

**RSPO PRINCIPLE AND CRITERIA –
ANNUAL SURVEILLANCE ASSESSMENT 4
Public Summary Report**

PT UMBUL MAS WISESA (SIPEF Group)
Address: <u>Forum Nine Building, 10th Floor, Suite 1-11</u> <u>Jl. Imam Bonjol No.9,</u> <u>Medan - 20112</u> <u>Sumatra Utara Province</u> <u>Indonesia</u>
Certification Unit: PT Umbul Mas Wisesa Palm Oil Mill Location of Certification Unit: Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, and Tanjung Mulia Village, Kampung Rakyat District, Labuhanbatu Selatan Regency, Sumatera Utara Province Indonesia

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Section 1: Scope of the Certification Assessment

1. Company Details			
RSPO Membership Number	1-0021-05-000-00	Membership Approval Date	7 th December 2005
Parent Company Name	SIPEF Group		
Address	Head Office: Forum Nine Building, 10 th Floor, Suite 1-11 Jl. Imam Bonjol No.9, Medan - 20112 Sumatra Utara Province Indonesia		
Subsidiary (Certification Unit Name)	PT. Umbul Mas Wisesa – UMW POM		
Address	Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, and Tanjung Mulia Village, Kampung Rakyat District, Labuhanbatu Selatan Regency, Sumatera Utara Province Indonesia		
Contact Name	Mr. Olivier Tichit		
Website	www.tolantiga.co.id	E-mail	ortichit@sipef.com
Telephone	+62 61 415 2043	Facsimile	+62 61 452 0908

2. Certification Information			
Certificate Number	RSPO 611834	Date of First Certification	27 March 2015
		Certificate Start Date	27 March 2015
		Certificate Expiry Date	26 March 2020
Scope of Certification	Production of CPO an PK at Umbul Mas Wisesa Palm Oil and FFB supplied from three (3) company-owned plantation namely Umbul Mas Wisesa South Estate, Umbul Mas Wisesa North Estate and Toton Usaha Mandiri Estate, with Marketing Activities through SIPEF N.V. Mill capacity is 40 tonnes FFB/hour.		
Applicable Standards	RSPO Principles & Criteria Indonesia National Interpretation 2016; RSPO Supply Chain Certification Standard 2017 (CPO Mill – Module D)		

3. Other Certifications			
Certificate Number	Standard(s)	Certificate Issued by	Expiry Date
ISPO 611833	Indonesia Sustainable Palm Oil (ISPO)	BSI	3 April 2022

4. Location(s) of Mill & Supply Bases			
Name (Mill / Supply Base)	Location [Map Reference #]	GPS Coordinates (Note for Auditors: Deg °, Minutes ', Seconds "; The format must be two decimal points) (Eg. 3° 51' 14.01" N)	
		Latitude	Longitude
Umbul Mas Wisesa POM	Tanjung Mulia Village, Kampung Rakyat District, Labuhanbatu Selatan Regency, Sumatera Utara Province, Indonesia	2° 12' 41.00" N	100° 16' 20.00" E
Umbul Mas Wisesa South Estate	Tanjung Mulia Village, Kampung Rakyat District, Labuhanbatu Selatan Regency, Sumatera Utara Province, Indonesia	2° 13' 5.10" N	100° 17' 12.40" E
Umbul Mas Wisesa North Estate	Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province, Indonesia	2° 16' 41.64" N	100° 17' 36.73" E
Toton Usaha Mandiri Estate	Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province, Indonesia	2° 16' 41.64" N	100° 17' 36.73" E

5. Description of Supply Base					
Estate	Total Planted (Mature + Immature) (ha)	HCV (ha)	Infrastructure & Other (ha)	Total Area (ha)	% of Planted
Umbul Mas Wisesa South Estate	4,446.18	0	337.43	4,783.61	92.94
Umbul Mas Wisesa North Estate	2,602.46	196.09	181.19	2,979.74	87.33
Toton Usaha Mandiri Estate (PT. Toton Usaha Mandiri)	1,134.95	57.54	6.27	1,198.76	94.68
Total	8,183.59	253.63	524.89	8,962.11	91.65

6. Plantings & Cycle							
Estate	Age (Years)					Mature**	Immature
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30		
Umbul Mas Wisesa South Estate	0	1,585.56	2860.62	0	0	4,446.18	0
Umbul Mas Wisesa North Estate	0	2,118.72	483.74	0	0	2,602.46	0
PT. Toton Usaha Mandiri Estate (PT. Toton Usaha)	0	981.50	153.45	0	0	1,134.95	0

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Mandiri)							
Total (ha)	0	4,685.78	3,497.81	0	0	8,183.59	0

7. Certified Tonnage of FFB (Own Certified Scope)			
Estate	Tonnage / year		
	Estimated (Mar 2018 – Feb 2019)	Actual (Mar 2018 – Dec 2018)	Forecast (Mar 2019 – Feb 2020)
Umbul Mas Wisesa South Estate	100,560	78,556.34	110,208
Umbul Mas Wisesa North Estate	62,367	48,054.24	67,621
Toton Usaha Mandiri Estate (PT. Toton Usaha Mandiri)	28,569	21,152.30	31,099
Total	191,496	147,762.88	208,928
Note:			
*) This figure only describes FFB received by Umbul Mas Wisesa POM, not actual actual production form UMW South Estate, because as many as ± 3,045.10 tons of FFB were delivered to Perlabian POM (PT Tolan Tiga Indonesia).			

8. Certified Tonnage of FFB (from other certified unit(s)) if applicable *			
Estate	Tonnage / year		
	Estimated (Mar 2018 – Feb 2019)	Actual (Mar 2018 – Dec 2018)	Forecast (Mar 2019 – Feb 2020)
KSU Suka Makmur	N/A	271.18	N/A
Total		271.18	

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

10. Certified Tonnage			
Mill Capacity:	Estimated	Actual	Forecast

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40 MT/hr SCC Model: IP	<i>(Mar 2018 – Feb 2019)</i>	<i>(Mar 2018 – Dec 2018)</i>	<i>(Mar 2019 – Feb 2020)</i>
	FFB	FFB	FFB
	191,496	148,034.06	208,928
	CPO (OER: 24.00%)	CPO (OER: 23.96%)	CPO (OER: 24%)
	45,959	35,469.31	50,143
	PK (KER: 4.00%)	PK (KER: 3.90%)	PK (KER: 4%)
	7,660	5,766.48	8,357

11. Actual Sold Volume (CPO)					
	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSB		
CPO (MT)	32,699.37	-	-	-	32,699.37

12. Actual Sold Volume (PK)					
	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSB		
PK (MT)	3,250	-	-	-	3,250

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
59200 Kuala Lumpur
Tel +603 2242 4211 Fax +603 2242 4218
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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 annual surveillance assessment 4 was conducted from 15 – 24 January 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 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 Major NC close out on-site assessment was conducted on 5 March 2019. The audit programmes are included in Section 2.3.

The methodology for collection of objective evidence included physical site inspections, observation of tasks and processes, interviews of staff, workers and their families and external stakeholders, review of documentation and monitoring data. RSPO Principles & Criterias Indonesia National Interpretation (INA NI) 2016 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.

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

Structured worker interviews with male and female workers and staff were held in private at the workplace in the mill and the estates. Fieldworkers were interviewed informally in small groups in the field. In addition, the wives of workers and staff were interviewed in informal group meetings at their housing. Separate visits were made to each of the local communities to meet with the village head and residents. Company officials were not present at any of the internal or external stakeholder interviews. A list of Stakeholders contacted is included as Section 3.5.

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

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

For 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 3)	Year 5 (ASA 4)
Umbul Mas Wisesa POM	X	X	X	X	X
Umbul Mas Wisesa South Estate	X	X	X		X
Umbul Mas Wisesa North Estate	X	X		X	X
Toton Usaha Mandiri Estate (PT. Toton Usaha Mandiri)	X		X	X	X

Tentative Date of Next Visit: January 1, 2020 - January 6, 2020

Total No. of Mandays: 14

2.2 BSI Assessment Team:

Team Member Name	Role <i>(Team Leader or Team member)</i>	Qualifications <i>(Short description of the team members)</i>
Eko Purwanto (EP)	Team Leader	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 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 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. During this assessment, he assessed on the aspects of estate and mill best practices and HCV audits.
Pratama Agung Sedayu (PS)	Team Member	He graduated from University of Jenderal Soedirman on 2008, majoring in Social Economic of Agriculture. He involved in RSPO certification since 2009 as a team member subsequently as a Lead Auditor, covering assessment against RSPO P&C in Indonesia, Malaysia, Thailand, Papua New Guinea, and Liberia. He completed the ISO 9001, ISO 14001, OHSAS 18001 Lead Auditor Course, HCV Identification and Management; ISPO Lead Auditor Endorsed Course and RSPO P&C and RSPO SCCS Lead Auditor Endorsed Courses. During this assessment, he assessed on the aspects of estate and mill's best management practices, transparency, GHG, supply chain for CPO Mills audits. He is fluently speaking in English and Bahasa Indonesia.
Imam Fakhrurozi (IF)	Team Member	Imam holds degree in Agriculture Technology and graduated from Gadjah Mada University, Yogyakarta in 2011. He had 2 (two) years working experience related to oil palm industry, as a sustainability and HSE officer in oil palm Plantation Company in Indonesia. Imam has completed a number of relevant trainings, the training includes ISO 9001:2008 and EMS 14001:2004 Lead Auditor, Lead Auditor of SMK3, RSPO P&C Lead auditor endorsed course. 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 2015. During this assessment, he assessed on the aspects of social, environment and OHS aspects.

Accompanying Persons:

No.	Name	Role
1	Mohamed Hidhir	Qualifying reviewer for Pratama Agung Sedayu as SCC auditor.

2.3 Assessment Plan

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

ASA 4:

Date	Time	Subjects	EP	PS	IF	MH
			PRSPOLA	PRSPO-EMS/ PRSPO-SC	PRSPO-OHS/ SA	QR
Monday, 14/01/2019	05.35-08.00	Flight Jakarta – Medan <i>(by Garuda GA 180)</i>	√	√	√	
	07.30-08.30	Flight KL - Medan				√
	10.30-16.37	Travelling Medan – Rantau Parapat (by train)	√	√	√	√
	17.00-19.00	Travelling Rantau Parapat – PT Umbul Mas Wisesa	√	√	√	√
Tuesday, 15/01/2019	08.00-09.00	Opening Meeting - Presentation by client (Overview of PT Umbul Mas Wisesa - UMW Palm Oil Mill and its supply base); - Presentation by BSI team (Objective, scope, audit plan, etc.)	√	√	√	√
	09.00-12.00	UMW POM: RSPO Document Review General information, Time bound plan, partial certification verification, RSPO P&C (for Principle 3, Principle 4.1 and Principle 8). ISPO Document Review Perencanaan pengolahan hasil perkebunan; Kesejahteraan pekerja dan peningkatan usaha secara berkelanjutan.	√			
		UMW POM: RSPO Document Review: RSPO SCCS ISPO Document Review Proses penerimaan dan pengolahan TBS,		√		√
		UMW POM: RSPO Document Review: RSPO P&C (for Principle 4.1, 4.7, and Principle 5) ISPO Document Review Penerapan SMK3, IPAL, pengelolaan dan pengendalian lingkungan,			√	
	12.00-14.00	Lunch Break	√	√	√	√
	14.00-17.00	UMW POM: Field Visit Visit and observing Mill Best Management Practices and Environmental management implementation and interview with workers.	√			
		UMW POM: Field Visit RSPO SCCS Implementation		√		√
UMW POM: Field Visit Visit and observing Occupational Safety and Health management, (including but not limited to: use of PPE, safe working environment, walk ways, signs, palm oil mill effluent, diesel tanks, fire extinguishers, emission, first aiders and boxes, etc) and interview with workers.				√		

Date	Time	Subjects	EP	PS	IF	MH
			PRSPOLA	PRSPO-EMS/ PRSPO-SC	PRSPO-OHS/ SA	QR
Wednesday, 16/01/2019	07.00-17.00	Traveling Rantau Prapat – Medan – Kuala Lumpur				√
	08.00-12.00	UMW POM: RSPO Document Review: General information, Time bound plan, partial certification verification, RSPO P&C (for Principle 3, Principle 4.1 and Principle 8). ISPO Document Review Proses penerimaan dan pengolahan TBS.	√			
		UMW POM: RSPO Document Review: RSPO P&C (for Principle 4.1, 4.7, and Principle 5) ISPO Document Review Penerapan SMK3, IPAL, pengelolaan dan pengendalian lingkungan.		√		
		Stakeholder Consultation: Visit and interview with government offices in Kabupaten Labuhanbatu Selatan and local NGO (if any). - Labour Agency (Disnakertrans) of Labuhanbatu Selatan Regency. - National Land Agency (Kantor Pertanahan) of Labuhanbatu Selatan Regency. - Plantation Agency (Disbun) of Labuhanbatu Selatan Regency.			√	
	12.00-14.00	Lunch Break	√	√	√	
	14.00-17.00	UMW South Estate: RSPO Document Review: General information, Time bound plan, partial certification verification, RSPO P&C (for Principle 1, 3, Principle 4 and Principle 7), ISPO Document Review Praktek Terbaik untuk Perkebunan dan Perencanaan Manajemen Jangka Panjang	√			
		UMW South Estate: RSPO Document Review: RSPO P&C (for Principle 4, 5.4 – 5.6, 6 and Principle 8) ISPO Document Review Praktek Terbaik untuk Perkebunan; GRK dan peningkatan usaha secara berkelanjutan		√		
		Stakeholder Consultation: Visit to local communities (head of village, cooperatives, community leader, contractors).			√	
Thursday, 17/01/2019	08.00-12.00	UMW South Estate: Field Visit: Field observation and Worker interview - FFB harvesting, FFB loading, road maintenance, IPM, HCV's, riparian zones, boundaries inspection.	√			

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			PRSPOLA	PRSPO-EMS/PRSPO-SC	PRSPO-OHS/SA	QR
		UMW South Estate: Field Visit: Field observation and Worker interview - landfill (waste management), workshop, water management, housing, social amenities, school, clinic, etc.		√		
		UMW South Estate: Field Visit: Field observation and worker interview - Herbicide application programs, fertilizer application, chemical and fertilizer warehouse, hazardous waste storage, etc.			√	
	12.00-14.00	Lunch Break	√	√	√	
	14.00-17.00	UMW South Estate: RSPO Document Review: General information, Time bound plan, partial certification verification, RSPO P&C (for Principle 1, 3, Principle 4 and Principle 7), ISPO Document Review Praktek Terbaik untuk Perkebunan dan Perencanaan Manajemen Jangka Panjang	√			
		UMW South Estate: RSPO Document Review: RSPO P&C (for Principle 4, 5.4 – 5.6, 6 and Principle 8) ISPO Document Review Praktek Terbaik untuk Perkebunan; GRK dan peningkatan usaha secara berkelanjutan		√		
		UMW South Estate: RSPO Document Review: RSPO P&C (for Principle 2, 4.7, and Principle 5) ISPO Document Review Tanggungjawab terhadap pekerja – Penerapan SMK3, pengelolaan dan pengendalian lingkungan,			√	
Friday, 18/01/2019	08.00-12.00	UMW North Estate: Field Visit: Field observation and Worker interview - FFB harvesting, FFB loading, road maintenance, IPM, HCV's, riparian zones, boundaries inspection.	√			
		UMW North Estate: Field Visit: Field observation and Worker interview - landfill (waste management), workshop, water management, housing, social amenities, school, clinic, etc.		√		
		UMW North Estate: Field Visit: Field observation and worker interview - Herbicide application programs, fertilizer application, chemical and fertilizer warehouse, hazardous waste storage, etc.			√	

Date	Time	Subjects	EP	PS	IF	MH
			PRSPOLA	PRSPO-EMS/ PRSPO-SC	PRSPO-OHS/ SA	QR
	12.00-14.00	Lunch Break and Friday Pray				
	14.00-17.00	UMW North Estate: RSPO Document Review: General information, Time bound plan, partial certification verification, RSPO P&C (for Principle 1, 3, Principle 4 and Principle 7), ISPO Document Review Praktek Terbaik untuk Perkebunan dan Perencanaan Manajemen Jangka Panjang	√			
		UMW North Estate: RSPO Document Review: RSPO P&C (for Principle 4, 5.4 – 5.6, 6 and Principle 8) ISPO Document Review Praktek Terbaik untuk Perkebunan; GRK dan peningkatan usaha secara berkelanjutan		√		
		UMW North Estate: RSPO Document Review: RSPO P&C (for Principle 2, 4.7, and Principle 5) ISPO Document Review Tanggungjawab terhadap pekerja – Penerapan SMK3, pengelolaan dan pengendalian lingkungan,			√	
Saturday, 19/01/2019	08.00-12.00	UMW North Estate: RSPO Document Review: General information, Time bound plan, partial certification verification, RSPO P&C (for Principle 1, 3, Principle 4 and Principle 7), ISPO Document Review Praktek Terbaik untuk Perkebunan dan Perencanaan Manajemen Jangka Panjang	√			
		UMW North Estate: RSPO Document Review: RSPO P&C (for Principle 4, 5.4 – 5.6, 6 and Principle 8) ISPO Document Review Praktek Terbaik untuk Perkebunan; GRK dan peningkatan usaha secara berkelanjutan		√		
		UMW North Estate: RSPO Document Review: RSPO P&C (for Principle 2, 4.7, and Principle 5) ISPO Document Review Tanggungjawab terhadap pekerja – Penerapan SMK3, pengelolaan dan pengendalian lingkungan,			√	
	12.00-14.00	Lunch Break	√	√	√	
	14.00-17.00	TUM Estate: RSPO Document Review: General information, Time bound plan, partial certification verification, RSPO P&C (for Principle 1, 3, Principle 4 and	√			

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Date	Time	Subjects	EP	PS	IF	MH
			PRSPOLA	PRSPO-EMS/ PRSPO-SC	PRSPO-OHS/ SA	QR
		Principle 7), ISPO Document Review Praktek Terbaik untuk Perkebunan dan Perencanaan Manajemen Jangka Panjang				
		TUM Estate: RSPO Document Review: RSPO P&C (for Principle 4, 5.4 – 5.6, 6 and Principle 8) ISPO Document Review Praktek Terbaik untuk Perkebunan; GRK dan peningkatan usaha secara berkelanjutan		√		
		TUM Estate: RSPO Document Review: RSPO P&C (for Principle 2, 4.7, and Principle 5) ISPO Document Review Tanggungjawab terhadap pekerja – Penerapan SMK3, pengelolaan dan pengendalian lingkungan,			√	
Sunday, 20/01/2019		Break Onsite	√	√	√	
Monday, 21/01/2019	08.00-12.00	TUM Estate: Field Visit: Field observation and Worker interview - FFB harvesting, FFB loading, road maintenance, IPM, HCV's, riparian zones, boundaries inspection.	√			
		TUM Estate: Field Visit: Field observation and Worker interview - landfill (waste management), workshop, water management, housing, social amenities, school, clinic, etc.		√		
		TUM Estate: Field Visit: Field observation and worker interview - Herbicide application programs, fertilizer application, chemical and fertilizer warehouse, hazardous waste storage, etc.			√	
	12.00-14.00	Lunch Break	√	√	√	
	14.00-17.00	TUM Estate: RSPO Document Review: General information, Time bound plan, partial certification verification, RSPO P&C (for Principle 1, 3, Principle 4 and Principle 7), ISPO Document Review Praktek Terbaik untuk Perkebunan dan Perencanaan Manajemen Jangka Panjang	√			
		TUM Estate: RSPO Document Review: RSPO P&C (for Principle 4, 5.4 – 5.6, 6 and Principle 8) ISPO Document Review		√		

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Date	Time	Subjects	EP	PS	IF	MH
			PRSPOLA	PRSPO-EMS/ PRSPO-SC	PRSPO-OHS/ SA	QR
		Praktek Terbaik untuk Perkebunan; GRK dan peningkatan usaha secara berkelanjutan				
		TUM Estate: RSPO Document Review: RSPO P&C (for Principle 2, 4.7, and Principle 5) ISPO Document Review Tanggungjawab terhadap pekerja – Penerapan SMK3, pengelolaan dan pengendalian lingkungan,			√	
Tuesday, 22/01/2019	08.00-12.00	ISPO Audit	√	√	√	
	12.00-14.00	Lunch Break	√	√	√	
	14.00-17.00	ISPO Audit	√	√	√	
Wednesday, 23/01/2019	08.00-12.00	ISPO Audit	√	√	√	
	12.00-14.00	Lunch Break	√	√	√	
	14.00-17.00	ISPO Audit	√	√	√	
Thursday, 24/01/2019	08.00-10.00	Report Preparation and Auditor Discussion	√	√	√	
	10.00-11.00	Closing Meeting	√	√	√	
	11.00-20.00	Traveling Site – Rantau Prapat – Medan (Stay at Kualanamu Airport Hotel)	√	√	√	
Friday, 25/01/2019	09.00-11.25	Flight Kualanamu – Jakarta (By Garuda GA 183)	√	√	√	

NCR Visit:

Date	Time	Subjects	EP
Monday, 04/03/2019	05.35-08.00	Flight Jakarta – Medan	√
	10.30-16.30	Travel Medan – Rantau Prapat	√
	17.00-20.00	Travel Rantau Prapat – Umbul Mas Wisesa	√
Tuesday, 05/03/2019	08.00-12.00	NCR Close Out Verification	√
	12.30-13.30	Break/Lunch	√
	13.30-17.00	NCR Close Out Verification	√
	17.00-20.00	Travel Umbul Mas Wisesa – Perlabian	√
Wednesday, 06/03/2019	06.00-14.00	Travel Rantau Prapat - Medan	√
	17.00-19.00	Flight Medan - Jakarta	√

Section 3: Assessment Findings

3.1 Normative requirement applied for this assessment:

- SIPEF Group Time Bound Plan
- RSPO Supply Chain Certification Standard 2017
- RSPO P&C INA-NIWG 2016

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?	PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri are a subsidiary of SIPEF Group. SIPEF Group has disclose all of its companies, mills and estates. The timebound plan including un-certified units/companies.	Comply
Have all the estates and mills certified within five years after obtaining RSPO membership?	No. Not all the estates and mills certified within five years after obtaining RSPO membership. New estates and mills are under progress to be RSPO certified after RSPO NPP carried out in 2014.	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.	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?	No, there is no changes of Time Bound Plan since the last audit.	Comply
Have there been any isolated lapses in implementation of the plan? If yes a Minor non-compliance shall be raised	No, there is no any 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?	Yes. Stakeholder comments are noted. The assessment team has conducted a search in internet to confirm that there is a comment that was recorded as complaint under RSPO Case Tracker; raised by the individual on those units that have not been certified. RSPO Case Tracker recorded complaint to PT. Agro	Comply

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	<p>Muara Rupit, dated 17 May 2017. The complainant brought forward the issue of fraudulent land title to RSPO. The complainant claimed that his land was fraudulently sold by his cousin to PT. Agro Muara Rupit, a subsidiary of SIPEF Group. The summary presented in the RSPO Case Tracker:</p> <p>On 25 July 2017 - Secretariat to write to the company and inform them on the complaint.</p> <p>On 24 August 2017 (CP Meeting) - Secretariat to wait for reply from the company.</p> <p>On 28 August 2017 - Secretariat received response from the company.</p> <p>On 5 September 2017 - Complainant failed to provide the document.</p> <p>On 11 September 2017 - Secretariat has sent an email to SIPEF.</p> <p>On 26 September 2017 (CP Meeting) - Secretariat to draft the decision letter.</p> <p>On 18 June 2018 – Complaint Panel to deliver a decision.</p> <p>On 25 July 2018 – Complaint Panel to deliver a decision.</p> <p>On 23 August 2018 – Draft decision letter to be reformatted.</p> <p>On 19 September 2018 – Decision Letter – Complaints Panel.</p> <p>On 26 September 2018 – The decision letter finalised and to be delivered to Parties.</p> <p>On 24 October 2018 – Complaint Panel Decision letter has been sent to parties. Deadline for submission of appeals is on 20 December 2018.</p> <p>On 20 December 2018 – The complaint is officially closed.</p> <p>The case tracker available on link https://askrspo.force.com/Complaint/s/case/50090000028Es1JAAS/detail</p>	
Un-Certified Units or Holdings		
<p>No replacement after dates defined in NIs Criterion 7.3:</p> <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. 	<p>All new planting after January 1st, 2010 have undergone and complies with RSPO New Planting Procedure/RSPO NPP.</p> <p>RSPO NPP for PT. Agro Muara Rupit, PT. Agro Kati Lama, PT. Agro Rawas Ulu have been published in RSPO website.</p>	Comply
<p>Any new plantings since January 1st 2010 shall comply with the RSPO New Plantings Procedure.</p>	<p>RSPO NPP for PT. Agro Muara Rupit, PT. Agro Kati Lama, PT. Agro Rawas Ulu have been published in RSPO website.</p>	Comply
<p>Any Land conflicts are being resolved through a mutually agreed process, such as RSPO Complaints System or Dispute</p>	<p>The assessment team has conducted a search in internet to confirm that there is a lodged land conflict that was recorded as complaint under RSPO Case</p>	Comply

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<p>Settlement Facility, in accordance with RSPO P&C criteria 2.2, 6.4, 7.5 and 7.6.</p> <p>The RSPO RaCP tracker shall be checked to confirm for any land conflicts/Liabilities https://www.rspo.org/certification/remediation-and-compensation/racp-tracker. The progress on the Liabilities shall be verified and reported.</p>	<p>Tracker; raised by individual on those units that have not been certified.</p> <p>RSPO Case Tracker recorded complaint to PT. Agro Muara Rupit, dated 17 May 2017. The complainant brought forward the issue of fraudulent land title to RSPO. The complainant claimed that his land was fraudulently sold by his cousin to PT. Agro Muara Rupit, a subsidiary of SIPEF Group. The summary presented in the RSPO Case Tracker:</p> <p>On 25 July 2017 - Secretariat to write to the company and inform them on the complaint.</p> <p>On 24 August 2017 (CP Meeting) - Secretariat to wait for reply from the company.</p> <p>On 28 August 2017 - Secretariat received response from the company.</p> <p>On 5 September 2017 - Complainant failed to provide the document.</p> <p>On 11 September 2017 - Secretariat has sent an email to SIPEF.</p> <p>On 26 September 2017 (CP Meeting) - Secretariat to draft the decision letter.</p> <p>On 18 June 2018 – Complaint Panel to deliver a decision.</p> <p>On 25 July 2018 – Complaint Panel to deliver a decision.</p> <p>On 23 August 2018 – Draft decision letter to be reformatted.</p> <p>On 19 September 2018 – Decision Letter – Complaints Panel.</p> <p>On 26 September 2018 – The decision letter finalised and to be delivered to Parties.</p> <p>On 24 October 2018 – Complaint Panel Decision letter has been sent to parties. Deadline for submission of appeals is on 20 December 2018.</p> <p>On 20 December 2018 – The complaint is officially closed.</p> <p>The case tracker available on link https://askrspo.force.com/Complaint/s/case/50090000028Es1JAAS/detail.</p> <p>Assessment team checked to confirm any land conflict/liabilities on RaCP tracker and found note “The compensation plans for PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri (SIPEF) have been approved by the Compensation Task Force during the staged implementation of the RaCP between May 2014 and November 2015”.</p>	
<p>Any Labor disputes are being resolved through a mutually agreed process, in accordance with RSPO P&C criterion 6.3.</p>	<p>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 units that have not been certified.</p>	<p>Comply</p>

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Any Legal non- compliance is being addressed through measures consistent with the requirements of RSPO P&C criteria 2.1	No non-legal compliance 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 legal non-compliance on those units that have not been certified.	Comply
Did the company conduct internal audit against the uncertified management units requirement? If yes, a positive assurance statement shall be available.	The internal audit has been conducted for all uncertified units: <ul style="list-style-type: none"> • PT. Agro Muara Rupit was conducted on 8-10 October 2018; • PT. Agro Kati Lama was conducted on 10-13 September 2018; • PT. Agro Rawas Ulu was conducted on 21-3 October 2018; Each company provide correction and corrective action on the base to ensure all RSPO P&C requirements are implemented.	Comply

3.3 Progress of scheme smallholders and/or outgrowers

Progress of scheme smallholders or outgrowers towards compliance with relevant standards		
Requirement	Remarks	Compliance
Has 100% of scheme smallholders and/or scheme outgrowers comply with the standard within three years of the mill's initial certification?	All of independent smallholders has to be certified before they can supply their FFB to SIPEF Group's palm oil mills, including Koperasi Serba Usaha Suka Makmur that supplied FFB to Umbul Mas Wisesa Palm Oil Mill.	Comply

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 Annual Surveillance Assessment 4 there were four (4) Major & one (1) Minor nonconformities raised. PT Umbul Mas Wisesa 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 #		Clause & Category (Major / Minor)	
	1725398-201901-M1		RSPO P&C INA NI September 2016 - Indicator 4.6.3

			(Major)
Date Issued	24 January 2019	Due Date	24 April 2019
Closed (Yes / No)	Yes	Date of nonconformity Closure	5 March 2019
Statement of Nonconformity:	The budget for Starthene for Nettle Caterpillar treatment is not minimized as part of a plan.		
Requirement Reference:	RSPO P&C INA NI September 2016 - Indicator 4.6.3 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.		
Objective Evidence:	The budget for Starthene for Nettle Caterpillar treatment in UMW North Estate: 2016: budget 0 kg; actual 2,454.37 kg; 2017: budget 187.44 kg; 10,783 kg; 2018: budget 562.31 kg; 4,048 kg; 2019: budget 643.5 kg;		
Corrections:	<ul style="list-style-type: none"> - Reducing starthene use budget in 2019. - Starthene application base on Pest and diseases cencus, only aplicated on area with indication high and moderate attack by nettle caterpillar. 		
Root Cause Analysis:	Increased budget use of starthene for nettle caterpillar treatment in 2019, due to the possibility of increased attacks based on previous years' experience		
Corrective Actions:	<ul style="list-style-type: none"> - Reducing budget starthene in 2019, from 643.5 kg to 399 Kg. - Biological control plan to reduce nettle caterpillar attack in 2019: <ul style="list-style-type: none"> • Planting Turnera Subulatta, 29,750 plant. • Application Cordycep fungus, 360 Ha. • Release Sycanus Sp, 300 insect. 		
Assessment Conclusion:	<ul style="list-style-type: none"> - The company has shown letter from Agronomist North Sumatera dated 24 June 2016 stating that based on annual meeting Tolan Tiga Indonesia Group on 23 June 2016, threshold of leaf eater caterpillar attack to performed chemical control is 5 larva per frond. - Auditor has verified the census result of January 2019, stated attack level in Division I is at Block 08G14 (5.28 larva per frond), Block 07H14 (5.52), Block 08I13 (5.69), Block 07I14 (5.52); Division II is no attack; Division III is at Block 09J28 (5.60), Block 09J29A (9.65); Division IV is at Block 09G16 (8.49), Block 09G17 (5.34), Block 09H16 (8.20), Block 09H17 (7.97); Division V is no attack. - Auditor has verified the census result of February 2019, stated attack level in Division I is at Block 07H12 (11.24 larva per frond), Block 07H13 (11.09), Block 07H14 (10.93), Block 08H15 (14.17), Block 07I13 (12.20), Block 07I14 (12.39), Block 07J13 (9.83), Block 07J14 (17.91); Division II is at Block 09K18 (11.19), Block 07K21 (9.91), Block 07J15 (5.20), Block 08J16A (5.30); Division III is at Block 09J27 (5.02), Block 09J28 (16.80), Block 0929A (5.62); Division IV is no attack; Division V is no attack. - Based on Stock Issued Summary in Lintramax system, the use of Starthene in January 2019 is 644.50 kg; in February 2019 is 1,068.78 kg, the uses of Starthene is only for controlling high and moderate attack. - Other type of controlling leaf eater caterpillar attack has been performed by the company in form of planting beneficial plant (Turnera subulatta), e.g. in January 2019 as much as 800 plant (69 Ha); in February as much as 5344 plant (459 Ha). 		

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	<ul style="list-style-type: none"> - Application of Cordyceps militaris to infect pre pupa in field Division I Block 08G15, 09H15; Division II Block 07I15, 08I16, 08I17, 08K15, 09K18A, 09K21A; Division IV 09G16, 09G17, 09H16, 09H17; total 262.9 Ha, total applied 13.145 liter. - Development of Sycanus as predator of leaf eater caterpillar; monitoring per 5 March 2019 are eggs there are 5 colony, instar #3 there are 40 individual, parents there are 25 couples. <p>Major Non-conformity is closed on 5 March 2019.</p>		
Nonconformity			
NCR Ref #	1725398-201901-M2	Clause & Category (Major / Minor)	RSPO P&C INA NI September 2016 - Indicator 6.5.2 (Major)
Date Issued	24 January 2019	Due Date	24 April 2019
Closed (Yes / No)	Yes	Date of nonconformity Closure	5 March 2019
Statement of Nonconformity:	Company did not monitor the work agreement between casual worker and the Koperasi Jasa Karyawan Umbul Mas Wisesa, whereby the said agreement did not indicating clearly: pay and condition of employment, deductions, overtime, sickness, reason for dismissal and period of notice.		
Requirement Reference:	RSPO P&C INA NI September 2016 - Indicator 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.		
Objective Evidence:	Casual worker in UMW and TUM Estate, have work agreement with Koperasi Jasa Karyawan Umbul Mas Wisesa, signed on February 2018. The work agreement stipulates the working hour is 7 hours, the working day 16-21 mandays, provision of insurance (BPJS Ketenagakerjaan). The work agreement between casual worker and the Koperasi Jasa Karyawan Umbul Mas Wisesa, whereby the said agreement did not indicating clearly: pay and condition of employment, deductions, overtime, sickness, reason for dismissal and period of notice.		
Corrections:	PT. TUM has issued a letter dated 24 January 2019 to request Koperasi Jasa Karyawan Umbul Mas Wisesa for Revise employment agreement between Koperasi Jasa Karyawan Umbul Mas Wisesa with Casual Workers to the fulfillment of regulations relating to casual workers.		
Root Cause Analysis:	Lack of supervision of existing work agreements between casual workers and Koperasi Jasa Karyawan Umbul Mas Wisesa.		
Corrective Actions:	Revision the working agreement between Koperasi Jasa Karyawan Umbul Mas and Casual worker, expected to be completed in the middle of February 2019.		
Assessment Conclusion:	<ul style="list-style-type: none"> - Auditor verified letter from Estate Manager to Koperasi Jasa Karyawan PT Umbul Mas Wisesa dated 24 January 2019 requesting revision of employee agreement between Koperasi Jasa and Casual Worker. - Auditor verified that working agreement between Koperasi Jasa PT Umbul Mas Wisesa and Casual Worker has been revised as on Kesepakatan Kerja No.01/KJ/02/2019 dated 6 February 2019. The revised working agreement has included pay and condition of employment, deductions, overtime, sickness, reason for dismissal and period of notice. The revised working agreement also mentioned that the Koperasi provided working tools, PPE, health insurance 		

	<p>and social insurance.</p> <ul style="list-style-type: none"> - Auditor has verified sample of working agreement dated 6 February 2019 signed by Casual Worker on behalf Andrian and Sarimudin Manulang as second party. Working agreement signed by Chairman of Koperasi Jasa as first party and known by Chairman of Manpower agency (Kepala Dinas Ketenagakerjaan) Kabupaten Labuhanbatu Selatan. - The company has provided dissemination of working agreement between Koperasi Jasa and Casual Worker, based on minutes of dissemination dated 2 March 2019. Attendance list were evident, dissemination located at warehouse parking field attended by 36 participants, dissemination located at Division 8 field attended by 26 participants. <p>Major Non-conformity is closed on 5 March 2019.</p>		
Nonconformity			
NCR Ref #	1725398-201901-M3	Clause & Category (Major / Minor)	RSPO Supply Chain Certification Standard (June 2017) General Chain of Custody Requirement-Clause 5.3.2 (Major)
Date Issued	24 January 2019	Due Date	24 April 2019
Closed (Yes / No)	Yes	Date of nonconformity Closure	5 March 2019
Statement of Nonconformity:	PT. Umbul Mas Wisesa cannot demonstrate RSPO SCCS 2017 internal audit process was sufficient to justify the implementation of supply chain standard effectively.		
Requirement Reference:	<p>RSPO SCCS, General Chain of Custody Requirements - Clause 5.3.2</p> <p>The site shall have a written procedure to conduct annual internal audit to determine whether the organization;</p> <ul style="list-style-type: none"> i) conforms to the requirements in the RSPO Supply Chain Certification Standard and the RSPO Market Communications and Claims Documents. ii) effectively implements and maintains the standard requirements within its organization. 		
Objective Evidence:	<p>Latest internal audit carried out on 17-20 October 2018, however the internal audit checklist was not covered RSPO SCCS General Chain of Custody Requirement's clause:</p> <ul style="list-style-type: none"> • 5.7 Registration of Transaction; • 5.8 Training • 5.9 Record Keeping • 5.10 Transaction Registration • 5.11 Claims • 5.12 Complaints • 5.13 Management Reviews 		
Corrections:	<ul style="list-style-type: none"> - PT. Umbul Mas Wisesa will carry out a re-internal audit to ensure compliance with RSPO SCCS requirements. - Internal audit of RSPO SCCS has been carried out by PT. Umbul Mas Wisesa on 29 -30 January 2019. 		
Root Cause Analysis:	PT. UMW has implemented RSPO SCCS Internal Audit, but not yet included all clauses in the RSPO Supply Chain Certification Standard.		

Corrective Actions:	The implementation of the Internal audit shall be in accordance with company procedures based on RSPO SCCS.		
Assessment Conclusion:	<ul style="list-style-type: none"> - Auditor verified that the company has done re-internal audit on 29-30 January 2019. Internal audit conducted by internal auditor Efri Paryanto and M. Furqon. Internal audit conducted according to RSPO Supply Chain Certification Standard version June 2017, Module D - CPO Mills: Identity Preserved. - Based on Internal Audit Report, scope of internal audit covers Umbul Mas Wisesa Palm Oil Mill and supply bases (company owned estates, UMW South Estate, UMW North Estate and TUM Estate). - All requirements in RSPO Supply Chain Certification Standards version June 2017 has been audited during internal audit including RSPO SCCS General Chain of Custody Requirements clauses: <ul style="list-style-type: none"> • 5.7 Registration of Transaction: status comply; • 5.8 Training: status comply; • 5.9 Record Keeping: status comply; • 5.10 Conversion Factors: status comply; • 5.11 Claims: status comply; • 5.12 Complaints: status comply; • 5.13 Management Reviews: status not comply, reason: management review will be conducted after internal audit. - Management review has been conducted on 1 February 2019 covering all agenda mentioned in clause 5.13.2 and 5.13.3. <p>Major Non-conformity is closed on 5 March 2019.</p>		
Nonconformity			
NCR Ref #	1725398-201901-M4	Clause & Category (Major / Minor)	RSPO Supply Chain Certification Standard (June 2017) - General Chain of Custody Clause 5.13.2 (Major)
Date Issued	24 January 2019	Due Date	24 April 2019
Closed (Yes / No)	Yes	Date of nonconformity Closure	5 March 2019
Statement of Nonconformity:	Certificate holder has not includes information on customer feedback, follow up actions from management reviews, changes that could affect the management system, recommendation for improvement – as input during RSPO SCCS management review.		
Requirement Reference:	RSPO SCCS - General Chain of Custody Clause 5.13.2 The input to management review shall include information on: <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. 		
Objective Evidence:	The latest management review carried out on 5 December 2018. The management review input discussing: internal audit result and the corrective action being implemented. Certificate holder has not includes information on customer feedback, follow up		

	actions from management reviews, changes that could affect the management system, recommendation for improvement – as input during RSPO SCCS management review.
Corrections:	The Management Review was conducted on 1 February 2019 to review results of the internal audit conducted on January 29-30, 2019. The management review included all information based on the RSPO SCCS 5.13.2.
Root Cause Analysis:	PT. UMW has been implemented Management Review, however not includes information on customer feedback, follow up actions from management reviews, changes that could affect the management system, recommendation for improvement.
Corrective Actions:	Implement Review Management based on internal audit results in accordance with RSPO SCCS requirements in coordination with: <ul style="list-style-type: none"> - Marketing Department: to review information related to stock volume and sales volume, customer handling complaints and other related matters. - Quality Department: to review information regarding changes of SOP related to RSPO SCCS.
Assessment Conclusion:	<ul style="list-style-type: none"> - Auditor verified that Management Review has been conducted on 1 February 2019, attended by all key personnel involved in RSPO SCCS implementation including Mill Manager, Mill Head Assistant, Mill Assistant and Office Assistant. - The input of Management Review has include: <ul style="list-style-type: none"> • Results of internal audits covering RSPO Supply Chain Certification Standard: findings of internal audit at UMW POM dated 17-20 October 2018; findings of RSPO ASA4 PT Umbul Mas Wisesa dated 15-16 January 2019; findings of Re-Internal Audit at UMW POM dated 29-30 January 2019. • Customer feedback: based on customer survey conducted by Marketing Department, there was no complaint against sales of CPO and PK from UMW POM. • Status of preventive and corrective actions: all findings have been discussed during this management review, all findings have been corrected and have been closed. • Follow-up actions from management reviews: follow up of management review are attached in Corrective Action of internal and external audit findings. • Changes that could affect the management system: there has been revision of SOP regarding Supply Chain System (Supply Chain and Traceability of Palm Product), ENC 01-08/20-08-2018/Rev.1, change are related to title of SOP; record control and keeping related production process in mill with 5 years retention period or stated by OU; records can be kept in soft or hard copy; control of non-conforming product are referring to SOP of Marketing Department; internal monitoring; monitoring to contractors; monitoring of certification validity; revision of SOP Customer Complaint handling (MKT-03-02/26-04-2018/rev.1) related to records of customer complaints; customer complaints clarification mechanism; records and analysis of customer complaints. • Recommendations for improvement: the next management review covers all operational units which related in RSPO SCCS implementation of PT Umbul Mas Wisesa (Marketing Department, Perlabian POM and Bulking Storage in Dumai. <p>Major Non-conformity is closed on 5 March 2019.</p>

Nonconformity			
NCR Ref #	1725398-201901-N1	Clause & Category (Major / Minor)	RSPO P&C INA NI September 2016 - Indicator 6.8.3 (minor)
Date Issued	24 January 2019	Due Date	Next Assessment
Closed (Yes / No)	Yes	Date of nonconformity Closure	Next Assessment
Statement of Nonconformity:	Company was not performing sufficient control over the work condition related to provision of working tools and PPE for casual worker under Koperasi Jasa Karyawan Umbul Mas Wisesa was not of equal treatment for work - compared to permanent worker.		
Requirement Reference:	RSPO P&C INA NI September 2016 - Indicator 6.8.3 Records of evidence that equal opportunity and treatment for work shall be available.		
Objective Evidence:	<ul style="list-style-type: none"> - Casual worker in TUM Estate, have work agreement with Koperasi Jasa Karyawan Umbul Mas Wisesa, signed on February 2018. The work agreement stipulates the working hour is 7 hours, the working day 16-21 mandays, provision of insurance (BPJS Ketenagakerjaan). - The said casual worker stated their PPE and working tools are provided by the casual worker themselves. - The work agreement between casual worker and the Koperasi Jasa Karyawan Umbul Mas Wisesa, whereby the said agreement did not indicating clearly: the provision for working tools and PPE. - Furthermore, verifying the work agreement between PT. Toton Usaha Mandiri and Koperasi Jasa Karyawan Umbul Mas Wisesa: "Surat Perjanjian Kerja No.03/TUME/KJK/V/2017 antara PT. Toton Usaha Mandiri dengan Koperasi Jasa Karyawan Umbul Mas Wisesa" dated 1 May 2017. Point 1, paragraph 1 stipulated company gives work in form of upkeep, plant sanitation, mature, immature, preparation and building cleaning service - to cooperative. Point 2, paragraph 5 "Pihak Kedua harus menyediakan Alat Pelindung Diri (APD) untuk BHL dan BHL harus menggunakan APD selama bertugas" – Cooperative shall provide PPE for the temporary worker and the said worker shall use PPE while performing work. 		
Corrections:	PT. TUM has issued a letter dated 24 January 2019 to request Koperasi Jasa Karyawan Umbul Mas Wisesa to provide working tools and PPE for casual worker who working at PT. Toton Usaha Mandiri.		
Root Cause Analysis:	The lack of supervision carried out by PT Toton Usaha Mandiri on working conditions related to the supply of work equipment and PPE for casual workers under Koperasi Jasa Karyawan Umbul Mas.		
Corrective Actions:	<ul style="list-style-type: none"> - To Ensure that casual workers who are working at PT. TUM has agreement with Koperasi Jasa Karyawan Umbul Mas Wisesa. - Monitoring and recording the completeness of working tool and PPE for casual workers. 		
Assessment Conclusion:	Audit team accepted the corrective action plan prepared by certificate holders. However, audit team will review the implementation, consistency and effectiveness of corrective action taken during subsequent assessment visit. Minor Non-cnformity remains open.		

Opportunity for Improvements	
OFI #	Description
OFI 1	The Environmental Aspect & Impact List prepared for UMW POM have been reviewed on 1 December 2018. However, it has not taken into consideration the impact on installation new boiler: amount of under utilized fiber, with side impact: leach water.

Positive Findings	
PF #	Description
PF 1	PT. Umbul Mas Wisesa demonstrate high level of commitment to the development of surrounding area, the company spent a lot of cost to maintain the access road to the company.
PF 2	Excelent hospitality during stay at PT Umbul Mas Wisesa Guest House

3.4.1 Status of Nonconformities Previously Identified and Observations

Non-Conformity			
NCR Ref #	1578496-201801-N1	Clause & Category (Major / Minor)	RSPO P&C 2013, INA NI 2016 - Indicator 5.3.3 (Minor)
Closed (Yes / No)	Yes	Date of nonconformity Closure	15 January 2019
Statement of Nonconformity:	Not adequate evidence to demonstrate company has consistently implement waste management plan to avoid or reduce pollution.		
Requirement Reference:	A documented waste management plan to avoid or reduce pollution and its implementation shall be available.		
Objective Evidence:	<p>PT. Umbul Mas Wisesa has demonstrated the permit for temporary hazardous waste storage as in "Keputusan Kepala Dinas Penanaman Modal dan Pelayanan Perizinan Terpadu Satu Pintu Kabupaten Labuhanbatu Selatan No.503/514/DPMPPTSP-LS/2017 tentang Izin Penyimpanan Sementara Limbah Bahan Berbahaya dan Beracun PT. Umbul Mas Wisesa South Estate", dated 25 April 2017. Under the permit, in "Diktum MEMUTUSKAN KEDUA, point 5.c" mentioned "Tidak diperkenankan menyimpan sementara limbah Bahan Berbahaya dan Beracun di tempat lain selain tempat penyimpanan sementara sebagaimana disebutkan dalam huruf a seperti yang di Diktum KESATU (N: 20 13' 9,832"; E: 1000 17' 5,30") - it is not allowed to store the hazardous waste outside the permitted location, located in PT. Umbul Mas Wisesa South Estate.</p> <p>However, based on visit to polyclinic Umbul Mas Wisesa (dated 15 January 2018), located in Umbul Mas Wisesa South Estate - it was found that medical waste stored in the clinic, instead of stored in hazardous waste store; as required in the permit. Based on balance sheet record PT. Umbul Mas Wisesa South Estate the transport of medical waste dated 4 April 2017 (2.2 kg) and 24 October 2017 (6.8 kg).</p>		
Corrective Actions:	<ol style="list-style-type: none"> 1. Medical waste management in polyclinic shall be in accordance with applicable procedures monitored by Estate Manager and Office Assistant UMW South Estate and Team ENC GMO North Sumatera; 2. Polyclinic will deliver medical waste to hazardous waste store (TPS Limbah B3) 		

	Waste according to the time limit specified in Polyclinic Procedure. Monitoring will be performed by ENC Department - through internal audit;
Assessment Conclusion:	<p>During this assessment, auditor verified that medical waste and other type hazardous waste (waste oil, empty chemical container, contaminated material, battery) regulated as per procedure "Penyimpanan Limbah Bahan Berbahaya dan Beracun (Limbah B3) dan Tanggap Darurat". The hazardous waste stored in a dedicated storage completed with alarm, spill kit, secondary containment and PPE for operator. Hazardous waste from PT Umbul Mas Wisesa North Estate and PT Toton Usaha Mandiri including from all polyclinic are delivered every week to temporary hazardous waste storage located in UMW-South, which has permission to store hazardous waste.</p> <p>Minor Non-conformity is closed on 15 January 2019.</p>

Opportunity for Improvement	
OFI#	Description
OFI 1	Nil

3.4.2 Summary of the Nonconformities and Status

CAR Ref.	Category (Major / Minor)	P&C Indicator	Issued Date	Status & Date (Closure)
1025752M0	Major	2.1.2	12 th May 2014	Closed on 4 th September 2014
1025752M29	Major	RSPO NPP	12 th May 2014	Closed on 10 th November 2014
1048188M10	Major	5.6.2	12 th May 2014	Closed on 4 th September 2014
1048188M1	Major	4.7.1	12 th May 2014	Closed on 4 th September 2014
1048188M2	Major	5.1.2	12 th May 2014	Closed on 4 th September 2014
1048188M9	Major	5.3.2	12 th May 2014	Closed on 4 th September 2014
1048188N12	Minor	4.4.2	12 th May 2014	Closed on 29 th January 2016
1048188N13	Minor	4.4.3	12 th May 2014	Closed on 29 th January 2016
1048188N14	Minor	4.4.4	12 th May 2014	Closed on 29 th January 2016
1048188N4	Minor	4.7.4	12 th May 2014	Closed on 29 th January 2016
1048188N15	Minor	4.7.6	12 th May 2014	Closed on 29 th January 2016
1048188N16	Minor	5.4.1	12 th May 2014	Closed on 29 th January 2016
1048188N18	Minor	5.4.2	12 th May 2014	Closed on 29 th January 2016
1048188N1	Minor	6.3.2	12 th May 2014	Closed on 29 th January 2016
1048188N2	Minor	7.4.2	12 th May 2014	Closed on 29 th January 2016
1578496-201801-N1	Minor	5.3.3	16 th January 2018	Closed on 15 th January 2019
1725398-201901-M1	Major	4.6.3	24 th January 2019	Closed on 5 th March 2019
1725398-201901-M2	Major	6.5.2	24 th January 2019	Closed on 5 th March 2019
1725398-201901-M3	Major	SCCS 5.3.2	24 th January 2019	Closed on 5 th March 2019
1725398-201901-M4	Major	SCCS 5.13.2	24 th January 2019	Closed on 5 th March 2019
1725398-201901-N1	Minor	6.8.3	24 th January	Open

			2019	
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3.5. Stakeholders Consultation

Stakeholder consultation involved internal and external stakeholders. External stakeholders were contacted by telephone to arrange meetings at a location convenient to them to discuss PT Umbul Mas Wisesa 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 <ul style="list-style-type: none"> Gender Committee Worker Union 	Union/Contractors/Local Communities <ul style="list-style-type: none"> Village Head (Kepala Desa) of Tanjung Mulia
Government Departments <ul style="list-style-type: none"> Environmental Agency (Dinas Lingkungan Hidup) of Labuhanbatu Selatan Regency. Manpower Agency (Dinas Tenaga Kerja) of Labuhanbatu Selatan Regency. Plantation Agency (Dinas Perkebunan) of Labuhanbatu Selatan Regency. 	NGO <ul style="list-style-type: none"> Local NGO – LSM Lidik- Krimsus RI

IS #	Description
1	Feedbacks: Environmental Agency (Dinas Lingkungan Hidup) of Labuhanbatu Selatan Regency. <ul style="list-style-type: none"> PT Umbul Mas Wisesa already has environmental document in the form of AMDAL approved by Badan Lingkungan Hidup Kabupaten Labuhan Batu No. 660/324/BLH-LB/AM/2009, dated 03 July 2009. Report of the implementation of RKL-RPL has been sent periodically to Dinas Lingkungan in Labuhanbatu Selatan Regency. Latest for second semester year 2018 (July – December). PT Umbul Mas Wisesa has managed hazardous waste according to regulation, Good environmental management has performed by companies, eg: pollution and emissions management in plantation environment (still below the quality standard), for example: waste water and air emissions. There are no reports from stakeholders related to environmental pollution. There is no land fire in the area of plantation (both of Umbul Mas Estate (North and South) and Toton Usaha Mandiri Estate. Fire monitoring and firefighting reported routinely to environmental office.

	<p>- The management of peat soil has meet government regulation.</p> <p>Management Responses: Positive Comments. PT Umbul Mas Wisesa will continue to implement the environmental requirement as per AMDAL document and reported the performance every six months.</p> <p>Audit Team Findings: Auditor accepted the comment and company response. There is no issue occurs.</p>
IS #	Description
2	<p>Feedbacks: Manpower Agency (Dinas Tenaga Kerja) of Labuhanbatu Selatan Regency.</p> <ul style="list-style-type: none"> - PT Umbul Mas Wisesa has complied with the minimum wage payment in accordance with the applicable regulations based on Upah Minimum Kabupaten Labuhanbatu Selatan. - All employees have been registered to the BPJS Ketenagakerjaan programme (social insurance). - There is no report related to the use of female laborers at night or the use of child labor/forced labor by company (The plantation sector is the worst sector against the use of female laborers at night and the use of child labor). - Collective Labour Agreement (PKB) between company and labor union is referred in working regulation. - PT Umbul Mas Wisesa has compiled the organizational structure of P2K3 and has been authorized by Dinas Tenaga Kerja Kabupaten Labuhanbatu Selatan - PT Umbul Mas Wisesa has realized the provision of PPE for its employees but the consistency of the use of PPE by the workers needs to be improved. - PT Umbul Mas Wisesa has conducted periodic health checks for all workers, especially workers who working at hazardous stations including sprayers and fertilizers. - Heavy equipment operators, conveyances, levers, steamers and others have licenses as operators (SIOs). - PT Umbul Mas Wisesa has provided infrastructure that aims to improve the welfare of employees for example, housing, electricity, clean water, health facilities and educational facilities. - Until the audit is conducted, there are no reports related to disputes. <p>Management Responses: PT Umbul Mas Wisesa has been implementing OHS management both in mill and estate according to regulation. HIRADC has been determined and the control of hazard and risk has been implemented and improve each year, The use of PPE has been consistently applied and monitored.</p> <p>Audit Team Findings: Auditor accepted the comment and company response. There is no issue occurs.</p>
IS #	Description
3	<p>Feedbacks: Plantation Agency (Dinas Perkebunan) of Labuhanbatu Selatan Regency.</p> <ul style="list-style-type: none"> - PT Umbul Mas Wisesa has performed periodic reporting obligations related to plantation business operations in the form of statistical data of oil palm plantations to Plantation Agency of Labuhanbatu Selatan Regency. - PT Umbul Mas Wisesa has reported the Development of Plantation Business Activity every six month under the report named "Laporan Perkembangan Usaha Perkebunan", includes fire monitoring reports. - Monitoring report on land fires for Semester I and II year 2018 have been reported. <p>Management Responses: Positive Comments.</p> <p>Audit Team Findings: Auditor accepted the comment and company response. There is no issue occurs.</p>
IS #	Description
4	Feedbacks:

	<p>Village Head (Kepala Desa) of Tanjung Mulia</p> <ul style="list-style-type: none"> - In general the communication between villagers and PT Umbul Mas Wisesa are going well; - There is no report from villagers related land dispute between company and villagers; - PT Umbul Mas Wisesa do not expand their land, therefore no more land compensation; - There have been no complaint related to environment pollution caused by company operational; - PT Umbul Mas Wisesa has realized the CSR program to the surrounding community and involve them in the process of plan and programme arrangement of each village's CSR program; - Employments for the Village youth are wide open and prioritized according to their qualification. <p>Management Responses: Positive Comments. PT Umbul Mas Wisesa will continue to maintain the good communication.</p> <p>Audit Team Findings: Auditor accepted the comment and company response. There is no issue occurs.</p>
IS #	Description
5	<p>Feedbacks: Local NGO – LSM Lidik- Krimsus RI</p> <ul style="list-style-type: none"> - This NGO is under the guidance of the National Police, in this case it moves to provide assistance in asking for company's aid to the community (CSR) - PT Umbul Mas Wisesa has provided assistance (CSR) especially in terms of road repairs in the village in the form of providing stones and heavy equipment. - PT Umbul Mas Wisesa has provided an opportunity to work in a company for the village community according to their qualifications, - Communication with the community are going well, - During 2018 there were no reports / complaints from the public related to company activities. <p>Management Responses: Positive Comments.</p> <p>Audit Team Findings: Auditor accepted the comment and company response. There is no issue occurs.</p>
IS #	Description
6	<p>Feedbacks: Gender Committee and Worker Union</p> <ul style="list-style-type: none"> - PT Umbul Mas Wisesa provided training for Occupational Health and Safety, Personnel Protective Equipment were provided by the company - Clean water was supplied from mill and several workers using wells water. - Calculation of wage was determined by management in accordance with national and local regulation. - No discrimination noted between employees - Other than salary, employees get a ration of rice. - Overall medical expense is covered by the company. - There was no sexual harassment occurs. - Pregnant test for female sprayer was conducted each month for ensuring that there was no pregnant worker doing work with chemicals. - There were no sprayers that in breast-feeding. - PT Umbul Mas Wisesa has given Personal Protective Equipment for employees to do the job, such as: helmets, gloves, masks and safety shoes. <p>Management Responses: Positive Comments.</p> <p>Audit Team Findings: Auditor accepted the comment and company response. There is no issue occurs.</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 Umbul Mas Wisesa Palm Oil Mill has complied with the RSPO Principle and Criteria Indonesia National Interpretation, September 2016 and 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 Umbul Mas Wisesa Palm Oil Mill is continued.</p>	
Report prepared by	Acceptance of Assessment Conclusion
Name: Eko Purwanto	Name: Mr. Olivier Tichit
Company Name: on behalf BSI Services Malaysia Sdn Bhd	Company Name: PT Umbul Mas Wisesa
Title: Lead Assessor	Title: Director
Signature: 	Signature: <i>(I the undersigned, being the most senior relevant management representative of the operation seeking or holding certification, agree with the contents of this report and accept the liability in execution of the procedure in the report.)</i> 
Date: 15 March 2019	Date: 15 March 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. Umbul Mas Wisesa – Umbul Mas Wisesa Palm Oil Mill listed all publicly available document under “Dokumen-dokumen yang Tersedia untuk Umum”, latest update 2 December 2017. The list consist of: “Akte Pendirian Perusahaan No.AHU.0003567.AH.01.11” – deed of company establishment; “Izin Usaha Budidaya Perkebunan atas nama PT. Umbul Mas Wisesa No.503/11/HUKUM/2005” – plantation business permit; “Analisis Dampak Lingkungan (ANDAL) Rencana Usaha dan/atau Kegiatan Perkebunan Kelapa Sawit, Pabrik Kelapa Sawit dan DUKS PT.Umbul Mas Wisesa No.503/660/268/SET-KOMISI/XII/2008” – social environmental impact assessment; “Rencana Pengelolaan Lingkungan Hidup dan Rencana Pemantauan Lingkungan Hidup (RKL/RPL) No.503.660/268/SET-KOMISI/XII/2008” – social and environmental management and monitoring plan; “Program Keselamatan dan Kesehatan Kerja” - Health and safety program; “Rekaman Keluh Kesah Internal dan Eksternal” – Internal and external grievance record; “Rencana Pengurangan dan Pencegahan Polusi” – Pollution prevention and reduction plan; “Rencana Perbaikan Berkelanjutan” – Continuous improvement plan; “Rangkuman publik dari laporan penilaian badan sertifikasi” – public summary from certification body assessment; See 1.2.1.</p> <p>PT. Toton Usaha Mandiri Estate listed all publicly available document under “Dokumen-dokumen yang Tersedia untuk Umum”, latest update 3 January 2018. The list consist of: “Izin Usaha Budidaya Perkebunan atas nama PT. Toton Usaha Mandiri No.108/172/Huk/2010” – plantation business permit; “Dokumen UKL-UPL Perkebunan Kelapa Sawit seluas 1,200 Ha PT. Toton Usaha Mandiri No.660/324/BLH-LB/AM/2009” – environment management and monitoring plan; “Hak Guna Usaha No.23/HGU/BPN RI/2011” – land title; “Penilaian NKT/HCV PT. Toton Usaha Mandiri, Kabupaten Labuhan Batu Provinsi Sumatera Utara” by Yayasan Kelapa Sawit Berkelanjutan Indonesia – November 2009; “Laporan Rencana Pengelolaan Lingkungan Hidup dan Rencana Pemantauan Lingkungan Hidup (RKL/RPL)” – social and environmental management and monitoring plan; “Program Keselamatan dan Kesehatan Kerja” -</p>	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>Health and safety program; "Rekaman Keluh Kesah Internal dan Eksternal" – Internal and external grievance record; "Rencana Pengurangan dan Pencegahan Polusi" – Pollution prevention and reduction plan; "Rencana Perbaikan Berkelanjutan" – Continuous improvement plan; "Rangkuman publik dari laporan penilaian badan sertifikasi" – public summary from certification body assessment;</p> <p>UMW South Estate: Dokumen-dokumen yang Tersedia untuk Umum (Publicly Available Document) listed 19 types of document: "Akte Pendirian Perusahaan No.AHU.0003567.AH.01.11" – deed of establishment; "Sertifikat HGU No.51, 52, 59, 60, 71" – land titles; "Izin Usaha Budidaya Perkebunan No.503/11/HUKUM/2005 atas nama PT. Umbul Mas Wisesa" – plantation business permit; "Izin Lingkungan Keputusan Gubernur Sumatera Utara No.660/221/BPPTSU/2/IV.1/V/2016" – environment permit; "Rencana Pemantauan dan Pengelolaan Lingkungan Hidup (RKL-RPL) – Rencana Usaha Dan/Atau Kegiatan Perkebunan Kelapa Sawit dan DUKS PT. UMWS Sesuai Keputusan Bupati Labuhan Batu No.503.660/268/SET-KOMISI/XII/2008" – environment management and monitoring plan; "Kelayakan Lingkungan Hidup Adendum Analisis Dampak Lingkungan Hidup, Rencana Pengelolaan Lingkungan Hidup dan Rencana Pemantauan Lingkungan Hidup Kegiatan Perubahan Pengolahan Limbah Cair Berbasis Clean Development Mechanism dan Perubahan Pengolahan Limbah Padat PKS PT. Umbul Mas Wisesa No.188.44/430/KPTS/2013" – environment study; "Izin Penyimpanan Sementara Limbah B3 Perkebunan Kelapa Sawit PT. Umbul Mas Wisesa sesuai Keputusan Kepala Dinas Penanaman Modal dan Pelayanan Perizinan Terpadu Satu Pintu Kabupaten Labuhanbatu Selatan No.503/514/DPMPPTSP-LS/2017" – permit for hazardous waste storage; "Laporan Community Development/Corporate Social Responsibility PT. Umbul Mas Wisesa" – CSR report; "Program Kesehatan dan Keselamatan Kerja" – health and safety program; Continuous improvement plan; "Kebijakan Perusahaan" – company policies; "Rekaman Keluh-kesah Internal dan Eksternal" – Detail of complaint and grievance; "Rencana Pengurangan dan Pencegahan Polusi" – Pollution reduction and prevention plan; "Prosedur Ganti Rugi Lahan" – Negotiation procedures; "Rekaman Publik penilaian sertifikasi" – Public summary of certification body; HCV assessment; Social Impact Assessment;</p>	
<p>1.1.2</p>	<p>Records of requests for information and responses to the information requested shall be available.</p> <p>Company has procedure "Pemberian Tanggapan Terhadap Permintaan Informasi, (Provision of Responses to Requests for Information) No. ENC/SOP/08", rev.2, dated 6 April 2015, which regulates the mechanism of response to requests for information.</p> <p>UMW POM has recorded response upon request</p>	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
<p>- Major compliance -</p>	<p>information in the same log book. Logbook titled "Buku Permintaan dan Tanggapan Informasi". Based on document review UMW POM received 13 information requests in 2018. Based on interview and document review, the unit has given response upon request information timely manner. There were recorded up view type of request, e.g request information from: Letter from "PT. PLN Persero Wilayah Sumatera Utara Area Rantu prapat Rayon Aek Nabara No.0004/AGA01-01/ANA/2018" dated 14 February 2018; related to permission to take pictorial, video and testimonial documentation. The permission approved and video shooting carried out on 16 February 2018.</p> <p>UMW North Estate: The estate has recorded response upon request information in "Buku Permintaan Informasi dan Tanggapan". Sample seen: On 17 December 2018, Mr. Eldi M. Manurung, inquiry when is the Christmast Day and New Year date. Responded by Field Head Assisstant, on the same date: Company follows government regulation, Christmast Day 25 December 2018 and New Year date 1-2 January 2019.</p> <p>TUM Estate: The estate has recorded response upon request information in "Daftar Permintaan Informasi dan Tanggapan Terhadap Permintaan Informasi". Sample seen: On 14 November 2018, Mr. Sugi, inquiry when company will replace the harvesting bridge in division III. Responded by Estate Manager, on 15 November 2018: harvesting bridges have been replaced on phase, and it will continues as budgeted for year 2019.</p> <p>Information provision/reporting</p> <ul style="list-style-type: none"> - Laporan Triwulan P2K3 PT. Umbul Mas Wisesa – UMW POM period October-December 2018. The report declares the number of worker, OHS committee, OHS program, risk evaluation, accident investigation, accident recording and reporting, OHS training, OHS briefing, OHS committee meeting. Report sent on 14 January 2019, received on same date. - Sistem Informasi Pelaporan Elektronik Lingkungan Hidup – Kementerian Lingkungan Hidup dan Kehutanan, whereby on 13 January 2019 PT. Umbul Mas Wisesa – UMW POM reported the hazardous waste management. - Surat No.005/UMWM-EKS/I/2019 from PT. Umbul Mas Wisesa POM to Kantor Dinas Lingkungan Hidup Provinsi Sumatera Utara dated 4 January 2019. PT. Umbul Mas Wisesa reporting its hazardous waste management performance period October-December 2018. - Surat No.209/UMWS/Inst/IX/2018 from PT. Umbul Mas Wisesa to Kantor Dinas Lingkungan Hidup Kabupaten Labuhanbatu Selatan dated 17 September 2018. PT. Umbul Mas Wisesa reporting its environmental 	

Criterion / Indicator	Assessment Findings	Compliance
	management and monitoring performance. Received by government official on 21 September 2018.	
<p>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.</p>		
<p>1.2.1</p> <p>Publicly available documents shall include, but are not necessarily limited to:</p> <ul style="list-style-type: none"> 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). <p>- Major Compliance -</p>	<p>PT. Umbul Mas Wisesa – Umbul Mas Wisesa Palm Oil Mill listed all publicly available document under “Dokumen-dokumen yang Tersedia untuk Umum”, latest update 2 December 2018. The list consist of: “Izin Usaha Budidaya Perkebunan atas nama PT. Umbul Mas Wisesa No.503/11/HUKUM/2005” – plantation business permit; “Tanda Daftar Perusahaan Perseroan Terbatas (PT) atas nama PT. UMW sesuai keputusan Walikota Medan – Kepala Badan Pelayanan Perizinan Terpadu Kota Medan No.01.12.1.01.06225/3814/4261/18/2016” – registration; “Analisis Dampak Lingkungan (ANDAL) Rencana Usaha dan/atau Kegiatan Perkebunan Kelapa Sawit, Pabrik Kelapa Sawit dan DUKS PT.Umbul Mas Wisesa No.503/660/268/SET-KOMISI/XII/2008” – social environmental impact assessment; “Kerangka Acuan Analisis Mengenai Dampak Lingkungan (KA-ANDAL) Rencana Usaha dan/atau Kegiatan Perkebunan Kelapa Sawit, Pabrik Kelapa Sawit dan DUKS PT. UMW sesuai Keputusan Kepala BAPEDALDA Kabupaten Labuhan Batu selaku Komisi Penilai AMDAL Kabupaten No.660/35/SET-KOMISI/X/2008” – term of reference for social-environmental impact assessment; “Rencana Pengelolaan Lingkungan Hidup dan Rencana Pemantauan Lingkungan Hidup (RKL/RPL) No.503.660/268/SET-KOMISI/XII/2008” – social and environmental management and monitoring plan; “Kelayakan Lingkungan Hidup Adendum Analisis Dampak Lingkungan Hidup dan Rencana Pemantauan Lingkungan Hidup Kegiatan perubahan Pengelolaan Limbah Cair Berbasis Clean Development Mechanism dan Perubahan Pengolahan Limbah Padat PKS PT. Umbul Mas Wisesa No.188.44/430/KPTS/2013 – addendum on environmental impact assessment; “Izin Lingkungan Kegiatan Perubahan Pengolahan Limbah Cair berbasis CDM dan Perubahan Pengolahan Limbah Padat Pabrik Kelapa Sawit No.660/221/BPPTSU/2/IV.I/V/2016 – environmental permit; Izin Penyimpanan Sementara Limbah B3 Perkebunan Kelapa Sawit PT. Umbul Mas Wisesa sesuai keputusan Bupati labuhan Batu Selatan No.503/515/DPMPPTSP-LS/2017” – Permit on hazardous waste storage; “Program Keselamatan dan Kesehatan Kerja” - Health and safety program; “Izin Air Permukaan” – water extraction permit; “Akte Pendirian Perusahaan No.AHU.0003567.AH.01.11” – deed of company establishment; “Rekaman Keluh Kesah Internal dan Eksternal” – Internal and external grievance record; “Rencana Pengurangan dan Pencegahan Polusi” – Pollution prevention and reduction plan; “Rencana Perbaikan Berkelanjutan” – Continuous improvement</p>	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p>plan; "Rangkuman publik dari laporan penilaian badan sertifikasi" – public summary from certification body assessment;</p> <p>UMW South Estate: Dokumen-dokumen yang Tersedia untuk Umum (Publicly Available Document) listed 19 types of document: "Akte Pendirian Perusahaan No.AHU.0003567.AH.01.11" – deed of establishment; "Sertifikat HGU No.51, 52, 59, 60, 71" – land titles; "Izin Usaha Budidaya Perkebunan No.503/11/HUKUM/2005 atas nama PT. Umbul Mas Wisesa" – plantation business permit; "Izin Lingkungan Keputusan Gubernur Sumatera Utara No.660/221/BPPTSU/2/IV.1/V/2016" – environment permit; "Rencana Pemantauan dan Pengelolaan Lingkungan Hidup (RKL-RPL) – Rencana Usaha Dan/Atau Kegiatan Perkebunan Kelapa Sawit dan DUKS PT. UMWS Sesuai Keputusan Bupati Labuhan Batu No.503.660/268/SET-KOMISI/XII/2008" – environment management and monitoring plan; "Kelayakan Lingkungan Hidup Adendum Analisis Dampak Lingkungan Hidup, Rencana Pengelolaan Lingkungan Hidup dan Rencana Pemantauan Lingkungan Hidup Kegiatan Perubahan Pengolahan Limbah Cair Berbasis Clean Development Mechanism dan Perubahan Pengolahan Limbah Padat PKS PT. Umbul Mas Wisesa No.188.44/430/KPTS/2013" – environment study; "Izin Penyimpanan Sementara Limbah B3 Perkebunan Kelapa Sawit PT. Umbul Mas Wisesa sesuai Keputusan Kepala Dinas Penanaman Modal dan Pelayanan Perizinan Terpadu Satu Pintu Kabupaten Labuhanbatu Selatan No.503/514/DPMPPTSP-LS/2017" – permit for hazardous waste storage; "Laporan Community Development/Corporate Social Responsibility PT. Umbul Mas Wisesa" – CSR report; "Program Kesehatan dan Keselamatan Kerja" – health and safety program; Continuous improvement plan; "Kebijakan Perusahaan" – company policies; "Rekaman Keluh-kesah Internal dan Eksternal" – Detail of complaint and grievance; "Rencana Pengurangan dan Pencegahan Polusi" – Pollution reduction and prevention plan; "Prosedur Ganti Rugi Lahan" – Negotiation procedures; "Rekaman Publik penilaian sertifikasi" – Public summary of certification body; HCV assessment; Social Impact Assessment;</p>	
<p>Criteria 1.3:</p>		
<p>Growers and millers commit to ethical conduct in all business operations and transactions.</p>		
<p>1.3.1</p>	<p>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</p>	<p>Company has a policy for code of conduct, under "Code of Conduct – PT. Tolan Tiga Indonesia" signed by President Director, on 17 December 2014. The code of conduct consist of internal guidance on good corporate governance, also cover work ethics – basic individual attitude, individual behaviour inside and outside of company; conduct as supervisor, behaviour as subordinate, etc.</p> <p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
<p>operations.</p> <p>- Minor compliance –</p>	<p>Commitment to specific things: Company records, documents, and information should be accountable, accurate and timely; All individuals to realize the responsibility to secure company’s assets; Never tolerate insider trading in accordance with applicable regulations; all individual to avoid conflict of interest; Regulating gifts, souvenir, donations, commission, bribery.</p> <p>Code of conduct policy has been disseminated in UMW POM dated 15 May 2018 for 44 staff and worker: Eko Kurniawansyah (laboratory), Godlip Sartika Pasaribu (Office Assisstant), Titus Telaumbanua (Day worker). To 19 contractor’s driver of CV Sahabat and CV Tua Gabe, dated 4 December 2018.</p> <p>UMW North Estate: Code of conduct dissemination dated 13 December 2018, for 69 workers in Division I, consist of 30 harvesters; 2 pest & disease; 7 upkeep; 25 manuring; 5 supervisors;</p> <p>TUM Estate: Code of conduct dissemination dated 13 December 2018, for 36 workers in Division II, consist of 33 harvesters; 2 supervisors;</p>	
<p>Principle 2: Compliance with applicable laws and regulations</p>		
<p>Criterion 2.1:</p>		
<p>There is compliance with all applicable local, national and ratified international laws and regulations.</p>		
<p>2.1.1</p> <p>Evidence of compliance with relevant legal requirements shall be available.</p> <p>- Major compliance –</p>	<p>Companies prepared and maintained a list of legal requirement “Evaluasi Pemenuhan Peraturan Perundang Undangan”, updated on March 2017. The list consist of 250 rules and regulation (including the 214 rules and regulation, as listed in RSPO P&C INA NI, September 2016, Appendix 1). Company has evaluated 14 categories of regulation such as 42 “Undang-undang” – National laws; 54 “Peraturan Pemerintah” - Government Regulation; 3 “Instruksi Presiden” - President Instruction; 7 “Keputusan Presiden” - President Decree; 8 “Peraturan Presiden” – President Regulations; 125 “Peraturan Menteri” – Minister Regulation; Evaluation of compliance with relevant legal requirements including review by chapter, the relation with operational activities and complemented with evidence of compliance. Evaluation carried out once per year with latest 9 January 2019.</p> <p>PT. Umbul Mas Wisesa (PT. UMW)</p> <p>Based on document review, interview with government bodies, and field visit – company has demonstrate evidence of legal requirement fulfilment. PT. Umbul Mas Wisesa:</p> <p>Izin Lokasi (Location permit).</p> <ul style="list-style-type: none"> - Surat Keputusan Bupati Labuhan Batu No. 08 tahun 2004, dated 26 May 2004, related: “Pemberian Ijin Lokasi untuk Keperluan Perkebunan Kelapa sawit PT. 	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p>Umbul Mas Wisesa, covering ±8,000 Ha”, with description 5,926.25 Ha in Sei Siarti Village, Pantai Tengah District and 2,073.75 Ha falls under Tanjung Mulia Village, Kampung Rakyat District.</p> <ul style="list-style-type: none"> - Renewal of “Izin Lokasi” from Bupati Labuhan Batu, No. 12, 2007, dated 14 June 2007. It was extension from “Izin Lokasi Surat Keputusan Bupati Labuhan Batu No.08 tahun 2004”, dated 26 May 2004. <p>Izin Usaha Perkebunan (Operational Plantation Permit).</p> <ul style="list-style-type: none"> - PT. Umbul Mas Wisesa: No. 503/11/HUKUM/2005, dated 5 August 2005, (±8,451 Ha), located in Tanjung Mulia village and Sei Siarti village. - “Keputusan Kepala Badan Pelayanan Perijinan Terpadu Propinsi Sumatera Utara No.522.2/104/BPPTSU/2/1.3/IX/2014, tentang Izin Usaha Perkebunan untuk Pengolahan (IUP-P) PT. Umbul Mas Wisesa, kapasitas 60 ton TBS/jam, seluas 5.50 Ha”, dated 29 September 2014, and part of “Surat Keputusan Hak Guna Usaha No.51 tanggal 10 Juni 2013”, location in Tanjung Mulia Village, Kampung Rakyat District, Labuhan Batu Regency. <p>Hak Guna Usaha/HGU – Land title:</p> <ul style="list-style-type: none"> - “Sertifikat HGU No.93/HGU/BPN.RI/2014, untuk luasan 679.09 Ha”, issued certificate on 26 September 2014, location in Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province; - “Sertifikat HGU No.93/BPN.RI/2014, luasan 461.90 Ha”, issued certificate on 26 September 2014, location in Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province; - “Sertifikat HGU No.1/HGU/BPN RI/2014, luasan 154.67 Ha”, issued certificate on 5 January 2015, location in Sei Siarti Village, Panai Tengah District, Lbuan Batu Regency, Sumatera Utara Province; - “Sertifikat HGU No. 42/HGU/BPN RI/2013, luasan 2,071.11 Ha”, issued certificate on 10 June 2013, location in Tanjung Mulia Village, Kampung Rakyat District, Labuhan Batu Regency, Sumatera Utara Province; - “Sertifikat HGU No.42/HGU/BPN.RI/2013, luasan 4,396.58 Ha”, issued certificate on 10 June 2013, location in Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province; <p>PT. Toton Usaha Mandiri (PT. TUM):</p> <p>Izin Lokasi – location permit</p> <ul style="list-style-type: none"> - “Surat Keputusan Bupati Labuhan Batu No.7 tahun 2005, tentang Pemberian Ijin Lokasi untuk Keperluan Perkebunan Kelapa sawit PT. Toton Usaha Mandiri”, dated 8 June 2005; covering ±1,200 Ha and located under Sei Siarti Vilage, Panai Tengah District, Labuhanbatu Regency. - Renewal Izin Lokasi from “Surat Keputusan Bupati Labuhanbatu No.492 tahun 2008, tentang Perpanjangan dimaksud dalam Keputusan Bupati 	

Criterion / Indicator		Assessment Findings	Compliance
		<p>Labuhanbatu No.7 tahun 2005 tanggal 8 Juni 2005”, dated 12 December 2008.</p> <p>Izin Usaha Perkebunan (IUP) – plantation business permit:</p> <ul style="list-style-type: none"> - PT. Toton Usaha Mandiri: No.180/172/Huk/2010, dated 5 May 2010 (±1,200 Ha) from Bupati Labuhan Batu. Located under Sei Siarti Vilage, Panai Tengah District, Labuhanbatu Regency. <p>Hak Guna Usaha/HGU – Land Title:</p> <ul style="list-style-type: none"> - “Sertifikat HGU No.23/HGU/BPN RI/2011, dengan luasan 1,198.76 Ha”, dated 26 April 2011. <p>Based on statement letter from Kepala Badan Planologi No.768/VII-KP/2001, dated 19 March 2001 and Kepala Balai Pemanfaatan Kawasan Hutan Wilayah I Medan, No. S.351/VII/BPKHI-2/2006, dated 18 April 2006, stated that all areas under PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri management are non-forest area (Areal Penggunaan Lain - APL).</p> <p>All compensation process are documented into “Surat Keterangan Tanah/SKT”, “Surat Pernyataan Penguasaan Fisik Tanah”, “Peta Lokasi Lahan”, “Surat Keterangan Ganti Rugi Tanah Garapan” acknowledged and witnessed by Village Head. “Surat Pelepasan Hak Menggarap atas Tanah Garapan”, “Tanda Terima Pembayaran Ganti Rugi” and photographs pictures the compensation process.</p>	
2.1.2	<p>A documented system, which includes written information on legal requirements, shall be maintained.</p> <p>- Minor compliance –</p>	<p>Companies prepared and maintained a list of legal requirement “Evaluasi Pemenuhan Peraturan Perundang Undangan”, updated on March 2017. The list consist of 229 rules and regulation (including the 214 rules and regulation, as listed in RSPO P&C INA NI, September 2016, Appendix 1). Company has evaluated 14 categories of regulation such as 47 “Undang-undang” – National laws; 56 “Peraturan Pemerintah” - Government Regulation; 3 “Instruksi Presiden” - President Instruction; 7 “Keputusan Presiden” - President Decree; 17 “Peraturan Presiden” – President Regulations; 129 “Peraturan Menteri” – Minister Regulation; Evaluation of compliance with relevant legal requirements including review by chapter, the relation with operational activities and complemented with evidence of compliance. Evaluation carried out once per year.</p>	Comply
2.1.3	<p>A mechanism for ensuring compliance shall be implemented.</p> <p>- Minor compliance –</p>	<p>Companies prepared and maintained a list of legal requirement “Evaluasi Pemenuhan Peraturan Perundang Undangan”, updated on March 2017. The list consist of 229 rules and regulation (including the 214 rules and regulation, as listed in RSPO P&C INA NI, September 2016, Appendix 1). Company has evaluated 14 categories of regulation such as 47 “Undang-undang” – National laws; 56 “Peraturan Pemerintah” - Government Regulation; 3 “Instruksi Presiden” - President Instruction; 7 “Keputusan Presiden” - President Decree; 17 “Peraturan Presiden” – President Regulations; 129 “Peraturan Menteri” – Minister Regulation; Evaluation of compliance with relevant legal requirements including</p>	Comply

Criterion / Indicator		Assessment Findings	Compliance
		review by chapter, the relation with operational activities and complemented with evidence of compliance. Evaluation carried out once per year.	
2.1.4	<p>A system for tracking any changes in the law shall be available and implemented.</p> <p>- Minor compliance –</p>	<p>A mechanism to ensure to track the changes in law is available and the company has updated evaluation of regulation which must comply with regularly. MCA will find information and/or participating in the socialization of the government if there are new regulations or amendment of rules and evaluated the extent to which its fulfillment, assuming there is not yet fulfilled of the regulation, it will be communicated to each unit of the Department for the changes.</p> <p>The company has updated the relevant regulations provided in Indonesian Legislation relating RSPO Principles and its ratification. The procedure has been established, that is "Prosedur Informasi Perubahan Undang Undang dan Peraturan Pemerintah" no. CA/SOP/01, revision 00, dated 1 November 2011. Responsible person is Corporate Affair Manager. If any amendment or new regulation will be evaluated by the MCA, further submitted to the unit of department through General Manger Office.</p> <p>This document was updated on July 2018, e.g. regulations relating to estates and mill have been identified which covers, e.g.:</p> <ul style="list-style-type: none"> - "Peraturan Menteri Lingkungan Hidup dan Kehutanan No.25/MENLHK/SETJEN/KUM.1/7/2018 tentang Pedoman penetapan Jenis Usaha dan/atau Kegiatan yang Wajib Memiliki Upaya Pengelolaan Lingkungan Hidup dan Upaya Pemantauan Lingkungan Hidup dan Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup" – effective 19 July 2018, evaluation not applicable for UMW POM. - "Peraturan Menteri Lingkungan Hidup dan Kehutanan No.P.23/MENLHK/SETJEN/KUM.1/7/2018 tentang Kriteria Perubahan Usaha dan/atau Kegiatan dan Tata Cara Perubahan Ijin Lingkungan" – effective 26 July 2018, evaluation not applicable for UMW POM. <p>September 2018:</p> <ul style="list-style-type: none"> - "Peraturan Menteri Lingkungan Hidup dan Kehutanan No.P.92/MENLHK/SETJEN/KUM.1/8/2018 tentang Perubahan atas Peraturan Menteri Lingkungan Hidup dan Kehutanan No.P.20/MENLHK/SETJEN/KUM.1/6/2018 tentang Jenis Tumbuhan dan Satwa yang Dilindungi" – effective 5 September 2018, evaluation not applicable for UMW POM. <p>-</p>	Comply
<p>Criterion 2.2:</p> <p>The right to use the land is demonstrated, and is not legitimately contested by local people who can demonstrate that they have legal, customary or user rights.</p>			

Criterion / Indicator	Assessment Findings	Compliance
<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> <p>- Major compliance -</p>	<p>PT. Umbul Mas Wisesa has obtained land title for its plantation, under Hak Guna Usaha (HGU), in detail:</p> <ol style="list-style-type: none"> 1. "Surat Kepala Kepala BPN No.42/HGU/BPN RI/2013 tentang Pemberian Hak Guna Usaha atas nama PT. Umbul Mas Wisesa atas tanah di Kabupaten Labuhan Batu Selatan dan Labuhan Batu, Provinsi Sumatera Utara dengan luas 6,467.69 Ha" dated 28 May 2013. The HGU valid until 28 May 2048. Then subsequently issued with certificate: <ul style="list-style-type: none"> - "Sertifikat HGU No.51 dengan luas 2,071.11 Ha sesuai dengan Surat Ukur No.287/Tanjung Mulia/2013 tertanggal 10 Juni 2013", dated 10 June 2013. - "Sertifikat HGU No.52 dengan luas 4,396.58 Ha sesuai dengan Surat Ukur No.287/Tanjung Mulia/2013 tertanggal 10 Juni 2013", dated 10 June 2013. 2. "Surat Keputusan BPN No.93/HGU/BPN RI/2014 tentang Pemberian HGU atas nama PT. Umbul Mas Wisesa Atas Tanah di Kabupaten Labuhan Batu, Provinsi Sumatera Utara seluas 1,140.99 Ha", dated 25 June 2014. The permit valid until 25 June 2049. The permit then subsequently issued with certificate: <ul style="list-style-type: none"> - "Sertifikat HGU No.59 seluas 679.09 Ha sesuai dengan Surat Ukur No.494/Labuhan Batu/2014 tertanggal 14 Agustus 2014" dated 29 September 2014; - "Sertifikat HGU No.60 seluas 461.90 Ha sesuai dengan Surat Ukur No.494/Labuhan Batu/2014 tertanggal 14 Agustus 2014", dated 29 September 2014. 3. "Surat Keputusan BPN No.1/HGU/BPN.12/III/2014 tentang Pemberian HGU atas nama PT. Umbul Mas Wisesa Atas Tanah terletak di Kabupaten Labuhan Batu, Provinsi Sumatera Utara seluas 154.67 Ha", dated 28 March 2014. The permit valid until 28 March 2049. The permit then issued with certificate "Sertifikat HGU No.71 sesuai dengan Surat Ukur No. 493/Labuhan Batu/2014 tertanggal 13 Agustus 2014" dated 5 January 2015. <p>PT. Toton Usaha Mandiri (PT. TUM): "Surat keputusan Kepala BPN No. 23/HGU/BPN RI/2011, tentang Pemberian Hak Guna Usaha atas nama PT Toton Usaha Mandiri atas Tanah di Kabupaten Labuhan Batu, Provinsi Sumatera Utara seluas 1,198.76 Ha", dated 26 April 2011. The permit valid until 26 April 2046. The permit then issued with certificate "Sertifikat HGU No.36/2011, sesuai dengan Surat Ukur No.10/Sei Siarti/2011 tertanggal 12 Mei 2011" dated 12 May 2011.</p> <p>Based on statement letter from Kepala Badan Planologi No.768/VII-KP/2001, dated 19 March 2001 and Kepala Balai Pemanfaatan Kawasan Hutan Wilayah I Medan, No. S.351/VII/BPKHI-2/2006, dated 18 April 2006, stated that</p>	<p>Comply</p>

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Criterion / Indicator		Assessment Findings	Compliance
		all areas under PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri management are non-forest area (Areal Penggunaan Lain - APL).	
2.2.2	<p>Legal boundaries are demonstrated clearly and maintained.</p> <p>- Minor compliance -</p>	<p>PT Umbul Mas Wisesa and PT Toton Usaha Mandiri carried out monitoring of boundary poles on regular basis. UMW-North Estate has monitored the boundary poles monthly basis and reported under "Daftar Pemeriksaan Patok Batas Kebun (HGU)". Based on field visit, the boundary poles found to be in good condition and visibly maintained, the boundary identity is clear as well.</p> <p>Boundary pole inspection is conducted once in two month, based on review document, it was seen that 139 pegs in Umbul Mas Wisesa South Estate good condition and 33 pegs in PT TUM and also good condition. Based on field visits found that peg visibly and maintained, e.g. Pegs No. 116, 126, 127 and 128 in Division II UMW South Estate. Last inspection conducted in November 2018. The company has been doing peg maintenance regularly in annual basis; the last maintenance was conducted in December 2018.</p> <p>Based on field visit in boundary pole at block J29 under Division III, boundary pole No. 70, 71 and 72 in UMW North Estate are in good condition and in correct position.</p> <p>Based on field visit in boundary pole at block M22, M23, M24 and N09A, boundary poles No. 21, 22, 23 and 24 under Toton Usaha Mandiri Estate are in good condition and in correct position.</p>	Comply
2.2.3	<p>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>The company has a mechanism for Land Compensation issued on 1 July 2012 (Doc. No: SOP/CA/02); the procedure outlines the mechanism for compensation through the FPIC process (dissemination), Document Verification and Measurement of land and Price Negotiation "Ganti Rugi Tanam Tumbuh/GRTT". Completeness GRTT are as follows;</p> <ol style="list-style-type: none"> 1. Letter of Request for measurement, 2. Minute of land surveying, 3. Certificate of Land or "Surat Keterangan Tanah/SKT; 4. Statement of no dispute 5. Statement of Recognition of Rights, 6. Statement Own Land / Land for smallholder (if any), 7. Letter of Waiver working on arable land, arable land compensation letters. <p>PT. Umbul Mas Wisesa have demonstrated across a copy of the agreement that has been agreed upon in the process of "Ganti Rugi Tanah Garapan (GRTG)" on the work area owned. Based on recap of GRTG process has been carried out on an area of 6,468.60 Ha. In the first phase of an area of 1,923.03 Ha against 93 groups and 1,163 owners as well as the second stage is an area of 1,923.03 Ha against 18 group and 84 owners in the</p>	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>village of Tanjung Mulia and Sei Siarti.</p> <p>Data verified:</p> <ul style="list-style-type: none"> - Copies of implementation process of Land compensation (GRTG); on behalf of Mr. B***** D*****, Tanjung Mulia village community; for land being part of 202 Ha under "Pak Purba" party with the evidence "Surat Keterangan Tanah", of Compensation paid/received have been listed in the District Kampung Rakyat, Tanjung Mulia Village and also Notary Lince Hutahayan. - Letter of Land Compensation, land Inventory Results Measurement of cultivated land made jointly witnessed by the village Head of Tanjung Mulia and the Group of surrounding landowners; map of compensated land and Land Certificate or Surat Keterangan Tanah/SKT" Mr. B***** D***** in 2007. <p>PT. Toton Usaha Mandiri have demonstrated across a copy of the agreement that has been agreed upon in the process of "Ganti Rugi Tanah Garapan (GRTG)" on cultivated area owned. Based on recap of GRTG (land compensation) process, it has been carried out on an area of 761.67 Ha in Sei Siarti Villages against 108 landowners.</p> <p>Data verified: A copy of the agreement against Mr. K***** N***** for 9.99 Ha with evidence "Surat Keterangan Tanah/SKT Desa Sei Siarti No.593.3/785/1512/2004 dated 25 October 2007. Other supporting documents: Letter of Land Compensation, Cultivated Land Inventory and measurement Results that made jointly witnessed by the Village Head of Tanjung Mulia and the Group of surrounding landowners; map of compensated land and Land Certificate or Surat Keterangan Tanah/SKT" of Mr. K***** N*****. Compensation paid on 25 October 2007.</p>	
<p>2.2.4</p>	<p>There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved. - Major compliance –</p> <p>Based on document verification, public consultation with "Kantor Pertanahan Kabupaten Labuhanbatu" and villagers in Sei Siarti and Tanjung Mulia, it was known that no land dispute/land conflict between company and community.</p> <p>The land compensation process carried out with negotiation between both parties. The FPIC process documented under "Dokumen Ganti Rugi Tanam Tumbuh/GRTT", e.g. for Mr. K***** N***** for 9.99 Ha with evidence "Surat Keterangan Tanah/SKT Desa Sei Siarti No.593.3/785/1512/2004 dated 25 October 2007. Other supporting documents: Letter of Land Compensation, cultivated land Inventory and measurement Results made jointly witnessed by the Village Head of Tanjung Mulia and the Group of surrounding landowners; Map of compensated land and</p>	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance
		Land Certificate or Surat Keterangan Tanah/SKT” of Mr. K***** N*****. Compensation paid on 25 October 2007.	
2.2.5	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 –	Based on document verification and public consultation during ASA 4 (January 2019) with “Kantor Pertanahan Kabupaten Labuhanbatu” and villagers in Sei Siarti and Tanjung Mulia, it was known that no land dispute/land conflict between company and community. The land compensation process carried out with negotiation between both parties. The FPIC process documented under “Dokumen Ganti Rugi Tanam Tumbuh/GRTT”, e.g. for Mr. K***** N***** for 9.99 Ha with evidence “Surat Keterangan Tanah/SKT Desa Sei Siarti No.593.3/785/1512/2004 dated 25 October 2007. Other supporting documents: Letter of Land Compensation, cultivated land Inventory and measurement Results made jointly witnessed by the Village Head of Tanjung Mulia and the Group of surrounding landowners; Map of compensated land and Land Certificate or Surat Keterangan Tanah/SKT” of Mr. K***** N*****. Compensation paid on 25 October 2007.	Comply
2.2.6	To avoid escalation of conflict, there shall be no evidence that palm oil operations have instigated violence in maintaining peace and order in their current and/or planned operations. - Major compliance –	Based on document verification and public consultation with “Kantor Pertanahan Kabupaten Labuhan Batu” and villagers of Sei Siarti and Tanjung Mulia, it was known that no land dispute/land conflict between company and community. In addition, community stated that companies have never made any intimidation, coercion and/or use violence in handling land conflict/land compensation.	Comply
Criterion 2.3: Use of the land for oil palm does not diminish the legal rights, customary or user right of other users without their free, prior and informed consent.			
2.3.1	Maps 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 -	PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri have prepared a map indicating previous landowners with recognized legal, customary or user rights. The map was prepared prior to initial land compensation process; carried out on an area of 6,468.60 hectares. In the first phase for an area of 1,923.03 Ha against 93 groups and 1,163 land owners as well as the second phase for an area of 1,923.03 Ha against 18 group and 84 land owners in the village of Tanjung Mulia and Sei Siarti. The same process carried out in PT. Toton Usaha Mandiri, for an area of 761.67 Ha in Sei Siarti Villages against 108 land owners. Based on document review and stakeholder consultation, there was noted that no land dispute in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri plantation areas.	Comply
2.3.2	Copies of negotiated agreements including the process of free,	The company has a mechanism for land Compensation issued on 1 July 2012 (Doc. No: SOP/CA/02); the	Comply

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Criterion / Indicator	Assessment Findings	Compliance
<p>prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and these include:</p> <ul style="list-style-type: none"> a) Evidence of consultation b) Statement of transfer of rights c) Evidence of compensation <p>See specific guidance 2.3.2</p> <p>- Minor compliance -</p>	<p>procedure outlines the mechanism for land compensation through the FPIC process (dissemination), Document Verification, land measurement and Price Negotiation as documented in "Ganti Rugi Tanam Tumbuh/GRTT" (land compensation) documents. GRTT documents are consist of:</p> <ol style="list-style-type: none"> 1. Letter of Request for measurement, 2. Minute of land surveying, 3. Certificate of Land or "Surat Keterangan Tanah/SKT; 4. Statement of no dispute 5. Statement of Recognition of Rights, 6. Statement Own Land / Land for smallholder (if any), 7. Letter of Waiver working on arable land, arable land compensation letters. <p>PT. Umbul Mas Wisesa have demonstrated across a copy of the agreement that has been agreed upon in the process of "Ganti Rugi Tanah Garapan – GRTG" (lan compensation) on the work area owned. Based recap, GRTG process has been carried out on total area of 6,468.60 Ha. In the first phase for an area of 1,923.03 Ha against 93 groups and 1,163 owners as well as the second phase for an area of 1,923.03 Ha against 18 group and 84 owners in the village of Tanjung Mulia and Sei Siarti.</p> <p>Examples: Copies implementation process of GRTG (Land Compensation); on behalf of Mr. B***** D*****, Tanjung Mulia village community; for land being part of 202 Ha under "Pak Purba" party with the evidence "Surat Keterangan Tanah"; Compensation paid/received have been listed in the Kampung Rakyat District, Tanjung Mulia Village and also Notary Lince Hutahayan.</p> <p>Letter of Land Compensation, Cultivated Land Inventory and Monitoring Results made jointly witnessed by the Village Head of Tanjung Mulia and the Group of surrounding landowners; Map of compensated land and Land Certificate or Surat Keterangan Tanah/SKT" Mr. B***** D***** in 2007.</p> <p>PT. Toton Usaha Mandiri have demonstrated as well across a copy of the agreement that has been agreed upon in the process of "Ganti Rugi Tanah Garapan - GRTG" (land compensation) on the work area owned. Based recap, GRTG process has been carried out for an area of 761.67 Ha in Sei Siarti Villages against 108 land owners. Sample verified: against Mr. K***** N***** for 9.99 Ha with evidence "Surat Keterangan Tanah/SKT Desa Sei Siarti No.593.3/785/1512/2004 dated 25 October 2007. Other supporting documents: Letter of Land Compensation, Cultivated Land Inventory and Measurement Results made jointly witnessed by the Village Head of Tanjung Mulia and the Group of surrounding land owners; Map of compensated land and</p>	

Criterion / Indicator		Assessment Findings	Compliance
		Land Certificate or Surat Keterangan Tanah/SKT” of Mr. K***** N*****. Compensation paid on 25 October 2007. Up to this surveillance assessment, there was no more land compensation carried out.	
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 -	Based on stakeholder interview, all information related to oil palm development, social-economic and environmental impact assessment, HCV assessment and procedure for land compensation is available in Bahasa Indonesia.	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 -	PT Umbul Mas Wisesa and PT Toton Usaha Mandiri was able to demonstrate that local communities are represented and participated during the meeting with stakeholder, discussing the social-economic and environmental planning. The meeting involving all relevant stakeholders, institution and representative of surrounding communities.	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-	<p>PT. Umbul Mas Wisesa has prepared a business plan for period 2019 – 2026. The business plan indicating the projected production of FFB, CPO and PK; cost of production, revenue and profit estimation. This projection include FFB receiving from the supply base of PT Toton Usaha Mandiri Estate and outgrowers (KSU).</p> <p>Company also demonstrated independent financial audit report for from “Deloitte Satrio Bing Eny”, dated 14 October 2018. The financial audit report for financial statements for the Eight Months Ended 31 August 2018. The public accountant recommended that management doing periodical check for Outstanding Proforma Invoice to make sure that invoice have been received from vendor and proforma Invoice can reclass to trade payable.</p> <p>UMW POM: company has business plan for period 2019-2026 including FFB receiving and processing. Sampled “Business Plan of FFB, CPO/PK, and Processing Cost 2019 – 2021”: FFB</p> <table border="1"> <thead> <tr> <th>Year</th> <th>UMW South (Ton)</th> <th>UMW North (Ton)</th> <th>TUM Estate (Ton)</th> <th>Out-grower (Ton)</th> </tr> </thead> <tbody> <tr> <td>2019</td> <td>122,617</td> <td>72,215</td> <td>30,644</td> <td>1,500</td> </tr> <tr> <td>2020</td> <td>126,165</td> <td>73,629</td> <td>30,644</td> <td>1,575</td> </tr> <tr> <td>2021</td> <td>123,388</td> <td>74,966</td> <td>30,644</td> <td>1,654</td> </tr> <tr> <td>2022</td> <td>117,945</td> <td>74,415</td> <td>30,466</td> <td>1,736</td> </tr> </tbody> </table>	Year	UMW South (Ton)	UMW North (Ton)	TUM Estate (Ton)	Out-grower (Ton)	2019	122,617	72,215	30,644	1,500	2020	126,165	73,629	30,644	1,575	2021	123,388	74,966	30,644	1,654	2022	117,945	74,415	30,466	1,736	Comply
Year	UMW South (Ton)	UMW North (Ton)	TUM Estate (Ton)	Out-grower (Ton)																								
2019	122,617	72,215	30,644	1,500																								
2020	126,165	73,629	30,644	1,575																								
2021	123,388	74,966	30,644	1,654																								
2022	117,945	74,415	30,466	1,736																								

Criterion / Indicator		Assessment Findings					Compliance										
		2023	111,549	71,656	30,248	1,823											
		2024	106,914	67,263	30,159	1,914											
		2025	103,572	65,565	29,015	2,010											
		2026	102,090	65,035	28,043	2,111											
		CPO:															
		Year	UMW (Ton)	TUM Estate (Ton)	Out-grower (Ton)												
		2019	48,674	7,048	345												
		2020	49,844	7,048	362												
		2021	49,481	7,048	380												
		2022	47,894	7,007	399												
		2023	45,656	6,957	419												
		2024	43,405	6,937	440												
		2025	42,114	6,673	462												
		2026	41,550	6,450	485												
		PK:															
		Year	UMW (Ton)	TUM Estate (Ton)	Out-grower (Ton)												
		2019	10,607	1,011	53												
		2020	10,851	1,011	55												
		2021	10,775	1,011	58												
		2022	10,441	1,005	61												
		2023	9,971	998	64												
		2024	9,500	995	67												
		2025	9,214	957	70												
		2026	9,082	925	74												
		Total:															
		Year	FFB (Ton)	CPO (Ton)	PK (Ton)	OER (%)		KER (%)									
		2019	226,976	56,067	11,671	24.00		5.00									
		2020	232,013	57,254	11,917	24.00	5.00										
		2021	230,652	56,909	11,844	24.00	5.00										
		2022	215,407	55,300	11,507	24.00	5.00										
		2023	215,276	53,032	11,033	24.00	5.00										
		2024	206,250	50,782	10,562	24.00	5.00										
		2025	200,162	43,243	10,241	24.00	5.00										
		2026	197,279	48,485	10,081	24.00	5.00										
3.1.2	<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>UMW South Estate: There is no replanting program for next 5 years in UMW South Estate. The oldest plant in UMW South Estate was 2005 plantation, therefore replanting will be start in around 2030.</p> <p>UMW North Estate: There was no replanting program for next 5 years. Replanting programme 2033-2037. The plan for replanting will start on 2031.</p> <table border="1"> <tr> <td>2031</td> <td>2032</td> <td>2033</td> <td>2034</td> <td>2035</td> </tr> <tr> <td>253.27</td> <td>255.65</td> <td>259.58</td> <td>236.99</td> <td>211.34</td> </tr> </table> <table border="1"> <tr> <td>2036</td> <td>2037</td> <td>2038</td> <td>2039</td> </tr> </table>	2031	2032	2033	2034	2035	253.27	255.65	259.58	236.99	211.34	2036	2037	2038	2039	Comply
2031	2032	2033	2034	2035													
253.27	255.65	259.58	236.99	211.34													
2036	2037	2038	2039														

Criterion / Indicator		Assessment Findings	Compliance														
		<table border="1"> <tr> <td>293.55</td> <td>360.11</td> <td>352.65</td> <td>380.13</td> </tr> </table> <p>TUM Estate: Replanting programme 2033-2037. The plan for replanting will start on 2031.</p> <table border="1"> <tr> <td>2031</td> <td>2032</td> <td>2033</td> <td>2034</td> <td>2035</td> </tr> <tr> <td>198.93</td> <td>270.63</td> <td>266.49</td> <td>219.40</td> <td>179.50</td> </tr> </table>	293.55	360.11	352.65	380.13	2031	2032	2033	2034	2035	198.93	270.63	266.49	219.40	179.50	
293.55	360.11	352.65	380.13														
2031	2032	2033	2034	2035													
198.93	270.63	266.49	219.40	179.50													
Principle 4: Use of appropriate best practices by growers and millers																	
Criterion 4.1:																	
Operating procedures are appropriately documented, consistently implemented and monitored.																	
4.1.1	<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>Estate: The procedures documented in "Oil Palm Agricultural Manual" (revised on 20 November 2017), where it contains all sub section of the process, such as: Nursery, land clearing, planting in peat soil and mineral soil with zero burning, planting legume cover crops, terracing, upkeep (fertilizer and pesticides, included safe working practices), water level management, riparian and watercourse management, harvesting, replanting and FFB transport.</p> <p>Interviews with the employees indicate satisfactory level of understanding and implementation in relation to their respective job function. Such as:</p> <ol style="list-style-type: none"> OPM-02-01; Land Preparation of Oil Palm Nursery – Persiapan Lahan Pembibitan Kelapa Sawit OPM-02-02; Oil Palm Pre Nursery – Pre Nursery Kelapa Sawit. OPM-02-03; Oil Palm Main Nursery – Main Nursery Kelapa Sawit. OPM-03-01; Survey and Mapping – Survey dan Pemetaan. OPM-03-02; Land Clearing – Pembersihan Lahan. OPM-03-03; Land Preparation – Persiapan Lahan. OPM-03-04; Legume Cover Crop <i>Mucuna bracheteata</i> – <i>Mucuna bracheteata</i> Kacangan Penutup Tanah. OPM-03-05; Field Planting – Penanaman ke Lapangan. OPM-04-01; Palm Supplying – Penyisipan Tanaman. OPM-04-02; Thinning Out and Removing Plant – Penjarangan dan pembongkaran Tanaman. OPM-05-01; Ablation and Sanitation – Ablasi dan Sanitasi. OPM-05-02; Harvesting – Panen. OPM-05-03; FFB and LF Delivery – Pengiriman TBS dan Berondolan. OPM-05-04; Frond Pruning – Pemangkasan Pelepah. OPM-05-05; Black Bunch Count – Sensus Buah. OPM-05-06; <i>Elaeobius camerunicus</i> Management – Pengelolaan <i>Elaeobius camerunicus</i>. OPM-06-01; Inorganic Fertiliser – Pupuk Inorganik. OPM-06-02; Organic Fertiliser – Pupuk Organik OPM-06-03; LSU: Palm Marking – LSU: Penandaan 	Comply														

Criterion / Indicator	Assessment Findings	Compliance
	<p>Tanaman.</p> <ol style="list-style-type: none"> 20. OPM-06-04; Leaf Sampling Unit (LSU) and Rachis Sampling Unit (RSU) – Pengambilan Sampel. 21. OPM-07-01; Detection and Census – Deteksi dan Sensus. 22. OPM-07-02; Pest Control – Pengendalian Hama. 23. OPM-07-03; Disease Control – Pengendalian Penyakit. 24. OPM-07-04; Integrated Pest Management – Pengendalian Hama Terpadu. 25. OPM-08-01; Weed Control – Pengendalian Gulma. 26. OPM-09-01; Water management in Coastal Soil – Pengelolaan Air di Tanah Pesisir. 27. OPM-09-02; Management of Riparian Area – Pengelolaan Riparian Area. 28. OPM-09-03; The Use, Store and Discrad Pesticide – Penggunaan, Penyimpanan dan pemusnahan pestisida. <p>UMW POM: Umbul Mas Wisesa Palm Oil Mill has a set of procedure for processing of oil palm Fresh Frut Bunch into CPO and PK, under "Palm Oil Mill Manual" dated 2 November 2017. The procedures explains all activity from receiving FFB into dispatch of products; Such as:</p> <ol style="list-style-type: none"> 1. POM-01-04; Reception in Umbul Mas Wisesa Palm Oil Mill. 2. POM-02-04; Sterilizer in Umbul Mas Wisesa Palm Oil Mill. 3. POM-03-04; Threshing in Umbul Mas Wisesa Palm Oil Mill. 4. POM-04-04; Pressing in Umbul Mas Wisesa Palm Oil Mill. 5. POM-05-04; Clarification in Umbul Mas Wisesa Palm Oil Mill. 6. POM-06-04; Kernel Plant in Umbul Mas Wisesa Palm Oil Mill. 7. POM-07-04; Steam Plant in Umbul Mas Wisesa Palm Oil Mill. 8. POM-08-04; Power Plant in Umbul Mas Wisesa Palm Oil Mill. 9. POM-09-04; Water Treatment in Umbul Mas Wisesa Palm Oil Mill. 10. POM-10-04; Effluent Plant in Umbul Mas Wisesa Palm Oil Mill. 11. POM-11-04; Storage and Dispatch in Umbul Mas Wisesa Palm Oil Mill. 12. POM-12-04; Workshop in Umbul Mas Wisesa Palm Oil Mill. 13. POM-13-04; EFB Plant in Umbul Mas Wisesa Palm Oil Mill. 14. POM-14-04; Biogas Plant in Umbul Mas Wisesa Palm Oil Mill. <p>The procedures are supported by specific Work</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>Instructions, e.g. as follows:</p> <ol style="list-style-type: none"> 1. POM-01-04-W01; Penimbangan Truk FFB dan Berondolan – Weighing FFB truck and loose fruit. 2. POM-02-04-W01; Loading ramp, Pengisian FFB ke dalam Rebusan Vertical – Loading ramp, FFB loading into vertical sterilizer; 3. POM-02-04-W02; Pengoperasian Vertical Sterilizer – Operating Vertical Sterilizer; a number of key parameter: sterilizer operating for 100 minutes, ensure manometer showing “0” prior to opening the sterilizer. 4. POM-03-04-W01; Pengoperasian Threshing Machine – Operating Threshing Machine. 5. POM-04-04-W01; Pengoperasian Digester – Operating Digester. 6. POM-04-04-W02; Pengoperasian Screw Press – Operating screw press. 7. POM-04-04-W03; Sand Trap and Vibrating Screen. 8. POM-04-04-W04; Pengoperasian Crude Oil Tank – Operating Crude Oil Tank. 9. POM-05-04-W01; Pengoperasian Continuous Settling Tank – Operating Continuous Settling Tank. 10. POM-05-04-W02; Pengoperasian Clean Oil Tank – Operating Clean Oil Tank. 11. POM-05-04-W03; Pengoperasian Sludge Tank – Operating Sludge Tank. 12. POM-05-04-W04; Pengoperasian Oil Purifier – Operating Oil Purifier. 13. POM-05-04-W05; Pengoperasian Vacuum Drier – Operating Vacuum Drier. 14. POM-05-04-W06; Pengoperasian Sludge Centrifuge – Operating Sludge Centrifuge. 15. POM-06-04-W01; Operating Depericarper. 16. POM-06-04-W02; Pengoperasian Ripple Mill – Operating Ripple Mill. 17. POM-06-04-W03; Operating Claybath Separator. 18. POM-06-04-W04; Pengoperasian Sawipack Stage 1 & Stage 2 – Operating Sawipack to separate kernel and shell from cracked mixture from ripple mill, through dry separation. 19. POM-06-04-W05; Pengoperasian Kernel Silo Drier – Operating Kernel Silo Drier to reduce moisture < 7%. 20. POM-06-04-W06; Pengoperasian Hydrocyclone – Operating Hydrocyclone to separate kernel and shell from sawipack through wet method; 21. POM-07-04-W01; Operating Cation Exchanger. 22. POM-07-04-W02; Operating Degasifier. 23. POM-07-04-W03; Operating Anion Exchanger. 24. POM-07-04-W06; Operating Thermal Deaerator. 25. POM-07-04-W07; Boiler (Mech 35 MT/hr). 26. POM-07-04-W08; Penanganan Gangguan Sumber Tidak Bergerak Steam Boiler – Handling disturbance from static Steam Boiler. 27. POM-08-04-W01; Operating Genset. 28. POM-09-04-W01; Operating Water Intake. 	

Criterion / Indicator	Assessment Findings	Compliance
	<p>29. POM-11-04-W01; Pengoperasian CPO Storage Tank – Operating CPO Storage Tank.</p> <p>30. POM-11-04-W02; Pengoperasian Kernel Bin Storage – Operating Kernel Bin Storage.</p> <p>31. Analisa FFA CPO No.UMWPOM-WI/LAB/001 – Analysing CPO’s FFA;</p> <p>32. Analisa FFA Kadar air untuk CPO dispatch No.UMWPOM-WI/LAB/002A – Analysing CPO’s moisture for CPO dispatch;</p> <p>33. Analisa kadar kotoran dan kadar air untuk kernel dipatch No.UMWPOM-WI/LAB/005A – Analyzing dirt and moisture in kernel for dispatch;</p> <p>34. Pengiriman CPO No.UMWPOM-WI/LAB/043 – Delivery of CPO;</p> <p>35. Pengiriman Kernel No.UMWPOM-WI/LAB/044 – Delivery of Kernel;</p> <p>A set of work instruction for mill’s workshop, dated 28th June 2014; including use of welding equipments, cutting metal, operating lathe machine, operating drilling machine, operating portable grinding machine, operating and maintenance of smoke density meter.</p> <p>A set of work instruction for biogas plant, dated 30th August 2014; comprise of: filling in POME into screen chamber and oil grease skimmer, operating of equalization tank, operating of plate heat exchanger and cooling tower, operating of primary clarifier and sludge pit, operating buffer tank, operating anaerobic reactor, operating degassifier, operating Lamella clarifier, operating sludge sump, operating sludge decanter and operating retention pond.</p>	
<p>4.1.2</p>	<p>Checking or monitoring of operations procedures is conducted at least once a year.</p> <p>- Minor compliance -</p> <p>UMW POM: Performance of Umbul Mas Wisesa POM was monitored through regular visit by Director of Engineering in quarterly basis, last visit conducted on 30 October 2018. There were number of findings identified, such as: drain near the sterilizer, boiler operation, old parts and oil at the back of the generators and damaged wheel loader.</p> <p>Internal Audit has been conducted on 17 – 20 October 2018 conducted by Internal Auditor Efri Paryanto and Muhammad Furqan. There were finding identified during internal audit, e.g.: regarding evaluation of legal compliance related Ministry of Manpower Regulation (Permenaker) No.5/2018 regarding Occupational Health and Safety; Permenaker No.10/2018 regarding mechanism of using foreign worker; Ministry of Environment and Forestry (PermenLHK) No.68/2016 regarding Standard of Domestic waste water. There was also finding regarding Training Program identification whereas not including training of hazardous waste management and RSPO Supply Chain to third party (CPO transporter).</p>	<p>Comply</p>

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Criterion / Indicator	Assessment Findings	Compliance
	<p>UMW North Estate: Checking or monitoring of operation procedure has been conducted by internal audit. Last internal audit conducted on 8-10 November 2018. There are several issues identified, such as legal documents, long term management plan, working instruction, HIRAC and training document. All issues have been followed up and discussed during Management review meeting on 8 January 2019.</p> <p>Estate received visit from Director of Estate Department, on 19 September 2018. There are 13 issues identified for UMW North Estate, e.g. percentage of FFB ripeness, harvesting system, overripe LF and road maintenance. All issues have been followed up by UMWN Estate management.</p> <p>UMW South Estate: Checking or monitoring of operation procedure has been conducted by internal audit. Last internal audit conducted on 2-4 October 2018 and follow up visit conducted on 20 October 2018. There are several issues identified, such as waste management plan, water analysis result, IPM, training, safety and hazardous waste. All issues have been followed up and discussed during Management review meeting on 14 December 2018.</p> <p>Report of Director of Estate Department to UMW South Estate, dated 18 September 2018. From the visit there are several comments related to use of correct harvesting tools, control of harvesting rounds, OER fluctuation and fiber evacuation. All issues have been followed up by estate management.</p> <p>Record of Rat baiting application: - Block 17B04, rat attack census dated 3 March 2018 resulted in 1,761 palms infested with new bites; out of 2,250 palms (78%). Management decision to implement use of rat baiting on February – March 2018. - Store Requisition Note dated 8 March 2018, Field assisstant request for 5 kg Tikumin (a.i. Kumatetaril) for chemical treatment of rat attack in block 17B04. - Store Issue Note No.SI00031805 dated 8 March 2018, issued 5 kg Tikumin for treatment rat attack. - Enter Attendance dated 8 March 2018, for 2 workers, Taufik Hidayat and Iwan Purwanto, working on 5 Ha area – code rat baiting. - Rat census in 5 April 2018, the new rat bites reduced into 9/2,250 palms (0.4%).</p> <p>TUM Estate: Checking or monitoring of operation procedure has been conducted by internal audit. Last internal audit conducted on 8-10 November 2018. There are several issues identified, such as legal documents, long term</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>management plan, working instruction, HIRAC and training document All issues have been followed up and discussed during Management review meeting on 8 January 2019.</p> <p>Estate received visit from Director of Estate Department, on 19 September 2018. There are 8 issues identified for TUM Estate, e.g. percentage of FFB ripeness, harvesting system, overripe LF and road maintenance. All issues have been followed up by TUM Estate management.</p> <p>The HCV management plan has been implemented; including jungle guard patrol on two weeks interval, upkeep HCV corridor once in two months, planting on corridor each month, upkeep HCV notice board once every two months, upkeep HCV poles 30 units every two months, upkeep HCV corridor 4 units every other month.</p>	
<p>4.1.3</p> <p>Records of monitoring and any follow-up actions shall be available.</p> <p>- Minor compliance -</p>	<p>UMW POM: Performance of Umbul Mas Wisesa POM was monitored through regular visit by Director of Engineering in quarterly basis, last visit conducted on 30 October 2018. There were number of findings identified, such as: drain near the sterilizer, boiler operation, old parts and oil at the back of the generators and damaged wheel loader. Record of Director of Engineering visit was available including follow up action.</p> <p>Internal Audit has been conducted on 17 – 20 October 2018 conducted by Internal Auditor Efri Paryanto and Muhammad Furqan. There were finding identified during internal audit, e.g.: regarding evaluation of legal compliance related Ministry of Manpower Regulation (Permenaker) No.5/2018 regarding Occupational Health and Safety; Permenaker No.10/2018 regarding mechanism of using foreign worker; Ministry of Environment and Forestry (PermenLHK) No.68/2016 regarding Standard of Domestic waste water. There was also finding regarding Training Program identification whereas not including training of hazardous waste management and RSPO Supply Chain to third party (CPO transporter). Record of internal audit was available including follow up action and status of closure.</p> <p>UMW North Estate: Checking or monitoring of operation procedure has been conducted by internal audit. Last internal audit conducted on 8-10 November 2018. There are several issues identified, such as legal documents, long term management plan, working instruction, HIRAC and training document. All issues have been followed up and discussed during Management review meeting on 8 January 2019.</p> <p>Estate received visit from Director of Estate Department, on 19 September 2018. There are 13 issues identified for UMW North Estate, e.g. percentage of FFB ripeness, harvesting system, overripe LF and road maintenance.</p>	<p>Comply</p>

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Criterion / Indicator		Assessment Findings	Compliance																						
		<p>All issues have been followed up by UMWN Estate management.</p> <p>UMW South Estate: Records of monitoring and any follow up action were available. As seen in internal audit report. Last internal audit conducted on 2-4 October 2018 and follow up visit conducted on 20 October 2018. There are several issues identified, such as waste management plan, water analysis result, IPM, training, safety and hazardous waste. All issues have been followed up and discussed during Management review meeting on 14 December 2018.</p> <p>Report of Director of Estate Department to UMW South Estate, dated 18 September 2018. From the visit there are several comments related to use of correct harvesting tools, control of harvesting rounds, OER fluctuation and fiber evacuation. All issues have been followed up by estate management.</p> <p>TUM Estate: Checking or monitoring of operation procedure has been conducted by internal audit. Last internal audit conducted on 8-10 November 2018. There are several issues identified, such as legal documents, long term management plan, working instruction, HIRAC and training document All issues have been followed up and discussed during Management review meeting on 8 January 2019.</p> <p>Estate received visit from Director of Estate Department, on 19 September 2018. There are 8 issues identified for TUM Estate, e.g. percentage of FFB ripeness, harvesting system, overripe LF and road maintenance. All issues have been followed up by TUM Estate management.</p>																							
4.1.4	<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>Throughout 2018, PT. Umbul Mas Wisesa – UMW POM only received from Koperasi Serba Usaha Suka Makmur, a certified independent smallholder RSPO Certificate Number RSPO637834.</p> <p>Records of FFB received from KSU Suka Makmur:</p> <table border="1"> <thead> <tr> <th>Month</th> <th>FFB (tons)</th> </tr> </thead> <tbody> <tr> <td>Jun 2018</td> <td>18.09</td> </tr> <tr> <td>July 2018</td> <td>60.37</td> </tr> <tr> <td>Aug 2018</td> <td>55.28</td> </tr> <tr> <td>Sep 2018</td> <td>42.67</td> </tr> <tr> <td>Oct 2018</td> <td>15.06</td> </tr> <tr> <td>Nov 2018</td> <td>33.07</td> </tr> <tr> <td>Dec 2018</td> <td>46.65</td> </tr> <tr> <td>Jan 2019</td> <td>59.58</td> </tr> <tr> <td>Feb 2019</td> <td>37.16</td> </tr> <tr> <td>Total</td> <td>367.93</td> </tr> </tbody> </table> <p>The geo location of KSU Sukamakmur member are traceable.</p>	Month	FFB (tons)	Jun 2018	18.09	July 2018	60.37	Aug 2018	55.28	Sep 2018	42.67	Oct 2018	15.06	Nov 2018	33.07	Dec 2018	46.65	Jan 2019	59.58	Feb 2019	37.16	Total	367.93	Comply
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Total	367.93																								

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>UMW North Estate, South Estate and TUM Estate: Company has a procedure for good agriculture practices to maintain soil fertility, as available under SOP: 1. OPM-06-01; Inorganic Fertiliser – Pupuk Inorganik. 2. OPM-06-02; Organic Fertiliser – Pupuk Organik 3. OPM-06-03; LSU: Palm Marking – LSU: Penandaan Tanaman. 4. OPM-06-04; Leaf Sampling Unit (LSU) and Rachis Sampling Unit (RSU) – Pengambilan Sampel.</p> <p>Fertilizer are applied to maintain and increase soil fertility, fertilizer applied following the fertilizer recommendation which established based on soil and leaf analysis as seen on Fertilizer Recommendation for Peat Soil Year 2018 PT Umbul Mas Wisesa. Fertilizer application record in "Monthly Manuring Program Sheet".</p>	<p>Comply</p>
<p>4.2.2 Records of fertilizer inputs shall be available. - Minor compliance -</p>	<p>UMW North Estate: Fertilizer recommendation 2018 described that fertilizer need for UMW North Estate, Urea is 427,693 kg; Rock Phosphate is 279,158 kg; MOP is 511,312 kg; RhizoPlex is 35,016 kg; CuSO₄ is 9,439 kg; Borate is 1,295 kg;; NPK 13:6:27+0.65B is 191,973 kg (1st Semester) and 945,860 kg (2nd Semester).</p> <p>Records of fertilizer inputs are available in "Monthly Manuring Program" for each division and "Rekapitulasi Penggunaan Fertilizer Tahun 2018 UMW North" for estate recapitulation. Based on record, total fertilizer applied in 2018 for Urea is 427,805 kg; Rock Phosphate is 279,100 kg; MOP is 511,350 kg; RhizoPlex is 35,016 kg; CuSO₄ is 9,439 kg; Borate is 1,295 kg; NPK 13:6:27+0.65B is 192,000 kg (1st Semester) and 554,062 kg (2nd Semster).</p> <p>UMW South Estate: Fertilizer recommendation 2018 described that fertilizer need for UMW South Estate, Urea is 894,519 kg; Rock Phosphate is 475,774 kg; MOP is 972,338 kg; Borate is 3,812.70 kg; CuSO₄ is 13,798.20 kg; RhizoPlex is 54,860.74 kg; NPK is 1,636,521 kg.</p> <p>Records of fertilizer inputs are available in "Monthly Manuring Program" for each division and "Rekapitulasi Penggunaan Fertilizer Tahun 2018 UMW South" for estate recapitulation. Based on record, total fertilizer applied in 2018 for MOP is 974,037 kg; Urea is 889,518 kg; Rizoplex 54,583.51 kg; Zincop 25 is 1,392.7 kg; Rock Phosphate is 480,917.5 kg; NPK 13:6:27:4+0.65B is 1,254,946.5 kg; CuSO₄ is 348.80 kg; Borate is 3,784 kg.</p> <p>TUM Estate: Fertilizer recommendation 2018 described that fertilizer</p>	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p>need for 1st Semester TUM Estate Division I, Urea is 103,817.50 kg; Rock Phosphate is 48,532.50 kg; MOP is 152,350 kg; RhizoPlex is 7,701 kg; Division II, Urea is 110,859.50 kg; Rock Phosphate is 55,333.50 kg; MOP is 155,051.50 kg; RhizoPlex is 8,657 kg; CuSO₄ is 837 kg. For 2nd Semester NPK 13:6:27:4+0.65B Division I is 194,773.50 kg; Division II is 205,713 kg.</p> <p>Records of fertilizer inputs are available in "Monthly Manuring Program" for each division and "Rekapitulasi Penggunaan Fertilizer Tahun 2018 TUME" for estate recapitulation. Based on record, total fertilizer applied in 1st Semester 2018 Division I, for Urea is 103,800 kg; Rock Phosphate is 48,500 kg; MOP is 152,350 kg; RhizoPlex is 7,701 kg; Division II for Urea is 110,836 kg; Rock Phosphate is 55,350 kg; MOP is 155,050 kg; RhizoPlex is 8,657 kg; CuSO₄ is 837 kg. For 2nd Semester NPK 13:6:27:4+0.65B Division I is 138,250 kg; Division II is 125,150 kg</p>	
<p>4.2.3</p> <p>Records of periodical leaf, soil and visual analysis shall be available.</p> <p>- Minor compliance -</p>	<p>UMW North Estate: Last periodical leaf sample analysis conducted in 26 July 2018 for preparing fertilizer recommendation 2019. Leaf and Rachis Analysis Report 2018 and fertilizer recommendation 2019 were evident. Leaf Analysis Report was issued by Verdant Bioscience Plant and Soil Nutrition Laboratory with Ref number 10/STC-spl/VII/18, received date 26 July 2018, number of samples 4 bags, analysis date 14 August 2018, document number PSQL/TTI/IX/18/201. Sample seen Lab No.A1832; Sample type-Leaf; Estate-UMWN; Div-I; Block 07H12, 07H13; Sampling date 26 June 2018; Material Socfindo; Plant Year 2007; 57.81 Ha; N 2.41%; P 0.172%; K 0.89%; Mg 0.27%; Ca 0.45%; B 14.33 ppm. Sample seen Lab No.A1835; Sample type-Rachis; Estate-UMWN; Div-V; Block 10H26, 10H27; Sampling date 26 June 2018; Material SJ; Plant Year 2010; 63.46 Ha; P 0.28%; K 2.97%; Mg 0.19%; Ca 0.24%.</p> <p>Semi detail soil survey report of PT UMW North and South Estate carried out in June 2010. Total area surveyed is 6,236 ha, the entire area is low lying flat, dominant soil series is <i>Lenggana</i> series and Organic clay/muck (peat soil); <i>Mekar Jaya</i> and <i>Galing</i> series (acid sulphate soil), peat depth is 3 m to > 5 m, potentially acid sulphate layer is within 100 cm.</p> <p>UMW South Estate: The last periodical leaf sample analysis conducted in May 2018 for preparing fertilizer recommendation 2019. Leaf and Rachis Analysis Report 2018 and fertilizer recommendation 2019 were evident. Leaf Analysis Report was issued by Verdant Plant and Soil Nutrition Laboratory with Ref number 08/STC-spl/18, received date 11 May 2018, number of samples 6 bags, analysis date 6 June 2018, document number PSQL/TTI/VI/18/099. Sample</p>	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance
		<p>seen Lab No.A1526; Sample type-Leaf; Estate-UMWS; Div-I; Block C05-06; Sampling date 25 April 2018; Material PM 02; Plant Year 2007; 62.39 Ha; N 2.37%; P 0.147%; K 0.71%; Mg 0.29%; Ca 0.35%; B 12.31 ppm; Cu 1.99 ppm; Zn 5.06 ppm. Sample seen Lab No.A1531; Sample type-Rachis; Estate-UMWS; Div-VII; Block D35; Sampling date 25 April 2018; Material PM 02; Plant Year 2007; 33.07 Ha; P 0.347%; K 2.47%; Mg 0.22%; Ca 0.28%.</p> <p>TUM Estate: Last periodical leaf sample analysis conducted in 26 July 2018 for preparing fertilizer recommendation 2019. Leaf and Rachis Analysis Report 2018 and fertilizer recommendation 2019 were evident. Leaf Analysis Report was issued by Verdant Bioscience Plant and Soil Nutrition Laboratory with Ref number 10/STC-spl/VII/18, received date 26 July 2018, number of samples 4 bags, analysis date 14 August 2018, document number PSQL/TTI/IX/18/201. Sample seen Lab No.A1836; Sample type-Leaf; Estate-TUME; Div-I; Block N04, N05, P02; Sampling date 26 June 2018; Material Sriwijaya; Plant Year 2009; 67.81 Ha; N 2.45%; P 0.169%; K 0.78%; Mg 0.33%; Ca 0.56%; B 13.86 ppm. Sample seen Lab No.A1839; Sample type-Rachis; Estate-TUME; Div-II; Block L14, L15; Sampling date 26 June 2018; Material Socfindo; Plant Year 2008; 62.53 Ha; P 0.412%; K 2.51%; Mg 0.27%; Ca 0.25%.</p> <p>Semi detail soil survey report of PT Toton Usaha Mandiri carried out in June 2010. Total area surveyed 1,484 ha, the entire area is low lying flat, dominant soil series is <i>Lenggana</i> series, <i>Typic haplohemist</i>, peat soil), peat depth is 3 meters to > 5 meters.</p>	
4.2.4	<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 is no EFB and land application in PT Umbul Mas Wisesa and Toton Usaha Mandiri in 2018, since the location is whole peat.</p>	Comply
<p>Criterion 4.3: Practices minimise and control erosion and degradation of soils.</p>			
4.3.1	<p>Maps of any fragile soils shall be available.</p> <p>- Major compliance -</p>	<p>Based on semi detail soil survey, it was found that mostly PT Umbul Mas Wisesa areas is peat soil, Map of peat soil is available in place with scale 1:40,000 print in A2 size. Soil series sources: Shuttle Radar for Topographic Mission (SRTM) 2006; path 57 Row 12, Digital Rupabumi Map scale 1:250,000 BAKORSURTANAL 2004, Field Observation 2010. Projection Tranverse Mercator, grid Universal Tranverse Mercator and Geographic, datum WGS 84, zone 47N. Soil characteristic consist of:</p>	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> - <i>Lenggana</i> Series (LGN 3,4), <i>Typic haplohemist</i>, mature peat land, 16 – 75 % fibre peat, peat depth 3 – 5 meters, poor drainage, low lying flat (5,681 Ha – 91%). - <i>Mekar Jaya</i> (MKJ), <i>Sulfic endoaquept</i>, silty clay, 35-60% clay, poor drainage, depth 50-100cm and Galling (GLG), <i>Typic sulfaquept</i>, depth 50cm, 35-60% clay, low lying flat (464 Ha – 7%). - Organic clay/muck, <i>Typic humaquepts</i> organic clay, high water table during raining days, acid sulphate at within 50 cm, low lying flat (91 Ha – 2%). <p>Soil profile map in PT. Umbul Mas Wisesa and PT Toton Usaha Mandiri was available made on 16 July 2013, sources:</p> <ul style="list-style-type: none"> - Survey GPS – Geo XT Differential correction - Satellite Image - JH Agriculture Service <p>Soil slopes class map PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri is available base on soil survey on 10 February 2014.</p> <p>TUM Estate: Based on semi detail soil survey, total area surveyed was 1,484 Ha, the entire area is low lying flat, dominant soil series is <i>Lenggana</i> series, <i>Typic haplohemist</i>, peat soil), peat depth is 3 meters to > 5 meters. Semi detail soil map of PT Toton Usaha Mandiri is available in scale 1:20,000 print in A2 size. Soil series sources: Shuttle Radar for Topographic Mission (SRTM) 2006; path 57 Row 12, Digital Rupabumi Map scale 1:250,000 BAKORSURTANAL 2004, Field Observation 2010. Projection Tranverse Mercator, grid Universal Tranverse Mercator and Geographic, datum WGS 84, zone 47N. Soil characteristic consist of: <i>Lenggana</i> Series (LGN 3,4), <i>Typic haplohemist</i>, mature peat land, decomposed hemist peat material, fiber content 16-75% woody, peat depth 3 to > 5 meters, poor drainage (1,484 Ha – 100%).</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> <ul style="list-style-type: none"> - Minor compliance - 	<p>Comply</p>
<p>4.3.3</p>	<p>A road maintenance program shall be in place.</p> <ul style="list-style-type: none"> - Minor compliance – <p>Road maintenance programme available detailing on planning and actual implementation of main road, collection road and bridges. Road maintenance program has been made in the annual budget and the realization of road maintenance in 2018 both of PT UMW and PT TUM were available as well as Road Maintenance program 2019.</p> <p>UMW North Estate:</p>	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p>Program for road maintenance 2018 has been realized as documented in "Upkeep Road Manual Program Tahun 2018", e.g. Division I program 51,094 m, realization 21,877 m; Division II program 48,128 m, realization 24,064 m. During field observation, it was noted that all road can be passed by FFB trucks.</p> <p>Program for road maintenance 2019 was available, comprise e.g. 20,807 m for Division I; 18,078 m for Division II; 18,228 m for Division III; 19,431 m for Division IV; 4,930 m for Division V.</p> <p>UMW South Estate: Program for 2018 total for road maintenance 196,100 meters and 117 bridges. Total realization for 2018 main road 112,752 m and 23 bridges; collection road 134,250 m and 15 bridges; spreaded in Division I: main road 25,150 m and 4 bridges; collection road 17,600 m and 1 bridge; Division II: main road 4,800 m and 4 bridges; collection road 26,800 m and 3 bridges; Division III: main road 23,345 m and 6 bridges; collection road 11,450 m and 3 bridges; Division IV: main road 15,900 m and 1 bridge; collection road 18,800 m and 4 bridges; Division V: main road 5,391 m and 3 bridges; collection road 3,000 m and 1 bridge; Division VI: main road 16,450 m; collection road 11,300 m; Division VII: main road 2,900 m and 5 bridges; collection road 28,200 m and 3 bridges; Division VIII: main road 18,816 m; collection road 17,100 m. During field observation, it was noted that all road can be passed by FFB trucks.</p> <p>Program for road maintenance in 2019 total 211,763 m and 104 bridges, spreaded in Division I: 30,398 m road and 8 bridges maintenance; Division II: 28,372 m road and 15 bridges; Division III: 34,216 m road and 18 bridges; Division IV: 23,250 m road and 17 bridges; Division V: 20,982 m road and 11 bridges; Division VI: 23,255 m road and 12 bridges; Division VII: 29,290 m road and 10 bridges; Division VIII: 22,000 m road and 13 bridges.</p> <p>TUM Estate: Road maintenance program of TUM Estate has been realized as documented in "Upkeep Road Manual Program Tahun 2018", e.g. Division I program 38,562 m, realization 25,093 m; Division II program 15,581 m, realization 18,643. During field observation, it was noted that all road can be passed by FFB trucks.</p> <p>Program for road maintenance 2019 was available, comprise e.g. 61,243 m for Division I; 68,090 m for Division II.</p>	
<p>4.3.4</p>	<p>Subsidence of peat soils shall be minimised and monitored. A documented water and ground</p>	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
<p>cover management programme shall be in place.</p> <p>- Major compliance –</p>	<p>available and implemented, the company has installed and maintained water gates, main drain gate, main drainage, secondary drainage and collection drainage. Regular maintenance of drainages were evident.</p> <p>Monitoring of water management by means of regular inspection and recording of water level, piezo meter, peat subsidence level and water gate lever. Record of monitoring were evident.</p> <p>It was found that water level are maintained in ≤ 40 cm. This procedure following latest regulation, <i>Peraturan Pemerintah No.57 tahun 2016 Perubahan atas Peraturan Pemerintah No.71 tahun 2014 tentang Perlindungan dan Pengelolaan Ekosistem Gambut</i>.</p> <p>Companies have prepared “Work Instruction Water Management PT Umbul Mas Wisesa & PT Toton Usaha Mandiri”. The work instruction has also been prepared to monitor water mangement performance. Monitoring and recording water level and water table in two weeks interval – as well as take immediate action, to open/close water gate accordingly, in order to maintain water level in optimum level. This has been supported by trained supervisor, e.g. Sulistyو at UMW South Estate and Erwin Syahputra at UMW North Estate.</p> <p>Company has also prepared all infrastructure for the palm cultivation in peat area. Started from construction of road network, planting hole-in-hole and drainage network. PT Umbul Mas Wisesa has prepared the drainage to maintain water level in peat area, comprise of main/primary drain, secondary drain and collection/field drain. The size and configuration (width and depth) of each drain has follow the regulation. The drain network has also been complemented with water gate infrastructure – taking into consideration the water inlet and water outlet, water level history, as well as topography in landscape level.</p> <p>Company has developed a water management plan, for cultivation of oil palm in peat soil. This document has been cascaded into “Program Kerja Water Management Tahun 2019” dated 3 January 2019, available for each estate. In order to monitor water level at optimum level, company has:</p> <ul style="list-style-type: none"> - Installed water gate to control drainage; 112 unit at UMWN; 484 unit at UMWS; 95 unit at TUME. - Installed water level pole (near water gate) to monitor water level at two weeks interval; 147 unit at UMWN; 684 unit at UMWS; 56 unit at TUME. - Installed piezometer (inside plantation blocks) to monitor the water table at two weeks interval; 29 unit at UMWN; 52 unit at UMWS; 18 unit at TUME. - Installed peat subsidence poles, in order to monitor peat subsidence on annual basis; 7 unit at UMWN; 8 unit at UMWS; 3 unit at TUME. 	

Criterion / Indicator	Assessment Findings	Compliance
	<p>A yearly report the produced to review and evaluate the water management performance for future planning.</p> <p>UMW North Estate: Field observation conducted to Piezometer at Block J19, water gate at Block J18/19, water pole at Block J18/19 and peat subsidence at Block N01. Water level and water table is always fluctuative based on "Data Rata-rata Monitoring Water Level & Water Table UMWN Tahun 2018" and "Grafik Hubungan Curah Hujan terhadap Water Level dan Water Table". Water level are between 25.9 – 64.4 cm, whilst water table are 22.4 – 61.3 cm. Lowest rainfall happened in August (16 mm) and highest happened in September (306 mm).</p> <p>Monitoring of peat subsidence from 7 units peat subsidence pole mentioned that peat subsidence since 2014 to 2018 is 9.2 cm – average is 1.84 cm/year.</p> <p>Work program for 2019 documented in "Program Kerja Water Management UMWN Tahun 2019, consist of: Monitoring water table and water level, twice in each month; upkeep water table, 29 units in June, July and August; monitoring and upkeep peat subsidence pole in June and December; upkeep water pole in March and September; install water pole in April, May, October and November; Making wakter gate in February, March, April and May; upkeep water gate, monthly.</p> <p>UMW South Estate: Field observation conducted to Piezometer at Block D06, water pole at Block D14 and peat subsidence pole at Block D12 (Division II), and water gate at Block B13/14 (Division II). Water level and water table is always fluctuative based on "Data Rata-rata Monitoring Water Level & Water Table UMW South Tahun 2018" and "Grafik Hubungan Curah Hujan terhadap Water Level dan Water Table". Water level average are between 28.4 – 39.9 cm, whilst water table average are between 44.9 – 64.4 cm. Lowest rainfall happened in July (27 mm) and highest happened in September (381 mm).</p> <p>Monitoring of peat subsidence from 8 units peat subsidence pole mentioned that peat subsidence since 2014 to 2018 in average is 1.59 cm/year.</p> <p>Work program for 2019 documented in "Program Kerja Water Management UMWS Tahun 2019, consist of: Monitoring water table and water level, twice each month; upkeep water table in May and June; monitoring peat subsidence pole in June and December; upkeep peat subsidence pole in June and December; upkeep water pole in May and November; install new water pole in April, May and June; making new water gate, 16 units in January to June; upkeep water gate planned monthly in January to September.</p>	

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Criterion / Indicator		Assessment Findings	Compliance
		<p>TUM Estate: Field observation conducted to Piezometer at Block K13A, water gate at Block L18/19, and peat subsidence at Block L20. Water level and water table at TUM Estate is always fluctuative based on "Data Rata-rata Monitoring Water Level & Water Table TUME Tahun 2018" and "Grafik Hubungan Curah Hujan terhadap Water Level dan Water Table". Water level are between 15.0 – 67.9 cm, whilst water table are 18.2 – 79.8 cm. Lowest rainfall happened in February (71 mm) and highest happened in September (331 mm).</p> <p>Monitoring of peat subsidence from 3 units peat subsidence pole mentioned that peat subsidence since 2014 to 2018 is 9.9 cm – or average 1.98 cm/year.</p> <p>Work program for 2019 documented in "Program Kerja Water Management TUME Tahun 2019, consist of: Monitoring water table and water level, twice each month; upkeep water table, 18 units in April and May; monitoring peat subsidence, in June and December; upkeep water pole, in March and September; install water pole in February to June; upkeep water gate, monthly.</p>	
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>Both of PT Umbul Mas Wisesa and PT Toton Usaha Mandiri was a newly opened plantation with oldest year of planting was 2005, so the replanting plan will be carried out around the year 2030. However, water management has done well, i.e. by making the water gate; water level and water table monitoring (every 2 weeks); monitoring of peat subsidence (annually); monitoring of flood areas by mapping and setting the floodgates/water gate in the area; and in 2017 the company built peat dam to maintain water availability during dry seasons. Based on filed observation of peat dam at UMW North Estate, it was in good condition.</p>	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>PT Umbul Mas Wisesa The company has map of soil type based on semi detail soil survey, June 2010. The map indicate that there is no other fragile soil beside peat soil. Management strategy implemented is water management by controlling water level, installation of water pole, water gate and piezometer.</p> <p>PT Toton Usaha Mandiri: The company has map of soil type based on semi detail soil survey, June 2010. The map indicate that there is no other fragile soil beside peat soil. Management strategy implemented is water management by controlling water level, installation of water pole, water gate and piezometer.</p>	Comply
<p>Criterion 4.4: Practices maintain the quality and availability of surface and ground water.</p>			

Criterion / Indicator		Assessment Findings	Compliance						
4.4.1	<p>An implemented water management plan shall be in place.</p> <p>- Minor compliance -</p>	<p>Company has a document called "Rencana Pengelolaan Air" – Water management plan, effective date 3 January 2019. The water management plan identified the water source for mill processing need and domestic water need is from Sungai Barumon; explanation on the water treatment process.</p> <p>The water management plan explains on the water intake/consumption, permit, water need for palm oil mill – based on water consumption/ton FFB processed (see criterion 4.4.4), water need for domestic use, plan to record the water consumption – on monthly basis.</p> <p>The water management plan explain the effort for water saving: installing automatic control system at water intake, to reduce leakage throughout water piping network, continuously have awareness to all worker on the importance of saving water. The water management plan explain the effort to maintain water quality and schedule for water quality test according to Regulation of Ministry of Health No.492/MENKES/PER/IV/2010 regarding requirement of drinking water quality. The water management plan include facility maintenance by tank cleaning and maintenance of water tank and all supporting facility of water distribution. The water management plan has been implemented.</p> <p>Permit of water intake was evident based on "Keputusan Gubernur Sumatera Utara No.610/39/DIS PM PPTSP/6/XI.1/I/2018 tentang Izin Pengusahaan Sumber Daya Air kepada PT Umbul Mas Wisesa", dated 9 January 2018 – valid for 3 years. The permit allows a maximum intake of 16.67 liter/second for processing and domestic use. Payment of water retribution was evident under "Surat Setoran Pajak Daerah" year 2018 dated 3 January 2019, amount IDR *,**,991. Kohir number 01502980011118.</p>	Comply						
4.4.2	<p>Protection of water courses and wetlands, including securing and maintaining appropriate riparian and other buffer zones, at the time of or prior to replanting shall be demonstrated.</p> <p>- Major compliance -</p>	<p>The company has reserved riparian zone, based on field visit, it was seen that riparian zones is maintained well and no chemical applied along the riparian zones. The company has planted vetiver grass to prevent erosion.</p>	Comply						
4.4.3	<p>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).</p> <p>- Minor compliance –</p>	<p>UMW POM have a permit to discharge POME to water body as in "Keputusan Kepala Dinas Penanaman Modal dan Pelayanan Perizinan Terpadu Satu Pintu Kabupaten Labuhan Batu Selatan No.503/516/DPMPTSP-LS/2017 tentang Izin Pembuangan Limbah Cair ke Air atau Sumber Air PT. Umbul Mas Wisesa" dated 25 April 2017, valid for 5 years until 20 July 2022. The parameter sets:</p> <table border="1"> <thead> <tr> <th>Parameter</th> <th>Kadar paling tinggi</th> <th>Beban pencemaran (kg/ton)</th> </tr> </thead> <tbody> <tr> <td>BOD</td> <td>100 mg/L</td> <td>0.25</td> </tr> </tbody> </table>	Parameter	Kadar paling tinggi	Beban pencemaran (kg/ton)	BOD	100 mg/L	0.25	Comply
Parameter	Kadar paling tinggi	Beban pencemaran (kg/ton)							
BOD	100 mg/L	0.25							

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Criterion / Indicator		Assessment Findings			Compliance																																																	
		COD	350 mg/L	0.88																																																		
		TSS	250 mg/L	0.63																																																		
		Oil and fat	25 mg/L	0.063																																																		
		Total Nitrogen	50 mg/L	0.125																																																		
		pH	6.0 – 9.0																																																			
		Max. debit	2.5 ton/ton CPO production																																																			
		<p>PT. Umbul Mas Wisesa - UMW POM has monitored the palm oil mill effluent quality, to ensure minimum impact to the environment. On regular base, UMW POM sent the palm oil mill effluent for accredited laboratory analysis (PT. Mutuagung Lestari). The analysis report analysis recorded and evaluated:</p>																																																				
		<table border="1"> <thead> <tr> <th>Parameter</th> <th>Jan 2018</th> <th>Feb 2018</th> <th>Mar 2018</th> <th>Apr 2018</th> <th>May 2018</th> </tr> </thead> <tbody> <tr> <td>BOD (mg/L)</td> <td>91</td> <td>16.7</td> <td>79</td> <td>82</td> <td>11.4</td> </tr> <tr> <td>COD (mg/L)</td> <td>193</td> <td>28.7</td> <td>156</td> <td>184</td> <td>21.5</td> </tr> <tr> <td>TSS (mg/L)</td> <td>21</td> <td>12</td> <td>18</td> <td>28</td> <td>12</td> </tr> <tr> <td>Oil&Grease (mg/L)</td> <td>0.10</td> <td>0.10</td> <td>0.10</td> <td>0.30</td> <td><5</td> </tr> <tr> <td>pH</td> <td>7.24</td> <td>7.13</td> <td>7.80</td> <td>7.85</td> <td>8.54</td> </tr> <tr> <td>Nitrogen Total (as N) (mg/L)</td> <td>2.96</td> <td>3.83</td> <td>7.87</td> <td>7.68</td> <td>4.47</td> </tr> <tr> <td>POME Flowrate/month</td> <td>13,103</td> <td>13,947</td> <td>12,458</td> <td>10,519</td> <td>10,247</td> </tr> </tbody> </table>				Parameter	Jan 2018	Feb 2018	Mar 2018	Apr 2018	May 2018	BOD (mg/L)	91	16.7	79	82	11.4	COD (mg/L)	193	28.7	156	184	21.5	TSS (mg/L)	21	12	18	28	12	Oil&Grease (mg/L)	0.10	0.10	0.10	0.30	<5	pH	7.24	7.13	7.80	7.85	8.54	Nitrogen Total (as N) (mg/L)	2.96	3.83	7.87	7.68	4.47	POME Flowrate/month	13,103	13,947	12,458	10,519	10,247	
Parameter	Jan 2018	Feb 2018	Mar 2018	Apr 2018	May 2018																																																	
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Oil&Grease (mg/L)	0.10	0.10	0.10	0.30	<5																																																	
pH	7.24	7.13	7.80	7.85	8.54																																																	
Nitrogen Total (as N) (mg/L)	2.96	3.83	7.87	7.68	4.47																																																	
POME Flowrate/month	13,103	13,947	12,458	10,519	10,247																																																	
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4.4.4	<p>Monitoring of mill water use per ton of FFB shall be recorded.</p> <p>- Minor compliance –</p>	<p>Umbul Mas Wisesa POM recording the mill water use per tonne FFB. The record of water use available in "Pemakaian air dan HSD Oil per metrik FFB". The budget of water use for FFB process sets at 1 m³/ton FFB processed.</p> <p>Record for year 2018 seen:</p> <table border="1"> <thead> <tr> <th>Year</th> <th>FFB Processed (tons)</th> <th>Water usage (m³)</th> <th>Water usage (m³/ton FFB)</th> </tr> </thead> <tbody> <tr><td>2018</td><td></td><td></td><td></td></tr> <tr><td>Jan</td><td>13,725.41</td><td>21,460</td><td>1.56</td></tr> <tr><td>Feb</td><td>11,324.93</td><td>19,472</td><td>1.72</td></tr> <tr><td>Mar</td><td>13,826.35</td><td>19,833</td><td>1.43</td></tr> <tr><td>Apr</td><td>14,795.03</td><td>22,253</td><td>1.50</td></tr> <tr><td>May</td><td>16,582.95</td><td>23,769</td><td>1.43</td></tr> <tr><td>Jun</td><td>11,279.87</td><td>16,029</td><td>1.42</td></tr> <tr><td>Jul</td><td>19,318.83</td><td>12,818</td><td>0.66</td></tr> <tr><td>Aug</td><td>16,905.83</td><td>10,904</td><td>0.64</td></tr> <tr><td>Sep</td><td>16,873.15</td><td>9,275</td><td>0.55</td></tr> <tr><td>Oct</td><td>16,012.63</td><td>10,785</td><td>0.67</td></tr> <tr><td>Nov</td><td>12,917.87</td><td>10,174</td><td>0.79</td></tr> <tr><td>Dec</td><td>9,654.14</td><td>7,134</td><td>0.74</td></tr> <tr><td></td><td>173,217.03</td><td>183,906</td><td>1.06</td></tr> </tbody> </table> <p>In 2016, total FFB process 158,802.83 MT; water for process 162,729 m³; the water usage 1.06 m³/MT FFB process.</p> <p>In 2017, total FFB process 165,200.48 MT; water for process 229,990 m³; the water usage 1.39 m³/MT FFB process.</p> <p>There was a trend inclination in the water use due to boiler issues. The installation of new boiler makes the boiler running 24 hours in the first semester 2018. However, by second semester the boiler runs as per processing hour.</p>	Year	FFB Processed (tons)	Water usage (m ³)	Water usage (m ³ /ton FFB)	2018				Jan	13,725.41	21,460	1.56	Feb	11,324.93	19,472	1.72	Mar	13,826.35	19,833	1.43	Apr	14,795.03	22,253	1.50	May	16,582.95	23,769	1.43	Jun	11,279.87	16,029	1.42	Jul	19,318.83	12,818	0.66	Aug	16,905.83	10,904	0.64	Sep	16,873.15	9,275	0.55	Oct	16,012.63	10,785	0.67	Nov	12,917.87	10,174	0.79	Dec	9,654.14	7,134	0.74		173,217.03	183,906	1.06		Comply
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Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.																																																																
4.5.1	<p>Monitoring of Integrated Pest Management (IPM) plan implementation shall be available.</p> <p>- Major compliance -</p>	<p>UMW North Estate:</p> <p>Integrated pest management plan is evident, as titled "Program Pengendalian Hama Terpadu 2019", established 3 January 2019. The plan consists of monthly basis activity, e.g. monitoring of barn owl box, planting of beneficial plant, census of leaf eater caterpillar, termite census, upkeep beneficial plant, Sycanus reproduction, and Sycanus release; quarterly basis activity, e.g. development and maintenance of barn owl box.</p>		Comply																																																												

Criterion / Indicator	Assessment Findings	Compliance
	<p>Realization of IPM monitoring recorded in "UMW North - Program Pengendalian Hama Terpadu Tahun 2018", e.g. realization of planting beneficial plant 9,840 Ha (9 rounds); leaf eater caterpillar census and termite census are 31,224 Ha (12 rounds). There is no barn owl box existed. There is indication that barn owl prefer to go to HCV area.</p> <p>Monitoring of <i>Sycanus</i> at UMW North Estate conducted daily. Record per 21 January 2019 show that there is 1 colony of egg; 7 colony of instar 1; 10 colony of instar 2; 80 individu of instar 3; 5 individu of instar 4; and 12 couple of adult. Release of <i>Sycanus</i> was recorded under "Berita Acara Pelepasan <i>Sycanus</i>". Sample seen dated 11 May 2018, it was noted that <i>Sycanus</i> released at Block 06N01A, covering 43.22 Ha, amount 150 individu, average 3.4 individu/Ha.</p> <p>UMW South Estate: Integrated pest management plan is evident, as titled "Program Pengendalian Hama Terpadu 2019", established 3 January 2019. Barn owl box in first semester; monitoring on barn owl box on monthly basis; planting of beneficial plant (<i>Turnera subulata</i> and <i>Cassia</i> sp), Nursery and upkeep beneficial plant (<i>Turnera subulatta</i>, <i>Cassia tora</i> and <i>Antigonon leptopus</i>) on monthly basis; identification of beneficial plant available on the field every quarter; pest detection and pest and disease census on monthly basis (4,446.18 Ha); white ant census on monthly basis; <i>Ganoderma</i> monitoring on 6 monthly basis.</p> <p>Realization of 2018 Integrated Pest Management was documented., e.g. planting of beneficial plant in Division I in March 100 Ha and in April 100 Ha; in Division VIII in February 110 Ha, in March 500 Ha, in April 36 Ha, in May 150 Ha and in June 204 Ha.</p> <p>Census of Bagworm and Nettle Caterpillar was documented in "Pest & Disease Control of Bagworm – Nettle caterpillar. Sample of record seen in Division I period December 2018 was noted in Block B13 (38.69 Ha), YOP 2007, date of census 7 December 2018, there was attack 0.39 bagworm/plant and 2.14 nettle caterpillar/plant. Based on agronomy best practices, that attack category is light, control done by hand picking. On 26 December 2018 conducted re-census, the result is attack level decreased, as 0.26 bagworm/plant and 0.51 nettle caterpillar/plant.</p> <p>Monitoring <i>Sycanus creovitattus</i>, as predator for nettle caterpillar; Period 1 December 2018 there was 10 couple of parent; 27 colony of eggs; 5 colony of instar 2; 196 individu of instar 4; 80 individu of instar 5. Release of <i>Sycanus</i> to the field is documented in "Berita Acara Pelepasan <i>Sycanus</i> sp", e.g. dated 28 August 2018 was</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>released at Division IV Block 06E26, hectarage 32.08 Ha, amount 389 individu or average 12 individu/Ha; dated 28 November 2018 was released at Division VII Block 10F32, hectarage 43.04 Ha, amount 566 individu or average 13 individu/Ha.</p> <p>Record of Rat baiting application:</p> <ul style="list-style-type: none"> - Block 17B04, rat attack census dated 3 March 2018 resulted in 1,761 palms infested with new bites; out of 2,250 palms (78%). Management decision to implement use of rat baiting on February – March 2018. - Store Requisition Note dated 8 March 2018, Field assisstant request for 5 kg Tikumin (a.i. Kumatetaril) for chemical treatment of rat attack in block 17B04. - Store Issue Note No.SI00031805 dated 8 March 2018, issued 5 kg Tikumin for treatment rat attack. - Enter Attendance dated 8 March 2018, for 2 workers, Taufik Hidayat and Iwan Purwanto, working on 5 Ha area – code rat baiting. - Rat census in 5 April 2018, the new rat bites reduced into 9/2,250 palms (0.4%). <p>TUM Estate: Integrated pest management plan is evident, as titled “Program Pengendalian Hama Terpadu 2019”, established 3 January 2019. The plan consists of monthly basis activity, e.g. monitoring of barn owl box, planting of beneficial plant, census of leaf eater caterpillar, termite census, beneficial plant upkeep, Sycanus reproduction, and Sycanus release. Realization of IPM monitoring recorded in “TUM Estate - Program Pengendalian Hama Terpadu Tahun 2018”, e.g. realization of planting beneficial plant 4,627 Ha (10 rounds); leaf eater caterpillar census and termite census are 13,619.4 Ha (12 rounds); upkeep benficial plant are 3,155 Ha (8 rounds).</p>	
<p>4.5.2</p>	<p>Training records of Integrated Pest Management (IPM) shall be available.</p> <p>- Minor compliance –</p> <p>PT Umbul Mas Wisesa and PT Toton Usaha Mandiri kept records of training in form of training module, attendance list and photograph.</p> <p>UMW North Estate: Training for Integrated Pest and Disease has been conducted in UMWN Estate and TUM Estate, e.g. control of ganoderma conducted on 5 April 2018 attended by 37 participants; trunk injection conducted on 22 October 2018 attended by 15 participants. Termite handling on 14 February 2017, attended by 14 participants from UMWN and TUME; LSU training on 19 July 2017, attended by 38 participants from UMWN and TUME; training of ganoderma on 19 October 2017, attended by 8 participants from UMWN.</p> <p>UMW South Estate: In 2018, training of Pest and Disease conducted on 10 April 2018 attended by 59 participants consist of Estate</p>	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance																																														
		<p>Manager, Field Head Assistant, Assistant and Pest & Disease workers from all division. Training focus on census and control of nettle caterpillar, bagworm, rat and oryctes, lead by Verdant Bioscience, Agronomist and Estate manager. Training module, attendance list and photograph are available.</p> <p>Training of Pest and Disease was also done on 16 July 2018, attended by 51 participants. Training focus on control of bagworm and nettle caterpillar attack using trunk injection method. Training led by the company's Agronomist of North Sumatera.</p>																																															
<p>Criterion 4.6: Pesticides are used in ways that do not endanger health or the environment</p>																																																	
<p>4.6.1</p>	<p>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.</p> <p>- Major compliance -</p>	<p>The use of pesticide is under strict requirement, only in the case of pest attack exceeds the economic threshold. The justification of pesticide used is explained under SOP Pest Control No.OPM-07-02/02-10-2017/Rev.2 and SOP Weed Control No.OPM-08-01/02-10-2017/Rev.2. The procedures explain the identification of target species, agrochemical to be used, and dosage and area per application in general. A further dosage reduction controlled through budget. Visit to chemical store and record review shows company chemical product for specific target species (weed).</p> <table border="1"> <thead> <tr> <th>Trade mark</th> <th>Active Ingredients</th> <th>Registration</th> <th>Targeted weed/pest</th> </tr> </thead> <tbody> <tr> <td>Smart 480 AS</td> <td>Isopropil amina glyphosate 480g/l</td> <td>RI.0103011997 1313 up to November 2023</td> <td>Grassess weed</td> </tr> <tr> <td>Elang 480 SL</td> <td>Isopropil amina glyphosate 480g/l</td> <td>RI.0103011994 1170 up to October 2023</td> <td>Grasses weed</td> </tr> <tr> <td>Kenlon 480</td> <td>Triclophyr 480g/l</td> <td>RI.0103012006 2433 up to December 2021</td> <td>Brush weed/wood</td> </tr> <tr> <td>Metsulindo 250 Gr</td> <td>Methyl metsulfuron 20%</td> <td>RI.0103012015 5148 up to May 2021</td> <td>Fern, broad leaves, sedges</td> </tr> <tr> <td>Basta 150 SL</td> <td>Amonium Glifosinat 150 g/l</td> <td>RI.0103011992 1113</td> <td>Grasses weed, broad leaf</td> </tr> <tr> <td>Regent 50 EC</td> <td>Fipronil 50g/l</td> <td>RI.0101019951 192 up to December 2020</td> <td>Termite</td> </tr> <tr> <td>Garlon Mix 333</td> <td>Aminopiralid potasium 17 g/l</td> <td>RI.0103012015 5148 up to May 2020</td> <td>Melastoma malabathricum, Clidemia hirta, Lantana camara</td> </tr> <tr> <td>Tikumin</td> <td>Kumatetaril 0.75%</td> <td>RI.0112012004 670 up to May 2020</td> <td>Rat control</td> </tr> <tr> <td>Starthene 75WG</td> <td>Acephate 75%</td> <td>RI.0101012007 2983 up to August 2022</td> <td>Bagworm, nettle caterpillar</td> </tr> </tbody> </table> <p>The requirement for herbicide in mature peat soil</p> <table border="1"> <thead> <tr> <th>Type of work</th> <th>Material</th> <th>Prime</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Trade mark	Active Ingredients	Registration	Targeted weed/pest	Smart 480 AS	Isopropil amina glyphosate 480g/l	RI.0103011997 1313 up to November 2023	Grassess weed	Elang 480 SL	Isopropil amina glyphosate 480g/l	RI.0103011994 1170 up to October 2023	Grasses weed	Kenlon 480	Triclophyr 480g/l	RI.0103012006 2433 up to December 2021	Brush weed/wood	Metsulindo 250 Gr	Methyl metsulfuron 20%	RI.0103012015 5148 up to May 2021	Fern, broad leaves, sedges	Basta 150 SL	Amonium Glifosinat 150 g/l	RI.0103011992 1113	Grasses weed, broad leaf	Regent 50 EC	Fipronil 50g/l	RI.0101019951 192 up to December 2020	Termite	Garlon Mix 333	Aminopiralid potasium 17 g/l	RI.0103012015 5148 up to May 2020	Melastoma malabathricum, Clidemia hirta, Lantana camara	Tikumin	Kumatetaril 0.75%	RI.0112012004 670 up to May 2020	Rat control	Starthene 75WG	Acephate 75%	RI.0101012007 2983 up to August 2022	Bagworm, nettle caterpillar	Type of work	Material	Prime				<p>Comply</p>
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Criterion / Indicator		Assessment Findings				Compliance
				Round	Rate	
		Circle/path spraying and path control	Glyphosate	6 p/a	0.4 lt	
			Metil Metsulfuron	6 p/a	0.015 kg	
		Selective spraying	Garlon	2 p/a	0.2 lt	
		Spot spraying lalang	Glyphosate	2 p/a	0.05 lt	
		Fern spraying	Ammonium glifosinat	1 p/a	0.06 lt	
			Metil Metsulfuron	1 p/a	0.036 lt	
4.6.2	Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per Ha and number of applications shall be available. - Major compliance -	<p>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri was calculated the active ingredients per block on monthly basis. Also included the calculation based on the LD50 of each active ingredient. Companies are always updating the agrochemical being used, in relation to a period Government Permission.</p> <p>TUM Estate: "Rekaman Penggunaan Pestisida" - Pesticide usage updated on December 2018: for block 08K13A (35.9 Ha), implemented with Metsul (a.i.: Methyl metsulfuron, dosage sets at 0.576 g/Ha) on 1 February 2018 treated 35.9 Ha, total active ingredient 22.7 gram; 1 September 2018 treated 35.9 Ha, total active ingredient 18.96 gram; 12 September 2018 treated 35.9 Ha, total active ingredient 17.23 gram; on 19 November 2018 treated 35.9 Ha, total active ingredient 17.23 gram. Total active ingredient 76.12 gram. Total use of a.i. Methyl metsulfuron for block 08K13A is 2.12 gram/Ha.</p> <p>UMW North Estate: "Rekaman Penggunaan Pestisida" - Pesticide usage updated on December 2018: for block 07I14 (27.72 Ha), implemented with Starthene (a.i.: Acephate 50g/l, dosage sets at 160.88g/Ha) on 9 February 2018 treated 27.72 Ha, total active ingredient 4,459.59 gram; 8 September 2018 treated 27.72 Ha, total active ingredient 4,459.59 gram; 10 November 2018 treated 27.72 Ha, total active ingredient 4,459.59 gram; total active ingredient 13,378.77 gram. Total use of a.i. Acephate for block 07I14 is 482.639 gram/Ha.</p> <p>UMW South Estate: "Rekaman Penggunaan Pestisida" - Pesticide usage in 2017, updated on December 2018: for block 05B17 (31.18 Ha), implemented with Regent (a.i.: Fipronil 50g/l, dosage sets at 1.7g/Ha) on 12 February 2018 treated 12 Ha, total active ingredient 20.40 gram; 28 February 2018 treated 2 Ha, total active ingredient 3.40 gram; 30 May 2018 treated 3 Ha, total active ingredient 5.10 gram; 31 July 2018 treated 2 Ha, total active ingredient 3.40 gram; 8 October 2018 treated 2 Ha, total active ingredient 3.40 gram; 17 November 2018 treated 5 Ha, total active ingredient 8.5 gram. Total use of a.i. Fipronil for block 05B17 is 44.20 gram/Ha.</p>				Comply
4.6.3	Any use of pesticides shall be	No prophylactic use of pesticide in all plantation. All use				Not Comply

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<p>minimized as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. 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Implement use of rat baiting on February – March 2018.</p> <p>Rat census in 5 April 2018, the new rat bites reduced into 9/2,250 palms (0.4%).</p> <p>TUM Estate</p> <table border="1" data-bbox="678 1126 1294 1451"> <thead> <tr> <th>Trade mark</th> <th>Usage 2016</th> <th>Usage 2017</th> <th>Usage 2018</th> </tr> </thead> <tbody> <tr><td>Gramoxone 270 SL</td><td>1,938.37 lt</td><td>-</td><td>-</td></tr> <tr><td>Smart 480 AS</td><td>1,010.09 lt</td><td>1,231.92 lt</td><td>709.60 lt</td></tr> <tr><td>Ally 20WG</td><td>-</td><td>9,962.0 kg</td><td>-</td></tr> <tr><td>Kenlon 480</td><td>69.82 lt</td><td>3.00 lt</td><td>17.00 lt</td></tr> <tr><td>Metsulindo 250 Gr</td><td>139.00 kg</td><td>119.50 kg</td><td>85.40 kg</td></tr> <tr><td>Agristik</td><td>0.73 lt</td><td>0.09 lt</td><td>25.50 lt</td></tr> <tr><td>Regent 50 EC</td><td>208.39 lt</td><td>112.86 lt</td><td>93.00 lt</td></tr> <tr><td>Garlon 670 EC</td><td>124.50 kg</td><td>75.50 kg</td><td>45.60 kg</td></tr> <tr><td>Dipel SC</td><td>8.80 lt</td><td>188.25 lt</td><td>-</td></tr> <tr><td>Starthene 75WG</td><td>524.09 kg</td><td>2,578.76 kg</td><td>1,952.30 kg</td></tr> <tr><td>Basta 150SL</td><td>-</td><td>1,450.50 lt</td><td>2094.20 lt</td></tr> </tbody> </table> <p>UMW North Estate</p> <table border="1" data-bbox="678 1507 1294 1865"> <thead> <tr> <th>Trade mark</th> <th>Usage 2016</th> <th>Usage 2017</th> <th>Usage 2018</th> </tr> </thead> <tbody> <tr><td>Gramoxone 270 SL</td><td>4,236.30 lt</td><td>-</td><td>-</td></tr> <tr><td>Smart 480 AS</td><td>2,515.86 lt</td><td>2,347.66 lt</td><td>2,217.71 lt</td></tr> <tr><td>Ally 20WG</td><td>-</td><td>39.78 kg</td><td>-</td></tr> <tr><td>Kenlon 480</td><td>328.01 lt</td><td>55.10 lt</td><td>23.09 lt</td></tr> <tr><td>Metsulindo 250 Gr</td><td>350.28 kg</td><td>300.49 kg</td><td>190.26 kg</td></tr> <tr><td>Agristik</td><td>63.05 lt</td><td>3.00 lt</td><td>57.71 lt</td></tr> <tr><td>Regent 50 EC</td><td>213.04 lt</td><td>159.18 lt</td><td>193.61 lt</td></tr> <tr><td>Garlon 670 EC</td><td>-</td><td>151 kg</td><td>25 kg</td></tr> <tr><td>Dipel SC</td><td>45.20 lt</td><td>18.93 lt</td><td>-</td></tr> <tr><td>Starthene 75WG</td><td>2,454.37 kg</td><td>10,783 kg</td><td>4,048 kg</td></tr> <tr><td>Basta 150SL</td><td>-</td><td>6,780 lt</td><td>4,264 lt</td></tr> <tr><td>Posthene 97WG</td><td>-</td><td>1,500 kg</td><td>-</td></tr> </tbody> </table> <p>The use of Starthene (a.i. 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Criterion / Indicator	Assessment Findings	Compliance
	<p>Major Non-conformity: The budget for Starthene for Nettle Caterpillar treatment is not minimized as part of a plan. The budget for Starthene for Nettle Caterpillar treatment in UMW North Estate: 2016: budget 0 kg; actual 2,454.37 kg; 2017: budget 187.44 kg; 10,783 kg; 2018: budget 562.31 kg; 4,048 kg; 2019: budget 643.5 kg;</p> <p>Root cause: Increased budget use of starthene for nettle caterpillar treatment in 2019, due to the possibility of increased attacks based on previous years' experience.</p> <p>Correction/containment: - Reducing starthene use budget in 2019 - Starthene application base on Pest and diseases census, only applied on area with indication high and moderate attack by nettle caterpillar.</p> <p>Corrective action: - Reducing budget starthene in 2019, from 643.5 kg to 399 Kg - Biological control plan to reduce nettle caterpillar attack in 2019: • Planting <i>Turnera Subulatta</i>, 29,750 plant • Application <i>Cordycep</i> fungus, 360 Ha • Release <i>Sycanus</i> Sp, 300 insect.</p> <p>Verification: - The company has shown letter from Agronomist North Sumatera dated 24 June 2016 stating that based on annual meeting Tolan Tiga Indonesia Group on 23 June 2016, threshold of leaf eater caterpillar attack to performed chemical control is 5 larva per frond. - Auditor has verified the census result of January 2019, stated attack level in Division I is at Block 08G14 (5.28 larva per frond), Block 07H14 (5.52), Block 08I13 (5.69), Block 07I14 (5.52); Division II is no attack; Division III is at Block 09J28 (5.60), Block 09J29A (9.65); Division IV is at Block 09G16 (8.49), Block 09G17 (5.34), Block 09H16 (8.20), Block 09H17 (7.97); Division V is no attack. - Auditor has verified the census result of February 2019, stated attack level in Division I is at Block 07H12 (11.24 larva per frond), Block 07H13 (11.09), Block 07H14 (10.93), Block 08H15 (14.17), Block 07I13 (12.20), Block 07I14 (12.39), Block 07J13 (9.83), Block 07J14 (17.91); Division II is at Block 09K18 (11.19), Block 07K21 (9.91), Block 07J15 (5.20), Block 08J16A (5.30); Division III is at Block 09J27 (5.02), Block 09J28 (16.80), Block 0929A (5.62); Division IV is no attack; Division V is no attack. - Based on Stock Issued Summary in Lintramax system,</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>the use of Starthene in January 2019 is 644.50 kg; in February 2019 is 1,068.78 kg, the uses of Starthene is only for controlling high and moderate attack.</p> <ul style="list-style-type: none"> - Other type of controlling leaf eater caterpillar attack has been performed by the company in form of planting beneficial plant (<i>Turnera subulatta</i>), e.g. in January 2019 as much as 800 plant (69 Ha); in February as much as 5344 plant (459 Ha). - Application of <i>Cordyceps militaris</i> to infect pre pupa in field Division I Block 08G15, 09H15; Division II Block 07I15, 08I16, 08I17, 08K15, 09K18A, 09K21A; Division IV 09G16, 09G17, 09H16, 09H17; total 262.9 Ha, total applied 13.145 liter. - Development of <i>Sycanus</i> as predator of leaf eater caterpillar; monitoring per 5 March 2019 are eggs there are 5 colony, instar #3 there are 40 individual, parents there are 25 couples. <p>Major Non-conformity is closed on 5 March 2019.</p>	
<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.</p> <p>- Minor compliance -</p>	<p>Comply</p>
<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 understood by workers (see Criterion 4.7).</p> <p>- Major compliance -</p>	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance
		<ul style="list-style-type: none"> - Trunk Injection Training UMW North Estate and TUM Estate, dated 22 October 2018: Bahriun (mandor); Idul, Fauzan, Edison Siregar, Yuda, Sulindi, Anwar, Dona Siregar, Surianto, Padlin Hairin, Jubriadi, Lamhot S. (trunk injector). <p>UMW South Estate: Record training, e.g:</p> <ul style="list-style-type: none"> - Training on trunk injection dated 16 July 2018 was attended by 13 pest & disease workers, 22 casual workers and 5 supervisors, sampled: Tayuddin, Budi Saputra, Taufik Hidayat (P&D). - Training to applicator of pesticide (spraying team) on 10 August 2018, was attended by 15 personnel plus 2 mandores. Sampled through interview: Endang Supiani, Arya Nanda, Darmansyah Harahap (operator sprayer), and Marwan Damanik (mandor). 	
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).</p> <p>- Major compliance -</p>	<p>Based on visit in storage of pesticides in UMW North and UMW South are in good condition. A standard storage system appears to be implemented in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri. Double lock storage dedicated for WHO type-II chemical is available. The storage is equipped with sufficient air ventilation to provide air circulation. Material Safety Data Sheet/MSDS, Hazard signs, emergency shower, secondary containment, spill kit, appropriate PPE (face shield, impermeable rubber gloves, apron and mask) is available and ready for use.</p>	Comply
4.6.7	<p>Application of pesticides shall be by proven methods that minimize risk and negative impacts.</p> <p>- Minor compliance -</p>	<p>UMW South Estate: The company has carried out the calibration of spraying equipment (SA-15) to minimize risk and negative impacts of pesticides, last calibration on 13 July 2018 involving 10 sprayer operator.</p> <p>Rat baiting application:</p> <ul style="list-style-type: none"> - Block 17B04, rat attack census dated 3 March 2018 resulted in 1,761 palms infested with new bites; out of 2,250 palms (78%). Management decision to implement use of rat baiting on February – March 2018. - Store Requisition Note dated 8 March 2018, Field assistant request for 5 kg Tikumin (a.i. Kumatetaril) for chemical treatment of rat attack in block 17B04. - Store Issue Note No.SI00031805 dated 8 March 2018, issued 5 kg Tikumin for treatment rat attack. - Enter Attendance dated 8 March 2018, for 2 workers, Taufik Hidayat and Iwan Purwanto, working on 5 Ha area – code rat baiting. - Rat census in 5 April 2018, the new rat bites reduced into 9/2,250 palms (0.4%). <p>UMW North Estate:</p> <ul style="list-style-type: none"> - Store Requisition Note dated 3 January 2019, mandor request for 56 kg Starthene (a.i. Acephate) for chemical treatment of caterpillar treatment in block 07I14 (27.72 Ha – 3,773 palms), dosage setas at 0.015 	Comply

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Criterion / Indicator		Assessment Findings	Compliance
		kg/palm. - Store Issue Note No.SI00021835 dated 3 January 2019, issued 56 kg Starthene for caterpillar treatment. - Attendance and Work Allocation dated 4 January 2019, for 10 workers, code caterpillar treatment.	
4.6.8	Pesticides may only be applied aurally where there is a documented justification. Surrounding communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application. - Major compliance -	There is no aerial application of pesticide in the operation area of PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri. Not Applicable.	N/A
4.6.9	Evidence of training on handling pesticide for workers and scheme smallholder (if any) shall be available. - Minor compliance -	UMW North - TUM Estate: Training on handling pesticides are available, such as: - MSDS training dated 14 December 2018, was attended by 22 workers, e.g: Royupe J. Sinaga, Rudianto Sitorus (Godown clerk), Resi A Tarigan (Field Assisstant), R. Siahaan (Transport Clerk), Rosminah, Marsini, Neti S, Yusriani, Ferianti, Nur Apni, Jeni D, Misbah Hasibuan, S. Kholijah, Serli, Saminah, Juraidah, Sisu, Sarsah (sprayer). - Trunk Injection Training UMW North Estate and TUM Estate, dated 22 October 2018: Bahriun (mandor); Idul, Fauzan, Edison Siregar, Yuda, Sulindi, Anwar, Dona Siregar, Surianto, Padlin Hairin, Jubriadi, Lamhot S. (trunk injector). UMW South Estate: Record training, e.g: - Training on trunk injection dated 16 July 2018 was attended by 13 pest & disease workers, 22 casual workers and 5 supervisors, sampled: Tayuddin, Budi Saputra, Taufik Hidayat (P&D). - Training to applicator of pesticide (spraying team) on 10 August 2018, was attended by 15 personnel plus 2 mandores. Sampled through interview: Endang Supiani, Arya Nanda, Darmansyah Harahap (operator sprayer), and Marwan Damanik (mandor).	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 -	Company has provided training on how to handle pesticide, its container, emergency cases, etc. through provision of MSDS and hazardous waste management training. Pesticide waste has been handled as per legal regulations and understood by worker and manager. UMW North – TUM Estate: Record seen: - Chemical waste handling training dated 13 December	Comply

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Criterion / Indicator		Assessment Findings	Compliance
		<p>2018 for Royupe J. Sinaga, Rudianto Sitorus (Godown clerk), Resi A Tarigan (Field Assisstant), R. Siahaan (Transport Clerk).</p> <p>Based on interview with all sprayers, understanding on chemical container cleaning, disposal and treatment was good.</p>	
4.6.11	<p>Annual medical records of pesticide operators, and follow-up treatment of medical results, shall be available.</p> <p>- Major compliance -</p>	<p>Company provided medical checkup for all sprayers and fertilizer-related work, this includes sprayer/operator, supervisor, water-man, warehouse supervisor and truck driver. The result from medical check up has been communicated to each workers – countersigned. The result of medical check up also acknowledged by the line manager in order to take precaution on any intoxication or un-fit worker.</p> <p>TUM Estate: Annual medical checkup has recorded in "Daftar Hasil Rekam Medisa – TUM Estate". MCU carried out on 11 July 2018 by "Klinik Anugerah Ibu – Medan" was attended by 35 workers, sampled worker: Muhammad Idris, Rubiatun Adawiyah, Tripo br. Hombing, Desima Rismawati (pest & disease), Jubridi, Padlin Hairin, Lamhot Silitonga (trunk injector) cholinesterase normal – the result fit-to-work. Result of MCU communicated on 24 October 2018. Medical examination carried out every three (3) months, sampled through interview: Abdul Khadir, Jen Prezer Sialagan (supervisor); Deliana, Twoen F Gea, Rosdiana Sihombing, Iyus Darlina, Nasiati Lahagu, Candra A, Modesta Sijabat, Arian Halawa (sprayer); Tuti Erlina, Safrida, Lidon N (pest & disease) examined on 14 March 2018.</p> <p>UMW North Estate: Annual medical checkup has recorded in "Daftar Hasil Rekam Medisa – Umbul Mas North Estate". MCU carried out on 11 July 2018 by "Klinik Anugerah Ibu – Medan" was attended by 94 workers, sampled through interview: Fauzan Nasution, Anwar, Yudha Satya Wirawan (trunk injector), Bahriun (mandor) – the result cholinesterase level normal, fit-to-work. Result of MCU carried out in 22-23 October 2018.</p> <p>UMW South Estate: Annual medical checkup has recorded in "Daftar Hasil Rekam Medisa – Umbul Mas South Estate". MCU carried out on 10 July 2018 by "Klinik Anugerah Ibu – Medan" was attended by 106 workers, sampled through interview: Muhammad Fadli, Mahdian Sari Nasution (godown clerk) and Arya Nanda, Darmansyah (sprayer) – the result fit-to-work. Result of MCU communicated to worker on 3-5 October 2018. Medical examination carried out every three (3) months, sampled through interview: Muhammad Fadli, Mahdian Sari Nasution (godown clerk) examined on 17 December 2018 and Arya Nanda, Darmansyah (sprayer) examined</p>	Comply

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Criterion / Indicator		Assessment Findings	Compliance
		<p>on 13 December 2018.</p> <p>Based on interview with spraying applicator in block G-18 (dated 12 January 2018) in TUM estate and block E-10 in UMW South Estate (dated 15 January 2018), there were confirmed that result of medical checkup has been communicated to each worker.</p>	
4.6.12	<p>Records shall be available to show that spraying is not conducted by pregnant or breast-feeding women.</p> <p>- Major compliance -</p>	<p>UMW North – TUM Estate: Pregnancy check employee performed once every month, the record seen in UMW North, UMW South and TUM Estate, e.g: In TUM Estate: "Pemantauan Wanita Hamil & Menyusui", period January – September 2018: Mrs.Desima Rismawati, Mrs. Tripo br. Hombing, Mrs.Rubiatun are reported no pregnant status (-);</p> <p>In UMW South Estate: "Daftar Absen Tenaga Kerja Wanita Hamil dan Menyusui", Division I, period January – December 2018: Mrs. Hotnilda Silitonga and Mrs. Endang Supiani are reported no pregnant status (-); Based on interview with spraying applicator in block 07C11 (dated 17 January 2019) in UMW South Estate that spraying is not conducted by pregnant or breast-feeding women; futhermore, the two female worker interviewed always entitled for menstrual leave.</p>	Comply
<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>			
4.7.1	<p>A health and safety policy shall be in place. A health and safety plan shall be documented and implemented, and its effectiveness monitored.</p> <p>- Major compliance -</p>	<p>ASA 4 January 2019: The document related to OHS policy and procedures were still the same with the previous visit, there were no revision/updated.</p> <p>PT. Umbul Mas Wisesa dan PT. Toton Usaha Mandiri (SIPEF Group) have established a health and safety policy that signed by President Director, dated 1 March 2014. In point 1. Mentioned that company supports the implementation of all relevant laws and regulations of the Republic of Indonesia, and of applicable international agreements and standards. In point 2.b mentioned that the company committed to provision of adequate resources fro effective implementation of the occupational health and safety (OHS) program and procedure, including strict compliance reviews.</p> <p>The policy has communicated to all employee, e.g: – in UMW POM, e.g: Record of muster chit on 9th and 14th January 2019 agenda is OHS performace in UMW POM and refresh on awareness of company policy's. – in TUM Estate and UMW-North Estate, the refresh on socialization of the company policy has conducted on 11th April 2018 was attended by 7 workers in office</p>	Comply

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	<p>and 35 workers in transport division and 33 workers in field.</p> <p>PT. Umbul Mas Wisesa dan PT. Toton Usaha Mandiri (SIPEF Group) has also prepared the document of "Pedoman Sistem Management Keselamatan dan Kesehatan Kerja (SMK3)", No.TTI/PSMK3/01, dated 1 July 2009. The document consist of:</p> <ol style="list-style-type: none"> 1. Commitment and Policy on OHS – doc No.TTI/PROS/KOM/01; 2. Program of OHS – Doc. No.TTI/PROS/REN/02; <ol style="list-style-type: none"> a. Objective and Target Program on OHS b. Plan of hazard identification, risk assessment and control 3. Implementation of OHS – Doc. No.TTI/PROS/IMP/05 <ol style="list-style-type: none"> a. Respondibility and Emergency response; b. OHS training and competency; c. Communication; d. OHS Reporting; e. Procedure of handling incident, report and investigation related to incident and work related disease; 4. Monitoring and Evaluation – Doc. No.TTI/PROS/IMP/27 <ol style="list-style-type: none"> a. Inspection and Measurement b. Audit of OHS management system c. Corrective action and preventive action 5. Management review and continuous improvement – Doc. No.TTI/PROS.IMP/31 <p>UMW POM: OHS program available under "Program Kerja K3 year 2019", consists of:</p> <ol style="list-style-type: none"> 1. OHS committee (P2K3) meeting -> monthly 2. OHS Inspection -> monthly 3. Report of P2K3 to manpower agency (DISNKER) -. 3 monthly 4. Safety talk -> monthly 5. General Medical Check Up -> yearly 6. HIRA review -> yearly <p>UMW-North Estate and TUM Estate: OHS Program is available in "Program P2K3LHS tahun 2018", updated on 3rd January 2018, such as:</p> <ol style="list-style-type: none"> 1. Meeting of safety committee P2K3LHS (monthly) 2. Report of P2K3LHS performance (three-monthly base) 3. Fire extinguisher inspection (monthly) 4. Inspection of first aid box (monthly) 5. Transport the hazardous waste to temporary storage of hazardous waste in UWM South estate (every 2 weeks) 6. Training/socialization on using the PPE – inspection (monthly) 7. Communication of the company's policies (monthly) 8. Medical Check-up to all employee (yearly) 	

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		9. Fire Drill Training (yearly) 10. Training for first aider (six-monthly base) Record implementation of OHS program year 2018 was provided under <u>indicator 4.7.3</u>	
4.7.2	A documented risk assessment shall be available and its implementation shall be recorded. - Major compliance -	PT. Umbul Mas Wisesa dan PT. Toton Usaha Mandiri (SIPEF Group) have defined the procedure of risk assessment under "Prosedur Identifikasi Bahaya dan Penilaian Resiko, No.TTI/PROS/REN/02", issued date 1 November 2009. UMW POM: Risk Assessment has prepared under document "Identifikasi Sumber Bahaya dan Penilaian Resiko", revision 01 dated 11 December 2018, covering for all area e.g: EFB discharge, emplacement, effluent pond, house keeping, water treatment plant, enginee room, steam boiler, clarification, kernel plant, screw press,hoisting crane, chain/capstand, sterlizer, loading ramp, security, hazardouse waste storage, warehouse, workshop, laboratorium, office and weighbright. UMW - South Estate: Document of risk assessment available in "Penilaian Resiko – UMW South estate", last review was conducted on 3 January 2019. The risk assessment was covering all employee in office, workshop, field (harvesting-prunning, spraying, trunk injection, manuring, circle weeding, emplacement, water management, security, incinerator. The risk assessement has communicated to all employee in Muster Chit Field Work – every morning, e.g: – In division III was conducted on 15 January 2019, location in block B14 for harvesting team. – In division II was conducted on 16 January 2019 location in block D12 for wokers on planting of beneficial plants. UMW North and TUM Estate: Document of risk assessment available in "Penilaian Resiko – UMW North and TUM Estate", last review was conducted on 3 January 2019. The risk assessment was covering all employee in office, workshop, field (harvesting-prunning, spraying, trunk injection, manuring, circle weeding, emplacement, water management, security, incinerator.	Comply
4.7.3	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	PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri have provided training related to OHS and PPE in accordance with the result of risk assessment. The implementation of OHS program as mentioned in indicator 4.7.1 has demonstrated by the company, such as: UMW POM – record seen: – Record of safety talk, dated 3 December 2018 was attended by 65 workers.	Comply

Criterion / Indicator	Assessment Findings	Compliance
<p>workers.</p> <p>- Major compliance -</p>	<ul style="list-style-type: none"> - Record of handover of PPE (ear plug) for Mill workers, e.g: dated 10 September 2018 for Mr. Tara, Mr. Hadi Faisal, Mr. Zulfikar Simanjutak. - Record of handover of PPE (helmet), e.g: dated 15 August 2018 for Mr. Dedi Setiadi (Grading station), Mr. Amri W (sterilizer station). - Safety inspection checklist on using of PPE period December 2018, e.g: location in workshop and processing station there were reported comply (OK) with checklist requirement. - Medical-check up was conducted annually. Last MCU on was conducted on 10 July 2018 and the result has communicated to all wokrsers. The result shown OK, some of workers need to followed up on medical checking. Evidences of follow up has been provided. - Fire Drill was conducted on 27 January 2018. Record seen: attendance list, photograp, scenario and evaluation-recommendation. - Boiler Operator license – SIO namely Mr. Selamat (License No.6129.OPK3-PUBT-B.1/IV/2014 – valid until 3 April 2019), namely Mr. Dedi Kurniawan (License No.10093.OPK3-PUBT-B.1/IX/6 – valid until 23 September 2021, namely Mr. Khairul Saputra (License No.10094.OPK3-PUBT-B.1/IX/6 – valid until 23 September 2021); - Sterilizer operator license (SIO) – Mr. Nur Azlan Ali (license No.6162.OPK3-PUBT-B.II/IV/2014); - Welder certificate – namely Mr. Jhony Marbun (No.00289.0721.0002873.2014) – Surat Pengurusan Perpanjangan No.075/UMWM-GMONS/XII/2017); - Certificate for first aider, namely Mr. Ladira Saputra (license No.670/DTK/P3K/2014), Mr. Jhony Marbun – No.669/DTK/P3K/2014). <p>UMW - South Estate:</p> <ul style="list-style-type: none"> - Medical check up for all employee was conducted annually, las MCU on 10 July 2018 by Klinik Spesialis Anugerah Ibu in Medan. The result of MCU has communicated to all workers. If there any required to followed up has been implemented. The records available as evidences. - Hazardouse waste shed inspection checklist (monthly) – e.g: period October 2018, the result shown OK. - Storage and mixing pesticides inspection checklist (monthly) – e.g: period December 2018, result shown OK - Checklist on monitoring of PPE usage for contractor (Koperasi Jasa Karyawan – providing the spayers workers) location in division I - monthly, e.g: period December 2018, the result shown OK. - Fire dril was conducted under “Pelatihan Bakortiba” dated 13 – 14 August 2018, location in Balai Karyawan UMW-South estate. Record seen: Training material, attendance list, photograph. - Certificate of competence for Welding Process No 	

Criterion / Indicator	Assessment Findings	Compliance	
	<p>00289.0721.0002864.2014 (code of qualification 2G Pipa-SMAW), namely Mr. Rolisman Saragih.</p> <ul style="list-style-type: none"> - License for OHS operator of Pesawat Angkat Angkut (motor greader) No 14.33254-OPK3-PAA/III/2014, namely Mr. Mukim Siregar. <p>UMW North Estate and TUM Estate, Record seen:</p> <ul style="list-style-type: none"> - General MCU has conducted by Klinik Spesialis Anugerah Ibu in Medan (annually), last MCU was conducted on 11 July 2018, attended by 94 workers. The result of MCU has communicated to the related workers. - The company has provided special medical check for worker who have been working in high risk area per 3 months bases, conducted by Company doctor. Last MCU was conducted on 11, 12, 13, 14 December 2018, attended by 63 workers consisted of sprayers, Pest and Disease, Genset operator, Godown clecrk both in UMW North Estate and TUM Estate. - Formulir Pemeriksaan Medis Pekerja Pemakai Pestisida (Bahan Kimia), dated 14 January 2018 for medical check of pesticides user, e.g: in TUM Estate on behalf Mr. Modesta Sijabat, Mrs. Nasiati, Mr. Lidon N, Mrs. Iyus Darlina, Mrs. Kiki Rumententi. - Follow up action by doctor related to medical check up result dated 25 October 2018, e.g: Supangat (Reg 0062) konsultasi ke SpPD, SpB. - Record of handover of PPE, e.g: in Division I period 2018 for harvester, spraying applicators and manuring team. - OHS License of tractor operator no 14.45382-OPK3-LT/PAA/I/2015, on behalf Mr. Hendra Gunawan, valid until 16 January 2020. - Record on dissemination regarding management of domestic waste dated 21 January 2019, attended by woker's wives, located in wokers housing in C16. 		
<p>4.7.4</p>	<p>The responsible person(s) for occupational health and safety shall be identified and there shall be records of periodical meetings on health and safety issues.</p> <p>- Major compliance -</p>	<p>PT Umbul Mas Wisesa and PT Toton Usaha Mandiri have OHS team under "Panitia Keselamatan dan Kesehatan Kerja" and Safety Officer.</p> <p>UMW POM:</p> <ul style="list-style-type: none"> - OHS committee has registered in Manpower Agency of North Sumatera Province as per "Surat Keputusan Kepala UPT Pengawasan Ketenagakerjaan Wilayah IV Dinas Tenaga Kerja Provinsi Sumatera Utara Nomor Kep/313-7/P2K3/WIL-IV/DTK/SU/2018 tentang Pengesahan Panitia Pembina Keselamatan dan Kesehatan Kerja (P2K3) di Perusahaan PT Umbul Mas Wisesa – UMW POM dated 8 November 2018. - License of Safety Officer namely Mr. Ayudha Rezky as per "Keputusan Menteri Ketenagakerjaan R.I nomor KEP 31194/NAKER-BINWASK3/X/2018 tentang Penunjukan Ahli Keselamatan dan 	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p>Kesehatan Kerja Umum”, dated 12 October 2018 valid until 3 years.</p> <ul style="list-style-type: none"> - Record of OHS meeting (monthly), last meeting on 10 January 2018 located in Mill Office. Agenda: review of the progress action and follow-up of last meeting result, review on incidents report, report on OHS inspection report. Evidences seen: minute of meeting and attendance list. <p>UMW – South Estate:</p> <ul style="list-style-type: none"> - OHS commitee has been approved by Manpower Agency of Labuhanbatu Selatan Regency as in “Surat Keputusan Kepala Dinas Tenaga Kerja Kabupaten Labuhanbatu Selatan No.KEP.18/P2K3/Naker/2017 tentang Panitia Pembina Keselamatan dan Kesehatan Kerja (P2K3) di Perusahaan”, dated 27 December 2017. - Safety Officer has been appointed based on Keputusan Menteri Ketenagakerjaan R.I Nomor KEP.3797/NAKER-BINWASK3/V/2017 tentang Penunjukan Ahli Keselamatan dan Kesehatan Kerja Umum, namely Mr. Hermanto William date of issued 31 May 2018 – valid until 3 years. <p>UMW – North Estate:</p> <ul style="list-style-type: none"> - Report on OHS performance (three monthly basis) to manpower Agency - Dinas Tenaga Kerja dan Transmigrasi (DISNAKERTRANS) of Labuhanbatu Selatan Rregency for period October – December 2018. The report was received by DISNAKERTRANS staff, namely Mrs. D. Handayani. - Approval of OHS committee under “Surat Keputusan Kepala UPT Pengawasan Ketenagakerjaan Wilayah IV Dinas Tenaga Kerja Provinsi Sumatera Utara nomor: KEP. 434-7/P2K3/WIL-IV/DTK/SU/2018 tentang Pengesahan Panitia Pembina Keselamatan dan Kesehatan Kerja (P2K3) di PT Umbul Mas Wisesa – North Estate”, dated 21 December 2018. - Safety Officer has been registerd in Manpower Ministry under “Keputusan Menteri Ketenagakerjaan R.I Nomor: KEP.P.2148/NAKER-BINWASK3/IX/2017 tentang Penunjukan Ahli Keselamatan dan Kesehatan Kerja Umum”, namely Mr. Edy Jhonathan Pinem, dated 20 September 2017 – valid until 3 years. <p>TUM Estate:</p> <ul style="list-style-type: none"> - Approval of OHS committee under “Surat Keputusan Kepala UPT Pengawasan Ketenagakerjaan Wilayah IV Dinas Tenaga Kerja Provinsi Sumatera Utara nomor: KEP. 433-7/P2K3/WIL-IV/DTK/SU/2018 tentang Pengesahan Panitia Pembina Keselamatan dan Kesehatan Kerja (P2K3) di PT Totoan Usaha Mandiri”, dated 21 DececMBER 2018. - Safety Officer has been registerd in Manpower Ministry under “Keputusan Meneteri Ketenagakerjaan 	

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	<p>R.I Nomor: KEP.17554 /NAKER-BINWASK3/V/2018 tentang Penunjukan Ahli Keselamatan dan Kesehatan Kerja Umum, namely Mr. Resi Andry Tarigan, dated 2 May 2018 – valid until 3 years.</p> <ul style="list-style-type: none"> Record of OHS meeting (monthly), last meeting was conducted on 8 January 2019 located in Main Office, with agenda discussed: review on progress result of the last meeting, review of accident report, review of environmental and OHS inspection, review on monitoring of HCV area and other issues. 	
<p>4.7.5</p> <p>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.</p> <p>- Minor compliance -</p>	<p>PT Umbul Mas Wisesa and PT Toton Usaha Mandiri have prepared Working Instruction and the procedure of Emergency situation, such as:</p> <ul style="list-style-type: none"> POM, under Work Instruction “Tanggap Darurat” dated 1 November 2016, which additional stage to report to Senior Technical Manager. Emergency situation covered including: CPO spillage at storage tank and Mill area, and Fuel Spillage, caustic soda spillage, retention pond spillage. Trained personnel in operation area are available and used appropriate PPE during plant visit. Estate, under Working Instruction of Emergency situation defined as “Tanggap Darurat” (K3/PRO/PTD/01) revised 1 June 2013. Emergency situation covered including: spillage of fertilizer, pesticide or herbicide, Fuel, oil, and lubricant, earthquake, forest and land fire, and vehicle accident. First aid procedure (TTI/PROS/IMP/24). Handling, reporting, and investigation of work accident (TTI/PROS/IMP/25), how to handling an accident. <p>Evidence verified: UMW - POM Certificate for first aider in UMW POM, namely Mr. Ladira Saputra (license No.670/DTK/P3K/2014), Mr. Jhony Marbun – 669/DTK/P3K/2014, with extension letter “Surat Pengurusan Perpanjangan No.075/UMWM-GMONS/XII/2017”.</p> <p>UMW – South Estate: <ul style="list-style-type: none"> Certificate for first aider -> license No.560/038/DSTKT/P3K/2016 namely Mr. Dwi Makmur, license No.560/040/DSTKT/P3K/2016 namely Mr. Bambang Iman Sutowo (harvesting supervisor Report of monitoring of first aid kit (monthly), e.g: dated 12 January 2019 – the result shown OK, e.g: in Division I (item: I/2, I/3, I/4), in Division III (item: III/4, III/5), in Division IV (item: IV/1, IV/2) and in office (item: 01/0, 02/0 and 03/CWS). </p> <p>TUM Estate and UMW-North Estate: <ul style="list-style-type: none"> Certificate for first aider, namely Mr. Muhammad Idris, license No.560/036/DSTKT/P3K/2016, dated </p>	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance
		<p>14 October 2016 valid until 3 years.</p> <ul style="list-style-type: none"> – Certificate for first aider namely Mr. Tukur, license No.560/037/DSTKT/P3K/2016, dated 14 October 2016 valid until 3 years. <p>The company provided the public health services, namely "Poliklinik PT Umbul Mas Wisesa". Ambulance was always standby for referral to government health facility.</p>	
4.7.6	<p>All workers shall be provided with medical care, and covered by accident insurance (see criterion 6.5.3).</p> <p>- Minor compliance –</p>	<p>All workers provided with medical care, including accident insurance based on National Insurance Scheme (BPJS Kesehatan – BPJS Ketenagakerjaan).</p> <p>UMW – South Estate: Document verification of medical care, and covered by accident insurance, e.g:</p> <ul style="list-style-type: none"> – Record of dues of BPJS Ketenagakerjaan month November 2018, code: 331608003917, status: Paid, amount Rp X43,915,703; covering 568 workers. <p>UMW – North Estate</p> <ul style="list-style-type: none"> – Record of dues of BPJS Ketenagakerjaan month December 2018, code 181203675327, status: Paid via Mandiri Bank, amount Rp X7,681,541; covering 335 workers. <p>TUM Estate:</p> <ul style="list-style-type: none"> – Record of dues of BPJS Kesehatan month December 2018, BU: 00385368 status: Paid via Mandiri Bank, amount Rp **,420,100 and No BU 00386129 amount Rp ***,700. – Record of retribution of BPJS Ketenagakerjaan month December 2018, code: 181203680712 status: Paid via Mandiri Bank, amount Rp X8,472,33 covering for 148 workers; 	Comply
4.7.7	<p>Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics.</p> <p>- Minor compliance</p>	<p>PT Umbul Mas Wisesa and PT Toton Usaha Mandiri has recorded accumulation data of occupational Injuries and lost time accident.</p> <p>UMW – South Estate: Record of occupational injuries and LTA matrix were available in document of "Rekapitulasi Kecelakaan Kerja tahun 2018" there were 34 cases of accidents with total of lost time by accident is 45 working day.</p> <p>All injuries investigated and reported to Estate Manager and medical department in Head Office, e.g:</p> <ul style="list-style-type: none"> – Supervisor investigation accident report, dated 12th March 2018, namely Mr A** L**** – location in Block C011/2007, chronology: the eye exposed by falling loose fruit – recommendation has been followed up on 15th March 2018. – Supervisor investigation accident report, dated 3 December 2018, namely Mr R**** N – location in Block D/15/16, chronology: fall during EFB evacuation to collection point – recommendation has been followed up on 4 December 2018. 	Comply

Criterion / Indicator		Assessment Findings	Compliance
		<p>UMW North Estate – TUM Estate: Record of occupational injuries and LTA matrix were available in document of "Rekapitulasi Kecelakaan Kerja tahun 2018", Sample seen:</p> <ul style="list-style-type: none"> - In UMW North Estate, there were 8 accidents cases reported and total lost time by accident is 17 working days. - In TUM Estate, there were no accident cases reported. - In UMW North Estate, accidents were investigated and reported to Estate Manager and medical department in Head Office, e.g: Accident Investigation Report by Supervisor, dated 8 August 2018, e.g. accident of Mrs. Siti Apsah – located in road block G/H18 UMW North Estate, chronology: accident during riding a motorcycle. The recommendation/corrective action plan has followed up. 	
<p>Criterion 4.8: All staff, workers, smallholders and contract workers are appropriately trained.</p>			
4.8.1	<p>Records of training program related to the aspects of RSPO Principles and Criteria shall be available.</p> <p>- Major compliance -</p>	<p>UMW POM: Schedule Training Plan for 2019 is evident. In January 2019 UMW POM planned to have Environmental Aspect and Impact training, Health and Safety Training, Fire simulation, and hazardous spillage training. In February 2019 UMW POM have plan to conduct training of MSDS & NFPA, and Processing. In November 2019 UMW POM planned to have training of Supply Chain.</p> <p>UMW North Estate: Schedule Training Plan for 2019 is evident under "Program Training UMW North Estate Tahun 2019" dated 3 January 2019. In February 2019 UMW North Estate planned to have training of IPM; in March 2018 planned training of harvesting management and FFB quality, spraying tools calibration, manuring and LSU, code of conduct; in May planned training of vehicle operational and safety; in June planned training of spraying standardization, pesticides mixing; In July planned training MSDS & NFPA, hazardous waste handling; in October planned IPM training; in November planned HCV training; in December planned water management training.</p> <p>UMW South Estate: Training Program for 2019 is evident under "Umbul Mas Wisesa South Estate – Program Training Tahun 2019". The UMW South Estate was planned to have integrated pest management training in March; Manuring & LSU in February; Pest and Disease in June; Spraying and Pesticides Mixing in May; Spraying tools calibration in March, June, September and December; Fire Fighting in July; Harvesting and FFB quality in August; Water</p>	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>Management in October; MSDS and hazardous waste handling in December; Vehicle operation and safety in August; and First Aid in April. Training Program was developed based on training need identification as documented in "Identifikasi Jenis Pelatihan UMWS Estate Tahun 2019".</p> <p>Records of training realization in 2018 were available, consist of training module, attendance list and photograph, e.g. training of IPM and Pest & Disease on 10 April 2018, attended by 59 participants and on 16 July 2018, attended by 51 participants; Manuring on 14 May 2018, attended by 27 participants and on 27 July 2018, attended by 48 participants; Harvesting and fruit quality on 21 March 2018, attended by 70 participants and on 13 November 2018, attended by 39 participants; Refresh LSU on 7 September 2018 attended by 48 participants.</p> <p>TUM Estate: Schedule Training Plan for 2019 is evident under "Program Training TUM Estate Tahun 2019" dated 3 January 2019. In February 2019 TUM Estate planned to have training of IPM; in March 2018 planned training of harvesting management and FFB quality, spraying tools calibration, manuring and LSU, code of conduct; in May planned training of vehicle operational and safety; in June planned training of spraying standardization, pesticides mixing; In July planned training MSDS & NFPA, hazardous waste handling; in October planned IPM training; in November planned HCV training; in December planned water management training.</p>	
<p>4.8.2</p> <p>Records of training for each employee shall be maintained.</p> <p>- Minor compliance –</p>	<p>Realisation of training year 2018 has been recorded the company in form of minutes of training, attendance list and employee training history records.</p> <p>UMW POM:</p> <ul style="list-style-type: none"> - Minutes of Basic Fire Training and attendance list on 27 January 2018, attended by 50 participants; and minutes of hazardous waste spill training on the same day. - Minutes of Supply Chain Training on 15 November 2018, attended by 24 participants. - Minutes of Training MSDS, NFPA and Hazard Symbol and attendance list on 23 January 2018 attended by 12 participants and on 18 October 2018 attended by 11 participants. - Minutes of Training Environment Impact and Aspect and attendance list on 30 January 2018 attended by 12 participants. - Nurul Padli (Office/Weighbridge Clerk) has completed training of Basic Fire, OHS and hazardous waste spill (27/01/2018); Weighbridge System (01/02/2018), Company Policy and ISO 9001:2015 (26/02/2018); SOP of Administration (07/03/2018); Supply Chain (15/11/2018). - Hadi Faisal (Press Station) has attended training of 	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p>Introduction of Operating Digester (22/04/2014); Risk Assessment and Impact (25/04/2014) Fire and First Aid (08/07/2014); EHS (14/11/2015); SOP (12/12/2017); Environmental Impact and Aspect (30/01/2018); Company Policy and ISO 9001 (26/02/2018); SOP and Health & Safety (11/05/2018); Operation (05/10/2018).</p> <ul style="list-style-type: none"> - Nindi Fiameswari (Office/Weighbridge Clerk) has attended training of Weighbridge and payroll system (13-14/03/2014); Health & Safety and PPE (02/04/2014); Principle & Criteria of ISPO, RSPO and Supply Chain (30/04/2014); Weighbridge operational (09/11/2015); Health and Safety (24/11/2015); Supply Chain (21/01/2016); RSPO Supply Chain Model IP (04/10/2016); weighbridge (04/12/2017); Company Policy (26/02/2018); SOP of Administration (27/03/2018); Training Operational and ISO (15/05/2018); Supply Chain (15/11/2018). - Maya A. Tamba, has completed training Basic Fire, EHS and hazardous waste spill (27/01/2018); Company Policy and ISO 9001:2015 (26/02/2018); Operational (15/05/2018). - Rudi Abdullah (Workshop), has completed training of OHS, hazardous waste spill and basic fire (27/01/2018); Company policy and ISO 9001:2015 (26/02/2018); Bearing code reading and OHS (14/05/2018); Operational and ISO (15/05/2018); MSDS and NFPA label (18/10/2018). <p>UMW North: Records of training realization in 2018 were available, consist of training module, attendance list and photograph, e.g.:</p> <ul style="list-style-type: none"> - Minutes and attendance list of Hazardous waste management training on 13 December 2018, attended by 5 participants. - Minutes and attendance list of MSDS training on 14 December 2018, attended by 5 participants. - Minutes and attendance list of pest and disease training on 5 April 2018, attended by 37 participants, training focus on ganoderma. - Minutes and attendance list of Spraying tools calibration on 6 April 2018, attended by 26 participants. - Minutes and attendance list of LSU Training on 7 September 2018, attended by 26 participants. <p>Record of training for each employees are available, for example as follows:</p> <ul style="list-style-type: none"> - Rika Maulana (midwives) has completed training of first aid on 12 December 2018. - Ahmad Saipul (Ambulance's Driver) has completed training of fire fighting on 13-14 August 2018, fire pump machine by Sibahura on 21 May 2018. - Salmah (Manuring) has completed training of manuring on 15 March 2014, dissemination of code 	

Criterion / Indicator	Assessment Findings	Compliance
	<p>of conduct on 3 December 2016, dissemination of Gender Committee on 19 December 2017, dissemination of company policy on 21 December 2017, manuring on 27 November 2018.</p> <ul style="list-style-type: none"> - Sarli Togatorop (Spraying) has completed training Integrated Pest Management on 21 February 2014, application of Regent on 28 March 2014, MSDS on 3 May 2015, Pest and Disease on 19 August 2016, spraying tools calibration on 4 August 2017, spraying standardization on 4 November 2017, MSDS on 14 December 2018. - Heri Hidayat (Harvester) has completed training of harvesting standard and FFB quality on 27 February 2015; harvesting tools 28 January 2016; code of conduct on 5 December 2016; fire fighting on 28 October 2017; gender committee on 19 December 2017 and FFB quality on 6 November 2018. <p>UMW South Estate: Records of training realization in 2018 were available, consist of training module, attendance list and photograph, e.g. training of IPM and Pest & Disease on 10 April 2018, attended by 59 participants and on 16 July 2018, attended by 51 participants; Manuring and LSU on 14 May 2018, attended by 27 participants and on 27 July 2018, attended by 48 participants; Harvesting and fruit quality on 21 March 2018, attended by 70 participants and on 13 November 2018, attended by 39 participants.</p> <p>Record of training for each employees are available, for example as follows:</p> <ul style="list-style-type: none"> - Parulian Damanik (Helper Operator) has attended training of Safety Driving on 13 October 2018. - Adi S. Lubis (Helper Operator) has attended training of Safety Driving on 13 October 2018. - Legimin (Harvesting Supervisor) has attended training of harvesting quality control on 8 February 2013, 7 April 2014, 5 September 2016, 26 April 2017 and 21 March 2018, First Aid on 22 December 2015 and 21 December 2017, Water management on 11 November 2016, Change of standard and FFB sortation criteria on 17 January 2018, company policy on 12 October 2018, and Harvesting premium on 12 October 2018. - Aan Sasmita (Harvester) has completed training of harvesting tools on 27 April 2017, dissemination of company policy and gender on 12 October 2018, harvesting premium price on 12 October 2018, domestic waste management on 13 December 2018, whistleblowing policy on 15 January 2019. <p>TUM Estate: Record of training for each employees are available, for example as follows:</p> <ul style="list-style-type: none"> - Desima Rismawati (Pest & Disease) has completed training of code of conduct on 15 December 2016, 	

Criterion / Indicator		Assessment Findings	Compliance
		<p>termit control on 14 February 2017, LSU on 19 July 2017 and ganoderma census on 19 October 2017.</p> <ul style="list-style-type: none"> - Ari Bowo (carpenter) has completed training of fire fighting simulation on 28 October 2017, gender committee on 19 December 2017 and Code of Conduct on 21 December 2017. - Rusli Sitompul (Spraying) has completed training of limited pesticide uses on 6 May 2014, MSDS on 3 May 2016, use of knapsack sprayer SA-15 on 6 September 2016, domestic waste management on 10 Decmeber 2016 and Code of Conduct on 21 December 2017. - Indra Suriyanto (Harvester) has completed training of harvesting and FFB quality on 6 November 2018. 	
<p>Principle 5: Environmental responsibility and conservation of natural resources and biodiversity</p>			
<p>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.</p>			
<p>5.1.1</p>	<p>Environmental impact assessment document(s) shall be available.</p> <p>- Major compliance -</p>	<p>PT. Umbul Mas Wisesa has an AMDAL document consisting of ANDAL Document, Environmental Management Plan and Environmental Monitoring Plan in accordance with "Keputusan Bupati Labuhan Batu No. 503.660/268/SET-KOMISI/XII/2008 tanggal 31 Desember 2008 tentang Kelayakan Lingkungan Hidup Rencana Usaha dan/atau Kegiatan serta Dermaga untuk Kepentingan Sendiri (DUKS) PT. Umbul Mas Wisesa di Desa Sei Siarti Kecamatan Panai Tengah dan Desa Tanjung Mulia Kecamatan Kampung Rakyat, Kabupaten Labuhan Batu, Provinsi Sumatera Utara". The scope of study covers 8,719 Ha and palm oil mill with capacity 45 Ton FFB/Hour expandable to 60 Ton FFB/Hour.</p> <p>"Kelayakan Lingkungan Hidup Adendum Analisis Dampak Lingkungan Hidup dan Rencana Pemantauan Lingkungan Hidup Kegiatan perubahan Pengelolaan Limbah Cair Berbasis Clean Development Mechanism dan Perubahan Pengolahan Limbah Padat PKS PT. Umbul Mas Wisesa No.188.44/430/KPTS/2013 – addendum on environmental impact assessment;</p> <p>"Izin Lingkungan Kegiatan Perubahan Pengolahan Limbah Cair berbasis CDM dan Perubahan Pengolahan Limbah Padat Pabrik Kelapa Sawit No.660/221/BPPTSU/2/IV.I/V/2016 – environmental permit;</p> <p>The company has also prepared the document of environmental impact list, such:</p> <ul style="list-style-type: none"> - UMW POM, document of Environmental Aspect & Impact List – dated 1 December 2018. - In UMW North Estate and TUM Estate, document of Environmental Aspect & Impact List, updated in 5 January 2018, covering for all activities in estate 	<p>Comply</p>

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Criterion / Indicator	Assessment Findings	Compliance
	<p>(office area, warehouse, in plantation, incinerator); The document of environmental impact also provided in RKL-RPL.</p> <p>PT. Toton Usaha Mandiri: Environmental document named "Dokumen Upaya Pengelolaan Lingkungan Hidup (UKL) dan Upaya Pemantauan Lingkungan Hidup (UPL) Perkebunan Kelapa Sawit seluas 1.200 Ha, PT. Toton Usaha Mandiri Desa Sei Siarti, Kecamatan Panai Tengah, Kabupaten Labuhanbatu, Provinsi Sumatera Utara" was approved "Keputusan Kepala Badan Pengendalian Dampak Lingkungan Daerah Kabupaten Labuhanbatu No.660/BLH-LB/AM/2009", datum 2009 with scope of study palm oil plantation area 1,200 Ha.</p> <p>Environmental impact assessments prepared by "Lembaga Penelitian Universitas Sumatera Utara Medan, 2009". Records of all impact assessments carried out are readily available. All operational areas have undertaken reviews of the environmental impacts on at least an annual basis.</p> <p>Opportunity for improvement: The Environmental Aspect & Impact List prepared for UMW POM have been reviewed on 1 December 2018. However, it has not taken into consideration the impact on installation new boiler: amount of under utilized fiber, with side impact: leach water.</p>	
<p>5.1.2</p>	<p>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.</p> <p>- Minor compliance -</p> <p>The company has Environmental Management and Monitoring Plan (RKL – RPL), it is submitted regularly to the national and local government every 6 months. The management and monitoring plan report is based on SEIA (AMDAL), it was checked that management and monitoring plan is implemented and reported to local government six monthly based. Last report submitted to Environment agency of Labuhan Batu District and Labuhan Batu Selatan District. The company has appointed EnC team (environmental and conservation team – GMO NS) for responsible to implementation the document as deputy of mill head manager on environment</p> <p>TUM Estate: Company has Environmental Management and Monitoring Plan (RKL – RPL), it is submitted regularly to the national and local government every 6 months. Last submission held on February 3rd, 2017. Environmental Management and Monitoring Plan (RKL – RPL) permit on 2009, by decree letter number 660/324/BLH-LB/AM/2009. reported to local government six monthly based. Last report submitted to Environment agency of Labuhan Batu District and labuhan Batu Selatan District Mr. HPP Siagian assigned as responsible person to implement it.</p> <p>The report – "Laporan Pelaksanaan Upaya Pengelolaan</p>	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p>(UKL) dan Upaya Pementauan Lingkungan (UPL) period July – December 2017 has submitted to Environment agency of Labuhan Batu District and Labuhan Batu Selatan District on 11 January 2018. The document has also sent to Environmental Agency in North Sumatra and Ministry of Environment of Republic Indonesia on 1 January 2018 (via – Pandu Logistic connot No.3037720847 5 and 3003772845 5).</p>	
<p>5.1.3</p> <p>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.</p> <p>- Minor compliance –</p>	<p>PT. Umbul Mas Wisesa (POM and estate):</p> <p>PT. Umbul Mas Wisesa has prepared report on Environmental Management and Monitoring implementation (Laporan RKL-RPL) and sent report every 6 month to local government, e.g RKL-RPL report semester II 2017 (Period July – December 2017), base on reported by receipts from the Office Dishutubun South Labuhan Batu, the report is RKL - RPL second semester year 2017, dated 11 January 2018.</p> <p>Management and monitoring plan based on AMDAL have been covered in regular report of RKL/RPL. Management Plan in accordance with impacts that have been identified in the EIA / UKL-UPL, such as:</p> <ol style="list-style-type: none"> 1. The impact of a decrease in air quality; 2. Impact of surface water quality degradation; 3. Waste; 4. Hazardous waste (B3); 5. Soil and water conservation; 6. Household waste; 7. Community Development; 8. Job opportunities; 9. Public health; <p>Monitoring the plan in accordance with the impact that it has identified in the EIA/UKL-UPL, such as:</p> <ol style="list-style-type: none"> 1. Monitoring of the odor; 2. Emission; 3. Noise; 4. Water quality; 5. Quality of waste; 6. HCV areas; 7. Fire; 8. The employment and business opportunities; 9. Attitudes and perceptions on health, the environment, <p>TUM Estate:</p> <p>PT. Toton Usaha Mandiri has prepared report on Environmental Management and Monitoring implementation (Laporan RKL-RPL) and sent report every 6 month to local government, e.g RKL-RPL report for period July – December 2017 has submitted to Environment agency of Labuhan Batu District on 8 January 2018 (letter no: 01/TUME/KLH-RI/2018), to Environment agency in North Sumatra Province on 10 January 2018 (via Pandu Logistic – connote no 3037720805 5) and to ministry of environmental in Republic Indonesia on 10 January 2018 (via Pandu</p>	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	Logistic – connote no 3037720802 5).	
<p>Criterion 5.2:</p> <p>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.</p> <p>- Major compliance -</p>	<p>PT Umbul Mas Wisesa (UMW) has conducted HCV identification by "Yayasan Kelapa Sawit Berkelanjutan Indonesia" (YASBI-Indonesian Sustainable Palm Oil Foundation) in 2009, referring "Indonesian HCV Toolkit, 2008". Total HCV areas was identified is 196.09 Ha and consist of 167 Ha is <i>Hutan Konversi</i> and riparian covering 20.79 Ha – in form of wildlife corridor.</p> <p>PT Toton Usaha Mandiri (TUM) has identified High Conservation Value (HCV) in 2009 conducted by "Yayasan Kelapa Sawit Berkelanjutan Indonesia" (YASBI-Indonesian Sustainable Palm Oil Foundation) as outlined in the Assessment Report HCV/HCV PT Toton Usaha Mandiri in 2009. In the report described the HCV areas found in working area of PT TUM i.e. HCV 1, HCV 3 and HCV 4 with a total area of 57.54 Ha in the form of conservation forest area of 39.30 hectares, border drain and corridors covering an area of 2.38 hectares.</p> <p>Public Consultation to the surrounding community have been conducted on 18 November 2009 at the Office of PT UMW, which was attended by representatives of leaders 'local community', the sub-district and the villages (Desa Tanjung Mulia, Sei Toras, Sei Siarti) in accordance with the document "Notulensi Publik Penilaian Nilai Konservasi Tinggi –NKT (HCV)".</p> <p>Reports being peer reviewed by R. Sigit Pamungkas (HCV-RN) on October 2014.</p>	<p>Comply</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>PT Umbul Mas Wisesa (UMW) has established procedur for identification HCV; "Prosedur Identiikasi Flora dan Fauna", No. ENC/SOP/09, dated 1 December 2013. Also made a work instruction (WI), that is: Work Instruction (WI) for: Patroli Areal NKT (HCV Areal), Conservation Corridor Maintenance, Camera Trap Setting, setup Camera Trap.</p> <p>Based on identification of HCV in 2009, that identified 16 species of mammals, such as: "Babi hutan" (<i>Sus verrucoccus</i>), "Musang" (<i>Paradoxurus hermaphrodites</i>), "Siamang" (<i>Symphalangus syndactylus</i>), "Beruk" (<i>Macaca nemestrina</i>), "Berang-berang" (<i>Prionodon linsang</i>), "Macan akar" (<i>Felis bengalensis</i>), Harimau Sumatera (<i>Panthera tigris sumatrae</i>), "Beruang Madu" (<i>Helarctos malajanus</i>), "Kia-kia" (<i>Presbytis thomasi margae</i>), "Kera" (<i>Macaca fascicularis</i>), "Bajing terbang" (<i>Calotes jubatus</i>), "Kalong" (<i>Pteropus vampyrus</i>), "Kukang" (<i>Nycticebus coucang</i>), Landak (<i>Hystrix brachyurum</i>), "Trenggiling"</p>	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p>(<i>Manis javanica</i>) and "Tupai" (<i>Tupaia sp.</i>) For bird species found 33 kinds, such as: <i>Cerocok/Pycnonotus goiavier, Emprit bondol/Lonchura, Balam/Geopelia striata, Walet/Hirundo tahitica, Gagak/Corvus enca, Pelatuk/Picus miniaceus, Jalak/Sturnus contra jala, Alap-alap/Falco peregrinus, Burung Hantu/Tyto alba, Murai batu/Monticola solitaries, Rangkok/Aceros undulates</i> and 11 types Reptile such as: <i>Ular Lidi/Ptyas koros, Tokek/Gecko gecko, Bunglon/Myrmeleon sp, Kadal/Mabouja multifasciata, Biawak/Varanus salvator and Ular sawah/Maticora bivirgata.</i></p> <p>Based HCV assessment documents in 2009, identified 27 types of plants such as: <i>Pasak Lingga/Dysoxylum sp, Kempas/Koompasia exelsa, Arang-arang/Dyospyros borneensis, Beringin/Ficus benjamina, Rengas/Gluta renghas, Anggrung/Trema orientalis, Meranti putih/Shorea lamellate, Meranti Merah/Shorea ovalis, Halaban/Vitex pubescens, Landas/Macaranga sp, Kayu Sunte/Shorea gibbosa, Mayang susu/Shorea lamellate, Rotan/Calamus sp, Kandis/Tamarindus sp, Jelutung/Dyera costulata, Tembesu/Frgraea fragrans and Punak/Tetramerista glabra.</i></p> <p>Based on the field observation in the wildlife corridor (UMW North Block J20/K20) which connects the HCV area of PT Umbul Mas Wisesa and HCV area of PT Toton Usaha Mandiri indicates that the company has made the management of HCV areas include;</p> <ul style="list-style-type: none"> - Installation of HCV identification and warning signs to prohibit hunting, or cutting the tree; - Restoration project by planting "Meranti Merah", "Bintangur", "Meranti Batu", "Pulai" and "Mayang" are continued, data collection sighted; - Based on visit to the area, vegetation growth in the corridor are improved. <p>The management and monitoring plan, covering monitoring of HCV area, socialization to the internal and local communities, restoration and displayed sign board. "Program Pengelolaan NKT PT Umbul Mas Wisesa North and PT TUM 2019" is evident. The HCV management plan including Forest guard patrol in two weeks interval, upkeep HCV corridor in monthly basis, planting of corridor planned in July, monitoring of wildlife in monthly basis, upkeep HCV notice board planned in May, upkeep of HCV and corridor poles planned in January and June.</p> <p>During field observation at HCV area, several wildlife were seen, e.g. Elang Hitam (<i>Ictinaetus malayensis</i>), Elang Ular Bido (<i>Spilornis cheela malayensis</i>), Alap-alap Macan (<i>Falco severus</i>), Betet ekor panjang (<i>Psittacula longicauda</i>) and Kangkareng Hitam (<i>Anthracoceros malayanus</i>).</p>	

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Criterion / Indicator		Assessment Findings	Compliance
5.2.3	<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>Company initiated "Pelatihan dan Identifikasi Tumbuhan-Satwa Liar di Areal Perkebunan dan Upaya Konservasi pada Habitatnya di Perkebunan PT Umbul Mas Wisesa dan PT Toton Usaha Mandiri.</p> <p>Throughout 2018, companies have provided dissemination on HCV management:</p> <ul style="list-style-type: none"> - Latest training of HCV conducted on 21 December 2018, lead by HCV coordinator attended by all Field Assistant of UMW North and TUM Estate. All field Assistant than disseminate the HCV management and monitoring program to all workers during morning briefing. - Dissemination on 16 December 2017 located in Division III (UMW South Estate) attended by 32 workers; - Dissemination on 11 January 2017 located in Division II (UMW South Estate) attended by 61 workers; - Dissemination on 6 March 2017 located in Division II (UMW South Estate) attended by 61 workers; - Dissemination on 10 April 2017 located in Division II (UMW South Estate) attended by 62 workers; - Dissemination on 21 December 2017 located in TUM Estate attended by 95 workers; - Dissemination on 12 August 2017 located in Division II TUM Estate attended by 69 workers; - Dissemination on 31 October 2017 located in Division III (UMW North Estate) attended by 55 workers; 	Comply
5.2.4	<p>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.</p> <p>- Minor compliance –</p>	<p>The management and monitoring plan, covering monitoring of HCV area, socialization to the internal and local communities, restoration and displayed sign board. "Program Pengelolaan NKT PT Umbul Mas Wisesa North and PT TUM 2019" is evident. The HCV management plan including Forest guard patrol in two weeks interval, upkeep HCV corridor in monthly basis, planting of corridor planned in July, monitoring of wildlife in monthly basis, upkeep HCV notice board planned in May, upkeep of HCV and corridor poles planned in January and June.</p> <p>Realisation of management and monitoring plan 2018 was recorded and available, e.g. result of monthly wildlife monitoring. Based on result December 2018, it was found Bangau Tongtong (<i>Leptoptilos javanicus</i>), Bangau Bluwok (<i>Mycteria cinerea</i>), Kerak Kerbau (<i>Acridotheres javanicus</i>), Alap-alap Jambul (<i>Accipiter trivirgatus</i>), Elang Hitam (<i>Ictinaetus malayensis</i>) Tiong Lampu biasa (<i>Eurystomus orientalis</i>) Alap-alap tikus (<i>Elanus hypoleucos</i>), Betet ekor pendek (<i>Psittacula alexandri</i>) Kepodang (<i>Oriolus chinensis</i>), Kirik-kirik laut (<i>Merops philippinus</i>), Betet ekor panjang (<i>Psittacula longicauda</i>), Pelatuk bawang (<i>Dinopium javanense</i>) and Beruk (<i>Macaca nemestrina</i>).</p> <p>The HCV Identity signboard were placed in 8 point, for example: Block J22, H24, H18 and K20. Based on interviews and field visits in the village of Tanjung Mulia showed that PT Umbul Mas Wisesa has communicated</p>	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>the HCV management program, including the types of flora and fauna are protected, for example posters of fauna protected in Tanjung Mulia.</p> <p>Companies have appointed special officers to manage Areal HCV is Mr. Ibnu Reza (Coordinator), Erwin Syahputra (Ranger – Water management team), Rivai Hamdani (Ranger – Water Management team) in accordance with the Memorandum from UMW North Estate Manager dated 6 April 2018. The Company has established Job Description Position: Field Conservation Technician ("Rangers") that describes the job description, responsibilities and procedures for their work relationship.</p> <p>Report on the monitoring of flora and fauna contained in "Laporan Kegiatan Pengelolaan Area Bernilai Konservasi Tinggi Periode Januari-Desember 2018 di PT Umbul Mas Wisesa dan PT Toton Usaha Mandiri", reported to the "Badan Konservasi Sumber Daya Alam/BKSDA Provinsi Sumatera Utara", based on disposition No. I/UMWN/BKSDA/I/2019 dated 14 January 2019. The report explains all activities by team in January-December 2018, including: monitoring of wildlife and flora; eradication of threat in HCV area (wild animal snares, fish net); controlling invasive species in HCV corridor; planting and upkeep forest/native species trees, such as Trembesi (<i>Albizia saman</i>), Ketapang (<i>Terminalia catappa</i>), Meranti (<i>Shorea</i> sp.), Tenggek Burung (<i>Euodia ridleyi</i>) and Kayu Ara (<i>Ficus</i> sp.) in September-December 2018.</p> <p>Based on wildlife monitoring period December 2018, identified 3 species under status Vulnerable, e.g. Bangau Tongtong (<i>Leptoptilos javanicus</i>), Bangau Bluwok (<i>Mycteria cinerea</i>) and Beruk (<i>Macaca nemestrina</i>); 3 species with status Near Threatened, e.g. Alap-alap Jambul (<i>Accipiter trivirgatus</i>), Tion-lampu biasa (<i>Eurystomus orientalis</i>) and Betet ekor panjang (<i>Psittacula longicauda</i>); 7 species with status Least Concern, e.g. Kerak kerbau (<i>Acridotheres javanicus</i>), Elang hitam (<i>Ictinaetus malayensis</i>), Alap-alap tikus (<i>Elanus hypoleucus</i>), Betet ekor pendek (<i>Psittacula alexandri</i>), Kepodang (<i>Oriolus chinensis</i>), Kirik-kirik laut (<i>Merops philippinus</i>), Pelatuk bawang (<i>Dinopium jevanense</i>).</p> <p>Based on field verification: HCV area is in good condition/maintained. No indication of animal snare/trap or illegal logging. The HCV monitoring carried out by special officer (Ranger). HCV area have been delineated on the ground in form of moat and HCV identity signboard. Hunting prohibition signboard are erected, and in good condition. The HCV corridor has been introduced with forest plant: Trembesi (<i>Albizia saman</i>), Ketapang (<i>Terminalia catappa</i>), Meranti (<i>Shorea</i> sp.), Tenggek Burung (<i>Euodia</i></p>	

Criterion / Indicator		Assessment Findings	Compliance																											
		<i>ridleyi</i>) and Kayu Ara (<i>Ficus</i> sp.). During visit, these tree are well-grown and maintained.																												
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 the verification of documents, site visits and interviews with local communities shown that no HCV area has been established by PT Umbul Mas Wisesa and PT Toton Usaha Mandiri are in the possession of other parties, including the surrounding communities.	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 -	<p>All sources of pollution and waste have been identified and documented.</p> <p>UMW POM has identified source of all waste and pollution under document "Rencana Pengelolaan Limbah", includes all activities performed in Employment (Housing complex), Warehouse, Engine room, Incinerator, office, POME, dated 12 November 2018.</p> <table border="1"> <thead> <tr> <th>Type of waste</th> <th>Source</th> <th>Management</th> </tr> </thead> <tbody> <tr> <td>Limbah Cair Rumah Tangga</td> <td></td> <td></td> </tr> <tr> <td>Black water</td> <td>Housing toilet, office toilet, guesthouse toilet</td> <td>Construction of septic tank in each house</td> </tr> <tr> <td>Grey water</td> <td>Bathroom, kitchen,</td> <td>Construction of concrete drain in housing</td> </tr> <tr> <td>Solid waste from household</td> <td>Staff and employees housing</td> <td>Provide trash bin on every housing; Collect and send solid waste for burning furnace – twice per week; Organic waste collected and composted in palm path</td> </tr> <tr> <td>Used lubricant; Used battery; Used oil and fuel filters; Contaminated rags</td> <td>Engine, power generator, vehicle Workshop</td> <td>Into license hazardous waste storage with second containment, spill kit;</td> </tr> <tr> <td>Small ex-chemical container</td> <td>Laboratory</td> <td>Record in hazardous waste balance;</td> </tr> <tr> <td>Big ex-chemical container;</td> <td>Water treatment plant</td> <td></td> </tr> <tr> <td>Gunny bag from chemical</td> <td>Water treatment plant</td> <td>Re-use as trash bag;</td> </tr> </tbody> </table>	Type of waste	Source	Management	Limbah Cair Rumah Tangga			Black water	Housing toilet, office toilet, guesthouse toilet	Construction of septic tank in each house	Grey water	Bathroom, kitchen,	Construction of concrete drain in housing	Solid waste from household	Staff and employees housing	Provide trash bin on every housing; Collect and send solid waste for burning furnace – twice per week; Organic waste collected and composted in palm path	Used lubricant; Used battery; Used oil and fuel filters; Contaminated rags	Engine, power generator, vehicle Workshop	Into license hazardous waste storage with second containment, spill kit;	Small ex-chemical container	Laboratory	Record in hazardous waste balance;	Big ex-chemical container;	Water treatment plant		Gunny bag from chemical	Water treatment plant	Re-use as trash bag;	Comply
Type of waste	Source	Management																												
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Black water	Housing toilet, office toilet, guesthouse toilet	Construction of septic tank in each house																												
Grey water	Bathroom, kitchen,	Construction of concrete drain in housing																												
Solid waste from household	Staff and employees housing	Provide trash bin on every housing; Collect and send solid waste for burning furnace – twice per week; Organic waste collected and composted in palm path																												
Used lubricant; Used battery; Used oil and fuel filters; Contaminated rags	Engine, power generator, vehicle Workshop	Into license hazardous waste storage with second containment, spill kit;																												
Small ex-chemical container	Laboratory	Record in hazardous waste balance;																												
Big ex-chemical container;	Water treatment plant																													
Gunny bag from chemical	Water treatment plant	Re-use as trash bag;																												

Criterion / Indicator		Assessment Findings			Compliance
				Re-use as water gate	
		POME	Clarification and Biogas Plant	POME goes into biogas plant; In order to meet environment criteria, sent for retention pond before goes for Barumun River	
		<p>UMW North Estate and TUM Estate: The document of identification of sources of waste dan pollution available in "Rencana Pengelolaan Limbah", updated on 1 September 2017, such:</p> <ul style="list-style-type: none"> - Liquid domestic waste (black water and grey water); - Solid domestic waste (organic and anorganic); - Waste oil, used battery, used oil filter, used fuel filter – from generator engine; - Empty chemical container; - Ex-fertilizer bag; - Photocopy toner, cartridge printer containers; - Identification of Hazardous waste source; - Source of emission identification; 			
5.3.2	<p>There shall be evidence that all chemicals and their empty containers are disposed of responsibly.</p> <p>- Major compliance -</p>	<p>All chemical and hazardous waste from UWM POM, UMW North Estate, UMW South Estate and TUM Estate are stored in temporary hazardous waste storage. All chemical and their containers from Mill and Estates were collected and kept in temporary waste storage for 180 days upto 365 days prior disposal.</p> <p>Review of records showed all hazardous waste has been identified and properly monitored, such as used oil, used oil filter, used batteries, empty chemical container from Estate and Mill activities, contaminated materials, etc. Monitoring was recorded in document "Neraca Limbah B3".</p> <ul style="list-style-type: none"> - Permit of limited hazardous waste storage under "Keputusan Kepala Dinas Penanaman Modal dan Pelayanan Perizinan Terpadu Satu Pintu Kabupaten Labuhanbatu Selatan No.503/515/DPMPPTSP-LS/2017 tentang Izin Penyimpanan Sementara Limbah Bahan Berbahaya dan Beracun PT. Umbul Mas Wisesa Mill", dated 25 April 2017. The permit valid for 5 years, up to 10 April 2022. - "Surat Perjanjian Kerjasama PT. Umbul Mas Wisesa dengan PT. Amindy Barokah Sumut No.236/UMW-ABS/SPK/LB3/III/2018" dated 7 March 2018. PT. Amindy Barokah Sumut is the transporter of hazardous waste. Agreement valid up to 7 March 2019. - "Perjanjian Kerjasama antara PT. Umbul Mas Wisesa dengan PT. Karisma Jaya Mandiri dan PT. Amindy Barokah Sumut tentang Evakuasi dan Pengelolaan Limbah B3 Khusus Limbah Oli Bekas dan Majun Bekas No.459/UMW-KAJM/SPK-LB3/V/2018" dated 17 May 2018. PT. Amindy Barokah Sumut is the transporter of hazardous waste. PT. Karisma Jaya Mandiri is the 			Comply

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Criterion / Indicator	Assessment Findings	Compliance
	<p>hazardous waste processor. Agreement valid up to 17 May 2019.</p> <ul style="list-style-type: none"> - "Perjanjian Jasa Pengolahan Limbah Bahan Berbahaya dan Beracun (B3) antara PT. Umbul Mas Wisesa dengan PT. Amindy Barokah Sumut dan PT. Wastec International No.387/WI-SPKLB3/V/2018" dated 4 May 2018. PT. Amindy Barokah Sumut is the transporter of hazardous waste. PT. Karisma Jaya Mandiri is the hazardous waste processor. Agreement valid up to 17 May 2019. - "Perjanjian Kerjasama antara PT. Umbul Mas Wisesa dengan PT. Non Ferindo Utama dan PT. Amindy Barokah Sumut tentang Evakuasi dan Pengelolaan Limbah B3 Khusus Aki Bekas No.135/ENC-UMW/LB3/II-2018" dated 9 February 2018. PT. Amindy Barokah Sumut is the transporter of hazardous waste. PT. Non Ferindo utama is the hazardous waste processor. Agreement valid up to 9 February 2019. - "Perjanjian Kerjasama antara PT. Umbul Mas Wisesa dengan PT. Sumatera Deli Lestari Indah dan PT. Amindy Barokah Sumut No.311/UMW-SDLI-ABS/SPK-LB3/XI/2018" dated 1 November 2018. PT. Amindy Barokah Sumut is the transporter of hazardous waste. PT. Sumatera Deli Lestari Indah is the hazardous waste collector. Agreement valid for one (1) year. - Permit PT. Karisma Jaya Mandiri as in "Keputusan Menteri Lingkungan Hidup dan Kehutanan Republik Indonesia No.SK.322/Menlhk/Setjen/PLB.3/4/2016 tentang Izin Pengelolaan Limbah Bahan Berbahaya dan Beracun untuk Kegiatan Pemanfaatan Limbah Bahan Berbahaya dan Beracun atas nama PT. Karisma Jaya Mandiri", dated 20 April 2016, valid for 5 years. Hazardous waste type: used lubricant oil, sludge from crude oil, residue from oil and gas, sludge from oil treatment facility, used rags. - Permit PT. Non Ferindo Utama as in "Keputusan Menteri Lingkungan Hidup Republik Indonesia No.07.51.09 tentang Izin Pemanfaatan Limbah Bahan Berbahaya dan Beracun PT. Non Ferindo utama di Desa Kadu, Kecamatan Curug, Kabupaten Tangerang, Provinsi Banten", dated 3 September 2014, valid for 5 years. Hazardous waste type: lead scrap from accu/battery, off spec battery, or contaminated metal with output ash, slag and dross residue from lead furnace. - Permit PT. Sumatera Deli Lestari Indah as in "Keputusan Menteri Lingkungan Hidup dan Kehutanan Republik Indonesia No.SK.155/Menlhk/Setjen/PSLB.3/2/2016 tentang Izin Pengelolaan Limbah Bahan Berbahaya dan Beracun untuk Kegiatan Pengumpulan Limbah Bahan Berbahaya dan Beracun atas nama PT. Sumatera Deli Lestari Indah", dated 18 February 2016, valid for 5 years. Hazardous waste type: used lubricant, used battery, used accu, metal dross for ferrit-aluminum-zinc, electronic waste, wire rubber, hazardous waste 	

Criterion / Indicator	Assessment Findings	Compliance
	<p>container, used rags, dust and sludge from aluminum and ferrit furnace, used active carbon, foundry sand, used ink.</p> <ul style="list-style-type: none"> - Permit CV. Amindy Barokah as in "Keputusan Menteri Lingkungan Hidup dan Kehutanan Republik Indonesia No.SK.353/Menlhk-Setjen/2015 tentang Izin Pengelolaan Limbah Bahan Berbahaya dan Beracun untuk Kegiatan Pengumpulan Limbah Bahan Berbahaya dan Beracun atas nama CV Amindy Barokah", dated 31 August 2015, valid for 5 years. Hazardous waste type: used lubricant, sludge from oil and gas industry, slop from oil and gas refinery, oil emulsion. - Recommendation for transport: "Surat Kementerian Lingkungan Hidup dan Kehutanan – Direktorat Jenderal Pengelolaan Sampah, Limbah dan Bahan Beracun dan Berbahaya-Direktorat Verifikasi Pengelolaan Limbah B3 dan Non B3 No.S924/VPLB3/PPLB3/PLB.3/11/2016 tentang Rekomendai Pengangkutan Bahan Berbahaya dan Beracun" dated 3 November 2016 – valid for 5 years. <p>Record of hazardous waste is maintained, the record is updated monthly in "Hazardous Waste Balancing Stock" and Also Reported to the local government every three months, and incorporated in RKL - RPL report.</p> <p>B3 waste handling TUME and UMW-North delivered every week to place the B3 waste storage located in UMW-South, who has permission to store hazardous waste.</p> <p>UMW South Estate: The evidence that all chemicals and their empty containers are disposed of responsibly, such as:</p> <ul style="list-style-type: none"> - Hazardous waste record "Lembar Neraca Limbah Bahan Berbahaya dan Beracun" period August 2018. Hazardous waste: used lubricant. Balance from July 2018: 469 liters; intake 13 August 2018: 25 liters from Central Workshop; outtake 14 August 2018: 494 liters by PT. Amindy Barokah AVT0006811; intake 19 August 2018: 15 liters from Central Workshop; intake 20 August 2018: 25 liters from Central Workshop; intake 26 August 2018: 40 litres from Central Workshop – balance 80 liters. - Hazardous waste record "Lembar Neraca Limbah Bahan Berbahaya dan Beracun" period August 2018. Hazardous waste: ex-fertilizer bag. Balance from July 2018: 105 kg; outtake 14 August 2018: 105 kg by PT. Amindy Barokah AVT0006868; intake 26 August 2018: 10 kg from Fertilizer godown; intake 31 August 2018: 10 kg from Fertilizer godown – balance 20 kg. - Hazardous waste record "Lembar Neraca Limbah Bahan Berbahaya dan Beracun" period August 2018. Hazardous waste: ex-pesticide jerry can (Basta & Smart). Balance from July 2018: 73 kg; outtake 14 August 2018: 73 kg by PT. Amindy Barokah AVT0006868 – balance 0 kg 	

Criterion / Indicator		Assessment Findings	Compliance																																													
		<ul style="list-style-type: none"> - Hazardous waste record "Lembar Neraca Limbah Bahan Berbahaya dan Beracun" period August 2018. Hazardous waste: ex-pesticide container (Metsulindo). Balance from July 2018: 214 kg; intake 7 August 2018: 8 kg from Pesticide Godown; intake 14 August 2018: 10 kg from Pesticide Godown; outtake 14 August 2018: 232 kg by PT. Amindy Barokah AVT0006868; intake 20 August 2018: 1 kg from Pesticide Godown; intake 21 August 2018: 1 kg from Pesticide Godown; intake 21 August 2018: 2 kg from Pesticide Godown; intake 28 August 2018: 2 kg from Pesticide Godown – balance 6 kg. - Handover "Berita Acara Serah Terima Barang Limbah Bahan Berbahaya Beracun No.02/VIII/UMWS/2018", dated 14 August 2018 from PT. Umbul Mas Wisesa to PT. Amindy Barokah. Type of hazardous waste disposed off: 494 liters used lubricant; 7.5 kg used battery; 169 kg used lubricant/filter; 1 kg used printer cartridge; 10 kg medical waste; 150 kg contaminated waste/ex-chemical container. - Manifest No.AVT0006811 for 494 liters used lubricant (B105d), transported by PT Amindy Barokah on 14 August 2018. Transport detail, BK 8798 MN, Shipping permit No.120070432BB-0008. - Manifest No.AVT0006810 for 150 kg contaminated waste/ex-chemical container (B104d), transported by PT Amindy Barokah on 14 August 2018. Transport detail, BK 8798 MN, Shipping permit No.120070432BB-0008. 																																														
5.3.3	<p>A documented waste management plan to avoid or reduce pollution and its implementation shall be available.</p> <p>- Minor compliance –</p>	<p>The company has prepared the document of waste management plan as in procedure "Pengelolaan Sampah" and "Rencana Pengelolaan Limbah". Waste management consists of domestic waste, to reduce pollution to the environment.</p> <p>Organic and inorganic waste sent to Incenerator in block K11A (covering for UMW north and TUM estate).</p> <p>UMW POM:</p> <table border="1"> <thead> <tr> <th>Year</th> <th>FFB Processed (tons)</th> <th>EFB for Estate (MT)</th> </tr> </thead> <tbody> <tr><td>2018</td><td></td><td></td></tr> <tr><td>Jan</td><td>13,725.41</td><td>0</td></tr> <tr><td>Feb</td><td>11,324.93</td><td>1291</td></tr> <tr><td>Mar</td><td>13,826.35</td><td>14,514</td></tr> <tr><td>Apr</td><td>14,795.03</td><td>12,914</td></tr> <tr><td>May</td><td>16,582.95</td><td>714</td></tr> <tr><td>Jun</td><td>11,279.87</td><td>63,475</td></tr> <tr><td>Jul</td><td>19,318.83</td><td>23,923</td></tr> <tr><td>Aug</td><td>16,905.83</td><td>20,465</td></tr> <tr><td>Sep</td><td>16,873.15</td><td>230,749</td></tr> <tr><td>Oct</td><td>16,012.63</td><td>123,029</td></tr> <tr><td>Nov</td><td>12,917.87</td><td>167,859</td></tr> <tr><td>Dec</td><td>9,654.14</td><td>63,911</td></tr> <tr><td></td><td>173,217.03</td><td>709,942</td></tr> </tbody> </table> <p>For medical waste, and other type hazardous waste (waste oil, empty chemical container, contaminated material, battery, etc) regulated as per procedure "Penyimpanan Limbah Bahan Berbahaya dan Beracun</p>	Year	FFB Processed (tons)	EFB for Estate (MT)	2018			Jan	13,725.41	0	Feb	11,324.93	1291	Mar	13,826.35	14,514	Apr	14,795.03	12,914	May	16,582.95	714	Jun	11,279.87	63,475	Jul	19,318.83	23,923	Aug	16,905.83	20,465	Sep	16,873.15	230,749	Oct	16,012.63	123,029	Nov	12,917.87	167,859	Dec	9,654.14	63,911		173,217.03	709,942	Comply
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		<p>(Limbah B3) dan Tanggap Darurat". The hazardous waste stored in a dedicated storage completed with alarm, spill kit, secondary containment and PPE for operator.</p> <p>Hazardous waste handling at PT. Toton Usaha Mandiri and UMW-North Estate delivered every week to temporary hazardous waste storage located in UMW-South, which has permission to store hazardous waste.</p> <p>UMW South Estate: Organic and inorganic waste sent to Incenerator in block B12 in division 1.</p>																																																																																																																						
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<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.</p> <p>- Minor compliance –</p>	<p>UMW POM optimizing renewable energy from fruit fiber and shell for fuel, recorded in "Rekaman Monitoring Penggunaan Energi Terbarukan".</p> <p>Calculation for Fiber:</p> <table border="1"> <thead> <tr> <th>Year 2018</th> <th>FFB Processed (tons)</th> <th>Fruit Fibers @13% of FFB process (MT)</th> <th>Net Calorific Value of Fiber (2300 Kcal/kg)</th> </tr> </thead> <tbody> <tr><td>Jan</td><td>13,725.41</td><td>1,783.30</td><td>4,103,900,281</td></tr> <tr><td>Feb</td><td>11,324.93</td><td>1,472.24</td><td>3,386,154,070</td></tr> <tr><td>Mar</td><td>13,826.35</td><td>1,797.42</td><td>4,134,078,650</td></tr> <tr><td>Apr</td><td>14,795.03</td><td>1,923.35</td><td>4,423,713,970</td></tr> <tr><td>May</td><td>16,582.95</td><td>2,155.78</td><td>4,958,303,844</td></tr> <tr><td>Jun</td><td>11,279.87</td><td>1,466.38</td><td>3,372,681,728</td></tr> <tr><td>Jul</td><td>19,318.83</td><td>2,511.44</td><td>5,776,332,562</td></tr> <tr><td>Aug</td><td>16,905.83</td><td>2,197.75</td><td>5,054,844,665</td></tr> <tr><td>Sep</td><td>16,873.15</td><td>2,193.51</td><td>5,045,073,046</td></tr> <tr><td>Oct</td><td>16,012.63</td><td>2,081.64</td><td>4,787,776,669</td></tr> <tr><td>Nov</td><td>12,917.87</td><td>1,679.32</td><td>3,862,443,130</td></tr> <tr><td>Dec</td><td>9,654.14</td><td>1,255.03</td><td>2,886,587,860</td></tr> <tr><td></td><td>173,217.03</td><td>22,518.21</td><td>51,791,890,475</td></tr> </tbody> </table> <p>Calculation for Shell:</p> <table border="1"> <thead> <tr> <th>Year 2018</th> <th>FFB Processed (tons)</th> <th>Shell @6% of FFB process (MT)</th> <th>Net Calorific Value of shell (3400 Kcal/kg)</th> </tr> </thead> <tbody> <tr><td>Jan</td><td>13,725.41</td><td>823,525</td><td>2,799,985,476</td></tr> <tr><td>Feb</td><td>11,324.93</td><td>679,496</td><td>2,310,285,720</td></tr> <tr><td>Mar</td><td>13,826.35</td><td>829,581</td><td>2,820,575,400</td></tr> <tr><td>Apr</td><td>14,795.03</td><td>887,702</td><td>3,018,186,120</td></tr> <tr><td>May</td><td>16,582.95</td><td>994,977</td><td>3,382,293,024</td></tr> <tr><td>Jun</td><td>11,279.87</td><td>676,792</td><td>2,301,093,888</td></tr> <tr><td>Jul</td><td>19,318.83</td><td>1,159,130</td><td>3,941,042,952</td></tr> <tr><td>Aug</td><td>16,905.83</td><td>1,014,350</td><td>3,448,790,340</td></tr> <tr><td>Sep</td><td>16,873.15</td><td>1,012,389</td><td>3,442,123,416</td></tr> <tr><td>Oct</td><td>16,012.63</td><td>960,758</td><td>3,266,576,724</td></tr> <tr><td>Nov</td><td>12,917.87</td><td>755,072</td><td>2,635,245,480</td></tr> <tr><td>Dec</td><td>9,654.14</td><td>579,248</td><td>1,969,444,560</td></tr> <tr><td></td><td>173,217.03</td><td>10,393,022</td><td>35,336,273,100</td></tr> </tbody> </table> <p>Record of efficiency</p> <table border="1"> <thead> <tr> <th>Year 2018</th> <th>Grand Total NCV</th> <th>Equal to HSD Fuel NCV 10500 Kcal/kg</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Year 2018	FFB Processed (tons)	Fruit Fibers @13% of FFB process (MT)	Net Calorific Value of Fiber (2300 Kcal/kg)	Jan	13,725.41	1,783.30	4,103,900,281	Feb	11,324.93	1,472.24	3,386,154,070	Mar	13,826.35	1,797.42	4,134,078,650	Apr	14,795.03	1,923.35	4,423,713,970	May	16,582.95	2,155.78	4,958,303,844	Jun	11,279.87	1,466.38	3,372,681,728	Jul	19,318.83	2,511.44	5,776,332,562	Aug	16,905.83	2,197.75	5,054,844,665	Sep	16,873.15	2,193.51	5,045,073,046	Oct	16,012.63	2,081.64	4,787,776,669	Nov	12,917.87	1,679.32	3,862,443,130	Dec	9,654.14	1,255.03	2,886,587,860		173,217.03	22,518.21	51,791,890,475	Year 2018	FFB Processed (tons)	Shell @6% of FFB process (MT)	Net Calorific Value of shell (3400 Kcal/kg)	Jan	13,725.41	823,525	2,799,985,476	Feb	11,324.93	679,496	2,310,285,720	Mar	13,826.35	829,581	2,820,575,400	Apr	14,795.03	887,702	3,018,186,120	May	16,582.95	994,977	3,382,293,024	Jun	11,279.87	676,792	2,301,093,888	Jul	19,318.83	1,159,130	3,941,042,952	Aug	16,905.83	1,014,350	3,448,790,340	Sep	16,873.15	1,012,389	3,442,123,416	Oct	16,012.63	960,758	3,266,576,724	Nov	12,917.87	755,072	2,635,245,480	Dec	9,654.14	579,248	1,969,444,560		173,217.03	10,393,022	35,336,273,100	Year 2018	Grand Total NCV	Equal to HSD Fuel NCV 10500 Kcal/kg				Comply
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<p>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.</p>																																																																																														
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 -	PT UMW and PT TUM: No open burning was noted during field visit and interviewed with local communities and workers. "Prosedur Pencegahan dan Pengendalian Kebakaran Lahan" No.ENC/SOP/10 dated 1 February 2014 for prevention and control of fire. The company is using fire danger rating; risk differed by number of rainy day, rain fall, and or occurrence of fire at boundary. No open burning was noted during field visit and interviewed with local communities and workers.	Comply																																																																																											

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		<p>Record seen:</p> <ul style="list-style-type: none"> - "Laporan Pemantauan Kebakaran Lahan" period 1st Semester 2018 PT Umbul Mas Wisesa, disposed to Agricultural Agency of Labuhanbatu Regency on 9 July 2018. - "Laporan Pemantauan Kebakaran Lahan" period 1st Semester 2018 PT Toton Usaha Mandiri, disposed to Agricultural Agency of Labuhanbatu Regency on 9 July 2018. - "Laporan Pemantauan Kebakaran Lahan" period 2nd Semester 2018 PT Umbul Mas Wisesa, disposed to Agricultural Agency of Labuhanbatu Regency on 12 January 2019. - "Laporan Pemantauan Kebakaran Lahan" period 2nd Semester 2018 PT Toton Usaha Mandiri, disposed to Agricultural Agency of Labuhanbatu Regency on 12 January 2019. 																					
5.5.2	<p>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.</p> <p>- Minor compliance -</p>	<p>No replanting. No open burning was noted for replanting. No use of fire for eradication of pest/disease.</p>	Comply																				
<p>Criterion 5.6: Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.</p>																							
5.6.1	<p>Document(s) assessing pollution and emission sources, including gaseous, particles, soot emissions and effluent, shall be available. (see Criterion 4.4)</p> <p>- Major compliance -</p>	<p>The company has developed pollution and emission reduction plan. The plan covers planning, implementing plans and monitoring activities generating pollution and emission.</p> <p>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri plantation are located on 100% peat soil. No POME application/Land application permitted for plantation in peat soil.</p> <p>Identification of pollution and emission sources recorded under Environmental Aspect & Impact List (Daftar Aspek & Pengaruh Lingkungan). The latest review dated 1 November 2017. The identification listed all relevant activities that generate pollution and emission from office, plantations, palm oil mill, mill effluent treatment up to workers activities. Emission test for Genset No.1 and No.2 in UMW POM on 7 June 2018:</p> <table border="1"> <thead> <tr> <th>Parameter</th> <th>Limit</th> <th>Result Genset #1</th> <th>Result Genset #2</th> </tr> </thead> <tbody> <tr> <td>NO₂</td> <td>1000 mg/Nm³</td> <td>455.20 mg/Nm³</td> <td>462.19 mg/Nm³</td> </tr> <tr> <td>SO₂</td> <td>800 mg/Nm³</td> <td>7.41 mg/Nm³</td> <td>7.44 mg/Nm³</td> </tr> <tr> <td>CO</td> <td>600 mg/Nm³</td> <td>243.06 mg/Nm³</td> <td>247.00 mg/Nm³</td> </tr> <tr> <td>Particulate</td> <td>150 mg/Nm³</td> <td>60.42 mg/Nm³</td> <td>60.42 mg/Nm³</td> </tr> </tbody> </table> <p>Sample tested against "Peraturan Menteri Negara Lingkungan Hidup No.13 tahun 2009".</p>	Parameter	Limit	Result Genset #1	Result Genset #2	NO ₂	1000 mg/Nm ³	455.20 mg/Nm ³	462.19 mg/Nm ³	SO ₂	800 mg/Nm ³	7.41 mg/Nm ³	7.44 mg/Nm ³	CO	600 mg/Nm ³	243.06 mg/Nm ³	247.00 mg/Nm ³	Particulate	150 mg/Nm ³	60.42 mg/Nm ³	60.42 mg/Nm ³	Comply
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	<p>Emission test for Boiler No.1 on 7 June 2018</p> <table border="1" data-bbox="678 488 1098 757"> <thead> <tr> <th>Parameter</th> <th>Limit</th> <th>Result Boiler #1</th> </tr> </thead> <tbody> <tr> <td>NO₂</td> <td>800 mg/Nm³</td> <td>14.20 mg/Nm³</td> </tr> <tr> <td>SO₂</td> <td>600 mg/Nm³</td> <td>4.16 mg/Nm³</td> </tr> <tr> <td>HCl</td> <td>5 mg/m³</td> <td>0.0096 mg/Nm³</td> </tr> <tr> <td>Cl₂</td> <td>5 mg/m³</td> <td>0.0188 mg/Nm³</td> </tr> <tr> <td>NH₃</td> <td>1 mg/Nm³</td> <td>0.1795 mg/Nm³</td> </tr> <tr> <td>HF</td> <td>8 mg/m³</td> <td>0.0316 mg/Nm³</td> </tr> <tr> <td>Opacity</td> <td>30 %</td> <td><9.8 %</td> </tr> <tr> <td>Particulate</td> <td>300 mg/Nm³</td> <td>131.04 mg/Nm³</td> </tr> </tbody> </table> <p>Sample tested against regulation "Peraturan Menteri Negara Lingkungan Hidup No.7 tahun 2007".</p> <p>Ambient air analysis dated 5 June 2018:</p> <table border="1" data-bbox="678 878 1267 1043"> <thead> <tr> <th>Parameter</th> <th>Limit</th> <th>Badminton field</th> <th>Front of POM</th> </tr> </thead> <tbody> <tr> <td>NO₂</td> <td>150 µg/Nm³</td> <td>71.42 µg/Nm³</td> <td>3.25 µg/Nm³</td> </tr> <tr> <td>SO₂</td> <td>365 µg/Nm³</td> <td>60.55 µg/Nm³</td> <td>247.05 µg/Nm³</td> </tr> <tr> <td>CO</td> <td>10,000 µg/Nm³</td> <td>1189 µg/Nm³</td> <td>1,389.11 µg/Nm³</td> </tr> <tr> <td>HC</td> <td>160 µg/Nm³</td> <td>10.42 µg/Nm³</td> <td>14,34 µg/Nm³</td> </tr> <tr> <td>PM</td> <td>65 µg/Nm³</td> <td>53.61 µg/Nm³</td> <td>58.13 µg/Nm³</td> </tr> </tbody> </table> <p>Sample tested against regulation "Peraturan Menteri Tenaga Kerja dan Transmigrasi No.41 tahun 1999".</p> <p>Noise level measurement 5 June 2018:</p> <table border="1" data-bbox="678 1160 1098 1491"> <thead> <tr> <th>Location</th> <th>Noise level (dB)</th> </tr> </thead> <tbody> <tr> <td>Power house station</td> <td>85.0 dBA</td> </tr> <tr> <td>Boiler station</td> <td>86.2 dBA</td> </tr> <tr> <td>EFB shredder station</td> <td>83.5 dBA</td> </tr> <tr> <td>WWTP Pump station</td> <td>79.2 dBA</td> </tr> <tr> <td>Sterilizer station</td> <td>80.2 dbA</td> </tr> <tr> <td>Clarification station</td> <td>84.6 dBA</td> </tr> <tr> <td>Kernel station</td> <td>87.5 dBA</td> </tr> <tr> <td>Press station</td> <td>86.8 dBA</td> </tr> <tr> <td>Thresher station</td> <td>82.1 dBA</td> </tr> <tr> <td>Loading ramp</td> <td>69.4 dBA</td> </tr> </tbody> </table> <p>Sample tested against regulation "Peraturan Menteri Tenaga Kerja dan Transmigrasi No.13 tahun 2011".</p> <p>Odor analysis 5 June 2018</p> <table border="1" data-bbox="678 1608 1267 1742"> <thead> <tr> <th>Location</th> <th>Parameter</th> <th>Limit</th> <th>Result</th> </tr> </thead> <tbody> <tr> <td rowspan="2">Badminton field</td> <td>NH₃</td> <td>2,0 ppm</td> <td>0.0262 ppm</td> </tr> <tr> <td>H₂S</td> <td>0,02 ppm</td> <td>0.0141 ppm</td> </tr> <tr> <td rowspan="2">Waste disposal</td> <td>NH₃</td> <td>2,0 ppm</td> <td>0.1621 ppm</td> </tr> <tr> <td>H₂S</td> <td>0,02 ppm</td> <td>0.0049 ppm</td> </tr> </tbody> </table> <p>Semester II</p> <p>Emission test for Genset No.1 and No.3 in UMW POM on 19-20 December 2018:</p> <table border="1" data-bbox="678 1859 1267 1993"> <thead> <tr> <th>Parameter</th> <th>Limit</th> <th>Result Genset #1</th> <th>Result Genset #3</th> </tr> </thead> <tbody> <tr> <td>NO₂</td> <td>1000 mg/Nm³</td> <td>433.08 mg/Nm³</td> <td>409.12 mg/Nm³</td> </tr> <tr> <td>SO₂</td> <td>800 mg/Nm³</td> <td>7.21 mg/Nm³</td> <td>7.18 mg/Nm³</td> </tr> <tr> <td>CO</td> <td>600 mg/Nm³</td> <td>232.01 mg/Nm³</td> <td>219.29 mg/Nm³</td> </tr> <tr> <td>Particulate</td> <td>150 mg/Nm³</td> <td>58.41 mg/Nm³</td> <td>56.39 mg/Nm³</td> </tr> </tbody> </table> <p>Sample tested against "Peraturan Menteri Negara</p>	Parameter	Limit	Result Boiler #1	NO ₂	800 mg/Nm ³	14.20 mg/Nm ³	SO ₂	600 mg/Nm ³	4.16 mg/Nm ³	HCl	5 mg/m ³	0.0096 mg/Nm ³	Cl ₂	5 mg/m ³	0.0188 mg/Nm ³	NH ₃	1 mg/Nm ³	0.1795 mg/Nm ³	HF	8 mg/m ³	0.0316 mg/Nm ³	Opacity	30 %	<9.8 %	Particulate	300 mg/Nm ³	131.04 mg/Nm ³	Parameter	Limit	Badminton field	Front of POM	NO ₂	150 µg/Nm ³	71.42 µg/Nm ³	3.25 µg/Nm ³	SO ₂	365 µg/Nm ³	60.55 µg/Nm ³	247.05 µg/Nm ³	CO	10,000 µg/Nm ³	1189 µg/Nm ³	1,389.11 µg/Nm ³	HC	160 µg/Nm ³	10.42 µg/Nm ³	14,34 µg/Nm ³	PM	65 µg/Nm ³	53.61 µg/Nm ³	58.13 µg/Nm ³	Location	Noise level (dB)	Power house station	85.0 dBA	Boiler station	86.2 dBA	EFB shredder station	83.5 dBA	WWTP Pump station	79.2 dBA	Sterilizer station	80.2 dbA	Clarification station	84.6 dBA	Kernel station	87.5 dBA	Press station	86.8 dBA	Thresher station	82.1 dBA	Loading ramp	69.4 dBA	Location	Parameter	Limit	Result	Badminton field	NH ₃	2,0 ppm	0.0262 ppm	H ₂ S	0,02 ppm	0.0141 ppm	Waste disposal	NH ₃	2,0 ppm	0.1621 ppm	H ₂ S	0,02 ppm	0.0049 ppm	Parameter	Limit	Result Genset #1	Result Genset #3	NO ₂	1000 mg/Nm ³	433.08 mg/Nm ³	409.12 mg/Nm ³	SO ₂	800 mg/Nm ³	7.21 mg/Nm ³	7.18 mg/Nm ³	CO	600 mg/Nm ³	232.01 mg/Nm ³	219.29 mg/Nm ³	Particulate	150 mg/Nm ³	58.41 mg/Nm ³	56.39 mg/Nm ³	
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<p>5.6.2</p>	<p>Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plan to reduce or minimize them implemented.</p> <p>- Major compliance -</p> <p>Identification of pollutant and mitigation plan, included GHG is documented in "Rencana Pengurangan Emisi Gas Rumah Kaca (GHG Emission) as defined in procedure of "Mitigasi Gas Rumah Kaca" (ENC/GHG/01. GHG emission identified and Mitigation of GHG.</p> <p>GHG Mitigation Plan for POM as in "Rencana Mitigasi Gas Rumah Kaca 2018-2019":</p> <table border="1" data-bbox="678 1868 1294 2027"> <thead> <tr> <th>Objective</th> <th>Program</th> <th>Implementation</th> </tr> </thead> <tbody> <tr> <td rowspan="2">Reduce fossil fuel use</td> <td>Repair on genset</td> <td>Generator maintenance ontime</td> </tr> <tr> <td>Regular maintenance and check on genset</td> <td>Preventive maintenance to genset</td> </tr> <tr> <td>Efficiency in</td> <td>Conduct regular</td> <td>Regular maintenance</td> </tr> </tbody> </table>	Objective	Program	Implementation	Reduce fossil fuel use	Repair on genset	Generator maintenance ontime	Regular maintenance and check on genset	Preventive maintenance to genset	Efficiency in	Conduct regular	Regular maintenance	<p>Comply</p>																																																																							
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		using boiler	maintenance for boiler on Sunday																						
			Conduct regular boiler chimney emission testing/analysis	Conduct boiler chimney emission testing on 6 month basis																					
		Conduct regular maintenance for all machinery and vehicle	Inspection to production machinery	Preventive maintenance to production machinery																					
			Immediate repair for broken machinery	Machinery repair ontime																					
		Palm Oil Mill Effluent management	Operation of biogas plant and retention pond	To process the mill effluent in biogas plant with CDM																					
			Regular effluent quality testing	To conduct monthly effluent quality testing to external laboratory																					
		Managing the solid waste	Manage the empty fruit bunch	EFB being processed in EFB press and the fiber used as boiler fuel																					
		Planting trees	Planting trees in office area, housing area and retention pond area	Trees has been planted in office area, housing area, retention pond area.																					
		Managing domestic waste from POM	Socialization and inspection of cleanliness	Socialization and inspection of cleanliness, once per month																					
			Waste transport to incinerator	Waste transport to incinerator twice per week																					
			Maintenance of incinerator	Activation of incinerator every day.																					
		<p>Service of boiler pump by PT. Victorindo Pratama Mandiri dated 27 November up to 1 December 2018. Evidence Technical report for pump unit MTC C65/6C-6.1-10.66 S/N 9973597044/0500/02 and MTC C65/6C-6.1-10.66 S/N 9973597044/0500/01.</p> <p>Service of Genset by Altrak 1978, dated 20 September 2018 for power generator Cummins PCC3100 S/NA12K292232.</p> <p>GHG Mitigation Plan for UMW South Estate as in "Rencana Mitigasi Gas Rumah Kaca 2018-2019":</p> <table border="1"> <thead> <tr> <th>Objective</th> <th>Program</th> <th>Implementation</th> </tr> </thead> <tbody> <tr> <td rowspan="4">Reduce pesticide use</td> <td>Planting Turnera, Antigonon, Cassia tora</td> <td>Based on need for prevent nettle caterpillar infestation</td> </tr> <tr> <td>Calibration of spraying equipment</td> <td>4 times per annum</td> </tr> <tr> <td>Conduct weed spraying for infestation above 45%</td> <td>Start January 2018</td> </tr> <tr> <td>No spraying on riparian</td> <td>Implemented for all block</td> </tr> <tr> <td rowspan="2">Efficiency in fertilizer use</td> <td>Conduct fertilizer application as per recommendation</td> <td>Implemented for all block</td> </tr> <tr> <td>No fertilizer application on riparian</td> <td>Implemented for all block</td> </tr> <tr> <td>Recycle and</td> <td>Collection and storage</td> <td>All harardous waste</td> </tr> </tbody> </table>			Objective	Program	Implementation	Reduce pesticide use	Planting Turnera, Antigonon, Cassia tora	Based on need for prevent nettle caterpillar infestation	Calibration of spraying equipment	4 times per annum	Conduct weed spraying for infestation above 45%	Start January 2018	No spraying on riparian	Implemented for all block	Efficiency in fertilizer use	Conduct fertilizer application as per recommendation	Implemented for all block	No fertilizer application on riparian	Implemented for all block	Recycle and	Collection and storage	All harardous waste	
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		reuse ex-chemical container	of ex-chemical container and ex-hazardous content	stored in temporary hazardous waste.																								
			Correct handling for re-use material	Re-use ex-chemical jerry can.																								
			Handling used lubricant to third party with license from minister of environment	Used lubricant to licensed contractor																								
		Reduce fossil fuel use	Arrangement of transportation	Fuel use reduction plan																								
			Conduct regular checking for vehicle	Preventive maintenance																								
			Carry out road maintenance program	Implementation of road maintenance																								
		Planting trees	Planting trees in office area, housing area and retention pond area	Trees has been planted in office area, housing area, retention pond area.																								
		<p>Implementation of planting trees: 12 March 2018 planted 15 "Terminalia Cattapa" in front of housing; 23 April 2018 planted 20 "Samanea saman" trees around office and housing; 5 June 2018 planted 16 "Eugenia polianta" trees around man office; 2 August 2018 planted 37 "Adenantera pavonina" trees around soccer field.</p> <p>The use of fossil fuel (HSD) in UMW South Estate recorded and monitored.</p> <table border="1"> <thead> <tr> <th rowspan="2">Estate</th> <th colspan="2">HSD Fuel (liters)</th> <th rowspan="2">FFB Production</th> <th rowspan="2">HSD/FFB Production</th> </tr> <tr> <th>Budget (liters)</th> <th>Actual (liters)</th> </tr> </thead> <tbody> <tr> <td>2016</td> <td>163,674</td> <td>130,453</td> <td>80,062.73</td> <td>1.63 l/ton FFB</td> </tr> <tr> <td>2017</td> <td>109,313</td> <td>134,313</td> <td>88,257.26</td> <td>1.52 l/ton FFB</td> </tr> <tr> <td>2018</td> <td>118,916</td> <td>146,405</td> <td>92,161.88</td> <td>1.59 l/ton FFB</td> </tr> </tbody> </table>				Estate	HSD Fuel (liters)		FFB Production	HSD/FFB Production	Budget (liters)	Actual (liters)	2016	163,674	130,453	80,062.73	1.63 l/ton FFB	2017	109,313	134,313	88,257.26	1.52 l/ton FFB	2018	118,916	146,405	92,161.88	1.59 l/ton FFB	
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5.6.3	<p>A monitoring plan and results of regular reporting on emission and pollutants from estate and mill operations using appropriate methods, shall be available.</p> <p>- Minor compliance –</p>	<p>The company has 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. monitoring water level and subsidence in pet area, air quality ambient for boiler and Genset, water quality test for surface and ground water, effluent water quality, noise level, etc. The monitoring result is incorporated in RKL/RPL and reported regularly to the government.</p> <p>GHG emission calculated base on RSPO PalmGHG Toolkit, it was seen that the total emission is 12.31 ton CO₂ equivalent/ton CPO in 2016.</p> <p><i>See Appendix I. PalmGHG Calculation.</i></p>				Comply																						
Principle 6: Responsible consideration of employees and of individuals and communities affected by growers and millers																												
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Criterion / Indicator	Assessment Findings	Compliance
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>6.1.1</p> <p>A social impact assessment (SIA) including records of meetings shall be documented.</p> <p>- Major compliance -</p>	<p>AMDAL documents have been provided where the parameters studied included the social aspect.</p> <p>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri have a Social Impact Assessment (SIA) document. SIA conducted by the team from the Faculty of Forestry IPB in 2014 with the composition of the team: Handian Purwawangsa, S. Hut, M.Si (Team Leader), Udi Kusnidar, Sulfan Ardiansyah, Jimmy Syahrasyid outlining Impact positive and Negative development of plantation PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri incorporating Matrix PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri Social Management Plan consists of; Tenure, Establish communications and networking with stakeholders ang associated with PT UMW, Improving the quality of public education, public Health Quality Improvement, community economic empowerment and employment).</p> <p>The SIA document described the Social Management Plan that outlines the type Programs, Activities, challenges, opportunities, strategies, output / Outputs and time frame.</p> <p>Community involvement at the time of preparation of the document through Focus Group Discussion (FGD) with the community, such as:</p> <ul style="list-style-type: none"> - Focus Group Discussion/FGD in Sei Siarti Village on 15 February 2014 which was attended by 26 participants. - FGD in Tanjung Mulia Village on 16 February 2014 which was attended by 19 participants. - FGD with employees of PT UMW-South Estate dated 14 February 2014 which was attended by 25 participants. - FGD with employees of PT UMW-North and PT TUM conducted on 15 February 2014 which was attended by 32 participants. <p>Documentation, list of issues discussed and attendance list are available.</p>	<p>Comply</p>
<p>6.1.2</p> <p>There shall be evidence that the assessment has been conducted with the participation of affected parties.</p> <p>- Major compliance -</p>	<p>The Company has shown record that Social Impact Assessment has been conducted with the participation of affected parties during the preparation of the SIA document through Focus Group Discussion (FGD) with community, such as:</p> <ul style="list-style-type: none"> - Focus Group Discussion/FGD in Sei Siarti village on 15 February 2014 which was attended by 26 participants. - FGD in Tanjung Mulia Village on 16 February 2014 which was attended by 19 participants. - FGD with employees of PT UMW-South Estate which took place on 14 February 2014 which was attended by 25 participants. - FGD with employees of PT UMW-North Estae and PT 	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p>TUM conducted on 15 February 2014 which was attended by 32 participants. Documentation, photograph and attendance list are available.</p> <p>The report described social aspects such as the improvement of the regional economy level, employment opportunities and business opportunities, public and social facilities and the improvement of people's perceptions about the relationship with the community.</p> <p>Community involvements in monitoring social impact in the form of interviews with the affected parties are equipped with interview form Doc No. ENC/DOC/2012, rev 3, dated 1 May 2015.</p> <p>The record seen: Record of consultation with affected parties:</p> <ul style="list-style-type: none"> - Form of interview with community for social aspect, namely Mr I*** S***** A.S, address at Sei Siarti Village dated 20 May 2018. - Form of interview with community for social aspect, namely Mr J**** N*****, address at Sei Siarti Village dated 20 May 2018. <p>The Company has consistently preparing the RKL-RPL (Eenvironment Management and Monitoring) Report once every 6 months and submitted to the relevant government agency, record seen: Report on Environment Management and Monitoring Performance (Laporan RKL-RPL) for second semester of 2018 (July – December 2018) has been submitted to Environment Agency of Labuhanbatu Selatan Regency. (Letter No 01/TUME/Disper-Labuhanbatu/I/2019, was received on 18 January 2019).</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>Based on the verification of SIA documents, the report has been completed with a Social Management Plan recommended to increase the positive impacts and minimize the negative impact of oil palm plantation development by involving the affected communities as in table IX-1. "Rencana Kelola Sosial PT. Umbul Mas Wisesa", including the type of programs, activities, challenges, opportunities, strategies, outcomes and due date implementation of the program.</p> <p>PT. Toton Usaha Mandiri has developed plans for management and monitoring of social impacts to avoid or reduce negative impacts and promote positive ones as in table IX-1. "Rencana Kelola Sosial PT. Toton Usaha Mandiri", including the type of programs, activities, challenges, opportunities, strategies, outcomes and due date implementation of the program.</p> <p>Sample verified: UMW – North Estate and TUM Estate: Record of consultation with affected parties:</p> <ul style="list-style-type: none"> - Form of interview with community for social aspect, 	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
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<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>PT Umbul Mas Wisesa and PT Toton Usaha Mandiri have been evaluated the implementation of the social - environment management and monitoring plan annually, e.g:</p> <p>Evidence seen: The documented plan for management and monitoring of social impact has shown under "Rencana Kelola Sosial di PT Toton Usaha Mandiri and PT Umbul Mas Wisesa tahun 2018", last review on 3 January 2018. The management and monitoring plan of of social impact such as:</p> <ul style="list-style-type: none"> - Tenurial: strengthen the documentation of land compensation that has been carried out by the company. Progress: PT Toton Usaha Mandiri has made compensation for land without land dispute from the community. - Build communication and networking with stakeholders related to the company. Progress: PT Toton Usaha Mandiri establishes communication with stakeholders including village officials and community leaders using a system of providing response to information request (SOP No: ENC-01-11). Based on the results of the social aspect-impact assessment carried out in 2018, 87% of respondents answered that the relationship between the company and the community and the company was good while the other 13 said it was normal. No respondent said it didn't work well. - Improve the quality of community education. Progress: The company has assisted educational development in the company environment, the Company also assisted in providing scholarships for students who performed well. - Improving the quality of the community. Progress: PT Umbul Mas Wisesa conducts periodic discussions with workers related to chemicals at KSU Suka Makmur. - Employment. Progress: improving the quality and quantity of employee facilities. <p>In addition, the company has demonstrated documents related management and monitoring of social impact, such as:</p> <ul style="list-style-type: none"> - RKL-RPL (Environment Management and Monitoring) report every 6 months. However, should there is a change of operational activities that relates to specific evaluation of AMDAL documents, such as changes in the capacity of MCC and construction of Biogas Plan has conducted the environmental assessment as outlined in the "Dokumen Adendum Analisa Dampak 	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance
		<p>Lingkungan Hidup (AMDAL)", RKL-RPL activities waste water treatment changes based Clean Development Mechanism (CDM) and changes in solid waste processing mill of PT. Umbul Mas Wisesa in Sei Siarti "and has been endorsed by the Governor of Sumatra Utara through Decree No. 188.44/430/KPTS/2013, dated 10 July 2013.</p> <ul style="list-style-type: none"> - PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri has performed the review on social-environment management and monitoring plan for first and second half of 2018. The review and evaluation has taken into consideration inputs from stakeholders such as cooperative members and local community. - Report on Environmental Management and Monitoring Performance (Laporan RKL-RPL) for second semester year 2018 (July – December 2018) has been submitted to Environment Agency of Labuhanbatu Selatan Regency (Letter No 01/TUME/Disper-Labuhanbatu/I/2019, was received on 18th January 2019). 	
6.1.5	<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>Since 2015, PT Umbul Mas Wiseda have a joint venture partnership with surrounding communities through cooperative of FFB suppliers (Smallholders). Currently the company (on behalf of PT Umbul Mas Wisesa) has formed a partnership with cooperatives of KSU Suka Makmur as Scheme Smallholder.</p> <p>PT. Umbul Mas Wisesa has appointed staff, which responsible to provide guidance to smallholder member related to RSPO certification requirements. Tutorial and guidance from company were helping farmer member to be comply with RSPO standard. The guidance provided such as integrated pest management, manual upkeep, fertilizer regime and harvesting rotation.</p> <p>PT. Umbul Mas Wisesa has provided assistance to established a group management structure for Koperasi Serba Usaha Suka Makmur, Tanjung Mulia Village. The group management consist of one Group Manager, one Secretary and 10 staff, to assist smallholder/cooperative operation and preparation for RSPO certification.</p>	Comply
<p>Criterion 6.2:</p> <p>There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.</p>			
6.2.1	<p>Communication and consultation procedures shall be documented.</p> <p>- Major compliance -</p>	<p>The company has a mechanism that regulates the activities of communication and consultation with stakeholders and set in the procedure, such as:</p> <ol style="list-style-type: none"> 1. Procedure: <i>Pemberian dan Tanggapan terhadap Permintaan Informasi</i>; Rev. 2 (Doc. No. ENC/SOP/08) dated 6 April 2015 which regulates the complete procedure for submission and responding to requests for information from stakeholders. 2. Procedure: <i>Keluh Kesah dengan Pihak Internal</i>, Rev 	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>2 (Doc. No. SOP/025/HRA) dated 27 March 2015, which has been described in detail the procedures related to complaints and redress submitted by internal parties, incorporating internal flow chart in response to complaints.</p> <p>3. Procedure: <i>Keluh Kesah dengan Pihak Eksternal</i>, Rev 2 (Doc. No. SOP/026/HRA) dated 27 March 2015, which has been described in detail the procedures related to complaints and redress submitted by external parties, completed with flow chart in response to complaints.</p> <p>Responsible Person in conducting responses to communication and consultation in accordance with its authority (Manager Unit, GMO and Department Head), system response times to requests for information that is set up to 7 days if the responses are in authority Manager Unit, or a maximum of 25 working days if the information requires consultation of other departments or higher management levels associated with authority provide feedback information.</p> <p>Umbul Mas Wisesa POM: Based on the verification of documents "Buku Permintaan Informasi dan Tanggapan" in 2017, there are 13 types of incoming information and respond requests at Umbul Mas Wisesa POM, for example;</p> <ol style="list-style-type: none"> 1. Letter from Environment Agency of Labuhanbatu Selatan Regency No. 660/ 901/DLH-2/VII/2017 dated 6 October 2017 related CSR found collection for planting trees; it has been responded and fund approved on 10 October 2017. 2. Letter from Regent of Labuhanbatu Selatan No.005/1581/KESRA/2017 dated 7 August 2017 related to invitation of meeting on Indonesian independence day festival; has been responded on 9 August 2017 that it will be attended by Field Head Assistant. <p>Based on record verification of "Rekaman Keluh Kesah Internal dan Eksternal", in 2017, there are types of incoming complaints at Umbul Mas Wisesa POM mostly area about housing condition, for example: complaint from Heri S. Sirait, on 17 February 2017 related to leaked septic tank, responded by Mill Manager that it was fixed; complaint from Agung Nugroho, on 27 July 2017 related to cracked bathroom floor, responded by Mill Manager that it was fixed.</p> <p>UMW North Estate; Based on the verification of documents of "Information Request and Answer – Permintaan Informasi dan Jawaban", in 2018 there are 6 types of incoming information requests at Umbul Mas Wisesa North Estate for example;</p> <ol style="list-style-type: none"> 1. Requests for information from Malindo Village 	

Criterion / Indicator	Assessment Findings	Compliance
	<p>(surrounding community) on 16 February 2018, requesting information related job vacancy, and has been responded on 17 February 2018 by Estate Manager.</p> <p>2. Requests for information from Mr. Sugi (Harvesting Supervisor) on 14 November 2018, requesting information about schedule of harvesting bridge replacement at Division III since it has been broken.</p> <p>Based on record verification of "Rekaman Keluh Kesah Internal dan Eksternal", in 2018, there are 8 types of incoming grievances at UMW North Estate for example:</p> <ol style="list-style-type: none"> 1. Grievance from Employee of UMWN, on 5 March 2018 related to bad road condition at UMWN Estate that made trouble to FFB evaquation; has been responded by Field Head Assistant on 8 March 2018. 2. Complaint from employees of UMWN Estate (Trunk Injection team) on 24 August 2018 related a lot of trunk injection tools that were breakdown; has been responded by Field Head Assistant on 25 August 2018. <p>UMW South Estate; Based on the verification of documents of "Information Request and Answer – Permintaan Informasi dan Jawaban", in 2017 there are 23 types of communication and/or consultation at Umbul Mas Wisesa South Estate for example;</p> <ol style="list-style-type: none"> 1. Letter from Regent of Labuhanbatu Selatan dated 19 December 2017 related to invitation to attend ceremony of "Hari Kesetiakawanan Sosial Nasional (HKSNS)", has been responded on 20 December 2017 by Estate Manager that Mr. Lesman Simanjuntak will attend the event. 2. Letter from Village Head of Tanjung Mulia dated 7 November 2017 regarding request to borrow School Bus, has been responded by Estate Manager that on the same day that the School Bus condition in break down. <p>Based on record verification of "Rekaman Keluh Kesah Internal dan Eksternal", in 2017 there is no grievance from External party, whilst from internal there are 10 types of incoming grievances, e.g.:</p> <ul style="list-style-type: none"> - From Mr Damri Harahap (Spraying supervisor) on 31 December 2017 regarding request to repair his house because there was broken pipe, septic tank, kitchen floor and window, has been responded by Estate Manager on 31 December 2017 that he approved the repair. On 5 January 2018 the house is repaired. - From Mr. R. Marpaung on 3 April 2017 regarding request to repair bathroom floor of Al-Muhajirin Mosque, has been responded by Estate Manager stating that it repaired on 5 April 2017. <p>TUM Estate:</p>	

Criterion / Indicator		Assessment Findings	Compliance
		<p>Based on the verification of documents of "Information Request and Answer – Permintaan Informasi dan Jawaban", in 2018 there are 4 types of incoming information requests at Toton Usaha Mandiri Estate for example;</p> <ol style="list-style-type: none"> 1. Requests for information from Mr. E. Simbolon (surrounding community) on 20 March 2018, requesting information related job vacancy, and has been responded on 20 March 2018 by Field Head Asistant. 2. Requests for information from Mr. B.E. Aritonang (Harvesting Supervisor) on 7 August 2018, requesting information whether he can get leave advance for emergency purpose, has been responded by Field Head Assistant. <p>Based on verification of "Rekaman Keluh Kesah External dan Internal" in 2018, there are 3 type of incoming grievances at Toton Usaha Mandiri, e.g:</p> <ul style="list-style-type: none"> - From employees of TUME on 4 June 2018 regarding lack of clean water supply, has been responded by Field Head Assistant on 4 June 2018, stating that Office Assistant will write request to UMW POM. - From employees of TUME on 3 September 2018 regarding complaint for electricity (PLN), has been responded by Field Head Assistant on 4 September 2018, stating that complaint will be forwarded to PLN authority. 	
6.2.2	<p>The company shall have official(s) who is responsible for consultation and communications with parties.</p> <p>- Minor compliance -</p>	<p>Based on SOP No. ENC/SOP/08 (procedure of information request and response) revision 02, dated 6 April 2015 that according to the structure of the organization that is responsible to receive and make responses to requests for information or complaints internally/externally is Manager. However, in the operations in each of the Estate indicates that Senior Manager also appointed FHA (Field Head Assistant) and OA (Office Assistant) for communication with the surrounding community.</p>	Comply
6.2.3	<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> <p>- Minor compliance -</p>	<p>The company has list of stakeholders, updated when changes occurred.</p> <p>Umbul Mas Wisesa POM has shown the list of stakeholders, last updated on 4 January 2019, the company classifying stakeholders into:</p> <ol style="list-style-type: none"> 1. Government of Labuhanbatu Selatan, consists of 7 stakeholders such as the Regent, Vice Regent, Labor Agency, Health Agency, Environment Agency, Land Agency and Police. 2. MUSPIKA, consists of Head of Kampung Rakyat District, Police Head of Kampung Rakyat Sector, Police Head of Labuhanbatu Resort. 3. Village Head and Community Leader, consist of Tanjung Mulia and Sei Siarti Village Head, Leader of Dusun Sidomulyo and Sidorukun, and Community Leader of Sidomulyo. 4. Labor Union (Serikat Pekerja Umbul Mandiri SPUM). 5. Contractors, consist of Cooperative Jaya Karyawan, CV Tua Gabe, CV Sibinurang 71, and PT Idlas 	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>Indonesia.</p> <p>Umbul Mas Wisesa North Estate has shown the list of stakeholders, last updated 7 January 2019, they classifying stakeholders into:</p> <ol style="list-style-type: none"> 1. Labuhan Batu Regency government office consists of 8 stakeholders such as the Regent, Vice Regent, Labor Agency, Plantation/Forestry Agency, Health Agency, Environment Agency, Secretary and General Hospital of Rantau Prapat. 2. MUSPIKA, consists of Head of Panai Tengah District, Police Head of Labuhan Bilik Sector, Military Head of Labuhan Bilik Rayon, Police Head of Labuhanbatu Resort. 3. Village Head and Community Leader, consist of Sei Siarti Village Head. 4. Labor Union (Serikat Pekerja Umbul Mandiri SPUM). 5. Contractors, consist of CV Sibirurang, CV Tua Gabe, and CV Firma. 6. Supplier; Koperasi Jasa Karyawan UMW. <p>Umbul Mas Wisesa South Estate has shown the list of stakeholders, last updated 3 January 2019, they classified stakeholders into:</p> <ol style="list-style-type: none"> 1. South Labuhanbatu Regency government office consists of 6 stakeholders such as the Regent, Vice Regent, Labor Agency, Plantation/Forestry Agency, Environment Agency and Land Agency (BPN). 2. MUSPIKA, consists of District Head of Kampung Rakyat, Police Head of Kampung Rakyat Sector and Police Head of Labuhanbatu Resort. 3. Village Head and Community Leader, such as Village Head of Tanjung Mulia and Sei Siarti, Community Leader of Sidomulyo and Sidorukun. 4. Unions (Serikat Pekerja Umbul Mandiri SPUM). 5. Contractors, consist of Cooperative Jasa Karyawan, CV Tua Gabe, CV Sibirurang 71, CV Prima. 6. Supplier; CV Tua Gabe and PT Inti Cakrawala Citra. <p>Toton Usaha Mandiri Estate has shown the list of stakeholders, last updated 7 January 2019, they classified stakeholders into:</p> <ol style="list-style-type: none"> 1. Labuhan Batu Regency government office consists of 8 stakeholders such as the Regent, Vice Regent, Labor Agency, Plantation/Forestry Agency, Health Agency, Environment Agency, Secretary and General Hospital of Rantau Prapat. 2. MUSPIKA, consists of Head of Panai Tengah District, Police Head of Labuhan Bilik Sector, Military Head of Labuhan Bilik Rayon, Police Head of Labuhanbatu Resort. 3. Village Head and Community Leader, consist of Sei Siarti Village Head. 4. Labor Union (Serikat Pekerja Umbul Mandiri SPUM). 5. Contractors, consist of CV Sibirurang, CV Tua Gabe, and CV Firma. 	

Criterion / Indicator		Assessment Findings	Compliance
		<p>6. Supplier; Koperasi Jasa Karyawan UMW.</p> <p>Based on interview with community of Tanjung Mulia Villages, KSU Suka Makmur stated that the communication with company is going well. Access to information is easy. The company has appointed an officer to communicate with stakeholders by Estate manager, Office Assisstant and Field Head Assisstant.</p>	
<p>Criterion 6.3:</p> <p>There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all effected parties.</p>			
6.3.1	<p>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.</p> <p>- Major compliance -</p>	<p>Based on document verification, PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri has a mechanism to resolve disputes as in "Prosedur Ganti Rugi Lahan" No. SOP/CA/02, dated 1 July 2012. The procedure shows company has prepared effective land dispute resolution mechanism.</p> <p>The Company has being transparent on permits, licenses including land title to the community; In case of claim from community, company will cater as long as valid land ownership evidence presented; Status verification – when valid land ownership evidence presented, continued with field visit/survey and measurement; Field visit/survey and measurement will involve company representative, complainant and government representatives.</p> <p>Based on field visit/survey and measurement, a minutes will be assued, attaching the hectare and coordinates of the claimed land – signed by all interested parties; Final verification to ensure no overlapping with other party; Once final verification can justified no overlapping occurred, company will propose land compensation/negotiation; Payment will be done once agreement between parties made.</p> <p>Internal complaint are handled according to "Prosedur Keluh Kesah dengan Pihak Internal" No.SOP/025/Dept dated 27 March 2015. Whilst for External complaint/grievance are handled according to "Prosedur Keluh Kesah dengan Pihak Eksternal" Doc. No. SOP/025/Dept) dated 27 March 2015.</p> <p>These procedures states the commitment of the company to protect the anonymity of complainant/whistleblower (point 6.2) – if requested.</p>	Comply
6.3.2	<p>There shall be records of process and outcome of dispute resolution.</p> <p>- Major compliance -</p>	<p>Based on document verification and stakeholder consultation with relevant authorities (Plantation Agency, Manpower Agency and Environmental Agency), Village Head, Worker union, Local contractor and community representatives; shows there has been no land dispute between local community and company. During plantation early development, PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri has communicated the plans;</p>	Comply

Criterion / Indicator		Assessment Findings	Compliance
		<p>for those willing to sell the land, companies carried out negotiation, up to compensation payment – without no coercion.</p> <p>Internal and external complaint has been recorded, resolved and documented. Complaint/grievance from internal parties collated under “Rekaman Keluh Kesah Internal & Eksternal”.</p> <p>Evidence seen: UMW – North Estate: In 2018 there are 8 types of complaint, e.g: – Request from Mr. Siahaan (farmer of surrounding community) on 15 May 2018 related to “request on permit to transport own FFB through company’s road”; the request has responded that the the request cannot approved due the company policy. – Complaints from wokers on 17 May 2018 related to request on weeding in football field. The request has been responded and address it.</p> <p>TUM Estate: In year 2018 there are 3 types of complaint, such as: – Complaint from “worker” of TUM Estate on 4 June 2018 related to quality of clean water and the duration of its distribution; the complaints has been responded by Field Head Assistant (FHA). The complaint has been followed up on 4 June 2018 by communicate to UMW POM to distributes clean water @40,000 liters to TUM Estate emplacement. – Compliant from “worker” of TUM Estate on 4 September 2018 related to “providing electrical installation (PLN) in emplacement”, the complaints has been followed up to CV Sumber Energy as contractor for the installation dated 4 September 2018 to progress electrical work immedicately as per the contrac (SPK).</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>			
6.4.1	<p>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.</p> <p>- Major compliance –</p>	<p>PT Umbul Mas Wisesa dan PT Toton Usaha Mandiri have completed their land compensation process. No more land compensation. There is no new development in UMW and TUM Estate.</p> <p>However, company has a mechanism to settle land dispute as per “Prosedur Ganti Rugi Lahan” No.SOP/CA/02 dated 1 July 2012. The procedure shows company has prepared dispute resolution mechanism, such: Company being transparent on permits, licenses including land title to the community; In case of claim from community, company will cater as long as valid land</p>	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>ownership evidence presented; Status verification – when valid land ownership evidence presented, continued with field visit/survey and measurement; Field visit/survey and measurement will involve company representative, complainant and government representatives; Based on field visit/survey and measurement, a minutes will be produced, attaching the hectare and coordinates of the claimed land – signed by all interested parties; Final verification to ensure no overlapping with other party; Once final verification can justified no overlapping occurred, company will propose land compensation/negotiation. Payment will be done once agreement between parties made. This procedure is available in Bahasa Indonesia.</p> <p>Based on stakeholder consultation with village communities from Sei Siarti Village, Tanjung Mulia Village and individuals being compensated, there has been no report related to land conflict/land dispute between local community and company.</p>	
<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>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri has completed the land compensation process and has no plans for expansion/new land clearing so no land compensation process during audit. Based on the verification of legal documents and the results of stakeholder consultation with village leaders around the plantation, stated that no land dispute between the Company and other parties, including the surrounding communities.</p> <p>However, in anticipation of handling land disputes problems the company has had land dispute resolution mechanisms as set out in "Prosedur Ganti Rugi Lahan" No. SOP/CA/02, dated 1 July 2012. The procedure described mechanism for resolution of land compensation through the FPIC process (socialization), Document Verification and Land Rights Review and Measurement of land alongside joint mapping, Price Negotiation "Ganti Rugi Tanam Tumbuh/GRTT". Completeness RGTT are as follows; Application documents for measurements, "Berita Acara Survey"/Minutes of Survey, Certificate of Land or "Surat Keterangan Tanah/SKT", Certificate of no dispute, Statement of Recognition of Rights, Statement of Heirs, Statement of Own Land/Land for scheme smallholder (if any), Letter of Waiver working on arable land, letter of land compensation.</p> <p>The compensation evidence required is as follows: Measurement proposal document, minutes on land measurement, Land ownership or "Surat Keterangan Tanah/SKT", No dispute statement letter, Ownership statement (Surat Keterangan pengakuan Hak), Heir right statement, Release of tenure right statement letter for rented land and land compensation. Record on identification and compensation process is well documented under "Dokumen Ganti Rugi Tanam</p>	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p>Tumbuh/GRTT".</p> <p>Based on stakeholder consultation with village communities from (dated 16 January 2019) in Sei Siarti Village, Tanjung Mulia Village and individuals being compensated, there has been no report related to land conflict/land dispute between local community and company.</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 documented procedure for calculating and distributing fair compensation (monetary or otherwise) is established and implemented. The compensation is calculated using government guidelines for land and crop values. This is already implemented. Details of negotiation settlements, including detail of compensation (land compensation, improvement compensation, crops compensation) are held in file "PT. UMW Land Compensation".</p> <p>Based on document verification and evidence of Land Rights Review and Measurement of land alongside joint mapping, Price Negotiation "Ganti Rugi Tanam Tumbuh/GRTT". Completeness RGTT are as follows: Application documents of measurement, "Berita Acara survey", Certificate of Land and/or Surat Keterangan Tanah/SKT, Certificate of no dispute, Statement of Recognition of Rights, Statement of Heirs, Statement Own Land/Land for plasma (if any), Letter of Waiver working on arable land , letter of arable land compensation.</p> <p>Examples: Copies implementation process of Land compensation (GRTG); on behalf of Mr. S***** T*****, Tanjung Mulia Villagers who have worked on in the concession area of PT. UMW area of 9 Ha located in Block C16, 17, 18, 19 and 20 in accordance with the evidence of mastery (SKT) No. 593/279/TML2002 dated 17 February 2002, of Compensation paid/received have been listed in the Kampung Rakyat District, Tanjung Mulia Village and also Notary Lince Hutahayan.</p> <p>Letter of Land Compensation, Cultivated Land Inventory and Measurement Results made jointly witnessed by the Village Head of Tanjung Mulia and the Group of surrounding land owners; Map of compensated land and Land Certificate or Surat Keterangan Tanah/SKT" of Mr. S***** T***** (SKT No.593/279/TML/ 2002, dated 17th February 2002).</p> <p>PT Toton Usaha Mandiri have demonstrated across a copy of the agreement that has been agreed upon in the process of "Ganti Rugi Tanah Garapan-GRTG" (land compensation) on the work area owned. Based on the recap, GRTG process has been carried out on total area of 761.67 Ha in Sei Siarti Villages against 108 landowners. Sample verified: against Mr. K***** N***** for 9.99 Ha with evidence "Surat Keterangan</p>	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance
		<p>Tanah/SKT Desa Sei Siarti No.593.3/785/1512/2004 dated 25 October 2007. Other supporting documents: Letter of Land Compensation, Cultivated Land Inventory and Measurement Results made jointly witnessed by the Village Head of Tanjung Mulia and the Group of surrounding land owners; Map compensated land and Land Certificate or Surat Keterangan Tanah/SKT” of Mr. K***** N*****. Compensation paid on 25 October 2007.</p> <p>Audit team has verified the status of any land dispute. Audit team reviewed document namely “PT UMW Land Compensation” and found there was no land compensation under dispute status.</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>			
6.5.1	<p>Documentation of pay and conditions for employees based on the existing manpower regulations shall be available.</p> <p>- Major compliance -</p>	<p>The sample record related to the indicator is year 2018.</p> <p>PT. Umbul Mas Wisesa dan PT. Toton Usaha Mandiri (SIPEF Group) determine minimum wages as regulated by Government every year.</p> <p>Year 2018 minimum wage refers to “Surat Keputusan Gubernur Sumatera Utara No.188.44/10/KPTS/Tahun 2018 tentang Upah Minimum Sektoral Kabupaten Labuhanbatu tahun 2018” dated 17 January 2018. The decree sets the minimum wage for plantation in Labuhan Batu Regency sets at Rp. 2,750,000/month.</p> <p>PT. Umbul Mas Wisesa dan PT. Toton Usaha Mandiri (SIPEF Group) has shown the document of agreement with the worker union dated 27 February 2018 to sets the minimum wage year 2018 (basic salary) at Rp. 2,568,000/month and rice allowance, incentive for medical assurance (BPJS Kesehatan, Ketenagakerjaan and Pension). Based on document review (pay-slip), it was noted that all workers paid accordingly.</p> <p>Based on interview with worker union, management and manpower office; company and worker union agreed to wait for sectoral minimum wage, usually issued by Governor on February/March each year. As agreed, the gap in minimum wage since January will be compensated on April.</p> <p>Record seen: UMW POM: Based on document review Payslip in UMW POM – month November 2018, e.g: – Namely Mr. A*** T*** (Operator in pressing station) Basic Salary: Rp. 2,568,00 + Rice allowance: Rp. 309,582; BPJS Ketenagakerjaan: Rp. 122,852;</p>	Comply

Criterion / Indicator	Assessment Findings	Compliance	
	<p>BPJS Kesehatan (Perusahaan): Rp. 102,720; BPJS Pensiun: Rp 54,120; Overtime: Rp. 2,291,553; Electric subsidy: Rp. 17,500; Total Salary: Rp. 5,466,327</p> <p>– Namely Mr. A*****h (Helper in workshop) Basic Salary: Rp. 2,568,00 + Rice allowance: Rp. 242,112; BPJS Ketenagakerjaan: Rp. 122,852; BPJS Kesehatan (Perusahaan): Rp. 102,720; BPJS Pensiun: Rp 54,120; Overtime: Rp. 2,376,264; Electric subsidy: Rp. 17,500; Potongan mangkir: Rp 112,404; Total Salary: Rp. 5,463,885</p> <p>UMW – South Estate: Based on document review Payslip in UMW South Estate – October 2017, e.g.</p> <p>1. Namely Mr. A***** L**** (Reg.1017 - harvester) Basic Salary: Rp. 2,750,00 BPJS Ketenagakerjaan: Rp. 124,850; BPJS Kesehatan (Perusahaan): Rp. 110,000; BPJS Pensiun: Rp 55,000 Premi: Rp. 626,277; Other: Rp 84,975 Total Salary: Rp. 3,751,102</p> <p>2. Namely Mr. N***** H***** (Reg.1011 - harvester) Basic Salary: Rp. 2,750,00 BPJS Ketenagakerjaan: Rp. 124,850; BPJS Kesehatan (Perusahaan): Rp. 110,000; BPJS Pensiun: Rp 55,000 Premi: Rp. 756,221; Other: Rp 92,082 Total Salary: Rp. 3,888,153</p> <p>TUM Estate: 1. Payslip month December 2018, namely Mr. U*** L**** (Reg.CWTUM0715 – BHL Harvester, total salary: Rp. 4,483,440 2. Payslip month November 2018, namely Mr. S****I (Reg.CWTUM0686 – BHL Harvester, total salary: Rp. 2,258,775 for 13 mandays.</p>		
<p>6.5.2</p>	<p>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>PT Umbul Mas Wisesa has shown the document of Collective Worker Agreement (PKB) year 2018 – 2020 between PT Umbul Mas Wisesa and labour union (Pengurus Serikat Pekerja Umbul Mandiri – SPUM) as reference in working regulation. Collective Worker Agreement was approved by Head of Manpower Agency of Labuhanbatu Selatan (namely Mr Sutrisno, SH) dated 2 November 2018. Individual contract agreemen between company and each worker are available.</p>	<p>Not Comply (1725398-201901-M2) Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
<p>- Major compliance -</p>	<p>UMW – South Estate: Based on document review, it was noted that all workers has signed contract / work agreement, e.g:</p> <ul style="list-style-type: none"> - Contract (SPK – as PKWT lanjutan ke II, temporary worker) namely Mr. N***** H***** (Harvester), dated 1 January 2018 - Contract (SPK – as PKWT lanjutan ke II, temporary worker) namely Mr. A***** L**** (Harvester), dated 1 January 2018 <p>UMW - North Estate: Sample seen related to contract agreement with third party (Koperasi Jasa Karyawan UMW – Cooperative of Workers Services UMW), e.g:</p> <ul style="list-style-type: none"> - Contract (SPK – as daily worker) namely S** W***** dated 1 September 2016. - Contract (SPK – as daily worker) namely N** J*****, dated 1 September 2017. <p>Major Non-conformity: Company did not monitor the work agreement between casual worker and the Koperasi Jasa Karyawan Umbul Mas Wisesa, whereby the said agreement did not indicating clearly: pay and condition of employment, deductions, overtime, sickness, reason for dismissal and period of notice. Casual worker in UMW and TUM Estate, have work agreement with Koperasi Jasa Karyawan Umbul Mas Wisesa, signed on February 2018. The work agreement stipulates the working hour is 7 hours, the working day 16-21 mandays, provision of insurance (BPJS Ketenagakerjaan). The work agreement between casual worker and the Koperasi Jasa Karyawan Umbul Mas Wisesa, whereby the said agreement did not indicating clearly: pay and condition of employment, deductions, overtime, sickness, reason for dismissal and period of notice.</p> <p>Root cause: Lack of supervision of existing work agreements between casual workers and Koperasi Jasa Karyawan Umbul Mas Wisesa.</p> <p>Correction/containment: Estate Manager of UMW North and TUM Estate has issued a letter, dd. 24 January 2019 to request Koperasi Jasa Karyawan Umbul Mas Wisesa for Revise employment agreement between Koperasi Jasa Karyawan Umbul Mas Wisesa with Casual Workers to the fulfillment of regulations relating to casual workers.</p> <p>Corrective action: Revise the working agreement between Koperasi Jasa Karyawan Umbul Mas and Casual worker, expected to be completed in the middle of February 2019.</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>Verification:</p> <ul style="list-style-type: none"> - Auditor verified letter from Estate Manager to Koperasi Jasa Karyawan PT Umbul Mas Wisesa dated 24 January 2019 requesting revision of employee agreement between Koperasi Jasa and Casual Worker. - Auditor verified that working agreement between Koperasi Jasa PT Umbul Mas Wisesa and Casual Worker has been revised as on Kesepakatan Kerja No.01/KJ/02/2019 dated 6 February 2019. The revised working agreement has included pay and condition of employment, deductions, overtime, sickness, reason for dismissal and period of notice. The revised working agreement also mentioned that the Koperasi provided working tools, PPE, health insurance and social insurance. - Auditor has verified sample of working agreement dated 6 February 2019 signed by Casual Worker on behalf Andrian and Sarimudin Manulang as second party. Working agreement signed by Chairman of Koperasi Jasa as first party and known by Chairman of Manpower agency (Kepala Dinas Ketenagakerjaan) Kabupaten Labuhanbatu Selatan. - The company has provided dissemination of working agreement between Koperasi Jasa and Casual Worker, based on minutes of dissemination dated 2 March 2019. Attendance list were evident, dissemination located at warehouse parking field attended by 36 participants, dissemination located at Division 8 field attended by 26 participants. <p>Major Non-conformity is closed on 5 March 2019.</p>	
<p>6.5.3</p> <p>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>PT Umbul Mas Wisesa and PT Toton Usaha Mandiri have provided facilities for their workers, such as adequate housing, water supplies, medical, educational and welfare amenities to national standards.</p> <p>Evidence seen: List of General facility in UMW POM updated in January 2019, such as:</p> <ul style="list-style-type: none"> - Housing (58 units), - Water filtration (1 unit), - Polyclinic (1 unit), - Mosque (1 unit), - Sports facilities (volley ball, futsal, football), elementary school and ambulance (1 unit), - Electricity and - Clean water. <p>UMW - South Estate, List of general facility year 2019, such as:</p> <ul style="list-style-type: none"> - Housing G-2 (161 units), - Water filtration (3 units), - Polyclinic (1 unit), - Mosque (1 unit), - Church (1 units), 	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance
		<ul style="list-style-type: none"> - Employee hall (1 unit), - Sports facilities (volley ball, table tennis, futsal, football), elementary school (1 unit), - Junior and Senior high school (1 unit), - Ambulance (1 unit), - Electricity by PLN - Clean water, - Incinerator (1 unit). <p>TUM Estate and UMW – North Estate, The list of general facilities year 2019, i.e:</p> <ul style="list-style-type: none"> - Housing (72 units), - Mosque (1 units), - Church (1 unit), - Dindergarten (1 unit), - Bus for school (1 unit), - Sport facilities (football, volley ball), - Incinerator (1 unit). <p>Based on field visit, the condition of worker housing is maintained; no clogged drain, no water puddle. Tall vertiver on the side of the drainage was maintained to keep children away from deep drainage. Notice board provided in prominent locations.</p>	
6.5.4	<p>There shall be demonstrable efforts to improve workers' access to adequate, sufficient and affordable food.</p> <p>- Minor compliance –</p>	<p>The employees able to access traditional market and also there is cooperative in each estate to provide affordable food.</p> <p>The name of cooperative is "Koperasi Jaya Karyawan". Based on review, the price was not significantly differ from market in Kota Pinang (Labuhanbatu Selatan Regency). Based on worker interview, the food price is reasonable, no complaint on price.</p> <p>PT Umbul Mas Wisesa and PT Toton Usaha Mandiri also provided free access to potable water, which has been tested regularly and meet government regulation</p>	Comply
<p>Criterion 6.6:</p> <p>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>			
6.6.1	<p>A record of the company's policy in understandable language recognising freedom of association, shall be available.</p> <p>- Major compliance –</p>	<p>Recognizing of freedom association in "Kebijakan Kebebasan Berserikat", signed by President Director on 1 March 2014, which stated the company recognizes the role of lawful and independent workers and employees. Representative organization in creating a constructive working environment.</p> <p>Documentation and attendance list of socialization the company policy (including policy of freedom association): UMW North Estate: List of worker union member as in "Daftar Anggota Serikat Pekerja Umbul Mandiri – PT. Umbul Mas Wisesa</p>	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>North" consist of 308 workers – as at 7 January 2019.</p> <p>TUM Estate: List of worker union member as in "Daftar Anggota Serikat Pekerja Umbul Mandiri – PT. Toton Usaha Mandiri" consist of 126 workers – as at 7 January 2019. Organization structure "Serikat Pekerja Umbul Mandiri – PT. Toton Usaha Mandiri" indicating the chairperson, vice, secretary, public relations – established March 2018.</p> <ul style="list-style-type: none"> - The bipartit organization in PT. Toton Usaha Mandiri has been acknowledge by manpower office: "Surat Keputusan Kepala Dinas Tenaga Kerja Kabupaten Labuhanbatu No.KEP:560/2224/DTK-4/2018 tentang Pencatatan Lembaga Kerjasama Bipartit di Perusahaan PT. Toton Usaha Mandiri", dated 21 December 2018. 	
<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>Meeting with the company and labour union is conducted regularly, several meetings were held, e.g:</p> <p>UMW South Estate:</p> <ul style="list-style-type: none"> - Meeting between management and "Serikat Pekerja Umbul Mandiri (SPUM)", dated 15 October 2018. Meeting agenda related to implementation of incentive for harvesting in flooding blocks. Worker representative from UMW South Estate: Irwan Harahap and Don Rinson Sinaga. Agreed upon meeting: "flooded block" definition: flooded water >30cm, all block are flooded, minimum output 20% from the daily target – the incentive sets IDR.10,000/manday. Record of implementation: IDR.10,000 per harvester paid as reported under "Daftar Premi Harian Karyawan SKU Division I", dated 7 December 2018, the incentive eligible for 12 harvestes, working in block B02 and C02. Summary available as recapitulated in "Piece Rate Work Listing Summary" dated 7 December 2018. <p>UMW North Estate:</p> <ul style="list-style-type: none"> - Minutes of Meeting LKS Bipartit dated 12 February 2018 attended by 7 worker union representative. The planning to replace harvesting bridge; incentive for upkeep supervisor; inspection to worker housing; provision of school bus. <p>UMW POM:</p> <ul style="list-style-type: none"> - Meeting between management and "Serikat Pekerja Umbul Mandiri (SPUM)", dated 27 February – 2 March 2018 in Medan, meeting agenda related to implementation of minimum wage for permanent worker. Worker representative from UMW POM: Khairul Fauzan Nasution & M. Ruslan Ritonga. - Minutes of Meeting LKS Bipartit dated 15 November 2018 attended by 4 staff and 2 worker union. The meeting agenda discuss: muster chit hour, administrative sanction for late during muster chit. - Minutes of Meeting LKS Bipartit dated 20 December 	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance
		2018 attended by 4 staff and 3 worker union. The meeting agenda discuss: muster chit hour, administrative sanction for late during muster chit, and medical treatment outside PT. Umbul Mas Wisesa requires coordination with polyclinic.	
Criterion 6.7:			
Children are not employed or exploited.			
6.7.1	<p>There shall be documented evidence that minimum age requirements are met.</p> <p>- Major compliance –</p>	<p>Based on Management Agreement No.06/MA/ TT-UMW/12 dated 1 August 2012, PT. Umbul Mas Wisesa is a subsidiary of PT. Tolan Tiga Indonesia. Therefore any policy defined by PT. Tolan Tiga Indonesia is applicable in PT. Umbul Mas Wisesa, as well as policy related minimum ages, under Child Labour Policy signed by President Director dated 1 March 2014 that stated the company believes that children should have the right to education and a healthy life, and is committed to ensuring that children, under the age of 18 years, are not employed by the company for any work related purpose. The policy has been communicated to all level of worker. In UMW POM, latest dissemination conducted on 7 December 2018, attended by 42 participants; on 15 May 2018 attended by 43 participants.</p> <p>In UMWN Estate, dissemination of Company policy has been conducted on 11 April 2018 at Office attended by 8 participants, at Technic Department attended by 35 participants, at Division I attended by 33 participants, at Division II attended by 66 participants, at Division III attended by 50 participants, at Division IV attended by 40 participants, at Division V attended by 37 participants.</p> <p>In TUM Estate, dissemination of Company policy has been conducted on 11 April 2018 at Division I attended by 29 participants, at Division II attended by 58 participants.</p> <p>Interview made and verified against "Data Karyawan UMW POM" confirmed that no workers was hired below 18 year. The youngest employee in UMW POM is W***** (Helper Boiler), date of birth ** March 2000, dated of employment 1 November 2018.</p> <p>Interview with sampled worker and verification against "Data Karyawan UMW Estate" confirmed that no workers was hired below 18 year. The youngest employee in UMWN Estate are MIH (Helper Dump Truck), date of birth ** August 1996, dated of employment 1 May 2017; MJ (Helper Dump Truck), date of birth ** February 1998, dated of employment 1 October 2018; RMD (Harvester), date of birth ** February 1995, dated of employment 1 June 2016.</p> <p>Interview with sampled worker and verification against "Data Karyawan TUM" confirmed that no workers was</p>	Comply

Criterion / Indicator		Assessment Findings	Compliance
		hired below 18 year. The youngest employee in TUM Estate are WGN (Transport), date of birth ** December 1999, dated of employment 1 February 2018; IS (Harvester), date of birth ** September 1996, dated of employment 1 August 2017; AJH (Upkeep), date of birth ** January 1995, dated of employment 1 May 2015.	
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 work shall be available and documented. - Major compliance –	The company has policy for equal opportunities, under "Kebijakan Persamaan Kesempatan Kerja", which stated that "The company is not discriminating against anyone in the recruitment practice or in the performance of the company business operation" dated 1 March 2013, signed by President Director. Documentation and attendance list of socialization the company policy (including policy for equal opportunities) in UMW South Estate, e.g: - On 16 December 2017, was attended by 32 workers in Division III; - On 11 January 2017, was attended by 61 workers in Division II; - On 10 April 2017, was attended by 66 workers in Division II; UMW North Estate, e.g: - On 31 October 2017, was attended by 55 workers in Division III; - On 4 December 2017, was attended by 76 workers in Division III; - On 27 December 2017, was attended by 81 workers in Division III; Toton Estate, e.g: - On 21 December 2017, was attended by 95 workers; - On 23 August 2017, was attended by 73 workers in Division II; - On 30 March 2017, was attended by 70 workers in Division III;	Comply
6.8.2	Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated. - Major compliance –	Based on verification upon list of workers in UMW-POM, UMW North Estate and TUM Estate (as of January 2017), shows there is no indication of worker discrimination related to gender, race, religion or tribe. Based on interview with worker union, "Serikat Pekerja UMWE Mandiri" on behalf Mr. I.H, and interview with workers (sprayers, fertilizer applicator and harvesters) company does not discriminate any of the workers. PT. Umbul Mas Wisesa – UMW POM made a job vacancy announcement for position: 5 workshop mechanics; the job vacancy issued on 2 December 2018, and placed on surrounding village. To date, one applicant from Desa Tanjung Mulia received.	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>PT. Umbul Mas Wisesa North Estate made a job vacancy announcement for position: 1 harvester and 2 upkeep; the job vacancy issued on 24 September 2018, and placed on surrounding village. To date, one applicant from Desa Tanjung Mulia received.</p> <p>PT. Toton Usaha Mandiri Estate made a job vacancy announcement for position: 1 harvester and 2 upkeep; the job vacancy issued on 24 September 2018, and placed on surrounding village. To date, one applicant from Desa Tanjung Mulia received.</p>	
<p>6.8.3</p> <p>Records of evidence that equal opportunity and treatment for work shall be available.</p> <p>– Minor compliance -</p>	<p>Company has an equal employment opportunity policy, signed by President Director on 1 March 2014. The policy stated company will not discriminate anyone during recruitment, hiring or other business; Selection to fill in position based on qualification and experience. Violation against policy results in disciplinary action and could be legal action.</p> <p>Based on verification against employment document and interview with worker union "Serikat Pekerja UMW/TUM Mandiri", it is known that recruitment, hiring and promotion are based on test, considering the job type. Promotion done through yearly worker evaluation. As example; "Form Penilaian Karyawan SKU" consists of 10 evaluation parameters done by Evaluator (FA/TA/OA) and verified by Estate Manager.</p> <p>Working tools for workers are provided by company, as regulated by "Perjanjian Kerja Bersama/PKB". The provision of wheelbarrow was paid half by worker and half by company. Provision of other working tools for other upkeep/general work is provided by cooperative.</p> <p>TUM Estate made PPE inspection for temporary worker (sub-contractor) as part of OHS plan, period January – December 2018. For example, in December 2018, work performed by contractor worker is circle slashing, mounding palm, selective weeding, collecting loosefruit. The PPE checked: hand glove, gum boot. Working tools and PPE for temporary workers are provided by the worker themselves. This confirmed during interview with 2 temporary workers (sub-contractor) performing circle slashing. The worker admitted gum boot and grass knife are provided by themselves.</p> <p>In addition, the work agreement between cooperative and individual worker: Surat Perjanjian Kerja Koperasi Jasa Karyawan – UMW and worker namely Mrs. Evi Dahyanti and Mr.Nursiah, signed on February 2018. The work agreement stipulates the working hour is 7 hours, the working day 16-21 mandays, provision of insurance (BPJS Ketenagakerjaan).</p> <p>Assessment team noted the regulation related to type of work, payment method, provision of working tool & PPE, applicable policy to worker is not available. Verifying the</p>	<p>Not Comply (1725398-201901-N1)</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p>work agreement between PT. Toton Usaha Mandiri and Koperasi Jasa Karyawan Umbul Mas Wisesa: "Surat Perjanjian Kerja No.03/TUME/KJK/V/2017 antara PT. Toton Usaha Mandiri dengan Koperasi Jasa Karyawan Umbul Mas Wisesa" dated 1 May 2017. Point 1, paragraph 1 stipulated company gives work in form of upkeep, plant sanitation, mature, immature, preparation and building cleaning service - to cooperative. Point 2, paragraph 5 "Pihak Kedua harus menyediakan Alat Pelindung Diri (APD) untuk BHL dan BHL harus menggunakan APD selama bertugas" – Cooperative shall provide PPE for the temporary worker and the said worker shall use PPE while performing work.</p> <p>Minor Non-conformity: Company was not performing sufficient control over the work condition related to provision of working tools and PPE for casual worker under Koperasi Jasa Karyawan Umbul Mas Wisesa was not of equal treatment for work - compared to permanent worker.</p> <ul style="list-style-type: none"> - Casual worker in TUM Estate, have work agreement with Koperasi Jasa Karyawan Umbul Mas Wisesa, signed on February 2018. The work agreement stipulates the working hour is 7 hours, the working day 16-21 mandays, provision of insurance (BPJS Ketenagakerjaan). - The said casual worker stated their PPE and working tools are provided by the casual worker themselves; - The work agreement between casual worker and the Koperasi Jasa Karyawan Umbul Mas Wisesa, whereby the said agreement did not indicating clearly: the provision for working tools and PPE. - Furthermore, verifying the work agreement between PT. Toton Usaha Mandiri and Koperasi Jasa Karyawan Umbul Mas Wisesa: "Surat Perjanjian Kerja No.03/TUME/KJK/V/2017 antara PT. Toton Usaha Mandiri dengan Koperasi Jasa Karyawan Umbul Mas Wisesa" dated 1 May 2017. Point 1, paragraph 1 stipulated company gives work in form of upkeep, plant sanitation, mature, immature, preparation and building cleaning service - to cooperative. Point 2, paragraph 5 "Pihak Kedua harus menyediakan Alat Pelindung Diri (APD) untuk BHL dan BHL harus menggunakan APD selama bertugas" – Cooperative shall provide PPE for the temporary worker and the said worker shall use PPE while performing work. <p>Root cause: The lack of supervision carried out by PT Toton Usaha Mandiri on working conditions related to the supply of work equipment and PPE for casual workers under Koperasi Jasa Karyawan Umbul Mas.</p> <p>Correction/containment: PT. TUM has issued a letter dated 24 January 2019 to request Koperasi Jasa Karyawan Umbul Mas Wisesa to</p>	

Criterion / Indicator		Assessment Findings	Compliance
		<p>provide working tools and PPE for casual worker who working at PT. Toton Usaha Mandiri.</p> <p>Corrective action:</p> <ul style="list-style-type: none"> - To Ensure that casual workers who are working at PT. TUM has agreement with Koperasi Jasa Karyawan Umbul Mas Wisesa. - Monitoring and recording the completeness of working tool and PPE for casual workers <p>Effectiveness of corrective action taken will be verified during next assessment (Re-certification assessment).</p>	
<p>Criterion 6.9:</p> <p>There is no harassment or abuse in the work place, and reproductive rights are protected.</p>			
6.9.1	<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.</p> <p>- Major compliance –</p>	<p>PT Umbul Mas Wisesa and PT Toton Usaha Mandiri has a policy to prevent sexual harassment under “Kebijakan Pelecehan Seksual”, signed by President director on 1 March 2013. The policy stated: PT Umbul Mas Wisesa and PT Toton Usaha Mandiri uphold the laws under Republic of Indonesia related to sexual harassment; sexual harassment could occurs in form of physical contact, comments, jokes, exhibition or other behavior; All discrimination and sexual harassment complaint will be handle in good manner and confidential to achieve fair statement and reduce false accusation. There shall be no false sexual harassment accusation. Sexual harassment applies equally – both men and women. Sexual harassment accusation with solid evidence could lead to disciplinary action including termination. False report on sexual harassment, without evidence could also lead to disciplinary action including termination and legal action. If a Manager is allegedly part of the problem then the report should be addressed in writing directly to Head Office Medan, attention to General Manager HRAD, and marked “Private/Confidential”.</p> <p>The policy has been communicated to all level of workers, e.g. in UMW POM, latest dissemination conducted on on 7 December 2018, attended by 42 participants; on 15 May 2018 attended by 43 participants. In UMWN Estate, dissemination of Company policy has been conducted on 11 April 2018 at Office attended by 8 participants, at Technic Department attended by 35 participants, at Division I attended by 33 participants, at Division II attended by 66 participants, at Division III attended by 50 participants, at Division IV attended by 40 participants, at Division V attended by 37 participants. In TUM Estate, dissemination of Company policy has been conducted on 11 April 2018 at Division I attended by 29 participants, at Division II attended by 58 participants.</p> <p>PT Umbul Mas Wisesa and PT Toton Usaha Mandiri have established gender committee to solve sexual harassment</p>	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>cases and enhance reproductive right for women workers. Organization Structure of GCoCG (Gender Committee Contact Group) updated on 2 January 2019. Gender committee conducts meeting regularly in monthly basis, e.g.</p> <ul style="list-style-type: none"> - Meeting on 13 November 2018, discussing on general issues throughout October 2018 and related to gender (minutes of meeting, attendance list and photograph as evidence). - Meeting on 12 December 2018, discussing on general issue throughout November 2018 and related to gender issue (minutes of meeting, attendance list and photograph as evidence). - Meeting on 8 January 2018, discussing on general issue throughout December 2018 and related to gender issue (minutes of meeting, attendance list and photograph as evidence). <p>No sexual harassment and violating of reproductive rights were noted during audit and interview with workers and gender committee leader and members. Until this surveillance period, there has no sexual harassment complaint received by the gender committee.</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.</p> <p>- Major compliance –</p>	<p>Company has a policy related to protection of reproductive rights, under Protection of Reproductive Rights Policy, signed by President Director on 1 March 2014. The policy stated that the company ensure that couples and individuals seeking medical services related to reproductive and sexual health are accommodated; and ensure that couples or individuals can freely decides when and how many children they want, and guarantee the right to information on conception. The policy covers provision of counseling related to sexuality, pregnancy, contraception aid, infertility, infection and sexually-transmitted-disease; sex education and gender; prevention and medication on reproductive infection including HIV/AIDS; Provision of pregnancy, delivery and ante-natal treatment; Baby and infant health service; Encourage male participation in sharing responsibility related to sexual behavior, during maternal period, HIV/AIDS and domestic violence.</p> <p>Pregnancy check employee performed monthly, the record seen in UMW South Estate, e.g:</p> <ul style="list-style-type: none"> - "Pemeriksaan Wanita Hamil dan Menyusui", in December 2018 in Division I UMW. Record noted that 2 brest-feeding worker from pest and deaseas worker, Mrs. EL and Mrs. ND. The workers were working for beneficial plant for temporary. - "Pemeriksaan Wanita Hamil dan Menyusui", in December 2018 in Division II TUME. Record noted that 2 brest-feeding worker from pest and disease worker, namely Mrs. RH and Mrs. DR. The workers were working for beneficial plant for temporary. <p>Based on interview with gender committee, company has understood the implementation of protection on</p>	<p>Comply</p>

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Criterion / Indicator	Assessment Findings	Compliance
	<p>reproductive rights in form of menstruation leave issue, maternal leave, medical checkup for female worker, performing jobs related to agrochemical, prevention of domestic violence. The policy communicated through notification board and during gender committee meeting to workers.</p>	
<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>All discrimination and sexual harassment complaint will be handle in good manner and confidential to achieve fair statement and reduce false accusation. There shall be no false sexual harassment accusation. Sexual harassment applies equally – both men and women. Sexual harassment accusation with solid evidence could lead to disciplinary action including termination. False report on sexual harassment, without evidence could also lead to disciplinary action including termination and legal action. If a Manager is allegedly part of the problem then the report should be addressed in writing directly to Head Office Medan, attention to General Manager HRAD, and marked "Private/Confidential".</p> <p>The policy has been communicated to all level of workers, e.g. in UMW POM latest dissemination conducted on 7 December 2018, attended by 42 participants; on 15 May 2018 attended by 43 participants. In UMWN Estate, dissemination of Company policy has been conducted on 11 April 2018 at Office attended by 8 participants, at Technic Department attended by 35 participants, at Division I attended by 33 participants, at Division II attended by 66 participants, at Division III attended by 50 participants, at Division IV attended by 40 participants, at Division V attended by 37 participants. In TUM Estate, dissemination of Company policy has been conducted on 11 April 2018 at Division I attended by 29 participants, at Division II attended by 58 participants. Based on interview with female worker (sprayers team), they understand the grievance mechanism.</p> <p>The company has also established Wistleblowing Policy, signed by President Director on 14 January 2019 to encourage its employees who have concerns about suspected misconduct to come forward and express these concerns without fear of punishment or unfair treatment.</p> <p>The policy has been disseminated to all level of worker, e.g. in UMWS conducted on 15 January 2019 in Division I attended by 56 participants, in Division II attended by 60 participants, in Division III attened by 56 participants, in Division IV attended by 53 participants, in Division V attended by 31 participants, in Division VI attended by 30 participants, in Division VII attended by 58 participants, in Division VIII attended by 49 participants, and in Transport Division conducted on 16 January 2019 attended by 71 participants.</p> <p>In UMWN conducted on 16 January 2019 in Transport Division attended by 52 participants, in Division I</p>	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance												
		<p>attended by 62 participants, in Division III attended by 49 participants, in Division IV attended by 28 participants, in Division V attended by 45 participants.</p> <p>In TUME conducted on 16 January 2019 in Division I attended by 31 participants, in Division II attended by 76 participants.</p>													
<p>Criterion 6.10: Growers and mills deal fairly and transparently with smallholders and other local businesses.</p>															
6.10.1	<p>Current and past prices paid for Fresh Fruit Bunches (FFB), shall be publicly available.</p> <p>- Minor compliance -</p>	<p>Currently, the smallholder cooperative of PT. Umbul Mas Wisesa has been producing FFB. However, the FFB production has not been certified. Therefore the FFB production sold again to other mill, PT. Anugerah Tanjung Medan (non-RSPO). The agreement "Surat Perjanjian Kerjasama Jual Beli TBS No. 2016/UMW-TBS/01" dated 3 October 2016. The agreement regulates transport and delivery, price and payment and agreement timeframe.</p> <p>FFB price determined in accordance with "Peraturan Menteri Pertanian No.14 tahun 2013 tentang Pedoman Penetapan Harga Pembelian TBS Kelapa Sawit Produksi Pekebun". The price evaluation on weekly basis, and the FFB purchase price informed to cooperative. For example, on period 5-11 September 2017 the price Rp. 1,440/kg. And additional Rp.20/kg from price being determined by PT. Anugerah Tanjung Medan.</p> <table border="1"> <tr> <td>Period and price Year 2018</td> </tr> <tr> <td>Price sets at IDR/kg</td> </tr> <tr> <td>1 January 2018 IDR.1,520; 2 January 2018 IDR.1,500; 16 January 2018 IDR.1,540; 23 January 2018 IDR.1,520; 30 January 2018 IDR.1,540</td> </tr> <tr> <td>6 February 2018 IDR.1,560; 13 February 2018 IDR.1,600; 20 February 2018 IDR.1,620; 27 February 2018 IDR.1,640</td> </tr> <tr> <td>6 March 2018 IDR.1,620; 13 March 2018 IDR.1,580; 20 March 2018 IDR.1,560; 27 March 2018 IDR.1,600;</td> </tr> <tr> <td>3 April 2018 IDR.1,600; 10 April 2018 IDR.1,620; 17 April 2018 IDR.1,620; 24 April 2018 IDR.1,580</td> </tr> <tr> <td>1 May 2018 IDR.1,560; 8 May IDR.1,500; 15 May 2018 IDR.1,500; 22 May 2018 IDR.1,490; 29 May 2018 IDR.1,460</td> </tr> <tr> <td>3 June 2018 IDR.1,440; 12 June 2018 IDR.1,440; 19 June 2018 IDR.1,260; 26 June 2018 IDR.1,220</td> </tr> <tr> <td>3 June 2018 IDR.1,140; 10 June 2018 IDR.1,140; 17 June 2018 IDR.1,100; 24 June 2018 IDR.1,110; 31 June 2018 IDR.1,140</td> </tr> <tr> <td>7 August 2018 IDR.1,160; 14 August 2018 IDR.1,190; 21 August 2018 IDR.1,210; 28 August 2018 IDR.1,210</td> </tr> <tr> <td>4 September 2018 IDR.1,200; 11 September 2018 IDR.1,210; 18 September 2018 IDR.1,190; 25 September 2018 IDR.1,170;</td> </tr> <tr> <td>2 October 2018 IDR.1,150; 9 October 2018</td> </tr> </table>	Period and price Year 2018	Price sets at IDR/kg	1 January 2018 IDR.1,520; 2 January 2018 IDR.1,500; 16 January 2018 IDR.1,540; 23 January 2018 IDR.1,520; 30 January 2018 IDR.1,540	6 February 2018 IDR.1,560; 13 February 2018 IDR.1,600; 20 February 2018 IDR.1,620; 27 February 2018 IDR.1,640	6 March 2018 IDR.1,620; 13 March 2018 IDR.1,580; 20 March 2018 IDR.1,560; 27 March 2018 IDR.1,600;	3 April 2018 IDR.1,600; 10 April 2018 IDR.1,620; 17 April 2018 IDR.1,620; 24 April 2018 IDR.1,580	1 May 2018 IDR.1,560; 8 May IDR.1,500; 15 May 2018 IDR.1,500; 22 May 2018 IDR.1,490; 29 May 2018 IDR.1,460	3 June 2018 IDR.1,440; 12 June 2018 IDR.1,440; 19 June 2018 IDR.1,260; 26 June 2018 IDR.1,220	3 June 2018 IDR.1,140; 10 June 2018 IDR.1,140; 17 June 2018 IDR.1,100; 24 June 2018 IDR.1,110; 31 June 2018 IDR.1,140	7 August 2018 IDR.1,160; 14 August 2018 IDR.1,190; 21 August 2018 IDR.1,210; 28 August 2018 IDR.1,210	4 September 2018 IDR.1,200; 11 September 2018 IDR.1,210; 18 September 2018 IDR.1,190; 25 September 2018 IDR.1,170;	2 October 2018 IDR.1,150; 9 October 2018	Comply
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3 April 2018 IDR.1,600; 10 April 2018 IDR.1,620; 17 April 2018 IDR.1,620; 24 April 2018 IDR.1,580															
1 May 2018 IDR.1,560; 8 May IDR.1,500; 15 May 2018 IDR.1,500; 22 May 2018 IDR.1,490; 29 May 2018 IDR.1,460															
3 June 2018 IDR.1,440; 12 June 2018 IDR.1,440; 19 June 2018 IDR.1,260; 26 June 2018 IDR.1,220															
3 June 2018 IDR.1,140; 10 June 2018 IDR.1,140; 17 June 2018 IDR.1,100; 24 June 2018 IDR.1,110; 31 June 2018 IDR.1,140															
7 August 2018 IDR.1,160; 14 August 2018 IDR.1,190; 21 August 2018 IDR.1,210; 28 August 2018 IDR.1,210															
4 September 2018 IDR.1,200; 11 September 2018 IDR.1,210; 18 September 2018 IDR.1,190; 25 September 2018 IDR.1,170;															
2 October 2018 IDR.1,150; 9 October 2018															

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Criterion / Indicator		Assessment Findings	Compliance
		<p>IDR.1,190; 16 October 2018 IDR.1,200; 23 October 2018 IDR.1,220; 30 October 2018 IDR.1,200;</p> <p>6 November 2018 IDR.1,180; 13 November 2018 IDR.1,050; 20 November 2018 IDR.960; 27 November 2018 IDR.960;</p> <p>4 December 2018 IDR.1040; 11 Decembe IDR.1,080; 18 December 2018 IDR.1,120</p>	
6.10.2	<p>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).</p> <p>- Major compliance -</p>	<p>Currently, the smallholder cooperative of PT. Umbul Mas Wisesa has been producing FFB. However, the FFB production has not been certified. Therefore the the FFB production sold again to other mill, PT. Anugerah Tanjung Medan. The agreement "Surat Perjanjian Kerjasama Jual Beli TBS No. 2016/UMW-TBS/01" dated 3 October 2016. The agreement regulates transport and delivery, price and payment and agreement timeframe.</p> <p>FFB price determined in accordance with "Peraturan Menteri Pertanian No.14 tahun 2013 tentang Pedoman Penetapan Harga Pembelian TBS Kelapa Sawit Produksi Pekebun". The price evaluation on weekly basis, and the FFB purchase price informed to cooperative. For example, on period 5-11 September 2017 the price Rp. 1,440/kg. And additional Rp.20/kg from price being determined by PT. Anugerah Tanjung Medan.</p> <p>Mechanism as explained under Marketing Director email dated 30 May 2018: base price ATM Mill Price + IDR.50 as DO premium. Deduction: No "potongan tetap" of 1% but quality deduction as other mill. Payment 2 working days as current practice.</p> <p>Based on interview with the smallholder cooperative, Koperasi Serba Usaha Suka Makmur, the member and committee has understood the FFB purchase price calculation.</p>	Comply
6.10.3	<p>Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent.</p> <p>- Minor compliance -</p>	<p>Based on interview with local contractors confirmed that contract understood by them and made fairly, legal and transparent.</p> <p>UMW South Estate has prepared a list of contractor: CV. Tua Gabe, CV Sibinurang 71, CV. Prima, Koperasi Jasa Karyawan and PT. Inti Cakrawala Citra.</p> <p>UMW South Estate has a work order for stone (road maintenance) to CV. Tua Gabe, based on "Surat Perintah Kerja PT. Umbul Mas Wisesa Pembelian Batu Petrun No.19/TG/UMWS/XI/2018" dated 30 November 2018. The work order specifies the work to send stone, volume 250 m³; date 3-15 December 2018; location UMW South Estate.</p> <p>UMW North Estate has prepared a list of contractor: CV. Tua Gabe, CV Sibinurang, CV. Frima, Koperasi Jasa Karyawan. CV. Frima is local contractor, with address Sri Pinang, Desa Kebun Perlabian, Labuhanbatu Selatan,</p>	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>Sumatera Utara Province. Surat Perjanjian No.03/UWN-HO/EDM/2018 between PT. Umbul Mas Wisesa and CV. Frima for scope of work 1 lot development of 5 units labor house non-permanent type 100 complete septic tank & filter garden; the design No.01/UMWS/EDM/HO/18; timeframe 180 calendar days; price of work; payment terms; health and safety requirements; retention period; signed by both party on 19 March 2018.</p>	
<p>6.10.4 Agreed payments shall be made in a timely manner. - Minor compliance -</p>	<p>Payment for FFB received in UMW POM to Koperasi Serba Usaha Suka Makmur:</p> <ul style="list-style-type: none"> - Receiving slip ticket No.FFb1801428SW dated 27 July 2018, with total FFB weighed 7,781 MT. The total FFB consist of Juniawati 1,321 kg; Samin R 1,423 kg; Alijaah 1,637 kg; Sumardi 407 kg; Tusiwan 554 kg; Parisian Lumban Batu 559 kg; Tanti Wahyuni 1,016 kg; Tri Yuli Wardani 407 kg; Mujiman 457 kg. The price sets at IDR.1,110/kg. Gross revenue IDR.8,636,910. Total deduction (cooperative staff, tax, FFB weighing, FFB loader, FFB transport, road maintenance, fertilizer installment) IDR.2,060,354. Payment made for KSU Suka Makmur IDR.1,806,943; Juniawati (account Samin R.) IDR.1,155,875; Samin R. IDR.1,245,125; Alijaah (account Samin R.) IDR.1,423,375; Sumardi IDR.124,306; Tusiwan IDR.484,750; Parasian Lumban Batu IDR.489,125; Tanti Wahyuni (account Lusiono Handoko) IDR.889,000; Tri Yuli Wardani IDR.356,125; Mujiman (account Lusiono Handoko) IDR.399,875; total IDR.8,383,499 paid through Bank Mandiri to each account dated 28 July 2018. <p>UMW South Estate: Contractor CV. Tua Gabe, send invoice upon completion of work order based on "Surat Perintah Kerja PT. Umbul Mas Wisesa Pembelian Batu Petrun No.19/TG/UMWS/XI/2018" dated 30 November 2018. The invoice dated 13 December 2018, since the work completed on 7 December 2018. Evident of payment: Bank Payment Voucher for the work stipulated in the work order, reference to invoice No.51/TG/UMWS/2018 dated 17 December 2018 – payment wired on 4 January 2019.</p> <p>UMW North Estate CV. Frima send invoice for payment phase III (70%) through invoice No.03/UMWN-HO/EDM/2018, dated 11 December 2018. Invoice based on "Berita Acara Serah Terima" dated 20 November 2018. The payment made by PT. Umbul Mas Wisesa on 8 January 2019.</p>	<p>Comply</p>
<p>Criterion 6.11: Growers and millers contribute to local sustainable development where appropriate.</p>		

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Criterion / Indicator	Assessment Findings	Compliance
<p>6.11.1 Records of contributions to local development based on the results of consultation with local communities shall be available. - Minor compliance -</p>	<p>PT Umbul Mas Wisesa and PT Toton Usaha Mandiri have established program of Community Development and Corporate Social Responsibility under document of "Program CD/CSR 2018" consists of 6 types of activities covering for:</p> <ul style="list-style-type: none"> - Infrastructure, - Sports, - Religious Art, - Community Development - Social Economy <p>Evidence verified: UMW – South Estate</p> <ul style="list-style-type: none"> - Infrastructure; road maintenance to Tanjung Medan, in January worth Rp 300,000,000,- in April Rp 1,029,600,000,- in August Rp 198,825,000,- in December Rp 124,751,000; - Canal cleaning using heavy equipment, in April 2018 is 12,745.44 meters and in September worth Rp.60,000,000; - Clean water aid to Desa Tanjung Mulia on 28 July 2018 was 3,000 liters, on 5 July 2018 was 3,000 liters - Aid to education organization "Yayasan Pendidikan H. Usman" Rp. 500,000/month; e.g: receipt on 4 January 2019. <p>TUM Estate and UMW-North Estate: Record of realization of Community Development in 2018, e.g:</p> <ul style="list-style-type: none"> - "Berita Acara Serah Teima Bantuan Safari Ramadhan" (handover of Ramadhan aid) dated 25 May 2018 to Masjid Dusun Mayor, consisted of sugar (10 Kg), tea (9 pcs), coffee (3 pcs) and bread (1 kg). - "Berita Acara Serah Teima Bantuan Safari Ramadhan" (handover of Ramadhan aid) dated 26 May 2018 to Masjid Amaliyah Dusun VII Bulu Tolang, consisted of sugar (10 Kg), tea (9 pcs), coffee (3 pcs) and bread (1 kg). - "Berita Acara Serah Teima Bantuan Safari Ramadhan" (handover of Ramadhan aid) dated 25 May 2018 to Masjid Al Muhajirin, consisted of sugar (10 Kg), tea (9 pcs), coffee (3 pcs) and bread (1 kg). - Memorandum No 177/GMO-HRAD/X/2018 dated 26 October 2018 regarding "donasi gerakan pramuka Yayasan PT Umbul Mas Wisesa" (aid to boys cout of Umbul Mas Wisesa Foundation) worth Rp 1,000,000,- - Record of dissemination on "Upkeep outlet in Barumun Village (8,116.92 meters) and Barumun Pasir Limau Kapas Village (3,605.19 meters) by excavator Long Arm (6x5x4 meters), dated 28 September 2018. 	<p>Comply</p>
<p>6.11.2 Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to</p>	<p>Since 2015 PT Umbul Mas Wiseda have a joint venture partnership with surrounding communities through cooperation of FFB suppliers in form of Smallholder Cooperative.</p>	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance
	improve scheme smallholder productivity. - Minor compliance -	<p>In 2018, PT Umbul Mas Wisesa has formed a partnership with three cooperatives in KSU Suka Makmur, Koperasi Konsumen Rapi Rejeki and Koperasi Produsen Tani Mulia Jaya.</p> <p>PT. Umbul Mas Wisesa has provided assistance to develop the cooperatives, e.g:</p> <ul style="list-style-type: none"> - Established a group management structure for Koperasi Serba Usaha Suka Makmur, Tanjung Mulia Village. The group management consist of one Group Manager, one Group Secretary, and ten staffs, to assist smallholder/cooperative operation and preparation for RSPO certification; - To provide guidance to the cooperative in form of training related cooperative management, aligning oil palm cultivation techniques and management cost. - Helping farmer member with guidance book. The guidance provided such as integrated pest management, manual upkeep, fertilizer regime and harvesting rotation. - Appointed staff, whose responsible to provide guidance to smallholder member. 	
Criterion 6.12:			
No forms of forced or trafficked labour are used.			
6.12.1	There shall be evidence that no forms of forced or trafficked labor are used. - Major compliance -	<p>PT Umbul Mas Wisesa and PT Toton Usaha Mandiri has established policy against Forced Labour or Trafficked Labour as in Company Policy issued by President Director dated 1 March 2014. This policy applies to PT Umbul Mas Wisesa and PT Toton Usaha Mandiri and for the entire company under the management of PT Tolan Tiga Indonesia (SIPEF Group). The policy explained:</p> <ul style="list-style-type: none"> - The Company does not use forced or trafficked labour either directly or through a third party. - The Company acknowledged that forced or trafficked labour can take many forms, all of which are equally unacceptable. Including debt bondage or bonded labour employment relationship because the debt is considered forced labour. - The alleged use of forced labour or labour which are traded by the company's employees if proven would result in disciplinary action up to termination of employment and also can result in legal action. - The Companies that do business with PT UMW – PT TUM required adhering to this policy. Violation of this policy if proven would result in disciplinary action up to termination of employment and also can result in legal action. <p>Documentation and attendance list of the company policies dissemination (including policy against Forced or Trafficked Labour) in UMW South Estate, e.g: on 22 November 2018, located in Division II, carried out during Muster Chit of Field Work.</p>	Comply

Criterion / Indicator		Assessment Findings	Compliance
6.12.2	It shall be demonstrated that no contract substitution has occurred. - Minor compliance -	Based on document review of Workers List updated in January 2019 and interview with workers and labour union, confirmed that no contract substitution was noted.	Comply
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 -	<p>The agreement for temporary workers are available and signed by workers. There is no migrant worker in PT Umbul Mas Wisesa and PT Toton Usaha Mandiri.</p> <p>UMW – South Estate: Based on document review, it was noted that all workers has signed contract / work agreement, e.g:</p> <ul style="list-style-type: none"> - Contract (SPK – as PKWT lanjutan ke II, temporary worker) namely Mrs. N***** H***** (Harvester), dated 1 January 2018. - Contract (SPK – as PKWT lanjutan ke II, temporary worker) namely Mrs. A***** L**** (Harvester), dated 1 January 2018. <p>Temporary work agreement (PKWT) are apply for workers under probation period.</p> <p>UMW - North Estate For casual worker, work agreement regulated under Koperasi Jasa Karyawan Umbul Mas Wisesa. The agreement were signed. Sample seen related to contract agreement with third party Koperasi Jasa Karyawan UMW (Cooperative of Workers Services UMW), e.g:</p> <ul style="list-style-type: none"> - Contract (SPK – as casual worker) namely S** W***** dated 1 September 2016. - Contract (SPK – as casual worker) namely N** J*****, dated 1 September 2017. <p>Based on verification, all casual workers have agreement with cooperative (Koperasi Penyedia Jasa Karyawan).</p>	Comply
<p>Criterion 6.13: Growers and millers respect human rights.</p>			
6.13.1	A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations. - Major compliance -	<p>Company has documented policy to respect human rights under Company Policy of Human Rights, signed by President Director on 1 March 2014. The policy stated that:</p> <ul style="list-style-type: none"> - The company acknowledges human rights are universal and apply to all, without any form of distinction. - The company support implementation of of the international Bill of Human Right, and of the ILO declaration on Fundamental Principles and Right at Work, that has been ratified by Republic of Indonesia. - Accusations against violation of human rights, if proven, resulted in disciplinary action up to termination of work relation, and could cause legal action. <p>Record seen: Documentation and attendance list of dissemination of the company policy (including a policy in protection of</p>	Comply

Criterion / Indicator		Assessment Findings	Compliance
		human rights). The policy has been communicated to all level of workers, e.g. in UMW POM, latest dissemination conducted on on 7 December 2018, attended by 42 participants; on 15 May 2018 attended by 43 participants. In UMWN Estate, dissemination of Company policy has been conducted on 11 April 2018 at Office attended by 8 participants, at Technic Department attended by 35 participants, at Division I attended by 33 participants, at Division II attended by 66 participants, at Division III attended by 50 participants, at Division IV attended by 40 participants, at Division V attended by 37 participants. In TUM Estate, dissemination of Company policy has been conducted on 11 April 2018 at Division I attended by 29 participants, at Division II attended by 58 participants.	
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 -	<p>AMDAL documents have been provided where the parameters studied included the social aspect.</p> <p>PT Umbul Mas Wisesa and PT Toton Usaha Mandiri have a Social Impact Assessment document that arranged by the Team of the Faculty of Forestry IPB in 2014 with the composition of the team: Handian Purwawangsa, S. Hut, M.Si (Team Leader), Udi Kusnidar, Sulfan Ardiansyah, and Jimmy Syahrasyid. The Social Impact Assessment outlining the positive and negative impact regarding development of PT UMW – PT TUM oil palm plantation. The document incorporating Matrix of PT UMW – PT TUM Social Management Plan consists of: Tenure, Establish communications and networking with stakeholders associated with PT UMW – PT TUM, Improving the quality of public education, public Health Quality Improvement, community economic empowerment and employment.</p> <p>The SIA document described the Social Management Plan that outlines the type of Programs, Activities, challenges, opportunities, strategies, outputs and time frame.</p> <p>Community involvement during preparation of the document through Focus Group Discussion (FGD) with community, such as:</p> <ul style="list-style-type: none"> - FGD in Sei Siarti Village on 15 February 2014 which was attended by 26 participants. - FGD in Tanjung Mulia Village on 16 February 2014 which was attended by 19 participants. - FGD with employees of PT UMW-South Estate on 14 February 2014 which was attended by 25 participants. 	Comply

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	<ul style="list-style-type: none"> - FGD with employees of PT UMW-North Estate and PT TUM conducted on 15 February 2014 which was attended by 32 participants. <p>Documentation and attendance list are available.</p>	
<p>7.1.2</p> <p>Appropriate management planning and operational procedures shall be developed and implemented to avoid or mitigate identified potential negative impacts.</p> <p>- Minor compliance -</p>	<p>The SIA document shows that the report has been completed with social management plan that recommended to increase the positive impacts and minimize the negative impact of oil palm plantation development by involving the affected communities as in table IX-1. "Rencana Kelola Sosial PT. Umbul Mas Wisesa", including the type of programs, activities, challenges, opportunities, strategies, outcomes and due date implementation of the program.</p> <p>PT. Toton Usaha Mandiri has development plans for management and monitoring of social impacts to avoid or reduce negative impacts and promote positive ones as in table IX-1. "Rencana Kelola Sosial PT. Toton Usaha Mandiri", including the type of programs, activities, challenges, opportunities, strategies, outcomes and due date implementation of the program.</p> <p>Companies (both of PT. UMW and PT. TUM) regularly evaluated the implementation of the RKL-RPL every 6 months. If there is a change of operational activities, then do specific evaluation of AMDAL documents, such as changes in the capacity of Mill and construction of Biogas Plant, it has conducted environmental assessment as outlined in the "Dokumen Adendum Analisa Dampak Lingkungan Hidup (AMDAL)", RKL-RPL activities waste water treatment changes based Clean Development Mechanism (CDM) and changes in solid waste processing at PT. UMW Palm oil Mill in Sei Siarti Village and has been endorsed by the Governor of Sumatera Utara through Decree No. 188.44/430/KPTS/2013, dated 10 July 2013.</p> <p>Furthermore, the companies have demonstrated related document, such as:</p> <ul style="list-style-type: none"> - RKL-RPL every 6 months. - Dokumen Adendum Analisa Dampak Lingkungan Hidup (AMDAL)". - RKL-RPL activities waste water treatment changes based Clean Development Mechanism (CDM) and changes in solid waste processing in PT. Umbul Mas Wisesa Palm Oil Mill at Sei Siarti Village, the document has been endorsed by the Governor of Sumatra Utara through Decree No. 188.44/430/KPTS/2013, dated 10 July 2013. - PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri has performed review on social-environment management and monitoring plan for first and second half year of 2018. The review and evaluation has taken into consideration inputs from stakeholders such as cooperative members and local community. - Report on Environmental Management and Monitoring Performance (Laporan RKL-RPL) for second semester 	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance
		year 2018 (July – December 2018) has submitted to Environment agency of Labuhanbatu Selatan Regency (Letter No 01/TUME/Disper-Labuhanbatu/I/2019, was received on 18 January 2019).	
7.1.3	<p>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.</p> <p>- Minor compliance -</p>	<p>PT Umbul Mas Wisesa has appointed staff, which responsible to provide guidance to smallholder member. Tutorial and guidance from company is helping farmer member. The guidance provided such as integrated pest management, manual upkeep, fertilizer regime and harvesting rotation.</p>	Comply
<p>Criterion 7.2:</p> <p>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.</p>			
7.2.1	<p>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.</p> <p>- Major compliance -</p>	<p>Based on soil survey, it was found that mostly PT Umbul Mas Wisesa areas is peat soil, Map of peat soil is available in place with scale 1:20,000. Soil series (sources: Shuttle Radar for Topographic Mission (SRTM) 2006; path 57 Row 12, <i>Digital Rupabumi</i> Map scale 1:250,000 BAKORSURTANAL 2004, Field Observation 2010, consist of:</p> <ul style="list-style-type: none"> - <i>Lenggana</i> Series (LGN 3,4), <i>Typic haplohemist</i>, mature peat land, 15 – 75 % fibre peat, depth 0 – 5 meters, poor drainage (5,681 Ha – 91%) - <i>Mekar Jaya</i> (MKJ), <i>Sulfic endoaquept</i>, silty clay, poor drainage, depth 50-100cm and Galling (GLG), <i>Typic sulfaquept</i>, depth 50cm (464 Ha – 7%). - Organic clay/muck, <i>Typic humaquepts</i> organic clay, high water table during raining days, acid sulphate at within 50 cm (91 Ha – 2%). <p>Soil profile map in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri was available made on 16 July 2013, sources:</p> <ul style="list-style-type: none"> - Survey GPS – Geo XT Differential correction - Satellite Image - JH Agriculture Service <p>Soil slopes class map PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri is available base on soil survey on 10 February 2014.</p> <p>TUM Estate: Semi detail soil survey report of PT. Toton Usaha Mandiri carried out in June 2010. Total area surveyed 1,484 Ha, the entire area is low lying flat, dominant soil series is <i>Lenggana</i> series, <i>Typic haplohemist</i>, peat soil), peat depth is 3 meters to > 5 meters. consist of: <i>Lenggana</i> Series (LGN 3,4), <i>Typic haplohemist</i>, mature peat land, decomposed hemist peat material, fiber content 16-75% woody, peat depth 3 to > 5 meters,</p>	Comply

Criterion / Indicator		Assessment Findings	Compliance
		<p>poor drainage (1,428 Ha – 100%). The soil map is available in scale 1:20,000.</p> <p>Company has also prepared all infrastructure for the palm cultivation in peat area. Started from construction of road network, planting hole-in-hole, etc. PT. Umbul Mas Wisesa has prepared the drainage to maintain water level in peat area, comprise of main/primary drain, secondary drain and collection/field drain. The size and configuration (width, depth, etc.) of each drain has follow regulation. The drain network has also been complemented with water gate infrastructure – taking into consideration the water inlet and water outlet, water level history, as well as topography in landscape level.</p>	
7.2.2	<p>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.</p> <p>- Minor compliance -</p>	<p>Based on soil survey on 10 February 2014 and slopes class map, all of PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri area is low lying flat or included into the class of Flat-undulating (0-2°) and relatively without slope above a certain limit.</p> <p>It is a company policy to stop land clearing for area with slope more than 25°. Based on field visit and document review, the current management for area with slope up to 25° is to apply terrace contour, platform. Management strategy for replanting plan is to take into consideration the current planting map, soil type map, topographic map, HCV map, and rainfall data and activity schedule.</p> <p>Based on field visit, there is no opening up area with slope more than 25°.</p>	Comply
<p>Criterion 7.3:</p> <p>New plantings since November 2005 have not replaced primary forest or any area required to maintain or enhance one or more High Conservation Values.</p>			
7.3.1	<p>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).</p> <p>- Major compliance –</p>	<p>The company has planted some of areas before HCV identification was conducted by YASBI in 2009. For those areas, the company has gone through the “Compensation and Remediation Plan” and it has been approved by RSPO in February 2015.</p> <p>PT. Umbul Mas Wisesa has also has gone through NPP process and it has been announced in RSPO website in December 2014.</p> <p>The compensation plan is monitored and implemented well by the company.</p> <p>In order to comply with “RSPO Remediation and Compensation Procedure, November 2015”, PT. Umbul Mas Wisesa demonstrating the annual report and annual working plan for company’s off-site compensation project to CAB. The compensation project in form of PT. SIPEF Biodiversity Indonesia, was obtained in September 2013, a license to manage a 12,672 Ha forest area under very high risk of deforestation. The area is located in Mukomuko Regency, Bengkulu Province, Indonesia – with the “Hutan Produksi Terbatas Air Manjunto (reg.62)”. The</p>	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>forest concession is a critical buffer zone to the “Kerinci Seblat National Park”. PT. SIPEF Biodiversity Indonesia obtained the license type “Izin Usaha Pemanfaatan Hasil Hutan Kayu-Restorasi Ekosistem/IUPHHK- RE”, issued by Ministry of Forestry thorough permit “Surat Keputusan Menteri Kehutanan No.SK.622/MENHUT-II/2013 untuk Izin Usaha Pemanfaatan Hasil Hutan Kayu Restorasi Ekosistem seluas 12,672 Ha” dated 17 September 2013. The permit valid from 17 September 2013 up to 16 September 2072, located in Mukomuko Regency, Bengkulu Province.</p> <p>The report for 2018 available under “Rencana Kerja Tahunan Usaha Pemanfaatan Hasil Hutan Kayu Restorasi Ekosistem Dalam Hutan Alam Pada Hutan Produksi Periode Tahun 2019 PT. SIPEF Biodiversity Indonesia – Bab III Realisasi Pelaksanaan RKT 2018”. The report comprise of: <i>realisasi batas areal kerja; penataan areal kerja; pembukaan wilayah hutan terbatas; penanaman; restorasi habitat flora dan fauna pilihan; perlindungan kawasan; pengelolaan dan pemantauan dampak lingkungan; kelola sosial; penelitian dan pengembangan</i> boundary arrangement for operation area (5.2 km/52 poles) – 65%; boundary arrangement for working area of 1,616 Ha/23 working partitions – 110%; opening access to limited forest (as per “SK Kepala Dinas Lingkungan dan Kehutanan Provinsi Bengkulu No.49/IV-2/TAHUN 2017 tentang Izin Penggunaan Koridor” dated 19 June 2017), road construction, construction of control tower, installation of electricity – 100%; nursery of 108,922 seedlings; planting of 38,571 trees in Sei Kiang; Distribution to community 18,953 trees; Distribution to government 9,035 trees; Monitoring of wildlife using camera trap – list of wildlife caught on tape evident; patrol for each block has been carried out; social management – communication on project to surrounding villages, participatory mapping, enforcement of organization “Kelompok Tani Hutan”; etc.</p> <p>The working plan for 2019 available under “Rencana Kerja Tahunan Usaha Pemanfaatan Hasil Hutan Kayu Restorasi Ekosistem Dalam Hutan Alam Pada Hutan Produksi Periode Tahun 2019 PT. SIPEF Biodiversity Indonesia” as approved through “Keputusan Kepala Dinas Lingkungan Hidup dan Kehutanan Provinsi Bengkulu No.282/IV.2/Tahun 2018 tentang Persetujuan Rencana Kerja Tahunan Izin Usaha Pemanfaatan Hasil Hutan Kayu Restorasi Ekosistem tahun 2019 PT. SIPEF Biodiversity Indonesia” dated 21 December 2018.</p> <p>Planting plan for “Restorasi Ekosistem tahun 2018” comprise of natural wood of 32,800 trees, fruit trees of 6,500 trees, native species 18,000 trees, under canopy species 700 trees.</p> <p>Delineation of working compartment 6 km equal to 60 boundary poles.</p> <p>Conflict resolution (illegal logging), encroachment for oil</p>	

Criterion / Indicator	Assessment Findings	Compliance
<p>7.3.2</p> <p>Reports of comprehensive HCV assessment, which involves stakeholder consultation and includes record of land-use change since November 2005, shall be available. This HCV assessment shall be conducted prior to any conversion or new planting.</p> <p>- Major compliance –</p>	<p>palm planting.</p> <p>PT Umbul Mas Wisesa (UMW) has conducted HCV identification by "Yayasan Kelapa Sawit Berkelanjutan Indonesia" (YASBI-Indonesian Sustainable Palm Oil Foundation) in 2009, referring "Indonesian HCV Toolkit, 2008". Total HCV areas was identified is 196.09 Ha and consist of 167 Ha is <i>Hutan Konversi</i> and riparian covering 20.79 Ha – in form of wildlife corridor.</p> <p>PT Toton Usaha Mandiri (TUM) has identified High Conservation Value (HCV) in 2009 conducted by "Yayasan Kelapa Sawit Berkelanjutan Indonesia" (YASBI-Indonesian Sustainable Palm Oil Foundation) as outlined in the Assessment Report HCV/HCV PT Toton Usaha Mandiri in 2009. In the report described the HCV areas found in working area of PT TUM i.e. HCV 1, HCV 3 and HCV 4 with a total area of 57.54 Ha in the form of conservation forest area of 39.30 hectares, border drain and corridors covering an area of 2.38 hectares.</p> <p>Public Consultation to the surrounding community have been conducted on 18 November 2009 at the Office of PT UMW, which was attended by representatives of leaders 'local community', the sub-district and the villages (Desa Tanjung Mulia, Sei Toras, Sei Siarti) in accordance with the document "Notulensi Publik Penilaian Nilai Konservasi Tinggi –NKT (HCV)".</p> <p>Reports being peer reviewed by R. Sigit Pamungkas (HCV-RN) on October 2014.</p>	<p>Comply</p>
<p>7.3.3</p> <p>Records of land preparation and clearing dates shall be available.</p> <p>- Minor compliance –</p>	<p>The company has record of land commencement in "Hectare Statement".</p>	<p>Comply</p>
<p>7.3.4</p> <p>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)</p> <p>- Major compliance –</p>	<p>PT Umbul Mas Wisesa (UMW) has established procedur for identification HCV; "Prosedur Identifikasi Flora dan Fauna", No. ENC/SOP/09, dated 1 December 2013. Also made a work instruction (WI), that is: Work Instruction (WI) for: Patroli Areal NKT (HCV Areal), Conservation Corridor Maintenance, Camera Trap Setting, setup Camera Trap.</p> <p>Based on identification of HCV in 2009, that identified 16 species of mammals, such as: "Babi hutan" (<i>Sus verrucoccus</i>), "Musang" (<i>Paradoxurus hermaphrodites</i>), "Siamang" (<i>Symphalangus syndactylus</i>), "Beruk" (<i>Macaca nemestrina</i>), "Berang-berang" (<i>Prionodon linsang</i>), "Macan akar" (<i>Felis bengalensis</i>), Harimau Sumatera (<i>Panthera tigris sumatrae</i>), "Beruang Madu" (<i>Helarctos malajanus</i>), "Kia-kia" (<i>Presbytis thomasi margae</i>), "Kera" (<i>Macaca fascicularis</i>), "Bajing terbang" (<i>Calotes jubatus</i>), "Kalong" (<i>Pteropus vampyrus</i>), "Kukang" (<i>Nycticebus coucang</i>), Landak (<i>Hystrix brachyurum</i>), "Trenggiling" (<i>Manis javanica</i>) and "Tupai" (<i>Tupaia sp.</i>)</p> <p>For bird species found 33 kinds, such as:</p>	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p><i>Cerocok/Pycnonotus goiavier, Emprit bondol/Lonchura, Balam/Geopelia striata, Walet/Hirundo tahitica, Gagak/Corvus enca, Pelatuk/Picus miniaceus, Jalak/Sturnus contra jala, Alap-alap/Falco peregrinus, Burung Hantu/Tyto alba, Murai batu/Monticola solitaries, Rangkok/Aceros undulates and 11 types Reptile such as: Ular Lidi/Ptyas koros, Tokek/Gecko gecko, Bunglon/Myrmeleon sp, Kadal/Mabouja multifasciata, Biawak/Varanus salvator and Ular sawah/Maticora bivirgata.</i></p> <p>Based HCV assessment documents in 2009, identified 27 types of plants such as: <i>Pasak Lingga/Dysoxylum sp, Kempas/Koompasia exelsa, Arang-arang/Dyospyros borneensis, Beringin/Ficus benjamina, Rengas/Gluta renghas, Anggrung/Trema orientalis, Meranti putih/Shorea lamellate, Meranti Merah/Shorea ovalis, Halaban/Vitex pubescens, Landas/Macaranga sp, Kayu Sunte/Shorea gibbosa, Mayang susu/Shorea lamellate, Rotan/Calamus sp, Kandis/Tamarindus sp, Jelutung/Dyera costulata, Tembesu/Frgraea fragrans and Punak/Tetramerista glabra.</i></p> <p>Based on the field observation in the wildlife corridor (UMW North Block J20/K20) which connects the HCV area of PT Umbul Mas Wisesa and HCV area of PT Toton Usaha Mandiri indicates that the company has made the management of HCV areas include;</p> <ul style="list-style-type: none"> - Installation of HCV identification and warning signs to prohibit hunting, or cutting the tree; - Restoration project by planting "Meranti Merah", "Bintangur", "Meranti Batu", "Pulai" and "Mayang" are continued, data collection sighted; - Based on visit to the area, vegetation growth in the corridor are improved. <p>The management and monitoring plan, covering monitoring of HCV area, socialization to the internal and local communities, restoration and displayed sign board. "Program Pengelolaan NKT PT Umbul Mas Wisesa North and PT TUM 2019" is evident. The HCV management plan including Forest guard patrol in two weeks interval, upkeep HCV corridor in monthly basis, planting of corridor planned in July, monitoring of wildlife in monthly basis, upkeep HCV notice board planned in May, upkeep of HCV and corridor poles planned in January and June.</p> <p>During field observation at HCV area, several wildlife were seen, e.g. Elang Hitam (<i>Ictinaetus malayensis</i>), Elang Ular Bido (<i>Spilornis cheela malayensis</i>), Alap-alap Macan (<i>Falco severus</i>), Betet ekor panjang (<i>Psittacula longicauda</i>) and Kangkareng Hitam (<i>Anthracoceros malayanus</i>).</p>	
<p>7.3.5</p>	<p>Areas required by affected communities to meet their basic</p>	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance
	<p>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).</p> <p>- Minor compliance -</p>	<p>Foundation) in 2009, referring "Indonesian HCV Toolkit, 2008". Total HCV areas was identified is 196.09 Ha and consist of 167 Ha is <i>Hutan Konversi</i> and riparian covering 20.79 Ha – in form of wildlife corridor.</p> <p>PT Toton Usaha Mandiri (TUM) has identified High Conservation Value (HCV) in 2009 conducted by "Yayasan Kelapa Sawit Berkelanjutan Indonesia" (YASBI-Indonesian Sustainable Palm Oil Foundation) as outlined in the Assessment Report HCV/HCV PT Toton Usaha Mandiri in 2009. In the report described the HCV areas found in working area of PT TUM i.e. HCV 1, HCV 3 and HCV 4 with a total area of 57.54 Ha in the form of conservation forest area of 39.30 hectares, border drain and corridors covering an area of 2.38 hectares.</p> <p>From the information, assessor team did not found HCV 5 and HCV 6 in the area of PT. UMW and PT. TUM. However, company has demonstrated commitment to protect and conserve water source – for the need of surrounding community.</p>	
<p>Criterion 7.4:</p> <p>Extensive planting on steep terrain, and/or marginal and fragile soils, including peat, is avoided.</p>			
7.4.1	<p>Maps identifying marginal and fragile soils, including excessive gradients and peat soils, shall be available and used to identify areas to be avoided.</p> <p>- Minor compliance -</p>	<p>Based on semi detail soil survey, it was found that mostly PT Umbul Mas Wisesa areas is peat soil, Map of peat soil is available in place with scale 1:40,000 print in A2 size. Soil series sources: Shuttle Radar for Topographic Mission (SRTM) 2006; path 57 Row 12, Digital Rupabumi Map scale 1:250,000 BAKORSURTANAL 2004, Field Observation 2010. Projection Tranverse Mercator, grid Universal Tranverse Mercator and Geographic, datum WGS 84, zone 47N. Soil characteristic consist of:</p> <ul style="list-style-type: none"> - <i>Lenggana Series (LGN 3,4), Typic haplohemist</i>, mature peat land, 16 – 75 % fibre peat, peat depth 3 – 5 meters, poor drainage, low lying flat (5,681 Ha – 91%). - <i>Mekar Jaya (MKJ), Sulfic endoaquept</i>, silty clay, 35-60% clay, poor drainage, depth 50-100cm and Galling (GLG), <i>Typic sulfaquept</i>, depth 50cm, 35-60% clay, low lying flat (464 Ha – 7%). - Organic clay/muck, Typic humaquepts organic clay, high water table during raining days, acid sulphate at within 50 cm, low lying flat (91 Ha – 2%). <p>Soil profile map in PT. Umbul Mas Wisesa and PT Toton Usaha Mandiri was available made on 16 July 2013, sources:</p> <ul style="list-style-type: none"> - Survey GPS – Geo XT Differential correction - Satellite Image - JH Agriculture Service <p>Soil slopes class map PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri is available base on soil survey on 10 February 2014.</p>	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>TUM Estate: Based on semi detail soil survey, total area surveyed was 1,484 Ha, the entire area is low lying flat, dominant soil series is <i>Lenggana</i> series, <i>Typic haplohemist</i>, peat soil), peat depth is 3 meters to > 5 meters. Semi detail soil map of PT Toton Usaha Mandiri is available in scale 1:20,000 print in A2 size. Soil series sources: Shuttle Radar for Topographic Mission (SRTM) 2006; path 57 Row 12, Digital Rupabumi Map scale 1:250,000 BAKORSURTANAL 2004, Field Observation 2010. Projection Tranverse Mercator, grid Universal Tranverse Mercator and Geographic, datum WGS 84, zone 47N. Soil characteristic consist of: <i>Lenggana</i> Series (LGN 3,4), <i>Typic haplohemist</i>, mature peat land, decomposed hemist peat material, fiber content 16-75% woody, peat depth 3 to > 5 meters, poor drainage (1,484 Ha – 100%).</p>	
<p>7.4.2</p> <p>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.</p> <p>- Major compliance -</p>	<p>For peat soil, companies have prepared "Work Instruction Water Management PT. Umbul Mas Wisesa & PT. Toton Usaha Mandiri". The work instruction has also been prepared to monitor water mangement performance. Monitoring and recording water level and water table in two weeks interval – as well as take immediate action, to open/close water gate accordingly, in order to maintain water level in optimum level. This has been supported by trained supervisor.</p> <p>Company has also prepared all infrastructure for the palm cultivation in peat area. Started from construction of road network and planting hole-in-hole. PT. Umbul Mas Wisesa has established drainage system to maintain water level in peat area, comprise of main/primary drain, secondary drain and collection/field drain. The size and configuration (width and depth) of each drain has follow regulation. The drain network has also been complemented with water gate infrastructure – taking into consideration the water inlet and water outlet, water level history, as well as topography in landscape level.</p> <p>Company has developed a water management plan, for cultivation of oil palm in peat soil. This document has been cascaded into "Program Kerja Water Management tahun 2018", available for each estate. In order to monitor water level at optimum level, company has installed water level pole (near water gate) to monitor water level; installed piezometer (inside plantation blocks) to monitor the water table); and installing 8 peat subsidence poles, in order to monitor peat subsidence on bi-annual basis. A yearly report produced to review and evaluate the water management performance for future planning.</p> <p>For (any) planting on slope area; It is a company policy to stop land clearing for area with slope more than 25°.</p>	<p>Comply</p>

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Criterion / Indicator		Assessment Findings	Compliance
		<p>Based on field visit and document review, there is no area with slope more than 25° in PT Umbul Mas Wisesa and PT Toton Usaha Mandiri area.</p> <p>Management strategy for replanting plan is to take into consideration the current planting map, soil type map, topographic map, HCV map, and rainfall data and activity schedule.</p>	
<p>Criterion 7.5:</p> <p>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.</p>			
7.5.1	<p>Evidence shall be available that affected local peoples understand 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.</p> <p>- Major compliance -</p>	<p>Up to this 4th annual surveillance assessment (January 2019) there were no more land compensation process, for planting after November 2005 in PT Umbul Mas Wisesa and PT Toton Usaha Mandiri. However, in anticipation of handling land disputes problems the company has had land dispute resolution mechanisms as set out in "Prosedur Ganti Rugi Lahan" No. SOP/CA/02, dated 1 July 2012. The procedure described mechanism for resolution of land compensation through the FPIC process (dissemination), Document Verification and UKTI Land Rights Review and Measurement of land alongside joint mapping, Price Negotiation "Ganti Rugi Tanam Tumbuh/GRTT". Completeness RGTT are as follows; Application documents measurement, "Berita Acara Survey" – minutes of land survey, Certificate of Land or Surat Keterangan Tanah/SKT, statement of no dispute, Statement of Recognition of Rights, Statement of Heirs, Statement Own Land/Land for smallholder development (if any), Letter of Waiver working on arable land, letter of arable land compensation.</p>	Comply
<p>Criterion 7.6:</p> <p>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>			
7.6.1	<p>Documented identification and assessment of demonstrable legal, customary and user rights shall be available.</p> <p>- Major compliance -</p>	<p>PT Umbul Mas Wisesa and PT Toton Usaha Mandiri have prepared a map indicating previous land owners with recognized legal, customary or user rights. The map was prepared prior to initial land compensation process; carried out on an area of 6,468.60 Ha. In the first phase for an area of 1,923.03 Ha against 93 groups and 1,163 owners as well as the second phase for an area of 1,923.03 Ha against 18 group and 84 owners in the Village of Tanjung Mulia and Sei Siarti.</p> <p>The same process carried out in PT Toton Usaha Mandiri, for an area of 761.67 Ha in Sei Siarti Villages against 108 land owners.</p>	Comply

Criterion / Indicator		Assessment Findings	Compliance
		Based on document review and stakeholder consultation, there was no land dispute noted in PT Umbul Mas Wisesa and PT Toton Usaha Mandiri plantation areas.	
7.6.2	<p>A system for identifying people entitled to compensation shall be in place.</p> <p>- Major compliance -</p>	<p>PT Umbul Mas Wisesa and PT Toton Usaha Mandiri have completed their land compensation process. No more compensation process noted recently. There is no new development in UMW and TUM Estate.</p> <p>However, the company has prepared mechanism to settle land dispute as per "Prosedur Ganti Rugi Lahan" No.SOP/CA/02 dated 1 July 2012. The procedure shows company has prepared dispute resolution mechanism: Company being transparent on permits, licenses including land title to the community; In case of claim from community, company will cater as long as valid land ownership evidence presented; Status verification – when valid land ownership evidence presented, continued with field visit/survey and measurement; Field visit/survey and measurement will involve company representative, complainant and government representatives; Based on field visit/survey and measurement, a minutes will be produced, attaching the hectare and coordinates of the claimed land – signed by all interested parties; Final verification to ensure no overlapping with other party; Once final verification can justified no overlapping occurred, company will propose land compensation/ negotiation. Payment will be done once agreement between parties made. This procedure is available in Bahasa Indonesia.</p> <p>Based on public stakeholder consultation with village communities from Sei Siarti village, Tanjung Mulia village and individuals being compensation, there has been no report related to land conflict/land dispute between local community and company.</p>	Comply
7.6.3	<p>A system for calculating and distributing fair compensation (monetary or otherwise) shall be in place.</p> <p>- Major compliance -</p>	<p>The company procedure "Prosedur Ganti Rugi Lahan" No. SOP/CA/02, dated 1 July 2012 has described mechanism for resolution of land compensation through the FPIC process (dissemination), Document Verification and UKTI Land Rights Review and Measurement of land alongside joint mapping, Price Negotiation "Ganti Rugi Tanam Tumbuh/GRTT". Completeness RGTT are as follows; Application documents measurement, "Berita Acara Survey" – Minutes of Survey, Certificate of Land or "Surat Keterangan Tanah/SKT", Statement of no dispute, Statement of Recognition of Rights, Statement of Heirs, Statement Own Land/Land for smallholder (if any), Letter of Waiver working on arable land, letter of arable land compensation.</p> <p>The compensation evidence required is as follows: Measurement of proposal document, minutes on land measurement, Land ownership or "Surat Keterangan Tanah/SKT", No dispute statement letter, Ownership statement (Surat Keterangan pengakuan Hak), Heir right statement, Release of tenure right statement letter for</p>	Comply

Criterion / Indicator		Assessment Findings	Compliance
		rented land, land compensation. Record on identification and compensation process is well documented under "Dokumen "Ganti Rugi Tanam Tumbuh/GRTT".	
7.6.4	Communities that have lost access and rights to land for plantation expansion shall be given opportunities to benefit from plantation development. - Minor compliance -	PT Umbul Mas Wisesa has appointed staff, which responsible to provide guidance to cooperative and its smallholder member. The partnership between company and Koperasi Serba Usaha Suka Makmur in form of FFB purchase from community. Tutorial and guidance from company is helping farmer member. The guidance provided such as integrated pest management, manual upkeep, fertilizer regime and harvesting rotation.	Comply
7.6.5	The process and outcome of any compensation claims shall be documented and made publicly available. - Minor compliance -	Record related to compensation process are maintained and made publicly available, as indicated in criterion 1.2.1.	Comply
7.6.6	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 -	PT Umbul Mas Wisesa and PT Toton Usaha Mandiri have been able to demonstrate that during the development phase, company has explained the positive and negative impacts from oil palm plantation development. The Company has being transparent on permits, licenses including land title to the community; In case of claim from community, company will cater as long as valid land ownership evidence presented; Status verification – when valid land ownership evidence presented, continued with field visit/survey and measurement; Field visit/survey and measurement will involve company representative, complainant and government representatives. The company has procedure "Pemberian Tanggapan Terhadap Permintaan Informasi, (Provision of Responses to Requests for Information) No. ENC/SOP/08", rev.2, dated 6 April 2015, which regulates the mechanism of response to requests for information. The company has recorded response upon request information in the logbook. Logbook titled "Buku Permintaan Informasi dan Tanggapan".	Comply
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 -	PT UMW and PT TUM: No open burning was noted during field visit and interviewed with local communities and workers. "Prosedur Pencegahan dan Pengendalian Kebakaran Lahan" No.ENC/SOP/10 dated 1 February 2014 for prevention and control of fire. The company is using fire danger rating; risk differed by number of rainy day, rain fall, and or occurrence of fire at boundary. No open burning was noted during field visit and interviewed with local communities and workers.	Comply

Criterion / Indicator		Assessment Findings	Compliance
		Record seen: - "Laporan Pemantauan Kebakaran Lahan" period 1 st Semester 2018 PT Umbul Mas Wisesa, disposed to Agricultural Agency of Labuhanbatu Regency on 9 July 2018. - "Laporan Pemantauan Kebakaran Lahan" period 1 st Semester 2018 PT Toton Usaha Mandiri, disposed to Agricultural Agency of Labuhanbatu Regency on 9 July 2018. - "Laporan Pemantauan Kebakaran Lahan" period 2 nd Semester 2018 PT Umbul Mas Wisesa, disposed to Agricultural Agency of Labuhanbatu Regency on 12 January 2019. - "Laporan Pemantauan Kebakaran Lahan" period 2 nd Semester 2018 PT Toton Usaha Mandiri, disposed to Agricultural Agency of Labuhanbatu Regency on 12 January 2019.	
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 -	No replanting. No open burning was noted for replanting. No use of fire for eradication of pest/disease.	Comply
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 -	The company has identified and estimated carbon stock using RSPO GHG Palm Tool. It was clear that the plantation cultivated on top of peat soil. The 2017 nett GHG emission from peat soil conversion to plantation calculated at 61664.21 tCO ₂ e or 0.35 tCO ₂ e/FFB.	Comply
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 -	Identification of pollutant and mitigation plan, included GHG is documented in "Rencana Pengurangan Emisi Gas Rumah Kaca (GHG Emmission) as defined in procedure of "Mitigasi Gas Rumah Kaca" (ENC/GHG/01). GHG emission identified and Mitigation of GHG. Company plan stipulates to stop further development at company's peat soil.	Comply
Principle 8: Commitment to continual improvement in key areas of activity			

Criterion / Indicator	Assessment Findings	Compliance
<p>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.</p>		
<p>8.1.1</p> <p>The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria.</p> <p>As a minimum, these shall include, but are not necessarily be limited to:</p> <ul style="list-style-type: none"> • Reduction in use of pesticides(Criterion 4.6); • Environmental impacts (Criteria 4.3, 5.1 and 5.2); • Waste reduction (Criterion 5.3); • Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); • Social impacts (Criterion 6.1); • Optimising the yield of the supply base. <p>- Major compliance -</p>	<p>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri has prepared continual improvement plan, for the operational performance and compliance against regulations and other requirements (such as RSPO P&C NI standard).</p> <p>Performance of Umbul Mas Wisesa POM was monitored through regular visit by Director of Engineering in quarterly basis, last visit conducted on 30 October 2018. There were number of findings identified, such as: drain near the sterilizer, boiler operation, old parts and oil at the back of the generators and damaged wheel loader. Record of Director of Engineering visit was available including follow up action.</p> <p>UMW North Estate received visit from Director of Estate Department, on 19 September 2018. There are 13 issues identified for UMW North Estate, e.g. percentage of FFB ripeness, harvesting system, overripe LF and road maintenance. All issues have been followed up by UMWN Estate management.</p> <p>Report of Director of Estate Department to UMW South Estate, dated 18 September 2018. From the visit there are several comments related to use of correct harvesting tools, control of harvesting rounds, OER fluctuation and fiber evacuation. All issues have been followed up by estate management.</p> <p>TUM Estate received visit from Director of Estate Department, on 19 September 2018. There are 8 issues identified for TUM Estate, e.g. percentage of FFB ripeness, harvesting system, overripe LF and road maintenance. All issues have been followed up by TUM Estate management.</p> <p>Internal audit was conducted to checking and monitoring the implementation of company's procedure, RSPO principle and criterion and applicable requirements. The documentation such as:</p> <ul style="list-style-type: none"> - PT. Toton Usaha Mandiri, Visit Report on 8-10 November 2018, there were 36 issues raised for P&C RSPO INA NI. All of the findings have been closed out on December 2018. - PT. Umbul Mas Wisesa North Estate, Visit Report on 8-10 November 2018, there were 44 issues raised for P&C RSPO INA NI. 27 issues have been closed out on December 2018, 17 issues followed up on second week January 2019. <p>Reduction in use of pesticide (C4.6):</p> <ul style="list-style-type: none"> - In UMW North Estate: Regulated spraying training 	<p>Comply</p>

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Criterion / Indicator	Assessment Findings	Compliance
	<p>program. Revise spraying matrix standard (to include Basta – a.i. Ammonium glufosinat). To conduct time and trial motion spraying with method “double circuit”.</p> <ul style="list-style-type: none"> - TUM Estate: Coordinating with Verdant Bioscience related to possible SOP for Ganoderma treatment. <p>Optimising the yield of the supply base:</p> <ul style="list-style-type: none"> - UMW North Estate: Plan to reach 90% FFB normal ripe and <1% FFB under ripe - This have been implemented in 2018. Modifying harvest evacuation system, to send FFB and loose fruit altogether to POM – to strictly implement in 2019. To maintain harvesting round 3x per month – as per KPI. - In TUM Estate: Plan to reach 90% FFB normal ripe and <1% FFB under ripe – in 2018 the under ripe 7-8%. To increase the loose fruit percentage during each FFB delivery to mill, onto 8-10% FFB weight. To ensure all FFB truck installed with loose fruit partition. 	

Appendix B: Approved Time Bound Plan

Name of company	Name of Mill	Location	Supply Base	Time Bound Plan	Target Year for RSPO
PT. Agro Muko	Muko Muko Mill	Mukomuko Regency, Bengkulu Province, Indonesia	Muko Muko estate, S. Betung estate, Tanah rekah estate, Talang Petai estate, S. Kiang estate and KMD	2011	Certified
	Bunga Tanjung Mill	Mukomuko Regency, Bengkulu Province, Indonesia	Bunga Tanjung estate, Air Bikuk estate, Air Buluh estate and KMD	2011	Certified
			PT. Mukomuko Agro Sejahtera: - Air Majunto estate - Malin Deman estate	2014	Certified
PT. Tolan Tiga	Bukit Maradja Mill	Simalungun Regency, North Sumatera, Indonesia	- Bukit Maradja Estate (PT. Eastern Sumatra Indonesia) - Kerasaan Estate (PT. Kerasaan Indonesia) - PT. Timbang Deli Indonesia	2010 2018	Certified May 2010 Certified in 2018 as supply base of Bukit Maradja POM, PT Eastern Sumatra Indonesia
	Perlabian Mill	Labuhan Batu Selatan Regency, North Sumatera, Indonesia	Perlabian estate and Tolan estate.	2010	Certified May 2010
PT. Umbul Mas Wisesa	Umbul Mas Wisesa Mill	Labuhan Batu Selatan Regency, North Sumatera, Indonesia	UMW South estate, UMW North estate and Toton Usaha Mandiri estate	2014	Certified in March 2015
PT. Agro Kati Lama		Musirawas Regency, South Sumatera, Indonesia		2021	developed (It has been RSPO NPP), RSPO public Notification on 31 st March 2014.
PT. Agro Rawas Ulu		Musirawas Regency, South Sumatera, Indonesia		2024	developed (It has been RSPO NPP), RSPO public Notification on 31 st March 2014.
PT. Agro Muara Rupit		Musirawas Regency, South Sumatera, Indonesia		2024	developed (It has been RSPO NPP), RSPO public Notification on 31 st March 2014.
Hargy Oil Palm Limited (HOPL)	Hargy Mill	East of Bialla, West New Britain Province, PNG	Hargy Estate	2009	Certified in April 2009
	Navo Mill	50 Kms East of Bialla, West New Britain Province, PNG	Navo Estate, Bakada Estate and Mengen Estate	2009	Certified in April 2009
	Barema Mill	30 km East of Bialla, West New Britain Province, PNG	Barema Estate	2014	RSPO Certified in April 2014
PT. Dendy Maker Indah Lestari		Musirawas Utara Regency, South Sumatera Province, Indonesia			The most recent acquisition on 1 August 2017. RSPO certified in 2015.

Appendix C: GHG Reporting Executive Summary

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

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

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

Emission per product	tCO ₂ e/tProduct
CPO	10.60
PKO	10.60

Extraction	%
OER	23.78
KER	3.99

Production	t/yr
FFB Process	174,287
CPO Produced	41,448
PKO Produced	6,948

Land Use	Ha
OP Planted Area	8,183.59
OP Planted on peat	8,183.59
Conservation (forested)	0
Conservation (non-forested)	243.69
Total	8,427.28

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	61,664.21	0.35	0	0	0	0	61,664.21	0.35
CO ₂ Emission from fertilizer	9,971.37	0.06	0	0	0	0	9,971.37	0.06
NO ₂ Emmision	69,379.36	0.40	0	0	0	0	69,379.36	0.40
Fuel Consumption	1,036.27	0.01	0	0	0	0	1,036.27	0.01
Peat Oxidation	446,824.02	2.56	0	0	0	0	446,824.02	2.56
Sink								
Crop Sequestration	-76,612.59	-0.44	0	0	0	0	-76,612.59	-0.44
Conservation Sequestration	-412.74	0	0	0	0	0	-412.74	0

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Total	511,849.9	2.94	0	0	0	0	511,849.9	2.94
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**Note: Includes both estates and smallholders*

Summary of Mill Emission and Credit

	tCO ₂ e	tCO ₂ e/tFFB
Emission		
POME	0	0
Fuel Consumption	915.2	0.01
Grid Electricity Utilisation	0	0
Credit		
Export of Grid Electricity	0	0
Sales of PKS	0	0
Sales of EFB	0	0
Total	915.2	0.01

Summary of Kernel Crusher Emission and Credit (if applicable)

Emissions	tCO₂e
PK from own mill	0
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 diversion (%)	100

POME Diverted to Anaerobic Digestion:	
Divert to anaerobic pond (%)	0
Divert to methane captured (flaring) (%)	100
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. Umbul Mas Wisesa – Umbul Mas Wisesa 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 requirements is applicable.	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. Umbul Mas Wisesa – Umbul Mas Wisesa POM is not a trader or distributor. 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.	PT. Umbul Mas Wisesa is subsidiary of SIPEF Group, a member of RSPO, with RSPO membership No.1-0021-05-000-00 since 7 December 2005. RSPO IT Platform account RSPO_PO1000001670.	Yes
5.1.4	Processing aids do not need to be included within an organization’s scope of certification.	PT. Umbul Mas Wisesa – Umbul Mas Wisesa POM does not include any processing aid into scope of certification. Not applicable.	N/A
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.	PT. Umbul Mas Wisesa - UMW POM is certified against RSPO P&C Indonesia National Interpretation, September 2016 and RSPO Supply Chain Certification Standard, November 2014 Module D - CPO Mills: Identity Preserved. UMW POM received certified raw material (Fresh Fruit Bunch) from its	Yes

		<p>own estate:</p> <ul style="list-style-type: none"> - UMW South Estate; - UMW North Estate; - Toton Usaha Mandiri Estate; <p>And independent smallholder of KSU Suka Makmur;</p> <p>The certification of Estates and Scheme Smallholders are fall under PT. Umbul Mas Wisesa - UMW POM with certificate number RSPO 611834, first certification start on 27 March 2015 and expired on 26 March 2020.</p> <p>Management of PT. Umbul Mas Wisesa aware that they can claim their product (CPO and PK) as Identity Preserved or downgrading in the following order Identity Preserved -> Segregated -> Mass Balance.</p>	
5.2.2	The site can use one (1) or a combination of supply chain models as audited and certified by the CB.	<p>PT. Umbul Mas Wisesa - UMW POM uses Module D of RSPO Supply Chain Certification Standard, June 2017. Therefore, Umbul Mas Wisesa POM uses Identity Preserved (IP) as the supply chain model.</p> <p>Based on review of Contract documents, Shipping Instruction, Packing List and Bill of Lading, PT. Umbul Mas Wisesa – UMW POM uses Segregation (SG) as the supply chain model.</p> <p>For shipping by trucking, PT. Umbul Mas Wisesa – UMW POM uses Identity Preserved (IP) as the supply chain model.</p>	Yes
5.3. Documented Procedures			
5.3.1	<p>The site shall have written procedures and/or work instructions or equivalent to ensure the implementation of all elements of the applicable supply chain model specified. This shall include at minimum the following:</p> <ul style="list-style-type: none"> • Complete and up to date procedures covering the implementation of all the elements of the supply chain model requirements. 	<p>Prosedur Rantai Pasok dan Mampu Telusur FFB Smallholder Scheme No.UMWPOM-SOP/OPS/01 rev.03 dated 2 June 2018.</p>	Yes
	<ul style="list-style-type: none"> • Complete and up to date records and reports that demonstrate compliance with the supply chain model requirements (including 	<p>The site has complete and up to date records and reports that demonstrated compliance with the supply chain model requirements.</p>	Yes

	training records).		
	<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. 	The organization has stated in the Job Description that responsible person over the implementation of supply chain and traceability in UMW POM is the Mill Manager, currently held by Mr. T. Dedy Zulkarnain.	Yes
5.3.2	The site shall have a written procedure to conduct annual internal audit to determine whether the organization; i) conforms to the requirements in the RSPO Supply Chain Certification Standard and the RSPO Market Communications and Claims Documents.	Procedure for Internal Audit under Routine Visit and Internal Audit No.ENC-01-02/02-10-2017/rev.0 dated 20 Nov 2017. Under section 1. Objective stated “to ensure that procedures, work instructions, including related documents, are followed and is appropriate to their application to the Sustainability System implemented in the OU.” Further, section 6. Frequency and Timing stated “Internal audits are conducted at least once a year according to the standards referred to.”	Yes
	ii) effectively implements and maintains the standard requirements within its organization	<p>Latest internal audit carried out on 17-20 October 2018, however the internal audit was not covered several clauses:</p> <ul style="list-style-type: none"> - 5.5 Outsourcing activities; - 5.6 Sales and Goods Out; - 5.7 Registration of Transaction; - 5.8 Training - 5.9 Record Keeping - 5.10 Transaction Registration - 5.11 Claims - 5.12 Complaints - 5.13 Management Reviews <p>Major Non-conformity: PT. Umbul Mas Wisesa cannot demonstrate RSPO SCCS 2017 internal audit process was sufficient to justify the implementation of supply chain standard effectively.</p> <p>Root cause: PT. UMW has implemented RSPO SCCS Internal Audit, but not yet</p>	<p>NC Major (1725398-201901-M3) Yes</p>

		<p>included all clauses in the RSPO Supply Chain Certification Standard.</p> <p>Correction/containment:</p> <ul style="list-style-type: none"> - PT. Umbul Mas Wisesa will carry out a re-internal audit to ensure compliance with RSPO SCCS requirements. - Internal audit of RSPO SCCS has been carried out by PT. Umbul Mas Wisesa on 29 -30 January 2019. <p>Corrective action:</p> <p>The implementation of the Internal audit shall be in accordance with company procedures based on RSPO SCCS.</p> <p>Verification:</p> <ul style="list-style-type: none"> - Auditor verified that the company has done re-internal audit on 29-30 January 2019. Internal audit conducted by internal auditor Efri Paryanto and M. Furqon. Internal audit conducted according to RSPO Supply Chain Certification Standard version June 2017, Module D - CPO Mills: Identity Preserved. - Based on Internal Audit Report, scope of internal audit covers Umbul Mas Wisesa Palm Oil Mill and supply bases (company owned estates, UMW South Estate, UMW North Estate and TUM Estate). - All requirements in RSPO Supply Chain Certification Standards version June 2017 has been audited during internal audit including RSPO SCCS General Chain of Custody Requirements clauses: <ul style="list-style-type: none"> o 5.7 Registration of Transaction: status comply; o 5.8 Training: status comply; o 5.9 Record Keeping: status comply; o 5.10 Conversion Factors: status comply; o 5.11 Claims: status comply; o 5.12 Complaints: status comply; o 5.13 Management Reviews: status not comply, reason: management review will be conducted after internal audit. - Management review has been conducted on 1 February 2019 covering all agenda mentioned in clause 5.13.2 and 5.13.3. <p>Major Non-conformity is closed on 5 March 2019.</p>	
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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>Company demonstrated SOP of "Supply Chain and Traceability" (ENC-01-08/20-08-2018/Rev.1). Chapter 5.2 of the procedure indicates the Weighbridge Clerk has responsibility to input data and print "Receiving Slip" based on FFB Delivery Note, covering information e.g. estate name and block number, mill name, date of delivery, product description and quantity, RSPO certificate number, transporter identity and unique identification number.</p> <p>Document FFB Delivery Note and FFB Receiving Slip described identity and location of FFB source and other item required e.g.:</p> <ul style="list-style-type: none"> - FFB Delivery Note No.TUME/009839 dated 17 January 2019; issued by TUM Estate, Division F2; Vehicle BK 9794 YG; Mandor: B. Sinaga; Year of planting 2008, Block: L17 (600 bunches), L16 (232 bunches); stamped as Sustainable Product – IP, RSPO certificate No. RSPO 611834. - FFB Receiving Slip Ticket No.FFB19001053W dated 17 January 2019 issued by UMW POM, Estate: from TUM Estate; Vehicle BK 9794 YG; Transporter: TUM Estate; Product: FFB; DO No.009839; Nett weight: 6.030 MT; stamped as Sustainable Product – IP, RSPO certificate No. RSPO 611834. - FFB Delivery Note No.UMWN/0014031 dated 17 December 2018; issued by UMW North Estate; Vehicle BK 8461 YE; Year of planting 2010, Block: H30 (133 bunches), H29 (1000 bunches); stamped as Sustainable Product – IP, RSPO certificate No. RSPO 611834. - FFB Receiving Slip Ticket No.FFB18024741W dated 17 December 2018 issued by UMW POM, Estate: from UMW North Estate; Vehicle BK 8461 YE; Transporter: TUM Estate; Product: FFB; DO No.0014031; Nett weight: 4.880 MT; stamped as Sustainable Product – IP, RSPO certificate No. RSPO 611834. 	Yes

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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). 	<p>Information shall be complete and can be presented across a range of documents issued for RSPO certified oil palm products such as: FFB Delivery Note and FFB Receiving Slip which described identity and location of FFB source and other item required:</p> <ul style="list-style-type: none"> FFB Delivery Note No.TUME/009839 dated 17 January 2019; issued by TUM Estate, Division F2; Vehicle BK 9794 YG; Mandor: B. Sinaga; Year of planting 2008, Block: L17 (600 bunches), L16 (232 bunches); stamped as Sustainable Product – IP, RSPO certificate No. RSPO 611834. FFB Receiving Slip Ticket No.FFB19001053W dated 17 January 2019 issued by UMW POM, Estate: from TUM Estate; Vehicle BK 9794 YG; Transporter: TUM Estate; Product: FFB; DO No.009839; Nett weight: 6.030 MT; stamped as Sustainable Product – IP, RSPO certificate No. RSPO 611834. FFB Delivery Note No.UMWN/0014031 dated 17 December 2018; issued by UMW North Estate; Vehicle BK 8461 YE; Year of planting 2010, Block: H30 (133 bunches), H29 (1000 bunches); stamped as Sustainable Product – IP, RSPO certificate No. RSPO 611834. <p>FFB Receiving Slip Ticket No.FFB18024741W dated 17 December 2018 issued by UMW POM, Estate: from UMW North Estate; Vehicle BK 8461 YE; Transporter: TUM Estate; Product: FFB; DO No.0014031; Nett weight: 4.880 MT; stamped as Sustainable Product – IP, RSPO certificate No. RSPO 611834.</p>	<p>Yes</p>
<ul style="list-style-type: none"> The site receiving RSPO certified oil palm products shall ensure that the products are verified as being RSPO certified. For sites that are required to announce and confirm trades in the RSPO IT platform, this shall include making Shipping Announcements/Announcements and Confirmations on the RSPO IT platform per shipment or group shipments. Refer to section 5.7.1 of this document for further guidance. 	<p>UMW POM received certified FFB from its own plantation: UMW North Estate, UMW South Estate and PT. Toton Usaha Mandiri Estate.</p>	<p>Yes</p>
<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 	<p>PT. Umbul Mas Wisesa – Umbul Mas Wisesa POM with RSPO P&C Certificate No.RSPO 611834 are certified until 26 March 2020.</p>	<p>Yes</p>

	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.		
	<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. 	PT. Umbul Mas Wisesa – Umbul Mas Wisesa POM is not a trader. The marketing was done by the parent company, SIPEF NV. The marketing agreement between PT. Umbul Mas Wisesa and SIPEF NV was signed on 15 July 2014. The scope of marketing agreement covers appointment and duration, obligation of SIPEF, remuneration, termination and dispute settlement.	Yes
5.4.2	The site shall have a mechanism in place for handling non-conforming oil palm products and/or documents.	The procedure for handling non-conformity follows claim.	Yes
5.5. Outsourcing activities			
5.5.1	<p>In cases where an operation seeking or holding certification outsources activities to independent third parties (e.g. subcontractors for storage, transport or other outsourced activities), the operation seeking or holding certification shall ensure that the independent third party complies with the requirements of the RSPO Supply Chain Certification Standard. A CPO mill and independent mil cannot outsource processing activities like refining or crushing.</p> <p>This requirement is not applicable to outsourced storage facilities where the management of the oil palm product(s) and instructions for tank movements are controlled by the certified organization (not the tank farm manager).</p>	PT. Umbul Mas Wisesa – UMW POM was using transportation for third party transporter to move the CSPO onto tank in PT. Tolan Tiga Indonesia (sister company).	Yes

5.5.2	<p>Sites which include outsourcing within the scope of their RSP0 Supply Chain certificate shall ensure the following:</p> <p>a. The site has legal ownership of all input material to be included in outsourced processes;</p>	<p>PT. Umbul Mas Wisesa – UMW POM having legal ownership of material being transported. PT. Umbul Mas Wisesa – UMW POM made monitoring as per “Checklist Evaluasi Pemenuhan Standard RSP0 untuk Kontraktor”, for CV Tua Gabe inspected on 19 November 2018, CV. Sahabat inspected on 19 November 2018.</p>	Yes
	<p>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>	<p>CV. Angkutan Sahabat provided “Surat Pernyataan” indicating that: “CV. Angkutan Sahabat bersedia mengikuti segala ketentuan terkait dengan prinsip dan kriteria supply chain RSP0” – the company willing to follow all RSP0 Supply Chain requirements and “CV. Angkutan Sahabat bersedia dilakukan audit jika pihak badan sertifikasi memerlukannya” – the company willing to be audited if certification body require. The statement letter signed by Gunawan Ruslan - Director, on 11 January 2018.</p> <p>CV. Tua Gabe provided “Surat Pernyataan” indicating that: “CV.Tua Gabe bersedia mengikuti segala ketentuan terkait dengan prinsip dan kriteria supply chain RSP0” – the company willing to follow all RSP0 Supply Chain requirements and “CV. Tua Gabe bersedia dilakukan audit jika pihak badan sertifikasi memerlukannya” – the company willing to be audited if certification body require. The statement letter signed by Syamsul Bahri Manurung - Director, on 8 January 2018.</p>	Yes
	<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>The procedure for handling third party contractor regulated under “Prosedur Rantai Pasok dan Mampu Telusur FFB Smallholder Scheme No.UMWPOM-SOP/OPS/01 rev.03” dated 2 June 2018.</p>	Yes
	<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>Adendum No.2014/01 for Perjanjian Pengangkutan No.01/Angkutan/CPO/UMW/13 dated 1 September 2014 between PT. Umbul Mas Wisesa and CV. Tua Gabe for CPO Transport.</p> <p>Adendum No.2017/02 for Perjanjian Pengangkutan No.02/Angkutan/CPO/UMW/13 dated 1 January 2017 between PT. Umbul Mas Wisesa and CV. Pengangkutan Sahabat for PK transport.</p>	Yes
5.5.3	<p>The site shall record the names and contact details of all contractors</p>	<p>PT. Umbul Mas Wisesa, UMW POM have recorded names and contact</p>	Yes

	used for the processing or physical handling of RSPO certified oil palm products.	details of all transport contractors: PT. Tua Gabe, CV. Angkutan Sahabat, and Koperasi Serba Usaha Suka Makmur. Example: CV Angkutan Sahabat. Contact: Mr. Gunawan Ruslan. Address: Jl. Petumbukan Dusun III, Jaharun, Deli Serdang, Sumatera Utara Province, Indonesia. CV Tua Gabe. Contact: Mr. Syamsul Bahri Manurung. Address: Jl. Darusallam No.25 Sei Sikambing D, Medan, 20119.	
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.	PT. Umbul Mas Wisesa, UMW POM have recorded names and contact details of all transport contractors: PT. Tua Gabe, CV. Angkutan Sahabat, and Koperasi Serba Usaha Suka Makmur. The list updated on annual basis.	Yes
5.6. Sales and goods out			
5.6.1	<p>The supplying site shall ensure that the following minimum information for RSPO certified products is made available in document form.</p> <ul style="list-style-type: none"> • The name and address of the buyer; • The name and address of the seller; • The loading or shipment/ delivery date; • The date on which the documents were issued; • A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations); • The quantity of the products delivered; • Any related transport documentation; • Supply chain certificate number of the seller; • A unique identification number 	<p>Contract:</p> <ul style="list-style-type: none"> - Kontrak Jual Beli No.2017/UMW-CPO/LTC/29 between PT. Umbul Mas Wisesa and PT. Wilmar Nabati Indonesia dated 11 September 2017 for sales of 1000 MT CPO. - Delivery Order No.2017/PL-UMW-CPO/DO/36 dated 4 December 2017, instruction to hand over 1000 MT CPO (Certified Product RSPO IP- Crude Palm Oil Curah/RSPO IP) based on contract No.2017/UMW-CPO/LTC/29. The 1000 MT CPO will be taken from "CPO milik PT. UMW dari Tangki Timbun No.01 dan 02 di PKS Perlabian" - Invoice No.2017/UMW-OL/LTC/36 dated 4 December 2017, from PT. Umbul Mas Wisesa, Gedung Bank Sumut Lantai 7, Jl. Imam Bonjol No.18 Medan to PT. Wilmar Nabati Indonesia Gedung B & G Lantai 9, Jalan Putri Hijau No.10, Kesawan, Medan Barat, Medan Sumatera Utara 20111 for sales of "Local sales Crude Palm Oil Curah RSPO IP – Contract 2017/UMW-CPO/LTC/29 dd 11 September 2017". - Kontrak Jual Beli No.2018/UMW-PK/10 between PT. Umbul Mas Wisesa and PT. Nubika Jaya dated 31 July 2018 for sales of 500 kg PK RSPO MB. Hand over of 500 MT RSPO MB PK from "loko 	Yes

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		<p>gudang PKS Perlabian". Hand over time August 2018.</p> <ul style="list-style-type: none"> - Delivery Order No.2018/UMW-PK/DO/10 dated 7 August 2018, instruction to hand over 500 MT PK RSPO MB Curah based on contract No.2018/UMW-PK/10 dated 31 July 2018. - Invoice No.2018/UMW-PK/10 dated 7 August 2018, from PT. Umbul Mas Wisesa, Gedung Forum Nine Lantai 10, Suite 1-11, Jl. Imam Bonjol No.9, Petisah Tengah, Medan Petisah, Kota Medan Sumatera Utara 20112 to buyer: PT. Nubika Jaya, Jl. Sultan Iskandar Muda No.107, Kelurahan Babura, Kecamatan Medan Baru for sales "Local Sales 500 MT PK RSPO MB – Contract No.2018/UMW-PK/10 dd 31 July 2018. <p>Despatch slip from UMW POM to PLPOM consist of 52 despatch with total 529.77 MT PK RSPO IP transported on period 14 August – 7 September 2018.</p> <ul style="list-style-type: none"> - Despatch slip No.PK18000386 Umbul Mas Wisesa POM dated 14 August 2018. Destination PT. Tolan Tiga Indonesia-Perlabian POM. Product Palm Kernel. Identification Sustainable Product-IP RSPO Certificate No.RSPO611834. DO No.024/TG/UMW/VIII/2018. Contract No.2018/UMW-PK/10 with type RSPO MB. Transporter CV. Tua Gabe Vehicle No.BK8053YH. Volume dispatched 10.74 MT. - Despatch slip No.PKM18000437W Umbul Mas Wisesa POM dated 7 September 2018. Destination PT. Tolan Tiga Indonesia-Perlabian POM. Product Palm Kernel. Identification Sustainable Product-IP RSPO Certificate No.RSPO611834. DO No.024/TG/UMW/IX/2018. Contract No.2018/UMW-PK/10 with type RSPO MB. Transporter CV. Tua Gabe Vehicle No.BK8201YH. Volume dispatched 10.26 MT. <p>Despatch slip from PLPOM to Buyer consist of 21 despatch with total 500 MT CPO RSPO IP transported on period 14 August – 3 October 2018.</p> <ul style="list-style-type: none"> - Despatch slip No.PK18000169W Umbul Mas Wisesa POM dated 5 September 2018. Buyer PT. Nubika Jaya. Product Palm Kernel. Identification Sustainable Product-IP RSPO Certificate No.RSPO611834. DO No.2018/UMW-PK/DO/10. Contract 	
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		<p>No.2018/UMW-PK/10 with type RSPO MB. Transporter PT. Mulia Berjaya Abadi No.BK8725EL. Volume dispatched 24.140 MT.</p> <ul style="list-style-type: none"> - Sample Despatch Slip No.PK18000149W Umbul Mas Wisesa POM dated 14 August 2018. Buyer PT. Nubika Jaya. Product Palm Kernel. Identification Sustainable Product-IP RSPO Certificate No.RSPO611834. DO No.2018/UMW-PK/DO/10. Contract No.2018/UMW-PK/10 with type RSPO MB. Transporter PT. Mulia Berjaya Abadi No.BK8725EL. Volume dispatched 23.880 MT. - Sample Despatch Slip No.PK18000209W Umbul Mas Wisesa POM dated 3 October 2018. Buyer PT. Nubika Jaya. Product Palm Kernel. Identification Sustainable Product-IP RSPO Certificate No.RSPO611834. DO No.2018/UMW-PK/DO/10. Contract No.2018/UMW-PK/10 with type RSPO MB. Transporter PT. Mulia Berjaya Abadi No.BK8725EL. Volume dispatched 24.920 MT. <p>Note that PT. Mulia Berjaya Abadi is Buyer’s appointed transporter.</p> <ul style="list-style-type: none"> • Name and address of buyer: PT. Wilmar Nabati Indonesia Gedung B & G Lantai 9, Jalan Putri Hijau No.10, Kesawan, Medan Barat, Medan Sumatera Utara 20111. • Name and address of seller: PT. Umbul Mas Wisesa, Gedung Bank Sumut Lantai 7, Jl. Imam Bonjol No.18 Medan. • The loading date: 5 September 2018. • The date on which the documents were issued: 5 September 2018. • A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations): Product Palm Kernel. Identification Sustainable Product-IP. • The quantity of the products delivered: 24.140 MT. • Any related transport documentation: Transporter PT. Mulia Berjaya Abadi No.BK8725EL. • Supply chain certificate number of the seller: RSPO Certificate No. RSPO 611834. • A unique identification number: DO No.2018/UMW-PK/DO/10. 	
	<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 	<p>Information shall be complete and can be presented across a range of documents issued for RSPO certified oil palm products such as:</p>	<p>Yes</p>

	<p>certified oil palm products (for example, delivery notes, shipping documents and specification documentation).</p>	<ul style="list-style-type: none"> • Name and address of buyer: PT. Wilmar Nabati Indonesia Gedung B & G Lantai 9, Jalan Putri Hijau No.10, Kesawan, Medan Barat, Medan Sumatera Utara 20111. • Name and address of seller: PT. Umbul Mas Wisesa, Gedung Bank Sumut Lantai 7, Jl. Imam Bonjol No.18 Medan. • The loading date: 5 September 2018. • The date on which the documents were issued: 5 September 2018. • A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations): Product Palm Kernel. Identification Sustainable Product-IP. • The quantity of the products delivered: 24.140 MT. • Any related transport documentation: Transporter PT. Mulia Berjaya Abadi No.BK8725EL. • Supply chain certificate number of the seller: RSPO Certificate No. RSPO 611834. • A unique identification number: DO No.2018/UMW-PK/DO/10. 	
	<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. Umbul Mas Wisesa – UMW POM made shipping announcement inside PalmTrace transaction:</p> <ul style="list-style-type: none"> - TR-f94e8b01-8cda dated 9 October 2018; buyer PT. Nubika Jaya – Kernel Crushing Plant; Product: CSPK; Quantity 500 MT. - TR-bef43c12-65ca dated 1 October 2018; buyer PT. Wilmar Nabati Indonesia - Pelintung; Product: CSPO; Quantity 1000 MT. 	<p>Yes</p>
<p>5.7. Registration of transactions</p>			
<p>5.7.1</p>	<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. 	<p>PT. Umbul Mas Wisesa – UMW POM is a palm oil mill which takes legal ownership and physically handled RSPO certified sustainable oil palm product (FFB, CSPO and CSPK). RSPO IT Platform account RSPO_PO100000167.</p>	<p>Yes</p>
<p>5.7.2</p>	<p>The involved supply chain actors mentioned in 5.7.1 shall do the</p>	<p>PT. Umbul Mas Wisesa – UMW POM made shipping announcement</p>	<p>Yes</p>

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	<p>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>inside PalmTrace transaction:</p> <ul style="list-style-type: none"> TR-f94e8b01-8cda dated 9 October 2018; buyer PT. Nubika Jaya – Kernel Crushing Plant; Product: CSPK; Quantity 500 MT. TR-bef43c12-65ca dated 1 October 2018; buyer PT. Wilmar Nabati Indonesia - Pelitung; Product: CSPO; Quantity 1000 MT. TR-61a684a2-3633 dated 27 March 2018; buyer Olenex SARL; Product: CSPO; Quantity 499.87 MT. 	
	<ul style="list-style-type: none"> Trace: When RSPO certified volumes are sold as RSPO certified to actors in the supply chain beyond the refinery, the volume shall be traced at least annually. Tracing triggers the generation of a trace document with a unique traceability number. Tracing can be done in a consolidated way at least annually. 	<p>Not applicable for CPO Mills. Not applicable (N/A)</p>	N/A
	<ul style="list-style-type: none"> Remove: RSPO certified volumes sold under other scheme or as conventional, or in case of underproduction, loss or damage shall be removed. 	<p>PT. Umbul Mas Wisesa – UMW POM removed 7.66 MT CSPK from PalmTrace through transaction ST-TR-c95e48d1-49d6 dated 24 September 2018.</p>	Yes
	<ul style="list-style-type: none"> Confirm: Acknowledge the purchase of RSPO certified volume by confirming Shipping Announcements / Announcements. 	<p>PT. Umbul Mas Wisesa – UMW POM did not buy any CSPO and/or CSPK both through physical or credit. Not applicable (N/A)</p>	N/A
5.8. Training			
5.8.1	<p>The organization shall have a training plan on RSPO Supply Chain Standards requirements, which is subject to on-going review and is supported by records of the training provided to staff.</p>	<p>PT. Umbul Mas Wisesa – UMW POM have Scheduled Training Plan for 2019. Training on supply chain planned for November 2019.</p>	Yes
5.8.2	<p>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>	<p>The latest training related to supply chain carried out on 15 November 2018, attended by 22 staff and worker in Umbul Mas Wisesa POM. Sample: Eko Kurniawansyah (Sortasi): Training Supply Chain on 15 November 2018, 29 December 2017, Kriteria dan Standar FFB Grading; 9 December 2018 Training Sortasi FFB; 4 October 2016 Training RSPO SCCS IP; Nurul Padli (Weighbridge) 15 November 2018 Training Supply Chain;</p>	Yes

		1 February 2018 Training Operational Weighbridge; Yusuf Aziz (Mill Assistant) 23 January 2018 Training Internal Calibration and Verification; 12 October 2016 Training Operation and Maintenance Decanter	
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.	PT. Umbul Mas Wisesa – UMW POM maintains accurate, complete, up-to-date and accessible records and reports covering all aspects of RSPO Supply Chain Certification Standard requirements.	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.	PT. Umbul Mas Wisesa – UMW POM have determined the retention time for all records and reports related to implementation of RSPO SCCS in “Daftar Induk Masa Simpan Dokumen” dated 18 September 2017: <ul style="list-style-type: none"> - Dokumen terkait Traceability 5 years; - FFB receiving report 5 years; - Weighbridge ticket for CPO and PK 5 years; - Weighbridge ticket for FFB receipt 5 years; - Delivery Order from Marketing Department for CPO and PK 5 years; - Monthly Progress Report 5 years; - Production Report, Despatch CPO & PK 5 years; - Mill Processing Data 5 years; - Processing Daily Report 5 years; - Surat Pengantar FFB 5 years. 	Yes
5.9.3	The organization shall be able to provide the estimate volume of palm oil/palm kernel oil content (separate categories) in the RSPO certified oil palm product and keep an up to date record of the volume purchased (input) and claimed (output) over a period of twelve (12) months.	PT. Umbul Mas Wisesa – UMW POM is able to provide estimate volume of CPO and PK in a year period as in “Budget Produksi Bulanan” consists estimate of FFB receiving from UMW South Estate, UMW North Estate, TUM Estate and Smallholders (KMD and Koperasi). Forecast of FFB volume received and processed in Umbul Mas Wisesa POM for period March 2019 to February 2020 is 208,928 MT. Estimated volume for CPO is 50,143 MT and estimated volume for PK is 8,257 MT.	Yes

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.	Conversion rate is applied to provide reliable estimation of CPO and PK produced. For period March 2018 to February 2019, the forecast for conversion from FFB into CPO is 24.00%, whilst from FFB to PK is 4.00%. For period March 2019 to February 2020, the forecast for conversion from FFB into CPO is 24.00 %, whilst from FFB to PK is 4.00%. PT. Umbul Mas Wisesa – UMW POM reported the conversion factors based on averaged actual monthly OER and KER.	Yes																																													
5.10.2	Conversion rates shall be periodically updated to ensure accuracy against actual performance or industry average if appropriate.	The actual conversion rates in form of Oil Extraction Rates (OER) and Kernel Extraction Rates (KER) are monitored on daily basis through sounding result and documented in Daily Production Report. The actual OER and KER updated on each month: <table border="1" data-bbox="1137 842 1657 1302"> <thead> <tr> <th>Month</th> <th>OER (%)</th> <th>KER (%)</th> </tr> </thead> <tbody> <tr><td>Jan 2018</td><td>24.58</td><td>4.07</td></tr> <tr><td>Feb 2018</td><td>24.62</td><td>4.06</td></tr> <tr><td>Mar 2018</td><td>24.66</td><td>4.04</td></tr> <tr><td>Apr 2018</td><td>24.78</td><td>3.86</td></tr> <tr><td>May 2018</td><td>23.77</td><td>3.89</td></tr> <tr><td>Jun 2018</td><td>23.55</td><td>3.77</td></tr> <tr><td>Jul 2018</td><td>23.77</td><td>3.73</td></tr> <tr><td>Aug 2018</td><td>23.86</td><td>3.84</td></tr> <tr><td>Sep 2018</td><td>23.72</td><td>4.06</td></tr> <tr><td>Oct 2018</td><td>24.23</td><td>4.06</td></tr> <tr><td>Nov 2018</td><td>23.46</td><td>3.99</td></tr> <tr><td>Dec 2018</td><td>23.38</td><td>3.57</td></tr> <tr><td>Jan 2019</td><td>24.69</td><td>3.48</td></tr> <tr><td>Feb 2019</td><td>23.86</td><td>4.06</td></tr> </tbody> </table>	Month	OER (%)	KER (%)	Jan 2018	24.58	4.07	Feb 2018	24.62	4.06	Mar 2018	24.66	4.04	Apr 2018	24.78	3.86	May 2018	23.77	3.89	Jun 2018	23.55	3.77	Jul 2018	23.77	3.73	Aug 2018	23.86	3.84	Sep 2018	23.72	4.06	Oct 2018	24.23	4.06	Nov 2018	23.46	3.99	Dec 2018	23.38	3.57	Jan 2019	24.69	3.48	Feb 2019	23.86	4.06	Yes
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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.	PT. Umbul Mas Wisesa – UMW POM has not made any claim regarding the use of or support of RSPO certified oil palm products. The organization has good understanding on the RSPO Rules on Market Communications and Claims.	Yes
General corporate communications			
4.1	A corporate communication is one made by any RSPO member that highlights its membership of the RSPO and/or its commitment to the principles of the RSPO. Corporate communication is an 'off-product' claim.	PT. Umbul Mas Wisesa – UMW POM is a subsidiary of RSPO registered member, SIPEF Group. SIPEF Group, the parent company of PT. Umbul Mas Wisesa – UMW POM is highlighting its commitment to the principles of RSPO – therefore making an off product communication. The corporate communication of SIPEF Group can be seen in the corporate website: www.sipecf.com .	Yes
4.2	In corporate communications a member is allowed to: a. Display its RSPO membership status b. Display the RSPO web address (www.rspo.org) c. State that the member supports the work of the RSPO d. State the member’s history with regard to the RSPO. e. Use the RSPO trademark to promote its membership of the RSPO. Additionally, where an RSPO member displays the RSPO trademark in digital format this must be accompanied by the text 'Check our progress at www.rspo.org ' where the link must lead to the member’s profile page.	Corporate communication in SIPEF Group website: a. Display its RSPO membership status: No, SIPEF did not display its RSPO membership status. b. Display the RSPO web address: Not in direct manner. SIPEF made a link to RSPO website. c. State the member supports the work of the RSPO: Not in direct manner. In the website, SIPEF wrote "We believe in a landscape approach to new oil palm developments, guided by the methodology endorsed by the RSPO". d. State the member’s history with regards to the RSPO: No. SIPEF did not state their history with regards to the RSPO. e. Use of RSPO Trademark to promote its membership of the RSPO: No, SIPEF did not use RSPO trademark in its corporate communication such in website.	Yes
4.3	In corporate communications RSPO members must not make any statement that may lead consumers to believe that RSPO membership by itself implies the selling of RSPO-certified oil palm products.	No, SIPEF did not display its RSPO membership status. It is clear that the statement did not 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	No, SIPEF did not display its RSPO membership status. It is clear that the statement are clear and did not mislead consumers	Yes

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	cannot mislead consumers or other stakeholders as to the certified content of oil palm products in the member's own products.	or other stakeholders as to the certified content of oil palm products in the SIPEF's own products.	
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.	No, SIPEF Group did not display the RSPO Corporate Logo in the website as well as in the correspondence letter.	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. Umbul Mas Wisesa – UMW POM stating RSPO IP/SG/MB in the sales document based on buyer requirement. The RSPO SG notation adhere to the requirements of RSPO SCCS. PT. Umbul Mas Wisesa – UMW POM is certified against RSPO P&C and comply to the RSPO SCCS for CPO Mills – Module D: Identity Preserved. All of the palm oil mills managed to demonstrate integrity of supply chain against the identity preserved system. During sales of CSPO and CSPK, PT. Umbul Mas Wisesa – UMW POM made clear the product is Segregated. Because at the point of shipping, all identity preserved oil palm product have been mixed between Certificate Holder's palm oil mills.	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.	PT. Umbul Mas Wisesa – UMW POM stating RSPO IP/SG/MB in the sales document based on buyer requirement. The RSPO SG notation adhere to the requirements of RSPO SCCS. PT. Umbul Mas Wisesa – UMW POM is certified against RSPO P&C and comply to the RSPO SCCS for CPO Mills – Module D: Identity Preserved. All of the palm oil mills managed to demonstrate integrity of supply chain against the identity preserved system. During sales of CSPO and CSPK, PT. Umbul Mas Wisesa – UMW POM made clear the product is Segregated. Because at the point of shipping, all identity preserved oil palm product have been mixed between Certificate Holder's palm oil mills.	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	PT. Umbul Mas Wisesa – UMW POM is not a distributor or wholesaler, the site is a Palm Oil Mill that process FFB into CPO and PK. Not Applicable.	N/A

	<p>the product to the manufacturer using the manufacturer’s SCCS certificate number. This covers both brand and own brand products. However, in the case of own brand products it is essential that customers are aware that the product has been made on behalf of the distributor or wholesaler, with specific evidence either through on-pack claims or documentation.</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. Umbul Mas Wisesa – UMW POM is a Palm Oil Mill that process FFB into CPO and PK. The site sold its product in bulk, no product label attached.</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. Umbul Mas Wisesa – UMW POM is an RSPO certificate holder with certificate number RSPO 611834 valid until 26 March 2020. 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. Umbul Mas Wisesa – UMW POM is an RSPO certificate holder with certificate number RSPO 611834 valid until 26 March 2020. 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
6.3	<p>When on-pack claims on RSPO-certified sustainable oil palm products are used, the RSPO trademark and associated identification number must be present.</p>	<p>PT. Umbul Mas Wisesa – UMW POM sold its oil palm product in bulk, no product pack are used.</p> <p>Not applicable.</p>	N/A

6.4	Business to consumer communication shall not include information about the claimant’s RSPO membership status.	PT. Umbul Mas Wisesa – UMW 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. Umbul Mas Wisesa – UMW POM is certified RSPO P&C, selling CSPO and CSPK. PT. Umbul Mas Wisesa – UMW POM and the parent compant - SIPEF 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. Umbul Mas Wisesa – UMW 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. Umbul Mas Wisesa – UMW 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 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 .	PT. Umbul Mas Wisesa – UMW POM is not a retailer or food service company. Not applicable.	N/A

MODULE A – IDENTITY PRESERVED & SEGREGATED SPECIFIC RULES

Auditor Hint:			
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			
Certified oil palm content (IP)			
	For IP, 95% or above of the oil palm content must be RSPO IP-certified.	PT. Umbul Mas Wisesa – UMW POM did not received FFB from non-certified source, therefore implement Module D – Identity Preserved (IP).	Comply
	For SG, 95% or above of the oil palm content must be SG, or a combination of SG and IP.	PT. Umbul Mas Wisesa – UMW POM did not received FFB from non-certified source, therefore implement Module D – Identity Preserved (IP).	Comply
	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.	PT. Umbul Mas Wisesa – UMW POM did not received FFB from non-certified source, therefore implement Module D – Identity Preserved (IP).	Comply
Labelling and trademark (IP)			
	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 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.	PT. Umbul Mas Wisesa – UMW POM did not received FFB from non-certified source, therefore implement Module D – Identity Preserved (IP). However, PT. Umbul Mas Wisesa – UMW POM did not use on-product labelling/RSPO trademark. Not Applicable.	N/A
Messaging (IP)			
	Messaging ALLOWED in storytelling in product-related communications	PT. Umbul Mas Wisesa – UMW POM did not received FFB from non-	N/A

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	<p>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. 	<p>certified source, therefore implement Module D – Identity Preserved (IP). However, PT. Umbul Mas Wisesa – UMW POM did not use on-product labelling/RSPO trademark. Not Applicable.</p>	
<p>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</p>			
<p>Minimum Mass Balance content (MB)</p>			
	<p>95% or above of the oil palm content must be RSPO MB-certified.</p>	<p>PT. Umbul Mas Wisesa – UMW POM did not received FFB from non-certified source, therefore implement Module D – Identity Preserved (IP). PT. Umbul Mas Wisesa – UMW POM did not implement Module E – Mass Balance (MB). Not Applicable.</p>	<p>Comply</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 non-certified volume must be covered by equivalent volume of RSPO Credits.</p>	<p>PT. Umbul Mas Wisesa – UMW POM did not received FFB from non-certified source, therefore implement Module D – Identity Preserved (IP). PT. Umbul Mas Wisesa – UMW POM did not implement Module E – Mass Balance (MB). Not Applicable.</p>	<p>Comply</p>

Labelling and trademark (MB)			
	<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. Umbul Mas Wisesa – UMW POM does not process non-certified FFB, therefore the applicable RSPO SCC model is Module D - CPO Mills: Identity Preserved. Not applicable.</p>	<p>N/A</p>
Messaging (MB)			
	<p>Messaging ALLOWED in storytelling in product-related communications includes:</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 	<p>PT. Umbul Mas Wisesa – UMW POM does not process non-certified FFB, therefore the applicable RSPO SCC model is Module D - CPO Mills: Identity Preserved. Not applicable.</p>	<p>N/A</p>

	<p>product reflects an equivalent volume of palm oil or palm kernel oil produced by RSPO certified mills and plantations.</p> <ul style="list-style-type: none"> • 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. Umbul Mas Wisesa – UMW POM does not process non-certified FFB, therefore the applicable RSPO SCC model is Module D - CPO Mills: Identity Preserved. 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'. • 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. 	<p>PT. Umbul Mas Wisesa – UMW POM does not process non-certified FFB, therefore the applicable RSPO SCC model is Module D - CPO Mills: Identity Preserved. Not applicable.</p>	<p>N/A</p>
<p>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: 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	PT. Umbul Mas Wisesa – UMW POM does not process non-certified FFB, therefore the applicable RSPO SCC model is Module D - CPO Mills: Identity Preserved. Not applicable.	N/A
	Where one supply chain model accounts for 95% of the oil palm content, the claim for this specific model may be made: 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	PT. Umbul Mas Wisesa – UMW POM does not process non-certified FFB, therefore the applicable RSPO SCC model is Module D - CPO Mills: Identity Preserved. 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.	Available under Procedure Customers Complaints Handling No.MKT-03-02/02-10-2017/Rev.0 dated 21 November 2017. The steps consist of receiving complaints, review buyer complaint, accept/reject complaint, proceed with payment according to approved agreement, inform the buyer and accept of reject decision. Based on interview with marketing staff, Mr. Irzal, throughout 2018, there is no complaint received against PT. Umbul Mas Wisesa.	Comply
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.	CH refer to Procedure Management Review, No.QTD-02-04/02-10-2017/Rev.0 dated 6 November 2017. The procedure stated the purpose is a regular analysis of the management system by top management. Section 6. Frequency and Timing stated the management review carried out once a year. The latest management review carried out on 5 December 2018.	Comply
5.13.2	The input to management review shall include information on:	Inside the format for Management Review Report template, indicated that the agenda to be discuss during management review: last	NC-Major

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<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>management review action plan, context of the organization (department), feedback from the department beneficiaries & other interested parties, objective & product quality achievement, process performance and conformity of product, improvement ticket and result, monitoring and performance result, external assessment summary, assessment result, performance of external supplier, adequacy of resources, effectiveness of action taken and opportunity for improvement.</p> <p>The latest management review carried out on 5 December 2018. The management review input discussing: internal audit result and the corrective action being implemented.</p> <p>Major Non-conformity: Certificate holder has not includes information on customer feedback, follow up actions from management reviews, changes that could affect the management system, recommendation for improvement – as input during RSPO SCCS management review.</p> <p>The latest management review carried out on 5 December 2018. The management review input discussing: internal audit result and the corrective action being implemented.</p> <p>Certificate holder has not includes information on customer feedback, follow up actions from management reviews, changes that could affect the management system, recommendation for improvement – as input during RSPO SCCS management review.</p> <p>Root cause: PT. UMW has been implemented Management Review, however not includes information on customer feedback, follow up actions from management reviews, changes that could affect the management system, recommendation for improvement.</p> <p>Correction/containment: The Management Review was conducted on 1 February 2019 to review results of the internal audit conducted on January 29-30, 2019. The management review included all information based on the</p>	<p>(1725398- 201901-M4) Yes</p>
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		<p>RSPO SCCS 5.13.2.</p> <p>Corrective action: Implement Review Management based on internal audit results in accordance with RSPO SCCS requirements in coordination with:</p> <ul style="list-style-type: none"> - Marketing Department: to review information related to stock volume and sales volume, customer handling complaints and other related matters - Quality Department: to review information regarding changes of SOP related to RSPO SCCS. <p>Verification:</p> <ul style="list-style-type: none"> - Auditor verified that Management Review has been conducted on 1 February 2019, attended by all key personnel involved in RSPO SCCS implementation including Mill Manager, Mill Head Assistant, Mill Assistant and Office Assistant. - The input of Management Review has include: <ul style="list-style-type: none"> • Results of internal audits covering RSPO Supply Chain Certification Standard: findings of internal audit at UMW POM dated 17-20 October 2018; findings of RSPO ASA4 PT Umbul Mas Wisesa dated 15-16 January 2019; findings of Re-Internal Audit at UMW POM dated 29-30 January 2019. • Customer feedback: based on customer survey conducted by Marketing Department, there was no complaint against sales of CPO and PK from UMW POM. • Status of preventive and corrective actions: all findings have been discussed during this management review, all findings have been corrected and have been closed. • Follow-up actions from management reviews: follow up of management review are attached in Corrective Action of internal and external audit findings. • Changes that could affect the management system: there has been revision of SOP regarding Supply Chain System (Supply Chain and Traceability of Palm Product), ENC 01-08/20-08-2018/Rev.1, change are related to title of SOP; record control 	
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		<p>and keeping related production process in mill with 5 years retention period or stated by OU; records can be kept in soft or hard copy; control of non-conforming product are referring to SOP of Marketing Department; internal monitoring; monitoring to contractors; monitoring of certification validity; revision of SOP Customer Complaint handling (MKT-03-02/26-04-2018/rev.1) related to records of customer complaints; customer complaints clarification mechanism; records and analysis of customer complaints.</p> <ul style="list-style-type: none"> • Recommendations for improvement: the next management review covers all operational units which related in RSPO SCCS implementation of PT Umbul Mas Wisesa (Marketing Department, Perlarian POM and Bulking Storage in Dumai. <p>Major Non-conformity is closed on 5 March 2019.</p>	
5.13.3	<p>The output from the management review shall include any decisions and actions related to:</p> <ul style="list-style-type: none"> • Improvement of the effectiveness of the management system and its processes. • Resource needs. 	<p>The latest management review carried out on 5 December 2018. The management review input discussing: internal audit result and the corrective action being implemented - addressing improvement of the effectiveness of the management system and its processes, and resources needs – as output of management review.</p>	Comply

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.	<p>Management decided PT. Umbul Mas Wisesa – UMW POM to implement RSPO Supply Chain Module D CPO Mills: Identity Preserved. With the implementation of Module D CPO Mills: Identity Preserved, the POM only received and process FFB from certified company-owned estate and certified Koperasi Serba Usaha.</p> <p>PT. Umbul Mas Wisesa – UMW POM implemented the procedure of supply chain and traceability based on The procedure is "Supply Chain and Traceability" (ENC-01-08/20-08-2018/Rev.1). Procedure completed with the flow diagram of FFB receiving, processing in POM, CPO shipping to tank terminal; Receiving and shipping of CPO from tank terminal. Person responsible for implementation of RSPO Supply Chain standard at the POM is the Mill Manager.</p>	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.	<p>The estimate annual tonnage for certified FFB, CPO and PK are available in the Estate and Mill annual production budget for 12 months since last surveillance assessment. The FFB tonnage received from all certified supply bases. PT. Umbul Mas Wisesa – UMW POM received certified raw material (Fresh Fruit Bunch) from its own estate:</p> <ul style="list-style-type: none"> - UMW North Estate; - UMW South Estate; - PT. Toton Usaha Mandiri (TUM) Estate; <p>and from the Independent Smallholders:</p> <ul style="list-style-type: none"> - Koperasi Serba Usaha Suka Makmur (KSU Suka Makmur) – certified No.RSPO 687965; <p>The certification of KSU Suka Makmur are fall under PT. Umbul Mas</p>	Yes

		Wisesa – UMW POM.	
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. Umbul Mas Wisesa is a subsidiary of SIPEF Group, which is a member of RSPO with membership number 1-0021-05-000-00, since 7 December 2005. PT. Umbul Mas Wisesa – UMW POM has been registered in RSPO IT Platform with registered ID number RSPO_PO1000001670.	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;	Prosedur Rantai Pasok dan Mampu Telusur FFB Smallholder Scheme No.UMWPOM-SOP/OPS/01 rev.03 dated 2 June 2018.	Yes
	b. The role of the person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the site’s procedures for the implementation of this standard.	The organization has stated in the Job Description that responsible person over the implementation of supply chain and traceability in UMW POM is the Mill Manager, currently held by Mr. T. Dedy Zulkarnain.	Yes
D.3.2	The site shall have documented procedures for receiving and processing certified FFBs.	PT. Umbul Mas Wisesa – UMW POM has a written procedures and/work instruction for ensuring the implementation of RSPO Supply Chain Standard. The procedure are complete and up to date covering the implementation of all elements in the supply chain requirements, including Process at Palm Oil Mill, covers FFB and Loose fruit receiving, identification, production process, delivery of product and recording.	Yes
D.4 Purchasing and goods in			
D.4.1	The site shall verify and document the tonnage and sources of certified FFBs received.	PT. Umbul Mas Wisesa – UMW POM has ensured that certified FFB received are RSPO certified based on the source of FFB. These FFB source are certified under PT. Umbul Mas Wisesa – UMW POM	Yes

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		<p>certificate (RSPO 611438). Based on interview with weighbridge clerk and FFB receiving station, PT. Umbul Mas Wisesa – UMW POM received certified raw material (Fresh Fruit Bunch) from its own estate:</p> <ul style="list-style-type: none"> - UMW North Estate; - UMW South Estate; - PT. Toton Usaha Mandiri (TUM) Estate; <p>and from the Independent Smallholders:</p> <ul style="list-style-type: none"> - Koperasi Serba Usaha Suka Makmur (KSU Suka Makmur) – certified No.RSPO 687965; <p>There is no FFB received from other source.</p> <p>PT. Umbul Mas Wisesa – UMW POM has demonstrated SOP of “Supply Chain and Traceability” (ENC-01-08/20-08-2018/Rev.1). Chapter 5.2 of the procedure indicates the Weighbridge Clerk has responsibility to input data and print “Receiving Slip” based on FFB Delivery Note, covering information e.g. estate name and block number, mill name, date of delivery, product description and quantity, RSPO certificate number, transporter identity and unique identification number. Document FFB Delivery Note and FFB Receiving Slip described identity and location of FFB source and other item required e.g.:</p> <ul style="list-style-type: none"> - FFB Delivery Note No.TUME/009839 dated 17 January 2019; issued by TUM Estate, Division F2; Vehicle BK 9794 YG; Mandor: B. Sinaga; Year of planting 2008, Block: L17 (600 bunches), L16 (232 bunches); stamped as Sustainable Product – IP, RSPO certificate No. RSPO 611834. - FFB Receiving Slip Ticket No.FFB19001053W dated 17 January 2019 issued by UMW POM, Estate: from TUM Estate; Vehicle BK 9794 YG; Transporter: TUM Estate; Product: FFB; DO No.009839; Nett weight: 6.030 MT; stamped as Sustainable Product – IP, RSPO certificate No. RSPO 611834. - FFB Delivery Note No.UMWN/0014031 dated 17 December 2018; issued by UMW North Estate; Vehicle BK 8461 YE; Year of planting 2010, Block: H30 (133 bunches), H29 (1000 bunches); stamped as Sustainable Product – IP, RSPO certificate No. RSPO 	
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		<p>611834.</p> <ul style="list-style-type: none"> - FFB Receiving Slip Ticket No.FFB18024741W dated 17 December 2018 issued by UMW POM, Estate: from UMW North Estate; Vehicle BK 8461 YE; Transporter: TUM Estate; Product: FFB; DO No.0014031; Nett weight: 4.880 MT; stamped as Sustainable Product – IP, RSPO certificate No. RSPO 611834. 	
D.4.2	The site shall inform the CB immediately if there is a projected overproduction of certified tonnage.	<p>PT. Umbul Mas Wisesa – UMW POM has demonstrated SOP of “Supply Chain and Traceability” (ENC-01-08/20-08-2018/Rev.1). The procedure explains Marketing Department in coordination with ENC Department to report any projected overproduction.</p> <p>During this annual surveillance assessment, PT. Umbul Mas Wisesa – UMW POM was not over sold the CPO and PK production.</p>	Yes
D.5 Record keeping			
D.5.1	<p>The site shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a real-time basis.</p> <p><i>IP Mill must report on real time basis.</i></p>	<p>PT. Umbul Mas Wisesa – UMW POM has implemented a supply chain and traceability procedure under procedure “Supply Chain and Traceability” (ENC-01-08/20-08-2018/Rev.1). The procedure explains all aspects of supply chain and traceability scope in PT. Umbul Mas Wisesa, starting from FFB harvesting, harvest recording and delivery to Palm Oil Mill, FFB receiving and processing in Palm Oil Mill, CPO and PK production and reporting, CPO and PK dispatch from Palm Oil Mill and receiving in storage tank for export, Shipping instruction and preparation, CPO stock balancing post-shipping.</p> <p>Sample of FFB receiving:</p> <ul style="list-style-type: none"> - FFB Delivery Note No.TUME/009839 dated 17 January 2019; issued by TUM Estate, Division F2; Vehicle BK 9794 YG; Mandor: B. Sinaga; Year of planting 2008, Block: L17 (600 bunches), L16 (232 bunches); stamped as Sustainable Product – IP, RSPO certificate No. RSPO 611834. - FFB Receiving Slip Ticket No.FFB19001053W dated 17 January 2019 issued by UMW POM, Estate: from TUM Estate; Vehicle BK 9794 YG; Transporter: TUM Estate; Product: FFB; DO No.009839; Nett weight: 6.030 MT; stamped as Sustainable Product – IP, RSPO 	Yes

		<p>certificate No. RSPO 611834.</p> <p>Evidence seen:</p> <ul style="list-style-type: none"> - Kontrak Jual Beli No.2018/UMW-PK/10 between PT. Umbul Mas Wisesa and PT. Nubika Jaya dated 31 July 2018 for sales of 500 kg PK RSPO MB. Hand over of 500 MT RSPO MB PK from "loko gudang PKS Perlabian". Hand over time August 2018. - Delivery Order No.2018/UMW-PK/DO/10 dated 7 August 2018, instruction to hand over 500 MT PK RSPO MB Curah based on contract No.2018/UMW-PK/10 dated 31 July 2018. - Invoice No.2018/UMW-PK/10 dated 7 August 2018, from PT. Umbul Mas Wisesa, Gedung Forum Nine Lantai 10, Suite 1-11, Jl. Imam Bonjol No.9, Petisah Tengah, Medan Petisah, Kota Medan Sumatera Utara 20112 to buyer: PT. Nubika Jaya, Jl. Sultan Iskandar Muda No.107, Kelurahan Babura, Kecamatan Medan Baru for sales "Local Sales 500 MT PK RSPO MB – Contract No.2018/UMW-PK/10 dd 31 July 2018. <p>Despatch slip from UMW POM to PLPOM consist of 52 despatch with total 529.77 MT PK RSPO IP transported on period 14 August – 7 September 2018.</p> <ul style="list-style-type: none"> - Despatch slip No.PK18000386 Umbul Mas Wisesa POM dated 14 August 2018. Destination PT. Tolan Tiga Indonesia-Perlabian POM. Product Palm Kernel. Identification Sustainable Product-IP RSPO Certificate No.RSPO611834. DO No.024/TG/UMW/VIII/2018. Contract No.2018/UMW-PK/10 with type RSPO MB. Transporter CV. Tua Gabe Vehicle No.BK8053YH. Volume dispatched 10.74 MT. - Despatch slip No.PKM18000437W Umbul Mas Wisesa POM dated 7 September 2018. Destination PT. Tolan Tiga Indonesia-Perlabian POM. Product Palm Kernel. Identification Sustainable Product-IP RSPO Certificate No.RSPO611834. DO No.024/TG/UMW/IX/2018. Contract No.2018/UMW-PK/10 with type RSPO MB. Transporter CV. Tua Gabe Vehicle No.BK8201YH. Volume dispatched 10.26 MT. <p>Despatch slip from PLPOM to Buyer consist of 21 despatch with total 500 MT CPO RSPO IP transported on period 14 August – 3 October</p>	
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		<p>2018.</p> <ul style="list-style-type: none"> - Despatch slip No.PK18000169W Umbul Mas Wisesa POM dated 5 September 2018. Buyer PT. Nubika Jaya. Product Palm Kernel. Identification Sustainable Product-IP RSPO Certificate No.RSPO611834. DO No.2018/UMW-PK/DO/10. Contract No.2018/UMW-PK/10 with type RSPO MB. Transporter PT. Mulia Berjaya Abadi No.BK8725EL. Volume dispatched 24.140 MT. - Sample Despatch Slip No.PK18000149W Umbul Mas Wisesa POM dated 14 August 2018. Buyer PT. Nubika Jaya. Product Palm Kernel. Identification Sustainable Product-IP RSPO Certificate No.RSPO611834. DO No.2018/UMW-PK/DO/10. Contract No.2018/UMW-PK/10 with type RSPO MB. Transporter PT. Mulia Berjaya Abadi No.BK8725EL. Volume dispatched 23.880 MT. - Sample Despatch Slip No.PK18000209W Umbul Mas Wisesa POM dated 3 October 2018. Buyer PT. Nubika Jaya. Product Palm Kernel. Identification Sustainable Product-IP RSPO Certificate No.RSPO611834. DO No.2018/UMW-PK/DO/10. Contract No.2018/UMW-PK/10 with type RSPO MB. Transporter PT. Mulia Berjaya Abadi No.BK8725EL. Volume dispatched 24.920 MT. Note that PT. Mulia Berjaya Abadi is Buyer’s appointed transporter. <p>It was noted that all documents, covering all aspects of RSPO Supply Chain Certification Standard requirements are accurate, complete, up-to-date and accessible records and reports.</p>	
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 from non- certified oil palm product including during transport and storage to strive for 100% separation.	PT. Umbul Mas Wisesa – UMW POM did not receive any non-certified FFB. Therefore, no non-certified FFB being entered the process, no non-certified CPO and PK being produced, no non-certified product being dispatched. Storage tank for CPO dedicated only for certified oil. Silo for PK used to store certified product only.	Yes

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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	March 2018	13,895.68	-	13,895.68
2	April 2018	14,693.63	-	14,693.63
3	May 2018	17,191.40	-	17,191.40
4	June 2018	11,072.73	-	11,072.73
5	July 2018	19,056.82	-	19,056.82
6	August 2018	17,719.28	-	17,719.28
7	September 2018	15,924.10	-	15,924.10
8	October 2018	16,011.37	-	16,011.37
9	November 2018	12,926.43	-	12,926.43
10	December 2018	9,542.62	-	9,542.62
TOTAL		148,034.06	-	148,034.06

B. Monthly Records of Certified CPO & PK since the last audit			
No.	Month - Year	Certified CPO (mt)	Certified PK (mt)
1	March 2018	3,409.32	558.23
2	April 2018	3,666.00	571.56
3	May 2018	3,941.18	645.90
4	June 2018	2,655.90	425.08
5	July 2018	4,591.97	721.29
6	August 2018	4,033.78	649.30
7	September 2018	4,002.96	684.87
8	October 2018	3,880.34	649.95
9	November 2018	3,031.01	515.23
10	December 2018	2,256.85	345.07
TOTAL		35,469.31	5,766.48

C. Records of Certified CPO & PK Sold under PalmTrace to Buyers since the last audit (if any)				
Date	Buyers Name	Palmtrace Trading License Number	Certified CPO Sold (mt)	Certified PK Sold (mt)

19 March 2018	PT Multimas Nabati Asahan	TR-055a9bf2-ba40		500
27 March 2018	Olenex Sàrl	TR-61a684a2-3633	499.87	
27 March 2018	Olenex Sàrl	TR-1d236ee7-8a79	500	
10 April 2018	PT. Musim Mas - KIM 1	TR-6a543db0-28ba		300
12 April 2018	Olenex Sàrl	TR-5fc8ca02-3f78	499.95	
30 May 2018	Olenex Sàrl	TR-5cd5405d-ea6e	500	
30 May 2018	Olenex Sàrl	TR-2708314f-6797	500	
30 May 2018	Olenex Sàrl	TR-3973e85f-9ddd	500	
30 May 2018	Olenex Sàrl	TR-78410f49-bb64	500	
30 May 2018	Olenex Sàrl	TR-44d9a84f-72a5	500	
30 May 2018	Olenex Sàrl	TR-0dcf536b-6146	500	
30 May 2018	Olenex Sàrl	TR-3400990d-3ac0	500	
30 May 2018	Olenex Sàrl	TR-f78c8539-4191	1,000	
30 May 2018	Olenex Sàrl	TR-cb5f5dd9-fa6d	349.87	
30 May 2018	Olenex Sàrl	TR-7cd829cf-ae4	649.97	
11 June 2018	Olenex Sàrl	TR-e4a6c2e9-e501	200	
11 June 2018	Olenex Sàrl	TR-11866aab-0435	2,000	
11 June 2018	Olenex Sàrl	TR-0c9294db-9003	199.98	
30 August 2018	PT. Wilmar Nabati Indonesia – Pelintung	TR-ee26c8f3-87f6	1,000	
30 August 2018	PT. Wilmar Nabati Indonesia – Pelintung	TR-2feb2503-5038	1,000	
30 August 2018	PT. Wilmar Nabati Indonesia – Pelintung	TR-15e4d3df-ad9d	1,000	
6 September 2018	PT. Wilmar Nabati Indonesia - Pelintung	TR-3bbf0adc-6c57	1,000	
23 September 2018	Olenex Sàrl	TR-63b7cc66-ba0c	1,000	
23 September 2018	Olenex Sàrl	TR-073ef2ee-0e61	1,999.94	
23 September 2018	Olenex Sàrl	TR-93faf5e0-2e2f	500	
23 September 2018	Olenex Sàrl	TR-4b90a3d4-c82a	500	
25 September 2018	PT Multimas Nabati Asahan	TR-36bc6852-5977		500
25 September 2018	PT Multimas Nabati Asahan	TR-8642ef20-83eb		500
25 September 2018	PT Multimas Nabati Asahan	TR-62043249-7390		350
25 September 2018	PT Multimas Nabati Asahan	TR-6114ddd8-7943		600
1 October 2018	PT. Wilmar Nabati Indonesia - Pelintung	TR-bef43c12-65ca	1,000	
9 October 2018	PT. Nubika Jaya – Kernel Crushing Plant	TR-f94e8b01-8cda		500
10 October 2018	Olenex Sàrl	TR-3a29676c-0666	500	
10 October 2018	Olenex Sàrl	TR-e96e74c2-fc8f	500	
10 October 2018	Olenex Sàrl	TR-24dbef5d-a50b	1,000	
10 October 2018	Olenex Sàrl	TR-ee8e0ed6-3591	999.9	
5 November 2018	Olenex Sàrl	TR-fe4b1a12-9a75	3,299.98	
18 December 2018	Classified	TR-9b4423e0-1a21	1,000	
18 December 2018	Classified	TR-44c123b0-081d	2,999.98	
27 December 2018	Classified	TR-f63f7f9e-fc2f	3,000	
27 December 2018	Classified	TR-1f09972a-ee83	999.93	

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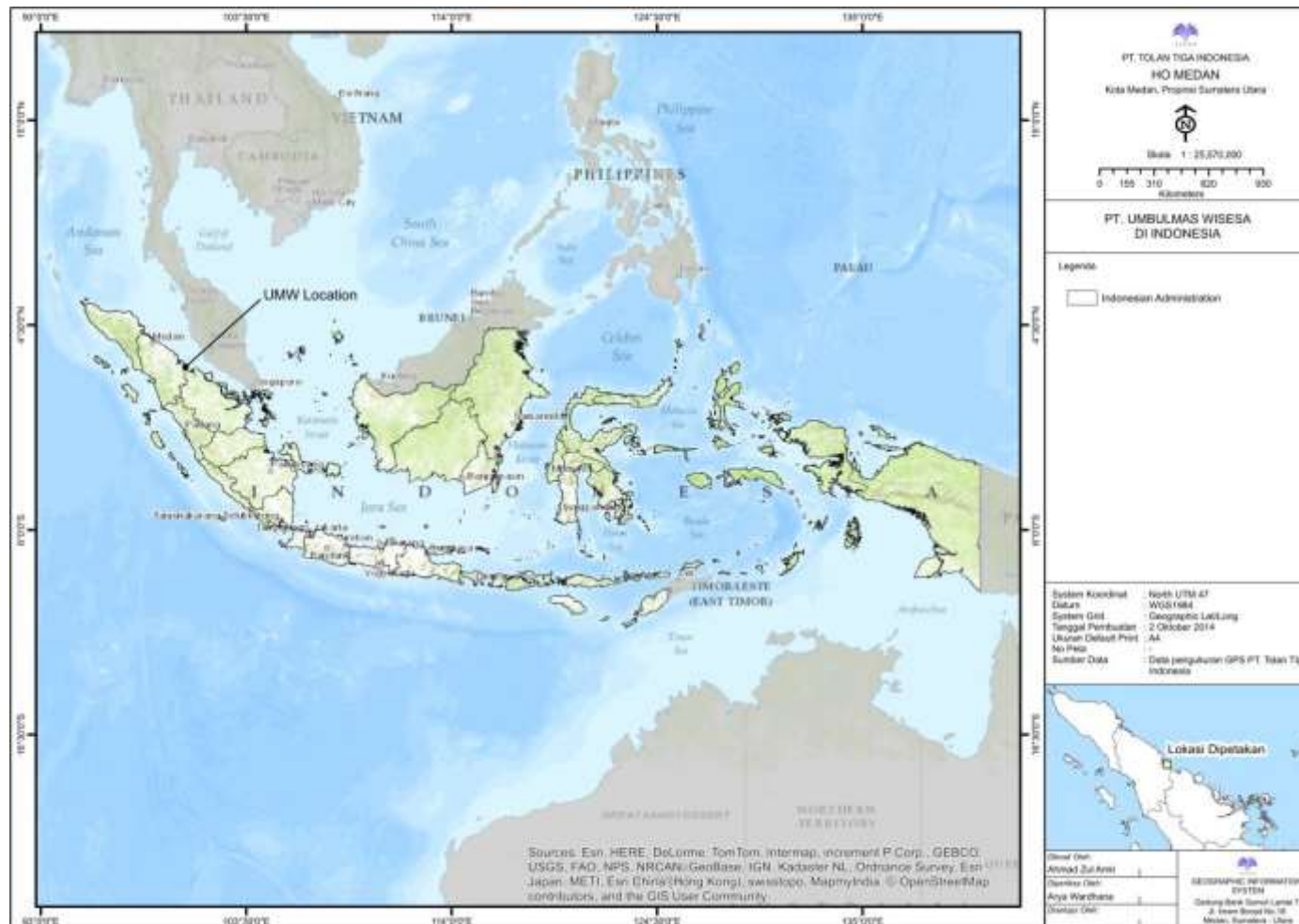
TOTAL		32,699.37	3,250
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D. Records of CPO & PK Sold under other schemes to Buyers since the last audit (if any)				
No.	Buyers Name	Scheme Name	CPO Sold (mt)	PK Sold (mt)
Nil				

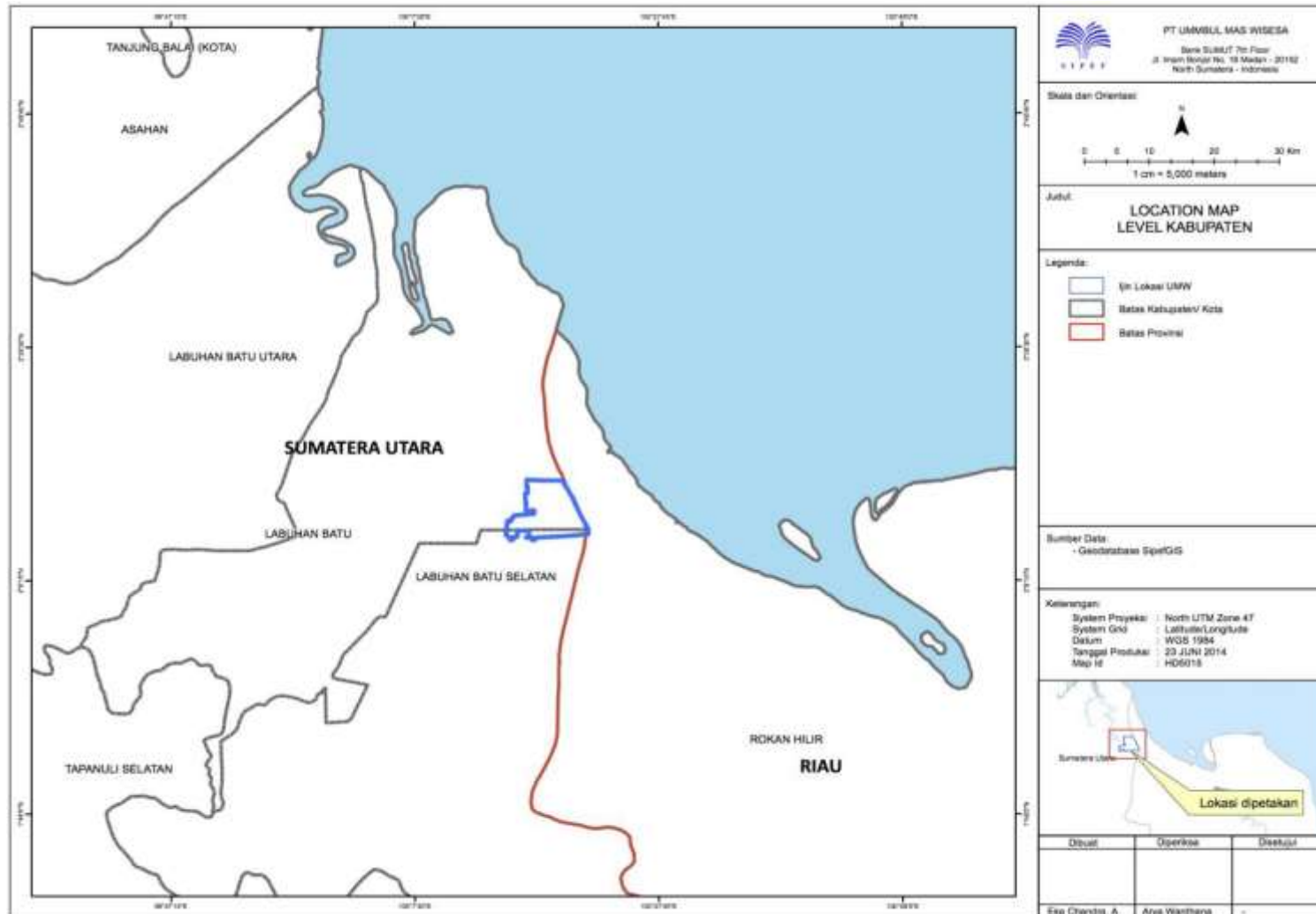
E. Records of CPO & PK Sold as conventional to Buyers since the last audit (if any)			
No.	Buyers Name	CPO Sold (mt)	PK Sold (mt)
Nil			

F. 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			

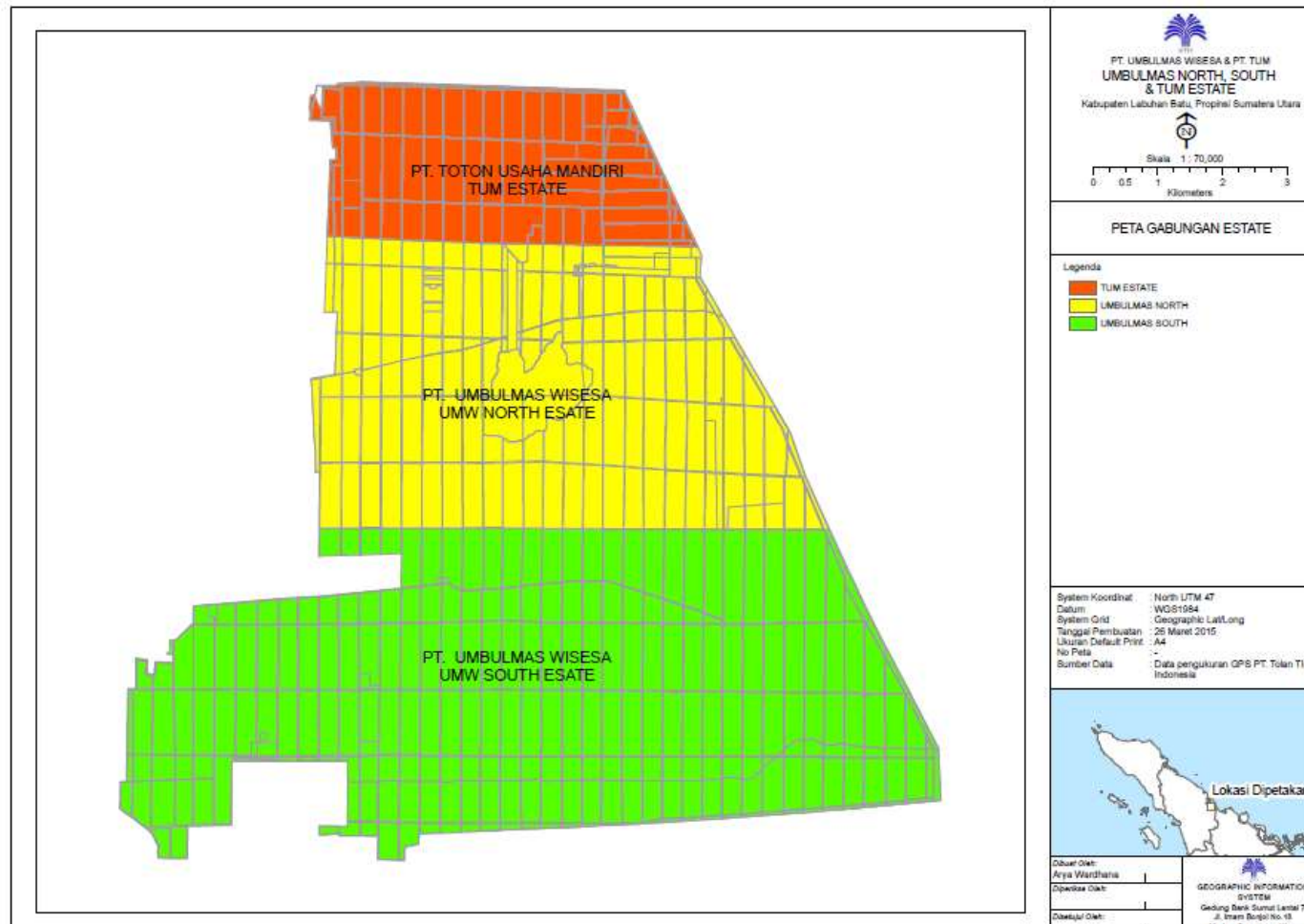
Appendix F: Location Map of Certification Unit and Supply bases



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Appendix G: Estate Field Map



Appendix H: List of Smallholder Sampled

Nil

Appendix I: List of Abbreviations

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