

**RSPO GROUP CERTIFICATION
1ST & 2ND ANNUAL SURVEILLANCE ASSESSMENT (ASA1 & ASA2)
Public Summary Report**

WAGS Air Kuning
Client Company Address: Upper Penthouse, Wisma RKT, No 2 Jalan Raja Abdullah, Kuala Lumpur, Federal Territory 50300 Malaysia
Certification Unit: WAGS Air Kuning
Location of Certification Unit: Air Kuning, Perak, Malaysia

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Section 1: Scope of the Certification Assessment

1. Company Details			
RSPO Membership Number	1-0138-13-000-00	Date	Member since: 20 March 2013
Company Name	Wild Asia Sdn. Bhd. (Wild Asia Group Scheme)		
Address	Upper Penthouse, Wisma RKT, No 2 Jalan Raja Abdullah, Kuala Lumpur, Federal Territory 50300, Malaysia		
Subsidiary of (if applicable)	N.A		
Contact Name	Sheila Senathirajah		
Website	http://oilpalm.wildasia.org/small-producers/wags/	E-mail	sheila@wildasia.org
Telephone	+603 6201 2150	Facsimile	+603 6201 2150

2. Certification Information			
Certificate Number	RSPO 660787	Original certification date	20/03/2015
		Expiry date	19/03/2020
Scope of Certification	Production of RSPO Certified FFB		

3. Location(s) of Mill & Supply Bases			
Group	Location [Map Reference #]	GPS	
		Easting	Northing
WAGS Air Kuning (175 smallholders)	Air Kuning, Perak, Malaysia	E 101° 08' 27"	N 04° 13' 11.5"

4. Description of Supply Base							
Group	Mature (ha)	Immature (ha)	Total Planted (ha)	HCV (ha)	Infrastructure & Other (ha)	Total Hectarage	% of Planted
WAGS Air Kuning (175 smallholders)	646.73	3.44	650.17	0.05	35.62	685.84	94.79%

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5. Plantings & Cycle								
Group	Age (Years)					Tonnage / Year		
	0 – 3*	4 – 10*	11 - 20	21 - 25	26 - 30	Estimated (Previous Year)	Actual (This Year)	Forecast (Next Year)
WAGS Air Kuning (175 smallholders)	3.44	179.26	370.6	76.35	20.52	19,617.49	20,598.36	21,626.00

*Verified the planting history and the land title.

6. Certified Tonnage									
Group	Estimated (Previous Year)			Actual (This Year)			Forecast Next Year: ASA1 & 2)**		
	FFB	CPO	PK	FFB	CPO*	PK*	FFB	CPO	PK
WAGS Air Kuning (175 smallholders)	19,617.49	3,697.00	1,061.00	20,598.36	3,882.00	1,114.00	21,626.00	4,076.00	1,170.00
Extraction Rate %		18.85	5.41		18.85	5.41		18.85	5.41

*Conversion factor from Tian Siang Independent mill

**The forecast valid in period ASA1 and ASA2

Section 2: Assessment Process

Certification Body:

BSI Services Malaysia Sdn Bhd,
 (ASI Accreditation Number: RSPO-ACC-19)
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BSI is a leading global provider of management systems assessment and certification, with more than 60,000 certified locations and clients in over 100 countries. BSI Standards is the UK's National Standards Body. BSI provides independent, third-party certification of management systems. BSI is ASI Accredited (RSPO-ACC-19) to conduct RSPO assessment since 31/10/2014 with accredited office located at Kuala Lumpur, Malaysia and an office at Singapore, Jakarta, Bangkok and Australia which involve in RSPO Certification Program.

Assessment Methodology, Programme, Site Visits

The central office audit for group manager elements and on-site surveillance assessment was conducted on 22-23 September 2016 and 11-14 October 2016 respectively. The audit programme is included as Appendix D. The approach to the audit was to treat the group manager and its smallholders as an RSPO Certification Unit. Collection centre was audited mainly on the supply chain elements together with the sample estates. This audit is combination of annual surveillance audit 1 & 2 with the approval from RSPO due to the suspension of the previous certification body. Therefore, same report will be used in ASA 1 & 2 for issuing annual certificate which valid till 19 March 2018. A range of environmental and social factors were covered. This includes consideration of topography, palm age, proximity to areas with HCVs, declared conservation areas and local communities.

The assessment was conducted based on sample regulated under RSPO Certification Requirement for Group Certification (2016). Under the requirement, size of samples was based on the formula $(0.8\sqrt{y}) \times (z)$; where y is total number of independent group member and where z is the multiplier defined by the risk assessment. 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. Out of in total **175** smallholders, sampling formula as below:

Category	Samplings	Remark
CERTIFIED Smallholders ($0.8\sqrt{34} \times \text{RF } 1.2$)	6	Risk Factor 1.2; These members are existing certified members. There is no replanting and or expansion but the Group management has a history of non-conformities.
NEW Smallholders ($0.8\sqrt{141} \times \text{RF } 1.4$)	14	Risk Factor 1.4; these new smallholders yet to be certified and newly join in year 2016.
Total	20	

Besides, the trader-Teik Joo Chan Sdn Bhd also audited as part of the supply chain of the management system and included within the Group Certification. The methodology for collection of objective evidence included physical site inspections, observation of tasks and processes, interviews of staff, workers and their families and external stakeholders, review of documentation and monitoring data. RSPO Group Certification 2016 were used as Checklists

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and questionnaires were used to guide the collection of information to assess compliance. The comments made by external stakeholders were also taken into account in the assessment.

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

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

All the previous nonconformities are remains closed. The assessment findings for the initial assessment are detailed in Section 3.3.

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

This report was internally reviewed by RSPO approved Certification Reviewer prior to certification decision by BSI.

The following table would be used to identify the number of new and certified smallholders to be audited each year in the 5 year cycle.

Assessment Program					
No. of Smallholders	Year 1 (Certification; by other CB)	Year 2 & 3 (ASA 1 & 2)**		Year 4* (ASA 3)	Year 5* (ASA 4)
CERTIFIED Smallholders	34	34	175	175	175
NEW Smallholders	-	141	-	-	-
Total Certified Smallholders	34	175	175	175	175

Kindly refer to Appendix F for details smallholders list

*Number of smallholder will change yearly depending on the increase and decrease of smallholders.

** This audit is combination of annual surveillance audit 1 & 2 with the approval from RSPO due to the suspension of the previous certification body. Therefore, same report will be used in ASA 1 & 2 for issuing annual certificate till 19 march 2018 (ASA3).

Tentative Date of Next Visit*: January 9, 2018

*As this is the transfer from other CB, approval for postponing the audit beyond 9-12 months already granted by RSPO.

Total No. of Mandays: 9 mandays

BSI Assessment Team:**Hoo Boon Han – Lead Auditor**

He holds Master of Technology (Environmental Management) from the University Malaya and Bachelor of Science Forestry (Hons) Majored in International Tropical Forestry from University Malaysia Sabah. He has more than 3 years working experience in environmental monitoring & audit, carbon accounting & reduction, wastewater treatment, waste management and sustainable development. He has successfully completed the RSPO Lead Auditor and RSPO Supply Chain Training in April 2012. He has been involved in RSPO P&C audit in Indonesia and Malaysia as well as RSPO SC audit across different region including Asia, Europe and North America for the past 4 years. During this assessment, he assessed on the aspect of environment, Safety and Health, Legal, social and community engagements, stakeholders consultation, and workers welfare. He is able to speak and understand Bahasa Malaysia, English and Mandarin.

Mohd Hafiz Mat Hussein – Team Member

He holds Bachelor Degree in Plantation Technology and Management, graduated from University Technology Mara (UiTM) on 2009. He has 4 years working experience in oil palm plantation industry. He also has the experiences as an auditor for several standards including ISO 9001, ISO 140001, OHSAS 18001, MSPO and RSPO in his previous certification body. He completed the ISO 9001 Lead Auditor Course, ISO 14001 Lead Auditor Course and OHSAS 18001 Lead Auditor Course in 2013, Endorsed RSPO P&C Lead Auditor Course in 2014 and MSPO Awareness Training in 2014. He had been involved in RSPO auditing since May 2013 in more than various companies in Malaysia. During this assessment, he assessed on the aspects of legal, mill best practices, estate best practices, safety and health, environmental and workers and stakeholders consultation.

Hu Ning Shing- Team Member

She holds Bachelor Degree in Science majoring in Applied Chemistry, graduated from University of Malaya on 2011. She has 5 years working experience in rubber and palm oil industry. She also has the experiences as auditor for several standards including ISO 9001, MSPO and RSPO in his previous certification body. She completed the ISO 9001 Lead Auditor Course on 2016, Endorsed RSPO P&C Lead Auditor Course in 2012 and Endorsed RSPO SCCS Lead Auditor Course in 2015. She had been involved in RSPO auditing since November 2015 in more than various companies in Malaysia. During this assessment, she assessed on the aspects of social. She is fluent in Bahasa Malaysia and English languages.

Accompanying Persons: Daniel Francis

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

Section 3: Assessment Findings

3.1 Details of audit results are provided in the following Appendix:

RSPO Group Certification Standard 2010 Checklist- **Appendix A:** Summary report of the Assessment.

3.2 Progress against Time Bound Plan

Not applicable as this is group certification for independent smallholder.

3.3 Details of findings

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

During the Certification Assessment there were six major (6) Major & thirteen minor (13) Minor nonconformities raised. The WAGS Air Kuning Certification unit submitted Corrective Action Plans for the nonconformity. Corrective action plans with respect to the nonconformity was reviewed by the BSI audit team and accepted. The implementation of the corrective action plans to address the minor nonconformity will be followed up during the next surveillance assessment.

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1379970M1	<p>Requirements 4.2.2 Records of fertilizer inputs shall be maintained.</p> <p>For Individual farmers: Responsibility of individual members to maintain fertilizer records.</p> <p>For Group Manager: Group Manager to provide template to record fertilizer usage and mill by-products usage.</p> <p>Evidence of Nonconformity 4.2.2 The members kept the records of fertilizer applied using log book and it will be summaries by WAGS management for each individual members. However, some of the members was not kept the fertilizer records. Individual Members: The records were not kept by the farmers: 1. Per-Pot-116 2. Per-Pot-052</p> <p>Group Manager: The records for each individual farmers were kept using Monitoring sheet 7: PG Fert_PG TJC were not update: 1. Per-Pot-089 2. Per-Pot-054 3. Per-Pot-052</p> <p>The minor NC 01 from previous audit has been escalated to major NC.</p> <p>Statement of Nonconformity Records of fertilizer inputs maintained by individual members and group manager were not updated.</p>	Major

	<p>Corrective Action</p> <ul style="list-style-type: none"> i. A halfday training session conducted on Dec 4, 2016. training session will included field session (BMP in Mr. Chong Farm). Classrom training was inclusive of (Documentation, Social and Environmental) Conducted on 4th Dec,2016 (minutes meeting) ii. Update and close the gaps on fertiliser records for all group members. Monitoring sheet no.7 updated with gap information. This covers producer group fertilizer record updated. 	
	<p>Status</p> <p>The CAP and evidence submitted confirmed that the issue has been fully addressed; Interviewed the smallholders through phone, they aware that the procedure in keeping the fertilizer record once available. Hence the Major NC was closed.</p> <p>Effectiveness of corrective action taken will be verified in the next audit.</p>	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1379970M2	<p>Requirements</p> <p>4.6.11 Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated.</p> <p>For Group Manager: Group Managers to monitor occurrence of illnesses and health conditions of members and their workers that are handling agrochemicals, to identify needs for medical check-up.</p>	Major
	<p>Evidence of Nonconformity</p> <p>Some of the farmers were appointed the villagers or family members as their workers for spraying activities. However no monitoring of occurrence of illnesses and health condition was done by group manager. 1. Per-Pot-018 2. Per-Pot-089 3. Per-Pot-116 4. Per-Pot-016 5. Per-Pot-054 6. Per-Pot-014</p>	
	<p>Statement of Nonconformity</p> <p>No monitoring for occurrence of illnesses and health conditions of members and their workers that are handling agrochemicals, to identify needs for medical check-up by group manager.</p>	
	<p>Corrective Action</p> <ul style="list-style-type: none"> i. Findings reviewed and communicated with farmers on training session held on 4th, Dec 2016 (minutes meeting). ii. WAGS Air Kuning Site Office has established an Illness and Heath Record which is currently placed in the office. This covers the main record of farmers health derived from farmers logbook. 	

	<p>Status The CAP and evidence submitted confirmed that the issue has been fully addressed; After interviewed the smallholders through phone, they understood on the importance of annual medical surveillance and procedure for reporting illness. Hence the Major NC was closed. Effectiveness of corrective action taken will be verified in the next audit.</p>	
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Non-Conformity		
NCR #	Description	Category (Major / Minor)
1379970M3	<p>Requirements 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.</p> <p>For Individual members: Members shall attend trainings related to OHS.</p> <p>Members shall implement the management plan and at least ensure the provision of PPE and medical check-ups for high risk workers. In the case of hazardous chemical use, a description of the relevant chemicals should be brought to the field.</p> <p>Evidence of Nonconformity Through an interview with the smallholders (i.e. TJC-86-SML, AKN-POT-0051, AKN-POT-0038), the workers were wearing the appropriate PPE while working. However, the PPE used for the activity that is involved with the hazardous chemical was not adequate and relevant chemicals description did not brought to field.</p> <p>The minor 03 from previous audit has been escalated to Major NC.</p> <p>Statement of Nonconformity Provision of adequate PPE and medical check-ups for high risk workers is lacking and relevant chemicals description did not brought to field.</p> <p>Corrective Action</p> <ul style="list-style-type: none"> i. Improve information gathering from farmers on types of pesticides currently used. Monitoring sheet no.6 updated with gap information. This covers producer group fertilizer record updated ii. Conducted on 4th, Dec 2016 (minutes meeting) Training session on PPE and chemical impact related training (social training). Key aim is to improve awareness of farmers on types of chemicals used-hazards levels, potential alternatives and if used what safety precautions should be taken. Provide inputs to farmers on correct use of PPE and where and how it can be obtained. Including basic type of medical "supervision" required. iii. Internal audit planned in June 2017 will ensure all farmers complying to the safe working practices. 	Major

	<p>Status The CAP and evidence submitted confirmed that the issue has been fully addressed; Interviewed the farmers through phone confirmed they aware the type of PPE being used in their activities. Hence the Major NC was closed. Effectiveness of corrective action taken will be verified in the next audit.</p>	
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Non-Conformity		
NCR #	Description	Category (Major / Minor)
1379970M4	<p>Requirements 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.</p> <p>For Individual members: Individual members shall demonstrate an understanding of the mitigation plan to reduce the social impacts</p> <p>For Group Manager: Group Managers shall develop a mitigation plan (with clear timetable) to reduce social risks and review the plan every two years in consultation with the affected parties.</p> <p>Group Managers shall organise training for members on social risks and mitigation measures.</p> <p>Evidence of Nonconformity The members do not aware and understand of the mitigation plan that developed by Wild Asia to reduce the social impacts as no training was given by Wild Asia.</p> <p>SEIA and HCV of the WAGS Air Kuning conducted on 9 December 2015 has identified all the gaps or potential risk. However, no detail mitigation plan has been develop accordingly.</p> <p>Statement of Nonconformity Training for the members on the plan of mitigate negative impacts was not available.</p> <p>Corrective Action Conducted on 4th, Dec 2016 (minutes meeting). The training covered Social training and SEIA finding which completed on 9th Dec 2015:</p> <ul style="list-style-type: none"> i. WAGS has provide an overview of the social baseline and profiles of the producer groups. ii. Priority areas are made clear, specific management actions to be taken will be outlined and discussed with farmers iii. Based on this, specific means to demonstrate progress are identified and detailed out in the WAGS Group Management Plan (Social Impacts Improvement Section) 	Major

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	<p>Status The CAP and evidence submitted confirmed that the issue has been fully addressed; interviewed the farmers through phone confirmed they aware of the mitigation plan. Hence the Major NC was closed. Effectiveness of corrective action taken will be verified in the next audit</p>	
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Non-Conformity		
NCR #	Description	Category (Major / Minor)
1379970M5	<p>Requirements 6.9.2 Training on the reproductive rights was not available.</p> <p>For Individual member: Members shall make sure that all staff/workers are aware of the policies and procedures to prevent sexual, and all other forms of harassment and violence as well as of the policy of the protection of reproductive rights.</p> <p>For Group manager: The Group Manager shall make sure that all members are aware of the policies and procedures to prevent sexual, and all other forms of harassment, violence and protection of reproductive rights</p> <p>Evidence of Nonconformity Most of the farmers are managed their land independently. Therefore, the policy does not directly applicable to them. However, Wild Asia did not provide training on reproductive rights to the members.</p> <p>The latest of the social training conducted to the members on 22 September 2015. However, the training material did not incorporated the protection of reproductive rights.</p> <p>The minor NC 08 from previous audit has been escalated to major NC.</p> <p>Statement of Nonconformity Training for the members on the plan of mitigate negative impacts was not available.</p> <p>Corrective Action Training material improved and updated with elements of reproductive rights (i.e: how to treat pregnant and nursing women, Impact of chemical usage to the foetus, etc). Training conducted on 4th, Dec 2016 (minutes meeting)</p> <p>Status The CAP and evidence submitted confirmed that the issue has been fully addressed; Through phone interview of the smallholders, confirmed they understand the reproductive rights. Hence the Major NC was closed. Effectiveness of corrective action taken will be verified in the next audit</p>	Major

Non-Conformity		
NCR #	Description	Category (Major / Minor)

1379970M6	<p>Requirements 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.</p> <p>For Individual members: Individual members shall provide proposals for use of fire to the Group Manager for assessment and approval prior to burning.</p> <p>For Group Manager: -Demonstrate that any use of fire by any individual member has been assessed to be justified under the ASEAN guidelines ASEAN Policy on Zero Burning' 2003. -Provide written approval from the relevant environment authority on the use of fire in certain situations as prescribed by the ASEAN guidelines.</p> <p>Evidence of Nonconformity Visited one of the farmer plot (AKN-POT-0137) found burning evidence of palm and fronds. Interviewed the smallholder and confirmed that the burning due to the infertile palm.</p> <p>No proposal or approval has been submitted to Group Manager for using fire to burn a as well as no mechanism to enable smallholder for using fire.</p> <p>Statement of Nonconformity There is no approval or assessment by Group manager when individual member use of fire.</p> <p>Corrective Action</p> <ul style="list-style-type: none"> i. Internal review conducted in last week Nov. The highlighted farmer was issued a Corrective Action request to attend a re-training and to abstain from further use of fire. ii. A briefing was also given to said farmer. Farmer will be under review for next 6 months. iii. Participatory discussion conducted on 4th, Dec 2016 (minutes meeting) iv. A system in place for the small holder to request permission or proposals to the Group Manager to burn. <p>Status The CAP and evidence submitted confirmed that the issue has been fully addressed hence the Major NC was closed. Effectiveness of corrective action taken will be verified in the next audit</p>	Major
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Non-Conformity		
NCR #	Description	Category (Major / Minor)
1379970N1	<p>Requirements 4.2.3 There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status.</p> <p>Group Manager: Group Manager conducts periodic tissue and soil sampling at minimum for a representative sample of group membership.</p>	Minor

	<p>Evidence of Nonconformity The WAGS management has established a plan to conduct soil sampling on Sept-Oct 2016. Noted that, the soil sampling is in progress. However for the periodic tissue sampling is yet to be conducted.</p>	
	<p>Statement of Nonconformity There is no periodic tissue sampling was conducted.</p>	
	<p>Corrective Action Periodic Tissues Sampling will be conducted in Q2 2017.</p>	
	<p>Status Effectiveness of corrective action taken will be further verified in the next assessment.</p>	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1379970N2	<p>Requirements 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.</p> <p>For Individual members: Individual members keep records of pesticides use.</p> <p>For Group Manager: Group Manager has oversight responsibility</p>	Minor
	<p>Evidence of Nonconformity The receipt of the chemical was keep by the farmers however some of the farmers was not keep it, samples as below: 1. Per-Pot-116 2. Per-Pot-052</p> <p>The records for each individual farmer were kept at HQ office using monitoring sheet 6: PG Chem_PG TJC. It include the product name, total litre used, total area applied, total trees applied, however the records were not update by the group manager: 1. Per-Pot-018 2. Per-Pot-089 3. Per-Pot-116 4. Per-Pot-016 5. Per-Pot-054 6. Per-Pot-014 7. Per-Pot-052</p> <p>The amount of active ingredients applied per ha was not included in the monitoring for all the farmers.</p>	

	<p>Statement of Nonconformity Records of pesticides use maintained by individual members and group manager were not updated.</p>	
	<p>Corrective Action</p> <ul style="list-style-type: none"> i. Update existing chemical record in PG Chem_PG TJC until Dec 2016 ii. Analyze existing chemical usage (A.I content, Usage per ha, etc) iii. Targetting direct farmers under Mr. Lai (contractor) management iv. Handed farmers individual folders to our existing farmers for them to start updating their chemical and fertilizer record 	
	<p>Status Effectiveness of corrective action taken will be further verified in the next assessment.</p>	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1379970N3	<p>Requirements</p> <p>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.</p> <p>For Individual member: Members shall report accidents on the farm to the Group Manager.</p> <p>Each member ensures that there is a first aid kit available at the work site when there is operation going on in the field.</p> <p>For Group Manager: Group Managers shall develop OHS / First Aid manual and distribute to all individual members</p> <p>Group Manager shall hold regular training based on Group OHS / First Aid manual for members and/or workers.</p> <p>Group Manager shall record members' accidents on the farm.</p>	Minor
	<p>Evidence of Nonconformity</p> <p>Through interview, the members were told the assessor that the first aid kit was not available during the working activities:</p> <ol style="list-style-type: none"> 1. Per-Pot-018 2. Per-Pot-089 3. Per-Pot-116 4. Per-Pot-052 	
	<p>Statement of Nonconformity</p> <p>First aid kit is not available at the work site when there is operation going on in the field.</p>	

	Corrective Action i. Ensure all Group Members have their own first aid kits ii. Invite Jab Kesihatan to provide first aid training	
	Status Effectiveness of corrective action taken will be further verified in the next assessment.	

Non-Conformity

NCR #	Description	Category (Major / Minor)
1379970N4	<p>Requirements 6.1.1 A social impact assessment (SIA) including records of meetings shall be documented.</p> <p>For Individual member: Individual members shall demonstrate an understanding of the social risks of their operations.</p> <p>For Group manager: Group Managers shall identify all activities that have social impacts with the participation of affected parties.</p> <p>Evidence of Nonconformity The members were unable to demonstrate what the risks of their operations to the social are. Through interview with the selected smallholders (Chia Liang Hwa, Lim Ching Seng and Tan a/p Uda) found that they were lacking of knowledge and understanding of the risks. The induction training given to the members was insufficient.</p> <p>The social impacts with the participation of internal and external stakeholders such as management, farmers and workers. None of the government bodies such as DOSH and DOE involve in the stakeholders meetings.</p> <p>Statement of Nonconformity Training on the social risks and impacts to the members was insufficient.</p> <p>Corrective Action</p> <ul style="list-style-type: none"> i. Update social training material and relate it back to main farm operation risk (eg. Harvesting have high risk due to the main use to sharp tool etc ii. Deliver the update version of Social Training to all farmers and handed them a printed guideline for their reference <p>Status Effectiveness of corrective action taken will be further verified in the next assessment.</p>	Minor

Non-Conformity

NCR #	Description	Category (Major / Minor)

1379970N5	<p>Requirements</p> <p>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.</p> <p>For Individual member: Where applicable, individual members shall help to address negative social impacts in a consultative manner.</p> <p>For Group manager: Group Managers shall monitor implementation of mitigation plan.</p>	Minor
	<p>Evidence of Nonconformity</p> <p>The sampled members</p> <ul style="list-style-type: none"> a. Bahari bin Pandak b. Kiew Yau Jo <p>do not aware and understand of the mitigation plan that developed by Wild Asia to reduce the social impacts as no training was given by Wild Asia.</p> <p>No monitoring of implementation of mitigation plan as it not established yet.</p>	
	<p>Statement of Nonconformity</p> <p>Evidence of members to address negative social impacts in a consultative manner is not available.</p>	
	<p>Corrective Action</p> <p>Update on reproductive right in social training material to ensure this issues is being highlighted in the group.</p>	
	<p>Status</p> <p>Effectiveness of corrective action taken will be further verified in the next assessment.</p>	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1379970N6	<p>Requirements</p> <p>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.</p> <p>For Individual member: Members shall be aware of the policy/policies and procedures for handling sexual and all other forms of harassment, violence and the protection of reproductive rights, in the language which the workers can understand</p> <p>For Group manager: The Group Manager shall ensure members are aware of the policy/policies and procedure for handling sexual and all other forms of harassment, violence and the</p>	Minor

	protection of reproductive rights, in the language which the workers can understand	
	Evidence of Nonconformity The latest of the social training conducted to the members on 22 September 2015. However, the training material did not incorporated the policy/polices and procedure for handling protection of reproductive rights.	
	Statement of Nonconformity Protection of reproductive rights is not available in the training material.	
	Corrective Action Training material improved and updated with elements of reproductive rights (i.e: how to treat pregnant and nursing women, Impact of chemical usage to the foetus, etc). Training conducted on 4th, Dec 2016 (minutes meeting)	
	Status Effectiveness of corrective action taken will be further verified in the next assessment.	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1379970N7	Requirements 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). For individual member: The individual member understands the pricing mechanism of the purchaser For Group manager: The Group Manager shall record the general pricing mechanisms used by the purchaser/s of the FFB. The Group Manager shall record the corresponding information provided to the group members Evidence of Nonconformity The group manager did not record the general pricing mechanism used by the purchaser/s of the FFB. Statement of Nonconformity Records of general pricing mechanism used by the purchasers of FFB is not available. Corrective Action i. TJC pricing mechanism shall be kept by Wild Asia hardcopy and softcopy ii. Communicate to TJC supplier how do pricing mechanism is being made Status Effectiveness of corrective action taken will be further verified in the next assessment.	Minor

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1379970N8	<p>Requirements</p> <p>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.</p> <p>As a minimum, these shall include, but are not necessarily be limited to:</p> <ul style="list-style-type: none"> • Reduction in use of pesticides(Criterion 4.6); • Environmental impacts (Criteria 4.3, 5.1 and 5.2); • Waste reduction (Criterion 5.3); • Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); • Social impacts (Criterion 6.1); • Optimising the yield of the supply base. <p>For individual member:</p> <ul style="list-style-type: none"> • Members shall provide inputs to the Group Action Plan for continual improvement. • Members shall keep individual records of pesticide use, fertiliser application, FFB production etc. according to a standard template provided by the Group Manager. • Discuss with the Group Manager the timing of the replanting programme. <p>For Group manager:</p> <ul style="list-style-type: none"> • Group Managers shall record information on environmental impacts, waste reduction, pollution & GHG and social impacts. • Group Managers shall periodically (e.g. quarterly) collate the records of individual members. • Group Managers shall facilitate the development of the Group Action Plan through an annual group meeting. • Group Managers shall be responsible for the continuous improvement in key operations. 	Minor
<p>Evidence of Nonconformity</p> <p>SAM & BMP Mapping was conducted with the participation of members which contributed inputs for continual improvement on 24/9/2016 at Kampung Chenderong Kelubi, 29/9/2016 at TJC office and 2/10/2016 at Air Kuning. Survey forms of the mapping was noted. However, no documented evidence of report is sighted.</p> <p>The observation from previous audit has been escalated to minor NC.</p>		
<p>Statement of Nonconformity</p> <p>Documented evidence of report for the continual improvement plan was not available.</p>		

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	<p>Corrective Action Report still being compiled at time of audit therefore not ready to be communicated to the Group Members. SAMS to share findings from analysis.</p>	
	<p>Status Effectiveness of corrective action taken will be further verified in the next assessment.</p>	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1379970N9	<p>Requirements 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.</p> <p>For Individual farmers: Individual members shall show that they have accepted and agreed the group’s policy on ethical conduct</p> <p>For Group manager: The Group Manager shall develop a written policy committing the Group to a code of ethical conduct and integrity in all operations and transactions.</p> <p>Evidence of Nonconformity There is no evidence that individual members have accepted and agreed on the WAGS Group Policy which established 21 September 2016</p> <p>Statement of Nonconformity Evidence for individual members shall show that they have accepted and agreed the group’s policy on ethical conduct is lacking</p> <p>Corrective Action WAGS will provide information to each individual members about the group policy</p> <p>Status Effectiveness of corrective action taken will be further verified in the next assessment.</p>	Minor

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1379970N10	<p>Requirements 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.</p>	Minor

	<p>For Group manager: Group Managers shall organise training for members on environmental risks and mitigation measures.</p> <p>Group Managers shall monitor implementation of mitigation plan.</p>	
	<p>Evidence of Nonconformity A mechanism for measuring and monitoring the mitigation action is not available.</p>	
	<p>Statement of Nonconformity Monitoring for the implementation of mitigation plan is lacking.</p>	
	<p>Corrective Action</p> <ul style="list-style-type: none"> a. Construct a mechanism to monitor the mitigation plan. b. WAGS training on HCV and RTE Species <ul style="list-style-type: none"> i. To include HCV and RTE species as a topic into the WAGS training programme ii. To provide information to farmers on this topic and gather feedback from farmers. iii. Any specific action points derived from this discussion (if any) will then be captured in the Group management Plan. 	
	<p>Status Effectiveness of corrective action taken will be further verified in the next assessment.</p>	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1379970N11	<p>Requirements 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.</p> <p>For Individual member: Individual members shall make their workers aware of the status of RTE species and the applicable disciplinary measures.</p> <p>For Group manager: Group Manager conducts training for their individual members and their workers about the status of HCV and RTE species and the applicable disciplinary measures.</p>	Minor
	<p>Evidence of Nonconformity Training about the status of HCV and RTE species and the applicable disciplinary measures to the individual members is lacking</p>	
	<p>Statement of Nonconformity No training has been conducted for their individual members and their workers about the status of HCV and RTE species and the applicable disciplinary measures.</p>	
	<p>Corrective Action To implement the Group Management Plan in Q1 2017.</p>	

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	<p>Status Effectiveness of corrective action taken will be further verified in the next assessment.</p>	
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Non-Conformity		
NCR #	Description	Category (Major / Minor)
1379970N12	<p>Requirements 5.4.1 A plan for improving efficiency of the use of fossil fuels and to optimise renewable energy shall be in place and monitored.</p> <p>For Individual members: Appropriate to scale, Group Manager shall have a plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.</p> <p>For Group manager: Appropriate to scale, Group Manager shall have a plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.</p> <p>Evidence of Nonconformity Smallholders did not monitor the usage of fossil fuel which mainly for the transporation of the FFB. Under the group management plan which dated 14 Sep 2016, following plan to mitigate polluting activities, i.e: a. Conduct periodic mapping with meetings/participatory mapping with each site to understand sources of GHG emmissions & fossil fuel use b. Update register of all polluting activities and GHG emission sources at site</p> <p>However, the plan is not implemented.</p> <p>Statement of Nonconformity Plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy is not available.</p> <p>Corrective Action To implement the Group Management Plan in Q1 2017.</p> <p>Status Effectiveness of corrective action taken will be further verified in the next assessment.</p>	Minor

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1379970N13	<p>Requirements 5.6.3 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.</p>	Minor

	<p>For Group Manager: Where possible, mitigation measures for significant pollutants and identify sources of emissions shall be developed and implemented.</p> <p>Socialize the information to the group members.</p>	
	<p>Evidence of Nonconformity Mitigation measures for significant pollutants and identify sources of emissions is not available.</p>	
	<p>Statement of Nonconformity Mitigation measures for significant pollutants and identify sources of emissions is lacking.</p>	
	<p>Corrective Action To be developed upon implementation of GHG monitoring as per Group Management Plan.</p>	
	<p>Status Effectiveness of corrective action taken will be further verified in the next assessment.</p>	

Observation	
OBS #	Description
6.1.2	The social impacts with the participation of internal and external stakeholders such as management, farmers and workers was sighted. However, the assessment did not include government authorities such as DOE, DOSH and etc.

Positive Findings	
PF #	Description
1	Stakeholders have positive feedback on the certification unit's contribution to local development.
2	Relationship between the field assistant and smallholder are well maintain
3	Commitment of the management team towards the

Issues raised by Stakeholders
<p>Stakeholder consultation involved internal and external stakeholders. External stakeholders were contacted by telephone to arrange meetings at a location convenient to them to discuss WAGS Air Kuning Certification Unit's environmental and social performance, legal and any known dispute issues.</p> <p>Meetings were conducted with stakeholders to seek their views on the performance of the company with respect to the RSPO requirements and aspects where they considered that improvements could be made. At the start of each meeting, the interviewer explained the purpose of the audit followed by an evaluation of the relationship between the stakeholder and the company before discussions proceeded. The interviewer recorded comments made by stakeholders and later was verified with the management team. These have been incorporated into the assessment findings.</p> <p>Structured worker interviews with male and female workers and staff were held in private at the workplace in the mill and the estates. Fieldworkers were interviewed informally in small groups in the field. In addition, the wives of workers and staff were interviewed in informal group meetings at their housing. Separate visits were made to each</p>

of the local communities to meet with the village head and residents. Company officials were not present at any of the internal or external stakeholder interviews. A list of Stakeholders contacted is included as Appendix E.

IS #	Description
1	Issues: Jabatan Kemajuan Orang Asli (JAKOA) officer – He informed that no land title for customary land. JAKOA issued a letter to the orang asli as a proof for the ownership of the land.
	Management Responses: All the orang asli have the letter issued from JAKOA.
	Audit Team Findings: Document verified all the letters from JAKOA and no further issues.
2	Issues: Land Office officer – No illegal land has been planted by the WAGS smallholders.
	Management Responses: All the smallholders complied with the legal requirements.
	Audit Team Findings: The land title for all smallholder were available during the audit.
3	Issues: MPOB officer – He explained that the smallholders under WAGS Air Kuning have complied with the MPOB requirement. So far, no issue raised to the smallholders under WAGS Air Kuning by the MPOB officer.
	Management Responses: All the smallholders complied with the MPOB requirements.
	Audit Team Findings: The MPOB licenses/permit for all smallholder were found valid.

3.3.1 Status of Nonconformities Previously Identified and Observations

Non-Conformity		
NCR #	Description	Category (Major / Minor)
Minor 01	Requirements: Indicator 4.2	Minor
	Evidence of Nonconformity: To monitor and verify implementation, WAGS FPC, Mr Wai Heng has filled in a form known as 'WAGS-012 Data from Famer Logbook_TJC_10092014' . Presently the record shows the fertiliser application for 2013. At the time of audit, WAGS have only conducted up to 2013. As a result , records were not updated to provide for effective implementation and monitoring by the Group Manager or WAGS Air Kuning Minor CAR 01	
	Statement of Nonconformity:	

	<p>Although the Group Managers can show they have carried out training with group smallholders to explain best practices to maintain soil fertility (see 4.8) however there was incomplete monitoring to verify effective implementation.</p>	
	<p>Action: Information such as no of fertiliser purchased and date are captured. Information is based on the purchase not the actual application record, as farmers can be inconsistent. Continuously monitor all farmers and have quarterly reviews to address gap areas.</p>	
	<p>Status: The minor NC has been escalated to major NC. Refer to 1379970M1</p>	

Non-Conformity (From Previous CB)		
NCR #	Description	Category (Major / Minor)
<p>Minor 02</p>	<p>Requirements: Indicator 4.6</p> <p>Evidence of Nonconformity: For the farmers 100 % managed by the Dealer, TJC, records are being compiled. The TJC contractor, Mr Lai Seng Joo involved in the Spraying and manuring are recording his daily operation in his notebook. This notebook was sighted during the audit. Presently the only records sighted for the chemical are the receipts of purchased from Sun Kheong Trading, Kampar. Records of stock-in and stock out has not been implemented for chemicals yet. MSDS of the chemicals were not sighted at the store or office A balance container of a Type 1a product , Krotofos 60 (a.i. monocrotophos) was found at the general store</p> <p>Statement of Nonconformity: Criterion require agrochemicals to be managed in a way that does not endanger health or the environment. There is no prophylactic use of pesticides, except in specific situations identified in national Best Practice guidelines. Where agrochemicals are used that are categorized as World Health Organization Type 1A or 1B, or are listed by the Stockholm or Rotterdam Conventions, growers are actively seeking to identify alternatives, and this is documented. However there were some storage and recording issues that required to be addressed.</p> <p>Action: 1. Chemical stock-in and stock-out record were kept by contractor. 2. The MSDS is printed and kept in the store 3. The krotofos was removed from the general store and put in an isolated and locked area.</p> <p>Status: TJC is only a dealer and relevant findings is not applicable in the scope of registration. However,</p>	<p>Minor</p>

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	<ol style="list-style-type: none"> 1. Chemical stock-in and stock-out record were kept by contractor. 2. The MSDS is printed and kept in the store 3. The krotofos was removed from the general store and put in an isolated and locked area. <p>The minor NC has been closed.</p>	
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Non-Conformity (From Previous CB)		
NCR #	Description	Category (Major / Minor)
Minor 03	<p>Requirements: Indicator 4.7</p> <p>Evidence of Nonconformity: For the farmers 100 % managed by the Dealer, TJC, records are being compiled. The TJC contractor, Mr Lai Seng Joo involved in the Spraying and manuring are recording his daily operation in his notebook. This notebook was sighted during the audit. Presently the only records sighted for the chemical are the receipts of purchased from Sun Kheong Trading, Kampar. Records of stock-in and stock out has not been implemented for chemicals yet. MSDS of the chemicals were not sighted at the store or office A balance container of a Type 1a product , Krotofos 60 (a.i. monocrotophos) was found at the general store</p> <p>Statement of Nonconformity: Emergency Response Procedure is made available at the working field during the audit. In addition, First Aid Kit are also available at the working field complete with the inventory list as well as the contact number to be contacted as and when emergency occur. Furthermore, fire extinguisher is made available at the visible location at both working areas (workshop and storage) and workers line site. During interview with the TJC contractor, Mr Lai Seng Joo, the audit team notes that he is lack of proper apron as part of the PPEs. In addition, other items such as first aid kit, eye wash and clean water for washing are found lacking.</p> <p>Action: <ol style="list-style-type: none"> 1. Prepare the proper apron to contractor and show him the resources to get it 2. Monitor the contractor and workers when applying chemical and fertilizers. </p> <p>Status: The minor NC has been escalated to major NC. Refer to 1379970M3</p>	Minor

Non-Conformity (From Previous CB)		
NCR #	Description	Category (Major / Minor)
	Requirements:	

Minor 04	Indicator 5.3	Minor
	<p>Evidence of Nonconformity:</p> <p>Although we were informed that domestic waste will be collected by the local authorities, Majlis Daerah Tapah daily, on- site inspection at workers housing area (particularly at the cooking area) evidence that the bins were full and yet to be collected. At the store, there is evidence of empty chemical containers being re-used for carrying diesel not being properly labelled. Oil stain contaminating the ground at the Used Oil storage area at TJC. The area used for washing empty chemical container is not in a way to reduce pollution. Interview with Mr. Chun Yaw evidence that the current practice shows that the chemical rinsate of the triple rinsed chemical container is poured into the drain The Group Manager (WAGS) has yet to conduct T05 training on Environmental Management Training for Small Farms.</p>	
	<p>Statement of Nonconformity:</p> <p>There were evidence that waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner. Group Managers shall ensure that group members have identified all waste and are disposing these in a responsible manner. This is monitored and overseen by the Group Manager. There should be appropriate disposal of hazardous chemicals and their containers. Surplus chemical containers should be disposed of such that there is no risk of contamination of water sources or to human health. The disposal instructions on manufacturer's labels should be adhered to.</p>	
	<p>Action:</p> <p>TJC is only a dealer and relevant findings is not applicable in the scope of certification. However, Group Manager has taken action such as provided training and spill tray to prevent contamination.</p>	
	<p>Status:</p> <p>The minor NC consider as not longer applicable it out of the scope of certification.</p>	

Non-Conformity (From Previous CB)		
NCR #	Description	Category (Major / Minor)
Minor 05	<p>Requirements:</p> <p>Indicator 6.1</p>	Minor
	<p>Evidence of Nonconformity:</p> <p>Wild Asia has conducted baseline Social and Environmental Impact Assessment (SEIA) which has been participated by the small farmers from the villages within Air Kuning, Perak. The assessment report is made available to the audit team that is dated September 2014. The SEIA report did includes: a. Environmental Risks b. Social Risks c. Farm audit – data evaluation d. Pictures e. Conclusion Despite the above, the audit team notes that the audit report is still in draft and does not reflect all details specified in the Indicator of the RSPO Standard as per in</p>	

	<p>guidance for the smallholders as follows: - Right to land use and access - Income (e.g. daily workers) and working condition - Livelihood activities - Cultural and religious values - Evidence that the assessment has been done with the participation of group smallholders, local communities and stakeholders. Furthermore, the audit team also notes that since the document is still in the draft and therefore the timetable with responsibilities for mitigation and monitoring is yet to be formulated. MINOR CAR 05 n.b. WAGS have identified some necessary action that need to be taken on monitoring and updates of the identified gaps. Training and regular field assessment is example of action taken in order to minimize the gaps.</p>	
	<p>Statement of Nonconformity: The SEIA is still in draft concerning aspects of plantation and mill management, including replanting, that have social impacts 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 continuous improvement. Group managers must be able to demonstrate that group smallholders participated in the development of a simplified impact assessment for their group holdings. Group managers must provide: - A documented simplified social impact assessment on these factors: - Right to land use and access - Income (e.g. daily workers) and working condition - Livelihood activities - Cultural and religious values - Evidence that the assessment has been done with the participation of group smallholders, local communities and stakeholders. A timetable with responsibilities for mitigation and monitoring, reviewed and updated as necessary, in those cases where the assessment has concluded that changes should be made to current practices.</p>	
	<p>Action: The SIA mitigation plan has been developed by the Wild Asia team on 7/10/2016. The plan has incorporated the timeline and person responsibilities to mitigate the impacts.</p>	
	<p>Status: The minor NC has been closed.</p>	

Non-Conformity (From Previous CB)		
NCR #	Description	Category (Major / Minor)
Minor 06	<p>Requirements: Indicator 6.7</p> <p>Evidence of Nonconformity: WAGS_Air Kuning has developed an annual training programme which includes Social Training. The training will includes the awareness on the avoidance of use of child labour.</p>	Minor

	<p>However as of the date of the audit, there is no Social Training conducted by Group manager (Wild Asia) to explain or create awareness of the avoidance of child labour. Verification during the site visit showed no evidence of underaged workers or child labour employed by the company.</p>	
	<p>Statement of Nonconformity: No evidence of training conducted concerning the issue on Children are not employed or exploited. Work by children is acceptable on family farms, under adult supervision, and when not interfering with education programmes. Children are not exposed to hazardous working conditions.</p> <p>Group managers will train group smallholders in the national and ratified international legal requirements for avoiding the use of child labour. Work by children on family smallholdings is only acceptable under adult supervision and when not interfering with education programmes and if permitted by national and ratified international laws.WAGS have developed an annual training program which includes Social Training. The training includes the awareness on the avoidance of use of child labour.</p>	
	<p>Action: TSO has conducted Social Training to the dealer and smallholders on 24/7/2015 and 22/9/2015. New members are compulsory to attend an induction training given by the field assistant before enrolled into the group scheme. Interviewed with the new members have found that they had given a guideline handbook by Wild Asia. The last training conducted was on April and May 2016. Smallholders also aware that no children shall be employed to work in plantation.</p>	
	<p>Status: The minor NC has been closed during surveillance audit.</p>	

Non-Conformity (From Previous CB)		
NCR #	Description	Category (Major / Minor)
<p>Minor 07</p>	<p>Requirements: Indicator 6.8</p> <p>Evidence of Nonconformity: WAGS have developed an annual training programme which includes Social Training. The training will cover the awareness on no discrimination policy. However, as to the date of audit, there is no Social Training conducted by group managers (Wild Asia) to explain on the requirements to avoid discrimination in recruitment and employment of workers.</p> <p>Statement of Nonconformity: No training was sighted concerning the prohibition of any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation union membership, political affiliation or age. Group managers must provide</p>	<p>Minor</p>

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	<p>training to group members about the need to avoid discrimination in the recruitment and employment of workers employed by, or to assist, smallholders.</p>	
	<p>Action: TSO has conducted Social Training to the dealer and smallholders on 24/7/2015 and 22/9/2015. New members are compulsory to attend an induction training given by the field assistant before enrolled into the group scheme. Interviewed with the new members have found that they had given a guideline handbook by Wild Asia. The last training conducted was on April and May 2016.</p>	
	<p>Status: The minor NC has been closed during surveillance audit.</p>	

Non-Conformity (From Previous CB)		
NCR #	Description	Category (Major / Minor)
<p>Minor 08</p>	<p>Requirements: Indicator 6.9</p> <p>Evidence of Nonconformity: No Policy or training was conducted to prevent sexual harassment and all other forms of violence against women and to protect their reproductive rights is developed and applied. Group managers must provide training to group members about the need to prevent sexual harassment and the abuse of women among both smallholders and any workers employed by them.</p> <p>Statement of Nonconformity: WAGS have developed training material and program which includes Social Training to give awareness on sexual harassment or abuse of women. Complaints Procedure was made available for members to report any cases of sexual harassment and abuse of women among smallholders and workers employed. Complaints Procedure was made available for members to report any cases of sexual harassment and abuse of women among smallholders and workers employed. Site inspection evidence that there is no women farmers/workers and there was no case of sexual harassment reported However, as to the date of audit, there is no Social Training has been conducted by the Group Manager (Wild Asia) to explain on the requirement to prevent sexual harassment.</p> <p>Action: TSO has conducted Social Training to the dealer and smallholders on 24/7/2015 and 22/9/2015. New members are compulsory to attend an induction training given by the field assistant before enrolled into the group scheme. Interviewed with the new members have found that they had given a guideline handbook by Wild Asia. The last training conducted was on April and May 2016. However, training on reproductive rights is not available.</p> <p>Status: The minor NC has been escalated to Major NC. Refer to 1379970M5</p>	<p>Minor</p>

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Observation													
OBS #	Description												
OBS 1	<p>4.5: Although the Group Managers can show they have carried out training with group smallholders to explain best practices on Pests, disease, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management (IPM) techniques were not included. However , upon checking on the training material on some of the pest and diseases e.g Ganoderma and rats were not included in the training material.</p> <p>Status: Update training materials with more information on IPM techniques and conduct training with all Group Members. Monitor implementation of prescribed techniques (eg seed distribution and planting of beneficial plants).</p>												
OBS 2	<p>5.2 Compulsory training was not attended by all the farmers concerning the status of rare, threatened or endangered species (ERTs) and highly conservation value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and their conservation taken into account in management plan. Information on protected species and habitat with high conservation values may be obtained from smallholder’s organisation and relevant government institution and competent NGOs.s and operation</p> <p>Status: WAGS HCV team to prepare training material and Field to conduct compulsory training for all group members.</p>												
OBS 3	<p>8.1: WAGS have established a program for continuous improvement as per Calendar of Activities. The main focus of WAGS currently is on improving the:</p> <ol style="list-style-type: none"> a. Documentation and Record Keeping of the farmers activities b. Continuous training program (i.e.: Waste Management, Agronomist Visit, Health and Safety) c. Annual Farm/Field Audit d. Smallholders Committee e. WAGS-012 Data From Farmers Logbook <p>The group manager has provided evidence that meeting with group members has been conducted by progress. In example, meeting has been conducted as below:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: center;">Date</th> <th style="text-align: center;">Smallholders Involved / Location</th> <th style="text-align: center;">Location Agenda of Meeting</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">19 Jan 2014</td> <td>- Sungai Kroh - New Village</td> <td>- Introduction to WA Projects - Agronomic issues and solutions - Current agricultural practices</td> </tr> <tr> <td style="text-align: center;">21 Feb 2014</td> <td>- Chow Kaw - Kim Teck Kok - Chan Seik Hong</td> <td>- Basis of WAGS project - Benefits of farmers in WAGS - Current agricultural practices</td> </tr> <tr> <td style="text-align: center;">22 Feb 2014</td> <td>- Khoo Woon Sure - Chong Chong Yau - Lai Kong Keong - Wong Ah San</td> <td>- Introduction to WAGS - RSPO Certification - Agronomic Issues and Solutions</td> </tr> </tbody> </table> <p>However, the continual improvement program with the participation of the group members is not available during the audit.</p>	Date	Smallholders Involved / Location	Location Agenda of Meeting	19 Jan 2014	- Sungai Kroh - New Village	- Introduction to WA Projects - Agronomic issues and solutions - Current agricultural practices	21 Feb 2014	- Chow Kaw - Kim Teck Kok - Chan Seik Hong	- Basis of WAGS project - Benefits of farmers in WAGS - Current agricultural practices	22 Feb 2014	- Khoo Woon Sure - Chong Chong Yau - Lai Kong Keong - Wong Ah San	- Introduction to WAGS - RSPO Certification - Agronomic Issues and Solutions
Date	Smallholders Involved / Location	Location Agenda of Meeting											
19 Jan 2014	- Sungai Kroh - New Village	- Introduction to WA Projects - Agronomic issues and solutions - Current agricultural practices											
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22 Feb 2014	- Khoo Woon Sure - Chong Chong Yau - Lai Kong Keong - Wong Ah San	- Introduction to WAGS - RSPO Certification - Agronomic Issues and Solutions											

Status: Escalated to Minor. Refer to 1379970N8
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3.3.2 Summary of the Nonconformities and Status

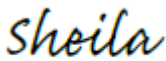

CAR Ref.	CLASS	ISSUED	STATUS
Previous CB			
Minor 01 (previous CB)-4.2	Minor	20 Oct 2014	Escalated to Major. Refet to 1379970M1
Minor 02 (previous CB)-4.6	Minor	20 Oct 2014	Closed
Minor 03 (previous CB)-4.7	Minor	20 Oct 2014	Escalated to Major. Refer to 1379970M3
Minor 04 (previous CB)-5.3	Minor	20 Oct 2014	Closed
Minor 05 (previous CB)-6.1	Minor	20 Oct 2014	Closed
Minor 06 (previous CB)-6.7	Minor	20 Oct 2014	Closed
Minor 07 (previous CB)-6.8	Minor	20 Oct 2014	Closed
Minor 08 (previous CB)-6.9	Minor	20 Oct 2014	Escalated to Major. Refer to 1379970M5
Observation 01- 4.5	Observation	20 Oct 2014	Closed
Observation 02- 5.2	Observation	20 Oct 2014	Closed
Observation 03- 8.1	Observation	20 Oct 2014	Escalated to Minor. Refer to 1379970N8
BSI MY 2016			
1379970M1- 4.2.2	Major	14 Oct 2016	Closed on 10 December
1379970M2- 4.6.11	Major	14 Oct 2016	Closed on 10 December
1379970M3- 4.7.3	Major	14 Oct 2016	Closed on 10 December
1379970M4- 6.1.3	Major	14 Oct 2016	Closed on 10 December
1379970M5- 6.9.2	Major	14 Oct 2016	Closed on 10 December
1379970M6- 5.5.2	Major	14 Oct 2016	Closed on 10 December
1379970N1- 4.2.3	Minor	14 Oct 2016	"Open"
1379970N2- 4.6.2	Minor	14 Oct 2016	"Open"
1379970N3- 4.7.5	Minor	14 Oct 2016	"Open"
1379970N4- 6.1.1	Minor	14 Oct 2016	"Open"
1379970N5- 6.1.4	Minor	14 Oct 2016	"Open"
1379970N6- 6.9.3	Minor	14 Oct 2016	"Open"
1379970N7- 6.10.2	Minor	14 Oct 2016	"Open"
1379970N8- 8.1.1	Minor	14 Oct 2016	"Open"
1379970N9- 1.3.1	Minor	14 Oct 2016	"Open"
1379970N10- 5.1.3	Minor	14 Oct 2016	"Open"
1379970N11- 5.2.3	Minor	14 Oct 2016	"Open"

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1379970N12- 5.4.1	Minor	14 Oct 2016	"Open"
1379970N13- 5.6.3	Minor	14 Oct 2016	"Open"
OBS- 6.1.2	OBS	14 Oct 2016	"Open"

Assessment Conclusion and Recommendation:

Based on the findings during the assessment *WAGS Air Kuning* Certification Unit and supply base complies with the RSPO Group Certification Standard 2016 for Independent Smallholder. It is recommended that the certification of *WAGS Air Kuning* Certification Unit is approved and continued.

Acknowledgement of Assessment Findings	Report Prepared by
Name: Sheila Senathirajah	Name: Mr Hoo Boon Han
Company name: Wild Asia Sdn Bhd	Company name: BSI Services Malaysia Sdn Bhd
Title: Technical Program Manager	Title: Lead Auditor
Signature:  Date: 13 December 2016	Signature:  Date: 13 December 2016

Appendix A: Summary of Findings

Group Certification Requirements

<p>Section A-1 Group Managers</p>	<p>Group Certification Requirements Element 1: Group Entity and Group Management requirements Element 2: The Internal Control System – Policies and management Element 3: The Internal Control System – Operations</p>
<p>Section A-2 Individual group members up to 50ha under oil palm cultivation</p>	<p>a) <u>up to 50ha under oil palm cultivation:</u></p> <ul style="list-style-type: none"> Section 3 - Table column 'Requirements for Individual Members up to 50 ha': requirements corresponding to them for P&C indicator compliance Section 3 - Table column 'Guidance for Individual Members up to 50 ha': further supporting guidance to aid with the implementation of the P&C indicators

Section A-1- Group Managers

Criterion / Indicator	Assessment Findings	Compliance
<p>Element 1 (E1): Group Entity and Group Management requirements Rationale: In order to be able to have commercial relationships in the transactions of FFB certificates the group entity carries a liability, which requires it to be legally registered.</p>		
<p>E1.1 The Group Entity shall be legally formed</p>		
<p>E1.1.1</p>	<p>There shall be documentary evidence of a clearly identified and legal entity. The Group Entity shall:</p> <ul style="list-style-type: none"> Be a registered organisation as defined by law in the country of registration (e.g. as a company or an organisation). Be a member of the RSPO Establish the structure of the organisation Appoint a Group Manager (see E1.2) 	<p>a. Be a registered organization as per law : Wild Asia Sdn Bhd : 634446 W dated 13/11/2003 b. RSPO membership- verified the letter titled "Acceptance as a member RSPO" -membership type: ordinary -category:oil palm growers -membersip no: 1-0138-13-000-00 -membership period: Mar 13 – Feb 14 -effective date:20/3/2013 c. The organization chart for the WAGS Air Kuning is made available during audit. The ICS committee including Group Managers, WAGS Technical Officers, WAGS Regional Field Programme Coordinator, WAGS Field Assistant Coordinator and Technical Support.Ms Nadiah is appointed as a person in-charge/Project Coordinator for</p> <p>Complied</p>

		<p>Perak Region. The job description for each person was established. (PC, Field Asst).</p> <p>d. Group Manager- Ms Sheila Senathirajah: Group Scheme Manager. The group manager responsible to ensures that the group meet the requirements of RSPO standard for Group Certification.</p>	
<p>E1.1.2</p>	<p>The Group Entity shall have documented membership requirements for the participation of individual members in the Group which will also cover new membership.</p> <ul style="list-style-type: none"> • There shall be documentary evidence that the Group members have formally joined the Group. • Formal members of the Group shall sign an agreement with the Group Manager committing to achieving compliance with the applicable RSPO standards and requirements. • The Group Manager shall keep copies of the agreements and shall demonstrate that each member has received a copy thereof. • The Group Manager shall retain copies for a minimum of 5 years. 	<p>Group member who want to joins the WAGS will need to undergo different level of risk assessment.</p> <p>For example, Level 1 for independent producer, Level 2 for legal rights, no disputes on land etc.</p> <p>After the members meet WAGS Risk assessment Criteria Level 1 & 2 only accepted as the group member.</p> <p>Guidelines on accepting a producer into the WAGS group scheme are available in Wild Asia Group Scheme Guidelines on WAGS Membership dated 22 July 2014. Baseline interviews and farm audits will need to be completed prior to membership sign up including application form, pre-inspection and checking on appropriate documents of farmers and internal approval.</p> <p>Verified the contract between the producer and the WAGS.</p> <ol style="list-style-type: none"> 1. Kiew Yau Jo:910414085351 (13/10/15) No 2. Sew Ng Moy:390214085000 (27/10/15) No 3. Teoh Yong Soong: 641107086263 (18/03/14) 4. Khoo Wan Thien; 530726086121 (19/03/14) <p>Original agreements were kept at site office, while farmers kept the copy of original and the softcopy will kept at the GSM HQ office.</p> <p>The records were kept for 5 years according to the WMS: 1.3.1 WAGS Membership Management Guidance, Clause 8.3 (issue date: 14/9/16) and</p>	<p>Complied</p>

		found adequately maintained at HQ office.	
E1.1.3	The Group Manager shall keep evidence that the nature and structure of the group has been communicated to all members of the Group in an appropriate manner.	<p>SOP-WMS 2.2.1: Managing Public Transparency (issue date: 14/9/16) mention about to provide adequate information on issues related to RSPO Criteria.</p> <p>SOP-WMS 3.1.1.1: Producer Group (PG) organization (issue date: 15/9/16) manage the producer group</p> <p>The training "WAGS Panduan Pengurusan Kebun Kelapa Sawit Mampan: T02 Guidance for Farm Management of SPO". The WAGS training records were verified.</p> <ol style="list-style-type: none"> 1. Kiew Yau Jo attended on 16/1/2016 2. Sew Ng Moy attended on 30/1/2016 3. Teoh Yong Soong attended on 13/6/2016 4. Khoo Wan Thien attended on 22/1/2016 <p>The organization chart available on the site office notice board.</p>	Complied
E1.2 The Group shall be managed by a Group Manager			
E1.2.1	<p>The appointed Group Manager shall be either an identified legal entity or an individual acting on behalf of the legal entity, i.e. the Group Entity (E1.1.1).</p> <p>The Group Manager shall ensure the Group's compliance with this standard and is responsible for the preparation and implementation of the Internal Control System (ICS).</p> <p>If the Group Manager is not an individual but an entity:</p> <ul style="list-style-type: none"> • then the entity shall appoint an individual as management representative • and there shall be a description of the general structure detailing the positions and responsibilities of all personnel involved. 	<p>Group Manager- Ms Sheila Senathirajah: Group Scheme Manager.</p> <p>The group manager responsible to ensures that the group meet the requirements of RSPO standard for Group Certification.</p> <p>Job Description mention about:</p> <ol style="list-style-type: none"> 1. person in charge/responsibilities of GM 2. Requirement for Group Manager <p>The WAGS programme which Ms Sheila is the Group manager, is managed independently under Wild Asia.</p>	Complied

<p>E1.2.2</p>	<p>The Group Manager shall be able to demonstrate sufficient resources and capacity for managing Group Certification and performance assessment against this Standard.</p>	<p>The management keep compliance to the farmers through established the SOP and Guidance-WMS 1.3.1 WAGS Membership Management (issue date: 14/9/16), Wild Asia Group Scheme Smallholder Training Summary (dated: 15/9/16) and WAGS Code of Conduct (updated: 15/9/16).</p> <p>WAGS Internal Audit Guideline (WMS 2.11.1) was established and the internal Audit was conducted by the management on 3-4/12/2016. The management was sample 5 out of 34. The findings were brief during meeting/on-site review. The internal audit report was verified by the assessor.</p> <p>The WAGS risk assessment checklist was conducted before the farmers become a member. The criteria were divided by 3 level:</p> <p>Level 1: Independent producer-no long term contractual obligation</p> <p>Level 2: Documented rights to land, Land dispute, Land developed after 2005, FFB Trading License, New developments</p> <p>Level 3: Topography, HCV, Planting on fragile soil, Employments, Facilities, Production records, Usage of banned or restricted chemicals, Fertilizer application.</p> <p>Internal control system for small producers (15/9/2016), WMS 1.3.1 G WAGS Membership Management (dated: 14/9/2016) and WAGS Code of Conduct was established for all members to be a member of WAGS.</p>	<p>Complied</p>
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<p>E1.2.3</p>	<p>The Group Manager and / or their personnel shall be able to demonstrate competence and knowledge of:</p> <ul style="list-style-type: none"> Principles and Criteria for the Production of Sustainable Palm Oil 2013 Endorsed by the RSPO Executive Board and Accepted at the Extraordinary General Assembly by RSPO Members on April 25th 2013 RSPO Management System Requirements and Guidance for Group Certification of FFB Production – March 2016 [this standard]. RSPO Supply Chain Certification Standard Final Document: As approved by RSPO Executive Board 21 November 2014 Internal group procedures and policies. 	<p>TOR WAGS Group Scheme Manager (Job Description) was described the responsibility and competence needed to be a Group Manager.</p> <p>The requirement to become a Group Manager describe in the Job Description:</p> <ol style="list-style-type: none"> Successful completion of the RSPO endorsed Lead Auditor course training. Has undergone related lead auditor training in related areas of Sustainable Palm Oil production Has conducted at least 5 palm oil sustainability related assessment Able to converse in local language Fully understands the WAGS code of conduct requirements. Internal auditor <p>All the staff have undergone the relevant training. The internal induction training records to demonstrate the competence and knowledge were conducted.</p>	<p>Complied</p>
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<p>E1.2.4</p>	<p>The Group Manager shall provide potential and existing Group members with the following:</p> <ul style="list-style-type: none"> • An explanation of the RSPO certification process. • An explanation of the criteria for group membership. • An explanation as to the Group Manager’s needs and the rights of the certification body to access the group members’ documentation and plantations for the purposes of evaluation and monitoring. • An explanation of the certification bodies and RSPO requirements with respect to public information. • An explanation of any obligations with respect to group membership, such as: <ul style="list-style-type: none"> ○ Maintenance of information for monitoring purposes; ○ Requirement to conform to conditions or corrective actions issued by the certification body. ○ Explanation of any costs associated with group membership. ○ Other obligations of group membership. 	<p>Compulsory training was conducted (T02 Guidance for Farm Management of SPO) covering all the requirement mentioned for all members especially on RSPO certification, criteria for group membership, group members’ documentation and plantation, agriculture practise, public information, annual budget, training, other obligation and etc. The last training was conducted on 13/7/2016.</p> <p>The requirement to confirm to conditions or corrective actions issued by the certification body describbed in the training.</p>	<p>Complied</p>
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Element 2 (E2): Internal Control System – Policies and Management

E2.1 The Group Internal Control System shall contain documented policies and procedures for operational management.

<p>E2.1.1</p>	<p>The Group Internal Control System shall contain Procedures for decision-making, and responsibilities within the group (including the authority of the Group Manager) shall be defined.</p> <p>The Group Manager shall manage the Group in a systematic and effective manner by:</p> <ul style="list-style-type: none"> • Identifying the geographical area to be covered by the Group. • Preparing, maintaining and documenting the Group management structure 	<p>WAGS ICS_v9_16042014 and WAGS Guidelines will show an operating structure that defines group management documentation (i.e. internal control systems), decision-making and responsibilities within the group.</p> <p>WAGS has the documented set of procedures and processes that a group implements to achieve its specified requirements. This also includes the Internal Control System (ICS)</p>	
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	<ul style="list-style-type: none"> Clearly identifying the responsibilities of all individuals employed by the Group Manager for the running of the Group. Prepare and maintain the rules of the Group including the criteria for membership. Organise at least one group meeting annually (see also 8.1.1 of Section 3 on preparation of group management plan). Procedure for initial gap audit which can be a self-assessment. 	<p>Conduct the Baseline using the SOP-WMS: 2.8.1-Scoping & Baseline Overview to identify the geographical area. The baseline Assessment was conducted on October 2014 for WAGS Perak- Air Kuning by Jyunichi Washizaki and Mrs Sheila. This assessment covered the socio-economic background, supply chain, social and environmental impacts and farm audit.</p> <p>A management was appointed Ms Nadiah Jalaludin as a Project coordinator for WAGS Perak – Air Kuning. Refer to Perak WAGS Org Structure.</p> <p>The criteria to be a member, they need to pass the risk assessment which have 3 level. This was guide by the SOP-WMS 2.10.1 G Producer Risk Assessment.</p> <p><u>Level 1:</u> Independent producer-no long term contractual obligation</p> <p><u>Level 2:</u> Documented rights to land, Land dispute, Land developed after 2005, FFB Trading License, New developments</p> <p><u>Level 3:</u> Topography, HCV, Planting on fragile soil, Employments, Facilities, Production records, Usage of banned or restricted chemicals, Fertilizer application.</p> <p>WMS 3.1.1.1: WAGS Producer Group Organisation- The meeting was conducted on quarterly basis. The latest was done on 11/5/2016 to discuss on the WAGS Perak Air Kuning Progress Report Q1 2016. The meeting was involving all the Project partner-Cargill, TSOMAK, Dealer and WAGS.</p> <p>The initial gap audit was conducted through WAGS Perak Risk Assessment Checklist as per stated in the WMS 2.10.1: Producer Risk Assessment.</p>	
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<p>E2.1.2</p>	<p>The Group Internal Control System shall contain Procedures for maintaining records for all Group members.</p> <p>The Group Manager shall implement a system to maintain the following central records and reports:</p> <ul style="list-style-type: none"> • List of names and full contact details of group members and applicable method of communication. • Location maps. Area of oil palm in hectares. • Land titles/right of use of the land. • A copy of the signed declaration of the grower becoming a member of the group including the date. • Unique member registration numbers are assigned to individual members. • The date that the member signed the declaration of intent as stated in the Group Membership Requirements. • Date of leaving the Group if applicable and the reasons why. • Projected and actual FFB production in metric tonnes per annum. • Monitoring and training records. • Any corrective actions raised and actions taken to meet the requirements for compliance. 	<p>The data monitoring sheet contains all the information of farmers.</p> <p>Sheet 3: Producer Registration_PG TJC was included all the information needed for all 34 farmers. E.g. date of compulsory training and monitoring, date joined member, unique member registration (WAGS ID No).</p> <p>Perak Producer Groups Map was established based on land title and GPS. The data base was maintained the area of oil palm in hectare for all the members.</p> <p>Verified the contract between the producer and the WAGS.</p> <ul style="list-style-type: none"> • Kiew Yau Jo:910414085351 (13/10/15) WAGS ID:Per-Pot-064 • Siber A/L Awat, WAGS ID:Per-Pot-112 • Tan A/P Uda: WAGS ID:Per-Pot-116 • Yee Ah King: WAGS ID:Per-Pot-136 • Zani A/L Itam: WAGS ID:Per-Pot-142 <p>Date leaving the WAGS also capture in the sheet 3:PG Producer Registration_PG TJC.</p> <p>The hectarage was monitored through Excel Sheet 4: PG Farm Registration_PG TJC that covered the information on the farm and issue on monitoring. The total certified area was 162.964Ha</p> <p>The production records was keep in the sheet 5: PG FFB_PG TJC which updated every quarterly.</p> <p>The monitoring and the training records was monitored through PG Activity Log_PG TJC</p> <p>The monitoring on the issue raised was monitored through Sheet 4: PG Registration_PG TJC, eg: Expired MPOB license, open burning, chemical spillage and etc.</p>	
<p>E2.1.3</p>	<p>Relevant group records shall be archived for a minimum of 5 years using an appropriate secure system.</p>	<p>The records were kept for 5 years according to the WMS: 1.3.1 WAGS Membership Management Guidance, Clause 8.3 (issue date: 14/9/16). The</p>	<p>Complied</p>

		<p>copy of all records were made available through an electronic database.</p> <p>During onsite visit, each smallholder has its own folder to keep the relevant documents such as land titles, training material and contracts.</p>	
E2.1.4	<p>The Group Internal Control System shall include an initial gap audit procedure (i.e. baseline assessment and needs for compliance) for applicants wishing to join the Group.</p>	<p>WAGS has the documented set of procedures and processes that a group implements to achieve its specified requirements. This also includes the Internal Control System (ICS) Conduct the Baseline using the SOP-WMS: 2.8.1- Scoping & Baseline Overview to identify the geographical area. The baseline Assessment was conducted on October 2014 for WAGS Perak- Air Kuning by Jyunichi Washizaki and Mrs Sheila. This assessment covered the socio-economic background, supply chain, social and environmental impacts and farm audit.</p> <p>The WAGS risk assessment checklist was conducted before the farmers become a member. The criteria were divided by 3 level:</p> <p><u>Level 1:</u> Independent producer-no long term contractual obligation</p> <p><u>Level 2:</u> Documented rights to land, Land dispute, Land developed after 2005, FFB Trading License, New developments</p> <p><u>Level 3:</u> Topography, HCV, Planting on fragile soil, Employments, Facilities, Production records, Usage of banned or restricted chemicals, Fertilizer application.</p>	Complied
Element 3 (E3): The Internal Control System – Operations			
E3.1 The Group Internal Control System shall develop and implement an internal audit programme of Group members.			
E3.1.1	<p>The Group Manager shall develop and implement the internal audit programme, which includes, but not</p>	<p>WAGS Internal Audit Guideline (WMS 2.11.1) was established and the internal Audit was conducted by the</p>	Complied

	<p>exclusively: timeline, operational plans, monitoring and evaluation records.</p> <p>As a minimum the following shall be included:</p> <ul style="list-style-type: none"> • Establish, implement and maintain (a) procedure(s) for internal audits which must include (but not be limited to) the methodology, competence of internal auditors, audit criteria, frequency of internal audits, and addressing non-conformity. • Conduct regular (at least annual) internal audits of Group members in order to confirm continued conformance with all the Group Certification requirements. • Maintenance of all internal audit records. 	<p>management on 3-4/12/2016. The management was sample 5 out of 34. Verified the audit report, the findings was brief during meeting/on-site review.</p> <p>Internal audit conducted by Peter Hill-refer to the procedure WMS 2.11.1, appendix 2: List of approved internal auditor for each WAGS producer group. The requirement was mentioned on successful completion of RSPO-Lead Auditor course training, undergone related lead auditor training in related areas such as sustainable palm oil production (optional), conducted at least 1 palm oil sustainability related assessment, fully understands the WAGS code of conduct requirements. Interviewed with Sr. Project Coordinator, he can demonstrate the WAGS code of conduct requirements.</p> <p>The records of internal audit conducted on 19/9/2014 by Sheila was kept and maintained in the softcopy at WAGS HQ office.</p>	
<p>E3.1.2</p>	<p>The Group Manager shall carry out a risk assessment of Group members to identify an appropriate sampling intensity of Group members for the certification assessment.</p> <p>The risk assessment shall take into account:</p> <ul style="list-style-type: none"> • the diversity of the Group members (i.e. range of size, management structure, scattered members with diverse plantation landscape such as terrain, etc.) • any perceived risk relating to the activities being undertaken (e.g. how much replanting or expansion is occurring, how many members are new and, for subsequent assessments, whether there is a history of non-conformities). 	<p>Before the farmers become a WAGS member, they need to go the Risk Assessment. Refer to the WMS 2.10.10-Producer Risk Assessment. The assessment was conducted in total 143 new members, however only 2 are not going for new certification for this year due to insufficient required documents. The latest risk assessment was conducted on 5/10/2015.</p> <p>Once become a member, the internal audit was conduct. The internal audit conducted by Peter Hill. Refer to the procedure WMS 2.11.1, appendix 2: List of approved internal auditor for each WAGS producer group.</p> <p>The total area for replanting in 2015 was 1.2513Ha. There is no replanting carried out in 2016.</p> <p>The risk assessment has been revised by incorporating the non-conformities from the CB. For example, related to new planting, yield and used of fire.</p>	<p>Complied</p>

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<p>E3.1.3</p>	<p>The Group Manager and the internal auditors shall jointly declare no conflict of interest for the internal audit process.</p>	<p>Refer to WMS 2.11.1: WAGS Internal Audit Guidelines, clause 2.7- Conflict of interest. The procedure stated that the internal inspectors cannot audit farms when there is a conflict of interest and the internal inspectors cannot be members of producer group committee.</p>	<p>Complied</p>
<p>E3.1.4</p>	<p>The Group Manager shall conduct initial gap audits with any potential new member, to assess the following pre-requisites for membership:</p> <ul style="list-style-type: none"> no plantings have replaced primary forest, or affected one or more High Conservation Values (HCVs) (RSPO P&C 2013 criteria 5.2 & 7.3) In the case of scheme smallholders, the company (owning/managing the mill) holds the liability for compensation for any new plantings undertaken since November 2005 and before 14th of May 2014. Following compliance with the compensation procedure, scheme smallholders may join the group. no existing land conflict. land title or right to use the land can be demonstrated. 	<p>WAGS has the documented set of procedures and processes that a group implements to achieve its specified requirements. This also includes the Internal Control System (ICS) Conduct the Baseline using the SOP-WMS: 2.8.1- Scoping & Baseline Overview to identify the geographical area. The baseline Assessment was conducted on October 2014 for WAGS Perak- Air Kuning by Jyunichi Washizaki and Mrs Sheila. This assessment covered the socio-economic background, supply chain, social and environmental impacts and farm audit.</p> <p>The WAGS risk assessment checklist was conducted before the farmers become a member. The criteria were divided by 3 level:</p> <p><u>Level 1:</u> Independent producer-no long term contractual obligation</p> <p><u>Level 2:</u> Documented rights to land, Land dispute, Land developed after 2005, FFB Trading License, New developments</p> <p><u>Level 3:</u> Topography, HCV, Planting on fragile soil, Employments, Facilities, Production records, Usage of banned or restricted chemicals, Fertilizer application.</p>	<p>Complied</p>
<p>E3.2 The Group Internal Control System shall include a system in place to enable the trading of RSPO certified Fresh Fruit Bunches (FFB) produced from the Group.</p>			
<p>E3.2.1</p>	<p>The Group Manager shall document and implement a system for the tracking and tracing of FFB produced by the group members, and intended to be sold as RSPO-certified FFB.</p>	<p>For FFB tracking the management use the form named "WAGS Perak_RSPO Volumes tracking". Verified the total FFB produce as follow: May 2016 – 255.82mt June 2016 – 288.78mt</p>	<p>Complied</p>

		<p>July 2016 – 389.31mt August 2016 – 319.57 The total April 15 – Mar 16 : 4505.36mt</p>	
E3.2.2	<p>There shall be a collective Group procedure for the sale of all certified FFB to ensure that non-certified FFB are not sold as RSPO certified FFB.</p> <p>If certified FFB is combined with non-certified FFB prior to the sale and delivery to a palm oil mill, a mass balance system shall be in place to ensure the quantity of FFB sold as Mass Balance is equal to the quantity of RSPO certified FFB in the mix.</p>	<p>The management had established the procedure WMS 2.12.1: FFB “Traceability/Chain of Custody” Guidelines. It describe on how to ensure that FFB from farm to collection center or mill is traceable and to ensure that there is documented system in place to record/track the volumes of individual FFB producers.</p> <p>To monitor the yield, the dealer keeps the trip records for each individual certified FFB farmer. The management will use the monitoring sheet 5: Pg FFB_PG TJC to monitor the sales records on quarterly basis between the certified and non certified FFB suppliers.</p>	Complied
E3.2.3	<p>All sales of FFB originating from the plantations of Group members shall be documented and recorded. This shall include:</p> <ul style="list-style-type: none"> • Invoices and receipts (purchase and sale). • Information on transport (i.e. registration number/number plate). • The relevant group members’ group identification number. • Classification of the FFB sold (i.e. RSPO certified or not), FFB volume and destination. • Information of FFB price. 	<p>The dealer keeps detailer of FFB volume per trip and the FFB price.</p> <p>The farmers keep the receipts of sale/invoices- on-site. It was verified during onsite visit.</p> <p>The management kept copy of the records (monthly) in the monitoring sheet 5: PG FFB_PG TJC</p> <p>Unique ID was established to monitor the certified FFB farmers. Eg:</p> <ol style="list-style-type: none"> 1. Kiew Yau Jo:910414085351, WAGS ID:Per-Pot-064 2. Siber A/L Awat, WAGS ID:Per-Pot-112 3. Tan A/P Uda: WAGS ID:Per-Pot-116 4. Yee Ah King: WAGS ID:Per-Pot-136 5. Zani A/L Itam: WAGS ID:Per-Pot-142 <p>Site team have started to keep records as of November 2016 (i.e: FFB price for Nov RM600)</p>	Complied
E3.2.4	<p>The Group Manager shall maintain copies of all documentation and records mentioned in E3.2.3 related</p>	<p>The records for 2014 were maintained and available at the HQ office. (softcopy)</p>	Complied

	to Group FFB transactions for a period of a minimum of 5 years.		
E3.2.5	<p>Traders of FFB shall be either part of the Group management system following this guidance or be RSPO Supply Chain certified in order to sell certified FFB. Traders of FFB are encouraged to be included within the Group certification control rather than obtain their own supply chain certification.</p> <p>The Group Manager will ensure that the trader has clear procedures to ensure that mass balance calculations are accurate if applicable and that all FFB sold by the trader is traceable back to the Group members.</p> <p>Guidance:</p> <ul style="list-style-type: none"> • There shall be a contract between the FFB trader and the • The FFB trader shall maintain complete purchase and sales records. • If the FFB Trader is RSPO Supply Chain certified, a copy of the certificate shall be provided to the Group Manager. 	<p>All the group members sent the FFB to the only dealer-Teik Joo Chan Sdn Bhd and the dealer will sent the FFB to the mill.</p> <p>The management had established the procedure WMS 2.12.1: FFB "Traceability/Chain of Custody" Guidelines. It describe on how to ensure that FFB from farm to collection center or mill is traceable and to ensure that there is documented system in place to record/track the volumes of individual FFB producers.</p> <p>WA submits a monthly tally of volumes certified sent to TSOMAK mill.</p> <p>The contract agreement with the dealer, Teik Joo Chan Sdn Bhd, 176826-X, was signed by Teoh Chai Hock (owner) on 19/5/2014.</p> <p>The management kept copy of the records (monthly) in the monitoring sheet 5: PG FFB_PG TJC which update by Teoh Yoke Teng, Field Assistant for WAGS Perak-Air Kuning.</p>	Complied

Section A-2- Individual group members up to 50ha under oil palm cultivation

Criterion / Indicator	Assessment Findings	Compliance
Principle 1: Commitment to Transparency		
Criterion 1.1: Growers and millers provide adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages and forms to allow for effective participation in decision making.		
1.1.1 There shall be evidence that growers and millers provide adequate information on (Environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.	Interviewed the farmer and confirmed all visitors and all requests for information are referred to the field assistant- Wilson or Ting and the field assistant will report to Group Manager. List of stakeholder register for the Air Kuning, Perak which updated on June 2016. The stakeholder cover all the dealership, mill, MPOB and etc. Quarterly progress report to project partner to update the whole project progress. Latest meeting minutes dated 11 May 2016. Verified onsite and a stakeholder/ communication logbook has kept all the communication letter between stakeholders. One of the documents regarding request support for Cargill CR Lead visit to Malaysia dated 8 September 2016.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall inform all Group members that all requests for information are referred to the Group Manager.</p>	<p>TO2 Training attended by all members 13 July 2016.</p> <p>All members hold a guidance of sustainable palm oil.</p> <p>All the group members were informed through below channel:</p> <ul style="list-style-type: none"> a. Training and Guidance booklet with the contact details b. Notice board with contact details at each site c. WAGS website 	
<p>The Group Manager shall provide adequate information on (Environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making</p>	<p>All information available in the TOU2 training for each members.</p> <p>Quarterly progress report to project partner. Latest meeting conducted on 11 May 2016.</p> <p>In WAGS website, it also stated relevant project site information such as no of members in group, hectarage, FFB production and etc.</p> <p>Notice board onsite contain information such as legal register, list of HCV and RTE, policies and consultation, communication procedure and etc.</p>	
<p>1.1.2 Records of requests for information and responses shall be maintained.</p>		
<p>Requirement for Group Manager</p>		<p>Complied</p>
<p>The Group Manager shall establish and maintain a system to keep records of requests for information and corresponding responses.</p>	<p>Verified onsite and a stakeholder/ communication logbook has kept all the communication letter between stakeholders. One of the documents regarding request support for Cargill CR Lead visit to Malaysia dated 8 September 2016.</p>	
<p>Criterion 1.2: Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.</p>		

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Criterion / Indicator	Assessment Findings	Compliance
<p>1.2.1 (M) Publicly available documents shall include, but are not necessarily limited to:</p> <ul style="list-style-type: none"> • Land titles/user rights (Criterion 2.2); • Occupational health and safety plans (Criterion 4.7); • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); • HCV documentation (Criteria 5.2 and 7.3); • Pollution prevention and reduction plans (Criterion 5.6); • Details of complaints and grievances (Criterion 6.3); • Negotiation procedures (Criterion 6.4); • Continuous improvement plans (Criterion 8.1); • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13). 		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.	Interviewed the farmer and confirmed all visitors and all requests for information are referred to the field assistant- Wilson or Ting and the field assistant will report to Group Manager.	
Requirement for Group Manager		
<p>Group Managers shall list the following documents as publically available and keep copies centrally:</p> <ul style="list-style-type: none"> • Land titles/user rights (Criterion 2.2); • Occupational health and safety plans (Criterion 4.7); • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); • HCV documentation (Criteria 5.2 and 7.3); • Pollution prevention and reduction plans (Criterion 5.6); • Details of complaints and grievances (Criterion 6.3); • Negotiation procedures (Criterion 6.4); • Continuous improvement plans (Criterion 8.1); • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13). 	<p>List of land titles copies were kept at the site office. The smallholders hold either valid land titles or the customary land; e.g. land title No- 129226; 338/78; and customary land rights approval letter dated 17 May 2016 which 48 native’s smallholders.</p> <p>Notice board onsite contain information such as legal register, list of HCV and RTE, OSHA and environmental plan, policies and consultation, communication procedure and etc.</p> <p>HCV and SEIA report are keep in head office and provide to the public upon request.</p> <p>Policy dated 04 Oct 2016 which available onsite.</p>	
<p>Criterion 1.3: Growers and millers commit to ethical conduct in all business operations and transactions.</p>		
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Minor

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Criterion / Indicator	Assessment Findings	Compliance
Individual members shall show that they have accepted and agreed the group's policy on ethical conduct	There is no evidence that individual members have accepted and agreed on the WAGS Group Policy which established 21 September 2016.	
Requirement for Group Manager		
The Group Manager shall develop a written policy committing the Group to a code of ethical conduct and integrity in all operations and transactions.	The WAGS Group Policy which established on 21 September 2016 has incorporating the key commitments such as ethical conduct, respect human rights, employment is voluntary and etc.	

Criterion / Indicator	Assessment Findings	Compliance
Criterion 2.1:		
There is compliance with all applicable local, national and ratified international laws and regulations.		
2.1.1 Evidence of compliance with relevant legal requirements shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
<p>Fulfil the requirements laid out by the Group Manager, such as attending relevant training, filling in the checklist/tools provided to guarantee legal compliance.</p> <p>Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.</p>	<p>The procedure named Legal register A 4.2.1 : Legal Register updated June 2016 was include all the legal and other requirements such as MPOB Regulation, Commercial Vehicle Licensing Board Act 1987, Wildlife Conservation Enactment 1997,EQA 1974, EQ (Declared Activities)(Open Burning) Order 2003,Workers Compensation Act 152, Workers' Minimum Standard Housing and Amenities, Pesticides Act, Minimum Wage Order 2015 etc.</p> <p>Assessment for Baseline was conduct to check the compliance to the legal requirements which had been conduct when the farmers want to join as a member of WAGS. The questioner was include basic the information related to legal:</p> <ul style="list-style-type: none"> - Land title - Dispute - New planting - Management - Storage - Type of chemical and fertilizer - FFB Production 	
Requirement for Group Manager		
<p>Ensure you can demonstrate to a third party that the laws are understood and complied with by Group members.</p>	<p>The procedure G06 WAGS Guidelines: Guidelines on Legal Compliances was established. It was mentioned about the scope, objectives and the importance of the procedure. This procedure was implemented to ensure that the farmers comply with all the legal requirements related to their farms.</p>	
<p>2.1.2 A documented system, which includes written information on legal requirements, shall be maintained.</p>		
Requirement for Individual Member with up to 50ha of plantation size	Complied	

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Criterion / Indicator	Assessment Findings	Compliance
<p>Fulfil the requirements laid out by the Group Manager, such as attending relevant training, filling in the checklist/tools provided to guarantee legal compliance.</p> <p>Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.</p>	<p>Assessment for Baseline was conduct to check the compliance to the legal requirements which had been conduct when the farmers want to join as a member of WAGS.</p> <p>TO2 Training was conducted and it mentioned about land title, dispute, new planting, GAP, Legal requirements and etc</p> <p>Notice board onsite contain information such as legal register, list of HCV and RTE, OSHA and environmental plan, policies and consultation, communication procedure and etc.</p> <p>Eg: MPOB expiry Licenses were monitored through excel sheet 3: PG Producer Registration_PG TJC.</p> <ol style="list-style-type: none"> 1. Khoo Wan Thien-TJC-97-SML (renew and the new expiry was 31/8/2021) 2. Lai Chuk Laek-TJC-112-SML (renew and the new expiry was 31/7/2021) 3. Alang Sali-Per-Pot-006 (renew and the new expiry was 31/8/2021) 	
Requirement for Group Manager		
<p>Group Managers shall:</p> <p>Have a list/'legal register' of all applicable laws and regulations and state:</p> <ul style="list-style-type: none"> • Where the laws were obtained from. • How they are circulated and how often and record this communication. • Who and how ensures that the laws are being implemented. • Who monitors and updates the list and how often. • Who records when updates are communicated. 	<p>The laws were obtained through Lawnet. If there is an amendment, the management communicate accordingly through email and phone call.</p> <p>Eg: GSM or technical officer team from HQ will update and records the amendments and circulated to the onsite officer to remind them on the amendments related to the minimum wages on 9 Aug 2016 by Ying Ying Lim, Technical Manager through email.</p>	
2.1.3 A mechanism for ensuring compliance shall be implemented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
Ensure you can demonstrate to a third party that the laws are understood and complied with by Group members	<p>The management ensure the farmers understood and complied with Law and regulation through the baseline Assessment, Risk Assessment, Training on T02 and Farm Audit. The farm audit report (WAGS-003: Producer Farm Audit Form) was conducted by Project Coordinator, which the last was conducted on 11/3/2016 to Mr Khoo Chong Soon (Per-Pot-001), Khoo Chong Siong (Per-Pot-002), Ismail A/L Yahya (Per-Pot-058), Itam Bin Kulop Draoh (Per-Pot-059).This audit was assessed on</p> <ul style="list-style-type: none"> - General Planting standards - Agriculture - Palm status and Disease - Farm Upkeep - Environmental and biodiversity 	
Develop tools such as checklists or booklets that your group members can use to help them implement the legal requirements.	<p>The training T02 Guidance for Farm Management was conducted. The module was talk about GAP, Health and safety, Laws, Social, RSPO and sustainable palm oil and code of conduct. The training records were verified. It was conducted on 18/9/2016 by Technical Manager and the Project Coordinator.</p>	Complied
2.1.4 A system for tracking any changes in the law shall be implemented.		
Requirement for Individual Member with up to 50ha of plantation size		N.A
N.A	N.A	
Requirement for Group Manager		
N.A	N.A	
Criterion 2.2: The right to use the land is demonstrated, and is not legitimately contested by local people who can demonstrate that they have legal, customary or user rights.		
2.2.1 Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
Check that the titles or deeds allow the growing of oil palm where this is required by country legislation	<p>There are two types of land title for oil palm plantation which are:</p> <p>a. Land title- Individual and Collective b. Customary land rights with approval letter</p> <p>Following samples:</p> <ol style="list-style-type: none"> 1. Kiew Yau Jo (Per-Pot-064) <ul style="list-style-type: none"> - Geran : 18403- 3.011 Ha (freehold) - MPOB Licence:520941501000- expired on 30/4/2019 2. Chen Saik Hoong (TJC-109-SML) <ul style="list-style-type: none"> - Geran: H.S (M) 145/78- 1.2404Ha (Leasehold) - MPOB: 449123601000 expired on 28/2/2020 3. Tan A/P Uda (Per-Pot-116) <ul style="list-style-type: none"> - JAKOA.PK.PT.B1/1/15(11), 0.81Ha - MPOB: 229505801000 expired on 30/9/2020 	
Requirement for Group Manager		
The Group Manager shall demonstrate documentary evidence of legal ownership or lease, history of land tenure and the actual legal use of the land according to local laws.	<p>Sheet 3: Producer Registration_PG TJC was included all the information needed for all 141 farmers. e.g. date of compulsory training and monitoring, date joined member, unique member registration (WAGS ID No).</p> <p>The hectarage was monitored through Excel Sheet 4: PG Farm Registration_PG TJC that covered the information on the farm and issue on monitoring.</p>	
Maps showing the legal boundaries shall be kept.	All the land title attached the maps showing legal boundaries. These land titles kept in each member folders.	
2.2.2 Legal boundaries shall be clearly demarcated and visibly maintained.		
Requirement for Individual Member with up to 50ha of plantation size	Complied	

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Criterion / Indicator	Assessment Findings	Compliance
Individual members shall demarcate the boundaries of their land.	Visited to the farm during field visit. All the farmers able to demonstrate where their boundaries. The boundaries was demarcate using: 1. Boundary stone; or 2. Drain; or 3. Frond Stacking.	
Requirement for Group Manager		
Check that boundaries are demarcated.	The boundaries was demarcate using: 1. Boundary stone; or 2. Drain; or 3. Frond Stacking.	
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).		
Requirement for Individual Member with up to 50ha of plantation size		N.A
N.A	N.A	
Requirement for Group Manager		
N.A	N.A	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
There are conflicts: Explain why and what is the current status. Update this status every quarter until finalised. Record all meetings and who attended.	At the time of the site visit, there is no land dispute in the WAGS Air Kuning. It was confirmed through interview the farmers and stakeholders.	
Requirement for Group Manager		
If there are conflicts: The Group Manager shall ensure that there is an ongoing process to resolve the conflict and ensure records of meetings are being kept by the group member.	At the time of the site visit, there is no land dispute in the WAGS Air Kuning. It was confirmed through interview the farmers and stakeholders.	
2.2.5 For any conflict or dispute over the land, the extent of the disputed area shall be mapped out in a participatory way with involvement of affected parties (including neighbouring communities where applicable).		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
In each case, open a case file starting with a statement regarding the boundaries under dispute outlining the issues and the scope.	At the time of the site visit, there is no land dispute in the WAGS Air Kuning. It was confirmed through interview the farmers and stakeholders.	
Requirement for Group Manager		
N.A	N.A	
2.2.6 To avoid escalation of conflict, there shall be no evidence that palm oil operations have instigated violence in maintaining peace and order in their current and planned operations.		
Requirement for Individual Member with up to 50ha of plantation size		N.A
N.A	N.A	
Requirement for Group Manager		
N.A	N.A	
Criterion 2.3: Use of the land for oil palm does not diminish the legal rights, customary or user right of other users without their free, prior and informed consent.		
2.3.1 Maps of an appropriate scale showing the extent of recognized legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighbouring communities where applicable, and relevant authorities).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Carry out the participatory mapping with involved parties (including neighbouring communities where applicable, and relevant authorities).	Group Manager has the approval letter from Jabatan Kemajuan Orang Asli (JAKOA; Department of Orang Asli Development) JAKOA.PK.PT.B1/1/15(11) and also the map for showing customary right. It is specifically for smallholder who under indigenous status. The rest of the smallholders hold a valid land titles.	

Criterion / Indicator	Assessment Findings	Compliance
<p>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:</p> <p>a) Evidence that a plan has been developed through consultation and discussion with all affected groups in the communities, and that information has been provided to all affected groups, including information on the steps that shall be taken to involve them in decision making;</p> <p>b) Evidence that the company has respected communities’ decisions to give or withhold their consent to the operation at the time that this decision was taken;</p> <p>c) Evidence that the legal, economic, environmental and social implications for permitting operations on their land have been understood and accepted by affected communities, including the implications for the legal status of their land at the expiry of the company’s title, concession or lease on the land.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Demonstrate that they have the right to use the land and or have customary rights over the land they farm.	At the time of the site visit, there is no land dispute in the WAGS Air Kuning. It was confirmed through interview the farmers and stakeholders.	
Requirement for Group Manager		
Keep copies of negotiated agreements between individual members and affected stakeholders in appropriate languages.	At the time of the site visit, there is no land dispute in the WAGS Air Kuning. It was confirmed through interview the farmers and stakeholders.	
<p>2.3.3 All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
For these processes appropriate local language will be used and negotiations conducted with appropriate representatives.	At the time of the site visit, there is no land dispute in the WAGS Air Kuning. It was confirmed through interview the farmers and stakeholders.	
<p>2.3.4 Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
For these processes appropriate local language will be used and negotiations conducted with appropriate representatives.	At the time of the site visit, there is no land dispute in the WAGS Air Kuning. It was confirmed through interview the farmers and stakeholders.	

Criterion / Indicator	Assessment Findings	Compliance
Principle 3: Commitment to long-term economic and financial viability		
Criterion 3.1:		
There is an implemented management plan that aims to achieve long-term economic and financial viability.		
3.1.1 A business or management plan (minimum three years) shall be documented that includes, where appropriate, a business case for scheme smallholders.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
This Criterion is not applicable to independent smallholders. See reference RSPO P&C 2013, under Criterion 3.1 Guidance. It is recommended for groups of smallholders to have a business plan for long-term economic viability of their operation, considering among others, cost of annual maintenance, replanting, potential expansion and long term sustainability of certification.	A business plan for the year 2016 is available which incorporating the planned activity such as filed operation, management resources & communication, smallholder technical support programme established and etc.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		NOT APPLICABLE
N.A	N.A	
Requirement for Group Manager		
N.A	N.A	

Criterion / Indicator	Assessment Findings	Compliance
Principle 4: Use of appropriate best practices by growers and millers		

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Criterion / Indicator	Assessment Findings	Compliance
Criterion 4.1: Operating procedures are appropriately documented, consistently implemented and monitored.		
4.1.1 Standard Operating Procedures (SOPs) for estates and mills are documented		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Group Manager develops appropriate SOPs for the group: <ul style="list-style-type: none"> • Ensure through a set procedure any pre-existing SOPs for BMP by current members, are compliant & consistent with the group SOPs • Keep a register of members who have pre-existing non-group SOPs that are accepted as compliant and consistent with group SOPs. 	WAGS Group Guidance was established to monitor the best practise, sighted: Training module that established was implemented as a SOP for WAGS. The module covered on: T01: Introduction to Wild Asia and RSPO Y02: Guidance for Farm Management T03: Introduction to documentation Training T04: Health and safety T05: Env management (for small farm) T06: Code of conduct and membership requirement T07: Social T08: New planting and replanting T09: FFB pricing and grading T10: BMP on harvesting T11: Common Pest and Disease The compulsory training was conducted which related to "T02 Guidance for Farm Management of SPO" covering all the requirement mentioned for all members especially on RSPO certification, criteria for group membership, group members' documentation and plantation, agriculture practise, public information, annual budget, training, other obligation and etc. The last training was conducted on 13/7/2016.	
4.1.2 A mechanism to check consistent implementation of procedures shall be in place.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
<p>The Group Manager has regular checks using procedures set at group level for SOP implementation.</p>	<p>Farm audit had been carried out for the farmers. The last training was conducted on 11/3/2016 to Mr Khoo Chong Soon9Per-Pot-001), KhooChong Siong (Per-Pot-002), Ismail A/L Yahya (Per-Pot-058), Itam Bin Kulop Draoh (Per-Pot-059). This audit was assessed on</p> <ul style="list-style-type: none"> - General Planting standards, - Agriculture - Palm status P&D - Farm Upkeep - Env and biodiversity <p>The internal audit was conducted to check the implementation, which the latest was conducted on 3-4 Dec 2015 by Peter Hill.</p> <p>Agronomic visit was carried out by Ms Izzati on July to Aug 2016, the element that covered during this visit were Land Preparation, planting technique, planting pattern, fertilizer programme, weeding programme, harvesting, pest and disease-bagworms, Financial and soil.</p>	
<p>4.1.3 Records of monitoring and any actions taken shall be maintained and available, as appropriate.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
<p>Responsibility of individual members to keep record of their own SOP implementation as per defined in group SOPs.</p>	<p>The Training material/SOPs were distributed to the farmers. The records of training and modules were kept at the project site office. During the interview, the farmers bring together the material/SOP given by the WAGS management.</p> <p>The internal audit was conducted to check the implementation, which the latest was conducted on 3-4 Dec 2015 by Peter Hill.</p> <p>Agronomic visit was carried out by Ms Izzati on July to Aug 2016, the element that covered during this visit were Land Preparation, planting technique, planting pattern, fertilizer programme, weeding programme, harvesting, pest and disease-bagworms, Financial and soil.</p>	

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
Group Manager oversees the individual record keeping by members	<p>The GM monitored the record keeping through OA 3.3 RSPO WA Guidance Checklist which indicates that what need to be include in the Farmer Folder especially on</p> <ul style="list-style-type: none"> - Training material - Membership contract - Land ownership doc - Map - MPOB License - Chemical, fertilizer and yield records. <p>The records of training and modules were kept at the project site office. The latest training (on-site) conducted on 19/9/16.</p>	
4.1.4 The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB).		
Requirement 3for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Group Manager is responsible to identify where all individual member farms are located as a means to identify FFB origin.	<p>Monitoring sheet 5 PG FFB_PG TJC was identify all the sources, receipt date, receipt no, total FFB received by mill. Sighted the record for April 2016,</p> <ol style="list-style-type: none"> 1. Cheah Khim Nam (TJC-76-SML) 4.14mt 2. Lai Chuk Laek (TJC-112-SML) 39.6mt 3. Tan Tai Man (TJC-71-SML) 2.66mt 4. Wong Choi (TJC-88-SML) 4.26mt 	
<p>Criterion 4.2: Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield</p>		
<p>4.2.1 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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
Group Manager to maintain regular records of soil fertility practices by all members as per SOPs.	<p>The records for each individual farmers was kept at HQ office, Monitoring sheet 7: PG Fert_PG TJC. It include the product name of fertilizers, total bags applied, total area applied, total trees applied.eg:</p> <ol style="list-style-type: none"> 1. Khoo Chong Soon (WAGS ID:Per-Pot-001) applied Kaka Compound 126 on 26/3/2016 for 166 palms (12 bags) 2. Cheah Khim Nim (WAGS ID:TJC-76-SML) applied Kaka Compound 126 on 2/3/2016 for 166 palms (11 bags) 3. Kim Tek Kong (WAGS ID:TJC-54-SML) applied Kamas Super 1+1 on 7/3/2016 for 271 palms (16bags) 	
4.2.2 Records of fertiliser inputs shall be maintained.		
Requirement for Individual Member with up to 50ha of plantation size		MAJOR
Responsibility of individual members to maintain fertilizer records.	The members kept the records of fertilizer applied using log book and it will be summaries by WAGS management for each individual members. However, some of the members was not kept the fertilizer records. Thus, the NCR was raised.	
Requirement for Group Manager		
Group Manager to provide template to record fertilizer usage and mill by-products usage.	<p>The records for each individual farmers was kept at HQ office, Monitoring sheet 7: PG Fert_PG TJC. It include the product name of fertilizers, total bags applied, total area applied, total trees applied.eg:</p> <ol style="list-style-type: none"> 1. Khoo Chong Soon (WAGS ID:Per-Pot-001) applied Kaka Compound 126 on 26/3/2016 for 166 palms (12 bags) 2. Cheah Khim Nim (WAGS ID:TJC-76-SML) applied Kaka Compound 126 on 2/3/2016 for 166 palms (11 bags) 3. Kim Tek Kong (WAGS ID:TJC-54-SML) applied Kamas Super 1+1 on 7/3/2016 for 271 palms (16bags) <p>However, the Monitoring sheet 7: PG Fert_PG TJC was not update. Thus, the NCR was raised due to this lapse</p>	

Criterion / Indicator	Assessment Findings	Compliance
4.2.3 There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status.		
Requirement for Individual Member with up to 50ha of plantation size		MINOR
N.A	N.A	
Requirement for Group Manager		
Group Manager conducts periodic tissue and soil sampling at minimum for a representative sample of group membership.	The WAGS management has establish a plan to conduct soil sampling on Sept-Oct 2016. Noted that, the soil sampling for the farmers is in progress. However, the periodic tissue sampling is yet to be conducted.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		N.A
N.A	N.A	
Requirement for Group Manager		
Group Manager oversees and ensures implementation of nutrient recycling for the group.	Not applicable as the smallholder did not apply any EFB or POME from the mill.	
Criterion 4.3: Practices minimise and control erosion and degradation of soils.		
4.3.1 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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Where available individual members shall provide soil maps of their own farm to the Group Manager.	The soil map was available at site office and found only 3 type of soil across the area based on Department of Survey and Mapping Malaysia: 1. Manik-Sogomana 2. Telemong-Akob 3. Holyrood-Harimau	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
Group Manager shall compile and maintain an overall soil map for the group.	The soil map was available at site office and found only 3 type of soil across the area based on Department of Survey and Mapping Malaysia: <ol style="list-style-type: none"> 1. Manik-Sogomana 2. Telemong-Akob 3. Holyrood-Harimau 	
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).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Group Manager develops a policy and procedure for planting on slopes.	The management has established the guidance on managing problematic soil (TSP: B 3.3.1-Checklist on Managing Problematic Soil) which covered the managing on problematic area (steep terrain, lateritic soils, acid sulphate soil, sandy soils, soil after specific land use change and organic soil)	
4.3.3 A road maintenance programme shall be in place.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
A road maintenance programme is maintained at Group level, this includes an approval process for any new roads being developed by individual members	The roads are maintained by farmers. The WAGS management only established the maps for all farmers that clearly marks on FFB evacuation route and conduct the participatory meetings with members to established how road are maintained. However, during this assessment the roads have been established before and no new road was being developed.	
4.3.4 Subsidence of peat soils shall be minimised and monitored. A documented water and ground cover management programme shall be in place.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
Individual members shall record water levels at regular basis as specified within group SOP	No peat soil in WAGS Perak-Air Kuning, verified the soil type maps was found that there is no peat soil involve in the WAGS-Air Kuning area.	
Requirement for Group Manager		
Group manage to have monitoring procedure for peat subsidence and water management for plantings on peat where relevant	No peat soil in WAGS Perak-Air Kuning, verified the soil type maps was found that there is no peat soil involve in the WAGS-Air Kuning area.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Group Manager develops regular drainability assessment schedule for the group and implements this	No peat soil in WAGS Perak-Air Kuning, verified the soil type maps was found that there is no peat soil involve in the WAGS-Air Kuning area.	
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).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
There is a group level policy and plan for managing fragile and problem soils occurring in the group. The Group Manager shall ensure implementation by individual group members.	No fragile and problematic soil in WAGS Perak-Air Kuning, verified the soil type maps was found that there is no fragile and problematic soil involve in the WAGS-Air Kuning area. It was confirmed during onsite visit too.	
Criterion 4.4: Practices maintain the quality and availability of surface and ground water.		
4.4.1 An implemented water management plan shall be in place.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
The responsibility of Group Manager	Training T05 Environmental Management was provided to the farmers to brief on the riparian and buffer zones.	
Group Manager shall have Map of all water ways and water bodies and have procedures as part of water management plan	The Map for Ecosystem Services – Major River, Water catchments. This map was done during SEIA and HCV of the WAGS Air Kuning Report on 2015.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Minor
Where applicable individual members shall demonstrate maintaining and restoring riparian and other buffer zones as specified within group SOPs.	<p>The TSP C 3.2.1: Riparian Protection was established and described about buffer zone, riparian buffer and natural river.</p> <p>Training T05 Environmental Management was provided to the farmers to brief on the riparian and buffer zones.</p> <p>However, during site visit found member practices blanket spraying including riparian area:</p> <ul style="list-style-type: none"> a. Teoh Swee Leng (AKN-POT-0312) b. Tang Su Seng (TJC-79-SML) 	
Requirement for Group Manager		
The responsibility of Group Manager	<p>The TSP C 3.2.1: Riparian Protection was established and brief about buffer zone, riparian buffer and natural river.</p> <p>Training T05 Environmental Management was provided to the farmers to brief on the riparian and buffer zones.</p>	
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).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
N.A	N.A	
4.4.4 Mill water use per tonne of Fresh Fruit Bunches (FFB) (see Criterion 5.6) shall be monitored.		
Requirement for Individual Member with up to 50ha of plantation size		N.A
N.A	N.A	
Requirement for Group Manager		
N.A	N.A	
Criterion 4.5: 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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
The responsibility of Group Manager. Have a written procedure on IPM.	The T02: Guidance for Farm Management focussing on IPM and T11: Common Pest and Diseases were established as the procedure for WAGS.	
4.5.2 Training of those involved in IPM implementation shall be demonstrated.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members must attend training.	The training was conducted on 30/8/2016,18/9/2016 and 17/9/2016 for T02: Guidance for Farm Management focussing on IPM. <ul style="list-style-type: none"> 1. Embong A/P Uda (WAGS ID: Per-Pot-55) 2. Cuaili Bin Sulim (WAGS ID: Per-Pot-51) 3. Dollah A/L Suman (WAGS ID:Per-Pot-53) 	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
Group Manager to provide IPM training.	<p>The training was conducted on 30/8/2016, 18/9/2016 and 17/9/2016 for T02: Guidance for Farm Management focussing on IPM.</p> <ol style="list-style-type: none"> 1. Embong A/P Uda (WAGS ID: Per-Pot-55) 2. Cuaili Bin Sulim (WAGS ID: Per-Pot-51) 3. Dollah A/L Suman (WAGS ID:Per-Pot-53) 	
<p>Criterion 4.6: Pesticides are used in ways that do not endanger health or the environment</p>		
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall be able to demonstrate knowledge of pest & applicable chemical use.	<p>The WAGS Management established the guidance, WMS E 3.3.1: OSH Safe Handling of chemicals, date 15/9/2016. This guidance was covered the aspects on register of chemical, chemical monitoring record, CHRA, monitoring of usage, training and tool.</p> <p>The training for T04: Health and Safety was conducted to all the workers on 14/7/2015. Verified the WAGS 004 Training Records_TJC, 4 workers from independent contractor were attended the training:</p> <ol style="list-style-type: none"> 1. Yulius Obi 2. Yeskiel Bau 3. Rudi 4. Saka <p>During site visit, the smallholder able to demonstrate knowledge of pest and applicable chemical use. For example, interviewed following stakeholder</p> <ol style="list-style-type: none"> a. Bahari bin Pandak b. Kiew Yau Jo <p>Trunk injection for bag worms in the farm.</p>	

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
<p>Group Manager to develop manual for pest & chemical use and relevant training.</p>	<p>The T02: Guidance for Farm Management focussing on IPM and T11: -*Common Pest and Diseases were established as the procedure for WAGS.</p> <p>The WAGS Management established the guidance, WMS E 3.3.1: OSH Safe Handling of chemicals, date 15/9/2016. This guidance was covered the aspects on register of chemical, chemical monitoring record, CHRA, monitoring of usage, training and tool.</p> <p>The training for T04: Health and Safety was conducted to all the workers on 14/7/2015. Verified the Records_TJC, 4 workers from independent contractor:</p> <ol style="list-style-type: none"> 1. Yulius Obi 2. Yeskiel Bau 3. Rudi 4. Saka 	
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		MINOR
<p>Individual members keep records of pesticides use.</p>	<p>The receipt of the chemical was keep by the farmers however some of the farmers was not keep it:</p> <ol style="list-style-type: none"> 1. Per-Pot-116 2. Per-Pot-052 <p>Thus, NCR was raised.</p>	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
Group Manager has oversight responsibility	<p>The records for each individual farmer were kept at HQ office using monitoring sheet 6: PG Chem_PG TJC. It include the product name, total litre used, total area applied, total trees applied, however the records were not update by the group manager:</p> <ol style="list-style-type: none"> 1. Per-Pot-018 2. Per-Pot-089 3. Per-Pot-116 4. Per-Pot-016 5. Per-Pot-054 6. Per-Pot-014 7. Per-Pot-052 <p>The amount of active ingredients applied per ha was not included in the monitoring for all the farmers.</p>	
<p>4.6.3 Any use of pesticides shall be minimised as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations identified in national Best Practice guidelines.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Responsibility of the Group Manager.	<p>The WAGS management conduct the participatory meeting with members to identify alternative pesticides that can be used of other biological method can be implemented. The WAGS management still in process of changing their mindset to implement IPM especially on beneficial plants.</p>	
<p>4.6.4 Pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimised and eliminated as part of a plan, and shall only be used in exceptional circumstances.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
Responsibility of the Group Manager.	The WAGS management conduct the participatory meeting with members to identify alternative pesticides or other biological method that can be used and implemented. The WAGS management still in process of changing their mindset to implement IPM especially on beneficial plants.	
<p>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).</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members ensure that anyone handling chemicals has attended relevant training.	<p>The training for T04: Health and Safety was conducted to all the workers on 14/7/2015. Verified Training Records_TJC, 4 workers from independent contractor:</p> <ol style="list-style-type: none"> 1. Yulius Obi 2. Yeskiel Bau 3. Rudi 4. Saka 	
Requirement for Group Manager		
Group Manager has oversight responsibility	<p>The training for T04: Health and Safety was conducted to all the workers on 14/7/2015. Verified Training Records_TJC, 4 workers from independent contractor:</p> <ol style="list-style-type: none"> 1. Yulius Obi 2. Yeskiel Bau 3. Rudi 4. Saka 	
<p>4.6.6 Storage of all pesticides shall be according to recognised best practices. All pesticide containers shall be properly disposed of and not used for other purposes (see Criterion 5.3).</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
Individual members store pesticides consistent with Group SOPs.	<p>The individual members engage the independent contractor, hence the chemical was stored by the contractor. Noted that, no outbreak of pest at all the sample farmers' area.</p> <p>Those members who spray by themselves always finish the pesticides at the same day.</p>	
Requirement for Group Manager		
Group Manager has oversight responsibility	WMS E.3.3.2.1: Safe Work Procedure on chemical storage, mixing and disposal that covered PPE, safe working procedure, handling of chemical, storage, chemical mixing and the disposal.	
4.6.7 Application of pesticides shall be by proven methods that minimise risk and impacts.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Responsibility of the Group Manager.	<p>The WAGS Management established the guidance, WMS E 3.3.1: OSH Safe Handling of chemicals, date 15/9/2016. This guidance was covered the aspects on register of chemical, chemical monitoring record, CHRA, monitoring of usage, training and tool.</p> <p>The training for T04: Health and Safety was conducted to all the workers on 14/7/2015. Verified Training Records_TJC, 4 workers from independent contractor:</p> <ol style="list-style-type: none"> 1. Yulius Obi 2. Yeskiel Bau 3. Rudi 4. Saka 	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
Responsibility of the Group Manager.	Not applicable since no aerial spray was applied.	
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).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Responsibility of the Group Manager.	The training for T04: Health and Safety was conducted to all the workers on 14/7/2015. Verified Training Records_TJC, 4 workers from independent contractor: <ol style="list-style-type: none"> 1. Yulius Obi 2. Yeskiel Bau 3. Rudi 4. Saka 	
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).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members must dispose of waste materials according to group SOPs.	WMS E.3.3.2.1: Safe Work Procedure on chemical storage, mixing and disposal that covered PPE, safe working procedure, handling of chemical, storage, chemical mixing and the disposal. During the interview with the farmers, the empty container was recycle to the recycle contractor and reuse as the drum water for spraying activities.	
Requirement for Group Manager		
Group Manager has oversight responsibility	WMS E.3.3.2.1: Safe Work Procedure on chemical storage, mixing and disposal that covered PPE, safe working procedure, handling of chemical, storage, chemical mixing and the disposal.	
4.6.11 Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated.		

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		MAJOR
N.A	N.A	
Requirement for Group Manager		
Group Managers to monitor occurrence of illnesses and health conditions of members and their workers that are handling agrochemicals, to identify needs for medical check-up.	<p>Noted that, no outbreak of pest at all the sample farmers' area. However, the individual members engage the independent contractor for spraying activities.</p> <p>Interviewed the farmers who appointed the villagers or family members as their workers for spraying activities. However no monitoring of occurrence of illnesses and health condition was done by group manager. Thus, the NCR was raised.</p>	
4.6.12 No work with pesticides shall be undertaken by pregnant or breast-feeding women.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members ensure no pregnant or breastfeeding women are handling pesticides.	No female workers were handling pesticides/chemicals	
Requirement for Group Manager		
Group Manager has oversight responsibility.	No female workers were handling pesticides/chemicals	
Criterion 4.7: An occupational health and safety plan is documented, effectively communicated and implemented. The health and safety plan shall cover the following:		
4.7.1 A health and safety policy shall be in place. A health and safety plan covering all activities shall be documented and implemented, and its effectiveness monitored.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
Members shall provide input to the development of the OHS policy and management plan	<p>Group member who want to joins the WAGS will need to undergo different level of risk assessment and join the SEIA assessment.</p> <p>For example, Level 1 for independent producer, Level 2 for legal rights, no disputes on land etc.</p> <p>After the members meet WAGS Risk assessment Criteria Level 1 & 2 only accepted as the group member.</p> <p>The risk assessment was conducted on Nov 2013 - May 2014 for the 1st group and 5/10/2015 for the 2nd group.</p> <p>The OHS training -T04: Keselamatan dan kesehatan pekerjaan was conducted to all the members. The training was conducted to all the workers on 14/7/2015. Verified Training Records_TJC, 4 workers from independent contractor:</p> <ol style="list-style-type: none"> 1. Yulius Obi 2. Yeskiel Bau 3. Rudi 4. Saka 	
Requirement for Group Manager		
Group Manager shall conduct a risk assessment in collaboration with members.	<p>Individual farmer who want to joins the WAGS will need to undergo different level of risk assessment.</p> <p>For example, Level 1 for independent producer, Level 2 for legal rights, no disputes on land etc.</p> <p>After the members meet WAGS Risk assessment Criteria Level 1 & 2 only accepted as the group member.</p> <p>The risk assessment was conducted on Nov 2013 - May 2014 for the 1st group and 5/10/2015 for the 2nd group.</p>	
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size	Complied	

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Criterion / Indicator	Assessment Findings	Compliance
Member shall collaborate with Group Manager to ensure dangers on farm are identified	<p>The training was conducted on 30/8/2016,18/9/2016 and 17/9/2016 for T02: Guidance for Farm Management:</p> <ol style="list-style-type: none"> 1. Embong A/P Uda (WAGS ID: Per-Pot-55) 2. Cuaili Bin Sulim (WAGS ID: Per-Pot-51) 3. Dollah A/L Suman (WAGS ID:Per-Pot-53) <p>The training topic incorporated the occupational, safety and health risk which identified during activities such as harvesting, manuring and spraying.</p>	
Requirement for Group Manager		
Based on the identified risks, an Occupational Health and Safety policy and/or plan shall be documented and implemented, including the need for medical insurance for workers appropriate to scale.	<p>WAGS Group policy (Version 01) was established which dated 4/10/2016 covering the occupational, safety and health.</p> <p>The Group Management Plan dated June 2016 was established to cover the occupational safety and health issues.</p>	
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		MAJOR
Members shall attend trainings related to OHS.	<p>The OHS training -T04: Keselamatan dan kesehatan pekerjaan was conducted to all the members. The training was conducted to all the workers on 14/7/2015. Verified Training Records_TJC, 4 workers from independent contractor:</p> <ol style="list-style-type: none"> 1. Yulius Obi 2. Yeskiel Bau 3. Rudi 4. Saka 	

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Criterion / Indicator	Assessment Findings	Compliance
Members shall implement the management plan and at least ensure the provision of PPE and medical check-ups for high risk workers. In the case of hazardous chemical use, a description of the relevant chemicals should be brought to the field.	Through the interview with the smallholders, the workers were wearing the appropriate PPE while working. However, the PPE used for the activity that is involved with the hazardous chemical was not adequate and relevant chemicals description did not brought to field. Thus, the MAJOR NCR was raised.	
Requirement for Group Manager		
N.A	N.A	
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Appropriate to scale, consider forming an Occupational Health Committee.	Not applicable as per OSH Act.	
Group Manager reviews the manual periodically.	WAGS Management System was established and reviewed on 15/9/2016.	
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		MINOR
Members shall report accidents on the farm to the Group Manager.	No accident so far. If accident happened, they will contact the respective field assistant from WAGS.	
Each member ensures that there is a first aid kit available at the work site when there is operation going on in the field.	Through interview, the members were told the assessor that the first aid kit was not available during the working activities: <ol style="list-style-type: none"> 1. Per-Pot-018 2. Per-Pot-089 3. Per-Pot-116 4. Per-Pot-052 Thus, NCR raised due to this lapse.	

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
Group Managers shall develop OHS / First Aid manual and distribute to all individual members.	<p>The training was conducted on 30/8/2016,18/9/2016 and 17/9/2016 for T02: Guidance for Farm Management including the OHS issue.</p> <ol style="list-style-type: none"> 1. Embong A/P Uda (WAGS ID: Per-Pot-55) 2. Cuaili Bin Sulim (WAGS ID: Per-Pot-51) 3. Dollah A/L Suman (WAGS ID:Per-Pot-53) <p>The training booklet was distributed to each farmer for reference.</p>	
Group Manager shall hold regular training based on Group OHS / First Aid manual for members and/or workers.	<p>The OHS training -T04: Keselamatan dan kesihatan pekerjaan was conducted to all the members. The training was conducted to all the workers on 14/7/2015. Verified the WAGS 004 Training Records_TJC</p> <ol style="list-style-type: none"> 1. Yulius Obi 2. Yeskiel Bau 3. Rudi 4. Saka 	
Group Manager shall record members' accidents on the farm.	As to date. No case of accident happened.	
4.7.6 All workers shall be provided with medical care, and covered by accident insurance.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Appropriate to scale, workers shall be provided with medical care and covered by medical insurance	N.A. No workers being employ permanently by the smallholders.	
If accidents occur involving casual workers, members shall be expected to provide medical care for the workers involved	As to date, no case of accident happened.	
Requirement for Group Manager		
N.A	N.A	
4.7.7 Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics		
Requirement for Individual Member with up to 50ha of plantation size		N.A
N.A	N.A	

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
N.A	N.A	
Criterion 4.8:		
All staff, workers, smallholders and contract workers are appropriately trained.		
4.8.1 A formal training programme shall be in place that covers all aspects of the RSPO Principles and Criteria, and that includes regular assessments of training needs and documentation of the programme.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Anyone working on the farm shall be briefed on best practices relevant to the job they are doing. Members and workers shall participate in the trainings where appropriate. Members inform the Group Manager on participation of workers in training	The training for T04: Health and Safety was conducted to all the workers on 14/7/2015. Verified the WAGS 004 Training Records_TJC from independent contractor: <ol style="list-style-type: none"> 1. Yulius Obi 2. Yeskiel Bau 3. Rudi 4. Saka 	
Requirement for Group Manager		
Group Manager shall ensure that all members are trained on the RSPO P&C and records of such training shall be kept	The training was conducted on 30/8/2016,18/9/2016 and 17/9/2016 for T02: Guidance for Farm Management. <ol style="list-style-type: none"> 1. Embong A/P Uda (WAGS ID: Per-Pot-55) 2. Cuaili Bin Sulim (WAGS ID: Per-Pot-51) 3. Dollah A/L Suman (WAGS ID:Per-Pot-53) <p>The training booklet was distributed to each farmer for reference.</p> <p>The training records were available during the audit.</p>	
Appropriate to scale, Group Manager shall prepare a training plan.	The plan for all farmers was established by the WAGS management.	
4.8.2 Records of training for each employee shall be maintained.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
Appropriate to scale, training records shall be kept.	<p>The training for T04: Health and Safety was conducted to all the workers on 14/7/2015. Verified the WAGS 004 Training Records_TJC from independent contractor:</p> <ol style="list-style-type: none"> 1. Yulius Obi 2. Yeskiel Bau 3. Rudi 4. Saka 	

Criterion / Indicator	Assessment Findings	Compliance
Principle 5: Environmental responsibility and conservation of natural resources and biodiversity		
Criterion 5.1:		
Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.		
5.1.1 An environmental impact assessment (EIA) shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall demonstrate an understanding of the environmental risks of their operations	<p>All the members have attended T05 Training which cover all the environmental impacts identified in the operations in the oil palm plantations.</p> <p>Interviewed the workers and they understand the environmental risk such as spillage of chemical and deforestation.</p>	
Requirement for Group Manager		
Group Managers shall identify all activities that have an impact on the environment.	SEIA and HCV of the WAGS Air Kuning which completed on 9 December 2015 has identified the 15 significant potential environmental impacts deriving from operational activities land clearing, land development and road construction at palm oil plantations.	
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.		

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall demonstrate an understanding of the mitigation plan to reduce the environmental impacts.	During site visit, smallholders well aware of the environmental impacts and the mitigation plan. For example, the empty chemical containers must be handled by triple rinse and punch after used.	
Individual members shall contribute to the reduction of environmental impacts	T05 Training – Environmental Management Training has been conducted with members. Panduan Pengurusan Kebun Kelapa Sawit Mampan distributed to every Group Member. During site visit, interviewed the smallholder and confirmed they know how to triple rinse and punch the chemical containers after used.	
Requirement for Group Manager		
Group Managers shall develop a mitigation plan to reduce environmental risks and review the plan every two years of mitigation plan.	Recommendation for each identified impacts were documented in the SEIA and HCV of the WAGS Air Kuning which completed on 9 December 2015.	
<p>5.1.3 This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Minor
N.A	N.A	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Group Managers shall organise training for members on environmental risks and mitigation measures.</p>	<p>All the members have attended T05 Training which cover all the environmental impacts identified in the operations in the oil palm plantations. The latest training conducted 5 September 2015.</p> <p>While the compulsory training which covered all the elements including environmental risks and mitigation measure has provided to all members (latest training dated 30 August 2016).</p> <p>Training records for each smallholder documented in WAGS-004 training records.</p>	
<p>Group Managers shall monitor implementation</p>	<p>Monitoring for the implementation of mitigation plan is lacking.</p>	
<p>Criterion 5.2: 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.</p>		
<p>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).</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Individual members shall demonstrate basic understanding of HCVs and RTEs and the need to protect them</p>	<p>Display on local RTEs is available during onsite audit.</p> <p>T05 Training – Environmental Management Training has been conducted with members.</p>	
<p>Individual members shall participate in the HCV assessment.</p>	<p>As per HCV findings of SEIA and HCV of the WAGS Air Kuning which completed on 9 December 2015, the methodology which incorporated site observation and consultation with local communities. The local villager, workers from estates and dealers were actively participated in the HCV assessment.</p>	
<p>Requirement for Group Manager</p>		

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Criterion / Indicator	Assessment Findings	Compliance
HCV assessments shall be conducted by an independent party, or where applicable, an internal assessment can be facilitated by the Group Manager (refer to generic P&Cs or NIs where available; see guidance).	SEIA and HCV of the WAGS Air Kuning conducted by the Wild Asia assessment team. Based on the HCV findings of SEIA and HCV of the WAGS Air Kuning which completed on 9 December 2015, the HCV being identified were absent and potential in the area.	
5.2.2 Where rare, threatened or endangered (RTE) species, or HCVs, are present or are affected by plantation or mill operations, appropriate measures that are expected to maintain and/or enhance them shall be implemented through a management plan.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall check with the Group Manager status of HCVs and RTEs of their farm based on the HCV assessment report	List of HCVS and RTEs findings display on the notice board is available during onsite audit.	
Requirement for Group Manager		
Group Managers shall develop action plans and SOPs (e.g. for RTE species, riparian areas) based on the HCV management and monitoring plan	The HCV management plan dated June 2016 for such as highlights members adjacent to protected areas/natural waterways/potential HCVs including as part of the regular field checks to ensure compliance, i.e clear boundaries and no encroachments.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Minor
Individual members shall make their workers aware of the status of RTE species and the applicable disciplinary measures.	The members are understand the ways of communication such as through meeting with field assistants, notice displayed on the notice board in Wild Asia office and Teik Joo Chan office and Oil Palm Management guideline distributed to each of the members.	
Requirement for Group Manager		
Group Manager conducts training for their individual members and their workers about the status of HCV and RTE species and the applicable disciplinary measures	No training has been provided to the individual members about the status of HCV and RTE species and the applicable disciplinary measures	

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Criterion / Indicator	Assessment Findings	Compliance
5.2.4 Where a management plan has been created there shall be ongoing monitoring: <ul style="list-style-type: none"> • The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported; • Outcomes of monitoring shall be fed back into the management plan. 		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall be involved in the implementation of the HCV management and monitoring plan (to maintain and/or enhance HCVs)	The responsibilities of group members is covered in T05 Environmental Management for Small Farms.	
Requirement for Group Manager		
Group Managers shall implement a mechanism for individual members to report on threats to HCVs	Logbook with details of threats to HCV (including sightings of RTE) available at the site office.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall be aware of the rights of other local communities that are related to identified HCVs and RTEs	Most of the smallholders has their own land. Interviewed them and they well aware the rights of other local communities related to identified HCVs and RTEs.	
Requirement for Group Manager		
In cases where there is an overlap of local community rights and HCV areas, the Group Manager shall initiate the negotiation of an agreement that optimally safeguards both the HCVs and these rights	Up to date, there is no reporting in cases where there is an overlap of local community rights and HCV areas. All owner has the legal land title or authority letter.	
Criterion 5.3: Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.		
5.3.1 All waste products and sources of pollution shall be identified and documented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
Appropriate to scale, the Group Manager shall ensure that there is a documented waste management and disposal plan is in place.	All the wastes such as domestic waste, schedule waste and solid waste with disposal/re-use method were identified in Waste & Pollution Sources Inventory which updated on 14 September 2016.	
5.3.2 All chemicals and their containers shall be disposed of responsibly.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Members shall ensure that all chemical containers are properly handled and disposed.	<p>Interviewed the smallholder and confirmed that surplus chemical containers disposed of such that there is no risk of contamination of water sources or to human health. The disposal through the seller. These containers subsequently sent to authorised collectors by the sellers.</p> <p>Casual workers who work for the smallholders will collect it back and sent to recycler or recycle for field activities such as spraying.</p>	
Requirement for Group Manager		
The Group Manager shall ensure that all chemical containers are properly handled and disposed	<p>T05 Environmental Management for Small Farmers Training which incorporated the disposal method of waste and T04- Health and Safety training which described the methodology of triple rinsed has been provided to all the smallholders.</p> <p>Interviewed the smallholder and confirmed that surplus chemical containers disposed of such that there is no risk of contamination of water sources or to human health.</p>	
5.3.3 A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Appropriate to scale, members shall have a documented waste management and disposal plan.	The documented waste management and disposal plan available at the group level. All the wastes such as domestic waste, schedule waste and solid waste with disposal/re-use method were identified in Waste & Pollution Sources Inventory which updated on 14 September 2016.	

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Criterion / Indicator	Assessment Findings	Compliance
Members shall communicate to all workers the waste management and disposal plan.	T02- Guidance for farm management of Sustainable Palm Oil and TO5 Environmental Management for Small Farmers Training which incorporated the disposal method of waste has been provided to all the smallholders including the workers. Training record documented WAGS-004- Training Records.	
Members shall ensure that the workers are trained on waste management and disposal. Records of such training shall be kept.	T02- Guidance for farm management of Sustainable Palm Oil and TO5 Environmental Management for Small Farmers Training which incorporated the disposal method of waste has been provided to all the smallholders including the workers. Training record documented WAGS-004- Training Records. Latest training provided to the farmer on January and April 2016 were verified.	
Requirement for Group Manager		
Appropriate to scale, the Group Manager shall ensure that there is a documented waste management and disposal plan is in place.	The documented waste management and disposal plan available at the group level. All the wastes such as domestic waste, schedule waste and solid waste with disposal/re-use method were identified in Waste & Pollution Sources Inventory which updated on 14 September 2016.	
Group Manager shall communicate to all members on the waste management and disposal plan.	T02- Guidance for farm management of Sustainable Palm Oil and TO5 Environmental Management for Small Farmers Training which incorporated the disposal method of waste has been provided to all the smallholders including the workers. Training record documented WAGS-004- Training Records.	

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Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall ensure that the members are trained on waste management and disposal. Records of such training shall be kept.</p>	<p>T02- Guidance for farm management of Sustainable Palm Oil and T05 Environmental Management for Small Farmers Training which incorporated the disposal method of waste has been provided to all the smallholders including the workers. Training record documented WAGS-004- Training Records. Latest training provided to the farmer on January and April 2016 were verified.</p>	
<p>Criterion 5.4: Efficiency of fossil fuel use and the use of renewable energy is optimised.</p>		
<p>5.4.1 A plan for improving efficiency of the use of fossil fuels and to optimise renewable energy shall be in place and monitored.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Minor</p>
<p>Appropriate to scale, members shall implement the actions as outlined in the Group’s plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.</p>	<p>Smallholders did not monitor the usage of fossil fuel which mainly for the transporation of the FFB. Farmers:</p> <ul style="list-style-type: none"> a. Engage casual workers for the activities in the farm such as spraying and harvesting 	
<p>Requirement for Group Manager</p>		
<p>Appropriate to scale, Group Manager shall have a plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.</p>	<p>Under the group management plan which dated 14 Sep 2016, following plan to mitigate polluting activities, i.e:</p> <ul style="list-style-type: none"> a. Conduct periodic mapping with meetings/participatory mapping with each site to understand sources of GHG emmissions & fossil fuel use b. Update register of all polluting activities and GHG emission sources at site <p>However, the plan is not implemented.</p>	
<p>Criterion 5.5: Use of fire for preparing land or replanting is avoided, except in specific situations as identified in the ASEAN guidelines or other regional best practice.</p>		
<p>5.5.1 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.</p>		

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall provide evidence that they understand the No Burning Policy of the group.	<p>Training has been provided. T05 Environmental Management for Small Farms and T02 Guidance to Farm Management has been provided to group members, covering the criteria of the No Burning Policy.</p> <p>Booklet- Panduan Pengurusan Kebun Kelapa Sawit Mampan distributed to every Group Member.</p>	
Requirement for Group Manager		
<p>The Group Manager shall:</p> <ul style="list-style-type: none"> • Provide evidence of a no use of fire policy in group SOPs. • Demonstrate that individual farms have been visited for this requirement. • Explain how all the above is socialised to individual members of the Group 	<p>Group Policy Statement dated 21 September 2016; clause 14 ENVIRONMENTAL IMPACT IS MINIMIZED stated the use fire for new developments should be avoided. Besides, the fire circular dated 15th September 2014 which described use of violation of the WAGS code of conducts and major non-compliance under RSPO with exception of serious pest and disease issues.</p> <p>In the baseline assessment for each farms, method (of developments) will be recorded. It documented in the farm registration sheet. In HCV assessment, there is no burning of waste spotted.</p> <p>Besides, guidance book which distributing to all farmers as well as the information display on the notice board also emphasize on the no use of fire policy.</p>	
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Major

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Criterion / Indicator	Assessment Findings	Compliance
Individual members shall provide proposals for use of fire to the Group Manager for assessment and approval prior to burning.	<p>Visited one of the farmer plot (AKN-POT-0137) found that the smallholder burning the standing palm. Interviewed the smallholder and confirmed that the burning due to the infertile palm.</p> <p>No proposal or approval has been submitted to Group Manager prior burning.</p>	
Requirement for Group Manager		
<p>The Group Manager shall:</p> <ul style="list-style-type: none"> • Demonstrate that any use of fire by any individual member has been assessed to be justified under the ASEAN guidelines ASEAN Policy on Zero Burning’ 2003. • Provide written approval from the relevant environment authority on the use of fire in certain situations as prescribed by the ASEAN guidelines. 	No proposal or approval has been submitted to Group Manager for using fire to burn a as well as no mechanism to enable smallholder for using fire.	
Criterion 5.6:		
Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.		
5.6.1 An assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent (see Criterion 4.4).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
List significant pollutants and identify sources of emissions.	SEIA – HCV Report lists all activities with environmental impacts (pollutants, emissions etc) and assessment results show the likelihood and risk of each. Options to improve on each activity rated as Moderate and Poor are provided as recommendations.	
5.6.2 Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimise them implemented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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N.A	N.A	
Requirement for Group Manager		
Identify options to reduce pollutants and emissions and consider whether the group can implement any of these	SEIA – HCV Report lists all activities with environmental impacts (pollutants, emissions etc) and assessment results show the likelihood and risk of each. Options to improve on each activity rated as Moderate and Poor are provided as recommendations.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Minor
N.A	N.A	
Requirement for Group Manager		
Based on the above, where possible, mitigation measures shall be developed and implemented. Socialize the information to the group members.	Mitigation measures for significant pollutants and identify sources of emissions is not available.	

Criterion / Indicator	Assessment Findings	Compliance
Principle 6: Responsible consideration of employees and of individuals and communities affected by growers and millers		
Criterion 6.1:		
Aspects of plantation and mill management that have social impacts, including replanting, are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.		
6.1.1 A social impact assessment (SIA) including records of meetings shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size		Minor

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Criterion / Indicator	Assessment Findings	Compliance
Individual members shall demonstrate an understanding of the social risks of their operations.	The members were unable to demonstrate what the risks of their operations to the social are. Through interview with the selected smallholders (Chia Liang Hwa, Lim Ching Seng and Tan a/p Uda) found that they were lacking of knowledge and understanding of the risks. The induction training given to the members was insufficient.	
Requirement for Group Manager		
Group Managers shall identify all activities that have social impacts with the participation of affected parties.	<p>Social impact Assessment conducted on 9 December 2015. The social risk have been identified:</p> <ul style="list-style-type: none"> a. Social Management System b. Land Acquisition c. Traceability & Fair Trade d. OSH e. Work Conditions f. Living Conditions g. Women & Children <p>The social impacts with the participation of internal and external stakeholders such as management, farmers and workers. None of the government bodies such as DOSH and DOE involve in the stakeholders meetings.</p>	
6.1.2 There shall be evidence that the assessment has been done with the participation of affected parties.		
Requirement for Individual Member with up to 50ha of plantation size		OBS
N.A	N.A	
Requirement for Group Manager		
Group Managers shall identify all activities that have social impacts with the participation of affected parties	The social impacts with the participation of internal and external stakeholders such as management, farmers and workers. None of the government bodies such as DOSH and DOE involve in the stakeholders meetings.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Major

Criterion / Indicator	Assessment Findings	Compliance
Individual members shall demonstrate an understanding of the mitigation plan to reduce the social impacts	The members do not aware and understand of the mitigation plan that developed by Wild Asia to reduce the social impacts as no training was given by Wild Asia.	
Requirement for Group Manager		
Group Managers shall develop a mitigation plan (with clear timetable) to reduce social risks and review the plan every two years in consultation with the affected parties.	SEIA and HCV of the WAGS Air Kuning conducted on 9 December 2015 has identified all the gaps or potential risk. However, no detail mitigation plan has been develop accordingly.	
Group Managers shall organise training for members on social risks and mitigation measures	T02 Guidance for Farm management of SPO Training which is a compulsory training for all the group members has incorporating the social elements such as child labour, basic human rights, no force labour and etc. Verified the training records and date: a. Chan Bon Siong- 31 May 2016 b. Chai Yoke Wah- 24 April 2016	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Minor
Where applicable, individual members shall help to address negative social impacts in a consultative manner.	The sampled members c. Bahari bin Pandak d. Kiew Yau Jo do not aware and understand of the mitigation plan that developed by Wild Asia to reduce the social impacts as no training was given by Wild Asia.	
Requirement for Group Manager		
Group Managers shall monitor implementation of mitigation plan.	No monitoring of implementation of mitigation plan as it not established yet.	
6.1.5 Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme).		
Requirement for Individual Member with up to 50ha of plantation size		N.A

Criterion / Indicator	Assessment Findings	Compliance
N.A	N.A	
Requirement for Group Manager		
N.A	N.A	
Criterion 6.2:		
There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.		
6.2.1 Consultation and communication procedures shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
The individual member shall demonstrate understanding of the group's consultation and communication procedures	The members are understand the ways of communication such as through meeting with field assistants, notice displayed on the notice board in Wild Asia office and Teik Joo Chan office and Oil Palm Management guideline distributed to each of the members.	
Requirement for Group Manager		
The Group Manager shall develop a documented procedure for consultation and communication with local communities and other affected or interested parties.	D1.2.1: Stakeholder Prioritization & Consultation Procedures dated 15 Sep 2016 has been established to ensure effective stakeholder participation.	
The Group Manager shall ensure that individual group members are informed of the consultation and communication procedure.	The consultation & communication procedure displayed on the site's public notice board.	
6.2.2 A management official responsible for these issues shall be nominated.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
The Group Manager shall nominate an official responsible for these issues	Nominated management person appointed and displayed at public notice board. For Ayer Kuning, the nominated person is the project coordinator- Ms Nadiah.	

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Criterion / Indicator	Assessment Findings	Compliance
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
<p>The Group Manager shall make a list of stakeholders or construct a "stakeholder register" and keep records of all communication and actions taken.</p>	<p>Document- D1.3.1 Stakeholders register which recorded all the list of stakeholders such as dealerships, MPOB and etc. Verified one of the email communication to mail manager dated 2 Sep 2016.</p> <p>At site, logbook for records of all communications. Stakeholder communication/ logbook has been implemented. Communication with the government authorities and the project partner are through email and has been documented.</p>	
<p>Criterion 6.3: There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all effected parties.</p>		
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
<p>Appropriate to scale, the member shall have a documented grievance mechanism in place</p>	<p>Wild Asia has distributed a copy of Oil Palm Management Guideline to all the members where the complaint and grievances procedure was in the guideline. Through interviewed with the members confirmed that they have received a copy of the guideline and understand on the complaint procedure.</p>	
<p>The workers shall understand the process.</p>	<p>Interviewed the smallholders as the understand they always can lodge any complaints to the field assistant or report to the site office.</p>	

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
The Group Manager shall have a documented grievance mechanism in place	Procedure- Managing Feedback, Complaints, Grievances and Action Requests (FCGA) dated 15 Sep 2016 established for handling complaints through appropriate informal methods prior to the use of the formal processes. In clause 3.4, it also stated to lodge a complaint anonymously.	
The Group Manager shall ensure members are familiar with the grievance procedure	T02 Guidance for Farm management of SPO Training which is a compulsory training for all the group members has incorporating the complaint and grievance procedure under WAGS Code of Conduct #11. Verified the training records and date: a. Chan Bon Siong- 31 May 2016 b. Chai Yoke Wah- 24 April 2016	
Where necessary, the Group Manager shall support members to put in place documented grievance mechanism	Grievance mechanism and nominated persons displayed on Public Notice Board for each site. The logbook at the site office available for lodging any complaints.	
6.3.2 Documentation of both the process by which a dispute was resolved and the outcome shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Appropriate to scale, the procedure shall provide documentation of both how the process of the dispute was resolved and the outcome	There was no any dispute case reported or unresolved during the audit.	
Requirement for Group Manager		
The procedure shall provide documentation of both how the process of the dispute was resolved and the outcome.	Procedure- Managing Feedback, Complaints, Grievances and Action Requests (FCGA) dated 15 Sep 2016; clause 5 described all the records must be documented and it is important that a paper trial to understand how issues were resolved. Up to date, no dispute has been recorded.	

Criterion / Indicator	Assessment Findings	Compliance
<p>Criterion 6.4: 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.</p>		
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
The Group Manager develops a procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation and a procedure for calculating and distributing fair compensation.	Procedure- Identification of Customary Land Rights & Compensation Procedures dated 15 Sep 2016 is to identify a process to address any form of land claim that may give rise to a dispute in the future.	
<p>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 transmigrants and long-established communities; and differences in ethnic groups' proof of legal versus communal ownership of land.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
The Group Manager develops a procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation and a procedure for calculating and distributing fair compensation.	In Procedure 2.3.2.2- Guidelines on Managing Legal Land Conflicts dated 15 Sep 2016- clause 3.5 described the legal compensation scheme shall in accordance with Land and Survey Department.	
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
Individual group members formally request assistance by the Group Manager in this process to assure compliance with the procedures	Up to date, no any issue related to compensation has been reported.	
Requirement for Group Manager		
The Group Manager documents the process and outcome of any negotiated agreements and compensation claims with evidence of the participation of affected parties, and makes this publicly available.	Up to date, no legal, customary or user rights issue.	
The Group Manager assists individual group members in these situations upon request by the member.	Up to date, no legal, customary or user rights issue.	
Criterion 6.5: Pay and conditions for employees and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.		
6.5.1 Documentation of pay and conditions shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Appropriate to scale, the members shall keep documentation of pay and conditions.	Part of the workers are supplied by the contractor, Teik Joo Chan and part of the farmers recruited the casual workers by their own. Therefore, no payslip is sighted for the workers as they are not permanent workers. The workers hired by the members were paid on daily basis once the job has been completed. For eg: a) Harvester was paid RM18- RM25/tonne of FFB harvested b) Loader was paid RM60/day	
The pay shall meet at least the legal or industry standards minimum wage.	Not applicable as all of the workers are considered as casual workers. They were paid based on daily rate and only pay when they have work.	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall be aware of the legal or industry standards minimum wage.</p>	<p>The Group Manager aware of the Minimum Wages Order 2016 which come into operations on 1 July 2016. The group manager has kept a list of legal register A4.2.1 and relevant copy of the minimum wage order.</p>	
<p>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.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>If individual members employ workers or sub-contractors:</p> <ul style="list-style-type: none"> • employment contracts and conditions (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be explained in the language they understand 	<p>Not applicable as all of the workers are considered as casual workers or they are managed the farm by the member on their own.</p>	
<p>Requirement for Group Manager</p>		
<p>Appropriate to scale, the Group Manager shall ensure that members comply with labour laws and conditions (6.5.2, 6.5.3 & 6.5.4)</p>	<p>The Group Manager communicate the relevant law and regulations through:</p> <ol style="list-style-type: none"> a. T02 Training (for every members) b. Display at the notice board c. List of legal register <p>Besides, the group manager ensure that members comply with the laws through:</p> <ol style="list-style-type: none"> a. Regular site visit and interview with farmers <p>Quarterly update of monitoring sheets for existing members on total number of workers employed. Latest update on 28 September 2016.</p>	
<p>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.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>

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Criterion / Indicator	Assessment Findings	Compliance
appropriate to scale, members 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	Not applicable as all of the workers are considered as casual workers. They were staying at their own houses.	
Requirement for Group Manager		
Appropriate to scale, the Group Manager shall ensure that members comply with labour laws and conditions (6.5.2, 6.5.3 & 6.5.4)	<p>Only dealer- Teik Joo Chan has provided the housing facilities to the farmers. The other farmers employed casual worker and outsource to a third party contractor.</p> <p>The Group Manager communicate the relevant law and regulations through:</p> <ul style="list-style-type: none"> a. T02 Training (for every members)- Guidance for Farm Management of SPO b. Display at the notice board c. List of legal register <p>Besides, the group manager ensure that members comply with the laws through:</p> <ul style="list-style-type: none"> a. Regular site visit and interview with farmers <p>Quarterly update of monitoring sheets for existing members on total number of workers employed. Latest update on 28 September 2016</p>	
6.5.4 Growers and millers shall make demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
appropriate to scale, members shall make efforts to ensure access to food to workers, including providing allotment (space) for growing food	Not applicable as all of the workers are considered as casual workers.	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
<p>Appropriate to scale, the Group Manager shall ensure that members comply with labour laws and conditions (6.5.2, 6.5.3 & 6.5.4)</p>	<p>T07 Social Training which incorporated information such as housing, minimum wages, welfare and etc. The latest of the social training conducted to the members on 22 September 2015.</p> <p>During SEIA which conducted in 9 December 2015, it also highlight the other facilities such as clinic are available at the nearest town (less than 10min).</p>	
<p>Criterion 6.6:</p>		
<p>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.</p>		
<p>6.6.1 A published statement in local languages recognising freedom of association shall be available.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>If individual members employ workers:</p> <ul style="list-style-type: none"> • A published statement shall be available in local languages recognising freedom of association (to form and join trade unions) 	<p>Most of the farmers are managed their land independently. Therefore, the policy does not directly applicable to them. However, Wild Asia has conducted training on the policy during induction training to the members. Last training was conducted on April and May 2016.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall be aware of the statement, if applicable</p>	<p>WAGS Group Policy dated 21 September 2016; version 1; clause 6 stated that members shall respect the right of its employees to freedom of association and collective bargaining.</p>	
<p>6.6.2 Minutes of meetings with main trade unions or workers representatives shall be documented.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Minutes of the meeting with main trade unions or workers' representatives shall be documented and kept</p>	<p>Most of the farmers are managed their land independently and they recruited casual workers. Therefore, they do not form or join any association.</p>	

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
N.A	N.A	
Criterion 6.7: Children are not employed or exploited.		
6.7.1 There shall be documentary evidence that minimum age requirements are met.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Member shall be aware of the child labour policy and implement it.	The members were aware of the policy of child labour. They do not recruited any children to work in the farm.	
Member shall keep records of their employees including age, including copies of birth certificate/national identification card/passport	Most of the farmers are managed their land independently and they recruited casual workers who were not underaged.	
Requirement for Group Manager		
Write a policy on Child Labour and keep records of documented evidence of awareness raising on child labour	WAGS Group Policy dated 21 September 2016; version 1; clause 4 stated that members shall not employed employee that is younger than 16 years old; employees under 18 are not employed in doing hazardous works.	
The policy shall be clear that children can only work under supervision, are family members and not doing hazardous work	WAGS Group Policy dated 21 September 2016; version 1; stated children can only work under supervision, are family members and not doing hazardous work.	
Criterion 6.8: Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.		
6.8.1 A publicly available equal opportunities policy including identification of relevant/affected groups in the local environment shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
Members shall be aware of the equal opportunities policies and implement it	Most of the farmers are managed their land independently. Therefore, the policy does not directly applicable to them. However, Wild Asia has conducted training on the policy during induction training to the members. Last training was conducted on April and May 2016.	
Requirement for Group Manager		
Write a policy on equal opportunities and keep records of documented evidence of awareness raising on it	WAGS Group Policy dated 21 September 2016; version 1; clause 5 stated that members shall practice equal opportunities. The latest of the social training conducted to the members on 22 September 2015.	
6.8.2 Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated against.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Members shall be aware of the equal opportunities policies and implement it	Most of the farmers are managed their land independently. They recruited casual workers which mean they hired anyone that is free to work for them.	
Requirement for Group Manager		
N.A	N.A	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Members shall be aware of the equal opportunities policies and implement it	Most of the farmers are managed their land independently. They hired the casual workers based on their availability and skills.	
Requirement for Group Manager		
N.A	N.A	

Criterion / Indicator	Assessment Findings	Compliance
<p>Criterion 6.9: There is no harassment or abuse in the work place, and reproductive rights are protected.</p>		
<p>6.9.1 Policy to prevent sexual and all other forms of harassment and violence shall be implemented and communicated to all levels of the workforce.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Appropriate to scale, members shall develop the policy/policies and procedure to prevent sexual, all other forms of harassment, violence and protection of reproductive rights	Most of the farmers are managed their land independently. Therefore, the policy does not directly applicable to them. However, Wild Asia has conducted training on the policy during induction training to the members. Last training was conducted on April and May 2016.	
Requirement for Group Manager		
Group Manager shall develop the Policy/Polices and procedure to prevent sexual, and all other forms of harassment, violence and protection of reproductive rights	WAGS Group Policy dated 21 September 2016; version 1; clause 7 & 9 stated respect women reproductive rights and harassment and abuse are not tolerated respectively. The latest of the social training conducted to the members on 22 September 2015	
<p>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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Major
Members shall make sure that all staff/workers are aware of the policies and procedures to prevent sexual, and all other forms of harassment and violence as well as of the policy of the protection of reproductive rights	Most of the farmers are managed their land independently. Therefore, the policy does not directly applicable to them. However, Wild Asia did not provide training on reproductive rights to the members.	
Requirement for Group Manager		
The Group Manager shall make sure that all members are aware of the policies and procedures to prevent sexual, and all other forms of harassment, violence and protection of reproductive rights	The latest of the social training conducted to the members on 22 September 2015. However, the training material did not incorporated the protection of reproductive rights.	

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Criterion / Indicator	Assessment Findings	Compliance
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.		
Requirement for Individual Member with up to 50ha of plantation size		Minor
Members shall be aware of the policy/policies and procedures for handling sexual and all other forms of harassment, violence and the protection of reproductive rights, in the language which the workers can understand	Most of the farmers are managed their land independently. Therefore, the policy does not directly applicable to them. However, Wild Asia has conducted training on the policy and briefed Oil Palm Management Guideline during induction training to the members. Last training was conducted on April and May 2016.	
Requirement for Group Manager		
The Group Manager shall ensure members are aware of the policy/polices and procedure for handling sexual and all other forms of harassment, violence and the protection of reproductive rights, in the language which the workers can understand	The latest of the social training conducted to the members on 22 September 2015. However, the training material did not incorporated the protection of reproductive rights.	
Criterion 6.10:		
Growers and mills deal fairly and transparently with smallholders and other local businesses.		
6.10.1 Current and past prices paid for Fresh Fruit Bunches (FFB) shall be publicly available.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Where Group Managers sell the FFB on behalf of the group members, the Group Manager shall inform group members of the price of FFB obtained.	Not applicable. The group manager did not sell FFB on behalf of the group members. Members sell FFB directly to the mill via the dealership.	
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).		
Requirement for Individual Member with up to 50ha of plantation size		Minor

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Criterion / Indicator	Assessment Findings	Compliance
The individual member understands the pricing mechanism of the purchaser	Interviewed with the members found that they were understood the pricing of FFB that they sold to dealer, Teik Joo Chan. They informed that the price is according the MPOB price. The current selling price was displayed in front of the office as well.	
Requirement for Group Manager		
The Group Manager shall record the general pricing mechanisms used by the purchaser/s of the FFB. The Group Manager shall record the corresponding information provided to the group members	The group manager did not record the general pricing mechanism used by the purchaser/s of the FFB.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Where Group Managers have the mandate to enter into contractual agreements on behalf of the group, the Group Manager shall inform group members about their content and make them available. These contracts shall also be fair, legal and transparent for the contractors. Where no such mandate exists, the Group Manager has to seek agreement from group members prior to entering contractual agreements with third parties. These contracts shall also be fair, legal and transparent for the contractors	Not applicable. The group manager has not entered any contractual agreements with third parties at the group level.	
6.10.4 Agreed payments shall be made in a timely manner.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

Criterion / Indicator	Assessment Findings	Compliance
<p>Agreed payments to local businesses shall be made in a timely manner</p>	<p>The smallholders were paid in cash once the FFB sent to the dealer. FFB were sold at Rm560/tonne on 19/9/2016.</p> <p>Besides, the casual workers were paid once they completed their jobs. For eg:</p> <p>a) Harvester were paid RM 18/tonne – Rm 25/tonne of FFB for month August 2016 depending on the age of palm harvested.</p>	
<p>Requirement for Group Manager</p>		
<p>Agreed payments to local businesses shall be made in a timely manner.</p> <p>If the Group Manager receives payment for the FFB produced by group members, the Group Manager shall make payments to the individual group members in a timely manner.</p>	<p>Not applicable.</p> <p>Smallholder always deal with local business directly.</p> <p>The Group Manager did not receives payment for the FFB produced by group members</p>	
<p>Criterion 6.11: Growers and millers contribute to local sustainable development where appropriate.</p>		
<p>6.11.1 Contributions to local development that are based on the results of consultation with local communities shall be demonstrated.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		
<p>The responsibility for meeting this requirement lies with the Group Manager</p>	<p>Not applicable. The WAGS group consists of all members from the local community, this criterion may not be applicable.</p>	
<p>Requirement for Group Manager</p>		<p>N.A</p>
<p>Evidence of consultation with local communities and stakeholders.</p> <p>Where contributions have been identified as necessary based on the consultation carried out, the Group Manager shall ensure that these are implemented</p>	<p>Not applicable. The WAGS group consists of all members from the local community, this criterion may not be applicable.</p>	
<p>6.11.2 Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve smallholder productivity.</p>		

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		N.A
N.A	N.A	
Requirement for Group Manager		
N.A	N.A	
Criterion 6.12: No forms of forced or trafficked labour are used.		
6.12.1 There shall be evidence that no forms of forced or trafficked labour are used.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Appropriate to scale, members shall have a policy on no forms of forced or trafficked labour	Most of the farmers are managed their land independently or recruited casual workers. Therefore, the policy does not directly applicable to them. However, Wild Asia has conducted training on the policy and briefed Oil Palm Management Guideline during induction training to the members. Last training was conducted on April and May 2016.	
Members/workers shall be aware of the policy and ensure that no forms of forced or trafficked labour are used	Most of the farmers are managed their land independently or recruited casual workers. Therefore, the policy does not directly applicable to them. However, Wild Asia has conducted training on the policy and briefed Oil Palm Management Guideline during induction training to the members. Last training was conducted on April and May 2016.	
Requirement for Group Manager		
The Group Manager shall write a policy on no forms of forced or trafficked labour	WAGS Group Policy dated 21 September 2016; version 1; clause 3 stated member shall not use forced labour, including prison labour, indentured labour, bonded labour or other forms of forced labour.	

Criterion / Indicator	Assessment Findings	Compliance
The Group Manager shall ensure that members/workers are aware of the policy and that no forms of forced or trafficked labour are used	<p>WAGS Group Policy dated 21 September 2016; version 1; display at the site notice board.</p> <p>Social Training which incorporated the forced labor issues has provided to the members. The latest of the social training conducted to the members on 22 September 2015.r</p>	
6.12.2 Where applicable, it shall be demonstrated that no contract substitution has occurred.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Members shall keep relevant records of employment contracts.	Most of the farmers are managed their land independently or recruited casual workers. Therefore, no record of employment contract is noted.	
Requirement for Group Manager		
N.A	N.A	
6.12.3 Where temporary or migrant workers are employed, a special labour policy and procedures shall be established and implemented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Where applicable, copies of post-arrival orientation programme and records of participation shall be kept.	Most of the farmers are managed their land independently or recruited casual workers. Therefore, no record of post-arrival orientation is noted.	
Requirement for Group Manager		
N.A	N.A	
Criterion 6.13: Growers and millers respect human rights.		
6.13.1 A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations (see Criteria 1.2 and 2.1).		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
Individual members to show evidence that they understand the policy	Most of the farmers are managed their land independently or recruited casual workers. Therefore, the policy does not directly applicable to them. However, Wild Asia has conducted training on the policy and briefed Oil Palm Management Guideline during induction training to the members. Last training was conducted on April and May 2016.	
Requirement for Group Manager		
Group Manager to develop policy to respect human rights i.e. that workers are treated with respect and dignity, and ensure that this is communicated through group members	WAGS Group Policy dated 21 September 2016; version 1; clause 2 stated member shall work to ensure that fundamental human rights shall be respected in its employment of employees. The policy display at the site notice board.	

Principle 7: Responsible development of new plantings
<p>Criterion 7.1:</p> <p>Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.</p>
<p>Not applicable. All members has gone through the different level of verification to ensure none of the farms involve in new planting prior accepted as the WAGS members.</p> <p>Auditor had verify on the land title & planting cycle and no new planting issue being detected in the samples.</p>

Criterion / Indicator	Assessment Findings	Compliance
Principle 8: Commitment to continual improvement in key areas of activity		
<p>Criterion 8.1:</p> <p>Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.</p>		

Criterion / Indicator	Assessment Findings	Compliance
<p>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.</p> <p>As a minimum, these shall include, but are not necessarily be limited to:</p> <ul style="list-style-type: none"> • Reduction in use of pesticides(Criterion 4.6); • Environmental impacts (Criteria 4.3, 5.1 and 5.2); • Waste reduction (Criterion 5.3); • Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); • Social impacts (Criterion 6.1); • Optimising the yield of the supply base. 		
Requirement for Individual Member with up to 50ha of plantation size		Minor
<p>Fulfil the requirements laid out by the Group Manager, such as attending relevant training, filling in the checklist/tools provided to guarantee legal compliance.</p> <p>Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.</p>	<p>The members have been attended the Social training conducted by FSO on 24/7/2015 and 22/9/2015. Besides, every new member has attended a compulsory training before they joined the group scheme. The last training was conducted on April – May 2016.</p>	
<p>Members shall provide inputs to the Group Action Plan for continual improvement.</p>	<p>SAM & BMP Mapping was conducted with the participation of members which contributed inputs for continual improvement on 24/9/2016 at Kampung Chenderong Kelubi, 29/9/2016 at TJC office and 2/10/2016 at Air Kuning. Survey forms of the mapping was noted.</p> <p>However, no documented evidence of report is sighted. Thus, a minor NC was raised.</p>	
<p>Members shall keep individual records of pesticide use, fertiliser application, FFB production etc. according to a standard template provided by the Group Manager</p>	<p>Producer Production Info form with ICS Code No. WAGS-004 dated 23/5/2014. The form recorded FFB production and sales information, purchase of chemical stock, fertilizer stock and equipment stock, chemical usage and fertilizer usage records. The usage of fertilizer and chemical has been recorded into the monitoring sheet by the field officer.</p>	
<p>Discuss with the Group Manager the timing of the replanting programme.</p>	<p>No any replanting activities up-to-date. The members were aware of the timing of replanting by their experience.</p>	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Group Managers shall record information on environmental impacts, waste reduction, pollution & GHG and social impacts.</p>	<p>The WAGS Group consist 175 members which seel FFB to only one dealer. The landscape of the area is 100% mineral soil and generally flat less than 25 degrees.</p> <p>The group manager maintain records of all its member farm operation; i.e. workers, fertilizer, FFB sales, legal requirements, land title, MPOB license, nature soil and etc.</p> <p>The group manager has develop a group management plan (WMS3.1.6.1) which consist all the information on environmental impacts, waste reduction, pollution & GHG and social impacts according to SEIA reports dated 9 December 2015.</p>	
<p>Group Managers shall periodically (e.g. quarterly) collate the records of individual members.</p>	<p>Group manager update the records of individual members on quarterly basics.</p>	
<p>Group Managers shall facilitate the development of the Group Action Plan through an annual group meeting.</p>	<p>Group manager has organized the quarterly meeting with the project partners and the latest one 13th May 2016.</p>	
<p>Group Managers shall be responsible for the continuous improvement in key operations.</p>	<p>Group Manager- Sheila is the person in charge for the continuous improvement in key operations. The group management plan being monitored by Group Manager.</p>	

Appendix B: Approved Time Bound Plan

Not applicable.

Appendix C: Certification Unit RSPO Certificate Details

WAGS Air Kuning

BSI RSPO Certificate No: RSPO 660787

Date of Initial Certificate Issued: 20 March 2015

Date of Expiry: 19 March 2020

RSPO membership number: 1-0138-13-000-00

Applicable Standards: RSPO Group Standard Certification 2016

WAGS Air Kuning Smallholder					
Location Address		Air Kuning, District Kampar Perak, Malaysia			
GPS Location		N 04° 13' 11.5"; E 101° 08' 27"			
Total Planted Area and Location		650.17 ha			
Total Number of Members		175 members			
Projected FFB		21,626.00 mt			
Projected CPO Tonnage Total		4,076.00 mt			
Projected PK Tonnage Total		1,170.00 mt			
Projected PKO Tonnage Total		526.50 mt			
Projected PKE Tonnage Total		643.50 mt			
*PKO & PKE based on 45:55 default conversion rate					
No	Smallholders	Certified Area/ Total land lease (ha)	No	Smallholders	Certified Area/ Total land lease (ha)
Trader : Teik Joo Chan Sdn Bhd					
1	Cheah Khim Nam	1.22	91	Itam Bin Kulop Draoh	2.40
2	Chen Saik Hoong	1.24	92	Jubit Bin Alang	1.21
3	Chia Kim Mee (Deceased)	2.43	93	Kiew Fang Ying	1.21
4	Chin Choy Kim	1.21	94	Kiew Yat Moi	4.45
5	Chong Chong Yau	6.48	95	Kiew Yau Fee & Kiew Yau Jo	1.38
6	Chong Ha Chai	2.43	96	Kiew Yau Jo	3.01
7	Chow Kaw	5.78	97	Kim Mooi @ Shum Chow Lin	1.23
8	Khiew Khuan Fong	1.21	98	Koo Chow Po	22.96
9	Khoo Wan Thien	1.21	99	Koo Chow Yong	22.18
10	Khoo Woon Swee	1.62	100	Koo Kam Yin	3.64
11	Kim Tek Kong	1.91	101	Khoo Woon Yee	1.16
12	Lai Chuk Laek	15.41	102	Lai Huat Seong	1.85
13	Lam Kok Heng	6.51	103	Lai Kok Sam	7.63
14	Lee Sing Yew	10.20	104	Lai Kong Keong	2.43

15	Leong Swee Kheong @ Leong Pak Cheng	3.13	105	Lam Soon Foong & Lam Soon Wai	1.77
16	Liew Kwet Lum	1.21	106	Lam Soon Tak	3.16
17	Lim Heng Saik	3.62	107	Lau Kean Chuong & Lau Kean Yi	2.48
18	Loo Kam Ying	2.07	108	Lau Kok Leong @ Liew Kuet Leong	2.49
19	Ng Ah Kiew	10.79	109	Law Say Mooi & Loke Chian Hoo	2.11
20	Phun Ying Kong @ Phang Ying Kong	5.00	110	Le Che Yek @ Lee Che Yek	1.33
21	Swi Tong Moi	1.22	111	Lee Ah Mooi @ Liew Sooi Mooi	1.14
22	Tam Loke Ying	6.97	112	Lee Chee Foong	1.51
23	Tan Ah See	4.45	113	Lee Kim Hong	0.85
24	Tan Boon Seng	4.89	114	Lee Kok Aun	4.03
25	Tan Song Bong	7.40	115	Leong Chong	10.19
26	Tan Tai Man	6.93	116	Leong Fook Kan	1.84
27	Tan Teik Hoe	5.05	117	Leong Kok Weng	1.61
28	Tang Su Seng	1.22	118	Liew Won Keong	1.62
29	Teoh Chai Hock	1.96	119	Liew Yet Poh	1.85
30	Teoh Yong Soong & Teoh Chai Hock	17.55	120	Lim Chin Yen	1.22
31	Teoh Yong Soong & Lai Chuk Laek	9.16	121	Lim Ching Seng	18.11
32	Wong Choi	2.58	122	Lim Hang Kuang	23.00
33	Wong Yun Fa	4.31	123	Lim Kean Beng	2.04
34	Yip Mow Lam	13.72	124	Liu Shay Fing & Liu Tet Fook	2.43
35	Ahmad Shafie Bin Chik	0.81	125	Loke Sit Fong & Ng Bee Keong	1.23
36	Ajus Bin Abas	3.83	126	Long A/L Aman	1.60
37	Alang a/l Bah Uda	0.81	127	Lucci a/l Long	3.24
38	Alang Bin Sali	1.82	128	Manap a/l Kawi	1.01
39	Alang Dul a/l Tunkut	2.43	129	Mohammad Rasid Bin Pandak	1.60
40	Alang Ronzi a/l Adang	1.21	130	Neoh Ah Seng	2.43

41	Alang Selamat a/l Bah Telpus	2.40	131	Ng Boon Heong	1.20
42	Amdan Bin Alang	1.21	132	Ng Kong Min	2.01
43	Andak a/p Dugan	1.20	133	Ngah a/l Uda	1.62
44	Andak Binti Ludin	1.21	134	Ngah a/p Suman	1.42
45	Azmi a/l Alang	4.00	135	Ngah Siden Bin Alang	1.62
46	Azmi Bin Dongkin	8.09	136	Pan Seng Chong & Lew Lan Foong	4.47
47	Bah Ngah Bin Osman	0.81	137	Pandak Bin Alang	3.78
48	Bahari Bin Pandak	4.45	138	Pandak Bin Kassim	3.24
49	Bay Buck Long	4.94	139	Panjang Dawi a/l Engah Demit	0.81
50	Beh Lai Hiang	1.21	140	Pehak A/P Uda	0.81
51	Chai Choy Kam	1.23	141	Ramli a/l Gandom	2.02
52	Chai Foh	9.69	142	Riza Binti Pandak	1.60
53	Chai Kok Han	4.00	143	Sew Ng Moy	1.32
54	Chai Kon Chin	6.31	144	Siber a/l Awat	1.62
55	Chai Mee Yuan	5.30	145	Sin Yew Fatt	1.38
56	Chai Mooi Sing	2.49	146	Soo Kim Tek @ Saw Kim Teik	6.82
57	Chai Shwee Kiong	4.70	147	Suraini a/p Guris	0.81
58	Chai Swee Khean	2.45	148	Tan a/p Uda	0.81
59	Chai Yoke Wah	1.26	149	Tan Boon Wah	3.65
60	Chai Yuen	7.76	150	Tang Cheng Yaou	30.33
61	Chan Bon Siong	0.81	151	Teoh Chai Hock & Lam Kok Heng	4.25
62	Chan Kow	2.46	152	Teoh Chai Lang	5.37
63	Chan Tak Onn	1.38	153	Teoh Eong Huat	6.20
64	Chau Sout Voon & Wong Siew Yaan	11.39	154	Teoh Mia Hooi	1.19
65	Cheong Koon Foong	2.49	155	Teoh Swee Leng	4.46
66	Chia Kim Chin	4.85	156	Than Ah Ahang	3.57
67	Chia Voon Hong	0.96	157	Tina A/P Amran	0.61
68	Chia Wan Hoong	2.45	158	Toh Yeong Cheng & Toh Yeong Haur	0.81

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69	Chia Yoon Fatt	1.22	159	Uda a/l Sidek	1.21
70	Chia Yoon Hing	2.85	160	Uda a/p Dugan	3.20
71	Chia Yoon Kong	2.58	161	Uda a/p Suman	1.00
72	Chia Yoon Seong	3.94	162	Uda s/o Alang Gimbut	3.24
73	Chin Tan Khew	5.04	163	Viking a/l Kok Nit	1.20
74	Chong Chin Woon	8.15	164	Wong Chee Choon & Chia Liang Hwa	2.60
75	Chong Fatt	1.25	165	Wong Khai Hoong	2.28
76	Chong Mooi	2.94	166	Wong Kooi Phin	1.13
77	Chong Wai Leong	12.32	167	Wong Sam	3.22
78	Chow Chan Keong	1.53	168	Yee Ah King	5.73
79	Chow Fu San	1.36	169	Yee Chaw	11.52
80	Chow Kok Leong	5.14	170	Yee Ken See	4.51
81	Chow Kok Sheong	3.70	171	Yew Kah Chuan @ Hyu Ah Ken	2.25
82	Chow Yau Wah	2.43	172	Yong Hee Fah	3.28
83	Cuaili Bin Sulim	1.60	173	Zakaria a/l Ameram & Long Tijah a/p Dongkin	4.65
84	Ditu Bin Long	2.83	174	Zani a/l Itam	2.43
85	Dollah a/l Suman	2.00	175	Zolkarnian Bin Manan	1.21
86	Dongkin a/l Kaway	6.21			
87	Embong a/p Uda	1.21			
88	Faridah A/P Dugan	1.20			
89	Hor Kok Yeen	3.20			
90	Ismail A/L Yahaya	3.60			

Appendix D: Assessment Plan

Date	Time	Subjects	Mohd Hafiz	Hu NS	Hoo BH
Thursday, 22/09/2016 Group Manager Elements	0830-0900	Opening Meeting: <ul style="list-style-type: none"> • Opening Presentation by Audit team leader. • Confirmation of assessment scope and finalize Audit plan (including stakeholder's consultation). • Review on documentation against Guidance for Group Certification of FFB Production 	√		√
	0900-1030	Element 1: Group Entity and Group Management requirements E1.1 The Group Entity shall be legally formed E1.2 The Group shall be managed by a Group Manager	√		√
	1030-1230	Element 2: The Internal Control System – Policies and management E2.1 The Group Internal Control System shall contain documented policies and procedures for operational management.	√		√
	1230-1330	Lunch	√		√
	1330-1700	Element 3: The Internal Control System – Operations E3.1 The Group Internal Control System shall develop and implement an internal audit program of Group members. E3.2 The Group Internal Control System shall include a system in place to enable the trading of RSPO certified Fresh Fruit Bunches (FFB) produced from the Group.	√		√
Friday, 23/09/2016 Group Manager Elements	0900-1130	Section 3 Guidance for Compliance with the RSPO P & C 2013 Requirement for Group Manager- P1-P8	√		√
	1130-1230	Interim Closing Meeting	√		√
Tuesday 11/10/2016	AM	Audit Team travelling to the site.	√	√	√
	PM	Meeting with stakeholders (Jabatan Kemajuan Orang Asli; Tapah Local Council; Department of Land)		√	√

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Date	Time	Subjects	Mohd Hafiz	Hu NS	Hoo BH
Wednesday 12/10/2016	0830-1200	<p>Opening Meeting:</p> <ul style="list-style-type: none"> Opening Presentation by Audit team leader. Confirmation of assessment scope and finalize Audit plan (including stakeholder’s consultation). <p>Document review P1 – P8: (General Documentation e.g. Legal, Manual and Procedure, production & monitoring records, IPM & HCV records, SEIA documents & records, OSH records, review pay documents, records of communication with stakeholder/workers representatives, new planting, CIP and implementation etc).</p>	√	√	√
	1000-1200	Meeting with stakeholders (dealer, village rep, smallholders, Workers Leader, contractor, FFB Reception etc.)	√	√	√
	1200-1300	Lunch	√	√	√
	1300-1630	Field visit: spraying activities, fertilizing, legal land use rights, land conflict, boundary pillars and riparian protection.- 6 smallholders	√	√	√
	1630-1700	Interim Closing Meeting	√	√	√
Thursday 13/10/2016	0830-1200	Field visit: spraying activities, fertilizing, legal land use rights, land conflict, boundary pillars and riparian protection. 4 smallholders	√	√	√
	1000-1200	Meeting with stakeholders (Government, village rep, smallholders, Workers Leader, contractor etc.)		√	
	1200-1300	Lunch	√	√	√
	1300-1700	Field visit: spraying activities, fertilizing, legal land use rights, land conflict, boundary pillars and riparian protection. 4 smallholders	√	√	√
	1630-1700	Interim Closing Meeting	√	√	√
Friday 14/10/2016	0830-1200	Field visit: spraying activities, fertilizing, legal land use rights, land conflict, boundary pillars and riparian protection. 6 smallholders	√	√	√
	0900-1100	Meeting with stakeholders (Government, village rep, smallholders, Workers Leader, contractor etc.)	√		

Date	Time	Subjects	Mohd Hafiz	Hu NS	Hoo BH
	1200-1300	Lunch	√	√	√
	1300-1600	Verify any outstanding issues & Preparation for closing meeting	√	√	√
	1600-1700	Closing Meeting	√	√	√
	1700	Audit Team travelling back to KL	√	√	√

Appendix E: Stakeholders Contacted

Internal Stakeholders	Union/Contractors/Local Communities
Workers from TJC (dealers) Smallholders (refer Appendix F for audited smallholders) Field assistant	Seasonal/Temporary Workers. Family members Village Representatives FFB Transport contractor
Government Departments	
Jabatan Kemajuan Orang Asli (JAKOA)	

Appendix F: List of Sampled Smallholders and Information

No.	Area/ District	State	Smallholder Block Number	Name of Registered Smallholder (as per Land Title)	Total Hectares stated on title/ Ha	IAV	ASA1
						2015	2016
Trader: Teik Joo Chan Sdn Bhd						X	X
2015							
1	Tapah	Perak	TJC-76-SML	Cheah Khim Nam	1.2173		X
2	Tapah	Perak	TJC-109-SML	Chen Saik Hoong	1.2404		X
3	Tapah	Perak	TJC-95-SML	Chia Kim Mee (Deceased)	2.43		
4	Tapah	Perak	TJC-73-SML	Chin Choy Kim	1.21		
5	Tapah	Perak	TJC-80-SML	Chong Chong Yau	6.484	X	
6	Tapah	Perak	TJC-74-SML	Chong Ha Chai	2.431		
7	Tapah	Perak	TJC-90-SML	Chow Kaw	5.7783	X	
8	Tapah	Perak	TJC-84-SML	Khiew Khuan Fong	1.21		X
9	Tapah	Perak	TJC-97-SML	Khoo Wan Thien	1.2121		
10	Tapah	Perak	TJC-87-SML	Khoo Woon Swee	1.62		X
11	Tapah	Perak	TJC-54-SML	Kim Tek Kong	1.911	X	
12	Tapah	Perak	TJC-112-SML	Lai Chuk Laek	15.4053	X	
13	Tapah	Perak	TJC-55-SML	Lam Kok Heng	6.5109	X	
14	Tapah	Perak	TJC-100-SML	Lee Sing Yew	10.2		
15	Tapah	Perak	TJC-89-SML	Leong Swee Kheong @ Leong Pak Cheng	3.1298		
16	Tapah	Perak	TJC-93-SML	Liew Kwet Lum	1.2088		
17	Tapah	Perak	TJC-101-SML	Lim Heng Saik	3.6215		
18	Tapah	Perak	TJC-102-SML	Loo Kam Ying	2.066		

No.	Area/ District	State	Smallholder Block Number	Name of Registered Smallholder (as per Land Title)	Total Hectares stated on title/ Ha	IAV	ASA1
						2015	2016
19	Tapah	Perak	TJC-62-SML	Ng Ah Kiew	10.79		
20	Tapah	Perak	TJC-96-SML	Phun Ying Kong @ Phang Ying Kong	4.9985	X	
21	Tapah	Perak	TJC-86-SML	Swi Tong Moi	1.2222	X	X
22	Tapah	Perak	TJC-57-SML	Tam Loke Ying	6.97		
23	Tapah	Perak	TJC-68-SML	Tan Ah See	4.452		
24	Tapah	Perak	TJC-78-SML	Tan Boon Seng	4.8918		
25	Tapah	Perak	TJC-70-SML	Tan Song Bong	7.3957		
26	Tapah	Perak	TJC-71-SML	Tan Tai Man	6.928		
27	Tapah	Perak	TJC-94-SML	Tan Teik Hoe	5.05		
28	Tapah	Perak	TJC-79-SML	Tang Su Seng	1.2217		X
29	Tapah	Perak	TJC-53-SML	Teoh Chai Hock	1.9597		
30	Tapah	Perak	TJC-58-SML	Teoh Yong Soong & Teoh Chai Hock	17.5492	X	
31	Tapah	Perak	TJC-127-SML	Teoh Yong Soong & Lai Chuk Laek	9.1629		
32	Tapah	Perak	TJC-88-SML	Wong Choi	2.5824		
33	Tapah	Perak	TJC-62-SML	Wong Yun Fa	4.3126		
34	Tapah	Perak	TJC-63-SML	Yip Mow Lam	13.7182		
2016							
35	Tapah	Perak	Per-Pot-003	Ahmad Shafie Bin Chik	0.81		
36	Tapah	Perak	Per-Pot-004	Ajus Bin Abas	3.83		
37	Tapah	Perak	Per-Pot-005	Alang a/l Bah Uda	0.81		
38	Tapah	Perak	Per-Pot-006	Alang Bin Sali	1.82		

No.	Area/ District	State	Smallholder Block Number	Name of Registered Smallholder (as per Land Title)	Total Hectares stated on title/ Ha	IAV	ASA1
						2015	2016
39	Tapah	Perak	Per-Pot-007	Alang Dul a/l Tunkut	2.43		
40	Tapah	Perak	Per-Pot-008	Alang Ronzi a/l Adang	1.21		
41	Tapah	Perak	Per-Pot-009	Alang Selamat a/l Bah Telpus	2.4		X
42	Tapah	Perak	Per-Pot-010	Amdan Bin Alang	1.21		
43	Tapah	Perak	Per-Pot-011	Andak a/p Dugan	1.2		
44	Tapah	Perak	Per-Pot-012	Andak Binti Ludin	1.21		
45	Tapah	Perak	Per-Pot-013	Azmi a/l Alang	4		
46	Tapah	Perak	Per-Pot-014	Azmi Bin Dongkin	8.09		X
47	Tapah	Perak	Per-Pot-015	Bah Ngah Bin Osman	0.81		
48	Tapah	Perak	Per-Pot-016	Bahari Bin Pandak	4.45		X
49	Tapah	Perak	Per-Pot-017	Bay Buck Long	4.9372		
50	Tapah	Perak	Per-Pot-018	Beh Lai Hiang	1.209		X
51	Tapah	Perak	Per-Pot-019	Chai Choy Kam	1.2282		
52	Tapah	Perak	Per-Pot-020	Chai Foh	9.6896		
53	Tapah	Perak	Per-Pot-021	Chai Kok Han	4		
54	Tapah	Perak	Per-Pot-022	Chai Kon Chin	6.309		
55	Tapah	Perak	Per-Pot-023	Chai Mee Yuan	5.2955		
56	Tapah	Perak	Per-Pot-024	Chai Mooi Sing	2.4926		
57	Tapah	Perak	Per-Pot-025	Chai Shwee Kiong	4.7032		
58	Tapah	Perak	Per-Pot-026	Chai Swee Khean	2.4463		
59	Tapah	Perak	Per-Pot-027	Chai Yoke Wah	1.2622		

No.	Area/ District	State	Smallholder Block Number	Name of Registered Smallholder (as per Land Title)	Total Hectares stated on title/ Ha	IAV	ASA1
						2015	2016
60	Tapah	Perak	Per-Pot-028	Chai Yuen	7.76		
61	Tapah	Perak	Per-Pot-029	Chan Bon Siong	0.8094		
62	Tapah	Perak	Per-Pot-030	Chan Kow	2.4584		
63	Tapah	Perak	Per-Pot-031	Chan Tak Onn	1.3816		
64	Tapah	Perak	Per-Pot-032	Chau Sout Voon & Wong Siew Yaan	11.3889		
65	Tapah	Perak	Per-Pot-033	Cheong Koon Foong	2.4941		
66	Tapah	Perak	Per-Pot-034	Chia Kim Chin	4.8531		
67	Tapah	Perak	Per-Pot-035	Chia Voon Hong	0.9611		
68	Tapah	Perak	Per-Pot-036	Chia Wan Hoong	2.4468		
69	Tapah	Perak	Per-Pot-037	Chia Yoon Fatt	1.2177		
70	Tapah	Perak	Per-Pot-038	Chia Yoon Hing	2.8454		
71	Tapah	Perak	Per-Pot-039	Chia Yoon Kong	2.5771		X
72	Tapah	Perak	Per-Pot-040	Chia Yoon Seong	3.9364		
73	Tapah	Perak	Per-Pot-041	Chin Tan Khew	5.0437		
74	Tapah	Perak	Per-Pot-042	Chong Chin Woon	8.1521		X
75	Tapah	Perak	Per-Pot-043	Chong Fatt	1.2456		
76	Tapah	Perak	Per-Pot-044	Chong Mooi	2.9364		X
77	Tapah	Perak	Per-Pot-045	Chong Wai Leong	12.3226		
78	Tapah	Perak	Per-Pot-046	Chow Chan Keong	1.5277		
79	Tapah	Perak	Per-Pot-047	Chow Fu San	1.3577		
80	Tapah	Perak	Per-Pot-048	Chow Kok Leong	5.1358		

No.	Area/ District	State	Smallholder Block Number	Name of Registered Smallholder (as per Land Title)	Total Hectares stated on title/ Ha	IAV	ASA1
						2015	2016
81	Tapah	Perak	Per-Pot-049	Chow Kok Sheong	3.7029		
82	Tapah	Perak	Per-Pot-050	Chow Yau Wah	2.4282		
83	Tapah	Perak	Per-Pot-051	Cuaili Bin Sulim	1.6		
84	Tapah	Perak	Per-Pot-052	Ditu Bin Long	2.83		X
85	Tapah	Perak	Per-Pot-053	Dollah a/l Suman	2		
86	Tapah	Perak	Per-Pot-054	Dongkin a/l Kaway	6.21		
87	Tapah	Perak	Per-Pot-055	Embong a/p Uda	1.21		
88	Tapah	Perak	Per-Pot-056	Faridah A/P Dugan	1.2		
89	Tapah	Perak	Per-Pot-057	Hor Kok Yeen	3.2		
90	Tapah	Perak	Per-Pot-058	Ismail A/L Yahaya	3.6		
91	Tapah	Perak	Per-Pot-059	Itam Bin Kulop Draoh	2.4		
92	Tapah	Perak	Per-Pot-060	Jubit Bin Alang	1.21		
93	Tapah	Perak	Per-Pot-061	Kiew Fang Ying	1.2108		
94	Tapah	Perak	Per-Pot-062	Kiew Yat Moi	4.4516		
95	Tapah	Perak	Per-Pot-063	Kiew Yau Fee & Kiew Yau Jo	1.3785		
96	Tapah	Perak	Per-Pot-064	Kiew Yau Jo	3.011		X
97	Tapah	Perak	Per-Pot-065	Kim Mooi @ Shum Chow Lin	1.2318		
98	Tapah	Perak	Per-Pot-066	Koo Chow Po	22.9627		
99	Tapah	Perak	Per-Pot-067	Koo Chow Yong	22.1767		
100	Tapah	Perak	Per-Pot-068	Koo Kam Yin	3.6422		
101	Tapah	Perak	Per-Pot-069	Khoo Woon Yee	1.1639		

No.	Area/ District	State	Smallholder Block Number	Name of Registered Smallholder (as per Land Title)	Total Hectares stated on title/ Ha	IAV	ASA1
						2015	2016
102	Tapah	Perak	Per-Pot-070	Lai Huat Seong	1.8464		
103	Tapah	Perak	Per-Pot-071	Lai Kok Sam	7.6347		
104	Tapah	Perak	Per-Pot-072	Lai Kong Keong	2.4281		
105	Tapah	Perak	Per-Pot-073	Lam Soon Foong & Lam Soon Wai	1.7705		
106	Tapah	Perak	Per-Pot-074	Lam Soon Tak	3.1616		
107	Tapah	Perak	Per-Pot-075	Lau Kean Chuong & Lau Kean Yi	2.4795		
108	Tapah	Perak	Per-Pot-076	Lau Kok Leong @ Liew Kuet Leong	2.4868		
109	Tapah	Perak	Per-Pot-077	Law Say Mooi & Loke Chian Hoo	2.1058		
110	Tapah	Perak	Per-Pot-078	Le Che Yek @ Lee Che Yek	1.327		
111	Tapah	Perak	Per-Pot-079	Lee Ah Mooi @ Liew Sooi Mooi	1.14		
112	Tapah	Perak	Per-Pot-080	Lee Chee Foong	1.5103		
113	Tapah	Perak	Per-Pot-081	Lee Kim Hong	0.8524		
114	Tapah	Perak	Per-Pot-082	Lee Kok Aun	4.0255		
115	Tapah	Perak	Per-Pot-083	Leong Chong	10.1921		
116	Tapah	Perak	Per-Pot-084	Leong Fook Kan	1.8412		
117	Tapah	Perak	Per-Pot-085	Leong Kok Weng	1.6077		
118	Tapah	Perak	Per-Pot-086	Liew Won Keong	1.6198		
119	Tapah	Perak	Per-Pot-087	Liew Yet Poh	1.8462		
120	Tapah	Perak	Per-Pot-088	Lim Chin Yen	1.2193		
121	Tapah	Perak	Per-Pot-089	Lim Ching Seng	18.1064		X
122	Tapah	Perak	Per-Pot-090	Lim Hang Kuang	22.9998		

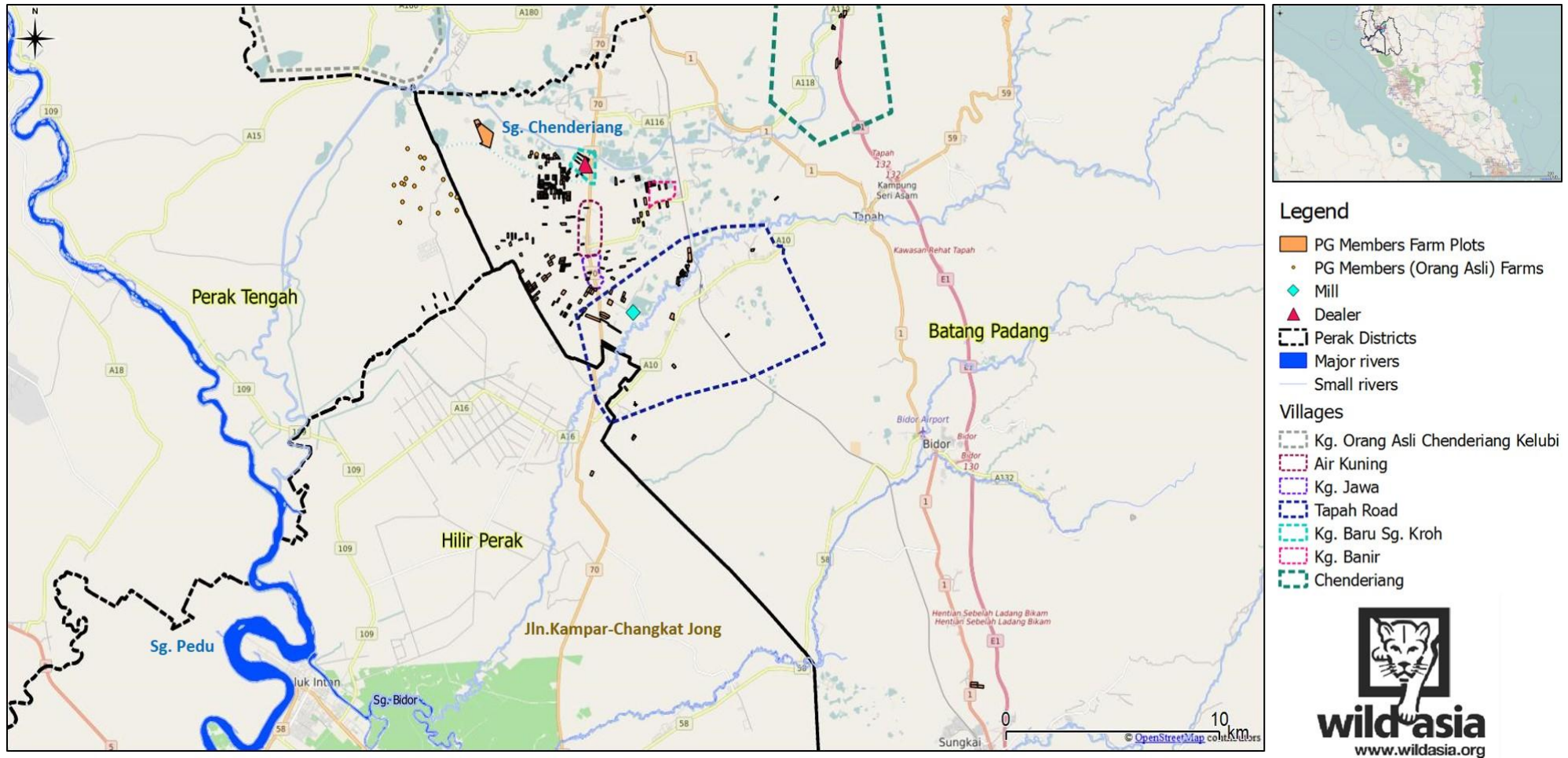
No.	Area/ District	State	Smallholder Block Number	Name of Registered Smallholder (as per Land Title)	Total Hectares stated on title/ Ha	IAV	ASA1
						2015	2016
123	Tapah	Perak	Per-Pot-091	Lim Kean Beng	2.04		
124	Tapah	Perak	Per-Pot-092	Liu Shay Fing & Liu Tet Fook	2.4342		
125	Tapah	Perak	Per-Pot-093	Loke Sit Fong & Ng Bee Keong	1.2254		
126	Tapah	Perak	Per-Pot-094	Long A/L Aman	1.6		
127	Tapah	Perak	Per-Pot-095	Lucci a/l Long	3.24		
128	Tapah	Perak	Per-Pot-096	Manap a/l Kawi	1.01		
129	Tapah	Perak	Per-Pot-097	Mohammad Rasid Bin Pandak	1.6		
130	Tapah	Perak	Per-Pot-098	Neoh Ah Seng	2.4334		
131	Tapah	Perak	Per-Pot-099	Ng Boon Heong	1.1967		
132	Tapah	Perak	Per-Pot-100	Ng Kong Min	2.0124		
133	Tapah	Perak	Per-Pot-101	Ngah a/l Uda	1.62		
134	Tapah	Perak	Per-Pot-102	Ngah a/p Suman	1.42		
135	Tapah	Perak	Per-Pot-103	Ngah Siden Bin Alang	1.62		
136	Tapah	Perak	Per-Pot-104	Pan Seng Chong & Lew Lan Foong	4.4672		
137	Tapah	Perak	Per-Pot-105	Pandak Bin Alang	3.776		
138	Tapah	Perak	Per-Pot-106	Pandak Bin Kassim	3.24		
139	Tapah	Perak	Per-Pot-107	Panjang Dawi a/l Engah Demit	0.81		
140	Tapah	Perak	Per-Pot-108	Pehak A/P Uda	0.81		
141	Tapah	Perak	Per-Pot-109	Ramli a/l Gandom	2.02		
142	Tapah	Perak	Per-Pot-110	Riza Binti Pandak	1.6		
143	Tapah	Perak	Per-Pot-111	Sew Ng Moy	1.3153		

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						2015	2016
144	Tapah	Perak	Per-Pot-112	Siber a/l Awat	1.62		
145	Tapah	Perak	Per-Pot-113	Sin Yew Fatt	1.3796		
146	Tapah	Perak	Per-Pot-114	Soo Kim Tek @ Saw Kim Teik	6.8218		
147	Tapah	Perak	Per-Pot-115	Suraini a/p Guris	0.81		
148	Tapah	Perak	Per-Pot-116	Tan a/p Uda	0.81		X
149	Tapah	Perak	Per-Pot-117	Tan Boon Wah	3.654		
150	Tapah	Perak	Per-Pot-118	Tang Cheng Yaou	30.3303		
151	Tapah	Perak	Per-Pot-119	Teoh Chai Hock & Lam Kok Heng	4.25		X
152	Tapah	Perak	Per-Pot-120	Teoh Chai Lang	5.3685		
153	Tapah	Perak	Per-Pot-121	Teoh Eong Huat	6.1953		
154	Tapah	Perak	Per-Pot-122	Teoh Mia Hooi	1.188		
155	Tapah	Perak	Per-Pot-123	Teoh Swee Leng	4.4559		X
156	Tapah	Perak	Per-Pot-124	Than Ah Ahang	3.5676		
157	Tapah	Perak	Per-Pot-125	Tina A/P Amran	0.61		
158	Tapah	Perak	Per-Pot-126	Toh Yeong Cheng & Toh Yeong Haur	0.8094		
159	Tapah	Perak	Per-Pot-127	Uda a/l Sidek	1.21		
160	Tapah	Perak	Per-Pot-128	Uda a/p Dugan	3.2		
161	Tapah	Perak	Per-Pot-129	Uda a/p Suman	1		
162	Tapah	Perak	Per-Pot-130	Uda s/o Alang Gimbut	3.24		
163	Tapah	Perak	Per-Pot-131	Viking a/l Kok Nit	1.2		
164	Tapah	Perak	Per-Pot-132	Wong Chee Choon & Chia Liang Hwa	2.5959		X

No.	Area/ District	State	Smallholder Block Number	Name of Registered Smallholder (as per Land Title)	Total Hectares stated on title/ Ha	IAV	ASA1
						2015	2016
165	Tapah	Perak	Per-Pot-133	Wong Khai Hoong	2.2809		
166	Tapah	Perak	Per-Pot-134	Wong Kooi Phin	1.1295		
167	Tapah	Perak	Per-Pot-135	Wong Sam	3.22		
168	Tapah	Perak	Per-Pot-136	Yee Ah King	5.7347		
169	Tapah	Perak	Per-Pot-137	Yee Chaw	11.5242		
170	Tapah	Perak	Per-Pot-138	Yee Ken See	4.5147		
171	Tapah	Perak	Per-Pot-139	Yew Kah Chuan @ Hyu Ah Ken	2.2498		
172	Tapah	Perak	Per-Pot-140	Yong Hee Fah	3.2808		
173	Tapah	Perak	Per-Pot-141	Zakaria a/l Ameram & Long Tijah a/p Dongkin	4.65		
174	Tapah	Perak	Per-Pot-142	Zani a/l Itam	2.43		
175	Tapah	Perak	Per-Pot-143	Zolkarnian Bin Manan	1.21		
				Total	685.84		

Appendix G: Location Map of Certification Unit and Smallholders



Appendix I: List of Abbreviations Used

AN	Ammoniacal Nitrogen
ANPN	National Park Agency Gabon
BOD	Biological Oxygen Demand
CHRA	Chemical Health Risk Assessment
CPO	Crude Palm Oil
DGEPN	Environmental Protection Agency Gabon
DOSH	Department of Occupational Safety & Health
EFB	Empty Fruit Bunch
EMS	Environmental Management System
FFB	Fresh Fruit Bunch
GMP	Good Manufacturing Practice
HCV	High Conservation Value
IAV	Initial Assessment Visit
IPM	Integrated Pest Management
ISCC	International Sustainable Carbon Certification
MSDS	Material Safety Data Sheet
O&G	Oil and Grease
PK	Palm Kernel
PPE	Personal Protective Equipment
PSQM	Plantation Sustainability and Quality Management
PQR	Performance Quality Rating
RC	Re-Certification
RED	Renewable Energy Directive
RSPO P&C	Roundtable on Sustainable Palm Oil Principle & Criteria
SCCS	Supply Chain Certification Standard
SEIA	Social & Environmental Impact Assessment
SIA	Social Impact Assessment
SOP	Standard Operating Procedure
SOU	Strategic Operating Unit
SS	Suspended Solids
TN	Total Nitrogen
TS	Total Solids
VFA	Volatile Fatty Acids