

RSPO – INITIAL ASSESSMENT

PT. UMBUL MAS WISESA PALM OIL MILL AND ITS SUPPLY BASE
Office: Gedung Bank Sumut Lantai 7 Jalan Imam Bonjol No.18 Medan- Sumatera Utara
Location: Kampung Rakyat Sub-district, Labuhan Batu Selatan District and Panai Tengah Sub-district, Labuhan Batu Utara District North Sumatera, Indonesia

TABLE OF CONTENTS		Page No.
Section 1	Scope of the certification Assessment	3
	1.1 Company Detail	3
	1.2 Certification Information	3
	1.3 Location(s) of Mill and Supply Bases	4
	1.4 Description of Supply Base	4
	1.5 Planting and Cycle	7
	1.6 Certified Tonnages	7
Section 2	Assessment Process	8
	2.1 Certification Body	8
	2.2 Assessment Program	8
	2.3 BSI Assessment Team	9
Section 3	Assessment Finding	10
	3.1 Detail of Audit Result	10
	3.2 Progress Againsts Time Bound Plan	46
	3.3 Detail of Finding	48
	3.3.1. Major NC were raised during this assessment	48
	3.3.2 Minor NC were raised during this assessment	52
	3.3.3 Observation were raised during this assessment	57
	3.4 Issues Raised by Stakeholders	57
	3.5 Status of Non Conformities	61
Section 4	Acknowledgemnt of Assessment Finding	61
Appendix A	RSPO Certificate Detail	62
Appendix B	Audit Plan	63
Appendix C	RSPO SCCS Checklist	65
Appendix D	Abbreviation Used	70

Section 1 Scope of the Certification Assessment

1.1. Company Details			
RSPO Membership Number	1-0021-05-000-00	Date	7 th December 2005
Company Name	PT. Umbul Mas Wisesa (Sipef Group)		
Address	Head Office: Gedung Bank Sumut Lantai 7 Jalan Imam Bonjol No.18 Medan-Sumatera Utara Location: Kampung Rakyat Sub-district, Labuhan Batu Selatan District and Panai Tengah Sub-district, Labuhan Batu Utara District North Sumatera, Indonesia		
Subsidiary of (if applicable)	-		
Contact Name	Olivier Tichit (Director)		
Website	www.tolantiga.co.id	E-mail	ortichit@sipef.com
Telephone	+ 62 61 415 2043	Facsimile	+62 61 452 0908

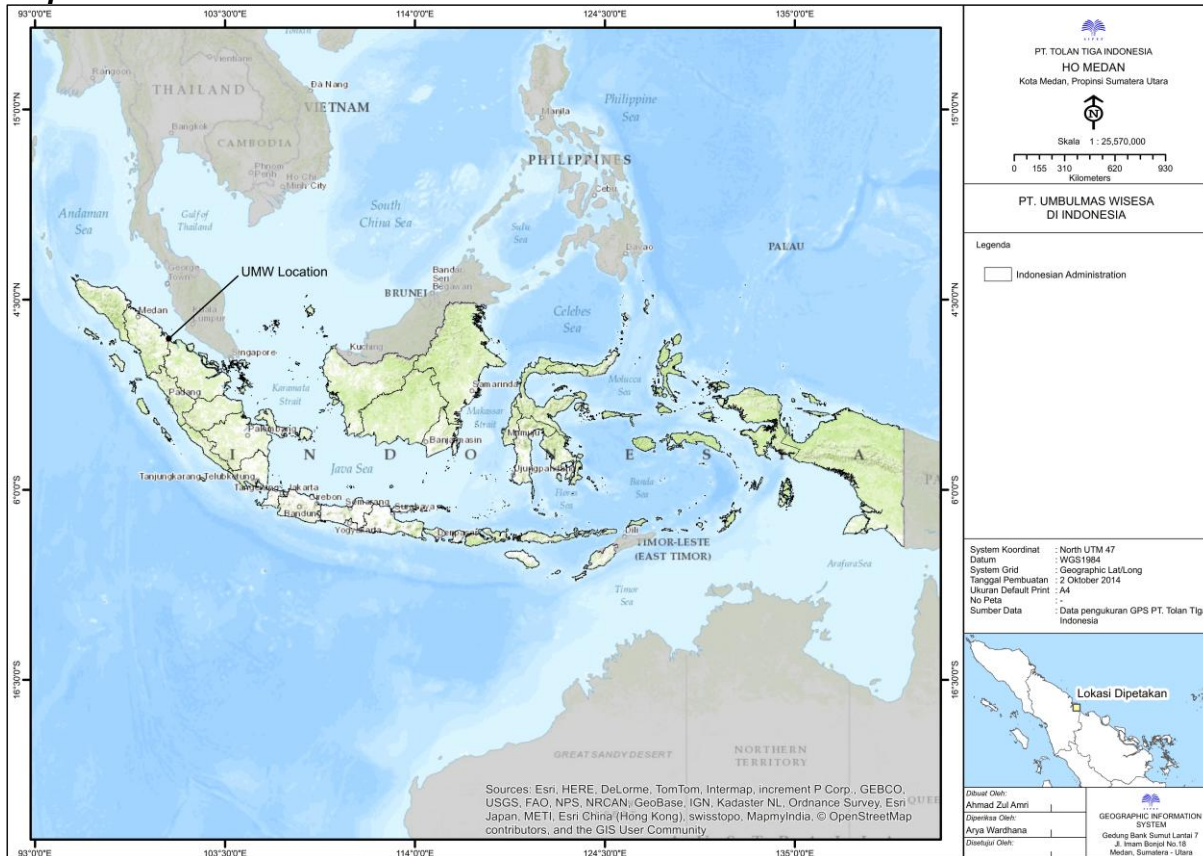
1.2. Certification Information			
Certificate Number	SPO 611834	Date	-
Scope of Certification	Production of CPO and PK at Umbul Mas Wisesa Mill and 3 Estates (Umbul Mas Wisesa North, Umbul Mas Wisesa South & Toton Usaha Mandiri). Mill capacity is 40 Tonnes FFB/hour (29,848 MT CPO/year).		
Other Certifications			
Certificate Number	Standard(s)	Certificate Issued by	Expiry Date
-	-	-	-

RSPO Public Summary Report
Revision 1 (Sept/2014)

1.3. Location(s) of Mill & Supply Bases			
Name (Mill / Supply Base)	Location [Map Reference #]	GPS	
		North	East
PT. Umbul Mas Wisesa POM	Desa Tanjung Mulia, Kecamatan Kampung Rakyat, Kabupaten Labuhanbatu Selatan Provinsi Sumatera Utara	02° 12' 38.91"	100° 16' 15.83"
Supply Base			
1. Umbul Mas Wisesa South Estate	Desa Tanjung Mulia, Kecamatan Kampung Rakyat Kabupaten Labuhanbatu Selatan, Provinsi Sumatera Utara, Indonesia	2° 13' 8.14"	100° 17' 9,32"
2. Umbul Mas Wisesa North Estate	Desa Sei Siarti , KecamatanPanai Tengah Kabupaten Labuhanbatu, Provinsi Sumatera Utara, Indonesia	2° 15' 7.16"	100° 16' 43,1"
3. PT. Toton Usaha Mandiri (Toton Usaha Mandiri estate)	Desa Sei Siarti , Kecamatan Panai Tengah Kabupaten Labuhan Batu, Provinsi Sumatera Utara, Indonesia	2° 16' 47.06"	100° 19' 7,4"

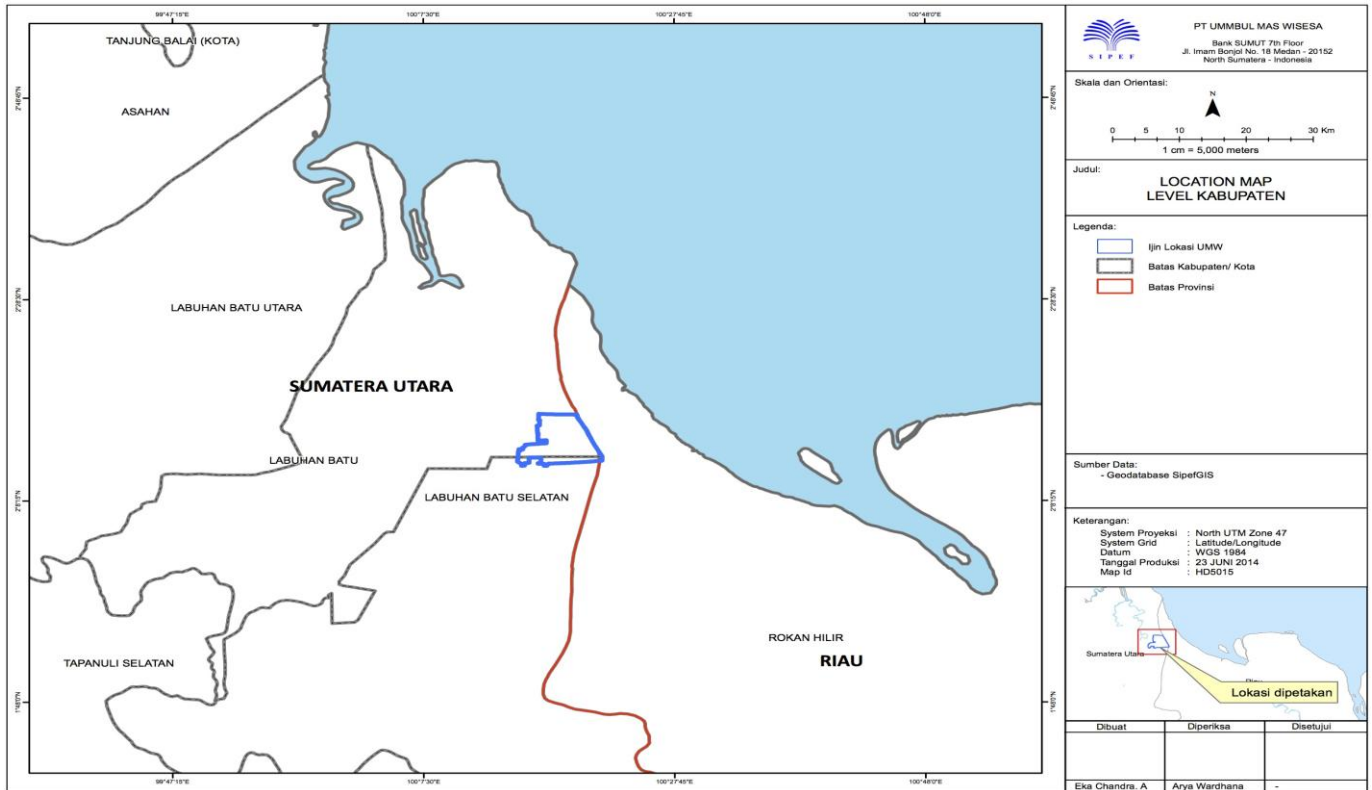
1.4. Description of Supply Base						
Estate	Mature (ha)	Immature (ha)	Infrastructure & Other (ha)	Total Planted (ha)	Total Hectarage	% of Planted
1. Umbul Mas Wisesa South Estate	4,459.84	17.03	303.91	4,476.87	4,780.78	49.95
2. Umbul Mas Wisesa North Estate	2,603.27	0.00	379.30	2,603.27	2,982.57	29.05
3. PT. Toton Usaha Mandiri (Toton Usaha Mandiri estate)	1,134.95	0.00	63.81	1,134.95	1,198.76	12.66
Total	8,198.06	17.03	747.02	8,215.09	8,962.11	91.66

Map 1. Location of PT UMW in Indonesia

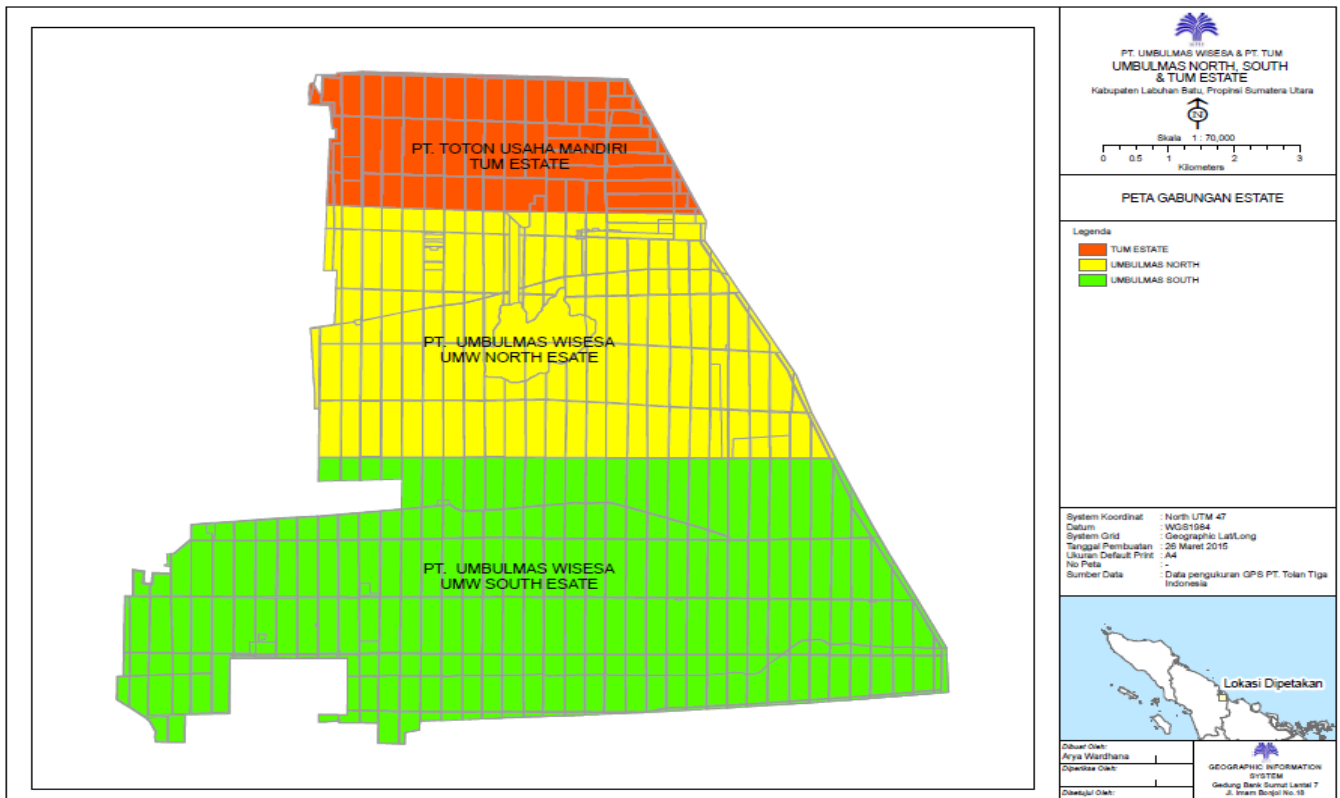


Map 2. Location of PT UMW in Labuhan Batu and Labuhan Batu Selatan District

**RSPO Public Summary Report
Revision 1 (Sept/2014)**



Map 3. Location of PT UMW in landscape level



RSPO Public Summary Report
Revision 1 (Sept/2014)

1.5. Plantings & Cycle								
Estate	Age (Years) in Ha					Tonnage / Year		
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30	Estimated (Previous Year)	Actual (This Year)	Forecast (Next Year)
1. Umbul Mas Wisesa South Estate	17.03	4,459.84	0.00	0.00	0.00	-	-	73,028
2. Umbul Mas Wisesa North Estate	0.00	2,603.27	0.00	0.00	0.00	-	-	37,748
3. PT. Toton Usaha Mandiri (Toton Usaha Mandiri estate)	0.00	1,134.95	0.00	0.00	0.00	-	-	19,000
Total	17.03	8,198.06	0.00	0.00	0.00	-	-	129,776

Note: *) Mill Commencing in August 2014

1.6. Certified Tonnage									
Mill	Estimated In Previous year (2014)			Actual (2014)			Forecast In Next Year (2015)		
	FFB	CPO	PK	FFB	CPO	PK	FFB	CPO	PK
PT. Umbul Mas Wisesa Palm Oil Mill	-	-	-	-	-	-	129,776	29,848	6,488

Section 2 Assessment Process

2.1. Certification Body:

PT BSI Group Indonesia
Accreditation Certificate No. RSPO- ACC– 019
 Menara Bidakara 2
 17th Floor, Unit 5
 Jl. Jend. Gatot Subroto Kav. 71-73
 Komplek Bidakara, Pancoran
 Jakarta Selatan 12870 - Indonesia
 Tel: +62 21 8379 3174 - 77 Fax:+62 21 8379 3287
 Email: aryo.gustomo@bsigroup.com

BSi is a leading global provider of management systems assessment and certification, with more than 60,000 certified locations and clients in over 100 countries. BSi Standards is the UK's National Standards Body. BSi provides independent, third-party certification of management systems. BSi has a Regional Office in Singapore and an Office in Kuala Lumpur.

A pre-audit to RSPO Principles and Criteria was conducted on 24th - 27th February 2014 to determine progress PT Umbul Mas Wisesa Indonesia has made towards certification. The Initial Certification Audit was conducted on 12th – 14th May 2014.

The approach to the audit was to treat each mill and its supply base as an RSPO Certification Unit. The mill was audited together with the plantations of its supply base. A range of environmental and social factors were covered. These included consideration of topography, palm age, proximity to areas with HCVs, declared conservation areas and local communities.

The methodology for collection of objective evidence included physical site inspections, observation of tasks and processes, interviews of staff, workers and their families, review of documentation and monitoring data. Checklists and questionnaires were used to guide the collection of information. The comments made by external stakeholders were also taken into account in the assessment. The Public announcement in RSPO website on 7th April 2014 within 30 days prior audit conducted

The Major Nonconformities that were assigned during this assessment were followed up to check the effectiveness of corrective actions and it was closed out, Minor Nonconformities and observation will be verified in the next surveillance.

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

2.2. Assessment Program					
Name (Mill / Supply Base)	Year 1	Year 2	Year 3	Year 4	Year 5
	09/2015	09/2016	09/2017	09/2018	09/2019
PT. Umbul Mas Wisesa POM.	X	X	X	X	X
UMW – South Estate	X	X		X	X
UMW – North		X	X		X
TUM - Estate	X		X	X	X

Tentative Date of Next Visit: 01/09/2015

RSPO Public Summary Report
Revision 1 (Sept/2014)

Total No. of Mandays: 12 Mandays

2.3. BSI Assessment Team:**Haeruddin – Assessor (Lead Auditor)**

He holds Bachelor Degree in Forest Management, graduated from Hasanuddin University on 1994. He has 16 years of work experience in forest concession, forestry industry and the latest is within Oil Palm Plantation in Indonesia. He experiences as auditor for several sustainability standard including FSC, UTZ, Organic Farming, 4C, ISPO and RSPO. He completed the ISO 9001 Lead Auditor Course; ISPO Lead Auditor endorsed Course, RSPO Lead Auditor Course, and also completed ISCC, RSPO SCCS, RSPO RED course, etc. He had been involved in RSPO auditing since November 2010 in more than various companies in Malaysia, Thailand and Indonesia. During this assessment, he assessed on the aspects of legal and estate best practices.

Aryo Gustomo – Team Member

He holds a degree in Agriculture science majoring in Agronomy in the subject of oil palm plantation management; He graduated from Bogor Agriculture University. He has more than 5 (five) years of work experience related to oil palm industries i.e. as a Plant breeder/agronomist with one of the Malaysian oil palm seed producers and as a field assistant in an oil palm Plantation Company in Indonesia. He has been involved in RSPO implementation and assessment since 2009 as a team member and subsequently as a lead auditor with a RSPO approved certification body covering assessment with RSPO P&C and RSPO NPP in Malaysia, Indonesia, Thailand, and Liberia. He has completed several training programmes on ISO 9001, 14001 and attended the RSPO Lead auditor courses as well as trainings on HCV identification and management. Currently, he works for BSi Group as a RSPO scheme manager and is a RSPO lead auditor/auditor. He has an excellent oral and written command of Bahasa Indonesia and English. During this assessment, he assessed on the aspect of Legal, environment, mill best practices, OHS and emergency preparedness, and supply chain requirement for CPO mill.

Pratama Agung Sedayu – 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 covering assessment against RSPO P&C in Indonesia and Malaysia. He completed the ISO 9001, OHSAS 18001 Lead Auditor Course, HCV Identification and Management; ISPO Lead Auditor endorsed Course and RSPO Lead Auditor Course. During this assessment, he assessed on estate best practices and Health and Safety.

Nanang Muallib - Team member

He graduated from Bogor Agriculture University on 1999, Forestry Faculty. He involved in RSPO certification since 2010 as a team member covering assessment against RSPO P&C in Indonesia. He completed the ISO 9001 Lead Auditor Course, Technical Training of HCV Assessment; ISPO Lead Auditor endorsed Course. During this assessment, he assessed on the aspects of social.

Reviewer:

This summary report was reviewed by Mr. Muhd. Haris and Mr. Senniah, they are BSI's RSPO internal reviewer.

Section 3 Assessment Findings

3.1. Details of audit results.

RSPO Criterion / Indicator		Assessment Findings	Compliance
Principle 1. Commitment to Transparency			
1.1. Oil palm growers and millers provide adequate information to other stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages & forms to allow for effective participation in decision making.			
1.1.1	Records of information requests. - Major compliance -	The company has established procedure related information request in No. ENC/SOP/08 tanggal 20 Desember 2013. Request informations were recorded in log book "Daftar Permintaan Informasi dan Tanggapan Terhadap Informasi". It was noted 6 request informations from stakeholders in 2013, e.g. request information from Mr. SB (Local community from Bulu Tolang Village) related job vacancies in PT. UMW on 10 October 2013 and Ms. SM related job vacancy for kindergarten teacher in PT. UMW on 10 February 2014.	Yes
1.1.2	Records of responses to information requests. - Major compliance -	The company was recorded response upon request information in the same log book, based on document review, the company has given response upon request information timely manner, e.g request information from Mr. SB has responded in the same day by Field Head Assistant and request information from Ms. SM was responded also in the same day where the company informed her that kindergarten teacher selection will be conducted on April 2014.	Yes
1.1.3	The records in 1 and 2 must be maintained for a period of the determined by the company, taking into account their relative importance. - Major compliance -	The company has determined retention time of information request as regulated in "Daftar Induk Masa Simpan Dokumen", such as: Internal visit report (2 years), best practices documents (3 years), complaint from internal and external (5 years), Supply chain documents (10 years) and legal documents until expiring date.	Yes
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.			

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
1.2.1	<p>Information and responses must include any relevant or required documentation, in accordance with applicable national laws, such as:</p> <p>Legal : Land titles/user rights (Site Permit (Izin Lokasi), Plantation Operation Permit (Izin Usaha Perkebunan), Land use Title (Hak Guna Usaha) or other documentation relating to application for Land Use Title in accordance with relevant procedures)</p> <p>Environmental : Environmental and Social Impact Assessment (AMDAL/UKL-UPL) and environmental management and monitoring reports (Laporan RKL-RPL).</p> <p>- Major compliance –</p>	<p>The company has determined 25 documents related to land permit (Izin Lokasi, Izin Usaha Perkebunan, Land title rights, RKL/RPL, SIA, policies, HCV, OHS. Waste management plan, dated 22 April 2014, CSR programmes, complaint documents, etc are publicly available for stakeholders.</p>	Yes
1.2.2	<p>The records must be maintained for a period of time determined by the company, taking into account their relative importance.</p> <p>- Major compliance –</p>	<p>The company has determined retention time of publicly documents as regulated in “Daftar Induk Masa Simpan Dokumen”, such as: OHS, RKL RPL, CSR Program, complaint document, etc for 5 years and and legal documents until expiring date.</p>	Yes
Principle 2. Compliance with applicable laws and regulations			
2.1 There is compliance with all applicable local, national and ratified international laws and regulations.			

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
2.1.1	Evidence of compliance with relevant legal requirements. - Major compliance –	<p>All legal requirement comply with the regulations and laws, including those related to land status, occupational health and safety, environmental, labour, agricultural practice, and mill operation. such as:</p> <ol style="list-style-type: none"> Izin Lokasi (Location Permit) PT. Umbul Mas Wisesa: <ul style="list-style-type: none"> - SK. Bupati Labuhan Batu No. 08 tahun 2004, dated 26 May 2004 "tentang Pemberian Ijin Lokasi untuk Keperluan Perkebunan Kelapa sawit PT. Umbul Mas Wisesa, seluas ± 8.000 ha" - Renewal Izin Lokasi from Bupati Labuhan Batu, No. 12, 2007, dated 14 June 2007. PT. Toton Usaha Mandiri <ul style="list-style-type: none"> - SK. Bupati Labuhan Batu No. 07, 2005, dated 08 June 2005 "tentang Pemberian Ijin Lokasi untuk Keperluan Perkebunan Kelapa sawit PT. Toton Usaha Mandiri, seluas ± 1.200 ha". - Renewal Izin Lokasi from Bupati Labuhan Batu, No. 492, 2008, dated 12 December 2008. Ijin Usaha Perkebunan (PLantaion Operational permit) PT. Umbul Mas Wisesa: No. 503/11/HUKUM/2005, tanggal 05 Agustus 2005, (± 8.451 ha) and PT. Toton Usaha Mandiri: No. 180/172/Huk/2010, dated 05 May 2010 (± 1.200 ha) from Bupati Labuhan Batu. HGU (Land title rights) PT. Umbul Mas Wisesa: No. 42/HGU/BPN RI/2013, dated 28 May 2013 (6.467,69 ha), No. 93/HGU/BPN RI/2014 (1,140.99 Ha) dated 25 June 2014 and No. 1/HGU/BPN RI/2014 (154.67 Ha), dated 28 May 2014 PT. TUM No. 23/HGU/BPN RI/2011, dated 26 April 2011 (1.198,76 ha) 	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

	RSPO Criterion / Indicator	Assessment Findings	Compliance
		<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. UMW and PT TUM amangement is non forest area (Areal Penggunaan Lain - APL).</p> <p>4. AMDAL (SEIA) PT. UMW: approval No. No: 188.44/430/KPTS/2013, dated 10 July 2013 from North Sumatera Governor and UKL – UPL PT. TUM No. No. 660/324/BLH-LB/AM/2009 tanggal 03 Juli 2009 from Badan Lingkungan Hidup Kabupaten Labuhan Batu.</p> <p>5. Temporary storage for hazardous waste permit from Bupati Labuhan Batu Selatan No. 155, 2012, dated 20 July 2012.</p> <p>6. The company has established Fire mitigation officer, namely “Bakortiba”, the organizational of Bakortiba is approved by local government (Social, Manpower, and Transmigration Department of Labuhan Batu District) as Decision Letter No. Kep. 31/P2K3/TK/2014. Fire Mitigation Officer also has trained by from BKSDA (Natural Resources and Conservation-Forestry Departmnet of North Sumatera Province on 19th – 21st February 2014.</p> <p>7. Operator license is available (SIO – Surat Ijin Operator) for operator, e.g. for Bolier Operator (Jefri Nasution- license no..14.061-OP.TU.K3-PTP/IV/2014.</p> <p>8. The company has conducted noise level monitoring, emission and air ambient for Boiler and Gen-set as required in Safety Act</p>	

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
2.1.2	Evidence of efforts made to comply with changes in the regulations. - Major compliance –	The company has established procedure related effort to comply with changes in the regulation as regulated in SOP No. CA/SOP/01, dated 1 November 2011, The company has update regulation and evaluated to comply with, <i>however there is not adequate evidence Corporate Affairs Manager provide up-to-date information onto estates and mill related to new and amended regulations as stated in the procedures. It was found that update on new and amended regulations were provided by ENC Department (Major NC).</i>	No
2.1.3	A documented system, which includes written information on legal requirements that the palm oil company should comply with. - Minor compliance –	The company has updated the regulations that must be complied provided in Indonesian Legislation relating RSPO Principles and its ratification. This document was updated on April 2014, e.g. regulations relating to estates and mill have been identified which covers Presidential Instruction No.10 of 2011, PP. 60 of 2012, Act No. 18 of 2004.	Yes
2.1.4	A mechanism for ensuring that compliance with relevant legal requirements is implemented - Minor compliance –	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.	Yes
2.2. The right to use the land can be demonstrated and is not legitimately contested by local communities with demonstrable rights.			
2.2.1	Documents showing ownership or lease of the land in accordance with relevant laws. - Major compliance -	HGU (Land title rights) for PT. Umbul Mas Wisesa, No. 42/HGU/BPN RI/2013, dated 28 May 2013 (6.467,69 ha) and PT. TUM No. 23/HGU/BPN RI/2011, dated 26 April 2011 (1.198,76 ha)	Yes
2.2.2	Evidence that legal boundaries are clearly demarcated and visibly maintained. - Major compliance -	Legal boundaries are clearly demarcated on the map and on field which is visibly clear. A record of quarterly inspection of these boundary stones inspected is kept by estate Survey Department, the last inspection was conducted on 15 January 2014.	Yes
2.2.3	Where there are, or have been, disputes, proof of resolution or progress towards resolution by conflict resolution processes acceptable to all parties are implemented. - Major compliance -	Based on documents review in Head Office – Medan on 9 May 2014, it was noted that all compensation process in PT. UMW and PT. TUM have been done.	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
2.2.4	Evidence of land acquisition resolution with free prior and informed consent. - Minor compliance –	Land compensation documents, consist of: "Surat Pelepasan hak menggarap atas tanah garapan", "Surat Keterangan Ganti Rugi Tanah Garapan (SK-GRTG)", "KTP penerima kompensasi" (Identity Card), "Berita Acara hasil pengukuran" dan "Inventarisasi lahan garapan masyarakat", "Peta hasil peninjauan dan pengukuran izin lokasi", "Surat Ganti Rugi Tanah (SGRT)", "Bukti pembayaran berupa kuitansi", "Bukti transfer bank dan photo penerima yang sedang menerima kompensasi" - Evidence of receipt of compensation, photograph of compensated land. Land compensation documents for PT. TUM are documented in "PT. UMW Permohonan HGU tahap I No. 1 –45" and "PT. UMW Permohonan HGU Tahap II No.1 – 7" and PT. TUM is documented in "PT. TUM permohonan HGU No.1 – 9".	Yes
2.2.5	A mechanism to resolve conflict which is accepted by all parties. Minor compliance –	Land compensation process refers to the procedure "Ganti Rugi Lahan/Tanah Garapan" No. SOP/CA/02. Dated 01 July 2012, this procedure describes both land compensation mechanism in HGU and outside HGU for company purposes, e.g. road, conservation areas, etc. If any land disputes between company and complainant, the procedure "Keluh Kesah dengan Pihak Eksternal" No. SOP/026/HRA, dated 23 December 2009 with flow diagram, will be referred.	Yes
2.3. Use of the land for oil palm does not diminish the legal rights or customary rights, of other users, without their free, prior and informed consent.			

RSPO Criterion / Indicator		Assessment Findings	Compliance
2.3.1	Records of any negotiated agreements between traditional owners of land and plantation companies (if any), supplemented with maps in appropriate scale. - Major compliance -	The negotiation agreement is documented, e.g. for Mr. DH (2.0 Ha), land compensation process documents, such as: "Surat bukti kepemilikan berupa Surat ganti Rugi Tanah SGRT", 1 April 2005, "Surat pelepasan hak menggarap dan surat keterangan ganti rugi tanah garapan", 4 April 2008, "KTP" – identity card, "Berita Acara Hasil pengukuran", 3 April 2008, location map signed by the company representative, complainant and witness, receipt and photograph as evidence. Compensation for Mrs. IS (9.98 ha), "Bukti kepemilikan berupa Surat Penyerahan Tanah/Ganti rugi", 16 July 2003, "Surat Keterangan Tanah dari Desa sei Siarti", 25 March 2009, "Surat pelepasan hak menggarap dan surat keterangan ganti rugi tanah garapan", 13 July 2009, "KTP – Identity card, "Berita Acara Hasil pengukuran" dated 12 July 2009, with location map, signed by both (company representative and complainant), receipt and photograph.	Yes
2.3.2	Maps of an appropriate scale showing extent of recognised customary rights. - Major compliance -	No any customary rights was noted in PT. UMW and PT. TUM, only land compensation for land owner (Ganti Rugi Tanam Tumbuh).	Yes
2.3.3	Copies of negotiated agreements detailing process of consent. - Major compliance -	All documents of land compensation for PT. TUM and PT. UMW is available in HO-Medan. It is verified during audit in HO Medan on 9 May 2014. Based on land compensation process document in "Rekap GRTG- Ganti Rugi Tanah Garapan", it was noted that PT. UMW has compensate 6,468.60 ha (phase I HGU) for 93 groups (1,163 land owners) and 1,923.03 Ha (Phase II – HGU) for 18 groups (84 land owners) in Tanjung Mulia and Sei Siarti Village. PT. TUM has also compensated 761.67 ha for 31 groups (108 land owners). Land compensation process involving government officer and witnessed by neighboring land owners.	Yes

Principle 3. Commitment to long-term economic and financial viability

3.2. There is an implemented management plan that aims to achieve long-term economic and financial viability.

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
3.1.1	A documented operational working of the company for a minimum duration of 3 years period. - Major compliance-	The company has prepared budget plan for 3 year (2014 – 2017) and reviewed annually. Budget plan is consist of FFB Production OER, KER, cost, expenditure, e.g in 2014, FFB production estimate 56,059 tonnes, cost for general field work is 721/kg, harvesting 144/kg, general charges 224/kg. Total cost/kg 1089.	Yes
3.1.2	Annual replanting programme, where applicable, projected for a minimum of 5 years with yearly review. - Minor compliance-	No any replanting program in near future.	N/A
Principle 4: Use of appropriate best practices by growers and millers			
4.1. Operating procedures are appropriately documented and consistently implemented and monitored			
4.1.1	Standard Operating Procedures (SOPs) for estates, from land clearing to harvesting. _ Major compliance -	The procedures documented in "Agricultural Manual Oil Palm", 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.	Yes
4.1.2	Standard Operating Procedures (SOPs) for mills, from reception of FFB to dispatch of Crude Palm Oil and Palm Kernel Oil. _ Major compliance -	The company has established procedures in mill from receipt FFB till dispatch CPO and PK.	Yes
4.1.3	Records of checking or monitoring of operations. Minimum requirement: once a year. - Minor compliance -	The company conduct internal audit and regular inspection by Agronomist to monitoring Operational performance, e.g. monitoring of loose fruit collection inspection on 18 October 2013 and monitoring of fertilizing on 17 October 2013.	Yes
4.1.4	Records of operational results. - Minor compliance -	Records of the results of monitoring of operations are captured in "Daily Log Book" and "Monthly Progress Report", e.g. Montgly report in estate covering statement area, FFB production record, fertilizer application, census for pest and disease, , water analysis, spraying, water management, etc.	Yes
4.2. Practices maintain soil fertility at, or where possible improve soil fertility to a level that ensures optimal and sustained yield			

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
4.2.1	Records of regular soil, leaf, and visual analysis. - Minor compliance -	Soil survey was carried out in June 2010, based on soil survey, it is found that area mostly peat land, water level is maintained in 60 – 75 cm in all peat land areas. the company also conduct leaf analysis annually for fertilizer recommendation, the last soil analysis was conducted by Central Plantation Services on 27 April 2013 (for fertilizer recommendation 2014)	Yes
4.2.2	Records of efforts to maintain and increase soil fertility (e.g. the use of fertilizer, legume cover crops, compost, and land applications of POME or EFB) based on the results of analysis carried out as in Point 1 above. - Minor compliance -	Fertilizer is applied to maintain and increase soil fertility, fertilizer applied follow the fertilizer recommendation which created based on soil and leaf analysis. Fertilizing record in "Monthly Manuring Program Sheet", e.g. applied NPK: 2.8 kg/palm tree and Urea: 0.3 kg/palm tree in Block K11 on 18 and 21 January 2014.	Yes
4.3. Practices minimise and control erosion and degradation of soils.			
4.3.1	Maps of fragile soils must be available. - Minor compliance -	Based on soil survey, it was found that mostly PT. UMW areas is peat soil, Map of peat soil is available in place with scale 1 : 20.000. Soil series, consist of : - Lenggana Series (LGN 3,4), <i>Typic haplohemist</i> , mature peat land, 15 – 75 % fibre peat, dept 0 – 5 metre, poor drainage. - Meka Jaya (MKJ), <i>sulfic endoaquept</i> , silty clay, poor drainage, depth 50-100cm. - Galling (GLG), <i>Typic sulaquept</i> , depth 50cm.	Yes
4.3.2	A management strategy should exist for plantings on slopes above a certain limit (needs to be soil and climate specific). - Minor compliance -	Based on soil survey, all PT. UMW area is low lying flat (no slope above a certain limit).	N/A
4.3.3	Presence of a road maintenance program. - Minor compliance –	Road maintenance programme available detailing on planning and realization of both main and collection road and its cost which were included in budget, e.g. road maintenance in Blok G & H (20,992 metre).	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
4.3.4	Subsidence of peat soils should be minimised under an effective and documented water management programme. - Minor compliance –	Water management procedure for peat land is available in implemented, the company has installed water gate, main drain gate, peat subsidence monitoring, and washing drainage regularly, also monitoring of water level, main gate water lever, peat subsidence level. It was found that water level in maintained in 50 – 70 cm, e.g. form monitoring water table in March 2014 (Period II) in Div. I – Block J13, water level in collection drain is 52cm and main drain 61.1cm, Average in Div. I is 58.9cm and monitoring water table with piezo meter in Block block I14 dan J12 is 84cm and 68cm. The company also conducts rainfall monitoring in daily basis, e.g. total rainfall in April 2014 is 101 mm/year.	Yes
4.3.5	A management strategy should be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils) - Minor compliance –	The company has practiced best management for peat land management with monitoring water level, main gate and peat subsidence.	Yes
4.4. Practices maintain the quality and availability of surface and groundwater			
4.4.1	Protection of watercourses and wetlands, including maintaining and restoring appropriate riparian buffer zones at or before replanting. - Major compliance -	The company reserve riparian zone and planted vertiver grass to prevent erosion, e.g. planted vetiver grass in Block L/M19 – 15, L14/15.	Yes
4.4.2	An implemented water management plan. - Minor compliance -	The company using water from Barumun river for mill and domestic consumption with filtration process, water quality test is conducted regularly as regulated in Permenkes No. 416, year 1990, however periodic water quality test of Barumun River is not conducted yet (Minor NC)	No
4.4.3	Monitoring of effluent BOD. Minor compliance –	No records of BOD's effluent has been monitored from mill processing (Minor NC)	No

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
4.4.4	Monitoring of mill water use per tonne of FFB. Minor compliance –	No evidence that mill water use has been monitored (Minor NC)	No
4.5. Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate integrated Pest Management (IPM) techniques.			
4.5.1	An IPM plan is documented and current. - Major compliance -	The company has created Integrated Pest management (IPM) program 2014, covering establish and installing barn owl, monitoring barn owl, planted and upkeep beneficial plant (Turnera, Casia, Cassia tora, Antigonon), and leaf eating caterpillar cencus. Record of IPM, such as monitoring beneficial plant and cencus are available in place.	Yes
4.5.2	Monitoring extent of IPM implementation including training. - Minor compliance –	The company implemented IPM, e.g. installing barn owl at Division II, Block K-20, J-20 and I-19, etc. Training of IPM was conducted on 21 st February 2014, attended 53 staff, supervisor and Pest – Disease section. The company also has reduction pesticides program is documented in “Program Pengurangan Pemakaian Pestsida- 2014”	Yes
4.5.3	Monitoring of pesticide toxicity units (a.i. /LD 50 per tonne of FFB or per hectare). Minor compliance –	Pesticide usage record is available, included active ingredient applied per ha for each block. E.g. 26.09 gram paraquat applied in 32.57 ha and Metsulfuron applied 0,004803 gr per ha in Block K-21.	Yes
4.6. Agrochemicals are used in a way that does not endanger health or the environment. There is no prophylactic use of pesticides, except in specific situations identified in national Best Practice guidelines. Where agrochemicals are used that are categorised as World Health Organisation Type 1A or 1B, or are listed by the Stockholm or Rotterdam Conventions, growers are actively seeking to identify alternatives and this is documented.			
4.6.1	Evidence of use of only approved and registered agrochemicals permitted by the relevant authorities. - Major compliance -	The company has shown that all pesticides which used by the company included in approved registered pesticide by Agriculture Ministry - 2014.	Yes
4.6.2	Records of pesticide use (including active ingredients used, area treated, amount applied per ha and number of applications) - Major compliance -	Record of pesticide use covering pesticide use in each block, date of applied, acreage applied, active ingredient, dosage per applied, and total pesticide per applied.	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
4.6.3	Documentary evidence that usage of agrochemicals is appropriate for the target species, given at correct dosage and applied by trained personnel in accordance with the product label and storage instructions. - Major compliance -	All estates are recording pesticide use including active ingredients used, area treated, amounts used per ha and number of applications for each area. The company has conducted training for who are handling and sprayer team, e.g. Training of "Pestisida Terbatas" for Mr. Joko S (Pesticides Store Clerk), certificate training no. No.521.4/38520/PLA.S/VI/2013, and Mr. R Hamdani (Sprayer Supervisor), certificate no. 521.4/38520/PLA.S/VI/2013, dated 15 th July 2014 and training by "Sygenta" for 33 sprayers team on 6 th May 2014 (attended 33 participants)	Yes
4.6.4	Waste material from agrochemicals including pesticides containers are properly disposed in accordance with laws and regulations. - Major compliance -	The company has "Surat Ijin Penyimpanan Sementara limbah B3" from Bupati of Labuhan Batu Selatan No. 155, year 2012, dated 20 th July 2012. Hazardous waste, including agrochemicals wastes is disposed through approved register collector, namely CV. Amindy Barokah, delivery note is verified.	Yes
4.6.5	Documentary evidence that use of chemicals categorised as World Health Organisation Type 1A or 1B, or listed by the Stockholm or Rotterdam Conventions, and paraquat, is reduced and/or eliminated. - Minor compliance -	Based on document review, it was noted that paraquat usage is reduced, e.g. using paraquat 7,430 liter in 2013 and estimated 6,477 litre till end of 2014.	Yes
4.6.6	Records of the results of health check-up for those who apply agrochemicals. - Minor compliance -	Records of result of health check up are available for all pesticide operators and pregnant woman will be deactivating for spraying jobs and will be given light jobs, e.g. general check up for 104 sprying team was conducted in November 2013, e.g. Ms. DF, Ms. SM, Mr. RL, Ms. NSD, Mr. DRS (sprayer) check up on 17 Maret 2014. The medical check up is included cholinesterase test.	Yes
4.6.7	Records showing that no work with pesticides for pregnant and breastfeeding women. - Minor compliance -	Based on document review and interview with women workers who are involved in chemical substances, no any pregnant and breastfeeding women employed in spraying and other jobs with contact in chemical substances, they will be given others jobs, e.g. Mrs. NH and Mrs. J were identified pregnant since April 2014 have been displaced in others job which no involved in chemical substances.	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator	Assessment Findings	Compliance
4.7. An occupational health and safety plan is documented, effectively communicated and implemented		
4.7.1 Evidence of a documented occupational safety and health (OSH) policy and its implementation. - Major compliance -	<p>The company has Procedure of HIRA DC No. TTI/PROS/REN/02, dated 1 July 2012 and the company has established HIRADC for all activities in estate and mill, the last updated on 1 April 2014, included pollution control, monitoring of noise, audiometric test, etc.</p> <p>Monitoring of noise level in mill area has been conducted regularly, the last monitoring on 28th August 2014 with Digital sound tools (Model 407750 EXTECH).</p> <p>The company has OHS policy and procedures, approved P2K3 committee by "Kepala Dinas Sosial, Tenaga kerja dan Transmigrasi Kabupaten Labuhan batu No. KEP.07/P2K3/TK/2014", certificate "Ahli K3" for Mr. Asrul, dated 20 July 2012, regular meeting with "P2K3LHS members", e.g. last meeting was conducted on 7 May 2014, accident report and its evaluation, and HIRADC covering all activities in estates and mill, however, still found lack of operational control identified during site visit to PT UMW Mill, a number of working activity performed within UMW Mill does not reflect health and safety policy implementation and operational control:</p> <ol style="list-style-type: none"> 1. Welding operator (contractor worker) performing welding work without appropriate personal protective equipment; 2. Welding machine cables was not orderly placed, in addition a number of cable found to be exposed; 3. Oxygen tanks around UMW Mill premises were not chained; 4. Emergency shower in chemical store has not installed; 5. Lack of warning signs placed in chemical store premises (Major NC) 	<p>No</p>

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
4.7.2	Responsible person for health and safety programmes are to be identified and records of regular meetings to discuss health, safety and welfare issues must be kept. - Major compliance -	<p>OSH organization "P2K3" has been established and approved by "Dinas Sosial, Tenaga Kerja dan Kabupaten Labuhan batu No. KEP.95/P2K3/DSTKT-4/2014 in PT. UMW and No. KEP.94/P2K3/DSTKT-4/2014, dated 12 February 2014.</p> <p>Mr. Edi Jonathan Pinem is appointed as "Ahli Keselamatan dan Kesehatan Kerja Umum" based on Manpoer and Transmigration Ministry No. No.2148/M/DJPPK/VII/2012.</p> <p>OSH organization (P2K3) conduct monthly meeting and minutes meeting is sent to the Manpower Department of Labuhan Batu District, the last meeting was conducted on 4 February 2014, attended 26 P2K3 members.</p>	Yes
4.7.3	Provision for accident insurance for workers. - Minor compliance -	Provision of social insurance policy is available and documented in "Kebijakan K3" and "Labour Agreement (PKB)", during document review and interview with worker, it was noted that social insurance, namely "BPJS" provided for all workers.	Yes
4.7.4	Regular health examination by a doctor for workers in station or exposed to high risk work. - Minor compliance -	<p>The company maintained record of medical check up for each employee, included medical record and audiometric test.</p> <p>During interviewed with workers who are exposed high noise level, e.g. Mr. Zainul Irfan (Genset operator), it was found that the company has conducted audiometric test regularly for them.</p> <p><i>There is not adequate evidence of medical advice and dispensation administered a number of sprayer detected with intoxication symptoms (Minor NC)</i></p>	No

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
4.7.5	A documented risk assessment for Occupational Health and Safety (OHS). - Minor compliance -	<p>The company has Procedure of HIRA DC No. TTI/PROS/REN/02, dated 1 July 2012 and the company has established HIRADC for all activities in estate and mill, the last updated on 1 April 2014.</p> <p>Engineering control was implemented to prevent hearing loss, e.g. install noise reduction agent and administrative by erected signboard of noise area, as described in Risk Assessment, dated 01st April 2014.</p> <p>The company has monitored noise level as regulated in "Peraturan Menteri Tenaga Kerja dan Transmigrasi No.13 Tahun 2011-Tentang Nilai Ambang Batas Kebisingan". It is conducted every 6 months, the last monitoring in June 2014.</p>	Yes
4.7.6	Record of OHS Training. - Minor compliance -	The company has Training Program and training is conducted as program, e.g. First Aid Training on 16 January 2014 for supervisor and Harvesting standard and quality training on 7 February 2014, attended 48 harvester, Emergency preparedness procedure for Mill has been provided, however, programme for simulation has not in place (Minor NC)	No
4.7.7	Accident and emergency preparedness procedure. - Minor compliance	Procedure of accident and emergency preparedness was determined in procedure No. TTI/PROS/IMP/24, dated 1 July 2009 and No: 01 - 08/EHS-TTI/UMWPOM/010414/REV.0.	Yes
4.7.8	Evidence of OHS and first aid equipments available at worksites. - Minor compliance -	All operation has first aid kit and all relevant emergency information is pasted in nearby notice boards All operation has first aid kit and all relevant emergency information is pasted in nearby notice boards	Yes
4.7.9	Workers trained in first aid should be present in both field and mill operations Minor compliance -	Trained first aider is in place, e.g. First aid training was conducted for supervisor, namely: Mr. Haryono, Ahmad and Mr. Nicholas on on 18 October 2012.	Yes
4.7.10	Records of the occurrence of any work accidents are maintained and regularly reviewed. - Minor compliance -	Accident report is documented in "Rekapitulasi Kecelakaan Kerja tahun 2013" and Form "Investigasi Kecelakaan Kerja", e.g. Accident report for Mr. M. Erwansyah on 24 April 2014 and investigation accident was made on 5 May 2014.	Yes
4.8. All staff,workers, smallholders and contractors, are appropriately trained			

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
4.8.1	A documented training programme for staff, employee and scheme smallholders in accordance with workers' positions and competences. - Major compliance -	A well planned training programme is established based on training assessment, training program consist of type of training, targeted person, and by whom to be trained. This record shows monthly achievement of the trainings conducted, e.g. harvesting training on 7 February 2014. Evaluation of training was conducted on June 2014	Yes
4.8.2	Records of training for each employee are kept. Major compliance –	Record of training for each employee is available. Training program is included workers who are work in high noise level area, e.g. training "OHS and PPE" on 2 nd April 2014 .	Yes
4.8.3	Evidence that the company uses experienced or trained contractors. - Major compliance –	The company required for contractor to employed experience workers as determined in contract, e.g. Contract No.06/GMO-UMWN/TG/I/2013 dated 3 January 2014 for road maintenance work, also the company had carried out health and safety training for contractor's employee, e.g. Safety Briefing Attendance List for employee of CV Tua Gabe dated 16 April 2014.	Yes
Principle 5: Environmental responsibility and conservation of natural resources and biodiversity.			
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 continuous improvement			
5.1.1	Documented impact assessment. - Major compliance -	AMDAL document is available and approved by Badan Lingkungan Hidup Kabupaten Labuhan Batu No. 660/324/BLH-LB/AM/2009, dated 03 July 2009.	Yes
5.1.2	Records of regular report on environmental management in accordance with relevant regulations. - Major compliance -	Company 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 semeseter II 2013 (Period June – December 2013), acceptance letter by local government officer as evidence, however the report has not covers all environmental parameters as indicated in RKL-RPL and UKL-UPL document, e.g. surface and ground water monitoring and aquatic biota (Major NC)	No

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
5.1.3	Revisions to environmental management document if there are changes in companies operating areas or activities. - Minor compliance –	There is a revision of SEIA due to additional CDM project which has been approved by North Sumatera Governor No. 188.44/430/KPTS/2013, dated 10 July 2013.	Yes
5.2. The status of rare, threatened or endangered species and 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 their conservation taken into account in management plans and operations.			
5.2.1	Records of results of identification of any protected, rare, threatened or endangered species, and HCV habitat. - Major compliance -	Identification of RTEs through HCV assessment which has been carried out by “Yayasan Sawit Berkelanjutan Indonesia” in 2009 based on Indonesian HCV Toolkit, 2008. Based on HCV assessment, RTEs identified 16 mammal species, 33 bird species, 11 reptile species and 27 flora species flora, e.g . Beruang, Siamang, Burung elang, Burung Rangkong. HCV identified for HCV 1, HCV 3 and HCV 4 with total area 57.50 ha, included animal corridor.	Yes
5.2.2	If, rare, threatened or endangered species, or high conservation value habitats are present, appropriate measures to preserve them are to be taken. -- Major compliance -	Management plans and monitoring plans were developed based on the HCV consultants’ recommendations and these were inspected during the document review. The management plan of HCV updated every year and monitoring of HCV is conducted by monthly, e.g. HCV Management and Monitoring report, July 2014	Yes
5.2.3	Measures taken for protecting species and their habitats must be in accordance with relevant laws and included actions to control any illegal or inappropriate hunting fishing or collecting activities. - Major compliance –	PT. Agro Muko has socialized the HCV and biodiversity for all workers and communities surrounding company. Animal and habitat protection plan based on relevant law and regulation is available. The company also has displayed signboard and monitoring HCV area by security patrol.	Yes
5.2.4	Posters and signs warning of the presence of protected species are to be produced, distributed, and made visible to all workers and the community, including guidelines in handling them. - Minor compliance –	The company displayed HCV sign board in each HCV areas and based on interview and field verification in Tanjung Mulia and Sei Siarti Village, it was found that the company has conducted socialization of protected species on 10 March 2014.	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
5.2.5	Companies are to appoint dedicated and trained officers to monitor any plans and activities as above. - Minor compliance –	The company has appointed a dedicated person to handle and manage HCV, namely: Mr. Arbiyah Mutholib (Koordinator), Erwinsyah Nasution (member), Agus Simanjuntak (member) as appointment letter dated 22 August 2013.	Yes
5.3. Waste is reduced recycled, re-used and disposed of in an environmentally and socially responsible manner.			
5.3.1	All waste and pollutions sources are identified and documented. - Major compliance -	PT UMW and PT TUM have a waste management plan, identifying type and source of waste, further handling and disposal management. Hazardous waste is sent for Licensed hazardous waste transporter.	Yes
5.3.2	Estates and mills waste management and disposal are implemented to avoid or reduce pollution. - Major compliance -	The company has implemented waste management, included domestic waste in "Rencana Pengelolaan Limbah" however several environmental aspect impact control points have not been fully implemented at the mill, e.g. oil separators in monsoon drain and second containment on chemicals and oils storage (Major NC).	No
5.3.3	Management plan of hazardous waste and instruction of disposal of agrochemicals and their containers waste in accordance with the product label and existing regulations. - Minor compliance –	PT UMW North Estate and PT TUM Estate has prepared and maintain complete record fot hazardous waste storagage under "Limbah Neraca Limbah Berbahaya dan Beracun Transit Point Limbah B3 UMWN". The record states maximum storage time is 30 days prior transportation to PT UMWSouth Estate hazardous waste store. Each delivery made from PT UMWNorth Estate and PT TUM Estate to PT UMSouth Estate completed with hand over minute.	Yes
5.3.4	Records of waste monitoring/analysis. - Minor compliance –	PT UMW and PT TUM maintained record of domestic waste, both organic and anorganic. Domestic waste is being segregated since worker housing. Organic matter from domestic waste is composted between oil palm trees. PT UMW and PT TUM is located in 100% peat soil land, therefore not permitted to build landfill. The current practice is using three (3) incinerators to burn down anorganic domestic waste. There is no permit for incinerator since there is no local regulation administer incinerator. Hazardous waste in PT UMW and PT TUM managed in appropriate manner	Yes
5.4. Efficiency of energy use and use of renewable energy is maximised			
5.4.1	Records of monitoring renewable energy use and its efficiency analysis (energy/ton CPO, or energy/ton palm product). - Minor compliance –	There is no record in place at the mill on monitoring renewable energy use and its efficiency analysis (energy/ton CPO, or energy/ton palm product). There is no record in place at the mill on monitoring renewable energy use and its efficiency analysis (energy/ton CPO, or energy/ton palm product) – Minor NC	No

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
5.4.2	Records of monitoring of fossil fuels use for operational reason and its efficiency analysis. Minor compliance –	<i>There is no record in place at the mill on monitoring of fossil fuel use for operational reason and its efficiency analysis (Minor NC)</i>	No
5.5. Use of fire for waste disposal and for preparing land for replanting is avoided except in specific situations, as identified in the ASEAN guidelines or other regional best practice.			
5.5.1	Documented assessment where fire has been used for preparing land for replanting. - Major compliance -	PT UMW and PT TUM plantation located on 100% peat soil land. PT UMW and PT TUM have a zero burning policy and developed waste management plan. Zero burning policy dated 20 September 2006. PT UMW and PT TUM provide robust evidence the development in peat soil is in line with zero burning policy. Records of land preparation shows the activities were done with mechanical machineries, with no burning.	Yes
5.5.2	Records of implementation of zero burning policy. - Major compliance -	The company has policy for zero burning, dated 20 September 2006, Fire Fighting organization “Badan Koordinasi Kebakaran” which has been trained by “Damkarhut – Manggala Agni” BKSDA Nort Sumatera Province on 17 – 19 Februari 2014. PT UMW and PT TUM are not allowed to build landfill for domestic refuse handling. The current policy is to composted the organic waste and incinerate the anorganic waste. There are three (3) incinerators in PT UMW and PT TUM plantation. Environmental aspect-impact, risk assessment, working instruction and records for incinerator operation sighted during Stage 2 Assessment. The waste burning carried out in controlled location. Incinerator ash refused between palm trees. The company also conduct land fire monitoring regularly, the report and photograph as evidence. Zero burning policy implemented consistently within PT UMW and PT TUM.	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
5.5.3	Procedures and records of emergency responses to land burning (Tanggap Darurat Kebakaran Lahan) - Minor compliance -	<p>PT UMW and PT TUM developed procedures for land burning emergency response under "Prosedur Pencegahan dan Pengendalian Kebakaran Lahan" No.ENC/SOP/10 dated February 1, 2014. PT UMW and PT TUM has fire fighting team (Bakortiba), structured within safety committee and equipped with sufficient facilities. Bakortiba member has been trained by BKSDA in coordination with Manggala Agni for land fire monitoring and control. Bakortiba has sufficient facilities comprise of fire truck, water tank, water pumps, water hoses, nozzles, solo-sprayers and fire-fighting PPE. All facilities and equipment monitored on regular basis and ready-to-use.</p> <p>A system is in place to monitor fire risk in plantation. The fire risk monitoring is based on rainfall measurement and number of raining day; the result recorded under "Status Resiko kebakaran" and exposed on fire risk notice board. Fire patrol carried out on regular basis. PT TUM provide example of fire fighting records, dated February 10, 2014 at block M16 boundary.</p>	Yes
5.5.4	Presence of appropriate fire extinguishers and facilities, depending on the risks assessment. - Minor compliance -	List of Fire fighting equipment, such as: fire man helm, fire boot, nomex gloves, fire man coverall, floating pump, hose, fire extinguisher, nozzle, sprayer, water pump, hoe, etc	Yes
5.6. Plans to reduce pollution and emissions, including greenhouse gases are developed, implemented and monitored.			
5.6.1	Evidence of identification of pollution and emissions sources at mills. - Major compliance -	<p>The company has developed pollution and emission reduction plan. The plan covers planning, implementing plans and monitoring activities generating pollution and emission. PT UMW and PT TUM 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 identification listed all relevant activities that generate pollution and emission from office, plantations, palm oil mill, mill effluent treatment up to workers activities.</p>	Yes
5.6.2	Monitoring of pollution and emission quality of the sources identified. - Major compliance -	No evidence of a periodic pollution and emission quality test for boiler and generator including ambient as per regulation (Major NC)	No

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
5.6.3	Records of efforts and strategies employed to reduce pollution and emissions. Minor compliance –	Record of effort to reduce pollution and emission is available, e.g. CDM project (Biogas Plant), best practices in peat land, implementing waste management plan, etc.	Yes
5.6.4	Records of identification, monitoring, and treatment methodology for POME. Minor compliance –	PT UMW and PT TUM have prepared a strategy in effort to reduce and mitigate pollution and emission. Monitoring of pollution and emission quality for plantation has been planned.	Yes
Principle 6: Responsible consideration of employees and of individuals and communities affected y growers and mills			
6.1. Aspects of plantation and mill management, including replanting, that have social impacts 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 continuous improvement.			
6.1.1	Documented environmental and social impact assessment, including details of positive and negative social effects that may be caused by plantations and mills, and documented participation of affected parties and local communities. - Major compliance -	The Social Environmental Impact Assessment (SEIA) is available and the company also is conducting Social Impact Assessment (SIA) which report in progress.	Yes
6.1.2	Regular monitoring and management of social impact, with the participation of local communities. - Minor compliance -	The company involving local communities in management and monitoring of social impact, consultation and communication was conducted regularly.	Yes
6.1.3	Results of revisions to the environmental management document that encompasses social impact assessments in the event there are changes to company's operational scope, in accordance with existing regulations. - Minor compliance -	The company has revised the SEIA due to CDM project and processing of solid waste, approved by North Sumatera Governor No. 188.44/430/KPTS/2013, dated 10 July 2013.	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
6.1.4	A regular and scheduled environmental management and monitoring Report. - Minor compliance –	<p>The company was reported Environmental Management and Monitoring (RKL – RPL) regularly per semester to the local environmental agency, e.g. Report of RKL – RPL for semester II (Period June – December 2013), acceptance of delivery note as evidence by BLH Kabupaten Labuhan Batu Selatan on 21 February 2014.</p> <p>RKL – RPL report also covering social aspect, such as work opportunity for local workers, social facilities for local community, involving local communities to increase their income, etc. The company was reported Environmental Management and Monitoring (RKL – RPL) regularly per semester to the local environmental agency, e.g. Report of RKL – RPL for semester II (Period June – December 2013), acceptance of delivery note as evidence by BLH Kabupaten Labuhan Batu Selatan on 21 February 2014.</p> <p>RKL – RPL report also covering social aspect, such as work opportunity for local workers, social facilities for local community, involving local communities to increase their income, etc.</p>	Yes
6.1.5	Particular attention paid to the impacts of outgrower schemes (where the plantation includes such a scheme). - Minor compliance –	N/A	N/A
6.2 There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.			
6.2.1	Documented procedures and records of communication and consultation with the communities. - Major compliance -	The company has documented a procedure of communication with internal and external stakeholders in "Prosedur keluh Kesah no. SOP/025/HRA, dated 23 December 2009.	Yes
6.2.2	Maintenance of a list of stakeholders. - Minor compliance -	List of stakeholders is maintained and updated regularly, stakeholders list consist stakeholders, both internal and external, e.g. 8 stakeholders from District Government Officer, 4 stakeholders from Sundistrict Government Officer, 9 labour union, 4 contractors, 2 suppliers.	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
6.2.3	Records of local communities' aspiration and responses or followup actions by companies to these requirements - Minor compliance -	Local communities aspiration and response given documented in " <i>Rekaman Informasi dan Tanggapan</i> "; based on interviewed with local communities confirm that the company has responded aspiration appropriately. There are 5 aspiration were noted in 2013, e.g. from Mr. Samsul Bahri (Local community from Bulu Tolang village), asking job vacancy in PT. UMW on 10 October 2013, it has been responded by company in the same day and from Mrs. Sri Misgioni, asking job vacancy for kindergarten teacher in PT. UMW and PT. TUM on 10 February 2014, response has given that selection of kindergarten teacher will be started in April 2014.	Yes
6.2.4	A dedicated person responsible for consulting and communicating with local communities. - Minor compliance -	UMW Mill manager is appointed as a personnel who responsible for consultation and communication with local communities. This was confirmed through interview and review on mill manager job description.	Yes
6.3. There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all parties.			
6.3.1	An open system, which is accepted by affected parties, to receive complaints and to resolve dispute in an effective, timely and appropriate manner. - Major compliance -	The company has mechanism for handling complaint from stakeholders in "Prosedur Keluh Kesah dengan Pihak Eksternal" No. SOP/026/HRA, dated 23 December 2009 and procedure No. Dok. SOP/025/HRA, dated 23 December 2009 for internal.	Yes
6.3.2	Records of handling of the complaints. - Minor compliance -	Record of complaint and grievance is documented in log book "Rekaman keluhan kesah Internal - Eksternal", there are 10 complaints were received during 2013 and 3 complaints in 2014, e.g. from Mr. Ade Irwansyah regarding Boot shoes compensation on 10 March 2014 and Mr. Hosin related annual leave-cut in his salary statement - September 2013, however it was noted no response recorded in log book (Minor NC)	No
6.3.3	Procedures for the identification and calculation of fair compensation for the loss of legal or customary right of the land, with the involvement of local community representatives and relevant agencies and made publicly available. - Minor compliance -	The company has established identification, calculation and compensation for the loss of legal and customary rights of the land in "Procedure No. SOP/CA/02, dated 01 Juli 2012". This procedure has been communicated to relevant stakeholders and made publicly. During interview with local communities, it was found that they understood of land compensation mechanism in the company.	Yes
6.4. Any negotiations concerning compensation for loss of legal or customary 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.			

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
6.4.1	Procedures for the identification, calculation and compensation for the loss of legal or customary rights of the land, with the involvement of local community representatives and relevant agencies. - Major compliance –	Procedure of identification, calculation and compensation mechanism determined in "Prosedur Ganti Rugi Lahan" No. SOP/CA/02, dated 01 July 2012.	Yes
6.4.2	Records of identification of people entitled to receive compensation. - Minor compliance –	<p>All documents of land compensation for PT. TUM and PT. UMW is available in HO-Medan. It is verified during audit in HO Medan on 9 May 2014. Based on land compensation process document in "Rekap GRTG- Ganti Rugi Tanah Garapan", it was noted that PT. UMW has compensate 6,468.60 ha (phase I HGU) for 93 group and 1,163 land owners and 1,923.03 Ha (Phase II – HGU) for 18 group and 84 land owners in Tanjung Mulia and Sei Siarti Village. PT. TUM has also compensated 761.67 ha for 31 group and 108 land owners. Land compensation process involving government officer and witnessed by neighboring land owners.</p> <p>Land compensation documents, consist of: "Surat Pelepasan hak menggarap atas tanah garapan", "Surat Keterangan Ganti Rugi Tanah Garapan (SK-GRTG)", "KTP penerima kompensasi" (Identity Card), "Berita Acara hasil pengukuran" dan "Inventarisasi lahan garapan masyarakat", "Peta hasil peninjauan dan pengukuran izin lokasi", "Surat Ganti Rugi Tanah (SGRT)", "Bukti pembayaran berupa kuitansi", "Bukti transfer bank dan photo penerima yang sedang menerima kompensasi" - Evidence of receipt of compensation, photograph of compensated land.</p> <p>Land compensation documents for PT. TUM are documented in "PT. UMW Permohonan HGU tahap I No. 1 –45" and "PT. UMW Permohonan HGU Tahap II No.1 – 7" and PT. TUM is documented in "PT. TUM permohonan HGU No.1 – 9"</p>	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
6.4.3	Records of negotiations processes and/or the details of compensation settlements. - Minor compliance -	Evidence of land compensation for PT. UMW, e.g. Datsun Hutasoit (2.0 Ha), land compensation process documents, such as: "Surat bukti kepemilikan berupa Surat ganti Rugi Tanah SGRT", 1 April 2005, "Surat pelepasan hak menggarap dan surat keterangan ganti rugi tanah garapan", 4 April 2008, "KTP" – identity card, "Berita Acara Hasil pengukuran", 3 April 2008, location map signed by the company representative, complainant and witness, receipt and photograph as evidence and compensation for Mrs. Imelda Situmorang (9.98 ha), "Bukti kepemilikan berupa Surat Penyerahan Tanah/Ganti rugi", 16 July 2003, "Surat Keterangan Tanah dari Desa sei Siarti", 25 March 2009, "Surat pelepasan hak menggarap dan surat keterangan ganti rugi tanah garapan", 13 July 2009, "KTP – Identity card, "Berita Acara Hasil pengukuran" dated 12 July 2009, with location map, signed by both (company representative and complainant), receipt and photograph.	Yes
6.4.4	Records of the implementation of compensation payment. - Minor compliance -	Record of compensation payment is available in premises.	Yes
6.5. Pay and conditions for employees and for employees of contractors always meet at least legal or industry minimum standards and are sufficient to provide decent living wages			
6.5.1	Documentation of employees' pay rates. - Major compliance -	The company determine minimum wages as regulated by Government every year, minimum wages in 2013 as "Surat keputusan Gubernur Sumatera Utara No. 188.44/219/KPTS/2013", dated 28 March 2013, the minimum wages in 2013 is Rp. 1.536.000,- Based on review of payments slip, there are no worker's salary below minimum wages, e.g. payment slip for August 2013 Mr. Juhendri Pasaribu is Rp. 1.982.199 and Mr. Heri perjuangan Munthe is Rp 2.248.266.	Yes
6.5.2	A company working regulations and work contracts, in accordance with existing regulations. - Major compliance -	Worker Agreement (PKB) between company and labour union is referred in working regulation and contract between company and each worker, based on document review, it was noted that all workers has signed contract, e.g. contract of Mrs. Desima Rismawati Br. Marbun (Checker) on 01 June 2012.	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
6.5.3	Growers and millers provide adequate housing, water supplies, medical, educational, and other facilities for employees where such facilities are not available or accessible. - Minor compliance –	The company has prepared facilities for their workers, such as: housing (177 units), long house (21 units), polyclinic (1 unit), mosque (2 units), church (1 unit), and sport facilities, also electricity and water.	Yes
6.5.4	Agreements entered into with contractors are to specify that contractors abide by labor laws. - Minor compliance –	Surat <i>Perjanjian Kerja</i> (Working agreement) with external contractors including rights and obligation of both company and contractors, sanctions with annex Undang-Undang No.1 tahun 1970 regarding working safety and others referring law. Review of contract during audit confirms that contracts abide the law, e.g. contract between PT. Umbul Mas Wisesa and CV. Karya Murni No. 09/GMO-TUME/KM/IV/2013, dated 15 April 2013 and PT. Trirpyal Timurraya no. 12/UMWPOM-HOE/EDM/2012, dated 19 November 2012.	Yes
6.6. The employer respects the right of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.			
6.6.1	Documented company policy recognizing freedom of association. Minor compliance –	Recognizing of freedom association in “Kebebasan Berserikat”, dated 01 March 2013 which stated the company recognizes the role of lawful and independent workers and employees representative organization in creating a constructive working environment.	Yes
6.6.2	Documented minutes of meeting with any labor union (if any). Minor compliance –	The company has commitment to freedom of association; Labour union has established “Serikat Pekerja Umbul Mandiri (SPUM), register to Manpower Department of Labuhan Bartu District No. 002/SPM-UMW/EXT/XI/2009, dated 08 January 2009. The workers also are registered as “Serikat Pekerja” members, it were noted 316 members in PT. UMW and 136 members in PT. TUM. The company conducts regular meeting with labour union at least every 3 months, the last meeting was conducted on 20 December 2013, attendance list, minutes meeting and photograph as evidence. The result of meeting between company and labour union is available, e.g. Perjanjian Kerja Bersama/(PKB (Worker Agreement), it has registered to the Manpower and Transmigratiuon Department of North Sumatera Province No. No. 291-6/DTK-TR/2012, dated 22 Nopember 2012.	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
6.7. Children are not employed or exploited. Work by children is acceptable on family farms, under adult supervision and when not interfering with education programmes. Children are not exposed to hazardous working conditions.			
6.7.1	Documented company policy on worker age requirement, in accordance with national laws. - Major compliance –	A policy “Pekerja Anak” dated 01 March 2013 and procedure “Penerimaan karyawan”, dated 19 september 1997, state that age accepted for work is only 18 years above	Yes
6.7.2	Records of implementation of company policy on worker age requirements. - Minor compliance –	document review confirm that no any workers was hired below 18 year.	Yes
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 documented equal opportunities Policy - Major compliance –	The company has policy for equal opportunities, dated 01 march 2013 which stated that “Tidak akan mendiskriminasikan siapapun dalam hal penerimaan pekerja atau dalam kegiatan usahanya”	Yes
6.8.2	Evidence of equal treatment in working opportunities for workers. - Minor compliance –	Based on document review and interview with workers and local communities, confirmed that the company give the same opportunities for job vacancies and equal opportunity for job promotion.	Yes
6.9. A Policy to prevent sexual harassment and all other forms of violence against women and to protect their reproductive rights is developed and applied.			
6.9.1	A documented company policy on sexual harassment and violence. - Major compliance –	Policy to prevent sexual harassment and reproduction right, dated 1 March 2013, stated that “The company commitment to prevent sexual harassment and reproductive rights as regulated in Indonesia law.	Yes
6.9.2	A documented company policy on the protection of reproductive rights. - Major compliance –	Policy to prevent sexual harassment and reproduction right, dated 1 March 2013, stated that “The company commitment to prevent sexual harassment and reproductive rights as regulated in Indonesia law.	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
6.9.3	Proof of implementation of sexual harassment policy. - Minor compliance -	PT. Umbul Mas has established gender committee to solve sexual harassment cases and enhance reproductive right for women workers. Gender committee conduct meeting regularly, e.g. the last meeting in December 2013 to address reproduction right and maternity leave (minutes of meeting, attendance list and photograph as evidence) No sexual harassment and violating of reproductive rights were noted during audit and interview with workers and gender committee leader and members.	Yes
6.9.4	Proof of implementation of reproductive rights policy. - Minor compliance -	Company giving maternity leave for 3 months with monthly wages, e.g. Mrs. Jeni Dameria Siregar, case: Prematur falling out, leave from 02 January 2013 – 16 February 2013, payment of salary in January is Rp. 1.642.370 and for Mrs. Jelita br. Galingging, maternity leave from 30 October 2013 – 5 February 2014, payment of salary in January 2014 is Rp. 1.641.370.	Yes
6.9.5	specific grievance mechanism is available. - Minor compliance -	A Procedures of sexual harassment by identifying type of harassment & report to Gender committee and investigation will be conducted by management team & if found guilty, disciplinary action will be taken	Yes
6.10. Growers and mills deal fairly and transparently with smallholders and other local businesses			
6.10.1	Current and past prices paid for FFB shall be publicly available. - Major compliance -	N/A (No FFB incoming from outside)	Yes
6.10.2	Pricing mechanisms for FFB and inputs/services shall be documented (where these are under the control of the mill or plantation). - Major compliance -	No FFB incoming from outside, however the company prepared FFB pricing mechanism for scheme and independent smallholders (if any)	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
6.10.3	Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent. - Minor compliance -	No any contracts with FFB upplier, however there are contracts for others, e.g. contract with CV Karya Murni for drainage construction in PT. UMW as agreement No. 35/GMO-UMWN/KM/X/2013, dated 16 October 2013 and with CV TUA GABE for road maintenance as agreement No. 10/GMO-TUME/TG/IV/2013, dated 1 April 2013. Based on review of contract, it was seen that contract is fairly, legal and transparent. Total payment for local contractors in 2013 is Rp. 9.762.846.060 in PT. UMW and Rp. 5.452.034.000 in PT. TUM.	Yes
6.10.4	Agreed payments shall be made in a timely manner. - Minor compliance -	Payment for contractor is timely manner, e.g. payment for CV. Karya Murni based on invoice No. No. 03/GMO/UMWN/KM/I/2013, paid Rp. 78.054.900 on on 15 April 2013 and payment for CV. Tua Gabe as invoice No. 83TG/TUME/X/2013, paid Rp. 23.225.400, on 22 October 2013.	Yes
6.11. Growers and millers contribute to local sustainable development wherever appropriate			
6.11.1	Records of company contributions to the local development. - Minor compliance -	Contribution to villages surrounding the concession in 2014 is Rp. 30,824,000; consist of donation for the independence day celebration, and community development in PT TUM, while local contribution of PT. UMW in 2014 is Rp. 94.832.000 for CD and CSR as well as develop village facilities, e.g. road maintenance, support for sport activities, training for best practices in oil palm plantation, education, medicine, etc.	Yes
Principle 7: Responsible development of new plantings			
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 result incorporated into planning management and operations.			

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
7.1.1	Social and environmental impact assessments (AMDAL), which include details of both positive and negative social and environmental impacts, made with the participation of affected parties (local communities). - Major compliance -	AMDAL (SEIA) document is available and approved by Badan Lingkungan Hidup Kabupaten Labuhan Batu No. 660/324/BLH-LB/AM/2009, dated 03 July 2009 fro PT. UMW and UKL – UPL document is approved by Badan Lingkungan Hidup Kabupaten Labuhan batu No. 660/324/BLH-LB/AM/2009, dated 03 July 2009 for PT. TUM. There is a revision for AMDAL (SEIA) document in PT. UMW due to additional CDM project which has been approved by North Sumatera Governor No. 188.44/430/KPTS/2013, dated 10 July 2013.	Yes
7.1.2	Appropriate management plan and operational procedures (RKL/RPL). - Minor compliance -	Environmental Management and Monitoring (RKL – RPL) is available and the company send Environmental Management and Monitoring (Laporan RKL – RPL) every 6 months.	Yes
7.1.3	Smallholders, records of development program for smallholders are kept, in accordance with the scheme and relevant laws. - Minor compliance -	N/A (No any scheme smallholder)	N/A
7.2. Soil survey and topographic information are used for site planning in the establishment of new plantings, and the result are incorporated into plants and operations			
7.2.1	Results of land surveys to determine suitability of soil are to be provided, including information on topography, climate, soil type, soil fertility, water table depth and drainage. - Major compliance -	Semi detail Soil survey was conducted by “Central Plantation Service” in June 2010, mostly area is flat and peat soil, water table monitoring is available.	Yes
7.2.2	Evidence that plantations are developed in accordance with the suitability of the land. - Minor compliance -	The company manage their plantation based on best practice management guidance in peat land.	Yes
7.3. New Plantings since November 2005, have not replaced primary forest or any area required to maintain or enhance one or more High Conservation Values.			

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
7.3.1	New plantings within Nov 05 and Nov 07 must be in compliance with existing regulatory requirements that relate to social and environmental impacts management, and with the legalized land spatial planning. - Major compliance –	Planting between November 2005 – November 2007 based on existing regulation.	Yes
7.3.2	Maps showing plan and realization of and clearing in accordance with HCV identification. - Major compliance –	The company has planted some of area before HCV identification was conducted by YASBI in 2009, and then the company will go through RSPO compensation mechanism.	Yes
7.4. Extensive planting on steep terrain, and/or marginal and fragile soils, is avoided			
7.4.1	Maps identifying marginal and fragile soils, including excessive gradients and peat soils, should be available. - Minor compliance –	Identified fragile soil (peat soil) in appropriate map scale.	Yes
7.4.2	Where limited planting on fragile and marginal soils is proposed, plans shall be developed and implemented to protect them without incurring adverse impacts. - Minor compliance –	<i>Having adequate information on soil suitability and presence of marginal soil (based on Semi detailed soil survey 2010), there is not adequate evidence PT UMW planned effort to avoiding or limiting planting of more than 300 Ha on deep peat soil in PT UMW-N Estate (Minor NC)</i>	No
7.5. No new plantings are established on local peoples land without their free, prior and informed consent, dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.			
7.5.1	Social and environmental impact assessment document which include analysis of both positive and negative environmental and social impacts, and made with the participation of affected parties. - Major compliance –	AMDAL (SEIA) document is available and approved by Badan Lingkungan Hidup Kabupaten Labuhan Batu No. 660/324/BLH-LB/AM/2009, dated 03 July 2009 fro PT. UMW and UKL – UPL document is approved by Badan Lingkungan Hidup Kabupaten Labuhan batu No. 660/324/BLH-LB/AM/2009, dated 03 July 2009 for PT. TUM which included positive and negative impact, the company has implemented "Management and Monitoring Plan as recommended in SEIA/AMDAL/UKL-UPL documents.	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
7.5.2	Documented socialization programs prior to new plantings. - Major compliance –	The company has conducted socialization to the local communities surrounding plantation, included land compensation for land owner mechanism and implementing FPIC process.	Yes
7.5.3	Proof of payment to land owners and proper handing-over of the land for new plantings - Major compliance –	Record of compensation payment is available in premises.	
7.6. Local people are compensated for any agreed land acquisitions and relinquishment of rights, subject to their free, prior and informed consent and negotiated agreement			
7.6.1	Documented identification and assessment of customary and legal rights with the involvement of relevant government agencies and local communities. - Major compliance –	Based on review of land compensation documents, the company has involved relevant government agencies, such as head of villages, subdistrict agencies (MUSPIKA) and head of local communities in land compensation process.	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
7.6.2	Procedures to identify people entitled to receive compensation. - Major compliance –	<p>All documents of land compensation for PT. TUM and PT. UMW is available in HO-Medan. It is verified during audit in HO Medan on 9 May 2014. Based on land compensation process document in "Rekap GRTG- Ganti Rugi Tanah Garapan", it was noted that PT. UMW has compensate 6,468.60 ha (phase I HGU) for 93 group and 1,163 land owners and 1,923.03 Ha (Phase II – HGU) for 18 group and 84 land owners in Tanjung Mulia and Sei Siarti Village. PT. TUM has also compensated 761.67 ha for 31 group and 108 land owners. Land compensation process involving government officer and witnessed by neighboring land owners.</p> <p>Land compensation documents, consist of: "Surat Pelepasan hak menggarap atas tanah garapan", "Surat Keterangan Ganti Rugi Tanah Garapan (SK-GRTG)", "KTP penerima kompensasi" (Identity Card), "Berita Acara hasil pengukuran" dan "Inventarisasi lahan garapan masyarakat", "Peta hasil peninjauan dan pengukuran izin lokasi", "Surat Ganti Rugi Tanah (SGRT)", "Bukti pembayaran berupa kuitansi", "Bukti transfer bank dan photo penerima yang sedang menerima kompensasi" - Evidence of receipt of compensation, photograph of compensated land.</p> <p>Land compensation documents for PT. TUM are documented in "PT. UMW Permohonan HGU tahap I No. 1 –45" and "PT. UMW Permohonan HGU Tahap II No.1 – 7" and PT. TUM is documented in "PT. TUM permohonan HGU No.1 – 9"</p>	Yes
7.6.3	Records of negotiation process and/or compensation settlements are available. - Minor compliance –	As indicator 7.6.2	Yes
7.6.4	Documentation of calculation and payment for compensation. - Minor compliance –	As indicator 7.6.2	Yes
7.6.5	Communities that have lost access and rights to land for plantation expansion are given opportunities to benefit from plantation development. - Minor compliance –	The company has involved local communities in development plantation as contractors, supplier, accessibility, etc.	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
7.6.6	The process and outcome of any compensation claims should be documented and made publicly available. - Minor compliance –	Land compensation documents are documented and procedure for land compensation mechanism is socialized to the local community and others stakeholders as well as outcome is publicly.	Yes
7.7. Use of fire in the preparation of new plantings is avoided other than in specific situations, as identified in the ASEAN guidelines or other regional best practice.			
7.7.1	Documented assessment where fire has been used for preparing land for planting. - Major compliance –	PT UMW and PT TUM plantation located on 100% peat soil land. PT UMW and PT TUM have a zero burning policy and developed waste management plan. Zero burning policy dated 20 September 2006. PT UMW and PT TUM provide robust evidence the development in peat soil is in line with zero burning policy. Records of land preparation shows the activities were done with mechanical machineries, with no burning.	Yes
7.7.2	Records of implementation of zero burning policy. - Major compliance –	The company has policy for zero burning, dated 20 September 2006, Fire Fighting organization “Badan Koordinasi Kebakaran” which has been trained by “Damkarhut – Manggala Agni” BKSDA Nort Sumatera Province on 17 – 19 Februari 2014. PT UMW and PT TUM are not allowed to build landfill for domestic refuse handling. The current policy is to composted the organic waste and incinerate the anorganic waste. There are three (3) incinerators in PT UMW and PT TUM plantation. Environmental aspect-impact, risk assessment, working instruction and records for incinerator operation sighted during Stage 2 Assessment. The waste burning carried out in controlled location. Incinerator ash refused between palm trees. The company also conduct land fire monitoring regularly, the report and photograph as evidence. Zero burning policy implemented consistently within PT UMW and PT TUM.	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
7.7.3	Procedures and records of emergency responses to land burning (Tanggap Darurat Kebakaran Lahan) - Major compliance –	<p>PT UMW and PT TUM developed procedures for land burning emergency response under “Prosedur Pencegahan dan Pengendalian Kebakaran Lahan” No.ENC/SOP/10 dated February 1, 2014. PT UMW and PT TUM has fire fighting team (Bakortiba), structured within safety committee and equipped with sufficient facilities. Bakortiba member has been trained by BKSDA in coordination with Manggala Agni for land fire monitoring and control. Bakortiba has sufficient facilities comprise of fire truck, water tank, water pumps, water hoses, nozzles, solo-sprayers and fire-fighting PPE. All facilities and equipment monitored on regular basis and ready-to-use.</p> <p>A system is in place to monitor fire risk in plantation. The fire risk monitoring is based on rainfall measurement and number of raining day; the result recorded under “Status Resiko kebakaran” and exposed on fire risk notice board. Fire patrol carried out on regular basis. PT TUM provide example of fire fighting records, dated February 10, 2014 at block M16 boundary.</p>	Yes
7.7.4	Presence of appropriate fire extinguishers and facilities, depending on the fire risks. - Minor compliance –	List of Fire fighting equipment, such as: fire man helm, fire boot, nomex gloves, fire man coverall, floating pump, hose, fire extinguisher, nozzle, sprayer, water pump, hoe, etc	Yes
Principle 8: Commitment to continuous improvement in key areas of activity			
8.1. Growers and millers regularly monitor and review their activities and develop and implement action plans that allow demonstrable continuous improvement in key operations.			

RSPO Public Summary Report
Revision 1 (Sept/2014)

RSPO Criterion / Indicator		Assessment Findings	Compliance
8.1.1	<p>A monitoring action plan based on the social environmental impact assessment, and regular evaluations of plantation and mill operations. As a minimum, these must include, but not necessarily be limited to:</p> <ul style="list-style-type: none"> • Reduction in use of certain chemicals (criterion 4.6). • Environmental impacts (criterion 5.1). • Waste reduction (criterion 5.3). • Pollution and emissions (criterion 5.6). • Social impacts (6.1). <p>- Major compliance –</p>	<p>A continuous improvement plan has been prepared and internal audit conducted to identify environmental and social activities:</p> <ul style="list-style-type: none"> - Reducing emission and pollution by CDM project. - Integrated Pest Management (IPM), covering establish and installing barn owl, monitoring barn owl, planted and upkeep beneficial plant (Turnera, Casia, Cassia tora, Antigonon) - Monitoring water level in main drain and collection drain to reduce emission and peat subsidence. - Monitoring of social - environmental to mitigate negative impact in plantation operational. - Monitoring wild animal corridor to protect RTEs and wildlife. - Improving CD and CSR programme, etc 	Yes
8.1.2	<p>Records of follow-up actions taken against RSPO audit findings, if any.</p> <p>- Minor compliance –</p>	N/A	N/A

RSPO Public Summary Report
Revision 1 (Sept/2014)

3.2 Progress against 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 District, Bengkulu Province, Indonesia	Muko Muko estate, S. Betung estate, Tanah rekah estate, Talang Petai estate, S. Kiang estate and KMD	2011	Certified February 2011
	Bunga Tanjung Mill	Mukomuko District, Bengkulu Province, Indonesia	Bunga Tanjung estate, Air Bikuk estate, Air Buluh estate and KMD	2011	Certified February 2011
			PT. Mukomuko Agro Sejahtera: - Air Majunto estate - Malin Deman estate	2014	It will be certified in 2014 (it has been gone through RSPO NPP process, RSPO public notification on 10 th October 2010)
PT. Tolan Tiga	Bukit Maradja Mill	Simalungun District, North Sumatera, Indonesia	- Bukit Maradja Estate (PT. ESI) - Kerasaan Estate (PT. Kerasaan Indonesia)	2010	Certified May 2010
	Perlabian Mill	Labuhan Batu Selatan District, North Sumatera, Indonesia	Perlabian estate and Tolan estate.	2010	Certified May 2010
PT. Umbul Mas Wisesa	Umbul Mas Wisesa Mill		UMW South estate, UMW North estate and Toton Usaha Mandiri estate	2014	Audited in May 2014
PT. Agro Kati Lama					Still developed (It has been RSPO NPP), RSPO public Notification on 31 st March 2014.
PT. Agro Rawas Ulu					Still developed (It has been RSPO NPP), RSPO public Notification on 31 st March 2014.
PT. Agro Muara Rupit					Still developed (It has been RSPO NPP), RSPO public Notification on 31 st March 2014.
Hargy Oil Palm Limited (HOPL)	Hargy Mill	East of Biialla, West New Britain Province, PNG	Hargy Estate	2009	RSPO Certified in April 2009
	Navo Mill	50 Kms East of Biialla, West New Britain Province, PNG	Navo Estate, Bakada Estate and Mengan Estate	2009	RSPO Certified in April 2009
	Barema Mill	30 km East of Biialla, West New Britain Province, PNG	Barema Estate	2014	RSPO Certified in April 2014

Auditor finding related time bound plan:

There are no changes of time bound plan for existing company since the initial certification in Sipef Group. Recently, there are 3 new plantation projects in South Sumatera, Indonesia and its have been gone through RSPO New Planting Procedures, the public notification was submitted and announced in RSPO website on 31st March 2014.

BSI assessment team consider the time bound plan is challenging and still relevant to their management. BSI audit team found that the company comply with the Time bound Plan.

BSI also assessed the requirement for partial certification and concluded that:

1. There are no unresolved significant land disputes.
2. No replacement of primary forest or loss of HCV. New land acquisition follows the RSPO NPP process including public notification of new planting.
3. No labour disputes that are not being resolved through an agreed process.
4. No evidence of noncompliance with law noted.

3.3 Details of findings

3.3.1. Major NC were raised during this assessment

Non-Conformity		
NCR No.	Description	Category (Major / Minor)
1025752M0	<p>Requirements: RSPO P & C – Indicator 2.1.2 Evidence of efforts made to comply with changes in the regulations.</p>	Major
	<p>Evidence of Nonconformity:</p> <ol style="list-style-type: none"> 1. Procedure "Compliance with regulation" No. CA/SOP/01, dated 1 November 2011, stating Corporate Affairs Manager responsible in providing information on issuance and/or amendment of law and government regulation to department head. 2. List of regulation in Oil Palm sector. 	
	<p>Statement of Nonconformity: There is not adequate evidence Corporate Affairs Manager provide up-to-date information onto estates and mill related to new and amended regulations. Information update on new and amended regulations was provided by ENC department, instead of Corporate Affairs Manager as written in procedure.</p>	
	<p>Action: Corporate Affairs Manager has updated list of legal requirements and inform each new and or amendments regulation to the unit operations (estates and mills), e.g. updated information regarding amendment of Peraturan Presiden (President Decree) no. 12, year 2013 become Peraturan Presiden No. 111, year 2013 tentang "BPJS (Badan Penyelenggara Jaminan Sosial) Kesehatan on 30 May 2014.</p>	
	<p>This NC was closed out on 4 September 2014</p>	
	Closed?	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

Non-Conformity		
NCR No.	Description	Category (Major / Minor)
1025752M29	<p>Requirements: RSPO NPP New oil palm plantings from 1st January 2010 are to be in accordance with the RSPO Procedures for New Plantings (NPP). New oil palm plantings in the context of these procedures mean lands planned or proposed for oil palm plantings but upon which no work towards that end has commenced as at 1st January 2010</p>	Major
	<p>Evidence of Nonconformity: Based on Hectare statement database updated December 2013, there are several field blocks which planted after January 2010 until 2011. Audit team has communicated with RSPO secretariat and confirmed for those area planted after January 2010 shall apply for New Planting Procedure.</p> <p>The relevant documents of SEIA and HCV are also in place and up to date. The company is also explain that there is confusion within RSPO members upon implementation of New Planting Procedure because based on company experience and observation to other RSPO members found no such similar NPP implementation on their concession area. Company is referring to Generic document of RSPO P&C 2007 where there is no clear information on the NPP implementation within RSPO grower members.</p>	
	<p>Statement of Nonconformity: There is no evidence that company has applied and followed the RSPO New Planting Procedure for planted area after January 2010.</p>	
	<p>Action: BSI auditor has conducted RSPO NPP verification in PT. UMW on 6 – 8 October 2014. The final report was submitted to the RSPO Secretariat to upload in the RSPO website.</p> <p>This major NC was closed out on 10 November 2014</p>	
	<p>Closed?</p>	
		Yes

Non-Conformity		
NCR No.	Description	Category (Major / Minor)
1048188M10	<p>Requirements: RSPO P & C – Indicator 5.6.2 Monitoring of pollution and emission quality of the sources identified.</p>	Major
	<p>Evidence of Nonconformity: UMW Mill has just completed the construction stages where until stage-2 assessment carried out, the mill has not been running normally although this has been out of the plan. It is necessary during certification assessment to obtain objective evidence that Mill has a record of periodic pollution and emission quality test. Additional visit is required to proof that monitoring has been taken place.</p>	
	<p>Statement of Nonconformity: No evidence of a periodic pollution and emission quality test for boiler and generator including ambient as per regulation.</p>	
	<p>Action: Result of measurement emission and ambient has included in the "Environmental Management and Monitoring Report / RKL - RPL" and it have been reported to the local government, the last report - Period I (January - June 2014), the evidence of letter acceptance signed by the officer. (Mr. Ardi Siregar).</p>	
	This major NC was closed out on 04 September 2014.	
	Closed?	Yes

Non-Conformity		
NCR No.	Description	Category (Major / Minor)
1048188M19	<p>Requirements: RSPO P & C – Indicator 4.7.1 Evidence of a documented occupational safety and health (OSH) policy and its implementation.</p>	Major
	<p>Evidence of Nonconformity: A number of working activity performed within UMW Mill does not reflect health and safety policy implementation and operational control: 1. Welding operator (contractor worker) performing welding work without appropriate personal protective equipment; 2. Welding machine cables was not orderly placed, in addition a number of cable found to be exposed; 3. Oxygen tanks around UMW Mill premises were not chained; 4. Emergency shower in chemical store has not installed; 5. Lack of warning signs placed in chemical store premises;</p>	
	<p>Statement of Nonconformity: Evidence of a documented occupational safety and health (OSH) policy and its implementation.</p>	
	<p>Action: The company has implemented "Healt and Safety policy", during field visit, it was found that operator using PPE at each station, no any cable exposed, oxygen tanks are chained in the store, emergency shower has been installed, and warning sign has put in the chemical storages. This major NC was closed out on 4 September 2014</p>	
	Closed?	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

Non-Conformity		
NCR No.	Description	Category (Major / Minor)
1048188M2	Requirements: RSPO P & C – Indicator 5.1.2 Records of regular report on environmental management in accordance with relevant regulations	Major
	Evidence of Nonconformity: RKL-RPL report.	
	Statement of Nonconformity: Company has prepared report on Environmental Management and Monitoring implementation (Laporan RKL-RPL), however the report has not covers all environmental parameters as indicated in RKL-RPL and UKL-UPL document, e.g. surface and ground water monitoring and aquatic biota	
	Action: PT. TUM has included environmental parameters in the UKL - UPL report, such as: surface and ground water analysis, also aquatic biota analysis by "Binalab" on 17 – 25 Juli 2014, result of BOD and COD analysis below regulation standard. PT. UMW has included environmental parameters in the UKL - UPL report, such as: surface water analysis by "Binalab" on 22 - 30 May 2014 at Barumun River as recommended in AMDAL, result of BOD analysis BOD is 2.2 mg/L (below regulation standard 3 mg/L).	
	This major NC was closed out on 04 September 2014 Closed?	
		Yes

Non-Conformity		
NCR No.	Description	Category (Major / Minor)
1048188M9	Requirements: RSPO P & C – Indicator 5.3.2 Estates and mills waste management and disposal are implemented to avoid or reduce pollution	Major
	Evidence of Nonconformity: site visit to UMW mill	
	Statement of Nonconformity: Several environmental aspect impact control points have not been fully implemented at the mill, e.g. oil separators in monsoon drain and second containment on chemicals and oils storage.	
	Action: The company has installed new oil traps in monsoon drain and also installed second containments in chemical and lubricant store.	
	This major NC was closed out on 04 September 2014 Closed?	
		Yes

3.3.2. Minor NC were raised during this assessment

Non-Conformity		
NCR No.	Description	Category (Major / Minor)
1048188N12	Requirements: RSPO P & C – Indicator 4.4.2 An implemented water management plan.	Minor
	Evidence of Nonconformity: There is a river near to the estates used by local community i.e. Barumun River. The company uses river water as a source of water for mill processing and domestic consumption. Barumun river is also planned for final discharge from wastewater treatment plant through a method of Clean Development Mechanism so that the expected level of contamination as per allowable limits, BOD <100 mg / L. The drainage system of estates is also flows to the Barumun river which could potentially contaminated as a result of estates activities. This Estate has been running since 2005.	
	Statement of Nonconformity: Company has not to monitor periodic water quality test of Barumun River yet.	
	Action: It will be verified in the next surveillance	
	Closed?	No

Non-Conformity		
NCR No.	Description	Category (Major / Minor)
1048188N13	Requirements: RSPO P & C – Indicator 4.4.3 Monitoring of effluent BOD.	Minor
	Evidence of Nonconformity: UMW Mill has just completed the construction stages where until stage-2 assessment carried out, the mill has not been running normally although this has been out of the plan. It is necessary during certification assessment to obtain objective evidence that Mill has a record of BOD's effluent monitoring. Additional visit is required to proof that monitoring would be taken place.	
	Statement of Nonconformity: No records of BOD's effluent has been monitored from mill processing	
	Action: It will be verified in the next surveillance	
	Closed?	No

RSPO Public Summary Report
Revision 1 (Sept/2014)

Non-Conformity		
NCR No.	Description	Category (Major / Minor)
1048188N14	Requirements: RSPO P & C – Indicator 4.4.4 Monitoring of mill water use per tonne of FFB.	Minor
	Evidence of Nonconformity: UMW Mill has just completed the construction stages where until stage-2 assessment carried out, the mill has not been running normally although this has been out of the plan. It is necessary during certification assessment to obtain objective evidence that Mill has a record of mill water use per tonne of FFB. Additional visit is required to proof that monitoring has to be taken place.	
	Statement of Nonconformity: No evidence that mill water use has been monitored	
	Action: It will be verified in the next surveillance	
	Closed?	No

Non-Conformity		
NCR No.	Description	Category (Major / Minor)
1048188N4	Requirements: RSPO P & C – Indicator 4.7.4 Regular health examination by a doctor for workers in station or exposed to high risk work	Minor
	Evidence of Nonconformity: Health examination record dated June 12, 2013 signed by company doctor. Regular health examination is performed by company doctor for PT TUM's herbicide sprayer on annual basis on 12 June 2013. A number of female sprayers detected with intoxication symptoms, but passed the medical examination.	
	Statement of Nonconformity: There is not adequate evidence of medical advice and dispensation administered a number of sprayer detected with intoxication symptoms.	
	Action: It will be verified in the next surveillance	
	Closed?	No

RSPO Public Summary Report
Revision 1 (Sept/2014)

Non-Conformity		
NCR No.	Description	Category (Major / Minor)
1048188N15	Requirements: RSPO P&C - Indicator 4.7.6 Record of OHS Training.	Minor
	Evidence of Nonconformity: Emergency Response Procedure for Umbul Mas Wisesa Palm Oil Mill , No: 01 to 08/EHS-TTI/UMWPOM/ 010414/REV.0 include emergency response spillage at the mill, CPO spilled on storage tank, palm oil spilled during transportation from mill to Tank Terminal SAN Belawan, Fire at mill, Fire on CPO Tank Fuel Tank and palm oil storage, Kernel Carrier Vehicle Accidents, Spills from Petroleum Oil Lubricant, and Soda fire spillage. However, there is no plan in place for simulation for each emergency procedure.	
	Statement of Nonconformity: Emergency preparedness procedure for Mill has been provided, however, programme for simulation has not in place.	
	Action: It will be verified in the next surveillance	
	Closed?	No

Non-Conformity		
NCR No.	Description	Category (Major / Minor)
1048188N16	Requirements: RSPO P&C Indicator 5.4.1 Records of monitoring renewable energy use and its efficiency analysis (energy/ton CPO, or energy/ton palm product).	Minor
	Evidence of Nonconformity: UMW Mill has just completed the construction stages where until stage-2 assessment carried out, the mill has not been running normally although this has been out of the plan. It is necessary during certification assessment to obtain objective evidence that Mill has a record of renewable energy monitoring. Additional visit is required to proof that monitoring has to be taken place.	
	Statement of Nonconformity: There is no record in place at the mill on monitoring renewable energy use and its efficiency analysis (energy/ton CPO, or energy/ton palm product).	
	Action: It will be verified in the next surveillance	
	Closed?	No

Non-Conformity		
NCR No.	Description	Category (Major / Minor)
1048188N18	Requirements: RSPO P&C - Indicator 5.4.2 Records of monitoring of fossil fuels use for operational reason and its efficiency analysis.	Minor
	Evidence of Nonconformity: UMW Mill has just completed the construction stages where until stage-2 assessment carried out, the mill has not been running normally although this has been out of the plan. It is necessary during certification assessment to obtain objective evidence that Mill has a record of fossil fuel monitoring. Additional visit is required to proof that monitoring has to be taken place.	
	Statement of Nonconformity: There is no record in place at the mill on monitoring of fossil fuel use for operational reason and its efficiency analysis.	
	Action: It will be verified in the next surveillance Closed?	
		No

Non-Conformity		
NCR No.	Description	Category (Major / Minor)
1048188N1	Requirements: RSPO P&C - Indicator 6.3.2 Records of handling of the complaints	Minor
	Evidence of Nonconformity: Log Book Rekaman Keluh Kesah Internal dan Ekstern	
	Statement of Nonconformity: Record of complaint and grievance is documented in log book "Rekaman keluhan kesah Internal - Eksternal", there are 10 complaints were received during 2013 and 3 complaints in 2014, e.g. from Mr. Ade Irwansyah regarding Boot shoes compensation on 10 March 2014 and Mr. Hosin related annual leave-cut in his salary statement - September 2013, however, it was noted no response recorded in log book.	
	Action: It will be verified in the next surveillance Closed?	
		No

Non-Conformity		
NCR No.	Description	Category (Major / Minor)
1048188N1	<p>Requirements: RSPO P&C - Indicator 7.4.2 Where limited planting on fragile and marginal soils is proposed, plans shall be developed and implemented to protect them without incurring adverse impacts.</p> <p>Evidence of Nonconformity: The earlier environmental document and permit does not identify marginal soil in the concession area:</p> <ul style="list-style-type: none"> - PT UMW granted with plantation business permit – “Ijin Usaha Perkebunan (IUP)” based on decree letter from Bupati Labuhanbatu No.503/11/HUKUM/2005, dated 5 Agustus 2005. The permit applicable for 8.451 Ha, to be developed into oil palm plantation. - PT UMW has demonstrate the AMDAL documents, consist of “Dokumen ANDAL, Rencana Pengelolaan Lingkungan dan Rencana Pemantauan Lingkungan” as per “Keputusan Bupati Labuhan Batu No. 503.660/268/SET-KOMISI/XII/2008 dated 31 Desember 2008 related to “Kelayakan Lingkungan Hidup Rencana Usaha dan/atau Kegiatan”. The ANDAL document does not identify deep peat soil in the concession. - YASBI carried out HCV assessment for PT UMW on 2009. The HCV assessment report identify CHV 1, HCV3 and HCV 4 with total 196.09 Ha conservation forest 167 Ha, drain riparian and corridor of 20,79 Ha. The HCV assessment does not identify deep peat soil in their area of study. However, a semi detailed soil survey performed in 2010 and identify marginal soil in form of deep peat. - PT UMWNorth has provided with semi detail soil survey report prepared by JH agriculture service dated June 2010. The report based on field check and soil sample. Based on report, the topography is flat, with predominant soil characteristic Lenggana series 3,4 (Typic haplohemist - peat soil). The peat soil depth at 3m up to > 5m deep, consist of semi decompost hemist peat, fiber contents 16-75%, poorly drained, low soil bearing capacity, high water table during raining days. - The regulatory guidance under Permentan No.14 tahun 2009 indicates peat soil with depth > 3 meters is not suitable for oil palm plantation. <p>Statement of Nonconformity: Having adequate information on soil suitability and presence of marginal soil (based on Semi detailed soil survey 2010), there is not adequate evidence PT UMW planned effort to avoiding or limiting planting of more than 300 Ha on deep peat soil in PT UMW-N Estate.</p> <p>Action: It will be verified in the next surveillance</p>	Minor
	Closed?	No

3.3.3. Observation were raised during this assessment

Observation	
OBS No.	Description
1	<p>RSPO P & C – Indicator 1.1.2</p> <p>The company has determined response of request information as regulated in circular letter no. 55/GMO-All/III/2014, dated 8 March 2014. Request information will be responded within 2 days in Estate or mill, except is needed response from HO - Medan, it will be responded within 5 days. There is request information in UMWS from Sei Toras Sub Villages on 15 January 2014, regarding using road more than twice a week, may wish to consider record of response appropriately</p>
2	<p>RSPO P & C – Indicator 4.7.1</p> <p>A number of Opportunity for Improvement noted:</p> <ol style="list-style-type: none"> 1. May wish to consider medical sterilizer with larger capacity for clinic; 2. PT UMW-South Estate may wish to consider installation of lightning arrester for diesel fuel tank and pump; 3. PT UMW-South Estate workshop need to consistently control diesel fuel containment valve and oil trap; 4. PT UMW POM may wish to consider provision of fire extinguisher at Barumon river pump house.
3	<p>RSPO P & C – Indicator 5.3.2</p> <p>It is noted that lack of temperature control and monitoring over incineration process for an-organic waste handling at PT UMW and PT TUM incinerator. Care should be taken to improve incineration technique to mitigate prolonged smoke emission, causing residual environmental impact.</p>
4	<p>RSPO P & C – Indicator 5.3.3</p> <p>A number of Observation noted:</p> <ol style="list-style-type: none"> 1. The current time frame for medical waste disposal is every three months. Clinic may wish to consider shorter period of time for disposal to municipal incinerator. 2. Consideration should be taken to consistently dispose used spill kit from PT UMWS lubricant store onto hazardous waste store, instead of incinerator.
5	<p>RSPO P & C – Indicator 6.5.3</p> <p>In line with PT UMW and PT TUM programme, BSI auditor encourages better establishment and resources for children day care/crèche.</p>

Positive Findings	
No.	Description
1	The company continuing maintain water level and monitoring peat subsidence.
2	The company has installed CDM project to reduce GHG emission

3.4. Issues raised by stakeholders

The BSI has conducted interview with stakeholders during audit and also public announcement in RSPO website on 7th April 2014 for stakeholder’s comments, no any comments was received within 30 days public announcement in RSPO website.

RSPO Public Summary Report
Revision 1 (Sept/2014)

During stakeholder interviews, the BSI auditor has contacted and interview stakeholders as listed below:

No.	Name	Position	Institution
1	Mr. FA	Kepala Seksi Pengawasan	BLH Kab. Labuhan Batu Selatan (Environmental Department of Labuhan Batu Selatan District)
2	Ir. AH	Bagian Pengawasan	Dinas Perkebunan Kab. Labuhan Batu Selatan (Agriculture Dept. Of Labuhan Batu Selatan District)
3	Mr. S	Kasie Perkebunan	Dinas Kehutanan dan Perkebunan Kab. Labuhan Batu (Forestry and Agriculture Department of Labuhah Batu District)
4	Mr. ST	Seksi Hubungan Industrial	Dinas Tenaga kerja Kab. Labuhan Batu Selatan (Manpower department of Labuhan Batu selatan District)
5	Mr. M, Mr. SP, Mr. ST, MR. SJ, Mr. KR and Mr. JD	Head village and local community leader	Tanjung Mulia Village
6	Mr. HP, JS and R	Head village and local community leader.	Sei Siarti Village
7	Lianawaty Manalu, Tiurlan M, Agus Manulang.	Gender Committee	PT. Umbul Mas Wisesa
8	Irwan harahap and M. nainggolan	Pengurus Serikat Pekerja PT UMW dan PT TUM) – Labour Union	PT. Umbul Mas Wisesa
9	Waluyo	Pengurus Kopearsi PT. TUM and PT. UMW – Cooperative member	PT. Umbul Mas Wisesa

Stakeholders comments were received during stakeholders meeting and company response as listed below:

Issues raised by Stakeholders			
No.	Stakeholder comments	Company Response	Auditor Finding
1.	Mr. FA (Badan Lingkungan Hidup Kabupaten Labuhan Batu Selatan - Seksi Pengawasan)		
	- Less communication and consultation	It will be paid attention in the future	Comment accepted
	- AMDAL has approved and sent RKL-RPL report regularly	No comment	Positive comment
	- No any complain related pollution	No comment	Positive comment
2	Mr. AH (Kepala Dinas Perkebunan Kabupaten Labuhan Batu Selatan - Bagian Pengawasan)		
	- Plantation progress report (LPUP) is sent regularly, Mandatory Plantation Assessment (PUP) has been done, and no any land	No comment	Positive comments

RSPO Public Summary Report
Revision 1 (Sept/2014)

	dispute was reported		
	- All areas of PT. UMW and PT. TUM is non forest area (APL) and its not included in moratorium (Peta Indikatif), as well as this area included plantation purposes based on "Peta Tata Ruang Wilayah Kabupaten"	No comment	Positive comments
3	Mr. S Dinas Kehutanan dan Perkebunan Kabupaten Labuhan Batu (Kasi Perkebunan)		
	- No any land dispute was reported,	No comment	Positive comments
	- All areas of PT. UMW and PT. TUM is non forest area (APL) and its not included in moratorium (Peta Indikatif), as well as this area included plantation purposes based on "Peta Tata Ruang Wilayah Kabupaten"	No comment	Positive comments
4	Mr. ST (Dinas Tenaga Kerja Kabupaten Labuhan Batu Selatan - Seksi Hubungan Industrial)		
	- The company has comply with labour regulation	No comment	Positive comments
	- The company sent mandatory report regularly, such as: Manpower report, OHS (P2K3), etc.	No comment	Positive comments
	- The company has established labour union, LKS Bipartit, Worker Agreement (PKB), preparing appropriate PPE, social insurance, minimum wages, no any child labour and no labour dispute was reported.	No comment	Positive comments
5.	Local Community leader: Mr. M, Mr. SP, Mr. ST, MR. SJ, Mr. KR and Mr. JD (Head village of Tanjung Mulia and local community leader)		
	HP, JS and R (Head village of Sei Siarti and local community leader).		
	- The company has compensated land to land owner with FPIC	No comment	Positive comment
	- Good programme for CSR, especially preparing clean water for communities	No comment	Positive comment
	- Composition for local workers.	The company has communicated to the	Comment accepted



RSPO Public Summary Report
Revision 1 (Sept/2014)

		head of villages surrounding plantation if any job vacancies and hired some of workers from surrounding plantation, however the company will be paid attention to give priority to the local community based on qualification needed.	
	- Good relationship with the local communities.	No comment	Positive comment
6.	Lianawaty Manalu, Tiurlan M, Agus Manulang. (Gender Committee)		
	- The company has established and support Gender committee activities.	No comment	Positive comment
	- Medical check up for employee who are involved in chemical substances and no breastfeeding women or pregnant workers involved in chemical substances.	No comment	
	- No any disputes related gender.		Positive comment
7.	Irwan harahap and M. nainggolan (Pengurus Serikat Pekerja PT UMW dan PT TUM)		
	- The company has establishe labour union	No comment	Positive comment
	- Good communitaion and relationship between company and labour union	No comment	Positive comment
	- No any dispute and discrimination were noted.	No comment	Positive comment
8.	Waluyo (Pengurus Kopearsi PT. TUM and PT. UMW)		
	- The company has established cooperative for workers and support it.	No comment	Positive comment

3.5. Status of Non Conformities

Reference	Category	Issued	Closed
1025752M0	Major	12/05/2014	04/09/2014
1025752M29	Major	12/05/2014	10/11/2014
1048188M10	Major	12/05/2014	04/09/2014
1048188M1	Major	12/05/2014	04/09/2014
1048188M2	Major	12/05/2014	04/09/2014
1048188M9	Major	12/05/2014	04/09/2014
1048188N12	Minor	12/05/2014	"Open"
1048188N13	Minor	12/05/2014	"Open"
1048188N14	Minor	12/05/2014	"Open"
1048188N4	Minor	12/05/2014	"Open"
1048188N15	Minor	12/05/2014	"Open"
1048188N16	Minor	12/05/2014	"Open"
1048188N18	Minor	12/05/2014	"Open"
1048188N1	Minor	12/05/2014	"Open"
1048188N1	Minor	12/05/2014	"Open"

Section 4. Acknowledgement of Assessment Finding

Acknowledgement of Assessment Findings	Report Prepared by
Name: Mr. Olivier Tichit	Name: Haeruddin
Date: 05 th December 2014	Date: 02 nd December 2014
Company name: PT. Umbul Mas Wisesa	Company name: PT. BSI Indonesia
Title: Director	Title: Lead Auditor
Signature: 	Signature: 

RSPO Public Summary Report
Revision 1 (Sept/2014)

Appendix "A"
RSPO Certificate Details

PT. Umbul Mas Wisesa
 Gedung Bank Sumut Lt. 7
 Jl. Imam Bonjol 18, 20152,
 Medan - North Sumatera.
 INDONESIA
 Website: www.tolantiga.co.id

RSPO membership No. 1-0021-05-000-00, dated 07th December 2005

Certificate Number: SPO 611834

Applicable Standards: RSPO Principles & Criteria: 2007; **RSPO INA-NIWG May 2008**
Standard: Supply Chain Certification requirement for CPO Mills – Module D Segregation

PT. UMBUL MAS WISESA PALM OIL MILL AND SUPPLY BASE					
Location Address		Kampung Rakyat Sub-district, Labuhan Batu Selatan District and Panai Tengah Sub-district, Labuhan Batu Utara District, North Sumatera, Indonesia			
GPS Location		02 ⁰ 12' 38.91" - 100 ⁰ 16' 15.83"			
CPO Tonnage Total		29,848 MT			
PK Tonnage Total		6,488 MT			
Own estates FFB Tonnage		129,776 MT			
Non-company Suppliers FFB Tonnage		- MT			
SIPEF estates	Mature (ha)	Immature (ha)	Others (Ha)	Total land-use titles (ha)	Annual FFB Production (mt)
1. Umbul Mas Wisesa South Estate	4,459.84	17.03	303.91	4,780.78	73,028
2. Umbul Mas Wisesa North Estate	2,603.27	0.00	379.30	2,982.57	37,748
3. PT. Toton Usaha Mandiri (Toton Usaha Mandiri estate)	1,134.95	0.00	63.81	1,198.76	19,000
TOTAL	8,198.06	17.03	747.02	8,962.11	129,776

RSPO Public Summary Report
Revision 1 (Sept/2014)

Appendix "B"
Audit Plan

AGENDA AUDIT							
Tanggal	Waktu/Jam	Uraian	AG	HR	PA	NM	
Sunday, 11/05/2014	08.00 – 11.00	Travelling Perlabian - PT. UMW (Aryo Gustomo, Haeruddin dan Pratama Sedayu) and Nanang Mualib stay in Perlabian to conduct Stakeholder Meeting.	√	√	√		
Monday, 12/05/2014	08.00 – 09.00	Opening Meeting (Pertemuan pembukaan) - Presentation by client. - Presentation by BSI auditor including introduce team members.	√	√	√	√	
	09.00 – 12.00	Field Visit: UMW Mill Worker interviews (OSH, contract, salary, etc), PPE, safe working environment, walk ways, signs, EFB. POME treatment, emissions, diesel tanks, fire extinguishers, first aiders and boxes, etc.	√				
		Field Visit: UMW South estate Water management, chemical stores, fertilizer store, workshops, housing, landfill, clinic, waste, etc.			√		
		Field Visit: UMW South estate Herbicide application programmes, harvesting, fertilising operations, HCV's, riparian zones, road maintenance, Boundaries inspection, social amenities, interview with workers, etc.		√			
		Stakeholders Interview: Local Government (Kabupaten Labuhan Batu Selatan dan Kabupaten Labuhan Batu) and Local NGOs					√
	12.00 – 13.30	Lunch					
	13.30 – 16.30	Field Visit: UMW Mill <i>RSPO dan ISPO:</i> Worker interviews (OSH, contract, salary, etc), PPE, safe working environment, walk ways, signs, EFB. POME treatment, emissions, diesel tanks, fire extinguishers, first aiders and boxes, etc. (Lanjutan)			√		
		Field Visit: UMW South estate <i>RSPO dan ISPO:</i> water management, chemical stores, fertilizer store, workshops, housing, landfill, clinic, waste, etc. (Lanjutan)				√	

RSPO Public Summary Report
Revision 1 (Sept/2014)

AGENDA AUDIT						
Tanggal	Waktu/Jam	Uraian	AG	HR	PA	NM
		Field Visit: UMW South estate <i>RSPO dan ISPO</i> : Herbicide application programmes, harvesting, fertilising operations, HCV's, riparian zones, road maintenance, Boundaries inspection, social amenities, interview with workers, etc. (lanjutan)		√		
		Stakeholders Interview: Instansi pemerintah Kabupaten Labuhan Batu Selata dan Kabupaten Labuhan Batu dan local NGOs (Lanjutan)				√
	16.30 – 19.00	Travelling Labuhan Batu – PT. UMW (Nanang Mualib)				√
Tuesday, 13/05/2014	08.00 – 12.00	Document review: UMW Mill <i>RSPO SCCS</i> .	√			
		Document review: UMW South		√	√	
		Stakeholder Interview: Local communities				√
	12.00 – 13.00	Lunch				
	13.00 – 16.30	Document review: UMW Mill	√			
		Document review: UMW South (Continued)		√	√	
Stakeholder Interview: Local communities (Continued)					√	
Wednesday, 14/05/2014	08.00 – 12.00	Document review: UMW Mill (RSPO P & C)	√			
		Field Visit: Toton Usaha Mandiri Herbicide application programmes, harvesting, fertilising operations, HCV's, riparian zones, road maintenance, Boundaries inspection, etc.		√		
		Field Visit: Toton Usaha Mandiri Water management, chemical stores, fertilizer store, workshops, housing, landfill, clinic, waste, etc.			√	
		Stakeholder Interview: worker interviews.				√
	12.00 – 13.00	Lunch				
	13.00 – 16.00	Document Review: UMW Mill (Continued)	√			
		Dokumnet review: Toton Usaha Mandiri		√	√	√
	16.00 – 16.30	Preparing report for closing meeting	√	√	√	√
16.30 – 17.00	Closing Meeting					

 *) **AG:** Aryo Gustomo

HR: Haeruddin

PA: Pratama Agusng Sedayu

NM: Nanang Mualib

RSPO Public Summary Report
Revision 1 (Sept/2014)

Appendix "C"
RSPO SCCS CHECKLIST "MODULE D – SEGREGATION"

Criterion 1. Documented procedures.			
The facility shall have written procedures and/or work instructions to ensure implementation of all the elements specified in these requirements.			
	Requirement	Evidence	Compliance
Applicable for SG and MB			
1.1	The facility 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:	<i>Procedures are current and include all elements of the Supply Chain for controlling the receipt, sale and dispatch of palm products. Document observed was ENC/SCC/01, dated 1 April 2013 – Supply Chain and Traceability Procedure.</i>	Yes
	a. Complete and up to date procedures covering the implementation of all the elements in these requirements.		
	b. Complete and up to date records and reports that demonstrate compliance with these requirements.		
	c. The name 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 facilities procedures for the implementation of this standard	<i>The responsible person in charge to the supply chain system are Mill Manager.</i>	Yes
1.2	The facility shall have documented procedures for receiving and processing certified and non-certified FFBs.	<i>The Mill's Supply Chain and Traceability SOP covers the receiving of FFB and recording details of the Supplier and Transporter. All deliveries of FFB are subject to verification of documentation and quality checks.</i>	Yes

Criterion 2. Purchasing and goods in.			
The facility shall ensure that RSPO certified palm oil and products are identified.			
The facility shall ensure that RSPO certified palm oil and certified products are identified. This shall include at minimum the following:			
	Requirement	Evidence	Compliance
Applicable for SG and MB			
2.1	The facility shall verify and document the volumes of certified and non-certified FFBs received	<i>The Mill records tonnages received at the weighbridge and these are reported daily to Head Office. There is no non-certified FFB will be received according to Mill's business plan.</i>	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

2.2	The facility shall have a mechanism in place for handling non-conforming material/documents	<i>the company has a mechanism for advising the CB of production variations, which are monitored internally.</i>	Yes
2.3	The facility shall inform the BSI immediately if there is a projected overproduction.	<i>There is no projected over production for each mill.</i>	Yes

Criterion 3: Record Keeping

	Requirement	Evidence	Compliance
3.1	Applicable for SG and MB: The facility shall maintain accurate, complete, up-to-date and accessible records and reports covering all aspects of these requirements.	<i>Inspection of records at the Mill confirmed these were updated daily, for example: Processing Daily Report covers FFB reception from estates, mill processing, and Oil dispatch and balance stock.</i>	Yes
3.2	Applicable for SG and MB: Retention times for all records and reports shall be at least five (5) years.	<i>According to SOP ENC/SCC/01 dated 1 April 2013, the records and reports are archived and stored for a minimum 10 years.</i>	Yes
3.3	Applicable only for SG: The facility shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO, PKO and palm kernel meal on a three-monthly basis.	<i>The record and three monthly balance report will be prepared by Marketing department in head office in Medan. Once UMW mill is certified and sell the products, this three monthly report will be provided.</i>	Yes
	Applicable only for MB: a) The facility shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO, PKO and palm kernel meal on a three-monthly basis. b) All volumes of palm oil and palm kernel oil that are delivered are deducted from the material accounting system according to conversion ratios stated by RSPO. c) The facility can only deliver Mass Balance sales from a positive stock. However, a facility is allowed to sell short.	N/A	N/A
3.4	Applicable only for SG: The following trade names should be used and specified in relevant documents, e.g. purchase and sales contracts, e.g. *product name*/SG or Segregated. The supply chain model used should be clearly indicated.	<i>According to SOP ENC/SCC/01 dated 1 April 2013, The company uses the prefix SG on the Product Code. This will apply once the Mill hold certificate.</i>	Yes
	Applicable only for MB: The following trade names should be used and specified in relevant documents, e.g. purchase and sales contracts, e.g. *product name*/MB or Mass Balance. The supply chain model used should be clearly indicated.	N/A	N/A
3.5	Applicable only for MB: In cases where a mill outsources activities to an independent palm kernel crush, the crush	<i>N/A (No any outsourcing process)</i>	N/A

RSPO Public Summary Report
Revision 1 (Sept/2014)

<p>still falls under the responsibility of the mill and does not need to be separately certified. The mill has to ensure that the crush is covered through a signed and enforceable agreement.</p>		
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Criterion 4: Sale and goods out.

This criterion is applicable to purchase and sales invoices and associated documents.

The facility shall ensure that all sales invoices **or relevant documents**, e.g. delivery notes, shipping documents and specification documentation, issued for RSPO certified oil palm products delivered include sufficient information, this may include the following:

	Requirement	Evidence	Compliance
Applicable for SG and MB			
4.1.	<p>The facility shall ensure that all sales invoices issued for RSPO certified products delivered include the following information:</p> <ul style="list-style-type: none"> a. The name and address of the buyer; b. The date on which the invoice was issued; c. A description of the product, including the applicable supply chain model (Segregated or Mass balance). d. The quantity of the products delivered; e. Reference to related transport documentation. 	<p><i>The sales and good out are managed under Marketing department. The template for contract and delivery of certified products are to be used similarly with other parent company. All of these items (a-e) are included in the company's invoices to buyers once UMW mill is selling certified products.</i></p>	Yes

Criterion 5: Processing.

	Requirement	Evidence	Compliance
Applicable only for SG:			
5.1	<p>The facility shall assure and verify through clear procedures and record keeping that the RSPO certified palm oil is kept segregated from non certified material including during transport and storage and be able to demonstrate that it has taken all reasonable measures to ensure that contamination is avoided. The objective is for 100 % segregated material to be reached. The systems should guarantee the minimum standard of 95 % segregated physical material; up to 5 % contamination is allowed.</p>	<p><i>The company has owned mechanism on the processing facility in term of working instruction and procedure. Review and site visit confirms all mechanisms are available for each station in the mill, and most of the mill workers are aware.</i></p>	Yes
5.2	<p>The facility shall provide documented proof that the RSPO certified palm oil can be traced back to only certified segregated material.</p>	<p><i>UMW Mill has owned several procedure which might be easily traced back, e.g. Daily report, monthly progress report. The content of these documents showed FFB receipt and processed, CPO and PK produced</i></p>	Yes
5.3	<p>In cases where a mill outsources activities to an independent palm kernel crush, the crush still falls under the responsibility of the mill</p>	<p><i>Not applicable to UMW Mill</i></p>	Yes

RSPO Public Summary Report
Revision 1 (Sept/2014)

	and does not need to be separately certified. The mill has to ensure that: The crush operator conforms to these requirements for segregation The crush is covered through a signed and enforceable agreement		
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Criterion 6. Training.

	Requirement	Evidence	Compliance
Applicable for SG and MB			
6.1	The facility shall have a defined training plan, which is subject to on-going review and supported by training records.	<i>The company maintains records of training. The latest training was conducted on 30 April 2014 for all Mill staff and workers. The training participants consist of mill manager, mill office staff, weight bridge operator, laboratory staff, and mill's accounting staff.</i>	Yes
6.2	The facility shall provide the training for all staff as required to implement the requirements of the Supply Chain Certification Systems	<i>See above</i>	Yes
6.3	The facility shall keep records of the training provided to staff in relation to implementation of these requirements.	Record training is documented "Training Plan".	Yes

Criterion 7. Claims.

	Requirement	Evidence	Compliance
Applicable for SG and MB			
7.1	The facility shall only make claims regarding the use of or support of RSPO certified palm oil that are in compliance with the RSPO Guidelines for Communication and Claims.	<i>As of the Assessor's knowledge, the company has not made claims outside of the RSPO rules for Communications and Claims.</i>	Yes

Certified Mill Production in previous year

MILL	CAPACITY	CPO (tonnes)	PK (tonnes)
PT. Umbul Mas Wisesa POM	40 tonnes FFB/hour (29,848 tonnes CPO/year)	nil	nil

RSPO Public Summary Report
Revision 1 (Sept/2014)

Certified FFB received Monthly in previous year

Month	UMW South Estate	UMW North Estate	TUM estate	Total FFB/Month
January 2014	-	-	-	-
February 2014	-	-	-	-
March 2014	-	-	-	-
April 2014	-	-	-	-
May 2014	-	-	-	-
June 2014	-	-	-	-
July 2014	-	-	-	-
August 2014	-	-	-	-
September 2014	-	-	-	-
October 2014	-	-	-	-
November 2014	-	-	-	-
December 2014	-	-	-	-
TOTAL	-	-	-	-

Sales of CPO and PK certified by etrace

No.	Date	Name of buyer	CPO (Tonnes)	PK (Tonnes)
1	-	-	-	-
2	-	-	-	-
	Total		-	-

Appendix "D"
Abbreviation used

AMDAL	Analisis Mengenai Dampak Lingkungan (Social and Environmental Impact Assessment)
B3	Hazardous, Dangerous and Poisonous Substance
BKSDA	Balai Konservasi Sumber daya Alam (National Conservation Board)
BLH	Badan Lingkungan Hidup (Environmental Board)
BOD	Biological Oxygen Demand
BPN	Badan Pertahanan Nasional (National Land Authority)
BSI	British Standard Institution
CD	Community Development
CDM	Clean Development Management
CPO	Crude Palm Oil
CSR	Corporate Social Responsibility
EFB	Empty Fruit Bunch
FFB	Fresh Fruit Bunch
FSC	Forestry Stewardship Council
GMO	General Managers Office
GPS	Global Positioning System
HCV	High Conservation Value
HGU	Hak Guna Usaha (Land) title for commercial use
HO	Head Office
IPM	Integrated Pest Management
ISO	International Standards Organisation
ISPO	Indonesia Sustainable Palm Oil Foundation
ISCC	International Carbon Certification System
IUP	Izin Usaha Perkebunan (Plantation Licence)
KER	Kernel Extract Ratio
KTP	Kartu Tanda Penduduk
MB	Mass Balance
NGO	Non-Government Organisation
NPP	New Planting Procedures
OER	Oil Extract Ratio
OHS	Occupational Health and Safety
P2K3	Panitia Pembina Kesehatan dan Keselamatan Kerja
PK	Palm Kernel
PKB	Perjanjian Kerja Bersama (Worker Agreement)
PNG	Papua New Guinea
POM	Palm Oil Mill
PPE	Personal Protective Equipment
PT	Perseroan Terbatas (Limited Company)
RKL	Rencana Pengelolaan Lingkungan (Environmental Management Plan)
RPL	Rencana Pemantauan Lingkungan (Environmental Monitoring Plan)
RSPO	Rountable Sustainable Palm Oil
SEIA	Social & Environmental Impact Assessment
SIA	Social Impact Assessment
SCCS	Supply Chain Certification System
SOP	Standard Operation Procedure
SG	Segregation
TUM	PT. Toton Usaha Mandiri
UKL	Upaya Pengelolaan Lingkungan (Environmental Management Effort)
UPL	Upaya Pemantauan Lingkungan (Environment Monitoring Effort)
UMW	Umbul Mas Wisesa