

**RSPO PRINCIPLE AND CRITERIA –
RECERTIFICATION ASSESSMENT VISIT
Public Summary Report**

**PT SOCFIN INDONESIA -
Negeri Lama POM**

Address:

Certification Unit:
Negeri Lama Palm Oil Mill

Location of Certification Unit:
Kota Negeri Lama Village
Bilah Hilir District
Labuhan Batu Regency
North Sumatera Province 21471
Indonesia

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Section 1: Scope of the Certification Assessment

1. Company Details			
RSPO Membership Number	No.1-0017-04-000-00,	Membership Approval Date	7 th December 2004
Parent Company Name	SOCFIN SA		
Address	JL KL.Yos Sudarso No.106 Medan 20115, Sumatera Utara-Indonesia		
Subsidiary (Certification Unit Name)	PT SOCFIN INDONESIA, Negeri Lama Mill		
Address	Kota Negeri Lama, Kecamatan Bilah Hilir, Kabupaten Labuhan Batu, Sumatera Utara 21471, Indonesia		
Contact Name	Andria Zulmanitra		
Website	www.socfindo.co.id	E-mail	Andria.zulmanitra @yahoo.com
Telephone	(061) 6616-066	Facsimile	(061) 6614-390

2. Certification Information			
Certificate Number	No.FMS40084 issued by PT. SAI Global Indonesia	Date of First Certification	10 March 2014
		Certificate Start Date	10 March 2018
		Certificate Expiry Date	9 March 2019
Scope of Certification	The CPO and PK production from one (1) Palm Oil Mill and FFB supply base comprising one (1) palm oil estate owned by PT. Socfin Indonesia (Negeri Lama Estate).		
Applicable Standards	<ul style="list-style-type: none"> - RSPO Principles & Criterians INA-NI, September 2016; - RSPO Principle & Criteria Certification System, June 2017; - RSPO Supply Chain Certification Standard, June 2017 - CPO Mill Supply Chain Assessment Report (Module D - CPO Mills: <i>Identity Preserved</i>) - RSPO Supply Chain Certification System, June 2017 		

3. Other Certifications			
Certificate Number	Standard(s)	Certificate Issued by	Expiry Date
TNI-ISPO-G-1605	ISPO	19 th July 2016	18 th July 2021

4. Location(s) of Mill & Supply Bases			
Name Mill / Supply Base	Location [Map Reference #]	GPS Coordinates	
		Latitude	Longitude
Negeri Lama Mill	Kota Negeri Lama Village, Bilah Hilir District, Labuhan Batu Regency, North Sumatera Province 21471, Indonesia	2° 19' 02" N	100° 04' 13" E
Kebun Negeri Lama	Kota Negeri Lama Village, Bilah Hilir District, Labuhan Batu Regency, North Sumatera Province 21471, Indonesia	2° 19' 02" N	100° 04' 13" E

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5. Description of Supply Base					
Estate	Total Planted (Mature + Immature) (ha)	HCV (ha)	Infrastructure & Other (ha)	Total Area (ha)	% of Planted
Kebun Negeri Lama	2140	24.8		2164.80	98.85 %
Total	2140	24.8		2164.80	98.85 %

6. Plantings & Cycle							
Estate	Age (Years)					Mature**	Immature
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30		
Kebun Negeri Lama	77.69	487.63	420	706	448.68	2062.31	77.69
Total (ha)	77.69	487.63	420	706	448.68	2062.31	77.69

7. Certified Tonnage of FFB (Own Certified Scope)			
Estate	Tonnage / year		
	Estimated (Feb 2018 – Jan 2019)	Actual (Feb 2018 – Jan 2019)	Forecast (Feb 2019 – Jan 2020)
Negeri Lama Estate	48,204	48,233	48,270
Total	48,204	48,233	48,270

8. Certified Tonnage of FFB (from other certified unit(s)) if applicable *			
Estate	Tonnage / year		
	Estimated (Feb 2018 – Jan 2019)	Actual (Feb 2018 – Jan 2019)	Forecast (Feb 2019 – Jan 2020)
Nil	N/A	Nil	N/A
Total			

9. Non-Certified Tonnage of FFB (outside supplier – excluded from certificate) if applicable			
Independent FFB Supplier	Tonnage / year		
	Estimated (Feb 2018 – Jan 2019)	Actual (Feb 2018 – Jan 2019)	Forecast (Feb 2019 – Jan 2020)
Nil	Nil	Nil	Nil
Total			

10. Certified Tonnage			
	Estimated (Feb 2018 – Jan 2019)	Actual (Feb 2018 – Jan 2019)	Forecast (Feb 2019 – Jan 2020)
	FFB	FFB	FFB
Mill Capacity: 16 MT/hr	48,204	48,233	48,270
	CPO (OER: 23,15%)	CPO (OER: 23.33%)	CPO (OER: 24%)
SCC Model: IP	11,161	11,256	11,586
	PK (KER: 4.44%)	PK (KER: 4.78%)	PK (KER: 4.41%)
	2,121	2,306	2,128

Note:

Auditor Notes: For period, please refer to notes in table 7 above (February 2018 – January 2019)

11. Actual Sold Volume (CPO)					
	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSB		
CPO (MT)	10,255	-	-	-	10,255

12. Actual Sold Volume (PK)					
	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSB		
PK (MT)	1,955	-	-	-	1,955

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

Section 2: Assessment Process

Certification Body:

BSI Services Malaysia Sdn Bhd,
(ASI Accreditation Number: ASI-ACC-067)
Unit 3, Level 10, Tower A
The Vertical Business Suites, Bangsar South
No. 8, Jalan Kerinchi
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BSI is a leading global provider of management systems assessment and certification, with more than 80,000 certified locations and clients in over 180 countries. BSI Standards is the UK's National Standards Body. BSI provides independent, third-party certification of management systems. BSI is ASI Accredited (ASI-ACC-067) to conduct RSPO assessment since 31/10/2014 with accredited office located at Kuala Lumpur, Malaysia and an office at Jakarta and Australia which involve in RSPO Certification Program.

2.1 Assessment Methodology, Programme, Site Visits

The on-site initial assessment was conducted from 14th – 16th February 2019. The audit programme is included as Appendix D. The approach to the audit was to treat the mill and its supply base as an RSPO Certification Unit. Mill was audited together with the sample estates. A range of environmental and social factors were covered. This includes consideration of topography, palm age, proximity to areas with HCVs, declared conservation areas and local communities.

The methodology for collection of objective evidence included physical site inspections, observation of tasks and processes, interviews of staff, workers and their families and external stakeholders, review of documentation and monitoring data. RSPO requirement (RSPO P&C INA NI 2016 Standard) and RSPO Supply Chain Certification Standard 2017 were used to guide the collection of information to assess compliance. The comments made by external stakeholders were also taken into account in the assessment.

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

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

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

Structured worker interviews with male and female workers and staff were held in private at the workplace in the mill and the estates. Fieldworkers were interviewed informally in small groups in the field. In addition, the wives of

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workers and staff were interviewed in informal group meetings at their housing. Separate visits were made to each of the local communities to meet with the village head and residents. Company officials were not present at any of the internal or external stakeholder interviews. A list of Stakeholders contacted is included as Section 3.5.

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

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

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

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

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

Assessment Program					
Name (Mill / Supply Base)	Year 1 (Certification)	Year 2 (ASA 1)	Year 3 (ASA 2)	Year 4 (ASA 4)	Year 5 (ASA 5)
Negeri Lama POM	V	V	V	V	V
Negeri Lama Estate	V	V	V	V	V

Tentative Date of Next Visit: February 1, 2020 – February 3, 2020
Total No. of Mandays: 8 mandyas

2.2 BSI Assessment Team:

Team Member Name	Role (Team Leader or Team member)	Qualifications (Short description of the team members)
Imam Fakhrurozi (IF)	Lead Auditor	Imam holds degree in Agriculture Technology and graduated from Gadjah Mada University, Yogyakarta in 2011. He had 2 (two) years working experienced related to oil palm industries i.e. as a sustainability and HSE in oil palm Plantation Company in Indonesia. Several relevant Training he has completed include ISO 9001 and 14001 Lead Auditor, Lead Auditor of SMK3, RSPO P&C Lead auditor endorsed courses. Currently he works for BSI Group based in Jakarta office. He is one of the BSI qualified RSPO auditor. He had been involved in RSPO auditing since 2016. During this assessment, he assessed on the OHS aspect and social insurance.
Eko Purwanto (EP)	Team Member	He graduated as Bachelor of Forestry from Forest Conservation Department, Faculty of Forestry, Bogor Agricultural University (IPB) in 2001. He owned working experience at Oil Palm Plantation in East Kalimantan since 2003 to 2012, the last position was Estate Manager. He has implemented good agricultural practice including integrated pest management and limited pesticides uses. He has experience in auditing ISO 9001, ISPO, RSPO P&C and RSPO SCC with SAI Global since 2012 to 2017 as Lead Auditor and sometimes as Auditor. He joined BSI Group Indonesia in August 2017 as Auditor/Lead Auditor for ISO, ISPO, RSPO P&C and RSPO SCC (Client Manager/Tutor). He has been trained for lead auditor of RSPO P&C (2013), ISO 9001:2008 (2012), ISO 14001:2004 (2013), ISPO (2012) and RSPO SCC (2012). He has received refreshment training of RSPO P&C

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		in May 2018 and RSPO SCC in March 2018. He has also completed training course of ISO 14001 (2012), Minaut (Oil and Automotive) Indonesia (2011) and Introduction to HCV Toolkit HCV (2011). Since October 2012 he has been involved in quality (ISO 9001) management system audits for very broad industrial and involved in Indonesia Sustainable Palm Oil (ISPO) and RSPO P&C audit for several plantations and mills, also RSPO Supply Chain audit for several KCP, Bulking and Refinery.
Edi Widodo (EW)	Team Member	Edy Widodo graduated as bachelor of the Faculty of Agriculture, Department of Agricultural Technology, University of Padjadjaran, Bandung. Earlier he worked as an Assistant Estates Manager in PT SMART Tbk. (1999 to 2005). He is the Lead Auditor for ISO 9001: 2008. He has working experience in the industrial sector and audit Plantation and also the processing industry and agricultural mechanization. He also the ISPO auditor who has obtained a certificate from the ISPO Commission, Ministry of Agriculture of Indonesia, on February 2013. He had got a certificate of training on Understanding ISO 14001: 2004 & Auditing ISO 14001: 2004 in 2013. He also had joined RSPO P&C training (2013) and also Course RSPO Lead Auditor 2016 - RSPO Endorsed RSPO Supply Chain Certification Training Course on April 2016. During this assessment, he assessed on the aspects of transparency, social, labor and stakeholder consultation

Accompanying Persons: *(This table is applicable for technical expert/ translator/Observer/ Qualifying reviewer and/or accreditation personnel)*

No.	Name	Role
-	-	-

2.3 Assessment Plan

The Assessment plan was sent to the client prior to the assessment

Date	Time	Subjects	IF	EP	EW
Wednesday 13/02/2019	05.30 – 08.00	Flight Jakarta – Medan	√	√	√
	08.00 – 17.00	Travel Medan – PT. Sofin Indonesia - Negeri Lama POM	√	√	√
Thursday, 14/02/2019	08.00-08.30	Opening Meeting Presentation by PT. Sofin Indonesia - Negeri Lama POM Presentation by PT. BSI Group Indonesia	√	√	√
	08.30-12.00	Negeri Lama POM General information; time bound plan; Multiple management unit verification; RSPO P&C (Transparency Economic viability, GHG Calculation, Environment, Continuous Improvement, Health and Safety,)	√	-	-
		Negeri Lama POM RSPO SCCS for CPO Mills	-	√	-
		Stakeholder interview with Government, NGO and local communities	-	-	√
	12.00–14.00	Break	√	√	√
14.00-17.00	Field Visit: Negeri Lama POM Continue audit and verify supporting records.	√	√	-	

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Date	Time	Subjects	IF	EP	EW
		Document review: Negeri Lama POM RSPO P&C (Environmental and Social Management System, Worker welfare, POM Best Management Practices, Company policies)	-	-	√
Friday, 15/02/2019	08.00-12.00	Field visit: Negeri Lama Estate HGU pegs maintenance, HCV area, river buffer zone, housing, waste management (Legal and conservation);	-	√	-
		Field Visit: Negeri Lama Estate Pesticide and agrochemical storage, equipment and PPE storage, fuel storage, workshop, clinic, Interview with Workers (welfare, environmental, health and safety)	√	-	-
		Field Visit: Negeri Lama Estate Harvesting, transport of FFB, fertilizer regime, IPM implementation and worker interview (best management practices).	-	√	-
	12.00-14.00	Break / lunch	√	√	√
	14.00-17.00	Negeri Lama Estate Continue audit and verify supporting records.	√	√	√
Saturday, 16/02/2019	08.00 -10.30	Continue audit and verify supporting records.	√	√	√
	10.30-11.00	Report Preparation	√	√	√
	11.00-12.00	Closing Meeting	√	√	√
Sunday, 17/02/2019		Travel to PT Socfin Indonesia – Mata Pao POM	√	√	√

Section 3: Assessment Findings

3.1 Normative requirement applied for this assessment:

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

3.2 Time Bound Plan progress for multiple management units

Time Bound Plan		
Requirement	Remarks	Compliance
Does the plan include all current subsidiaries, estates and mills?	<p>PT Socfin Indonesia has just change its RSPO membership entity become "SOCFIN SA" as per 16 February 2019, with RSPO membership number 1-0269-19-000-00. The previous RSPO membership number, 1-0017-04-000-00 since date 7 February 2004, are no longer valid in RSPO website.</p> <p>PT Socfin Indonesia is a subsidiary of SOCFIN SA. SCOFIN SA has disclose all of its companies, mills and estates, consist of nine (9) mills and nine (9) estates.</p>	Comply
Have all the estates and mills certified within five years after obtaining RSPO membership?	All mills and estates of PT Socfin Indonesia have been certified, except for Block 52B (30.63 Ha) of Seunagan Estate. The said area has been proposed for land title since 2014, and has been approved by Regent of Nagan Raya. Currently the area is in process of "Panita B" at BPN (National Land Agency) of Aceh Province. The mentioned Block planned to be certified in 2020.	Comply
Have there been any new acquisitions? If yes, the new acquisitions shall be certified within three-year from the date of acquisition. Certification plan for the new acquisition shall be available.	No, there is no new acquisition performed by PT Socfin Indonesia.	Comply
Have there been any changes to the time-bound plan since the last audit (both new acquisition and existing)? If yes, justification is required. Is this consistent with the ACOP reporting?	Yes, there is a change of Time Bound Plan from the last audit. Block 69B (21.93 Ha) of Seunagan Estate has been removed from the Time Bound Plan, since the area has been sold to PT Fajar Bajjuri which located in Kuala Pesisir District, Nagan Raya	Comply

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	Regency, Aceh Province. The revised Time Bound Plan was dated 20 February 2019.	
Have there been any isolated lapses in implementation of the plan? If yes a Minor non-compliance shall be raised	No, there is no isolated lapses in implementation of the plan.	Comply
Have there been any fundamental failure (e.g. unable to justify delay in planning the assessments) to proceed with implementation of the plan? If yes a Major non-compliance shall be raised	No, there is no fundamental failure to proceed with implementation of the plan.	Comply
Have there been any stakeholder comments?	No, there has been no stakeholder comment. The assessment team has conducted a search in internet under RSPO Case Tracker, https://askrspo.force.com/Complaint/s/casetracker , to confirm that there is no stakeholder comment recorded related PT Socfin Indonesia. A search for keyword "SOCFIN" resulting " <i>No matching records found for the specified search criteria</i> ".	Comply
Un-Certified Units or Holdings		
No replacement after dates defined in NIs Criterion 7.3: <ul style="list-style-type: none"> • Primary forest. • Any area required to maintain or enhance HCVs in accordance with RSPO P&C criterion 7.3. 	There was no new planting since November 2005. The uncertified area, Block 52B of Seunagan Estate was previously an independent smallholder oil palm plantation which bought by the company in 2004. The block has been replanted by PT Socfin Indonesia in 2005. The said area has been proposed for land title since 2014, and has been approved by Regent of Nagan Raya. Currently the area is in process of "Panita B" at BPN (National Land Agency) of Aceh Province. The mentioned Block planned to be certified in 2020.	Comply
Any new plantings since January 1 st 2010 shall comply with the RSPO New Plantings Procedure.	There was no new planting since November 2005.	Comply
Any Land conflicts are being resolved through a mutually agreed process, such as RSPO Complaints System or Dispute Settlement Facility, in accordance with RSPO P&C criteria 2.2, 6.4, 7.5 and 7.6. The RSPO RaCP tracker shall be checked to confirm for any land conflicts/Liabilities https://www.rspo.org/certification/remediation-and-compensation/racp-tracker . The progress on the Liabilities shall be verified and reported.	No land conflict noted. The assessment team has conducted a search in internet under RSPO Case Tracker, https://askrspo.force.com/Complaint/s/casetracker . A search for keyword "SOCFIN" resulting " <i>No matching records found for the specified search criteria</i> ".	Comply
Any Labor disputes are being resolved through a mutually agreed process, in accordance with RSPO P&C criterion 6.3.	No labor dispute noted. The assessment team has conducted a search in internet to confirm that there is no new comments or dispute raised by the communities related to labor dispute on those area that have not been certified.	Comply
Any Legal non- compliance is being addressed through measures consistent with the requirements of RSPO P&C criteria 2.1	The company has identified and evaluated relevant regulation. There were several non-compliance with regulations based on internal gap analysis.	Comply

	<p>Compliance against related regulation has been reviewed and has been taken corrective action, regarding there were two blocks in Seunagan Estate that still in progress of land title (HGU), which is Block 52B (30.63 Ha) and Block 69B (21.93 Ha). Currently, the proposal of land title of Block 52B has been approved by Regent of Nagan Raya, and the area is in process of "Panita B" at BPN (National Land Agency) of Aceh Province. Whilst Block 69B was sold to to PT Fajar Baijuri which located in Kuala Pesisir District, Nagan Raya Regency, Aceh Province.</p>	
<p>Did the company conduct internal audit against the uncertified management units requirement? If yes, a positive assurance statement shall be available.</p>	<p>The company has conducted site visit and review regarding no replacement of primary forest or any area identified as containing High Conservation Values (HCVs) or required to maintain or enhance HCVs in accordance with RSPO criterion 7.3, land conflict, labour disputes and legal non-compliance to management unit of Seunagan Estate Block 52 B and Block 69B in 2017. Based on the internal audit result, it was noted:</p> <ul style="list-style-type: none"> • There was no land conflicts. • There was no labour disputes. • The was no new planting in since November 2005. • There was no planting on primary forest or any area containing HCV or required to maintain or enhance HCV in line with RSPO criterion 7.3. 	<p>Comply</p>

3.3 Progress of scheme smallholders and/or outgrowers

Progress of scheme smallholders or outgrowers towards compliance with relevant standards		
Requirement	Remarks	Compliance
<p>Has 100% of scheme smallholders and/or scheme outgrowers comply with the standard within three years of the mill's initial certification?</p>	<p>There is no scheme smallholder associated with PT Socfin Indonesia – Negeri Lama Pam Oil Mill. Not applicable.</p>	<p>N/A</p>

3.4 Details of findings

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

During the Certification Assessment there were 1 (one) Major and 2 (two) Minor nonconformities raised. The Certification unit submitted Corrective Action Plans for the nonconformity. Corrective action plans with respect to the nonconformity was reviewed by the BSI audit team and accepted.

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

Summary of Total Number of Nonconformity			
Nonconformity			
NCR Ref #	1743073-201902-M1	Clause & Category (Major / Minor)	RSPO Supply Chain Certification Standard General Chain of Custody Requirements for the Supply Chain – indicator 5.6.1 Category Major
Date Issued	16 th February 2019	Due Date	15 th May 2019
Closed (Yes / No)	Yes	Date of nonconformity Closure	15 th April 2019
Statement of Nonconformity:	PT Socfin Indonesia – Negeri Lama POM has made available minimum information required for RSPO certified product, however one of the information is missing, which is Supply chain certificate number of the seller.		
Requirement Reference:	<p>The supplying site shall ensure that the following minimum information for RSPO certified products is made available in document form.</p> <ul style="list-style-type: none"> • The name and address of the buyer; • The name and address of the seller; • The loading or shipment/ delivery date; • The date on which the documents were issued; • A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations); • The quantity of the products delivered; • Any related transport documentation; • Supply chain certificate number of the seller; • A unique identification number 		
Objective Evidence:	Based on document review of contract, delivery order, weighbridge card and delivery note, none of the document stated Supply chain certificate number of the seller.		
Corrections:	Make the RSPO stamp accompanied by the RSPO Certificate No, replace the old stamp using a stamp that has an RSPO certificate number.		
Root Cause Analysis:	PIC in site location does not know that it must be accompanied by a certificate number.		
Corrective Actions:	The Sustainability Team gave out information to expedition officers in the Lama Lama's garden and related staff so that each document was given a complete stamp with a certificate normor, and replaced the stamp with no certificate number with a stamp that was completed with the certificate number.		
Assessment Conclusion:	Major NC was closed		

Nonconformity			
NCR Ref #	1743073-201902-N1	Clause & Category (Major / Minor)	RSPO Principles & Criteria INA-NI, September 2016; indicator 2.1.3 (Minor)
Date Issued	16 th February 2019	Due Date	15 th May 2019
Closed (Yes / No)	Yes	Date of nonconformity Closure	Next Surveillance

Statement of Nonconformity:	PT Socfin Indoneisa – Negeri Lama POM has demonstrated the document of identification of laws and regulations. However, there were several regulations have not yet been proven to evaluate their fulfillment that can be impact to environmental, OHS and employment management systems (Wages).
Requirement Reference:	A mechanism for ensuring compliance shall be implemented.
Objective Evidence:	<p>There were several regulations have not yet been proven to evaluate their fulfillment that can be impact to environmental, OHS and employment management systems (Wages), such as:</p> <ul style="list-style-type: none"> - PermenLhHut No 21 Th 2018 tentang perubahan atas peraturan menteri lingkungan hidup Nomor 5 th 2014 Tentang baku mutu air limbah. - PermenLhHut No 23 th 2018 tentang perubahan izin lingkungan - PermenLhHut No 24 th 2018 tentang AMDAL - PermenLhHut No 25 Th 2018 tentang UKL-UPL - PermenLhHut No 26 Th 2018 tentang Pedoman penyusunan dan penilaian serta pemeriksaan dokumen lingkungan hidup dalam pelaksanaan perizinan berusaha terintegrasi secara elektronik. - Permenperin No.41 Th. 2014 tentang larangan penggunaan HCFC (R22 & R141b) per 1 Jan. 2015 - PUIL 2011, Tentang Persyaratan umum instalasi listrik - PERMENLHK No. 20 TAHUN 2017 tentang Baku Mutu emisi gas buang kendaraan bermotor tipe baru kategori M, N, O - PermenlhHut No. P.6/MENLHK/SETJEN/KUM.1/2/2018 tentang Standar dan sertifikasi Kompetensi pengolahan pengendalian pencemaran udara - Permenlh No. 5 th 2014 Tentang baku mutu air limbah - Peraturan Pemerintah No. 78 Tahun 2015; tentang Pengupahan - Peraturan Presiden No. 12 Tahun 2013 dan No. 19 tahun 2016; tentang Perubahan Kedua atas peraturan presiden no. 12 Tahun 2013: tentang Jaminan Kesehatan
Corrections:	Review and updating the latest and identified the legal requirement
Root Cause Analysis:	PIC lacks mastery of document content
Corrective Actions:	Legal staff give out information to the estate staff and document controllers whenever there is an addition to the latest regulations that will be identified
Assessment Conclusion:	Will be verification at the surveillance

Nonconformity			
NCR Ref #	1743073-201902-N2	Clause & Category (Major / Minor)	RSPO Principles & Criteria INA-NI, September 2016; indicator 5.1.3 (Minor)
Date Issued	16 th February 2019	Due Date	15 th May 2019
Closed (Yes / No)	Yes	Date of nonconformity Closure	
Statement of Nonconformity:	PT Socfin Indonesia – Negeri Lama POM has shown the document of environment monitoring under "Laporan Hasil Pemantauan dan Pengukuran Lingkungan Juli – Desember 2018", however monitoring ground water (Air tanah – sumur penduduk), solid waste, noise measurement (location at boiler station, engine		

	room & polishing drum) and record local community perception have not provided at the document according to RPL document (revision – August 2010)
Requirement Reference:	Environment monitoring plan document, its implementation report, and the corrective plan (if non-conformance arised from the monitoring result) shall be available. This plan is reviewed on two-yearly basis.
Objective Evidence:	Based on review of environment monitoring report period July – December 2018 and document of "Revisi Upaya Pengelolaan Lingkungan Hidup (UKL) dan Upaya Pemantauan Lingkungan Hidup (UPL) datum August 2010.
Corrections:	To complete reporting according to the environmental monitoring matrix of garden activities
Root Cause Analysis:	PIC does not understand the document filling
Corrective Actions:	Sustainability staff provides information on environmental monitoring of plantation activities in accordance with the environmental monitoring matrix of plantation activities.
Assessment Conclusion:	Will be verification at the surveillance

Opportunity for Improvements	
OFI #	Description
OFI 1	-

Positive Findings	
PF #	Description
PF 1	-

3.4.1 Status of Nonconformities Previously Identified and Observations

The previous certification body is PT SAI Global. The outstanding nonconformities can be closed out.

Non-Conformity			
NCR Ref #	ASA-4 year 2018	Clause & Category (Major / Minor)	Minor
Closed (Yes / No)	Yes	Date of nonconformity Closure	27 th December 2018
Statement of Nonconformity:	There was a use of Pesticide was former applications of pesticide use in the employee housing environment of Afdeling 1		
Requirement Reference:	Application of pesticides shall be by proven methods that minimize risk and negative impacts.		
Objective Evidence:	Based on field visit		
Corrective Actions:	1. Register employees who has own field potentially use and store pesticide 2. Disseminate to all employees storage pesticide to: <ul style="list-style-type: none"> - Store pesticide in the box which cannot be accessed by children. - Store pesticide at the contained area. - Complete with label and hazard symbol. - Provide emergency equipment (e.g. sand, shovel, broom); Conduct EHS patrol regarding hazardous material in employee house. 		
Assessment Conclusion:	Based on review, the outstanding nonconformities can be closed out.		

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Opportunity for Improvement	
OFI#	Description
OFI 1	-

3.4.2 Summary of the Nonconformities and Status

The previous certification body, SAI Global provides RSPO public summary report for RSPO P&C audits in PT. Socfin Indonesia - Negeri Lama POM, all of the NC was closed status:

CAR Ref.	Category (Major / Minor)	P&C Indicator	Issued Date	Status & Date (Closure)
The previous certification body is SAI Global	Minor	2.2.2	2016	Closed
The previous certification body is SAI Global	Minor	5.2.5	2016	Closed
The previous certification body is SAI Global	Minor	6.5.3	2016	Closed
The previous certification body is SAI Global	Major	5.2.1	2017	Closed
The previous certification body is SAI Global	Major	6.1.1	2017	Closed
The previous certification body is SAI Global	Major	6.5.1	2017	Closed
The previous certification body is SAI Global	Minor	2.2.2	2017	Closed
The previous certification body is SAI Global	Minor	4.4.1	2017	Closed
The previous certification body is SAI Global	Minor	4.6.5	2017	Closed
The previous certification body is SAI Global	Minor	4.6.6.	2017	Closed
The previous certification body is SAI Global	Minor	4.7.3	2017	Closed
The previous certification body is SAI Global	Minor	4.7.5	2017	Closed
The previous certification body is SAI Global	Minor	5.3.2	2017	Closed
The previous certification body is SAI Global	Minor	5.3.3	2017	Closed
The previous certification body is SAI Global	Minor	6.5.2	2017	Closed
The previous certification body is SAI Global	Minor	6.5.3	2017	Closed
The previous certification body is SAI Global	Major	1.1.2	2018	Closed
The previous certification body is SAI Global	Major	2.1.1	2018	Closed
The previous certification body is SAI Global	Major	4.4.1	2018	Closed

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The previous certification body is SAI Global	Major	4.5.1	2018	Closed
The previous certification body is SAI Global	Major	4.6.6	2018	Closed
The previous certification body is SAI Global	Major	4.7.3	2018	Closed
The previous certification body is SAI Global	Major	4.7.5	2018	Closed
The previous certification body is SAI Global	Major	5.3.3	2018	Closed
The previous certification body is SAI Global	Major	5.6.1	2018	Closed
The previous certification body is SAI Global	Major	6.13.1	2018	Closed
The previous certification body is SAI Global	Minor	5.3.1	2018	Closed
The previous certification body is SAI Global	Minor	D.3.1	2018	Closed
The previous certification body is SAI Global	Minor	5.3.2	2018	Closed
The previous certification body is SAI Global	Minor	5.5.1	2018	Closed
The previous certification body is SAI Global	Minor	5.5.2	2018	Closed
The previous certification body is SAI Global	Minor	5.8.1	2018	Closed
The previous certification body is SAI Global	Minor	5.13.1	2018	Closed
The previous certification body is SAI Global	Minor	D.4.2	2018	Closed
The previous certification body is SAI Global	Minor	D.2.1	2018	Closed
The previous certification body is SAI Global	Minor	D.2.1	2018	Closed
1743073-201902-M1	Major	5.6.1	16 th February 2019	Will be verification at the surveillance
1743073-201902-N1	Minor	2.1.3	16 th February 2019	Will be verification at the surveillance
1743073-201902-N1	Minor	5.1.3	16 th February 2019	Will be verification at the surveillance

3.5. Stakeholders Consultation

Stakeholder consultation involved internal and external stakeholders. External stakeholders were contacted by telephone to arrange meetings at a location convenient to them to discuss PT Socfin Indonesia – Negeri Lama POM Certification Unit’s environmental and social performance, legal and any known dispute issues.

Meetings were conducted with stakeholders to seek their views on the performance of the company with respect to the RSPO requirements and aspects where they considered that improvements could be made. At the start of each meeting, the interviewer explained the purpose of the audit followed by an evaluation of the relationship between the stakeholder and the company before discussions proceeded. The interviewer recorded comments made by stakeholders and later was verified with the management team. Any comment which is not complying to the RSPO P&C requirements have been incorporated as an assessment finding.

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

List of Stakeholders Contacted	
Internal Stakeholders 1. Gender Committee PT. Socfindo – Negeri Lama Estate 2. Operator of spraying 3. Workers	Union/Contractors/Local Communities Serikat Pekerja PT. Socfin–Negeri Lama (Worker Union)
Government Departments 1. Dinas Tenaga Kerja dan Transmigrasi Kabupaten Labuhan Batu (Manpower and Transmigration Office – Labuhan Batu Regency) 2. Badan Lingkungan Hidup Kabupaten Labuhan Batu – Environmental Body Labuhan Batu Regency 3. Dinas Pertanian Kabupaten Labuhan Batu – Plantation Agency Labuhan Batu District	NGO ICW Sumatera Utara

IS #	Description
1	Feedback, Comment and Input Dinas Tenaga Kerja dan Transmigrasi Kabupaten Labuhan Batu (Manpower and Transmigration Office – Labuhan Batu Regency) <ul style="list-style-type: none"> – PT. Socfin Indonesia – Negeri Lama POM has been good communication with “Dinas Tenaga Kerja dan Transmigrasi Kabupaten Labuhan Batu”. – PT. Socfin Indonesia – Negeri Lama POM has prepared and reported their industrial relation obligation such as “Wajib Lapor Tenaga Kerja” and “Laporan P2K3” for health and safety performance. – There is no indication/report on the use of underage worker – PT. Socfin Indonesia – Negeri Lama POM has implementing minimum wage as in “Upah Minimum Kabupaten Labuhan Batu” to the workers. – Regular examination on pressure vessel and steam vessel has been carried out, however the check result analysis was in-process by “Dinas Tenaga Kerja dan Transmigrasi Kabupaten Labuhan Batu”.



IS #	Description
	<ul style="list-style-type: none"> - All steam machinery, boiler machinery, and welding operators have been trained and awarded with operator license from "Kementerian Tenaga Kerja". - PT. Socfin Indonesia – Negeri Lama POM has provided training on the use of limited pesticide for sprayers. - PT. Socfin Indonesia – Negeri Lama POM has reported the worker’s overtime to "Dinas Tenaga Kerja dan Transmigrasi Kabupaten Labuhan Batu". - PT. Socfin Indonesia – Negeri Lama POM has been equipped with clinic, with a doctor and paramedic – which has been trained with Hiperkes" training. - All employees have been registered in social insurance "BPJS Tenaga Kerja dan Pemeliharaan Kesehatan". - PT. Socfin Indonesia – Negeri Lama POM has prepared risk assessment in each operational stage. - PT. Socfin Indonesia – Negeri Lama POM has prepared personal protective equipment, based on risk assessment and accident record. - The validity of PKB registers of PT. Socfin Indonesia – Negeri Lama POM has expired in December 2017. <p>Management Responses</p> <ul style="list-style-type: none"> - PT. Socfin Indonesia – Negeri Lama POM acknowledge the positive inputs and deemed the comments are constructive. - Chronology of the PKB Process for PPS BKS Year 201-2020 (presented by PT Socfindo General Staff), as follows: <ul style="list-style-type: none"> • In August 2018 a New PKB Draft was agreed between 2018-2020 between PP-SPSI and the BKS-PPS Team representing the BKS-PPS member companies. • September 13, 2018; BKPPS submits registration to the Ministry of Manpower (this applies to cross-province CLAs) by letter no. 59/BKS-PPS/2018. • October 26; based on letter no. B.319/PHIJSK/X/2018 reply to a letter from the BKS-PPS stating that they refused to register the PKV on the grounds that the Collective Labor Agreement must be registered by the directors of their respective companies where the PKB must be signed by the PUK Workers' Union in each company. • On December 5, 2018, the BKS-PPS party again wrote to the Dirjen of PHI and Jamsos regarding the refusal to register the PKB, but until now the BKS-PPS or PP SPSI has not obtained the response from the Dirjen of PHI and Jamsos. • Then according to the sound of article XXIV PKB Year 2015-2017 that PKB is still in force. <p>Audit Team Findings</p> <ul style="list-style-type: none"> - Audit teams acknowledge the inputs and have verified the report being send. - Concerning settlement related to PKB will be verify at the next audit visit.
2	<p>Feedback, Comment and Input</p> <p>Badan Lingkungan Hidup Kabupaten Labuhan Batu – Environmental Body Labuhan Batu Regency</p> <ul style="list-style-type: none"> - In general, communication between company and "Badan Lingkungan Hidup Daerah Kabupaten Labuhan Batu" has gone well. - PT. Socfin Indonesia – Negeri Lama POM has obtain "Izin Lingkungan" for all area of oil palm plantation and palm oil mill. - PT. Socfin Indonesia – Negeri Lama POM has permit for hazardous waste storage. - PT. Socfin Indonesia – Negeri Lama POM has permit for POME land application. - PT. Socfin Indonesia – Negeri Lama POM has prepared "Laporan Pelaksanaan RKL-RPL", "Laporan Limbah B3" and reported regularly (three-monthly basis) to "Badan Lingkungan Hidup Daerah Kabupaten Labuhan Batu".

IS #	Description
	<ul style="list-style-type: none"> - No complaint reported and/or noted by "Badan Lingkungan Hidup Daerah Kabupaten Labuhan Batu" related to pollution caused by mill and estate operational activities. - There was no report related to fertilizer application and agrochemical applied aerially. <p>Issue: Based on the results of DLH's supervision in May 2018, that PT. Socfin Indonesia – Negeri Lama POM does not yet have a domestic waste management permit.</p> <p>Management Responses Based on the results of the supervision of DLH in Labuhan Batu Regency related to the domestic waste management permit, PT. Socfin Indonesia – Negeri Lama POM has given a letter of application to Buan in May 2018 so that the company to obtain a domestic management permit can explain it. Furthermore, DLH Labuhan Batu Regency has assigned its staff to conduct a survey to the PT Socfindo location in May 2018, but until now, the DLH Labuhan Batu Regency has not submitted the results of the site survey/assessment.</p> <p>Audit Team Findings</p> <ul style="list-style-type: none"> - Audit teams acknowledge the inputs and have verified the report being send. - Related to this domestic waste management, the licensing document will verified on the upcoming audit schedule.
<p>3</p>	<p>Feedback, Comment and Input</p> <p>Dinas Pertanian Kabupaten Labuhan Batu – Plantation Agency Labuhan Batu District</p> <ul style="list-style-type: none"> - In general, communication between company and "Dinas Perkebunan Kabupaten Labuhan Batu" has gone well. - PT. Socfin Indonesia – Negeri Lama POM has obtained "Plantation Operation Permit/Surat Pendaftaran Usaha Perkebunan (SPUP) dated 25 February 2002. - PT. Socfin Indonesia – Negeri Lama POM has send "Laporan Perkembangan Usaha Perkebunan (LPUP) on 2017 to relevant authorities: "Bupati Labuhan Batu", "Dinas Perkebunan Kabupaten Labuhan Batu". PT Socfindo has obtained "Penilaian Kelas Kebun III". - PT. Socfin Indonesia – Negeri Lama POM has reported monitoring of fire incident on three-month basis. - No complaint reported and/or noted by "Dinas Perkebunan Propinsi Sumatera Utara" related to mill and estate operational activities. <p>There is suggestion: The company is expected to planning a program for the Partnership by providing guidance related to the establishment of Cooperatives for farmers and direct guidance on the management of oil palm plantations.</p> <p>Management Responses PT. Socfin Indonesia – Negeri Lama POM has begun to explore the establishment of partnerships that are either plasma-independent or partnership (Inti-Plasma). Preparations have been started since 2018 and will be continued until the preparation of the HGU changes.</p> <p>Audit Team Findings The audit team accepts the input and will be verify the report on the next audit schedule.</p>
<p>4</p>	<p>Feedback, Comment and Input</p> <p>Serikat Pekerja PT. Socfin–Negeri Lama (Worker Union)</p> <p>There are complaints from employees regarding the distribution of clean water in employee housing. Employees complained that water distribution was still inadequate, but water distribution / distribution had stopped.</p>

IS #	Description
	<p>Management Responses Regarding the distribution of water to employee housing is somewhat constrained, this is because there is a leakage channel so that the booster pump is not optimal so the supply of clean water distribution to employees is not optimal. The engineering department has repaired the pipe leak so that the distribution of water to the employee housing is better.</p>
	<p>Audit Team Findings The audit team accepts the input and will be verify the report on the next audit schedule.</p>
<p>5</p>	<p>Feedback, Comment and Input Gender Committee PT. Socfindo – Negeri Lama Estate</p> <p>There were 2 cases of sexual harassment at housing employees at the Negeri Lama Estate, this case has been reported to management, but there has been no action against the perpetrators. The form of written reports has not been made in accordance with the established procedures.</p> <p>Management Responses</p> <ul style="list-style-type: none"> - The company has followed up on reports from the Gender Committee; "Laporan Tindakan Pelecehan Seksual dan Tindak Kekerasan Kebun Negeri Lama Bulan Januari 2019" is related to sexual harassment to employees of the Lama Estate on January 16, 2019 (reports received slowly, this is because the reporter was embarrassed to report to the management or the Gender Committee) . - Based on "Laporan Tindakan Pelecehan Seksual dan Tindak Kekerasan Kebun Negeri Lama Bulan Januari 2019"; that there are 2 incidents, namely on 15 November 2018 on behalf of the victim W****m and on 9 January 2019 on behalf of the victim R*****i, the act of sexual harassment was carried out by the Head of the Polyclinic (chronologically reported by the Chairperson Gender committee in the "Report on Sexual Harassment Acts and Violence of Old Public Gardens in January 2019". - Based on record review again "Management Report – Laporan Management" under letter no. UM/NL/Bi/328/19 dated 8th February 2019 there is reported that company has issued an mutation assignment (Surat Mutasi) on behalf of Najib El. M. Daulay on March 1, 2019. - Dissemination related to procedures / mechanisms related to sexual harassment and violence against women will be carried out more effectively. <p>Audit Team Findings The audit team accepts the input and provides advice that socialization is followed by the reporting mechanism and actions taken in cases of sexual harassment and violence against women. The audit team will re-verify the next audit regarding implementing of mechanism for handling sexual harassment and violence against women.</p>
<p>6</p>	<p>Feedback, Comment and Input</p> <p>NGOs ICW-Investigation Corrupt Watch North of Sumatera The NGO ICW-Investigation Corrupt Watch North of Sumatera is a social institution that oversees the symptoms of social irregularities, especially related to corruption and abuse of authority. PT Socfindo Indonesia has been applied of payment based on Decree of Gubernur Sumatera Utara no. 188.44/44/1365/KPTS/2018) dated 3 February 2018 start to apply per date 1 January 2018 amount Rp 2,668,223. Until now, NGOs have not seen any symptoms related to wage deviations or overtime wages applied by Mata Pao Plantation. If there is a dispute related to the remuneration of the company through a Workers' Union, it can solve it well, as well as the contractor's distribution can be handle through the mechanism / procedure set by the company.</p> <p>Management Responses</p>

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IS #	Description
	<p>This payment condition was above the Sumatra North Province Minimum Payrate (UMK) is still using UMSK period 2018 which was Rp 2,668,223 per month is based on Decree of Gubernur Sumatera Utara No. 188.44/44/1365/KPTS/2018) dated 3 February 2018 start to apply per date 1 January 2018 amount Rp 2,668,223.</p> <p>Payment of wages for the period of January 2019 still uses UMSK 2018, but a "Rapel" will be made on payment of wages for the period of February 2019 by using the UMSK 2019 period of Rp 3,010,000.</p> <p>The company will continue to collaborate well with the ICW NGO and hope that NGOs can also provide considerations and suggestions as a supervisory function in the public. The company will open hands to cooperate in terms of symptoms of storage of corruption and abuse of authority.</p>
	<p>Audit Team Findings</p> <p>With the existence of NGOs participating in supervision, especially related to wages, PT Socfindo - Mata Pao Plantation can get good input and suggestions from NGOs.</p>

Formal Signing-off of Assessment Conclusion and Recommendation	
<p>The audit objectives have been achieved and the certificate scope remains appropriate. Based on the results of this audit, it is concluded that PT Socfin Indonesia - Negeri Lama POM has complied with the RSPO Supply Chain Certification Standard (June 2017) and audit criteria identified within the audit report. It is deemed that the management system continues to achieve its intended outcomes. Therefore, it is recommended that the certification of PT Socfin Indonesia – Negeri Lama POM is continued.</p>	
Report prepared by	Acceptance of Assessment Conclusion
Name: Imam Fahrurazi	Name: Andria Zulmanitra
Company Name: PT BSI Group Indonesia	Company Name: PT. SOCFIN INDONESIA
Title: Lead Auditor of RSPO	Title: Auditee
<p>Signature:</p> 	<p>Signature: <i>(I the undersigned, being the most senior relevant management representative of the operation seeking or holding certification, agree with the contents of this report and accept the liability in execution of the procedure in the report.)</i></p> 
Date: 15th April 2019	Date: 16th April 2019

Appendix A: Summary of Findings RSPO P&C 2013, Indonesia National Interpretation, September 2016

Criterion / Indicator	Assessment Findings	Compliance
Principle 1: Commitment to Transparency		
Criterion 1.1:		
Growers and millers provide adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages and forms to allow for effective participation in decision making.		
1.1.1 List of information related to criterion 1.2 that can be accessed by relevant stakeholders shall be available. - Minor compliance -	<p>PT Socfin Indonesia – Negeri Lama POM has shown the document of list of stakeholders last as in document no. SOC/Form/9.01-05, was updated in January 2019. Based on verified during stakeholders consultation on 14th February 2019, the sample stakeholders aware of the type of information available, the procedures for accessing the information and have known and understood how they should ask for information to the organization and how to communicate with the organization.</p> <p>List of information related to criterion 1.2 was provided under document “Sistem Manajemen Socfindo – Prosedur Komunikasi Sosial” No: SOC/PSM/9.01, revision 05 dated 15th September 2018. In poin 5.1.6.1 was mentioned the list of the information available to the public and stakeholders such as:</p> <ol style="list-style-type: none"> a. Certificate / land use rights b. Occupational health and safety plan c. Plan for social and environmental impact assessment d. Identification and management of HCV 	Yes - comply

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	<p>e. Plan for the reduction and prevention of pollution f. Grievance and complaints in detail g. Procedure of negotiations h. Plan for continuous improvement i. A general summary of the certification assessment j. Human rights policy k. Ethical policy l. FFB Price</p> <p>The procedure of Social Communication has also described the process of information sharing/dissemination defined in social communication. Consultation and communication with stakeholders conducted by collecting community leaders, village heads and local community or visiting the office/the village hall to meet with the village head, village officials and community.</p> <p>PT Socfin Indoneisa – Negeri Lama POM has assigned a responsible person for providing and updating information and stakeholder that was <i>KTU (Kepala Tata Usaha)</i>. Responsibility and function was described in <i>KTU</i> job description.</p>	
<p>1.1.2 Records of requests for information and responses to the information requested shall be available. - Major compliance -</p>	<p>PT Socfin Indoneisa – Negeri Lama POM has established the procedure to ensure constructive response to stakeholders requested information under document of "Sistem Manajemen Socfindo – Prosedur Komunikasi Sosial" No: SOC/PSM/9.01, revision 05 dated 15th September 2018.</p> <p>The procedure has explained as following:</p> <ul style="list-style-type: none"> - The requests for information can be submitted in writing to the organization, all the information and aspirations will be addressed by organization with consideration couple of things before information and aspiration was rejected or approved. - Responses can be handled directly by the <i>PK (Pengurus Kebun/Managers)</i>, but if necessary coordination and consideration of management, information passed on to the public. The initial response was given no later than one month after receipt of the request from stakeholders. - PIC who tasked associated with social communication is Estate manager with the daily implementing are <i>KTU</i> - Records of information requests and aspirations documented in the Log Book: Notes of society 	<p>Yes - comply</p>

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Criterion / Indicator	Assessment Findings	Compliance
	<p>and stakeholders aspirations and the information request record.</p> <ul style="list-style-type: none"> - Records of requests for information and responses were well maintained by the document controller. <p>Data verified:.</p> <p>Record of requests for information and responses to the information requested as in "Catatan Permintaan Informasi dan Aspirasi" consist of: number, date of request, related parties, content request information, initial response form management, realization, status monitoring (from KTU), e.g:</p> <ul style="list-style-type: none"> - Date 3rd January 2019 from Head of District on Negeri Lama, the requested information of "copy of legal document such as: land title, environmental permit, NPWP, operator license in palm oil". The requested information has been responded on 3rd January 2019 which has been addressed by organization on 7th January 2019 (status closed) as in Letter form Pengurus No NL/Bi/001/2019 dated 7th January 2019 on "Data Perizinan dan Non Perizinan Perusahaan Perkebunan" - Date 7th January 2019 from Head of Sidomulyo Village, the requested information related to assistance on providing Petrun Stone. The requested information has been responded on 9th January 2019 which has been addressed by organization on 24th January 2019 (status closed). - Date 21th January 2019 from Head of Negeri Lama Seberang Village that requested information on providing of Bus School. The requested information has been responded on 21th January 2019 which has been addressed by organization on 22th January 2019 (status closed). <p>Based on document review of "Catatan Permintaan dan Tanggapan Informasi" that all the requested informations from internal and external stakeholders (Perkebunan Negeri Lama Village) which have been addressed by organization and it was complied with Procedure of "Sistem Manajemen Socfindo – Prosedur omunikasi Sosial" No: SOC/PSM/9.01, revision 05 dated 15th September 2018.</p> <p>The monitoring of records of requests for information and responses to the information requested has effectively implemented.</p>	

Criterion / Indicator	Assessment Findings	Compliance
Criterion 1.2: Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.		
1.2.1 Publicly available documents shall include, but are not necessarily limited to: a) Land titles/user rights (Criterion 2.2) b) Occupational health and safety plans (Criterion 4.7) c) Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8) d) HCV documentation (Criteria 5.2 and 7.3) e) Pollution prevention and reduction plans (Criterion 5.6) f) Details of complaints and grievances (Criterion 6.3) g) Negotiation procedures (Criterion 6.4) h) Continual improvement plans (Criterion 8.1) i) Public summary of certification assessment report j) Human Rights Policy (Criterion 6.13). - Major Compliance -	Publicly available document have provided under document "Sistem Manajemen Socfindo – Prosedur Komunikasi Sosial" No: SOC/PSM/9.01, revision 05 dated 15 th September 2018. In poin 5.1.6.1 was mentioned the list of the information available to the public and stakeholders such as: a. Certificate / land use rights consisted of: Legal boundaries ,land use, classification, total area, grant title, permit validity , NCR rights b. Occupational health and safety plan, consisted of risk assessment and mitigation, emergency response plan, training, accident records c. Plan for social and environmental impact assessment, consisted of document of social and environmental impacts and mitigation measures d. Identification and management of HCV consisted of identification on HCV areas,maps, management and monitoring HCV e. Plan for the reduction and prevention of pollution consisted of identification of pollutants, management and reduction measures f. Grievance and complaints in detail consisted of nature of complaints, parties involved, status of case g. Procedure of negotiations consisted of SOP, consultative, neutral, inclusiveness, timeframe, responsibility h. Plan for continuous improvement – provided in indicator 8.1 i. A general summary of the certification assessment - j. Human rights policy k. Ethical policy l. FFB Price All of the documents are available to the public placed in the respective sections within the organization certificate placed in KTU.	Yes - comply
Criteria 1.3: Growers and millers commit to ethical conduct in all business operations and transactions.		
1.3.1 There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions along with the documentation of socialisation process of the policy to all levels of the workers and operations.	PT Socfin Indonesia – Negeri Lama POM has established the written policy committing to a code of ethical conduct and integrity in all operations and transactions was available in "Kebijakan Etika" (Ethics Policy No Doc: SOC/Dp/4.01-64, Revision: 05, dated 18 th January 2016.	Yes - comply

Criterion / Indicator	Assessment Findings	Compliance
- Minor compliance –	<p>In the procedures has explained the aspect of code of ethical, such as: social responsibility, salary, infrastructure and accomocation, labour union, age wrokers, indiscriminative treatment, protection against sexual harassment and violence, protection of reproductive rights, receipts and provision of gifts, entertainment or assistance in job, corruption and fraud, relation with supplier, occupational health and safety, and environment, employee cooperatives and human rights.</p> <p>The written policy has been communicated to all relevant stakeholder and available in appropriate language.</p> <p>Data verified:</p> <ul style="list-style-type: none"> – Record of communication the policy of code of ethical conduct to relavant stakeholders dated 10th December 2018, was attended by 15 participants consist of: local government in Labuhan Batu Regency, Head of Village in Negeri Lama Sebrang Village and Perk Negeri Lama Village. – Record of communication the policy of code of ethical conduct dated 8th December 2018, was attended by 29 wokers in Negeri Lama POM <p>Record of communication the policy of code of ethical conduct dated 16th November 2018, was attended by 13 workers in Office Pengurus.</p>	
Principle 2: Compliance with applicable laws and regulations		
Criterion 2.1: There is compliance with all applicable local, national and ratified international laws and regulations.		
2.1.1 Evidence of compliance with relevant legal requirements shall be available. - Major compliance –	Complete list of legal requirements was available. Updating of law and regulations change activities were well documented. Legal requirements compliance was updated twice a year and last update was performed in 10 January 2019. Information on all applicable legal and other requirements have been reviewed and summarised include the agronomy best practises, employment, social, conservation, OHS and environmental regulation. Copy of legal regulation was sighted on soft copy and also hard copy. Legal requirement compliance related to environmental and OHS such as: <ol style="list-style-type: none"> a. Permen LH 5 / 2014 about waste water quality standard b. PP RI 101 / 2014 about hazardous waste management c. Permen LH 68 / 2016 about Quality Standard of Domestic Wastewater 	Yes - comply

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Criterion / Indicator	Assessment Findings	Compliance
	<p>d. Permen LHK 16 / 2017 about Technical Guidelines for Peat Ecosystem Recovery</p> <p>e. Permenaker 6 / 2016 about Religious Holiday Allowance for Workers</p> <p>f. Permenaker 38 / 2016 about OHS for Production Power and Instrument</p> <p>g. Wastewater discharges to water bodies permit (2016)</p> <p>h. Hazardous waste storage permit (2016)</p> <p>i. Surface water utilization permit (2016)</p> <p>j. Permenakertrans RI No. Per.02/MEN/1980 regards annually MCU, company has demonstrated that all workers has been performed annually MCU period 2018. Several employess that has been performed annually Medical Check up on June – July 2018, i.e</p> <ul style="list-style-type: none"> - Imansyah, Muh. Safii, Darmansyah Nuari, Sukamto etc. (harvester afd. 1) performed MCU on 23/6/2018 - Suriana (Sprayer Afd. 2) performed MCU on 23/6/2018 - Mangara, Juri Efendi, Sucipto and Slamet (FFB loader and operator Loco) performed MCU on 24/7/2018. <p>There is a fire mitigation team under “Tim Penanggulangan Tanggap Darurat” for each location e.g: in Negeri lama POM and Negeri Lama Estate (division I & II)</p> <p>Record of OHS certificate for engineer in Negeri Lama POM has demonstrated, such as:</p> <ul style="list-style-type: none"> - License No 14.44249-OPK3-LT/PAA/XII/2014 for operator of lifting equipment, given to Mr Ismail , valid until 9th December 2019, was issued by Manpower Ministry of Republic of Indonesia - OHS license for Boilermen, Register number: P.07.939.OPK3-PLBT-B-IX/2019, namely Mr Mulyanto Nasution – valid until 23rd December 2021 - Certificate for OHS electrician, series number: Ser.00240/TK3-LIST/I/2018, given to Mr Seto Surasi dated 29th January 2018 	
<p>2.1.2</p>	<p>A documented system, which includes written information on legal requirements, shall be maintained.</p> <p>- Minor compliance –</p>	<p>A documented system which includes written information on legal requirements was well maintained. It was documented in “Prosedur Identifikasi dan Evaluasi Pemenuhan Peraturan” (Procedure of Identification and Evaluation on</p> <p>Yes - comply</p>

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	<p>Compliance of Regulation – SOC/PSM/4.05) Rev. 05 dated 1 June 2014.</p> <p>The procedure described that identification and evaluation performed against regulation and requirement regarding environment, OHS, plantation, labour, social, etc. Updating of legal regulation performed once a year in January, while evaluation of compliance with legal regulation performed twice a year in January and July. Personnel in charge to manage the updating and evaluation which is sustainability division together with estate personel in each section, the last upadate was performed for period July – Decemebr 2018.</p> <p>The document was available to all staff and all level of management, the document was stored at central office.</p>	
<p>2.1.3</p> <p>A mechanism for ensuring compliance shall be implemented. - Minor compliance –</p>	<p>Mechanism for ensuring compliance has been implemented and documented in “Identifikasi dan Evaluasi Pemenuhan Peraturan dan Persyaratan” (Identification and Evaluation on Compliance of Regulation and Requirements – SOC/Form/4.05-01).</p> <p>The audit checklist covered the implementation of the all applied regulations. Status of compliance with the applicable environment, OHS, plantation, labour, social laws and regulations were evaluated, and evaluation of compliance result indicated that compliance status was justified with reference to the objective evidence of compliance.</p> <p>Company has been conducted identification of compliance regulation as recorded on “Identifikasi dan Evaluasi Pemenuhan Peraturan dan Persyaratan Lainnya for periode July – December 2018 on 01 January 2019 (Doc. No. SOC/Form/4.05-01 by sustainability division together with estate personel in each section.</p> <p>Internal audit related to legal compliance has been performed by organisation annually. Report of audit result was sighted and well documented.</p> <p>Minor Nonconformity statement: Some of the laws and regulations that have not been evaluated, include:</p> <ul style="list-style-type: none"> - PermenLhHut No 21 Th 2018 regards changes of regulation Minister of Environment Regulation No. 5 th 2014 regards quality standard of wastewater. - Minister of Forestry Regulation No. 23 of 2018 concerning changes to environmental permits - Minister of Forestry Regulation No. 24 of 2018 concerning EIA 	<p>Minor NC</p>

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	<ul style="list-style-type: none"> - PermenLhHut No 25 Th 2018 concerning UKL-UPL - PermenLhHut No 26 Th 2018 concerning Guidelines for preparing and evaluating and examining environmental documents in the implementation of licensing seeks to be integrated electronically. - Permenperin No.41 Th. 2014 concerning the ban on the use of HCFCs (R22 & R141b) per 1 Jan. 2015 - PUIL 2011, Regarding the general requirements for electrical installations - PERMENLHK No. 20 YEAR 2017 concerning Standard Quality of exhaust emissions of new types of motorized vehicles in categories M, N, O - PermenlhHut No. P.6 / MENLHK / SETJEN / KUM.1 / 2/2018 concerning air pollution control processing standards and certification - PermenlH No. 5 th 2014 concerning waste water quality standards - Government Regulation No. 78 of 2015; about wages - Presidential Regulation No. 12 of 2013 and No. 19 of 2016; about the Second Amendment to presidential regulation no. 12 of 2013: concerning Health Insurance <p>Correction: Will be verification at next surveillance</p>	
<p>2.1.4</p> <p>A system for tracking any changes in the law shall be available and implemented.</p> <p>- Minor compliance –</p>	<p>A system for tracking any changes in the law has been implemented and documented in "Catatan updating peraturan dan persyaratan PT. Socfindo"</p> <p>(Record of regulation and requirement updating - SOC/Form/4.05-02). Sustainability division was responsible for updating new regulation every twice a year. Company has defined the procedure to identify and evaluated legal compliance which documented in SOC/PSM/4.05 dated 01 January 2019.</p> <p>Updating conducted by contacting the relevant agencies or searching on the internet all copy of the rules and requirements specified in the list of identification. In case of any revision and new regulations/requirements, company performed the action:</p> <ul style="list-style-type: none"> - Updating the recordidentification and evaluation of regulations and other requirements - Doubling and distribute the new regulations to estate 	<p>Yes - comply</p>

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	<ul style="list-style-type: none"> - Updating the list regulatory record of OHS and environmental regulations - Keep track of revisions and new regulations <p>Record was available for period January 2018. New regulations were identified, e.g:</p> <ul style="list-style-type: none"> - PermenlhHut No P.5/MENLHK/SETJEN/KUM.1/2/ 2018 concerning Competency Standards and certification in charge of wastewater treatment operations and those responsible for pollution control - Permenaker No. 05 Th 2018 concerning OHS and Work environment 	
<p>Criterion 2.2: The right to use the land is demonstrated, and is not legitimately contested by local people who can demonstrate that they have legal, customary or user rights.</p>		
<p>2.2.1</p>	<p>Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available.</p> <ul style="list-style-type: none"> - Major compliance - <p>Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land were available, includes: PT Socfindo has had an HGU since 1978 with the following chronology:</p> <ol style="list-style-type: none"> 1. PT Socfindo Indonesia has HGU based on Minister of Domestic Affairs Decree no. Sk.64 / HGU.DA / 1978 dated 3/8/1978 for 1,900 Ha of land. Which is located in the Perkebunan Negeri Lama Village with a validity period of 30 years (31 December 1998). 2. PT Socfindo Indonesia extends the HGU based on the Decree of the Minister of Agrarian Affairs / Head of the National Land Agency no. 88/HGU /BPN/1997 dated 25 July 1997 concerning the granting of extension of land use rights located in Labuhan Batu regency, North Sumatra Province, covering an area of 2,164.8 hectares in the Perkebuna Negeri Lama Village with a validity period until December 31, 2024. <p>PT Socfindo Indonesia also has other licenses, including:</p> <ul style="list-style-type: none"> ▪ Initial Environmental Impact Assessment documents (ANDAL/PEL, RKL and RPL) which were approved by Department of Agriculture, Republic of Indonesia on March 17, 1994 (ANDAL/PEL for Negeri Lama Mill and Estate No. RC220/476/B/III/1994 dated 17 March 1994. ▪ Negeri Lama Mill and Estate Plantation Operation Permit/Surat Pendaftaran Usaha Perkebunan (SPUP) No. HK.350/ 84/Dj.Bun.5/II/2002, dated 25 February 2002. Area of permitted: 2,164.80 Ha. Permitted capacity of palm oil mill: 16 ton FFB/hour. 	<p>Yes - comply</p>

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	<ul style="list-style-type: none"> ▪ Plantation Business Assessment (Penilaian Usaha Perkebunan (PUP); Class III, based on the Decree of Kabupaten Labuhan Batu #520/2545/DIPERTA /2017 dated 12 July 2017. 	
<p>2.2.2 Legal boundaries are demonstrated clearly and maintained.</p> <p>- Minor compliance -</p>	<p>Legal boundaries clearly demarcated and maintained along the perimeters of estate lands which were mapped with Global Positioning System (GPS). Field observation was conducted to pegs number:</p> <ul style="list-style-type: none"> • #VI (02°20'42.7884" N and 100°4'14.9916"E) • #VIII (02°02'46.3344" N and 100°4'15.5388"E) • #VIIIa (02°02'45.9492" N and 100°4'19.6248"E) • #VIIIb (02°02'46.7941" N and 100°4'15.32146"E) <p>Realisation of pegs maintenance was sight on Checklist of EHS Patrol SOC/FORM/4.12-01), it was noted that pegs monitoring were conducted monthly with items checked were identity, condition and position of pegs. The last monitoring of Pegs was conducted on 6 December 2018.</p> <p>All plantation activities (harvesting, upkeep, manuring, etc) were carried out inside the legal boundaries, no activities conducted outside the boundaries.</p> <p>There is an SOP for boundary demarcation and maintenance under document of "Sistem Manajemen Socfindo – Prosedur Patroli LK3", Document number: SOC/PSM/4.1.2, edision: 02 dated 15th May 2017. In number 6.2.2 "Aktivitas Rinci" was mentioned "the patrol activity including checking the boundary demarcation and its maintenance.</p>	<p>Yes - comply</p>
<p>2.2.3 In the event that there is a dispute or a dispute has occurred, adequate evidence of legitimate acquisition and compensation or compensation settlement process through conflict resolution which has been received through Free, Prior and Informed Consent by all related parties shall be provided.</p> <p>- Minor compliance -</p>	<p>So far there was no unprecedented conflicts/disputes with stakeholders. During the stakeholder meeting on 30 January 2018 it was confirmed that there was no land conflict found at the estate.</p> <p>PT. Socfin Indonesia Negeri Lama has established a mechanism for resolution of conflicts and disputes through Handling of Social Conflict No. SOC/PSM/9.02 Revision 03 dated 1st September 2014. This procedure mentioned how the company solves the problem if any conflict occurred, both internal and external conflicts. This procedure also mentioned if the problem cannot be resolved bynegotiation, the company will take legal action involving the related institution.</p>	<p>Yes - comply</p>
<p>2.2.4 There shall be an absence of significant land conflict, unless requirements for acceptable</p>	<p>During audit there was no unprecedented conflicts/disputes with stakeholders. During the stakeholder meeting on 30 January 2018 it was</p>	<p>Yes - comply</p>

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	<p>conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved. - Major compliance –</p>	
<p>2.2.5</p>	<p>For any conflict or dispute over the land, the evidence of the extent of disputed area is mapped out in a participatory way with involvement of affected parties (including neighboring communities and local government where applicable), shall be available. - Minor compliance –</p>	<p>Yes - comply</p>
<p>2.2.6</p>	<p>To avoid escalation of conflict, there shall be no evidence that palm oil operations have instigated violence in maintaining peace and order in their current and/or planned operations. - Major compliance –</p>	<p>Yes - comply</p>
<p>Criterion 2.3:</p>		

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Use of the land for oil palm does not diminish the legal rights, customary or user right of other users without their free, prior and informed consent.			
2.3.1	Maps with appropriate scale showing the extent of recognized legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighboring communities where applicable, and relevant authorities). - Major compliance -	FPIC were not applicable because PT Socfin Indonesia Negeri Lama Estate has established / started to be planted in 1930. Land ownership before HGU was Erpacht Rights. There was no identified the existence of indigenous land within the company concession.	Yes - comply
2.3.2	Copies of negotiated agreements including the process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and these include: a) Evidence of consultation b) Statement of transfer of rights c) Evidence of compensation See specific guidance 2.3.2 - Minor compliance -	FPIC were not applicable because PT Socfin Indonesia Negeri Lama Estate has established / started to be planted in 1930. Land ownership before HGU was Erpacht Rights. There was no identified the existence of indigenous land within the company concession.	Yes - comply
2.3.3	Relevant information shall be available in appropriate forms and languages, including analysis of impacts, proposed benefit sharing, and legal arrangements. - Minor compliance -	FPIC were not applicable because PT Socfin Indonesia Negeri Lama Estate has established / started to be planted in 1930. Land ownership before HGU was Erpacht Rights. There was no identified the existence of indigenous land within the company concession.	Yes - comply
2.3.4	Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel. - Major compliance -	Communities are represented through institutions or representatives of their own choosing. It was confirmed that Village communities have delegated their representatives to the Village Head. Village Head are selected through local election.	Yes - comply
Principle 3: Commitment to long-term economic and financial viability			
Criterion 3.1:			
There is an implemented management plan that aims to achieve long-term economic and financial viability.			
3.1.1	A documented management plan, a minimum of three years shall be available, including, where appropriate, plan for scheme smallholders. - Major compliance-	PT Socfin Indonesia – Negeri Lama POM has shown the documented management plan as in “Rencana Kerja Jangka Panjang 2017-2021”, has prepared by General Manager in HO Medan on 16 th October 2016. Management Plan was established was established in order to achieve long-term economic and financial viability. The parameters stated in the management plan were including revenue and profit, crop projection (FFB yield trends), CPO and PK extraction rate; estimated estate cost (upkeep, research and development, harvesting, processing, packing, transportation, depreciation) as well as mill cost	Yes - comply

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	<p>(processing, repair and maintenance, overhead and depreciation).</p> <p>This plan was established by considering economical parameters/assumptions such as inflation, US Dollar and Indonesian Rupiah (IDR) rate, CPO price, and FFB price.</p> <p>The management plan achievement was reviewed annually during the management review and annual report.. last report</p>	
<p>3.1.2</p>	<p>An annual replanting program projected for a minimum of five years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review, shall be available.</p> <p>- Minor compliance-</p>	<p>Yes - comply</p>
<p>Principle 4: Use of appropriate best practices by growers and millers</p>		
<p>Criterion 4.1: Operating procedures are appropriately documented, consistently implemented and monitored.</p>		
<p>4.1.1</p>	<p>Standard Operating Procedures (SOPs) for estates (land clearing to harvesting) and SOP for mills (reception of FFB to dispatch of CPO and PKO) shall be available.</p> <p>- Major compliance -</p> <p>Standard Operating Procedures (SOPs) and Work Instructions for Estate been documented. The procedures cover key processes, harvesting, transportation, manuring, IPM, GAP, Supply Chain requirements for the mill, land clearing, nursery, preparation before replanting, drainage system, maintenance of immature and mature upkeep.</p> <p>SOP for Estate:</p> <ul style="list-style-type: none"> - SOC/PSM/7.10: Standard Operating Procedure for Oil Palm Plantation - SOC/PSM/7.10-15: Procedure of Soil Analysis - SOC/PSM/7.10-16: Procedure of Leaf Sampling - SOC/PSM/7.10-08: Procedure of Terracing - SOC/PSM/7.10-06: Procedure of Drainage Ditch - SOC-KKS/IK/05: Work Instruction of Planting of Oil Palm - SOC-KB/IK/01: Work Instruction of Fertilising - SOC-KB/IK/02: Work Instruction of Pesticide Spraying - SOC-KKS/IK/01: Work Instruction of Nursery - SOC-KKS/IK/07: Work Instruction of Harvesting - SOC-KKS/IK/12: Work Instruction of EFB Application - SOC-KKS/IK/12: Work Instruction of Weeds Controlling - SOC-KB/IK/07: Work Instruction of Road Maintenance - SOC-KB/IK/08: Work Instruction of Peat Land Management 	<p>Yes - comply</p>

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Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> • IPM Procedure: <ul style="list-style-type: none"> ✓ SOC/PSM/7.10-13: Procedure of Caterpillar Control ✓ SOC/PSM/7.10-11: Procedure of Oryctes Rhinoceros Control ✓ SOC/PSM/7.10-21: Procedure of Rat Control ✓ SOC/PSM/7.10-21: Procedure of Ganoderma Control <p>Procedure and Work instructions in local language for supporting Mill activities have been established for all of its operations from receiving of FFB, processing CPO and palm kernel, dispatch and also supply chain requirements. The procedure also describes quality control check, sampling methods including its reporting from reception of FFB up to dispatch of CPO and palm kernel.</p> <p>SOP for Mill:</p> <ul style="list-style-type: none"> - SOC-POM/IK-01 FFB receiving in loading ramp - SOC-POM/IK-02 Operation of steriliser - SOC-POM/IK-02 Operation of housting crane - SOC-POM/IK-04 Operation of stripper - SOC-POM/IK-05 Operation of digester and screw press - SOC-POM/IK-06 Operation of continuous tank - SOC-POM/IK-07 Operation of purifier - SOC-POM/IK-08 Operation of vaccuum dryer - SOC-POM/IK-09 Operation of decanter - SOC-POM/IK-10 Operation of sludge separator - SOC-POM/IK-11 Operation of decantation pond and fat pit - SOC-POM/IK-12 Operation of silo biji - SOC-POM/IK-13 Operation of riplle mill - SOC-POM/IK-14 Operation of separating tank - SOC-POM/IK-15 Operation of silo kernel - SOC-POM/IK-16 Operation of clay bath - SOC-POM/PSM/7.08: Procedure of Receiving - SOC-POM/PSM/7.09: Procedure of Processing - SOC-POM/PSM/7.06: Procedure of Delivery of CPO and PK - SOC/PSM/4.10: Procedure of Waste Control - SOC/PSM/9.09: Procedure of Supply Chain Certification Standard Mass Balance <p>Copy of the procedures was available on site and documented in Indonesian language. Procedures were distributed by Sustainability Sub Department to all Divisions of Estate and Mill.</p> <p>Procedure has been disseminated periodically to all Estate and Mill employees through regular training,</p>	

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	<p>monthly briefing and morning circle. Interviews with the employees indicated satisfactory level of understanding and implementation in relation to their respective job function.</p> <p>Sample of estate operational implementation were taken in harvesting process in Block 18 Afdeling I and Block 49 Afdeling II, EFB application in Block 8 Afdeling I, pesticide spraying in Block 13 Afdeling I, caterpillar census in Block 14 Afdeling I. Mill operational implementation was conducted started from loading ramp to CPO dispatch including supporting process, e.g. maintenance and warehouse activities. It was observed that all of the activities were implemented according to procedure.</p>	
<p>4.1.2 Checking or monitoring of operations procedures is conducted at least once a year. - Minor compliance -</p>	<p>The organization has well implemented internal control and monitoring processes that check and report on the implementation of the SOPs. These include independent checks of the Mill and Estates by Department of Technology and Department of Agriculture Socfin Medan Head Office.</p> <p>Visiting of Department of Technology and Department of Agriculture Socfin Medan Head Office was conducted to check implementation of the procedures and work instructions which covered operational activities of plantations and mill including the maintenance of palm oil crop (upkeep, manuring, IPM), harvesting, FFB receiving, mill process and other supporting activities such as administration, road infrastructure. Corrective action of all non-conformities found has been follow up.</p> <p>Routinely, the company has monitored the implementation of work procedures carried out by the "Sub Bahagian Tanaman", the last visit in the Old Land Estate was carried out on 26-28 February 2018.</p> <p>The visit of the "Sub Bahagian Teknik" to monitor the implementation of procedures in the Negeri Lama POM, last conducted on March 5, 2018.</p> <p>The organisation has established procedure to address non-compliance and corrective action for continuous improvement.</p>	<p>Yes - comply</p>
<p>4.1.3 Records of monitoring and any follow-up actions shall be available. - Minor compliance -</p>	<p>Record of monitoring and any action taken were maintained and available for Estate and Mill.</p> <p>Estate Estate activities are programmed in annual program. Activities program are such as pest and diseases census, fertilising, spraying, cleaning of trench and road maintenance. Records of activities were sighted, e.g. "Daily Work Plan", "General Workgroup</p>	<p>Yes - comply</p>

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	<p>Task Data Collection Sheet”, “Work performance and material use (Prestasi kerja dan pemakaian bahan)”, Checking of FFB quality (Buku pemeriksaan ancah dan mutu buah), harvesting rotation. The record covered activities type, number of worker, quantity of agro chemical use, quantity of activities output and area of activities.</p> <p>Routinely, the company has monitored the implementation of work procedures carried out by the "Sub Bahagian Tanaman", the last visit in the Old Land Estate was carried out on 26-28 February 2018.</p> <p>The findings of the visit:</p> <ul style="list-style-type: none"> - TBS reception was found in Blocks 40 and 41 (TT '1994) Div. II Krani Mr. Parno were recorded on temporary paper which should have been recorded directly on Palm Oil in the Harvesting Data Collection Sheet. Follow-Up: Krani Mr. Parno was called and given a warning to directly use Palm Oil in the Harvest Data Collection Sheet directly. - 7 pieces of fruit were found (not harvested) in Blocks 1 and 2 (TT'96) of Sudarto's foreman. Follow-up: Sudarto are given sanctions for warning letters and transferred to other jobs (Solid Solid Overseers to the field). - There are many fruits E in the field in blocks 2, 40 and 41 while spinning fruit pieces 5-6 days. Follow-up: Provide harvesters with fiber to make the high staple affordable. <p>Mill</p> <p>The visit of the "Sub Bahagian Teknik" to monitor the implementation of procedures in the Negeri Lama POM, last conducted on March 5, 2018.</p> <p>The findings of the visit:</p> <p>Work Instructions Installation of a steam pipe from the boiler to the turbine has not been applied consistently. Next: Install pipe support and hanger, install pipe insulation, install the steam pipe header 10 "before the water separator, change the installation of the water separator and install the steam stainer 6" before entering the turbine.</p>	
<p>4.1.4</p>	<p>Records of the origins of all third-party FFB sourced (collector, deliver, Cooperative, Farmers Association and outgrower) shall be available.</p> <p>- Major compliance -</p>	<p>Yes - comply</p>

Criterion / Indicator	Assessment Findings	Compliance
<p>Criterion 4.2: Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.</p>		
<p>4.2.1 A record of SOP implementation to maintain soil fertility that ensures optimal and sustained yield, shall be available. - Major compliance -</p>	<p>Organization has defined the SOPs for Good Agricultural Practices in managing soil fertility which documented in SOC-KB/IK/01: Work Instruction of Fertilizing. Fertilizer application in Negeri Lama Estate was performed manually and mechanically.</p> <p>Based on data on fertilizing booklet 2018, it was noted that fertilizing activities in 2018 has been implemented and monitored. During field visit it was observed that all plant are in good condition, conclude that SOP of fertilizing are well implemented.</p>	<p>Yes - comply</p>
<p>4.2.2 Records of fertilizer inputs shall be available. - Minor compliance -</p>	<p>Records of fertiliser inputs are well maintained in document Fertilizing Recommendation 2018 "Booklet Pemupukan Program 2018". Fertilizer inputs recorded each semester. Fertilizer recommendation in 2018 was defined based on leaf sampling unit (LSU) and soil sampling unit (SSU).</p> <p>Record of manuring realisation in 2017 and 2018 shows that the realizations are in accordance with the plan/recommendation. Sample of realization as follows: Block 051; year of planting 1999; 29.28 Ha; 3,113 palm; 106 stand per Ha; category IL-6305; 1st application 7,783 kg on 18/01/208; 2nd application 7,004 kg on 19/04/2018; and 3rd application 7,004 kg on 07/07/2018. Blok 033; year of planting 2005; 47.30 Ha; 5,683 palm; 120 stand per Ha; category S-5105; 1st application 11,366 kg on 11/01/208; 2nd application 11,366 kg on 23/02/2018; 3rd application 11,366 kg on 23/04/2018; and 4th application 11,366 kg on 19/07/2018.</p>	<p>Yes - comply</p>
<p>4.2.3 Records of periodical leaf, soil and visual analysis shall be available. - Minor compliance -</p>	<p>Soil analysis is conducted every 6 years. Last analysis was conducted in 2015 to 10 samples of all divisions. Soil analysis was conducted by Socfindo Seed Production and Laboratory.</p> <p>Leaf analysis is conducted annually at minimal 2 months after 1st fertilizer application was finished. The last Leaf sampling analysis was conducted on 8 May 2018. Leaf analysis was conducted by Socfindo Seed Production and Laboratory.</p> <p>Sample of leaf analysis result based on Leaf Analysis Result issued by Socfindo Seed Production and Laboratory, Ref. No. L18-056/LAB-SSPL/V/2018,</p>	<p>Yes - comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p>number of sample: 20 samples; Lab ID 1801110; sample ID NL21996; Ca 0.38%; K 1.14%; Mg 0.23%; N 2.77%; P 0.17%. Lab ID 1801111; sample ID NL41993; Ca 0.38%; K 0.86%; Mg 0.29%; N 2.53%; P 0.15%.</p>	
<p>4.2.4</p> <p>A nutrient recycling strategy is recorded, including use of Empty Fruit Bunches (EFB), land application, and palm residues after replanting.</p> <p>- Minor compliance -</p>	<p>There was nutrient recycling strategy performed by Negeri Lama Estate such as land application from Empty fruit bunch (EFB) and solid. EFB and solid was applied in Division I and II. Dosage of EFB application was described in the work instruction.</p> <p>Program and realisation of EFB application 2018 was available under "Rencana Aplikasi Janjang Kosong Ke Lapangan 2018 Kebun Negeri Lama". Total planned was 276.73 Ha (11,311 Ton), total realisation was 253.83 Ha (10,243 Ton).</p> <p>Program and realisation of solid application 2018 was available under "Rencana Aplikasi Solid Ke Lapangan 2018 Kebun Negeri Lama". Total planned was 93.64 Ha (1,873 Ton), total realisation was 90.95 Ha (2,010 Ton).</p>	<p>Comply</p>
<p>Criterion 4.3: Practices minimise and control erosion and degradation of soils.</p>		
<p>4.3.1</p> <p>Maps of any fragile soils shall be available.</p> <p>- Major compliance -</p>	<p>Maps of soils survey were available for Negeri lama estate with scale 1 : 25.000 sourced from Report of Soil Survey by Paramanathan, Malaysia June 2004. The maps included maps of fragile soils. Based on maps of soils type, there are no fragile soils present in Negeri Lama Estate. Soil characteristic in Negeri lama estate comprise of: Typic endoaquept, Humic Endoaquept and Typic Haplohemis. Land topography and slopes in Negeri lama estate was 0 – 4% with area generally flat.</p>	<p>Yes - comply</p>
<p>4.3.2</p> <p>A management strategy shall be in place for plantings on slopes above a certain limit (this needs to be soil and climate specific).</p> <p>- Minor compliance -</p>	<p>The organisation has management strategy for planting on slopes above certain limit such as terracing, as referred to company's SOP and work instructions. The Work instruction described preparation for planting including planting on slopes area has been developed by organisation.</p> <p>System for planting on slopes area is provided through terracing, levelling of terrace, planting legume cover crops and determining of planting space. Terrace and Platform created in area with slopes 10 – 15% and wide 4 m. Negeri lama estate has slopes between 0 – 4% with category flat therefore there was no terrace and platform created in Negeri Lama Estate.</p>	<p>Yes - comply</p>

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Criterion / Indicator		Assessment Findings	Compliance						
4.3.3	<p>A road maintenance program shall be in place.</p> <p>- Minor compliance –</p>	<p>Most of transportation in Negeri Lama Estate, such as FFB transport, fertilizer and EFB were performed using loco tack. Maintenance of loco track are conducted based on information from loco driver. Loco track maintenance was well implemented. Maintenance of track were documented under "Pusingan Rawat Rail Ban". Records shown that in Division I it has been performed 276,200 m maintenance by chemical and 6,500 m maintenance by manual. During field observation, it was sighted that all loco track can be passed by loco.</p> <p>A little uses of road are only for 4 wheel car and motorcycle. Road maintenance are performed manually by workers using stones. Manual road maintenance are documented under "Pusingan Rawat Pasar". Records shown that in 2018 manual road maintenance has been realized in Division I for 16,900 m and in Division II for 24,144 m.</p>	Yes - comply						
4.3.4	<p>Subsidence of peat soils shall be minimised and monitored. A documented water and ground cover management programme shall be in place.</p> <p>- Major compliance –</p>	<p>Peat subsidence monitoring were conducted at block 26 (3 units), Block 32 (3 units) and Block 38 (2 units). Records were available under "Form Monitoring Subsiden". Records shown that there is no subsidence since 2016.</p> <p>Water level monitoring are performed at lowland area. Water level is monitored weekly by checking the level meter which was provided in main and secondary drain. Water level is monitored in block 8, 9, 16, 17, 21, 38, 32 and 26. Condition of water gate (open or close) was according to water level result. Record of water level monitoring was reviewed for period January – December 2018. When water level was below 40 cm, action was taken by open water gate.</p> <p>Result of water level monitoring mentioned that in block 8, 9, 16, 17, 21 Division I, water level was below 40 cm because Estate level lower than river. Water gate at the area was always closed to prevent river water entering the Estate. Result of water level in Division II was always normal as required.</p> <p>Ditch maintenance is programmed annually and implemented in Division I and II. Realisation of ditch maintenance 2018:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;">Division</th> <th>Ditch Maintenance (meter)</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">I</td> <td style="text-align: center;">2,470</td> </tr> <tr> <td style="text-align: center;">II</td> <td style="text-align: center;">2,875</td> </tr> </tbody> </table>	Division	Ditch Maintenance (meter)	I	2,470	II	2,875	Yes - comply
Division	Ditch Maintenance (meter)								
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Criterion / Indicator		Assessment Findings	Compliance
4.3.5	<p>Drainability assessments shall be required prior to replanting on peat to determine the long-term viability of the necessary drainage for oil palm growing.</p> <p>- Minor compliance –</p>	<p>Currently there is no replanting on peat land. The peat area of 126,59 Ha are in Block 16, 21, 26, 32, 38 Division II was planted in 1998.</p> <p>Drainability assessment has not been conducted due to replanting program on peat will be started in 2023. Drainability assessment and feasibility for replanting performed one year prior to replanting. However the company has done monitoring and recording of peat subsidence, water table and water level since 2016.</p>	Yes - comply
4.3.6	<p>A management strategy shall be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils).</p> <p>- Minor compliance –</p>	<p>Based on soil map of Negeri Lama Estate sourced from Report of Soil Survey by Paramanathan, Malaysia June 2004, there was no other fragile and problem soil in Negeri Lama Estate.</p>	Yes - comply
<p>Criterion 4.4: Practices maintain the quality and availability of surface and ground water.</p>			
4.4.1	<p>An implemented water management plan shall be in place.</p> <p>- Minor compliance -</p>	<p>The company has implemented water management plan under documented "Rencana Pengelolaan Air". The documented Procedure Water Management at Mill and Estate (SOC/PSM/4.22 Rev.01 dated 1 July 2015) defined the method of water management plan include water source and distribution identification, volume of water utilization, parameter/standards of water utilization, identify the impacts include water effluents/wastes and also the method to reduce and control water uses.</p> <p>The water was utilize for mill operations (include boilers, processes and domestics usage) through the water treatment plant (using physicals and chemicals method) as well as for estate operations (include housing, pesticidesmixings and office operations). Tax retribution payment to government was evidence for mill water usage period in 2018.</p> <p>Surface water utilization permit for PT Socfin Indonesia has been extended based on Decree of Governor of North Sumatera No. 610/483/BPPTSU/2/XII.1/X/2016 dated 19 October 2016 and valid for three (3) years. Surface water intake was located in Negeri Lama Seberang Village, Bilah Hilir District, Labuhanbatu regency. The water intake coordinate point at 02° 18' 30.08" N and 100° 04' 13.66" E with two (2) intake pipes (3 inches and 4 inches) and a maximum water discharge was 12 liters/sec. This surface water is used for oil palm processing and domestic housing.</p>	Yes - comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>There is another water intake point which have surface water utilization permit based on Decree of Governor of North Sumatera No. 610/642/BPPTSU/2/XII.1/XI/2016 dated 29 November 2016 and valid for three (3) years. Surface water intake was also located in Negeri Lama Seberang Village, Bilah Hilir District, Labuhanbatu Regency, with coordinate point at 02° 67' 41.45" N and 99° 60' 66.85". This water intake has one (1) intake pipe (3 inch), used for oil palm seed watering.</p> <p>The company installed flowmeters to monitor water usage. The monitoring of water volume utilization was conducted, records was sighted. Water usage for estate operational and housing are monitored as well every month through the recording of water pump operational hour. The company has described water management by monitoring water consumption, if there is above the average, then efficiency of water use will conducted by reduce the water consumption.</p> <p>The company has established programs to reduce water consumption, e.g. repair the boiler steam outlet pipelines toward turbines by installing joint expansion to replace the elbow in order to reduce losses; recycle the vacuum drier water discharge into kernel processes operation; steam optimization by setting the boiler main valve; recycle the sterilizer condensates for solution oil phase decanter and water dilution press in order to minimize water usage.</p> <p>The analysis for surface water and domestic clean water quality were carried out regularly based on the standard of PP RI 82/2001 for river (surface) water and Regulation of Ministry of Health No.492/MENKES/PER/IV/2010 regarding requirement for drinking water quality. Internal laboratory (Socfindo Seed Production and Laboratory) conducted the anlysis. Water quality analysis were carried out in several water sources, e.g.:</p> <ul style="list-style-type: none"> - Clean water for employye housing. - Well water for Division II housing - Well water for Division I housing - Downstream of Bilah river - Upstream of Bilah river 	
4.4.2	Protection of water courses and wetlands, including securing and	The company has identified water courses and wetland in the plantation area. Based on HCV
		Yes - comply

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Criterion / Indicator	Assessment Findings	Compliance
<p>maintaining appropriate riparian and other buffer zones, at the time of or prior to replanting shall be demonstrated.</p> <p>- Major compliance -</p>	<p>assessment in 2011, there were identified water courses in Negeri Lama Estate, among others: River in Block 19, 20, 25; Keramat River; Lengkok River; Landia River and Bilah River. The water courses was protected by the company with the following ways:</p> <ul style="list-style-type: none"> - Establishment of conservation areas in riparian area to protect river water from pollutants, such as chemicals (fertilizers and pesticides). - Upkeep work in conservation areas remain to be implemented, but prohibited from using pesticides. - Type of beneficial plants that need to be planted is <i>Cassia cobanensis</i>. - On the river with a width of 15 meters, planted crops such as rubber wood or other wood plants. On the river with a width of less than 15 meters, planted with Land Cover Crop. <p>Company has procedures associated riparian buffer zone, procedures of River Conservation Area (SOC/PSM/9.07) Rev.04 dated 1 April 2015. The company also has procedures that regulate the width of riparian listed on HCV Management and Monitoring procedure (SOC/PSM/9.06) Rev.03 dated 1 February 2016. In point 4, explained the definition of the area along the river banks are left right rivers, including the artificial river/channel/ primary irrigation channel, which has important benefits to maintain the sustainability of the river functions. Then, in point 5.2.3 stated that the river border management aims to protect the river from pollution by fertilizers and pesticides applied in the palm oil and also to prevent erosion. River banks are managed in a way that serves as a buffer zone. At point 5.2.3 stated that the determination of the width of riparian buffer zone is determined based on the results of a study conducted by HCV assessor, i.e. to the width of the river at <5 meter wide, river border is 8 meters. Riparian areas in Negeri Lama Estate have been determined as the area of HCV and have been mapped into the "Map of High Conservation Negeri Lama" scale 1 : 27,857.</p> <p>Based on observations at riparian of Sungai Bilah at Block 53 Division II, the riparian area has been well maintained, with the marking in palm oil tree and prohibition of pesticide applications in the river buffer zone. Old oil palm tree are keep standing, not cut during replanting.</p>	

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Criterion / Indicator	Assessment Findings	Compliance																																																				
<p>4.4.3 Records for monitoring of effluent especially BOD (Biochemical Oxygen Demand) and efforts to comply with legal requirements, shall be available (see criteria 2.1 and 5.6). - Minor compliance –</p>	<p>Records for monitoring of effluent especially BOD (Biochemical Oxygen Demand) has demonstrated under Certificate of "Analysis Report – Laporan Analisa" that was conducted by Accrediation Laboratory namely PT Sucofindo every months.</p> <p>Data seen:</p> <table border="1" data-bbox="683 618 1299 1084"> <thead> <tr> <th>Months - 2018</th> <th>Certificate Number</th> <th>BOD (mg/L)</th> <th>COD (mg/L)</th> </tr> </thead> <tbody> <tr><td>January</td><td>01024/CLACAL</td><td>98.8</td><td>214.82</td></tr> <tr><td>February</td><td>02483/CLACAL</td><td>99.6</td><td>230.74</td></tr> <tr><td>March</td><td>02514/CLACAL</td><td>99.6</td><td>220.70</td></tr> <tr><td>April</td><td>03432/CLACAL</td><td>99.8</td><td>230.84</td></tr> <tr><td>May</td><td>03651/CLACAL</td><td>99.2</td><td>219.67</td></tr> <tr><td>June</td><td>04056/CLACAL</td><td>98.8</td><td>217.84</td></tr> <tr><td>July</td><td>05623/CLACAL</td><td>99.0</td><td>220.74</td></tr> <tr><td>August</td><td>06506/CLACAL</td><td>99.0</td><td>216.93</td></tr> <tr><td>September</td><td>06872/CLACAL</td><td>95.8</td><td>185.26</td></tr> <tr><td>October</td><td>07916/CLACAL</td><td>99.0</td><td>216.34</td></tr> <tr><td>November</td><td>08499/CLACAL</td><td>72.1</td><td>102.92</td></tr> <tr><td>December</td><td>-</td><td>96.2</td><td>207.84</td></tr> </tbody> </table> <p>The result was complied with the Ministry of Environment Decree No. 5/2014 annex III required that BOD of POME discharged is less than 100 mg/litre. The result of POME quality during this period was under 100 mg/litre.</p> <p>Location of testing in outlet of mill wastewater (POME) that was processed through a series of waste water treatment ponds: one anaerobic pond, one facultative pond and one aerobic pond. Process parameter monitoring and maintenance of the ponds were sighted.</p> <p>Extended of wastewater discharge permit under "Keputusan Bupati Labuhanbatu No. 503.660/215/BLH/WAS/2016 tentang Perpanjangan Izin Pembuangan Air Limbah Ke Air atau Sumber Air pada Pabrik Minyak Kelapa Sawit PT Socfin Indonesia Perkebunan Negeri Lama yang Berlokasi di Desa Negeri Lama Seberang Kecamatan Bilah Hilir Kabupaten Labuhanbatu" dated 21 June 2016 that valid for 5 (five) years from Labuhanbatu Regency</p>	Months - 2018	Certificate Number	BOD (mg/L)	COD (mg/L)	January	01024/CLACAL	98.8	214.82	February	02483/CLACAL	99.6	230.74	March	02514/CLACAL	99.6	220.70	April	03432/CLACAL	99.8	230.84	May	03651/CLACAL	99.2	219.67	June	04056/CLACAL	98.8	217.84	July	05623/CLACAL	99.0	220.74	August	06506/CLACAL	99.0	216.93	September	06872/CLACAL	95.8	185.26	October	07916/CLACAL	99.0	216.34	November	08499/CLACAL	72.1	102.92	December	-	96.2	207.84	<p>Yes - comply</p>
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<p>4.4.4 Monitoring of mill water use per ton of FFB shall be recorded. - Minor compliance –</p>	<p>PT Socfin Indonesia has defined the procedure on the monitoring of mill waster use per ton of FFB processing under POM Water Management Procedure No: SOCPSM/4.22 rev.02, dated 1st January 2016.</p>	<p>Yes - comply</p>																																																				

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Criterion / Indicator	Assessment Findings	Compliance																																																								
	<p>The record of mill water usager per ton of FFB has shown under document of "Debet Air, Pemakian Air untuk Pabrik bulan Januari – Desember 2018" as following:</p> <table border="1" data-bbox="676 584 1294 1151"> <thead> <tr> <th>Months</th> <th>FFB processing (Ton)</th> <th>Water Usage (M3)</th> <th>Waster use per ton of FFB</th> </tr> </thead> <tbody> <tr><td>January</td><td>2,99.02</td><td>684</td><td>0.23</td></tr> <tr><td>February</td><td>2,733.9</td><td>618</td><td>0,23</td></tr> <tr><td>March</td><td>3,778.2</td><td>823</td><td>0.22</td></tr> <tr><td>April</td><td>3,352.6</td><td>738</td><td>0.22</td></tr> <tr><td>May</td><td>4,502.8</td><td>990</td><td>0.22</td></tr> <tr><td>June</td><td>4,716.2</td><td>1,014</td><td>0.22</td></tr> <tr><td>July</td><td>5,264.2</td><td>1,133</td><td>0.22</td></tr> <tr><td>August</td><td>4,809.8</td><td>1,038</td><td>0.22</td></tr> <tr><td>September</td><td>3,704.3</td><td>808</td><td>0.22</td></tr> <tr><td>October</td><td>4,284.4</td><td>979</td><td>0.22</td></tr> <tr><td>November</td><td>3,427.2</td><td>768</td><td>0.22</td></tr> <tr><td>December</td><td>2,893.1</td><td>742</td><td>0.22</td></tr> <tr><td>Total</td><td>46.456.9</td><td>10,335</td><td>0.22</td></tr> </tbody> </table>	Months	FFB processing (Ton)	Water Usage (M3)	Waster use per ton of FFB	January	2,99.02	684	0.23	February	2,733.9	618	0,23	March	3,778.2	823	0.22	April	3,352.6	738	0.22	May	4,502.8	990	0.22	June	4,716.2	1,014	0.22	July	5,264.2	1,133	0.22	August	4,809.8	1,038	0.22	September	3,704.3	808	0.22	October	4,284.4	979	0.22	November	3,427.2	768	0.22	December	2,893.1	742	0.22	Total	46.456.9	10,335	0.22	
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<p>Criterion 4.5: Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.</p>																																																										
<p>4.5.1 Monitoring of Integrated Pest Management (IPM) plan implementation shall be available. - Major compliance -</p>	<p>Integrated Pest Management (IPM) Plan has been implemented by the company. IPM Plan have been prepared within the budget in 2018. IPM Budget 2019 were also available. Estate has established Division Work Program annually for IPM for each Division. IPM plan includes detection and census of pest and diseases, weeds controlling, planting and upkeep of beneficial plant, use of pesticide and herbicide. IPM plan include the following :</p> <ul style="list-style-type: none"> • Identification of potential pests and thresholds • The techniques used (cultural, biological, mechanical and physical methods) • The native species used as part of the biological control method • Reducing the use of chemicals over a period of time • No prophylactic use of pesticides • Minimization of pesticide use • Review on the plans to suit the present condition such as replanting. <p>Company has establish the SOPs for IPM, e.g.:</p>	<p>Yes - comply</p>																																																								

Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> • SOC/PSM/7.10-13: Procedure of Integrated Pest Management Caterpillar and Bagworm attack • SOC/PSM/7.10-11: Procedure of Integrated Pest Control <i>Oryctes rhinoceros</i> • SOC/PSM/7.10-21: Procedure of IPM for rodent, this procedure was revised on 8 February 2018, stated that IPM of rat is conducted through biological or chemical. Previously, procedure mentioned that IPM of rat was conducted through biological and chemical. <p>The SOP describes integrated pest control (integrated pest management/IPM) which combines various control techniques e.g. mechanical, biological, physical and chemical, applied early warning system (EWS) through periodically census for pests by :</p> <ol style="list-style-type: none"> 1. Visual observation (visual plant e.g. leafs or broken stems and fruit rot) 2. Conducting a census (to determine the distribution and level of attack) 3. Control (manual, biological or chemical) e.g planting of <i>Turnera Subulatta</i> (nest of natural predator caterpillars (Ulat Api)). 4. Census of evaluation (to see the effect of control). <p>Several records of pest occurrence and control verified such as :</p> <ul style="list-style-type: none"> - IPM Program 2018 and 2019: Caterpillar census, rat census and imago and larva of <i>Oryctes rhinoceros</i>. - Census of <i>Oryctes</i>, Division II, Block 29, total plant 6419 plant, in January plant attacked 4 (0.06%), in April no plant attacked, in July 13 plant attacked (0.20%), in October 12 plant attacked (0.19%). - Breeding of cycinus (predator of nettle caterpillar); i.e. dated 11/12/2018 breeding, dated 18/12/2018 egg; dated 02/01/2019 larva 29 individu; released 26 individu on 02/01/2019 at Block 33. - Monitoring of beneficial plant planting; i.e. Division I period January-December 2018 at Block 6 planted 1,250 plant; at Block 10 planted 1,500 plant; at Block 14 planted 500 plant; at Block 18 planted 500 plant; at Block 22 planted 300 plant. 	
<p>4.5.2</p>	<p>Training records of Integrated Pest Management (IPM) shall be available.</p> <p>- Minor compliance –</p>	<p>Refreshment training of Integrated Pest Management is conducted annually. Latest refreshment training of Integrated Pest Management to IPM workers has been performed on 10 April 2018 lead by Manager, attended by 18 personnel. Records</p> <p>Yes - comply</p>

Criterion / Indicator	Assessment Findings	Compliance																																										
	of training were evidenced. Personnel interviewed during field observation were verified has received training of IPM.																																											
Criterion 4.6: Pesticides are used in ways that do not endanger health or the environment																																												
4.6.1 Documented evidence shall be available to show that pesticide used based on regulations and the use of pesticide is specific to target species with appropriate dosage which have minimal impact on non-target species. - Major compliance -	The company has established ethic policy regarding safe, efficient and effective use of chemicals under Ethic Policy point 11. Procedure/work instruction of Pesticides Spraying (SOCKB/IK/02) described use of selective pesticides that are specific to target pests, weeds, or diseases. Each type of pesticide used have been defined specific target of pest, types of weeds, application dosage per hectare which have minimal effect on non-target species and a broad plan of applications specified in the annual budget. To avoid development of resistance, the company implemented pesticides rotation. In average pesticide rotation is 4 (four) rounds a year. Pesticides used by Negeri Lama Estate has license and registered in the Agriculture Department as mentioned in Pesticide Commission Book "Buku Komisi Pesticida": <table border="1" data-bbox="676 1133 1294 2016"> <thead> <tr> <th>Pesticides</th> <th>License</th> <th>Expiry Date</th> </tr> </thead> <tbody> <tr> <td>Ally 20 WDG</td> <td>RI.01030119888 37</td> <td>11 May 2021</td> </tr> <tr> <td>Amistartop 325 SC</td> <td>RI.01020120052 228</td> <td>17 Oct 2019</td> </tr> <tr> <td>Bimaron 80 WP</td> <td>RI.01030119931 078</td> <td>17 Oct 2019</td> </tr> <tr> <td>Cymbush 50 EC</td> <td>RI.01010119814 62</td> <td>5 May 2021</td> </tr> <tr> <td>Dacomine 865 SL</td> <td>RI.0103012004</td> <td>30 Apr 2019</td> </tr> <tr> <td>Gramoxone 275 SL</td> <td>RI.01030119743 6</td> <td>12 Dec 2020</td> </tr> <tr> <td>Manzate 82 WP</td> <td>RI.01020119793 93</td> <td>10 Oct 2021</td> </tr> <tr> <td>Round Up 486 SL</td> <td>RI.01030120155 319</td> <td>12 Dec 2020</td> </tr> <tr> <td>Santador</td> <td>RI.01010120042 138</td> <td>2 Feb 2020</td> </tr> <tr> <td>Starane 290 EC</td> <td>RI.01030119888 54</td> <td>15 Apr 2019</td> </tr> <tr> <td>Starthene 75 WG</td> <td>RI.01010120072 983</td> <td>30 Aug 2022</td> </tr> <tr> <td>Ratgone 0.005 B</td> <td>RI.01120119951 212</td> <td>12 Dec 2021</td> </tr> <tr> <td>Sanvin 85 WP</td> <td>RI.01010120134 818</td> <td>3 Sep 2023</td> </tr> </tbody> </table>	Pesticides	License	Expiry Date	Ally 20 WDG	RI.01030119888 37	11 May 2021	Amistartop 325 SC	RI.01020120052 228	17 Oct 2019	Bimaron 80 WP	RI.01030119931 078	17 Oct 2019	Cymbush 50 EC	RI.01010119814 62	5 May 2021	Dacomine 865 SL	RI.0103012004	30 Apr 2019	Gramoxone 275 SL	RI.01030119743 6	12 Dec 2020	Manzate 82 WP	RI.01020119793 93	10 Oct 2021	Round Up 486 SL	RI.01030120155 319	12 Dec 2020	Santador	RI.01010120042 138	2 Feb 2020	Starane 290 EC	RI.01030119888 54	15 Apr 2019	Starthene 75 WG	RI.01010120072 983	30 Aug 2022	Ratgone 0.005 B	RI.01120119951 212	12 Dec 2021	Sanvin 85 WP	RI.01010120134 818	3 Sep 2023	Yes - comply
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<p data-bbox="116 689 193 723">4.6.2</p> <p data-bbox="245 689 655 913">Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per Ha and number of applications shall be available. - Major compliance -</p>	<p data-bbox="678 689 1294 947">The company has defined pesticide application program in the annual budget, e.g. Program of circle and path spraying. Records of pesticides use were available in Pesticide use 2018 and Pesticide toxicity. Pesticide toxicity provided information regarding active ingredient, LD50, quantity of use, quantity of active ingredient, total area applied, active ingredient use (kg/Ha).</p> <p data-bbox="678 981 1082 1014">Records of pesticides use in 2018:</p> <table border="1" data-bbox="678 1010 1294 1834"> <thead> <tr> <th>Pesticides</th> <th>Active ingredients</th> <th>LD50</th> </tr> </thead> <tbody> <tr> <td>Ally 20 WDG</td> <td>Metil metsulfuron 20%</td> <td>5,000</td> </tr> <tr> <td>Amistartop 325 SC</td> <td>Azoxistrobin 200 g/l</td> <td>2,000</td> </tr> <tr> <td>Bimaron 80 WP</td> <td>Diuron 80%</td> <td>2,900</td> </tr> <tr> <td>Cymbush 50 EC</td> <td>Cypermethrin 50 g/l</td> <td>2,200</td> </tr> <tr> <td>Dacomine 865 SL</td> <td>2,4-Dimetil amina 865 g/l</td> <td>1,000</td> </tr> <tr> <td>Gramoxone 275 SL</td> <td>Paraquat diklorida 276 g/l</td> <td>707</td> </tr> <tr> <td>Manzate 82 WP</td> <td>Mankozeb 82%</td> <td>5,000</td> </tr> <tr> <td>Round Up 486 SL</td> <td>Isoprofil amina glifosat 486 g/l</td> <td>9,041</td> </tr> <tr> <td>Santador 25 EC</td> <td>Lamda Sihalotrin 25 g/l</td> <td>235</td> </tr> <tr> <td>Starane 290 EC</td> <td>Fluroksipir 295 g/l</td> <td>1,581</td> </tr> <tr> <td>Starthene 75 WG</td> <td>Asefat 75%</td> <td>1,366</td> </tr> <tr> <td>Ratgone 0.005 B</td> <td>Brodifakum 0.005%</td> <td>5,000</td> </tr> <tr> <td>Sanvin 85 WP</td> <td>Karbaril 85%</td> <td>4,000</td> </tr> <tr> <td>Cypertop 200 W</td> <td>Cypermethrin 200 g/l</td> <td>2,000</td> </tr> <tr> <td>Becano</td> <td>Indazilam 500 g/l</td> <td>2,000</td> </tr> </tbody> </table> <table border="1" data-bbox="678 1865 1294 1993"> <thead> <tr> <th>Pesticides</th> <th>Volume used</th> <th>Area treated (Ha)</th> <th>a.i. used (kg/Ha)</th> </tr> </thead> <tbody> <tr> <td>Ally 20 WDG</td> <td>137 kg</td> <td>4,138</td> <td>0.0066</td> </tr> </tbody> </table>	Pesticides	Active ingredients	LD50	Ally 20 WDG	Metil metsulfuron 20%	5,000	Amistartop 325 SC	Azoxistrobin 200 g/l	2,000	Bimaron 80 WP	Diuron 80%	2,900	Cymbush 50 EC	Cypermethrin 50 g/l	2,200	Dacomine 865 SL	2,4-Dimetil amina 865 g/l	1,000	Gramoxone 275 SL	Paraquat diklorida 276 g/l	707	Manzate 82 WP	Mankozeb 82%	5,000	Round Up 486 SL	Isoprofil amina glifosat 486 g/l	9,041	Santador 25 EC	Lamda Sihalotrin 25 g/l	235	Starane 290 EC	Fluroksipir 295 g/l	1,581	Starthene 75 WG	Asefat 75%	1,366	Ratgone 0.005 B	Brodifakum 0.005%	5,000	Sanvin 85 WP	Karbaril 85%	4,000	Cypertop 200 W	Cypermethrin 200 g/l	2,000	Becano	Indazilam 500 g/l	2,000	Pesticides	Volume used	Area treated (Ha)	a.i. used (kg/Ha)	Ally 20 WDG	137 kg	4,138	0.0066	
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<p>4.6.3</p> <p>Any use of pesticides shall be minimized as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations identified in Indonesia Best Practice guidelines.</p> <p>- Major compliance -</p>	<p>The company has documented Integrated Pest Management (IPM) plan including type of pest and diseases, setting out of technique to be implemented (detection, census and treatment), control (manual, biological or chemical), locations to be applied, and time frame for implementation. Programme for IPM is established annually. IPM programme includes pest and diseases detection, census and controlling, use of pesticide and herbicide. IPM plan included:</p> <ul style="list-style-type: none"> • Identification of potential pests and thresholds • The techniques used (cultural, biological, mechanical and physical methods) • The native species used as part of the biological control method • Reducing the use of chemicals over a period of time • No prophylactic use of pesticides • Minimization of pesticide use • Review on the plans to suit the present condition such as replanting. <p>The use of pesticides has been minimised as part of a plan, and in accordance with Integrated Pest Management (IPM), there are no prophylactic use of pesticides. The use of pesticides are according to the targeted species, e.g.:</p> <table border="1"> <thead> <tr> <th>Pesticides</th> <th>Target</th> <th>Dosage</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Pesticides	Target	Dosage																																																						
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		Ally 20 WDG	Woody weed, <i>Mucuna bracteata</i> , <i>Stenochlaena palustris</i> , <i>Dicranoptera linearis</i> .	12.5 g/Ha	
		Amistartop 325 SC	Nursery: <i>Curvularia javanica</i> , <i>Pestaloptiosis palmarum</i>	0.84-1.40 L/Ha	
		Bimaron 80 WP	narrow and wide leafy weed seeds	90 g/Ha	
		Cymbush 50 EC	<i>Oryctes rhinoceros</i> , nettle caterpillar (<i>Setothosea asigna</i> , <i>Setora nitens</i> , <i>Birthosea bisura</i> , <i>Darna trima</i>), caterpillars (<i>Calliteara horsfieldii</i> , <i>Dacychira inclusii</i>).	0.07-1.40 L/Ha	
		Dacomine 865 SL	Wide leaf weeds: <i>Ageratum conyzoides</i> , <i>Borreria alata</i> .	0.1-0.25 L/Ha	
		Gramoxone 275 SL	<i>Stenochlaena palustris</i> , <i>Dicranoptera linearis</i> .	0.3-1.5 L/Ha	
		Manzate 82 WP	<i>Colletotrichum gloeosporioides</i> .	2 kg/Ha	
		Round Up 486 SL	<i>Imperata cylindrica</i> , <i>Ageratum conyzoides</i> .	0.5 L/Ha	
		Santador 25 EC	<i>Oryctes rhinoceros</i> , nettle caterpillar (<i>Setothosea asigna</i> , <i>Setora nitens</i> , <i>Birthosea bisura</i> , <i>Darna trima</i>), caterpillars (<i>Calliteara horsfieldii</i> , <i>Dacychira inclusa</i>).	0.045-0.7 L/Ha	
		Starane 290 EC	Wide leaf weeds, bush, <i>Mucuna bracteata</i> .	0.05 L/Ha	
		Starthene 75 WG	Bagworm (<i>Mahasena corbetti</i> , <i>Metisa plana</i> , <i>Crematopsyche pendula</i>), nettle caterpillar (<i>Setothosea asigna</i> , <i>Setora nitens</i> , <i>Birthosea bisura</i> , <i>Darna trima</i>),	2.145 kg/Ha	

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<p>4.6.4</p> <p>The evidence shall be available to demonstrate that use of Pesticides, categorized in Class 1A or 1B by World Health Organization, or those are listed in the Stockholm and Rotterdam Conventions, and paraquat are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimized and eliminated as part of a plan, and shall only be used in exceptional circumstances. - Minor compliance -</p>	<p>The company has a list of pesticides that are included in WHO Class 1A (extremely hazardous) 28 types, class 1B (highly hazardous) 56 types and Stockholm Rotterdam convention pesticide. The company has established Ethic Policy regarding safe use of chemicals, efficient and effective. Work Instruction of Pesticide Spraying (SOC-KB/IK/02) described use of selective pesticides that are specific to target pests, weeds, or diseases. Procedure described on safe use of pesticides and selection including minimise the use of paraquat.</p> <p>The record of realisation of paraquat used:</p> <table border="1"> <thead> <tr> <th>Year</th> <th>Budget (litre)</th> <th>Realisation (litre)</th> </tr> </thead> <tbody> <tr> <td>2015</td> <td>2,653.00</td> <td>1,539.70</td> </tr> <tr> <td>2016</td> <td>2,550.00</td> <td>1,537.40</td> </tr> <tr> <td>2017</td> <td>1,310.35</td> <td>1,290.35</td> </tr> <tr> <td>2018</td> <td>1,271.00</td> <td>1,264.30</td> </tr> </tbody> </table> <p>Ther record of realisation of brodifakum used:</p> <table border="1"> <thead> <tr> <th>Year</th> <th>Budget (litre)</th> <th>Realisation (kg)</th> </tr> </thead> <tbody> <tr> <td>2016</td> <td>1,850</td> <td>1,715.50</td> </tr> <tr> <td>2017</td> <td>1,800</td> <td>1,595.00</td> </tr> <tr> <td>2018</td> <td>1,700</td> <td>843.70</td> </tr> </tbody> </table>	Year	Budget (litre)	Realisation (litre)	2015	2,653.00	1,539.70	2016	2,550.00	1,537.40	2017	1,310.35	1,290.35	2018	1,271.00	1,264.30	Year	Budget (litre)	Realisation (kg)	2016	1,850	1,715.50	2017	1,800	1,595.00	2018	1,700	843.70	<p>Yes - comply</p>
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<p>4.6.5</p> <p>Evidence of pesticide application by trained person and in accordance with application guidelines in product label and storage guidelines shall be available. Appropriate safety equipment shall be provided and utilized. All precautions attached to the products shall be properly observed, applied, and</p>	<p>PT Socfin Indonesia – Negeri Lama POM has defined procedure SOP/PSM/4.10 – Chemical handling on safe use of chemical. Procedure described chemicals identification, MSDS availability, chemical handling (label and hazard symbol, storage based on hazard nature, use of PPE), expire chemical handling.</p>	<p>Yes - comply</p>																											

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understood by workers (see Criterion 4.7). - Major compliance -		
4.6.6	<p>Storage of pesticides shall be according to recognised best practices. All pesticides containers shall be properly managed according to the existing regulations and or instructions enclosed on the containers (see criterion 5.3). - Major compliance -</p> <p>Based on observation visit in storage of pesticide in Negeri Lama POM (date 14th February 2019) the pesticides were stored in the determined area separated from fertiliser and other chemicals.</p> <p>Observation verified:</p> <ul style="list-style-type: none"> - Pesticides storage was locked areas with limited access. The storage was ventilated. - MSDS and hazard symbol label were provided nearby of pesticides. - Emergency shower and eye washer were also provided to anticipate in case of an emergency of pesticides handling. The potential spill was managed. - Secondary containment was provided around the pesticides storage area. Spill kit was also provided in the area. - PPE for handling of pesticides were provided including boots, apron, safety glass, respiratory mask and hand gloves. PPE used was appropriate according to recommendations in any risk assessments. PPE provided and used can be easily replaced if damaged. Chemical storage conditions, potential spill, consistency of PPE use was monitored through monthly EHS patrol. 	Yes - comply
4.6.7	<p>Application of pesticides shall be by proven methods that minimize risk and negative impacts. - Minor compliance -</p> <p>Based on field visit to spraying team using sign board indicating spraying/herbicide application is in progress for a block. Spraying supervisor was pre-mixing the herbicide in the chemical warehouse, transport the mixed chemical via truck, using cone and spill tray on the field to minimize spillage. The type and dosage of herbicide are carefully measured and prepared for targeted weed control; circle and path spray or selective weeding (wooden, bracken, or VOP).</p> <p>Sprayers and spraying supervisor are trained with limited pesticide training, best management practice for weed control, spraying techniques, using PPE and received regular medical checkup. Clean water and soap on the field are provided for sprayer.</p> <p>Supervisor equipped with first aid kit.</p>	Yes - comply
4.6.8	Pesticides may only be applied aerially where there is a documented justification.	No pesticides applied aerially. Yes - comply

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	Surrounding communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application. - Major compliance -	
4.6.9	Evidence of training on handling pesticide for workers and scheme smallholder (if any) shall be available. - Minor compliance -	Yes - comply
4.6.10	Proof that pesticide waste has been handled as per legal regulations and understood by worker and manager, shall be demonstrated. - Minor compliance -	Yes - comply
4.6.11	Annual medical records of pesticide operators, and follow-up treatment of medical results, shall be available. - Major compliance -	Yes - comply

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	<ul style="list-style-type: none"> - List of spraying operator in Negeri Lama Estate (in Division I, II and III) updated on February 2019 - Special medical check-up was conducted by Klinik Anugerah Ibu in Medan (every six-months) on 10th August 2018 and 5th November 2018. The MCU was conducted together with operator in Mill, manuring applicator, operator of trunk injection, fogging operator, chemical store keeper. <p>The applicator of gramoxone/paraquat has been using the PPE (Mask). Data seen: OHS Checklist on monitoring of using of PPE (mask) for pesticides applicator – location in division I, month: January 2019. Result shown OK.</p>	
<p>4.6.12 Records shall be available to show that spraying is not conducted by pregnant or breast-feeding women. - Major compliance -</p>	<p>Data verified:</p> <ul style="list-style-type: none"> - List of spraying operator in Negeri Lama Estate (in Division I, II and III) updated on February 2019 - Monitoring record that spraying is not conducted by pregnant or breast-feeding women was carried out every month, e.g: in January and February 2019 was negative reported both of pregnant or breast-feeding indication. - Based on field visit and interview with spraying team in block 20 in division II, there was verified that pregnant and breast-feeding women are not allowed to handle pesticides. 	<p>Yes - comply</p>
<p>Criterion 4.7: An occupational health and safety plan is documented, effectively communicated and implemented. The health and safety plan shall cover the following:</p>		
<p>4.7.1 A health and safety policy shall be in place. A health and safety plan shall be documented and implemented, and its effectiveness monitored. - Major compliance -</p>	<p>PT Socfin Indonesia – Negeri Lama POM has established the written policy was signed by organization Principal Director Harold O. Williams and General Manager H. Andi Suwignyo on 1 February 2014.</p> <p>The policy was displayed at strategic location at estate and mill and communicated to employees including contractor workers and available in appropriate language.</p> <p>OHS procedure has established, such as:</p> <ul style="list-style-type: none"> - Emergency Response Procedure (SOC/PSM/4.08 Rev.05) - Handling of Hazardous Material Procedure (SOC/PSM/4.10 Rev.02) - Safety Patrol Procedure (SOC/PSM/4.12 Rev.03) 	<p>Yes - comply</p>

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	<ul style="list-style-type: none"> - OHS for Contractor Procedure (SOC/PSM/4.16 Rev.03) - Lock Out Tag Out Procedure (SOC/PSM/4.18 Rev.0) - Control Of Significant Aspect of Safety and Environment (SOC/PSM/4.13 Rev.02) <p>Data seen:</p> <ul style="list-style-type: none"> - Record of communication OHS Policy to relevant stakeholders dated 10th December 2018, was attended by 15 participants - Record of communication OHS Policy dated 8th December 2018, was attended by 29 workers in Negeri Lama POM - Record of communication OHS Policy dated 16th November 2018, was attended by 13 workers in Office Pengurus. <p>OHS Objective, Target and Plan year 2018 was demonstrated consist of:</p> <ul style="list-style-type: none"> - Safety trainings, - Safety patrol, - Work environment monitoring, - Medical check up, - Handling of incidents, - Emergency preparedness simulation, - Safety report, - Safety committee meeting etc. <p>Implementation of OHS OTP has explained in indicator 4.7.3.</p>	
<p>4.7.2</p>	<p>A documented risk assessment shall be available and its implementation shall be recorded.</p> <p>- Major compliance -</p> <p>PT Socfin Indonesia – Negeri Lama POM has established the procedure of risk assessment under Risk Assessment procedure No: SOC/PSM/4.13 Rev.02.</p> <p>Risk assessment was considered the stages of OHS risk control hierarchy such as elimination, substitution, engineering, administrative and PPE (Personnel Protective Equipment) in order to OHS risk precautions.</p> <p>Data seen:</p> <ul style="list-style-type: none"> - Risk assessment has defined under document “Daftar dan Pengendalian Aspek Lingkungan, Keselamatan dan Kesehatan Kerja dan ”, last review on 7th January 2019. - Estate - risk assessment cover all the organization’s processes and activities such as: spraying, fertilizing, weeding, road maintenance, replanting, harvesting, 	<p>Yes - comply</p>

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Criterion / Indicator	Assessment Findings	Compliance
	<p>transportation, warehouse, workshop, infrastructure, polyclinic, office, housing,</p> <ul style="list-style-type: none"> - POM - risk assessment covers all processes and activities such as: weighing bridge, boiler, engine room, loading ramp, sterilizer, threshing, pressing, kernel operation, clarification, office, lab, dispatch CPO, water treatment, chemical warehouse. <p>The risk assessment has also covered the routine and non-routine activities such as replanting activities.</p>	
<p>4.7.3</p> <p>Records of Occupational Health and Safety (OHS) program (see 4.8) and Personal Protective Equipment (PPE) training in accordance with the result of hazard identification and risk analysis shall be available to all workers.</p> <p>- Major compliance -</p>	<p>All workers involved in the operation was appropriately trained in safe working practices. The trainings were conducted by Safety Officer who has been qualified as Safety Officer by the government.</p> <p>Data verified:</p> <ul style="list-style-type: none"> - Medical check-up both of general MCU and special MCU was conducted by Anugerah Laboratory in Medan. Last general MCU was conducted on 23-24 July 2018 for all workers (annually) and the special medical check-up for sprayer team (cholinesterase and spiromethri test) and operator in high risk area in POM (audiometri test) was conducted on 8th November 2018. - The result of MCU has communicated to related workers e.g: on 27th November 2018 and 5th Dececmber 2018. Record of attendance list available as evidents. - Training of Socialization of RSPO – ISPO dated 7th February 2018 was attended by 27 workers. - Briefing LK3 in Mill, dated 10 December 2018 was attended by 18 workers. - The noise level was regularly monitoring, data verified: Report of Analysis (NoL SOC-LAB/Form01-13-01, datd 9th January 2019 for Noise Level at the Mill - Based on Report of Analysis (NoL SOC-LAB/Form01-13-01, datd 9th January 2019 for Noise Level at the Mill shown the result of noised level in Boiler Station is 85.6 dB and in Sterilization unit is 79.5 dB - Based on record of Training Program year 2019 the training related OHS for operator/technician in Boiler Station (planned in February 2019) and Training for operator in engine room (planned in November 2019). 	<p>Yes - comply</p>
<p>4.7.4</p> <p>The responsible person(s) for occupational health and safety shall be identified and there shall</p>	<p>Data verified:</p> <ul style="list-style-type: none"> - OHS committee has registered in Manpower Agency in North Sumatera under letter "Surat 	<p>Yes - comply</p>

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Criterion / Indicator	Assessment Findings	Compliance
<p>be records of periodical meetings on health and safety issues. - Major compliance -</p>	<p>Keputusan Kepala UPT Pengawasan Ketenagakerjaan Wilayah IV Dinas Tenagakerja Propinsi Sumatera Utara Nomor KEP. 394-7/P2K3/WIL-IV/DTK/SU/2018 tentang Pengesahan Panitia Pembina Keselamatan dan Kesehatan Kerja (P2K3) di Perusahaan”, dated 4th December 2018.</p> <ul style="list-style-type: none"> - OHS expert officecr namely Mr Endro Kuswanto license No: Reg.2061/P2K3/AJ/12/2016/P1 issued by Ministry of Manpower Republic of Indonesia, dated 16th March 2016. - OHS committee meeting was conducted in monthly. Last meeting on 28th January 2019 was attended by 13 participants. Agenda: PPE, review of last meeting result, review of incident report, preparing on RSPO audit. - Report of OHS performance conducted regularey in three months base. Last report was submitted to Manpower Agency in Labuhanbatu regency for period October – December 2018, reported on 23th January 2019. 	
<p>4.7.5 A procedure for emergency and work accident shall be available in Indonesian Language; and the workers, who have attended First Aids training, are available in the working areas. - Minor compliance -</p>	<p>PT Socfin Indonesia – Negeri Lama POM has prepared the procedure for emergency and work accident written in Bahasa Indonesia, such as:</p> <ul style="list-style-type: none"> - Procedure for emergency No: SOC/PSM/4.08. The procedure described the roles and responsibilities of each emergency response team include the mechanism how to conduct medical evacuation to near hospital/local health centre, also it was available the emergency contact number of each internal emergency team and external related parties such as public fire station at Rantau Prapat and nearest health facility Rantau Prapat Hospital. Evacuation route and muster point are available and made known to the employee. - Incident investigation procedure were documented in procedure SOC/PSM/4.14. Accident and investigation reports described the accident chronology, cause and impacts of the accident and also to find the root causes of the accident happened and formulize the corrective and preventive action. - Emergency Response Team has been defined and the emergency flow charts have been established for any kind of emergency situation such as earthquake, fire, flood. <p>Data seen:</p> <ul style="list-style-type: none"> - Simulation of emergency response conducted on 6th December 2018 related fire fighting. The 	<p>Yes - comply</p>

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Criterion / Indicator	Assessment Findings	Compliance
	<p>evacuation routes and emergency flowcharts have been socialized during simulation.</p> <ul style="list-style-type: none"> - Emergency signs and boards were provided in several areas and essembly points available in each area such as workshop, warehouse, office. - License for first aider namely Mr Mula Marojan license number: 122-7/PTK/SU/XI/2018 valid until 21th November 2021. - The First aid kits carried by foreman were available at worksites such as at harvesting area. The first aid kits were checked in accordance with local regulation that is Permenaker 15/2008. - During audit the first aid kit at fertilization and harvesting activity at Block 18 and 13 (Division I) on spraying and harvesting activities was comply with the regulation. <p>Based on field visit in Negeri Lama POM extinguisher facilities in Sterilizer Station (type: DC Optimax 6Kg) and in enginee room (type) RGP Red Guard 6 Kg), all od the condition in shown good. There were 55 fire extinguisher was conducted regullary inspection by foremens. The emergency facilities has shown OK (ready to use).</p>	
<p>4.7.6</p> <p>All workers shall be provided with medical care, and covered by accident insurance (see criterion 6.5.3). - Minor compliance –</p>	<p>All workers (permanent and contract) were covered by accident and medical care insurance including contract workers. Evidence was sighted and documented in BPJS Ketenagakerjaan (accident insurance) and BPJS Kesehatan (medical care) payment description and bank slip payment.</p> <p>Data verified: bank slip payment was verified,</p>	<p>Yes - comply</p>
<p>4.7.7</p> <p>Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics. - Minor compliance</p>	<p>PT Socfin Indonesia – Negeri Lama POM has shown the report of Lost Time Accidents metrics were using to record the accidents and injuries during year 2018.</p> <p>The Lost Time accidents and injuries were determined according to Decree of the Minister of Manpower and Transmigration No. 609 year 2012.</p> <p>In 2018 accident records for mill and estate were shown below:</p> <ul style="list-style-type: none"> - Number of Accident = 5 cases - Lost Time Accident = 240 hours - Frequency Rate = 6.39 Severity Rate = 306.99 	<p>Yes - comply</p>
<p>Criterion 4.8: All staff, workers, smallholders and contract workers are appropriately trained.</p>		

Criterion / Indicator		Assessment Findings	Compliance
4.8.1	Records of training program related to the aspects of RSPO Principles and Criteria shall be available. - Major compliance -	PT Socfin Indonesia – Negeri Lama POM has shown the document of training Program year 2018 related to the aspects of RSPO Principles and Criteria under document No: SOC/Form/6.02-06, dated 9 January 2019.	Yes - comply
4.8.2	Records of training for each employee shall be maintained. - Minor compliance –	Record of training for each employee has demonstrated under “Catatan Khusus Pelatihan Yang Pernah Diikuti”. Data seen: Namely Mr N***i(spraying operator training record: – May 2017 – training on handling of limited pesticide – June 2018 – training for first aider – June 2018 - training on fertilizer application – June 2018 – training of intergrated pest management Namely Mr H*** (foreman for spraying), training record: – June 2018 – training for first aider – June 2018 - training on fertilizer application – June 2018 – training of intergrated pest management	Yes - comply
Principle 5: Environmental responsibility and conservation of natural resources and biodiversity			
Criterion 5.1: Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.			
5.1.1	Environmental impact assessment document(s) shall be available. - Major compliance -	Environment document and its permit was shown as below: 1. Document of ANDAL/PEL for Negeri Lama Mill and Estate No. RC220/476/B/III/1994 dated 17 March 1994. Initial Environmental Impact Assessment documents (ANDAL/PEL, RKL and RPL) which were approved by Department of Agriculture, Republic of Indonesia on March 17, 1994 for Negeri Lama Mill and Estate were available. 2. Revised of UKL UPL PT Socfindo NegeriLama Mill and Estate dated 18 August 2010. In 2010, UKL UPL of PT Socfindo Negeri Lama Mill and Estate has been revised due to request from regional government. In actual condition, there is no change in mill capacity or in hectarage area. 3. The information of environmental aspect and impact was provided document procedure No. SOC/PSM/4.04. Document of environmental impact assessment included:	Yes - comply

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Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> - Building new roads, processing mills or other infrastructure; - Putting in drainage or irrigation systems; - Replanting and/or expansion of planting areas; - Management of mill effluents; - Clearing of remaining natural vegetation; Management of pests and diseases palms by controlled burning;	
5.1.2	Environment management plan document to prevent negative impacts, its implementation report and revision (if the identification of impact requires changes in current company's practices) shall be available. The company's management shall appoint the responsible person(s) for the implementation of the document. - Minor compliance -	Yes - comply
5.1.3	Environment monitoring plan document, its implementation report, and the corrective plan (if non-conformance arised from the monitoring result) shall be available. This plan is reviewed on two-yearly basis. - Minor compliance -	Minor NC

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Criterion / Indicator	Assessment Findings	Compliance
	<p>monitoring was reviewed on the report through the evaluation of compliance, evaluation of trends and evaluation of the effectiveness of management and environmental monitoring.</p> <p>Minor Nonconformity statement: PT Socfin Indonesia – Negeri Lama POM has shown the document of environment monitoring under “Laporan Hasil Pemantauan dan Pengukuran Lingkungan Juli – Desember 2018”, however monitoring ground water (Air tanah – sumur penduduk), solid waste, noise measurement (location at boiler station, engine room & polishing drum) and record local community perception have not provided at the document according to RPL document (revision – August 2010)</p> <p>Correction: Will be verification at next surveillance</p>	
<p>Criterion 5.2: The status of rare, threatened or endangered species and other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and operations managed to best ensure that they are maintained and/or enhanced.</p>		
<p>5.2.1</p>	<p>Record(s) on the results of High Conservation Value (HCV assessment) that includes both the planted area and the relevant wider landscape-level considerations (such as wildlife corridors) shall be available. - Major compliance -</p> <p>The company has conducted HCV Assessment back in July-August 2011 by Team Faculty of Forestry, IPB University, using HCV Toolkit Indonesia 2008. The team led by Ir. Nyoto Santoso, MS, a registered HCV RSPO approved assessor (Expiry date 31 December 2014) and since 23 December 2014 registered as HCV Assessor in HCVRN Assessors License Scheme. The team consist of six members as following: 1. Ir Heru B Pulonggono, Msc 2. Ir. Djoko Arie Sulistianto 3. Ahmad Faisal Siregar, S.Hut 4. Sutopo, S.Hut 5. Sayidina Ali, Amd 6. Udi Kusdinar, S.Hut</p> <p>Based on the assessment report, there are three (3) types of HCV have been identified such as HCV 1.2 (Endangered Species), HCV 4.1 (riparian area) and HCV 6 (cemetery) cover total area of 26.64 Ha (1,22 % of total HGU area of Negeri Lama Estate).</p> <p>The HCV assessment resulting six (6) protected wildlife species (based on PP No. 7/1999) such as: 1. Pijantung kecil - Little spiderhunter (<i>Arachnothera longirostra</i>); 2. Burung madu kelapa - Brown-throated sunbird (<i>Anthreptes malacensis</i>); 3. Kipasan belang (<i>Rhipidura javanica</i>);</p>	<p>Yes - comply</p>

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Criterion / Indicator	Assessment Findings	Compliance
	<p>4. Cekakak belukar - White-throated kingfisher (<i>Halcyon smyrnensis</i>);</p> <p>5. Cangak merah (<i>Ardea purpurea</i>);</p> <p>6. Elang tikus (<i>Elanus caeruleus</i>).</p> <p>HCV assessments results has been compared to Endemic Bird Area (EBA) and Important Bird Area (IBA) data.</p> <p>The HCV Assessment also identified two (2) wildlife species which are listed as Appendix II (based on Appendix CITES) such as:</p> <ol style="list-style-type: none"> 1. Monyet ekor panjang (<i>Macaca fascicularis</i>); 2. Biawak (<i>Varanus salvator</i>). <p>The protected areas are present in Negeri Lama Estate and it is a riparian area such as Sungai Landia, Sungai Bilah, Sungai Blok 19, 20, 25; Sungai Keramat and Sungai Lengkok.</p> <p>HCV public consultation was held on 23 December 2011 in Gedung Serba Guna Divisi 1, attended by 40 peoples such as Kabid Perkebunan Kabupaten Labuhanbatu, Kepala Dinas Kehutanan dan Perkebunan Kabupaten Labuhanbatu, Local authorities, local communities and company representative.</p> <p>Methodology of assessment using HCV toolkit 2008, implementation of the assessment consists of: Secondary data collection, field survey, mapping and landscape, Assessment of fauna aspect with a rapid assessment (direct observation, interviews with the parties), assessment of flora aspects (direct survey and interview), assessment of socio-economic and cultural aspects (interviews and direct observation at selected sites), analysis and mapping.</p> <p>HCV area has been mapped into "Peta Kawasan Bernilai Konservasi Tinggi Kebun Negeri Lama" scale 1 : 27.857</p>	
<p>5.2.2</p>	<p>Where rare, threatened or endangered (RTE) species and or other HCVs are present or affected by the plantation and mill operations, an appropriate measures that are expected to maintain or enhance them shall be implemented through a management plan.</p> <p>- Major compliance -</p> <p>The company has established procedure for HCV Management and Monitoring (SOC/PSM/9.06, Rev 3) dated 1 February 2016. The revision on 1 February 2016 was add point 5.4 regarding Evaluation of HCV Monitoring. Other than that, the company has established procedure for River Riparian Conservation Areas Management (SOC/PSM/9.07, Rev 4) dated 1 April 2015.</p> <p>Based on the HCV assessment report in 2011, there are three (3) types of HCV been identified such as</p>	<p>Yes - comply</p>

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Criterion / Indicator	Assessment Findings	Compliance																
	<p>HCV 1.2 (Endangered Species), HCV 4.1 (riparian area) and HCV 6 (cemetery) cover total area of 26.64 Ha (1,22 % from total HGU area of Negeri Lama Estate). HCV Area Management and Monitoring documented in "Rencana Pengelolaan dan Pemantauan KBKT di Kebun Negeri Lama PT Socfin Indonesia, Propinsi Sumatera Utara, 2011". HCV Management and Monitoring Plan are reviewed annually, e.g. in 2018 HCV program that have been realized are:</p> <ol style="list-style-type: none"> 1. HCV area boundaries 2. Manual upkeep activities 3. Organic fertilizers 4. Warning sign maintenance 5. Riparian buffer zone monitoring (monthly) 6. Protected wildlife monitoring (monthly) 7. Socialization to workers 8. Illegal poaching monitoring (monthly) 9. Warning sign monitoring (monthly) <p>Dissemination to workers and surrounding communities about HCV Management and Monitoring has been performed. Last dissemination to workers and surrounding communities was held on 8 December 2018, attended by 17 participants. Evidence seen are invitation letter, attendance register and minute of dissemination.</p> <p>Appropriate measures regarding rare, threatened or endangered (RTE) species and or other HCVs present or affected by the plantation and mill operations are included in the HCV Management and Monitoring Plan. Monitoring activities was well performed as seen in HCV monitoring record, as follows: Date of monitoring: 2 October 2018 Officer name: Sutardi</p> <table border="1" data-bbox="676 1579 1273 2000"> <thead> <tr> <th>Species</th> <th>Existence</th> <th>Amount</th> <th>Block</th> </tr> </thead> <tbody> <tr> <td>Pijantung kecil - Little spiderhunter (<i>Arachnothera longirostra</i>)</td> <td>√</td> <td>3</td> <td>12</td> </tr> <tr> <td>Burung madu kelapa - Brown-throated sunbird (<i>Anthreptes malacensis</i>)</td> <td>√</td> <td>2</td> <td>11</td> </tr> <tr> <td>Kipasan belang (<i>Rhipidura javanica</i>)</td> <td>√</td> <td>3</td> <td>14</td> </tr> </tbody> </table>	Species	Existence	Amount	Block	Pijantung kecil - Little spiderhunter (<i>Arachnothera longirostra</i>)	√	3	12	Burung madu kelapa - Brown-throated sunbird (<i>Anthreptes malacensis</i>)	√	2	11	Kipasan belang (<i>Rhipidura javanica</i>)	√	3	14	
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Criterion / Indicator	Assessment Findings				Compliance
	Cekakak belukar - White-throated kingfisher (<i>Halcyon smyrnensis</i>) Cangak merah (<i>Ardea purpurea</i>) Elang tikus (<i>Elanus caeruleus</i>). Biawak (<i>Varanus salvator</i>) Monyet ekor panjang (<i>Macaca fascicularis</i>)	✓ ✓ ✓ ✓ ✓	4 4 2 13 8	8 5 1 14 19	
	Date of monitoring: 6 November 2018 Officer name: Sutardi				
	Pijantung kecil - Little spiderhunter (<i>Arachnothera longirostra</i>) Burung madu kelapa - Brown-throated sunbird (<i>Anthreptes malacensis</i>) Kipasan belang (<i>Rhipidura javanica</i>) Cekakak belukar - White-throated kingfisher (<i>Halcyon smyrnensis</i>) Cangak merah (<i>Ardea purpurea</i>) Elang tikus (<i>Elanus caeruleus</i>). Biawak (<i>Varanus salvator</i>) Monyet ekor panjang (<i>Macaca fascicularis</i>)	✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓	Existence Amount 2 2 3 3 5 3 8 6	Block 12 11 14 8 5 14 10 19	
	Date of monitoring: 4 December 2018 Officer name: Sutardi				
	Pijantung kecil - Little spiderhunter	✓	2	12	

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<p>5.2.3</p>	<p>Program(s) to socialize the status of protected, rare, threatened or endangered (RTE) to all workers shall be available, including records of appropriate sanction disciplinary measures to any individual working for the company who is found to capture, harm, collect or kill these species.</p> <p>- Minor compliance –</p> <p>Policies and regulations related to the protection of protected species and RTE species specified in the Procedures Management and Monitoring of HCV (SOC/PSM/9.06) dated 1 June 2014. There are two (2) HCV Officer in PT Socfin Indonesia - Negeri Lama Estate based on Memo form the Manager, Mr. Bambang S. Hidayat, No. NL/Div/022/14 dated 17 March 2014 on behalf of Mr. Sutardi and HCV Officer Assignment Letter No. NL/Div/024.A/16 dated 1 April 2016 on behalf of Mr. Risjon S. Pane.</p> <p>Job descriptions for HCV operators are :</p> <ol style="list-style-type: none"> 1. HCV monitoring periodically according to procedure. 2. Report to Division Assistant if there are interference in HCV Area by workers or villagers. 3. Prevent disturbance in HCV are and if necessary give warning to poacher. <p>HCV operators has been trained by Mr. Hasan Bisri (Head of Sustainability Dept) in January 2013 and re-trained annually by Division Assistant. Last training was held on 3 January 2019.</p> <p>Program(s) to socialize the status of protected, rare, threatened or endangered (RTE) to all workers were available. The company has installed warning sign to</p>	<p>Yes - comply</p>																																

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	<p>preserve, maintain, and protect the protected species and do prohibition of hunting. To those who practice hunting will be penalized in accordance with Law No. 5/1990. Warning signs prohibition of hunting are installed at strategic locations in and around of plantation area.</p> <p>Dissemination to workers and surrounding communities about the status of protected, rare, threatened or endangered (RTE) has been performed. Last dissemination to workers and surrounding communities was held on 8 December 2018, attended by 17 participants. Evidence seen are invitation letter, attendance register and minute of dissemination.</p>													
<p>5.2.4 Once the management plan is prepared, continuous monitoring documentation and report regarding the status of the RTE and HCVs are affected by the operations of the plantation and palm oil mill shall be available, and the results of monitoring are to be used to follow-up on the improvement of the management plan. - Minor compliance –</p>	<p>There are two (2) HCV Officer in PT Socfin Indonesia - Negeri Lama Estate based on Memo form the Manager, Mr. Bambang S. Hidayat, No. NL/Div/022/14 dated 17 March 2014 on behalf of Mr. Sutardi and HCV Officer Assignment Letter No. NL/Div/024.A/16 dated 1 April 2016 on behalf of Mr. Risjon S. Pane.</p> <p>Job descriptions for HCV operators are :</p> <ol style="list-style-type: none"> 4. HCV monitoring periodically according to procedure. 5. Report to Division Assistant if there are interference in HCV Area by workers or villagers. 6. Prevent disturbance in HCV are and if necessary give warning to poacher. <p>HCV operators has been trained by Mr. Hasan Bisri (Head of Sustainability Dept) in January 2013 and re-trained annually by Division Assistant. Last training was held on 3 January 2019.</p> <p>Appropriate measures regarding rare, threatened or endangered (RTE) species and or other HCVs present or affected by the plantation and mill operations are included in the HCV Management and Monitoring Plan. Monitoring activities was well performed as seen in HCV monitoring record, as follows: Date of monitoring: 2 October 2018 Officer name: Sutardi</p> <table border="1" data-bbox="678 1776 1273 2029"> <thead> <tr> <th>Species</th> <th>Existence</th> <th>Amount</th> <th>Block</th> </tr> </thead> <tbody> <tr> <td>Pijantung kecil - Little spiderhunter (<i>Arachnothera longirostra</i>)</td> <td>√</td> <td>3</td> <td>12</td> </tr> <tr> <td>Burung madu kelapa - Brown-</td> <td>√</td> <td>2</td> <td>11</td> </tr> </tbody> </table>	Species	Existence	Amount	Block	Pijantung kecil - Little spiderhunter (<i>Arachnothera longirostra</i>)	√	3	12	Burung madu kelapa - Brown-	√	2	11	<p>Yes - comply</p>
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		throated sunbird (<i>Anthreptes malacensis</i>)				
		Kipasan belang (<i>Rhipidura javanica</i>)	√	3	14	
		Cekakak belukar - White-throated kingfisher (<i>Halcyon smyrnensis</i>)	√	4	8	
		Cangak merah (<i>Ardea purpurea</i>)	√	4	5	
		Elang tikus (<i>Elanus caeruleus</i>).	√	2	1	
		Biawak (<i>Varanus salvator</i>)	√	13	14	
		Monyet ekor panjang (<i>Macaca fascicularis</i>)	√	8	19	
		Date of monitoring: 6 November 2018 Officer name: Sutardi				
		Species	Existen ce	Amou nt	Block	
		Pijantung kecil - Little spiderhunter (<i>Arachnothera longirostra</i>)	√	2	12	
		Burung madu kelapa - Brown- throated sunbird (<i>Anthreptes malacensis</i>)	√	2	11	
		Kipasan belang (<i>Rhipidura javanica</i>)	√	3	14	
		Cekakak belukar - White-throated kingfisher (<i>Halcyon smyrnensis</i>)	√	3	8	
		Cangak merah (<i>Ardea purpurea</i>)	√	5	5	
		Elang tikus (<i>Elanus caeruleus</i>).	√	3	14	
		Biawak (<i>Varanus salvator</i>)	√	8	10	
		Monyet ekor panjang (<i>Macaca fascicularis</i>)	√	6	19	
		Date of monitoring: 4 December 2018 Officer name: Sutardi				

Criterion / Indicator		Assessment Findings				Compliance
		Species	Existence	Amount	Block	
		Pijantung kecil - Little spiderhunter (<i>Arachnothera longirostra</i>)	√	2	12	
		Burung madu kelapa - Brown-throated sunbird (<i>Anthreptes malacensis</i>)	√	3	11	
		Kipasan belang (<i>Rhipidura javanica</i>)	√	3	14	
		Cekakak belukar - White-throated kingfisher (<i>Halcyon smyrnensis</i>)	√	5	8	
		Cangak merah (<i>Ardea purpurea</i>)	√	6	5	
		Elang tikus (<i>Elanus caeruleus</i>).	√	3	11	
		Biawak (<i>Varanus salvator</i>)	√	10	14	
		Monyet ekor panjang (<i>Macaca fascicularis</i>)	√	5	19	
		HCV management and monitoring report was indicated that HCV management was effectively implemented.				
5.2.5	Where HCV areas overlapped with an identified local community's land, there shall be evidence of a negotiated agreement that optimally safeguard their HCVs and the local community's rights. - Minor compliance –	Based on HCV map that include in HCV Assessment report, there was HCV 6 identified within HGU concession such as cemetery in Block 50 (0,01 ha), Block 30 (0,01 ha) and Block 07 (0,12 ha) with total area 0,14 Ha. Agreement between company and local communities to maintain HCV 6 was available dated 2 June 2016, as follows: a. Agreement letter for management of cemetery in Block 50 Division 2. b. Agreement letter for management of cemetery in Block 7 Division 1. c. Agreement letter for management of cemetery in Block 30.				Yes - comply
Criterion 5.3: Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.						
5.3.1	A documented identified source of all waste and pollution, shall be available. - Major compliance -	PT Socfin Indonesia – Negeri Lama POM has prepared mechnisme/document of waste and pollution control such as: – Procudure of waste control No: SOC/PSM/4.11 – Form of Identification of enviroment aspect No: SOC/Form/4.04-01				Yes - comply

Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> - Form of Waste register No: SOC/Form/4.11-01 <p>A document of identification source of all waste and pollution has shown under record of waste register was updated in 2018. The control method of waste and pollution was defined in "Pengendalian Aspek Penting Lingkungan, Keselamatan dan Kesehatan Kerja" last review on 1st February 2018.</p> <p>The source of waste and pollution in Negeri Lama Estate devided in domestic waste (organic and in-organic) and hazardous waste form operational activities, such as: used pesticides containers (bottles and jerry cans), used battery from the heavy vehicles, plastics, medical waste (first aid usage), polybag, rags and fertilizer containers and emissions from vehicles.</p> <p>The source of waste and pollution in Negeri Lama POM, such as: POME, palm shell, pibre, deprecaper waste, empty bunch, boiler ash, chemicals jerry can and bottles, gunny sacks from chemicals materials, sacks resulted from fertiliser materials, welding materials from workshop activities, used lubricants from workshop materials, contaminated rags from workshop activities, used lamps, used tires, used batteries, used oil filters and missions from vehicles and other engines (genset, boilers)</p>	
<p>5.3.2</p>	<p>There shall be evidence that all chemicals and their empty containers are disposed of responsibly.</p> <p>- Major compliance -</p> <p>PT Socfin Indonesia – Negeri Lama POM has defined the document that al the chemical and their empty container are disposed of responsibility, as following:</p> <ul style="list-style-type: none"> - Procedure on handling of pesticides and chemical container wastes No: SOC/DP/4.11-05 - Procedure of waste control No: SOC/PSM/4.11 - Form of waste register record No: SOC/Form/4.11-01 - Form Record of hazardous waste (SOC/Form/4.11-03 - Hazrdous waste manifest - Providing the temporary storage of hazardous waste. - Permit of hazardous waste temporary storage for PT Socfindo NegeriLama Mill No.503.660/222/BLH/WAS/2016 dated 21th June 2016 valid for 5 years. Location in Negeri Lama POM. Hazardous wastes temporary storage (TPS LB3) stated that the storage of hazardous waste are: 	<p>Yes - comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> • 90 days since hazardous wastes produced, for waste that produced more or same of 50 kg per days • 180 days since hazardous wastes produced, for waste that produced less than 50 kg per days for hazardous waste category 1 • 365 days since hazardous wastes produced, for waste that produced less than 50 kg per days for hazardous waste category 2 from inspecific sources and general specific sources • 365 days since hazardous wastes produced, for waste that produced from special specific sources • The permit include: used oil, the remnant or expired chemical materials, chemical container, sludge IPAL, the used sample that contains chemical material, used filter, expired pesticides, pesticides container, used knapsack for spray, used battery (wet and dry), used grease, contaminated absorbent material, electrical tools, ink toner cartridge and its package, printer ribbon, printer toner cartridge, expired medicine, medical waste, rug, sawdust, contaminated gloves, paint packaging, used resin and used neon ights. 	
<p>5.3.3</p> <p>A documented waste management plan to avoid or reduce pollution and its implementation shall be available. - Minor compliance –</p>	<p>All empty agrochemical containers were triple rinsed, the jerry can were reused to spraying activities, while bottles containers were stored in the designated area and categorized as hazardous waste (B3). Records of chemical containers quantity disposed were evident. Liquid waste from agrochemical was reused for the next spraying application. While the ex-fertilizer sacks was also rinsed and reuse for fertiliser distribute at estate operations.</p> <p>PIC in temporary storage has been trained on environmental requirement. Data seen: Record of training on handling of hazardous waste dated 6th December 2018, location Negeri Lama Estate was attended by 5 workers.</p>	<p>Yes - comply</p>
<p>Criterion 5.4: Efficiency of fossil fuel use and the use of renewable energy is optimised.</p>		
<p>5.4.1</p> <p>A plan for improving efficiency of the use of fossil fuels and to optimize renewable energy shall be in place and monitored. - Minor compliance –</p>	<p>PT Socfin Indoneisa - Negeri Lama POM has demonstrated the programme to improving efficiency of the use of fossil fuels and to optimize renewable energy..</p> <p>Data seen:</p>	<p>Yes - comply</p>

Criterion / Indicator	Assessment Findings	Compliance	
	1. Fossil fuels efficiency programme 2018 and 2019, as following: <ul style="list-style-type: none"> - Boiler modification by operated water treatment and turbine to reduce the utilisation of electrical generator (genset) - Nozzle calibration and preventive maintenance for genset and vehicles - Turbine powers generate to supply electricity to composting activities in order to reduce genset utilization 2. Renewable energy (fibre and shell) optimization programme year 2018. The target was sets on 80% as minimum energy availability. Monitoring also conducted monthly by calculate the calories resulted from fibre and shell and utilize as boiler fuels whether during the construction or upgrading of all operations.		
Criterion 5.5: Use of fire for preparing land or replanting is avoided, except in specific situations as identified in the ASEAN guidelines or other regional best practice.			
5.5.1	Records of land clearing with zero burning shall be available, referring to the ASEAN Policy on Zero Burning (2003) or other recognised techniques based on the existing regulations. - Major compliance -	Zero burning policy was described in Ethical Policy (SOC/Dp/4.01-64). It described that land preparation of replanting is conducted by cutting and chipping (zero burning). Based on field visit, it was verified that no fire been used for land clearing for replanting in PT Socfindo Negeri Lama Estate.	Yes - comply
5.5.2	Where fire has been used for eradication of pest during replanting, the records of the analysis of the use of fire and permit from the authorised agency shall be available. - Minor compliance -	Zero burning policy was described in Ethical Policy (SOC/Dp/4.01-64). It described that land preparation of replanting is conducted by cutting and chipping (zero burning). Based on field visit, it was verified that no fire been used for land clearing for replanting in PT Socfindo Negeri Lama Estate.	Yes - comply
Criterion 5.6: Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.			
5.6.1	Document(s) assessing pollution and emission sources, including gaseous, particles, soot emissions and effluent, shall be available. (see Criterion 4.4) - Major compliance -	PT Socfin Indonesia – Negeri Lama POM has developed the document of assessing pollution and emission sources, gaseous, particles, soot emissions and effluent under Identification of Environmental Aspect No: SOC/Form/4.04-01. The information of pollution and emission sources at Negeri Lama Mill was reviewed and updated on 7 th January 2019 including boiler emission, methane from POME, diesel electricity generator and vehicles and heavy equipment.	Yes - comply

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	<p>PT Socfin Indonesia Negeri Lama Mill already has conduct GHG emission calculation using Palm GHG V 3.0.1 as RSPO requirement. The reporting was conducted annually to the RSPO on 31 January 2018.</p> <p>Mill report year 2018, total of FFB production is 47,367 tonnes, CPO 10,999 tonnes, PK 2,268 ton.</p>	
<p>5.6.2 Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plan to reduce or minimize them implemented. - Major compliance -</p>	<p>PT Socfin Indonesia- Negeri Lama POM has been identified the significant pollutant and GHG emissions, such as:</p> <ul style="list-style-type: none"> - Usage of an-organic fertilizer, - Pesticide, - Fossil fuel usage, - POME. <p>PT Socfin Indonesia- Negeri Lama POM has also minimized pollutant and GHG through, such as</p> <ul style="list-style-type: none"> - Implementing IPM to reduce pesticides usage, - Using fibers and sell for boiler, 	<p>Yes - comply</p>
<p>5.6.3 A monitoring plan and results of regular reporting on emission and pollutants from estate and mill operations using appropriate methods, shall be available. - Minor compliance -</p>	<p>PT Socfin Indonesia- Negeri Lama POM has shown the documeny of emission monitoring system by using "RSPO PalmGHG" system calculation. Emission from estate and mill operation was calculated and monitored, emission reduction achieved.</p> <p>PT Socfin Indonesia- Negeri Lama POM has also prepared a strategy in effort to reduce and mitigate pollution and emission. Monitoring of pollution and emission quality for plantation has been planned and implemented, e.g:</p> <ul style="list-style-type: none"> - Air quality ambient for boiler and generator, - Water quality test for river (upstream and downstream), - Effluent water quality, - Noise, etc. <p>Monitoring of any pollutant has been done in daily, weekly and monthly basis, report of monitoring was recorded in the "RKL/RPL" report, and this report submitted to the related institution every 6 month</p> <p>Regular monitoring and calculation of polluting and emission from estate and mill available using Palm GHG Calculator Version 3.0.1. Detail of Summary of net GHG emissions from PalmGHG calculator available in appendix.</p>	<p>Yes - comply</p>

Principle 6: Responsible consideration of employees and of individuals and communities affected by growers and millers
Criterion 6.1:

Criterion / Indicator	Assessment Findings	Compliance
<p>Aspects of plantation and mill management that have social impacts, including replanting, are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.</p>		
<p>6.1.1</p> <p>A social impact assessment (SIA) including records of meetings shall be documented. - Major compliance -</p>	<p>Social impact assessment has been conducted by the organisation and documented in SIA report 2012. Assessment was conducted by internal assessor through PRA (Participatory Rural Appraisal) and interview with people who get direct impact of the presence of Negeri Lama plantations.</p> <p>Social impact assessment (SIA) including records of meetings has been documented in Laporan Sosial Assessment PT. Socfindo Perkebunan Negeri Lama, 2012. Scope of assessment covered villages: Ledong Barat Village, Negeri Lama Village, Lobu Jiur Village, Aek Korsik Village, Rawa Sari Village, Alang Bonbon Village, Sengon Sari Village and Negeri Lama Pekan Village.</p> <p>Evidence of participatory action from local communities was also sighted in related SIA documentation including photos. Some aspects were considered during assessment such as:</p> <ul style="list-style-type: none"> - Access and use rights; - Economic livelihoods and working conditions; - Subsistence activities; - Cultural and religious values; - Health and education facilities; - Other community values. <p>Positive impacts on SIA were identified, such as: 1. employment opportunities, 2. New livelihoods, 3. access road, and 4. public facilities availability.</p> <p>Negative impacts on SIA were identified, such as: dust impact in dry season caused by company transportation.</p>	<p>Yes - comply</p>
<p>6.1.2</p> <p>There shall be evidence that the assessment has been conducted with the participation of affected parties. - Major compliance -</p>	<p>Based on interviews with Negeri Lama employee, the SIA carried out with participation of affected parties such as village heads. The evidences were available such as filled-in questioner by the respondent.</p> <p>Assessment is conducted PRA (Participatory Rural Assessment), which is where the assessment is done by the village community participative discussion. Technical carried out by compiling some representatives of the villagers around the area of the garden.</p> <p>Records that can be given such as the presence or absence of Social and HCV Public Consultation conducted on August 18, 2010 and were attended by the local community (Aek Bange, Negeri Lamal, Aek korsik, Aek Ledongm Sengon Sari).</p>	<p>Yes - comply</p>

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	<p>PRA and the results recorded in the 'Record of Social Communication and Consultation'. Suggestions and feedback are recorded in this record, From the records it appears that parties are allowed convey his aspirations through their representative.</p>	
<p>6.1.3</p> <p>Plans for management and monitoring of social impacts to avoid or reduce negative impacts and promote positive ones, based on social impact assessment, through consultation with the affected parties, shall be available, documented and timetabled, including responsibilities for implementation.</p> <p>- Major compliance -</p>	<p>PT. Socfin Negeri Lama has a management plan and monitoring of social impacts as contained in SIA report, has been developed into Social Impact Assessment Procedure No. Document: SOC/PSM/9.03, 1st Edition, Rev. 1, dated 1st January 2013.</p> <p>Social Assessment Monitoring conducted every year as mention in procedure by Tim SIA Head Office PT Socfin Indonesia and Site personnel.</p> <p>The Social Impact Assessment Monitoring Report 2018 period was carried out by observation method for objects that experienced firsthand the social impacts of the existence of plantations as outlined in available forms, eg: Monitoring access of affected communities in Sidomulyo Village and Negeri Lama Village on 17 December 2018. Utilization of facilities is carried out based on preferences in the Negeri Lama Village and Negeri Lama Serang Village on December 18, 2018. The village preference form has been available at the time of the audit.</p>	
<p>6.1.4</p> <p>The documented plan for management and monitoring of social impacts, shall be reviewed at least on two-yearly basis. If necessary, the plan should be updated. There shall be evidence that the review process includes participation of all affected parties.</p> <p>- Minor compliance -</p>	<p>SIA document has been reviewed every year alongside with Social Assessment monitoring, the review has been done with the participation of the affected parties. As reviewed in Social Assessment Monitoring 2019, programs to develop positive impact has been realized such as CSR programs, access road, infrastructure and new livelihoods. The negative impact has been minimized by road maintenance and road sprinkling. The process been recorded / documented.</p> <p>There are no differences in village monography and conditions since the first social assessment in 2012. Process of social review is well documented in Social Impact Assessment Procedure No. Document: SOC/PSM/9.03, 1st Edition, Rev. 1, dated 1st January 2013.</p> <p>The report on the Social Impact Assessment (Review) is an evaluation of the management and monitoring of the previous period SIA (2012-2018 period) which then establishes a development program for positive impacts and the handling of negative impacts. The review process also involved participatory stakeholders and affected surrounding communities, which included Sidomulyo Village, Perkebunan Negeri Lama Village, Crossing the Negeri Lam Village. Participatory mapping of</p>	<p>Yes - comply</p>

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	<p>affected stakeholders and village communities was conducted on 10-14 November 2018 by distributing the Social Impact Assessment Questionnaire as many as 120 copies and the questionnaire results were shown at the time of the audit.</p> <p>The Social Impact Management and Monitoring Program (results of the review) for the 2019 period can be shown, for example:</p> <ul style="list-style-type: none"> - Impact of replanting and planting and maintenance activities - Impact of plantation road construction - Procurement of infrastructure - Impact of plantation operations and factories. - Impact with the existence of empty application Etc. 	
<p>6.1.5</p>	<p>Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme).</p> <p>- Minor compliance –</p>	<p>There was no schemed smallholder in partnership with P.T Socfin Indonesia Negeri Lama. Therefore, indicator 6.1.5 is not applicable</p> <p>Yes - comply</p>
<p>Criterion 6.2: There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.</p>		
<p>6.2.1</p>	<p>Communication and consultation procedures shall be documented.</p> <p>- Major compliance -</p>	<p>Company has been maintaining a list of local communities and other affected or interested parties. List of local communities and other affected or interested parties was well documented and updated once a year. Record of documentation was well maintained by document controller.</p> <p>Procedure for communication and consultation with public was established by organization. Stage of communication and consultation with public was described in Procedure of Social Communication (SOC/PSM/9.01 Rev.03) dated 1st June 2014.</p> <p>FPIC was not applicable in PT Socfin Indonesia Negeri Lama Estate and mill due to the establishment of company since 1930. However FPIC approach was incorporated in the SOP for communication and consultation with the local communities and other affected or interested parties.</p> <p>The existing communication and consultation mechanisms (SOC/PSM/9.01 Rev.03 dated 1 June 2014) has been designed with consideration to the use of appropriate existing local mechanisms and languages. Consideration has been given to the existence/formation of a multi-stakeholder forum.</p> <p>The Procedure has disseminated to the stakeholder together with public consultation of social assessment and socialization of procedures for complaints handling on 23th November 2015.</p> <p>Yes - comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p>Dissemination of social communication procedure has been performed in October 15th 2018 to stakeholder. Minutes of socialization and attendance list was sighted.</p> <p>The existing communication and consultation mechanisms (SOC/PSM/9.01 Rev.03 dated 1st June 2014) take into account differential access to information by women as compared to men, village leaders as compared to day labourers, new versus established community groups, and different ethnic groups.</p> <ul style="list-style-type: none"> - Procedures were available in Indonesian language and easily understood and it was effective. It was verified during public consultation and interview with stakeholder on 14 February 2019. 	
<p>6.2.2</p> <p>The company shall have official(s) who is responsible for consultation and communications with parties.</p> <ul style="list-style-type: none"> - Minor compliance - 	<p>PT Socfin Indonesia Negeri Lama Estate and mill have appointed 'Kepala PSBB' as Public Officer dated 15th November 2010 who responsible for communication and consultation with the affected parties.</p> <p>The job descriptions are :</p> <ol style="list-style-type: none"> a. Establish good communication (two-way communication) with the communities around estate and mill b. Establish good communication with government representatives at the village, district and area. c. Establish communication with other agencies and third party relating directly or indirectly to the enterprise d. Other matters needed to establish a good two-way communication. 	<p>Yes - comply</p>
<p>6.2.3</p> <p>The company shall have a list of stakeholders, records of communications, including confirmation of receipt and that efforts are made to ensure understanding by affected parties, and records of actions taken in response to input from stakeholders.</p> <ul style="list-style-type: none"> - Minor compliance - 	<p>A list of stakeholder was documented and updated once a year. The document was available covers internal stakeholder, government institution around Negeri Lama Estate, labour union, and general contractor/supplier. Last update was performed on 10 January 2018. Record of list stakeholder can be demonstrated and well maintained.</p> <p>Records of all communication including confirmation of receipt or endorsement were well maintained, it documented in logbook of information request and community aspiration.</p> <p>Efforts were made to ensure understanding by affected parties was evident and documented in folder of information request and community aspiration as well as records of actions taken in response to input from stakeholders.</p> <p>Records of actions taken in response to input from</p>	<p>Yes - comply</p>

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Criterion / Indicator	Assessment Findings	Compliance
	stakeholders was evident and verified during audit.	
Criterion 6.3: There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all effected parties.		
6.3.1 The mechanism, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistleblowers, where requested, as long as that information is supported with adequate initial evidence. - Major compliance -	<p>Organization has defined the system to deal with complaints and grievances for all affected parties which documented in Prosedur Penanganan Keluhan Sosial (Procedure of Social Complaint Handling - SOC/PSM/9.02) Rev.02 dated 1st June 2014.</p> <p>Person who responsible to receive complaints and grievances has assigned by organization that was Pengurus Kebun (PK). It's also described in Job description of Pengurus Kebun and appointment letter from the head of General Department.</p> <p>The existence of the system has been communicated and made known to all parties. It has been disseminated to all parties together with public consultation of social assessment and socialization of procedures for complaints handling on 7 March 2017. Dissemination of social communication procedure also has been performed in 7 March 2017 to stakeholder.</p> <p>Socialization and procedures training have been performed to all levels of employees, office workers was conducted in January 2018, estate workers conducted in February 2018.</p> <p>The system was effective to ensure that complaints or grievances are addressed or resolved in an effective, timely and appropriate manner. Evidence that the procedures have been implemented is the logbook of complaint. Records are routinely monitored monthly. Since period 2018 until February 2019 there were no complaints submitted by the public community and employees.</p> <p>Mechanism and procedure was provided a way for workers to report a grievance against a supervisor to someone other than the supervisor.</p> <p>The system was enable resolution of disputes in an effective and appropriate manner by way of classifying complaints into internal and external, appointed the person who responsible for handling complaints, including level of officials who make decisions for complaint resolution.</p> <p>Non-retaliation or non-reprisal policy that protects complainants or whistle-blowers was described in ethical policy PT Socfin Indonesia. Privacy of parties who submitted the compliant and aspiration were protected if necessary.</p> <p>Where a resolution is not found mutually by means of deliberations between two parties, the problem can be resolved through third-party mediation /</p>	Yes - comply

Criterion / Indicator	Assessment Findings	Compliance
<p>6.3.2 There shall be records of process and outcome of dispute resolution. - Major compliance -</p>	<p>authorities, be resolved through the applicable law or brought the RSPO Complaints System.</p> <p>Complaints or grievance resolution process documented in the logbook of Complaint. Records are routinely monitored monthly. However since January 2018 to February 2019 there were no complaints submitted by the public community and employees. It was also confirmed based on public consultation with surrounding village representative, worker, labour union and gender committee on 14 February 2019.</p> <p>Outcomes or decisions as response to followed up the complaint reported to affected parties as described in example above.</p> <ul style="list-style-type: none"> - Affected parties who express/stated complaint and grievance was able to access to the documentation of the process and/or outcomes. 	<p>Yes - comply</p>
<p>Criterion 6.4: Any negotiations concerning compensation for loss of legal, customary or user rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.</p>		
<p>6.4.1 A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be available, referring to decision of the Constitution Court. - Major compliance -</p>	<p>Procedure for identifying legal, customary or user rights has been established and available in procedure of Identification and calculation of land compensation (SOC/PSM/9.05) Rev.00 dated 1st January 2010.</p> <p>The steps of the procedures to identification and calculation of land compensation , consist of:</p> <ol style="list-style-type: none"> 3. Identification of land owner 4. Measurement 5. Data input (mapping) 6. Negotiating compensation 7. Payment of compensation 8. Data documentation. <p>Procedure for identifying people entitled to compensation has been established and available also in procedure of Identification and calculation of land compensation (SOC/PSM/9.05) Rev.00 dated 1st January 2010. The steps are as described above. Procedures was jointly developed, agreed and accepted by local communities It has been designed with consideration to the use of appropriate existing local mechanisms and languages. Consideration has been given to the existence/formation of a multi-stakeholder forum.</p> <p>The Procedure has disseminated to the stakeholder together with public consultation of social assessment and socialization of procedures for complaints handling on 7 March 2018. Dissemination of social communication procedure also has been</p>	<p>Yes - comply</p>

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Criterion / Indicator	Assessment Findings	Compliance
	performed in 7 March 2018 to stakeholder. Minutes of socialization and attendance list was sighted.	
<p>6.4.2</p> <p>A procedure for calculating and distributing fair compensation shall be established, implemented, monitored and evaluated in a participatory way. Corrective actions are taken as a result of this evaluation.</p> <p>- Minor compliance –</p>	<p>Procedure for calculating and distributing fair compensation (monetary or otherwise) has been established and available in procedure of Identification and calculation of land compensation (SOC/PSM/9.05) Rev.00 dated 1st January 2010. The steps are as described in criterion 6.4.1. Procedures was jointly developed, agreed and accepted by local communities It has been designed with consideration to the use of appropriate existing local mechanisms and languages. Consideration has been given to the existence/formation of a multi-stakeholder forum.</p> <p>The procedure monitored and evaluated in a participatory way, procedures will be revised if there is a reasonable request from stakeholders.</p> <p>This procedure take into account of the gender differences in the power to claim rights, ownership and access to land, differences of transmigrants and long-established communities, differences in ethnic groups' proof of legal versus communal ownership of land.</p> <p>There was no smallholder scheme in Negeri Lama Estate and mill.</p>	<p>Yes - comply</p>
<p>6.4.3</p> <p>Compensation claims, process and outcome of any negotiated agreements shall be documented, with evidence of the participation of affected parties.</p> <p>- Major compliance –</p>	<p>The organisation did not acquire any new land after 2005. It was noted that there was no ongoing progress of new land acquisition during group discussion with stakeholder on 30 January 2018.</p>	<p>Yes - comply</p>
<p>Criterion 6.5: Pay and conditions for employees and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.</p>		
<p>6.5.1</p> <p>Documentation of pay and conditions for employees based on the existing manpower regulations shall be available.</p> <p>- Major compliance -</p>	<p>Employees in PT Socfindo Negeri Lama estate and mill only of SKU (Karyawan and Pegawai), bounded by Perjanjian Kerja Bersama (PKB) tahun 2015-2017 dated April 21st 2015. PT Socfindo has a policy for pay and conditions for employees in Ethics Policy No Doc: SOC/Dp/4.01-64, 5th Revision, dated 18th January 2016 point 2. Wages and Salaries.</p> <p>PT Socfindo Indonesia has been paplied of payment based on Decree of Gubernur Sumatera Utara no. 188.44/44/1365/KPTS/2018) dated 3 February 2018 start to apply per date 1 January 2018 amount Rp 2,668,223.</p> <p>Salary slip in January 2019 and also proved that the payment of wages has met predetermined minimum wage. The minimum wage consists of basic wage plus a fixed allowance. Employee's pay rate for was according to List of Payment Rate for SKU (Karyawan</p>	<p>Yes - comply</p>

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Criterion / Indicator	Assessment Findings	Compliance																																																												
	<p>& Pegawai) PT. Socfindo Negeri Lama month January 2019, where it was stated that the pay rate was Rp 2,668,223/month IDR including 15 kg additional rice (if worker is not married). If worker have a family the he will be give 15 kg additional rice, 9 kg rice for wife and 7,5 kg rice for each child, maximum 3 child. Taken sample of Pay slip period January 2019:</p> <p>Salary Slip Report January 2019</p> <table border="1" data-bbox="676 712 1305 1727"> <tr> <td>Period :</td> <td>Jan-19</td> </tr> <tr> <td>NIK :</td> <td>2307860</td> </tr> <tr> <td>Nama :</td> <td>Samirah</td> </tr> <tr> <td>Business Area :</td> <td>Div. 1</td> </tr> <tr> <td>Divisi :</td> <td>Div. 1</td> </tr> <tr> <td>HK</td> <td>23</td> </tr> <tr> <td>Mangkir</td> <td>0</td> </tr> <tr> <td>Over Time/Premi</td> <td>0</td> </tr> <tr> <td colspan="2">Remuneration</td> </tr> <tr> <td>Description</td> <td>Amount</td> </tr> <tr> <td>Actual Salary</td> <td>Rp 2.574.500</td> </tr> <tr> <td>Employee Rice Allowance</td> <td>Rp 140.595</td> </tr> <tr> <td>Libur dibayar</td> <td></td> </tr> <tr> <td>Incentive</td> <td>Rp 255.000</td> </tr> <tr> <td>Total Remuneration :</td> <td>Rp 2.970.095</td> </tr> <tr> <td colspan="2">Deduction</td> </tr> <tr> <td>Description</td> <td></td> </tr> <tr> <td>Employee Rice Allowance</td> <td>Rp 140.595</td> </tr> <tr> <td>BPJS Karyawan</td> <td>Rp 111.565</td> </tr> <tr> <td>Others</td> <td>Rp 203.018</td> </tr> <tr> <td>Total Deduction :</td> <td>Rp 455.178</td> </tr> <tr> <td>Take Home Pay</td> <td>Rp 2.514.917</td> </tr> </table> <table border="1" data-bbox="676 1756 1305 2016"> <tr> <td>Period :</td> <td>Jan-19</td> </tr> <tr> <td>NIK :</td> <td>230128</td> </tr> <tr> <td>Nama :</td> <td>Saharuddin</td> </tr> <tr> <td>Business Area :</td> <td>Div. 1</td> </tr> <tr> <td>Divisi :</td> <td>Div. 1</td> </tr> <tr> <td>HK</td> <td>23</td> </tr> <tr> <td>Mangkir</td> <td>0</td> </tr> <tr> <td>Over Time/Premi</td> <td>0</td> </tr> </table>	Period :	Jan-19	NIK :	2307860	Nama :	Samirah	Business Area :	Div. 1	Divisi :	Div. 1	HK	23	Mangkir	0	Over Time/Premi	0	Remuneration		Description	Amount	Actual Salary	Rp 2.574.500	Employee Rice Allowance	Rp 140.595	Libur dibayar		Incentive	Rp 255.000	Total Remuneration :	Rp 2.970.095	Deduction		Description		Employee Rice Allowance	Rp 140.595	BPJS Karyawan	Rp 111.565	Others	Rp 203.018	Total Deduction :	Rp 455.178	Take Home Pay	Rp 2.514.917	Period :	Jan-19	NIK :	230128	Nama :	Saharuddin	Business Area :	Div. 1	Divisi :	Div. 1	HK	23	Mangkir	0	Over Time/Premi	0	
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	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">Others</td> <td style="text-align: right;">Rp 808.480</td> </tr> <tr> <td>Total Deduction :</td> <td style="text-align: right;">Rp 1.285.592</td> </tr> <tr> <td>Take Home Pay</td> <td style="text-align: right;">Rp 3.216.261</td> </tr> </table> <p>This payment condition was above the North Sumatra Province Minimum Payrate (UMK) is still using UMSK period 2018 which was Rp 2,668,223 per month is based on Decree of Gubernur Sumatera Utara No. 188.44/44/1365/KPTS/2018) dated 3 February 2018 start to apply per date 1 January 2018 amount Rp 2,668,223.</p> <p>Payment of wages for the period of January 2019 still uses UMSK 2018, but a "Rapel" will be made on payment of wages for the period of February 2019 by using the UMSK 2019 period of Rp 3,010,000.</p>	Others	Rp 808.480	Total Deduction :	Rp 1.285.592	Take Home Pay	Rp 3.216.261	
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<p>6.5.2 Collective Labor Agreement/Company Regulation, in accordance with the manpower regulations, shall be available in understandable language; and explained by the management or Labor Union to the workers.</p> <p>- Major compliance -</p>	<p>Workers contract is available in form "<i>Perjanjian Kerja Bersama Tahun 2015-2017</i>" dated 21st April 2015, where the entire worker's rights and obligation are indicated in detail, such as not providing underage worker, company shall provide PPE during working hours, overtime, maternity leave, facilities given to employees (housing, social insurance, etc.). The agreement written in Bahasa and based on interview with worker, they do understand their working agreement.</p> <p>Besides working agreement, PT Socfin Indonesia has a policy for pay and conditions for employees in Ethics Policy No Doc SOC/Dp/4.01-64, 5th Revision, dated 18th January 2016.</p> <p>This policy has been socialized to employees with evidences list of attendance of socialization in November-December 2017 and January 2018.</p> <p>Employee's pay rate for was according to List of Payment Rate for SKU (<i>Karyawan & Pegawai</i>) PT. Socfindo Negeri Lama month November-December 2017 and January 2018, where it was stated that the pay rate was 2,467,000/month IDR including 15 kg additional rice (if worker is not married). If worker have a family the he will be give 15 kg additional rice, 9 kg rice for wife and 7,5 kg rice for each child, maximum 3 child. The basis of the calculation of <i>premi</i> 2017 already has socialized by the company to worker union on 21 December 2017, and for <i>premi</i> 2018 on 20 December 2017. The worker union has been approved that calculation.</p> <p>This payment condition was above the Sumatra North Province Minimum Payrate (UMK) in 2017 which was 2,467,000.- IDR per month (<i>Keputusan</i></p>	<p>Yes - comply</p>						

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	<p><i>Gubernur Sumatera Utara 188.44/44/KPTS/2017</i> dated 3 February 2017.</p> <p>Based on interview with workers and labour union, there are no records of breach by the company. Salaries have been delivered routine in each month without problem.</p>	
<p>6.5.3 Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where such public facilities are unavailable or inaccessible.</p> <p>- Minor compliance –</p>	<p>Company has provided public facilities e.g.; housing complex for the workers, normally it's a duplex door (two doors in one roof) permanent house, clean water of MCK was available in housing complex, the resource is from the mill. Other public facilities provided by company for workers and local community including school, bus stop, day care, clinic, worship building (mosque and church) and sport facilities (e.g. football, volley ball, badminton, and tennis).</p> <p>Company has made the plan of lavatory realisation for workers emplacement in Divisi I, II and Mill 2017-2024. In 2017 has realized 13 lavatory (Divisi I 4 unit, Divisi II = 5 Unit, and Mill=4 unit).</p> <p>And for clean water services, the sample has been analysed in The Laboratory of PT. Socfin Indonesia (SOCFINDO) Seed Production and Laboratory, the result was complied with clean water standards based on <i>Permenkes No. 32 Tahun 2017 regarding Standar Baku Mutu Kesehatan Lingkungan dan Persyaratan Kesehatan Air untuk Keperluan Higien Sanitasi, Kolam Renang Solus Per Aqua dan Peamandian Umum</i>. The monitoring on 08 December 2018 and it results in accordance with the regulation for all parameters.</p>	<p>Yes - comply</p>
<p>6.5.4 There shall be demonstrable efforts to improve workers' access to adequate, sufficient and affordable food.</p> <p>- Minor compliance –</p>	<p>Company policy stated that workers will be given 15 kg additional rice (if worker is not married) and if worker have a family the he will be give 15 kg additional rice, 9 kg rice for wife and 7,5 kg rice for each child, maximum 3 child. Besides that, extra food given for the workers such as milk and green-bean porridge.</p> <p>The evidences has been reviewed such as payroll for January 2019 (payroll contains of salaries, <i>premi</i> and other benefits) and based on interviews with the workers.</p>	<p>Yes - comply</p>
<p>Criterion 6.6: The employer respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.</p>		
<p>6.6.1 A record of the company's policy in understandable language recognising freedom of association, shall be available.</p> <p>- Major compliance –</p>	<p>Freedom of association has been mentioned in Ethics Policy No Doc: SOC/Dp/4.01-64, 5th Revision, dated 18th January 2016. Organizations understand that workers have the right to argued, associate and organize in a labour union.</p>	<p>Yes - comply</p>

Criterion / Indicator	Assessment Findings	Compliance	
	<p>Organization committed to provides opportunities for workers to organize in unions and express an opinion.</p> <p>Commitment covered in the policy are:</p> <ul style="list-style-type: none"> - The organization recognizes workers' rights to express their opinions and organize freely and responsibly run in labour union organizations. - Organizational policies related to ensure workers' rights are discussed and decided by taking into consideration the union. - Ensured that the disclosure made by aspiration unions did not cause the collapse of a termination for union leaders and members. - Promoting the principle of dialogue to reach consensus in addressing the aspirations from labour union to the company. <p>Based on interview with labour union leader, the company has accommodated employee rights to argued, associate and organize in a labour union. Employees, including migrant and transmigrant workers and contract workers were allowed to form associations and bargain collectively with their employer.</p> <p>There were union workers represent estate and mill employee incorporated in the <i>SPSI Serikat Pekerja Perkebunan PT Socfin Indonesia Negeri Lama Estate</i> and registered in Disnaker. Based on Decree from PC FSP. PP-SPSI Indonesian Agriculture & Plantation Workers Federation no. 50/ ORG/PC FSP.PP-LBR/VIII/2015 Regarding the "<i>Pengukuhan Pengurus Unit Kerja Serikat Pkerja Pertanian dan Perkebunan PUK SP. PP-SPSI</i>" dated August 13, 2015 with Chairperson of SPSI Br. Edy Syahputra Saragih and has been registered at the Manpower Office with proof of registration no. 203 / SPPP-SPSI/DFS/07/IX/2001 dated September 14, 2001.</p> <p>Labour laws, union agreements which described in <i>PKB (Perjanjian Kerja Bersama)</i> and direct contracts of employment detailing payments and other conditions was made available in the languages which understood by the workers and explained carefully to them by management official.</p>		
<p>6.6.2</p>	<p>Records of meetings with labor unions or workers representatives shall be available.</p> <ul style="list-style-type: none"> - Minor compliance – 	<p>Minutes of meetings with main labour unions or workers representatives been documented, Bipartite Meeting e.g.:</p> <ul style="list-style-type: none"> - Dated 31 March 2018 in regard internal coordination meeting. - Dated 7 May 2018 in regard internal coordination meeting. - Dated 25 March 2018 in regard management of perokeran SIP 1 ke SIP 2 di POM Negeri Lama 	<p>Yes - comply</p>

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	Minutes of meeting were available, list of attendance was sighted. The minutes were made readily available to employees upon request.	
Criterion 6.7: Children are not employed or exploited.		
6.7.1	<p>There shall be documented evidence that minimum age requirements are met. - Major compliance –</p> <p>PT Socfindo has a policy for pay and conditions for employees in Ethics Policy No Doc: SOC/Dp/4.01-64, 5th Revision, dated 18th January 2016. This policy has been socialized as follows:</p> <ol style="list-style-type: none"> 1. Mill Division on 16 January 2018 2. Traksi Division on 16 January 2018 3. Estate: Division-I on 15 September 2017 and 13 January 2018, Division-II on 15 September 2017 and 4 January 2018, Division-III on 4 January 2018, Division-IV on 6th February 2018 4. Office on 16 January 2018 5. Third party on 6 September 2017 <p>Based on evidences such as attendance list and minutes of meeting, it was stated that PT Socfindo committed to not employ underage workers required by national legislation.</p> <p>Besides that, PT. Socfindo has a procedure "Penerimaan Pekerja KHT Kebur" No Doc: SOC/PSM/6.01.01, 1st revision dated December 1st 2015 which stated that every candidate must have Identity Card (KTP), Kartu Keluarga, and Surat Nikah (if married).</p> <p>Based on document review as listed in "Daftar Alokasi Tenaga Kerja Palm Oil Mill and estate Negeri Lama 2018", and based on field observation there are no underage workers in Negeri Lama. Taking a sample of the youngest workers, is the following:</p> <ul style="list-style-type: none"> - Employees on behalf Syahputra; born on 31/12/1995, joined work on 01/08/2015 at the age of 19 years and 7 months. The youngest worker was born in 1995. - Employees on behalf Supriadi V.; born on 06/04/1995, joined work on 01/08/2015 at the age of 20 years and 4 months. - Employees on behalf Hendra Saputra; born on 08/03/1995, joined work on 01/02/2014 at the age of 18 years and 10 months. <p>The youngest worker was born in 1995.</p>	Yes - comply
Criterion 6.8: Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.		
6.8.1	A company's policy on equal opportunity and treatment for	An equal opportunities policy was documented in Ethics Policy No Doc: SOC/Dp/4.01-64, 5 th Revision, dated 18th January 2016. This policy has been
		Yes - comply

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<p>work shall be available and documented. - Major compliance –</p>	<p>socialized based on evidences such as attendance list and minutes of meeting, and the date of socialization as follows:</p> <ol style="list-style-type: none"> 1. Mill Division on 16 January 2018 2. Traksi Division on 16 January 2018 3. Estate: Division-I on 15 September 2017 and 13 January 2018, Division-II on 15 September 2017 and 4 January 2018, Division-III on 4 January 2018, Division-IV on 6th February 2018 4. Office on 16 January 2018 5. Third party on 6 September 2017 <p>In the policy stated that PT Socfindo believes that every worker is entitled to the same treatment and do not discriminate based on ethnicity, religion, race, sexual orientation and gender. PT. Socfin committed to implementing anti-discrimination policy to all employees.</p> <p>As reviewed in document "List of Workers accordance Tribe and Religion Negeri Lama as per January 2019", the composition of employees is as follows:</p> <table border="1" data-bbox="678 1099 1257 1832"> <thead> <tr> <th colspan="2">Description</th> <th>Number of Employee</th> <th>%</th> </tr> </thead> <tbody> <tr> <td rowspan="2">Gender</td> <td>Pria</td> <td>342</td> <td>86%</td> </tr> <tr> <td>Wanita</td> <td>56</td> <td>14%</td> </tr> <tr> <td colspan="2">Total</td> <td>398</td> <td>100%</td> </tr> <tr> <td rowspan="3">Age</td> <td>18 -30</td> <td>45</td> <td>11%</td> </tr> <tr> <td>30 - 40</td> <td>126</td> <td>32%</td> </tr> <tr> <td>> 40</td> <td>229</td> <td>57%</td> </tr> <tr> <td colspan="2">Total</td> <td>400</td> <td>100%</td> </tr> <tr> <td rowspan="8">Tribe</td> <td>Aceh</td> <td>1</td> <td>0,3%</td> </tr> <tr> <td>Banjar</td> <td>1</td> <td>0,3%</td> </tr> <tr> <td>Bali</td> <td>2</td> <td>0,5%</td> </tr> <tr> <td>Batak</td> <td>99</td> <td>25%</td> </tr> <tr> <td>Jawa</td> <td>293</td> <td>73%</td> </tr> <tr> <td>Nias</td> <td>1</td> <td>0,3%</td> </tr> <tr> <td>Melayu</td> <td>3</td> <td>0,8%</td> </tr> <tr> <td colspan="2">Total</td> <td>400</td> <td>100%</td> </tr> <tr> <td rowspan="4">Religion</td> <td>Hindu</td> <td>2</td> <td>0,5%</td> </tr> <tr> <td>Islam</td> <td>357</td> <td>89%</td> </tr> <tr> <td>Kristen</td> <td>41</td> <td>10%</td> </tr> <tr> <td colspan="2">Total</td> <td>400</td> <td>100%</td> </tr> </tbody> </table>	Description		Number of Employee	%	Gender	Pria	342	86%	Wanita	56	14%	Total		398	100%	Age	18 -30	45	11%	30 - 40	126	32%	> 40	229	57%	Total		400	100%	Tribe	Aceh	1	0,3%	Banjar	1	0,3%	Bali	2	0,5%	Batak	99	25%	Jawa	293	73%	Nias	1	0,3%	Melayu	3	0,8%	Total		400	100%	Religion	Hindu	2	0,5%	Islam	357	89%	Kristen	41	10%	Total		400	100%	
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<p>6.8.2</p>	<p>Evidence shall be provided that employees and groups including local communities, women, and Recruitment process was documented in procedure "Penerimaan Pekerja KHT Kebun" No. Doc: SOC/PSM/6.01.01, 1st revision dated 1st December</p>	<p>Yes - comply</p>																																																																					

Criterion / Indicator	Assessment Findings	Compliance
	<p>migrant workers have not been discriminated. - Major compliance –</p> <p>2015. There are 3 steps in employees recruitment such as :</p> <p>a) Request recruitment of employees gardens - Letter of application for recruitment from Site Management devoted to management via the General Section - Letter of approval for recruitment from management (Head Office)</p> <p>b) The selection process - The collection of application file - Selection of administration - Announcement of the selection schedule - Test questions and physical tests - Summary of the results of the selection - Announcement of selection results - Provision of a cover letter MCU to candidates who pass the selection - Implementation of MCU</p> <p>The announcement of selected candidate Through interviews with workers in mill and plantation, it confirmed that there was no discrimination on working opportunities, all workers treated equally. Records of employee's recruitment were available and have been reviewed during audit.</p>	
<p>6.8.3</p>	<p>Records of evidence that equal opportunity and treatment for work shall be available. – Minor compliance –</p> <p>Recruitment process was documented in procedure "Penerimaan Pekerja KHT Kebun" No Doc: SOC/PSM/6.01.01, 1st revision dated 1st December 2015. Based on that procedure can be seen that the selection, recruitment and promotion of workers based on qualification standard for the job. Employees credential and medical history were documented and recorded very well and has been reviewed during audit. All company policy reviewed every year by Sustainability Sub Department, PT. Socfindo. Employees' evaluation was conducted every November to decide promotion of employees.</p>	<p>Yes - comply</p>
<p>Criterion 6.9: There is no harassment or abuse in the work place, and reproductive rights are protected.</p>		
<p>6.9.1</p>	<p>A policy to prevent sexual and all other forms of harassment and violence, shall be documented, implemented and communicated to all levels of the workforce. - Major compliance –</p> <p>A company policy on sexual harassment was documented in Ethics Policy No Doc: SOC/Dp/4.01-64, 5th Revision, dated 18 January 2016. This policy has been socialized based on evidences such as attendance list and minutes of meeting, and the date of socialization as follows:</p> <ol style="list-style-type: none"> 1. Mill Division on 16 January 2018 2. Traksi Division on 16 January 2018 3. Estate: Division-I on 15 September 2017 and 13 January 2018, Division-II on 15 September 2017 and 4 January 2018, Division-III on 4 January 2018, Division-IV on 6th February 2018 4. Office on 16 January 2018 	<p>Yes - comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p>5. Third party on 6 September 2017</p> <p>All company policy reviewed every year by Sustainability Department, PT. Socfindo. Company has formed A Gender Committee since year 2012 and has been approved by Negeri Lama management consist Head of Committee, Secretary and Members.</p> <p>Gender Committee activities such as handle complaint from female workers, reporting and data collecting if case appeared concerning sexual harassment. Protocol about complaint (internal and external) documented in procedure "Penanganan Keluhan Sosial" No Doc: SOC/PSM/9.02 First Edition, 6th Rev, dated 15 September 2018. Based on interview with Gender Committee on 30 January 2018, their activities include training on women's rights, counselling for women affected by violence, child care facilities and breastfeeding policy.</p> <p>Based on an interview with the head of the gender committee, Br. Suriana then carried out document verification, that in November 2018 there had been cases of sexual harassment, and based on SOP Doc: SOC / PSM / 9.02 First Edition, 6th Rev, dated 15th September 2018. The company can show the submission of complaints in writing (point D. Others, No. 5.26 "All complaints including follow-up and the results of follow-up of complaints are recorded in the Complaint Note form).</p>	
<p>6.9.2</p> <p>A policy to protect the reproductive rights, shall be documented, implemented and communicated to all levels of the workforce. - Major compliance –</p>	<p>A company policy on reproductive rights was documented in Ethics Policy No Doc: SOC/Dp/4.01-64, 5th Revision, dated 18th January 2016. This policy has been socialized based on evidences such as attendance list and minutes of meeting, and the date of socialization as follows:</p> <ol style="list-style-type: none"> 1. Mill Division on 16 January 2018 2. Traksi Division on 16 January 2018 3. Estate: Division-I on 15 September 2017 and 13 January 2018, Division-II on 15 September 2017 and 4 January 2018, Division-III on 4 January 2018, Division-IV on 6th February 2018 4. Office on 16 January 2018 5. Third party on 6 September 2017 <p>All company policy reviewed every year by Sustainability Department, PT. Socfindo. The policy</p>	<p>Yes - comply</p>

Criterion / Indicator	Assessment Findings	Compliance
<p>6.9.3</p> <p>A specific grievance mechanism which respects anonymity of complainants where requested, and as long as they are supported with adequate information, shall be documented, implemented, and communicated to all workforce.</p> <p>- Minor compliance –</p>	<p>communicated to all employees by gathering them and gives explanation about company policy.</p> <p>Company mechanism about complaint (internal and external) documented in procedure “<i>Penanganan Keluhan Sosial</i>” No Doc: SOC/PSM/9.02 First Edition, 3rd Rev, dated 1st September 2014. In the procedure stated that any employee can report the complaint in writing to the officer who has been appointed (<i>KTU, Asisten, Askep, Tekniker and Pengurus</i>). Complaint Form Notes has been checked and no such complaints have been received yet. Grievance mechanism procedures listed in point 5 of the description of the procedure, as follows:</p> <ul style="list-style-type: none"> - Complaints against the company may be in the form of complaints from internal (workers) and external complaints, namely from stakeholders or citizens around the palm-oil site - Worker/stakeholder complaints submit complaints in writing to the company through <i>KTU, Assistant, Tekniker, Askep</i> or Site Management/Pengurus - Site Management/Pengurus studied the complaints made by stakeholders and provided follow-up instructions to <i>tekniker, Askep, Assistant, KTU</i> or other staff in accordance with the type of complaint. - It is clear that the trouble with the complaint and the settlement does not require big resources and still under the authority of the Site Management/Pengurus, can be directly followed by a Site Management. - Complaints that require further clarification and communication with the complainant will be communication with the complainant in accordance with the Procedures for Social Communications. Staff/specialized personnel will be appointed to carry out this communication. - For internal complaints, communication with labour unions are also required - Staff / personnel designated to be communicated to the complainant to obtain more complete information about the complaint, the settlement is desirable and so on. - Results of communication with the complainant submitted to the Site Management/<i>Pengurus</i> to discuss follow-up. If the follow-up does not require large resources and still under the authority of the Site Management/<i>Pengurus</i>, can be acted upon by Site management. - If to follow up on such complaints require large resources and requires the approval of Medan, 	<p>Yes - comply</p>

Criterion / Indicator		Assessment Findings	Compliance
		<p>the Pengurus will submit a complaint in writing to the field including communication notes that has been done</p> <ul style="list-style-type: none"> - General Affairs will study the complaints submitted by Site Management/Pengurus and will provide guidance/direction of the solution to the Site Management/Pengurus - Site Management/Pengurus will conduct a follow-up according to the instructions of Medan. Communication with the complainant may be required if the instructions of the field is not in accordance with the results of previous communications <p>All complaints are recorded in the Complaint Form Notes In point 5.20 in the procedure stated that the company will respects anonymity and protects complainants where requested. All company policy reviewed every year by Sustainability Department, PT. Socfindo</p>	
Criterion 6.10:			
Growers and mills deal fairly and transparently with smallholders and other local businesses.			
6.10.1	Current and past prices paid for Fresh Fruit Bunches (FFB), shall be publicly available. - Minor compliance -	PT. Socfin Indonesia, Negeri Lama Mill does not receive FFB from other than Negeri Lama Estate.	Yes - comply
6.10.2	Pricing mechanisms for Fresh Fruit Bunches (FFB) and inputs/services shall be explained and documented (where these are under the control of the mill or plantation). - Major compliance -	PT. Socfin Indonesia, Negeri Lama Mill does not receive FFB from other than Negeri Lama Estate.	Yes - comply
6.10.3	Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent. - Minor compliance -	PT. Socfin Indonesia, Negeri Lama Mill does not receive FFB from other than Negeri Lama Estate.	Yes - comply
6.10.4	Agreed payments shall be made in a timely manner. - Minor compliance -	PT. Socfin Indonesia, Negeri Lama Mill does not receive FFB from other than Negeri Lama Estate.	Yes - comply
Criterion 6.11:			
Growers and millers contribute to local sustainable development where appropriate.			
6.11.1	Records of contributions to local development based on the results of consultation with local communities shall be available. - Minor compliance -	PT Socfindo Negeri Lama has established policies related companies CSR contained in Ethics policy point 1 which said "To ensure a harmonious relationship, PT Socfindo support in accordance with the capacity of regional development programs and the development potential of the surrounding community".	Yes - comply

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Criterion / Indicator	Assessment Findings	Compliance
	<p>In addition, the company also has a CSR procedure Doc No: SOC / PSM / 9:08, First Edition, 1st January 2011. At point 5.2.1 of the procedures listed about the stakeholder consultation, "Consultation with stakeholders particularly local government and surrounding communities which aims to explore the needs of rural communities and the potential that can be developed from the aspect of human resources, religion, health, education, sports and recreation, infrastructure and economic development "Contribution to local development described in the CSR programme. CSR Program for 2017 was available including its realization records. CSR program consists of internal and external activities.</p> <p>Internal activities consist of: providing scholarships to outstanding students, national independence day, fogging etc. External activities include: enhancement of village roads around the plantation, maintenance of flood control canals, providing clean water for community activities, building renovation of public facility. Several records of CSR implementation were evident.</p> <p>Corporate Social Responsibility (CSR) Plans for 2018 and 2019 Negeri Lam Estate:</p> <ol style="list-style-type: none"> 1. Health Sector: Implementation of fogging around the garden 2. Religious Sector: Construction of the Old Seberang Mosque mosque house of worship 3. Education Sector: School road building finance SDN 115590 Perk. Old Country 4. Infrastructure Sector: Procurement of stone pits for Blok 3 adn Block 4 Sidorejo I Village, Negeri Lama Seberang Village, procuring parrots in Sidomulyo Village and government roads 5. Etc. <p>The realization of CSR for the 2018 period, including:</p> <ol style="list-style-type: none"> 1. The cost of disseminating oral and dental health at the Elementary School around the Negeri Lama Estate, carried out in March 2018 2. Scholarship assistance for outstanding students at elementary, junior high and high school levels is conducted in October 2018. 3. Assistance for 20 semens for field hardening of Bilah Hilir Middle School 3 was carried out in February 2018. 4. 7-foot zinc assistance in Sidorejo I-II-III and Bom Desa Negeri Lama Village and also watering in the dry season at traditional market on Negeri Lam Village, carried out in June 2018 	

Criterion / Indicator	Assessment Findings	Compliance
	<p>5. Assistance for 1500 tons of rice for floods in the Negeri Lama Seberang Village, held in December 2018.</p> <p>Based on interview with stakeholder on 15 February 2019, it is known that the presence of the company has a positive impact on people's lives, especially in terms of labour.</p>	
<p>6.11.2 Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve scheme smallholder productivity. - Minor compliance -</p>	<p>There are no smallholder in PT Socfindo Negeri Lama Site so this criteria is not applicable</p>	<p>Yes - comply</p>
<p>Criterion 6.12: No forms of forced or trafficked labour are used.</p>		
<p>6.12.1 There shall be evidence that no forms of forced or trafficked labor are used. - Major compliance -</p>	<p>Company have documented their policy and procedure in Ethics Policy and Manual Procedure, however policy on forced labour or trafficked labour is not available. That means, company can't define what forced or trafficked labour means.</p> <p>There are no foreign workers in Negeri Lama Site, based on evidences which have been reviewed such as "<i>Daftar Alokasi Tenaga Kerja Palm Oil Mill Negeri Lama Tahun 2018</i>".</p> <p>Recruitment process was documented in procedure "<i>Penerimaan Pekerja KHT Kebun</i>" No Doc: SOC/PSM/6.01.01, 1st revision dated 1st December 2015 stated in point 5 about Policy that <i>Staff</i> and <i>Pegawai</i> recruitment conduct by Head Office in Medan. For workers in site, recruitment processes conduct by Site Management with approval from company management.</p> <p>There are no restrictions for workers to leaving mill or estate area outside working hours.</p>	<p>Yes - comply</p>
<p>6.12.2 It shall be demonstrated that no contract substitution has occurred. - Minor compliance -</p>	<p>Based on observation of several employee contract and public consultation with stakeholders on 15 February 2019 and interview with employee could be demonstrated that there was no contract substitution occurred.</p> <p>There were no migrant workers in PT Socfin Indonesia – Negeri Lama. It's verified during audit documentation list of employee, interview with employee and stakeholders.</p> <p>Employees work based on contract labour agreement which contains agreements include: working time, dependents, payroll and consent of both parties. Workers was given a copy of their employment contracts and the contract</p>	<p>Yes - comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	was identical to the one signed at the time of recruitment.	
6.12.3	Where migrant/foreign/honorary workers are employed, a special worker policy and procedures and the evidence of implementation shall be available. - Major compliance -	Yes - comply
Criterion 6.13: Growers and millers respect human rights.		
6.13.1	A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations. - Major compliance - Human rights policy was documented in Ethics Policy No Doc: SOC/Dp/4.01-64, 5th Revision, dated 18th January 2016. It stated that company recognizes and upholds human rights and basic human freedom which must be protected, respected and enforced. This policy has been socialized based on evidences such as attendance list and minutes of meeting, and the date of socialization as follows: 1. Mill Division on 16 January 2018 2. Traksi Division on 16 January 2018 3. Estate: Division-I on 15 September 2017 and 13 January 2018, Division-II on 15 September 2017 and 4 January 2018, Division-III on 4 January 2018, Division-IV on 6th February 2018 4. Office on 16 January 2018 5. Third party on 6 September 2017 Person in charge to communicating the policy internally are Site Management, Head Assistant, Assistant and KTU. Meanwhile, for external parties communicated by Site Management and Public Relations Officer. Until now, there are no outstanding cases regarding human rights violations.	Yes - comply
Principle 7: Responsible development of new plantings		
Criterion 7.1: A comprehensive and participatory independent social and environmental impact assessment is undertaken prior to establishing new plantings or operations, or expanding existing ones, and the results incorporated into planning, management and operations.		
7.1.1	An independent social and environmental impact assessment (SEIA), undertaken through a participatory methodology including the relevant affected stakeholders, shall be documented. - Major compliance -	Yes – N/A

Criterion / Indicator		Assessment Findings	Compliance
7.1.2	Appropriate management planning and operational procedures shall be developed and implemented to avoid or mitigate identified potential negative impacts. - Minor compliance -	Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.	Yes – N/A
7.1.3	Where the development includes an outgrower scheme, the impacts of the scheme and the implications of the way it is managed shall be given particular attention. - Minor compliance -	Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.	Yes – N/A
Criterion 7.2: Soil surveys and topographic information are used for site planning in the establishment of new plantings, and the results are incorporated into plans and operations.			
7.2.1	Soil suitability maps or soil surveys adequate to establish the long-term suitability of land for oil palm cultivation shall be available and taken into account in plans and operations. - Major compliance -	Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.	Yes – N/A
7.2.2	Topographic information adequate to guide the planning of drainage and irrigation systems, roads and other infrastructure shall be available and taken into account in plans and operations. - Minor compliance -	Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.	Yes – N/A
Criterion 7.3: New plantings since November 2005 have not replaced primary forest or any area required to maintain or enhance one or more High Conservation Values.			
7.3.1	There shall be evidence that no new plantings have replaced primary forest, or any area required to maintain or enhance one or more High Conservation Values (HCVs), since November 2005. New plantings shall be planned and managed to best ensure the HCVs identified are maintained and/or enhanced (see Criterion 5.2). - Major compliance –	Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.	Yes – N/A
7.3.2	Reports of comprehensive HCV assessment, which involves stakeholder consultation and includes record of land-use	Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.	Yes – N/A

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change since November 2005, shall be available. This HCV assessment shall be conducted prior to any conversion or new planting. - Major compliance –		
7.3.3 Records of land preparation and clearing dates shall be available. - Minor compliance –	Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.	Yes – N/A
7.3.4 An action plan shall be developed that describes operational actions consequent to the findings of the HCV assessment, and that references the grower’s relevant operational procedures. (see Criterion 5.2) - Major compliance –	Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.	Yes – N/A
7.3.5 Areas required by affected communities to meet their basic needs, taking into account potential positive and negative changes in livelihood resulting from proposed operations, shall be identified in consultation with the communities and incorporated into HCV assessments and management plans (see Criterion 5.2). - Minor compliance -	Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.	Yes – N/A
Criterion 7.4: Extensive planting on steep terrain, and/or marginal and fragile soils, including peat, is avoided.		
7.4.1 Maps identifying marginal and fragile soils, including excessive gradients and peat soils, shall be available and used to identify areas to be avoided. - Minor compliance -	Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.	V
7.4.2 Where limited planting on fragile and marginal soils, including peat, is proposed, plans shall be developed and implemented to protect them without incurring adverse impacts. - Major compliance -	Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.	N/A
Criterion 7.5: No new plantings are established on local peoples’ land where it can be demonstrated that there are legal, customary or user rights, without their free, prior and informed consent. This is dealt with through a documented system that enables these and other stakeholders to express their views through their own representative institutions.		
7.5.1 Evidence shall be available that affected local peoples understand	Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri	Yes – N/A

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<p>they have the right to say 'no' to operations planned on their lands before and during initial discussions, during the stage of information gathering and associated consultations, during negotiations, and up until an agreement with the grower/miller is signed and ratified by these local peoples. - Major compliance -</p>	<p>Lama Estate. The young oil palm existed are replanting.</p>		
<p>Criterion 7.6: Where it can be demonstrated that local peoples have legal, customary or user rights, they are compensated for any agreed land acquisitions and relinquishment of rights, subject to their free, prior and informed consent and negotiated agreements.</p>			
<p>7.6.1</p>	<p>Documented identification and assessment of demonstrable legal, customary and user rights shall be available. - Major compliance -</p>	<p>Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.</p>	<p>Yes – N/A</p>
<p>7.6.2</p>	<p>A system for identifying people entitled to compensation shall be in place. - Major compliance -</p>	<p>Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.</p>	<p>Yes – N/A</p>
<p>7.6.3</p>	<p>A system for calculating and distributing fair compensation (monetary or otherwise) shall be in place. - Major compliance -</p>	<p>Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.</p>	<p>Yes – N/A</p>
<p>7.6.4</p>	<p>Communities that have lost access and rights to land for plantation expansion shall be given opportunities to benefit from plantation development. - Minor compliance -</p>	<p>Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.</p>	<p>Yes – N/A</p>
<p>7.6.5</p>	<p>The process and outcome of any compensation claims shall be documented and made publicly available. - Minor compliance -</p>	<p>Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.</p>	<p>Yes – N/A</p>
<p>7.6.6</p>	<p>Evidence shall be available that the affected communities and rights holders have access to information and advice, that is independent of the project proponent, concerning the legal, economic, environmental and social implications of the proposed operations on their lands. - Minor compliance -</p>	<p>Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.</p>	<p>Yes – N/A</p>

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Criterion / Indicator	Assessment Findings	Compliance
Criterion 7.7: No use of fire in the preparation of new plantings other than in specific situations, as identified in the ASEAN guidelines or other regional best practice.		
7.7.1 There shall be no land preparation by burning, other than in specific situations, as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions. - Major compliance -	Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.	Yes – N/A
7.7.2 In exceptional cases where fire has to be used for preparing land for planting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions. - Minor compliance -	Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.	Yes – N/A
Criterion 7.8: New plantation developments are designed to minimise net greenhouse gas emissions.		
7.8.1 The carbon stock of the proposed development area and major potential sources of emissions that may result directly from the development shall be identified and estimated. - Major compliance -	Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.	Yes – N/A
7.8.2 There shall be a plan to minimise net GHG emissions which takes into account avoidance of land areas with high carbon stocks and/or sequestration options. - Minor compliance -	Noted that there was no new planting since November 2005 in PT Socfin Indonesia – Negeri Lama Estate. The young oil palm existed are replanting.	Yes – N/A
Principle 8: Commitment to continual improvement in key areas of activity		
Criterion 8.1: Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.		
8.1.1 The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria.	PT Socfin Indonesia – Negeri Lama POM has shon the document related internal audit that was integrated of ISPO and RSPO to montoring and implementation of contional improvement program. Data verified: – Record of last Internal audit was conducted on 26 th – 29 th September 2018. There were 6 nonconformities finding raised related to RSPO	Yes – comply

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Criterion / Indicator	Assessment Findings	Compliance
<p>As a minimum, these shall include, but are not necessarily be limited to:</p> <ul style="list-style-type: none"> • Reduction in use of pesticides(Criterion 4.6); • Environmental impacts (Criteria 4.3, 5.1 and 5.2); • Waste reduction (Criterion 5.3); • Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); • Social impacts (Criterion 6.1); • Optimising the yield of the supply base. <p>- Major compliance -</p>	<p>P&C requirement that was followed up with correction ad corrective action. Status closed on 27th November 2018.</p> <ul style="list-style-type: none"> - Minute of meeting of management review dated 28th November 2018. Agenda: <ul style="list-style-type: none"> • Result of internal audit • Feedback from interested parties • Status of the correction and corrective action • Follow up of the progress result of last management review • Management of change • Recommendation to continual improvement. 	

Appendix B: Approved Time Bound Plan

Name of Mill	Address	Time Bound for Certification	Status as of February 2019
Tanah Gambus	Desa Tanah Gambus, Kecamatan Lima Puluh, Kabupaten Batu Bara, Provinsi Sumatera Utara, Indonesia	2011	Certified on 4 November 2011
Bangun Bandar	Desa Martebing, Kecamatan Dolok Masihul, Kabupaten Serdang Bedagai, Provinsi Sumatera Utara, Indonesia	2011	Certified on 11 November 2011
Negeri Lama	Desa Negeri Lama, Kecamatan Bilah Hilir, Kabupaten Labuhan Batu, Provinsi Sumatera Utara, Indonesia	2014	Certified on 10 March 2014
Mata Pao	Desa Mata Pao, Kecamatan Teluk Mengkudu, Kabupaten Serdang Bedagai, Provinsi Sumatera Utara, Indonesia	2014	Certified on 25 April 2014
Sungai Liput	Desa Sei Liput, Kecamatan Kejuruan Muda, Kabupaten Aceh Tamiang, Nangroe Aceh Darussalam, Indonesia	2014	Certified on 5 May 2014
Aek Loba	Desa Aek Loba, Kecamatan Aek Kuasan, Kabupaten Asahan, Provinsi Sumatera Utara, Indonesia	2014	Certified on 15 April 2015
Seumanyam	Desa Simpang Deli Kilang, Kecamatan Darul Makmur, Kabupaten Nagan Raya, Nangroe Aceh Darussalam, Indonesia	2014	Certified on 17 October 2015
Seunagan	Desa Purwodadi, Kecamatan Kuala Pesisir, Kabupaten Nagan Raya, Nangroe Aceh Darussalam, Indonesia	2014	Certified on 30 November 2015
	Blok 52B (30.63 Ha) Kebun Seunagan, Desa Babah II, Kecamatan Kuala Pesisir, Kabupaten Nagan Raya, Nangroe Aceh Darussalam, Indonesia	2020	Has been proposed for land title since 2014, and has been approved by Regent of Nagan Raya. Currently the area is in process of "Panita B" at BPN (National Land Agency) of Aceh Province.
Lae Butar	Desa Rimo, Kecamatan Gunung Meriah, Kabupaten Aceh Singkil, Nangroe Aceh Darussalam, Indonesia	2014	Certified on 30 November 2015

Appendix C: GHG Reporting Executive Summary

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

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

The summary of the Net GHG emitted in in PT Socfin Indonesia for Negeri Lama POM and supply base are as following:

Emission per product	tCO ₂ e/tProduct
CPO	1.16
PK	1.16

Extraction	%
OER	23.22
KER	4.79

Production	t/yr
FFB Process	47,367
CPO Produced	10,999
PK Produced	2,268

Land Use	Ha
OP Planted Area	2,140
OP Planted on peat	126
Conservation (forested)	0
Conservation (non-forested)	0
Total	2,140

Summary of Field Emission and Sink

	Own Crop*		Group		3 rd Party		Total	
	tCO ₂ e	tCO ₂ e / FFB	tCO ₂ e	tCO ₂ e / FFB	tCO ₂ e	tCO ₂ e / FFB	tCO ₂ e	tCO ₂ e / FFB
Emission								
Land Conversion	15,833.88	0.33	0	0	0	0	15,833.88	0.33
CO ₂ Emission from fertilizer	219.42	0	0	0	0	0	219.42	0
N ₂ O Emmission	1,436.2	0.03	0	0	0	0	1,436.2	0.03
Fuel Consumption	224.81	0	0	0	0	0	224.81	0
Peat Oxidation	6,897.62	0.15	0	0	0	0	6,897.62	0.15
Sink								
Crop Sequestration	-15,833.69	-0.33	0	0	0	0	-15,833.69	-0.33
Conservation Sequestration	0	0	0	0	0	0	0	0
Total	8,778.24	0.19	0	0	0	0	8,778.24	0.19

*Note: Includes both estates and smallholders

Summary of Mill Emission and Credit

	tCO ₂ e	tCO ₂ e/tFFB
Emission		
POME	6,353.65	0.13
Fuel Consumption	47.13	0
Grid Electricity Utilisation	175.58	0

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Credit		
Export of Grid Electricity	0	0
Sales of PKS	0	0
Sales of EFB	0	0
Total	6,576.36	0.14

Summary of Kernel Crusher Emission and Credit (if applicable)

Emissions	tCO₂e
PK from own mill	2,624.88
PK from other source	0
Fuel Consumptions	0
Total Crusher emissions	0

*This mill has no kernel crusher operation.

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

POME Diverted to Anaerobic Digestion:	
Divert to anaerobic pond (%)	100
Divert to methane captured (flaring) (%)	0
Divert to methane captured (energy generation) (%)	0

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

5.1 Applicability of the general chain of custody requirements for the supply chain			
	Requirement	Evidence For any N/A raised, justification is required.	Compliance (Yes / No or N/A)
5.1.1	The General Chain of Custody requirements of the RSPO Supply Chain Standard shall apply to any organization throughout the supply chain that takes legal ownership and physically handles RSPO Certified Sustainable oil palm products at a location under the control of the organization including outsourced contractors. After the end product manufacturer, there is no further requirement for certification.	PT Socfin Indonesia – Negeri Lama POM is part of the RSPO supply chain, as the organization takes legal ownership and physically handles RSPO Certified Sustainable oil palm products – therefore this requirement is applicable. The site receive RSPO certified FFB, processed into CPO and PK and sales the market.	Yes
5.1.2	Traders and distributors require a licence obtained from RSPO Secretariat to sell RSPO certified product but do not themselves require certification. When selling RSPO certified products, a licensed trader and/or distributor shall pass on the certification number of the product manufacturer and the applicable supply chain model.	PT Socfin Indonesia – Negeri Lama POM is not a trader or distributors, therefore this indicator is not applicable.	N/A
5.1.3	Either the operator at site level or its parent company seeking certification shall be a member of the RSPO and shall register on the RSPO IT platform.	Previously PT Socfin Indonesia was a registered RSPO member with membership number 1-0017-04-000-00, since 7 February 2004. Currently PT Socfin Indonesia registered as a member of Socfin SA, with RSPO membership number 1-0269-19-000-00, since 16 February 2019 as seen in website address https://www.rspo.org/members/8070/Socfin-SA . The reason of the change is because the commitment of Socfin’s commissioner to certify all of their oil palm plantation under the RSPO scheme. PT Socfin Indonesia – Negeri Lama POM has been registered in RSPO IT Paltform (PalmTrace) with registered ID number RSPO_PO1000001250.	Yes

5.1.4	Processing aids do not need to be included within an organization’s scope of certification.	PT Socfin Indonesia – Negeri Lama POM does not include any processing aid into organization’s scope of certification.	Yes
5.2 Supply chain model			
5.2.1	The site can only use the same supply chain model as its supplier or go to a less strict system. Declassification/downgrading can only be done in the following order: Identity Preserved -> Segregated -> Mass Balance.	The site is a palm oil mill that uses RSPO supply chain model Identity Preserved (IP), therefore they can only process FFB from certified sources. The site aware that they can claim their product (CPO and PK) as Identity Preserved.	Yes
5.2.2	The site can use one (1) or a combination of supply chain models as audited and certified by the CB.	PT Socfin Indonesia – Negeri Lama POM only uses RSPO supply chain system model Identity Preserved (IP).	Yes
5.3. Documented Procedures			
5.3.1	The site shall have written procedures and/or work instructions or equivalent to ensure the implementation of all elements of the applicable supply chain model specified. This shall include at minimum the following: <ul style="list-style-type: none"> • Complete and up to date procedures covering the implementation of all the elements of the supply chain model requirements. 	PT Socfin Indonesia has established complete and up to date procedures to implement RSPO supply chain requirements in Negeri Lama POM: <ol style="list-style-type: none"> 1. “Prosedur Supply Chain Certification Standard – Identity Preserved” document No. SOC/PSM/9.10 rev.07 dated 4 September 2018. The procedure covers FFB receiving and its records, FFB process and its records, production records, delivery of product, daily production report, contract and DO issuance, record keeping, abnormal conditions, report of projected over production to CB, Shipping Anouncemnet in PalmTrace, PIC of RSPO SCCS, processing on the day change from MB to IP, and outsourcing process. 2. “Prosedur Internal Audit Sistem Manajement” No.SOC/PSM/8.02 Rev.06 dated 15/05/2017; described planning and preparation of internal audit that conducted once a year at minimum; audit implementation, findings; corrective action and audit report. 	Yes

		<p>3. "Prosedur Penanganan Keluhan Sosial" No.SOC/PSM/9.02 Rev.06 dated 15/09/2018 described mechanism of complaint handling mechanism.</p> <p>4. "Prosedur Pengiriman MKS/IKS dan Cangkang dengan Transportasi darat" No.SOC-POM/PSM/7.06 Rev.04 dated 01/01/2017, described delivery of CPO and PK from Palm Oil Mill to buyer or storage tank.</p>	
	<ul style="list-style-type: none"> Complete and up to date records and reports that demonstrate compliance with the supply chain model requirements (including training records). 	<p>Negeri Lama POM has maintained complete and up to date records and reports that demonstrated compliance with the RSPO Supply Chain model Identity Preserved, among others: "Buku Collection Trip" (FFB Delivery Note); Weighbridge ticket; "Laporan Jumlah Janjang per Blok" (total bunches); "Laporan pemeriksaan Bahan Baku Per Blok" (supply base verification); Daily Production Report; Monthly production report; CPO/PK Delivery Note.</p>	Yes
	<ul style="list-style-type: none"> Identification of the role of the person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the organization's procedures for the implementation of this standard. 	<p>Identification of the person having overall responsibility for RSPO Supply Chain implementation is Mr. Arifin Marpaung based on Manager Decree letter no. NL/Div/014.a/17 dated 1 March 2017. During audit, the person was able to demonstrated awareness of the organization's procedures for the implementation of the RSPO Supply Chain requirements.</p>	Yes
5.3.2	<p>The site shall have a written procedure to conduct annual internal audit to determine whether the organization;</p> <p>i) conforms to the requirements in the RSPO Supply Chain Certification Standard and the RSPO Market Communications and Claims Documents.</p>	<p>As per "Prosedur Audit Internal Sistem Manajemen" No.SOC/PSM/8.02 revisi 06 dated 15/05/2017, described Sustainability Manager or Team conducted internal audit and management review to ensure all operational and documentation activities are comply to the requirement in RSPO Supply Chain Certification Standard and the RSPO Market Communications and Claims Documents. The internal audit and management review planned once a year at minimum.</p>	Yes
	<p>ii) effectively implements and maintains the standard requirements within its organization</p>	<p>The site has effectively implements and maintains the standard requirement by performing internal audit. Latest RSPO SCC</p>	Yes

		Internal audit in Negeri Lama POM carried out on 25 September 2018 by Mr. Hasan Bisri, against RSPO SCC Standard 2017. Audit results were evidence, including audit check list and attendance register.	
5.4. Purchasing and goods in			
5.4.1	<p>The receiving site shall ensure that purchases of RSPO certified oil palm products are in compliance and the following minimum information for RSPO certified products is made available by the supplier in document form:</p> <ul style="list-style-type: none"> • The name and address of the buyer; • The name and address of the seller; • The loading or shipment/delivery date; • The date on which the documents were issued; • A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations); • The quantity of the products delivered; • Any related transport documentation; • Supply Chain certificate number of the seller; • A unique identification number 	<p>Negeri Lama POM only received FFB from certified source, which is Negeri Lama Estate. Transportation from field to palm oil mill are using locomotive and its rail. From the process observed, there is no FFB contamination found.</p> <p>Document FFB delivery note and Weighbridge Card described identity and location of FFB source and other item required, e.g. locomotive number and type, product delivered, date of delivery, trip number, division, weighbridge card number, lorry number, gross weigh, tarra weigh and nett weigh, signed by driver, weighbride clerk and administration staff.</p> <p>Movement of FFB from Negeri Lama Estate to Negeri Lama POM are not sales transaction, it is under the control of same entity, PT Socfin Indonesia. The certification of the supply base is fall under the palm oil mill, PT Socfin Indonesia – Negeri Lama POM, therefore a check of the validity of the Supply Chain Certificate is not necessary.</p>	Yes
	<ul style="list-style-type: none"> • Information shall be complete and can be presented either on a single document or across a range of documents issued for RSPO certified oil palm products (for example, delivery notes, shipping documents and specification documentation). 	Information of FFB supplied are presented in the delivery note and weighbridge card.	Yes
	<ul style="list-style-type: none"> • The site receiving RSPO certified oil palm products shall ensure that the products are verified as being RSPO certified. For sites that are required to announce and confirm trades in the RSPO IT platform, this shall include making Shipping Announcements/Announcements and 	Movement of FFB from Negeri Lama Estate to Negeri Lama POM are not sales transaction, it is under the control of same entity, PT Socfin Indonesia. The certification of the supply base is fall under the palm oil mill, PT Socfin Indonesia – Negeri Lama POM,	Yes

	Confirmations on the RSPO IT platform per shipment or group shipments. Refer to section 5.7.1 of this document for further guidance.	therefore a check of the validity of the Supply Chain Certificate is not necessary.	
	<ul style="list-style-type: none"> A check of the validity of the Supply Chain Certification of suppliers is required for all sites that are SC certified. This shall be checked via the list of RSPO Supply Chain Certified sites on the RSPO website (www.rspo.org) at least annually or through the RSPO IT Platform by confirmation of (shipping) announcements. 	Movement of FFB from Negeri Lama Estate to Negeri Lama POM are not sales transaction, it is under the control of same entity, PT Socfin Indonesia. The certification of the supply base is fall under the palm oil mill, PT Socfin Indonesia – Negeri Lama POM, therefore a check of the validity of the Supply Chain Certificate is not necessary.	Yes
	<ul style="list-style-type: none"> The validity of licence for traders and distributors shall also be checked via the RSPO website at least annually or through the RSPO IT platform by confirmation of shipping announcements / announcements. 	Negeri Lama POM only receive and process FFB from Negeri Lama Estate, Negeri Lama POM has never receive any FFB from traders or distributors, therefor this clause is not applicable.	N/A
5.4.2	The site shall have a mechanism in place for handling non-conforming oil palm products and/or documents.	Mechanism for handling non-conforming oil palm product and/or documents has been described in "Prosedur Supply Chain Certification Standard – Identity Preserved" (SOC/PSM/ 9.10) Rev.07 dated 4 September 2018, Section 5.1.6. The mechanism is by report to Assisstant or Factory Manager, then Factory Manager who decide whether it accepted or returned. Up to this moment, there is no non-conformity regarding document or material entering the Mill.	Yes
5.5. Outsourcing activities			
5.5.1	In cases where an operation seeking or holding certification outsources activities to independent third parties (e.g. subcontractors for storage, transport or other outsourced activities), the operation seeking or holding certification shall ensure that the independent third party complies with the requirements of the RSPO Supply Chain Certification Standard. A CPO mill and independement mil cannot outsource processing activities like refining or crushing.	The organization use third party contractor for transportation of certified product, CSPO and CSPK. PT Socfin Indonesia Negeri Lama POM only operate one contractor for delivery of CSPO and CSPK, which is PT Gunung Kawi Sukses Makmur. Valid contract were available, e.g.: <ol style="list-style-type: none"> 1. PD-GM/X/505/2018 dated 24/12/2018 for transport of CPO, valid until 31 December 2019. 2. PD-GM/X/506/2018 dated 24/12/2018 fro transport of PK, valid until 31 December 2019. 	Yes

	<p>This requirement is not applicable to outsourced storage facilities where the management of the oil palm product(s) and instructions for tank movements are controlled by the certified organization (not the tank farm manager).</p>	<p>PT Socfin Indonesia ensure that the third party complies with the RSPO Supply Chain Certification Standard requirements through contract/agreement signed by both side. Chapter III (term and conditions) of the contract mentioned that:</p> <ul style="list-style-type: none"> a. The contractor understood the supply chain type of the product transported based on "Surat Pengantrat Barang". b. Understood the procedure of all product type transported based on supply chain model of the Palm Oil Mill. c. Ready to be visited by CB during RSPO audit to see operational and administration activities or others in relation with transport of CSPO and CSPK. 	
5.5.2	<p>Sites which include outsourcing within the scope of their RSPO Supply Chain certificate shall ensure the following:</p> <ul style="list-style-type: none"> a. The site has legal ownership of all input material to be included in outsourced processes; 	<p>PT Socfin Indonesia – Negeri Lama POM has legal ownership of the CPO and PK delivered by the independent third party.</p>	Yes
	<ul style="list-style-type: none"> b. The site has an agreement or contract covering the outsourced process with each contractor through a signed and enforceable agreement with the contractor. The onus is on the site to ensure that certification bodies (CBs) have access to the outsourcing contractor or operation if an audit is deemed necessary. 	<p>PT Socfin Indonesia – Negeri Lama POM have "Surat Perjanjian Pengangkutan" (contract) signed by both party, PT Socfin Indonesia and the contractor as follows:</p> <ul style="list-style-type: none"> 1. CPO: PD-GM/X/505/2018 dated 24/12/2018 for transport of CPO, valid until 31 December 2019. 2. PK: PD-GM/X/506/2018 dated 24/12/2018 fro transport of PK, valid until 31 December 2019. <p>PT Socfin Indonesia ensure that the third party complies with the RSPO Supply Chain Certification Standard requirements through contract/agreement signed by both side. Chapter III (term and conditions) of the contract mentioned that:</p>	Yes

		<ul style="list-style-type: none"> a. The contractor understood the supply chain type of the product transported based on "Surat Pengantrat Barang". b. Understood the procedure of all product type transported based on supply chain model of the Palm Oil Mill. c. Ready to be visited by CB during RSPO audit to see operational and administration activities or others in relation with transport of CSPO and CSPK. 	
	<p>c. The site has a documented control system with explicit procedures for the outsourced process which is communicated to the relevant contractor.</p>	<p>PT Socfin Indonesia has procedure of supply chain under "Prosedur Supply Chain Standard – Identity Preserved" (SOC/PSM/9.10) Rev.10 dated 4 September 2018 which explicitly described the requirement of outsourcing process, which is transport of CPO and PK from Palm Oil Mill to buyers. The requirement stated that:</p> <ul style="list-style-type: none"> a. Ensure that trucks are in clean and empty prior to CPO or PK loading, refer to procedure "Pengiriman Produksi dengan Transportasi Darat (SOC-POM/PSM/7.06). b. Ensure that trucks are only loaded by CPO or PK from PT Socfin Indonesia Palm Oil Mill. c. Ensure that trucks are not loaded by other CPO or PK from others during transport by sealing truck tank after loading, refer to procedure "Pengiriman Produksi dengan Transportasi Darat (SOC-POM/PSM/7.06). <p>The procedure has been communicated to related contractors through the signment of contract on 24 December 2018. In Chapter III (term and conditions) of the contract mentioned that:</p>	<p>Yes</p>

		<ul style="list-style-type: none"> a. The contractor understood the supply chain type of the product transported based on "Surat Pengantrat Barang". b. Understood the procedure of all product type transported based on supply chain model of the Palm Oil Mill. c. Ready to be visited by CB during RSPO audit to see operational and administration activities or others in relation with transport of CSPO and CSPK. 	
	<p>d. The site seeking or holding certification shall furthermore ensure (e.g. through contractual arrangements) that independent third parties engaged provide relevant access for duly accredited CBs to their respective operations, systems, and any and all information, when this is announced in advance.</p>	<p>In Chapter III (term and conditions) of the contract mentioned that:</p> <ul style="list-style-type: none"> a. The contractor understood the supply chain type of the product transported based on "Surat Pengantrat Barang". b. Understood the procedure of all product type transported based on supply chain model of the Palm Oil Mill. c. Ready to be visited by CB during RSPO audit to see operational and administration activities or others in relation with transport of CSPO and CSPK. 	Yes
5.5.3	The site shall record the names and contact details of all contractors used for the processing or physical handling of RSPO certified oil palm products.	Currently PT Socfin Indoneisa – Negeri Lama POM only use one contractor for transport of CPO and PK, which is PT Gunung Kawi Sukses Makmur. The contact detail is Mr. Sumida as the Director.	Yes
5.5.4	The site shall at its next audit inform its CB of the names and contact details of any new contractor used for the processing or physical handling of RSPO certified oil palm products.	The documented procedure of supply chain, "Prosedur Supply Chain Standard – Identity Preserved" (SOC/PSM/9.10) Rev.10 dated 4 September 2018, in section 5.13.6 has explicitly described that the site will inform CB if there is addition or change in contractor used.	Yes
5.6. Sales and goods out			

<p>5.6.1</p>	<p>The supplying site shall ensure that the following minimum information for RSPO certified products is made available in document form.</p> <ul style="list-style-type: none"> • The name and address of the buyer; • The name and address of the seller; • The loading or shipment/ delivery date; • The date on which the documents were issued; • A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations); • The quantity of the products delivered; • Any related transport documentation; • Supply chain certificate number of the seller; • A unique identification number 	<p>PT Socfin Indonesia – Negeri Lama POM has shown records that include minimum information required for RSPO certified product. During this period of assessment, the site sold RSPO certified CPO to PT Multimas Nabati Asahan, whilst RSPO certified PK to PT Multimas Nabati Asahan and PT Musim Mas.</p> <p>Record seen:</p> <ul style="list-style-type: none"> • “Kontrak Penjualan Lokal” No. 40009755 dated 22 January 2019; described the seller name is PT Socfin Indonesia; at Jl. K.L. Yos Sudarso No.105 Medan Barat, Sumatera Utara; the buyer name is PT Multimas Nabati Asahan; at Gedung B&G Tower Lantai 9, Jalan Putri Hijau No.10 Kesawan, Medan Barat, Sumatera Utara; product name is Crude Palm Oil (CPO); quality is RSPO IP Certified; quantity is 1,000 Ton; time of delivery is January – February 2019. • Delivery Order No.300020803 dated 22 January 2019 described the name of the buyer is PT Multimas Nabati Asahan, address Kawasan Berikat PT MNA at Kuala Tanjung; the name of the Seller is PT Socfin Indonesia – Negeri Lama; date of document issued is 22/01/2019; description of product is Crude Palm Oil (CPO); quality RSPO Certified IP; quantity is 200 Ton; related Contract number 40009755; Unique Identification Number is 40009755; transporter PT Gunung Kawi Sukses Makmur. • Weighbridge Card No. WD/GST 9600/2019/000193 dated 30/01/2019 described the transporter is PT Gunung Kawi Sukses Makmur, BK 8969 GK; the name of sender is PT Socfin Indonesia – Negeri Lama POM; the name of the buyer is PT Multimas Nabati Asahan; delivery date and date of document issued is 	<p>Major NC Yes comply</p>
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		<p>30/01/2019; description of product is CPO; quantity is 18,020 kg; related transport document is Delivery Note No.085/NL/1/2019 and Contract No.40009755.</p> <ul style="list-style-type: none"> • Delivery Note No.1110000012/085/NL/1/2019 dated 30/01/2019; from PT Socfin Indonesia – Negeri Lama POM; to PT Multimas Nabati Asahan; vehicle No. BK 8969 GK; product is CPO; supply chain is RSPO Certified IP; quantity is 18,020 kg; seal number 0464895-0464900; related transport document: WB ticket No.WD/GST 9600/2019/000193, DO No. 300020803; unique identification number is 40009755. • “Kontrak Penjualan Lokal” No. 40009741 dated 16 January 2019; described the seller name is PT Socfin Indonesia; at Jl. K.L. Yos Sudarso No.105 Medan Barat, Sumatera Utara; the buyer name is PT Musim Mas; at Jl. K.L. Yos Sudarso KM7,8 Tanjung Mulia, Medan Deli, Medan 20241; product name is Palm Kernel (PK); quality is RSPO IP Certified; quantity is 1,000 Ton; time of delivery is January – February 2019. • Delivery Order No.300020778 dated 16 January 2019 described the name of the buyer is PT Musim Mas, address Kawasan Berikat KIM I; the name of the Seller is PT Socfin Indonesia – Negeri Lama; date of document issued is 16/01/2019; description of product is Palm Kernel (PK); quality RSPO Certified IP; quantity is 90 Ton; related Contract number 40009741; Unique Identification Number is 40009741; transporter PT Gunung Kawi Sukses Makmur. • Weighbridge Card No. WD/GST 9600/2019/000157 dated 25/01/2019 described the transporter is PT Gunung Kawi Sukses Makmur, BK 8839 GK; the name of sender is PT Socfin Indonesia – Negeri Lama POM; 	
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		<p>the name of the buyer is PT Musim Mas; delivery date and date of document issued is 25/01/2019; description of product is PK; quantity is 17,120 kg; related transport document is Delivery Note No.076/NL/1/2019 and Contract No.40009741.</p> <ul style="list-style-type: none"> • Delivery Note No.1120000008/076/NL/1/2019 dated 25/01/2019; from PT Socfin Indonesia – Negeri Lama POM; to PT Musim Mas; vehicle No. BK 8839 GK; product is PK; supply chain is RSPO Certified IP; quantity is 17,120 kg; seal number 0464838-0464844; related transport document: WB ticket No.WD/GST 9600/2019/000157, DO No. 300020778; unique identification number is 40009741. <p>Major Non-conformity: Based on document review of contract, delivery order, weighbridge card and delivery note, none of the document stated Supply chain certificate number of the seller.</p> <p>Correction:</p> <ul style="list-style-type: none"> - Make the RSPO stamp accompanied by the RSPO Certificate No, replace the old stamp using a stamp that has an RSPO certificate number. - PIC in site location does not know that it must be accompanied by a certificate number. - The Sustainability Team gave out information to expedition officers in the Lama Lama's garden and related staff so that each document was given a complete stamp with a certificate number, and replaced the stamp with no certificate number with a stamp that was completed with the certificate number. 	
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	<ul style="list-style-type: none"> Information shall be complete and can be presented either on a single document or across a range of documents issued for RSPO certified oil palm products (for example, delivery notes, shipping documents and specification documentation). 	Information is presented on across a range of documents, such as contract, Delivery Order, Weighbridge Card and Delivery Note.	Yes
	<ul style="list-style-type: none"> For sites that are required to announce and confirm trades in the RSPO IT platform, this shall include making Shipping Announcements / Announcements and Confirmations on the RSPO IT platform per shipment or group of shipments. Refer to section 5.7.1 of this document for further guidance. 	<p>PT Socfin Indonesia – Negeri Lama POM has registered all of their transaction consist of Shipping Announcement in RSPO IT Platform (PalmTrace).</p> <p>Sample of Shipping Announcement:</p> <ul style="list-style-type: none"> Transaction ID TR-5724ca5f-3dad dated 02/02/2019; Seller is PT Socfin Indonesia – Negeri Lama POM; Buyer is PT Multimas Nabati Asahan; Product CSPO; Program IP; Volume 200 MT; Transaction Type: Shipping; Status: Confirmed on 14/02/2019; Based on Delivery Order No. 300020803, Contract No. 40009755. Transaction ID TR-8d3bc160-9142 dated 14/02/2019; Seller is PT Socfin Indonesia – Negeri Lama POM; Buyer is PT Musim Mas; Product CSPK; Program IP; Volume 90 MT; Transaction Type: Shipping; Status: Announced; Based on Delivery Order No. 300020778, Contract No. 40009741. 	Yes
5.7. Registration of transactions			
5.7.1	<p>Supply chain actors who:</p> <ul style="list-style-type: none"> are mills, traders, crushers and refineries and; take legal ownership and/or physically handle RSPO Certified Sustainable oil palm products that are available in the yield scheme of the RSPO IT Platform (Figure 2 and 3, Refer Annex 1) shall register their transaction in the RSPO IT platform and confirm upon receipt where applicable. 	The site is a Palm Oil Mill which take legal ownership and physically handle RSPO certified sustainable oil palm product, has registered their transaction in RSPO IT Platform (PalmTrace).	Yes

5.7.2	<p>The involved supply chain actors mentioned in 5.7.1 shall do the following actions in the RSPO IT Platform:</p> <ul style="list-style-type: none"> Shipping Announcement / Announcement: When RSPO certified volume is sold as certified, the volumes of products that are in the yield scheme (Figure 2 and 3, refer Annex 1) shall be registered as a Shipping Announcement / Announcement in the RSPO IT Platform. The declaration time to do Shipping announcement / Announcement is based on members' own standard operating procedures. 	<p>Sample of Shipping Announcement:</p> <ul style="list-style-type: none"> Transaction ID TR-5724ca5f-3dad dated 02/02/2019; Seller is PT Socfin Indonesia – Negeri Lama POM; Buyer is PT Multimas Nabati Asahan; Product CSPO; Program IP; Volume 200 MT; Transaction Type: Shipping; Status: Confirmed on 14/02/2019; Based on Delivery Order No. 300020803, Contract No. 40009755. Transaction ID TR-8d3bc160-9142 dated 14/02/2019; Seller is PT Socfin Indonesia – Negeri Lama POM; Buyer is PT Musim Mas; Product CSPK; Program IP; Volume 90 MT; Transaction Type: Shipping; Status: Announced; Based on Delivery Order No. 300020778, Contract No. 40009741. 	Yes
	<ul style="list-style-type: none"> Trace: When RSPO certified volumes are sold as RSPO certified to actors in the supply chain beyond the refinery, the volume shall be traced at least annually. Tracing triggers the generation of a trace document with a unique traceability number. Tracing can be done in a consolidated way at least annually. 	The site is a Palm Oil Mill that never sold any oil palm product to supply chain actors beyond the refinery.	Yes
	<ul style="list-style-type: none"> Remove: RSPO certified volumes sold under other scheme or as conventional, or in case of underproduction, loss or damage shall be removed. 	PT Socfin Indonesia – Negeri Lama POM has never sold any oil palm product under other scheme or as conventional.	Yes
	<ul style="list-style-type: none"> Confirm: Acknowledge the purchase of RSPO certified volume by confirming Shipping Announcements / Announcements. 	The site is a Palm Oil Mill that never bought any oil palm product from other supply chain actor.	Yes
5.8. Training			
5.8.1	The organization shall have a training plan on RSPO Supply Chain Standards requirements, which is subject to on-going review and is supported by records of the training provided to staff.	PT Socfin Indonesia – Negeri Lama POM has prepared a training program to staff, who are involved in RSPO Supply Chain Certification Standard implementation. As per training program, “Daftar Rencana Pelatihan Tahun 2019” the RSPO supply chain refreshment training is planed in May 2019. The training program is subjected to on-going review.	Yes

		Competency and training records of all staff involved in RSPO Supply Chain were able to be demonstrated.	
5.8.2	Appropriate training shall be provided by the organization for personnel carrying out the tasks critical to the effective implementation of the supply chain certification standard requirements. Training shall be specific and relevant to the task(s) performed.	<p>Latest training on RSPO Supply Chain performed on 7 September 2018 attended by all personel responsible to RSPO Supply Chain requirements, e.g. weighbridge clerk, expedition clerk, laboratory staff, Tekniker II and Tekniker I.</p> <p>Sample training record seen: Record of training, e.i minute of dissemination of RSPO SCCS version 2017 dated 7 September 2018 covering: General requirement and Supply chain model requirement.</p>	Yes
5.9. Record Keeping			
5.9.1	The organization shall maintain accurate, complete, up-to-date and accessible records and reports covering all aspects of these RSPO Supply Chain Certification Standard requirements.	The organization has maintained accurate, complete, up-to-date and accessible records and reports covering all aspects of RSPO Supply Chain requirements, as evident in "Laporan Produksi Harian", "Berita Acara Pengukuran dan Perhitungan Stok CPO", "Kontrak Penjualan Lokal", Delivery Order, Weighbridge Card and Delivery Note.	Yes
5.9.2	Retention times for all records and reports shall be a minimum of two (2) years and shall comply with legal and regulatory requirements and be able to confirm the certified status of raw materials or products held in stock.	The procedure "Prosedur Supply Chain Certification Standard – Identity Preserved" No.SOC/PSM/9.10 rev.07 dated 04/09/2018, section 5.7 requires that all related records and reports, e.g. FFB receiving, Laporan Produksi Harian, Contract, Delivery Order, Weighbridge Card and Delivery Note must be keep for a period of minimum five (5) years. Record verification confirms record as early as 2015 are still maintained.	Yes
5.9.3	The organization shall be able to provide the estimate volume of palm oil/palm kernel oil content (separate categories) in the RSPO certified oil palm product and keep an up to date record of the volume purchased (input) and claimed (output) over a period of twelve (12) months.	The organization is able to provided estimate volume of CPO and PK in a year period as in Annual Budget, consists of Production of FFB, CPO and PK. The organization also keep an up to date record of the FFB volume received, CPO and PK	Yes

		produced over a period of twelve (12) month, as in "Laporan Produksi Bulanan".	
5.10. Conversion factors			
5.10.1	Where applicable a conversion rate shall be applied to provide a reliable estimate for the amount of certified output available from the associated inputs. Organizations may determine and set their own conversion rates which shall be based upon past experience, documented and applied consistently. Guidance on conversion rates is published on the RSPO website (www.rspo.org); RSPO Rules for Physical Transition of Oleochemicals and its Derivaties. This is relevant for derivatives of Palm Oil and Palm Kernel Oil, as used in the oleochemical and personal care industries.	The site has determined and set their own conversion rates be based upon past experience defined as Oil Extraction Rate (OER) and and Kernel Extraction Rate (KER). The site has set OER for budget 2019 as 23.10% and KER as 4.40%.	Yes
5.10.2	Conversion rates shall be periodically updated to ensure accuracy against actual performance or industry average if appropriate.	The site has annually update OER and KER to ensure accuracy against actual performance. The recorded actual OER and KER as in average January to December 2018 OER is 23.22% and KER is 4.78%.	Yes
5.11. Claims			
5.11.1	The site shall only make claims regarding the use of or support of RSPO certified oil palm products that are in compliance with the RSPO Rules on Market Communications and Claims.	<p>The site does not made any claims outside of the RSPO Rules on Market Communications and Claims. The company has prepared a procedure "Prosedur Komunikasi dan Klaim Minyak Sawit Bersertifikat RSPO" No.SOC/PSM/9.12" dated 01/09/2015. The procedure clearly stated that PT Socfin Indonesia did not make any claims regarding the use of RSPO trademark.</p> <p>Based on field visit and interview with relevant staff, it demonstrated good understanding on the use of RSPO corporate logo and RSPO trademark on product.</p>	Yes

General corporate communications			
4.1	<p>A corporate communication is one made by any RSPO member that highlights its membership of the RSPO and/or its commitment to the principles of the RSPO. Corporate communication is an 'off-product' claim.</p>	<p>Previously PT Socfin Indonesia was a registered RSPO member with membership number 1-0017-04-000-00, since 7 February 2004. Currently PT Socfin Indonesia registered as a member of Socfin SA, with RSPO membership number 1-0269-19-000-00, since 16 February 2019 as seen in website address https://www.rspo.org/members/8070/Socfin-SA. The reason of the change is because the commitment of Socfin's commissioner to certify all of their oil palm plantation under the RSPO scheme. The corporate communication of Socfin Group can found in website address http://www.socfin.com.</p>	Yes
4.2	<p>In corporate communications a member is allowed to:</p> <ul style="list-style-type: none"> a. Display its RSPO membership status b. Display the RSPO web address (www.rspo.org) c. State that the member supports the work of the RSPO d. State the member's history with regard to the RSPO. e. Use the RSPO trademark to promote its membership of the RSPO. <p>Additionally, where an RSPO member displays the RSPO trademark in digital format this must be accompanied by the text 'Check our progress at www.rspo.org' where the link must lead to the member's profile page.</p>	<ul style="list-style-type: none"> a. Display its RSPO membership status: In the website Socfin Group did not its RSPO membership status, however Socfin Group display that the company has eleven (11) units RSPO certified under PT Socfindo (Socfin Indonesia), including two (2) unit RSPO SCC certified. b. Display the RSPO web address (www.rspo.org): The website has a link to www.rspo.org in certification tab>connections>RSPO, at address: https://www.socfin.com/fr/certifications. c. State that the member supports the work of the RSPO: not in direct manner, however in the website Socfin Group stated: "The Socfin Group, from its beginnings in 1909, has always been attentive to its social and environmental impact in the countries where it operates. Aware of the development challenges that are evolving, the Socfin Group is constantly working to improve its activities in order to be the leader in responsible tropical agriculture". d. State the member's history with regard to the RSPO: the website display link to RSPO certificate of each unit certified. 	Yes

		e. Use the RSPO trademark to promote its membership of the RSPO: the website does not display RSPO trademark.	
4.3	In corporate communications RSPO members must not make any statement that may lead consumers to believe that RSPO membership by itself implies the selling of RSPO-certified oil palm products.	In the website, Socfin Group does not make any statement that may lead consumers to believe that RSPO membership by itself implies the selling of RSPO-certified oil palm products.	Yes
4.4	Members must ensure that all communication is consistent, clear and cannot mislead consumers or other stakeholders as to the certified content of oil palm products in the member's own products.	In the website, Socfin Group ensure that all communication is consistent, clear and cannot mislead consumers or other stakeholders as to the certified content of oil palm products in the member's own products.	Yes
4.5	Members are not allowed to use the RSPO corporate logo as shown in the RSPO Rules on Market Communications & Claims document. This is for the sole use of the RSPO secretariat.	In the website, Socfin Group does not use the RSPO corporate logo as shown in the RSPO Rules on Market Communications & Claims document.	Yes
Business to business communications			
5.1	Business to Business communication relates to RSPO members in the supply chain selling to and/or communicating with other organizations in the supply chain about the use of certified sustainable oil palm products.	PT Socfin Indonesia stated in sales documents, e.g. "Kontrak Penjualan Lokal" and Delivery Order that the product sold is RSPO Certified CPO or RSPO Certified PK model IP.	Yes
5.2	When confirming the sale of certified oil palm products, members must adhere to the requirements of the RSPO SCCS. This includes stating the supply chain model and certificate number under which the claim is being made.	It was verified that when selling certified oil palm product, PT Socfin Indonesia stated the supply chain model IP and, e.g. in "Kontrak Penjualan Lokal" and Delivery Order.	Yes
5.3	Where a distributor or wholesaler takes title to products containing certified sustainable oil palm products, the requirements of the RSPO SCCS can follow either of two options: a. If the distributor or wholesaler holds only a Distributor license, it may only communicate RSPO-certified oil palm products by linking the product to the manufacturer using the manufacturer's SCCS	PT Socfin Indonesia – Negeri Lama POM is not a distributor or wholesaler, the site is a storage tank that only receive, stored and dispatch CPO. Not applicable.	N/A

	<p>certificate number. This covers both brand and own brand products. However, in the case of own brand products it is essential that customers are aware that the product has been made on behalf of the distributor or wholesaler, with specific evidence either through on-pack claims or documentation.</p> <p>b. If the distributor or wholesaler is supply chain-certified they should follow the requirements outlined in section 5.2.</p>		
5.4	<p>A certified member can provide information to its customers detailing the presence of certified palm oil contained within a product even if it is not eligible for a product-specific under RSPO rules. The end product must not be labelled as certified or sold in such a way that implies RSPO certification.</p> <p>For example, a retailer or food service company may require a breakdown of all palm based ingredients within an end product and the certified status of each. This information may be provided by a certified RSPO member without constituting a product-specific claim.</p>	<p>PT Socfin Indonesia – Negeri Lama POM is not an end-product producer, the site is a storage tank that only receive, stored and dispatch CPO.</p> <p>Not applicable.</p>	N/A
Business to consumer communication			
6.1	<p>Only RSPO members that have supply chain certification are allowed to make business to consumer claims about the certified sustainable oil palm products contained within product(s), which are known as 'product-specific' claims. Product-specific claims are voluntary.</p>	<p>PT Socfin Indonesia – Negeri Lama POM is an RSPO certificate holder with previous certificate number FMS40084 issued by Sai Global on 10 March 2016. The certificate holder sold its oil palm product in bulk, no product label attached. No 'product-specific' claims are used.</p> <p>Not applicable.</p>	N/A
6.2	<p>Only RSPO members who have supply chain certification are authorised to use the RSPO trademark and/or RSPO label, with the exception of RSPO Credits and of retailers in accordance with 6.8 below.</p>	<p>PT Socfin Indonesia – Negeri Lama POM is an RSPO certificate holder with previous certificate number FMS40084 issued by Sai Global on 10 March 2016. The certificate holder sold its oil palm product in bulk, no RSPO trademark attached.</p>	N/A

		Not applicable.	
6.3	When on-pack claims on RSPO-certified sustainable oil palm products are used, the RSPO trademark and associated identification number must be present.	PT Socfin Indonesia – Negeri Lama POM sold its oil palm product in bulk, no product pack are used. Not applicable.	N/A
6.4	Business to consumer communication shall not include information about the claimant’s RSPO membership status.	PT Socfin Indonesia – Negeri Lama POM communication has not stated information about the claimant’s RSPO membership status.	Yes
6.5	Members shall not communicate to consumers information about their suppliers’ RSPO membership status.	PT Socfin Indonesia – Negeri Lama POM is certified RSPO P&C, selling CSPO and CSPK. PT Socfin Indonesia – Negeri Lama POM and the parent compant - Socfin Group did not make any communication about their supplier’s RSPO membership status.	Yes
6.6	Use of the RSPO trademark is restricted to claims about RSPO-certified sustainable palm oil products and it is not authorised for use in relation to any other ingredient.	The site sold its oil palm product in bulk, up to this moment, PT Socfin Indonesia – Negeri Lama POM has not use RSPO trademark.	Yes
6.7	Use of any other trademark or logo to highlight the presence of RSPO-certified sustainable oil palm products is an unauthorised product-specific claim.	Up to this moment, PT Socfin Indonesia – Negeri Lama POM has not use any other trademark or logo to highlight the presence of RSPO-certified sustainable oil palm products.	Yes
6.8	RSPO members who are retailers or food service companies can apply for an RSPO trademark license for use in business to consumer communications, provided they can demonstrate the validity of these claims to an RSPO-accredited certification body (CB). This will be undertaken via a remote audit, prior to the trademark use, during which the retailer or food service company will need to demonstrate that the use of the trademark is in compliance with the rules contained within this document and that the claim itself can be supported through a certified supply chain. Any other palm oil claims, including those highlighting the	PT Socfin Indonesia – Negeri Lama POM is not a retailer or food service company. Not applicable.	N/A

	<p>absence of palm oil, must be highlighted to the CB during the audit to ensure that all claims comply with the requirements of these rules. The CB will confirm the outcome of these audits, to be conducted annually, to RSPO who may continue to grant a trademark license or withdraw permission based upon the audit findings. This is in keeping with the rules applying to RSPO supply chain certified members. The guidance document for audits is available on www.rspo.org.</p>		
<p>MODULE A – IDENTITY PRESERVED & SEGREGATED SPECIFIC RULES</p>			
<p>Auditor Hint:</p>			
<p>This specific rules shall be audited concurrently with the relevant Module A and Module B (including Module F & G) under the Supply Chain Modular Requirements</p>			
<p>Certified oil palm content (IP)</p>			
	<p>For IP, 95% or above of the oil palm content must be RSPO IP-certified.</p>	<p>PT Socfin Indonesia – Negeri Lama POM implemented Module D - CPO Mills: Identity Preserved, therefore this specific rules are not applicable.</p>	<p>N/A</p>
	<p>For SG, 95% or above of the oil palm content must be SG, or a combination of SG and IP.</p>	<p>PT Socfin Indonesia – Negeri Lama POM implemented Module D - CPO Mills: Identity Preserved, therefore this specific rules are not applicable.</p>	<p>N/A</p>
	<p>Where there is any percentage of non-certified oil palm within the product, the reason for this must be fully justified and an action plan for moving to fully certified oil palm must be in place, in accordance with the requirements of the RSPO SCCS. In addition, the volume of non-certified oil palm products must be covered by the purchase of RSPO Credits of equivalent volume.</p>	<p>PT Socfin Indonesia – Negeri Lama POM implemented Module D - CPO Mills: Identity Preserved, therefore this specific rules are not applicable.</p>	<p>N/A</p>
<p>Labelling and trademark (IP)</p>			
	<p>Members are allowed to use the RSPO label in one of the following ways: a. RSPO trademark which includes the tag 'CERTIFIED' or b. RSPO trademark which includes the tag 'This product contains certified sustainable palm oil'. Wherever a RSPO trademark is displayed, the applicable trademark license number must be shown</p>	<p>PT Socfin Indonesia – Negeri Lama POM implemented Module D - CPO Mills: Identity Preserved, therefore this specific rules are not applicable.</p>	<p>N/A</p>

	immediately under or next to the trademark or the 'statement'. Font must be Calibri, font size must be at least 4pt (1.4 mm or 0.06 inch). In on-pack communications, the RSPO trademark can be printed anywhere on the pack.		
Messaging (IP)			
	<p>Messaging ALLOWED in storytelling in product-related communications may include some or all of the following elements:</p> <ul style="list-style-type: none"> • The oil palm products contained in this product have been certified to come from RSPO sources. www.rspo.org • By choosing this product, you are sure it contains RSPO-certified palm oil. For more information: www.rspo.org • RSPO-certified sustainable oil palm products were kept apart from other oil palm products throughout the supply chain. www.rspo.org • Certified sustainable oil palm products can be traced back to RSPO-certified mills and plantations. www.rspo.org • The entire supply chain is monitored by independent, RSPO-accredited auditors. www.rspo.org • RSPO-certified sustainable palm oil has been produced to stringent environmental and social criteria. www.rspo.org • References to (or images of) particular RSPO-certified production units, if the relationship to those units can be shown by company records. 	PT Socfin Indonesia – Negeri Lama POM implemented Module D - CPO Mills: Identity Preserved, therefore this specific rules are not applicable.	N/A
MODULE B – MASS BALANCE SPECIFIC RULES			
Auditor Hint:			
This specific rules shall be audited concurrently with the relevant Module C (including Module F & G) under the Supply Chain Modular Requirements			
Minimum Mass Balance content (MB)			
	95% or above of the oil palm content must be RSPO MB-certified.	PT Socfin Indonesia – Negeri Lama POM implemented Module D - CPO Mills: Identity Preserved, therefore this specific rules are not applicable.	N/A

	<p>Where there is any percentage of non-certified oil palm within the product, the reason for this must be fully justified and an action plan for moving to fully certified oil palm must be in place, in accordance with the requirements of the RSPO SCCS. In addition, the non-certified volume must be covered by equivalent volume of RSPO Credits.</p>	<p>PT Socfin Indonesia – Negeri Lama POM implemented Module D - CPO Mills: Identity Preserved, therefore this specific rules are not applicable.</p>	<p>N/A</p>
<p>Labelling and trademark (MB)</p>			
	<p>Members are allowed to use the RSPO label in one of the following ways:</p> <ul style="list-style-type: none"> • Surrounded by the text: 'Certified sustainable palm oil'. • The RSPO label MUST contain the tag 'MIXED'. The tag MIXED designates oil palm products sourced under the Mass Balance (MB) supply chain system, which administratively balances inputs and outputs of certain palm oil volumes. The tag 'MIXED' on a product does not guarantee that the product itself contains the certified material; some or all of it may reside in a product that does not carry a claim. • The RSPO label can also include the statement: '[The palm oil contained in this product] contributes to the production of certified sustainable palm oil'. • Wherever the RSPO trademark is displayed, the applicable trademark license number must be shown immediately under or next to the trademark or the 'statement'. Font must be Calibri, font size must be at least 4 pt (1.4 mm or 0.06 inch). • In on-pack communications, the RSPO trademark can be printed anywhere on the pack. Further guidance on use of the trademark is provided in the RSPO Trademark License Terms and Conditions and in Annex 1 of the Rules on Market Communications & Claims document. 	<p>PT Socfin Indonesia – Negeri Lama POM implemented Module D - CPO Mills: Identity Preserved, therefore this specific rules are not applicable.</p>	<p>N/A</p>
<p>Messaging (MB)</p>			
	<p>Messaging ALLOWED in storytelling in product-related communications includes:</p>	<p>PT Socfin Indonesia – Negeri Lama POM implemented Module D - CPO Mills: Identity Preserved, therefore this specific rules are not applicable.</p>	<p>N/A</p>

	<ul style="list-style-type: none"> • [Oil palm products]/[palm oil]/[palm kernel oil] from RSPO-certified mills and plantations were mixed with non-certified oil palm products in the supply chain. • The volume of [oil palm products][palm oil]/[palm kernel oil] in this product reflects an equivalent volume of palm oil or palm kernel oil produced by RSPO certified mills and plantations. • In off-product communications, reference to (or images of) particular RSPO-certified production units, if the relationship to those units can be shown in company records is allowed. 		
	<p>Messaging NOT ALLOWED in storytelling in product-related communications: Anything that can lead consumers to believe that RSPO-certified palm products are (certified to be) part of the product.</p>	<p>PT Socfin Indonesia – Negeri Lama POM implemented Module D - CPO Mills: Identity Preserved, therefore this specific rules are not applicable.</p>	<p>N/A</p>
<p>MODULE C – PARTIAL PRODUCT CLAIMS</p>			
	<p>To increase awareness among consumers of the availability of sustainable oil palm products and to help accelerate the uptake, it is permissible to make a claim on product when the percentage of the oil palm content is less than 95% certified, but only when the following conditions have been met:</p> <ul style="list-style-type: none"> • The member making the claim is the end product manufacturer, is an RSPO member and is certified against the RSPO SCCS or is an RSPO retailer member authorized to use the trademark by the RSPO. • At least 50% of the oil palm content has been supplied through an RSPO certified supply chain as IP, SG or MB. • The remainder of the oil palm content that is not RSPO-certified is covered by the purchase of RSPO Credits to an equivalent volume. • The product-specific claim is limited to only the following phrase: 'This product contributes to the production of certified sustainable palm oil'. 	<p>PT Socfin Indonesia – Negeri Lama POM implemented Module D - CPO Mills: Identity Preserved, therefore this specific rules are not applicable.</p>	<p>N/A</p>

	<ul style="list-style-type: none"> The use of the RSPO label with this claim is mandatory and must include the tag '50% MIXED'. No other percentage is allowable within this claim. 		
MODULE D – COMBINED SUPPLY CHAIN MODELS SPECIFIC RULES			
	<p>Where a mixture of inputs supplied through different RSPO supply chain models are present in a product, the following applies:</p> <p>75% IP + 20% SG => 95% SG claim is made 65% SG + 30% MB => 95% MB claim is made 55% MB + 40% B&C => 95% partial product claim can be made 45% SG + 55% B&C < 50% B&C claim can be made</p>	PT Socfin Indonesia – Negeri Lama POM implemented Module D - CPO Mills: Identity Preserved, therefore this specific rules are not applicable.	N/A
	<p>Where one supply chain model accounts for 95% of the oil palm content, the claim for this specific model may be made:</p> <p>95% IP + 5% MB => 95% IP IP claim can be made 95% SG + 5% MB => 95% SG SG claim can be made 95% MB + 5% C => 95% MB MB claim can be made</p>	PT Socfin Indonesia – Negeri Lama POM implemented Module D - CPO Mills: Identity Preserved, therefore this specific rules are not applicable.	N/A
5.12. Complaints			
5.12.1	The organization shall have in place and maintain documented procedures for collecting and resolving stakeholder complaints.	PT Socfin Indonesia has established procedure for collecting and resolving stakeholder complaints under "Prosedur Penanganan Keluhan Sosial" No.SOC/PSM/9.02 Rev.06 dated 15/09/2018. Up to this moment, noted that there was no complaint from buyer or other stakeholder.	Yes
5.13. Management Review			
5.13.1	The organization is required to hold management reviews annually at planned intervals, appropriate to the scale and nature of the activities undertaken.	The procedure "Prosedur Tinjauan Manajemen" No.SOC/PSM/5.01 Rev.05 dated 15/05/2017, described that internal audit and management review planned once a year at minimum, or considering the critical area.	Yes

		<p>PT Socfin Indonesia has defined plan for management Review for year 2018 under "Program Tinjauan Manajemen" (SOC/Form/5.01-01) dated 3 January 2018. Site Negeri Lama planned to be held in November 2018.</p> <p>Minutes of Management Review meeting and attendance list shows that latest management review held on 28 November 2018, attended by 10 participants including Group Manager, Pengurus, Tekniker and Sustainability Team.</p>	
<p>5.13.2</p>	<p>The input to management review shall include information on:</p> <ul style="list-style-type: none"> • Results of internal audits covering RSPO Supply Chain Certification Standard. • Customer feedback. • Status of preventive and corrective actions. • Follow-up actions from management reviews. • Changes that could affect the management system. • Recommendations for improvement. 	<p>Minutes of management review meeting dated 28 November 2018 described that the input of management review has include:</p> <ul style="list-style-type: none"> • Result of internal audit; internal audit has been done on 25 – 29 September 2018 covering RSPO Supply Chain Certification Standard, result shows that there is no non-conformity found against RSPO SCCS version 14 June 2017. • Customer feedback; during period 2018, there was no complaint or any feedback from customers regarding RSPO Supply Chain. • Status of preventive and corrective action; conclusion from internal audit shows that in general RSPO requirements have been implemented although there was several areas that has not been consistent, therefore Pengurus and Tekniker I have to be active in controlling system implementation in related site; accident investigation has been administratively implemented however the result is not maximum, therefore accident investigation have to be conducted well so that the root cause can be identified. • Follow-up actions from management reviews; disseminate and directed cooperation to register their worker in BPJS 	<p>Yes</p>

		<p>Ketenagakerjaan dan Kesehatan (health and social insurance); disseminated and directed cooperation to conduct medical check up to their anemer worker at 6 month interval at minimum; conducted checking of PPE specification delivered by vendor.</p> <ul style="list-style-type: none"> • Changes that could affect the management system; there is no significant change that could effect management system. • Recommendations for improvement; Teknik Department conducted conformity review of all procedures and work instructions against implementation; All Estate Staff have to increase frequency of OHS dissemination to all workers so that safety working environment established; All Estate Staff must developed good relation with stakeholder surrounding community. 	
5.13.3	<p>The output from the management review shall include any decisions and actions related to:</p> <ul style="list-style-type: none"> • Improvement of the effectiveness of the management system and its processes. • Resource needs. 	<p>Minutes of management review meeting dated 28 November 2018 described that the output of management review has include:</p> <ul style="list-style-type: none"> • Improvement of the effectiveness of the management system and its processes; Teknik Department conducted conformity review of all procedures and work instructions against implementation; All Estate Staff have to increase frequency of OHS dissemination to all workers so that safety working environment established; All Estate Staff must developed good relation with stakeholder surrounding community. • Resource needs; there is no resources addition needed in implementation of RSPO Supply Chain requirements in Negeri Lama Palm Oil Mill. 	Yes

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

D.1 Definition			
	Requirement	Evidence For any N/A raised, justification is required.	Compliance (Yes / No or N/A)
D.1.1	A mill is deemed to be Identity Preserved (IP) if the FFB used by the mill are sourced from plantation/ estates that are certified against the RSPO Principles and Criteria (RSPO P&C), or against the Group Certification scheme. Certification for CPO mills is necessary to verify the volumes and sources of certified FFB entering the mill, the implementation of any processing controls (for example, if physical separation is used), and volume sales of RSPO certified products. If a mill process certified and uncertified FFB without physically separating them, then only Module E is applicable.	PT Socfin Indonesia – Negeri Lama POM is only receiving FFB from certified source, which is a company-owned estate, Negeri Lama Estate. PT Socfin Indonesia – Negeri Lama POM is implementing RSPO Supply Chain Certification Standard Module D : CPO Mill Identity Preserved (IP).	Yes
D.2 Explanation			

D.2.1	The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill must be recorded by the certification body (CB) in the public summary of the P&C certification report. For an independent mill, the estimated tonnage of CPO and PK products must be recorded in the RSPO IT platform, supply chain certificate and public summary audit report. This figure represents the total volume of certified oil palm product (CPO and PK) that the certified mill is allowed to deliver in a year. The actual tonnage produced shall then be recorded in each subsequent annual surveillance report.	The projection for certified FFB and production of certified CPO and PK in Negeri Lama POM has been recorded in CB's public summary report and registered in RSPO IT Platform.	Yes
D.2.2	The mill must also meet all registration and reporting requirements for the appropriate supply chain through the RSPO supply chain managing organization (RSPO IT platform).	PT Socfin Indonesia – Negeri Lama POM has met registration and reporting requirement as it registered in RSPO IT Platform (PalmTrace) with ID number RSPO_PO1000001250.	Yes
D.3 Documented procedures			
D.3.1	The site shall have written procedures and/or work instructions to ensure the implementation of all the elements specified in these requirements. This shall include at minimum the following: a. Complete and up to date procedures covering the implementation of all the elements in these requirements;	PT Socfin Indonesia has established complete and up to date procedures to implement RSPO supply chain requirements in Negeri Lama POM: 1. "Prosedur Supply Chain Certification Standard – Identity Preserved" document No. SOC/PSM/9.10 rev.07 dated 4 September 2018. The procedure covers FFB receiving and its records, FFB process and its records, production records, delivery of product, daily production report, contract and DO issuance, record keeping, abnormal conditions, report of projected over production to CB, Shipping Anouncemnet in PalmTrace, PIC of RSPO SCCS, processing on the day change from MB to IP, and outsourcing process. 2. "Prosedur Internal Audit Sistem Manajement" No.SOC/PSM/8.02 Rev.06 dated 15/05/2017; described	Yes

		<p>planning and preparation of internal audit that conducted once a year at minimum; audit implementation, findings; corrective action and audit report.</p> <p>3. "Prosedur Penanganan Keluhan Sosial" No.SOC/PSM/9.02 Rev.06 dated 15/09/2018 described mecahnism of complaint handling mechanism.</p> <p>"Prosedur Pengiriman MKS/IKS dan Cangkang dengan Transportasi darat" No.SOC-POM/PSM/7.06 Rev.04 dated 01/01/2017, described delivery of CPO and PK from Palm Oil Mill to buyer or storage tank.</p>	
	<p>b. The role of the person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the site's procedures for the implementation of this standard.</p>	<p>Identification of the person having overall responsibility for RSPO Supply Chain implementation is Mr. Arifin Marpaung based on Manager Decree letter no. NL/Div/014.a/17 dated 1 March 2017. During audit, the person was able to demonstrated awareness of the organization's procedures for the implementation of the RSPO Supply Chain requirements.</p>	<p>Yes</p>
D.3.2	<p>The site shall have documented procedures for receiving and processing certified FFBS.</p>	<p>PT Socfin Indonesia – Negeri Lama POM has a written procedures and/or work instruction for ensuring the implementation of RSPO Supply Chain Standard called "Prosedur Supply Chain Certification Standard – Identity Preserved" document No. SOC/PSM/9.10 rev.07 dated 4 September 2018. The procedure are complete and up to date covering the implementation of all elements in the supply chain requirements, including FFB receiving and its records, FFB process and its records, production records, delivery of product, daily production report, contract and DO issuance, record keeping, abnormal conditions, report of projected over production to CB, Shipping Anouncemnet in PalmTrace, PIC of RSPO SCCS, processing on the day change from MB to IP, and outsourcing process.</p>	<p>Yes</p>

D.4 Purchasing and goods in		
D.4.1	The site shall verify and document the tonnage and sources of certified FFBs received.	<p>PT Socfin Indonesia – Negeri Lama POM has ensured that certified FFB received are RSPO certified based on the source of FFB. This FFB source are certified under PT Socfin Indonesia – Negeri Lama POM certificate. Based on document review and interview with weighbridge clerk and FFB receiving station, PT Socfin Indonesia – Negeri Lama POM only received certified raw material (Fresh Fruit Bunch) from its own estate: Negeri Lama Estate. Negeri Lama Estate uses locomotive and track for FFB transportation, therefore no FFB received from other source.</p> <p>Document FFB delivery note and Weighbridge Card described identity and location of FFB source and other item required, e.g. locomotive number and type, product delivered, date of delivery, trip number, division, weighbridge card number, lorry number, gross weigh, tarra weigh and nett weigh, signed by driver, weighbride clerk and administration staff. Based on the record verified, for the period of April 2018 to January 2019, certified FFB received is 41,638 Ton.</p> <p>Sample of FFB Receiving Slip / weighbridge card described information as follows:</p> <ul style="list-style-type: none"> - PT Socfin Indonesia – Negeri Lama GST 9600 - Locomotive PS 100 No.1 Mitsubishi - Product: FFB - Date: 14/02/2019 - Trip: 2 - Division I - Weighbridge Card No. CWD/2019/002877; Tipping Lorry Seksi 0115, 0516 and 1413; gross: 4,540 kg; tarra: 2,190 kg; nett: 2,330 kg;

		<ul style="list-style-type: none"> - Weighbridge Card No. CWD/2019/002878; Tipping Lorry Seksi 0918, 0114 and 1415; gross: 4,730 kg; tarra: 2,230 kg; nett: 2,500 kg; - Weighbridge Card No. CWD/2019/002879; Tipping Lorry Seksi 0913, 0614 and 1315; gross: 4,820 kg; tarra: 2,130 kg; nett: 2,690 kg; - Weighbridge Card No. CWD/2019/002880; Tipping Lorry Seksi 1118, 0214 and 0905; gross: 4,300 kg; tarra: 2,110 kg; nett: 2,190 kg; - Weighbridge Card No. CWD/2019/002881; Tipping Lorry Seksi 0315, 0809 and 0309; gross: 4,070 kg; tarra: 2,110 kg; nett: 1,960 kg. 	
D.4.2	The site shall inform the CB immediately if there is a projected overproduction of certified tonnage.	"Prosedur Supply Chain Certification Standard – Identity Preserved" document No. SOC/PSM/9.10 rev.07 dated 4 September 2018, has covered mechanism to report to CB if there is a projected overproduction. Up to this moment there is no overproduction occur in Negeri Lama POM.	Yes
D.5 Record keeping			
D.5.1	The site shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a real-time basis. <i>IP Mill must report on real time basis.</i>	Negeri Lama POM has recorded and balanced all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a real-time basis, there is no negative stock. For the period of April 2018 to March 2019, certified FFB received is 48,233 Ton; certified CPO produced is 11,200 MT; certified PK produced is 2,306 MT; certified CPO delivered is 10,255 MT; certified PK delivered is 1,955 MT.	Yes
D.6 Processing			
D.6.1	The site shall assure and verify through documented procedures and record keeping that the RSPO certified oil palm product is kept separated	Negeri Lama POM has ensured through documented system and operation that RSPO certified oil palm product is kept separated from non-certified oil palm product. Ther is no receiving of any non-certified FFB, therefore no non-certified FFB being entered	Yes

	<p>from non- certified oil palm product including during transport and storage to strive for 100% separation.</p>	<p>the process, no non-certified CPO and PK being produced, no non-certified product being dispatched. Storage tank for CPO are dedicated only for certified palm oil. Silo for PK are used to store certified product only.</p> <p>Storage tank cleaning conducted on 7 August 2018 for Storage Tank No.1 and on 18 November 2018 for Storage Tank No.2. Minutes of storage tank cleaning and safety working permit were available.</p> <p>Weighbridge has been calibrated based on "Keterangan Hasil Pengujian" No. 171/PKTN.4.9/KHP/04/2018, with detail Brand GSC; type GST-9600; serial number 967030; capacity 30,000 kg. Certificate issued by "Balai Standardisasi Metrologi Legal Regional I" Ministry of Trade, valid until 6 April 2019.</p>	
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Supply Chain Declaration *(Applicable For Appendix E)*

A. Monthly Records of Certified and Uncertified FFB Received since the last audit				
No.	Month - Year	Volume of FFB from certified supply bases (mt)	Volume of FFB from uncertified supply bases (mt)	Total FFB/Month (mt)
1	February 2018	2,818		2,818
2	March 2018	3,777		3,777
3	April 2018	3,298	-	3,298
4	May 2018	4,542	-	4,542
5	June 2018	4,677	-	4,677
6	July 2018	5,249	-	5,249
7	August 2018	4,811	-	4,811
8	September 2018	3,693	-	3,693
9	October 2018	4,479	-	4,479
10	November 2018	3,632	-	3,632
11	December 2018	3,369	-	3,369
12	January 2019	3,888	-	3,888
Total				48,233

B. Monthly Records of Certified CPO & PK since the last audit			
No.	Month - Year	Certified CPO (mt)	Certified PK (mt)
1	February 2018	690	123
2	March 2018	886	182
3	April 2018	771	168
4	May 2018	1,043	222
5	June 2018	1,087	237
6	July 2018	1,248	267
7	August 2018	1,122	249
8	September 2018	863	177
9	October 2018	1,035	201
10	November 2018	848	158
11	December 2018	763	146
12	January 2019	900	176
Total		11256	2306

C. Records of Certified CPO & PK Sold under PalmTrace to Buyers since the last audit (if any)				
No.	Buyers Name	Palmtrace Trading License Number	Certified CPO Sold (mt)	Certified PK Sold (mt)
16 April 2018	PT Multimas Nabati Asahan	TR-87802c14-1c03	470	
17 April 2018	PT Multimas Nabati Asahan	TR-a25f0060-9576		50
27 April 2018	PT Multimas Nabati Asahan	TR-07829e7c-6004	180	
4 May 2018	PT Multimas Nabati Asahan	TR-b10820f7-512c	160	
28 April 2018	PT Multimas Nabati Asahan	TR-87edb811-523a		55
4 May 2018	PT Multimas Nabati Asahan	TR-6d4063f0-bde6		30

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12 May 2018	PT Multimas Nabati Asahan	TR-b22467c3-5e9d	300	
16 May 2018	PT Multimas Nabati Asahan	TR-cd5f0bc2-e460		75
19 April 2018	PT Multimas Nabati Asahan	TR-eccb2bce-001a	280	
7 June 2018	PT Multimas Nabati Asahan	TR-5fe0ca49-6ed0	250	
7 June 2018	PT Multimas Nabati Asahan	TR-d61f2236-04c6	300	
7 June 2018	PT Multimas Nabati Asahan	TR-d44066cd-e197		115
13 June 2018	PT Multimas Nabati Asahan	TR-0d395275-4327	540	
26 June 2018	PT Multimas Nabati Asahan	TR-2ace7c61-f770	300	
7 July 2018	PT Multimas Nabati Asahan	TR-247e02bd-9031	300	
7 July 2018	PT Multimas Nabati Asahan	TR-be34b34a-b747	300	
26 June 2018	PT Multimas Nabati Asahan	TR-ba91dfd6-4773		180
7 July 2018	PT Multimas Nabati Asahan	TR-eab714cc-f3af		90
7 June 2018	PT Multimas Nabati Asahan	TR-34cf7e73-d3dc	120	
3 August 2018	PT Multimas Nabati Asahan	TR-7ba76496-ec0c	750	
10 August 2018	PT Multimas Nabati Asahan	TR-87f934ad-bedd	420	
16 August 2018	PT Multimas Nabati Asahan	TR-2f40fe5d-0aff	380	
28 August 2018	PT Multimas Nabati Asahan	TR-1dc0f7b5-d275	250	
17 August 2018	PT Multimas Nabati Asahan	TR-19ecba9c-499d		100
30 July 2018	PT Multimas Nabati Asahan	TR-444d2a13-bc23		100
7 August 2018	PT Multimas Nabati Asahan	TR-a857c952-4837		112
24 August 2018	PT Multimas Nabati Asahan	TR-5fc610d2-b608		65
29 August 2018	PT Multimas Nabati Asahan	TR-f69d2d6d-e570		60
13 September 2018	PT Multimas Nabati Asahan	TR-75f25ec3-7df6	250	
19 September 2018	PT Multimas Nabati Asahan	TR-a577810f-c5ff	300	
10 September 2018	PT Multimas Nabati Asahan	TR-f67556dd-2b04		85
1 October 2018	PT Multimas Nabati Asahan	TR-8524ea7e-094d		130
3 October 2018	PT Multimas Nabati Asahan	TR-9caef278-0338		50
27 September 2018	PT Multimas Nabati Asahan	TR-9ce20fc3-3616	250	
3 October 2018	PT Multimas Nabati Asahan	TR-099529e2-2820	150	
13 October 2018	PT Multimas Nabati Asahan	TR-c43edc6b-b07a	450	
18 October 2018	PT Multimas Nabati Asahan	TR-acd0df26-d01c	180	
26 October 2018	PT Multimas Nabati Asahan	TR-a28a93bc-e156	250	
2 November 2018	PT Multimas Nabati Asahan	TR-537bc24d-9566	170	
17 October 2018	PT Multimas Nabati Asahan	TR-d1ab5de3-910f		65
3 November 2018	PT Multimas Nabati Asahan	TR-d4cc5f4b-9b1c		90
13 November 2018	PT Multimas Nabati Asahan	TR-e79c893a-c98d	300	
16 November 2018	PT Multimas Nabati Asahan	TR-dfe1325f-2c58	150	
21 November 2018	PT Multimas Nabati Asahan	TR-bd2454f1-e9e0	150	
21 November 2018	PT Multimas Nabati Asahan	TR-4ee1002b-4e8f		100
3 December 2018	PT Multimas Nabati Asahan	TR-73735c7d-5b2a	300	
8 December 2018	PT Multimas Nabati Asahan	TR-2b344978-2323	110	
8 December 2018	PT Multimas Nabati Asahan	TR-98879340-b6be		90

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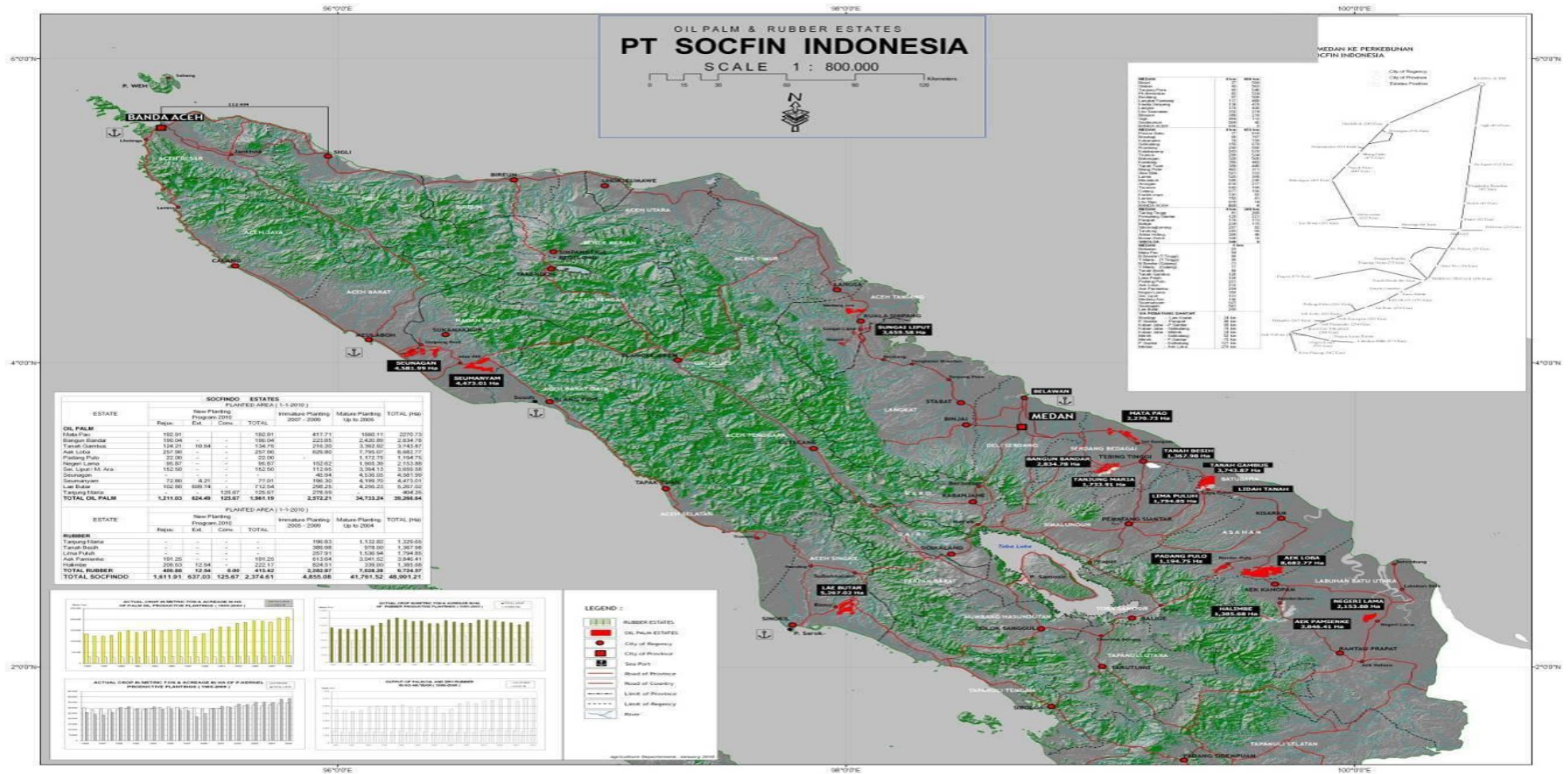
12 December 2018	PT Multimas Nabati Asahan	TR-787be0b4-173e	125	
8 January 2019	PT Multimas Nabati Asahan	TR-ca5189a3-f81d	350	
10 January 2019	PT Multimas Nabati Asahan	TR-e4742d09-0e3b	190	
4 January 2019	PT Multimas Nabati Asahan	TR-93d51791-5b03		70
4 January 2019	PT Multimas Nabati Asahan	TR-56aa5d44-4d41		37.96
23 January 2019	PT Multimas Nabati Asahan	TR-0d913cd3-0d78	550	
26 January 2019	PT Multimas Nabati Asahan	TR-46e2cbeb-3abc	120	
26 January 2019	PT Multimas Nabati Asahan	TR-cbf15bea-b20f	210	
21 January 2019	PT. Musim Mas - KIM 1	TR-b48a4498-6a3f		115
31 January 2019	PT. Musim Mas - KIM 1	TR-8d3bc160-9142		90
2 February 2019	PT Multimas Nabati Asahan	TR-5724ca5f-3dad	200	
9 February 2019	PT Multimas Nabati Asahan	TR-ea888cb3-29a7	200	
Total			10,255	1,955

A. Records of CPO & PK Sold under other schemes to Buyers since the last audit (if any)				
No.	Buyers Name	Scheme Name	CPO Sold (mt)	PK Sold (mt)
	Nil			

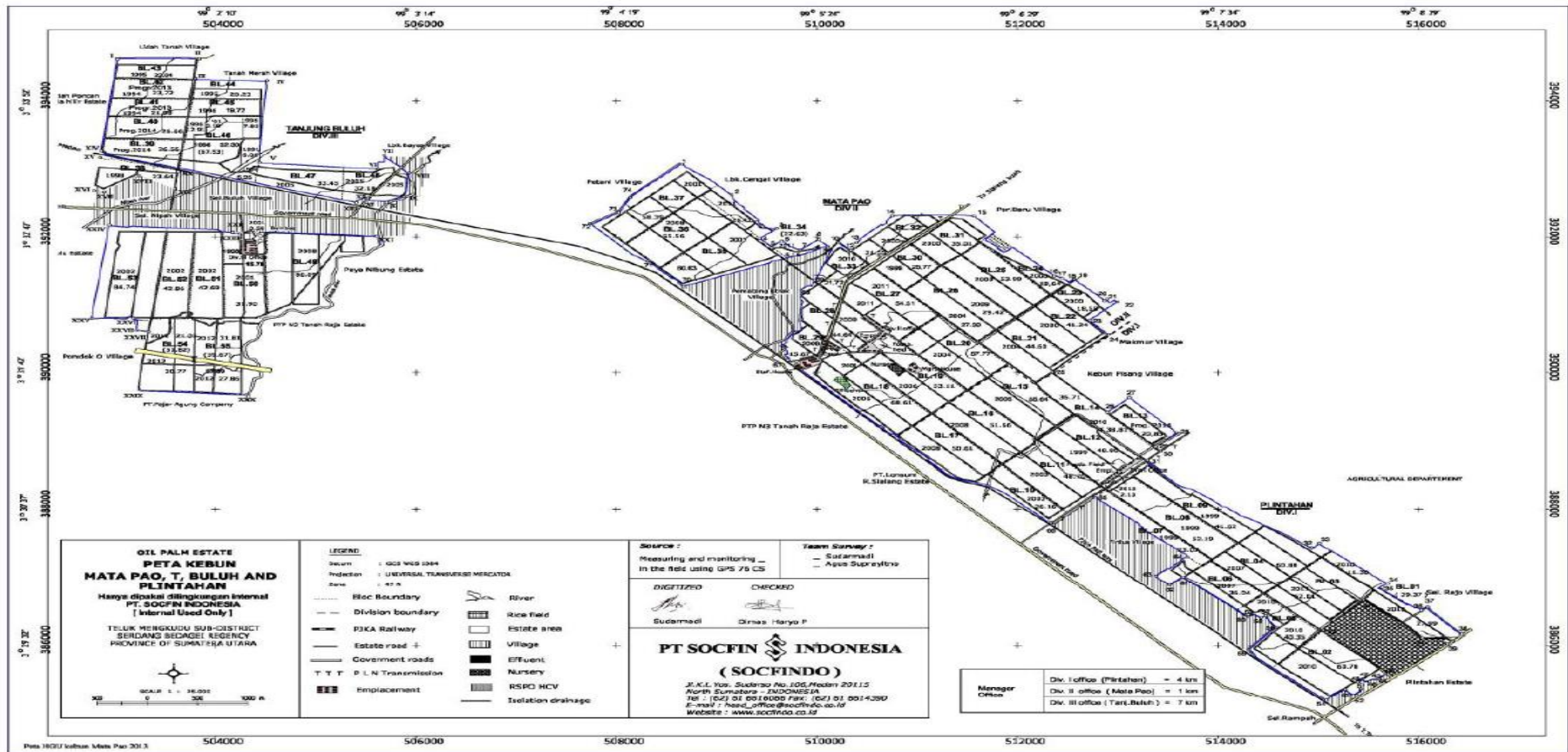
A. Records of CPO & PK Sold as conventional to Buyers since the last audit (if any)				
No.	Buyers Name	CPO Sold (mt)	PK Sold (mt)	
	Nil			

B. Records of Certified CPO Sold under RSPO Credits to Buyers since the last audit (if any)			
No.	Buyers Name	PalmTrace Trading License Number	RSPO Credits of Certified CPO Sold (mt)
	Nil		

Appendix F: Location Map of Certification Unit and Supply bases



Appendix G: Estate Field Map



Appendix H: List of Abbreviations

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