p> <p>Management Responses:</p>

	The management will arrange for discussion with all employers and to explain the terms and conditions in their work contract on this matter.
	Audit Team Findings: Managements effort is positive and satisfactory.
9	Issues: Documentation for workers children for travelling back to home country.
	Management Responses: The management has made efforts to arrange visits by the relevant authorities/embassies to assist workers in their estates to get the necessary documentation arrangements.
	Audit Team Findings: Managements effort is positive and satisfactory.

3.3.1 Status of Nonconformities Previously Identified and Observations

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1356967N1	Requirements: Indicator 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
	Evidence of Nonconformity: Segaliud Estate: It was sighted during site visit that there was improper dumping of waste by neighbour within estate field at the vicinity of estate boundary.	
	Statement of Nonconformity: Implementation of the safety and health plan was not effective.	
	Corrective Action: Root cause: No communication regarding this matter done with the stakeholder Correction & corrective action: 1. The information on waste management plan and its legal requirement will be disseminated during the upcoming stakeholder meeting. 2. The area will be monitored by the estate team. This can be done by daily APs patrolling activity along the estate boundary. 3. Boundary demarcation (such as pole, stone, signage or fencing) at the area. 4. This matter will be included into the waste management plan.	
	Assessment Conclusion: During the surveillance audit, the issue was highlighted in the stakeholder meeting and was captured in the meeting minutes and transfer into the social management plan. Sighted the social management plan dated 13 May 2017 of the POM recorded the issues of the stakeholder meeting. The previous issue details as below: 1. Waste Management Action Plan Segaliud Estate FY16/17 dated 19/08/16 for AP patrols to ensure that no dumping of waste and to conduct the stakeholder meeting.	

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	<p>2. Installation of signage's at Datuk Andrew border field 2014A and Ngan Plantation border field 2004 (Block 13). 3. AP patrolling record book on daily patrolling.</p> <p>The minor NC was closed on 08/06/2017</p>	
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Non-Conformity		
NCR #	Description	Category (Major / Minor)
1356967N2	<p>Requirements: Indicator 2.1.3 A mechanism for ensuring compliance shall be implemented. Mechanism for ensuring compliance towards legal requirements identified not implemented for the following: EQA 1974; Environmental Quality (Clean Air) Regulations 2014; Regulations 5: Obligation to notify 5. (1) An owner or occupier of a premises shall not, without giving prior written notification to the Director General – (b) carry out any work on any premises that may result in a source of emission</p> <p>Evidence of Nonconformity: Segaliud Estate & Sentosa Estate: No evidence of prior written notification to the Director General (of DOE) to operate generator set which result in a source of emission.</p> <p>Statement of Nonconformity: A mechanism for ensuring compliance shall be implemented.</p> <p>Corrective Action: Root cause: No specific PIC and overlooked on the legal requirement (Kebenaran Bertulis) Correction & corrective action: 1. The ESHMR to get the required written notification from DOE 2. Updating of the LORR</p>	Minor

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	<p>Assessment Conclusion: Sighted that the PSQM team had conducted the internal audit (Segaliud Estate dated 07/03/2017, Sentosa Estate dated 10/03/2017, Tigowis Estate dated 06/03/2017 and Sandakan Tun Tan Estate dated 09/03/2017) to resolve the issues and the corrective action was effectively implemented and the minor closed accordingly.</p> <p>Sighted evidence(s):</p> <ol style="list-style-type: none"> 1. Action plan for Segaliud Estate FY2016/2017 dated 16/03/17. 2. Action plan for Sentosa Estate FY2016/2017 dated 13/03/17. 3. LORR included the written approval for fuel burning equipment which is still on progress. 4. Letter of offer date 20/04/2017 to Rehpro Scientific Sdn Bhd for the preparation and submission of written notification to DOE to install 09 unit of generator set at SOU26 estates. 5. Quotation #Q0170318 dated 25/03/17 for the written notification to DOE which include submission to DOE, Engineering Drawing endorsed by Professional Engineer (P.E), site inspection and testing for four (04) generator sets. 6. Email correspondence between SOU26 and Rehpro Group for the itinerary and schedule for the site visit. <p>The minor NC was closed on 08/06/2017</p>	
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Observation	
OBS #	Description
Not applicable.	

3.3.2 Summary of the Nonconformities and Status


CAR Ref.	CLASS	ISSUED	STATUS
CR01	Minor	02/06/2008	Closed 17/09/2009
CR02	Minor	02/06/2008	Closed 17/09/2009
CR03	Major	17/09/2009	Closed 16/11/2009
CR04	Minor	17/09/2009	Closed 24/09/2010
CR05	Minor	17/09/2009	Closed 24/09/2010
CR06	Minor	17/09/2009	Closed 24/09/2010
CR07	Minor	29/06/2011	Closed 24/05/2012
CR08	Minor	29/06/2011	Closed 24/05/2012
CR09	Minor	29/06/2011	Closed 24/05/2012
CR10	Minor	29/06/2011	Closed 24/05/2012
CR11	Minor	24/05/2012	Closed 02/08/2013
CR12	Minor	24/05/2012	Closed 02/08/2013
1007353M1	Major	02/08/2013	Closed 30/08/2013
1007353N7	Minor	02/08/2013	Closed 5/02/2015
1007353N10	Minor	02/08/2013	Closed 5/02/2015
1149355M1	Major	6/02/2015	Closed 4/4/2015
1149355N1	Minor	6/02/2015	Closed 5/8/2015
1213780M1	Major	6/08/2015	Closed 2/10/2015
1213780N1	Minor	6/08/2015	Closed on 19/7/2016

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1356967N1 – 1.1.1	Minor	19/7/2016	Closed on 08/06/2017
1356967N2 – 2.1.3	Minor	19/7/2016	Closed on 08/06/2017
1487745-201706-M1 – 6.5.2	Major	08/06/2017	Closed on 17/07/2017
1487745-201706-N1 – 5.2.4	Minor	08/06/2017	"Open"

Assessment Conclusion and Recommendation:

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

Acknowledgement of Assessment Findings	Report Prepared by
Name: Mr Hudal Firdaus Bin Lahuri	Name: Mr Hoo Boon Han
Company name: Sime Darby Plantation Sdn Bhd Sandakan Palm Oil Mill (SOU 26)	Company name: BSI Services Malaysia Sdn Bhd
Title: Mill Manager	Title: Lead Auditor
Signature:  SIME DARBY PLANTATION (SABAH) SDN. BHD. (COMPANY NO. 02935931) Sandakan Bay Palm Oil Mill HUDAL FIRDAUS BIN LAHURI Mill Manager	Signature:  Date: 07 Aug 2017
Date: 11 Aug 2017	

Appendix A: Summary of Findings

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

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Criterion / Indicator	Assessment Findings	Compliance
<p>1.2.1</p> <p>Publicly available documents shall include, but are not necessary limited to:</p> <ul style="list-style-type: none"> • Land titles/user rights (Criterion 2.2); • Occupational health and safety plans (Criterion 4.7); • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); • HCV documentation (Criteria 5.2 and 7.3); • Pollution prevention and reduction plans (Criterion 5.6); • Details of complaints and grievances (Criterion 6.3); • Negotiation procedures (Criterion 6.4); • Continual improvement plans (Criterion 8.1); • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13). <p>- Major compliance –</p>	<p>There was no restriction noted as to the documents made available to the public except those prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes. Sime Darby Plantation Berhad continued to use the internet for disseminating public information. Information relating to land titles, safety and health plans, pollution prevention plans was made available at all operating units. Procedure for complaints and grievances were available through Sime Darby Plantation Bhd website: http://www.simedarbyplantation.com/Sustainability.aspx</p> <p>Among the documents that were made available for viewing are:</p> <ul style="list-style-type: none"> • Good Agricultural Practices • Social Enhancement • Sustainability Management Programs • Complaint and Grievances procedure. • Environmental Conservation <p>These documents highlight current Sime Darby Plantation Bhd practices and their continual improvement plans. Besides the above document Sime Darby Plantation Bhd policy on the followings are also available at the same website:</p> <ol style="list-style-type: none"> 1. Social 2. Quality 3. Food Safety 4. Occupational Safety & Health 5. Environment & Biodiversity 6. Slope Protection and Buffer Zone 7. Lean Six Sigma 8. Gender <p>In addition to the website, the policies were also displayed at various locations including the main notice boards of the estates, mill offices and muster ground notice boards for employees and visitors to view.</p>	<p>Complied</p>
<p>Criteria 1.3: Growers and millers commit to ethical conduct in all business operations and transactions.</p>		
<p>1.3.1</p> <p>There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions, which shall be documented and communicated to all levels of the workforce and operations.</p> <p>-Minor compliance</p>	<p>Management from the estates have communicated the Code of Business Conduct (COBC) to all the employees on 18/3/2017, 21/3/2017 and 22/3/2017 for Tigowis Estate and 28/3/2017 for Tun Tan Siew Sin Estate. Attendance list was sighted with the acknowledgement from employees.</p> <p>Sandakan Bay POM : Refresher Training dated 3 Aug 2016.</p>	<p>Complied</p>
<p>Principle 2: Compliance with applicable laws and regulations</p>		
<p>Criterion 2.1: There is compliance with all applicable local, national and ratified international laws and regulations.</p>		

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Criterion / Indicator	Assessment Findings	Compliance
2.1.1 Evidence of compliance with relevant legal requirements shall be available. - Major compliance -	<p>SOU26 had continued to comply with the legal requirements as per indicator. Compliance to each applicable law and regulation is monitored by the operating units and PSQM sustainability team. SOU26 had obtained and renewed license and permits as required by the law.</p> <p>Sample of licenses or permit viewed were:</p> <p><u>Sandakan Bay POM</u></p> <ol style="list-style-type: none"> 1. MPOB: 508777804000 (validity period 01/12/2016 - 30/11/2017) 2. Jetty License from Sabah Port Authority No.: LPPS 600-13/1/61 valid until 31/12/2017. 3. Diesel Permit #S005332, ref PPDNKK.SDK.02/2000(SK) No Permit: 1254 (01/11/2016 – 31/610/2017) Quantity: 18,160 liter. 4. Energy commission license no: 2016/02335; serial no: 14545 (validity period 12/01/2017 – 11/01/2018) for 4595 kW installation capacity. 5. DOE License: 001857; Period: 25/05/2016 – 30/06/2017. 6. Electrical Charge-man A0, PJ-T-4-B-0631-2013. 7. Steam Boiler and Steam Engine Driver JKJ 18 – H/ED/6/88 (1st Grade) 8. Certificate of Fitness for Unfired Pressure Vessels (JKT15-Pin. 1/87 PMT-SB/17 00678) - PMT 89268 (valid till 12/05/2018). 9. Competent Person for CePPOME 890308-43-5017. 10. Competent Person for CePSWaM 751128-10-5379. <p><u>Tigowis Estate</u></p> <ol style="list-style-type: none"> 1. MPOB license: 528342002000 (validity period 01/04/2017 – 31/03/2018). 2. Renewal Application EMFOL: PKB 2 – PIN. 2/2012; BL2017038072 Diesel Permit #2243 (S004546), ref PPDNKK.SDK.07/2011 (SK) (06/06/2017 – 05/06/2018) Quantity: 40,000 liter. 3. Certificate of Fitness for Unfired Pressure Vessels (JKT15-Pin. 1/87 PMT-SB 57192) – SB PMT 998 (valid till 31/01/2018). 4. License for electricity generation from Electrical Commission serial no. 19523 capacity 160kW valid from 10/02/2017 - 09/02/2018 <p><u>Tun Tan Estate</u></p> <ol style="list-style-type: none"> 1. MPOB license: 583963011000 (validity period 01/05/2017 – 30/05/2018). 2. Renewal Application EMFOL: PKB 2 – PIN. 2/2012; BL2017038068 Diesel Permit #1633, ref PPDNKK.SDK.94/2001 (SK) (06/06/2017 – 05/06/2018) Quantity: 20,000 liter. <p>Certificate of Fitness for Unfired Pressure Vessels (JKT15-Pin. 1/87 PMT-SB 56283) – SB PMT 999 (valid till 31/01/2018).</p>	Complied

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Criterion / Indicator	Assessment Findings	Compliance
2.1.2 A documented system, which includes written information on legal requirements, shall be maintained. - Minor compliance -	SOU26 had documented the Legal & Other Requirements Register (LORR) covering all the necessary regulatory requirements. List of applicable legal and other requirements was made available during the assessment. Sandakan Bay POM – Sandakan Bay Palm Oil Mill LORR FY 2016/2017. Tigowis Estate – Tigowis Estate LORR FY 2016/2017. Tun Tan Estate – Tun Tan Siew Sin Estate LORR FY 2016/2017. Documented procedure has been established and implemented; refer to Estate/Mill Quality Management System, Level 2: Standard Operating Manual, Appendix 5.2.4: Procedure for Legal and Other Requirements dated 10 December 2008.	Complied
2.1.3 A mechanism for ensuring compliance shall be implemented. - Minor compliance -	Evaluation of the legal requirements and compliance status with legal requirement are monitored by the operating units. Sandakan Bay POM - Latest review was done on 01/07/2016. Tigowis Estate - Latest review was done on 02/06/2017. Tun Tan Estate - Latest review was done on 29/03/2017.	Complied
2.1.4 A system for tracking any changes in the law shall be implemented. - Minor compliance -	Tracking system to identify changes in the relevant regulations is available through the head office, website information and is communicated from the Group Head Office. On the site verification, interviews with office personnel and records indicate that the system is appropriate to the operation. Tracking system on any changes in the law had been well implemented.	Complied
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.		
2.2.1 Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available. - Major compliance -	Land title clearly showing the land history and legal ownership for all company own estates. Land title for all estates shown agricultural crops use. For example, in Tigowis estate hold the land title no: 075322833 which made on 11 Jan 1972 and land title no: 22014 which made on 26 th November 1962. <u>Tun Tan estate:</u> The land title no: 075109401 and the latest quit rent paid on 19 May 2017.	Complied
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. For example, boundary stone sighted at block 47/94G of Tigowis estate.	Complied

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Criterion / Indicator	Assessment Findings	Compliance
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 certification unit and supply base 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 certification unit and supply base 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 certification unit and supply base at the time of audit. The land belongs to Sime Darby and land ownership documents verified.	Complied
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 is no land dispute in the certification unit and supply base at the time of audit. The land belongs to Sime Darby and land ownership documents verified.	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 and leased by the company. The existing estates are not encumbered by any customary land rights. Interview with the surrounding communities and stakeholders confirm no land disputes case.	Complied

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Criterion / Indicator	Assessment Findings	Compliance
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 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 -	Annual business plan in the form of annual budget and the projection for 5 years prepared as guidance for future planning. The business plan contains FFB yield, CPO, OER, and KER, OPEX, CAPEX etc. - New boiler 45 mt installation – at tendering stage estimated to be completed in 2 years period - Biogas plant with biogas – expected to be commission at the end of 2017 In Tun Tan estate, the 5 year budget from 2016 to 2020 sighted during site visit. Similar content available in the 5 years budget.	Complied

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<p>3.1.2</p> <p>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 -</p>	<p><u>Tigowis Estate:</u> Replanting programme sighted available for the period from FY 2016/17 until FY 2021/22. A total of 222.38 ha had replanted for FY 2015/16. The replanting has been commenced and sighted on-going during the visit. For example, at block 41 replanting already completed.</p> <p><u>Tun Tan estate:</u> A 10 years replanting program available. For year 2016/2017 replanting program as below: a. Block 1991- 68.98 ha b. Block 1991A- 73.00 ha c. Block 1991B- 98.8 ha</p>	<p>Complied</p>
<p>Principle 4: Use of appropriate best practices by growers and millers</p>		
<p>Criterion 4.1: Operating procedures are appropriately documented, consistently implemented and monitored.</p>		
<p>4.1.1</p> <p>Standard Operating Procedures (SOPs) for estates and mills are documented - Major compliance -</p>	<p>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 01/04/2008) includes mill SOP and Mill Quality Management Manual v.1 2008/MQMS/QMM/08 as a guidance document to operate the mill.</p> <p>Estates have a separate Sime Darby SOP issued 2/1/2008 and Sime Darby Agricultural Reference Manual, SDP/OP/ARM/10752 issue no. 1; version: 3; dated: 01/07/2011 covers planting material, nursery techniques, replanting, land preparation, planting density, maturity age, field upkeep, manuring, canopy management, waste management in coastal and peat plantings, ablation, ripeness standard, harvesting interval, loose fruit collection, plant protection, weed control, leguminous cover crop establishment and rainfall recording.</p>	<p>Complied</p>
<p>4.1.2</p> <p>A mechanism to check consistent implementation of procedures shall be in place. - Minor compliance -</p>	<p>Mill Advisor and Plantation Inspectorate make regular visit to evaluate the performance of the mill and estates. General Manager visits the estates on quarterly basis to review estate performance.</p> <p>Latest Plantation Advisor visit at Tigowis Estate was on 08-09/05/2017 (Report No.: SOU26/TGE/01/16-17) while for Tun Tan Siew Sin Estate was on 19-21/01/2017 (Report No.: SOU26/TTE/01/16-17).</p> <p>As for the mill, latest visit by Mill Advisor was on 22-24/11/2016 (report ref. no.: SBM/01/16-17).</p> <p>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.</p>	<p>Complied</p>

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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. Sample of records reviewed were discussed in relevant indicators in this checklist.	Complied
4.1.4	The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB). - Major compliance -	Sandakan Bay Palm Oil Mill continued to maintain and monitor daily record of 3 rd party sourced FFB from nine trader/outgrower and also 5 own supplying estates. The records show the origin, weight, transporters details and volume of FFB received. Sampled of weighbridge tickets (from out-grower and own supplying estate) as below: <ul style="list-style-type: none"> a. Weighbridge ticket: 148371; Date: 26 March 2017; Own Supply base: Tun Tan Siew Sin Estate; FFB Volume: 7,620 kg b. Weighbridge ticket: 12836; Date: 24 March 2017; Own Supply base: Sentosa Estate; FFB Volume: 9,070 kg c. Weighbridge ticket: 2954; Date: 30 May 2017; Own Supply base: Tigowis Estate; FFB Volume: 9,720 kg Weighbridge ticket: 148529; Date: 30 March 2017; Outside Crop Producer: Sg Harvest; FFB Volume: 12,190 kg	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. In Sime Darby Agricultural Reference Manual, Section 7: Manuring is referred for managing fertility <ul style="list-style-type: none"> a. Manuring immature oil palms b. Manuring immature oil palm- mulched with EFB c. Manuring maturing oil palm d. Fertilizer placement e. Focal feeding fertilizer application for marginal inland soil GAP for minimization of soil erosion and maintenance of soil fertility is maintained via the frond stacking and fertilizer application as per agronomist recommendation. This was also observed during the field visit. The agronomist from R&D Centre visited the estate and conduct the sampling on annual basis. A FY2016/17 Agronomist & Fertilizer Recommendations Report- Oil Palm based on the foliar and soil sampling analysis has been issued on 5 th Dec 2016.	Complied

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<p>4.2.2</p> <p>Records of fertiliser inputs shall be maintained. - Minor compliance -</p>	<p>Fertilizer application follows the recommendation from the R&D department. Refer to agronomist report (latest issued by R&D 5th Dec 2016). Fertilizer recommendation for FY16/17 as follows: <u>Tigowis estate:</u></p> <ul style="list-style-type: none"> a. Sep/Oct 2016- Compound 44; 3kg per palm b. Feb 2017- Compound 44; 2.75kg per palm c. May 2017- MOP; 1 kg per palm month <p>The actual application records was kept in File "Manuring Programme April-May 2017" and the following record was sighted:</p> <ul style="list-style-type: none"> d. Field 2012B; Block 9; total 8302.40kg; 166bag applied on 26 May 2017 e. Field 10B; Block 6; total 3896.25kg; 78bag applied on 19 May 2017 <p><u>Tun Tan estate:</u> The 2016/2017 Agronomic & Fertilizer recommendations report issue on 23rd June 2016. Fertilizer recommendation as below:</p> <ul style="list-style-type: none"> a. Aug 2016- Compound 44; 3.75kg per palm b. Feb 2017- Compound 44; 3.25kg per palm c. May 2017- MOP; 1.25 kg per palm month <p>For the application record, all records are available and the fertilizer input according to the agronomist recommendation. Sample as below:</p> <ul style="list-style-type: none"> a. Field 2014A; 71.82 ha b. Field 2014B; 70.79 ha c. Field 2014C; 86.75 ha 	<p>Complied</p>
<p>4.2.3</p> <p>There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status. - Minor compliance -</p>	<p>Sime Darby Seeds and Agriculture Services Sdn Bhd prepare the annual fertilizer recommendation. Leaf analysis result which shows the nutrient level was used as guidance for the fertilizer recommendation. Frequency for soil sampling is 5 years once and leaf sampling is schedule as per agronomist recommendation report.</p> <p>In Tigowis estate, the last soil sampling report, S14/2014 dated 13/10/14 and leaf sampling was carried out in April 2016 in field such as 1994G2, 2010A and etc, This will be used for the basis of fertilizer recommendation FY16/17.</p> <p>Similar report sighted in Tun Tan estate. The leaf sampling was carried out in December 2014 and the average leaf nutrient status in various field is given in the agronomist report. Latest soil analysis test report (no: S8/2014) conducted in April 2014.</p>	<p>Complied</p>

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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 -	<p>All palm by-products including fronds, EFB, and expeller are recycled. Effluent which 100% use for land application is applied on selected area close to the mill. Records of distribution / received (receipts) are recorded in the EFB Application Monitoring record.</p> <p>In Tun Tan Siew Sing, visited to the block 2016L where the effluent used for land application. The effluent pump directly from the mill to the furrow. The total area granted for the POME discharge is 112 ha.</p> <p>EFB application only applied to selected fields at the estate. For example, Tigowis estate- Field 2016A and block 43, mainly focus in the immature oil palm. Current recommendation for EFB application is 40 mt/ha @ 250 kg/palm/yr.</p>	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 -	<p>Soil series map available for both estates visited. There are no peat soils or soil categorised as problematic or fragile soil at both estate. The estate’s soils are mostly Kumansi, Kuah and Kedah series based on the report by Param Agricultural Soil Surveys (M) Sdn Bhd dated August 2008.</p>	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 -	<p>Based on the report by Param Agricultural Soil Surveys (M) Sdn Bhd dated August 2008, Tigowis estate consist of level (0-4%), Rolling (12-24%), hilly (24-38%) to steep (38-60%) land. Landscape of both estates visited are mostly flat and undulating. In Tun Tan estate, an area (at block 2013c) which more than 25 degree has been abandoned. A signage to indicate no activities can be carried out in that area sighted during onsite visit.</p> <p>However, Sime Darby has a policy on slope planting and this will be implemented during replanting.</p>	Complied
4.3.3 A road maintenance programme shall be in place. - Minor compliance -	<p>Both estates have implemented annual road maintenance programme. Example of programme checked at Tigowis and Tun Tan estates shows the map indicating road repairs and maintenance for the whole estate roads includes grading, compacting and stone application to strengthen the road surface.</p>	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 -	<p>There is no peat soil or soil categorized as problematic or fragile soil at all estates visited.</p>	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 -	<p>There is no peat soil or soil categorized as problematic or fragile soil at all estates visited.</p>	Complied

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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 categorized as problematic or fragile soil at all estates visited.	Complied
Criterion 4.4: Practices maintain the quality and availability of surface and ground water.			
4.4.1	An implemented water management plan shall be in place. - Minor compliance -	<p>Sighted an implemented water management plan was established as Sandakan Palm Oil Mill for Financial Year 2016/2017. The plan has incorporated into three categories and its issues:</p> <ul style="list-style-type: none"> a. Reduction of water usage <ul style="list-style-type: none"> - Cleaning, leakages pipelines, dilution water, level of water catchment pond b. Water Contingency plan:- <ul style="list-style-type: none"> - Shortage of water, contamination in water for consumption c. Water Discharge <ul style="list-style-type: none"> - Discharge not being monitored and trends from mill water usage, not analysed, although information available. <p>Water management plan:-</p> <ol style="list-style-type: none"> 1. Rainwater collection by gutters and to old R&D tank and water pond 2. Reducing water usage by using submersible pump at R&D pond. <p>Similar contingency and action plan Y2016/2017 also observed in both estates. Contingency plan such as water supply to sister estate and neighbor: Mai Shang Holding, Tunku Estate and Corporate Sprit. Besides, rainwater harvesting by installing the rain gutter also in the plan reduce fresh water usage.</p> <p>The water sampling exercise for river samples as well as water for domestic usage requirements need to be carried out on quarterly basis. Tun Ta Estate pesticide in water analysis records: Report no. PL680/2016 dated 08/11/16 by Sime Darby Research Sdn. Bhd. Report shown result was in compliance against the standard tested.</p>	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 -	<p>As prescribed under "Jadual Pematuhan", license# 001857 valid from 1 July 2016 to 30 June 2017- Monitoring of upstream and downstream River Matahari was done on monthly basis.</p> <p>Riparian buffer zone are well maintained especially both estates surrounding by the mangroves. Signboard and markers are well established at the key area and no activities such as spraying and planting at those buffer area.</p>	Complied

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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 -	Palm Oil Mill Effluent (POME) treated through anaerobic pond treatment system where the licensed limit for final discharge BOD allowed by DOE was 20mg/l through land application only. Regular monitoring was conducted by the mill by taking the sample of waste water in final discharge point on monthly basis and water at the final discharge, upstream and downstream of Matahari River. Monthly effluent monitoring records parameter monitored:- pH, Total Alkalinity, VFA, BOD, COD, TS, SS, VSS, TN, AN, O&G by Lahad Datu Edible Oils Sdn Bhd: a. Date: 28 May 2017; Ref no: AS/EF/072 b. Date: 27 April 2017; Ref no: AS/EF/059 BOD limit for final discharge <20mg/L were met as well as all parameters that were within allowable limit.	Complied
4.4.4 Mill water use per tonne of Fresh Fruit Bunches (FFB) (see Criterion 5.6) shall be monitored. - Minor compliance -	Water consumption per MT FFB recorded from July 2016 to May 2017. The result indicate low consumption 0.87 m ³ per MT FFB. Mill had initiated recycling of turbine cooling, vacuum dryer and kernel heater condensate water back to water catchment pond and make water rationing for daily water usage to mill housing.	Complied
Criterion 4.5: Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.		
4.5.1 Implementation of Integrated Pest Management (IPM) plans shall be monitored. - Major compliance -	IPM is documented in Agriculture Reference Manual. The estates continue to implement biological control for the oil palm pest in the plantation such as leaf eating pest and rat. IPM techniques applied at the estates include monitoring of pest numbers and the use of triggers for initiation of control measures. Although there have been no outbreaks of leaf eating pests, beneficial plants are being established along roadsides to attract natural predators. The estates are continue to plant beneficial plants such as <i>Cassia cobanensis</i> and <i>Turnera subulata</i> .	Complied
4.5.2 Training of those involved in IPM implementation shall be demonstrated. - Minor compliance -	IPM training is given by the Agronomist and plantation executives with qualification in agriculture. The training was attended by Estate Manager, Senior Assistant Manager, Assistant Manager, Field Staff, Mandore and field workers. Latest IPM training was conducted on 22/06/16 at Tigowis Estate. The content of the training regarding the expanding the planting of beneficial plant.	Complied
Criterion 4.6: Pesticides are used in ways that do not endanger health or the environment		

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<p>4.6.1</p> <p>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.</p> <p>- Major compliance -</p>	<p>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 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:</p> <p><u>Immature planting (sample)</u></p> <ul style="list-style-type: none"> - General weeds : Glyphosate - Legume & broad leave : Metsulfuron Methyl - Stenochlaena palustris : Sodium chlorate <p><u>Mature planting</u></p> <ul style="list-style-type: none"> - VOPs : glyphosate & sodium chlorate - <p>The selection is also evaluated by the agronomist during his visit to the estate.</p>	<p>Complied</p>																							
<p>4.6.2</p> <p>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.</p> <p>- Major compliance -</p>	<p>Records of pesticides use (including active ingredients used and their area treated, amount of a.i. applied per ha and number of applications) had been maintained and kept by the estate. For January 2017, total 0.87 Ai/Ha recorded. (Kenlon; Canyon; Glyphosate; Hextar; Ebor; Basta; Amine; Fusilade; Wet & stick)</p> <table border="1" data-bbox="667 1128 1289 1391"> <thead> <tr> <th>Estate</th> <th>Pesticide Usage (kg)</th> <th>Mar 17</th> <th>Apr 17</th> <th>May 17</th> </tr> </thead> <tbody> <tr> <td rowspan="2">Tigowis</td> <td>a.i./ ha</td> <td>0.140</td> <td>0.058</td> <td>0.104</td> </tr> <tr> <td>a.i./mt ffb</td> <td>0.228</td> <td>0.065</td> <td>0.102</td> </tr> <tr> <td rowspan="2">Tun Tan</td> <td>a.i./ ha</td> <td>6.57</td> <td>6.72</td> <td>7.42</td> </tr> <tr> <td>a.i./mt ffb</td> <td>6.70</td> <td>6.29</td> <td>11.07</td> </tr> </tbody> </table>	Estate	Pesticide Usage (kg)	Mar 17	Apr 17	May 17	Tigowis	a.i./ ha	0.140	0.058	0.104	a.i./mt ffb	0.228	0.065	0.102	Tun Tan	a.i./ ha	6.57	6.72	7.42	a.i./mt ffb	6.70	6.29	11.07	<p>Complied</p>
Estate	Pesticide Usage (kg)	Mar 17	Apr 17	May 17																					
Tigowis	a.i./ ha	0.140	0.058	0.104																					
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Tun Tan	a.i./ ha	6.57	6.72	7.42																					
	a.i./mt ffb	6.70	6.29	11.07																					
<p>4.6.3</p> <p>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.</p> <p>- Major compliance -</p>	<p>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</p>	<p>Complied</p>																							
<p>4.6.4</p> <p>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.</p> <p>- Minor compliance -</p>	<p>Based on chemical register, 18/2/17 (Tigowis estate) and monitoring sheet FY16/17 (Tun Tan estate) there was no 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 used. Only class III and IV chemical used at Tigowis and Tun Tan estate.</p>	<p>Complied</p>																							

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4.6.5 Pesticides shall only be handled, used or applied by persons who have completed the necessary training and shall always be applied in accordance with the product label. Appropriate safety and application equipment shall be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7). - Major compliance -	Pesticide operators given training on the safe handling and application of the pesticides. Suitable personal protective equipment and application equipment provided to the operators. All precautions attached to the products explained to operators and understood by them. This was noted during the interview with workers.	Complied
4.6.6 Storage of all pesticides shall be according to recognised best practices. All pesticide containers shall be properly disposed of and not used for other purposes (see Criterion 5.3). - Major compliance -	The operating units comply with Regulation 9 of the Pesticides Act 1974 requiring balance of remaining solution to be kept under lock and key. During visit it was noted that all the remaining pesticides are kept in the store and securely locked and comply with regulation.	Complied
4.6.7 Application of pesticides shall be by proven methods that minimise risk and impacts. - Minor compliance -	The quantity of agrochemicals required for various field conditions are documented and justified in Sime Darby Plantation Agriculture Reference Manual Section 16.5. The implementation in the field is consistent with the Agriculture Reference Manual Section 16.5.	Complied
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 SOU26.	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 SOU26. 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

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4.6.11 Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated. - Major compliance -	<u>Sandakan Bay POM</u> Last medical check-up was conducted on 22/12/2016 by DOSH Registered doctor No.: HQ/08/DOC/00/695 for 40 workers. All workers found to be fit for work. <u>Tigowis Estate</u> Last medical check-up was conducted on 22/12/2016 by DOSH Registered doctor No.: HQ/08/DOC/00/695 for 23 workers. All workers found to be fit for work. <u>Tun Tan Estate</u> Last medical check-up was conducted on 23/12/2016 by DOSH Registered doctor No.: HQ/08/DOC/00/695 for 78 workers. All workers found to be fit for work.	Complied
4.6.12 No work with pesticides shall be undertaken by pregnant or breast-feeding women. - Major compliance -	The female workers confirmed knowledge of the policy of transfer to alternative duties if 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:		

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<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>SOU26 has maintained an approved Health and Safety Policy dated January 2015 that is displayed prominently on notice boards in English.</p> <p><u>Annual Audiometric Testing</u></p> <p>Sandakan Bay POM - Annual audiometric testing completed on 19/12/2016 by DAB OH Sdn Bhd, HQ/10/DOC/00/167. Total of 58 workers were sent for the annual testing. Results found that a total of 41 workers are with normal hearing, 17 workers with hearing impairment and 06 workers are with standard threshold shift. Retest sighted for the 06 workers and found normal hearing (temporarily threshold shift).</p> <p><u>Chemical Health Risk Assessment (CHRA)</u></p> <p>Sandakan Bay POM - CHRA conducted on 25/05/2015 by registered assessor JKKP HIE 127/171-2(298). Based on the CHRA, a total of 09 findings/recommendations reported.</p> <p>Tigowis Estate - CHRA conducted on 14/06/2012 by registered assessor JKKP HIE 127/171-2(277). Based on the CHRA, a total of 14 findings/recommendations reported.</p> <p>Tun Tan Estate - CHRA conducted on 15/06/2012 by registered assessor JKKP HIE 127/171-2(277). Based on the CHRA, a total of 13 findings/recommendations reported.</p> <p>The action plan was established through the recommendation from the assessor.</p> <p><u>Annual and Periodic LEV inspection and testing</u></p> <p>Sandakan Bay POM – Periodic LEV inspection and testing was conducted on 20/12/2016 (RT013/2016/318) by registered assessor JKKP HIE 127/171-3/2(190). Annual LEV inspection and testing was conducted on 18/01/2016 (EC/0116/6566) by registered assessor JKKP HIE 127/171-3/2(206). The LEV systems installed met the minimum required face velocity and duct transport velocity along the ducting and hoods.</p> <p><u>Contractors Management</u></p> <p>Sandakan Bay POM - Permit to Work (PTW) has been implemented for internal and external works involving confined space, hot work, working at height, LOTO and etc. Monitoring of PTW for confined space entry, permit issuance and cancellation are effectively implemented.</p>	<p>Complied</p>

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<p>4.7.2</p> <p>All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers. - Major compliance -</p>	<p>SOU26 had identified and reviewed significant hazards and risks and determined appropriate risk control measures. The hazard identification, risk assessment and risk control (HIRARC) records, as well as CHRA reports were verified during the assessment. Appropriate control measure has been determined and revised in the HIRARC register.</p> <p>Sandakan Bay Palm Oil Mill - HIRARC was reviewed on 07/01/2017 and approved by the Manager. Mill activities was identified and risk assessed with respect to FFB grading and sorting, FFB sterilization, kernel and oil extraction, oil clarification, maintenance activities at the workshop, working in confined space, working at height and hot work activities.</p> <p>Sighted HIRARC for BIOGAS Project reviewed on 20/06/2016 and New 40mt/hr Boiler Installation reviewed on 02/04/2017.</p> <p>At the estates, among the HIRARC carried out covered activities like chemical mixing and spraying, chemical storage, harvesting and FFB collection and vehicle maintenance.</p> <p>Tigowis Estate - HIRARC was reviewed on 02/06/2017 and approved by the Manager. Revision done for vehicle activities including travelling from estate on motorcycle and harvesting activities including cutting stalk by sharp object.</p> <p>Tun Tan Estate - HIRARC was reviewed on 23/03/2017 and approved by the Manager. Revision was done for contractor activities involving working at height.</p>	<p>Complied</p>

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<p>4.7.3</p> <p>All workers involved in the operation shall be adequately trained in safe working practices (see Criterion 4.8). Adequate and appropriate protective equipment shall be available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, harvesting and, if it is used, burning. - Minor compliance -</p>	<p>Awareness and training program had been carried out. All workers involved had been adequately trained in safe working practices. The objective was to ensure all workers involved have been adequately trained in understanding MSDS, safe working practices and the correct use of PPE.</p> <ol style="list-style-type: none"> 1. Sandakan Bay Palm Oil Mill ESH Management Plan FY 2016/2017 was established and approved. 2. Tigowis Estate ESH Management Plan FY 2016/2017 was established and approved. 3. Tun Tan Siew Sin Estate OSH Program Plan for 2016/2017 was established and approved. <p>Suitable PPE has been provided to the workers based on the information in the MSDS and CHRA assessor's recommendation.</p> <p>List of Personal Protective Equipment (PPE) Provided – identifies the type of PPE for the respective activities.</p> <ol style="list-style-type: none"> i. Boiler/Engine operator – Safety Helmet, Semi leather Hand Glove, Cotton Gloves, Safety Shoes, Safety Vest and Ear Muff. ii. Field workers (sprayer, manure & harvester) – N95 respirator, anti-mist goggles, wellington boots, apron and sickle cover. <p>The chemical store was found to be adequately organized, properly labelled, secured and person in charge understands the OSH procedures. MSDS was placed at the chemical stores and is available. The person in charge understands the information written in MSDS.</p>	<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance
<p>4.7.4</p> <p>The responsible person/persons shall be identified. There shall be records of regular meetings between the responsible person/s and workers. Concerns of all parties about health, safety and welfare shall be discussed at these meetings, and any issues raised shall be recorded. - Major compliance -</p>	<p>SOU26 OSH policy is well briefed to all workers. Interview with workers reveal that they understand the policy and the importance of safety at work.</p> <p><u>Sandakan Bay POM</u></p> <p>OSH/ESH meeting conducted on quarterly basis and last meeting conducted on 13/04/2017 attended by 16 persons.</p> <p>The work place inspection conducted on 11/04/2017 and review of accident record was discussed during the OSH meeting. No any unresolved safety and health issues noted.</p> <p><u>OSH Committee Members for 2016/2017</u></p> <p>Chairman – Tuan Hudal Firdaus Bin Lahuri (appointment letter dated 15/01/2015). Appointment letters for other OSH committee members dated 20/01/2015 and 01/07/2016.</p> <p>OSH/EHS meeting: 13/04/2017, 16/01/2017, 18/10/2016 and 20/07/2016.</p> <p><u>Tigowis Estate</u></p> <p>OSH/ESH meeting conducted on quarterly basis and last meeting conducted on 21/03/2017 attended by 20 persons.</p> <p>The work place inspection conducted on 24/05/2017 and review of accident record was discussed during the OSH meeting. No any unresolved safety and health issues noted.</p> <p><u>OSH Committee Members for 2017/2019</u></p> <p>Chairman – appointment letter dated 23/02/2017. Appointment letters for other OSH committee members dated 19/12/2016, 01/02/2017 and 24/02/2017.</p> <p>OSH/EHS meeting: 21/03/2017, 19/12/2016, 29/09/2016 and 24/06/2016.</p> <p><u>Tun Tan Estate</u></p> <p>OSH/ESH meeting conducted on quarterly basis and last meeting conducted on 18/04/2017 attended by 18 persons.</p> <p>The work place inspection conducted on 04/04/2017 and review of accident record was discussed during the OSH meeting. No any unresolved safety and health issues noted.</p> <p><u>OSH Committee Members for 2017/2018</u></p> <p>Chairman – appointment letter dated 17/10/2016). Appointment letters for other OSH committee members dated 01/02/2017, 18/01/2017 and 15/06/2016.</p> <p>OSH/EHS meeting: 18/04/2017, 23/01/2017, 24/10/2016 and 18/07/2016.</p>	<p>Complied</p>

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<p>4.7.5</p>	<p>Accident and emergency procedures shall exist and instructions shall be clearly understood by all workers. Accident procedures shall be available in the appropriate language of the workforce. Assigned operatives trained in First Aid should be present in both field and other operations, and first aid equipment shall be available at worksites. Records of all accidents shall be kept and periodically reviewed. - Minor compliance -</p>	<p>Accident and emergency procedures have been communicated to employees, contractors and visitors.</p> <ol style="list-style-type: none"> 1. Sandakan Bay POM – Fire evacuation drill was last conducted on 09/03/2017 to test the state of readiness during emergency situation. 2. Tigowis Estate – Fire evacuation drill was last conducted on 02/03/2017 to test the state of readiness during emergency situation. 3. Tun Tan Estate – Fire evacuation drill was last conducted on 11/02/2016 to test the state of readiness during emergency situation. <p>Accident and emergency procedures are in Bahasa Malaysia and this is understood by the responsible workers, staff or executives involved in the operation. Good understanding level observed among the workers.</p> <ol style="list-style-type: none"> 1. Training for First Aid is conducted in annually. Sufficient first aiders trained. 2. First aid equipment is available at worksites. During the site visit there is evident that First Aid Box is available at the relevant area with sufficient contents and in good condition. 3. Fire extinguisher (ABC Powder) assessed during the site observation are available and within the expiry date. 4. Portable emergency eye wash facility available at chemical store and laboratory. Both are in good working condition. <p>Quarterly review on accident cases carried out during OSH quarterly meeting.</p> <p><u>Sandakan Bay POM</u></p> <p>03 accidents reported. JKKP 6 was sent to DOSH on 06/01/2017. JKKP 8 was sent to DOSH on 04/01/2017.</p> <p>DOSH visits (13/02/2017) been recorded in the DOSH log book and comments highlighted by DOSH was noted and action taken accordingly.</p> <p><u>Tigowis Estate</u></p> <p>01 accident reported. JKKP 6 was sent to DOSH on 12/03/2016. JKKP 8 was sent to DOSH on 04/01/2017.</p> <p>DOSH visits (01/11/2016) been recorded in the DOSH log book and comments highlighted by DOSH was noted and action taken accordingly.</p> <p><u>Tun Tan Estate</u></p> <p>05 accidents reported. JKKP 8 was sent to DOSH on 18/01/2017.</p> <p>DOSH visits (26/11/2016) been recorded in the DOSH log book and comments highlighted by DOSH was noted and action taken accordingly.</p>	<p>Complied</p>
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Criterion / Indicator	Assessment Findings	Compliance												
<p>4.7.6 All workers shall be provided with medical care, and covered by accident insurance. - Minor compliance -</p>	<p>Medical care is provided to all the employees. Reviewed on workers profile records found that all workers are covered by the accident insurances.</p> <p>Malaysian workers are covered by SOCSO or Perkeso (Pertubuhan Keselamatan Sosial). Refer to form 8A, "Jadual Caruman" for April 2017.</p> <p>Foreign workers are covered by Foreign Workers Compensation Scheme Certificate of Insurance.</p> <table border="1" data-bbox="660 667 1297 943"> <thead> <tr> <th>Insurance</th> <th>Period</th> <th>Remark</th> </tr> </thead> <tbody> <tr> <td>RHB Insurance (FW190987)</td> <td>01/07/2016 – 30/06/2017</td> <td>SBPOM</td> </tr> <tr> <td>RHB Insurance (FW190982)</td> <td>01/07/2016 – 30/06/2017</td> <td>TE</td> </tr> <tr> <td>RHB Insurance (FW191206)</td> <td>01/07/2016 – 30/06/2017</td> <td>TTE</td> </tr> </tbody> </table>	Insurance	Period	Remark	RHB Insurance (FW190987)	01/07/2016 – 30/06/2017	SBPOM	RHB Insurance (FW190982)	01/07/2016 – 30/06/2017	TE	RHB Insurance (FW191206)	01/07/2016 – 30/06/2017	TTE	<p>Complied</p>
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<p>4.7.7 Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics - Minor compliance -</p>	<p>Accident records are found to be updated. All records on Lost Time Accident (LTA) metrics are maintained.</p> <p>Samples of accident statistic as shown below :</p> <table border="1" data-bbox="660 1077 1254 1384"> <thead> <tr> <th>Year to-date</th> <th>SBPOM</th> <th>TE</th> <th>TTE</th> </tr> </thead> <tbody> <tr> <td>2015</td> <td>0 (LTA 0)</td> <td>2 (LTA 25)</td> <td>1 (LTA 11)</td> </tr> <tr> <td>2016</td> <td>3 (LTA 9)</td> <td>1 (LTA 7)</td> <td>5 (LTA 11)</td> </tr> </tbody> </table> <p>*LTA is equivalent to lost man days (MC)</p>	Year to-date	SBPOM	TE	TTE	2015	0 (LTA 0)	2 (LTA 25)	1 (LTA 11)	2016	3 (LTA 9)	1 (LTA 7)	5 (LTA 11)	<p>Complied</p>
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2015	0 (LTA 0)	2 (LTA 25)	1 (LTA 11)											
2016	3 (LTA 9)	1 (LTA 7)	5 (LTA 11)											
<p>Criterion 4.8: All staff, workers, smallholders and contract workers are appropriately trained.</p>														
<p>4.8.1 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>SOU26 has established an annual training program that covers all aspects of the RSPO Principles and Criteria.</p> <p>Sandakan Bay Palm Oil Mill ESH Management Plan FY2016/2017. Implementation is still on-going. 22 training needs/requirements – Training Plan FY2016/2017 identified for various categories of operating units.</p> <p>Environment, Safety & Health Program Tigowis Estate FY2016/2017. Implementation is still on-going. 30 training needs/requirements – Training Plan FY2016/2017 identified for various categories of operating units.</p> <p>Tun Tan Siew Sin Estate OSH Program Plan for FY2016/2017. Implementation is still on-going. 11 training needs/requirements – Training Plan FY2016/2017 identified for various categories of operating units.</p>	<p>Complied</p>												

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Criterion / Indicator	Assessment Findings	Compliance																																						
<p>4.8.2 Records of training for each employee shall be maintained. - Minor compliance -</p>	<p>Training records for employees available and maintained at the office. Records are verified on a sampling basis which covers all aspect of training and RSPO P&C requirement. Samples of training record as follows:</p> <p><u>Sandakan Bay POM</u></p> <table border="1" data-bbox="660 566 1083 1032"> <thead> <tr> <th>Date</th> <th>Training</th> </tr> </thead> <tbody> <tr> <td>04/05/2017</td> <td>SOP and LOTO Safety</td> </tr> <tr> <td>01/03/2017</td> <td>Safety for Boat Passengers and school children</td> </tr> <tr> <td>01/02/2017</td> <td>How to use the proper Chain Block (Do's and Don't)</td> </tr> <tr> <td>09/11/2017</td> <td>PPE Usage</td> </tr> <tr> <td>15/10/2016</td> <td>Workshop Training (Welding)</td> </tr> <tr> <td>01/09/2016</td> <td>Oil Spillage</td> </tr> </tbody> </table> <p><u>Tigowis Estate POM</u></p> <table border="1" data-bbox="660 1081 1083 1413"> <thead> <tr> <th>Date</th> <th>Training</th> </tr> </thead> <tbody> <tr> <td>06/05/2017</td> <td>CHRA Assessment</td> </tr> <tr> <td>21/03/2017</td> <td>COBC Training</td> </tr> <tr> <td>11/03/2017</td> <td>RSPO P&C MYNI, SCCS and Gender Committee Refresher</td> </tr> <tr> <td>01/03/2017</td> <td>First Aid Kit Training</td> </tr> <tr> <td>24/01/2017</td> <td>Fertiliser Training</td> </tr> </tbody> </table> <p><u>Tun Tan Estate</u></p> <table border="1" data-bbox="660 1462 1083 1823"> <thead> <tr> <th>Date</th> <th>Training</th> </tr> </thead> <tbody> <tr> <td>16/02/2017</td> <td>Fertilizer Training</td> </tr> <tr> <td>14/02/2017</td> <td>Circle Spraying</td> </tr> <tr> <td>13/02/2017</td> <td>Rat Bait Training</td> </tr> <tr> <td>14/12/2016</td> <td>Training Handling Pump Sprayer (Inter Pump)</td> </tr> <tr> <td>13/12/2016</td> <td>Water Sampling & Fertilizer Training</td> </tr> </tbody> </table>	Date	Training	04/05/2017	SOP and LOTO Safety	01/03/2017	Safety for Boat Passengers and school children	01/02/2017	How to use the proper Chain Block (Do's and Don't)	09/11/2017	PPE Usage	15/10/2016	Workshop Training (Welding)	01/09/2016	Oil Spillage	Date	Training	06/05/2017	CHRA Assessment	21/03/2017	COBC Training	11/03/2017	RSPO P&C MYNI, SCCS and Gender Committee Refresher	01/03/2017	First Aid Kit Training	24/01/2017	Fertiliser Training	Date	Training	16/02/2017	Fertilizer Training	14/02/2017	Circle Spraying	13/02/2017	Rat Bait Training	14/12/2016	Training Handling Pump Sprayer (Inter Pump)	13/12/2016	Water Sampling & Fertilizer Training	<p>Complied</p>
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Principle 5: Environmental responsibility and conservation of natural resources and biodiversity

Criterion 5.1:

Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.

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Criterion / Indicator	Assessment Findings	Compliance
5.1.1 An environmental impact assessment (EIA) shall be documented. - Major compliance -	SOU26 Plans and impact assessments relating to environmental impacts based on documents as following: <ul style="list-style-type: none"> • Appendix 5.4.1b - Environmental Aspect and Impact Evaluation Procedure, Version 1; Year 2008 Issue no. 1; Dated 1 April 2009; Register • Appendix 5.4.1c - Environmental Aspect and Impact Identification form, Version 1; Year 2008 Issue no. 1; Dated 1 April 2009; MR-01/EAI • Appendix 5.4.1d – Environmental Impacts Evaluation form, Version 1; Year 2008 Issue no. 1; Dated 1 April 2009; MR-02/EIE 	Complied

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Criterion / Indicator	Assessment Findings	Compliance
<p>5.1.2</p> <p>Where the identification of impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a comprehensive management plan. The management plan shall identify the responsible person/persons. - Minor compliance -</p>	<p>There is no change of current practices required to mitigate negative effects based on identified impacts for both the mill and estates.</p> <p>However the mill and estates have conducted periodical review on the aspects and impacts identified and evaluated as registered.</p> <p>The mill and estates has continuously implemented its annual programs that were established as part of its individual Pollution Prevention Plan. Managers and assistant managers of mill and estates were identified as person-in-charge of the programs which were established upon review of the aspect and impact register. It was observed that the reviewing and updating on the registers were done annually if there's no any new activity within respective sites.</p> <p>Review of aspect and impact register were done as following:</p> <p><u>Sandakan Bay POM</u> Environmental Aspect Identification (EAI) and Environmental Evaluation (EIE) reviewed and updated on 15/07/2016. Neither any change to current operation nor new activity identified by the mill other than normal mill operation including weighbridge operation, process, maintenance, water and waste water treatment.</p> <p><u>Tigowis Estate</u> Environmental Aspect Identification (EAI) and Environmental Evaluation (EIE) reviewed and updated on 24/02/2017. No any changes identified to the environmental aspects and impacts.</p> <p><u>Tun Tan Estate</u> Environmental Aspect Identification (EAI) and Environmental Evaluation (EIE) reviewed and updated on 19/08/2016. No any changes identified to the environmental aspects and impacts.</p>	<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance
<p>5.1.3</p> <p>This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.</p> <p>- Minor compliance -</p>	<p>An Environmental Pollution Prevention Plan 2016/2017 dated 01.03.2016 Listed environmental issue/Improvement plan/Location /PIC time bound.</p> <p>This 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 (July 2016 - July 2017) to reflect the results of monitoring operational changes that may have positive and negative environmental impacts. Sample of monitoring as following:</p> <p>Boiler stacks sampling records: Stack Emission Monitoring Report (Stack no. 1) on 14/12/2016 by Uniquejaya Environmental Services (UES) Report ref. # UJES/SANDAKANBAY-1/2016-02; dated 19/01/2017). Result in certificate of analysis #UMS/UJES/032006(1230) shown the stack emissions are within limit below 0.400 g/Nm3 for particulates corrected at 12% CO2.</p> <p>Boiler stacks sampling records: Stack Emission Monitoring Report (Stack no. 2) on 14/12/2016 by Uniquejaya Environmental Services (UES) Report ref. # UJES/SANDAKANBAY-2/2016-02; dated 19/01/2017). Result in certificate of analysis #UMS/UJES/032006(1231) shown the stack emissions are within limit below 0.400 g/Nm3 for particulates corrected at 12% CO2.</p>	<p>Complied</p>
<p>Criterion 5.2: The status of rare, threatened or endangered species and other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and and operations managed to best ensure that they are maintained and/or enhanced.</p>		

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Criterion / Indicator	Assessment Findings	Compliance
<p>5.2.1</p> <p>Information shall be collated in a High Conservation Value (HCV) assessment that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors). - Major compliance -</p>	<p>Internal Sime Darby competent personnel conducted Biodiversity assessment & HCV identification within SOU 26 landholdings. Report was prepared by PSQM Dept of Sime Darby Plantation Bhd on May 2013. The objective of this assessment is having additional ground check on the existing identified HCV area done on 2007 in order to be detailed and accurate in database and mapping. Besides, the assessment also cover all the 5 estates. Following potential HCV were identified in sampled estate:</p> <p>a. Tigowis estate</p> <ul style="list-style-type: none"> - River buffer zone- 15.83 ha - Water catchment area-2.87 ha (HCV 4) - Ponds- 10.56 ha - Isolated patches of forest- 7.06 ha (HCV 4) <p>b. Tun Tan estate</p> <ul style="list-style-type: none"> - River buffer zone- 42.37 ha - Water catchment area-4.74 ha (HCV 4) - Swamps- 18.61 ha <p>The exercise has taken into consideration all aspects of environmentally sensitive areas such as ponds, streams, wildlife boundaries and was documented. Visits to site confirmed that Tigowis estate is surrounded by river/straits and villages. The HCVs, conservation areas/environmentally sensitive areas i.e. bund along the stretches of river/straits which passes bordering through the estate had been identified and being monitored.</p>	<p>Complied</p>
<p>5.2.2</p> <p>Where rare, threatened or endangered (RTE) species, or HCVs, are present or are affected by plantation or mill operations, appropriate measures that are expected to maintain and/or enhance them shall be implemented through a management plan. - Major compliance -</p>	<p>Biodiversity Conservation Action Plan which develop based on the recommendation of the Biodiversity assessment & HCV identification prepared by PSQM Department of Sime Darby Plantation Bhd on May 2013.</p> <p>The Biodiversity Conservation Action Plan for Tigowis Estate FY2016/2017 described the nature area for conservation value and action plan. For example, erected of signage, educating and raising awareness, no spraying and chemical activities and briefing. Out of 4 biodiversity area and 2 areas are identified under HCV4.</p> <p>Signage's that prohibit hunting sighted at the jetty and also entrance of the estate.</p>	<p>Complied</p>
<p>5.2.3</p> <p>There shall be a programme to regularly educate the workforce about the status of these RTE species, and appropriate disciplinary measures shall be instigated in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species. - Minor compliance -</p>	<p>The program to regularly educate the workforce and community about the status of these RTE species are also established with on-going consultation with the relevant authorities at the Sandakan District. There is evidence of commitment to discourage any illegal or inappropriate hunting, fishing or collecting activities via the signage erected around the affected areas which prohibit such activities.</p> <p>Interview with the staff and worker found that they aware on the prohibition of hunting and RTE species identified in the estate. Latest HCV training conducted on 7/8/2015 and the attendance record sighted at Tigowis estate.</p> <p>In Tun Tan estate, the briefing to the workers regarding HCV and prohibited activities recorded in the morning muster record book. The latest briefing dated 11 Jan 2017.</p>	<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance
<p>5.2.4</p> <p>Where a management plan has been created there shall be ongoing monitoring:</p> <ul style="list-style-type: none"> • The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported; • Outcomes of monitoring shall be fed back into the management plan. <p>- Minor compliance -</p>	<p><u>Tigowis Estate:</u></p> <p>Biodiversity Conservation Action Plan FY 2016/2017 for areas such as waterways, Bukit Dato and water catchment area.</p> <p>However, visited to Bukit Dato in Tigowis estate which categorized as the HCV 4, part of the conservation area has been encroached by the local workers for chicken breeding and cash crop planting such as banana and cassava. The signage of the conservation area fell down without any proper maintenance. The implementation of the management plan and monitoring of the HCV area is not effective.</p> <p><u>Tun Tan Estate:</u></p> <p>Wildlife monitoring is lacking as part of the jungle reserved that are protected where significant population of flora and fauna exist. For example, according to the watchman, elephant intrusion happened in March 2017, however, no sighting record or action plan being updated.</p>	<p>Minor nonconformance</p>
<p>5.2.5</p> <p>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.</p> <p>- Minor compliance -</p>	<p>It is verified that there has been no instance of HCV set aside that conflicts with the rights of local communities at the estates visited. Thus negotiated agreement of such nature is not applicable.</p>	<p>Complied</p>
<p>Criterion 5.3: Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.</p>		

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Criterion / Indicator	Assessment Findings	Compliance
<p>5.3.1 All waste products and sources of pollution shall be identified and documented. - Major compliance -</p>	<p>As per Sustainable Plantation Management System Appendix 9 Procedure for Handling of Domestic Waste version 1, year 2008, issue no. 1, dated 1 October 2008.</p> <p>Mill: type of waste – effluent, fibre/shell, EFB, boiler clinker, wash water, scrap metal, scheduled waste, boiler blowdown, hydro-cyclone wash water, methane gas.</p> <p>Estate: type of waste – scheduled waste – SW102, SW305, SW306, SW409, SW410, SW404 – workshop, clinic, SW store, store; domestic waste – rubbish & sewage – line-site, office, workshop, store, shop & recycle waste – empty container, scrap metal.</p> <p>Records on the usage and disposal were well recorded and documented. Appropriate secondary containment for the diesel skid tanks, chemical and scheduled waste storage areas was verified to be maintained accordingly.</p> <p><u>Sandakan Bay POM</u></p> <p>Scheduled waste for Sandakan Bay Palm Oil Mill was through contractor Legenda Bumimas Sdn Bhd. Sighted consignment:-</p> <ol style="list-style-type: none"> 1. #2017052914JDI6KX dated 26/05/17 for SW322. 2. #201705291447TELC dated 26/05/17 for SW409. 3. #2017052914QG1SYT dated 26/05/17 for SW305. <p><u>Tigowis Estate</u></p> <p>Record of medical waste SW404 disposal shown latest disposal was done on 04/05/2017 through Sedafiat Sdn Bhd. Sighted consignment #2017060211X5G8PK dated 02/06/17.</p> <p>Scheduled waste disposal for Tigowis Estate was through contractor Legenda Bumimas Sdn Bhd. Sighted consignment:</p> <ol style="list-style-type: none"> 1. #2017060211N9AMB6 dated 02/06/17 for SW409. 2. #2017060211IW7KS6 dated 02/06/17 for SW410. 3. #2017060212H5KZFO dated 02/06/17 for SW305. <p><u>Tun Tan Estate</u></p> <p>Record of medical waste SW404 disposal shown latest disposal was done on 05/06/2017 through Sedafiat Sdn Bhd. Sighted consignment #2017060520BZUVFD dated 05/06/17.</p> <p>Scheduled waste disposal for Tigowis Estate was through contractor Legenda Bumimas Sdn Bhd. Sighted consignment:</p> <ol style="list-style-type: none"> 1. #2017060520BZUVFD dated 05/06/17 for SW409. 2. #2017060212O1RHZA dated 02/06/17 for SW410. 3. #2017060212HY75QS dated 02/06/17 for SW305. 	<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance
<p>5.3.2</p> <p>All chemicals and their containers shall be disposed of responsibly. - Major compliance -</p>	<p>Based on policy to reduce, reuse and recycle, the management of used chemicals and containers were done in accordance Scheduled Waste regulations.</p> <p>For estates, the empty pesticides container were collected in scheduled waste store after being triple rinsing and punctured at the bottom of the container.</p> <p>Stores for scheduled waste were inspected at audited sites in mill and estates and disposal was done by scheduled waste disposal company authorized and licensed by Department of Environment.</p> <p>The mill and estates also have a proper Scheduled Waste Store for storing scheduled waste until time of disposal by DOE authorized waste disposal contractor.</p>	<p>Complied</p>
<p>5.3.3</p> <p>A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented. - Minor compliance -</p>	<p>Scheduled waste is managed well with designated storage area at the mill and each of the estates in accordance with the requirements of the Environmental Quality Act 1974 (Scheduled Wastes), Regulations, 2005. Disposal was through licensed collector.</p> <p>The company has continued managing scheduled waste stores at the mill and each of the estates. Agrochemical containers are triple rinsed and punctured to avoid any misuse.</p> <p>Waste Management Action Plan FY 2016/2017 Sandakan Bay Palm Oil Mill dated 01/07/2016 including scheduled waste, domestic waste and industrial waste sighted during the visit for the mill.</p> <p>Tigowis Estate Waste Management Action Plan FY2016/2017 dated 02/02/2017 including scheduled waste and domestic waste sighted during the visit for the estate.</p> <p>Tun Tan Siew Sin Estate Waste Management Action Plan 2016/2017 dated 03/06/2016 including scheduled waste, domestic waste recycled waste and clinical waste sighted during the visit for the estate.</p>	<p>Complied</p>
<p>Criterion 5.4: Efficiency of fossil fuel use and the use of renewable energy is optimised.</p>		

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<p>5.4.1</p> <p>A plan for improving efficiency of the use of fossil fuels and to optimise renewable energy shall be in place and monitored.</p> <p>- Minor compliance -</p>	<p>Monthly record on energy consumption for both renewable and non-renewable sources were kept and documented. It is monitored to optimise use of renewable energy. Data is being compiled for comparison and control for future improvement. Apart from use of grid supply (TNB) for electricity, palm fibre and shells were also used to generate electricity through steam turbine and boiler.</p> <p>The use of energy in palm oil mill and line site was monitored monthly to compare the energy usage against the production of CPO. Electricity generation was through steam turbine and boiler where Palm fibre and PK shells were used as renewable energy/fuel on a 70:30 ratio basis respectively.</p> <p>Monthly records of energy consumption of non-renewable and renewable fuel per metric tonne of palm product at the Mill were available. For example, renewable energy usage (mt)/ CPO (mt) as below:</p> <ul style="list-style-type: none"> a. Mar 2017: 4.88 b. Apr 2017: 4.83 c. May 2017: 4.70 <p>High diesel consumption showing total average 5.18 litre/FFB and 24.39 litre/CPO for month of July 2016 to May 2017 due to low FFB intake as the result low mill processing hours. Mill had initiated to run 2 unit boiler and 2 unit turbines in order to reduce diesel consumption during operation.</p> <p>At the estates, diesel consumption per metric ton FFB was also monitored on a monthly basis. It was verified that energy usage are being monitored at the operating units for better control and comparison of trends. For example:</p> <ul style="list-style-type: none"> a. Tigowis estate: <ul style="list-style-type: none"> i. Mar 2017: 20.49 l/mt FFB ii. Apr 2017: 11.76 l/mt FFB iii. May 2017:10.79 l/mt FFB b. Tun Tan estate: <ul style="list-style-type: none"> i. Mar 2017: 7.38 l/mt FFB ii. Apr 2017: 5.18 l/mt FFB iii. May 2017: 5.70 l/mt FFB 	<p>Complied</p>
<p>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.</p>		
<p>5.5.1</p> <p>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.</p> <p>- Major compliance -</p>	<p>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.</p> <p>No open burning noted based on the records on the land clearing and felling for the replanting plot, block 41 at Tigowis estate and 2016L at Tun Tan estate.</p>	<p>Complied</p>

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5.5.2	<p>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.</p> <p>- Minor compliance -</p>	<p>The SOU26 operating unit had adhered to the zero burning policy for replanting at the estates. It was further confirm during visit to replanting plot, block 41 at Tigowis estate and block 2016L at Tun Tan estate.</p> <p>There was no evidence of any burning of domestic waste at the housing line sites and at the domestic landfills of the estate during on site field assessment.</p>	Complied
<p>Criterion 5.6: Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.</p>			

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<p>5.6.1</p> <p>An assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent (see Criterion 4.4). - Major compliance -</p>	<p>As prescribed under “Jadual Pematuhan”, license# 001857 valid from 1 July 2016 to 30 June 2017, and air emission from boiler stack have to be monitored twice per year. Stack sampling result for 2016 :</p> <table border="1" data-bbox="675 506 1278 712"> <thead> <tr> <th>Date of monitoring</th> <th>Stack no.1</th> </tr> </thead> <tbody> <tr> <td>14 Dec 2016 (report ref#: UJES/Sandakanbay -1/2016-02)</td> <td>Dust Emission Load– a. 0.232 g/Nm³ at 12%CO₂ b. 0.269 g/Nm³ at 12%CO₂ c. 0.134 g/Nm³ at 12%CO₂</td> </tr> </tbody> </table> <table border="1" data-bbox="675 741 1278 947"> <thead> <tr> <th>Date of monitoring</th> <th>Stack no.2</th> </tr> </thead> <tbody> <tr> <td>14 Dec 2016 (report ref#: UJES/Sandakanbay -02/2016-02)</td> <td>Dust Emission Load– a. 0.216 g/Nm³ at 12%CO₂ b. 0.233 g/Nm³ at 12%CO₂ c. 0.272 g/Nm³ at 12%CO₂</td> </tr> </tbody> </table> <p>* Stack emission limit @ 0.4 g/Nm³ until 4/6/19.</p> <p>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. Validation letter dated 30 Sep 2016 from DOE regarding the department successfully receiving the transmission of data.</p> <p>Verified smoke density report for 2 June and 2 May 2017 which submitted to Department of Environment Sabah sighted during on site audit. Noted there were a few occasion of black smoke (>40% opacity) but only during boiler start-up. Smoke density recorder was last calibrated on 17/2/17 and valid until 23/5/17 for the next calibration.</p> <p>Palm Oil Mill Effluent (POME) treated through anaerobic pond treatment system where the licensed limit for final discharge BOD allowed by DOE was 20mg/l through land application only. Regular monitoring was conducted by the mill by taking the sample of waste water in final discharge point on monthly basis and water at the final discharge, upstream and downstream of Matahari River.</p> <p>Effluent monitoring records parameter monitored:- pH, Total Alkalinity, VFA, BOD, COD, TS, SS, VSS, TN, AN, O&G by Lahad Datu Edible Oils Sdn Bhd:</p> <ul style="list-style-type: none"> a. Date: 28 May 2017; Ref no: AS/EF/072 b. Date: 27 April 2017; Ref no: AS/EF/059 <p>BOD limit for final discharge <20mg/L were met as well as all parameters that were within allowable limit.</p>	Date of monitoring	Stack no.1	14 Dec 2016 (report ref#: UJES/Sandakanbay -1/2016-02)	Dust Emission Load– a. 0.232 g/Nm ³ at 12%CO ₂ b. 0.269 g/Nm ³ at 12%CO ₂ c. 0.134 g/Nm ³ at 12%CO ₂	Date of monitoring	Stack no.2	14 Dec 2016 (report ref#: UJES/Sandakanbay -02/2016-02)	Dust Emission Load– a. 0.216 g/Nm ³ at 12%CO ₂ b. 0.233 g/Nm ³ at 12%CO ₂ c. 0.272 g/Nm ³ at 12%CO ₂	<p>Complied</p>
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5.6.2 Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimise them implemented. - Major compliance	For the estate, GHG emissions identified including CO _x , SO _x and NO _x from various sources including fossil fuel, chemical, peat oxidation, sinks, crop sequestration, fertilizer consumptions and sequestration in conservation area. For mill, GHG emission identified from POME, fuel consumption and grid electricity utilization. 5 years plan for GHG reduction (phase I, 20 mills (Malaysia) was sighted. Programme such as feed in tariff (FIT), flaring, CNG, CaP, Co-gen was included in the plan.	Complied
5.6.3 A monitoring system shall be in place, with regular reporting on progress for these significant pollutants and emissions from estate and mill operations, using appropriate tools. - Minor compliance -	Monitoring and reporting of the significant pollutants to water, gaseous emissions to air and contamination on land are in place. Tools and systems used include the DOE online CEMS monitoring for air emissions, water quality at discharge points as per DID regulations and SW disposal were adhering to DOE requirements. Water samples were regularly taken every month and tested by mill environment officer in charge and analysed to ensure compliance to DOE requirements at final discharge points. The water samples were sent to Sime Darby R&D Laboratory for analysis. Records are maintained and verified on-site to have met the permissible regulatory limits. Quarterly reporting to DOE was also done and record documented. Monitoring of the GHG quantity was done through RSPO PalmGHG Calculator Version 3.0.1 is used and the management opted for full version was applied. These GHG calculations were done as per certification unit basics including 5 estate and mill & outgrower. Summary emissions: a. Emission/ mt CPO= 1.44 tCO ₂ e/mt CPO b. Emission/ mt PK= 1.44 tCO ₂ e/mt PK Details of GHG calculation can be found under Appendix K: GHG Reporting Executive Summary.	Complied
Principle 6: Responsible consideration of employees and of individuals and communities affected by growers and millers.		
Criterion 6.1: Aspects of plantation and mill management that have social impacts, including replanting, are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.		
6.1.1 A social impact assessment (SIA) including records of meetings shall be documented. - Major compliance -	Social Impact Assessment was conducted on 7-11/5/2013 for whole SOU 26 Sandakan Bay. The methodology of the assessment was by field observation, interview with the stakeholders and document reviewed. Attendance list was sighted with the participation of relevant stakeholders such as contractors, internal workers from different nationalities and etc.	Complied

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6.1.2	There shall be evidence that the assessment has been done with the participation of affected parties. - Major compliance -	The assessment was conducted with the participation of relevant stakeholders such as contractors and suppliers, internal workers and etc. Attendance list of the stakeholders was sighted. Besides, the stakeholders were invited to attend Stakeholder Meeting to discuss if any issues. Meeting minutes and attendance list of the stakeholders were sighted in the mill and estates.	Complied
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 -	The mill and estates have developed Management Plan on Social Impact Assessment which updated on 15/5/2017 for Sandakan Bay POM (SBPOM), 2/6/2017 for Tigowis Estate (TE) and 26/6/2016 for Tun Tan Siew Sin Estate (TTSSE). The plan has highlighted the issues raised during assessment and stakeholder meeting. The plan has incorporated person in charge of the issue and the date of completion.	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 -	The plan was reviewed on yearly basis and the last review was conducted on 15/5/2017 (SBPOM), 2/6/2017 (TE) and 26/6/2016 (TTSSE).	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 scheme smallholder is involved in the operating 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 -	Sime Darby Plantation Bhd has developed a documented procedure in Sustainable Plantation Management System on handling social issues, Appendix 5, Version 1, and Issue No.1, dated 01/4/2008. The procedure has detailing the process of handling social issues raised by the stakeholders and resolve in an effective, timely and appropriate manner.	Complied
6.2.2	A management official responsible for these issues shall be nominated. - Minor compliance -	Assistant Mill Manager and Assistant Estate Manager has been appointed as Social Officer to handle any social related issue. The appointment letter dated 2/7/2016 for Mill, 1/2/2017 for Tigowis Estate and 27/1/2017 for Tun Tan Siew Sin Estate is sighted.	Complied

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Criterion / Indicator	Assessment Findings	Compliance	
6.2.3	<p>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.</p> <p>- Minor compliance -</p>	<p>The mill and estate’s management have developed a list of stakeholder which included contractors and suppliers, local community, government authorities and etc.</p> <p>Stakeholder meeting was conducted on 13/5/2017 with the contractors and suppliers and 10/1/2017 for the Sabah Region Town Hall meeting in Sandakan Bay POM. Issues raised during the meeting was captured and recorded in the Management Plan which updated on 15/5/2017. Meeting minutes was sighted with the attendance list of participants.</p> <p>Stakeholder meeting was conducted on 17/5/2017 with contractors and 23/4/2016 with villagers and contractors in Tigowis Estate. No issue raised during the meeting.</p> <p>Stakeholder meeting was conducted on 2/11/2016 with participation of stakeholder such as smallholders, villager, contractors and internal workers in Tun Tan Siew Sin Estate. Meeting minutes was sighted with no issue raised during the meeting.</p>	Complied
<p>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.</p>			
6.3.1	<p>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.</p> <p>- Major compliance -</p>	<p>A documented dispute resolution procedure is available in Sustainable Plantation Management System 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.</p>	Complied
6.3.2	<p>Documentation of both the process by which a dispute was resolved and the outcome shall be available.</p> <p>- Major compliance –</p>	<p>The mill management has implemented Complaints Book and Linesites Defects & Maintenance Record Book. Most of the complaints were from the internal workers such as house repair such as replacement of roof and door. The management has taken action to rectify the problem.</p> <p>The estate has implemented Linesite Complaint Logbook. Action has been taken to rectify the complaint and has been acknowledged by complainant.</p> <p>Tun Tan Siew Sin Estate has implemented External Complain Book. No complaint was reported as to date.</p>	Complied
<p>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.</p>			
6.4.1	<p>A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be in place.</p> <p>- Major compliance -</p>	<p>Sime Darby Plantation Bhd has develop SOP to identify legal and customary rights as well as people entitled to compensation titled “Flowchart and Procedures on Handling Land Disputes” dated 1/4/2008 under Sustainable Plantation Management System. There have been no issues related to loss of legal customary rights with indigenous peoples, local communities and other stakeholders.</p>	Complied

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<p>6.5.2</p> <p>Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be available in the languages understood by the workers or explained carefully to them by a management official.</p> <p>- Major compliance -</p>	<p>Employment contract are available in language that understood by workers. The contract has detailing the payments and employment conditions such as period of working, working hour, medical assistance, transportation provided, holiday and annual leave, termination of services and etc. The contract was signed by the workers and sampled contracts as below:</p> <ul style="list-style-type: none"> a. Employee No.: 124907 (SBPOM) b. Employee No.: 133474 (SBPOM) c. Employee No.: 131860 (TTSSE) d. Employee No.: 133296 (TTSSE) e. Employee No.: 122428 (TTSSE) <p>Extension contracts (version EMP04/2016/01 and EMP04/INDO/2017/01) were signed by the workers who have worked more than 2 years. Sampled workers as below:</p> <ul style="list-style-type: none"> a. Employee No.: 44507 (TE) b. Employee No.: 63104 (TE) c. Employee No.: 63822 (TE) d. Employee No.: 32149 (TTSSE) e. Employee No.: 51199 (TTSSE) f. Employee No.: 92360 (TTSSE) <p>However, there are few sampled workers in Sandakan Bay POM were found extension contract in old version (January 2015) as below:</p> <ul style="list-style-type: none"> a. Employee No.: 34362 b. Employee No.: 34414 c. Employee No.: 58382 d. Employee No.: 68373 <p>Sampled letter of employments in Tigowis Estate where the annual leave entitlement was not consistent among the workers as below:</p> <ul style="list-style-type: none"> a. Employee No.: 105780 - AL 11 days b. Employee No.: 107538 – AL 11 days c. Employee No.: 119987 - AL 11 days d. Employee No.: 109692 – AL 11 days e. Employee No.: 127916 - AL 14 days f. Employee No.: 133851 – AL 14 days <p>Thus, major non-conformity was raised.</p>	<p>Major nonconformance</p>
<p>6.5.3</p> <p>Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible.</p> <p>- Minor compliance –</p>	<p>The company has provide free medical assistance to the all the workers. Water supplies were free of charge by providing the treated water to all the workers. Humana School was constructed in the compound for the children to access to education. Linesite inspection was conducted on weekly basis by Medical Assistant and Assistant Manager. Last conducted on 26/5/2017, 19/5/2017, 12/5/2017, 6/5/2017 for Tigowis Estate and 2/6/2017, 26/5/2017, 19/5/2017, 12/5/2017, 5/5/2017 for Sandakan Bay POM and Tun Tan Siew Sin Estate.</p>	<p>Complied</p>

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6.5.4	Growers and millers shall make demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food. - Minor compliance -	Sundry shops and canteen were located in the mill and estate compound. The goods and foods price was displayed accordingly.	Complied
Criterion 6.6: The employer respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.			
6.6.1	A published statement in local languages recognising freedom of association shall be available. - Major compliance -	SDPB has implemented Social Policy dated January 2015 where the management is committed and respect the rights of all personnel to form and join trade unions of their choice and to bargain collectively.	Complied
6.6.2	Minutes of meetings with main trade unions or workers representatives shall be documented. - Minor compliance -	The workers in Sandakan Bay POM are allowed to join Union under Sabah Plantation Industry Employees Union (SPIEU). Total 123 workers who have joined the Union. Meeting was carried out between SPIEU and workers' representatives for whole SOU 26 on 11/3/2016. Meeting minutes was sighted. No issue was raised in the meeting. In Tun Tan Siew Sin Estate, SPIEU meeting was conducted on 8/3/2016 with the members' representatives. Issues discussed during the meeting was clearly stated in the meeting minutes. The next meeting was proposed to conduct on 14/6/2017. Memo of the next meeting was sighted. Besides, the mill has conducted Joint Consultative Committee Meeting (JCC) with the participation of internal workers. The last meeting was conducted on 16/4/2017. No major issue was raised during the meeting. Attendance list of the meeting was sighted.	Complied
6.7.1	There shall be documentary evidence that minimum age requirements are met. - Major compliance -	The company has developed Child Protection policy dated January 2015. Operating units are complied with the minimum age requirement. No employees below the age of 18 were confirmed through the Employee Master Listing.	Complied
Criterion 6.8: Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.			
6.8.1	A publicly available equal opportunities policy including identification of relevant/affected groups in the local environment shall be documented. - Major compliance -	SDPB has implemented Social Policy, Social & Humanity Management Policy dated January 2015 where the management is committed to treat all employees fairly in terms of recruitment, progression, terms and conditions of work and representation regardless of race, caste, nationality, gender, sexual orientation, union membership, political view, religion and/or age.	Complied
6.8.2	Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated against. - Major compliance -	Through document reviewed on the list of employees found that there was a composition of local and foreign workers, male and female workers. No discrimination was sighted based on interview with the workers. The management treated all the workers fairly and equally without discrimination.	Complied

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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.
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 -	Sime Darby Plantation Bhd. has implemented Social Policy, Gender Policy and Social & Humanity Management Policy dated January 2015. The management is committed to prevent any form of sexual harassment and violence occurred in the workplace. The policy was communicated to employees during induction training and publicly display at notice board.
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 -	Sime Darby Plantation Bhd. has implemented Social Policy and Social & Humanity Management Policy dated January 2015. The management is respected and protected the reproductive rights of the female employee. The policy has been briefed to the workers during induction training and it is publicly display on the notice board in office area. Refresher training on Reproductive Rights Policy was provided to the workers on 11/3/2017 by PSQM team.
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 -	A Gender Committee was established by the mill and estates' management. Gender Committee Handbook, First Edition 2014 developed by PSQRM was implemented. It explained the types of gender-based violence & grievance procedures. Meeting was conducted quarterly according to the handbook. Meetings were conducted on 6/5/2017, 4/2/2017, 5/11/2016 and 6/8/2016 for Sandakan Bay POM, 12/10/2016, 28/1/2017 and 14/4/2017 for Tigowis Estate and 20/7/2016, 20/10/2016, 20/1/2017 and 20/4/2017 for Tun Tan Siew Sin Estate. Meeting minutes was sighted. During the meeting, the committee has discussed if there is any issue related to sexual harassment and violence occurred. Through interview with the female workers and staffs confirmed that no sexual harassment case was reported. The Gender Committee has organized activities such as cooking, weekly sport day, Ramadan Festival and etc.
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 -	Sandakan Bay POM has received FFB crop from smallholders and out-grower. The pricing of FFB was displayed at the weighbridge area.

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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 -	Total 9 out-growers/ independent smallholders were sending FFB crops to Sandakan Bay POM. Sampled of contract agreements as below: <ul style="list-style-type: none"> a. Agreement No.: P/B/0117/FFB00770L which expired on 31/12/2017. b. Agreement No.: P/B/0217/FFB00822L which expired on 31/12/2017. Pricing mechanism was clearly stated in Third Schedule of the agreement. The price of FFB paid to smallholders and out-growers is in accordance with the price determined by MPOB.	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 -	Contractor’s Letter of Award (LOA) or Letter of Offer was signed by the contractors before the commencement of work. Sampled letters as below: <ul style="list-style-type: none"> a. Ref. No.: T/FFB_SBH/1215/003 for transport of FFB. The agreement commenced from 1/11/2016 to 31/10/2019. Transport rate adjustment mechanism was attached as Appendix 2 in the agreement and explained to the contractor. b. Bahar Lambo for transport of EFB from KKS Sandakan Bay to Tigowis Estate commenced from April 2017 to 30/6/2017. c. Ruhaya Kaludin for Upkeep & Maintenance and Replanting commenced from 1/7/2016 to 30/6/2017. d. Nureni binti Asis for Upkeep & Maintenance commenced from 1/7/2016 to 30/6/2017 	Complied
6.10.4 Agreed payments shall be made in a timely manner. - Minor compliance -	Payment for the services/ FFB suppliers were clearly written in the First Schedule in contract agreement. Total 2 segments of payment will be made where the first payment was in the range of 70 – 90% of the value during the 10 days of the month whereas the final payment will be made before the 10 th day of the following month. The payment records were kept by Head Office where the payment is directly bank transfer or Telegraphic Transfer. Interviewed with the contractors found that the payment was made promptly without any delay.	Complied
Criterion 6.11: Growers and millers contribute to local sustainable development where appropriate.		

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6.11.1 Contributions to local development that are based on the results of consultation with local communities shall be demonstrated. - Minor compliance –	Corporate Social Responsibility (CSR) Report for Y 2016/2017 was developed as such: a. Provide 5kg rice and 5 kg of cooking oil every 2 months. b. Construction of new housing block in Sandakan Bay POM. c. Free transportation to send students to school by boat and van. d. Provide transport upon request from Humana School to send children to Pusat Bimbingan Humana Ladang Batu Puteh. e. Borrow canvas upon request for wedding ceremony. f. Sport day in conjunction with the celebration of Labour Day. g. Power supply to the worker for celebration of event. h. And etc.	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 smallholder is involved in the operating unit.	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 -	Employees recruited by the management are with the legal identification for local and valid passport and work permit for foreign workers. The workers were signed on the contract of employment prior commencement of work. They were provided with induction training prior to work. Sampled workers with valid work permit as below: a. Permit No.: PD 7845784 valid until 3/3/2018 (SBPOM) b. Permit No.: PD 5929429 valid until 11/8/2017 (SBPOM) c. Permit No.: PD 7845783 valid until 3/3/2018 (SBPOM) d. Permit No.: PD 7847730 valid until 3/4/2018 (TE) e. Permit No.: PD 7628444 valid until 23/2/2018 (TE) f. Permit No.: PD 6672122 valid until 14/12/2017 (TE) g. Permit No.: PD 3963790 valid until 15/8/2017 (TE) h. Permit No.: PD 6676902 valid until 30/10/2017 (TTSSE) i. Permit No.: PD 7327376 valid until 2/10/2017 (TTSSE) j. Permit No.: PD 7329047 valid until 3/3/2018 (TTSSE) The workers have signed on a letter of voluntarily surrender of passport for safe-keeping by the management.	Complied
6.12.2 Where applicable, it shall be demonstrated that no contract substitution has occurred. - Minor compliance –	Interviewed with the foreign workers found that no substitution of contract occurred.	Complied

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Criterion / Indicator		Assessment Findings	Compliance
6.12.3	Where temporary or migrant workers are employed, a special labour policy and procedures shall be established and implemented. - Major compliance -	Sime Darby has implemented a Sime Darby's Responsible Agriculture Charter on 21/9/2016 where they covered Human Rights and Social Development in order to respect human right and empowering communities, protect labour standard and enhance employment condition. Besides, they are also implemented Social policy and Social & Humanity Management policy where they are committed not to practice force labour.	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 Social and Humanity management policy was implemented dated January 2015 and it covers the necessary aspects of human rights. Employees are aware of their rights. The policy was communicated to employees during induction training and was publicly displayed at the notice board.	Complied
6.13.2	As long as children of foreign workers in Sabah and Sarawak are ineligible to attend government school, the plantation companies should engage in a process to secure these children access to education as a moral obligation.	There is a HUMANA school in the estates' compound. The mill and estates have provided free transportation to send the students to school. The management also provided transportation upon request from HUMANA teachers for activities to nearby village. Meeting with HUMANA Child Aid Society Sabah has conducted meeting with the management on 20/2/2017 to discuss the future plan of HUMANA and need of assistance from the estate managements. Meeting minutes was sighted.	Complied
Principle 7: Responsible development of new plantings Sandakan Bay Palm Oil Mill and supply base did not carry out any new plantings after November 2005. Therefore, the requirement of Principle 7 is not applicable during the annual surveillance. It was verified through the land statement, land title and planting history.			
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</p> <p>The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria.</p> <p>As a minimum, these shall include, but are not necessarily be limited to:</p> <ul style="list-style-type: none"> • Reduction in use of pesticides(Criterion 4.6); • Environmental impacts (Criteria 4.3, 5.1 and 5.2); • Waste reduction (Criterion 5.3); • Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); • Social impacts (Criterion 6.1); <ul style="list-style-type: none"> • Optimising the yield of the supply base. <p>- Major compliance -</p>	<p>Initiative on KAIZEN project at Sandakan Bay Palm Oil Mill showed commitment towards continual improvement to improve plant safety and process performance where a new boiler installation and a BIOGAS plant was sighted in progress.</p> <ul style="list-style-type: none"> a. Lean Six Sigma Project – To reduce sanitation – ranking cost/ palm by 19%. b. Kaizen Project as below: <ul style="list-style-type: none"> i. To replace usage of poly bag to PVC pipe for beneficial plant. ii. To install electric fencing along boundary with Melanking Estate to minimize elephant intrusion. iii. To reduce circle raking cost by using blower. iv. To reduce lubricant usage <p>Corporate Social Responsibility (CSR) Report for Y 2016/2017 was developed as such:</p> <ul style="list-style-type: none"> a. Provide 5kg rice and 5 kg of cooking oil every 2 months. b. Construction of new housing block in Sandakan Bay POM. c. Free transportation to send students to school by boat and van. d. Provide transport upon request from Humana School to send children to Pusat Bimbingan Humana Ladang Batu Puteh. 	<p>Complied</p>

Appendix B: Approved Time Bound Plan

SDP- RSPO Certification Status for Malaysia Operations

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

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9a	Selangor	Selangor, Selangor	19 May '10	NA	NA	N.A
10	Bukit Puteri	Raub, Pahang	7 Jul '16	6-Jul-21	CU-RSPO-815147, 18502206 001, 824 502 14020	N.A
11	Kerdu	Temerloh, Pahang	7 Jul '16	6-Jul-21	CU-RSPO-819155, 18502207 001, 824 502 14019	N.A
12	Jabor	Kuantan, Pahang	7 Jul '16	6-Jul-21	CU-RSPO-819156, RSP0 928288, 824 502 16049	N.A
13	Labu	Nilai, Negeri Sembilan	30 Dec '11	29-Dec-16	CU-RSPO-819163, SGS-RSPO/PM/MY13/01284, 824 502 16039	Recertification of Labu POM is in progress. PalmTrace License is valid till end of March 2017 in the PalmTrace system.
14	Tanah Merah	Port Dickson, Negeri Sembilan	19 May '10	18-May-20	SPO 541905	
15	Sua Betong	Port Dickson, Negeri Sembilan	18/2/2014	17-Feb-19	SGS-RSPOPM-MY14/01364, 824 502 16032	Sua Betong Oil Mill has been commissioned to replace Rantau Oil Mill with Certificate No: CU- RSP0-819165, certification date: 30 Dec 2011.
16	Kok Foh	Bahau, Negeri Sembilan	7 Jul '16	6-Jul-21	CU-RSPO-819157, RSP0 928188, 824 502 16051	N.A
17	Kempas	Jasin, Melaka	19 May '10	18-May-20	RSP0 005	N.A
18	Diamond Jubilee	Jasin, Melaka	5 Oct '11	4-Oct-21	CU-RSPO-819146, RSP0 591224	N.A
19	Pagoh	Muar, Johor	28/1/2014	27-Jan-19	RSP0 600305	Pagoh Oil Mill has been commissioned to replace Nordanal Oil Mill with Certificate No: SPO 549297, certification date: 7 Jan 2011.
19a	Yong Peng	Yong Peng, Johor	20 Oct '10	19-Oct-15	RSP0 550182	N.A
20	Chaah	Chaah, Johor	18 Nov '10	17-Nov-20	RSP0 548299	N.A
21	Gunung Mas	Kluang, Johor	19 May '10	18-May-20	RSP0 901888	N.A
22	Bukit Benut	Kluang, Johor	5 Oct '11	4-Oct-21	CU-RSPO-819147, RSP0 591229	N.A

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

Legends

Certification Withdrawal

NA - NOT APPLICABLE

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

SDP- RSPO Certification Status for Indonesia Operations

NO	Name of PT	Name of Mill	Location	Date of Certification	End Date of Certification	Certificate Number	Remarks
1	PT LAHAN TANI SAKTI	ALUR DUMAI	Bagan Sinembah/Tanh Putih, Pujud, Rokan Hilir, Riau	16-Jan-17	15-Jan-22	SGS-RSPO/PC17-00005	
2	PT SAJANG HEULANG	ANGSANA MINI	Sebamban, Indonesia	6-Jul-11	6-Jul-16	MUTU-RSPO/006b	Mill closed down
3	PT SAJANG HEULANG	MUSTIKA	Sebamban, Indonesia	3-Jul-13	3-Jul-18	MUTU-RSPO/027	
4	PT LADANGRUMPUN SUBURUBADI	ANGSANA	Sebamban, Indonesia	9-Nov-16	8-Nov-21	MUTU-RSPO/006a	
5	PT LANGGENG MUARAMAKMUR	BEBUNGA	Pamukan Utara, Tanah Grogot, Kotabaru/Pasir, Kalimantan Selatan/Kalimantan Timur	4-Aug-17	3-Aug-22	MUTU-RSPO/014	
6	PT KRIDATAMA LANCAR	SUKAMANDANG	Seruyan Tengah, Sampit, Seruyan, Kalimantan Tengah	2-Sep-16	1-Sep-21	MUTU-RSPO/003	
7	PT BAHARI GEMBIRARIA	LADANG PANJANG	Kumpeh Ulu, Jambi, Muaro Jambi, Jambi	9-Jul-12	9-Jul-17	MUTU-RSPO/019	
8	PT TUNGGAL MITRA PLANTATIONS	MANGGALA	Riau, Indonesia	25-Nov-10	24-Nov-20	MUTU-RSPO/002	
9	PT PARIPURNA SWAKARSA	PONDOK LABU	Pamukan Selatan, Tanah Grogot, Kotabaru, Kalimantan Selatan	20-Jul-17	19-Jul-22	MUTU-RSPO/016	
10	PT BERSAMA SEJAHTERA SAKTI	GUNUNG ARU	Sebamban, Indonesia	21-Oct-16	20-Oct-21	MUTU-RSPO/005	
11	PT GUTHRIE PECCONINA	RANTAU PANJANG	Muara Lakitan, Lubuk Linggau, Musi Rawas, Sumatera Selatan	16-Mar-12	16-Mar-17	MUTU-RSPO/017	Under renewal of certification.

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12	PT LAGUNA MANDIRI	RANTAU	Sungai Durian, Kotabaru, Kalimantan Selatan	30-Dec-11	30-Dec-16	MUTU-RSPO/009	Recertification of Rantau POM is in progress. PalmTrace License is valid till end of Feb 2017 in the PalmTrace system.
13		BETUNG		1-April-14	1-April-19	MUTU-RSPO/035	
14	PT INDOTRUBA TENGAH	SEKUNYIR	Kalimantan Tengah, Indonesia	23-Nov-10	22-Nov-20	MUTU-RSPO/001	
15	PT SWADAYA ANDIKA	SELABAK	Sungai Durian, Kotabaru, Kalimantan Selatan	16-Mar-12	16-Mar-17	MUTU-RSPO/015	Temporary close of mill. Will not undergo recertification at this moment.
16	PT BINA SAINS CEMERLANG	SG PINANG	Muara Lakitan, Lubuk Linggau, Musi Rawas, Sumatera Selatan	11-Sep-12	11-Sep-17	MUTU-RSPO/020	
17	PT TEGUH SEMPURNA	PEMANTANG	Kuala Kuayan, Sampit, Kotawaringin Timur, Kalimantan Tengah	9-Sep-16	8-Sep-21	MUTU-RSPO/004	
18	PT BHUMIREKSA NUSA SEJATI	TELUK BAKAU	Pelangiran, Sg. Guntung, Indragiri Ilir, Riau	01-Dec-16	30-Nov-21	MUTU-RSPO/008	
19		MANDAH		1 April 2014	1 April 2019	MUTU-RSPO/036	
20	PT ANEKA INTIPERSADA	TELUK SIAK	Tualang, Perawang, Siak, Riau	8-Dec-16	7-Dec-21	MUTU-RSPO/007	
21	PT TAMACO GRAHA KRIDA	UNGKAYA	Witaponda, Kolonodale, Morowali, Sulawesi Tengah	10-Jul-12	10-Jul-17	MUTU-RSPO/018	
22	PT SIME INDO AGRO	BK AJONG	Kalimantan Barat, Indonesia	18-Jul-16	17-Jul-21	MUTU-RSPO/088	
23	PT PADANG PALMA PERMAI/PT PERKASA SUBUR SAKTI	BLANG SIMPO	Karang Baru, Kuala Simpang, Aceh Tamiang, Nangroe Aceh Darussalam	3-May-13	3-May-18	MUTU-RSPO/026	
24	PT SANDIKA NATAPALMA/PT	LEMBIRU	Desa Suka Karya Kec. Marau Kab. Ketapang, Kalimantan Barat	3-Jul-14	2-Jul-19	MUTU-RSPO/044	

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

Legends

Pending Certification by
RSPO EB

Mill closed down

NA - NOT APPLICABLE

Appendix C: Certification Unit RSPO Certificate Details

Sime Darby Plantation Bhd
 Strategic Operating Unit (SOU 26)
 Sandakan Bay Palm Oil Mill
 Locked Bag 39, Suanlamba District
 Sandakan, Sabah, Malaysia
 RSPO membership number: 1-0008-04-000-00

BSI RSPO Certificate No. : RSPO 537872
 Date of Initial Certificate Issued: 01/10/2008
 Date of Expiry: 30/09/2018
 Applicable Standards: RSPO P&C MYNI-2014; RSPO Supply Chain Certification Standard November 2014 Module E
 – CPO Mills: Mass Balance)

Sandakan Bay Palm Oil Mill and Supply Base					
Location Address	Strategic Operating Unit (SOU 26) – Sandakan Bay Palm Oil Mill, Locked Bag 39, Suanlamba District 90009 Sandakan, Sabah, Malaysia				
GPS Location	118° 10' 20" E ; 5° 45' 20" N				
CPO Tonnage Total	37,896.60 mt				
PK Tonnage Total	7,968.91 mt				
CPO Claimed for Certification*	37,896.60 mt				
PK Claimed for Certification *	7,968.91 mt				
Own estates FFB Tonnage	177,086.90 mt				
Scheme Smallholder FFB Tonnage	-				
Estates	Production Area		Other use (ha)	Certified Area / Total land lease (ha)	Annual FFB Production (mt)
	Mature (ha)	Immature (ha)			
Segaliud Estate	3,164.00	1,144.05	512.08	4,820.13	47,119.50
Sentosa Estate	2,337.13	797.88	411.85	3,546.53	43,462.87
Tigowis Estate	1,224.37	659.27	190.38	2,074.02	22,658.53
Tun Tan Estate	1,355.15	1,437.53	340.93	3,143.23	28,800.00
Tunku Estate	1,972.85	835.41	394.79	3,203.05	35,046.00
TOTAL	10,053.5	4,874.14	1,850.03	16,786.96	177,086.90

Appendix D: Assessment Plan

Date	Time	Subjects	Hoo BH	Daniel	Hu NS
Monday 05/06/2017	PM	Audit team traveling to site	√	√	√
Tuesday 06/06/2017	0830-0900	Opening Meeting: • Opening Presentation by Audit team leader. • Confirmation of assessment scope and finalize Audit plan, previous CAR verification	√	√	√
Sandakan Bay Palm Oil Mill	0900-1200	Sandakan Bay Palm Oil Mill Inspection: FFB receiving, warehouse, workshop, wastes management & Landfill, Effluent Ponds, OSH & ERP, Environment issues, POME application, water treatment, staff, workers and contractor interview, housing and facility inspection, clinic, meeting stakeholders etc.	√	√	√
	1100-1200	Supply chain for CPO mill, weighbridge officer, production record and etc		√	
	1200-1300	Lunch	√	√	√
	1300-1630	Document review P1 – P8: (General Documentation e.g. Legal, Manual and Procedure, production & monitoring records, IPM & HCV records, SEIA documents & records, OSH records, review pay documents, records of communication with stakeholder/workers representatives, new planting, TBP, CIP and implementation etc).	√	√	√
	1630-1700	Interim Closing briefing	√	√	√
	Wednesday 07/06/2017	0900-1100	Tigowis 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.	√	√
Tigowis Estate	1100-1200	Meeting with stakeholders (Government, village rep, smallholders, Union Leader, contractor etc.)	√	√	√
	1200-1300	Lunch	√	√	√

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Date	Time	Subjects	Hoo BH	Daniel	Hu NS
	1300-1630	Tigowis 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).	√	√	√
	PM	Interim Closing briefing	√	√	√
Thursday 08/06/2017	0900-1100	Tun Tan 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.	√	√	√
Tun Tan Estate	1100-1200	Meeting with stakeholders (Government, village rep, smallholders, workers leader, contractor etc.)	√	√	√
	1200-1300	Lunch	√	√	√
	1330-1530	Tun Tan 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, TBP, CIP and implementation etc).	√	√	√
	1530-1600	Verify any outstanding issues & Preparation for closing meeting	√	√	√
	1600-1700	Closing meeting	√	√	√
	PM	Audit Team travelling back to KL	√	√	√

Appendix E: Stakeholders Contacted

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

Requirements	Compliance
E.1 Definition	
<p>E.1.1 Certification for CPO mills is necessary to verify the volumes of certified and uncertified FFB entering the mill and volume sales of RSPO certified producers. A mill may be taking delivery of FFB from uncertified growers, in addition to those from its own certified land base. In that scenario, the mill can claim only the volume of oil palm products produced from processing of the certified FFB as MB.</p>	<p>Sandakan Bay Palm Oil Mill receives and process both certified and non-certified FFB. Therefore, it uses the Mass Balance supply chain system and module. During the P&C assessment, the audit team verified the volumes and sources of certified and non-certified FFB entering the mill, the implementation of processing controls and volume sales of RSPO certified Products.</p>
E.2 Explanation	
<p>E.2.1 The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill must be recorded by the 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 should 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>E.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>
E.3 Documented procedures	
<p>E.3.1 The site shall have written procedures and/or work instructions to ensure the implementation of all the elements specified in these requirements. This shall include at minimum the following:</p> <p>a) Complete and up to date procedures covering the implementation of all the elements in these requirements;</p> <p>b) The name 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 procedures for the implementation of this standard.</p>	<p>Latest written documented procedures for the chain of custody is with Mass Balance (MB) model covering all the RSPO Supply Chain Certification Standard and Traceability for handling certified and non-certified FFB under Appendix 15, version:2, issue: 2 dated October 2016. This developed based on the RSPO SCCS 21 November 2014.</p> <p>As per the appointment letter dated 10 January 2015, the Quality Assurance has the responsibility to ensure implementation assisted by the on-site compliance executive. The MB model is used at Sandakan Bay Palm Oil Mill because the mill has received and processed FFB from own supply bases, independent smallholder and independent outgrowers. 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>E.3.2 The site shall have documented procedures for receiving and processing certified and non-certified FFBs.</p>	<p>Sandakan Bay Palm Oil mill has documented procedures (as per above in E 3.1) for the incoming FFB, processing and outgoing palm products (CPO and PK). The procedure covers receiving and processing certified and non-certified FFBs.</p>

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E.4 Purchasing and goods in	
E.4.1 The site shall verify and document the volumes of certified and non-certified FFBs received.	<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. Sandakan Bay mill have system to verify at the weighbridge. Sample of weighbridge ticket :</p> <ul style="list-style-type: none"> a. Weighbridge ticket: 148371; Date: 26 March 2017; Own Supply base: Tun Tan Siew Sin Estate; FFB Volume: 7,620 kg b. Weighbridge ticket: 12836; Date: 24 March 2017; Own Supply base: Sentosa Estate; FFB Volume: 9,070 kg c. Weighbridge ticket: 2954; Date: 30 May 2017; Own Supply base: Tigowis Estate; FFB Volume: 9,720 kg d. Weighbridge ticket: 148529; Date: 30 March 2017; Outside Crop Producer: Sg Harvest; FFB Volume: 12,190 kg e. Weighbridge ticket: 150101; Date: 30 April 2017; Outside Crop Producer: Maju Jaya; FFB Volume: 5,930 kg
E.4.2 The site shall inform the CB immediately if there is a projected overproduction.	The facilities aware of this procedure. In clause 15- Production Volume of the procedure, the PSQM will notify CB if there is an overproduction.
E.5 Record keeping	
E.5.1 a) 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. (b) All volumes of palm oil and palm kernel oil that are delivered are deducted from the material accounting system according to conversion ratios stated by RSPO. c) The site can only deliver Mass Balance sales from a positive stock. Positive stock can include product ordered for delivery within three months. However, a site is allowed to sell short.(ie product can be sold before it is in stock.)	<p>All the inventory records are maintained and updated on daily basis and monthly and reported on monthly and 3 monthly inventory. Computerized system in place. Daily records are prepared at the entry point at the weighbridge.</p> <p>Up to date, there is no sales of RSPO Certified products.</p> <p>Daily summary and monthly summary documented for all the FFB received (certified and non-certified) and total CSPO Produced. Records of certified FFB received verified during annual surveillance. Records verified by internal and external audit. Mass Balancing Records for Oil Mills year 2017 and 2016 were verified.</p>
E.5.2 In cases where a mill outsources activities to an independent palm kernel crush, the crush still falls under the responsibility of the mill and does not need to be separately certified. The mill has to ensure that the crush is covered through a signed and enforceable agreement	No outsourcing activities.

Actual Tonnage Certified Palm Production – 01 June 2016 – 31 May 2017 (ASA4 1)

Mill	Capacity	CPO	PK
Sandakan Bay Palm Oil Mill	60 mt/hr	34,632.59	7,820.55

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Actual Tonnage Sales of Certified Palm Products – 01 June 2016 – 31 May 2017 (ASA4 1)

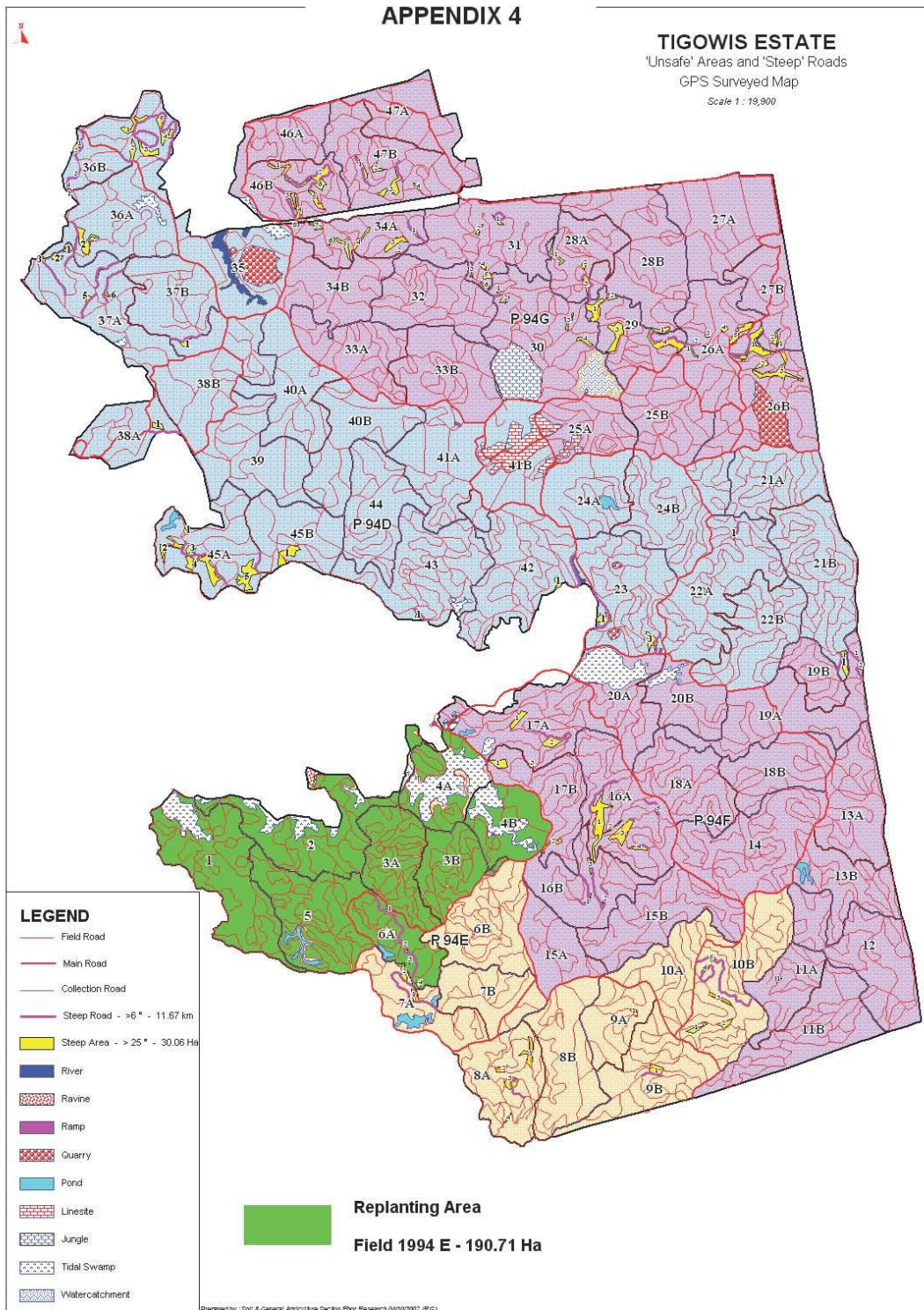
Mill	Certified CPO Sales	Certified PK Sales	Remarks
Sandakan Bay Palm Oil Mill	Nil	Nil	No Sales of Certified Palm Product for RSPO and other scheme

Month	Certified Supply Base (from own certificate scope) (mt)					Total FFB/Month (mt)
	Segaliud Estate	Sentosa Estate	Tun Tan Estate	Tunku Estate	Tigowis Estate	
Jun 2016	4,575.90	4,115.23	2,641.59	3,074.44	2,033.44	16,440.60
Jul 2016	4,679.15	3,142.50	2,478.49	2,733.28	1,965.02	14,998.44
Aug 2016	5,049.07	3,258.39	3,031.38	2,328.29	1,891.43	15,558.56
Sep 2016	4,882.58	2,873.34	2,262.70	2,549.15	1,548.53	14,116.30
Oct 2016	3,669.21	2,787.87	2,154.63	2,558.50	1,570.44	12,740.65
Nov 2016	2,831.83	2,513.74	1,964.15	2,648.55	1,339.27	11,297.54
Dec 2016	2,764.60	2,848.85	2,272.33	2,856.32	1,414.29	12,156.39
Jan 2017	1,902.54	2,307.71	1,577.26	2,309.57	1,064.39	9,161.47
Feb 2017	2,382.72	2,725.45	1,980.67	2,679.18	1,158.36	10,926.38
Mar 2017	3,127.92	2,954.49	2,758.16	2,946.76	1,683.98	13,471.31
Apr 2017	3,492.59	3,796.69	3,391.61	3,446.45	1926.070	16,053.41
May 2017	3,844.23	3,553.11	3,302.57	3,347.00	2,073.24	16,120.15
Total	43,202.34	36,877.37	29,815.54	33,477.49	19,668.46	163,041.20

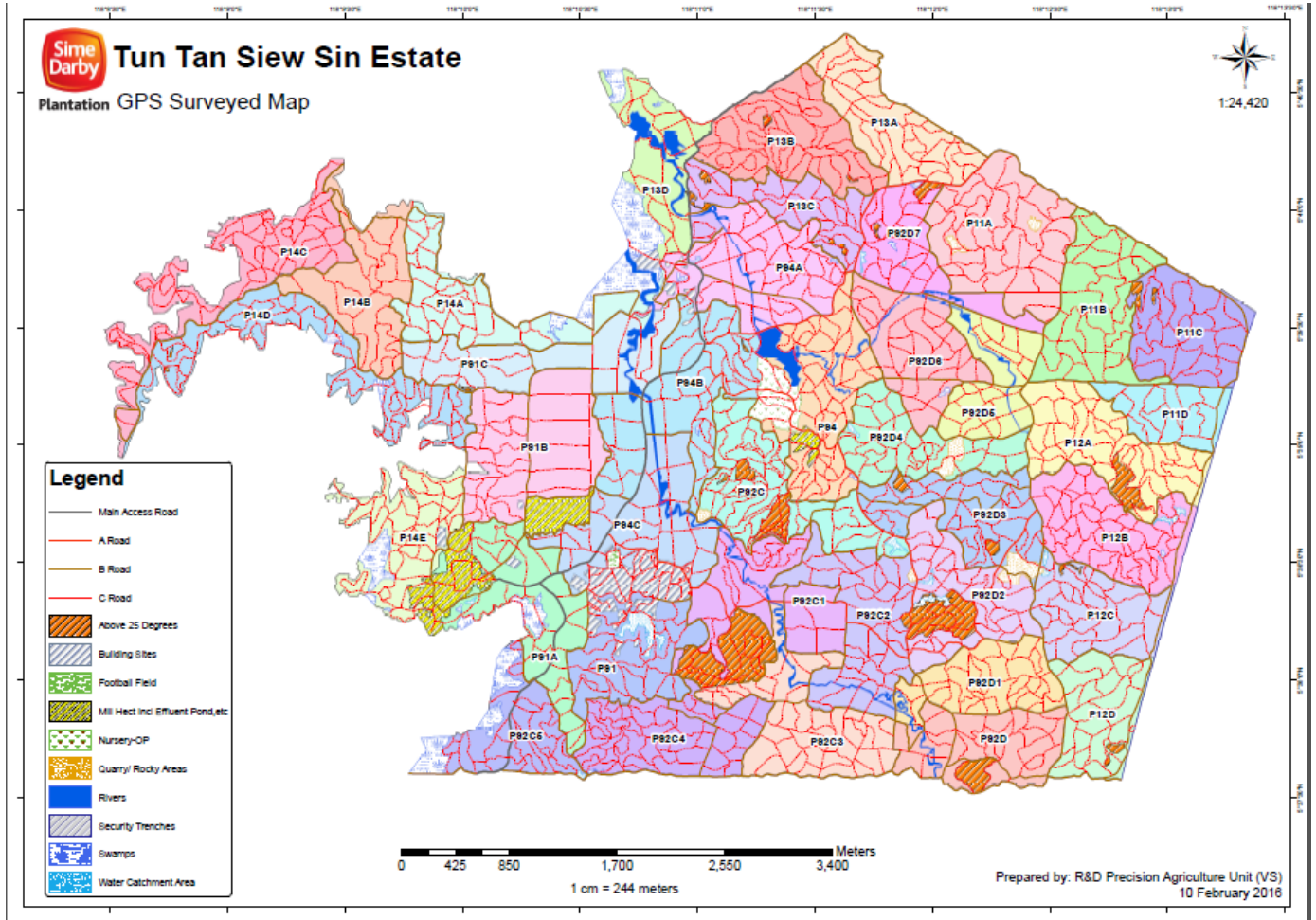
Appendix H: Location Map of Sandakan Bay Palm Oil Mill Certificatio Unit and Supply bases



Appendix I : Tigowis Estate Field Map



Appendix J : Tun Tan Estate Field Map



Appendix K: GHG Reporting Executive Summary

The GHG emissions that were produced in 2016 for Sandakan Bay Palm Oil Mill and supply base was calculated using the GHGpalm Calculator version 3.0. The assessment team had verified the data input in the GHGpalm Calculator against operations records. Palm GHG Calculation Options selected 'Full version' and 'Exclude LUC Emission' calculation option is not applied. The records verified includes:

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

The summary of the Net GHG emitted in 2016 for Sandakan Bay Palm Oil Mill and supply base are as following:

Emission per product	tCO ₂ e/tProduct
CPO	1.44
PKO	1.44

Extraction	%
OER	21.18
KER	4.81

Production	t/yr
FFB Process	171,636.90
CPO Produced	36,353.66
PKO Produced	8,258.73

Land Use	Ha
OP Planted Area	14,927.31
OP Planted on peat	0
Conservation (forested)	0
Conservation (non-forested)	0
Total	14,927.31

Summary of Field Emission and Sink

	Own Crop*		Group		3 rd Party		Total	
	tCO ₂ e	tCO ₂ e / FFB	tCO ₂ e	tCO ₂ e / FFB	tCO ₂ e	tCO ₂ e / FFB	tCO ₂ e	tCO ₂ e / FFB
Emission								
Land Conversion	133,285.2	0.86	0	0	0	0	133,285.2	0.86
CO ₂ Emission from fertilizer	3,794.06	0.02	0	0	0	0	3,794.06	0.02
NO ₂ Emmision	9,065.64	0.06	0	0	0	0	9,065.64	0.06
Fuel Consumption	4,593.16	0.03	0	0	0	0	4,593.16	0.03
Peat Oxidation	0	0	0	0	0	0	0	0
Sink								
Crop Sequestration	-12,4497	-0.8	0	0	0	0	-12,4497	-0.80
Conservation Sequestration	0	0	0	0	0	0	0	0
Total	26,241.50	0.17	0	0	2,831.67	0	29,073.17	0.17

*Note: Includes both estates and outgrowers

Summary of Mill Emission and Credit

	tCO ₂ e	tCO ₂ e/tFFB
Emission		
POME	32,634.43	0.19
Fuel Consumption	2,691.28	0.02
Grid Electricity	0	0
Utilisation	0	0
Credit		
Export of Grid Electricity	0	0
Sales of PKS	0	0
Sales of EFB	0	0
Total	35,325.71	0.21

Summary of Kernel Crusher Emission and Credit (if applicable)

Emissions	tCO₂e
PK from own mill	11921.64
PK from other source	0
Fuel Consumptions	0
Total Crusher emissions	0

Palm Oil Mill Effluent (POME) Treatment:	
Divert to Compost (%)	3
Divert to anaerobic diversion (%)	97

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

Appendix L: List of Abbreviations Used

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