



# RSPO PRINCIPLES AND CRITERIA PUBLIC SUMMARY REPORT

## **Univanich Palm Oil Public Company Limited – Lamthap mill and its supply bases**

142 M. 1 Tambon Thungsaithong, lamthap District, Krabi 81112 Thailand

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

### **Certificate No.**

Issue Date

Expiry Date

### **Assessment Type**

Main Assessment

### **Date of Assessment**

17-19 July 2017

**PUBLIC SUMMARY INFORMATION**

<b>BV Contract Number</b>	TH.2784782	<b>Contract Date</b>	25 May 2017
<b>Company Name</b>	Univanich Palm Oil Public Company Limited– Lamthap mill and its supply bases		
<b>Parent Company Name</b>	Univanich Palm Oil Public Company Limited		
<b>Company Address</b>	142 M. 1 Tumbon Thungsaithong, lamthap District, Krabi 81112		
<b>Country</b>	Thailand		
<b>Contact Person</b>	Mr. Howard Hill	<b>Contact Details</b>	<a href="mailto:Howard.hill@univanich.com">Howard.hill@univanich.com</a> (+081 4139871)
<b>Company e-mail</b>	-	<b>Website</b>	<a href="http://www.univanich.com/">http://www.univanich.com/</a>
<b>Certification Scope</b>	Production of CPO and Palm Kernel at (Lamthap mill) using Module E: Mass Balance which FFB supplied from their own estates (Lamthap estate and their divisions; Khlongtom and Cha uat divisions)		
<b>Supply Chain Module</b>	Module E: CPO Mills- Mass Balance		
<b>POM Capacity</b>	45MT/Hour	<b>Total Estates</b>	1 estates with 2 divisions
<b>Annual FFB Produced (MT)</b>	3,048		
<b>Annual CSPO Produced (MT)</b>	624.84	<b>Annual CSPO Sold (MT)</b>	-
<b>Annual CSPK Produced (MT)</b>	160.02	<b>Annual CSPK Sold (MT)</b>	-

**TABLE OF CONTENTS**

- 1. Scope of the certification assessment ..... 5**
  - 1.1 Introduction ..... 5
  - 1.2 Location and Description of the Certification Unit ..... 5
  - 1.3 Description of Supply Base and Palm Oil Mill Processing Capacity ..... 5
  - 1.4 Date of Planting and Cycles ..... 7
  - 1.5 Other Certification Held by the Certificate Holder ..... 7
  - 1.6 Organizational Information/Contact Person ..... 7
  - 1.7 Time-bound Plan/Progress against Time Bound Plan ..... 8
  - 1.8 Partial certification..... 8
- 2. Assessment Process ..... 10**
  - 2.1 Assessment Methodology and Programme.....10
  - 2.2 Date of Next Surveillance Visits .....10
  - 2.3 Lead Assessor and Assessment Team Qualification .....10
  - 2.4 Certification Body .....13
  - 2.5 Stakeholder Consultation Process .....13
- 3. Assessment Findings..... 14**
  - 3.1 Summary of Findings .....14
  - 3.2 Principles and Criteria for Production of Sustainable Palm Oil (2013) - Generic .....14
  - 3.3 Supply Chain Requirements (delete either Module D or Module E used by the mill).....40
  - 3.4 Non-Conformances Raised in this Assessment.....42
  - 3.5 Status of Non-Conformities Previously Identified .....42
  - 3.6 Noteworthy Positive Comments.....42
  - 3.7 Issues Raised by Stakeholders .....42
- 4. Certified organization’s acknowledgement of internal responsibility..... 43**
  - 4.1 Assessment Conclusion and Recommendation .....43
  - 4.2 Acknowledgement of Internal Responsibility and Formal Sign-off Assessment Findings.....43
- End of Report .....62**

**LIST OF TABLES**

- Table 1: Details of Group Managers ..... 5
- Table 2: Details of Certified Area ..... 7
- Table 5: Age Profiles for the Independent Smallholders Group Name ..... 7
- Table 6: Certified Products sold and Claimed for the Certification Period (MMyyyy-MMyyyy)**Error! Bookmark not defined.**
- Table 7: Actual Products Claimed for Last Certification Period (MMyyyy-MMyyyy) ..... **Error! Bookmark not defined.**
- Table 8: Auditors Profile and Qualification .....10

## LIST OF ABBREVIATION

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

## 1. SCOPE OF THE CERTIFICATION ASSESSMENT

### 1.1 Introduction

The assessment for Lamthap mills and its supply bases owned by Univanich Palm Oil Public Company Limited has been conducted against Roundtable on Sustainable Palm Oil (RSPO) Principles and Criteria for the Production of Sustainable Palm Oil 2013 and **RSPO Supply Chain Certification Standard dated 21 November 2014** by **Bureau Veritas Certification Hong Kong Limited** during 17-19 July 2017.

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

Company's first plantations were established in 1969. A feature of the Univanich business comprises of company's own plantations where produce less than 20% of the FFB processed by the company's three crushing mills (TOPI mill, Siam mill and Lamthap mill). For TOPI mill and its supply bases, this certification unit has already been certified RSPO P&C. For Siam mill, this certification unit has also been certified RSPO SCC because all of supply bases are from independent smallholders. More than 80% of the FFB is purchased from independent smallholder farmers. Univanich Palm Oil Public Company Limited is a member of RSPO since 6 May 2009 with membership number . 1-0074-09-000-00. Lamthap mill and its supply bases are a subsidiary of Univanich Palm Oil Public Company Limited, with a processing capacity of 45 metric tonnes of FFB per hours. The Certification Unit (CU) is located in 142 M. 1 Tumbon Thungsaithong, lamthap District, Krabi 81112 Thailand, which consist of 1 estate with 2 divisions. Total combined land areas of the CU are 539.46 Ha of which 265.1Ha had been planted with oil palm.

### 1.2 Location and Description of the Certification Unit

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

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

Name of estate	Location	GPS Reference	
		Latitude	Longitude
Lamthap estate - Khlongtom - Cha uat	- Lamthap estate: Lamthap Est ; 142 M.1 Tumbon Thungsaithong, Lamthap District, Krabi, Thailand	7.999606N	99.330230E
	- Khlongtom Div: M.5 Tumbon Khlongtom Nua, Khlongtom District, Krabi, Thailand	7.989322N	99.214488E
	- Cha uat Div : 173/2 M.6 Tumbon Tha Pracha, Cha aut District, Nakhonsrithammarat, Thailand	7.995029N	99.965517E

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

Name of the Palm Oil Mill	Plant Capacity (MT/Hour)	GPS Coordinate		Location Address
		Longitude	Latitude	
Lamthap Mill	45	7.999606N	99.330230E	142 M.1 Tumbon Thungsaithong, Lamthap District, Krabi 81112, Thailand

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

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

Based on details provided in Appendix 7, even though independent smallholders are also supplying FFB to Lamthap mill, they are not included in this certification. There are no contracts between the independent smallholders and Univanich Palm Oil PCL. The independent smallholders have the right to supply their FFB to any palm oil mills (POM).

The estimation of the FFB production during August 2017 – August 2018 of each estate was based on an annual business plan of the company. During the assessment, auditors verified these probabilistic forecasts of annual business plan whether projected FFB production from each estate indicated in Table 3 is reasonable. Result of verification showed that company has created realistic projection of FFB production especially projected FFB production from Khlongtom division which is only 5 tons/ha/year because the whole area of Khlongtom division was replanted in the last two years. Therefore, estimated FFB production for Khlongtom division is only 717 tons/year. According to the planted area of Lamthap estate at 86.3 ha and Cha uat division at 35.3 ha, moreover, the estimated FFB production for Lamthap estate and Cha uat division are 1,700 tons and 631 tons, respectively. Based on estimation of FFB production from all supply bases, total FFB production is 3,048 tons/year.

The certified production of CPO and PK are estimated based on average annual production in 2015 and company's own study report when CPO and PK were produced by only FFB supplied by own estates. The aim of this study was to investigate oil extraction and palm kernel extraction from their own FFB because the company could not control the quality of FFB supplied by independent smallholders. Based on these records, the oil extraction and palm kernel extraction are of 20.5% and 5.25%, respectively. Therefore, the certified volume of CPO and PK for during August 2017 – August 2018 calculated from total FFB productions supplied by all estates of 3,048 tons are 624.84 tons and 160.02 tons, respectively. Moreover, details of the FFB contribution from each source to CU are shown in Table 3.

**Table 3: Crop Projection and Yield**

Projected Production from last 12 Months (MT)			Actual Production for this Audit Year (MT)			Projected Production for next 12 Months (MT)		
July 2015-July 2016			July 2016-July 2017			August 2017 – August 2018		
FFB	CPO	PK	FFB	CPO	PK	FFB	CPO	PK
5,302	1,060	265	1,539.23	315.54	80.81	3,048	624.84	160.02

Remark: 1. Only FFB productions from company's own supply bases are indicated in Table above

2. Projected production from the last 12 months are based on previous RSPO P&C certificate issued by TUV NORD Integra on 22 July 2015

3. Volume of CSPO and CSPK during July 2016-July 2017 were calculated based on the conversion rate a t20.5% and 5.25%, respectively, which was resulted from the previous assessment conducted by TUV NORD Integra

4. Projected FFB production for the next 12 months is consistency with the estimated FFB production indicated in the public announcement dated 7 June 2017 where is also available in RSPO website

5. The estimated volume of CPO and PK to be certified in 2017 are 624.84 tons and 160.02 tons where are deducted from the the oil extraction and palm kernel extraction at 20.5% and 5.25%, respectively

## 1.4 Date of Planting and Cycles

### 1.4.1 Date of planting

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

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

Name of the Supply Base	Total Titled Area (Ha)	Planted Area (Ha)		Un-Planted Area (Ha)		
		Oil Palm	Other agricultural products	HCV	Conservation	Facilities / Others*
Lamthap estate	86.3	86.3	-	-	-	-
Khlongtom division	143.5	143.5	-	-	-	-
Cha uat division	309.66	35.3	274.36	-	-	
<b>Total</b>	<b>539.46</b>	<b>265.1</b>	<b>274.36</b>			

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

**Remark:** Other area of Cha uat division is now abandoned paddle fields where new planting and NPP are now under consideration by the company

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

**Table 5: Age Profiles for the Supply Base**

Year of Planting	Areas (Ha)	Maturity Status	Planting Cycles
Before 2005	121.6	Mature	Second cycle
2016	143.5	Immature	Second cycle

**Remark:** 1. The whole area of Khlongtom has recently replanted in 2016

2. Total planted area of Lamthap estate and Cha uat division were planted before 2005

### 1.4.2 Replanting program

According to the information related to age profiles for all supply bases above-mentioned, Univanich Palm Oil Public Company Limited do not have replanting program for supply bases

## 1.5 Other Certification Held by the Certificate Holder

Univanich Palm Oil Public Company Limited has been awarded ISO9001 certification for CPO mill, PK crusher and biogas production.

## 1.6 Organizational Information/Contact Person

The contact person for the Certification Unit is as below:

Contact Person : Mr. Howard Hill  
 Position : General Manager  
 Company Name : Univanich Palm Oil Public Company Limited  
 Company Address : 258 Aoluk-Laemsak Road, Aoluk, Krabi 81110 Thailand

Telephone No. : +66 75-634-634 and +66 81 968-5965  
 Fax No. : +66 75-681-1244  
 e-mail Address : howard.hill@univanich.com

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

See Appendix 1.

## 1.8 Partial certification

### 1.8.1 General

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

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

Requirement	Findings/Compliance
The parent organization or one of its majorities owned and/or managed subsidiaries is member of RSPO.	Not application because there is no parent company with largest shareholding are equal e.g. 50/50. All business units owned by Univanich Palm Oil Public Company Limited have been certified for both RSPO P&C and SCC
For groups with complex management structures the following are required: a. A statement of the ultimate controlling shareholders and directors in the managing agency company/companies. b. Ditto in respect of each of the operating groups. c. Application for membership by the top asset owning company/companies. d. (d) Application for membership by the managing agency company/companies	Not application because there is no parent company with largest shareholding are equal e.g. 50/50. All business units owned by Univanich Palm Oil Public Company Limited have been certified for both RSPO P&C and SCC

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

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

### 1.8.2 Requirements for Time Bound Plan

Requirement	Findings/Compliance
A challenging time-bound plan for certifying all its relevant entities (Relevant entities – including both the business units and parent company(s)' commitment to RSPO, membership status and involvement with palm oil for each subsidiary) is available. The time-bound plan should contain a list of subsidiaries, estates and mills.	Not applicable because all business units owned by Univanich Palm Oil Public Company Limited have been certified for both RSPO P&C and SCC. It is also not applicable for the independent smallholders
The time bound plan is appropriate (in particular, the time scale is sufficiently challenging, taking into account circumstances around each entity), taking into account comments received from stakeholders following the public consultation process.	Not applicable because all business units owned by Univanich Palm Oil Public Company Limited have been certified for both RSPO P&C and SCC. It is also not applicable for the independent smallholders
What is the progress of this plan since the last	Not applicable because all business units owned by



audit? (if the last audit was done by another CB, the time-bound plan shall be accepted at the moment of first acceptance and only check continued appropriateness shall be checked).	Univanich Palm Oil Public Company Limited have been certified for both RSPO P&C and SCC. It is also not applicable for the independent smallholders
Are there any revisions to the time-bound plan or to the circumstances of the company?	Not applicable because all business units owned by Univanich Palm Oil Public Company Limited have been certified for both RSPO P&C and SCC. It is also not applicable for the independent smallholders
If the previous question was answered with yes, the plan shall be reviewed for whether it is still appropriate, such that changes to the time-bound plan are permitted only where the organisation can demonstrate that they are justified. The requirements will also apply to any newly acquired subsidiary from the moment that the company is legally registered with the local notary or chamber of commerce (or equivalent).	Not applicable because all business units owned by Univanich Palm Oil Public Company Limited have been certified for both RSPO P&C and SCC. It is also not applicable for the independent smallholders

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

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

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

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

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

## 2. ASSESSMENT PROCESS

### 2.1 Assessment Methodology and Program

The assessment was conducted during 17-19 July 2017 covering onsite audit involving 1 estate with 2 divisions where all management units are managed by Lamthap estate manager. The audit covers documentation review, internal procedures, management system, field inspection as well as identification of any significant issues for both environment or social issues. Details of the actual assessment programme are given in Appendix 2 (Audit Plan). A sample of stakeholders was consulted during the assessment to get their feedback on the management doing.

The assessment was conducted based on sampling approach in which regulated under **RSPO Certification System for Principles and Criteria (June 2007)**. Therefore, total numbers of supply based assessed in the audit are 1 estate with 2 divisions. For the purpose of sampling audit, risk assessment of the group member and group manager was carried out prior to the certification assessment through the documentation. The risk assessment will based on factors i.e. geographically as well as socioeconomically, there are current replanting activities (very small scale due to the size of smallholder), there are new members, the group is well established.

### 2.2 Date of Next Surveillance Visits

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

### 2.3 Lead Assessor and Assessment Team Qualification

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

**Table 6: Auditors Profile and Qualification**

Assessment Team Leader: Dr. Chaiyaporn Seekao	
Requirements	Description
A minimum of post high school (post-secondary school) training in either agriculture/forestry, environmental science or social sciences;	<ul style="list-style-type: none"> <li>- May 2015, Ph.D (Environmental Management) full Scholarship at The International Postgraduate Programs in Environmental Management (Hazardous Waste Management), Chulalongkorn University, THAILAND</li> <li>- April, 2006, hold Master of Science (Sustainable Land Use and Natural Resource Management) degree from Kasetsart University, THAILAND.</li> <li>- April, 2002, hold Bachelor of Science (Fisheries) degree from Kasetsart University, THAILAND</li> </ul>
At least 5 years professional experience in area of work relevant to the assessment (e.g., palm oil management; agriculture/forestry; ecology; social science);	<ul style="list-style-type: none"> <li>- October 2009 to present: work at TÜV NORD (Thailand) Ltd. and was responsible for several standards such as ISO9001:2008, GMP, HACCP, FAMI-QS, GLOBALG.A.P and RSPO</li> <li>- Year 2008-2009: worked at Team Consulting Engineering and Management Co., Ltd., consultancy company, and was responsible for conducting the Environmental Impact Assessment (EIA) study which includes HCV, biodiversity social and health impact assessment</li> <li>- Year 2006-2008: worked Virbac (Thailand) Co.,Ltd , responsible for Act as GMP and HACCP (QMR)</li> <li>- Year 2005-2006: worked at Food and Agriculture Organization of the United Nations (FAO)</li> <li>- Year 2002-2005: worked at Department of Fisheries, Ministry of Agriculture and Cooperatives</li> </ul>

Training in the practical application of the RSPO criteria, and RSPO certification systems;	<ul style="list-style-type: none"> <li>- RSPO Lead Auditor Course Organized by Stepwise Support Programme during April 12-16, 2010, Johor Bahru, Malaysia</li> <li>- HCV and its application in RSPO Organized by WildAsia during August 28-29, 2012 at Krabi, Thailand</li> </ul>
Successfully completion of an ISO 9000:19011 lead assessors course;	<ul style="list-style-type: none"> <li>- ISO 9001:2008 Series Auditor/Lead Auditor Training Course (Course No: A17086 Certificated by IRCA) Organized by Robere &amp; Association (Thailand) Ltd. October 26-30, 2009, Bangkok, Thailand</li> </ul>
A supervised period of training in practical assessment against the RSPO criteria or similar sustainability standards, with a minimum of 15 days assessment experience and at least 3 assessments at different organisations.	Having more than 50 days of audit in more than 10 palm oil companies (March 2010 – December 2015)

**Team Member(s):** Mr. Prapas Nores, Mr Pongrat Khamnungkit

Requirement	Team Members Name	Description
Field working experience in the palm oil sector, or demonstrable equivalent.	Dr. Chaiyaporn Seekao (CS)	<ul style="list-style-type: none"> <li>• Since 2010 experience as RSPO auditor performing more than 10 RSPO P&amp;C audits</li> <li>• Year 2005-2006: worked at Food and Agriculture Organization of the United Nations (FAO) as responsible for Closely coordinate with governmental sector, international organization, national organization, embassy, university and NGOs where has involved in providing tsunami relief to establish the tsunami assistance database, Involve to study and establish the short and long term plans to assist the tsunami victims in Thailand especially recovery their household, occupation and livelihood and Conduct the public hearing/consultations for obtaining the comments and any feedback from all stakeholders.</li> </ul>
	Mr. Prapas Nores (PN)	He is palm oil plantation owner. Hence, he has more than 10 years' experience in working in the palm oil sector
	Mr Pongrat Khamnungkit (PK)	<ul style="list-style-type: none"> <li>- More than 13 years of experience in auditing experience in the palm oil industry against ISO 9001, ISO 14001 and OHSAS 18001 such as Univanich Palm Oil Public Co., Ltd., United Palm Oil Industry Public Co., Ltd., Chumporn Palm Oil Co.,Ltd.</li> <li>- Training experience against P&amp;C and RSPO Supply Chain Certification Standard to Eastern Palm Oil Co., Ltd.</li> <li>- Working experience in Poultry Processing Plant as QC.</li> </ul>
Good Agricultural Practices (GAP), and Integrated Pest Management (IPM), pesticide and fertilizer use.	Dr. Chaiyaporn Seekao (CS)	<p>More than 3 years auditing experience against GLOBALG.A.P which is the standard concerning to good agriculture practices.</p> <p>More than 5 years of experience with Department of Fisheries in involving to establish the Good Agriculture Standard released by Department of</p>

		Fisheries of Thailand. Besides, experience obtained while working with Food and Agriculture Organization of the United Nations for rehabilitation project for agricultural farmers who were affected by tsunami in 2004. Since 2010 experience as RSPO auditor performing more than 10 RSPO P&C audits
	Mr. Prapas Nores (PN)	He is palm oil plantation owner. Hence, he has more than 10 years' experience in working in the palm oil sector
	Mr Pongrat Khamnungkit (PK)	NA
Health and safety auditing on the farm and in processing facilities, for example OHSAS 18001 or Occupational, Health & Safety Assurance System.	Dr. Chaiyaporn Seekao (CS)	More than 3 years auditing experience against GLOBALG.A.P which is the standard concerning to the health and safety on the farm and processing level
	Mr. Prapas Noras (PN)	He has obtained the successful training courses and qualified as auditor for several standards e.g ISO9001, ISO14001, OHSAS18001
	Mr Pongrat Khamnungkit (PK)	- OHSAS 18001 Auditor - Graduated from Faculty of Public Health - Working experience as Safety Officer, Supervisory level
Worker welfare issues and social auditing experience, for example with SA8000 or related social or ethical accountability codes.	Dr. Chaiyaporn Seekao (CS)	More than 10 environmental and social impact assessment (ESIA) for huge project in Thailand and overseas
	Mr. Prapas Noras (PN)	Successfully completed the SA8000 Basic auditor course on 22-26 May 2017 by SAI
	Mr Pongrat Khamnungkit (PK)	- SA8000 Auditor - Code of Conduct Auditor - BSCI Auditor - Working experience as Community Relation Manager
Environmental and ecological auditing, for example experience with organic agriculture, ISO 14001 or Environmental Management Systems (EMS).	Dr. Chaiyaporn Seekao (CS)	<ul style="list-style-type: none"> <li>• Year 2008-2009: worked at Team Consulting Engineering and Management Co., Ltd., consultancy company, and had responsibility to Conduct the Environmental Impact Assessment (EIA) study which includes HCV, biodiversity social and health impact assessment CS also performed an audit and monitoring at project sites during the construction and commissioning period, to ensure that all construction and commission process/activities meet with EIA mitigation measures.</li> <li>• Year 2006-2008: worked at Virbac (Thailand) Co.,Ltd with responsible as GMP and HACCP coordinator (QMR) to coordinate with Department of Fisheries for GMP and HACCP certification,</li> <li>• Year 2005-2006: worked at Food and Agriculture Organization of the United Nations (FAO) with responsibility to coordinate with</li> </ul>

		governmental sector, international organization, national organization, embassy, university and NGOs • Year 2002-2005: worked at Department of Fisheries, Ministry of Agriculture and Cooperatives
	Mr. Prapas Noras (PN)	He has obtained the successful training courses and qualified as auditor for several standards e.g ISO9001, ISO14001, OHSAS18001
	Mr Pongrat Khamnungkit (PK)	- ISO 14001 Auditor - Graduated from Faculty of Public Health - Working experience in EIA
Fluent in Local Language and English	Dr. Chaiyaporn Seekao (CS)	Thai language is our mother language. This language will be used for the audit
	Mr. Prapas Noras (PN)	Thai language is our mother language. This language will be used for the audit
	Mr Pongrat Khamnungkit (PK)	Thai language is our mother language. This language will be used for the audit

## 2.4 Certification Body Background

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

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

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

## 2.5 Stakeholder Consultation Process

Bureau Veritas initiated the Public Stakeholder Notification (internal and external) by announcing an invitation for feedback in the RSPO and Bureau Veritas websites on 7 June 2017. Here blow are web link to access the public announcement from both RSPO and Bureau Veritas website.

[https://www.rspo.org/uploads/default/pnc/UNIVANICH-Lamthap\\_POM\\_MA2017\\_RSPO\\_Public\\_Announcement-V3.pdf](https://www.rspo.org/uploads/default/pnc/UNIVANICH-Lamthap_POM_MA2017_RSPO_Public_Announcement-V3.pdf)

[http://www.bureauveritas.co.th/home/news/latest-news/2017-06-19\\_rspo+principle+and+criteria\\_univanich](http://www.bureauveritas.co.th/home/news/latest-news/2017-06-19_rspo+principle+and+criteria_univanich)

In addition, Bureau Veritas had also sent the invitation through e-mails and letters to all the relevant stakeholders, including government agencies and Non-Governmental Organizations (NGOs) before the actual assessment is performed.

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

the stakeholder and the company before discussions proceeded. The interviewer recorded comments made by stakeholders and these have been incorporated into the assessment findings.

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

### 3. ASSESSMENT FINDINGS

#### 3.1 Summary of Findings

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

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

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

##### Principle 1: Commitment to Transparency

Principle 1: Commitment to Transparency		
<b>Criterion 1.1:</b> Growers and millers provide adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages and forms to allow for effective participation in decision making		
1.1.1	There shall be evidence that growers and millers provide adequate information on (environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making.	Minor
<b>Findings</b>		<b>Comply ?</b>
<p>Transparency procedure P-AM-01 revision 01-10-2011, which contains information on environmental, social and legal issues, has been established by the central office of Univanich where is also managed to establish relevant procedures for TOPI mill and its supply bases. Lamthap mill has announced transparency procedure to the stakeholders especially stakeholder in the list updated on 7.7.2017 in order to inform the right of stakeholders to ask the relevant information showing the transparency of company's operations. There are total 25 stakeholders identified at lamthap estate and mill, while there are 5 stakeholders identified at Cha uat division. Most of stakeholders are head of village and villager surrounding POM and estate. Stakeholders were informed the right to request information on environmental, social and legal issues by top management of Univanich. Moreover, they have been provided a request for information form (F-AM-01) and a form for record the request for information (F-AM-02). Up to now, there is no request for information.</p> <p>However, Lamthap mill and estate maintain a system of request for information and responses. Not only stakeholder but also workers at mill and estates have the right to request any recorded information. Result of review of correspondence found that there were no requests for information from workers proposed to Lamthap mill and its supply bases. In case of the request for information, Mr. Chakkaphan Chana (Region Manager) and Mr. Adithep Horthong (Plant Engineer) will be responsible for responding the request for information as well as reviewing and updating the list of stakeholders.</p>		Yes
1.1.2	Records of requests for information and responses shall be maintained.	Major

<b>Principle 1: Commitment to Transparency</b>		
<b>Findings</b>		<b>Comply ?</b>
<p>Univanich has prepared a transparency procedure in P-AM-01 Rev.0 dated 1/10/2011. The procedure describes the process of information sharing and dissemination. The company has prepared and provided information related to the environmental, social and legal. Mr. Chakkaphan Chana (Region Manager) and Mr. Adithep Horthong (Plant Engineer) will be responsible person to respond the request for information. In case of stakeholder requests for information, the records will be recorded in F-AM-02. At the time of this assessment, there were no requests for information from the stakeholders proposed to Lamthap mill, Lamthap estate and Cha-uat division in the last 2 years. Results during the public consultation meeting conducted by the auditor also confirmed that all stakeholders have been given a chance to request information anytime and they have also aware that they have the right to request for information. They also confirmed that they have never requested for information because Univanich staffs have regularly communicated with stakeholders</p>		Yes
<b>Criterion 1.2:</b>		
<p>Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.</p>		
1.2.1	<p>Publicly available documents shall include, but are not necessarily 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>	Major
<b>Findings</b>		<b>Comply?</b>
<p>As Lamthap mill and Lamthap estate used the same facility located in the mill for administration activities, it was showed that copies of management documents were available and ready for transparency purpose on request. Details of documents that are prepared for publicly disclosure are listed below:</p> <ul style="list-style-type: none"> <li>- The mill and estate decided to make a list of land deed/license and prepare a map showing the boundary of legal land ownership for transparency purpose rather than make a copy of the land deed available. However, land deed can be shown within in few minutes after submitting the request</li> <li>- The mill and estate have a health and safety plan that consists of policy signed by top management on 2.7.2013, annual training plan, quarterly meeting to identify and address health and safety issues. At the time of audit, risk assessment and health and safety plan are in process of reassessment by the independent third party, who was hired by the company.</li> <li>- The mill and estate have prepared the environmental impact assessment report which identified significant impact using ISO14001 approach. Mitigation plans to reduce the significant impact are also addressed. Social impact assessment done by consultation with stakeholders and action plans are prepared and addressed relevant issues raised by stakeholders. These documents were made up by the head quarter of Univanich. For instance, latest environmental management program FV301 revision 00 is also prepared to be publicly available at Lamthap mill office</li> <li>- Copies of HCV assessment report carried out by Forest Industry Organization of Thailand was available at all site visited</li> <li>- Pollution prevention plans have been developed by using report of environmental monitoring done by Environmental Research and Technology Co.,Ltd, as the baseline information.</li> <li>- The mill and estate maintain a system of receiving complaints. Records of written complaints and issues raised by stakeholders will also be maintained even though there are no complaints given by stakeholders.</li> <li>- Procedure and processes of negotiation associated with land acquisition were available. The</li> </ul>		Yes

<b>Principle 1: Commitment to Transparency</b>		
	final process of negotiation associated with land acquisition will be judged at the court as final solution.	
	- Human right policy and summary of previous public consultation meeting were available on the company's board	
<b>Criterion 1.3:</b>		
Growers and millers commit to ethical conduct in all business operations and transactions.		
1.3.1	There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions, which shall be documented and communicated to all levels of the workforce and operations.	Minor
<b>Findings</b>		<b>Comply?</b>
The policy committing to a code of ethical conduct and integrity is available at the company board at Lamthap mill and Cha-uat division where were selected for this assessment for communication to all levels of the workforce and operation. This policy includes a respect for fair conduct of business, a prohibition of all forms of corruption, bribery and fraudulent use of funds and resources and a proper disclosure of information in accordance with applicable regulations and accepted industry practices. Engineering manager of the POM and estate is also assigned by the top management of Univanich to communicate with their staffs on relevant policies. Investigation on the presence of forms of corruption and fraudulent use of funds and resources to gain benefit and money for the company was checked with stakeholder during the public consultation meeting held at Lamthap mill. Result confirmed that there is no any form of corruption and fraudulent use of funds		Yes

## Principle 2: Compliance with Applicable Laws and Regulations

<b>Principle 2: Compliance with Applicable Laws and Regulations</b>		
<b>Criterion 2.1:</b>		
There is compliance with all applicable local, national and ratified international laws and regulations.		
2.1.1	Evidence of compliance with relevant legal requirements shall be available.	Major
<b>Findings</b>		<b>Comply?</b>
Lamthap mill and estates maintains a copy of all licenses on file. Latest list of relevant laws and regulations which needs to be respected by mills and estates was updated monthly. The latest update on relevant laws and regulation was done on 7.7.2017. Sample of documents and records of Lamthap mill and estates were examined for assessment of legal compliance. Inspection some significant licenses and reports showed that all implementation were done in compliance with laws and regulations as details given below.		Major NC
<ul style="list-style-type: none"> <li>- Univanich holds land deeds and contracts for all land used for oil palm cultivation. Land deeds and contract were done according to the Land Development Act B.E. 2551 (2008), Land Renting for Agriculture Act B.E. 2524 (1981), Agricultural Land Reform Act (No. 2) B.E. 2532 (1989) and Ministry of Environmental and Natural Resources.</li> <li>- Estates used only chemicals that have been registered with Department of Agriculture. For instance, glyphosate with registration number of 1528/2550 (2007) used for weed controlling has been reviewed during the assessment.</li> <li>- Waste and empty container disposal done by authorized company namely Mahachai Aeksiri oil who hold the license number 3-106-5/46 issued by Department of Industry Work</li> <li>- Boiler inspector license issued by Department of Industry Work was inspected.</li> <li>- Results of environmental monitoring on the last quarter of year 2017 at Lamthap mill which was done by Environmental Research and Technology Co.,Ltd, who holds the license number Wor.-099 for environmental monitoring and analysis. Results revealed that neither Total Suspended Particulate (TSP), sulphur dioxide, nitrogen dioxide nor carbon monoxide level exceeded the notification of the Ministry of Industry B.E. 2549 (1996) setting for emission released from the factory. This report was also submitted to Krabi Provincial Industry Office for consideration as required by Act no. 30 of an Industry laws B.E. 2535 (1992).</li> <li>- Lamthap mill treats effluent in anaerobic ponds until relevant parameter meet with the national standard and applies of the treated effluent for oil palm cultivation. The treated effluent is</li> </ul>		



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

tested monthly at an independent laboratory even though there is no discharge of treated effluent in the environment. It was done in accordance with the Notifications of Ministry of Industry No 2 B.E. 2539 (1996). Moreover, biogas power plant using POME from the mill was constructed to utilize waste from mill's operation

- Inspection of payment records at Lamthap mill and estates since the beginning of year 2017 until the date of audit, showed that workers were paid in accordance with the notification of Ministry of Labour indicated the minimum legal wage for Krabi province is 308 Baht/day. The records of payment for sub-contracted worker were also reviewed and it was found that sub-contracted workers were paid in accordance with the respective award rates.

However, some implementations are not in compliance with the relevant laws and regulations. For instance, according to Labor's Company Regulation of which approved by Krabi Provincial Labor Office dated May 23, 2007, there are evidences to non-compliance with the following labor legal requirements as the followings;

- Medical certificate is required for one or two days sick leave, if not presented – unpaid. The Labor is not allowed.
- Piece rate workers of Lamthap Estate do not get annual leave and cultural holidays as required by the Labor Law.
- Piece rate workers of Lamthap Estate get the right of six days sick leave with paid of which does not meet the right of thirty (30) days with paid as required by the Labor Law.
- Piece rate worker of Lamthap estate who work on holiday are not paid two times daily wage

Moreover, according to the notification of the Department of Internal Trade on FFB and loose fruit gate price dated 20 June 2017, moreover, the company is required to range the FFB gate prices according to percentage of OER starting from 18% to 22%. However, only FFB gate prices from percentage of OER range between 18%-20% is posted.

Based on above finding, major non-conformity has been raised against indicator 2.1.1

2.1.2	A documented system, which includes written information on legal requirements, shall be maintained	Minor
<b>Findings</b>		<b>Comply?</b>
In order to ensure that all operations are still in compliance with laws and regulations, Univanich has appointed Mr. Chakkaphan Chana as Regulation Management Representative (RMR) to manage all relevant legislation. Procedure for the provision of the laws and regulations SD/SMR-006 for reviewing any updating relevant laws and regulations monthly has also established. On the other hand, if there is any update on law and regulation, updates on the changes will be done via website: <a href="http://www.npc-se.co.th/index/index.asp">http://www.npc-se.co.th/index/index.asp</a> and will be sent to the responsible person's email automatically. Latest updated of the relevant laws and regulations was carried out on 7.7.2017		Yes
2.1.3	A mechanism for ensuring compliance shall be implemented	Minor
<b>Findings</b>		<b>Comply?</b>
The company has a checklist in FV203 for verification legal compliance and conduct annually. For updated relevant laws and regulations, the responsible person will be given laws and regulations whenever it was changed or updated through website <a href="http://www.npc-se.co.th/index/index.asp">http://www.npc-se.co.th/index/index.asp</a> . To ensure that all implementation is in compliance of laws and regulations, checklist for verification of the compliance was used and carried out annually basis. The latest verification of the compliance was carried out on 7.7.2017		Yes
2.1.4	A system for tracking any changes in the law shall be implemented	Minor
<b>Findings</b>		<b>Comply?</b>
Latest list of laws and regulations, revealed that there have been no significant changes in relevant laws and regulations affecting the mill and estate operations since the certification assessment in 2012. If there is any update on law and regulation, its updates on the changes will be done via website: <a href="http://www.npc-se.co.th/index/index.asp">http://www.npc-se.co.th/index/index.asp</a> and will be sent to the responsible person's email automatically		Yes
<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.		

<b>Principle 2: Compliance with Applicable Laws and Regulations</b>		
2.2.1	Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available.	Major
<b>Findings</b>		<b>Comply?</b>
<p>Univanich has the full right to use the lands for oil palm cultivation because all square meter of land for Lamthap mill and Lamthap estate, including two divisions, have been alienated with the licenses or land permits e.g. Nor Sor 3, Nor Sor 2, Nor Sor 4, Nor Sor 3 Kor and Nor Sor 4 Jor from the governmental authorities concerned. Here below are, for example, some land deeds given by the government:</p> <p><u>Lamthap mill:</u></p> <ul style="list-style-type: none"> <li>• Nor.Sor.3 Kor. No.2525, 7.80 Ha.</li> <li>• Nor.Sor.3 Kor. No.2528, 3.52 Ha.</li> <li>• Nor.Sor.3 Kor. No.2529, 2.40 Ha.</li> <li>• Nor.Sor.3 Kor. No.2531, 7.07 Ha.</li> </ul> <p><u>Cha uat division of Lamthap estate:</u></p> <ul style="list-style-type: none"> <li>• Nor.Sor.3 Kor #2525 &gt;48-3-20 rai or 7.9 ha</li> <li>• Nor.Sor.3 Kor #2528 &gt;22-0-0 rai or 3.52 ha</li> <li>• Nor.Sor.3 Kor #2529 &gt;15-0-0 rai or 2.4 ha</li> <li>• Nor.Sor.3 Kor #2531 &gt;44-1-60 rai or 7.08 ha</li> </ul> <p>All licenses above have no expiry date. Moreover, there is no land area change since the initial assessment conducted by outing CB (TUV NORD Integra bvba) in 2012</p>		Yes
2.2.2	Legal boundaries shall be clearly demarcated and visibly maintained.	Minor
<b>Findings</b>		<b>Comply?</b>
<p>The boundaries of Lamthap mill, Lamthap estate and Cha uat division were inspected at several places and at every instance found to be demarcated by pillars. Moreover, auditor also found that they demarcated by pillars and some place demarcated by topography, such as, waterway, road. The land maps indicate properly boundaries. Land maps indicated the boundary of all certification units were prepared properly. All property boundaries were coincident with surveyed map</p>		Yes
2.2.3	Where there are or have been disputes, additional proof of legal acquisition of title and evidence that fair compensation has been made to previous owners and occupants shall be available, and that these have been accepted with free, prior and informed consent (FPIC).	Minor
<b>Findings</b>		<b>Comply?</b>
<p>Due to all lands owned by Univanich, there was no dispute on the land rights in Lamthap mill, Lamthap estate and Cha-uat division. Therefore, the process of fair compensation and FPIC is currently not applicable</p>		Yes
2.2.4	There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved.	Major
<b>Findings</b>		<b>Comply?</b>
<p>Due to all lands owned by Univanich, there was no dispute on the land rights in Lamthap mill, Lamthap estate and Cha-uat division. Therefore, the process of fair compensation and FPIC is currently not applicable</p>		Yes
2.2.5	For any conflict or dispute over the land, the extent of the disputed area shall be mapped out in a participatory way with involvement of affected parties (including neighboring communities where applicable).	Minor
<b>Findings</b>		<b>Comply?</b>
<p>Even though there is no land dispute, Lamthap mill and Lamthap estate have established the mechanism on how to resolve the disputes/conflict (if any) which is already presented to stakeholder during the public consultation meetings. Latest public consultation meeting held at the Lamthap mill was used to repeat the mechanism in resolving any disputes and conflicts. Result of public consultation meeting confirmed that there are no disputes or conflicts on the land use right</p>		Yes
2.2.6	To avoid escalation of conflict, there shall be no evidence that palm oil operations have	Major

<b>Principle 2: Compliance with Applicable Laws and Regulations</b>		
	instigated violence in maintaining peace and order in their current and planned operations.	
<b>Findings</b>		<b>Comply?</b>
Due to all lands owned by Univanich, there was no dispute on the land rights in Lamthap mill, Lamthap estate and Cha-uat division. Therefore, the process of fair compensation and FPIC is currently not applicable		Yes
<b>Criterion 2.3:</b> Use of the land for oil palm does not diminish the legal, customary or user rights of other users without their free, prior and informed consent.		
2.3.1	Maps of an appropriate scale showing the extent of recognized legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighboring communities where applicable, and relevant authorities).	Major
<b>Findings</b>		<b>Comply?</b>
Univanich have the full right to use the lands for oil palm cultivation. Maps showing the extent of recognized legal are indicated in the land deed and land licenses. Maps were also integrated and indicated in the procedure of the company. Moreover, the lands are not encumbered by any customary lands or user rights. Therefore, the process of participatory mapping was not required.		Yes
2.3.2	Copies of negotiated agreements detailing the process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and shall include: a. Evidence that a plan has been developed through consultation and discussion with all affected groups in the communities, and that information has been provided to all affected groups, including information on the steps that shall be taken to involve them in decision making; b. Evidence that the company has respected communities' decisions to give or withhold their consent to the operation at the time that this decision was taken; c. Evidence that the legal, economic, environmental and social implications for permitting operations on their land have been understood and accepted by affected communities, including the implications for the legal status of their land at the expiry of the company's title, concession or lease on the land.	Minor
<b>Findings</b>		<b>Comply?</b>
Since there is no land disputes and/or company own the land right for decades, this requirement is not applicable		NA
2.3.3	All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements.	Minor
<b>Findings</b>		<b>Comply?</b>
Since there is no land disputes and/or company own the land right for decades, this requirement is not applicable		NA
2.3.4	Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel.	Major
<b>Findings</b>		<b>Comply?</b>
Since there is no land disputes and/or company own the land right for decades, this requirement is not applicable		NA

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

<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
<b>Findings</b>		<b>Comply?</b>

<b>Principle 3: Commitment to Long-Term Economic and Financial Viability</b>		
	Central office of Univanich is responsible for making a decision and approval of business plan for 2017-2020. Univanich is committed to business, economic and financial sustainability of the palm oil business. The annual budget plan for Lamthap mill includes production forecast of amount of CPO based on amount of FFB from different sources, OER trends in next 3 years and its operation costs i.e. use of electricity from both purchasing from EGAT and their owned biogas as well as amount of budget for purchase of FFB from independent small growers, and production cost. Regarding production costs or cost per tonnage of CPO trends, there are many activities with regard to the production of CPO and PK that can be counted in term of financial e.g. bunch reception, sterilizing, stripping, oil extraction, clarification, oil storage & transfer, nut & kernel plant, boiler house, power plant, upkeep mill building, supervision and other. The management plan of Lamthap estate includes forecast of FFB production per ha, budget for harvesting and collection of FFB, budget for transportation of FFB from estate to mill, budget for plantation maintenance (i.e. fertilizer application, weeding, pest and disease control, EFB application, and POME application), and expected volume of amount of rainfall, the estate performance to produce FFB/ha according to the plan is also evaluated monthly and yearly.	Yes
3.1.2	An annual replanting programme projected for a minimum of five years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review, shall be available.	Minor
<b>Findings</b>		<b>Comply?</b>
According to the business plan during 2017-2020, there is no annual replanting program projected for a minimum of five years at supply bases of Lamthap mill		NA

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

<b>Principle 4: Use of Appropriate Best Practices by Growers and Millers</b>		
<b>Criterion 4.1:</b>		
Operating procedures are appropriately documented, consistently implemented and monitored.		
4.1.1	Standard Operating Procedures (SOPs) for estates and mills shall be documented.	Major
<b>Findings</b>		<b>Comply?</b>
Relevant procedures and work instructions were established by collaboration between Lamthap mill, TOPI mill (where has been certified RSPO P&C) and Siam mill (where has been certified RSPO SCC). Estate managers have also worked together to establish procedures for palm oil operation. These written documents are based on document hierarchy structure in compliance with ISO9001:2008. Here below are some procedures and work instructions used in the mill and estates		Yes
	<ul style="list-style-type: none"> <li>• Harvesting and transporting of FFB from estate to mill (P-PT-01)</li> <li>• Palm oil nursery management (P-PT-02)</li> <li>• Agrochemical storage operation (P-PT-09)</li> <li>• Maintenance of machinery and vehicles for agriculture (P-PT-07)</li> <li>• Fertilizer application and soil improvement (P-PT-03)</li> <li>• Pruning technique and implementation (P-PT-04)</li> <li>• Weed protection and elimination (P-PT-05)</li> <li>• Integrated Pest Management program (P-PT-14)</li> <li>• Irrigation in the plantation (P-PT-26)</li> <li>• Replanting program and methods (P-PT-25)</li> <li>• Wetland and riparian redemption and protection (P-PT-13)</li> <li>• Risk assessment for occupational health and safety (P-PT-15)</li> </ul>	
4.1.2	A mechanism to check consistent implementation of procedures shall be in place	Minor
<b>Findings</b>		<b>Comply?</b>
Internal audit is one of the mechanisms used to check the consistent implementation of procedures. Latest internal audit was carried out in the whole month of June 2017 because there were a number of activities required for checking the consistency with the procedures. Mill engineer and estate manager were responsible to check the consistency. Moreover, the monitoring of implementation of SOPs are also done monthly especially concerns on health and safety as the mill and estate have a regular meeting on monthly basis.		Yes
4.1.3	Records of monitoring and any actions taken shall be maintained and available, as appropriate	Minor
<b>Findings</b>		<b>Comply?</b>

<b>Principle 4: Use of Appropriate Best Practices by Growers and Millers</b>		
<p>Actions of implementation on each activity in both mill and estate have been recorded in various types of forms. The engineering manager who is also responsible for all supply bases for Lamthap mill is responsible person to monitor whether implementation on each activity was carried out properly based on the records. It is a routine practice that the mill and estate management team have prepared monthly reports and have sent to the Head office for monitoring purpose as well. The records of monitoring and the actions taken over the past 12 months had been maintained at the mill and estates.</p> <p>During the assessment, auditors took some samples of record for verification whether activity has been done in consistent with SOPs. Based on the results of verification on the records for selected activities in estate e.g. harvesting, application of agrochemical, fertilizer application, road maintenance and irrigation in the plantation as for example, it was found that the implementations were done in compliance with the documented procedures and work instructions. For the mill, some records of selected activities e.g. FFB receiving from the supply base and smallholder, oil extraction, nut and kernel production were observed.</p>		Yes
4.1.4	The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB).	Major
<b>Findings</b>		<b>Comply?</b>
Weighing bill issued by the weighing department of Lamthap mill could show origin of FFB source between their own estates and smallholders. Based on the records, it was also found that the implementation in the mill was done in compliance with written procedures.		Yes
<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.		
4.2.1	There shall be evidence that good agriculture practices, as contained in Standard Operating Procedures (SOPs), are followed to manage soil fertility to a level that ensures optimal and sustained yield, where possible.	Minor
<b>Findings</b>		<b>Comply?</b>
The estate has SOPs for Good Agricultural Practices in managing soil fertility as "Fertilizer application and soil improvement (P-PT-03)". This SOP also describes minimization of soil erosion and maintenance of soil fertility especially through frond stacking and fertilizer application as per the recommendations in this SOP. Lamthap estate and Cha-uat division applied different formula of fertilizers depending on the purpose of use and age of palm trees, such as, 0-0-60, 0-46-0, 18-46-0 and 16-16-8. The records of fertilizer application verified against the "Fertilizer application and soil improvement (P-PT-03)". Soil samples and leaf samples were taken for soil nutrient analysis annually. The test report from analysis could be brought to guide for the fertilizer application in the next year.		Yes
4.2.2	Records of fertilizer inputs shall be maintained.	Minor
<b>Findings</b>		<b>Comply?</b>
Besides above finding addressed against indicator 4.2.1, latest record on 24 December 2016 in the log sheet showed that Cha uat division applied fertilizer formula 0-46-0 at 3 tonnes for block F5. Meanwhile, fertilizer formulas 0-0-60, 0-46-0, 18-46-0 were applied at block F5, F6 and F7 in Lamthap estate		Yes
4.2.3	There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status	Minor
<b>Findings</b>		<b>Comply?</b>
Foliar samples of Lamthap estate were taken and analysed by "Applied Agricultural Research SDN. BHD" at Malaysia. Foliar nutrient analysis for each estate owned by Univanich is done annually, but number of leaf sample is subject to the land area and decision of plantation director. Latest foliar analysis result for blocks at Cha uat division done on December 2016 showed that nutrient status of Ash, Nitrogen, Phosphorus, Potassium, Magnesium and Boron were 9.21, 2.70, 0.21, 0.72, 0.28 and 14.2, respectively. The results of foliar analysis of each estate are monitored by Plantations Director again. He will make a recommendation for fertilizer application on the basis of foliar samples analysis		Yes
4.2.4	A nutrient recycling strategy shall be in place, and may include use of Empty Fruit Bunches (EFB), Palm Oil Mill Effluent (POME), and palm residues after replanting	Minor
<b>Findings</b>		<b>Comply?</b>

<b>Principle 4: Use of Appropriate Best Practices by Growers and Millers</b>		
Lamthap estate has EFB and POME application program in place as described in "Fertilizer application and soil improvement (P-PT-03)". Application of EFB for improving soil fertility was carried out for all blocks of Lamthap estate and POME was applied for Lamthap estate only due to long distance between Lamthap mill and other estates. In Lamthap estate, POME is applied by sprinkler irrigation.		Yes
<b>Criterion 4.3:</b> Practices minimize and control erosion and degradation of soils.		
4.3.1	Maps of any fragile soils shall be available	Major
<b>Findings</b>		<b>Comply?</b>
Estates have committed to control and minimize soil degradation by using the topography map with contour lines from Royal Thai Survey Department to delineate sensitive areas of erosion. Map showing the areas of fragile soils for Cha uat division is not necessary based on both result of topography map with contour lines and results from inspection which found that there were no areas with slopes over than 20%. Even though no fragile soil has been found, conservation soil practices were continuously implemented such as terracing/platforms and frond stacking against the slope.		Yes
4.3.2	A management strategy shall be in place for plantings on slopes above a certain limit (this needs to be soil and climate specific).	Minor
<b>Findings</b>		<b>Comply?</b>
Even though there is no fragile soil and steep slope identified at all supply bases of Lamthap mill, relevant procedures for management strategies on soil have been established e.g. fertilizer and recycle fertilizer application P-PT-03 and Palm frond stacking and cutting procedure P-PT-04.		Yes
4.3.3	A road maintenance programme shall be in place.	Minor
<b>Findings</b>		<b>Comply?</b>
The estates have an annual budget and annual plan for road maintenance. Locations of road where maintenance is needed to be carried out of Cha uat division were defined in road maintenance program. Road maintenance was completely conducted in 2016. Therefore, there is no road maintenance program in the next 3 years. The road maintenance conducted in 2016 was carried out by the workers of the estate as rollers and excavators are available on site. Road has been maintained by using of rouge to compress soil surface and use road roller vehicle until it is smooth and strengthen		Yes
4.3.4	Subsidence of peat soils shall be minimized and monitored. A documented water and ground cover management programme shall be in place.	Major
<b>Findings</b>		<b>Comply?</b>
Based on the EIA report, HCV report and the results from public consultation meeting, there are no peat soil at any estates owned by Univanich.		N/A
4.3.5	Drainability assessments shall be required prior to replanting on peat to determine the long-term viability of the necessary drainage for oil palm growing	Minor
<b>Findings</b>		<b>Comply?</b>
Based on the EIA report, HCV report and the results from public consultation meeting, there are no peat soil at any estates owned by Univanich. Therefore, drainability assessment prior to replanting on peat is not necessary		N/A
4.3.6	A management strategy shall be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils).	Minor
<b>Findings</b>		<b>Comply?</b>
Based on the EIA report, HCV report and the results from public consultation meeting, there are no peat soil at any estates owned by Univanich.		N/A
<b>Criterion 4.4:</b> Practices maintain the quality and availability of surface and ground water.		
4.4.1	An implemented water management plan shall be in place.	Minor
<b>Findings</b>		<b>Comply?</b>

<b>Principle 4: Use of Appropriate Best Practices by Growers and Millers</b>		
	Estates have a policy which state that natural surface water will not be used for irrigation of palm oil cultivation purpose. POME from the Lamthap mill after biogas production is used to irrigate at plots of Lamthap estate. Procedure on water management plans described in P-PT-13 was also established. Site inspection demonstrated that Lamthap mill constructed a huge reservoir with approximate capacity of 10,000 cubic meters to store rainwater. Even though there is no reservoir at Cha uat division, rainwater from 12 months in the past year is sufficient for palm oil plantation. Water stored in reservoir will be used for mill and nursery area of Lamthap estate only.	Yes
4.4.2	Protection of water courses and wetlands, including maintaining and restoring appropriate riparian and other buffer zones (refer to national best practice and national guidelines) shall be demonstrated.	Major
<b>Findings</b>		<b>Comply?</b>
	To protect water courses at Cha aut division, 15 meters buffer consisting of naturally occurring local vegetation, on both sides of canal is allocated where no agrochemicals can be used. During the assessment, it was observed that there is much native vegetation along a waterway canal. Result from field inspection confirmed that agrochemicals are never used to control weed along the canal. As reuse of POME is not applied in Cha uat division, inspection of the leakage or discharge of POME into water bodies is not applicable. However, inspection of the leakage of POME when it is applied for irrigation was carried out at Lamthap estate instead. Results from inspection at plots F5 and F6 of Lamthap estate where are closed to canal, in contrast, found following: <ul style="list-style-type: none"> <li>- Riparian and buffer zones are required to maintain and restore in existing plantation. However, pesticides are still applied</li> <li>- Sprinkler irrigation is a method of applying POME at plots F5-F8. However, water of the canal is getting polluted directly as the result of runoff of POME</li> </ul>	Major NC
4.4.3	Appropriate treatment of mill effluent to required levels and regular monitoring of discharge quality, especially Biochemical Oxygen Demand (BOD), shall be in compliance with national regulations (Criteria 2.1 and 5.6).	Minor
<b>Findings</b>		<b>Comply?</b>
	Lamthap mill have monitored the effluent water quality at the inflow (before pumping effluent into the first wastewater treatment pond) and outflow (after treatment by using total 9 wastewater treatment ponds) monthly. Not only BOD but also COD, pH, suspended solid, oil and grease (O&G) of effluent are analysed monthly in according to the requirement of Department of Industry Work. The analysis of effluent is done by Saint Environment Co., Ltd, external laboratory who holds license no. Wor-052. Latest result of effluent analysis at outflow on first quarter of year 2017 showed BOD below 20 mg/L as required by Department of Industry Work. In addition, to support the zero discharge policy, effluent will be reused in biogas and to irrigate in the Lamthap estate.	Yes
4.4.4	Mill water use per ton of fresh fruit bunches [FFB] - see criterion 5.6 - shall be monitored.	Minor
<b>Findings</b>		<b>Comply?</b>
	Lamthap mill measures water usage per ton FFB processed monthly even though source of water is from their reservoir. Monthly records of water usage per ton of FFB in 2016 are available. Based on the production record at Lamthap mill, FFB supplied by Lamthap estate, Khlongtom division, Cha uat division (totally 1,593.23 tons) and independent smallholder (142,160.10 tons) was 143,753.33 tons. Meanwhile, approximately 280,100 m3 were pumped from the reservoir and used for the mill processing. Thus, average water usage in 2016 per tonne of FFB was 0.51 cubic meter/ ton of FFB	
<b>Criterion 4.5:</b>		
Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.		
4.5.1	Implementation of Integrated Pest Management (IPM) plans shall be monitored.	Major
<b>Findings</b>		<b>Comply?</b>
	All estates owned by Univanich have formulated an Integrated Pest Management (IPM) together. IPM plan and techniques are addressed in the document procedure P-PT-14. IPM program of the Lamthap mill and divisions composes of increasing number of barn owl boxes/nests and expansion area of planting beneficial host plant. IPM program also includes the establishment of beneficial host plants such as <i>Cassia cobanensis</i> and <i>Euphorbia heterophylla</i> along the roadsides and estate. To stop spreading and outbreak of leaf eating caterpillar, the estates cut damaged fronds where are heavily attached by bagworms or caterpillars. Mechanical weed control is also carried out. Moreover,	Yes

<b>Principle 4: Use of Appropriate Best Practices by Growers and Millers</b>		
	rat traps without the use of rodenticide are also used to facilitate workers for catching rat for food. To decide which IPM technique can be used, workers are assigned by estate manager to monitor the presence of pest daily. Workers have been given the training on how to monitor leaf-eating pests and rat. IPM training was done on yearly basis as refreshment training to existing workers.	
4.5.2	Training of those involved in IPM implementation shall be demonstrated.	Minor
<b>Findings</b>		<b>Comply?</b>
	Latest IPM training for workers at Cha uat division was done on 8 December 2016. Lamthap estate and divisions have implemented an on-going program to monitor the presence of pests in order to identify pest numbers and possible pest and diseases outbreak.	Yes
<b>Criterion 4.6:</b>		
Pesticides are used in ways that do not endanger health or the environment.		
4.6.1	Justification of all pesticides used shall be demonstrated. The use of selective products that are specific to the target pest, weed or disease and which have minimal effect on non-target species shall be used where available.	Major
<b>Findings</b>		<b>Comply?</b>
	The selection of chemical for weed control and the treatment is based on the inspection of field conditions before spraying. When chemical pesticides are necessary, it is responsibility of estate manager for Cha uat division to make a decision. Justification for application of pesticides is addressed in the procedure agrochemical storage operation "P-PT-09". Specific pesticide is identified to be used to control the specific pest and weed. However, the justification of purchasing all chemical pesticides used in all estates has been decided by Plantations Director. From the records of pesticide usage done on last year, it was confirmed that ratio between chemical and water done by sprayer was in accordance with the written work instruction regarding to the dosage and application methods.	Yes
4.6.2	Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per ha and number of applications) shall be provided.	Major
<b>Findings</b>		<b>Comply?</b>
	Latest application of Alion at block F5 of the Cha uat division was carried out on 12 December 2016 to control narrow-leaf. Based on the record of pesticide application, it was showed that 27.6% of active ingredient of glyphosate registered with Department of Agriculture of Thailand was applied for block F5 which covers 18 ha of planted area	Yes
4.6.3	Any use of pesticides shall be minimized as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations identified in national Best Practice guidelines.	Major
<b>Findings</b>		<b>Comply?</b>
	Inspection on the record book and chemical storage also confirmed that all types of chemicals used in the estates were registered under the Hazardous Substances Act B.E. 2535 (and its amendments) of Thailand. For example, the license number of glyphosate (Roundup) and Alion issued by Department of Agriculture are 158/2554 and 694/2547, respectively. Based on the record of pesticide application; moreover, confirmed that the use of pesticide was carried out to control weeds only. It was not used to control pest and disease which is in accordance with the IPM plans	Yes
4.6.4	Pesticides that are categorized as World Health Organization Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimized and eliminated as part of a plan, and shall only be used in exceptional circumstances.	Minor
<b>Findings</b>		<b>Comply?</b>
	During the site inspection especially chemical storage and records of the use of pesticide, it was confirmed that there was no pesticide that are categorized as World Health Organization Class 1A or 1B used by the estates	Yes
4.6.5	Pesticides shall only be handled, used or applied by persons who have completed the necessary training and shall always be applied in accordance with the product label. Appropriate safety and application equipment shall be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7).	Major
<b>Findings</b>		<b>Comply?</b>



<b>Principle 4: Use of Appropriate Best Practices by Growers and Millers</b>		
	Personal safety equipment or PPEs which include mask, rubber gloves, and rubber boots are provided to workers who are responsible for chemical spraying to minimize risk and impact from pesticide application. Workers are allowed to keep and clean PPE as their assets. Interview with sprayer of Cha uat division confirmed that those PPE are provided by the estate manager. Moreover, spare PPE is available at the office and ready to disburse anytime.	Yes
4.6.6	Storage of all pesticides shall be according to recognized best practices. All pesticide containers shall be properly disposed of and not used for other purposes (see Criterion 5.3).	Major
<b>Findings</b>		<b>Comply?</b>
	Inspection at the store of Cha uat division showed that it meets security requirement of spill containment, well ventilation, and labelling. Easy to read and understand MSDS of each agrochemical is displayed in front of the shelf where it is placed/ stacked in the store. Chemical pesticides are always kept in store which is secured with lock. Key to the store is only held by designated person responsible for chemical inventory and storage. Running water is provided to workers who have to handle with chemical pesticides.	Yes
4.6.7	Application of pesticides shall be by proven methods that minimize risk and impacts.	Minor
<b>Findings</b>		<b>Comply?</b>
	Application of pesticides was done by proven methods such as correct dosage, no spillage, time for application and spare water onsite for cleaning PPEs and equipment. The existing agrochemical use procedure described in procedure was used to train the workers who deal with the agrochemical	Yes
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
<b>Findings</b>		<b>Comply?</b>
	Pesticides have never been applied aerially	N/A
4.6.9	Maintenance of employee and associated smallholder knowledge and skills on pesticide handling shall be demonstrated, including provision of appropriate information materials (see Criterion 4.8).	Minor
<b>Findings</b>		<b>Comply?</b>
	All sprayers (Benchawan, Surachart, Malee and Areerat) could demonstrate their understanding and knowledge on pesticide handling and application during the interview process.	Yes
4.6.10	Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated (see Criterion 5.3)	Minor
<b>Findings</b>		<b>Comply?</b>
	Facility to clean and wash the containers, equipment and also PPEs after spraying is duly provided by the estates. Water used to clean containers and PPE that contained some chemical will be reapplied in the estate in order to reduce negative impact of chemical to environment. Designated area to collect empty containers is provided by the Cha uat division. This storage of empty container is sheltered from the rain and always locked. Once number of empty containers is enough, it will be disposed by authorized company. Record of waste disposal conducted by authorized company is available during the assessment	Yes
4.6.11	Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated.	Major
<b>Findings</b>		<b>Comply?</b>
	Annual health check-up is carried out for all workers including those applying agrochemicals. All workers (Benchawan, Surachart, Malee and Areerat) who deal with chemical spraying have health examination done by Thung Song Health Laboratory Co., Ltd on 28 March 2017. The results of medical check-ups for chemical spraying workers especially cholinesterase have revealed that no one has any serious condition that may be caused by the chemicals they sprayed such as hepatic-pancreas damage	Yes
4.6.12	No work with pesticides shall be undertaken by pregnant or breast-feeding women.	Major
<b>Findings</b>		<b>Comply?</b>

<b>Principle 4: Use of Appropriate Best Practices by Growers and Millers</b>		
From the list of workers who deal with chemical spraying, it was found that women from both estates are one of sprayer team who responsible to spray agrochemical. All sprayers are therefore experienced worker. Besides, no pregnant or breast-feeding women were found during the onsite assessment. Mechanism to deal with pregnant or breast-feeding women who work with chemical was verified by interviewing women sprayers (Benchawan and Malee) during the assessment in order to confirm whether or not women sprayer are aware on any impacts caused by spraying chemical while pregnant		Yes
<b>Criterion 4.7:</b> An occupational health and safety plan is documented, effectively communicated and implemented.		
4.7.1	The health and safety plan shall cover the following: <ul style="list-style-type: none"> <li>• A health and safety policy shall be in place.</li> <li>• A health and safety plan covering all activities shall be documented and implemented, and its effectiveness monitored.</li> </ul>	Major
<b>Findings</b>		<b>Comply?</b>
Univanich has a safety, health and environment policy approved by Managing Director, Safety coordinator and HR manager on 2 July 2012. Policy addressed that all accident, occupational illness and incidents are preventable through management of identified risks. Every employee has a personal responsibility to encourage safe work practices. The policy is displayed on notice boards throughout the operation sites. Existing health and safety plan, covering all activities, is described and integrated into safe working practices procedure. Recently, the occupation health and safety plan was revised by expert who was already engaged by the company to make it more realizable and professional.		Yes
4.7.2	All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers.	Major
<b>Findings</b>		<b>Comply?</b>
Procedures to minimize identified risks were established, which was the results from risk assessment for occupational health and safety (P-PT-15). Warning signs were posted at several workplaces to encourage all workers about the identified risks. Based on the accidental records, it was confirmed that all implementations are carried out safely because there is no accident since the beginning of year 2016.		Yes
4.7.3	All workers involved in the operation shall be adequately trained in safe working practices (see Criterion 4.8). Adequate and appropriate protective equipment shall be available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, harvesting and, if it is used, burning.	Major
<b>Findings</b>		<b>Comply?</b>
Personal protective equipment (PPEs) was provided by the company to all workers at the work place. In particular, sprayers are provided with appropriate PPEs such as mask, rubber gloves, protective cloth and rubber boots. Meanwhile, workers who work at mill are also provided with appropriate PPEs such as safety shoe, ear plugs and/or ear muffs and safety helmet. Even though there were no records of accident which affect the health of worker seriously, a proper recording system is in place and ready for use at any time which includes: how and when the accident occurred, who was injured, root cause of accident, and the mechanism to deal with accident cases. Estates and mill have a documented annual training programme for safety. All new hired workers are required to be trained on occupational health and safety before starting his/her career. First aid training conducted by specialist from Lamthap hospital was given to all workers on 27 July 2016		Yes
4.7.4	The responsible person/persons shall be identified. There shall be records of regular meetings between the responsible person/s and workers. Concerns of all parties about health, safety and welfare shall be discussed at these meetings, and any issues raised shall be recorded.	Major
<b>Findings</b>		<b>Comply?</b>
Engineering manager is responsible person who has been appointed by Managing Director to respond the health and safety policy. In addition, an occupational health and safety committee is appointed by engineering manager which will be responsible to monitor the consequence of occupational health and safety implementation via a meeting on quarterly basis. The latest meeting of occupational health and safety committee consisting of managers, supervisors, worker representative and gender committee for first quarter of year 2017, done on 31 March 2017, showed		Yes

<b>Principle 4: Use of Appropriate Best Practices by Growers and Millers</b>		
that there were no concerns on health and safety raised by worker representative.		
4.7.5	Accident and emergency procedures shall exist and instructions shall be clearly understood by all workers. Accident procedures shall be available in the appropriate language of the workforce. Assigned operatives trained in First Aid should be present in both field and other operations, and first aid equipment shall be available at worksites. Records of all accidents shall be kept and periodically reviewed.	Minor
<b>Findings</b>		<b>Comply?</b>
Warning signs and instruction signs were posted at the workplaces in order to communicate with the workers for the safety concern. Since there is no foreign workers from neighboring countries, only Thai language have been used as the main language for communication. First aid equipment and kits listed in accordance with the Labour laws (29 items) are also available. Result from verification of the records on loss time accident (LTA) at Lamthap mill and estate in 2016 confirmed that there was no accident. This evidence could confirm that all workers have clearly understood on health and safety concern/plan		Yes
4.7.6	All workers shall be provided with medical care, and covered by accident insurance	Minor
<b>Findings</b>		<b>Comply?</b>
All workers are provided with medical care in case of injury form work. Even though accidental insurance is not provided by the company for all workers, they will be paid by the company in the event of an injury. Moreover, social insurance is also provided by the company for all workers including daily workers (minimum wage workers). The social insurance is also cover for all types of severe		Yes
4.7.7	Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics.	Minor
<b>Findings</b>		<b>Comply?</b>
The record of loss time accident (LTA) at Lamthap mill and estates in 2016 is available. However, there was no serious accident occurred during that period of time		Yes
<b>Criterion 4.8:</b>		
All staff, workers, smallholders and contract workers are appropriately trained.		
4.8.1	A formal training programme shall be in place that covers all aspects of the RSPO Principles and Criteria, and that includes regular assessments of training needs and documentation of the programme.	Major
<b>Findings</b>		<b>Comply?</b>
Lamthap mill and estates have an annual training program for calendar year 2016 and 2017 which was approved by Engineering Manager. The annual training program is integrated for all mills and estates of Univanich. The training program includes, for example, firefighting, boiler operation, air pollution monitoring, waste management, handling of hazardous wastes, integrated pest control and agrochemical spraying. New employee will be given the training on company's rules and regulation, health and safety concerns and relevant work instruction to their area of work. However, there is no new staff recruited in the last one year.		Yes
4.8.2	Records of training for each employee shall be maintained.	Minor
<b>Findings</b>		<b>Comply?</b>
Record of training for selected worker could be shown upon request during the assessment. For instance, all workers at both mill and estate have been trained on several training subjects continuously. The dates of the training on subjects are already indicated in each indicator of this public summary report.		Yes

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

<b>Principle 5: Environmental Responsibility and Conservation of Natural Resources and Biodiversity</b>		
<b>Criterion 5.1:</b>		
Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.		
5.1.1	An environmental impact assessment (EIA) shall be documented.	Major
<b>Findings</b>		<b>Comply?</b>

<b>Principle 5: Environmental Responsibility and Conservation of Natural Resources and Biodiversity</b>		
	Univanich has appointed staff, who hold whether Bachelor and Master degree on environmental background, to assess the environmental impact by using the approach of an environmental management system (ISO14001). Relevant provincial governmental agencies follow; Krabi Provincial Office of Natural Resources and Environment, Than Bok Khorani National Park, and Khlong Praya Wildlife Sanctuary, were invited to read and comment on the EIA assessment report. They have returned a confirmation after the review to confirm that there is no any objection to EIA report done by Univanich. The environmental risk assessment was also conducted to determine risk scale ranging from 3 levels; low (normal), medium (abnormal) and high (critical). Score of possibility of adverse effects is used to rank the impacts. Based on the system of scoring, if the result of scoring was higher than 54 scores, the mitigation plan needs to be established. Both environmental impact assessment and environmental risk assessment seen during the surveillance audit are the same since initial assessment because there is no change that might affect to the environment.	Yes
5.1.2	Where the identification of impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a comprehensive management plan. The management plan shall identify the responsible person/persons.	Minor
<b>Findings</b>		<b>Comply?</b>
	Identified risks for either mill or estate have been determined by the staff of Univanich under the agreement by other governmental sectors. For instance, either emission or explosive from boiler operation had a highest score of possibility of adverse effect and could result in huge damage on both social and environmental aspects. While the impact on environment from operation of estates, for example, consists of using persistent chemical and erosion. Procedures to deal with identified risks in mill and estates were established. To ensure the mitigation plan conduct properly, monitoring of the implementation and a review of the implementation was carried out by expert who was engaged by the company firstly. Up to now, the review of mitigation actions was carried out by engineering manager even though all environmental parameters monitored within internal timeframe required by laws are always met the national standards.	Yes
5.1.3	This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.	Minor
<b>Findings</b>		<b>Comply?</b>
	There are 4 identified impacts that can have an effect on environment; emission from the stack, odor, wastewater and hazard wastes. Mitigation measures have been developed to reduce the level of impacts on environment. However, there is no evidence showing that the mitigation plan is reviewed in the last two years to reflect the effectiveness of the mitigation measures. Minor non-conformity has been raised against this indicator	Minor NC
<b>Criterion 5.2:</b>		
The status of rare, threatened or endangered species and other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and operations managed to best ensure that they are maintained and/or enhanced.		
5.2.1	Information shall be collated in a High Conservation Value (HCV) assessment that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors).	Major
<b>Findings</b>		<b>Comply?</b>
	Univanich engaged the HCV assessor from Forest Industry Organization, Ministry of Natural Resource and Environment of Thailand, to execute the assessment during 6-9 November 2012. As there is no change on the land area for both mill and estates for decades, HCV conducted by Forest Industry Organization of Thailand is still valid. Based on the HCV report, it was confirmed that there is no presence of RTE in the planted area and adjacent area. However, it was found that small jungle nearby the block F1 and F2 of Lamthap estate was classified by Forest Industry Organization as HCV 1.1, but the identified HCV is not located within the planted area owned by Univanich. Moreover, HCV5 related to basic need from Singpun canal where is the border between Lamthap estate and outside was also identified by Forest Industry Organization.	Yes
5.2.2	Where rare, threatened or endangered (RTE) species, or HCVs, are present or are	Major

<b>Principle 5: Environmental Responsibility and Conservation of Natural Resources and Biodiversity</b>		
	affected by plantation or mill operations, appropriate measures that are expected to maintain and/or enhance them shall be implemented through a management plan.	
<b>Findings</b>		<b>Comply?</b>
	Even though there is no RTEs and HCV identified within the certification management units owned by Univanich, staffs of the Lamthap mill and estates worked with community to monitor whether rare animals have migrated their habitat to the community and certification units of Univanich. Public consultation meeting was conducted annually to update the situation of the migration of the habitat. Minutes of the meeting confirmed that there is no presence of RTEs reported by the villagers and community.	Yes
5.2.3	There shall be a programme to regularly educate the workforce about the status of these RTE species, and appropriate disciplinary measures shall be instigated in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species.	Minor
<b>Findings</b>		<b>Comply?</b>
	Even though there is no RTEs and HCV identified within the certification management units owned by Univanich, staffs of the Lamthap mill and estates worked with community to monitor whether rare animals have migrated their habitat to the community and certification units of Univanich. Public consultation meeting was conducted annually to update the situation of the migration of the habitat. Minutes of the meeting confirmed that there is no presence of RTEs reported by the villagers and community.	Yes
5.2.4	Where a management plan has been created there shall be ongoing monitoring: <ul style="list-style-type: none"> <li>• The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported;</li> <li>• Outcomes of monitoring shall be fed back into the management plan.</li> </ul>	Minor
<b>Findings</b>		<b>Comply?</b>
	Conservation management plans to avoid damage and to prevent the deterioration of forest area were established and suggested by Forest Industry Organization. Those management plans, for example, are coordination with the forest officer from governmental agency, post the visible signs to limit the access into forest area for workers, and monitor any deterioration of forest area monthly. Singpun canal in Lamthap estate was also identified as HCV5 by Forest Industry Organization as some affects caused by estate's activity may not be safe for downstream communities who use water from Singpun canal for their consumption. <p>Monitoring of implementation especially on buffer consisting of local vegetation along Singpun canal was carried out by supervisor of the estate. Result of monitoring confirmed that vegetation buffers are in good condition to prevent the deterioration of the water quality in Singpun canal. The result of monitoring was also reviewed by estate manager.</p>	Yes
5.2.5	Where HCV set-asides with existing rights of local communities have been identified, there shall be evidence of a negotiated agreement that optimally safeguards both the HCVs and these rights.	Minor
<b>Findings</b>		<b>Comply?</b>
	No HCV set-asides with existing rights of the local communities were identified by approved HCV assessor	Yes
<b>Criterion 5.3:</b>		
Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.		
5.3.1	All waste products and sources of pollution shall be identified and documented	Major
<b>Findings</b>		<b>Comply?</b>
	Waste products and all sources of pollution are identified and listed in the document no. FV104 revision 00 and updated in December 2016. Waste management plan code FV301 revision 00 established by Lamthap mill and estate is reviewed annually; however, operational changes are not required. Those identified wastes, either solid or liquid, will be managed in different method such as reuse, recycle or disposal by authorized company as described in this procedure. For example, decanter cake, POME, POME cake and waste water generated by mill are listed as available waste for reuse in Lamthap estate and divisions of Lamthap estate. Waste home which has been seen since initial assessment is still available at Lamthap mill.	Yes
5.3.2	All chemicals and their containers shall be disposed of responsibly.	Major

<b>Principle 5: Environmental Responsibility and Conservation of Natural Resources and Biodiversity</b>		
<b>Findings</b>		<b>Comply?</b>
It is the permanent storage which provides sufficient containment system to deal with used liquid chemical in laboratory and obsolete lubricant/oil of mill and Lamthap estate. Solid wastes can be collected at the waste home as well in separation zone away from the area to deal with liquid chemical. For wastes generate by Cha uat division, they will be stored in the waste storage and will be disposed separately. Waste storage at Cha uat division is a permanent storage sheltered from rain and with the sufficient containment system to prevent any leakage to environment of agrochemical that may remain in the containers due to improper clean-up after use. For wastes generate by mill, waste home is used to store wastes. However, the disposal of wastes is done by authorized company namely Mahachai Aeksirioil who hold the license number 3-106-5/46 issued by Department of Industry Work		Yes
5.3.3	A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented.	Minor
<b>Findings</b>		<b>Comply?</b>
According to the explanation in Indicator 5.3.2, all wastes were disposed responsibly. All places for collecting the waste are constructed permanently in order to reduce pollution on environment		Yes
<b>Criterion 5.4:</b> Efficiency of fossil fuel use and the use of renewable energy is optimized.		
5.4.1	A plan for improving efficiency of the use of fossil fuels and to optimize renewable energy shall be in place and monitored.	Minor
<b>Findings</b>		<b>Comply?</b>
Univanich and estates have a plan to strive for continuous efficiency improvement in the use of renewable energy. Renewable energy that is generated from either biogas or turbine (palm fibre is used as fuel in boiler) is the most successful of Univanich for all mills. Capacity of a biogas plant located in Lamthap mill is 1.9 MW. Based on the records of electricity generated by biogas and turbine at Lamthap mill showed that approximately 4,785 MWhr was generated by turbine and about 1,400 MWhr was generated by biogas. Electricity generated by biogas is not only for sale to the public through the Provincial Electricity Authority's grid (PEA) but also for use in PK crushing mill. Even though Lamthap mill could generate the electricity from renewable sources, the purchasing of electricity from PEA is still required at times of certain emergency or when the power generation system in the mill breaks down. The use of oil or fossil fuel for all vehicles and any purposes e.g. OFP wheel loader, factory wheel loader, factory drum truck, office pick up and excavator at Lamthap mill recorded in 2016 was 58,000 litres. Meanwhile, total CPO production resulted from processing of FFB supplied in the whole year of 2016 was 24,716 tons. The amount of CPO production in 2016 was a result from processing FFB supplied by Lamthap mill, Khlongtom division, Cha Uat division and other independent smallholders. Therefore, result of monitoring direct fossil fuel used per ton of CPO last year was equal to 0.42 liter/ton CPO		Yes
<b>Criterion 5.5:</b> Use of fire for preparing land or replanting is avoided, except in specific situations as identified in the ASEAN guidelines or other regional best practice		
5.5.1	There shall be no land preparation by burning, other than in specific situations as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.	Minor
<b>Findings</b>		<b>Comply?</b>
Inspection at Lamthap estate confirmed that there was no evidence of open burning in the estate. Site inspection confirmed that there is no remain evidence of land burning in the planted area of Cha uat division. To demonstrate the effectiveness of zero burning polity, stakeholder interview during the public consultation meeting held at Lamthap mill confirmed that land burning during replanting at Khlongtom division where is recently replanted is never carried out. Stakeholder confirmed that only excavators, fitted with a chipping bucket, are used for felling and shredding in the mature palm oil trees for replanting		Yes
5.5.2	Where fire has been used for preparing land for replanting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.	Minor
<b>Findings</b>		<b>Comply?</b>

<b>Principle 5: Environmental Responsibility and Conservation of Natural Resources and Biodiversity</b>		
Based on above mentioned finding, it is not necessary to ask the approval		Yes
<b>Criterion 5.6:</b>		
Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored. <i>Preamble: Growers and millers commit to reporting on operational greenhouse gas emissions. However, it is recognized that these significant emissions cannot be monitored completely or measured accurately with current knowledge and methodology. It is also recognized that it is not always feasible or practical to reduce or minimize these emissions. Growers and millers commit to an implementation period until the end of December 2016 for promoting best practices in reporting to the RSPO, and thereafter to public reporting. Growers and millers make this commitment with the support of all other stakeholder groups of the RSPO.</i>		
5.6.1	An assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent (see Criterion 4.4).	Major
<b>Findings</b>		<b>Comply?</b>
Lamthap mill has documented a pollution and emission control plan FV102 revision 00 that identifies the sources of emissions and methods for control. Environmental quality monitoring report done by Environmental Research and Technology Co., Ltd is a good resource that has been taken into account to develop the pollution and emission control plan. Based on this assessment, pollution in mill are still mainly from boiler, generator and vehicles. However, as long as the emission released through stack of mill doesn't exceed the requirement of laws, the management plan to reduce gaseous emissions is not necessary		Yes
5.6.2	Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimize them implemented.	Major
<b>Findings</b>		<b>Comply?</b>
Significant pollutions and greenhouse gas (GHG) emission caused by mill and estate operations have been identified and documented. Plan to reduce the pollutions and emission of GHG was established for both mill and estate activities. All activities that cause of GHG emission were identified such as FFB transport from estates to mill, emission from stack of the mill, land conversion, fertilizer manufacture and transport, and N2O from fertilizer application. Even though biogas was constructed for many years to capture methane, Univanich started to reduce GHG from other activities. The plan to reduce GHG emission from these activities during 2016-2017 was being implemented.		Yes
5.6.3	A monitoring system shall be in place, with regular reporting on progress for these significant pollutants and emissions from estate and mill operations, using appropriate tools.	Minor
<b>Findings</b>		<b>Comply?</b>
Monitoring system, for instance, for GHG from fuel consumption or transportation will be reduced to 150 tC2Oe by 2016. Use of fossil fuel at both TOPI mill and estates are recorded to evaluate in term of GHG emission. Based on the results of environmental monitoring at TOPI mill done by C.E.M Technology Thailand Co., Ltd, it showed that neither Total Suspended Particulate (TSP), sulphur dioxide, nitrogen dioxide nor carbon monoxide level exceeded the notification of the Ministry of Industry B.E. 2549 (1996) for gashouse emission released from the factory.  Moreover, PalmGHG was used as the guideline for assessing and monitoring the emissions from GHG emission. The company has submitted the PalmGHG report to RSPO secretariat by email on the first day of the assessment.		Yes

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

<b>Principle 6: Responsible Consideration of Employees and of Individuals and Communities affected by Growers and Millers</b>		
<b>Criterion 6.1:</b>		
Aspects of plantation and mill management that have social impacts, including replanting, are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.		
6.1.1	A social impact assessment (SIA) including records of meetings shall be documented.	Major
<b>Findings</b>		<b>Comply?</b>

<b>Principle 6: Responsible Consideration of Employees and of Individuals and Communities affected by Growers and Millers</b>		
	Social impact assessment was carried out by qualified staff under the recommendation of the permanent officer of Krabi Provincial Social Development and Welfare Office. SIA was done through a participatory approach during the public consultation that was carried out annually. Questionnaire was then used to evaluate participant's opinion whether they have been affected by mill and estate's operation. Results after questionnaire survey was then incorporated into the social impact assessment report. To make this SIA report reliable, Krabi Provincial Social Development and Welfare Office was invited to read and comment the SIA report.	Yes
6.1.2	There shall be evidence that the assessment has been done with the participation of affected parties.	Major
<b>Findings</b>		<b>Comply?</b>
SIA was conducted with the participation of affected parties during the public consultation meeting that was conducted annually. Those stakeholders were also invited annually to give their comments and perspectives on the assessment. In-depth interview and discussion were carried out to identify which activity cause the impact on social. During this assessment conducted by auditor, the public consultation was also held at Lamthap mill I in order to take this opportunity to follow up on any concerns on mill and estate's operation raised by stakeholder. In-depth interview conducted by auditor confirmed that stakeholder have not affected by the mill and estate operation		
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
<b>Findings</b>		<b>Comply?</b>
Even though plan for avoidance or mitigation of negative impacts seem not to be necessary and/or required by stakeholders because there is no identified social impact, the company established their own plan for avoidance of negative impacts e.g. construction of the silencer to reduce the noise level from the boiler and promote the activity implemented by the company to the public		Yes
6.1.4	The plans shall be reviewed as a minimum once every two years and updated as necessary, in those cases where the review has concluded that changes should be made to current practices. There shall be evidence that the review includes the participation of affected parties.	Minor
<b>Findings</b>		<b>Comply?</b>
There is no evidence showing that the effectiveness of mitigation measures implemented to reduce the level of the impacts on social was reviewed under the participation with the affected parties in every two years. Based on this evidence, minor non-conformity has been raised against this indicator		Minor NC
6.1.5	Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme).	Minor
<b>Findings</b>		<b>Comply?</b>
As there is no associated smallholder/scheme smallholder, it is not necessary		N/A
<b>Criterion 6.2:</b>		
There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.		
6.2.1	Consultation and communication procedures shall be documented.	Major
<b>Findings</b>		<b>Comply?</b>
Communication and consultation management guidelines are developed and documented. Based on the communication and consultation management guidelines, the public consultation meeting is planned to be done annually in order to ensure that the concerns of affected persons or interested parties will be presented and considered at the appropriate stage (if any). The latest public consultation meeting was done within this timeframe and was on 15 January 2017. Stakeholders were informed by management of the company once again on procedures related to how to raise a complaint and grievance, steps to deal with complaints and grievance, how to request for reviewing documents relating to environmental, social and legal issues, transparency, policy related to discrimination, respect to the grouping as the worker union, sexual harassment, EIA, SIA, risk assessment, occupation, safety, mitigation plan and possible impacts. After that, management team		Yes



<b>Principle 6: Responsible Consideration of Employees and of Individuals and Communities affected by Growers and Millers</b>		
of the company has been invited to leave the meeting so that an interview with stakeholders by auditor team was carried out without interference from the management team staffs of Univanich		
6.2.2	A management official responsible for these issues shall be nominated.	Minor
<b>Findings</b>		<b>Comply?</b>
Management staff responsible for communication with affected persons or interested parties has not changed. Lamthap mill and estate manager are the representatives appointed by Managing Director of Univanich on April 8th, 2012		Yes
6.2.3	A list of stakeholders, records of all communication, including confirmation of receipt and that efforts are made to ensure understanding by affected parties, and records of actions taken in response to input from stakeholders, shall be maintained.	Minor
<b>Findings</b>		<b>Comply?</b>
A list of stakeholders include local communities, statutory, local governments, Islamic religious leader, head of communities, NGO (if any), and local community members are kept and maintained properly. There was no significant change on the list of stakeholder. The list of stakeholders includes contact details and address so that communication with those stakeholders can be done immediately. The change of person on the list will be monitored by the mill or estate manager. Provide an employment opportunity for local people is one of Univanich's policy on the recruitment of new staff. Moreover, stakeholders will be invited for participation in the public consultation meeting at least once a year		Yes
<b>Criterion 6.3:</b>		
There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all affected parties.		
6.3.1	The system, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistleblowers, where requested.	Major
<b>Findings</b>		<b>Comply?</b>
The complaints, grievance and dispute procedure is documented by the central office of Univanich in April 2012 and shared to all mills and estates. Not only stakeholder but also workers, supplier and customer can give complaints and grievance to mill and estate. When the complaints and grievance were raised, it is the responsibility of mill and estate manager to handle and resolve them. Based on the latest minute of public consultation meeting held on 15 January 2017 and also record of complaints, there was no evidence of dispute and complaints raised by stakeholder, community leader, governmental officers, and local communities		Yes
6.3.2	Documentation of both the process by which a dispute was resolved and the outcome shall be available.	Major
<b>Findings</b>		<b>Comply?</b>
For internal complaints and grievances, a complaint box is available for workers to drop in their complaints and grievances. Moreover, workers have the right to raise their complaint through management representative (mill and estate manager) of the company directly. Currently, there are no complaints from either external stakeholders raised during the public consultation or their employees. To ensure that the stakeholders and employees have the right to give the complaints and grievances, the procedures have been communicated and disseminated to all stakeholders. The documented complaint, grievance and dispute procedure also states that in case a dispute is unable to be resolved by two parties, the matter will be referred to the court for a final solution		Yes
<b>Criterion 6.4:</b>		
Any negotiations concerning compensation for loss of legal, customary or user rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.		
6.4.1	A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be in place.	Major
<b>Findings</b>		<b>Comply?</b>
Procedure for identifying legal, customary or user rights (document no.6.9) was established. This procedure will be applied for all certification units owned by Univanich Palm Oil PCL.		Yes

<b>Principle 6: Responsible Consideration of Employees and of Individuals and Communities affected by Growers and Millers</b>		
6.4.2	A procedure for calculating and distributing fair compensation (monetary or otherwise) shall be established and implemented, monitored and evaluated in a participatory way, and corrective actions taken as a result of this evaluation. This procedure shall take into account: gender differences in the power to claim rights, ownership and access to land; differences of transmigrates and long-established communities; and differences in ethnic groups' proof of legal versus communal ownership of land.	Minor
<b>Findings</b>		<b>Comply?</b>
A procedure for calculating and distributing fair compensation (document no. 6.10) was established. The compensation will be made according to the decision of the independent arbitrator or court of justice (if any). Based on the results of public consultation meeting for all estates and mill as well as interviewing with local communities on 15 January 2017, it was confirmed that there is no current claim on customary right over land		Yes
6.4.3	The process and outcome of any negotiated agreements and compensation claims shall be documented, with evidence of the participation of affected parties, and made publicly available.	Major
<b>Findings</b>		<b>Comply?</b>
Based on above mentioned finding, there is no process and outcome of any negotiated agreement and compensation claims because all land areas are owned by the company		Yes
<b>Criterion 6.5:</b>		
Pay and conditions for employees and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.		
6.5.1	Documentation of pay and conditions shall be available.	Major
<b>Findings</b>		<b>Comply?</b>
The salary, wage and conditions of work done in accordance with the legislation of Department of Labor are described in the contracts signed between the company and all workers. The minimum legal wage for Krabi province at 308 Baht/day has been taken into account to include in the contract		Yes
6.5.2	Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be available in the languages understood by the workers or explained carefully to them by a management official.	Major
<b>Findings</b>		<b>Comply?</b>
The salary, wage and conditions of work that conformed to the legislation of Department of Labor are described in the contracts signed between the company and all workers. The terms and conditions specified in the contract are in line with the legislation such as working days, working time, salary levels, regional minimum pay and employee insurance. The workers, who have not fully able to read, have been explained the terms and conditions before signing. The contract of each employee is kept at the central office at Siam mill including new occupational health and safety officer. However, the copied contract is also given to worker for their reference. The contract and payment records of sprayer (Benchawan and Malee) were sampled. It was found that they received more than 10,000 Baht for working 21 days/month. The average daily wage given to these sprayers are compliant with the legislated minimum wage of 308 Baht/day. Wage payment is usually done by bank transfer		Yes
6.5.3	Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible.	Minor
<b>Findings</b>		<b>Comply?</b>
All employees, even contractor, have been provided with suitable housing, water supplies, medical care and welfare by the company. Two bedrooms with one separate bathroom are provided for each house so that worker can bring their family to live together. Estate clinics provide medical treatment for staff, workers and their family at no cost. Water and electricity are provided to each house. Water tanks are also provided for the workers to trap and store rain water for using in drought and when water supply is not being used. Residents are allowed to grow their own grown vegetable (backyard garden) at their house.		Yes
6.5.4	Growers and millers shall make demonstrable efforts to monitor and improve workers'	Minor

<b>Principle 6: Responsible Consideration of Employees and of Individuals and Communities affected by Growers and Millers</b>		
	access to adequate, sufficient and affordable food.	
<b>Findings</b>		<b>Comply?</b>
Even though affordable food could not provide by estate to all workers directly for free, estates could show their effort to contact food seller to come into the estate for selling food with low prices comparing to the fresh markets. For school aged children, the estate provides some financial aid to reimburse for fossil fuel costs as school bus for transporting of all children to attend the school is not provided by the estate		Yes
<b>Criterion 6.6:</b>		
There The employer respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.		
6.6.1	A published statement in local languages recognising freedom of association shall be available.	Major
<b>Findings</b>		<b>Comply?</b>
Policy to respect the right of all personnel to form and join trade unions signed by Managing Director on 8 April 2012 is not changed. Employees of Univanich therefore have the right to freedom of association and to form or join labor union. This policy is posted on the company boards for all sites visited. Even though all workers aware of this policy, workers in all sites did not form any labour union or join any labour association at the time of surveillance assessment		Yes
6.6.2	Minutes of meetings with main trade unions or workers representatives shall be documented.	Minor
<b>Findings</b>		<b>Comply?</b>
Instead of forming labor union, workers in each estate will elect their own leader to be worker representative. A worker representative will be responsible to raise issues of concerns to the estate manager. Meanwhile, all workers still have the right to raise their concerns anytime. The meeting between employee and representatives of worker at Lamthap mill, was incorporated into occupational health and safety meeting. The last meeting was done on 31 March 2017. Management representatives, representatives of worker, women representative and security officer have joint that meeting and discussed relevant topics. The main matters that were discussed included RSPO, health and safety concerns and welfare		Yes
<b>Criterion 6.7:</b>		
Children are not employed or exploited.		
6.7.1	There shall be documentary evidence that minimum age requirements are met.	Major
<b>Findings</b>		<b>Comply?</b>
According to the child labor policy posted at the company boards, no worker under 18 years of age is allowed even though the labour laws of Thailand allowed employers to hire employees/workers of above 15 years of age. Inspection of records at the Lamthap mill and Khlongtom division confirmed that no workers under 18 years of age were observed either at any work location or in the contract between company and worker		Yes
<b>Criterion 6.8:</b>		
Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.		
6.8.1	A publicly available equal opportunities policy including identification of relevant/affected groups in the local environment shall be documented.	Major
<b>Findings</b>		<b>Comply?</b>
According to the job advert posted on the company's board, age and gender which are one of topic related to discrimination are indicated on the job advert for position of Estate Division Supervisor, Production operator and Maintenance staff. Therefore, major non-conformity has been raised against this indicator		Major NC
6.8.2	Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated against	Major

<b>Principle 6: Responsible Consideration of Employees and of Individuals and Communities affected by Growers and Millers</b>		
<b>Findings</b>		<b>Comply?</b>
Interview of staff and workers indicated that they are treated equally under the equal opportunities policy. Moreover, results from interview with staff and migrant workers who moved from the north-eastern part of Thailand confirmed that there was no discrimination in relation to ethnicity, religion or gender.		Yes
6.8.3	It shall be demonstrated that recruitment selection, hiring and promotion are based on skills, capabilities, qualities, and medical fitness necessary for the jobs available.	Minor
<b>Findings</b>		<b>Comply?</b>
Even though the job advertisement posted in the website was showed some content of discrimination, those workers who work at the plantation, recruitment selection was based on capabilities and skills of the workers. Application forms filled by the candidate with relevant training records are available during the assessment. These records were reviewed the recruitment system whether it was done based on skills, capabilities, qualities, and medical fitness necessary for the job		Yes
<b>Criterion 6.9:</b>		
There is no harassment or abuse in the work place, and reproductive rights are protected.		
6.9.1	A policy to prevent sexual and all other forms of harassment and violence shall be implemented and communicated to all levels of the workforce.	Major
<b>Findings</b>		<b>Comply?</b>
Univanich policy on prevention sexual harassment and other forms of violence against women is documented and displayed on the notice boards of the Lamthap mill and Cha uat division. This policy was signed by Managing Director on 8 April 2012 and remains unchanged.  However, there is no gender committee to address areas of concern to women especially particular issues that may be faced by women, such as violence and sexual harassment in the workplace. Based on this consequence, major non-conformity has been raised		Major NC
6.9.2	A policy to protect the reproductive rights of all, especially of women, shall be implemented and communicated to all levels of the workforce.	Major
<b>Findings</b>		<b>Comply?</b>
Even though there is no women representatives, any concerns associated with the health, safety, welfare and even any violation on sexual harassment can be discussed among workers at all the times. During the HSE committee meeting, environmental and safety officer who is woman will be responsible to raise any concerns on sexual harassment and any violence against female workers to the management representatives (if any). The non-occurrence of sexual harassment and any violence was confirmed thought the minute of meeting and during the interview of female staff and workers		Yes
6.9.3	A specific grievance mechanism which respects anonymity and protects complainants where requested shall be established, implemented, and communicated to all levels of the workforce.	Minor
<b>Findings</b>		<b>Comply?</b>
In case of any violation to women, the grievance and complaint procedures are established. This procedure is used to deal with the violation cases. Procedures were used to give training to women employees in order to ensure that they understand the grievance mechanism. Based on the result of interview women employees during the assessment, it was confirmed that that they understood the policy and knew the grievance mechanism for complaints such as go to any members of gender committee or go to estate or engineering manager who is appointed by Managing Director as the management reprehensive to resolve any concerns of workers. There are only positive perspectives disclosed by women workers who were interviewed during the surveillance audit		Yes
<b>Criterion 6.10: Growers and millers deal fairly and transparently with smallholders and other local businesses.</b>		
6.10.1	Current and past prices paid for Fresh Fruit Bunches (FFB) shall be publicly available.	Minor
<b>Findings</b>		<b>Comply?</b>
Even though there are no purchase contracts to bind with independent growers, they will be informed by purchaser of TOPI mill of daily FFB price through phone call. The daily price of FFB will be posted at the mill gate for 5 possible grades of FFB with OER at 17%, 18%, 19%, 20% and 21%, respectively. The FFB price posted at TOPI mill gate on date of the surveillance audit for OER at		Yes

<b>Principle 6: Responsible Consideration of Employees and of Individuals and Communities affected by Growers and Millers</b>		
17%, 18%, 19%, 20% and 21%, were 3.2, 3.4, 3.6, 3.8 and 4.0 Bath/kg of FFB, respectively. Records of mill gate price in the last 3 months were also observed and found that they are available to the public when needed.		
6.10.2	Evidence shall be available that growers/millers have explained FFB pricing, and pricing mechanisms for FFB and inputs/services shall be documented (where these are under the control of the mill or plantation).	Major
<b>Findings</b>		<b>Comply?</b>
Even though the independent smallholders are informed by phone call with regard to the FFB gate price, FFB gate price in single day was documented and maintained at the mill. Computerized system (Truck program) used by the weighting department of the mill can be used to trace back of the FFB gate prices as well as how many Bath has been paid for each independent smallholder.		Yes
6.10.3	Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent.	Minor
<b>Findings</b>		<b>Comply?</b>
As it is right of the smallholder to sell their FFB to any mills, contractual agreement is not applicable in Thailand. It depends on the most convenience and preference of the stallholders		Yes
6.10.4	Agreed payments shall be made in a timely manner	Minor
<b>Findings</b>		<b>Comply?</b>
Based on above mentioned finding, agreed payment is not applicable		Yes
<b>Criterion 6.11:</b>		
Growers and millers contribute to local sustainable development where appropriate.		
6.11.1	Contributions to local development that are based on the results of consultation with local communities shall be demonstrated.	Minor
<b>Findings</b>		<b>Comply?</b>
Univanich has operated the corporate social responsibility since the establishment of the company even though they have not been certified for CSR. CSR program is still running every year to maintain relationship with local communities. Result of interview with community leader, who lives in this community more since several decades, during the public consultation confirmed that Univanich has done last year many things for the local communities and governmental sectors such as local road construction/maintenance, allow local communities to use their roads for transporting and reduce the distance, young oil palm donation, recovery mangrove area, donation their land for villager, donations to local school, and other activities requested by local communities and governmental sectors, for example. Here below are date of donation: <ul style="list-style-type: none"> <li>- Donation to Lamthap District Office of 10,000 Baht on 23.5.2017</li> <li>- Donation to children on occasion of child day 2,000 Baht on 11.1.2017</li> <li>- Donation for supporting the sport project of the community of 2,000 Baht on 22.3.2017</li> <li>- Donation to the Krabi Provincial Red Cross of 10,000 Baht on 12.12.2016</li> </ul>		Yes
6.11.2	Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve smallholder productivity.	Minor
<b>Findings</b>		<b>Comply?</b>
Currently, Univanich does not have scheme smallholders being certified in this assessment. Therefore, indicator 6.11.2 regard to efforts and/or resource allocation to improve smallholder productivity is not applicable		N/A
<b>Criterion 6.12:</b>		
No forms of forced or trafficked labour are used.		
6.12.1	There shall be evidence that no forms of forced or trafficked labour are used.	Major
<b>Findings</b>		<b>Comply?</b>
Forced or trafficked labour is strictly prohibited by the company. Company also supports the workers to form as union and do actions to investigate whether workers may become as forced or trafficked labour. Even though some workers moved from provinces in Eastern region of Thailand as well as come from Lao PDR, result from interview with these workers confirmed that they made their own decision to work at estate without forcing by staffs of the company.		Yes
6.12.2	Where applicable, it shall be demonstrated that no contract substitution has occurred.	Minor

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

### Principle 7: Responsible Development of New Plantings

Principle 7 is not applicable to this assessment because there is no new planting after November 2005. Only replanting has been observed at Khlongtom division of Lamthap estate

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

<b>Principle 8: Commitment to Continual Improvement in Key Areas of Activity</b>		
<b>Criterion 8.1:</b>		
Growers and millers regularly monitor and review their activities and develop and implement action plans that allow demonstrable continual improvement in key operations.		
8.1.1	The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria. As a minimum, these shall include, but are not necessarily be limited to: <ul style="list-style-type: none"> <li>• Reduction in use of pesticides(Criterion 4.6);</li> <li>• Environmental impacts (Criteria 4.3, 5.1 and 5.2);</li> <li>• Waste reduction (Criterion 5.3);</li> <li>• Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8);</li> <li>• Social impacts (Criterion 6.1);</li> <li>• Optimising the yield of the supply base.</li> </ul>	Major
<b>Findings</b>		<b>Comply?</b>
Univanich can clearly demonstrate improvement in social, environment and health management system. Action plan for continuous improvement of relevant activities were established for year 2017. The records of relevant activities in last 3 years were incorporated into the plan for the purpose of monitoring the continuous improvement. Here below are the example of plans that were already established by the Univanich for Lamthap mill and estate. <ul style="list-style-type: none"> <li>- Expected volume of agrochemical usage especially glyphosate was established for year 2017 at 900 litres. These volumes of agrochemical are less than the actual volume used when compare to the previous year.</li> <li>- The environmental improvement is based on issues identified during the implementation of EIA and risk assessment. An example is the re-installation of multi-cyclone to reduce emission from flue gas and boiler in every year. All environmental parameters need to be in compliance with the national standards as the environmental quality reports need to be submitted to Department of Industrial Work. However, as long as the emission resulted from monitoring are in compliance with the laws, some improvement to reduce the level of particular air quality; for example, will not be considered by the company</li> <li>- Lamthap mill, Lamthap estate and divisions have fully utilized wastes from processing either</li> </ul>		Yes

<b>Principle 8: Commitment to Continual Improvement in Key Areas of Activity</b>	
<p>EFB, POME, decanter cake or frond stacking to recycle in the field. Mill and estate monitored the amount of waste recycling in the last 3 years and found that recycling of POME in the estate was increased every year. Waste collection site or worker called “waste home” was constructed to segregate the waste between “recycling waste” and “waste that need to be disposed”.</p> <ul style="list-style-type: none"> <li>- Social improvement will not only focus on the worker but also on the stakeholders. The reduction of accidents occurred by either mill or estate as well as improvement of amenities and worker house are monitored in the last 3 years by the estate and mill. Communication with the stakeholder periodically is a good example to ensure that any concerns on social aspect will be resolved by management representative of mill and estate immediately</li> <li>- Installation of the RO and UV machine to produce drinking water for all workers and suppliers (independent smallholder who supplies FFB to the mill)</li> <li>- Optimising the yield of the supply base was done through fertilizer application plan. The fertilizer application will be done in accordance with the result from foliar testing. Moreover, EFB and POME which are wastes from mill operation will be used in the estates for improving soil fertility</li> </ul>	

### 3.3 Supply Chain Requirements

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

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

Since module E (CPO mill : Mass Balance) have been chosen by Univanich Palm Oil Public Company Limited, all requirements of module D (CPO mill : Identity Preserved) are not applicable

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

<b>Module E- CPO Mills: Mass Balance</b>			
<b>D1: Definition:</b> Certification for CPO mills is necessary to verify the volumes of certified and uncertified FFB entering the mill and volume sales of RSPO certified producers. A mill may be taking delivery of FFB from uncertified growers, in addition to those from its own certified land base. In that scenario, the mill can claim only the volume of oil palm products produced from processing of the certified FFB as MB.			
<b>E2: Explanation</b>			
<b>Requirements</b>		<b>Findings</b>	<b>Comply ?</b>
<b>E.2.1</b>	The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill must be recorded by the CB in the public summary of the P&C certification report. This figure represents the total volume of certified palm oil product (CPO and PK) that the certified mill is allowed to deliver in a year. The actual tonnage produced should then be recorded in each subsequent annual surveillance report.	Total projected FFB production from all supply bases is 3,048 tons/year. Based on this projected amount of FFB, the certified CSPO and CSPK which are deducted from the conversion rate of 20.5% and 5.25% are 624.84 tons and 160.02 tons, respectively	Yes
<b>E.2.2</b>	The mill must also meet all registration and reporting requirements for the appropriate supply chain through the RSPO supply chain managing organization (RSPO IT platform or book and claim).	RSPO PalmTrace registration and reporting are responsible by Khun Prissana (Sale Manager). Results from verification on stock management log in eTrace showed that the responsible person could implement correctly. Shipping announcement was used to trade certified CPO	Yes
<b>E3: Documented Procedures</b>			
<b>Requirements</b>		<b>Findings</b>	<b>Comply ?</b>
<b>E.3.1</b>	The site shall have written procedures and/or work instructions to ensure the implementation of all the elements specified in these requirements. This shall include at minimum the following: a) Complete and up to date procedures covering the implementation of all the elements in these requirements; b) The role of the person having	Univanich has established procedure in code PM-SCC-01 Uvan. This procedure is used as the manual for all implementation related to RSPO SCC.  Khun Thanapol is responsible and authority over the implementation for these requirements. Once new commercial manager who will join the company on 1st July onward, however, this responsibility will be taken over by new commercial manager.	Yes



	overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the site's procedures for the implementation of this standard.		
<b>E.3.2</b>	The site shall have documented procedures for receiving and processing certified and non-certified FFBs.	Procedure for receiving the FFB (PM-OD-01-Uvan revision 01 dated 27.5.2016) has been established. This procedure has been used by relevant staffs who work at weighing station properly	Yes
<b>E4: Purchasing and Goods In</b>			
	<b>Requirements</b>	<b>Findings</b>	<b>Comply ?</b>
<b>E.4.1</b>	The site shall verify and document the volumes of certified and non-certified FFBs received.	Certified RSPO FFBs supplied by Lamthap estate and Cha uat division in 2016 are 1,539.23 tons and 494.10 tons. While total non-certified FFB supplied by independent smallholder in 2016 is 142,160.10 tons	Yes
<b>E.4.2</b>	The site shall inform the CB immediately if there is a projected overproduction of certified tonnage.	Procedure for informing CB on the projected overproduction of certified FFB is established. GM will be final responsible person to inform CB with the estimated FFB overproduction	Yes
<b>E5: Record Keeping</b>			
	<b>Requirements</b>	<b>Findings</b>	<b>Comply ?</b>
<b>E.5.1</b>	<p>a. The site shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a three-monthly basis.</p> <p>b. All volumes of palm oil and palm kernel oil that are delivered are deducted from the material accounting system according to conversion ratios stated by RSPO.</p> <p>c. The site can only deliver Mass Balance sales from a positive stock. Positive stock can include product ordered for delivery within three months. However, a site is allowed to sell short.(ie product can be sold before it is in stock.)</p> <p>For further details refer to Module C.</p>	<p>Explicit system to monitor and deliver Mass Balance sales of CSPO and CSPK from a positive stock or from the accumulation of FFB supplied by supply bases was created in order to prevent the Mass Balance sales exceed than the certified volume. Based on this finding, major non-conformity was raised</p> <p>Before replanting at Khlongtom division, total FFB obtained from all supply bases in 2015 more than 5,000 tons. These amounts of FFB were deducted according to conversion ratios of CPO and PK at 20.5% and 5.25%, respectively. In 2015, total CSPO sold with RSPO claimed to their client was 1,000 tons.</p>	Yes
<b>E.5.2</b>	In cases where a mill outsources activities to an independent (not owned by the same organization) palm kernel crush, the crush still falls under the responsibility of the mill and does not need to be separately certified. The mill has to ensure that the crush is covered through a signed and enforceable agreement.	There is no mill outsource activity of palm kernel crushing mill	N/A

### **3.4 Non-Conformances Raised in this Assessment**

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

### **3.5 Status of Non-Conformities Previously Identified**

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

### **3.6 Noteworthy Positive Comments**

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

The SAP system is useful tool for dealing with the certified FFB and delivering of certified CPO. Even though there are 3 mills owned by Univanich, but every time for confirming trade as RSPO certified, the director of sale and marketing who works at Siam mill will be responsible. Therefore, sale documents showing whether RSPO certified CPO are reviewed and confirmed by director of sale and marketing. Confirm trade in RSPO PalmTrace will be monitored by the director of sale and marketing rather than allowing all mill to do separately.

### **3.7 Issues Raised by Stakeholders**

Meeting and interview with relevant stakeholders who live surrounding at Lamthap mill, Lamthap estate, Khlongtom division and Cha uat division. There are more than 30 stakeholders participated the public consultation held during the day 2 of the audit (18 July 2017). A list of stakeholders contacted and their feedback (if any) is included as Appendix 3.

Overall results from interview with stakeholder without interference of the management team of certification unit confirmed that there is no negative impact caused by Lamthap and its supply bases on the stakeholder. No complaint raised by stakeholder was observed during the public consultation meeting.

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

##### 4.1 Assessment Conclusion and Recommendation

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

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

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

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

## APPENDIX 1: TIMEBOUND PLAN

Currently, all certification units owned by Univanich Palm Oil Public Company Limited as following are included in the certification assessment.

- TOPI mill
- Siam mill
- Lamthap mill
- Chean Vanich estate
- Siam estate including Nanua division and Wannee division
- TOPI estate
- Lamthap estate including Khlongtom division and Cha uat division

For TOPI mill and its supply bases (Chean Vanich estate, TOPI estate and Siam estate) have now been certified RSPO P&C. While Siam mill has also been certified RSPO CC. Therefore, there is no time bound plan required at the time of assessment.

## APPENDIX 2: ASSESSMENT PROGRAM

AUDIT				
Person	Date	Time	Place	Activity
<b>Day 1 (17.7.2017)</b>				
BV audit team	17.7.2017	09.00-09.30	Lamthap mill	Opening meeting Find tune the understanding on the audit plan and briefings the RSPO audit process
BV audit team		09.30-11.00	Lamthap mill	Site tour
PN		11.00-12.00	Lamthap mill	<ul style="list-style-type: none"> <li>● Follow up previous NC based on the document</li> <li>● P 1.1, 1.2 (Commitment to transparency)</li> <li>● P 2.2 and 2.3 (Right to use the land, customary right)</li> <li>● 5.6 (GHG)</li> </ul>
CS		11.00-12.00	Lamthap mill	<ul style="list-style-type: none"> <li>● 5.4 (efficiency of fossil fuel use), 5.6 (plan to reduce pollution, emission)</li> </ul>
PK		11.00-12.00	Lamthap mill	<ul style="list-style-type: none"> <li>● P 4.1 (operating procedure for mill), 4.4 (water use and mill effluent) 4.7 (occupational health and safety), 4.8 (worker contractors)</li> </ul>
BV audit team		12.00-13.00	Lamthap mill	Lunch time Auditor time for discussion
CS		13.00-17.00	Lamthap mill	<ul style="list-style-type: none"> <li>● P.5.1 (Environmental impact assessment), 5.2 (HCV assessment), 5.3 (waste management),</li> <li>● P.3 (Commitment to long-term economic and financial viability)</li> <li>● P.8 (commitment for continuous improvement)</li> </ul>
PK + PN		13.00-17.00	Lamthap mill	<ul style="list-style-type: none"> <li>● P.6.1 and 6.2 (SIA), P.6.3 (complaints and grievances), 6.5 (Pay and conditions for employee), 6.6 (Freedom of association for trade union), 6.7 (child labor), 6.8 (discrimination), 6.9 (sexual harassment), 6.10 (FFB mill gate price), 6.11 (contribution to local development), P6.12 (forced or trafficked labor), P6.13 (respect human rights)</li> </ul> <p>The details of principle 6 can be collected and checked on the last day of the audit if documents related to HR is kept by the same administration office</p>
BV Audit team		17.00-17.30	Lamthap mill	Auditor meeting
		17.30		End of day 1
<b>Day 2 (18.7.2017)</b>				

CS + PK + PN	18.7.2017	09.00-12.00	Khlongtom Div	Public consultation meeting at TOPI Mill and its supply base● EIA, HCV, Burning Issues, Waste Mgt, Agrochem.● SIA, Communication, Complaint, Customary● Wages, Trade Union, Anti Child Labour/ Discrimination/Sexual Harassment, Payment to Outgrower, CSR
BV audit team		12.00-13.00		Lunch time Auditor time for discussion
CS + PN		13.00-17.00	Khlongtom Div	<ul style="list-style-type: none"> <li>● P 1.1, 1.2 (Commitment to transparency)</li> <li>● P 2.1, 2.2, 2.3 (Compliance with applicable laws)</li> <li>● P 3 (Commitment to long-term economic viability)</li> <li>● P 4.1 (documented procedurs), 4.2 (practices maitain soil fertility), 4.3 (control erosion and degradation of soil), 4.4 (maintain the quality and availability of surface and ground water), 4.5 (IPM), 4.7 (OHS), 4.8 (training)</li> <li>● P 4.1 (documented procedurs), 4.6 (Pesticides),</li> <li>● P 5.1 (Environmental impact assessment), 5.2 (HCV assessment), 5.6 (plan to reduce pollution, emission, GHG)</li> </ul>
PN		13.00-17.00	Khlongtom Div	<ul style="list-style-type: none"> <li>● Con't from the morning session</li> <li>● 5.3 (waste management), 5.4 (efficiency of fossil fuel use), 5.5 (use of fire for preparing land),</li> <li>● P7 (NPP)</li> <li>● P8 (continual improvement)</li> </ul>
PK		13.00-17.00	Khlongtom Div	<ul style="list-style-type: none"> <li>● P 6.1 (SIA), P 6.2 (procedure on the consultation and communication with local communities), 6.3 (Dispute resolution), 6.4 (Compensation for loss of legal or customary right), 6.5 (Pay and conditions for employee), 6.6 (Freedom of association for trade union), 6.7 (child labor), 6.8 (discrimination), 6.9 (sexual harassment), 6.10 10 (FFB mill gate price), 6.11 (contribution to local development), P6.12 (forced or trafficked labor), P6.13 (respect human rights)</li> </ul> <p>The details of principle 6 can be collected and checked on the last day of the audit if documents related to HR is kept by the same administration office</p>
BV audit team		17.00-17.30	Khlongtom Div	Auditor meeting
		17.30		End of day 2
<b>Day 3 (19.7.2017)</b>				
CS	19.7.2017	09.00-12.00	Lamthap estate	<ul style="list-style-type: none"> <li>● P 1.1, 1.2 (Commitment to transparency)</li> <li>● P 2.1, 2.2, 2.3 (Compliance with applicable laws)</li> <li>● P 3 (Commitment to long-term economic</li> </ul>

				viability) <ul style="list-style-type: none"> <li>● P7 (NPP)</li> <li>● P8 (continual improvement)</li> </ul>
PK		13.00-17.00	Lamthap estate	<ul style="list-style-type: none"> <li>● P 4.1 (documented procedurs), 4.6 (Pesticides),</li> <li>● P 5.1 (Environmental impact assessment), 5.2 (HCV assessment), 5.3 (waste management), 5.4 (efficiency of fossil fuel use), 5.5 (use of fire for preparing land), 5.6 (plan to reduce pollution, emission, GHG)</li> </ul>
PN		09.00-12.00	Lamthap estate	<ul style="list-style-type: none"> <li>● P 4.1 (documented procedurs), 4.2 (practices maitain soil fertility), 4.3 (control erosion and degradation of soil), 4.4 (maintain the quality and availability of surface and ground water), 4.5 (IPM), 4.7 (OHS), 4.8 (training)</li> </ul>
BV audit team		12.00-13.00		Lunch time Auditor time for discussion
PK + CS + PN		13.00-15.00	Lamthap estate	<ul style="list-style-type: none"> <li>● P 6.1 (SIA), P 6.2 (procedure on the consultation and communication with local communities), 6.3 (Dispute resolution), 6.4 (Compensation for loss of legal or customary right), 6.5 (Pay and conditions for employee), 6.6 (Freedom of association for trade union), 6.7 (child labor), 6.8 (discrimination), 6.9 (sexual harassment), 6.10 10 (FFB mill gate price), 6.11 (contribution to local development), P6.12 (forced or trafficked labor), P6.13 (respect human rights)</li> </ul>
BV Audit team		15.00-15.30	Lamthap estate	Auditor meeting
BV Audit team		15.30-17.00	Lamthap estate	Closing meeting
		17.00		End of audit

### APPENDIX 3: LIST OF STAKEHOLDERS CONTACTED

Contacted Smallholder	Organization	Feedback/Comments Received	Verification or Follow-Up Required by Clients / Bureau Veritas
Mr. Theerapong Noochaikaew	M.8 Village Chief, Thungsaithong, Lamthap	No	N/A
Mr. Suthep Maneemai	Smallholder, Thungsalthong	No	N/A
Mr. Suphit Panchoo	M.1 Village Chief, Ban Sai Nai, Thungsaithong, Lamthap	No	N/A
Mr. Kerm Khongsiri	SAO Member, Thungsaithong, lamthap	No	N/A
Mr. Wirat Long Hon	Mill's Contractor	No	N/A
Mr. Nukul Srichoo	Villager	No	N/A
Mr. Thanit Rodyoo	Villager	No	N/A
Miss Pennapha Nakkri	Villager	No	N/A
Mrs. Salee Tawisuwan	Smallholder	No	N/A
Mr. Prathop Chumpol	Smallholder	No	N/A
Mr. Pratheep Kaoluan	Villager	No	N/A
Mr. Daecho Pechruenthong	Villager	No	N/A
Mr. Kittisak Saisara	Employee	No	N/A
Mr. Nid Boonnakkaew	Employee	No	N/A
Mr. Saroj Pueksawas	Employee	No	N/A
Mr. Samart Siroj	Employee	No	N/A
Mr. Wimonthorn Kaoluan	Villager	No	N/A
Mr. Sakchai Srichai	Villager	No	N/A
<p><b>Summary:</b> Public consultation meeting with stakeholder has been conducted on the day 2 of the assessment schedule. In-depth interview was used to hear either negative or positive perspectives from stakeholder on POM and estate operation. Only positive comments were given by stakeholder during the discussion</p>			



## APPENDIX 4: NON CONFORMITIES RAISED IN THIS AUDIT

<b>NCR No.</b>	M01	<b>Date Issued</b>	6 July 2017
<b>Category</b>	Major	<b>Due Date</b>	5 September 2017
<b>Requirements/Indicators</b>	RSPO P&C generic version (2013) : 2.1.1		
<b>Statements of NC</b>	The company didn't demonstrate the evidence of the implementation to address the compliance of the laws and regulations		
<b>Objective Evidence(s)</b>	<p>According to Labor's Company Regulation of which approved by Krabi Provincial Labor Office dated May 23, 2007, there are evidences to non-compliance with the following labor legal requirements as the followings;</p> <ol style="list-style-type: none"> <li>1. Medical certificate is required for one or two days sick leave, if not presented – unpaid. The Labor is not allowed.</li> <li>2. Piece rate workers of Lamthap Estate do not get annual leave and cultural holidays as required by the Labor Law.</li> <li>3. Piece rate workers of Lamthap Estate get the right of six days sick leave with paid of which does not meet the right of thirty (30) days with paid as required by the Labor Law.</li> <li>4. Piece rate worker of Lamthap estate who work on holiday are not paid two times daily wage</li> </ol> <p>According to the notification of the Department of Internal Trade on FFB and loose fruit gate price dated 20 June 2017, moreover, the company is required to range the FFB gate prices according to percentage of OER starting from 18% to 22%. However, only FFB gate prices from percentage of OER range between 18%-20% is posted.</p>		
<b>Root Cause Analysis</b>	<p>Here below are results from root cause analysis</p> <ol style="list-style-type: none"> <li>1) Requesting the medical certificate from worker for the 1st or 2nd day of sick is the measure to ensure that they are actually gets sick, and not lies to the company. In case of the headman know that any worker is getting sick, they will be paid without medical certificate and sick leave right is 30 days a year follow the Law.</li> <li>2) Agreement of Annual Leave and Cultural Holiday Substitution was not applied in Lamthap Estate while others already done. No specific instruction caused different implementation.</li> <li>3) Lamthap Estate's staffs misunderstood about the current sick leave procedure follow the Law, 30 days per year.</li> <li>4) Normally there is no one working on holiday but in the past, there were some workers come to work and got paid the same rate as normal working day.</li> <li>5) The understanding about notification of DIT was voluntary notification which caused 18-20% ranging.</li> </ol>		
<b>Corrective Action</b>	<p>Here below are corrective actions undertaken by the company</p> <ol style="list-style-type: none"> <li>1) Annual sick leave, annual leave and cultural holiday right have been included in the agreement between company and workers to substitute with monthly payment. (Please see the attached copy of agreement below)</li> <li>2) Daily wage workers will be paid double for working in public holiday days.</li> <li>3) FFB gate price has been changed to be complied with DIT notification.</li> </ol>		
<b>Preventive Action</b>	<ol style="list-style-type: none"> <li>1) Headman and estate clerk have been explained to understand the conditions of Agreement and implemented.</li> <li>2) Outside fruit purchasing staffs have been explained to show the FFB gate price according to DIT notification.</li> </ol>		
<b>Verification of Corrective Action(s)</b>	The company has immediately undertaken an actions to tackle the problem when engineering manager and supervisors have not fully understood on the sick leaves and payment for working in public holidays day. Agreement was already		

		created to ensure that all workers will be paid for sick leave without certificate and double payment for working in public holiday days. For FFB gate price, the sign explaining the FFB gate prices according to DIT notification has now been revised and reinstalled at the gate of POM	
<b>Status</b>	Closed	<b>Date of Closure</b>	5 September

<b>NCR No.</b>	m01	<b>Date Issued</b>	19 July 2017
<b>Category</b>	minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	RSPO P&C generic version (2013) : 5.1.3		
<b>Statements of NC</b>	The company didn't demonstrate sufficient knowledge to address the requirement of the standard		
<b>Objective Evidence(s)</b>	There are 4 identified impacts that can have an effect on environment; emission from the stack, odor, wastewater and hazard wastes. Mitigation measures have been developed to reduce the level of impacts on environment. However, there is no evidence showing that the mitigation plan is reviewed in the last two years to reflect the effectiveness of the mitigation measures		
<b>Root Cause Analysis</b>	The mitigation plans for all factories and estates have been developed since last 5 years. Managements did misunderstand that there was not necessary to revise the EIA Report, while the regulation define every 2 years reviewed.		
<b>Corrective Action</b>	Not only mitigation plans for those identified environmental impacts but also EIA was set to review and revise in every two years. Review process will be finished within the second week of October 2017.		
<b>Preventive Action</b>	Requirement of RSPO P&C indicator 5.1.3 has been informed to all concern managements to acknowledge them that the mitigation 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.		
<b>Verification of Corrective Action(s)</b>	The corrective actions and preventive actions were determined by the company. However, it was not undertaken yet because it is required time for the assessment. Therefore, this non-conformity remains open. Effectiveness of the closure of the non-conformity will be verified in the next surveillance assessment		
<b>Status</b>	Open	<b>Date of Closure</b>	Effectiveness of the closure of the non-conformity will be verified in the next surveillance assessment

<b>NCR No.</b>	m02	<b>Date Issued</b>	6 July 2017
<b>Category</b>	minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	RSPO P&C generic version (2013) : 6.1.4		
<b>Statements of NC</b>	The company didn't demonstrate the evidence of the implementation to address the compliance of the standard		
<b>Objective Evidence(s)</b>	There is no evidence showing that the effectiveness of mitigation measures implemented to reduce the level of the impacts on social was reviewed under the participation with the affected parties in every two years		
<b>Root Cause Analysis</b>	Similar the EIA report, the mitigation plans for factories and estates have been developed since last 5 years. There was misunderstanding of managements about the timeframe of review the mitigation plan which has to revise once every two years.		
<b>Corrective Action</b>	In the same time of EIA, SIA review action plan was set to revise the impact and mitigation plans for all factories and estates. Review process will also be finished within the second week of October 2017.		
<b>Preventive Action</b>	To inform all concern managements about requirements of 6.1.4, similar actions have been done to prevent reoccurrence of NC.		
<b>Verification of Corrective Action(s)</b>	The corrective actions and preventive actions were determined by the company. However, it was not undertaken yet because it is required time for the assessment. Therefore, this non-conformity remains open. Effectiveness of the closure of the non-conformity will be verified in the next surveillance assessment		
<b>Status</b>	Open	<b>Date of Closure</b>	Effectiveness of the closure of the non-conformity will be verified in the next surveillance assessment

<b>NCR No.</b>	M02	<b>Date Issued</b>	6 July 2017
<b>Category</b>	Major	<b>Due Date</b>	5 September 2017
<b>Requirements/Indicators</b>	RSPO P&C generic version (2013) : 6.8.1		
<b>Statements of NC</b>	The company didn't demonstrate the evidence of the implementation to address the compliance of the standard		
<b>Objective Evidence(s)</b>	According to the job advert posted on the company's board, age and gender which are one of topic related to discrimination are indicated on the job advert for position of Estate Division Supervisor, Production operator and Maintenance staff		
<b>Root Cause Analysis</b>	Job advertisement posted to recruit staffs and workers of new factory in Phattalung was copied from the previous advertisement including age and gender for qualification.		
<b>Corrective Action</b>	New job advertisement approved by Senior Commercial Manager, acting on behalf of Personnel Manager was issued and adverted.		
<b>Preventive Action</b>	Here below are preventive actions determined by Univanich <ul style="list-style-type: none"> <li>- Personnel Department staffs have been informed to avoid including age, gender and nationality in job recruitment advertisement.</li> <li>- Staff recruitment notice should be approved by Personnel Manager.</li> </ul>		
<b>Verification of Corrective Action(s)</b>	Immediately action to correct the job advert on the company board has been conducted. To prevent reoccurrence of the same non-conformity, the verification process was established. Personnel manager is required to check the contents of		

	the job advertisement before posting on company board and websites (if any)		
<b>Status</b>	Closed	<b>Date of Closure</b>	5 September 2017
<b>NCR No.</b>	M03	<b>Date Issued</b>	6 July 2017
<b>Category</b>	Major	<b>Due Date</b>	5 September 2017
<b>Requirements/Indicators</b>	RSPO P&C generic version (2013) : 6.9.1		
<b>Statements of NC</b>	The company didn't demonstrate the evidence of the implementation to address the compliance of the standard		
<b>Objective Evidence(s)</b>	There is no gender committee to address areas of concern to women especially particular issues that may be faced by women, such as violence and sexual harassment in the workplace		
<b>Root Cause Analysis</b>	The equal opportunity policy is the new issue for Lamthap Estate operation, there was not a gender committee in place.		
<b>Corrective Action</b>	The Gender Committee of Lamthap Factory and Estate has been set up by nomination. Ms Khannika Choosri has been chosen as leader for gender committee		
<b>Preventive Action</b>	Gender Committees have been set up in all estates and factories.		
<b>Verification of Corrective Action(s)</b>	Gender committee has not been elected among the women workers. The notification letter to endorse the election has been signed by the engineering manager on 2 August 2017		
<b>Status</b>	Closed	<b>Date of Closure</b>	5 September 2017

<b>NCR No.</b>	M04	<b>Date Issued</b>	6 July 2017
<b>Category</b>	Major	<b>Due Date</b>	5 September 2017
<b>Requirements/Indicators</b>	RSPO P&C generic version (2013) : 4.4.2		
<b>Statements of NC</b>	The company didn't demonstrate the evidence of the implementation to address the compliance of the standard		
<b>Objective Evidence(s)</b>	<p>Here below are results from onsite inspection at plots F5 and F6 of Lamthap estate where are closed to canal:</p> <ul style="list-style-type: none"> <li>- Riparian and buffer zones are required to maintain and restore in existing plantation. However, pesticides are still applied</li> <li>- Sprinkler irrigation is a method of applying POME at plots F5-F8. However, water of the canal is getting polluted directly as the result of runoff of POME</li> </ul>		
<b>Root Cause Analysis</b>	<p>Here below are results from root cause analysis</p> <ul style="list-style-type: none"> <li>- Notice boards of riparian and buffer zone were installed, but spraying workers have not been communicated to avoid chemical application in those area.</li> <li>- There was not drain or barrier to protect runoff POME polluted to canal.</li> </ul>		
<b>Corrective Action</b>	<p>Here below are actions undertaken</p> <ul style="list-style-type: none"> <li>- OJT for spraying workers to acknowledge them that all types of chemical are not allowed applying in the riparian and buffer zones.</li> <li>- More notice boards of buffer zone were installed in the estate.</li> <li>- Trees and grasses were planted to be vegetative barriers. Drain was dig to collect POME from irrigation system.</li> </ul>		
<b>Preventive Action</b>	<p>Here below are preventive actions determined by the company</p> <ul style="list-style-type: none"> <li>- Chemical prohibition in riparian and buffer area has been included in annual training program of the estate.</li> <li>- Estate Headman has been assigned to patrol to check the leakage of</li> </ul>		

	irrigation system and collecting drains.		
<b>Verification of Corrective Action(s)</b>	Immediately actions to stop the use of pesticide and evidence of leakage of POME into the water bodies have been carried out. Workers have also been retrained using on the job training. The number of notice signs were increased and posted on the workplace to boost awareness on the environmental impacts		
<b>Status</b>	Closed	<b>Date of Closure</b>	5 September 2017

## APPENDIX 5: NON CONFORMITIES IDENTIFIED PREVIOUSLY

<b>NCR No.</b>	M01	<b>Date Issued</b>	31.1.2015
<b>Category</b>	Major	<b>Due Date</b>	31.3.2015
<b>Requirements/Indicators</b>	RSPO P&C Generic Version 2..1.1		
<b>Statements of NCR</b>	Not provided by previous CB (TUV NORD Integra bvba)		
<b>Objective Evidence(s)</b>	There is no mechanism ensuring compliance to daily wage workers regarding implementation of public holidays off and annual leave		
<b>Root Cause Analysis</b>	Not provided by previous CB (TUV NORD Integra bvba)		
<b>Corrective Action</b>	The company released the policy with respect to labour laws. This policy states that workers who work at the estate needed to take a rest on public holidays even though they want to work for gaining the money. If workers who are willing to work without requesting for annual leave, they will be paid by the company at the minimum wage of 300 Bath/day		
<b>Preventive Action</b>	Not provided by previous CB (TUV NORD Integra bvba)		
<b>Verification of Corrective Action(s)</b>	Once the policy is released, the company has started to implement accordingly. Daily workers are required to take a rest even though they want to work on the public holidays. Moreover, company plan to pay for their living expenses for food to offset if they will not be paid for daily wage		
<b>Status</b>	Closed by TUV NORD Integra bvba	<b>Date of Closure</b>	30 March 2015

<b>NCR No.</b>	m01	<b>Date Issued</b>	31.1.2015
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	RSPO P&C Generic Version 4.6.4		
<b>Statements of NCR</b>	Not provided by previous CB (TUV NORD Integra bvba)		
<b>Objective Evidence(s)</b>	There is no objective evidence showing that use of paraquat has been planned to be minimized or eliminated especially at the nursery area		
<b>Root Cause Analysis</b>	Not provided by previous CB (TUV NORD Integra bvba)		
<b>Corrective Action</b>	Company established the plan to eliminate the use of paraquat in the estate. However, paraquat is still required to be used in the young palm oil nursery to control broadleaf and narrow-leaf which can be grown very fast between the rows of young palm oil. Workers are required to collect all loose fruit to prevent it become young palm oil or weed in the future. Alternative chemical especially Alion herbicide (Indaziflam) will be used to control broadleaf weed instead of paraquat		
<b>Preventive Action</b>	Not provided by previous CB (TUV NORD Integra bvba)		
<b>Verification of Corrective Action(s)</b>	Plan to minimize and stop using of paraquat is established. All estates supplying FFB to Lamthap mill decided to stop using paraquat. Paraquat can be allowed to use in palm oil nursery area which is located in Lamthap estate only. However, the implementation for elimination of the use of paraquat will be verified in the next surveillance assessment		
<b>Status</b>	Closed by TUV NORD Integra bvba	<b>Date of Closure</b>	30 March 2015

<b>NCR No.</b>	m02	<b>Date Issued</b>	31.1.2015
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	RSPO P&C Generic Version 4.7.5		
<b>Statements of NCR</b>	Not provided by previous CB (TUV NORD Integra bvba)		
<b>Objective Evidence(s)</b>	<p>Here below are nonconformities raised against indicator 4.7.5</p> <ul style="list-style-type: none"> <li>- There are no instructions and signs used to communicate with the workers at the chemical storage</li> <li>- Accident procedure is not available at the workplace</li> <li>- There is no person who has been trained in first aid present at the workplace</li> <li>- First aid equipment and kits are not available at worksite</li> </ul>		
<b>Root Cause Analysis</b>	Not provided by previous CB (TUV NORD Integra bvba)		
<b>Corrective Action</b>	<p>Univanich has corrected above mentioned NCs against indicator 4.7.5 with following implementation:</p> <ul style="list-style-type: none"> <li>- Instructions and signs of dangerous for chemical were already posted at the chemical storage of Khlongtom division to communicate with the workers</li> <li>- Accidental procedure is now established and posted on the board of the estate. There are two cases of the accident. Minor injuries will be treated by clinic of the estate. For major or serious accidental cases, company will provide transportation service for further treatment at the nearest hospital</li> <li>- At least one person who works at Khlongtom division will be trained on 8 May 2015</li> <li>- Mobile first aid kits are now provided at the workplace. There are 3 set of first aid kits. The number of first aid kits are consistent with number of team for working in the estate.</li> </ul>		
<b>Preventive Action</b>	Not provided by previous CB (TUV NORD Integra bvba)		
<b>Verification of Corrective Action(s)</b>	<p>The company has corrected the non-conformity. Instruction and signs used to communicate with workers at the chemical storage was already posted. Accident procedure was already established and used to communicate with the worker. First aid kits are already provided. However, the first aid training is planned to be conduct by May. Therefore, this non-conformity is still outstanding. Action undertaken to close this non-conformity will be verified in the next surveillance assessment</p>		
<b>Status</b>	Closed by TUV NORD Integra bvba	<b>Date of Closure</b>	30 March 2015

<b>NCR No.</b>	M02	<b>Date Issued</b>	31.1.2015
<b>Category</b>	Major	<b>Due Date</b>	31.3.2015
<b>Requirements/Indicators</b>	RSPO P&C Generic Version 5.6.2		
<b>Statements of NCR</b>	Not provided by previous CB (TUV NORD Integra bvba)		
<b>Objective Evidence(s)</b>	There is no mechanism ensuring compliance to daily wage workers regarding implementation of public holidays off and annual leave		
<b>Root Cause Analysis</b>	Not provided by previous CB (TUV NORD Integra bvba)		
<b>Corrective Action</b>	<p>Plan to reduce the emission of GHG was established for both mill and estate activities. All activities that cause GHG emission were identified such as FFB transport from estates to mill, emission from stack of the mill, land conversion, fertilizer manufacture and transport, and N2O from fertilizer application. Even though biogas was constructed for many years to capture methane, Univanich started to reduce GHG from other activities. The plan to reduce GHG emission from these activities will be implemented during 2015-2016. Based on number of GHG emission from each activity confirmed that the company plan to reduce GHG emission every year. For instance, GHG from fuel consumption or transportation will be reduced to 150 tC2Oe by 2016.</p>		

<b>Preventive Action</b>	Not provided by previous CB (TUV NORD Integra bvba)		
<b>Verification of Corrective Action(s)</b>	All activities that are cause of GHG emission are identified. Major GHG emission from methane gases was controlled by biogas. For other GHG, Univanich started to reduce GHG emission such as reduce the fuel consumption for FFB transportation from estates to mill. The monitoring of the GHG reduction is now starting implementation.		
<b>Status</b>	Closed by TUV NORD Integra bvba	<b>Date of Closure</b>	30 March 2015

<b>NCR No.</b>	m03	<b>Date Issued</b>	31.1.2015
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	RSPO P&C Generic Version 5.6.3		
<b>Statements of NCR</b>	Not provided by previous CB (TUV NORD Integra bvba)		
<b>Objective Evidence(s)</b>	Currently, significant pollutants and emissions from mill and estates were not reported regularly to RSPO		
<b>Root Cause Analysis</b>	Not provided by previous CB (TUV NORD Integra bvba)		
<b>Corrective Action</b>	PalmGHG which is released by RSPO is now adopted to use for monitoring the significant pollutants and emissions. Results of the monitoring done recently will be reported to RSPO annually before the audit.		
<b>Preventive Action</b>	Not provided by previous CB (TUV NORD Integra bvba)		
<b>Verification of Corrective Action(s)</b>	The company adopted the PalmGHG to monitor the significant pollutants and emissions. However, the report of the monitoring to RSPO is not carried out. Therefore, this non-conformity is still outstanding and need to be follow up in the next surveillance assessment		
<b>Status</b>	Closed by TUV NORD Integra bvba	<b>Date of Closure</b>	30 March 2015



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

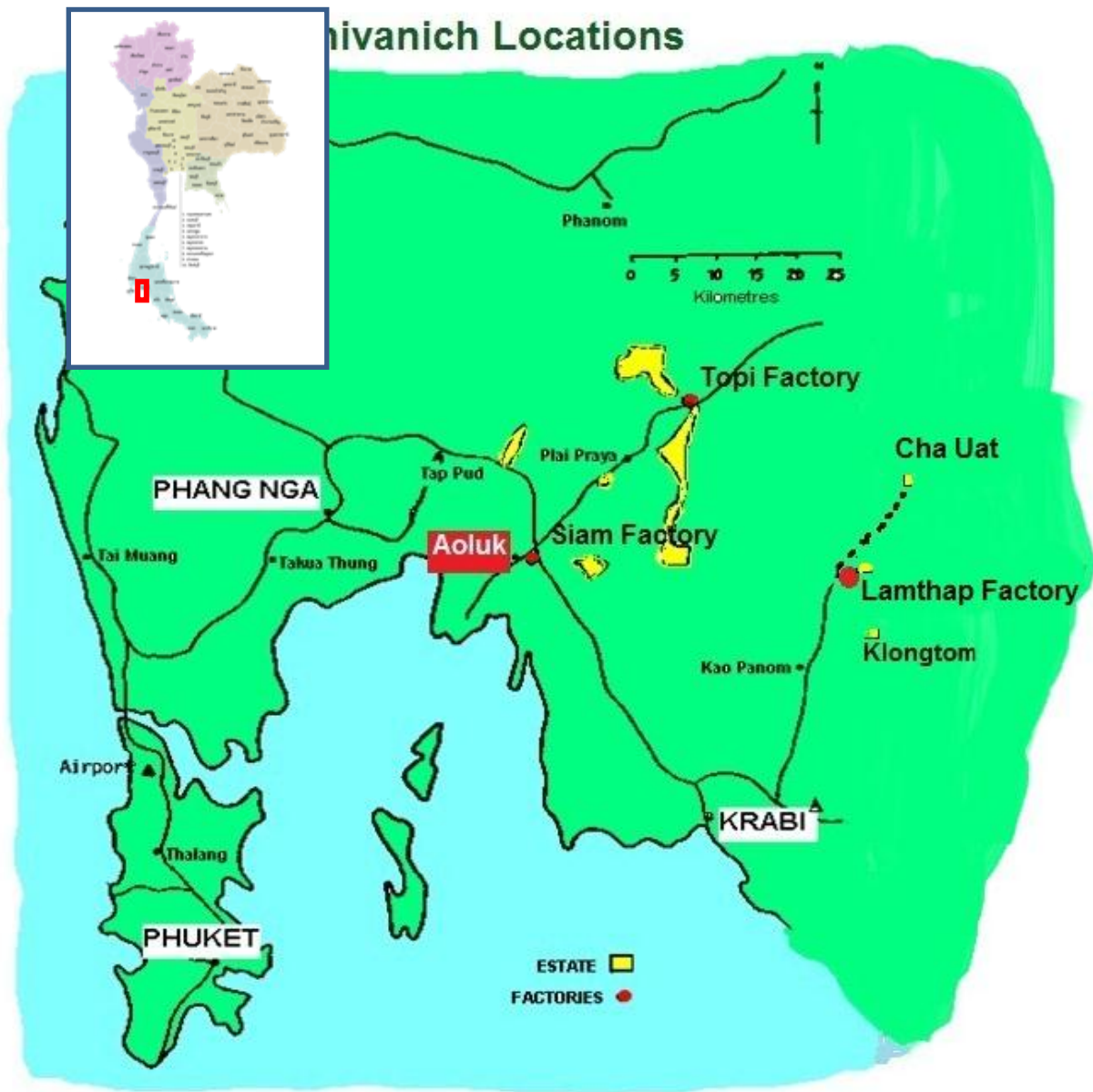


Figure 1 Geographical Map of production units owned by Univanich and Lamthap mill and its supply base

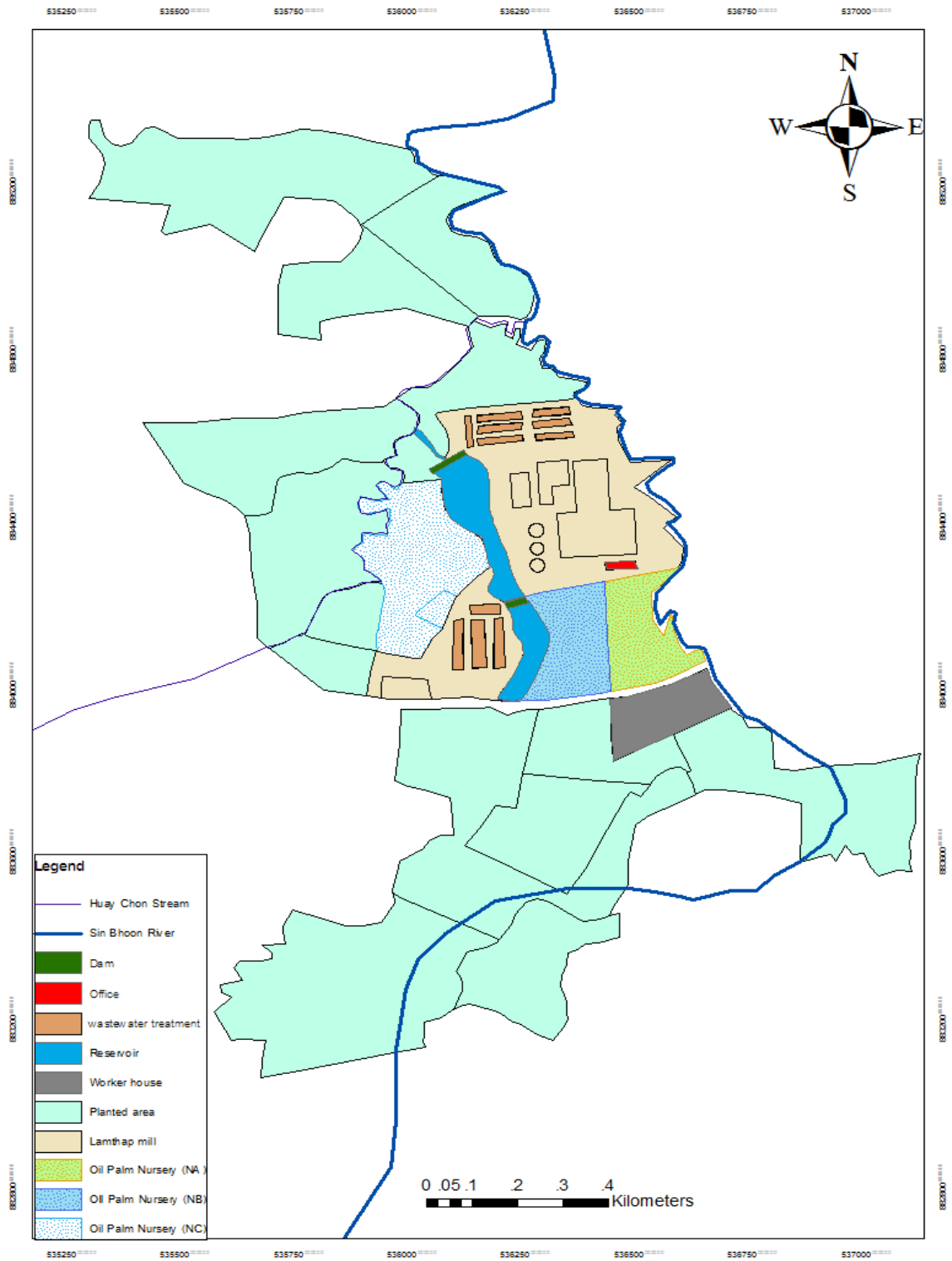


Figure 2 Map of Lamthap Estate Block

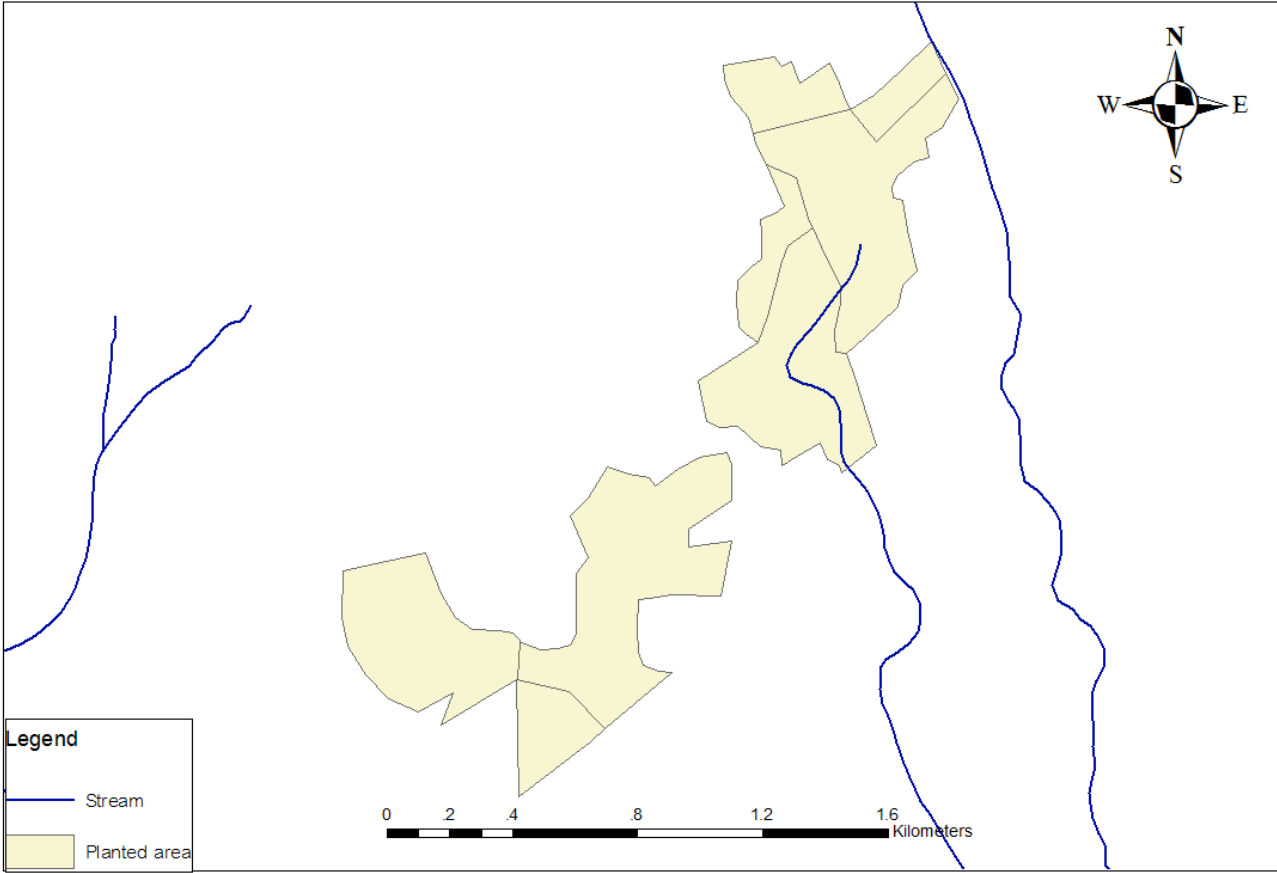


Figure 3 Map of Khlongtom Division

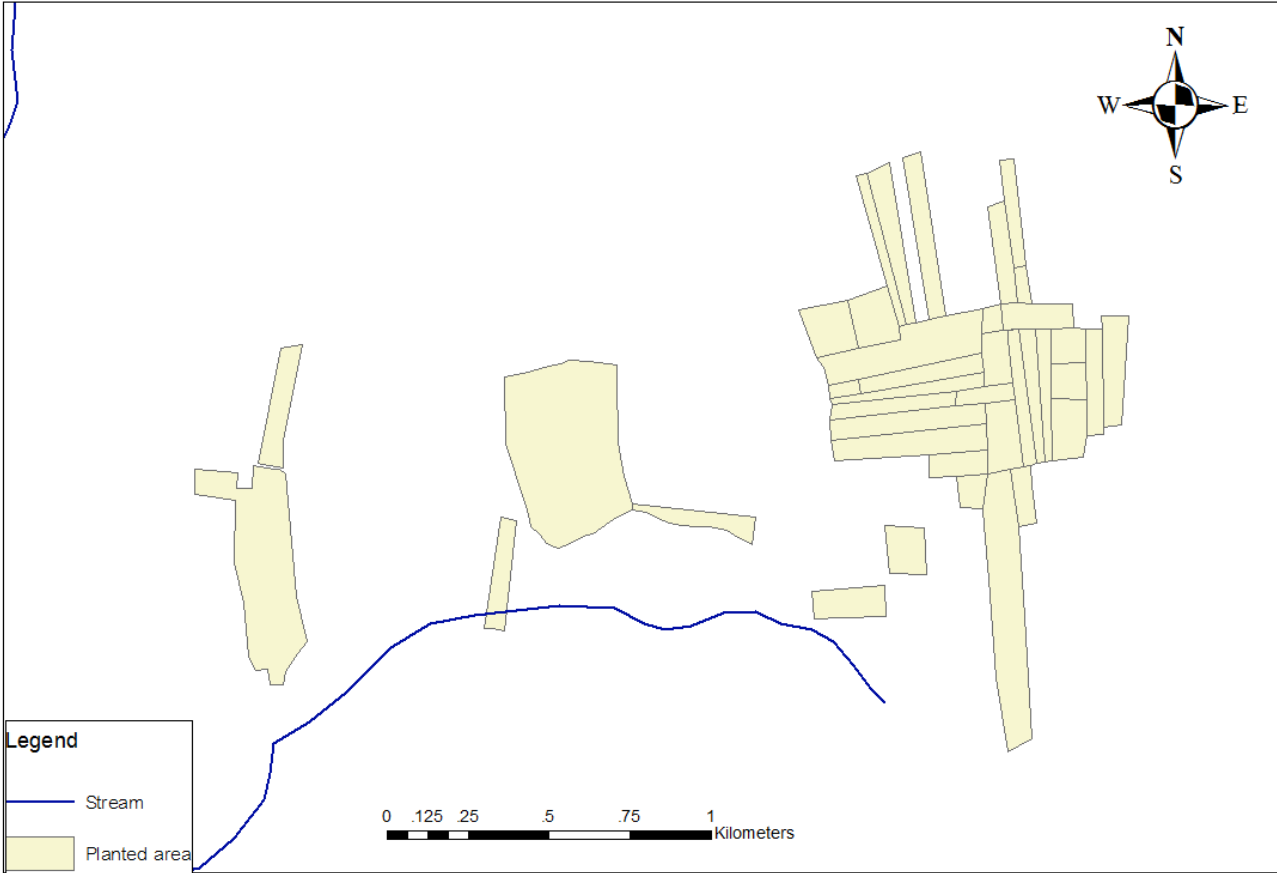


Figure 4 Map of Cha uat Division

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

<b>Monthly Records of Certified and Uncertified FFBs Received Since Last Audit</b>				
<b>Remarks:</b>				
<ul style="list-style-type: none"> <li>• If this is Main Assessment, the figures used are from the last 12 Months</li> <li>• If this is Annual Surveillance Assessment, the figures used are since last audit.</li> </ul>				
<b>No.</b>	<b>Month – Year</b>	<b>Certified Supplier (MT)</b>	<b>Uncertified Supplier (MT)</b>	<b>Total (MT)</b>
01	August 2016	128.11	7,264.63	7392.74
02	September 2016	143.15	9,756.92	9900.07
03	October 2016	138.03	10,949.30	11087.33
04	November 2016	120.83	17,630.45	17751.28
05	December 2016	120.47	15,884.31	16004.78
06	January 2017	85.30	11,117.67	11202.97
07	February 2017	130.25	13,308.71	13438.96
08	March 2017	192.41	17,022.11	17214.52
09	April 2017	145.46	10,752.25	10897.71
10	May 2017	134.91	8,659.72	8794.63
11	June 2017	95.94	9,029.40	9125.34
12	July 2017	104.37	10,784.63	10889
<b>TOTAL (MT)</b>		<b>1,539.23</b>	<b>142,160.10</b>	<b>143,699.3</b>

<b>Monthly Records of Certified CPO and PK Produced Since Last Audit</b>			
<b>Remarks:</b>			
<ul style="list-style-type: none"> <li>• If this is Main Assessment, the figures used are from the last 12 Months</li> <li>• If this is Annual Surveillance Assessment, the figures used are since last audit.</li> </ul>			
<b>No.</b>	<b>Month – Year</b>	<b>Certified CPO (MT)</b>	<b>Certified PK (MT)</b>
01	August 2016	26.26	6.73
02	September 2016	29.35	7.52
03	October 2016	28.30	7.25
04	November 2016	24.77	6.34
05	December 2016	24.70	6.32
06	January 2017	17.49	4.48
07	February 2017	26.70	6.84
08	March 2017	39.44	10.10
09	April 2017	29.82	7.64
10	May 2017	27.66	7.08
11	June 2017	19.67	5.04
12	July 2017	21.40	5.48
<b>TOTAL (MT)</b>		<b>315.54</b>	<b>80.81</b>

**Remark:** Table above of certified CSPO and CSPK were calculated based on the conversion rate a t20.5% and 5.25%, respectively.

<b>Monthly Records of Certified CPO and PK Sold under Palm-Trace Platforms since Last Audit (if any)</b>			
<b>Remarks:</b>			
<ul style="list-style-type: none"> <li>• If this is Main Assessment, this table is Not Applicable.</li> <li>• If this is Annual Surveillance Assessment, the figures used are since last audit based on RSPO Palm Trace transaction Report.</li> </ul>			
<b>No.</b>	<b>Transaction ID No.</b>	<b>Certified CPO (MT)</b>	<b>Certified PK (MT)</b>
	No transaction in 2016. Only transaction in 2015 was observed		

**End of Report**