

**RSPO PRINCIPLE AND CRITERIA****1<sup>st</sup> Annual Surveillance Assessment (ASA1\_1)  
Public Summary Report**

<b>Sime Darby Plantation Berhad</b>
Head Office: Level 3A, Main Block Plantation Tower, No. 2, Jalan P.J.U 1A/7 47301 Ara Damansara Selangor, Malaysia
<b>Strategic Operating Unit (SOU 18) Diamond Jubilee Palm Oil Mill</b> KM 8, Jasin – Simpang Bekoh Road, District of Jasin 77100 Jasin, Melaka Malaysia

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## Section 1: Scope of the Certification Assessment

1. Company Details			
<b>RSPO Membership Number</b>	1-0008-04-000-00	<b>Date</b>	Member since: 6 September 2004
<b>Company Name</b>	Sime Darby Plantation Berhad		
<b>Address</b>	Head Office: Level 3A, Main Block, Plantation Tower, No. 2, Jalan PJU 1A/7 47301 Ara Damansara, Selangor, Malaysia Certification Unit: Strategic Operating Unit (SOU 18) – Diamond Jubilee Palm Oil Mill, KM 8, Jasin-Simpang Bekoh Road, District of Jasin, Melaka, Malaysia		
<b>Subsidiary of (if applicable)</b>	N/A		
<b>Contact Name</b>	Mdm. Shylaja Devi Vasudevan Nair (Head, Sustainability Unit PSQM) Mr. Senthilkumaran Gopal (Mill Manager)		
<b>Website</b>	<a href="http://www.simedarby.com">www.simedarby.com</a>	<b>E-mail</b>	<a href="mailto:Shylaja.vasudevan@simedarby.com">Shylaja.vasudevan@simedarby.com</a> <a href="mailto:kks.diamond.jubilee@simedarby.com">kks.diamond.jubilee@simedarby.com</a>
<b>Telephone</b>	+603-78484379 (Head Office) +606-5291 302 (Mill)	<b>Facsimile</b>	+603-78484356 (Head Office) +606-5292 019 (Mill)

2. Certification Information			
<b>Certificate Number</b>	RSPO 591224	<b>Original Certificate Issued Date</b>	05/10/2011
		<b>Expiry Date</b>	04/10/2021
<b>Scope of Certification</b>	Palm Oil and Palm Kernel Production from Diamond Jubilee Palm Oil Mill and Supply Base (Diamond Jubilee Estate, Bukit Asahan Estate & Serkam Estate)		
Other Certifications			
<b>Certificate Number</b>	<b>Standard(s)</b>	<b>Certificate Issued by</b>	<b>Expiry Date</b>
Nil	n/a	n/a	n/a

3. Location(s) of Mill & Supply Bases			
Name (Mill / Supply Base)	Location [Map Reference #]	GPS	
		Easting	Northing
Diamond Jubilee Palm Oil Mill (25mt/hour)	KM 8, Jasin – Simpang Bekoh Road, District of Jasin 77100 Jasin, Melaka, Malaysia	102° 33' 6"	2° 2' 35"
Diamond Jubilee Estate	Ladang Diamond Jubilee, KM 8, Jasin – Simpang Bekoh Road, District of Jasin 77100 Jasin, Melaka, Malaysia	102° 29' 18"	2° 19' 50"

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Bukit Asahan Estate	Ladang Bukit Asahan, Jalan Asahan 77100 Melaka, Malaysia	102° 32' 45"	2° 23' 38"
Serkam Estate	Ladang Serkam, Kemendore Div. 77009 Jasin, Melaka, Malaysia	102° 24' 59"	2° 19' 24"

#### 4. Description of Supply Base

Estate	Mature (ha)	Immature (ha)	Total Planted (ha)	HCV (ha)	Infras & Other (ha)	Total Hectarage	% of Planted
Diamond Jubilee Estate	2,329.05	468.82	2,797.87	21.48	307.74	3,127.09	89.47
Bukit Asahan Estate	2,965.53	-	2,965.53	1.36	105.30	3,072.19	96.53
Serkam Estate	1,472.90	360.85	1,833.75	-	283.14	2,116.89	86.62
Total	6,767.48	829.67	7,597.15	22.84	696.18	8,316.17	91.35

#### 5. Plantings & Cycle

Estate	Age (Years)					Tonnage / Year		
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30	Estimated (July 2016 – June 2017)	Actual (July 2016 – June 2017)	Forecast (July 2017 – June 2018)
Diamond Jubilee Estate	0	897.80	928.69	502.56	0	51,545.149	57,375.750	55,762.63
Bukit Asahan Estate	89.01	358.54	2,424.03	93.95	0	61,484.60	49,803.01	64,006.55
Serkam Estate	360.85	568.39	514.01	270.68	119.82	31,546.14	34,625.33	33,665.66
Total	449.86	1,824.73	3,866.73	867.19	19.82	144,575.89	141,804.09	153,434.84

#### 6. Certified Tonnage of FFB (Own Certified Scope)

Estate	Tonnage / year		
	Estimated (ASA1_1) (July 2016 - June 2017)	Actual (ASA1_1) (July 2016 – June 2017)	Forecast (ASA2_1) (July 2017 – June 2018)
Diamond Jubilee Estate	51,545.149	57,375.750	55,762.63
Bukit Asahan Estate	61,484.60	49,803.01	64,006.55
Serkam Estate	31,546.14	34,625.33	33,665.66
Total	144,575.89	141,804.09	153,434.84

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<b>7. Non-Certified Tonnage of FFB (outside supplier – excluded from certificate) if applicable</b>			
<b>Independent FFB Supplier</b>	<b>Tonnage / year</b>		
	<b>Estimated (ASA1_1) (July 2016 – June 2017)</b>	<b>Actual (ASA1_1) (July 2016 – June 2017)</b>	<b>Forecast (ASA2_1) (July 2017 – June 2018)</b>
Not applicable.			

<b>8. Certified Tonnage (Own Certified Scope)</b>									
<b>Mill</b>	<b>Estimated (ASA1_1) (July 2016 – June 2017)</b>			<b>Actual (ASA1_1) (July 2016 – June 2017)</b>			<b>Forecast (ASA2_1) (July 2017 – June 2018)</b>		
	<b>FFB</b>	<b>CPO</b>	<b>PK</b>	<b>FFB</b>	<b>CPO</b>	<b>PK</b>	<b>FFB</b>	<b>CPO</b>	<b>PK</b>
Diamond Jubilee Palm Oil Mill	129,166.81	29,062.53	7,104.17	125,297.28	26,087.43	6,384.38	136,602.00	30,735.45	7,513.11
OER/KER%		22.50	5.50		20.82	5.10		22.50	5.50

## Section 2: Assessment Process

### Certification Body:

BSI Services Malaysia Sdn Bhd,  
(ASI Accreditation Number: RSPO-ACC-19)  
Unit 3, Level 10, Tower A  
The Vertical Business Suites, Bangsar South  
No. 8, Jalan Kerinchi  
59200 Kuala Lumpur  
Tel +603 2242 4211 Fax +603 2242 4218  
Nicholas Cheong: [Nicholas.Cheong@bsigroup.com](mailto:Nicholas.Cheong@bsigroup.com)  
[www.bsigroup.com](http://www.bsigroup.com)

BSI is a leading global provider of management systems assessment and certification, with more than 60,000 certified locations and clients in over 100 countries. BSI Standards is the UK's National Standards Body. BSI provides independent, third-party certification of management systems. BSI is ASI Accredited (RSPO-ACC-19) to conduct RSPO assessment since 31/10/2014 with accredited office located at Kuala Lumpur, Malaysia. BSI is accredited for RSPO Supply Chain Certification Systems (SCCS) and Principles & Criteria for Sustainable Palm Oil Production (P&C, Single Site & Group) certification Worldwide.

### Assessment Methodology, Programme, Site Visits

This 1<sup>st</sup> Annual Surveillance Assessment was conducted from 10-12 July 2017. The audit programme is included as Appendix D. The approach to the audit was to treat the mill and its supply base as an RSPO Certification Unit. Mill was audited together with the sample estates (Serkam Estate & Bukit Asahan Estate). A range of environmental and social factors were covered. This includes consideration of topography, palm age, proximity to areas with HCVs, declared conservation areas and local communities.

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

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

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

Structured worker interviews with male and female workers and staff were held in private at the workplace in the mill and the estates. Fieldworkers were interviewed informally in small groups in the field. In addition, the wives of workers and staff were interviewed in informal group meetings at their housing. Separate visits were made to each of the local communities to meet with the village head and residents. Company officials were not present at any of the internal or external stakeholder interviews. A list of Stakeholders contacted is included as Appendix E.

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All the previous nonconformities are remains closed. The assessment findings for the 1<sup>st</sup> Annual Surveillance Assessment are detailed in Section 3.3.

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

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

<b>1. Assessment Program</b>					
<b>Name (Mill / Supply Base)</b>	<b>Year 1 (Recertification)</b>	<b>Year 2 (ASA 1)</b>	<b>Year 3 (ASA 2)</b>	<b>Year 4 (ASA 3)</b>	<b>Year 5 (ASA 4)</b>
Diamond Jubilee Estate	✓	✓	✓	✓	✓
Diamond Jubilee Estate	✓	-	✓	✓	-
Bukit Asahan Estate	-	✓	✓	-	✓
Serkam Estate	✓	✓	-	✓	✓

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

**Tentative Date of Next Visit:** July 8, 2018 – July 10, 2018

**Total No. of Mandays:** 9 mandays

**BSI Assessment Team:**

**Hafriazhar Mohd Mokhtar – Lead Auditor**

Hafriazhar Mohd. Mokhtar is a Chemical Engineer by qualification. He has more than five years of direct work experience in the upstream processes of palm oil within the plantation industry. He is a qualified Lead Auditor for CDM, ISO 14001, ISO 50001 and ISO 9001 and has accumulated more than 500 audit days throughout his current career as the auditor for multiple disciplines covering Malaysia, Indonesia and Thailand. He has been trained in the RSPO P&C and SCCS standards and recently completed his RSPO P&C Lead Assessor training and has been involved in RSPO audits within Malaysia, Papua New Guinea and Solomon Islands. During assessment, he covered the mill and estate best practices, legal issues, social issues, workers consultation, stakeholder consultation, environmental and occupational safety & health. He is fluent in Bahasa Malaysia and English languages.

**RSPO Public Summary Report  
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He holds Bachelor Degree in Chemical Engineering, graduated from National University of Malaysia on 2006. He has 7 years working experience in palm oil industry specifically on palm oil milling for 5 years. He also has the experiences as auditor for several standards including ISO 9001, ISO 14001, OHSAS 18001, MSPO and RSPO in his previous certification body. He completed the ISO 9001 Lead Auditor Course, ISO 14001 Lead Auditor Course and OHSAS 18001 Lead Auditor Course in 2012, Endorsed RSPO P&C Lead Auditor Course in 2013, MSPO Awareness Training in 2014 and Endorsed RSPO SCCS Lead Auditor Course in 2015. He had been involved in RSPO auditing since May 2012 in more than various companies in Malaysia. During this assessment, he assessed on the aspects of legal, mill best practices, safety and health, environmental and workers and stakeholders consultation.

**Daniel Francis - Team Member**

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

**Accompanying Persons: -**



## Section 3: Assessment Findings

### 3.1 Details of audit results

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

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

### 3.2 Progress against Time Bound Plan

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

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

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

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

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

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

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claims made against it. Other than the PT MAS issue, at the time of preparation of this Report, BSI is not aware of any new issues involving:

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

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

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

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<p>Did the company conduct an internal audit? If so, has a positive assurance statement been produced?</p>	<p>Indonesia - PT Mitra Austral Sejahtera has undergone RSPO Main Assessment in July 2011. The certification body for PT MAS has considered that Sime Darby Plantation still meets the requirements of the RSPO for Partial Certification and the report has been submitted for EB review. A verification audit was conducted by the Certification Body in early 2013 and Sime Darby Plantation will proceed with the next steps of certification upon satisfactory resolution of the matter. Reports on the progress update are submitted to RSPO on a regular basis since November 2012. The latest progress report submitted to RPSO dated 30<sup>th</sup> June 2016.</p> <p>Further details please refer to the RSPO Complaints Website: <a href="http://www.rspo.org/members/complaints/status-of-complaints/view/29">http://www.rspo.org/members/complaints/status-of-complaints/view/29</a></p> <p>Liberia – New mill commissioned in Feb 2016, identification of gaps and preparation to meet the requirements of the RSPO P&amp;C is in progress.</p>	<p>Yes</p>
<p>No replacement after dates defined in NIs Criterion 7.3:</p> <ul style="list-style-type: none"> <li>• Primary forest.</li> <li>• Any area identified as containing High Conservation Values (HCVs).</li> <li>• Any area required to maintain or enhance HCVs in accordance with RSPO criterion 7.3.</li> </ul>	<p>HCV assessment has been conducted for uncertified units i.e. PT Mas (by Aksenta in March 2009) and Sime Darby Plantation Liberia operations (by RSPO approved assessors – Dr SK Yap in 2011).</p>	<p>Yes</p>
<p>Any new plantings since January 1<sup>st</sup> 2010 must comply with the RSPO New Plantings Procedure.</p>	<p>A new mill will be set up in Liberia and planned for commissioning in Feb 2016. Preparation to undergo the RSPO Certification process is in progress and SDP targets to undergo RSPO Certification by end 2017. RSPO NPP process has been completed in 2011. Internal assessment against the draft Liberia NI has been completed and closing of gaps is in progress.</p> <p>*Note: RSPO NPP Announcements for SDP can be <a href="http://www.rspo.org/certification/new-planting-procedures/public-consultations/page/14?">http://www.rspo.org/certification/new-planting-procedures/public-consultations/page/14?</a></p>	<p>Yes</p>
<p>Any Land conflicts are being resolved through a mutually agreed process, e.g. RSPO Grievance procedure or Dispute Settlement Facility, in accordance with RSPO criteria 6.4, 7.5 and 7.6.</p>	<p>Sime Darby (Liberia) Plantation Inc. Status: Box H - Close for Monitoring Further details please refer to: <a href="http://www.rspo.org/members/complaints/status-of-complaints/view/46">http://www.rspo.org/members/complaints/status-of-complaints/view/46</a></p> <p>PT Mitra Austral Sejahtera (Sime Darby Sdn Bhd) Further details please refer to: <a href="http://www.rspo.org/members/complaints/status-of-complaints/view/29">http://www.rspo.org/members/complaints/status-of-complaints/view/29</a></p>	<p>Yes</p>
<p>Any Labor disputes are being resolved through a mutually agreed process, in accordance with RSPO criterion 6.3.</p>	<p>No stakeholder comments or complaints received.</p>	<p>Yes</p>

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Any Legal non- compliance is being resolved in accordance with the legal requirements, with reference to RSPO criteria 2.1 and 2.2.	None noted. No stakeholder comments or complaints received.	Complied.
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**3.3 Details of findings**

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

During the 1<sup>st</sup> Annual Surveillance Assessment there were 2 (two) minor nonconformities . The Diamond Jubilee Palm Oil Mill Certification unit submitted Corrective Action Plans for the nonconformity. Corrective action plans with respect to the nonconformity was reviewed by the BSI audit team and accepted.

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1501387-201707-N1	<b>Requirements</b> <b>Indicator 4.6.10</b> Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated.	Minor
	<b>Evidence of Nonconformity</b> Bukit Asahan Estate: During the site visit it was found that contaminated/used cloths/rags/ gloves were seen in the surrounding areas of the workshop and scrap yard ground. Dumpsite (landfill) in field 04A was found filled with Scheduled Waste.	
	<b>Statement of Nonconformity</b> Implementation of waste materials disposal including the practice of reduce, reuse and recycle of materials was not effectively demonstrated.	
	<b>Root Cause:</b> There was lack of awareness and monitoring of Schedule Waste items including used rags and gloves generated by the contractors	
	<b>Corrections:</b> To recover all SW items around the workshop area, dumping site and within the scrap iron compound and store them into the Scheduled Waste Store.	
	<b>Corrective Actions:</b> - To issue letter to the contractors - To train the contractors and employee on scheduled waste management.	
	<b>Assessment Conclusion:</b> CAP accepted on 3/8/2017. Evidence and effectiveness of CAP will be verified in the nextcoming assessment.	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1501387-201707-	<b>Requirements</b> <b>Indicator 5.3.3</b> A waste management and disposal plan to avoid or reduce pollution shall be	Minor

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N2	documented and implemented.	
	<b>Evidence of Nonconformity</b> Bukit Asahan Estate During the site visit it was found that: 1. Lubricants spillage on the grounds in the workshop area. 2. Traces of oil found beside the oil trap and drainage at the workshop area.	
	<b>Statement of Nonconformity</b> Waste and pollutants were identified but implementation to avoid or reduce pollution was lacking.	
	<b>Root Cause:</b> There was lack of awareness and monitoring of waste management including used rags and gloves generated by the contractors and employee working at around the workshop area	
	<b>Corrections:</b> To recover contaminated materials (soil/ oil inside the trap) around the workshop area and dispose accordingly.	
	<b>Corrective Actions:</b> To train the contractors and employee on waste management.	
	<b>Assessment Conclusion:</b> CAP accepted on 3/8/2017. Evidence and effectiveness of CAP will be verified in the nextcoming assessment.	

Observation	
OBS #	Description
1	Nil

Positive Findings	
PF #	Description
1.	Positive comments by stakeholders
2.	Good 5S implementation in General Store (Bukit Asahan Estate)
3.	Good education program for children in creche (Bukit Asahan Estate)

Issues raised by Stakeholders
<p>Stakeholder consultation involved internal and external stakeholders. External stakeholders were contacted by telephone to arrange meetings at a location convenient to them to discuss Diamond Jubilee Palm Oil Mill Certification Unit’s environmental and social performance, legal and any known dispute issues.</p> <p>Meetings were conducted with stakeholders to seek their views on the performance of the company with respect to the RSPO requirements and aspects where they considered that improvements could be made. At the start of each meeting, the interviewer explained the purpose of the audit followed by an evaluation of the relationship between the stakeholder and the company before discussions proceeded. The interviewer recorded comments made by stakeholders and later was verified with the management team. These have been incorporated into the assessment findings.</p> <p>Structured worker interviews with male and female workers and staff were held in private at the workplace in the mill and the estates. Fieldworkers were interviewed informally in small groups in the field. In addition, the wives of workers and staff were interviewed in informal group meetings at their housing. Separate visits were made to each of the local communities to meet with the village head and residents. Company officials were not present at any of the internal or external stakeholder interviews. A list of Stakeholders contacted is included as Appendix E.</p>

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IS #	Description
1	<b>Issues:</b> SJKT Ladang Diamond Jubilee representative – requesting crèche for pre-school use.
	<b>Management Responses:</b> Verbal request received, awaiting official request and will forward to HQ management upon receive but will be subjected to availability of the crèche itself. Currently still not in use.
	<b>Audit Team Findings:</b> Issue to be follow-up during next coming audit.
2	<b>Issues:</b> Kim Soon Lee Transport (FFB transporter) – request on transport pricing revision.
	<b>Management Responses:</b> Pricing already determined during tendering stage. Decision will be based on HQ management discretion.
	<b>Audit Team Findings:</b> Fair and transparent tendering processes were carried out on annual basis for FFB transport service. Pricing were based on mutual agreement by both the company and the transporter.
3	<b>Issues:</b> SJKT Ladang Bukit Asahan representative – estate are very supportive to school in almost all school activities and programs.
	<b>Management Responses:</b> Support will be given to schools from time to time based on ability and availability.
	<b>Audit Team Findings:</b> Positive feedbacks by stakeholder.
4	<b>Issues:</b> Bukit Asahan Estate NUPW representative – good communication with estate management. Meetings were done on timely basis. Issues discussed during meetings were resolved efficiently.
	<b>Management Responses:</b> All legal requirements including collective agreements were followed accordingly to ensure no issue among all workers whether they are union members or not.
	<b>Audit Team Findings:</b> Positive feedbacks by stakeholder.
5	<b>Issues:</b> Santhi Enterprise (Estate contractor) – good business with estate under Sime Darby compare to other company with prompt payment and negotiable terms.
	<b>Management Responses:</b> Procurement of any estate related services were done either through tendering or ad-hoc basis. All were based on HQ procurement procedures.
	<b>Audit Team Findings:</b> Positive feedbacks by stakeholder.

**3.3.1 Status of Nonconformities Previously Identified and Observations**

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1358112M1	<b>Requirements:</b> <b>Indicator 6.5.2:</b>	Major

	<p>Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be available in the languages understood by the workers or explained carefully to them by a management official.</p> <p><b>Evidence of Nonconformity:</b> The content of the extension contract between Indonesian and other foreigner (Indian, Bangladesh, Sri Lanka, Nepal and Cambodian) were not standardized. The main difference for Indonesian's contract (Kontrak Perpanjangan May 2016) and other foreigner's contract (Extension Contract January 2015) as below: a. Accommodation b. Termination of contracts c. Transport allowances d. Food subsidy e. Phone allowance</p> <p>Samples were verified as (Passport no: AR532860; AR532860; K1268518) in Diamond Jubilee estate.</p> <p>Serkam Estate: There are no records or document to confirm that the workers were given the extended contract of employment and acknowledged signed the extension of employment. a. Employee Number 000058855: Employment contract expired on 16/12/2013 b. Employee Number 0000112074: Employment contract expired on 31/06/2013</p> <p>Employment contract records missing: a. Employee Number 000012815: Joined on 21/1/2008 b. Employee Number 000012818: Joined on 21/1/2008 c. Employee Number 000012820: Joined on 21/1/2008 d. Employee Number 000063248: Joined on 11/3/2011</p> <p><b>Statement of Nonconformity:</b> Contracts/Extended contracts of employment for workers extended 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.) were not effectively managed.</p> <p><b>Root Cause:</b> DIAMOND JUBILEE ESTATE: The said content in the Workers extension contract was overlooked by the management.  SERKAM ESTATE: - Management overlooked on the workers contract extension for the stated workers. - Estate has been archived the 2008-2011's documents during 5S certification.</p> <p><b>Corrections:</b> DIAMOND JUBILEE ESTATE: Any variance with regards to the content in the contract extension have been clarified with HR/IR Department and all contract extension were issued accordingly upon completion of the process.</p>	
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	SERKAM ESTATE: - Liaison with HR Department regarding the new contract statement for extended workers. - Appointment of PIC for monitoring of the extension employment contract.	
	<b>Corrective Actions:</b> Management practices retrieving of all related documents and assign a designated PIC to ensure a proper monitoring in future.	
	<b>Assessment Conclusion:</b> The CAP and evidence submitted confirmed that the issue has been fully addressed hence the Major NC was closed on 05/08/2016. Evidence verified during on-site assessment confirmed corrective action taken remained effective and no recurrence of issues.	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1358112N1	<b>Requirements:</b> <b>Indicator 2.1.2:</b> A documented system, which includes written information on legal requirements, shall be maintained.	Minor
	<b>Evidence of Nonconformity:</b> Minimum Wage Order 2016 which takes effect 1st July 2016 was yet to be included Legal and Other Requirements Register (LORR).	
	<b>Statement of Nonconformity:</b> POM, Diamond Jubilee Estate & Serkam Estate: Legal & Other Requirement Register (LORR) were found not updated.	
	<b>Root Cause:</b> Lack of monitoring the LORR & delay in updates of new applicable law to be included in the LORR as it just started effective 1st July 2016 (Minimum Wage Order 2016).	
	<b>Corrections:</b> Liaison with PSQM on the updates of LORR.	
	<b>Corrective Actions:</b> Appointment of PIC to ensure that all new applicable law is included.	
	<b>Assessment Conclusion:</b> Evidence verified during on-site assessment confirmed corrective action taken remained effective and no recurrence of issues. Hence, Minor NC satisfactorily closed on 12/7/2017.	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1358112N2	<b>Requirements:</b> <b>Indicator 4.7.6:</b> All workers shall be provided with medical care, and covered by accident insurance.	Minor
	<b>Evidence of Nonconformity:</b> Renewed Foreign Worker Compensation Scheme Certificate of Insurance Policy were not available for verification in Diamond Jubilee Estate.	

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	<p><b>Statement of Nonconformity:</b> Implementation of Foreign Worker Compensation Scheme Certificate of Insurance Policy is lacking.</p>	
	<p><b>Root Cause:</b> Lack of monitoring on the updates and data retrieval on the FWCS.</p>	
	<p><b>Corrections:</b> To follow up with Workforce Management Unit (WMU) on the FWCS for all Diamond Jubilee Estate’s workers and to appoint PIC for monitoring the records.</p>	
	<p><b>Corrective Actions:</b> To request all FWCS for Diamond Jubilee Estate workers from Workforce Management Unit (WMU), Sua Betong.</p>	
	<p><b>Assessment Conclusion:</b> Evidence verified during on-site assessment confirmed corrective action taken remained effective and no recurrence of issues. Hence, Minor NC satisfactorily closed on 12/7/2017.</p>	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1358112N3	<p><b>Requirements:</b> <b>Indicator 6.10.3:</b> Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent.</p> <p><b>Evidence of Nonconformity:</b> Contractors’ agreements were found expired anzsds yet the relevant services such as grass cutting, transportation and harvesting are still continue in the estate. Following contracts were verified in Serkam Estate: a. Contract no: 07/2013/2014; Validity: 01 July 2013 to 30 June 2014 b. Contract no: 06/2013/2014; Validity: 01 July 2013 to 30 June 2014 c. Contract no: 02/2015/2016; Validity: 01 July 2015 to 30 June 2016</p> <p><b>Statement of Nonconformity:</b> Contractors' agreement were expired.</p> <p><b>Root Cause:</b> Overlooked the contract agreement expiry date by the management.</p> <p><b>Corrections:</b> Renewal of the expired contract agreement.</p> <p><b>Corrective Actions:</b> Appointment of PIC for monitoring Contractor Contract Agreement.</p> <p><b>Assessment Conclusion:</b> Evidence verified during on-site assessment confirmed corrective action taken remained effective and no recurrence of issues. Hence, Minor NC satisfactorily closed on 12/7/2017.</p>	Minor

Observation	
OBS #	Description
N.A	

**3.3.2 Summary of the Nonconformities and Status**

CAR Ref.	CLASS	ISSUED	STATUS
1223265M1	Major	20/8/2015	Closed out on 16/10/15
1223265N1	Minor	20/8/2015	Closed out on 22/07/16
1358112M1	Major	22/7/2016	Closed out on 05/08/2016
1358112N1	Minor	22/7/2016	Closed out on 12/7/2017
1358112N2	Minor	22/7/2016	Closed out on 12/7/2017
1358112N3	Minor	22/7/2016	Closed out on 12/7/2017
1501387-201707-N1	Minor	12/7/2017	"Open"
1501387-201707-N1	Minor	12/7/2017	"Open"

**Assessment Conclusion and Recommendation:**

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

Acknowledgement of Assessment Findings	Report Prepared by
<b>Name:</b> <b>Mr. Muhammad Irsan Azmi</b>	<b>Name:</b> <b>Mr. Hafriazhar Mohd. Mokhtar</b>
<b>Company name:</b> <b>Sime Darby Plantation Sdn Bhd</b> <b>Diamond Jubilee Palm Oil Mill (SOU 18)</b>	<b>Company name:</b> <b>BSI Services Malaysia Sdn Bhd</b>
<b>Title:</b> <b>Mill Manager</b>	<b>Title:</b> <b>Lead Auditor</b>
<b>Signature:</b>  <b>Date: 4 September 2017</b>	<b>Signature:</b>  <b>Date: 30 August 2017</b>

**Appendix A: Summary of Findings**

Criterion / Indicator	Assessment Findings	Compliance	
<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	<p>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.</p> <p>- Minor compliance -</p>	<p>Adequate information covering on environmental, social and legal issues which are relevant to RSPO Criteria and relevant to stakeholders is shared for effective participation and decision making. Requests for information from the Regulatory Department such as DOE quarterly reports were attended and no noncompliance or complaints were noted. Information on environmental, social and legal issues relevant to RSPO Criteria was made available to relevant stakeholders for effective participation in decision making.</p> <p>Publicly available documents such as land title, OSH plan, HCV documents, negotiation procedure, complaint records, RSPO public summary reports, EIA, Management Plans &amp; Continuous Improvement Plans and company policies are available.</p>	Complied
1.1.2	<p>Records of requests for information and responses shall be maintained.</p> <p>-Major compliance</p>	<p>Request for information records were maintained accordingly at both mill and estates as following samples:</p> <ul style="list-style-type: none"> <li>• DOSH visit book – last visit on 3/3/2017 for boiler hydrostatic test (HT) witness – request completed by mill</li> <li>• DOE filed citation – last visit on 29/11/2016 for routine enforcement and POME sampling – request completed by mill</li> <li>• No any external complaints/request as of visit date</li> <li>• Last internal request dated back in 11/6/2013</li> <li>• Other records maintained by mill including Labour Dept. visit (last on 18/9/2008) &amp; SPAN visit (last on 5/7/2011)</li> <li>• Records of request through stakeholder consultation meeting (minutes of meeting)</li> </ul>	Complied
<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.			

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Criterion / Indicator	Assessment Findings	Compliance
<p>1.2.1</p> <p>Publicly available documents shall include, but are not necessary limited to:</p> <ul style="list-style-type: none"> <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> <p>- Major compliance –</p>	<p>No restriction noted as to the documents made available to the public except those prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.</p> <p>Sime Darby Plantations Sdn Bhd continued to use the internet for disseminating public information. Information relating to land titles, safety and health plans, pollution prevention plans was made available at all operating units. Procedure for complaints and grievances were available through Sime Darby Plantations Sdn Bhd website at <a href="http://www.simedarbyplantation.com/Sustainability.aspx">http://www.simedarbyplantation.com/Sustainability.aspx</a></p> <p>Among the documents that were made available for viewing are:</p> <ul style="list-style-type: none"> <li>• Good Agricultural Practices</li> <li>• Social Enhancement</li> <li>• Sustainability Management Programmes</li> <li>• Complaint and Grievances procedure.</li> <li>• Environmental Conservation</li> </ul> <p>These documents highlight current Sime Darby Plantations Sdn Bhd practices and their continual improvement plans. Besides the above document Sime Darby Plantations Sdn Bhd policy on the followings are also available:</p> <ol style="list-style-type: none"> <li>1) Social</li> <li>2) Quality</li> <li>3) Food Safety</li> <li>4) Occupational Safety &amp; Health</li> <li>5) Environment &amp; Biodiversity</li> <li>6) Slope Protection and Buffer Zone</li> <li>7) Lean Six Sigma</li> <li>8) Gender</li> </ol> <p>In addition to the website, the policies were also displayed at various locations at the operating units including the main notice boards of the estates, mill offices and muster ground notice boards for employees and visitors to view.</p>	<p>Complied</p>
<p><b>Criteria 1.3:</b> Growers and millers commit to ethical conduct in all business operations and transactions.</p>		
<p>1.3.1</p> <p>There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions, which shall be documented and communicated to all levels of the workforce and operations.</p> <p>-Minor compliance</p>	<p>Sime Darby plantation has established policy on code of ethical conduct and integrity which covers all operations in the plantation operation under Corporate Policy Statement dated January 2015. Policy displayed on the notice board and communicated to employees.</p> <p>The last Code of Business Conduct (COBC) Refresher Course was provided to all estate and mill employees under Diamond Jubilee complex on 28 &amp; 29 August 2015. Attendance list and signed of code of business conduct sighted during onsite visit. Interviewed with employees reveal that they are aware of the policy.</p>	<p>Complied</p>
<p><b>Principle 2: Compliance with applicable laws and regulations</b></p>		
<p><b>Criterion 2.1:</b> There is compliance with all applicable local, national and ratified international laws and regulations.</p>		

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Criterion / Indicator	Assessment Findings	Compliance
<p>2.1.1 Evidence of compliance with relevant legal requirements shall be available. - Major compliance -</p>	<p>SOU18 had continued to comply with the legal requirements as per indicator. Compliance to each applicable law and regulation is monitored by the operating units and PSQM sustainability team. SOU18 had obtained and renewed license and permits as required by the law. Sample of licenses or permit viewed were: <u>Diamond Jubilee Palm Oil Mill</u></p> <ol style="list-style-type: none"> <li>1. MPOB license: 500288804000 (validity period 01/10/2016 - 30/09/2017).</li> <li>2. Energy commission license no: ST(MLK)P/S/MLK/00832; serial no: 002816/2017 (validity period 16/03/2017 – 15/03/2018) for 1054.85 kW installation capacity.</li> <li>3. DOE Licence: 004043 (validity period 01/07/2017 - 30/06/2018) for 30 MT/hr and method of POME discharge is water course and land application with BOD limit of not more than 50000 mg/l.</li> <li>4. Electrical Charge-man A0, PJ-T-2-B-0356-2009.</li> <li>5. Steam Boiler and Steam Engine Driver JKJ 18 – MA 038/2005 (1st Grade).</li> <li>6. Certificate of Fitness for Steam Boiler (JKT15-Pin. 5/87 PMD-MK/17 01178) – PMD4367 (valid till 15/05/2018).</li> <li>7. Competent Person in CePSWaM – 820614-08-5517 (CePSWaM/16502 15/08/2016 - 15/08/2017).</li> <li>8. Competent Person in CEPPOMETS – 820614-08-5517 (21/10/2013 – 26/10/2013).</li> <li>9. Competent Person for Authorised Gas Tester and Entry Supervisor for Confined Space Refresher; NW-HQ-AGT-R-0641-O.</li> </ol> <p><u>Serkam Estate</u></p> <ol style="list-style-type: none"> <li>1. MPOB license: 570733011000 (validity period 01/04/2017 - 31/03/2018).</li> <li>2. Diesel Permit #M004868, ref. SK(M)039/2005(D) (22/02/2016 – 21/02/2017) Quantity: 8,100 liter. BLESS #BL2017040403 renewal submission date 15/06/2017. Sighted KPDNKK letter dated 24/02/2016.</li> </ol> <p><u>Bukit Asahan Estate</u></p> <ol style="list-style-type: none"> <li>1. MPOB license: 527615002000 (validity period 01/03/2017 - 28/02/2018).</li> <li>2. Diesel Permit #M005709, ref SK(M)051/2005 (D&amp;A) (25/01/2017 – 24/01/2018) Quantity: 18,200 liter.</li> <li>3. Petrol Permit #M005811, ref B.PGK (M) PK/1/2017(P) (07/02/2017 – 06/08/2017) Quantity: 60 liter.</li> <li>4. Certificate of Fitness for Unfired Pressure Vessels (JKT15-Pin. 1/87 PMT-MK 17344) – MK PMT 4942 (valid till 05/08/2017).</li> </ol>	<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance
2.1.2 A documented system, which includes written information on legal requirements, shall be maintained. - Minor compliance -	SOU18 had documented the Legal & Other Requirements Register (LORR) covering all the necessary regulatory requirements. List of applicable legal and other requirements was made available during the assessment. <u>Diamond Jubilee Palm Oil Mill</u> – KKS Diamond Jubilee LORR FY 2016/2017. <u>Serkam Estate</u> – Serkam Estate LORR FY 2016/2017. <u>Bukit Asahan Estate</u> – Bukit Asahan Estate LORR FY 2016/2017. Documented procedure has been established and implemented; refer to Estate/Mill Quality Management System, Level 2: Standard Operating Manual, Appendix 5.2.4: Procedure for Legal and Other Requirements dated 10 December 2008.	Complied
2.1.3 A mechanism for ensuring compliance shall be implemented. - Minor compliance -	Evaluation of the legal requirements and compliance status with legal requirement are monitored by the operating units.  <u>Diamond Jubilee Palm Oil Mill</u> - Latest review was done on 07/07/2017. <u>Serkam Estate</u> - Latest review was done on 03/07/2017. <u>Bukit Asahan Estate</u> - Latest review was done on 07/07/2017.	Complied
2.1.4 A system for tracking any changes in the law shall be implemented. - Minor compliance -	Tracking system to identify changes in the relevant regulations is available through the head office, website information and is communicated from the Group Head Office. On the site verification, interviews with office personnel and records indicate that the system is appropriate to the operation. Tracking system on any changes in the law had been well implemented.	Complied
<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 compliance -	Mill land ownership is under Diamond Jubilee Estate, within the plot title # 5368, Lot 228. Serkam Estate consists of 50 land titles with 4 titles already being cancelled and registered with 0 ha area due to government acquisitions. The land title stated all legal use for oil palm plantation. Sighted sample title #00022656, lot # 0000118, title # 0057279, lot # 0006005 & title # 00000074, lot # 0000217 which has been paid its quit rent on 17/3/2017. Bukit Asahan Estate consists of 44 land titles. The land title stated all legal use for oil palm plantation. Sighted sample title #00000158, lot # 11000158, title # 00014242, lot # 10000832 & title # 00015346, lot # 10000925 which has been paid its quit rent on 3/4/2017.	Complied

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Criterion / Indicator	Assessment Findings	Compliance
2.2.2 Legal boundaries shall be clearly demarcated and visibly maintained. - Minor compliance -	During the field visit it was noted that legal boundaries are clearly demarcated and visibly maintained near to Serkam Estate Division, Kesang. Field P15A is adjacent to smallholder rubber farm (Kg Pondok Kempas).  <u>Bukit Asahan Estate</u> Boundary marker is clearly demarcated and visibility maintained near to the boundary along P00L, P00G and P10A adjacent to forest reserve near to army camp.	Complied
2.2.3 Where there are or have been disputes, additional proof of legal acquisition of title and evidence that fair compensation has been made to previous owners and occupants shall be available, and that these have been accepted with free, prior and informed consent (FPIC). - Minor compliance -	Review on land ownership records and interview with relevant stakeholders confirmed there are no conflict or dispute over the land within legal boundary.	Complied
2.2.4 There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved. -Major compliance	There is no land dispute in the operating units at the time of audit. The land belongs to Sime Darby and land ownership documents verified.	Complied
2.2.5 For any conflict or dispute over the land, the extent of the disputed area shall be mapped out in a participatory way with involvement of affected parties (including neighbouring communities where applicable). -Minor compliance	There is no land dispute in the operating units at the time of audit. The land belongs to Sime Darby and land ownership documents verified.	Complied
2.2.6 To avoid escalation of conflict, there shall be no evidence that palm oil operations have instigated violence in maintaining peace and order in their current and planned operations. -Major compliance	There is no land dispute in the operating units at the time of audit. The land belongs to Sime Darby and land ownership documents verified.	Complied
<b>Criterion 2.3:</b> Use of the land for oil palm does not diminish the legal rights, customary or user right of other users without their free, prior and informed consent.		
2.3.1 Maps of an appropriate scale showing the extent of recognized legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighbouring communities where applicable, and relevant authorities). - Major compliance -	The estate lands are legally owned by the company. The existing estates are not encumbered by any customary land rights. Interview with the surrounding communities and stakeholders confirm no disputes.	Complied



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Criterion / Indicator	Assessment Findings	Compliance	
2.3.2	Copies of negotiated agreements detailing the process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and shall include: a) Evidence that a plan has been developed through consultation and discussion with all affected groups in the communities, and that information has been provided to all affected groups, including information on the steps that shall be taken to involve them in decision making; b) Evidence that the company has respected communities' decisions to give or withhold their consent to the operation at the time that this decision was taken; c) Evidence that the legal, economic, environmental and social implications for permitting operations on their land have been understood and accepted by affected communities, including the implications for the legal status of their land at the expiry of the company's title, concession or lease on the land. - Minor compliance -	The estate lands are legally owned by the company and no other users were identified within the land area.	Complied
2.3.3	All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements. -Minor compliance	There is no land dispute in the operating units at the time of audit. The land belongs to Sime Darby and land ownership documents verified.	Complied
2.3.4	Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel. -Major compliance	There is no land dispute in the operating units at the time of audit. The land belongs to Sime Darby and land ownership documents verified.	Complied
<b>Principle 3: Commitment to long-term economic and financial viability</b>			
<b>Criterion 3.1:</b>			
There is an implemented management plan that aims to achieve long-term economic and financial viability.			
3.1.1	A business or management plan (minimum three years) shall be documented that includes, where appropriate, a business case for scheme smallholders. - Major compliance -	Documented business plan for SOU18 was reviewed. The 05 years Business Plan for period covering 2017 - 2022 and reviewed annually by operating unit and zone General Manager. The last review was carried out beginning of May 2017 prior to end of financial year 2017/2018.  The plan includes environment, social (workers and staffs welfare), and health and safety component and associated capital expenditure for improvement.	Complied

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Criterion / Indicator	Assessment Findings	Compliance
3.1.2 An annual replanting programme projected for a minimum of five years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review, shall be available. - Minor compliance -	<p>Serkam Estate have long range replanting program until 36/37. Replanting is planned for palm older than 25 years old and also for P&amp;D infected palm. Replanting programme for the next financial year as follow:</p> <p><u>Serkam Estate</u>  FY 17/18 : plan (145.88 ha), felling completed (71 ha @ 50% )  FY 18/19 : 180.85 ha (Kesang Division – field 1993 &amp; 1994K</p> <p>For Bukit Asahan Estate, there is no oil palm replanting programme for the next 5 years. Oil palm will be converted to rubber starting from FY20/21 onwards.</p>	Complied
<p><b>Principle 4: Use of appropriate best practices by growers and millers</b></p>		
<p><b>Criterion 4.1:</b> Operating procedures are appropriately documented, consistently implemented and monitored.</p>		
4.1.1 Standard Operating Procedures (SOPs) for estates and mills are documented - Major compliance -	<p>SOP available for the Palm Oil Mill and the Estates.</p> <p>Palm Mill holds two SOPs: Sustainability Plantation Management System (MQMS/SOM/08 v.1 dated 1/11/2008) includes mill SOP and Mill Quality Management Manual v.1 2008/MQMS/QMM/08 as a guidance document to operate the mill.</p> <p>Estates have a separate SOP (Sime Darby SOP issued 2/1/2008 and Agricultural reference Manual) covers land preparation, planting material, upkeep, harvesting, transport etc.</p> <p>New revised Sustainable Plantation Management System - Appendix 7: SOP for water quality monitoring effective 01/06/16.</p>	Complied
4.1.2 A mechanism to check consistent implementation of procedures shall be in place. - Minor compliance -	<p>Planting Advisor inspect and report on the operations on annual basis. There were other audits by PSQM and GCAD to ensure compliance against company policy and procedure with regards to operation, finance as well as safety, health and welfare requirements.</p> <p>Serkam Estate: PA visit dated 21-22/06/2016, report ref#SOU18/SE/02/15-16.</p> <p>Bukit Asahan Estate: PA visit dated 22-24/02/2017, report ref#PAR/BAE/01/2016-17.</p>	Complied

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<p>4.1.3</p> <p>Records of monitoring and any actions taken shall be maintained and available, as appropriate. - Minor compliance -</p>	<p><u>Diamond Jubilee Palm Oil Mill</u> Domestic water analysis test report IE526/2017 dated 23/05/2017 was sighted. Two (2) sampling point were selected at mill and executive quarters.</p> <p>Microbiology water samples analysis test report ML266/2017 dated 05/07/2017 was sighted.</p> <p>Effluent analysis test report for land application was submitted to DOE on 05/07/2017. Verified summary report and monthly test report ref#EP344/2017.</p> <p><u>Serkam Estate</u> Microbiology water samples analysis ML152/2017 dated 20/04/2017. E.Coli and Total Coliform was not detected.</p> <p>Industrial effluent (water sample) IE561/2017 dated 30/05/2017. Parameter tested (pH, TDS, AN, turbidity and Chloride) and all within the limits.</p> <p><u>Bukit Asahan Estate</u> Pesticide in water analysis test report PL270/2017 dated 21/04/2017. Pesticide not detected &lt;0.001 ppm LOD. Sighted request to check pesticide &amp; water analysis dated 03/07/2017. Results will be verified during the next surveillance audit.</p>	<p>Complied</p>
<p>4.1.4</p> <p>The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB). - Major compliance -</p>	<p>No 3rd party crop received at Diamond Jubilee POM. Occasionally there are certified FFB received by the mill from Sime Darby Group estates. This is verified through RSPO certificate validity by the management through the weighbridge receiving system.</p>	<p>Complied</p>
<p><b>Criterion 4.2:</b> Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.</p>		
<p>4.2.1</p> <p>There shall be evidence that good agriculture practices, as contained in Standard Operating Procedures (SOPs), are followed to manage soil fertility to a level that ensures optimal and sustained yield, where possible. - Minor compliance -</p>	<p>Good agriculture practices which follows the group agriculture manual contains Standard Operating Procedures to ensure soil fertility is managed to a level that ensures optimal and sustained yield</p>	<p>Complied</p>

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<p>4.2.2 Records of fertiliser inputs shall be maintained. - Minor compliance -</p>	<p><u>Serkam Estate</u> Fertilizer application programme is based on the recommendation by agronomist under Appendix I, 2017 Agronomist and Fertilizer Recommendations Report. Date of visit: 27-28/12/16. Programme for mature and immature fields available for review. Sample of programme under Kesang Division for CCM45 (12 [N]:12[P]:17[K]:2[Mg]), application date: September 2017, recommendation rate: 2.25 kg/palm for total of 60 ha. The application of fertilizer has been recorded in the application program form. The application of fertilizer for has been verified and according to the recommendation in ARM. Nursery fertilizer programme recommended rate: 6-8 weeks after planting – 2 gm 10 weeks – 3 gm 12-16 weeks – 5 gm 18-22 weeks – 10 gm 26-38 weeks – 20 gm 42-58 weeks – 25 gm Batch I – 5965 seedling (total application up to June 2017 - 429.48 kg)</p> <p><u>Bukit Asahan Estate</u> Fertilizer application follows the Agronomist recommendation from the R&amp;D department. Recommendation for FY2017/2018. Refer to 2017-2018 fertilizer recommendation report, interim July – December 2017. Sample (Home Div.), field 200H: Mature : AS (21% N), MOP (60% K2O) [Aug-Sept 2017] and RP (28% P2O5) [Oct 2017] – 67.91 ha Actual application completed for AC, MOP and NKC1 programme for FY2016/2017: Mar 17 – May 17 (AC-660.23 mt, MOP-701.83 mt and NKC1-15.20 mt)</p>	<p>Complied</p>
<p>4.2.3 There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status. - Minor compliance -</p>	<p>Sime Darby Seeds and Agriculture Services Sdn Bhd prepare the annual fertilizer recommendation. Leaf analysis result which shows the nutrient level was used as guidance for the fertilizer recommendation. At Bukit Asahan Estate, leaf sampling has yet to be carried out in 2017 together during agronomist visit. Soil analysis carried out at 5 years interval. The last soil analysis was carried out on 6/1/15, Report# S25/2015 dated 7/4/15.</p> <p><u>Serkam Estate (Main Division)</u> The latest leaf sampling analysis was carried out in August 2016 for total of all 17 manuring blocks. Leaf foliar analysis report incorporated under agronomist report for Serkam Estate 2017 Agronomic &amp; Fertilizer Recommendation Report dated February 2017. Soil sampling is valid for 5 years refer to analysis report dated 22/8/14, report ref#S70/2014.</p>	<p>Complied</p>

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4.2.4	<p>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.</p> <p>- Minor compliance -</p>	<p>Nutrient recycling strategy is in place and includes use of Empty Fruit Bunches (EFB), Palm Oil Mill Effluent (POME), and palm residues after replanting. EFB applied at selected fields at the estates. Recommended rate is 45mt/ha.</p> <p><u>Serkam Estate (Kesang Division)</u></p> <p>2 rounds per year for EFB application. For field 15A, total of 101.35 tonne applied for the 1<sup>st</sup> round application.</p>	Complied
<p><b>Criterion 4.3:</b>  Practices minimise and control erosion and degradation of soils.</p>			
4.3.1	<p>Maps of any fragile soils shall be available.</p> <p>- Major compliance -</p>	<p>Soil series map available. Refer to soil series map dated August 2016 prepared by R&amp;D-TTAS Precision Agriculture Unit (NHM). Soil series summary as follow:</p> <p><u>Bukit Asahan Estate</u>  Majority: Malacca: 62%, durian: 12%, local alluvium: 12.8%, Tavy: 3.8%, Bungor: 5.8%, Kulai: 2%, Munchong: 1%</p> <p><u>Serkam Estate (Kesang Division)</u>  Majority: Serdang (50.67%), Pohoi (21.07%), Local Alluvium I (2.56%), Local Alluvium II (6.11%), Gajah Mati (10.37%), Bungor (8.59%).</p> <p>There are no peat soils or soil categorised as problematic or fragile soil at all estates.</p>	Complied
4.3.2	<p>A management strategy shall be in place for plantings on slopes above a certain limit (this needs to be soil and climate specific).</p> <p>- Minor compliance -</p>	<p><u>Serkam Estate</u></p> <p>Terrain classification: Flat (0-2°) – 33.85%, undulating (2-6°) – 56.62%, rolling (6-12°) – 9.38%, gentle slope (12-20°) – 0.5%.</p> <p><u>Bukit Asahan Estate</u></p> <p>Terrain classification: Flat (0-2°) – 34.32%, undulating (2-6°) – 57.08%, rolling (6-12°) – 8.24%, gentle slope (12-20°) – hilly (20-25°) – 0.01%.</p> <p>Planting terraces had been constructed where gentle slope &gt;10°. Fields are established with cover crops such as mucuna and soft grasses and ferns.</p>	Complied
4.3.3	<p>A road maintenance programme shall be in place.</p> <p>- Minor compliance -</p>	<p>Estates visited have implemented annual Road Maintenance Programme FY2016/2017. Plan for the next financial year (FY 2017/2018) available for grading and compacting, resurfacing, road side pruning and culvert cleaning. Roads inspected during field audit are generally in a good condition due to the lateritic soil. Example for Serkam Estate, total completed programme for 2016/2017 – 800 trips (Kemendore Division), 1111 trips (Kesang Division).</p> <p><u>Bukit Asahan Estate</u></p> <p>Ayer Tekah Division – total trips 1932 completed for road maintenance programme (grading, resurfacing and patching etc) for FY 2016/2017.</p>	Complied

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4.3.4	Subsidence of peat soils shall be minimised and monitored. A documented water and ground cover management programme shall be in place. - Minor compliance -	There is no peat soil or soil categorised as problematic or fragile soil at both estates visited.  Complied
4.3.5	Drainability assessments shall be required prior to replanting on peat to determine the long-term viability of the necessary drainage for oil palm growing. - Minor compliance -	There is no peat soil or soil categorised as problematic or fragile soil at both estates visited.  Complied
4.3.6	A management strategy shall be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils). - Minor compliance -	There is no peat soil or soil categorised as problematic or fragile soil at both estates visited.  Complied
<b>Criterion 4.4:</b> Practices maintain the quality and availability of surface and ground water.		

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<p>4.4.1</p> <p>An implemented water management plan shall be in place. - Minor compliance -</p>	<p><u>Diamond Jubilee Palm Oil Mill</u> Sighted an implemented plan established KKS Diamond Jubilee Contingency Plan during water shortage for financial year 16/17:-</p> <ul style="list-style-type: none"> <li>i. Water shortage/dry spell: to use JBA supply.</li> <li>ii. Severe water pollution: to use JBA supply.</li> <li>iii. Rainwater collection: collection of rainwater into tanks for emergency purposes.</li> </ul> <p>The Rainfall monitoring records was made available. The data shows an average rainfall from August 2016 till June 2017 at 7932.45 m3.</p> <p><u>Serkam Estate</u> Sighted an implemented plan established as Contingency Water Management Action Plan 2017/2018 and Water Management Action Plan 2017/2018 Serkam Estate included the normal water usage mainly for process, cleaning &amp; etc.</p> <p>Drought season:-</p> <ul style="list-style-type: none"> <li>1. Fill drains with water from waterways/water catchment area.</li> <li>2. Used rain-harvesting tank.</li> <li>3. Buy water from JBA.</li> </ul> <p>Emergency condition:-</p> <ul style="list-style-type: none"> <li>1. Fill drains with water from water catchment area.</li> <li>2. Use rain-harvesting tank.</li> <li>3. Buy water from JBA.</li> </ul> <p>Flood:-</p> <ul style="list-style-type: none"> <li>1. Desilting drain on regular basis.</li> <li>2. Deepening and widening drains.</li> <li>3. Shift OP seedling to secure area.</li> </ul> <p>The Rainfall monitoring records Serkam Estate was made available. The data shows an average rainfall from July 2016 till June 2017 at 531.08 mm.</p> <p><u>Bukit Asahan Estate</u> Sighted an implemented plan established as Contingency Water Management Action Plan 2016/2017 and Water Management Action Plan 2016/2017 Bukit Asahan Estate included the normal water usage mainly for process, cleaning &amp; etc.</p> <p>Drought season:-</p> <ul style="list-style-type: none"> <li>1. Fill drains with water from waterways/water catchment area.</li> <li>2. Used rain-harvesting tank.</li> <li>3. Buy water from JBA.</li> </ul>	<p>Complied</p>

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	<p>Emergency condition:-</p> <ol style="list-style-type: none"> <li>1. Fill drains with water from water catchment area.</li> <li>2. Use rain-harvesting tank.</li> <li>3. Buy water from JBA.</li> </ol> <p>Flood:-</p> <ol style="list-style-type: none"> <li>1. Desilting drain on regular basis.</li> <li>2. Deepening and widening drains.</li> <li>3. Shift OP seedling to secure area.</li> </ol> <p>The Rainfall monitoring records Bukit Asahan Estate was made available. The data shows an average rainfall from July 2016 till June 2017 at 171.50mm.</p>														
<p>4.4.2</p>	<p>Protection of water courses and wetlands, including maintaining and restoring appropriate riparian and other buffer zones (refer to national best practice and national guidelines) shall be demonstrated. - Major compliance -</p>	<p>Documented as a Guidelines on River Reserve Management (Management of River Reserve in Sime Darby Plantation; dated April 2014). Buffer zones established as following:</p> <table border="1" data-bbox="660 875 1299 1059"> <thead> <tr> <th>River width</th> <th>Buffer zone</th> </tr> </thead> <tbody> <tr> <td>&gt; 40 meters</td> <td>50 meters</td> </tr> <tr> <td>20 to 40 meters</td> <td>40 meters</td> </tr> <tr> <td>10 to 20 meters</td> <td>20 meters</td> </tr> <tr> <td>5 to 10 meters</td> <td>10 meters</td> </tr> <tr> <td>&lt; 5 meters</td> <td>5 meters</td> </tr> </tbody> </table> <p>Monitoring based on Sustainable Plantation Management System Appendix 7 Standard Operation Procedure (SOP) for taking water samples from streams/rivers, version 1, year 2008, issue no. 1, dated 1/11/2008.</p> <p>The water sampling exercise for river samples as well as water for domestic usage requirements need to be carried out on quarterly basis (January, April, July and October) as following:</p> <p><u>Serkam Estate</u> tide gate water monitoring before &amp; after records: Report no. IE561/2017 dated 30/05/2017 by Sime Darby Research Sdn. Bhd. Report shown result does not conform with NSDWQ for domestic use. However, an investigation has been initiated and arrangement for a re-sampling and analysis are on-going.</p> <p>Sighted the SPMS appendix 7 (issue date 01/11/2008) and Operational Control procedure for water monitoring (issue date 26/02/2015). Result of the investigation to be verified during the next surveillance.</p> <p><u>Bukit Asahan Estate</u> industrial effluent (water) analysis: Report no. IE1222/2016 dated 09/12/2016 by Sime Darby Research Sdn. Bhd. Report shown result conforms with the NSDWQ requirements.</p>	River width	Buffer zone	> 40 meters	50 meters	20 to 40 meters	40 meters	10 to 20 meters	20 meters	5 to 10 meters	10 meters	< 5 meters	5 meters	<p>Complied</p>
River width	Buffer zone														
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<p>4.4.3</p> <p>Appropriate treatment of mill effluent to required levels and regular monitoring of discharge quality, especially Biochemical Oxygen Demand (BOD), shall be in compliance with national regulations (Criteria 2.1 and 5.6). - Minor compliance -</p>	<p>Palm Oil Mill Effluent (POME) treated through anaerobic pond treatment system where the licensed limit for final discharge BOD allowed by DOE was 5000mg/l through land application. Regular monitoring was conducted by the mill by taking the sample of waste water in final discharge point on monthly basis and water at the upstream, midstream and downstream of the river on quarterly basis.</p> <p>Sampled effluent monitoring records: Monthly Effluent Analysis Test Report no. EP344/2017 dated 05/07/2017 by Sime Darby Research Sdn. Bhd.; parameter monitored:- pH, Total Alkalinity, VFA, BOD, COD, TS, SS, VSS, TN, AN, O&amp;G.</p> <p>Samples were taken from each point of treatment in the system consist of raw pond, acid ponds, digester tanks and final pond before field application. BOD limit for final discharge &lt;5000mg/L were met as well as all parameters that were within allowable limit.</p>	<p>Complied</p>
<p>4.4.4</p> <p>Mill water use per tonne of Fresh Fruit Bunches (FFB) (see Criterion 5.6) shall be monitored. - Minor compliance -</p>	<p>SOU18 Diamond Jubilee palm oil mill monitored the water consumption on monthly basis for both its source of water supply from Syarikat Air Melaka Berhad (SAMB) and treated raw water (process).</p> <p>Total water consumed for the period from July 2016 to June 2017 was 1.36m3/MT FFB processed.</p>	<p>Complied</p>

**Criterion 4.5:**

Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.

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<p>4.5.1 Implementation of Integrated Pest Management (IPM) plans shall be monitored. - Major compliance -</p>	<p>IPM is documented in Agriculture Reference Manual. The estates continue to implement biological control for the oil palm pest in the plantation such as leaf eating pest and rat. IPM techniques applied at the estates include monitoring of pest numbers and the use of triggers for initiation of control measures. Although there have been no outbreaks of leaf eating pests, beneficial plants are being established along roadsides to attract natural predators. The estates are continue to plant beneficial plants such as Turnera subulata. Latest updates of Serkam Estate IPM's as per below:</p> <p>Beneficial plant : 6:2:2 (planted 1 dm/ha) –Serkam Estate division</p> <p>Rat baiting : calendar baiting (4 rounds below 20% - completed for field 02E), warfarin (1<sup>st</sup> generation)</p> <p>Barn owl box : Occupancy rate average at 60%, BOB maintenance and replacement/new box – Kemendore, Kesang and Jasin (40 box completed)</p> <p><u>Bukit Asahan Estate</u></p> <p>Beneficial plant : 6:2:2 (planted 1 dm/ha) Todate: 1.07 dm/ha</p> <p>Rat baiting : calendar baiting (8 rounds of baiting) completed for field 01C – 18% below threshold level) using warfarin (1<sup>st</sup> generation)</p> <p>Barn owl box : Occupancy rate – Ayer Tekah Division: 74%, Home Division: 66%. BOB maintenance and replacement/new box.</p>	<p>Complied</p>
<p>4.5.2 Training of those involved in IPM implementation shall be demonstrated. - Minor compliance -</p>	<p>IPM training is given by the Agronomist and plantation executives with qualification in agriculture. Interview with the barn owl occupancy census team confirm their understanding of the Sime Darby SOP in Agricultural Reference Manual v.1 Section 15 on census. The latest IPM training was carried on 3/2/17 at Serkam Division. For Bukit Asahan Estate, rat baiting and barn owl programme carried out on 11/4/17.</p>	<p>Complied</p>
<p><b>Criterion 4.6:</b> Pesticides are used in ways that do not endanger health or the environment</p>		

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<p>4.6.1</p> <p>Justification of all pesticides used shall be demonstrated. The use of selective products that are specific to the target pest, weed or disease and which have minimal effect on non-target species shall be used where available.</p> <p>- Major compliance -</p>	<p>The written justification in Standard Operating Procedure (SOP) of all agrochemical are available the Agricultural Reference Manual (ARM), SOP and in the Safety Pictorial Book prepared by Sime Darby Plantation Sdn Bhd. Refer to Sime Darby Agricultural Reference Manual, issue:1 version:3 dated 1/7/2011. Selected products are specific to the target pest, weed and disease. Some of recommended pesticides are:</p> <p>Immature planting (sample)</p> <ul style="list-style-type: none"> <li>- General weeds : Glyphosate</li> <li>- Legume &amp; broad leave : Metsulfuron Methyl</li> <li>- Stenochlaena palustris : Sodium chlorate</li> </ul> <p>Mature planting</p> <ul style="list-style-type: none"> <li>- VOPs : glyphosate &amp; sodium chlorate</li> </ul> <p>The selection is also evaluated by the agronomist during his visit to the estate.</p>	<p>Complied</p>																												
<p>4.6.2</p> <p>Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per ha and number of applications) shall be provided.</p> <p>- Major compliance -</p>	<p>Records of pesticides use (including active ingredients used and their LD 50, area treated, amount of a.i. applied per ha and number of applications) had been maintained and kept by the estate. For FY2016/2017, total 0.175 Ai/Ha recorded for Serkam Estate. (Metsulfuron methyl, cypermethrin, acephate, warfarin, glufossinate ammonium, thiram, trichlorofan). Summary of Ai/Ha from July 2016 – June 17 as per below:</p> <table border="1" data-bbox="660 1205 1299 1845"> <thead> <tr> <th>Month</th> <th>Ai/Ha</th> </tr> </thead> <tbody> <tr><td>July 2016</td><td>0.128</td></tr> <tr><td>August 2016</td><td>0.246</td></tr> <tr><td>September 2016</td><td>0.190</td></tr> <tr><td>October 2016</td><td>0.140</td></tr> <tr><td>November 2016</td><td>0.124</td></tr> <tr><td>December 2016</td><td>0.078</td></tr> <tr><td>January 2017</td><td>0.084</td></tr> <tr><td>February 2017</td><td>0.147</td></tr> <tr><td>March 2017</td><td>0.225</td></tr> <tr><td>April 2017</td><td>0.174</td></tr> <tr><td>May 2017</td><td>0.322</td></tr> <tr><td>June 2017</td><td>0.243</td></tr> <tr> <td><b>Average</b></td> <td><b>0.175</b></td> </tr> </tbody> </table>	Month	Ai/Ha	July 2016	0.128	August 2016	0.246	September 2016	0.190	October 2016	0.140	November 2016	0.124	December 2016	0.078	January 2017	0.084	February 2017	0.147	March 2017	0.225	April 2017	0.174	May 2017	0.322	June 2017	0.243	<b>Average</b>	<b>0.175</b>	<p>Complied</p>
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4.6.3	Any use of pesticides shall be minimised as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations identified in national Best Practice guidelines. - Major compliance -	The quantity of agrochemicals required for various field conditions are documented and justified in Sime Darby Plantation Agriculture Reference Manual Section 16.5. The implementation in the field is consistent with the Agriculture Reference Manual Section 16.5.
4.6.4	Pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimised and eliminated as part of a plan, and shall only be used in exceptional circumstances. - Minor compliance -	Paraquat was eliminated. Alternatives such as Glyphosate were used with the elimination of Paraquat. Based on the latest chemical register only class II, III & IV chemical used at visited estates.
4.6.5	Pesticides shall only be handled, used or applied by persons who have completed the necessary training and shall always be applied in accordance with the product label. Appropriate safety and application equipment shall be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7). - Major compliance -	Pesticide operators given training on the safe handling and application of the pesticides. Suitable personal protective equipments and application equipment provided to the operators. All precautions attached to the products explained to operators and understood by them. This was noted during the interview with workers.
4.6.6	Storage of all pesticides shall be according to recognised best practices. All pesticide containers shall be properly disposed of and not used for other purposes (see Criterion 5.3). - Major compliance -	The operating units comply with Regulation 9 of the Pesticides Act 1974 requiring balance of remaining solution to be kept under lock and key. During visit it was noted that all the remaining pesticides are kept in the store and securely locked and comply with regulation.
4.6.7	Application of pesticides shall be by proven methods that minimise risk and impacts. - Minor compliance -	The quantity of agrochemicals required for various field conditions are documented and justified in Sime Darby Plantation Agriculture Reference Manual Section 16.5. The implementation in the field is consistent with the Agriculture Reference Manual Section 16.5
4.6.8	Pesticides shall be applied aerially only where there is documented justification. Communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application. - Major compliance -	No aerial spray at SOU18

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4.6.9	Maintenance of employee and associated smallholder knowledge and skills on pesticide handling shall be demonstrated, including provision of appropriate information materials (see Criterion 4.8). - Minor compliance -	No associated smallholders. Employees handling pesticide given knowledge and skill required by the R&D Department and OSH Department to cover safe handling practices and standard operating procedures.	Complied
4.6.10	Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated (see Criterion 5.3). - Minor compliance -	Proper disposal of waste material are carried out as per the company procedures. The procedures are fully understood by workers and managers. Workers interview reveal that they are aware of the zero burning policy including domestic waste are not allowed to be burned. Management disposes waste material as per regulation for schedule waste and domestic waste.	Minor nonconformance
4.6.11	Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated. - Major compliance -	<p><u>Diamond Jubilee Palm Oil Mill</u> Last medical check-up was conducted on 06 – 07/10/2016 &amp; 10/10/2016 by DOSH Registered doctor No.: HQ/14/DOC/00383 for 23 workers. All workers found to be fit for work.</p> <p><u>Serkam Estate</u> Last medical check-up was conducted on 17/01/2017 by DOSH Registered doctor No.: HQ/14/DOC/00383 for 07 workers. All workers found to be fit for work.</p> <p><u>Bukit Asahan Estate</u> Last medical check-up was conducted on 12-13/07/2016 for 20 workers and 26/08/2016 for 05 workers by DOSH Registered doctor No.: HQ/14/DOC/00383. All workers found to be fit for work</p>	Complied
4.6.12	No work with pesticides shall be undertaken by pregnant or breast-feeding women. - Major compliance -	The female workers confirmed knowledge of the policy of transfer to alternative duties if wished to continue working when pregnancy was confirmed or breast-feeding.	Complied
<p><b>Criterion 4.7:</b> An occupational health and safety plan is documented, effectively communicated and implemented. The health and safety plan shall cover the following:</p>			

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<p>4.7.1</p> <p>A health and safety policy shall be in place. A health and safety plan covering all activities shall be documented and implemented, and its effectiveness monitored.</p> <p>- Major compliance -</p>	<p>SOU18 has maintained an approved Health and Safety Policy dated January 2015 that is displayed prominently on notice boards in English.</p> <p><b><u>Baseline &amp; Annual Audiometric Testing</u></b>  <u>Diamond Jubilee Palm Oil Mill</u>                      –Baseline &amp; Annual audiometric testing completed on 25/07/2016 &amp; 29/08/2016 by Specialist Mobile Safety Supplies Sdn Bhd, HQ/13/DOC/00/329. Total of 76 workers were sent for the annual testing. Results found that a total of 16 workers are with hearing impairment and 21 workers are with standard threshold shift.</p> <p><b><u>Additional Noise Monitoring</u></b>  <u>Diamond Jubilee Palm Oil Mill</u>                      – The Additional Noise Exposure Monitoring (NOISE/0816/004/KKS) was conducted on 02/08/2016 by Specialist Mobile Safety Supplies Sdn Bhd, JKKP HIE 127/5/3-1(NO134).</p> <p><b><u>Chemical Health Risk Assessment (CHRA)</u></b>  <u>Diamond Jubilee Palm Oil Mill</u>                      - CHRA conducted on 06-07/05/2015 by registered assessor JKKP HIE 127/171-2(358). Based on the CHRA, a total of 07 findings/recommendations reported.  <u>Serkam Estate</u> - CHRA conducted on 18/03/2015 by registered assessor JKKP/IH 127/171-2(223). Based on the CHRA, a total of 06 findings/recommendations reported.  <u>Bukit Asahan Estate</u> - CHRA conducted on 16/04/2015 by registered assessor JKKP/IH 127/171-2(223). Based on the CHRA, a total of 06 findings/recommendations reported.                      The action plan was established through the recommendation from the assessor.</p> <p><b><u>LEV inspection and testing</u></b>  <u>Diamond Jubilee Palm Oil Mill</u>                      - LEV inspection and testing was conducted on 04/07/2016 by registered assessor JKKP IHE 127/171-3/2(164). The LEV systems installed met the minimum required face velocity and duct transport velocity along the ducting and hoods.</p> <p><b><u>Contractors Management</u></b>  <u>Diamond Jubilee Palm Oil Mill</u>                      - Permit to Work (PTW) has been implemented for internal and external works involving confined space, hot work, working at height, LOTO and etc. Monitoring of PTW for confined space entry, permit issuance and cancellation are effectively implemented.</p>	<p>Complied</p>

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<p>4.7.2</p> <p>All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers.</p> <p>- Major compliance -</p>	<p>SOU18 had identified and reviewed significant hazards and risks and determined appropriate risk control measures. The hazard identification, risk assessment and risk control (HIRARC) records, as well as CHRA reports were verified during the assessment. Appropriate control measure has been determined and revised in the HIRARC register.</p> <p><u>Diamond Jubilee Palm Oil Mill</u></p> <p>- HIRARC was reviewed on 08/05/2017 and approved by the Manager. Mill activities was identified and risk assessed with respect to FFB grading and sorting, FFB sterilization, kernel and oil extraction, oil clarification, maintenance activities at the workshop, working in confined space, working at height and hot work activities.</p> <p>At the estates, among the HIRARC carried out covered activities like chemical mixing and spraying, chemical storage, harvesting and FFB collection and vehicle maintenance.</p> <p><u>Serkam Estate</u> - HIRARC was reviewed on 14/02/2017 and approved by the Manager. Revision done for harvesting activities including cutting ripe FFB, walking from palm to palm, bring down detached loose fruits remaining on the frond butt &amp; trunk and sharpening of sickle.</p> <p><u>Bukit Asahan Estate</u> - HIRARC was reviewed on 20/03/2017 and approved by the Manager. Implementation of the Workplace Safety Procedure (BT/SOP-11) was sighted. Revision done after the accident review for general works.</p>	<p>Complied</p>

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<p>4.7.3</p> <p>All workers involved in the operation shall be adequately trained in safe working practices (see Criterion 4.8). Adequate and appropriate protective equipment shall be available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, harvesting and, if it is used, burning.</p> <p>- Minor compliance -</p>	<p>Awareness and training program had been carried out. All workers involved had been adequately trained in safe working practices. The objective was to ensure all workers involved have been adequately trained in understanding MSDS, safe working practices and the correct use of PPE.</p> <ol style="list-style-type: none"> <li>1. Environment, Safety &amp; Health Program KKS Diamond Jubilee FY 2017/2018 was established and approved.</li> <li>2. Environment, Safety &amp; Health Program Serkam Estate FY 2017/2018 was established and approved.</li> <li>3. Environment, Safety &amp; Health Program Bukit Asahan Estate FY2016/2017 was established and approved.</li> </ol> <p>Suitable PPE has been provided to the workers based on the information in the MSDS and CHRA assessor's recommendation.</p> <p>List of Personal Protective Equipment (PPE) Provided – identifies the type of PPE for the respective activities.</p> <ol style="list-style-type: none"> <li>i. Boiler/Engine operator – Safety Helmet, Semi leather Hand Glove, Cotton Gloves, Safety Shoes, Safety Vest and Ear Muff.</li> <li>ii. Field workers (sprayer, manure &amp; harvester) – N95 respirator, anti-mist goggles, wellington boots, apron and sickle cover.</li> </ol> <p>The chemical store was found to be adequately organized, properly labelled, secured and person in charge understands the OSH procedures. MSDS was placed at the chemical stores and is available. The person in charge understands the information written in MSDS.</p>	<p>Complied</p>



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<p>4.7.4</p> <p>The responsible person/persons shall be identified. There shall be records of regular meetings between the responsible person/s and workers. Concerns of all parties about health, safety and welfare shall be discussed at these meetings, and any issues raised shall be recorded. - Major compliance -</p>	<p>SOU18 OSH policy is well briefed to all workers. Interview with workers reveal that they understand the policy and the importance of safety at work.</p> <p><u>Diamond Jubilee Palm Oil Mill</u> OSH/ESH meeting conducted on quarterly basis and last meeting conducted on 26/04/2017 attended by 19 persons.</p> <p>The work place inspection conducted on 06/02/2017 and review of accident record was discussed during the OSH meeting. No any unresolved safety and health issues noted.</p> <p><u>OSH Committee Members for 2017/2018</u></p> <p>Chairman – Tuan Senthilkumaran A/L Gopal (appointment letter dated 01/07/2017). Appointment letters for other OSH committee members dated 01/07/2017.</p> <p>OSH/EHS meeting: 26/04/2017, 15/02/2017, 19/12/2016 and 04/10/2016.</p> <p><u>Serkam Estate</u></p> <p>OSH/ESH meeting conducted on quarterly basis and last meeting conducted on 23/05/2017 attended by 19 persons.</p> <p>The work place inspection conducted on 11/05/2017 and review of accident record was discussed during the OSH meeting. No any unresolved safety and health issues noted.</p> <p><u>OSH Committee Members for 2016/2017</u></p> <p>Chairman – Tuan Harun Bin Ibrahim (appointment letter dated 24/10/2016). Appointment letters for other OSH committee members dated 01/11/2016.</p> <p>OSH/EHS meeting: 23/05/2017, 11/11/2016, 15/08/2016 and 20/05/2016.</p> <p><u>Bukit Asahan Estate</u></p> <p>OSH/ESH meeting conducted on quarterly basis and last meeting conducted on 21/04/2017 attended by 21 persons.</p> <p>The work place inspection conducted on 10/07/2017 and review of accident record was discussed during the OSH meeting. No any unresolved safety and health issues noted.</p> <p><u>OSH Committee Members for 2017</u></p> <p>Chairman – Tuan Nathan A/L Kannan (appointment letter dated 01/07/2017). Appointment letters for other OSH committee members dated 01/07/2017.</p> <p>OSH/EHS meeting: 21/04/2017, 25/01/2017, 11/11/2016 and 23/08/2016.</p>	<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance
<p>4.7.5</p> <p>Accident and emergency procedures shall exist and instructions shall be clearly understood by all workers. Accident procedures shall be available in the appropriate language of the workforce. Assigned operatives trained in First Aid should be present in both field and other operations, and first aid equipment shall be available at worksites. Records of all accidents shall be kept and periodically reviewed. - Minor compliance -</p>	<p>Accident and emergency procedures have been communicated to employees, contractors and visitors.</p> <ol style="list-style-type: none"> <li>1. <u>Diamond Jubilee Palm Oil Mill</u> Fire evacuation drill was last conducted on 08/02/2017 to test the state of readiness during emergency situation.</li> <li>2. <u>Serkam Estate</u> – Fire evacuation drill was last conducted on 22/11/2016 to test the state of readiness during emergency situation.</li> <li>3. <u>Bukit Asahan Estate</u> – Fire evacuation drill was last conducted on 24/02/2017 to test the state of readiness during emergency situation.</li> </ol> <p>Accident and emergency procedures are in Bahasa Malaysia and this is understood by the responsible workers, staff or executives involved in the operation. Good understanding level observed among the workers.</p> <ol style="list-style-type: none"> <li>1. Training for First Aid is conducted in annually. Sufficient first aiders trained.</li> <li>2. First aid equipment is available at worksites. During the site visit there is evident that First Aid Box is available at the relevant area with sufficient contents and in good condition.</li> <li>3. Fire extinguisher (ABC Powder) assessed during the site observation are available and within the expiry date.</li> <li>4. Portable emergency eye wash facility available at chemical store and laboratory. Both are in good working condition.</li> </ol> <p>Quarterly review on accident cases carried out during OSH quarterly meeting.</p> <p><u>Diamond Jubilee Palm Oil Mill</u> 17 accidents reported. JKKP 10 was sent to DOSH on 11/04/2017. JKKP 8 was sent to DOSH on 23/01/2017. DOSH visits (03/03/2017) been recorded in the DOSH log book and comments highlighted by DOSH was noted and action taken accordingly.</p> <p><u>Serkam Estate</u> 10 accidents reported. JKKP 6 was sent to DOSH on 27/10/2016. JKKP 8 was sent to DOSH on 20/01/2017. DOSH visit is scheduled for 12/07/2017. Outcome of the visit to be verified during the next surveillance.</p> <p><u>Bukit Asahan Estate</u> 18 accidents reported. JKKP 6 was sent to DOSH on 22/03/2017. JKKP 8 was sent to DOSH on 12/01/2017. DOSH visits (12/07/2017) been recorded in the DOSH log book and comments highlighted by DOSH was noted and action taken accordingly.</p>	<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance																					
<p>4.7.6 All workers shall be provided with medical care, and covered by accident insurance. - Minor compliance -</p>	<p>Medical care is provided to all the employees. Reviewed on workers profile records found that all workers are covered by the accident insurances.</p> <p>Malaysian workers are covered by SOCSO or Perkeso (Pertubuhan Keselamatan Sosial). Refer to form 8A, "Jadual Caruman" for <b>Jun 2017</b>.</p> <p>Foreign workers are covered by Foreign Workers Compensation Scheme Certificate of Insurance.</p> <table border="1" data-bbox="662 667 1305 1167"> <thead> <tr> <th>Insurance</th> <th>Period</th> <th>Remark</th> </tr> </thead> <tbody> <tr> <td>RHB Insurance (MW122335)</td> <td>18/02/2017 – 17/02/2018</td> <td>DJPOM</td> </tr> <tr> <td>RHB Insurance (MW132684)</td> <td>08/03/2017 – 07/03/2018</td> <td>DJPOM</td> </tr> <tr> <td>RHB Insurance (FW195348)</td> <td>17/10/2016 – 16/10/2017</td> <td>SE</td> </tr> <tr> <td>RHB Insurance (FW195350)</td> <td>17/10/2016 – 16/10/2017</td> <td>SE</td> </tr> <tr> <td>RHB Insurance (FW192882)</td> <td>23/08/2016 – 22/08/2017</td> <td>BAE</td> </tr> <tr> <td>RHB Insurance (FW193234)</td> <td>29/08/2016 – 28/08/2017</td> <td>BAE</td> </tr> </tbody> </table>	Insurance	Period	Remark	RHB Insurance (MW122335)	18/02/2017 – 17/02/2018	DJPOM	RHB Insurance (MW132684)	08/03/2017 – 07/03/2018	DJPOM	RHB Insurance (FW195348)	17/10/2016 – 16/10/2017	SE	RHB Insurance (FW195350)	17/10/2016 – 16/10/2017	SE	RHB Insurance (FW192882)	23/08/2016 – 22/08/2017	BAE	RHB Insurance (FW193234)	29/08/2016 – 28/08/2017	BAE	<p>Complied</p>
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<p>4.7.7 Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics - Minor compliance -</p>	<p>Accident records are found to be updated. All records on Lost Time Accident (LTA) metrics are maintained.</p> <p>Samples of accident statistic as shown below :</p> <table border="1" data-bbox="662 1323 1257 1630"> <thead> <tr> <th>Year to-date</th> <th>DJPOM</th> <th>SE</th> <th>BAE</th> </tr> </thead> <tbody> <tr> <td>2015</td> <td>03 (LTA 55)</td> <td>13 (LTA 128)</td> <td>07 (LTA 33)</td> </tr> <tr> <td>2016</td> <td>01 (LTA 70)</td> <td>08 (LTA 65)</td> <td>18 (LTA 75)</td> </tr> </tbody> </table> <p>*LTA is equivalent to lost man days (MC)</p> <p>DJPOM recorded LTI as at January 2017 – 322,444.</p> <p>SE recorded LTI as at January 2017 – 503,208.</p> <p>BAE recorded LTI as at January 2017 – 693,120.</p> <p>In 2016, the PSQM team has started to conduct an annual LTI validation which is sent to HQ for further action as a control. Hence the reason for the increase in accidents because of pro-active reporting.</p> <p>Bukit Asahan Estate has implemented and enforced the Workplace Safety Procedure/Work Instructions (BT/SOP-11).</p>	Year to-date	DJPOM	SE	BAE	2015	03 (LTA 55)	13 (LTA 128)	07 (LTA 33)	2016	01 (LTA 70)	08 (LTA 65)	18 (LTA 75)	<p>Complied</p>									
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<b>Criterion 4.8:</b> All staff, workers, smallholders and contract workers are appropriately trained.		
4.8.1	<p>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.</p> <p>- Major compliance -</p> <p>SOU18 has established an annual training program that covers all aspects of the RSPO Principles and Criteria.</p> <p>Environment, Safety &amp; Health Program KKS Diamond Jubilee FY2017/2018. Implementation is still on-going. 14 training needs/requirements – Training Plan FY2017/2018 identified for various categories of operating units.</p> <p>Environment, Safety &amp; Health Program Serkam Estate FY2017/2018. Implementation is still on-going. 15 training needs/requirements – Training Plan FY2017/2018 identified for various categories of operating units.</p> <p>Environment, Safety &amp; Health Program Bukit Asahan Estate FY2016/2017. Implementation is still on-going. 14 training needs/requirements – Training Schedule 2016/2017 identified for various categories of operating units.</p>	Complied

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<p>4.8.2 Records of training for each employee shall be maintained. - Minor compliance -</p>	<p>Training records for employees available and maintained at the office. Records are verified on a sampling basis which covers all aspect of training and RSPO P&amp;C requirement. Samples of training record as follows:</p> <p><u>Diamond Jubilee Palm Oil Mill</u></p> <table border="1" data-bbox="660 577 1297 943"> <thead> <tr> <th>Date</th> <th>Training</th> <th>Trainer</th> </tr> </thead> <tbody> <tr> <td>11/05/2017</td> <td>RSPO Supply Chain Certification</td> <td>Salwa (PSQM)</td> </tr> <tr> <td>13/02/2017</td> <td>Working At Heights</td> <td>Vergisri (PSQM)</td> </tr> <tr> <td>09/02/2017</td> <td>Chemical Hazard Handling Training</td> <td>Jason Hee</td> </tr> <tr> <td>01/10/2016</td> <td>How to War Earplug</td> <td>K. Ganeson</td> </tr> <tr> <td>13/06/2016</td> <td>Backhoe Loader Operator Training</td> <td>G. Raveen</td> </tr> </tbody> </table> <p><u>Serkam Estate</u></p> <table border="1" data-bbox="660 1032 1297 1503"> <thead> <tr> <th>Date</th> <th>Training</th> <th>Trainer</th> </tr> </thead> <tbody> <tr> <td>20/06/2017</td> <td>Chemical Handling Training</td> <td>Muhammad Najdi</td> </tr> <tr> <td>03/02/2017</td> <td>Integrated Pest Management Training</td> <td>PSQM</td> </tr> <tr> <td>07/11/2016</td> <td>Waste Management Project</td> <td>PSQM</td> </tr> <tr> <td>29/07/2016</td> <td>Harvesting Competency Training Program</td> <td>PSQM</td> </tr> <tr> <td>24/06/2016</td> <td>Town Hall (Malacca)</td> <td>PSQM</td> </tr> <tr> <td>19/06/2016</td> <td>P &amp; D Training</td> <td>PSQM</td> </tr> </tbody> </table> <p><u>Bukit Asahan Estate</u></p> <table border="1" data-bbox="660 1592 1297 2002"> <thead> <tr> <th>Date</th> <th>Training</th> <th>Trainer</th> </tr> </thead> <tbody> <tr> <td>20/04/2017</td> <td>Driving and Handling Badang for Manuring</td> <td>Mohammad Zakzwan</td> </tr> <tr> <td>11/04/2017</td> <td>Hoot Hoot The Rats</td> <td>PSQM</td> </tr> <tr> <td>23/03/2017</td> <td>Spraying Training</td> <td>Mohammad Zakzwan</td> </tr> <tr> <td>17/03/2017</td> <td>Deployment of e-Harvesting Interval e-HIR</td> <td>PSQM</td> </tr> <tr> <td>14/02/2017</td> <td>Rat Bait Application Training</td> <td>Mohammed Zakzwan</td> </tr> </tbody> </table>	Date	Training	Trainer	11/05/2017	RSPO Supply Chain Certification	Salwa (PSQM)	13/02/2017	Working At Heights	Vergisri (PSQM)	09/02/2017	Chemical Hazard Handling Training	Jason Hee	01/10/2016	How to War Earplug	K. Ganeson	13/06/2016	Backhoe Loader Operator Training	G. Raveen	Date	Training	Trainer	20/06/2017	Chemical Handling Training	Muhammad Najdi	03/02/2017	Integrated Pest Management Training	PSQM	07/11/2016	Waste Management Project	PSQM	29/07/2016	Harvesting Competency Training Program	PSQM	24/06/2016	Town Hall (Malacca)	PSQM	19/06/2016	P & D Training	PSQM	Date	Training	Trainer	20/04/2017	Driving and Handling Badang for Manuring	Mohammad Zakzwan	11/04/2017	Hoot Hoot The Rats	PSQM	23/03/2017	Spraying Training	Mohammad Zakzwan	17/03/2017	Deployment of e-Harvesting Interval e-HIR	PSQM	14/02/2017	Rat Bait Application Training	Mohammed Zakzwan	<p>Complied</p>
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Criterion / Indicator		Assessment Findings	Compliance
<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 compliance -	SOU18 Plans and impact assessments relating to environmental impacts based on documents as following: <ul style="list-style-type: none"> <li>• Appendix 5.4.1b - Environmental Aspect and Impact Evaluation Procedure, Version 1; Year 2008 Issue no. 1; Dated 1 April 2009; Register</li> <li>• Appendix 5.4.1c - Environmental Aspect and Impact Identification form, Version 1; Year 2008 Issue no. 1; Dated 1 April 2009; MR-01/EAI</li> <li>• Appendix 5.4.1d - Environmental Impacts Evaluation form, Version 1; Year 2008 Issue no. 1; Dated 1 April 2009; MR-02/EIE</li> </ul>	Complied

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<p>5.1.2</p> <p>Where the identification of impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a comprehensive management plan. The management plan shall identify the responsible person/persons. - Minor compliance -</p>	<p>There is no change of current practices required to mitigate negative effects based on identified impacts for both the mill and estates.</p> <p>However the mill and estates have conducted periodical review on the aspects and impacts identified and evaluated as registered.</p> <p>The mill and estates has continuously implemented its annual programs that were established as part of its individual Pollution Prevention Plan. Managers and assistant managers of mill and estates were identified as person-in-charge of the programs which were established upon review of the aspect and impact register. It was observed that the reviewing and updating on the registers were done annually if there's no any new activity within respective sites.</p> <p>Review of aspect and impact register were done as following:</p> <p><u>Diamond Jubilee Palm Oil Mill</u> Environmental Aspect Identification (EAI) and Environmental Evaluation (EIE) reviewed and updated on 08/05/2017. Neither any change to current operation nor new activity identified by the mill other than normal mill operation including weighbridge operation, process, maintenance, water and waste water treatment.</p> <p><u>Serkam Estate</u> Environmental Aspect Identification (EAI) and Environmental Evaluation (EIE) reviewed and updated on 05/07/2017. No any changes identified to the environmental aspects and impacts.</p> <p><u>Bukit Asahan Estate</u> Environmental Aspect Identification (EAI) and Environmental Evaluation (EIE) reviewed and updated on 07/04/2017. No any changes identified to the environmental aspects and impacts.</p>	<p>Complied</p>

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<p>5.1.3</p> <p>This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.</p> <p>- Minor compliance -</p>	<p><u>Diamond Jubilee Palm Oil Mill</u> Monitoring plan was established based on DOE license compliance schedule which include scheduled waste storage and disposal record, POME final discharge BOD and boiler stack sampling.</p> <p>Based on Sustainable Plantation Management System Appendix 10 Procedure for Mill Environmental Performance version 1, year 2008, issue no. 1, dated 1 October 2008. Uses the Mill Environmental Performance Review (Form A) Mill environmental monitoring records available/sighted:</p> <p><u>Diamond Jubilee Palm Oil Mill</u> - Online scheduled waste inventory &amp; consignment (file ref. no. 31/152/000/002; Inventory no. 0403M075325162017) – updated as of 30/06/2017 where the quantity and storage period were within allowable limit.</p> <p><u>Serkam Estate</u>- Online scheduled waste inventory &amp; consignment (file ref. no. 83/101/200/001; Inventory no. serkam1234172017) – updated as of 10/07/2017 where the quantity and storage period were within allowable limit.</p> <p><u>Bukit Asahan Estate</u> - Online scheduled waste inventory &amp; consignment (file ref. no. asmk(b)11/123/ 000/004; Inventory no. 2016022312E5XLW 362017) – updated as of 01/06/2017 where the quantity and storage period were within allowable limit.</p>	<p>Complied</p>
<p><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 and operations managed to best ensure that they are maintained and/or enhanced.</p>		
<p>5.2.1</p> <p>Information shall be collated in a High Conservation Value (HCV) assessment that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors).</p> <p>- Major compliance -</p>	<p>HCV Re-Assessment for Strategic Operating Unit (SOU) 148 Diamond Jubilee was carried out on April 2017 by Plantation Sustainability Quality Management (PSQM) Department, Sime Darby Plantation Sdn. Bhd. Final report Report (Version II). Total HCV area identified for Diamond Jubilee SOU14 falls under Water Catchment area (0.69 ha) Ayer Tekah Division, Main division of Bukit Asahan (0.69 ha) – HCV category 4. Water Catchment areas (5.58 ha) – HCV 4.</p>	<p>Complied</p>
<p>5.2.2</p> <p>Where rare, threatened or endangered (RTE) species, or HCVs, are present or are affected by plantation or mill operations, appropriate measures that are expected to maintain and/or enhance them shall be implemented through a management plan.</p> <p>- Major compliance -</p>	<p>Regular patrols within the operating unit estates were carried out and findings recorded by the respective Estate executives to monitor the Conservation / buffer zone areas. Mechanism for reporting the sightings of various types of wildlife, were found to have been in place. Monitoring and control of any illegal hunting, fishing or collecting activities was also implemented. Signage that prohibit hunting, fishing and water polluting activities were verified on-site at the estates visited (i.e. Bukit Asahan) found to have been satisfactorily maintained.</p>	<p>Complied</p>



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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 compliance -	The program to regularly educate the workforce and community about the status of these RTE species are also established with on-going consultation with the relevant authorities such as Wildlife Department, Melaka. There is evidence of commitment to discourage any illegal or inappropriate hunting, fishing or collecting activities via the signage erected around the affected areas which prohibit such activities. Observed during on site at P10A1 Bukit Asahan Estate, trespassing/prohibition of illegal hunting/fishing signage the HCV 4 (water catchment) sighted.	Complied
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 compliance -	Management plans were established and monitoring outcomes were reviewed by the Estate managers. There are no HCV or reported RTE at the Bukit Asahan as reported in the PSQM HQ Report. Verification were also made during on-site assessment and found to be satisfactory. The overall management plan on the status of HCV/RTE of the Diamond Jubilee operating unit is collated reviewed and monitored by the HQ sustainability team. Onsite monitoring records such AP patrolling and field observation records were checked. Animal sighting, buffer zone and pond are were monitored and outcomes will be fed back into the management plan for improvement.	Complied
5.2.5 Where HCV set-asides with existing rights of local communities have been identified, there shall be evidence of a negotiated agreement that optimally safeguards both the HCVs and these rights. - Minor compliance -	There was no HCV set-aside that needs any negotiation process with the local communities.	Complied
<b>Criterion 5.3:</b> Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.		

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<p>5.3.1</p> <p>All waste products and sources of pollution shall be identified and documented. - Major compliance -</p>	<p>As per Sustainable Plantation Management System Appendix 9 Procedure for Handling of Domestic Waste version 1, year 2008, issue no. 1, dated 1 October 2008.</p> <p>Mill: type of waste – effluent, fibre/shell, EFB, boiler clinker, wash water, scrap metal, scheduled waste, boiler blowdown, hydro-cyclone wash water, methane gas.</p> <p>Estate: type of waste – scheduled waste – SW102, SW305, SW306, SW409, SW410, SW404 – workshop, clinic, SW store, store; domestic waste – rubbish &amp; sewage – line-site, office, workshop, store, shop &amp; recycle waste – empty container, scrap metal.</p> <p>Records on the usage and disposal were well recorded and documented. Appropriate secondary containment for the diesel skid tanks, chemical and scheduled waste storage areas was verified to be maintained accordingly.</p> <p><u>Diamond Jubilee Palm Oil Mill</u> Scheduled waste for Diamond Jubilee Palm Oil Mill was through contractor Ranama Resources Sdn Bhd. Sighted consignment #4790 dated 15/03/2017 for:-</p> <ul style="list-style-type: none"> <li>• SW306 – 2017031612PR3KX6</li> <li>• SW322 – 2017031612TN0C1W</li> <li>• SW409 – 201703161203ZDI1</li> <li>• SW410 – 2017031614OWF67H</li> </ul> <p><u>Serkam Estate</u> Record of medical waste SW404 disposal shown latest disposal was done on 05/04/2017 through Klinik Mawar Dan Pembedahan (Melaka) Sdn Bhd. Sighted DOE approval letter ref: ASMK(M)83/101/200/001 dated 11/03/2015. Sighted also the agreement for the clinical waste disposal dated 14/04/2015.</p> <p>Scheduled waste disposal was made through contractor SS Setia Teknologi Enterprise. Sighted consignment #0725 dated 07/02/2017 and #0728 dated 11/02/2017.</p> <p><u>Bukit Asahan Estate</u> Record of medical waste SW404 disposal shown latest disposal was done on 16/06/2017 through Klinik Dr Jeggan Sdn Bhd. Sighted the agreement to Klinik Dr Jeggan Sdn Bhd for the clinical waste disposal.</p> <p>Scheduled waste disposal was made through contractor SS Setia Teknologi Enterprise. Sighted consignment #0643 dated 21/09/2016 and #0645 dated 26/09/2016.</p>	<p>Complied</p>

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<p>5.3.2</p> <p>All chemicals and their containers shall be disposed of responsibly. - Major compliance -</p>	<p>Based on policy to reduce, reuse and recycle, the management of used chemicals and containers were done in accordance Scheduled Waste regulations.</p> <p>For estates, the empty pesticides container were collected in scheduled waste store after being triple rinsing and punctured at the bottom of the container.</p> <p>Stores for scheduled waste were inspected at audited sites in mill and estates and disposal was done by scheduled waste disposal company authorized and licensed by Department of Environment.</p> <p>The mill and estates also have a proper Scheduled Waste Store for storing scheduled waste until time of disposal by DOE authorized waste disposal contractor.</p>	<p>Complied</p>
<p>5.3.3</p> <p>A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented. - Minor compliance -</p>	<p>Scheduled waste is managed well with designated storage area at the mill and each of the estates in accordance with the requirements of the Environmental Quality Act 1974 (Scheduled Wastes), Regulations, 2005. Disposal was through licensed collector.</p> <p>The company has continued managing scheduled waste stores at the mill and each of the estates. Agrochemical containers are triple rinsed and punctured to avoid any misuse.</p> <p>KKS Diamond Jubilee Pollution Prevention Plan – FY 16/17 dated 01/07/2016 includes waste management and raw effluent overflow. Waste Management Plan FYR 2016/2017 dated 10/06/2017 including scheduled waste and scheduled waste store sighted during the visit for the mill.</p> <p>Environmental Improvement Plan/Pollution Prevention Plan – FY 17/18 (Serkam Estate) dated 03/07/2016 includes minimize use of herbicides, waste management, maximizing recycling and minimizing waste or by product generation, oil spillage and minimize use of pesticides. Serkam Estate Waste Management Plan 2017/2018 dated 05/07/2017 including scheduled waste, recycle waste, industrial waste, domestic waste and clinical waste sighted during the visit for the estate.</p> <p>Waste Management Action Plan 2016/2017 Bukit Asahan Estate dated 09/06/2017 including scheduled waste, domestic waste, industrial waste and sewage waste sighted during the visit for the estate.</p>	<p>Minor nonconformance</p>
<p><b>Criterion 5.4:</b> Efficiency of fossil fuel use and the use of renewable energy is optimised.</p>		

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<p>5.4.1</p> <p>A plan for improving efficiency of the use of fossil fuels and to optimise renewable energy shall be in place and monitored. - Minor compliance -</p>	<p>Monthly record on energy consumption for both renewable and non-renewable sources were kept and documented. It is monitored to optimise use of renewable energy. Data is being compiled for comparison and control for future improvement.</p> <p>For Diamond Jubilee mill, no diesel generator for power generation and alternatively used electricity from the grid for process start-up and the main power generation is from steam turbine.</p> <p>Mill using biomass fuel (palm fibre and shells) to generate electricity through steam turbine and boiler.</p> <p>The use of energy in palm oil mill and line site was monitored monthly to compare the energy usage against the production of CPO. Electricity generation was through steam turbine and boiler where Palm fibre and PK shells were used as renewable energy/fuel on a 70:30 ratio basis respectively. Monthly records of energy consumption of non-renewable and renewable fuel per metric tonne of palm product at the Mill were available.</p> <p>At the estates, diesel consumption per metric ton FFB was also monitored on a monthly basis. It was verified that energy usage are being monitored at the operating units for better control and comparison of trends.</p>	<p>Complied</p>
<p><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.</p>		
<p>5.5.1</p> <p>There shall be no land preparation by burning, other than in specific situations as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions. - Major compliance -</p>	<p>Zero burning within estate area has been implemented in Tanah Merah and Bukit Pelandok Estate as part of its pollution prevention plan. This was based on the action plan to prevent open burning which includes planting cover crops, installing zero burning notice boards, briefing and etc.</p> <p>Furthermore, the Group policy of "Zero open burning" is enforced since July 2008. The operating units adhered to the policy of "Zero open burning" for any replanting, if any, in the estates. Field inspections made in both Tanah Merah and Bukit Pelandok estates field showed no evidence of open burning</p>	<p>Complied</p>
<p>5.5.2</p> <p>Where fire has been used for preparing land for replanting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions. - Minor compliance -</p>	<p>The operating units have adhered to the zero burning policy for replanting at the estates.</p> <p><u>Serkam Estate</u></p> <p>FY 2016/2017 replanting programme: Field 1990B, 1990C, 1992A and 1994A (tall palm and gonoderma affected field) – observed no open burning. Felling, debolling, chipping using excavator and stacking. Chambering – harvesting path</p>	<p>Complied</p>
<p><b>Criterion 5.6:</b> Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.</p>		

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<p>5.6.1</p> <p>An assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent (see Criterion 4.4). - Major compliance -</p>	<p>Based on the assessment done by Diamond Jubilee Mill of all polluting activities as of the Environment Aspect and Impact assessment, identified source was boiler chimney. Current monitoring was through online boiler smoke density, alarm and quarterly boiler stack monitoring of dust particulate.</p> <p>Sighted monitoring report of boiler stack #1 sampling records dated 25/01/2017 for 4th quarter of 2016 (01/10/2016 – 31/12/2016). Effluent discharge onto Land.</p> <ol style="list-style-type: none"> <li>1. Total crude Palm-Oil Produced: 7,380.238mt.</li> <li>2. Total FFB Processed: 35,850.210mt.</li> <li>3. Total metered / estimated water consumption: 21,227.770m3.</li> </ol> <p>Preliminary Advice of test results: 04/11/2016, 25/11/2016 &amp; 05/01/2017).</p> <p>Stack Emission Monitoring for Boiler No. 1 carried out by Spectrum Laboratories (Johore) Sdn. Bhd. Refer to report ref# ETD/KKSD/SE/2017/04/15917 dated 24/05/2017. The dust concentration, sulfuric acid mist, H2SO4, oxide of nitrogen, NOx and dark smoke observation complied with the regulations.</p>	<p>Complied</p>
<p>5.6.2</p> <p>Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimise them implemented. - Major compliance</p>	<p>Main source of significant pollutants and greenhouse gas (GHG) identified was methane (CH4) emission through POME treatment.</p> <p>Diamond Jubilee is not in the list of methane capture facilities in POME treatment pond.</p> <p>Other less significant GHG emissions identified including CO<sub>x</sub>, SO<sub>x</sub> and NO<sub>x</sub> from various sources including fossil fuel, chemical and fertilizer consumptions.</p>	<p>Complied</p>
<p>5.6.3</p> <p>A monitoring system shall be in place, with regular reporting on progress for these significant pollutants and emissions from estate and mill operations, using appropriate tools. - Minor compliance -</p>	<p>Monitoring of the GHG quantity was done through RSPO approved calculator Palm GHG. Annual quantification of all GHG sources was input into the calculator. These calculations were done in HQ level where GHG calculations were done as per SOU basis.</p> <p>Reporting of the GHG to RSPO ERWG was done on 24/04/2017.</p>	<p>Complied</p>

**Principle 6: Responsible consideration of employees and of individuals and communities affected by growers and millers.**

**Criterion 6.1:**

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

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6.1.1 A social impact assessment (SIA) including records of meetings shall be documented. - Major compliance -	<p>The latest social impact assessment for SOU18 was conducted on 12<sup>th</sup> to 15<sup>th</sup> July 2016 by Sustainability Strategy Unit of Plantation Sustainability &amp; Quality Management Department personnel. Assessment was done with the participation of affected parties' i.e. stakeholders, estate management &amp; staff, field workers, government agencies, neighboring villagers.</p> <p>Assessment records shown findings &amp; recommended action plan included the following:</p> <ol style="list-style-type: none"> <li>1) Housing condition/living improvement matters related to bats intrusion on house ceiling top, stray dogs, mosquito fogging</li> <li>2) Workers monthly income inconsistency due to limited overtime</li> <li>3) Kettle rearing within estate field – action with kettle owner</li> </ol> <p>Current social action plan contains a timetable with person responsible to manage and monitor each issue already addressed the latest SIA findings &amp; recommended action plan.</p>	Complied
6.1.2 There shall be evidence that the assessment has been done with the participation of affected parties. - Major compliance -	<p>There is evidence that the assessment has been done with the participation of affected parties. All records of meetings, consultation takes place during the SIA is incorporated in the document. List of the stakeholders consulted are also available.</p> <p>Interviewed with the contractor and local communities confirmed that they had attended the stakeholder meeting.</p>	Complied
6.1.3 Plans for avoidance or mitigation of negative impacts and promotion of the positive ones, and monitoring of impacts identified, shall be developed in consultation with the affected parties, documented and timetabled, including responsibilities for implementation. - Major compliance -	<p>Action Plan for Social Assessment has been developed based on the recommendation from SIA report which reviewed on 7/72017. The latest review of management plan on SIA for SOU 18 (Diamond Jubilee Region) was conducted through meeting dated on 6/7/2017. Sighted meeting attended by relevant internal &amp; external stakeholders.</p>	Complied
6.1.4 The plans shall be reviewed as a minimum once every two years and updated as necessary, in those cases where the review has concluded that changes should be made to current practices. There shall be evidence that the review includes the participation of affected parties. - Minor compliance -	<p>The SIA action/management plan is reviewed annually. Diamond Jubilee Region estate was sighted and the last review was conducted on 11<sup>th</sup> July 2016.</p>	Complied
6.1.5 Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme). - Minor compliance -	<p>Not applicable as no smallholder scheme.</p>	Not applicable

**Criterion 6.2:**

There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.

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6.2.1	Consultation and communication procedures shall be documented. - Major compliance -	Documented procedure in Sustainable Plantation Management System on handling social issues, Appendix 5, Version 1, and Issue No.1, dated 01/11/2008 was established and available.	Complied
6.2.2	A management official responsible for these issues shall be nominated. - Minor compliance -	Mill and Estate Assistant Manager have been appointed as responsible person for communication and consultation with the affected parties. Appointment letter dated 01/08/2015 has been issued to Assistant Mill Manager, Muhamad Nasrudin Alam for the period throughout his service. Serkam Estate Assistant Manager, Muhammad Najdi Ahmad Hifni was appointed on 03/07/2017 for the period from July 2017 until June 2018. Bukit Asahan Estate Assistant Manager, Muhammad Syazwan Shamsudin was appointed on 01/07/2017 for the period from July 2017 until June 2018.	Complied
6.2.3	A list of stakeholders, records of all communication, including confirmation of receipt and that efforts are made to ensure understanding by affected parties, and records of actions taken in response to input from stakeholders, shall be maintained. - Minor compliance -	Diamond Jubilee and its' supply base has updated stakeholders list and stakeholder meeting and communication records sighted as following: a. List of stakeholder 2016/2017 b. Mill stakeholder meeting minutes dated 6/7/2017 discussing on the status of implementation of SIA action plan c. Stakeholder meeting in Serkam Estate was conducted on 19/5/2017. d. Stakeholder meeting in Bukit Asahan Estate was conducted on 4/5/2017.	Complied
<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 effected parties.			
6.3.1	The system, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistleblowers, where requested. - Major compliance -	Sime Darby has an established and documented system for dealing with complaints and grievances. Record shows that "Complaints and Grievances Book" in all estates visited are still active in recording complaints/requests made by employees and other stakeholders.  Over the past 12 months, entries made were mainly on minor repairs needed to the housing facilities repairs were verified to be attended to in a timely manner.	Complied
6.3.2	Documentation of both the process by which a dispute was resolved and the outcome shall be available. - Major compliance –	The management has organized stakeholder's meeting, Gender committee's meeting as well as OSH committee's meeting to give opportunity to the affected internal and external stakeholders to raise their concerns and issues. The issues will be lodged into the complaint book and action taken has been acknowledged by the assistant. For example, Job Requisition for Workers.	Complied
<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 compliance -	SOP to identify legal and customary rights as well as people entitled to compensation has been established- titled "Handling Land Disputes" SOP dated 01 Nov 2008. There have been no issues related to loss of legal customary rights with indigenous peoples, local communities and other stakeholders	Complied

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6.4.2	<p>A procedure for calculating and distributing fair compensation (monetary or otherwise) shall be established and implemented, monitored and evaluated in a participatory way, and corrective actions taken as a result of this evaluation. This procedure shall take into account: gender differences in the power to claim rights, ownership and access to land; differences of transmigrants and long-established communities; and differences in ethnic groups' proof of legal versus communal ownership of land.</p> <p>- Minor compliance -</p>	<p>Procedure for handling land disputes to identify legal, customary rights and people entitled to compensation has been established dated 01 Nov 2008.</p> <p>Based on the evidence from on-site assessment, there are no indigenous communities within or surrounding SOU 18 that holds legal or customary rights over the land.</p>	Complied
6.4.3	<p>The process and outcome of any negotiated agreements and compensation claims shall be documented, with evidence of the participation of affected parties, and made publicly available.</p> <p>- Major compliance -</p>	<p>No issues related to loss of legal customary rights with indigenous peoples, local communities and other stakeholders.</p>	Complied
<p><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.</p>			
6.5.1	<p>Documentation of pay and conditions shall be available.</p> <p>- Major compliance -</p>	<p>Documentation of pay and conditions such as pay slips shows gross pay, net pay, leave, medical leave pay etc. are maintained by the company. Samples taken:</p> <p>Diamond Jubilee POM:</p> <ul style="list-style-type: none"> <li>a. Worker no: 0000025052 (Malaysia)</li> <li>b. Worker no: 0000101161 (Malaysia)</li> <li>c. Worker no: 0000122779 (Indonesia)</li> <li>d. Worker no: 0000092906 (Indonesia)</li> </ul> <p>Serkam estate:</p> <ul style="list-style-type: none"> <li>a. Worker no: 0000128442 (Indonesia)</li> <li>b. Worker no: 0000128445 (Indonesia)</li> <li>c. Worker no: 0000128917 (Indonesia)</li> <li>d. Worker no: 0000128913 (Indonesia)</li> <li>e. Worker no: 0000046752 (Malaysia)</li> </ul> <p>Bukit Asahan estate:</p> <ul style="list-style-type: none"> <li>a. Worker no: 0000051076 (India)</li> <li>b. Worker no: 0000130522 (India)</li> <li>c. Worker no: 0000130919 (India)</li> </ul> <p>Payment of minimum wage order 2016 has been consistently implemented since 1st July 2016.</p>	Complied



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<p>6.5.2</p> <p>Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be available in the languages understood by the workers or explained carefully to them by a management official.</p> <p>- Major compliance -</p>	<p>Employment contract are available in bi-lingual that understood by workers. Pay and conditions explained to workers during post-arrival orientation. The working hours, deduction, annual leave and etc. are stated in the employment contract.</p> <p>Sampled workers' contract as below:</p> <p><u>Diamond Jubilee Mill:</u></p> <ul style="list-style-type: none"> <li>- Passport # AT540966: Employment contract from 03/11/2016 till 02/11/2019</li> <li>- Passport # L4694381: Employment contract from 03/02/2017 till 02/02/2020</li> <li>- Passport # H4348216: Employment contract from 03/02/2017 till 02/02/2020</li> </ul> <p><u>Serkam Estate:</u></p> <ul style="list-style-type: none"> <li>- Passport # AN797602: Employment contract from 01/01/2017 till 31/12/2018</li> <li>- Passport # N1484430: Employment contract from 24/12/2017 till 23/12/2020</li> <li>- Passport # K6217559: Employment contract from 03/12/2017 till 02/12/2020</li> </ul> <p><u>Bukit Asahan Estate:</u></p> <ul style="list-style-type: none"> <li>- Passport # L9651995: Employment contract from 23/01/2017 till 23/01/2019</li> <li>- Passport # M2581463: Employment contract from 07/02/2017 till 07/02/2018</li> <li>- Passport # BE0655757: Employment contract from 19/09/2014 till 19/09/2017</li> </ul> <p>During interviewed confirmed there is no discrimination in terms of implementation such as water supply and electricity deduction and medical although the contract's content is difference. It was further verified the evidence such as water supply deduction for usage more than 35 gallon water and interview of the workers confirmed that there is no discrimination.</p>	<p>Complied</p>
<p>6.5.3</p> <p>Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible.</p> <p>- Minor compliance –</p>	<p>Based on visit to the line site and interview with the worker, confirmed that Palm Oil Mill and estates provide adequate housing, water supplies, medical, educational and welfare amenities in accordance with Workers' Minimum Standard of Housing and Amenities Act 1990 (Act 446). There is on-going upgrading of housing. Water is supplied to workers housing through piping. The water tanks are provided for storage purpose.</p> <p>Accesses to food for the workers are considered adequately and sufficiently as the estate is very near to the town.</p> <p>Line site inspection was done weekly by HA and recorded in the log book. Weekly summary reported via new reporting format for housing inspection. In Serkam Estate, the latest inspection report recorded on July 2016.</p>	<p>Complied</p>

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6.5.4	Growers and millers shall make demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food. - Minor compliance -	Accesses to food for the workers are considered adequately and sufficiently. Location of POM and supply base is near to the town.	Complied
<b>Criterion 6.6:</b> The employer respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.			
6.6.1	A published statement in local languages recognising freedom of association shall be available. - Major compliance -	The company has developed Social Policy dated January 2015 signed by Managing Director stated the employees have freedom of association. The employees can freely decide to join workers union.	Complied
6.6.2	Minutes of meetings with main trade unions or workers representatives shall be documented. - Minor compliance -	Mill: Latest meeting with union representative was conducted on 24/1/2017.  Serkam Estate: Latest meeting with union representative conducted on 15/6/2017.  Bukit Asahan Estate: Latest meeting with union representative conducted on 19/6/2017.	Complied
<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 compliance -	The company has developed Child Labor policy dated January 2015. Operating units are complied with the minimum age requirement. No employees below the age of 18.	Complied
<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 compliance -	Social & Humanity Management Policy dated January 2015 is available and displayed at the office which is accessible by the relevant parties.	Complied
6.8.2	Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated against. - Major compliance -	There is no any discrimination based on religion, gender, nationality and etc during their recruitment. Amenities provided to all the workers without any discrimination. There are OSH committee, Gender committee and stakeholder meeting as a channel for all the stakeholders to complaint if any. No grievances were highlighted to the audit team by internal and external stakeholders.	Complied
6.8.3	It shall be demonstrated that recruitment selection, hiring and promotion are based on skills, capabilities, qualities, and medical fitness necessary for the jobs available. - Minor compliance -	There is no any discrimination based on religion, gender, nationality and etc. during their recruitment. The recruitment process is based on skills, capabilities, medical fitness necessary and etc.	Complied

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<b>Criterion 6.9:</b> There is no harassment or abuse in the work place, and reproductive rights are protected.			
6.9.1	Policy to prevent sexual and all other forms of harassment and violence shall be implemented and communicated to all levels of the workforce. - Major compliance -	Gender policy dated January 2015 signed by Managing Director is available and displayed at the office compound. Last gender committee refresher training was conducted on 11/8/2015 together with the communication of policy to all employees. Gender committee meeting has been conducted and meeting minutes were sighted. Latest meeting minutes (4/2/2017 & 14/8/2016 – Diamond Jubilee POM; 6/7/2017 – Serkam Estate, 9/3/2017 – Bukit Asahan Estate) were sampling and no issue on sexual harassment and violence sighted.	Complied
6.9.2	A policy to protect the reproductive rights of all, especially of women, shall be implemented and communicated to all levels of the workforce. - Major compliance -	Gender policy dated January 2015 signed by Managing Director is available and displayed at the office compound. Social & Humanity Management Policy dated January 2015 described the management protects women reproductive rights.	Complied
6.9.3	A specific grievance mechanism which respects anonymity and protects complainants where requested shall be established, implemented, and communicated to all levels of the workforce. - Minor compliance -	Sexual Harassment Grievance Procedures is part of the Manual on Implementation of the Gender Policy. The Gender Committee will carry out investigation upon receipt of the grievance report. The investigation shall, as far as is practicable, commence within 2 days from the filling of the grievance. The findings will be made known to the victim within 5 days of the commencement of the investigation Up to date, no grievances received.	Complied
<b>Criterion 6.10:</b> Growers and mills deal fairly and transparently with smallholders and other local businesses.			
6.10.1	Current and past prices paid for Fresh Fruit Bunches (FFB) shall be publicly available. - Minor compliance -	Not available since the mill does not purchase FFB from third party or out growers. However, the mill has the details of FFB prices based on MPOB pricing.	Complied
6.10.2	Evidence shall be available that growers/millers have explained FFB pricing, and pricing mechanisms for FFB and inputs/services shall be documented (where these are under the control of the mill or plantation). - Major compliance -	The palm oil mill does not purchase FFB from third party or out growers. However, the mill has the details of FFB prices based on MPOB pricing. Operating units have pricing mechanisms for inputs/services documented for the contract work under the control of the mill or plantation through contract agreements.	Complied
6.10.3	Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent. - Minor compliance -	Sampled contract sighted: a. Contract ref. # T/SDPSB/PEN/FFB/0815/007; date: 18/7/2016; Effective from 1/9/2016 for 1+1 year; 01 July 2013 to 30 June 2014; Description: FFB & EFB transport, transport tools (HQ level contract); Contract # 02/2016/2017 (Estate level contract) b. Contract ref. # 03/2017/2018; Validity: 1/7/2017 to 30/6/2018; Description: Fogging c. Contract ref. # 04/2017/2018; Validity: 1/7/2017 to 30/6/2018; Description: Grass Cutting	Complied

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6.10.4	Agreed payments shall be made in a timely manner. - Minor compliance -	Interviewed with the contractor confirmed that all the payment are made in a timely manner. Further verified their payment voucher and purchase order as below:  a. Contract form # 4300380106; date: 1/7/2017; Invoice # 00000449; date: 30/6/2017; Payment voucher # 1600001227; date: 7/7/2017  b. Contract form # 4300379260; date: 30/6/2017; Invoice # 4404; date: 30/6/2017; Payment voucher # 1600001238; date: 7/7/2017  c. Contract form # 4300380037; date: 1/7/2017; Invoice # 003; date: 28/6/2017; Payment voucher # 1600001244; date: 7/7/2017	Complied
<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 compliance -	CSR samples:  - Contribution to PIBG SJKT Diamond Jubilee Estate for school camping program on 28-30/4/2017  - Health campaign program towards employee through gender committee on 13/2/2017	Complied
6.11.2	Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve smallholder productivity. - Minor compliance -	All operating units continued to make contributions for local communities surrounding when requested that are considered appropriate and approved by the head office. In Diamond Jubilee estate, the management continues to support local communities such as sponsor milk powder to SJK (T) LDG Diamond Jubilee, recorded on 22 June 2016; grass cutting for a Church dated 08 June 2016	Complied
<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 compliance -	All employees are legal with local identification card for local employees and foreign employees are with valid passports and working permits. No evident of trafficked workers were found during the audit.	Complied
6.12.2	Where applicable, it shall be demonstrated that no contract substitution has occurred. - Minor compliance -	No contract substitution was noted. This was confirmed through inspection of employment contract and interview with workers	Complied
6.12.3	Where temporary or migrant workers are employed, a special labour policy and procedures shall be established and implemented. - Major compliance -	Equal opportunity and non-discriminatory policy is implemented. No temporary workers. Migrant workers are treated equally as per the locals.	Complied
<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 compliance -	The Social and Humanity management policy dated January 2015 covers the necessary aspects of human rights. Employees are aware of their rights and workers and staff union monitor to ensure no violations.	Complied

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Criterion / Indicator	Assessment Findings	Compliance	
6.13.2	As long as children of foreign workers in Sabah and Sarawak are ineligible to attend government school, the plantation companies should engage in a process to secure these children access to education as a moral obligation.	Not applicable.	Not applicable
<p><b>Principle 7: Responsible development of new plantings</b> Diamond Jubilee Palm Oil Mill and supply base did not carry out any new plantings after November 2005. Therefore, the requirement of Principle 7 is not applicable during the annual surveillance. It was verified through the land statement, land title and planting history.</p>			
<p><b>Principle 8: Commitment to continual improvement in key areas of activity</b></p>			
<p><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.</p>			
8.1.1	<p>The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria.</p> <p>As a minimum, these shall include, but are not necessarily be limited to:</p> <ul style="list-style-type: none"> <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);               <ul style="list-style-type: none"> <li>• Optimising the yield of the supply base.</li> </ul> </li> </ul> <p>- Major compliance -</p>	<p>Mill: The CIP implemented by both mill and estate includes the following:</p> <ul style="list-style-type: none"> <li>• LSS (Lean Six Sigma) Harvested Benefits Validation (Kaizen Project): To reduce A4 paper from 30 reams to 25 reams per month by February 2017</li> <li>• Implementation of 5S in Bukit Asahan Estate</li> <li>• Introduction of educational syllabus for children in creche (Bukit Asahan Estate)</li> <li>• Restructuring as regional business unit under Sime Darby Plantation with significant improvement in organization including appointment of regional CEO and COO</li> </ul>	Complied

**Appendix B: Approved Time Bound Plan**

**SDP- RSPO Certification Status for Malaysia Operations**

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

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

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

Legends

Certification Withdrawal

NA - NOT APPLICABLE

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



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NO	Name of PT	Name of Mill	Location	Date of Certification	End Date of Certification	Certificate Number	Remarks
1	PT LAHAN TANI SAKTI	ALUR DUMAI	Bagan Sinembah/Tanh Putih, Pujud, Rokan Hilir, Riau	16-Jan-12	16-Jan-17	MUTU-RSPO/011	Recertification audit was conducted on Oct 2016 by respective CB. Pending issuance of new cert.
2	PT SAJANG HEULANG	ANGSANA MINI	Sebamban, Indonesia	6-Jul-11	6-Jul-16	MUTU-RSPO/006b	Mill closed down
3	PT SAJANG HEULANG	MUSTIKA	Sebamban, Indonesia	3-Jul-13	3-Jul-18	MUTU-RSPO/027	
4	PT LADANGRUMPUN SUBURUBADI	ANGSANA	Sebamban, Indonesia	9-Nov-16	8-Nov-21	MUTU-RSPO/006a	
5	PT LANGGENG MUARAMAKMUR	BEBUNGA	Pamakan Utara, Tanah Grogot, Kotabaru/Pasir, Kalimantan Selatan/Kalimantan Timur	16-Mar-12	16-Mar-17	MUTU-RSPO/014	Recertification audit was scheduled on Dec 2016 by respective CB. Audit completed at visit date.
6	PT KRIDATAMA LANCAR	SUKAMANDANG	Seruyan Tengah, Sampit, Seruyan, Kalimantan Tengah	2-Sep-16	1-Sep-21	MUTU-RSPO/003	
7	PT BAHARI GEMBIRARIA	LADANG PANJANG	Kumpeh Ulu, Jambi, Muaro Jambi, Jambi	9-Jul-12	9-Jul-17	MUTU-RSPO/019	Recertification audit was scheduled on Apr 2017 by respective CB. Audit completed at visit date.
8	PT TUNGGAL MITRA PLANTATIONS	MANGGALA	Riau, Indonesia	25-Nov-10	24-Nov-20	MUTU-RSPO/002	
9	PT PARIPURNA SWAKARSA	PONDOK LABU	Pamakan Selatan, Tanah Grogot, Kotabaru, Kalimantan Selatan	16-Mar-12	16-Mar-17	MUTU-RSPO/016	Recertification audit was scheduled on Jan 2017 by respective CB. Audit completed at visit date.
10	PT BERSAMA SEJAHTERA SAKTI	GUNUNG ARU	Sebamban, Indonesia	21-Oct-16	20-Oct-21	MUTU-RSPO/005	
11	PT GUTHRIE PECCONINA	RANTAU PANJANG	Muara Lakitan, Lubuk Linggau, Musi Rawas,	16-Mar-12	16-Mar-17	MUTU-RSPO/017	Recertification audit was scheduled on Jan 2017 by respective CB. Audit

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			Sumatera Selatan				completed at visit date.
12	PT LAGUNA MANDIRI	RANTAU	Sungai Durian, Kotabaru, Kalimantan Selatan	30-Dec-11	30-Dec-16	MUTU-RSPO/009	Recertification of Rantau POM is in progress. PalmTrace License is valid till end of Feb 2017 in the PalmTrace system.
13		BETUNG		1-April-14	1-April-19	MUTU-RSPO/035	
14	PT INDOTRUBA TENGAH	SEKUNYIR	Kalimantan Tengah, Indonesia	23-Nov-10	22-Nov-20	MUTU-RSPO/001	
15	PT SWADAYA ANDIKA	SELABAK	Sungai Durian, Kotabaru, Kalimantan Selatan	16-Mar-12	16-Mar-17	MUTU-RSPO/015	Recertification audit was scheduled on Jan 2017 by respective CB. Audit completed at visit date.
16	PT BINA SAINS CEMERLANG	SG PINANG	Muara Lakitan, Lubuk Linggau, Musi Rawas, Sumatera Selatan	11-Sep-12	11-Sep-17	MUTU-RSPO/020	Recertification audit scheduled to be conducted on June 2017.
17	PT TEGUH SEMPURNA	PEMANTANG	Kuala Kuayan, Sampit, Kotawaringin Timur, Kalimantan Tengah	9-Sep-16	8-Sep-21	MUTU-RSPO/004	
18	PT BHUMIREKSA NUSA SEJATI	TELUK BAKAU	Pelangiran, Sg. Guntung, Indragiri Ilir, Riau	01-Dec-16	30-Nov-21	MUTU-RSPO/008	
19		MANDAH		1 April 2014	1 April 2019	MUTU-RSPO/036	
20	PT INTIPERSADA ANEKA	TELUK SIAK	Tualang, Perawang, Siak, Riau	8-Dec-16	7-Dec-21	MUTU-RSPO/007	
21	PT TAMACO GRAHA KRIDA	UNGKAYA	Witaponda, Kolonodale, Morowali, Sulawesi Tengah	10-Jul-12	10-Jul-17	MUTU-RSPO/018	Recertification audit was scheduled on Apr 2017 by respective CB. Audit completed at visit date.
22	PT SIME INDO AGRO	BK AJONG	Kalimantan Barat, Indonesia	18-Jul-16	17-Jul-21	MUTU-RSPO/088	
23	PT PADANG PALMA PERMAI/PT PERKASA	BLANG SIMPO	Karang Baru, Kuala Simpang, Aceh Tamiang,	3-May-13	3-May-18	MUTU-RSPO/026	

	SUBUR SAKTI		Nangroe Aceh Darussalam				
24	PT SANDIKA NATAPALMA/PT BUDIDAYA AGRO LESTARI	LEMBIRU	Desa Suka Karya Kec. Marau Kab. Ketapang, Kalimantan Barat	3-Jul-14	2-Jul-19	MUTU-RSPO/044	
25	PT MITRAL AUSTRAL SEJAHTERA	MAS Mill	Desa Rahayu Kec. Parindu Kab.Sanggau, Kalimantan Barat	NA	NA	NA	

Legends

Pending Certification by RSPO EB	Mill closed down
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NA - NOT APPLICABLE

**Appendix C: Certification Unit RSPO Certificate Details**

Sime Darby Plantation Sdn Bhd  
 Strategic Operating Unit (SOU 18)  
 Diamond Jubilee Palm Oil Mill  
 KM 8, Jasin – Simpang Bekoh Road, District Jasin  
 77100 Jasin, Melaka, Malaysia  
 RSPO membership number: 1-0008-04-000-00

BSI RSPO Certificate No. : RSPO 591224  
 Date of Initial Certificate Issued: 05/10/2011  
 Date of Expiry: 04/10/2021  
 Applicable Standards: RSPO P&C MYNI-2014; RSPO Supply Chain Certification Standard November 2014 Module D  
 – CPO Mills: Identity Preserved)

<b>Diamond Jubilee Palm Oil Mill and Supply Base</b>						
Location Address	KM 8, Jasin – Simpang Bekoh Road, District of Jasin 77100 Jasin, Melaka, Malaysia					
GPS Location	102° 33' 66" E ; 2° 2' 35" N					
CPO Tonnage Total	30,735.45					
PK Tonnage Total	7,513.11					
CPO Claimed for Certification*	30,735.45					
PK Claimed for Certification *	7,513.11					
Own estates FFB Tonnage	136,602.00					
Scheme Smallholder FFB Tonnage	-					
Estates	Production Area		HCV (ha)	Other use (ha)	Certified Area / Total land lease (ha)	Annual FFB Production (mt)
	Mature (ha)	Immature (ha)				
Diamond Jubilee	2,329.05	468.82	21.48	307.74	3,127.09	55,762.63
Bukit Asahan	2,965.53	-	1.36	105.30	3,072.19	64,006.55
Serkam	1,472.90	360.85	-	283.14	2,116.89	33,665.66
<b>TOTAL</b>	<b>6,767.48</b>	<b>829.67</b>	<b>22.84</b>	<b>696.18</b>	<b>8,316.17</b>	<b>153,434.84</b>

**Appendix D: Assessment Plan**

Date	Time	Subjects	Hafri	Hidhir	Daniel
Sunday 9/7/2017	PM	Audit team traveling to site	✓	✓	✓
Monday 10/7/2017  <b>Diamond Jubilee Palm Oil Mill</b>	0830-0900	<b>Opening Meeting:</b> • Opening Presentation by Audit team leader. • Confirmation of assessment scope and finalize Audit plan (including stakeholder’s consultation).	✓	✓	✓
	0900-1200	<b>Diamond Jubilee Palm Oil Mill</b> Inspection: FFB receiving, warehouse, workshop, wastes management & Landfill, Effluent Ponds, OSH & ERP, Environment issues, POME application, water treatment, staff, workers and contractor interview, housing and facility inspection, clinic, etc	✓	✓	✓
	1200-1300	<b>Lunch</b>	✓	✓	✓
	1300-1630	<b>Diamond Jubilee Palm Oil Mill</b> Visit to laboratory, weighbridge and palm products storage area. Document review P1-P8: SOPs, Supply chain for CPO mill, review on SEIA documents and records, wage records, employee data, training records, legal permits, mill inspection and internal monitoring records, CIP & implementation etc. Verify previous nonconformitirs.	✓	✓	✓
	1630-1700	Interim Closing briefing	✓	✓	✓
	Tuesday 11/7/2017  <b>Serkam Estate</b>	0830-1200	<b>Serkam Estate</b> Field visit, boundary inspection, field operations, staff & workers interview, buffer zone, HCV area, IPM implementation, OSH&ERP, workshop, storage area (agrochemical, fertilizer, lubricant etc), agrochemical mixing area, Schedule waste management, worker housing, clinic, Landfill, ,etc.	✓	✓
0900-1200	<b>Meeting with stakeholders</b> (Government, village rep, smallholders, Union Leader, contractor etc.)	✓	✓	✓	
1200-1300	<b>Lunch</b>	✓	✓	✓	
1300-1630	<b>Serkam Estate</b> Document review P1-P8: (General documentation e.g Legal, Manual and Procudre, production & monitoring records, IPM & HCV records, SEIA documents & records, OSH records, review pay documents, records of communication with stakeholder/workers representatives, new planting, CIP and implementation etc)	✓	✓	✓	
1630-1700	Interim Closing briefing	✓	✓	✓	

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Wednesday 12/7/2017  <b>Asahan Estate</b>	0830-1200	<b>Asahan Estate</b> Field visit, boundary inspection, field operations, staff & workers interview, buffer zone, HCV area, IPM implementation, OSH & ERP, workshop, storage area (agrochemical, fertilizer, lubricant etc), agrochemical mixing area, schedule waste management, worker housing, clinic, landfill, etc	✓	✓	✓
	1100-1200	Supply chain for CPO mill, weighbridge officer, production record and etc	✓	✓	✓
	1200-1300	<b>Lunch</b>	✓	✓	✓
	1300-1630	<b>Asahan Estate</b> Document review P1 – P8: (General Documentation e.g. Legal, Manual and Procedure, production & monitoring records, IPM & HCV records, SEIA documents & records, OSH records, review pay documents, records of communication with stakeholder/workers representatives, new planting, TBP, CIP and implementation etc).	✓	✓	✓
	1600-1630	Verify any outstanding issues & Preparation for closing meeting	✓	✓	✓
	1630-1730	Closing meeting	✓	✓	✓
Thursday 13/7/2017	AM	Audit team traveling back to KL	✓	✓	✓

**Appendix E: Stakeholders Contacted**

<p><b>Internal Stakeholders</b>          Diamond Jubilee Certification Unit          Management team and Staff          Representatives from Sustainability          Department          On site compliance executives          Mill Manager and Assistants          Estate Managers and Assistants          Facility Administrators          Gender Committee          Representatives          Hospital Assistant          Male and Female workers          Kindergarten Teacher          Workers Union Representatives          Onsite NUPW secretary</p>	<p><b>Contractors</b>          General Supplier          Kim Suan Lee Transport Sdn. Bhd.          (FFB Transport contractor)          Santhi Enterprise (Engineering          work contractor)</p> <p><b>External Stakeholders</b>          Headmistress, SJK(T) Ladang          Diamond Jubilee          Teacher, SJK(T) Bukit Asahan          Village Head representative</p>
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**Appendix F: CPO Mill Supply Chain Assessment Report (Module D: Identity Preserved)**

Requirements	Compliance
<b>D.1. Definition</b>	
<p>D.1.1 A mill is deemed to be Identity Preserved (IP) if the FFB used by the mill are sourced from its own supply base certified to the RSPO Principles and Criteria (RSPO P&amp;C). Certification for CPO mills is necessary to verify the volumes and sources of certified FFB entering the mill, the implementation of any processing controls (for example, if physical separation is used), and volume sales of RSPO certified products. A mill may be taking delivery of FFB from uncertified growers, in addition to those from its own certified land base. If a mill processes certified and uncertified FFB without physically separating the material then</p>	<p>Diamond Jubilee Palm Oil Mill only receives certified FFB. Therefore qualifies for the Identity Preserved supply chain system and module. During the P&amp;C assessment, the audit team verified the volumes and sources of certified FFB entering the mill, the implementation of processing controls and volume sales of RSPO certified products.</p>
<b>D.2 Explanation</b>	
<p>D.2.1 The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill must be recorded by the certification body (CB) in the public summary of the P&amp;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 shall then be recorded in each subsequent annual surveillance report.</p>	<p>The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill is recorded in this public summary report.</p>
<p>D.2.2 The mill must also meet all registration and reporting requirements for the appropriate supply chain through the RSPO supply chain managing organization (RSPO IT platform or book and claim).</p>	<p>The mill has met all registration and reporting requirements for the appropriate supply chain through the RSPO supply chain managing organization (RSPO IT platform or book and claim).</p>
<b>D.3 Documented procedures</b>	
<p>D.3.1 The site shall have written procedures and/or work instructions to ensure the implementation of all the elements specified in these requirements. This shall include at minimum the following:</p> <p>a) Complete and up to date procedures covering the implementation of all the elements in these requirements;</p> <p>b) The 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.</p>	<p>Latest written documented procedures for the chain of custody is with Identity Preserved (IP) model covering all the RSPO Supply Chain Certification Standard and Traceability for handling certified and non-certified FFB under Appendix 15, version:2, issue: 2 dated October 2016. This developed based on the RSPO SCCS 21 November 2014. The previous SOP was for SG. The mill manager has the responsibility to ensure implementation assisted by the on-site compliance executive. The IP model is used because only certified FFB from own supply base is received and processed at Diamond Jubilee Palm Oil Mill.</p> <p>The mill manager and assistant manager have awareness of the supply chain system. The manager has overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements.</p>
<p>D.3.2 The site shall have documented procedures for receiving and processing certified and non-certified FFBs.</p>	<p>Diamond Jubilee Palm Oil mill has documented procedures (as per above in D 3.1) for the incoming FFB, processing and outgoing palm products (CPO and PK). The procedure covers receiving and processing certified and non-certified FFBs.</p>
<b>D.4 Purchasing and goods in</b>	



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<p>D.4.1 The site shall verify and document the tonnage and sources of certified and the tonnage of non-certified FFBS received.</p>	<p>Similar to last assessment daily records are prepared at the entry point at the weighbridge. Daily summary and monthly summary documented for all the certified FFB. Records verified by internal and external audit. Diamond Jubilee mill have system to verify at the weighbridge. Sample of weighbridge ticket :</p> <p><b><u>SOU 16 (Pertang Estate)</u></b> Code : E-138, date:19/6/17, WB ticket# 83345, Field 05P, 08H (A crop), weight :18.37 mt</p> <p><b><u>SOU 19 (Welch Estate)</u></b> Code : E-128, date:5/3/17, WB ticket# 79415, Field P00 &amp; P02C (A crop), weight: 20.59 mt</p> <p><b><u>SOU 17 (Kempas Estate)</u></b> Code : E-024, date:16/6/17, WB ticket# 83258, Field 1994, 1994A (A crop), weight: 13.03 mt</p>
<p>D.4.2 The site shall inform the CB immediately if there is a projected overproduction of certified tonnage.</p>	<p>The facilities aware of the procedure to inform CB immediately if there is a projected overproduction of certified tonnage. This was stated in the supply chain procedure accordingly. As of the date of visit, no any overproduction case.</p>
<p><b>D.5 Record keeping</b></p>	
<p>D.5.1 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>All the inventory records are maintained and updated on daily basis and monthly and reported on monthly and 3 monthly inventory. Computerized system in place. No PKO and Palm kernel products produced in Palm Oil mill. PK is sold to Sime Darby's Kernel Crushing Plant and also other 3<sup>rd</sup> party KCP. CPO sold to Sime Darby's owned refineries (SDP Nuri, SDP Joma) and the other 3<sup>rd</sup> party buyer. Daily records are prepared at the entry point at the weighbridge.</p> <p>Daily summary and monthly summary documented for all the FFB received. Records of certified FFB received verified during annual surveillance. Records verified by internal and external audit.</p>
<p><b>D.6 Processing</b></p>	
<p>D.6.1 The site shall assure and verify through documented procedures and record keeping that the RSPO certified oil palm product is kept segregated from noncertified material including during transport and storage.</p>	<p>During this assessment it was confirmed that only certified source of FFB from own plantation is processed. This ensures that there is no possibility of mixing during processing. There is a possibility that the mill will receive Certified FFB from other Sime Darby's Certified Estate which was certified under SOU 19 (RSPO 600305 valid until 27/1/19), SOU17 (RSPO 005 valid until 19/5/20) and SOU17(MUTU-RSPO/093 valid until 6/7/21). This will be further verified during next surveillance assessment if such cases occurred and observed. No non-certified FFB received.</p>
<p>D.6.2 The objective is for 100 % segregated material to be reached.</p>	<p>Processing and storage records can trace back to only certified segregated FFB and finish product (CPO and PK) through traceability records such as weighbridge records. This ensures that 100% segregated materials are reached.</p>

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**Actual Tonnage Certified Palm Production –July 2016 – June 2017 (ASA1 1)**

Mill	Capacity	CPO	PK
Diamond Jubilee Palm Oil Mill	25mt/hr	26,087.43	6,384.38

**Actual Tonnage Sales of Certified Palm Products – July 2016 – June 2017 (ASA1 1)**

Mill	Certified CPO Sales	Certified PK Sales	Remarks
Diamond Jubilee Palm Oil Mill	18,197.68	6,050	Sales of certified palm products in PalmTrace

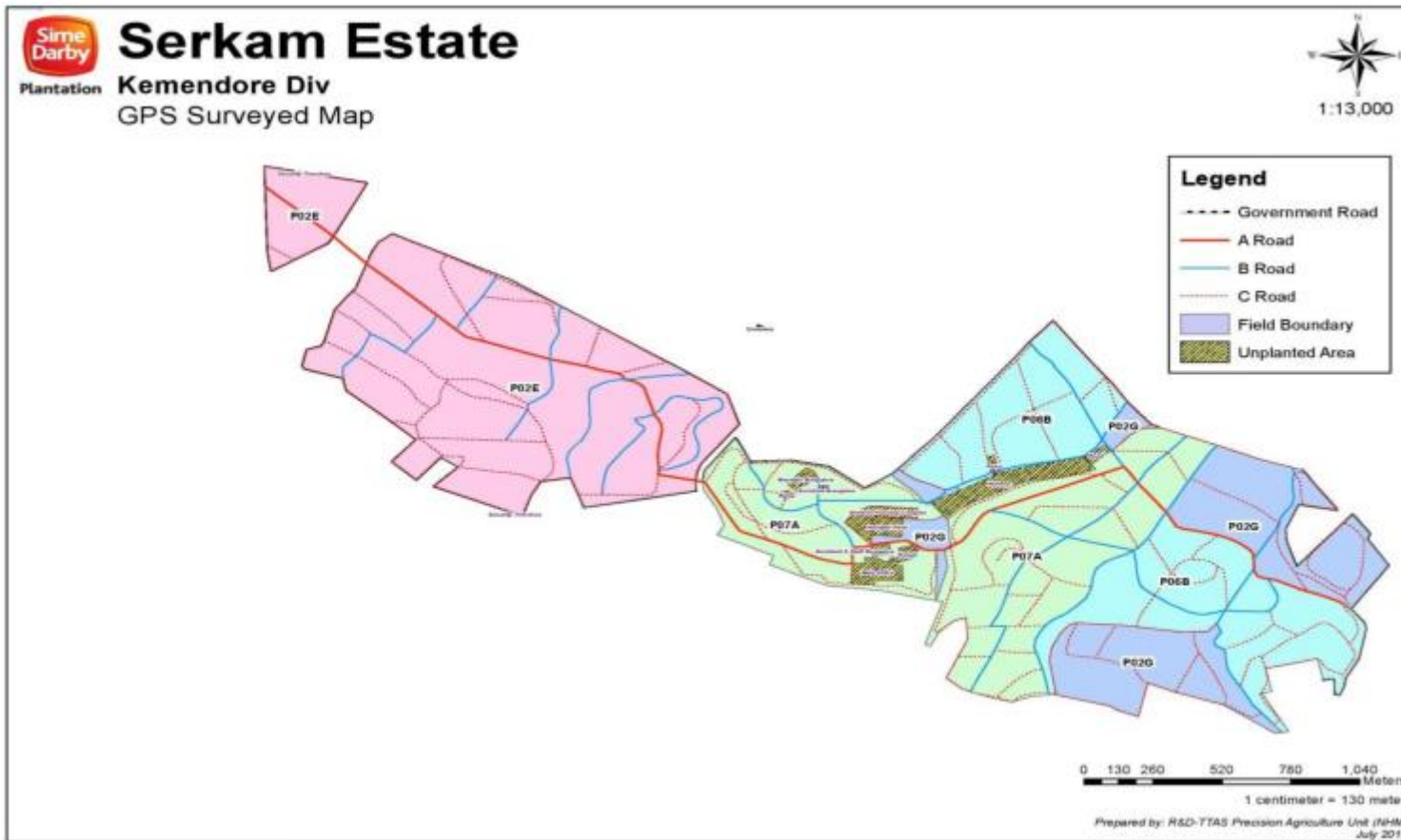
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Month	Own Supply Base (Estates)			Certified Supply Base (from adjacent certified supply base) (mt)									Total FFB/Month (mt)
	Diamond Jubilee Estate	Bukit Asahan Estate	Serkam Estate	** Kok Foh Estate	** Welch Estate	** Tangkah Estate	** Lanadron Estate	** Kamuning Estate	** Kempas Estate	** Sg Sabaling Estate	** St Helier Estate	** Pertang Estate	
July 2016	3,541.51	2,593.29	830.73	0	0	744.69	0	0	0	0	0	0	7,710.22
Aug 2016	4,390.17	1,440.29	655.54	0	0	2,609.05	0	0	1,062.71	0	0	0	10,157.76
Sept 2016	4,796.89	1,440.2	590.65	0	0	0	0	0	2,023.68	0	0	0	8,851.42
Oct 2016	4,005.65	1,110.74	690.98	234.21	0	1,236.78	0	262.36	2,375.8	56.42	55.4	342.74	10,371.08
Nov 2016	4,500.89	3,048.85	1,187.39	0	0	1,467.94	0	240.75	2,018.17	0	0	0	12,463.99
Dec 2016	5,588.73	4,370.74	2,062.96	0	0	557.05	0	230.8	175.04	0	0	0	12,985.32
Jan 2017	3,856.13	2,947.15	1,526.43	0	0	1,397.65	0	0	1,235.48	0	0	0	10,962.84
Feb 2017	762.71	435.25	248.27	0	0	291.01	0	0	304.13	0	0	0	2,041.37
Mar 2017	4,211.04	4359.47	1,462.64	0	20.59	1,234.69	88.73	0	0	0	0	0	11,377.16
Apr 2017	4,872.21	6,000	1,484.61	0	0	1,041.71	0	0	44.09	0	0	0	13,442.62
May 2017	4,883.36	4,978.43	1,310.31	0	0	1,437.76	0	0	13.98	0	0	0	12,623.84
June 2017	4,943.86	3,708.71	2,347.18	0	0	499.66	0	62.42	627.24	0	0	120.59	12,309.66
<b>Total</b>	50,353.15	36,433.12	14,397.69	234.21	20.59	12,517.99	88.73	796.33	9,880.32	56.42	55.4	463.33	125,297.28

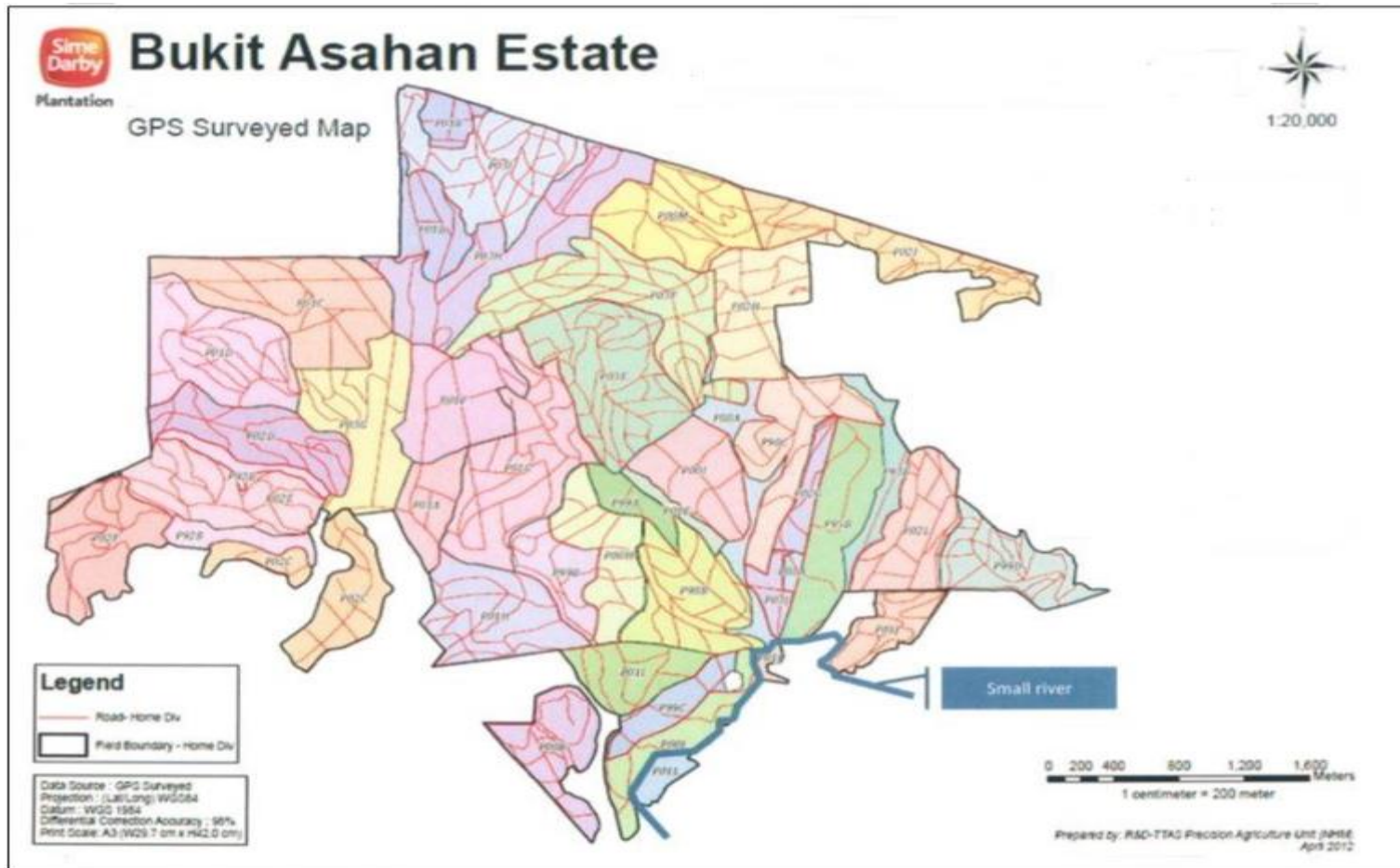
**Appendix G : Location Map of Diamond Jubilee POM and Supply Bases**



**Appendix H: Serkam Estate Field Map**



**Appendix I: Asahan Estate Field Map**



**Appendix J: GHG Reporting Executive Summary**

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

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

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

Emission per product	tCO <sub>2</sub> e/tProduct	Extraction	%
CPO	1.38	OER	20.82
PK	1.38	KER	5.10

Production	t/yr	Land Use	Ha
FFB Process	125,297.28	OP Planted Area	7,597.15
CPO Produced	26,087.43	OP Planted on peat	0
PK Produced	6,384.38	Conservation (forested)	0
		Conservation (non-forested)	22.84
		<b>Total</b>	<b>7,619.99</b>

**Summary of Field Emission and Sink**

	Own Crop*		Group		3 <sup>rd</sup> Party		Total	
	tCO <sub>2</sub> e	tCO <sub>2</sub> e / FFB	tCO <sub>2</sub> e	tCO <sub>2</sub> e / FFB	tCO <sub>2</sub> e	tCO <sub>2</sub> e / FFB	tCO <sub>2</sub> e	tCO <sub>2</sub> e / FFB
<b>Emission</b>								
Land Conversion	65,747.48	0.71	0	0	0	0	65,747.48	0.71
CO <sub>2</sub> Emission from fertilizer	6,324.84	0.07	0	0	0	0	6,324.84	0.07
NO <sub>2</sub> Emmission	4,086.49	0.04	0	0	0	0	4,086.49	0.04
Fuel Consumption	517.22	0.01	0	0	0	0	517.22	0.01
Peat Oxidation	0	0	0	0	0	0	0	0
<b>Sink</b>								
Crop Sequestration	-62,319.89	-0.67	0	0	0	0	-62,319.89	-0.67
Conservation Sequestration	0	0	0	0	0	0	0	0
<b>Total</b>	<b>14,356.14</b>	<b>0.15</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>14,356.14</b>	<b>0.15</b>

\*Note: Includes both estates and smallholders

**Summary of Mill Emission and Credit**

	tCO <sub>2</sub> e	tCO <sub>2</sub> e/tFFB
<b>Emission</b>		
POME	22,460.66	0.20
Fuel Consumption	27.02	0.00
Grid Electricity	596.50	0.01
Utilisation	0	0
<b>Credit</b>		
Export of Grid Electricity	0	0
Sales of PKS	0	0
Sales of EFB	0	0
<b>Total</b>	<b>23,084.18</b>	<b>0.20</b>

**Summary of Kernel Crusher Emission and Credit (if applicable)**

Emissions	tCO <sub>2</sub> e
PK from own mill	0
PK from other source	0
Fuel Consumptions	0
<b>Total Crusher emissions</b>	<b>0</b>

\*The mill has no kernel crusher operation

<b>Palm Oil Mill Effluent (POME) Treatment:</b>	
Divert to Compost (%)	0
Divert to anaerobic diversion (%)	100

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



**Appendix K: List of Abbreviations Used**

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