



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

File Ref. : ES10171015

RSPO PUBLIC SUMMARY REPORT

CLIENT : SIME DARBY PLANTATION SDN BHD – SOU 33 DERAWAN

PARENT COMPANY : SIME DARBY PLANTATION SDN BHD

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 and Supply Base	GPS Location		Location
		Latitude	Longitude	
SOU 33 Derawan Certification Unit	Derawan Palm Oil Mill	3° 23'24.732"N	113° 20'43.500"E	97008 Bintulu, Sarawak
	Derawan Estate	3° 23'59.230"N	113° 20'33.620"E	97008 Bintulu, Sarawak
	Sahua Estate	3° 29'48.264"N	113° 23'13.200"E	97008 Bintulu, Sarawak
	Takau Estate	3° 23'59.230"N	113° 20'33.620"E	97008 Bintulu, Sarawak
	Damai Estate	3° 28'15.564"N	113° 23'52.800"E	97008 Bintulu, Sarawak

MAP : See Attachment 1

AUDIT DATE : 8 - 12 August 2016

DURATION : 13.5 auditor days

TYPE OF AUDIT : ☐ Annual Surveillance Audit

☒ Recertification Audit

STANDARD : RSPO PRINCIPLE & CRITERIA MYNI 2014, AND RSPO SUPPLY CHAIN CERTIFICATION STANDARD 2014

SCOPE OF CERTIFICATION: Production of Crude Palm Oil and Palm Kernel Using Identity Preserved Model

VALIDITY OF RSPO CERTIFICATE : 30/12/2011 – 29/12/2016

The following attachments form part of this report:

Non-conformity Report(s) ☒

List of additional site(s) ☐

Report by Audit Team Leader

Name : MOHD ZULFAKAR
KAMARUZAMAN

Signature : *Mohd Zulfakar*

Date : 9 DECEMBER 2016

Acknowledgement by Client's Representative SDN BHD

(Company No. 647766-V)

Name : *Azmi Bin Ismail*

Signature : *Azmi Bin Ismail*

AZMI BIN ISMAIL
SENIOR MANAGER
ESTATE OPERATION - SARAWAK ZONE

Date : 15/12/2016

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SUMMARY OF AUDITS

Recertification audit			
On-site audit date :	8 th – 12 th August 2016	No. of auditor days :	13.5 Auditor days
Audit team :	Mohd Zulfakar Kamaruzaman (LA), Hazani Othman, Selvasingam T. Kandiah, Rozaimee Ab Rahman (Observer)		
No. of major NCR :	2	Indicator: 2.1.1, 4.7.2	Closing date : 11/10/2016
No. of minor NCR :	5	Indicator : 4.1.2, 4.7.5, 4.8.2, 6.6.2, 6.9.3	
Indicate the stakeholders interviewed during the on-site audit :	Employees	Settlers	Villagers
	x		
	Contract workers	NGOs	Govt. agency
	Indigenous people	Contractor	Others (Please specify)
	x		
Supply base sampled :	Derawan Estate and Takau Estate		

Annual Surveillance Audit 1			
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
	Contract workers	NGOs	Govt. agency
	Indigenous people	Contractor	Others (Please specify)
Supply base sampled :			
Changes since the last audit :			

Annual Surveillance Audit 2			
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
	Contract workers	NGOs	Govt. agency
	Indigenous people	Contractor	Others (Please specify)
Supply base sampled :			
Changes since the last audit :			

RSPO P&C PUBLIC SUMMARY REPORT

Annual Surveillance Audit 3				
On-site audit date :		No. of auditor days :		
Audit team :				
No. of major NCR :			Closing date :	
No. of minor NCR :				
Indicate by ticking the stakeholders interviewed during the on-site audit	Employees	Settlers	Villagers	Suppliers
	Contract workers	NGOs	Govt. agency	Independent growers
	Indigenous people	Contractor	Others (Please specify)	
Supply base sampled :				
Changes since the last audit :				

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	Suppliers
	Contract workers	NGOs	Govt. agency	Independent growers
	Indigenous people	Contractors	Others (Please specify)	
Supply base sampled :				
Changes since the last audit :				

RSPO P&C PUBLIC SUMMARY REPORT

SUMMARY OF INFORMATION

TYPE OF AUDIT	STAGE 2 / RA	ASA 1	ASA 2	ASA 3	ASA 4
Projection Period	August 2016 – July 2017				
Certified Area (Ha)	8,009.74				
Production Area(Ha)	6,016.61				
HCV Area (Ha)	-				
Certified FFB Processed (MT)	130,569.76				
Production of Certified CPO (MT)	28,725.34				
Production of Certified PK (MT)	6,919.99				
REMARKS	-				

Table of contents	Page
1.0 AUDIT PROCESS	6
1.1 Certification body	6
1.2 Qualification of audit team	6
1.3 Audit methodology	6
1.4 Stakeholder Consultation	6
1.5 Audit plan	6
1.6 Date of next audit	6
2.0 SCOPE OF CERTIFICATION AUDIT	7
2.1 Description of the certification unit	7
2.2 Description of the Supply Base (including planting profile)	7
2.3 Organization Information / Contact Person(s)	8
3.0 AUDIT FINDINGS	8
3.1 Changes to certified products in accordance to the production of the previous year	8
3.2 Time bound plans including changes and reasons for the changes see below	9
3.3. Overall comment in terms of acceptance or non-acceptance on the changes in the time-bound plan (including details of non-adherence or the conditions justifying a time-bound plan have changed)	9
3.4 All associated smallholders (including scheme smallholders) where their fruit supply is included , by the mill, are audited within 3 years from when their fruit was first included in the mill certification.	9
3.5 Any new acquisition which has replaced primary forests or HCV areas	9
3.6 Other changes (e.g. organizational structure, new contact person, addresses, etc.)	9
3.7 Status of previous non-conformities * (refer to Attachment 6)	9
3.8 Complaint received from stakeholder (if any)	9
4.0 DETAILS OF NON-CONFORMITY REPORT	9
4.1 For P&C (Details checklist refer to Attachment 3)	9
4.2 For SC (Details checklist refer to Attachment 5)	9
5.0 AUDIT CONCLUSION	10
6.0 RECOMMENDATION	10
 List of Attachment	
Attachment 1 : Map of SOU Derawan CU	11
Attachment 2 : RSPO Recertification Audit Plan	12
Attachment 3 RSPO P&C Audit Checklist And Findings	19
Attachment 4 : Details of Non-conformities and Corrective Actions Taken	46
Attachment 5 RSPO Supply Chain at Derawan Palm Oil Mill – Identity Preserved model –Module D	49
Attachment 6 : Status of Non-conformities Previously Identified	51
Attachment 7 : Sime Darby Plantation Sdn Bhd time bound plan	53

1.0 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), the International Automotive Task Force (IATF), and the Executive Board of the United Nations Framework Convention on Climate Change (UNFCCC). 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
Mohd Zulfakar Kamaruzaman	Lead Auditor / Environmental, Health and Safety and Supply Chain	<ul style="list-style-type: none"> Holds a B. Sc. Forestry from University Putra Malaysia. He had more than 4 years of working experience in the oil palm operation.
Hazani Othman	Auditor, Environmental and Social	<ul style="list-style-type: none"> Holds a Bachelor of Forestry Science and Diploma in Forestry, from the Universiti Putra Malaysia. He is a Lead auditor for ISO 14001, FSC & MTCC FMC and CoC and RSPO P&C
Selvasingam T Kandiah	Auditor / Good Agricultural Practices (GAP), Health & Safety related to plantation	<ul style="list-style-type: none"> Holds a B. Sc. (Hons) in Agriculture, he had work as a planter with Kumpulan Guthrie Berhad for more than 10 years including one year in Liberia and 2 years in Estate Department in Guthrie Headquarters

1.3 Audit methodology

The audit covered the Derawan 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 Derawan Estate and Takau 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

SIRIM QAS International had initiated the stakeholder consultation by announcing the invitation in the SIRIM QAS International's websites. There was no comment received for this Certification Unit.

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 9 months from this audit.

2.0 SCOPE OF CERTIFICATION AUDIT

2.1 Description of the certification unit

The Derawan Certification Unit (CU) is one of the Strategic Operating Unit (SOU) of Sime Darby Plantation Sdn Bhd (SDPSB). The CU is located in Bintulu, Sarawak, East Malaysia and known as SOU 33. The CU consisted of one palm oil mill, the Derawan Palm Oil Mill (DPOM) and four-supply base, namely, Derawan Estate, Sahu Estate, Takau Estate and Damai Estate. All estates are belong to SDPSB. DPOM commenced operations in 1994 with a processing capacity of 40 metric tonnes of (FFB) per hour. The total combined land area of the four estates is 8,009.74 hectares (Ha) of which 7,942.74 Ha planted with oil palm. All the estates have been fully developed before 2005, hence Principle 7 of the RSPO P&C is therefore not applicable.

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

The FFB sourced from company owned estates that are certified. Details of the FFB contribution from each source to the Derawan Palm Oil Mill are shown in the following tables:

Table 1: Actual FFB production by the supply base for the period from August 2015 to July 2016

Estates	FFB Production	
	Tonnes	Percentage (%)
Sahua	38,928.86	28.03
Derawan	30,617.09	22.04
Takau	38,103.97	27.43
Damai	31,247.19	22.50
Total	138,897.11	100.00

Table 2: Projected FFB production by the supply base for the next reporting period (August 2016 to July 2017)

Estates	FFB Production	
	Tonnes	Percentage (%)
Sahua	40,800.00	31.24
Derawan	32,771.93	25.09
Takau	34,312.76	26.27
Damai	22,685.07	17.40
Total	130,569.76	100.00

Table 3: Actual FFB received and CPO & PK dispatch by the Derawan POM for the last reporting period (August 2015 to July 2016)

	Total (MT)
FFB Received	138,897.11
FFB Processed	138,897.11
Certified FFB	138,897.11
CPO Production	27,473.35
PK Production	6,901.08
CPO delivered as Identity Preserved	13,775.56
CPO delivered as non-RSPO certified	13,697.79
PK delivered as Identity Preserved	0.00
PK delivered as non-RSPO certified	6,819.50

RSPO P&C PUBLIC SUMMARY REPORT

Table 4: Projected FFB received and CPO & PK dispatch by the Derawan POM of the next reporting period (August 2016 to July 2017)

	Total (MT)
FFB Received	130,569.76
FFB Processed	130,569.76
Certified FFB	130,569.76
CPO Production	28,725.34
PK Production	6,919.99
CPO delivered as Identity Preserved	28,725.34
PK delivered as Identity Preserved	6,919.99

Table 5: Planted and certified area of the Derawan CU

Estate	Planted (ha)	Certified (ha)
Sahua	2041.03	2041.03
Derawan	2044.77	2044.77
Takau	2033.67	2100.67
Damai	1823.27	1823.27
Total	7942.74	8009.74

Table 6: Planting profile for Derawan CU

Estate	Year of establishment	Mature (Ha)	Immature (Ha)	Planted area	% of planted area mature	% of planted area immature
Sahua Estate	1994	1,941.54	120.85	2,062.39	94.14	5.86
Derawan Estate	1994	1,369.25	675.52	2,044.77	67.00	33.00
Takau Estate	1994	1,584.94	448.73	2,033.67	77.93	22.07
Damai Estate	1996	1,120.88	702.39	1,823.27	62.00	38.00
Total		6,016.61	1,947.49	7,964.10	75.55	24.45

2.3 Organizational Information/Contact Person(s)

The details of the contact person is as shown below:

SOU 33 Derawan

Name	:	Mr. Muhammad Irsan Bin Azmi
Position	:	Mill Manager
Address	:	Sarawak Zone Office Rajawali Complex, KM 52, Jln Bintulu-Miri, P.O. Box 673, 97008, Bintulu, Sarawak Derawan POM, P.O. Box 2324, 97011 Bintulu, Sarawak, Malaysia
Phone no.	:	+6086-477313
Fax no.	:	+6086-477313
Email	:	muhammad.irsan.azmi@simedarby.com

3.0 AUDIT FINDINGS

- 3.1 Changes to certified products in accordance to the production of the previous year
There was no changes to the certified products since last assessment.

RSPO P&C PUBLIC SUMMARY REPORT

3.2 Time bound plans including changes and reasons for the changes see below:

	Yes	No	<u>If yes, state reasons/justifications</u>
- acquisitions/disposals	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
- emergence/re-emergence of land disputes	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
- labour conflicts	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

The time bound plan for Sime Darby Plantation Sdn Bhd, which was updated in June 2016 is provided in Attachment 7 of this report.

3.3 Overall comment in terms of acceptance or non-acceptance on the changes in the time-bound plan (including details of non-adherence or the conditions justifying a time-bound plan have changed)
There is no changes to the time-bound plan.

3.4 All associated smallholders (including scheme smallholders) where their fruit supply is included , by the mill, are audited within 3 years from when their fruit was first included in the mill certification.

If no, please state reasons N/A as there is no associated smallholders supplying FFB to the CU.

3.5 Any new acquisition which has replaced primary forests or HCV areas ☐ Yes ☒ No

3.6 Other changes (e.g. organizational structure, new contact person, addresses, etc.)
New Manager and two Assistant Managers in Takau Estate.

3.7 Status of previous non-conformities *

Closed ☒ Not closed ☐

* If not closed, minor non conformity will be upgraded to major non conformity

3.8. Complaint received from stakeholder (if any)

There were some stakeholders interviewed during the conduct of this audit. These include workers, contractors and suppliers. 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) (details refer to Attachment 4) List : 5 STK-1.2016, STK-3.2016, MZK 02 2016, HO-01, H0-02

Total no. of major NCR(s) (details refer to Attachment 4) List : 2 STK-2.2016, MZK 01 2016

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

Total no. of minor NCR(s) List : 0

Total no. of major NCR(s) List : 0

RSPO P&C PUBLIC SUMMARY REPORT

5.0 AUDIT CONCLUSION

The audit team concludes that the organisation 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 achieve agreed criterion & requirements.

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.

10. **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 :

MOHD ZULFAKAR
KAMARUZAMAN

(Name)

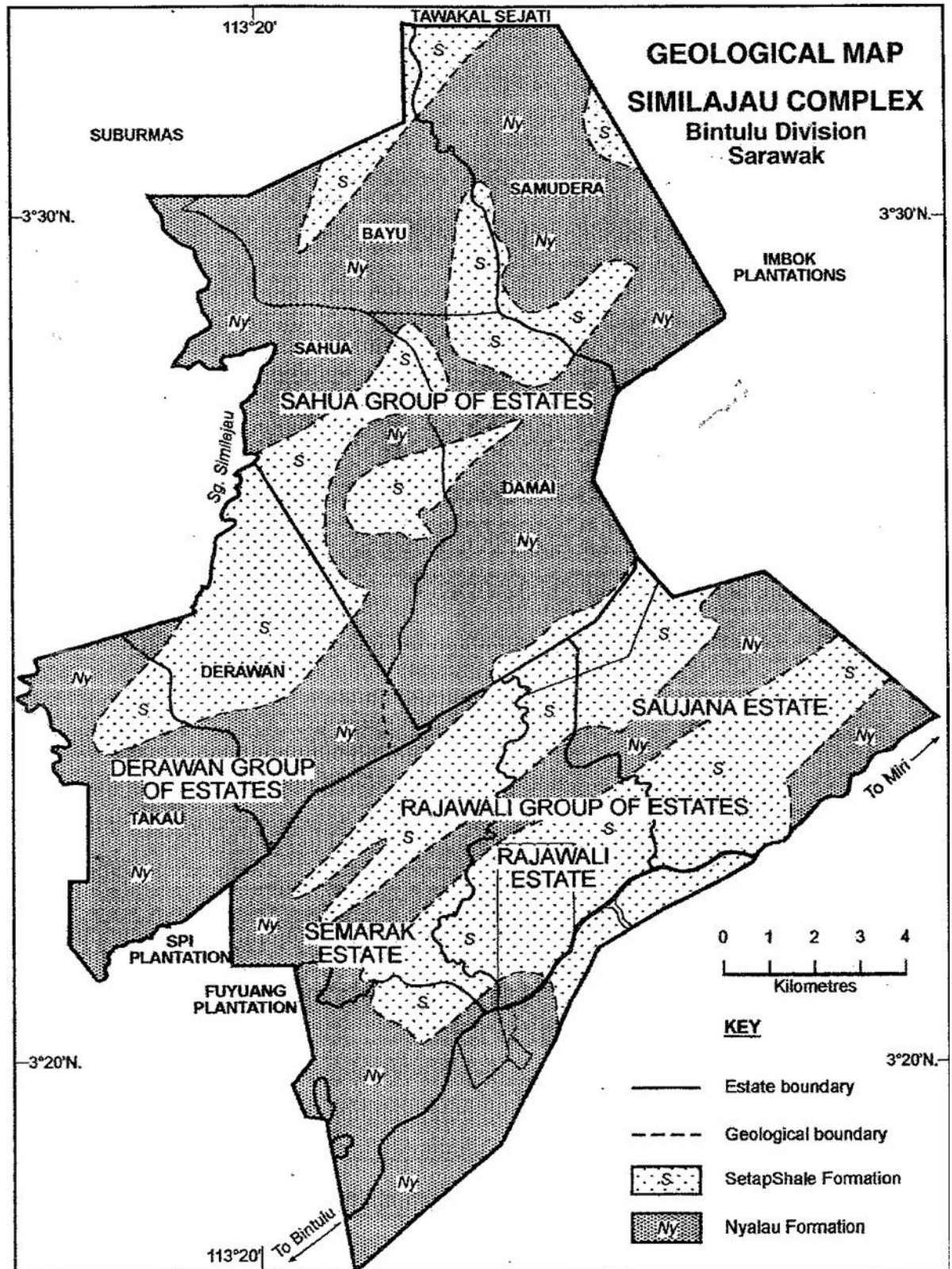
Mohd Zulfakar

(Signature)

11/10/2016

(Date)

Location map of Derawan Certification Unit, Bintulu



RSPO P&C PUBLIC SUMMARY REPORT

RSPO SURVEILLANCE AUDIT PLAN

1. Objectives

The objectives of the audit are as follows:

- (i) To determine Certification Unit conformance against the RSPO Principles & Criteria Malaysian National Interpretation (MYNI)
- (ii) To verify the effective implementation of corrective actions arising from the findings of last audit
- (iii) To make appropriate recommendations based on the audit findings

2. **Date of audit** : 8 - 12 August 2016

3. **Site of audit** : SOU 33 Derawan

- Derawan Palm Oil Mill
- Derawan Estate
- Takau Estate

4. Reference Standard:

- RSPO P&C MYNI: 2014
- RSPO Supply Chain Certification Standard, 2014
- Company's audit criteria including Company's Manual/Procedures

5. Audit Team

a) Audit Team Leader : Mohd Zulfakar Kamaruzaman
b) Auditor : Hazani Othman
Selvasingam T. Kandiah
Rozaimie Ab Rahman (Observer)

6. Audit Method

Site audits including observation of practices, interviews with interested parties (employees, nearby population, etc.), documentation evaluation and evaluation of records.

7. Audit Findings

Audit findings shall be classified as major and/or minor.

Major non conformities shall be addressed within 60 days or else the certificate shall be suspended. If the major non conformities are still not addressed within another 60 days, the certificate shall be terminated. Recurrence of major non-conformities on the same issues shall be recommended for immediate suspension. Minor non-conformities shall be upgraded to major non-conformities if the corrective actions taken are not satisfactorily and effective.

For minor non conformities raised in the surveillance audit, corrective action plans shall be submitted within 60 days. Verification of implementation of corrective actions will be carried out during the next audit. If corrective action plans to address the minor non-conformity(ies) are not submitted within 60 days,

the RSPO certificate will be recommended for suspension. If corrective action plans are not submitted within a further 60 days, the RSPO certificate will be recommended for termination.

8. Confidentiality Requirements

SIRIM QAS International shall not disclose any information concerning the company regarding all matters arising or coming to its attention with the conduct of the programme, which is of confidential in nature other than information, which is in the public domain. In the event that there be any legal requirements for disclosing any information concerning the organization, SIRIM QAS International shall inform the organization of the information to be disclosed.

9. Working Language : English and Bahasa Malaysia

10. Reporting

- a) Language : English
- b) Format : Verbal and written
- c) Expected date of issue : Tentative date of issue of report not more than 30 days after the closure of the major NCR.
- d) Distribution list : Client file

11. Facilities Required

- a) Room for discussion
- b) Relevant document and record
- c) Personnel protective equipment if required
- d) Photocopy and printing facilities
- e) A guide for each auditor

12. Audit Programme Details: As shown below:

RSPO P&C PUBLIC SUMMARY REPORT

Day 1: 8 August 2016 (Monday)

Time	Activities / areas to be visited			
9.00 – 9.30 am	<u>Opening meeting at Derawan Palm Oil Mill</u> Lead Auditor to introduce audit team member, brief on audit objectives, scope, methodology, criteria and programmes Organization Representative to brief on the following : <ol style="list-style-type: none"> 1) RSPO implementation at SOU Derawan (i.e. mill & supply base) including changes 2) Time bound plan for Sime Darby Plantation Sdn. Bhd. 3) Significant changes on organization activities, machinery, supply bases capacity etc. 			Top mgmt & Committee Member
	Zulfakar/Rozaimiee	Selvasingam	Hazani	
9:30 – 1:00 pm	<u>Derawan POM</u> Coverage of assessment: P1, P2, P4, P5, P7, P8 <ul style="list-style-type: none"> • Laws and regulations • Environmental management – witness activities at site • Waste & chemical management • Interview with FFB supplies and other supplies • Interviews with mill's workers • Facilities at workplace • Occupational safety & health practice – witness activities at site • Interview with workers , safety committee and contractors • Training and skill development programmes • Continuous improvement 	<u>Derawan Estate</u> Coverage of assessment:P1, P2, P3, P4, P5, P7, P8 <ul style="list-style-type: none"> • Laws and regulations • Commitment to long-term economic and financial viability • Good Agricultural Practice- witness activities at site (weeding/ spraying, etc) • EFB mulching, POME application • Interview with workers and contractors • Chemical store/fertilizer • Plantation on hilly/swampy area • IPM implementation, training and safe use of agro-chemicals. • New planting • Continuous improvement • Occupational safety & health practice – witness activities at site • Interview with workers , safety committee and contractors • Training and skill development programmes 	<u>Takau Estate</u> Coverage of assessment:P1, P2, P4, P5, P6, P8 <ul style="list-style-type: none"> • Laws and regulations • Land titles user rights • Social Impact Assessment (SIA), management plan & implementation • Complaints and grievances • Consultation with relevant government agencies • Interview workers, Contractors, gender committee, local communities and stakeholders • Check payslip, Contract Agreement • Check Sundry Shop • Inspection of protected sites with HCV attributes • Forested area, plantation boundary, adjacent and neighbouring land use • Riparian zone • Continuous improvement 	Guide(s) for each assessor
1.00 – 2.00 pm	Break			
2.00 – 5.00 pm	Continue assessment			Guide(s) for each assessor

RSPO P&C PUBLIC SUMMARY REPORT

Day 2: 9 August 2016 (Tuesday)				
Activities /areas to be visited	Zulfakar	Hazani	Selvasingam/Rozaimiee	
9.00 – 1.00 pm	<u>Derawan POM</u> Site visit and assessment on Supply Chain Implementation including the Model used <ul style="list-style-type: none"> • General Chain of Custody System Requirements for the supply chain • Documented procedures • Purchasing and goods in • Outsourcing activity • Sales and goods out • Processing • Records keeping • Registration • Training • Claims 	<u>Takau Estate</u> Coverage of assessment: P1, P2, P4, P5, P6, P8 <ul style="list-style-type: none"> • Laws and regulations • Land titles user rights • Social Impact Assessment (SIA), management plan & implementation • Complaints and grievances • Consultation with relevant government agencies • Interview workers, Contractors, gender committee, local communities and stakeholders • Check payslip, Contract Agreement • Check Sundry Shop • Inspection of protected sites with HCV attributes • Forested area, plantation boundary, adjacent and neighbouring land use • Riparian zone • Continuous improvement 	<u>Derawan Estate</u> Coverage of assessment: P1, P2, P3, P4, P5, P7, P8 <ul style="list-style-type: none"> • Laws and regulations • Commitment to long-term economic and financial viability • Good Agricultural Practice- witness activities at site (weeding/ spraying, etc) • EFB mulching, POME application • Interview with workers and contractors • Chemical store/fertilizer • Plantation on hilly/swampy area • IPM implementation, training and safe use of agro-chemicals. • New planting • Continuous improvement • Occupational safety & health practice – witness activities at site • Interview with workers , safety committee and contractors • Training and skill development programmes 	Guide(s) for each assessor
1.00 – 2.00 pm	Break			
2.00 – 5.00 pm	Continue assessment	<u>Derawan Estate</u> Coverage of assessment: P1, P2, P4, P5, P6, P8	Continue assessment	Guide(s) for each assessor

RSPO P&C PUBLIC SUMMARY REPORT

Day 3 : 10 August 2016 (Wednesday)				
Activities /areas to be visited	Zulfakar	Hazani	Selvasingam/Rozaimiee	
9.00 – 1.00 pm	<u>Takau Estate</u> Coverage of assessment: P1, P2, P4, P5, P7, P8 <ul style="list-style-type: none"> • Laws and regulations • Environmental management – witness activities at site • Waste & chemical management • Interview with FFB supplies and other supplies • Interviews with mill's workers • Facilities at workplace • Occupational safety & health practice – witness activities at site • Interview with workers , safety committee and contractors • Training and skill development programmes • Continuous improvement 	<u>Derawan Estate</u> Coverage of assessment: P1, P2, P4, P5, P6, P8 <ul style="list-style-type: none"> • Laws and regulations • Land titles user rights • Social Impact Assessment (SIA), management plan & implementation • Complaints and grievances • Consultation with relevant government agencies • Interview workers, Contractors, gender committee, local communities and stakeholders • Check payslip, Contract Agreement • Check Sundry Shop • Inspection of protected sites with HCV attributes • Forested area, plantation boundary, adjacent and neighbouring land use • Riparian zone • Continuous improvement 	<u>Takau Estate</u> Coverage of assessment: P1, P2, P3, P4, P5, P7, P8 <ul style="list-style-type: none"> • Laws and regulations • Commitment to long-term economic and financial viability • Good Agricultural Practice- witness activities at site (weeding/ spraying, etc) • EFB mulching, POME application • Interview with workers and contractors • Chemical store/fertilizer • Plantation on hilly/swampy area • IPM implementation, training and safe use of agro-chemicals. • New planting • Continuous improvement • Occupational safety & health practice – witness activities at site • Interview with workers , safety committee and contractors • Training and skill development programmes 	Guide(s) for each assessor
1.00 – 2.00 pm	Break			
2.00 – 5.00 pm	Continue assessment	Continue assessment	Continue assessment	Guide(s) for each assessor

RSPO P&C PUBLIC SUMMARY REPORT

Day 4: 11 August 2016 (Thursday)

Activities /areas to be visited	Zulfakar	Hazani	Selvasingam/Rozaimiee	
9.00 – 1.00 pm	<p><u>Derawan Estate</u></p> <p>Coverage of assessment: P1, P2, P4, P5, P7, P8</p> <ul style="list-style-type: none"> • Laws and regulations • Environmental management – witness activities at site • Waste & chemical management • Interview with FFB supplies and other supplies • Interviews with mill's workers • Facilities at workplace • Occupational safety & health practice – witness activities at site • Interview with workers , safety committee and contractors • Training and skill development programmes • Continuous improvement 	<p><u>Derawan POM</u></p> <p>Coverage of assessment: P1, P2, P4, P5, P6, P8</p> <ul style="list-style-type: none"> • Laws and regulations • Social Impact Assessment (SIA), management plan & implementation • Complaints and grievances • Consultation with relevant government agencies • Interview workers, Contractors, gender committee, local communities and stakeholders • Check payslip, Contract Agreement • Check Sundry Shop • Continuous improvement 	<p><u>Takau Estate</u></p> <p>Coverage of assessment: P1, P2, P3, P4, P5, P7, P8</p> <ul style="list-style-type: none"> • Laws and regulations • Commitment to long-term economic and financial viability • Good Agricultural Practice- witness activities at site (weeding/ spraying, etc) • EFB mulching, POME application • Interview with workers and contractors • Chemical store/fertilizer • Plantation on hilly/swampy area • IPM implementation, training and safe use of agro-chemicals. • New planting • Continuous improvement • Occupational safety & health practice – witness activities at site • Interview with workers , safety committee and contractors • Training and skill development programmes 	Guide(s) for each assessor
1.00–2.00 pm	Break			
2.00 – 5.00 pm	Continue assessment			Guide(s) for each assessor

RSPO P&C PUBLIC SUMMARY REPORT

Day 5: 12 August 2016 (Friday)

Activities /areas to be visited	Zulfakar	Hazani	Selvasingam/Rozaimiee	
9.00 – 11.00am	<ul style="list-style-type: none"> Continue assessment on unfinished area Verification on outstanding issues Audit Team discussion, preparation on audit findings and issuance of NCR (if any) 			Guide(s) for each assessor
11.00–11.30am	Break			
11.30-12.30pm	Closing meeting			Top management & Committee member

RSPO P&C PUBLIC SUMMARY REPORT

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 (environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making. Major Compliance	YES	Derawan CU continued to implement the procedure for responding to any communication as outlined in their Estate/Mill Quality Management System documents. At the point of audit, there was no request for information from the stakeholders received by the CU. The flow chart of the procedure were made available on notice boards in the Estate office and Muster Grounds In Takau Estate and Derawan Estate, management documents, such as those relating to environment, social and legal issues, are made available to the public except for those prevented by commercial confidentiality or where disclosure of such information would result in negative environmental or social outcomes. Both Estates continued to maintain stakeholders list for contractors, vendors/suppliers, government agencies, schools, local communities, etc. In addition to the above, SDPSB 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 readily made available through SDPSB website at http://plantation.simedarby.com The CU has also established mechanism to channel queries through regular meetings with workers.
	1.1.2 Records of requests for information and responses shall be maintained. Major Compliance	YES	The estates had identified personnel responsible for handling of complaints. Records of communication maintained at the respective offices. The internal communication recorded in 'Buku aduan/Buku Laporan Kerosakan rumah dan lain-lain'. From the review of these records, it was noted that the internal communication was mainly on request for repairs of the employee's houses. Records included the name of the complainant, name of the PIC to take action and date of completion. As for external communication, records of correspondences with Government Departments were sighted.
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 (Criterion 2.2);	YES	Copy of land use titles of all audited units maintained available. (See 2.2).
	Occupational health and safety plans (Criterion 4.7);	YES	Safety and Health plan was available in both estates. Cross refer to C 4.7. Information relating to safety and health plans maintained available through SDPSB website at http://plantation.simedarby.com . Both the mill and estates continued to have in place the SDPSB Occupational Safety and Health Policy. The policy was also available in Bahasa Melayu and had been communicated to all level of employees through briefings and displayed on the respective office's notice boards.
	Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8)	YES	Environmental Impact Assessment and Social Impact Assessment was updated for Derawan POM, Takau Estate and Derawan Estate by the respective Manager. Significant Environmental Aspects and Impacts Register was also established. Cross refer to 5.1 and 6.1

RSPO P&C PUBLIC SUMMARY REPORT

		HCV documentation summary (Criteria 5.2 and 7.3);	YES	HCV documentation was adequately maintained. (See 5.2).
		Pollution prevention and reduction plans (Criterion 5.6);	YES	Action plan to mitigate pollution is available for public. Cross refer to C5.6.
		Details of complaints and grievances (Criterion 6.3);	YES	Records of complaints were maintained. There was no grievance recorded. Nevertheless, the CU maintains its procedure for handling complaints and grievances. Cross refer to 6.3
		Negotiation procedures (Criterion 6.4);	YES	Relevant negotiation procedure was established and maintained. (See 6.4).
		Continual improvement plans (Criterion 8.1);	YES	Sime Darby Plantation Sdn. Bhd. is committed to utilize the established system to regularly monitor and review their key activities at the mill and estates. Relevant action plans were initiated to continuously improve its key areas of operations, environmental, safety and health, welfare and social contribution to workers and community. Details of the CU continual improvement plans has been reported in the indicator 8.1.
		Public summary of certification assessment report;	YES	Public summary can be assessed through this link: http://www.sirim-qas.com.my/core-files/uploads/2016/08/PUBLIC-SUMMARY-ASA-4-DERAWAN-IP_170316.pdf
		Human Rights Policy (Criterion 6.13).	YES	A Social Policy which included the need to respect human rights has been established by the CU. Through interview with workers, it was noted that the policy has been communicated to all levels of their employees.
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	A documented code of ethical conduct and integrity in all operations and transactions has been established as observed in a "Code of Business Conduct (COBC)" booklet, which available in the website: http://www.simedarby.com/about-us/governance/ and had been communicated to employees.

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	NO	<p>The CU continued to comply with legal requirements as per indicator. Guided by the established procedure, the annual evaluation of compliance has been carried out concurrently with the review of legal register in July 2016. The list of applicable legal and other requirement was made available during the assessment. The list covers the following:</p> <ul style="list-style-type: none"> Factories and Machinery Act 1967 (Notification, Certificate of Fitness and Inspection Regulation 1970, Steam Boiler & Unfired Pressure Vessel Regulation 1970, Safety Health and Welfare 1970, Noise Exposure Regulation 1989, Person In Charge Regulation 1970 etc. Occupational Safety and Health Act 1994 (NADOOPOD Regulation 2004, Safety Health Committee Regulation 1996, USECHH Regulation 2004). Environment Quality Act 1974 (Prescribed Premise (CPO) Regulations 1977, Clean Air

RSPO P&C PUBLIC SUMMARY REPORT

				<p>Regulation 2014 Scheduled Waste Regulation 2005 etc.</p> <ul style="list-style-type: none"> • Labour, EPF and SOCSO (Employment Act 1955, Employee Provident Fund Act 1991, Employees Social Security Act 1969, National Wages Consultative Act 2011, Minimum Wages Order 2016, Sarawak Labour Ordinance (Cap. 67) 2005 • Sarawak Natural Resources and Environment (Amendment) Ordinance 2001, Electricity Ordinance (amendment) 2007 <p>The CU has obtained license and permits as required by the respective regulations. Amongst the licenses or permits sighted were:</p> <ul style="list-style-type: none"> • Certificate of competency for steam engineer • Permits from DOSH for steam boilers, unfired pressure vessel (UPV), sterilizers, back pressure receiver, steam separator and air receiver. • Ordinan Buruh (Sarawak Bab 76) Section 114 - Permit for salary deduction • The Business, Professions and Trading Licence Ordinance • Permit from the Energy Commission and Domestic Trade Ministry for purchase and storage of diesel • MPOB license <p>The CU had also fulfilled the following requirements:</p> <ul style="list-style-type: none"> • Environment Quality Act 1974, Section 49A • NADOPOD 2004 : Reporting of occupational disease & USECHH • Poison Regulations 1952 : Section 24(2): Supply of poison for use in hospitals etc – written order signed by registered medical practitioner • OSHA 1994, Use and Standards Of Exposure of Chemicals Hazardous to Health Regulations 2000 • Noise Exposure Regulations 1989 : Audiometric test was conducted on annual basis. The last test was in March 2016 by a registered OHD. • Industry Code of Practice for Safe Working in a Confined Space 2010 Certificate of competency for Authorised Entrant and Standby Person (AESP), Authorised Gas Tester and Entry Supervisor (AGT) for working in the confined space were valid. • Fire Services (Fire Certificate) Regulations 2001 : the POM had received fire certificate from Fire and Rescue Department which is valid until June 2017. • Notification, Certificate of Fitness and Inspection, Regulations 1970 • EQ (Prescribed Premise) Crude Palm Oil Regulations 1977 : DOE Licence/ Jadual Pematuhan valid until June 2017. • Foreign workers from Indonesia have valid passport and work permit. Auditor has verified both documents from Indonesian workers at Derawan POM, Takau Estate and Derawan Estate. <p>However, the following legal requirement was not complied with, resulting in Major NCR MZK 01 2016:</p> <ol style="list-style-type: none"> 1) Environment Quality (Scheduled Waste) Regulation 2005 – scheduled wastes at Takau Estate and Derawan Estate was stored for more than the period stipulated in Regulation 4. 2) Clause 27 of the Occupational Safety and Health (Use of Standards of Exposure of
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RSPO P&C PUBLIC SUMMARY REPORT

				Chemicals Hazardous to Health) Regulations 2000 on health surveillance, which requires Medical Surveillance to be carried out by an Occupational Health Doctor. At Derawan Estate, the medical surveillance carried out on pesticide operators on 5.08.2015 & in May 2016 was not conducted by a doctor with valid DOSH certificate.
	2.1.2	A documented system, which includes written information on legal requirements shall be maintained Minor Compliance	YES	The CU had maintained their legal register which included the legal requirements applicable to their operation. The Sime Darby headquarters, PSQM Department is responsible to track any changes and the changes were disseminated to all its plantations and Mill department. Among the identified legal included Pesticides Act 1974 and its Regulations, Environmental Quality Act and its Regulations 1974, Factories and Machinery Act and its Regulations 1967, Occupational Safety and Health Act 1994, Employment Act 1955, Aboriginal Peoples Act 1954, Industrial Relations Act 1967, Children and Young Persons (Employment) Act 1966, MPOB Regulations (Licencing) 2005, EQ (Prescribed Premise) (Crude Palm Oil) Regulations 1977 and Industrial Code of Practice for Confined Space 2010. The latest legal register was updated by PSQM is related to change in Water Ordinance 1994, Sarawak Water Ordinance 1993, Labour ordinance Sarawak 1952 amended 2005, MPOB licensing Regulation 2005, Sarawak electricity 2007 chapter 50 2007, Minimum Wages Order 2016, Electricity Supply Amendment Act 2015 Act A1501. The acts and its regulations were evaluated for compliance annually. Latest evaluation on their legal register titled 'Legal and Other Requirements Register (LORR)' was in July 2016.
	2.1.3	A mechanism for ensuring compliance shall be implemented. Minor Compliance	YES	Both estates continued to implement and maintain the established documented system for identifying, accessing, tracking and monitoring of compliance with the legal requirements that are applicable to their operations. Each estate had its own Legal and Other Requirements Register (LORR) and were being evaluated for its compliance annually, during the internal audit by the ESH unit of PSQM in April 2016.
	2.1.4	A system for tracking any changes in the law shall be implemented. Minor Compliance	YES	The tracking for changes in the law was carried by PSQM Department, Group Compliance Office based at SDPB headquarters in Kuala Lumpur and disseminated to all CUs which then updates its legal register from time to time. The latest review was in May 2016 where the Minimum Wage Order 2016 was included.
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	All the land of the estates were leased to Derawan Sdn. Bhd by the Sarawak State Government. Derawan Sdn Bhd is owned by Sime Darby Plantation (Sarawak) Sdn. Bhd, which the latter is owned by Sime Darby Plantation Bhd. The total hectarage was 4360.503ha and the use of land was stated as for agricultural purpose.
	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	All the audited operating units have no boundary adjacent to state land or reserves, except legal boundary adjacent to other companies as indicated in "GPS Surveyed Map" and verified on site. It is observed that marker (stone and trench) indicated the boundary.

RSPO P&C PUBLIC SUMMARY REPORT

	2.2.3	Where there are or have been disputes, additional proof of legal acquisition of title and evidence that fair compensation has been made to previous owners and occupants shall be available, and that these have been accepted with free, prior and informed consent (FPIC). Minor Compliance	YES	There were no disputes observed.
	2.2.4	There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved. Major Compliance	YES	There were no cases of land conflict observed. (See 6.3 and 6.4).
	2.2.5	For any conflict or dispute over the land, the extent of the disputed area shall be mapped out in a participatory way with involvement of affected parties (including neighbouring communities and relevant authorities where applicable). Minor Compliance	YES	There were no cases of land conflict observed.
	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	There were no cases of land conflict observed.
C 2.3 Use of the land for oil palm does not diminish the legal, customary or user rights of other users without their FPIC.	2.3.1	Maps of an appropriate scale showing the extent of recognised legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties. Major Compliance	YES	There were no cases of dispute or land conflict observed. (See 2.2).

RSPO P&C PUBLIC SUMMARY REPORT

	2.3.2	<p>Copies of negotiated agreements detailing the process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and shall include:</p> <p>a) Evidence that a plan has been developed through consultation and discussion with all affected groups in the communities, and that information has been provided to all affected groups, including information on the steps that shall be taken to involve them in decision making;</p> <p>b) Evidence that the company has respected communities' decisions to give or withhold their consent to the operation at the time that this decision was taken;</p> <p>c) Evidence that the legal, economic, environmental and social implications for permitting operations on their land have been understood and accepted by affected communities, including the implications for the legal status of their land at the expiry of the company's title, concession or lease on the land.</p> <p>Minor Compliance</p>	YES	There were no cases of dispute or land conflict observed. (See 2.2).
	2.3.3	<p>All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements.</p> <p>Minor Compliance</p>	YES	There were no cases of dispute or land conflict observed.
	2.3.4	<p>Evidence shall be available to show that communities are represented through institutions</p>	YES	There were no cases of dispute or land conflict observed.

RSPO P&C PUBLIC SUMMARY REPORT

or representatives of their own choosing, including legal counsel. Major Compliance

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 (minimum three years) shall be documented that includes, where appropriate, a business case for scheme smallholders. Major Compliance	YES	Both estates continued to make commitment to long-term economic and financial viability. The annual budget projections for 2015/16 to 2019/2020 were sighted. The budget provisions covered activities for upkeep, cultivation, harvesting & evacuation, welfare, capital expenditure, RSPO compliance, etc. The budget included projections on yield/ha, and total cost of production per ton & per ha.
	3.1.2 An annual replanting programme projected for a minimum of five years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review, shall be available. Minor Compliance.	YES	The replanting programme for the next five years had been prepared as sighted in the Long Range Replanting Programme 2015/16 to 2036/37. This programme is reviewed once a year and is incorporated in 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 Standard Operating Procedures (SOPs) for estates and mills shall be documented. Major Compliance	YES	Both estates continued to use the Plantations Quality Management System (PQMS) Manual, Standard Operating Manual and Procedures (SOP), Agriculture Reference Manual (ARM), "Guidelines On River Management" manual, Sustainable Plantation Management System (SPMS) Manual, ESH Management System Manual, Occupational Safety and Health Manual, Pictorial Safety Standards, and Security Guidelines. It includes the operation activities in the estates from seedlings in nursery to planting of young palms and plantation upkeep to mill FFB receipt, grading, processing, quality analysis and security. For the estates, on top of the PQMS, the technical guidelines as listed in the Agricultural Reference Manual is in-used. Contents of the Manual were briefed to the workers through morning roll call and trainings. The Manual is kept in the administration office.
	4.1.2 A mechanism to check consistent implementation of procedures shall be in place.	NO	As for all the other SDPSB estates, both estates had a list of SOPs in the EQMS and Agriculture Reference Manual. Both Estates monitored good agricultural practices as per SOPs by on-site visits, inspections and discussions with relevant personnel and by conducting assessments and

RSPO P&C PUBLIC SUMMARY REPORT

		Minor Compliance		audits such as Internal Audits, RSPO Audits and visits by PAs and Agronomists. However, at time of visit, these non-compliances were noted and raised as Minor NCR STK 1 2016: 1. The procedure on personal protective equipment has not been complied with at Derawan Estate. Harvesters were not using the required PPE while harvesting FFB. 2. Sub section 8.8.1 & 8.8.2 of SOP Transportation System & Machinery Safety has not been complied with at Takau Estate. Some wheel bolts and nuts from the rear and front wheels of a tractor were missing.
	4.1.3	Records of monitoring and any actions taken shall be maintained and available, as appropriate. Minor Compliance	YES	Records of monitoring and the actions taken by both Derawan Estate and Takau Estate were maintained and kept for a minimum of 12 months. Monthly Costing and Annual Reports on monitoring of all activities were made available. Among those records sighted at the estates included Work Program Sheets, Field cost books for harvesting, weeding, Bin cards, Monthly Progress & Report Account, rainfall data, pest census, etc. Records on FFB quality control for individual harvesters, the action taken on them and corrective action records were reviewed. The mill had also conducted the Annual LEV inspection in November 2015. Therefore previous Minor NCR MRS 01 2015 was closed.
	4.1.4	The mill shall record the origins of all third-party sourced FFB. Major Compliance	YES	Auditor has verified that there was no third party FFB supplier sent to Derawan POM.
C 4.2 Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.	4.2.1	There shall be evidence that good agriculture practices, as contained in SOPs are followed to manage soil fertility to a level that ensures optimal and sustained yield, where possible. Minor Compliance	YES	Both Estates practised 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. Fertiliser application, which was of paramount importance for maintenance of soil fertility, was done on the recommendation made by the Agronomist from Sime Darby Research Sdn. Bhd. Annual fertiliser recommendations were made based on annual foliar sampling. Fertiliser application program was monitored using records like program sheets
	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, etc. 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	From the Agronomist reports it was established that both estates carried out periodic foliar and soil sampling to monitor changes in nutrient status. Annual foliar sampling for the nutrients N, P, K, Mg,Ca & B had been carried out and the results formed the basis for the fertiliser recommendations to maintain and improve soil fertility. The latest foliar sampling at Derawan Estate was carried out in December 2015, while at Takau Estate, the sampling was in May 2016 which formed the basis for formulation of the fertiliser recommendation for 2016/2017. Soil maps were made available to the auditors.
	4.2.4	A nutrient recycling strategy shall be in place, and may include use of EFB, POME, and palm residues. Minor Compliance	YES	Both estates had a nutrient recycling strategy in place. Palm fronds were stacked in the fields to decompose and by EFB application. There is no specific program for EFB mulching and compost application at the estates for mature oil palm areas. The EFB application was carried out only in the immature areas. There was no pome applied in both estates.

RSPO P&C PUBLIC SUMMARY REPORT

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	Based on the soil maps provided, there was only a negligible hectares of shallow peat soil in Takau Estate; 0.63% (14 hectares) of the planted area. In Derawan Estate there was no fragile/marginal soils. In Derawan Estate the soils series were mainly Bekenu, Bedup and Semarak series with some Derawan, Marang, Nyalau, Sarstok and Sibuga series. In Takau it was mainly Bekenu, Bedup, Derawan and Nyalau series with some areas of Saratok, DLD, Gali (peat), Sibuga, Gong Chenak, Bukit Tuku, Kampong Pusu, Semarak series.
	4.3.2	A management strategy shall be in place for plantings on slopes 9-25° unless specified otherwise by the company's SOP. Minor Compliance	YES	SDPSB had a management strategy in place for planting at slopes to minimise and control erosion and degradation of soils. Cover crop was observed planted in the replants and management had generally encouraged the establishment of soft growth and large areas with <i>Neprolepis biserrata</i> were sighted during the visit. Most slopes had well established <i>Mucuna bracteata</i> . No bare ground was sighted during the visit.
	4.3.3	A road maintenance programme shall be in place. Minor Compliance	YES	During the field visit, it was noted road conditions were well maintained in both estates. Regular road maintenance programmes were implemented accordingly. The programme had been supported with adequate provisions in the budgets. Surface run off water from roads is directed into road side slit pits, fields and drains with well cambered roads and road sided drains.
	4.3.4	Subsidence of peat soils shall be minimised and monitored. A documented water and ground cover management programme shall be in place. Major Compliance	YES	There was no peat soil in Derawan Estate and only a very small area in Takau Estate <5%. The area in Takau Estate had been planted with ground cover and water/drainage are managed.
	4.3.5	Drainability assessments where necessary conducted prior to replanting on peat to determine the long-term viability of the necessary drainage for oil palm growing. Minor Compliance	YES	There was no peat soil in Derawan Estate and only a very small area in Takau Estate <5% therefore this indicator was not applicable.
	4.3.6	A management strategy shall be in place for other fragile and problem soils. Minor Compliance	YES	There was no peat soil in Derawan Estate and only a very small area in Takau Estate <5% therefore this indicator was not applicable.
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	Both estates implemented water management plans. Plans for 2015/2016 were sighted. The water management plans were more towards soil water conservation, pollution prevention and domestic supply. Buffer zones were maintained with no spraying and fertiliser application allowed. The plan also cover dry spell/shortage and in case of water pollution. Workers were advised to conserve water. Workers quarters were provided with separate tanks for rain water harvesting. This water is used for washing. Treated water for drinking is supplied via separate tank and the amount used was monitored. Rainfall records based on rain gauge reading were available on site.
	4.4.2	Protection of water courses and wetlands, including maintaining and restoring appropriate riparian and other buffer zones	YES	The CU continues to protect the water courses and wetlands including maintaining and restoring appropriate riparian buffer zones at or before replanting along all natural waterways within the estates. Audit at sampled sites confirmed that the buffer zone maintained identified with signboard and buffer marked with white paint. No spraying activities or fertilizing were observed.

RSPO P&C PUBLIC SUMMARY REPORT

		shall be demonstrated. Major Compliance		Natural pond observed to be fenced. The previous Major NCR MRS 02 2015 verified and closed as there was no recurrence
	4.4.3	Appropriate treatment of mill effluent to required levels and regular monitoring of discharge quality shall be in compliance with national regulations. Minor Compliance	YES	Site visit at effluent treatment plant and interview with operator in-charge revealed that the operation was in accordance with the standard operation procedure and legal requirements. No effluent over flow was sighted and flow meter reading was recorded daily. Mill records of water monitoring for DOE submission in the ' <i>Borang Penyata Suku Tahunan</i> '. The BOD results was below than the stipulated limit of 50 mg/l.
	4.4.4	Mill water use per tonne of FFB shall be monitored. Minor Compliance	YES	Mill water usage per tonne of fresh fruit bunches (FFB) continued to be monitored on monthly basis.
C 4.5 Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.	4.5.1	Implementation of IPM plans shall be monitored. Major Compliance	YES	Derawan and Takau Estates had documented IPM systems in place. The procedure referred is in Agricultural Reference Manual. The IPM program among others includes pest management of rats, bagworms, nettle caterpillars, rhinoceros beetles and ganoderma. The IPM technique for rats includes rearing barn owls (<i>tyto alba</i>), bagworm control includes the planting of beneficial plants such as <i>Cassia cobanensis</i> , <i>Antigonan leptopus</i> and <i>Turnera sublata</i> and for rhino beetles is by using pheromone trap. Both estates carried census on rat damage and diseases like Ganoderma. Rat baiting was by calendar baiting at 2 campaigns per year. Baiting was continued until bait acceptance fell below 20%. During the visit it was observed that a number of Beneficial Plants had been planted. Both estates had plants in polybags, ready for planting, in the nurseries.
	4.5.2	Training in IPM implementation shall be demonstrated. Minor Compliance	YES	It was evident that both estates had carried out training on all aspects IPM implementation for staff and workers.
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	SOP of all agrochemical was available in the Agricultural Reference Manual. The use of selective products that are specific to the targeted pest, weed or disease were demonstrated in the Agricultural Reference Manual. 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	Both estates had documented programs for spraying pesticides and for rat baiting. Pesticide application was implemented as programmed. Both units visited 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 Ai/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
	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	YES	As part of the IPM plans, management of both estates had established nectariferous beneficial plants (<i>Cassia cobanensis</i> , <i>Antigonan leptopus</i> and <i>Turnera sublata</i>) nurseries for continuous planting in order to attract natural predators and thus to reduce use of insecticides against leaf eating pest.

RSPO P&C PUBLIC SUMMARY REPORT

		use of pesticides, except in specific situations identified in industry's Best Practice. Major Compliance		<p>During the visit it was observed that a number of Beneficial Plants were being planted in the replants with EFB application and both estates had plants ready for planting in the nurseries. The estates were committed to reduce using chemicals and now have implemented and will continue to only spray Circles (Strip) and noxious weeds. Soft weeds and <i>Nephrolepis bisserata</i> are maintained and encouraged in the inter rows. Spraying of noxious was only carried out as and when required and some were only slashed.</p> <p>In replants manual circle and cover crop weeding and manual de-creeping of cover crop from the palms was advocated and these operations were observed during the visit .EFB applied in replants was applied in single layers and was not dumped in large amounts to prevent breeding of Rhinoceros Beetles.</p> <p>In both estates, prophylactic spraying using diluted cypermethrin for immature palms in zero burning of oil palm to oil palm replanting was carried out against rhinoceros and apogonia attack as per SOP.</p>
	4.6.4	Pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, are not used, except in specific situations identified in industry's Best Practice. The use of such pesticides shall be minimised and/or eliminated as part of a plan, and shall only be used in exceptional circumstances. Pesticides selected for use are those officially registered under the Pesticides Act 1974 (Act 149) and the relevant provision (Section 53A); and in accordance with USECHH Regulations (2000). Minor Compliance	YES	Both estates only used pesticides that are officially registered under the Pesticides Act 1974 (Act 149) and the relevant provision (Section 53A); and in accordance with USECHH Regulations (2000). There was no evidence of pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, had been used. The chemical store had none of the chemicals. The use of paraquat had been banned in all SDPSB estates. Most pesticides used were class III & class IV.
	4.6.5	Pesticides shall only be handled, used or applied by persons who have completed the necessary training and shall always be applied in accordance with the product label. Appropriate safety and application equipment shall be provided and used. All precautions attached to the	YES	Records showed that pesticides were handled, used and applied by trained persons and as per the MSDS of the pesticide. The staff and workers such as the storekeepers, sprayers, and rat bait workers have been trained and they had understood the hazards involved 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 CSDS training. It was also noted that the CSDS are available at all sites during the audit. Training on handling of pesticide was conducted at Derawan Estate in Feb 2015 and Takau in March 2016 by the supplier. As for training on spraying, it has been conducted in Aug 2015 in Derawan and May 2016 in Takau by the Manager and Sustainability Officer. The training included the safety aspects and the use of PPE when handling with

RSPO P&C PUBLIC SUMMARY REPORT

		products shall be properly observed, applied, and understood by workers (see Criterion 4.7). Major Compliance		pesticides. Record of training was available for verification. The estates had a SOP for use of PPE during working. All workers involved in pesticide application were provided with appropriate PPE and replaced when damaged. PPE issue and replacements records were verified. From interviews conducted with workers and staffs in the fields and stores clerks, it was established that they had been trained and were aware of safe handling procedures.
	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 Regulations and Orders, Pesticides Act 1974 (Act 149) and Reg. Major Compliance	YES	The chemical store was observed to be in compliance with the Occupational Safety and Health Act 1994 (Act 514) as well as in the Pesticides Act 1974 (Act 149) and Regulations. Record of the purchase, storage and use had been properly maintained. All of the stores had been well ventilated, had exhaust fans and well secured. Only authorized personnel were allowed to handle the chemicals. All the chemicals were stored and segregated accordingly. Empty pesticides containers had been triple rinsed, holes punched in them and stored separately in another store.
	4.6.7	Application of pesticides shall be by proven methods that minimise risk and impacts. Minor Compliance	YES	Pesticide applications were guided by SDPSB's ARM, Pictorial Guide, CHRA and by MSDS supplied by the manufacturer. The CHRA in both estates was assessed by competent assessor in October 2015 for Derawan Estate and in September 2015 for Takau Estate.
	4.6.8	Pesticides 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 spraying was not practiced by both estates and there was no evidence to show that any had been carried out.
	4.6.9	Evidence of continual training to enhance knowledge and skills of employees and associated smallholders on pesticide handling demonstrated or available. Minor Compliance	YES	The staff and workers such as the storekeepers, sprayers, fertilizer and rat bait workers were trained and they understood the hazards involved and how the chemicals should be used in a safe manner. Records showed that trainings are evident.
	4.6.10	Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated.	YES	Procedure on Scheduled Wastes (Hazardous Waste) Management dated 26 February 2015 is referred. Disposal of waste materials related to pesticide containers are being carried out as per established procedures. Triple rinsing activities was continually implemented for empty pesticide container. The rinsed containers were pierced and stored prior disposing. Records were maintained in the 'Scheduled Waste Record 2016'. However, the following Environment Quality (Scheduled Waste) Regulation 2005, Regulation 4,

RSPO P&C PUBLIC SUMMARY REPORT

		Minor Compliance		was not complied with. From records, the Takau Estate's scheduled wastes generated in August 2015 and at Derawan's scheduled wastes generated in Jan 2016 were not disposed accordingly. Refer to Major NCR MZK 01 2016 raised at indicator 2.1.1.
	4.6.11	Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, demonstrated. Major Compliance	YES	The CHRA at Takau Estate was reviewed in Sept 2015 and at Derawan Estate in Oct of the same year. The review was carried out by competent assessor. All sprayers, store keeper and workers handling pesticides in both estates were sent for medical surveillance and the records presented to the auditors. Although both estates has appointed competent assessors, it was found that the doctor hired by Derawan estate has expired DOSH certificate. Major NCR MZK 01-2016 was issued under Indicator 2.1.1.
	4.6.12	No work with pesticides shall be undertaken by pregnant or breast-feeding women Major Compliance	YES	The estates had Internal Office Memos stating "No work with pesticides shall be undertaken by pregnant or breast-feeding women". At both estates, the HA during the monthly medical check-up interview their women workers on the last menstrual period date. Pregnancy test was carried on doubtful cases. There was no evidence that work with pesticides was undertaken by pregnant or breast-feeding women.
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 CU had continued to adopt the SDPSB's Occupational Safety and Health policy. The policy was communicated to all levels of employees through briefings and training. The policy is also available in Bahasa Malaysia and displayed at the notice boards at mill, estate office and Muster Ground. OHS management plan for each operating unit had been documented. The OHS management plan included the hazards and risks, legal register and its requirements for compliance, OSH awareness and training program, accident and emergency procedures, treatment of illness/injury during the job, use of PPE, Workplace inspection and OSH Committee meetings. The implementation of the OSH plan was monitored during 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	NO	The hazard identification, risk assessment and risk control had been carried out covering activities in the estates. Updated HIRARC register were presented during the assessment. The HIRARC for Derawan POM was updated in July 2016 due to accident occur at boiler station. For Derawan & Takau Estate, the HIRARC was reviewed in July 2016 and March 2016, respectively. Noted that in Derawan Estate, the risks associated with the activities at the nursery were not assessed and at both estates, hazard associated with heat stress under replanting for cover crop and palm planting activities was not provided. As such Major NCR STK -2 2016 was issued.
	4.7.3	All workers involved in the operation are 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 haz. op. such as pesticide application, machine operations, land preparation,	YES	Training and briefing on the operations were provided to all workers to educate them on safe working practices. Training for employees were conducted from time to time based on needs through various method such as on the job training, briefings, meetings, etc. The staff and workers such as the storekeepers, harvesters, pruners, field workers, sprayers, fertilizer and rat bait workers were trained and they had understood the hazards involved and how the chemicals should be used in a safe manner. All workers were provided with appropriate PPE and replaced when damaged. PPE issue and replacements records were verified by the auditors. It was also observed that PPE was used by workers working in the fields. Therefore previous Major NCR MZK 01 2015 was closed.

RSPO P&C PUBLIC SUMMARY REPORT

		harvesting and, if it is used, burning. Major Compliance		
	4.7.4	The responsible person/persons shall be identified. There shall be records of regular meetings between the responsible person/s and workers. Concerns of all parties about health, safety and welfare shall be discussed at these meetings, and any issues raised shall be recorded. Major Compliance	YES	The CU had appointed the mill manager and assistant estate manager to be responsible for the OSH implementation. Regular safety meetings between the responsible persons and workers about safety and health were conducted. Safety Committee Meeting has been conducted once in three months by all audited operating units. The meeting minutes were made available at the mill and estate offices.
	4.7.5	Accident and emergency procedures shall exist and instructions 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	NO	Emergency Response Plan has been established and included in the Environmental Impact Assessment, Management Action Plan and Continuous Action Plan. The identified emergency situation included the chemical spillage. The CU had also adhered to the documented SDPSB policy 'Crisis Management & Emergency Response' plan, OSH manual and "Accident and Reporting and Investigation Procedure" of the same manual. The policy was for Fire, Flood, Chemical Spillage, Strikes and Emergency and Accident Response and was in both English and Bahasa. It was exhibited in the offices, Muster Grounds, Workshops and Dispensaries. Information to response to emergencies had been communicated. This included emergency contact number, site plan showing evacuation route to assembly point and location of firefighting equipment and action to be taken during emergency by staff and contractors. Instructions to respond to accident and emergencies situation were tested and it was found to be clearly understood by all workers interviewed both at the mill and estates. Trained first aider was available at all work area both in the estates and mill. Cross checked with training records found that most of the staffs were trained on first aid. Interviews with First Aiders found that they were aware of their duties and responsibility. First Aid boxes were provided and maintained at several locations in the estate like harvesting area, Spraying area, Manuring area, estates and mill office, boiler, engine room stores and workshop. Accident statistics observed been maintained and periodically reviewed during safety and health committee meeting. Internal reporting for accident will go through ESH/PSQM and DOSH will be notified if there is an accident with more than 4 days of MC using JKKP 6 form and annual accident statistic using JKKP 8 form. The CU has submit the JKKP 8 forms to DOSH in Jan 2016. Accident investigation has been carried out to all accident cases for internal reporting as well as 3 rd party reporting to DOSH. Records of accident investigation including meeting minute, accident chronology, sketch of accident area, personal information including training records, corrective action were observed properly kept for future reference. There were no fatal accidents and accidents with more than 4 days lost in 2015. However, during field inspection it was noted that the first aid box was not available in the harvesting worksite at Takau estate, therefore Minor NCR STK – 3 2016 was issued.
	4.7.6	All workers shall be provided with medical care, and covered	YES	Both Estates shared a clinic with a qualified medical assistant to provide for daily basic and emergency medical care. Serious cases were sent to hospitals for treatment.

RSPO P&C PUBLIC SUMMARY REPORT

		by accident insurance. Minor Compliance		It was verified that all employees were covered by accident insurance; locals by SOCSO as required under Employee's Social Security Act 1969. Foreign Workers were covered workmen compensation as required by the Workmen Compensation Act 1952. The Regional Office Bintulu was responsible to insure all Foreign Workers and Insurance Policies and kept the document. Both estates had their workers covered by accident insurance under RHB Insurance Berhad with period of coverage valid until Dec 2017.
	4.7.7	Occupational injuries shall be recorded using LTA metrics. Minor Compliance	YES	In month June there was 1 case of accident (60 days of LTA) recorded in the mill, which occurred in June 2016 at the boiler station. Formal reporting to DOSH was carried out through submission of JKPP 6 on 20/6/2016. The forms were submitted to DOSH in a timely manner. Accident investigation was carried out by the OSH committee on the same day and was reported with the format standardised by the Sime Darby Plantations Sdn Bhd. Root cause of accident has been identified and appropriate control measure has been implemented. The HIRARC has also been updated for either engineering control, administrative control or the used of PPE to be implemented and improved after the occurrence of accident. At Takau Estate there were 4 cases of accident recorded with 29 days of LTA. The estate has reported all the accidents to DOSH by submitting JKPP 6. JKPP 8 has been submitted to DOSH in Jan 2016. At Derawan Estate there were 8 cases of accident recorded (1 days of LTA). The estate has reported all the accidents to DOSH by submitting JKPP 6. JKPP 8 has been submitted to DOSH in Jan 2016.
C 4.8 All staff, workers, smallholders and contract workers are appropriately trained.	4.8.1	A formal training programme shall be in place that covers all aspects of the RSPO Principles and Criteria, and that includes regular assessments of training needs and documentation of the programme. Major Compliance	YES	In general no changed in the RSPO requirements that requires re-training on relevant RSPO requirements to the personnel. Formal training programmes for 2016/2017 had covered aspects of the RSPO Principles and Criteria, with regular assessments of training needs were presented to auditors by both estates and mill. The training programmes were also extended to contractors and suppliers. Trainings were either conducted internally by its own staff or by other department within the Sime Darby Group.
	4.8.2	Records of training for each employee shall be maintained. Minor Compliance	NO	Derawan CU continued to conduct training needs on RSPO P&C related elements. The annual training programme for both estates and mill were made available. Interviewed with workers, staff and Assistant Manager confirmed that all training has been conduct according to the plan, however there is no record to proof that training has been done. Thus, Minor NCR MZK 02 2016 was raised.

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	5.1.1	An environmental impact assessment shall be documented. Major Compliance	YES	The CU has established its environmental aspects/impacts register associated with their activities. Environmental aspect and impact (EAI) which covers form upstream activities such as FFB reception until downstream processes was sighted during the audit. Identification and evaluation of environmental impact was done for all activities and processes related to the mill operation. Among the significant environmental receptors are the air emission from the boiler, palm oil mill effluent (POME) discharge and land contamination which related to managing the scheduled wastes and also general wastes. For the estate operation, all activities from

RSPO P&C PUBLIC SUMMARY REPORT

impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.	5.1.2	Where the identification of impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a comprehensive action plan. The action plan shall identify the responsible person/persons. Minor Compliance	YES	<p>harvesting, manuring, pest and disease, upkeep programme until delivery to the mill were identified.</p> <p><u>Derawan POM</u> Environmental Aspect and Impact Identification Form & Environmental Impact Evaluation Form is used to identify Aspect & Impact and take necessary action. The record was reviewed in October 2016 by the Assistant Engineer and approved by the Mill Manager. No changes were made to the record. Environmental Improvement Plan FY 2015 / 2016 comprising of Pollution Prevention Plan has been established in July 2016. Among the pollution prevention being identified are control of BOD, black smoke monitoring and effluent monitoring. Sighted records of monitoring by the mill.</p> <p><u>Takau Estate</u> Environmental Aspect and Impact Identification Form & Environmental Impact Evaluation Form was used to identify Aspect & Impact and take necessary action. Reviewed in July 2016 by the Assistant and approved by the Estate Manager.</p> <p><u>Derawan Estate</u> Environmental Aspect and Impact Identification Form & Environmental Impact Evaluation Form were used to identify Aspect & Impact and take necessary action. Reviewed in July 2016 by the Assistant and approved by Estate Manager. Pollution Prevention Plan 2015 / 2016 has been established.</p>
	5.1.3	This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts. Minor Compliance	YES	<p><u>Derawan POM</u> - the POM 'Pollution Prevention plan', 'Reduce Fresh water usage' was updated in July 2016. The following were monitored :</p> <ol style="list-style-type: none"> BOD at the final discharge Reduce water consumption. Reduce electricity consumption. Reduce diesel consumption. <p><u>Takau Estate</u> - 'Pollution prevention Plan' has adopted to monitor the environment issue in the estate. The plan was updated on 26/6/16 and the following were monitored:</p> <ol style="list-style-type: none"> Leaking of weedicide and pesticide during chemical mixing Leakage of oil during tractor service Leakage of diesel fuel during filling diesel into tractor. <p><u>Derawan Estate</u> - 'Pollution Prevention plan' and 'Reduce Fresh water usage' was updated in August 2016 and July 2016 respectively. The following issue were monitored:</p> <ul style="list-style-type: none"> Leaking of weedicide and pesticide during chemical mixing Leakage of oil during tractor service Spraying/ manuring nearing buffer zone Rain water collection
C 5.2 The status of rare, threatened or endangered species other High Conservation Value	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 CU maintains its documented HCV assessment (Biodiversity Baseline Assessment Report – SOU 33 dated June 2009). The CU also maintained the identified conservation areas, i.e. natural pond (for human needs), riparian reserve and steep areas (>25°). The areas were identified on maps and marked and maintains on the ground.

RSPO P&C PUBLIC SUMMARY REPORT

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.	5.2.2	Where rare, threatened or endangered (RTE) species, or HCVs, are present or are affected by plantation or mill operations, appropriate measures that are expected to maintain and/or enhance them shall be implemented through an action plan. Major Compliance	YES	There were no RTE species in the CU, except protected species like crocodile in the Similajau river and the natural pond. Appropriate warning signage was available to warn the public of the present of crocodile and prohibition of water related activities, such as fishing, swimming or boating. The pond is fenced and locked.
	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	Interviewed with employees noted that awareness programme had been conducted. Employees were aware of <ul style="list-style-type: none"> • not to capture, harm, kill any wildlife. • disciplinary measures shall be taken if found violating company rules. • not to spray in riparian buffer zone and steep areas.
	5.2.4	Where an action plan has been created there shall be ongoing monitoring: <ul style="list-style-type: none"> • The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported; • Outcomes of monitoring shall be fed back into the action plan. Minor Compliance 	YES	Maintenance of the areas monitored as part of estate routine operation practices. Observed no monitoring outcomes that requires changed of practices or action plan.
	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 is no local communities right exist in the CU. Thus, there is no HCV set-aside with existing right of local communities.
C 5.3 Waste is reduced, recycled, re-used and	5.3.1	All waste products and sources of pollution shall be identified and documented. Major Compliance	YES	The CU has identified all wastes and sources of pollution. The environmental management plan were established to mitigate and control the identified wastes and source of pollution.

RSPO P&C PUBLIC SUMMARY REPORT

disposed of in an environmentally and socially responsible manner.				The most significant environmental receptors for the estates and mill operations were: Air – sources from boiler stack (smoke and particulate), vehicle & generator (smoke and gases), anaerobic processes (ETP, EFB dumping – biogas emission)- GHG , Water – cleaning water/run-off/process station waters (hydro-cyclone /sterilizer condensate/clarification waste) & boiler quenching water and blowdown and Land – scheduled waste, clinical waste, Industrial waste, domestic waste and industrial/process waste.
	5.3.2	All chemicals and their containers shall be disposed of responsibly. Major Compliance	YES	Empty chemical containers were rinsed three times, punched with holes and disposed through approved licensed contractors.
	5.3.3	A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented. Minor Compliance	YES	For the identified wastes, the headquarters had established procedures and guideline to guide the disposal of the wastes so as to minimize pollution for the routine operation. For the Derawan POM wastes the disposal were as follow: EFB - sent for mulching in the estate, while crop residue/biomass i.e. fiber and shell were used as fuel in the boiler. As for the POME, an effluent treatment plant is in place. The final discharge from the treatment plant is discharged to water ways but sighted in the plan want to change into Land Irrigation using furrow system. Effluent quality monitoring was also done on monthly basis. Samples were taken at the final discharge point. The monitoring of the effluent discharge is reported to DOE on monthly and quarterly basis. This practice is accordance with the requirements in the written approval issued by DOE. Review of the results revealed that the quality of the effluent discharge is in within the regulatory limit. For estates, waste like scrap iron was disposed through selling to the approved contractor by the HQ and Domestic waste was totally removed to landfills and managed by the estates. Sighted also during field visit the estate provide sufficient tray during spraying at the field to prevent any leakages therefore past NCR # MZK 02 2015 was closed. On the scheduled wastes management, a procedure titled as 'Handling of Scheduled Waste' was established. The scheduled wastes were disposed through licensed scheduled waste. The storage, management and disposal of the following scheduled waste were reviewed: The hazard sign, waste code , date when the scheduled wastes are first generated, name address and telephone number of the estate was clearly labelled on the waste containers, so, past NCR # MZK 02 2015 was closed. However, there is an occurrence of scheduled wastes not disposed in a proper manner at the mill and estate. Major NCR MZK 01 2016 was raised. See criterion 2.1.1.
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	Derawan CU has established the plan on efficiency use of fossil fuels named fossil fuel reduce program, some of the program are Fibre/Shell that were produced at Derawan POM will be used for boiler and for both estates maintenance of the tractor to ensure at optimum level. The management was monitored on monthly basis regarding the use of fossil fuel (petrol and diesel) and its renewable energy.
C 5.5 Use of fire for preparing land or replanting is avoided, except in specific situations as	5.5.1	There shall be no land preparation by burning, other than in specific situations as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003.	YES	SDPSB had a policy of no open burning. It was in the EQMS-SOP-Under felling/clearing & land preparation and Carbon Policy. As advocated, both estates practiced Zero burning. In the replanting area visited during the audit (2014-2016), it was evident that all palms were felled, shredded, windrowed left to decompose.

RSPO P&C PUBLIC SUMMARY REPORT

identified in the ASEAN guidelines or other regional best practice	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	As per SDPSB policy on zero burning during land preparation for replanting, both estate had adhered to this policy. There was no evidence of any burning.
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 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	5.6.1	An assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent (see Criterion 4.4). Major	YES	Derawan POM, Takau & Derawan Estate has carried out identification of environmental impact assessment management action plans in plan called 'Prevention Pollution Plan'. This document had included all activities in the estates, including gaseous emissions from genset, and transportation. The management monitored the use of fossil fuel and its renewable energy on monthly basis.
	5.6.2	Significant pollutants and greenhouse gas emissions shall be identified, and plans to reduce or minimise them implemented. Major Compliance	YES	The environmental aspects for air pollution have been identified. Action plan and continuous improvement plan has been established to managed this environmental aspect. This document was reviewed in October 2016 for Derawan POM, July 2016 for Takau estate and Aug 2016 for Derawan Estate. Among the action taken is to continue monitoring the use of diesel and the GHG emission.
	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	The CU had been used RSPO PalmGHG Calculator as a tools, sighted dated the report send to RSPO on 8 August 2016. The records pertaining for this calculation were kept for ease retrieval and made available at the Derawan POM and both estates during this assessment.

RSPO P&C PUBLIC SUMMARY REPORT

stakeholder groups of the RSPO. Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.				
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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 CU maintains its documented social impact assessment (Baseline Social Impact Assessment – Sarawak Zone – SOU 33 - Jun 2009). Meetings with stakeholders (internal and external) also periodically conducted. Among records of meetings observed were Stakeholders Meeting FY 2015/16, SOU 33, Zone / Operational Meeting in Apr 2016, Occupational Health and Safety Meeting, 4 th , FY2015/16, Management Meeting, in July 2016. Among issues highlighted were insufficient supply of electricity, school relocation and transportation for children, water tank cleaning, overtime control and road condition and safety.
	6.1.2	There shall be evidence that the assessment has been done with the participation of affected parties. Major Compliance	YES	Review of minutes of meeting and interviewed with internal and external stakeholders confirmed that the assessment had been conducted with the participation of affected parties. Among the affected parties are employees of various mixture and external parties.
	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	Documented plans for mitigation of negative impact maintains available and implemented, which contain responsibilities and timeframe. Among the plans were electricity saving and installation of SESCO line, free transportation for schooling children to relocate, scheduled water tank cleaning, job rearrangement concerning overtime control and road maintenance and use of helmet and vest for safety.
	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	YES	The plans were reviewed annually. The latest review was conducted in July 2016.

RSPO P&C PUBLIC SUMMARY REPORT

		evidence that the review includes the participation of affected parties. Minor Compliance		
	6.1.5	Particular attention shall be paid to the impacts of smallholder schemes. Minor Compliance	YES	The mill does not receive FFB from smallholder.
C 6.2 There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties	6.2.1	Consultation and communication procedures documented. Major Compliance	YES	The CU maintained its documented "Procedure for External Communication". Communication with external parties observed continued filed and made available. Internal communication also continued implemented via various means, such as briefings and meetings, notice boards, emails, letters, and so on. The morning briefings continued appear to be common channel through which the management communicates whatever policies to the workers.
	6.2.2	A management official responsible for these issues nominated. Minor Compliance	YES	All audited units maintains appointed assistant managers as management official at each operating units. Appointment letter from Estate Manager is available.
	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	YES	The CU maintained the list of its stakeholders, records of communication and records of actions taken in response to input from stakeholders. However, there was no communication / complaint received from stakeholders except from workers usually on repair/maintenance of their quarters, and meeting minutes with internal and external stakeholders.
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 whistle-blowers, where requested. Major Compliance	YES	The CU maintains its documented system for dealing with complaint and grievances and open to all affected parties. However, there were no complaints or grievances, except common request for repair of worker quarters. Records of requests and actions taken were available. A specific grievance mechanism, which respects anonymity and protects complainants has been established as observed in a "Code of Business Conduct (COBC)" booklet, which available in the website: http://www.simedarby.com/about-us/governance/ .
	6.3.2	Documentation of both the process by which a dispute was resolved and the outcome shall be available. Major Compliance	YES	There were no complaints or grievances, except common request for repair of worker quarters. Records of requests and actions taken maintained.
C 6.4 Any negotiations concerning compensation for loss of legal, customary or user rights are dealt	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 concerning legal and customary pertaining land issues, including compensation maintained and remain to be handled by Land Management Department of Sime Darby, if any, as stated in their procedure. This procedure is applicable to all Sime Darby's operating units. For compensation concerning employees, the issue is handled by the Human Resource department.
	6.4.2	A procedure for calculating and	YES	The compensation procedure maintained as per 'Sustainable Plantation Management System –

RSPO P&C PUBLIC SUMMARY REPORT

with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.		distributing fair compensation (monetary or otherwise) shall be established and implemented, monitored and evaluated in a participatory way, and corrective actions taken as a result of this evaluation. This procedure shall take into account: gender differences in the power to claim rights, ownership and access to land; differences of transmigrants and long-established communities; and differences in ethnic groups' proof of legal versus communal ownership of land. Minor Compliance		Appendix 3 - Flowchart and Procedures on Handling Land Disputes'. Compensation on loss of legal rights will be determined according to the land authority.
	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	There was no cases of compensation for loss of legal, customary or user rights been observed.
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	The CU had documented monthly payslip, which contain type of earning and deduction and amount, However, no deduction was observed. Interviewed with new and existing employees and review of payslip and agreement confirmed that the CU conforming pertaining documentation of pay and conditions meet legal requirement.
	6.5.2	Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be available in the languages understood by the workers or explained carefully to them by a management official. Major Compliance	YES	Job offer document maintained contain detail payment and condition of employment. The documented contract maintains detailing payments and condition of employment. Employees interviewed were able to state and confirm their benefits entitled.
	6.5.3	Growers and millers shall	YES	The CU maintained to provide adequate domestic water supply, electricity, clinic and welfare

RSPO P&C PUBLIC SUMMARY REPORT

		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		amenities such as mosque, creche, kindergarten, community hall, rental sundry shops, sport facilities and playground for children and workers. Schooling children were provided with education access, support and facilities, including free transport. Workers quarters continued periodically inspected. Water supply for drinking continued analysed.
	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	There are 3 sundry shops at the workers quarters in the CU. The contracts were administered by Derawan Estate. All the shop owners require to list and submit their price to Derawan Estate for review prior signing into new contract and whenever there is price change. Contracts between the parties and price lists were available.
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 association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.	6.6.1	A published statement in local languages recognising freedom of association shall be available. Major Compliance	YES	Freedom of association maintains recognised by the CU. A published statement in Bahasa Malaysia is as contained in the Social Policy.
	6.6.2	Minutes of meetings with main trade unions or workers representatives shall be documented. Minor Compliance	NO	The CU continued to have various internal meeting / communication with its employees. Nevertheless, review of content of various meeting minutes and interview with their employees revealed that no documented minutes of meeting with main trade union or workers representative had been conducted that identify social impacts in a participatory way, whom the affected parties are able to express their views to mitigate the negative and promote the positive to demonstrate continual improvement of social aspects of plantation and mill management on factors such as policies of ethical and integrity, abuse, harassment and violence; rights of human, women and equal opportunities; welfare amenities and work equipment; economic livelihoods and working conditions; sufficient and affordable food; subsistence activities; training and counselling; facilities and access to health, child care and education; cultural and religious values; other values, resulting from changes of above. Thus, a Minor NCR HO-01 is raised concerning the above matter.
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 CU maintained not employing or exploiting children as determined in its "Children Protection Policy". List of employees as contained in employee listings were provided, which contained employee number, name, date of join and birth. It can be confirmed that no underage person was employed.
C 6.8 Any form of discrimination based	6.8.1	A publicly available equal opportunities policy including identification of relevant/affected	YES	Equal opportunities policy maintains by the CU. This was reflected in the Social Policy.

RSPO P&C PUBLIC SUMMARY REPORT

on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.		groups in the local environment shall be documented. Major Compliance		
	6.8.2	Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated against. Major Compliance	YES	Interviewed with employees of various ethnic of local and foreign, different gender and designation acknowledged that they have not been discriminated.
	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	Recruitment maintained conformed as per criteria. There were 4 employees recommended for promotion (upgrading). The recommendation were documented in "Performance Appraisal Form". Noted criteria used among others included the Key Performance Factors, Performance Score and Proposed Performance Rating, Training, Development and Needs. Recommendation noted were consistent with the result of appraisal.
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	A policy to prevent sexual and other forms of harassment and violence is contained in the Gender Policy. Interviewed with employees confirmed that the Gender Committee is maintained and continued to conduct regular meeting to discuss case of harassment and violence, if any. However, no such case was observed. Minute of Gender Committee meeting maintain available.
	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 CU maintained its Gender Policy that also cover protection of reproductive rights. Interviewed with employees confirmed that they were aware and understand of the policy. There were no complaints regarding this issue.
	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 specific grievance mechanism, which respects anonymity and protects complainants, is available in the "Code of Business Conduct (COBC)" booklet. This document is also available in the website: http://www.simedarby.com/about-us/governance/ . However, interviews with some of the employees revealed that there were employees who do not understand the mechanism how they will be anonymous and protected if they had any grievances or complaints. Thus, a Minor NCR HO-02 raised concerning the above matter.
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	Not applicable. The CU only receives FFB from its own supply base.
	6.10.2	Evidence shall be available that growers/millers have explained FFB pricing, and pricing mechanisms for FFB and	YES	FFB pricing not applicable, as the CU only received and processed FFB from its own supply-base. For other services, the pricing was either based on quotation or tender.

RSPO P&C PUBLIC SUMMARY REPORT

		inputs/services shall be documented (where these are under the control of the mill or plantation). Major Compliance		
	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	Interviewed with Contractor/Service providers confirmed that they are having contractual agreement acknowledged that they were provided with documented agreement, which was fair, legal and transparent.
	6.10.4	Agreed payments shall be made in a timely manner. Minor Compliance	YES	Interviewed with Contractor/Service providers acknowledged that payment was not an issue. Further, they acknowledged the improvement pertaining MEX payment process has benefited them in term of faster payment time and convenient since no collection of payment require. Review of documentation of payment clearing registration system, confirmed that payment had been made electronically and timely.
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	There was no request for contribution from the communities. Requests were mainly related to repair of the quarters. However, the CU continued to contribute to improve welfare of the communities and its employees. Among contribution observed were new volleyball court, provided free transportation for children to relocated school for better education facilities, continue to construct resting huts in the fields and in-progress of installation SESCO line for a stable electricity supply.
	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	No scheme smallholders involved in the CU. The mill only receive FFB from its own supply-base.
C 6.12 No forms of forced or trafficked labour are used.	6.12.1	There shall be evidence that no forms of forced or trafficked labour are used. Major Compliance	YES	Review of employees listing and interviewed with employees observed no forms of forced or trafficked labour were used.
	6.12.2	Where applicable, it shall be demonstrated that no contract substitution has occurred. Minor Compliance	YES	Interviewed with foreign workers observed no contract substitution has occurred. They acknowledged the job contract agreement, including benefits were as per what they are serving and enjoying now.
	6.12.3	Where temporary or foreign workers are employed, a special labour policy and procedures shall be established and implemented. Major Compliance	YES	No temporary workers were observed. Special labour policy for employment of foreign workers maintained as addressed in the Social Policy. The policy specified that employees should be treated fairly in terms of recruitment, terms and conditions of work, provide decent living, no contract substitution and post arrival programme will be conducted once arrived for three months.
C 6.13 Growers and millers	6.13.1	A policy to respect human rights shall be documented and	YES	Policies to respect human rights were maintained by the CU. Among the policies included the Social Policy, Children Protection Policy and Gender Policy. Audit at operating units and

RSPO P&C PUBLIC SUMMARY REPORT

respect human rights		communicated to all levels of the workforce and operations. Major Compliance		interviewed with employees confirmed that the policies had been communicated to them
	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	The CU maintains to provide road access, facilities and support for education for children of its employees.

Principle 7: RESPONSIBLE DEVELOPMENT OF NEW PLANTINGS

SOU 33 Derawan CU has no plan for any new planting and no new development of area was observed during the visit. Thus Principle 7 is not applicable.

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 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: Major Compliance		
	a)	Reduction in use of pesticides(Criterion 4.6);	YES	<ol style="list-style-type: none"> Both estates continued to manage pests, disease and weeds using appropriate IPM techniques. In order to minimize use of insecticides the estates had established nurseries for beneficial plants mainly Tunera subulata, Cassia cobanensis and Antigonon leptopus. This was to establish continuity in the planting of beneficial plants. The estates were committed to reduce the use of chemicals and now have implemented only spray Circles and noxious weeds. Soft weeds and Nephrolepis bisserata were planted, maintained and encouraged in the inter rows. This also suppresses growth of noxious weeds and thus reduce the use of pesticides. In replanting area in both estates, application of EFBs in concentric circles around the palm

RSPO P&C PUBLIC SUMMARY REPORT

				base helps to prevent/reduce weeds in the palm circles. Covers crops were also planted in the inter rows and <i>Mucuna.bracteata</i> were planted to cover chipped palm material to prevent/suppress Rhinoceros Beetle from breeding.
	b)	Environmental impacts (Criteria 4.3, 5.1 and 5.2);	YES	Identification of the Environmental Aspect and Impact, and the Evaluation of Significance and the Environmental Impact Assessment has been reviewed accordingly. The mitigations measures which were derived from the identification of environmental aspects were adequately implemented and monitored.
	c)	Waste reduction (Criterion 5.3);	YES	The CU continued to practice 3R programme on waste management. The Waste Management Plan has been established for 2016. The CU is generally active in maximizing the recycling activities. This could be evident through sales of recyclable materials such as plastic and metal.
	d)	Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8);	YES	Pollution and Greenhouse Gas (GHG) emission was included in the Identification Environmental improvement action plan which is used to identify the waste products and sources of pollution.
	e)	Social impacts (Criterion 6.1);	YES	Observed the CU continued committed for improvements.
	f)	Encourage optimising the yield of the supply base	YES	In order to optimise yields, both estates were committed to implement best agricultural practices. This included the following timely and proper fertiliser application, EFB and compost application, improving the road accessibility to maximise crop evacuation, expanding mechanised collection of FFB in the fields, constructing water bodies and water conservation pits to conserve moisture, reducing surface run off to prevent leaching of fertilisers and paying harvesters incentives.

RSPO P&C PUBLIC SUMMARY REPORT

Attachment 4

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

P & C Indicator	Specific ation Major/Minor	Detail Non-conformances	Corrective Action Taken by the CU and Verification by Auditors
Indicator 2.1.1	Major	<p>#NCR No : MZK 01 2016</p> <ul style="list-style-type: none"> - Environment Quality (Schedule Waste) Regulation 2005. Regulation 4. Disposal of Schedule waste - Clause 27 of the Occupational Safety and Health (Use of Standards of Exposure of Chemicals Hazardous to Health) Regulations 2000 on health surveillance, which requires Medical Surveillance to be carried out by an Occupational Health Doctor. <ol style="list-style-type: none"> 1) Noncompliance against the above requirement related to schedule waste at Takau Estate and Derawan Estate. <ul style="list-style-type: none"> - At Takau Estate SW 305, SW 410 and SW 306 date generated from August 2015 was not disposed accordingly. - At Derawan Estate SW 305 date generated from 23/1/2016 was not disposed accordingly. 2) Noncompliance against the above requirement related to Medical Surveillance at Derawan Estate <ul style="list-style-type: none"> - Derawan Estate – The medical surveillance carried out on pesticide operators on 5.08.2015 & in May 2016 was not conducted by a doctor with a valid DOSH certificate 	<p>Corrective Action:</p> <ol style="list-style-type: none"> 1) To dispose SW 305, 306 and 410 using Licensed contractor on 15/8/2016 2) To obtain OHD certificate from Doctor <p>Auditor Verification:</p> <p>The Corrective action accepted as it was verified that Derawan CU disposed the Scheduled wastes via licensed contractor. The Doctor OHD certificate was also provided.</p> <p>Status: Closed</p>
Indicator 4.1.2	Minor	<p>#NCR No : STK-1.2016</p> <ol style="list-style-type: none"> 1. Operational control procedure on Personal Protective Equipment was not complied with. <ul style="list-style-type: none"> - Derawan Estate – Harvesters In Field 94DC were not using required PPE while harvesting FFB although provide by management. 2. Sub section 8.8.1 & 8.8.2 of SOP Transportation System & Machinery Safety was not complied with. <ul style="list-style-type: none"> - Takau Estate – Some wheel bolts and nuts from the rear and front wheels of tractor TF005 IDRIS were missing. 	<p>Corrective Action:</p> <ol style="list-style-type: none"> 1. To re-train the workers regarding to safety and PPE and warning letter shall be issued to the harvesters that are negligence to wear PPE. 2. To install bolt and nut and ensure regular maintenance as per required. <p>Auditor Verification:</p> <p>Corrective action plan accepted</p> <p>Status: The effectiveness of the corrective action will be verify during next audit.</p>
Indicator 4.7.2	Major	<p>#NCR No : STK-2.2016</p> <p>Not all operations where health and safety was an issue were be risk assessed.</p> <ul style="list-style-type: none"> - Derawan Estate – At time of audit, Oil Palm Nursery operations had not been risk assessed. - Dreawan & Takau Estates- Heat Stress was not assessed 	<p>Corrective Action:</p> <ul style="list-style-type: none"> - HIRARC for nursery already been added a few key important for improvement and review been done by estate management. - Heat Stress already include in HIRARC and been reviewed by Management <p>Auditor Verification:</p> <p>Corrective action plan accepted</p>

RSPO P&C PUBLIC SUMMARY REPORT

		for Replanting activities like cover crop planting, planting palms, etc.	Status: The effectiveness of the corrective action will be verify during next audit.
Indicator 4.7.5	Minor	#NCR No : STK-3.2016 First aid boxes were not made available at worksites. <ul style="list-style-type: none"> - Takau Estate – At time of audit, a first aid box was not available at the harvesting worksite 	Corrective Action: - First aid misplaced during assessment. To retrain the first aider regarding to first aid emergency. Auditor Verification: Corrective action plan accepted. Status: The effectiveness of the corrective action will be verify during next audit
Indicator 4.8.2	Minor	#NCR No : MZK 02 2016 The process of maintaining Training records found not effective <ul style="list-style-type: none"> - At Derawan POM, Derawan Estate and Takau Estate – Although Health, Safety and Environmental Trainings are stated to be carried out, however the records of the training were not available. - At Derawan POM, Derawan Estate and Takau Estate – Records of Social and HCV related training activities e.g Policy training were not available. 	Corrective Action: <ul style="list-style-type: none"> - To arrange the training of Health, Safety and Environmental Training immediately. - The training will be conduct around Septembers 2016 Auditor Verification: Corrective action plan accepted Status: The effectiveness of the corrective action will be verify during next audit.
Indicator 6.6.2	Minor	#NCR No : HO-01 There is no evidence of documented minute of meeting with main trade union or workers representative, whom the affected parties are able to express their views on identify social impacts in a participatory way to mitigate the negative and promote the positive to demonstrate continual improvement. <ul style="list-style-type: none"> - Review of various meeting minutes and interview with SOU's employees revealed no meeting with management had been conducted that identify social impacts in a participatory way, whom the affected parties are able to express their views to mitigate the negative and promote the positive to demonstrate continual improvement of social aspects of plantation and mill management on factors such as: <ul style="list-style-type: none"> • policies of ethical and integrity, abuse, harassment and violence; • rights of human, women and equal opportunities; • welfare amenities and work equipment; • economic livelihoods and working conditions; • sufficient and affordable food; • subsistence activities; • training and counseling; • facilities and access to health, child care and education; • cultural and religious values; • other values, resulting from changes of above. 	Corrective Action: <ul style="list-style-type: none"> - To conduct a meeting with the stakeholders and workers representative to discuss regarding social issues for continual improvement. Auditor Verification: Corrective action plan accepted Status: The effectiveness of the corrective action will be verify during next audit.

RSPO P&C PUBLIC SUMMARY REPORT

Indicator 6.9.3	Minor	<p>#NCR No : HO-02</p> <p>Although the mechanism of anonymity and protect the complainant has established and communicated, there are employees who still do not understand.</p> <p>i) Interviews with the SOU's employees revealed that they still do not understand mechanism how they will be anonymous and protected if they had any grievances or complaints</p>	<p>Corrective Action:</p> <p>i) To retrain the workers regarding to social and communication mechanism procedure.</p> <p>Auditor Verification:</p> <p>Corrective action plan accepted.</p> <p>Status: The effectiveness of the corrective action will be verify during next audit</p>
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RSPO P&C PUBLIC SUMMARY REPORT

Attachment 5

RSPO Supply Chain at the Derawan Palm Oil Mill – Identity Preserved – Module D

Item No	Requirement NOV 2014	Findings Standard Nov 2014
D.1 D.1.1	Definition To verify : a) the volume of certified and uncertified FFB entering the mill b) the volume sales of RSPO certified The claim only the volume of oil palm products produced from processing of the certified FFB as MB	i) Derawan Palm Oil Mill (POM) uses only certified FFB from their own certified supply base. The mill is therefore producing certified CPO and PK using IP model. Based on records (Aug 2015 to July 2016), Derawan POM received 138,897.11 MT of certified FFB. ii) During the same period, 27,473.351 MT of certified CPO and 6,901.08 MT of PK was produced and delivered. However, the sale transaction only 13,775.56 MT of CPO and 6819.50 MT of PK was claimed as certified RSPO product and the rest claimed as noncertified.
D 2 D.2.1	Explanation Estimate total tonnage of CPO and PK potentially produce in a year	The estimated production tonnage for the next reporting period (Aug 2016 to July 2017) is 28,725.34 MT of CPO/IP and 6,919.99 MT of PK/IP. Derawan POM has registered in e-Trace (Member ID: RSPO_P01000000019)
D 3 D 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 role of the person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the site's procedures for the implementation of this standard.	Derawan POM had revised their documented procedure titled 'Standard Operating Procedure for Sustainable Supply Chain and Traceability' to be in accordance with the Supply Chain standard. Appropriate changes were made in the change from the previous Segregation to Identity Preserved model. The Assistant Engineer remained as the person with overall responsibility for and authority over the implementation of the supply chain requirements.
D 3.2	The site shall have documented procedures for receiving and processing certified and non-certified FFBs.	Clause 7.0 of <i>SOP for Sustainable Supply Chain and Traceability</i> has described how the Derawan mill manages the FFB from certified source. It was confirmed that no non-certified FFB was received by Derawan POM.
D.4 D.4.1	Purchasing and goods in The site shall verify and document the tonnage and sources of certified and the tonnage of non-certified FFBs received.	Derawan POM will only accept the RSPO certified FFB which are from Sime Darby's own estates i.e. Damai Estate, Sahu Estate, Derawan Estate and Takau Estate. Monitoring records titled as " <i>Mass Balancing Records for Oil Mills</i> " has recorded the tonnage of certified FFB and its supplying estate. Verified through Derawan POM weighing system called ' <i>SimeWeigh</i> '. There was no non-certified FFB received based on the records.
D 4.2	The site shall inform the CB immediately if there is a projected overproduction.	There was no overproduction of certified CSPO during the period under review (August 2015 – July 2016).
D.5 D.5.1	Record keeping 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.	Derawan POM has maintained the three-monthly accounting system to record RSPO certified FFB and deliveries of RSPO certified CPO and PK. Record titled as " <i>Mass Balancing Records for Oil Mills</i> ".
D 6	The site shall assure and verify through documented procedures and record	Global Trading & Marketing (GTM) Bintulu office informed Sime Darby Austral Sdn.Bhd

RSPO P&C PUBLIC SUMMARY REPORT

D.6.1	keeping that the RSPO certified oil palm product is kept segregated from noncertified material including during transport and storage.	<p>(SDASB) by e-mail on the dispatch of RSPO certified CPO from the supplying POMs (Derawan and Rajawali). The dispatch of the RSPO certified CPO to SDASB by the supplying POMs was made based on a specific contract.</p> <p>The receiving pit, pipelines and tanks in SDASB were thoroughly cleaned, swept and flushed before RSPO certified CPO was pumped in to avoid contamination. Dedicated tanks were used to store RSPO certified CPO from Derawan POM.</p> <p>For traceability of a specific batch of RSPO certified CPO back to the supplying POM, SDASB kept the relevant documents such as the weighbridge ticket, CPO dispatch note, Dispatch oil quality ticket, Authorization from transporter, Borang MPOB L3, CPO dispatch authorization issued by the POM.</p>
D.6.2	The objective is for 100 % segregated material to be reached.	Derawan POM does not accept any non-certified FFB. It was confirmed through summary of weighbridge ticket and interview with weighbridge operator. Therefore CPO and PK can be considered 100% segregated.

RSPO P&C PUBLIC SUMMARY REPORT

Attachment 6

Status of Non-conformities Previously Identified

P & C Indicator	Specification Major/Minor	Detail Non-conformances	Corrective Action	Verification by Assessor
Indicator 4.1.3	Minor	NCR # MRS 01 2015 1. Derawan POM has conducted LEV maintenance monitoring from January to July 2015 except for August, September and October 2015. 2. LEV in the laboratory has not undergone the annual inspection before expiry period which was 1 July 2015 to confirm its efficiency.	1. Derawan POM will conduct the LEV maintenance monitoring on monthly basis. 2. The mill had conducted Annual LEV inspection on 13 th November 2015.	1. Sighted Derawan POM conduct the LEV maintenance monitoring on monthly basis. Verified record for May 2016, June 2016 and July 2016. 2. Sighted the mill had conducted Annual LEV inspection on 13 th November 2015 and date expiry on 12 th November 2016. Status : Closed
Indicator 4.4.2	Major	NCR # MRS 02 2015 <ul style="list-style-type: none"> During site review at buffer zone for Sg. Similajau in Blok 5 - 96DB, Damai Estate, auditor has found that boundary mark (white paint) was not maintained. And there was a sign of spraying activities in the buffer zone area. 	Damai Estate has conducted buffer zone training for sprayer dated 16 November 2015. Auditor has received evidence that showed the estate has repainted boundary mark of the buffer zone area with white paint.	Boundary marking observed maintained, and no sign of spray in the buffer zone observed. Status: Closed
Indicator 4.7.3	Major	NCR # MZK 01 2015 In Damai Estate, harvesters in Field 96DB though provided with boots and safety helmets were not using them.	Damai Estate has conducted refresher safety training on the personal protective equipment for the harvester dated 28 November 2015.	Sighted records of training on PPE for harvester dated 28/11/2015 and the latest dated 12/8/2016 and auditor also verified the records of issuance PPE for harvesters and to all Estate Operations. Status: Closed
Indicator 5.3.3	Minor	NCR # MZK 02 2015 Sahua Estate : The hazard sign, waste code , date when the scheduled wastes are first generated, name address and telephone number of the estate not clearly labelled on the waste containers (i.e. spent lubricant oil and used rags). Sahua Estate: Kenlon tank from tractor was leaking and chemical dripping to the ground.	1. Sahua Estate will conduct training for the scheduled waste incharge person. The estate also will display hazard sign, waste code, date of first generation, name, address, and telephone number for the scheduled waste as per requirement.	1. During field visit, found that The hazard sign, waste code, date when the scheduled wastes are first generated, name address and telephone number of the estate was clearly labelled on the waste

RSPO P&C PUBLIC SUMMARY REPORT

			<p>2. Monitoring and ensure the pesticide tanker will not leak anymore including provide sufficient tray during at the field to prevent any leakages.</p>	<p>containers at Derawan and Takau Estate. 2. Sighted also during field visit at the both estate, the management has provide the tray during spraying at the field to prevent any leakages. Status: Closed</p>
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RSPO P&C PUBLIC SUMMARY REPORT

Attachment 7

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-16	CU-RSPO-815148, SPO 590800	
3	Elphil	Sg Siput, Perak	18 Jun '11	17-Jun-21	SPO 550180	
4	Flemington	Teluk Intan, Perak	5 Oct '11	4-Oct-16	CU-RSPO-819144, SPO 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-16	CU-RSPO-815147, 18502206 001	Re-certification is in progress and currently under e-Trace extension
11	Kerdau	Temerloh, Pahang	7 Jul '11	6-Jul-16	CU-RSPO-819155, 18502207 001	Re-certification is in progress and currently under e-Trace extension
12	Jabor	Kuantan, Pahang	7 Jul '11	6-Jul-16	CU-RSPO-819156, RSPO 928288	Re-certification is in progress and currently under e-Trace extension
13	Labu	Nilai, Negeri Sembilan	30 Dec '11	29-Dec-16	CU-RSPO-819163, SGS-RSPO/PM/MY13/01284	
14	Tanah Merah	Port Dickson, Negeri Sembilan	19 May '10	18-May-20	SPO 541905	
15	Sua Betong	Port Dickson, Negeri Sembilan	2/18/2014	17-Feb-19	SGS-RSPOPMMY14/01364	Sua Betong Oil Mill has been commissioned to replace Rantau Oil Mill with Certificate No: CU- RSPO-819165, certification date: 30 Dec 2011.

RSPO P&C PUBLIC SUMMARY REPORT

16	Kok Foh	Bahau, Negeri Sembilan	7 Jul '11	6-Jul-16	CU-RSPO-819157, RSPO 928188	Re-certification is in progress and currently under e-Trace extension
17	Kempas	Jasin, Melaka	19 May '10	18-May-20	RSPO 005	
18	Diamond Jubilee	Jasin, Melaka	5 Oct '11	4-Oct-16	CU-RSPO-819146, SPO 591224	
19	Pagoh	Muar, Johor	1/28/2014	27-Jan-19	SPO 600305	Pagoh Oil Mill has been commissioned to replace Nordanal Oil Mill with Certificate No: SPO 549297, certification date: 7 Jan 2011.
19a	Yong Peng	Yong Peng, Johor	20 Oct '10	19-Oct-15	SPO 550182	
20	Chaah	Chaah, Johor	18 Nov '10	17-Nov-20	SPO 548299	
21	Gunung Mas	Kluang, Johor	19 May '10	18-May-20	RSPO 901888	
22	Bukit Benut	Kluang, Johor	5 Oct '11	4-Oct-16	CU-RSPO-819147, SPO 591229	
23	Ulu Remis	Layang-layang, Johor	12 Apr '11	11-Apr-16	SGS-RSPO/PM-00722	Re-certification is in progress and currently under e-Trace extension
24	Hadapan	Layang-layang, Johor	29 Mar '11	28-Mar-21	824 502 16040	
25	Segaliud	Sandakan, Sabah	20 May '10	19-May-15	SPO 547123	
26	Sandakan Bay	Sandakan, Sabah	1 Oct '08	30-Sep-18	SPO 537872	
27	Melalap	Tenom, Sabah	21 Jan '11	20-Jan-21	SPO 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	5/24/2010	NA	NA	
30b	Mostyn	Kunak Sabah	16 Jan '09	NA	NA	
31	Lavang	Bintulu, Sarawak	30 Dec '11	29-Dec-16	CU-RSPO-819166, MUTURSPO/053	
32	Rajawali	Bintulu, Sarawak	30 Dec '11	29-Dec-16	CU-RSPO-819167, RSPO 0020	
33	Derawan	Bintulu, Sarawak	30 Dec '11	29-Dec-16	CU-RSPO-819169, RSPO 0019	
34	Pekaka	Bintulu, Sarawak	30 Dec '11	29-Dec-16	CU-RSPO-815150, MUTURSPO/054	

RSPO P&C PUBLIC SUMMARY REPORT

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	16-Jan-17	MUTU-RSPO/011	
2	PT SAJANG HEULANG	ANGSANA MINI	Sebamban, Indonesia	6-Jul-11	6-Jul-16	MUTU-RSPO/006b	Re-certification is in progress and currently under e-Trace extension
3		MUSTIKA OIL MILL		3-Jul-13	3-Jul-18	MUTU-RSPO/027	
4	PT LADANGRUMPUN SUBURUBADI	ANGSANA	Sebamban, Indonesia	6-Jul-11	6-Jul-16	MUTU-RSPO/006a	
5	PT LANGGENG MUARAMAKMUR	BEBUNGA	Pamukan Utara, Tanah Grogot, Kotabaru/Pasir, Kalimantan Selatan/Kalimantan Timur	16-Mar-12	16-Mar-17	MUTU-RSPO/014	
6	PT KRIDATAMA LANCAR	SUKAMANDANG	Seruyan Tengah, Sampit, Seruyan, Kalimantan Tengah	5-Jul-11	5-Jul-16	MUTU-RSPO/003	Re-certification is in progress and currently under e-Trace extension
7	PT BAHARI GEMBIRA RIA	LADANG PANJANG	Kumpeh Ulu, Jambi, Muaro Jambi, Jambi	9-Jul-12	9-Jul-17	MUTU-RSPO/019	Re-certification is in progress and currently under e-Trace extension
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	16-Mar-17	MUTU-RSPO/016	
10	PT BERSAMA SEJAHTERA SAKTI	GUNUNG ARU	Sebamban, Indonesia	5-Jul-11	5-Jul-16	MUTU-RSPO/005	Re-certification is in progress and currently under e-Trace extension
11	PT GUTHRIE PECCONINA	RANTAU PANJANG	Muara Lakitan, Lubuk Linggau, Musi Rawas, Sumatera Selatan	16-Mar-12	16-Mar-17	MUTU-RSPO/017	
12	PT LAGUNA MANDIRI	RANTAU	Sungai Durian, Kotabaru, Kalimantan Selatan	30-Dec-11	30-Dec-16	MUTU-RSPO/009	
13		BETUNG OIL MILL		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	

RSPO P&C PUBLIC SUMMARY REPORT

16	PT BINA SAINS CEMERLANG	SG PINANG	Muara Lakitan, Lubuk Linggau, Musi Rawas, Sumatera Selatan	11-Sep-12	11-Sep-17	MUTU-RSPO/020	
17	PT TEGUH SEMPURNA	PEMANTANG	Kuala Kuayan, Sampit, Kotawaringin Timur, Kalimantan Tengah	5-Jul-11	5-Jul-16	MUTU-RSPO/004	Re-certification is in progress and currently under e-Trace extension
18	PT BHUMIREKSA	TELUK BAKAU	Pelangiran, Sg. Guntung, Indragiri Ilir, Riau	11-Oct-11	11-Oct-16	MUTU-RSPO/008	
19	NUSA SEJATI	MANDAH OIL MILL		1 April 2014	1 April 2019	MUTU-RSPO/036	
20	PT ANEKA INTIPERSADA	TELUK SIAK	Tualang, Perawang, Siak, Riau	11-Oct-11	11-Oct-16	MUTU-RSPO/007	
21	PT TAMACO GRAHA KRIDA	UNGKAYA	Witaponda, Kolonodale, Morowali, Sulawesi Tengah	10-Jul-12	10-Jul-17	MUTU-RSPO/018	
22	PT SIME INDO AGRO	BK AJONG	Kalimantan Barat, Indonesia	18-Jul-16	17-Jul-21	MUTU-RSPO/088	
23	PT PADANG PALMA PERMAI/PT PERKASA SUBUR SAKTI	BLANG SIMPO	Karang Baru, Kuala Simpang, Aceh Tamiang, Nangroe Aceh Darussalam	3-May-13	3-May-18	MUTU-RSPO/026	
24	PT SANDIKA NATAPALMA/PT 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	