

**MALAYSIAN SUSTAINABLE PALM OIL
– ANNUAL SURVEILLANCE ASSESSMENT 2
Public Summary Report**

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

Report prepared by:
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Report Number: 3091828

Assessment Conducted by:
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Section 1: Executive Summary

1.1 Organizational Information and Contact Person			
Company Name	United Plantations Berhad		
Mill/Estate	MPOB License No.	Expiry Date	
	UIE POM: 500124504000	31/01/2021	
	UIE Estate: 502076202000	31/07/2021	
Address	Jendarata Estate, 36009 Teluk Intan, Perak.		
Certification Unit	United International Enterprise Palm Oil Mill (U.I.E Palm Oil Mill)		
Contact Person Name	Lee Kian Wei		
Website	http://www.unitedplantations.com	E-mail	lkw@unitedplantations.com
Telephone	05-6436271	Facsimile	05-6417100

1.2 Certification Information			
Certificate Number	Mill: MSPO 693205 Estate: MSPO 693206		
Issue Date	28/09/2018	Expiry date	27/09/2023
Scope of Certification	Mill: Production of Sustainable Palm Oil and Palm Oil Products Estate: Production of Sustainable Oil Palm Fruits		
Standard	MSPO MS 2530:2013 Part 3 & Part 4		
Stage 1 Date	N/A (The certification unit is RSPO certified)		
Stage 2 / Initial Assessment Visit Date (IAV)	20 - 21/06/2018		
Continuous Assessment Visit Date (CAV) 1	11 - 13/06/2019		
Continuous Assessment Visit Date (CAV) 2	02 - 03/09/2020		
Continuous Assessment Visit Date (CAV) 3	-		
Continuous Assessment Visit Date (CAV) 4	-		
Other Certifications			
Certificate Number	Standard(s)	Certificate Issued by	Expiry Date
RSPO 693198	RSPO P&C MYNI 2014 and Supply Chain 2017	BSI Services Malaysia Sdn. Bhd	28/09/2022
MSPO 709995	MSPO SCCS	BSI Services Malaysia Sdn. Bhd	11/07/2024

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	
		Latitude	Longitude
UIE POM	34900 Pantai Remis, Perak.	4.44806	100.71972
UIE Estate	34900 Pantai Remis, Perak.	4.44806	100.71972

1.4 Certified Area					
Estate	Total Planted (Mature + Immature) (ha)	HCV (ha)	Infrastructure & Other (ha)	Total Area (ha)	% of Planted
UIE Estate	8,957.75	140.67	1,270.78	10,369.20	86.39
TOTAL	8,957.75	140.67	1,270.78	10,369.20	86.39

Remark: HCV: HCV-12.53 ha + Conservation-128.14 ha. Infrastructure & Other: Road/Building-481.52
Coconut-789.26. No changes in the land title and total hectareage.

1.5 Plantings & Cycle							
Estate	Age (Years)					Mature**	Immature
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30		
UIE Estate	419.49	8220.91	317.35	0	0	8538.26	419.49
Total (ha)	419.49	8220.91	317.35	0	0	8538.26	419.49

1.6 Certified Tonnage of FFB			
Estate	Tonnage / year		
	Estimated (June 2019 - May 2020)	Actual (June 2019 - July 2020)	Forecast (June 2020 - May 2021)
UIE Estate	219,000	305,363.52	280,000
Total	219,000	305,363.52	280,000

1.7 Uncertified Tonnage of FFB			
Estate	Tonnage / year		
	Estimated (June 2019 - May 2020)	Actual (June 2019 - July 2020)	Forecast (June 2020 - May 2021)
N/A	N/A	N/A	N/A
Total			

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1.8 Certified Tonnage				
Mill Capacity: 60 MT/hr	Estimated (June 2019 - May 2020)	Actual (June 2019 - July 2020)	Forecast (June 2020 - May 2021)	
	FFB	FFB	FFB	
	219,000	305,363.52	280,000	
	SCC Model: SG	CPO (OER: 20.80%)	CPO (OER: 22.35%)	CPO (OER: 23.00%)
	45,552.00 mt	68,248.75	64,400	
	PK (KER: 4.65%)	PK (KER: 4.05%)	PK (KER: 5.00%)	
	10,183.50 mt	12,367.22	14,000	

1.9 Actual Sold Volume (CPO) (June 2019 - July 2020)					
Item	MSP0 Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSPO		
CPO (MT)	0	0	65,121.89	629.63	65,751.52

1.10 Actual Sold Volume (PK) (June 2019 – July 2020)					
Item	MSP0 Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSPO		
PK (MT)	0	0	12,445.82	0	12,445.82

Section 2: Assessment Process

BSI is a leading global provider of management systems assessment and certification, with more than 80,000 certified locations and clients in over 190 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 02-03/09/2020. The audit programme is included in Section 2.3. The approach to the audit was to treat the mill and plantations as a MSP0 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 and MS 2530-4:2013 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 MSP0 Certification Requirement. The sampling of smallholders were based on the formula $(r\sqrt{n})$; where r is the risk factor (may defer 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 MSP0 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.

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 MSP0 approved Peer Reviewer prior to certification decision by BSI.

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

Assessment Program					
Name (Mill / Plantation / Group smallholders)	Year 1 (Certification)	Year 2 (ASA 1)	Year 3 (ASA 2)	Year 4 (ASA 3)	Year 5 (ASA 4)
UIE POM	√	√	√	√	√
UIE Estate	√	√	√	√	√

Tentative Date of Next Visit: September 6, 2021 - September 7, 2021

Total No. of Mandays: 4

2.1 BSI Assessment Team

Team Member Name	Role <i>(Team Leader or Team member)</i>	Qualifications <i>(Short description of the team members)</i>
Elzy Ovktafia (EO)	Team leader	She graduated from Universiti Putra Malaysia in Diploma of Agriculture, holding the designatory of LISP & AISP from the Incorporated Society of Planters and currently studying Master of Science (Occupational Safety & Health) in Universiti Utara Malaysia. She involves in audits and technical reviews works mainly for Sustainability Programme includes RSPO & MSPO for more than 4 years across 11 countries. She is a qualified Lead Auditor/Auditor for RSPO P&C, RSPO NEXT, RSPO SCC, ISO 9001:2015, ISO 14001:2015 and a Social Compliance Auditor. Prior to this, she was the Agronomist in R&D Department for almost 5 years in Oil Palm Plantation where her task involved in all Oil Palm Plantation Operations such as conducting experimental trials on Research & Development with technical paper publications, Crop Forecast, Leaf & Soil Sampling Collection, Fertilizer Recommendation, Pest and Diseases Training, Quality Control as well as special project namely Yield Intensification Project and Food for Palm Project for estates. During this assessment, she assessed on the aspects of legal, social and stakeholder engagement. She is able to communicate in fluent Bahasa Malaysia and English.
Valence Shem (VS)	Team member	He holds a 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.

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2.2 Accompanying Persons

No.	Name	Role
-	-	-

2.3 Assessment Plan

Date	Time	Subjects	EO	VS
Tuesday 01/09/2020	PM	Audit team travel from KL to UIE.	√	√
Wednesday 02/09/2020	0830-0900	Opening Meeting: <ul style="list-style-type: none"> • Opening Presentation by Audit team leader. • Confirmation of assessment scope and finalize Audit plan (including stakeholder's consultation). 	√	√
	0900-1230	United International Enterprise Palm Oil Mill Inspection: FFB receiving, warehouse, workshop, wastes management & Landfill, Effluent Ponds, OSH & ERP, Environment issues, POME application, water treatment, staff, workers and contractor interview, housing and facility inspection, clinic, meeting stakeholders etc. Visit to laboratory, weighbridge and palm product storage area.	√	√
	1230-1330	Lunch	√	√
	1330-1630	United International Enterprise Palm Oil Mill Document Review P1 – P8: SOPs. Review on SEIA documents and records, wage records, employee data, training records, legal permits, mill inspection and internal monitoring records, CIP & implementation etc. Verify previous nonconformities.	√	√
	1630-1700	Interim Closing Briefing	√	√
Thursday 03/09/2020	0830-1230	United International Enterprise Estate Field visit, boundary inspection, field operations, staff & workers interview, buffer zone, HCV area, IPM implementation, OSH&ERP, workshop, storage area (agrochemical, fertilizer, lubricant etc.), agrochemical mixing area, Schedule waste management, worker housing, clinic, Landfill, etc.	√	√
	1000-1230	Meeting with stakeholders (Government, village rep, smallholders, Union Leader, contractor etc.)	√	-
	1200-1330	Lunch	√	√
	1330-1630	United International Enterprise Estate Document review P1 – P8: (General Documentation e.g. Legal, Manual and Procedure, production & monitoring records, IPM & HCV records, SEIA documents & records, OSH records, review pay documents, records of communication with stakeholder/workers representatives, new planting, CIP and implementation etc.).	√	√
	1630-1700	Finalization of audit findings and report preparation.	√	√
	1700-1730	Closing Meeting	√	√

Section 3: Assessment Findings

3.1 Details of audit results

This assessment has been assessed using the following MSPO 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 two (2) Minor nonconformities raised. The United Plantations Berhad-UIE POM's 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 Non-conformity(ies) has been verified for its effectiveness and closed accordingly.

Finding Reference	1953411-202009-N1	Certificate Reference	MSPO 693205
Certificate Standard	MS 2530:2013 Part-3	Clause	4.4.4.2
Category	Minor		
Area/Process:	UIE Estate		
Statement of non conformance:	The occupational safety and health plan were not adequately implemented.		
Clause requirements	The occupational safety and health plan should cover the following: 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).		
Objective Evidence	Expired PPE was given to some of those estate workers interviewed (manufactured date November 2017).		
Cause	Lack of awareness on the expiry date for safety helmet.		
Correction/containment	As immediate action, the estate management will identify the workers who possess expired safety helmets and will issue the brand-new helmet (if any).		

Corrective action
<ol style="list-style-type: none"> To develop and implement a management procedure on PPE. A checklist has been developed to inspect safety harness and safety helmet to record and monitor the conditions and expiry date of safety helmet. To conduct training for store keeper, Mandores, staff and management team on the monitoring of expiry date for various PPEs.

Finding Reference	1953411-202009-N2	Certificate Reference	MSPO 693205
Certificate Standard	MS 2530:2013 Part-4	Clause	4.4.4.2
Category	Minor		
Area/Process:	UIE POM		
Statement of non conformance:	The occupational safety and health plan were not effectively monitored.		
Clause requirements	<p>The occupational safety and health plan should cover the following:</p> <p>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>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 Labelling) Regulation 1997 Occupational Safety Health (Use and Standard of Exposure of Chemical Hazardous to Health) Regulation 2000.</p>		
Objective Evidence	<ul style="list-style-type: none"> - Expired PPE was given to some of those mill workers interviewed (manufactured date May 2015). - Unlabeled containers containing liquid were found at the mill laboratory. 		

Cause

<ol style="list-style-type: none"> Lack of awareness on the expiry date for safety helmet. Lack of awareness and supervision to ensure the chemical filled containers are labelled.

Correction/containment

<ol style="list-style-type: none"> As immediate action, the management had placed order for 70 units (first batch) of new safety helmets. (Attachment 1). The management had identified the workers who possess expired safety helmets and will issue the brand-new helmet once receive the order. All secondary containers have been labelled with the name of content.
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Corrective action

<ol style="list-style-type: none"> To develop and implement a management procedure on PPE and checklist to inspect safety harness and safety helmet to record and monitor the conditions and expiry date of safety helmet. To conduct training for store keeper, mill supervisors, staff and management team on the monitoring of expiry date for various PPEs.
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| 2. To revise SOP for laboratory to incorporate statement on "chemicals filled containers must be labelled with the name of content." The mill management will conduct SOP training for lab attendants particularly on the labelling all chemical filled container. |
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Noteworthy Positive Comments

1	Good relationship being maintained with surrounding communities and other stakeholders.
2	Good document retrieval

3.3 Status of Nonconformities Previously Identified and OFI

Finding Reference	1782156-201904-N1	Certificate Reference	MSPO 693205
Certificate Standard	MS 2530:2013 Part-4	Clause	4.3.1.4 Part - 4
Category	Minor		
Area/Process:	As Per BSI Public Summary		
Details:	Monitoring of the changes in regulatory requirement is not effective implemented.		
Objective Evidence:	The mill has yet to acquired Contravention License from DOE on the violation of the DOE Compliance Scheduled no 004239 clause no 23 under 'Pengurusan/Kawalan pencemaran Udara' for the operation of 2 old boilers. The new boiler equipped with VORSEP system is still in the midst of completion.		
Cause			
The mill management did not receive the circular issued by DOE on the application of contravention license under EQA (Clean Air Regulation) 2014.			
Correction/containment			
<ol style="list-style-type: none"> The mill management have obtained the letter from DOE on the application of contravention license for the boiler with dust emission exceeding the permissible limit and incorporated in the summary list for tracking of laws. The mill management have submitted the application of contravention license to DOE on 15th June 2019. 			
Corrective action			
<ol style="list-style-type: none"> The mill management will maintain close follow-up with DOE and MPOA on any circular made with regards to EQA (Clean Air Regulation) 2014. The person in charge of the communication/follow-up on the above matter is the Deputy Group Engineer, Mr. K. T. Somasegaran. In order to comply with the above regulation, the mill management has decided to install VORSEP for the old boilers. 			
Closed?:			
Yes. Contravene license (#005433) has been obtained which valid until 4/6/2021. VORSEP installation is still in progress and expected to commence by January 2021. There is no recurrence of non-conformity and therefore, the NCR remains closed.			

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Finding Reference	1782156-201904-N2	Certificate Reference	MSPO 693205
Certificate Standard	MS 2530:2013 Part-4	Clause	4.6.1.1 Part 3
Category	Minor		
Area/Process:	As Per BSI Public Summary		
Details:	Standard Operating Procedures established is not covering all aspect in FFB Evacuation		
Objective Evidence:	The estate has established the Standard Operation Procedure on FFB Evacuation – Buffalo Drawn Carts. The SOP established on focusing on the handling and safety of the buffalo handler and not covering on the buffalo healthcare.		
Cause			
The estate management did not include the buffalo vaccination programme in the Standard Operating Procedure (SOP) and checklist for buffalo management.			
Correction/containment			
<ol style="list-style-type: none"> 1. The estate management further updated the SOP and checklist for buffalo management. 2. The estate management has contacted Department of Veterinary, Manjung to conduct tagging and vaccination for all 42 buffaloes. 			
Corrective action			
<ol style="list-style-type: none"> 1. The estate management will fully adhere to the SOP for buffalo management and maintain full records of buffalo management including vaccination and deworming. 2. The estate manager will conduct training for the officers who in-charge of buffalo management. 3. An email has been sent by HRESH Department to all Estate Managers in UP Group to include buffalo vaccination programme in the SOP and checklist. 			
Closed?:			
Yes. Buffaloes have been tagged after receiving vaccination. The estate has utilized a monitoring checklist to record the buffalo's tag number and the date of vaccine given. Based on the evidence, the minor NCR is effectively closed out.			

3.4 Summary of the Nonconformities and Status



CAR Ref.	CLASS	ISSUED	STATUS
1648218-201804-M1	Major	21/6/2018	Closed
1782156-201904-N1	Minor	12/6/2019	Closed
782156-201904-N2	Minor	12/6/2019	Closed
1953411-202009-N1	Minor	03/9/2020	Open
1953411-202009-N2	Minor	03/9/2020	Open

3.5 Issues Raised by Stakeholders

IS #	Description
1	<p>Issues: <u>Kampung Sungai Batu/neighbouring smallholder</u> So far, there is no complaint, dispute or fights between the villagers and UIE management. They mention that United Plantation Berhad management team is strictly adhere to the law and regulations especially during COVID-19 time.</p> <p>Management Responses: Noted on the information.</p> <p>Audit Team Findings: No other issue.</p>
2	<p>Issues: <u>Primochem Sdn Bhd (Scheduled Waste Collector)</u> Agreement was signed and available. Payment was made within the stipulated time. No other complaint as most of the United Plantation’s estates were adhering to the timeframe of scheduled waste disposal. There is recommendation from Primochem on the identification of scheduled waste code in accordance with Department of Environment Malaysia to avoid confusion and dispute between estate and external auditor. UIE can have the copy of the book by contacting Primochem later.</p> <p>Management Responses: Noted on the information.</p> <p>Audit Team Findings: No other issue.</p>
3	<p>Issues: <u>Contractor (Supermandore)</u> Agreement was signed and available. Payment was made within the stipulated time. The supermandore was treated equally with other employee. He was provided with free houses, subsidized rate of electric and water, etc. Training for MSPO, safety and environment also given.</p> <p>Management Responses: Noted on the information.</p> <p>Audit Team Findings: No other issue.</p>
4	<p>Issues: <u>Gender Committee Representatives</u> Meetings were conducted regularly and combined with estate and mill. So far, no sexual harassment, domestic violence or disturbance at housing area cases reported. New mothers need assessment conducted to pregnant worker and mother with below 24 months infant.</p> <p>Management Responses:</p>

	Noted on the information.
	<p>Audit Team Findings:</p> <p>No other issue.</p>
5	<p>Issues:</p> <p><u>Foreign & Local Workers Representatives</u></p> <p>Both foreign and local workers treated equally regardless of race, religion and nationality. During COVID-19 lockdown, they were still working and receive salary. The management has invited the bank and money sending to overseas to come to estate office at the end of month. No other complaint received.</p>
	<p>Management Responses:</p> <p>Noted on the information.</p>
	<p>Audit Team Findings:</p> <p>No other issue.</p>
6	<p>Issues:</p> <p><u>Previous Landowner (Pang Meng Kong)</u></p> <p>Interview was conducted via telephone. The previous land owner confirmed that 6.7ha of agricultural land was bought by United Plantations in 2011. The previous owner confirmed that the transaction was entered into at arm's length, and on a willing seller willing buyer basis, with no element of force.</p>
	<p>Management Responses:</p> <p>Noted on the information.</p>
	<p>Audit Team Findings:</p> <p>Sighted was the 6.6975 ha freehold agricultural land title registered on 4 June 1990 for Lot No. 1188, Daerah Manjung, Mukim Pengkalan Baharu, owned by United Plantations Berhad.</p>

Section 4: Assessment Conclusion and Recommendation

Acknowledgement of Internal Responsibility and Formal Sign-off of Assessment Findings	
Based on the findings during the assessment United Plantation Berhad – UIE POM Certification Unit complies with the MS 2530-3:2013 and MS 2530-4:2013 . It is recommended that the certification of United Plantation Berhad – UIE POM Certification Unit is approved and/or continued.	
Acknowledgement of Assessment Findings	Report Prepared by
Name: Cherincheget Mathews	Name: Elzy Ovktafia Binti Chairul
Company name: United Plantations Berhad	Company name: BSI Services (Malaysia) Sdn Bhd
Title: Group Manager, HR&SH	Title: Client Manager
Signature: 	Signature: 
Date: 22/09/2020	Date: 19/09/2020

Appendix A: Summary of the findings by Principles and Criteria

MS 2530-4:2013 Malaysian Sustainable Palm Oil (MSPO) Part 4: General principles for Palm Oil Mill.

Criterion / Indicator		Assessment Findings	Compliance
4.1 Principle 1: Management commitment & responsibility			
Criterion 4.1.1 – Malaysian Sustainable Palm Oil (MSPO) Policy			
4.1.1.1	Policy for the implementation of MSPO shall be established. - Major compliance -	United Plantation Berhad has established MSPO policy which signed by Chief Executive Director, Dato’ Carl Bek-Nielsen effective date 29th March 2018.	Yes
4.1.1.2	The policy shall also emphasize on the commitment to continual improvement with the objective of improving the milling operation. - Major compliance -	The established policy has emphasized on the commitment for key legal, social and environmental consideration with the objective of improving the milling and estate operation. The policy has included these elements of: <ul style="list-style-type: none"> 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 planting 	Yes
Criterion 4.1.2 – Internal Audit			

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Criterion / Indicator		Assessment Findings	Compliance
4.1.2.1	Internal audit shall be planned and conducted regularly to determine the strong and weak points and potential area for further improvement. - Major compliance -	Internal audit process is documented under Internal Audit Procedure, dated 15.02.2019, revision 1. Annual audit schedule for 2020 was made available for review. UIE POM and its supply bases was scheduled to have the internal audit on May 2020. MSPO internal audit was carried out on 16 June 2020 by pool of trained internal audit from HREHS department. Cross department/mill audit was demonstrated to ensure impartiality of audit.	Yes
4.1.2.2	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. - Major compliance -	Internal audit procedure, dated 15.02.2019, revision 1 established and used as reference for audit process. Audit results documented under internal audit summary dated 19 August 2020. 10 NC for site visit and 1 NC & 1 OFI for documentation audit were raised for UIE POM. The action plan was submitted to Group Manager HR ESH for closure. The findings were closed on 19 Aug 2020 through MSPO and RSPO follow-up internal audit.	Yes
4.1.2.3	Reports shall be made available to the management for their review. - Major compliance -	Internal audit report and verification report dated 19 Aug 2020 was made available to the management for review.	Yes
Criterion 4.1.3 – Management Review			
4.1.3.1	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. - Major compliance -	The last management review was conducted on 11/08/2020. The management review had included internal and external sustainable palm oil audit results review. The status of the correction and preventive actions are being discuss and reviewed.	Yes

Criterion / Indicator	Assessment Findings	Compliance
Criterion 4.1.4 – Continual Improvement		
4.1.4.1	The action plan for continual improvement shall be based on a consideration of the main social and environmental impact and opportunities for the company. - Major compliance -	Among the continual improvement plan were as below: 1. Methane gas captured. 2. Furrow irrigation of Palm Oil Mill Effluent 3. New housing unit (3 & 4 bedroom).
4.1.4.2	The company should establish a system to improve practices in line with new information and techniques; and for disseminating this information throughout the workforce. - Major compliance -	Provisions were made in the annual and forecast business plans / budgets for the necessary resources including training, to implement the new techniques. The newly project for UIE POM is new boiler with VORSEP system which reduce dust emission to very minimum.
4.2 Principle 2: Transparency		
Criterion 4.2.1 – Transparency of information and documents relevant to MSPO requirements		
4.2.1.1	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. - Major compliance -	The Standard Operation Procedure documented the process for Procedure for both External & Internal Stakeholders. There is also Grievance Redressal procedure which has steps to be followed to solve issues raised by workers. The time frame to provide feedback to the stakeholder is documented to be total of 24 days for internal and 30 days for external complaint. The officer-in-charge for estate is Mr K.T Somasegaran as per appointment letter dated 13.02.2019 whom is responsible to commit and implement the sustainability concepts outline in RSPO, RSPO NEXT and MSPO P&Cs.

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Criterion / Indicator		Assessment Findings	Compliance
4.2.1.2	<p>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.</p> <p>- Major compliance -</p>	<p>United Plantation continued to use the group website for disseminating public information. The Sustainability Report and Group Annual report is available in website.</p> <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 are via suggestion box in office or write in to UP head office.</p>	Yes
Criterion 4.2.2 – Transparent method of communication and consultation			
4.2.2.1	<p>Procedures shall be established for consultation and communication with the relevant stakeholders.</p> <p>- Major compliance -</p>	<p>The Standard Operation Procedure documented the process for Procedure for both External & 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>The management shall nominate management officials at the operating unit responsible for issues related to <i>indicator 1</i>.</p> <p>- Minor compliance -</p>	<p>The officer-in-charge for estate is Mr K.T Somasegaran as per appointment letter dated 13.02.2019 whom is responsible to commit and implement the sustainability concepts outline in RSPO, RSPO NEXT and MSPO P&Cs.</p>	Yes
4.2.2.3	<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>Stakeholder’s list for both UIE POM and UIE Estate including all the internal and external party such as OSHA committee, Gender Committee, Temple Committee, Statutory Bodies, Penghulu & Ketua Kampung, Local Bankers and others as updated on June 2020. Stakeholder meeting was conducted on 05/08/2020 for</p>	Yes

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Criterion / Indicator		Assessment Findings	Compliance
	- Major compliance -	internal and external party and company policy was briefed during the meeting.	
Criterion 4.2.3 – Traceability			
4.2.3.1	<p>The management shall commit itself to implement and maintain the requirements for the traceability and shall establish a standard operation procedure for traceability.</p> <p>- Major compliance -</p>	<p>SOP for Traceability rev:01 dated 15/2/19 describes the procedure for monitoring and to ensure accuracy of sustainable and non-sustainable receipts, dispatches and stock balance to conform to the requirement of MSPO. These includes both miller’s and grower’s traceability ID/label for locomotives:</p> <ol style="list-style-type: none"> a) Date of harvest b) Gang number c) Field number d) Delivery order (DO) indicated the details of: <ul style="list-style-type: none"> • Cages number • DO number • Buyer/recipient • Date • Field number • RSPO & MSPO certificate number & validity date <p>The traceability procedure has covered the procedure for external supplier which including the pre and post traceability. Certified FFB (coming from own estates) will carry the ID of certified crop. UIE POM received only own group estate’s FFB.</p> <p>The weighbridge ticket will be issued during the delivery of FFB from the estate to mill as well as delivery of CPO and PK from mill to refinery.</p>	Yes

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Criterion / Indicator		Assessment Findings	Compliance
4.2.3.2	The management shall conduct regular inspections on compliance with the established traceability system. - Major compliance -	Daily production report and sales & stock movement (MT) are available until to date 31 August 2020. The mass balance sheet template was used to monitor incoming and outgoing of FFB and palm product (CPO and PK).	Yes
4.2.3.3	The management shall identify and assign suitable employees to implement and maintain traceability system. - Minor compliance -	Person in charge of traceability is the Deputy Group Engineer, Mr K.T Somasegaran. Refer to appointment letter dated 13/02/19 signed by Group Manager HRESH, Mr C. Mathews.	Yes
4.2.3.4	Records of storage, sales, delivery or transportation of crude palm oil and palm kernel shall be maintained. - Major compliance -	Records of storage, sales, delivery or transportation of crude palm oil and palm kernel were maintained at the mill. Example of records evidence are as below: a. Production figures dated 31 August 2020: i) CPO Produced: 5488.72 MT ii) PK Produced: 1021.71 MT iii) Average tank FFA: % iv) FFA: 1.58 % (30/08/2020)	Yes
4.3 Principle 3: Compliance to legal requirements			
Criterion 4.3.1 – Regulatory requirements			
4.3.1.1	All operations shall be in compliance with applicable local, state, national and ratified international laws and regulations. - Major compliance -	UIE POM has continued to comply with local, state, national and ratified international laws and regulations. Related permits and licenses were made available and valid as the time of assessment. Sampled of licenses and permit checked: <ul style="list-style-type: none"> • JTK Permit for Night shift work for female, BHG PU/9/135 Jld 14 (8) dated 19.07.2018 to UPB-UIE. • JTK Permit for salary advance, no siri: 0232 to UIE (M) Sdn Bhd dated 30.08.2008. 	Yes

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Criterion / Indicator		Assessment Findings	Compliance
		<ul style="list-style-type: none"> • KDN Kuota Approval for UPB for 1100 workers valid from 29/05/2019 to 28/11/2020. • JTK Permit for salary deduction as per Employment Act 1955 dated 01.06.2012. • DOE license, Compliance Schedule no: 004239 valid from 01/07//2020 until 30/06/2021. Method of disposal, land application. BOD @ 5000 mg/l. • Energy Commission license, serial no.: 39588 for 4573.75 kW valid until 20/10/20. • Perakuan Penentuan Timbang & Sukat (certificate no: B1771459 DATED 29/05/2020. • KDN-Diesel (50k Liter) and Petrol (16k Liter) (Ref No: MJG/SK/D/04) valid from 29/06/2020-28/06/2021. • MPOB License; no: 500124504000 valid till 31/1/2021 • Competent person <ul style="list-style-type: none"> i) CePSWAM – certificate dated 06-10/07/2020. ii) CePPOME – certificate no. CePPOME/201040. iii) CePPOMETS – dated 16-20/12/2019. iv) Authorized Entrant and Standby Person for Confine Space (NW-NRO-AE-0085-S) expiry date: 14/01/2022. 	
4.3.1.2	<p>The management shall list all relevant laws related to their operations in a legal requirements register.</p> <p>- Major compliance -</p>	<p>UIE POM continued to implement and maintain their established documented system for identifying, accessing, tracking updates and monitoring of compliance with the legal requirements that are applicable to the CU’s operation. Each office of the operating unit (mill and estate) has its own legal requirements register (LRR) and were being evaluated individually from time to time for compliance mainly through internal audit. Among the applicable legal laws registered are EQA, OSHA, Factory & Machinery Act, Employment</p>	Yes

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Criterion / Indicator		Assessment Findings	Compliance
		Act, Workers' Minimum Standard of Housing and Amenities Act, Minimum Wage Order 2020 to name a few.	
4.3.1.3	The legal requirements register shall be updated as and when there are any new amendments or any new regulations coming into force. - Major compliance -	UIE POM has various mechanisms to ensure the legal requirements are complied with. In LRR format there is a column to report the status of compliance which was utilized to report the compliance status of all the applicable legal requirements. Other information available in the format was document/action plan needed, PIC and frequency of monitoring. For any new changes in law, the management has updated in in separate list of monitoring the changes in law. On top of that, there was a list of licenses which have the information about type of license, expiry date and validity period.	Yes
4.3.1.4	The management should assign a person responsible to monitor compliance and to track update the changes in regulatory requirements. - Minor compliance -	The Company Secretary [Mr. C. Mathews (HQ)] will track and update any changes in the law. Among the method or platforms used for tracking are: <ul style="list-style-type: none"> • Internet subscription such as Lawnet.com • News and announcement from statutory bodies and government departments such as SOCSO, EPF, etc. • Participation of associations and seminars such as Malayan Agricultural Producers Association (MAPA), Malaysian Palm Oil Association (MPOA) Example for new changes sighted were Minimum Wage Order (Amended) 2020 – starting in 01.01.2020 RM 1200 on 18/12/2019, Occupational Safety and Health (Noise Exposure) Regulations 2019 dated 01/06/2019.	Yes
Criterion 4.3.2 – Lands use rights			

Criterion / Indicator		Assessment Findings	Compliance
4.3.2.1	The management shall ensure that their oil palm milling activities do not diminish the land use rights of other users. - Major compliance -	The land title, Grant number, No H.S.(D): 21320 for area of 3845 Ha, registered to United Plantation Bhd on 24/12/04 where UIE 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. Sampled one of the quit rent for this portion was made on 13/10/2019 for year 2020 to the Land Authority of Perak State amounted RM 384,500.00.	Yes
4.3.2.2	The management shall provide documents showing legal ownership or lease, history of land tenure and the actual legal use of the land. - Major compliance -	The land title, Grant number, No H.S.(D): 21320 for area of 3845 Ha, registered to United Plantation Bhd on 24/12/04 where UIE 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
4.3.2.3	Legal parameter boundary markers should be clearly demarcated and visibly maintained on the ground where practicable. - Major compliance -	The mill is located inside UIE Estate land and no boundary with any third party. Thus, demarcation of boundary is not necessary.	Yes
4.3.2.4	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 available and that these should have been accepted with free prior informed consent (FPIC). - Minor compliance -	There is no land dispute recorded. This was verified with stakeholders' consultation. In order to deal with future arising land dispute (if applicable), the Standard Operating Procedure for Land Dispute Settlement, dated 16 August 2016 as per Free Prior & Informed Consent (FPIC) – RSPO Principles is documented the process in handling land dispute settlement.	Yes
Criterion 4.3.3 – Customary rights			

Criterion / Indicator		Assessment Findings	Compliance
4.3.3.1	Where lands are encumbered by customary rights, the company shall demonstrate that these rights are understood and are not being threatened or reduced. - Major compliance -	There is no customary land for the portion of land.	N/A
4.3.3.2	Maps of an appropriate scale showing extent of recognized customary rights shall be made available. - Minor compliance -	There is no customary land for the portion of land.	N/A
4.3.3.3	Negotiation and FPIC shall be recorded and copies of the relevant agreements should be made available. - Major compliance -	There is no customary land for the portion of land.	N/A
4.4 Principle 4: Social responsibility, health, safety and employment condition			
Criterion 4.4.1: Social Impact Assessment (SIA)			
4.4.1.1	Social impacts should be identified, and plans should be implemented to mitigate the negative impacts and promote the positive ones. - Minor compliance -	<p>The Social Impact Assessment (SIA), Action Plan (SAP) & Review Plan (SRP) 2020, was conducted for UIE Mill & Estate internally and annually by the Internal Management involving all stakeholders.</p> <p>The latest SIA was conducted in 25 March 2020. Key areas identified in the SIA was on access and use rights, economic livelihoods and working conditions, human rights and mill operation.</p> <p>The recommendation from the SIA report was transferred to action plan (Social) 2020. The action plan identified the issues & strategies, action plan, responsible person and time frame.</p>	Yes

Criterion / Indicator		Assessment Findings	Compliance
Criterion 4.4.2: Complaints and grievances			
4.4.2.1	A system for dealing with complaints and grievances shall be established and documented. - Major compliance -	The Standard Operation Procedure documented the process for Procedure for both External & Internal Stakeholders.	Yes
4.4.2.2	The system shall be able to resolve dispute in an effective, timely and appropriate manner, which is accepted by all parties. - Major compliance -	Sighted the Registry of Complaints book recording all the feedback and request from stakeholders, together with its completion date. Also, for external stakeholders, request or feedback to be made directly to the main office through verbal and letter.	Yes
4.4.2.3	A complaint form should be made available at the premises, where employees and affected stakeholders can make complaints. - Minor compliance -	The Registry of Complaints book is made available in the Mill & Estate office. In case the complainant would want to make an anonymity, 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 surrounding communities should be made aware of its existence and that complaints or suggestions may be made at any time. - Minor compliance -	Interview conducted with workers to confirm their understanding of the complaint and grievance process. There is no critical grievance recorded for the pass one year. Only request for maintenance and house repairs are made by workers.	Yes
4.4.2.5	Complaints and solutions within the past 24 months shall be documented and be made available to affected stakeholders upon request. - Major compliance -	Seen the complaint recorded since 2011 in Registry of Complaints book and stakeholders request available during audit.	Yes
Criterion 4.4.3: Commitment to contribute to local sustainable development			

Criterion / Indicator		Assessment Findings	Compliance
4.4.3.1	<p>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.</p> <p>- Minor compliance -</p>	<p>Mill management have made contribution to the internal and external stakeholders. As seen in Annual Report 2019 book, for the whole group, United Plantation has the actual amount as below:</p> <ul style="list-style-type: none"> • Hospital & medicine for employees, dependents and nearby communities RM 2,43,905 • Retirement benevolent fund RM 460,656 • Education, welfare, scholarships & others RM 323,408 • Bus subsidy for school children RM 169,244 • External donations RM 119,735 	Yes
Criterion 4.4.4: Employees safety and health			
4.4.4.1	<p>An occupational safety and health policy and plan which is in line with Occupational Safety and Health Act 1994 and Factories and Machinery Act 1967 (Act 139) shall be documented, effectively communicated and implemented.</p> <p>- Major compliance -</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>UIE Mill has established Safety and Health Plan. Among the implementation of the plans verified are as follows:</p> <ol style="list-style-type: none"> i) Audiometric Testing: The last audiometric was done on 28 & 29/1/2020 for a total of 148 employees by Earwright Services & Consultants. From the report dated 19/5/2020, there was no employee found to have hearing impairment at different levels. ii) Baseline Noise Risk Assessment conducted on 7/3/2020 by external assessor (DOSH Reg. No.: HQ/07/PEB/00/74) iii) LEV Inspection Periodical inspection, examination and testing of LEV system was done on 22/5/2020 for 2 units of LEV by CSK Murni Services Sdn Bhd [JKKP HIE 127/171-2(1)]. Based on the result, the LEV systems were reported to be physically 	Yes

Criterion / Indicator		Assessment Findings	Compliance
		in good condition. Monthly inspection for 2 units of LEV was last done on 10/8/2020.	
4.4.4.2	<p>The occupational safety and health plan should cover the following:</p> <ul style="list-style-type: none"> a) A safety and health policy, which is communicated and implemented. b) The risk of all operations shall be assessed and documented. c) An awareness and training programme which includes the following requirements for employees exposed to chemicals used at the palm oil mill: <ul style="list-style-type: none"> i. All employees involved are adequately trained on safe working practices; ii. All precautions attached to products should be properly observed and applied; 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). 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 Labelling) Regulation 1997 Occupational Safety Health (Use and Standard of Exposure of Chemical Hazardous to Health) Regulation 2000. 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. 	<ul style="list-style-type: none"> a) 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). b) 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. The HIRARC was last reviewed on 20/3/2020 where the risk of Covid-19 spreading was included. c) The mill has 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. Sighted the training records as follows: <ul style="list-style-type: none"> - Chemical spillage handling and SOP + HIRARC on laboratory training dated 17/6/2020 - Chemical safety handling training dated 16/8/2020 d) 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. The control of Covid-19 spreading was seen to be implemented which among others include of pre-entry test for visitors, checking of body temperature, face mask usage, had 	Major downgraded minor

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Criterion / Indicator	Assessment Findings	Compliance
<p>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.</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 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>- Major compliance -</p>	<p>sanitizing, regular disinfecting of workplace, and social distancing. However, the following lapses were found</p> <ul style="list-style-type: none"> • Expired PPE was given to some of those mill workers interviewed (manufactured date May 2015). • Unlabelled containers containing liquid were found at the mill laboratory. <p>Thus, a minor non-conformity was raised.</p> <p>e) SOP for chemical handling at the laboratory has been established based on HIRARC</p> <p>f) 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. There is also a safety officer appointed as a person of trust shall have knowledge and access to latest national regulations and collective agreements for UP.</p> <p>g) The committee conducted the meetings on quarterly basis to discuss issues regarding safety and health. Latest meeting was conducted on 25/8/2020.</p> <p>h) Accident and emergency procedures had been established and briefed to staff, workers, contractors and visitors. Emergency Response Team incorporated under OSH organization chart for 2020. Workers trained in firefighting, rescue method and prepared for the any unforeseen circumstances. Latest fire drill was carried out on 12/5/2020</p> <p>i) First aid kits 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 first aid training was conducted on 14/2/2020, which includes the estate’s first aiders as well.</p>	

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		j) The mill maintains all accident records in JKPP form 6, 7 and 8. Records on Lost Time Accident (LTA) metrics was maintained and based on JKPP 6, 7 & 8. JKPP 8 for was submitted to DOSH on annually basis. All accident cases were reviewed during OSH Committee meeting conducted on quarterly basis. There was no accident reported ever since the last audit.	
Criterion 4.4.5: Employment conditions			
4.4.5.1	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. - Major compliance -	UIE POM implemented their Human Rights Policy, signed by Dato' Carl Bek-Nielsen on 09/03/2020. The management is treated the workers with respect and dignity. Awareness training on human rights policy has been conducted on 08/01/2020, 18/01/2020, 20/01/2020 and 08/05/2020.	Yes
4.4.5.2	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. - Major compliance -	Migrant workers are recruited with 3 years contract except for Indonesian workers where the contract is for 2 years. Local workers are on a long-term employment. No any kind of discrimination was noted. Job opportunities and amenities such as free housing, subsidized rate of water and electric supplier (connect to national water and electricity supply) and medical care are given to all employees without discrimination.	Yes
4.4.5.3	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. - Major compliance -	All the workers are under direct employment. The pay slip has included basic income, allowance pay, working days, medical leave, and deduction of salary and others as per employment contract. The latest Collective Agreement referred is MAPA/NUPW POM Employees Agreement 2019.	Yes

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Criterion / Indicator		Assessment Findings	Compliance
		<p>The payroll for the following sampled workers for Nov 2019, April 2020 & June 2020 were verified to be consistent with the Minimum Wages Order 2020.</p> <p>Sampled workers seen as below:</p> <ul style="list-style-type: none"> a. Mill worker ID: 409663 b. Mill worker ID: 118758 c. Mill worker ID: 415884 d. Mill worker ID: 415815 e. Mill worker ID: 401740 f. Mill worker ID: 113100 g. Mill worker ID: 310886 h. Mill worker ID: 411826 i. Mill worker ID: 112675 j. Mill worker ID: 416199 k. Mill worker ID: 416326 <p>There was no complaint raised 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 2020 which achieved RM 1200/ month or RM 46.15/day.</p>	
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>	<p>Sampled the contractor's worker (Sakthy Transport Sdn Bhd) for CPO transporter in UIE POM. Below pay slip and employment contracts for March, April and May 2020 were reviewed:</p> <ul style="list-style-type: none"> 1. Employee ID: 00180 2. Employee ID: 00162 	Yes

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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>- Major compliance -</p>	<p>The workers master list was reviewed. The list includes date of birth, date joined, gender, nationalities. etc.</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>- Major compliance -</p>	<p>The following contracts has been verified to confirm that workers have binding working agreement with the company:</p> <p>Sampled workers seen as below:</p> <ul style="list-style-type: none"> l. Mill worker ID: 409663 m. Mill worker ID: 118758 n. Mill worker ID: 415884 o. Mill worker ID: 415815 p. Mill worker ID: 401740 q. Mill worker ID: 113100 r. Mill worker ID: 310886 s. Mill worker ID: 411826 t. Mill worker ID: 112675 u. Mill worker ID: 416199 v. Mill worker ID: 416326 <p>Interview with the workers confirms that they have a copy of the employment contract and they understood the conditions stated in the contract.</p>	Yes

Criterion / Indicator		Assessment Findings	Compliance
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>- Major compliance -</p>	<p>There is face recognition for UIE POM to records the accurate working hours and overtime and recorded in UIE TMS Master Report.</p> <p>Verified the overtime and working hours:</p> <ul style="list-style-type: none"> a. Mill worker ID: 409663 b. Mill worker ID: 118758 c. Mill worker ID: 415884 d. Mill worker ID: 415815 e. Mill worker ID: 401740 f. Mill worker ID: 113100 g. Mill worker ID: 310886 h. Mill worker ID: 411826 i. Mill worker ID: 112675 j. Mill worker ID: 416199 k. Mill worker ID: 416326 	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>- Major compliance -</p>	<p>There is face recognition for UIE POM to records the accurate working hours and overtime and recorded in UIE TMS Master Report.</p> <p>In case the worker is on leave/absence, 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>- Major compliance -</p>	<p>The payslip and the inputs were reviewed to confirm the wages and overtime is in line with legal requirements of Employment Act 1955, Minimum Wage Order 2020 and worker’s employment contract.</p>	Yes

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<p>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.</p> <p>- Minor compliance -</p>	<p>The company provides free medical benefit to worker's dependent at the estate's clinics.</p> <p>As seen in Annual Report 2019 book, for the whole group, United Plantation has the actual amount as below:</p> <ul style="list-style-type: none"> • Hospital & medicine for employees, dependents and nearby communities RM 2,43,905 • Retirement benevolent fund RM 460,656 • Education, welfare, scholarships & others RM 323,408 • Bus subsidy for school children RM 169,244 • External donations RM 119,735 	<p>Yes</p>
<p>4.4.5.11 In cases where on-site living quarters are provided, these quarters shall be habitable and have basic amenities and facilities.</p> <p>- Major compliance -</p>	<p>The basic amenities and facilities at the quarters provided by the company to its workers include electricity, water and domestic waste disposal. Electricity and water are provided by government. Usage of electricity and water given with subsidize rate for the worker's contract.</p> <p>During the linesite visit, it was observed that the housing is in good conditions. New houses were built with spacious and convenient for workers. 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 people with 3 bedrooms with 2 toilets per house.</p> <p>Linesite inspection was conducted in weekly basis by Hospital Assistant in both mill and estate.</p>	<p>Yes</p>
<p>4.4.5.12 The management shall establish a policy to prevent all forms of sexual harassment and violence at the workplace.</p> <p>- Major compliance -</p>	<p>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.</p>	<p>Yes</p>

Criterion / Indicator	Assessment Findings	Compliance
<p>4.4.5.13 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>- Major compliance -</p>	<p>During the interview with workers, there are no evidence received that there is restriction from the company to allow workers to join trade union. The workers have their freedom to join the NUPW/MAPA union but in UIE, the workers have form internal worker's union.</p> <p>The latest minutes of meeting of guest worker's committee is sighted dated 22.06.2020 and attended by 31 workers for both UIE POM and UIE Estate. Some of the issue sighted are:</p> <ol style="list-style-type: none"> 1. Request to stop selling illegal alcohol drink that lead to fights at night. Action: chairman instructed Auxiliary Police to make a regular inspection at nights. 2. Complaint on damaged lamp post at Estate 1A difficulting the user at night. Action: Auxiliary Police to check the current condition and complaint to management if the lamp post is damaged. <p>Sighted the appointment letter for the committee members from Nepal, Bangladesh, Indonesian and India dated 01/01/2020 valid until 31/12/2020.</p>	<p>Yes</p>
<p>4.4.5.14 Children and young persons shall not be employed or exploited. The minimum age shall comply with local, state and national legislation.</p> <p>- Major compliance -</p>	<p>The Human Rights Policy was established and signed by Dato' Carl Bek-Nielsen on 09/03/2020. The Policy mentioned that UPB will not tolerate the use of child or force labour, slavery or human trafficking in any of their plantations and facilities (anyone who less than 18 years old).</p>	<p>Yes</p>
<p>Criterion 4.4.6: Training and competency</p>		

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Criterion / Indicator		Assessment Findings	Compliance
4.4.6.1	<p>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>- Major compliance -</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. Following training records were verified:</p> <ul style="list-style-type: none"> - Training on usage of personal hearing protector dated 29/7/2020 - Hearing conservation training dated 4/8/2020 - Noise exposure training dated 12/5/2020 - Chemical spillage handling and SOP + HIRARC on laboratory training dated 17/6/2020 - SOP & HIRARC for kernel plant training dated 10/6/2020 - Fire drill dated 12/5/2020 - MSPO/RSPO Policies training dated 12/5/2020 	Yes
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>- Major compliance -</p>	<p>All the trainings mentioned in Indicator 4.4.6.2 were identified through training needs analysis which is based on type of jobs and also recommendation by external assessors related to occupational safety.</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>- Minor compliance -</p>	<p>The mill reviewed the training need analysis and program on annually basis to ensure the continuous training for all workers. Training evaluation forms were also utilized to ensure the effectiveness of the training conducted.</p>	Yes
4.5 Principle 5: Environment, natural resources, biodiversity and ecosystem services			

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Criterion / Indicator		Assessment Findings	Compliance
Criterion 4.5.1: Environmental Management Plan			
4.5.1.1	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. - Major compliance -	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
4.5.1.2	The environmental management plan shall cover the following: a) An environmental policy and objectives; b) The aspects and impacts analysis of all operations - Major compliance -	Environmental Risk Assessment (ERA) was last reviewed on 5/8/2020. There were 3 main criteria considered in the assessment i.e. severity, quantity/load, probability. From the assessment, the information about the level of environmental risks were then obtained and it was important to determine the action plan thereafter. Verification of the assessment report showed that all activities in the mill that could interact with the environment were assessed.	Yes
4.5.1.3	An environmental improvement plan to mitigate the negative impacts and to promote the positive ones, shall be developed, implemented and monitored. - Major compliance -	The mill has established Environmental Action plan based on the Environmental Risk Assessment conducted. The Action plan was reviewed on annual basis.	Yes
4.5.1.4	A programme to promote the positive impacts should be included in the continual improvement plan. - Minor compliance -	Positive impact on environment was identified through the environmental risk assessment. Based on the assessment, there is no positive impact to the environment arise from the mill activities identified.	Yes
4.5.1.5	An awareness and training programme shall be established and	The mill has established training programs that covered the subjects of the MSPO & RSPO requirements, with regular	Yes

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Criterion / Indicator		Assessment Findings	Compliance
	implemented to ensure that employees understand the policy, objectives and management plans and are working towards achieving objectives. - Major compliance -	assessments of training needs. The training on RSPO & MSPO awareness included on the policy and objectives of the environmental management and improvement plans.	
4.5.1.6	The management shall organize regular meetings with workers where concerns of workers about the environmental quality are discussed. - Major compliance -	Discussion on the concern of workers about the environmental quality was done through meetings, morning muster and stakeholders meeting. Records of attendance were maintained for verification.	Yes
Criterion 4.5.2: Efficiency of energy use and use of renewable energy			
4.5.2.1	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 - Major compliance -	The monitoring of non-renewable energy usage was done on monthly basis. Average diesel usage FY 2019 recorded around 0.35 lt/mt FFB.	Yes
4.5.2.2	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. - Major compliance -	The estimate of the direct usage of non-renewable energy for the mill's 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 operating unit annual budgets.	Yes

Criterion / Indicator		Assessment Findings	Compliance
4.5.2.3	The use of renewable energy should be applied where possible. - Minor compliance -	Renewable energy used is from biofuel (shell and fiber) for boiler start-up. Renewable energy, from the methane capturing at biogas plant, generates electricity and supplied to national grid. This helped the mill to improve the efficiency of fossil fuel consumption.	Yes
Criterion 4.5.3: Waste management and disposal			
4.5.3.1	All waste products and sources of pollution shall be identified and documented. - Major compliance -	The mill had identified all waste products and its source of pollution and documented in Types of Waste Products and Method of Disposal. Among the wastes identified were: <ul style="list-style-type: none"> - Domestic waste – rubbish from the mill complex and employees’ quarters (disposed by estate management). - Recyclable wastes – Fibre, palm kernel shell, boiler ash, scrap iron - Scheduled wastes – Spent IPA, contaminated oil filter, spent lubricants, spent hydraulic oil, empty grease containers, used batteries 	Yes
4.5.3.2	A waste management plan shall be developed and implemented, to avoid or reduce pollution. The waste management plan should include measure for: <ol style="list-style-type: none"> 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. - Major compliance -	The mill has established waste management plan based on the waste identified and documented in Types of Waste Products and Method of Disposal, Action Plan to Reduce Waste. The following implementation of the management plans were verified: <ul style="list-style-type: none"> - Scheduled wastes inventory was recorded in Scheduled Waste Log Book before submitted to DOE through e-swiss - Fiber and Kernel were used as boiler fuel - EFB were disposed through land application at the estate 	Yes
4.5.3.3	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,	The mill has established a flow chart for Scheduled Waste Handling for all scheduled waste generated such as SW102, SW305, SW410, SW409 and SW404 as per regulation.	Yes

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Criterion / Indicator		Assessment Findings	Compliance
	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 - Major compliance -	The mill also has a proper Scheduled Waste Store for storing scheduled waste until time of disposal by DOE authorized waste disposal contractor.	
4.5.3.4	Domestic waste should be disposed as such to minimize the risk of contamination of the environment and watercourse. - Minor compliance -	Domestic wastes disposal is managed by the estate. Refer to Indicator 4.5.3.5 of MSPO Part 3.	Yes
Criterion 4.5.4: Reduction of pollution and emission			
4.5.4.1	An assessment of all polluting activities shall be conducted, including greenhouse gas emissions, particulate and soot emissions, scheduled wastes, solid wastes and effluent. - Major compliance -	The mill has conducted assessment on all polluting activities through analysis of environmental aspects and impacts. The outcome was documented in the Environmental Risk Assessment. The analysis was reviewed on annual basis. Apart from that, the unit is also calculating their GHG emission through the utilization of a GHG calculator.	Yes
4.5.4.2	An action plan to reduce identified significant pollutants and emissions shall be established and implemented. - Major compliance -	Environment Management Plan was established to reduce identified significant pollutants and emissions. Among the action plans verified were handling of scheduled wastes through EQA regulations, regular desludging of effluent ponds, installation of dust collectors at boilers' chimneys, etc.	Yes
4.5.4.3	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	UIE POM is using the biochemical treatment plant to treat its effluent through series of ponds such as cooling, aerobic and anaerobic. A biogas plant is also in place as part of the treatment series. Under the DOE's Compliance Schedule (<i>Jadual Pematuhan</i>),	Yes

Criterion / Indicator		Assessment Findings	Compliance
	<p>respective state and national policies and regulations.</p> <p>- Major compliance -</p>	<p>UIE POM is required to treat its effluent until the BOD level is below 5,000 mg/l before applying it to land application through furrow system. Based on the latest four quarterly returns to the DOE, BOD readings of final discharge were all below 5,000 mg/l. The samples of final discharge were analysed by an accredited third-party laboratory.</p>	
Criterion 4.5.5: Natural water resources			
4.5.5.1	<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"> a) Assessment of water usage and sources. b) Monitoring of outgoing water which may have negative impacts into the natural waterways at a frequency that reflects the mill's current activities. 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.). <p>- Major compliance -</p>	<p>Water management plan has been established and implemented by the mill. The objective of the plan is to maintain the quality and availability of natural water resources. The plans, among others were:</p> <ul style="list-style-type: none"> - To minimize wastage of treated water through maintenance of pipelines and monitoring of water consumption by employees - To avoid pollution of raw water resources by implementing the pollution prevention plans and monitor the river water quality through water analysis 	Yes
4.5.5.2	<p>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.</p> <p>- Major compliance -</p>	<p>POME is not discharged to any water course. It is disposed through land application as prescribed under <i>Jadual Pematuhan</i> (compliance schedule) no. 004239. Monitoring of BOD of the POME is done through lab analysis. The results were submitted to the DOE through quarterly report.</p>	Yes

Criterion / Indicator		Assessment Findings	Compliance
4.6 Principle 6: Best Practices			
Criterion 4.6.1: Mill Management			
4.6.1.1	Standard operating procedures shall be appropriately documented and consistently implemented and monitored. - Major compliance -	UIE Palm Oil Mill maintains its Standard Operating Procedure for mill operations, dated 22/2/2017. Among the operations covered are: <ul style="list-style-type: none"> - Reception Station - Fruit Handling - Sterilization - Threshing - Empty Bunch Press - Digestion and pressing - Clarification - Kernel Extraction - Effluent Treatment & Waste Management 	Yes
4.6.1.2	All palm oil mills shall implement best practices. - Major compliance -	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. The report covers on all aspect of operation. Latest CED visit conducted on 30/5/2020. The mill has taken necessary actions to rectify the CED's comments.	Yes
Criterion 4.6.2: Economic and financial viability plan			

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Criterion / Indicator		Assessment Findings	Compliance
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 -	UIE certification unit has established and implemented its commitment to long term sustainability and improvements through a revenue budget and capital expenditure program. Revenue budget for both mill and estate with 3 years projection (2020- 2023) was verified. The budget includes operational and maintenance costs. It was noted that there is a significant reduction in operational cost between 2020 and the next three years due to application of mechanization in the estate upkeep operation.	Yes
Criterion 4.6.3: Transparent and fair price dealing			
4.6.3.1	Pricing mechanisms for the products and other services shall be documented and effectively implemented. - Major compliance -	FFB supplier mainly from UIE Estate, which is own estate. For contractor, sighted contract for Sakthy Transport Sdn Bhd, for CPO transporter dated 01 January 2020. The agreement is valid until 31 Dec 2020.	Yes
4.6.3.2	All contracts shall be fair, legal and transparent and agreed payments shall be made in timely manner. - Major compliance -	This requirement is in compliance. All contracts and purchases are documented i.e: in the form of purchase orders, invoices, and contracts for the larger transaction. All documents are signed by both vendor and mill. Sample of contract sighted for Sakthy Transport Sdn Bhd, for CPO transporter dated 01 January 2020. All contracts terms and conditions were made transparent and agreed from both parties. Seen also the payment voucher no 0320012390 for Sakthy Transport Sdn Bhd, for CPO transporter dated 31 July 2020 amounted RM 39,XXX.XX	Yes
Criterion 4.6.4: Contractor			

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Criterion / Indicator		Assessment Findings	Compliance
4.6.4.1	<p>In case of the engagement of contractors, they shall be made to understand the MSPO requirements and shall provide the required documentation and information.</p> <p>- Major compliance -</p>	<p>UIE Oil Mill had informed its contractors regarding the need to follow the MSPO requirements through the agreement signed on 01/01/2020.</p> <p>It mentions:</p> <p>The contractor shall adhere to the attached UP's company policies as follows which are required under MSPO & RSPO certifications:</p> <ol style="list-style-type: none"> 1. Human Rights Policy 2. Environment and Biodiversity Policy 3. OSH Policy 4. Gender Policy 5. Whistleblowers Policy 6. Code of Conduct and Business Ethics 	Yes
4.6.4.2	<p>The management shall provide evidence of agreed contracts with the contractor.</p> <p>- Major compliance -</p>	<p>Sample of contract sighted for Sakhly Transport Sdn Bhd, for CPO transporter dated 01 January 2020.</p> <p>All contracts terms and conditions were made transparent and agreed from both parties.</p> <p>Evidence of agreed contracts with the contractors were verified.</p>	Yes
4.6.4.3	<p>The management shall accept MSPO approved auditors to verify the assessments through a physical inspection, if required.</p> <p>- Minor compliance -</p>	<p>The requirement of accepting MSPO accredited auditors to audit against the contractors are being mentioned in the MSPO Policy signed on 29 March 2018 by Dato Carl Bek-Nielson.</p>	Yes

MS 2530-3:2013 Malaysian Sustainable Palm Oil (MSPO) Part 3: General principles for Plantations and Organized Smallholders

Criterion / Indicator		Assessment Findings	Compliance
4.1 Principle 1: Management commitment & responsibility			
Criterion 4.1.1 – Malaysian Sustainable Palm Oil (MSPO) Policy			
4.1.1.1	A policy for the implementation of MSPO shall be established. - Major compliance -	United Plantation Berhad has established MSPO policy which signed by Chief Executive Director, Dato’ Carl Bek-Nielsen effective date 29th March 2018.	Yes
4.1.1.2	The policy shall also emphasize commitment to continual improvement. - Major compliance -	The established policy has emphasized on the commitment for key legal, social and environmental consideration with the objective of improving the milling and estate operation. The policy has included these elements of: <ul style="list-style-type: none"> 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 planting 	Yes
Criterion 4.1.2 – Internal Audit			
4.1.2.1	Internal audit shall be planned and conducted regularly to determine the strong and weak points and potential area for further improvement.	Internal audit process is documented under Internal Audit Procedure, dated 15.02.2019, revision 1. Annual audit schedule for 2020 was made available for review. UIE POM and its supply bases was scheduled to have the internal audit on June 2020. The internal audit was carried out on 15/06/2020 by pool of trained internal audit from	Yes

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Criterion / Indicator		Assessment Findings	Compliance
	- Major compliance -	HREHS department. Cross department/mill audit was demonstrated to ensure impartiality of audit.	
4.1.2.2	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. - Major compliance -	Internal audit procedure, dated 15.02.2019, revision 1 established and used as reference for audit process. Audit results documented under internal audit summary dated 15/06/2020. 8 site NCs and 1 documentation NC with 1 OFI findings for both RSPO-MSPO were raised. The action plan was submitted to Group Manager HRESH for closure. The findings were closed through the follow up internal audit on 24/08/2020.	Yes
4.1.2.3	Report shall be made available to the management for their review. - Major compliance -	Internal audit report and verification report dated 15/06/2020 was made available to the management for review.	Yes
Criterion 4.1.3 – Management Review			
4.1.3.1	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. - Major compliance -	UPB is RSPO certified. The last management review was conducted on 20.08.2020. The management review had included internal and external sustainable palm oil audit results review. The status of the correction and preventive actions are being discuss and reviewed.	Yes
Criterion 4.1.4 – Continual Improvement			
4.1.4.1	The action plan for continual improvement shall be based on consideration of the main social and environmental impact and opportunities of the company.	Among the continual improvement plan implemented by UIE Estate were as below: 1. COVID-19 Preventive Measurement.	Yes

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Criterion / Indicator		Assessment Findings	Compliance
	- Major compliance -	2. Reduction in chemicals for immature and mature oil palm. 3. Integrated Pest Management. 4. Roll Over Protection System (ROPS)	
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 -	Provisions were made in the annual and forecast business plans / budgets for the necessary resources including training, to implement the new techniques. As todate in UIE Estate, there is an introduction for new materials 'PalmPro' as the lightest harvesting poles.	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 -	As todate in UIE Estate, there is an introduction for new materials 'PalmPro' as the lightest harvesting poles. As this is under trial implementation, UIE Estate has bought 5 pieces on 26/08/2020 for start. Sighted the tax invoice: IV191119 amounting RM 1687.50 dated 26/08/2020 and purchase order no 662002075 dated 22/08/2020 amounted RM 1687.50. If this is succeed, it will be included in the next annual budget for mass implementation.	Yes
4.2 Principle 2: Transparency			
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.	The Standard Operation Procedure documented the process for Procedure for both External & Internal Stakeholders. There is also Grievance Redressal procedure which has steps to be followed to solve issues raised by workers. The time frame to provide feedback to the stakeholder is documented to be total of 24 days for internal and 30 days for external complaint.	Yes

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Criterion / Indicator		Assessment Findings	Compliance
	- Major compliance -	The officer-in-charge for estate is Mr Geoffrey Cooper as per appointment letter dated 29.03.2018 whom is responsible to commit and implement the sustainability concepts outline in RSPO, RSPO NEXT and MSPO P&Cs.	
4.2.1.2	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. - Major compliance -	United Plantation continued to use the group website for disseminating public information. The Sustainability Report and Group Annual report is available in website. Information relating to land titles, safety and health plans, pollution prevention plans, and annual report are available at the mill. 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. Procedure for complaints and grievances were available through UP website and medium used are via suggestion box in office or write in to UP head office.	Yes
Criterion 4.2.2 – Transparent method of communication and consultation			
4.2.2.1	Procedures shall be established for consultation and communication with the relevant stakeholders. - Major compliance -	The Standard Operation Procedure documented the process for Procedure for both External & Internal Stakeholders. There is also Grievance Redressal procedure which has steps to be followed to solve issues raised by workers.	Yes
4.2.2.2	A management official should be nominated to be responsible for issues related to Indicator 1 at each operating unit. - Minor compliance -	The officer-in-charge for estate is Mr Geoffrey Cooper as per appointment letter dated 29.03.2018 whom is responsible to commit and implement the sustainability concepts outline in RSPO, RSPO NEXT and MSPO P&Cs.	Yes

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Criterion / Indicator		Assessment Findings	Compliance
4.2.2.3	List of stakeholders, records of all consultation and communication and records of action taken in response to input from stakeholders should be properly maintained. - Major compliance -	Stakeholder’s list for both UIE POM and UIE Estate including all the internal and external party such as OSHA committee, Gender Committee, Temple Committee, Statutory Bodies, Penghulu & Ketua Kampung, Local Bankers and others as updated on June 2020.	Yes
Criterion 4.2.3 – Traceability			
4.2.3.1	The management shall establish, implement and maintain a standard operating procedure to comply with the requirements for traceability of the relevant product(s). - Major compliance -	SOP for Traceability rev:01 dated 15/2/19 describes the procedure for monitoring and to ensure accuracy of sustainable and non-sustainable receipts, dispatches and stock balance to conform to the requirement of MSPO. These includes both miller’s and grower’s traceability ID/label for locomotives: <ul style="list-style-type: none"> a. Date of harvest b. Gang number c. Field number Delivery order (DO) indicated the details of: <ul style="list-style-type: none"> a. Cages number b. DO number 	Yes
4.2.3.2	The management shall conduct regular inspections on compliance with the established traceability system. - Major compliance -	There is an internal audit conducted on 15/06/2020 by HRESH team to inspect the compliance with traceability procedure in estate.	Yes
4.2.3.3	The management should identify and assign suitable employees to implement and maintain the traceability system. - Minor compliance -	The officer-in-charge for estate is Mr Geoffrey Cooper as per appointment letter dated 29.03.2018 whom is responsible to commit and implement the sustainability concepts outline in RSPO, RSPO NEXT and MSPO P&Cs.	Yes

Criterion / Indicator		Assessment Findings	Compliance
4.2.3.4	Records of sales, delivery or transportation of FFB shall be maintained. - Major compliance -	There is no sale of the FFB as UIE estate is the only supply base to UIE Mill and belongs to the United Plantation Berhad. Sampled the weighbridge ticket provided the following details: Weigh chit no: 0000122653 Product: FFB Field No: 117 LF Vehicle No: TF069 Date: 02/08/2020 Net weight: 1370 kg	Yes
4.3 Principle 3: Compliance to legal requirements			
Criterion 4.3.1 – Regulatory requirements			
4.3.1.1	All operations are in compliance with the applicable local, state, national and ratified international laws and regulations. - Major compliance -	UIE Estate has continued to comply with local, state, national and ratified international laws and regulations. Related permits and licenses were made available and valid as the time of assessment. Sampled of licenses and permit checked: <ol style="list-style-type: none"> 1. JTK Permit for Night shift work for female, BHG PU/9/135 Jld 14 (8) dated 19.07.2018 to UPB-UIE. 2. JTK Permit for salary advance, no siri: 0232 to UIE (M) Sdn Bhd dated 30.08.2008. 3. KDN Kuota Approval for UPB for 1000 workers valid from 28.05.2018 to 27.11.2019. 4. JTK Permit for salary deduction as per Employment Act 1955 dated 01.06.2012. 5. MPOB license: 502076202000 dated 01/08/2020 until 31/07/2021. 6. KPDHEP No: A001079 for Diesel (Euro 2M) for 50,000 Litre 	Yes

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Criterion / Indicator		Assessment Findings	Compliance
		and Petrol (Ron 95) for 16,000 Litre valid from 29/06/2020 – 28/06/2021. 7. Jabatan Polis (Resit no: 19QHTR500389 dated 15/08/2019) – Pembaharuan Senjatapi Tahun 2019/2020.	
4.3.1.2	The management shall list all laws applicable to their operations in a legal requirement register. - Major compliance -	UIE Estate continued to implement and maintain their established documented system for identifying, accessing, tracking updates and monitoring of compliance with the legal requirements that are applicable to the CU’s operation. Each office of the operating unit (mill and estate) has its own legal requirements register (LRR) and were being evaluated individually from time to time for compliance mainly through internal audit. Among the applicable legal laws registered are EQA, OSHA, Factory & Machinery Act, Employment Act, Workers’ Minimum Standard of Housing and Amenities Act, to name a few.	Yes
4.3.1.3	The legal requirements register shall be updated as and when there are any new amendments or any new regulations coming into force. - Major compliance -	UIE Estate has various mechanisms to ensure the legal requirements are complied with. In LRR format there is a column to report the status of compliance which was utilized to report the compliance status of all the applicable legal requirements. Other information available in the format was document/action plan needed, PIC and frequency of monitoring. For any new changes in law, the management has updated in in separate list of monitoring the changes in law. On top of that, there was a list of licenses which have the information about type of license, expiry date and validity period.	Yes
4.3.1.4	The management should assign a person responsible to monitor compliance and to track and update the changes in regulatory requirements. - Minor compliance -	The Company Secretary [Mr. C. Mathews (HQ)] will track and update any changes in the law. Among the method or platforms used for tracking are: <ul style="list-style-type: none"> • Internet subscription such as Lawnet.com • News and announcement from statutory bodies and government departments such as SOCSO, EPF, etc. 	Yes

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Criterion / Indicator		Assessment Findings	Compliance									
		<ul style="list-style-type: none"> Participation of associations and seminars such as Malayan Agricultural Producers Association (MAPA), Malaysian Palm Oil Association (MPOA) <p>Example for new changes sighted were Minimum Wage Order (Amended) 2020 – starting in 01.01.2020 minimum wage is RM 1200 for town area and RM 1100 for outside of town area.</p>										
Criterion 4.3.2 – Lands use rights												
4.3.2.1	<p>The management shall ensure that their oil palm cultivation activities do not diminish the land use rights of other users.</p> <p>- Major compliance -</p>	<p>The total area for all land titles are 10,369.26 Ha for all Estate 1, Estate 2 cross referenced with Annual Report 2019 for UIE estates.</p> <p>Sampled below land title:</p> <ol style="list-style-type: none"> HSD No: 21323 Negeri: Perak Daerah: Manjung Bandar/Pekan/Mukim: Mukim Pengkalan Baharu No lembaran: 658, 659, 673, 686, 699, 1034, 1035, 1037, 1038 & 1041 No lot: Lot 17029 Luas Sementara: 121 Ha 	Yes									
4.3.2.2	<p>The management shall provide documents showing legal ownership or lease, history of land tenure and the actual use of the land.</p> <p>- Major compliance -</p>	<p>United Plantation Berhad (UPB) acquired all the land directly from the Perak State government. There were no issues of land disputes recorded. All land title was kept in the office and available for review.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;">Grant</th> <th style="width: 33%;">Lot no</th> <th style="width: 33%;">Hectare</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">21321</td> <td style="text-align: center;">17027</td> <td style="text-align: center;">2316.00</td> </tr> <tr> <td style="text-align: center;">352537</td> <td style="text-align: center;">10425</td> <td style="text-align: center;">121.00</td> </tr> </tbody> </table>	Grant	Lot no	Hectare	21321	17027	2316.00	352537	10425	121.00	Yes
Grant	Lot no	Hectare										
21321	17027	2316.00										
352537	10425	121.00										

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Criterion / Indicator		Assessment Findings			Compliance
		21320	17026	3845.00	
		352535	10423	142.80	
		21421	1343	39.46	
		21420	1342	3895.00	
		2452	1189	3.2451	
		22197	1188	6.6975	
4.3.2.3	Legal perimeter boundary markers should be clearly demarcated and visibly maintained on the ground where practicable. - Major compliance -	Based on the site visit, the common method of demarcation of boundaries was by putting up concrete pegs that painted with white colour and GPS coordinates information was printed on them. Other than that, boundary trenching method is also used.			Yes
4.3.2.4	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). - Minor compliance -	There is no land dispute recorded. This was verified with stakeholders' consultation. In order to deal with future arising land dispute (if applicable), 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
Criterion 4.3.3 – Customary rights					

Criterion / Indicator		Assessment Findings	Compliance
4.3.3.1	Where lands are encumbered by customary rights, the company shall demonstrate that these rights are understood and are not being threatened or reduced. - Major compliance -	There is no customary land for the portion of land.	N/A
4.3.3.2	Maps of an appropriate scale showing extent of recognized customary rights land, if any, should be made available. - Minor compliance -	There is no customary land for the portion of land.	N/A
4.3.3.3	Negotiation and FPIC shall be recorded and copies of negotiated agreements should be made available. - Major compliance -	There is no customary land for the portion of land.	N/A
4.4 Principle 4: Social responsibility, health, safety and employment condition			
Criterion 4.4.1: Social Impact Assessment (SIA)			
4.4.1.1	Social impact should be identified and plans are implemented to mitigate the negative impacts and promote the positive ones. - Minor compliance -	The Social Impacts Assessment (SIA), Social Impacts Management Plan (SIM) & Social Impacts Review Plan (SIRP) 2020, was conducted for UIE Estate internally and annually by the Internal Management involving all stakeholders. The latest SIA was conducted in 05 August 2020. Key areas identified in the SIA was on access and use rights, economic livelihoods and working conditions, subsistence activities/amenities, human rights, cultural and religious activities, medical and health facilities, education facilities and operational activities (nursery, replanting, weeding, pruning and others).	Yes

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Criterion / Indicator		Assessment Findings	Compliance
		The action plan identified the issues & strategies, action plan, responsible person and time frame.	
Criterion 4.4.2: Complaints and grievances			
4.4.2.1	A system for dealing with complaints and grievances shall be established and documented. - Major compliance -	The Standard Operation Procedure documented the process for Procedure for both External & Internal Stakeholders.	Yes
4.4.2.2	The system shall be able to resolve disputes in an effective, timely and appropriate manner that is accepted by all parties. - Major compliance -	Sighted the Registry of Complaints book recording all the feedback and request from stakeholders, together with its completion date. Also, for external stakeholders, request or feedback to be made directly to the main office through verbal and letter.	Yes
4.4.2.3	A complaint form should be made available at the premises, where employees and affected stakeholders can make a complaint. - Minor compliance -	The Registry of Complaints book is made available in the Mill & Estate office. In case the complainant would want to make an anonymity, 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. - Minor compliance -	Interview conducted with workers to confirm their understanding of the complaint and grievance process. There is no critical grievance recorded for the pass one year. Only request for maintenance and house repairs are made by workers.	Yes
4.4.2.5	Complaints and resolutions for the last 24 months shall be documented and made available to affected stakeholders upon request.	Seen the complaint recorded since 2012 in Registry of Complaints book and stakeholders request available during audit.	Yes

Criterion / Indicator		Assessment Findings	Compliance
- Major compliance -			
Criterion 4.4.3: Commitment to contribute to local sustainable development			
4.4.3.1	<p>Growers should contribute to local development in consultation with the local communities.</p> <p>- Minor compliance -</p>	<p>Management have made contribution to the internal and external stakeholders. As seen in Annual Report 2019 book, for the whole group, United Plantation has the actual amount as below:</p> <ul style="list-style-type: none"> • Hospital & medicine for employees, dependents and nearby communities RM 2,43,905 • Retirement benevolent fund RM 460,656 • Education, welfare, scholarships & others RM 323,408 • Bus subsidy for school children RM 169,244 • External donations RM 119,735 	Yes
Criterion 4.4.4: Employees safety and health			
4.4.4.1	<p>An occupational safety and health policy and plan shall be documented, effectively communicated and implemented.</p> <p>- Major compliance -</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). UIE Estate has established Safety and Health Plan. Among the implementation of the plans verified are as follows:</p> <ol style="list-style-type: none"> i) Various training for employees on occupational safety & health ii) Annual medical surveillance for employees exposed to agrochemicals according to CHRA recommendations 	Yes
4.4.4.2	<p>The occupational safety and health plan shall cover the following:</p> <p>a) A safety and health policy, which is communicated and implemented.</p>	<p>a) 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</p>	Major non-conformity

Criterion / Indicator	Assessment Findings	Compliance
<p>b) The risks 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 pesticides:</p> <ul style="list-style-type: none"> i. all employees involved shall be adequately trained on safe working practices ii. all precautions attached to products shall be properly observed and applied <p>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>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.</p> <p>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.</p> <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</p>	<p>multi-lingual version (English, Bahasa Malaysia, Bengali, Hindi and Nepal).</p> <p>b) The estate has 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. The HIRARC was last reviewed on 20/3/2020 where the risk of Covid-19 spreading was included.</p> <p>c) The estate has 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. Sighted the training records as follows:</p> <ul style="list-style-type: none"> - Ultra-Low Boom - SOP & HIRARC Training dated 4/3/2020 - Training & SOP of Selective Spraying dated 21/3/2020 - Chemical spillage training dated 25/4/2020 <p>d) Records were available of PPE issuance to workers and contractors, including signatures to confirm receipt. PPE standard is based on CHRA assessor's recommendation, SOP and HIRARC. The control of Covid-19 spreading was seen to be implemented which among others include of pre-entry test for visitors, checking of body temperature, face mask usage, had sanitizing, regular disinfecting of workplace, and social distancing. However, it was found that expired PPE (helmet) was given to some of those estate workers interviewed (manufactured date November 2017). Thus, a major non-conformity report was raised due to this lapse.</p> <p>e) SOP for chemical handling at the laboratory has been established based on HIRARC</p> <p>f) The estate has established Safety and Health committee led by the</p>	

Criterion / Indicator	Assessment Findings	Compliance
<p>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>- Major compliance -</p>	<p>Estate Manager as Chairman. The chairman has appointed the safety and health committee consist of management and employee representatives. There is also a safety officer appointed as a person of trust shall have knowledge and access to latest national regulations and collective agreements for UP.</p> <p>g) The committee conducted the meetings on quarterly basis to discuss issues regarding safety and health. Latest meeting was conducted on 16/6/2020.</p> <p>h) Accident and emergency procedures had been established and briefed to staff, workers, contractors and visitors. Emergency Response Team incorporated under OSH organization chart for 2020. Workers trained in firefighting, rescue method and prepared for the any unforeseen circumstances. Latest fire drill was carried out on 18/8/2020</p> <p>i) First aid kits were available at the estate where field operation is going on. Noted during interview with the workers shows awareness on the locations and basic first aid treatment. Latest first aid training was conducted on 14/2/2020, which includes the mill's first aiders as well.</p> <p>j) The estate maintains 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 & 8. JJKP 8 for was submitted to DOSH on annually basis. All accident cases were reviewed during OSH Committee meeting conducted on quarterly basis. Since the last audit, there were 6 accidents occurred but none of them is more than 4 days LTI.</p>	
<p>Criterion 4.4.5: Employment conditions</p>		

Criterion / Indicator		Assessment Findings	Compliance
4.4.5.1	<p>The management shall establish policy on good social practices regarding human rights in respect of industrial harmony. The policy shall be signed by the top management and effectively communicated to the employees.</p> <p>- Major compliance -</p>	<p>UIE POM implemented their Human Rights Policy, signed by Dato' Carl Bek-Nielsen on 09/03/2020. The management is treated the workers with respect and dignity. Awareness training on human rights policy has been conducted on 24/08/2020, 23/04/2020 and 19/01/2020.</p>	Yes
4.4.5.2	<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>- Major compliance -</p>	<p>Migrant workers are recruited with 3 years contract except for Indonesian workers where the contract is for 2 years. Local workers are on a long-term employment. No any kind of discrimination was noted. Job opportunities and amenities such as free housing, subsidized rate of water and electric supplier (connect to national water and electricity supply) and medical care are given to all employees without discrimination.</p>	Yes
4.4.5.3	<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>- Major compliance -</p>	<p>All the workers are under direct employment. The pay slip has included basic income, allowance pay, working days, medical leave, and deduction of salary and others as per employment contract. The latest Collective Agreement referred is MAPA/NUPW POM Employees Agreement 2019.</p> <p>The payroll for the following sampled workers for Nov 2019, April 2020 & June 2020 were verified to be consistent with the Minimum Wages Order 2020.</p> <p>Sampled workers seen as below:</p> <ol style="list-style-type: none"> 1. Estate worker ID: 105228 2. Estate worker ID: 171 3. Estate worker ID: 112792 	Yes

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Criterion / Indicator		Assessment Findings	Compliance
		4. Estate worker ID: 208314 5. Estate worker ID: 309172 6. Estate worker ID: 275 7. Estate worker ID: 704 8. Estate worker ID: 702 9. Estate worker ID: 310893 10. Estate worker ID: 962 There was no complaint raised 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 2020 which achieved RM 1200/ month or RM 46.15/day.	
4.4.5.4	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. - Minor compliance -	There is no contractor worker hired in UIE Estate. All workers are directly hired to work under UIE Estate. The contractor hired is an individual worker.	Yes
4.4.5.5	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. - Major compliance -	The workers master list was reviewed. The list includes date of birth, date joined, gender, nationalities. etc.	Yes

Criterion / Indicator		Assessment Findings	Compliance
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 is available for each and every employee indicated in the employment records.</p> <p>- Major compliance -</p>	<p>The following contracts has been verified to confirm that workers have binding working agreement with the company: Sampled workers seen as below:</p> <ol style="list-style-type: none"> 1. Estate worker ID: 105228 2. Estate worker ID: 171 3. Estate worker ID: 112792 4. Estate worker ID: 208314 5. Estate worker ID: 309172 6. Estate worker ID: 275 7. Estate worker ID: 704 8. Estate worker ID: 702 9. Estate worker ID: 310893 10. Estate worker ID: 962 <p>Interview with the workers confirms that they have a copy of the employment contract and they understood the conditions stated in the contract.</p>	Yes
4.4.5.7	<p>The management shall establish a time recording system that makes working hours and overtime transparent for both employees and employer.</p> <p>- Major compliance -</p>	<p>Checkroll system records are used to reflecting working hours and overtime in UIE Estate.</p> <p>In case the worker is on leave/absence, it is recorded in the same system.</p> <p>Verified the overtime and working hours:</p>	Yes

Criterion / Indicator		Assessment Findings	Compliance
		<p>Sampled workers seen as below:</p> <ol style="list-style-type: none"> 1. Estate worker ID: 105228 2. Estate worker ID: 171 3. Estate worker ID: 112792 4. Estate worker ID: 208314 5. Estate worker ID: 309172 6. Estate worker ID: 275 7. Estate worker ID: 704 8. Estate worker ID: 702 9. Estate worker ID: 310893 10. Estate worker ID: 962 	
4.4.5.8	<p>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.</p> <p>- Major compliance -</p>	<p>Checkroll system records are used to reflecting working hours and overtime in UIE Estate.</p> <p>In case the worker is on leave/absence, 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>- Major compliance -</p>	<p>The payslip and the inputs were reviewed to confirm the wages and overtime is in line with legal requirements of Employment Act 1955, minimum wage order 2020 and worker's employment contract.</p>	Yes

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Criterion / Indicator		Assessment Findings	Compliance
4.4.5.10	Other forms of social benefits should be offered by the employer to employees, their families or the community such as incentives for good work performance, bonus payment, professional development, medical care and health provisions. - Minor compliance -	The company provides free medical benefit to worker’s dependent at the estate’s clinics. As seen in Annual Report 2019 book, for the whole group, United Plantation has the actual amount as below: <ul style="list-style-type: none"> • Hospital & medicine for employees, dependents and nearby communities RM 2,43,905 • Retirement benevolent fund RM 460,656 • Education, welfare, scholarships & others RM 323,408 • Bus subsidy for school children RM 169,244 • External donations RM 119,735 	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 in compliance with the Workers' Minimum Standards Housing and Amenities Act 1990 (Act 446) or any other applicable legislation. - Major compliance -	The basic amenities and facilities at the quarters provided by the company to its workers include electricity, water and domestic waste disposal. Electricity and water are provided by government. Usage of electricity and water given with subsidized rate for the worker’s contract. During the linesite visit, it was observed that the housing is in good conditions. New houses were built with spacious and convenient for workers. 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 people with 3 bedrooms with 2 toilets per house. Linesite inspection was conducted in weekly basis by Hospital Assistant in both mill and estate.	Yes
4.4.5.12	The management shall establish a policy and provide guidelines 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.	Yes

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Criterion / Indicator	Assessment Findings	Compliance
<p>4.4.5.13 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 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>- Major compliance -</p>	<p>During the interview with workers, there are no evidence received that there is restriction from the company to allow workers to join trade union. The workers have their freedom to join the NUPW/MAPA union but in UIE, the workers have form internal worker’s union.</p> <p>The latest minutes of meeting of guest worker’s committee is sighted dated 22.06.2020 and attended by 31 workers for both UIE POM and UIE Estate. Some of the issue sighted are:</p> <ol style="list-style-type: none"> 3. Request to stop selling illegal alcohol drink that lead to fights at night. Action: chairman instructed Auxiliary Police to make a regular inspection at nights. 4. Complaint on damaged lamp post at Estate 1A difficulty the user at night. Action: Auxiliary Police to check the current condition and complaint to management if the lamp post is damaged. <p>Sighted the appointment letter for the committee members from Nepal, Bangladesh, Indonesian and India dated 01/01/2020 valid until 31/12/2020.</p>	<p>Yes</p>
<p>4.4.5.14 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 expose to hazardous working conditions.</p> <p>- Major compliance -</p>	<p>The Human Rights Policy was established and signed by Dato’ Carl Bek-Nielsen on 09/03/2020. The Policy mentioned that UPB will not tolerate the use of child or force labour, slavery or human trafficking in any of their plantations and facilities (anyone who less than 18 years old).</p>	<p>Yes</p>

Criterion / Indicator	Assessment Findings	Compliance	
Criterion 4.4.6: Training and competency			
4.4.6.1	<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>- Major compliance -</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. Following training records were verified:</p> <ul style="list-style-type: none"> - Fire drill dated 18/8/2020 - HCV Awareness dated 12/8/2020 - Security & night watchman dated 27/7/2020 - SOP & HIRARC training for platform manuring dated 12/7/2020 - SOP & HIRARC training for loading using tipper trailer dated 9/6/2020 - HIRARC training standard mechanical harvesting and giving payslip dated 7/4/2020 	<p>Yes</p>
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>- Major compliance -</p>	<p>All the trainings mentioned in Indicator 4.4.6.2 were identified through training needs analysis which is based on type of jobs and also recommendation by external assessors related to occupational safety.</p>	<p>Yes</p>
4.4.6.3	<p>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.</p> <p>- Minor compliance -</p>	<p>The estate reviewed the training need analysis and program on annually basis to ensure the continuous training for all workers. Training evaluation forms were also utilized to ensure the effectiveness of the training conducted.</p>	<p>Yes</p>

Criterion / Indicator	Assessment Findings	Compliance	
4.5 Principle 5: Environment, natural resources, biodiversity and ecosystem services			
Criterion 4.5.1: Environmental Management Plan			
4.5.1.1	An environmental policy and management plan in compliance with the relevant country and state environmental laws shall be developed, effectively communicated and implemented. - Major compliance -	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
4.5.1.2	The environmental management plan shall cover the following: a) An environmental policy and objectives; b) The aspects and impacts analysis of all operations. - Major compliance -	Environmental Risk Assessment (ERA) was last reviewed on 5/8/2020. There were 3 main criteria considered in the assessment i.e. severity, quantity/load, probability. From the assessment, the information about the level of environmental risks were then obtained and it was important to determine the action plan thereafter. Verification of the assessment report showed that all activities in the estate that could interact with the environment were assessed.	Yes
4.5.1.3	An environmental improvement plan to mitigate the negative impacts and to promote the positive ones, shall be developed, effectively implemented and monitored. - Major compliance -	The mill has established Environmental Action plan based on the Environmental Risk Assessment conducted. The Action plan was reviewed on annual basis.	Yes
4.5.1.4	A programme to promote the positive impacts should be included in the continual improvement plan. - Minor compliance -	Positive impact on environment was identified through the environmental risk assessment. Example of positive impact identified and promoted by the estate is changing of railway wooden sleepers to metal.	Yes

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Criterion / Indicator		Assessment Findings	Compliance
4.5.1.5	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. - Major compliance -	The estate has established training programs that covered the subjects of the MSPO & RSPO requirements, with regular assessments of training needs. The training on RSPO & MSPO awareness included on the policy and objectives of the environmental management and improvement plans.	Yes
4.5.1.6	Management shall organize regular meetings with employees where their concerns about environmental quality are discussed. - Major compliance -	Discussion on the concern of workers about the environmental quality was done through meetings, morning muster and stakeholders meeting. Records of attendance were maintained for verification.	Yes
Criterion 4.5.2: Efficiency of energy use and use of renewable energy			
4.5.2.1	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. - Major compliance -	The monitoring of non-renewable energy usage was done on monthly basis. Average diesel usage FY 2019 recorded around 2.8 lt/mt FFB.	Yes
4.5.2.2	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.	The estimate of the direct usage of non-renewable energy for the estate's 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 operating unit annual budgets.	Yes

Criterion / Indicator		Assessment Findings	Compliance
	- Major compliance -		
4.5.2.3	The use of renewable energy should be applied where possible. - Minor compliance -	There was no opportunity found by the estate on the use of renewable energy so far.	Yes
Criterion 4.5.3: Waste management and disposal			
4.5.3.1	All waste products and sources of pollution shall be identified and documented. - Major compliance -	The estate had identified all waste products and its source of pollution and documented in Types of Waste Products and Method of Disposal. Among the wastes identified were: <ul style="list-style-type: none"> - Domestic waste – rubbish from the estate complex and employees’ quarters - Recyclable wastes – plastic, glass and metal - Scheduled wastes – contaminated oil filter, spent lubricants, spent hydraulic oil, used batteries 	Yes
4.5.3.2	A waste management plan to avoid or reduce pollution shall be developed and implemented. The waste management plan should include measures for: <ol style="list-style-type: none"> a) Identifying and monitoring sources of waste and pollution b) Improving the efficiency of resource utilization and recycling of potential wastes as nutrients or converting them into value-added by-products - Major compliance -	The estate has established waste management plan based on the waste identified and documented in Types of Waste Products and Method of Disposal, Action Plan to Reduce Waste. The following implementation of the management plans were verified: <ul style="list-style-type: none"> - Scheduled wastes inventory was recorded in Scheduled Waste Log Book before submitted to DOE through e-swiss - Recyclable wastes were segregated and sold to recycle wastes collectors - Organic wastes were landfilled at the field 	Yes

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Criterion / Indicator		Assessment Findings	Compliance
4.5.3.3	<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>- Major compliance -</p>	<p>The estate has established a flow chart for Scheduled Waste Handling for all scheduled waste generated such as SW102, SW305, SW410, SW409 and SW404 as per regulation.</p> <p>The estate also has a proper Scheduled Waste Store for storing scheduled waste until time of disposal by DOE authorized waste disposal contractor.</p>	Yes
4.5.3.4	<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 labels should be adhered to. Reference should be made to the national programme on recycling of used HDPE pesticide containers.</p> <p>- Major compliance -</p>	<p>The management of the empty chemical containers is guided by a procedure entitled "Standard Operating Procedure (C) Triple Rinsing Empty Pesticide Containers", dated 26/5/2016. Based on the procedure, the empty containers must be triple rinsed, punctured and sold to recycler. Nonetheless, the estate still disposed through SW method due to difficulty to find collector. Verified receipt #20200902148NDYIZ dated 2/9/2020.</p>	Yes
4.5.3.5	<p>Domestic waste should be disposed as such to minimize the risk of contamination of the environment and watercourses.</p> <p>- Minor compliance -</p>	<p>Domestic wastes were landfilled in the field. Based on the site visit, it was noted that mostly only the organic wastes were landfilled. The recyclable wastes were segregated and sold to recycle centers.</p>	Yes
Criterion 4.5.4: Reduction of pollution and emission			
4.5.4.1	<p>An assessment of all polluting activities shall be conducted, including greenhouse gas emissions, scheduled wastes, solid wastes and effluent.</p> <p>- Major compliance -</p>	<p>The estate has conducted assessment on all polluting activities through analysis of environmental aspects and impacts. The outcome was documented in the Environmental Risk Assessment. The analysis was reviewed on annual basis. Apart from that, the unit is also calculating their GHG emission through the utilization of a GHG calculator.</p>	Yes

Criterion / Indicator		Assessment Findings	Compliance
4.5.4.2	<p>An action plan to reduce identified significant pollutants and emissions shall be established and implemented.</p> <p>- Major compliance -</p>	<p>Environment Management Plan was established to reduce identified significant pollutants and emissions. Among the action plans verified were handling of scheduled wastes through EQA regulations, reduce usage of chemicals by using mechanical mowers, judicious spraying program to avoid over-spray, used chemical containers are triple rinsed and punctured, LCC establishment, avoid spraying along the edges of water course etc.</p>	Yes
Criterion 4.5.5: Natural water resources			
4.5.5.1	<p>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"> a. Assessment of water usage and sources of supply. b. Monitoring of outgoing water which may have negative impacts into the natural waterways at a frequency that reflects the estate's current activities. 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.). 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. 	<p>Water management plan has been established and implemented by the estate. The objective of the plan is to maintain the quality and availability of natural water resources. The plans, among others were:</p> <ul style="list-style-type: none"> - To minimize wastage of treated water through maintenance of pipelines and monitoring of water consumption by employees - To avoid pollution of raw water resources by implementing the pollution prevention plans and monitor the river water quality through water analysis - Enriching the riparian zones with various tree species with the intention of creating biodiversity. This effort was witnessed during site visit at the riparian zones. 	Yes

Criterion / Indicator		Assessment Findings	Compliance
	<p>e. Where natural vegetation in riparian areas has been removed, a plan with a timetable for restoration shall be established and implemented.</p> <p>f. Where bore well is being use for water supply, the level of the ground water table should be measured at least annually.</p> <p>- Major compliance -</p>		
4.5.5.2	<p>No construction of bunds, weirs and dams across main rivers or waterways passing through an estate.</p> <p>- Minor compliance -</p>	There was no evidence that any bunds, weirs and dams across main rivers or waterways passing through the estate	Yes
4.5.5.3	<p>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).</p> <p>- Minor compliance -</p>	Generally, UIE Estate is terrain is flat. Water tables is maintained between 45-60 cm (acid sulphate areas), 60-90 cm (non-acid sulphate) and <60 cm below ground surface. The water tables are controlled through water gates and weirs in the field irrigations. To-date there are 15 water gates (1:425 Ha) and 127 weirs (1:50) available in the estate.	Yes
Criterion 4.5.6: Status of rare, threatened, or endangered species and high biodiversity value			
4.5.6.1	<p>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> <p>a) Identification of high biodiversity value habitats, such as rare and threatened ecosystems, that could be significantly affected by the grower(s) activities.</p>	The HCV assessment for the complex was conducted by Wild Asia. Report dated January 2008 was available for verification. The structure of the report generally has the description about methodology used, coverage and the findings on presence of HCV and RTE species.	Yes

Criterion / Indicator	Assessment Findings	Compliance
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. - Major compliance -		
4.5.6.2 If rare, threatened or endangered species, or high biodiversity value, are present, appropriate measures for management planning and operations should include: a) Ensuring that any legal requirements relating to the protection of the species are met. b) Discouraging any illegal or inappropriate hunting, fishing or collecting activities; and developing responsible measures to resolve human-wildlife conflicts. - Major compliance -	Based on the report, there was no HCV or RTE presence in the plantation. Nonetheless, UIE has its own self-declared conservation areas which included a botanical garden devoted to trees located near the estate’s office called Kingham/Cooper Sanctuary Trees Arboretum, Bek Nielsen Sanctuary (on peat soil), Bukit Kecil Jungle Sanctuary and riparian zones at Beruas River and Anak Macang River.	Yes
4.5.6.3 A management plan to comply with Indicator 1 shall be established and effectively implemented, if required. - Major compliance -	Although there was no RTE species or HCV reported to be present in the complex, the management still made efforts to monitor the conservation areas on sighting of animals’ presence and trace of human intrusion. The monitoring report was well maintained.	Yes
Criterion 4.5.7: Zero burning practices		

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Criterion / Indicator		Assessment Findings	Compliance
4.5.7.1	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 -	Based on the site visit, there was no evidence that fire has been used for waste disposal or other field works.	Yes
4.5.7.2	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 -	Based on the site visit, there was no evidence that fire has been used for waste disposal or other field works.	Yes
4.5.7.3	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 -	Based on the site visit, there was no evidence that fire has been used for waste disposal or other field works.	Yes
4.5.7.4	Previous crops should be felled or mowed down, chipped and shredded, windrowed or pulverized or ploughed and mulched. - Minor compliance -	United Plantation Berhad has established a SOP for Replanting dated 18/2/2008 which restrict the use of fire during land preparation. It is also stated in the SOP previous crops should be felled or mowed down, chipped and shredded, windrowed or pulverized or ploughed and mulched.	Yes
4.6 Principle 6: Best Practices			
Criterion 4.6.1: Site Management			

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Criterion / Indicator		Assessment Findings	Compliance
4.6.1.1	<p>Standard operating procedures shall be appropriately documented and consistently implemented and monitored.</p> <p>- Major compliance -</p>	<p>Agriculture best practice for the certification unit was guided by Standard Operating Procedures (Manual) (supplements)[approved by Ho Dua Tiam, Sr. Executive Director, dated 10/12/2007] which contents the following operations:</p> <ul style="list-style-type: none"> • Nursery • Replanting • Upkeep mature/immature oil palm • Water management • Boundaries • Oil palm pest management • Manuring immature & mature oil palm • Harvesting collection <p>The mechanism of checking the consistent implementation was mainly carried out through field supervision by field staff, executive and managers.</p>	Yes
4.6.1.2	<p>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.</p> <p>- Major compliance -</p>	<p>The estate terrain is 100% flat-undulating. This was observed during field visit and as per Topographic Map UIE, Bruas sheet 52. Planting of cover crop, EFB mulching and POME application were carried out to retain the soil structure and conservation.</p>	Yes
4.6.1.3	<p>A visual identification or reference system shall be established</p>	<p>All fields are marked and identified. Information such as year of planting, field no and the total hectare is shown in all markers. There</p>	Yes

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Criterion / Indicator		Assessment Findings	Compliance
	for each field. - Major compliance -	are both stenciled at the palm trees and displayed on signage at the boundary/corners of every fields. This was observed during the field visit.	
Criterion 4.6.2: Economic and financial viability plan			
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 -	UIE certification unit has established and implemented its commitment to long term sustainability and improvements through a revenue budget and capital expenditure program. Revenue budget for both mill and estate with 3 years projection (2020- 2023) was verified. The budget includes operational and maintenance costs. It was noted that there is a significant reduction in operational cost between 2020 and the next three years due to application of mechanization in the estate upkeep operation.	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 -	Oldest palm is planted in 2009. Thus, no replanting program is necessary in the next 5 years.	Yes
4.6.2.3	The business or management plan may contain: a) Attention to quality of planting materials and FFB b) Crop projection: site yield potential, age profile, FFB yield trends c) Cost of production: cost per tonne of FFB d) Price forecast	UIE certification unit has established and implemented its commitment to long term sustainability and improvements through a revenue budget and capital expenditure program. Revenue budget for both mill and estate with 3 years projection (2020- 2023) was verified. The budget includes operational and maintenance costs. Information about crop projection, cost of production, price forecast and revenue were also included in the budget. It was noted that there is a significant	Yes

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Criterion / Indicator		Assessment Findings	Compliance
	e) e) Financial indicators: cost benefit, discounted cash flow, return on investment - Major compliance -	reduction in operational cost between 2020 and the next three years due to application of mechanization in the estate upkeep operation.	
4.6.2.4	The management plan shall be effectively implemented, and the achievement of the goals and objectives shall be regularly monitored, periodically reviewed and documented. - Major compliance -	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 to-date.	Yes
Criterion 4.6.3: Transparent and fair price dealing			
4.6.3.1	Pricing mechanisms for the products and other services shall be documented and effectively implemented. - Major compliance -	FFB supplier mainly from UIE Estate, which is own estate. For contractor, sighted contract for Ten Crown Enterprise, dated 01.01.2020 as Super Mandore.	Yes
4.6.3.2	All contracts shall be fair, legal and transparent and agreed payments shall be made in timely manner. - Major compliance -	This requirement is in compliance. All contracts and purchases are documented i.e in the form of purchase orders, invoices, and contracts for the larger transaction. All documents are signed by both vendor and mill. Sample of contract sighted for Ten Crown Enterprise, dated 01.01.2020 as Super Mandore. All contracts terms and conditions were made transparent and agreed from both parties.	Yes
Criterion 4.6.4: Contractor			
4.6.4.1	Where contractors are engaged, they shall understand the	UIE Estate had informed its contractors regarding the need to follow the MSPO requirements through the agreement signed on 01/01/2020.	Yes

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Criterion / Indicator		Assessment Findings	Compliance
	<p>MSPO requirements and shall provide the required documentation and information.</p> <p>- Major compliance -</p>	<p>It mentions: The contractor shall adhere to the attached UP's company policies as follows which are required under MSPO & RSPO certifications:</p> <ol style="list-style-type: none"> 7. Human Rights Policy 8. Environment and Biodiversity Policy 9. OSH Policy 10. Gender Policy 11. Whistleblowers Policy 12. Code of Conduct and Business Ethics <p>For Supermandore contracted, the Company Policy training has been conducted on 24/08/2020 and they were briefed together with other Employee. Sighted the training record with attendance list on the Supermandore (Ten Crown Enterprise) presence. It is further verified during the interview with contractors too.</p>	
4.6.4.2	<p>The management shall provide evidence of agreed contracts with the contractor.</p> <p>- Major compliance -</p>	<p>Evidence of agreed contracts with the contractors were verified.</p> <p>Seen also the payment voucher no 0320012390 for Ten Crown Enterprise, for Supermandore dated 01 January 2020 amounted RM 81,XXX.XX</p>	Yes
4.6.4.3	<p>The management shall accept MSPO approved auditors to verify assessments through a physical inspection if required.</p> <p>- Minor compliance -</p>	<p>The requirement of accepting MSPO accredited auditors to audit against the contractors are being mentioned in the MSPO Policy signed on 29 March 2018 by Dato Carl Bek-Nielson.</p>	Yes
4.6.4.4	<p>The management shall be responsible for the observance of the control points applicable to the tasks performed by the</p>	<p>All works performed at the estates are checked and verified by the estates personnel before payment been made to the contractors. Example for Ten Crown Enterprise, the progress works are recorded in listing of work done by contractors for the month ended Jul 2020.</p>	Yes

Criterion / Indicator		Assessment Findings	Compliance
	contractor, by checking and signing the assessment of the contractor for each task and season contracted. - Major compliance -		
4.7 Principle 7: Development of new planting			
Criterion 4.7.1: High biodiversity value			
4.7.1.1	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 -	There is no new planting at UIE Estate, hence this requirement is not available.	N/A
4.7.1.2	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 -	There is no new planting at UIE Estate, hence this requirement is not available.	N/A
Criterion 4.7.2: Peat Land			
4.7.2.1	New planting and replanting may be developed and implemented on peat land as per MPOB guidelines on peat land development or industry best practice.	There is no new planting at UIE Estate, hence this requirement is not available.	N/A

Criterion / Indicator		Assessment Findings	Compliance
	- Major compliance -		
Criterion 4.7.3: Social and Environmental Impact Assessment (SEIA)			
4.7.3.1	A comprehensive and participatory social and environmental impact assessment shall be conducted prior to establishing new plantings or operations. - Major compliance -	There is no new planting at UIE Estate, hence this requirement is not available.	N/A
4.7.3.2	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. - Major compliance -	There is no new planting at UIE Estate, hence this requirement is not available.	N/A
4.7.3.3	The results of the SEIA shall be incorporated into an appropriate management plan and operational procedures developed, implemented, monitored and reviewed. - Major compliance -	There is no new planting at UIE Estate, hence this requirement is not available.	N/A
4.7.3.4	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. - Minor compliance -	There is no new planting at UIE Estate, hence this requirement is not available.	N/A

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Criterion / Indicator		Assessment Findings	Compliance
Criterion 4.7.4: Soil and topographic information			
4.7.4.1	Information on soil types shall be adequate to establish the long-term suitability of the land for oil palm cultivation. - Major compliance -	There is no new planting at UIE Estate, hence this requirement is not available.	N/A
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 -	There is no new planting at UIE Estate, hence this requirement is not available.	N/A
Criterion 4.7.5: 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 -	There is no new planting at UIE Estate, hence this requirement is not available.	N/A
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 -	There is no new planting at UIE Estate, hence this requirement is not available.	N/A
4.7.5.3	Marginal and fragile soils, including excessive gradients and peat soils, shall be identified prior to conversion.	There is no new planting at UIE Estate, hence this requirement is not available.	N/A

Criterion / Indicator		Assessment Findings	Compliance
	- Major compliance -		
Criterion 4.7.6: Customary land			
4.7.6.1	No new plantings are established on recognised customary 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. - Major compliance -	There is no new planting at UIE Estate, hence this requirement is not available.	N/A
4.7.6.2	Where new plantings on recognised customary lands are acceptable, management plans and operations should maintain sacred sites. - Minor compliance -	There is no new planting at UIE Estate, hence this requirement is not available.	N/A
4.7.6.3	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. - Major compliance -	There is no new planting at UIE Estate, hence this requirement is not available.	N/A
4.7.6.4	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.	There is no new planting at UIE Estate, hence this requirement is not available.	N/A

Criterion / Indicator		Assessment Findings	Compliance
	- Major compliance -		
4.7.6.5	<p>Identification and assessment of legal and recognised customary rights shall be documented.</p> <p>- Major compliance -</p>	There is no new planting at UIE Estate, hence this requirement is not available.	N/A
4.7.6.6	<p>A system for identifying people entitled to compensation and for calculating and distributing fair compensation shall be established and implemented.</p> <p>- Major compliance -</p>	There is no new planting at UIE Estate, hence this requirement is not available.	N/A
4.7.6.7	<p>The process and outcome of any compensation claims shall be documented and made publicly available.</p> <p>- Major compliance -</p>	There is no new planting at UIE Estate, hence this requirement is not available.	N/A
4.7.6.8	<p>Communities that have lost access and rights to land for plantation expansion should be given opportunities to benefit from the plantation development.</p> <p>- Minor compliance -</p>	There is no new planting at UIE Estate, hence this requirement is not available.	N/A

Appendix B: List of Stakeholders Contacted

<p>Government Officer:</p> <p>-</p>	<p>Community/neighbouring village:</p> <p>Kampung Sungai Batu/neighbouring smallholder Previous Landowner (Pang Meng Kong)</p>
<p>Suppliers/Contractors/Vendors:</p> <p>Primochem Sdn Bhd (Scheduled Waste Collector). Contractor (Supermandore)</p>	<p>Worker’s Representative/Gender Committee:</p> <p>Gender Committee Representatives Foreign & Local Workers Representative</p>

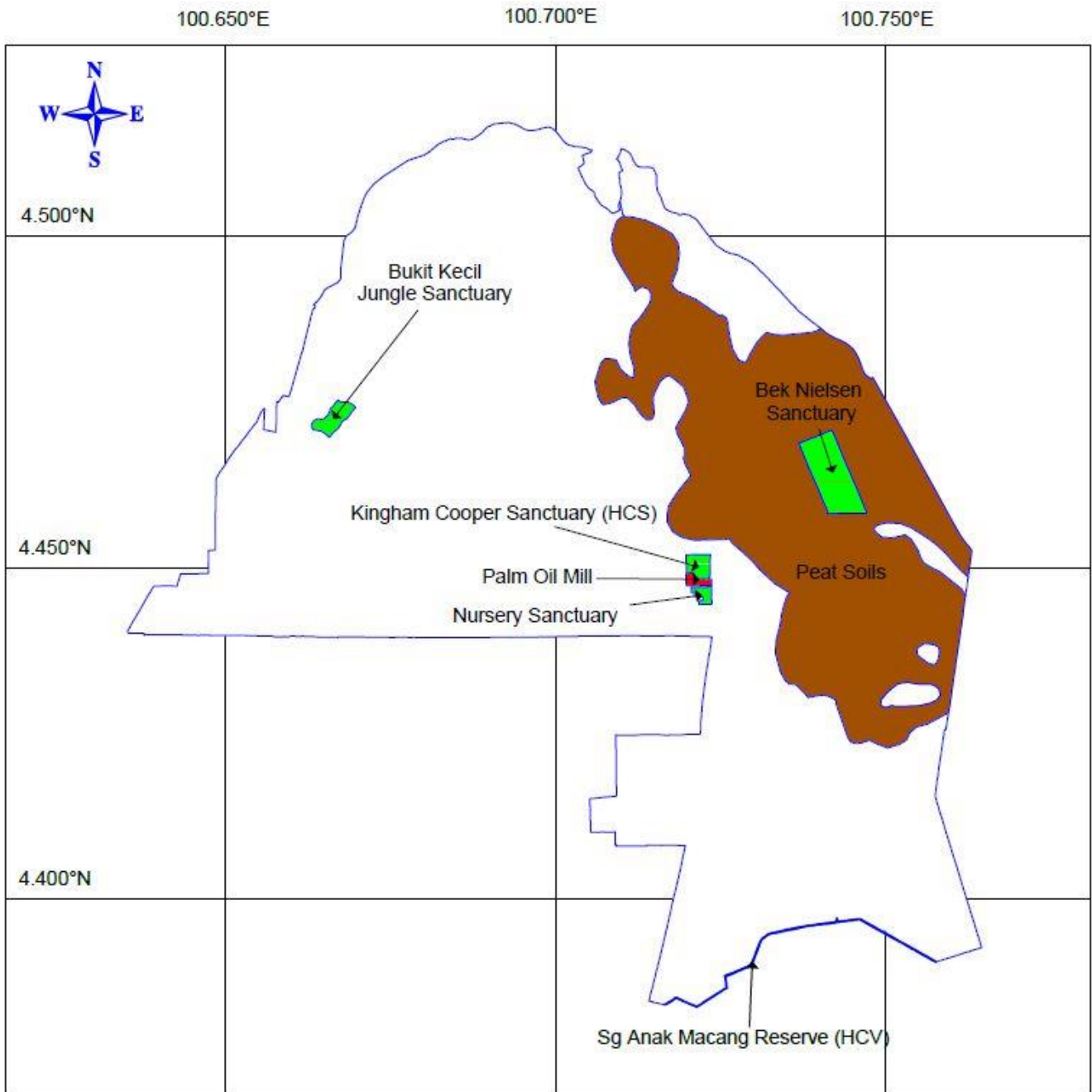
Appendix D: Location and Field Map



UIE POM



United Plantations Berhad
UIE Estates



UIE Estate

Appendix E: 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