



SIRIM QAS INTERNATIONAL SDN. BHD.
Building 4, SIRIM Complex, No. 1, Persiaran Dato' Menteri,
Section 2, 40700 Shah Alam, Selangor, Malaysia.

File Ref. : EP09760003

RSPO PUBLIC SUMMARY REPORT

CLIENT : MEROTAI STRATEGIC OPERATING UNIT – SOU 30 MEROTAI

PARENT COMPANY : SIME DARBY PLANTATION BERHAD

RSPO MEMBERSHIP No.: 1-0008-04-000-00

LOCATION OF THE CERTIFICATION UNIT (MILL AND THE SUPPLY BASE):
(In the case of multisite certification, list additional sites in attachments) :

Certification Unit	Mill / Estate	Location		
		Latitude	Longitude	Address
MEROTAI Strategic Operating Unit (SOU 30)	Merotai Palm Oil Mill	4° 23'N	117° 83' E	91007, Tawau, Sabah
	Merotai Estate	4° 23'N	117° 47' E	91007, Tawau, Sabah
	Tiger Estate	4° 25'N	117° 50' E	91007, Tawau, Sabah
	Table Estate	4° 22'N	117° 52' E	91007, Tawau, Sabah
	Imam Estate	4° 20'N	117° 50' E	91007, Tawau, Sabah

MAP : See Attachment 1

AUDIT DATE : 4 - 7 June 2018

DURATION : 13.5 auditor days

TYPE OF AUDIT : ☒ Annual Surveillance Audit No. 3 ☐ Recertification Audit

STANDARD : RSPO PRINCIPLE & CRITERIA MYNI 2014, AND RSPO SUPPLY CHAIN CERTIFICATION STANDARD 2014 (REVISED 14 JUNE 2017)

SCOPE OF CERTIFICATION: Production of Sustainable Crude Palm Oil and Palm Kernel Using the Mass Balance Supply Chain Model

VALIDITY OF RSPO CERTIFICATE : 13/07/2015 – 12/07/2020

The following attachments form part of this report:

Non-conformity Report(s) ☒

List of additional site(s) ☐

Report by Audit Team Leader

Name : RUZITA ABD GANI

Signature :

Date : 16/9/2018

Acknowledgement by Client's Representative

Name : MUSLIMIN BIN SULTA

Signature :

Date : 19/09/2018

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SUMMARY OF AUDITS

Stage 2 Audit				
On-site audit date	:	15-18/12/14	No. of auditor days	: 14
Audit team	:	Valence (LA), Hazani, Jagathesan		
No. of major NCR	:	3	Indicator: 2.1.1, 4.7.1 (g), 6.10.2	Closing date : 20/3/15
No. of minor NCR	:	2	Indicator : 2.1.4, 5.1.2	
Indicate the stakeholders interviewed during the on-site audit	:	Employees	Settlers	Villagers
	:	x		x
	:	Contract workers	NGOs	Govt. agency
	:			Independent growers
	:	Indigenous people	Contractor	Others (Please specify)
	:		x	
Supply base sampled	:	All 4 Estates (Merotai, Table, Imam, Tiger)		

Annual Surveillance Audit 1				
On-site audit date	:	18-21/4/16	No. of auditor days	: 13
Audit team	:	Hazani (LA), Razman, Selvasingam		
No. of major NCR	:	1	Indicator: 8.1.1	Closing date 3/6/16
No. of minor NCR	:	2	Indicator :5.4.1, 6.5.3	
Indicate by ticking the stakeholders interviewed during the on-site audit	:	Employees	Settlers	Villagers
	:	x		x
	:	Contract workers	NGOs	Govt. agency
	:			Independent growers
	:	Indigenous people	Contractor	Others (Please specify)
	:		x	
Supply base sampled	:	Merotai and Tiger Estate		
Changes since the last audit	:	Common rotation of managerial and middle management at operating units in the CU.		

Annual Surveillance Audit 2				
On-site audit date	:	25-29 April 2017	No. of auditor days	: 13.5 Auditor Days
Audit team	:	Mohd Zulfakar Kamaruzaman (LA), Rahayu Zulkifli, Rozaimiee Ab Rahman		
No. of major NCR	:	3	Indicator: 4.4.2, 5.3.2, 6.5.3	Closing date : 28/06/2017
No. of minor NCR	:	3	Indicator :2.1.3, 4.8.2, 6.1.4	
Indicate by ticking the stakeholders interviewed during the on-site audit	:	Employees	Settlers	Villagers
	:	X		X
	:	Contract workers	NGOs	Govt. agency
	:			X
	:	Indigenous people	Contractor	Others (Please specify)
	:		X	
Supply base sampled	:	Table Estate and Imam Estate		
Changes since the last audit	:	No Changes		

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Annual Surveillance Audit 3				
On-site audit date	:	4 – 7 June 2018		No. of auditor days : 13.5 auditor day
Audit team	:	Ruzita (LA), Razman, Amir, Norddin		
No. of major NCR	:	3	Indicator : MRS 01 (4.8.2) , MRS 02 (6.1.4) RAG 01 (5.13.2 and 5.13.3)	Closing date : 30/08/2018
No. of minor NCR	:	2	Indicator : MRS 03 (6.2.3) , MRS 04 (6.6.2)	
Indicate by ticking the stakeholders interviewed during the on-site audit	:	Employees	Settlers	Villagers / Local communities
		X		X
		Contract workers	NGOs	Govt. agency
		X		
		Indigenous people	Contractor	Others (Please specify)
		NA	X	
Supply base sampled	:	Merotai and Tiger Estate		
Changes since the last audit	:	No Changes		
Justification of audit planning	:	<p>Total allocation of auditor days for Merotai CU were: 13.5 auditor days</p> <p>Mill = 3 days (2 day for safety and health, environment, mill best practices, GHG verification and Social at Mill) + (1 day for supply chain certification systems)</p> <p>Merotai Estate = 3 days each for verification of safety and health, environment, good agriculture best practices, Social, HCV, TBP, Partial Certification and GHG verification plus the verification of Land History and Land Title.</p> <p>Tiger Estate = 3 days each for verification of safety and health, environment, good agriculture best practices, Social, HCV TBP, Partial Certification and GHG verification plus the verification of Land History and Land Title.</p>		
Report approved by	:	Radziah Mohd. Daud		Approval date : 16/09/2018

Annual Surveillance Audit 4				
On-site audit date	:			No. of auditor days :
Audit team	:			
No. of major NCR	:		Indicator:	Closing date :
No. of minor NCR	:		Indicator :	
Indicate by ticking the stakeholders interviewed during the on-site audit	:	Employees	Settlers	Villagers / Local communities
		Contract workers	NGOs	Govt. agency
		Indigenous people	Contractors	Others (Please specify)
Supply base sampled	:			
Changes since the last audit	:			
Justification of audit planning	:			
Report approved by	:			Approval date :

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SUMMARY OF INFORMATION

TABLE 1

TYPE OF AUDIT	STAGE 2 / RA	ASA 1	ASA 2	ASA 3	ASA 4
Projection Period			April 2017- March 2018	April 2018 – March 2019	
Certified Area (Ha)			11,446.69	11,446.69	
Planted Area (Ha)			10,431.89	*10,453.32	
Production Area (Ha)			9,693.77	9,496.84	
HCV Area (Ha)			161.23	161.23	
Certified FFB Processed (MT)			242,353.75	233,134.12	
Production of Certified CPO (MT)			56,347.52	53,478.64	
Production of Certified PK (MT)			12,117.75	11,272.04	
REMARKS	<p><u>ASA 3 : April 2018 – March 2019</u> It has been noted and verified that the hectareage difference of planted area between ASA 2 and ASA 3 was due to GPS variance at Tiger Estate. After the re-surveying activity carried out by the mapping team, it was confirmed that the planted area for Tiger Estate has been revised to 2,314.16 ha and the overall planted area for Merotai CU was at 10,453.32 ha.</p>				

TABLE 2

	PO	PK
Last years certified volume (MT)	56,347.52	12,117.75
Last years actual certified sold (MT)	0.00	2,950.07
Last years actual sold under other schemes (MT)	0.00	0.00
Last years sold conventional (MT)	53,620.00	7,450.00
New year certified volume (MT)	53,478.64	11,272.04

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AUDIT PROCESS

1.1 Certification Body

SIRIM QAS International Sdn. Bhd. is the leading certification, inspection and testing body in Malaysia. SIRIM QAS International provides a comprehensive range of certification, inspection and testing services which are carried out in accordance with internationally and nationally recognised standards. Attestation of this fact is the accreditation of the various certification and testing services by leading national and international accreditation and recognition bodies such as the Department of Standards Malaysia (STANDARDS MALAYSIA), the United Kingdom Accreditation Services (UKAS) and the International Automotive Task Force (IATF). SIRIM QAS International is a partner of IQNet, a network currently comprising of leading certification bodies in Europe, North and South America, East Asia and Australia. SIRIM QAS International has vast experience in conducting audits related to RSPO certification. It has certified more than a hundred palm oil mills and several estates to ISO 14001 & OHSAS 18001. SIRIM QAS International has also conducted many audits for sustainable production of palm oil products against the requirements of the RSPO P&C. SIRIM QAS International was approved by the RSPO as a RSPO certification body on 21 March 2008 and accredited by ASI on 27 September 2014.

1.2 Qualification of audit team

Member of the Audit Team	Role/area of RSPO requirements	Qualifications
Ruzita Abd Gani	Lead Auditor Mill Practices, Supply Chain Occupational Health and Safety	Holds a Degree in Chemical Engineering. She had more than five years working experience in palm oil mill. Experienced in auditing on ISO 14001, OHSAS 18001, RSPO P&C, SC and MSPO.
Amir Bahari	Auditor Environment & Occupational Health and Safety	Possessed B. Sc (Hons) Chemistry from Universiti Sains Malaysia 1985. He has been in the Plantations Industry for 30 years having served Palm Oil Mills and Oil Palm Estates. He was involved in the auditing line since 2014 with experience in GAP, Mill Best Practices, RSPO, and Environmental & OHS.
Mohd Razman Salim	Auditor Social issues & Biodiversity	Possessed B.Sc.Forestry (Hons) from University Putra Malaysia with more than 6 years of working experience in the Forest Management, forest, HCVF and ecology. Experienced in auditing on OHSAS 18001 & RSPO.
Norddin Abd Jalil	Auditor Good Agricultural Practice (GAP) & Occupational Health and Safety	Holds B.Sc. Agriculture (weed management) and had more than 35 years of working experience in plantation management covering rubber and oil palm. He was involved in the auditing line since 2014 with experience in GAP, RSPO & OHS.

1.3 Audit methodology

The audit covered the Merotai palm oil mill and two of its supply base. The sampling of the number of the supply base was using the formula of $0.8\sqrt{y}$. The two supply base covered during the audit are Merotai Estate and Tiger Estate. The audit included on-site audit to the estates, mill and settlers' houses to verify the implementation of the requirement of the certification. Interviews with the CU's management, employees, contractors and other relevant stakeholders were also conducted during the audit.

1.4 Stakeholder Consultation

The audit team has conducted interviews with relevant stakeholder during the on-site audit. Among the stakeholders consulted were the local communities from Kg. Hj. Matahir and Kg. Simpang Empat, foreign workers, canteen operator, sundry shops operator, mill suppliers, Department of Environment, estate mandore, gender representative, person in charge of Humana School and child care facilities, FFB transporters, independent smallholders, outgrower and surrounding FFB collection center.

1.5 Audit plan : Refer to Attachment 2

1.6 Date of next audit : The next surveillance audit will be conducted within 12 months but not sooner than 8 months from this audit.

2.0 SCOPE OF CERTIFICATION AUDIT

2.1 Description of the certification unit

The Merotai Certification Unit (Merotai CU) is one of the Strategic Operating Unit (SOU) of Sime Darby Plantation Berhad (SDPB). Located in Tawau, Sabah, East Malaysia, the CU is also known as SOU 30. The CU was initially certified to the RSPO P&C by SIRIM QAS International Sdn Bhd in 2009 until 2014. However, since the renewal was not carried out prior to the expiry of the certificate, a new stage 2 was carried out in 2015 and was later certified again on 13 July 2015.

The Merotai CU comprises of the Merotai Palm Oil Mill (Merotai POM) and four supply base i.e. the Merotai Estate, Tiger Estate, Table Estate and Imam Estate. All the estates are owned by SDPB and were fully developed, hence, the principle 7 of the RSPO Principles & Criteria is not applicable. Merotai POM has a milling capacity of 90 mt/hr.

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2.2 Description of the Supply Base (including the planting profile)

The FFB sourced from company owned estates that are certified and a small proportion from third party suppliers. Details of the FFB contribution from each source to the Merotai Palm Oil Mill were as follow

Table 1: Actual FFB production by the supply base for the reporting period (April 2017 to March 2018)

FFB Supplier	FFB Production	
	Tonnes	Percentage (%)
Merotai Estate	73,693.04	19.94
Tiger Estate	61,011.51	16.51
Imam Estate	66,271.93	17.93
Table Estate	52,200.33	14.12
Independent smallholders	116,437.87	31.50
Total	369,614.68	100

Table 2: Projected FFB production by supply base for the reporting period (April 2018 to March 2019)

FFB Supplier	FFB Production	
	Tonnes	Percentage (%)
Merotai Estate	73,678.89	23.27
Tiger Estate	51,363.00	16.22
Imam Estate	58,253.86	18.40
Table Estate	49,838.37	15.74
Independent smallholders	83,500.00	26.37
Total	316,634.12	100

Table 3: Actual FFB received and CPO & PK despatch by the Mill for the reporting period (April 2017 – March 2018)

RSPO Supply Chain Model : Mass Balance	Total (MT)
FFB Received	369,614.68
FFB Processed	370,290.13
Certified FFB Processed	253,176.81
Non-certified FFB Processed	116,437.87
Crude Palm Oil (CPO)	
Overall CPO Production	80,022.68
Certified CPO Production	54,713.55
Certified CPO delivered as RSPO	0.00
Certified CPO delivered as non-RSPO	53,620.00
Certified CPO delivered under other sustainable schemes	0.00
Palm Kernel (PK)	
Overall PK Production	15,997.32
Certified PK Production	10,937.78
Certified PK delivered as RSPO	2,950.07
Certified PK delivered as non-RSPO	7,450.00
Certified CPO delivered under other sustainable schemes	0.00

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Table 4: Projected FFB received and CPO & PK despatch by the Mill for the reporting period
(April 2018 to March 2019)

RSPO Supply Chain Model : Mass Balance	Total (MT)
FFB Received	316,634.12
FFB Processed	316,634.12
Certified FFB Processed	233,134.12
Non-certified FFB Processed	83,500.00
Crude Palm Oil (CPO)	
Overall CPO Production	72,632.64
Certified CPO Production	53,478.64
Certified CPO delivered as RSPO	53,478.64
Certified CPO delivered as non-RSPO	0
Certified CPO delivered under other sustainable schemes	0
Palm Kernel (PK)	
Overall PK Production	15,309.12
Certified PK Production	11,272.04
Certified PK delivered as RSPO	11,272.04
Certified PK delivered as non-RSPO	0
Certified CPO delivered under other sustainable schemes	0

Table 5 Planted and certified area of the CU

Estate	Planted (ha)	Certified (ha)
Merotai	2,686.12	3,052.66
Tiger	2,314.16	2,444.96
Table	2,071.76	2,083.78
Imam	3,381.28	3,865.29
Total	10,453.32	11,446.69

Table 6 Planting profile for Merotai Estate

Year of planting	Planting cycle (1st, 2nd, 3rd, etc. Generation)	Mature / Immature	Planted area (ha)	Percentage of planted area (%)
1992	2nd	Mature	36.18	1.35
1995	1st	Mature	25.03	0.93
1995	2nd	Mature	46.23	1.72
1994	2nd	Mature	32.64	1.22
1996	1st	Mature	51.86	1.93
1998	1st	Mature	71.93	2.68
1999	2nd	Mature	155.87	5.80
2000	1st	Mature	317.16	11.81
2000	2nd	Mature	95.93	3.57
2001	2nd	Mature	234.54	8.73
2002	2nd	Mature	293.71	10.93
2004	3rd	Mature	84.67	3.15
2005	2nd	Mature	298.59	11.12
2007	2nd	Mature	303.06	11.28
2008	3rd	Mature	298.04	11.10
2009	3rd	Mature	193.68	7.21
2010	3rd	Mature	147.00	5.47
Total			2686.12	100

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Table 7 Planting profile for Tiger Estate

Year of planting	Planting cycle (1st, 2nd, 3rd, etc. Generation)	Mature / Immature	Planted area (ha)	Percentage of planted area (%)
1995	1st	mature	74.13	3.20
1996	1st	mature	45.89	1.98
1997	1st	mature	369.02	15.95
1998	1st	mature	945.04	40.84
1999	1st	mature	309.68	13.38
2007	2nd	mature	109.03	4.71
2010	2nd	mature	46.75	2.02
2016	2nd	Immature	197.07	8.52
2017	2nd	Immature	217.55	9.40
Total			2314.16	100

Table 8 Planting profile for Table Estate

Year of planting	Planting cycle (1st, 2nd, 3rd, etc. Generation)	Mature / Immature	Planted area (ha)	Percentage of planted area (%)
1995	1st	Mature	33.55	1.63
1996	1st	Mature	3.69	0.18
1997	1st	Mature	341.45	16.48
1998	1st	Mature	1199.27	57.88
1999	1st	Mature	417.40	20.15
2015	2nd	Immature	76.40	3.68
Total			2,071.76	100

Table 9 Planting profile for Imam Estate

Year of planting	Planting cycle (1st, 2nd, 3rd, etc. Generation)	Mature / Immature	Planted area (ha)	Percentage of planted area (%)
1995A	2nd	Mature	55.73	1.65
1995B	2nd	Mature	56.68	1.68
2018A	3rd	Mature	55.73	1.65
2018D	3rd	Mature	56.68	1.68
2018B	3rd	Mature	58.56	1.73
2018C	3rd	Mature	55.73	1.65
2018E	3rd	Mature	54.79	1.62
1996D	2nd	Mature	4.72	0.14
2002A	2nd	Mature	63.29	1.87
2005A	2nd	Mature	26.45	0.78
2009C	2nd	Mature	55.00	1.63
2009B	2nd	Mature	56.00	1.66
2009A	2nd	Mature	56.00	1.66
02K1	2nd	Mature	82.18	2.43
02K2	2nd	Mature	75.23	2.22
04K3	2nd	Mature	73.68	2.18
04K2	2nd	Mature	94.46	2.79
04K1	2nd	Mature	72.46	2.14
05K3	2nd	Mature	66.12	1.96
05K2	2nd	Mature	101.07	2.99
05K1	2nd	Mature	85.46	2.53
00G	2nd	Mature	137.85	4.08
08G	2nd	Mature	56.84	1.68
2009F	2nd	Mature	69.00	2.04
2009G	2nd	Mature	81.00	2.40

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2010B	2nd	Mature	92.00	2.72
2010C	2nd	Mature	122.00	3.61
2011B	2nd	Mature	107.63	3.18
2011C	2nd	Mature	94.40	2.79
00R3	2nd	Mature	94.46	2.79
00R2	2nd	Mature	68.91	2.04
00R1	2nd	Mature	103.91	3.07
01R	2nd	Mature	14.90	0.44
08R1	2nd	Mature	125.00	3.70
08R2	2nd	Mature	49.00	1.45
2009E	2nd	Mature	89.00	2.63
2009D	2nd	Mature	103.00	3.05
2010A	2nd	Mature	114.00	3.37
2011A	2nd	Mature	86.90	2.57
2014A	2nd	Immature	53.84	1.59
2014B	2nd	Immature	58.56	1.73
2015A	2nd	Immature	72.73	2.15
2015B	2nd	Immature	20.78	0.61
2017A	2nd	Immature	60.45	1.79
2017B	2nd	Immature	56.47	1.67
2017C	2nd	Immature	51.01	1.51
2017D	2nd	Immature	46.28	1.37
2017E	2nd	Immature	45.34	1.34
Total			3381.28	100

2.3 Organizational Information/Contact Person(s)

The details of the contact person is as shown below:

Name	:	Muslimin Sulta
Position	:	Manager
Address	:	PO Box 135, 91007 Tawau, Sabah
Phone no.	:	019-380 7332
Fax no.	:	089-902843
Email	:	ldg.merotai@simedarbyplantation.com

3.0 AUDIT FINDINGS

3.1 Changes to certified products in accordance to the production of the previous year

There was no change to the certified products since the last assessment.

3.2 Progress and changes in time bound plan

- i. Have all the estates under the parent company been certified? ☐ Yes ☒ No

If no, comments on the organization's compliance with the RSPO partial certification rules :

Sime Darby Plantation – Indonesian Operations is in progress to certify all 8 new SOUs from 2017 to 2020 as verified through the Time Bound Plan (updated in December 2017). The SOUs are PT Sime Indo Agro, PT Ladangrumpun Suburabadi, PT Bersama Sejahtera Sakti, PT Bahari Gembira Ria, PT Guthrie Pecconina Indonesia, PT Mitra Austral Sejahtera (MAS), PT Sandika Nata Palma & PT Budidaya Agro Lestari.

- ii. Are there any changes to the organization's time bound plan? ☒ Yes ☐ No

If yes, comment in terms of acceptance or non acceptance on the changes in the time-bound plan?

The time bound plan for Sime Darby Plantation Sdn Bhd, updated as at December 2017 is provided in Attachment 7 of this report.

- iii. Are there associated smallholders (including scheme smallholders) in the CU ☐ Yes ☒ No

If yes, have ALL the associated smallholders (including scheme smallholders) where their fruit supply is included, by the mill, in its certification? ☐ Yes ☒ No

If no, please state reasons

Not applicable. There is no associated smallholders supplying FFB to the CU.

- iv. Any new acquisition which has replaced primary forests or HCV areas ☐ Yes ☒ No

3.3 Other changes (e.g. organizational structure, new contact person, addresses, etc.)

There were no changes since the last audit.

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3.4 Status of previous non-conformities * ☐ Closed ☒ Not closed*

* If not closed, minor non conformity will be upgraded to major non conformity
Recurring issues therefore two minor non-conformities (NCR : MZK 02 and RZ 01) raised during previous audit was upgraded to major non conformity (NCR : MRS 01 and MRS 02)

3.5. Complaint received from stakeholder (if any)

There was no complaint received from external and internal stakeholders. Interviews covers workers, contractors, suppliers and surrounding communities. In general, all the interviewed stakeholders had given positive feedback on the CU.

4.0 DETAILS OF NON-CONFORMITY REPORT

4.1 For P&C (Details checklist refer to Attachment 3) :

Total no. of minor NCR(s) List :2 MRS 03 (6.2.3) , MRS 04 (6.6.2)
 (details refer to Attachment 4)

Total no. of major NCR(s) List :2 MRS 01 (4.8.2) , MRS 02 (6.1.4)
 (details refer to Attachment 4)

4.2 For SC (Details checklist refer to Attachment 5) :

Total no. of minor NCR(s) List : 0
 (details refer to Attachment 4)

Total no. of major NCR(s) List :1 RAG 01 (5.13.2 and 5.13.3)
 (details refer to Attachment 4)

5.0 AUDIT CONCLUSION

The audit team concludes that the organization has established and maintained its management system in line with the RSPO P&C requirements of the standard and demonstrated the ability of the system to systematically achieve agreed criterion & requirements.

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6.0 RECOMMENDATION

☐

No NCR recorded. Recommended to continue certification.

☐

Minor NCR(s) recorded. Corrective action plan has been accepted. Verification of the NCR(s) to be carried out in the next audit.

Note: Minor NCRs raised in the audit which are not addressed in the subsequent audit shall be upgraded to major NCRs .

☒

Major NCR(s) recorded. Evidence of implementation of the corrective actions have been provided and accepted by the audit team. The NCR(s) have been satisfactorily closed out.

☒

Recommended to continue certification.

☐

Major NCR(s) recorded. Evidence of implementation of the corrective actions have been provided but not fully accepted by the audit team. NCR(s)..... have not been satisfactorily closed out within 60 days of the audit. Recommended for suspension of the certificate.

Note: Major NCRs which are not addressed within a further 60 days shall result in the certificate being withdrawn.

7.0 IT IS CONFIRMED THAT ALL CORRECTIVE ACTIONS TAKEN ON MAJOR NON CONFORMITIES HAVE BEEN SATISFACTORILY REVIEWED, ACCEPTED AND VERIFIED AND ALL CORRECTIVE ACTIONS PLANS PROVIDED ON MINOR NON CONFORMITIES HAVE BEEN SATISFACTORILY REVIEWED AND ACCEPTED. RECOMMENDED FOR CONTINUATION OF RSPO P & C CERTIFICATION.

Audit Team Leader : RUZITA ABD GANI

(Name)



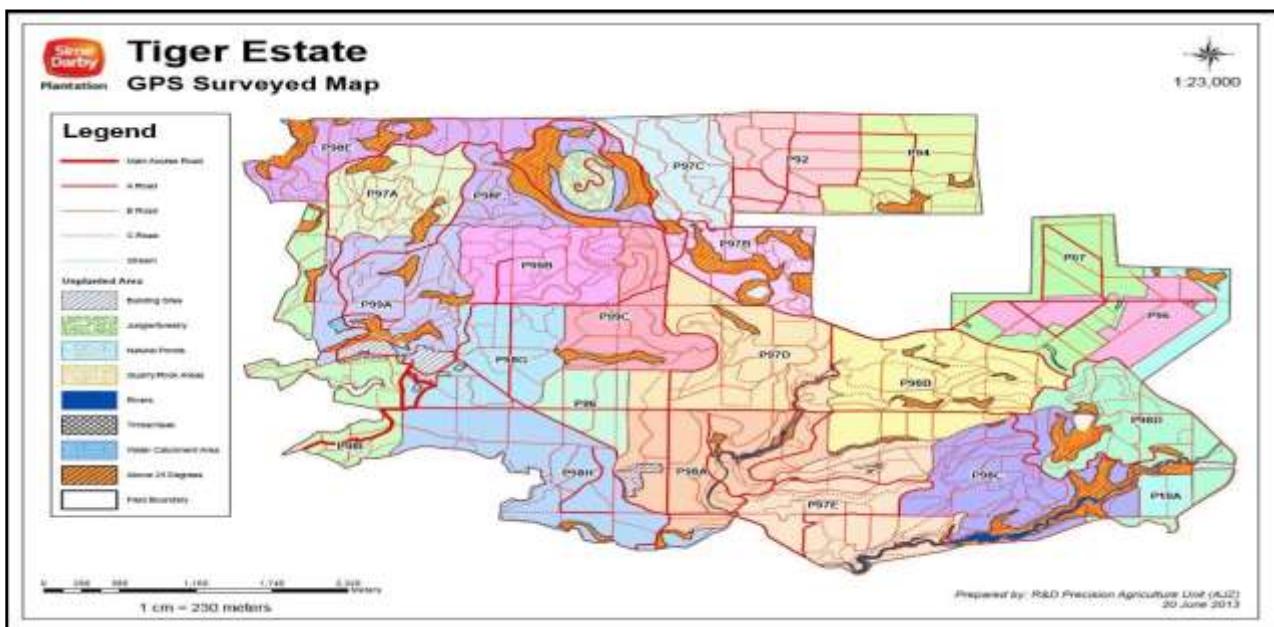
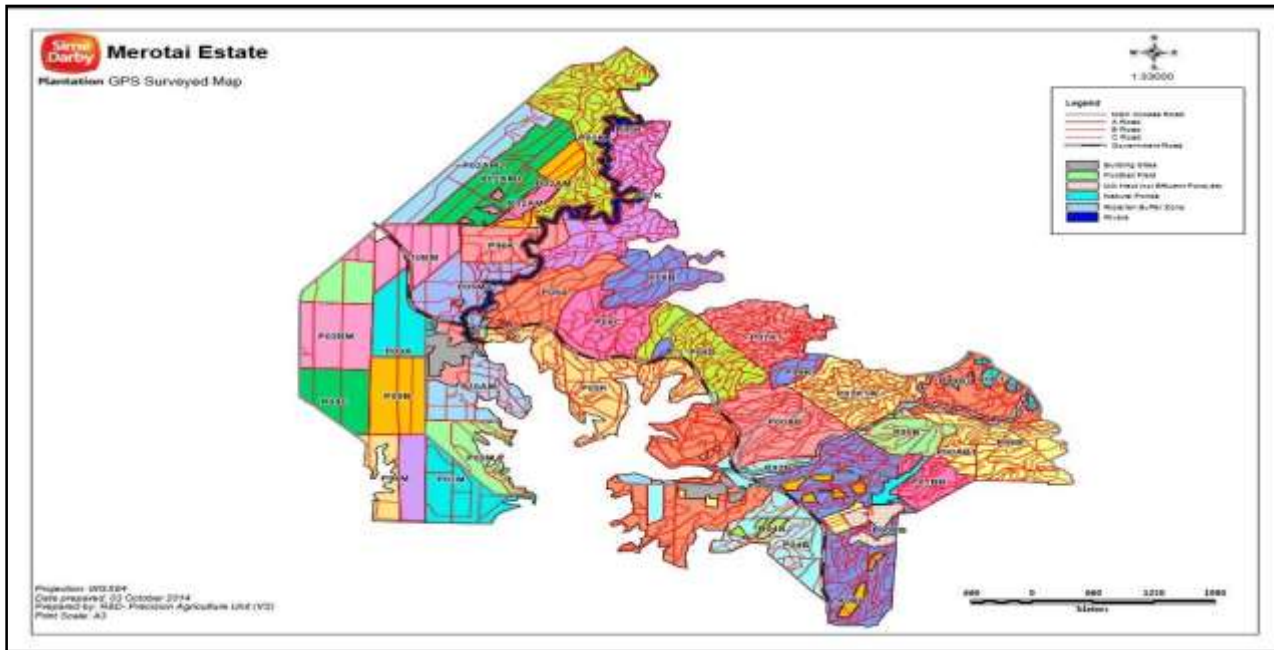
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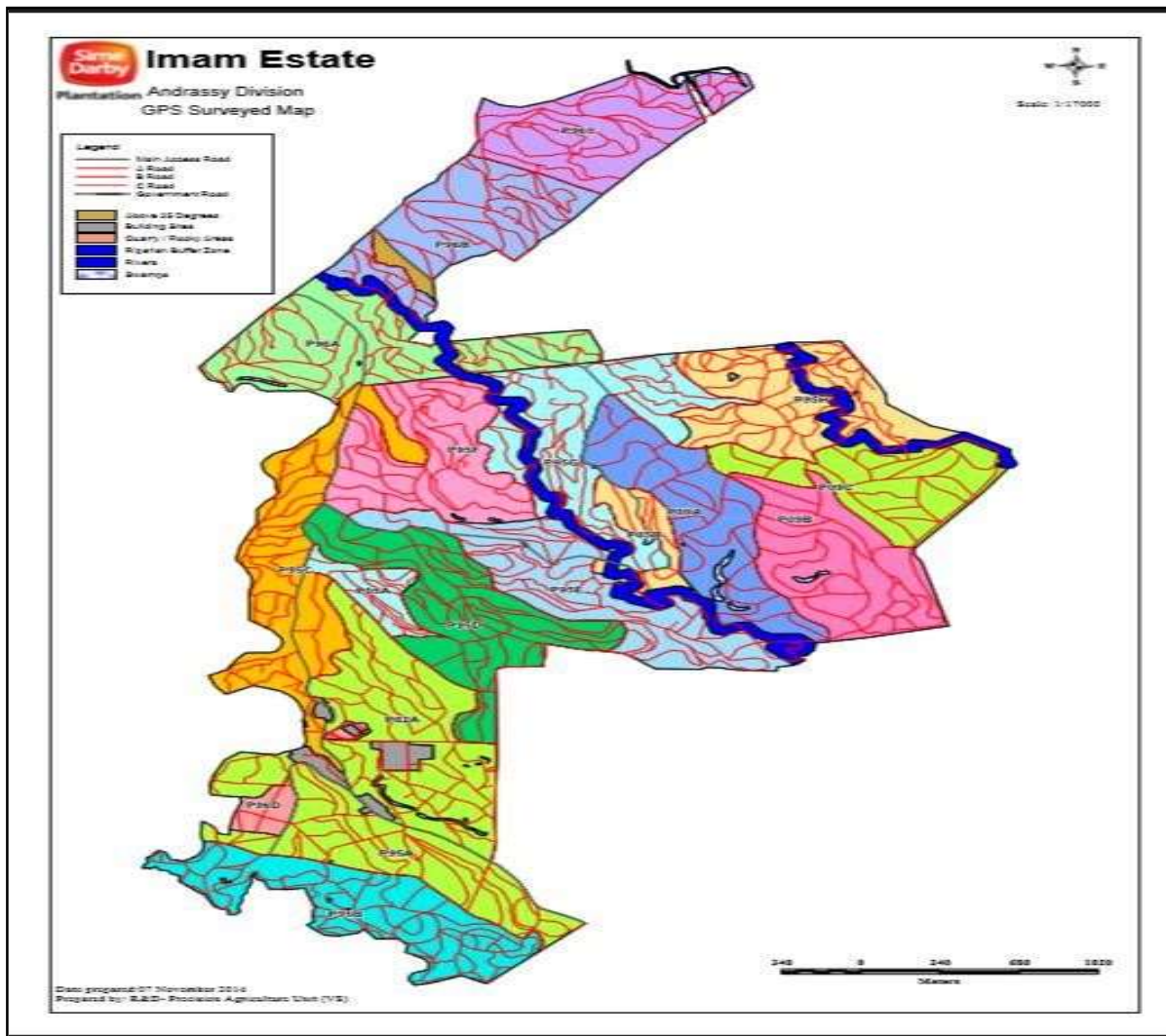
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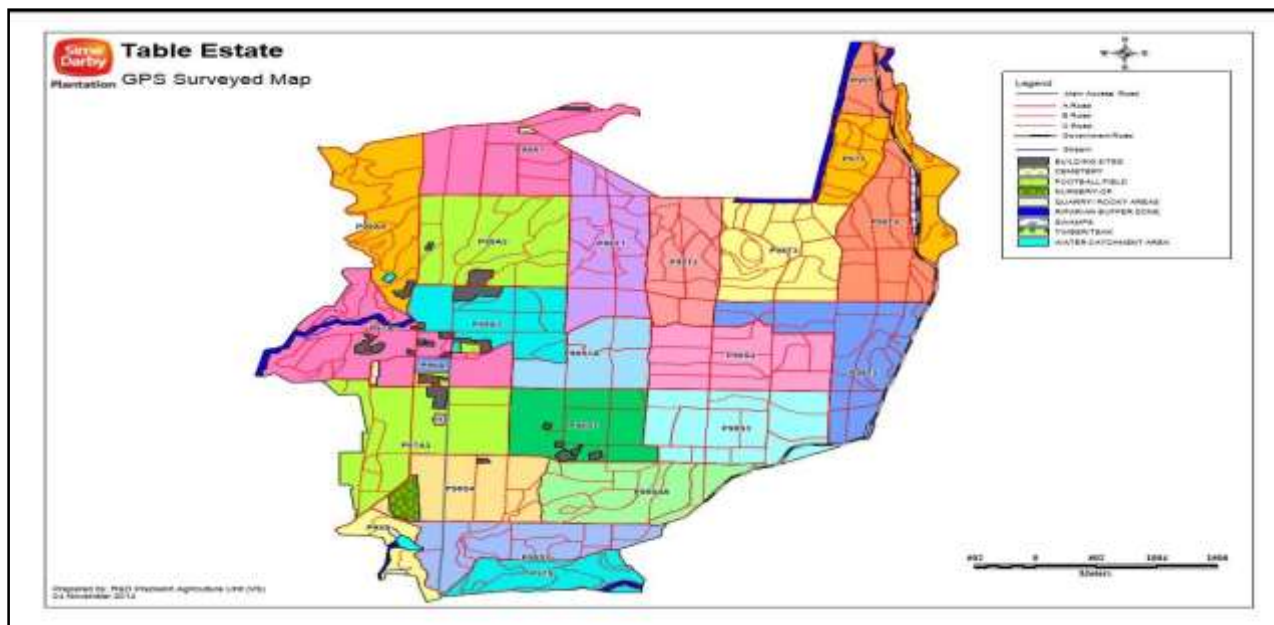
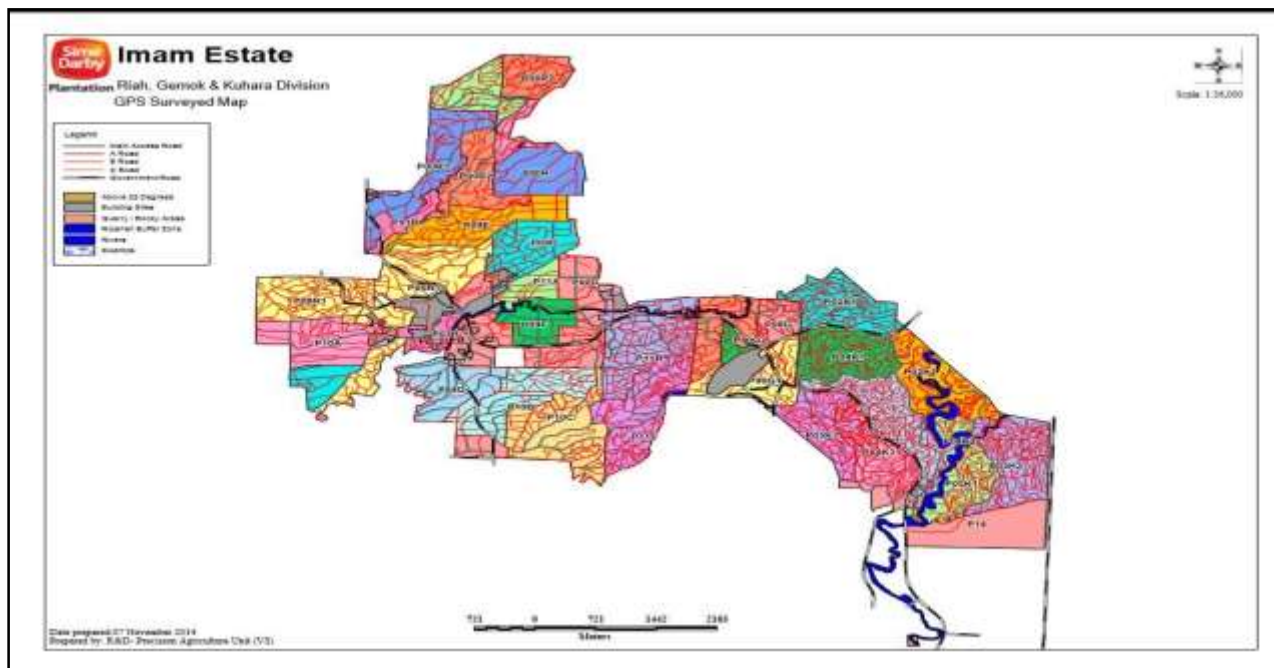
Map of SOU Merotai

Merotai Estate





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Attachment 2

SOU Merotai : Assessment Programme Details

Date / Time	Coverage of assessment / Activity / Site	Ruzita	Razman	Amir	Norddin
Day 1: 4 June 2018 (Monday)					
7.25am – 10.20am	<ul style="list-style-type: none"> MH 2660 : Travelling day : KLIA to Tawau Airport Tawau Airport to Merotai CU , Guest House Golden Abaca 	/	/	/	
2.40pm – 5.30pm	<ul style="list-style-type: none"> MH 2664 : Travelling day : KLIA to Tawau Airport Tawau Airport to Merotai CU , Guest House Golden Abaca 				/
Day 1: 4 June 2018 (Monday)					
1.30pm – 2.00pm	Opening Meeting – Venue: Merotai Estate <ul style="list-style-type: none"> Audit team Leader - Briefing on assessment objectives, scope, methodology, confidentiality clarification, audit criteria and programmes Organization Representative - Briefing RSPO implementation, significant change on organization activity, structure, certified areas, machinery, FFB supply bases. 	/	/	/	
2.00pm – 4.30pm	Assessment at Merotai Estate P1, P2, P4, P5, P6, Partial certification & Time bound Plan <ul style="list-style-type: none"> Verification of basic information mill & estate Social aspects - SIA, management plan & implementation, workers' quarters, HCV Stakeholder consultation with affected communities surrounding the CU Environmental and safety & health issues 	/	/	/	
5.00pm – 5.30pm	Audit team discussion				
5.30pm	End of day 1	/	/	/	
Date / Time	Coverage of assessment / Activity / Site	Ruzita	Razman	Amir	Norddin
Day 2: 5 June 2018 (Tuesday)					
8.00am – 12.00pm	Site observation at Merotai Mill P1, P2, P4, P6 <ul style="list-style-type: none"> Social aspects -SIA, management plan & implementation, workers' quarters, Stakeholder consultation with affected communities surrounding the CU Interview with gender committee, safety committee, worker representative, contractors, supplier, etc. Milling Practice , Environmental and Occupational safety & health aspects , chemical management Site observation to Merotai Estate P1, P2, P3, P4, P7, P8 <ul style="list-style-type: none"> Good Agricultural Practice such as harvesting, weeding, spraying, EFB mulching, POME application, IPM, New planting Training and competence., Environmental & Safety issues 	/	/		
12.30pm – 1.30pm	Afternoon Break				

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1.30pm – 5.00pm	Continue assessment at Merotai Mill P1, P2, P5 <ul style="list-style-type: none"> • Milling practise, Training and competence, Environmental & Safety issues, Transparency, • Social issue , interview with stakeholders e.g. contractor, supplier , workers Continue assessment at Merotai Estate P1, P2, P3, P4, P7, P8 <ul style="list-style-type: none"> • Good Agricultural Practice, New planting, • Environmental & Safety issues 	/	/	/	/
5.00pm – 5.30pm	Audit team discussion & End of Day 2				
Date / Time	Coverage of assessment / Activity / Site	Ruzita	Razman	Amir	Norddin
Day 3: 6 June 2018 (Wednesday)					
8.00am – 12.30pm	Assessment at Merotai Mill <ul style="list-style-type: none"> • RSPO Supply Chain Standard requirements including modular requirements 	/			
	Continue assessment at Merotai Estate P1, P2, P3, P4, P7, P8 <ul style="list-style-type: none"> • Good Agricultural Practice such as harvesting, weeding, spraying, EFB mulching, POME application, IPM, New planting • Environmental, Health & Safety issues , Training and competence • Social aspects -SIA, management plan & implementation, workers' quarters, interviews with stakeholders, 		/	/	/
12.30pm – 1.30pm	Afternoon Break				
1.30pm – 5.00pm	Site observation to Tiger Estate P1, P2, P3, P4, P7, P8 <ul style="list-style-type: none"> • Good Agricultural Practice such as harvesting, weeding, spraying, EFB mulching, POME application, IPM, New planting • Environmental, Health & Safety issues , Training and competence • Social aspects -SIA, management plan & implementation, workers' quarters, interviews with stakeholders, HCV 		/	/	/
5.00pm – 5.30pm	Audit team discussion & End of Day 2				
Date / Time	Coverage of assessment / Activity / Site	Ruzita	Razman	Amir	Norddin
Day 4: 7 June 2018 (Thursday)					
8.30am – 12.30pm	Site observation to Merotai Mill P1, P2, P5, P8 <ul style="list-style-type: none"> • Environmental management, waste & chemical management 	/			
	Site observation to Tiger estate P1, P2, P6, P7, P8 <ul style="list-style-type: none"> • Social aspects - SIA, management plan & implementation, workers' quarters • Stakeholder consultation with affected communities surrounding the estate • Interview with gender committee, safety committee, worker representative, contractors, supplier, etc 		/	/	/

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12.30pm – 1.30pm	Afternoon Break				
1.30pm – 3.30pm	<ul style="list-style-type: none"> • Verification on outstanding issues • Audit team discussion, preparation on audit findings and issuance of nonconformity report (if any) 	/	/	/	/
3.30pm - 5.00pm	<ul style="list-style-type: none"> • Closing meeting – venue at Merotai Mill • Presentation of audit findings, positive comment, • Question & answer <p style="text-align: center;">END OF AUDIT</p>	/	/	/	/
Date / Time	Coverage of assessment / Activity / Site	Ruzita	Razman	Amir	Norddin
Day 4: 7 June 2018 (Thursday)					
5.00pm – 6.00pm	Travelling Merotai Cu to Tawau Airport	/	/	/	/

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Attachment 3

RSPO P&C AUDIT CHECKLIST AND FINDINGS

Principle 1: COMMITMENT TO TRANSPARENCY

Clause	Indicators		Comply Yes/No	Findings
C 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 upon request for information on issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making.	YES	Merotai CU has continued to implement the communication procedure. At the point of audit, there was no request for information from the stakeholders. Merotai POM, Merotai Estate and Tiger Estate management documents relating to environment, social and legal issues were made available to the public except for those prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes. Furthermore, SDPB had continued to use the internet for disseminating public information. Information relating to land titles, safety and health plans, pollution prevention plans and the procedure for complaints and grievances were available through SDPSB website at http://plantation.simedarby.com
	1.1.2	Records of requests for information and responses shall be maintained. Major Compliance	YES	Merotai POM, Merotai Estate and Tiger Estate had identified personnel responsible for handling of complaints and records of communication were identified and maintained. The internal communication was kept in the Grievance Log Book/House Defect Book/ Summary of Complaint. For, external communication records of minutes of meetings held were maintained. The records such as official letter from authority such as Labour Department and the responses were maintained in the communication file. At the point of this assessment, there has been no request for such information by the public.
C 1.2 Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.	1.2.1	Land titles/user rights	YES	There were no changes of land ownership/user rights observed since the last audit. Copies of land titles to indicate the use right were available. Original copies of land titles were maintained at the Head Office in Kuala Lumpur. In 1949 the estates in the complex including Merotai and Tiger was bought by Borneo Abaca Limited established by CDC. The initial crop was cocoa and later in 1959 developed to OP planting. Come 1996 Golden Hope Plantations Berhad acquired the property and the plantation was fully converted to full oil palm estates. Merotai Palm Oil Mill original site as adjacent to the current location. The old mill designed at capacity of 40 mt/hour was built in 1967. The new mill on completion in 2006 replaces the entire plant at a higher throughput of 90 mt/hour. Thereafter in Nov 2007 Sime Darby Plantation in the merging exercise incorporated Golden Hope Plantations in the entire Group till current.
		Occupational health and safety plans	YES	The pollution prevention and reduction plans were made available at all the assessed operating units. The documents among others are: a) Pollution Prevention Plan – FY2017/18. b) Identification and Management of Wastewater – FY2017/18. c) Contingency plan during water shortage – FY2017/18 d) Action plan to reduce fresh water usage -FY2017/18 e) Water management plan – FY2017/18

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Clause	Indicators		Comply Yes/No	Findings
		Plans and impact assessments relating to environmental and social impacts	YES	Plans and impact assessments relating to social impacts maintained available.
		HCV documentation summary	YES	HCV documentation maintained available.
		Pollution prevention and reduction plans	YES	Environmental Improvement Plan 2017 / 2018 was established in Aug 2017. The plan also includes Pollution Prevention Plan which defined the detail actions, and the timeline. The status of the actions taken was monitored.
		Details of complaints and grievances	YES	Merotai POM, Merotai Estate and Tiger Estate had identified personnel responsible for handling of complaints and records of communication were identified and maintained. The internal communication was kept in the Grievance Log Book/House Defect Book/ Summary of Complaint.
		Negotiation procedures	YES	Negotiation procedures for the Merotai CU is as described in the "Flowchart and Procedures On Handling Land Dispute". This document reviewed by the audit team during the audit.
		Continual improvement plans	YES	Sime Darby Plantation Sdn. Bhd. has committed to utilise the established system to regularly monitor and review their key activities at the mill and estates. Relevant action plans were initiated for continuous improvement in key areas of operations, environmental, safety, health and welfare of the workers as well as social contribution to the community. Details of the CU continual improvement plans have been reported in indicator 8.1. The continuous improvement plans related to environment was established and update accordingly.
		Public summary of certification assessment report;	YES	Public summary for RSPO certification assessment report can be assessed at the SIRIM QAS webpage.
		Human Rights Policy	YES	SDPB has developed a Social & Humanity Management Policy in Jan 2015. The policy was signed by the SDPB's Managing Director and copies of the same were observed displayed on various notice boards at the mill and the estates offices. The policy states among other things, that the business is to be carried out with a sense of humanity, ensuring they are socially beneficial and do not infringe on basic human rights.
C 1.3 Growers and millers commit to ethical conduct in all business operations and transactions.	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. Minor Compliance	YES	SOU Merotai was bound by the Sime Darby Plantations Sdn Bhd's Code of Business Conduct. The COBC was printed in booklets for distribution. It contains, among others, the following: <ul style="list-style-type: none"> - Equal opportunity and non-discrimination - Criminal activities - Harassment and violence - Avoiding conflicts of interests - Guarding against bribery and corruption - Anti money laundering and anti-terrorism financing - How to report a violation

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Principle 2: COMPLIANCE WITH APPLICABLE LAWS AND REGULATIONS

Clause	Indicators		Comply Yes/No	Findings
C 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. Major Compliance	YES	Generally, Merotai CU continued to comply with most of the applicable local, national and ratified international laws and regulations. Relevant licences and permits were verified during the audit. It was evident that compliance with relevant legal requirements were available. However, during site visit to the store at the Imam Estate (Andrassy Division), lapses related to the labelling of the wastes, recording and storing of were found. Thus, #Major NCR RAR 02-2017 had been raised. Refer indicator 5.3.2 of this checklist.
	2.1.2	A documented system, which includes written information on legal requirements shall be maintained. Minor Compliance	YES	Merotai CU have identified and documented their legal register with written information on legal requirements applicable to their operation. The record titled " <i>Legal Requirement Register</i> ". PSQM Department, based at Head Office is responsible to track changes in the law and the information was disseminated to all of its plantations and mills. All operating units have Legal & Other Requirements Register covering all the necessary regulatory requirements.
	2.1.3	A mechanism for ensuring compliance shall be implemented. Minor Compliance	YES	A mechanism to ensure compliance to legal and other requirement has been documented in EQMS & MQMS under Standard Operation Manual distributed to all operating units Merotai CU. PSQM Department and respective operating units will undertake the responsibility of identifying, managing, updating and tracking the legal requirement as well as monitoring the status of legal compliance.
	2.1.4	A system for tracking any changes in the law shall be implemented. Minor Compliance	YES	PSQM department, which is based in Kuala Lumpur, is responsible for tracking any changes to the Acts and Regulations.
C 2.2 The right to use the land is demonstrated, and is not legitimately contested by local people who can demonstrate that they have legal, customary or user rights.	2.2.1	Documents showing legal ownership or lease, history of land tenure (confirmation from community leaders based on history of customary land tenure, recognised NCR land) and the actual legal use of the land shall be available. Major Compliance	YES	The land titles were observed at the mill and estates. There was no record of customary land tenure, recognized Native Customary Rights land on any of the above.
	2.2.2	There is evidence that physical markers are located and visibly maintained along the legal boundaries particularly adjacent to state land, NCR land and reserves. Minor Compliance	YES	It was evident that the physical markers were visibly maintained.

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Clause	Indicators		Comply Yes/No	Findings
	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 FPIC. Minor Compliance	YES	Based on interviews with representatives from the neighbouring village and records available, there was no evidence of any land dispute at the Merotai Mill, Merotai Estate and Tiger Estate.
	2.2.4	There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes are implemented and accepted by the parties involved. Major Compliance	YES	Based on interviews with representatives from the neighbouring village and records available, there was no evidence of any land conflict at the Merotai Mill, Merotai Estate and Tiger Estate.
	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. Minor Compliance	YES	Based on interviews with representatives from the neighbouring village and records available, there was no evidence of any land dispute at the Merotai Mill, Merotai Estate and Tiger Estate, hence the mapping was not required.
	2.2.6	To avoid escalation of conflict, there shall be no evidence that oil palm operations have instigated violence in maintaining peace and order in their current and planned operations. Major Compliance	YES	Based on interviews and records available, there is no evidence of any land dispute at the Merotai Mill, Merotai Estate and Tiger Estate. Maintenance of peace is being carried out by respective teams of auxiliary police, who are responsible to guard the safety of the Mill and the estates, protection of its employees, properties and company assets. Interview with representatives from the neighbouring village also confirm that no violence has been committed in the mill and estate operations.
C 2.3 Use of the land for oil palm does not diminish the legal, customary or user rights of other users without their free, prior, and informed consent.	2.3.1	Maps of an appropriate scale showing the extent of recognised legal, customary or user rights shall be developed through participatory mapping involving affected parties. Major Compliance	YES	Based on interviews with representatives from the neighbouring village and records available, there is no evidence of any land dispute at the Merotai Mill, Merotai Estate and Tiger Estate.
	2.3.2	Copies of negotiated agreements detailing the process of FPIC shall be available and shall include:	YES	Based on interviews with representatives from the neighbouring village and records available, there is no evidence of any land dispute at the Merotai Mill, Merotai Estate and Tiger Estate. Hence, the agreements on FPIC were not required.
	a)	Evidence that a plan has been developed through consultation		

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Clause	Indicators	Comply Yes/No	Findings
	and discussion with all affected groups in the communities, and that information has been provided to all affected groups, including information on the steps that shall be taken to involve them in decision-making;		
	b) Evidence that the company has respected communities' decisions to give or withhold their consent to the operation at the time that this decision was taken;		
	c) Evidence that the legal, economic, environmental and social implications for permitting operations on their land have been understood and accepted by affected communities, including the implications for the legal status of their land at the expiry of the company's title, concession or lease on the land. Minor Compliance		
2.3.3	All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements. Minor Compliance	YES	Based on interviews with representatives from the neighbouring village and records available, there was no evidence of any land dispute at the Merotai Mill, Merotai Estate and Tiger Estate. Hence, this requirement was not applicable.
2.3.4	Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel. Major Compliance	YES	Based on interviews with representatives from the neighbouring village and records available, there was no evidence of any land dispute at the Merotai Mill, Merotai Estate and Tiger Estate. Hence, this requirement was not applicable.

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Principle 3: COMMITMENT TO LONG-TERM ECONOMIC AND FINANCIAL VIABILITY

Clause	Indicators		Comply Yes/No	Findings
C 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 (min. 3yrs) shall be documented. That includes, where appropriate, a business case for scheme smallholders. Major Compliance	YES	Merotai SOU continued to achieve long term economic and financial viability through documented management plan projected to year 2022/2023. A business plan including crop forecast, capital expenditure, operational expenditure, general charges, profit and loss covering the period of 2017/2018 to 2022/2023 had been prepared for both estates and made available to the audit team. The annual budgets and projections were prepared on an annual basis.
	3.1.2	An annual replanting programme projected for a minimum of five years with yearly review, shall be available. Minor Compliance	YES	The replanting programme for the year 2017/2018 until 2022/2023 were sighted for both estates. This programmes are reviewed once a year and had been incorporated into their annual financial budget.

Principle 4: USE OF APPROPRIATE BEST PRACTICES BY GROWERS AND MILLERS

Clause	Indicators		Comply Yes/No	Findings
C 4.1 Operating procedures are appropriately documented, consistently implemented and monitored.	4.1.1	SOPs for estates and mills shall be documented. Major Compliance	NO	Merotai CU, the SOPs for each of the process had continued to be implemented. Brief version of the SOPs were displayed at the appropriate locations. Copies of the documented SOPs were presented to the audit team. Generally, it was observed that activities being implemented involved safety and health, environmental, quality, employees, etc.
	4.1.2	A mechanism to check consistent implementation of procedures shall be in place. Minor Compliance	YES	The mechanisms to check the implementation of procedures were carried out through RSPO internal audit by PSQM team, PA report, safety and health meeting and routine inspection by assistant manager, staff and hospital assistant. In addition, team QA from HQ has conducted quarterly monitoring on quality of implementation procedure such as loose fruit collection, harvested bunch left and un-harvested bunches, safe working condition and mechanization.
	4.1.3	Records of monitoring and any actions taken shall be maintained and available, as appropriate. Minor Compliance	YES	Records of monitoring and actions taken by the Merotai SOU continued to be maintained. This is to ensure that the established procedures were consistently implemented. Among the records sighted at the estates included Work Program Sheets, Field cost books, Bin cards, Harvesting Intervals, Monthly Progress & Report Account, rainfall data and Daily muster chits. Harvesting standards were monitored using SDPB's Plantation Micro Macro Program (PMMP).
	4.1.4	The mill shall record the origins of all third-party sourced FFB. Major Compliance	YES	Merotai POM has received third party FFB as well as Sime Darby own FFB. It was confirmed through interviewed with weighbridge operator and sighted weighbridge summary record no fresh fruit bunches were sourced from third-party.
C 4.2 Practices maintain soil fertility at or,	4.2.1	There shall be evidence that good agriculture practices, as contained in Standard	YES	Both Estates practiced the maintenance of long-term soil fertility by annual application of fertilisers based on periodic foliar and soil analysis, biomass retention (pruned fronds left to decompose in the fields) and some EFB and compost application.

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Clause	Indicators		Comply Yes/No	Findings
where possible, improve oil fertility to a level that ensures optimal and sustained yield.		Operating Procedures (SOPs), are followed to manage soil fertility to a level that ensures optimal and sustained yield, where possible. Minor Compliance		Fertilizer application, which was of paramount importance for maintenance of soil fertility, were carried out based on the recommendation made by the agronomist from Sime Darby Research Sdn. Bhd. Annual fertilizer recommendations were made based on annual foliar sampling done in Mar 2018 while soil sampling was carried out on a 5 year cycle basis last done in May 2014 by Sime Darby Research Sdn. Bhd. The recommendation by the Agronomist were also available during the inspection and the application of fertilizers had been carried out as recommended and scheduled.
	4.2.2	Records of fertiliser inputs shall be maintained. Minor Compliance	YES	Fertiliser application program was monitored using records like manuring master plan, program sheets, bin cards, field cost book, manuring audits by Planning and Monitoring Department under Upstream Department from headquarters. Records of programs and applications of fertilisers were made available to auditors.
	4.2.3	There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status. Minor Compliance	YES	Periodic tissue and soil sampling were carried out in Merotai SOU to monitor changes in nutrient status and its results formed the basis for the fertilizers input recommendation. The soil analysis provided the indication of soil health and monitor the changes in the organic carbon and total nitrogen.
	4.2.4	A nutrient recycling strategy shall be in place, and may include use of EFB, POME, and palm residues. Minor Compliance	YES	Merotai SOU had a nutrient recycling strategy where palm fronds were properly stacked in the inter row to decompose and EFBs help to supplement the inorganic fertilizer thus improving the nutrient status of the field.
C 4.3 Practices minimise and control erosion and degradation of soils.	4.3.1	Maps of any fragile/marginal soils shall be available. Major Compliance	YES	During the field visit and the soil map provided it was observed that no fragile or marginal soils found in Merotai SOU.
	4.3.2	A management strategy shall be in place for plantings on slopes between 9 and 25 degrees unless specified otherwise by the company's SOP. Minor Compliance	YES	Merotai SOU had a management strategy for planting on slopes to minimise and control erosion and degradation of soils. The plantings on slopes between 9 and 25° was guided by its Slope & River Protection Policy, which was posted on the Estates notice board. Among the measures were construction of conservation terraces and construction of moisture conservation pits in steep slope areas. It was observed that practices to minimise and control erosion and degradation of soils were in place through proper stacking of fronds, EFB application, avoidance of blanket spraying, road maintenance and maintenance of soft vegetation in interlines. Cover crop were planted in the replants and in some mature areas.
	4.3.3	A road maintenance programme shall be in place. Minor Compliance	YES	Merotai SOU continued to maintain its road in accordance with the maintenance programmes. The programmes had been supported by adequate provisions in the budgets. For road maintenance both estates had used motor graders and tractor drawn rollers, back hoes, tractors with back buckets and excavators. For resurfacing crusher run were purchased. Surface run off water from roads is directed into fields and road side drains. De-silting of drains was carried out with excavators.
	4.3.4	Subsidence of peat soils shall be minimised and monitored. A documented water and	YES	No peat soils were found during the field visit in Merotai SOU. This has been confirmed with the estate mapping.

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Clause	Indicators	Comply Yes/No	Findings
	ground cover management programme shall be in place. Major Compliance		
	4.3.5 Drainability assessments where necessary will be conducted prior to replanting on peat to determine the long-term viability of the necessary drainage for oil palm growing. Minor Compliance	YES	No peat soils were found during the field visit in Merotai SOU.
	4.3.6 A management strategy shall be in place for other fragile and problem soils. Minor Compliance	YES	There were no fragile and problem soils in Merotai SOU.
C 4.4 Practices maintain the quality and availability of surface and ground water.	4.4.1 An implemented water management plan shall be in place. Minor Compliance	YES	Merotai SOU had its Water Management Plan for year 2017/2018 which was developed in order to maintain the quality and availability of natural water resources by practising efficient water consumption through various methods such as implementation of rain water harvest, construction of water gate for effective management of collection/main drain, establishment of Mucuna bracteata to prevent erosion, side drain at field road to control water, frond stacking, enhancement of ground vegetation at bare ground area.
	4.4.2 Protection of water courses and wetlands, including maintaining and restoring appropriate riparian and other buffer zones shall be demonstrated. Major Compliance	YES	Merotai SOU continued to implement their SOP and Policy on maintenance of the riparian zone. The buffers had been identified in accordance with Sabah Water Resources Enactment (1998). Interviews with the workers revealed that they understood the requirement of keeping the riparian zones free from any agricultural activities such as application of fertilizer and chemical weeding. The SOU had maintained the protection on water courses, including maintaining and restoring appropriate riparian buffer zones along all natural waterways within the estate. There was no infringement of buffer zone sighted.
	4.4.3 Appropriate treatment of mill effluent to required levels and regular monitoring of discharge quality, shall be in compliance with national regs. Minor Compliance	YES	Sighted monthly report on treated effluent discharge for the months of Jan-March 2018. Among the parameters monitored are Bio-oxygen demand (BOD), Suspended Solid (SS), Total Nitrogen (TN), Oil & Grease and Ammonical Nitrogen (AN) and result within the DOE's limit. Sighted latest quarterly report has been submitted to DOE in Apr 2018. Site visit to the effluent treatment plant was observed all ponds in good condition and well maintained. No trace of effluent over flow was sighted and flow meter reading was recorded on daily basis. An interview with operator in-charge revealed that the operation was in accordance with the standard operation procedure and legal requirements. During site visit was also sighted waste water produced from engine room were discharged through oil trap. Oil trap were collected and disposed through an approved SW contractor.
	4.4.4 Mill water use per tonne of FFB shall be monitored. Minor Compliance	YES	The mill processing water are obtained from the water catchment adjacent to the mill complex. The water usage monitoring is made on a monthly basis. There were variations of performance. Probable factors are linked to rainy days, significant boiler water rinsing/discharging for maintenance etc.

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Clause	Indicators		Comply Yes/No	Findings
C 4.5 Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate IPM techniques.	4.5.1	Implementation of Integrated Pest Management (IPM) plans shall be monitored. Major Compliance	YES	Merotai SOU continued to implement IPM in both estates and continued to manage pests, disease, weeds and invasive introduced species using appropriate IPM techniques guided by the Agricultural Reference Manual. The IPM among others includes pest management of rats, bagworms, nettle caterpillars, rhinoceros beetles and ganoderma. For bagworm control the program includes the planting of beneficial plants such as <i>Cassia cobanensis</i> , <i>Antigonon leptopus</i> and <i>Turnera subulata</i> and for rhinoceros beetles is by using pheromone traps.
	4.5.2	Training of those involved in IPM shall be demonstrated. Minor Compliance	YES	Training related to IPM implementation as per the Agricultural Reference Manual was conducted by the Assistant Managers of both estates. Records of training were available for verification.
C 4.6 Pesticides are used in ways that do not endanger health or the environment.	4.6.1	Justification of all pesticides used shall be demonstrated. The use of selective products that are specific to the target pest, weed or disease and which have minimal effect on non-target species shall be used where available. Major Compliance	YES	Merotai SOU continued to use agrochemicals based on its Agricultural Reference Manual and in the Pictorial Safety Standard Book where written justifications had been provided for various fields operations. The Manual has included a chemical register list which indicates the use of selective products that are specific to the targeted pest, weed or disease. The procedures also covered the use of PPE when handling the chemicals. The estates continued to use pesticides as per the SOPs.
	4.6.2	Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per Ha and number of applications) shall be provided. Major Compliance	YES	Merotai SOU had records to show the types of pesticides used with active ingredients and their LD50 and where these pesticides had been used, the total quantity, number of applications and active ingredients per ha. Pesticides are used only when justified and areas used are recorded in bin cards, program sheets, chemical register, field-cost books and in progress reports. Records of pesticides used were available for verification.
	4.6.3	Any use of pesticides shall be minimised as part of a plan, and in accordance with IPM plans. There shall be no prophylactic use of pesticides, except in specific situations identified in industry's Best Practice. Major Compliance	YES	Merotai SOU were committed to minimise the usage of agrochemicals by implementing IPM with the increased in the planting of beneficial plants such as <i>Turnera subulata</i> , <i>Cassia cobanensis</i> and <i>Antigonon leptopus</i> . Blanket spraying was not practiced by this CU and soft grasses maintained in the field. It had also been the practice that insecticides are used only after a threshold level has been exceeded as per the Agricultural Reference Manual and that no prophylactic use of such pesticides would be permitted.
	4.6.4	Pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam	YES	Both estates only used pesticides that were officially registered under the Pesticides Act 1974 (Act 149) and the relevant provision (Section 53A); and in accordance with USECHH Regulations 2000. From the review of the chemical register, it was noted that all pesticides used were of class ii, iii & iv. The use of paraquat had been banned in all SDPB estates. There was no evidence of pesticides that are categorised as World Health Organisation Class 1A or 1B, or that were listed by the Stockholm or Rotterdam Conventions been used. From

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Clause	Indicators	Comply Yes/No	Findings
	Conventions, and paraquat, are not used, except in specific situations identified in industry's Best Practice. The use of such pesticides shall be minimised & eliminated as part of a plan, and shall only be used in exc.circumstances. Pesticides selected for use are those officially registered under the Pesticides Act 1974 and the relevant provision and in acc. with USECHH Regs. 2000. Minor Compliance		records and interviews with workers, staff and estate assistants, found that they were trained, all precautions taken and all legal requirements met.
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 eq shall be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers. Major Compliance	YES	Records showed that pesticides were handled, used and applied by trained persons and as per the MSDS/CSDS of the pesticide. The staff and workers such as the storekeepers, sprayers, fertilizer and rat bait workers were trained and they had understood the hazards involve and how the chemicals should be used in a safe manner. The trade and generic names of the chemicals were made known to the workers through the MSDS training. It was also noted that MSDS are available at all sites during the audit.
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. Pesticides shall be stored in accordance to the Occupational Safety and Health Act 1994 (Act 514) and Regs and Orders,	YES	The chemical stores in all estates were found to be in compliance with the Occupational Safety and Health Act 1994 (Act 514) as well as in the Pesticides Act 1974 (Act 149). Records of purchase, storage and used were maintained. All of the stores were equipped with exhaust fans and the door was secured and keys held by only the store keeper and attendant. Only authorized personnel are allowed to handle the chemicals. All chemicals were segregated and fertilisers were well stacked. Relevant MSDS/CSDS were available in the stores. Empty pesticides containers were triple rinsed, holes punched in them and stored separately in the scheduled wastes store awaiting proper disposal.

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Clause	Indicators	Comply Yes/No	Findings
	Pesticides Act 1974 and Regs. Major Compliance		
4.6.7	Application of pesticides shall be by proven methods that minimise risk and impacts. Minor Compliance	YES	Pesticide applications were guided by the company's SOPs such as Safety Standard Operating Procedure, Pictorial Safety Standards, and Security Guidelines and Agriculture Reference Manual. The chemicals used in the Company's estates are the common chemicals used and established in the palm oil industry. Proper PPE and tools were provided to ensure that the application of pesticides were carried out appropriately and thus minimise risks and impact to health and safety.
4.6.8	Pesticides shall be applied aerially only where there is documented justification. Communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application. Major Compliance	YES	Aerial application of agrochemicals were not practised in Merotai SOU.
4.6.9	Evidence of continual training to enhance knowledge and skills of employees and associated smallholders on pesticide-handling shall be demonstrated or made available. Minor Compliance	YES	The staffs and workers such as the storekeepers, sprayers, fertilizer and rat bait workers were trained and they had understood the hazards involve and how the chemicals should be used in a safe manner. Attendance list was available for all the training carried out.
4.6.10	Proper disposal of waste material, according to procedures that are fully-understood by workers and managers demonstrated. Minor Compliance	YES	Domestic wastes and recycle wastes were segregated by the workers. Only organic wastes were throw at the landfill. Recycle material such as cans, glass bottle, plastic bottle and paper were sent to recycle area. Field inspection and observation confirmed chemicals were applied in accordance with the product safety precautions and workers of its risks. MSDS were made available at point of use e.g. at the workshop, store, and Estate water treatment plant. Interview with staffs and workers confirmed that they were trained and they had understood the hazards involve and how the chemicals should be used and disposed in a safe manner.
4.6.11	Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated. Major Compliance	YES	All the operating units audited performed the annual medical surveillance by a common DOSH registered Doctor. In addition there were also checks-up made on monthly basis for the chemical handlers internally by the Estate Medical Assistant.

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Clause	Indicators		Comply Yes/No	Findings
	4.6.12	No work with pesticides shall be undertaken by pregnant or breast-feeding women. Major Compliance	YES	Both Merotai and Tiger Estates complied with procedure and guidelines provided the Standard Operating Procedure. Both estates maintained the list of sprayers. Identification of pregnancy status is made by the respective appointed Medical Assistant during the monthly check-up. Field interviews with the lady workers confirmed that such a regulation is a standard practice in the estates and in compliance.
C 4.7 An occupational health and safety plan is documented, effectively communicated and implemented. The occupational health and safety plan shall cover the following:	4.7.1	An occupational health and safety policy shall be in place. An occupational health and safety plan covering all activities shall be documented and implemented, and its effectiveness monitored. Major Compliance	YES	The Group Occupational Safety & Health Management Policy had been established and implemented. The policy was signed by the Managing Director of Sime Darby Plantation and displayed prominently on notice boards in English and local language Bahasa Malaysia. The Policy is implemented through the OSH activities by the Regional PSQM Executives and monitored by PSQM Department at Head Office. Included in the policy is the commitment of the Company to provide and maintain a safe and healthy working environment of its employees & contractors & visitors. In interviews with the workers and staff during the site visit workshop, office compound, workshop, laboratory, engine room, boiler house revealed that the employees had been briefed and had understood the policy. The implementation of OSH plan was monitored by internal audits conducted by OSH officers from PSQM department.
	4.7.2	All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers. Major Compliance	YES	Both the mill and estates had identified and reviewed significant hazards and risks and determined appropriate risk control measures. The hazard identification, risk assessment and risk control (HIRARC) records, as well as CHRA reports were verified during the assessment. Appropriate risk control measures were determined and implemented for the respective activities and operation. Most of the moving part and rotating machinery were installed with machine guarding and properly covered. Appropriate administrative controls such as safety signage were displayed at all work stations in the mill and estates office and workshop. In general, the control measures were appropriate to the identified risks. A person-in-charge at each sites were appointed to monitor the implementation of the control measures.
	4.7.3	All workers involved in the operation shall be adequately trained in safe working practices. 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. Major Compliance	YES	Site visit to the office complex to observe the store management and the chemical mixing area evidenced that workers on duty were fully equipped with mask, rubber gloves, rubber boots & apron. Along the journey inside the field drivers and harvesters were noted to be in safety helmets and their sickle, harvesting knife covered with the approved type. Trainings were provided during musters and also in session held in the estate community hall. The following trainings made for the employees were reviewed accordingly. Bulk of the mill training was organised during the daily briefing prior to work commencement of each shift. Mainly the issues discussed / briefed were related to mill process operations and safety compliance. These training records are maintained in a separate book and were sighted during the audit.

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Clause	Indicators		Comply Yes/No	Findings
	4.7.4	The responsible person/s shall be identified. There shall be records of regular meetings between the responsible person/s & workers. Concerns of all parties about health, safety and welfare shall be discussed at these meetings, and any issues raised shall be recorded. Major Compliance	YES	Both the Estates / Mill Managers were appointed as the Chairman of the ESH committee. The letter of appointment dated in Jan 2018. The Manager subsequently assigned duties of ESH coordinator to the Assistants for the down line implementation of ESH practices in the estates. Similar appointment was made for Tiger Estate and the mill. All identified Executives were officially given a letter for such an appointment. Both estates and the mill management conduct regular two-way communication with their employees through the quarterly ESH meeting. The minutes of meeting held by both estates were sighted.
	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. Minor Compliance	YES	Accident and emergency procedures are available in adherence to the SPSB policy on 'Crisis Management & Emergency Response' plan - chapter 13 of PQMS, OSH manual and "Accident and Reporting and Investigation Procedure" in chapter 14 of the same manual. Each estates and mill had procedures emergencies situation as listed below in the table. There were formation of ERP Team & ERP for all the identified incidences. The organisation chart for the ERP team was established and displayed for information of the employees. The important telephone contact numbers were also provided therein. Procedures guidelines were produced by PSQM and amended to tailor to the situation differences in the estates and mills. ERT members will receive training and practice in emergency procedures appropriate to their respective workplace and degree of risk. The trainings are conducted by an accredited or qualified organisation who can demonstrate their suitability to provide training. The trained personnel for the First Aid were among the employees working in the mill on shift and also the estates staff/mandores. The first aid boxes were available at various points in the mill complex including laboratory, office, workshop, process control room etc. Similarly the estates distributed the first aid box to the mandores and brought along to the field during operations. In addition there are also first aid boxes kept in the office, store and workshops.
	4.7.6	All workers shall be provided with medical care, and covered by accident insurance. Minor Compliance	YES	The Mill and Estates provide medical care and insurance coverage for all the workers. Random records checked confirmed that the Local Workers were covered by SOCSO whereas, the foreign workers were provided with group insurance as required under the Workmen Compensation Act 1992.
	4.7.7	Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics. Minor Compliance	YES	Records of all accidents are kept and filed. The methodology of occupational injuries is recorded using LTA. This is summarized officially in the JKPP 8. Records are kept for a minimum 10 years in the office. Summary for the year is described in the JKPP 8 a mandatory requirement for submission to DOSH by Jan of the subsequent year. Cases if any are reviewed during safety meetings. Where required submissions of JKPP 6, 7 & 8 to DOSH were complied with. Investigations and revision of HIRARC where appropriate were made accordingly.
C 4.8	4.8.1	A formal training programme shall be in place that covers all	YES	Formal training programmes for 2017/2018 covered all aspects of the RSPO Principles and Criteria. Regular assessments of training needs were presented to auditors by the Merotai POM and both estates Merotai and

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Clause	Indicators		Comply Yes/No	Findings
All staff, workers, smallholders and contract workers are appropriately trained.		aspects of the RSPO P&C, and that includes regular assessments of training needs and doc. of the programme. Major Compliance		Tiger Estate Year 2017/2018 Training Plan was established in July 2017. A training needs identification matrix has been established with target dates for the training to be conducted. The training program includes ESH Legal & Other requirements, Safe handling of Electrical Equipment, Use & Standard Exposure of Chemical Hazardous to Health (USECHH) 2000, Accident Investigation Techniques, Emergency Respond Plan Training, First Aid Training, Scheduled waste management etc
	4.8.2	Records of training for each employee shall be maintained. Minor Compliance	NO	The CU had trained their staff, workers and records of training were kept in the RSPO training file at each respective offices. The records included information on the title of the training, name and signature of the attendees, name of the trainer, time and venue. The training records were verified during the conduct of audit. However, auditor has found that in Merotai POM, the records of training for social aspects was not available for the following; Human rights policy, Sexual harassment policy, Reproductive rights policy, Code of ethics & Grievance mechanism. Due to recurrence of the same issue, the previous Minor NCR MZK 02 2017 was upgraded to Major NCR MRS 01/2018.

Principle 5: ENVIRONMENTAL RESPONSIBILITY AND CONSERVATION OF NATURAL RESOURCES AND BIODIVERSITY

Clause	Indicators		Comply Yes/No	Findings
C 5.1 Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.	5.1.1	An environmental impact assessment (EIA) shall be documented. Major Compliance	YES	Merotai CU has established its environmental aspects / impacts register associated with their activities. Environmental aspect and impact which covers form upstream activities such as FFB reception until downstream processes was sighted during assessment. Established for 2017/ 2018. Identification and evaluation of environmental impact was done for all activities and processes related to the mill operation. Among the most significant environmental receptors are the boiler stack emission which associated with air emission, palm oil mill effluent (POME) discharge and land contamination which related to managing the schedule waste and general waste. For the estate operation, all activities from harvesting, pest and disease, upkeep programme until delivery to mill has been identified.
	5.1.2	Where the impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a comprehensive action plan. The action plan shall identify the responsible person/s. Minor Compliance	YES	Environmental Aspect and Impact Identification Form & Environmental Impact Evaluation Form was used to identify Aspect & Impact and take necessary action. The record was reviewed in Oct 2017 by the Assistant Engineer and approved by the Mill Manager. No changes were made to the record. Waste Management Plan FY 2017 / 2018 comprising of Pollution Prevention Plan 2017/2018 has been established on 1/9/2017. Among the pollution prevention being identified are control of black smoke emissions, monitoring water course, Schedule Waste and effluent discharge monitoring. Sighted records of monitoring by the mill.
	5.1.3	This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the	YES	Pollution Identification Environmental improvement action plan' to monitor the effectiveness of the mitigation measures taken, are in place. The following indexes are being monitored: Black Smoke Monitoring, Effluent Discharge Monitoring, Monitoring Water course and Centralized collecting Schedule Waste.

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Clause	Indicators		Comply Yes/No	Findings
		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 env. impacts. Minor Compliance		Although no changes in the Merotai CU activities, the plan was reviewed in Jan 2018, continued to implement environmental related plans, which has incorporated actions and monitoring that need to implement. The implementation of plans observed annually reviewed and updated by each supply bases.
C 5.2 The status of rare, threatened or endangered species other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and operations managed to best ensure that they are maintained and/or enhanced.	5.2.1	Information shall be collated in a HCV assessment that includes both the planted area itself and relevant wider landscape-level considerations. Major Compliance	YES	The report of "HCV Re-Assessment for Strategic Operating Unit (SOU) Sabah Central – South Zone" prepared by the PSQM Department was available to the audit team. The report was completed in January 2014 had covered all the High Conservation Value within and adjacent to the CU. The HCV assessment had identified 4 potential HCV in the Merotai CU. The management decided to declare their HCV area as 161.23 ha to include the Buffer Zones and Planted area > 25 degree into the Conservation area.
	5.2.2	Where 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 an action plan. Major Compliance	YES	There was no RTE observed present in the CU. However, the CU had a regular programmes to educate its employees pertaining to the protection of the RTE as well as the protection of buffer zone.
	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 instituted in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species. Minor Compliance	YES	The CU has regularly educate its employees via morning muster briefing about the need to protect the RTE species. Appropriate disciplinary measures will be taken if found violated. Information pertaining RTE and relevant CU policies were displayed at the morning muster station. Auditor has verified HCV training record dated 28/9/2017 titled 'HCV Training for Field Workers' on 28/9/2018 which was conducted for mill and all estates under Merotai CU.
	5.2.4	Where an action plan has been created there shall be ongoing monitoring: The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported;	YES	The CU had continued to monitor its HCV areas and presence of RTE. During the field audit, there was no presence of RTE in the areas found and the monitoring records also confirmed that no significant outcomes detected. On-going monitoring of the HCV area at Merotai Estate and Tiger Estate was conducted accordingly.

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Clause	Indicators		Comply Yes/No	Findings																					
		Outcomes of monitoring shall be fed back into the action plan. Minor Compliance																							
	5.2.5	Where HCV set-asides with existing rights of local communities have been identified, there shall be evidence of a negotiated agreement that optimally safeguards both the HCVs and these rights. Minor Compliance	YES	There are two villages living nearby with the CU and it was confirmed via map and GPS system and also through interview with head of villages that there was no HCV area in the CU area set-asides for local communities.																					
C 5.3 Waste is reduced, recycled, re-used, and disposed of in an environmentally and socially responsible manner.	5.3.1	All waste products and sources of pollution shall be identified and documented. Major Compliance	YES	All waste and pollution are identified and documented in the Waste Management Plan and Pollution Prevention Plan Financial Year 2017/18. The compilation for Financial Year 2017/18 was made at SOU/Regional level.																					
	5.3.2	All chemicals and their containers shall be disposed of responsibly. Major Compliance	YES	<p>Merotai CU adopted the guidelines provided by the Agriculture Department on the empty chemicals containers management. All empty chemical containers in both estates and mill were triple rinsed, and disposed through approved licensed contractor <i>Lagenda Bumimas Sdn Bhd</i>. This DOE licensed contractor caters the collection of scheduled wastes for both mill and estates within the SDP Sabah Region.</p> <p>Sighted record of disposal made as follows by Merotai Palm Oil Mill on 02/6/18 via consignment note no B01012.</p> <table><tr><td></td><td>Date</td><td>code</td><td>SW name</td><td>Qty generated</td><td>Qty handled</td><td>Collection point</td></tr><tr><td>1</td><td>29/5/18</td><td>SW410</td><td>Used rags</td><td>87 kgs</td><td>87 kgs</td><td>SW store</td></tr><tr><td>2</td><td>02/6/18</td><td>SW109</td><td>Used florescent tube</td><td>0.029 mt</td><td>0.029</td><td>SW store</td></tr></table>		Date	code	SW name	Qty generated	Qty handled	Collection point	1	29/5/18	SW410	Used rags	87 kgs	87 kgs	SW store	2	02/6/18	SW109	Used florescent tube	0.029 mt	0.029	SW store
		Date	code	SW name	Qty generated	Qty handled	Collection point																		
	1	29/5/18	SW410	Used rags	87 kgs	87 kgs	SW store																		
2	02/6/18	SW109	Used florescent tube	0.029 mt	0.029	SW store																			
5.3.3	A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented. Minor Compliance	YES	There are procedures and guidelines in the disposal of wastes and pollutants issued by the SDPB Head Office level to minimise pollution on the routine operation.																						
C 5.4 Efficiency of fossil fuel use and the use of renewable energy is optimised.	5.4.1	A plan for improving efficiency of the use of fossil fuels and to optimise renewable energy shall be in place and monitored. Minor Compliance	YES	A plan for improving the efficiency of the use of fossil fuels was established. It has been incorporated into the Environmental Aspect and Impact activities report for 2017/18. The document was updated on every Financial Year. Sighted monitoring of diesel consumption tabulated on monthly basis for both the estates and the mill. Ratio litres/mt FFB is calculated to analyse the usage to ensure it falls within the acceptable range. Explanatory notes were provided in all analysis if the utilisation surged or the reverse. The mill recorded a mean ratio of 1.81 for the entire 11 months. In addition the mill also performed the monitoring of renewable energy usage in its operations. The data compiled as shown below.																					
C 5.5 Use of fire for preparing land or	5.5.1	There shall be no land preparation by burning, other than in specific situations as identified in the	YES	SDPSB has a policy of no open burning. As advocated, both estates practiced Zero burning. In the 2016 replants visited during the audit in both Estates, it was evident that all palms were felled, shredded, windrowed and left to decompose.																					

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Clause	Indicators		Comply Yes/No	Findings																	
replanting is avoided, except in specific situations as identified in the ASEAN guidelines or other regional best practice		'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003. Major Compliance																			
	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. Minor Compliance	YES	There was no evidence fire has been used for preparing land for replanting in both estates. The estates had adhered to the Zero Burning Policy of SDPSD.																	
C 5.6 Preamble Growers and millers commit to reporting on operational greenhouse gas emissions. However, it is recognised that these significant emissions cannot be monitored completely or measured accurately with current knowledge and methodology. It is also recognised that it is not always feasible or practical to reduce or minimise these emissions. Growers and millers commit to an implementation period until the end of December 2016	5.6.1	An assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent.	YES	An assessment of identified polluting activities is being conducted and monitored, inclusive of gaseous emissions, particulate / soot emissions and effluent. 'Pollution prevention plan and waste management action plan" – is used to identify the waste products and sources of pollution – is in place and is being reviewed and implemented accordingly.																	
	5.6.2	Significant pollutants and GHG emissions shall be identified, and plans to reduce or minimise them implemented. Major Compliance	YES	Merotai CU had identified significant GHG (methane) emission from their effluent pond. Plan to minimise the emission was carried out through the establishment of the biogas plant. As todate, biogas plant has completed commissioning stage and start operation in May 2018, Gas methane currently for flaring while biogas engine is in the installation and expected to be completed by end June 2018.																	
	5.6.3	A monitoring system shall be in place, with regular reporting on progress for these significant pollutants and emissions from estate and mill operations, using appropriate tools. Minor Compliance	YES	<div>The CU had used RSPO Palm GHG version 3.0.1 Calculator as a tool to calculate the GHG emissions. The SOU has used option 1 full version to calculate the data. The input data was verified and the following were determined: Summary of Net GHG emission:</div> <table><tr><td>Emission sources</td><td>tCO2e/tonProduct</td></tr><tr><td>CPO</td><td>1.02</td></tr><tr><td>Fuel PK</td><td>1.02</td></tr></table> <div><table><tr><td>Extraction</td><td>%</td></tr><tr><td>OER</td><td>21.68</td></tr><tr><td>KER</td><td>4.30</td></tr></table><table><tr><td>Production</td><td>t/yr</td></tr><tr><td>FFB processed</td><td>370,614.99</td></tr><tr><td>CPO produced</td><td>80,346.20</td></tr></table></div>	Emission sources	tCO2e/tonProduct	CPO	1.02	Fuel PK	1.02	Extraction	%	OER	21.68	KER	4.30	Production	t/yr	FFB processed	370,614.99	CPO produced
Emission sources	tCO2e/tonProduct																				
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CPO produced	80,346.20																				

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Clause	Indicators		Comply Yes/No	Findings		
for promoting best practices in reporting to the RSPO, and thereafter to public reporting. Growers and millers make this commitment with the support of all other stakeholder groups of the RSPO. Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.				Land use	Ha	
				OP planted area	17,972.99	
				Op planted on peat	0	
				Conservation (forested)	0	
				Conservation (non forested)	0	
				Total	17,972.99	
				Mill emissions:		
				Emission sources	tCO2e	tCO2e/tFFB
				POME	63,202.73	0.17
				Fuel consumption	2,165.04	0.01
				Grid electricity utilisation	0	0
				Export of excess electricity to housing	0	0
				Sale of PKS	0	0
				Sale of EFB	0	0
				Total	0	0

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Clause	Indicators		Comply Yes/No	Findings									
						Own Crop		Group		3rd Party		Total	
						tCO2e	tCO2e/tFFB	tCO2e	tCO2e/tFFB	tCO2e	tCO2e/tFFB	tCO2e	tCO2e/tFFB
					Emissions								
					Land Conversion	96574.4	0.37	119.91	0.44	0	0	96694.31	0.81
					*CO2 Emissions from Fertiliser	10466.96	0.04	13.25	0.05	0	0	10480.21	0.09
					**N2O Emissions	9738.28	0.04	6.99	0.03	0	0	9745.27	0.07
					Fuel Consumption	4167.78	0.02	1.79	0.01	0	0	4169.57	0.03
					Peat Oxidation	0	0	0	0	0	0	0	0
					Sinks								
					Crop Sequestration	-97522.48	-118.36	-8.96	-0.43	0	0	-97531.44	-118.79
					Conservation Sequestration	0	0	0	0	0	0	0	0
					Total	23397.94	23.58	1.92	0.09	9197.31	0	32597.17	23.67
					Palm oil mill effluent (POME) treatment:								
					Divert to compost				13%				
					Divert to anaerobic digestion				87%				
POME diverted to anaerobic digestion:													
Diverted to anaerobic pond				100%									
Divert to methane capture (flaring)				0									
Divert to methane capture (electricity generation)				0									

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Principle 6: RESPONSIBLE CONSIDERATION OF EMPLOYEES AND OF INDIVIDUALS AND COMMUNITIES BY GROWERS AND MILLERS

Clause	Indicators		Comply Yes/No	Findings
C 6.1 Aspects of plantation and mill management that have social impacts, including replanting, are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.	6.1.1	A social impact assessment (SIA) including records of meetings shall be documented. Major Compliance	YES	The Social Impact Assessment (SIA) for SOU 30 Merotai was carried out from in Sept 2013. The SIA covered Merotai Palm Oil Mill, Merotai Estate, Imam Estate, Table Estate and Tiger Estate. The SIA Report was entitled "Social Impact Assessment (SIA), SOU 30 Merotai" dated September 2013. Records of meetings were documented and made available during the audit. Among the stakeholders who attended were workers, staff, workers' union, suppliers, contractors, and teachers.
	6.1.2	There shall be evidence that the assessment has been done with the participation of affected parties. Major Compliance	YES	Based on the records available, there is evidence that the assessment was done with the participation of affected parties, whose attendance was documented and sighted during the audit.
	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, incl. responsibilities for implementation. Major Compliance	YES	Each unit within the CU mitigates negative impacts and promote positive ones by calling for meetings with their respective stakeholders. Meetings with the stakeholder included the Gender Committee meetings, OSH meetings and external stakeholders meetings. Based on minutes of the meetings, the issues raised were discussed and documented. These issues were subsequently incorporated into the SIA Action Plan for each unit.
	6.1.4	The plans shall be reviewed as a minimum once every two years and updated as necessary, in those cases where the review has concluded that changes should be made to current practices. There shall be evidence that the review includes the participation of affected parties. Minor Compliance	NO	At the Merotai Palm Oil Mill, Merotai Estate and Tiger Estate, the Action Plans were being updated every year, or sooner, such as when issues arise. However, certain issues raised by stakeholders recorded in the Stakeholders Meeting & OSH Meeting were not updated in the SIA Action Plan as verified at Merotai Estate and Tiger Estate. Due to recurrence of the same issues as raised during previous Minor NCR RZ 01 2017, this non-conformity is therefore upgraded to Major NCR MRS 02/2018.
	6.1.5	Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme). Minor Compliance	YES	There is no smallholder schemes related with the CU.
C 6.2 There are open and transparent methods	6.2.1	Consultation and communication procedures shall be documented. Major Compliance	YES	Consultation and communications procedures for Merotai CU was documented in the Standard Operating Manual (Version 1 Year 2008) entitled "Procedure for External Communications" and made available at mill and estates.

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Clause	Indicators		Comply Yes/No	Findings
for communication and consultation between growers and/or millers, local communities and other affected or interested parties	6.2.2	A management official responsible for these issues shall be nominated. Minor Compliance	YES	Nominations of management official responsible for these issues were carried out via letters of appointment. Each appointment was for one year. The job scope of the appointees state that among other things that they are to investigate complaints, counsel and advice on social issues, assist in carrying out programmes or trainings on social issues.
	6.2.3	A list of stakeholders, records of all communication, including confirmation of receipt and that efforts are made to ensure understanding by affected parties, and records of actions taken in response to input from stakeholders, shall be maintained. Minor Compliance	NO	The updated lists of stakeholders for Merotai Palm Oil Mill, Merotai Estate and Tiger Estate were available and sighted during the audit. The lists were updated as and when there are changes. However, auditor has found that Merotai POM has yet to conduct Stakeholders Meeting with affected parties to response to the action taken for all issues raised during previous Stakeholders Meeting dated 13/4/2017. Thus, a Minor NCR MRS 03/2018 was raised.
C 6.3 There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all affected parties	6.3.1	The system, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistleblowers, where requested. Major Compliance	YES	The system used by the Merotai SOU in resolving disputes exists in the procedure called "Procedure in Resolving Social Issues". This SOP is open to all stakeholders. The system was open to all aggrieved parties as evidenced by the existence. All complaints were recorded in the Complaints Book/ Laporan/Aduan Kampung Form for workers and Request Book for stakeholders. The book was accessible to all aggrieved parties, internal as well as external. An examination of the book showed that all the complaints were from internal stakeholders and related to house repairs. There were no complaints from external stakeholders. The CU maintained affirms that its dispute system is open to any affected parties. Relevant policy and procedures were observed maintained available for sighted. Anonymity of complainants and whistleblowers will not reveal to third parties where requested as explained in the job description for management social responsible person. Sime Darby also has published guideline on whistle blowing complaint at http://www.simedarby.com/Whistleblowing.aspx
	6.3.2	Documentation of both the process by which a dispute was resolved and the outcome shall be available. Major Compliance	YES	There as documentary evidence that disputes are being resolved and the outcome made available. This was made available during the audit.
C 6.4 Any negotiations concerning compensation for loss of legal, customary or user rights are dealt with through a documented system that enables	6.4.1	A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be in place. Major Compliance	YES	The procedure for identifying legal, customary or user rights, and compensation process is incorporated in the Sustainable Plantation Management System entitled: "Procedures for Handling Boundaries Disputes", and "Procedures For Handling Squatters Dispute" (land issues or ex-workers who remain in housing complex).
	6.4.2	A procedure for calculating and distributing fair compensation (monetary or otherwise) shall be established and implemented, monitored and evaluated in a	YES	In accordance with the Procedures for Handling Boundaries Disputes the procedure for calculating and distributing fair compensation falls within the purview of the Land Management Department of at the Sime Darby Head Office. The procedure stipulates for negotiation procedures to involve the respective estate management, Land Office, NGOs and the affected parties.

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Clause	Indicators		Comply Yes/No	Findings
indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.		participatory way, and corrective actions taken as a result of this evaluation. This procedure shall take into account: gender differences in the power to claim rights, ownership and access to land; differences of transmigrants and long-established communities; and differences in ethnic groups' proof of legal versus communal ownership of land. Minor Compliance		
	6.4.3	The process and outcome of any negotiated agreements and compensation claims shall be documented, with evidence of the participation of affected parties, and made publicly available. Major Compliance	YES	As of the date of the audit, no case of negotiation and payment of compensation has been carried out for verification.
C 6.5 Pay and conditions for employees and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages	6.5.1	Documentation of pay and conditions shall be available. Major Compliance	YES	For the Merotai Palm Oil Mill, Merotai Estate and Tiger Estate, documentation of pay is in the form of monthly pay slips. Conditions of pay are contained in the workers' respective employment contracts. Each pay slip documents the name of employee, month of pay, income (basic, overtime, reimbursement, allowances), deductions (statutory such as EPF, SOCSO and non-statutory such as donation to mosque funds), net salary, annual leave and medical leave taken, etc. Interview with workers reveal that they understand the contents of the pay slips and seeks explanation from the office whenever they needed any clarifications. Based on interviews with the workers, and samples of pay slips and employment contracts sighted at the Merotai Palm Oil Mill, Merotai Estate and Tiger Estate, there was evidence that employees are being paid minimum wages as stipulated under the Minimum Wage Order 2016.
	6.5.2	Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment shall be available in the languages understood by the workers or explained carefully to them by a management official. Major Compliance	YES	Contracts for local and Indonesian foreign workers at the Merotai Palm Oil Mill, Merotai Estate and Tiger Estate were sampled and confirmed that all workers and the management signed a dated contract of employment. The terms and conditions of employment are contained in the employment contracts and include duration of employment, place of work, salary, working hours, medical benefits, annual leave, sick leave, termination of service, and other benefits provided (housing, employment cost, etc).

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Clause	Indicators		Comply Yes/No	Findings
	6.5.3	Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, in accordance with Workers' Minimum Standard of Housing and Amenities Act 1990 (Act 446) or above, where no such public facilities are available or accessible. Minor Compliance	YES	Adequate housing is provided by the Merotai Oil Palm Mill, Merotai Estate and Tiger Estate. Site visits were carried out at the workers' housing. All houses have constant water supply and electricity which are provided free of charge. Even if the water and electricity supply is supplied between 2.00PM to 7.00AM daily, this is not seen as an inconvenience because each house has its own water storage tank. The houses were all in good conditions, and each houses has between 2 – 3 bedrooms. Among the facilities provided are creche, pre-school, clinic where medical treatment and facilities are provided for free, sundry shops selling daily necessities such as rice, flour, sugar, cooking oil, etc. The workers' housing areas also have a mosque, a church, a community hall, a football field, and badminton/volleyball court. Workers interviewed confirmed that the houses and amenities provided are adequate, comfortable and requests for repairs were attended to in a timely manner. The water catchment in Tiger Estate was treated for drinking water and supplied to all workers' quarters at Merotai POM, Merotai Estate and Tiger Estate. They also has clinic which was managed by the HA and estate staff.
	6.5.4	Growers and millers shall make demonstrable efforts to monitor and where able, improve workers' access to adequate, sufficient and affordable food. Minor Compliance	YES	Workers' access to adequate, sufficient and affordable food is via sundry shops available near the workers' housing. Prices at the sundry shops are adequately labelled. Workers interviewed informed that the prices in the estate shops are slightly higher than those in town, but the price difference is acceptable and not excessive. Also, due to the close proximity of the estate to Tawau town, the workers sometimes purchase items in Tawau town. Among the items sold include sugar, rice, flour, cooking oil, eggs, detergent and other daily necessities. No perishable items (such as vegetables, fish, meat) are sold at the sundry shops, but the estate allows external third party vendors to enter the estate premises to sell perishable items.
C 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 assoc. & collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.	6.6.1	A published statement in local languages recognising freedom of association shall be available. Major Compliance	YES	Recognition of freedom of association is available in the Sime Darby Plantation Social Policy dated January 2015. The policy states that the company respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. This Social Policy is applicable throughout all operating units and is printed and translated in Bahasa Malaysia and exhibited on notice boards.
	6.6.2	Minutes of meetings with main trade unions or workers representatives shall be documented. Minor Compliance	NO	The Sabah Plantation Industrial Employee Union is the union that represents workers of Merotai Palm Oil Mill, Merotai Estate and Tiger Estate. Union membership is open to both local and foreign workers. However, it was found that the record of meeting between SPIEU or workers representatives with management for year 2017 & 2018 was not available during audit at Tiger estate. The latest meeting minute verified at estate was in Jan 2016. Thus, a Minor NCR MRS 04/2018 was raised.

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Clause	Indicators		Comply Yes/No	Findings
C 6.7 Children are not employed or exploited.	6.7.1	There shall be documentary evidence that minimum age requirements are met. Major Compliance	YES	The policy on non-employment of children is contained in the Sime Darby Social Policy dated January 2015. There was no evidence that the mill and estates employed anyone below the age of 18 years as verified in the Master Lists, or list of workers. Interviews with workers and staffs, as well as observations made during field visits show that those employed were above 18 years.
C 6.8 Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.	6.8.1	A publicly available equal opportunities policy including identification of relevant/affected groups in the local environment shall be documented. Major Compliance	YES	The equal opportunities policy is contained within the Sime Darby Social Policy dated January 2015. The policy states that all employees shall be treated fairly in terms of recruitment, progression, terms and conditions of work regardless of race, caste, nationality, gender, physique, sexual orientation, union membership, political view, religion and age. The Social Policy was exhibited on notice boards in both Bahasa Malaysia and English.
	6.8.2	Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated against. Major Compliance	YES	Apart from the Social Policy which states that all employees shall be treated equally, there is also no evidence that there has been any form of discrimination against any employee, or group of employees. Payment of wages/salaries, provision of housing and access to benefits and amenities is fair based on observation, review of pay checks, contracts of employment, and interviews of staff, local and foreign workers (harvesters, sprayers).
	6.8.3	It shall be demonstrated that recruitment selection, hiring and promotion where relevant are based on skills, capabilities, qualities, and medical fitness necessary for the jobs available. Minor Compliance	YES	Based on interview with management at the Merotai Palm Oil Mill, Merotai Estate and Tiger Estate, as well as sighting of job application forms, medical reports, and job interview notes, there was evidence that hiring selection were based on job vacancies, skills, suitability to the job, capabilities and medical fitness. Recruitments of workers were made based on vacancy, and the job availability is usually made verbally during weekly muster briefing, job advertisement placed near the security post and notice board. The interviews are conducted by Manager or Assistant Manager where an evaluation form is filled up to determine the suitability of the candidate. This form was sighted during the audit. The recruitment process of staff was coordinated at the regional office, who would then recommend to HQ for approval.
C 6.9 There is no harassment or abuse in the work place, and reproductive rights are protected.	6.9.1	A policy to prevent sexual and all other forms of harassment and violence shall be implemented and communicated to all levels of the workforce. Major Compliance	YES	The policy to prevent sexual and other forms of violence is contained in the Sime Darby Social Policy. It was evident that the policy was implemented and communicated to all levels of workforce.
	6.9.2	A policy to protect the reproductive rights of all, especially of women, shall be implemented and communicated to all levels of the workforce. Major Compliance	YES	The policy to protect reproductive rights of women is contained in the Sime Darby Plantation Gender Policy. In addition, Gender Committees have been established at in the Merotai Palm Oil Mill, Merotai Estate and Tiger Estate to implement and monitor the policy. The CU has briefed all staff and workers in Feb 2018. The Gender Committee meetings are used as an avenue to disseminate information to its members regarding reproductive rights. This was further confirmed during interviews held with female workers which showed their understanding of their reproductive rights.

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Clause	Indicators		Comply Yes/No	Findings
	6.9.3	A specific grievance mechanism which respects anonymity and protects complainants where requested shall be established, implemented, and communicated to all levels of the workforce. Minor Compliance	YES	A grievance mechanism which respects anonymity and protects complaints is in place at Merotai CU, as per the Sime Darby Gender Committee Handbook 1st Edition 2014. Employees are aware of the avenue and mechanism for lodging a complaint. The CU has briefed all staff and workers in Feb & Aug 2018.
C 6.10 Growers and millers deal fairly and transparently with smallholders and other local businesses.	6.10.1	Current and past prices paid for FFB shall be publicly available. Minor Compliance	YES	Merotai POM has displayed the current prices paid for FFB at the mill's weighbridge counter. The FFB prices (OER) were displayed at the weighbridge.
	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. Major Compliance	YES	The mill publicly displayed FFB pricing mechanism at the notice board. Smallholders who were mainly from the surrounding local community will refer to the notice board for the FFB price. Based on interview conducted with FFB suppliers, they confirm that they understood the pricing of FFB carried out by the Mill. And also spare parts supplier from Power Excess Sdn Bhd to mill understood the inputs/services.
	6.10.3	Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent. Minor Compliance	YES	The supplier had understood the content of the contract and agreed that the contract is fair, legal and transparent. They have been providing their services for more than 5 years. They confirmed that the prices, the transactions entered with the mill and estates are fair and transparent.
	6.10.4	Agreed payments shall be made in a timely manner. Minor Compliance	YES	All the FFB suppliers, spare parts supplier and FFB transporter interviewed confirmed that all agreed payments were made in a satisfactory and timely manner.
C 6.11 Growers and millers contribute to local Sustainable development where appropriate.	6.11.1	Contributions to local development that are based on the results of consultation with local communities shall be demonstrated. Minor Compliance	YES	Based on records, interviews and site verification, contributions made to local development were made based on the requests from the local communities, as the case may be.
	6.11.2	Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve smallholder productivity. Minor Compliance	YES	There was no smallholder scheme in the CU.
C 6.12	6.12.1	There shall be evidence that no forms of forced or trafficked labour are used. Major Compliance	YES	Based on interview with workers and review of the employment contracts, records of wages, overtime payment, and rest day payments, there was no evidence of any forms of forced or trafficked labour within audited sites.

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Clause	Indicators		Comply Yes/No	Findings
No forms of forced or trafficked labour are used.	6.12.2	Where applicable, it shall be demonstrated that no contract substitution has occurred. Minor Compliance	YES	Based on interviews with foreign workers (kernel plant operator, lab assistants, harvesters, sprayers), all of them were aware of the types of work they would be doing before they arrived in Malaysia. The actual job undertaken was the same as what they were informed about while they were still in their home country in Indonesia. No contract substitution has therefore occurred.
	6.12.3	Where temporary or foreign workers are employed, a special labour policy and procedures shall be established and implemented. Major Compliance	YES	The Merotai CU adopts the Social Policy which stated that "All employees shall be treated fairly in terms of recruitment, progression, terms and conditions of work and representation race, caste, nationality...". There is also a procedure entitled "Sourcing Process for Foreign Workers". Based on observations and interviews of foreign workers, there was no evidence of contract substitution and no discriminatory practices against foreign workers. A post-arrival briefing was provided, in particular on the contents of their employment contracts. Foreign workers were accorded with the same living standards and accommodations as local workers.
C 6.13 Growers and millers respect human rights	6.13.1	A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations. Major Compliance	YES	The policy to respect human rights are documented in the Sime Darby Plantation's Social and Humanity Management Policy. This Policy states among others, that it will develop its businesses with a sense of humanity, ensuring that they are socially beneficial and do not infringe on basic human rights. This Policy was displayed on notice boards of the mill and the estates.
	6.13.2	As long as children of foreign workers in Sabah and Sarawak are ineligible to attend government school, the plantation companies should engage in a process to secure these children access to education as a moral obligation. Minor Compliance	YES	According to their ages, the children of foreign workers at CU attend either the Humana school, or the Community Learning Centre (CLC), both of which are located at Imam Estate. The buildings were maintained by the Merotai Estate, as well as costs of water and electricity. Teachers' accommodation are provided by Merotai Estate.

Principle 7: RESPONSIBLE DEVELOPMENT OF NEW PLANTINGS

Merotai CU has no plan for any new planting and no new development of area was observed during the visit. Auditors has verified through checking the www.globalforestwatch.com, GOOGLE Maps, Estate Maps and also through site visit to the sampled estates area i.e. Merotai and Tiger Estate. Based on the audit findings, it is confirmed that there were no new planting or new development of areas at Merotai CU. Thus Principle 7 is not applicable.

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Principle 8: COMMITMENT TO CONTINUOUS IMPROVEMENT IN KEY AREAS OF ACTIVITY

Clause	Indicators		Comply Yes/No	Findings
C 8.1 Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.	8.1.1	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. As a minimum, these shall include, but are not necessarily be limited to:		
	a)	Reduction in use of pesticides (Criterion 4.6);	YES	Merotai CU adopted several continuous improvement in reducing of pesticides i.e. increasing planting of beneficial plants mainly <i>Tunera subulata</i> , <i>Cassia cobanensis</i> and <i>Antigonon leptopus</i> and continue to monitor pest through Early Warning System. The CU also adopted planting of <i>Leguminious</i> Cover Crop mainly <i>Pueraria Javanica</i> and <i>Calopogonium Mucunoides</i> at replanting area in order to minimizing circle and selective weeding. <i>Neproliphis biserata</i> was maintained and encouraged to be planted in Merotai CU. This can be seen in their continuous improvement plan. This was to suppress growth of noxious weeds and thus reduce the use of pesticides for selective weeding. Woody sprayings were carried out whenever necessary and only twice a year. Blanket spraying was not practiced in order to encourage soft grasses in inter row and frond stacking area
	b)	Environmental impacts (Criteria 4.3, 5.1 and 5.2);	YES	Merotai to improve continually its environmental management. Environmental action plans continued reviewed and implemented. Among the improvements contained in documented: (a) Pollution Prevention Plan – FY2017/18. (b) Identification and Management of Wastewater – FY201/18. (c) Environmental Improvement Plan - FY2017/18. Among the improvement actions: (a) Repair of sump at chemical mixing and washing to prevent ground or water contamination. (b) Collect the chemicals bags and allocate store to control the misused. (c) Change method of refilling the vehicle's lubricant oil to prevent spillage. (d) Practice path grass cutting to minimise use of chemical. (e) Use of tray for tractor parking and workshop stations to prevent ground contamination.
	c)	Waste reduction (Criterion 5.3);	YES	Merotai CU continued to have documented and implemented waste management plan. i.e. "Waste Management Action Plan 2017/2018". No wastes chemicals were observed. However, scheduled wastes, including empty agrochemical containers continued to be disposed as per applicable

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Clause	Indicators		Comply Yes/No	Findings
				regulation. Domestic wastes continued disposed to landfill. Use of EFB for mulching and POME application as field irrigation.
	d)	Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8);	YES	The management of both estates and mill had plan to reduce emission by daily inspection and monitoring for their farm tractor / lorry and gen set / water treatment plant to prevent any leakage and problem which can impact on smoke emission.
	e)	Social impacts (Criterion 6.1);	YES	Social impacts were constantly updated based on inputs received from stakeholder consultations/meetings. This was evidenced in the minutes of the following meetings, and the updated Action Plans. These stakeholder meetings include Gender Committee meetings, OSH meetings and meetings with external stakeholders.
	f)	Encourage optimising the yield of the supply base Major Compliance	YES	To optimise yields, both estates implemented best agricultural practices, inclusive of: <ul style="list-style-type: none"> timely and proper fertiliser application and EFB & Compost application Improving on accessibility to maximize crop evacuation expanding in field mechanized collection of FFB constructing water bodies and water conservation pits to conserve moisture reducing surface run off to prevent leaching of fertilisers paying harvesters incentives

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Clause	Indicators		Comply Yes/No	Findings			
4.5.3 Time-bound plan Note: Where there are isolated lapses in implementation of a time-bound plan, a minor non- compliance shall be raised. Where there is evidence of fundamental failure to proceed with implementation of the plan, a major non-	(a)	As a minimum, all estates and mills shall be certified within 5 years after obtaining RSPO membership. Any new acquisitions shall be certified within a 3-year timeframe. Any deviations from these maximum periods requires approval by the RSPO Secretariat.	YES	Sime Darby Plantation – Indonesian Operations is in progress to certify all 8 new SOUs from 2017 to 2020 as verified through Time Bound Plan as at December 2017 which are:			
				No	Name of SOU	Name of Units	Time Bound Plan
				1	PT Sime Indo Agro	East and Sei Mawang	2019
				2	PT Ladangrumpun Suburabadi	Subur Abadi Plasma 1	2019
				3	PT Bersama Sejahtera Sakti	KKPA BSS	2019
				4	PT Bahari Gembira Ria	Plasma BGR	2020
				5	PT Guthrie Pecconina Indonesia	Sungai Jernih Estate and GPP KKPA	2017
				6	PT Mitra Austral Sejahtera (MAS)	MAS 1, MAS 2, MAS 3, Mas Factory	2019
						Plasma MAS	2020

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compliance shall be raised;				7	PT Sandika Nata Palma	Karya Palma	2018																	
						KKPA SNP	2020																	
				8	PT Budidaya Agro Lestari	Pelanjau, Sg. Putih and Beturus (PT BAL)	2018																	
						KKPA BAL	2020																	
	(b)	Progress towards this plan shall be verified and reported on in subsequent annual surveillance audits by the CB. Where the CB conducting the surveillance audit is different from the CB which first accepted the time-bound plan, the later CB shall accept the appropriateness of the time-bound plan at the moment of first involvement and shall only check continued appropriateness;	YES	The time bound plan set for 8 new/uncertified SOUs was appropriate and within the timeframe of three years for RSPO certification.																				
(c)	Any revision to the time-bound plan or to the circumstances of the company shall cause the time-bound plan to be reviewed by the CB. Changes to the time-bound plan are permitted only where the organization can demonstrate to the CB that they are justified. The requirements will also apply to any newly acquired subsidiary from the moment that the company is legally registered with the local notary or chamber of commerce (or equivalent);	YES	CB has received and verified time bound plan for 8 new/uncertified SOUs as at December 2017. The time bound plan was revised and endorsed by the Head of PSQM, Sime Darby Plantation Sdn Bhd - Indonesia.																					
4.5.4 Requirements for uncertified management units:	(a)	No replacement of primary forest or any required to maintain or enhance HCV accordance with RSPO P&C criterion 7.3. Any new plantings since 1 st January 2010 shall comply with the RSPO NPP. For each new planting development, compliance with the NPP shall be verified by an RSPO accredited CB;	YES	The status of 8 uncertified SOUs through Mutuagung Assessment Report were as follows: <table><tr><th>No</th><th>Name of SOU</th><th>Name of Units</th><th>Replacement of primary forest or HCV area and new planting</th></tr><tr><td>1</td><td>PT Sime Indo Agro</td><td>East & Sei Mawang</td><td>No new planting since November 2005.</td></tr><tr><td>2</td><td>PT Ladangrumpun Suburabadi</td><td>Subur Abadi Plasma 1</td><td>Smallholder project – SAP 1 is targeted for certification by 2019</td></tr><tr><td>3</td><td>PT Bersama Sejahtera Sakti</td><td>KKPA BSS</td><td>New smallholder project - KKPA Maju Bersama targeted for Certification by 2019</td></tr></table>					No	Name of SOU	Name of Units	Replacement of primary forest or HCV area and new planting	1	PT Sime Indo Agro	East & Sei Mawang	No new planting since November 2005.	2	PT Ladangrumpun Suburabadi	Subur Abadi Plasma 1	Smallholder project – SAP 1 is targeted for certification by 2019	3	PT Bersama Sejahtera Sakti	KKPA BSS	New smallholder project - KKPA Maju Bersama targeted for Certification by 2019
No	Name of SOU	Name of Units	Replacement of primary forest or HCV area and new planting																					
1	PT Sime Indo Agro	East & Sei Mawang	No new planting since November 2005.																					
2	PT Ladangrumpun Suburabadi	Subur Abadi Plasma 1	Smallholder project – SAP 1 is targeted for certification by 2019																					
3	PT Bersama Sejahtera Sakti	KKPA BSS	New smallholder project - KKPA Maju Bersama targeted for Certification by 2019																					

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				4	PT Bahari Gembira Ria	Plasma BGR	Smallholder Project – socialization is on going with the Koperasi Unit Desa (KUD).
				5	PT Guthrie Pecconina Indonesia	Sungai Jernih Estate and GPP KKPA	The Certificate Holder has sent Liability Disclosure and LUCA for PT GPI and GPP KKPA to RSPO Compensation.
				6	PT Mitra Austral Sejahtera (MAS)	MAS 1, MAS 2, MAS 3, Mas Factory & PLASMA MAS	HCV assessment was conducted in March 2009. A disclosure of liability including LUCA analysis sent to RSPO Secretariat on 24 June 2016 and expected to submit final LUCA to RSPO Secretariat office by end Dec 2017.
				7	PT Sandika Nata Palma	Karya Palma & KKPA SNP	There was a new planting area in the estate. Need to submit NPP.
				8	PT Budidaya Agro Lestari	Pelanjau & Sg. Putih (PT BAL)	No new planting activities.
						Baturus (PT BAL)	There was a new planting area in the estate. Need to submit NPP.
						KKPA BAL	No new planting activities.

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	(b)	Land conflicts, if any, are being resolved through a mutually agreed process, such as the RSPO Complaints System or Dispute Settlement Facility, in acc. with RSPO P&C 2.2, 6.4, 7.5, 7.6;	YES	The status of 8 uncertified SOUs through Mutuagung Assessment Report were as follows:			
				No	Name of SOU	Name of Units	Land conflicts
				1	PT Sime Indo Agro	East & Sei Mawang	East Estate does not have existing land conflicts with the community, the land issue is currently under the process of legality under the purview of the Ministry of Forestry, Indonesia.
				2	PT Ladangrumpun Suburabadi	Subur Abadi Plasma 1	Smallholder project – SAP 1. No land conflict.
				3	PT Bersama Sejahtera Sakti	KKPA BSS	New smallholder project - KKPA Maju Bersama. No land conflict.
				4	PT Bahari Gembira Ria	Plasma BGR	Smallholder Project. No land conflict.
				5	PT Guthrie Pecconina Indonesia	Sungai Jernih Estate and GPP KKPA	Still in process to get certificate of land use right. Head of Musi Banyuasin District concerning the Granting of Plantation Business License of PT Guthrie dated 25 Feb 2010.
				6	PT Mitra Austral Sejahtera (MAS)	MAS 1, MAS 2, MAS 3, Mas Factory & PLASMA MAS	There are land conflict. Sime Darby Plantation is submitting quarterly progress report to RSPO. The latest report was submitted on 18 Dec 2017. The details of the case is available on RSPO Website https://www.rspo.org/members/complaints/status-of-complaints/view/29
				7	PT Sandika Nata Palma	Karya Palma & KKPA SNP	No land conflict.
			8	PT Budidaya Agro Lestari	Pelanjau, Sg. Putih, Beturus & KKPA BAL (PT BAL)	No land conflict.	
(c)	Labour disputes, if any, are being resolved through a mutually agreed process, in accordance with RSPO P&C criterion 6.3;	YES	Based on the internal audit report, there were no labour dispute that are not being resolved through an agreed process for all uncertified units for all 8 uncertified units of Sime Darby Plantation Sdn Bhd - Indonesia as at December 2017.				
(d)	Legal non-compliance, if any, is being addressed through measures consistent with the requirements of RSPO P&C criterion 2.1;	YES	There was legal non-compliance on land title for 5 uncertified SOUs as listed below. These PTs waiting for land title process ; PT Sime Indo Agro 1,652 Ha, PT Bersama Sejahtera Sakti 765 Ha, PT Bahari Gembira Ria 1,639 Ha, PT Guthrie Pecconina Indonesia 4,133 Ha and PT Budidaya Agro Lestari. PT Mitra Austral Sejahtera was in progress to close non-compliances in relation to legal requirements as raised during Internal Audit Nov 2017.				

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	(e) The audit team shall assess compliance with these rules at each assessment of any of the applicable management units. Assessment of compliance with requirements 4.5.4 (a) – (d) above by the audit team based on self-declarations only by the company, with no other supporting documentation, shall not be acceptable. Verification of compliance shall be based on the following approach:																		
	<ul style="list-style-type: none"> A positive assurance statement is made, based upon self-assessment (i.e. internal audit) by organization. This would require evidence of the self-assessment against each requirement; 	YES	<p>The status of 8 uncertified SOUs through Mutuagung Assessment Report were as follows:</p> <table border="1"> <thead> <tr> <th>No</th><th>Name of SOU</th><th>Name of Units</th><th>Positive assurance statement and self-assessment</th></tr> </thead> <tbody> <tr> <td>1</td><td>PT Sime Indo Agro</td><td>East & Sei Mawang</td><td>Internal assessment was conducted on 29 May – 3 June 2017 by PT Mutuagung Lestari Auditor</td></tr> <tr> <td>2</td><td>PT Ladangrumpun Suburabadi</td><td>Subur Abadi Plasma 1</td><td>Internal assessment has been conducted for Subur Abadi Plasma 1 on 22 Feb 2017. The Subur Abadi Plasma 1 Scheme is currently undergoing RSPO Certification under PT Ladangrumpun Suburabadi pending certification. RSPO Pre-assessment has been completed on 20-24 March 2017. The contract between the Certification Body (PT Mutuagung Lestari) and PT Ladangrumpun Suburabadi is available (dated 6 March 2017) which includes the scope of the supply base of Subur Abadi Plasma stated under Clause 2, 1a. There is no outstanding land and social conflicts on the ground. HCV Assessment for Subur Abadi Plasma smallholders have been conducted (by Pollito) in July 2011 before commencement of any new planting. Land Use Change Analysis for the Plasma is in progress.</td></tr> <tr> <td>3</td><td>PT Bersama Sejahtera Sakti</td><td>KKPA BSS</td><td>New smallholder project currently under preparation to undergo RSPO Certification by 2019, internal audit for PT BSS has been undertaken, the latest internal audit has been conducted on 21 April 2018. There is no outstanding social and land conflicts on the ground. The plasma scheme has already undergone HCV Assessment (conducted by Pollito) in July 2011 before commencement of New Planting. Land Use Change Analysis is in progress.</td></tr> </tbody> </table>	No	Name of SOU	Name of Units	Positive assurance statement and self-assessment	1	PT Sime Indo Agro	East & Sei Mawang	Internal assessment was conducted on 29 May – 3 June 2017 by PT Mutuagung Lestari Auditor	2	PT Ladangrumpun Suburabadi	Subur Abadi Plasma 1	Internal assessment has been conducted for Subur Abadi Plasma 1 on 22 Feb 2017. The Subur Abadi Plasma 1 Scheme is currently undergoing RSPO Certification under PT Ladangrumpun Suburabadi pending certification. RSPO Pre-assessment has been completed on 20-24 March 2017. The contract between the Certification Body (PT Mutuagung Lestari) and PT Ladangrumpun Suburabadi is available (dated 6 March 2017) which includes the scope of the supply base of Subur Abadi Plasma stated under Clause 2, 1a. There is no outstanding land and social conflicts on the ground. HCV Assessment for Subur Abadi Plasma smallholders have been conducted (by Pollito) in July 2011 before commencement of any new planting. Land Use Change Analysis for the Plasma is in progress.	3	PT Bersama Sejahtera Sakti	KKPA BSS	New smallholder project currently under preparation to undergo RSPO Certification by 2019, internal audit for PT BSS has been undertaken, the latest internal audit has been conducted on 21 April 2018. There is no outstanding social and land conflicts on the ground. The plasma scheme has already undergone HCV Assessment (conducted by Pollito) in July 2011 before commencement of New Planting. Land Use Change Analysis is in progress.
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			4	PT Bahari Gembira Ria	Plasma BGR	Confirmation of the status is in progress. Sime Darby Plantation does not have management control over the plasma scheme. 1 out of 6 Koperasi Unit Desa (KUD) has been RSPO Certified. And all KUD is planned to undergo RSPO Certification by 2020 as reported in the timebound plan. Land Use Change Analysis has been completed for Plasma BGR. Refer to RSPO Certificate & Report for PT BGR - https://rspo.secure.force.com/membership/servlet/servlet.FileDownload?retURL=%2Fmembership%2Fapex%2FRSPOCertSearch&file=00P9000001OioYJEAZ https://rspo.secure.force.com/membership/servlet/servlet.FileDownload?retURL=%2Fmembership%2Fapex%2FRSPOCertSearch&file=00P9000001OioXOEAZ
			5	PT Guthrie Pecconina Indonesia	Sungai Jernih Estate and GPI KKPA	Sungai Jernih Estate and GPI KKPA were audited by Mutuagung as verified through Recertification Audit report. The assessment was conducted on 15 – 20 May 2017.
			6	PT Mitra Austral Sejahtera (MAS)	MAS 1, MAS 2, MAS 3, Mas Factory, Plasma MAS	Internal assessment was conducted on 9 - 10 Nov 2017 by PSQM Indonesia.
			7	PT Sandika Nata Palma	Karya Palma & KKPA SNsP	Internal assessment was conducted on 10 Feb 2017.
			8	PT Budidaya Agro Lestari	Pelanjau, Sungai Putih & Beturus (PT BAL)	Internal assessment was conducted on 18 - 23 Sept 2016. This PT also has conducted Stage 1 audit on RSPO Certification System, P&C RSPO (2016) and RSPO Supply Chain Certification Standard on 17 – 22 April 2017.
					KKPA BAL	Smallholder project – targeted for certification by 2020.
	<ul style="list-style-type: none">Targeted stakeholder consultation, including consultation with the relevant NGO's will be carried out by the audit team.	YES	Mutuagung Lestari had conducted the consultation with relevant NGO's as verified by audit team through the Mutuagung Assessment Report.			
	<ul style="list-style-type: none">Desktop study e.g. web check on relevant complaints	YES	Verified through RSPO website: https://www.rspo.org/members/status-of-complaints/			

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		<ul style="list-style-type: none"> If necessary, the audit team may decide on further stakeholder consultation or field inspection, assessing the risk of any non-compliance with the requirements. 	YES	Mutuagung Lestari had conducted the consultation with relevant NGO's and field inspection as verified by audit team through the Mutuagung Assessment Report.
<p>4.6.4</p> <p>The CB shall review whether oil palm operations have been established in areas which were previously owned by users and/or are subject to customary rights of local communities and indigenous peoples. If applicable, the CB shall consult directly with all of these parties to assess whether land transfers and/or land use agreements have been developed with their free, prior and informed consent and check compliance with the specific terms of such agreements.</p>		No additional indicators	YES	As it has been mentioned in 2.2.1 of this checklist, Merotai CU owned the land as it was bought from the previous land owner, the Sabah State Government. Based on the interviews and this audit finding, it has been confirmed that there was no such case concerning the rights of local communities and indigenous peoples at Merotai CU..
<p>Note: 1. For requirements 4.5.4 (a)-(d) above, the definition of major and minor NC is stated in the RSPO P&C. For example, if an NC against a major indicator in a non-certified management unit is identified, the current certification assessment cannot proceed to a successful conclusion unless that is actively addressed; 2. Failure to address any outstanding NC within uncertified unit(s) regarding 4.5.4 (a)-(d) may lead to certificate suspension(s) to the certified unit(s), in accordance with the provisions of these Certification Systems.</p>				

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Attachment 4

Details of Non-conformities and Corrective Actions Taken for RSPO P&C MYNI 2014

P & C Indicator	Specification Major/Minor	Detail Non-conformances	Corrective Action Taken	Verification by Auditor
Indicator 4.8.2	Major Due to recurrence of the same issue as raised during previous Minor NCR MZK 02 2017, this non-conformity is therefore upgraded to Major NCR.	Records of training for social aspects were not available during audit at Merotai POM Objective evidence: Training records for social aspects was not available at Merotai POM as listed below: <ol style="list-style-type: none"> 1. Human rights policy 2. Sexual harassment policy 3. Reproductive rights policy 4. Code of ethics 5. Grievance mechanism 	Merotai POM has include social aspect related training to the mill's yearly training plan. Merotai POM also has conducted training on to all their employees as follows: <ul style="list-style-type: none"> • 16/7/2018 – attended by office, laboratory, weighbridge • 17/7/2018 – attended by ETP, biogas, ramp • 18/7/2018 – attended by workers shift B • 19/7/2018 – attended by workshop mechanical & electrical • 23/7/2018 – attended by workers shift A 	Training programme - FY2018 / 2019 was established & include social aspects. Sighted training attendance list as well as photograph shows mill's employees had attended the training on 16, 17, 18, 19 July 2018 and 23 July 2018. Status: Closed
Indicator 6.1.4	Major Due to recurrence of the same issues as raised during previous Minor NCR RZ 01 2017, this non-conformity is therefore upgraded to Major NCR.	Certain issues raised by stakeholders recorded in the Stakeholders Meeting & OSH Meeting were not updated in the SIA Action Plan Objective evidence : <u>Merotai Estate</u> The SIA Action Plan titled 'Social Impact Management Programme for FY 2017/2018' was last updated on 14/8/2018. Although the action plan was updated regularly, some issues raised by the stakeholders during Stakeholders Meeting on 4/6/2018 was not incorporated in the SIA Action Plan such as: <ol style="list-style-type: none"> 1. Kg. Simpang Tiga request to construct drain at the end of the village to prevent flooding. 2. Repair/fixing roof for sundry shop - Kedai Shukria 	All issues raised by stakeholder in OSH meeting has included in the SIA action plan. SIA action plan to be updated once a year and when necessary (if there any related social issues raised in the meetings conducted by the estate which require further action by the estate management)	Sighted SIA action plan i.e. reviewed on 9/7/2018. The documented SIA plan has included the issues raised by the stakeholders. Status: Closed

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		<p>3. Monitoring of loafing culture (<i>budaya lepak</i>) and smoking by teenagers at CLC/Humana.</p> <p><u>Tiger Estate</u> The SIA Action Plan titled 'Social Management Plan FY 2017/2018' was last updated in May 2018. Although the action plan was updated regularly, some issues raised by the stakeholders was not incorporated in the SIA Action Plan such as:</p> <ol style="list-style-type: none"> 1) Request from Sekolah Agama Rakyat Ladang Tiger to fix air conditioner (Stakeholders Meeting). 2) Request to provide rubbish bin at Taman Impiana to avoid stray dogs (OSH Meeting – 12/12/2017). 3) To repair road slope at housing area (OSH Meeting – 5/9/2017) 		
Indicator 6.2.3	Minor	<p>Stakeholders Meeting was not conducted at Merotai POM to response to the action taken for all issues raised by stakeholders during previous Stakeholders Meeting.</p> <p>Objective evidence : Merotai POM has yet to conduct Stakeholders Meeting with affected parties to response to the action taken for all issues raised during previous Stakeholders Meeting dated 13/4/2017.</p>	Merotai POM has planned the stakeholder meeting to be conducted at least once a year. Mill also to established annual program for meeting to be conducted at the mills for easy monitoring. In this program stated the target date of the meeting to be conducted.	<p>Accepted the action plan and the implementation of the established "Program social SOU 30 – Kilang Kelapa Sawit Merotai FY 2018/2019" will be verify in the next audit.</p> <p>Status: Open</p>
Indicator 6.6.2	Minor	<p>Records of meeting between SPIEU or workers representatives with management was not available during audit.</p> <p>Objective evidence : <u>Merotai POM</u> Record of meeting between SPIEU or workers representatives with management for year 2018 was not available during audit. The latest meeting minute verified at mill was dated 6/1/2017.</p>	Merotai POM has planned the SPIEU meeting to be conducted at least once a year. Mill also to established annual program for meeting to be conducted at the mills for easy monitoring. In this program stated the target date of the meeting to be conducted.	<p>Accepted the action plan and "Program social SOU 30 – Kilang Kelapa Sawit Merotai FY 2018/2019" had included SPIEU meeting on August 2018, Implementation will be verify in the next audit</p> <p>Status: Open</p>

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<p>Supply Chain Standard 5.13.2 & 5.13.3</p>	<p>Major</p>	<p>Management Review not reflect all input and output item as required by standard</p> <p>Objective evidence : Meeting minutes dated 19 April 2018 only minuted issues i.e. Results of internal audit, Status of preventive & corrective action, follow up action from management review and training required.</p>	<p>Merotai POM has established new management review minutes of meeting which include all information required as per RSPO supply chain certification standard (SCCS). Briefing session on RSPO SCCS management review meeting minutes template and info required has been conducted at Merotai POM by Regional SQM on 27/7/2018 and 28/7/2018.</p>	<p>Training attended by mill management, staff and supervisor. Their attendance was recorded in the training attendance list</p> <p>Meeting was conducted on 27/7/2018 and minutes of meeting has discussed on any issues from previous management review meeting, results of RSPO SCCS internal audit, status of preventive & corrective action, follow up action from management review and resources needed. Comment from and found it has address all the required.</p> <p>Status: Closed</p>
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Attachment 5

RSPO Supply Chain at the palm oil mill – Mass Balance Model –Module E

SECTION A : GENERAL INFORMATION

1. File Reference No.	: ES10170017																								
2. Name of facility/ site(s) /entity(ies)	: Sime Darby Plantation Berhad – Merotai POM																								
3. Site Location (single site/multisite/Group)	: 91007, Tawau Sabah, Malaysia																								
4. SC model	: Mass Balance																								
5. Type of entity	<p>Mill / Crusher / Refinery / Biodiesel plant / Primary Oleochemical / Secondary Oleochemical / End product manufacturer</p> <p><i>For oleochemicals and its derivatives, please check the conversion factor against the “RSPO Rules for Oleochemicals and its Derivatives” dated 1st December 2016</i></p>																								
6. RSPO Member Number	: 1-0008-04-000-00																								
7. Annual summary records of certified oil palm products purchased and claimed	<p>: Actual (April 2017 to March 2018)</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;"></th><th style="width: 40%; text-align: right;"><u>MT</u></th></tr> </thead> <tbody> <tr> <td>a) FFB Processed</td><td style="text-align: right;">370,290.13</td></tr> <tr> <td style="padding-left: 20px;">RSPO 253,176.81</td><td></td></tr> <tr> <td style="padding-left: 20px;">Non-RSPO 116,437.87</td><td></td></tr> <tr> <td style="padding-left: 20px;">Overall CPO Production</td><td style="text-align: right;">80,022.68</td></tr> <tr> <td style="padding-left: 20px;">Overall PK Production</td><td style="text-align: right;">15,997.32</td></tr> <tr> <td>b) Delivery of CPO</td><td></td></tr> <tr> <td style="padding-left: 20px;">RSPO(MB) 0</td><td></td></tr> <tr> <td style="padding-left: 20px;">Non-RSPO 53,620.00</td><td></td></tr> <tr> <td>Delivery of PK</td><td></td></tr> <tr> <td style="padding-left: 20px;">RSPO (MB) 2,950.07</td><td></td></tr> <tr> <td style="padding-left: 20px;">Non-RSPO 7,450.00</td><td></td></tr> </tbody> </table>		<u>MT</u>	a) FFB Processed	370,290.13	RSPO 253,176.81		Non-RSPO 116,437.87		Overall CPO Production	80,022.68	Overall PK Production	15,997.32	b) Delivery of CPO		RSPO(MB) 0		Non-RSPO 53,620.00		Delivery of PK		RSPO (MB) 2,950.07		Non-RSPO 7,450.00	
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SECTION B (i): RSPO SUPPLY CHAIN CERTIFICATION SYSTEM (REVISED JUNE 2017)

	Requirements	Remarks
	Audit Process Requirements – FOR STAGE 2 / RECERTIFICATION AUDIT	
5.3.8	The certification audit shall review whether the organizational systems, the management systems and the operational systems, including any documented policies and procedures of the organization seeking or holding certification, are sufficient and adequately implemented to meet the intent and requirements of the RSPO Supply Chain Certification Standard.	Not applicable as this audit is a surveillance audit.
	Audit Process Requirements – SURVEILLANCE AUDIT	
5.3.26	The surveillance audit shall review whether the organizational systems, the management systems and the operational systems, including any documented policies and procedures of the organization holding certification, are sufficient and adequately implemented to meet the intent and requirements of the RSPO Supply Chain Certification Standard. In cases where an organization seeking certification outsources activities to independent third parties, a risk assessment shall be done by the CB to determine whether an audit of the sub-contractor is required. If the outsourced contractor holds RSPO Supply Chain certification, then it does not require an additional audit.	Merotai POM Organizational, management systems and the operational systems, documented policies and procedures of the organization holding certification, are sufficient and adequately implemented to meet the intent and requirements of the RSPO Supply Chain Certification Standard. Merotai POM has continued to implement Standard Operating Procedure (SOP) for sustainable supply chain and traceability, version 2 issue 3. No main activities at Merotai POM outsources to independent third parties. The outsource activities is only the products transportation.

SECTION B (ii): GENERAL CHAIN OF CUSTODY REQUIREMENTS FOR THE SUPPLY CHAIN

	Requirements	Remarks
1	Applicability of the general chain of custody requirements for the supply chain	
1.1	Organization takes legal ownership and physically handles RSPO Certified Sustainable oil palm products at a location under the control of the organization including outsourced contractors.	Merotai POM has legal ownership and physically handles RSPO certified sustainable crude palm oil and palm kernel.
1.2	Traders and distributors require a licence obtained from RSPO to sell RSPO certified product but do not themselves require certification. When selling RSPO certified product a licensed trader and/or distributor must pass on the certification number of the product manufacturer and the applicable supply chain model.	Not applicable due to Merotai POM is processing facility.

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1.3	Either the operator at site level or its parent company seeking certification shall be a member of the RSPO and shall register on the RSPO IT platform.	RSPO membership no : 1-0008-04-000-00 Registered under parent company: Sime Darby Plantation Berhad
1.4	Processing aids do not need to be included within an organization's scope of certification.	No processing aid involved in Merotai POM scope of certification
2	Supply chain model	
2.1	The site can only use the same supply chain model as its supplier or go to a less strict system. Declassification/downgrading can only be done in the following order: Identity Preserved -> Segregated -> Mass Balance.	Merotai POM has aware on the need to downgrading of supply chain model. However, this indicator was not applicable since this POM use MB model.
2.2	The site can use one (1) or a combination of supply chain models as audited and certified by the CB.	Merotai POM has continued to maintain MB model.
3	Documented procedures	
3.1	The site shall have written procedures and/or work instructions to ensure the implementation of all elements of the applicable supply chain model specified. This shall include at minimum the following:	Merotai POM has continued to implement Standard Operating Procedure (SOP) for sustainable supply chain and traceability, version2 , issue 3.
a)	Complete and up to date procedures covering the implementation of all the elements of the supply chain model requirements.	Since no changes in the Merotai POM activity therefore the current SOP entitle <i>Standard Operating Procedure (SOP) for sustainable supply chain and traceability, version 2 , issue 3</i> are still valid and up to date.
b)	Complete and up to date records and reports that demonstrate compliance with the supply chain model requirements.	Sighted CPO and PK production record, weighbridge report, despatch record and training record was up to date and well maintained.
c)	Identification of the role of the person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the organization's procedures for the implementation of this standard.	RSPO supply Chain Management Representative was the Assistant Mill Manager. The appointment letter was sighted and interview with him was confirm he understood the requirements of supply chain model.
3.2	The site shall have a written procedure to conduct annual internal audit to determine whether the organization; i. Conforms to the requirements in the RSPO Supply Chain Certification Standard and	RSPO internal audit was conducted in Jan 2018 by RSPO & Certification Unit, Plantation Sustainability & Quality Management Department (PSQM) of Sime Darby Plantation Sdn Bhd. The assessment report entitle RSPO SCCS Internal consultative assessment report were verified.

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	<p>the RSPO Market Communications and Claims Documents.</p> <p>ii. Effectively implements and maintains the standard requirements within its organization.</p> <p>Any non-conformities found as part of the internal audit shall be issued corrective action. The outcomes of the internal audits and all actions taken to correct nonconformities shall be subject to management review at least annually. The organization shall be able to maintain the internal audit records and reports.</p>	
4	Purchasing and goods in	
4.1	<p>The receiving site shall ensure that purchases of RSPO certified oil palm products are in compliance and following minimum information for RSPO certified products is made available by the supplier in document form:</p> <ul style="list-style-type: none"> • The name and address of the buyer; • The name and address of the seller; • The loading or shipment / delivery date; • The date on which the documents were issued; • A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations); • The quantity of the products delivered; • Any related transport documentation; • Supply Chain certificate number of the seller; • A unique identification number. <p>Information shall be complete and can be presented either on a single document or across a range of documents issued for RSPO certified oil palm products (for example, delivery notes, shipping documents and specification documentation).</p>	<p>Merotai POM has continued received and process certified FFB came from own supply base/estates namely Merotai Estate, Table Estate, Tiger Estate and Imam Estate. All delivery documents of certified FFB were verified to ensure the certified status of the FFB. Volumes of certified FFBs received by the mill had been properly recorded and monitored. Among the information available on the FFB consignment note are estate name, delivery date, no of FFB bunches, FFB weight.</p>

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a)	The site shall have documentation that demonstrate that purchases are made to the material category agreed with their supplier (IP, SG or MB).	Merotai POM had continued received source of RSPO certified FFB from own group estate as well as non certified sources i.e independent smallholders.. Merotai POM has continued to implement and comply with the procedure in handling of purchasing and receiving as per RSPO standard requirements. Among the samples of all document (FFB consignment note & estate weighbridge ticket) has clearly indicate the RSPO supply chain model i.e. MB
b)	The site ensure that the products are verified as being RSPO certified. For sites that are required to announce and confirm trades in the RSPO IT platform, this shall include making Shipping Announcement and Shipping Confirmation on the RSPO IT platform on the level of each shipment.	Merotai POM has registered in Palmtrace. Verified sample of transaction from 1 April 2017 to 31 March 2018 , as a result all transaction were accurately reported in the palm trace.
c)	A check of the validity of the Supply Chain Certification of suppliers for all sites that are SC certified. This shall be checked via the RSPO website at least annually or through the RSPO IT platform by confirmation of shipping announcement	Sighted summary of weighbridge report and confirmed Merotai mill had continued received source of RSPO certified FFB from own group estates.
4.2	The site shall have a mechanism in place for handling non-conforming material and/or documents.	The established SOP has identified the following <ul style="list-style-type: none"> • Table A : List of Certification type and supply chain status of mills for Malaysia Operation • Appendix 15c : List of supply base and crop diversion for SOUs • Appendix 15b : Rules for determining FFB diversion In addition Merotai POM has implement system namely "SimeWeight" which cater to control incoming material and outgoing products. Only registered FFB supply or Product buyer allowed to enter in the mill to send FFB or collect CPO / PK. The implementation of the established SOP also been monitored by PSQM through internal audit & random inspection.
5	Outsourcing activities	
5.1	In cases where an operation seeking or holding certification outsources activities to independent third parties (e.g. subcontractors for storage, transport or other outsourced activities), the operation seeking or holding certification shall ensure that the independent third party complies with the requirements of the RSPO Supply Chain Certification Standard. <i>This requirement should not apply to outsourced storage facilities where the management of the oil palm product(s) and instructions for tank movements are controlled</i>	The outsource activity for the transporter valid from 1 Nov 2017 till 31 October 2020. The agreement document was available and communication on the RSPO supply chain requirement were communicated to them. Record of training dated Apr 2018 were available in the file alighted training attendant list and training material.

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	<i>by the organization (not the tank farm manager).</i>	
5.2	<p>Sites which include outsourcing within the scope of their RSPO Supply Chain certificate shall ensure the following:</p> <ul style="list-style-type: none"> a) The site has legal ownership of all input material to be included in outsourced processes; b) The site has an agreement or contract covering the outsourced process with each contractor through a signed and enforceable agreement with the contractor. The responsibility is on the site to ensure that certification bodies (CBs) have access to the outsourcing contractor or operation if an audit is deemed necessary. c) The site has a documented control system with explicit procedures for the outsourced process which is communicated to the relevant contractor. d) The site seeking or holding certification shall furthermore ensure (e.g. through contractual arrangements) that independent third parties engaged provide relevant access for duly accredited CBs to their respective operations, systems, and any and all information, when this is announced in advance. 	Merotai mill has outsource the transportation of certified CPO and certified PK. The agreement document was available and both parties had signed the agreement. Term and condition were defined clearly such as sustainability and traceability of product, term of payment and compliance with applicable laws and guidelines. The established SOP has defined the outsources process and its control mechanism.
5.3	The site shall record the names and contact details of all contractors used for the processing or production of RSPO certified materials.	No contractor involved in the processing or production of RSPO certified CPO and PK..
5.4	The site shall at its next audit inform its CB of the names and contact details of any new contractor used for the processing or production of RSPO certified materials.	No new contractors being used for the processing or production of RSPO certified materials.

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6	Sales and goods out	
6.1	<p>The organization shall ensure that the following minimum information for RSPO certified products is made available in document form. Information must be complete and can be presented either on a single document or across a range of documents issued for RSPO certified oil palm products (for example, delivery notes, shipping documents and specification documentation):</p> <ul style="list-style-type: none"> • The name and address of the buyer; • The name and address of the seller; • The loading or delivery date; • The date on which the documents were issued; • A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations); • The quantity of the products delivered; • Any related transport documentation; • Supply chain certificate number; • A unique identification number. 	<p>The procedure in handling of sale and delivery was sighted and found adequate. Sales activities usually handled by Global Trading & Marketing (GTM) Department on behalf of Merotai POM. All the required was available.</p>
7	Registration of transactions	
7.1	<p>Supply chain actors who:</p> <ul style="list-style-type: none"> • are supply chain actors between the mill and final refinery; • take legal ownership and physically handle RSPO Certified Sustainable oil palm products; and • are part of the supply chain of RSPO Certified Sustainable oil palm products <p>must register their transaction in the RSPO IT platform at the time of physical shipment as required by the rules set by RSPO.</p>	<p>Merotai POM has legal ownership and physical handle RSPO certified sustainable CPO and PK.</p>
8	Training	
8.1	<p>The organization shall have a defined training plan, which is subject to on-going review and is</p>	<p>Training plan has included the RSPO Supply chain training scheduled in 2018/2019 for staff & workers.</p>

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	supported by records of the training provided to staff.	
8.2	Appropriate training shall be provided by the organization for personnel carrying out the tasks critical to the effective implementation of the supply chain certification system. Training shall be specific and relevant to the task(s) performed.	Training entitle RSPO Supply Chain New Updates Training was conducted in Mar 2018 by PSQM were attended by representative from Merotai Mill. Based on training material found its relevant to the task performed. Interview with Management Representative concluded he understood the standard requirements.
9	Record keeping	
9.1	The site shall maintain accurate, complete, up-to-date and accessible records and reports covering all aspects of these RSPO Supply Chain Certification requirements.	Sighted CPO and PK delivery note, weighbridge ticket, production data and internal audit records were found up-to-date.
9.2	Retention times for all records and reports shall be a minimum of two (2) years and must comply with legal and regulatory requirements and be able to confirm the certified status of raw materials or products held in stock.	All records related to RSPO SC were maintain minimum for 2 years. Sample PK despatch note Jan 2016 was available and well maintained.
9.3	The organization shall be able to provide the estimate volume of palm oil / palm kernel oil content (separate categories) in the RSPO certified oil palm product and keep an up to date record of the volume purchased (input) and claimed (output) over a period of twelve (12) months.	All record are maintain & up to date.
10	Conversion factors	
5.10.1	Where applicable a conversion rate must be applied to provide a reliable estimate for the amount of certified output available from the associated inputs. Organizations may determine and set their own conversion rates which must be based upon past experience, documented and applied consistently. Guidance on conversion rates is published on the RSPO website (www.rspo.org). This is in particular relevant for derivatives of Palm Oil and Palm Kernel Oil, as used in the oleochemical and personal care industries. The guidance document for oleochemicals is available on the RSPO website (www.rspo.org).	The OER and KER were the conversion factors.

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10.2	Conversion rates shall be periodically updated to ensure accuracy against actual performance or industry average if appropriate.	Yes.
11	Claims	
11.1	The site shall only make claims regarding the use of or support of RSPO certified oil palm products that are in compliance with the RSPO rules on communications and claims.	No claim been made
12	Complaints	
12.1	The organization shall have in place and maintain documented procedures for collecting and resolving stakeholder complaints.	Documented procedure has established to address collecting and resolving the complaint.
13	Management review	
13.1	The organization is required to hold management reviews at planned intervals appropriate to the scale and nature of the activities undertaken.	Documented procedure has defined management review will be conducted once a year
13.2	The input to management review shall include information on: <ul style="list-style-type: none"> • Results of internal audits covering RSPO SCCS • Customer feedback • Status of preventive and corrective actions • Follow-up actions from management reviews • Changes that could affect the management system • Recommendations for improvement 	Management review meeting dated in April 2018 and among the issue discuss on mass balance sheet, internal audit findings, training for transporter and agreement document with transporter however customer feedback, changes that could affect the management system and recommendation for improvement was not clearly minuted. Therefore non-conformity was raised NCR :RA 01
13.3	The output from the management review shall include any decisions and actions related to: <ul style="list-style-type: none"> • Improvement of the effectiveness of the management system and its processes • Resource needs 	Minute of meeting also yet to clearly highlight recommendation for improvement as well as resource sufficient (if any). Therefore non conformity was raised NCR :RA 01

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RSPO Supply Chain at the Merotai Palm Oil Mill – Mass Balance Model –Module E

Item No	Requirement NOV 2014	Findings
E 3 E 3.1	Documented procedures The site shall have written procedures and/or work instructions to ensure the implementation of all the elements specified in these requirements. This shall include at minimum the following: a) Complete and up to date procedures covering the implementation of all the elements in these requirements b) The name of the person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the facilities procedures for the implementation of this standard.	Merotai Mill has continued to implement Standard Operating Procedure (SOP) for sustainable supply chain and traceability, version2 , issue 3. RSPO supply Chain Management Representative was the Assistant Mill Manager. The appointment letter were sighted and interview with him was confirm he understood the requirements of supply chain model.
E 3.2	The facility shall have documented procedures for receiving and processing certified and non-certified FFBs.	Merotai Mill has continued to implement Standard Operating Procedure (SOP) for sustainable supply chain and traceability, version 2, issue 3.
E.4 E.4.1	Purchasing and goods in The site shall verify and document the volumes of certified and non-certified FFBs received.	All certified FFB came from Merotai CU estates and non-certified FFB come from independent FFB suppliers. All delivery documents of certified FFB were verified to ensure the certified status of the FFB. Volumes of certified and non-certified FFBs received by the mill had been properly recorded and monitored.
E 4.2	The site shall inform the CB immediately if there is a projected overproduction.	Record assessment was confirmed no over-production.
E.5 E.5.1	Record keeping a) The site shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a three-monthly basis. b) All volumes of palm oil and palm kernel oil that are delivered are deducted from the material accounting system according to conversion ratios stated by RSPO. c) The site can only deliver Mass Balance sales from a positive stock can include product ordered for delivery within three months. However, a site is allowed to sell short (i.e. product can be sold before it is in stock)	a) Merotai POM had continued to keep record and balances all receipts of RSPO-certified FFBs and deliveries of RSPO-certified CPO and PK on a three-monthly basis in their inventory record. b) Accounting records were found to be tally based on Production data April 2017 – March 2018 c) The Production from the same period show Merotai mill indicated both positive balances for the certified CPO and palm kernel.

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E 5.2	In cases where a mill outsources activities to an independent (not owned by the same organization) palm kernel crush, the crush still falls under the responsibility of the mill and does not need to be separately certified. The mill has to ensure that the crush is covered through a signed and enforceable agreement.	Outsource activities are only for CPO & PK transportation. The contracts were handled by the Contract Department at Wilmar HQ in Sandakan Office. There were no outsourcing activity to an independent (not owned by the same organization) palm kernel crush with regards to the processing of the material or product.
E.4 E.4.1	Sales and good out The facility shall ensure that all sales invoices issued for RSPO certified products delivered include the following information: a) The name and address of the buyer; b) The date on which the invoice was issued; c) A description of the product, including the applicable supply chain model (Segregated or Mass Balance) d) The quantity of the products delivered; e) Reference to related transport documentation.	The procedure in handling of sale and delivery was sighted and found adequate. Sales activities usually handled by Global Trading & Marketing (GTM) Department on behalf of Merotai mill. All the required were available.
E.5 E.5.1	Training The facility shall provide the training for all staff as required to implement the requirements of the Supply Chain Certification Systems.	Training was conducted for workers in Mar 2018 attended by relevant staff including Chief Clerk, Manager, Assistant Manager, Weighbridge Staff, Clerk, and Staff related to RSPO Supply Chain. Attendance list & photograph was seen. Training plan has included the RSPO Supply chain training scheduled in 2018/2019 for staff & workers.
E.6 E.6.1	Claims The facility shall only make claims regarding the use of or support of RSPO certified oil palm products that are in compliance with the RSPO Rules for Communications and Claims.	As to date no claim was made.

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Attachment 6

VERIFICATION OF NON-CONFORMITIES FOR PREVIOUS SURVEILLANCE MEROTAI CU

P & C Indicator	Specification Major/Minor	Detail Non-conformances	Corrective Action Taken by the CU and Verification by Auditors	AUDITOR VERIFICATION DURING ASA 2018
Indicator 2.1.3	Minor	<p>#NCR No : MZK 01 2017</p> <p>Finding : Mechanism for ensuring compliance was not effective at Merotai CU</p> <p>Objective evidence :</p> <ul style="list-style-type: none"> - Water Analysis at Sungai Merotai Kecil was monitored and submitted to DOE on monthly basis. However, occasionally (i.e. during February & March 2017), the COD exceeded the limits of 25 mg/l and there were no remarks noted in the form. Noted that the results of the effluent quality were in-compliance with the regulatory limit. - During site visit at the POM, there was evidence of boiler ash flowing to the drain. No control measure by the Management of Merotai POM. - Sighted during site visit at Imam Estate (Andrassy Division) water at Emergency Shower Sump was not Re-use back, also sighted the trace of Mosquito larvae in the Sump. - Sighted also the chemical tray at Chemical store in Imam Estate (Andrassy Division) was not enough. 	<p>Corrective Action:</p> <ol style="list-style-type: none"> 1. Mill management will verify the analysis form and to ensure remarks to be added in the water analysis form before submit to DOE. 2. Mill management to request budget for construction of drainage at boiler ash area. 3. Estate and mill management will establish monitoring of the related work station. To include work station below in the Workplace Inspection: <ul style="list-style-type: none"> - Boiler (Merotai POM) – to ensure no overflowing of boiler ash to the monsoon drain. - Premix Area – to ensure Re -use of water for emergency shower sump. - Chemical store – to ensure adequacy of chemical tray at chemical store. <p>Auditor Verification: Corrective action plan accepted Status: Open The effectiveness of the corrective action plan will be verified during next audit</p>	<p>All corrective action is found effective. Status : Close</p>
Indicator 4.4.2	Major	<p>#NCR No : RAR01-2017</p> <p>Finding : Noncompliance against the requirement Indicator 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</p>	<p>Corrective Action:</p> <ul style="list-style-type: none"> - Training to all level of workers regarding on protection of water course/buffer zone will be conducted for Merotai POM. - To construct bund and sump to trap any chemical leakage. - To review SOP on emergency shower so that it only being used during emergency 	<p>All corrective action is found effective. Status : Close</p>

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		<p>Objective evidence : During site visit at Merotai POM the following were found:</p> <ul style="list-style-type: none"> • traces of spraying activities along the monsoon drain. • boiler chemical (soda ash) in chemical mixer tank at boiler no 2 was leaking to the monsoon drain. • water from emergency shower was directed into a field drain instead of a sump. 	<p>and not for body washing or hard cleaning. Thus, the chemical escape is very minimal and insignificant to have impact on water course.</p> <p>Auditor Verification:</p> <ul style="list-style-type: none"> - Auditor has received training record titled as Spraying & HCV Training dated 24/5/2017 for all spraying workers. - Auditor has received a copy of the warning letter from Sime Darby to sprayer contractor, where the contract stated it should only grass cut the weeds nearing monsoon drain. - Auditor has received a photo which indicated a bund and sump has been constructed at chemical mixer tank at boiler no 2 to trap any chemical leakage - Auditor has received a photo which indicated a bund and sump has been constructed at the emergency shower. <p>Status: Closed.</p>	
Indicator 4.8.2	Minor	<p>#NCR No : MZK 02 2017</p> <p>Finding: The process of maintaining training records found not effective.</p> <p>Objective evidence: At Imam Estate, although Harvesting Training and HCV Training were stated to be carried out, however the records of the training were not available.</p>	<p>Corrective Action: Estate management will verify each training records and ensure the records of HCV and training will be properly recorded in the training records file.</p> <p>Auditor Verification: Corrective action plan accepted</p> <p>Status: Open. The effectiveness of the corrective action plan will be verified during next audit</p>	<p>Corrective action is found ineffective. Recurring minor non-conformity . Therefore upgraded to Major NC</p> <p>Status : Open</p>
Indicator 5.3.2	Major	<p>#NCR No : RAR02-2017</p> <p>Finding: There were evidences that Merotai Certification Unit has not complied with Environmental Quality (Scheduled Wastes) Regulations 2005</p> <p>Objective evidence: Lapses in the implementation of labelling, recording and storing of scheduled wastes were found at the Imam Estate (Andrassy Division)</p>	<p>Corrective Action:</p> <ol style="list-style-type: none"> 1. Training on scheduled waste management for SOU 30 Merotai will be conducted by SQM. 2. Schedule for PIC to monitor scheduled waste management at Andrassy Division will be established. 3. Scheduled waste at Imam Estate (Main Div. and Andrassy Div.) will be disposed by DOE licensed contractor. 	<p>All corrective action is found effective.</p> <p>Status : Close</p>

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			<p>4. To properly store scheduled waste and maintain inventory as per EQA (scheduled waste) Reg. 2005</p> <p>Auditor Verification: Auditor has received evidence of training, Consignment note, Labelling and monitoring form. Status: Closed .</p>	
Indicator 6.1.4	Minor	<p>#NCR No : RZ 01 2017</p> <p>Finding:</p> <ul style="list-style-type: none"> (a) Table Estate: Issues raised at OSH meeting were not captured in the Management Plan on Social Impact Assessment FY 2016/2017 which was updated in 10 April 2017. (b) Imam Estate: Some issues raised by stakeholders at OSH Meeting and Gender Committee Meeting were not captured in the Management Plan for Social Impact Assessment on 3 Jan 2017. <p>Objective evidence:</p> <ul style="list-style-type: none"> - Table Estate: Issue raised, namely: <ul style="list-style-type: none"> a. Request for repair of rain shelter (OSH Meeting 24 March 2017) was not updated in the Management Plan on Social Impact Assessment FY 2016/2017 which was updated on 10 April 2017. - Imam Estate: Three issues raised, namely: <ul style="list-style-type: none"> b. broken/damaged rubbish bins at linesite (OSH Meeting 23 December 2016) c. request for fire extinguishers at some workers' houses at Desa Sri Bombalai (OSH Meeting 23 December 2016) d. request for whistle for female workers working in estate (Gender Committee meeting 6 	<p>Corrective Action:</p> <ol style="list-style-type: none"> 1. Estate Management will verify the minutes of meeting conducted in the estate. During the verification of minutes of meeting, estate management will identify and ensure social issue raised in each meeting will be included in the social action plan. 2. The SIA action plan will be updated when necessary (if there any related social issues raised in the meetings conducted in the estate which require further action by the estate management). <p>Auditor Verification: Corrective action plan accepted Status: Open</p> <p>The effectiveness of the corrective action plan will be verified during next audit</p>	<p>Corrective action is found ineffective. Recurring minor nonconformity . Therefore upgraded to Major NC Status : Open</p>

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		<p>October 2016) were not updated in the Management Plan on Social Impact Assessment FY 2016/2017 which was updated on 3 January 2017.</p> <p>e. Action of implementation yet to evidence with regards to complaint of travelling expenses incurred by foreign employees in Mill for renewal of their passport.</p>		
Indicator 6.5.3	Major (Recurrence)	<p>#NCR No : RZ 02 2017</p> <p>Finding :</p> <ul style="list-style-type: none"> a) Non-compliance with Section 23(1)(c) of the Workers' Minimum Standards of Housing & Amenities Act 1990 b) Non-compliance with Section 23(2) of the Workers' Minimum Standards of Housing & Amenities Act 1990 <p>Objective evidence :</p> <ul style="list-style-type: none"> a) At Table Estate and Imam Estate, domestic refuse at workers' housing is collected once a week, and not daily. b) For Imam Estate workers' housing inspection in 2017 was carried out on 1 February 2017 (Desa Seri Mawar), and on 2 February 2017 (Kg Pertama Bombalai). No other record of housing inspection was done subsequent to those dates. c) For Table Estate last Housing Inspection was carried out on 1-2 February 2017. 	<p>Corrective Action:</p> <ul style="list-style-type: none"> - Each Estate will appoint their own PIC for Workers Housing Inspection. Estate Management will verify the workers housing inspection records to make sure done weekly as per legal requirement. - Domestic Refuse at workers housing will be collected 3 times in a week at Table Estate and Imam Estate. Records of domestic refuse collection at workers housing will be establish and verify by the estate management. <p>Auditor Verification: Auditor has received evidence of weekly inspection of the housing and also evidence of appointment letter for PIC to conduct the Workers Housing Inspection. Auditor also receive a schedule for collection of domestic wastes at the estate. Status: Closed</p>	<p>All corrective action is found effective. Status : Close</p>

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Attachment 7

RSPO Certification Timebound Plan for Sime Darby Plantation (SDP)

Table 1: Initial Timebound Plan and Summary of RSPO Certification Status

Financial year (July – June)	Targeted	Achieved/Status	Attachments
Jun-08	5 SOUs	<p>Achievement of Timebound Plan Sime Darby Plantation has had all its SOUs (Malaysian & Indonesian) completing the RSPO Main Assessment by end Dec 2011 in accordance to the initial timebound plan. As at Dec 2011, all Malaysian SOUs have been RSPO certified (with the exception of 2 new oil mills commissioned to replace the current oil mills after the initial timebound plan targets).</p> <p>97% of Sime Darby Plantation's upstream operations is RSPO certified, one SOU - PT MAS pending certification in Indonesia due to some social disputes. Sime Darby Plantation will proceed with the next steps of certification upon satisfactory resolution of the matter. A new mill in Liberia is planned to be commissioned.</p> <p>Note: Time-bound plan to achieve 100% RSPO certification has shifted to 2015 .</p>	<p>For details please refer to Attachments: i) SDP - RSPO Certification Status for Malaysia Operations ii) SDP- RSPO Certification Status for Indonesia Operations iia) Updates on PT MAS iii) RSPO SCCS status for Sime Darby Plantation (Downstream Operations)</p>
2008/2009	20 SOUs (from Malaysia and Indonesia)		
2009/2010	20 SOUs (from Malaysia and Indonesia)		
2010/2011 (End Dec 2011)	17 SOUs (from Malaysia and Indonesia)		

Note: SOU - Strategic Operating Units (consisting of one oil mill and supplying estates)

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Table 2: Details of RSPO Certification Status as at Dec 2017

Status	Malaysia	Indonesia	Liberia	Total	Remarks
RSPO Certified	33	23	0	56	<p>Malaysia</p> <p>* Effectively 33 Mills (Excluding Bintang Oil Mill)</p> <p>- Note: Sg Samak and Jeleta Bumi, Yong Peng, Sepang, Mostyn and Segaliud POM has been closed down, and Pekaka POM is being mothballed.</p> <p>*SDP acquired Bintang Palm Oil Mill, Talisman Estate, and Lian Seng Estate in Johor in April 2017. Lian Seng Estate is merged into Bk Paloh Estate of SOU 21 Gunung Mas, while Talisman Estate is merged into CEP Nyior Estate of SOU 22 Bk Benut. Lian Seng will be incorporated in the RSPO Certification Scope of SOU Gunung Mas in 2018, whilst Talisman Estate has been incorporated in the RSPO Certification Scope of SOU Bk Benut in 2017. For Bintang Oil Mill, the selling off process of this mill is being initiated hence the RSPO certification process for Bintang Oil Mill is being put on hold as at Dec 2017.</p> <p>Indonesia</p> <p>*Effectively 23 Mills</p> <p>*Note: <i>Angsana Mini POM closed down in 2016. Selabak POM is being mothballed.</i></p>
Planned for Certification/Under going Stage 1 or Stage 2 Assessment/ RSPO EB Review	0	1	1	2	<p>SDP is progressively undergoing the RSPO Certification process towards 100% RSPO certification of estates/mills.</p> <p>Indonesia</p> <p>PT MAS has undergone RSPO Main assessment and is delayed due to some social disputes. The target date for certification is by 2017 subject to the progress of the matter being resolved.</p> <p>Smallholders</p> <p>As at Dec 2017, a total of 28,712 Ha of smallholders have been certified. The entire KKPA (1-5) in Sebamban, KKPA Sg. Cengal, and Plasma TGK and SIA (East and West Plasma) are now RSPO certified with a production capacity of 465,602 mt of FFB. Total scheme smallholders hectares are 51,353 and total communities are 22,613.</p> <p>Certification process for the remaining associated smallholders areas is on-going. SDP expect to achieve 100% RSPO certification of associated smallholders and outgrowers by end 2020.</p> <p>Liberia</p> <p>Preparation to undergo the RSPO Certification process is in progress and SDP targets to undergo RSPO Certification Stage 2 Assessment in March/April 2018. RSPO NPP process has been completed in 2011.</p>
Total SOUs	33	24	1	58	<p>Other remarks:</p> <p>In March 2015, Sime Darby Plantation completed the acquisition of New Britain Palm Oil Limited (NBPOL). NBPOL is managed under a separate entity and the reporting of timebound plan will be under NBPOL's management. NBPOL is considered as a different entity/member under the RSPO and NBPOL is 100% RSPO Certified.</p>

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SDP - RSPO Certification Status for Malaysia Operations

SOU NO	Name of SOU	Location	Date of Certification	End Date of Certification	Certificate Number	Remarks
1	Sg. Dingin	Karangan, Kedah	12 Aug '10	11-Aug-20	SPO 550179	
2	Chersonese	Kuala Kurau, Perak	5 Oct '11	4-Oct-21	CU-RSPO-815148, RSPO 590800	
3	Elphil	Sg Siput, Perak	18 Jun '11	17-Jun-21	RSPO 550180	
4	Flemington	Teluk Intan, Perak	5 Oct '11	4-Oct-21	CU-RSPO-819144, RSPO 590802	
5	Seri Intan	Teluk Intan, Perak	3 Mar '11	2-Mar-21	CU-RSPO-811218, RSPO 0015	
5	Selaba	Teluk Intan, Perak	3 Mar '11	2-Mar-21	CU-RSPO-819142, RSPO 0016	
5a	Sg Samak		3 Mar '11	NA	NA	
6	Tennamaram	Bestari Jaya, Selangor	3 Mar '11	2-Mar-21	CU-RSPO-819143, RSPO 0014	
7	Bkt Kerayong	Kapar, Selangor	15 Apr '11	14-Apr-21	RSPO 550181	
8	East	Carey Island, Selangor	19 May '10	18-May-20	SPO 543543	
9	West	Carey Island, Selangor	19 May '10	18-May-20	SPO 543594	
9a	Sepang	Sepang, Selangor	19 May '10	NA	NA	
10	Bukit Puteri	Raub, Pahang	7 Jul '11	6-Jul-21	CU-RSPO-815147, 18502206 001, 824 502 14020	
11	Kerdau	Temerloh, Pahang	7 Jul '11	6-Jul-21	CU-RSPO-819155, 18502207 001, 824 502 14019	
12	Jabor	Kuantan, Pahang	7 Jul '11	6-Jul-21	CU-RSPO-819156, RSPO 928288, 824 502 16049	
13	Labu	Nilai, Negeri Sembilan	30 Dec '11	29-Dec-21	CU-RSPO-819163, SGSRSPO/PM/MY13/01284, 824 502 16039, SGS-RSPO/PC17-00004, CURSPO-855480	
14	Tanah Merah	Port Dickson, Negeri Sembilan	19 May '10	18-May-20	SPO 541905	
15	Sua Betong	Port Dickson, Negeri Sembilan	18/2/2014	17-Feb-19	SGS-RSPOPM-MY14/01364, 824 502 16032	Sua Betong Oil Mill has been commissioned to replace Rantau Oil Mill with Certificate No: CU- RSPO-819165, certification date: 30 Dec 2011.
16	Kok Foh	Bahau, Negeri Sembilan	7 Jul '11	6-Jul-21	CU-RSPO-819157, RSPO 928188, 824 502 16051	
17	Kempas	Jasin, Melaka	19 May '10	18-May-20	RSPO 005	
18	Diamond Jubilee	Jasin, Melaka	5 Oct '11	4-Oct-21	CU-RSPO-819146, RSPO 591224	

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19	Pagoh	Muar, Johor	28/1/2014	27-Jan-19	RSPO 600305	Pagoh Oil Mill has been commisioned to replace Nordanal Oil Mill with Certificate No: SPO 549297, certification date: 7 Jan 2011.
19a	Yong Peng	Yong Peng, Johor	20 Oct '10	19-Oct-15	RSPO 550182	
20	Chaah	Chaah, Johor	18 Nov '10	17-Nov-20	RSPO 548299	
21	Gunung Mas	Kluang, Johor	19 May '10	18-May-20	RSPO 901888	
22	Bukit Benut	Kluang, Johor	5 Oct '11	4-Oct-21	CU-RSPO-819147, RSPO 591229	
23	Ulu Remis	Layang-layang, Johor	11 Apr '11	10-Apr-21	SGS-RSPO/PM-00722, 824 502 16042	
24	Hadapan	Layang-layang, Johor	29 Mar '11	28-Mar-21	SGS-RSPO/PM-00715, 824 502 16040, BVC-RSPO20170623-01	
25	Segaliud	Sandakan, Sabah	20 May '10	19-May-15	RSPO 547123	
26	Sandakan Bay	Sandakan, Sabah	1 Oct '08	30-Sep-18	RSPO 537872	
27	Melalap	Tenom, Sabah	21 Jan '11	20-Jan-21	RSPO 547124	
28	Binuang	Kunak, Sabah	16 Jan '09	12-Jul-20	RSPO 001	
29	Giram	Kunak Sabah	16 Jan '09	12-Jul-20	RSPO 002	
30	Merotai	Tawau, Sabah	16 Jan '09	12-Jul-20	RSPO 004	
30a	Jeleta Bumi	Kunak, Sabah	24/5/2010	NA	NA	
30b	Mostyn	Kunak Sabah	16 Jan '09	NA	NA	
31	Lavang	Bintulu, Sarawak	30 Dec '11	29-Dec-21	CU-RSPO-819166, MUTU-RSPO/053	
32	Rajawali	Bintulu, Sarawak	30 Dec '11	29-Dec-21	CU-RSPO-819167, RSPO 0020	
33	Derawan	Bintulu, Sarawak	30 Dec '11	29-Dec-21	CU-RSPO-819169, RSPO 0019	
34	Pekaka	Bintulu, Sarawak	30 Dec '11	29-Dec-21	CU-RSPO-815150, MUTU-RSPO/054	Mill is mothballed, supply base merged into Lavang effective Dec 2017.

Legends:

Certification
 Withdrawal

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SDP- RSPO Certification Status for Indonesia Operations

NO	Name of PT	Name of Mill	Location	Date of Certification	End Date of Certification	Certificate Number	Remarks
1	PT LAHAN TANI SAKTI	ALUR DUMAI	Bagan Sinembah/Tanh Putih, Pujud, Rokan Hilir, Riau	16-Jan-12	15-Jan-22	MUTU-RSPO/011, SGS-RSPO/PC17-00005, SGS-RSPO/PC17-00005	
2	PT SAJANG HEULANG	ANGSANA MINI	Sebamban, Indonesia	6-Jul-11	6-Jul-16	MUTU-RSPO/006b	Mill closed down
3	PT SAJANG HEULANG	MUSTIKA	Sebamban, Indonesia	3-Jul-13	3-Jul-18	MUTU-RSPO/027	
4	PT LADANGRUMPUN SUBURUBADI	ANGSANA	Sebamban, Indonesia	9-Nov-16	8-Nov-21	MUTU-RSPO/006a	
5	PT LANGGENG MUARAMAKMUR	BEBUNGA	Pamukan Utara, Tanah Grogot, Kotabaru/Pasir, Kalimantan Selatan/Kalimantan Timur	16-Mar-12	3-Aug-22	MUTU-RSPO/014	Recertification of Bebunga POM is in progress.
6	PT KRIDATAMA LANCAR	SUKAMANDANG	Seruyan Tengah, Sampit, Seruyan, Kalimantan Tengah	2-Sep-16	1-Sep-21	MUTU-RSPO/003	
7	PT BAHARI GEMBIRA RIA	LADANG PANJANG	Kumpeh Ulu, Jambi, Muaro Jambi, Jambi	9-Jul-12	28-Nov-22	MUTU-RSPO/019	
8	PT TUNGGAL MITRA PLANTATIONS	MANGGALA	Riau, Indonesia	25-Nov-10	24-Nov-20	MUTU-RSPO/002	
9	PT PARIPURNA SWAKARSA	PONDOK LABU	Pamukan Selatan, Tanah Grogot, Kotabaru, Kalimantan Selatan	16-Mar-12	19-Jul-22	MUTU-RSPO/016	Recertification of Pondok Labu POM is in progress.
10	PT BERSAMA SEJAHTERA SAKTI	GUNUNG ARU	Sebamban, Indonesia	21-Oct-16	20-Oct-21	MUTU-RSPO/005	

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11	PT GUTHRIE PECCONINA	RANTAU PANJANG	Muara Lakitan, Lubuk Linggau, Musi Rawas, Sumatera Selatan	16-Mar-12	19-Nov-22	MUTU-RSPO/017	Recertification of Rantau Panjang POM is in progress.
12	PT LAGUNA MANDIRI	RANTAU	Sungai Durian, Kotabaru, Kalimantan Selatan	30-Dec-11	05-Feb-22	MUTU-RSPO/009	
13		BETUNG		1-April-14	1-April-19	MUTU-RSPO/035	
14	PT INDOTRUBA TENGAH	SEKUNYIR	Kalimantan Tengah, Indonesia	23-Nov-10	22-Nov-20	MUTU-RSPO/001	
15	PT SWADAYA ANDIKA	SELABAK	Sungai Durian, Kotabaru, Kalimantan Selatan	16-Mar-12	16-Mar-17	MUTU-RSPO/015	Mill is mothballed.
16	PT BINA SAINS CEMERLANG	SG PINANG	Muara Lakitan, Lubuk Linggau, Musi Rawas, Sumatera Selatan	11-Sep-12	28-Nov-22	MUTU-RSPO/020	
17	PT TEGUH SEMPURNA	PEMANTANG	Kuala Kuayan, Sampit, Kotawaringin Timur, Kalimantan Tengah	9-Sep-16	8-Sep-21	MUTU-RSPO/004	
18	PT BHUMIREKSA NUSA SEJATI	TELUK BAKAU	Pelangiran, Sg. Guntung, Indragiri Ilir, Riau	01-Dec-16 1 April 2014	30-Nov-21 1 April 2019	MUTU-RSPO/008	
19		MANDAH				MUTU-RSPO/036	
20	PT ANEKA INTIPERSADA	TELUK SIAK	Tualang, Perawang, Siak, Riau	8-Dec-16	7-Dec-21	MUTU-RSPO/007	
21	PT TAMACO GRAHA KRIDA	UNGKAYA	Witaponda, Kolonodale, Morowali, Sulawesi Tengah	10-Jul-12	28-Dec-22	MUTU-RSPO/018	

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22	PT SIME INDO AGRO	BK AJONG	Kalimantan Barat, Indonesia	18-Jul-16	17-Jul-21	MUTU-RSPO/088	
23	PT PADANG PALMA PERMAI/PT PERKASA SUBUR SAKTI	BLANG SIMPO	Karang Baru, Kuala Simpang, Aceh Tamiang, Nangroe Aceh Darussalam	3-May-13	3-May-18	MUTU-RSPO/026	
24	PT SANDIKA NATAPALMA/PT BUDIDAYA AGRO LESTARI	LEMBIRU	Desa Suka Karya Kec. Marau Kab. Ketapang, Kalimantan Barat	3-Jul-14	2-Jul-19	MUTU-RSPO/044	
25	PT MITRAL AUSTRAL SEJAHTERA	MAS Mill	Desa Rahayu Kec. Parindu Kab. Sanggau, Kalimantan Barat	NA	NA	NA	

Legends

Pending Certification by RSPO

Mill closed down/Mothballed

NA - NOT APPLICABLE