

**MALAYSIAN SUSTAINABLE PALM OIL  
SURVEILLANCE ASSESSMENT – ASA1  
Public Summary Report****United Plantations Berhad-Jendarata POM**

Client company Address:  
Jendarata Estate, 36009 Teluk Intan, Perak

Certification Unit:  
United Plantations Berhad-Jendarata POM

Location of Certification Unit:  
Jendarata Estate, 36009 Teluk Intan, Perak

**Report prepared by:**

Muhammad Fadzli Masran (Lead Auditor)

**Report Number: 9672057****Assessment Conducted by:**

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<b>TABLE of CONTENTS</b>	<b>Page No</b>
Section 1: Executive Summary .....	3
1.1 Organizational Information and Contact Person .....	3
1.2 Certification Information.....	3
1.3 Location of Certification Unit.....	4
1.4 Plantings & Cycle .....	4
1.5 FFB Production (Actual) and Projected (tonnage).....	4
1.6 Certified CPO / PK Tonnage .....	4
1.7 Certified Area .....	5
1.8 Details of Certification Assessment Scope and Certification Recommendation: .....	6
Section 2: Assessment Process .....	7
1. Assessment Program .....	8
Section 3: Assessment Findings .....	9
3.1 Details of audit results .....	9
3.2 Details of Nonconformities and Opportunity for improvement.....	9
3.3 Status of Nonconformities Previously Identified and OFI .....	11
3.4 Issues Raised by Stakeholders .....	15
3.5 Summary of the Nonconformities and Status.....	16
3.6 Summary of the findings by Principles and Criteria .....	17
Section 4: Assessment Conclusion and Recommendation .....	96
Appendix A: Assessment Plan.....	97
Appendix B: List of Stakeholders Contacted .....	99
Appendix C: Smallholder Member Details.....	100
Appendix F: Location and Field Map.....	101
Appendix G: List of Abbreviations .....	104

## Section 1: Executive Summary

1.1 Organizational Information and Contact Person			
MPOB License	Jendarata POM: 508108704000 Jendarata Estate: 501550502000 Seri Pelangi Estate: 502207202000		
Company Name	United Plantations Berhad		
Address	Jendarata Estate, 36009 Teluk Intan, Perak.		
Group name if applicable:	Nil		
Subsidiary of (if applicable)	Nil		
Contact Person Name	C. Mathews		
Website	http://www.unitedplantations.com	E-mail	mathewsc6@gmail.com
Telephone	05-6436271	Facsimile	05-6417100

1.2 Certification Information			
Certificate Number	Mill: MSPO 693201 Estate: MSPO 693204		
Issue Date	07 <sup>th</sup> September 2018	Expiry date	06 <sup>th</sup> September 2023
Scope of Certification	Mill: Production of Sustainable Palm Oil and Palm Oil Products Estate: Production of Sustainable Oil Palm Fruits		
Stage 1 Date	N/A (The certification unit is RSPO certified)		
Stage 2 / Initial Assessment Visit Date (IAV)	26/6/2018 – 28/6/2018		
Continuous Assessment Visit Date (CAV) 1	17/6/2019 – 20/6/2019		
Continuous Assessment Visit Date (CAV) 2	NA		
Continuous Assessment Visit Date (CAV) 3	NA		
Continuous Assessment Visit Date (CAV) 4	NA		
Other Certifications			
Certificate Number	Standard(s)	Certificate Issued by	Expiry Date
RSPO (RSPO 693200)	RSPO P&C MYNI 2014 and Supply Chain 2017	BSI Services Malaysia Sdn Bhd	28/09/2022
RSPO NEXT (RSPO 683611)	RSPO NEXT Guidance	BSI Services Malaysia Sdn Bhd	28/09/2022

1.3 Location of Certification Unit			
Name of the Certification Unit (Palm Oil Mill/ Estate/ Smallholder/ Independent Smallholder)	Site Address	GPS Reference of the site office	
		Longitude	Latitude
Jendarata Palm Oil Mill	Jendarata Estate, 36009 Teluk Intan, Perak	100° 58' 06" E	3° 51' 14" N
Jendarata Estate	36009 Teluk Intan, Perak	100° 58' 39" E	3° 54' 00" N
Seri Pelangi Estate	Batu 11 ¾ Jalan Bidor, 36009 Teluk Intan, Perak	101° 26' 53" E	3° 59' 37" N

1.4 Plantings & Cycle					
Estate	Age (Years) - ha				
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30
Jendarata Estate	1401.42	2429.72	1360.76	89.80	4.30
Seri Pelangi Estate	321	0	487	529	0
<b>Total (ha)</b>	1722.42	2429.72	1847.76	618.80	4.30

1.5 FFB Production (Actual) and Projected (tonnage)			
Producer Group	Projected from last audit (May 2018 - April 2018)	Actual production last 12 months (June 18 – May 19)	Projected production for next 12 months (Oct 19 – Sept 20)
Jendarata Estate	116,300	106,589.75	114,600
Seri Pelangi Estate	26,360	30,085.43	32,446
<b>Total</b>	142,660	136,675.18	147,046

1.6 Certified CPO / PK Tonnage			
Mill	Estimated (May 2018 - April 2018)	Actual (June 18 – May 19)	Forecast (Next Year) (Oct 19 – Sept 20)
Jendarata POM 50 MT/hr	<b>CPO (OER: 22.82%)</b>	<b>CPO (OER: 22.49%)</b>	<b>CPO (OER: 22.68%)</b>
	32,923.00	30,747.80	33,350.03
	<b>PK (KER: 5.23%)</b>	<b>PK (KER: 5.19%)</b>	<b>PK (KER: 5.17%)</b>
	7,542.00	7,095.90	7,602.28

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**Revision 0 (Aug 2017)**

<b>1.7 Certified Area</b>					
<b>Estate</b>	<b>Total Planted (Mature + Immature) (ha)</b>	<b>HCV (ha)</b>	<b>Infrastructure &amp; Other (ha)</b>	<b>Total Area (ha)</b>	<b>% of Planted</b>
Jendarata Estate	5286	3.15	1046.49	6335.64	83.40
Seri Pelangi Estate	1337	0	85	1422	94.02
<b>Total</b>	6623	3.15	1131.49	7757.64	85.37

In end of 2018, the estates have conducted reconciliation of hectarage for the properties in line with Annual Report and MPOB license. Therefore there are some changes in the categories of "others and infrastructure" which resulted in the increase of total area. Hereby confirm that the hectarage provided for 2019 is deemed accurate.

With regards to the planted area in 2018, the estate management did not include partial of replanting fields - 80.10ha (immature) in the planted area. The correct planted area in 2018 supposed to be  $5205.90+80.10=5286$  ha.

**1.8 Details of Certification Assessment Scope and Certification Recommendation:**

BSI Services Malaysia Sdn Bhd has conducted the Annual Surveillance Assessment 1 of United Plantation Berhad-Jendarata POM located in Teluk Intan comprising 1 Mill and 2 Estates and infrastructure.

The assessment was conducted onsite to assess the compliance of the certification unit against the MS 2530-3:2013 Part 3: General principles for oil palm plantations and organized smallholder and MS 2530-4:2013 Part 4: General principles for palm oil mills.

The onsite assessment was conducted on 17/6/2019 – 20/6/2019

Based on the assessment result, United Plantation Berhad-Jendarata POM complies with MS 2530-3:2013 Part 3: General principles for oil palm plantations and organized smallholder and MS 2530-4:2013 Part 4: General principles for palm oil mills and recommended for certification.

## Section 2: Assessment Process

### Certification Body:

BSI Services Malaysia Sdn Bhd,  
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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.

### Assessment Methodology, Programme, Site Visits

This on-site assessment was conducted from 17/6/2019 – 20/6/2019. The audit programme is included as Appendix A. The approach to the audit was to treat the United Plantation Berhad-Jendarata POM and supply base (Jendarata Estate and Sri Pelangi Estate) as a MSPO Certification Unit. A range of environmental and social factors were covered. This includes consideration of topography, palm age, proximity to areas with HBVs, declared conservation areas and local communities.

The methodology for collection of objective evidence included physical site inspections, observation of tasks and processes, interviews of staff, workers and their families and external stakeholders, review of documentation and monitoring data. MS 2530-3:2013 Part 3: General principles for oil palm plantations and organized smallholder and MS 2530-4:2013 Part 4: General principles for palm oil mills 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 estates or smallholders sample were determined based on formula  $S = r\sqrt{n}$  where n is the number of estates while when applicable, the smallholders sample were determined following the MSPO Certification Requirement. The sampling of smallholders were based on the formula  $(r\sqrt{n})$ ; where r is the risk factor (may defers 1, 1.5 and 2 depending on risk), where n is total number of group members. The sampled smallholder listed in Appendix C.

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

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

All the previous nonconformities are remains closed. The assessment findings for the initial assessment are detailed in Section 4.2.

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

This report is structured to provide a summary of assessment finding as attached in the Section 3. The assessment was based on random samples and therefore nonconformities may exist that have not been identified.

This report was externally reviewed by MSPO approved Peer Reviewer prior to certification decision by BSI.

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

<b>1. Assessment Program</b>					
<b>Name (Mill / Plantation / Group smallholders)</b>	<b>Year 1 (Certification)</b>	<b>Year 2 (ASA 1)</b>	<b>Year 3 (ASA 2)</b>	<b>Year 4 (ASA 3)</b>	<b>Year 5 (ASA 4)</b>
Jenderata POM	√	√	√	√	√
Jendarata Estate	√	√	√	√	√
Seri Pelangi Estate	√	√	√	√	√

**Tentative Date of Next Visit: June 15, 2020 - June 17, 2020**

**Total No. of Mandays: 4 mandays**

**BSI Assessment Team:**

**Muhammad Fadzli Masran – Lead Assessor**

He graduated in Bachelor of Forestry Science at University Putra Malaysia. He started his career as Assistant Manager at Kulim Plantations Sdn. Bhd. managing the day to day plantation operations. In his career at Kulim Plantation, Fadzli had accumulated more than 10 years of sustainability implementation experience including workers’ welfare, workers’ occupational, health & safety, environment conservation and protection at buffer areas and continuous improvement management plans. He had accumulated auditing experience when he was the internal auditor for ISO9001 and ISO14001 at Kulim Plantations. He has completed ISO IMS 9001, 14001, 45001(OHS 18001) Lead Auditor Course in April 2018, endorsed RSPO Lead Auditor Course in July 2018 and endorsed MSPO Lead Auditor Course in October 2018. During this assessment, he assessed on the aspects of environmental and estate best practise. He 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

**Accompanying Persons: NA**



### Section 3: Assessment Findings

#### 3.1 Details of audit results

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

- MSPO MS 2530-2:2013 – General Principles for Independent Smallholders
- MSPO MS 2530-3:2013 – General Principles for Oil Palm Plantations and Organized Smallholders
- MSPO MS 2530-4:2013 – General Principles for Palm Oil Mills

#### 3.2 Details of Nonconformities and Opportunity for improvement

The nonconformity is listed below.

During the Certification Assessment there were three (3) Minor nonconformities raised. The United Plantation Berhad-Jendarata POM Certification unit submitted Corrective Action Plans for the nonconformity. Corrective action plans with respect to the nonconformity was reviewed by the BSI audit team and accepted.

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

Minor Nonconformities:		
Ref	Area/Process	Clause
1782605-201904-N1	Jendarata POM	4.3.1.4 - Part 4
Requirements:	The management should assign a person responsible to monitor compliance and to track update the changes in regulatory requirements.	
Statement of Nonconformity:	The compliance to the regulatory requirements was not effectively monitored.	
Objective Evidence:	Noted during document review, Boiler Overhauled was conducted on 24 – 25/3/2019. It was noted that the contractor supervisor who appointed as standby person on that particular day was not registered as competent person for Authorized Entrant and Standby Person for Confine Space required OSH Act 1994, Industry Code of Practice for Safe Working in a Confined Space, 2010 in the Mill Standard Operating Procedure Established. This shows that the compliance to the regulatory requirements was not effectively monitored.	
Corrections:	The clause on "Contractor shall ensure the workers who work in confined space possess relevant competent certificate ie. Authorized Entrance/Standby Personnel (AE/SP)" has been included in the Memorandum of Agreement (MOA) with immediate effect.	
Root cause analysis:	The management did not monitor and ensure the workers who employed by the confined space contractors possess the competent certificate of Authorized Entrance/Standby personnel (AE/SP).	

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Corrective Actions:	The Company will appoint the NIOSH endorsed trainer to conduct in-house training for AE/SP for all staff and workers who involve on work in confine space of all UP's mills.
Assessment Conclusion:	All the corrective action were found to be adequate. Effectiveness of the implementation will be confirm on next assessment visit

<b>Minor Nonconformities:</b>		
Ref	Area/Process	Clause
1782605-201904-N2	Jenderata Palm Oil Mill	4.5.1.3 – Part 4
Requirements:	An environmental improvement plan to mitigate the negative impacts and to promote the positive ones, shall be developed, implemented and monitored.	
Statement of Nonconformity:	The Environmental Action Plan is not effectively monitored.	
Objective Evidence:	During site visit at the Parameter Drain it was noted that the mill has constructed a trap to capture any oil from the mill operation. However, it was noted that there was evidence of oil overflow from the trap to the drain. In the Environmental Action Plan Stated the mill to ensure all the waste water going out into the monsoon drain if free from pollution. This shows that the Environmental Action Plan is not effectively monitored.	
Corrections:	T-joint has been constructed to ensure no oil spillage/discharge into the monsoon drain. The mill management has identified the environmental impacts (Water and soil contamination) and the action plan in the Environment Management Plan is that the final oil trap will be monitored closely to ensure no oil discharge into the waterways.	
Root cause analysis:	The management did not monitor the functionality of oil trap at final discharge point.	
Corrective Actions:	The Sustainability Department will send a self-assessment form to all mills to inform the management to closely monitor the functionality of oil trap especially for the final discharge to waterways. In the event of any oil spillage found, the mill management shall take immediate corrective action to recover the oil spillage and make necessary improvement on the oil trap.	
Assessment Conclusion:	All the corrective action were found to be adequate. Effectiveness of the implementation will be confirm on next assessment visit	

<b>Minor Nonconformities:</b>		
Ref	Area/Process	Clause
1782605-201904-N3	Jenderata Palm Oil Mill and Supply Base	4.1.2.2 Part 3 and 4
Requirements:	The internal audit procedures and audit results shall be documented and evaluated, followed by the identification of strengths and root causes of nonconformities, in order to implement the necessary corrective action.	
Statement of Nonconformity:	The identification of root cause was not clearly demonstrated.	

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Objective Evidence:	Based on the internal audit report, it was noted that the identification of root cause was not clearly demonstrated. In the report, there was only statement of findings and recommendation of solution recorded.
Corrections:	The root cause for each finding has been included in the template of internal audit reports and will be use from immediate effect.
Root cause analysis:	The management did not state the root cause in internal audit reports however it was only verbally discussed during the closing meeting.
Corrective Actions:	Moving forward all internal audit reports produced by the Sustainability Department will be clearly stated the findings, root causes and corrective actions.
Assessment Conclusion:	All the corrective action were found to be adequate. Effectiveness of the implementation will be confirm on next assessment visit

Noteworthy Positive Comments	
1	Good cooperation from the management during the audit.
2	Good document retrieval

**3.3 Status of Nonconformities Previously Identified and OFI**

Minor Nonconformities:		
Ref	Area/Process	Clause
1652047-201804-N1	Jenderata POM and Supply Base	Part-3 Clause 4.4.5.6
Requirements:	All employees shall be provided with fair contracts that have been signed by both employee and employer. A copy of employment contract is available for each and every employee indicated in the employment records.	
Statement of Nonconformity:	The employment contract is not sufficiently state the recent condition of contract as per NUPW/MAPA.	
Objective Evidence:	Out of 5 sampled worker, it was found 1 worker (Checkroll no: 101710) at Seri Pelangi Estate has been contracted using the previous Labor Register system which only reference to NUPW/MAPA agreement. However, the register does not explicitly state the recent conditions example, holiday entitlement, reasons for dismissal and period of notice. Major NC downgraded to Minor NC.	
Correction Action Evidence:	Internal audit will be conducted vigorously to ensure all local workers have been issued with employment contracts besides labour register card. In addition to labour register card, an employment contract which clearly states on the pay condition and benefits entitlement for local workers has been developed and issued to local workers with effective of 1st March 2018 and it's an addendum to their labour register cards. New local workers will be issued with an employment contract as per date of joining.	
Assessment Conclusion:	Evidence verified: <ul style="list-style-type: none"> <li>• Employment contract of the local workers that showed all the conditions of the contract have been included, were made available</li> <li>• Internal audit report that showed the employment contracts of workers were checked during the audit.</li> </ul>	

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

	The evidence of the corrective actions were found to be satisfactory. The NC was satisfactory closed.
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Minor Nonconformities:		
Ref	Area/Process	Clause
1652047-201804-N2	Jenderata POM and Supply Base	Part-3 Clause 4.3.1.1
Requirements:	All operations are in compliance with the applicable local, state, national and ratified international laws and regulations.	
Statement of Nonconformity:	Certain legal compliance were not adequately demonstrated.	
Objective Evidence:	Certain legal compliance were not adequately demonstrated as below: <ul style="list-style-type: none"> <li>At Seri Pelangi Estate, the application to renew the permit to store diesel and petrol was only done on 22/3/2018 i.e. after the permit had expired (2/3/2018). Based on requirement, the application of renewal must be made one month before expiry. Major NC downgraded to Minor NC.</li> </ul>	
Correction Action Evidence:	Due to server down on KPDNKK website, application have been submitted successfully on 22nd March 2018. Payment on the renewal has been paid and Bomba has carried out the inspection. The failure on renewal of permit is beyond our control due to upgrading of KPDNKK website (server down). Permit for storage of diesel and petrol - Long term preventive action to ensure the application for renewal of permits are submitted one month before expiry: Internal audits will be carried out vigorously and periodically (every 4 months / 3 audits in a year) to ensure the full compliance of the above.	
Assessment Conclusion:	Evidence verified: Sri Pelangi Estate i. Diesel permit no. TI/SK/014(03) valid from 23/7/2018 - 22/7/2019. Renewal application has been submitted to KPDNKK on 7/5/2019. Refer BLESS ref no. BL22019015674. The evidence of the corrective actions were found to be satisfactory. The NC was satisfactory closed.	

Minor Nonconformities:		
Ref	Area/Process	Clause
1652047-201804-N3	Jenderata POM and Supply Base	Part-4 Clause 4.3.1.1
Requirements:	All operations are in compliance with the applicable local, state, national and ratified international laws and regulations.	
Statement of Nonconformity:	Certain legal compliance were not adequately demonstrated.	
Objective Evidence:	Certain legal compliance were not adequately demonstrated as below: <ol style="list-style-type: none"> <li>At JPOM, the visual records of the CCTV that pointing to chimney No. 7 (boiler</li> </ol>	

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

	<p>1) for the past 3 months was not able to be retrieved. The oldest record was on 20/5/2018 [ref.: item 30 of DOE’s compliance schedule].</p> <p>2. It was found that the smoke density meter alarm was only triggered at 53% opacity and the smoke sensor was only able to give reading at maximum 23% opacity [ref.: item 26 of DOE’s compliance schedule].</p> <p>Major NC downgraded to Minor NC.</p>
Correction Action Evidence:	<p>1. An external storage device has been installed to the decoder specifically for chimney’s CCTV to enable retrieval of visual records for at least 3 months.</p> <p>2. Jendarata POM management has engaged the equipment supplier to carry out the calibration procedures and to ensure the smoke density meter alarm will trigger at 40%.</p> <p>3. Jendarata POM management will conduct regular check on the visual records of CCTV facing chimney.</p> <p>4. Jendarata POM management will regularly engage with equipment supplier to carry out the calibration procedures.</p>
Assessment Conclusion:	<p>Evidence Verified:</p> <p>i. CCTV that pointing to chimney No. 7 (boiler1) for the past 3 months was able to be retrieved. Verified the records of CCTV during the visit at boiler station for 14/3/2019, 16/4/2019 and 17/5/2019.</p> <p>ii. Noted that the smoke density sensor was fully functional when the smoke density reach 28 – 29% during site visit at boiler station.</p> <p>The evidence of the corrective actions were found to be satisfactory. The NC was satisfactory closed.</p>

Minor Nonconformities:		
Ref	Area/Process	Clause
1652047-201804-N4	Jenderata POM and Supply Base	Part-3 Clause 4.4.4.2
Requirements:	<p>The occupational safety and health plan shall cover the following:</p> <p>Indicator 4.4.4.2 b. The risks of all operations shall be assessed and documented</p> <p>Indicator 4.4.4.2 d. The management shall provide the appropriate PPE at the place of work to cover all potentially hazardous operations as identified in the risk assessment and control such as Hazard Identification, Risk Assessment and Risk Control (HIRARC).</p> <p>Indicator 4.4.4.2 g. The management shall conduct regular two-way communication with their employees where issues affecting their business such as employee’s health, safety and welfare are discussed openly. Records from such meeting are kept and the concerns of the employees and any remedial actions taken are recorded</p>	
Statement of Nonconformity:	The occupational safety and health plan is not effectively implemented.	
Objective Evidence:	<p>Jenderata Estate:</p> <p>a. The HIRARC document was last reviewed on 03.04.2017 and not reviewed again though 7 accidents had taken place after the review and another on 14.04.2018.</p> <p>b. A worker observed spraying was found wearing a mask without a filter in it.</p>	

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

	<p>c. Based on the latest OSH meeting minute dated 21.03.2018, some of the unsafe act/dangerous occurrence observed during site visit – Loco No.9: The fan belt was not fully protected. Major NC downgraded to Minor NC.</p>
Correction Action Evidence:	<p>i. The review of HIRARC will be discussed in quarterly OSHA meeting and include the statement on review and the scoring remain unchanged. PPEs training will be conducted regularly to ensure all spraying operators are aware on the safe and correct use of PPEs. The fabrication of cover for fan belt to be done and fix for all loco.</p> <p>ii. Internal audit will be carried out vigorously to ensure the HIRARC being reviewed and thoroughly check on the PPEs for sprayers. The cover for fan belt will be checked during internal audit.</p>
Assessment Conclusion:	<p>Evidence verified:</p> <p>The HIRARC was reviewed and minimum of once a year or if accident occurred. For Jenderata Estate, latest HIRARC review was conducted on 1/4/2019.</p> <p>Both estates visited established training program for all type of work includes the employee exposed to pesticides. The training was conducted by the Manager, Asst. Manager, Executives or Chemical Supplier with knowledge in the chemicals handling. Sighted the training records as follows:</p> <p>JE</p> <p>i. Pesticide and PPE Training dated 16/5/2019</p> <p>SPE</p> <p>Spraying technique Training dated 30/5/2019</p> <p>Records were available of PPE issued to individual workers and contractors, including signatures to confirm receipt. PPE standard is based on CHRA assessor's recommendation, SOP and HIRARC.</p> <p>Noted during site visit and interview with sprayers at Jenderata Estate, the PPE provided as per SOP and HIRARC.</p> <p>The evidence of the corrective actions were found to be satisfactory. The NC was satisfactory closed.</p>

Minor Nonconformities:		
Ref	Area/Process	Clause
1652047-201804-N5	Jenderata POM and Supply Base	Part-4 Clause 4.4.4.2
Requirements:	<p>The occupational safety and health plan shall cover the following: Indicator 4.4.4.2 g. The management shall conduct regular two-way communication with their employees where issues that affect their business such as those related to employees' safety, health and welfare are discussed openly. Records from such meeting shall be kept and the concerns of employees and any remedial actions taken shall be recorded.</p>	
Statement of Nonconformity:	<p>The occupational safety and health plan is not effectively implemented.</p>	

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Objective Evidence:	<p>Workplace inspection report did not incorporated in the safety health committee meeting minute dated 28/12/17 and 4/4/18. No reports of workplace inspection as to date.</p> <p>Based on the latest meeting minute dated 4/4/18, some of the unsafe act/dangerous occurrence observed during site visit at POM was not captured in the minute pertaining to; Workshop – There was no flash back arrestors and the gauges damaged on the oxygen and acetylene cylinder.</p> <p>Major NC downgraded to Minor NC.</p>
Correction Action Evidence:	<p>The format of the workplace inspection checklist has been utilized by the management to identify all the unsafe act/condition and dangerous occurrence at workplace. OSHA meeting has been conducted and the documented outcomes of inspection is discussed.</p> <p>Training on workplace inspection and vehicle inspection checklist will be conducted to ensure the Engineers, Supervisors for every station fully understand and genuinely fill-in the inspection checklist.</p>
Assessment Conclusion:	<p>Evidence verified:</p> <p>Workplace inspection was conducted on quarterly basis prior to Safety and Health committee meeting. The result/finding of the inspection was discussed during the meeting. Sighted the latest minutes meeting was conducted on on 27/3/2019 and 31/12/2018.</p> <p>The evidence of the corrective actions were found to be satisfactory. The NC was satisfactory closed.</p>

**3.4 Issues Raised by Stakeholders**

IS #	Description
1	<p><b>Issues:</b>  <u>NUPW representative</u>                      Meetings were regularly conducted and workers are free to join or to form trade union.</p>
	<p><b>Management Responses:</b> Continue with the good practice</p>
	<p><b>Audit Team Findings:</b> No further action is required.</p>
2	<p><b>Issues:</b>  <u>Gender Committee Representative</u>                      There is no sexual harassment case reported so far, and meetings were conducted regularly combined for mill and estate.</p>
	<p><b>Management Responses:</b> Continue with the good practice</p>
	<p><b>Audit Team Findings:</b> No further action is required.</p>
3	<p><b>Issues:</b>  <u>SJK(T) Ladang Jendarata 2</u>                      School is having good relationship and has received a number of contributions from United Plantation such as building maintenance, road repairs, events, etc. School management is grateful to United Plantation for their supports.</p>
	<p><b>Management Responses:</b> Continue with the good practice</p>
	<p><b>Audit Team Findings:</b> No further action is required.</p>
4	<p><b>Issues:</b>  <u>Contractors (Harvesting &amp; Construction)</u></p>

**MSP0 Public Summary Report**  
**Revision 0 (Aug 2017)**

	Contractors have attended the training on company policies and participated in the stakeholder meeting. They were aware of RSPO and MSP0 requirement. There was also no issue on payment and contract agreements were adhered.
	<b>Management Responses:</b> Continue with the good practice
	<b>Audit Team Findings:</b> No further action is required.
<b>5</b>	<b>Issues:</b> Workers' Representatives Bangladesh, Nepalese, Indonesia and South India) No issues raised and they were happy with the management.
	<b>Management Responses:</b> Continue with the good practice
	<b>Audit Team Findings:</b> No further action is required.
<b>6</b>	<b>Issues:</b> Temple and Mosque Representatives Company has taken good care on Temple and Mosque where the contributions in term of maintenance of the building were given upon request.
	<b>Management Responses:</b> Continue with the good practice
	<b>Audit Team Findings:</b> No further action is required.

**3.5 Summary of the Nonconformities and Status**

CAR Ref.	CLASS	ISSUED	STATUS
1652047-201804-N1	Minor	28/6/2018	Closed
1652047-201804-N2	Minor	28/6/2018	Closed
1652047-201804-N3	Minor	28/6/2018	Closed
1652047-201804-N4	Minor	28/6/2018	Closed
1652047-201804-N5	Minor	28/6/2018	Closed
1782605-201904-N1	Minor	20/6/2019	Open
1782605-201904-N2	Minor	20/6/2019	Open
1782605-201904-N3	Minor	20/6/2019	Open



**3.6 Summary of the findings by Principles and Criteria**

**MS 2530-3:2013 Part 3: General principles for oil palm plantations and organized smallholder**

Criterion / Indicator	Assessment Findings	Compliance	
<b>4.1 Principle 1: Management commitment &amp; responsibility</b>			
<b>Criterion 4.1.1 – Malaysian Sustainable Palm Oil (MSPO) Policy</b>			
<b>4.1.1.1</b>	A policy for the implementation of MSPO shall be established. <b>- Major compliance -</b>	United Plantation Berhad has established a MSPO policy committing to implement on sustainability signed by Chief Executive Director, Dato’ Carl Bek-Nielsen, on 29 March 2018.	Yes
<b>4.1.1.2</b>	The policy shall also emphasize commitment to continual improvement. <b>- Major compliance -</b>	The established policy has emphasized on the adherence to the following key principles i. Management Commitment and Responsibility ii. Transparency iii. Compliance to Legal Requirements iv. Social Responsibility, Health, Safety and Employment Condition v. Environment, Natural Resources, Biodiversity and Ecosystem Services. vi. Best Practices vii. Development of New Plantings	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
<b>Criterion 4.1.2 – Internal Audit</b>			
<b>4.1.2.1</b>	Internal audit shall be planned and conducted regularly to determine the strong and weak points and potential area for further improvement.  - <b>Major compliance</b> -	Internal audit was planned and conducted as per the documented Internal audit procedure, rev: 1 dated 15/2/2019. Internal audit was scheduled to be conducted on 5/3/2019 (first round) and 22/4/2019 (second round). The actual was conducted on 5/3/2019 and 23/4/2019 by 3 auditors from HR ESH Team.	Yes
<b>4.1.2.2</b>	The internal audit procedures and audit results shall be documented and evaluated, followed by the identification of strengths and root causes of nonconformities, in order to implement the necessary corrective action.  - <b>Major compliance</b> -	The Internal audit procedure, established dated 27.02.2018 was used as reference for audit process. Audit results on Jendarata Estate and Seri Pelangi were documented under internal audit summary. For Jendarata Estate, there were 10 NCRs issued as a result of the audit. All of the NCRs have been closed on 23/4/2019.  For Seri Pelangi Estate, there were also 10 NCRs issued as a result of the audit. All of the NCRs have been closed on 30/4/2019. Closure of NCRs were verified by HRESH Department Team.  However, based on the internal audit report, it was noted that the identification of root cause was not clearly demonstrated. In the report, there was only statement of findings and recommendation of solution recorded. Thus, a non-conformity report was assigned due to this lapse.	Minor NC
<b>4.1.2.3</b>	Report shall be made available to the management for their review.  - <b>Major compliance</b> -	Internal Audit report was available for verification and it was taken into consideration as part of the management review meeting.	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator	Assessment Findings	Compliance	
<b>Criterion 4.1.3 – Management Review</b>			
<b>4.1.3.1</b>	<p>The management shall periodically review the continuous suitability, adequacy and effectiveness of the requirements for effective implementation of MSPO and decide on any changes, improvement and modification.</p> <p><b>- Major compliance -</b></p>	<p>Based on the established management review meeting procedure, the minimum meeting frequency was once per year. MRM was last held on 10/4/2019 (Jendarata) and 12/3/2019 (Seri Pelangi) to review the performance of Jan-Dec 2018. The meetings was chaired by the respective managers and attended by the key personnel. Among the agendas discussed were:</p> <ul style="list-style-type: none"> <li>- Compliance to legal requirements</li> <li>- Environmental performance</li> <li>- Social impact assessment</li> <li>- Internal &amp; external audit findings</li> <li>- Continuous improvement</li> </ul>	<p>Yes</p>
<b>Criterion 4.1.4 – Continual Improvement</b>			
<b>4.1.4.1</b>	<p>The action plan for continual improvement shall be based on consideration of the main social and environmental impact and opportunities of the company.</p> <p><b>- Major compliance -</b></p>	<p>Both estates have established and implemented the continual improvement plan. Among the plans at the estates were:</p> <ul style="list-style-type: none"> <li>- Reduction of pesticides usage</li> <li>- establishment of beneficial plants</li> <li>- installation of barn owl boxes</li> <li>- reduction of water consumption</li> <li>- POME, decanter cake &amp; EFB usage at the estates</li> </ul>	<p>Yes</p>

Criterion / Indicator		Assessment Findings	Compliance
		- Reduction of fossil fuel consumption	
4.1.4.2	The company shall establish a system to improve practices in line with new information and techniques or new industry standards and technology (where applicable) that are available and feasible for adoption.  - Major compliance -	System to improve practices in line with new information and techniques was carried out by UP Research Department. The management of the plantation, on receiving these information, was responsible for disseminating this information throughout the workforce.	Yes
4.1.4.3	An action plan to provide the necessary resources including training, to implement the new techniques or new industry standard or technology (where applicable) shall be established.  - Major compliance -	Action plan to provide the necessary resources including training, to implement the new techniques or new industry standard or technology (where applicable) was established in the estates annual budgets and projected business plans.	Yes
<b>4.2 Principle 2: Transparency</b>			
Criterion 4.2.1 – Transparency of information and documents relevant to MSPO requirements			
4.2.1.1	The management shall communicate the information requested by the relevant stakeholders in the appropriate languages and forms, except those limited by commercial confidentiality or disclosure that could result in negative environmental or social outcomes.  - Major compliance -	United Plantations Berhad had a documented Standard Operation Procedure for both External & Internal Communication. There was also Grievance Redressal procedure which had steps to be followed to solve issues raised by workers/stakeholders.  The time frame to provide feedback to the stakeholder is documented to be a maximum of 24 days for internal and 30 days for external complaint. The officer-in-charge for estates was the Group Manager Mr C. Mohan Das. As per appointment letter dated 29.03.2018 he was responsible to commit and implement the sustainability concepts outline in RSPO, RSPO NEXT and MSPO P&Cs.	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
4.2.1.2	<p>Management documents shall be publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.</p> <p><b>- Major compliance -</b></p>	<p>United Plantation Berhad used the group website for disseminating public information. The Sustainability Report and Group Annual report was available in website.</p> <p>Information relating to land titles, safety and health plans, pollution prevention plans, and annual report are available at the estates.</p> <p>In addition to the website, the policies were also displayed at various locations including the main notice boards of the estates, mill offices and muster ground notice boards for employees and visitors to view.</p> <p>Procedure for complaints and grievances were available through UP website and medium used was via suggestion box in office or write in to UP head office.</p>	Yes
<b>Criterion 4.2.2 – Transparent method of communication and consultation</b>			
4.2.2.1	<p>Procedures shall be established for consultation and communication with the relevant stakeholders.</p> <p><b>- Major compliance -</b></p>	<p>The Standard Operation Procedure documented the process for Procedure for both External &amp; Internal Stakeholders. There is also Grievance Redressal procedure which has steps to be followed to solve issues raised by workers.</p>	Yes
4.2.2.2	<p>A management official should be nominated to be responsible for issues related to Indicator 1 at each operating unit.</p> <p><b>- Minor compliance -</b></p>	<p>The officer-in-charge for estate is Mr C. Mohan Das (Jenderata Estate) and Mr. Khor Boon Wah (Seri Pelangi Estate) as per appointment letter dated 29.03.2018 whom are responsible to commit and implement the sustainability concepts outline in RSPO, RSPO NEXT and MSPO P&amp;Cs.</p>	Yes
4.2.2.3	<p>List of stakeholders, records of all consultation and communication and records of action taken in response to input from stakeholders should be properly maintained.</p>	<p>Stakeholder’s list for Jenderata Estate including all the internal and external party such as OSHA committee, Gender Committee, Temple</p>	Yes

Criterion / Indicator		Assessment Findings	Compliance
	- <b>Major compliance</b> -	Committee, Statutory Bodies, Penghulu & Ketua Kampung, Local Bankers and others as updated on 07.04.2018.  In Seri Pelangi Estate, sighted the updated stakeholders list as at April 2018 in Buku Panduan Pihak Berkepentingan.	
<b>Criterion 4.2.3 – Traceability</b>			
<b>4.2.3.1</b>	The management shall establish, implement and maintain a standard operating procedure to comply with the requirements for traceability of the relevant product(s).  - <b>Major compliance</b> -	SOP for traceability dated 17.04.2018 describes the procedure for monitoring and to ensure accuracy of sustainable receipts, dispatches and stock balance to conform to the requirement of RSPO/MSPO standards. These includes both millers and growers traceability records.	Yes
<b>4.2.3.2</b>	The management shall conduct regular inspections on compliance with the established traceability system.  - <b>Major compliance</b> -	Regular inspection is done through internal audit as mentioned in Criterion 4.2.1.	Yes
<b>4.2.3.3</b>	The management should identify and assign suitable employees to implement and maintain the traceability system.  - <b>Minor compliance</b> -	The responsible personal for the traceability is the Mr C. Mohan Das (Jendarata Estate) and Mr. Khor Boon Wah (Seri Pelangi Estate) as the overall person in charge for MSPO in estates.	Yes
<b>4.2.3.4</b>	Records of sales, delivery or transportation of FFB shall be maintained.  - <b>Major compliance</b> -	Records of FFB delivery to mill were well maintained in various documents such as Drivers/Recorders Weighing Chit, estate's weighing bridge ticket, DO/DN and mill's weighbridge ticket. The daily input data then will be keyed in excel sheet as crop summary. The sheet among	Yes

Criterion / Indicator		Assessment Findings	Compliance
		others has the information about field no., DO number, weighbridge ticket no., quantity and date of delivery.	
<b>4.3 Principle 3: Compliance to legal requirements</b>			
<b>Criterion 4.3.1 – Regulatory requirements</b>			
<b>4.3.1.1</b>	<p>All operations are in compliance with the applicable local, state, national and ratified international laws and regulations.</p> <p><b>- Major compliance -</b></p>	<p>The estates visited had continued to comply with the legal requirements as per indicator. Compliance to each applicable law and regulation is monitored by the operating units and HRESH team. The mill had obtained and renewed license and permits as required by the law. Monitoring was documented in Summary of Permit and License FY 2019.</p> <p>Sample of licenses or permit viewed were:</p> <p>JE</p> <p>i. MPOB License no. 501550502000 valid from 1/4/2019 – 31/3/2020</p> <p>ii. Permit to use private water supply no. 2018/006 valid from 12/9/2018 – 11/9/2020</p> <p>iii. Diesel permit no. 035961 valid from 30/10/2018 - 29/10/2019</p> <p>iii. Permit Potongan Upah [ref.: (6) dlm BHG PU/9/129, dated 1/6/2012.</p> <p>SPE</p> <p>i. MPOB License no. 502207202000 valid from 1/11/2018 – 31/10/2019</p>	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator	Assessment Findings	Compliance
	ii. Diesel permit no. TI/SK/014(03) valid from 23/7/2018 - 22/7/2019. Renewal application has been submitted to KPDKKK on 7/5/2019. Refer BLESS ref no. BL22019015674.  iii. Permit Potongan Upah [ref.: (6) dlm BHG PU/9/129, dated 1/6/2012.	
<b>4.3.1.2</b> The management shall list all laws applicable to their operations in a legal requirements register. - <b>Major compliance</b> -	Jendarata Palm Oil mill has Implemented the established documented system for identifying, accessing, tracking and monitoring of compliance with the legal requirements that were applicable to them. A Legal and Other Requirements Register was established and updated on 08.06.2018  The LORR had included the following requirements: a) Environmental Quality Act 1974 b) Factories and Machinery Act 1967 c) Occupational Safety and Health Act 1994 d) Worker's Minimum Standards of Housing and Amenities Act 1990) e) Minimum Wages Order 2018	Yes
<b>4.3.1.3</b> The legal requirements register shall be updated as and when there are any new amendments or any new regulations coming into force. - <b>Major compliance</b> -	The legal requirements register was updated as and when there were any new amendments or any new regulations coming into force. It has the information about the requirements of law, applicability to plantation industry, status of compliance, accountability & responsibility and enforcing agency. The latest update was on 08.06.2018 where by 'Guideline for manual handling in workplace' was added.	Yes



**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance									
<b>4.3.1.4</b>	The management should assign a person responsible to monitor compliance and to track and update the changes in regulatory requirements.  - <b>Minor compliance</b> -	The management had assigned the Group Manager, HRESH Department, Mr. Mathews as the person responsible to monitor compliance and to track update the changes in regulatory requirements.	Yes									
<b>Criterion 4.3.2 – Lands use rights</b>												
<b>4.3.2.1</b>	The management shall ensure that their oil palm cultivation activities do not diminish the land use rights of other users.  - <b>Major compliance</b> -	The management ensures that their oil palm cultivation activities do not diminish the land use rights of other users by having the land titles in place. E.g. at there were 5 land titles all together with a total area of 1,421.7526 Ha. The land titles verified were PN361064, PN361063, GM1201, GM1202 and PN361065. The estates have planted the lands with oil palm which is in line with the conditions stipulated in the land titles.	Yes									
<b>4.3.2.2</b>	The management shall provide documents showing legal ownership or lease, history of land tenure and the actual use of the land.  - <b>Major compliance</b> -	<p>United Plantation Berhad (UPB) leased all the land directly from the Perak State government. There were no issues of land disputes recorded. All land title were kept in the office and available for review. Sighted the sampled land title as follows:</p> <p>JE</p> <table border="1"> <thead> <tr> <th>Grant</th> <th>Lot No.</th> <th>Hectare</th> </tr> </thead> <tbody> <tr> <td>GRN 124211</td> <td>13474</td> <td>454.1000</td> </tr> <tr> <td>GRN 61639</td> <td>4325</td> <td>767.6874</td> </tr> </tbody> </table>	Grant	Lot No.	Hectare	GRN 124211	13474	454.1000	GRN 61639	4325	767.6874	Yes
Grant	Lot No.	Hectare										
GRN 124211	13474	454.1000										
GRN 61639	4325	767.6874										

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings			Compliance
		PN 262349	13458	533.2000	
		PN 333146	8368	996.8000	
		GRN 99531	12065	416.6000	
		SPE			
		Grant	Lot No.	Hectare	
		PN 361064	7272	508.63	
		PN 361063	7274	506.90	
		GM 1201	419	1.7958	
		GM 1202	585	1.0268	
		PN 36105	6099	403.4	
<b>4.3.2.3</b>	Legal perimeter boundary markers should be clearly demarcated and visibly maintained on the ground where practicable. <b>- Major compliance -</b>	JE Boundary was demarcated with trenches and white concrete slap with information such as point no, field and coordinate. Sighted the boundary marker, UP L6 at field 78 boundary with smallholders. SPE			Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
		Boundary was demarcated with trenches and white concrete slab with information such as point no, field and coordinate. Sighted the boundary marker, UP SPE P9 at field 9 boundary with smallholders.	
<b>4.3.2.4</b>	Where there are, or have been, disputes, documented proof of legal acquisition of land title and fair compensation that have been or are being made to previous owners and occupants; shall be made available and that these should have been accepted with free prior informed consent (FPIC).  - <b>Minor compliance</b> -	There is no land dispute recorded. This was verified with stakeholders' consultation.  In order to deal with future arising land dispute (if any), the Standard Operating Procedure for Land Dispute Settlement as per Free Prior & Informed Consent (FPIC) – RSPO Principles is documented the process in handling land dispute settlement.	Yes
<b>Criterion 4.3.3 – Customary rights</b>			
<b>4.3.3.1</b>	Where lands are encumbered by customary rights, the company shall demonstrate that these rights are understood and are not being threatened or reduced.  - <b>Major compliance</b> -	NA. There was no land encumbered by customary rights.	Yes
<b>4.3.3.2</b>	Maps of an appropriate scale showing extent of recognized customary rights land, if any, should made available.  - <b>Minor compliance</b> -	NA. There was no land encumbered by customary rights.	Yes
<b>4.3.3.3</b>	Negotiation and FPIC shall be recorded and copies of negotiated agreements should be made available.  - <b>Major compliance</b> -	NA. There was no land encumbered by customary rights.	Yes
<b>4.4 Principle 4: Social responsibility, health, safety and employment condition</b>			

Criterion / Indicator	Assessment Findings	Compliance	
<b>Criterion 4.4.1: Social Impact Assessment (SIA)</b>			
<b>4.4.1.1</b>	Social impact should be identified and plans are implemented to mitigate the negative impacts and promote the positive ones.  <b>- Minor compliance -</b>	The Social Risk Assessment (SRA), Social Action Plan (SAP) & Review Plan (SRP) 2018, was conducted for Jenderata Estate & Seri Pelangi Estate internally and annually by the Internal Management involving all stakeholders. The latest SIA was conducted in 12th & 21st April 2018. Key areas identified in the SIA was particularly on operation (nursery, replanting, weeding, pruning, guest workers and others). The recommendation from the SIA report was transferred to action plan (Social) 2019. The action plan identified the issues & strategies, action plan, responsible person and time frame. Positive impacts were also identified and recorded in the SIA report. To name a few, among the positive impacts identified were: <ul style="list-style-type: none"> <li>- availability of crèche, kindergarten and primary school</li> <li>- upgrade of amenities in school</li> <li>- educational financial assistance for workers' children</li> <li>- old folks home facilities for UP ex-employees</li> </ul>	Yes
<b>Criterion 4.4.2: Complaints and grievances</b>			
<b>4.4.2.1</b>	A system for dealing with complaints and grievances shall be established and documented.  <b>- Major compliance -</b>	The Standard Operation Procedure documented the process for Procedure for both External & Internal Stakeholders.	
<b>4.4.2.2</b>	The system shall be able to resolve disputes in an effective, timely and appropriate manner that is accepted by all parties.	Verified the Registry Request & Complaints Form recording all the feedback and request from stakeholders, together with its date of	Yes

Criterion / Indicator		Assessment Findings	Compliance
	- <b>Major compliance</b> -	completion. For external stakeholders, request or feedback can be made directly to the main office through verbal and letter.	
4.4.2.3	A complaint form should be made available at the premises, where employees and affected stakeholders can make a complaint. - <b>Minor compliance</b> -	The Registry of Complaints book/form was made available in the Mill & Estate offices. In case the complainant wanted to be made anonymous, they can email to the company secretary. This information is available in United Plantation Website and suggestion box in mill office.	Yes
4.4.2.4	Employees and the surrounding communities should be made aware that complaints or suggestions can be made any time. - <b>Minor compliance</b> -	Interview with workers confirmed their understanding of the complaint and grievance process. During stakeholder's consultation, it was verified that the stakeholders from internal and external aware on the complaint channel to United Plantations Berhad. There was no grievance recorded ever since the last assessment. The request mainly on donation and housing repairs.  External communities were made aware of complaint system through the stakeholder's consultation which is through website, suggestion box or write a letter to the management.	Yes
4.4.2.5	Complaints and resolutions for the last 24 months shall be documented and made available to affected stakeholders upon request. - <b>Major compliance</b> -	Records of complaints since early 2018 were still well maintained and available for verification.	Yes
<b>Criterion 4.4.3:</b> Commitment to contribute to local sustainable development			
4.4.3.1	Growers should contribute to local development in consultation with the local communities.	Contribution to local development is mainly made by UP as a group based on consultation with the local communities. Where the mill is an integral part of plantation, such contribution. The contributions were	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
	- <b>Minor compliance</b> -	<p>included in the company’s annual report. To name a few, based on the 2018 report, among the contributions maintained were:</p> <ul style="list-style-type: none"> <li>- providing religious worship facilities</li> <li>- fostering goodwill amongst local communities through sports</li> <li>- financial contribution to various aspects such as</li> <li>- retirement Benevolent fund</li> <li>- Education, welfare, scholarship &amp; other</li> <li>- Bus subsidy for school children</li> <li>- external donations</li> <li>- environment friendly operational activities</li> <li>- environment friendly project (biogas, biomass, others)</li> </ul>	
<b>Criterion 4.4.4:</b> Employees safety and health			
<b>4.4.4.1</b>	<p>An occupational safety and health policy and plan shall be documented, effectively communicated and implemented.</p> <p>- <b>Major compliance</b> -</p>	<p>United Plantation Berhad has established Safety and Health Policy signed by the Chief Executive Director dated 18/8/2017. The policy was communicated to all the employees through training, briefing and displayed at notice board in several designated location in multi-lingual version (English, Bahasa Malaysia, Bengali, Hindi and Nepal).</p> <p>Both estates visited has established Safety and Health plan which reviewed on annually basis. The OSH plan has developed and in-lined with company’s policy and incorporated with the training plan and OSH compliance monitoring program.</p>	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator	Assessment Findings	Compliance
<p><b>4.4.4.2</b> The occupational safety and health plan shall cover the following:</p> <ul style="list-style-type: none"> <li>a) A safety and health policy, which is communicated and implemented.</li> <li>b) The risks of all operations shall be assessed and documented.</li> <li>c) An awareness and training programme which includes the following requirements for employees exposed to pesticides:               <ul style="list-style-type: none"> <li>i. all employees involved shall be adequately trained on safe working practices</li> <li>ii. all precautions attached to products shall be properly observed and applied</li> </ul> </li> <li>d) The management shall provide the appropriate PPE at the place of work to cover all potentially hazardous operations as identified in the risk assessment and control such as Hazard Identification, Risk Assessment and Risk Control (HIRARC).</li> <li>e) The management shall establish Standard Operating Procedure for handling of chemicals to ensure proper and safe handling and storage in accordance to Occupational Safety Health (Classification Packaging and Labeling) Regulation 1997 and Occupational Safety Health (Use and Standard of Exposure of Chemical Hazardous to Health) Regulation 2000.</li> <li>f) The management shall appoint responsible person(s) for workers' safety and health. The appointed person(s) of trust must have knowledge and access to latest national regulations and collective agreements.</li> </ul>	<p>United Plantation Berhad has established Safety and Health Policy signed by the Chief Executive Director dated 18/8/2017. The policy was communicated to all the employees through training, briefing and displayed at notice board in several designated location in multi-lingual version (English, Bahasa Malaysia, Bengali, Hindi and Nepal).</p> <p>Both estates visited have conducted risk assessment for all main and support operations in the estate and documented in the HIRARC register. The HIRARC was reviewed and minimum of once a year or if accident occurred. For Jenderata Estate, latest HIRARC review was conducted on 1/4/2019.</p> <p>Both estates visited established training program for all type of work includes the employee exposed to pesticides. The training was conducted by the Manager, Asst. Manager, Executives or Chemical Supplier with knowledge in the chemicals handling. Sighted the training records as follows:</p> <p>JE</p> <ul style="list-style-type: none"> <li>i. Pesticide and PPE Training dated 16/5/2019</li> </ul> <p>SPE</p> <p>Spraying technique Training dated 30/5/2019</p> <p>Records were available of PPE issued to individual workers and contractors, including signatures to confirm receipt. PPE standard is based on CHRA assessor's recommendation, SOP and HIRARC.</p> <p>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</p>	<p>Yes</p>

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator	Assessment Findings	Compliance	
<p>g) The management shall conduct regular two-way communication with their employees where issues affecting their business such as employee’s health, safety and welfare are discussed openly. Records from such meeting are kept and the concerns of the employees and any remedial actions taken are recorded.</p> <p>h) Accident and emergency procedures shall exist and instructions shall be clearly understood by all employees.</p> <p>i) Employees trained in First Aid should be present at all field operations. A First Aid Kit equipped with approved contents should be available at each worksite.</p> <p>j) Records shall be kept of all accidents and be reviewed periodically at quarterly intervals.</p> <p><b>- Major compliance -</b></p>	<p>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.</p> <p>The estates visted has established Safety and Health committee led by the estate Manager as Chairman. The chairman has appointed the safety and health committee consist of management and employee representatives. The committee conducted the meetings on quarterly basis to discuss issues regarding safety and health.</p> <p>Accident and emergency procedures had been written and briefed to staff, workers, contractors and visitors. Emergency Response Team incorporated under OSH organization chart for 2019. Workers trained in firefighting, rescue method and prepared for the any unforeseen circumstances.</p> <p>First aid box were available at few stations in the estate. The mandore was appointed as first aider for each work group. Noted during interview with the workers shows awareness on the locations and basic first aid treatment.</p> <p>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 &amp; 8</p>		
<p><b>Criterion 4.4.5: Employment conditions</b></p>			
<p><b>4.4.5.1</b></p>	<p>The management shall establish policy on good social practices regarding human rights in respect of industrial harmony. The</p>	<p>There is a Human Rights Policy, signed by Dato’ Carl Bek-Nielsen on 18.8.17. The management is treated the workers with respect and</p>	<p>Yes</p>



Criterion / Indicator		Assessment Findings	Compliance						
	<p>policy shall be signed by the top management and effectively communicated to the employees.</p> <p><b>- Major compliance -</b></p>	<p>dignity. Awareness training for the workers on human rights policy has been conducted on 18/05/2019 (Jenderata Estate) and 15/6/2019 (Seri Pelangi Estate). Apart from that, the policy was also displayed on notice boards and "Buku Panduan Pekerja" (handbook).</p>							
<b>4.4.5.2</b>	<p>The management shall not engage in or support discriminatory practices and shall provide equal opportunity and treatment regardless of race, colour, sex, religion, political opinion, nationality, social origin or any other distinguishing characteristics.</p> <p><b>- Major compliance -</b></p>	<p>The management is committed to treat all employees fairly in terms of recruitment, progression, terms and conditions of work and representation regardless of race, caste, nationality, gender, sexual orientation, union membership, political view, religion and/or age. Interviewed with the workers with different nationalities found that no discrimination has occurred in the estate. They were treated equally and no bias on job offered. Consultation with the external stakeholders also reveal that there has been no such discrimination.</p>	Yes						
<b>4.4.5.3</b>	<p>Management shall ensure that employees' pay and conditions meet legal or industry minimum standards and as per agreed Collective Agreements. The living wage should be sufficient to meet basic needs and provide some discretionary income based on minimum wage.</p> <p><b>- Major compliance -</b></p>	<p>All of the workers are under direct employment. The pay slip has the information about basic income, allowance pay, working days, medical leave, overtime, attendance on rest/public holiday and deduction of salary and others as per employment contract. The payroll for the following sampled workers for May 2019 and Dec 2018 were verified to be consistent with the Minimum Wages Order 2019 and employment conditions. Samples of workers' pay slips with the following employment No. were verified:</p> <table border="1" data-bbox="1048 1206 1865 1337"> <thead> <tr> <th>No.</th> <th>Jenderata</th> <th>Seri Pelangi</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>414483</td> <td>105369</td> </tr> </tbody> </table>	No.	Jenderata	Seri Pelangi	1	414483	105369	Yes
No.	Jenderata	Seri Pelangi							
1	414483	105369							

Criterion / Indicator		Assessment Findings			Compliance
		2	46030 (Armada Semarak)	149 (Chin Siong Wai)	
		3	414461	104250	
		4	414641	106306	
		5	415224	106722	
		6	470002	106832	
		7	(Subramaniam Nangandu)	106667	
		8	413116	210 (Low Heng Long)	
		9	46026 (Amarda Semarak)	115 (Chin Siong Wai)	
		10		246 (Chin Siong Wai)	
		<p>There was no records or complaint observed during the interview with workers. All the sampled workers for direct employment and contract workers were achieved the minimum wage accordance to Minimum Wage Order 2018 which achieved RM1,100/month or RM42.31/day.</p>			
<b>4.4.5.4</b>	Management should ensure employees of contractors are paid based on legal or industry minimum standards according to the employment contract agreed between the contractor and his employee.	<p>Jendarata Estate hires a few contractors to supply labour. Although the workers are belonged to the contractors, the estate makes the wage payment directly to the workers in accordance to the employment contract agreed between the contractor and his employee.</p>			Yes

Criterion / Indicator		Assessment Findings	Compliance																					
	- <b>Minor compliance</b> -	Verification of the sampled pay slips showed that the payments were made appropriately.																						
<b>4.4.5.5</b>	The management shall establish records that provide an accurate account of all employees (including seasonal workers and subcontracted workers on the premises). The records should contain full names, gender, date of birth, date of entry, a job description, wage and the period of employment.  - <b>Major compliance</b> -	There is a list of workers where information such as date of birth, date joined, gender, type of works and others that available at each operating unit.	Yes																					
<b>4.4.5.6</b>	All employees shall be provided with fair contracts that have been signed by both employee and employer. A copy of employment contract is available for each and every employee indicated in the employment records.  - <b>Major compliance</b> -	The following contracts has been verified to confirm that workers have binding working agreement with the company i.e. workers # 414483, 46030 (Armada Semarak), 414461, 414641, 415224, 47002 (Subramaniam Nangandu), 413116 and 46026 (Amarda Semarak). <table border="1" data-bbox="1048 916 1865 1374"> <thead> <tr> <th>No.</th> <th>Jenderata</th> <th>Seri Pelangi</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>414483</td> <td>105369</td> </tr> <tr> <td>2</td> <td>46030 (Armada Semarak)</td> <td>149 (Chin Siong Wai)</td> </tr> <tr> <td>3</td> <td>414461</td> <td>104250</td> </tr> <tr> <td>4</td> <td>414641</td> <td>106306</td> </tr> <tr> <td>5</td> <td>415224</td> <td>106722</td> </tr> <tr> <td>6</td> <td>470002</td> <td>106832</td> </tr> </tbody> </table>	No.	Jenderata	Seri Pelangi	1	414483	105369	2	46030 (Armada Semarak)	149 (Chin Siong Wai)	3	414461	104250	4	414641	106306	5	415224	106722	6	470002	106832	Yes
No.	Jenderata	Seri Pelangi																						
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**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings			Compliance
		7	(Subramaniam Nangandu)	106667	
		8	413116	210 (Xing Lai Ent.)	
		9	46026 (Amarda Semarak)	115 (Chin Siong Wai)	
		10		246 (Chin Siong Wai)	
<b>4.4.5.7</b>	The management shall establish a time recording system that makes working hours and overtime transparent for both employees and employer. <b>- Major compliance -</b>	Jenderata Estate is using the daily check roll system to records the accurate working hours and overtime and recorded in Month To-date Workers Earnings Report.			Yes
<b>4.4.5.8</b>	The working hours and breaks of each individual employee as indicated in the time records shall comply with legal regulations and collective agreements. Overtime shall be mutually agreed and shall always be compensated at the rate applicable and shall meet the applicable legal requirement. <b>- Major compliance -</b>	Time recording at the estates was implemented through recording of check-roll book. The records were updated on daily basis and attendance of workers was monitored regularly through field supervision from morning muster until the working time is over.			Yes
<b>4.4.5.9</b>	Wages and overtime payment documented on the pay slips shall be in line with legal regulations and collective agreements. <b>- Major compliance -</b>	Verification of payslips showed that the wages and overtime were in line with legal requirements of Employment Act 1955 and worker's employment contract.			Yes
<b>4.4.5.10</b>	Other forms of social benefits should be offered by the employer to employees, their families or the community such as incentives	Among the social benefits provided to employees were clinic & medical facilities, shift allowance, food allowance and long service award.			Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
	for good work performance, bonus payment, professional development, medical care and health provisions. <b>- Minor compliance -</b>		
<b>4.4.5.11</b>	In cases where on-site living quarters are provided, these quarters shall be habitable and have basic amenities and facilities in compliance with the Workers' Minimum Standards Housing and Amenities Act 1990 (Act 446) or any other applicable legislation. <b>- Major compliance -</b>	The basic amenities and facilities at the quarters provided by the company to its workers includes electricity, water and domestic waste disposal. Electricity and water were supplied by the government. Usage of electricity and water given with subsidised rate for the workers contract.  During the line-site visit, it was observed that the housing are in good conditions. For local workers with family, each will be given a house while for foreign workers for single workers, it will be given shared house of 6 person with 3 bedroom each per house.  Line-site inspection record is available	Yes
<b>4.4.5.12</b>	The management shall establish a policy and provide guidelines to prevent all forms of sexual harassment and violence at the workplace. <b>- Major compliance -</b>	Gender Policy signed by Dato Carl Bek-Nielsen, dated 24.4.15 mentioned that the company endeavor to prevent sexual harassment and all other forms of violence against women and workers in the workplace or in the course of an employee's work.  There was also Grievance and redressal procedure for sexual harassment in the workplace which is available in English, Malay and Tamil. Report with regards to sexual harassment will be kept confidentially by the Chairperson of UP's gender committee. There has been no report of sexual harassment so far for both estates.	Yes
<b>4.4.5.13</b>	The management shall respect the right of all employees to form or join trade union and allow workers own representative(s) to facilitate collective bargaining in	The management is committed and respect the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Union Meetings at both visited estates were regularly held and minutes	Yes

Criterion / Indicator		Assessment Findings	Compliance						
	<p>accordance with applicable laws and regulations. Employees shall be given the freedom to join a trade union relevant to the industry or to organize themselves for collective bargaining. Employees shall have the right to organize and negotiate their work conditions. Employees exercising this right should not be discriminated against or suffer repercussions.</p> <p><b>- Major compliance -</b></p>	<p>of meeting were maintained. Interview with the workers from different nationalities confirmed that they are allowed to join Union freely without any restriction.</p>							
<b>4.4.5.14</b>	<p>Children and young persons shall not be employed or exploited. The minimum age shall comply with local, state and national legislation. Work by children is acceptable on family farms, under adult supervision, and when not interfering with their education programmes. Children shall not exposed to hazardous working conditions.</p> <p><b>- Major compliance -</b></p>	<p>The Human Rights Policy was established since 23 March 2013 signed by Dato Carl Bek-Nielsen. The Policy covers the commitment to not condone forced labour or child labour who under 16 years old. Nonetheless, based on the workers registry which has the information about date of birth and date of join, there was no children and young person recruited.</p>	Yes						
<b>Criterion 4.4.6: Training and competency</b>									
<b>4.4.6.1</b>	<p>All employees, contractors and relevant smallholders are appropriately trained. A training programme (appropriate to the scale of the organization) that includes regular assessment of training needs and documentation, including records of training shall be kept.</p> <p><b>- Major compliance -</b></p>	<p>The estates visited has established training program for all management, employee and contractors as per training need analysis conducted. The training records has been maintained and available for review. Sighted the training records as follows:</p> <table border="1" data-bbox="1048 1225 1816 1385"> <thead> <tr> <th>Training</th> <th>Date</th> <th>Remark</th> </tr> </thead> <tbody> <tr> <td>HIRARC and OSH briefing</td> <td>5 April 2019</td> <td>Jendarata estate</td> </tr> </tbody> </table>	Training	Date	Remark	HIRARC and OSH briefing	5 April 2019	Jendarata estate	Yes
Training	Date	Remark							
HIRARC and OSH briefing	5 April 2019	Jendarata estate							

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings			Compliance
		Policy Training	18 May 2019	Jendarata estate	
		First aid Training	25 April 2019	Jendarata estate	
		Fire Drill Training	8 June 2019	Jendarata estate	
		Pesticide and PPE Training	16 May 2019	Jendarata estate	
		Tractor Training driving	21 May 2019	Seri Pelangi	
		Spraying technique Training	30 May 2019	Seri Pelangi	
		HCV Training	12 June 2019	Seri Pelangi	
		Harvesting Training	24 March 2019	Seri Pelangi	
<b>4.4.6.2</b>	<p>Training needs of individual employees shall be identified prior to the planning and implementation of the training programmes in order to provide the specific skill and competency required to all employees based on their job description.</p> <p><b>- Major compliance -</b></p>	<p>The estate has conducted training need analysis to identify the training required for each workers. The analysis was conducted base on job designation and type of training required.</p>			Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
<b>4.4.6.3</b>	A continuous training programme should be planned and implemented to ensure that all employees are well trained in their job function and responsibility, in accordance to the documented training procedure.  - <b>Minor compliance</b> -	The estate reviewed the training need analysis and program on annually basis to ensure the continuous training for all workers. Training program and records was maintained and available for review.	Yes
<b>4.5 Principle 5: Environment, natural resources, biodiversity and ecosystem services</b>			
<b>Criterion 4.5.1: Environmental Management Plan</b>			
<b>4.5.1.1</b>	An environmental policy and management plan in compliance with the relevant country and state environmental laws shall be developed, effectively communicated and implemented.  - <b>Major compliance</b> -	United Plantations Berhad (UPB) has established a public policy on environmental and biodiversity. The policy incorporated the element of no deforestation. The latest version of policy dated 18/8/2017 was signed by UPB’s Chief Executive Director, Dato’ Carl Bek-Nielsen.	Yes
<b>4.5.1.2</b>	The environmental management plan shall cover the following: a) An environmental policy and objectives; b) The aspects and impacts analysis of all operations.  - <b>Major compliance</b> -	The estates visited have conducted the aspects and impacts analysis and documented in the Environmental Risk Assessment. The analysis was reviewed on annually basis. Latest review was conducted on 29/4/2019 for Jenderata Estate and 18/4/2019 for Sri Pelangi Estate  Both estates have established the Environmental Management Plan base on the Environmental Risk Assessment conducted. The management plan was reviewed on annually basis during Environmental Risk Assessment Review.	Yes
<b>4.5.1.3</b>	An environmental improvement plan to mitigate the negative impacts and to promote the positive ones, shall be developed, effectively implemented and monitored.	The estates visited have established the Environmental Management Plan base on the Environmental Risk Assessment conducted.  Sighted the implementation of the management plan as follows:	Yes



**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator	Assessment Findings	Compliance
<p><b>- Major compliance -</b></p>	<p>JE</p> <p>i. Sighted the establishment of LCC to control soil erosion and siltation of waterways during site visit at field 76, 77 and 78.</p> <p>ii. Sighted during site visit at landfill area at field 71, there are dedicated workers assigned to segregate the recyclable item from the domestic waste. Sighted the records of recycle waste disposal as follows:</p> <p>a. D/N no. 54053, Recycle Plastic @ 390 kg.</p> <p>b. D/N no. 54050, Empty cartons boxes @450 kg.</p> <p>iii. The tractors maintenance were conducted on timely basis at every 250-300 running hours. Sighted the service records for tractors no. 118, 119,120 and 125 for the month of March, April and May 2019 recorded in Tractor Service Book, Div. 1, Year 2019.</p> <p>SPE</p> <p>i. Sighted during site visit at field 12, the estate maintain the harvesting avenue and road edges by using mechanicals mowers.</p> <p>ii. Sighted during site visit at landfill area at field 71, there are dedicated workers assigned to segregate the recyclable item from the domestic waste. Sighted the records of recycle waste disposal as follows:</p> <p>a. D/N no. 8916, Recycle Plastic @ 360 kg.</p> <p>b. D/N no. 8910, Scrap Iron @ 100 kg.</p>	

Criterion / Indicator		Assessment Findings	Compliance
4.5.1.4	<p>A programme to promote the positive impacts should be included in the continual improvement plan.</p> <p><b>- Minor compliance -</b></p>	<p>The continual improvement plan towards recycling of waste was sighted. Among program that has been implemented:</p> <ul style="list-style-type: none"> <li>41. Zero Burn Replanting Policy</li> <li>42. Empty Fruit Bunch Use by Estates</li> <li>43. POME USE – by the Estate</li> <li>44. Empty Fertilizer Bags Utilization</li> <li>45. Scrap Metal Sold – JENDERATA Estates</li> <li>46. Spent Batteries/Dispatches to Waste Manager</li> <li>47. Spent Lubricants/Dispatches to Waste Manager</li> <li>48. Spent Fuel Filters/Dispatched to Waste Manager</li> <li>49. Triple Rinse Pesticide Containers sent to Waste Manager</li> <li>50. Clinical and Domestic Waste Disposal</li> </ul>	Yes
4.5.1.5	<p>An awareness and training programme shall be established and implemented to ensure that all employees understand the policy and objectives of the environmental management and improvement plans and are working towards achieving the objectives.</p> <p><b>- Major compliance -</b></p>	<p>The estate has established training programs that covered aspects of the MSPO &amp; RSPO requirements, with regular assessments of training needs. The training on RSPO &amp; MSPO awareness included on the policy and objectives of the environmental management and improvement plans.</p>	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance												
<b>4.5.1.6</b>	<p>Management shall organize regular meetings with employees where their concerns about environmental quality are discussed.</p> <p><b>- Major compliance -</b></p>	<p>The management conducted meeting to discuss the environmental quality on annually basis. Sighted the latest minutes meeting of UP Group Sustainability Committee conducted on 17/4/2019.</p> <p>JE</p> <p>The estate management has also conducted the Stakeholder Meeting to discuss about environment &amp; social risk conducted on annual basis. Latest meeting was conducted on 29/4/2019. The minutes are available for review.</p>	Yes												
<b>Criterion 4.5.2: Efficiency of energy use and use of renewable energy</b>															
<b>4.5.2.1</b>	<p>Consumption of non-renewable energy shall be optimized and closely monitored by establishing baseline values and trends shall be observed within an appropriate timeframe. There should be a plan to assess the usage of non-renewable energy including fossil fuel, electricity and energy efficiency in the operations over the base period.</p> <p><b>- Major compliance -</b></p>	<p>The estates visited had maintain the monthly monitoring records of fossil fuel usage and established management plan to assess the usage of the fossil fuel and efficiency of usage documented in the Continuous Improvement Plan. Noted the consumption of fossil fuel/FFB as follows:</p> <table border="1"> <thead> <tr> <th></th> <th>2017</th> <th>2018</th> <th>2019 target</th> </tr> </thead> <tbody> <tr> <td>Diesel</td> <td>1.60</td> <td>2.56</td> <td>3.00</td> </tr> <tr> <td>Petrol</td> <td>0.41</td> <td>0.89</td> <td>0.90</td> </tr> </tbody> </table>		2017	2018	2019 target	Diesel	1.60	2.56	3.00	Petrol	0.41	0.89	0.90	Yes
	2017	2018	2019 target												
Diesel	1.60	2.56	3.00												
Petrol	0.41	0.89	0.90												
<b>4.5.2.2</b>	<p>The oil palm premises shall estimate the direct usage of non-renewable energy for their operations, including fossil fuel, and electricity to determine energy efficiency of their operations.</p>	<p>The estimate for the direct usage of nonrenewable energy for their operations, including fossil fuel, and electricity to determine energy efficiency of their operations inclusive of fuel use by contractors,</p>	Yes												

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
	This shall include fuel use by contractors, including all transport and machinery operations. <b>- Major compliance -</b>	including all transport and machinery operations was available in the respective estate yearly budgets.	
<b>4.5.2.3</b>	The use of renewable energy should be applied where possible. <b>- Minor compliance -</b>	No renewable energy usage in both estates visited.	Yes
<b>Criterion 4.5.3: Waste management and disposal</b>			
<b>4.5.3.1</b>	All waste products and sources of pollution shall be identified and documented. <b>- Major compliance -</b>	<p>JE</p> <p>The estate has identified all the waste products and source of solution and documented in the Waste Management – Continuous improvement. The waste identified as follows:</p> <p>Domestic waste – rubbish from the mill complex and employees quarters (disposed by estate management)</p> <p>Recycled waste – scrap iron, plastic, glass, metal, paper</p> <p>Scheduled waste – filter, lubricants, hydraulic oil, grease, used batteries</p> <p>SPE</p> <p>The estate had identified all waste products and its source of pollution and documented in Types of Waste Products and Method of Disposal. The waste identified as follows:</p> <p>Domestic waste – rubbish from the mill complex and employees quarters (disposed by estate management)</p>	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator	Assessment Findings	Compliance
	<p>Recycled waste – scrap iron, plastic, glass, metal, paper</p> <p>Scheduled waste – filter, lubricants, hydraulic oil, grease, batteries, PPE</p>	
<p><b>4.5.3.2</b></p>	<p>A waste management plan to avoid or reduce pollution shall be developed and implemented. The waste management plan should include measures for:</p> <ul style="list-style-type: none"> <li>a) Identifying and monitoring sources of waste and pollution</li> <li>b) Improving the efficiency of resource utilization and recycling of potential wastes as nutrients or converting them into value-added by-products</li> </ul> <p><b>- Major compliance -</b></p>	<p>Yes</p>

Criterion / Indicator		Assessment Findings	Compliance
		ii. Lawn mowing for harvesting path area at 1016 hectare for mature area.	
<b>4.5.3.3</b>	<p>The management shall establish Standard Operating Procedure for handling of used chemicals that are classified under Environment Quality Regulations (Scheduled Waste) 2005, Environmental Quality Act, 1974 to ensure proper and safe handling, storage and disposal.</p> <p><b>- Major compliance -</b></p>	<p>The estates visited have established flow chart for Scheduled Waste Handling for all scheduled waste generated such as SW 305, SW 410, SW 409 and SW 404. The SW handling as per regulation.</p> <p>The estate also have a proper Scheduled Waste Store for storing scheduled waste until time of disposal by DOE authorized waste disposal contractor. Stores for scheduled waste were inspected at both estate visited and disposal was done by scheduled waste disposal company authorized and licensed by Department of Environment.</p> <p>Observed during workers interview with storekeeper shows the understanding the proper disposal for waste as all used lubricant and contaminated spill kit will be collected as Scheduled Waste and stored in designated storage area.</p> <p>Sighted the disposal records for SW generated as follows:</p> <p>JE</p> <p>i. 29/5/2019 for SW 305; C/N no: 2019052906NDOT9R</p> <p>SPE</p> <p>i. 15/6/2019 for SW 305; C/N no: 2019061514LN2MU1</p> <p>ii. 15/6/2019 for SW 410; C/N no: 2019061514L7SCJU</p>	Yes
<b>4.5.3.4</b>	<p>Empty pesticide containers shall be punctured and disposed in an environmentally and socially responsible way, such that there is no risk of contamination of water sources or to human health. The disposal instructions on manufacturer's</p>	<p>Empty pesticides containers were identified as recycle waste. The empty pesticides containers were triple rinse, punctured and stored in designated area before sold to the licensed waste manager,</p>	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
	<p>labels should be adhered to. Reference should be made to the national programme on recycling of used HDPE pesticide containers.</p> <p><b>- Major compliance -</b></p>	<p>Envirogreen for disposal. Sighted the records of empty Chemical Container disposal as follows:</p> <p>JE</p> <p>i. Delivery Order no. 54024 dated 5/1/2019 for 930 kg</p> <p>ii. Delivery Order no. 54044 dated 5/1/2019 for 930 kg</p> <p>SPE</p> <p>i. Delivery Order no. 8918 dated 15/6/2019 for 620 kg</p> <p>ii. Delivery Order no. 8914 dated 3/6/2019 for 940 kg</p>	
<b>4.5.3.5</b>	<p>Domestic waste should be disposed as such to minimize the risk of contamination of the environment and watercourses.</p> <p><b>- Minor compliance -</b></p>	<p>The domestic waste was collected on daily basis and disposed at designated landfill far from watercourse. The estate has assigned a workers to segregate all recycle waste from the domestic waste. All the recycle waste were collected and sold to waste manager</p>	Yes
<b>Criterion 4.5.4: Reduction of pollution and emission</b>			
<b>4.5.4.1</b>	<p>An assessment of all polluting activities shall be conducted, including greenhouse gas emissions, scheduled wastes, solid wastes and effluent.</p> <p><b>- Major compliance -</b></p>	<p>The estate conducted assessment on all polluting activities during aspects and impacts analysis and documented in the Environmental Risk Assessment. The analysis was reviewed on annually basis.</p>	Yes
<b>4.5.4.2</b>	<p>An action plan to reduce identified significant pollutants and emissions shall be established and implemented.</p> <p><b>- Major compliance -</b></p>	<p>The estate has established the action plan to reduce significant pollutants and emissions and documented in the Environmental Action Plan and in Waste Management – Continuous improvement.</p>	Yes

Criterion / Indicator	Assessment Findings	Compliance				
<b>Criterion 4.5.5:</b> Natural water resources						
<p><b>4.5.5.1</b> The management shall establish a water management plan to maintain the quality and availability of natural water resources (surface and ground water). The water management plan may include:</p> <ul style="list-style-type: none"> <li>a. Assessment of water usage and sources of supply.</li> <li>b. Monitoring of outgoing water which may have negative impacts into the natural waterways at a frequency that reflects the estate’s current activities.</li> <li>c. Ways to optimize water and nutrient usage to reduce wastage (e.g. having in place systems for re-use, night application, maintenance of equipment to reduce leakage, collection of rainwater, etc.).</li> <li>d. Protection of water courses and wetlands, including maintaining and restoring appropriate riparian buffer zones at or before planting or replanting, along all natural waterways within the estate.</li> <li>e. Where natural vegetation in riparian areas has been removed, a plan with a timetable for restoration shall be established and implemented.</li> <li>f. Where bore well is being use for water supply, the level of the ground water table should be measured at least annually.</li> </ul> <p><b>- Major compliance -</b></p>	<p>The estates visited have established the water management plan. The plan focusing on:</p> <ul style="list-style-type: none"> <li>i. Management of acid sulphate soil, raised and maintained above the pyritic layer as far as long as possible</li> <li>ii. Water table for acid sulphate area should be maintain about 45 – 60 cm form soil surface virtually throughout the year</li> <li>iii. Beneficial to maintain water tables 60 – 90 cm in non-acid sulphate soil to minimize stress during drier periods and in peat areas it should be maintain at mean of 60 cm below ground surface</li> <li>iv. Included therein are inspection of Watergates, flap-gate, wooden weirs, sandbag weirs, water pumps and irrigation.</li> <li>v. For high rainfall (&gt;150 mm/mth) – drainage and for low rain fall (&lt;150 mm/mth) – irrigation. At onset of dry spell, install sandbags for rain harvesting, operating water pumps, weir platforms to be raised while during high tide, allow natural in flow of water.</li> </ul> <p>Water courses and wetlands are protected including maintaining and restoring appropriate riparian buffer zones. The guidelines are detailed in the SOP No 12: Protection of River Reserves (Riparian &amp; Buffer Zone). The buffer zones established are as following:</p> <table border="1" data-bbox="1048 1236 1868 1362"> <thead> <tr> <th data-bbox="1048 1236 1458 1300">River width</th> <th data-bbox="1458 1236 1868 1300">Buffer zone width</th> </tr> </thead> <tbody> <tr> <td data-bbox="1048 1300 1458 1362">1 – 5</td> <td data-bbox="1458 1300 1868 1362">5</td> </tr> </tbody> </table>	River width	Buffer zone width	1 – 5	5	<p>Yes</p>
River width	Buffer zone width					
1 – 5	5					



**MSPO Public Summary Report  
Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings					Compliance								
		5 – 10					10								
		10 – 20					20								
		20 – 40					40								
		> 40					50								
		<p>Sighed the riparian buffer zone for Jenderata Estate at Sg. Bernam. The vegetation was well maintained and no evidence of chemical application at the area.</p> <p>Noted during interview for sprayer and fertilizer applicator for both estates visited show the understanding on prohibition of chemical application at riparian bufferzone area. The estates has erected signboard on prohibition of fishing, hunting, swimming and trespassing in the area.</p> <p>The estates visited monitored the water usage on monthly basis. The water consumption (gallons/capita) FY 2018 was recorded at 60 gallons/capita.</p> <p>Estates visited conducted the river water sampling on annually basis. The result FY 2018 as follows:</p> <p>JE</p> <table border="1" data-bbox="1048 1241 1863 1370"> <thead> <tr> <th>Sampling Point</th> <th>Bruas River Inlet</th> <th>Bruas River Outlet</th> <th>Sg. Anak Machang Inlet</th> <th>Sg. Anak Machang Outlet</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>					Sampling Point	Bruas River Inlet	Bruas River Outlet	Sg. Anak Machang Inlet	Sg. Anak Machang Outlet				
Sampling Point	Bruas River Inlet	Bruas River Outlet	Sg. Anak Machang Inlet	Sg. Anak Machang Outlet											

Criterion / Indicator		Assessment Findings				Compliance	
		Water Quality Class	III	III	III	IV	
		SPE					
		Sampling Point	Sg. Sungkai Inlet	Sg. Sungkai Outlet			
		Water Quality Class	IV	III			
<b>4.5.5.2</b>	No construction of bunds, weirs and dams across main rivers or waterways passing through an estate. <b>- Minor compliance -</b>	At time of visit no bunds, weirs and dams were observed across main rivers or waterways passing through both estates.				Yes	
<b>4.5.5.3</b>	Water harvesting practices should be implemented (e.g. water from road-side drains can be directed and stored in conservation terraces and various natural receptacles). <b>- Minor compliance -</b>	During the site visit it was observed that water harvesting was practised during the dry season while during the wet season weirs and gates were opened to drain excess water.  All fields in Jendarata Estate were in flat terrain with high water table where conservation terraces and moisture pit are not required.				Yes	
<b>Criterion 4.5.6:</b> Status of rare, threatened, or endangered species and high biodiversity value							

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator	Assessment Findings	Compliance
<p><b>4.5.6.1</b> Information shall be collated that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors). This information should cover:</p> <ul style="list-style-type: none"> <li>a) Identification of high biodiversity value habitats, such as rare and threatened ecosystems, that could be significantly affected by the grower(s) activities.</li> <li>b) Conservation status (<i>e.g.</i> The International Union on Conservation of Nature and Natural Resources (IUCN) status on legal protection, population status and habitat requirements of rare, threatened, or endangered species), that could be significantly affected by the grower(s) activities.</li> </ul> <p><b>- Major compliance -</b></p>	<p>Both estates visited maintain the Environment and Biodiversity Policy signed by Dato' Carl Bek-Nielsen on 18/8/17.</p> <p>United Plantation Berhad has conducted HCV assessment. The high biodiversity value was documented in the HCV assessment report dated 4/1/ 2008 by Wild Asia.</p> <p>128 Birds, 11 mammals, 6 reptiles and 20 dragonflies were identified based on the latest HCV report. Within the bird fauna, a total of 4 globally endangered species were recorded such as Malaysian Blue Flycatcher, Long-tailed Parakeet, Rhinoceros Hornbills and Black Hornbills.</p> <p>The established management plan has been incorporated the Self-Assessment-List of HCVs Identified (HCV Monitoring) updated annually.</p>	<p>Yes</p>
<p><b>4.5.6.2</b> If rare, threatened or endangered species, or high biodiversity value, are present, appropriate measures for management planning and operations should include:</p> <ul style="list-style-type: none"> <li>a) Ensuring that any legal requirements relating to the protection of the species are met.</li> <li>b) Discouraging any illegal or inappropriate hunting, fishing or collecting activities; and developing responsible measures to resolve human-wildlife conflicts.</li> </ul> <p><b>- Major compliance -</b></p>	<p>According to the HCV report, there are no RTE species (according to IUCN classification) sighted at the operating units.</p> <p>The estate continuously conducted awareness training to ensure the employee aware regarding the Environment and Biodiversity Policy. Latest training was conducted on 13/3/2019.</p> <p>Sighted the prohibition of illegal hunting were erected at several strategic area in the estate. The estate conducted HCV Study Report Self-Assessment on annually basis. The estate maintain and record the Wildlife Monitoring Records.</p>	<p>Yes</p>
<p><b>4.5.6.3</b> A management plan to comply with Indicator 1 shall be established and effectively implemented, if required.</p>	<p>All operating units have developed Management Plan for the HCV and conservation area to protect from any encroachment. Habitat</p>	<p>Yes</p>

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
	- Major compliance -	protection includes prevention of disturbance by workers through awareness campaigns and regular patrols of the area. The estates have installed signboards at prominent areas to prohibit hunting, disturbance of protected areas and the lighting of fires.	
<b>Criterion 4.5.7:</b> Zero burning practices			
<b>4.5.7.1</b>	Use of fire for waste disposal and for preparing land for oil palm cultivation or replanting shall be avoided except in specific situations, as identified in regional best practice.  - Major compliance -	United Plantation Berhad has established the Zero Burning Policy dated 18/8/2017 signed by the UPB's Chief Executive Director.  United Plantation Berhad has also established the SOP for Replanting dated 18/2/2008. In the SOP stated the prohibition of burning in land preparation. Previous crops should be felled or mowed down, chipped and shredded, windrowed or pulverized or ploughed and mulched.	Yes
<b>4.5.7.2</b>	A special approval from the relevant authorities shall be sought in areas where the previous crop is highly diseased and where there is a significant risk of disease spread or continuation into the next crop.  - Major compliance -	No open burning noted based on the records on the land clearing and felling for the replanting at visited estates. Method of land clearing and preparation was used such as felling & chipping, cambering/land forming and path construction.	Yes
<b>4.5.7.3</b>	Where controlled burning is allowed, it shall be carried out as prescribed by the Environmental Quality (Declared Activities) (Open Burning) Order 2003 or other applicable laws.  - Major compliance -	No open burning noted based on the records on the land clearing and felling for the replanting at visited estates. Method of land clearing and preparation was used such as felling & chipping, cambering/land forming and path construction.	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
4.5.7.4	<p>Previous crops should be felled or mowed down, chipped and shredded, windrowed or pulverized or ploughed and mulched.</p> <p><b>- Minor compliance -</b></p>	<p>United Plantation Berhad has also established the SOP for Replanting dated 18/2/2008. In the SOP stated the prohibition of burning in land preparation. Previous crops should be felled or mowed down, chipped and shredded, windrowed or pulverized or ploughed and mulched.</p>	Yes
<b>4.6 Principle 6: Best Practices</b>			
<b>Criterion 4.6.1: Site Management</b>			
4.6.1.1	<p>Standard operating procedures shall be appropriately documented and consistently implemented and monitored.</p> <p><b>- Major compliance -</b></p>	<p>In United Plantation Berhad, SOPs for plantation were documented in:</p> <ul style="list-style-type: none"> <li>- Field Management Manual 2008</li> <li>- Field Management (Supplement) Manual 2008</li> <li>- Standard working Procedure (S.O.P) 2007 with an added SOP on Traceability in April 2018</li> <li>- OSH Manual</li> </ul> <p>The SOP manual confirmed that all activities in the estates from seedlings in nursery to planting in the fields have been included in the Manual along with other requirements. The document specifies the following sections:</p> <ol style="list-style-type: none"> <li>1. Nursery Operations</li> <li>2. Replanting</li> <li>3. Upkeep Mature/Immature Oil Palm</li> <li>4. Water Management</li> </ol>	Yes

Criterion / Indicator	Assessment Findings	Compliance
	5. Roads 6. Boundaries 7. Oil Palm Pest Management 8. Manuring Immature and Mature Oil Palm 9. Harvesting & Collection 10. Oil Mill RSPO Supply Chain Module 11. Recruitment of Guest Workers 12. Protection of River Reserves (Riparian & Buffer Zones) 13. Internal Audit 14. Safe Deposit Lockers For Guest Workers' Passports 15. Traceability  On both Jendarata Estate and Seri Pelangi Estate SOPs were consistently implemented and monitored by on-site visits, inspections and discussions with relevant personnel and by conducting audits such as Internal Audits, RSPO Audits and visits by GMs, CED and Agronomists and by Periodic reporting – monthly Production Statement, Labour Statement, FFB Grading, etc.	
<b>4.6.1.2</b>	Where oil palm is grown within permitted levels on sloping land, appropriate soil conservation measures shall be implemented to prevent both soil erosion as well as siltation of drains and waterways. Measures shall be put in place to prevent contamination of surface and groundwater through runoff of either soil, nutrients or chemicals.	Yes

Criterion / Indicator		Assessment Findings	Compliance												
	- Major compliance -														
4.6.1.3	A visual identification or reference system shall be established for each field.  - Major compliance -	All fields are marked and identified. Information like year planting (field no) and the total hectare is shown in all markers. There are both stencilled at the palm trees and also displayed in signage at the boundary/corners of every fields	Yes												
<b>Criterion 4.6.2: Economic and financial viability plan</b>															
4.6.2.1	A documented business or management plan shall be established to demonstrate attention to economic and financial viability through long-term management planning.  - Major compliance -	The annual business plan is available. The estate had an annual budget with a 3 years projection as stated in JENDERATA Estate Annual Budget 2022. This business plan is prepared as guidance for future planning. The budget contains monthly budget per operating units including FFB, CPO and PK. Component of operating expenditure includes Administration, harvesting & collection, field upkeep, transportation, road and bridges, labour overhead, EVIT (running accounts for engines, vehicles, implements & tractors. Inclusive in the business plan is also Capital Expenditure (CAPEX) includes building-general, tractors and agricultural implement, office equipment and others.	Yes												
4.6.2.2	Where applicable, an annual replanting programme shall be established. Long term replanting programme should be established and review annually, where applicable every 3-5 years.  - Major compliance -	United Plantation Berhad had a long range replanting program projected for 10 years. The program for each estate was reviewed annually and the replanting program for 5 years in Hectares is as follows: <table border="1" data-bbox="1048 1257 1753 1388"> <thead> <tr> <th></th> <th>2019</th> <th>2020</th> <th>2021</th> <th>2022</th> <th>2023</th> </tr> </thead> <tbody> <tr> <td>JE</td> <td>299.90</td> <td>282.80</td> <td>298.74</td> <td>248.16</td> <td>139.60</td> </tr> </tbody> </table>		2019	2020	2021	2022	2023	JE	299.90	282.80	298.74	248.16	139.60	Yes
	2019	2020	2021	2022	2023										
JE	299.90	282.80	298.74	248.16	139.60										

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings							Compliance
		SPE	202.00	320.00	0.00	0.00	0.00		
<b>4.6.2.3</b>	<p>The business or management plan may contain:</p> <ul style="list-style-type: none"> <li>a) Attention to quality of planting materials and FFB</li> <li>b) Crop projection: site yield potential, age profile, FFB yield trends</li> <li>c) Cost of production : cost per tonne of FFB</li> <li>d) Price forecast</li> <li>e) e) Financial indicators : cost benefit, discounted cash flow, return on investment</li> </ul> <p><b>- Major compliance -</b></p>	<p>This requirement i.e crop material, crop projection, yield, production cost are available. It is provided in the business management plan shown in item 4.6.2.1 above.</p>							Yes
<b>4.6.2.4</b>	<p>The management plan shall be effectively implemented and the achievement of the goals and objectives shall be regularly monitored, periodically reviewed and documented.</p> <p><b>- Major compliance -</b></p>	<p>The estates performance is recorded in the monthly progress report. Details on the actual vs budget i.e crop production, fixed and direct cost are shown therein. The management also provides variance report on the performance and reviewed on a monthly basis. The progress report contains the updated actual usage as todate.</p>							Yes
<b>Criterion 4.6.3:</b> Transparent and fair price dealing									
<b>4.6.3.1</b>	<p>Pricing mechanisms for the products and other services shall be documented and effectively implemented.</p> <p><b>- Major compliance -</b></p>	<p>FFB were supplied mainly from Jenderata and Seri Pelangi estates which both are belonged to UP. The pricing method for products and other services such as FFB transporter has been clearly stated in a contract agreement. The contract shall be agreed upon both parties prior to commencement of work.</p>							Yes



**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
<b>4.6.3.2</b>	All contracts shall be fair, legal and transparent and agreed payments shall be made in timely manner. <b>- Major compliance -</b>	Verification of contract agreement, records of payment and interview with contractors showed that contracts was fair, legal and transparent and agreed payments were made in timely manner.	Yes
<b>Criterion 4.6.4: Contractor</b>			
<b>4.6.4.1</b>	Where contractors are engaged, they shall understand the MSPO requirements and shall provide the required documentation and information. <b>- Major compliance -</b>	Both estates have made their contractors understand the MSPO requirements mainly through trainings and meeting. Records of training and meeting were available for verification.	Yes
<b>4.6.4.2</b>	The management shall provide evidence of agreed contracts with the contractor. <b>- Major compliance -</b>	All of the engaged contractors such as transporters and labour supply were provided with agreed contracts. Verification of the contracts and records of payment showed that the implementation of the stipulated conditions of the contract was effective.	Yes
<b>4.6.4.3</b>	The management shall accept MSPO approved auditors to verify assessments through a physical inspection if required. <b>- Minor compliance -</b>	The requirement of accepting MSPO accredited auditors to audit against the contractors was mentioned in the MSPO Policy signed on 29 March 2018 by Chief Executive Director Dato' Carl Bek-Nielsen.	Yes
<b>4.6.4.4</b>	The management shall be responsible for the observance of the control points applicable to the tasks performed by the contractor, by checking and signing the assessment of the contractor for each task and season contracted. <b>- Major compliance -</b>	All works performed at the estates are checked and verified by the management before any payment is approved. The records of performance evaluation were made available for verification.	Yes

Criterion / Indicator	Assessment Findings	Compliance
<b>4.7 Principle 7: Development of new planting</b>		
<b>Criterion 4.7.1:</b> High biodiversity value		
<b>4.7.1.1</b>	Oil palm shall not be planted on land with high biodiversity value unless it is carried out in compliance with the National and/or State Biodiversity Legislation.  - Major compliance -	No development of new planting in both estate visited
<b>4.7.1.2</b>	No conversion of Environmentally Sensitive Areas (ESAs) to oil palm as required under Peninsular Malaysia’s National Physical Plan (NPP) and the Sabah Forest Management Unit under the Sabah Forest Management License Agreement. For Sabah and Sarawak, new planting or replanting of an area 500ha or more requires an EIA. For areas below 500ha but above 100ha, a Proposal for Mitigation Measures (PMM) is required.  - Major compliance -	No development of new planting in both estate visited
<b>Criterion 4.7.2:</b> Peat Land		
<b>4.7.2.1</b>	New planting and replanting may be developed and implemented on peat land as per MPOB guidelines on peat land development or industry best practice.  - Major compliance -	No development of new planting in both estate visited
<b>Criterion 4.7.3:</b> Social and Environmental Impact Assessment (SEIA)		

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
<b>4.7.3.1</b>	A comprehensive and participatory social and environmental impact assessment shall be conducted prior to establishing new plantings or operations.  - <b>Major compliance</b> -	No development of new planting in both estate visited	Yes
<b>4.7.3.2</b>	SEIAs shall include previous land use or history and involve independent consultation as per national and state regulations, via participatory methodology which includes external stakeholders.  - <b>Major compliance</b> -	No development of new planting in both estate visited	Yes
<b>4.7.3.3</b>	The results of the SEIA shall be incorporated into an appropriate management plan and operational procedures developed, implemented, monitored and reviewed.  - <b>Major compliance</b> -	No development of new planting in both estate visited	Yes
<b>4.7.3.4</b>	Where the development includes smallholder schemes of above 500ha in total or small estates, the impacts and implications of how each scheme or small estate is to be managed should be documented and a plan to manage the impacts developed, implemented, monitored and reviewed.  - <b>Minor compliance</b> -	No development of new planting in both estate visited	Yes
<b>Criterion 4.7.4:</b> Soil and topographic information			
<b>4.7.4.1</b>	Information on soil types shall be adequate to establish the long-term suitability of the land for oil palm cultivation.	No development of new planting in both estate visited	Yes

Criterion / Indicator		Assessment Findings	Compliance
	- Major compliance -		
4.7.4.2	Topographic information shall be adequate to guide the planning of planting programmes, drainage and irrigation systems, roads and other infrastructure.  - Major compliance -	No development of new planting in both estate visited	Yes
<b>Criterion 4.7.5:</b> Planting on steep terrain, marginal and fragile soils			
4.7.5.1	Extensive planting on steep terrain, marginal and fragile soils shall be avoided unless permitted by local, state and national laws.  - Major compliance -	No development of new planting in both estate visited	Yes
4.7.5.2	Where planting on fragile and marginal soils is proposed, plans shall be developed and implemented to protect them and to minimize adverse impacts (e.g. hydrological) or significantly increased risks (e.g. fire risk) in areas outside the plantation.  - Major compliance -	No development of new planting in both estate visited	Yes
4.7.5.3	Marginal and fragile soils, including excessive gradients and peat soils, shall be identified prior to conversion.  - Major compliance -	No development of new planting in both estate visited	Yes
<b>Criterion 4.7.6:</b> Customary land			
4.7.6.1	No new plantings are established on recognised customary	No development of new planting in both estate visited	Yes

Criterion / Indicator	Assessment Findings	Compliance
<p>land without the owners' free, prior and informed consent, 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><b>- Major compliance -</b></p>		
<p><b>4.7.6.2</b> Where new plantings on recognised customary lands are acceptable, management plans and operations should maintain sacred sites.</p> <p><b>- Minor compliance -</b></p>	No development of new planting in both estate visited	Yes
<p><b>4.7.6.3</b> Where recognized customary or legally owned lands have been taken-over, the documentary proof of the transfer of rights and of payment or provision of agreed compensation shall be made available.</p> <p><b>- Major compliance -</b></p>	No development of new planting in both estate visited	Yes
<p><b>4.7.6.4</b> The owner of recognised customary land shall be compensated for any agreed land acquisitions and relinquishment of rights, subject to their free prior informed consent and negotiated agreement.</p> <p><b>- Major compliance -</b></p>	No development of new planting in both estate visited	Yes
<p><b>4.7.6.5</b> Identification and assessment of legal and recognised customary rights shall be documented.</p> <p><b>- Major compliance -</b></p>	No development of new planting in both estate visited	Yes

Criterion / Indicator		Assessment Findings	Compliance
<b>4.7.6.6</b>	A system for identifying people entitled to compensation and for calculating and distributing fair compensation shall be established and implemented.  - <b>Major compliance</b> -	No development of new planting in both estate visited	Yes
<b>4.7.6.7</b>	The process and outcome of any compensation claims shall be documented and made publicly available.  - <b>Major compliance</b> -	No development of new planting in both estate visited	Yes
<b>4.7.6.8</b>	Communities that have lost access and rights to land for plantation expansion should be given opportunities to benefit from the plantation development.  - <b>Minor compliance</b> -	No development of new planting in both estate visited	Yes

**MS 2530-4:2013 Part 4: General principles for palm oil mill**

Criterion / Indicator		Assessment Findings	Compliance
<b>4.1 Principle 1: Management commitment &amp; responsibility</b>			
<b>Criterion 4.1.1 – Malaysian Sustainable Palm Oil (MSPO) Policy</b>			
<b>4.1.1.1</b>	Policy for the implementation of MSPO shall be established. - <b>Major compliance -</b>	United Plantation Berhad has established MSPO policy committing to implement on sustainability signed by Chief Executive Director, Dato’ Carl Bek-Nielsen, on 29 March 2018.	Yes
<b>4.1.1.2</b>	The policy shall also emphasize on the commitment to continual improvement with the objective of improving the milling operation. - <b>Major compliance -</b>	The established policy has emphasized on the adherence to the following key principles i. Management Commitment and Responsibility ii. Transparency iii. Compliance to Legal Requirements iv. Social Responsibility, Health, Safety and Employment Condition v. Environment, Natural Resources, Biodiversity and Ecosystem Services. vi. Best Practices vii. Development of New Plantings	Yes
<b>Criterion 4.1.2 – Internal Audit</b>			

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
<b>4.1.2.1</b>	Internal audit shall be planned and conducted regularly to determine the strong and weak points and potential area for further improvement.  - <b>Major compliance</b> -	Internal audit was planned and conducted as per the documented Internal audit procedure, rev: 1 dated 15/2/2019. Internal audit was scheduled to be conducted on 5/3/2019 (first round) and 22/4/2019 (second round). The actual was conducted on 5/3/2019 and 23/4/2019 by 3 auditors from HR ESH Team.	Yes
<b>4.1.2.2</b>	The internal audit procedures and audit results shall be documented and evaluated, followed by the identification of strengths and root causes of nonconformities, in order to implement the necessary corrective action.  - <b>Major compliance</b> -	The Internal audit procedure as mentioned in 4.1.2.1. Audit results of both audits (estates & mill) were documented under internal audit summary. There were several NCRs issued as a result of the audit. All of the NCRs have been closed on 29/5/2019. Closure of NCRs were verified by HRESH Department Team. However, based on the internal audit report, it was noted that the identification of root cause was not clearly demonstrated. In the report, there was only statement of findings and recommendation of solution recorded. Thus, a non-conformity report was assigned due to this lapse.	Yes
<b>4.1.2.3</b>	Reports shall be made available to the management for their review.  - <b>Major compliance</b> -	Internal Audit report was available for verification and it was taken into consideration as part of the management review meeting.	Yes
<b>Criterion 4.1.3 – Management Review</b>			
<b>4.1.3.1</b>	The management shall periodically review the continuous suitability, adequacy and effectiveness of the requirements for effective implementation of MSPO and decide on any changes, improvement and modification.  - <b>Major compliance</b> -	Based on the established management review meeting procedure, the minimum meeting frequency was once per year. The management review committee consists of CED, GM HRESH, Heads of Up Stream, Down Stream and JENDERATA Businesses, Head of Research, UNITATA Executives and PTSSS Executives.	Yes



**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
		<p>MRM was held on 10/4/2019 to review the performance of Jan-Dec 2018, attended 5 attendees and chaired by the Mill Residence Engineer. Among the agendas discussed were:</p> <ul style="list-style-type: none"> <li>- Compliance to legal requirements</li> <li>- Environmental performance</li> <li>- Social impact assessment</li> <li>- Internal &amp; external audit findings</li> <li>- Customer feedback</li> <li>- Status of correction &amp; corrective actions</li> <li>- Follow-up actions from previous MRM</li> <li>- Changes that could affect the management system</li> <li>- Recommendation for improvement</li> </ul>	
<b>Criterion 4.1.4 – Continual Improvement</b>			
<b>4.1.4.1</b>	<p>The action plan for continual improvement shall be based on a consideration of the main social and environmental impact and opportunities for the company.</p> <p><b>- Major compliance -</b></p>	<p>The environmental issues for improvement outlined by the mill are sampled as follows:</p> <ul style="list-style-type: none"> <li>- Utilisation of Vorcep (air pollution control equipment) to meet the 1.5 mg/m<sup>3</sup> of dust particulate emission.</li> </ul> <p>For social issues, the key areas identified in the Social Impact Assessment particularly on weighbridge/FFB reception, sterilizers, crane/stripping stations and others. The recommendation from the SIA report was transferred to action plan Social Risk Assessment</p>	Yes

Criterion / Indicator		Assessment Findings	Compliance
		(SRA) 2018. The action plan identified the issues & strategies, action plan, responsible person and time frame.	
<b>4.1.4.2</b>	The company should establish a system to improve practices in line with new information and techniques; and for disseminating this information throughout the workforce.  <b>- Major compliance -</b>	System to improve practices in line with new information and techniques was carried out by Group Engineer. The management of the Mill, on receiving these information, was responsible for disseminating this information throughout the workforce.	Yes
<b>4.2 Principle 2: Transparency</b>			
Criterion 4.2.1 – Transparency of information and documents relevant to MSPO requirements			
<b>4.2.1.1</b>	The management shall communicate adequate information to other stakeholder on environmental, social and legal issues relevant to sustainable practices in the relevant languages and forms.  <b>- Major compliance -</b>	United Plantations Berhad had a documented Standard Operation Procedure for both External & Internal Communication. There was also Grievance Redressal procedure which has steps to be followed to solve issues raised by workers/stakeholders.  The time frame to provide feedback to the stakeholder is documented to be a maximum of 24 days for internal and 30 days for external complaint. The officer-in-charge for Mill was the Group Engineer Mr P. Rajasegaran. As per appointment letter dated 29.03.2018 he was responsible to commit and implement the sustainability concepts outline in RSPO, RSPO NEXT and MSPO P&Cs.	Yes
<b>4.2.1.2</b>	The management documents shall be publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.	United Plantation Berhad used the group website for disseminating public information. The Sustainability Report and Group Annual report was available in website.	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
	- <b>Major compliance</b> -	<p>Information relating to land titles, safety and health plans, pollution prevention plans, and annual report are available at the mill.</p> <p>In addition to the website, the policies were also displayed at various locations including the main notice boards of the estates, mill offices and muster ground notice boards for employees and visitors to view.</p> <p>Procedure for complaints and grievances were available through UP website and medium used was via suggestion box in office or write in to UP head office.</p>	
<b>Criterion 4.2.2 – Transparent method of communication and consultation</b>			
<b>4.2.2.1</b>	<p>Procedures shall be established for consultation and communication with the relevant stakeholders.</p> <p>- <b>Major compliance</b> -</p>	<p>United Plantations Berhad had a documented Standard Operation for consultation and communication for both External &amp; Internal Communication. There is also Grievance Redressal procedure/flow chart which has steps to be followed to solve issues raised by workers.</p>	Yes
<b>4.2.2.2</b>	<p>The management shall nominate management officials at the operating unit responsible for issues related to <i>indicator 1</i>.</p> <p>- <b>Minor compliance</b> -</p>	<p>The officer-in-charge for Mill was the Group Engineer Mr P. Rajasegaran. As per appointment letter dated 29.03.2018, he was responsible to commit and implement the sustainability concepts outline in RSPO, RSPO NEXT and MSPO P&amp;Cs.</p>	Yes
<b>4.2.2.3</b>	<p>A list of stakeholders, records of all consultation and communication and records of action taken in response to input from stakeholders shall be properly maintained.</p> <p>- <b>Major compliance</b> -</p>	<p>Stakeholder’s list for Jendarata POM including all the internal and external party such as Committees of NUPW, OSHA, Temple, Mosque, Guest Workers Welfare and School Headmasters, BSN Bank, NGOs and Government Agencies and others as updated on 10/4/2019.</p>	Yes

Criterion / Indicator		Assessment Findings	Compliance
<b>Criterion 4.2.3 – Traceability</b>			
<b>4.2.3.1</b>	The management shall commit itself to implement and maintain the requirements for the traceability and shall establish a standard operation procedure for traceability.  - <b>Major compliance</b> -	Jenderata POM is receiving FFB mainly from Jenderata & Seri Pelangi Estate and no outside FFB supplier. Jenderata has the SOP on Traceability dated 17.04.2018.	Yes
<b>4.2.3.2</b>	The management shall conduct regular inspections on compliance with the established traceability system.  - <b>Major compliance</b> -	Regular inspection is done through internal audit as mentioned in Criterion 4.2.1.	Yes
<b>4.2.3.3</b>	The management shall identified and assign suitable employees to implement and maintain traceability system.  - <b>Minor compliance</b> -	The responsible personal for the traceability is the Mr Goh as the overall person in charge for MSPO in the mill.	Yes
<b>4.2.3.4</b>	Records of storage, sales, delivery or transportation of crude palm oil and palm kernel shall be maintained.  - <b>Major compliance</b> -	Records of CPO & PK delivery to refinery and KCP were well maintained in various documents such as mill’s weighing bridge ticket, DO/DN and mill’s weighbridge ticket. The daily input data then will be keyed in excel sheet. The sheet among others has the, DO number, weighbridge ticket no., quantity and date of delivery.	Yes
<b>4.3 Principle 3: Compliance to legal requirements</b>			
<b>Criterion 4.3.1 – Regulatory requirements</b>			
<b>4.3.1.1</b>	All operations shall be in compliance with applicable local, state, national and ratified international laws and regulations.	Jendarata POM had continued to comply with the legal requirements as per indicator. Compliance to each applicable law	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator	Assessment Findings	Compliance
<p><b>- Major compliance -</b></p>	<p>and regulation is monitored by the operating units and HRESH team. The mill had obtained and renewed license and permits as required by the law. Monitoring was documented in Summary of Permit and License FY 2019.</p> <p>Sample of licenses or permit viewed were:</p> <ul style="list-style-type: none"> <li>i. DOE license, Compliance Schedule no: 004233 valid till 30 June 2019. Method of disposal, land application and watercourse. BOD @ 5000 mg/l for land disposal and 100 mg/l for watercourse.</li> <li>ii. Private water supply, permit no. 2018/007 valid 13/12/2018 till 12/12/2020</li> <li>iii. MPOB License; no: 508108704000 valid till 31/3/2020</li> <li>iv. Barangan Kawalan berjadual, Permit no. A035961 valid from 30/10/2018 till 29/10/2019</li> <li>v. Competent person               <ul style="list-style-type: none"> <li>a. CePSWAM – certificate no. CePSWAM/02020</li> <li>b. AGTES – Permit no. HQ/14/AGTES/00/2171</li> <li>c. Authorized Entrant and Standby Person for Confine Space                   <ul style="list-style-type: none"> <li>- NW-PNG-AE-R-0983-Q</li> <li>- NW-PNG-AE-1986-P</li> <li>- NW-PNG-AE-1990-P</li> </ul> </li> </ul> </li> </ul>	
<p><b>4.3.1.2</b> The management shall list all relevant laws related to their operations in a legal requirements register.</p>	<p>Jendarata Palm Oil mill has Implemented the established documented system for identifying, accessing, tracking and monitoring of compliance with the legal requirements that were</p>	<p>Yes</p>

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
	- <b>Major compliance</b> -	<p>applicable to them. A Legal and Other Requirements Register was established and updated on 08.06.2018</p> <p>The LORR had included the following requirements:</p> <ul style="list-style-type: none"> <li>a) Environmental Quality Act 1974</li> <li>b) Factories and Machinery Act 1967</li> <li>c) Occupational Safety and Health Act 1994</li> <li>d) Worker's Minimum Standards of Housing and Amenities Act 1990)</li> <li>e) Minimum Wages Order 2018</li> </ul>	
<b>4.3.1.3</b>	<p>The legal requirements register shall be updated as and when there are any new amendments or any new regulations coming into force.</p> <p>- <b>Major compliance</b> -</p>	<p>The legal requirements register was updated as and when there were any new amendments or any new regulations coming into force. It has the information about the requirements of law, applicability to plantation industry, status of compliance, accountability &amp; responsibility and enforcing agency. The latest update was on 08.06.2018 where by 'Guideline for manual handling in workplace' was added.</p>	Yes
<b>4.3.1.4</b>	<p>The management should assign a person responsible to monitor compliance and to track update the changes in regulatory requirements.</p> <p>- <b>Minor compliance</b> -</p>	<p>The management had assigned the Group Manager, HRESH Department, Mr. Mathews as the person responsible to monitor compliance and to track update the changes in regulatory requirements.</p> <p>Noted during document review, Boiler Overhauled was conducted on 24 – 25/3/2019. It was noted that the contractor supervisor who appointed as standby person on that particular day was not registered as competent person for Authorized Entrant and Standby</p>	Minor NC

Criterion / Indicator		Assessment Findings	Compliance
		Person for Confine Space required OSH Act 1994, Industry Code of Practice for Safe Working in a Confined Space, 2010 in the Mill Standard Operating Procedure Established. This show that the compliance to the regulatory requirements was not effectively monitored.	
<b>Criterion 4.3.2 – Lands use rights</b>			
<b>4.3.2.1</b>	The management shall ensure that their oil palm milling activities do not diminish the land use rights of other users.  - <b>Major compliance</b> -	Jenderata Mill is located within Jenderata Estate with the total area of 6,256.82 Ha.  The land title, Grant number, No 99531/15113 for area of 416.6 Ha, registered to United Plantation Bhd on 26/02/2007 where Jenderata POM is includes in this area with estate. The usage of land is for Commodity Crop-Oil Palm.	Yes
<b>4.3.2.2</b>	The management shall provide documents showing legal ownership or lease, history of land tenure and the actual legal use of the land.  - <b>Major compliance</b> -	Jenderata Mill is located within Jenderata Estate with the total area of 6211.67 Ha The land title, Grant number, No 99531/15113 for area of 416.6 Ha, registered to United Plantation Bhd on 6/02/2007 where Jenderata POM is includes in this area with estate. The usage of land is for Commodity Crop-Oil Palm. The land was granted by Kanun Tanah Negara.	Yes
<b>4.3.2.3</b>	Legal parameter boundary markers should be clearly demarcated and visibly maintained on the ground where practicable.  - <b>Major compliance</b> -	The perimeter survey map of the land portion is provided together with the land title and verified by Misron bin Haji Yasin. The map is provided with the coordinated demarcation.	Yes
<b>4.3.2.4</b>	Where there are, or haven been disputes, documented proof of legal acquisition of land and fair compensation that have been or are being made to previous owners and occupants; shall made	Land issues (if any) will be handled by the estate.	Yes

Criterion / Indicator		Assessment Findings	Compliance
	available and that these should have been accepted with free prior informed consent (FPIC). <b>- Minor compliance -</b>		
<b>Criterion 4.3.3 – Customary rights</b>			
<b>4.3.3.1</b>	Where lands are encumbered by customary rights, the company shall demonstrate that these rights are understood and are not being threatened or reduced. <b>- Major compliance -</b>	NA. There was no land encumbered by customary rights.	Yes
<b>4.3.3.2</b>	Maps of an appropriate scale showing extent of recognized customary rights shall be made available. <b>- Minor compliance -</b>	NA. There was no land encumbered by customary rights.	Yes
<b>4.3.3.3</b>	Negotiation and FPIC shall be recorded and copies of the relevant agreements should be made available. <b>- Major compliance -</b>	NA. There was no land encumbered by customary rights.	Yes
<b>4.4 Principle 4: Social responsibility, health, safety and employment condition</b>			
<b>Criterion 4.4.1: Social Impact Assessment (SIA)</b>			
<b>4.4.1.1</b>	Social impacts should be identified and plans should be implemented to mitigate the negative impacts and promote the positive ones. <b>- Minor compliance -</b>	The Social Risk Assessment (SRAOM) and Review Plan-Social Risk Assessment (SRA) 2018 was conducted for Jenderata Mill & Estate internally and annually by the Internal Management involving all stakeholders. The latest SIA was conducted in 24th March 2018.	Yes



**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
		<p>Key areas identified in the SIA was particularly on weighbridge/FFB reception, sterilizers, crane/stripping stations and others. The recommendation from the SIA report was transferred to action plan Social Risk Assessment (SRA) 2018. The action plan identified the issues &amp; strategies, action plan, responsible person and time frame. Positive impacts were also identified and recorded in the SIA report. To name a few among the positive impacts identified were:</p> <ul style="list-style-type: none"> <li>- Certificate of competency at boiler house operation</li> <li>- availability of crèche, kindergarten and primary school</li> <li>- upgrade of amenities in school</li> <li>- educational financial assistance for workers' children</li> <li>- old folks home facilities for UP ex-employees</li> </ul>	
<b>Criterion 4.4.2: Complaints and grievances</b>			
<b>4.4.2.1</b>	<p>A system for dealing with complaints and grievances shall be established and documented.</p> <p><b>- Major compliance -</b></p>	<p>United Plantations Berhad had a documented Standard Operation Procedure for both External &amp; Internal Communication. There is also Grievance Redressal procedure/flow chart which has steps to be followed to solve issues raised by workers.</p>	Yes
<b>4.4.2.2</b>	<p>The system shall be able to resolve dispute in an effective, timely and appropriate manner, which is accepted by all parties.</p> <p><b>- Major compliance -</b></p>	<p>The established system was to resolve dispute in an effective, timely and appropriate manner, which was accepted by all parties. The time frame to provide feedback to the complainant/stakeholder is documented to be a maximum of 24 days for internal and 30 days for external complaint.</p>	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
		<p>Verified the Registry of Complaints book recording all the feedback and request from stakeholders, together with its completion date.</p> <p>Nonetheless, ever since the last assessment, there were no complaints lodged other than for maintenance and house repairs made by workers.</p>	
<b>4.4.2.3</b>	<p>A complaint form should be made available at the premises, where employees and affected stakeholders can make complaints.</p> <p><b>- Minor compliance -</b></p>	<p>United Plantation Berhad had established a Complain/Request form which was available at all offices. Suggestion boxes were placed at offices.</p> <p>A Registry of Complaints book is made available in the office. In case complainants wanted anonymity, they could email the complaint directly to the company secretary. This information is available in United Plantation Website and suggestion box in mill office.</p>	Yes
<b>4.4.2.4</b>	<p>Employees and surrounding communities should be made aware of its existence and that complaints or suggestions may be made at any time.</p> <p><b>- Minor compliance -</b></p>	<p>Interview with workers confirmed their understanding of the complaint and grievance process. During stakeholder's consultation, it was verified that the stakeholders from internal and external were aware on the complaint channel to United Plantations Berhad. There was no grievance recorded ever since the last assessment. The request mainly on donation and housing repairs.</p> <p>External communities were made aware of complaint system through the stakeholder's consultation which is through website, suggestion box or write a letter to the management.</p>	Yes
<b>4.4.2.5</b>	<p>Complaints and solutions within the past 24 months shall be documented and be made available to affected stakeholders upon request.</p>	<p>Records of complaints since early 2018 were still well maintained and available for verification.</p>	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator	Assessment Findings	Compliance	
- Major compliance -			
<b>Criterion 4.4.3:</b> Commitment to contribute to local sustainable development			
<b>4.4.3.1</b>	Palm oil miller should contribute to local development in consultation with the local communities. Where the mill is an integral part of plantation, such contribution to local community development may be regarded as a joint effort by the mill and the plantation.  - Minor compliance -	Contribution to local development is mainly made by UP as a group based on consultation with the local communities. Where the mill is an integral part of plantation, such contribution. The contributions were included in the company's annual report. To name a few, based on the 2018 report, among the contributions maintained were: <ul style="list-style-type: none"> <li>- providing religious worship facilities</li> <li>- fostering goodwill amongst local communities through sports</li> <li>- financial contribution to various aspects such as</li> <li>- retirement Benevolent fund</li> <li>- Education, welfare, scholarship &amp; other</li> <li>- Bus subsidy for school children</li> <li>- external donations</li> <li>- environment friendly operational activities</li> <li>- environment friendly project (biogas, biomass, others)</li> </ul>	Yes
<b>Criterion 4.4.4:</b> Employees safety and health			
<b>4.4.4.1</b>	An occupational safety and health policy and plan which is in line with Occupational Safety and Health Act 1994 and Factories and	United Plantation Berhad has established Safety and Health Policy signed by the Chief Executive Director dated 18/8/2017. The policy was communicated to all the employees through training, briefing	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator	Assessment Findings	Compliance
<p>Machinery Act 1967 (Act 139) shall be documented, effectively communicated and implemented.</p> <p><b>- Major compliance -</b></p>	<p>and displayed at notice board in several designated location in multi-lingual version (English, Bahasa Malaysia, Bengali, Hindi and Nepal).</p> <p>Jenderata Mill has established Safety and Health Plan. Sighted the implementation of the plan as follows:</p> <p>i. Annual LEV monitoring was carried out on 28/12/17 by registered industrial hygiene technician 2, HQ/18/JHII/00/00014 from Chemviro enterprise. The system installed at laboratory was in compliance with ACGIH and USECHH Regulation 2000 requirements on ducting velocity. Refer to report, HQ/18/JHII/00/00014-2019/020 dated 1 March 2019.</p> <p>ii. The latest audiometric testing was carried out on 8 April 2019 for total of 58 workers for Jendarata POM. Report, dated 24/5/19 was verified. Total of 1 workers reported with hearing impairment. Further check with ENT doctor was done on June 2019. Hearing conservation training done on 31 May 2019 by Chemviro Enterprise for 1 person.</p>	
<p><b>4.4.4.2</b> The occupational safety and health plan should cover the following:</p> <p>a) A safety and health policy, which is communicated and implemented.</p> <p>b) The risk of all operations shall be assessed and documented.</p> <p>c) An awareness and training programme which includes the following requirements for employees exposed to chemicals used at the palm oil mill:</p>	<p>United Plantation Berhad has established Safety and Health Policy signed by the Chief Executive Director dated 18/8/2017. The policy was communicated to all the employees through training, briefing and displayed at notice board in several designated location in multi-lingual version (English, Bahasa Malaysia, Bengali, Hindi and Nepal).</p>	<p>Yes</p>

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator	Assessment Findings	Compliance
<ul style="list-style-type: none"> <li>i. All employees involved are adequately trained on safe working practices;</li> <li>ii. All precautions attached to products should be properly observed and applied;</li> <li>d) The management shall provide the appropriate PPE at the place of work to cover all potentially hazardous operations as identified in the risk assessment and control such as Hazard Identification, Risk Assessment and Risk Control (HIRARC).</li> <li>e) The management shall establish Standard Operating Procedure for handling of chemicals to ensure proper and safe handling and storage in accordance to Occupational Safety Health (Classification Packaging and Labeling) Regulation 1997 Occupational Safety Health (Use and Standard of Exposure of Chemical Hazardous to Health) Regulation 2000.</li> <li>f) The management shall appoint responsible person(s) for workers' safety and health. The appointed person(s) of trust shall have knowledge and access to latest national regulations and collective agreements.</li> <li>g) The management shall conduct regular two-way communication with their employees where issues that affect their business such as those related to employees' safety, health and welfare are discussed openly. Records from such meeting shall be kept ant the concerns of employees and any remedial actions taken shall be recorded.</li> <li>h) Accident and emergency procedures shall exist and instructions shall be clearly understood by all employees.</li> </ul>	<p>The mill has conducted risk assessment for all main and support operations in the mill and documented in the HIRARC register. The HIRARC was reviewed and minimum of once a year or if accident occurred. . Latest review of HIRARC was done 17 March 2019 for the latest accident involved at Boiler area.</p> <p>The mill established training program for all type of work includes the employee exposed to chemical. The training was conducted by the Manager, Asst. Manager, Executives or Chemical Supplier with knowledge in the chemicals handling. Additionally, Personal Chemical Exposure Monitoring for Biogas plant operator was carried out on 1 March 2019 for Methane and Hydrogen Sulphide exposure. Based on the results, Permissible Exposure Limit (PEL) for the above chemical is below the limit as stipulated under USECHH Regulation 2000. HQ/17/JHI/00/00012-2019/015. For hexane and chromium in Lab referred report HQ/17/JHI00/00012-2019/016, result show not detected.</p> <p>Records were available of PPE issued to individual workers and contractors, including signatures to confirm receipt. PPE standard is based on CHRA assessor's recommendation, SOP and HIRARC.</p> <p>The mill has established Safety and Health committee led by the Mill Manager as Chairman. The chairman has appointed the safety and health committee consist of management and employee representatives. The committee conducted the meetings on quarterly basis to discuss issues regarding safety and health. Latest meeting was conducted on on 27/3/2019 and 31/12/2018.</p>	

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator	Assessment Findings	Compliance
<p>i) Employees trained in First Aid shall be present at all mill operations. First Aid equipment should be available at each worksite.</p> <p>j) Records shall be kept of all accidents and be reviewed periodically at quarterly intervals.</p> <p><b>- Major compliance -</b></p>	<p>Accident and emergency procedures had been written and briefed to staff, workers, contractors and visitors. Emergency Response Team incorporated under OSH organization chart for 2019. Workers trained in firefighting, rescue method and prepared for the any unforeseen circumstances. Latest firendrill training was conducted on 11/4/2019.</p> <p>First aid box were available at few stations in the mill. Noted during interview with the workers shows awareness on the locations and basic first aid treatment. Latest training was conducted on 27/5/2019.</p> <p>The mill maintain all accident records in JKKP form 6, 7 and 8. Records on Lost Time Accident (LTA) metrics was maintained and based on JKKP 6, 7 &amp; 8. JJKP 8 for was submitted to DOSH on annually basis. All accident cases was reviewed during OSH Committee meeting conducted on quarterly basis.</p>	
<p><b>Criterion 4.4.5: Employment conditions</b></p>		
<p><b>4.4.5.1</b> The management shall establish a policy on good social practice regarding human rights in respect of industrial harmony. The policy shall be signed by the top management and communicated to the employees.</p> <p><b>- Major compliance -</b></p>	<p>Jenderata Mill implemented their Human Rights Policy, signed by Dato' Carl Bek-Nielsen on 18.8.17. The management is treated the workers with respect and dignity. Awareness of the Policy was given to the workers through training and briefing. The policy was also displayed on notice board.</p>	<p>Yes</p>
<p><b>4.4.5.2</b> The management shall not engage in or support discriminatory practices and shall provide equal opportunity and treatment regardless of race, colour, sex, religion, political opinion, nationality, social origin or any other distinguishing characteristics.</p>	<p>The management is committed to treat all employees fairly in terms of recruitment, progression, terms and conditions of work and representation regardless of race, caste, nationality, gender, sexual orientation, union membership, political view, religion and/or age.</p>	<p>Yes</p>

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
	- Major compliance -	Interviewed with the workers with different nationalities found that no discrimination has occurred in the estate. They were treated equally and no bias on job offered. Consultation with the external stakeholders also reveal that there has been no such discrimination.	
4.4.5.3	<p>Management shall ensure that employees' pay and conditions meet legal or industry minimum standards as per Collective Agreements. The living wage should be sufficient to meet basic needs and provide some discretionary income based on minimum wage.</p> <p>- Major compliance -</p>	<p>All the workers are under direct employment. The pay slip has the information about basic income, allowance pay, working days, medical leave, overtime, attendance on rest/public holiday and deduction of salary and others as per employment contract. The payroll for the following sampled workers for May 2019 and Dec 2018 were verified to be consistent with the Minimum Wages Order 2019 and employment conditions. There were 6 workers' pay slips sampled i.e. workers # 20013, 30436, 30424, 30482, 30475 and 30433.</p> <p>There was no records or complaint observed during the interview with workers. All the sampled workers for direct employment and contract workers were achieved the minimum wage accordance to Minimum Wage Order 2018 which achieved RM1,100/month or RM42.31/day.</p>	Yes
4.4.5.4	<p>Management should ensure employees of contractors are paid based on legal or industry minimum standards according to the employment contract agreed between the contractor and his employee.</p> <p>- Minor compliance -</p>	There is no contractor workers employed in Jenderata Mill.	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
4.4.5.5	<p>The management shall establish records that provide an accurate overview of all employees (including seasonal workers and subcontracted workers on the premises). The records should contain full names, gender, date of birth, date of entry, a job description, wage and the period of employment.</p> <p><b>- Major compliance -</b></p>	<p>There is a list of workers where information such as date of birth, date joined, gender, type of works and others that available at each operating unit.</p>	Yes
4.4.5.6	<p>All employees shall be provided with fair contracts that have been signed by both employee and employer. A copy of employment contract shall be made available for each and every employee indicated in the employment records.</p> <p><b>- Major compliance -</b></p>	<p>The following contracts has been verified to confirm that workers have binding working agreement with the company i.e. workers # 20013, 30436, 30424, 30482, 30475 and 30433.</p>	Yes
4.4.5.7	<p>The management shall establish a time recording system that makes working hours and overtime transparent for both the employees and employers.</p> <p><b>- Major compliance -</b></p>	<p>There is thumb print system &amp; face recognition for Jendarata POM to records the accurate working hours and overtime and recorded in Jenderata TMS Master Report. The terms of employment is as per MAPA/NUPW.</p>	Yes
4.4.5.8	<p>The working hours and breaks of the individual worker indicated in the time records shall comply with legal regulations and collective agreements. Overtime shall be mutually agreed upon and shall meet the legal requirements applicable.</p> <p><b>- Major compliance -</b></p>	<p>There is thumb print system for Jendarata POM to records the accurate working hours and overtime and recorded in Jendarata TMS Master Report.</p> <p>In case the worker is on leave or absent, it is recorded in the same system.</p>	Yes
4.4.5.9	<p>Wages and overtime payment documented on the pay slips shall be in line with legal regulations and collective agreements.</p>	<p>Verification of payslips showed that the wages and overtime were in line with legal requirements of Employment Act 1955 and worker's employment contract.</p>	Yes



**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
	- Major compliance -		
4.4.5.10	Other forms of social benefits should be offered by the employer to employees, their families or community such as incentives for good work performance, bonus payment, support of professional development, medical care provisions and improvement of social surroundings.  - Minor compliance -	Among the social benefits provided to employees were clinic & medical facilities, shift allowance, food allowance and long service award.	Yes
4.4.5.11	In cases where on-site living quarters are provided, these quarters shall be habitable and have basic amenities and facilities.  - Major compliance -	The basic amenities and facilities at the quarters provided by the company to its workers includes electricity, water and domestic waste disposal. Electricity and water were supplied by the government. Usage of electricity and water given with subsidised rate for the workers contract.  During the line-site visit, it was observed that the housing are in good conditions. For local workers with family, each will be given a house while for foreign workers for single workers, it will be given shared house of 6 person with 3 bedroom each per house.  Line-site inspection record is available	Yes
4.4.5.12	The management shall establish a policy to prevent all forms of sexual harassment and violence at the workplace.  - Major compliance -	Gender Policy signed by Dato Carl Bek-Nielsen, dated 24.4.15 mentioned that the company endeavour to prevent sexual harassment and all other forms of violence against women and workers in the workplace or in the course of an employee's work. Awareness was created through various method such as training and briefing.	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator	Assessment Findings	Compliance
<p><b>4.4.5.13</b> The management shall respect the right of all employees to form and join trade union and allow workers’ own representative(s) to facilitate collective bargain in accordance with applicable laws and regulations. Employees shall be given freedom to join trade unions relevant to the industry or organize themselves for collective bargaining. Employees shall have the right to organize and negotiate their work conditions. Employees exercising this right should not be discriminated against or suffer repercussions.</p> <p><b>- Major compliance -</b></p>	<p>During the interview with workers, there are no evidence received that there are restriction from the company to allow workers to join trade union. The workers have their freedom to join the NUPW/MAPA union but in Jenderata POM, the workers has form internal worker’s union. When meeting is held by NUPW, representatives from the mill were also invited to participate [ref.: letter from NUPW, #NUPW/PK/2/2019, dated 1/2/2019].</p>	<p>Yes</p>
<p><b>4.4.5.14</b> Children and young persons shall not be employed or exploited. The minimum age shall comply with local, state and national legislation.</p> <p><b>- Major compliance -</b></p>	<p>The Human Rights Policy was established since 23 March 2013 signed by Dato Carl Bek-Nielsen. The Policy covers the commitment to not condone forced labour or child labour who under 16 years old. Nonetheless, based on the workers registry which has the information about date of birth and date of join, there was no children and young person recruited.</p>	<p>Yes</p>
<p><b>Criterion 4.4.6: Training and competency</b></p>		
<p><b>4.4.6.1</b> All employees and contractors shall be appropriately trained. A training programme shall include regular assessment of training needs and documentation, including records of training.</p> <p><b>- Major compliance -</b></p>	<p>The mill has established training program for all management, employee and contractors as per training need analysis conducted. The training records has been maintained and available for review. Sighted the training records as follows:</p> <ul style="list-style-type: none"> <li>i. Hearing Protection Training dated 31/6/2019</li> <li>ii. LOTO Training dated 20/2/2019</li> <li>iii. PPE usage Training dated 23/1/2019</li> </ul>	<p>Yes</p>

Criterion / Indicator		Assessment Findings	Compliance
4.4.6.2	<p>Training needs of individual employees shall be identified prior to the planning and implementation of the training programmes in order to provide the specific skill and competency required to all employees based on their job description.</p> <p><b>- Major compliance -</b></p>	<p>The mill has conducted training need analysis to identify the training required for each workers. The analysis was conducted base on job designation and type of training required.</p>	Yes
4.4.6.3	<p>A continuous training programme shall be planned and implemented to ensure that all employees are well trained in their job function and responsibility in accordance to the documented training procedure.</p> <p><b>- Minor compliance -</b></p>	<p>The mill reviewed the training need analysis and program on annually basis to ensure the continuous training for all workers. Training program and records was maintained and available for review.</p>	Yes
<b>4.5 Principle 5: Environment, natural resources, biodiversity and ecosystem services</b>			
<b>Criterion 4.5.1: Environmental Management Plan</b>			
4.5.1.1	<p>An environmental policy and management plan shall be in line with the relevant country and state environmental laws shall be established, effectively communicated and implemented.</p> <p><b>- Major compliance -</b></p>	<p>United Plantations Berhad (UPB) has established a public policy on environmental and biodiversity. The policy incorporated the element of no deforestation. The latest version of policy dated 18/8/2017 was signed by UPB's Chief Executive Director, Dato' Carl Bek-Nielsen.</p>	Yes
4.5.1.2	<p>The environmental management plan shall cover the following:</p> <ul style="list-style-type: none"> <li>a) An environmental policy and objectives;</li> <li>b) The aspects and impacts analysis of all operations</li> </ul> <p><b>- Major compliance -</b></p>	<p>The mill conducted the aspects and impacts analysis and documented in the Environmental Risk Assessment. The analysis was reviewed on annually basis. Latest review was conducted on 10/4/2019 by the Social and Environmental Committee and summarize in the Review Plan - Environmental Risk Assessment 2019.</p>	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator	Assessment Findings	Compliance
	<p>Base on the Environmental Risk Assessment conducted, the mill has established Environmental Action Plan. The plan stated the Workstation/Issue, person responsible, targeted date, resource and status.</p>	
<p><b>4.5.1.3</b></p> <p>An environmental improvement plan to mitigate the negative impacts and to promote the positive ones, shall be developed, implemented and monitored.</p> <p><b>- Major compliance -</b></p>	<p>The mill has established Environmental Action plan base on the Environmental Risk Assessment conducted. The Action plan was reviewed on annually basis.</p> <p>Sighted the implementation of the management plan as follows:</p> <ul style="list-style-type: none"> <li>i. Sighted during site visit, the SW was stored in designated store, with containment bund and under lock and key.</li> <li>ii. Scheduled waste inventory was recorded in Scheduled Waste Log Book before submitted to DOE through E-SWISS Fifth Schedule.</li> <li>iii. Latest desludging of effluent pond was conducted form Feb – Aug 2018. Sighted the notification letter to DOE dated 30/1/2018 and approve by DOE as per letter dated 13/2/2018. Refer letter ref. no. ASB(A)31/152/000/015.</li> <li>iv. The mill has installed oil trap with filter media at the workshop. The filter media contain fiber and charcoal.</li> </ul> <p>During site visit at the Parameter Drain it was noted that the mill has constructed a trap to capture any oil from the mill operation. However, it was noted that there was evidence of oil overflow from the trap to the drain. In the Environmental Action Plan Stated the mill to ensure all the waste water going out into the monsoon drain if free from pollution. This shows that the Environmental Action Plan is not effectively monitored.</p>	<p>Minor NC</p>

Criterion / Indicator		Assessment Findings	Compliance
4.5.1.4	<p>A programme to promote the positive impacts should be included in the continual improvement plan.</p> <p><b>- Minor compliance -</b></p>	<p>The continual improvement plan towards recycling of waste was sighted. Among program that has been implemented:</p> <ul style="list-style-type: none"> <li>11. Zero Burn Replanting Policy</li> <li>12. Empty Fruit Bunch Use by Estates</li> <li>13. POME USE – by the Estate</li> <li>14. Empty Fertilizer Bags Utilization</li> <li>15. Scrap Metal Sold – JENDERATA Estates</li> <li>16. Spent Batteries/Dispatches to Waste Manager</li> <li>17. Spent Lubricants/Dispatches to Waste Manager</li> <li>18. Spent Fuel Filters/Dispatched to Waste Manager</li> <li>19. Triple Rinse Pesticide Containers sent to Waste Manager</li> <li>20. Clinical and Domestic Waste Disposal</li> </ul>	Yes
4.5.1.5	<p>An awareness and training programme shall be established and implemented to ensure that employees understand the policy, objectives and management plans and are working towards achieving objectives.</p> <p><b>- Major compliance -</b></p>	<p>The mill has established training programs that covered aspects of the MSPO &amp; RSPO requirements, with regular assessments of training needs. The training on RSPO &amp; MSPO awareness included on the policy and objectives of the environmental management and improvement plans.</p>	Yes
4.5.1.6	<p>The management shall organize regular meetings with workers where concerns of workers about the environmental quality are discussed.</p> <p><b>- Major compliance -</b></p>	<p>The management conducted meeting to discuss the environmental quality ion annually basis. Sighted the latest minutes meeting of UP Group Sustainability Committee conducted on 17/4/2019.</p>	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
		The mill has also conducted stakeholder consultation session for SIA and EIA to discuss the environmental issue with the employee and stakeholders. Latest meeting was conducted on 10/4/2019	
<b>Criterion 4.5.2:</b> Efficiency of energy use and use of renewable energy			
<b>4.5.2.1</b>	Consumption of non-renewable energy shall be optimized and closely monitored by establishing baseline values and trends shall be observed within appropriate timeframe. There should be a plan to assess the usage of non-renewable energy including fossil fuel, electricity in the operations over the base period  - <b>Major compliance</b> -	The monitoring of non-renewable energy usage was conducted on monthly basis. Diesel usage FY 2018 recorded at total of 50929 Liter.	Yes
<b>4.5.2.2</b>	The oil palm premises shall estimate the direct usage of non-renewable energy for their operations, including fossil fuel, and electricity to determine energy efficiency of their operations. This shall include fuel use by contractors, including all transport and machinery operations.  - <b>Major compliance</b> -	The estimate for the direct usage of nonrenewable energy for their operations, including fossil fuel, and electricity to determine energy efficiency of their operations inclusive of fuel use by contractors, including all transport and machinery operations was available in the respective estate yearly budgets.	Yes
<b>4.5.2.3</b>	The use of renewable energy should be applied where possible.  - <b>Minor compliance</b> -	Renewable energy used is from biofuel (shell and fiber) for boiler start-up. The use of renewable energy was from the methane capturing @ biogas plant. The biogas plant generates electricity to supply to the national grid has helped the Jenderata POM to improve the efficiency of fossil fuel consumption.  Sighted the records of Renewable Energy Used, GJ per ton CPO as FY 2018 follows:	Yes

Criterion / Indicator		Assessment Findings		Compliance
		By Product	Renewable Energy Used, GJ per ton CPO	
		Fibre	5.62	
		Shell	4.66	
		Biogas	2299.76	
<b>Criterion 4.5.3:</b> Waste management and disposal				
<b>4.5.3.1</b>	All waste products and sources of pollution shall be identified and documented.  - <b>Major compliance</b> -	The mill had identified all waste products and its source of pollution and documented in Types of Waste Products and Method of Disposal. The waste identified as follows:  i. Domestic waste – rubbish from the mill complex and employees quarters (disposed by estate management).  ii. Recycled waste – Fibre, palm kernel shell, boiler ash, scrap iron iii. Scheduled waste – Spent IPA, hexane, filter, lubricants, hydraulic oil, grease, used batteries		Yes
<b>4.5.3.2</b>	A waste management plan shall be developed and implemented, to avoid or reduce pollution. The waste management plan should include measure for:	The mill has established waste management plan base on the waste identified and documented in Types of Waste Products and Method		Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
	a) Identifying and monitoring sources of waste and pollution. b) Improving the efficiency and recycling potential of mill by-products by converting them into value-added products. <b>- Major compliance -</b>	of Disposal, Action Plan to Reduce Waste. Sighted the implementation of the management plan as follows: i. Scheduled waste inventory was recorded in Inventory of Scheduled Waste form before submitted to DOE through E-SWISS Fifth Schedule. ii. Fiber and Kernel were used as boiler fuel. iii. The scrap iron was sell to recycler. As at May 2019, 170.64 ton of scrap iron sold to the buyer.	
<b>4.5.3.3</b>	The palm oil mill management shall establish Standard Operating Procedure for handling of used chemicals that are classified under Environmental Quality Regulations (Scheduled Waste) 2005, Environmental Quality Act, 1974 to ensure proper and safe handling, storage and disposal. Scheduled waste shall be disposed as per Environmental Quality Act 1974 (Scheduled Waste) Regulations, 2005 <b>- Major compliance -</b>	The estate and mill has established flow chart for Scheduled Waste Handling for all scheduled waste generated such as SW 102, SW 305, SW 410, SW 409 and SW 404. The SW handling as per regulation. The mill also have a proper Scheduled Waste Store for storing scheduled waste until time of disposal by DOE authorized waste disposal contractor. Stores for scheduled waste were inspected at both estate visited and disposal was done by scheduled waste disposal company authorized and licensed by Department of Environment. Sighted the disposal records for SW generated as follows:	Yes
<b>4.5.3.4</b>	Domestic waste should be disposed as such to minimize the risk of contamination of the environment and watercourse. <b>- Minor compliance -</b>	Domestic waste was manage by the Jenderata Estate	Yes
<b>Criterion 4.5.4:</b> Reduction of pollution and emission			



**MSPO Public Summary Report  
Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
4.5.4.1	<p>An assessment of all polluting activities shall be conducted, including greenhouse gas emissions, particulate and soot emissions, scheduled wastes, solid wastes and effluent.</p> <p><b>- Major compliance -</b></p>	<p>The mill conducted assessment on all polluting activities during aspects and impacts analysis and documented in the Environmental Risk Assessment. The analysis was reviewed on annually basis. Latest review was conducted on 10/4/2019.</p>	Yes
4.5.4.2	<p>An action plan to reduce identified significant pollutants and emissions shall be established and implemented.</p> <p><b>- Major compliance -</b></p>	<p>Action plan to reduce significant pollutants and emissions were been established and implemented. For example, for GHG emission reduction plan, FIT project has started since 21st November 2016 for generation of green energy.</p> <p>Sighted the implementation of the management plan as follows:</p> <p>i. Observed the stack emission monitoring conducted twice a year and submitted Dept. of Environmental as follows:</p> <p>1<sup>st</sup> half 2018</p> <ul style="list-style-type: none"> <li>- Report no.: RT033/2018/031</li> <li>- Report date: 23/4/2018</li> <li>- Result: 0.2641 g/m3 @ dry@ 12% CO2</li> </ul> <p>2<sup>nd</sup> half 2018</p> <ul style="list-style-type: none"> <li>- Report no.: RT033/2018/105</li> <li>- Report date: 21/11/2018</li> <li>- Result: 117 mg/m3 @ dry@ 12% CO2</li> </ul>	Yes

Criterion / Indicator	Assessment Findings	Compliance																					
<p><b>4.5.4.3</b> Palm oil mill effluent (POME) shall be treated to ensure compliance with standards as stipulated in the relevant Environmental Quality (Prescribed Premises) (Crude Palm Oil) Regulations 1977. POME discharge limits and method should be in accordance with the respective state and national policies and regulations.</p> <p><b>- Major compliance -</b></p>	<p>Effluent generated were disposed through land application as prescribed under "Jadual Pematuhan" no. 004233.</p> <p>Regular monitoring was done on monthly basis and every quarterly via "Borang Penyata Suku Tahun" to DOE for compliance.</p> <p>Noted the following 1<sup>st</sup> quarter report submitted to DOE as follows:</p> <p>1<sup>st</sup> quarter</p> <table border="1" data-bbox="1211 799 1744 1391"> <thead> <tr> <th>Month</th> <th>Parameter</th> <th>Results</th> </tr> </thead> <tbody> <tr> <td rowspan="4">Jan</td> <td>BOD</td> <td>446</td> </tr> <tr> <td>pH</td> <td>8.49</td> </tr> <tr> <td>S. Solid</td> <td>181</td> </tr> <tr> <td>Discharge</td> <td>320.1</td> </tr> <tr> <td rowspan="4">Feb</td> <td>BOD</td> <td>648</td> </tr> <tr> <td>pH</td> <td>8.68</td> </tr> <tr> <td>S. Solid</td> <td>705</td> </tr> <tr> <td>Discharge</td> <td>327.83</td> </tr> </tbody> </table>	Month	Parameter	Results	Jan	BOD	446	pH	8.49	S. Solid	181	Discharge	320.1	Feb	BOD	648	pH	8.68	S. Solid	705	Discharge	327.83	<p>Yes</p>
Month	Parameter	Results																					
Jan	BOD	446																					
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	pH	8.68																					
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	Discharge	327.83																					

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings				Compliance
			Mar	BOD	583	
				pH	8.83	
				S. Solid	444	
				Discharge	358.63	
<b>Criterion 4.5.5:</b> Natural water resources						
<b>4.5.5.1</b>	<p>The management shall establish water management plans to maintain the quality and availability of natural water resources (surface and ground water). The water management plan may include:</p> <ul style="list-style-type: none"> <li>a) Assessment of water usage and sources.</li> <li>b) Monitoring of outgoing water which may have negative impacts into the natural waterways at a frequency that reflects the mill's current activities.</li> <li>c) Ways to optimize water and nutrient usage and reduce wastage (<i>e.g.</i> having in place systems for re-use, night application, maintenance of equipment to reduce leakage, collection of rainwater, etc.).</li> </ul> <p><b>- Major compliance -</b></p>	<p>The mill has established and documented the water management plan. Sighted the implementation of the water management plan as follows:</p> <p>The monitor the water consumption on monthly basis. Sighted the water consumption monitoring records FY 2018 as follows:</p>				Yes
				Month	Water Consumption	
				Jan 18	1.65	
				Feb 18	1.61	
				Mar 18	1.51	
				Apr 18	1.44	

**MSPO Public Summary Report  
Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings			Compliance						
		May 18	1.76								
		Jun 18	1.76								
		July 18	1.79								
		Aug 18	1.52								
		Sep 18	1.78								
		Oct 18	1.77								
		Nov 18	1.81								
		Dec 18	1.79								
		Average	1.69								
		<p>River water sampling were conducted once a year. Latest sampling was conducted on 5-6/10/2018. The water sampling result as follows:</p> <table border="1"> <thead> <tr> <th>Sampling Point</th> <th>Sabak Bernam Bridge, Sg. Bernam</th> <th>Setiawan Bridge, Sg. Perak</th> </tr> </thead> <tbody> <tr> <td>Water Quality Class</td> <td>IV</td> <td>IV</td> </tr> </tbody> </table>			Sampling Point	Sabak Bernam Bridge, Sg. Bernam	Setiawan Bridge, Sg. Perak	Water Quality Class	IV	IV	
Sampling Point	Sabak Bernam Bridge, Sg. Bernam	Setiawan Bridge, Sg. Perak									
Water Quality Class	IV	IV									

Criterion / Indicator	Assessment Findings	Compliance
<b>4.5.5.2</b> Where open discharge of POME into water course is practiced, mills should undertake to gradually phase it out in accordance to the applicable state or national regulations. <b>- Major compliance -</b>	Effluent generated were disposed through land application as prescribed under "Jadual Pematuhan" no. 004233.  Regular monitoring was done on monthly basis and every quarterly via "Borang Penyata Suku Tahun" to DOE for compliance.	Yes
<b>4.6 Principle 6: Best Practices</b>		
<b>Criterion 4.6.1: Mill Management</b>		
<b>4.6.1.1</b> Standard operating procedures shall be appropriately documented and consistently implemented and monitored. <b>- Major compliance -</b>	JENDERATA Palm Oil Mill had maintained Standard Operating Procedure, dated 22/2/2017. Sample SOP as follow: 1. Reception Station, Section 2A 2. Fruit Handling, Section 2B 3. Sterilization, 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	Yes



**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator		Assessment Findings	Compliance
<b>4.6.1.2</b>	All palm oil mills shall implement best practices. - <b>Major compliance</b> -	The monitoring of the mill process is made through the shift supervision headed by an Engineer. All process parameters are documented and summarized in a daily report.  The CED visited the operating units on timely basis. Their reports covers on all aspect of operation.	Yes
<b>Criterion 4.6.2:</b> Economic and financial viability plan			
<b>4.6.2.1</b>	A documented business or management plan shall be established to demonstrate attention to economic and financial viability through long-term management planning. - <b>Major compliance</b> -	JENDERATA POM has established and implemented its commitment to long term sustainability and improvements through a capital expenditure program. Budget and 3 years projected management plan (2019-2021) was verified during the audit.	Yes
<b>Criterion 4.6.3:</b> Transparent and fair price dealing			
<b>4.6.3.1</b>	Pricing mechanisms for the products and other services shall be documented and effectively implemented. - <b>Major compliance</b> -	The mill does not purchase FFB from outside UP. In term of purchasing goods & services, the Store System SOP, dated Jan 2008 is used as guidance. In general practice, quotations will be obtained from several suppliers before proceeding the issuance of Purchase Order which need to be approved by the Director of Engineering. Sampled for purchasing of "steel angle line" – 5 quotations were obtained and thereafter PO (i.e. #JS 131901562, dated 22/5/2019).	Yes
<b>4.6.3.2</b>	All contracts shall be fair, legal and transparent and agreed payments shall be made in timely manner. - <b>Major compliance</b> -	Verification of contract agreement, records of payment and interview with contractors showed that contracts was fair, legal and transparent and agreed payments were made in timely manner.	Yes

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Criterion / Indicator	Assessment Findings	Compliance	
<b>Criterion 4.6.4:</b> Contractor			
<b>4.6.4.1</b>	In case of the engagement of contractors, they shall be made to understand the MSPO requirements and shall provide the required documentation and information. <b>- Major compliance -</b>	Jendarata Palm Oil Mill has made its contractors understand the MSPO requirements mainly through trainings and meeting. Records of training and meeting were available for verification.	Yes
<b>4.6.4.2</b>	The management shall provide evidence of agreed contracts with the contractor. <b>- Major compliance -</b>	All of the engaged contractors such as transporters and labour supply were provided with agreed contracts. Verification of the contracts and records of payment showed that the implementation of the stipulated conditions of the contract was effective.	Yes
<b>4.6.4.3</b>	The management shall accept MSPO approved auditors to verify the assessments through a physical inspection, if required. <b>- Minor compliance -</b>	The requirement of accepting MSPO accredited auditors to audit against the contractors was mentioned in the MSPO Policy signed on 29 March 2018 by Chief Executive Director Dato' Carl Bek-Nielsen.	Yes

**Section 4: Assessment Conclusion and Recommendation**

<b>Acknowledgement of Internal Responsibility and Formal Sign-off of Assessment Findings</b>	
Based on the findings during the assessment United Plantation Berhad-Jendarata POM Certification Unit complies with the MS 2530-3:2013 Part 3: General principles for oil palm plantations and organized smallholder and MS 2530-4:2013 Part 4: General principles for palm oil mills.. It is recommended that the certification of United Plantation Berhad-Jendarata POM Certification Unit is approved and/or continued.	
<b>Acknowledgement of Assessment Findings</b>	<b>Report Prepared by</b>
<b>Name:</b> Cheriachangel Mathews	<b>Name:</b> Muhammad Fadzli Masran
<b>Company name:</b> United Plantations Berhad	<b>Company name:</b> BSI Services Malaysia Sdn. Bhd.
<b>Title:</b> Group Manager, HRESH	<b>Title:</b> Client Manager
<b>Signature:</b>  <b>Date:</b> 23/9/2019	<b>Signature:</b>  <b>Date:</b> 22/9/2019



**Appendix A: Assessment Plan**

PRELIMINARY AGENDA					
Date	Time	Subjects	MFM	VS	
Sunday 16/6/2019	PM	Audit Team Travelling	√	√	
Monday 17/6/2019  <b>Jenderata Palm Oil Mill</b>	08.30 – 09.00	Opening Meeting: <ul style="list-style-type: none"> <li>Opening Presentation by Audit team leader.</li> <li>Confirmation of assessment scope and finalize Audit plan</li> </ul>	√	√	
	09.00 – 12.00	Inspection: FFB receiving, warehouse, workshop, wastes management & Landfill, Effluent Ponds, OSH & ERP, Environment issues, POME application, water treatment. Laboratory, weighbridge and palm product storage area, staff, workers and contractor interview, housing and facility inspection, clinic, etc	√	√	
	12.00 – 13.00	Lunch	√	√	
	13.00 – 16.30		Continue with document review (MSPO part 4), P1: Management commitment and responsibility, P2: Transparency P3: Compliance to legal requirement P4: Social responsibility, health safety and employment condition	√	√
			P5: Environment, natural resources, biodiversity and ecosystem services P4: Social responsibility, health safety and employment condition, P6 : Best practices	√	√
16.30 - 17.00	Interim Closing briefing.	√	√		
Tuesday 18/6/2019  <b>Jenderata Estate</b>	09.00 – 12.00	Field visit, boundary inspection, field operations, staff & workers interview, buffer zone, HCV area, IPM implementation, OSH&ERP, workshop, storage area (agrochemical, fertilizer, lubricant etc), agrochemical mixing area, Schedule waste management, worker housing, clinic, Landfill etc.	√	√	
	10.00 – 12.00	Stakeholder interviews (combined Jenderata POM, Jenderata Estate and Sri Pelangi Estate stakeholders)		√	
	12.00 – 13.00	Lunch	√	√	
	13.00 – 16.30	Document review P1 – P6 (MSPO part 3), P1: Management commitment and responsibility, P2: Transparency, P3: Compliance to legal requirement P4: Social responsibility, health safety and employment condition, P5: Environment, natural resources, biodiversity and ecosystem services and P6 : Best practices, P7: Development of New Planting (if any )	√	√	
	16.30 - 17.00	Interim Closing briefing.	√	√	

**MSPO Public Summary Report**  
**Revision 0 (Aug 2017)**

Wednesday 19/6/2019  Sri Pelangi Estate	09.00 – 12.00	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.	√	√
	12.00 – 13.00	Lunch	√	√
	13.00 – 16.00	Document review P1 – P6 (MSPO part 3), P1: Management commitment and responsibility, P2: Transparency, P3: Compliance to legal requirement P4: Social responsibility, health safety and employment condition, P5: Environment, natural resources, biodiversity and ecosystem services and P6 : Best practices, P7: Development of New Planting (if any )	√	√
	16.00 – 16.30	Preparation of audit report	√	√
	16.30 – 17.00	Closing Meeting	√	√

**Appendix B: List of Stakeholders Contacted**

<b>List of Stakeholders Contacted</b>	
<p><b>Internal Stakeholders</b></p> <p>Estate managers            Mill engineer            Supervisors, Staff &amp; Clerks            Mill local &amp; foreign workers (process, workshop, etc.)            Estate local &amp; foreign workers (harvesters, sprayers, etc.)            Local workers representatives            Foreign workers representatives            Gender committee representative            Estate Hospital Assistant</p>	<p><b>Union/Contractors/Local Communities</b></p> <p>Mr. Kanigga - NUPW Representative            Mr. M. Damalingam – Neighbour            Mr. Anandamuruga – Contractors            Mr. N. Subramaniam – Contractors            Representative from SJK(T) Ladang Jendarata 2</p>
<p><b>Government Departments</b></p> <p>Nil</p>	<p><b>NGO</b></p> <p>Nil</p>

**Appendix C: Smallholder Member Details**

No	Name of smallholder	Year Planted	Land Area (ha)	Forecast FFB (Mt/ha/year)
1	NA			
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				
21				
22				
23				
<b>TOTAL</b>				

**Appendix F: Location and Field Map**



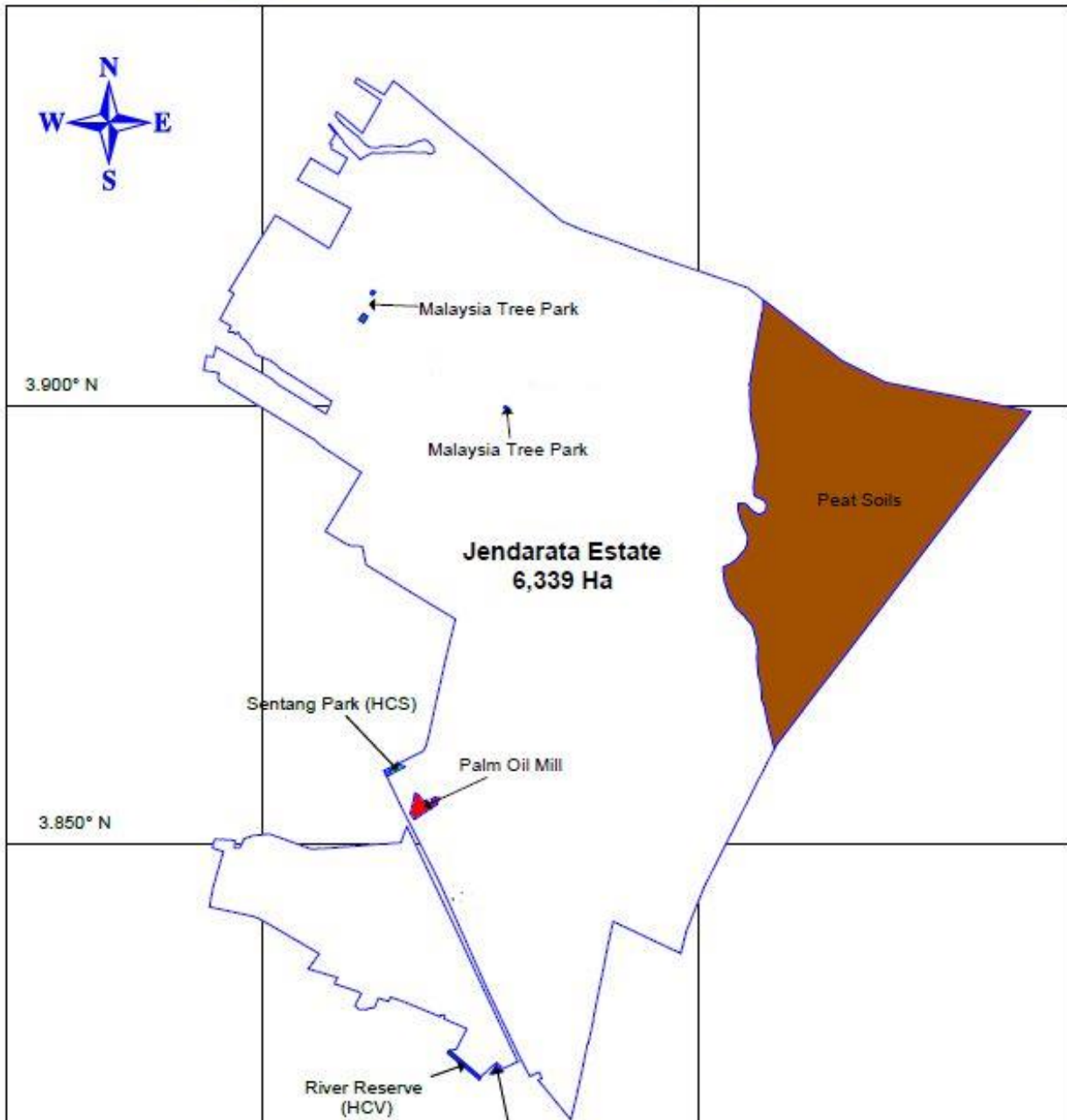
Jenderata POM Location



United Plantations Berhad  
Jendarata Estate

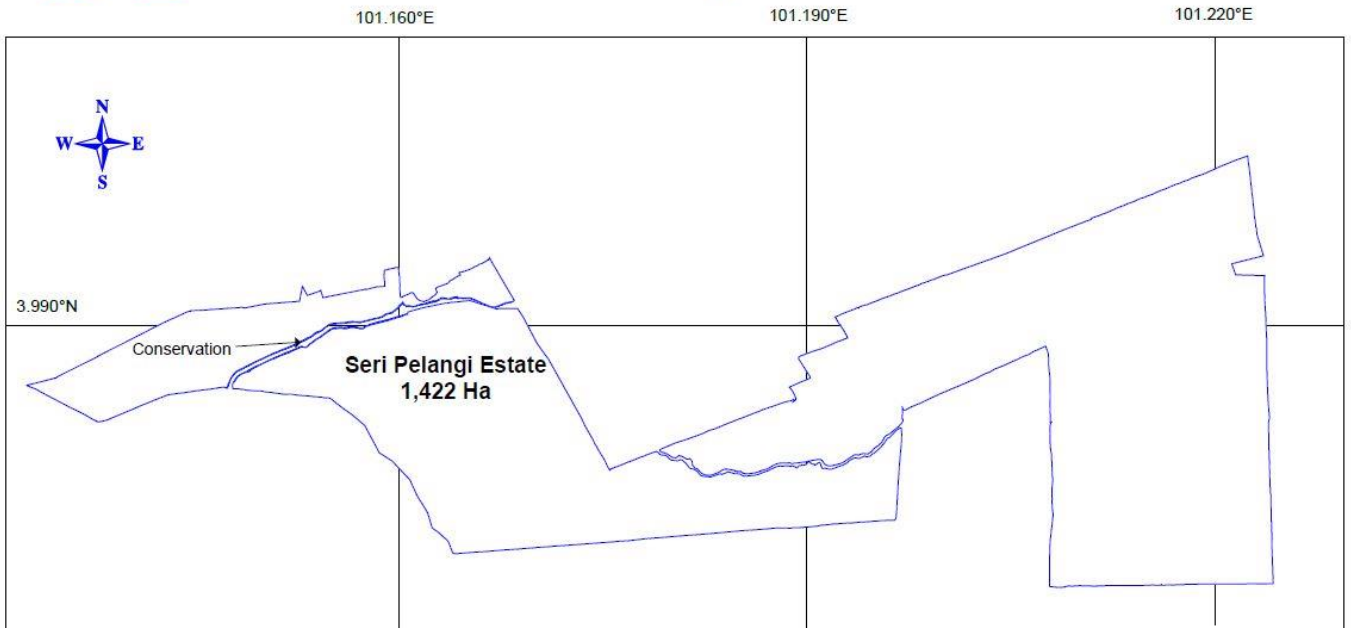
100.950° E

101.000° E





United Plantations Berhad  
Seri Pelangi Estate



**Appendix G: List of Abbreviations**

BOD	Biochemical Oxygen Demand
CB	Certification Bodies
CHRA	Chemical Health Risk Assessment
COD	Chemical Oxygen Demand
CPO	Crude Palm Oil
EFB	Empty Fruit Bunch
EHS	Environmental, Health and Safety
EIA	Environmental Impact Assessment
EMS	Environmental Management System
FFB	Fresh Fruit Bunch
FPIC	Free, Prior, Informed and Consent
GAP	Good Agricultural Practice
GHG	Greenhouse Gas
GMP	Good Manufacturing Practice
GPS	Global Positioning System
HCV	High Conservation Value
IPM	Integrated Pest Management
ISCC	International Sustainable Carbon Certification
LD50	Lethal Dose for 50 sample
MSPO	Malaysian Sustainable Palm Oil
MSDS	Material Safety Data Sheet
MT	Metric Tonnes
OER	Oil Extraction Rate
OSH	Occupational Safety and Health
PK	Palm Kernel
PKO	Palm Kernel Oil
POM	Palm Oil Mill
POME	Palm Oil Mill Effluent
PPE	Personal Protective Equipment
RTE	Rare, Threatened or Endangered species
SEIA	Social & Environmental Impact Assessment
SIA	Social Impact Assessment
SOP	Standard Operating Procedure