

**RSPO PRINCIPLE AND CRITERIA –
3rd ANNUAL SURVEILLANCE ASSESSMENT (ASA3)
Public Summary Report**

WAGS Air Kuning
Client company Address: Upper Penthouse, Wisma RKT, No, 2, Jalan Raja Abdullah Kuala Lumpur, Federal Territory 50300 Kuala Lumpur Malaysia
Certification Unit: Wild Asia Group Scheme – Air Kuning Location of Certification Unit: Air Kuning, Perak, Malaysia

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Section 1: Scope of the Certification Assessment

1. Company Details			
RSPO Membership Number	1-0138-13-000-00	Membership Approval Date	20/03/2013
Parent Company Name	Wild Asia Sdn Bhd (Wild Asia Group Scheme)		
Address	Upper Penthouse, Wisma RKT, No. 2, Jalan Raja Abdullah 50300 Kuala Lumpur		
Subsidiary (Certification Unit Name)	N/A		
Address	N/A		
Contact Name	Sheila Senathirajah		
Website	http://oilpalm.wildasia.org/sma/ll-producers/wags/	E-mail	sheila@wildasia.org
Telephone	+603 6201 2150	Facsimile	+603 6201 2150

2. Certification Information			
Certificate Number	RSPO 660787	Date of First Certification	20/03/2015
		Certificate Start Date	20/03/2015
		Certificate Expiry Date	19/03/2020
Scope of Certification	Production of RSPO Certified FFB		
Applicable Standards	RSPO Management System Requirements and Guidance for Group Certification of FFB Production March 2017.		

3. Other Certifications			
Certificate Number	Standard(s)	Certificate Issued by	Expiry Date
Nil			

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4. Location(s) of Mill & Supply Bases			
Group	Location [Map Reference #]	GPS Coordinates	
		Latitude	Longitude
WAGS Air Kuning (171 existing members + 90 new members)	Air Kuning, Perak, Malaysia	04° 13' 11.5" N	101° 08' 27" E

5. Description of Supply Base					
Group	Total Planted (Mature + Immature) (ha)	HCV (ha)	Infrastructure & Other (ha)	Total Area (ha)	% of Planted
WAGS Air Kuning (171 existing members + 90 new members)	1,008.97	0.05	73.32	1,082.34	97%

6. Plantings & Cycle							
Group	Age (Years)					Mature	Immature
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30		
WAGS Air Kuning (171 existing members + 90 new members)	6.93	27.70	274.00	400.20	300.14	1,002.04	6.93

7. Certified Tonnage of FFB (Own Certified Scope)			
Group	Tonnage / year		
	Estimated (<i>March 2017 – March 2018</i>)	Actual (<i>March 2017 – March 2018</i>)	Forecast (<i>April 2018 – Amrch 2019</i>)
WAGS Air Kuning (171 existing members + 90 new members)	21,626.00	17,422.51	29,930.63

8. Certified Tonnage of FFB (from other certified unit(s)) if applicable *			
Estate	Tonnage / year		
	Estimated (<i>key in period</i>)	Actual (<i>key in period</i>)	Forecast (<i>key in period</i>)
	N/A		N/A

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Total			

9. Non-Certified Tonnage of FFB (outside supplier – excluded from certificate) if applicable			
Independent FFB Supplier	Tonnage / year		
	Estimated (<i>key in period</i>)	Actual (<i>key in period</i>)	Forecast (<i>key in period</i>)
Not applicable			
Total			

10. Certified Tonnage			
Mill Capacity: n/a	Estimated (Previous Year)	Actual (This Year)	Forecast (Next Year)
	FFB	FFB	FFB
	21,626.00 mt	17,422.51 mt	29,930.63 mt
SCC Model: n/a	CPO (OER: %)	CPO (OER: 18.85%)	CPO (OER: 18.85%)
	4,076.00 mt	3,284.14 mt	5,641.92 mt
	PK (KER: %)	PK (KER: 5.41%)	PK (KER: 5.41%)
	1,170.00 mt	942.56 mt	1,619.25 mt

11. Actual Sold Volume (CPO)					
	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSB		
CPO (MT)	N/A			2,538.19	2,538.19
12. Actual Sold Volume (PK)					
	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSB		
PK (MT)	N/A				0

13. Actual Group certification Claims		
	Credit	Physical Volume (MT)
IS-CSPO	2,538.19	-
IS-CSPKO	250	-
IS-CSPKE	0	-

Section 2: Assessment Process

Certification Body:

BSI Services Malaysia Sdn Bhd,
(ASI Accreditation Number: ASI-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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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 (ASI-ACC-19) to conduct RSPO assessment since 31/10/2014 with accredited office located at Kuala Lumpur, Malaysia and an office at Singapore, Jakarta, Bangkok and Australia which involve in RSPO Certification Program.

2.1 Assessment Methodology, Programme, Site Visits

The central office audit for group manager elements and on-site annual surveillance assessment was conducted from 6-9 March and 4 June 2018. 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. 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 Certification requirement for Group Certification (2016) was used to guide the collection of information to assess compliance. The comments made by external stakeholders were also taken into account in the assessment.

As for the smallholders, the sample were determined following the RSPO Management System Requirements and Guidance for Group Certification of FFB Production (2016). The sampling of smallholders were based on the formula $(0.8\sqrt{y}) \times (z)$; where y is total number of independent group member and where z is the multiplier defined by the risk assessment. The sampled smallholder listed in Appendix I. Total of 11 new members and 13 existing members were sampled during this ASA 3 audit.

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 and farm plot. Fieldworkers and farm owners were interviewed informally in small groups in the field. 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 Section 3.5.

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All the previous nonconformities are remains closed. The assessment findings for the annual surveillance assessment are detailed in Section 3.4.

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.

For Annual surveillance assessment, the report was internally reviewed and approved by BSI qualified certification reviewer.

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

Assessment Program					
No. of Smallholders	Year 1 (Certification; by other CB)	Year 2 & 3 (ASA 1 & 2)**		Year 4* (ASA 3)	Year 5* (ASA 4)
CERTIFIED Smallholders	34	34	175	171	261
NEW Smallholders	-	141	-	90	-
Total Certified Smallholders	34	175	175	261	261

Kindly refer to Appendix F for details smallholders list. Total smallholders sampled; existing: 13, new : 11

*Number of smallholder will change yearly depending on the increase and decrease of smallholders.

Tentative Date of Next Visit: March 5, 2019 - March 8, 2019

Total No. of Mandays: 12 mandays

2.2 BSI Assessment Team:

3 Team Member Name	Role	Qualifications <i>(Short description of the team members)</i>
Mohamed Hidhir Zainal Abidin	Team Leader	He holds Bachelor Degree in Chemical Engineering, graduated from National University of Malaysia on 2006. He has 7 years working experience in palm oil industry specifically on palm oil milling for 5 years. He also has the experiences as auditor for several standards including ISO 9001, ISO 140001, OHSAS 18001, MSPO and RSPO in his previous certification body. He completed the ISO 9001 Lead Auditor Course, ISO 14001 Lead Auditor Course and OHSAS 18001 Lead Auditor Course in 2012, Endorsed RSPO P&C Lead Auditor Course in 2013, MSPO Awareness

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		<p>Training in 2014 and Endorsed RSPO SCCS Lead Auditor Course in 2015. He had been involved in RSPO auditing since May 2012 in more than various companies in Malaysia. During this assessment, he assessed on the aspects of legal, mill best practices, safety and health, environmental and workers and stakeholders consultation.</p>
Mohd Hafiz Mat Hussain	Team member	<p>He holds Bachelor Degree in Plantation Technology and Management, graduated from University Technology Mara (UiTM) on 2009. He has 4 years working experience in oil palm plantation industry. He also has the experiences as an auditor for several standards including ISO 9001, ISO 140001, OHSAS 18001, MSPO and RSPO in his previous certification body. He completed the ISO 9001 Lead Auditor Course, ISO 14001 Lead Auditor Course and OHSAS 18001 Lead Auditor Course in 2013, Endorsed RSPO P&C Lead Auditor Course in 2014 and MSPO Awareness Training in 2014. He had been involved in RSPO auditing since May 2013 in more than various companies in Malaysia. During this assessment, he assessed on the aspects of legal, mill best practices, estate best practices, safety and health, environmental and workers and stakeholders consultation</p>
Hafriazhar Mohd Mokhtar	Team member	<p>Hafriazhar Mohd. Mokhtar is a Chemical Engineer by qualification. He has more than five years of direct work experience in the upstream processes of palm oil within the plantation industry. He is a qualified Lead Auditor for CDM, ISO 14001, ISO 50001 and ISO 9001 and has accumulated more than 500 audit days throughout his current career as the auditor for multiple disciplines covering Malaysia, Indonesia and Thailand. He has been trained in the RSPO P&C and SCCS standards and recently completed his RSPO P&C Lead Assessor training and has been involved in RSPO audits within Malaysia, Papua New Guinea and Solomon Islands. During assessment, he covered the mill and estate best practices, legal</p>

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		issues, social issues, workers consultation, stakeholder consultation, environmental and occupational safety & health. He is fluent in Bahasa Malaysia and English languages.
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Accompanying Persons:

No.	Name	Role
1	Nicholas Cheong	Observer

2.3 Assessment Plan

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

PRELIMINARY AGENDA					
Date	Time	Subjects	Mohd Hidhir	Hafri	Hafiz
Monday 5/3/2018	PM	Audit Team travelling to Kampar. Check-in at Grand Kampar Hotel	√	√	√
Tuesday 6/3/2018 WAGS Kuning Office	08.30 – 09.00	Opening Meeting: <ul style="list-style-type: none"> Opening Presentation by Audit team leader. Confirmation of assessment scope and finalize Audit plan (including stakeholder’s consultation). Verification on previous audit findings 	√	√	√
	09.00 – 13.00	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).	√	√	√
	13.00 – 14.00	Lunch	√	√	√
	14.00 – 16.30	Field visit: 3 smallholders (1 for each auditor) Field activities – harvesting, spraying fertilizing, legal land use rights, land conflict, boundary pillars and riparian protection	√	√	√
	16.30 - 17.00	Interim Closing briefing.	√	√	√
Wednesday 7/3/2018 WAGS Kuning Office	08.30 – 10.30	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).	√	√	-
	09.00 – 10.30	Meeting with stakeholders (Government, village rep, smallholders, contractor, FFB traders etc.)	-	√	-

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PRELIMINARY AGENDA						
Date	Time	Subjects	Mohd Hidhir	Hafri	Hafiz	
	10.30 – 13.00	Field visit: 3 smallholders (1 for each auditor) Field activities – harvesting, spraying fertilizing, legal land use rights, land conflict, boundary pillars and riparian protection	√	√	√	
	13.00 – 14.00	Lunch	√	√	√	
	14.00 – 16.30	Field visit: 6 smallholders (2 for each auditor) Field activities – harvesting, spraying fertilizing, legal land use rights, land conflict, boundary pillars and riparian protection	√	√	√	
	16.30-17.00	Interim Closing Briefing	√	√	√	
Thursday 8/3/2018 WAGS Kuning Office	Air	8.30 – 10.00	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).	√	√	√
		10.00 – 13.00	Field visit: 6 smallholders (2 for each auditor) Field activities – harvesting, spraying fertilizing, legal land use rights, land conflict, boundary pillars and riparian protection			
		13.00 – 14.00	Lunch	√	√	√
		14.00 – 16.30	Field visit: 3 smallholders (1 for each auditor) Field activities – harvesting, spraying fertilizing, legal land use rights, land conflict, boundary pillars and riparian protection	√	√	√
		16.30-17.30	Interim closing	√	√	√
Friday 9/3/2018 WAGS Kuning Office	Air	8.30 – 12.30	Continue with unfinished elements from day 3 Field visit: 3 smallholders (1 for each auditor) Field activities – harvesting, spraying fertilizing, legal land use rights, land conflict, boundary pillars and riparian protection 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).	√	√	√
		12.30 – 14.30	Lunch break and Friday prayer	√	√	√
		14.30 – 15.30	Verification on any pending issue	√	√	√
		15.30 – 16.00	Discussion with audit team and report preparation	√	√	√
		16.00 – 17.00	Closing meeting and presentation of finding	√	√	√
Monday 4/6/18		0900 - 1200	Verification on unresolved issues from site audit	√	-	√

PRELIMINARY AGENDA					
Date	Time	Subjects	Mohd Hidhir	Hafri	Hafiz
WAGS HQ	1200 – 1230	Closing meeting and presentation of finding	√	-	√
	1230	End of audit	√	-	√

Section 3: Assessment Findings

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

- Time Bound Plan – Not applicable
- RSPO P&C 2013 Generic Checklist
- RSPO Group Certification Standard 2016 Checklist

3.2 Progress against Time Bound Plan

Not applicable as this is group certification for independent smallholder.

3.3 Progress of scheme smallholders and/or outgrowers (if applicable to this assessment)

Progress of scheme smallholders or outgrowers towards compliance with relevant standards		
Requirement	Remarks	Compliance
Has 100% of scheme smallholders and/or scheme outgrowers comply with the standard within three years of the mill's initial certification?	Not applicable	

3.4 Details of findings

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

During the 3rd annual surveillance assessment there were 2 Major & 2 Minor nonconformities raised. The WAGS Air Kuning Certification unit submitted Corrective Action Plans for the nonconformity. Corrective action plans with respect to the nonconformity was reviewed by the BSI audit team and accepted.

The implementation of the corrective action plans to address the minor nonconformity will be followed up during the next surveillance assessment. The implementation of the Corrective Actions for the Major Nonconformity(ies) has been verified for its effectiveness.

Summary of Total Number of Nonconformity			
Nonconformity			
NCR Ref #	1604267-201803-M8	Clause & Category (Major / Minor)	Indicator 4.1.4 Major
Date Issued	04/06/2018	Due Date	3/8/2018
Closed (Yes / No)	Yes	Date of nonconformity Closure	3/8/2018
Statement of Nonconformity:	<p>Individual member farms identification as a mean to identify FFB origin was not effectively demonstrated. The evidence of the findings demonstrate that there is absence in identifying the FFB origin and there is possibility of contamination of the no certified FFB. Hence this finding is graded as Major.</p>		
Requirement Reference:	<p>The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB). For Group Manager: Group Manager is responsible to identify where all individual member farms are located as a means to identify FFB origin.</p>		
Objective Evidence:	<p>i) There is no system to monitor the origins of FFB from each specific plot for each farmers. FFB production is not traceable to a single farmer plot.</p> <p>ii) The records of FFB from the members were not adequately monitored and total of yield per ha is too high. Further trailed on the FFB records, origin of FFB only traceable per farmer @ ID not per each plot and potentially mixed with uncertified plots or other farmers. Sample of smallholders records checked:</p> <ol style="list-style-type: none"> 1. WAGS 189: Yield for 2017 was 40.21mt/ha for 1.1508Ha 2. WAGS 124: Yield for 2017 was 322mt/ha for 1.2521Ha 3. WAGS 63: Yield for 2017 was 212.68mt/ha for 0.809ha 4. WAGS 1359: Yield for 2017 was 48.10mt/ha for 2.055ha 5. WAGS 1384: Yield for 2017 was 45.425 mt/ha for 2.396Ha 		
Corrections:	<p>The average yields per hectare per year for 2017 for Chai Kon Chin has been corrected based on his actual hectarage of 12.779 hectares and Leong Chong based on his actual hectarage of 11.7743 hectares. Based on the corrected hectarage, the tonnage per hectare per year have also been corrected for Chai Kon Chin and Leong Chong.</p> <p>For year 2018, we have been carefully monitoring on a monthly basis the FFB volume for each member. The above table shows the average 6 months per hectare per year. The average tonnage per hectare per year is now within acceptable industry standards</p>		
Root Cause Analysis:	<p>Some plots were inaccurately updated by the site team as farmers did not declare all plots of farms at the point of membership, they did so thereafter and are we have now registered all their farm plots. These farmers are: Chai Kon Chin (WAGS 63) has two farm plots which total up to 12.779 hectares. Leong Chong (WAGS 124) have 7 plots which total up to 11.7743 hectares.</p> <p>For the remaining three farmers, their hectarage is correct and their FFB</p>		

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	production for the year 2017 is as stated based on the FFB purchase records from the dealer. Details of FFB and their origins are kept by the dealer TJC. This data is extracted by WAGS on a monthly basis for the Group and reported to the mill. The FFB trucks make multiple trips to collect FFB from the different sections of the farm for each plot. Per month, the number of collection trips vary depending on how much FFB to be collected. It does not mean multiple harvesting rounds.
Corrective Actions:	<p>Wild Asia has corrected the data for the affected farmers as of July 2018. Moving forward we will ensure our field teams are more diligent in monitoring and updating data according to our Traceability SOP. We will do this by:</p> <ol style="list-style-type: none"> 1. Having catch ups with the field teams every fortnightly to check members' FFB records are reviewed and updated 2. Checking farmers documentation every month <p>In addition, WAGS have conducted a Traceability briefing with the dealer on the 30th of June to re-emphasize the importance of accurate data reporting. The dealer will send monthly FFB reports to WAGS and will be cross-checked.</p>
Assessment Conclusion:	No onsite verification as the issue is related to documentation and database updating. Data base has been updated and based on the updated FFB production June 2018, actual and corrected yield has been recorded. Thus the major NC is closed effectively on 3/8/18. Continuous implementation will be further verified in the next assessment.

Summary of Total Number of Nonconformity			
Nonconformity			
NCR Ref #	1604267-201803-M9	Clause & Category (Major / Minor)	Indicator 2.1.2 Major
Date Issued	4/6/18	Due Date	3/8/18
Closed (Yes / No)	Yes	Date of nonconformity Closure	3/8/18
Statement of Nonconformity:	<p>System to maintain the following central records and reports was not effectively maintained and not up to date. The records are not consistent which had lead to incorrect information of the certified area. Hence this is graded as Major.</p>		
Requirement Reference:	<p>E2.1.2 The Group Internal Control System shall contain Procedures for maintaining records for all Group members. The Group Manager shall implement a system to maintain the following central records and reports:</p> <ul style="list-style-type: none"> • List of names and full contact details of group members and applicable method of communication. • Location maps. Area of oil palm in hectares. • Land titles/right of use of the land. • A copy of the signed declaration of the grower becoming a member of the group including the date. • Unique member registration numbers are assigned to individual members. • The date that the member signed the declaration of intent as stated in the Group Membership Requirements. • Date of leaving the Group if applicable and the reasons why. 		

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	<ul style="list-style-type: none"> • Projected and actual FFB production in metric tonnes per annum. • Monitoring and training records. • Any corrective actions raised and actions taken to meet the requirements for compliance.
Objective Evidence:	<p>System to maintain the following central records and reports were not accurately monitored related to:</p> <p>1) Area of oil palm in hectares @ total planted area – 685.84 ha for 175 small holder, total for 171 smallholders 665.02 ha. 4 farmers withdrawn from the group (13.0421 ha) but total excluded area is 20.82 ha.</p> <p>2) Discrepancies of hectarage area (legal title ha, plot ha, MPOB license ha and WAGS registered area)</p> <p>i) ID # WAGS 137 Ownership evidence (in replace of Title): Surat Perakuan by Penghulu Mukim Chendering; Total area: 7ha; Tenure: Customary Land; Farm ID # Plot-1689; Area:0.8094ha; Farm ID # Plot-1690; Area:0.8094ha; Farm ID # Plot-1691; Area:4.0469ha; WAGS agreement date: 7/10/2017; WAGS agreement area: 4.0469ha + 4.0469ha + 0.8094ha ; MPOB license # 404792101000; Validity: 28/11/2016 – 30/4/2022; Daerah: Batang Padang; Mukim: Chenderiang; MPOB license area: 3.60ha</p> <p>ii) ID # WAGS 188 Ownership evidence (in replace of Title): Pengesahan Memiliki Kawasan tanah Ladang di Kampung Orang Chenderong Kelubi; Letter by Jabatan Kemajuan Orang Asli (JAKOA); Ref. # JAKOA.PK.PT.B1/1/15(11); Date: 17/5/2016; Total area: 2ha; Tenure:</p> <p>Customary Land; Farm ID # Plot-422; Area:8.0939ha; WAGS agreement date: 29/10/2017; WAGS agreement area: 2ha ; MPOB license # 479733501000; MPOB licensed area: 2ha; Validity: 21/9/2016 – 30/11/2021; Daerah: Perak Tengah; Mukim: Pasir Panjang Ulu; MPOB license area: 2ha</p>
Corrections:	RSPO Registry Template as provided by the auditor will be completed with the most updated data.
Root Cause Analysis:	Wild Asia is in the process of transitioning from monitoring sheets (excel sheets) to a virtual database (Knack) which would allow us to improve on data verification process. We acknowledge the difficulty of collecting data, and are continuously improving the way we record and maintain data. Discrepancies in data will be flagged more effectively.
Corrective Actions:	Database updating is now transitioned to virtual database system @ KNACK to improve database updating system.
Assessment Conclusion:	No onsite verification as the issue is related to documentation and database updating. The latest updated RSPO registry template and KNACK system implementation. All details related to registered members name, producer group, unique number, membership status (certified/MSPO/RSPO), wags farm plot, total planted area, soil type and other relevant information will be recorded. Sample of WAGS ID : 124, 83, 183, 178, 188, 137 and 1376 were verified. Thus the major NC is closed on 3/8/18. Continuous implementation will be further verified in the next assessment.

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Summary of Total Number of Nonconformity			
Nonconformity			
NCR Ref #	1604267-201803-N4	Clause & Category (Major / Minor)	Indicator 6.12.2 Minor
Date Issued	4/6/18	Due Date	Next annual surveillance assessment
Closed (Yes / No)	No	Date of nonconformity Closure	N/A
Statement of Nonconformity:	Relevant records of employment contracts not kept by appropriate small holder.		
Requirement Reference:	Where applicable, it shall be demonstrated that no contract substitution has occurred. For Individual members: Members shall keep relevant records of employment contracts. For Group Manager: N/A		
Objective Evidence:	A small holder whom also the dealer (TJC; WAGS ID # TJC-53-SML; WAGS Agreement date: 4/11/2015) who employed own harvester does not keep relevant records of employment contracts for sampled harvester (Workers ID # AT 120153, # AT 119996 & # A 4319813) where each harvester was paid on piece-rated basis. Only records of employment contracts of daily-rated basis workers i.e. FFB Loading (sampled Workers ID # AR 709341 & # AT 109040) and FFB Ramp (sampled Workers ID # AT 639637 & # AT 117898) available.		
Corrections:	Wild Asia has drafted a contract that includes daily and piece rated for TJC workers. TJC will ensure that all workers have signed this contract by end of the year 2018.		
Root Cause Analysis:	Contracts are being drafted in stages by the dealership. They have a contract for monthly paid workers. TJC is working on a contract for piece-rated workers by 2018.		
Corrective Actions:	Wild Asia will continue to follow up and monitor the conditions of the workers during the next SIA assessment review scheduled for end 2018.		
Assessment Conclusion:	Corrective action plan is accepted. Effectiveness of corrective action taken will be further verified in the next assessment		

Summary of Total Number of Nonconformity			
Nonconformity			
NCR Ref #	1604267-201803-N5	Clause & Category (Major / Minor)	Indicator 4.4.2 Minor
Date Issued	4/6/18	Due Date	Next annual surveillance assessment
Closed (Yes / No)	No	Date of nonconformity Closure	N/A
Statement of Nonconformity:	Protection of water courses and wetlands, appropriate riparian and other buffer zones was not effectively maintained and restored by the members. The evidence is an isolated case based the total samples. The evidence is not		

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	able to determine a systematic failure. Hence this finding is graded as Minor.
Requirement Reference:	<p>i) 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.</p> <p>ii) TSP C 3.2.1: Riparian Protection. Natural waterways – Recognition and marking follow National guideline for riparian buffer</p> <p>Individual smallholder Where applicable individual members shall demonstrate maintaining and restoring riparian and other buffer zones as specified within group SOPs.</p>
Objective Evidence:	Based on the smallholder plot visit; WAGS ID (WAGS-1353) new (plot 1529), fertilizer is applied inside the riparian buffer. Red marking of the palm trunk was inside the riparian buffer and the said smallholder unable to explain the purpose of red marking.
Corrections:	<p>C 3.2.1 Riparian Protection SOP clearly details out the allocation of a buffer zone for farms bordering natural waterways.</p> <p>Wild Asia will conduct the T05 and the new and improved ACA01 Chemical Module training to the farmer to ensure awareness and understanding of riparian zones and safe chemical handling and he will be monitored to ensure no other chemicals are applied within the riparian zone.</p>
Root Cause Analysis:	T05 is the environmental training has been conducted to some members, however the member Chow Kar Chui has not yet attended this training. A verbal warning had been issued on 27/2/2018 to this farmer to indicate no spraying of chemicals or application of fertiliser in this buffer zone during a field check by the Wild Asia team but the warning was not heeded.
Corrective Actions:	ACA01 Chemical Module and T05 environmental training will be conducted in the third quarter of 2018. An annual training plan will be developed to ensure that training reach all members by a set time frame.
Assessment Conclusion:	Corrective action plan is accepted. Effectiveness of corrective action taken will be further verified in the next assessment

Opportunity for Improvements	
OFI #	Description
OFI 1	NIL

Positive Findings	
PF #	Description
PF 1	Nil

3.4.1 Status of Nonconformities Previously Identified and Observations

Non-Conformity			
NCR Ref #	1379970M1	Clause & Category (Major / Minor)	Indicator 4.2.2 Major
Closed (Yes / No)	Yes	Date of nonconformity Closure	10/12/2016
Statement of Nonconformity:	Records of fertilizer inputs maintained by individual members and group manager were not updated.		
Requirement Reference:	<p>Records of fertilizer inputs shall be maintained.</p> <p>For Individual farmers: Responsibility of individual members to maintain fertilizer records.</p> <p>For Group Manager: Group Manager to provide template to record fertilizer usage and mill by-products usage.</p>		
Objective Evidence:	<p>The members kept the records of fertilizer applied using log book and it will be summaries by WAGS management for each individual members. However, some of the members was not kept the fertilizer records. Individual Members: The records were not kept by the farmers: 1. Per-Pot-116 2. Per-Pot-052</p> <p>Group Manager: The records for each individual farmers were kept using Monitoring sheet 7: PG Fert_PG TJC were not update: 1. Per-Pot-089 2. Per-Pot-054 3. Per-Pot-052</p> <p>The minor NC 01 from previous audit has been escalated to major NC.</p>		
Corrective Actions:	<p>i. A halfday training session conducted on Dec 4, 2016. training session will included field session (BMP in Mr. Chong Farm). Classrom training was inclusive of (Documentation, Social and Environmental) Conducted on 4th Dec,2016 (minutes meeting)</p> <p>ii. Update and close the gaps on fertiliser records for all group members. Monitoring sheet no.7 updated with gap information. This covers producer group fertilizer record updated.</p>		
Assessment Conclusion:	<p>ASA 3 verification: All the fertilizer used by the members were updated using Monitoring sheet no. 7. Thus, the major NC is remain closed</p>		

Non-Conformity			
NCR Ref #	1379970M2	Clause & Category (Major / Minor)	Indictor 4.6.11 Major
Closed (Yes / No)	Yes	Date of nonconformity Closure	N/A
Statement of Nonconformity:	No monitoring for occurrence of illnesses and health conditions of members and their workers that are handling agrochemicals, to identify needs for medical check-up by group manager.		

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Requirement Reference:	Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated. For Group Manager: Group Managers to monitor occurrence of illnesses and health conditions of members and their workers that are handling agrochemicals, to identify needs for medical check-up.
Objective Evidence:	Some of the farmers were appointed the villagers or family members as their workers for spraying activities. However no monitoring of occurrence of illnesses and health condition was done by group manager. 1. Per-Pot-018 2. Per-Pot-089 3. Per-Pot-116 4. Per-Pot-016 5. Per-Pot-054 6. Per-Pot-014
Corrective Actions:	i. Findings reviewed and communicated with farmers on training session held on 4th, Dec 2016 (minutes meeting). ii. WAGS Air Kuning Site Office has established an Illness and Heath Record which is currently placed in the office. This covers the main record of farmers health derived from farmers logbook.
Assessment Conclusion:	ASA3 verification: Plan to conduct the baseline for medical check-up for the members that using paraquat for spraying activity is developed. Thus, the major NC is remained closed.

Non-Conformity			
NCR Ref #	1379970M3	Clause & Category (Major / Minor)	Indicator 4.7.3 Major
Closed (Yes / No)	Yes	Date of nonconformity Closure	N/A
Statement of Nonconformity:	Provision of adequate PPE and medical check-ups for high risk workers is lacking and relevant chemicals description did not brought to field.		
Requirement Reference:	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.		
Objective Evidence:	Through an interview with the smallholders (i.e. TJC-86-SML, AKN-POT- 0051, AKN-POT-0038), the workers were wearing the appropriate PPE while working. However, the PPE used for the activity that is involved with the hazardous chemical was not adequate and relevant chemicals description did not brought to field. The minor 03 from previous audit has been escalated to Major NC.		
Corrective Actions:	i. Improve information gathering from farmers on types of pesticides currently used. Monitoring sheet no.6 updated with gap information. This covers producer group fertilizer record updated ii. Conducted on 4th, Dec 2016 (minutes meeting) Training session on PPE and chemical impact related training (social training). Key aim is to improve awareness of farmers on types of chemicals used-hazards levels, potential alternatives and if used what safety precautions should be taken. Provide		

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	<p>inputs to farmers on correct use of PPE and where and how it can be obtained. Including basic type of medical "supervision" required.</p> <p>iii. Internal audit planned in June 2017 will ensure all farmers complying to the safe working practices.</p>
Assessment Conclusion:	<p>ASA3 verification: Description of chemicals and safe work practice were implemented effectively. Thus, the major NC is remained closed.</p>

Non-Conformity			
NCR Ref #	1379970M4	Clause & Category (Major / Minor)	Indicator 6.1.3 Major
Closed (Yes / No)	Yes	Date of nonconformity Closure	10/12/2016
Statement of Nonconformity:	Training for the members on the plan of mitigate negative impacts was not available.		
Requirement Reference:	<p>Plans for avoidance or mitigation of negative impacts and promotion of the positive ones, and monitoring of impacts identified, shall be developed in consultation with the affected parties, documented and timetabled, including responsibilities for implementation.</p> <p>For Individual members: Individual members shall demonstrate an understanding of the mitigation plan to reduce the social impacts</p> <p>For Group Manager: Group Managers shall develop a mitigation plan (with clear timetable) to reduce social risks and review the plan every two years in consultation with the affected</p>		
Objective Evidence:	<p>The members do not aware and understand of the mitigation plan that developed by Wild Asia to reduce the social impacts as no training was given by Wild Asia.</p> <p>SEIA and HCV of the WAGS Air Kuning conducted on 9 December 2015 has identified all the gaps or potential risk. However, no detail mitigation plan has been develop accordingly</p>		
Corrective Actions:	<p>Conducted on 4th, Dec 2016 (minutes meeting). The training covered Social training and SEIA finding which completed on 9th Dec 2015:</p> <ul style="list-style-type: none"> i. WAGS has provide an overview of the social baseline and profiles of the producer groups. ii. Priority areas are made clear, specific management actions to be taken will be outlined and discussed with farmers iii. Based on this, specific means to demonstrate progress are identified and detailed out in the WAGS Group Management Plan (Social Impacts Improvement Section) 		
Assessment Conclusion:	<p>ASA3 verification: Verification on-site confirmed that training has been provided to farmers based on interview with sampled farmers and records i.e. T07 Social Training. Another social training was provided to other batch of farmers on 12/3/2017. Feedbacks from farmers on social training were included in the updated (4/12/2016) social management plan. This confirms no recurrence of issue hence the nonconformity is remained closed.</p>		

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Non-Conformity			
NCR Ref #	1379970M5	Clause & Category (Major / Minor)	Indicator 6.9.2 Major
Closed (Yes / No)	Yes	Date of nonconformity Closure	10/12/2016
Statement of Nonconformity:	Training for the members on the plan of mitigate negative impacts was not available.		
Requirement Reference:	<p>Training on the reproductive rights was not available.</p> <p>For Individual member: Members shall make sure that all staff/workers are aware of the policies and procedures to prevent sexual, and all other forms of harassment and violence as well as of the policy of the protection of reproductive rights.</p> <p>For Group manager: The Group Manager shall make sure that all members are aware of the policies and procedures to prevent sexual, and all other forms of harassment, violence and protection of reproductive rights</p>		
Objective Evidence:	<p>Most of the farmers are managed their land independently. Therefore, the policy does not directly applicable to them. However, Wild Asia did not provide training on reproductive rights to the members.</p> <p>The latest of the social training conducted to the members on 22 September 2015. However, the training material did not incorporated the protection of reproductive rights.</p> <p>The minor NC 08 from previous audit has been escalated to major NC.</p>		
Corrective Actions:	<p>Training material improved and updated with elements of reproductive rights (i.e: how to treat pregnant and nursing women, Impact of chemical usage to the foetus, etc). Training conducted on 4th, Dec 2016 (minutes meeting)</p>		
Assessment Conclusion:	<p>ASA3 verification: Verification on-site confirmed that training has been provided to farmers based on interview with sampled farmers and records i.e. T07 Social Training. Another social training was provided to other batch of farmers on 12/3/2017. Feedbacks from farmers on social training were included in the updated (4/12/2016) social management plan. This confirms no recurrence of issue hence the nonconformity remained closed.</p>		

Non-Conformity			
NCR Ref #	1379970M6	Clause & Category (Major / Minor)	Indicator 5.5.2 Major
Closed (Yes / No)	Yes	Date of nonconformity Closure	N/A
Statement of Nonconformity:	There is no approval or assessment by Group manager when individual member use of fire.		
Requirement Reference:	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.		

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	<p>For Individual members: Individual members shall provide proposals for use of fire to the Group Manager for assessment and approval prior to burning.</p> <p>For Group Manager: -Demonstrate that any use of fire by any individual member has been assessed to be justified under the ASEAN guidelines ASEAN Policy on Zero Burning' 2003. -Provide written approval from the relevant environment authority on the use of fire in certain situations as prescribed by the ASEAN guidelines.</p>
Objective Evidence:	<p>Visited one of the farmer plot (AKN-POT-0137) found burning evidence of palm and fronds. Interviewed the smallholder and confirmed that the burning due to the infertile palm.</p> <p>No proposal or approval has been submitted to Group Manager for using fire to burn a as well as no mechanism to enable smallholder for using fire.</p>
Corrective Actions:	<ul style="list-style-type: none"> i. Internal review conducted in last week Nov. The highlighted farmer was issued a Corrective Action request to attend a re-training and to abstain from further use of fire. ii. A briefing was also given to said farmer. Farmer will be under review for next 6 months. iii. Participatory discussion conducted on 4th, Dec 2016 (minutes meeting) iv. A system in place for the small holder to request permission or proposals to the Group Manager to burn.
Assessment Conclusion:	<p>ASA3 verification: No recurrence of issues found during site visit. Thus, the major NC is remained closed.</p>

Non-Conformity			
NCR Ref #	1379970N1	Clause & Category (Major / Minor)	Indicator 4.2.3 Minor
Closed (Yes / No)	Yes	Date of nonconformity Closure	3/6/18
Statement of Nonconformity:	There is no periodic tissue sampling was conducted.		
Requirement Reference:	<p>There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status.</p> <p>Group Manager: Group Manager conducts periodic tissue and soil sampling at minimum for a representative sample of group membership.</p>		
Objective Evidence:	The WAGS management has established a plan to conduct soil sampling on Sept-Oct 2016. Noted that, the soil sampling is in progress. However for the periodic tissue sampling is yet to be conducted.		
Corrective Actions:	Periodic Tissues Sampling will be conducted in Q2 2017.		
Assessment Conclusion:	<p>ASA3 verification: The soil and tissue sampling was carried out on by end of Q4 2018. For the time being, other method of soil/tissue sampling is used and presented during living soil workshop on 29/4/18. Thus, the minor NC is closed on 3/6/18</p>		

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Non-Conformity			
NCR Ref #	1379970N2	Clause & Category (Major / Minor)	Indicator 4.6.2 Minor
Closed (Yes / No)	Yes	Date of nonconformity Closure	3/6/18
Statement of Nonconformity:	Records of pesticides use maintained by individual members and group manager were not updated.		
Requirement Reference:	<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>For Individual members: Individual members keep records of pesticides use.</p> <p>For Group Manager: Group Manager has oversight responsibility</p>		
Objective Evidence:	<p>The receipt of the chemical was keep by the farmers however some of the farmers was not keep it: 1. Per-Pot-116 2. Per-Pot-052</p> <p>The records for each individual farmer were kept at HQ office using monitoring sheet 6: PG Chem_PG TJC. It include the product name, total litre used, total area applied, total trees applied, however the records were not update by the group manager: 1. Per-Pot-018 2. Per-Pot-089 3. Per-Pot-116 4. Per-Pot-016 5. Per-Pot-054 6. Per-Pot-014 7. Per-Pot-052</p> <p>The amount of active ingredients applied per ha was not included in the monitoring for all the farmers.</p>		
Corrective Actions:	<ul style="list-style-type: none"> i. Update existing chemical record in PG Chem_PG TJC until Dec 2016 ii. Analyze existing chemical usage (A.I content, Usage per ha, etc) iii. Targetting direct farmers under Mr. Lai (contractor) management iv. Handed farmers individual folders to our existing farmers for them to start updating their chemical and fertilizer record 		
Assessment Conclusion:	ASA3 verification: Figure reported for active ingredients summary per Ha were updated. Thus the minor NC is closed on 3/6/18		

Non-Conformity			
NCR Ref #	1379970N3	Clause & Category (Major / Minor)	Indicator 4.7.5 Minor
Closed (Yes / No)	Yes	Date of nonconformity Closure	09/03/2018
Statement of	First aid kit is not available at the work site when there is operation going on in the field.		

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Nonconformity:	
Requirement Reference:	<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.</p> <p>For Individual member: Members shall report accidents on the farm to the Group Manager.</p> <p>Each member ensures that there is a first aid kit available at the work site when there is operation going on in the field.</p> <p>For Group Manager: Group Managers shall develop OHS / First Aid manual and distribute to all individual members</p> <p>Group Manager shall hold regular training based on Group OHS / First Aid manual for members and/or workers.</p> <p>Group Manager shall record members' accidents on the farm.</p>
Objective Evidence:	<p>Through interview, the members were told the assessor that the first aid kit was not available during the working activities:</p> <ol style="list-style-type: none"> 1. Per-Pot-018 2. Per-Pot-089 3. Per-Pot-116 4. Per-Pot-052
Corrective Actions:	<ol style="list-style-type: none"> i. Ensure all Group Members have their own first aid kits ii. Invite Jab Kesihatan to provide first aid training
Assessment Conclusion:	<p>ASA3 verification: All the farmers were provided with the first aid kit at farm. The OHS training - T04: Safety and Health conducted to all the members. The module was described on the first aid boxes. The training was conducted recently to all the workers on 10/02/2018. The corrective action was found to be effective, thus the previous minor was closed on 9/3/18.</p>

Non-Conformity			
NCR Ref #	1379970N4	Clause & Category (Major / Minor)	Indicator 6.1.1 Minor
Closed (Yes / No)	Yes	Date of nonconformity Closure	09/03/2018
Statement of Nonconformity:	Training on the social risks and impacts to the members was insufficient.		
Requirement Reference:	<p>A social impact assessment (SIA) including records of meetings shall be documented.</p> <p>For Individual member: Individual members shall demonstrate an understanding of the social risks of their operations.</p> <p>For Group manager: Group Managers shall identify all activities that have social impacts with the</p>		

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	participation of affected parties.
Objective Evidence:	<p>The members were unable to demonstrate what the risks of their operations to the social are. Through interview with the selected smallholders (Chia Liang Hwa, Lim Ching Seng and Tan a/p Uda) found that they were lacking of knowledge and understanding of the risks. The induction training given to the members was insufficient.</p> <p>The social impacts with the participation of internal and external stakeholders such as management, farmers and workers. None of the government bodies such as DOSH and DOE involve in the stakeholders meetings.</p>
Corrective Actions:	<p>i. Update social training material and relate it back to main farm operation risk (eg. Harvesting have high risk due to the main use to sharp tool etc</p> <p>ii. Deliver the update version of Social Training to all farmers and handed them a printed guideline for their reference</p>
Assessment Conclusion:	<p>ASA3 verification: Verification on-site confirmed that training has been provided to farmers based on interview with sampled farmers and records i.e. T07 Social Training. Another social training was provided to other batch of farmers on 12/3/2017. Feedbacks from farmers on social training were included in the updated (4/12/2016) social management plan. This confirms the evidence of effectiveness of CAP hence the nonconformity closed on 9/3/2018.</p>

Non-Conformity			
NCR Ref #	1379970N5	Clause & Category (Major / Minor)	Indicator 6.1.4 Minor
Closed (Yes / No)	Yes	Date of nonconformity Closure	09/03/2018
Statement of Nonconformity:	Evidence of members to address negative social impacts in a consultative manner is not available.		
Requirement Reference:	<p>The plans shall be reviewed as a minimum once every two years and updated as necessary, in those cases where the review has concluded that changes should be made to current practices. There shall be evidence that the review includes the participation of affected parties.</p> <p>For Individual member: Where applicable, individual members shall help to address negative social impacts in a consultative manner.</p> <p>For Group manager: Group Managers shall monitor implementation of mitigation plan.</p>		
Objective Evidence:	<p>The sampled members</p> <ul style="list-style-type: none"> a. Bahari bin Pandak b. Kiew Yau Jo <p>do not aware and understand of the mitigation plan that developed by Wild Asia to reduce the social impacts as no training was given by Wild Asia.</p> <p>No monitoring of implementation of mitigation plan as it not established yet.</p>		
Corrective Actions:	Update on reproductive right in social training material to ensure this issues is being highlighted in the group.		
Assessment	ASA3 verification:		

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Conclusion:	Verification on-site confirmed that training has been provided to farmers based on interview with sampled farmers and records i.e. T07 Social Training. Another social training was provided to other batch of farmers on 12/3/2017. Feedbacks from farmers on social training were included in the updated (4/12/2016) social management plan. This confirms the evidence of effectiveness of CAP hence the nonconformity closed on 9/3/2018.
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Non-Conformity			
NCR Ref #	1379970N6	Clause & Category (Major / Minor)	Indicator 6.9.3 Minor
Closed (Yes / No)	Yes	Date of nonconformity Closure	09/03/2018
Statement of Nonconformity:	Protection of reproductive rights is not available in the training material.		
Requirement Reference:	<p>A specific grievance mechanism which respects anonymity and protects complainants where requested shall be established, implemented, and communicated to all levels of the workforce.</p> <p>For Individual member: Members shall be aware of the policy/policies and procedures for handling sexual and all other forms of harassment, violence and the protection of reproductive rights, in the language which the workers can understand</p> <p>For Group manager: The Group Manager shall ensure members are aware of the policy/polices and procedure for handling sexual and all other forms of harassment, violence and the protection of reproductive rights, in the language which the workers can understand</p>		
Objective Evidence:	The latest of the social training conducted to the members on 22 September 2015. However, the training material did not incorporated the policy/polices and procedure for handling protection of reproductive rights.		
Corrective Actions:	Training material improved and updated with elements of reproductive rights (i.e: how to treat pregnant and nursing women, Impact of chemical usage to the foetus, etc). Training conducted on 4th, Dec 2016 (minutes meeting)		
Assessment Conclusion:	ASA3 verification: Verification on-site confirmed that training has been provided to farmers based on interview with sampled farmers and records i.e. T07 Social Training. Another social training was provided to other batch of farmers on 12/3/2017. Feedbacks from farmers on social training were included in the updated (4/12/2016) social management plan. This confirms the evidence of effectiveness of CAP hence the nonconformity closed on 9/3/2018.		

Non-Conformity			
NCR Ref #	1379970N7	Clause & Category (Major / Minor)	Indicator 6.10.2 Minor
Closed (Yes / No)	Yes	Date of nonconformity Closure	09/03/2018
Statement of Nonconformity:	Records of general pricing mechanism used by the purchasers of FFB is not available.		
Requirement	Evidence shall be available that growers/millers have explained FFB pricing, and		

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Reference:	pricing mechanisms for FFB and inputs/services shall be documented (where these are under the control of the mill or plantation)
Objective Evidence:	The group manager did not record the general pricing mechanism used by the purchaser/s of the FFB.
Corrective Actions:	Request TJC pricing mechanism and keep it in DB i. TJC pricing mechanism shall be kept by Wild Asia hardcopy and softcopy ii. Communicate to TJC supplier how the pricing mechanism is being made
Assessment Conclusion:	ASA3 verification: Verification on site confirmed that communication on FFB pricing mechanism to farmers has been conducted through T09 – Typical FFB Pricing & Grading training based on interview with farmers and training records conducted on 6/2/2018. This confirmed the evidence of effectiveness of CAP hence the nonconformity closed on 9/3/2018.

Non-Conformity			
NCR Ref #	1379970N8	Clause & Category (Major / Minor)	Indicator 8.1.1 Minor
Closed (Yes / No)	Yes	Date of nonconformity Closure	09/03/2018
Statement of Nonconformity:	Documented evidence of report for the continual improvement plan was not available.		
Requirement Reference:	<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); • Optimising the yield of the supply base. <p>For individual member:</p> <ul style="list-style-type: none"> • Members shall provide inputs to the Group Action Plan for continual improvement. • Members shall keep individual records of pesticide use, fertiliser application, FFB production etc. according to a standard template provided by the Group Manager. • Discuss with the Group Manager the timing of the replanting programme. <p>For Group manager:</p> <ul style="list-style-type: none"> • Group Managers shall record information on environmental impacts, waste reduction, pollution & GHG and social impacts. • Group Managers shall periodically (e.g. quarterly) collate the records of individual members. • Group Managers shall facilitate the development of the Group Action Plan through an annual group meeting. • Group Managers shall be responsible for the continuous improvement in key 		

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	operations.
Objective Evidence:	SAM & BMP Mapping was conducted with the participation of members which contributed inputs for continual improvement on 24/9/2016 at Kampung Chenderong Kelubi, 29/9/2016 at TJC office and 2/10/2016 at Air Kuning. Survey forms of the mapping was noted. However, no documented evidence of report is sighted. The observation from previous audit has been escalated to minor NC.
Corrective Actions:	Report still being compiled at time of audit therefore not ready to be communicated to the Group Members. SAMS to share findings from analysis.
Assessment Conclusion:	ASA3 verification: Finding analysis of SAM and BMP mapping was presented during Project Coordinator Meeting for 1st quarter of 2018 on 8-15/1/18. The mapping process will continue until Q4 of 2018 for the new farmers using 4 point QPS mark, I-plan and transporter method. Thus, the previous minor NC was closed on 9/3/18.

Non-Conformity			
NCR Ref #	1379970N9	Clause & Category (Major / Minor)	Indicator 1.3.1 Minor
Closed (Yes / No)	Yes	Date of nonconformity Closure	09/03/2018
Statement of Nonconformity:	Evidence for individual members shall show that they have accepted and agreed the group's policy on ethical conduct is lacking.		
Requirement Reference:	<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>For Individual farmers: Individual members shall show that they have accepted and agreed the group's policy on ethical conduct</p> <p>For Group manager: The Group Manager shall develop a written policy committing the Group to a code of ethical conduct and integrity in all operations and transactions.</p>		
Objective Evidence:	There is no evidence that individual members have accepted and agreed on the WAGS Group Policy which established 21 September 2016.		
Corrective Actions:	WAGS will provide information to each individual members about the group policy		
Assessment Conclusion:	ASA3 verification: Verification on site confirmed that communication on ethical conduct policy to farmers has been conducted through T02 Guidance for Farm Management of SPO (Compulsory Training) based on interview with farmers and training records, latest conducted on 6/2/2018. This confirmed the evidence of effectiveness of CAP hence the nonconformity closed on 9/3/2018.		

Non-Conformity			
NCR Ref #	1379970N10	Clause & Category (Major / Minor)	Indicator 5.1.3 Minor
Closed (Yes / No)	Yes	Date of nonconformity Closure	09/03/2018
Statement of	Monitoring for the implementation of mitigation plan is lacking.		

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Nonconformity:	
Requirement Reference:	<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>For Group manager: Group Managers shall organise training for members on environmental risks and mitigation measures. Group Managers shall monitor implementation of mitigation plan.</p>
Objective Evidence:	A mechanism for measuring and monitoring the mitigation action is not available.
Corrective Actions:	<ul style="list-style-type: none"> a. Construct a mechanism to monitor the mitigation plan. b. WAGS training on HCV and RTE Species <ul style="list-style-type: none"> i. To include HCV and RTE species as a topic into the WAGS training programme ii. To provide information to farmers on this topic and gather feedback from farmers. iii. Any specific action points derived from this discussion (if any) will then be captured in the Group management Plan.
Assessment Conclusion:	<p>ASA3 verification: Mechanism to monitor is based on quarterly field visit by project team based on the EIA action plan. On top of that, status and performance review was carried from 8-15/1/18 during Project Coordinator Meeting. Thus, the previous minor NC is effectively closed on 9/3/18 Thus, the minor raised during previous audit was closed on 9/3/18.</p>

Non-Conformity			
NCR Ref #	1379970N11	Clause & Category (Major / Minor)	Indicator 5.2.3 Minor
Closed (Yes / No)	Yes	Date of nonconformity Closure	09/03/2018
Statement of Nonconformity:	No training has been conducted for their individual members and their workers about the status of HCV and RTE species and the applicable disciplinary measures.		
Requirement Reference:	<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.</p> <p>For Individual member: Individual members shall make their workers aware of the status of RTE species and the applicable disciplinary measures.</p> <p>For Group manager: Group Manager conducts training for their individual members and their workers about the status of HCV and RTE species and the applicable disciplinary measures.</p>		
Objective Evidence:	Training about the status of HCV and RTE species and the applicable disciplinary measures to the individual members is lacking.		
Corrective Actions:	To implement the Group Management Plan in Q1 2017.		

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Assessment Conclusion:	<p>ASA3 verification: Training module : T02 – Guidance for Farm Management of SPO has incorporated the HCV and RTE part. The training is targeted to the new farmer who keen to join the group. Refer to the new farmers training records for Char Kar Chui on 7/10/17 and Tujah Jaya on 13/10/17. Thus, the previous minor NC is effectively closed on 9/3/18.</p>
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Non-Conformity			
NCR Ref #	1379970N12	Clause & Category (Major / Minor)	RSPO 5.4.1 Minor
Closed (Yes / No)	Yes	Date of nonconformity Closure	09/03/2018
Statement of Nonconformity:	Plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy is not available.		
Requirement Reference:	<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>For Individual members: Appropriate to scale, Group Manager shall have a plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.</p> <p>For Group manager: Appropriate to scale, Group Manager shall have a plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.</p>		
Objective Evidence:	<p>Smallholders did not monitor the usage of fossil fuel which mainly for the transporation of the FFB. Under the group management plan which dated 14 Sep 2016, following plan to mitigate polluting activities, i.e: a. Conduct periodic mapping with meetings/participatory mapping with each site to understand sources of GHG emmisions & fossil fuel use b. Update register of all polluting activities and GHG emission sources at site</p> <p>However, the plan is not implemented</p>		
Corrective Actions:	To implement the Group Management Plan in Q1 2017.		
Assessment Conclusion:	<p>ASA3 verification: Under the group management plan which dated July 2017, following plan to mitigate polluting activities: a. Conduct periodic mapping with meetings/participatory mapping with each site to understand sources of GHG emissions & fossil fuel use b. Update register of all polluting activities and GHG emission sources at site</p> <p>Thus, the minor raised during previous audit was closed on 9/3/18.</p>		

Non-Conformity			
NCR Ref #	1379970N13	Clause & Category (Major / Minor)	RSPO 5.6.3 Minor
Closed (Yes / No)	Yes	Date of nonconformity Closure	09/03/2018

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Statement of Nonconformity:	Mitigation measures for significant pollutants and identify sources of emissions is lacking.
Requirement Reference:	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. For Group Manager: Where possible, mitigation measures for significant pollutants and identify sources of emissions shall be developed and implemented. Socialize the information to the group members.
Objective Evidence:	Mitigation measures for significant pollutants and identify sources of emissions is not available.
Corrective Actions:	To be developed upon implementation of GHG monitoring as per Group Management Plan.
Assessment Conclusion:	ASA3 verification: Under the group management plan which dated July 2017, plan to mitigate polluting activities was developed. The mitigation measures for significant pollutants and to identify sources of emissions is available in the WAGS Perak 2018 Work Plan verified. Thus the previous minor NC was closed effectively on 9/3/18

Opportunity for Improvements/Observation	
OBS#	Description
OBS 1	Indicator 6.1.2 The social impacts with the participation of internal and external stakeholders such as management, farmers and workers was sighted. However, the assessment did not include government authorities such as DOE, DOSH and etc. ASA 3 verification : Stakeholder engagement and participation was sighted during annual stakeholder meeting. Relevant stakeholders were invited for the meeting related issues were documented under SIA management plan.

3.4.2 Summary of the Nonconformities and Status

CAR Ref.	CATEGORY (MAJOR/ MINOR)	ISSUED	STATUS & DATE (Closure)
Previous CB			
Minor 01 (previous CB)-4.2	Minor	20 Oct 2014	Escalated to Major. Refet to 1379970M1
Minor 02 (previous CB)-4.6	Minor	20 Oct 2014	Closed
Minor 03 (previous CB)-4.7	Minor	20 Oct 2014	Escalated to Major. Refer to 1379970M3
Minor 04 (previous CB)-5.3	Minor	20 Oct 2014	Closed
Minor 05 (previous CB)-6.1	Minor	20 Oct 2014	Closed
Minor 06 (previous CB)-6.7	Minor	20 Oct 2014	Closed

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Minor 07 (previous CB)-6.8	Minor	20 Oct 2014	Closed
Minor 08 (previous CB)-6.9	Minor	20 Oct 2014	Escalated to Major. Refer to 1379970M5
Observation 01- 4.5	Observation	20 Oct 2014	Closed
Observation 02- 5.2	Observation	20 Oct 2014	Closed
Observation 03- 8.1	Observation	20 Oct 2014	Escalated to Minor. Refer to 1379970N8
1379970M1- 4.2.2	Major	14 Oct 2016	Closed on 10 December 2016
1379970M2- 4.6.11	Major	14 Oct 2016	Closed on 10 December 2016
1379970M3- 4.7.3	Major	14 Oct 2016	Closed on 10 December 2016
1379970M4- 6.1.3	Major	14 Oct 2016	Closed on 10 December 2016
1379970M5- 6.9.2	Major	14 Oct 2016	Closed on 10 December 2016
1379970M6- 5.5.2	Major	14 Oct 2016	Closed on 10 December 2016
1379970N1- 4.2.3	Minor	14 Oct 2016	Closed on 3/6/18
1379970N2- 4.6.2	Minor	14 Oct 2016	Closed on 3/6/18
1379970N3- 4.7.5	Minor	14 Oct 2016	Closed out on 09/03/2018
1379970N4- 6.1.1	Minor	14 Oct 2016	Closed out on 09/03/2018
1379970N5- 6.1.4	Minor	14 Oct 2016	Closed out on 09/03/2018
1379970N6- 6.9.3	Minor	14 Oct 2016	Closed out on 09/03/2018
1379970N7- 6.10.2	Minor	14 Oct 2016	Closed out on 09/03/2018
1379970N8- 8.1.1	Minor	14 Oct 2016	Closed out on 09/03/2018
1379970N9- 1.3.1	Minor	14 Oct 2016	Closed out on 09/03/2018
1379970N10- 5.1.3	Minor	14 Oct 2016	Closed out on 09/03/2018
1379970N11- 5.2.3	Minor	14 Oct 2016	Closed out on 09/03/2018
1379970N12- 5.4.1	Minor	14 Oct 2016	Closed out on 09/03/2018
1379970N13- 5.6.3	Minor	14 Oct 2016	Closed out on 09/03/2018
OBS- 6.1.2	OBS	14 Oct 2016	Addressed.
1604267-201803-M8 – 4.1.4	Major	4/6/18	Closed out on 3/8/18
1604267-201803-M9 – 2.1.2	Major	4/6/18	Closed out on 3/8/18
1604267-201803-N4 – 6.12.2	Minor	4/6/18	“Open”
1604267-201803-N5 – 4.4.2	Minor	4/6/18	“Open”

3.5. Stakeholders Consultation

Stakeholder consultation involved internal and external stakeholders. External stakeholders were contacted by telephone to arrange meetings at a location convenient to them to discuss Wild Asia Group Smallholder – Air Kuning 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

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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. Any comment which is not complying to the RSPO P&C requirements have been incorporated as an assessment finding.



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 below.

List of Stakeholders Contacted	
Internal Stakeholders Workers from TJC (dealers) Smallholders (refer Appendix F for audited smallholders) Field assistant	Union/Contractors/Local Communities Seasonal/Temporary Workers. Family members Village head, Kg Sg Kroh FFB Transport contractor
Government Departments Nil	NGO Nil

IS #	Description
1	<p>Issues: Village head , Kg Sungai Kroh – No issue highlighted by the village head. WAGS has continue to engage with neighboring stakeholders and promoting potential smallholder to join RSPO</p> <p>Management Responses: Will continue to engage stakeholder from time to time.</p> <p>Audit Team Findings: No further issues</p>
2	<p>Issues: TJC – No issue highlighted. Will continue to assist whenever necessary</p> <p>Management Responses: Will continue to support TJC</p> <p>Audit Team Findings: No further issues</p>
3	<p>Issues: Smallholder – Generally most of the smallholder interviewed aware on the smallholder’s handbook on the RSPO requirement and group management policies. Some feedbacks received with regards to field best</p>

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	practices and OSH related matters to the WASG management for improvement.
	Management Responses: WAGS will continue to brief and assist all registered members based on the work plan and group management plan for maintaining sustainable operation.
	Audit Team Findings: To verify effective implementation in the next audit

Formal Signing-off of Assessment Conclusion and Recommendation	
<p>The audit objectives have been achieved and the certificate scope remains appropriate. Based on the results of this audit, it is concluded that WAGS Air Kuning Certification Unit has complied with the RSPO Group Certification Standard 2016 for Independent Smallholder and audit criteria identified within the audit report. It is deemed that the management system continues to achieve its intended outcomes. Therefore, it is recommended that the certification of WAGS Air Kuning Certification Unit is continued.</p>	
Report prepared by	Acceptance of Assessment Conclusion
Name: Mohamed Hidhir Zainal Abidin	Name: Ms Sheila Senathirajah
Company Name: BSI Services Malaysia Sdn Bhd	Company Name: Wild Asia Sdn Bhd
Title: Lead auditor	Title: Group Scheme Manager
Signature: 	<p>Signature: <i>(I the undersigned, being the most senior relevant management representative of the operation seeking or holding certification, agree with the contents of this report and accept the liability in execution of the procedure in the report.)</i></p> 
Date: 16/8/18	Date: 18/8/2018

Appendix A: Summary of Findings

Section A-1- Group Managers

Criterion / Indicator	Assessment Findings	Compliance	
<p>Element 1 (E1): Group Entity and Group Management requirements Rationale: In order to be able to have commercial relationships in the transactions of FFB certificates the group entity carries a liability, which requires it to be legally registered.</p>			
<p>E1.1 The Group Entity shall be legally formed</p>			
<p>E1.1.1</p>	<p>There shall be documentary evidence of a clearly identified and legal entity. The Group Entity shall:</p> <ul style="list-style-type: none"> • Be a registered organisation as defined by law in the country of registration (e.g. as a company or an organisation). • Be a member of the RSPO • Establish the structure of the organisation • Appoint a Group Manager (see E1.2) 	<ul style="list-style-type: none"> • Be a registered organization as per law : Wild Asia Sdn Bhd : 634446 W dated 13/11/2003 • RSPO membership- verified the letter titled "Acceptance as a member RSPO" -membership type: ordinary -category:oil palm growers -membersip no: 1-0138-13-000-00 -membership period: Mar 13 – Feb 14 -effective date:20/3/2013 • The organization chart for the WAGS Air Kuning is made available during HQ, audit. The ICS committee including Group Scheme Managers, WAGS Technical Manager, WAGS Programme Manager, WAGS Sr Project Coordinator, WAGS Project Coordinator, Technical Officers, WAGS Field Assistant and Technical Support. Ms Nadiah is appointed as a person in-charge/Project Coordinator for Perak Region. The job description for each person was established (TOR Field project coordinator, Version 4). Group Scheme - Ms Sheila Senathirajah: Group Scheme Manager. The group manager responsible to ensures that the group meet the requirements of RSPO standard for Group Certification. Commence on 6/1/2014. 	<p>Complied</p>
<p>E1.1.2</p>	<p>The Group Entity shall have documented membership requirements for the participation of individual members in the Group which will also cover new membership.</p>	<p>WAGS Baseline assessment was conduct prior join as a member. Group member who want to joins the WAGS will need to undergo different level of risk assessment. For example, Level 1 for independent</p>	<p>Complied</p>

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	<ul style="list-style-type: none"> • There shall be documentary evidence that the Group members have formally joined the Group. • Formal members of the Group shall sign an agreement with the Group Manager committing to achieving compliance with the applicable RSPO standards and requirements. • The Group Manager shall keep copies of the agreements and shall demonstrate that each member has received a copy thereof. • The Group Manager shall retain copies for a minimum of 5 years. 	<p>producer, Level 2 for legal rights, no disputes on land etc. After the members meet WAGS Risk assessment Criteria Level 1 & 2 only accepted as the group member. WMS:1.3.1- WAGS membership management.</p> <p>Split into 3 producer group; eg: 100% managed by TJC, Partially managed by TJC and Orang Asli. Risk Assessment consist of Level 1 (fundamental criteria), Level 2 (High risk – MPOB license, land title, etc), Level 3 (year of planting, fragile soils, yield, production and etc). Sample for Risk Assessment for new members:</p> <p>A) 100% managed by TJC 1. Chong Thye (510910-101000) 2. Ng Eng Thai (214656-701000)</p> <p>B) Partially managed by TJC 1. Kiew Yau Fee (556460-601000) 2. Lim Wai Fong (213337-601000)</p> <p>C) Orang Asli (JAKOA) 1. Uda A/L Ngangeh (477838-101000) – 3 land application 2. Rahim A/L Buyong (227648-701000) – 1 land application 3. Ramli Bin Chot (218515-501000) – 2 land application)</p> <p>Guidelines on accepting a producer into the WAGS group scheme are available in Wild Asia Group Scheme Guidelines on WAGS Membership dated 22 July 2014. Baseline interviews and farm audits will need to be completed prior to membership sign up including application form, pre-inspection and checking on appropriate documents of farmers and internal approval. Verified the contract between the producer and the WAGS.</p> <p>A) New members 1. Ahmad Bin Sihat : WAGS 1384 (20/10/2017) 2. Diman A/L Lahit: WAGS 1441 (20/1/2018) 3. Kew Chee Sang: WAGS 189 (7/10/2017) 4. Ng Eng Thai : WAGS 1399 (28/10/2017)</p>	
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		<p>5. Chong Thye: WAGS 1367 (28/10/2017)</p> <p>Original agreements were kept at site office, while farmers kept the copy of original and the softcopy will kept at the GSM HQ office.</p> <p>The records were kept for 5 years according to the WMS: 1.3.1 WAGS Membership Management Guidance, Clause 8.3 (issue date: 28/7/17) and found adequately maintained at HQ office.</p>	
<p>E1.1.3</p>	<p>The Group Manager shall keep evidence that the nature and structure of the group has been communicated to all members of the Group in an appropriate manner.</p>	<p>SOP-WMS 2.2.1: Managing Public Transparency (issue date: 14/9/16) mention about to provide adequate information on issues related to RSPO Criteria.</p> <p>SOP-WMS 3.1.1.1: Producer Group (PG) organization (issue date: 15/9/16) manage the producer group</p> <p>The training "WAGS Panduan Pengurusan Kebun Kelapa Sawit Mampan: T02 Guidance for Farm Management of SPO". The WAGS training records were verified.</p> <p>A) New members</p> <ol style="list-style-type: none"> 1. Ahmad Bin Sihat : WAGS 1384, date attended training: 20/10/2017. 2. Diman A/L Lahit: WAGS 1441, date attended training: 20/1/2018 3. Kew Chee Sang: WAGS 189, date attended training: 7/10/2017 4. Ng Eng Thai : WAGS 1399, date attended training: 28/10/2017, 5. Chong Thye: WAGS 1367 date attended training: 28/10/2017 <p>The organization chart available on the site office notice board.</p>	<p>Complied</p>
<p>E1.2 The Group shall be managed by a Group Manager</p>			

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<p>E1.2.1</p>	<p>The appointed Group Manager shall be either an identified legal entity or an individual acting on behalf of the legal entity, i.e. the Group Entity (E1.1.1).</p> <p>The Group Manager shall ensure the Group’s compliance with this standard and is responsible for the preparation and implementation of the Internal Control System (ICS).</p> <p>If the Group Manager is not an individual but an entity:</p> <ul style="list-style-type: none"> • then the entity shall appoint an individual as management representative • and there shall be a description of the general structure detailing the positions and responsibilities of all personnel involved. 	<p>Group Manager- Ms Sheila Senathirajah: Group Scheme Manager.</p> <p>The group manager responsible to ensures that the group meet the requirements of RSPO standard for Group Certification.</p> <p>Job Description mention about:</p> <ol style="list-style-type: none"> 1. person in charge/responsibilities of GM 2. Requirement for Group Manager <p>The WAGS programme which Ms Sheila is the Group manager, is managed independently under Wild Asia.</p>	<p>Complied</p>
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<p>E1.2.2</p>	<p>The Group Manager shall be able to demonstrate sufficient resources and capacity for managing Group Certification and performance assessment against this Standard.</p>	<p>The management keep compliance to the farmers through established the SOP and Guidance-WMS 1.3.1 WAGS Membership Management (issue date: 28/7/2017), Wild Asia Group Scheme Smallholder Training Summary (dated: 15/9/16) and WAGS Code of Conduct (updated: 15/9/16).</p> <p>WAGS Internal Audit Guideline (WMS 2.11.1, dated 29/7/2017) was established and the internal Audit was conducted by the management on 27-30/11/2017. The management was sample 25 out of 261. The findings were brief during meeting/on-site review. The internal audit report was verified by the assessor.</p> <p>The WAGS risk assessment checklist was conducted before the farmers become a member. The criteria were divided by 3 level: Level 1: Independent producer-no long term contractual obligation Level 2: Documented rights to land, Land dispute, Land developed after 2005, FFB Trading License, New developments Level 3: Topography, HCV, Planting on fragile soil, Employments, Facilities, Production records, Usage of banned or restricted chemicals, Fertilizer application.</p> <p>Internal control system for small producers (29/7/2017), WMS 1.3.1: WAGS Membership Management (dated: 28/7/2017) and WAGS Code of Conduct was established for all members to be a member of WAGS.</p>	<p>Complied</p>
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<p>E1.2.3</p>	<p>The Group Manager and / or their personnel shall be able to demonstrate competence and knowledge of:</p> <ul style="list-style-type: none"> Principles and Criteria for the Production of Sustainable Palm Oil 2013 Endorsed by the RSPO Executive Board and Accepted at the Extraordinary General Assembly by RSPO Members on April 25th 2013 RSPO Management System Requirements and Guidance for Group Certification of FFB Production – March 2016 [this standard]. RSPO Supply Chain Certification Standard Final Document: As approved by RSPO Executive Board 21 November 2014 Internal group procedures and policies. 	<p>The management keep compliance to the farmers through established the SOP and Guidance-WMS 1.3.1 WAGS Membership Management (issue date: 28/7/2017), Wild Asia Group Scheme Smallholder Training Summary (dated: 15/9/16) and WAGS Code of Conduct (updated: 15/9/16).</p> <p>WAGS Internal Audit Guideline (WMS 2.11.1, dated 29/7/2017) was established and the internal Audit was conducted by the management on 27-30/11/2017. The management was sample 25 out of 261. The findings were brief during meeting/on-site review. The internal audit report was verified by the assessor.</p> <p>The WAGS risk assessment checklist was conducted before the farmers become a member. The criteria were divided by 3 level:</p> <p>Level 1: Independent producer-no long term contractual obligation</p> <p>Level 2: Documented rights to land, Land dispute, Land developed after 2005, FFB Trading License, New developments</p> <p>Level 3: Topography, HCV, Planting on fragile soil, Employments, Facilities, Production records, Usage of banned or restricted chemicals, Fertilizer application.</p> <p>Internal control system for small producers (29/7/2017), WMS 1.3.1: WAGS Membership Management (dated: 28/7/2017) and WAGS Code of Conduct was established for all members to be a member of WAGS.</p>	<p>Complied</p>
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<p>E1.2.4</p>	<p>The Group Manager shall provide potential and existing Group members with the following:</p> <ul style="list-style-type: none"> • An explanation of the RSPO certification process. • An explanation of the criteria for group membership. • An explanation as to the Group Manager’s needs and the rights of the certification body to access the group members' documentation and plantations for the purposes of evaluation and monitoring. • An explanation of the certification bodies and RSPO requirements with respect to public information. • An explanation of any obligations with respect to group membership, such as: <ul style="list-style-type: none"> ○ Maintenance of information for monitoring purposes; ○ Requirement to conform to conditions or corrective actions issued by the certification body. ○ Explanation of any costs associated with group membership. ○ Other obligations of group membership. 	<p>Compulsory training was conducted (T02 Guidance for Farm Management of SPO) covering all the requirement mentioned for all members especially on RSPO certification, criteria for group membership, group members' documentation and plantation, agriculture practise, public information, annual budget, training, other obligation and etc. The last training was conducted on 28/10/2017 and 6/2/2018.</p> <p>The requirement to confirm to conditions or corrective actions issued by the certification body describe in the training.</p>	<p>Complied</p>
<p>Element 2 (E2): Internal Control System – Policies and Management</p>			
<p>E2.1 The Group Internal Control System shall contain documented policies and procedures for operational management.</p>			
<p>E2.1.1</p>	<p>The Group Internal Control System shall contain Procedures for decision-making, and responsibilities within the group (including the authority of the Group Manager) shall be defined.</p> <p>The Group Manager shall manage the Group in a systematic and effective manner by:</p> <ul style="list-style-type: none"> • Identifying the geographical area to be covered by the Group. • Preparing, maintaining and documenting the Group management structure 	<p>WMS 2.1 WAGS ICS_v9_16042014 (Internal Control System (ICS) for Small Producers) and WAGS Guidelines will show an operating structure that defines group management documentation (i.e. internal control systems), decision-making and responsibilities within the group.</p> <p>WAGS has the documented set of procedures and processes that a group implements to achieve its specified requirements. This also includes the Internal Control System (ICS)</p>	<p>Complied</p>

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	<ul style="list-style-type: none"> Clearly identifying the responsibilities of all individuals employed by the Group Manager for the running of the Group. Prepare and maintain the rules of the Group including the criteria for membership. Organise at least one group meeting annually (see also 8.1.1 of Section 3 on preparation of group management plan). Procedure for initial gap audit which can be a self-assessment. 	<p>Conduct the Baseline using the SOP-WMS: 2.8.1-Scoping & Baseline Overview to identify the geographical area. The baseline Assessment was conducted on October 2014 for WAGS Perak- Air Kuning by Jyunichi Washizaki and Mrs Sheila. This assessment covered the socio-economic background, supply chain, social and environmental impacts and farm audit.</p> <p>A management was appointed Ms Nadiah Jalaludin as a Project coordinator for WAGS Perak – Air Kuning. Refer to Perak WAGS Org Structure.</p> <p>The criteria to be a member, they need to pass the risk assessment which have 3 level. This was guide by the SOP-WMS 2.10.1 G Producer Risk Assessment.</p> <p><u>Level 1:</u> Independent producer-no long term contractual obligation</p> <p><u>Level 2:</u> Documented rights to land, Land dispute, Land developed after 2005, FFB Trading License, New developments</p> <p><u>Level 3:</u> Topography, HCV, Planting on fragile soil, Employments, Facilities, Production records, Usage of banned or restricted chemicals, Fertilizer application.</p> <p>WMS 3.1.1.1: WAGS Producer Group Organisation- The meeting was conducted on quarterly basis. The latest was done on 9-13/1/2018 to discuss on the WAGS Perak Air Kuning. The meeting was involving WAGS HQ, WAGS project coordinator and etc.</p> <p>The internal Audit was conducted by the management on 27-30/11/2017 to include the dealer (Teik Joo Chan).</p>	
<p>E2.1.2</p>	<p>The Group Internal Control System shall contain Procedures for maintaining records for all Group members.</p> <p>The Group Manager shall implement</p>	<p>The data monitoring sheet contains all the information of farmers. Monitoring Sheet 3: Producer egistration_PG TJC was included all the information needed for all 171 farmers (certified members) and 90 farmers (new members). E.g. date of compulsory</p>	<p>Major non compliance</p>

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	<p>a system to maintain the following central records and reports:</p> <ul style="list-style-type: none"> • List of names and full contact details of group members and applicable method of communication. • Location maps. Area of oil palm in hectares. • Land titles/right of use of the land. • A copy of the signed declaration of the grower becoming a member of the group including the date. • Unique member registration numbers are assigned to individual members. • The date that the member signed the declaration of intent as stated in the Group Membership Requirements. • Date of leaving the Group if applicable and the reasons why. • Projected and actual FFB production in metric tonnes per annum. • Monitoring and training records. • Any corrective actions raised and actions taken to meet the requirements for compliance. 	<p>training and monitoring, date joined member, unique member registration (WAGS ID No).</p> <p>Perak Producer Groups Map was established based on land title and GPS. The data base was maintained the area of oil palm in hectare for all the members. Verified the contract between the producer and the WAGS.</p> <ol style="list-style-type: none"> 1. Chen Saik Hong : WAGS 10 (TJC-109-SML), 22/5/2014 2. Loo Kam Ying : WAGS28 (TJC-102-SM), 21/3/2014 3. Khiew Khuan Fong: WAGS (TJC-84-SML), 18/3/2014 4. Tan Ah See: WAGS 33 (TJC-68-SML), 18/4/2014 5. Ahmad Bin Sihat : WAGS 1384 (20/10/2017) 6. Diman A/L Lahit: WAGS 1441 (20/1/2018) 7. Kew Chee Sang: WAGS 189 (7/10/2017) 8. Ng Eng Thai : WAGS 1399 (28/10/2017) 9. Chong Thye: WAGS 1367 (28/10/2017) <p>Date leaving the WAGS also capture in the sheet 3:PG Producer Registration_PG TJC. There is no members leaving the WAGS until February 2018.</p> <p>The hecтарage was monitored through Excel Sheet 4: PG Farm Registration_PG TJC that covered the information on the farm and issue on monitoring. The total planted area was 962.04 Ha (including new members). The planted area for certified members was 650.17 Ha.</p> <p>The production records were kept in the monitoring sheet 5: PG FFB_PG TJC which updated every quarterly.</p> <p>The monitoring and the training records was monitored through PG Activity Log_PG TJC</p> <p>The monitoring on the issue raised was monitored through Monitoring Sheet 4: PG Registration_PG TJC, eg: Expired MPOB license, open burning, chemical spillage and etc.</p>	
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		<p>However, the system to maintain the following central records and reports were not accurately monitored related to:</p> <p>1) Area of oil palm in hectares @ total planted area – 685.84 ha for 175 small holder, total for 171 smallholders 665.02 ha. 4 farmers withdrawn from the group (13.0421 ha) but total excluded area is 20.82 ha.</p> <p>2) Discrepancies of hectarage area (legal title ha, plot ha, MPOB license ha and WAGS registered area)</p> <p>i) ID # WAGS 137 Ownership evidence (in replace of Title): Surat Perakuan by Penghulu Mukim Chendering; Total area: 7ha; Tenure: Customary Land; Farm ID # Plot-1689; Area:0.8094ha; Farm ID # Plot-1690; Area:0.8094ha; Farm ID # Plot-1691; Area:4.0469ha; WAGS agreement date: 7/10/2017; WAGS agreement area: 4.0469ha + 4.0469ha + 0.8094ha ; MPOB license # 404792101000; Validity: 28/11/2016 – 30/4/2022; Daerah: Batang Padang; Mukim: Chenderiang; MPOB license area: 3.60ha</p> <p>ii) ID # WAGS 188 Ownership evidence (in replace of Title): Pengesahan Memiliki Kawasan tanah Ladang di Kampung Orang Chenderong Kelubi; Letter by Jabatan Kemajuan Orang Asli (JAKOA); Ref. # JAKOA.PK.PT.B1/1/15(11); Date: 17/5/2016; Total area: 2ha; Tenure: Customary Land; Farm ID # Plot-422; Area:8.0939ha; WAGS agreement date: 29/10/2017; WAGS agreement area: 2ha ; MPOB license # 479733501000; MPOB licensed area: 2ha; Validity: 21/9/2016 – 30/11/2021; Daerah: Perak Tengah; Mukim: Pasir Panjang Ulu; MPOB license area: 2ha</p> <p>Thus, Major NC was raised.</p>	
<p>E2.1.3</p>	<p>Relevant group records shall be archived for a minimum of 5 years using an appropriate secure system.</p>	<p>The records were kept for 5 years according to the WMS: 1.3.1 WAGS Membership Management Guidance, Clause 8.3 (issue date: 28/7/17). The</p>	<p>Complied</p>

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		<p>copy of all records was made available through an electronic database.</p> <p>During onsite visit, each smallholder has its own folder to keep the relevant documents such as land titles, training material and contracts.</p>	
<p>E2.1.4</p>	<p>The Group Internal Control System shall include an initial gap audit procedure (i.e. baseline assessment and needs for compliance) for applicants wishing to join the Group.</p>	<p>WMS 2.1 WAGS ICS_v9_16042014 (Internal Control System (ICS) for Small Producers) and WAGS Guidelines will show an operating structure that defines group management documentation (i.e. internal control systems), decision-making and responsibilities within the group.</p> <p>WAGS has the documented set of procedures and processes that a group implements to achieve its specified requirements. This also includes the Internal Control System (ICS)</p> <p>Conduct the Baseline using the SOP-WMS: 2.8.1-Scoping & Baseline Overview to identify the geographical area. The baseline Assessment was conducted on October 2014 for WAGS Perak- Air Kuning by Jyunichi Washizaki and Mrs Sheila. This assessment covered the socio-economic background, supply chain, social and environmental impacts and farm audit.</p> <p>A management was appointed Ms Nadiah Jalaludin as a Project coordinator for WAGS Perak – Air Kuning. Refer to Perak WAGS Org Structure.</p> <p>The criteria to be a member, they need to pass the risk assessment which have 3 level. This was guide by the SOP-WMS 2.10.1 G Producer Risk Assessment.</p> <p><u>Level 1:</u> Independent producer-no long term contractual obligation</p> <p><u>Level 2:</u> Documented rights to land, Land dispute, Land developed after 2005, FFB Trading License, New developments</p> <p><u>Level 3:</u> Topography, HCV, Planting on fragile soil, Employments, Facilities, Production</p>	<p>Complied</p>

		records, Usage of banned or restricted chemicals, Fertilizer application.	
Element 3 (E3): The Internal Control System – Operations			
E3.1 The Group Internal Control System shall develop and implement an internal audit programme of Group members.			
E3.1.1	<p>The Group Manager shall develop and implement the internal audit programme, which includes, but not exclusively: timeline, operational plans, monitoring and evaluation records.</p> <p>As a minimum the following shall be included:</p> <ul style="list-style-type: none"> Establish, implement and maintain (a) procedure(s) for internal audits which must include (but not be limited to) the methodology, competence of internal auditors, audit criteria, frequency of internal audits, and addressing non-conformity. Conduct regular (at least annual) internal audits of Group members in order to confirm continued conformance with all the Group Certification requirements. Maintenance of all internal audit records. 	<p>WAGS Internal Audit Guideline (WMS 2.11.1) was established and the internal Audit was conducted by the management on 27-30/11/2017. The management was sample 25 out of 261. Verified the audit report, the findings was brief during meeting/on-site review.</p> <p>Internal audit conducted by Ms Priyanka (Lead Auditor), Arvintt and Izzaty (Team member)- refer to the procedure WMS 2.11.1, appendix 2: List of approved internal auditor for each WAGS producer group, updated on 29/7/2017. The requirement was mentioned on successful completion of RSPO-Lead Auditor course training, undergone related lead auditor training in related areas such as sustainable palm oil production (optional), conducted at least 1 palm oil sustainability related assessment, fully understands the WAGS code of conduct requirements.</p> <p>The records of internal audit conducted on was kept and maintained in the softcopy at WAGS HQ office.</p>	Complied
E3.1.2	<p>The Group Manager shall carry out a risk assessment of Group members to identify an appropriate sampling intensity of Group members for the certification assessment.</p> <p>The risk assessment shall take into account:</p> <ul style="list-style-type: none"> the diversity of the Group members (i.e. range of size, management structure, scattered members with diverse plantation landscape such as terrain, etc.) any perceived risk relating to the activities being undertaken (e.g. how much replanting or expansion is occurring, how many members are new and, for subsequent assessments, 	<p>Before the farmers become a WAGS member, they need to go the Risk Assessment. Refer to the WMS 2.10.10-Producer Risk Assessment. The assessment was conducted in total 171 existing members and 90 new members. During previous assessment, the total existing members were 175, however 4 members were exclude due to ownership change/farmers passed away. The latest risk assessment was conducted on 13/9/2017.</p> <p>WAGS Internal Audit Guideline (WMS 2.11.1) was established and the internal Audit was conducted by the management on 27-30/11/2017. The management was sample 25 out of 261. Verified the audit report, the findings was brief during</p>	Complied

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	whether there is a history of non-conformities).	meeting/on-site review. Internal audit conducted by Ms Priyanka (Lead Auditor), Arvintt and Izzaty (Team member	
E3.1.3	The Group Manager and the internal auditors shall jointly declare no conflict of interest for the internal audit process.	Refer to WMS 2.11.1: WAGS Internal Audit Guidelines, clause 2.7- Conflict of interest. The procedure stated that the internal inspectors cannot audit farms when there is a conflict of interest and the internal inspectors cannot be members of producer group committee.	Complied
E3.1.4	<p>The Group Manager shall conduct initial gap audits with any potential new member, to assess the following pre-requisites for membership:</p> <ul style="list-style-type: none"> no plantings have replaced primary forest, or affected one or more High Conservation Values (HCVs) (RSPO P&C 2013 criteria 5.2 & 7.3) In the case of scheme smallholders, the company (owning/managing the mill) holds the liability for compensation for any new plantings undertaken since November 2005 and before 14th of May 2014. Following compliance with the compensation procedure, scheme smallholders may join the group. no existing land conflict. land title or right to use the land can be demonstrated. 	<p>WAGS has the documented set of procedures and processes that a group implements to achieve its specified requirements. This also includes the Internal Control System (ICS) Conduct the Baseline using the SOP-WMS: 2.8.1- Scoping & Baseline Overview to identify the geographical area. The baseline Assessment was conducted on October 2014 for WAGS Perak- Air Kuning by Jyunichi Washizaki and Mrs Sheila. This assessment covered the socio-economic background, supply chain, social and environmental impacts and farm audit.</p> <p>The WAGS risk assessment checklist was conducted before the farmers become a member. The criteria were divided by 3 level:</p> <p><u>Level 1:</u> Independent producer-no long term contractual obligation</p> <p><u>Level 2:</u> Documented rights to land, Land dispute, Land developed after 2005, FFB Trading License, New developments</p> <p><u>Level 3:</u> Topography, HCV, Planting on fragile soil, Employments, Facilities, Production records, Usage of banned or restricted chemicals, Fertilizer application.</p>	Complied
E3.2 The Group Internal Control System shall include a system in place to enable the trading of RSPO certified Fresh Fruit Bunches (FFB) produced from the Group.			
E3.2.1	The Group Manager shall document and implement a system for the tracking and tracing of FFB produced	For FFB tracking the management use the form named "Summary of Monthly Certified FFB Produce_ TSOMAK". Verified	Complied

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	by the group members, and intended to be sold as RSPO-certified FFB.	the total FFB produce as follow: September 2017 – 1,868.78 mt October 2017 – 2,387.23 mt November 2017 – 1,626.02 mt December 2017 – 1,541.87 mt January 2018 – 886.91 mt	
E3.2.2	<p>There shall be a collective Group procedure for the sale of all certified FFB to ensure that non-certified FFB are not sold as RSPO certified FFB.</p> <p>If certified FFB is combined with non-certified FFB prior to the sale and delivery to a palm oil mill, a mass balance system shall be in place to ensure the quantity of FFB sold as Mass Balance is equal to the quantity of RSPO certified FFB in the mix.</p>	<p>The management had established the procedure WMS 2.12.1: FFB “Traceability/Chain of Custody” Guidelines, dated 23/9/2016 and WMS2.12.2: Trading Certified Products on Palm Trace Platform, dated 29/7/2017. It describe on how to ensure that FFB from farm to collection center or mill is traceable and to ensure that there is documented system in place to record/track the volumes of individual FFB producers.</p> <p>To monitor the yield, the dealer keeps the trip records for each individual certified FFB farmer. The management will use the monitoring sheet 5: Pg FFB_PG TJC to monitor the sales records on quarterly basis between the certified and non certified FFB suppliers. Last quarterly meeting was conducted on 6/6/2017.</p>	Complied
E3.2.3	<p>All sales of FFB originating from the plantations of Group members shall be documented and recorded. This shall include:</p> <ul style="list-style-type: none"> • Invoices and receipts (purchase and sale). • Information on transport (i.e. registration number/number plate). • The relevant group members’ group identification number. • Classification of the FFB sold (i.e. RSPO certified or not), FFB volume and destination. • Information of FFB price. 	<p>The dealer keeps detailer of FFB volume per trip and the FFB price. The farmers keep the receipts of sale/invoices- on-site. The management kept copy of the records (monthly) in the monitoring sheet 5: PG FFB_PG TJC from 2014 until now. Unique ID was established to monitor the certified FFB farmers. Eg:</p> <ol style="list-style-type: none"> 1. Chen Saik Hong : WAGS 10 (TJC-109-SML), 2017= 35.10 mt 2. Loo Kam Ying : WAGS28 (TJC-102-SM), 21/3/2014, 2017= 53.68 mt 3. Khiew Khuan Fong: WAGS (TJC-84-SML), 2017=24.50 mt 4. Tan Ah See: WAGS 33 (TJC-68- SML), 2017=112.94 mt 5. Viking a/l Kok Nit: WAGS 172 (Per-Pot-131, 2017= 39.28 mt 6. Tan Boon Wah: WAGS 158 (Per-Pot-117), 2017= 122.66 mt 7. Sin Yew Fatt: WAGS 154 (Per-Pot-113), 2017=51.53 mt 8. Ramli a/l Gandom: WAGS 150(Per-Pot-109), 2017=137.48 mt 9. Mohammad Rasid Bin Pandak: WAGS 	Complied

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		<p>138 (Per-Pot-097), 2017=12.70 mt</p> <p>10. Lucci a/l Long: WAGS 136 (Per-Pot-095), 2017=28.08 mt</p> <p>11. Lim Kean Beng: WAGS 132 (Per-Pot-091), 2017=196.76 mt</p> <p>12. Lee Kok Aun:WAGS 123 (Per-Pot-082), 2017=143.24 mt</p> <p>13. Itam Bin Kulop Draoh: WAGS 100 (Per-Pot-059), 2017=22.86 mt</p> <p>Site team have started to keep records as of November 2016 (i.e: FFB price for Nov RM600)</p>	
<p>E3.2.4</p>	<p>The Group Manager shall maintain copies of all documentation and records mentioned in E3.2.3 related to Group FFB transactions for a period of a minimum of 5 years.</p>	<p>The dealer keeps detailer of FFB volume per trip and the FFB price.</p> <p>The farmers keep the receipts of sale/invoices- on-site. It was verified during onsite visit.</p> <p>The management kept copy of the records (monthly) in the monitoring sheet 5: PG FFB_PG TJC from 2014 until now.</p> <p>Unique ID was established to monitor the certified FFB farmers. Eg:</p> <ol style="list-style-type: none"> 1. Chen Saik Hong : WAGS 10 (TJC-109-SML), 2017= 35.10 mt 2. Loo Kam Ying : WAGS28 (TJC-102-SM), 21/3/2014, 2017= 53.68 mt 3. Khiew Khuan Fong: WAGS (TJC-84-SML), 2017=24.50 mt 4. Tan Ah See: WAGS 33 (TJC-68-SML), 2017=112.94 mt 5. Viking a/l Kok Nit: WAGS 172 (Per-Pot-131, 2017= 39.28 mt 6. Tan Boon Wah: WAGS 158 (Per-Pot-117), 2017= 122.66 mt 7. Sin Yew Fatt: WAGS 154 (Per-Pot-113), 2017=51.53 mt 8. Ramli a/l Gandom: WAGS 150(Per-Pot-109), 2017=137.48 mt 9. Mohammad Rasid Bin Pandak: WAGS 138 (Per-Pot-097), 2017=12.70 mt 10. Lucci a/l Long: WAGS 136 (Per-Pot-095), 2017=28.08 mt 11. Lim Kean Beng: WAGS 132 (Per-Pot-091), 2017=196.76 mt 12. Lee Kok Aun:WAGS 123 (Per-Pot-082), 2017=143.24 mt 13. Itam Bin Kulop Draoh: WAGS 100 (Per-Pot-059), 2017=22.86 mt 14. Site team have started to keep records as of November 2016 (i.e: FFB price for Nov RM600) 	<p>Complied</p>

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<p>E3.2.5</p>	<p>Traders of FFB shall be either part of the Group management system following this guidance or be RSPO Supply Chain certified in order to sell certified FFB. Traders of FFB are encouraged to be included within the Group certification control rather than obtain their own supply chain certification.</p> <p>The Group Manager will ensure that the trader has clear procedures to ensure that mass balance calculations are accurate if applicable and that all FFB sold by the trader is traceable back to the Group members.</p> <p>Guidance:</p> <ul style="list-style-type: none"> • There shall be a contract between the FFB trader and the • The FFB trader shall maintain complete purchase and sales records. • If the FFB Trader is RSPO Supply Chain certified, a copy of the certificate shall be provided to the Group Manager. 	<p>All the group members sent the FFB to the only dealer-Teik Joo Chan Sdn Bhd and the dealer will sent the FFB to the mill.</p> <p>The management had established the procedure WMS 2.12.1: FFB "Traceability/Chain of Custody" Guidelines. It describe on how to ensure that FFB from farm to collection center or mill is traceable and to ensure that there is documented system in place to record/track the volumes of individual FFB producers.</p> <p>WA submits a monthly tally of volumes certified sent to TSOMAK mill.</p> <p>The contract agreement between WAGS and the dealer, Teik Joo Chan Sdn Bhd, 176826-X, was signed by Teoh Chai Hock (owner) on 19/5/2014.</p> <p>The management kept copy of the records (monthly) in the monitoring sheet 5: PG FFB_PG TJC which update by Teoh Yoke Teng, Field Assistant for WAGS Perak-Air Kuning.</p>	<p>Complied</p>
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Section A-2- Individual group members up to 50ha under oil palm cultivation

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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
<p>Demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.</p>	<p>Assessment of sampled individual smallholder members ID # WAGS 1347, ID # WAGS 1376, ID # WAGS 1397 and ID # WAGS 188 at their respective farm sites generally confirmed that they able to demonstrate an understanding that all visitors and all requests for information can be referred to the Group Manager. All sampled members also able to tell the direction to go to the Group Manager’s office location.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall inform all Group members that all requests for information are referred to the Group Manager.</p>	<p>Based on the records in the file of sampled individual smallholder members, it was generally verified that Group Manager has informed all Group members that all request for information are referred to the Group Manager. This was also stated in individual’s WAGS agreement and the handbook of <i>Skim Kumpulan Pekebun Kelapa Sawit (WAGS) – Panduan Pengurusan Kelapa Sawit Mampan</i> (Guidance for Farm management of Sustainable Palm Oil), which was given to all members its copies.</p>	
<p>The Group Manager shall provide adequate information on (Environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making</p>	<p>Based on the information content of the handbook of Guidance for Farm management of Sustainable Palm Oil, it was confirmed that the Group Manager provide generally adequate information on issues relevant to RSPO Criteria to relevant stakeholders especially the smallholder members. Records sample of Quarterly meeting with stakeholders i.e. Implementation Team Meeting dated 29/1/2018 between Cargill-TSOMAK-WA-Dealer meeting at TSOMAK also generally showed adequate information through discussion on WAGS-Perak Air Kuning: Oil Palm Sustainability Support Programme.</p> <p>*TSOMAK – Tian Siang Oil Mill Air Kuning *WA – Wild Asia</p>	
<p>1.1.2 Records of requests for information and responses shall be maintained.</p>		
<p>Requirement for Group Manager</p>		<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall establish and maintain a system to keep records of requests for information and corresponding responses.</p>	<p>Based on procedure, a WAGS Perak Logbook Stakeholder Register & Request For Information has been maintained. Sighted a sample report by smallholder on monkey (Macaque) sighting at Kampung Chenderong Kelubi on 19/11/2017. Group Manager acted by communicating to Wildlife Department and visit conducted by Wildlife Dept. officer on 13/2/2018 to verify and investigate the area reported.</p>	
<p>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.</p>		
<p>1.2.1 (M) Publicly available documents shall include, but are not necessarily 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); • Continuous improvement plans (Criterion 8.1); • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13). 		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.</p>	<p>Sampled individual members able to demonstrate that any visitors of request will be referred Group Manager. They able to tell the location of Group Manager’s site office too.</p>	
<p>Requirement for Group Manager</p>		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Group Managers shall list the following documents as publically available and keep copies centrally:</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); • Continuous improvement plans (Criterion 8.1); • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13). 	<p>Documents were kept by Group Managers at site office as following:</p> <ul style="list-style-type: none"> • Land titles/user rights for members as per sample ID # WAGS 1347 (Title # 3930), ID # WAGS 1376 (<i>Surat Perakuan by Penghulu Mukim Chendering</i>), ID # WAGS 1397 (<i>Perjanjian Sewaan antara Perbadanan Pembangunan Pertanian Negeri Perak (PPNP) dengan Tujuh Jaya Sdn. Bhd.</i>) and ID # WAGS 188 (<i>Pengesahan Memiliki Kawasan tanah Ladang di Kampung Orang Chenderong Kelubi; Letter by Jabatan Kemajuan Orang Asli (JAKOA); Ref. # JAKOA.PK.PT.B1/1/15(11)</i>) • WAGS Group Policy; Ver. # 1; Last updated: 4/10/2016; Filename: 2.13.1 Group Policy Statement_BM_v2_03102016 • WAGS Group; D1.2.1 G Consultation Communication Procedure; September 2016 • All relevant HCV documentations, complaints and grievances details, previous audit reports and etc. 	
<p>Criterion 1.3: Growers and millers commit to ethical conduct in all business operations and transactions.</p>		
<p>1.3.1 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>Requirement for Individual Member with up to 50ha of plantation size</p>		

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Criterion / Indicator	Assessment Findings	Compliance
Individual members shall show that they have accepted and agreed the group's policy on ethical conduct	<p>WAGS Group Policy; Ver. # 1; Last updated: 4/10/2016; Filename: 2.13.1 Group Policy Statement_BM_v2_03102016. Policy stated on the following:</p> <ul style="list-style-type: none"> • Ethical code • Respect human rights • No force labour • No child labour • No discrimination • Respect for freedom of association and collective agreement • Respect women reproductive rights • On-time payment of compensation • Zero tolerance towards sexual harassment and violence • Working hour "<i>tidak berlebihan</i>" (non-excessive) • Safe & health work area • Respect of customary land ownership • Conservation of HCV • Minimize environmental impacts • Commitment towards continuous improvement <p>A briefing session on th policy update was carried out during T02 training session on 13/2/18. In the contract agreement and smallholder's handbook, evidence of acceptance were vefied.</p>	
Requirement for Group Manager		
The Group Manager shall develop a written policy committing the Group to a code of ethical conduct and integrity in all operations and transactions.	As above i.e. policies of Ethical Code, Respect Human Rights, On-time Payment and Compensation and etc. were develop in writing.	

Criterion / Indicator	Assessment Findings	Compliance
Criterion 2.1:		
There is compliance with all applicable local, national and ratified international laws and regulations.		
2.1.1 Evidence of compliance with relevant legal requirements shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
<p>Fulfil the requirements laid out by the Group Manager, such as attending relevant training, filling in the checklist/tools provided to guarantee legal compliance.</p> <p>Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.</p>	<p>The procedure named Legal register A 4.2.1 : Legal Register updated June 2016 was include all the legal and other requirements such as MPOB Regulation, Commercial Vehicle Licensing Board Act 1987, Wildlife Conservation Enactment 1997,EQA 1974, EQ (Declared Activities)(Open Burning) Order 2003, Environmental Quality Act 1974, Workers Compensation Act 152, Workers’ Minimum Standard Housing and Amenities Act 1990, Pesticides Act 1974, Minimum Wage Order 2016 etc.</p> <p>Assessment for Baseline was conduct to check the compliance to the legal requirements which had been conduct when the farmers want to join as a member of WAGS. The questioner was include basic the information related to legal:</p> <ol style="list-style-type: none"> 1. Land title 2. Dispute 3. New plantin 4. Management 5. Storage 6. Type of chemical and fertilizer 7. FFB Production <p>Baseline was conducted accordingly to the existing and new members:</p> <p>A) Existing Members</p> <ol style="list-style-type: none"> 1. WAGS 124 2. WAGS 63 3. WAGS 182 <p>B) New Members</p> <ol style="list-style-type: none"> 1. WAGS 1386 – previous crop rubber 2. WAGS 189 3. WAGS 190 4. WAGS 1359 5. WAGS 1441 6. WAGS 1358 7. WAGS 1134 8. WAGS 1388 9. WAGS 1384 	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Ensure you can demonstrate to a third party that the laws are understood and complied with by Group members.</p>	<p>The procedure G06 WAGS Guidelines: Guidelines on Legal Compliances was established. It was mentioned about the scope, objectives and the importance of the procedure. This procedure was implemented to ensure that the farmers comply with all the legal requirements related to their farms. Training was conducted accordingly, sighted the sampled records as follow</p> <p>A) Existing Members</p> <ol style="list-style-type: none"> 1. WAGS 124 2. WAGS 63 3. WAGS 182 <p>B) New Members</p> <ol style="list-style-type: none"> 1. WAGS 1386 attended on 10/11/17 2. WAGS 189 attended on 19/4/16 3. WAGS 190 attended on 16/1/16 4. WAGS 1359 5. WAGS 1441 6. WAGS 1358 7. WAGS 1134 8. WAGS 1388 9. WAGS 1384 	
<p>2.1.2 A documented system, which includes written information on legal requirements, shall be maintained.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>	<p>Complied</p>	

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Criterion / Indicator	Assessment Findings	Compliance
<p>Fulfil the requirements laid out by the Group Manager, such as attending relevant training, filling in the checklist/tools provided to guarantee legal compliance.</p> <p>Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.</p>	<p>Assessment for Baseline was conduct to check the compliance to the legal requirements which had been conduct when the farmers want to join as a member of WAGS.</p> <p>TO2 Training was conducted and it mentioned about land title, dispute, new planting, GAP, Legal requirements and etc</p> <p>Notice board onsite contain information such as legal register, list of HCV and RTE, OSHA and environmental plan, policies and consultation, communication procedure and etc.</p> <p>Eg: MPOB expiry Licenses were monitored through excel sheet 3: PG Producer Registration_PG TJC.</p> <p>A) Existing Members</p> <ol style="list-style-type: none"> 1. WAGS 124 2. WAGS 63 3. WAGS 182 <p>B) New Members</p> <ol style="list-style-type: none"> 1. WAGS 1386 2. WAGS 189 3. WAGS 190 4. WAGS 1359 5. WAGS 1441 6. WAGS 1358 7. WAGS 1134 8. WAGS 1388 9. WAGS 1384 	
Requirement for Group Manager		
<p>Group Managers shall:</p> <p>Have a list/'legal register' of all applicable laws and regulations and state:</p> <ul style="list-style-type: none"> • Where the laws were obtained from. • How they are circulated and how often and record this communication. • Who and how ensures that the laws are being implemented. • Who monitors and updates the list and how often. • Who records when updates are communicated. 	<p>The laws were obtained through Lawnet. If there is an amendment, the management communicate accordingly through email and phone call. There is no change to the legal in 2017 related to the farmers.</p>	

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Criterion / Indicator	Assessment Findings	Compliance
2.1.3 A mechanism for ensuring compliance shall be implemented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A		
Requirement for Group Manager		
Ensure you can demonstrate to a third party that the laws are understood and complied with by Group members	<p>Training related to laws was conducted accordingly, sighted the sampled records as follow</p> <p>A) Existing Members</p> <ol style="list-style-type: none"> 1. WAGS 124 2. WAGS 63 3. WAGS 182 <p>B) New Members</p> <ol style="list-style-type: none"> 1. WAGS 1386 attended on 10/11/17 2. WAGS 189 attended on 19/4/16 3. WAGS 190 attended on 16/1/16 4. WAGS 1359 5. WAGS 1441 6. WAGS 1358 7. WAGS 1134 8. WAGS 1388 9. WAGS 1384 	
Develop tools such as checklists or booklets that your group members can use to help them implement the legal requirements.	The training T02 Guidance for Farm Management was conducted. The module was talk about GAP, Health and safety, Laws, Social, RSPO and sustainable palm oil and code of conduct. The training records were verified.	Complied
2.1.4 A system for tracking any changes in the law shall be implemented.		
Requirement for Individual Member with up to 50ha of plantation size		N.A
N.A	N.A	
Requirement for Group Manager		
N.A	N.A	
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.		

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2.2.1 Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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<p>Check that the titles or deeds allow the growing of oil palm where this is required by country legislation</p>	<p>There are two types of land title for oil palm plantation which are: a. Land title- Individual and Collective b. Customary land rights with approval letter</p> <p>There are two types of land title for oil palm plantation which are: c. Land title- Individual and Collective d. Customary land rights with approval letter</p> <p>Following samples checked:</p> <ol style="list-style-type: none"> 1. (WAGS-139) (plot-322) <ul style="list-style-type: none"> - Geran : H.S.(M): 240/78, lot 7138 – 1.2137 Ha (freehold), H.S.(M): 251/78, lot 7145 – 1.2197 Ha (freehold), Land used type: Agriculture - MPOB Licence:411412201000- expired on 30/9/2022 2. (WAGS-1364)(plot 1644) <ul style="list-style-type: none"> - Geran : H.S.(M): 3924, lot 6453 – 1.0748 Ha (freehold), H.S.(M): H.S (M) 3999, lot 7111 – 1.2396 Ha (freehold), H.S (M) 3998, Lot 7112 – 1.225 Ha - Land used type: Agriculture - MPOB Licence:220052901000- expired on 31/3/2020 3. Junit Bin Alang <ul style="list-style-type: none"> - JAKOA.PK.PT.B1/1/15(11), 1.21 Ha - MPOB: 229494901000 expired on 30/9/2020 4. Pandak Bin Kassim <ul style="list-style-type: none"> - JAKOA.PK.PT.B1/1/15(11), 1.62 Ha - MPOB: 229500701000 expired on 30/9/2020 5. Ahmad Shafie Bin Chik <ul style="list-style-type: none"> - JAKOA.PK.PT.B1/1/15(11), 0.81 Ha - MPOB: 229495701000 expired on 30/9/2020 	

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
<p>The Group Manager shall demonstrate documentary evidence of legal ownership or lease, history of land tenure and the actual legal use of the land according to local laws.</p>	<p>Sheet 3: Producer Registration_PG TJC was included all the information needed for all existing and new farmers. e.g. date of compulsory training and monitoring, date joined member, unique member registration (WAGS ID No).</p> <p>Previous database monitoring sheet has been progressively migrated to the new Wildasia Knack (New Database System). The progress of migration is still in progress and expected to be completed by Q2 2018.</p> <p>Wildasia knack, new database system</p> <ul style="list-style-type: none"> i) Member’s details ii) Activity’s log ii) Managemnet profile iv) List of registered land v) Regulatory license (MPOB license etc) vi) List of registered buyers vii) Annual production records vii) Management option (self, outsource, relative etc. <p>The hectarage was monitored through Excel Sheet 4: PG Farm Registration_PG TJC that covered the information on the farm and issue on monitoring.</p>	
<p>Maps showing the legal boundaries shall be kept.</p>	<p>All the land title attached the maps showing legal boundaries. These land titles kept in each member folders.</p>	
<p>2.2.2 Legal boundaries shall be clearly demarcated and visibly maintained.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Individual members shall demarcate the boundaries of their land.</p>	<p>Visited to the farm during field visit. All the farmers able to demonstrate where their boundaries. The boundaries was demarcate using:</p> <ul style="list-style-type: none"> 1. Boundary stone; or 2. Drain; or 3. Frond Stacking. 	

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
Check that boundaries are demarcated.	<p>Visited to the farm during field visit. All the farmers able to demonstrate where their boundaries. The boundaries was demarcate using:</p> <ol style="list-style-type: none"> 1. Boundary stone; or 2. Drain; or 3. Frond Stacking. 	
<p>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).</p>		
Requirement for Individual Member with up to 50ha of plantation size		N.A
N.A	N.A	
Requirement for Group Manager		
N.A	N.A	
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
<p>There are conflicts: Explain why and what is the current status. Update this status every quarter until finalised.</p> <p>Record all meetings and who attended.</p>	<p>There's no any significant land conflicts among the members of WAGS based on the site assessment including documentations and interviews of sampled smallholders.</p>	
Requirement for Group Manager		
<p>If there are conflicts: The Group Manager shall ensure that there is an ongoing process to resolve the conflict and ensure records of meetings are being kept by the group member.</p>	<p>As per Guidelines on Managing Legal Land Conflicts; No.: WMS 2.3.2.2; Issue date: 15/9/2016; Source file: 2.3.2.2 G Legal Land Conflict Management_v2_15092016. No dispute recorded since the start of group program in 2012.</p>	
<p>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).</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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In each case, open a case file starting with a statement regarding the boundaries under dispute outlining the issues and the scope.	There's no any significant land conflicts among the members of WAGS based on the site assessment including documentations and interviews of sampled smallholders.	
Requirement for Group Manager		
N.A	N.A	
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.		
Requirement for Individual Member with up to 50ha of plantation size		N.A
N.A	N.A	
Requirement for Group Manager		
N.A	N.A	
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).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Carry out the participatory mapping with involved parties (including neighbouring communities where applicable, and relevant authorities).	Each smallholder member has been drawn their individual plot maps as per Google Earth Farm ID Plot area maps sighted in individual file. Interview of sampled smallholders confirmed that the mappings were done participatory to ensure the plot areas are correct. The sample maps were sighted for sample members ID # WAGS 1347, ID # WAGS 1376, ID # WAGS 1397 and ID # WAGS 188.	

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<p>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:</p> <p>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;</p> <p>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;</p> <p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Demonstrate that they have the right to use the land and or have customary rights over the land they farm.	Individual aboriginal members able to demonstrate that they have the right to use the land through the sampled letter of “ <i>Pengesahan Memiliki Kawasan Tanah Ladang di Kampung Orang Asli Chenderong Kelubi</i> (Customary Rights Verification) Ref. # JAKOA.PK.PT.B1/1/15(11); Date: 17/5/2016 by <i>Jabatan Kemajuan Orang Asli (JAKOA) Daerah Perak Tengah dan Hilir Perak</i> , sample for Pandak Bin Kassim; WAGS ID # Per-Pot-106/ WAGS-147; Total area: 1.62ha; Farm ID # /AKN-POT-0269; Plot-343; & Plot-342; Total area: 1.62ha; Agreement date: 9/10/2015 (Original agreement area: 1.62ha).	
Requirement for Group Manager		
Keep copies of negotiated agreements between individual members and affected stakeholders in appropriate languages.	The user rights evidences were kept in individual member file in appropriate languages. No any dispute that requires negotiated agreements between individual members and affected stakeholders.	
<p>2.3.3 All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
For these processes appropriate local language will be used and negotiations conducted with appropriate representatives.	The user rights evidences were kept in individual member file in appropriate languages. No any dispute that requires negotiated agreements between individual members and affected stakeholders.	
2.3.4 Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
For these processes appropriate local language will be used and negotiations conducted with appropriate representatives.	The user rights evidences were kept in individual member file in appropriate languages. No any dispute that requires negotiated agreements between individual members and affected stakeholders.	

Criterion / Indicator	Assessment Findings	Compliance
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
This Criterion is not applicable to independent smallholders. See reference RSPO P&C 2013, under Criterion 3.1 Guidance. It is recommended for groups of smallholders to have a business plan for long-term economic viability of their operation, considering among others, cost of annual maintenance, replanting, potential expansion and long term sustainability of certification.	A business plan for the year 2018 is available which incorporating the planned activity such as filed operation, management resources & communication, smallholder technical support programme established and etc.	

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Criterion / Indicator	Assessment Findings	Compliance
3.1.2 An annual replanting programme projected for a minimum of five years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review, shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		
N.A	N.A	
Requirement for Group Manager		
N.A	N.A	

Criterion / Indicator	Assessment Findings	Compliance
Principle 4: Use of appropriate best practices by growers and millers		
Criterion 4.1: Operating procedures are appropriately documented, consistently implemented and monitored.		
4.1.1 Standard Operating Procedures (SOPs) for estates and mills are documented		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Group Manager develops appropriate SOPs for the group:</p> <ul style="list-style-type: none"> • Ensure through a set procedure any pre-existing SOPs for BMP by current members, are compliant & consistent with the group SOPs • Keep a register of members who have pre-existing non-group SOPs that are accepted as compliant and consistent with group SOPs. 	<p>WAGS Group Guidance was established to monitor the best practise, sighted:</p> <p>Training module that established was implemented as a SOP for WAGS. The module covered on:</p> <p>T01: Introduction to Wild Asia and RSPO T02: Guidance for Farm Management T03: Introduction to documentation Training T04: Health and safety T05: Env management (for small farm) T06: Code of conduct and membership requirement T07: Social T08: New planting and replanting T09: FFB pricing and grading T10: BMP on harvesting T11: Common Pest and Disease</p> <p>The compulsory training was conducted which related to "T02 Guidance for Farm Management of SPO" covering all the requirement mentioned for all members especially on RSPO certification, criteria for group membership, group members' documentation and plantation, agriculture practise, public information, annual budget, training, other obligation and etc. The last training was conducted accordingly for members as follow:</p> <p>A) Existing Members 1. WAGS 124 2. WAGS 63 3. WAGS 182</p> <p>B) New Members 1. WAGS 1386 2. WAGS 189 3. WAGS 190 4. WAGS 1359 5. WAGS 1441 6. WAGS 1358 7. WAGS 1134 8. WAGS 1388 9. WAGS 1384</p>	
<p>4.1.2 A mechanism to check consistent implementation of procedures shall be in place.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>	<p>Complied</p>	

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N.A	N.A	
Requirement for Group Manager		
The Group Manager has regular checks using procedures set at group level for SOP implementation.	<p>The internal audit was conducted accordingly by the WAGS management to check the implementation for each farmers. The records for members below was sighted:</p> <p>A) Existing Members</p> <ol style="list-style-type: none"> 1. WAGS 124 2. WAGS 63 3. WAGS 182 <p>B) New Members</p> <ol style="list-style-type: none"> 1. WAGS 1386 2. WAGS 189 3. WAGS 190 4. WAGS 1359 5. WAGS 1441 6. WAGS 1358 7. WAGS 1134 8. WAGS 1388 9. WAGS 1384 	
4.1.3 Records of monitoring and any actions taken shall be maintained and available, as appropriate.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Responsibility of individual members to keep record of their own SOP implementation as per defined in group SOPs.	<p>The Training material/SOPs were distributed to the farmers. The records of training and modules were kept at the project site office. During the interview, the farmers bring together the material/SOP given by the WAGS management.</p> <p>The internal audit was conducted to check the implementation. Agronomic visit was carried out by Ms Izzati on July to Aug 2016, the element that covered during this visit were Land Preparation, planting technique, planting pattern, fertilizer programme, weeding programme, harvesting, pest and disease-bagworms, Financial and soil.</p>	
Requirement for Group Manager		
Group Manager oversees the individual record keeping by members	The records were kept in the personal file accordingly by WAGS management.	

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Criterion / Indicator	Assessment Findings	Compliance
4.1.4 The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB).		
Requirement 3for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Group Manager is responsible to identify where all individual member farms are located as a means to identify FFB origin.	<p>There is no system to monitor the origins of FFB from each specific plot for each farmers. FFB production is not traceable to a single farmer plot.</p> <p>ii) The records of FFB from the members were not adequately monitored and total of yield per ha is too high. Further trailed on the FFB records, origin of FFB only traceable per farmer @ ID not per each plot and potentially mixed with uncertified plots or other farmers. Sample of smallholders records checked:</p> <ol style="list-style-type: none"> 1. WAGS 189: Yield for 2017 was 40.21mt/ha for 1.1508Ha 2. WAGS 124: Yield for 2017 was 322mt/ha for 1.2521Ha 3. WAGS 63: Yield for 2017 was 212.68mt/ha for 0.809ha 4. WAGS 1359: Yield for 2017 was 48.10mt/ha for 2.055ha 5. WAGS 1384: Yield for 2017 was 45.425 mt/ha for 2.396Ha <p>Thus, Major NC was raised.</p>	
<p>Criterion 4.2: Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield</p>		
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Group Manager to maintain regular records of soil fertility practices by all members as per SOPs.	The WAGS management has monitored and maintain the records for soil fertility practices accordingly.	

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Criterion / Indicator	Assessment Findings	Compliance
4.2.2 Records of fertiliser inputs shall be maintained.		
Requirement for Individual Member with up to 50ha of plantation size		MAJOR
Responsibility of individual members to maintain fertilizer records.	The records of fertilizer application was available in each farmers' individual file at site. Sighted the records for farmers as follow: A) Existing Members 1. WAGS 124 2. WAGS 63 3. WAGS 182 B) New Members 1. WAGS 1386 2. WAGS 189 3. WAGS 190 4. WAGS 1359 5. WAGS 1441 6. WAGS 1358 7. WAGS 1134 8. WAGS 1388 9. WAGS 1384	
Requirement for Group Manager		
Group Manager to provide template to record fertilizer usage and mill by-products usage.	The WAGS management has monitored and maintain the records for soil fertility practices accordingly.	
4.2.3 There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Group Manager conducts periodic tissue and soil sampling at minimum for a representative sample of group membership.	The WAGS management has plan to complete the periodic tissue and sampling for WAGS Air Kuning accordingly. It was still in progress and yet to be completed by end of 2018.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		N.A
N.A	N.A	

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Requirement for Group Manager		
Group Manager oversees and ensures implementation of nutrient recycling for the group.	No application of EFB and POME at WAGS Air Kuning.	
Criterion 4.3: Practices minimise and control erosion and degradation of soils.		
4.3.1 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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Where available individual members shall provide soil maps of their own farm to the Group Manager.	Soil map for WAGS Air Kuning was available during site audit. 3 type of soil across the area based on Department of Survey and Mapping Malaysia: 1. Manik-Sogomana 2. Telemong-Akob 3. Holyrood-Harimau	
Requirement for Group Manager		
Group Manager shall compile and maintain an overall soil map for the group.	Soil map for WAGS Air Kuning was available during site audit. 3 type of soil across the area based on Department of Survey and Mapping Malaysia: 1. Manik-Sogomana 2. Telemong-Akob 3. Holyrood-Harimau	
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).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Group Manager develops a policy and procedure for planting on slopes.	The WAGS management has established the procedure for planting on slopes.	
4.3.3 A road maintenance programme shall be in place.		

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Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
A road maintenance programme is maintained at Group level, this includes an approval process for any new roads being developed by individual members	The WAGS management has established the road maintenance programme.	
4.3.4 Subsidence of peat soils shall be minimised and monitored. A documented water and ground cover management programme shall be in place.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall record water levels at regular basis as specified within group SOP	No peat soil at WAGS Air Kuning.	
Requirement for Group Manager		
Group manage to have monitoring procedure for peat subsidence and water management for plantings on peat where relevant	No peat soil at WAGS Air Kuning.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Group Manager develops regular drainability assessment schedule for the group and implements this	No peat soil at WAGS Air Kuning.	
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).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
There is a group level policy and plan for managing fragile and problem soils occurring in the group. The Group Manager shall ensure implementation by individual group members.	No peat soil at WAGS Air Kuning.	

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Criterion / Indicator	Assessment Findings	Compliance
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
The responsibility of Group Manager	Training T05 Environmental Management was provided to the farmers to brief on the riparian and buffer zones.	
Group Manager shall have Map of all water ways and water bodies and have procedures as part of water management plan	The map was available during site audit at WAGS Air Kuning.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Minor Non Compliance
Where applicable individual members shall demonstrate maintaining and restoring riparian and other buffer zones as specified within group SOPs.	Based on the smallholder plot visit; WAGS ID (WAGS-1353) new (plot 1529), fertilizer is applied inside the riparian buffer. Red marking of the palm trunk was inside the riparian buffer and the said smallholder unable to explain the purpose of red marking. Thus, a minor NC was raised.	
Requirement for Group Manager		
The responsibility of Group Manager	The TSP C 3.2.1: Riparian Protection was established and brief about buffer zone, riparian buffer and natural river. Training T05 Environmental Management was provided to the farmers to brief on the riparian and buffer zones.	
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).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	

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Requirement for Group Manager		
N.A	N.A	
4.4.4 Mill water use per tonne of Fresh Fruit Bunches (FFB) (see Criterion 5.6) shall be monitored.		
Requirement for Individual Member with up to 50ha of plantation size		N.A
N.A	N.A	
Requirement for Group Manager		
N.A	N.A	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
The responsibility of Group Manager. Have a written procedure on IPM.	The management has established the written procedure on IPM and was brief accordingly to all farmers, T02 training.	
4.5.2 Training of those involved in IPM implementation shall be demonstrated.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
Individual members must attend training.	<p>The training records for members below were sighted:</p> <p>A) Existing Members</p> <ol style="list-style-type: none"> 1. WAGS 124 2. WAGS 63 3. WAGS 182 <p>B) New Members</p> <ol style="list-style-type: none"> 1. WAGS 1386 2. WAGS 189 3. WAGS 190 4. WAGS 1359 5. WAGS 1441 6. WAGS 1358 7. WAGS 1134 8. WAGS 1388 9. WAGS 1384 	
Requirement for Group Manager		
Group Manager to provide IPM training.	<p>The training on IPM was conducted accordingly. The training records for members below were sighted:</p> <p>A) Existing Members</p> <ol style="list-style-type: none"> 1. WAGS 124 2. WAGS 63 3. WAGS 182 <p>B) New Members</p> <ol style="list-style-type: none"> 1. WAGS 1386 2. WAGS 189 3. WAGS 190 4. WAGS 1359 5. WAGS 1441 6. WAGS 1358 7. WAGS 1134 8. WAGS 1388 9. WAGS 1384 	
<p>Criterion 4.6: Pesticides are used in ways that do not endanger health or the environment</p>		
<p>4.6.1 Justification of all pesticides used shall be demonstrated. The use of selective products that are specific to the target pest, weed or disease and which have minimal effect on non-target species shall be used where available.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall be able to demonstrate knowledge of pest & applicable chemical use.	During site vist, the members able do demonstrate knowledge on the handling of chemical accordingly.	

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
Group Manager to develop manual for pest & chemical use and relevant training.	The procedure on chemical handling especially for spraying activity was established and maintained accordingly by the WAGS management.	
4.6.2 Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per ha and number of applications) shall be provided.		
Requirement for Individual Member with up to 50ha of plantation size		
Individual members keep records of pesticides use.	The records of pesticides use by the members were kept in the individual file at site accordingly.	
Requirement for Group Manager		
Group Manager has oversight responsibility	The records of pesticides use were available at WAGS office Air Kuning. The records for members below were sighted: A) Existing Members 1. WAGS 124 2. WAGS 63 3. WAGS 182 B) New Members 1. WAGS 1386 2. WAGS 189 3. WAGS 190 4. WAGS 1359 5. WAGS 1441 6. WAGS 1358 7. WAGS 1134 8. WAGS 1388 9. WAGS 1384	
4.6.3 Any use of pesticides shall be minimised as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations identified in national Best Practice guidelines.		
Requirement for Individual Member with up to 50ha of plantation size		
N.A	N.A	Complied
Requirement for Group Manager		
Responsibility of the Group Manager.	The use of pesticides was used as per instruction by the WAGS management. It was observed during site visit, the implementation was consistent with the procedure established.	

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<p>4.6.4 Pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimised and eliminated as part of a plan, and shall only be used in exceptional circumstances.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Responsibility of the Group Manager.	The WAGS management always monitor the pesticide use by the members. So far, there was no use of pesticide Class 1A and 1B.	
<p>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).</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members ensure that anyone handling chemicals has attended relevant training.	The training for pesticides operation was conducted accordingly by the WAGS management.	
Requirement for Group Manager		
Group Manager has oversight responsibility	<p>The training for pesticides operation was conducted accordingly by the WAGS management. The records for members below were sighted:</p> <p>A) Existing Members</p> <ol style="list-style-type: none"> 1. WAGS 124 2. WAGS 63 3. WAGS 182 <p>B) New Members</p> <ol style="list-style-type: none"> 1. WAGS 1386 2. WAGS 189 3. WAGS 190 4. WAGS 1359 5. WAGS 1441 6. WAGS 1358 7. WAGS 1134 8. WAGS 1388 9. WAGS 1384 	
<p>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).</p>		

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Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members store pesticides consistent with Group SOPs.	Storage of all pesticides was found adequate at members own store.	
Requirement for Group Manager		
Group Manager has oversight responsibility	The WAGS management has conducted the training accordingly to the members on how to handle the chemical including the storage of the chemical. The records of training for members below were sighted: A) Existing Members 1. WAGS 124 2. WAGS 63 3. WAGS 182 B) New Members 1. WAGS 1386 2. WAGS 189 3. WAGS 190 4. WAGS 1359 5. WAGS 1441 6. WAGS 1358 7. WAGS 1134 8. WAGS 1388 9. WAGS 1384	
4.6.7 Application of pesticides shall be by proven methods that minimise risk and impacts.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Responsibility of the Group Manager.	The WAGS management has established the procedure related to the application of pesticide.	
4.6.8 Pesticides shall be applied aurally 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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		

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Responsibility of the Group Manager.	No aerial spray was conducted at WAGS Air Kuning.	
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).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Responsibility of the Group Manager.	The training was conducted according for the members as follow: A) Existing Members 1. WAGS 124 2. WAGS 63 3. WAGS 182 B) New Members 1. WAGS 1386 2. WAGS 189 3. WAGS 190 4. WAGS 1359 5. WAGS 1441 6. WAGS 1358 7. WAGS 1134 8. WAGS 1388 9. WAGS 1384	
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).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members must dispose of waste materials according to group SOPs.	The waste material was dispose accordingly as per SOP established by the WAGS management.	
Requirement for Group Manager		

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Group Manager has oversight responsibility	The waste material was disposed accordingly as per SOP established by the WAGS management. Fortnightly catch-up meeting via Trello between group manager in HQ and site personnel will discuss on operational issues and other related sustainability matters. In addition, frequent field visit by site personnel will ensure consistent implementation on field practices and waste management.	
4.6.11 Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated.		
Requirement for Individual Member with up to 50ha of plantation size		MAJOR
N.A	N.A	
Requirement for Group Manager		
Group Managers to monitor occurrence of illnesses and health conditions of members and their workers that are handling agrochemicals, to identify needs for medical check-up.	The monitoring for illness was monitored accordingly by the management. So far, there was no case of illness by the members.	
4.6.12 No work with pesticides shall be undertaken by pregnant or breast-feeding women.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members ensure no pregnant or breastfeeding women are handling pesticides.	As per WAGS management, the spraying activity was done by the male sprayers. During interview with the members, it had explained that the spraying activity was done by the male workers.	
Requirement for Group Manager		
Group Manager has oversight responsibility.	As per WAGS management, the spraying activity was done by the male sprayers. During interview with the members, it had explained that the spraying activity was done by the male workers.	
Criterion 4.7:		
An occupational health and safety plan is documented, effectively communicated and implemented. The health and safety plan shall cover the following:		
4.7.1 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.		

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Requirement for Individual Member with up to 50ha of plantation size		Complied
Members shall provide input to the development of the OHS policy and management plan	TJC Sdn Bhd has established the OHS policy which was signed by the Managing Director. The policy was displayed on the notice board.	
Requirement for Group Manager		
Group Manager shall conduct a risk assessment in collaboration with members.	The risk assessment was conducted accordingly and available at site office for verification.	
<p>4.7.2 All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Member shall collaborate with Group Manager to ensure dangers on farm are identified	<p>TJC was conducted the training related to the social, safety & health and farm management including environmental issue. The training was last done on 13/2/18 which was trained by WAGS Project coordinator. 21 workers was attended the training. Sighted the attendance record of training :</p> <ol style="list-style-type: none"> 1. Whysky 2. Muhammad Faizin 3. Fitrihadi 4. Maselnus 5. Nasri 	
Requirement for Group Manager		
Based on the identified risks, an Occupational Health and Safety policy and/or plan shall be documented and implemented, including the need for medical insurance for workers appropriate to scale.	<p>WAGS Group policy (Version 01) was established which dated 4/10/2016 covering the occupational, safety and health.</p> <p>The Work Plan dated For 2018 was established to cover the occupational safety and health issues.</p>	
<p>4.7.3 All workers involved in the operation shall be adequately trained in safe working practices (see Criterion 4.8). Adequate and appropriate protective equipment shall be available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, harvesting and, if it is used, burning.</p>		
Requirement for Individual Member with up to 50ha of plantation size		MAJOR

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Criterion / Indicator	Assessment Findings	Compliance
Members shall attend trainings related to OHS.	<p>TJC was conducted the training related to the social, safety & health and farm management including environmental issue. The training was last done on 13/2/18 which was trained by WAGS Project coordinator. 21 workers was attended the training. Sighted the attendance record of training :</p> <ol style="list-style-type: none"> 1. Whysky 2. Muhammad Faizin 3. Fitrihadi 4. Maselnus 5. Nasri 	
Members shall implement the management plan and at least ensure the provision of PPE and medical check-ups for high risk workers. In the case of hazardous chemical use, a description of the relevant chemicals should be brought to the field.	<p>TJC Sdn Bhd has provided the PPE to the harvesters accordingly. Last was distributed on 18/4/16. Sample of PPE distribution was sighted for harvester (Safety helmet, shoes and hand glove):</p> <ol style="list-style-type: none"> 1. Abdul Malik 2. Ihwanuddin 3. Bahri 4. Fitrihadi 	
Requirement for Group Manager		
N.A	N.A	
<p>4.7.4 The responsible person/persons shall be identified. There shall be records of regular meetings between the responsible person/s and workers. Concerns of all parties about health, safety and welfare shall be discussed at these meetings, and any issues raised shall be recorded.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Appropriate to scale, consider forming an Occupational Health Committee.	Not applicable as per OSH Act.	
Group Manager reviews the manual periodically.	WAGS Management System was established and reviewed on 15/9/2016.	
<p>4.7.5 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.</p>		

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		MINOR
Members shall report accidents on the farm to the Group Manager.	TJC - Emergency Response Plan was established to identify emergency for all the activities done by TJC.	
Each member ensures that there is a first aid kit available at the work site when there is operation going on in the field.	The basic first aid kit was available during site visit.	
Requirement for Group Manager		
Group Managers shall develop OHS / First Aid manual and distribute to all individual members.	The Work Plan dated For 2018 was established to cover the occupational safety and health issues. Related OHS related matters including first aid has been distributed to all smallholder. Verified on site during farm visit, first aid kit is available at point of use.	
Group Manager shall hold regular training based on Group OHS / First Aid manual for members and/or workers.	TJC was conducted the training related to the social, safety & health and farm management including environmental issue. The training was last done on 13/2/18 which was trained by WAGS Project coordinator. 21 workers was attended the training. Sighted the attendance record of training : 1. Whysky 2. Muhammad Faizin 3. Fitrihadi 4. Maselnus 5. Nasri	
Group Manager shall record members' accidents on the farm.	There is no case of accident happened to the TJC's worker while doing their work at WAGS members' farm.	
4.7.6 All workers shall be provided with medical care, and covered by accident insurance.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
Appropriate to scale, workers shall be provided with medical care and covered by medical insurance	TJC Sdn Bhd was insured their workers for foreign worker compensation scheme insurance. Sighted the insurance policy by RHB Insurance Berhad as follow: 1. Abdul Malik, AT934680 (Policy Insurance: MG125747-valid until 1/1/19) 2. Bahri, AT905320 (Policy Insurance: MG120553, valid until; 30/11/18) 3. Fitrihadi, B2593574 (Policy Insurance: MG129199-valid until 22/1/19)	
If accidents occur involving casual workers, members shall be expected to provide medical care for the workers involved	No case of accident reported as todote.	
Requirement for Group Manager		
N.A	N.A	
4.7.7 Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics		
Requirement for Individual Member with up to 50ha of plantation size		N.A
N.A	N.A	
Requirement for Group Manager		
N.A	N.A	
Criterion 4.8: All staff, workers, smallholders and contract workers are appropriately trained.		
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
<p>Anyone working on the farm shall be briefed on best practices relevant to the job they are doing. Members and workers shall participate in the trainings where appropriate. Members inform the Group Manager on participation of workers in training</p>	<p>TJC was conducted the training related to the social, safety & health and farm management including environmental issue. The training was last done on 13/2/18 which was trained by WAGS Project coordinator. 21 workers was attended the training. Sighted the attendance record of training :</p> <ol style="list-style-type: none"> 1. Whisky 2. Muhammad Faizin 3. Fitrihadi 4. Maselnus 5. Nasri 	
Requirement for Group Manager		
Group Manager shall ensure that all members are trained on the RSPO P&C and records of such training shall be kept	All members were trained by the WAGS management accordingly.	
Appropriate to scale, Group Manager shall prepare a training plan.	Training plan was established. All members were trained by the WAGS management accordingly.	
4.8.2 Records of training for each employee shall be maintained.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Appropriate to scale, training records shall be kept.	All training records were available at WAGS Air Kuning site office for verification.	

Criterion / Indicator	Assessment Findings	Compliance
Principle 5: Environmental responsibility and conservation of natural resources and biodiversity		
Criterion 5.1:		
Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.		
5.1.1 An environmental impact assessment (EIA) shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
Individual members shall demonstrate an understanding of the environmental risks of their operations	All the members have attended T05 Training which cover all the environmental impacts identified in the operations in the oil palm plantations. Interviewed the workers and they understand the environmental risk such as spillage of chemical and deforestation	
Requirement for Group Manager		
Group Managers shall identify all activities that have an impact on the environment.	SEIA and HCV of the WAGS Air Kuning which completed on 9 December 2015 has identified the 15 significant potential environmental impacts deriving from operational activities land clearing, land development and road construction at palm oil plantations.	
<p>5.1.2 Where the identification of impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a comprehensive management plan. The management plan shall identify the responsible person/persons.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall demonstrate an understanding of the mitigation plan to reduce the environmental impacts.	During site visit, smallholders well aware of the environmental impacts and the mitigation plan. For example, the empty chemical containers must be handled by triple rinse and punch after used. Mitigation plan is developed and documented work plan for 2018.	
Individual members shall contribute to the reduction of environmental impacts	T05 Training – Environmental Management Training has been conducted with members. Panduan Pengurusan Kebun Kelapa Sawit Mampan distributed to every Group Member. During site visit, interviewed the smallholder and confirmed they know how to triple rinse and punch the chemical containers after used.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
Group Managers shall develop a mitigation plan to reduce environmental risks and review the plan every two years of mitigation plan.	Recommendation for each identified impacts were documented in the SEIA and HCV of the WAGS Air Kuning which completed on 9 December 2015. Mitigation plan is developed and documented work plan 2018 and group management plan dated June 2017.	
<p>5.1.3 This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Minor
N.A	N.A	
Requirement for Group Manager		
Group Managers shall organise training for members on environmental risks and mitigation measures.	<p>All the members have attended T05 Training which cover all the environmental impacts identified in the operations in the oil palm plantations.</p> <p>While the compulsory training which covered all the elements including environmental risks and mitigation measure has provided to all members (latest training dated 4 December 2016). Other relevant training on chemical handling and waste management is carried out under T04 (IPM and use of chemical) which was done on 10/2/18.</p> <p>Training records for each smallholder documented in WAGS-004 training records.</p>	
Group Managers shall monitor implementation	Monitoring for the implementation is based on Work Plan for 2018.	
<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 operations managed to best ensure that they are maintained and/or enhanced.</p>		
<p>5.2.1 Information shall be collated in a High Conservation Value (HCV) assessment that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors).</p>		

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall demonstrate basic understanding of HCVs and RTEs and the need to protect them	Display on local RTEs is available during onsite audit. T05 Training – Environmental Management Training has been conducted with members. Based on interview with the smallholder, they were aware on the list of RTE species which aslo provided in the smallholder handbook for reference.	
Individual members shall participate in the HCV assessment.	As per HCV findings of SEIA and HCV of the WAGS Air Kuning which completed on 9 December 2015, the methodology which incorporated site observation and consultation with local communities. The local villager, workers from estates and dealers were actively participated in the HCV assessment.	
Requirement for Group Manager		
HCV assessments shall be conducted by an independent party, or where applicable, an internal assessment can be facilitated by the Group Manager (refer to generic P&Cs or NIs where available; see guidance).	SEIA and HCV of the WAGS Air Kuning conducted by the Wild Asia assessment team. Based on the HCV findings of SEIA and HCV of the WAGS Air Kuning which completed on 9 December 2015, the HCV being identified were absent and potential in the area.	
5.2.2 Where rare, threatened or endangered (RTE) species, or HCVs, are present or are affected by plantation or mill operations, appropriate measures that are expected to maintain and/or enhance them shall be implemented through a management plan.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall check with the Group Manager status of HCVs and RTEs of their farm based on the HCV assessment report	List of HCVS and RTEs findings display on the notice board is available during onsite audit. Based on interview with the smallholder, they were aware on the list of RTE species which aslo provided in the smallholder handbook for reference.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
Group Managers shall develop action plans and SOPs (e.g. for RTE species, riparian areas) based on the HCV management and monitoring plan	The HCV management plan incorporated under work plan details dated January 2018 for such as highlights members adjacent to protected areas/natural waterways/potential HCVs including as part of the regular field checks to ensure compliance, i.e clear boundaries and no encroachments. Project Coordinator Meeting for 1 st Quarter 2018 on 8-15/1/18 has discussed on the work plan for 2018 which also incorporated the HCV and bio-diversity plan for improvement	
<p>5.2.3 There shall be a programme to regularly educate the workforce about the status of these RTE species, and appropriate disciplinary measures shall be instigated in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall make their workers aware of the status of RTE species and the applicable disciplinary measures.	The members are understand the ways of communication such as through meeting with field assistants, notice displayed on the notice board in Wild Asia office and Teik Joo Chan office and Oil Palm Management guideline distributed to each of the members	
Requirement for Group Manager		
Group Manager conducts training for their individual members and their workers about the status of HCV and RTE species and the applicable disciplinary measures	Training has been provided to the individual members about the status of HCV and RTE species and the applicable disciplinary measures under T02 for Guidance for Farm Management on SPO. The latest training was carried out on 2/4/18.	
<p>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. 		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall be involved in the implementation of the HCV management and monitoring plan (to maintain and/or enhance HCVs)	The responsibilities of group members is covered in T05 Environmental Management for Small Farms.	

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Requirement for Group Manager		
Group Managers shall implement a mechanism for individual members to report on threats to HCVs	Logbook with details of threats to HCV (including sightings of RTE) available at the site office.	
5.2.5 Where HCV set-asides with existing rights of local communities have been identified, there shall be evidence of a negotiated agreement that optimally safeguards both the HCVs and these rights.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall be aware of the rights of other local communities that are related to identified HCVs and RTEs	Most of the smallholders has their own land. Interviewed them and they well aware the rights of other local communities related to identified HCVs and RTEs.	
Requirement for Group Manager		
In cases where there is an overlap of local community rights and HCV areas, the Group Manager shall initiate the negotiation of an agreement that optimally safeguards both the HCVs and these rights	Up to date, there is no reporting in cases where there is an overlap of local community rights and HCV areas. All owner has the legal land title or authority letter.	
Criterion 5.3: Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.		
5.3.1 All waste products and sources of pollution shall be identified and documented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Appropriate to scale, the Group Manager shall ensure that there is a documented waste management and disposal plan is in place.	All the wastes such as domestic waste, schedule waste and solid waste with disposal/re-use method were identified in Waste & Pollution Sources Inventory which updated on 1 February 2018	
5.3.2 All chemicals and their containers shall be disposed of responsibly.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Members shall ensure that all chemical containers are properly handled and disposed.	<p>Interviewed the smallholder and confirmed that surplus chemical containers disposed of such that there is no risk of contamination of water sources or to human health. The disposal through the seller. These containers subsequently sent to authorised collectors by the sellers.</p> <p>Casual workers who work for the smallholders will collect it back and sent to recycler or recycle for field activities such as spraying.</p>	
Requirement for Group Manager		
The Group Manager shall ensure that all chemical containers are properly handled and disposed	<p>T05 Environmental Management for Small Farmers Training which incorporated the disposal method of waste and T04- Health and Safety training which described the methodology of triple rinsed has been provided to all the smallholders.</p> <p>Interviewed the smallholder and confirmed that surplus chemical containers disposed of such that there is no risk of contamination of water sources or to human health.</p>	
5.3.3 A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Appropriate to scale, members shall have a documented waste management and disposal plan.	The documented waste management and disposal plan available at the group level. All the wastes such as domestic waste, schedule waste and solid waste with disposal/re-use method were identified in Waste & Pollution Sources Inventory which updated on 1 February 2018	
Members shall communicate to all workers the waste management and disposal plan.	T02- Guidance for farm management of Sustainable Palm Oil and T05 Environmental Management for Small Farmers Training which incorporated the disposal method of waste has been provided to all the smallholders including the workers. Training record documented WAGS-004- Training Records.	

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<p>Members shall ensure that the workers are trained on waste management and disposal. Records of such training shall be kept.</p>	<p>T02- Guidance for farm management of Sustainable Palm Oil and TO5 Environmental Management for Small Farmers Training which incorporated the disposal method of waste has been provided to all the smallholders including the workers. Training record documented WAGS-004- Training Records.</p> <p>Latest training provided to the farmer on 10 February 2018 were verified.</p>	
<p>Requirement for Group Manager</p>		
<p>Appropriate to scale, the Group Manager shall ensure that there is a documented waste management and disposal plan is in place.</p>	<p>The documented waste management and disposal plan available at the group level. All the wastes such as domestic waste, schedule waste and solid waste with disposal/re-use method were identified in Waste & Pollution Sources Inventory which updated on 1 February 2018</p>	
<p>Group Manager shall communicate to all members on the waste management and disposal plan.</p>	<p>T02- Guidance for farm management of Sustainable Palm Oil and TO5 Environmental Management for Small Farmers Training which incorporated the disposal method of waste has been provided to all the smallholders including the workers. Training record documented WAGS-004- Training Records.</p>	
<p>The Group Manager shall ensure that the members are trained on waste management and disposal. Records of such training shall be kept.</p>	<p>T02- Guidance for farm management of Sustainable Palm Oil and TO5 Environmental Management for Small Farmers Training which incorporated the disposal method of waste has been provided to all the smallholders including the workers. Training record documented WAGS-004- Training Records.</p> <p>Latest training provided to the farmer on 10 February 2018 were verified.</p>	
<p>Criterion 5.4: Efficiency of fossil fuel use and the use of renewable energy is optimised.</p>		
<p>5.4.1 A plan for improving efficiency of the use of fossil fuels and to optimise renewable energy shall be in place and monitored.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>	<p>Complied</p>	

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Appropriate to scale, members shall implement the actions as outlined in the Group’s plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.	Smallholders did not monitor the usage of fossil fuel which mainly for the transporation of the FFB. Farmer will engage casual workers for the activities in the farm such as spraying and harvesting	
Requirement for Group Manager		
Appropriate to scale, Group Manager shall have a plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.	Under work plan for 2018 following plan to mitigate polluting activities, i.e: a. Conduct periodic mapping with meetings/participatory mapping with each site to understand sources of GHG emmisions & fossil fuel use b. Update register of all polluting activities and GHG emission sources at site	
<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 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>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall provide evidence that they understand the No Burning Policy of the group.	Training has been provided. T05 Environmental Management for Small Farms and T02 Guidance to Farm Management has been provided to group members, covering the criteria of the No Burning Policy. Booklet- Panduan Pengurusan Kebun Kelapa Sawit Mampan distributed to every Group Member.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall:</p> <ul style="list-style-type: none"> • Provide evidence of a no use of fire policy in group SOPs. • Demonstrate that individual farms have been visited for this requirement. • Explain how all the above is socialised to individual members of the Group 	<p>Group Policy Statement dated 21 September 2016; clause 14 ENVIRONMENTAL IMPACT IS MINIMIZED stated the use fire for new developments should be avoided. Besides, the fire circular dated 15th September 2014 which described use of violation of the WAGS code of conducts and major non-compliance under RSPO with exception of serious pest and disease issues.</p> <p>In the baseline assessment for each farms, method (of developments) will be recorded. It documented in the farm registration sheet. In HCV assessment, there is no burning of waste spotted.</p> <p>Besides, guidance book which distributing to all farmers as well as the information display on the notice board also emphasize on the no use of fire policy.</p>	
<p>5.5.2 Where fire has been used for preparing land for replanting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Individual members shall provide proposals for use of fire to the Group Manager for assessment and approval prior to burning.</p>	<p>Based on interview with the sampled smallholders, they were aware on the no burning policy and it was written in the sustainable handbook provided to them. No proposal made to the group manager for approval prior to burning.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall:</p> <ul style="list-style-type: none"> • Demonstrate that any use of fire by any individual member has been assessed to be justified under the ASEAN guidelines ASEAN Policy on Zero Burning' 2003. • Provide written approval from the relevant environment authority on the use of fire in certain situations as prescribed by the ASEAN guidelines. 	<p>No proposal or approval has been submitted to Group Manager for using fire to burn. No evidence of fire use in phyto sanitation activities as well as land preparation by smallholder.</p>	

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Criterion / Indicator	Assessment Findings	Compliance
Criterion 5.6: Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.		
5.6.1 An assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent (see Criterion 4.4).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
List significant pollutants and identify sources of emissions.	SEIA – HCV Report lists all activities with environmental impacts (pollutants, emissions etc) and assessment results show the likelihood and risk of each. Options to improve on each activity rated as Moderate and Poor are provided as recommendations.	
5.6.2 Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimise them implemented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Identify options to reduce pollutants and emissions and consider whether the group can implement any of these	SEIA – HCV Report lists all activities with environmental impacts (pollutants, emissions etc) and assessment results show the likelihood and risk of each. Options to improve on each activity rated as Moderate and Poor are provided as recommendations.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
Based on the above, where possible, mitigation measures shall be developed and implemented. Socialize the information to the group members.	Mitigation plan for pollution prevention is documented and combined under Group Management Plan updated July 2017 and Work Plan for 2018.	

Criterion / Indicator	Assessment Findings	Compliance
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall demonstrate an understanding of the social risks of their operations.	The sampled smallholder members able to demonstrate some understanding of the social risks of their operations as per training provided by the Group Managers.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Group Managers shall identify all activities that have social impacts with the participation of affected parties.</p>	<p>Social impact Assessment conducted on 9/12/2015. The social risk have been identified:</p> <ul style="list-style-type: none"> a. Social Management System b. Land Acquisition c. Traceability & Fair Trade d. OSH e. Work Conditions f. Living Conditions g. Women & Children <p>The social impacts with the participation of internal and external stakeholders such as management, farmers and workers. None of the government bodies such as DOSH and DOE involve in the stakeholders meetings. Sighted the latest quarterly meeting with stakeholders conducted by Implementation Team Meeting on 29/1/2018 between Cargill-TSOMAK-WA-Dealer at TSOMAK. Meeting minutes reported as discussion on WAGS-Perak Air Kuning: Oil Palm Sustainability Support Programme.</p>	
<p>6.1.2 There shall be evidence that the assessment has been done with the participation of affected parties.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>N.A</p>	<p>N.A</p>	
<p>Requirement for Group Manager</p>		
<p>Group Managers shall identify all activities that have social impacts with the participation of affected parties</p>	<p>All activities that have social impacts were identified through Social Impact Assessment in report dated 9/12/2015 which was reviewed in consultative with affected parties dated on 7-8/10/2017. Final Report Social & Environmental Impact Assessment (SEIA); Project ref. # P159; Filename: Perak Air Kuning_SEIA Report_Final; Date: Oct 2014.</p>	
<p>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.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance
Individual members shall demonstrate an understanding of the mitigation plan to reduce the social impacts	The sampled smallholder members able to demonstrate an understanding of the mitigation plan to reduce social impacts through interview and assessment conducted at their respective sites.	
Requirement for Group Manager		
Group Managers shall develop a mitigation plan (with clear timetable) to reduce social risks and review the plan every two years in consultation with the affected parties.	<p>Group Managers developed the mitigation plan as P159 WAGS Perak – SIA identified Social Risk. Plan established consist of following areas:</p> <ul style="list-style-type: none"> • SR0 Social Management System (SMS) • SR1 Land acquisition • SR2 Traceability & Fair Trade • SR3 OSH • SR4 Work conditions • SR5 Living conditions • SR6 Women & Children <p>Social Impact Assessment dated 9/12/2015 which was review in consultative with affected parties dated on 7-8/10/2017.</p>	
Group Managers shall organise training for members on social risks and mitigation measures	Training was organize as part of the mitigation plan that included in the RSU Activity – P159 Work Plan Detail which includes SR0-SR6 as well as close off recommendations.	
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Where applicable, individual members shall help to address negative social impacts in a consultative manner.	Sampled individual members discussed on the negative social impacts with Group Manager through consultative review of the SIA during meeting.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
Group Managers shall monitor implementation of mitigation plan.	Fortnightly catch-up of implementation of work plan & mitigation plan in (Program Management Unit (PMU)- Technical Support Unit (TSU)-Regional Project Management Unit (RPMU)- Regional Technical Support Unit (RTSU)- Regional Support Unit (RSU) for Air Kuning latest done 8/3/2017.	
6.1.5 Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme).		
Requirement for Individual Member with up to 50ha of plantation size		N.A
N.A	N.A	
Requirement for Group Manager		
N.A	N.A	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
The individual member shall demonstrate understanding of the group's consultation and communication procedures	Sampled individual members able to demonstrate understanding of the group's consultation and communication procedures which was referred to in the RSPO handbook provided by Group Manager.	
Requirement for Group Manager		
The Group Manager shall develop a documented procedure for consultation and communication with local communities and other affected or interested parties.	The documented procedure established as D1.2.1: Stakeholder Prioritization & Consultation Procedures dated 15/9/2016 to ensure effective stakeholder consultation and communication.	

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Criterion / Indicator	Assessment Findings	Compliance
The Group Manager shall ensure that individual group members are informed of the consultation and communication procedure.	Sampled individual members were informed of group’s consultation and communication procedure which was referred to in the RSPO handbook provided by Group Manager.	
6.2.2 A management official responsible for these issues shall be nominated.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
The Group Manager shall nominate an official responsible for these issues	The Group Manager nominated their site personnel from the Regional Support Unit (RSU) team whom officially responsible for overall communication issues with smallholders. The nominated official name was displayed on notice board of their site P159-WAGS Perak office.	
6.2.3 A list of stakeholders, records of all communication, including confirmation of receipt and that efforts are made to ensure understanding by affected parties, and records of actions taken in response to input from stakeholders, shall be maintained.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
The Group Manager shall make a list of stakeholders or construct a “stakeholder register” and keep records of all communication and actions taken.	Document- D1.3.1 Stakeholders register which recorded all the list of stakeholders such as dealerships, MPOB and etc. Verified one of the email communication to mail manager dated 2 Sep 2016. At site, logbook for records of all communications. Stakeholder communication/ logbook has been implemented. Communication with the government authorities and the project partner are through email and has been documented.	

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Criterion / Indicator	Assessment Findings	Compliance
<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>		
<p>6.3.1 The system, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistleblowers, where requested.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Appropriate to scale, the member shall have a documented grievance mechanism in place	Sampled smallholders being assessed and interviewed confirmed that no any complaints or grievances received from any stakeholders. They also understand that the Group Manager has their specific complaints and grievances procedures and would prefer to communicate to the Group Manager for proper recording mechanism in case of any complaints of grievances.	
The workers shall understand the process.	Except for TJC, most of the smallholders managed their farm on their own without employing any workers. However, some sample workers of the smallholders head (TJC) being interviewed confirmed that they understand the process.	
Requirement for Group Manager		
The Group Manager shall have a documented grievance mechanism in place	The Group Manger have a documented procedure as grievance mechanism i.e. Complaints, Grievances and Action Requests (FCGA) dated 15/9/2016 established for handling complaints through appropriate informal methods prior to the use of the formal processes. In clause 3.4, it also stated to lodge a complaint anonymously.	

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Criterion / Indicator	Assessment Findings	Compliance
The Group Manager shall ensure members are familiar with the grievance procedure	The Group Manger ensured members are familiar with the grievance procedure through briefing sessions and giving individual's WAGS agreement and the handbook of <i>Skim Kumpulan Pekebun Kelapa Sawit (WAGS) – Panduan Pengurusan Kelapa Sawit Mampan</i> (Guidance for Farm management of Sustainable Palm Oil), which was given to all members its copies.	
Where necessary, the Group Manager shall support members to put in place documented grievance mechanism	Sampled smallholders being assessed and interviewed confirmed that no any complaints or grievances received from any stakeholders. They also understand that the Group Manager has their specific complaints and grievances procedures and would prefer to communicate to the Group Manager for proper recording mechanism in case of any complaints of grievances.	
6.3.2 Documentation of both the process by which a dispute was resolved and the outcome shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Appropriate to scale, the procedure shall provide documentation of both how the process of the dispute was resolved and the outcome	Sampled smallholders being assessed and interviewed confirmed that neither they received complaints and grievances nor disputes cases of their land.	
Requirement for Group Manager		
The procedure shall provide documentation of both how the process of the dispute was resolved and the outcome.	The Procedure available i.e. Managing Feedback, Complaints, Grievances and Action Requests (FCGA) dated 15/9/2016; clause 5 described all the records must be documented and it is important that a paper trail to understand how issues were resolved. Up to date, no dispute has been recorded.	
<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>		

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Criterion / Indicator	Assessment Findings	Compliance
<p>6.4.1 A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be in place.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
<p>The Group Manager develops a procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation and a procedure for calculating and distributing fair compensation.</p>	<p>The Procedure available i.e. Identification of Customary Land Rights & Compensation Procedures dated 15/9/2016 is to identify a process to address any form of land claim that may give rise to a dispute in the future.</p>	
<p>6.4.2 A procedure for calculating and distributing fair compensation (monetary or otherwise) shall be established and implemented, monitored and evaluated in a participatory way, and corrective actions taken as a result of this evaluation. This procedure shall take into account: gender differences in the power to claim rights, ownership and access to land; differences of transmigrants and long-established communities; and differences in ethnic groups' proof of legal versus communal ownership of land.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
<p>The Group Manager develops a procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation and a procedure for calculating and distributing fair compensation.</p>	<p>The procedure was developed i.e. 2.3.2.2- Guidelines on Managing Legal Land Conflicts dated 15/9/2016- clause 3.5 described the legal compensation scheme shall in accordance with Land and Survey Department.</p>	
<p>6.4.3 The process and outcome of any negotiated agreements and compensation claims shall be documented, with evidence of the participation of affected parties, and made publicly available.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
<p>Individual group members formally request assistance by the Group Manager in this process to assure compliance with the procedures</p>	<p>Up to date, no any issue related to compensation has been reported.</p>	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
The Group Manager documents the process and outcome of any negotiated agreements and compensation claims with evidence of the participation of affected parties, and makes this publicly available.	Up to date, no legal, customary or user rights issue reported.	
The Group Manager assists individual group members in these situations upon request by the member.	Up to date, no legal, customary or user rights issue reported.	
Criterion 6.5: Pay and conditions for employees and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.		
6.5.1 Documentation of pay and conditions shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Appropriate to scale, the members shall keep documentation of pay and conditions.	The sampled members kept the documentation of pay and conditions as per sighted sample payslip for following WAGS member smallholder ID # TJC-53-SML (WAGS agreement date: 18/3/2014): A) Harvester: 1) Workers ID # AT 120153 2) Workers ID # AT 119996 3) Workers ID # A 4319813 B) FFB Loading: 1) Workers ID # AR 709341 2) Workers ID # AT 109040 C) FFB Ramp: 1) Workers ID # AT 639637 2) Workers ID # AT 117898	
The pay shall meet at least the legal or industry standards minimum wage.	Based on records of above pay slips and interview with the sample workers, the pay confirmed to meet the Malaysia National Minimum Wage as per Minimum Wage order. Sample salary are as following: <ul style="list-style-type: none"> • Harvester = RM18-RM25 per tonne • Loader = RM60/day 	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
The Group Manager shall be aware of the legal or industry standards minimum wage.	The Group Manager aware of the legal or industry standards minimum wage as per latest Malaysia National Minimum Wage Order 2016.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
<p>If individual members employ workers or sub-contractors:</p> <ul style="list-style-type: none"> • employment contracts and conditions (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be explained in the language they understand 	<p>Documented contract not applicable for almost all smallholders as all of the workers are considered as casual workers or they are managed the farm by the member on their own. However, for TJC, few sample workers contracts sighted available:</p> <ol style="list-style-type: none"> 1) Perjanjian Pekerjaan Sektor Formal # 915/KONS/F/X11/2017; Workers passport # AS845170; date: 14/12/2017; Work location: Teoh Yong Soong; Monthly rated: RM 1500 per month + RM 50 meal allowance 2) Perjanjian Pekerjaan Sektor Formal # 406/KONS/F/X11/2017; Workers passport # Y033587; date: 14/12/2017; Work location: Teoh Yong Soong; Monthly rated: RM 1500 per month + RM 50 meal allowance 3) Perjanjian Pekerjaan Sektor Formal # 405/KONS/F/X11/2017; Workers passport # A6734072; date: 14/12/2017; Work location: Teoh Yong Soong; Monthly rated: RM 1500 per month + RM 50 meal allowance 4) Perjanjian Pekerjaan Sektor Formal # 817/KONS/F/1/2017; Workers passport # A6577255; date: 18/1/2018; Work location: Teoh Yong Soong; Monthly rated: RM 1500 per month + RM 50 meal allowance 5) Perjanjian Pekerjaan Sektor Formal # 796/KONS/F/1/2017; Workers passport # A6851934; date: 18/1/2018; Work location: Teoh Yong Soong; Monthly rated: RM 1500 per month + RM 50 meal allowance 	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Appropriate to scale, the Group Manager shall ensure that members comply with labour laws and conditions (6.5.2, 6.5.3 & 6.5.4)</p>	<p>The Group Manager communicate the relevant law and regulations through:</p> <ul style="list-style-type: none"> • T02 Training (for every members) • Display at the notice board • List of legal register <p>Besides, the group manager ensure that members comply with the laws through:</p> <ul style="list-style-type: none"> • Regular site visit and interview with farmers <p>Quarterly update of monitoring sheets for existing members on total number of workers employed.</p>	
<p>6.5.3 Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>appropriate to scale, members 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>Not applicable as all of the workers are considered as casual workers. They were staying at their own houses. For TJC workers, appropriate to scale amenities were available according to local standards.</p>	
<p>Requirement for Group Manager</p>		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Appropriate to scale, the Group Manager shall ensure that members comply with labour laws and conditions (6.5.2, 6.5.3 & 6.5.4)</p>	<p>Only TJC requires providing housing facilities to its workers. The other farmers employed casual worker and outsource to a third party contractor.</p> <p>The Group Manager communicate the relevant law and regulations through:</p> <ul style="list-style-type: none"> • T02 Training (for every members)- Guidance for Farm Management of SPO • Display at the notice board • List of legal register <p>Besides, the group manager ensure that members comply with the laws through:</p> <ul style="list-style-type: none"> • Regular site visit and interview with farmers <p>Quarterly update of monitoring sheets for existing members on total number of workers employed.</p>	
<p>6.5.4 Growers and millers shall make demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>appropriate to scale, members shall make efforts to ensure access to food to workers, including providing allotment (space) for growing food</p>	<p>Not applicable as all of the workers are considered as casual workers.</p>	
<p>Requirement for Group Manager</p>		
<p>Appropriate to scale, the Group Manager shall ensure that members comply with labour laws and conditions (6.5.2, 6.5.3 & 6.5.4)</p>	<p>T07 Social Training which incorporated information such as housing, minimum wages, welfare and etc. The latest of the social training was conducted to the members through Guidance for Farm management of Sustainable Palm Oil training dated 13/10/2017.</p> <p>During SEIA which conducted in 9/12/2015, it also highlighted the other facilities such as clinic is available at the nearest town (less than 10min).</p>	

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Criterion / Indicator	Assessment Findings	Compliance
<p>Criterion 6.6: The employer respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.</p>		
<p>6.6.1 A published statement in local languages recognising freedom of association shall be available.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
If individual members employ workers: <ul style="list-style-type: none"> • A published statement shall be available in local languages recognising freedom of association (to form and join trade unions) 	Except for TJC, most of the farmers managed their land independently. Therefore, the policy does not directly applicable to them. However, Group Manager has conducted training on the policy during induction i.e. Guidance for Farm management of Sustainable Palm Oil, latest dated 13/10/2017.	
Requirement for Group Manager		
The Group Manager shall be aware of the statement, if applicable	The Group Manager aware of the statement as per WAGS Group Policy; Ver. # 1; Last updated: 4/10/2016; Filename: 2.13.1 Group Policy Statement_BM_v2_03102016. Policy stated on the following: <ul style="list-style-type: none"> • Respect for freedom of association etc. 	
<p>6.6.2 Minutes of meetings with main trade unions or workers representatives shall be documented.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Minutes of the meeting with main trade unions or workers' representatives shall be documented and kept	Except for TJC, most of the farmers managed their land independently and they recruited casual workers. Therefore, they do not form or join any association.	
Requirement for Group Manager		
N.A	N.A	
<p>Criterion 6.7: Children are not employed or exploited.</p>		

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Criterion / Indicator	Assessment Findings	Compliance
6.7.1 There shall be documentary evidence that minimum age requirements are met.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Member shall be aware of the child labour policy and implement it.	All sampled smallholder members aware of the child labour policy and fully implement it. No child labour found during sample site visit.	
Member shall keep records of their employees including age, including copies of birth certificate/national identification card/passport	Except for TJC, most of the farmers managed their land independently and they recruited casual workers who were not under aged.	
Requirement for Group Manager		
Write a policy on Child Labour and keep records of documented evidence of awareness raising on child labour	The Group Manager aware of the statement as per WAGS Group Policy; Ver. # 1; Last updated: 4/10/2016; Filename: 2.13.1 Group Policy Statement_BM_v2_03102016. Policy stated on the following: <ul style="list-style-type: none"> • No child labour • Etc. 	
The policy shall be clear that children can only work under supervision, are family members and not doing hazardous work	Details of policy stated children can only work under supervision, are family members and not doing hazardous work.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Members shall be aware of the equal opportunities policies and implement it	Except for TJC, most of the farmers managed their land independently. Therefore, the policy does not directly applicable to them. However, Group Manager has conducted training on the policy during induction training to the members. Last training was conducted on October 2017.	

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
Write a policy on equal opportunities and keep records of documented evidence of awareness raising on it	Policy written as WAGS Group Policy dated 21/9/2016; version 1; clause 5 stated that members shall practice equal opportunities. The latest of the social training conducted to the members on October 2017.	
6.8.2 Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated against.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Members shall be aware of the equal opportunities policies and implement it	Except for TJC, most of the farmers managed their land independently. They recruited casual workers which mean they hired anyone that is free to work for them.	
Requirement for Group Manager		
N.A	N.A	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Members shall be aware of the equal opportunities policies and implement it	Except for TJC, most of the farmers managed their land independently. They hired the casual workers based on their availability and skills.	
Requirement for Group Manager		
N.A	N.A	
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.		
Requirement for Individual Member with up to 50ha of plantation size		

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Criterion / Indicator	Assessment Findings	Compliance
Appropriate to scale, members shall develop the policy/policies and procedure to prevent sexual, all other forms of harassment, violence and protection of reproductive rights	Except for TJC, most of the farmers managed their land independently. Therefore, the policy does not directly applicable to them. However, Group Manager has conducted training on the policy during induction training to the members. Last training was conducted on October 2017.	Complied
Requirement for Group Manager		
Group Manager shall develop the Policy/Polices and procedure to prevent sexual, and all other forms of harassment, violence and protection of reproductive rights	Developed as WAGS Group Policy dated 21/9/2016; version 1; clause 7 & 9 stated respect women reproductive rights and harassment and abuse are not tolerated respectively. The latest of the social training conducted to the members on October 2017.	
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Members shall make sure that all staff/workers are aware of the policies and procedures to prevent sexual, and all other forms of harassment and violence as well as of the policy of the protection of reproductive rights	Except for TJC, most of the farmers managed their land independently. Therefore, the policy does not directly applicable to them. However, Group Manager has conducted training on the policy during induction training to the members. Last training was conducted on October 2017.	
Requirement for Group Manager		
The Group Manager shall make sure that all members are aware of the policies and procedures to prevent sexual, and all other forms of harassment, violence and protection of reproductive rights	<p>The established WAGS Group Policy; Ver. # 1; Last updated: 4/10/2016; Filename: 2.13.1 Group Policy Statement_BM_v2_03102016. Policy stated on the following:</p> <ul style="list-style-type: none"> • Respect women reproductive rights • Zero tolerance towards sexual harassment and violence <p>Awareness training conducted on October 2017.</p>	

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Criterion / Indicator	Assessment Findings	Compliance
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Members shall be aware of the policy/policies and procedures for handling sexual and all other forms of harassment, violence and the protection of reproductive rights, in the language which the workers can understand	Except for TJC, most of the farmers managed their land independently. Therefore, the policy does not directly applicable to them. However, Group Manager has conducted training on the policy and briefed Oil Palm Management Guideline during induction training to the members. Last training was conducted on October 2017.	
Requirement for Group Manager		
The Group Manager shall ensure members are aware of the policy/polices and procedure for handling sexual and all other forms of harassment, violence and the protection of reproductive rights, in the language which the workers can understand	Except for TJC, most of the farmers managed their land independently. Therefore, the policy does not directly applicable to them. However, Group Manager has conducted training on the policy and briefed Oil Palm Management Guideline during induction training to the members. Last training was conducted on October 2017.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Where Group Managers sell the FFB on behalf of the group members, the Group Manager shall inform group members of the price of FFB obtained.	Not applicable. The group manager did not sell FFB on behalf of the group members. Members sell FFB directly to the mill via the dealership.	
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).		
Requirement for Individual Member with up to 50ha of plantation size		Minor

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Criterion / Indicator	Assessment Findings	Compliance
The individual member understands the pricing mechanism of the purchaser	Interview with the sample smallholder members found that they were understood the pricing of FFB that they sold to dealer, TJC. They informed that the price is according the MPOB price. The current selling price was displayed in front of the office as well.	
Requirement for Group Manager		
The Group Manager shall record the general pricing mechanisms used by the purchaser/s of the FFB. The Group Manager shall record the corresponding information provided to the group members	The group manager recorded the general pricing mechanism used by the purchaser/s of the FFB and displayed it on the office notice board.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Where Group Managers have the mandate to enter into contractual agreements on behalf of the group, the Group Manager shall inform group members about their content and make them available. These contracts shall also be fair, legal and transparent for the contractors. Where no such mandate exists, the Group Manager has to seek agreement from group members prior to entering contractual agreements with third parties. These contracts shall also be fair, legal and transparent for the contractors	Not applicable. The group manager has not entered any contractual agreements with third parties at the group level.	
6.10.4 Agreed payments shall be made in a timely manner.		
Requirement for Individual Member with up to 50ha of plantation size		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Agreed payments to local businesses shall be made in a timely manner</p>	<p>Sampled payment sighted for TJC payment for smallholders' FFB as per following payment voucher samples:</p> <ul style="list-style-type: none"> 1) Payment voucher # 508166; Date: 11/2/2018; Smallholder ID # WAGS-1358 2) Payment voucher # 507541; Date: 1/2/2018; Smallholder ID # WAGS-190 <p>Payment voucher # 047223; Date: 7/2/2018; Smallholder ID # WAGS-1386</p>	<p>Complied</p>
<p>Requirement for Group Manager</p>		
<p>Agreed payments to local businesses shall be made in a timely manner.</p> <p>If the Group Manager receives payment for the FFB produced by group members, the Group Manager shall make payments to the individual group members in a timely manner.</p>	<p>Not applicable.</p> <p>Smallholders always deal with local business directly.</p> <p>The Group Manager did not receives payment for the FFB produced by group members</p>	
<p>Criterion 6.11:</p>		
<p>Growers and millers contribute to local sustainable development where appropriate.</p>		
<p>6.11.1 Contributions to local development that are based on the results of consultation with local communities shall be demonstrated.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		
<p>The responsibility for meeting this requirement lies with the Group Manager</p>	<p>Not applicable to smallholders.</p>	
<p>Requirement for Group Manager</p>		
<p>Evidence of consultation with local communities and stakeholders.</p> <p>Where contributions have been identified as necessary based on the consultation carried out, the Group Manager shall ensure that these are implemented</p>	<p>The Wild Asia Group Smallholder Air Kuning RSPO certification program (WAGS Project # 159) has been demonstrated as the evidence of consultation with local communities and identified stakeholders.</p>	<p>N.A</p>
<p>6.11.2 Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve smallholder productivity.</p>		

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Requirement for Individual Member with up to 50ha of plantation size		N.A
N.A	N.A	
Requirement for Group Manager		
N.A	N.A	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Appropriate to scale, members shall have a policy on no forms of forced or trafficked labour	Applicable member i.e. a small grower (TJC; WAGS ID # TJC-53-SML; WAGS Agreement date: 4/11/2015) adapted group manager’s policy on no forms of forced or trafficked labour for its own employed workers.	
Members/workers shall be aware of the policy and ensure that no forms of forced or trafficked labour are used	Awareness of policy confirmed based on the records of Compulsory Training (T02 Guidance for Farm Management of SPO) – which was latest conducted on 6/2/2018 for both new and existing member including workers as well as the interview with sampled farmers/small grower’s worker.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall write a policy on no forms of forced or trafficked labour</p>	<p>WAGS Group Policy; Ver. # 1; Last updated: 4/10/2016; Filename: 2.13.1 Group Policy Statement_BM_v2_03102016. Policy stated on the following:</p> <ul style="list-style-type: none"> • Ethical code • Respect human rights • No force labour • No child labour • No discrimination • Respect for freedom of association and collective agreement • Respect women reproductive rights • On-time payment of compensation • Zero tolerance towards sexual harassment and violence • Working hour “tidak berlebihan” • Safe & health work area • Respect of customary land ownership • Conservation of HCV • Minimize environmental impacts <p>Commitment towards continuous improvement</p>	
<p>The Group Manager shall ensure that members/workers are aware of the policy and that no forms of forced or trafficked labour are used</p>	<p>WAGS Group Policy; Ver. # 1; Last updated: 4/10/2016; Filename: 2.13.1 Group Policy Statement_BM_v2_03102016. Policy stated on the following:</p> <ul style="list-style-type: none"> • No force labour <p>Training was conducted to members latest on October 2017.</p>	
<p>6.12.2 Where applicable, it shall be demonstrated that no contract substitution has occurred.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		

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Criterion / Indicator	Assessment Findings	Compliance
Members shall keep relevant records of employment contracts.	<p>Most of the farmers managed their farm independently or recruited casual workers except for except for small grower (TJC; WAGS ID # TJC-53-SML; WAGS Agreement date: 4/11/2015) who employed own harvester. However records of employment contracts for sampled harvester (Workers ID # AT 120153, # AT 119996 & # A 4319813) which were not available where each harvester was paid on piece-rated basis. Only records of employment contracts of daily-rated basis workers i.e. FFB Loading (sampled Workers ID # AR 709341 & # AT 109040) and FFB Ramp (sampled Workers ID # AT 639637 & # AT 117898) available.</p> <p>Hence, a Minor NC has been raised on this matter.</p>	Minor Non Compliance
Requirement for Group Manager		
N.A	N.A	
6.12.3 Where temporary or migrant workers are employed, a special labour policy and procedures shall be established and implemented.		
Requirement for Individual Member with up to 50ha of plantation size		
Where applicable, copies of post-arrival orientation programme and records of participation shall be kept.	Applicable small grower (TJC; WAGS ID # TJC-53-SML; WAGS Agreement date: 4/11/2015) who employed own worker kept the records of induction training of newly employed workers latest done on 13/2/2018.	Complied
Requirement for Group Manager		
N.A	N.A	
<p>Criterion 6.13: Growers and millers respect human rights.</p>		
<p>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).</p>		

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members to show evidence that they understand the policy	Based on the records of T02 – Social Training conducted by Group Manager and interview with sampled farmers shown they aware of the policy.	
Requirement for Group Manager		
Group Manager to develop policy to respect human rights i.e. that workers are treated with respect and dignity, and ensure that this is communicated through group members	<p>Developed as WAGS Group Policy; Ver. # 1; Last updated: 4/10/2016; Filename: 2.13.1 Group Policy Statement_BM_v2_03102016. Policy stated on the following:</p> <ul style="list-style-type: none"> • Ethical code • Respect human rights • No force labour • No child labour • No discrimination • Respect for freedom of association and collective agreement • Respect women reproductive rights • On-time payment of compensation • Zero tolerance towards sexual harassment and violence • Working hour “tidak berlebihan” • Safe & health work area • Respect of customary land ownership • Conservation of HCV • Minimize environmental impacts <p>Commitment towards continuous improvement</p>	

<p>1.1 Principle 7: Responsible development of new plantings</p>
<p>Criterion 7.1: Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.</p>
<p>7.1.1 An independent social and environmental impact assessment (SEIA), undertaken through a participatory methodology including the relevant affected stakeholders, shall be documented.</p>

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Requirement for Individual Member with up to 50ha of plantation size	
Individual members shall demonstrate an understanding of the environmental and social risks of their operations.	<p>Group Managers developed the mitigation plan as P159 WAGS Perak – SIA identified Social Risk. Plan established consist of following areas:</p> <ol style="list-style-type: none"> 1. SR0 Social Management System (SMS) 2. SR1 Land acquisition 3. SR2 Traceability & Fair Trade 4. SR3 OSH 5. SR4 Work conditions 6. SR5 Living conditions 7. SR6 Women & Children <p>Involvement of members towards mitigation of impacts (social and environment) was done from time to time during stakeholder meeting and field officer visit. Based on site interview, there have made aware on the identified risk with regards to environment and social.</p>
Requirement for Group Manager	
A comprehensive SEIA shall be conducted by an independent party, or where applicable, an internal assessment can be facilitated by the Group Manager (refer to generic P&Cs or NIs where available).	The new planting after 2005 involved the new members, 69 farms (40 new members) with total 122.81 Ha. SEIA was done in Dec 2015 for Group, Air Kuning.
Group Managers shall confirm land ownership and user rights within the new planting area.	The new planting after 2005 involved the new members, 69 farms (40 new members) with total 122.81 Ha. As at now, WAGS was monitored through WAGS Perak_Risk Assessment Checklist for new members between 2017-2018.

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<p>Group Managers shall identify all activities that have environmental and social impacts (positive and negative) with the participation of affected parties.</p>	<p>The new planting after 2005 involved the new members, 69 farms (40 new members) with total 122.81 Ha. As at now, WAGS was monitored through WAGS Perak_Risk Assessment Checklist for new members between 2017-2018. SEIA was done in Dec 2015 for Group, Air Kuning. WAGS still in progress to clarify with farmers and land department is it the new planting after 2005 or replanting.</p>	
<p>7.1.2 Appropriate management planning and operational procedures shall be developed and implemented to avoid or mitigate identified potential negative impacts.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Individual members shall demonstrate an understanding of the management plan to avoid or mitigate the social and environmental impacts.</p>	<p>The new planting after 2005 involved the new members, 69 farms (40 new members) with total 122.81 Ha. SEIA was done in Dec 2015 for Group, Air Kuning</p>	
<p>Where applicable, individual members shall help to address negative social and environmental impacts in a consultative manner.</p>	<p>Group Managers developed the mitigation plan as P159 WAGS Perak – SIA identified Social Risk. Plan established consist of following areas:</p> <ul style="list-style-type: none"> • SR0 Social Management System (SMS) • SR1 Land acquisition • SR2 Traceability & Fair Trade • SR3 OSH • SR4 Work conditions • SR5 Living conditions • SR6 Women & Children <p>Involvement of members towards mitigation of impacts (social and environment) was done from time to time during stakeholder meeting and field officer visit.</p>	
<p>Requirement for Group Manager</p>		

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<p>Group Managers shall develop a plan to avoid or mitigate environmental and social risks in consultation with the affected parties.</p>	<p>The new planting after 2005 involved the new members, 69 farms (40 new members) with total 122.81 Ha. As at now, WAGS was monitored through WAGS Perak_Risk Assessment Checklist for new members between 2017-2018. SEIA was done in Dec 2015 for Group, Air Kuning which involved JAKOA, MPOB, DOSH and etc. WAGS still in progress to clarify with farmers and land department is it the new planting after 2005 or replanting.</p>	
<p>Group Managers shall organise training for members on environmental and social risks and mitigation measures</p>	<p>WAGS conducted training related to new planting (T02: Best practices included new planting), last was conducted on 20/1/2018</p>	
<p>Group Managers shall monitor implementation of SEIA management plan.</p>	<p>SEIA Management plan was established 9/12/2015 to include Sosial, Environmental and HCV.</p>	
<p>7.1.3 Where the development includes an outgrower scheme, the impacts of the scheme and the implications of the way it is managed shall be given particular attention.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		
<p>N.A</p>		
<p>Requirement for Group Manager</p>		
<p>N.A</p>		

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<p>Specific Guidance:</p> <p>Assessing Group Manager</p> <ul style="list-style-type: none"> • Check if the SEIA report, mitigation and management plans are in place. • Check training records (training materials and participants). • Verify that consultation with affected parties (where applicable) and other relevant stakeholders has been conducted. • Check if the documentation is adequate for the scale of operations and check that all significant aspects been identified. <p>Assessing Individual Members</p> <ul style="list-style-type: none"> • Members should be able to explain what the major social risks arising from their actions on the farm are. • Members should be able to explain what they do to mitigate these risks. • There should be evidence of a reporting mechanism which is understood by the individual members. • Verify the implementation of mitigation and management plans with sampling (members). <p>Assessing Affected Parties</p> <ul style="list-style-type: none"> • Verify the implementation of mitigation and management plans with sampling (affected parties). 		
<p>Criterion 7.2:</p> <p>Soil surveys and topographic information are used for site planning in the establishment of new plantings, and the results are incorporated into plans and operations.</p>		
<p>7.2.1 Soil suitability maps or soil surveys adequate to establish the long-term suitability of land for oil palm cultivation shall be available and taken into account in plans and operations.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Individuals' members can show appropriate understanding of soil type and suitability</p>	<p>Soil and topographic map for group, WAGS Air Kuning was established, namely "WAGS Perak_Soil & Topo_Map". Based on interview with the smallholders at their farm plot, the made aware on the soil type and suitability of planting on the area.</p>	
<p>Requirement for Group Manager</p>		<p>Complied</p>
<p>Group Manager shall:</p> <ul style="list-style-type: none"> • compile and maintain an overall soil map for the group • provide required information and or training for individual members 	<p>Soil and topographic map for group, WAGS Air Kuning was established, namely "WAGS Perak_Soil & Topo_Map". No peat soil at WAGS Air Kuning. WAGS conducted training, T02: Best practices. Last was conducted on 20/1/2018</p>	
<p>7.2.2 Topographic information adequate to guide the planning of drainage and irrigation systems, roads and other infrastructure shall be available and taken into account in plans and operations.</p>		<p>Complied</p>
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		

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<p>Individuals' members can show appropriate understanding of soil type and suitability</p>	<p>Soil and topographic map for group, WAGS Air Kuning was established, namely "WAGS Perak_Soil & Topo_Map". Based on interview with the smallholders at their farm plot, the made aware on the soil type and suitability of planting on the area.</p>	
<p>Requirement for Group Manager</p>		
<p>Overall soil map to include topographic information.</p>	<p>Soil and topographic map for group, WAGS Air Kuning was established, namely "WAGS Perak_Soil & Topo_Map". No peat soil at WAGS Air Kuning. WAGS conducted training, T02: Best practices. Last was conducted on 20/1/2018</p>	
<p>Specific Guidance: See 7.1 Assessing Group Manager Check if the maps are appropriate and that the documentation is adequate for the scale of operations. Have all significant aspects been identified and taken into account. Is it updated to reflect any proposed changes or additions to the group and has it been cross referenced to 1.2 and is publically available. Is the soil assessor competent? Check on their suitability and training? Has the assessment been conducted with participation of all affected parties and is their sufficient objective evidence for this? How were affected parties identified and engaged? Assessing Individual Members Very unlikely to be applicable except to understand that a soil survey has been completed</p>		
<p>Criterion 7.3: New plantings since November 2005 have not replaced primary forest or any area required to maintain or enhance one or more High Conservation Values.</p>		
<p>7.3.1 There shall be evidence that no new plantings have replaced primary forest, or any area required to maintain or enhance one or more High Conservation Values (HCVs), since November 2005. New plantings shall be planned and managed to best ensure the HCVs identified are maintained and/or enhanced (see Criterion 5.2).</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>	<p>Complied</p>	

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<p>Individual members shall demonstrate basic understanding of primary forest and HCV and the need to avoid clearing of such areas.</p>	<p>WAGS conducted training, T02: Best practices to included HCV. This was last was conducted on 20/1/2018. Based on interview with the smallholders at their farm plot, the made aware on the primary forest and HCV and non of this category found neighboring with their farm.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall demonstrate basic understanding of primary forest and HCV and inform individual members of the need to avoid clearing of such areas</p>	<p>Based on HCV report dated 9/12/2015, there is no primary forest or HCV area at WAGS Air Kuning. The report only identified water catchment as Medium.</p>	
<p>7.3.2 A comprehensive HCV assessment, including stakeholder consultation, shall be conducted prior to any conversion or new planting. This shall include a land use change analysis to determine changes to the vegetation since November 2005. This analysis shall be used, with proxies, to indicate changes to HCV status.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Individual members shall check with the Group Manager the primary forest and HCV status of their farm within the landscape (see guidance) based on the HCV assessment report.</p>	<p>Development of HCV management plan was carried on the landscape level; which involved all existing and potential samllholders.</p>	
<p>Requirement for Group Manager</p>		
<p>Prior to new plantings, a comprehensive HCV assessment shall be conducted by an independent party, or where applicable, an internal assessment can be facilitated by the Group Manager (refer to generic P&Cs or NIs where available).</p>	<p>The new planting after 2005 involved the new members, 69 farms (40 new members) with total 122.81 Ha. As at now, WAGS was monitored through WAGS Perak_Risk Assessment Checklist for new members between 2017-2018. SEIA was done in Dec 2015 for Group, Air Kuning which involved JAKOA, MPOB, DOSH and etc. WAGS still in progress to clarify with farmers and land department is it the new planting after 2005 or replanting. The new planting for new members involved before they joined WAGS.</p>	
<p>7.3.3 Dates of land preparation and commencement shall be recorded.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>

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Individual members shall record dates of land preparation and commencement of their own farm	Record of land preparation and commencement recorded under individual file.	
Requirement for Group Manager		
The Group Manager shall develop SOPs for recording land preparation and commencement of farms by individual members.	WAGS_New Planting_Replanting procedure (power point slide) was established to include communication with WAGS representative, land preparation, no open burning, boundary, GAP and etc.	
The Group Manager shall collate dates of land preparation and commencement of individual farms.	The new planting after 2005 involved the new members, 69 farms (40 new members) with total 122.81 Ha. As at now, WAGS was monitored through WAGS Perak_Risk Assessment Checklist for new members between 2017-2018. SEIA was done in Dec 2015 for Group, Air Kuning which involved JAKOA, MPOB, DOSH and etc. WAGS still in progress to clarify with farmers and land department is it the new planting after 2005 or replanting. The new planting for new members involved before they joined WAGS.	Complied
7.3.4 An action plan shall be developed that describes operational actions consequent to the findings of the HCV assessment, and that references the grower's relevant operational procedures (see Criterion 5.2).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall be involved in the implementation of the HCV management and monitoring plan (to maintain and/or enhance HCVs).	Development of HCV management plan was carried on the landscape level; which involved all existing and potential samllholders.	
Requirement for Group Manager		
The Group Manager shall develop action plans and SOPs (e.g. for RTE species, riparian areas) based on the HCV management and monitoring plan.	HCV management plan, dated 9/12/2015 was established.	
The Group Manager shall implement a mechanism for individual members to report on threats to HCVs.	The HCV report only identify water cactchment as Medium.	

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<p>7.3.5 Areas required by affected communities to meet their basic needs, taking into account potential positive and negative changes in livelihood resulting from proposed operations, shall be identified in consultation with the communities and incorporated into HCV assessments and management plans (see Criterion 5.2).</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Individual members shall participate in the HCV assessment.</p>	<p>Development of HCV management plan was carried on the landscape level; which involved all existing and potential samllholders.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager conducts training for their individual members and their workers about the status of HCV.</p>	<p>WAGS conducted training, T02: Best practices to included HCV. Last was conducted on 20/1/2018</p>	
<p>Specific Guidance</p> <p>See 7.1</p> <p>Assessing Group Manager</p> <p>Check if the HCV assessment report, HCV management and monitoring plan, action plans and SOPs are in place.</p> <p>Check training records (training materials and participants).</p> <p>Verify that consultation with affected parties (where applicable) and other relevant stakeholders have been conducted.</p> <p>Verify the implementation of HCV management and monitoring plan with sampling (members and affected parties).</p> <p>Check if the maps are appropriate and that the documentation is adequate for the scale of operations</p> <p>For internal HCV assessments (where permissible), the maps can be hand drawn – use descriptions to differentiate areas e.g. land use types.</p> <p>There should be evidence of a reporting mechanism which is understood by the individual members.</p> <p>Check that records of land preparation and commencement of farms by members are kept.</p> <p>Assessing Individual Members</p> <p>Check a selection of members to see if they have had training in the appropriate SOPs or subject (Not all may be relevant).</p> <p>Members and workers (if appropriate) should be able to explain what the major threats to HCVs (including RTEs) arising from their actions on the farm are.</p> <p>Members should be able to explain what they do to mitigate these threats.</p> <p>Check that members report dates of land preparation and commencement of their farm to the Group Manager</p>		
<p>Criterion 7.4:</p> <p>Extensive planting on steep terrain, and/or marginal and fragile soils, including peat, is avoided.</p>		
<p>7.4.1 Maps identifying marginal and fragile soils, including excessive gradients and peat soils, shall be available and used to identify areas to be avoided.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>

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<p>Individuals' members can show appropriate understanding of marginal and fragile soil, to be consistent with group SOP</p>	<p>Soil and topographic map for group, WAGS Air Kuning was established, namely "WAGS Perak_Soil & Topo_Map". No peat, marginal and fragile soil at WAGS Air Kuning. Based on interview with the smallholder, they were able to explain on the marginal and fragile soil categories namely peat if available at their farm plot.</p>	
<p>Requirement for Group Manager</p>		
<p>Group Manager shall:</p> <ul style="list-style-type: none"> • compile and maintain an overall soil map for the group, including marginal and fragile soils - this can be part of the HCV map and assessment • provide required information and or training for individual members 	<p>Soil and topographic map for group, WAGS Air Kuning was established, namely "WAGS Perak_Soil & Topo_Map". No peat, marginal and fragile soil at WAGS Air Kuning.</p> <p>WAGS conducted training, T02: Best practices to included HCV. Last was conducted on 20/1/2018</p>	
<p>7.4.2 Where limited planting on fragile and marginal soils, including peat, is proposed, plans shall be developed and implemented to protect them without incurring adverse impacts.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Individuals' members can show appropriate understanding of marginal and fragile soil, to be consistent with group SOP</p>	<p>Soil and topographic map for group, WAGS Air Kuning was established, namely "WAGS Perak_Soil & Topo_Map". No peat, marginal and fragile soil at WAGS Air Kuning. Based on interview with the smallholder, they were able to explain on the marginal and fragile soil categories namely peat if available at their farm plot.</p>	
<p>Requirement for Group Manager</p>		

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<p>The Group Manager maintains and oversees plans for new development based on overall soil map.</p>	<p>Soil and topographic map for group, WAGS Air Kuning was established, namely "WAGS Perak_Soil & Topo_Map". No peat, marginal and fragile soil at WAGS Air Kuning.</p> <p>WAGS conducted training, T02: Best practices to included HCV. Last was conducted on 20/1/2018</p>	
<p>Specific Guidance</p> <p>See 7.1</p> <p>Assessing Group Manager</p> <p>Check if the documentation is adequate for the scale of operations and that all significant aspects have been identified.</p> <p>Have there been any major changes and if so has it been updated and has it been cross referenced to 1.2 and is publically available.</p> <p>Check the document is updated when new members are added to the Group.</p> <p>Specifically check:</p> <ul style="list-style-type: none"> • Is the soil assessor competent? • Check on their suitability and training. • Are the maps produced appropriately? • Has the assessment been conducted with participation of all affected parties and is there sufficient objective evidence for this? • How were affected parties identified and engaged? <p>Assessing Individual Members</p> <p>Check a selection of members to see if they have had training in the appropriate SOPs or subject.</p> <p>Check the formalities of training days (attendance or certificates awarded).</p> <p>Check the frequency of farm visits.</p>		
<p>Criterion 7.5:</p> <p>No new plantings are established on local peoples' land where it can be demonstrated that there are legal, customary or user rights, without their free, prior and informed consent. This is dealt with through a documented system that enables these and other stakeholders to express their views through their own representative institutions.</p>		
<p>7.5.1 Evidence shall be available that affected local peoples understand they have the right to say 'no' to operations planned on their lands before and during initial discussions, during the stage of information gathering and associated consultations, during negotiations, and up until an agreement with the grower/miller is signed and ratified by these local peoples.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>N.A</p>		
<p>Requirement for Group Manager</p>		

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<p>The Group Manager shall develop a documented system detailing how FPIC is implemented and shall ensure that new group members are included in this.</p>	<p>The new planting after 2005 involved the new members, 69 farms (40 new members) with total 122.81 Ha. As at now, WAGS was monitored through WAGS Perak_Risk Assessment Checklist for new members between 2017-2018. SEIA was done in Dec 2015 for Group, Air Kuning which involved JAKOA, MPOB, DOSH and etc. WAGS still in progress to clarify with farmers and land department is it the new planting after 2005 or replanting. The new planting for new members involved before they joined WAGS.</p>	
<p>The Group Manager shall retain documentary evidence of participation by affected local peoples and their understanding of the right to say 'no'.</p>	<p>The new planting after 2005 involved the new members, 69 farms (40 new members) with total 122.81 Ha. As at now, WAGS was monitored through WAGS Perak_Risk Assessment Checklist for new members between 2017-2018. SEIA was done in Dec 2015 for Group, Air Kuning which involved JAKOA, MPOB, DOSH and etc. WAGS still in progress to clarify with farmers and land department is it the new planting after 2005 or replanting. The new planting for new members involved before they joined WAGS.</p>	

<p>Specific Guidance:</p> <p>Assessing Group Manager Check documented system of FPIC implementation and documentary evidence of participation by affected local peoples and their understanding of the right to say 'no'. Check the document is updated as new members are added to the group.</p> <p>Assessing affected local peoples Has the process of FPIC been conducted with participation of all affected parties and is there sufficient objective evidence for this? How were affected parties identified and engaged? Are all the social impacts of the operation identified and plans to mitigate and monitor the significant ones in place? Are positive impacts included in discussions?</p> <p>Assessing Individual Members Not applicable</p>	
<p>Criterion 7.6:</p> <p>Where it can be demonstrated that local peoples have legal, customary or user rights, they are compensated for any agreed land acquisitions and relinquishment of rights, subject to their free, prior and informed consent and negotiated agreements.</p>	
<p>7.6.1 Documented identification and assessment of demonstrable legal, customary and user rights shall be available.</p>	
Requirement for Individual Member with up to 50ha of plantation size	Complied
N.A	
Requirement for Group Manager	

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<p>The Group Manager shall: Document identification and assessment of demonstrable legal, customary and user rights</p>	<p>The new planting after 2005 involved the new members, 69 farms (40 new members) with total 122.81 Ha. As at now, WAGS was monitored through WAGS Perak_Risk Assessment Checklist for new members between 2017-2018, the assessment categorise in 3 criteria (Level1, Level 2 and Level 3) to include MPOB License, Land Title, Land dispute, encroachment, use of fire, planted after 2005, planting on/near highly sensitive natural areas, planting on fragile soils, low yield and etc. SEIA was done in Dec 2015 for Group, Air Kuning which involved JAKOA, MPOB, DOSH and etc. The new planting for new members involved before they joined WAGS.</p>	
<p>7.6.2 A system for identifying people entitled to compensation shall be in place.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>N.A</p>		
<p>Requirement for Group Manager</p>		
<p>Establish a procedure for identifying people entitled to compensation.</p>	<p>As at now, there is no compensation done. The new planting involved with the new members who newly joined. The new planting was done before they join as WAGS member.</p>	
<p>7.6.3 A system for calculating and distributing fair compensation (monetary or otherwise) shall be in place.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>N.A</p>		
<p>Requirement for Group Manager</p>		

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Establish a procedure for calculating and distributing fair compensation.	As at now, there is no compensation done. The new planting involved with the new members who newly joined. The new planting was done before they join as WAGS member.	
7.6.4 Communities that have lost access and rights to land for plantation expansion shall be given opportunities to benefit from plantation development.		
Requirement for Individual Member with up to 50ha of plantation size		
N.A		
Requirement for Group Manager		
N.A		
7.6.5 The process and outcome of any compensation claims shall be documented and made publicly available.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall retain copies of the documentary evidence of the process and outcome of compensation claims.	No compensation claim recorded as to date.	
Requirement for Group Manager		
Document the process and outcome of any compensation claims and make publicly available	As at now, there is no compensation done. The new planting involved with the new members who newly joined. The new planting was done before they join as WAGS member.	
7.6.6 Evidence shall be available that the affected communities and rights holders have access to information and advice, that is independent of the project proponent, concerning the legal, economic, environmental and social implications of the proposed operations on their lands.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A		
Requirement for Group Manager		

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<p>Have documentary evidence that the affected communities and right holders have been informed that they have the right to access information and advice that is independent of the project proponent, concerning the legal, economic, environmental and social implications of the proposed operations on their lands.</p>	<p>The new planting after 2005 involved the new members, 69 farms (40 new members) with total 122.81 Ha. As at now, WAGS was monitored through WAGS Perak_Risk Assessment Checklist for new members between 2017-2018, the assessment categorise in 3 criteria (Level1, Level 2 and Level 3) to include MPOB License, Land Title, Land dispute, encroachment, use of fire, planted after 2005, planting on/near highly sensitive natural areas, planting on fragile soils, low yield and etc. SEIA was done in Dec 2015 for Group, Air Kuning which involved JAKOA, MPOB, DOSH and etc. The new planting for new members involved before they joined WAGS.</p>	
<p>Criterion 7.7: No use of fire in the preparation of new plantings other than in specific situations, as identified in the ASEAN guidelines or other regional best practice.</p>		
<p>7.7.1 There shall be no land preparation by burning, other than in specific situations, as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Individual members shall provide evidence that they understand the No Burning Policy of the group</p>	<p>Based on interview with the sampled smallholders, they were aware on the no burning policy and it was written in the sustainable handbook provided to them.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall:</p> <ul style="list-style-type: none"> • Provide evidence of a no use of fire policy in group SOPs. • Demonstrate that individual farms have been visited for this requirement. • Explain how all the above is socialised to individual members of the Group. 	<p>WAGS conducted training, T02: Panduan Pengurusan Kebun Kelapa Sawit Mampan. Last was conducted 20/1/2018. The training has emphasis on the field best practices and method for land preparation.</p>	

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<p>7.7.2 In exceptional cases where fire has to be used for preparing land for planting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.</p>	
<p>Requirement for Individual Member with up to 50ha of plantation size</p>	
<p>Individual members shall provide proposals for use of fire to the Group Manager for assessment and approval prior to burning</p>	<p>As to date no proposal made for use of fire to the Group Manager for assessment and approval prior to burning for new planting.</p>
<p>Requirement for Group Manager</p>	
<p>The Group Manager shall:</p> <ul style="list-style-type: none"> • Demonstrate that any use of fire by any individual member has been assessed to be justified under the ASEAN guidelines ASEAN Policy on Zero Burning' 2003. • Provide written approval from the relevant environment authority on the use of fire in certain situations as prescribed by the ASEAN guidelines. 	<p>WAGS conducted training, T02: Panduan Pengurusan Kebun Kelapa Sawit Mampan. Last was conducted 20/1/2018. Based on Baseline Questionnaire, the new members did not use fire for land preparation.</p>
<p>Criterion 7.8: New plantation developments are designed to minimise net greenhouse gas emissions.</p>	
<p>7.8.1 The carbon stock of the proposed development area and major potential sources of emissions that may result directly from the development shall be identified and estimated.</p>	
<p>Requirement for Individual Member with up to 50ha of plantation size</p>	
<p>Individual members shall be able to explain how you know where not to plant</p>	<p>WAGS conducted training, T02: Panduan Pengurusan Kebun Kelapa Sawit Mampan. Last was conducted 20/1/2018. The new members able to explain where not to plant</p>
<p>Requirement for Group Manager</p>	
<p>Maps: The use of maps shall be expected which highlight the avoidance of peat areas and primary forests and where possible mineral soils have been selected for planting</p>	<p>Soil and topographic map for group, WAGS Air Kuning was established, namely "WAGS Perak_Soil & Topo_Map". No peat, marginal and fragile soil at WAGS Air Kuning.</p> <p>WAGS conducted training, T02: Best practices to included HCV. Last was conducted on 20/1/2018</p>
<p>7.8.2 There shall be a plan to minimise net GHG emissions which takes into account avoidance of land areas with high carbon stocks and/or sequestration options.</p>	

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N.A		
Requirement for Group Manager		
<p>Reporting: Demonstrate to a third party that new plantings which occurred after April 2013 have where possible been designed to minimise GHG emissions.</p> <p>Groups will need to report confidentially to the RSPO on actions taken to mitigate GHG emissions. After 31. December 2016 these documents will need to be publically available and linked to 1.2</p> <p>The Group Training: Manager shall provide training in relation to this indicator and its relevance for individual members (e.g. peat, high carbon stocks) and record this training</p>	<p>The new planting after 2005 involved the new members, 69 farms (40 new members) with total 122.81 Ha. As at now, WAGS was monitored through WAGS Perak_Risk Assessment Checklist for new members between 2017-2018, the assessment categorise in 3 criteria (Level1, Level 2 and Level 3) to include MPOB License, Land Title, Land dispute, encroachment, use of fire, planted after 2005, planting on/near highly sensitive natural areas, planting on fragile soils, low yield and etc. SEIA was done in Dec 2015 for Group, Air Kuning which involved JAKOA, MPOB, DOSH and etc. The new planting for new members involved before they joined WAGS.</p> <p>WAGS conducted training, T02: Panduan Pengurusan Kelapa Sawit Mampan. Last was conducted on 20/1/2018</p>	

Criterion / Indicator	Assessment Findings	Compliance
Principle 8: Commitment to continual improvement in key areas of activity		
Criterion 8.1:		
Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.		

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Criterion / Indicator	Assessment Findings	Compliance
<p>8.1.1 The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria.</p> <p>As a minimum, these shall include, but are not necessarily be limited to:</p> <ul style="list-style-type: none"> • Reduction in use of pesticides(Criterion 4.6); • Environmental impacts (Criteria 4.3, 5.1 and 5.2); • Waste reduction (Criterion 5.3); • Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); • Social impacts (Criterion 6.1); • Optimising the yield of the supply base. 		
Requirement for Individual Member with up to 50ha of plantation size		Complied
<p>Fulfil the requirements laid out by the Group Manager, such as attending relevant training, filling in the checklist/tools provided to guarantee legal compliance.</p> <p>Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.</p>	<p>WAGS conducted training, T02: Panduan Pengurusan Kelapa Sawit Mampan. Last was conducted on 20/1/2018 as for implementation of sustainable oil palm management.</p>	
<p>Members shall provide inputs to the Group Action Plan for continual improvement.</p>	<p>Inputs provided to group manager through field officer visit from time to time. Progress towards substitution of contact type of chemical to systemic type is still in progress for improvement.</p>	
<p>Members shall keep individual records of pesticide use, fertiliser application, FFB production etc. according to a standard template provided by the Group Manager</p>	<p>Producer Production Info form with ICS Code No. WAGS1304 dated 3/7/2017 The form recorded FFB production and sales information, purchase of chemical stock, fertilizer stock and equipment stock, chemical usage and fertilizer usage records. The usage of fertilizer and chemical has been recorded into the monitoring sheet by the field officer.</p>	
<p>Discuss with the Group Manager the timing of the replanting programme.</p>	<p>No any replanting activities up-to-date. The members were aware of the timing of replanting by their experience.</p>	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Group Managers shall record information on environmental impacts, waste reduction, pollution & GHG and social impacts.</p>	<p>Workplan for 2018 (WAGS Perak 2018 Work Plan Detail_14022018) was established to include training (environment, chemical, RTE, Social and etc), farm mapping, assessment related to smallholders, SEIA review.</p> <p>The WAGS Group consist 171 members which seel FFB to only one dealer. The landscape of the area is 100% mineral soil and generally flat less than 25 degrees.</p> <p>The group manager maintains records of all its member farm operation; i.e. workers, fertilizer, FFB sales, legal requirements, land title, MPOB license, nature soil and etc.</p> <p>The group manager has develop a group management plan (WMS3.1.6.1a) which consist all the information on environmental impacts, waste reduction, pollution & GHG and social impacts according to SEIA reports dated 9 December 2015 (SEIA and HCV of the WAGS Air Kuning).</p>	
<p>Group Managers shall periodically (e.g. quarterly) collate the records of individual members.</p>	<p>Group manager update the records of individual members on quarterly basics.</p>	
<p>Group Managers shall facilitate the development of the Group Action Plan through an annual group meeting.</p>	<p>Group manager has organized the quarterly meeting with the project partners and the latest one 26/1/2018.</p>	
<p>Group Managers shall be responsible for the continuous improvement in key operations.</p>	<p>Group Manager- Sheila is the person in charge for the continuous improvement in key operations. The group management plan being monitored by Group Manager.</p>	

Appendix B: Approved Time Bound Plan

Not applicable

Appendix C: GHG Reporting Executive Summary

Not applicable

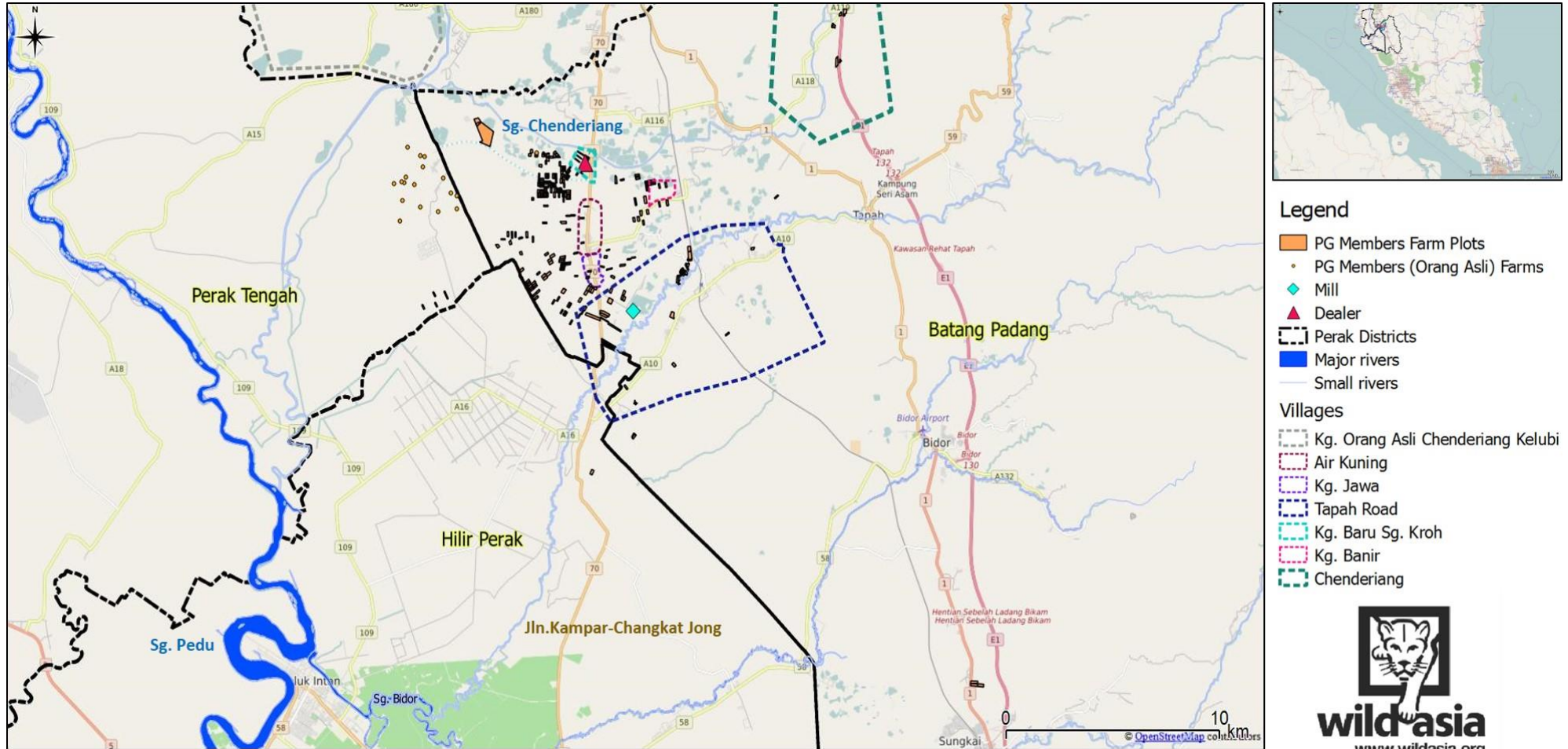
Appendix D: General Chain of Custody Requirements for the Supply Chain

Not applicable

Appendix E : CPO Mill Supply Chain Assessment Report

Not applicable

Appendix F: Location Map of Certification Unit and Smallholders



Appendix G: List of Smallholder Sampled

No.	Area/ District	State	Smallholder Block Number	Name of Registered Smallholder (as per Land Title)	Total Hectares stated on title/ Ha	IAV	ASA1	ASA3
						2015	2016	2018
Trader: Teik Joo Chan Sdn Bhd						X	X	X
2015								
1	Tapah	Perak	TJC-76-SML	Cheah Khim Nam	1.2173		X	
2	Tapah	Perak	TJC-109-SML	Chen Saik Hoong	1.2404		X	
3	Tapah	Perak	TJC-73-SML	Chin Choy Kim	1.21			
4	Tapah	Perak	TJC-80-SML	Chong Chong Yau	6.484	X		
5	Tapah	Perak	TJC-90-SML	Chow Kaw	5.7783	X		
6	Tapah	Perak	TJC-84-SML	Khiew Khuan Fong	1.21		X	
7	Tapah	Perak	TJC-87-SML	Khoo Woon Swee	1.62		X	
8	Tapah	Perak	TJC-54-SML	Kim Tek Kong	1.911	X		
9	Tapah	Perak	TJC-112-SML	Lai Chuk Laek	15.4053	X		

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10	Tapah	Perak	TJC-55-SML	Lam Kok Heng	6.5109	X		
11	Tapah	Perak	TJC-100-SML	Lee Sing Yew	10.2			
12	Tapah	Perak	TJC-89-SML	Leong Swee Kheong @ Leong Pak Cheng	6.0631			
13	Tapah	Perak	TJC-93-SML	Liew Kwet Lum	1.2088			
14	Tapah	Perak	TJC-101-SML	Lim Heng Saik	3.6215			X
15	Tapah	Perak	TJC-102-SML	Loo Kam Ying	2.066			X
16	Tapah	Perak	TJC-62-SML	Ng Ah Kiew	10.79			
17	Tapah	Perak	TJC-96-SML	Phun Ying Kong @ Phang Ying Kong	4.9985	X		
18	Tapah	Perak	TJC-86-SML	Swi Tong Moi	1.2222	X	X	
19	Tapah	Perak	TJC-68-SML	Tan Ah See	4.8162			
20	Tapah	Perak	TJC-78-SML	Tan Boon Seng	4.8918			X
21	Tapah	Perak	TJC-70-SML	Tan Song Bong	7.3957			
22	Tapah	Perak	TJC-71-SML	Tan Tai Man	6.928			
23	Tapah	Perak	TJC-94-SML	Tan Teik Hoe	5.05			
24	Tapah	Perak	TJC-79-SML	Tang Su Seng	1.2217		X	
25	Tapah	Perak	TJC-53-SML	Teoh Chai Hock	1.9597			
26	Tapah	Perak	TJC-58-SML	Teoh Yong Soong & Teoh Chai Hock	17.5492	X		

27	Tapah	Perak	TJC-127-SML	Teoh Yong Soong &Lai Chuk Laek	9.1629			
28	Tapah	Perak	TJC-88-SML	Wong Choi	2.5824			
39	Tapah	Perak	TJC-62-SML	Wong Yun Fa	4.3126			
30	Tapah	Perak	TJC-63-SML	Yip Mow Lam	13.7182			
2016								
31	Tapah	Perak	Per-Pot-003	Ahmad Shafie Bin Chik	0.81			X
32	Tapah	Perak	Per-Pot-004	Ajus Bin Abas	3.83			
33	Tapah	Perak	Per-Pot-005	Alang a/l Bah Uda	0.81			
34	Tapah	Perak	Per-Pot-006	Alang Bin Sali	1.82			
35	Tapah	Perak	Per-Pot-007	Alang Dul a/l Tunkut	2.43			
36	Tapah	Perak	Per-Pot-008	Alang Ronzi a/l Adang	1.21			
37	Tapah	Perak	Per-Pot-009	Alang Selamat a/l Bah Telpus	2.4		X	
38	Tapah	Perak	Per-Pot-010	Amdan Bin Alang	1.21			
39	Tapah	Perak	Per-Pot-011	Andak a/p Dugan	1.2			
40	Tapah	Perak	Per-Pot-012	Andak Binti Ludin	1.21			
41	Tapah	Perak	Per-Pot-013	Azmi a/l Alang	4			
42	Tapah	Perak	Per-Pot-014	Azmi Bin Dongkin	25		X	

43	Tapah	Perak	Per-Pot-015	Bah Ngah Bin Osman	0.81			
44	Tapah	Perak	Per-Pot-016	Bahari Bin Pandak	4.45		X	
45	Tapah	Perak	Per-Pot-017	Bay Buck Long	4.9372			
46	Tapah	Perak	Per-Pot-018	Beh Lai Hiang	1.209		X	
47	Tapah	Perak	Per-Pot-019	Chai Choy Kam	1.2282			
48	Tapah	Perak	Per-Pot-020	Chai Foh	9.6896			
49	Tapah	Perak	Per-Pot-021	Chai Kok Han	4			
50	Tapah	Perak	Per-Pot-022	Chai Kon Chin	12.779			X
51	Tapah	Perak	Per-Pot-023	Chai Mee Yuan	5.2955			X
52	Tapah	Perak	Per-Pot-024	Chai Mooi Sing	2.4926			
53	Tapah	Perak	Per-Pot-025	Chai Shwee Kiong	4.7032			
54	Tapah	Perak	Per-Pot-026	Chai Swee Khean	2.4463			
55	Tapah	Perak	Per-Pot-027	Chai Yoke Wah	1.2622			
56	Tapah	Perak	Per-Pot-028	Chai Yuen	7.76			
57	Tapah	Perak	Per-Pot-029	Chan Bon Siong	0.8094			
58	Tapah	Perak	Per-Pot-030	Chan Kow	2.4584			
59	Tapah	Perak	Per-Pot-031	Chan Tak Onn	1.3816			

60	Tapah	Perak	Per-Pot-032	Chau Sout Voon & Wong Siew Yaan	11.3889			
61	Tapah	Perak	Per-Pot-033	Cheong Koon Foong	2.4941			
62	Tapah	Perak	Per-Pot-034	Chia Kim Chin	4.8531			
63	Tapah	Perak	Per-Pot-035	Chia Voon Hong	0.9611			
64	Tapah	Perak	Per-Pot-036	Chia Wan Hoong	2.4468			
65	Tapah	Perak	Per-Pot-037	Chia Yoon Fatt	1.2177			
66	Tapah	Perak	Per-Pot-038	Chia Yoon Hing	2.8454			
67	Tapah	Perak	Per-Pot-039	Chia Yoon Kong	2.5771		X	
68	Tapah	Perak	Per-Pot-040	Chia Yoon Seong	3.9364			
69	Tapah	Perak	Per-Pot-041	Chin Tan Khew	5.0437			
70	Tapah	Perak	Per-Pot-042	Chong Chin Woon	8.1521		X	
71	Tapah	Perak	Per-Pot-043	Chong Fatt	1.2456			
72	Tapah	Perak	Per-Pot-044	Chong Mooi	2.9364		X	
73	Tapah	Perak	Per-Pot-045	Chong Wai Leong	12.3226			
74	Tapah	Perak	Per-Pot-046	Chow Chan Keong	1.5277			
75	Tapah	Perak	Per-Pot-047	Chow Fu San	1.3577			
76	Tapah	Perak	Per-Pot-048	Chow Kok Leong	5.1358			

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77	Tapah	Perak	Per-Pot-049	Chow Kok Sheong	3.7029			
78	Tapah	Perak	Per-Pot-050	Chow Yau Wah	2.4282			
79	Tapah	Perak	Per-Pot-051	Cuaili Bin Sulim	1.6			
80	Tapah	Perak	Per-Pot-052	Ditu Bin Long	2.83		X	
81	Tapah	Perak	Per-Pot-053	Dollah a/l Suman	2			
82	Tapah	Perak	Per-Pot-054	Dongkin a/l Kaway	31.21			
83	Tapah	Perak	Per-Pot-055	Embong a/p Uda	1.21			
84	Tapah	Perak	Per-Pot-056	Faridah A/P Dugan	1.2			
85	Tapah	Perak	Per-Pot-057	Hor Kok Yeen	3.2			
86	Tapah	Perak	Per-Pot-058	Ismail A/L Yahaya	3.6			
87	Tapah	Perak	Per-Pot-059	Itam Bin Kulop Draoh	2.4			
88	Tapah	Perak	Per-Pot-060	Jubit Bin Alang	1.21			X
89	Tapah	Perak	Per-Pot-061	Kiew Fang Ying	1.2108			
90	Tapah	Perak	Per-Pot-062	Kiew Yat Moi	4.4516			
91	Tapah	Perak	Per-Pot-063	Kiew Yau Fee & Kiew Yau Jo	1.3785			
92	Tapah	Perak	Per-Pot-064	Kiew Yau Jo	3.011		X	
93	Tapah	Perak	Per-Pot-065	Kim Mooi @ Shum Chow Lin	1.2318			

94	Tapah	Perak	Per-Pot-066	Koo Chow Po	22.9627			
95	Tapah	Perak	Per-Pot-067	Koo Chow Yong	22.1767			
96	Tapah	Perak	Per-Pot-068	Koo Kam Yin	3.6422			
97	Tapah	Perak	Per-Pot-069	Khoo Woon Yee	1.1639			
98	Tapah	Perak	Per-Pot-070	Lai Huat Seong	1.8464			
99	Tapah	Perak	Per-Pot-071	Lai Kok Sam	7.6347			
100	Tapah	Perak	Per-Pot-072	Lai Kong Keong	2.4281			
101	Tapah	Perak	Per-Pot-073	Lam Soon Foong & Lam Soon Wai	1.7705			
102	Tapah	Perak	Per-Pot-074	Lam Soon Tak	3.1616			
103	Tapah	Perak	Per-Pot-075	Lau Kean Chuong & Lau Kean Yi	2.4795			
104	Tapah	Perak	Per-Pot-076	Lau Kok Leong @ Liew Kuet Leong	2.4868			
105	Tapah	Perak	Per-Pot-077	Law Say Mooi & Loke Chian Hoo	2.1058			
106	Tapah	Perak	Per-Pot-078	Le Che Yek @ Lee Che Yek	1.327			
107	Tapah	Perak	Per-Pot-079	Lee Ah Mooi @ Liew Sooi Mooi	1.14			
108	Tapah	Perak	Per-Pot-080	Lee Chee Foong	1.5103			
109	Tapah	Perak	Per-Pot-081	Lee Kim Hong	0.8524			
110	Tapah	Perak	Per-Pot-082	Lee Kok Aun	4.0255			X

111	Tapah	Perak	Per-Pot-083	Leong Chong	10.57			X
112	Tapah	Perak	Per-Pot-084	Leong Fook Kan	1.8412			
113	Tapah	Perak	Per-Pot-085	Leong Kok Weng	1.6077			
114	Tapah	Perak	Per-Pot-086	Liew Won Keong	1.6198			
115	Tapah	Perak	Per-Pot-087	Liew Yet Poh	1.8462			
116	Tapah	Perak	Per-Pot-088	Lim Chin Yen	1.2193			
117	Tapah	Perak	Per-Pot-089	Lim Ching Seng	18.1064		X	
118	Tapah	Perak	Per-Pot-090	Lim Hang Kuang	22.9998			
119	Tapah	Perak	Per-Pot-091	Lim Kean Beng	2.04			
120	Tapah	Perak	Per-Pot-092	Liu Shay Fing & Liu Tet Fook	2.4342			
121	Tapah	Perak	Per-Pot-093	Loke Sit Fong & Ng Bee Keong	1.2254			
122	Tapah	Perak	Per-Pot-094	Long A/L Aman	1.6			
123	Tapah	Perak	Per-Pot-095	Lucci a/l Long	3.24			
124	Tapah	Perak	Per-Pot-096	Manap a/l Kawi	1.01			
125	Tapah	Perak	Per-Pot-097	Mohammad Rasid Bin Pandak	1.6			
126	Tapah	Perak	Per-Pot-098	Neoh Ah Seng	2.4334			X
127	Tapah	Perak	Per-Pot-099	Ng Boon Heong	1.1967			

128	Tapah	Perak	Per-Pot-100	Ng Kong Min	2.0124			
129	Tapah	Perak	Per-Pot-101	Ngah a/l Uda	1.62			
130	Tapah	Perak	Per-Pot-102	Ngah a/p Suman	1.42			
131	Tapah	Perak	Per-Pot-103	Ngah Siden Bin Alang	1.62			
132	Tapah	Perak	Per-Pot-104	Pan Seng Chong & Lew Lan Foong	4.4672			
133	Tapah	Perak	Per-Pot-105	Pandak Bin Alang	3.776			
134	Tapah	Perak	Per-Pot-106	Pandak Bin Kassim	3.24			X
135	Tapah	Perak	Per-Pot-107	Panjang Dawi a/l Engah Demit	0.81			
136	Tapah	Perak	Per-Pot-108	Pehak A/P Uda	0.81			
137	Tapah	Perak	Per-Pot-109	Ramli a/l Gandom	2.02			
138	Tapah	Perak	Per-Pot-110	Riza Binti Pandak	1.6			
139	Tapah	Perak	Per-Pot-111	Sew Ng Moy	1.3153			
140	Tapah	Perak	Per-Pot-112	Siber a/l Awat	1.62			
141	Tapah	Perak	Per-Pot-113	Sin Yew Fatt	1.3796			
142	Tapah	Perak	Per-Pot-114	Soo Kim Tek @ Saw Kim Teik	6.8218			
143	Tapah	Perak	Per-Pot-115	Suraini a/p Guris	0.81			
144	Tapah	Perak	Per-Pot-116	Tan a/p Uda	0.81		X	

145	Tapah	Perak	Per-Pot-117	Tan Boon Wah	3.654			
146	Tapah	Perak	Per-Pot-118	Tang Cheng Yaou	30.3303			X
147	Tapah	Perak	Per-Pot-119	Teoh Chai Hock & Lam Kok Heng	4.25		X	
148	Tapah	Perak	Per-Pot-120	Teoh Chai Lang	5.3685			
149	Tapah	Perak	Per-Pot-121	Teoh Eong Huat	6.1953			
150	Tapah	Perak	Per-Pot-122	Teoh Mia Hooi	1.188			
151	Tapah	Perak	Per-Pot-123	Teoh Swee Leng	4.4559		X	
152	Tapah	Perak	Per-Pot-124	Than Ah Ahang	3.5676			
153	Tapah	Perak	Per-Pot-125	Tina A/P Amran	0.61			
154	Tapah	Perak	Per-Pot-126	Toh Yeong Cheng & Toh Yeong Haur	0.8094			
155	Tapah	Perak	Per-Pot-127	Uda a/l Sidek	1.21			
156	Tapah	Perak	Per-Pot-128	Uda a/p Dugan	3.2			
157	Tapah	Perak	Per-Pot-129	Uda a/p Suman	1			
158	Tapah	Perak	Per-Pot-130	Uda s/o Alang Gimbut	3.24			
159	Tapah	Perak	Per-Pot-131	Viking a/l Kok Nit	1.2			
160	Tapah	Perak	Per-Pot-132	Wong Chee Choon & Chia Liang Hwa	2.5959		X	
161	Tapah	Perak	Per-Pot-133	Wong Khai Hoong	2.2809			

162	Tapah	Perak	Per-Pot-134	Wong Kooi Phin	1.1295			
163	Tapah	Perak	Per-Pot-135	Wong Sam	3.22			
164	Tapah	Perak	Per-Pot-136	Yee Ah King	14.0597			
165	Tapah	Perak	Per-Pot-137	Yee Chaw	11.5242			
166	Tapah	Perak	Per-Pot-138	Yee Ken See	4.5147			
167	Tapah	Perak	Per-Pot-139	Yew Kah Chuan @ Hyu Ah Ken	2.2498			
168	Tapah	Perak	Per-Pot-140	Yong Hee Fah	3.2808			
169	Tapah	Perak	Per-Pot-141	Zakaria a/l Ameram & Long Tijah a/p Dongkin	4.65			X
170	Tapah	Perak	Per-Pot-142	Zani a/l Itam	2.43			
171	Tapah	Perak	Per-Pot-143	Zolkarnian Bin Manan	1.21			
				Total	733.1859			

New Member

No.	Area/ District	State	Smallholder Block Number	Name of Registered Smallholder (as per Land Title)	Total Hectares stated on title/ Ha	IAV	ASA1	ASA3
						2015	2016	2018
172	Tapah	Perak	WAGS-1367	Chong Thye	1.69			
173	Tapah	Perak	WAGS-1369	Khong Lai Fong	1.2355			
174	Tapah	Perak	WAGS-1368	Ng Chee Hoe	1.2326			
175	Tapah	Perak	WAGS-1399	Ng Eng Thai	1.1541			
176	Tapah	Perak	WAGS-1399	Wong Pak Yeong & Wong Pak Khuen @ Wong Pak Sum	3.4927			
177	Tapah	Perak	WAGS-1384	Ahmad Bin Sihat	2.396			X
178	Tapah	Perak	WAGS-1400	Anson Unit Win Sdn.Bhd	11.7713			
179	Tapah	Perak	WAGS-1392	Aw Yit Chew	2.2513			
180	Tapah	Perak	WAGS-1444	Chai Kim Fook & Chai Kim Fah & Chai Kam Ling & Choi Kim Teek @ Chai Kim Teek	4.0469			
181	Tapah	Perak	WAGS-187	Chai Yoke Choy	0.8296			
182	Tapah	Perak	WAGS-1442	Chai Yoke Kong	1.2036			

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183	Tapah	Perak	WAGS-1377	Chan Man Yoon @ Chin Lai	8.6636			
184	Tapah	Perak	WAGS-1412	Cheah Kim Choy	1.2141			
185	Tapah	Perak	WAGS-1347	Cheong Choong Meng	1.1963			X
186	Tapah	Perak	WAGS-192	Cheong Kam Wah	2.3156			
187	Tapah	Perak	WAGS-1387	Chiew Yoke Moey	5.1707			
188	Tapah	Perak	WAGS-1420	Chong Wai Seong	2.431			
189	Tapah	Perak	WAGS-1409	Chow Chee Wai	2			
190	Tapah	Perak	WAGS-1405	Chow Foong Ching	2			
191	Tapah	Perak	WAGS-1406	Chow Foong Har	2			
192	Tapah	Perak	WAGS-1407	Chow Foong Pheng	4			
193	Tapah	Perak	WAGS-1365	Chow Har Lin	1.2141			
194	Tapah	Perak	WAGS-1352	Chow Ka @ Chow Kah Fatt	1.4869			
195	Tapah	Perak	WAGS-1353	Chow Kar Chui	4.237			X
196	Tapah	Perak	WAGS-1408	Chow Sook Chan	3.1			
197	Tapah	Perak	WAGS-1388	Fadilawati Bt Ali	9.6413			X
198	Tapah	Perak	WAGS-1434	Foong Chee Wai	1.9981			
199	Tapah	Perak	WAGS-1402	Ho Leong Chin & Chiew Yoke Moey	1.2723			
200	Tapah	Perak	WAGS-1354	Hooi Sow Lin	2.3807			
201	Tapah	Perak	WAGS-1419	Hor Kim Peow	5.9336			

202	Tapah	Perak	WAGS-1382	Jariah Bt Sihat	1.2282			
203	Tapah	Perak	WAGS-1362	Jawatan Kuasa Pentadbiran Perkuburan Cina Chenderiang	2.4281			
204	Tapah	Perak	WAGS-1370	Kek Feng Fng	1.6426			
205	Tapah	Perak	WAGS-189	Kew Chee Sang	1.1508			X
206	Tapah	Perak	WAGS-1381	Kew Chee Weng	1.1508			
207	Tapah	Perak	WAGS-190	Kiew Yau Fee	2.6037			X
208	Tapah	Perak	WAGS-1375	Koo Chiou Sheng	23.6191			
209	Tapah	Perak	WAGS-1418	Khoo Chong Siong	3.6361			
210	Tapah	Perak	WAGS-1417	Khoo Chong Soon	1.2181			
211	Tapah	Perak	WAGS-1437	Lam Chong San	2.8328			
212	Tapah	Perak	WAGS-1439	Lee Kok Seong	2.1094			
213	Tapah	Perak	WAGS-1410	Lee Min Tick @ Lee Min Tek	1.1579			
214	Tapah	Perak	WAGS-1389	Lee Tiam Kee & Tan Suan Gek	3.3156			
215	Tapah	Perak	WAGS-1391	Leong Hoh Kiew @ Leong Ah Kan	2.3345			
216	Tapah	Perak	WAGS-1431	Leong Yun Khun & Chong Chee Khong	2.2435			
217	Tapah	Perak	WAGS-1393	Liew Yin Chan	5.6344			
218	Tapah	Perak	WAGS-1359	Lim Ah Kou	2.055			X
219	Tapah	Perak	WAGS-1385	Lim Kai Chong	1.8146			

220	Tapah	Perak	WAGS-1372	Lim Pik Lang	7.326			
221	Tapah	Perak	WAGS-1413	Lim Siang Leong	7.4766			
222	Tapah	Perak	WAGS-191	Lim Wai Foong	10.197			
223	Tapah	Perak	WAGS-1371	Lim Yong Hong	20.6523			
224	Tapah	Perak	WAGS-1415	Loo Kok Chai	4.1861			
225	Tapah	Perak	WAGS-1416	Low Man Cheong & Wan Siew Moy @ Wan Soo Mooi	8.4205			
226	Tapah	Perak	WAGS-1403	Low Sim Fong	4.8563			
227	Tapah	Perak	WAGS-1134	Mat Jailani Bin Arshad @ Alit	14.8656			X
228	Tapah	Perak	WAGS-1379	Md.Ali Bin Abdullah (Hazimah Bt Md Ali)	2.0234			
229	Tapah	Perak	WAGS-1360	Muhammad Sobirin Bin Mat Jailani	1.21			
230	Tapah	Perak	WAGS1443	Muhammad Sobirin Bin Mat Jailani & Nurnadiah Binti Mat Jailani	1.1888			
231	Tapah	Perak	WAGS-1436	Nurnadiah Bt Mat Jailani	1.1812			
232	Tapah	Perak	WAGS-1430	Pan Yoong Chong	1.2141			
233	Tapah	Perak	WAGS-1373	Phoon Chaw Weng	2.8725			
234	Tapah	Perak	WAGS-1376	Razali Bin Abdul Aziz	5.6657			X
235	Tapah	Perak	WAGS-1440	Rosenanee Bt Mustafa	0.8681			
236	Tapah	Perak	WAGS-1350	Tai Sing	3.6974			
237	Tapah	Perak	WAGS-1386	Tan Yik Wai	3.794			X

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238	Tapah	Perak	WAGS-1438	Tang Kai Tai	2.4281			
239	Tapah	Perak	WAGS-1397	Tujuh Jaya Sdn Bhd	4.047			X
240	Tapah	Perak	WAGS-1414	Wan Pik Kheong @ Wan Pek Keong	2.8328			
241	Tapah	Perak	WAGS-1348	Wong Ah Leh	1.3363			
242	Tapah	Perak	WAGS-1378	Wong Ah Sam	5.384			
243	Tapah	Perak	WAGS-1435	Wong Kim Choo	3.7759			
244	Tapah	Perak	WAGS-1366	Wong Koi Wa	3.4337			
245	Tapah	Perak	WAGS-1364	Wong Kwai Faing	4.6011			X
246	Tapah	Perak	WAGS-193	Wong Mee Mooi	2.5288			
247	Tapah	Perak	WAGS-1349	Wong Siew Keong	0.9106			
248	Tapah	Perak	WAGS-1401	Wong Song Tuck & Wong Song Keong	1.2043			
249	Tapah	Perak	WAGS-1390	Wong Swee Lan	1.3977			
250	Tapah	Perak	WAGS-1351	Yap Pek Choo	2.3548			
251	Tapah	Perak	WAGS-1374	Yong Yow Ming	15.5778			
252	Tapah	Perak	WAGS-1358	Aszemi Bin Buyong	1.2141			X
253	Tapah	Perak	WAGS-1411	Azina A/P Dongkin	14.56			
254	Tapah	Perak	WAGS-1380	Bah Ayoh Bin Tampong (Bapa)	1.6187			
255	Tapah	Perak	WAGS-1441	Diman A/L Lahit & Asmah A/P Dongkin	4.4514			X

256	Tapah	Perak	WAGS-188	Herzuza A/P Dongkin	8.0939			X
257	Tapah	Perak	WAGS-1357	Itam Bin Uda	2.6303			
258	Tapah	Perak	WAGS-1363	Pandak A/L Gasah	2.0232			
259	Tapah	Perak	WAGS-1433	Rahim A/L Buyong	0.8093			
260	Tapah	Perak	WAGS-1404	Ramli Bin Chot	2.0233			
261	Tapah	Perak	WAGS-1355	Uda A/L Ngangeh	2.4887			
				Total	349.1555			

Appendix H: List of Abbreviations

BOD	Biochemical Oxygen Demand
CB	Certification Bodies
CHRA	Chemical Health Risk Assessment
COD	Chemical Oxygen Demand
CPO	Crude Palm Oil
CSPO	Certified Sustainable Palm Oil
CSPKO	Certified Sustainable Palm Kernel Oil
EFB	Empty Fruit Bunch
EHS	Environmental, Health and Safety
EIA	Environmental Impact Assessment
EMS	Environmental Management System
FFB	Fresh Fruit Bunch
FPIC	Free, Prior, Informed and Consent
GAP	Good Agricultural Practice
GHG	Greenhouse Gas
GMP	Good Manufacturing Practice
GPS	Global Positioning System
HCV	High Conservation Value
IPM	Integrated Pest Management
IP	Identity Preserved
IS - CSPO	Independent Smallholder Certified Sustainable Palm Oil
IS – CSPKO	Independent Smallholder Certified Sustainable Palm Kernel Oil
IS – CSPKE	Independent Smallholder Certified Sustainable Palm Kernel Expeller
ISCC	International Sustainable Carbon Certification
LD50	Lethal Dose for 50 sample
MB	Mass Balance
MSDS	Material Safety Data Sheet
MT	Metric Tonnes
OER	Oil Extraction Rate
OSH	Occupational Safety and Health
PK	Palm Kernel
PKO	Palm Kernel Oil
POM	Palm Oil Mill
POME	Palm Oil Mill Effluent
PPE	Personal Protective Equipment
RSPO	Roundtable on Sustainable Palm Oil
P&C	Principles & Criteria
RTE	Rare, Threatened or Endangered species
SCCS	Supply Chain Certification Standard
SEIA	Social & Environmental Impact Assessment
SIA	Social Impact Assessment
SOP	Standard Operating Procedure