

**RSPO PRINCIPLE AND CRITERIA –
1st ANNUAL SURVEILLANCE ASSESSMENT (ASA1_1)
Public Summary Report**

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

TABLE of CONTENTS

Page No

Section 1: Scope of the Certification Assessment.....	3
1. Company Details	3
2. Certification Information	3
3. Other Certifications.....	3
4. Location(s) of Mill & Supply Bases	3
5. Description of Supply Base	4
6. Plantings & Cycle.....	4
7. Certified Tonnage of FFB (Own Certified Scope)	4
8. Certified Tonnage of FFB (from other certified unit(s)) if applicable *.....	4
9. Non-Certified Tonnage of FFB (outside supplier – excluded from certificate) if applicable	5
10. Certified Tonnage	5
11. Actual Sold Volume (CPO)	5
12. Actual Sold Volume (PK)	5
13. Actual Group certification Claims	5
Section 2: Assessment Process	6
2.1 Assessment Methodology, Programme, Site Visits.....	6
2.2 BSI Assessment Team:	8
2.3 Assessment Plan	10
Section 3: Assessment Findings	11
3.1 Details of audit results are provided in the following Appendix:	11
3.2 Progress against Time Bound Plan.....	11
3.3 Progress of scheme smallholders and/or outgrowers (if applicable to this assessment)	14
3.4 Details of findings	15
3.4.1 Status of Nonconformities Previously Identified and Observations	17
3.4.2 Summary of the Nonconformities and Status.....	17
Formal Signing-off of Assessment Conclusion and Recommendation	20
Appendix A: Summary of Findings	21
Appendix B: Approved Time Bound Plan.....	52
Appendix C : GHG Reporting Executive Summary	55
Appendix D : General Chain of Custody Requirements for the Supply Chain.....	55
Appendix E: CPO Mill Supply Chain Assessment Report (Module <i>D</i> - CPO Mills: <i>Identity Preserved</i>)	65
Supply Chain Declaration.....	68
Appendix F: Location Map of UIE Palm Oil Mill and Supply bases	722
Appendix G: UIE Estate Field Map.....	73
Appendix H: List of Smallholder Sampled (<i>If applicable – scheme/associated/group certification</i>)	74
Appendix I: List of Abbreviations	75

Section 1: Scope of the Certification Assessment

1. Company Details			
RSPO Membership Number	1-0004-04-000-00	Membership Approval Date	19/07/2004
Parent Company Name	United Plantation Berhad		
Address	Jendarata Estate 36009 Teluk Intan, Perak, Malaysia		
Subsidiary	United International Enterprise Palm Oil Mill (UIE Palm Oil Mill)		
Address	Mail Bag No. 1 34900 Pantai Remis, Perak Darul Ridzuan, Malaysia		
Contact Name	Mr C Mathews		
Website	www.unitedplantations.com	E-mail	cmm@unitedplantaions.com
Telephone	+605 6411411	Facsimile	+605 6416220

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

3. Other Certifications			
Certificate Number	Standard(s)	Certificate Issued by	Expiry Date
RSPO 665456	RSPO NEXT	BSI Services Malaysia Sdn Bhd	28/09/2022

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

**RSPO Public Summary Report
Revision 6 (December/2017)**

5. Description of Supply Base					
Estate	Total Planted (Mature + Immature) (ha)	HCV (ha)	Infrastructure & Other (ha)	Total Area (ha)	% of Planted
UIE Estate	9,104.31	10.53	1,254.36	10,369.20	87.80

Remark:

* The reduction of 355.12ha in planted hectareage compared to 2017 due to change of cultivation crop from oil palm to coconut.

* 128.14Ha for Self-Declared Conservation is under Infrastructure and other

* The titled hectareage for UIE Estate is 10,369.20 ha (Hectareage for cultivation of coconut, 556.77 ha included under infrastructure and others) - as per Management Accounts, April 2018.

6. Plantings & Cycle							
Estate	Age (Years)					Mature	Immature
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30		
UIE Estate	1951.73	6845.10	37.53	269.95	-	7152.58	1951.73

7. Certified Tonnage of FFB (Own Certified Scope)			
Estate	Tonnage / year		
	Estimated (June 17-May 18)	Actual (June 17 – May 18)	Forecast (June 18 – May 19)
UIE Estate	181,703.00	185,943.26	169,516.15

8. Certified Tonnage of FFB (from other certified unit(s)) if applicable *			
Estate	Tonnage / year		
	Estimated (June 17-May 18)	Actual (June 17 – May 18)	Forecast (June 18 – May 19)
	N/A		N/A
Total			

RSPO Public Summary Report
Revision 6 (December/2017)

9. Non-Certified Tonnage of FFB (outside supplier – excluded from certificate) if applicable			
Independent FFB Supplier	Tonnage / year		
	Estimated (June 17-May 18)	Actual (June 17 – May 18)	Forecast (June 18 – May 19)
-Nil-	N/A		N/A
Total			

10. Certified Tonnage			
Mill Capacity: 60 MT/hr SCC Model: IP	Estimated (June 17 – May 18)	Actual (June 17 – May 18)	Forecast (June 18 – May 19)
	FFB	FFB	FFB
	181,703.00 mt	185,943.26 mt	169,516.15mt
	CPO (OER: 21.80 %)	CPO (OER: 21.22 %)	CPO (OER: 20.90 %)
	39,611.00 mt	39,454.59 mt	35,428.87 mt
	PK (KER: 4.40 %)	PK (KER:4.09 %)	PK (KER: 5.22%)
	7,995.00 mt	7,606.75 mt	8,848.74 mt

Remark: The FFB for forecast reduced due to conversion of 355.12ha of OP to coconut.

11. Actual Sold Volume (CPO)					
	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSB		
CPO (MT)	36,779.98	-	-	208.97	36,988.95

12. Actual Sold Volume (PK)					
	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSB		
PK (MT)	7,248.11	-	-	-	7,248.11

13. Actual Group certification Claims		
	Credit	Physical Volume (MT)
IS-CSPO	n/a	
IS-CSPKO	n/a	
IS-CSPKE	n/a	

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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BSI is a leading global provider of management systems assessment and certification, with more than 60,000 certified locations and clients in over 100 countries. BSI Standards is the UK's National Standards Body. BSI provides independent, third-party certification of management systems. BSI is ASI Accredited (ASI-ACC-067) to conduct RSPO assessment since 31/10/2014 with accredited office located at Kuala Lumpur, Malaysia and an office at Singapore, Jakarta, Bangkok and Australia which involve in RSPO Certification Program.

2.1 Assessment Methodology, Programme, Site Visits

The on-site surveillance assessment was conducted from 20-21/06/2018. 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 (UIE Estate). A range of environmental and social factors were covered. This includes consideration of topography, palm age, proximity to areas with HCVs, declared conservation areas and local communities.

The audit programmes are included in Section 2.3.

The methodology for collection of objective evidence included physical site inspections, observation of tasks and processes, interviews of staff, workers and their families and external stakeholders, review of documentation and monitoring data. RSPO Principles & Criteria 2013 (MYNI-2014) and RSPO Supply Chain Certification Standard 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 estates sample were determined based on formula $N = 0.8\sqrt{y}$ where y is the number of estates (*Note: This is applicable until 30th June 2018*).
- 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 (*Note: This is applicable starting from 1st July 2018*).
- 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

**RSPO Public Summary Report
Revision 6 (December/2017)**

on the formula $(0.8\sqrt{y}) \times (z)$; where y is total number of independent group member and where z is the multiplier defined by the risk assessment. 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 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

Assessment Program					
Name (Mill / Supply Base)	Year 1 (Initial Certification)	Year 2 (ASA 1)	Year 3 (ASA 2)	Year 4 (ASA 3)	Year 5 (ASA 4)
UIE Palm Oil Mill	√	√	√	√	√
UIE Estate	√	√	√	√	√

Tentative Date of Next Visit: June 17, 2019 – June 19, 2019

Total No. of Mandays: 7 mandays

2.2 BSI Assessment Team:

Team Member Name	Role	Qualification
Mohd Hafiz Mat Hussain	Lead auditor	He holds Bachelor Degree in Plantation Technology and Management, graduated from University Technology Mara (UiTM) on 2009. He has 4 years working experience in oil palm plantation industry. He also has the experiences as an auditor for several standards including ISO 9001, ISO 140001, OHSAS 18001, MSPO and RSPO in his previous certification body. He completed the ISO 9001 Lead Auditor Course, ISO 14001 Lead Auditor Course and OHSAS 18001 Lead Auditor Course in 2013, Endorsed RSPO P&C Lead Auditor Course in 2014, MSPO Awareness Training in 2014 and Endorsed RSPO SCCS Lead Auditor Course in 2016. He had been involved in ISO9001, ISO14001 and OHSAS 18001 auditing since May 2013 within Malaysia, Brunei, Indonesia and RSPO auditing within Malaysia, Papua New Guinea, Solomon Islands, Gabon and Liberia. During this assessment, he assessed on the aspects of legal, mill best practices, SCC for CPO mill, estate best practices, safety and health, environmental and workers and stakeholders consultation.
Hu Ning Shing	Team member	She holds Bachelor Degree in Science majoring in Applied Chemistry, graduated from University of Malaya on 2011. She has 5 years working experience in rubber and palm oil industry. She also has the experiences as auditor for several standards including ISO 9001, MSPO and RSPO in 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.
Valence Shem	Team member	He holds Bachelor Degree in Industrial Technology, graduated from University of Science Malaysia in 1998 and has 9 years working experience in oil palm plantation industry. He has been in the management system auditing line since 2009 for various standards such as ISO 140001, RSPO P&C, RSPO SCCS and SMETA. He completed the ISO 14001 Lead Auditor Course in 2008, ISO 9001 Lead Auditor Course in 2013, Endorsed RSPO P&C Lead Auditor Course in 2011, Endorsed RSPO SCCS Lead Assessor Course in 2012 and MSPO Awareness Training in 2014. He had been involved in RSPO auditing since 2009 in various companies in Malaysia. During this assessment, he assessed on the aspects of legal, environmental & biodiversity, agriculture best practices and the supply chain element. Able to communicate in Bahasa Malaysia and English.
Mohamed Zainal Abidin	Team member	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 more than

**RSPO Public Summary Report
Revision 6 (December/2017)**

		various companies in Malaysia. Recently, he is involved on the supply chain for palm oil mill during RSPO assessment.
Elzy Ovktafia	Team member	She graduated from Universiti Putra Malaysia in Diploma of Agriculture, holding the designatory of LISP from the Incorporated Society of Planters and currently in the midst of completing the AISP level (professional certificate and recognition from the Incorporated Society of Planters). She involve in audits and technical reviews works mainly for Sustainability Programme includes RSPO, MSPO and 2nd Party Audit for Social Compliance Programme (URSA, ETI, etc) for 2 years in more than 11 countries. She is a qualified Lead Auditor/Auditor for RSPO P&C, RSPO NEXT, RSPO SCC, ISO 9001:2015 and Social Compliance Audit by Verite. Prior to this, she was the Agronomist in R&D Department for almost 5 years in Oil Palm Plantation where her task involved in all Oil Palm Plantation Operations such as conducting experimental trials on Research & Development with technical paper publications, Crop Forecast, Leaf & Soil Sampling Collection, Fertilizer Recommendation, Pest and Diseases Training, Quality Control as well as special project namely Yield Intensification Project and Food for Palm Project for estates. Recently, she is involved on the supply chain for palm oil mill during RSPO assessment.

Accompanying Persons:

No.	Name	Role
1		

RSPO Public Summary Report
Revision 6 (December/2017)

2.3 Assessment Plan

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

Date	Time	Subjects	MHM	VC	HNS	MH	EO
Tuesday, 19/6/18	AM	Audit team traveling to Jenderata Guest House	√	√	√	√	√
Wednesday, 20/6/18 UIE Palm Oil Mill	08:30-09:00	Opening Meeting: <ul style="list-style-type: none"> Opening Presentation by Audit team leader. Confirmation of assessment scope and finalize Audit plan (including stakeholder’s consultation). Verification on previous audit findings 	√	√	√	√	√
	09:00–12:30	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.	√	√	√	-	-
		RSPO Supply Chain Certification audit	-	-	-	√	√
	12:30–13:30	LUNCH					
	13:30–16:30	UIE Oil Mill: Visit to laboratory, weighbridge and palm product storage area. Document Review P1 – P8: SOPs, Supply chain for CPO mill, Review on SEIA documents and records, wage records, employee data, training records, legal permits, mill inspection and internal monitoring records, CIP & implementation etc. Verify previous nonconformities.	√	√	√	-	-
	16:30–17:00	Interim Closing Briefing	√	√	√	-	-
Thursday, 21/6/18 UIE Estate	09:00-12:30	UIE Estate 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.	√	√	√	-	-
	09:00–12:30	Meeting with stakeholders (Government, village rep,smallholders, Union Leader, contractor etc.)	-	-	√	-	-
	12:30–13:30	LUNCH					
	13:30–15:30	UIE Estate 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).	√	√	√	-	-
	15:30-16:00	Verify any outstanding issues & Preparation for closing meeting	√	√	√	-	-
	16:00–17:00	Closing meeting	√	√	√	-	-
Saturday, 23/6/18	AM	Audit team traveling back to KL	√	√	√	√	

Section 3: Assessment Findings

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

- United Plantations Berhad Time Bound Plan
- RSPO Supply Chain Certification Checklist June 2017
- RSPO P&C MY-NIWG 2014 Checklist

3.2 Progress against Time Bound Plan

Time Bound Plan		
Requirement	Remarks	Compliance
Summary of the Time Bound Plan		
Does the plan include all subsidiaries, estates and mills?	<p>PT. Surya Sawit Sejati is a subsidiary company of United Plantations Berhad.</p> <p>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).</p>	Yes
Have all the estates and mills certified within five years after obtaining RSPO membership?	<p>The RSPO Initial Assessment has been carried out on 11-15th December 2017 and awaiting issuance of certificate.</p> <p>For more details, please refer to justification of time bound plan as Apendix B</p>	Yes
<p>Is the time bound plan challenging?</p> <ul style="list-style-type: none"> • Age of plantations. • Location. • POM development • Infrastructure. • Compliance with applicable law. 	<ul style="list-style-type: none"> • The time bound plan is challenging as the issuance of HGU is beyond UP Plantation control. • PT Surya Sawit Sejati (PT SSS) is located in Pangkalan Bun, Kotawaringin Barat District, Central Kalimantan Province and was purchased by this company (United Plantations Berhad) early 2007. • 1 palm oil mill that supplied by 2 core estate (Lada estate and Runtu estate) and 1 scheme smallholders estate (Plasma Kumai and Arut). • Infrastructure such as staff and workers quarters, house of worship, sports, kindergarten, creche and medical facilities are provided in the estate. <p>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.</p>	Yes

**RSPO Public Summary Report
Revision 6 (December/2017)**

Have there been any changes since the last audit? Are they justified?	No changes since the last audit	Yes
If there have been changes, what circumstances have occurred?	N/A	N/A
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
Have there been any newly acquired subsidiaries?	No	Yes
If yes, have the newly acquisitions certified within a three-year timeframe?	N/A	N/A
Have there been any isolated lapses in implementation of the plan?	No	Yes
Un-Certified Units or Holdings		
Did the company conduct an internal audit? If so, has a positive assurance statement been produced?	PT. Surya Sawit Sejati has conducted internal audit for legal compliance and explained the process for evaluate the compliance of regulation.	Yes
No replacement after dates defined in NIs Criterion 7.3: <ul style="list-style-type: none"> • Primary forest. • Any area required to maintain or enhance HCVs in accordance with RSPO P&C criterion 7.3. 	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 third stage of RACP process. 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	Yes

RSPO Public Summary Report
Revision 6 (December/2017)

	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.	
Any new plantings since January 1 st 2010 shall comply with the RSPO New Plantings Procedure.	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 third stage of RACP process.	Yes
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&C criteria 2.2, 6.4, 7.5 and 7.6.	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.	Yes
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. 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 an internal audit? If so, has a positive assurance statement been produced?	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?	<p>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).</p> <p>The RSPO Initial Assessment has been carried out on 11-15th December 2017 and awaiting issuance of certificate.</p> <p>However, the issuance of land title for the members and SK Bupati is beyond UP Plantations control.</p>	Yes

3.4 Details of findings

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

During the Surveillance Assessment there one (1) Major nonconformity 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 Actions for the Major Nonconformity(ies) has been verified for its effectiveness and closed accordingly.

Summary of Total Number of Nonconformity			
Nonconformity			
NCR Ref #	1633205-20104-M1	Clause & Category (Major/Minor)	Indicator 2.1.1 Major
Date Issued	21/06/2018	Due Date	19/08/2018
Closed (Yes/No)	Yes	Date of nonconformity closure	17/08/2018
Statement of Nonconformity	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]		
Requirement Reference	Evidence of compliance with relevant legal requirements shall be available		
Objective Evidence	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].		
Corrections	A. i. A LRR for all applicable laws with a column to indicate for person incharge and to ensure that the fine lines in the laws are complied by ticking the box of the column. ii. Application has been made and submitted to Labour Department on 23rd June 2018 and awaiting their formal approval. Please refer to Appendix 1 (Page 2). B. i. A checklist to be formulated for all permits indicating expiry date and compliance to its requirements stated in every permits. ii. A meeting was held on 26th June 2018 between the management of UIE POM and DOE officers to discuss on action to be taken in compliance with the requirements as stated in DOE license. Please refer to Appendix 2 on the minutes of meeting and attendance records. A drain trap will be constructed to channel the water residue generated from the mill washing activities to effluent pond via fat pit. (Amended layout work in progress)		

**RSPO Public Summary Report
Revision 6 (December/2017)**

	<p>C. The leachate from EFB stock pile will be channelled to a sump via peripheral drain before diverting to effluent pond (via fat pit). The management of UIE POM have submitted their application letter to Chief Executive Director (CED) of United Plantations Berhad and upon approval, the improved layout will be commenced for constructing the sump in order to channel the water residue generated from mill washing activities and leachate from EFB stock pile to effluent pond. (Amended layout work in progress)</p>
<p>Root Cause Analysis</p>	<p>A. The management did not diligently follow the Legal Requirements Register (LRR). B. & C. The management did not diligently follow the fine lines in the permit (Jadual Pematuhan) which states that the leachate from EFB stock pile and water residue generated from the mill floor washing activity shall be channelled to effluent pond.</p>
<p>Corrective Action</p>	<p>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.</p>
<p>Assessment Conclusion</p>	<p>Verification during on-site Major NCR close out: Evidence verified on-site:</p> <ul style="list-style-type: none"> • Training records on PIC of LRR. PIC were interviewed and able to demonstrate the understanding of the legal requirements in their LRR which includes the basis of status of compliance evaluated – sampled EQA & Employment Act. • Approval letter for working at night from Labour Department, Putrajaya dated 15/7/2018 • The EFB leachate and mill washing residue are channelled to fat pit which eventually to ETP system. A copy of current drainage layout plan was also presented to the assessor for verification. <p>The correction and corrective actions evidence was found to be adequate and effectively implemented. Thus, the NCR is closed on 17/8/2018.</p>

**RSPO Public Summary Report
Revision 6 (December/2017)**

Opportunity for Improvements	
OFI #	Description
OFI 1	Nil

Positive Findings	
PF #	Description
PF 1	Nil

3.4.1 Status of Nonconformities Previously Identified and Observations

No NC raised by previous CB during previous assessment

Opportunity for Improvement	
OFI#	Description
OFI 1	<p>Indicator 2.1.1 Completing the process of UIE mill to obtain Fire Certificate</p> <p>ASA1_1 status: The management was engaged the consultant (Primenezz Fire Solution) for civil, structure, mechanical and electrical work. The quotation for the consultant dated 11/5/2018 was sighted.</p>
OFI 2	<p>Indicator 6.3.1 Improvement to ensure the whistleblower policy and mechanism to handle employment grievances which respects anonymity and protects complaints to be informed to all the level of workers and contractors.</p> <p>ASA1_1 status: The implementation of whistleblower policy and mechanism to handle grievances were verified and found effectively implemented.</p>

3.4.2 Summary of the Nonconformities and Status

CAR Ref.	CATEGORY (MAJOR/ MINOR)	ISSUED	STATUS & DATE (Closure)
1648250-201804-M1	Major	21/06/2018	Closed on 17/08/2018

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.

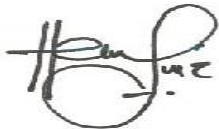
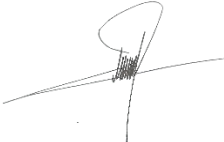
Structured worker interviews with male and female workers and staff were held in private at the workplace in the mill and the estates. Fieldworkers were interviewed informally in small groups in the field. In addition, the wives of workers and staff were interviewed in informal group meetings at their 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	
<p>Internal Stakeholders</p> <p>Workers Representative Gender Committee Mill Operators Sprayer Harvester</p>	<p>Union/Contractors/Local Communities</p> <p>Contractor Head of Village, Kampung 40 Rantai Head of Village, Kampung Sg Batu</p>
<p>Government Departments</p> <p>No complaint by Government Departments for UIE CU. Therefore, Government Department was not contacted.</p>	<p>NGO</p> <p>No complaint by NGO for UIE CU. Therefore, NGO was not contacted.</p>

**RSPO Public Summary Report
Revision 6 (December/2017)**

IS #	Description
1	<p>Issues: Contractors – They have signed on the agreement prior to work and understood the terms and conditions. They informed that the payment was made promptly and have good relationship with the managements.</p> <p>Management Responses: The management will continue to maintain good relationship with the contractors and ensure the payment will be made promptly.</p> <p>Audit Team Findings: No other issue.</p>
2	<p>Issues: Local Communities (Kg. Sg. Batu & Kg. 40 Rantai) – They have good relationship with the management and boundaries were clearly demarcated with trenches and boundary stones. Therefore, no land encroachment by the management has been reported.</p> <p>Management Responses: The management will ensure that no land encroachment by the company to the neighbouring villages' land.</p> <p>Audit Team Findings: No other issue.</p>
3	<p>Issues: Gender Committee Representatives – They informed that no discrimination occurred and were treated equally by the management. They have monitored if there is any case of sexual harassment or violence reported. So far, there was no sexual harassment or violence case reported.</p> <p>Management Responses: The management will continue to monitor if there is any case reported and rectify immediately.</p> <p>Audit Team Findings: No further issue.</p>
4	<p>Issues: Workers' Representative (Nepal, Indonesia, India, Bangladesh, Malaysia) – They informed that they were paid according to Minimum Wage Order 2016. Induction training was provided during their arrival to the work stations. They are allowed to move freely without any restrictions. They were treated fairly without any discrimination.</p> <p>Management Responses: The management will continue to ensure the wages of the workers are paid according to the legal requirements and treat all the workers equally as per the Human Rights Policy.</p> <p>Audit Team Findings: No other issue.</p>

**RSPO Public Summary Report
Revision 6 (December/2017)**

Formal Signing-off of Assessment Conclusion and Recommendation	
<p>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 Certification Unit has complied with the RSPO P&C MYNI 2014 & 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 continued.</p>	
Report prepared by	Acceptance of Assessment Conclusion
Name: Mohd Hafiz Mat Hussain	Name: C. Mathews
Company Name: BSI Services Malaysia Sdn Bhd	Company Name: United Plantations Berhad
Title: Lead Auditor	Title: Group Manager Human Resources and Environment, Safety & Health
Signature: 	Signature: <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> 
Date: 02/09/2018	Date: 03/09/2018

Appendix A: Summary of Findings

Criterion / Indicator		Assessment Findings	Compliance
Principle 1: Commitment to Transparency			
Criterion 1.1: Growers and millers provide adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages and forms to allow for effective participation in decision making.			
1.1.1	There shall be evidence that growers and millers provide adequate information on (environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making. - Minor compliance -	UP Plantation Bhd continued to implement an External Communication Procedure 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 7/5/2018. 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 (http://www.unitedplantations.com) to obtain information related to RSPO.	Complied
1.1.2	Records of requests for information and responses shall be maintained. -Major compliance	Records of internal and external stakeholder requesting for information was recorded in the registry of complaint and maintained accordingly at the estate and mill office.	Complied
Criterion 1.2: Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.			
1.2.1	Publicly available documents shall include, but are not necessary limited to: • Land titles/user rights (Criterion 2.2); • Occupational health and safety plans (Criterion 4.7); • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); • HCV documentation (Criteria 5.2 and 7.3); • Pollution prevention and reduction plans (Criterion 5.6); • Details of complaints and grievances (Criterion 6.3); • Negotiation procedures (Criterion 6.4); • Continual improvement plans (Criterion 8.1); • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13). - Major compliance -	There was no restriction noted as to the documents made available to the public except private and confidential information. The public can browse through the internet to access to public information such as policies and corporate social responsibility. Other than that, the policies were also displayed at various locations including the UIE Main office notice boards, main notice boards of the estates and mill offices for employees and visitors to view.	Complied
Criteria 1.3: Growers and millers commit to ethical conduct in all business operations and transactions.			

**RSPO Public Summary Report
Revision 6 (December/2017)**

Criterion / Indicator	Assessment Findings	Compliance
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, Dato' Carl Bek-Nielsen. 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 communicated to all the workers on 3/5/2018 in the UIE POM. Seen the attendance list and evident of photos. The policy was displayed at notice board at the office area, mill operation area and the workshop.	Complied
Principle 2: Compliance with applicable laws and regulations		
Criterion 2.1: There is compliance with all applicable local, national and ratified international laws and regulations.		

**RSPO Public Summary Report
Revision 6 (December/2017)**

Criterion / Indicator	Assessment Findings	Compliance
<p>2.1.1 Evidence of compliance with relevant legal requirements shall be available. - Major compliance -</p>	<p>United Plantations Berhad has obtained permit for deduction of salary from Jabatan Tenaga Kerja Semenanjung Malaysia with reference (6)d/m BHG PU/9/129 dated 1/6/2012. The management are allowed to make deduction not more than 50% from the monthly wage from the workers.</p> <p>However, there were female workers found working in the night shift from 6pm to 2am in the mill without the permission obtained from labour department as per the Employment Act 1955, Part VIII, Section 34 (1). Sampled of female workers as below:</p> <ul style="list-style-type: none"> i. Employee No.: 404125 ii. Employee No.: 408891 iii. Employee No.: 409663 iv. Employee No.: 411826 <p>UIE Certification Unit is committed to compliance with all applicable local, national and ratified international laws and regulations. Among the evidence sampled for legal compliance were:</p> <ul style="list-style-type: none"> • DOE License (<i>Jadual Pematuhan</i>) #004239, validity 1/7/2017 to 30/6/2018 • MPOB License #50207622000, <i>menjual dan mengalih FFB</i>, validity 1/8/2017 to 31/7/2018, Licensee: United Plantations Bhd., Ladang U.I.E, area: 9,734.52 Ha (inclusive coconut plantation) – next renewal of license expected to be 9,142.01 Ha. • Diesel permit #A030563 [ref.: MJG/SK/D/04], licensee: UPB, Jenderata Estate, diesel=50,000lt, petrol=16,000lt, validity 31/7/17 to 30/6/18. • CePSWaM – Mohd Azmir Mohd Sahar, competency cert. # CePSWaM/14807, validity 2/3/2015-1/3/16 – already attended for interview with DOE in 6 Dec 2017 and submitted thesis and now waiting for panel’s decision and eventually obtaining the competency card. <p>However, at UIE Palm Oil Mill, it was found that</p> <ul style="list-style-type: none"> • the leachate from EFB stock pile was flowing to the nearest field drain near the estate’s nursery which eventually goes to the environment instead of being channelled to the effluent treatment system (ETP) [ref.: Clause 30 of <i>Jadual Pematuhan</i>] • the water residue generated from the mill’s floor washing activity was channelled to the monsoon drain instead of to ETP [ref.: Clause 11 of the <i>Jadual Pematuhan</i>] <p>Therefore, a Major non-conformity was assigned due to this lapse.</p>	<p>Major nonconformance</p>

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator	Assessment Findings	Compliance
2.1.2 A documented system, which includes written information on legal requirements, shall be maintained. - Minor compliance -	The CU 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 & Machinery Act, Employment Act, Workers' Minimum Standard of Housing and Amenities Act, to name a few.	Complied
2.1.3 A mechanism for ensuring compliance shall be implemented. - Minor compliance -	The CU has various mechanisms to ensure the legal requirements are complied with. Among the mechanisms verified were: - 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 - there was a list of licenses which have the information about type of license, expiry date and validity period	Complied
2.1.4 A system for tracking any changes in the law shall be implemented. - Minor compliance -	The Company Secretary [Mr. Eng Ho (HQ)] is given the responsibility to track and update any changes in the law. Among the method or platforms used for tracking are: <ul style="list-style-type: none"> • Internet subscription such as Lawnet.com • News and announcement from statutory bodies and government departments such as SOCSO, EPF, etc. • Participation of associations and seminars such as Malayan Agricultural Producers Association (MAPA), Malaysian Palm Oil Association (MPOA) Ever since the last assessment, among the new updates registered were: - 0% GST - Employment Insurance System Bill 2017	Complied
Criterion 2.2: The right to use the land is demonstrated, and is not legitimately contested by local people who can demonstrate that they have legal, customary or user rights.		
2.2.1 Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available. - Major compliance -	The CU was able to demonstrate its right to use the land through possession of land titles. There were 8 land titles in total. Verification of the land titles showed that the information was tally with its area statement. UIE Palm Oil Mill and Estate operation is on freehold and leasehold land. Land titles and copy of land titles are available during the audit. UIE Estate land titles and evidence of quit rent were sighted for: <ol style="list-style-type: none"> 1. Grant No: 21321, (Lot #17027) 2. Grant No: 21320, (Lot#17026) 3. Grant No:21420, (Lot#1342) 4. Grant No:21323, (Lot#17029) 5. Grant No: 21322, (Lot#PT17028) 	Complied

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator	Assessment Findings	Compliance	
2.2.2	Legal boundaries shall be clearly demarcated and visibly maintained. - Minor compliance -	Based on the site visit, the common method of demarcation of boundaries was by putting up concrete pegs that painted with white colour and GPS coordinates information was printed on them.	Complied
2.2.3	Where there are or have been disputes, additional proof of legal acquisition of title and evidence that fair compensation has been made to previous owners and occupants shall be available, and that these have been accepted with free, prior and informed consent (FPIC). - Minor compliance -	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
Criterion 2.3: Use of the land for oil palm does not diminish the legal rights, customary or user right of other users without their free, prior and informed consent.			
2.3.1	Maps of an appropriate scale showing the extent of recognized legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighbouring communities where applicable, and relevant authorities). - 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

**RSPO Public Summary Report
Revision 6 (December/2017)**

Criterion / Indicator	Assessment Findings	Compliance
2.3.2 Copies of negotiated agreements detailing the process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and shall include: a) Evidence that a plan has been developed through consultation and discussion with all affected groups in the communities, and that information has been provided to all affected groups, including information on the steps that shall be taken to involve them in decision making; b) Evidence that the company has respected communities' decisions to give or withhold their consent to the operation at the time that this decision was taken; c) Evidence that the legal, economic, environmental and social implications for permitting operations on their land have been understood and accepted by affected communities, including the implications for the legal status of their land at the expiry of the company's title, concession or lease on the land. - Minor compliance -	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
2.3.3 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.	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.	Complied
Principle 3: Commitment to long-term economic and financial viability		
Criterion 3.1:		
There is an implemented management plan that aims to achieve long-term economic and financial viability.		
3.1.1 A business or management plan (minimum three years) shall be documented that includes, where appropriate, a business case for scheme smallholders. - Major compliance -	UIE POM has established and implemented its commitment to long term sustainability and improvements through a capital expenditure programme. Budget and 3 years projected management plan (2018-2021) was verified during the audit. UIE POM and supply bases have made progress towards achieving their performance production targets for the current financial year.	Complied

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator		Assessment Findings	Compliance									
3.1.2	An annual replanting programme projected for a minimum of five years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review, shall be available. - Minor compliance -	The replanting programme was established. Sighted Replanting Programme 2016-2019: <table border="1" data-bbox="662 443 1139 539"> <thead> <tr> <th>Year</th> <th>Estate</th> <th>Ha</th> </tr> </thead> <tbody> <tr> <td>2018</td> <td>UIE Estate</td> <td>898.33</td> </tr> <tr> <td>2019</td> <td></td> <td>32.00</td> </tr> </tbody> </table> No replanting after 2019 onwards.	Year	Estate	Ha	2018	UIE Estate	898.33	2019		32.00	Complied
Year	Estate	Ha										
2018	UIE Estate	898.33										
2019		32.00										
Principle 4: Use of appropriate best practices by growers and millers												
Criterion 4.1: Operating procedures are appropriately documented, consistently implemented and monitored.												
4.1.1	Standard Operating Procedures (SOPs) for estates and mills are documented - Major compliance -	SOP available for the Palm Oil Mill and the Estates. UIE Palm Oil Mill had maintained Standard Operating Procedure, dated 22/2/2017. Sample SOP as follow: <ol style="list-style-type: none"> 1. Reception Station, Section 2A 2. Fruit Handling, Section 2B 3. Sterilisation, Section 3 4. Threshing, Section 4 5. Empty Bunch Press, Section 5 6. Digestion and pressing, Section 6 7. Clarification, Section 7 8. Kernel Extraction, Section 8 9. Effluent Treatment & Waste Management, Section 12 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.	Complied									
4.1.2	A mechanism to check consistent implementation of procedures shall be in place. - Minor compliance -	The mechanism at UIE POM and estate were through station/activity checklist. Sampled the checklist as follow: <ol style="list-style-type: none"> 1. Steriliser Station Checklist dated 14/6/2018 2. Threshing Station checklist dated 14/6/2018 3. Press Station Checklist dated 14/6/2018 The internal audit for UIE POM and estate were conducted on 7/5/2018. 16 CARs were raised. All the action plans were submitted to Group Manager HR ESH for closure. The CARs were closed on 12/6/2018.	Complied									
4.1.3	Records of monitoring and any actions taken shall be maintained and available, as appropriate. - Minor compliance -	The records of monitoring were available and maintained at estate and mill office.	Complied									
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. All the FFB were from own certificate scope and adjacent UP Plantations Bhd certified estates.	Complied									
Criterion 4.2: Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.												
4.2.1	There shall be evidence that good agriculture practices, as contained in Standard Operating Procedures (SOPs), are followed to manage soil fertility to a level that ensures optimal and 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									

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator		Assessment Findings	Compliance																						
4.2.2	Records of fertiliser inputs shall be maintained. - Minor compliance -	UIE Estate: The records of agronomic and fertilizer recommendation report (dated 16/10/17) by UP research department shown application date, filed number, dosage applied per palm, type of fertilizer and number of application. Sampled fertilizer recommendation for field 58A, type NK (30kg/palm) was completed on 10/3/2017.	Complied																						
4.2.3	There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status. - Minor compliance -	UIE Estate: Latest foliar sampling was done from 9 Nov 16 to 17 Feb 17. The test was done by Research Department, the analysis report (A016/17) was verified. Soil sampling and analysis was last done on 1/12/2017. Sighted Soil Analysis Test Report (E016/16) dated 31/6/2017.	Complied																						
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 -	All palm by-products including fronds, EFB, POME are recycled. <table border="1"> <thead> <tr> <th>Tonnage</th> <th>Type</th> <th>Month</th> <th>Estate</th> </tr> </thead> <tbody> <tr> <td>13,604 mt</td> <td>EFB</td> <td>ToDate Apr 18</td> <td>UIE Estate</td> </tr> <tr> <td>75, 765 m³</td> <td>POME</td> <td>ToDate Apr 18</td> <td>UIE Estate</td> </tr> </tbody> </table>	Tonnage	Type	Month	Estate	13,604 mt	EFB	ToDate Apr 18	UIE Estate	75, 765 m ³	POME	ToDate Apr 18	UIE Estate	Complied										
Tonnage	Type	Month	Estate																						
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Criterion 4.3:																									
Practices minimise and control erosion and degradation of soils.																									
4.3.1	Maps of any fragile soils shall be available. - Major compliance -	Soil series map available for both estates visited. Sighted the type of soil available at UIE Estate. <table border="1"> <thead> <tr> <th>No.</th> <th>Type of Soil</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.	Type of Soil	1	Sedu	2	Rudua	3	Segari	4	Rengam	5	Briah	6	Lunas	7	Penor	8	Cherang Hangus	9	Erong	10	Gondang	Complied
No.	Type of Soil																								
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8	Cherang Hangus																								
9	Erong																								
10	Gondang																								
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 applicable in 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 maintenance programme 2018. 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. Sighted the records of road maintenance at UIE estates. Verified during site visit, found that the road were in good condition.	Complied																						

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator	Assessment Findings	Compliance
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 Cultivation/Management was implemented accordingly. Sighted the plan: 1. Peat subsidence measurements report dated 4/6/2018 was sighted for two area (Bek Nielsen Sanctuary 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
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 Cultivation/Management was implemented accordingly. Peat subsidence measurements report dated 4/6/2018 was sighted for two area (Bek Nielsen Sanctuary 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
Criterion 4.4: Practices maintain the quality and availability of surface and ground water.		
4.4.1 An implemented water management plan shall be in place. - Minor compliance -	Water management plan is available with objective to maintained the water in the field at appropriate level therefore correct amount of water is supplied during dry or wet weather for oil palm survival. 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 7/3/2018 [report dated 28/3/2018 – parameters tested: pH, BOD, COD, SS, OG, DO, AN, E. Coli. It was analysed by BP Food Environmental Testing (SAMM No. 573).	Complied
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 -	UIE POM is using the biochemical treatment plant to treat its effluent through series of ponds such as cooling, aerobic and anaerobic. A biogas plant is also in place as part of the treatment series. Under the DOE's Compliance Schedule (<i>Jadual Pematuhan</i>), UIE POM is required to treat its effluent until the BOD level is below 5,000 mg/l before discharging it to land application through furrow system. Based on the latest four quarterly returns to the DOE, BOD readings of final discharge were all below 5,000 mg/l. The samples of final discharge were analysed by an accredited third party laboratory.	Complied

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator		Assessment Findings	Compliance									
4.4.4	Mill water use per tonne of Fresh Fruit Bunches (FFB) (see Criterion 5.6) shall be monitored. - Minor compliance -	The mill continued to monitor and record its water usage on daily basis. Based on its water consumption records, the mill consumes water on average between 1.0 to 1.5.	Complied									
Criterion 4.5: Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.												
4.5.1	Implementation of Integrated Pest Management (IPM) plans shall be monitored. - 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 10ha. 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 UP SOP.</p> <p>The report occupancy rate for Barn owl box census was sighted:</p> <table border="1"> <thead> <tr> <th></th> <th>Result</th> <th>Estate</th> </tr> </thead> <tbody> <tr> <td>Barn owl</td> <td>69% occupancy rate</td> <td>UIE Estate</td> </tr> <tr> <td>Beneficial Plant</td> <td>27589 plants</td> <td>UIE Estate</td> </tr> </tbody> </table>		Result	Estate	Barn owl	69% occupancy rate	UIE Estate	Beneficial Plant	27589 plants	UIE Estate	Complied
	Result	Estate										
Barn owl	69% occupancy rate	UIE Estate										
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4.5.2	Training of those involved in IPM implementation shall be demonstrated. - Minor compliance -	<p>IPM training is given by executive on 3/2/2018.</p> <p>#cross refer with indicator 4.8.2</p>	Complied									
Criterion 4.6: 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 Standard Operating Procedure (SOP) of all agrochemical are available the SOP Section 11. Selected products are specific to the target pest, weed and disease.	Complied									

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator	Assessment Findings	Compliance																
<p>4.6.2</p> <p>Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per ha and number of applications) shall be provided.</p> <p>- Major compliance -</p>	<p>Records of pesticides use (including active ingredients used and their LD 50, area treated, amount of a.i. applied per ha and number of applications) had been maintained and kept by the estate.</p> <table border="1" data-bbox="662 562 1299 745"> <thead> <tr> <th>Chemical Name</th> <th>Active Ingredient (a.i)</th> </tr> </thead> <tbody> <tr> <td>Basta</td> <td>Glufosinate Amonium 14%</td> </tr> <tr> <td>Ally</td> <td>Metsulfuron methyl 20%</td> </tr> <tr> <td>Glyphosate</td> <td>Glyphosate 41 %</td> </tr> <tr> <td>Sodium chloride</td> <td>Sodium chloride 99%</td> </tr> <tr> <td>Antracol</td> <td>Propineb 70%</td> </tr> </tbody> </table> <p>The record of pesticides used was sighted.</p> <table border="1" data-bbox="662 842 1177 936"> <thead> <tr> <th></th> <th>2017</th> </tr> </thead> <tbody> <tr> <td>UIE Estate</td> <td>3.16 % a.i/planted ha</td> </tr> </tbody> </table>	Chemical Name	Active Ingredient (a.i)	Basta	Glufosinate Amonium 14%	Ally	Metsulfuron methyl 20%	Glyphosate	Glyphosate 41 %	Sodium chloride	Sodium chloride 99%	Antracol	Propineb 70%		2017	UIE Estate	3.16 % a.i/planted ha	<p>Complied</p>
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<p>4.6.3</p> <p>Any use of pesticides shall be minimised as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations identified in national Best Practice guidelines.</p> <p>- Major compliance -</p>	<p>The quantity of agrochemicals required for various field conditions are documented and justified in UP Standard operating procedure. The implementation in the field is consistent with the SOP.</p>	<p>Complied</p>																
<p>4.6.4</p> <p>Pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimised and eliminated as part of a plan, and shall only be used in exceptional circumstances.</p> <p>- Minor compliance -</p>	<p>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.</p>	<p>Complied</p>																
<p>4.6.5</p> <p>Pesticides shall only be handled, used or applied by persons who have completed the necessary training and shall always be applied in accordance with the product label. Appropriate safety and application equipment shall be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7).</p> <p>- Major compliance -</p>	<p>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.</p>	<p>Complied</p>																

**RSPO Public Summary Report
Revision 6 (December/2017)**

Criterion / Indicator	Assessment Findings	Compliance												
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.	Complied												
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.	Complied												
4.6.8 Pesticides shall be applied aerially only where there is documented justification. Communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application. - Major compliance -	No aerial spraying at all estates.	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 -	There is 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. #cross refer with indicator 4.8.2	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 was already 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 examination programme established for sprayers which conducted by Kumpulan Poliklinik Manjung Sdn Bhd (HQ/14/DOC/00/380) for UIE Estate on 13/4/2018. <table border="1" data-bbox="660 1697 1273 1850"> <thead> <tr> <th>ID No</th> <th>Date of Medical check up</th> <th>Result</th> <th>Estate</th> </tr> </thead> <tbody> <tr> <td>210302</td> <td rowspan="3">13/4/18</td> <td>Fit</td> <td rowspan="3">UIE Estate</td> </tr> <tr> <td>210285</td> <td>Fit</td> </tr> <tr> <td>210209</td> <td>Fit</td> </tr> </tbody> </table>	ID No	Date of Medical check up	Result	Estate	210302	13/4/18	Fit	UIE Estate	210285	Fit	210209	Fit	Complied
ID No	Date of Medical check up	Result	Estate											
210302	13/4/18	Fit	UIE Estate											
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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												

**RSPO Public Summary Report
Revision 6 (December/2017)**

Criterion / Indicator	Assessment Findings	Compliance
<p>Criterion 4.7: An occupational health and safety plan is documented, effectively communicated and implemented. The health and safety plan shall cover the following:</p>		
<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. The policy was communicated to the workers during RSPO training which was conducted on 18/5/2018.</p> <p>Occupational Safety and health (OSH) management plan for each operating unit had been established. The latest ESH plan was made available during this assessment.</p> <p><u>UIE Estate</u> 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.</p> <p><u>UIE POM</u> 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.</p> <p>Audiometric Testing: The last audiometric was done on 7-8th February 2018 for total of 169 employees by Earwright Services & Consultants. From the report dated 22/5/2018, there were 1 Standard Threshold Shift (STS) case recorded. Retest for STS was done on 14/6/2018 by Pantai Hospital Manjung (ENT). The report dated 14/6/2018 was sighted.</p> <p>Medical Examination The examination was done for 4 lab operators who handle the N-haxane on 9/2/2018 by Kumpulan Poliklinik Manjung Sdn Bhd. From the report, all operators found fit.</p> <p>Additional Chemical Exposure Monitoring The assessment was done on 8th March 2018 by CSK Murni Services Sdn Bhd (HQ/15/JHI/00/097). The report, HQ/15/JHI/00/097-2018/006 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 23/3/2018 for 2 units of LEV by CSK Murni Services Sdn Bhd (JKKP HIE 127/171-3/2(96)). The report dated 20/6/2018 was sighted and the assessor was recommended to the management to service fume hood and replace fan with higher capacity and to install damper and use damper to control air velocity and flow. Monthly inspection for 2 units of LEV was last done on 4/6/2018.</p>	<p>Complied</p>

**RSPO Public Summary Report
Revision 6 (December/2017)**

Criterion / Indicator	Assessment Findings	Compliance	
4.7.2	<p>All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers.</p> <p>- Major compliance -</p>	<p>The risk of all operations were assessed as per Guidelines for Hazard Identification, Risk Assessment and Risk Control by Department of Occupational Safety and Health. The HIRARC for the mill operations was last reviewed on 5/3/2018 (UIE POM) and 1/4/2017 (UIE Estate). Sighted the HIRARC for Mill Mechanical & Electrical Section, Boiler Section, Marshalling Yard Section, Overhead Crane Section, Screw Press Section, Loose fruit collection, Pruning, FFB Evacuation-Buffalo, Circle sanitation, spraying weedicide, railway track, manuring manual POME application, . Appropriate control measure has been determined and revised in the HIRARC register.</p> <p>During site visit at UIE POM, all the signage's were displayed accordingly at each station while at UIE Estate Field 73, the safety signage at spraying area was displayed accordingly.</p>	Complied
4.7.3	<p>All workers involved in the operation shall be adequately trained in safe working practices (see Criterion 4.8). Adequate and appropriate protective equipment shall be available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, harvesting and, if it is used, burning.</p> <p>- Minor compliance -</p>	<p>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 24/5/2018 and for biogas operator on 13/6/2018.</p> <p>Sample of permit to work for confined space on 16/10/2017 for Boiler no. 1 inspection was sighted. All the atmospheric test found within permissible level. The gas test was done by Assistant Manager (NW-AGT-PNG-R-0041-C)</p> <p>Unsafe condition – The passenger trailer was not properly park in the field by tractor's driver during site visit at spraying activity, block 73.</p> <p>#cross refer with indicator 4.8.1</p>	Complied
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>	<p>OSH policy is well briefed to all workers. Interview with workers reveal that they understand the policy and the importance of safety at work. The OSH organization was established which was chaired (chairman) by the respective mill/estate manager.</p> <p>UIE POM OSH meeting was conducted on quarterly. OSH/EHS meeting: 30/5/2018 and 13/2/2018 were sighted.</p> <p>UIE Estate OSH meeting was conducted on quarterly. OSH/EHS meeting: 18/4/2018 and 24/1/2018 were sighted.</p>	Complied

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator	Assessment Findings	Compliance															
4.7.5 Accident and emergency procedures shall exist and instructions shall be clearly understood by all workers. Accident procedures shall be available in the appropriate language of the workforce. Assigned operatives trained in First Aid should be present in both field and other operations, and first aid equipment shall be available at worksites. Records of all accidents shall be kept and periodically reviewed. - Minor compliance -	Accident and emergency procedures are available. There is a formation of ERP Team & ERP for all the identified incidences. The organisation chart for the ERP team was appointed and displayed for information of the employees. At UIE POM, Fire drill and Fire extinguisher training was organised on 13/3/2018. Workers trained in First Aid were present in field and mill operations. UIE Estate - Fire drill at peat soil with the stakeholders was conducted on 6/6/2018 to test the state of readiness during emergency situation.	Complied															
4.7.6 All workers shall be provided with medical care, and covered by accident insurance. - Minor compliance -	Medical care is provided to all the employees. Local workers are covered under SOCSO scheme while foreign workers are covered under foreign workers compensation scheme. <table border="1" data-bbox="662 875 1297 1375"> <thead> <tr> <th>Type</th> <th>Period</th> <th>Remark</th> </tr> </thead> <tbody> <tr> <td>RHB Insurance Berhad (Policy: FW229114)</td> <td>23/5/18 – 22/5/19 (Emp. ID: 204710, 413154, 413178)</td> <td>UIE POM</td> </tr> <tr> <td>SOCSO</td> <td>May 2018 (Emp ID: 400899, 401740, 404125)</td> <td></td> </tr> <tr> <td>RHB Insurance Berhad (Policy: MW23 5684)</td> <td>13/6/18 – 12/6/19 (Emp. ID: 118112, 118095, 118057.</td> <td>UIE Estate</td> </tr> <tr> <td>SOCSO</td> <td>May 2018 (Emp ID: 412629, 413381, 208857)</td> <td></td> </tr> </tbody> </table>	Type	Period	Remark	RHB Insurance Berhad (Policy: FW229114)	23/5/18 – 22/5/19 (Emp. ID: 204710, 413154, 413178)	UIE POM	SOCSO	May 2018 (Emp ID: 400899, 401740, 404125)		RHB Insurance Berhad (Policy: MW23 5684)	13/6/18 – 12/6/19 (Emp. ID: 118112, 118095, 118057.	UIE Estate	SOCSO	May 2018 (Emp ID: 412629, 413381, 208857)		Complied
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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 JKPP 6, 7 & 8. Sample of accident statistic as shown below : <table border="1" data-bbox="662 1570 1043 1686"> <thead> <tr> <th>Year</th> <th>UIE POM</th> <th>UIE Estate</th> </tr> </thead> <tbody> <tr> <td>2017</td> <td>14</td> <td>64</td> </tr> </tbody> </table> *LTA is equivalent to lost man days	Year	UIE POM	UIE Estate	2017	14	64	Complied									
Year	UIE POM	UIE Estate															
2017	14	64															
Criterion 4.8: All staff, workers, smallholders and contract workers are appropriately trained.																	

**RSPO Public Summary Report
Revision 6 (December/2017)**

Criterion / Indicator		Assessment Findings	Compliance																																				
4.8.1	A formal training programme shall be in place that covers all aspects of the RSPO Principles and Criteria, and that includes regular assessments of training needs and documentation of the programme. - Major compliance -	<p>The records of training were available at mill and estate office. Sample training checked:</p> <table border="1"> <thead> <tr> <th>Date</th> <th>Training</th> <th>Remark</th> </tr> </thead> <tbody> <tr> <td>9/1/18</td> <td>Loco and Weighbridge</td> <td rowspan="7">UIE POM</td> </tr> <tr> <td>25/5/18</td> <td>CHRA training for Lab and Kernel Plant</td> </tr> <tr> <td>17/5/18</td> <td>CPR and First Aid</td> </tr> <tr> <td>13/4/18</td> <td>Biogas Engine</td> </tr> <tr> <td>3/4/18</td> <td>High Pressure Pump</td> </tr> <tr> <td>26/3/18</td> <td>SOP for Marshalling Yard and Sterilization Station</td> </tr> <tr> <td>18/5/2018</td> <td>RSPO training</td> </tr> <tr> <td>3/2/18</td> <td>IPM training</td> <td rowspan="7">UIE Estate</td> </tr> <tr> <td>20/5/18</td> <td>Beneficial plant</td> </tr> <tr> <td>27/2/17</td> <td>First aid</td> </tr> <tr> <td>23/5/18</td> <td>RSPO training</td> </tr> <tr> <td>26/4/18</td> <td>Manuring</td> </tr> <tr> <td>25/4/18</td> <td>Ablation and sanitation</td> </tr> <tr> <td>24/4/18</td> <td>LCC strip spraying</td> </tr> <tr> <td>8/4/18</td> <td>Harvesting</td> <td></td> </tr> </tbody> </table>	Date	Training	Remark	9/1/18	Loco and Weighbridge	UIE POM	25/5/18	CHRA training for Lab and Kernel Plant	17/5/18	CPR and First Aid	13/4/18	Biogas Engine	3/4/18	High Pressure Pump	26/3/18	SOP for Marshalling Yard and Sterilization Station	18/5/2018	RSPO training	3/2/18	IPM training	UIE Estate	20/5/18	Beneficial plant	27/2/17	First aid	23/5/18	RSPO training	26/4/18	Manuring	25/4/18	Ablation and sanitation	24/4/18	LCC strip spraying	8/4/18	Harvesting		Complied
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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																																				
Principle 5: Environmental responsibility and conservation of natural resources and biodiversity																																							
Criterion 5.1: Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.																																							
5.1.1	An environmental impact assessment (EIA) shall be documented. - Major compliance -	Environmental Risk Assessment (ERA) was last reviewed on 7/5/2018 for both estate and mill. There were 3 main criteria considered in the assessment i.e. severity, quantity/load, probability. From the assessment, the information about the level of environmental risks were then obtained and it was important to determine the Environmental Action Plan (EAP) later. Verification of the assessment report showed that all activities in the mill and estate that could interact with the environment were assessed.	Complied																																				

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator	Assessment Findings	Compliance
<p>5.1.2</p> <p>Where the identification of impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a comprehensive management plan. The management plan shall identify the responsible person/persons. - Minor compliance -</p>	<p>The mitigations measures were derived from ERA evaluation. Among the sampled activities to verify the methods of mitigation were:</p> <p><u>Weeding</u> Method to reduce the level of impact:</p> <ul style="list-style-type: none"> • Reduce usage of chemicals by using mechanical mowers • Judicious spraying program to avoid over-spray • Used chemical containers are triple rinsed and punctured • LCC establishment • Avoid spraying along the edges of water course • Use of chemicals with low residual volume • Spent lubricants, oil filters and batteries are sent to waste managers • Final discharge from chemical mixing store to go through filter i.e. charcoal/EFB <p><u>Biogas plant</u> Method to reduce the level of impact:</p> <ul style="list-style-type: none"> • Regular checking on critical parts such as pipe joint and pumps • Prompt action on leaking parts • Contained the effluent within plant area <p><u>Effluent Treatment Plant (ETP)</u> Methods to reduce the level of impact:</p> <ul style="list-style-type: none"> • Regular desludging of effluent ponds and disposal to land application furrows • Operation of biogas plant 	<p>Complied</p>
<p>5.1.3</p> <p>This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts. - Minor compliance -</p>	<p>Updating of the progress of plan was carried out by the person in-charge and the results of the monitoring effectiveness were reviewed by the management.</p>	<p>Complied</p>
<p>Criterion 5.2: The status of rare, threatened or endangered species and other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and and operations managed to best ensure that they are maintained and/or enhanced.</p>		
<p>5.2.1</p> <p>Information shall be collated in a High Conservation Value (HCV) assessment that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors). - Major compliance -</p>	<p>The HCV assessment for the complex was conducted by Wild Asia. Report dated 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.</p>	<p>Complied</p>

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator	Assessment Findings	Compliance
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.	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 -	UIE has conducted its education program on HCV through: <ul style="list-style-type: none"> • A training entitled <i>Program Kesedaran Mengenai Alam Sekitar dan Biodiversity</i> – conducted on 4/5/2018 and attended by 8 participants from various stakeholders such villagers, neighbouring estates. • Ongoing briefing in the muster ground for workers with objective to create awareness on MSPO Policy, OSHA Policy, Environment & Biodiversity policy, CSR Policy and Human rights policy – latest records dated 6/5/2018 was verified Putting up signage of restriction of hunting, collecting and fishing around the conservation areas	Complied
5.2.4 Where a management plan has been created there shall be ongoing monitoring: <ul style="list-style-type: none"> • The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported; • Outcomes of monitoring shall be fed back into the management plan. - Minor compliance -	Although there was no RTE species or HCV reported to be present in the complex, the management still made efforts to monitor the conservation areas on sighting of animals presence and trace of human intrusion. The monitoring report was well maintained.	Complied
5.2.5 Where HCV set-asides with existing rights of local communities have been identified, there shall be evidence of a negotiated agreement that optimally safeguards both the HCVs and these rights. - Minor compliance -	No HCV with existing rights of local communities was identified that needs to be set aside.	Complied
Criterion 5.3: Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.		

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator	Assessment Findings	Compliance
<p>5.3.1</p> <p>All waste products and sources of pollution shall be identified and documented. - Major compliance -</p>	<p>The wastes products were documented in "Operational Plan to Avoid/Reduce Pollution". The document has the information about type of waste, source of waste, quantity generated/month and method of disposal. Among the wastes sampled for verification:</p> <p>Major ones for mill:</p> <ul style="list-style-type: none"> • fibre-ffb processing-3100 mt/mth-used for boiler fuel • shell- ffb processing-1550 mt/mth-used for boiler fuel • EFB- ffb processing-5900 mt/mth-mulching • Chemical containers-WTP, boiler-80 drums/month-recycler • Spent oil-workshop-0.5mt/mth-authorized vendor • Domestic wastes-domestic-2 mt/day (~1,000 population)-landfill <p>Major ones for estate:</p> <ul style="list-style-type: none"> • Agrochemical containers-reused for premix, recycling to G-Planter • Fertilizer bags-reused for LF collection • Clinical wastes-sent to Pantai Medinvest Sdn Bhd • Spent lubricants-sent to authorized vendor • Domestic wastes-landfill 	<p>Complied</p>
<p>5.3.2</p> <p>All chemicals and their containers shall be disposed of responsibly. - Major compliance -</p>	<p>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.</p> <p>Sampled: DO# 04524, dated 18/6/2018-260 kg to Enviro Green Plas Ent.</p> <p>Training on triple rinse-latest conducted on 22/3/2018, attended by 3 workers (all male)-records available</p>	<p>Complied</p>

RSPO Public Summary Report
Revision 6 (December/2017)

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 -	On-site verification showed that all the disposal of wastes was well managed. Among the records/practice verified: <ul style="list-style-type: none"> • Disposal for SW 305 – 6th Sch available last disposal on 21/5/2018 to Primochem Sdn Bhd, Kinta, Perak, 3.4 mt, received on 21/5/2018 • Disposal for SW 410 – 6th Sch available-last disposed on 28/2/2018 to Ranama Resource Sdn Bhd, JB, 0.0758 mt, received on 28/2/2018 • Disposal of domestic wastes – landfill • Disposal of recyclable wastes: <ul style="list-style-type: none"> - Sales chit #04526-19/6/18-1,930 kg of light scrap to Prakash Ent - Sales chit #04527-19/6/18-1,230 kg of fertilizer bags to Velvilli Ent - Sales chit #04527-19/6/18-590 kg of plastic pails to Prakash Ent 	Complied
Criterion 5.4: 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 CU continued to monitor its diesel consumption and records were documented. In 2017 the consumption was 12.83 lt/mt CPO. Based on historical data for the past 10 years, generally the trend was seemed to be going downward. Nonetheless, for 2018 as at April, the consumption was 15.33 lt/mt CPO due to replanting activity. The biogas plant which generates electricity to supply to the national grid has helped the CU to improve the efficiency of fossil fuel consumption. Seen License (Pursuant to Section 9 of the Electricity Supply Act 1990) which is granted to United Plantation Bhd, License no.: LRE/12/1/6/272(BG), date of issuance 15/3/2016 and valid for sixteen (16) years i.e. 29/2/2016 (para 2, condition 5 of the license).	Complied
Criterion 5.5: Use of fire for preparing land or replanting is avoided, except in specific situations as identified in the ASEAN guidelines or other regional best practice.		
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 fire was used for preparation of land. Verification on the latest replanting fields confirmed that no trace of open burning observed.	Complied
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 -	Not applicable as no fire was used for land preparation.	Not applicable
Criterion 5.6: Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.		

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator	Assessment Findings	Compliance
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: - dated 8/3/2018: boiler 1=126 mg/m ³ , boiler 3=138 mg/m ³ (ref.: report no.: MURNI/0318/3175) - dated 28/8/2017: boiler 1=94 mg/m ³ , boiler 3=162 mg/m ³ report no.: MURNI/0817/2956) In the same samplings, gas such as NO, NO ₂ , SO ₂ , CO ₂ , CO, O ₂ were also tested using gas analyser. Dark smoke emissions were monitored through Continuous Emissions Monitoring System (CEMS) which link to the DOE on real-time basis	Complied
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 fertilisers 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. The last calculation was submitted to RSPO on 14/6/2018. Verification on the raw data records confirmed that the information reported in the RSPO GHG calculator was authentic.	Complied
Principle 6: Responsible consideration of employees and of individuals and communities affected by growers and millers.		
Criterion 6.1: Aspects of plantation and mill management that have social impacts, including replanting, are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.		
6.1.1 A social impact assessment (SIA) including records of meetings shall be documented. - Major compliance -	UIE POM and UIE Estate has carried out Social Risk Assessment (SRAOM) for all the operations in the mill and estate which involved the internal and external stakeholders for Y2018. The assessment was carried out on 7/5/2018. Stakeholder meeting minutes was sighted. For the operations that have been assessment are such as in weighbridge/ FFB reception, crane/ stripping station, screw press station, boiler house, laboratory, nursery, replanting, weeding and guest workers.	Complied
6.1.2 There shall be evidence that the assessment has been done with the participation of affected parties. - Major compliance -	The assessment has involved the participation of stakeholders such as internal workers, local communities, contractors and suppliers. The assessment was conducted via the Stakeholders Dialogue Session with United Plantations Berhad. Seen the attendance list and meeting minutes was sighted. The invitation letters that have been sent to the stakeholders were documented.	Complied

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator	Assessment Findings	Compliance
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 -	UIE POM has developed the Action Plan – Social Risk Assessment 2018 to mitigate the negative impacts with the targeted date and person to be responsible. Positive feedbacks from the external stakeholders were recorded in the meeting minutes of stakeholder meeting and action to promote the positive impacts were clearly identified. For eg: i. Impact: Unsafe working practices in the bio-gas plant Action: Strict implementation on the using of PPE, conduct monthly safety briefing and periodic training on safe method of working in the bio-gas plant. PIC: Plant Operations/ Supervisor Targeted Date: In practice. ii. Impact: Culture shock & Homesick Action: Induction course programme for newly arrived guest house. PIC: Estate Manager & HR Department Targeted Date: On-going	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 action plan was reviewed annually in practice by United Plantations Berhad. The last reviewed was conducted on 7/5/2018 in UIE POM and UIE Estate.	Complied
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
Criterion 6.2: There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.		
6.2.1 Consultation and communication procedures shall be documented. - Major compliance -	United Plantations Berhad has established Grievance Redressal Procedure for communication and consultation process to clear up the conflicts and grievances raised by the internal and external stakeholders. The Company Secretary of United Plantations Berhad will be the person responsible to handle all the enquiries and grievances against the company. The time frame to rectify 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.	Complied
6.2.2 A management official responsible for these issues shall be nominated. - Minor compliance -	Deputy Group Engineer in UIE POM and Estate Director have been appointed by Chief Executive Director as the Officer-in-charge of RSPO, RSPO NEXT and MSPO related matters. Seen the appointment letters dated 29/3/2018.	Complied

RSPO Public Summary Report
Revision 6 (December/2017)

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. - Minor compliance -</p>	<p>Stakeholder list was developed in UJE POM and UJE Estate where stakeholders such as internal workers' representatives, local communities, government authorities and contractors were included into the list.</p> <p>Annual stakeholders dialogue session with United Plantations Berhad was conducted on 7/5/2018 to discuss on the social and environment risk assessment, review and action plan and other matters that related to the operations in the mill and estate. All the stakeholders were invited to attend the meeting where the invitation list was sighted. Stakeholders that have attended the meeting were such as local communities, contractors, suppliers and internal stakeholders. No issue was raised during the meeting. The external stakeholders have provided positive feedbacks to the management and has recorded in the minutes.</p>	<p>Complied</p>
<p>Criterion 6.3: There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all effected parties.</p>		
<p>6.3.1</p> <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. - Major compliance -</p>	<p>United Plantations Berhad has established Grievance Redressal Procedure for communication and consultation process to clear up the conflicts and grievances raised by the internal and external stakeholders. The Company Secretary of United Plantations Berhad will be the person responsible to handle all the enquiries and grievances against the company. The time frame to rectify 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. Stakeholder Booklet was distributed to all the stakeholders during stakeholder meeting where the booklet has consisted of the Grievances Redressal Procedure, all the company policies, list of stakeholders and contact information for the management.</p> <p>Besides, the company has developed Whistleblower policy dated 2/5/2017 where they committed to high standards of ethical, moral and legal business conduct. The policy is intended to cover protection for the whistleblower when raising concerns regarding United Plantations Berhad such as incorrect financial reporting, unlawful activity and activities that misconducted. The company has attended to all the requests and grievances and replied accordingly. For eg: the school nearby has written in to request the mill to allow the students to carry out field visit to the mill on 2/11/2017 and the company has replied on 6/11/2017 to permit the field visit to be conducted on 8/11/2017. Besides, Ipoh Animal Welfare has requested the company to donate trees for their shelter and the management has donated accordingly on 7/6/2018. Seen the correspondence letters and emails for both the requests. The implementation of whistleblower policy and mechanism to handle grievances were verified and found effectively implemented. Thus, the OFI raised during last assessment was closed on 20/6/2018.</p>	<p>Complied</p>

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator	Assessment Findings	Compliance
<p>6.3.2</p> <p>Documentation of both the process by which a dispute was resolved and the outcome shall be available. - Major compliance -</p>	<p>UIE POM and UIE Estate have implemented Registry of Requests & Complaints to record any grievances and requests from the stakeholders. Sampled of the request & complaints as below:</p> <ul style="list-style-type: none"> i. House No.: SD13 dated 29/5/2018 Issue: Requested to change damaged front door netting and plastic cover at the kitchen. Action: Work request/ order was issued by the requester and approved by the Assistant Engineer on 30/5/2018. The Sundry gang has rectified the issues by verified the internal requisition chit. ii. Issue: Field Supervisor has complained that there were some motorcycles without front lamp which might cause accident especially in the early morning (muster) on 7/7/2017. Action: The management has taken action to carry out census inspection of the motorcycles and gave warning to the owner to repair the lamps. Monitoring of the census was conducted through verified the census records. 	<p>Complied</p>
<p>Criterion 6.4: Any negotiations concerning compensation for loss of legal, customary or user rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.</p>		
<p>6.4.1</p> <p>A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be in place. - Major compliance -</p>	<p>United Plantations Berhad has developed Standard Operating Procedure for Land Dispute Settlement as per Free Prior & Informed Consent (FPIC). 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.</p>	<p>Complied</p>
<p>6.4.2</p> <p>A procedure for calculating and distributing fair compensation (monetary or otherwise) shall be established and implemented, monitored and evaluated in a participatory way, and corrective actions taken as a result of this evaluation. This procedure shall take into account: gender differences in the power to claim rights, ownership and access to land; differences of transmigrants and long-established communities; and differences in ethnic groups' proof of legal versus communal ownership of land. - Minor compliance -</p>	<p>SOP as per indicator 6.4.2.</p>	<p>Complied</p>

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator	Assessment Findings	Compliance	
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
Criterion 6.5: Pay and conditions for employees and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.			
6.5.1	Documentation of pay and conditions shall be available. - Major compliance -	Mill and estate have employed local and foreign workers. All the mill and estates workers are under direct and contract's employment. The payslip has included basic pay, allowances, working days, deduction of salary such as temple funds and EPF. Payslip for July 2017, September 2017 and May 2018 was sampled based on the crop summary as below: <ul style="list-style-type: none"> a. Employee No.: 413154 (UIEPOM) b. Employee No.: 414342 (UIEPOM) c. Employee No.: 414988 (UIEPOM) d. Employee No.: 415224 (UIEPOM) e. Employee No.: 114587 (UIEPOM) f. Employee No.: 112534 (UIEPOM) g. Employee No.: 205386 (UIEE) h. Employee No.: 125 (UIEE) i. Employee No.: 326 (UIEE) j. Employee No.: 306845 (UIEE) All the sampled workers have achieved the Minimum Wage Order 2016 of RM 1000/ month or RM 38.46/day.	Complied
6.5.2	Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be available in the languages understood by the workers or explained carefully to them by a management official. - Major compliance -	Employment contract are available and explained in language that understood by workers. Terms and conditions such as annual leave entitlement, basic salary, accommodation and transportation, working hour and deduction of salary. The contract was signed by the workers and sampled of contracts as below: <ul style="list-style-type: none"> a. Employee No.: 413154 (UIEPOM) b. Employee No.: 414342 (UIEPOM) c. Employee No.: 414988 (UIEPOM) d. Employee No.: 415224 (UIEPOM) e. Employee No.: 114587 (UIEPOM) f. Employee No.: 112534 (UIEPOM) g. Employee No.: 205386 (UIEE) h. Employee No.: 117113 (UIEE) i. Employee No.: 307727 (UIEE) j. Employee No.: 206897 (UIEE) k. Employee No.: 326 (UIEE) l. Employee No.: 541 (UIEE) 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.	Complied

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator	Assessment Findings	Compliance	
6.5.3	Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible. - Minor compliance –	UIE POM and UIE Estate have provided basic facilities such as place of worship, sport facilities such as badminton court and football field, free school bus to the kids of the employees, community hall, hospital facilities and free housing to all the employees. Besides, subsidized of water and electricity provided to all the employees. Linesite inspection was carried out by Hospital Assistant in the frequency of once a week. Seen the Inspection Checklists for Zon A and Zon B for the month from April 2018 to June 2018.	Complied
6.5.4	Growers and millers shall make demonstrable efforts to monitor and improve workers’ access to adequate, sufficient and affordable food. - Minor compliance –	Sundry shops were available inside the compound and pricing of the foods and goods were publicly displayed. Besides, there was night market in the linesite once a month where suppliers of vegetables, meats and chickens were operated in the linesite. Workers are easily access to adequate, sufficient and affordable foods. Interviewed with the workers confirmed that the pricing of goods and foods are reasonable and affordable.	Complied
Criterion 6.6: The employer respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.			
6.6.1	A published statement in local languages recognising freedom of association shall be available. - Major compliance -	United Plantations Berhad has developed and implemented Human Rights Policy dated 18/8/2017 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 18/5/2018 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 -	Guest Workers Welfare Committee was established in the UIE POM and UIE Estate. Frequency of the meeting was once every two months. The committee consisted of representatives from Bangladesh, Indian, Indonesia and Nepal. The meeting was conducted on 30/5/2018, 28/3/2018 and 10/1/2018 in UIE POM and 5/6/2018, 4/4/2018 and 16/1/2018 in UIE Estate. Meeting minutes was sighted with issues raised during the meeting by the workers were rectified accordingly. Interviewed with the workers confirmed that they are allowed to form any association that legally allowed in the company and actions were taken to rectify the issues they raised during the meeting.	Complied
Criterion 6.7: 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.	Complied

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator		Assessment Findings	Compliance
Criterion 6.8: Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.			
6.8.1	A publicly available equal opportunities policy including identification of relevant/affected groups in the local environment shall be documented. - 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 was briefed to all the stakeholders on 18/5/2018 and was displayed on the notice board at the office area.	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.	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. 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
Criterion 6.9: There is no harassment or abuse in the work place, and reproductive rights are protected.			
6.9.1	Policy to prevent sexual and all other forms of harassment and violence shall be implemented and communicated to all levels of the workforce. - Major compliance -	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 briefed to all workers on 18/5/2018 and policy was displayed at the notice boards at the office area.	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 briefed to all workers on 18/5/2018 and policy was displayed at the notice boards at the office area.	Complied

RSPO Public Summary Report
Revision 6 (December/2017)

Criterion / Indicator	Assessment Findings	Compliance
6.9.3 A specific grievance mechanism which respects anonymity and protects complainants where requested shall be established, implemented, and communicated to all levels of the workforce. - Minor compliance -	Gender Committee was established to implement and monitor the policy. Besides, grievance redressal procedure for sexual harassment in the workplace was developed as well to handle the complaints related to sexual harassment. A Misconduct Report Form (Sexual Harassment & Violence) was implemented and the issue need to be solved in 2 weeks from the date of complaint. Meeting was conducted on 29/5/2018 in UIE POM and seen the minutes. No issue was raised during the meeting. Besides, there was a combined meeting for the whole UIE business unit and was conducted on 22/3/2018. Interviewed with the female representatives confirmed that monitoring of sexual harassment and violence case was done and so far no issue reported.	Complied
Criterion 6.10: Growers and mills deal fairly and transparently with smallholders and other local businesses.		
6.10.1 Current and past prices paid for Fresh Fruit Bunches (FFB) shall be publicly available. - 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 contractor's agreement as below: i. Agreement No.: MOA 8531, 8532, 8533 for harvest, load and collect FFB into rail cages from fields to UIE POM which valid until 31/12/2018. ii. Agreement No.: MOA 8527 for replanting work which valid until 31/12/2018. The contractors were updated on daily basis on the Daily Machine Record Book on the work done on that particular day and at the end of the month, the management will have summarized the work done and made payment according to the record book.	Complied
6.10.4 Agreed payments shall be made in a timely manner. - Minor compliance -	Interviewed with the contractors confirmed that the payments were made promptly. They will be paid before 11 th of the following month. The contractors were satisfied with the management and no issue towards the management.	Complied
Criterion 6.11: Growers and millers contribute to local sustainable development where appropriate.		
6.11.1 Contributions to local development that are based on the results of consultation with local communities shall be demonstrated. - Minor compliance -	UIE POM and UIE Estate has provided free school bus to the kids to school, given industrial training opportunity to the college students, subsidized water and electricity up to certain amount, organized activities such as festival celebration dinner, set up ATM machine in the estate. Besides, the company provided employment opportunities to local and foreign workers. For the local employment, the company published the advertisement in local newspapers and website such as Jobstreet and News Straits Time. In addition, the neighbouring school has requested for donation from the company and the company has responded and contributed a certain amount to the school.	Complied

**RSPO Public Summary Report
Revision 6 (December/2017)**

Criterion / Indicator	Assessment Findings	Compliance	
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 –	Not applicable as there was no scheme smallholders involved in the certification unit.	Not applicable
Criterion 6.12: No forms of forced or trafficked labour are used.			
6.12.1	There shall be evidence that no forms of forced or trafficked labour are used. - Major compliance -	The company has recruited all the employees with legal identification for local and valid passport and work permit for foreign workers. Contract of employment in their national language was signed by the workers prior to work. Sampled of foreign workers with valid work permit as below: <ul style="list-style-type: none"> a. Permit No.: PE 0850417 valid until 21/6/2019 (UIEPOM) b. Permit No.: PD 9307477 valid until 1/12/2018 (UIEPOM) c. Permit No.: PE 0046956 valid until 6/4/2019 (UIEPOM) d. Permit No.: PE 0159467 valid until 6/4/2019 (UIEPOM) e. Permit No.: PD 8401170 valid until 29/10/2018 (UIEPOM) f. Permit No.: PD 8532565 valid until 12/10/2018 (UIEE) g. Permit No.: PD 8701923 valid until 5/9/2018 (UIEE) h. Permit No.: PE 0551489 valid until 21/5/2019 (UIEE) i. Permit No.: PE 0017825 valid until 16/3/2019 (UIEE) j. Permit No.: PE 0306113 valid until 20/4/2019 (UIEE) Interviewed with the foreign workers confirmed that they have freedom to go out from the compound during off day. Letter of journey will be given to the workers if they are going for holiday in Malaysia. They are volunteered to surrender the passport to the management for safety reason as they worried the passport will be lost if kept by themselves.	Complied
6.12.2	Where applicable, it shall be demonstrated that no contract substitution has occurred. - Minor compliance –	Interviewed with the foreign workers from different countries informed that the terms and conditions of the agreement they signed in their home country were exactly similar when they arrived in Malaysia. No substitution of contract has occurred in UIE business unit.	Complied

RSPO Public Summary Report
Revision 6 (December/2017)

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 -	United Plantations Berhad has developed Guest Workers Policy dated 7/8/2014 with the following items to be included: i. No form of forced labour or trafficked labour are used. ii. All foreign and local workers are covered under the purview of "Workers' Minimum Standards of Housing and Amenities Act 1990". iii. There will be no contract substitution. Besides, Human Rights Policy was developed where the company treated all the employees fairly and protected from any form of discrimination. In additional, in the Recruitment of Guest Workers procedure has clearly stated that the guest workers will be undergoing the orientation/ induction program upon their arrival to get them familiarize with the new job and environment.	Complied
Criterion 6.13: Growers and millers respect human rights.			
6.13.1	A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations (see Criteria 1.2 and 2.1). - Major compliance -	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 briefed to all the workers on 6/5/2018 and the policy was publicly displayed at the notice board in the office area.	Complied
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.	Not applicable
Principle 7: Responsible development of new plantings			
UIE Palm Oil Mill Certification Unit and supply base did not carry out any new plantings since November 2005. Therefore, Principle 7 is not applicable during this annual surveillance assessment. The immature areas are replanted area.			
Principle 8: Commitment to continual improvement in key areas of activity			
Criterion 8.1: Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.			

**RSPO Public Summary Report
Revision 6 (December/2017)**

<p>8.1.1</p>	<p>The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria.</p> <p>As a minimum, these shall include, but are not necessarily be limited to:</p> <ul style="list-style-type: none"> • Reduction in use of pesticides(Criterion 4.6); • Environmental impacts (Criteria 4.3, 5.1 and 5.2); • Waste reduction (Criterion 5.3); • Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); • Social impacts (Criterion 6.1); <ul style="list-style-type: none"> • Optimising the yield of the supply base. <p>- Major compliance -</p>	<p>The continual improvement plan established as follow:</p> <p>A) RECYCLING OF WASTE / WASTE MANAGEMENT</p> <ol style="list-style-type: none"> 1. Zero Burn Replanting Policy 2. Empty Fruit Bunch Use by Estates 3. POME USE – by the Estate 4. Empty Fertilizer Bags Utilization 5. Scrap Metal Sold – UIE Estates 6. Spent Batteries/Dispatches to Waste Manager 7. Spent Lubricants/Dispatches to Waste Manager 8. Spent Fuel Filters/Dispatched to Waste Manager 9. Triple Rinse Pesticide Containers sent to Waste Manager 10. Clinical and Domestic Waste Disposal <p>B) POLLUTION PREVENTION/REDUCTION</p> <ol style="list-style-type: none"> 1. Tractor Utilization 2. Buffalo Use for Infield Fresh Fruit Collection 3. Petrol Use by Estate & Petrol Use by Oil Mill 4. Diesel Use by Estate & Diesel Use by Oil Mill 5. Water Use for Oil Mill 6. Biogas Plant (Eng. Dept.) 7. BOD (Final discharge at Effluent Ponds) 8. Mill Dust Emissions 9. Biogas Plant & Methane Gas Captured (Mill) 10. Biogas to Grid Project <p>C) REDUCTION OF CHEMICAL USE</p> <ol style="list-style-type: none"> 1. Reduction in Chemical Use: Immature Oil Palm 2. Reduction in Chemical Use: Mature Oil Palm 3. Reduction in use of Monocrotophos 4. More Pheromone Traps 5. Field Paths/Roads Mowing (rentices) & 6. Prevention of Soil Erosion by Grass Cutting 7. Integrated Pest Management/Beneficial Plants 8. Barn Owls 9. Barn Owl Box Occupancy Rate 10. Rodenticide Use <p>D) OCCUPATIONAL SAFETY AND HEALTH</p> <ol style="list-style-type: none"> 1. OSHA Safety Performance – UIE Estates 2. OSHA Committee Meeting 3. SOP and HIRARC Training 4. Product Training by Suppliers 5. Fire Drills & First Aid Trainings 6. Usage of PPE at work place <p>E) SOCIAL IMPACTS</p> <ol style="list-style-type: none"> 1. Existing Amenities & New Guest Workers Quarters 2. Fruit Trees Planted 3. Domestic Water Use 4. Mini Market and Canteen 5. Places of Worship 6. New School Bus 7. Automatic Teller Machine (ATM) 8. Clinic & New Ambulance 9. Washing Bay 10. Security Guards 11. Various Social Activities held 12. Induction Course for Newly Arrived Workers 13. Guest Workers Welfare Committee Meeting 14. Stakeholders Meeting 15. Gender Committee Meeting 	<p>Complied</p>
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Appendix B: Approved Time Bound Plan

Management Unit		Estate (Supply Base)	Time Bound Plan	Location	Status	
Mill	Time Bound Plan					
Indonesia						
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 th 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>						
Malaysia						
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 2017 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 2017 for UIE Palm Oil Mill and supply base are as following:

Emission per product	tCO ₂ e/tProduct
CPO	1.54
PK	1.54

Extraction	%
OER	20.84
KER	4.22

Production	t/yr
FFB Process	202,238
CPO Produced	42,140
PKO Produced	0

Land Use	Ha
OP Planted Area	44,238
OP Planted on peat	4,108.14
Conservation (forested)	7,687.5
Conservation (non-forested)	0
Total	56,033.64

Summary of Field Emission and Sink

	Own Crop*		Group		3 rd Party		Total	
	tCO ₂ e	tCO ₂ e / FFB	tCO ₂ e	tCO ₂ e / FFB	tCO ₂ e	tCO ₂ e / FFB	tCO ₂ e	tCO ₂ e / FFB
Emission								
Land Conversion	89,161.72	0.39	0	0	0	0	89,161.72	0.39
CO ₂ Emission from fertilizer	7,606.16	0.08	0	0	0	0	7,606.16	0.08
NO ₂ Emmission	12,905.92	0.08	0	0	0	0	12,905.92	0.08
Fuel Consumption	3,319.37	0.01	0	0	0	0	3,319.37	0.01
Peat Oxidation	45,257.94	0.23	0	0	0	0	45,257.94	0.23
Sink								
Crop Sequestration	-86,221.56	-0.43	0	0	0	0	-86,221.56	-0.43
Conservation Sequestration	-834.47	-0.07	0	0	0	0	-834.47	-0.07
Total	71,195.08	0.29	0	0	0	0	76,214.50	0.29

Summary of Mill Emission and Credit

	tCO ₂ e	tCO ₂ e/tFFB
Emission		
POME	2,759.48	0.01
Fuel Consumption	228.31	0
Grid Electricity Utilisation	0	0
Credit		
Export of Grid Electricity	-1,426.74	-0.01
Sales of PKS	0	0
Sales of EFB	0	0
Total	1,561.05	0.01

Summary of Kernel Crusher Emission and Credit (if applicable)

Emissions	tCO₂e
PK from own mill	13,089.23
PK from other source	0
Fuel Consumptions	0
Total Crusher emissions	13,089.23

*This mill has no kernel crusher operation.

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

POME Diverted to Anaerobic Digestion:	
Divert to anaerobic pond (%)	0
Divert to methane captured (flaring) (%)	2
Divert to methane captured (energy generation) (%)	98

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

5.1 Applicability of the general chain of custody requirements for the supply chain			
	Requirement	Evidence	Compliance
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 Palm Oil Mill takes legal ownership and physically handles its RSPO certified oil palm products i.e. CPO and PK	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 POM is not under traders and distributor license. Thus, this indicator 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.	The membership of United Plantation Berhad(RSPO membership no.: 1-0004-04-000-00) – at the time of the assessment the membership number is still applicable. Palm trace ID number: RSPO_PO1000000243	Yes
5.1.4	Processing aids do not need to be included within an organization’s scope of certification.	No processing aid used and included within an organization’s scope of certification.	Yes
5.2 Supply chain model			
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.	UIE is using only IP supply chain model and downgrade to SG to outside buyer, as per UIE SOP (Module D-CPO Mills; Identity Preserved), date issued 08.03.2018, Revision no 5 and Palmtrace transaction (TR-3fd9411b-da02).	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 is using IP & SG supply chain model and sell to own refinery namely Unitata Berhad as IP products, while downgraded to SG for other refinery.	Yes
5.3. Documented Procedures			

**RSPO Public Summary Report
Revision 6 (December/2017)**

<p>5.3.1</p>	<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"> • Complete and up to date procedures covering the implementation of all the elements of the supply chain model requirements. 	<p>UIE Palm Oil Mill – United Plantation Berhad has developed a documented procedure as guideline to ensure the RSPO SCC implementation. Refer to procedure, SOP (Module – CPO Mills : Identity Preserved) rev: 05 dated 8/3/18. The procedure is consists of:</p> <ul style="list-style-type: none"> i) SCC Module and Objective ii) Responsibility iii) Receiving and processing of FFB iv) Purchasing and goods in v) Sales goods out vi) Registration of transaction – upon completion of delivery of each contract within a month for the last delivery date. vii) Internal audit procedure – Appendix D viii) Record keeping – 2 years 	<p>Yes</p>
	<ul style="list-style-type: none"> • Complete and up to date records and reports that demonstrate compliance with the supply chain model requirements (including training records). 	<p>Among the records to be maintained according to the procedure include:</p> <ul style="list-style-type: none"> • FFB Receipt summary (weighbridge records) • Weighbridge ticket • Dispatch of CPO/PK – delivery instruction/sales order, weighbridge ticket, delivery order • Daily production report • Internal audit report – 7/5/18 • Minutes of management review meeting – 16/5/18 <p>Training records - latest RSPO SCC training on 30/4/18</p>	<p>Yes</p>
	<ul style="list-style-type: none"> • 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. 	<p>Person in charge to ensure the operation of mill based on the applicable procedure is the Head of Oil Mill (Group Engineer, Senior Resident Engineer & Resident Engineer), Weighbridge Operator and Oil Mill Staff)</p>	<p>Yes</p>
<p>5.3.2</p>	<p>The site shall have a written procedure to conduct annual internal audit to determine whether the organization;</p> <ul style="list-style-type: none"> i) conforms to the requirements in the RSPO Supply Chain Certification Standard and the RSPO Market Communications and Claims Documents. 	<p>A written documented procedure, Internal audit procedure, dated 27/2/18 which combined with other sustainability standards established as reference for conduct of internal audit.</p>	<p>Yes</p>

**RSPO Public Summary Report
Revision 6 (December/2017)**

	<p>ii) effectively implements and maintains the standard requirements within its organization</p>	<p>Based on the SOP, the audit is planned on annual basis covering both documentation and site verification audit. The first internal audit for RSPO SCC combined with RSPO P&C and MSPO was carried out on 7/5/18. No finding raised during the last audit. Follow up audit was done on 12/6/18 for the finding raised under P&C and MSPO.</p>	<p>Yes</p>
<p>5.4. Purchasing and goods in</p>			
<p>5.4.1</p>	<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"> • The name and address of the buyer; • The name and address of the seller; • The loading or shipment/delivery date; • The date on which the documents were issued; • A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations); • The quantity of the products delivered; • Any related transport documentation; • Supply Chain certificate number of the seller; • A unique identification number 	<p>UIE have the documented procedures from receiving of certified FFBs to processing and finally dispatches of RSPO certified CPO and RSPO certified PK as per UIE SOP (Module D-CPO Mills; Identity Preserved), date issued 08.03.2018, Revision no 5.</p> <p>UIE has the complete records on the tonnage and sources of certified FFBs received.</p> <p>Sample seen: Delivery note of FFBs sourced from own certified supply base (certified to the RSPO P&C): FFB despatch report No 63321, dated 19/06/18, UIE (M) Sdn Bhd, Estate 1, division 1B, No of cages: 8. Field 31, supply chain certificate no: MUTU-RSPO/067.</p>	<p>Yes</p>
	<ul style="list-style-type: none"> • 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). 	<p>Information presented in document such as delivery note as sampled in 5.4.1.</p>	<p>Yes</p>
	<ul style="list-style-type: none"> • 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 Confirmations on the RSPO IT platform per shipment or group shipments. Refer to section 5.7.1 of this document for further guidance. 	<p>The site has ensured that the FFB & PK are certified based on the source of FFB. The certified FFB & PK only come from their own estate, which is UIE estate.</p>	<p>Yes</p>

**RSPO Public Summary Report
Revision 6 (December/2017)**

	<ul style="list-style-type: none"> 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 (www.rspo.org) at least annually or through the RSPO IT Platform by confirmation of (shipping) announcements. 	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.	N/A
	<ul style="list-style-type: none"> 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. 	The site has never purchased any certified FFB from traders or distributors.	Yes
5.4.2	The site shall have a mechanism in place for handling non-conforming oil palm products and/or documents.	UIE POM has the mechanism to handle the non-conforming through customer feedback in management review and registry of complaint book. Sighted the latest management review was conducted on 10 th may 2018. The common issues are high FFA in CPO and high dirt in PK. There is no issue on non-conforming FFB been raised since 2017 until todote.	Yes
5.5. Outsourcing activities			
5.5.1	<p>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 independement mil cannot outsource processing activities like refining or crushing.</p> <p>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).</p>	No outsourced activities to independent third parties (e.g. subcontractors for storage, transport or other outsourced activities) at UIE POM. All haulage and storage were owned and managed by UPB.	Yes
5.5.2	<p>Sites which include outsourcing within the scope of their RSPO Supply Chain certificate shall ensure the following:</p> <p>a. The site has legal ownership of all input material to be included in outsourced processes;</p>	No outsourcing activities. Thus, this indicator is not applicable	N/A

**RSPO Public Summary Report
Revision 6 (December/2017)**

	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.	No outsourcing activities. Thus, this indicator is not applicable	N/A
	c. The site has a documented control system with explicit procedures for the outsourced process which is communicated to the relevant contractor.	No outsourcing activities. Thus, this indicator is not applicable	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.	No outsourcing activities. Thus, this indicator is not applicable	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.	No outsourcing activities. Thus, this indicator is not applicable	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.	No outsourcing activities. Thus, this indicator is not applicable	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"> • The name and address of the buyer; • The name and address of the seller; • The loading or shipment/ delivery date; • The date on which the documents were issued; • A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations); • The quantity of the products delivered; • Any related transport documentation; 	<p>UIE has the complete records on the tonnage and sources of certified CPO and PK solds</p> <p>Sample seen:</p> <ol style="list-style-type: none"> 1. Weighbridge chit no: 0000083175, date 13/06/18, vehicle no: PHT5531, customer: XXXXX, PK (SG), Nett weight 29670 kg, certificate no: Mutu-RSPO/067. 2. Weighbridge chit no: 0000083189, date 13/06/18, vehicle no: BDH2167, customer: XXXXX, CPO (IP), Nett weight 	Yes

RSPO Public Summary Report
Revision 6 (December/2017)

	<ul style="list-style-type: none"> Supply chain certificate number of the seller; A unique identification number 	41530 kg, certificate no: Mutu-RSPO/067.	
	<ul style="list-style-type: none"> 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). 	Information is presented in the sales & goods out document, such as weighbridge tickets.	Yes
	<ul style="list-style-type: none"> 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. 	<p>UIE POM has registered all of their transaction including Shipping Announcement and Stock Allocation in RSPO IT Platform (PalmTrace).</p> <p>Sample of Sales Confirmation: Contract No: PK (S/SG) 38/17 Date: 07.11.2017 Buyer: XXXXX Commodity: PK in bulk (Sustainable PK/SG) Quantity: 1,087 MT</p> <p>Sample of one of PK Shipping for the above sales confirmation: Announcement: TR-a8781a79-29a7; Seller: UIE POM-UP Buyer Ref UPKP201700094 Buyer: XXXXX Product CSPK; Program IP Volume 328.23 MT; Transaction Type: Shipping; Status: Confirmed; Shipping/ BL date 15.03.2018</p>	Yes
5.7. Registration of transactions			
5.7.1	<p>Supply chain actors who:</p> <ul style="list-style-type: none"> are mills, traders, crushers and refineries and; 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. 	The site is a Palm Oil Mill which takes legal ownership and physically handle RSPO certified sustainable oil palm product, has registered their transaction in RSPO IT Platform (PalmTrace).	Yes
5.7.2	The involved supply chain actors mentioned in 5.7.1 shall do the following actions in the RSPO IT Platform:	RSPO certified volume of CPO and PK sold as certified are registered as shipping announcement in Palmtrace. The volume is declared upon	Yes

**RSPO Public Summary Report
Revision 6 (December/2017)**

	<ul style="list-style-type: none"> 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. 	<p>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>Sample of Sales Confirmation: Contract No: PK (S/SG) 38/17 Date: 07.11.2017 Buyer: XXXXX Commodity:PK in bulk (Sustainable PK/SG) Quantity: 1,087 MT</p> <p>Sample of one of PK Shipping for the above sales confirmation: Announcement: TR-a8781a79-29a7; Seller: UIE POM-UP Buyer Ref UPKP201700094 Buyer: XXXXX Product CSPK; Program IP Volume 328.23 MT; Transaction Type: Shipping; Status: Confirmed; Shipping/ BL date 15.03.2018</p>	
	<ul style="list-style-type: none"> 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. 	<p>The site is a Palm Oil Mill that never sold any oil palm product to supply chain actors beyond the refinery.</p>	<p>Yes</p>
	<ul style="list-style-type: none"> Remove: RSPO certified volumes sold under other scheme or as conventional, or in case of underproduction, loss or damage shall be removed. 	<p>The site never sold any RSPO certified volume as other certification scheme.</p>	<p>Yes</p>
	<ul style="list-style-type: none"> Confirm: Acknowledge the purchase of RSPO certified volume by confirming Shipping Announcements / Announcements. 	<p>The site is a Palm Oil Mill that never bought any oil palm product from other supply chain actor.</p>	<p>Yes</p>
5.8. Training			
<p>5.8.1</p>	<p>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.</p>	<p>Training plans for 2017 and 2018 was made available – incorporation with other training plans.</p>	<p>Yes</p>

**RSPO Public Summary Report
Revision 6 (December/2017)**

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.	<p>Relevant personnel to supply chain implementation as defined by the CU are the personnel that involve in supply chain implementation - weighbridge operators, Lab operator and office staff.</p> <p>Based on training records, last training was conducted 30/4/18 entitled "SOP on Traceability and Supply Chain Module ", conducted by mill assistant attended by relevant personnel for RSPO SCC implementation.</p> <p>Verified training records of relevant personnel for the said training.</p>	Yes
5.9. Record Keeping			
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.	Up-to-date and accessible records and reports covering all aspects of these RSPO Supply Chain Certification Standard requirements were verified.	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.	Addressed SOP (Module – CPO Mills : Identity Preserved) rev: 05 dated 8/3/18, retention of records for RSPO SCC is minimum 2 years.	Yes
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.	Not applicable. The product of the facility is containing 100% palm oil.	N/A
5.10. Conversion factors			
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 (www.rspo.org); RSPO Rules for Physical Transition of Oleochemicals and its Derivaties. This is relevant for derivatives of	The site has determined and set their own conversion rates based upon past experience defined as Oil Extraction Rate (OER) and and Kernel Extraction Rate (KER). The site has set OER for budget 2018 as 21.50% and KER as 4.5%.	Yes

**RSPO Public Summary Report
Revision 6 (December/2017)**

	Palm Oil and Palm Kernel Oil, as used in the oleochemical and personal care industries.		
5.10.2	Conversion rates shall be periodically updated to ensure accuracy against actual performance or industry average if appropriate.	The site has annually update OER and KER to ensure accuracy against actual performance. The recorded actual OER and KER as in 2017 OER is 22.30% and KER is 4.81%.	Yes
5.11. Claims			
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.	<p>Verified RSPO Annual Communication Of Progress (ACOP) 2017 submitted by United Plantation Berhad on 21/4/18.</p> <p>RSPO trademark was not use as POM producing raw product (CPO and PK) Nonetheless, the facility is aware with the requirements of the RSPO Rules on Market Communications and Claims.</p> <p>Claim made for IP product is stamped on the delivery notes. i.e CPO IP/CPO SG/PK SG</p>	Yes
5.12. Complaints			
5.12.1	The organization shall have in place and maintain documented procedures for collecting and resolving stakeholder complaints.	Addressed in the Grievance Redressal Procedure for internal and external stakeholder, anything with regards to grievance will be addressed and acknowledged within 7 working days. No complaint regarding supply chain from any stakeholders so far.	Yes
5.13. Management Review			
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 latest management review meeting was conducted on 16/5/2018, attended by RSPO SCC committee which consist of UIE Engineering Department Management Team and Mill Staff.	Yes
5.13.2	<p>The input to management review shall include information on:</p> <ul style="list-style-type: none"> • Results of internal audits covering RSPO Supply Chain Certification Standard. • Customer feedback. • Status of preventive and corrective actions. • Follow-up actions from management reviews. 	<p>Based on verification of minutes of meeting, the following agenda had been recorded:</p> <ul style="list-style-type: none"> • Results of internal audits covering RSPO Supply Chain Certification Standard – internal audit carried out on 7/5/18 by HRESH team • Customer feedback – No complaint reported related to RSPO SCC. Noted on the CPO and PK quality complaint received from buyer. 	Yes

**RSPO Public Summary Report
Revision 6 (December/2017)**

	<ul style="list-style-type: none"> • Changes that could affect the management system. • Recommendations for improvement. 	<ul style="list-style-type: none"> • Status of preventive and corrective actions – No corrective action recorded. Preventive action reported on the CPO an PK quality as to comply MEOMA and PORAM specification. • Follow-up actions from management reviews – No follow up as this is the first RSPO SCC management review meeting • Changes that could affect the management system – no changes • Recommendations for improvement – process improvement 	
5.13.3	<p>The output from the management review shall include any decisions and actions related to:</p> <ul style="list-style-type: none"> • Improvement of the effectiveness of the management system and its processes. • Resource needs. 	<p>The decisions and actions related to presented in the meeting:</p> <ul style="list-style-type: none"> • Improvement of the effectiveness of the management system and its processes – Close monitoring on crop quality and minimization of oil losses. • Resource needs were also recorded in the minutes of meeting – Allocation of budget/CAPEX/OPEX 	Yes

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

Requirements	Compliance
D.1 Definition	
<p>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.</p>	<p>UIE Palm Oil Mill takes legal ownership and physically handles its RSPO certified oil palm products i.e. CPO and PK.</p>
D.2 Explanation	
<p>E.2.1 The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill shall 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 shall 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.</p>	<p>The projection for certified FFB and production of certified CPO and PK in UIE POM has been recorded in BSI's public summary report and registered in RSPO IT Platform.</p>
<p>D.2.2 The mill shall also meet all registration and reporting requirements for the appropriate supply chain through the RSPO supply chain managing organization (RSPO IT platform).</p>	<p>IT Platform (PalmTrace) with ID number RSPO_PO1000000243</p>
D.3 Documented procedures	
<p>D.3.1 The site shall have written procedures and/or work instructions to ensure the implementation of all the elements specified in these requirements. This shall include at minimum the following:</p> <p>a) Complete and up to date procedures covering the implementation of all the elements in these requirements;</p>	<p>UIE Palm Oil Mill – United Plantation Berhad has developed a documented procedure as guideline to ensure the RSPO SCC implementation. Refer to procedure, SOP (Module – CPO Mills : Identity Preseved) rev: 05 dated 8/3/18. The procedure is consists of:</p> <ul style="list-style-type: none"> i) SCC Module and Objective ii) Responsibility iii) Receiving and processing of FFB iv) Purchasing and goods in v) Sales goods out

**RSPO Public Summary Report
Revision 6 (December/2017)**

	<p>vi) Registration of transaction – upon completion of delivery of each contract within a month for the last delivery date.</p> <p>vii) Internal audit procedure – Appendix D</p> <p>viii) Record keeping – 2 years</p>
<p>b) The role of the person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the site's procedures for the implementation of this standard.</p>	<p>Person in charge to ensure the operation of mill based on the applicable procedure is the Head of Oil Mill (Group Engineer, Senior Resident Engineer & Resident Engineer), Weighbridge Operator and Oil Mill Staff). Based on the interview with the weighbridge operator and staff, they can demonstrate awareness as per the established procedure for the implementation of supply chain standard.</p>
<p>D.3.2 The site shall have documented procedures for receiving and processing certified FFBs.</p>	<p>Under para receiving and processing of FFB, SOP (Module – CPO Mills : Identity Preserved) rev: 05 dated 8/3/18 only certified FFB (only supply base and other certified group estates (if any)) received at UIE POM.</p>
<p>D.4 Purchasing and goods in</p>	
<p>D.4.1 The site shall verify and document the tonnage and sources of certified FFBs received.</p>	<p>UIE have the documented procedures from receiving of certified FFBs to processing and finally dispatches of RSPO certified CPO and RSPO certified PK as per UIE SOP (Module D-CPO Mills; Identity Preserved), date issued 08.03.2018, Revision no 5.</p> <p>UIE has the complete records on the tonnage and sources of certified FFBs received.</p> <p>Sample seen: Delivery note of FFBs sourced from own certified supply base (certified to the RSPO P&C): FFB despatch report No 63321, dated 19/06/18, UIE (M) Sdn Bhd, Estate 1, division 1B, No of cages: 8. Field 31, supply chain certificate no: MUTU-RSPO/067.</p>
<p>D.4.2 The site shall inform the CB immediately if there is a projected overproduction of certified tonnage.</p>	<p>As per SOP Module D-CPO Mills: IP, the oil mills shall inform CB immediately if there is a projected overproduction of certified tonnage.</p>
<p>D.5 Record keeping</p>	
<p>D.5.1 The site shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a real-time basis.</p>	<p>Receipts of all RSPO certified FFB and deliveries of RSPO certified CPO and PK on real-time basis. Crop summary is being monitored on daily basis.</p> <p>Latest to date stock as at 19/6/2018: FFB processed (to date): 8,574.07 mt CPO production (to date): 1,944.35 mt CPO despatch (to date): 2,726.79 mt</p> <p>Refer to crop summary as at 19/6/18</p>
<p>D.6 Processing</p>	

**RSPO Public Summary Report
Revision 6 (December/2017)**

<p>D.6.1 The site shall assure and verify through documented procedures and record keeping that the RSPO certified oil palm product is kept separated from non-certified oil palm product including during transport and storage to strive for 100% separation.</p>	<p>Last batch of non-certified CPO stored as at 14/6/17 i) Despatch Tank 1 (100 mt) – 8.69 mt All dead stock transferred to fat pit. 15/6/17 – 0 mt (zero-rise) 21.46% OER: 22.61% (14/6/17) 1st production IP (25/7/17) : 42.36 mt</p> <p>Last batch of non-certified CPO stored as at 30/5/17 i) Storage Tank 3 (100 mt) – 9.76 mt 31/5/17 – 0 mt (zero-rise) All dead stock transferred to fat pit. 1st production IP (1/6/17) : 164.18 mt</p>
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Supply Chain Declaration

A. Monthly Records of Certified and Uncertified FFB Received since the last audit (June 17 – May 18)				
No.	Month - Year	Volume of FFB from certified supply bases (MT)	Volume of FFB from uncertified supply bases (MT)	Total FFB/Month (mt)
1	June 2017	14,971.04	-	14,971.04
2	July 2017	17,947.72	-	17,947.72
3	August 2017	15,918.47	-	15,918.47
4	September 2017	14,682.84	-	14,682.84
5	October 2017	15,740.60	-	15,740.60
6	November 2017	16,480.11	-	16,480.11
7	December 2017	15,240.40	-	15,240.40
8	January 2018	16,330.84	-	16,330.84
9	February 2018	11,687.58	-	11,687.58
10	March 2018	15,881.02	-	15,881.02
11	April 2018	15,249.31	-	15,249.31
12	May 2018	15,813.33	-	15,813.33
	TOTAL	185,943.26	-	185,943.26

**RSPO Public Summary Report
Revision 6 (December/2017)**

B. Monthly Records of Certified CPO & PK since the last audit (June 17 – May 18)			
No.	Month - Year	Certified CPO (MT)	Certified PK (MT)
1	June 2017	3,152.81	580.74
2	July 2017	3,623.17	663.43
3	August 2017	3,119.38	619.41
4	September 2017	2,823.06	538.65
5	October 2017	3,342.10	588.35
6	November 2017	3,536.02	676.60
7	December 2017	3,328.76	646.19
8	January 2018	3,498.03	756.04
9	February 2018	2,589.03	488.61
10	March 2018	3,456.06	710.36
11	April 2018	3,462.56	664.47
12	May 2018	3,523.61	673.90
	TOTAL	39,454.59	7,606.75

C. Records of Certified CPO & PK Sold under PalmTrace to Buyers since the last audit (if any) records base on transaction June 2017-May 2018				
No.	Buyers Name	Palmtrace Trading No	Certified CPO Sold (MT)	Certified PK Sold (MT)
1	XXXXX	TR-37ab192f-3097, TR-09c3683b-7eeb, TR-ac4f01c0-1ab5, TR-da516ee0-bde4, TR-81fd9a09-fa64, TR-44a19628-6764, TR-6baf87cd-d1a7, TR-22576e45-1f0f, TR-e21eb5b4-45c0, TR-d276126b-73db, TR-ee07d42e-e564, TR-e6f1c081-272b, TR-17327b40-a81a, TR-738b74a2-ece2, TR-1d979cdc-72f7, TR-e9c4920d-754b, TR-ea07e9cd-ec39, TR-7c582b24-d4c1, TR-6ed2cc45-8c85, TR-8762638c-76e7, TR-bca33d3d-540a, TR-86640bb0-18ad, TR-d6acf9b6-0bb0, TR-cdc3a37c-5218, TR-8d5a3092-1a1e, TR-944987d0-2942, TR-d54a3061-bd9f, TR-1bd7bb8e-f929, TR-985b4334-279b, TR-5cf3e297-0441, TR-5e24519b-4963, TR-6e0a1fe8-840b, TR-8de75027-b658, TR-b9744373-ca42, TR-d7838182-9ecb, TR-9698a2d0-4fe8, TR-9fb47010-7727, TR-2c4b48f3-e997, TR-1c06300e-7626, TR-9f3a6dc1-35f3,	36,779.98	

**RSPO Public Summary Report
Revision 6 (December/2017)**

		TR-fab97051-9b13, TR-344b4946-b265, TR-eaf298cf-27fe, TR-1d79d4d5-80db, TR-a568474d-76ae, TR-14b49f88-62f2, TR-d08ba2a8-2784, TR-3db202d2-6ca2, TR-e6346488-a8d8, TR-f49de23c-7798, TR-462f97e4-c880, TR-ae3b2db0-6833, TR-f70f03aa-9bfd, TR-c64f135a-b236, TR-cf1d3853-4c71, TR-b1db4c72-6b01, TR-3b557adf-266a, TR-e00d95ff-ab9f, TR-4683c8da-cb83, TR-547de3b0-0f8a, TR-7fd79ad7-235d, TR-13470353-7975, TR-c1005925-07ee, TR-8096f1fb-d409, TR-11e5c324-327a, TR-89a1a993-db50, TR-3be17e69-ae48, TR-2b6fc49e-219e, TR-842b9df0-16f0, TR-14726a0f-9c61, TR-3fd9411b-da02		
2	XXXXX	TR-43a8fdb9-ba4a, TR-35faaffd-967c, TR-15b43695-ee71, TR-b6b37da0-607c, TR-94dcf57d-0b9c, TR-02337296-7b88, TR-6a214461-69cd, TR-a8781a79-29a7, TR-337dc010-6ff1, TR-c3f6ba9a-898b, TR-5c16e4f0-662a, TR-37d61068-9e2b, TR-3feb7b82-69df, TR-5bdd2a3d-2c7a, TR-54d06003-8e45, TR-2385364e-2dd6, TR-2aa9b554-ba0b, TR-9279bb63-b046, TR-c170f1de-1699, TR-8ed93098-a006, TR-bbf557ec-fa5f, TR-009757d3-5ca1, TR-4165959b-8b50, TR-69c1598c-c933, TR-d26fa8f1-1f8a, TR-6479407d-cac0		7,248.11
	TOTAL		36,779.98	7,248.11

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-				

E. Records of CPO & PK Sold as conventional to Buyers since the last audit (if any)				
No.	Buyers Name	CPO Sold (MT)	PK Sold (MT)	
1	XXX	208.97	-	
2	XXX	-	-	

RSPO Public Summary Report
Revision 6 (December/2017)

F. Records of Certified CPO Sold under RSPO Credits to Buyers since the last audit (if any)			
No.	Buyers Name	PalmTrace Trading No	RSPO Credits of Certified CPO Sold (MT)
n/a			

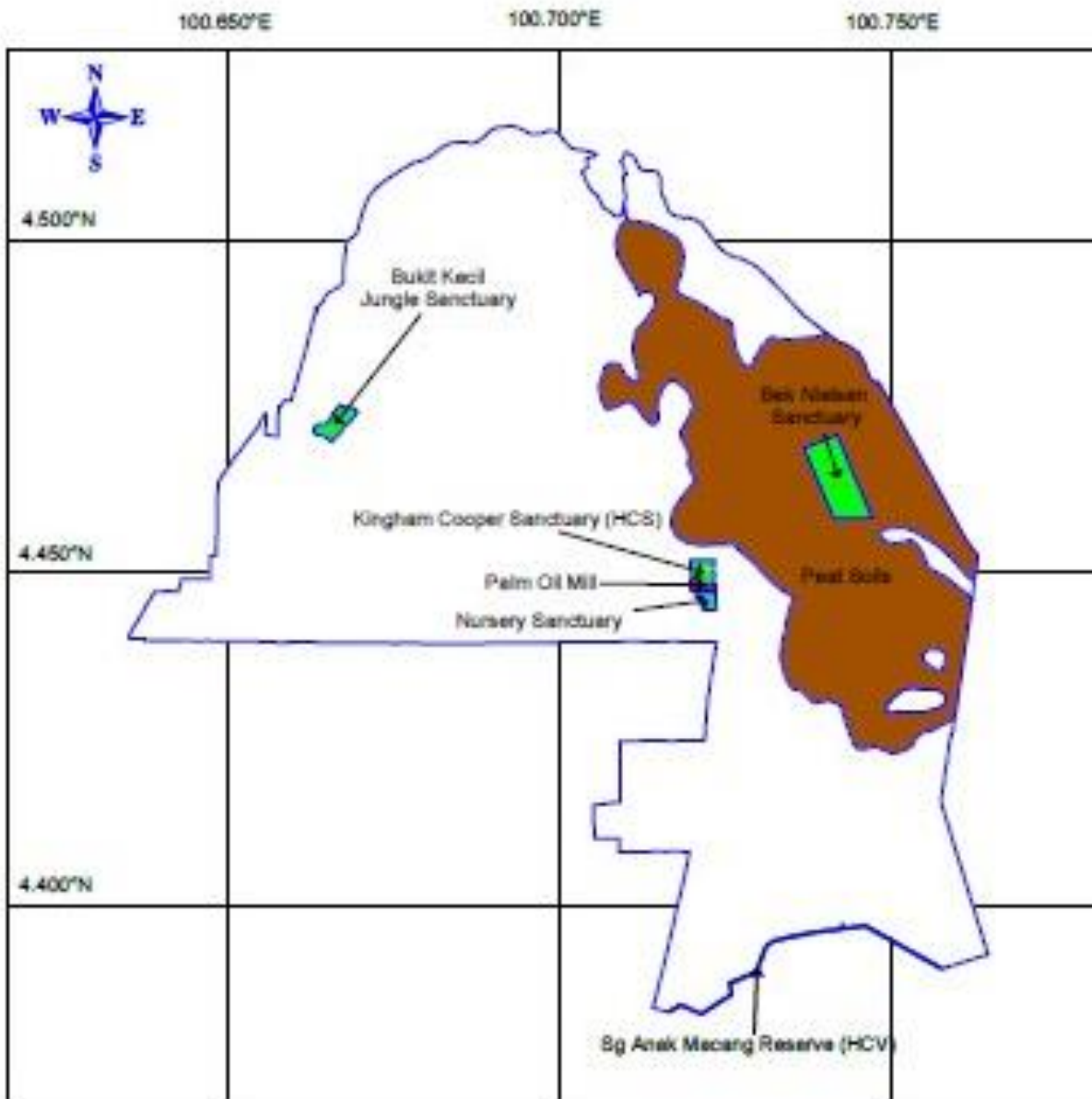
Appendix F: Location Map of UIE Palm Oil Mill and Supply bases



Appendix G: UIE Estate Field Map



United Plantations Berhad
UIE Estates



Appendix H: List of Smallholder Sampled *(If applicable – scheme/associated/group certification)*

Not applicable

Appendix I: List of Abbreviations

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
CU	Certification Unit
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
MRM	Management Review Meeting
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