

**RSPO PRINCIPLE AND CRITERIA –  
2<sup>nd</sup> Annual Surveillance Assessment (ASA1\_2)  
Public summary Report**

<b>United Plantations Berhad</b>
Client company Address:  Jendarata Estate 36009 Teluk Intan Perak, Malaysia
Certification Unit: <b>United International Enterprise Palm Oil Mill and supply base (U.I. E Palm Oil Mill)</b>  Location of Certification Unit: Mail Bag No. 1 34900 Pantai Remis, Perak Darul Ridzuan Malaysia

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**Section 1: Scope of the Certification Assessment**

1. Company Details			
<b>RSPO Membership Number</b>	1-0004-04-000-00	<b>Membership Approval Date</b>	19/07/2004
<b>Parent Company Name</b>	United Plantations Berhad		
<b>Address</b>	Jendarata Estate 36009 Teluk Intan, Perak, Malaysia		
<b>Subsidiary (Certification Unit Name)</b>	United International Enterprise Palm Oil Mill (UIE Palm Oil Mill)		
<b>Address</b>	Mail Bag No. 1 34900 Pantai Remis, Perak Darul Ridzuan, Malaysia		
<b>Contact Name</b>	Mr C Mathews		
<b>Website</b>	<a href="http://www.unitedplantations.com">www.unitedplantations.com</a>	<b>E-mail</b>	<a href="mailto:cmm@unitedplantations.com">cmm@unitedplantations.com</a>
<b>Telephone</b>	+605 6411 411	<b>Facsimile</b>	+605 6416 220

2. Certification Information			
<b>Certificate Number</b>	RSPO 693198	<b>Date of First Certification</b>	29/09/2012
		<b>Certificate Start Date</b>	28/09/2017
		<b>Certificate Expiry Date</b>	28/09/2022
<b>Scope of Certification</b>	Palm oil and Palm Kernel Production		
<b>Applicable Standards</b>	RSPO P&C MYNI 2014 ; RSPO Supply Chain Certification Standard 2017 (CPO Mill – Module D)		

3. Other Certifications			
<b>Certificate Number</b>	<b>Standard(s)</b>	<b>Certificate Issued by</b>	<b>Expiry Date</b>
MSPO 693205	MS 2530-4:2013 Malaysia Sustainable Palm Oil (MSPO) Part 4 : General Principles for Palm Oil Mills	BSI Services Malaysia Sdn Bhd	27/09/2023
MSPO 693206	MS 2530-4:2013 Malaysia Sustainable Palm Oil (MSPO) Part 3 : General Principles for Oil Palm Plantations and Organized Smallholders		
RSPO 665456	RSPO NEXT		28/09/2022

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4. Location(s) of Mill & Supply Bases			
Name (Mill / Supply Base)	Location [Map Reference #]	GPS Coordinates	
		Latitude	Longitude
UIE Palm Oil Mill	Bag Mail No. 1 34900 Pantai Remis, Perak, Malaysia	4° 26' 53" N	100° 43' 11" E
UIE Estate (Division 1 & 2)	Bag Mail No. 1 34900 Pantai Remis, Perak, Malaysia	4° 26' 38" N	100° 43' 22" E

5. Description of Supply Base					
Estate	Total Planted (Mature + Immature) (ha)	HCV (ha)	Infrastructure & Other (ha)	Total Area (ha)	% of Planted
UIE Estate (Division 1 & 2)	8,957.75	10.53	1,400.92	10,369.20	86.39

6. Plantings & Cycle							
Estate	Age (Years)					Mature**	Immature
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30		
UIE Estate (Division 1 & 2)	1,038.47	7,605.67	313.61	-	-	7,919.28	1,038.47

7. Certified Tonnage of FFB (Own Certified Scope)			
Estate	Tonnage / year		
	Estimated (Sept 2018 – Aug 2019)	Actual (June 2018 – May 2019)	Forecast (Sept 2019 – Aug 2020)
UIE Estate (Division 1 & 2)	198,570	236,958.04	219,000

8. Certified Tonnage of FFB (from other certified unit(s)) if applicable *			
Estate	Tonnage / year		
	Estimated (Sept 2018 – Aug 2019)	Actual (June 2018 – May 2019)	Forecast (Sept 2019 – Aug 2020)
	N/A		N/A
<b>Total</b>			

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9. Non-Certified Tonnage of FFB (outside supplier – excluded from certificate) if applicable			
Independent FFB Supplier	Tonnage / year		
	Estimated (Sept 2018 – Aug 2019)	Actual (June 2018 – May 2019)	Forecast (Sept 2019 – Aug 2020)

10. Certified Tonnage			
	Estimated (Sept 2018 – Aug 2019)	Actual (June 2018 – May 2019)	Forecast (Sept 2019 – Aug 2020)
	FFB	FFB	FFB
<b>Mill Capacity: 60 MT/hr</b>  <b>SCC Model: IP</b>	214,013.3 mt	236,958.04 mt Sept 18 – May 19: 185,200.63 mt	245,400 mt
	<b>CPO (OER: 20.90%)</b>	<b>CPO (OER: 21.24%)</b>	<b>CPO (OER: 20.80%)</b>
	44,728.87 mt (with extension of volume)	50,320.54 mt Sept 18 – May 19: 39,095.52 (OER: 21.11%)	51,050 mt
	<b>PK (KER: 5.81%)</b>	<b>PK (KER: 3.86%)</b>	<b>PK (KER: 4.65%)</b>
	12,448.74 mt (with extension of volume)	9,141.45 mt Sept 18 – May 19: 7,250.99 (KER: 3.91%)	11,420 mt

License period start from 29/9/18 – 28/9/19

Extension of volume for CPO: 9,300 mt, PK: 3,600 mt in June 2019. Additional FFB of 44,497.15 mt based on 20.90% OER proportionate with 9,300 mt of CPO production.

11. Actual Sold Volume (CPO)					
	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSB		
<b>CPO (MT)</b>	33,012.35	-	-	5,987.65	39,000

12. Actual Sold Volume (PK)					
	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSB		
<b>PK (MT)</b>	7,141.65	-	-	58.35	7,200

<b>13. Actual Group certification Claims</b>		
	<b>Credit</b>	<b>Physical Volume (MT)</b>
<b>IS-CSPO</b>	-	-
<b>IS-CSPKO</b>	-	-
<b>IS-CSPKE</b>	-	-

## Section 2: Assessment Process

### Certification Body:

BSI Services Malaysia Sdn Bhd,  
(ASI Accreditation Number: ASI-ACC-067)  
Unit 3, Level 10, Tower A  
The Vertical Business Suites, Bangsar South  
No. 8, Jalan Kerinchi  
59200 Kuala Lumpur  
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[www.bsigroup.com](http://www.bsigroup.com)

BSI is a leading global provider of management systems assessment and certification, with more than 80,000 certified locations and clients in over 180 countries. BSI Standards is the UK's National Standards Body. BSI provides independent, third-party certification of management systems. BSI is ASI Accredited (ASI-ACC-067) to conduct RSPO assessment since 31/10/2014 with accredited office located at Kuala Lumpur, Malaysia and an office at Jakarta and Australia which involve in RSPO Certification Program.

### 2.1 Assessment Methodology, Programme, Site Visits

The on-site initial assessment was conducted from 11-13/06/2019. The audit programme is included as Appendix D. The approach to the audit was to treat the mill and its supply base as an RSPO Certification Unit. Mill was audited together with the sample estates. A range of environmental and social factors were covered. This includes consideration of topography, palm age, proximity to areas with HCVs, declared conservation areas and local communities.

The methodology for collection of objective evidence included physical site inspections, observation of tasks and processes, interviews of staff, workers and their families and external stakeholders, review of documentation and monitoring data. RSPO Principles & Criterias 2013 (MY-NI 2014) and RSPO Supply Chain Certification Standard 2017 were used to guide the collection of information to assess compliance. The comments made by external stakeholders were also taken into account in the assessment.

The approach to the audit was to treat the mill and its supply base as an RSPO Certification Unit. The mill was audited together with the estates (or smallholders) of its supply base.

- The minimum sample size is four estates. Sample size for certification unit with more than four (4) estates were determined based on formula  $N = (0.8\sqrt{y}) \times (z)$  where y is the number of estates and where z is the multiplier defined by risk assessment
- As for the smallholders, the sample were determined following the RSPO Management System Requirements and Guidance for Group Certification of FFB Production (2016). The sampling of smallholders were based on

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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. The sampled smallholder listed in Appendix I.

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 Section 3.5.

All the previous nonconformities are remains closed. The assessment findings for the initial assessment/annual surveillance assessment are detailed in Section 3.4.

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.

For Initial and Re-certification assessment, the report was externally reviewed by RSPO approved Certification Reviewer prior to certification decision by BSI.

For Annual surveillance assessment, the report was internally reviewed and approved by BSI qualified certification reviewer.

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

<b>Assessment Program</b>					
<b>Name (Mill / Supply Base)</b>	<b>Year 1 (Certification)</b>	<b>Year 2 (ASA 1)</b>	<b>Year 3 (ASA 2)</b>	<b>Year 4 (ASA 3)</b>	<b>Year 5 (ASA 4)</b>
UIE Palm Oil Mill	√	√	√	√	√
UIE Estate (Division 1 & 2)	√	√	√	√	√

**Tentative Date of Next Visit:** June 8, 2020 - June 10, 2020

**Total No. of Mandays:** 7 mandays



**2.2 BSI Assessment Team:**

<b>Team Member Name</b>	<b>Role</b> <i>(Team Leader or Team member)</i>	<b>Qualifications</b> <i>(Short description of the team members)</i>
Mohamed Hidhir Zainal Abidin	Team Leader	He holds Bachelor Degree in Chemical Engineering, graduated from National University of Malaysia on 2006. He has 7 years working experience in palm oil industry specifically on palm oil milling for 5 years. He also has the experiences as auditor for several standards including ISO 9001, ISO 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 2012, Endorsed RSPO P&C Lead Auditor Course in 2013, MSPO Awareness Training in 2014 and Endorsed RSPO SCCS Lead Auditor Course in 2015. He had been involved in RSPO auditing since May 2012 in various companies in Malaysia. During this assessment, he assessed on the aspects of legal, mill best practices, safety and health and environmental. He is fluent in Bahasa Malaysia and English languages.
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 her 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.
Muhamad Naquiuddin Mazeli	Team Member	He graduated with Bachelor of Science Horticulture at University Putra Malaysia. He started his career in 2009 as Researcher at Sime Darby Research Seed Centre and manage for Quality control for seed production for paddy, chilli and corn with collaboration with Malaysian Agricultural Research and Development Institute (MARDI) for 4 years. During the period, he was also involved with Nestle project on Red Rice production. He later joins the Sime Darby Plantation Berhad Sustainability Team in 2013 as Sustainability Executive. Joining the sustainability team, he managed, implemented and monitored the RSPO, ISCC, MSPO and ISO 9001 and ISO 18001 certification requirements for the estates, mills, refineries and Smallholder scheme. He also support in providing training and internal audits related to RSPO, MSPO and other certifications where applicable to the operations within Sime Darby Plantation. He is a trained Safety Officer and he managed the Occupation Safety and Health of Northern Region Sime Darby Plantation Berhad operations. During assessment, he covered the mill and estate best practices and legal issues relevant to occupational safety, health and environmental including HCV as well as GHG.

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**Accompanying Persons:**

No.	Name	Role
Nil		

**2.3 Assessment Plan**

The Assessment plan was sent to the client prior to the assessment (attached assessment plan).

PRELIMINARY AGENDA					
Date	Time	Subjects	MH	NS	MN
Monday 10/6/2019	PM	Audit team travel to Jenderata guest house.	-	√	√
Tuesday 11/6/2019  <b>UIE Palm Oil Mill</b>	0730	Audit Team travelling UIE POM.	√	√	√
	0830	Opening Meeting: <ul style="list-style-type: none"> <li>• Opening Presentation by Audit team leader.</li> <li>• Confirmation of assessment scope and finalize Audit plan (including stakeholder’s consultation).</li> <li>• Verification on previous audit findings</li> </ul>			
	09.00 – 12.00	<b>UIE Palm Oil Mill</b> Inspection: FFB receiving, warehouse, workshop, wastes management & Landfill, Effluent Ponds, OSH & ERP, Environment issues, POME application, water treatment, staff, workers and contractor interview, housing and facility inspection, clinic, meeting stakeholders etc.	√	√	√
	10.00 – 12.00	<b>Meeting with stakeholders</b> (Government, village rep, smallholders, Union Leader, contractor etc.)	-	√	-
	12.00 – 13.00	Lunch	√	√	√
	13.00 – 16.30	<b>UIE Palm Oil Mill:</b> Visit to laboratory, weighbridge and palm product storage area. Document Review P1 – P8: SOPs. Review on SEIA documents and records, wage records, employee data, training records, legal permits, mill inspection and internal monitoring records, CIP & implementation etc. Verify previous nonconformities.	√	√	√
	16.30-17.00	Interim Closing briefing and end of day 1	√	√	√

PRELIMINARY AGENDA					
Date	Time	Subjects	MH	NS	MN
Wednesday 12/6/2019  <b>UIE Estate</b>	0730	Audit Team travelling UIE POM.	√	√	√
	08.30 – 12.00	<b>UIE Estate</b> Field visit, boundary inspection, field operations, staff & workers interview, buffer zone, HCV area, IPM implementation, OSH&ERP, workshop, storage area (agrochemical, fertilizer, lubricant etc), agrochemical mixing area, Schedule waste management, worker housing, clinic, Landfill, , etc.			
	10.00 – 12.00	<b>Meeting with stakeholders</b> (Government, village rep, smallholders, Union Leader, contractor etc.)	-	√	-
	12.00 – 13.00	Lunch	√	√	√
	13.00 – 16.30	<b>UIE Estate</b> Document review P1 – P8: (General Documentation e.g. Legal, Manual and Procedure, production & monitoring records, IPM & HCV records, SEIA documents & records, OSH records, review pay documents, records of communication with stakeholder/workers representatives, new planting, CIP and implementation etc).	√	√	√
	16.30-17.00	Interim Closing Briefing and end of day 2	√	√	√
Thursday 13/6/2019  <b>UIE POM</b>	0730	Audit Team travelling UIE POM.	√	√	-
	8.30 – 12.00	Supply chain audit for UIE POM <ul style="list-style-type: none"> <li>• General COC for supply chain</li> <li>• RSPO rules communication and claim</li> <li>• Module D: Identity Preserved</li> </ul>			
	12.00- 13.00	Closing meeting. Presentation of finding	√	√	-
	13.00	End of audit. Travelling back to Jenderata	√	√	-

### Section 3: Assessment Findings

#### 3.1 Normative requirement applied for this assessment:

- United Plantations Berhad Multiple Management Units / Time Bound Plan
- RSPO P&C 2013 Generic
- RSPO Group Certification Standard 2016
- RSPO Supply Chain Certification Standard 2017
- RSPO P&C GA-NIWG 2017
- RSPO P&C INA-NIWG 2016
- RSPO P&C MY-NIWG 2014
- RSPO P&C PNG-NIWG 2017

**3.2 Time Bound Plan progress for multiple management units**

<b>Time Bound Plan</b>		
<b>Requirement</b>	<b>Remarks</b>	<b>Compliance</b>
Does the plan include all current subsidiaries, estates and mills?	PT. Surya Sawit Sejati is a subsidiary company of United Plantations Berhad.  PT Surya Sawit Sejati have operate 1palm oil mill that supplied by 2 core estate (Lada estate and Runtu estate) and 1 scheme smallholders estate (Plasma Kumai and Arut).	Yes
Have all the estates and mills certified within five years after obtaining RSPO membership?	The RSPO Initial Assessment has been carried out on 11-15 <sup>th</sup> December 2017 on initial HGU areas and have successfully obtained RSPO certificate in November 2018.  For more details, please refer to Attachment 3.	Yes
Have there been any new acquisitions? If yes, the new acquisitions shall be certified within three-year from the date of acquisition. Certification plan for the new acquisition shall be available.	No	Yes
Have there been any changes to the time-bound plan since the last audit (both new acquisition and existing)? If yes, justification is required. Is this consistent with the ACOP reporting?	The RSPO Initial Assessment has been carried out on 11-15 <sup>th</sup> December 2017 on initial HGU areas and have successfully obtained RSPO certificate in November 2018.  If the HCV Compensation Plan is approve before September 2019, the Company will undergo RSPO Scope Extension Audit on the newly obtained HGU areas (6004.15ha) in October 2019.	Yes
Have there been any isolated lapses in implementation of the plan? If yes a <b>Minor</b> non-compliance shall be raised	No	Yes
Have there been any fundamental failure (e.g. unable to justify delay in planning the assessments) to proceed with implementation of the plan? If yes a <b>Major</b> non-compliance shall be raised	No	Yes
Have there been any stakeholder comments?	There is no comments from stakeholders.  The company has a complaint and grievance mechanism regulated in stakeholder communication and consultation (SOP-HRD-07-R00) and land conflict procedure (SOP : SSS-COMDEV(HMS)-024).	Yes
<b>Un-Certified Units or Holdings</b>		
No replacement after dates defined in NIs	The company has identified HCV area for Lada Estate and Runtu Estate in 2008. However, the	

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<p>Criterion 7.3:</p> <ul style="list-style-type: none"> <li>• Primary forest.</li> <li>• Any area required to maintain or enhance HCVs in accordance with RSPO P&amp;C criterion 7.3.</li> </ul>	<p>identification result is not considered sufficient by the company since there is no information on the hectare of HCV area and the location of the identified HCV. Therefore, the company re-identify the HCV area and delineate the HCV area based on HCV identification 2006. The delineation is conducted by Biodiversity Team of the company. Based on the delineation of HCV area there is HCV area that is opened by the company. The company has sent the disclosure of liability and currently has entered to the third stage of RACP process.</p> <p>In 2014, the company has also conducted HCV identification for smallholder scheme area and Kumai Arut Conservation Area for the area of 1,121.2 ha. However, the area of 49.572 ha is highly potential be opened as housing area of Benaning Bawah Villagers. The information is based on community aspiration to exclude the area from HCV area of Kumai Arut Estate Scheme Smallholder. The company with assigned consultant has approached and counselled local community through FPIC method. The company has consulted to RSPO Jakarta Office on 9 May 2016 in accordance with this situation for RSPO to accommodate community aspiration without disobey RSPO requirement on new area development.</p>	<p>Yes</p>
<p>Any new plantings since January 1<sup>st</sup> 2010 shall comply with the RSPO New Plantings Procedure.</p>	<p>The company has identified HCV area for Lada Estate and Runtu Estate in 2008. However, the identification result is not considered sufficient by the company since there is no information on the hectare of HCV area and the location of the identified HCV. Therefore, the company re-identify the HCV area and delineate the HCV area based on HCV identification 2006. The delineation is conducted by Biodiversity Team of the company. Based on the delineation of HCV area there is HCV area that is opened by the company. The company has sent the disclosure of liability and currently has entered to the evaluation stage of RACP Annex 8.</p>	<p>Yes</p>
<p>Any Land conflicts are being resolved through a mutually agreed process, such as RSPO Complaints System or Dispute Settlement Facility, in accordance with RSPO P&amp;C criteria 2.2, 6.4, 7.5 and 7.6.</p> <p>The RSPO RaCP tracker shall be checked to confirm for any land conflicts/Liabilities <a href="https://www.rspo.org/certification/remediation-">https://www.rspo.org/certification/remediation-</a></p>	<p>The company has a complaint and grievance mechanism regulated in stakeholder communication and consultation (SOP-HRD-07-R00) and land conflict procedure (SOP : SSS-COMDEV(HMS)-024). The mechanism regulated the flow chart process. It is equipped with complaint form.</p>	<p>Yes</p>

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<a href="#">and-compensation/racp-tracker</a> . The progress on the Liabilities shall be verified and reported.		
Any Labor disputes are being resolved through a mutually agreed process, in accordance with RSPO P&C criterion 6.3.	Procedure for calculating and distributing fair compensation has been in place in the similar document of SOP land compensation No. HRD-015-R00 dated 1 January 2016. It explains that the company has a standard of compensation calculation but also giving the compensated person a bargaining/negotiation position. The record of compensation process and outcome of negotiated agreement is documented. Based on interview with the community the community has understand the procedure of land compensation and their involvement in the compensation process. The result of the compensation process is distributed to the compensated party and can be accessed by stakeholder through information request.	Yes
Any Legal non- compliance is being addressed through measures consistent with the requirements of RSPO P&C criteria 2.1	Personnel in charge to manage the legal documentation system are Legal Department (Led by Ibu Dewi). A system used for tracking any changes in laws and regulations was set-up trough procedure No: SOP-HRD-017-R00.	Yes
Did the company conduct internal audit against the uncertified management units requirement? If yes, a positive assurance statement shall be available.	PT. Surya Sawit Sejati has conducted internal audit for legal compliance and explained the process for evaluate the compliance of regulation.	Yes

**3.3 Progress of scheme smallholders and/or outgrowers (if applicable to this assessment)**

Progress of scheme smallholders or outgrowers towards compliance with relevant standards		
Requirement	Remarks	Compliance
Has 100% of scheme smallholders and/or scheme outgrowers comply with the standard within three years of the mill's initial certification?  OFI shall be raised if after one year where 100% of the scheme smallholders and scheme outgrowers are not in compliance, a minor NC after two years, and a major NC if this requirement is not met after three years.	Not applicable	

**3.4 Details of findings**

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

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During the Certification Assessment there were 2 (two) Minor Nonconformities raised. The UIE Palm Oil Mill Certification unit submitted Corrective Action Plans for the nonconformity. Corrective action plans with respect to the nonconformity was reviewed by the BSI audit team and accepted.

The implementation of the corrective action plans to address the minor nonconformity will be followed up during the next surveillance assessment. The implementation of the Corrective Actions for the Major Nonconformity(ies) has been verified for its effectiveness and closed accordingly.

<b>Summary of Total Number of Nonconformity</b>			
<b>Nonconformity</b>			
<b>NCR Ref #</b>	1788381-201904-N1	<b>Clause &amp; Category (Major / Minor)</b>	Indicator 2.1.4 Minor
<b>Date Issued</b>	13/06/2018	<b>Due Date</b>	Next annual surveillance assessment
<b>Closed (Yes / No)</b>	No	<b>Date of nonconformity Closure</b>	"Open"
<b>Statement of Nonconformity:</b>	Tracking any changes in the law was not effectively implemented		
<b>Requirement Reference:</b>	A system for tracking any changes in the law shall be implemented.		
<b>Objective Evidence:</b>	UIE POM has yet to apply for contravention of license for limit under Clean Air Regulation 2014 of clause 23 of mill's compliance schedule no. 004239 for the operation of 2 old boilers. The new boiler equipped with VORCEP system is still in the midst of completion. Further trail on the law tracking list, the circular issued by MPOA and DOE on the extension of air pollution control equipment installation and contravention of license application were not captured in the list.		
<b>Corrections:</b>	<ol style="list-style-type: none"> <li>1. The mill management have obtained the letter from DOE on the application of contravention license for the boiler with dust emission exceeding the permissible limit and incorporated in the summary list for tracking of laws.</li> <li>2. The mill management have submitted the application of contravention license to DOE on 15th June 2019</li> </ol>		
<b>Root Cause Analysis:</b>	The mill management did not receive the circular issued by DOE on the application of contravention license under EQA (Clean Air Regulation) 2014		
<b>Corrective Actions:</b>	<ol style="list-style-type: none"> <li>1. The mill management will maintain close follow-up with DOE and MPOA on any circular made with regards to EQA (Clean Air Regulation) 2014. The person in-charge of the communication/follow-up on the above matter is the Deputy Group Engineer, Mr. K. T. Somasegaran</li> <li>2. In order to comply with the above regulation, the mill management has decided to install VORSEP for the old boilers.</li> </ol>		
<b>Assessment Conclusion:</b>	The corrective action is accepted. Effectiveness of corrective action taken will be further verified in the next assessment.		

<b>Summary of Total Number of Nonconformity</b>			
<b>Nonconformity</b>			
<b>NCR Ref #</b>	1788381-201904-N2	<b>Clause &amp; Category (Major / Minor)</b>	Indicator 4.1.3 Minor

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<b>Date Issued</b>	13/06/2018	<b>Due Date</b>	Next annual surveillance assessment
<b>Closed (Yes / No)</b>	No	<b>Date of nonconformity Closure</b>	"Open"
<b>Statement of Nonconformity:</b>	Records of buffalo vaccination programme was not properly maintained.		
<b>Requirement Reference:</b>	Records of monitoring and any actions taken shall be maintained and available, as appropriate		
<b>Objective Evidence:</b>	No detail records of buffalo vaccination programme included in the checklist for further monitoring.		
<b>Corrections:</b>	<ol style="list-style-type: none"> <li>1. The estate management further updated the SOP and checklist for buffalo management</li> <li>2. The estate management has contacted Department of Veterinary, Manjung to conduct tagging and vaccination for all 42 buffaloes</li> </ol>		
<b>Root Cause Analysis:</b>	The estate management did not include the buffalo vaccination programme in the Standard Operating Procedure (SOP) and checklist for buffalo management.		
<b>Corrective Actions:</b>	<ol style="list-style-type: none"> <li>1. The estate management will fully adhere to the SOP for buffalo management and maintain full records of buffalo management including vaccination and deworming.</li> <li>2. The estate manager will conduct training for the officers who in-charge of buffalo management.</li> <li>3. An email has been sent by HRESH Department to all Estate Managers in UP Group to include buffalo vaccination programme in the SOP and checklist.</li> </ol>		
<b>Assessment Conclusion:</b>	The corrective action is accepted. Effectiveness of corrective action taken will be further verified in the next assessment.		

<b>Opportunity for Improvements</b>	
<b>OFI #</b>	<b>Description</b>
<b>OFI 1</b>	Nil

<b>Positive Findings</b>	
<b>PF #</b>	<b>Description</b>
<b>PF 1</b>	Good commitment of the top management on taking care of the workers' welfare such as in progress of construction of new labour quarters for all the workers.
<b>PF 2</b>	Good feedbacks from the stakeholders.

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

<b>Summary of Total Number of Nonconformity</b>			
<b>Nonconformity</b>			
<b>NCR Ref #</b>	1633205-20104-M1	<b>Clause &amp; Category (Major/Minor)</b>	Indicator 2.1.1 Major
<b>Closed (Yes/No)</b>	Yes	<b>Date of nonconformity closure</b>	17/08/2018



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<b>Statement of Nonconformity</b>	Evidence of compliance was not adequately demonstrated: 1. Employment Act 1955, Part VIII, Section 34 (1) 2. Conditions stipulated in Compliance Schedule (Jadual Pematuhan) [REF: License No: 004239]
<b>Requirement Reference</b>	Evidence of compliance with relevant legal requirements shall be available
<b>Objective Evidence</b>	At UIE POM, it was found that: A. Female workers were found in the night shift from 6 pm to 2 am in the mill without permission obtain from Labour department as per the Employment Act 1955, Part VIII, Section 34 (1). Sampled of female workers as bellow: 1. Employee No: 404125 2. Employee No: 408891 3. Employee No: 409663 4. Employee No: 411826 B. The leachate from EFB stock pile was flowing to the nearest field drain near the estate nursery which eventually goes to the environment instead of being channeled to the effluent treatment pond (ETP) [ref.: Clause 30 of Jadual Pematuhan]. C. The water residue generated from the mill floor washing activity was channeled to the monsoon drain instead of ETP [ref.: Clause 11 of the Jadual Pematuhan].
<b>Corrective Action</b>	A. i. A training session will be conducted with the respective person incharge of the various LRR. ii. We have identified our business units which employed female workers who work in between 10pm to 5am. Ulu Bernam Optimill and Bernam River Ulu Group Hospital (BRUGH) employed female workers who serve between 10pm to 5am. Therefore, the application has been submitted to ensure all of our business units comply with the above regulations. Please refer to Appendix 1 (Page 1 & 3). B. & C. i. Upon completion of the improved layout, the management of UIE POM will ensure all water residue generated from mill washing activities and leachate from EFB stock pile are channelled to sump and diverted to effluent pond via fat pit. ii. A training session will be conducted with the respective person incharge of the requirements stipulated in the DOE license for mill.
<b>Assessment Conclusion</b>	ASA1_2 verification: Verified onsite at EFB leachate area and mill's parameter drain. All leachates channelled to fat drain and a collection sump complete with pump constructed near to kernel recovery plant if the is near overflow from mill's washing activities. No recurrence of issue observed, thus the major NC is remained closed. During onsite visit found that no female worker has been working at night shift from 10pm to 5 am verified through the TMS Master Report. All the female workers were working at normal day shift only.

Opportunity for Improvement	
OFI#	Description
OFI 1	

**3.4.2 Summary of the Nonconformities and Status**

CAR Ref.	Category (Major / Minor)	P&C Indicator	Issued Date	Status & Date (Closure)
1648250-201804-M1	Major	2.1.1	21/06/2018	Closed on 17/08/2018
1788381-201904-N1	Minor	2.1.4	13/06/2019	"Open"

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1788381-201904-N2	Minor	4.1.3	13/06/2019	"Open"
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**3.5. Stakeholders Consultation**

Stakeholder consultation involved internal and external stakeholders. External stakeholders were contacted by telephone to arrange meetings at a location convenient to them to discuss UIE Palm Oil Mill Certification Unit’s environmental and social performance, legal and any known dispute issues.

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. Any comment which is not complying to the RSPO P&C requirements have been incorporated as an assessment finding.

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 below.

List of Stakeholders Contacted	
<b>Internal Stakeholders</b> Mill and field workers Workers representative by nationalities	<b>Union/Contractors/Local Communities</b> Local Communities (Kg Sg. Batu) Contractors
<b>Government Departments</b> Nil	<b>NGO</b> Nil


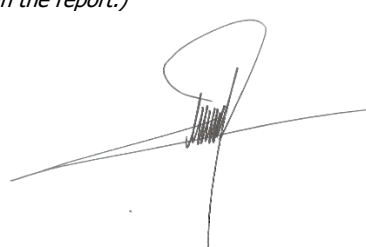
IS #	Description
1	<b>Feedbacks:</b> Contractors – They informed that they are invited to attend the stakeholder meetings and have good knowledge on RSPO. They were briefed on the policies and they have signed on the Memorandum of Agreement prior to work. Payment was made promptly.
	<b>Management Responses:</b> The management will continue to maintain good relationship with the contractors.
	<b>Audit Team Findings:</b> No issue.
2	<b>Feedbacks:</b> Local Communities (Kg Sg. Batu) – He told that they have good relationship with the management. He informed that no land dispute has occurred. Demarcation of the land with trenches and bunds were available. He is feeling grateful that the management has provided trainings on PPE usage and handling of peat soil to them as well. He is aware of the complaint procedure.
	<b>Management Responses:</b> The management will maintain good relationship with the local communities and provide any CSR if necessary.
	<b>Audit Team Findings:</b> No issue.
	<b>Feedbacks:</b>

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3	Workers’ Representatives – They are happy to work in the company. Free and new housing are provided to them. Wages are accordingly to the Minimum Wage Order 2018. They were treated equally without discrimination of nationality and races. They are allowed to move freely without restriction.
	<b>Management Responses:</b> The management will ensure the workers are treated equally.
	<b>Audit Team Findings:</b> No other issue.
4	<b>Feedbacks:</b> Gender Representatives – They are aware of the function of the committee and reported that there was no sexual harassment case reported. They were given equal opportunity to work in the company.
	<b>Management Responses:</b> The management will ensure the welfare and safety of female workers are protected.
	<b>Audit Team Findings:</b> No further issue.

**Formal Signing-off of Assessment Conclusion and Recommendation**

The audit objectives have been achieved and the certificate scope remains appropriate. Based on the results of this audit, it is concluded that UIE Palm Oil Mill has complied with the RSPO Supply Chain Certification Standard (June 2017) and audit criteria identified within the audit report. It is deemed that the management system continues to achieve its intended outcomes. Therefore, it is recommended that the certification of UIE Palm Oil Mill Certification Unit is approved.

Report prepared by	Acceptance of Assessment Conclusion
<b>Name:</b> Mohamed Hidhir Zainal Abidin	<b>Name:</b> Cheriachangel Mathews
<b>Company Name:</b> BSI Services Malaysia Sdn Bhd	<b>Company Name:</b> United Plantations Berhad
<b>Title:</b> Lead auditor	<b>Title:</b> Group Manager, HRESH
<b>Signature:</b> 	<b>Signature:</b> <i>(I the undersigned, being the most senior relevant management representative of the operation seeking or holding certification, agree with the contents of this report and accept the liability in execution of the procedure in the report.)</i> 
<b>Date:</b> 29 <sup>th</sup> June 2019	<b>Date:</b> 11 <sup>th</sup> July 2019



**Appendix A: Summary of Findings**

Criterion / Indicator		Assessment Findings	Compliance
<b>Principle 1: Commitment to Transparency</b>			
<b>Criterion 1.1:</b> Growers and millers provide adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages and forms to allow for effective participation in decision making.			
1.1.1	There shall be evidence that growers and millers provide adequate information on (environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making. - Minor compliance -	United Plantations Berhad implements Grievance Redressal Procedure for communication and consultation process for internal and external stakeholders as per Stakeholder booklet. Information covering on environmental, social and legal issues which are relevant to RSPO Criteria and relevant to stakeholders is shared for effective participation and decision making during stakeholder meeting on 25/3/2019. Restricted information such as account and cost data, personal privacy are not allowed to be shared publicly. Stakeholders can access to the plantation's website ( <a href="http://www.unitedplantations.com">http://www.unitedplantations.com</a> ) to obtain information related to RSPO.	Complied
1.1.2	Records of requests for information and responses shall be maintained. -Major compliance	UIE POM and UIE Estate has implemented Registry Request & Complaints logbook to record all the requests and complaints from stakeholders. Verified all the evidences of the requests and complaints that have been resolved accordingly.	Complied
<b>Criterion 1.2:</b> Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.			

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Criterion / Indicator		Assessment Findings	Compliance
1.2.1	Publicly available documents shall include, but are not necessary limited to: <ul style="list-style-type: none"> <li>• Land titles/user rights (Criterion 2.2);</li> <li>• Occupational health and safety plans (Criterion 4.7);</li> <li>• Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8);</li> <li>• HCV documentation (Criteria 5.2 and 7.3);</li> <li>• Pollution prevention and reduction plans (Criterion 5.6);</li> <li>• Details of complaints and grievances (Criterion 6.3);</li> <li>• Negotiation procedures (Criterion 6.4);</li> <li>• Continual improvement plans (Criterion 8.1);</li> <li>• Public summary of certification assessment report;</li> <li>• Human Rights Policy (Criterion 6.13).</li> </ul> - Major compliance –	United Plantations Berhad has developed Policy on documents that can be publicly made available to show that the company to commit to transparency the following documents are publicly available on request as below: <ol style="list-style-type: none"> <li>Land titles/ user rights</li> <li>OSH plan</li> <li>Plan and impacts assessments relating to environmental and social impacts</li> <li>HCV documentations</li> <li>Pollution prevention and reduction plans</li> <li>Negotiation procedures</li> <li>Continual Improvement plans</li> <li>Public summary reports</li> </ol> All these informations have been escalated to stakeholders during stakeholder meeting conducted on 25/3/2019 and distributed the Stakeholder booklet to all the stakeholders.	Complied
<b>Criteria 1.3:</b> Growers and millers commit to ethical conduct in all business operations and transactions.			
1.3.1	There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions, which shall be documented and communicated to all levels of the workforce and operations. -Minor compliance	United Plantations Berhad has developed Code of Conduct and Business Ethics policy dated 8/12/2016 which signed by Chief Executive Director. The policy has clearly stated that the company conducts the operations with honesty, integrity and openness, with the respect of human rights and interests of the employees. The company does not give or receive any bribes or other improper advantages for business or financial gain. The policy has been displayed at notice board in front of the office. Briefing of the policy was conducted on 26/3/2019 in UIE POM and 10-14/2/2019 in UIE Estate and seen the attendance list with photo evidence.	Complied
<b>Principle 2: Compliance with applicable laws and regulations</b>			
<b>Criterion 2.1:</b> There is compliance with all applicable local, national and ratified international laws and regulations.			

<p>2.1.1</p>	<p>Evidence of compliance with relevant legal requirements shall be available.          - Major compliance -</p>	<p>UIE Certification Unit is committed to compliance with all applicable local, national and ratified international laws and regulations. Among permit and license sampled were:</p> <ul style="list-style-type: none"> <li>i) DOE License @ Compliance Schedule no. 004239, validity 1/7/2018 to 30/6/2019 for processing capacity of 60 mt/hr. BOD3 limit is 5000 mg/l and method of discharge is land application.</li> <li>ii) MPOB License #500124504000, selling and transporting of FFB with processing capacity of 350,000 mt/year validity 1/2/2019 to 31/1/2020</li> <li>iii) Diesel permit #A0309373 [ref.: MJG/SK/D/04], licensee: United Plantation Berhad, diesel=50,000 liter/month, petrol=16,000 liter/month, validity 28/6/18 to 29/6/19. Renewal of license was done through BLESS, refer to application no. BL22019015540 on 7/5/19 and still pending for approval.</li> <li>iv) Energy commission license for private installation, license no: 2018/03258; serial no: 31923 (validity period 21/10/2018 – 20/10/2019) for 2,980 kW installation capacity.</li> <li>v) All UPVs and steam boiler CF's belonged to the mill covering various equipment such as sterilizers, hoist and crane and boilers.             <ul style="list-style-type: none"> <li>- Boiler (PMD 3870, valid until 19/5/20)</li> <li>- Boiler (PMD 3869, valid until 18/1/20)</li> <li>- Sterilizer (PK PMT 4586 valid until 19/5/20)</li> <li>- Overhead travel crane (PMA 35014 valid until 19/5/20)</li> </ul> </li> </ul> <p>Some of the UPVs were exempted for inspection based on FMA (Steam Boiler and Unfired Pressure Vessel) Exemption Order 2017.</p> <ul style="list-style-type: none"> <li>i. Ref. No.: BHG PU/9/135 Jld 14 (8) dated 19/7/2018 for "<i>Pengecualian daripada Sekatan Kerja Malam bagi Pekerja-pekerja Wanita di bawah Sesyen 34 Akta Kerja 1955</i>".</li> <li>ii. Ref No.: (6) dlm BHG PU/9/129 dated 1/6/2012 for deduction of salary under Section 24 Employment Act 1955.</li> </ul> <p>Ref. No.: (35) JTK.PK(1)PMT(SEK.60)/10805 dated 19/3/2015 for</p>	<p>Complied</p>
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Criterion / Indicator		Assessment Findings	Compliance
		<p>overtime not exceeded 130 hours under Section 60A (4)(a) Employment Act 1955.</p> <p><u>UIE estate</u></p> <p>i) MPOB license referred to 5020762000 valid from 29/4/2019 until 31/7/2019 for 8958 ha.</p> <p>ii) License for Diesel (50,000L) and Petrol(16,000L) A030937 valid from 29 June 2018 until 28 June 2019.</p>	
2.1.2	<p>A documented system, which includes written information on legal requirements, shall be maintained.</p> <p>- Minor compliance -</p>	<p>UIE certification unit continued to implement and maintain their established documented system for identifying, accessing, tracking updates and monitoring of compliance with the legal requirements that are applicable to the CU's operation. Each office of the operating unit (mill and estate) has its own legal requirements register (LRR) and were being evaluated individually from time to time for compliance mainly through internal audit. Among the applicable legal laws registered are EQA, OSHA, Factory &amp; Machinery Act, Employment Act, Workers' Minimum Standard of Housing and Amenities Act, Minimum Wages order 2018 to name a few.</p>	Complied
2.1.3	<p>A mechanism for ensuring compliance shall be implemented.</p> <p>- Minor compliance -</p>	<p>UIE certification unit has various mechanisms to ensure the legal requirements are complied with. Among the mechanisms verified were:</p> <ul style="list-style-type: none"> <li>- in LRR format there is a column to report the status of compliance which was utilised to report the compliance status of all the applicable legal requirements. Other information available in the format was document/action plan needed, PIC and frequency of monitoring</li> <li>- there was a list of licenses which have the information about type of license, expiry date and validity period.</li> </ul>	Complied



Criterion / Indicator		Assessment Findings	Compliance
2.1.4	A system for tracking any changes in the law shall be implemented. - Minor compliance -	<p>The Group HRESH is given the responsibility to track and update any changes in the law. Among the method or platforms used for tracking are:</p> <ul style="list-style-type: none"> <li>• Internet subscription such as Lawnet.com</li> <li>• News and announcement from statutory bodies and government departments such as SOCSO, EPF, etc.</li> <li>• Participation of associations and seminars such as Malayan Agricultural Producers Association (MAPA), Malaysian Palm Oil Association (MPOA)</li> </ul> <p>Tracking any changes in the law was not effectively implemented. UIE POM has yet to apply for contravention of license for limit under Clean Air Regulation 2014 of clause 23 of mill's compliance schedule no. 004239 for the operation of 2 old boilers. The new boiler equipped with VORCEP system is still in the midst of completion. Further trail on the law tracking list, the circular issued by MPOA and DOE on the extension of air pollution control equipment installation and contravention of license application were not captured in the list. Thus, a minor NC was issued.</p>	Minor nonconformance
<p><b>Criterion 2.2:</b> The right to use the land is demonstrated, and is not legitimately contested by local people who can demonstrate that they have legal, customary or user rights.</p>			

Criterion / Indicator		Assessment Findings				Compliance															
2.2.1	Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available. - Major compliance -	<p>UIE estate able to demonstrate the evidence of legal ownership if its lands through possession of land titles. The estates has a list of all its land titles which have the information about names of leasee, hectare, terms &amp; conditions, lease period and grant numbers. Copies of the land titles were available at the estate's offices while the original were kept at headquarter. Total of 8 land titles checked and sampled as per the following table:</p> <table border="1"> <thead> <tr> <th>No.</th> <th>Land title details</th> <th>Land use type</th> <th></th> <th>Tenure</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>District: Manjung, Mukim: Pengkalan Baru, grant no. HSD 15 21321, lot no. 17027  Total hectare: 2,316 ha</td> <td>Agriculture/ Palm</td> <td>Oil</td> <td>Lease hold  (lease period from 21/1/93 – 23/12/2103 )</td> </tr> <tr> <td>2</td> <td>District: Manjung, Mukim: Pengkalan Baru, grant no. HSD 15 21420, lot no. 1342  Total hectare: 2,316 ha</td> <td>Agriculture/ Palm</td> <td>Oil</td> <td>Lease hold  (lease period from 24/10/91 – 23/12/2103 )</td> </tr> </tbody> </table>				No.	Land title details	Land use type		Tenure	1	District: Manjung, Mukim: Pengkalan Baru, grant no. HSD 15 21321, lot no. 17027  Total hectare: 2,316 ha	Agriculture/ Palm	Oil	Lease hold  (lease period from 21/1/93 – 23/12/2103 )	2	District: Manjung, Mukim: Pengkalan Baru, grant no. HSD 15 21420, lot no. 1342  Total hectare: 2,316 ha	Agriculture/ Palm	Oil	Lease hold  (lease period from 24/10/91 – 23/12/2103 )	Complied
No.	Land title details	Land use type		Tenure																	
1	District: Manjung, Mukim: Pengkalan Baru, grant no. HSD 15 21321, lot no. 17027  Total hectare: 2,316 ha	Agriculture/ Palm	Oil	Lease hold  (lease period from 21/1/93 – 23/12/2103 )																	
2	District: Manjung, Mukim: Pengkalan Baru, grant no. HSD 15 21420, lot no. 1342  Total hectare: 2,316 ha	Agriculture/ Palm	Oil	Lease hold  (lease period from 24/10/91 – 23/12/2103 )																	
2.2.2	Legal boundaries shall be clearly demarcated and visibly maintained. - Minor compliance -	<p>Whenever the land boundaries are adjacent with third party (smallholders, villages, other oil palm companies, etc.) the normal practice of UPB to indicate the legal boundaries are through construction of trenches. This was confirmed through the field visit UIE estate. Apart from that, erection of concrete slab with GPS coordinate along the boundaries was also commonly practiced and clearly visible.</p>				Complied															

Criterion / Indicator		Assessment Findings	Compliance
2.2.3	Where there are or have been disputes, additional proof of legal acquisition of title and evidence that fair compensation has been made to previous owners and occupants shall be available, and that these have been accepted with free, prior and informed consent (FPIC). - Minor compliance -	There is no land dispute in the UIE business unit at the time of audit. The land belongs to United Plantations Berhad and some lands leased from government verified through land ownership documents. Interviewed with the local communities confirmed that no encroachment of land by the company.	Complied
2.2.4	There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved. -Major compliance	There is no land dispute in the UIE business unit at the time of audit. The land belongs to United Plantations Berhad and some lands leased from government verified through land ownership documents. Interviewed with the local communities confirmed that no encroachment of land by the company.	Complied
2.2.5	For any conflict or dispute over the land, the extent of the disputed area shall be mapped out in a participatory way with involvement of affected parties (including neighbouring communities where applicable). -Minor compliance	There is no land dispute in the UIE business unit at the time of audit. The land belongs to United Plantations Berhad and some lands leased from government verified through land ownership documents. Interviewed with the local communities confirmed that no encroachment of land by the company.	Complied
2.2.6	To avoid escalation of conflict, there shall be no evidence that palm oil operations have instigated violence in maintaining peace and order in their current and planned operations. -Major compliance	There is no land dispute in the UIE business unit at the time of audit. The land belongs to United Plantations Berhad and some lands leased from government verified through land ownership documents. Interviewed with the local communities confirmed that no encroachment of land by the company.	Complied
<b>Criterion 2.3:</b> Use of the land for oil palm does not diminish the legal rights, customary or user right of other users without their free, prior and informed consent.			

Criterion / Indicator	Assessment Findings	Compliance
2.3.1 Maps of an appropriate scale showing the extent of recognized legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighbouring communities where applicable, and relevant authorities). - Major compliance -	There is no land dispute in the UIE business unit at the time of audit. The land belongs to United Plantations Berhad and some lands leased from government verified through land ownership documents. Interviewed with the local communities confirmed that no encroachment of land by the company. Trenches and boundary stones were available to demarcate the boundary of the company and the local communities.	Complied
2.3.2 Copies of negotiated agreements detailing the process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and shall include: a) Evidence that a plan has been developed through consultation and discussion with all affected groups in the communities, and that information has been provided to all affected groups, including information on the steps that shall be taken to involve them in decision making; b) Evidence that the company has respected communities' decisions to give or withhold their consent to the operation at the time that this decision was taken; c) Evidence that the legal, economic, environmental and social implications for permitting operations on their land have been understood and accepted by affected communities, including the implications for the legal status of their land at the expiry of the company's title, concession or lease on the land. - Minor compliance -	There is no land dispute in the UIE business unit at the time of audit. The land belongs to United Plantations Berhad and some lands leased from government verified through land ownership documents. Interviewed with the local communities confirmed that no encroachment of land by the company. Trenches and boundary stones were available to demarcate the boundary of the company and the local communities.	Complied

Criterion / Indicator		Assessment Findings	Compliance
2.3.3	All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements. -Minor compliance	There is no land dispute in the UIE business unit at the time of audit. The land belongs to United Plantations Berhad and some lands leased from government verified through land ownership documents. Interviewed with the local communities confirmed that no encroachment of land by the company. Trenches and boundary stones were available to demarcate the boundary of the company and the local communities.	Complied
2.3.4	Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel. -Major compliance	There is no land dispute in the UIE business unit at the time of audit. The land belongs to United Plantations Berhad and some lands leased from government verified through land ownership documents. Interviewed with the local communities confirmed that no encroachment of land by the company. Trenches and boundary stones were available to demarcate the boundary of the company and the local communities.	Complied
<b>Principle 3: Commitment to long-term economic and financial viability</b>			
<b>Criterion 3.1:</b>			
There is an implemented management plan that aims to achieve long-term economic and financial viability.			
3.1.1	A business or management plan (minimum three years) shall be documented that includes, where appropriate, a business case for scheme smallholders. - Major compliance -	UIE certification unit has established and implemented its commitment to long term sustainability and improvements through a capital expenditure programme. 3 years budget which projected (2019-2021) was verified during the audit. Noted CAPEX allocated for building and machinery, agriculture equipment etc.	Complied
3.1.2	An annual replanting programme projected for a minimum of five years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review, shall be available. - Minor compliance -	A long range replanting programme projected for the minimum of 5 years was made available for review. Refer to replanting programme estate 1 and 2 (2016-2021) subject to annual review. No replanting for the next 20 years as the company has completed the replanting programme in May 2018 for total of 568.79 ha.	Complied
<b>Principle 4: Use of appropriate best practices by growers and millers</b>			

Criterion / Indicator		Assessment Findings	Compliance
<b>Criterion 4.1:</b> Operating procedures are appropriately documented, consistently implemented and monitored.			
4.1.1	Standard Operating Procedures (SOPs) for estates and mills are documented - Major compliance -	UIE Certification Unit continued to implement the established procedure for mill and estate. For UIE POM, Standard Operating Procedure, dated 22/2/2017 is referred to. <ol style="list-style-type: none"> <li>1. Reception Station, Section 2A</li> <li>2. Fruit Handling, Section 2B</li> <li>3. Sterilisation, Section 3</li> <li>4. Threshing, Section 4</li> <li>5. Empty Bunch Press, Section 5</li> <li>6. Digestion and pressing, Section 6</li> <li>7. Clarification, Section 7</li> <li>8. Kernel Extraction, Section 8</li> <li>9. Effluent Treatment &amp; Waste Management, Section 12</li> </ol> Estates have a separate SOP that covered nursery operations, replanting, upkeep mature and immature oil palm, water management, roads, oil palm pest management, oil palm disease management and manuring immature and mature oil palms. In addition, UPB is still using buffalo assisted harvesting system for FFB evacuation with the established SOP under	Complied
4.1.2	A mechanism to check consistent implementation of procedures shall be in place. - Minor compliance -	Mechanism to check consistent implementation of procedures are in place. Internal audit by HRESH department conducted on annual basis to check and report compliance against company policy and procedure with regards to operation, safety, health and welfare requirements.	Complied

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Criterion / Indicator		Assessment Findings	Compliance
4.1.3	Records of monitoring and any actions taken shall be maintained and available, as appropriate. - Minor compliance -	Records of monitoring with regards to EHS and RSPO implementation are maintained and available for verification. Among monitoring records checked: i) Inspection report by Competent Electrical Engineer, JK-T-5-B-0043-1996. Refer to report dated 30/4/19 ii) Internal audit report dated 25-26/4/19 by HRESH Department iii) CED visit report, 30 <sup>th</sup> January 2019 and 3 <sup>rd</sup> October 2018 Records of buffalo vaccination programme was not properly maintained. No detail records of buffalo vaccination programme included in the checklist for further monitoring. Thus, a minor NC was issued.	Minor nonconformance
4.1.4	The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB). - Major compliance -	No third party FFB received. UIE POM only received UPB's RSPO certified estates.	Complied
<b>Criterion 4.2:</b> Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.			
4.2.1	There shall be evidence that good agriculture practices, as contained in Standard Operating Procedures (SOPs), are followed to manage soil fertility to a level that ensures optimal and sustained yield, where possible. - Minor compliance -	Good agriculture practices which follows the SOP manual contains Standard Operating Procedures to ensure soil fertility is managed to a level that ensures optimal and sustained yield, SOP No. 8: Manuring Immature and Mature Oil Palm.	Complied

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Criterion / Indicator		Assessment Findings	Compliance									
4.2.2	Records of fertiliser inputs shall be maintained. - Minor compliance -	<p>The records of agronomic and fertilizer recommendation dated 15/9/18 by UP Research Department shown the application date, filed number, dosage applied per palm, type of fertilizer and number of application. The programme consist of 3 trimester (1<sup>st</sup>: February/March, 2<sup>nd</sup>: May/June and 3<sup>rd</sup>: August/Sept) for compound and straight fertilizer. Sample of application record for kieserite (KS) at field 26 and 27 (estate 1)</p> <table border="1"> <thead> <tr> <th>Field</th> <th>Recommended dosage</th> <th>Total applied</th> </tr> </thead> <tbody> <tr> <td>26</td> <td>1.0 kg/palm</td> <td>7.06 mt (141 bags)</td> </tr> <tr> <td>27</td> <td>1.2 kg/palm</td> <td>4.32 mt (86 bags)</td> </tr> </tbody> </table> <p>The programme for 2<sup>nd</sup> trimester was completed in June 2019.</p>	Field	Recommended dosage	Total applied	26	1.0 kg/palm	7.06 mt (141 bags)	27	1.2 kg/palm	4.32 mt (86 bags)	Complied
Field	Recommended dosage	Total applied										
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4.2.3	There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status. - Minor compliance -	<p>Latest foliar sampling was done from 7/12/17 – 8/2/18. The test was done by Research Department, the analysis report (A027/18[A]) was verified. Soil sampling and analysis was last done on 7/3/18. Sighted sample of Soil Analysis Test Report (E008/18) dated 30/7/18</p>	Complied									



Criterion / Indicator		Assessment Findings	Compliance																						
4.2.4	A nutrient recycling strategy shall be in place, and may include use of Empty Fruit Bunches (EFB), Palm Oil Mill Effluent (POME), and palm residues after replanting. - Minor compliance -	<p>A nutrient recycling strategy is in place. EFB application only apply at mature are with the rate of 30 – 40 tonne/ha depending on yield and soil category. POME is also applied at selected field (field 24, 23 and 82)</p> <table border="1"> <thead> <tr> <th></th> <th>Volume/tonne applied</th> <th>Hectare/area applied</th> </tr> </thead> <tbody> <tr> <td>EFB</td> <td>2018: 49,393 mt 2019 (to date): 22,349 mt</td> <td>Mature area: 593 ha</td> </tr> <tr> <td>POME</td> <td>2018: 257,414 m3 2019 (to date) : 85,365 m3</td> <td>field 24, 23 and 82: 61.63 ha</td> </tr> </tbody> </table>		Volume/tonne applied	Hectare/area applied	EFB	2018: 49,393 mt 2019 (to date): 22,349 mt	Mature area: 593 ha	POME	2018: 257,414 m3 2019 (to date) : 85,365 m3	field 24, 23 and 82: 61.63 ha	Complied													
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<b>Criterion 4.3:</b>																									
Practices minimise and control erosion and degradation of soils.																									
4.3.1	Maps of any fragile soils shall be available. - Major compliance -	<p>Soil series map available at visited estate. Summary of soil type as per below:</p> <table border="1"> <thead> <tr> <th>No.</th> <th>Soil type</th> </tr> </thead> <tbody> <tr><td>1</td><td>Sedu</td></tr> <tr><td>2</td><td>Rudua</td></tr> <tr><td>3</td><td>Segari</td></tr> <tr><td>4</td><td>Rengam</td></tr> <tr><td>5</td><td>Briah</td></tr> <tr><td>6</td><td>Lunas</td></tr> <tr><td>7</td><td>Penor</td></tr> <tr><td>8</td><td>Cherang Hangus</td></tr> <tr><td>9</td><td>Erong</td></tr> <tr><td>10</td><td>Gondang</td></tr> </tbody> </table>	No.	Soil type	1	Sedu	2	Rudua	3	Segari	4	Rengam	5	Briah	6	Lunas	7	Penor	8	Cherang Hangus	9	Erong	10	Gondang	Complied
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Criterion / Indicator		Assessment Findings	Compliance
4.3.2	A management strategy shall be in place for plantings on slopes above a certain limit (this needs to be soil and climate specific). - Minor compliance -	No terracing at UIE Estate. 100% areas in UIE Estate were undulating terrain and flat.	Complied
4.3.3	A road maintenance programme shall be in place. - Minor compliance -	UIE Estates has implemented annual road and railway line maintenance programme 2019. Example of programme checked at UIE estates shows the map indicating road repairs and maintenance for the whole estate roads includes grading, compacting application to strengthen the road surface. Budget for railway line (derailment and sleepers replacement) has been included as part of routine maintenance schedule. Sighted the records of road maintenance at UIE estates. Verified during site visit, found that the road were in good condition.	Complied
4.3.4	Subsidence of peat soils shall be minimised and monitored. A documented water and ground cover management programme shall be in place. - Minor compliance -	Based on the soil map, there is peat soil at UIE Estate. The procedure namely SOP for Peat Subsidence Measurement dated 31/3/14 was implemented accordingly. Sighted the plan: 1. Peat subsidence measurements report dated 18/12/2018 was sighted for two area (Bek Nielsen Sanctuary field 51 and field 97). 2. Water management was implemented accordingly as per procedure. It was recommended field drain intensity of 1:4 rows of oil palms.	Complied
4.3.5	Drainability assessments shall be required prior to replanting on peat to determine the long-term viability of the necessary drainage for oil palm growing. - Minor compliance -	Drainability assessment was conducted in 2016 by UPRD. The internal memo from Director of Research dated 20/4/2016 was sighted. It was recommended field drain intensity of 1:4 rows of oil palms with a planting density of 160 palms per hectare.	Complied

Criterion / Indicator		Assessment Findings	Compliance
4.3.6	A management strategy shall be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils). - Minor compliance -	The procedure namely SOP for Peat Subsidence Measurement dated 31/3/14 was implemented accordingly. Peat subsidence measurements report dated 18/12/2018 was sighted for two area (Bek Nielsen Sanctuary field 51 and field 97). Drainability assessment was conducted in 2016 by UPRD. The internal memo from Director of Research dated 20/4/2016 was sighted. It was recommended field drain intensity of 1:4 rows of oil palms with a planting density of 160 palms per hectare.	Complied
<b>Criterion 4.4:</b> Practices maintain the quality and availability of surface and ground water.			
4.4.1	An implemented water management plan shall be in place. - Minor compliance -	Water management plan is available with objective to maintain the water in the field at appropriate level therefore correct amount of water is supplied during dry or wet weather for oil palm survival. The established water management plan is in-lined with BMP for peat area.  Water tables is maintained between 45-60 cm (acid sulphate areas), 60-90 cm (non-acid sulphate) and <60 cm below ground surface. The water tables are controlled through water gates and weirs in the field irrigations. To-date there are 15 water gates (1:425 Ha) and 127 weirs (1:50).	Complied
4.4.2	Protection of water courses and wetlands, including maintaining and restoring appropriate riparian and other buffer zones (refer to national best practice and national guidelines) shall be demonstrated. - Major compliance -	Buffer zones maintained at 20m width. No trace of agrochemicals used at the visited riparian reserve. 273 forest trees species planted to restore the buffer zone of Sg Beruas and Sg Anak Macang. Upstream/downstream of Sg Beruas and Anak Macang water analysis is done once a year. Latest sampled was on 19/11/2018, parameters tested: pH, BOD, COD, SS, OG, DO, AN and E. Coli. Based on the analysis, parameter tested comply with class III and IV of National Water Quality Standard (NWQS).	Complied

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Criterion / Indicator		Assessment Findings	Compliance												
4.4.3	Appropriate treatment of mill effluent to required levels and regular monitoring of discharge quality, especially Biochemical Oxygen Demand (BOD), shall be in compliance with national regulations (Criteria 2.1 and 5.6). - Minor compliance -	<p>Effluent Analysis conducted by accredited 3<sup>rd</sup> party laboratory, Union Laboratories Sdn Bhd and submitted to DOE every 3 months through OER (Online Environmental Report) and in compliance with mill's compliance schedule for quarterly submission.</p> <p>Refer to the latest report for 1<sup>st</sup> quarter of 2019 dated 12/4/19. Monthly analysis was done for final discharge point. Total of 8 parameters (pH, BOD<sub>3</sub>, COD, TS, SS, TN, AN and O&amp;G) were tested. Latest analysis report for March, April and May 2019 were verified.</p> <table border="1"> <thead> <tr> <th>Month</th> <th>Result</th> <th>Remarks</th> </tr> </thead> <tbody> <tr> <td>March 2019</td> <td>BOD<sub>3</sub>: 54 mg/l, COA ref: 03J0195 dated 18/3/19</td> <td>BOD limit: 5000 mg/l</td> </tr> <tr> <td>April 2019</td> <td>BOD<sub>3</sub>: 159 mg/l, COA ref: 04J0174 dated 17/4/19</td> <td>BOD limit: 5000 mg/l</td> </tr> <tr> <td>May 2019</td> <td>BOD<sub>3</sub>: 49 mg/l, COA ref: 05J0119 dated 16/5/19</td> <td>BOD limit: 5000 mg/l</td> </tr> </tbody> </table>	Month	Result	Remarks	March 2019	BOD <sub>3</sub> : 54 mg/l, COA ref: 03J0195 dated 18/3/19	BOD limit: 5000 mg/l	April 2019	BOD <sub>3</sub> : 159 mg/l, COA ref: 04J0174 dated 17/4/19	BOD limit: 5000 mg/l	May 2019	BOD <sub>3</sub> : 49 mg/l, COA ref: 05J0119 dated 16/5/19	BOD limit: 5000 mg/l	Complied
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4.4.4	Mill water use per tonne of Fresh Fruit Bunches (FFB) (see Criterion 5.6) shall be monitored. - Minor compliance -	Mill has maintained monitoring of water usage for processing FFB which recorded every month. Water for processing is abstracted from water catchment by using pump. An average of 1.46 m <sup>3</sup> water is used to process per mt of FFB recorded from January 2018 to December 2018. For to date May 2019, average of 1.5 m <sup>3</sup> per tonne FFB recorded. The trend of water usage is tandem with volume of FFB process.	Complied												
<p><b>Criterion 4.5:</b> Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.</p>															

Criterion / Indicator		Assessment Findings	Compliance									
4.5.1	Implementation of Integrated Pest Management (IPM) plans shall be monitored. - Major compliance -	<p>IPM is documented in SOP. The estates continue to implement biological control for the oil palm pest in the plantation such as leaf eating pest and rat. IPM techniques applied at the estates include monitoring of pest numbers and the use of triggers for initiation of control measures. Barn owls Tyto Alba has been introduced for biological control of rats. Barn owl boxes are constructed at the rate of 1 box to 15 ha. Census records show that there is no outbreak of leaf eating pest. Although there have been no outbreaks of leaf eating pests, beneficial plants are being established along roadsides to attract natural predators. The estates have planted beneficial plants such as Cassia Cobanensis and Turnera Subulata and Antigonon Leptopus. It was noted that the census interval for barn owl occupancy was as per UPB SOP.</p> <p>The report occupancy rate for Barn owl box census was sighted:</p> <table border="1"> <thead> <tr> <th>IPM</th> <th>Result</th> <th>Remarks</th> </tr> </thead> <tbody> <tr> <td>Barn owl</td> <td>Occupancy rate March 2019: 33.94% (93/264)</td> <td>Census conducted every 3 month</td> </tr> <tr> <td>Beneficial plant</td> <td>Coverage: 27,756 plants</td> <td>Common 3 major species.</td> </tr> </tbody> </table>	IPM	Result	Remarks	Barn owl	Occupancy rate March 2019: 33.94% (93/264)	Census conducted every 3 month	Beneficial plant	Coverage: 27,756 plants	Common 3 major species.	Complied
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Barn owl	Occupancy rate March 2019: 33.94% (93/264)	Census conducted every 3 month										
Beneficial plant	Coverage: 27,756 plants	Common 3 major species.										
4.5.2	Training of those involved in IPM implementation shall be demonstrated. - Minor compliance -	Training of those involved in IPM implementation was maintained. The latest barn owl censes training was carried out on 15/3/19.	Complied									

Criterion / Indicator		Assessment Findings	Compliance
<b>Criterion 4.6:</b> Pesticides are used in ways that do not endanger health or the environment			
4.6.1	Justification of all pesticides used shall be demonstrated. The use of selective products that are specific to the target pest, weed or disease and which have minimal effect on non-target species shall be used where available. - Major compliance -	The written justification in Field Manual ( Safe Use of Pesticide) S4-S4.2 of all agrochemical are available .Selected products are specific to the target pest, weed and disease. Circle spray (mature) – e.g. glyphosate + amine + methylsulfuron Circle spray (immature) – e.g. Basta (a.i.: glufosinate isophrophylamine) Bagworm & rhino beetles treatment – e.g. cypemethrin (turbomiser) Rat baiting – e.g. warfarin Cover crop spray – e.g. fusillade	Complied
4.6.2	Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per ha and number of applications) shall be provided. - Major compliance -	Records of pesticides use (including active ingredients used and their LD 50, area treated, amount of a.i. applied per ha and number of applications) had been maintained and kept by the estate The record of pesticides used was sighted. UIE estate usage rate was 1.643% a.i/planted ha	Complied
4.6.3	Any use of pesticides shall be minimised as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations identified in national Best Practice guidelines. - Major compliance -	The quantity of agrochemicals required for various field conditions are documented and justified in United Plantation UIE Standard operating procedure. The implementation in the field is consistent with the SOP. They planted Cassia Combanensis, Antigonan, Tunera Sabulata, Foxtail Celsia and Apogonia.	Complied

Criterion / Indicator	Assessment Findings	Compliance
4.6.4	Pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimised and eliminated as part of a plan, and shall only be used in exceptional circumstances. - Minor compliance -	Paraquat was ban by UP Plantation Berhad, as per Occupational Safety and Health Policy dated 18/8/2017. At the time of assessment there was no class 1a or 1b pesticide. Alternatives such as Glyphosate were used with the elimination of Paraquat.
4.6.5	Pesticides shall only be handled, used or applied by persons who have completed the necessary training and shall always be applied in accordance with the product label. Appropriate safety and application equipment shall be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7). - Major compliance -	Pesticide operators given training on the safe handling and application of the pesticides. Suitable personal protective equipment's and application equipment provided to the operators. All precautions attached to the products explained to operators and understood by them. This was noted during the interview with workers
4.6.6	Storage of all pesticides shall be according to recognised best practices. All pesticide containers shall be properly disposed of and not used for other purposes (see Criterion 5.3). - Major compliance -	The operating units comply with Regulation 9 of the Pesticides Act 1974 requiring balance of remaining solution to be kept under lock and key. During visit it was noted that all the remaining pesticides are kept in the store and securely locked and comply with regulation. The management of the empty chemical containers is guided by a procedure entitled "Standard Operating Procedure (C) Triple Rinsing Empty Pesticide Containers", dated 26/5/2016. Based on the procedure, the empty containers must be triple rinsed, punctured and sold to recycler.
4.6.7	Application of pesticides shall be by proven methods that minimise risk and impacts. - Minor compliance -	The quantity of agrochemicals required for various field conditions are documented and justified in UP Plantation Berhad Standard Operating Procedure. The implementation in the field is consistent with the SOP

Criterion / Indicator		Assessment Findings	Compliance
4.6.8	Pesticides shall be applied aerially only where there is documented justification. Communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application. - Major compliance -	No aerially spray in UIE estate.	Complied
4.6.9	Maintenance of employee and associated smallholder knowledge and skills on pesticide handling shall be demonstrated, including provision of appropriate information materials (see Criterion 4.8). - Minor compliance -	No associated smallholder at UIE POM Certification Unit. Employees handling pesticide given knowledge and skill required to cover safe handling practices and standard operating procedures.	Complied
4.6.10	Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated (see Criterion 5.3). - Minor compliance -	Disposal method of all identified waste included in the pollution prevention plan where the site visit confirmed that the practice of reduce, reuse and recycle of materials has been implemented throughout the company within mill and estates	Complied
4.6.11	Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated. - Major compliance -	Annual medical surveillance for sprayers and pesticide operators were demonstrated. Medical surveillance was done on 18 Feb 2019 at Dr Shoba Vijaya Ragaven (HQ/14/DOC/00380) from Kump Poliklinik Manjung Sdn Bhd 67 person including welders 5 person and sprayer. From the result all workers are fit to work with chemical without any detrimental of health.	Complied
4.6.12	No work with pesticides shall be undertaken by pregnant or breast-feeding women. - Major compliance -	There were no female pesticide operators at UIE Estate. However, based on interview with female workers confirmed knowledge of the transfer to alternative duties if they wished to continue working when pregnancy was confirmed or breast-feeding	Complied
<b>Criterion 4.7:</b> An occupational health and safety plan is documented, effectively communicated and implemented. The health and safety plan shall cover the following:			



<p>4.7.1</p>	<p>A health and safety policy shall be in place. A health and safety plan covering all activities shall be documented and implemented, and its effectiveness monitored.          - Major compliance -</p>	<p>UIE estates and mill has maintained an approved Health and Safety Policy dated 18th August 2017 by Chief Executive Director of United Plantations Berhad. The policy was displayed prominently on notice boards. The Policy is implemented through the OSH activities by the on-site safety officers and monitored accordingly.</p> <p>Audiometric Testing: The last audiometric was done on 18<sup>th</sup> March 2019 for total of 118 employees by Earwright Services &amp; Consultants. From the report dated 11/3/2019, one (1) Standard Threshold Shift (STS) case for worker with passport number BK0001476 recorded. Retest for STS was done on 8/6/2019 by Pantai Hospital Manjung (ENT). The report dated 8/6/2019 available for review. Hearing conservation training been done by management on 31 May 2019 by Chemviro Enterprise.</p> <p>Medical Examination The examination was done for lab operators who handle the N-haxane, Workshop, Kernal Plant Operator and Petrol &amp; Diesel Operator on 8 March 2019 by Dr Shoba Vijaya Ragaven (HQ/14/DOC/00/380) from Kumpulan Poliklinik Manjung Sdn Bhd. From the report, all operators found fit.</p> <p>Periodic Chemical Exposure Monitoring The assessment was done on 11<sup>th</sup> May 2019 by CSK Murni Services Sdn Bhd (HQ/17/JHI/00/00012). The report was sighted and found that the n-hexane and calcium carbonate exposure level to personnel was below permissible exposure limit.</p> <p>LEV Inspection Periodical inspection, examination and testing of LEV system was done on 9/3/2019 for 2 units of LEV by CSK Murni Services Sdn Bhd (JKKP HIE 127/171-2(1)). Monthly inspection for 2 units of LEV was last done on 15/5/2019.</p>	<p>Complied</p>
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Criterion / Indicator	Assessment Findings	Compliance																		
4.7.2 All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers. - Major compliance -	UIE POM CHRA The assessment was last conducted on 28/1/2015 by RHM Consultant Sdn Bhd. (JKKP/HIE/127/171-2(1)). Sighted the CHRA report dated January 2015 for verification (27 item). However found certain chemical in chemical registered (35 item) dated 2 Feb 2019 was not been assess by CHRA Assessor. From email from CSK Murni Services Sdn Bhd dated 11 June 2019 and will conduct the assessment on 14 June 2019 HIRARC already been reviewed dated 11 Feb 2019 for accident happen on Jan 2019 in UIE POM and on April 2019 for UIE estate.	Complied																		
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. - Minor compliance -	PPE issued to the workers is safety helmets, safety shoes, ear plug. Special PPE for workers assigned to height, confined space. Safety shoes issued on a 6 monthly basis and recorded. The records of PPE issuance for individual personnel's were sighted. Latest issuance was done for mechanic on 1 May 2019 and for boiler on 9 Jan 2019. Training was done periodically by management as per below record was been verified:- <table border="1" data-bbox="1025 914 1805 1276"> <thead> <tr> <th>Date</th> <th>Training record title</th> <th>Operating unit</th> </tr> </thead> <tbody> <tr> <td>31 May 2019</td> <td>Hearing conservation training</td> <td>UIE Mill</td> </tr> <tr> <td>8 Jan 2019</td> <td>Safety for operator</td> <td>UIE Mill</td> </tr> <tr> <td>24 Jan 2019</td> <td>Chemical safety handling</td> <td>UIE Mill</td> </tr> <tr> <td>16 May 2018 and 27 April 2019</td> <td>CPR &amp; Fisrt Aid</td> <td>UIE Mill</td> </tr> <tr> <td>20 March 2019</td> <td>Fire Drill and Fire fighting</td> <td>UIE Mill</td> </tr> </tbody> </table>	Date	Training record title	Operating unit	31 May 2019	Hearing conservation training	UIE Mill	8 Jan 2019	Safety for operator	UIE Mill	24 Jan 2019	Chemical safety handling	UIE Mill	16 May 2018 and 27 April 2019	CPR & Fisrt Aid	UIE Mill	20 March 2019	Fire Drill and Fire fighting	UIE Mill	Complied
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Criterion / Indicator	Assessment Findings	Compliance
4.7.4	<p>The responsible person/persons shall be identified. There shall be records of regular meetings between the responsible person/s and workers. Concerns of all parties about health, safety and welfare shall be discussed at these meetings, and any issues raised shall be recorded.</p> <p>- Major compliance -</p>	Complied
4.7.5	<p>Accident and emergency procedures shall exist and instructions shall be clearly understood by all workers. Accident procedures shall be available in the appropriate language of the workforce. Assigned operatives trained in First Aid should be present in both field and other operations, and first aid equipment shall be available at worksites. Records of all accidents shall be kept and periodically reviewed.</p> <p>- Minor compliance -</p>	Complied

Criterion / Indicator		Assessment Findings	Compliance						
4.7.6	All workers shall be provided with medical care, and covered by accident insurance. - Minor compliance -	All workers, local and foreign, were provided with medical care, and covered by SOCSO and accident insurance respectively. For local, Social Security contribution paid on month basis via form 8A, payment schedule. Verified payment schedule for March 2019 for 37 staff and workers.	Complied						
4.7.7	Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics - Minor compliance -	Records of all accidents are kept. Accident incidences are reviewed during the safety meetings. Records on Lost Time Accident (LTA) metrics was maintained and based on JKKP 6, 7 & 8. Sample of accident statistic as shown below : <table border="1" data-bbox="1025 737 1693 837"> <thead> <tr> <th>Year</th> <th>UIE POM</th> <th>UIE Estate</th> </tr> </thead> <tbody> <tr> <td>2018</td> <td>11.63</td> <td>76</td> </tr> </tbody> </table> *LTA is equivalent to lost man days	Year	UIE POM	UIE Estate	2018	11.63	76	Complied
Year	UIE POM	UIE Estate							
2018	11.63	76							
<b>Criterion 4.8:</b> All staff, workers, smallholders and contract workers are appropriately trained.									

<p>4.8.1</p>	<p>A formal training programme shall be in place that covers all aspects of the RSPO Principles and Criteria, and that includes regular assessments of training needs and documentation of the programme. - Major compliance -</p>	<p>The records of training were available at mill and estate office. Sample training checked:</p> <table border="1" data-bbox="1032 443 1805 1391"> <thead> <tr> <th>Date</th> <th>Training record title</th> <th>Operating unit</th> </tr> </thead> <tbody> <tr> <td>31 May 2019</td> <td>Hearing conservation training</td> <td>UIE Mill</td> </tr> <tr> <td>8 Jan 2019</td> <td>Safety for operator</td> <td>UIE Mill</td> </tr> <tr> <td>24 Jan 2019</td> <td>Chemical safety handling</td> <td>UIE Mill</td> </tr> <tr> <td>16 May 2018 and 27 April 2019</td> <td>CPR &amp; Fisrt Aid</td> <td>UIE Mill</td> </tr> <tr> <td>20 March 2019</td> <td>Fire Drill and Fire fighting</td> <td>UIE Mill</td> </tr> <tr> <td>26 March 2019</td> <td>Policy training on MSPO, RSPO,Human Right Policy, Environment &amp; Biodiversity and UP code of conduct.</td> <td>UIE Mill</td> </tr> <tr> <td>7 Jan 2019</td> <td>Safety in Spraying technique</td> <td>UIE estate</td> </tr> <tr> <td>10 Feb 2019</td> <td>Policy communication.</td> <td>UIE estate</td> </tr> <tr> <td>14 Feb 2019</td> <td>First aid Training</td> <td>UIE estate</td> </tr> <tr> <td>20 May 2019</td> <td>FFB evacuation Buffalo Drawn carts</td> <td>UIE estate</td> </tr> <tr> <td>17 March 2019</td> <td>Mechanization Training</td> <td>UIE estate</td> </tr> <tr> <td>12 Feb 2019</td> <td>RSPO, MSPO Training</td> <td>UIE estate</td> </tr> <tr> <td>21 April 2019</td> <td>ERP training</td> <td>UIE estate</td> </tr> </tbody> </table>	Date	Training record title	Operating unit	31 May 2019	Hearing conservation training	UIE Mill	8 Jan 2019	Safety for operator	UIE Mill	24 Jan 2019	Chemical safety handling	UIE Mill	16 May 2018 and 27 April 2019	CPR & Fisrt Aid	UIE Mill	20 March 2019	Fire Drill and Fire fighting	UIE Mill	26 March 2019	Policy training on MSPO, RSPO,Human Right Policy, Environment & Biodiversity and UP code of conduct.	UIE Mill	7 Jan 2019	Safety in Spraying technique	UIE estate	10 Feb 2019	Policy communication.	UIE estate	14 Feb 2019	First aid Training	UIE estate	20 May 2019	FFB evacuation Buffalo Drawn carts	UIE estate	17 March 2019	Mechanization Training	UIE estate	12 Feb 2019	RSPO, MSPO Training	UIE estate	21 April 2019	ERP training	UIE estate	<p>Complied</p>
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Criterion / Indicator		Assessment Findings		Compliance
		24 April 2019	Scheduled waste training UIE Mill and Estate	
		20 March 2019	Safety in Rubbish Pit Operation UIE estate	
4.8.2	Records of training for each employee shall be maintained. - Minor compliance -	Training records for employees available and maintained at the office. Records are verified on a sampling basis which covers all aspect of training and RSPO P&C requirement		Complied
<b>Principle 5: Environmental responsibility and conservation of natural resources and biodiversity</b>				
<b>Criterion 5.1:</b> Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.				
5.1.1	An environmental impact assessment (EIA) shall be documented. - Major compliance -	The estate has conducted the aspects and impacts analysis and documented in the Environmental Risk Assessment. The analysis was reviewed on annually basis. Latest review was conducted on 25/3/2019.  The estate has established the Environmental Management Plan base on the Environmental Risk Assessment conducted.		Complied

Criterion / Indicator		Assessment Findings	Compliance
5.1.2	<p>Where the identification of impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a comprehensive management plan. The management plan shall identify the responsible person/persons.</p> <p>- Minor compliance -</p>	<p>The estate has established the Environmental Management Plan base on the Environmental Risk Assessment conducted. Sighted the implementation of the management plan as follows:</p> <p>i. Sighted the vehicle maintenance records for all machine and vehicle. It was documented in the form '250 – 1000 hours service schedule for tractors/vehicle/machineries'. The records were available at the workshop office for review.</p> <p>ii. Sighted the records of EFB disposal FY 2018 at 49393 ton for 593 ha.</p> <p>iii. Dedicated workers were assigned to segregate the recyclable items and dispatch to waste managers. Sighted the waste disposal records as at May 2019 amounted RM 4422.00</p> <p>iv. Reduced usage of chemicals by using mechanical movers in harvesting avenues and road edges. Observed during site visit, all harvesting path were maintained by mechanical movers.</p> <p>iv. Sighted the records of scrap metal sold as at May 2019 at 53960 ton amounted at RM 45.132.30</p>	Complied
5.1.3	<p>This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.</p> <p>- Minor compliance -</p>	<p>United Plantations Berhad (UPB) has established a public policy on environmental and biodiversity. The policy incorporated the element of no deforestation. The latest version of policy dated 18/8/2017 was signed by UPB's Chief Executive Director, Dato' Carl Bek-Nielsen.</p>	Complied
<p><b>Criterion 5.2:</b>            The status of rare, threatened or endangered species and other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and and operations managed to best ensure that they are maintained and/or enhanced.</p>			

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Criterion / Indicator		Assessment Findings	Compliance
5.2.1	Information shall be collated in a High Conservation Value (HCV) assessment that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors). - Major compliance -	The HCV assessment for the UIE complex was conducted by Wild Asia. Report dated 14 <sup>th</sup> January 2008 was available for verification. The structure of the report generally has the description about methodology used, coverage and the findings on presence of HCV and RTE species.	Complied
5.2.2	Where rare, threatened or endangered (RTE) species, or HCVs, are present or are affected by plantation or mill operations, appropriate measures that are expected to maintain and/or enhance them shall be implemented through a management plan. - Major compliance -	Based on the report, there was no HCV or RTE presence in the plantation. Nonetheless, UIE has its own self-declared conservation areas which included a botanical garden devoted to trees located near the estate's office called Kingham/Cooper Sanctuary Trees Arboretum, Bek Nielsen Sanctuary (on peat soil), Bukit Kecil Jungle Sanctuary and riparian zones at Beruas River and Anak Macang River.  Regular security patrol and sighting within the estate was carried out and finding/issue recorded by the respective estate personal/security to monitor the conservation / buffer zone areas. Monitoring and control of any illegal hunting, fishing or collecting activities was also implemented. Signage that prohibit hunting, fishing and water polluting activities were verified on-site found to be satisfactorily maintained.	Complied
5.2.3	There shall be a programme to regularly educate the workforce about the status of these RTE species, and appropriate disciplinary measures shall be instigated in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species. - Minor compliance -	Although there is no RTE species identified at UIE estate, there is evidence to continuously prevent and discourage illegal or hunting, fishing or collecting activities. Signage as well as routine patrolling activities were carried out as part of the efforts to create awareness among employees about biodiversity. The latest awareness training on environmental and biodiversity was carried out on 4/5/19 for internal stakeholders (workers). Separate session carried out for external stakeholders was carried out on 25/3/19 during stakeholder dialog/meeting.	Complied



Criterion / Indicator		Assessment Findings	Compliance				
5.2.4	<p>Where a management plan has been created there shall be ongoing monitoring:</p> <ul style="list-style-type: none"> <li>• The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported;</li> <li>• Outcomes of monitoring shall be fed back into the management plan.</li> </ul> <p>- Minor compliance -</p>	<p>The HCV management plan is developed based on recommendation given by the assessor. The plan includes monitoring of buffer zone area and conservation area in the estate and surrounding area. Monitoring of action plan was carried out at appropriate frequency as a mechanism to ensure effectiveness of implementation. Report of the monitoring was adequately recorded by the person in-charge on daily basis. Based on the report, no RTE sighted and no evidence of encroachment/trespasses at the identified HCV and conservation area. Among established management sighted:</p> <table border="1" data-bbox="1025 699 1803 1029"> <tr> <td>Conservation/biodiversity area</td> <td>Management Plan</td> </tr> <tr> <td>Riparian reserve/buffer zone Tan Sri Bek Neilson Sanctuary</td> <td>Fire patrol during dry spell, fire drills and raising water level. Availability of signage Constant supervision and clear instruction to contractors Restoration of damaged buffer zone by planting up with forest trees. Continuous education to workers</td> </tr> </table> <p>Checked daily patrolling and sighting reports dated 10/6/19. Based on the report, there was no RTE species and illegal activities reported.</p>	Conservation/biodiversity area	Management Plan	Riparian reserve/buffer zone Tan Sri Bek Neilson Sanctuary	Fire patrol during dry spell, fire drills and raising water level. Availability of signage Constant supervision and clear instruction to contractors Restoration of damaged buffer zone by planting up with forest trees. Continuous education to workers	Complied
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Riparian reserve/buffer zone Tan Sri Bek Neilson Sanctuary	Fire patrol during dry spell, fire drills and raising water level. Availability of signage Constant supervision and clear instruction to contractors Restoration of damaged buffer zone by planting up with forest trees. Continuous education to workers						
5.2.5	<p>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.</p> <p>- Minor compliance -</p>	<p>No HCV set asides with existing rights of local communities have been identified</p>	Complied				
<p><b>Criterion 5.3:</b>  Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.</p>							

Criterion / Indicator		Assessment Findings	Compliance
5.3.1	All waste products and sources of pollution shall be identified and documented. - Major compliance -	The mill had identified all waste products and its source of pollution and documented in Types of Waste Products and Method of Disposal. The waste identified as follows: Domestic waste – rubbish from the mill complex and employees quarters (disposed by estate management) Recycled waste – scrap iron, plastic, glass, metal, paper Scheduled waste – filter, lubricants, hydraulic oil, grease, used batteries	Complied

Criterion / Indicator	Assessment Findings	Compliance
5.3.2 All chemicals and their containers shall be disposed of responsibly. - Major compliance -	In UIE estate, SW 404 and SW 409. Estate already register to eswiss on May 2019 referred to file reference AS(B)A11/123/000/135. Notification referred to 2019053010YNCI1E. Latest inventory is May 2019 (20190530102C5DTY52019). SW 404 will be dispose at Clinico Waste Management Sdn Bhd previously disposal was at Kualiti Alam Sdn Bhd for waste SW 404 and 409 on 10 May 2019 (serial: 0278366)	Complied

Criterion / Indicator		Assessment Findings	Compliance
5.3.3	A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented. - Minor compliance -	The mill has established waste management plan base on the waste identified and documented in Types of Waste Products and Method of Disposal, Action Plan to Reduce Waste. Sighted the implementation of the management plan as follows: i. Dedicated workers were assigned to segregate the recyclable items and dispatch to waste managers. Sighted the waste disposal records as at May 2019 amounted RM 4422.00 ii. EFB recycle and applied in the estate field as mulch. Sighted the records of EFB disposal FY 2018 at 49393 ton for 593 ha.	Complied
<b>Criterion 5.4:</b> Efficiency of fossil fuel use and the use of renewable energy is optimised.			
5.4.1	A plan for improving efficiency of the use of fossil fuels and to optimise renewable energy shall be in place and monitored. - Minor compliance -	The UIE POM and UIE estate continued to monitor its diesel consumption and records were documented. In 2018 the consumption was 0.4890 L/mt FFB for Mill and for estate is 2.90 L/mt FFB. Based on historical data for the past 10 years, generally the trend was seemed to be going downward. The biogas plant which generates electricity to supply to the national grid has helped the UP to improve the efficiency of fossil fuel consumption.	Complied
<b>Criterion 5.5:</b> Use of fire for preparing land or replanting is avoided, except in specific situations as identified in the ASEAN guidelines or other regional best practice.			
5.5.1	There shall be no land preparation by burning, other than in specific situations as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions. - Major compliance -	No used of fire during land preparation as per the established Environmental and Biodiversity Policy.	Complied

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Criterion / Indicator		Assessment Findings	Compliance
5.5.2	Where fire has been used for preparing land for replanting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions. - Minor compliance -	Fire was not used for preparing land for replanting at UIE estate 1 and 2. Stipulated in the contract under contract rates for land preparation, dated 1/1/18 between UPB and Teh Excavation Works. Only mechanized operation is allowed for the land preparation (felling, shredding, pulverizing and deboling). No phyto-sanitary disposal using fire allowed for pest outbreak.	Complied
<b>Criterion 5.6:</b>			
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). - Major compliance -	Assessment of all polluting activities was conducted under Environmental Risk Assessment for identifying activities that contributes significant impact to environment including gaseous emission. As prescribed under DOE's Compliance Schedule, the mill is obliged to conduct stack sampling twice a year. Below are the verified reports: 1st half 2018 - Report no.: MURNI/0318/3175 - Report date: 22/3/2018 - Result: 94 mg/m3 (B1) and 148 mg/m3 (B3) @ dry@ 12% CO2 2nd half 2018 - Report no.: MURNI/1118/3546 - Report date: 19/11/2018 - Result: 85 mg/m3 (B1) and 174 mg/m3 (B3) @ dry@ 12% CO2 Dark smoke emissions were monitored through Continuous Emissions Monitoring System (CEMS) which link to the DOE on real-time base.	Complied

Criterion / Indicator		Assessment Findings	Compliance
5.6.2	Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimise them implemented. - Major compliance	The emissions of GHG had been identified through the ERA. Among the identified sources of emission were mill effluent, fossil fuel consumption, peat oxidation and fertiliser’s consumption to name a few. Various initiatives were implemented to minimise the emission such as bio-gas plant (commissioned since 2010), improvement in fossil fuel consumption and maintaining the water table at peat areas.	Complied
5.6.3	A monitoring system shall be in place, with regular reporting on progress for these significant pollutants and emissions from estate and mill operations, using appropriate tools. - Minor compliance -	Monitoring of GHG emissions was done through RSPO GHG calculator. Verification on the raw data records confirmed that the information reported in the RSPO GHG calculator was authentic.	Complied
<b>Principle 6: Responsible consideration of employees and of individuals and communities affected by growers and millers.</b>			
<b>Criterion 6.1:</b>			
Aspects of plantation and mill management that have social impacts, including replanting, are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.			
6.1.1	A social impact assessment (SIA) including records of meetings shall be documented. - Major compliance -	UIE Palm Oil Mill and UIE Estate has conducted Social Risk Assessment (SRAOM) 2019 for all the operations in the mill and estate. The assessment was carried out during the stakeholder meeting conducted on 25/32019 with the participation of internal and external stakeholders. Seen the activities that covered in the assessment are such as weighbridge/ FFB reception, kernel station, screw press station, workshop/ maintenance/ safety, economic livelihoods and working condition, human rights, cultural and religious activities. The risk assessment was carried out using the risk matrix – evaluation criteria chart and a summary of the risk assessment was developed.	Complied

Criterion / Indicator		Assessment Findings	Compliance
6.1.2	There shall be evidence that the assessment has been done with the participation of affected parties. - Major compliance -	The management has sent invitation to the stakeholders pertaining to the social risk assessment, review & action plan, environment assessment, review & action plan and other matters on 27/2/2019 to attend the stakeholder meeting conducted on 25/3/2019. Attendance list of the stakeholder meeting was sighted with participation of the stakeholders such as contractors, local communities, neighbouring plantations, workers' representatives and government authorities.	Complied
6.1.3	Plans for avoidance or mitigation of negative impacts and promotion of the positive ones, and monitoring of impacts identified, shall be developed in consultation with the affected parties, documented and timetabled, including responsibilities for implementation. - Major compliance -	Social action plan was developed for all the activities/ operations after the risk assessment was completed. The action plan has incorporated the responsible person, targeted date to complete, resources needed and the status. Positive and negative impacts have been assessed. Besides, the issues reported by the stakeholders during the stakeholder meeting were recorded in the minutes as well as the Registry Request & Complaints logbook. Sampled of the request as below: <ul style="list-style-type: none"> <li>i. Request: Clerk has requested to carry census or replacement of furniture as the furniture was in poor condition. Propose Action Plan: Carry out furniture census, to purchase furniture if budget allow on Y2019 and to budget furniture on Y2020. Action Taken: The management has carried out furniture census on 7/5/2019 and seen the census record dated 7/5/2019.</li> </ul>	Complied
6.1.4	The plans shall be reviewed as a minimum once every two years and updated as necessary, in those cases where the review has concluded that changes should be made to current practices. There shall be evidence that the review includes the participation of affected parties. - Minor compliance -	The risk assessment and action plan will be reviewed on annual basis as per the review plan- social risk assessment 2019 due to the low and negligible rating of risk. The last review was carried out on 25/3/2019 during the stakeholder meeting.	Complied

Criterion / Indicator		Assessment Findings	Compliance
6.1.5	Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme). - Minor compliance -	There is no smallholder involved in the certification unit.	Not applicable
<b>Criterion 6.2:</b> There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.			
6.2.1	Consultation and communication procedures shall be documented. - Major compliance -	United Plantations Berhad has established Grievance Redressal Procedure for communication and consultation process in clearing up the conflicts and grievances raised by the internal (employees) and external stakeholders (statutory bodies, local communities, smallholders and NGO). The Company Secretary of United Plantations Berhad will be the person responsible to handle all the enquiries and grievances. The time frame to settle the grievances should be not more than 30 days from the date of receipt for external issue and 7 working days for internal issues. The procedure was developed in various languages such as Bahasa Malaysia, English and Tamil and has distributed to the workers and stakeholders.	Complied
6.2.2	A management official responsible for these issues shall be nominated. - Minor compliance -	The Deputy Group Engineer of UIE POM and Estates Director has been appointed by Chief Executive Director to be the officer-in-charge of RSPO and MSPO standards. The appointment letter dated 13/2/2019 and 29/3/2018 was sighted respectively.	Complied



Criterion / Indicator	Assessment Findings	Compliance
<p>6.2.3</p> <p>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> <p>- Minor compliance -</p>	<p>Seen the Stakeholder list Y2019 for UIE POM and UIE Estate where stakeholders such as workers’ representatives, local communities, government authorities, neighbouring plantations and contractors were included into the list.</p> <p>The management has sent invitation to the stakeholders pertaining to the social risk assessment, review &amp; action plan, environment assessment, review &amp; action plan and other matters on 27/2/2019 to attend the stakeholder meeting conducted on 25/3/2019 for both UIE POM and UIE Estate. Attendance list of the stakeholder meeting was sighted with participation of the stakeholders such as contractors, local communities, neighbouring plantations, workers’ representatives and government authorities. Positives and negatives impacts were recorded in the meeting minutes. There was no issue raised by stakeholders of UIE POM. There were some requests from the stakeholders of UIE Estate and the requests have recorded in the Registry Request &amp; Complaints logbook. Action has been taken accordingly and updated in the logbook.</p>	<p>Complied</p>
<p><b>Criterion 6.3:</b>            There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all effected parties.</p>		

Criterion / Indicator		Assessment Findings	Compliance
6.3.1	<p>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> <p>- Major compliance -</p>	<p>United Plantations Berhad has established Grievance Redressal Procedure for communication and consultation process in clearing up the conflicts and grievances raised by the internal (employees) and external stakeholders (statutory bodies, local communities, smallholders and NGO). The Company Secretary of United Plantations Berhad will be the person responsible to handle all the enquiries and grievances. The time frame to settle the grievances should be not more than 30 days from the date of receipt for external issue and 7 working days for internal issues. The procedure was developed in various languages such as Bahasa Malaysia, English and Tamil and has distributed to the workers and stakeholders.</p> <p>In additional, Whistleblower Policy was established in the company to provide an avenue for employees, suppliers and other stakeholders to raise concerns and reassurance that their identity will be protected.</p>	Complied

Criterion / Indicator		Assessment Findings	Compliance
6.3.2	Documentation of both the process by which a dispute was resolved and the outcome shall be available. - Major compliance –	<p>UIE POM and UIE Estate has implemented Registry Request &amp; Complaints logbook to record any requests and complaints by stakeholders. Records of action taken were verified. Sampled of the issues raised as below:</p> <ul style="list-style-type: none"> <li>i. Issue: Mill staff complained on the dog issue on UIE main guard post where the dog chased the workers whoever pass by. Action: The issue was discussed during Guest Workers Meeting on 25/7/2018 with the estate’s management. The estate’s management has constructed canal at the guard post to tide up dog and solved on 29/8/2018. Site visit to the guard post found that the canal was sighted. Besides, workers also informed that there was no dog chasing issue anymore during the Guest Workers Welfare Committee meeting on 22/1/2019.</li> <li>ii. Issue: Worker complained 3 units ceiling fan not functioning on 27/2/2019. Action: 3 units of ceiling fan were replaced by electrician on 28/2/2019. Seen the Work Request/ Order to confirm that the action has been taken.</li> <li>iii. Issue: The worker informed that the hygiene of the housing area was not satisfied on 22/3/2019. Action: <i>Gotong-royong</i> programme has been implemented for twice a week, every Monday and Wednesday. The Executives and staffs will carried out inspection and cleaning activities with the assistance of mandores. Seen the Linesite Inspection Schedule.</li> </ul>	Complied
<p><b>Criterion 6.4:</b>            Any negotiations concerning compensation for loss of legal, customary or user rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.</p>			

Criterion / Indicator		Assessment Findings	Compliance
6.4.1	A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be in place. - Major compliance -	United Plantations Berhad has developed Grievances Redressal Procedures for Land Dispute as displayed in the company's website. The procedure has separated into three phases. Phase 1 is regarding on the lodging of complaints by the local communities on the dispute with supporting documents to be submitted. Phase 2 is involving the land dispute team, GIS team and complainant to measure and checking the location of the disputed land. If the claim is valid, then the negotiation process takes place to decide whether to compensate via payment or other methods of compensation. If mutual agreement is not achieved, then the complaint will be passed to court to make final decision.	Complied
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. - Minor compliance -	SOP as per indicator 6.4.1.	Complied
6.4.3	The process and outcome of any negotiated agreements and compensation claims shall be documented, with evidence of the participation of affected parties, and made publicly available. - Major compliance -	There was no land dispute case reported verified through interviewed with the local communities.	Complied
<b>Criterion 6.5:</b> Pay and conditions for employees and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.			

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Criterion / Indicator		Assessment Findings	Compliance
6.5.1	Documentation of pay and conditions shall be available. - Major compliance -	<p>Mill and estates have employed local and foreign workers. All the mill and estates workers are under direct and super’s mandore employment. The role of super mandore is the contractor that supervise the workers who employed by United Plantations Berhad. The payslip has included basic pay, allowances, working days, deduction of salary and overtime. Payslip for June 2018, October 2018, January 2019 and May 2019 was sampled based on the crop summary as below:</p> <ul style="list-style-type: none"> <li>i. Employee No.: 415444 (UIEPOM)</li> <li>ii. Employee No.: 307260 (UIEPOM)</li> <li>iii. Employee No.: 113571 (UIEPOM)</li> <li>iv. Employee No.: 415671 (UIEPOM)</li> <li>v. Employee No.: 006523 (UIEPOM)</li> <li>vi. Employee No.: 112792 (UIEE)</li> <li>vii. Employee No.: 310800 (UIEE)</li> <li>viii. Employee No.: 119290 (UIEE)</li> <li>ix. Employee No.: 120430 (UIEE)</li> <li>x. Passport No.: BJ0958361 (UIEE’s Super Mandore)</li> <li>xi. Passport No.: BQ0274008 (UIEE’s Super Mandore)</li> <li>xii. Passport No.: BN0274952 (UIEE’s Super Mandore)</li> </ul> <p>All the sampled workers have achieved the Minimum Wage Order 2016 and Minimum Wage Order 2018.</p>	Complied

Criterion / Indicator	Assessment Findings	Compliance
<p>6.5.2</p>	<p>Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be available in the languages understood by the workers or explained carefully to them by a management official.</p> <p>- Major compliance -</p> <p>Employment contracts are available and explained in language that understood by workers. The contract was signed by the workers and sampled of contracts as below:</p> <ul style="list-style-type: none"> <li>i. Employee No.: 415444 (UIEPOM)</li> <li>ii. Employee No.: 307260 (UIEPOM)</li> <li>iii. Employee No.: 113571 (UIEPOM)</li> <li>iv. Employee No.: 415671 (UIEPOM)</li> <li>v. Employee No.: 006523 (UIEPOM)</li> <li>vi. Employee No.: 112792 (UIEE)</li> <li>vii. Employee No.: 310800 (UIEE)</li> <li>viii. Employee No.: 119290 (UIEE)</li> <li>ix. Employee No.: 120430 (UIEE)</li> <li>x. Passport No.: BJ0958361 (UIEE's Super Mandore)</li> <li>xi. Passport No.: BQ0274008 (UIEE's Super Mandore)</li> <li>xii. Passport No.: BN0274952 (UIEE's Super Mandore)</li> </ul> <p>Interviewed with the workers confirmed that they were understood on the terms and conditions outlined in the employment contract. They were also briefed on the terms and condition during induction training.</p>	<p>Complied</p>

Criterion / Indicator	Assessment Findings	Compliance
6.5.3	<p>Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible.</p> <p>- Minor compliance –</p>	Complied
6.5.4	<p>Growers and millers shall make demonstrable efforts to monitor and improve workers’ access to adequate, sufficient and affordable food.</p> <p>- Minor compliance –</p>	Complied
<p><b>Criterion 6.6:</b>            The employer respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.</p>		

Criterion / Indicator		Assessment Findings	Compliance
6.6.1	A published statement in local languages recognising freedom of association shall be available. - Major compliance -	United Plantations Berhad has established and implemented Human Rights Policy dated 18/8/2017 signed by Chief Executive Director where the company respects the rights of all personnel to form, join and participate in registered trade unions and to bargain collectively. The policy was displayed at the notice boards in the office area and workshops. Briefing of the policy was conducted on 26/3/2019 in UIE POM and 10-14/2/2019 in UIE Estate and seen the attendance list with photo evidence.	Complied
6.6.2	Minutes of meetings with main trade unions or workers representatives shall be documented. - Minor compliance -	UIE POM and UIE Estate has established Guest Workers Welfare Committee to discuss the concerns and issues raised by the workers. The frequency of the meeting was once every two months in the UIE POM and once a month in UIE Estate. Seen the meeting minutes dated 22/5/2019, 20/3/2019 and 22/1/2019 in UIE POM. All the concerns were recorded in the minutes and action has been taken accordingly.	Complied
<b>Criterion 6.7:</b> Children are not employed or exploited.			
6.7.1	There shall be documentary evidence that minimum age requirements are met. - Major compliance -	United Plantations Berhad has developed and implemented Human Rights Policy dated 18/8/2017 which signed by Chief Executive Director where the company does not tolerate the use of child or forced labour in any of their plantations and facilities. The definition of child is anyone who is less than 18 years old as per the United Nation Convention on the Rights of the Child. Document review of the master list of employees and interviewed with the stakeholders confirmed that no child labour was employed in company. All the workers employed were above 18 years old. Briefing of the policy was conducted on 26/3/2019 in UIE POM and 10-14/2/2019 in UIE Estate and seen the attendance list with photo evidence.	Complied



Criterion / Indicator		Assessment Findings	Compliance
<b>Criterion 6.8:</b> Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.			
6.8.1	A publicly available equal opportunities policy including identification of relevant/affected groups in the local environment shall be documented. - Major compliance -	Human Rights Policy dated 18/8/2017 was developed and implemented in the company where they provide equal opportunities to all personnel in the process of recruitment, promotion and remuneration. The policy has been displayed at notice board in front of the office. Briefing of the policy was conducted on 26/3/2019 in UIE POM and 10-14/2/2019 in UIE Estate and seen the attendance list with photo evidence.	Complied
6.8.2	Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated against. - Major compliance -	The company has recruited workers from different background, nationalities, races and religions without any discrimination. Promotion of the employees were according to capabilities without discrimination. Interviewed with the workers from different nationalities confirmed that they are allowed to transfer to other work stations if they found they are unfit to handle the work offered. They were treated equally by the management.	Complied
6.8.3	It shall be demonstrated that recruitment selection, hiring and promotion are based on skills, capabilities, qualities, and medical fitness necessary for the jobs available. - Minor compliance -	United Plantations Berhad has implemented Recruitment of Guest Workers dated 14/4/2015 that incorporated into the United Plantations Berhad Standard Operating Procedures. The procedure has clearly stated that the recruitment was based on age, sex of candidates, qualification and rural background. Candidates will be arranged for bio medical examination through Foreign Workers Centralized Management System (FWCMS) portal at approved medical centre. In the Human Rights Policy also stated that the recruitment and promotion was based on qualification, performance regardless to religion, race, age, gender, nationality or physical disability.	Complied
<b>Criterion 6.9:</b> There is no harassment or abuse in the work place, and reproductive rights are protected.			

Criterion / Indicator		Assessment Findings	Compliance
6.9.1	Policy to prevent sexual and all other forms of harassment and violence shall be implemented and communicated to all levels of the workforce. - Major compliance -	United Plantations Berhad has implemented Gender Policy dated 24/5/2015 where the company is committed to maintaining a workplace free from harassment on any kind, including harassment baed on race, colour, religion, gender, national origin, marital status and sexual orientation. The company also protect reproductive rights and motherhood responsibilities of women as under the Universal Declaration of Human Rights and labour laws. The policy has been displayed at notice board in front of the office. Briefing of the policy was conducted on 26/3/2019 in UIE POM and 10-14/2/2019 in UIE Estate and seen the attendance list with photo evidence.	Complied
6.9.2	A policy to protect the reproductive rights of all, especially of women, shall be implemented and communicated to all levels of the workforce. - Major compliance -	United Plantations Berhad has implemented Gender Policy dated 24/5/2015 where the company is committed to maintaining a workplace free from harassment on any kind, including harassment baed on race, colour, religion, gender, national origin, marital status and sexual orientation. The company also protect reproductive rights and motherhood responsibilities of women as under the Universal Declaration of Human Rights and labour laws. The policy has been displayed at notice board in front of the office. Briefing of the policy was conducted on 26/3/2019 in UIE POM and 10-14/2/2019 in UIE Estate and seen the attendance list with photo evidence.	Complied
6.9.3	A specific grievance mechanism which respects anonymity and protects complainants where requested shall be established, implemented, and communicated to all levels of the workforce. - Minor compliance -	UIE POM and UIE Estate has established Gender Committee to discuss and monitor the gender's issue. Besides, Grievance Redressal Procedure for Sexual Harassment in the Workplace was established. Misconduct Report Form (Sexual Harassment & Violence) and Gender Committee Action Form was implemented to record any complaints. The frequency of the Gender Committee meeting was once every 4 months. UIE POM and UIE Estate has combined the Gender Committee meeting together. Seen the meeting minutes dated 20/3/2019 with no issue reported.	Complied

Criterion / Indicator		Assessment Findings	Compliance
<b>Criterion 6.10:</b> Growers and mills deal fairly and transparently with smallholders and other local businesses.			
6.10.1	Current and past prices paid for Fresh Fruit Bunches (FFB) shall be publicly available. - Minor compliance -	UIE POM only received FFB from internal certified supply base. Therefore, no price need to be publicly available.	Complied
6.10.2	Evidence shall be available that growers/millers have explained FFB pricing, and pricing mechanisms for FFB and inputs/services shall be documented (where these are under the control of the mill or plantation). - Major compliance -	UIE POM only received FFB from internal certified supply base. Therefore, no pricing mechanism to be documented.	Complied
6.10.3	Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent. - Minor compliance -	Sampled of the contractors' agreements as below: i. MOA No.: 3115 dated 10/12/2018 for the desilting of lagoon pond in the UIE POM. ii. MOA No.: 8557, 8558 and 8559 dated 1/1/2019 for supervising guest workers in UIE Estate. iii. MOA No.: 8547 dated 10/4/2019 for hire of backhoe and excavator.	Complied
6.10.4	Agreed payments shall be made in a timely manner. - Minor compliance -	The company will pay to the contractors once the job completed. Sampled of the Certificate of Payment and photocopied cheque/ payment advice as below: i. Certificate of Payment No.: 12647 dated 31/12/2018; Cheque No.: 27-08186 dated 31/12/2018 ii. Certificate of Payment No.: 62190211 dated 30/4/2019; Cash Payment Advice No.: 629020856 dated 10/5/2019 Interviewed with the contractors confirmed that the payment was made promptly.	Complied
<b>Criterion 6.11:</b> Growers and millers contribute to local sustainable development where appropriate.			

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6.11.1	Contributions to local development that are based on the results of consultation with local communities shall be demonstrated. - Minor compliance –	UIE POM and UIE Estate has made contribution to local communities and other stakeholders. Neighbouring school has requested the company to provide donation for their school event on 3/5/2018. Seen the payment voucher dated 7/5/2018 that the company has donated RM 300 for the school. Besides, the company has provided facilities such as football field, indoor badminton court, mosque and temple to the workers. In addition, ATM machine was installed at the estate which is more convenient to the workers to withdraw the money. Besides, through interviewed with the local communities and contractors found that the management has invited them for the trainings such as PPE usage and handling on peat soil.	Complied
6.11.2	Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve smallholder productivity. - Minor compliance –	There is no scheme smallholder involved in the certification unit.	Not applicable
<b>Criterion 6.12:</b> No forms of forced or trafficked labour are used.			

Criterion / Indicator	Assessment Findings	Compliance	
6.12.1	<p>There shall be evidence that no forms of forced or trafficked labour are used.                      - Major compliance -</p>	<p>The company has recruited all the employees with legal identification for local and valid passport and work permit for foreign workers and contractors' workers. Contract of employment was signed by the workers prior to work. Sampled of foreign workers with valid work permit as below:</p> <ul style="list-style-type: none"> <li>i. Permit No.: PE 0877304 valid until 19/8/2019 (UIEPOM)</li> <li>ii. Permit No.: PE 7837066 valid until 12/7/2020 (UIEPOM)</li> <li>iii. Permit No.: PE 6551441 valid until 15/1/2020 (UIEPOM)</li> <li>iv. Permit No.: PE 1540877 valid until 22/9/2020 (UIEPOM)</li> <li>v. Permit No.: PE 7338316 valid until 28/2/2020 (UIEE)</li> <li>vi. Permit No.: PE 6188038 valid until 20/1/2020 (UIEE)</li> <li>vii. Permit No.: PE 7913223 valid until 26/7/2020 (UIEE)</li> <li>viii. Permit No.: PE 0877475 valid until 13/8/2019 (UIEE)</li> <li>ix. Permit No.: PE7264188 valid until 1/4/2020 (UIEE's Super Mandore's Worker)</li> <li>x. Permit No.: PE 7264304 valid until 1/4/2020 (UIEE's Super Mandore's Worker)</li> <li>xi. Permit No.: PE 7937065 valid until 12/11/2019 (UIEE's Super Mandore's Worker)</li> </ul> <p>Interviewed with the foreign workers confirmed that they have freedom to go out from the compound during off day. They are voluntarily to hand out their passport to keep by the management to avoid any loss of passport. They have signed on the Safekeeping of passport consent letter. They can get back their passport whenever needed.</p>	Complied
6.12.2	<p>Where applicable, it shall be demonstrated that no contract substitution has occurred.                      - Minor compliance –</p>	<p>Interviewed with the foreign workers confirmed that no contract substitution has occurred.</p>	Complied

Criterion / Indicator		Assessment Findings	Compliance
6.12.3	Where temporary or migrant workers are employed, a special labour policy and procedures shall be established and implemented. - Major compliance -	<p>Guest Workers Policy was established and implemented by the company. The policy has clearly stated the commitments below:</p> <ul style="list-style-type: none"> <li>i. No forms of forced labour or trafficked labour are used.</li> <li>ii. No difference is made between foreign and local workers.</li> <li>iii. There will be no contract substitution.</li> <li>iv. All foreign and local workers are covered under the purview of "workers' Minimum Standards of Housing and Amenities Act 1990.</li> </ul> <p>Besides, Recruitment of Guest Workers dated 14/4/2015 that incorporated into the United Plantations Berhad Standard Operating Procedures has clearly stated that the workers will be provided with orientation/ induction training upon their arrival.</p> <p>During on site visit to the labour quarters found that the houses were up to standard and new houses are under construction. Besides, interviewed with workers confirmed that no contract substitution and they were treated equally without discrimination.</p>	Complied
<b>Criterion 6.13:</b> Growers and millers respect human rights.			
6.13.1	A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations (see Criteria 1.2 and 2.1). - Major compliance -	<p>United Plantations Berhad has developed Human Rights Policy dated 18/8/2017 signed by Chief Executive Director. The policy has outlined the company's commitment to the protection and advancement of human rights wherever they operate. The policy included no discrimination to all the employees, all the complaints and grievances will be resolved through an open, transparent and consultative process and respect the land tenure rights. The policy has been displayed at notice board in front of the office. Briefing of the policy was conducted on 26/3/2019 in UIE POM and 10-14/2/2019 in UIE Estate and seen the attendance list with photo evidence.</p>	Complied

Criterion / Indicator	Assessment Findings	Compliance
6.13.2 As long as children of foreign workers in Sabah and Sarawak are ineligible to attend government school, the plantation companies should engage in a process to secure these children access to education as a moral obligation.	Not applicable in Peninsular Malaysia.	Complied
<b>Principle 8: Commitment to continual improvement in key areas of activity</b>		
<b>Criterion 8.1:</b> Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.		
8.1.1 The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria.  As a minimum, these shall include, but are not necessarily be limited to: <ul style="list-style-type: none"> <li>• Reduction in use of pesticides(Criterion 4.6);</li> <li>• Environmental impacts (Criteria 4.3, 5.1 and 5.2);</li> <li>• Waste reduction (Criterion 5.3);</li> <li>• Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8);</li> <li>• Social impacts (Criterion 6.1);</li> <li>• Optimising the yield of the supply base.</li> </ul> - Major compliance -	The continual improvement plan established as follow: A) RECYCLING OF WASTE / WASTE MANAGEMENT <ol style="list-style-type: none"> <li>1. Zero Burn Replanting Policy</li> <li>2. Empty Fruit Bunch Use by Estates</li> <li>3. POME USE – by the Estate</li> <li>4. Empty Fertilizer Bags Utilization</li> <li>5. Scrap Metal Sold – UIE Estates</li> <li>6. Spent Batteries/Dispatches to Waste Manager</li> <li>7. Spent Lubricants/Dispatches to Waste Manager</li> <li>8. Spent Fuel Filters/Dispatched to Waste Manager</li> <li>9. Triple Rinse Pesticide Containers sent to Waste Manager</li> <li>10. Clinical and Domestic Waste Disposal</li> </ol> B) POLLUTION PREVENTION/REDUCTION <ol style="list-style-type: none"> <li>1. Tractor Utilization</li> <li>2. Buffalo Use for Infield Fresh Fruit Collection</li> <li>3. Petrol Use by Estate &amp; Petrol Use by Oil Mill</li> <li>4. Diesel Use by Estate &amp; Diesel Use by Oil Mill</li> <li>5. Water Use for Oil Mill</li> <li>6. Biogas Plant (Eng. Dept.)</li> <li>7. BOD (Final discharge at Effluent Ponds)</li> <li>8. Mill Dust Emissions</li> <li>9. Biogas Plant &amp; Methane Gas Captured (Mill)</li> </ol>	Complied

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	<p>10. Biogas to Grid Project</p> <p>C) REDUCTION OF CHEMICAL USE</p> <ol style="list-style-type: none"> <li>1. Reduction in Chemical Use: Immature Oil Palm (trend is reducing)</li> <li>2. Reduction in Chemical Use: Mature Oil Palm (trend is reducing)</li> <li>3. Reduction in use of Monocrotophos (no usage in 2018)</li> <li>4. More Pheromone Traps</li> <li>5. Field Paths/Roads Mowing (rentices) &amp;</li> <li>6. Prevention of Soil Erosion by Grass Cutting</li> <li>7. Integrated Pest Management/Beneficial Plants</li> <li>8. Barn Owls (740 BOB installed, target 1000 BOB by 2023)</li> <li>9. Barn Owl Box Occupancy Rate (2018: 60%, target 85% by 2023)</li> </ol> <p>10. Rodenticide Use (warfarin: 0.7 kg/ha, no 2<sup>nd</sup> generation chemical used target: 0.45 by 2023)</p> <p>D) OCCUPATIONAL SAFETY AND HEALTH</p> <ol style="list-style-type: none"> <li>1. OSHA Safety Performance – UIE Estates</li> <li>2. OSHA Committee Meeting</li> <li>3. SOP and HIRARC Training</li> <li>4. Product Training by Suppliers</li> <li>5. Fire Drills &amp; First Aid Trainings</li> <li>6. Usage of PPE at work place</li> </ol> <p>E) SOCIAL IMPACTS</p> <ol style="list-style-type: none"> <li>1. Existing Amenities &amp; New Guest Workers Quarters</li> <li>2. Fruit Trees Planted</li> <li>3. Domestic Water Use</li> <li>4. Mini Market and Canteen</li> <li>5. Places of Worship</li> <li>6. New School Bus</li> <li>7. Automatic Teller Machine (ATM)</li> <li>8. Clinic &amp; New Ambulance</li> <li>9. Washing Bay</li> </ol>	



Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> <li>10. Security Guards</li> <li>11. Various Social Activities held</li> <li>12. Induction Course for Newly Arrived Workers</li> <li>13. Guest Workers Welfare Committee Meeting</li> <li>14. Stakeholders Meeting</li> <li>15. Gender Committee Meeting</li> </ul>	

**Appendix B: Approved Time Bound Plan**

Management Unit		Estate (Supply Base)	Time Bound Plan	Location	Status	
Mill	Time Bound Plan					
<b>Indonesia</b>						
Lada POM PT Surya Sawit Sejati	2018	Lada Estate	3248.63 ha	2018*	Kotawaringin Barat District, Central Kalimantan	RSPO Initial Assessment has been conducted on 11-14 <sup>th</sup> December 2017 for HGU clean & clear areas.
			2509.21 ha	2020**		
		Runtu Estate	2755.77 ha	2018*		
			6144.23 ha	2020**		
		Plasma Lada, Runtu, Arut, Kumai	1813.09 ha	2020** *		
<p>*HGU officially obtained on 12th March 2018.</p> <p>**Pelepasan HPK subject to the issuance of the HGU by Government of Indonesia.</p> <p>***Subject to issuance of land title for the members and SK Bupati.</p>						
<b>Malaysia</b>						
Jendarata POM	2008	Jendarata Estate, Seri Pelangi Estate	2008	36009 Teluk Intan, Perak Darul Ridzuan, Malaysia	ASA 2 2019	
Ulu Basir POM	2008	Ulu Basir Estate, Changkat Mentri Estate, Lima Blas Estate	2008	36500 Ulu Bernam, Perak Darul Ridzuan, Malaysia	ASA 2 2019	
Ulu Bernam POM	2008	Ulu Bernam Estate, Sungai Erong Estate, Sungai Chawang Estate	2008	36500 Ulu Bernam, Perak Darul Ridzuan, Malaysia	ASA 2 2019	
UIE POM	2008	UIE Estate	2008	34900 Pantai Remis, Perak Darul Ridzuan, Malaysia	ASA 2 2019	
*RSPO Recertification Assessment have been completed in 2017 and undergo RSPO ASA 1 in 2018.						

**Appendix C: GHG Reporting Executive Summary**

The GHG emissions that were produced in 2018 for UIE Palm Oil Mill and supply base was calculated using the PalmGHG Calculator version 3.0.1. The assessment team had verified the data input in the PalmGHG Calculator against operations records. PalmGHG Calculation Options selected 'Full version' and 'Exclude LUC Emission' calculation option is not applied. The records verified includes:

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

The summary of the Net GHG emitted in 2018 for UIE Palm Oil Mill and supply base are as following:

Emission per product	tCO <sub>2</sub> e/tProduct
CPO	1.3
PKO	1.3

Extraction	%
OER	21.17
KER	3.91

Production	t/yr
FFB Process	214,754
CPO Produced	45,468
PK Produced	8,392

Land Use	Ha
OP Planted Area	8,958
OP Planted on peat	806.22
Conservation (forested)	0
Conservation (non-forested)	91
<b>Total</b>	<b>9,855.22</b>

**Summary of Field Emission and Sink**

	Own Crop*		Group		3 <sup>rd</sup> Party		Total	
	tCO <sub>2</sub> e	tCO <sub>2</sub> e / FFB	tCO <sub>2</sub> e	tCO <sub>2</sub> e / FFB	tCO <sub>2</sub> e	tCO <sub>2</sub> e / FFB	tCO <sub>2</sub> e	tCO <sub>2</sub> e / FFB
<b>Emission</b>								
Land Conversion	80,312.26	0.41	0	0	0	0	0	0
CO <sub>2</sub> Emission from fertilizer	9,814.48	0.05	0	0	0	0	0	0
NO <sub>2</sub> Emmision	12,911.98	0.07	0	0	0	0	0	0
Fuel Consumption	2,330.25	0.01	0	0	0	0	0	0
Peat Oxidation	39,981.16	0.2	0	0	0	0	0	0
<b>Sink</b>								
Crop Sequestration	-76,168.69	-0.39	0	0	0	0	0	0
Conservation Sequestration	-757.91	0	0	0	0	0	0	0

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<b>Total</b>	<b>68,423.53</b>	<b>0.35</b>	0	0	0	0	0	0
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\*Note: Includes both estates and smallholders

**Summary of Mill Emission and Credit**

	tCO <sub>2</sub> e	tCO <sub>2</sub> e/tFFB
<b>Emission</b>		
POME	3,150.13	0.01
Fuel Consumption	345.58	0
Grid Electricity Utilisation	0	0
<b>Credit</b>		
Export of Grid Electricity	-1,716.88	-0.01
Sales of PKS	0	0
Sales of EFB	0	0
<b>Total</b>	<b>1,778.83</b>	<b>0.01</b>

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

<b>Emissions</b>	<b>tCO<sub>2</sub>e</b>
PK from own mill	10,938.32
PK from other source	0
Fuel Consumptions	0
<b>Total Crusher emissions</b>	<b>0</b>

\*This mill has no kernel crusher operation.

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

<b>POME Diverted to Anaerobic Digestion:</b>	
Divert to anaerobic pond (%)	100
Divert to methane captured (flaring) (%)	35
Divert to methane captured (energy generation) (%)	65

**Appendix D: General Chain of Custody Requirements for the Supply Chain**

<b>5.1 Applicability of the general chain of custody requirements for the supply chain</b>			
	<b>Requirement</b>	<b>Evidence</b> For any N/A raised, justification is required.	<b>Compliance</b> (Yes / No or N/A)
5.1.1	The General Chain of Custody requirements of the RSPO Supply Chain Standard shall apply to any organization throughout the supply chain that takes legal ownership and physically handles RSPO Certified Sustainable oil palm products at a location under the control of the organization including outsourced contractors. After the end product manufacturer, there is no further requirement for certification.	UIE POM takes legal ownership and physically handle the RSPO Certified Sustainable oil palm products such as CPO and PK. All trading, contract and sales are managed by Marketing Department, HQ and held the PalmTrace registration number for respective mill. (UIE Palm Oil Mill: RSPO_PO1000006825).	Yes
5.1.2	Traders and distributors require a licence obtained from RSPO Secretariat to sell RSPO certified product but do not themselves require certification. When selling RSPO certified products, a licensed trader and/or distributor shall pass on the certification number of the product manufacturer and the applicable supply chain model.	UIE Palm Oil Mill is not a trader and distributor. Therefore, no license is required and the requirement is not applicable.	N/A
5.1.3	Either the operator at site level or its parent company seeking certification shall be a member of the RSPO and shall register on the RSPO IT platform.	UIE Plantations Berhad held RSPO membership number: 1-0004-04-000-00 since 19 July 2004. UIE Palm Oil Mill has registered in Palm Trace system as follows: Members ID: RSPO_PO1000006825 License valid until 28/09/2019 Member category : Oil Mill	Yes
5.1.4	Processing aids do not need to be included within an organization’s scope of certification.	UIE Palm Oil Mill is not refinery; therefore, no processing aids need to be included.	N/A
<b>5.2 Supply chain model</b>			

5.2.1	The site can only use the same supply chain model as its supplier or go to a less strict system. Declassification/downgrading can only be done in the following order: Identity Preserved -> Segregated -> Mass Balance.	<p>UIE Palm Oil Mill is using Identity Preserved Supply Chain Module since the FFB suppliers are from own certified supplying estate. Declassification of the CPO or PK was done in accordance to the correct order.</p> <p>During the period of June 2018 – May 2019, UIE Palm Oil Mill has received and processed FFB from own plantation: 236,958.04 MT.</p>	Yes
5.2.2	The site can use one (1) or a combination of supply chain models as audited and certified by the CB.	UIE Palm Oil Mill is Identity Preserved certified and sales of the products were of IP or conventional only.	Yes
<b>5.3. Documented Procedures</b>			
5.3.1	<p>The site shall have written procedures and/or work instructions or equivalent to ensure the implementation of all elements of the applicable supply chain model specified. This shall include at minimum the following:</p> <ul style="list-style-type: none"> <li>• Complete and up to date procedures covering the implementation of all the elements of the supply chain model requirements.</li> </ul>	<p>RSPO Supply Chain Module D – CPO Mills: Identity Preserved dated 15/2/2019, Rev. 07 has been established to verify the volumes and sources of certified FFBs entering the mill, implementation of any processing controls and sales volumes of RSPO certified products. The procedure consisted of the following topics:</p> <ol style="list-style-type: none"> <li>Procedures for handling of non-conforming palm oil products and/ or documents</li> <li>Grievances/ Complaints</li> <li>Internal Audit</li> <li>Record Keeping</li> <li>Management Review</li> <li>Sales and goods out</li> </ol>	Yes
	<ul style="list-style-type: none"> <li>• Complete and up to date records and reports that demonstrate compliance with the supply chain model requirements (including training records).</li> </ul>	<p>Among the records included in the procedures are:</p> <ol style="list-style-type: none"> <li>Weighbridge tickets</li> <li>Dispatch of CPO/PK delivery order</li> <li>Daily Production Report</li> <li>FFB Despatch Report from supplying estate</li> <li>Training records</li> <li>FFB Transaction records</li> </ol>	Yes

		<p>All the records were found to be up-to-date.</p> <p>There was a training on the Standard Operating Procedure on Traceability and Supply Chain Module for Mill and Estate Representative carried out by Mill Engineer on 26/2/2019. Attendance list was sighted where Office Clerk, Laboratory Operator, estates' personnel and Weighbridge Operator have participated in the training.</p>	
	<ul style="list-style-type: none"> <li>• Identification of the role of the person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the organization's procedures for the implementation of this standard.</li> </ul>	<p>The Deputy Group Engineer has been appointed as the officer-in-charge for MSPO and RSPO Supply Chain Certification Standard (SCCS). Interviewed with the PIC confirmed that he was able to demonstrate the implementation of their procedures in accordance to the standard.</p>	Yes
5.3.2	<p>The site shall have a written procedure to conduct annual internal audit to determine whether the organization;</p> <p>i) conforms to the requirements in the RSPO Supply Chain Certification Standard and the RSPO Market Communications and Claims Documents.</p>	<p>RSPO Supply Chain Module D – CPO Mills: Identity Preserved dated 15/2/2019, Rev. 07 has been established which has included the procedure for Internal Audit. The frequency of the internal audit is at least annually as per the procedure. The procedure has clearly stated the requirements of the internal audit where RSPO SCCS and Rules on Market Communications and Claims to be covered.</p>	Yes
	<p>ii) effectively implements and maintains the standard requirements within its organization</p>	<p>The first internal audit was carried out on 1-2/3/2019 by Sustainability team. There no non-conformance was raised during the audit through verified the Internal Audit Summary Report. All the clauses in RSPO SCCS and RSPO Market Communications and Claims were covered during the audit.</p>	Yes
<p><b>5.4. Purchasing and goods in</b></p>			

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5.4.1	<p>The receiving site shall ensure that purchases of RSPO certified oil palm products are in compliance and the following minimum information for RSPO certified products is made available by the supplier in document form:</p> <ul style="list-style-type: none"> <li>• The name and address of the buyer;</li> <li>• The name and address of the seller;</li> <li>• The loading or shipment/delivery date;</li> <li>• The date on which the documents were issued;</li> <li>• A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations);</li> <li>• The quantity of the products delivered;</li> <li>• Any related transport documentation;</li> <li>• Supply Chain certificate number of the seller;</li> <li>• A unique identification number</li> </ul>	<p>When FFB delivered to the mill from the estate, the transporters presented FFB despatch report to the mill weighbridge clerk in order the FFB to be received by the mill.</p> <p>E.g. of information available in the FFB despatch report is as follows:</p> <ul style="list-style-type: none"> <li>• FFB despatch report no. (52702)</li> <li>• Estate’s names (UIE estate 2)</li> <li>• Date &amp; time of delivery (10/6/19)</li> <li>• Field No. (84 and 95)</li> <li>• No. of cages (17 cages: field 84, 12 cages: field 95)</li> <li>• Cages information</li> </ul> <p>E.g. of information available in the mill’s weighbridge tickets is as follows:</p> <ul style="list-style-type: none"> <li>• FFB despatch report no. (52702)</li> <li>• Estate’s names (UIE estate 2)</li> <li>• Date &amp; time of delivery (10/6/19)</li> <li>• Field No. (84 and 95)</li> <li>• No. of cages (17 cages: field 84, 12 cages: field 95)</li> <li>• Cages information (026A/19)</li> <li>• Weight (160.810 mt )</li> </ul>	Yes
	<ul style="list-style-type: none"> <li>• Information shall be complete and can be presented either on a single document or across a range of documents issued for RSPO certified oil palm products (for example, delivery notes, shipping documents and specification documentation).</li> </ul>	<p>The information was available in various documents such as FFB despatch report and weighbridge tickets.</p>	Yes
	<ul style="list-style-type: none"> <li>• The site receiving RSPO certified oil palm products shall ensure that the products are verified as being RSPO certified. For sites that are required to announce and confirm trades in the RSPO IT platform, this shall include making Shipping Announcements/Announcements and</li> </ul>	<p>The site has ensured that the FFB &amp; PK are certified based on the source of FFB. The certified FFB &amp; PK only come from their own estate, which is UIE estate.</p>	Yes



	Confirmations on the RSPO IT platform per shipment or group shipments. Refer to section 5.7.1 of this document for further guidance.		
	<ul style="list-style-type: none"> <li>A check of the validity of the Supply Chain Certification of suppliers is required for all sites that are SC certified. This shall be checked via the list of RSPO Supply Chain Certified sites on the RSPO website (<a href="http://www.rspo.org">www.rspo.org</a>) at least annually or through the RSPO IT Platform by confirmation of (shipping) announcements.</li> </ul>	The site does not need to check the certificate validity of the FFB source, because the source is from own estate which is UIE estate. If required, validity check of supply chain certification of supplier is done via the list of RSPO Supply Chain Certified sites on the RSPO website ( <a href="http://www.rspo.org">www.rspo.org</a> ).	N/A
	<ul style="list-style-type: none"> <li>The validity of licence for traders and distributors shall also be checked via the RSPO website at least annually or through the RSPO IT platform by confirmation of shipping announcements / announcements.</li> </ul>	NA – this part is applicable for supply chain actor after refinery.	N/A
5.4.2	The site shall have a mechanism in place for handling non-conforming oil palm products and/or documents.	RSPO Supply Chain Module D – CPO Mills: Identity Preserved dated 15/2/2019, Rev. 07 has been established that has included the procedures for handling of non-conforming palm oil products and/ or documents under Section 13.0. Procedure of any non-conforming related to quality of products, non-certified products and documents has clearly stated in the procedure. Segregation of non-certified products if have receive any.	Yes
<b>5.5. Outsourcing activities</b>			
5.5.1	In cases where an operation seeking or holding certification outsources activities to independent third parties (e.g. subcontractors for storage, transport or other outsourced activities), the operation seeking or holding certification shall ensure that the independent third party complies with the requirements of the RSPO Supply Chain Certification Standard. A CPO mill and independent mil cannot outsource processing activities like refining or crushing.	No bulking facilities outsourced by the mill. Transporter for PK was assigned by buyer. For CPO, contract agreement with contractor, Sakthy Transport Sdn Bhd was made available for review, effective from 1/1/19 to 31/12/19.	Yes

	This requirement is not applicable to outsourced storage facilities where the management of the oil palm product(s) and instructions for tank movements are controlled by the certified organization (not the tank farm manager).		
5.5.2	Sites which include outsourcing within the scope of their RSPO Supply Chain certificate shall ensure the following: a. The site has legal ownership of all input material to be included in outsourced processes;	Not applicable. No outsourcing activity.	N/A
	b. The site has an agreement or contract covering the outsourced process with each contractor through a signed and enforceable agreement with the contractor. The onus is on the site to ensure that certification bodies (CBs) have access to the outsourcing contractor or operation if an audit is deemed necessary.	Not applicable. No outsourcing activity.	N/A
	c. The site has a documented control system with explicit procedures for the outsourced process which is communicated to the relevant contractor.	Not applicable. No outsourcing activity.	N/A
	d. The site seeking or holding certification shall furthermore ensure (e.g. through contractual arrangements) that independent third parties engaged provide relevant access for duly accredited CBs to their respective operations, systems, and any and all information, when this is announced in advance.	Not applicable. No outsourcing activity.	N/A
5.5.3	The site shall record the names and contact details of all contractors used for the processing or physical handling of RSPO certified oil palm products.	Not applicable. No outsourcing activity.	N/A
5.5.4	The site shall at its next audit inform its CB of the names and contact details of any new contractor used for the processing or physical handling of RSPO certified oil palm products.	Not applicable. No outsourcing activity.	N/A

5.6. Sales and goods out		
5.6.1	<p>The supplying site shall ensure that the following minimum information for RSPO certified products is made available in document form.</p> <ul style="list-style-type: none"> <li>• The name and address of the buyer;</li> <li>• The name and address of the seller;</li> <li>• The loading or shipment/ delivery date;</li> <li>• The date on which the documents were issued;</li> <li>• A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations);</li> <li>• The quantity of the products delivered;</li> <li>• Any related transport documentation;</li> <li>• Supply chain certificate number of the seller;</li> <li>• A unique identification number</li> </ul>	<p>UIE POM ensured the required information is available in document form. Sampled of CPO contract: UCPOP20190013 dated 26/2/19, quantity 3,000 mt (delivery month – May 2019)</p> <ul style="list-style-type: none"> <li>• The name and address of the buyer; XXX</li> <li>• The name and address of the seller: The loading or shipment/ delivery date; e.g. 4/10/18</li> <li>• The date on which the documents were issued;</li> <li>• A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations); Crude Palm Oil (CPO) RSPO IP</li> <li>• The quantity of the products delivered; e.g. 43.37 mt</li> <li>• Any related transport documentation; e.g. Despatch note e.g. #00000100565</li> <li>• Supply chain certificate number of the seller; e.g. On weighbridge ticket e.g. RSPO 693198</li> <li>• A unique identification number: palm trace no. TR-8b0ceba2-8d45</li> <li>• Available in a few forms e.g. DN no., seal no., etc.</li> </ul> <p>UIE POM ensured the required information is available in document form. Sampled of PK contract: UPKP201900028 dated 20/11/18, quantity 2,174 mt (delivery month – March 2019)</p> <ul style="list-style-type: none"> <li>• The name and address of the buyer; XXX</li> <li>• The name and address of the seller: UIE (M) Sdn Bhd</li> <li>• The loading or shipment/ delivery date; e.g. 13/3/2019</li> <li>• The date on which the documents were issued;</li> </ul>

Yes

		<ul style="list-style-type: none"> <li>• A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations); Palm Kernel (PK) RSPO IP/SG</li> <li>• The quantity of the products delivered; e.g. 31.38 mt</li> <li>• Any related transport documentation; e.g. Despatch note e.g. #0000098049</li> <li>• Supply chain certificate number of the seller; e.g. On weighbridge ticket e.g. RSPO 693198</li> <li>• A unique identification number: palm trace no. TR-241a0a11-77f8</li> </ul> <p>Available in a few forms e.g. DN no., seal no., etc.</p>	
	<ul style="list-style-type: none"> <li>• Information shall be complete and can be presented either on a single document or across a range of documents issued for RSPO certified oil palm products (for example, delivery notes, shipping documents and specification documentation).</li> </ul>	Information is complete and available in various documents such as sales contract, mill weighbridge ticket, delivery note, transporter collection order.	Yes
	<ul style="list-style-type: none"> <li>• For sites that are required to announce and confirm trades in the RSPO IT platform, this shall include making Shipping Announcements / Announcements and Confirmations on the RSPO IT platform per shipment or group of shipments. Refer to section 5.7.1 of this document for further guidance.</li> </ul>	Review period is from June 2018 to May 2019. Shipping announcement details can be referred to table C.	Yes
<b>5.7. Registration of transactions</b>			
5.7.1	<p>Supply chain actors who:</p> <ul style="list-style-type: none"> <li>• are mills, traders, crushers and refineries and;</li> <li>• take legal ownership and/or physically handle RSPO Certified Sustainable oil palm products that are available in the yield scheme of the RSPO IT Platform (Figure 2 and 3, Refer Annex 1) shall register their transaction in the RSPO IT platform and confirm upon receipt where applicable.</li> </ul>	<p>The registration of PalmTrace will be carried out by the Marketing Department, HQ. All transaction will be registered in the PalmTrace. Company has registered in PalmTrace system as follows:</p> <p>Members ID: RSPO_PO1000006825  License valid until 28/09/2019  Member category : Oil Mill</p>	Yes

		<p>UIE Plantations Berhad held RSPO membership number: 1-0004-04-000-00 since 19 July 2004.</p>	
<p>5.7.2</p>	<p>The involved supply chain actors mentioned in 5.7.1 shall do the following actions in the RSPO IT Platform:</p> <ul style="list-style-type: none"> <li>Shipping Announcement / Announcement: When RSPO certified volume is sold as certified, the volumes of products that are in the yield scheme (Figure 2 and 3, refer Annex 1) shall be registered as a Shipping Announcement / Announcement in the RSPO IT Platform. The declaration time to do Shipping announcement / Announcement is based on members' own standard operating procedures.</li> </ul>	<p>RSPO certified volume of CPO and PK sold as certified are registered as shipping announcement in Palmtrace. The volume is declared upon completion of delivery of each sales contract within a month from the last delivery date.</p> <p>RSPO certified volume of CPO and PK sold as conventional or in case of under production, loss or damage shall be removed in the Palmtrace IT system of the Mill.</p> <p>Sampled of CPO contract: UCPOP20190013 dated 26/2/19, quantity 3,000 mt (delivery month – May 2019)</p> <ul style="list-style-type: none"> <li>The name and address of the buyer; XXX</li> <li>The name and address of the seller: The loading or shipment/ delivery date; e.g. 4/10/18</li> <li>The date on which the documents were issued;</li> <li>A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations); Crude Palm Oil (CPO) RSPO IP</li> <li>The quantity of the products delivered; e.g. 43.37 mt</li> <li>Any related transport documentation; e.g. Despatch note e.g. #00000100565</li> <li>Supply chain certificate number of the seller; e.g. On weighbridge ticket e.g. RSPO 693198</li> <li>A unique identification number: palm trace no. TR-8b0ceba2-8d45</li> <li>Available in a few forms e.g. DN no., seal no., etc.</li> </ul>	<p>Yes</p>

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		<p>UIE POM ensured the required information is available in document form. Sampled of PK contract: UPKP201900028 dated 20/11/18, quantity 2,174 mt (delivery month – March 2019)</p> <ul style="list-style-type: none"> <li>• The name and address of the buyer; XXX</li> <li>• The name and address of the seller: UIE (M) Sdn Bhd</li> <li>• The loading or shipment/ delivery date; e.g. 13/3/2019</li> <li>• The date on which the documents were issued;</li> <li>• A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations); Palm Kernel (PK) RSPO IP/SG</li> <li>• The quantity of the products delivered; e.g. 31.38 mt</li> <li>• Any related transport documentation; e.g. Despatch note e.g. #0000098049</li> <li>• Supply chain certificate number of the seller; e.g. On weighbridge ticket e.g. RSPO 693198</li> <li>• A unique identification number: palm trace no. TR-241a0a11-77f8</li> </ul> <p>Available in a few forms e.g. DN no., seal no., etc.</p>	
	<ul style="list-style-type: none"> <li>• Trace: When RSPO certified volumes are sold as RSPO certified to actors in the supply chain beyond the refinery, the volume shall be traced at least annually. Tracing triggers the generation of a trace document with a unique traceability number. Tracing can be done in a consolidated way at least annually.</li> </ul>	<p>Not applicable. Products are not sold beyond refinery.</p>	<p>N/A</p>
	<ul style="list-style-type: none"> <li>• Remove: RSPO certified volumes sold under other scheme or as conventional, or in case of underproduction, loss or damage shall be removed.</li> </ul>	<p>No RSPO certified volumes sold under other scheme.</p>	<p>N/A</p>

	<ul style="list-style-type: none"> <li>Confirm: Acknowledge the purchase of RSPO certified volume by confirming Shipping Announcements / Announcements.</li> </ul>	Not applicable. UIE POM only received certified FFB from UIE estate. No announcement required for FFB supply.	N/A
<b>5.8. Training</b>			
5.8.1	The organization shall have a training plan on RSPO Supply Chain Standards requirements, which is subject to on-going review and is supported by records of the training provided to staff.	UIE Palm Oil Mill has developed Training Plan 2019 which has planned for the training of Supply Chain and other trainings.	Yes
5.8.2	Appropriate training shall be provided by the organization for personnel carrying out the tasks critical to the effective implementation of the supply chain certification standard requirements. Training shall be specific and relevant to the task(s) performed.	There was a training on the Standard Operating Procedure on Traceability and Supply Chain Module for Mill and Estate Representative carried out by Mill Engineer on 26/2/2019. Attendance list was sighted where Office Clerk, Laboratory Operator, estates' personnel and Weighbridge Operator have participated in the training.	Yes
<b>5.9. Record Keeping</b>			
5.9.1	The organization shall maintain accurate, complete, up-to-date and accessible records and reports covering all aspects of these RSPO Supply Chain Certification Standard requirements.	RSPO Supply Chain Module D – CPO Mills: Identity Preserved dated 15/2/2019, Rev. 07 has been established which has included the record keeping requirements into the procedure. The mill has maintained the accurate, complete, up-to-date and accessible records and reports covering all aspects of these Sustainability Management System as below: <ul style="list-style-type: none"> <li>i. Dispatch of CPO/PK delivery order</li> <li>ii. Daily Production Report</li> <li>iii. FFB Despatch Report from supplying estate</li> <li>iv. Training records</li> <li>v. FFB Transaction records</li> </ul>	Yes
5.9.2	Retention times for all records and reports shall be a minimum of two (2) years and shall comply with legal and regulatory requirements and be able to confirm the certified status of raw materials or products held in stock.	The retention period of all the records were to keep for 3 years as stated in the procedure.	Yes

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5.9.3	The organization shall be able to provide the estimate volume of palm oil/palm kernel oil content (separate categories) in the RSPO certified oil palm product and keep an up to date record of the volume purchased (input) and claimed (output) over a period of twelve (12) months.	Forecast volume for June 2019 – May 2020: CSPO: 51,050 MT CSPK: 11,420 MT	Yes
<b>5.10. Conversion factors</b>			
5.10.1	Where applicable a conversion rate shall be applied to provide a reliable estimate for the amount of certified output available from the associated inputs. Organizations may determine and set their own conversion rates which shall be based upon past experience, documented and applied consistently. Guidance on conversion rates is published on the RSPO website ( <a href="http://www.rspo.org">www.rspo.org</a> ); RSPO Rules for Physical Transition of OINShemicals and its derivatives. This is relevant for derivatives of Palm Oil and Palm Kernel Oil, as used in the chemical and personal care industries.	Conversion factor of CPO and PK production is depending on the actual OER and KER. Last year’s average from June 2018 to May 2019 were 21.24% (OER) & 3.86% (KER).	Yes
5.10.2	Conversion rates shall be periodically updated to ensure accuracy against actual performance or industry average if appropriate.	The facility is using the actual extraction rate and therefore updating of rates is not necessary.	N/A
<b>5.11. Claims</b>			
5.11.1	The site shall only make claims regarding the use of or support of RSPO certified oil palm products that are in compliance with the RSPO Rules on Market Communications and Claims.	United Plantations Berhad has obtained Trademark License from RSPO and seen the trademark license# 1-0004-04-100-00 which valid from 5/7/2018 – 4/7/2020 for IP Model. RSPO trademark was not use as POM producing raw product (CPO and PK). However, trademark was used on the Annual Report 2018 and company website. Nonetheless, the facility is aware with the requirements of the RSPO Rules on Market Communications and Claims. Claim made for IP product is stamped on the delivery notes.	Yes
<b>General corporate communications</b>			



4.1	A corporate communication is one made by any RSPO member that highlights its membership of the RSPO and/or its commitment to the principles of the RSPO. Corporate communication is an 'off-product' claim.	United Plantations Berhad has stated the member's history with regard to RSPO in the company's website and Annual Report 2018 with the trademark logo used. The trademark logo was used in accordance with the format.	Yes
4.2	In corporate communications a member is allowed to: a. Display its RSPO membership status b. Display the RSPO web address (www.rspo.org) c. State that the member supports the work of the RSPO d. State the member's history with regard to the RSPO. e. Use the RSPO trademark to promote its membership of the RSPO. Additionally, where an RSPO member displays the RSPO trademark in digital format this must be accompanied by the text 'Check our progress at www.rspo.org' where the link must lead to the member's profile page.	United Plantations Berhad has stated the member's history with regard to RSPO in the company's website and Annual Report 2018 with the trademark logo used. The trademark logo was used in accordance with the format.	Yes
4.3	In corporate communications RSPO members must not make any statement that may lead consumers to believe that RSPO membership by itself implies the selling of RSPO-certified oil palm products.	The company does not make any statement that may misleading to the consumers to believe that RSPO membership by itself implies that selling of RSPO-certified oil palm products by verified through the website.	Yes
4.4	Members must ensure that all communication is consistent, clear and cannot mislead consumers or other stakeholders as to the certified content of oil palm products in the member's own products.	The communication that made via website is consistent, clear and does not mislead the consumer and stakeholders as to the certified content of oil palm products in their own products.	Yes
4.5	Members are not allowed to use the RSPO corporate logo as shown in the RSPO Rules on Market Communications & Claims document. This is for the sole use of the RSPO secretariat.	There was no RSPO corporate logo has been used verified through website, notice board, business card, shipping documentation and procurement/ purchasing document.	Yes
<b>Business to business communications</b>			
5.1	Business to Business communication relates to RSPO members in the supply chain selling to and/or communicating with other organizations in the supply chain about the use of certified sustainable oil palm products.	Business to business communication is demonstrated via shipping documentation and invoices to the next supply chain actor or buyer. No claims have been made.	Yes

5.2	When confirming the sale of certified oil palm products, members must adhere to the requirements of the RSPO SCCS. This includes stating the supply chain model and certificate number under which the claim is being made.	Shipping documentation verified and conformance with the requirements of RSPO SCCS. In the weighbridge ticket, it stated that the product is CPO with RSPO certificate number: RSPO 693198.	Yes
5.3	<p>Where a distributor or wholesaler takes title to products containing certified sustainable oil palm products, the requirements of the RSPO SCCS can follow either of two options:</p> <ul style="list-style-type: none"> <li>a. If the distributor or wholesaler holds only a Distributor license, it may only communicate RSPO-certified oil palm products by linking the product to the manufacturer using the manufacturer’s SCCS certificate number. This covers both brand and own brand products. However, in the case of own brand products it is essential that customers are aware that the product has been made on behalf of the distributor or wholesaler, with specific evidence either through on-pack claims or documentation.</li> <li>b. If the distributor or wholesaler is supply chain-certified they should follow the requirements outlined in section 5.2.</li> </ul>	UIE Palm Oil Mill is not under distributor or wholesaler category. Thus, this requirement is not applicable.	N/A
5.4	<p>A certified member can provide information to its customers detailing the presence of certified palm oil contained within a product even if it is not eligible for a product-specific under RSPO rules. The end product must not be labelled as certified or sold in such a way that implies RSPO certification.</p> <p>For example, a retailer or food service company may require a breakdown of all palm based ingredients within an end product and the certified status of each. This information may be provided by a certified RSPO member without constituting a product-specific claim.</p>	UIE Palm Oil Mill is producing crude palm product and does not involved in any labelling of end product and the presence of certified palm oil contained within a product. This requirement is for the next supply chain actor and not applicable for POM.	N/A
<b>Business to consumer communication</b>			

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6.1	Only RSPO members that have supply chain certification are allowed to make business to consumer claims about the certified sustainable oil palm products contained within product(s), which are known as 'product-specific' claims. Product-specific claims are voluntary.	No business to consumer communication on product specific claim made by UIE Palm Oil Mill and only produce crude and unfinished product. This is not applicable for POM.	N/A
6.2	Only RSPO members who have supply chain certification are authorised to use the RSPO trademark and/or RSPO label, with the exception of RSPO Credits and of retailers in accordance with 6.8 below.	No business to consumer communication on product specific claim made by UIE Palm Oil Mill and only produce crude and unfinished product. This is not applicable for POM.	N/A
6.3	When on-pack claims on RSPO-certified sustainable oil palm products are used, the RSPO trademark and associated identification number must be present.	No business to consumer communication on product specific claim made by UIE Palm Oil Mill and only produce crude and unfinished product. This is not applicable for POM.	N/A
6.4	Business to consumer communication shall not include information about the claimant's RSPO membership status.	No business to consumer communication on product specific claim made by UIE Palm Oil Mill and only produce crude and unfinished product. This is not applicable for POM.	N/A
6.5	Members shall not communicate to consumers information about their suppliers' RSPO membership status.	No business to consumer communication on product specific claim made by UIE Palm Oil Mill and only produce crude and unfinished product. This is not applicable for POM.	N/A
6.6	Use of the RSPO trademark is restricted to claims about RSPO-certified sustainable palm oil products and it is not authorised for use in relation to any other ingredient.	No business to consumer communication on product specific claim made by UIE Palm Oil Mill and only produce crude and unfinished product. This is not applicable for POM.	N/A
6.7	Use of any other trademark or logo to highlight the presence of RSPO-certified sustainable oil palm products is an unauthorised product-specific claim.	No business to consumer communication on product specific claim made by UIE Palm Oil Mill and only produce crude and unfinished product. This is not applicable for POM.	N/A
6.8	RSPO members who are retailers or food service companies can apply for an RSPO trademark license for use in business to consumer communications, provided they can demonstrate the validity of these claims to an RSPO-accredited certification body (CB). This will be undertaken via a remote audit, prior to the trademark use, during which the retailer or food service company will need to demonstrate that the use	No business to consumer communication on product specific claim made by UIE Palm Oil Mill and only produce crude and unfinished product. This is not applicable for POM.	N/A

	<p>of the trademark is in compliance with the rules contained within this document and that the claim itself can be supported through a certified supply chain. Any other palm oil claims, including those highlighting the absence of palm oil, must be highlighted to the CB during the audit to ensure that all claims comply with the requirements of these rules. The CB will confirm the outcome of these audits, to be conducted annually, to RSPO who may continue to grant a trademark license or withdraw permission based upon the audit findings. This is in keeping with the rules applying to RSPO supply chain certified members. The guidance document for audits is available on <a href="http://www.rspo.org">www.rspo.org</a>.</p>		
<p><b>MODULE A – IDENTITY PRESERVED &amp; SEGREGATED SPECIFIC RULES</b></p>			
<p><b>Certified oil palm content (IP)</b></p>			
	<p>For IP, 95% or above of the oil palm content must be RSPO IP-certified.</p>	<p>Oil palm content is 100% CPO and claim as RSPO IP-certified.</p>	<p>Yes</p>
	<p>For SG, 95% or above of the oil palm content must be SG, or a combination of SG and IP.</p>	<p>No SG claim made.</p>	<p>N/A</p>
	<p>Where there is any percentage of non-certified oil palm within the product, the reason for this must be fully justified and an action plan for moving to fully certified oil palm must be in place, in accordance with the requirements of the RSPO SCCS. In addition, the volume of non-certified oil palm products must be covered by the purchase of RSPO Credits of equivalent volume.</p>	<p>Oil palm content is 100% CPO and claim as RSPO IP-certified. All infeed material (FFB) is RSPO certified.</p>	<p>Yes</p>
<p><b>Labelling and trademark (IP)</b></p>			
	<p>Members are allowed to use the RSPO label in one of the following ways:  a. RSPO trademark which includes the tag 'CERTIFIED' or  b. RSPO trademark which includes the tag 'This product contains certified sustainable palm oil'. Wherever a RSPO trademark is displayed, the applicable trademark license number must be shown</p>	<p>As to date, no RSPO trademark used on the RSPO products. United Plantations Berhad has stated the member's history with regard to RSPO in the company's website and Annual Report 2018 with the trademark logo used. The trademark logo was used in accordance with the format.</p>	<p>Yes</p>

	immediately under or next to the trademark or the 'statement'. Font must be Calibri, font size must be at least 4pt (1.4 mm or 0.06 inch). In on-pack communications, the RSPO trademark can be printed anywhere on the pack.		
<b>Messaging (IP)</b>			
	<p>Messaging ALLOWED in storytelling in product-related communications may include some or all of the following elements:</p> <ul style="list-style-type: none"> <li>• The oil palm products contained in this product have been certified to come from RSPO sources. <a href="http://www.rspo.org">www.rspo.org</a></li> <li>• By choosing this product, you are sure it contains RSPO-certified palm oil. For more information: <a href="http://www.rspo.org">www.rspo.org</a></li> <li>• RSPO-certified sustainable oil palm products were kept apart from other oil palm products throughout the supply chain. <a href="http://www.rspo.org">www.rspo.org</a></li> <li>• Certified sustainable oil palm products can be traced back to RSPO-certified mills and plantations. <a href="http://www.rspo.org">www.rspo.org</a></li> <li>• The entire supply chain is monitored by independent, RSPO-accredited auditors. <a href="http://www.rspo.org">www.rspo.org</a></li> <li>• RSPO-certified sustainable palm oil has been produced to stringent environmental and social criteria. <a href="http://www.rspo.org">www.rspo.org</a></li> <li>• References to (or images of) particular RSPO-certified production units, if the relationship to those units can be shown by company records.</li> </ul>	As to date, no RSPO trademark used on the RSPO products. United Plantations Berhad has stated the member's history with regard to RSPO in the company's website and Annual Report 2018 with the trademark logo used. The trademark logo was used in accordance with the format.	Yes
<b>5.12. Complaints</b>			
5.12.1	The organization shall have in place and maintain documented procedures for collecting and resolving stakeholder complaints.	RSPO Supply Chain Module D – CPO Mills: Identity Preserved dated 15/2/2019, Rev. 07 has been established where grievances/ complaints procedure has included which will made reference to SOP on internal audit. So far, all the customer feedbacks will be sent to Deputy Group Engineer through email or phone calls. All the concerns will be resolved accordingly through discussion with the customer.	Yes

<b>5.13. Management Review</b>			
5.13.1	The organization is required to hold management reviews annually at planned intervals, appropriate to the scale and nature of the activities undertaken.	The frequency of the management review meeting will be reviewed periodically which is at least annually as stipulated in the procedure. The management review meeting was carried out 26/3/2019 which chaired by Deputy Group Engineer.	Yes
5.13.2	The input to management review shall include information on: <ul style="list-style-type: none"> <li>• Results of internal audits covering RSPO Supply Chain Certification Standard.</li> <li>• Customer feedback.</li> <li>• Status of preventive and corrective actions.</li> <li>• Follow-up actions from management reviews.</li> <li>• Changes that could affect the management system.</li> <li>• Recommendations for improvement.</li> </ul>	Seen the meeting minutes of the management review meeting found that inputs of the management review are such as results of internal audit and external audit, customer feedback, status of preventive and corrective action, follow-up actions from management reviews, changes and improvement needed were discussed during the meeting.	Yes
5.13.3	The output from the management review shall include any decisions and actions related to: <ul style="list-style-type: none"> <li>• Improvement of the effectiveness of the management system and its processes.</li> <li>• Resource needs.</li> </ul>	Output from the management review meeting has been discussed during the management review meeting which has included resource needs and improvement of the effectiveness of the management systems and its processes.	Yes

**Appendix E : CPO Mill Supply Chain Assessment Report (Module D - CPO Mills: Identity Preserved )**

<b>D.1 Definition</b>			
	<b>Requirement</b>	<b>Evidence</b> For any N/A raised, justification is required.	<b>Compliance</b> (Yes / No or N/A)
D.1.1	A mill is deemed to be Identity Preserved (IP) if the FFB used by the mill are sourced from plantation/ estates that are certified against the RSPO Principles and Criteria (RSPO P&C), or against the Group Certification scheme. Certification for CPO mills is necessary to verify the volumes and sources of certified FFB entering the mill, the implementation of any processing controls (for example, if physical separation is used), and volume sales of RSPO certified products. If a mill process certified and uncertified FFB without physically separating them, then only Module E is applicable.	UIE Palm Oil Mill only receives certified FFB from own certified supply base. Therefore, qualifies for the Identity Preserved supply chain system and module. During the P&C assessment, the audit team verified the volumes and sources of certified FFB entering the mill, the implementation of processing controls and volume sales of RSPO certified products.	Yes
<b>D.2 Explanation</b>			
D.2.1	The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill must be recorded by the certification body (CB) in the public summary of the P&C certification report. For an independent mill, the estimated tonnage of CPO and PK products must be recorded in the RSPO IT platform, supply chain certificate and public summary audit report. This figure represents the total volume of certified oil palm product (CPO and PK) that the certified mill is allowed to deliver in a year. The actual tonnage produced shall then be recorded in each subsequent annual surveillance report.	The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill is recorded in this public summary report.	Yes
D.2.2	The mill must also meet all registration and reporting requirements for the appropriate supply chain through the RSPO supply chain managing organization (RSPO IT platform).	The mill has met all registration and reporting requirements for the appropriate supply chain through the RSPO supply chain managing organization, PalmTrace.	Yes

		The registration of PalmTrace will be carried out by the Marketing Department in HQ. Company has registered in PalmTrace system as follows: Members ID: RSPO_PO1000006825 License valid until 28/09/2019 Member category : Oil Mill	
<b>D.3 Documented procedures</b>			
D.3.1	The site shall have written procedures and/or work instructions to ensure the implementation of all the elements specified in these requirements. This shall include at minimum the following: a. Complete and up to date procedures covering the implementation of all the elements in these requirements;	RSPO Supply Chain Module D – CPO Mills: Identity Preserved dated 15/2/2019, Rev. 07 has been established to verify the volumes and sources of certified FFBS entering the mill, implementation of any processing controls and sales volumes of RSPO certified products. The procedure consisted of the following topics: i. Procedures for handling of non-conforming palm oil products and/ or documents ii. Grievances/ Complaints iii. Internal Audit iv. Record Keeping v. Management Review vi. Sales and goods out All the procedures have implemented accordingly.	Yes
	b. The role of the person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the site’s procedures for the implementation of this standard.	The Deputy Group Engineer has been appointed as the officer-in-charge for MSPO and RSPO Supply Chain Certification Standard (SCCS). Interviewed with the PIC confirmed that he was able to demonstrate the implementation of their procedures in accordance to the standard.	Yes
D.3.2	The site shall have documented procedures for receiving and processing certified FFBS.	UIE Palm Oil Mill has developed Standard Operating Procedures – Traceability, Rev. 1 dated 15/2/2019 and RSPO Supply Chain Module D – CPO Mills: Identity Preserved dated 15/2/2019, Rev.	Yes



		07 where it outlines the traceability system. Inspection of incoming FFB, processing and outgoing palm products (CPO and PK) has clearly stated in the procedure. The procedure covers receiving and processing certified and non-certified FFBs.	
<b>D.4 Purchasing and goods in</b>			
D.4.1	The site shall verify and document the tonnage and sources of certified FFBs received.	<p>UIE POM have the documented procedures from receiving of certified FFBs to processing and finally dispatches of RSPO certified CPO and RSPO certified PK as per Standard Operating Procedures – Traceability, Rev. 1 dated 15/2/2019 and RSPO Supply Chain Module D – CPO Mills: Identity Preserved dated 15/2/2019, Rev. 07</p> <p>UIE has the complete records on the tonnage and sources of certified FFBs received.</p> <p>When FFB delivered to the mill from the estate, the transporters presented FFB despatch report to the mill weighbridge clerk in order the FFB to be received by the mill.</p> <p>E.g. of information available in the FFB despatch report is as follows:</p> <ul style="list-style-type: none"> <li>• FFB despatch report no. (52702)</li> <li>• Estate’s names (UIE estate 2)</li> <li>• Date &amp; time of delivery (10/6/19)</li> <li>• Field No. (84 and 95)</li> <li>• No. of cages (17 cages: field 84, 12 cages: field 95)</li> <li>• Cages information</li> </ul> <p>E.g. of information available in the mill’s weighbridge tickets is as follows:</p>	Yes

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		<ul style="list-style-type: none"> <li>• FFB despatch report no. (52702)</li> <li>• Estate’s names (UIE estate 2)</li> <li>• Date &amp; time of delivery (10/6/19)</li> <li>• Field No. (84 and 95)</li> <li>• No. of cages (17 cages: field 84, 12 cages: field 95)</li> <li>• Cages information (026A/19)</li> <li>• Weight (160.810 mt )</li> </ul>	
D.4.2	The site shall inform the CB immediately if there is a projected overproduction of certified tonnage.	As per SOP Module D-CPO Mills: IP, the oil mills shall inform CB immediately if there is a projected overproduction of certified tonnage	Yes
<b>D.5 Record keeping</b>			
D.5.1	The site shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a real-time basis.  <i>IP Mill must report on real time basis.</i>	RSPO Supply Chain Module D – CPO Mills: Identity Preserved dated 15/2/2019, Rev. 07 has been established which has included the record keeping requirements into the procedure. The mill has maintained the accurate, complete, up-to-date and accessible records and reports covering all aspects of these Sustainability Management System as below: <ul style="list-style-type: none"> <li>i. Dispatch of CPO/PK delivery order</li> <li>ii. Daily Production Report</li> <li>iii. FFB Despatch Report from supplying estate</li> <li>iv. Training records</li> <li>v. FFB Transaction records</li> </ul> The retention period for all the records is 3 years as stated in the procedure.	Yes
<b>D.6 Processing</b>			
D.6.1	The site shall assure and verify through documented procedures and record keeping that the RSPO certified oil palm product is kept separated from non- certified oil palm product including during transport and storage to strive for 100% separation.	During this assessment it was confirmed that only certified source of FFB from own plantation is processed. This ensures that there is no possibility of mixing during processing	Yes

**Supply Chain Declaration**

<b>A. Monthly Records of Certified and Uncertified FFB Received since the last audit (June 2018-May 2019)</b>				
<b>No.</b>	<b>Month - Year</b>	<b>Volume of FFB from certified supply bases (mt)</b>	<b>Volume of FFB from uncertified supply bases (mt)</b>	<b>Total FFB/Month (mt)</b>
1	June 2018	14,568.41	-	14,568.41
2	July 2018	19,257.19	-	19,257.19
3	Aug 2018	17,931.82	-	17,931.82
4	Sept 2018	20,390.69	-	20,390.69
5	Oct 2018	25,549.21	-	25,549.21
6	Nov 2018	21,888.26	-	21,888.26
7	Dec 2018	20,206.44	-	20,206.44
8	Jan 2019	21,202.89	-	21,202.89
9	Feb 2019	18,485.36	-	18,485.36
10	Mar 2019	19,961.22	-	19,961.22
11	Apr 2019	18,715.17	-	18,715.17
12	May 2019	18,801.38	-	18,801.38
<b>Total</b>		<b>236,958.04</b>		<b>236,958.04</b>

<b>B. Monthly Records of Certified CPO &amp; PK since the last audit (June 2018-May 2019)</b>			
<b>No.</b>	<b>Month - Year</b>	<b>Certified CPO (mt)</b>	<b>Certified PK (mt)</b>
1	June 2018	3,287.83	572.03
2	July 2018	4,192.22	682.76
3	Aug 2018	3,744.97	635.67
4	Sept 2018	4,084.67	728.23
5	Oct 2018	5,034.87	892.52
6	Nov 2018	4,314.46	783.85
7	Dec 2018	4,279.70	803.66
8	Jan 2019	4,549.92	940.84
9	Feb 2019	4,115.92	801.10
10	Mar 2019	4,478.41	824.82
11	Apr 2019	4,191.34	786.90
12	May 2019	4,046.23	689.07
<b>Total</b>		<b>50,320.54</b>	<b>9,141.45</b>

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<b>C. Records of Certified CPO &amp; PK Sold under PalmTrace to Buyers since the last audit (if any) (June 2018-May 2019)</b>				
<b>No.</b>	<b>Buyers Name</b>	<b>Palmtrace Trading License Number</b>	<b>Certified CPO Sold (mt)</b>	<b>Certified PK Sold (mt)</b>
1.	XXX	TR-1e53d84c-0986, TR-5241e841-06a0 TR-c8bc8e0c-c11e, TR-4c3d8fa1-52a3 TR-0cf9510c-f112, TR-db5b6880-f2c1 TR-687bb9ee-8267, TR-94db1359-aa9f TR-165d4e7a-2786, TR-011448a3-e2d6 TR-d52ba304-cf5a, TR-0a7914cb-f5a1 TR-c1353633-53cf, TR-0b39b8dc-5acf TR-38ad7369-7b3f, TR-2578e075-41ba TR-f08a3295-cd69, TR-60b2719d-9a4b TR-ec2371b0-fd4e, TR-6347e71e-127f TR-7aba6c5b-fe1c, TR-bdc0700e-0420 TR-bcb96a6b-ee8e, TR-6715238f-a013 TR-2b5094c3-a8b8, TR-8004db78-af82 TR-a72339a8-4513, TR-976f9187-6071 TR-f1cf3ace-8989, TR-b527d731-265b TR-7b5a59b3-9aac, TR-de97e6f1-6b95 TR-e4ad1c0f-8c71, TR-d4e406a4-7e22 TR-ac46a88d-b536, TR-c3f24c6c-fb3a TR-a9a157ce-b861, TR-8d7c71da-d1b4 TR-29010b09-3e62, TR-82cc34c8-083a TR-a708dc50-bf2f, TR-7fa21160-a2d0 TR-76cb5623-3506, TR-16643c17-59fb TR-fb4faa33-c529, TR-806f744e-394e TR-b04451e8-d985, TR-5c5bdb2e-59f6 TR-3611a848-2b40, TR-7bb41afe-9ff5 TR-4ea3a3a2-0d6f, TR-ecb12887-34f2 TR-ea18bf8a-d596, TR-a146ef60-5a16 TR-f268fcd-f0a6b, TR-55fc3c8e-cf3d TR-72562bd5-d993, TR-77323884-ff91 TR-a0dd06ce-18d6, TR-25ebceba-875b TR-4f83ef25-de6a, TR-79f587d3-a323 TR-7bf72bab-e8f9, TR-3c022ee7-0b9f TR-78d98941-1f30, TR-1e68ac64-4471 TR-71c27d55-d45a, TR-b4f0db69-8167 TR-75aa2bd5-b7d8, TR-6a61fa75-d929 TR-c8760e5f-b212, TR-20405603-35ed	-	7,141.65

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		TR-1443f55b-d260, TR-a0b88d3f-054d TR-a945619e-6a1a, TR-79f354c9-7e33 TR-29277c46-f183, TR-07bf5fbf-ca41 TR-9bbf3c2c-f883, TR-6200ea73-6fb9 TR-ff4e7a1d-7fbc, TR-5b379acb-9889 TR-6969c627-08b2, TR-48a3c0c2-0152 TR-08b8fccc-026a, TR-4544cf23-18bc TR-d28bc2ed-faa6, TR-bc72a92c-d113 TR-9fb6db6c-6eed, TR-213d3125-6238 TR-8d73c1b0-4259, TR-a07c9040-75b5 TR-b2856f48-dafc, TR-ccedb39e-06bd TR-dc61f51a-b543, TR-91c7aa02-9ea6 TR-5bb23e71-bdb6, TR-3066dbdc-5814 TR-20f562f8-06e6, TR-32cceb0f-1760 TR-1f96a377-d98b, TR-7f61e4ee-fa2d TR-60ac6505-794f, TR-2b49175a-b8e6 TR-78ecd608-6119, TR-9519e755-bb05 TR-52cda778-15e7, TR-7bac4557-c506 TR-d5f855fc-c90d, TR-23c57ea1-784f TR-8b0ceba2-8d45, TR-c257a11d-8ac4 TR-827d989d-a883		
2.	YYY	TR-bd42204c-b659, TR-2a969f17-f322 TR-bdf48c6c-ed93, TR-0979e0cf-902b TR-7f1a6251-1462, TR-b78fc6bb-7a44 TR-caf9abc9-3bac, TR-939af264-f441 TR-521e0c75-496c, TR-a9b5ffd4-abb5 TR-240dfdd3-2bff, TR-e5402ba8-9135 TR-32c9aef3-63d1, TR-bfd5007a-58ab TR-486f975b-5264, TR-5bd9007e-656a TR-561ac139-e8d9, TR-9d0170d9-6ddf TR-61cfdfa7-f8b0, TR-241a0a11-77f8 TR-c403c956-212c, TR-5e62342a-be26	33,012.35	-
Total			33,012.35	7,141.65

**D. Records of CPO & PK Sold under other schemes to Buyers since the last audit (if any)**

No.	Buyers Name	Scheme Name	CPO Sold (mt)	PK Sold (mt)
Nil				

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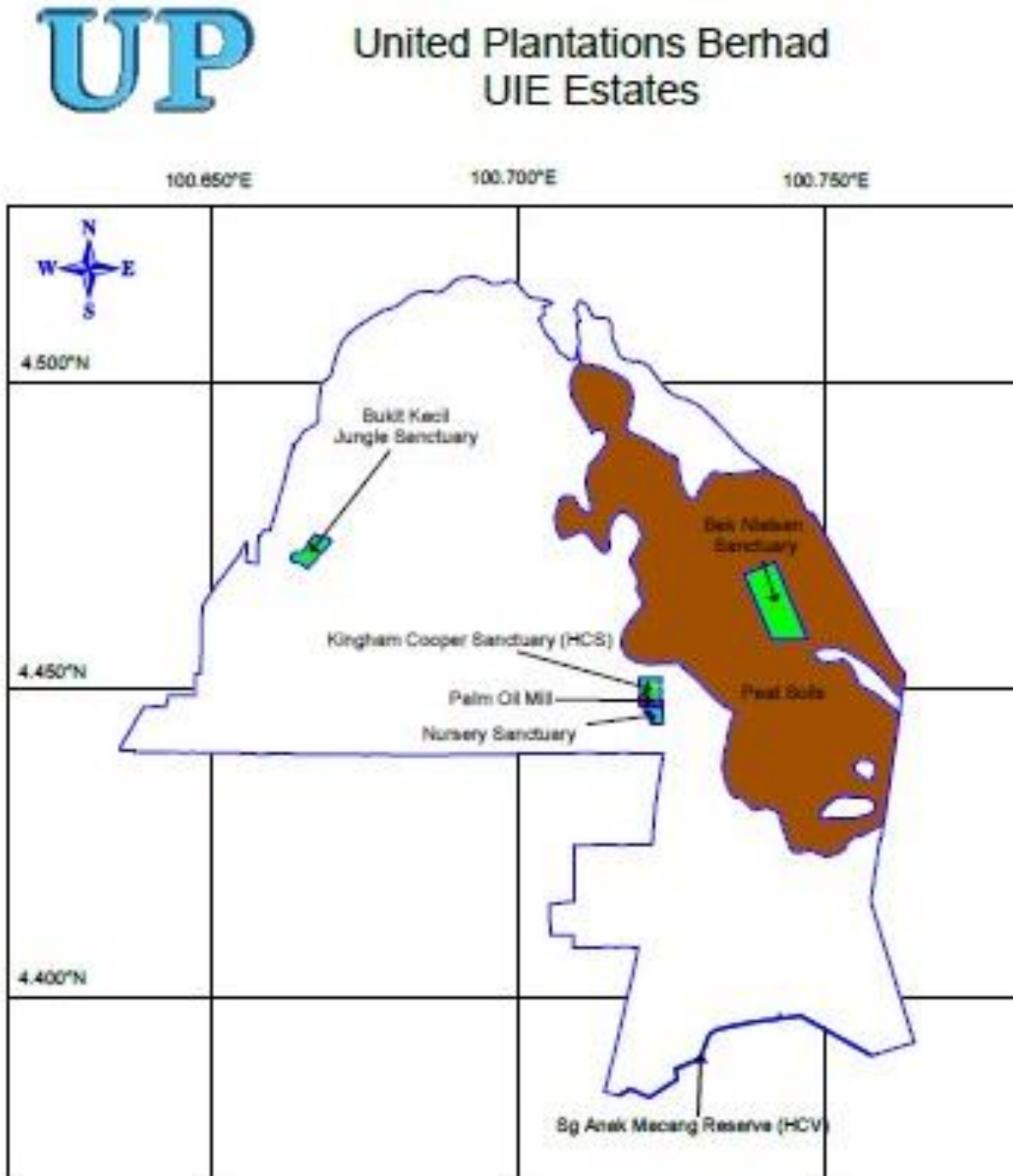
<b>E. Records of CPO &amp; PK Sold as conventional to Buyers since the last audit (if any) (June 2018-May 2019)</b>			
<b>No.</b>	<b>Buyers Name</b>	<b>CPO Sold (mt)</b>	<b>PK Sold (mt)</b>
1	A	440.65	0
2	B	18.31	0
3	A	199.49	0
4	C	1,376.74	0
5	E	122.42	0
6	C	2,081.63	0
7	C	558.1	0
8	D	0	58.35
9	B	18.27	0
10	A	1,153.01	0
11	B	19.04	0
	Total	5,987.66	58.35

<b>F. Records of Certified CPO Sold under RSPO Credits to Buyers since the last audit (if any) (June 2018-May 2019)</b>			
<b>No.</b>	<b>Buyers Name</b>	<b>PalmTrace Trading License Number</b>	<b>RSPO Credits of Certified CPO Sold (mt)</b>

**Appendix F: Location Map of UIE Palm Oil Mill Certification Unit and Supply bases**



**Appendix G: UIE Estate Field Map**





**Appendix H: List of Smallholder Sampled**

Not applicable

## Appendix I: List of Abbreviations

a.i	Active Ingredient
BOD	Biochemical Oxygen Demand
CB	Certification Bodies
CHRA	Chemical Health Risk Assessment
COD	Chemical Oxygen Demand
CPO	Crude Palm Oil
CSPO	Certified Sustainable Palm Oil
CSPKO	Certified Sustainable Palm Kernel Oil
EFB	Empty Fruit Bunch
EHS	Environmental, Health and Safety
EIA	Environmental Impact Assessment
EMS	Environmental Management System
FFB	Fresh Fruit Bunch
FPIC	Free, Prior, Informed and Consent
GAP	Good Agricultural Practice
GHG	Greenhouse Gas
GMP	Good Manufacturing Practice
GPS	Global Positioning System
HCV	High Conservation Value
IPM	Integrated Pest Management
IP	Identity Preserved
IS - CSPO	Independent Smallholder Certified Sustainable Palm Oil
IS – CSPKO	Independent Smallholder Certified Sustainable Palm Kernel Oil
IS – CSPKE	Independent Smallholder Certified Sustainable Palm Kernel Expeller
ISCC	International Sustainable Carbon Certification
LD50	Lethal Dose for 50 sample
MB	Mass Balance
MSDS	Material Safety Data Sheet
MT	Metric Tonnes
OER	Oil Extraction Rate
OSH	Occupational Safety and Health
PK	Palm Kernel
PKO	Palm Kernel Oil
POM	Palm Oil Mill
POME	Palm Oil Mill Effluent
PPE	Personal Protective Equipment
RSPO	Roundtable on Sustainable Palm Oil
P&C	Principles & Criteria
RTE	Rare, Threatened or Endangered species
SCCS	Supply Chain Certification Standard
SEIA	Social & Environmental Impact Assessment
SIA	Social Impact Assessment
SOP	Standard Operating Procedure