



# RSPO PRINCIPLES AND CRITERIA PUBLIC SUMMARY REPORT

Univanich Palm Oil Public Company Limited  
(TOPI Mill and its Supply Bases)

RSPO Membership No.: 1-0074-09-000-00

592 Aoluk - Prasaeng Rd., Plaipraya District,  
Krabi province 81160 Thailand

**Certificate No.** **BVC-RSPO-20161222-02**

Issue Date 22.12.2016

Expiry Date 21.12.2021

**Assessment Type** **Date of Assessment**

Main Assessment 27-30 June 2016

Annual Surveillance Assessment 01 3-6 October 2017

Annual Surveillance Assessment 02

Annual Surveillance Assessment 03

Annual Surveillance Assessment 04

**PUBLIC SUMMARY INFORMATION**

<b>BV Contract Number</b>	TH2899009	<b>Job Number</b>	
<b>Company Name</b>	Univanich Palm Oil Public Company Limited – TOPI mill and its supply bases		
<b>Parent Company Name</b>	Univanich Palm Oil Public Company Limited		
<b>Company Address</b>	HQ: 258 Aoluk - Laemsak Rd., Aoluk District, Krabi 81110 Thailand Production site: 592 Aoluk-Prasaeng Rd, Plaipraya District, Krabi 81160 Thailand		
<b>Country</b>	Thailand		
<b>Contact Person</b>	Mr. Howard Hill	<b>Contact Details</b>	Tel: +66 75-634-634 Fax: +66 75-681-124 howard.hill@univanich.com
<b>Company e-mail</b>	-	<b>Website</b>	www.univanich.com
<b>Certification Scope</b>	Production of CPO and Palm Kernel at (CPI and CPP mill : multiple-mill) using Module E: Mass Balance which FFB supplied from their own estates (TOPI estate, Chean Vanich estate and Siam Palm estate)		
<b>Supply Chain Module</b>	Module E: CPO Mills- Mass Balance		
<b>POM Capacity</b>	60 MT/Hour	<b>Total Estates</b>	3 estates
<b>Annual FFB Produced (MT)</b>	115,702.4 tons during Jan-Dec 2018		
<b>Annual CSPO Produced (MT)</b>	23,718.99	<b>Annual CSPO Sold (MT)</b>	7,739.61
<b>Annual CSPK Produced (MT)</b>	6,074.38	<b>Annual CSPK Sold (MT)</b>	2,670.28

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**LIST OF ABBREVIATION**

<b>Short Form</b>	<b>Meanings</b>
CHRA	Chemical Health Risk Assessment
CPO	Crude Palm Oil
CU	Certification Unit
DID	Department of Drainage and Irrigation, Malaysia
DOE	Department of Environment, Malaysia
EFB	Empty Fruit Bunch
EIA	Environment Impact Assessment
EMS	Environmental Management System
EQA	Environmental Quality Act
ERT	Endangered, Rare and Threatened species
FFA	Free Fatty Acids
FFB	Fresh Fruit Bunches
Ha	Hectare
HCV	High Conservation Value
HDPE	High Density Polyethylene
IPM	Integrated Pest Management
ISO	International Organization for Standardization
IUCN	International Union for Conservation of Nature and Natural Resources
K	Potassium
kW	Kilowatt
m	Meter
Mg	Magnesium
mm	Millimeter
MT	Metric ton
N	Nitrogen
NGO	Non Governmental Organization
OER	Oil Extraction Rate
OSH	Occupational Safety & Health
P	Phosphate
P & C	Principles and Criteria
PK	Palm Kernel
POM	Palm Oil Mill
POME	Palm Oil Mill Effluent
PPE	Personal Protective Equipment
SOP	Standard Operating Procedures
Sdn Bhd	Sendirian Berhad (Private Limited)
SEIA	Social and Environment Impact Assessment
Sg	Sungai
SOP	Standard Operating Procedures
SPC	Senior Plantation Controller
USECHH	Use and Standards of Exposure of Chemicals Hazardous to Health
WHO	World Health Organization

## 1. SCOPE OF THE CERTIFICATION ASSESSMENT

### 1.1 Introduction

The assessment for Univanich Palm Oil Public Company Limited – TOPI mill and its supply bases has been conducted against **Roundtable on Sustainable Palm Oil (RSPO) Principles and Criteria for the Production of Sustainable Palm Oil 2013** and **RSPO Supply Chain Certification Standard dated 21 November 2014** by **Bureau Veritas Certification Hong Kong Limited** during 3-6 October 2017.

Scope of the certification assessment certification includes the production of TOPI mill and its supply base according to the RSPO standard requirement stated above.

Univanich Palm Oil Public Company Limited is a member of RSPO since 6 May 2009 with membership number 1-0074-09-000-00. TOPI mill and its supply bases which is certification unit (CU) is one of the subsidiaries under Univanich Palm Oil Public Company Limited, located at 592 Aoluk-Prasaeng Rd, Plaipraya District, Krabi 81160 Thailand. Company's first plantations were established in 1969. A feature of the Univanich business comprises of company's own plantations where produce less than 20% of the FFB processed by the company's three crushing mills (TOPI mill, Siam mill and Lamthap mill). More than 80% of the FFB is purchased from independent smallholder farmers. However, the Certification Unit (CU) consist of 3 directly Managed Estates only without including smallholder. Total combined land areas of the CU are 5,646.70 Ha of which; 5,646.70 Ha had been planted with oil palm.

### 1.2 Location and Description of the Certification Unit

Overview of the Palm Oil Mill and its supply base location is simplified in the Table 1 and Table 2 below. Details and location maps of the supply base for the CU can be referred in Appendix 6, respectively.

**Table 1: Location of the Supply Base**

Estate/Mill	GPS Location		Location Address
	Latitude	Longitude	
TOPI Estate	8.588163	98.919187	231 M.9 Tumbon Plaipraya, Plaipraya District, Krabi 81160 Thailand
Chean Vanich Estate	8.514817	98.895493	159 M.8 Tumbon Plaipraya, Plaipraya District, Krabi 81160 Thailand
Siam Palm Estate - Siam Palm	8.377235	98.799457	105 M.1 Tumbon Ban Khlang, Aoluk District, Krabi 81110 Thailand
- Nanua Division	8.488805	98.721173	49 M.4 Tumbon Kao Yai, Aoluk District, Krabi 81110 Thailand
- Wanee Division	8.474792	98.807988	2 M.3Tumbon Keereewong, Plaipraya District, Krabi 81160 Thailand

**Table 2: Location and Capacity of the Palm Oil Mill**

Name of the Palm Oil Mill	Plant Capacity (MT/Hour)	GPS Coordinate		Location Address
		Longitude	Latitude	
TOPI mill	60	8.578792	98.920751	592 Aoluk-Prasaeng Rd, Plaipraya District, Krabi 81160 Thailand

### 1.3 Description of Supply Base and Palm Oil Mill Processing Capacity

The FFB is sourced from plantation which is directly managed by the CU as listed above. The budgeted crop yields from each estate are listed in Table 3 below. Details of transactions for the Certification Unit are tabulated in Appendix 7.

**Table 3: Crop Projection and Yield**

Projected Production from last 12 Months (MT) (June 2016 – October 2017)			Actual Production for this Audit Year (MT) June 2016 - first date of the assessment (25 September 2017)			Projected Production for next 12 Months (MT) January – December 2018		
FFB	CPO	PK	FFB	CPO	PK	FFB	CPO	PK
96,772	19,838	4,838	50,862.56	7,739.61	2,670.28	115,702.4	23,718.99	6,074.38

- Remark:** (1) Projected production from the last 12 months is based on previous certificate issued by BVC on 21 December 2016. Moreover, the projected FFB production in the last 12 months was assumed during December 2016 – December 2017
- (2) Volume of CPO and PK in column of actual production for this surveillance audit year were calculated based on the conversion rate stated in the previous public summary report. The oil extraction rate and palm kernel extraction rate were 20.5% and 5.25%, respectively
- (3) The estimated volume of CPO and PK to be certified in 2018 are estimated based on the oil extraction rate and palm kernel extraction rate at 20.5% and 5.25%, respectively (same extraction rate from the previous year)
- (4) FFB supplied by independent smallholder are neglected to include in table above. Therefore, there is no information of CPO and PK produced by using FFB supplied by independent smallholder

The FFB is sourced from estates within the company's group that are certified and also from non-certified third parties (independent smallholders). Even though independent smallholders are also supplying FFB to TOPI mill, they are not included in this certification. There are no contracts between the independent smallholders and Univanich Palm Oil PCL. The independent smallholders have the right to supply their FFB to any palm oil mills (POM). In calendar year 2017, each estate with its respective planted area had supplied total FFB to TOPI mill as shown in Table above. Moreover, the actual production of CPO and PK produced by using their own FFB since pervious audit were based on oil extraction rate and palm kernel extraction rate of 20.5% and 5.25%, respectively.

Based on the production records in the past two years, quantity of FFB supplied by Chean Vanich estate, in particular, was dramatically lower when comparing to the planted area of the estate. This is because of the estate don't want to do harvest in mature palm oil area where land concession has expired. Even though land concession issued by Department of Royal Forestry and Cooperation Promotion Department have already been expired since 22 April 2013, in fact Univanich Palm Oil PCL still occupy their crop on Chean Vanich estate because of Univanich Palm Oil PCL is protected by Nakorn Srithammarat Administrative Court while waiting for the resolution from the Ministry of Natural Resources and Environment whether the extension of concession validity is possible. Figure of each certification units in **Appendix 6** illustrated the area where land concession expired.

The estimation of the FFB production in 2018 of all supply bases was based on an annual business plan of the company. During the assessment, auditors verified these probabilistic forecasts of annual business plan whether projected FFB production in 2018 from each estate indicated in Table above will be possible. Result of verification showed that company has created realistic projection of FFB production. FFB production in 2018 is projected to average slightly below than 22 tons/ha/year (slightly increase from the previous year of the assessment).

The certified production of CPO and PK are estimated based on average annual production in 2015 and company's own study report when CPO and PK were produced by only FFB supplied by own estates. The aim of this study was to investigate oil extraction and palm kernel extraction from their own FFB because the company could not control the quality of FFB supplied by independent smallholders. Based on these records, the oil extraction and palm kernel extraction are of 20.5% and 5.25%, respectively. Therefore, the certified volume of CPO and PK for year 2018 calculated from total FFB productions supplied by all estates of 115,702.4 tons are 23,718.99 tons and 6,074.38 tons, respectively.

## 1.4 Date of Planting and Cycles

### 1.4.1 Date of planting

The details of the CU certified area and its planting profiles are described in **Table 4** and **Table 5**.

**Table 4: Land Profiles of Supply Base**

Name of the Supply Base	Total Titled Area (Ha)	Planted Area (Ha)		Un-Planted Area (Ha)		
		Oil Palm	Other agricultural products	HCV	Conservation	Facilities / Others*
TOPI Estate	2,289.2	2,181.1	123.22	0	0	27.5
Chean Vanich Estate	1,969.4	1,894.2	75.2	0	0	9.0
Siam Palm Estate - Siam Palm - Nanua division - Wanee division	1,388.1	1,368.2	19.9	0	0	6.6
<b>Total</b>	<b>5,661.82</b>	<b>5,443.5</b>	<b>218.32</b>	<b>0</b>	<b>0</b>	<b>43.1</b>

\*Facilities/others include storage, housing, roads, etc.

Tables 5-9 below show the details of the year of establishment of the CU's supplying estates and their planting profiles.

**Tables 5: Planting Profile for TOPI estate**

Year of Planting	Area (Ha)	Maturity	Planting cycle
1992	91.2	Mature	2
1993	250.3	Mature	2
1994	218.6	Mature	2
1995	262.7	Mature	2
1996	105.4	Mature	2
1997	402.4	Mature	2
1998	281.9	Mature	2
1999	118.1	Mature	2
2000	79.0	Mature	2
2001	67.2	Mature	2
2002	10.1	Mature	2
2007	48.6	Mature	3
2008	12.7	Mature	3
2013	36.1	Mature	3
2014	67.2	Mature	3
2015	59.1	Immature	3
2016	70.5	Immature	3
	<b>2,181.1</b>		

**Tables 6: Planting Profile for Chean Vanich estate**

Year of Planting	Area (Ha)	Maturity	Planting cycle
1985	404.0	Mature	1
1986	231.8	Mature	1
1987	101.4	Mature	1
1988	43.8	Mature	1
1999	4.3	Mature	2
2000	5.2	Mature	2
2002	70.3	Mature	2
2004	68.3	Mature	2
2005	80.0	Mature	2
2006	191.3	Mature	2
2007	178.5	Mature	2
2008	181.1	Mature	2
2009	103.8	Mature	2
2010	66.1	Mature	2
2011	50.3	Mature	2
2012	114.0	Mature	2
	<b>1,894.2</b>		

**Tables 7 Planting Profile for Siam Palm estate**

Year of Planting	Area (Ha)	Maturity	Planting cycle
1998	10.4	Mature	1
2000	165.8	Mature	2
2002	200.4	Mature	2
2003	134.5	Mature	2
2004	105.2	Mature	2
2005	74.3	Mature	2
2011	64.7	Mature	2
	<b>755.3</b>		

**Tables 8: Planting Profile for Nanua Division**

Year of Planting	Area (Ha)	Maturity	Planting cycle
2007	83.8	Mature	2
2009	108.6	Mature	2
2010	99.7	Mature	2
2011	105.9	Mature	2
2012	126.4	Mature	2
	<b>524.4</b>		



**Tables 9: Planting Profile for Wansee Division**

Year of Planting	Area (Ha)	Maturity	Replanting cycle
2000	88.5	Mature	2

**1.4.2 Replanting program**

According to the information related to age profiles for all supply bases above-mentioned, replanting program for 2017-2018 will be applicable for plot 36 and 37 of TOPI estate

**1.5 Other Certification Held by the Certificate Holder**

Only company's own mills (TOPI mill, Siam mill and Lamthap mill) have been awarded ISO9001:2008 certification.

**1.6 Organizational Information/Contact Person**

The contact person for the Certification Unit is as below:

Contact Person	: Mr. Howard Hill
Position	: General Manager
Company Name	: Univanich Palm Oil Public Company Limited
Company Address	: 258 Aoluk-Laemsak Road, Aoluk, Krabi 81110 Thailand
Telephone No.	: +66 75-634-634 and +66 81 968-5965
Fax No.	: +66 75-681-1244
e-mail Address	: howard.hill@univanich.com

**1.7 Time-bound Plan/Progress against Time Bound Plan**

See Appendix 1.

**1.8 Partial certification****1.8.1 General**

Organizations that have a majority shareholding\* in and/or management control of more than one autonomous company growing oil palm will be permitted to certify individual management units and/or subsidiary companies only if all the following are complied with the requirements mentioned below.

*\*Majority shareholding: the largest shareholding. Where the largest shareholdings are equal (e.g. 50/50) this applies to the organisation that has management control*

Requirement	Findings/Compliance
The parent organization or one of its majorities owned and/or managed subsidiaries is member of RSPO.	Even though RSPO website currently showed that the status of membership of Univanich Palm Oil PCL is approved since 6 May 2009, remaining mills and its supply bases of Univanich have now passed the certification process as details below: <ul style="list-style-type: none"> <li>- Lamthap mill and its supply bases (Lamthap estate) have now been certified since 15.11.2017</li> </ul>

	- Siam mill where is considered as independent mill has now been certified against RSPO SCC in the last 2 years
For groups with complex management structures the following are required: a. A statement of the ultimate controlling shareholders and directors in the managing agency company/companies. b. Ditto in respect of each of the operating groups. c. Application for membership by the top asset owning company/companies. d. (d) Application for membership by the managing agency company/companies	It is not applicable because all certification units related to palm oil mill and its supply bases have now been certified with relevant RSPO standard (both RSPO P&C and RSPO SCC)

If one of above mentioned requirements is non-compliant, this leads to a major non-conformity.

The following requirements about a time bound plan (2.2) and requirements for uncertified management units and/ or holdings (2.3) are applicable, if the registered RSPO member is the holding company or one of its subsidiaries.

### 1.8.2 Requirements for Time Bound Plan

Requirement	Findings/Compliance
A challenging time-bound plan for certifying all its relevant entities (Relevant entities – including both the business units and parent company(s)' commitment to RSPO, membership status and involvement with palm oil for each subsidiary) is available. The time-bound plan should contain a list of subsidiaries, estates and mills.	Not applicable because all business units owned by Univanich Palm Oil PCL have been certified for both RSPO P&C and SCC. It is also not applicable for the independent smallholders
The time bound plan is appropriate (in particular, the time scale is sufficiently challenging, taking into account circumstances around each entity), taking into account comments received from stakeholders following the public consultation process.	Not applicable because all business units owned by Univanich Palm Oil PCL have been certified for both RSPO P&C and SCC. It is also not applicable for the independent smallholders
What is the progress of this plan since the last audit? (if the last audit was done by another CB, the time-bound plan shall be accepted at the moment of first acceptance and only check continued appropriateness shall be checked).	Not applicable because all business units owned by Univanich Palm Oil PCL have been certified for both RSPO P&C and SCC. It is also not applicable for the independent smallholders
Are there any revisions to the time-bound plan or to the circumstances of the company?	Not applicable because all business units owned by Univanich Palm Oil PCL have been certified for both RSPO P&C and SCC. It is also not applicable for the independent smallholders
If the previous question was answered with yes, the plan shall be reviewed for whether it is still appropriate, such that changes to the time-bound plan are permitted only where the organisation can demonstrate that they are justified. The requirements will also apply to any newly acquired subsidiary from the moment that the company is legally registered with the local notary or chamber of commerce (or equivalent).	Not applicable because all business units owned by Univanich Palm Oil PCL have been certified for both RSPO P&C and SCC. It is also not applicable for the independent smallholders

Where there are isolated lapses in implementation of a time-bound plan, a minor non-compliance is raised. Where there is evidence of systematic failure to proceed with implementation of the plan, a major non-compliance is raised.

### 1.8.3 Requirements for Uncertified Management Units/or holdings

Requirement	Findings/Compliance
No replacement of primary forest or any area identified as containing High Conservation Values (HCVs) or required to maintain or enhance HCVs in accordance with RSPO criterion 7.3. Any new plantings since January 1st 2010 must comply with the RSPO New Plantings Procedure.	Not applicable because all business units owned by Univanich Palm Oil PCL have been certified for both RSPO P&C and SCC. It is also not applicable for the independent smallholders
Land conflicts, if any, are being resolved through a mutually agreed process, e.g. RSPO Grievance procedure or Dispute Settlement Facility, in accordance with RSPO criteria 6.4, 7.5. and 7.6.	Not applicable because all business units owned by Univanich Palm Oil PCL have been certified for both RSPO P&C and SCC. It is also not applicable for the independent smallholders
Labour disputes, if any, are being resolved through a mutually agreed process, in accordance with RSPO criterion 6.3.	Not applicable because all business units owned by Univanich Palm Oil PCL have been certified for both RSPO P&C and SCC. It is also not applicable for the independent smallholders
Legal non-compliance, if any, are they being resolved in accordance with the legal requirements, with reference to RSPO criteria 2.1.	Not applicable because all business units owned by Univanich Palm Oil PCL have been certified for both RSPO P&C and SCC. It is also not applicable for the independent smallholders

For requirements above, the definition of major and minor non-compliance is stated in the RSPO P&C. For example, if non-compliance against a major indicator in a non-certified holding/management unit is identified, the current certification assessment cannot proceed to a successful conclusion unless that is actively addressed;

Failure to address any outstanding non-compliance may lead to certificate suspension(s), in accordance with the provisions of these Certification Systems.

## 2. ASSESSMENT PROCESS

### 2.1 Assessment Methodology and Program

The assessment was conducted during 3-6 October 2017 covering onsite audit involving 3 estates of the certification unit respectively. The audit covers documentation review, internal procedures, management system, field inspection as well as identification of any significant issues for both environment or social issues. Details of the actual assessment programme are given in Appendix 2 (Audit Plan). A sample of stakeholders was consulted during the assessment to get their feedback on the management doing.

The assessment was conducted based on sampling approach in which regulated under **RSPO Certification System for Principles and Criteria (June 2007)**. Therefore, total numbers of supply based assessed in the audit are 2 estates. For the purpose of sampling audit, risk assessment of the group member and group manager was carried out prior to the certification assessment through the documentation. The risk assessment will based on factors i.e. geographically as well as socioeconomically, there are current replanting activities (very small scale due to the size of smallholder), there are new members, the group is well established.

### 2.2 Date of Next Surveillance Visits

The next surveillance assessment shall be carried out by Bureau Veritas within nine to twelve months from the date of expiry for the trading license (Palm Trace License).

### 2.3 Lead Assessor and Assessment Team Qualification

Bureau Veritas holds copies of educational qualifications, certificates and audit logs for each of the audit team members. This assessment has been conducted by 3 approved assessors which holds sufficient qualification and experiences to conduct RSPO Assessment. Summary of auditors' background and qualifications are listed in Table 8 below.

**Table 5: Auditors Profile and Qualification**

<b>Assessment Team Leader: Dr Chaiyaporn Seekao</b>		
<b>Requirements</b>	<b>Description</b>	
A minimum of post high school (post-secondary school) training in either agriculture/forestry, environmental science or social sciences;	<ul style="list-style-type: none"> <li>- May 2015, Ph.D (Environmental Management) full Scholarship at The International Postgraduate Programs in Environmental Management (Hazardous Waste Management), Chulalongkorn University, THAILAND</li> <li>- April, 2006, hold Master of Science (Sustainable Land Use and Natural Resource Management) degree from Kasetsart University, THAILAND.</li> <li>- April, 2002, hold Bachelor of Science (Fisheries) degree from Kasetsart University, THAILAND</li> </ul>	
At least 5 years professional experience in area of work relevant to the assessment (e.g., palm oil management; agriculture/forestry; ecology; social science);	<ul style="list-style-type: none"> <li>- March 2016 to present : work at Bureau Veritas Certification (Thailand)</li> <li>- October 2009 to Feb 2016: work at TÜV NORD (Thailand) Ltd. and was responsible for several standards such as ISO9001:2008, GMP, HACCP, FAMI-QS, GLOBALG.A.P and RSPO</li> <li>- Year 2008-2009: worked at Team Consulting Engineering and Management Co., Ltd., consultancy company, and was responsible for conducting the Environmental Impact Assessment (EIA) study which includes HCV, biodiversity social and health impact assessment</li> <li>- Year 2006-2008: worked Virbac (Thailand) Co., Ltd , responsible for Act as GMP and HACCP (QMR)</li> <li>- Year 2005-2006: worked at Food and Agriculture Organization of the United Nations (FAO)</li> <li>- Year 2002-2005: worked at Department of Fisheries, Ministry of Agriculture and Cooperatives</li> </ul>	
Training in the practical application of the RSPO criteria, and RSPO certification systems;	<ul style="list-style-type: none"> <li>- RSPO Lead Auditor Course Organized by Stepwise Support Programme during April 12-16, 2010, Johor Bahru, Malaysia</li> <li>- HCV and its application in RSPO Organized by WildAsia during August 28-29, 2012 at Krabi, Thailand</li> </ul>	
Successfully completion of an ISO 9000:19011 lead assessors course;	<ul style="list-style-type: none"> <li>- ISO 9001:2008 Series Auditor/Lead Auditor Training Course (Course No: A17086 Certificated by IRCA) Organized by Robere &amp; Association (Thailand) Ltd. October 26-30, 2009, Bangkok, Thailand</li> </ul>	
A supervised period of training in practical assessment against the RSPO criteria or similar sustainability standards, with a minimum of 15 days assessment experience and at least 3 assessments at different organisations.	Having more than 100 days of audit in more than 20 palm oil companies (March 2010 – December 2015)	
<b>Team Member(s): Mr. Prapas Nores, Mr Supiwat Nentakong (under witness audit by Mr Valence Shem)</b>		
<b>Requirement</b>	<b>Team Members Name</b>	<b>Description</b>
Field working experience in the palm oil sector, or demonstrable equivalent.	Dr. Chaiyaporn Seekao (CS)	<ul style="list-style-type: none"> <li>• Since 2010 experience as RSPO auditor performing more than 10 RSPO P&amp;C audits</li> <li>• Year 2005-2006: worked at Food and Agriculture Organization of the United Nations (FAO) as responsible for</li> </ul>

		Closely coordinate with governmental sector, international organization, national organization, embassy, university and NGOs where has involved in providing tsunami relief to establish the tsunami assistance database, Involve to study and establish the short and long term plans to assist the tsunami victims in Thailand especially recovery their household, occupation and livelihood and Conduct the public hearing/consultations for obtaining the comments and any feedback from all stakeholders.
	Mr. Prapas Nores (PN)	More than 10 years of experience in forest and palm oil plantation with his ex-company and his own business. Hence, he has more than 10 years' experience in working in the palm oil sector
	Mr Supiwat Nentakong (SN)	More than 10 years of experience in palm oil plantation as plantation owner. Hence, he has more than 10 years' experience in working in the palm oil sector
Good Agricultural Practices (GAP), and Integrated Pest Management (IPM), pesticide and fertilizer use.	Dr. Chaiyaporn Seekao (CS)	More than 3 years auditing experience against GLOBALG.A.P which is the standard concerning to good agriculture practices. More than 5 years of experience with Department of Fisheries in involving to establish the Good Agriculture Standard released by Department of Fisheries of Thailand. Besides, experience obtained while working with Food and Agriculture Organization of the United Nations for rehabilitation project for agricultural farmers who were affected by tsunami in 2004. Since 2010 experience as RSPO auditor performing more than 10 RSPO P&C audits
	Mr. Prapas Nores (PN)	More than 10 years of experience in forest and palm oil plantation with his ex-company and his own business. Hence, he has more than 10 years' experience in working in the palm oil sector
	Mr Supiwat Nentakong (SN)	More than 10 years of experience in palm oil plantation as plantation owner. Hence, he has more than 10 years' experience in working in the palm oil sector
Health and safety auditing on the farm and in processing facilities, for example OHSAS 18001 or Occupational, Health & Safety Assurance System.	Dr. Chaiyaporn Seekao (CS)	More than 3 years auditing experience against GLOBALG.A.P which is the standard concerning to the health and safety on the farm and processing level
	Mr. Prapas Noras (PN)	He has obtained the successful training courses and qualified as auditor for several standards e.g ISO9001, ISO14001, OHSAS18001
Worker welfare issues and	Dr. Chaiyaporn Seekao (CS)	More than 10 environmental and

social auditing experience, for example with SA8000 or related social or ethical accountability codes.		social impact assessment (ESIA) for huge project in Thailand and overseas
	Mr. Prapas Noras (PN)	Successfully completed the SA8000 Basic auditor course on 22-26 May 2017 by SAI.
Environmental and ecological auditing, for example experience with organic agriculture, ISO 14001 or Environmental Management Systems (EMS).	Dr. Chaiyaporn Seekao (CS)	<ul style="list-style-type: none"> <li>• Year 2008-2009: worked at Team Consulting Engineering and Management Co., Ltd., consultancy company, and had responsibility to Conduct the Environmental Impact Assessment (EIA) study which includes HCV, biodiversity social and health impact assessment CS also performed an audit and monitoring at project sites during the construction and commissioning period, to ensure that all construction and commission process/activities meet with EIA mitigation measures.</li> <li>• Year 2006-2008: worked at Virbac (Thailand) Co.,Ltd with responsible as GMP and HACCP coordinator (QMR) to coordinate with Department of Fisheries for GMP and HACCP certification,</li> <li>• Year 2005-2006: worked at Food and Agriculture Organization of the United Nations (FAO) with responsibility to coordinate with governmental sector, international organization, national organization, embassy, university and NGOs</li> <li>• Year 2002-2005: worked at Department of Fisheries, Ministry of Agriculture and Cooperatives</li> </ul>
	Mr. Prapas Noras (PN)	Successfully completed the ISO 14001:2015 lead auditor course on 01-05 Aug 2016 by BV (Thailand).
	Mr Supiwat Nentakong (SN)	He has been qualified as auditor for ISO9001, ISO14001 and Thai Labor Standard (TLS) 8001
Fluent in Local Language and English	Dr. Chaiyaporn Seekao (CS)	Thai language is our mother language. This language will be used for the audit
	Mr. Prapas Noras (PN)	Thai language is our mother language. This language will be used for the audit
	Mr Supiwat Nentakong (SN)	Thai language is our mother language. This language will be used for the audit

## 2.4 Certification Body Background

Created in 1828, Bureau Veritas is a global leader in Testing, Inspection and Certification (TIC), delivering high quality services to help clients meet the growing challenges of quality, safety, environmental protection and social responsibility.

As a trusted partner, Bureau Veritas offers innovative solutions that go beyond simple compliance with regulations and standards, reducing risk, improving performance and promoting sustainable development. Bureau Veritas core values include integrity and ethics, impartial counsel and validation, customer focus and safety at work.

Bureau Veritas is recognized and accredited by major national and international organizations. RSPO accreditation status of Bureau Veritas has been obtained by Bureau Veritas Certification Hong Kong Limited (BVC HK) since 2<sup>nd</sup> Jun 2014. The RSPO accreditation number for BVC HK is RSPO-ACC-012 for the scopes of P&C (Single Site & Group) and SCCS worldwide. It was transferred from Bureau Veritas Singapore Pte. Ltd.

## 2.5 Stakeholder Consultation Process

Under the RSPO P&C system, even though the public stakeholder notification is required only the initial certification and recertification assessments, the auditor team has conducted the public consultation meeting with stakeholder on the day 2 (4 October 2017) of the surveillance assessment. To conduct the public consultation meeting, Bureau Veritas had also sent the invitation through e-mails and letters to all the relevant stakeholders, including government agencies and Non-Governmental Organizations (NGOs) before the actual assessment is performed.

Meetings and interview with the relevant stakeholders has been arranged during the on-site assessment without interference from members of the group. Meetings were held with stakeholders to seek their views on the performance of the Certification Unit (CU) with respect to the RSPO requirements and aspects where they considered that improvements could be made; these included environmental interest groups, local government agencies and relevant authorities, social groups, and workers' unions etc. At the start of each meeting, the assessor explained the purpose of the audit followed by an evaluation of the relationship between the stakeholder and the company before discussions proceeded. The interviewer recorded comments made by stakeholders and these have been incorporated into the assessment findings.

Structured worker interviews with male and female workers and staff were held in private at the workplace in the mill and the estates. Fieldworkers were interviewed informally in small groups in the field. The method of consultation with the workers, contractors and staff were through random sampling from each group in each of the FFB supplying unit and oil mill (e.g. mill operators, harvesters, general workers and sprayers) visited. The consultations which were conducted at the CU's workplace had included solicitation of comments on issues relevant to principles 4, 5 and 6 of the RPSO P&C Standard. List of the stakeholders contacted and responded during the audit are available in Appendix 3.

## 3. ASSESSMENT FINDINGS

### 3.1 Summary of Findings

The assessment has been conducted as planned using the methodology described in Section 2.1 and Appendix 2: Audit Program. A total of **2** Major non-conformity and **3** Minor non-conformity against  Roundtable on Sustainable Palm Oil (RSPO) Principles and Criteria for the Production of Sustainable Palm Oil (2013) and **1** Major non-conformity against **RSPO Supply Chain Certification Standard** (21 Nov 2014); requirements were raised as shown in Appendix 4.

The CU has taken necessary corrective actions in order to close the Major non-conformities raised. Minor non-conformities will be verified in the next surveillance assessment. Nonetheless, the CU has submitted their corrective action plan for the minor non-conformity and has been accepted by the assessment team. The verification comments for the non-conformities raised in the previous assessment can be seen in Appendix 5.

### 3.2 Principles and Criteria for Production of Sustainable Palm Oil (2013) - Generic

#### Principle 1: Commitment to Transparency

<b>Principle 1: Commitment to Transparency</b>		
<b>Criterion 1.1:</b> Growers and millers provide adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages and forms to allow for effective participation in decision making		
1.1.1	There shall be evidence that growers and millers provide adequate information on (environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making.	Minor
<b>Findings</b>		<b>Comply ?</b>
Relevant information required by the standard in clause 1.2.1 is available upon request by the stakeholder. Not only stakeholder but also workers at mill and estates have the right to request any recorded information. Result of review of correspondence, however, found that there were no requests for information from the stakeholders to TOPI mill and estates since 2012 until the present  Moreover, Univanish has formed the committee to consider the request and complaint raised by stakeholder (if any). The committee where composes of 15 representatives has been formed on 1 July 2017. Mr Wachirapan Tantaprapa and Mr. Paiwan (technical manager of research center) is the chairman of the committee, who has fully responsible to handle with the complaint and request as well as fill in the request from FM701 REV00 EFF 13/4/2551 PM7 Rev00 eff 13/4/255 stakeholder.		Yes
1.1.2	Records of requests for information and responses shall be maintained.	Major
<b>Findings</b>		<b>Comply ?</b>
Even though the stakeholder has a fully right to request for information related to environmental, social and/or legal issues, there was no request of such information at either POM or estates. To confirm of such information obtained during the assessment, the stakeholder consultation was conducted during the assessment. Result from interview with the stakeholder confirmed that they have aware their right to request information, but they have never requested of such information so far.		Yes
<b>Criterion 1.2:</b> 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	Publicly available documents shall include, but are not necessarily limited to: <ul style="list-style-type: none"> <li>• Land titles/user rights (Criterion 2.2);</li> <li>• Occupational health and safety plans (Criterion 4.7);</li> <li>• Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8);</li> <li>• HCV documentation (Criteria 5.2 and 7.3);</li> <li>• Pollution prevention and reduction plans (Criterion 5.6);</li> <li>• Details of complaints and grievances (Criterion 6.3);</li> <li>• Negotiation procedures (Criterion 6.4);</li> <li>• Continual improvement plans (Criterion 8.1);</li> <li>• Public summary of certification assessment report;</li> <li>• Human Rights Policy (Criterion 6.13)</li> </ul>	Major
<b>Findings</b>		<b>Comply?</b>
Documents listed and required by the standards are available upon request by the stakeholder as following. These documents were asked by auditor to check the readiness for the public disclosure. 1. For the land title/user right of the TOPI mill, the mill hold land deed no. 3 copy 1 which covers 58 rai 1 njan and 26 7/10 square war (9.31 ha). Meanwhile, land deed no. 4 copied 1 for wastewater ponds covers an area of 36 rai, 1 njan and 33 3/10 square wah (about 6 ha). For land deed and concession hold by estates, these land deeds can be shown within in few minutes after submitting the request by the auditor. 2. Occupational health and safety plan established and signed by TOPI mill manager at the beginning of year 2017 is available upon request by the stakeholder. Generic occupation health and		Yes



**Principle 1: Commitment to Transparency**

safety plan for all estates are also available.

3. HCV assessment carried by the approved HCV assessor Forest Industry Organization, Ministry of Natural Resource and Environment of Thailand, during 6-9 November 2012 is also available at all site visited. Re-validation done by the same organization has also been conducted in the past year to monitor and confirm any change that might be affected to the report. Based on this result, the report done in 2012 is still valid because there was no changed observed in the last year

4. Plan for reduction of the environmental impacts caused by mill operation was established on 12 January 2016. This plan is reviewed in 2017 and found that it is still valid. This plan, for example, the reduction of fine ash from the boiler (energy source is only biomass), reduction of noise nuisance, waste management, and reduction of GHG emission. For plan and impact assessment relating to environmental and social impacts caused by estate operation, all estates visited have prepared the environmental impact assessment report which identified significant impact using ISO14001 approach. Mitigation plans to reduce the significant impact are also addressed. Social impact assessment done by consultation with stakeholders and action plans are prepared and address relevant issues raised by stakeholders.

5. From the previous assessment, there is no complaint raised by stakeholder. However, mechanism to respond the complaint stated in clause 1.1 is available.

6. Assessment report from the previous audit is available

7. Negotiation procedure in the case of land dispute is available. The final process of the negotiation will be decision by the court

8. Continual improvement plan established by the company is also available

9. Human right policy indicated in the annual report 2015 which is also public available in the website is maintain upon request

**Criterion 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
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**Findings****Comply?**

Univanich has a written policy commitment to a code of ethical conduct and integrity in all operations. On the other hand, this policy has transformed into the business. A prohibition of all forms of corruption, bribery and fraudulent use of funds and resources is included in the policy. As only Thai staffs work for the company, all documents and communication are in Thai All workers are communicated on the business ethical conduct through the communication on the company's board. These codes are posted on company's board at all sites visited.

Investigation on the presence of forms of corruption and fraudulent use of funds and resources to gain benefit and money for the company was prior checked in the website of Anti-Corruption Organization of Thailand. Result showed that there is no anti-corruption caused by this organization. Moreover, such concern was also checked by interviewing stakeholders, especially governmental leaders from Sub-district Administration Offices even though there is no organization who responsible to monitor and enforce anti-corruption caused by private sectors during the public consultation meeting conducted on day 2 of the assessment. Result confirmed that there are no any forms of corruption and fraudulent use of funds. Records of payment to relevant government agencies were also inspected during the audit for proof for fraud and corruption. For the workers, the demonstration of the awareness on this policy was also carried out by using evaluation after the training given by HR.

Yes

**Principle 2: Compliance with Applicable Laws and Regulations****Principle 2: Compliance with Applicable Laws and Regulations****Criterion 2.1:**

There is compliance with all applicable local, national and ratified international laws and regulations.

2.1.1	Evidence of compliance with relevant legal requirements shall be available.	Major
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**Findings****Comply?**

For TOPI mill, TOPI mill hold the license for operation of the CPO mill issued by Department of Industry Work no. 3-7(1)-1/17 Kor Bor and valid until 2020. Meanwhile, there is no requirement from the government on the license to operate for the estate. List of relevant regulations established by the central office of the company was used to crosscheck its compliance. Latest of monitoring on the

Yes

**Principle 2: Compliance with Applicable Laws and Regulations**

compliance was carried out on 2 June 2017. Inspection of a sample of licenses showed that implementation was done in compliance with laws and regulations as details given below:

- Estates used only chemicals that have been registered with Department of Agriculture. For instance, paraquat with registration number of 694/2547 (2004) and glyphosate with registration number of 1528/2550 (2007) were used
- Waste disposal done by authorized company, namely Mahachai Aeksirioil, who holds the license number 3-106-5/46 Sor Kor issued by Department of Industry Work.
- Boiler inspector license issued by Department of Industry Work was inspected by external engineer
- Results of environmental monitoring at TOPI mill done by C.E.M Technology Thailand Co., Ltd, external third party, on 22 May 2017 revealed that neither Total Suspended Particulate (TSP), sulphur dioxide, nitrogen dioxide, methan, opacity, oxygen, carbon dioxide nor carbon monoxide level exceeded the notification of the Ministry of Industry 4 December B.E. 2549 (1996) and notification from Ministry of Industry 13 October B.E. 2548 (1995) for gashouse emission released from the factory.
- Report for safety check of the boiler reported to Department of Industry Work on 3 February 2017.
- TOPI mill treats effluent in anaerobic ponds. Only treated effluent which is in compliance with the relevant parameters of the national standard can be used as fertilizer for land application. The treated effluent is tested monthly at an independent laboratory even though there is no discharge of treated effluent to the environment. Result of wastewater quality analysis in particular last wastewater treatment pond (pond 11) found that BOD level was below 30 mg/l. It was done in accordance with the Notifications of Ministry of Industry No 2 B.E. 2539 (1996) Requirements on the characteristic of discharge waste water from the factory.
- Inspection of payment records at TOPI mill and estates at the beginning of year 2016 until the date of audit showed that workers were paid in accordance with the notification of Ministry of Labour indicating the minimum legal wage for Krabi province at 300 Baht/day.
- Fire testing was carried out on 13 June 2017 but not work and no actions

2.1.2 A documented system, which includes written information on legal requirements, shall be maintained

Minor

**Findings****Comply?**

In order to ensure that all operations are still in compliance with laws and regulations, the central office of Univanich has established procedure for the provision of the laws and regulations revision 00 dated 1.4.2012 and work instruction SD/SMR-006 dated 17.02.2012 for reviewing any updates in relevant to laws and regulations. Moreover, if there is any update on law and regulation related to business of the company, the company will be informed by service provider (NPC Safety and Environmental Service Co., Ltd.) who provides the service to distribute the relevant laws and regulations to their members.

Yes

2.1.3 A mechanism for ensuring compliance shall be implemented

Minor

**Findings****Comply?**

Procedure for identification and monitoring of compliance of the relevant laws and regulation PV2 revision 00 dated 1 July 2012. However, latest evaluation was carried out 27 May 2016 which result some new laws and regulations are not check its compliance.

Minor NC

According to the procedure for identification and monitoring of compliance of the relevant laws and regulation PV2 revision 00 dated 1 July 2012, verification whether the implementation is in compliance with the laws and regulation is required immediately when there is change in the law. However, latest evaluation was carried out 27 May 2016, resulting that some new laws and regulation, even though it could be demonstrated its update and could be demonstrated its compliance during the surveillance assessment, have not been verified for compliance before the surveillance assessment. Therefore, minor non-conformity has been raised against requirement 2.1.3

2.1.4 A system for tracking any changes in the law shall be implemented

Minor

**Findings****Comply?**

Procedure for tracking and changes of the regulations PV2 revision 00 was established since 1 July 2010. One of the useful tools for tracking the change in relevant laws and regulations is to apply as the membership with the service provider who supplies the update laws and regulations. Now, the company become a member of NPC Safety and Environmental Service Co., Ltd. who provides the service for updating laws and regulations. However, tracking of the change on the laws and regulation is required to conduct at every 3 months.

Yes

<b>Principle 2: Compliance with Applicable Laws and Regulations</b>		
<b>Criterion 2.2:</b>		
The right to use the land is demonstrated, and is not legitimately contested by local people who can demonstrate that they have legal, customary or user rights.		
2.2.1	Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available.	Major
<b>Findings</b>		<b>Comply?</b>
All certification units of Univanich Palm Oil PCL, in particular estates, have the full right to use the land for oil palm cultivation because all square meter of land of Univanich including mill and estates have been alienated with the land deeds. All land deeds have no expiry date, which can then be supported in the long term of business. For TOPI mill, the mill hold land deed no. 3 copy 1 which covers 58 rai 1 njan and 26 7/10 square wah (9.31 ha). Meanwhile, land deed no. 4 copied 1 for wastewater ponds covers an area of 36 rai, 1 njan and 33 3/10 square wah (about 6 ha). This is still remain unchanged from the previous assessment		Yes
At Chean Vanich estate, 1,660.72 ha of land concession issued by Department of Royal Forestry and Cooperation Promotion Department have already been expired since 22 April 2013 (figure 2 in Appendix 1), but in fact Univanich still occupy their crop on Chean Vanich estate and can do the harvest according to the resolution from Krabi governor as described in letter Kor Bor 0013.3/5627 dated 27 May 2016. Moreover, Univanich is also protected by Nakorn Srithammarat Administrative Court while waiting for the resolution from the Ministry of Natural Resources and Environment whether the extension of concession validity is possible as Univanich has submitted the official request to extend the validity of concession for Chean Vanich to Ministry of Natural Resources and Environment 3 years ago. Therefore, they still occupy the crop legally, unless the resolution from the Ministry of Natural Resources and Environment has been come out. Chean Vanich estate also holds land deeds which cover an area of 233.48 ha (Figure in Appendix). These land deeds have no expiry date. For Nanua division of Siam Palm estate, all square meter of land of Nanua division (524 ha) has been alienated with the 3 licenses of Nor Sor 3 Kor. These licenses have no expiry date.		
2.2.2	Legal boundaries shall be clearly demarcated and visibly maintained.	Minor
<b>Findings</b>		<b>Comply?</b>
The boundaries of estates were inspected at several places and at every instance found to be demarcated by pillars. Land maps indicating the boundary of estates were prepared properly and aligned with the boundary indicated in the land deeds and land licenses (Nor Sor 3 Kor). All property boundaries were coincident with surveyed map		Yes
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
<b>Findings</b>		<b>Comply?</b>
Even though all areas of land can be showed by deed, Nor Sor 3 Kor and concession, TOPI mill and its supply bases have established the mechanism on how to resolve the disputes/conflict (if any). Up to now, there was no dispute between parties with respect to the land acquisition		Yes
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
<b>Findings</b>		<b>Comply?</b>
Based on the results obtained from the public consultation meeting and interviewing stakeholders held at the research center of TOPI mill on 28 June 2016, it showed that there are no disputes so far. Even though concessions of some estates were already expired, there is no conflict on the land. However, it was observed that strangers from Northern and Eastern provinces want to get plots after expiration of the concession. However, they could not take it because the company is protected by Nakorn Srithammarat Administrative Court while waiting for the resolution from the Ministry of Natural Resources and Environment. From this situation, there is currently no conflict over the land		Yes
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 neighboring communities where applicable).	Minor
<b>Findings</b>		<b>Comply?</b>
Based on above mentioned about the absence of land conflict, therefore, it is not applicable for this requirement		N/A

<b>Principle 2: Compliance with Applicable Laws and Regulations</b>		
2.2.6	To avoid escalation of conflict, there shall be no evidence that palm oil operations have instigated violence in maintaining peace and order in their current and planned operations.	Major
<b>Findings</b>		<b>Comply?</b>
Even though there are no situations of land dispute and land conflict, the company has a policy to circumvent instigated violence to maintain peace and order. This policy was communicated to the stakeholders		Yes
<b>Criterion 2.3:</b>		
Use of the land for oil palm does not diminish the legal, customary or user rights of other users without their free, prior and informed consent.		
2.3.1	Maps of an appropriate scale showing the extent of recognized legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighboring communities where applicable, and relevant authorities).	Major
<b>Findings</b>		<b>Comply?</b>
Univanich has the full right to use the lands for oil palm cultivation. Maps showing the extent of recognized legal are indicated in all land deeds, land licenses (Nor Sor 3 Kor) and concession. Therefore, it is not applicable to develop map through participatory approach involving with affected parties		Yes
2.3.2	Copies of negotiated agreements detailing the process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and shall include: a. Evidence that a plan has been developed through consultation and discussion with all affected groups in the communities, and that information has been provided to all affected groups, including information on the steps that shall be taken to involve them in decision making; b. Evidence that the company has respected communities' decisions to give or withhold their consent to the operation at the time that this decision was taken; c. Evidence that the legal, economic, environmental and social implications for permitting operations on their land have been understood and accepted by affected communities, including the implications for the legal status of their land at the expiry of the company's title, concession or lease on the land.	Minor
<b>Findings</b>		<b>Comply?</b>
Investigation of the conflict on land rights with other users was done through in-depth interview with stakeholders during the public consultation meeting at research center of TOPI mill on day 2 of the first surveillance assessment. Stakeholders were interviewed to verify whether there is conflict on the condition of land use. Result of meeting and interviewing confirmed that there is no conflict on the land use for all areas of Univanich. Inspection of the complaint records to verify whether there are any complaints that diminish the customary rights of stakeholders was also carried out. There was no complaint on customary right raised by stakeholders. Therefore, it was confirmed that there is no customer rights of other users		Yes
2.3.3	All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements.	Minor
<b>Findings</b>		<b>Comply?</b>
During the assessment, all relevant information for disclosure to stakeholder are available e.g. maps, records, EIA, SIA and HCV		Yes
2.3.4	Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel.	Major
<b>Findings</b>		<b>Comply?</b>
TOPI mill manager and estate manager are nominated by the company to be representative for negotiation process of the community associated with their area of responsibility. Mr Wachirapan Tantaprapa and Mr. Paiwan (technical manager of research center) is the chairman of the committee, who has fully responsible to handle with the complaint and request as well as fill in the request from FM701 REV00 EFF 13/4/2551 PM7 Rev00 eff 13/4/255 stakeholder. During the interview with stakeholder on day 2 of the first surveillance assessment, stakeholder accepted the representatives who were appointed by the company		Yes

### Principle 3: Commitment to Long-Term Economic and Financial Viability

#### Principle 3: Commitment to Long-Term Economic and Financial Viability

**Principle 3: Commitment to Long-Term Economic and Financial Viability****Criterion 3.1:**

There is an implemented management plan that aims to achieve long-term economic and financial viability.

3.1.1	A business or management plan (minimum three years) shall be documented that includes, where appropriate, a business case for scheme smallholders.	Major
<b>Findings</b>		<b>Comply?</b>
<p>The company has a documented annual business plan for AP2017, PE2018, LTP2019-2021</p> <p>The annual business plan for year 2017-2021 approved by MD is currently released before the date of the first surveillance assessment. Based on this annual business plan established by the company, the following are the details:</p> <ol style="list-style-type: none"> <li>Inputs for attention to quality of planting materials e.g. import fertilizers from oversea, research on the planting technique to identify which technique could give highest yield of FFB and publish the research and paper for other interested parties.</li> <li>Crop projection of each estate was estimated and included in the annual business plan. Purchasing FFB from independent smallholders are also taken into account because it is related to the estimation of the budget for purchasing. Based on the data of the crop projection of each supply base for TOPI mill, it showed that total FFB projection would be 91,886 tons. This total number of FFB production is expected to be supplied by TOPI estate, Siam Palm, Nanua division, Wanee division, CheanVanich estate and Akpojana estate at 38,260 tons, 15,861 tons, 10,488 tons, 1,903 tons, 9,378 tons, and 15,996 tons respectively</li> <li>OER trends during 2018-2021, estimated OER is about 17.55% (when processing under the mix condition between FFB supplied by own estates and FFB supplied by independent smallholders). Meanwhile, estimated PK in the next 3 year is about 5.24%</li> <li>Estimated CPO production volume during 2018-2021 are 58,246 tons, 57,599 tons, 58,144 tons and 58,144 tons, respectively. Meanwhile, cost per ton CPO divided into milling process and factory process is about 84, 85, 86, and 88 Baht/ton and 94, 96, 98 and 99 Bath/ton, respectively.</li> <li>Forecast price of CPO in normal situation during 2018-2021 is about 25 Baht/kg</li> <li>Financial indicators cover all cost relating to the production of the company. In particular, oil price and human costs were taken into account to develop business plan.</li> </ol>		Yes
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
<b>Findings</b>		<b>Comply?</b>
<p>An annual replanting program has been documented. Replanting program for 2017-2018 will be applicable for plot 36 and 37 of TOPI estate. Long-term plan program is subject to annual review basis by management team at the end of every year. Budget for replanting program is allocated and decided by management as well. However, this plan can be changed if quantity of FFB supplied by smallholders is less than expected.</p>		Yes

**Principle 4: Use of Appropriate Best Practices by Growers and Millers****Principle 4: Use of Appropriate Best Practices by Growers and Millers****Criterion 4.1:**

Operating procedures are appropriately documented, consistently implemented and monitored.

4.1.1	Standard Operating Procedures (SOPs) for estates and mills shall be documented.	Major
<b>Findings</b>		<b>Comply?</b>
<p>Relevant procedures and work instructions were established by collaboration between all subsidiaries of Univanich Palm Oil PCL. As TOPI mill has recently been awarded ISO9001:2008, new procedures and work instructions were established such as Key Performance Indicator (KPI), grading the quality of FFB from different sources, control of NC product/material and process control for production of CPO and PK procedure. Here below are list of SOPs established by the certification unit.</p> <p>Example SOPs available at TOPI mill:  Fruit bunch sterilization &gt; WI-FD-01-TOPI Rev.00 10/11/2015  Bunch Threshing WI-FD-02-TOPI Rev.00 1/011/2015  Fruit Digestion and Pressing WI-FD-03-TOPI Rev.00 10/11/2015  Clarification &amp; Centrifugation WI-FD-04-TOPI Rev.00 10/11/2015  Boiler Operation WI-FD-10-TOPI Rev.00 10/11/2015</p>		Yes

**Principle 4: Use of Appropriate Best Practices by Growers and Millers**

The copy of the SOPs is available during the assessment. Interviews with workers at TOPI mill, Mr.Sombat Muenkla, Mr.Somporn Chu-in, Mr.Kraisorn Petchkum, Mr.Teerawat Klapsati and Ms.Tidarat Sealim confirmed that they could demonstrate their understanding on relevant SOPs.

At TOPI estate and Siam Palm estate, where have been chosen for first surveillance assessment, there are SOPs cover all activities in plantation, for example;

- Harvesting "Document no. 4.1"
- Oil Palm nursery management "Document no. 4.2"
- Fertilizer application and soil improvement "Document no. 4.3"
- Pruning technique and implementation "Document no. 4.4"
- Weed protection and elimination "Document 4.5"
- Integrated Pest Management program "Document no. 4.6"
- Maintenance of engines and vehicles for agriculture "Document no.4.7"
- Road maintenance "Document no. 4.8"
- Agrochemical storage operation "Document no. 4.9"
- Training "Document no. 4.10"
- Irrigation in the plantation "Document no. 4.11"
- Replanting program and methods "Document no. 4.12"
- Risk assessment and plan to minimize and prevent those identified risk from each activity "Document no. 4.52"
- Accident and emergency procedure "Document no. 4.54"

The copy of the SOPs is available during the assessment. Interviews with workers at TOPI estate and Siam palm estate, Mr.Sanae Phaipan Mr.Tosak and Mr.Monton Duangchuy also confirmed that they could demonstrate their understanding on relevant SOPs

4.1.2 A mechanism to check consistent implementation of procedures shall be in place

Minor

**Findings****Comply?**

The company applied internal audit to check consistent of implementation of procedure with written SOPs. Latest internal audit for all sites was carried out by well-trained internal auditors in November 2016. It was used to check the compliance with RSPO P&C requirements and written procedures. Result of internal audit showed that most of the non-conformities raised by internal auditor were related to control of the records e.g. no record of the mill operation at the sterilization to check the temperature control, no record of the fertilizer application at plot. Moreover, there were some non-conformities related to OH&S caused by several near-missed at both mill and estates

Yes

4.1.3 Records of monitoring and any actions taken shall be maintained and available, as appropriate

Minor

**Findings****Comply?**

Records of the monitoring by internal audit and action taken to solve non-conformity with the requirement of the standard are available upon request during the assessment. In particular, the corrective actions for solving non-conformity related to the control of the record were giving the refreshment training and patrol by supervisor to crosscheck the completeness of the records. For non-conformity related to the OH&S, warning signs and elimination of the risks were implemented and used to close the non-conformity e.g. posting more smoking area signs at the area that smoking is prohibited

Yes

4.1.4 The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB).

Major

**Findings****Comply?**

There is SOP for third parties FFB sourcing specified that third parties who wish to deliver their FFB to TOPI mill has to go for a process of application. After the application have been approved, their names will be registered and appeared in the truck scale control system which will allow to weigh their FFB thereafter.

Yes

Based on the current registration list, there were more than 400 members, which all of them are independent smallholder and private intermediaries (traders). However, all of them are excluded from RSPO P&C certification assessment

**Criterion 4.2:**

Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.

4.2.1 There shall be evidence that good agriculture practices, as contained in Standard Operating Procedures (SOPs), are followed to manage soil fertility to a level that ensures optimal and

Minor

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	sustained yield, where possible.	
<b>Findings</b>		<b>Comply?</b>
Fertilizer recommendation is based on leaf analysis which is done by their research centre once a year for fertilizer recommendation. The fertilizer application has been described in a procedure about method of application (document no. 4.3). The recommended fertilizers contain the needed nutrients such as Nitrogen, Phosphorus, Potassium, Magnesium and Boron.		Yes
4.2.2	Records of fertilizer inputs shall be maintained.	Minor
<b>Findings</b>		<b>Comply?</b>
TOPI estate and Siam Palm estate apply different fertilizers depending on the purpose of the use and results of leaf nutrient analysis. At the time of assessment, there were 3 formulas of fertilizer composition of 18-46-0, 0-0-60, 0-0-27 and 0-46-0. The estate recorded fertilizer application for each block of the estate. Fertilizer application is done almost every week but cover 2 times a year/plot. Latest record on 3 October 2017 in the log sheet, for example, showed that TOPI estate applied fertilizer formula 0-0-27, 2 tons, for plot F11. The implementation of fertilizer application is conducted by worker directly. The implementation was consistent with procedure of fertilizer application and soil improvement "Document no. 4.3"		Yes
4.2.3	There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status	Minor
<b>Findings</b>		<b>Comply?</b>
Leaf sampling is done on annual basis. Analysis report is available and kept at the Univanich Research Centre office		Yes
4.2.4	A nutrient recycling strategy shall be in place, and may include use of Empty Fruit Bunches (EFB), Palm Oil Mill Effluent (POME), and palm residues after replanting	Minor
<b>Findings</b>		<b>Comply?</b>
Application of EFB, POME and other wastes from mill operation (ash and decanter cake) is in place and are observed in the field. EFB Log Book is available to validate the quantity sent to the field which has the information about field number, weighbridge ticket number, truck number and quantity of EFB. It is recommended by the company's procedure that EFB shall be applied at 60 mt/ha in the selected field. Verification of the records in the log book showed that the procedure is being followed		Yes
<b>Criterion 4.3:</b>		
Practices minimize and control erosion and degradation of soils.		
4.3.1	Maps of any fragile soils shall be available	Major
<b>Findings</b>		<b>Comply?</b>
Soil map is available and no fragile soil shown on it. All soil types are of mineral type.		Yes
4.3.2	A management strategy shall be in place for plantings on slopes above a certain limit (this needs to be soil and climate specific).	Minor
<b>Findings</b>		<b>Comply?</b>
There is a management strategy to minimize soil erosion and degradation for planting on slopes, it was defined in the planting procedure. The mitigation measures recommended are construction of terrace, maintenance of drainage, appropriate frond stacking, etc.		Yes
4.3.3	A road maintenance programme shall be in place.	Minor
<b>Findings</b>		<b>Comply?</b>
A road maintenance program for year 2017 is available. The activities in the road maintenance program were drain maintenance, road grading and road patching. Budget allocation for road maintenance activities was also seen for year 2017.		Yes
4.3.4	Subsidence of peat soils shall be minimized and monitored. A documented water and ground cover management programme shall be in place.	Major
<b>Findings</b>		<b>Comply?</b>
Based on the soil map, there was no peat soil present at the estates.		Yes

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4.3.5	Drainability assessments shall be required prior to replanting on peat to determine the long-term viability of the necessary drainage for oil palm growing	Minor
<b>Findings</b>		<b>Comply?</b>
Due to no peat soil, this requirement is not applicable		Yes
4.3.6	A management strategy shall be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils).	Minor
<b>Findings</b>		<b>Comply?</b>
No problematic or fragile soil - refer soil map.		Yes
<b>Criterion 4.4:</b>		
Practices maintain the quality and availability of surface and ground water.		
4.4.1	An implemented water management plan shall be in place.	Minor
<b>Findings</b>		<b>Comply?</b>
<p>At TOPI mill, water source is only from E-pun canal. However, TOPI mill measures water usage per ton of FFB processed monthly even though there is no nuisance from public water bodies. This concern has been confirmed through in-depth interview with the stakeholder during the public consultation meeting held at the research center of TOPI mill on 4 October 2017. The pumping facilities and areas are in good condition. There was no evidence of pesticide or other chemical applied in the area. Water management plan has been established to minimize the use of surface water from the water bodies such as recycle processed water for irrigation to green areas.</p> <p>At TOPI estate and Siam Palm estate water is sourced from ground water. Water management plan was still maintained. Rainwater harvesting was also implement in the estate. The water from ground water is only used for washing. Drinking water supplied for workers are bought from the suppliers. The estates have also allocated buffer zone along the natural waterways. Based on the company policy, agrochemical application is prohibited at the allocated buffer zone. During the assessment, it was observed that there is many native vegetation along a waterways. Result from field inspection confirmed that agrochemicals are never used to control weed along the waterways.</p>		Yes
4.4.2	Protection of water courses and wetlands, including maintaining and restoring appropriate riparian and other buffer zones (refer to national best practice and national guidelines) shall be demonstrated.	Major
<b>Findings</b>		<b>Comply?</b>
At Siam palm estate, there is map identifying water courses. During the site assessment, it was found that the water courses are protected. The estates have also allocated buffer zone along the natural waterways. Based on the company policy, agrochemical application is prohibited at the allocated buffer zone. During the assessment, it was observed that there are abundance of native vegetation occur along waterways. Result from field inspection confirmed that agrochemicals are never used to control weed along the waterways.		Yes
4.4.3	Appropriate treatment of mill effluent to required levels and regular monitoring of discharge quality, especially Biochemical Oxygen Demand (BOD), shall be in compliance with national regulations (Criteria 2.1 and 5.6).	Minor
<b>Findings</b>		<b>Comply?</b>
At the time of assessment at TOPI mill, it was found that even though the level of Biochemical Oxygen Demand (BOD) measured from the last wastewater treatment pond is dramatically lower than the level of BOD in the first wastewater treatment pond as well as POME after the treatment has been used for irrigation on the plots at TOPI mill, level of BOD in the last 6 months are not in compliance with the national standard. Based on this consequence, minor non-conformity has been raised against this requirement.		Minor NC
4.4.4	Mill water use per ton of fresh fruit bunches [FFB] - see criterion 5.6 - shall be monitored.	Minor
<b>Findings</b>		<b>Comply?</b>
At TOPI mill, monthly records of water usage per ton of FFB in 2017 are available. Based on the production record at TOPI mill, FFB supplied by all sources was about 274,083 tons. Meanwhile, approximately water 300,000 m3 were pumped and used for the mill processing. Thus, average		Yes



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water usage in 2017 per tonne of FFB was 1.09 m <sup>3</sup> / tonne of FFB		
<b>Criterion 4.5:</b> Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.		
4.5.1	Implementation of Integrated Pest Management (IPM) plans shall be monitored.	Major
<b>Findings</b>		<b>Comply?</b>
<p>All planted area owned by the company have formulated an Integrated Pest Management (IPM) together addressed in the Agricultural best practice for the estate Thai agricultural Standards (TAS) for palm oil plantation are also adopted and used as the guideline for application of the suggested IPM techniques. Identification of potential pests, and thresholds were indicated in the procedure Document number on. 4.6 At the time of inspection at TOPI estate and Siam Palm estate, all methods used to stop the outbreak of the diseases and pests were applied by both estate such as cultivation of beneficial host plant, rearing of barn owl, mechanical and physical methods. Barn owl which is native species was used as part of the biological control method. Chemical especially rodenticide is never used by the company. Use of pesticide has never been carried out by the company to intervene the disease and pest outbreak.</p> <p>IPM plan was reviewed annually. The latest of the review on IPM plan was conducted on date 24/6/2017 by plantation manager Mr. Piyapong Amornpan and Mr. Kerdboon Kalauuson To describe the implementation action plan and monitor how IPM effectiveness, SOP Document number on. 4.6 also included action plans especially plan for minimizing of pesticide use. The monitoring of the plan is done through the internal audit in order to monitor the effectiveness of the implementation. Record form is available even though there was presented of the pest recorded on 24/6/2017. This pest was the leaf eating caterpillar observed on plot 3B of TOPI estate. To provide the training to staffs on how to survey the pest and disease outbreak and how to implement IPM, relevant staffs who work at TOPI estate and Siam palm estate have been trained on date 21/06/2016. Moreover, since 2016 the company donated several pairs of barn owls to local farmers who are eager to adopt this more environmental friendly method of pest control.</p>		Yes
4.5.2	Training of those involved in IPM implementation shall be demonstrated.	Minor
<b>Findings</b>		<b>Comply?</b>
Training has been given to workers on how to survey the pest and disease outbreak, how to monitor leaf-eating pests and rats and how to implement. According to the training records, relevant staffs who work at TOPI estate and Siam palm estate have been trained on date 21 June 2016		Yes
<b>Criterion 4.6:</b> 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
<b>Findings</b>		<b>Comply?</b>
<p>Policy on safe use of chemicals plan is documented, effectively communicated and implemented. List of pesticide with target species is available. For instance, there was a document for use of selective products that are specific to target pests, weeds, or diseases and which have minimal effect on non-target species refer to SPS Document 4.5. To ensure the selection of pesticide when use deems necessary, only pesticides that are registered with Department of Agriculture can be used. Justification for the use of pesticide is taken into account the less harmful pesticide, and IPM. Mechanical weed control is also implemented to minimize the use of pesticide</p>		Yes
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
<b>Findings</b>		<b>Comply?</b>
<p>Applications of paraquat at both estates were still carried out to control narrow-leaf weed. However, amount of use is under the control of the company in according to the plan for minimization of the use of paraquat. Based on the record of pesticide application, it was showed that 27.6% of active ingredient of Alion (chemical name: Indaziflam) was applied at TOPI estate. The oral LD50 of Alion (chemical name: Indaziflam) is 156 mg/kg in mice</p> <p>The company has a pesticide application program revised annually. MSDS and how to apply</p>		Yes

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chemical properly were the one topic of the training given for sprayer on 30 August 2017		
4.6.3	Any use of pesticides shall be minimized as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations identified in national Best Practice guidelines.	Major
<b>Findings</b>		<b>Comply?</b>
SOP for Document number on. 4.6 also include action plans for IPM. To reduce the use of the pesticide, according to the pesticide program, it will be applied twice a year. IPM plan was implemented to reduce the use of pesticide especially rear barn owl. The monitoring of the plan is done through the internal audit in order to monitor the effectiveness of the implementation. Onsite inspection confirmed that the use of pesticide was carried out to control weeds only. It was not used to control pest and disease which is in accordance with the IPM plans. With regard to prophylactic use of pesticides, result from inspection also confirmed that prophylactic use of pesticide has never done		Yes
4.6.4	Pesticides that are categorized as World Health Organization Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimized and eliminated as part of a plan, and shall only be used in exceptional circumstances.	Minor
<b>Findings</b>		<b>Comply?</b>
<p>Inspection on the record book and chemical storage also confirmed that almost all types of chemicals used in the estates were registered under the Hazardous Substances Act B.E. 2535 (and its amendments) of Thailand. All pesticides that are categorized as WHO class 1A and 1B and are listed in the Stockholm or Rotterdam Convention were listed to ensure that they will not be used in the planted areas. There are 12 chemical listed in this convention e.g. aldrin, chlordane, DDT, dieldrin, endrin, heptachlor, mirex, toxaphene, hexachlorobenzene, polychlorinated biphenyl, polychlorinated dibenzo-p-dioxin, and polychlorinated dibenzofuran. There is a policy to minimise and eliminate use of these pesticides and paraquat such as paraquat was used only for seedling. To monitor the effectiveness on this policy, the record book of the agrochemical use in the estate showed that there is no use of paraquat in all plots of TOPI estate and other visited estate. However, the use of paraquat at the nursery for seedling was observed but the use of paraquat was reduced from 405 lt/year of 2015 to 376 lt/year of 2016. Plan for elimination of the use of paraquate is Use Alion instead.</p> <p>It is important to note that Department of Agriculture has recently released Act to prevent import of paraquat from overseas. However, paraquat which is in available in the country can be used until 2020.</p>		Yes
4.6.5	Pesticides shall only be handled, used or applied by persons who have completed the necessary training and shall always be applied in accordance with the product label. Appropriate safety and application equipment shall be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7).	Major
<b>Findings</b>		<b>Comply?</b>
<p>The procedures especially agricultural best practice for the estate IPM.Document 4.6 which is used for handling chemical is exist .The existing procedures agricultural best practices for the estate IPM Document 4.6 and occupational health and safety as well as work instruction of the use of pesticide Document4.4.5 were used to train the workers who deal with the agrochemical. The training records for those sprayers given on 30 August 2017 are available such as Mr, MrsSriwatthana Khunbunchan, MrJirapun Budmanee, Mrs.Pratep Hasud, Mrs.Sripai Dongchong and Mrs.Srisakorn Chodchong.</p> <p>Based on the records of pesticide use verified during the assessment, pesticide application recorded in the record book is done in accordance with the product lable especially the dosage. After finished pesticide application, appropriate washing place for cleaning PPE after use is provided by the estate. Water used to clean PPEs and containers of pesticide will be stored and reused at the planted area.</p> <p>For inspection the readiness of the safety and protective equipments for sprayer at TOPI and Siam palm , it was found that all workers were wearing mask, rubber boot, rubber glove, protective cloth while spraying properly.</p>		Yes
4.6.6	Storage of all pesticides shall be according to recognized best practices. All pesticide containers shall be properly disposed of and not used for other purposes (see Criterion	Major

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	5.3).	
<b>Findings</b>		<b>Comply?</b>
Pesticide containers are collected at the waste station with shelter to prevent the leakage from the rainfall. Pesticide containers are then disposed by the authorized company engaged by the POM and also found that these containers have not been used for other purpose especially storing the rain water for the use in household of each worker. Inspection at chemical store at TOPI estate and Siam palm estate showed it met requirement of security, spill containment, well ventilation, and labelling. Running water is provided to workers who have to handle chemical pesticides. Store is secured with lock. Key to the store is only held by designated person responsible for chemical inventory and storage. Easy to read and understand MSDS of each agrochemical is displayed in front of the shelf where it is placed.		Yes
4.6.7	Application of pesticides shall be by proven methods that minimize risk and impacts.	Minor
<b>Findings</b>		<b>Comply?</b>
Work instruction for application of pesticide with proven methods that minimize risks and impact is indicated and documented in document 4.5. Application of pesticides was done with back sprayers taking into account a correct dosage, no spillage, time for application, and how to clean PPEs and equipment after use. Personal safety equipment or PPEs which include mask, rubber glove, and rubber boot are provided by the company to all workers who are responsible for chemical spraying. Washing area of the spraying equipment and PPEs is provided in both estates. Workers are not allowed to clean equipment and PPEs at their house after spraying of agrochemical.		Yes
4.6.8	Pesticides shall be applied aurally only where there is documented justification. Communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application.	Major
<b>Findings</b>		<b>Comply?</b>
Aerial spraying is not a practice in this Certification Unit.		Yes
4.6.9	Maintenance of employee and associated smallholder knowledge and skills on pesticide handling shall be demonstrated, including provision of appropriate information materials (see Criterion 4.8).	Minor
<b>Findings</b>		<b>Comply?</b>
Knowledge of workers in pesticides handling is maintained through regular training. Based on interview with chemical sprayers during the assessment, it was found that the workers have adequate knowledge in handling agrochemical safely which covering the method of application and PPE used. Last training for sprayers at both estates have been conducted on 29-30 August 2017		Yes
4.6.10	Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated (see Criterion 5.3	Minor
<b>Findings</b>		<b>Comply?</b>
After spraying agrochemicals, designated area to collect empty pesticide containers is provided by each estate. Meanwhile, waste collecting station (waste house) is also provided at mill and estates. All hazardous wastes, especially empty container and used oil, are collected by the mill first before being disposed of by an authorized company. Records of waste disposal conducted by the authorized company (Mahachai Aeksirioil) are available for the verification during the assessment.		Yes
4.6.11	Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated.	Major
<b>Findings</b>		<b>Comply?</b>
Annual health examination was provided by the company for all workers, but those sprayers who work with pesticide at the estate were examined specific parameter (chlorinesteres) whether they have been affected by spraying agrochemical. Record of the medical surveillance check-up is done by Krabi Hospital. All sprayers were examined this item on 30 March 2017. Result from health examination showed that health condition of sprayers are in good condition and do not require to re-examination		Yes
4.6.12	No work with pesticides shall be undertaken by pregnant or breast-feeding women.	Major
<b>Findings</b>		<b>Comply?</b>
Information about pregnancy of female workers were obtained through monthly medical check-up. However, Women sprayers who are pregnant or breast-feeding are not allowed to spray agrochemical. Onsite inspection at the field confirmed that no pregnant or breast-feeding women		Yes

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were working at the field. Moreover, result of interview confirmed that all women sprayers are aware on the relevant procedures and negative impact of pesticide application while they are pregnant or breast-feeding.		
<b>Criterion 4.7:</b> An occupational health and safety plan is documented, effectively communicated and implemented.		
4.7.1	The health and safety plan shall cover the following: <ul style="list-style-type: none"> <li>• A health and safety policy shall be in place.</li> <li>• A health and safety plan covering all activities shall be documented and implemented, and its effectiveness monitored.</li> </ul>	Major
<b>Findings</b>		<b>Comply?</b>
At TOPI mill, the policy on occupational health and safety approved by MD (Mr.John) since 2/7/2012 >Document No.4.42 is displayed on notice boards throughout the operation site.  Univanich Palm Oil Public Company Limited Values people as its most important asset. Protection of health and safety of this asset is of the highest priority both at work and outside the workplace. All accidents, occupational illness and incidents are preventable. The control and management of these risks is an essential part of the professional skills expected of all Univanich Managers and staff. Effective control of health and safety can only be achieved through cooperative effort at all levels of the company. To achieve this, risks need to be identified, understood and explained to all employees. Every employee has a personal responsibility to encourage safe work practices and this will be supported by management throughout the company.  At Siam Palm Estate, there is a health and safety policy in place that is written in Thai language and has been approved by MD (Mr.John) before posting on the company board. The policy covers mitigation of risk to workers health and safety at all workplace activities. Based on interview with workers, it was found that they aware and understand the policy. There is health and safety plan in place that includes targets for improving occupational health and safety (OHS) such as checking PPE every month. During site assessment, it was found that the plan is implemented and the effectiveness of the plan is monitored by both internal audit and OH&S committee meeting. For instance, the latest OH&S committee meeting was conducted on 28 August 2017. The health and safety plan is made publicly available on information board at the estate.		Yes
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
<b>Findings</b>		<b>Comply?</b>
Risk assessment is established under the collaboration between estates and mill. Based on the result of risk assessment, it was disclosed that all activities of estate and mill have been taken into account to identify the risk that could occur and affect to worker's health and safety. There are 3 levels of identified risk ranging from low risk (33-55 scores), medium risk (55-77 scores) and high risk (77-100 scores). Risk assessment that was initial conducted by the company was also revised by the expert who was hired by the company. Safe working practices procedure was established to minimize those identified risks. There are many signs and procedures available at the points, which are identified as high risk. During the assessment, it was observed that the implementation of the workers are in compliance with the written procedure and also precaution labelled in the herbicide containers especially glyphosate  At TOPI mill, there is report on the risk assessment of the lighting, noise and heating environment in the workspace that was carried out on 11 November 2016. There were 10 points for measured lighting, 5 points for measured noise and 5 points for measured heating, it was found that all points are not exceed the legal limit, 85 dBA for those workers who work 8 hours and/or not exceed than 90 dBA for those workers who work 4 hour continuously.		Yes
4.7.3	All workers involved in the operation shall be adequately trained in safe working practices (see Criterion 4.8). Adequate and appropriate protective equipment shall be available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, harvesting and, if it is used, burning.	Major
<b>Findings</b>		<b>Comply?</b>

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	<p>PPEs were provided by the company to all workers at the work place. In particular, sprayers are provided with appropriate PPEs such as mask, rubber gloves, protective cloth and rubber boots. Meanwhile, workers who work at mill are also provided with appropriate PPEs such as safety shoe, earplugs or ear muffs and safety helmet. Even though there were no records of accident which affect the health of worker seriously, a proper recording system is in place and ready for use at any time which includes: how and when the accident occurred, who was injured, root cause of accident, and the mechanism to deal with accident cases. Estates and mill have a documented annual training program for safety. All new hired workers are required to be trained on occupational health and safety before starting his/her career.</p> <p>Verification of training record on safety working in confined space was carried out on 25-27 August 2016 by Southern Safety Company limited. There were 21 participants who have attended this training subject</p>	Yes
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
<b>Findings</b>		<b>Comply?</b>
	<p>Occupational health and safety committee is appointed by mill and estate which will be responsible to monitor the consequence of occupational health and safety implementation via a meeting on monthly basis. The latest meeting of occupational health and safety committee consisting of managers, supervisors, workers representative and gender committee was done on 29 August 2017, showed that there were no concerns on health and safety raised by worker representative. In this meeting, welfare provided by mill and estate was also discussed among the committee. To confirm the safe working practices, inspection of workplace was done and found that safe working practices were being implemented</p> <p>Meeting and training with workers of subcontractor regarding health and safety was also carried out, for example, orientation for new workers of subcontractor was carried out on 12 April 2017 (3 persons), 24 May 2017 (5 persons) and 13 June 2017 (10 persons)</p>	Yes
4.7.5	Accident and emergency procedures shall exist and instructions shall be clearly understood by all workers. Accident procedures shall be available in the appropriate language of the workforce. Assigned operatives trained in First Aid should be present in both field and other operations, and first aid equipment shall be available at worksites. Records of all accidents shall be kept and periodically reviewed.	Minor
<b>Findings</b>		<b>Comply?</b>
	Accident and emergency procedures are established and available at all sites visited. Instructions of this procedure was simplified and posted at the work place especially at the chemical storage to communicate with the workers. With regard to first aid kits, first aid are provided at all site visited. 29 items of the first aid are prepared by each site according to the notification of the Department of Labour Protection and Welfare. For instance, mobile first aid kits are provided at TOPI estate and Siam palm estate for workers who work at the field. At the TOPI mill are also provided at the mill office and control room for each station, Self Contained Breathing Apparatus or SCBA is available and ready to be used at the biogas. Training for first aid operation was carried out in June and August 2017. Not only assigned person who responsible to the first aid, all workers have been trained on such concern. All employees who work at all site visited have attended the training.	Yes
4.7.6	All workers shall be provided with medical care, and covered by accident insurance	Minor
<b>Findings</b>		<b>Comply?</b>
	Regarding accidental insurance, all workers are paid in accordance with the labor laws of Thailand. Social security beneficiaries that are paid by the company cover treatment fee in case of accident from either working or livelihood. Moreover, company is normally responsible to pay for all treatment fees when workers are injured from working.	Yes
4.7.7	Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics.	Minor
<b>Findings</b>		<b>Comply?</b>
	There is List of Accident of 2017. There were 5 cases of accident but these accidents were not consequence of the time loss from work e.g. slip on the working floor. On the other hand, there was no LTA or serious accident occurred where is required to record in LTA metrics.	Yes
<b>Criterion 4.8:</b>		

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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
<b>Findings</b>		<b>Comply?</b>
TOPI mill, TOPI estate and Siam Palm estate have an annual training program for year 2017, which was approved by Engineering manager or Estate manager. The training program includes, for example, firefighting, boiler operation, air pollution monitoring, and waste management, handling of hazardous wastes, integrated pest control and agrochemical spraying. New employee will be given the training on company's rules and regulation, health and safety concerns and relevant work instruction to their area of work. Not only new staff but also all existing staff has the individual training record. Record of selected worker could be shown upon request. For instance, Mr.Monton Duangchuy, who was interviewed on harvesting activities at Siam Palm estate ,he has been trained on rules of the company, health and safety practice and relevant SOPs (Document no.4.1) on 2 October 2016. For chemical sprayer at TOPI estate, Ms.Sarapee Chuthongdee, she has been trained on relevant SOPs (Document no,4.5 and 4.9) on 16 June 2016		Yes
4.8.2	Records of training for each employee shall be maintained.	Minor
<b>Findings</b>		<b>Comply?</b>
Training records for each employee are available upon request, for example; - Mr.Monton Duangchuy, who was interviewed on harvesting activities at Siam Palm estate ,he has been trained on rules of the company, health and safety practice and relevant SOPs (Document no.4.1) on 2 October 2016. - Ms.Sarapee Chuthongdee, agrochemical sprayer at TOPI estate, she has been trained on relevant SOPs (Document no,4.5 and 4.9) on 16 June 2016 - Not only workers of Univanich but also workers from the subcontractor who works at TOPI mill have also been trained regarding health and safety on 12 April 2017 (3 persons), 24 May 2017 (5 persons) and 13 June 2017 (10 persons)		Yes

#### **Principle 5: Environmental Responsibility and Conservation of Natural Resources and Biodiversity**

<b>Principle 5: Environmental Responsibility and Conservation of Natural Resources and Biodiversity</b>		
<b>Criterion 5.1:</b> Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.		
5.1.1	An environmental impact assessment (EIA) shall be documented.	Major
<b>Findings</b>		<b>Comply?</b>
TOPI estate and Siam palm estate have carried out the environmental impact assessment in September 2017. The environmental assessment impact assessment covers 14 activities in plantation, such as, land preparation, fertilizers, use of agrochemical and harvesting. The assessment includes consultation with relevant stakeholders to identify impacts and to develop any mitigation measures, such as, local communities and relevant provincial governmental. Most of them have no negative impact from those activities. Except the impact of fertilizer application, but it is low level. However, the estate has established procedure on fertilizer application for mitigate the impact; for example, no fertilizer application in buffer zone along waterways and agrochemical used to control weed is replaced by using mechanical weed control.  At TOPI mill, the environmental impact assessment was also carried out to determine impact scale ranging from 3 levels; low (normal), medium (abnormal) and high (critical). Score of possibility of adverse effects is used to rank the impacts. Based on the system of scoring, if the result of scoring was higher than 54 scores, the mitigation plan needs to be established. For instance, either emission or explosive from boiler operation had a highest score of possibility of adverse effect and could result in huge damage on environmental aspects. Procedures to deal with identified risks in mill were established. Monitoring of the implementation and a review of the implementation was also carried out. The results of the review showed that there are no required changes to current mitigation measures and/or operational change. In particularly, as long as the emission from the mill resulted from monitoring complies with the laws		Yes
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	Minor

<b>Principle 5: Environmental Responsibility and Conservation of Natural Resources and Biodiversity</b>		
	within a comprehensive management plan. The management plan shall identify the responsible person/persons.	
<b>Findings</b>		<b>Comply?</b>
Based on the environmental impact assessment of mill, either emission or explosive from boiler operation is identified to cause an adverse effect and could result in huge damage on both social and environmental aspects. Meanwhile, the impact on environment from operation of estates, for example, consists of using persistent chemical and erosion. Currently, the mill installed the mechanical collector to reduce fine ash from biomass boiler. This is one of evidences showing the current practice used to mitigate negative effect on environment and community. For estates, agrochemical used to control weed is replaced by using mechanical weed control		Yes
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
<b>Findings</b>		<b>Comply?</b>
The plans incorporated the results from environmental monitoring conducted by C.E.M Technology Thailand Co., Ltd are now still in valid and in place for implementation. Monitoring of the implementation and a review of the implementation was also carried out by involving with the local community and stakeholder. As long as, there is no negative feedback raised by stakeholder, their current practice used to minimize the impacts on environment is effective. Therefore, there are no required changes to current mitigation measures and operational change.		Yes
<b>Criterion 5.2:</b>		
The status of rare, threatened or endangered species and other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and operations managed to best ensure that they are maintained and/or enhanced.		
5.2.1	Information shall be collated in a High Conservation Value (HCV) assessment that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors).	Major
<b>Findings</b>		<b>Comply?</b>
To ensure information related in High Conservation Value (HCV) both the planted area itself and relevant wider landscape-level are collected and assessed properly, the company engaged the approved HCV assessor from Forest Industry Organization, Ministry of Natural Resource and Environment of Thailand, to conduct HCV assessment. HCV assessment carried by the approved HCV assessor was done during 6-9 November 2012. Forest officers who work for Praipraya Wildlife Sanctuary also reviewed this HCV report. As there is no change on the land area for both mill and estates, HCV is still valid. Based on the HCV report, it was found that Forest Industry Organization classified small jungle nearby the block F8 and F16 of Siam Palm estate as HCV 1.1. Conservation management plans to avoid damage and to prevent the deterioration of forest area were established and suggested by Forest Industry Organization. Those management plans, for example, are coordination with the forest officer from governmental agency, post the visible signs to limit the access into forest area for workers, and monitor any deterioration of forest area monthly. However, there is also no presence of RTE in the planted area and adjacent area. Even though this HCV area is not part of the certified area or outside legal boundary of the company, the company is encouraged to take responsibility for maintaining and monitoring the HCV areas Besides HCV 1.1, monitoring the presence of other HCVs were done by auditor during the surveillance audit. For the TOPI mill, the natural water body (E-Pun canal) was identified and classified as HCV 5 even though E-Pun canal is set aside area which is not within the estate. During the inspection, the area is free of agrochemical use.		Yes
5.2.2	Where rare, threatened or endangered (RTE) species, or HCVs, are present or are affected by plantation or mill operations, appropriate measures that are expected to maintain and/or enhance them shall be implemented through a management plan.	Major
<b>Findings</b>		<b>Comply?</b>
Regarding HCV 1.1, conservation management plans to avoid damage and to prevent the deterioration of forest area at these mountains were established and suggested by Forest Industry Organization. Signs to limit the access into forest area for workers and plan to monitor any deterioration of community forest area monthly are implemented in accordance with the conservation management plan addressed in the HCV report. For the mill, management plan was also established to ensure that water from E-pun canal is safe for downstream communities who		Yes

<b>Principle 5: Environmental Responsibility and Conservation of Natural Resources and Biodiversity</b>		
may use water for their consumption. Buffer zone of at least 15 meters on both sides of the canal is free from agrochemical use.		
5.2.3	There shall be a programme to regularly educate the workforce about the status of these RTE species, and appropriate disciplinary measures shall be instigated in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species.	Minor
<b>Findings</b>		<b>Comply?</b>
Regarding HCV 1.1 identified nearby Siam Palm estate, patrol survey staff of the Siam Palm estate was educated how to monitor the deterioration of community forest area and native species. This survey was carried out monthly. If there was evidence of deterioration, stakeholders and local community who are also the owner of community forest can give a complaint to the company and proceed according to the laws. Onsite inspection during the assessment confirmed that there was no evidence of capture, harm, collect or kill native species from this community forest. In-depth-interview with stakeholder on 4 October 2017 also confirmed that community forest has never been deteriorated by estate operation		Yes
5.2.4	Where a management plan has been created there shall be ongoing monitoring: <ul style="list-style-type: none"> <li>• The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported;</li> <li>• Outcomes of monitoring shall be fed back into the management plan.</li> </ul>	Minor
<b>Findings</b>		<b>Comply?</b>
Patrol survey staff of Siam Palm estate was assigned to monitor whether there is evidence of deterioration of community forest area and native species monthly. Outcome of the survey was reviewed by estate manager. Result of reviewing showed that community forest is not affected by plantation operation. In-depth-interview with stakeholder confirmed that community forest has never been affected by plantation operation		Yes
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
<b>Findings</b>		<b>Comply?</b>
Approved HCV assessor identified no HCV set-asides with existing rights of the local communities		Yes
<b>Criterion 5.3:</b>		
Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.		
5.3.1	All waste products and sources of pollution shall be identified and documented	Major
<b>Findings</b>		<b>Comply?</b>
List of identified wastes and pollution as well as their sources are available both TOPI estate and Siam Palm estate. For example, used engine oil, chemical containers, fertilizer bags and household wastes. The disposal methods of waste are identified		Yes
5.3.2	All chemicals and their containers shall be disposed of responsibly.	Major
<b>Findings</b>		<b>Comply?</b>
At TOPI estate and Siam Palm estate, empty agrochemical containers will be kept in the permanent storage sheltered from rain and with the sufficient containment system to prevent any leakage of agrochemical that may remain in the containers due to improper clean-up after use to environment and then disposal by landfill monthly. Visit of the landfill found that those empty container were buried and were not harmful to the environment because the landfill were also covered by the HDPE. Number of the empty containers landfilled were recorded in the record book hold by each estate visited.		Yes
5.3.3	A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented.	Minor
<b>Findings</b>		<b>Comply?</b>
TOPI estate and Siam palm estate have established procedure for waste management and disposal plan that covers all identified wastes. For example, empty agrochemical containers will be kept in the permanent storage sheltered from rain and then disposal by landfill monthly, used engine oil will be kept in storage tank and sent to TOPI mill twice a year for disposal by authorized company namely Mahachai Aeksirioil who hold the license number 3-106-5/46 issued by Department of Industry Work. For household wastes will be collect and disposal by Sub district Administrative Organization (SAO) twice a week.		Yes



<b>Principle 5: Environmental Responsibility and Conservation of Natural Resources and Biodiversity</b>		
<b>Criterion 5.4:</b> Efficiency of fossil fuel use and the use of renewable energy is optimized.		
5.4.1	A plan for improving efficiency of the use of fossil fuels and to optimize renewable energy shall be in place and monitored.	Minor
<b>Findings</b>		<b>Comply?</b>
Univanich and estates have a plan to strive for continuous efficiency improvement in the use of renewable energy. Renewable energy generated from either biogas or turbine (palm fiber is used as fuel in boiler) is the most successful for Univanich. Univanich was a pioneer for biogas electric generator from wastewater of palm oil mill in Thailand. For biogas at TOPI mill, approximately 7,100,000 kWh was generated by NADROWSKI turbine. Electricity generated by biogas is not only for sale to the public through the Provincial Electricity Authority's grid (PEA) but also for use in crushing mill. For TOPI estate and Siam Palm estate: currently fossil fuel used for the estate operation in 2017 was about 75,000 litres and 90,000 litres respectively. The purpose of fossil fuel used were, FFB transport, pumping of water from the reservoir, child care center and electricity, vehicle and other. Therefore, direct fossil fuel used per ton of FFB is about 0.91 litres/ton of FFB and 1.2 litres/ton of FFB respectively. For the plan of fossil fuel use for 2018, the estimated amount of fossil fuel is not too much different comparing to the current year		Yes
<b>Criterion 5.5:</b> Use of fire for preparing land or replanting is avoided, except in specific situations as identified in the ASEAN guidelines or other regional best practice		
5.5.1	There shall be no land preparation by burning, other than in specific situations as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.	Minor
<b>Findings</b>		<b>Comply?</b>
During the site assessment at TOPI estate and Siam Palm estate, there was no evidence that fire has been used for preparing land. Stakeholder interview during the public consultation meeting on 4 October 2017 confirmed that land burning during replanting is never carried out		Yes
5.5.2	Where fire has been used for preparing land for replanting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.	Minor
<b>Findings</b>		<b>Comply?</b>
Based on above mentioned finding, it is not necessary to ask the approval		Yes
<b>Criterion 5.6:</b> Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored. <i>Preamble: Growers and millers commit to reporting on operational greenhouse gas emissions. However, it is recognized that these significant emissions cannot be monitored completely or measured accurately with current knowledge and methodology. It is also recognized that it is not always feasible or practical to reduce or minimize 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 stakeholder groups of the RSPO.</i>		
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
<b>Findings</b>		<b>Comply?</b>
All certifying units of Univanich have documented a pollution and emission control plan FV102 revision 00 dated 4 January 2012 that identifies the sources of emissions and methods for control. Results showed in environmental quality monitoring report done by C.E.M Technology Thailand Co., Ltd in every six month has been taken into account to develop the pollution and emission control plan. Up to now, the assessment conducted since initial certification is still valid and seen during this surveillance assessment.		Yes
5.6.2	Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimize them implemented.	Major
<b>Findings</b>		<b>Comply?</b>
Significant pollutions and greenhouse gas (GHG) emission indicated FV102 revision 00 caused by mill and estate operations have been identified and documented. Plan to reduce the pollutions and emission of GHG was established for both mill and estate activities. All activities that		Yes

<b>Principle 5: Environmental Responsibility and Conservation of Natural Resources and Biodiversity</b>		
cause of GHG emission were identified such as FFB transport from estates to mill, emission from stack of the mill, land conversion, fertilizer manufacture and transport, and N2O from fertilizer application. Even though biogas was constructed for many years to capture methane, Univanich started to reduce GHG from other activities e.g. implement the reduction/minimization of fossil fuel used for FFB transportation from estate to mill by arrangement of the routing and selection vehicles to suit with amount of FFB that will be transported to the mill. The plan to reduce GHG emission from these activities during 2017-2018 was being implemented.		
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
<b>Findings</b>		<b>Comply?</b>
<p>Monitoring system, for instance, for GHG from fuel consumption or transportation was reduced to 150 tCO<sub>2</sub>e by 2016. Use of fossil fuel at both TOPI mill and estates are recorded to evaluate in term of GHG emission. Based on the results of environmental monitoring at TOPI mill done by C.E.M Technology Thailand Co., Ltd, it showed that neither Total Suspended Particulate (TSP), sulphur dioxide, nitrogen dioxide nor carbon monoxide level exceeded the notification of the Ministry of Industry B.E. 2549 (1996) for gashouse emission released from the factory. Moreover, PalmGHG was used as the guideline for assessing and monitoring the emissions from GHG emission. The company has submitted the PalmGHG report to RSPO secretariat by email on the first day of the assessment. Based on the submission report, summary emission from CPO and PK which are products are 1.54 and 1.54 tCO<sub>2</sub>e/t product.</p> <p>With regard to the noise level, noise level at boiler station and sterilization was monitored by C.E.M Technology Thailand Co., Ltd on 26-27 November 2015 were 83.1 dBA and 81.1 dBA. However, the noise level is in compliance with the control level and standard. Since noise level becomes a great concern to cause hearing losses, not only ear plugs were provided to all workers who work at sterilization station and boiler station but also silencers were installed to reduce the noise level.</p>		Yes

**Principle 6: Responsible Consideration of Employees and of Individuals and Communities Affected by Growers and Millers**

<b>Principle 6: Responsible Consideration of Employees and of Individuals and Communities affected by Growers and Millers</b>		
<b>Criterion 6.1:</b>		
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
<b>Findings</b>		<b>Comply?</b>
<p>During onsite inspection at TOPI mill, it was found that in the past year, there are some changes on mill operation/practice that may influence to the social impact. However, reassessment of the impacts on the social has not been carried out. Therefore, major non-conformity has been raised against this indicator</p> <p>However, both estates have conducted the review of change that might be affected to the change on SIA result. Based on this consequence of the review, there is no change caused by estate operation.</p>		Major NC
6.1.2	There shall be evidence that the assessment has been done with the participation of affected parties.	Major
<b>Findings</b>		<b>Comply?</b>
SIA was conducted with the participation of affected parties e.g. workers, villagers and officers of the relevant government especially Praipraya Wildlife Sanctuary since 2012 and continue to review with stakeholder through the community meeting annually. Those stakeholders were also invited annually to give their comments and perspectives on the assessment. In-depth interview and discussion were carried out to identify which activity cause the impact on social. During this surveillance audit, the public consultation was held at the research center of TOPI mill in order to take this opportunity to follow up on any concerns on mill and estate's operation raised by stakeholder. In-depth interview conducted by auditor confirmed that stakeholder have not affected by the mill and estate operation		Yes
6.1.3	Plans for avoidance or mitigation of negative impacts and promotion of the positive	Major

<b>Principle 6: Responsible Consideration of Employees and of Individuals and Communities affected by Growers and Millers</b>		
	ones, and monitoring of impacts identified, shall be developed in consultation with the affected parties, documented and timetabled, including responsibilities for implementation.	
<b>Findings</b>		<b>Comply?</b>
According to the SIA report and results from in-depth interview with the stakeholder, dust emitted from the boiler stack was a major concern by stakeholder, but this problem has been resolved since the previous assessment. However, during the surveillance assessment, this topic has been raised to discuss with the stakeholder again to monitor whether it is still present even though change related to mill operation has not been raised for this discussion and its consequence was led to the non-conformity against indicator 6.1.1. Result confirmed that this concern has been resolved in the last two years. Only positive inputs for promoting the social sustainable development contributed by the company has been raised by the stakeholder during the public consultation meeting conducted during the assessment		Yes
Furthermore, the company participated monthly village meeting to be conducted in every 6th of every month to monitor whether negative impacts on social are presented and/or are not resolved.		
6.1.4	The plans shall be reviewed as a minimum once every two years and updated as necessary, in those cases where the review has concluded that changes should be made to current practices. There shall be evidence that the review includes the participation of affected parties.	Minor
<b>Findings</b>		<b>Comply?</b>
According to the major non-conformity raised against indicator 6.1.1 as mentioned above, there is also no evidence showing that plan to minimize the social impacts resulting from the change of mill operation/practice has been reviewed under the participation of the affected parties. Therefore, minor non-conformity has been raised against this indicator. While there is no problem for both estates where have been chosen for this surveillance audit		Minor NC
6.1.5	Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme).	Minor
<b>Findings</b>		<b>Comply?</b>
As there is no associated smallholder/scheme smallholder, it is not necessary		N/A
<b>Criterion 6.2:</b>		
There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.		
6.2.1	Consultation and communication procedures shall be documented.	Major
<b>Findings</b>		<b>Comply?</b>
Communication and consultation management guidelines are developed and documented in the document no.6.4. Based on this procedure, the frequency and methodology to consult and communicate with stakeholder are addressed. The latest communication with stakeholder according to the procedure was carried out on 25 August 2017 at TOPI mill even though there is no concern raised by the stakeholder before		Yes
6.2.2	A management official responsible for these issues shall be nominated.	Minor
<b>Findings</b>		<b>Comply?</b>
Manager of each certification unit has been appointed by Managing Director of Univanich Palm Oil PCL to be representative responsible for issues related to social and community. For example, Mr Wachirapan Tantaprapa , engineer of TOPI mill, has been appointed as the responsible person of the mill		Yes
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
<b>Findings</b>		<b>Comply?</b>
For example, TOPI estate maintained the list of stakeholder. 47 name of stakeholders are listed. A list of stakeholders was included local communities, statutory, local governments, Islamic religious leader, head of communities, and local community members. The list includes contact details and address so that communication with those stakeholders can be done immediately. The eventual		Yes

<b>Principle 6: Responsible Consideration of Employees and of Individuals and Communities affected by Growers and Millers</b>		
change of person on the list will be monitored by the mill or estate manager. Minutes of the latest meeting with these stakeholders carried out on 25 August 2017 at TOPI mill. Based on the minutes of consultation with stakeholder, it was shown that only positive comments and inputs were given by the stakeholder e.g. stakeholder impressed that the company provided them the road lighting luminaires. Even though there is any negative inputs from stakeholder, the company are happy to welcome any concerns caused by mill and estate's operation raised by stakeholder if any. This is the reason why the stakeholder has never complaint to the company so far.		
<b>Criterion 6.3:</b>		
There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all affected parties.		
6.3.1	The system, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistleblowers, where requested.	Major
<b>Findings</b>		<b>Comply?</b>
The complaints, grievance and dispute procedure is documented by the central office of Univanich as document no. 6.8. All stakeholders either affected parties, whistle-blowers are welcome to give complaint to the company through channel provided e.g. complaint boxes, phone call, email and website. When they are raised, it is the responsibility of mill and estate manager to handle and resolve complaints in an effective, timely and appropriate manner to reduce the risk of reprisal. Up to now, only complaint on dust from biomass boiler of TOPI mill in 2013 was recorded		Yes
6.3.2	Documentation of both the process by which a dispute was resolved and the outcome shall be available.	Major
<b>Findings</b>		<b>Comply?</b>
There is no dispute observed during the assessment. Result from stakeholder consultation meeting on day 2 of the surveillance assessment confirmed that there was no evidence of dispute and complaints raised by stakeholder, community leader, governmental officers, and local communities even though they have known the right to give the complaints and grievances. Document no. 6.9 was established to indicate the process to deal with the dispute		Yes
<b>Criterion 6.4:</b>		
Any negotiations concerning compensation for loss of legal, customary or user rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.		
6.4.1	A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be in place.	Major
<b>Findings</b>		<b>Comply?</b>
Procedure for identifying legal, customary or user rights who are entitled to compensation (document no.6.9) was established. This procedure will be applied for all certification units owned by Univanich Palm Oil PCL		Yes
6.4.2	A procedure for calculating and distributing fair compensation (monetary or otherwise) shall be established and implemented, monitored and evaluated in a participatory way, and corrective actions taken as a result of this evaluation. This procedure shall take into account: gender differences in the power to claim rights, ownership and access to land; differences of transmigrates and long-established communities; and differences in ethnic groups' proof of legal versus communal ownership of land.	Minor
<b>Findings</b>		<b>Comply?</b>
Procedure for calculating and distributing fair compensation (document no. 6.10) was established. The compensation will be made according to the decision of the independent arbitrator or court of justice (if any). Based on the results of public consultation meeting for all estates and mill as well as interviewing with local communities on day 2 of the surveillance assessment, it was confirmed that there is no current claim on customary right over land		Yes
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
<b>Findings</b>		<b>Comply?</b>

<b>Principle 6: Responsible Consideration of Employees and of Individuals and Communities affected by Growers and Millers</b>		
Based on above mentioned finding, there is no process and outcome of any negotiated agreement and compensation claims because all land areas are owned by the company		Yes
<b>Criterion 6.5:</b> 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
<b>Findings</b>		<b>Comply?</b>
The salary, wage and conditions of work done in accordance with the legislation of Department of Labor are described in the contracts signed between the company and all workers. The minimum legal wage for Krabi province at 308 Baht/day which is compliance with the national laws on minimum wage has been taken into account to include in the contract. The payment for selected worker (Mr Somporn who works at the TOPI mill) has been checked to ensure that they have earned the salary and other benefits in compliance with the national laws on the minimum wage and working days as well as OT. The result confirmed that the payment to Mr Somporn was done in compliance with the national laws, contract, working time and also OT.		Yes
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
<b>Findings</b>		<b>Comply?</b>
During the onsite inspection at Siam Palm estate, it was found that there is no evidence showing that workers have been informed for the conditions of the deduction especially how many Thai Baht will be deducted for harvesting the unripe FFB (currently, 50 Baht/brunch unripe FFB is deduction rate) and how many Baht will be deducted for paper used for recording on the field operation. Based on this consequence, major non-conformity has been raised against this indicator.  However, there is no problem on the contract between the worker and company for the rest of certification unit visited (TOPI mill and TOPI estates)		Major NC
6.5.3	Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible.	Minor
<b>Findings</b>		<b>Comply?</b>
All employees including subcontractors have been provided with suitable housing, water supplies, medical care and social welfare by the company. Even though some workers have their own house nearby the mill and estates, however, they were provided by the company housing, water suppliers and etc. It depends on the decision of workers which one is their preference. Two bedrooms with one separate bathroom are provided for each house so that worker can bring their family to live together. Each unit visited provided medical treatment for staff, workers and their family at no cost. Water and electricity are provided to each house. Water tanks are also provided for the workers to store rain water for use in drought periods and when water supply is not being used. For school aged children, the estate provides financial aid to reimburse fossil fuel costs when the parents use their own cars for transporting the children to attend the school		Yes
6.5.4	Growers and millers shall make demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food.	Minor
<b>Findings</b>		<b>Comply?</b>
Residents are allowed to grow their own vegetables (backyard garden) at their house. Even though affordable food could not provide by estate to all workers directly for free, estates could show their effort to contact food seller to come into the estate for selling food with low prices comparing to the fresh markets even though most of the workers prefer to go outside for purchasing the food and others to respond their needs. The estate has also a small grocery shop for selling food and other items that are basic for livelihood e.g. rice, fish sauce, and instant noodles.		Yes

<b>Principle 6: Responsible Consideration of Employees and of Individuals and Communities affected by Growers and Millers</b>		
<b>Criterion 6.6:</b>		
There 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
<b>Findings</b>		<b>Comply?</b>
Policy to respect the right of all personnel to form and join trade unions signed by Managing Director on 8 April 2012 has not changed until the present. Employees of Univanich, therefore, have the right to freedom of association and to form or join labor union. This policy is posted on the company boards for all sites visited. However, workers in all sites did not form any labour union or join any labour association at the time of surveillance assessment		Yes
6.6.2	Minutes of meetings with main trade unions or workers representatives shall be documented.	Minor
<b>Findings</b>		<b>Comply?</b>
Even though there is no trade union or labor union, the company has given the right to worker representative to hold a meeting that is normally discussed issues on the occupational health, safety and welfare. Latest meeting between the TOPI estate manager and worker representative, for example, was conducted on 3 May 2017. Minutes of the meeting showed that there was no concern on occupational health, safety and welfare raised by the workers		Yes
<b>Criterion 6.7:</b>		
Children are not employed or exploited.		
6.7.1	There shall be documentary evidence that minimum age requirements are met.	Major
<b>Findings</b>		<b>Comply?</b>
According to the child labor policy posted at the company boards, no worker under 18 years of age is allowed even though the labour laws of Thailand allowed employers to hire employees/workers of above 15 years of age. Copied ID card of each worker collected as one of evidence used to bond with the contract are available. Inspection of individual worker records at the TOPI mill and supply bases (Nanua division of Siam Palm estate and TOPI estate) confirmed that no workers under 18 years of age were observed either at any work location or in the contract between company and worker.  List of the workers at the TOPI mill, for instance, is available. This list is updated once a year. Latest update was carried out on November 2016.		Yes
<b>Criterion 6.8:</b>		
Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.		
6.8.1	A publicly available equal opportunities policy including identification of relevant/affected groups in the local environment shall be documented.	Major
<b>Findings</b>		<b>Comply?</b>
Anti-discrimination policy signed by Managing Director on 8 April 2012 is displayed on the notice boards at the TOPI mill and its supply base. Investigation on the presence of the discrimination was carried out during the audit such as recruitment process and promotion process. The result showed that the recruitment process was done without the discrimination. No specific requirement on age and gender, for example, have indicated in the job vacancy announcement		Yes
6.8.2	Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated against	Major
<b>Findings</b>		<b>Comply?</b>
Interview with staff and migrant workers who moved from the north-eastern part of Thailand confirmed that there was no discrimination in relation to ethnicity, religion or gender. They were treated equally by the TOPI mill and estates. Inspection at worker house and records also showed that migrant worker and worker from local communities live together at worker houses and salary rate for migrant worker and local worker are the same		Yes

<b>Principle 6: Responsible Consideration of Employees and of Individuals and Communities affected by Growers and Millers</b>		
6.8.3	It shall be demonstrated that recruitment selection, hiring and promotion are based on skills, capabilities, qualities, and medical fitness necessary for the jobs available.	Minor
<b>Findings</b>		<b>Comply?</b>
Recruitment selection and promotion were based on capabilities and skills of the workers. Application forms filled by the candidate with relevant training records are available during the assessment. These records were reviewed the recruitment system whether it was done based on skills, capabilities, qualities, and medical fitness necessary for the job		Yes
<b>Criterion 6.9:</b> 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
<b>Findings</b>		<b>Comply?</b>
Policy on prevention of sexual harassment and other forms of violence against women is documented and displayed on the notice boards of the TOPI mill and estates. Women representatives are elected among the female workers at the mill and estates. There are 11 women members who are listed on the announcement letter. Representative from each certification unit is one of the committee.		Yes
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
<b>Findings</b>		<b>Comply?</b>
Policy to protect the reproductive right of all especially of women is addressed and signed by top management on 8 April 2012. In case of any violation to women, the procedures to deal with the violation are established. The procedure respects anonymity and protects complainants. The procedures were used for training to women employees in order to ensure that they understand the grievance mechanism. Based on the result of interviews with women employees during the surveillance audit, it was confirmed that that they understood the policy and knew the grievance mechanism for complaints.		Yes
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
<b>Findings</b>		<b>Comply?</b>
Even though there are no any complaints and grievances given by woman workers on violation and sexual harassment, women gender committee is the one of channels to respect anonymity and protects complainants as women representative will keep silence on this matter. Interview with the women representative confirmed that this mechanism is working and there is no case of the violation to women so far.		Yes
<b>Criterion 6.10: Growers and millers deal fairly and transparently with smallholders and other local businesses.</b>		
6.10.1	Current and past prices paid for Fresh Fruit Bunches (FFB) shall be publicly available.	Minor
<b>Findings</b>		<b>Comply?</b>
Even though there are no purchase contracts to bind with independent growers, they will be informed by purchaser of TOPI mill of daily FFB price through phone call. The daily price of FFB will be posted at the mill gate for 5 possible grades of FFB with OER at 17%, 18%, 19%, 20% and 21%, respectively. The FFB price posted at TOPI mill gate on date of the surveillance audit for OER at 17%, 18%, 19%, 20% and 21%, were 3.8, 3.5, 3.3, 3.2 and 3.1 Bath/kg of FFB, respectively. The FFB gate prices at the time of this surveillance assessment are dramatically dropped comparing to the previous assessment. Records of mill gate price in the last 3 months were also observed and found that they are available to the public when needed.		Yes
6.10.2	Evidence shall be available that growers/millers have explained FFB pricing, and pricing mechanisms for FFB and inputs/services shall be documented (where these are under the control of the mill or plantation).	Major
<b>Findings</b>		<b>Comply?</b>
Even though the independent smallholders are informed by phone call with regard to the FFB gate price, FFB gate price in single day was documented and maintained at the mill. Computerized		Yes

<b>Principle 6: Responsible Consideration of Employees and of Individuals and Communities affected by Growers and Millers</b>		
system (Truck program) used by the weighting department of the mill can be used to trace back of the FFB gate prices as well as how many Bath has been paid for each independent smallholder.		
FFB paid by TOPI mill to independent smallholder (Khun Sukhon) on 3.10.2017 is randomly checked during the assessment. Total FFB production 1,080 kg. was sold as non-RSPO at the cost 3.80 Baht/kg of FFB. The payment was done according to the agreed rate posted on FFB gate prices		
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
<b>Findings</b>		<b>Comply?</b>
There is no scheme smallholder who have contractual agreement with the mill. More than half of FFB processed by the TOPI mill is supplied by the independent smallholder who is not required to have the contractual agreement with the mill because they have the right to sell their FFB to any mills and other traders (intermediaries). When FFB has been supplied FFB by those independent smallholders, however, fair and transparency on the FFB prices were made to independent smallholder. For instance, independent smallholder were paid according to the FFB gate price when they sold FFB to the TOPI mill.		Yes
6.10.4	Agreed payments shall be made in a timely manner	Minor
<b>Findings</b>		<b>Comply?</b>
Based on above mentioned finding, agreed payment according to the contractual agreement is not applicable to independent smallholder. However, when independent smallholders sold their FFB to the TOPI mill, quantity of FFB resulting from the weight bridge were calculated with FFB gate price (for example 3.80 Baht/kg on 3.10.2017) to sum the total money that the independent smallholder should be earned. With regard to the payment, the independent smallholder will be received the money by cash within a day after selling FFB		Yes
<b>Criterion 6.11:</b> 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
<b>Findings</b>		<b>Comply?</b>
Univanich Palm Oil PCL has operated the corporate social responsibility since the establishment of the company even though they have not been certified for CSR. Therefore, the local development needs identified from the public consultation meeting are set as priority for improving the livelihood of the local communities. Contribution of the company to community, for example, are allow local communities to use their roads especially at TOPI estate and Siam Palm estate for transporting and reduce the distance, donations to local school, and other activities requested by local communities and governmental sectors. Majority of the staffs of the company in both mill and plantation are from local communities. This is one example to improve or maximize employment opportunities for local communities		Yes
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
<b>Findings</b>		<b>Comply?</b>
There is no scheme smallholder. Therefore, it is not applicable		Yes
<b>Criterion 6.12:</b> 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
<b>Findings</b>		<b>Comply?</b>
Forced or trafficked labour are strictly prohibited by the company. Company also supports the workers to form as union and do actions to investigate whether workers may become as forced or trafficked labour. Even though some workers moved from provinces in Eastern region of Thailand as well as come from Lao PDR, result from interview with these workers confirmed that they made their own decision to work at estate without forcing by staffs of the company		Yes
6.12.2	Where applicable, it shall be demonstrated that no contract substitution has occurred.	Minor



<b>Principle 6: Responsible Consideration of Employees and of Individuals and Communities affected by Growers and Millers</b>		
<b>Findings</b>		<b>Comply?</b>
Contract of workers at both mill and estate were checked during the audit. Interview with workers about their job responsibility confirmed that there is no contract substitution occurred		Yes
6.12.3	Where temporary or migrant workers are employed, a special labour policy and procedures shall be established and implemented.	Major
<b>Findings</b>		<b>Comply?</b>
Company's policy and procedure for foreign workers includes statement of the non-discriminatory practices for those foreign workers. Policy also includes the provision of decent living conditions. All workers are provided with house, water and other facilities		Yes
<b>Criterion 6.13:</b> Growers and millers respect human rights.		
6.13.1	A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations (see Criteria 1.2 and 2.1).	Major
<b>Findings</b>		<b>Comply?</b>
Human right policy indicated in the annual report 2015, which is also public available in the website, is available at the boards of the several workplaces		Yes

**Principle 7: Responsible Development of New Plantings**

Principle 7 is not applicable because there is no new planting since 2005

**Principle 8: Commitment to Continuous Improvement in Key Areas of Activity**

<b>Principle 8: Commitment to Continual Improvement in Key Areas of Activity</b>		
<b>Criterion 8.1:</b> Growers and millers regularly monitor and review their activities and develop and implement action plans that allow demonstrable continual improvement in key operations.		
8.1.1	The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria. As a minimum, these shall include, but are not necessarily be limited to: <ul style="list-style-type: none"> <li>• Reduction in use of pesticides(Criterion 4.6);</li> <li>• Environmental impacts (Criteria 4.3, 5.1 and 5.2);</li> <li>• Waste reduction (Criterion 5.3);</li> <li>• Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8);</li> <li>• Social impacts (Criterion 6.1);</li> <li>• Optimising the yield of the supply base.</li> </ul>	Major
<b>Findings</b>		<b>Comply?</b>
<p>Plan for continual improvement during year 2016-2017 was established and approved by the Managing Director of the company. Implementations for continuous improvement of relevant activities established for year 2015 were reviewed by auditor during the surveillance assessment. Based on the result of reviewing, it found that even though paraquat which was expected to be zero in 2016 is still being used, the tendency of amount of paraquat used is likely to decrease.</p> <p>Here below are the examples of plans during 2016-2017.</p> <ul style="list-style-type: none"> <li>- Expected volume of agrochemical usage especially paraquat was expected to decrease by 20% from the previous year</li> <li>- The environmental improvement is based on issues identified during the implementation of EIA and risk assessment. Obviously that the dust which was raised as complaint by local community surrounding TOPI mill has been now resolved, but the company plan to upgrade treatment equipment for improving efficiency of the treatment.</li> <li>- TOPI mill and its supply base have fully utilized waste from processing either EFB, POME, decanter cake or frond stacking to recycle in the field. All wastes generated by the mill will be applied in the estates</li> <li>- To ensure that any concerns on social aspect will be resolved by management representative of</li> </ul>		Yes

<b>Principle 8: Commitment to Continual Improvement in Key Areas of Activity</b>	
mill and estate immediately, company set the plan for communication with the stakeholder on 6th of every month - Optimizing the yield of the supply base was done through fertilizer application plan. The fertilizer application will be done in accordance with the result from foliar testing. Moreover, EFB and POME which are wastes from mill operation will be used in the estates for improving soil fertility	

### 3.3 Supply Chain Requirements

The Univanich Palm Oil Public Company Limited has decided to use Module E in this assessment. Findings and objective evidence collected during the assessment are outlined in below. Results for each indicator from each of the operational areas were evaluated to provide an assessment of conformity. A statement is provided for each of the RSPO indicators in order to support the findings of the assessment team.

#### 3.3.1 Module D (CPO Mills): Identity Preserved

This is not applicable because the Univanich Palm Oil Public Company Limited has decided to use Module E in this assessment.

#### 3.3.2 Module E (CPO Mills): Mass Balance

<b>Module E- CPO Mills: Mass Balance</b>			
<b>D1: Definition:</b> Certification for CPO mills is necessary to verify the volumes of certified and uncertified FFB entering the mill and volume sales of RSPO certified producers. A mill may be taking delivery of FFB from uncertified growers, in addition to those from its own certified land base. In that scenario, the mill can claim only the volume of oil palm products produced from processing of the certified FFB as MB.			
<b>E2: Explanation</b>			
<b>Requirements</b>		<b>Findings</b>	<b>Comply ?</b>
<b>E.2.1</b>	The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill must be recorded by the CB in the public summary of the P&C certification report. This figure represents the total volume of certified palm oil product (CPO and PK) that the certified mill is allowed to deliver in a year. The actual tonnage produced should then be recorded in each subsequent annual surveillance report.	Projected FFB is 115,702.4 tons. Projected tonnage of certified CPO and PK are 23,718.99 tons and 6,074.37 tons, respectively	Yes
<b>E.2.2</b>	The mill must also meet all registration and reporting requirements for the appropriate supply chain through the RSPO supply chain managing organization (RSPO IT platform or book and claim).	There are several transaction and/or registration of selling CSPO through RSPO PalmTrace. Total of CSPO sold through PalmTrace is 7433.84 tons, while total CSPO sold using manual where RSPO claim (MB) has been indicated on invoice is 7,739.61 tons. Therefore, 355.77 tons of CSPO sold with RSPO claim have not been registered through RSPO PalmTrace	No (Major)
<b>E3: Documented Procedures</b>			
<b>Requirements</b>		<b>Findings</b>	<b>Comply ?</b>
<b>E.3.1</b>	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	- Procedures and/or work instructions covering the implementation of all the elements required to handle certified RSPO products especially CPO was established into one document. - Khun Thanaphol is responsible and authority over the implementation for these requirements.	Yes

	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.		
<b>E.3.2</b>	The site shall have documented procedures for receiving and processing certified and non-certified FFBs.	Truck system is used to deal with the certified and non-certified FFB. Procedure for receiving of certified and non-certified FFB is indicated in PM-OD-02 UVAN  For example, payment for independent smallholder (Khun Narong Komprasert) who supplied FFB 750 kg on 28.6.2016 (FFB gate price at 21% was 6.30 Baht at that time) is available and can be used to track whether it is non-certified FFB	Yes
<b>E4: Purchasing and Goods In</b>			
	<b>Requirements</b>	<b>Findings</b>	<b>Comply ?</b>
<b>E.4.1</b>	The site shall verify and document the volumes of certified and non-certified FFBs received.	Sale documents (invoice no. 0213/60 for Skuksomboon Vegetable Oil Co., Ltd), 103.31 tons of CSPO was sold with RSPO claim. MB was indicated clearly in the invoice.	Yes
<b>E.4.2</b>	The site shall inform the CB immediately if there is a projected overproduction of certified tonnage.	Procedure to inform the CB immediately if there is a projected overproduction of certified tonnage is one of contents in PM-OD-02 UVAN	Yes
<b>E5: Record Keeping</b>			
	<b>Requirements</b>	<b>Findings</b>	<b>Comply ?</b>
<b>E.5.1</b>	<p>a. The site shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a three-monthly basis.</p> <p>b. All volumes of palm oil and palm kernel oil that are delivered are deducted from the material accounting system according to conversion ratios stated by RSPO.</p> <p>c. The site can only deliver Mass Balance sales from a positive stock. Positive stock can include product ordered for delivery within three months. However, a site is allowed to sell short.(ie product can be sold before it is in stock.) For further details refer to Module C.</p>	<ul style="list-style-type: none"> <li>- The record and balance of FFB received from their own estates and total CSPO and CSPK sold with RSPO claims are monitored by using simplified excel table. It was monitored on a three monthly basis</li> <li>- According to the conversion of the company in the previous year, conversion rate from FFB to CPO and PK was about 20.5% and 5.25%, respectively. These conversion ratios were used to deduct while delivering the certified products</li> <li>- Internal accounting system has been set in compliance with the rule. However, based on Univanich policy sell short will not be applied</li> </ul>	Yes
<b>E.5.2</b>	In cases where a mill outsources activities to an independent (not owned by the same organization) palm kernel crush, the crush still falls under the responsibility of the	There is no outsource activity to an independent palm kernel crush	N/A

	mill and does not need to be separately certified. The mill has to ensure that the crush is covered through a signed and enforceable agreement.		
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### 3.4 Non-Conformances Raised in this Assessment

As outlined, objective evidence was obtained separately for each of the RSPO Indicators and criterion for the mills and estates. The results for each indicator from each of the operational areas were evaluated to provide an assessment of conformity. A statement is provided for each of the RSPO indicators in order to support the findings of the assessment team. Details statement of non-conformance raised in this audit are summarized in Appendix 4.

### 3.5 Status of Non-Conformities Previously Identified

Status of non-conformities identified in previous assessment is summarized in Appendix 5.

### 3.6 Noteworthy Positive Comments

Univanich Palm Oil PCL is recognized as the first pioneer of the palm oil industry in Thailand for four decades. Modern agricultural practices was enhanced and managed by the collaboration with Unilever from Cambridge, UK in the last 15 years. All facilities and utilities of mill and estates were designed by the expert from Unilever before the construction in order to meet with the safety procedure of the company. Until the present, the facilities and utilities are well maintained in good conditions. In particular, all workplaces of TOPI mill and estates are very kept clean.

Recently, TOPI mill has been awarded ISO9001:2008 certification by TUV NORD Thailand. However, all estates supplied FFB to TOPI mill are excluded from ISO9001:2008 certification. Even though the estates own by Univanich Palm Oil PCL have never been certified for other standards such as ISO9001:2008, ISO14001 and others, the management system and operation processes are well established. Furthermore, computerized system has been provided for the traceability purposes. As Univanich Palm Oil PCL is the first pioneer of the palm oil industry in Thailand more than 4 decades, the communities located surrounding the mill and estates were established afterwards. Corporate Social Responsibility implemented by Univanich helps in maintaining the sustainable development with the local community adjacent with the mills and estates.

### 3.7 Issues Raised by Stakeholders


A list of stakeholders contacted and their feedback (if any) is included as Appendix 3.

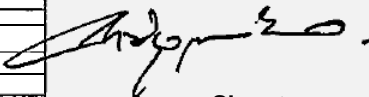
#### 4. CERTIFIED ORGANIZATION'S ACKNOWLEDGEMENT OF INTERNAL RESPONSIBILITY

##### 4.1 Assessment Conclusion and Recommendation

The audit team concludes that the organization  has /  has not established and maintained its management system in line with the **Roundtable on Sustainable Palm Oil (RSPO) Principles and Criteria for the Production of Sustainable Palm Oil 2013** and **RSPO Supply Chain Certification Standard (21 November 2014)** standard and demonstrated the ability of the system to systematically achieve agreed criterion & requirements.

##### 4.2 Acknowledgement of Internal Responsibility and Formal Sign-off Assessment Findings

<b>Signing by the Univanich Palm Oil Public Company Limited</b>	
I the undersigned, being the most senior relevant management representative of the operation seeking or holding certification, agree with the contents and audit findings as presented in this document . I also confirm:	
<ul style="list-style-type: none"> <li>• Acceptance of liability in execution of the instructions given.</li> <li>• That this company was made aware that the findings of the audit team are tentative; pending review and decision making by the duly designated representatives of Bureau Veritas Certifications.</li> <li>• That during the closing meeting all agenda items was covered by the Lead Auditor.</li> </ul>	
<b>Acknowledge by:</b>	
<b>Name</b>	Mr. Howard Hill
<b>Position</b>	General Manager
<b>Date</b>	5 December 2017
<b>Signature</b>	
	

<b>Signing by the Bureau Veritas Certification Hong Kong Ltd.</b>	
I the undersigned, being the Lead Auditor, confirm that this report is an accurate record of the findings and of the closing meeting. I further confirm that the summary of the findings as presented in this report are a true representation of the actual findings of the audit team.	
<b>Acknowledge by:</b>	
<b>Name</b>	Dr Chaiyaporn Seekao
<b>Position</b>	Product Manager
<b>Date</b>	5 December 2017
<b>Signature</b>	
	

## **APPENDIX 1: TIMEBOUND PLAN**

Univanich Palm Oil Public Company Limited does not have any mills and estates other than those being certified in this second surveillance assessment (ASA1). Therefore, there is no time bound plan for other units of mill and estates

## APPENDIX 2: ASSESSMENT PROGRAM

AUDIT				
Person	Date	Time	Place	Activity
<b>Day 1 (3.10.2017)</b>				
BV audit team	3.10.2017	13.00-13.30	TOPI mill	Opening meeting Find tune the understanding on the audit plan and briefings the RSPO audit process
BV audit team		13.30-14.30	TOPI mill	Site tour
CS		14.30-17.00	TOPI mill	<ul style="list-style-type: none"> <li>• Follow up previous NC based on the document</li> <li>• P 2 compliance in relevant laws and regulations</li> <li>• P.5.1 (Environmental impact assessment), 5.2 (HCV assessment), 5.3 (waste management), 5.6 (GHG) 5.6 (plan to reduce pollution, emission)</li> <li>• RSPO SCC</li> <li>• 6.10 (FFB mill gate price)</li> </ul>
SN		14.30-17.00	TOPI mill	<ul style="list-style-type: none"> <li>• P 1.1, 1.2 (Commitment to transparency)</li> <li>• P 2.2 and 2.3 (Right to use the land, customary right)</li> <li>• 5.4 (efficiency of fossil fuel use)</li> </ul>
PN		14.30-17.00	TOPI mill	<ul style="list-style-type: none"> <li>• P.3 (Commitment to long-term economic and financial viability)</li> <li>• P 4.1 (operating procedure for mill), 4.4 (water use and mill effluent) 4.7 (occupational health and safety), 4.8 (worker contractors)</li> <li>• P.8 (commitment for continuous improvement)</li> </ul>
BV Audit team		17.00-17.30	TOPI mill	Auditor meeting
		17.30		End of day 1
<b>Day 2 (4.10.2017)</b>				
SN + PN	4.10.2017	09.00-12.00	Governmental agencies	Interview and follow up with the governmental agencies concerned on the topics related to the standard
CS		09.00-12.00	TOPI mill	<ul style="list-style-type: none"> <li>• P.6.1 and 6.2 (SIA), P.6.3 (complaints and grievances), 6.5 (Pay and conditions for employee), 6.6 (Freedom of association for trade union), 6.7 (child labor), 6.8 (discrimination), 6.9 (sexual harassment), 6.10 (FFB mill gate price), 6.11 (contribution to local development), P6.12 (forced or trafficked labor), P6.13 (respect human rights)</li> <li>• RSPO SCC</li> </ul>



				<ul style="list-style-type: none"> <li>• 6.10 (FFB mill gate price)</li> </ul>
BV audit team		12.00-13.00		<p>Lunch time</p> <p>Auditor time for discussion</p>
CS		13.00-17.00	TOPI estate	<ul style="list-style-type: none"> <li>• P 1.1, 1.2 (Commitment to transparency)</li> <li>• P 2.1, 2.2, 2.3 (Compliance with applicable laws)</li> <li>• P 6.1 (SIA), P 6.2 (procedure on the consultation and communication with local communities), 6.3 (Dispute resolution), 6.4 (Compensation for loss of legal or customary right), 6.5 (Pay and conditions for employee), 6.6 (Freedom of association for trade union), 6.7 (child labor), 6.8 (discrimination), 6.9 (sexual harassment), 6.10 10 (FFB mill gate price), 6.11 (contribution to local development), P6.12 (forced or trafficked labor), P6.13 (respect human rights)</li> <li>• RSPO SCC</li> </ul>
SN		13.00-17.00	TOPI estate	<ul style="list-style-type: none"> <li>• P 3 (Commitment to long-term economic viability)</li> <li>• 4.2 (practices maintain soil fertility), 4.5 (IPM), 4.6 (pesticides)</li> <li>• P8 (continual improvement)</li> </ul>
PN		13.00-17.00	TOPI estate	<ul style="list-style-type: none"> <li>• P 4.1 (documented procedurs), 4.2 (practices maintain soil fertility), 4.4 (maintain the quality and availability of surface and ground water), 4.7 (OHS), 4.8 (training)</li> <li>• P 5.1 (Environmental impact assessment), 5.2 (HCV assessment), 5.6 (plan to reduce pollution, emission, GHG)</li> <li>• 5.3 (waste management), 5.4 (efficiency of fossil fuel use), 5.5 (use of fire for preparing land),</li> <li>• P7 (NPP)</li> </ul>
BV audit team		17.00-17.30	TOPI estate	Auditor meeting
		17.30		End of day 2
<b>Day 3 (5.10.2017)</b>				
BV audit team	5.10.2017	09.00-09.30	Siam Palm estate	<p>Opening meeting</p> <p>Find tune the understanding on the audit plan and briefings the RSPO audit process</p>
BV audit team		09.30-10.30	Siam Palm estate	Site tour + Follow up previous NC
CS		10.30-17.00	Siam Palm estate	<ul style="list-style-type: none"> <li>• P 1.1, 1.2 (Commitment to transparency)</li> <li>• P 2.1, 2.2, 2.3 (Compliance with applicable laws)</li> <li>• P 6.1 (SIA), P 6.2 (procedure on the consultation and communication with local communities), 6.3 (Dispute resolution), 6.4 (Compensation for loss of legal or customary right), 6.5 (Pay and conditions for employee), 6.6 (Freedom of association for trade union), 6.7 (child labor), 6.8 (discrimination), 6.9 (sexual</li> </ul>

				harassment), 6.10 10 (FFB mill gate price), 6.11 (contribution to local development), P6.12 (forced or trafficked labor), P6.13 (respect human rights) ● RSPO SCC
SN		10.30-17.00	Siam Palm estate	● P 3 (Commitment to long-term economic viability) ● 4.2 (practices maintain soil fertility), 4.5 (IPM), 4.6 (pesticides) ● P8 (continual improvement)
PN		10.30-17.00	Siam Palm estate	● P 4.1 (documented procedurs), 4.2 (practices maintain soil fertility), 4.4 (maintain the quality and availability of surface and ground water), 4.7 (OHS), 4.8 (training) ● P 5.1 (Environmental impact assessment), 5.2 (HCV assessment), 5.6 (plan to reduce pollution, emission, GHG) ● 5.3 (waste management), 5.4 (efficiency of fossil fuel use), 5.5 (use of fire for preparing land), ● P7 (NPP)
BV audit team		17.00-17.30		Auditor meeting
		17.30		End of day 3
<b>Day 4 (6.10.2017)</b>				
BV team	6.10.2017	09.00-11.00	TOPI estate	Continue remaining issue that could not cover on day 2
BV audit team		11.00-11.30	TOPI mill	Auditor time for discussion
BV Audit team		11.30-13.00	TOPI mill	Closing meeting
		13.00		End of audit

### APPENDIX 3: LIST OF STAKEHOLDERS CONTACTED

Contacted Smallholder	Feedback/Comments Received	Verification or Follow-Up Required by Clients / Bureau Veritas
Mr Thawee Khamnoo (community leader)	No comments	NA
Mr. Prayos Paklao (villager who lives nearby Nanua division)	No comments	NA
Mr Winai Chuachohokin (community leader at Siam Palm estate)	No comments	NA
Mr. Prajob Tharnrit (assistant community leader at Siam Palm estate)	No comments	NA
Mr. Sawat Noonakkaew (worker at TOPI mill)	No comments	NA
Mr. Suwit Inbua (ex-worker at TOPI mill)	No comments	NA
Mr. Somsak Choomsrijan (worker at TOPI mill)	No comments	NA
Mr Kuakool Pattanasing (subcontractor)	No comments	NA
<p><b>Summary:</b> Public consultation meeting with stakeholder has been conducted on the day 2 of the assessment schedule. In-depth interview was used to hear either negative or positive perspectives from stakeholder on POM and estate operation. Only positive comments were given by stakeholder during the discussion</p>		

## APPENDIX 4: NON CONFORMITIES RAISED IN THIS AUDIT

<b>NCR No.</b>	M01	<b>Date Issued</b>	6 October 2017
<b>Category</b>	Major	<b>Due Date</b>	5 December 2017
<b>Requirements/Indicators</b>	RSPO P&C generic version (2013) : 6.5.2		
<b>Statements of NC</b>	The company could not demonstrate the evidence of the implementation in compliance with the requirement of the standard		
<b>Objective Evidence(s)</b>	<p>There is no evidence showing that workers have been informed for the conditions of the deduction especially how many Thai Baht will be deducted for harvesting the unripe FFB (currently, 50 Baht/branch unripe FFB is deduction rate) and how many Baht will be deducted for paper used for recording on the field operation</p> <p>Site: Siam Palm Estate</p>		
<b>Root Cause Analysis</b>	Wage deduction for recording papers cost has been adopted in Siam Palm Estate for many years. This implementation was informed to harvesters in many meetings in the past. However, there were no any documented records, details of term and condition demonstrated that all harvesters have been informed under the concept of FPIC.		
<b>Corrective Action</b>	<p>The estate held the meeting with the workers on 2 November 2017 to inform following:</p> <ol style="list-style-type: none"> <li>1. The term and condition of deduction measures for harvesters who do harvesting non-achieving the standard especially unripe FFB in order to prevent harvesting unripe FFB. This condition is decided by the management of the company to be maintained. However, the intention is not to deduct those workers if they harvested unripe FFB, but to encourage them to aware on this rules of the company</li> <li>2. Dismissal of recording paper cost has been noticed on estate's notice board and informed in the meeting. This practice is decided to remove by the management of the company</li> </ol>		
<b>Preventive Action</b>	Any change that might be affected to the benefit and welfare of workers must be reviewed by the management in order to ensure that it is always met with the Thai labor laws. For those new recruited harvesters, they must be informed those term and condition before start working		
<b>Verification of Corrective Action(s)</b>	The meeting between estate manager and workers was held to inform the updated decision on this non-conformity. For the deduction of unripe FFB, the management decided to maintain and term and conditions were agreed by workers. For deduction of record paper, the management decided to stop. To prevent reoccurrence of the same problem, all changes that might be affected to the benefit and welfare of workers is set to be passed for further review by the management in order to ensure that it is always met with the Thai labor laws.		
<b>Status</b>	Closed	<b>Date of Closure</b>	6 November 2017

<b>NCR No.</b>	M02	<b>Date Issued</b>	6 October 2017
<b>Category</b>	Major	<b>Due Date</b>	5 December 2017
<b>Requirements/Indicators</b>	RSPO P&C generic version (2013) : 6.1.1		
<b>Statements of NC</b>	The company could not demonstrate the evidence of the implementation in compliance with the requirement of the standard		
<b>Objective Evidence(s)</b>	<p>In the past year, there are some changes on mill operation/practice that may influence to the social impact. However, reassessment of the impacts on the social has not been carried out.</p> <p>Site: TOPI mill</p>		
<b>Root Cause Analysis</b>	The Environment Impact Assessment (EIA) Report and mitigation plans for all factories and estates have been developed since last 5 years. Managements of the company who responsible on this assessment misunderstood that there was not necessary to revise the EIA report even though some change related to mill operation were presented		
<b>Corrective Action</b>	Social Impact Assessment has now been conducted under the participation with the stakeholder who named in the annex of the report on November 2017. The methodology used for this assessment composes of open discussion, in-depth interview, and questionnaire survey. The result of SIA showed that only concern on accident at the entrance gate of the TOPI mill is raised by the stakeholder. To combat with this concern, mitigation plan was developed among the stakeholder during the assessment.		
<b>Preventive Action</b>	Management plan was created to remind the management of the company to aware tasks in the next 2 years		
<b>Verification of Corrective Action(s)</b>	The SIA has now been conducted under the participatory approach with the stakeholder. The identified impact is only the accident caused by hauler of FFB transportation. The mitigation plan was developed and agreed by the stakeholder		
<b>Status</b>	Closed	<b>Date of Closure</b>	5 December 2017

<b>NCR No.</b>	m01	<b>Date Issued</b>	6 October 2017
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	RSPO P&C generic version (2013) : 2.1.3		
<b>Statements of NC</b>	The company could not demonstrate the evidence of the implementation to address the compliance of the standard		
<b>Objective Evidence(s)</b>	<p>According to the procedure for identification and monitoring of compliance of the relevant laws and regulation PV2 revision 00 dated 1 July 2012, verification whether the implementation is in compliance with the laws and regulation is required immediately when there is change in the law. However, latest evaluation was carried out 27 May 2016, resulting that some new laws and regulation, even though it could be demonstrated its update and could be demonstrated its compliance during the surveillance assessment, have not been verified for compliance before the surveillance assessment</p> <p>Site: TOPI mill</p>		

<b>Root Cause Analysis</b>	The law and regulation were delay updated by responsible person before RSPO surveillance in September 2017 will take place. So the latest law and regulation lists were not updated since 2016 when there is a big change on some laws at the beginning of year 2017		
<b>Corrective Action</b>	The system especially the source from the web-master who will provide the database of the laws and regulations will be updated by December 2017 according to the timetable. However, this implementation is delayed and will complete again in the first quarter of 2018		
<b>Preventive Action</b>	The management plan for RSPO activities was established especially plan for reviewing in order to prevent the reoccurrence of the same problem		
<b>Verification of Corrective Action(s)</b>	The action plans were set. However, there is no evidence of operation available to support the closure of the non-conformity. Therefore, this minor non-conformity is still open and will be monitored its effectiveness in the next surveillance assessment		
<b>Status</b>	Open	<b>Date of Closure</b>	will be monitored its effectiveness in the next surveillance assessment

<b>NCR No.</b>	m02	<b>Date Issued</b>	28 September 2017
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	RSPO P&C generic version (2013) : 4.4.3		
<b>Statements of NC</b>	The company didn't demonstrate the evidence of the implementation to address the compliance of the standard		
<b>Objective Evidence(s)</b>	<p>Even though the level of Biochemical Oxygen Demand (BOD) measured from the last wastewater treatment pond is dramatically lower than the level of BOD in the first wastewater treatment pond as well as POME after the treatment has been used for irrigation on the plots at TOPI mill, level of BOD in the last 6 months are not in compliance with the national standard</p> <p>Site : TOPI mill</p>		
<b>Root Cause Analysis</b>	The wastewater treatment plant does not discharge wastewater from the final pond into the public river. Wastewater from the final pond was used in the irrigation system in company's estate. So, the factory manager understood that it is not required the level of BOD and COD should be compliance with the national standard all the time (monthly basis)		
<b>Corrective Action</b>	The company is now under the process to study the techniques to reduce BOD level in the last wastewater treatment pond in order to ensure that BOD level will meet with the national standard		
<b>Preventive Action</b>	The management plan for RSPO activities was established especially plan for reviewing in order to prevent the reoccurrence of the same problem		
<b>Verification of Corrective Action(s)</b>	The action plans were set. The process is under the study and approval for the costs of treatment. However, there is no evidence of operation available to support the closure of the non-conformity. Therefore, this minor non-conformity is still open and will be monitored its effectiveness in the next surveillance assessment		
<b>Status</b>	Open	<b>Date of Closure</b>	will be monitored its effectiveness in the next

			surveillance assessment
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<b>NCR No.</b>	m03	<b>Date Issued</b>	28 September 2017
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	RSPO P&C generic version (2013) : 6.1.4		
<b>Statements of NC</b>	The company didn't demonstrate the evidence of the implementation to address the compliance of the standard		
<b>Objective Evidence(s)</b>	According to the major non-conformity raised against indicator 6.1.1 as mentioned above, there is also no evidence showing that plan to minimize the social impacts resulting from the change of mill operation/practice has been reviewed under the participation of the affected parties  Site : TOPI mill		
<b>Root Cause Analysis</b>	Since there is no re-assessment of the social impact, the review of the mitigation plan set since 2012 is also not carried out		
<b>Corrective Action</b>	According to the result of social Impact Assessment that has now been conducted under the participation with the stakeholder on November 2017, identified impact related to accident at the entrance gate to TOPI mill is required to set mitigation plan. To combat with this concern, mitigation plan was developed among the stakeholder during the assessment.		
<b>Preventive Action</b>	Management plan was created to remind the management of the company to aware tasks in the next 2 years		
<b>Verification of Corrective Action(s)</b>	The SIA has now been conducted under the participatory approach with the stakeholder. The identified impact is only the accident caused by hauler of FFB transportation. The mitigation plan was developed and agreed by the stakeholder		
<b>Status</b>	Closed	<b>Date of Closure</b>	5 December 2017

<b>NCR No.</b>	M03	<b>Date Issued</b>	6 October 2017
<b>Category</b>	Major	<b>Due Date</b>	5 November 2017
<b>Requirements/Indicators</b>	RSPO SCC (November 2014) : E.2.2		
<b>Statements of NC</b>	The company didn't demonstrate the evidence of the implementation to address the compliance of the standard		
<b>Objective Evidence(s)</b>	There are several transaction and/or registration of selling CSPO through RSPO PalmTrace. Total of CSPO sold through PalmTrace is 7433.84 tons, while total CSPO sold using manual where RSPO claim (MB) has been indicated on invoice is 7739.61 tons. Therefore, 355.77 tons of CSPO sold with RSPO claim have not been registered through RSPO PalmTrace		
<b>Root Cause Analysis</b>	Comparing to the number of invoice issued for selling RSPO certified palm oil (more than 200 invoices), only few invoices have not registered in PalmTrace by		

	person in charge. It was human error		
<b>Corrective Action</b>	Volume of CSPO that has not registered in PalmTrace previously has now been traded through RSPO PalmTrace. Client who missed to receive this credit has also now been informed by commercial manager		
<b>Preventive Action</b>	To combat and prevent reoccurrence of this human error, the verification by another person for each invoice and each registration in PalmTrace was set. The commercial manager will be responsible on this. The record of verification is now set by using PalmTrace log		
<b>Verification of Corrective Action(s)</b>	355.77 tons of CSPO sold with RSPO claim have now been registered through RSPO PalmTrace to their client. The verification system is set to prevent reoccurrence of the same problem caused by human error. Each invoice and each registration in PalmTrace are required to crosscheck by commercial manager. The log of verification is present to close the NC		
<b>Status</b>	Closed	<b>Date of Closure</b>	1 December 2017



## APPENDIX 5: NON CONFORMITIES IDENTIFIED PREVIOUSLY

<b>NCR No.</b>	m01	<b>Date Issued</b>	30.6.2016
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	RSPO P&C Generic Version (2013) Indicator 4.4.1		
<b>Statements of NCR</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Objective Evidence(s)</b>	<p>Even though water supplied by the mill for workers and suppliers is claimed for drinking purpose, obviously that it is not clean/safe drinking water and sanitation. No test report was available to prove it safe to be used as drinking water</p> <p>Location : TOPI mill</p>		
<b>Root Cause Analysis</b>	TOPI mill considered that the quality between soften water and drinking water is the same even though soften water has never been tested its quality whether it is suitable for drinking purpose. That's reason why the mill made the label at water faucet to communicate suppliers and workers that this water can be used as drinking water		
<b>Corrective Action</b>	Label on soften water faucet was changed from "for drinking" to "soften water for use only or not for drinking" to prevent misunderstanding of workers		
<b>Preventive Action</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Verification of Corrective Action(s)</b>	To prevent misunderstanding on the quality of the soften water whether it is suitable as drinking water, the sign for communication with workers and suppliers was changed from "drinking water" to "tap water for use only or not for drinking".		
<b>Status</b>	Closed	<b>Date of Closure</b>	28.8.2016

<b>NCR No.</b>	m02	<b>Date Issued</b>	30.6.2016
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	RSPO P&C Generic Version (2013) Indicator 5.3.3		
<b>Statements of NCR</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Objective Evidence(s)</b>	<p>Here below are non-conformity details regarding the waste management:</p> <ul style="list-style-type: none"> <li>• Secondary containment to prevent the leakage of used engine oil is broken and could not prevent the contamination to the environment (both TOPI mill and Nanue Division)</li> <li>• There were no measures for dealing with leakage of used engine oil and oil (both TOPI mill and Nanue Division)</li> <li>• There was evidence of erosion of wastes from by-product into environment (TOPI mill)</li> </ul> <p>Location : TOPI mill and Nanue Division of Siam Palm estate</p>		
<b>Root Cause Analysis</b>	1. Waste management procedure for TOPI mill and Nanau Division was not covered how to prevent the contamination of used oil to the environment. Therefore, the		

	measures for dealing with leakage was not developed and implemented properly 2. Workers who operate the PK crushing mill didn't understand the procedure of by-product (dirty palm kernel cake) management		
<b>Corrective Action</b>	<ol style="list-style-type: none"> <li>1. Waste and chemical management procedure code TOPI-P-1-001 was recently revised to manage wastes generated by the mill and estate. Waste management and disposal methods were guided in the procedure</li> <li>2. Secondary containment especially at Nanue Division was completely rebuilt to prevent the leakage of used engine oils to the environment</li> <li>3. To deal with used engine oil, sump pits with absorbent material (sand) have been constructed to prevent the leakage of used oil or fuel at both TOPI mill and Nanue Division</li> <li>4. Procedure for dirty cake from the pressure leaf filter which could not be sold out has been communicated to operators. The cake collected at the storage with shelter will be used for manure in estates</li> </ol>		
<b>Preventive Action</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Verification of Corrective Action(s)</b>	<ol style="list-style-type: none"> <li>1. Waste and chemical management code TOPI-P-1-001 was revised to complete the storage and disposal management of wastes especially used oil and lubricants</li> <li>2. To complete the prevention of used oil leakage, secondary containment was completely rebuilt. Sump pits with absorbent material especially sand was covered on the containment once again as double measure to prevent the spillage of used oil and lubricants</li> </ol>		
<b>Status</b>	Closed	<b>Date of Closure</b>	28.8.2016

<b>NCR No.</b>	M01	<b>Date Issued</b>	30.6.2016
<b>Category</b>	Major	<b>Due Date</b>	29.8.2016
<b>Requirements/Indicators</b>	RSPO P&C Generic Version (2013) Indicator 4.6.11		
<b>Statements of NCR</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Objective Evidence(s)</b>	<p>Annual health examination was provided by the company for all workers, but sprayers who work with pesticide at the estate were not examined in specific health effect caused by pesticide operation</p> <p>Location : Nanue Division of Siam Palm estate</p>		
<b>Root Cause Analysis</b>	Specific health examination for chemical sprayers could not be provided by local hospital service. While specific health examination, for example Cholinesterase, could be only serviced by the provincial hospital, but the company has never contacted before		
<b>Corrective Action</b>	Univanich invited nurses and medical professional from Krabi Hospital to conduct the Cholinesterase testing for all chemical sprayers of Nanau division and other estates on 1 August 2016 at research centre, TOPI mill. Results of health examination were determined using a risk classification system which divided into 3 health status (normal, likely to be affected by chemical, and abnormal). Results from cholinesterase testing to 87 sprayers showed that more than 90% of total sprayers are likely to be affected by chemical and in abnormal condition. For those sprayers who are in abnormal condition are required to rotate to work without using chemical		
<b>Preventive Action</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Verification of Corrective Action(s)</b>	Even though annual health examination was provided by the company for all workers, for those sprayers are required to test Cholinesterase in their bloods. Latest sprayer's health screening conducted by nurses and medical professional from Krabi Hospital on 1 August		

	2016 showed that majority of sprayers are exposed by chemical. For 8 sprayers who are in abnormal condition are required to rotate to work in any activity without having to use chemical pesticide. Job rotation work for those sprayers has been made. Their cholinesterase level in bloods will be monitored in the next year to seek whether it will be reduced		
<b>Status</b>	Closed	<b>Date of Closure</b>	24.8.2016

<b>NCR No.</b>	M02	<b>Date Issued</b>	30.6.2016
<b>Category</b>	Major	<b>Due Date</b>	29.8.2016
<b>Requirements/Indicators</b>	RSPO P&C Generic Version (2013) Indicator 4.6.5		
<b>Statements of NCR</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Objective Evidence(s)</b>	<p>Safety glasses for chemical splash protection which is listed in MSDS and is required as one of personal safety equipment by the estate are not provided and used by the chemical sprayer</p> <p>Location : Nanue Division of Siam Palm estate</p>		
<b>Root Cause Analysis</b>	PPE provided for chemical sprayers did not relate to the recommended list of PPE in MSDS and own estate's instruction		
<b>Corrective Action</b>	Estate manager will be responsible person to review the list of PPE provided in MSDS for each chemical. To respond this non-conformity, safety glasses for protection have been provided for chemical sprayers		
<b>Preventive Action</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Verification of Corrective Action(s)</b>	The estate manager was assigned to review the list of PPE recommended by the agrochemical supplier when purchasing new chemical. To respond this non-conformity, safety glasses for protection have been provided for chemical sprayers		
<b>Status</b>	Closed	<b>Date of Closure</b>	28.8.2016

<b>NCR No.</b>	M03	<b>Date Issued</b>	30.6.2016
<b>Category</b>	Major	<b>Due Date</b>	29.8.2016
<b>Requirements/Indicators</b>	RSPO P&C Generic Version (2013) Indicator 4.6.1		
<b>Statements of NCR</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Objective Evidence(s)</b>	<p>Justification of pesticide to control weed addressed in procedure no. 4.3 is only required at the estate. But there is evidence that pesticide is applied at the worker housing area.</p> <p>Location : Chean Vanich estate</p>		

<b>Root Cause Analysis</b>	There was no documentation to communicate with staffs/workers that spraying herbicide around worker housing compound was prohibited		
<b>Corrective Action</b>	Sign boards “no chemical use in the area” were installed around the area to boost the awareness among workers. Once the notice on chemical spray in housing area was prohibited has been published, this rules become effective since July 8, 2016		
<b>Preventive Action</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Verification of Corrective Action(s)</b>	Using and spraying chemical and/or herbicide are prohibited. This rules become effective since July 8, 2016. Sign boards “no chemical use in the area” were installed around the housing area to make awareness of the workers		
<b>Status</b>	Closed	<b>Date of Closure</b>	28.8.2016

<b>NCR No.</b>	M04	<b>Date Issued</b>	30.6.2016
<b>Category</b>	Major	<b>Due Date</b>	29.8.2016
<b>Requirements/Indicators</b>	RSPO P&C Generic Version (2013) Indicator 4.7.2		
<b>Statements of NCR</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Objective Evidence(s)</b>	<p>As working in the heavy rain where is likely to cause health and safety issue is not defined in the risk assessment (procedure no. 4.52), consequently, workers have been assigned to work under this situation</p> <p>Location : Chean Vanich estate</p>		
<b>Root Cause Analysis</b>	Since working in the rain is the common practice and work assignment is depend on headman’s supervision, therefore, working in the rain was not taken into account in identifying and assessing the risk		
<b>Corrective Action</b>	Risk assessment on operation where health and safety is an issue was revised to include working in the heavy rain. Worker will be assigned to work indoor during heavier rainfall days. Announcement on safety guidance for working in heavy rainfall days was released by Chean Vanich estate manager on 1 August 2016 to communicate with the workers. This announcement was posted on the estate’s notice board. Recently, during the heavy rainfall day, workers were assigned to work indoor for soil preparation		
<b>Preventive Action</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Verification of Corrective Action(s)</b>	Risk assessment including working in heavy rainfall days was revised. Chean Vanich estate also released safety guidance for working in heavy rainfall days. This guidance was communicated with workers through posting on the estate’s notice board. To demonstrate that this guidance is actually being implemented, workers were recently assigned by farm supervisor to work indoor for soil preparation		
<b>Status</b>	Closed	<b>Date of Closure</b>	28.8.2016

<b>NCR No.</b>	M05	<b>Date Issued</b>	30.6.2016
<b>Category</b>	Major	<b>Due Date</b>	29.8.2016
<b>Requirements/Indicators</b>	RSPO P&C Generic Version (2013) Indicator 2.1.1		
<b>Statements of NCR</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		

<b>Objective Evidence(s)</b>	<p>There are no evidences of compliance with the following legal requirements;</p> <ol style="list-style-type: none"> <li>1. No confined space operation's training certificate to operator of subcontractor as required by Ministry of Labor's Regulation B.E. 2547 regarding works in confined space. (Refer to work permit dated June 14th, 2016 of TOPI Mill).</li> <li>2. No Welfare Committee at Chean Vanich Estate as required by Labor Protection Act B.E. 2541 where the workers more than 50 persons</li> </ol>		
<b>Root Cause Analysis</b>	<ol style="list-style-type: none"> <li>1. Company didn't realize that even operator of subcontractor are required to be trained when carrying out tasks in confined space</li> <li>2. There were the Health and Safety Committee in each estate to coordinate with employees and the company in safety, welfare, housing and water supply issues. However, there was no the specific welfare committee to responsible for specific welfare issues</li> </ol>		
<b>Corrective Action</b>	<ol style="list-style-type: none"> <li>1. Operators of the subcontractor and worker of the mill have been trained in the subject of "confined space training" by Southern Safety Co., Ltd who has a certificate proving their competency. This training was held on Research Centre of TOPI mill during August 25-27, 2016.</li> <li>2. Welfare committee of Chean Vanich estate has been set up by election. The election was carried out on 14 July 2016. List of welfare committee composes of Mr. Kavinwat Thitinonworachot, Mr. Somchai Phontawee, Mrs. Somsri Noosorn, Mr. Chalaew Nookiang, Mr. Thaworn Tongkhampew, Mrs. Wanlee Jamsakul, Mrs. Umawan Wongnoi.</li> <li>3. Welfare committee of TOPI mill (from total workers of 129 persons) has been set up by election. However, there are volunteer committee at 5 which met with the minimum number of the committees. SO, no need for electin. Then, the chief of engineering (Khun Phiphit) signed for the nomination on 24 August 2017. Meeting was carried out on 29 August 2017.</li> </ol>		
<b>Preventive Action</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Verification of Corrective Action(s)</b>	<ol style="list-style-type: none"> <li>1. Not only operators of the subcontractor but also worker of the mill have been trained in the subject of "confined space training" by Southern Safety Co., Ltd who has a certificate proving their competency. This training was held on Research Centre of TOPI mill during August 25-27, 2016.</li> <li>2. Election was used to form the welfare committee. The composition of the welfare committee consists of Chean Vanich estate manager and representative of employee in Chean Vanich estate. Therefore, welfare concern can be reported to the members of committee directly</li> </ol>		
<b>Status</b>	Closed	<b>Date of Closure</b>	28.8.2016

<b>NCR No.</b>	M06	<b>Date Issued</b>	30.6.2016
<b>Category</b>	Major	<b>Due Date</b>	29.8.2016
<b>Requirements/Indicators</b>	RSPO P&C Generic Version (2013) Indicator 6.8.1		
<b>Statements of NCR</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Objective Evidence(s)</b>	Discrimination observed at job advertisement posted in internet media, age of 23-30 and Thai Nationality are mentioned to Management Trainees (Engineering)		
<b>Root Cause Analysis</b>	The job advertisement posted to recruit Estate and Engineer Management Trainee in June was copied from the previous advertisement which included age and nationality requirements		
<b>Corrective Action</b>	Recently, age and nationality are now removed from the job vacancy advertisement in internet media.		
<b>Preventive Action</b>	There is no statement of NCR provided in the previous audit report due to the template of the		

	public summary report		
<b>Verification of Corrective Action(s)</b>	Verification on the current job advertisement in the internet media found that the previous advertisement seen during the audit is now removed. The template for next job advertisement was also developed		
<b>Status</b>	Closed	<b>Date of Closure</b>	28.8.2016

<b>NCR No.</b>	M07	<b>Date Issued</b>	30.6.2016
<b>Category</b>	Major	<b>Due Date</b>	29.8.2016
<b>Requirements/Indicators</b>	RSPO P&C Generic Version (2013) Indicator 6.9.1		
<b>Statements of NCR</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Objective Evidence(s)</b>	From interviewed with female workers at Chean Vanich Estate, a Gender Committee to address area of concern to women has not been effectively communicated to the workers. So they do not know the mechanism to be in place.		
<b>Root Cause Analysis</b>	There was no clear on the mechanism to elect the gender committee. Therefore, some workers didn't aware who were a gender committees and also didn't aware the mechanism to communicate the concerns relating women		
<b>Corrective Action</b>	<p>Here below are the corrective actions to respond this non-conformity</p> <ul style="list-style-type: none"> <li>• Gender committee election was organized and facilitated by Chean Vanich estate manager. Gender committee election was held on 14 July 2016. There were totally seven gender committee resulted from this election (Ampha Tongmanee, Somsri Noosorn, Suladda Kaewsaeen, Arjin Kongjam, Wanlee Jamsakul, Aumawan Wongnoi and Dungta Palee)</li> <li>• The member election process prior the election and name list of the Committee's member have been posted on the Estate's notice board.</li> <li>• Meetings of the Committee and female workers of the estate and nursery have been organised on 26 August 2016 to introduce the gender committee, mechanism process for informing the concern relating to women, and also would be taken into account as the hearing process</li> </ul>		
<b>Preventive Action</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Verification of Corrective Action(s)</b>	Before the election gender committee, workers were informed the process for election and candidates for gender committee. Gender committee election was held on 14 July 2016. There are totally 7 gender committee resulted from the election. Meetings of the Committee and female workers of the estate and nursery have been organised on 26 August 2016 to introduce the gender committee, mechanism process for informing the concern relating to women, and also would be taken into account as the hearing process		
<b>Status</b>	Closed	<b>Date of Closure</b>	28.8.2016

<b>NCR No.</b>	m03	<b>Date Issued</b>	30.6.2016
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	RSPO P&C Generic Version (2013) Indicator 5.3.3		
<b>Statements of NCR</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		

<b>Objective Evidence(s)</b>	There was no evidence of monitoring and action taken on their own harvesting standard released by the Plantation Manager (Dr. Palat) dated 31/5/2000. During the visit at Block 10 of Nanua division of Siam Palm estate, a significant number of FFB with less than 10 loose fruits sockets were harvested		
<b>Root Cause Analysis</b>	<ol style="list-style-type: none"> <li>1. Harvester especially cutters have not been trained about the harvesting standard which was released by the Plantation Manager</li> <li>2. There was no monitoring system to check for daily FFB quality and actions that need to be taken for any unripe bunch harvested</li> </ol>		
<b>Corrective Action</b>	<ol style="list-style-type: none"> <li>1. Harvesters at Nanua Division have been trained on harvesting standard to fulfil their harvesting skills and to create their awareness on FFB quality on 18 July 2016</li> <li>2. Monitoring system for quality of harvested FFB has been set. Headman for harvesting activity was assigned to monitor the daily FFB quality. They were asked to submit the result of monitoring to estate manager regularly</li> </ol>		
<b>Preventive Action</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Verification of Corrective Action(s)</b>	<ol style="list-style-type: none"> <li>1. Harvesters have been retrained on harvesting standard on 18 July 2016.</li> <li>2. Record for checking the quality of harvested FFB was created and being used by headman since 4 August 2016 to control the quality of FFB according to the harvesting standard</li> </ol>		
<b>Status</b>	Closed	<b>Date of Closure</b>	28.8.2016

<b>NCR No.</b>	M08	<b>Date Issued</b>	30.6.2016
<b>Category</b>	Major	<b>Due Date</b>	29.8.2016
<b>Requirements/Indicators</b>	RSPO P&C Generic Version (2013) Indicator 5.3.1		
<b>Statements of NCR</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Objective Evidence(s)</b>	There was no evidence of documented identification and disposal method of waste products at Nanua division of Siam Palm estate and Chean Vanich estate.		
<b>Root Cause Analysis</b>	There was a guideline in Univanich's RSPO certification manual used to recommend all estates should identify wastes and set disposal methods. However, this guideline was not used by Nanau division and Chean Vanich estate for identification and establishment of disposal method of waste products.		
<b>Corrective Action</b>	Waste product disposal plans and management procedures that have been set up by each estate manager on 16 August 2016. Both estate have started operation to dispose the wastes according to the written disposal plan		
<b>Preventive Action</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Verification of Corrective Action(s)</b>	Even though each estate generates waste differently from most other types of activities, waste product disposal plans and management procedures that have been set up by each estate manager on 16 August 2016 showed that identification and establishment disposal method of wastes are the same		
<b>Status</b>	Closed	<b>Date of Closure</b>	24.8.2016

<b>NCR No.</b>	M09	<b>Date Issued</b>	30.6.2016
<b>Category</b>	Major	<b>Due Date</b>	29.8.2016
<b>Requirements/Indicators</b>	RSPO SCC (2014) Indicator E.4.2		

<b>Statements of NCR</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Objective Evidence(s)</b>	There is no documented procedure to inform the CB immediately if there is a projected overproduction of certified tonnage		
<b>Root Cause Analysis</b>	Recently, the responsible person to inform CB about the overproduction of certified FFB tonnage was resigned. Therefore, there was an incompletely communication between the previous responsible person and new commercial manager on this concern. Moreover, the system to inform CB about the overproduction was disappeared		
<b>Corrective Action</b>	The system for inform the CB immediately if there is a projected overproduction of certified FFB tonnage was re-established on 8 August 2016. The responsible person who will inform the CB on this topic is the commercial manager. Daily FFB received from the concern estates (own estates) at the mill will be reported to commercial manager daily		
<b>Preventive Action</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Verification of Corrective Action(s)</b>	The company re-established the system for inform the CB immediately if there is a projected overproduction of certified FFB tonnage. The responsible person who will inform the CB on this topic is the same person for monitoring the mass balance		
<b>Status</b>	Closed	<b>Date of Closure</b>	28.8.2016

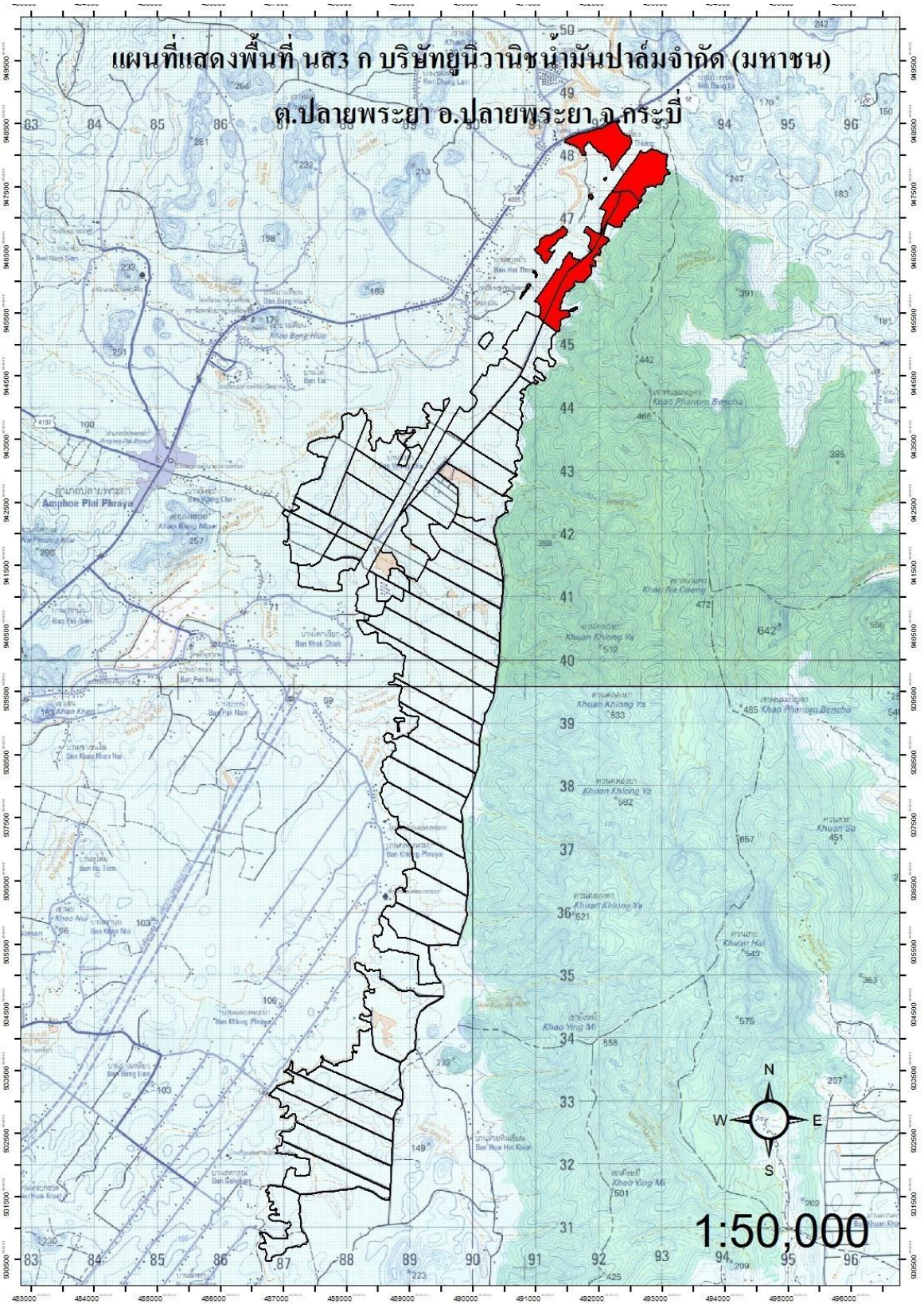
<b>NCR No.</b>	M10	<b>Date Issued</b>	30.6.2016
<b>Category</b>	Major	<b>Due Date</b>	29.8.2016
<b>Requirements/Indicators</b>	RSPO SCC (2014) Indicator E.5.1		
<b>Statements of NCR</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Objective Evidence(s)</b>	Obviously that method to monitor the balance of all receipts of RSPO certified FFB and deliveries of RSPO certified CPO, therefore, the volume of CPO delivered as RSPO claim was greater than the actual of RSPO certified CPO from the credit or when deduct from the conversion ratio at 2,927 tons (Total amount of FFB received after date of certification by previous CB is 46,320 tons)		
<b>Root Cause Analysis</b>	Recently, the responsible person mass balance between certified inputs and certified outputs was resigned. Moreover, there was an incompletely communication between the previous responsible person and new commercial manager on this concern. It is main reason why RSPO certified CPO sold with RSPO claim was greater than the credit		
<b>Corrective Action</b>	New mass balance monitoring system was established. Certain weight of FFB supplied by their supply bases (Chean Vanich estate, Siam Palm estate and TOPI estate) has been collecting to match the sales of equal volumes of RSPO certified CPO.		
<b>Preventive Action</b>	There is no statement of NCR provided in the previous audit report due to the template of the public summary report		
<b>Verification of Corrective Action(s)</b>	Mass balance monitoring system between the quantity of RSPO FFB supplied by supply bases and the quantity of RSPO material sold (CPO and PK) was established. Certain weight of FFB supplied by their supply bases has now been collecting to match the sales of equal volumes of RSPO certified CPO since 1 July 2016. However, the certain weight of FFB could not match the volume of CPO sold with RSPO claim. Therefore, the FFB will be continue collecting until it is match the sale of equal volume CPO sold		
<b>Status</b>	Closed	<b>Date of Closure</b>	28.8.2016



### APPENDIX 6: LOCATION MAPS OF THE CERTIFICATION UNIT



Figure 1 Overall location of mills and estates of Univanich including TOPI mill and its supply base



**Figure 2 Map of Chean Vanich Estate (a) map showing different land ownership type (plot with red shape is referred to as areas with land deed, while plot with white shape is referred to as areas where concession expired)**

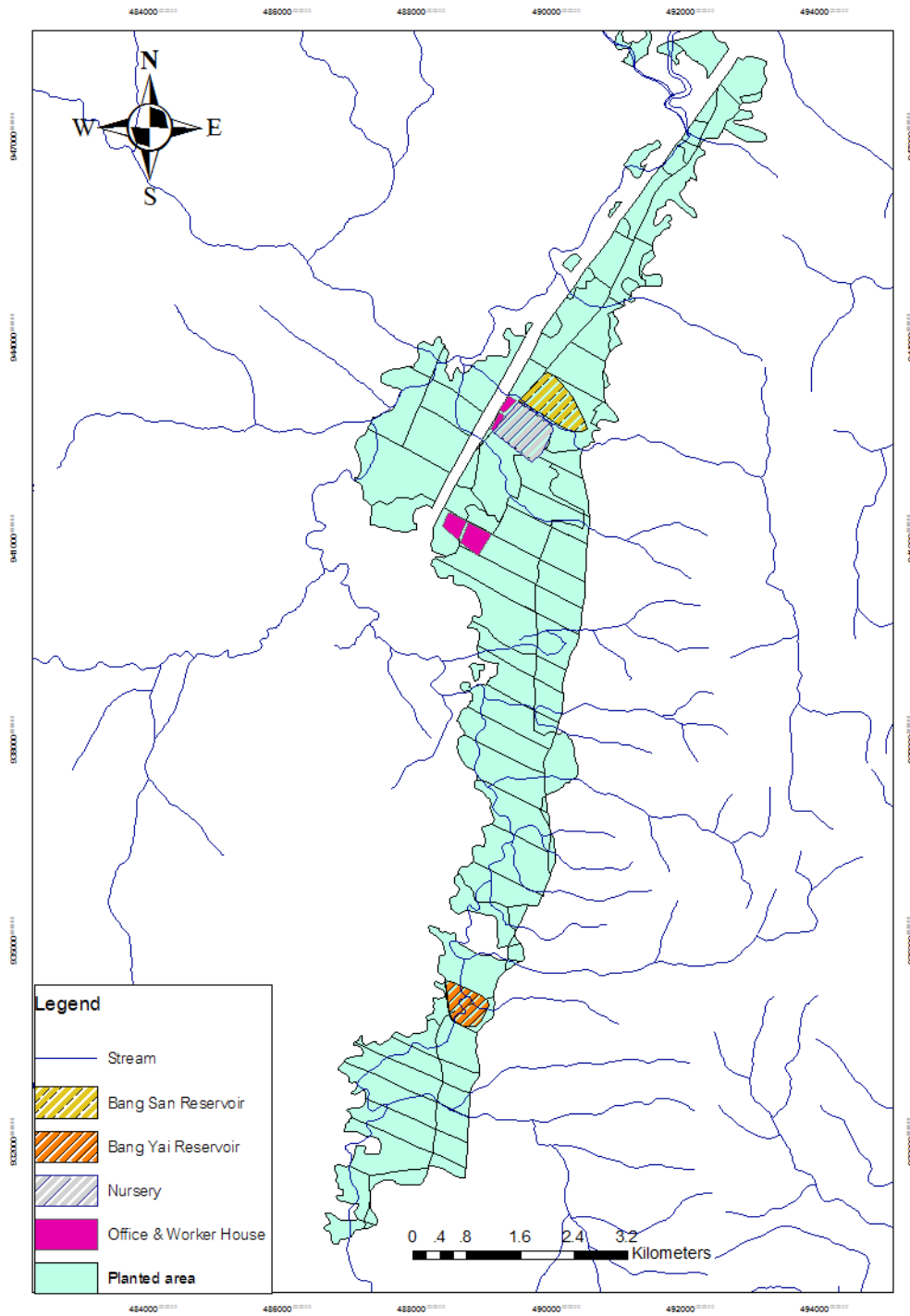


Figure 3 Map of Chean Vanich Estate (b) map showing the land use types within the estate

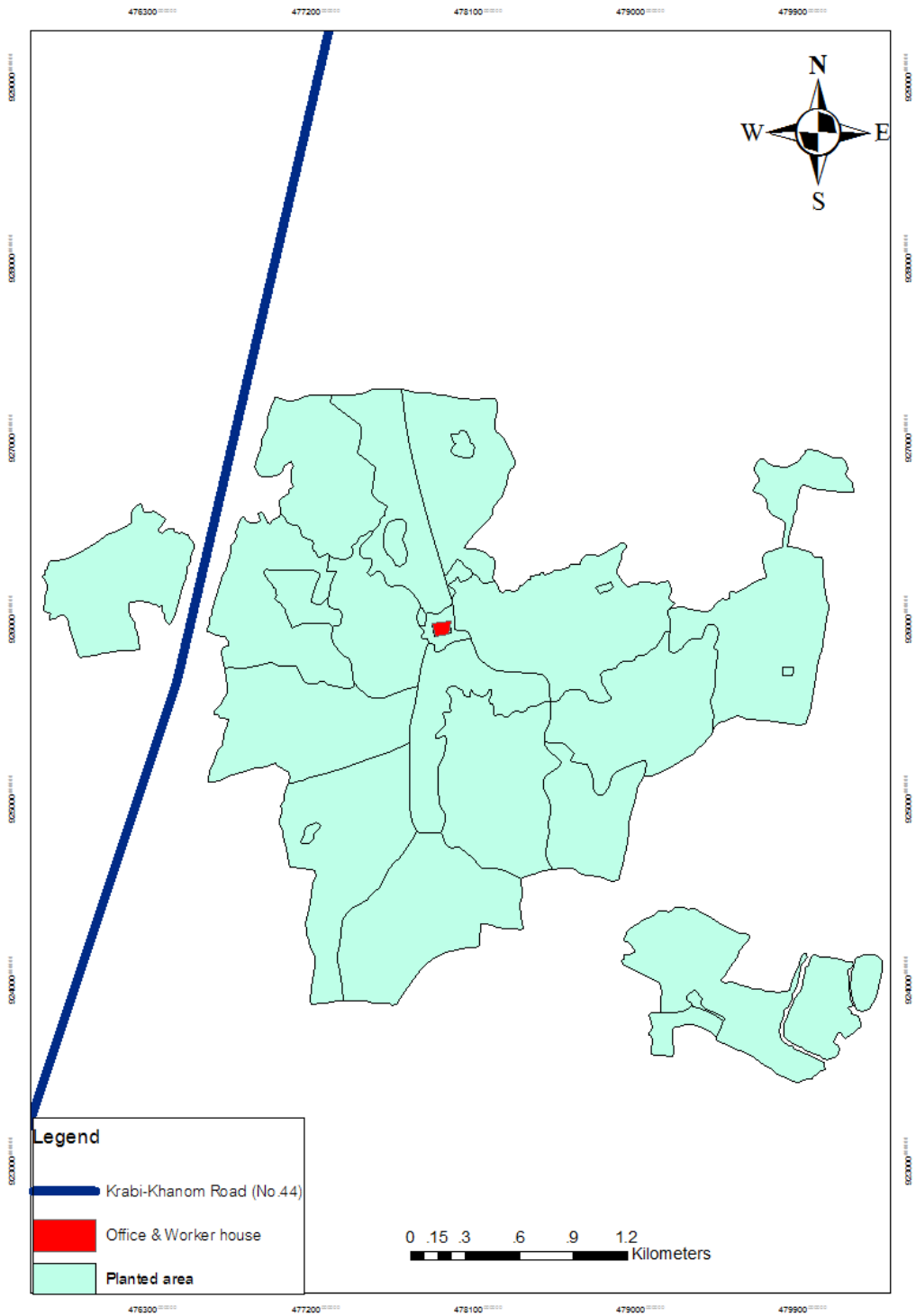
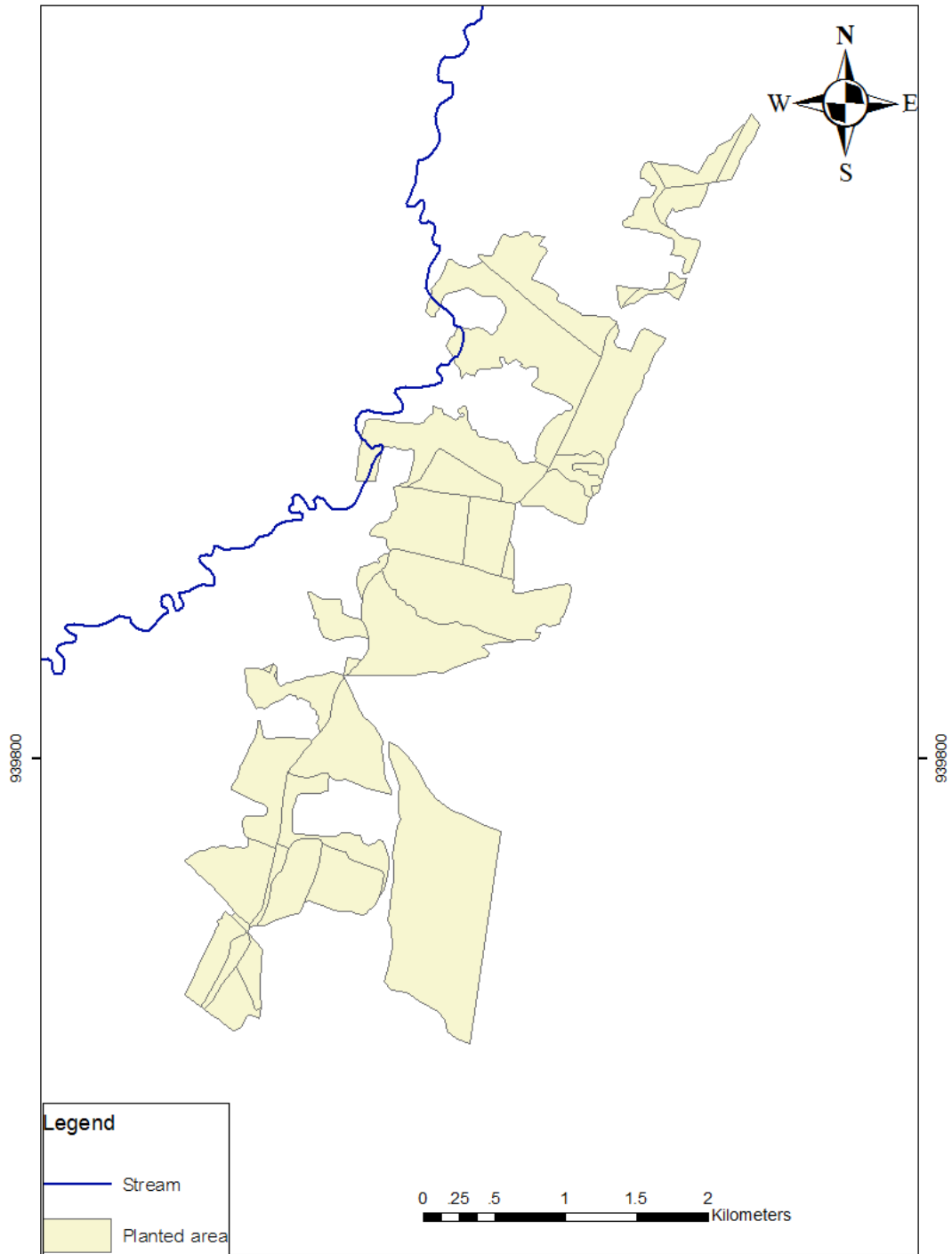
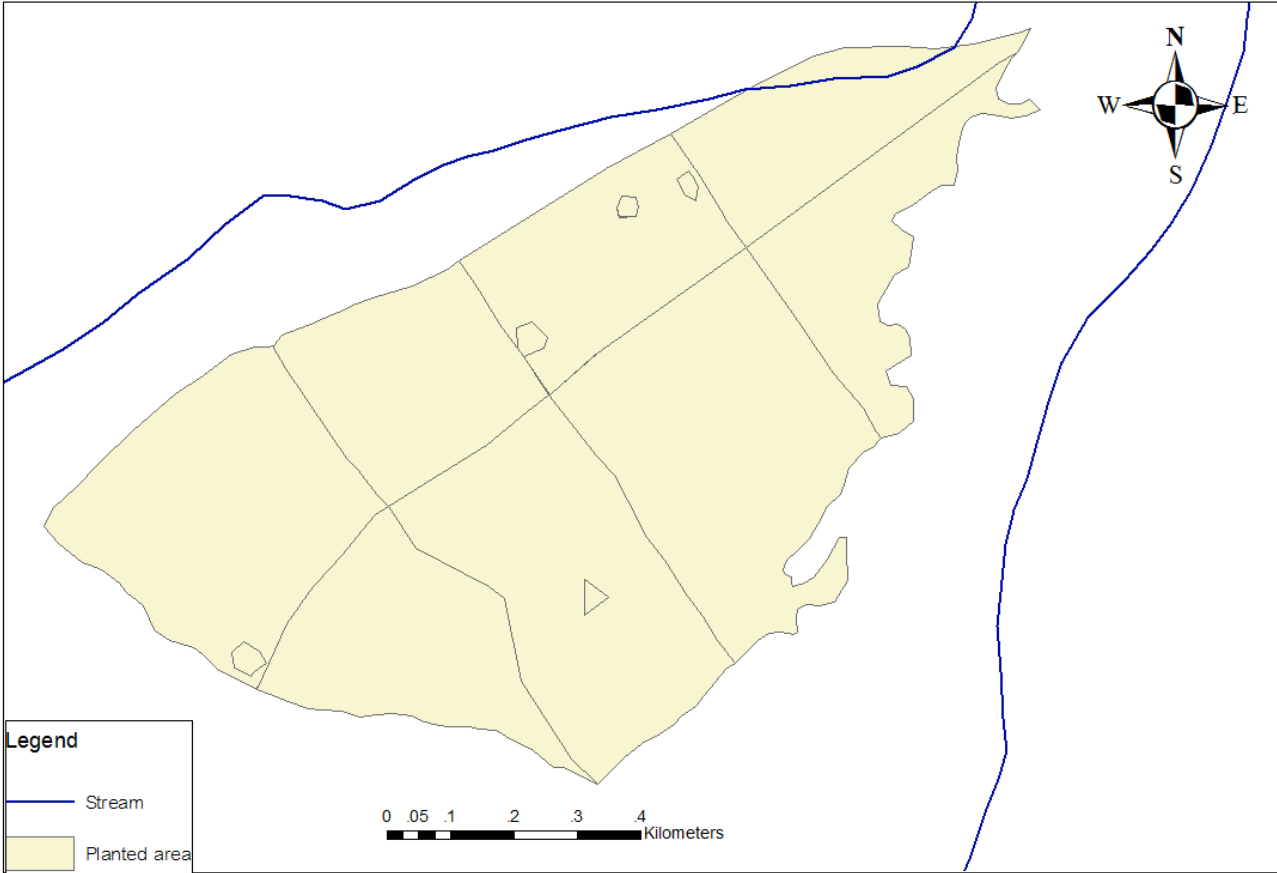


Figure 4 Map of Siam Palm Estate Block



**Figure 5 Map of Nanua division Block**



**Figure 6 Map of Wanee division Block**

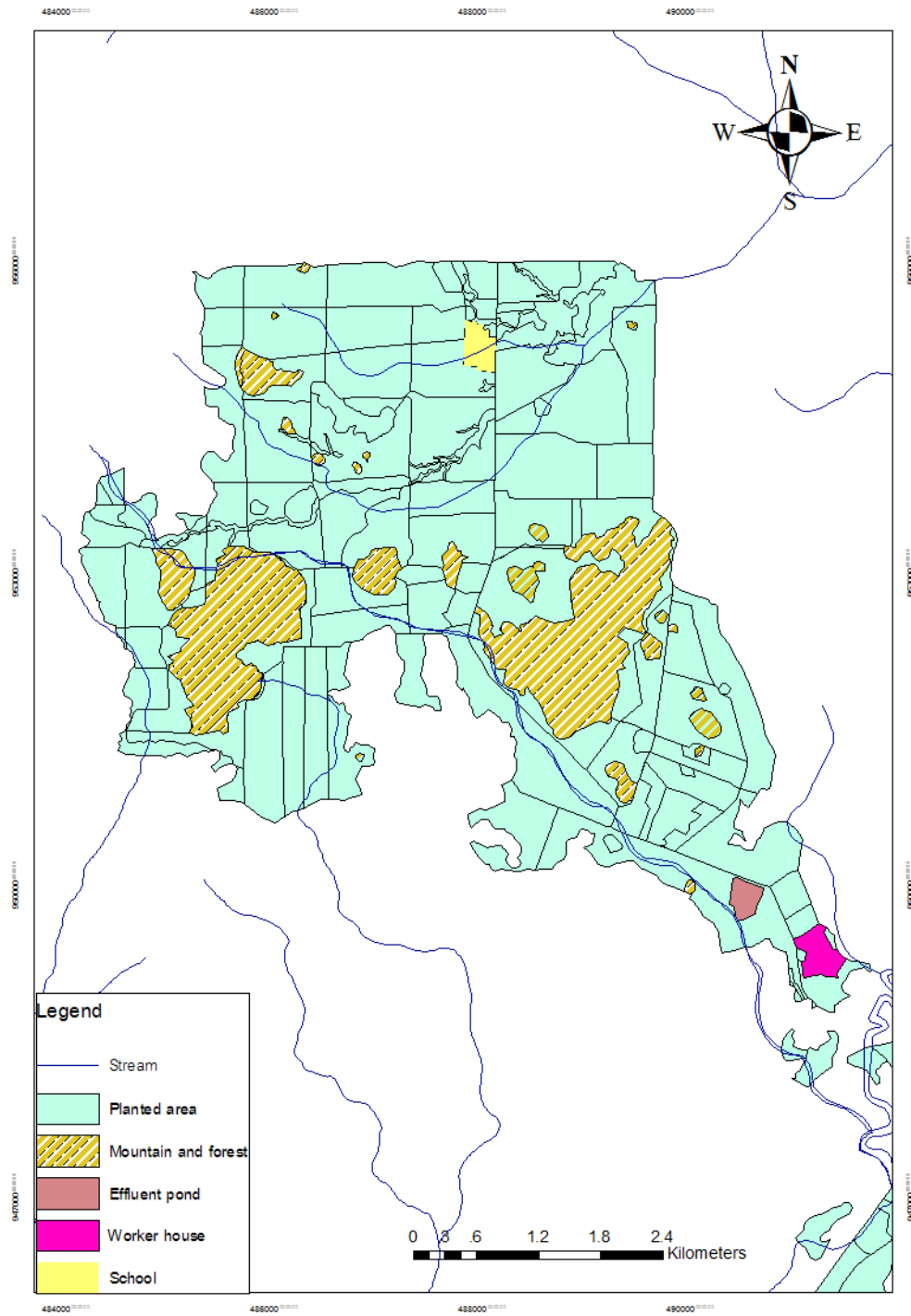


Figure 7 Map of TOPI Estate

## APPENDIX 7: RECORDS OF CERTIFIED AND NON-CERTIFIED TRANSACTION SINCE LAST AUDIT

<b>Monthly Records of Certified and Uncertified FFBs Received Since Last Audit</b>				
<b>Remarks:</b>				
<ul style="list-style-type: none"> <li>• If this is Main Assessment, the figures used are from the last 12 Months</li> <li>• If this is Annual Surveillance Assessment, the figures used are since last audit.</li> </ul>				
<b>No.</b>	<b>Month – Year</b>	<b>Certified Supplier (MT)</b>	<b>Uncertified Supplier (MT)</b>	<b>Total (MT)</b>
01	January 2017	4,270.30	17,519.34	21,789.64
02	February 2017	3,898.71	17,202.73	21,101.44
03	March 2017	7,783.97	26,331.47	34,115.44
04	April 2017	9,040.16	26,416.79	35,456.95
05	May 2017	7,081.82	28,084.06	35,165.88
06	June 2017	4,267.07	20,416.44	24,683.51
07	July 2017	3,726.66	13,356.69	17,083.35
08	August 2017	4,150.63	18,140.09	22,290.72
09				
10				
11				
12				
<b>TOTAL (MT)</b>		44,219.32	167,467.61	211,686.93

**Remark:**

Records of the certified FFB generated by supply bases and supplied to TOPI mill are starting from January 2017 rather than the last audit date because the company has been granted RSPO certificate on 22 December 2016 or starting date to supply FFB with RSPO claims. Even though the assessment has been performed on 3-6 October 2017, moreover, there is no data of FFB supplied by both their own supply bases (certified supplier) and independent smallholder (uncertified suppliers) because these data has not been finalized yet at the time of assessment



**Monthly Records of Certified CPO and PK Produced Since Last Audit****Remarks:**

- If this is Main Assessment, the figures used are from the last 12 Months
- If this is Annual Surveillance Assessment, the figures used are since last audit.

<b>No.</b>	<b>Month – Year</b>	<b>Certified CPO (MT)</b>	<b>Certified PK (MT)</b>
01	30 June – 2016 January 2017	875.41	224.19
02	February 2017	799.24	204.68
03	March 2017	1,595.71	408.66
04	April 2017	1,853.23	474.61
05	May 2017	1,451.77	371.80
06	June 2017	874.75	224.02
07	July 2017	763.97	195.65
08	August 2017	850.88	217.91
09			
10			
11			
12			
<b>TOTAL (MT)</b>		9,064.96	2,321.51

**Remark:**

1. Quantity of certified CPO and PK produced are based on the amount of FFB supplied by their own supply bases multiple with the conversion rate from FFB to CPO and PK at about 20.5% and 5.25%, respectively
2. Since there more than 150 transaction ID numbers, the details of the certified CSPO and CSPK sold with RSPO claim are indicated in Table above instead

**End of Report**