

**RSPO PRINCIPLE AND CRITERIA –
ANNUAL SURVEILLANCE ASSESSMENT 3
Public Summary Report**

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

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Section 1: Scope of the Certification Assessment

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

2. Certification Information			
Certificate Number	RSPO 611834	Date of First Certification	27 March 2015
		Certificate Start Date	27 March 2015
		Certificate Expiry Date	26 March 2020
Scope of Certification	Production of CPO an PK at Umbul Mas Wisesa Palm Oil and FFB supplied from three (3) company-owned plantation namely Umbul Mas Wisesa South Estate, Umbul Mas Wisesa North Estate and Toton Usaha Mandiri Estate. Mill capacity is 40 tonnes FFB/hour.		
Applicable Standards	RSPO P&C 2013 or National Interpretation; RSPO Supply Chain Certification Standard 2017 (CPO Mill – Module D)		

3. Other Certifications			
Certificate Number	Standard(s)	Certificate Issued by	Expiry Date
Nil			

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4. Location(s) of Mill & Supply Bases			
Name (Mill / Supply Base)	Location [Map Reference #]	GPS Coordinates	
		Latitude	Longitude
Umbul Mas Wisesa POM	Tanjung Mulia Village, Kampung Rakyat District, Labuhanbatu Selatan Regency, Sumatera Utara Province, Indonesia	100° 16' 20.00" E	2° 12' 41.00" N
Umbul Mas Wisesa South Estate	Tanjung Mulia Village, Kampung Rakyat District, Labuhanbatu Selatan Regency, Sumatera Utara Province, Indonesia	100° 17' 12.40" E	2° 13' 5.10" N
Umbul Mas Wisesa North Estate	Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province, Indonesia	100° 16' 43.01" E	2° 15' 7.16" N
PT. Toton Usaha Mandiri Estate (PT. Toton Usaha Mandiri)	Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province, Indonesia	100° 16' 43.01" E	2° 15' 7.16" N

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

6. Plantings & Cycle							
Estate	Age (Years)					Mature	Immature
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30		
Umbul Mas Wisesa South Estate	0	1,585.56	2860.62	0	0	4,446.18	0
Umbul Mas Wisesa North Estate	0	2,118.72	483.74	0	0	2,602.46	0
PT. Toton Usaha Mandiri Estate (PT. Toton Usaha Mandiri)	0	981.50	153.45	0	0	1,134.95	0
Total (ha)	0	4,685.78	3,497.81	0	0	8,183.59	0

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7. Certified Tonnage of FFB (Own Certified Scope)			
Estate	Tonnage / year		
	Estimated (Mar 2017 – Feb 2018)	Actual (Mar 2017 – Feb 2018)	Forecast (Mar 2018 – Feb 2019)
Umbul Mas Wisesa South Estate	97,048	89,791	100,560
Umbul Mas Wisesa North Estate	56,130	55,666	62,367
PT. Toton Usaha Mandiri Estate (PT. Toton Usaha Mandiri)	26,199	25,110	28,569
Total	179,377	170,567	191,496

8. Certified Tonnage of FFB (from other certified unit(s))*			
Estate	Tonnage / year		
	Estimated (Mar 2017 – Feb 2018)	Actual (Mar 2017 – Feb 2018)	Forecast (Mar 2018 – Feb 2019)
Perlabian Estate	N/A	1,783	N/A
Tolan Estate		2,412	
Total		4,195	

9. Non-Certified Tonnage of FFB (outside supplier – excluded from certificate)			
Independent FFB Supplier	Tonnage / year		
	Estimated	Actual	Forecast
<i>Nil</i>			
Total			

10. Certified Tonnage			
Mill Capacity: 40 MT/hr SCC Model: IP	Estimated (Mar 2017 – Feb 2018)	Actual (Mar 2017 – Feb 2018)	Forecast (Mar 2018 – Feb 2019)
	FFB	FFB	FFB
	179,377 tons	170,567	191,496
	CPO (OER: 23.80%)	CPO (OER: 23.5%)	CPO (OER: 24.00%)
	42,702 tons	40,162	45,959 tons
	PK (KER: 3.96%)	PK (KER: 3.82%)	PK (KER: 4.00%)
7,117 tons	6,527	7,660 tons	

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11. Actual Sold Volume (CPO)					
	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSB		
CPO (MT)	30,850	-	-	-	30,850

12. Actual Sold Volume (PK)					
	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSB		
PK (MT)	5,960	-	-	-	5,960

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

Section 2: Assessment Process

Certification Body:

BSI Services Malaysia Sdn Bhd,
(ASI Accreditation Number: RSPO-ACC-19)
Unit 3, Level 10, Tower A
The Vertical Business Suites, Bangsar South
No. 8, Jalan Kerinchi
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BSI is a leading global provider of management systems assessment and certification, with more than 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 is ASI Accredited (RSPO-ACC-19) to conduct RSPO assessment since 31/10/2014 with accredited office located at Kuala Lumpur, Malaysia and an office at Singapore, Jakarta, Bangkok and Australia which involve in RSPO Certification Program.

2.1 Assessment Methodology, Programme, Site Visits

The on-site initial assessment was conducted from **8-10, and 16 January 2018**. The audit programme is included as Appendix D. The approach to the audit was to treat the mill and its supply base as an RSPO Certification Unit. Mill was audited together with the sample estates. A range of environmental and social factors were covered. This includes consideration of topography, palm age, proximity to areas with HCVs, declared conservation areas and local communities.

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

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

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

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

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

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

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

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

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

Assessment Program					
Name (Mill / Supply Base)	Year 1 (Certification)	Year 2 (ASA 1)	Year 3 (ASA 2)	Year 4 (ASA 3)	Year 5 (ASA 4)
Umbul Mas Wisesa POM	x	X	x	x	x
Umbul Mas Wisesa South Estate	x	X	x		x
Umbul Mas Wisesa North Estate	x	X		x	x
Toton Usaha Mandiri Estate	x		x	x	

Tentative Date of Next Visit: January 1, 2019 - January 4, 2019

Total No. of Mandays: 14.

2.2 BSI Assessment Team:

Team Member Name	Role	Qualifications
Pratama Agung Sedayu (PS)	Team Leader/ Lead Auditor	He graduated from University of Jenderal Soedirman on 2008, majoring in Social Economic of Agriculture. He involved in RSPO certification since 2009 as a team member subsequently as a Lead Auditor, covering assessment against RSPO P&C in Indonesia, Malaysia, Thailand, Papua New Guinea, and Liberia. He completed the ISO 9001, ISO 14001, OHSAS 18001 Lead Auditor Course, HCV Identification and Management; ISPO Lead Auditor Endorsed Course and RSPO P&C and RSPO SCCS

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		Lead Auditor Endorsed Courses. During this assessment, he assessed on the aspects of estate and mill's best management practices, transparency, GHG, supply chain for CPO Mills audits. He is fluently speaking in English and Bahasa Indonesia.
Eko Purwanto (EP)	Auditor	He graduated as Bachelor of Forestry from Forest Conservation Department, Faculty of Forestry, Bogor Agricultural University (IPB) in 2001. He owned working experience at Oil Palm Plantation in East Kalimantan since 2003 to 2012, the last position was Estate Manager. He has implemented good agricultural practice including integrated pest management and limited pesticides uses. He has been trained for lead auditor of RSPO P&C (2013), ISO 9001:2008 (2012), ISO 14001:2004 (2013), ISPO (2012) and RSPO SCC (2012). He has also completed training course of ISO 14001 (2012), Minaut (Oil and Automotive) Indonesia (2011) and Introduction to HCV Toolkit HCV (2011). Since October 2012 he has been involved in quality (ISO 9001) management system audits for very broad industrial and involved in Indonesia Sustainable Palm Oil (ISPO) and RSPO P&C audit for several plantations and mills, also RSPO Supply Chain audit for several KCP, Bulking and Refinery. During this assessment, he assessed on the aspects of estate best practices, environment, OHS audits.
Imam Fakhrurozi (IF)	Auditor	Imam holds degree in Agriculture Technology and graduated from Gadjah Mada University, Yogyakarta on 2011. He had 2 (two) years working experience related to oil palm industry, as a sustainability and HSE officer in oil palm Plantation Company in Indonesia. Imam has completed a number of relevant trainings, the training includes ISO 9001:2008 and EMS 14001:2004 Lead Auditor, Lead Auditor of SMK3, RSPO P&C Lead auditor endorsed course. Currently he works for BSI Group based in Jakarta office. He is one of the BSI qualified RSPO auditor. He had been involved in RSPO auditing since 2015. During this assessment, he assessed on the aspects of mill and estate best practices, environment and OHS.
Nanang Mualib (NM)	Auditor	He holds a Bachelor degree in Forestry Technology from Bogor Agriculture University, 1999. He has 4 years experience worked in the Forest plantation company in Indonesia, and has experiences involves in the several RSPO certification audits as team member. He has passed 5 days ISO 9001 auditor training on 2009. He has been approved as an HCV Assessor under RSPO Scheme. He has been involved in many assessment related to the Forestry and Sustainable oil palm certification in Indonesia. He has experienced involves in RSPO certification assessments more than 15 different oil palm organizations (including mills and estates) in Indonesia. He has passed the RSPO Lead Auditor Training in 2017. During this assessment, he assessed on the aspect of Legal, HCV identification and management, and also social community engagement and stakeholder consultation.

Accompanying Persons:

No.	Name	Role
	Nil	

2.3 Assessment Plan

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

Date	Time	Subjects	PS	EP	IF	NM

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			PRSP LA/ PRSP- SC	PRSP- OHS/EM S	PRSP- OHS/E MS	PRSP EMS/SA
Sunday, 07/01/2018	10.00 – 12.00	Flight Jakarta – Medan	√	√	√	√
	15.30 – 22.30	Travelling Medan – Rantau Parapat (by train)	√	√	√	√
	22.30 – 24.00	Travelling Rantau Parapat – PT. Umbul Mas Wisesa	√	√	√	√
Monday, 08/01/2018	08.00 – 08.30	Opening Meeting - Presentation by client (Overview of PT. Umbul Mas Wisesa - UMW Palm Oil Mill and its supply base); - Presentation by BSI team (Objective, scope, audit plan)	√	√	√	-
	08.30 – 12.00	(Umbul Mas Wisesa POM): RSPO Document Review General information, Time bound plan, partial certification verification, RSPO P&C (for Principle 1, Principle 3, Principle 4.1 and Principle 8), RSPO SCCS implementation	√	-	-	-
		(Umbul Mas Wisesa POM): RSPO Document Review: RSPO P&C (for Principle 2 and Principle 6)	-	√	-	-
		(Umbul Mas Wisesa POM): RSPO Document Review: RSPO P&C (for Principle 4.1, 4.7, and Principle 5)	-	-	√	-
	08.00 – 12.00	Stakeholder Consultation: Visit and interview with government offices in Kabupaten	-	-	-	√
	12.00 – 14.00	Break	√	√	√	√
	14.00 – 17.00	Field Visit (Umbul Mas Wisesa POM): RSPO SCCS implementation	√	-	-	-
		Field Visit (Umbul Mas Wisesa POM): Visit and observing Best Management Practices, Interview with Umbul Mas Wisesa POM workers,	-	√	-	-
		Field Visit (Umbul Mas Wisesa POM): Visit and observing Occupational Safety and Health management, Environmental management (including but not limited to: use of PPE, safe working environment, walk ways, signs, palm oil mill effluent, diesel tanks, fire extinguishers, emission, first aiders and boxes, etc),	-	-	√	-
		Stakeholder Consultation: Visit to local communities (head of village, cooperatives, community leader, contractors), with contractors, gender committee and worker union.	-	-	-	√
Tuesday, 09/01/2018	08.00 – 12.00	Field Visit (TUM Estate): Field observation and Worker interview - FFB harvesting, FFB loading, road maintenance, IPM	√	-	-	-
		Field Visit (TUM Estate): Field observation and Worker interview - landfill (waste management), workshop, water management.	-	√	-	-
		Field Visit (TUM Estate): Field observation and worker interview - Herbicide application programmes, fertilizer application, chemical and fertilizer warehouse, hazardous waste storage.	-	-	√	-

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			PRSPOLA/ PRSPOL- SC	PRSPOL- OHS/EM S	PRSPOL- OHS/E MS	PRSPOL EMS/SA
		Field Visit (TUM Estate): Field observation and worker interview - HCV's, riparian zones, boundaries inspection, housing, social amenities, school, clinic.	-	-	-	√
	12.00 – 14.00	Break	√	√	√	√
	14.00 – 17.00	(TUM Estate): RSPO Document Review General information, Time bound plan, partial certification verification, RSPO P&C (for Principle 3, Principle 4 and Principle 7),	√	-	-	-
		(TUM Estate): RSPO Document Review: RSPO P&C (for Principle 4, 5.4 – 5.6 and Principle 8)	-	√	-	-
		(TUM Estate): RSPO Document Review: RSPO P&C (for Principle 4.7, and Principle 5)	-	-	√	-
		(TUM Estate): RSPO Document Review: RSPO P&C (for Principle 1, Principle 2 and Principle 6)	-	-	-	√
Wednesday, 10/01/2018	08.00 – 12.00	Field Visit (UMW North Estate): Field observation and Worker interview - FFB harvesting, FFB loading, road maintenance, IPM	√	-	-	-
		Field Visit (UMW North Estate): Field observation and Worker interview - landfill (waste management), workshop, water management, etc.	-	√	-	-
		Field Visit (UMW North Estate): Field observation and worker interview - Herbicide application programmes, fertilizer application, chemical and fertilizer warehouse, hazardous waste storage, etc.	-	-	√	-
		Field Visit (UMW North Estate): Field observation and worker interview - HCV's, riparian zones, boundaries inspection, housing, social amenities, school, clinic, etc	-	-	-	√
	12.00 – 14.00	Break	√	√	√	√
	14.00 – 17.00	(UMW North Estate): RSPO Document Review General information, Time bound plan, partial certification verification, RSPO P&C (for Principle 3, Principle 4 and Principle 7),	√	-	-	-
		(UMW North Estate): RSPO Document Review: RSPO P&C (for Principle 4, 5.4 – 5.6 and Principle 8)	-	√	-	-
		(UMW North Estate): RSPO Document Review: RSPO P&C (for Principle 4.7, and Principle 5)	-	-	√	-

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			PRSPOLA/ PRSPO- SC	PRSPO- OHS/EM S	PRSPO- OHS/E MS	PRSPO EMS/SA
		(UMW North Estate): RSPO Document Review: RSPO P&C (for Principle 1, Principle 2 and Principle 6)	-	-	-	√
Tuesday, 16/01/2018	16.00 – 16.30	Report Preparation	√	√	√	√
	16.30 – 17.00	Closing Meeting	√	√	√	√
Wednesday, 17/01/2018	05.00 – 07.00	Travelling to Rantau Parapat	√	√	√	√
	08.00 – 15.00	Travelling from Rantau Parapat to Medan	√	√	√	√
	17.00 -	Flight Medan - Jakarta	√	√	√	√

Section 3: Assessment Findings

3.1 Details of audit results are provided in the following Appendix:

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

3.2 Progress against Time Bound Plan

Time Bound Plan		
Requirement	Remarks	Compliance
Summary of the Time Bound Plan		
Does the plan include all subsidiaries, estates and mills?	PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri are a subsidiary of SIPEF Group. SIPEF Group has disclose all of its companies, mills and estates. The timebound plan including un-certified units/companies.	Comply
Have all the estates and mills certified within five years after obtaining RSPO membership?	No. Not all the estates and mills certified within five years after obtaining RSPO membership. New estates and mills are under progress to be RSPO certified after RSPO NPP carried out in 2014.	Comply
Is the time bound plan challenging? <ul style="list-style-type: none"> • Age of plantations. • Location. • POM development • Infrastructure. • Compliance with applicable law. 	SIPEF Group's time bound plan is timely challenging. SIPEF Group has putting consideration on age of plantation, size of plantation as supply base with regards to location of palm oil mill in preparing the time bound plan.	Comply
Have there been any changes since the last audit? Are they justified?	Yes, there are changes in time bound plan compared to the latest annual surveillance assessment in PT. Agro Muko. <ul style="list-style-type: none"> • PT. Agro Kati Lama, from 2019 to 2021; • PT. Agro Muara Rupit, from 2019 to 2024; • PT. Agro Rawas Ulu, from 2019 to 2024. • PT. Timbang Deli Indonesia, to be certified in 2018. For PT. Agro Kati Lama, PT. Agro Muara Rupit an PT. Agro Rawas Ulu - SIPEF Group provides sufficient explanation on the changes in implementation of timebound plan: SIPEF Group's latest projections stipulates that company will have enough crop to justify the building of the two mills by the year 2021 (for Kati Lama Mill) and 2024 (for Muara Rupit Mill), as indicated in the time-bound plan. The target years for the building of these mills have been set taking into consideration the current rate of planting in the three estates and plasma schemes that will consitute the supply base of the two mills. For PT. Timbang Deli Indonesia, a seed production plantation, currently prepared as supply base to PT. Eastern	Comply

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	Sumatra Indonesia and to be certified in 2018. Audit team accepted management explanation on the matter.	
If there have been changes, what circumstances have occurred?	The major cause of the changes is due to delay in land acquisition and starting of planting. The assessment team accepted the explanation.	Comply
Have there been any stakeholder comments?	<p>Yes. Stakeholder comments are noted.</p> <p>The assessment team has conducted a search in internet to confirm that there is a comment that was recorded as complaint under RSPO Case Tracker; raised by the communities on those units that have not been certified.</p> <p>RSPO Case Tracker recorded complaint to PT. Agro Muara Rupit, dated 17 May 2017. The complainant brought forward the issue of fraudulent land title to RSPO. The complainant claimed that his land was fraudulently sold by his cousin to PT. Agro Muara Rupit, a subsidiary of SIPEF Group. The summary presented in the RSPO Case Tracker:</p> <p>On 25 July 2017 - Secretariat to write to the company and inform them on the complaint.</p> <p>On 24 August 2017 (CP Meeting) - Secretariat to wait for reply from the company.</p> <p>On 28 August 2017 - Secretariat received response from the company.</p> <p>On 5 September 2017 - Complainant failed to provide the document.</p> <p>On 11 September 2017 - Secretariat has sent an email to SIPEF.</p> <p>On 26 September 2017 (CP Meeting) - Secretariat to draft the decision letter.</p> <p>The assessment team was also sought for additional evidences from PT. Agro Muara Rupit/SIPEF. Documented evidence demonstrated company has attend the complainant and invited the complainant to lodge a complaint/resolve the complaint through company complaint procedures.</p> <p>Company provides all documented evidence that the complaint was being responded in appropriate manners to resolve the complaint.</p>	Comply
Have there been any newly acquired subsidiaries?	The most recent acquisition was on 1 August 2017, PT. Dendymarker Indah Lestari. RSPO certified. The certification has been verified from the RSPO website.	Comply
If yes, have the newly acquisitions certified within a three-year timeframe?	The most recent acquisition was on 1 August 2017, PT. Dendymarker Indah Lestari. RSPO certified. The certification has been verified from the RSPO website.	Comply
Have there been any isolated lapses in implementation of the plan?	No isolated lapse. SIPEF Group provides adequate evidence related to changes in implementation of the plan.	Comply
Un-Certified Units or Holdings		
No replacement after dates defined in NIs Criterion 7.3: <ul style="list-style-type: none"> Primary forest. 	As NPP has been conducted, it can be confirmed that there is no replacement of primary forest as the LUCA has been completed and accepted by RSPO.	Comply

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<ul style="list-style-type: none"> Any area required to maintain or enhance HCVs in accordance with RSPO P&C criterion 7.3. 	<p>As part of the NPP, HCV assessment has been conducted and any HCV area requires to be maintained are stated in the management plan of the NPP. The company has carried out HCV assessment for scheme smallholders.</p>	
<p>Any new plantings since January 1st 2010 shall comply with the RSPO New Plantings Procedure.</p>	<p>All new planting after January 1st, 2010 have undergone and complies with RSPO New Planting Procedure/RSPO NPP. RSPO NPP for PT. Agro Muara Rupit, PT. Agro Kati Lama, PT. Agro Rawas Ulu and PT. Timbang Deli Indonesia has been published in RSPO website.</p>	<p>Comply</p>
<p>Any Land conflicts are being resolved through a mutually agreed process, such as RSPO Complaints System or Dispute Settlement Facility, in accordance with RSPO P&C criteria 2.2, 6.4, 7.5 and 7.6.</p>	<p>Yes. Stakeholder comments are noted. The assessment team has conducted a search in internet to confirm that there is a comment that was recorded as complaint under RSPO Case Tracker; raised by the communities on those units that have not been certified. RSPO Case Tracker recorded complaint to PT. Agro Muara Rupit, dated 17 May 2017. The complainant brought forward the issue of fraudulent land title to RSPO. The complainant claimed that his land was fraudulently sold by his cousin to PT. Agro Muara Rupit, a subsidiary of SIPEF. The summary presented in the RSPO Case Tracker: On 25 July 2017 - Secretariat to write to the company and inform them on the complaint. On 24 August 2017 (CP Meeting) - Secretariat to wait for reply from the company. On 28 August 2017 - Secretariat received response from the company. On 5 September 2017 - Complainant failed to provide the document. On 11 September 2017 - Secretariat has sent an email to SIPEF. On 26 September 2017 (CP Meeting) - Secretariat to draft the decision letter. The assessment team was also sought for additional evidences from PT. Agro Muara Rupit/SIPEF. Documented evidence demonstrated company has attend the complainant and invited the complainant to lodge a complaint/resolve the complaint through company complaint procedures. Company provides all documented evidence that the complaint was being responded in appropriate manners to resolve the complaint.</p>	<p>Comply</p>
<p>Any Labor disputes are being resolved through a mutually agreed process, in accordance with RSPO P&C criterion 6.3.</p>	<p>No labor dispute noted. The assessment team has conducted a search in internet to confirm that there is no new comments or dispute raised by the communities related to labor dispute on those units that have not been certified.</p>	<p>Comply</p>
<p>Any Legal non- compliance is being addressed through measures consistent with the requirements of RSPO P&C criteria 2.1</p>	<p>No non-legal compliance noted. The assessment team has conducted a search in internet to confirm that there is not new comments or dispute raised by the communities, related to legal non-compliance on those units that have not been certified.</p>	<p>Comply</p>

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<p>Did the company conduct an internal audit? If so, has a positive assurance statement been produced?</p>	<p>The internal audit has been conducted for all uncertified units:</p> <ul style="list-style-type: none"> • PT. Agro Muara Rupit was conducted on 13-15 March 2017; • PT. Agro Kati Lama was conducted on 20-21 February 2017; • PT. Agro Rawas Ulu was conducted on 27 February – 1 March 2017; • PT. Timbang Deli Indonesia was conducted on 30 October – 3 November 2017; 	<p>Comply</p>
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3.3 Progress of scheme smallholders and/or outgrowers

<p>Progress of scheme smallholders or outgrowers towards compliance with relevant standards</p>		
<p>Requirement</p>	<p>Remarks</p>	<p>Compliance</p>
<p>Has 100% of scheme smallholders and/or scheme outgrowers comply with the standard within three years of the mill's initial certification?</p>	<p>All of independent smallholders has to be certified before they can supply their FFB to SIPEF Group's palm oil mills. As recorded and audited during RSPO ASA3 for PT. Umbul Mas Wisesa – Umbul Mas Wisesa POM (this assessment), company was extending their scope of certified supply base with additional independent smallholder in form of <i>Koperasi Serba Usaha Suka Makmur</i>.</p>	<p>Comply</p>

3.4 Details of findings

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

During the Certification Assessment there were zero Major & one Minor nonconformities raised. The PT. Umbul Mas Wisesa POM Certification unit submitted Corrective Action Plans for the nonconformity. Corrective action plans with respect to the nonconformity was reviewed by the BSI audit team and accepted.

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

<p>Summary of Total Number of Nonconformity</p>			
<p>Nonconformity</p>			
<p>NCR Ref #</p>	<p>1578496-201801-N1</p>	<p>Clause & Category (Major / Minor)</p>	<p>RSPO P&C 2013, INA NI 2016 -</p>

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			Indicator 5.3.3 (Minor NC)
Date Issued	16 January 2018	Due Date	Next Surveillance
Closed (Yes / No)	No	Date of nonconformity Closure	Next Surveillance
Statement of Nonconformity:	Not adequate evidence to demonstrate company has consistently implement waste management plan to avoid or reduce pollution.		
Requirement Reference:	A documented waste management plan to avoid or reduce pollution and its implementation shall be available.		
Objective Evidence:	<p>PT. Umbul Mas Wisesa has demonstrated the permit for temporary hazardous waste storage as in "Keputusan Kepala Dinas Penanaman Modal dan Pelayanan Perizinan Terpadu Satu Pintu Kabupaten Labuhanbatu Selatan No.503/514/DPMPPTSP-LS/2017 tentang Izin Penyimpanan Sementara Limbah Bahan Berbahaya dan Beracun PT. Umbul Mas Wisesa South Estate", dated 25 April 2017. Under the permit, in "Diktum MEMUTUSKAN KEDUA, point 5.c" mentioned "Tidak diperkenankan menyimpan sementara limbah Bahan Berbahaya dan Beracun di tempat lain selain tempat penyimpanan sementara sebagaimana disebutkan dalam huruf a seperti yang di Diktum KESATU (N: 20 13' 9,832"; E: 1000 17' 5,30") - it is not allowed to store the hazardous waste outside the permitted location, located in PT. Umbul Mas Wisesa South Estate.</p> <p>However, based on visit to polyclinic Umbul Mas Wisesa (dated 15 January 2018), located in Umbul Mas Wisesa South Estate - it was found that medical waste stored in the clinic, instead of stored in hazardous waste store; as required in the permit. Based on balance sheet record PT. Umbul Mas Wisesa South Estate the transport of medical waste dated 4 April 2017 (2.2 kg) and 24 October 2017 (6.8 kg).</p>		
Corrections:	<p>1. Company doctors will revise medical waste management procedures in Polyclinics by adding provisions on:</p> <ul style="list-style-type: none"> - Duration of medical waste can be kept in the polyclinic; - Method of delivery of medical waste polyclinic to hazardous waste store (TPS Limbah B3); <p>2. Polyclinic medical waste has been send to hazardous waste store (TPS B3 Waste PT. Umbul Mas Wisesa and will be submitted to licensed company collecting waste (PT. Amindy Barokah Sumut).</p>		
Root Cause Analysis:	<p>Polyclinic PT. Umbul Mas Wisesa has a medical waste management procedure. However, the procedure it has not included the following:</p> <ul style="list-style-type: none"> - Duration of medical waste can be kept in the polyclinic; - Procedures for delivery of medical waste from polyclinic to temporary hazardous waste; 		
Corrective Actions:	<p>1. Medical waste management in polyclinic shall be in accordance with applicable procedures monitored by Estate Manager and Office Assistant UMW South Estate and Team ENC GMO North Sumatera;</p> <p>2. Polyclinic will deliver medical waste to hazardous waste store (TPS Limbah B3) Waste according to the time limit specified in Polidclinic Procedure. Monitoring will be performed by ENC Department - through internal audit;</p>		
Assessment Conclusion:	Audit team accepted the corrective action plan, prepared by certificate holders. However, audit team will review the implementation, consistency and		

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	effectiveness of corrective action taken during subsequent assessment visit. NC Minor remains open.
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Opportunity for Improvements	
OFI #	Description
OFI 1	Nil

Positive Findings	
PF #	Description
PF 1	PT. Umbul Mas Wisesa demonstrate high level of commitment to the development and inclusivity of smallholder. Company provides resources to guide and prepares the independent smallholder for RSPO certification.

3.4.1 Status of Nonconformities Previously Identified and Observations

Non-Conformity			
NCR Ref #	Nil	Clause & Category (Major / Minor)	
Closed (Yes / No)		Date of nonconformity Closure	
Statement of Nonconformity:			
Requirement Reference:			
Objective Evidence:			
Corrective Actions:			
Assessment Conclusion:			

Opportunity for Improvement	
OFI#	Description
OFI 1	<p>1434633-201702-01 RSPO P&C 2013, Indonesia National Interpretation, September 2016 - Criterion 4.6.9 Evidence of training on handling pesticide for workers is in place. Worker's understanding on occupational safety aspect, PPE use, emergency response plan, understanding of material safety data sheet, prevention of negative impact is good. Better consistency on training for handling pesticide for workers is expected.</p> <p>Action Plan: Training on handling pesticide for workers are generally better. Worker's understanding on OHS, PPE use, emergency plan, active ingredients and prevention of pollution are improved. Training on handling pesticides are provided and recorded, such as: UMW North Estate & TUM Estate:</p> <ul style="list-style-type: none"> - "Training standarisasi on spraying" in UMW North Estate – TUM Estate, dated 4 November 2017, was attended by 27 spraying applicator; - Training on hazardous waste management dated 3 November 2017, was attended by 12 workers;

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	<ul style="list-style-type: none"> - Training on Trunk Injecction dated 8 February 2017, conducted by Agronomy, was attended by 23 workers; - MSDS training dated 11 November 2017, was attended by 25 workers; <p>UMW South Estate:</p> <ul style="list-style-type: none"> - Training on trunk injection dated 11 January 2017 was attended by 44 workers and supervisors; - Training to applicator of pesticide (spraying team) on 17 December 2017, was attended by 34 personnel; - Training on pesticide handling on 11 November 2017, was attended by 36 workers;
OFI2	<p>1434633-201702-I1 RSPO P&C 2013 - Indonesia National Interpretation, September 2016 - Criterion 6.9.3 Policy against sexual harrassment is in place, a specific grievance mechanism related to sexual harrassment which respects anonymity of complainants is in place, woman committee meeting carried out on December 2016 and January 2017. Interview with male and female indicates understanding the type and indication of sexual harrassment. Better worker understanding of specific grievance mechanism related to any sexual harrassment case is expected.</p> <p>Action Plan: The worker understanding of specific grievance mechanism related to sexual harrasment case are improved. The number of policy dissemination has improved. The policy has been communicated to all level of workers, e.g. in UMW POM latest dissemination conducted on 9 December 2017, attended by 66 participants; UMW South Estate conducted on 28 December 2017, attended by 73 participants from Central Workshop; on 5 January 2018 at Division I, attended by 53 participants; on 8 January 2017 at Division II, attended by 61 participants; on 12 January 2017 at Division III, attended by 40 participants; on 27 December 2017 at Division IV, attended by 43 participants; on 7 December 2017 at Division V, attended by 57 participants; on 4 January 2018 at Division VI, attended by 60 participants; on 9 Decmeber 2017 at Division VII, attended by 57 participants; on 4 January 2018 at Division VIII, attended by 59 participants. In UMW North dissemination conducted on 30 October 2017 attended by 52 participants from Division I, 16 participants from Division II; on 21 December 2017 attended by 40 participants from Division III. Based on interview with sampled female worker (sprayers team), they understand the grievance mechanism.</p>

3.4.2 Summary of the Nonconformities and Status

CAR Ref.	CATEGORY (MAJOR/ MINOR)	ISSUED	STATUS & DATE (Closure)
1025752M0	Major	12 th May 2014	Closed on 4 th September 2014
1025752M29	Major	12 th May 2014	Closed on 10 th November 2014
1048188M10	Major	12 th May 2014	Closed on 4 th September 2014
1048188M1	Major	12 th May 2014	Closed on 4 th September 2014
1048188M2	Major	12 th May 2014	Closed on 4 th September 2014
1048188M9	Major	12 th May 2014	Closed on 4 th September 2014
1048188N12	Minor	12 th May 2014	Closed on 29 th January 2016
1048188N13	Minor	12 th May 2014	Closed on 29 th January 2016
1048188N14	Minor	12 th May 2014	Closed on 29 th January 2016
1048188N4	Minor	12 th May 2014	Closed on 29 th January 2016
1048188N15	Minor	12 th May 2014	Closed on 29 th January 2016

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1048188N16	Minor	12 th May 2014	Closed on 29 th January 2016
1048188N18	Minor	12 th May 2014	Closed on 29 th January 2016
1048188N1	Minor	12 th May 2014	Closed on 29 th January 2016
1048188N2	Minor	12 th May 2014	Closed on 29 th January 2016
1578496-201801-N1	Minor	16 th January 2018	Open

3.5. Stakeholders Consultation

Stakeholder consultation involved internal and external stakeholders. External stakeholders were contacted by telephone to arrange meetings at a location convenient to them to discuss Umbul Mas Wisesa Palm Oil Mill Certification Unit’s environmental and social performance, legal and any known dispute issues.

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

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

List of Stakeholders Contacted	
Internal Stakeholders Komite Gender PT. Umbul Mas Wisesa – Gender Committee;	Union/Contractors/Local Communities Tanjung Mulia Village Head; Pengurus Serikat Pekerja Mandiri PT. Umbul Mas Wisesa – Worker Union; Compensated party from Sei Siarti Village; Compensated party from Tanjung Mulia Village;
Government Departments Dinas Tenaga Kerja Kabupaten Labuhanbatu Selatan – Manpower Office; Dinas Lingkungan Hidup Kabupaten Labuhanbatu Selatan – Environment Office;	NGO LSM Sei Siarti;

IS #	Description
1	Feedbacks: Dinas Tenaga Kerja Kabupaten Labuhanbatu Selatan – Manpower Office <ul style="list-style-type: none"> - The office has not received any negative issue on industrial relation in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri; - In the past 1 years, there has been no industrial relation dispute in PT. Umbul Mas Wisesa and PT.

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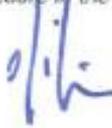
	<p>Toton Usaha Mandiri;</p> <ul style="list-style-type: none"> - PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri have worker union, for each estate and mill. The worker union have been registered in Dinas Tenaga Kerja Kabupaten Labuhanbatu Selatan; - PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri have collective work agreement and not following BKS-PPS; - PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri has consistently reports the manpower; - PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri has paid the minimum wage as required by regulation. For 2018, company can wait for issuance of regulation related to "Upah Minimum Sektoral Kabupaten"; - PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri have registered all workers into BPJS Ketenagakerjaan and BPJS Kesehatan. All workers have been provided with medical check up; - Regular inspection for mill machinery has been carried out; <p>Management Responses: PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri will continue to implement the obligation according with applicable regulations</p> <p>Audit Team Findings: Positive comments.</p>
2	<p>Feedbacks: Dinas Lingkungan Hidup Kabupaten Labuhanbatu Selatan – Environment Office</p> <ul style="list-style-type: none"> - PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri have issued with environment permit; - The companies have regularly report the environment management performance; <p>Management Responses: PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri will continue reporting the environment management performance to environment office (DLH)</p> <p>Audit Team Findings: Positive comments</p>
3	<p>Feedbacks: Tanjung Mulia Village Head</p> <ul style="list-style-type: none"> - PT. Umbul Mas Wisesa was taking over HGU from previous owner. Company has conduct socialization on the development plan, explaining the compensation processfor traditional landowners during initial development; - There was no land dispute between companies and other parties; - Companies have good CSR programme – specific for road maintenance and provision of clean water for surrounding communities; - Companies have absorp workforce from the village; - Companies have cooperation with Koperasi Serba Usaha Suka Makmur, providing guidance on oil palm plantation best management practices, FFB purchase; - Companies have encouraged smallholder to get RSPO certification; <p>Management Responses: PT. Umbul Mas Wisesa will continue to maintain a good communication with the surrounding community</p> <p>Audit Team Findings: Positive comments.</p>
4	<p>Feedbacks: LSM Sei Siarti Village</p> <ul style="list-style-type: none"> - PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri was taking over HGU from old owner. Company has conduct socialization during plantation development; - There was no land dispute between companies and other parties noted; - Companies have helped the community in road maintenance and provision of clean water for communities; - Companies have absorp workforce from the village; - Communication between company and surrounding community is good; - Company has appointed public relation officer, responsible for communication and consultation with

	<p>surrounding community;</p> <p>Management Responses: PT. Toton Usaha Mandiri will continue to maintain a good communication with the surrounding community</p> <p>Audit Team Findings: Positive comments.</p>
5	<p>Feedbacks: Pengurus Serikat Pekerja Mandiri PT. Umbul Mas Wisesa – Worker Union</p> <ul style="list-style-type: none"> - “Serikat Pekerja PT. Umbul Mas Wisesa” – the worker union has been registered onto “Dinas Tenaga Kerja Kabupaten Labuhan Batu Selatan” – manpower office of Labuhanbatu Selatan regency; - Bipartite organization has established; - Relationship between worker union and company was good. Meeting took place every 3 months or 6 months. Latest meeting related to minimum wage increment; - Worker union has always been involved in policy making related to manpower/industrial relation. This was reflected during preparation of “Upah Minimum Sektoral Kabupaten”; - There has been no case of industrial relation dispute between employees and company; - Company has implemented minimum wage in 2017, as in “Upah Minimum Sektoral Kabupaten” for salary payment standard. Company has asked worker union for meeting on minimum wage 2018; - Company has registering all worker under “BPJS Ketenagakerjaan” and “BPJS Kesehatan” for insurance; - Company has provided facility for the worker, housing with clean water and electricity, medical clinic, school bus, religious house, sport facility; - Company has provided medical check up on annual basis; provided PPE for each risk; provided working tool as appropriate; provided onsite first aid kit; - Company has communicated the complaint and grievance settlement mechanism. - Company has communicated the policy on protection of flora and fauna, as well as high conservation value area; <p>Management Responses:</p> <ul style="list-style-type: none"> - PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri will keep a good relationship with the worker and worker union - PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri will continue to provide PPE, working tool, medical clinic, first aid kit. <p>Audit Team Findings: Positive comments.</p>
6	<p>Feedbacks: Komite Gender PT. Umbul Mas Wisesa – Gender Committee</p> <ul style="list-style-type: none"> - Gender committee has been established since 2013. The regular program is monthly meeting; - No sexual harassment case and/or violence case noted and/or recorded up to 3rd surveillance assessment; - Company has implementing the female worker’s right such as regular medical checkup for female sprayers, menstrual leave right, maternal leave and breast-feeding leave, gender equality in payment; - Most of female worker, conducting work in plantation upkeep; - Company has conveyed the mechanism for complaint and grievance settlement; - There are more company policy’s dissemination in 2017; <p>Management Responses: PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri will continue to keep positive issues about gender</p> <p>Audit Team Findings: Positive comments.</p>
7	<p>Feedbacks: R***** S*****, compensated party from Sei Siarti Village</p> <ul style="list-style-type: none"> - Landowners received compensation on 2009 for 23 Ha; - The land compensated was located under PT. Umbul Mas Wisesa;

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	<ul style="list-style-type: none"> - The land was originated from opening up land, then owned with Sei Siarti Village acknowledgement; - The compensation process was without coercion and force; - The process was initiaed with socialization of company development plan, offer on compensation, price negotiation, participatory mapping and measurement, agreement upon compensation; - No dispute between company and local community; <p>Management Responses: PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri will keep a good communication with the local community</p> <p>Audit Team Findings: Positive comments.</p>
<p>8</p>	<p>Feedbacks: B***** D*****, compensated party from Tanjung Mulia Village</p> <ul style="list-style-type: none"> - Landowners received compensation on 2007; - The land was part of Pak Purba’s party of 202 Ha under PT. Umbul Mas Wisesa; - The land being compensated was originated from land purchase; - The compensation process was without coercion and force; - The process was initiaed with socialization of company development plan, offer on compensation, price negotiation, participatory mapping and measurement, agreement upon compensation; - During negotiation process, witnessed and acknowledged by “Kantor Camat Kampung Rakyat” and villagers; - No dispute between company and local community; <p>Management Responses: PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri will keep a good communication with the local community</p> <p>Audit Team Findings: Positive comments.</p>

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Formal Signing-off of Assessment Conclusion and Recommendation	
<p>The audit objectives have been achieved and the certificate scope remains appropriate. Based on the results of this audit, it is concluded that Umbul Mas Wisesa Palm Oil Mill has complied with the RSPO Principle and Criteria Indonesia National Interpretation, September 2016 and RSPO Supply Chain Certification Standard for CPO Mills (June 2017) and audit criteria identified within the audit report. It is deemed that the management system continues to achieve its intended outcomes. Therefore, it is recommended that the certification of Umbul Mas Wisesa Palm Oil Mill is continued.</p>	
Report prepared by	Acceptance of Assessment Conclusion
Name: Pratama Agung Sedayu	Name: Mr. Olivier Tichit
Company Name: on behalf BSI Services Malaysia Sdn Bhd	Company Name: PT. Umbul Mas Wisesa
Title: Lead Auditor	Title: Director
Signature: 	Signature: <i>(I the undersigned, being the most senior relevant management representative of the operation seeking or holding certification, agree with the contents of this report and accept the liability in execution of the procedure in the report.)</i> 
Date: 23 January 2018	Date: <i>23 January 2018</i>

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

Criterion / Indicator	Assessment Findings	Compliance
Principle 1: Commitment to Transparency		
<p>Criterion 1.1: Growers and millers provide adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages and forms to allow for effective participation in decision making.</p>		
<p>1.1.1</p> <p>List of information related to criterion 1.2 that can be accessed by relevant stakeholders shall be available.</p> <p>- Minor compliance -</p>	<p>PT. Umbul Mas Wisesa – Umbul Mas Wisesa Palm Oil Mill listed all publicly available document under “Dokumen-dokumen yang Tersedia untuk Umum”, latest update 2 December 2017. The list consist of: “Akte Pendirian Perusahaan No.AHU.0003567.AH.01.11” – deed of company establishment; “Izin Usaha Budidaya Perkebunan atas nama PT. Umbul Mas Wisesa No.503/11/HUKUM/2005” – plantation business permit; “Analisis Dampak Lingkungan (ANDAL) Rencana Usaha dan/atau Kegiatan Perkebunan Kelapa Sawit, Pabrik Kelapa Sawit dan DUKS PT.Umbul Mas Wisesa No.503/660/268/SET-KOMISI/XII/2008” – social environmental impact assessment; “Rencana Pengelolaan Lingkungan Hidup dan Rencana Pemantauan Lingkungan Hidup (RKL/RPL) No.503.660/268/SET-KOMISI/XII/2008” – social and environmental management and monitoring plan; “Program Keselamatan dan Kesehatan Kerja” - Health and safety program; “Rekaman Keluh Kesah Internal dan Eksternal” – Internal and external grievance record; “Rencana Pengurangan dan Pencegahan Polusi” – Pollution prevention and reduction plan; “Rencana Perbaikan Berkelanjutan” – Continuous improvement plan; “Rangkuman publik dari laporan penilaian badan sertifikasi” – public summary from certification body assessment.</p> <p>PT. Toton Usaha Mandiri Estate listed all publicly available document under “Dokumen-dokumen yang Tersedia untuk Umum”, latest update 3 January 2018. The list consist of: “Izin Usaha Budidaya Perkebunan atas nama PT. Toton Usaha Mandiri No.108/172/Huk/2010” – plantation business permit; “Dokumen UKL-UPL Perkebunan Kelapa Sawit seluas 1,200 Ha PT. Toton Usaha Mandiri No.660/324/BLH-LB/AM/2009” – environment management and monitoring plan; “Hak Guna Usaha No.23/HGU/BPN RI/2011” – land title; “Penilaian NKT/HCV PT. Toton Usaha Mandiri, Kabupaten Labuhan Batu Provinsi Sumatera Utara” by Yayasan Kelapa Sawit Berkelanjutan Indonesia – November 2009; “Laporan Rencana Pengelolaan Lingkungan Hidup dan Rencana Pemantauan Lingkungan Hidup (RKL/RPL)” – social and environmental management and monitoring plan; “Program Keselamatan dan Kesehatan Kerja” -</p>	<p>Comply</p>

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

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<p>- Major compliance -</p>	<p>The palm oil mill has recorded response upon request information in the same log book. Logbook titled "Buku Permintaan Informasi dan Tanggapan". Based on document review UMW POM received 13 information requests in 2017. Based on interview and document review, the unit has given response upon request information timely manner. There were recorded up view type of request, e.g request information from: Letter from "Dinas Lingkungan Hidup Kabupaten Labuhan Batu Selatan No.660/186/DLH/111/2017" dated 1 March 2017; and received on 23 March 2017 related to payment request for mill effluent retribution. Responded on 31 March 2017, as Umbul Mas Wisesa POM issued for cash payment voucher dated 31 March 2017, and paid on date. Receipt and "Surat Setoran Retribusi Daerah tahun 2017" from "Dinas Lingkungan Hidup Kabupaten Labuhanbatu Selatan" evident.</p> <p>Letter from "Bupati Labuhanbatu Selatan No.005/1581/KESRA/2017" dated 7 August 2017 related to invitation for meeting for independence day, 9 August 2017. The letter received and recorded in the logbook on 7 August 2017. Responded through attending the meeting, represented by the Field Head Assisstant on 9 August 2017.</p> <p>UMW North Estate: The estate has recorded response upon request information in "Buku Permintaan Informasi dan Tanggapan". Based on document review, in Toton Usaha Mandiri Estate received five (5) information requests in 2017. Sample seen: On 6 June 2017, Mr. Sijabat and Mr. Siahhaan, inquiry if they can make bridge on boundary PT. Umbul Mas Wisesa North Estate. On same date, Field Head Assisstant provide response that such request is not permitted. On 15 November 2017, Mr.Eddy Syahputra, asking when vaccination for toddler will be carried out. Field head assisstant provide response on 15 November 2017 for database.</p> <p>TUM Estate: The estate has recorded response upon request information in "Buku Permintaan Informasi dan Tanggapan". Based on document review, in Toton Usaha Mandiri Estate received seven (7) information requests in 2017. Sample seen: On 10 October 2017, Mr. Siahhaan, inquiry for job vacancy in PT. Toton Usaha Mandiri. On 12 October 2017, Estate Manager provides response that currently job vacancy was not available.</p> <p>UMW South Estate: 24 information request recorded in "Information Requests and Answers/Permintaan Informasi dan Jawaban", throughout 2017. All information request has been responded. One information request from "Persekutuan Pemuda-</p>	

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		Pemudi Methodist Indonesia - Gereja Methodist Indonesia, Umbul Mas Wisesa No.03/P3MI/GMI/UMWS/X/2017" dated 19 October 2017, request for transport of young church member for "Minggu P3MI" in "Gereja Methodist Indonesia El-Shaday Blok Songo". Estate manager approved on 19 October 2017, and provided transport upon the request.	
Criterion 1.2:			
Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.			
1.2.1	Publicly available documents shall include, but are not necessarily limited to: a) Land titles/user rights (Criterion 2.2) b) Occupational health and safety plans (Criterion 4.7) c) Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8) d) HCV documentation (Criteria 5.2 and 7.3) e) Pollution prevention and reduction plans (Criterion 5.6) f) Details of complaints and grievances (Criterion 6.3) g) Negotiation procedures (Criterion 6.4) h) Continual improvement plans (Criterion 8.1) i) Public summary of certification assessment report j) Human Rights Policy (Criterion 6.13). - Major Compliance -	PT. Umbul Mas Wisesa – Umbul Mas Wisesa Palm Oil Mill listed all publicly available document under "Dokumen-dokumen yang Tersedia untuk Umum", latest update 2 December 2017. The list consist of: "Akte Pendirian Perusahaan No.AHU.0003567.AH.01.11" – deed of company establishment; "Izin Usaha Budidaya Perkebunan atas nama PT. Umbul Mas Wisesa No.503/11/HUKUM/2005" – plantation business permit; "Analisis Dampak Lingkungan (ANDAL) Rencana Usaha dan/atau Kegiatan Perkebunan Kelapa Sawit, Pabrik Kelapa Sawit dan DUKS PT.Umbul Mas Wisesa No.503/660/268/SET-KOMISI/XII/2008" – social environmental impact assessment; "Rencana Pengelolaan Lingkungan Hidup dan Rencana Pemantauan Lingkungan Hidup (RKL/RPL) No.503.660/268/SET-KOMISI/XII/2008" – social and environmental management and monitoring plan; HCV Assessment report; Negotiation Procedures; "Program Keselamatan dan Kesehatan Kerja" - Health and safety program; "Rekaman Keluh Kesah Internal dan Eksternal" – Internal and external grievance record; "Rencana Pengurangan dan Pencegahan Polusi" – Pollution prevention and reduction plan; "Rencana Perbaikan Berkelanjutan" – Continuous improvement plan; "Rangkuman publik dari laporan penilaian badan sertifikasi" – public summary from certification body assessment; Human Rights Policy. UMW South Estate: Dokumen-dokumen yang Tersedia untuk Umum (Publicly Available Document) listed 19 types of document: "Akte Pendirian Perusahaan No.AHU.0003567.AH.01.11" – deed of establishment; "Sertifikat HGU No.51, 52, 59, 60, 71" – land titles; "Izin Usaha Budidaya Perkebunan No.503/11/HUKUM/2005 atas nama PT. Umbul Mas Wisesa" – plantation business permit; "Izin Lingkungan Keputusan Gubernur Sumatera Utara No.660/221/BPPTSU/2/IV.1/V/2016" – environment permit; "Rencana Pemantauan dan Pengelolaan Lingkungan Hidup (RKL-RPL) – Rencana Usaha Dan/Atau Kegiatan Perkebunan Kelapa Sawit dan DUKS PT. UMWS Sesuai Keputusan Bupati Labuhan Batu No.503.660/268/SET-KOMISI/XII/2008" – environment management and monitoring plan; "Kelayakan Lingkungan Hidup Adendum Analisis Dampak Lingkungan	Comply

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		Hidup, Rencana Pengelolaan Lingkungan Hidup dan Rencana Pemantauan Lingkungan Hidup Kegiatan Perubahan Pengolahan Limbah Cair Berbasis Clean Development Mechanism dan Perubahan Pengolahan Limbah Padat PKS PT. Umbul Mas Wisesa No.188.44/430/KPTS/2013” – environment study; “Izin Penyimpanan Sementara Limbah B3 Perkebunan Kelapa Sawit PT. Umbul Mas Wisesa sesuai Keputusan Kepala Dinas Penanaman Modal dan Pelayanan Perizinan Terpadu Satu Pintu Kabupaten Labuhanbatu Selatan No.503/514/DPMPTSP-LS/2017” – permit for hazardous waste storage; “Laporan Community Development/Corporate Social Responsibility PT. Umbul Mas Wisesa” – CSR report; “Program Kesehatan dan Keselamatan Kerja” – health and safety program; Continuous improvement plan; “Kebijakan Perusahaan” – company policies; “Rekaman Keluh-kesah Internal dan Eksternal” – Detail of complaint and grievance; “Rencana Pengurangan dan Pencegahan Polusi” – Pollution reduction and prevention plan; “Prosedur Ganti Rugi Lahan” – Negotiation procedures; “Rekaman Publik penilaian sertifikasi” – Public summary of certification body; HCV assessment; Social Impact Assessment;	
Criteria 1.3:			
Growers and millers commit to ethical conduct in all business operations and transactions.			
1.3.1	<p>There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions along with the documentation of socialisation process of the policy to all levels of the workers and operations.</p> <p>- Minor compliance –</p>	<p>Company has a policy for code of conduct, under “Code of Conduct – PT. Tolan Tiga Indonesia” signed by President Director, on 17 December 2014. The code of conduct consist of internal guidance on good corporate governance, also cover work ethics – basic individual attitude, individual behaviour inside and outside of company; conduct as supervisor, behaviour as subordinate.</p> <p>Commitment to specific things: Company records, documents, and information should be accountable, accurate and timely; All individuals to realize the responsibility to secure company’s assets; Never tolerate insider trading in accordance with applicable regulations; all individual to avoid conflict of interest; Regulating gifts, souvenirs, donations, commission, bribery.</p> <p>UMW POM: Code of conduct policy has been disseminated to mill worker on 9 December 2017 to 65 workers: Mr.Rudi Abdullah, workshop; Mr.Ahmad Tara, Operator Thresher; Mr. Mislán Sembiring, Operator Clarification.</p> <p>UMW North Estate: Code of conduct socialization conducted on 27 September 2017, for 29 harvester in UMW North Estate, Division III, Block 06N01A. Sample interviewed Mr.Sur***, Mr.R*****, Mr.Suw***.</p> <p>UMW South Estate: Code of conduct socialization conducted on 29 December</p>	Comply

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	<p>2017, for 40 workers (supervisor, pesta and disease, trunk injector, upkeep, havesters, tallying clerk) from Division VIII in UMW South Estate. Sample interviewed: Mr.Budi S*****, Mr.P**** Tanj****, Mrs.I** S** J**, and other workers.</p> <p>TUM Estate: Socialization of code of conduct held on 21 December 2017 to 57 employees, consist of harvesters, manuring, spraying, tallying clerk, supervisor, of Division II Toton Usaha Mandiri Estate. Sample interviewed: Mr. Bit****, Mr.Deng****, Mr.Suri****, harvester in TUM Estate, Division II, block 09L17 – 08L18.</p>	
<p>Principle 2: Compliance with applicable laws and regulations</p>		
<p>Criterion 2.1: There is compliance with all applicable local, national and ratified international laws and regulations.</p>		
<p>2.1.1</p>	<p>Evidence of compliance with relevant legal requirements shall be available.</p> <p>- Major compliance –</p> <p>Companies prepared and maintained a list of legal requirement “Evaluasi Pemenuhan Peraturan Perundang Undangan”, updated on March 2017. The list consist of 229 rules and regulation (including the 214 rules and regulation, as listed in RSPO P&C INA NI, September 2016, Appendix 1). Company has evaluated 14 categories of regulation such as 47 “Undang-undang” – National laws; 56 “Peraturan Pemerintah” - Government Regulation; 3 “Instruksi Presiden” - President Instruction; 7 “Keputusan Presiden” - President Decree; 17 “Peraturan Presiden” – President Regulations; 129 “Peraturan Menteri” – Minister Regulation; Evaluation of compliance with relevant legal requirements including review by chapter, the relation with operational activities and complemented with evidence of compliance. Evaluation carried out once per year.</p> <p>PT. Umbul Mas Wisesa (PT. UMW) Based on document review, interview with government bodies, and field visit – company has demonstrate evidence of legal requirement fulfilment. PT. Umbul Mas Wisesa: Izin Lokasi (Location permit). - Surat Keputusan Bupati Labuhan Batu No. 08 tahun 2004, dated 26 May 2004, related: “Pemberian Ijin Lokasi untuk Keperluan Perkebunan Kelapa sawit PT. Umbul Mas Wisesa, covering ±8,000 Ha”, with description 5,926.25 Ha in Sei Siarti Village, Pantai Tengah District and 2,073.75 Ha falls under Tanjung Mulia Village, Kampung Rakyat District. - Renewal of “Izin Lokasi” from Bupati Labuhan Batu, No. 12, 2007, dated 14 June 2007. It was extension from “Izin Lokasi Surat Keputusan Bupati Labuhan Batu No.08 tahun 2004”, dated 26 May 2004. Izin Usaha Perkebunan (Operational Plantation Permit). - PT. Umbul Mas Wisesa: No. 503/11/HUKUM/2005, dated 5 August 2005, (±8,451 Ha), located in Tanjung Mulia village and Sei Siarti village.</p>	<p>Comply</p>

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	<ul style="list-style-type: none"> - "Keputusan Kepala Badan Pelayanan Perijinan Terpadu Propinsi Sumatera Utara No.522.2/104/BPPTSU/2/1.3/IX/2014, tentang Izin Usaha Perkebunan untuk Pengolahan (IUP-P) PT. Umbul Mas Wisesa, kapasitas 60 ton TBS/jam, seluas 5.50 Ha", dated 29 September 2014, and part of "Surat Keputusan Hak Guna Usaha No.51 tanggal 10 Juni 2013", location in Tanjung Mulia Village, Kampung Rakyat District, Labuhan Batu Regency. <p>Hak Guna Usaha/HGU – Land title for total 7,763.35 Ha:</p> <ul style="list-style-type: none"> - "Sertifikat HGU No.93/HGU/BPN.RI/2014, untuk luasan 679.09 Ha", issued certificate on 26 September 2014, location in Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province; - "Sertifikat HGU No.93/BPN.RI/2014, luasan 461.90 Ha", issued certificate on 26 September 2014, location in Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province; - "Sertifikat HGU No.1/HGU/BPN RI/2014, luasan 154.67 Ha", issued certificate on 5 January 2015, location in Sei Siarti Village, Panai Tengah District, Lbuan Batu Regency, Sumatera Utara Province; - "Sertifikat HGU No. 42/HGU/BPN RI/2013, luasan 2,071.11 Ha", issued certificate on 10 June 2013, location in Tanjung Mulia Village, Kampung Rakyat District, Labuhan Batu Regency, Sumatera Utara Province; - "Sertifikat HGU No.42/HGU/BPN.RI/2013, luasan 4,396.58 Ha", issued certificate on 10 June 2013, location in Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province; <p>PT. Toton Usaha Mandiri (PT. TUM):</p> <p>Izin Lokasi – location permit</p> <ul style="list-style-type: none"> - "Surat Keputusan Bupati Labuhan Batu No.7 tahun 2005, tentang Pemberian Ijin Lokasi untuk Keperluan Perkebunan Kelapa sawit PT. Toton Usaha Mandiri", dated 8 June 2005; covering ±1,200 Ha and located under Sei Siarti Vilage, Panai Tengah District, Labuhanbatu Regency. - Renewal Izin Lokasi from "Surat Keputusan Bupati Labuhanbatu No.492 tahun 2008, tentang Perpanjangan dimaksud dalam Keputusan Bupati Labuhanbatu No.7 tahun 2005 tanggal 8 Juni 2005", dated 12 December 2008. <p>Izin Usaha Perkebunan (IUP) – plantation business permit:</p> <ul style="list-style-type: none"> - PT. Toton Usaha Mandiri: No.180/172/Huk/2010, dated 5 May 2010 (±1,200 Ha) from Bupati Labuhan Batu. Located under Sei Siarti Vilage, Panai Tengah District, Labuhanbatu Regency. <p>Hak Guna Usaha/HGU – Land Title:</p> <ul style="list-style-type: none"> - "Sertifikat HGU No.23/HGU/BPN RI/2011, dengan luasan 1,198.76 Ha", dated 26 April 2011. 	

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		<p>Based on statement letter from Kepala Badan Planologi No.768/VII-KP/2001, dated 19 March 2001 and Kepala Balai Pemanfaatan Kawasan Hutan Wilayah I Medan, No. S.351/VII/BPKHI-2/2006, dated 18 April 2006, stated that all areas under PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri management are non-forest area (Areal Penggunaan Lain - APL).</p> <p>All compensation process are documented into "Surat Keterangan Tanah/SKT", "Surat Pernyataan Penguasaan Fisik Tanah", "Peta Lokasi Lahan", "Surat Keterangan Ganti Rugi Tanah Garapan" acknowledged and witnessed by Village Head. "Surat Pelepasan Hak Menggarap atas Tanah Garapan", "Tanda Terima Pembayaran Ganti Rugi" and photographs pictures the compensation process.</p>	
2.1.2	<p>A documented system, which includes written information on legal requirements, shall be maintained.</p> <p>- Minor compliance –</p>	<p>Companies prepared and maintained a list of legal requirement "Evaluasi Pemenuhan Peraturan Perundang Undangan", updated on March 2017. The list consist of 229 rules and regulation (including the 214 rules and regulation, as listed in RSPO P&C INA NI, September 2016, Appendix 1). Company has evaluated 14 categories of regulation such as 47 "Undang-undang" – National laws; 56 "Peraturan Pemerintah" - Government Regulation; 3 "Instruksi Presiden" - President Instruction; 7 "Keputusan Presiden" - President Decree; 17 "Peraturan Presiden" – President Regulations; 129 "Peraturan Menteri" – Minister Regulation; Evaluation of compliance with relevant legal requirements including review by chapter, the relation with operational activities and complemented with evidence of compliance. Evaluation carried out once per year.</p>	Comply
2.1.3	<p>A mechanism for ensuring compliance shall be implemented.</p> <p>- Minor compliance –</p>	<p>Companies prepared and maintained a list of legal requirement "Evaluasi Pemenuhan Peraturan Perundang Undangan", updated on March 2017. The list consist of 229 rules and regulation (including the 214 rules and regulation, as listed in RSPO P&C INA NI, September 2016, Appendix 1). Company has evaluated 14 categories of regulation such as 47 "Undang-undang" – National laws; 56 "Peraturan Pemerintah" - Government Regulation; 3 "Instruksi Presiden" - President Instruction; 7 "Keputusan Presiden" - President Decree; 17 "Peraturan Presiden" – President Regulations; 129 "Peraturan Menteri" – Minister Regulation; Evaluation of compliance with relevant legal requirements including review by chapter, the relation with operational activities and complemented with evidence of compliance. Evaluation carried out once per year.</p>	Comply
2.1.4	<p>A system for tracking any changes in the law shall be available and implemented.</p> <p>- Minor compliance –</p>	<p>A mechanism to ensure to track the changes in law is available and the company has updated evaluation of regulation which must comply with regularly. MCA will find information and/or participating in the socialization of the government if there are new regulations or amendment of rules and evaluated the extent to which its fulfillment, assuming there is not yet fulfilled of the regulation, it will be communicated to each unit of the</p>	Comply

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		<p>Department for the changes.</p> <p>The company has updated the relevant regulations provided in Indonesian Legislation relating RSPO Principles and its ratification. The procedure has been established, that is "Prosedur Informasi Perubahan Undang Undang dan Peraturan Pemerintah" no. CA/SOP/01, revision 00, dated 1 November 2011. Responsible person is Corporate Affair Manager. If any amendment or new regulation will be evaluated by the MCA, further submitted to the unit of department through General Manger Office.</p> <p>This document was updated on March 2017, e.g. regulations relating to estates and mill have been identified which covers, e.g.:</p> <ul style="list-style-type: none"> - Governor decree: Keputusan Gubernur Sumatera Uatara No. 188.44/100/Kpts/2017 tentang UMSK Labuhanbatu Selatan tahun 2017 sebagai perubahan dari SK Gubernus Sumut No. 188.44/88/Kpts/2016 tentang UMSK Labuhanbatu Selatan tahun 2016. - Internal Minister Decree: Peraturan Menteri Dalam Negeri No. 19 Tahun 2017 tentang Pencabutan Peraturan Menteri Dalam Negeri No. 27 tahun 2009 tentang Pedoman Penetapan Izin Gangguan di Daerah. 	
<p>Criterion 2.2:</p> <p>The right to use the land is demonstrated, and is not legitimately contested by local people who can demonstrate that they have legal, customary or user rights.</p>			
2.2.1	<p>Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available.</p> <p>- Major compliance -</p>	<p>PT. Umbul Mas Wisesa (PT. UMW)</p> <p>The company has obtained land title for itss plantation, under Hak Guna Usaha (HGU) for PT. Umbul Mas Wisesa:</p> <p>a. "Surat Kepala Kepala BPN No.42/HGU/BPN RI/2013 tentang Pemberian Hak Guna Usaha atas nama PT. Umbul Mas Wisesa atas tanah di Kabupaten Labuhan Batu Selatan dan Labuhan Batu, Provinsi Sumatera Utara dengan luas 6,467.69 Ha" dated 28 May 2013. The HGU valid until 28 May 2048. Then subsequently issued with certificate:</p> <ul style="list-style-type: none"> - "Sertifikat HGU No.51 dengan luas 2,071.11 Ha sesuai dengan Surat Ukur No.287/Tanjung Mulia/2013 tertanggal 10 Juni 2013", dated 10 June 2013. - "Sertifikat HGU No.52 dengan luas 4,396.58 Ha sesuai dengan Surat Ukur No.287/Tanjung Mulia/2013 tertanggal 10 Juni 2013", dated 10 June 2013. <p>b. "Surat Keputusan BPN No.93/HGU/BPN RI/2014 tentang Pemberian HGU atas nama PT. Umbul Mas Wisesa Atas Tanah di Kabupaten Labuhan Batu, Provinsi Sumatera Utara seluas 1,140.99 Ha", tanggal 25 June 2014. The permit valid until 25 June 2049. The permit then subsequently issued with certificate:</p> <ul style="list-style-type: none"> - "Sertifikat HGU No.59 seluas 679.09 Ha sesuai dengan Surat Ukur No.494/Labuhan Batu/2014 	Comply

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	<p>tertanggal 14 Agustus 2014” dated 29 September 2014;</p> <p>- “Sertifikat HGU No.60 seluas 461.90 Ha sesuai dengan Surat Ukur No.494/Labuhan Batu/2014 tertanggal 14 Agustus 2014”, dated 29 September 2014.</p> <p>c. “Surat Keputusan BPN No.1/HGU/BPN.12/III/2014 tentang Pemberian HGU atas nama PT. Umbul Mas Wisesa Atas Tanah terletak di Kabupaten Labuhan Batu, Provinsi Sumatera Utara seluas 154.67 Ha”, dated 28 March 2014. The permit valid until 28 March 2049. The permit then issued with certificate “Sertifikat HGU No.71 sesuai dengan Surat Ukur No. 493/Labuhan Batu/2014 tertanggal 13 Agustus 2014” dated 5 January 2015.</p> <p>PT. Toton Usaha Mandiri (PT. TUM): “Surat keputusan Kepala BPN No. 23/HGU/BPN RI/2011, tentang Pemberian Hak Guna Usaha atas nama PT Toton Usaha Mandiri atas Tanah di Kabupaten Labuhan Batu, Provinsi Sumatera Utara seluas 1,198.76 Ha”, dated 26 April 2011. The permit valid until 26 April 2046. The permit then issued with certificate “Sertifikat HGU No.36/2011, sesuai dengan Surat Ukur No.10/Sei Siarti/2011 tertanggal 12 Mei 2011” dated 12 May 2011.</p> <p>Based on statement letter from Kepala Badan Planologi No.768/VII-KP/2001, dated 19 March 2001 and Kepala Balai Pemanfaatan Kawasan Hutan Wilayah I Medan, No. S.351/VII/BPKHI-2/2006, dated 18 April 2006, stated that all areas under PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri management are non-forest area (Areal Penggunaan Lain - APL).</p>	
<p>2.2.2</p> <p>Legal boundaries are demonstrated clearly and maintained.</p> <p>- Minor compliance -</p>	<p>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri carried out monitoring of boundary poles on regular basis. UMW-North Estate has monitored the boundary poles monthly basis and reported under “Daftar Pemeriksaan Patok Batas Kebun (HGU)”. Boundary poles found to be in good condition. Based on field visit, the boundary poles found to be in good condition and visibly maintained, the boundary identity is also clear.</p> <p>Boundary pole monitoring is conducted monthly, based on review document, it was seen that 139 pegs in Umbul Mas Wisesa South Estate good condition and 33 pegs in PT TUM and also good condition. Based on field visits found that peg visibly and maintained, e.g. Pegs 31, 33, 34, 35, 36 in Division VI UMW South Estate. The company has been doing peg maintenance regularly every three months; the last inspection was conducted in November and December 2017.</p> <p>Based on field visit in boundary pole at block K20, K21, and H28 under Division II and Division IV (boundary pole No.80, 81, 82, 221 and 220 in UMW North Estate in good condition.</p>	<p>Comply</p>

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Criterion / Indicator	Assessment Findings	Compliance
	Based on field visit in boundary pole at block K11A, L11A, K19 and K18 (boundary poles No.01, 02, 03, 04, 05) under Toton Usaha Mandiri Estate in good condition.	
<p>2.2.3</p> <p>In the event that there is a dispute or a dispute has occurred, adequate evidence of legitimate acquisition and compensation or compensation settlement process through conflict resolution which has been received through Free, Prior and Informed Consent by all related parties shall be provided.</p> <p>- Minor compliance -</p>	<p>The company has a mechanism Compensation for Land issued on 1 July 2012 (Doc. No: SOP/CA/02); in it procedure outlines the mechanism for compensation through the FPIC process (socialization), Document Verification and Measurement of land and Price Negotiation "Ganti Rugi Tanah Tumbuh/GRTT". Completeness GRTT are as follows;\</p> <ol style="list-style-type: none"> 1. Letter of Request for measurement, 2. Minute of land surveying, 3. Certificate of Land or "Surat Keterangan Tanah/SKT; 4. Statement of no dispute 5. Statement of Recognition of Rights, 6. Statement Own Land / Land for smallholder (if any), 7. Letter of Waiver working on arable land, arable land compensation letters. <p>PT. Umbul Mas Wisesa have been demonstrated across a copy of the agreement that has been agreed upon in the process of "Ganti Rugi Tanah Garapan (GRTG)" on the work area owned. Based recap GRTG process has been carried out on an area of 6,468.60 hectares. In the first phase of an area of 1,923.03 Ha against 93 groups and 1,163 owners as well as the second stage is an area of 1,923.03 Ha against 18 group and 84 owners in the village of Tanjung Mulia and Sei Siarti.</p> <p>Examples: Copies implementation process of Land (GRTG); on behalf of Mr. B***** D***** , Tanjung Mulia village community; for land being part of 202 Ha undr "Pak Purba" party with the evidence "Surat Keterangan Tanah", of Compensation paid/received have been listed in the District Kampung Rakyat, Tanjung Mulia Village and also Notary Lince Hutahayan, Letter of Land Compensation, land Inventory Results Measurement and Garapan made jointly witnessed by the village of Tanjung Mulia Party and the Group of landowners adjacent areas Area Map replaced Loss and Land Certificate or Surat Keterangan Tanah/SKT" Mr. B***** D***** in 2007.</p> <p>In PT. Toton Usaha Mandiri have been demonstrated across a copy of the agreement that has been agreed upon in the process of "Ganti Rugi Tanah Garapan (GRTG)" on the work area owned. Based recap GRTG process has been carried out on an area of 761.67 Ha in Sei Siarti Villages against 108 landowners. Sample verified: against Mr. K***** N***** for 9.99 Ha with evidence "Surat Keterangan Tanah/SKT Desa Sei Siarti No.593.3/785/1512/2004 dated 25 October 2007. Other supporting documents: Letter of Land Compensation, land Inventory Results Measurement and Garapan made jointly witnessed by the village of Tanjung Mulia Party</p>	<p>Comply</p>

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Criterion / Indicator		Assessment Findings	Compliance
		and the Group of landowners adjacent areas Area Map replaced Loss and Land Certificate or Surat Keterangan Tanah/SKT” of Mr. K***** N*****. Compesation paid on 25 October 2007.	
2.2.4	There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved. - Major compliance –	Based on document verification, public consultation with “Kantor Pertanahan Kabupaten Labuhan Batu” and villagers in Sei Siarti and Tanjung Mulia, it was known that no land dispute/land conflict between company and community. The land compensation process carried out with negotiation between both parties. The FPIC process documented under “Dokumen Ganti Rugi Tanam Tumbuh/GRTT” for Mr. K***** N***** for 9.99 Ha with evidence “Surat Keterangan Tanah/SKT Desa Sei Siarti No.593.3/785/1512/2004 dated 25 October 2007. Other supporting documents: Letter of Land Compensation, land Inventory Results Measurement and Garapan made jointly witnessed by the village of Tanjung Mulia Party and the Group of landowners adjacent areas Area Map replaced Loss and Land Certificate or Surat Keterangan Tanah/SKT” of Mr. K***** N*****. Compesation paid on 25 October 2007.	Comply
2.2.5	For any conflict or dispute over the land, the evidence of the extent of disputed area is mapped out in a participatory way with involvement of affected parties (including neighboring communities and local government where applicable), shall be available. - Minor compliance –	Based on document verification, public consultation with “Kantor Pertanahan Kabupaten Labuhan Batu” and villagers in Sei Siarti and Tanjung Mulia, it was known that no land dispute/land conflict between company and community. The land compensation process carried out with negotiation between both parties. The FPIC process documented under “Dokumen Ganti Rugi Tanam Tumbuh/GRTT” for Mr. K***** N***** for 9.99 Ha with evidence “Surat Keterangan Tanah/SKT Desa Sei Siarti No.593.3/785/1512/2004 dated 25 October 2007. Other supporting documents: Letter of Land Compensation, land Inventory Results Measurement and Garapan made jointly witnessed by the village of Tanjung Mulia Party and the Group of landowners adjacent areas Area Map replaced Loss and Land Certificate or Surat Keterangan Tanah/SKT” of Mr. K***** N*****. Compesation paid on 25 October 2007.	Comply
2.2.6	To avoid escalation of conflict, there shall be no evidence that palm oil operations have instigated violence in maintaining peace and order in their current and/or planned operations. - Major compliance –	Based on document verification, public consultation with “Kantor Pertanahan Kabupaten Labuhan Batu” and villagers in Sei Siarti and Tanjung Mulia, it was known that no land dispute/land conflict between company and community. In addition, community stated that companies have never made any intimidation, coercion and/or use violence in handling land conflict/land compensation.	Comply
Criterion 2.3: Use of the land for oil palm does not diminish the legal rights, customary or user right of other users without their free, prior and informed consent.			

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Criterion / Indicator	Assessment Findings	Compliance
<p>2.3.1 Maps with appropriate scale showing the extent of recognized legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighboring communities where applicable, and relevant authorities).</p> <p>- Major compliance -</p>	<p>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri have prepared a map indicating previous landowners with recognized legal, customary or user rights. The map was prepared prior to initial land compensation process; carried out on an area of 6,468.60 hectares. In the first phase of an area of 1,923.03 Ha against 93 groups and 1,163 owners as well as the second stage is an area of 1,923.03 Ha against 18 group and 84 owners in the village of Tanjung Mulia and Sei Siarti.</p> <p>The same process carried out in PT. Toton Usaha Mandiri, for an area of 761.67 Ha in Sei Siarti Villages against 108 landowners.</p> <p>Based on document review and stakeholder consultation, there was no noted land dispute in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri plantation areas.</p>	<p>Comply</p>
<p>2.3.2 Copies of negotiated agreements including the process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and these include:</p> <ul style="list-style-type: none"> a) Evidence of consultation b) Statement of transfer of rights c) Evidence of compensation <p>See specific guidance 2.3.2</p> <p>- Minor compliance -</p>	<p>The company has a mechanism Compensation for Land issued on 1 July 2012 (Doc. No: SOP/CA/02); in it procedure outlines the mechanism for compensation through the FPIC process (socialization), Document Verification and Measurement of land and Price Negotiation "Ganti Rugi Tanam Tumbuh/GRTT". Completeness GRTT are as follows;\</p> <ol style="list-style-type: none"> 1. Letter of Request for measurement, 2. Minute of land surveying, 3. Certificate of Land or "Surat Keterangan Tanah/SKT; 4. Statement of no dispute 5. Statement of Recognition of Rights, 6. Statement Own Land / Land for smallholder (if any), 7. Letter of Waiver working on arable land, arable land compensation letters. <p>PT. Umbul Mas Wisesa have been demonstrated across a copy of the agreement that has been agreed upon in the process of "Ganti Rugi Tanah Garapan (GRTG)" on the work area owned. Based recap GRTG process has been carried out on an area of 6,468.60 hectares. In the first phase of an area of 1,923.03 Ha against 93 groups and 1,163 owners as well as the second stage is an area of 1,923.03 Ha against 18 group and 84 owners in the village of Tanjung Mulia and Sei Siarti.</p> <p>Examples: Copies implementation process of Land (GRTG); on behalf of Mr. B***** D*****, Tanjung Mulia village community; for land being part of 202 Ha undr "Pak Purba" party with the evidence "Surat Keterangan Tanah", of Compensation paid/received have been listed in the District Kampung Rakyat, Tanjung Mulia Village and also Notary Lince Hutahayan, Letter of Land Compensation, land Inventory Results Measurement and Garapan made jointly witnessed by the village of Tanjung Mulia Party and the Group of landowners adjacent areas Area Map replaced Loss and Land Certificate or Surat Keterangan Tanah/SKT" Mr. B***** D***** in 2007.</p>	<p>Comply</p>

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Criterion / Indicator		Assessment Findings	Compliance
		<p>In PT. Toton Usaha Mandiri have been demonstrated across a copy of the agreement that has been agreed upon in the process of "Ganti Rugi Tanah Garapan (GRTG)" on the work area owned. Based recap GRTG process has been carried out on an area of 761.67 Ha in Sei Siarti Villages against 108 landowners. Sample verified: against Mr. K***** N***** for 9.99 Ha with evidence "Surat Keterangan Tanah/SKT Desa Sei Siarti No.593.3/785/1512/2004 dated 25 October 2007. Other supporting documents: Letter of Land Compensation, land Inventory Results Measurement and Garapan made jointly witnessed by the village of Tanjung Mulia Party and the Group of landowners adjacent areas Area Map replaced Loss and Land Certificate or Surat Keterangan Tanah/SKT" of Mr. K***** N*****. Compensation paid on 25 October 2007.</p> <p>Up to this surveillance assessment, there was no more land compensation carried out.</p>	
2.3.3	<p>Relevant information shall be available in appropriate forms and languages, including analysis of impacts, proposed benefit sharing, and legal arrangements.</p> <p>- Minor compliance -</p>	<p>Based on stakeholder interview, all information related to oil palm development, social-economic and environmental impact assessment, HCV assessment and procedure for land compensation is available in Bahasa Indonesia.</p>	Comply
2.3.4	<p>Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel.</p> <p>- Major compliance -</p>	<p>The company was able to demonstrate that local communities are represented and participated during the meeting with stakeholder, discussing the social-economic and environmental planning. The meeting involving all relevant stakeholders, institution and representative of surrounding communities.</p>	Comply
Principle 3: Commitment to long-term economic and financial viability			
Criterion 3.1:			
There is an implemented management plan that aims to achieve long-term economic and financial viability.			
3.1.1	<p>A documented management plan, a minimum of three years shall be available, including, where appropriate, plan for scheme smallholders.</p> <p>- Major compliance-</p>	<p>PT. Umbul Mas Wisesa has prepared a business plan for period 2018 – 2026. The business plan indicating the projected production of FFB, CPO and PK; cost of production, revenue and profit estimation. This figures including from the supply base of PT. Toton Usaha Mandiri Estate.</p> <p>Company also demonstrated independent financial audit report No.GA1170383 UMW PDS from "Deloitte Satrio Bing Eny", dated 21 April 2017. The financial audit report for financial statements for year ended 31 December 2016. There is also a Summary of Principal Findings for Eight Months ended 31 August 2017.</p> <p>UMW POM: company has business plan for period 2018-2026 including FFB receiving and processing.</p> <p>Sampled "Business Plan of FFB, CPO/PK, and Processing</p>	Comply

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3.1.2	<p>An annual replanting program projected for a minimum of five years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review, shall be available.</p> <p>- Minor compliance-</p>	<p>UMW North Estate: There was no replanting program for next 5 years. Replanting programme 2033-2037. The plan for replanting will start on 2031.</p> <table border="1"> <thead> <tr> <th>2031</th> <th>2032</th> <th>2033</th> <th>2034</th> <th>2035</th> </tr> </thead> <tbody> <tr> <td>253.27</td> <td>255.65</td> <td>259.58</td> <td>236.99</td> <td>211.34</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th>2036</th> <th>2037</th> <th>2038</th> <th>2039</th> </tr> </thead> <tbody> <tr> <td>293.55</td> <td>360.11</td> <td>352.65</td> <td>380.13</td> </tr> </tbody> </table> <p>TUM Estate: Replanting programme 2033-2037. The plan for replanting will start on 2031.</p> <table border="1"> <thead> <tr> <th>2031</th> <th>2032</th> <th>2033</th> <th>2034</th> <th>2035</th> </tr> </thead> <tbody> <tr> <td>198.93</td> <td>270.63</td> <td>266.49</td> <td>219.40</td> <td>179.50</td> </tr> </tbody> </table>	2031	2032	2033	2034	2035	253.27	255.65	259.58	236.99	211.34	2036	2037	2038	2039	293.55	360.11	352.65	380.13	2031	2032	2033	2034	2035	198.93	270.63	266.49	219.40	179.50	Comply																																					
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Criterion / Indicator	Assessment Findings	Compliance
<p>Criterion 4.1: Operating procedures are appropriately documented, consistently implemented and monitored.</p>		
<p>4.1.1</p> <p>Standard Operating Procedures (SOPs) for estates (land clearing to harvesting) and SOP for mills (reception of FFB to dispatch of CPO and PKO) shall be available.</p> <p>- Major compliance -</p>	<p>Estate: The procedures documented in "Agricultural Manual Oil Palm" (October 2009 and revised on 2014) document #01-#18/SOP/Oil Palm/ESD, 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. Interviews with the employees indicate satisfactory level of understanding and implementation in relation to their respective job function. Such as:</p> <ol style="list-style-type: none"> 1. Biological aspects of Practical Importance No.01/SOP/Oil Palm/ESD – Karakteristik Vegetatif Tanaman Kelapa Sawit 2. Pembibitan Kelapa Sawit: No.02/SOP/Oil Palm/ESD - nursery 3. Land Clearing: No.03/SOP/Oil Palm/ESD rev.2 4. Field Planting: No.04/SOP/Oil Palm/ESD rev.1 5. Palm Supplying: No.05/SOP/Oil Palm/ESD 6. Palm Thinning Out: No.06/SOP/Oil Palm/ESD 7. Ablasi: No.07/SOP/Oil Palm/ESD - Ablation 8. Frond Pruning: No.08/SOP/Oil Palm/ESD 9. Kumbang E. Camerunensis: No.09/SOP/Oil Palm/ESD – E. Camerunensis beetle 10. Sistem Pengelolaan Air: No.10/SOP/Oil Palm/ESD – water management 11. Pemupukan: No.11/SOP/Oil Palm/ESD – fertilizer placement 12. Pest and Disease: No.12/SOP/Oil Palm/ESD 13. Harvesting Standard: No.13/SOP/Oil Palm/ESD 14. Sistem Pembuatan Jalan: No.12/SOP/Oil Palm/ESD – road construction 15. Pemakaian, Penyimpanan Pemusnahan Kemasan Bekas Pestisida: No.15/SOP/Oil Palm/ESD – pesticide handling; <p>UMW POM: Umbul Mas Wisesa Palm Oil Mill has a set of procedure for processing of oil palm bunch into CPO and PK, under "Master List Working Instruction Umbul Mas Wisesa POM". The procedures explains all activity from receiving FFB into dispatch of products; Such as:</p> <ol style="list-style-type: none"> 1. Penimbangan Truk FFB dan Berondolan No.UMWPOM-WI/PROD/001A – Weighing FFB truck and loose fruit; 2. Loading ramp, Pengisian FFB ke dalam Rebusan Vertical No.UMWPOM-WI/PROD/002A – Loading ramp, loading FFB into vertical sterilizer; 3. Pengoperasian Vertical Sterilizer No.UMWPOM-WI/PROD/002B – Operating Vertical Sterilizer; a number of key parameter: sterilizer operating for 100 	<p>Comply</p>

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Criterion / Indicator	Assessment Findings	Compliance
	<p>minutes, ensure manometer showing "0" prior to opening the sterilizer.</p> <ol style="list-style-type: none"> 4. Pengoperasian Thresing Machine No.UMWPOM-WI/PROD/003 – Operating Thresing Machine; 5. Pengoperasian Digester No.UMWPOM-WI/PROD/004A – Operating Digester; 6. Pengoperasian Screw Press No.UMWPOM-WI/PROD/004B – Operating screw press; 7. Sand Trap and Vibrating Screen No.UMWPOM-WI/PROD/005A; 8. Pengoperasian Crude Oil Tank No.UMWPOM-WI/PROD/005B – Operating Crude Oil Tank; 9. Pengoperasian Continuous Settling Tank No.UMWPOM-WI/PROD/005C – Operating Continuous Settling Tank; 10. Pengoperasian Clean Oil Tank No.UMWPOM-WI/PROD/005D – Operating Clean Oil Tank; 11. Pengoperasian Oil Purifier No.UMWPOM-WI/PROD/005F – Operating Oil Purifier; 12. Pengoperasian Vacuum Drier No.UMWPOM-WI/PROD/005G – Operating Vacuum Drier; 13. Pengoperasian Sludge Sentrifuge No.UMWPOM-WI/PROD/005H – Operating sludge centrifuge; 14. Pengoperasian Ripple Mill No.UMWPOM-WI/PROD/006A – Operating Ripple Mill; 15. Pengoperasian Depericarper No.UMWPOM-WI/PROD/006B – Operating depericarper; 16. Pengoperasian Sawipack Stage 1 & Stage 2 No.UMWPOM-WI/PROD/006D – Operating Sawipack to separate kernel and shell fromcracked mixture from ripple mill, througih dry separation; 17. Pengoperasian Kernel Silo Drier No.UMWPOM-WI/PROD/006E – Operating Kernel Silo Drier to reduce moisture < 7%; 18. Pengoperasian Hydrocyclone No.UMWPOM-WI/PROD/006F – Operating Hydrocyclone to separate kernel and shell from sawipack through wet method; 19. Boiler 35 tons/hour No.UMWPOM-WI/PROD/007A – Boiler operation; 20. Pengoperasian Genset No.UMWPOM-WI/PROD/009A – Operating power generator; 21. Pengoperasian Steam Turbin No.UMWPOM-WI/PROD/009B – Operating steam turbine; 22. Penanganan gangguan Sumber Tidak Bergerak Engine Genset No.UMWPOM-WI/PROD/009D – Handling disturbance from static power generator; 23. Penanganan Gangguan Sumber Tidak Bergerak Boiler No.UMWPOM-WI/PROD/009E – Handling disturbance from static Boiler; 24. Pengoperasian EFB plant No.UMWPOM-WI/PROD/011 – Operating EFB plant; 25. Pengoperasian CPO Storage Tank No.UMWPOM-WI/PROD/0015 – Operating CPO Storage tank; 26. Pengoperasian Kernel Bin Storage No.UMWPOM-WI/PROD/0016 – Operating Kernel Bin Storage; 27. Analisa FFA CPO No.UMWPOM-WI/LAB/001 – 	

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Criterion / Indicator		Assessment Findings	Compliance
		<p>Analysing CPO's FFA;</p> <p>28. Analisa FFA Kadar air untuk CPO dispatch No.UMWPOM-WI/LAB/002A – Analysing CPO's moisture for CPO dispatch;</p> <p>29. Analisa kadar kotoran dan kadar air untuk kernel dipatch No.UMWPOM-WI/LAB/005A – Analyzing dirt and moisture in kernel for dispatch;</p> <p>30. Pengiriman CPO No.UMWPOM-WI/LAB/043 – Delivery of CPO;</p> <p>31. Pengiriman Kernel No.UMWPOM-WI/LAB/044 – Delivery of Kernel;</p> <p>A set of work instruction for mill's workshop, dated 28th June 2014; including use of welding equipments, cutting metal, operating lathe machine, operating drilling machine, operating portable grinding machine, operating and maintenance of smoke density meter.</p> <p>A set of work instruction for biogas plant, dated 30th August 2014; comprise of: filling in POME into screen chamber and oil grease skimmer, operating of equalization tank, operating of plate heat exchanger and cooling tower, operating of primary clarifier and sludge pit, operating buffer tank, operating anaerobic reactor, operating degassifier, operating Lamella clarifier, operating sludge sump, operating sludge decanter, operating retention pond.</p> <p>A set of procedure for supply chain and traceability, established on 26th March 2015. See appendix F.</p>	
4.1.2	<p>Checking or monitoring of operations procedures is conducted at least once a year.</p> <p>- Minor compliance -</p>	<p>UMW POM: Performance of Umbul Mas Wisesa POM was monitored through internal audit carried out on July 2017. There was a number of findings identified, such as: civil work for decanter structure, repair of inclined fuel scrapper conveyor, boiler repairs, and other machineries. Director engineering visit report on 20 April 2017, sighted. During the visit, the director highlighting 44 findings such as boiler condition, FFB conveyor, storage housekeeping.</p> <p>UMW North Estate: Estate received visit from Director of Estate Department, on 1 November 2017. There are 15 issues identified for TUM Estate and UMW North Estate altogether.</p> <p>UMW South Estate: Estate received visit from Director of Estate Department on 31 October 2017. There are 15 issued identified, suchas harvesting rotation, repair on worker housing, mounding quality.</p> <p>TUM Estate: Report of Director of Estate Department to TUM Estate, dated 15 March 2017 and 1 November 2017. From the visit on 15 March 2017, there are several comments</p>	Comply

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Criterion / Indicator	Assessment Findings	Compliance
	<p>related to transport fleet reliability and crop supervision cost. Those issues have been followed up.</p> <p>The HCV management plan has been implemented; including jungle guard patrol on two weeks interval, upkeep HCV corridor on two months, planting on corridor each month, upkeep HCV notice board once every two months, upkeep HCV poles 30 units every two months, upkeep HCV corridor 4 units every other month.</p>	
<p>4.1.3</p> <p>Records of monitoring and any follow-up actions shall be available.</p> <p>- Minor compliance -</p>	<p>UMW POM: Performance of Umbul Mas Wisesa POM was monitored through internal audit, carried out on July 2017. There was a number of findings identified, such as: civil work for decanter structure, repair of inclined fuel scrapper conveyor, boiler repairs. As a follow up action, mill has contacted respective contractors for correction. Director engineering visit report on 20 April 2017, sighted. During the visit, the director highlighting 44 findings such as boiler condition, FFB conveyor, storage housekeeping. During RSPO ASA3, mill manager managed prepared "Director of Engineering Visit Report Action Plan" followed up and closed 39 findings. Sample seen: Finding related to there is no drive guard on the drive of the incline FFB conveyor; as an action plan, fabrication of drive guard for FFB conveyour done and installed on 23 May 2017; One of the sludge centrifuge was leaking sludge; as an action plan, repair on sludge centrifuge has been repaired on July 2017;</p> <p>UMW North Estate: Estate received visit from Director of Estate Department, on 1 November 2017. There are 15 issues identified for TUM Estate and UMW North Estate altogether. Issue for UMW North Estate, for example the low productivity of SA-15 sprayer. As follow up, the estate planned for SA-15 training for workers. Implemented on 17 November 2017, Training SA-15 UMW North Estate and Toton Usaha Mandiri Estate; attended by 18 sprayers from UMW North Estate.</p> <p>UMW South Estate: Estate received visit from Director of Estate Department on 31 October 2017. There are 15 issues identified, such as harvesting rotation, repair on worker housing, mounding quality. Harvesting rotation: due to worker turnover after Eid al-Fitr, followed up by additional manpower capacity on 1 November – 30 December 2017. Repair on worker housing only 50%: due to carpenter focused on repair water closet; followed up by provide additional manpower for housing repair on 3 November – 31 December 2017. Mounding quality: followed up with block-by-block system since 1 November 2017.</p> <p>TUM Estate: Report of Director of Estate Department to TUM Estate, dated 15 March 2017 and 1 November 2017. From the</p>	<p>Comply</p>

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Criterion / Indicator		Assessment Findings	Compliance
		visit on 15 March 2017, there are several comments related to transport fleet reliability and crop supervision cost. Those issues have been followed up.	
4.1.4	Records of the origins of all third-party FFB sourced (collector, deliver, Cooperative, Farmers Association and outgrower) shall be available. - Major compliance -	PT. Umbul Mas Wisesa maintain the commitment towards development of smallholder, such as providing guidance on plantation best management practice, plantation upkeep, cooperative management, financial management, integrated pest management. Currently, the smallholder cooperative of PT. Umbul Mas Wisesa has been producing FFB. However, the FFB production has not been certified. Therefore PT. Umbul Mas Wisesa buy the FFB from smallholder to be sold again to other mill, PT. Anugerah Tanjung Medan. The FFB purchased was not processed in UMW POM. PT. Umbul Mas Wisesa pays for the FFB from smallholders, with the purchase price from PT. Anugerah Tanjung Medan plus Rp. 20/kg. Aside from the purchasing policy, PT. Umbul Mas Wisesa has a commitment for traceability of its supply base. Company conducted ground verification to verify the location of smallholder. Document seen: "Update Lokasi Lahan Anggota Koperasi Serba Usaha Suka Makmur (Desa Tanjung Mulia)", whereby company verified 66 cooperative's farmer member, and took the GPS coordinates and planting year. Sample taken: KSU Suka Makmur, L***** H*****, with 2 Ha planted in 2009. GPS coordinates taken.	Comply
Criterion 4.2:			
Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.			
4.2.1	A record of SOP implementation to maintain soil fertility that ensures optimal and sustained yield, shall be available. - Major compliance -	UMW North Estate, South Estate and TUM Estate: Company has a procedure for good agriculture practices to maintain soil fertility, as available under SOP "Pemupukan" (Fertilizer Placement) (SOP No.11/SOP/Oil Palm/ESD) revision 1 dated 1 October 2009. Currently the company is on progress for establishment of new SOP, as Inorganic Fertilizers (OPM-06-01/02-10-2017/Rev.2) issued on 20 November 2017. Fertilizer is applied to maintain and increase soil fertility, fertilizer applied following the fertilizer recommendation which created based on soil and leaf analysis. Fertilizer application record in "Monthly Manuring Program Sheet".	Comply
4.2.2	Records of fertilizer inputs shall be available. - Minor compliance -	UMW North Estate: Records of fertilizer inputs are available in "Monthly Manuring Program" for each division and "Pemakaian Pupuk Tahun 2017 UMWN" for estate recapitulation. Based on record, total fertilizer applied in 2017 for MOP/KCl is 634,210 kg; Urea is 532,807 kg; Rock Phosphate is 365,999 kg; Compound 13:6:27:4+0.65B is 1,093,185 kg; Borate is 1,119 kg; Rizoplex 64,431.74 kg; ZINCOP is 10,085.10 kg. This is consistent with recommendation.	Comply

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	<p>UMW South Estate: Records of fertilizer inputs are available in "Monthly Manuring Program" for each division and "Rekapitulasi Penggunaan Ferilizer Tahun 2017 UMW South" for estate recapitulation. Based on record, total fertilizer applied in 2017 for Urea is 901,319.5 kg; Rizoplex 69,386.9 kg; MOP/KCl is 1,007,931.5 kg; CuSO₄ is 1,450.0 kg; Compound 13:6:27:4+0.65B is 1,869,669.0 kg; ZINCOP 25 is 12,094.9 kg; Dolomite is 13,314.0 kg; Borate is 5,495.7 kg; ZnSO₄ is 825.0 kg; Rock Phosphate is 691,748 kg. This is consistent with recommendation.</p> <p>TUM Estate: Records of fertilizer inputs are available in "Monthly Manuring Program" for each division and "Penggunaan Pupuk Tahun 2017 TUME" for estate recapitulation. Based on record, total fertilizer applied in 2017 for RP is 104,385; MOP/KCl is 319,967.70 kg; Urea is 215,807 kg; Rhizoplex is 6,440.10 kg; Compound 13:6:27:4+0.65B is 366,942 kg; ZINCOP is 899.80 kg. This is consistent with recommendation.</p>	
<p>4.2.3</p> <p>Records of periodical leaf, soil and visual analysis shall be available.</p> <p>- Minor compliance -</p>	<p>UMW North Estate: Periodical leaf sample analysis conducted in July 2017 for preparing fertilizer recommendation 2018. Leaf Analysis Report 2017 is still in Agronomist, however fertilizer recommendation 2018 was evident. As evidence for previous year leaf sample analysis is Leaf Analysis Report of Bangun Bandar Analytical Laboratory, e.g. No. L16-031/LAB-SSPL/V/2016 dated 6 June 2016, based on order No.02/STC-spl/V/16 sum of sample 47 samples. It was note result for Labcode L1600619, User Code UMWN1G11-122007 is 2.67% N-Kjehl; 0.16% P; 0.82% K; 0.81% Ca; 0.34% Mg; 21.46mg/kg B; 8.32 mg/kg Cu; 20.80mg/kg Zn.</p> <p>Semi detail soil survey report of PT UMW North and South Estate carried out in June 2010. Total area surveyed is 6,236 ha, the entire area is low lying flat, dominant soil series is <i>Lenggana</i> series and Organic clay/muck (peat soil); <i>Mekar Jaya</i> and <i>Galing</i> series (acid sulphate soil), peat depth is 3 m to > 5 m, potentially acid sulphate layer is within 100 cm.</p> <p>UMW South Estate: Periodical leaf sample analysis conducted in July 2017 for preparing fertilizer recommendation 2018. Leaf Analysis Report 2017 and fertilizer recommendation 2018 was evident. For example it was evident Leaf Analysis Report issued by Socfindo Seed Production and Laboratory with Ref number L17-280/LAB-SSPL/VII/2017 dated 12/09/2017, order number 09/STC-spl/VII/17, number of sample: 3 samples. It was noted result for Lab ID L1706104, Sample ID UMWS-I C05.C06 2007 LEAF is 2.68% N-Kjehl; 0.17% P; 0.75% K; 0.56% Ca; 0.34% Mg; 30.71mg/kg B; 5.16 mg/kg Cu; 15.19 mg/kg Zn.</p>	<p>Comply</p>

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		<p>TUM Estate: Periodical leaf sample analysis conducted in July 2017 for preparing fertilizer recommendation 2018. Leaf Analysis Report 2017 is still in Agronomist, however fertilizer recommendation 2018 was evident. As evidence for previous year leaf sample analysis is Leaf Analysis Report of Bangun Bandar Analytical Laboratory, e.g. No. L16-033/LAB-SSPL/V/2016 dated 6 June 2016, based on order No.02/STC-spl/V/16 number of sample 33 samples. It was note result for Labcode L1600686, User Code TUM1M22-232009 is 2.75% N-Kjehl; 0.18% P; 0.77% K; 0.74% Ca; 0.43% Mg; 19.75mg/kg B; 7.63mg/kg Cu; 16.94mg/kg Zn.</p> <p>Semi detail soil survey report of PT Toton Usaha Mandiri carried out in June 2010. Total area surveyed 1,484 ha, the entire area is low lying flat, dominant soil series is <i>Lenggana</i> series, <i>Typic haplohemist</i>, peat soil), peat depth is 3 meters to > 5 meters.</p>	
4.2.4	<p>A nutrient recycling strategy is recorded, including use of Empty Fruit Bunches (EFB), land application, and palm residues after replanting.</p> <p>- Minor compliance -</p>	<p>UMW North Estate: EFB application in 2017, recorded that Division I applied 355.610 ton; Division II applied 302.940 ton; Division IV applied 249.330 ton; Division V applied 604.600 ton.</p> <p>Latest bunch ash application performed in 2016, with total bunch ash applied 112,480 kg, e.g. at Block 08K16, 08K17 and 08K15, with dosage 1.5 kg per palm tree.</p> <p>UMW South Estate: Empty Fruit Bunch (EFB) application recorded in "Realisasi Ecer Janjangan Kosong". In 2017 EFB application in UMW South Estate only applied in Division VI and VIII. For example it was recorded that Division VI in 2017 applied 312,300 kg of EFB at Block C36, C37, C38, C39 and C40; Division VIII applied 1,356,000 kg of EFB at Block F19, F20, F21, F22, F23, F24, F25, F26, F27, F28, F29 and F30. There is no application of bunch ash at UMW South Estate in 2017.</p> <p>TUM Estate: Latest bunch ash application performed in 2016, with total bunch ash applied 63,000 kg, e.g. at Block 07L06, 06L05 and 08M11, with dosage 1.5 kg per palm tree.</p>	Comply
<p>Criterion 4.3: Practices minimise and control erosion and degradation of soils.</p>			
4.3.1	<p>Maps of any fragile soils shall be available.</p> <p>- Major compliance -</p>	<p>Based on semi detail soil survey, it was found that mostly PT. Umbul Mas Wisesa areas is peat soil, Map of peat soil is available in place with scale 1:40,000 print in A2 size. Soil series sources: Shuttle Radar for Topographic Mission (SRTM) 2006; path 57 Row 12, Digital Rupabumi Map scale 1:250,000 BAKORSURTANAL 2004, Field Observation 2010. Projection Tranverse Mercator, grid</p>	Comply

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	<p>Universal Tranverse Mercator and Geographic, datum WGS 84, zone 47N. Soil characteristic consist of:</p> <ul style="list-style-type: none"> - <i>Lenggana Series (LGN 3,4), Typic haplohemist</i>, mature peat land, 15 – 75 % fibre peat, depth 0 – 5 meters, poor drainage (5,681 Ha – 91%) - <i>Mekar Jaya (MKJ), Sulfic endoaquept</i>, silty clay, poor drainage, depth 50-100cm and <i>Galling (GLG), Typic sulfaquept</i>, depth 50cm (464 Ha – 7%). - Organic clay/muck, Typic humaquepts organic clay, high water table during raining days, acid sulphate at within 50 cm (91 Ha – 2%). <p>Soil profile map in PT. Umbul Mas Wisesa and PT Toton Usaha Mandiri was available made on 16 July 2013, sources:</p> <ul style="list-style-type: none"> - Survey GPS – Geo XT Differential correction - Satellite Image - JH Agriculture Service <p>Soil slopes class map PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri is available base on soil survey on 10 February 2014.</p> <p>TUM Estate: Based on semi detail soil survey, total area surveyed was 1,484 Ha, the entire area is low lying flat, dominant soil series is <i>Lenggana series, Typic haplohemist</i>, peat soil), peat depth is 3 meters to > 5 meters. Semi detail soil map of PT Toton Usaha Mandiri is available in scale 1:20,000 print in A2 size. Soil series sources: Shuttle Radar for Topographic Mission (SRTM) 2006; path 57 Row 12, Digital Rupabumi Map scale 1:250,000 BAKORSURTANAL 2004, Field Observation 2010. Projection Tranverse Mercator, grid Universal Tranverse Mercator and Geographic, datum WGS 84, zone 47N. Soil characteristic consist of: <i>Lenggana Series (LGN 3,4), Typic haplohemist</i>, mature peat land, decomposed hemist peat material, fiber content 16-75% woody, peat depth 3 to > 5 meters, poor drainage (1,484 Ha – 100%).</p>	
<p>4.3.2</p>	<p>A management strategy shall be in place for plantings on slopes above a certain limit (this needs to be soil and climate specific).</p> <ul style="list-style-type: none"> - Minor compliance - 	<p>Comply</p>
<p>4.3.3</p>	<p>A road maintenance program shall be in place.</p> <ul style="list-style-type: none"> - Minor compliance – 	<p>Comply</p>

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	<p>documented in "Upkeep Road Manual Program Tahun 2017", e.g. Division I program 24,509 m, realization 49,165 m; Division II program 21,329 m, realization 33,362 m; Division III program 21,479 m, realization 55,520 m; Division IV program 22,887 m, realization 55,782 m, Division V 21,734 m, realization 35,380; so the total for UMW North is program 111,938 m, realization 229,209 m. Realization of road maintenance is twice longer that the program because the whole area is peat, therefore need more treatment to increase the road quality. During field observation, it was noted that all road can be passed by FFB trucks.</p> <p>UMW South Estate: Program for 2017 total for road maintenance 192,540 meters and 117 bridges. Total realization for 2017 e.g. in July 17,900 m Main Road, 13,900 m Collection Road and 1 bridge; in December 14,570 m Main Road, 6,130 m Collection Road and 2 bridges. During field observation, it was noted that all road can be passed by FFB trucks.</p> <p>Program for road maintenance in 2018 total 196,100 m and 117 bridges, spreaded in Division I: 25,800 m road and 6 bridges maintenance; Division II: 28,400 m road and 21 bridges; Division III: 28,400 m road and 24 bridges; Division IV: 23,500 m road and 16 bridges; Division V: 21,500 m road and 14 bridges; Division VI: 22,500 m road and 16 bridges; Division VII: 24,000 m road and 12 bridges; Division VIII: 22,000 m road and 8 bridges.</p> <p>TUM Estate: Road maintenance program of TUM Estate has been realized as documented in "Upkeep Road Manual Program Tahun 2017", e.g. Division I program 23,549 m, realization 17,550 m; Division II program 25,254 m, realization 19,800 m; so the total of road maintenance in TUM Estate is program 48,803 m, realization 37,350 m. During field observation, it was noted that all road can be passed by FFB trucks.</p>	
<p>4.3.4</p>	<p>Subsidence of peat soils shall be minimised and monitored. A documented water and ground cover management programme shall be in place.</p> <p>- Major compliance –</p>	<p>Comply</p>

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	<p><i>Pemerintah No.57 tahun 2016 Perubahan atas Peraturan Pemerintah No.71 tahun 2014 tentang Perlindungan dan Pengelolaan Ekosistem Gambut.</i></p> <p>Companies have prepared "Work Instruction Water Management PT. Umbul Mas Wisesa & PT. Toton Usaha Mandiri". The work instruction has also been prepared to monitor water management performance. Monitoring and recording water level and water table in two weeks interval – as well as take immediate action, to open/close water gate accordingly, in order to maintain water level in optimum level. This has been supported by trained supervisor, e.g. Erwinsyah Putra at UMW North Estate.</p> <p>Company has also prepared all infrastructure for the palm cultivation in peat area. Started from construction of road network, planting hole-in-hole. PT. Umbul Mas Wisesa has prepared the drainage to maintain water level in peat area, comprise of main/primary drain, secondary drain and collection/field drain. The size and configuration (width, depth) of each drain has follow regulation. The drain network has also been complemented with water gate infrastructure – taking into consideration the water inlet and water outlet, water level history, as well as topography in landscape level.</p> <p>Company has developed a water management plan, for cultivation of oil palm in peat soil. This document has been cascaded into "Program Kerja Water Management Tahun 2017", available for each estate. In order to monitor water level at optimum level, company has:</p> <ul style="list-style-type: none"> - Installed water gate to control drainage; 112 unit at UMWN; 314 unit at UMWS; 95 unit at TUME. - Installed water level pole (near water gate) to monitor water level at two weeks interval; 147 unit at UMWN; 684 unit at UMWS; 56 unit at TUME. - Installed piezometer (inside plantation blocks) to monitor the water table at two weeks interval; 29 unit at UMWN; 52 unit at UMWS; 18 unit at TUME. - Installed peat subsidence poles, in order to monitor peat subsidence on annual basis; 6 unit at UMWN; 8 unit at UMWS; 4 unit at TUME. <p>A yearly report the produced to review and evaluate the water management performance for future planning.</p> <p>UMW North Estate: Field observation conducted to Piezometer at Block H18, water gate at Block I15/16, water pole at Block H13 and peat subsidence at Block G13. Water level and water table is always fluctuative based on "Data Rata-rata Monitoring Water Level & Water Table UMWN Tahun 2017" and "Grafik Hubungan Curah Hujan terhadap Water Level dan Water Table". Water level are between 21.4 – 46.3 cm, whilst water table are 21.2 – 45.4 cm. Lowest rainfall happened in July (38 mm) and highest</p>	

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	<p>happened in September (451 mm).</p> <p>Monitoring of peat subsidence from 6 units peat subsidence pole mentioned that peat subsidence since 2014 to 2017 is 9.5 cm – average is 2.375 cm/year.</p> <p>Work program for 2018 documented in "Program Kerja Water Management UMWN Tahun 2018, consist of: Monitoring water table and water level, twice each month; install water table, 7 units; monitoring peat subsidence, annually; install water pole, 170 units; making water gate, 32 units; upkeep water gate, 110 units.</p> <p>UMW South Estate: Field observation conducted to Piezometer at Block D25, water pole at Block D25 and peat subsidence pole at Block D23 (Division IV), and water gate at Block B24/25 (Division V). Water level and water table is always fluctuative based on "Data Rata-rata Monitoring Water Level & Water Table UMWN Tahun 2017" and "Grafik Hubungan Curah Hujan terhadap Water Level dan Water Table". Water level are between 26.8 – 51.7 cm, whilst water table are 26.9 – 56.3 cm. Lowest rainfall happened in July (33 mm) and highest happened in September (375 mm).</p> <p>Monitoring of peat subsidence from 8 units peat subsidence pole mentioned that peat subsidence since 2014 to 2017 is 10.27 cm – average is 1.3 cm/year.</p> <p>Work program for 2018 documented in "Program Kerja Water Management UMWS Tahun 2018, consist of: Monitoring water table and water level, twice each month; upkeep water table, 52 unit every 2 month intervals; monitoring peat subsidence pole, 8 unit each semester; upkeep peat subsidence pole, 8 unit every 2 month intervals; upkeep water pole, 684 unit every 2 month intervals; making water gate, 66 units; upkeep water gate, 230 units.</p> <p>TUM Estate: Field observation conducted to Piezometer at Block L15, water gate at Block L11/12, and peat subsidence at Block L14. Water level and water table at TUM Estate is always fluctuative based on "Data Rata-rata Monitoring Water Level & Water Table TUME Tahun 2017" and "Grafik Hubungan Curah Hujan terhadap Water Level dan Water Table". Water level are between 14.9 – 63.5 cm, whilst water table are 10.7 – 65.8 cm. Lowest rainfall happened in July (47 mm) and highest happened in September (527 mm).</p> <p>Monitoring of peat subsidence from 4 units peat subsidence pole mentioned that peat subsidence since 2014 to 2017 is 11.2 cm – or average 2.8 cm/year.</p>	

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		Work program for 2018 documented in "Program Kerja Water Management TUME Tahun 2018, consist of: Monitoring water table and water level, twice each month; install water table, 9 units; monitoring peat subsidence, annually; install water pole, 120 units; making water gate, 66 units; upkeep water gate, 58 units; water bio, surface water and water filtration analysis, twice a year.	
4.3.5	<p>Drainability assessments shall be required prior to replanting on peat to determine the long-term viability of the necessary drainage for oil palm growing.</p> <p>- Minor compliance –</p>	<p>Both of PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri was a newly opened plantation with oldest year of planting was 2006, so the replanting plan will be carried out around the year 2031. However, water management has done well, i.e. by making the water gate; water level and water table monitoring (every 2 weeks); monitoring of peat subsidence (annually); monitoring of flood areas by mapping and setting the floodgates/water gate in the area; and in 2017 the company built peat dam to maintain water availability during dry seasons.</p>	Comply
4.3.6	<p>A management strategy shall be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils).</p> <p>- Minor compliance –</p>	<p>PT. Umbul Mas Wisesa The company has map of soil type based on semi detail soil survey, June 2010. The map indicate that there is other fragile soil beside peat soil, it was acid sulfate soil at PT UMW, as follows:</p> <ul style="list-style-type: none"> - <i>Mekar Jaya</i> (MKJ), <i>Sulfic endoaquept</i>, silty clay, poor drainage, depth 50-100cm and <i>Galling</i> (GLG), <i>Typic sulfaquept</i>, depth 50cm (464 Ha – 7%). - Organic clay/muck, <i>Typic humaquepts</i> organic clay, high water table during raining days, acid sulphate at within 50 cm (91 Ha – 2%). <p>Agronomist recommend to use bunch ash as source of K fertilizer at acid sulphate soil. Latest bunch ash application in UMWN performed in 2016, with total bunch ash applied 112,480 kg, e.g. at Block 08K16, 08K17 and 08K15, with dosage 1.5 kg per palm tree.</p> <p>UMW South Estate: Management strategy implemented in UMW South Estate is Empty Fruit Bunch (EFB) application. EFB application recorded in "Realisasi Ecer Janjangan Kosong". In 2017 EFB application in UMW South Estate only applied in Division VI and VIII. For example it was recorded that Division VI in 2017 applied 312,300 kg of EFB at Block C36, C37, C38, C39 and C40; Division VIII applied 1,356,000 kg of EFB at Block F19, F20, F21, F22, F23, F24, F25, F26, F27, F28, F29 and F30. There is no application of bunch ash at UMW South Estate in 2017.</p> <p>PT. Toton Usaha Mandiri Estate: The company has map of soil type based on semi detail soil survey, June 2010. The map indicate that there is no other fragile soil beside peat soil.</p>	Comply
Criterion 4.4:			

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Practices maintain the quality and availability of surface and ground water.			
4.4.1	An implemented water management plan shall be in place. - Minor compliance -	<p>Company has a document called "Rencana Pengelolaan Air" – Water management plan, effective date 4 January 2017. The water management plan identified the water source for mill processing need and domestic water need is from Sungai Barumun; explanation on the water treatment process.</p> <p>The water management plan explains on the water intake/consumption, permit, water need for palm oil mill – based on water consumption/ton FFB processed (see criterion 4.4.4), water need for domestic use, plan to record the water consumption – on monthly basis.</p> <p>The water management plan explains the effort for water saving: installing automatic control system at water intake, to reduce leakage throughout water piping network, continuously have awareness to all worker on the importance of saving water.</p> <p>The water management plan explainst the effort to maintain water quality and schedule for water quality test.</p> <p>The water management plan has been implemented. Permit: "Keputusan Kepala Badan Pelayanan Perijinan Terpadu Provinsi Sumatera Utara No.610/149/BPPTSU/2/XII.1/XII/2014 tentang Ijin Pengambilan Air Permukaan oleh PT. Umbul Mas Wisesa", dated 22 December 2014 – valid for 3 years. The permit allows a maximum intake of 450 m³ water per point per day for processing and domestic use. The company has proposed license extension since October 2017. It was evident "Tanda Terima Berkas Pendaftaran" no. 0225702-801102017102 dated 27 October 2017, for license of surface water intake of PT Umbul Mas Wisesa. Visit from PSDA North Sumatera has been done on 9 November 2017.</p>	Comply
4.4.2	Protection of water courses and wetlands, including securing and maintaining appropriate riparian and other buffer zones, at the time of or prior to replanting shall be demonstrated. - Major compliance -	The company has reserved riparian zone, based on field visit, it was seen that riparian zones is maintained well and no chemical applied along the riparian zones and planted vetiver grass to prevent erosion.	Comply
4.4.3	Records for monitoring of effluent especially BOD (Biochemical Oxygen Demand) and efforts to comply with legal requirements, shall be available (see criteria 2.1 and 5.6). - Minor compliance -	<p>UMW POM: The company plan to discharge effluent to water course, water sampling is taken regularly every month by independent third party by "SUCOFINDO", e.g. water sample in "Effluent Final Dscharge Pond" by Binalab on monthly basis. Sample taken from analysis in October 2017 and November 2017:</p> <p>1. Palm Oil Mill Effluent test report "Laporan Hasil Uji</p>	Comply

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Criterion / Indicator		Assessment Findings	Compliance																																																												
		<p>No.6821/SL/X/17" dated 20 October 2017:</p> <table border="1"> <tr> <th>Parameter</th> <th>Result (mg/L)</th> </tr> <tr> <td>BOD</td> <td>97</td> </tr> <tr> <td>COD</td> <td>320</td> </tr> <tr> <td>TSS</td> <td>20</td> </tr> <tr> <td>Oil and grease</td> <td>0.80</td> </tr> <tr> <td>Nitrogen Total</td> <td>6.15</td> </tr> <tr> <td>pH</td> <td>7.12</td> </tr> </table> <p>2. Palm Oil Mill Effluent test report "Laporan Hasil Uji No.7140/SL/XI/17", dated 30 November 2017:</p> <table border="1"> <tr> <th>Parameter</th> <th>Result (mg/L)</th> </tr> <tr> <td>BOD</td> <td>33</td> </tr> <tr> <td>COD</td> <td>57</td> </tr> <tr> <td>TSS</td> <td>8</td> </tr> <tr> <td>Oil and grease</td> <td>0,30</td> </tr> <tr> <td>Nitrogen Total</td> <td>1,16</td> </tr> <tr> <td>pH</td> <td>7,32</td> </tr> </table> <p>All of the test result/analysis result for mill effluent/water discharge have meet the parameter by government.</p>	Parameter	Result (mg/L)	BOD	97	COD	320	TSS	20	Oil and grease	0.80	Nitrogen Total	6.15	pH	7.12	Parameter	Result (mg/L)	BOD	33	COD	57	TSS	8	Oil and grease	0,30	Nitrogen Total	1,16	pH	7,32																																	
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4.4.4	<p>Monitoring of mill water use per ton of FFB shall be recorded.</p> <p>- Minor compliance –</p>	<p>UMW POM: Umbul Mas Wisesa POM recording the mill water use per tonne FFB. The record of water use available in "Pemakaian air dan HSD Oil per metrik FFB". The budget of water use for FFB process sets at 1 m³/ton FFB processed. Record for year 2017 seen:</p> <table border="1"> <thead> <tr> <th>Year</th> <th>FFB Processed (tons)</th> <th>Water usage (m³)</th> <th>Water usage (m³/ton FFB)</th> </tr> </thead> <tbody> <tr> <td>2017</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Jan</td> <td>10,576</td> <td>9,765</td> <td>0.92</td> </tr> <tr> <td>Feb</td> <td>10,392</td> <td>17,550</td> <td>1.69</td> </tr> <tr> <td>Mar</td> <td>13,227</td> <td>20,869</td> <td>1.58</td> </tr> <tr> <td>Apr</td> <td>12,466</td> <td>18,811</td> <td>1.51</td> </tr> <tr> <td>May</td> <td>16,371</td> <td>20,816</td> <td>1.27</td> </tr> <tr> <td>Jun</td> <td>13,591</td> <td>18,233</td> <td>1.34</td> </tr> <tr> <td>Jul</td> <td>18,026</td> <td>23,424</td> <td>1.30</td> </tr> <tr> <td>Aug</td> <td>15,798</td> <td>20,934</td> <td>1.33</td> </tr> <tr> <td>Sep</td> <td>14,476</td> <td>17,054</td> <td>1.18</td> </tr> <tr> <td>Oct</td> <td>14,333</td> <td>22,841</td> <td>1.59</td> </tr> <tr> <td>Nov</td> <td>13,411</td> <td>21,253</td> <td>1.58</td> </tr> <tr> <td>Dec</td> <td>12,538</td> <td>18,440</td> <td>1.47</td> </tr> <tr> <td></td> <td>165,200</td> <td>229,990</td> <td>1.39</td> </tr> </tbody> </table> <p>There was a trend inclination in the water use due to boiler issues. The issue have been highlighted during Director visit and correction on progress.</p>	Year	FFB Processed (tons)	Water usage (m ³)	Water usage (m ³ /ton FFB)	2017				Jan	10,576	9,765	0.92	Feb	10,392	17,550	1.69	Mar	13,227	20,869	1.58	Apr	12,466	18,811	1.51	May	16,371	20,816	1.27	Jun	13,591	18,233	1.34	Jul	18,026	23,424	1.30	Aug	15,798	20,934	1.33	Sep	14,476	17,054	1.18	Oct	14,333	22,841	1.59	Nov	13,411	21,253	1.58	Dec	12,538	18,440	1.47		165,200	229,990	1.39	Comply
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Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.																																																															
4.5.1	<p>Monitoring of Integrated Pest Management (IPM) plan implementation shall be available.</p> <p>- Major compliance -</p>	<p>UMW North Estate: Integrated pest management plan is evident, as titled "Program Pengendalian Hama Terpadu 2018", established 3 January 2018. The plan consists of monthly basis activity, e.g. monitoring of barn owl box, planting of beneficial plant, census of leaf eater caterpillar, termite census, beneficial plant upkeep, Sycanus reproduction,</p>	Comply																																																												

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	<p>and <i>Sycanus</i> release; quarterly basis activity, e.g. development and maintenance of barn owl box.</p> <p>Realization of IPM monitoring recorded in "UMW North - Program Pengendalian Hama Terpadu Tahun 2017", e.g. realization of leaf eater caterpillar census and termite census are 2,603.27 Ha; upkeep beneficial plant are 1,792 Ha.</p> <p>Monitoring of barn owl recorded in form "Pengamatan Burung Hantu", however during this ASA3 there is no barn owl box existed. There is indication that barn owl prefer to go to HCV area.</p> <p>Release of <i>Sycanus</i> at UMW North Estate conducted 06 May 2017, based on "Berita Acara Pelepasan <i>Sycanus</i>" No.54/UMWN-AGR/V/17. It was noted that <i>Sycanus</i> released at Division I, Block 07I14 (200) and 07J14 (210); Division II, Block 07I15 (200), 08I16 (200), 08J16A (600), 08J21A (240), 08J22 (150), 08J23 (140), 08K15A (210), 09K18A (120), 09K21A (120), 08J24 (150) and 08J25 (150).</p> <p>UMW South Estate: Integrated pest management plan is evident, as titled "Program Pengendalian Hama Terpadu 2018", established 4th January 2018. Barn owl box in first semester; monitoring on barn owl box on monthly basis; planting of beneficial plant (<i>Turnera subulata</i> and <i>Cassia</i> sp), Nursery and upkeep beneficial plant (<i>Turnera subulatta</i>, <i>Cassia tora</i> and <i>Antigonon leptopus</i>) on monthly basis; identification of beneficial plant available on the field every quarter; pest detection and pest and disease census on monthly basis (4,446.18 Ha); white ant census on monthly basis; <i>Ganoderma</i> monitoring on 6 monthly basis.</p> <p>Monitoring <i>Sycanus creovitattus</i>, as predator for nettle caterpillar; Period December 2017 whereby 20 jar of parent bugs, 77 cup of eggs, 24 cup of 1st instar, 27 cup of 2nd instar, 5 cup of 3rd instar, and 61 of 4th instar; Period January 2018 whereby 25 cup of eggs, 45 cup of 1st instar, 42 cup of 2nd instar, 37 of 3rd instar, 154 of 4th instar and 183 individu of 5th instar. Release of <i>Sycanus</i> to the field is documented in "Berita Acara Pelepasan <i>Sycanus</i> sp", e.g. dated 26/11/2017 was released at Division VIII Block 10F29, hectarage 36.12 Ha, amount 153 individu or average 4 indv/ha; dated 20/12/2017 was released at Division I Block 07C12, hectarage 30.46 Ha, amount 89 indv or average 3 indv/ha.</p> <p>Realization of 2017 Integrated Pest Management was documented., e.g. planting of <i>Turnera</i> in January 1,055 Ha; February 70 Ha; March 710 Ha; April 190 Ha; May 2400 Ha; June 1920 Ha; July 1000 Ha; August 365 Ha; September 745 Ha; October 75 Ha; November 755 Ha and December 220 Ha. Activity of Pest & Diseases Census and Pest Detection are conducted montly covering area of 4,446.18 Ha.</p>	

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		<p>TUM Estate: Integrated pest management plan is evident, as titled "Program Pengendalian Hama Terpadu 2018", established 3rd January 2018. The plan consists of monthly basis activity, e.g. monitoring of barn owl box, planting of beneficial plant, census of leaf eater caterpillar, termite census, beneficial plant upkeep, Sycausus reproduction, and Sycausus release; quarterly basis activity, e.g. development and maintenance of barn owl box.</p> <p>Realization of IPM monitoring recorded in "TUM Estate - Program Pengendalian Hama Terpadu Tahun 2017", e.g. realization of leaf eater caterpillar census and termite census are 1,134.95 Ha; upkeep beneficial plant are 200 Ha.</p>	
4.5.2	<p>Training records of Integrated Pest Management (IPM) shall be available.</p> <p>- Minor compliance –</p>	<p>PT. Umbul Mas Wisesa UMW and PT. Toton Usaha Mandiri kept records of training in form of training module, attendance list and photograph.</p> <p>UMW North Estate: Pest and disease training for Termite handling on 14/02/2017, attended by 14 participants from UMWN and TUME; LSU training on 19/07/2017, attended by 38 participants from UMWN and TUME; training of ganoderma on 19/10/2017, attended by 8 participants from UMWN.</p> <p>UMW South Estate: Training of Pest and Disease conducted on 11 January 2017 attended by 48 participants from all division. Training focus on census of nettle caterpillar and ganoderma, lead by Verdant Agroscience, Agronomist and Estate manager. Training module, attendance list and photograph are available.</p> <p>TUM Estate: Pest and disease training "Training Census <i>Ganoderma</i> TUME" dated 1 April 2017, attended by 9 personnel from TUM Estate.</p>	Comply
Criterion 4.6:			
Pesticides are used in ways that do not endanger health or the environment			
4.6.1	<p>Documented evidence shall be available to show that pesticide used based on regulations and the use of pesticide is specific to target species with appropriate dosage which have minimal impact on non-target species.</p> <p>- Major compliance -</p>	<p>The use of pesticide is under strict requirement, only in the case of pest attack exceeds the economic threshold. The justification of pesticide used is explained under Agricultural Manual General Section 12 Pest and Disease – and use of herbicide under Section 17 Weed Controls. The procedures explain the identification of target species, agrochemical to be used, and dosage and area per application in general. A further dosage reduction controlled through budget. Visit to chemical store and record review shows company chemical product for specific target species (weed).</p>	Comply
4.6.2	Records of pesticides use	PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri was calculated the active ingredients per block on monthly	Comply

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<p>(including active ingredients used and their LD50, area treated, amount of active ingredients applied per Ha and number of applications shall be available.</p> <p>- Major compliance -</p>	<p>basis. Also included the calculation based on the LD50 of each active ingredient. Companies are always updating the agrochemical being used, in relation to a period Government Permission.</p> <p>UMW North Estate: "Rekaman Penggunaan Pestisida" indicating the amount of pesticide, the area applied, LD50 and the active ingredient per ton FFB produced. Pesticide use in 2017:</p> <table border="1" data-bbox="678 719 1294 1115"> <thead> <tr> <th>Trade mark</th> <th>Active Ingredients</th> <th>Usage 2017</th> </tr> </thead> <tbody> <tr> <td>Smart 480 AS</td> <td>Isopropil amina glyphosate</td> <td>2,237.66 ltr</td> </tr> <tr> <td>Ally 20WG</td> <td>Methyl metsulfuron</td> <td>39,782.62 Gr</td> </tr> <tr> <td>Kenlon 480</td> <td>Triclophyr</td> <td>55.10 ltr</td> </tr> <tr> <td>Metsulindo 250 Gr</td> <td>Methyl metsulfuron</td> <td>300,494 gr</td> </tr> <tr> <td>Agristik</td> <td>Alkil airi poligikol eter</td> <td>3 ltr</td> </tr> <tr> <td>Regent 50 EC</td> <td>Fipronil</td> <td>159.18 ltr</td> </tr> <tr> <td>Garlon</td> <td>Triclophyr</td> <td>151 ltr</td> </tr> <tr> <td>Dipel SC</td> <td>Bacillus thuringensis</td> <td>18.93 ltr</td> </tr> <tr> <td>Starthene 75WG</td> <td>Acephate</td> <td>10,783 ltr</td> </tr> <tr> <td>Phostene 97WG</td> <td>Acephate</td> <td>1,500 Kg</td> </tr> </tbody> </table> <p>"Rekaman Penggunaan Pestisida per Metrik Ton TBS December 2017, in division 4", for block 09G17; total 30.29 Ha; applied with Fipronil 100.8 gram/Ha; for block 11G25 total 30.67 Ha; applied with Fipronil 243 gram/Ha;</p> <p>TUM Estate: Pesticide use for 2017</p> <table border="1" data-bbox="678 1319 1294 1715"> <thead> <tr> <th>Trade mark</th> <th>Active Ingredients</th> <th>Usage 2017</th> </tr> </thead> <tbody> <tr> <td>Smart 480 AS</td> <td>Isopropil amina glyphosate</td> <td>1,231.92 ltr</td> </tr> <tr> <td>Ally 20WG</td> <td>Methyl metsulfuron</td> <td>9,962 gr</td> </tr> <tr> <td>Kenlon 480</td> <td>Triclophyr</td> <td>3 ltr</td> </tr> <tr> <td>Metsulindo 250 Gr</td> <td>Methyl metsulfuron</td> <td>119,508 gr</td> </tr> <tr> <td>Agristik</td> <td>Alkil airi poligikol eter</td> <td>0.09 kg</td> </tr> <tr> <td>Regent 50 EC</td> <td>Fipronil</td> <td>112.86 ltr</td> </tr> <tr> <td>Garlon</td> <td>Triclophyr</td> <td>75.50 kg</td> </tr> <tr> <td>Dipel SC</td> <td>Bacillus thuringensis</td> <td>188.25 ltr</td> </tr> <tr> <td>Starthene 75WG</td> <td>Acephate</td> <td>2,578.76 kg</td> </tr> <tr> <td>Basta 150SL</td> <td>Amonium glufosinat 150 gr/ltr</td> <td>1,450.50 ltr</td> </tr> </tbody> </table> <p>"Rekaman Penggunaan Pestisida per Metrik Ton TBS December 2017, in division 2", for block K11A; total 37.04 Ha; applied with Methyl metsulfuron 0.96 gram/ha; for block L13; total 29.26 Ha; applied with glyphosate 144 gram/Ha;</p> <p>UMW South Estate: "Rekapitulasi Penggunaan Pestisida" -Pesticide usage in 2017, updated on 4th January 2018:</p> <table border="1" data-bbox="678 1977 1294 2027"> <thead> <tr> <th>Trade mark</th> <th>Active Ingredients</th> <th>Usage 2017</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Trade mark	Active Ingredients	Usage 2017	Smart 480 AS	Isopropil amina glyphosate	2,237.66 ltr	Ally 20WG	Methyl metsulfuron	39,782.62 Gr	Kenlon 480	Triclophyr	55.10 ltr	Metsulindo 250 Gr	Methyl metsulfuron	300,494 gr	Agristik	Alkil airi poligikol eter	3 ltr	Regent 50 EC	Fipronil	159.18 ltr	Garlon	Triclophyr	151 ltr	Dipel SC	Bacillus thuringensis	18.93 ltr	Starthene 75WG	Acephate	10,783 ltr	Phostene 97WG	Acephate	1,500 Kg	Trade mark	Active Ingredients	Usage 2017	Smart 480 AS	Isopropil amina glyphosate	1,231.92 ltr	Ally 20WG	Methyl metsulfuron	9,962 gr	Kenlon 480	Triclophyr	3 ltr	Metsulindo 250 Gr	Methyl metsulfuron	119,508 gr	Agristik	Alkil airi poligikol eter	0.09 kg	Regent 50 EC	Fipronil	112.86 ltr	Garlon	Triclophyr	75.50 kg	Dipel SC	Bacillus thuringensis	188.25 ltr	Starthene 75WG	Acephate	2,578.76 kg	Basta 150SL	Amonium glufosinat 150 gr/ltr	1,450.50 ltr	Trade mark	Active Ingredients	Usage 2017				
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		Smart 480 AS	Isopropil amina glyphosate	7,523.91 ltr	
		Ally 20WG	Methyl metsulfuron	203,836 gram	
		Kenlon 480	Triclophyr	91.27 liter	
		Metsulindo 250 Gr	Methyl metsulfuron	386,030 gram	
		Agristik	Alkil airi poligikol eter	527.15 ltr	
		Regent 50 EC	Fipronil	435.61 ltr	
		Dipel SC	Bacillus thuringensis	845.73 ltr	
		Starthene 75WG	Acephate	9,192 Kg	
		Basta 150SL	Amonium glufosinat 150 gr/ltr	3,677.09 ltr	
		"Rekaman Penggunaan Pestisida per Metrik Ton TBS November 2017, in division 1", for block B13; total 38.69 Ha; applied with glyphosat 216 gram/Ha, total 8,357.04 gram; applied with Methyl metsulfuron 1 gram/Ha.			
4.6.3	Any use of pesticides shall be minimized as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations identified in Indonesia Best Practice guidelines. - Major compliance -	No prophylactic use of pesticide in all plantation. All use of pesticide/herbicide based on earlier pest and disease census.			Comply
4.6.4	The evidence shall be available to demonstrate that use of Pesticides, categorized in Class 1A or 1B by World Health Organization, or those are listed in the Stockholm and Rotterdam Conventions, and paraquat are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimized and eliminated as part of a plan, and shall only be used in exceptional circumstances. - Minor compliance -	<p>There is no use of WHO Class 1A or 1 B pesticide in company operation. The use of paraquat has been reduced over time.</p> <p>General Manager North Sumatera has issued Memorandum from No.117/GMO-All Estate/XI/2016, dated 1 December 2015. The memorandum stating the use of paraquat as contact pesticide is not allowed as of 1 January 2017. Target: Zero use of paraquat effective since 1 January 2017.</p> <p>Based on visit in pesticide storage in TUM estate and UMW South Estate, there was no stock of paraquat was found.</p> <p>Based on report of "Daftar Pestisida yang digunakan di Tahun 2017" – there were no paraquat was noted in the report. See indicator 4.6.2.</p>			Comply
4.6.5	Evidence of pesticide application by trained person and in accordance with application guidelines in product label and storage guidelines shall be available. Appropriate safety	Company has provided basic training related to pesticide, understanding material safety data sheet/MSDS, limited pesticide training, emergency condition training and first aid training. Chemical warehouse and its infrastructure is ready (see criterion 4.6.6). Standard PPE for sprayer: goggle, masker, apron, rubber glove, rubber boot. Standard PPE for chemical mixer/chemical storekeeper:			Comply

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<p>equipment shall be provided and utilized. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7).</p> <p>- Major compliance -</p>	<p>faceshield, masker, apron, rubber glove, safety boot.</p> <p>UMW North and TUM Estate: Training record:</p> <ul style="list-style-type: none"> - Training standarisasi on sparying in UMWN – TUME, dated 4 November 2017, was attended by 27 spraying applicator, e.g: Mrs Nur Apni, Mrs Rosminah, Mr Rusman, Mrs Misbah HSB; - Training on hazardous waste management dated 3 November 2017, was attended by 12 workers, e.g: Rudianto Sitorus, Mr Royupe Sinaga; - Training on Trunk Injection dated 8 February 2017, conducted by Agronomy, was attended by 23 workers, e.g: Mr Yudha, Mr Fauzan, Mr Zakaria; <p>UMW south estate: Record training, e.g:</p> <ul style="list-style-type: none"> - Training on trunk injection dated 11 January 2017 was attended by 44 workers and supervisors, e.g: Mrs Endang Frida, Mr Normansyah, Mr Firmansyah, and other workers. - Training to applicator of pesticide (spraying team) on 17 December 2017, was attended by 34 personnel, e.g: Mrs Endang Supiani, Mr Hotnida. - Training on pesticide handling on 11 November 2017, was attended by 36 workers. E.g: Mr Don Rinso Sinaga, Mrs Endang Supiani; 	
<p>4.6.6 Storage of pesticides shall be according to recognised best practices. All pesticides containers shall be properly managed according to the existing regulations and or instructions enclosed on the containers (see criterion 5.3).</p> <p>- Major compliance -</p>	<p>Based on visit in storage of pesticides in UMWN and TUME are in good condition. A standard storage system appears to be implemented in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri. Double lock storage dedicated for WHO type-II chemical is available. The storage is equipped with sufficient air ventilation to provide air circulation. Material Safety Data Sheet/MSDS, Hazard signs, emergency shower, secondary containment, spill kit, appropriate PPE (face shield, impermeable rubber gloves, apron and mask) is available and ready for use.</p>	Comply
<p>4.6.7 Application of pesticides shall be by proven methods that minimize risk and negative impacts.</p> <p>- Minor compliance -</p>	<p>UMW North - TUM Estate: Census form nettle caterpillar dated 16 December 2017, indivision 3 (UMWS North) on block 09J28, whereby the nettle caterpillar found to be above economic threshold (>5 per frond). Management decided to implement trunk injection. Trunk injection record on block 09J28, trunk injection with <i>Starthene</i> (Acephate), dosage 15 gram per palm; active ingredients 75%; dosage 1,608 gram a.i./Ha (15 gram/palm x 4.087 palms/Ha); total quantity 61,30 gram trunk injection on 16 December 2017 for block 09J28, area of application 28.69 Ha.</p> <p>UMW South Estate: The company has carried out the caliberation of spraying equipment (yearly) to minimize risk and negative impacts of pesticides, last caliberation on 11 December 2017.</p>	Comply

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4.6.8	<p>Pesticides may only be applied aerially where there is a documented justification. Surrounding communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application.</p> <p>- Major compliance -</p>	<p>UMW South Estate and TUM Estate: There is no aerial application of pesticide in the operation area of PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri.</p>	Comply
4.6.9	<p>Evidence of training on handling pesticide for workers and scheme smallholder (if any) shall be available.</p> <p>- Minor compliance -</p>	<p>UMW North - TUM Estate: Training on handling pesticides are available, such as:</p> <ul style="list-style-type: none"> - Training of Pestisida Terbatas, dated 20 April 2015 Sertifikat No.521.4/88.3/PLA.S/V/2015 – issued on 13 May 2015 for Mr. Hanafi, Mr. Doni Pranata, Mr. Suriadi Nasution, Mr. Muliadi, Mr.Darwis. - Training of Pestisida Terbatas No.521.41/38520/PLA.S/VI/2013 for Mrs. Iyus Darlina, Mr. Riki Irawan Syahputra, Mrs. Roidah dated 26 June 2016 and certificate dated 15 July 2013; - "Training standarisasi on spraying" in UMWN – TUME, dated 4 November 2017, was attended by 27 spraying applicator, e.g: Mrs Nur Apni, Mrs Rosminah, Mr Rusman, Mrs Misbah HSB - Training on hazardous waste management dated 3 November 2017, was attended by 12 workers, e.g: Rudianto Sitorus, Mr. Royupe Sinaga; - Training on Trunk Injeccction dated 8 February 2017, conducted by Agronomy, was attended by 23 workers, e.g: Mr. Yudha, Mr. Fauzan, Mr. Zakaria. - MSDS training dated 11 November 2017, was attended by 25 workers, e.g: Mr. Royupe Sinaga, Mr. R Sitorus, Mr. Edy Syahputra, Mrs. Rusminah. <p>UMW South Estate: Record training, e.g:</p> <ul style="list-style-type: none"> - Training on trunk injection dated 11 January 2017 was attended by 44 workers and supervisors, e.g: Mrs. Endang Frida, Mr. Normansyah, Mr. Firmansyah. - Training to applicator of pesticide (spraying team) on 17 December 2017, was attended by 34 personnel, e.g: Mrs. Endang Supiani, Mr. Hotnida. - Training on pesticide handling on 11 November 2017, was attended by 36 workers. E.g: Mr. Don Rinso Sinaga, Mrs. Endang Supiani 	Comply
4.6.10	<p>Proof that pesticide waste has been handled as per legal regulations and understood by worker and manager, shall be demonstrated.</p>	<p>Company has provided training on how to handle pesticide, its container, emergency cases. through provision of MSDS and hazardous waste management training.</p> <p>Pesticide waste has been handled as per legal regulations and understood by worker and manager.</p>	Comply

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<p>- Minor compliance -</p>	<p>UMW North – TUM Estate: Record seen:</p> <ul style="list-style-type: none"> - MSDS training dated 11 November 2017, was attended by 25 workers, e.g: Mr. Royupe Sinaga, Mr. R Sitorus, Mr. Edy Syahputra, Mrs. Rusminah; - Training standarisasi on spraying in UMWN – TUME, dated 4 November 2017, was attended by 27 spraying applicator, e.g: Mrs Nur Apni, Mrs Rosminah, Mr Rusman, Mrs Misbah HSB; - Training on hazardous waste management dated 3 November 2017, was attended by 12 workers, e.g: Rudianto Sitorus, Mr. Royupe Sinaga; - Training on Trunk Injeccction dated 8 February 2017, conducted by Agronomy, was attended by 23 workers, e.g: Mr. Yudha, Mr. Fauzan, Mr. Zakaria. <p>UMW south estate: Record training, e.g:</p> <ul style="list-style-type: none"> - Training on trunk injection dated 11 January 2017 was attended by 44 workers and supervisors, e.g: Mrs. Endang Frida, Mr. Normansyah, Mr. Firmansyah. - Training to applicator of pesticide (spraying team) on 17 December 2017, was attended by 34 personnel, e.g: Mrs. Endang Supiani, Mr. Hotnida. - Training on pesticide handling on 11 November 2017, was attended by 36 workers. E.g: Mr. Don Rinso Sinaga, Mrs. Endang Supiani; <p>Based on interview with all sprayers, understanding on chemical container cleaning, disposal and treatment was good.</p>	
<p>4.6.11 Annual medical records of pesticide operators, and follow-up treatment of medical results, shall be available.</p> <p>- Major compliance -</p>	<p>Company provided medical checkup for all sprayers and fertilizer-related work, this includes sprayer/operator, supervisor, water-man, warehouse supervisor and truck driver. The result from medical check up has been communicated to each workers – countersigned. The result of medical check up also acknowledged by the line manager in order to take precaution on any intoxication or un-fit worker.</p> <p>UMW North - TUM Estate: Sample of medical check up result – after communicated to each worker on 25 July 2017, by “Klinik Anugrah Ibu – Medan” was attended by 37 workers (including sprayer)) for TUME and 112 workers (including sprayer) in UMW North estate, e.g: Mrs. Rosmina, Mr. Rusman Silaban, Mr. Nur Apni, Mr. Royupe Sianaga, Mr. Ius Darliana Simanjutak, Mr. Nasiati Lahaku, Mr. Rudi Sitorus.</p> <p>UMW South Estate: Annual medical checkup has recorded in “Daftar Hasil Rekam Medisa – Umbul Mas South Estate”. MCU carried out on 24 July 2017 by “Klinik Anugerah Ibu – Medan” was attended by 172 workers, e.g: Mrs Endang Supiani (sprayer), Mrs Dertiana (trunk injection), Mrs Wiwin (manuring). The result of medical check has</p>	<p>Comply</p>

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		<p>communicated to all employee and the follow up treatment has implemented.</p> <p>Based on interview with spraying applicator in block G-18 (dated 12 January 2018) in TUM estate and block E-10 in UMW South Estate (dated 15 January 2018), there were confirmed that result of medical checkup has been communicated to each worker.</p>	
4.6.12	<p>Records shall be available to show that spraying is not conducted by pregnant or breast-feeding women.</p> <p>- Major compliance -</p>	<p>UMW North – TUM Estate: Pregnancy check employee performed once every month, the record seen in UMW North, UMW South and TUM Estate, e.g:</p> <ul style="list-style-type: none"> - In UMW North Estate: "Daftar Absen Tenaga Kerja Wanita Hamil dan Menyusui", in December 2017 in Division 4 e.g: Mrs. Rosminah, Mrs. Nur Apni, Mrs Feriyanti. There were 29 workers on upkeep are reported no pregnant status (-); - In TUM Estate: "Daftar Absen Tenaga Kerja Wanita Hamil dan Menyusui", in December 2017 in Division 4 e.g: Mrs Deliana S, Mrs Nasiati Lahagu, Mrs Ius Darlina. There were 12 workers on upkeep are reported no pregnant status (-); - In UMW South Estate: "Daftar Absen Tenaga Kerja Wanita Tidak Hamil dan Menyusui" on 30 November 2017 dan on 31 October 2017; <p>Based on interview with spraying applicator in block G-18 (dated 12 January 2018) in TUM estate and block E-10 in UMW south estate (dated 15 January 2018) confirmed that that spraying is not conducted by pregnant or breast-feeding women.</p>	Comply
<p>Criterion 4.7: An occupational health and safety plan is documented, effectively communicated and implemented. The health and safety plan shall cover the following:</p>			
4.7.1	<p>A health and safety policy shall be in place. A health and safety plan shall be documented and implemented, and its effectiveness monitored.</p> <p>- Major compliance -</p>	<p>PT. Umbul Mas Wisesa dan PT. Toton Usaha Mandiri (SIPEF Group) have established a health and safety policy that signed by President Director, dated 1 March 2013. In point 1. Mentioned that company supports the implementation of all relevant laws and regulations of the Republic of Indonesia, and of applicable international agreements and standards. In point 2.b mentioned that the company committed to provision of adequate resources fro effective implementation of the occupational healt and safety (OHS) program and procedure, including strict compliance reviews.</p> <p>The company has prepared the document of "Pedoman Sistem Management Keselamatan dan Kesehatan Kerja (SMK3)", No.TTI/PSMK3/01, dated 1 July 2009. The document consist of:</p> <ol style="list-style-type: none"> 1. Commitment and Policy on OHS – doc No.TTI/PROS/KOM/01; 2. Program of OHS – Doc. No.TTI/PROS/REN/02; <ol style="list-style-type: none"> a. Objective and Target Program on OHS b. Plan of hazard identification, risk assessment 	Comply

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	<p>and control</p> <ol style="list-style-type: none"> 3. Implementation of OHS – Doc. No.TTI/PROS/IMP/05 <ol style="list-style-type: none"> a. Respondibility and Emergency response; b. OHS training and competency; c. Communication; d. OHS Reporting; e. Procedure of handling incident, report and investigation related to incident and work related disease; 4. Monitoring and Evaluation – Doc. No.TTI/PROS/IMP/27 <ol style="list-style-type: none"> a. Inspection and Measurement b. Audit of OHS management system c. Corrective action and preventive action 5. Management review and continuous improvement – Doc. No.TTI/PROS.IMP/31 <p>UMW POM: The UMW POM has prepared the program of OHS year 2017 and 2018. The OHS Program in 2018, such as:</p> <ol style="list-style-type: none"> 1. OHS committee (P2K3) meeting -> monthly 2. OHS Inspection -> monthly 3. Report of P2K3 to manpower agency (DISNKER) -. 3 monthly 4. General Medical Check Up -> yearly 5. HIRA review -> yearly <p>Record implementation of OHS program in 2017, e.g:</p> <ul style="list-style-type: none"> - Simulation on fire drill and training for first aider – were conducted on 31 July 2017 attended by 42 participants; scenario, documentation and attendance list were available as evidents. - Training on HIRA dan OHS procedure – was conducted on 16 December 2017 attended by 11 workers, on 12 December 2017 was attended by 15 workers, - Inspection checklist of APAR (monthly), e.g: in January 2018 for APAR No.2 location in office area - Workshop inspection checklist, dated 5 January 2018 <p>UMWN – TUM Estate: Program on OHS is available in “Program P2K3LHS tahun 2017”, dated 9th January 2017, such as:</p> <ol style="list-style-type: none"> 1. Meeting of safety committee P2K3LHS (monthly) -> last conducted on 12 December 2017, 8 November 2017 and 9 October 2017; 2. Report of P2K3LHS (tri-monthly base) -> last report dated 3 January 2018 for periode October – December 2017; 3. APAR inspection (monthly) -> last inspection December 2017; 4. Inspection of first aid box (monthly) -> last inspection in December 2017; 5. Sending the hazardous waste to limited storage of hazardous waste in UWM South estate (every 2 weeks) -> last sending on 23 December 2017, 12 	

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	<p>December 2017, 24 November 2017.</p> <ol style="list-style-type: none"> 6. Training/socialization on using the PPE – inspection (monthly) -> last socialization and inspection in December 2017 7. Communication of the company’s policies (monthly) 8. Medical Check-up to all employee (yearly) -> last medical check up on 25 – 26 October 2017; 9. Fire Drill Training (yearly) -> last training on 28 October 2017; 10. Training for first aider (six-monthly base) -> last training on 21 December 2017; <p>UMW South Estate: Program on OHS is available in “Program P2K3LHS tahun 2017 – UMW south estate”, dated 4 January 2017, such as:</p> <ol style="list-style-type: none"> 1. Meeting of P2K3LHS (monthly) -> last report on 13 December 2017, 9 November 2017 and 10 October 2017 2. Report of P2K3LHS (tri-monthly base) -> last conducted on 4 January 2018 for periode October – December 2017. 3. APAR inspection (monthly) -> last inspection 6 December 2017, 2 November 2017, 3 October 2017. 4. Fire Drill (BAKORTIBA) yearly -> conducted on 7 June 2017. 5. Report of hazardous waste management (3 months bases) -> last report on 3 January 2018 for period October – December 2017. 6. Medical Check up to all employee (yearly) -> conducted in October – November 2017, evident available in Memorandum from Medical Departement SIPEF, No.002/MED-UMW-TUM/I/2018, dated 8 January 2018. 7. Training/socialization on using the PPE – inspection (monthly) -> last socialization and inspection on 3 January 2018 in division I, on 16 December 2017 in division VI and on 9 December 2017 in division VIII. 8. Communication of the company’s policies (monthly) Training for first aider (six-monthly base) -> last training on 21 December 2017; 	
<p>4.7.2</p> <p>A documented risk assessment shall be available and its implementation shall be recorded.</p> <p>- Major compliance -</p>	<p>The company has prepared the procedure of risk assessment under “Prosedur Identifikasi Bahaya dan Penilaian Resiko, No.TTI/PROS/REN/02”, issued date 1 November 2009.</p> <p>UMW POM: Risk Assessment has prepared under document “Penilaian Resiko UMW POM”, dated 11 November 2017, covering for all area e.g: EFB discharge, emplacement, effluent pond, house keeping, water treatment plant, enginee room, steam boiler, clarification, kernel plant, screw press,hoisting crane, chain/capstand, sterilizer, loading ramp, security, hazardouse waste storage, warehouse, workshop, laboratorium, office and weighbright</p>	<p>Comply</p>

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	<p>The Risk Assessment has communicated to all employee in UMW POM on 16th December 2017 attended by 11 workers.</p> <p>UMW North and TUM Estate: Risk assessment has developed both of UMW North and TUM Estate, as in document "Penilaian Resiko", dated 5 January 2018. The risk assessments were covering all activities in estate, e.g: office area, harvesting-pruning, incinerator area, spraying, trunk injection, manuring.</p> <p>UMW South Estate: Document of risk assessment available in "Penilaian Resiko – UMW South estate", effective date on 17 December 2017. The risk assessment was covering to all employee in office, workshop, field (harvesting-pruning, spraying, trunk injection, manuring, circle weeding, emplacement, water management, security, incinerator.</p> <p>The risk assesment has communicated to all employee in Muster Chit Field Work –every morning-, e.g: on 27 December 2017 in division 2, on 16 December 2017 in division VI, on 9 December 2017 in division VIII.</p>	
<p>4.7.3</p> <p>Records of Occupational Health and Safety (OHS) program (see 4.8) and Personal Protective Equipment (PPE) training in accordance with the result of hazard identification and risk analysis shall be available to all workers.</p> <p>- Major compliance -</p>	<p>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri have provided the training related to OHS and PPE in accordance with the result of risk assessment, such: UMW POM – record seen:</p> <ul style="list-style-type: none"> - Training of OHS procedure – was conducted on 12 December 2017 was attended by 15 workers; - Training on HIRA - was conducted on 16 December 2017 attended by 11 workers; - Training for first aider – was conducted on 31 July 2017 attended by 42 participants; - Boiler Operator – SIO namely Mr. Selamat (License No.6129.OPK3-PUBT-B.1/IV/2014 – valid until 3 April 2019), namely Mr. Dedi Kurniawan (License No.10093.OPK3-PUBT-B.1/IX/6 – valid until 23 September 2021, namely Mr. Khairul Saputra (License No.10094.OPK3-PUBT-B.1/IX/6 – valid until 23 September 2021); - Sterilizer operator – Mr. Nur Azlan Ali (license No.6162.OPK3-PUBT-B.II/IV/2014); - Welder certificate – namely Mr. Jhony Marbun (No.00289.0721.0002873.2014) – Surat Pengurusan Perpanjangan No.075/UMWM-GMONS/XII/2017); - Certificate for first aider, namely Mr. Ladiria Saputra (license No.670/DTK/P3K/2014), Mr. Jhony Marbun – No.669/DTK/P3K/2014). - Special Medical Checkup in UMW POM, dated 25 July 2017 was attended by 53 workers. Conducted by Klinik Spesial Anugerah Ibu – Medan and the result has communicated to all employee; - Annual Medical Checkup (no report 002/MED-UMW-TUM/I/2018) for all employee in UMW POM has conducted in October – November 2017, attended by workers. 	<p>Comply</p>

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	<p>UMW North Estate – TUM Estate, record seen:</p> <ul style="list-style-type: none"> - Notulen Meeting of P2K3LHS (OHS commite) – monthly. Latest meeting on 12 December 2017. Agenda: progress review of previous meeting result, incident report, environmental eissues, monitoring of HCV area, result of OHS inspection; - Training for first aider on 21 December 2017 was attended by 29 participants; - License No.14.45382-OPK3-LT/PAA/I/2015, dated 16 January 2015 for OHS tractor operator, namely Mr. Hendra Gunawan; - Record of fire drill (BAKORTIBA simulation), date 28 October 2017 – was attended by all workers; - Muster Chift Field Workers, dated 5 April 2017 in division II (UMW North Estate), covering for: PPE inspection, socialization of risk assessment, and company’s policies - “Fromulir Pemeriksaan Alat Pemadam Kebakaran” – monthly-, dated 21 December 2017, there were 31 fire extinguishers checked; - Company has program OHS, including training for usage of PPE in accordance with Hazard identification; <p>UMW South Estate:</p> <ul style="list-style-type: none"> - Health and safety (P2K3) program available including training regarding PPE usage as result of identification and risk analysis. All employee in field operation equipped by appropriate PPE, such as rubber boots, for harvester, masker, hand gloves, and rubber boots for fertilizer applicant. - “Pemeriksaan Alat Pemadam Api Ringan – bulanan”; fire extinguishers inpection checklist – monthly, last inspection on 6 December 2017, location in office No.25; - Report of Fire Drill, dated 7 June 2017. Evident available e.g: scenario, photograph, attendance list. - Training/socialization on using the PPE – inspection (monthly) -> last socialization and inspection on 3 January 2018 in division I, on 16 December 2017 in division VI and on 9 December 2017 in division VIII. - Communication of the company’s policies (monthly); - Training for first aider (six-monthly base) -> last training on 21 December 2017; 	
<p>4.7.4</p>	<p>The responsible person(s) for occupational health and safety shall be identified and there shall be records of periodical meetings on health and safety issues.</p> <ul style="list-style-type: none"> - Major compliance - <p>UMW POM has a safety committee under (P2K3) and Safety officer at each Estate and Mill. The records of periodical meetings on health and safety issues were available.</p> <p>UMW POM has assigned Mr. Fotuho Gulo as OHS expert in UMW POM register No.2615/PK3/AJ/12/2017/P1, dated 20 September 2017 valid until 3 years.</p> <p>Periodical meeting conducted on monthly base. Last meeting conducted in 6 January 2018, agenda:</p> <ul style="list-style-type: none"> - Progress review of previous meeting; 	<p>Comply</p>

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	<ul style="list-style-type: none"> - Emplacement maintenance; - Review of incident report and investigation; - Evaluation of KPI (key performance index); - Socialization and training program of OHS in 2018; - Meeting was attended by 12 participants; <p>3-monthly report of P2K3 (OHS commite), e.g: period July – September 2017 was reported to Manpower Agency in Labuhanbatu Selatan, on 13 October 2017.</p> <p>UMW North and TUM Estate: Document verification, such as:</p> <ul style="list-style-type: none"> - TUM Estate has assigned Mr. Sony Liston Tarigan as OHS expert in UMW north and TUM estate, register No.2610/PK3/AJ/12/2017/P1, dated 20 September 2017 valid until 3 years; - OHS committee meeting (monthly) -> last meeting on 12 December 2017, agenda: progress review of the previous meeting result, review of incident report, environmental issues, review of OHS inspection report and monitoring on HCV area; - Report of P2K3LHS (OHS committee) period October – December 2017, was send to Manpower Agency in Labuhanbatu Selatan Regency on 3 January 2017; <p>UMW South Estate:</p> <ul style="list-style-type: none"> - OHS commite has approved by Manpower Agency in Labuhanbatu Selatan Regency as in "Surat Keputusan Kepala Dinas Tenaga Kerja Kabupaten Labuhanbatu Selatan No.KEP.18/P2K3/Naker/2017 tentang Panitia Pembina Keselamatan dan Kesehatan Kerja (P2K3) di Perusahaan, dated 27 December 2017. Appendix 1 -> coordinador of OHS commite: Mr. Ramayuda (estate manager), OHS expert: Mr. Sony L Tarigan (field head assistant Acting); - UMW south estate has assigned Mr. Sony Liston Tarigan as OHS expert in UMW South Estate register No.2610/PK3/AJ/12/2017/P1, dated 20 September 2017 valid until 3 years; - "Notulen Rapat P2K3LHS" – minute of meeting of OHS committee on 13 December 2017, agenda: progress review of previous meeting result, review of accidents report, other issues. The meeting was attended by 27 participants. - "Laporan Triwulanan P2K3LHS to Dinas Tenaga Kerja Kabupaten Labuhanbatu Selatan" – 3 monthly report of OHS committee period October-December 2017, reported on 4 January 2018. 	
<p>4.7.5</p>	<p>A procedure for emergency and work accident shall be available in Indonesian Language; and the workers, who have attended First Aids training, are available in the working areas.</p>	<p>UMW POM: UMW POM has prepared the Working Instruction of Emergency situation defined as "Tanggap Darurat" dated 1 November 2016, which additional stage to report to Senior Technical Manager. Emergency situation covered including: CPO spillage at storage tank and Mill area, and Petroleum Spillage, caustic soda spillage, retention pond spillage. Trained personnel in operation area are available</p> <p>Comply</p>

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<p>- Minor compliance -</p>	<p>and used appropriate PPE during plat visit.</p> <p>Certificate for first aider in UMW POM, namely Mr. Ladira Saputra (license No.670/DTK/P3K/2014), Mr. Jhony Marbun – 669/DTK/P3K/2014, with extension letter "Surat Pengurusan Perpanjangan No.075/UMWM-GMONS/XII/2017".</p> <p>UMW North Estate, TUM Estate and UMW South Estate: Working Instruction of Emergency situation defined as 'Tanggap Darurat' (K3/PRO/PTD/01) revised 1 June 2013. Emergency situation covered including: spillage of fertilizer, pesticide or herbicide, Fuel, oil, and lubricant, earthquake, forest and land fire, and vehicle accident. Company has set of procedure</p> <ul style="list-style-type: none"> - First aid procedure (TTI/PROS/IMP/24) - Handling, reporting, and investigation of work accident (TTI/PROS/IMP/25), how to handling an accident. <p>TUM Estate: Record seen:</p> <ul style="list-style-type: none"> - Training for first aider on 21 December 2017 was attended by 29 participants. Certificate for first aider, namely Mr. Muhammad Idris – TUM Estate (license No.560/036/DSTKT/P3K/2016, dated 14 October 2016 valid until 3 years) and Mr. Tukur – UMW North estate (license No.560/037/DSTKT/P3K/2016, dated 14 October 2016 valid until 3 years); - Fire Drill Training (yearly) -> last training on 28 October 2017; <p>UMW South Estate: Record seen:</p> <ul style="list-style-type: none"> - Certificate for first aider -> license No.560/038/DSTKT/P3K/2016 namemly Mr. Dwi Makmur, license No.560/040/DSTKT/P3K/2016 namely Mr. Bambang Iman Sutowo (harvesting supervisor) - "Data Pos dan Kondisi Kotak P3K" – First aider box inspection, location in estate office, central workshop, material goddown, waste goddown, guest house. - There were 33 units of portable first aid kit. <p>The company provided the public health services, namely "Poliklinik PT Umbul Mas Wisesa". Ambulance was standing by for referral to government health facility.</p>	
<p>4.7.6</p> <p>All workers shall be provided with medical care, and covered by accident insurance (see criterion 6.5.3).</p> <p>- Minor compliance –</p>	<p>All workers provided with medical care, including accident insurance based on National Insurance Scheme (BPJS Kesehatan – BPJS Ketenagakerjaan).</p> <p>UMW POM: UMW POM has provided a general medical check up for all worker, once a year – at minimum. Record seen:</p> <ul style="list-style-type: none"> - Report of BPJS retribution in December 2017 covering for 90 workers, e.g: Mr Dicky Irwansya (basic salary Rp X,508,000 – bpjs ketenagakerjaan Rp 164.023), 	<p>Comply</p>

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	<p>Mr Jefry Nasution (basic salary Rp X,647,000 – bpjs ketenagakerjaan Rp 173,114);</p> <ul style="list-style-type: none"> - Iuran BPJS Ketengakerjaan in December 2017 no code 171202638381 amount Rp XX,861,752; - Iuran BPJS Ketengakerjaan in November 2017 no code 171201841082 amount Rp XX,025,775; <p>UMW North and TUM Estate: Document verification of medical care, and covered by accident insurance, such:</p> <ul style="list-style-type: none"> - In TUM Estate, Iuran BPJS Ketengakerjaan in December 2017 no code 171202300468 amount Rp XX,570.011; - In UMW North Estate, Iuran BPJS Ketengakerjaan in December 2017 no code 171202272408 amount Rp XX,735.573,00; <p>UMW South Estate: Record sighted: "Iuran BPJS Ketenagakerjaan" in December 2017; Payment code 171203175299, iuran BPJS ketenagakerjaan dated 29 December 2017 amount Rp xxx.927.813. Audit team have verified company's effort to be responsible in case of injury. PT. Umbul Mas Wisesa had prepared clinic's note, accident investigation report, filling in BPJS forms, provide minutes of meeting – therefore worker can claimed for the insurance.</p>	
<p>4.7.7</p> <p>Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics.</p> <p>- Minor compliance</p>	<p>Company has data accumulation of occupational Injuries and lost time accident.</p> <p>UMW POM: During 2017 there were 2 accidents and total lost time 6 days. All injuries investigated and reported to estate manager and medical department in Head Office. Audit team verified that the medical treatment was given to the workers.</p> <p>UMW North Estate – TUM Estate: Record of occupational injuries and LTA matrix were available in document of "Rekapitulasi Kecelakaan Kerja tahun 2017", updated on 3 January 2018, such as:</p> <ul style="list-style-type: none"> - In UMW North Estate, there were 2 accidents cases reported and total lost time by accident is 2 days. - In TUM Estate, there were 3 accidents cases reported and total lost time by accident is 3 days. <p>All injuries investigated and reported to estate manager and medical department in Head Office, e.g:</p> <ul style="list-style-type: none"> - Supervisor investigation accident report, dated 13 June 2017, namely Mr Marwan Marbun – location in block 09L20 in TUM Estate, chronology: "Terkena dodos saat mengutip brondolan" – recommendation has been followed up on 15 June 2017 - Supervisor investigation accident report, dated 24 October 2017, namely Mr Suwono, location in block H33A in UMW north estate, chronology: fallen from motorcycle – recommendation has been followed up 	<p>Comply</p>

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		<p>UMW South Estate:</p> <ul style="list-style-type: none"> - Report occupational injuries and LTA matrix year 2017, recorded in "Rekapitulasi Kecelakaan Kerja tahun 2017" there were 6 incidents cases, j total of lost time by accident 17 days. - Supervisor Investigation Accident Report on street accident, namely Mrs Mentari- dated of accident 16 January 2018, location in blok H16/17. The recommendation/corrective action plan has followed up. 	
<p>Criterion 4.8: All staff, workers, smallholders and contract workers are appropriately trained.</p>			
<p>4.8.1</p>	<p>Records of training program related to the aspects of RSPO Principles and Criteria shall be available.</p> <p>- Major compliance -</p>	<p>UMW POM:</p> <p>Schedule Training Plan for 2018 is evident. In January 2018 UMW POM planned to have Environmental Aspect and Impact training, Helath and Safety Training, Fire simulation, and hazardous spilage training. In February 2018 UMW POM have plan to conduct training of MSDS &NFPA, and Processing. In 4 December 2017, UMW POM have training of RSPO Supply Chain 2017 for 5 workers (weighbridge operators, production assisstant, dispatch operator). In November 2018 UMW POM planned to have training of Supply Chain for wider audience.</p> <p>UMW North Estate:</p> <p>Schedule Training Plan for 2018 is evident under "Program Training UMW North Estate Tahun 2018" dated 3 January 2018. In February 2018 UMW North Estate planned to have training of IPM and First Aid; in March 2018 planned training of harvesting management and FFB quality, spraying tools calibration, manuring and LSU; in April planned training of supervision; in May planned training of vehicle operational and safety; in June planned training of spraying standardization, pesticides mixing and harvesting premium calculation; In July planned training MSDS & NFPA, hazardous waste handling and Division administration; in October planned IPM training; in November planned HCV training; in December planned water management training.</p> <p>UMW South Estate:</p> <p>Program Training Plan tahun 2018 is evident under "Umbul Mas Wisesa South Estate – Program Training Tahun 2018". The UMW South Estate was planned to have integrated pest management training on May 2018; Manuring & LSU in February; Pest and Disease in May; Spraying and Pesticides Mixing in July; Spraying tools calibration in March, June, September and December; Fire Fighting in April; Harvesting and FFB quality in August; Water Management in October; MSDS and hazardous waste handling in November; and Vehicle operation and safety in February. Training Program was developed based on training need identification as</p>	<p>Comply</p>

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	<p>documented in "Identifikasi Jenis Pelatihan UMWS Estate Tahun 2018".</p> <p>Records of training realization in 2017 were available, consist of training module, attendance list and photograph, e.g. training of IPM and Pest & Disease on 11/01/2017, attended by 48 participants; Manuring and LSU on 19/07/2017, attended by 30 participants; Spraying standard and pesticides mixing and spraying tools calibration on 17/11/2017, attended by 34 participants; MSDS & hazardous waste handling on 11/11/2017, attended by 36 participants; Vehicle operation and safety on 30/12/2017, attended by 45 participants.</p> <p>TUM Estate: Schedule Training Plan for 2018 is evident under "Program Training TUM Estate Tahun 2018" dated 3 January 2018. In February 2018 TUM Estate planned to have training of IPM and First Aid; in March 2018 planned training of harvesting management and FFB quality, spraying tools calibration, manuring and LSU; in April planned training of supervision; in May planned training of vehicle operational and safety; in June planned training of spraying standardization, pesticides mixing and harvesting premium calculation; In July planned training MSDS & NFPA, hazardous waste handling and Division administration; in October planned IPM training; in November planned HCV training; in December planned water management training.</p>	
<p>4.8.2</p> <p>Records of training for each employee shall be maintained.</p> <p>- Minor compliance –</p>	<p>UMW POM:</p> <ul style="list-style-type: none"> - Dicky Irwansyah (office) has attended training of Lintramax System dated 12 March 2014, MSDS training dated 20 March 2014; Principles and Criteria of RSPO, ISPO, Supply Chain training 30 April 2014; Health and Safety training dated 24 November 2015; RSPO P&C Training dated 11 November 2017. - Abdul Wahid (Processing-Sterilizer) has attended training of Introduction of hydraulic system dated 17 March 2014; Fire and First Aid dated 8 August 2014; Sterilizer system dated 3 November 2015; SOP and Health & Safety dated 12 December 2017. - Nindi Fiameswari (Weighbridge Clerk) has attended training of Weighbridge and payroll system dated 13-14 March 2014; Health & Safety and PPE training dated 2 April 2014; Principle & Criteria of ISPO, RSPO and Supply Chain 30 April 2014; Weighbridge operational training dated 9 November 2015; Health and Safety training dated 24 November 2015; Supply Chain dated 21 January 2016; RSPO Supply Chain Model IP dated 4 October 2016; RSPO P&C training in 11 November 2017, weighbridge operator in RSPO Supply Chain 2017 dated 4 December 2017. <p>UMW North:</p>	<p>Comply</p>

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	<ul style="list-style-type: none"> - Musliadi (Harvester) has attended training of harvesting standard and FFB quality dated 27 February 2015; medical insurance dated 14 April 2015; code of conduct policy communication dated 2 December 2016; harvesting tools training dated 3 May 2017; company policies dissemination dated 30 October 2017; gender committee training date 19 December 2017. - Lindawati Sitorus (Pest & Disease) has attended training of IPM dated 21 February 2014; medical insurance dated 14 April 2015; ganoderma census dated 1 September 2015; pest & disease training dated 19 August 2016; company policies dissemination dated 30 October 2017; code of conduct policy communication dated 20 December 2017. - Yusriani Silitonga (Spraying) has attended training of limited pesticided uses dared 6 May 2014 and 30 April 2015; ganoderma census training 19 January 2017; code of conduct policy dissemination 1 December 2016; spraying tools calibration dated 4 August 2017; spraying standard training 4 November 2017; SA-15 knapsack sprayer dated 17 November 2017. - Arbiansyah M (Water Management Assisstant) has attended training RSPO P&C Training on 11 November 2017. <p>TUM Estate:</p> <ul style="list-style-type: none"> - M. Idris (Tallying clerk) has attended training of oil palm supervisor dated 12 September 2016, Ganoderma census training dated 20 October 2016; First Aid training dated 29 November 2016; Code of conduct policy communication 15 December 2016; Termite control dated 14 February 2017; Manuring training dated 6 September 2017; Gender Committee dated 19 December 2017; company policy dated 21 December 2017. - Safrida (Pest & Disease) has attended training of spraying standard 23 May 2013; Integrated Pest Management dated 27 February 2014; Application of regent 28 March 2014; Leaf Sampling Unit dated 19 July 2017; <i>Ganoderma</i> census training 19 October 2017. - Jenprejer S. (Harvester) has attended training of harvesting standard and FFB quality dated 7 February 2014; medical insurance communication 7 December 2015; use of knife safety cover 28 January 2016; domestic waste handling dated 10 December 2016; code of conduct policy communication 16 December 2016. 	
<p>Principle 5: Environmental responsibility and conservation of natural resources and biodiversity</p>		
<p>Criterion 5.1:</p>		

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Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.		
<p>5.1.1</p> <p>Environmental impact assessment document(s) shall be available.</p> <p>- Major compliance -</p>	<p>PT. Umbul Mas Wisesa has an AMDAL document consisting of ANDAL Document, Environmental Management Plan and Environmental Monitoring Plan in accordance with "Keputusan Bupati Labuhan Batu No. 503.660/268/SET-KOMISI/XII/2008 tanggal 31 Desember 2008 tentang Kelayakan Lingkungan Hidup Rencana Usaha dan/atau Kegiatan serta Dermaga untuk Kepentingan Sendiri (DUKS) PT. Umbul Mas Wisesa di Desa Sei Siarti Kecamatan Panai Tengah dan Desa Tanjung Mulia Kecamatan Kampung Rakyat, Kabupaten Labuhan Batu, Provinsi Sumatera Utara". The scope of study covers 8,719 Ha and palm oil mill with capacity 45 Ton FFB/Hour expandable to 60 Ton FFB/Hour.</p> <p>The company has also prepared the document of environmental impact list, such:</p> <ul style="list-style-type: none"> - UMW POM, document of Environmental Aspect & Impact List – 2017, there is no change of process and equipment. - In UMW North Estate and TUM Estate, document of Environmental Aspect & Impact List, updated in 5 January 2018, covering for all activities in estate (office area, warehouse, in plantation, incinerator); <p>The document of environmental impact also provided in RKL-RPL.</p> <p>PT. Toton Usaha Mandiri: Environmental document named "Dokumen Upaya Pengelolaan Lingkungan Hidup (UKL) dan Upaya Pemantauan Lingkungan Hidup (UPL) Perkebunan Kelapa Sawit seluas 1.200 Ha, PT. Toton Usaha Mandiri Desa Sei Siarti, Kecamatan Panai Tengah, Kabupaten Labuhanbatu, Provinsi Sumatra Utara" was approved "Keputusan Kepala Badan Pengendalian Dampak Lingkungan Daerah Kabupaten Labuhanbatu No.660/BLH-LB/AM/2009", datum 2009 with scope of study palm oil plantation area 1,200 Ha.</p> <p>Environmental impact assessments prepared by "Lembaga Penelitian Universitas Sumatera Utara Medan, 2009". Records of all impact assessments carried out are readily available. All operational areas have undertaken reviews of the environmental impacts on at least an annual basis.</p>	<p>Comply</p>
<p>5.1.2</p> <p>Environment management plan document to prevent negative impacts, its implementation report and revision (if the identification of impact requires changes in current company's</p>	<p>The company has Environmental Management and Monitoring Plan (RKL – RPL), it is submitted regularly to the national and local government every 6 months. The management and monitoring plan report is based on SEIA (AMDAL), it was checked that management and monitoring plan is implemented and reported to local government six monthly based. Last report submitted to Environment agency of Labuhan Batu District and</p>	<p>Comply</p>

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<p>practices) shall be available. The company's management shall appoint the responsible person(s) for the implementation of the document.</p> <p>- Minor compliance -</p>	<p>Labuhan Batu Selatan District. The company has appointed EnC team (environmental and conservation team – GMO NS) for responsible to implementation the document as deputy of mill head manager on environment</p> <p>TUM Estate: Company has Environmental Management and Monitoring Plan (RKL – RPL), it is submitted regularly to the national and local government every 6 months. Last submission held on February 3rd, 2017. Environmental Management and Monitoring Plan (RKL – RPL) permit on 2009, by decree letter number 660/324/BLH-LB/AM/2009. reported to local government six monthly based. Last report submitted to Environment agency of Labuhan Batu District and labuhan Batu Selatan District Mr. HPP Siagian assigned as responsible person to implement it.</p> <p>The report – "Laporan Pelaksanaan Upaya Pengelolaan (UKL) dan Upaya Pementauan Lingkungan (UPL) period July – December 2017 has submitted to Environment agency of Labuhan Batu District and Labuhan Batu Selatan District on 11 January 2018. The document has also sent to Environmental Agency in North Sumatra and Ministry of Environment of Republic Indonesia on 1 January 2018 (via – Pandu Logistic connot No.3037720847 5 and 3003772845 5).</p>	
<p>5.1.3 Environment monitoring plan document, its implementation report, and the corrective plan (if non-conformance arised from the monitoring result) shall be available. This plan is reviewed on two-yearly basis.</p> <p>- Minor compliance –</p>	<p>PT. Umbul Mas Wisesa (POM and estate): PT. Umbul Mas Wisesa has prepared report on Environmental Management and Monitoring implementation (Laporan RKL-RPL) and sent report every 6 month to local government, e.g RKL-RPL report semester II 2017 (Period July – December 2017), base on reported by receipts from the Office Dishutubun South Labuhan Batu, the report is RKL - RPL second semester year 2017, dated 11 January 2018.</p> <p>Management and monitoring plan based on AMDAL have been covered in regular report of RKL/RPL. Management Plan in accordance with impacts that have been identified in the EIA / UKL-UPL, such as:</p> <ol style="list-style-type: none"> 1. The impact of a decrease in air quality; 2. Impact of surface water quality degradation; 3. Waste; 4. Hazardous waste (B3); 5. Soil and water conservation; 6. Household waste; 7. Community Development; 8. Job opportunities; 9. Public health; <p>Monitoring the plan in accordance with the impact that it has identified in the EIA/UKL-UPL, such as:</p> <ol style="list-style-type: none"> 1. Monitoring of the odor; 2. Emission; 3. Noise; 	<p>Comply</p>

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		<p>4. Water quality; 5. Quality of waste; 6. HCV areas; 7. Fire; 8. The employment and business opportunities; 9. Attitudes and perceptions on health, the environment,</p> <p>TUM Estate: PT. Toton Usaha Mandiri has prepared report on Environmental Management and Monitoring implementation (Laporan RKL-RPL) and sent report every 6 month to local government, e.g RKL-RPL report for period July – December 2017 has submitted to Environment agency of Labuhan Batu District on 8 January 2018 (letter no: 01/TUME/KLH-RI/2018), to Environment agency in North Sumatra Province on 10 January 2018 (via Pandu Logistic – connote no 3037720805 5) and to ministry of environmental in Republic Indonesia on 10 January 2018 (via Pandu Logistic – connote no 3037720802 5).</p>	
<p>Criterion 5.2: The status of rare, threatened or endangered species and other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and operations managed to best ensure that they are maintained and/or enhanced.</p>			
5.2.1	<p>Record(s) on the results of High Conservation Value (HCV assessment) that includes both the planted area and the relevant wider landscape-level considerations (such as wildlife corridors) shall be available.</p> <p>- Major compliance -</p>	<p>PT. Umbul Mas Wisesa (UMW) has identified by “Yayasan Kelapa Sawit Berkelanjutan” in 2009, referring “Indonesian HCV Toolkit, 2008”. Total HCV areas was identified is 196.09 Ha and consist of 167 Ha is <i>Hutan Konversi</i> and riparian covering 20.79 Ha – in form of wildlife corridor.</p> <p>PT. Toton Usaha Mandiri (TUM) has identified High Conservation Value (HCV) in 2009 conducted by the Foundation for Sustainable Palm Oil Indonesia (YASBI) as outlined in the Assessment Report HCV/HCV PT. Toton Usaha Mandiri in 2009. In the report described the HCV areas found in working area of PT. TUM i.e. HCV 1, HCV 3 and HCV 4 with a total area of 57.5 Ha in the form of conservation forest area of 39.30 hectares, Border drain and corridors covering an area of 2.38 hectares.</p> <p>Public Consultation to the surrounding community have been conducted on 18 November 2009 at the Office of PT UMW, which was attended by representatives of leaders 'local community', the sub-district and the villages (Desa Tanjung Mulia, Sei Toras, Sei Siarti) in accordance with the document "Notulensi Publik Penilaian Nilai Konservasi Tinggi –NKT (HCV)".</p> <p>Reports being peer reviewed by R. Sigit Pamungkas (HCV-RN) on October 2014.</p>	Comply
5.2.2	<p>Where rare, threatened or endangered (RTE) species and or other HCVs are present or</p>	<p>PT. Umbul Mas Wisesa (UMW) has established procedur for identification HCV; “Prosedur Identifikasi Flora dan Fauna”, No. ENC/SOP/09, dated 1 December 2013.</p>	Comply

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<p>affected by the plantation and mill operations, an appropriate measures that are expected to maintain or enhance them shall be implemented through a management plan.</p> <p>- Major compliance -</p>	<p>Also made a work instruction (WI), that is: Work Instruction (WI) for: Patroli Areal NKT (HCV Areal), Conservation Corridor Maintenance, Camera Trap Setting, setup Camera Trap.</p> <p>Based on identification of HCV in 2009, that identified 16 species of mammals, such as: "Babi hutan" (<i>Sus verrucoccus</i>), "Musang" (<i>Paradoxurus hermaphrodites</i>), "Siamang" (<i>Symphalangus syndactylus</i>), "Beruk" (<i>Macaca nemestrina</i>), "Berang-berang" (<i>Prionodon linsang</i>), "Macan akar" (<i>Felis bengalensis</i>), Harimau Sumatera (<i>Panthera tigris sumatrae</i>), "Beruang Madu" (<i>Helarctos malajanus</i>), "Kia-kia" (<i>Presbytis thomasi margae</i>), "Kera" (<i>Macaca fascicularis</i>), "Bajing terbang" (<i>Calotes jubatus</i>), "Kalong" (<i>Pteropus vampyrus</i>), "Kukang" (<i>Nycticebus coucang</i>), Landak (<i>Hystrix brachyurum</i>), "Trenggiling" (<i>Manis javanica</i>) and "Tupai" (<i>Tupaia sp.</i>)</p> <p>For bird species found 33 kinds, such as: <i>Cerocok/Pycnonotus goiavier</i>, <i>Emprit bondol/Lonchura</i>, <i>Balam/Geopelia striata</i>, <i>Walet/Hirundo tahitica</i>, <i>Gagak/Corvus enca</i>, <i>Pelatuk/Picus miniaceus</i>, <i>Jalak/Sturnus contra jala</i>, <i>Alap-alap/Falco peregrinus</i>, <i>Burung Hantu/Tyto alba</i>, <i>Murai batu/Monticola solitaries</i>, <i>Rangkok/Aceros undulates</i> and 11 types Reptile such as: <i>Ular Lidi/Ptyas koros</i>, <i>Tokek/Gecko gecko</i>, <i>Bunglon/Myrmeleon sp</i>, <i>Kadal/Mabouja multifasciata</i>, <i>Biawak/Varanus salvator</i>, <i>Ular sawah/Maticora bivirgata</i> and other species.</p> <p>Based HCV assessment documents in 2009, identified 27 types of plants such as: <i>Pasak Lingga/Dysoxylum sp</i>, <i>Kempas/Koompasia exelsa</i>, <i>Arang-arang/Dyospyros borneensis</i>, <i>Beringin/Ficus benjamina</i>, <i>Rengas/Gluta renghas</i>, <i>Anggrung/Trema orientalis</i>, <i>Meranti putih/Shorea lamellate</i>, <i>Meranti Merah/Shorea ovalis</i>, <i>Halaban/Vitex pubescens</i>, <i>Landas/Macaranga sp</i>, <i>Kayu Sunte/Shorea gibbosa</i>, <i>Mayang susu/Shorea lamellate</i>, <i>Rotan/Calamus sp</i>, <i>Kandis/Tamarindus sp</i>, <i>Jelutung/Dyera costulata</i>, <i>Tembesu/Frgraea fragrans</i>, <i>Punak/Tetramerista glabra</i> and other species.</p> <p>Based on the field in the wildlife corridor (UMW North Block J20/K20) which connects the area HCV in PT. Umbul Mas Wisesa and HCV yanbg area is in PT. Toton Usaha Mandiri indicates that the company has made the management of HCV areas include;</p> <ul style="list-style-type: none"> - Installation of HCV identification and warning signs to prohibit hunting, or cutting the tree; - Restoration project by planting "Meranti Merah", "Bintangur", "Meranti Batu", "Pulai" and "Mayang" are continued, data collection sighted; - Based on visit to the area, vegetation growth in the corridor are improved; <p>The management and monitoring plan, covering</p>	

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		monitoring of HCV area, socialization to the internal and local communities, restoration and displayed sign board. "Program Pengelolaan NKT PT. Umbul Mas Wisesa North and PT. TUM 2017" is evident. The HCV management plan including jungle guard patrol on two weeks interval, upkeep HCV corridor on two months, planting on corridor each month, upkeep HCV notice board once every two months, upkeep HCV poles 30 units every two months, upkeep HCV corridor 4 units every other month.	
5.2.3	<p>Program(s) to socialize the status of protected, rare, threatened or endangered (RTE) to all workers shall be available, including records of appropriate sanction disciplinary measures to any individual working for the company who is found to capture, harm, collect or kill these species.</p> <p>- Minor compliance –</p>	<p>Company initiated "Pelatihan dan Identifikasi Tumbuhan-Satwa Liar di Areal Perkebunan dan Upaya Konservasi pada Habitatnya di Perkebunan PT. Umbul Mas Wisesa dan PT. Toton Usaha Mandiri.</p> <p>Throughout 2017, companies have provided dissemination on HCV management:</p> <ul style="list-style-type: none"> - Socialization/dissemination on 16 December 2017 located in Division III (UMW South Estate) attended by 32 workers; - Socialization/dissemination on 11 January 2017 located in Division II (UMW South Estate) attended by 61 workers; - Socialization/dissemination on 6 March 2017 located in Division II (UMW South Estate) attended by 61 workers; - Socialization/dissemination on 10 April 2017 located in Division II (UMW South Estate) attended by 62 workers; - Socialization/dissemination on 21 December 2017 located in TUM Estate attended by 95 workers; - Socialization/dissemination on 12 August 2017 located in Division II TUM Estate attended by 69 workers; - Socialization/dissemination on 31 October 2017 located in Division III (UMW North Estate) attended by 55 workers; 	Comply
5.2.4	<p>Once the management plan is prepared, continuous monitoring documentation and report regarding the status of the RTE and HCVs are affected by the operations of the plantation and palm oil mill shall be available, and the results of monitoring are to be used to follow-up on the improvement of the management plan.</p> <p>- Minor compliance –</p>	<p>The company has established Program Management of HCV PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri 2017 consists of seven types of activities, for example Patrol Jungle Guard, Upkeep Corridor HCV, Planting Areas HCV-Corridor, Installation and Monitoring Camera Trap, maintenance board warning NKT, maintenance peg HCV, and the HCV Corridor peg.</p> <p>The Identity signboard HCV in 8 places are intact, for example: Block J22, H24, H18 and K20. Also made the installation of Identity signboard HCV in 3 places (Block K21, K20).</p> <p>Based on interviews and field visits in the village of Tanjung Mulia showed that PT. Umbul Mas Wisesa has communicated the HCV management program, including the types of flora and fauna are protected, for example posters fauna protected in Tanjung Mulia.</p> <p>Companies have appointed special officers to manage Areal HCV is Mr. Arbiyah Mutholib (Coordinator), Erwin Syahputra (Ranger – Water management team), Rivai Hamdani (Ranger – Water Management team) in</p>	Comply

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	<p>accordance with the Memorandum dated 22 August 2013. The Company has established Job Description Position: Field Conservation Technician ("Rangers") that describes the job description, responsibilities and procedures for their work relationship.</p> <p>Report on the monitoring of flora and fauna contained in "Laporan Kegiatan Pengelolaan Area Bernilai Konservasi Tinggi Periode Januari-Desember 2017 di PT. Umbul Mas Wisesa dan PT. Toton Usaha Mandiri" reported to the "Badan Konservasi Sumber Daya Alam/BKSDA Kabupaten Labuhan Batu Selatan". The report explains all activities by team in January-December 2017, including: monitoring of wildlife and flora; eradication of threat in HCV area (wild animal snares, fish net); controlling invasive species in HCV corridor; planting and upkeep forest/native species trees, such as "Trembesi" (Albizia saman), "Ketapang" (Terminalia catappa), "Meranti" (Shorea sp), "Tenggek Burung" (Euodia ridleyi) and "Kayu Ara" (Ficus sp.);</p> <p>Based on monitoring on wildlife identified 2 species under status Endangered (EN) "Bangau Bluwok" (Mycteria cinerea) and "Ungko" (Hylobates agilis); 4 species with status Vulnerable (VU) namely "Bangau Tongtong" (Leptoptilos javanicus), "Beruk" (Macaca nemestrina), "Lutung Kedih" (Presbytis thomasi) and "Lutung Kelabu" (Presbytis cristatus); there was also 4 species with status Near Threatened (NT) namely "Udan Pauh Total" (Pelecanus philippensis), "Julang Jambul Hitam" (Aceros corrugatus), "Rangkong Badak" (Buceros rhinoceros) and "Rangkong Papan" (Buceros bicornis); 1 species under status Least Concern (LC) namely "Julang Emas" (Aceros undulates).</p> <p>Based on field verification: HCV area is in good condition/maintained. No indication of animal snare/trap or illegal logging. The HCV monitoring carried out by special officer (Ranger). HCV area have been delineated on the ground in form of moat and HCV identity signboard. No-hunting signboard are erected, and in good condition.</p> <p>The HCV corridor has been introduced with forest plant:"Trembesi" (Samanea saman), "Ketapang" (Terminalia catappa), "Meranti" (Shorea sp), "Tenggek Burung" (Euodia ridleyi), "Kayu Ara" (Ficus sp), and other species. During visit, these tree are well-grown and maintained.</p>	
<p>5.2.5</p>	<p>Where HCV areas overlapped with an identified local community's land, there shall be evidence of a negotiated agreement that optimally safeguard their HCVs and the local community's rights.</p>	<p>Comply</p>

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	- Minor compliance –		
Criterion 5.3:			
Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.			
5.3.1	A documented identified source of all waste and pollution, shall be available. - Major compliance -	All sources of pollution and waste have been identified and documented. UMW POM has identified source of all waste and pollution under document "Rencana Pengelolaan Limbah", includes all activities performed in Employment (Housing complex), warehouse, engine room, incinerator, office, POME treatment (biogas plant). UMW North Estate and TUM Estate: The document of identification of sources of waste dan pollution available in "Rencana Pengelolaan Limbah", updated on 1 September 2017, such: <ul style="list-style-type: none"> - Liquid domestic waste (black water and grey water); - Solid domestic waste (organic and anorganic); - Waste oil, used battery, used oil filter, used fuel filter – from generator engine; - Empty chemical container; - Ex-fertilizer bag; - Photocopy toner, cartridge printer containers; - Identification of Hazardous waste source; - Source of emission identification; 	Comply
5.3.2	There shall be evidence that all chemicals and their empty containers are disposed of responsibly. - Major compliance -	All chemical and hazardous waste from UWM POM, UMW North Estate, UMW South Estate and TUM Estate are stored in temporary hazardous waste storage. All chemical and their containers from Mill and Estates were collected and kept in temporary waste storage for 180 days upto 365 days prior disposal. Review of records showed all hazardous waste has been identified and properly monitored, such as used oil, used oil filter, used batteries, empty chemical container from Estate and Mill activities, contaminated materials. Monitoring was recorded in document "Neraca Limbah B3". Record of hazardous waste is maintained, the record is updated monthly in "Hazardous Waste Balancing Stock" and Also Reported to the local government every three months, and incorporated in RKL - RPL report. B3 waste handling TUME and UMW-North delivered every week to place the B3 waste storage located in UMW-South, who has permission to store hazardous waste. UMW South Estate: The evidence that all chemicals and their empty containers are disposed of responsibly, such as: <ul style="list-style-type: none"> - Permit of limited hazardous waste storage under "Keputusan Kepala Dinas Penanaman Modal dan Pelayanan Perizinan Terpadu Satu Pintu Kabupaten 	Comply

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	<p>Labuhanbatu Selatan No.503/514/DMPPTSP-LS/2017 tentang Izin Penyimpanan Sementara Limbah Bahan Berbahaya dan Beracun PT. Umbul Mas Wisesa South Estate, dated 25 April 2017.</p> <ul style="list-style-type: none"> - Berita Cara Serah Terima Barang Limbah Bahan Berbahaya Beracun" to limited hazardous waste storage in UMW-South estate, dated 7 December 2017 (ex chemical containers – 10 Kg), on 12 December 2017 (Ex chemical container- 15kg, oil filter used- 3 pcs, fuel filter used- 1 pcs), on 23 December 2017 (ex-chemical 10 Kg). 	
<p>5.3.3</p> <p>A documented waste management plan to avoid or reduce pollution and its implementation shall be available.</p> <ul style="list-style-type: none"> - Minor compliance – 	<p>The company has prepared the document of waste management plan as in procedure "Pengelolaan Sampah" and "Rencana Pengelolaan Limbah". Waste management consists of domestic waste, to reduce pollution to the environment.</p> <p>Organic and inorganic waste sent to Incenerator in block K11A (covering for UMW north and TUM estate).</p> <p>For medical waste, and other type hazardous waste (waste oil, empty chemical container, contaminated material, battery) regulated as per procedure "Penyimpanan Limbah Bahan Berbahaya dan Beracun (Limbah B3) dan Tanggap Darurat". The hazardous waste stored in a dedicated storage completed with alarm, spill kit, secondary containment and PPE for operator.</p> <p>B3 waste handling PT. Toton Usaha Mandiri and UMW-North Estate delivered every week to place the B3 waste storage located in UMW-South, who has permission to store hazardous waste.</p> <p>UMW South Estate: Organic and inorganic waste sent to Incenerator in block B12 in division 1.</p> <p>NC Minor: Not adequate evidence to demonstrate company has consistently implement waste management plan to avoid or reduce pollution.</p> <p>PT. Umbul Mas Wisesa has demonstrated the permit for temporary hazardous waste storage as in "Keputusan Kepala Dinas Penanaman Modal dan Pelayanan Perizinan Terpadu Satu Pintu Kabupaten Labuhanbatu Selatan No.503/514/DMPPTSP-LS/2017 tentang Izin Penyimpanan Sementara Limbah Bahan Berbahaya dan Beracun PT. Umbul Mas Wisesa South Estate", dated 25 April 2017. Under the permit, in "Diktum MEMUTUSKAN KEDUA, point 5.c" mentioned "Tidak diperkenankan menyimpan sementara limbah Bahan Berbahaya dan Beracun di tempat lain selain tempat penyimpanan sementara sebagaimana disebutkan dalam huruf a seperti yang di Diktum KESATU (N: 20 13' 9,832"; E: 1000 17' 5,30") - it is not allowed to store the hazardous waste outside the permitted location, located in PT. Umbul Mas Wisesa South Estate.</p>	<p>NC Minor</p>

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		However, based on visit to polyclinic Umbul Mas Wisesa (dated 15 January 2018), located in Umbul Mas Wisesa South Estate - it was found that medical waste stored in the clinic, instead of stored in hazardous waste store; as required in the permit. Based on balance sheet record PT. Umbul Mas Wisesa South Estate the transport of medical waste dated 4 April 2017 (2.2 kg) and 24 October 2017 (6.8 kg).																																																																																																																													
Criterion 5.4:																																																																																																																															
Efficiency of fossil fuel use and the use of renewable energy is optimised.																																																																																																																															
5.4.1	<p>A plan for improving efficiency of the use of fossil fuels and to optimize renewable energy shall be in place and monitored.</p> <p>- Minor compliance –</p>	<p>UMW POM: Optimizing renewable energy from fibre and shell for fuel, recorded in "Rekaman Monitoring Penggunaan Energi Terbarukan".</p> <p>Calculation for Fiber:</p> <table border="1"> <thead> <tr> <th>Year 2017</th> <th>FFB Processed (tons)</th> <th>Fruit Fibers @13% of FFB process (MT)</th> <th>Net Calorific Value of Fiber (2300 Kcal/kg)</th> </tr> </thead> <tbody> <tr><td>Jan</td><td>10,576</td><td>1,374</td><td>3,162,238,053</td></tr> <tr><td>Feb</td><td>10,392</td><td>1,350</td><td>3,107,255,541</td></tr> <tr><td>Mar</td><td>13,227</td><td>1,719</td><td>3,954,844,296</td></tr> <tr><td>Apr</td><td>12,466</td><td>1,620</td><td>3,727,627,917</td></tr> <tr><td>May</td><td>16,371</td><td>2,128</td><td>4,895,216,339</td></tr> <tr><td>Jun</td><td>13,591</td><td>1,766</td><td>4,063,920,094</td></tr> <tr><td>Jul</td><td>18,026</td><td>2,343</td><td>5,390,002,436</td></tr> <tr><td>Aug</td><td>15,798</td><td>2,053</td><td>4,723,642,365</td></tr> <tr><td>Sep</td><td>14,476</td><td>1,881</td><td>4,328,458,849</td></tr> <tr><td>Oct</td><td>14,333</td><td>1,863</td><td>4,285,674,042</td></tr> <tr><td>Nov</td><td>13,411</td><td>1,743</td><td>4,009,922,488</td></tr> <tr><td>Dec</td><td>12,538</td><td>1,628</td><td>3,746,141,100</td></tr> <tr><td></td><td>165,200</td><td>21,476</td><td>49,394,943,520</td></tr> </tbody> </table> <p>Calculation for Shell:</p> <table border="1"> <thead> <tr> <th>Year 2017</th> <th>FFB Processed (tons)</th> <th>Shell @6% of FFB process (MT)</th> <th>Net Calorific Value of shell (3400 Kcal/kg)</th> </tr> </thead> <tbody> <tr><td>Jan</td><td>10,576</td><td>634.56</td><td>2,157,513,588</td></tr> <tr><td>Feb</td><td>10,392</td><td>623.53</td><td>2,120,000,436</td></tr> <tr><td>Mar</td><td>13,227</td><td>793.61</td><td>2,698,288,416</td></tr> <tr><td>Apr</td><td>12,466</td><td>748.01</td><td>2,543,264,532</td></tr> <tr><td>May</td><td>16,371</td><td>982.31</td><td>3,339,880,044</td></tr> <tr><td>Jun</td><td>13,591</td><td>815.50</td><td>2,772,708,024</td></tr> <tr><td>Jul</td><td>18,026</td><td>1,081.60</td><td>3,677,459,856</td></tr> <tr><td>Aug</td><td>15,798</td><td>947.88</td><td>3,222,819,540</td></tr> <tr><td>Sep</td><td>14,476</td><td>868.58</td><td>2,953,196,004</td></tr> <tr><td>Oct</td><td>14,333</td><td>860.00</td><td>2,924,005,032</td></tr> <tr><td>Nov</td><td>13,411</td><td>804.66</td><td>2,735,866,848</td></tr> <tr><td>Dec</td><td>12,538</td><td>751.73</td><td>2,555,895,600</td></tr> <tr><td></td><td>165,200</td><td>9,912.03</td><td>33,700,897,920</td></tr> </tbody> </table> <p>Record of efficiency</p> <table border="1"> <thead> <tr> <th>Year 2017</th> <th>Grand Total NCV</th> <th>Equal to HSD Fuel NCV 10500 Kcal/kg</th> </tr> </thead> <tbody> <tr><td>Jan</td><td>5,319,751,641</td><td>506,643</td></tr> <tr><td>Feb</td><td>5,227,255,977</td><td>497,834</td></tr> <tr><td>Mar</td><td>6,653,132,712</td><td>633,632</td></tr> </tbody> </table>	Year 2017	FFB Processed (tons)	Fruit Fibers @13% of FFB process (MT)	Net Calorific Value of Fiber (2300 Kcal/kg)	Jan	10,576	1,374	3,162,238,053	Feb	10,392	1,350	3,107,255,541	Mar	13,227	1,719	3,954,844,296	Apr	12,466	1,620	3,727,627,917	May	16,371	2,128	4,895,216,339	Jun	13,591	1,766	4,063,920,094	Jul	18,026	2,343	5,390,002,436	Aug	15,798	2,053	4,723,642,365	Sep	14,476	1,881	4,328,458,849	Oct	14,333	1,863	4,285,674,042	Nov	13,411	1,743	4,009,922,488	Dec	12,538	1,628	3,746,141,100		165,200	21,476	49,394,943,520	Year 2017	FFB Processed (tons)	Shell @6% of FFB process (MT)	Net Calorific Value of shell (3400 Kcal/kg)	Jan	10,576	634.56	2,157,513,588	Feb	10,392	623.53	2,120,000,436	Mar	13,227	793.61	2,698,288,416	Apr	12,466	748.01	2,543,264,532	May	16,371	982.31	3,339,880,044	Jun	13,591	815.50	2,772,708,024	Jul	18,026	1,081.60	3,677,459,856	Aug	15,798	947.88	3,222,819,540	Sep	14,476	868.58	2,953,196,004	Oct	14,333	860.00	2,924,005,032	Nov	13,411	804.66	2,735,866,848	Dec	12,538	751.73	2,555,895,600		165,200	9,912.03	33,700,897,920	Year 2017	Grand Total NCV	Equal to HSD Fuel NCV 10500 Kcal/kg	Jan	5,319,751,641	506,643	Feb	5,227,255,977	497,834	Mar	6,653,132,712	633,632	Comply
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<p>Criterion 5.5: Use of fire for preparing land or replanting is avoided, except in specific situations as identified in the ASEAN guidelines or other regional best practice.</p>																																															
5.5.1	<p>Records of land clearing with zero burning shall be available, referring to the ASEAN Policy on Zero Burning (2003) or other recognised techniques based on the existing regulations.</p> <p>- Major compliance -</p>	<p>UMW South Estate: No open burning was noted during field visit and interviewed with local communities and workers. "Prosedur Pencegahan dan Pengendalian Kebakaran Lahan" No.ENC/SOP/10 dated 1 February 2014 for prevention and control of fire. The company is using fire danger rating; risk differed by number of rainy day, rain fall, and or occurrence of fire at boundary. Umbul Mas Wisesa and Toton Usaha Mandiri Estate: "Laporan Patroli Ranger 2017", shows fire incident.</p> <p>No open burning was noted during field visit and interviewed with local communities and workers.</p> <p>UMW North Estate – TUM Estate: Record seen: - "Form Pengecekan Perlengkapan Perlatan dan BAKORTIBA" dated 3 January 2018, there is shows no fire; - "Laporan Pemantauan Kebakaran – second semester 2017", reported to Agriculture Agency in Labuhanbatu Regency on 9 January 2018.</p>	Comply																																												
5.5.2	<p>Where fire has been used for eradication of pest during replanting, the records of the</p>	<p>No replanting. No open burning was noted for replanting. No use of fire for eradication of pest/disease.</p>	Comply																																												

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Criterion / Indicator		Assessment Findings	Compliance
	analysis of the use of fire and permit from the authorised agency shall be available. - Minor compliance -		
Criterion 5.6: Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.			
5.6.1	Document(s) assessing pollution and emission sources, including gaseous, particles, soot emissions and effluent, shall be available. (see Criterion 4.4) - Major compliance -	The company has developed pollution and emission reduction plan. The plan covers planning, implementing plans and monitoring activities generating pollution and emission. PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri plantation are located on 100% peat soil. No POME application/Land application permitted for plantation in peat soil. Identification of pollution and emission sources recorded under Environmental Aspect & Impact List (Daftar Aspek & Pengaruh Lingkungan). The latest review dated 1 November 2017. The identification listed all relevant activities that generate pollution and emission from office, plantations, palm oil mill, mill effluent treatment up to workers activities. Sample seen: the operation of wheel loader and vehicle in Umbul Mas Wisesa POM generates emission, noise, and possibly spillage during fuel filling; the lubricant replacement for wheel loader and vehicle in Umbul Mas POM generates oil spillage, waste oil, contaminated filter, contaminated rags, and other type of waste.	Comply
5.6.2	Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plan to reduce or minimize them implemented. - Major compliance -	Identification of pollutant and mitigation plan, included GHG is documented in "Rencana Pengurangan Emisi Gas Rumah Kaca (GHG Emmission) as defined in procedure of "Mitigasi Gas Rumah Kaca" (ENC/GHG/01. GHG emission identified and Mitigation of GHG. Record of implementation: - "Catatan Perbaikan/Service Genset No.1": on 17 September 2017, oil replacement 25 liters, additional coolant 80 liters @ 4,761 HM; on 26 November 2017, replacement of battery N150GS @ 4,960.64 HM; - "Catatan Perbaikan/Service Genset No.2": on 16 October 2017, oil replacement 135 liters, replacement of air filter, fuel filter and oil filter @ 6,725.17 HM; - "Laporan Kerusakan/Perawatan PT. Umbul Mas Wisesa POM – Oktober 2017": 9 October 2017, skimmer CST broken; repair with replace the sparepart and complete in 10 October 2017; - Preventive maintenance: "Checklist Harian Pemeriksaan dan Perawatan Mesin"; - Monitoring of HSD Oil used in UMW POM. In 2015, HSD fuel used 408,911 liters; in 2016, HSD fuel used 442,635 liters; in 2017, HSD fuel used 365,797 liters. - Maintenance boiler on 25-26 December 2017 and 2-3 January 2018;	Comply

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Criterion / Indicator		Assessment Findings	Compliance																													
		<ul style="list-style-type: none"> - Record of mill effluent quality analysis (pH, VFA, alkalinity, debit) on daily basis. Sample: On 16 October 2017, pH 7.41; VFA 1,550 mg/liter; alkalinity 6225; debit 413 m³; - Socialization of cleanliness carried out on 4 January 2018 for all worker housing; - Cleaning housing activity carried out on 9, 16, 23 and 30 December 2017 in UMW POM housing; - Domestic waste transport activity carried out on 9, 16, 23 and 30 December 2017 from UMW POM housing; <p>"Incinerator activity 2017" records the waste handling from housing compound: On 22 August 2017, transporting two (2) trips of waste, handling by Mr. Lastono; On 30 October 2017, transporting five (5) trips of waste, handling by Mr. Junus;</p>																														
5.6.3	<p>A monitoring plan and results of regular reporting on emission and pollutants from estate and mill operations using appropriate methods, shall be available.</p> <p>- Minor compliance –</p>	<p>The company has prepared a strategy in effort to reduce and mitigate pollution and emission. Monitoring of pollution and emission quality for plantation has been planned and implemented, e.g. monitoring water level and subsidence in pet area, air quality ambient for boiler and Genset, water quality test for surface and ground water, effluent water quality, noise level. The monitoring result is incorporated in RKL/RPL and reported regularly to the government.</p> <p>GHG emission calculated base on RSPO PalmGHG Toolkit, it was seen that the total emission is 11.41 ton CO₂ equivalent/ton CPO in 2017.</p> <p><i>See Appendix C. GHG Reporting Executive Summary.</i></p>	Comply																													
		<p>GHG Mitigation Plan:</p> <table border="1"> <thead> <tr> <th>Objective</th> <th>Program</th> <th>Implementation</th> </tr> </thead> <tbody> <tr> <td rowspan="2">Reduce fossil fuel use</td> <td>Repair on genset</td> <td>Generator maintenance ontime</td> </tr> <tr> <td>Regular maintenance and check on genset</td> <td>Preventive maintenance to genset</td> </tr> <tr> <td rowspan="2">Efficiency in using boiler</td> <td>Conduct regular maintenance for boiler</td> <td>Regular maintenance on Sunday</td> </tr> <tr> <td>Conduct regular boiler chimney emission testing/analysis</td> <td>Conduct boiler chimney emission testing on 6 month basis</td> </tr> <tr> <td rowspan="2">Conduct regular maintenance for all machinery and vehicle</td> <td>Inspection to production machinery</td> <td>Preventive maintenance to production machinery</td> </tr> <tr> <td>Immediate repair for broken machinery</td> <td>Machinery repair ontime</td> </tr> <tr> <td rowspan="2">Palm Oil Mill Effluent management</td> <td>Operation of biogas plant and retention pond</td> <td>To process the mill effluent in biogas plant with CDM</td> </tr> <tr> <td>Regular effluent quality testing</td> <td>To conduct monthly effluent quality testing to external laboratory</td> </tr> <tr> <td>Managing the solid waste</td> <td>Manage the empty fruit bunch</td> <td>EFB being processed in EFB press and the fiber used as boiler fuel</td> </tr> <tr> <td>Planting trees</td> <td>Planting trees in office area, housing area and</td> <td>Trees has been planted in office area, housing</td> </tr> </tbody> </table>	Objective	Program	Implementation	Reduce fossil fuel use	Repair on genset	Generator maintenance ontime	Regular maintenance and check on genset	Preventive maintenance to genset	Efficiency in using boiler	Conduct regular maintenance for boiler	Regular maintenance on Sunday	Conduct regular boiler chimney emission testing/analysis	Conduct boiler chimney emission testing on 6 month basis	Conduct regular maintenance for all machinery and vehicle	Inspection to production machinery	Preventive maintenance to production machinery	Immediate repair for broken machinery	Machinery repair ontime	Palm Oil Mill Effluent management	Operation of biogas plant and retention pond	To process the mill effluent in biogas plant with CDM	Regular effluent quality testing	To conduct monthly effluent quality testing to external laboratory	Managing the solid waste	Manage the empty fruit bunch	EFB being processed in EFB press and the fiber used as boiler fuel	Planting trees	Planting trees in office area, housing area and	Trees has been planted in office area, housing	
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			retention pond area area, retention pond area.	
		Managing domestic waste from POM	Socialization and inspection of cleanliness	Socialization and inspection of cleanliness, once per month
			Waste transport to incinerator	Waste transport to incinerator twice per week
			Maintenance of incinerator	Activation of incinerator every day.
-				
Principle 6: Responsible consideration of employees and of individuals and communities affected by growers and millers				
Criterion 6.1:				
Aspects of plantation and mill management that have social impacts, including replanting, are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.				
6.1.1	A social impact assessment (SIA) including records of meetings shall be documented. - Major compliance -	<p>AMDAL documents have been provided where the parameters studied included the social aspect.</p> <p>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri have a Document Social Impact Assessment conducted by the team of the Faculty of Forestry IPB in 2014 with the composition of the team: Handian Purwawangsa, S. Hut, M.Si (Team Leader), Udi Kusnidar, Sulfan Ardiansyah, Jimmy Syahrasyid outlining Impact positive and Negative development of plantation PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri incorporating Matrix PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri Social Management Plan consists of; Tenure, Establish communications and networking with stakeholders ang associated with PT UMW, Improving the quality of public education, public Health Quality Improvement, community economic empowerment and employment).</p> <p>In the SIA document described the Social Management Plan that outlines the type Programs, Activities, challenges, opportunities, strategies, output / Outputs and time frame.</p> <p>Community involvement at the time of preparation of the document through Focus Group Discussion (FGD) with community, such as:</p> <ul style="list-style-type: none"> - Focus Group Discussion/FGD in Sei Siarti village on 15 February 2014 which was attended by 26 participants, - PGD in Tanjung Mulia village on 16 February 2014 which was attended by 19 participants, - FGD with employees of PT UMW-S which took place on 14 February 2014 which was attended by 25 participants, - FGD with employees of PT UMW-North and PT TUM conducted on 15 February 2014 which was attended by 32 participants. 		Comply

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Criterion / Indicator		Assessment Findings	Compliance
		Documentation, list of issues discussed and attendance list are available.	
6.1.2	<p>There shall be evidence that the assessment has been conducted with the participation of affected parties.</p> <p>- Major compliance -</p>	<p>Community involvement at the time of preparation of the document through Focus Group Discussion (FGD) with community, such as:</p> <ul style="list-style-type: none"> - Focus Group Discussion/FGD in Sei Siarti village on 15 February 2014 which was attended by 26 participants, - PGD in Tanjung Mulia village on 16 February 2014 which was attended by 19 participants, - FGD with employees of PT UMW-S which took place on 14 February 2014 which was attended by 25 participants, - FGD with employees of PT UMW-North and PT TUM conducted on 15 February 2014 which was attended by 32 participants. <p>Documentation and attendance list are available.</p> <p>Inside the report has described social aspects such as the Improvement of the regional economy, employment opportunities and business opportunities, public and social facilities and the improvement of people's perceptions about the relationship with the community. Community involvements in monitoring social impact in the form of interviews with the parties affected are equipped with interview form Doc No. ENC/DOC/2012, rev 3, dated 1 May 2015. The record seen: from interview with community for social aspect, on 4 November 2016, namely Mr Sido, Mr Wilson, Mr Haris. The Company has consistently been preparing the Report of the RKL-RPL once every 6 months and submitted to the relevant government agency, record seen: Reports Second Half in 2017 has been submitted to the Environment Agency Labuhan Batu regency South in accordance with the receipt of documents by BLH Regency of South Labuhan Batu dated 10 January 2018 according to the letter No.006/UMWM-Eks/I/2018 (cc: BLH Labuhanbatu Selatan, Disbun Labuhanbatu Selatan, KLH Propinsi Sumatera Utara dan KLH Jakarta).</p>	Comply
6.1.3	<p>Plans for management and monitoring of social impacts to avoid or reduce negative impacts and promote positive ones, based on social impact assessment, through consultation with the affected parties, shall be available, documented and timetabled, including responsibilities for implementation.</p> <p>- Major compliance -</p>	<p>Based on the verification of documents SIA shows that the report has been equipped with a management plan social recommended to increase the positive impacts and minimize the negative impact of oil palm plantation development by involving the affected communities as in table IX-1. "Rencana Kelola Sosial PT. Umbul Mas Wisesa", including the type of programs, activities, challenges, opportunities, strategies, outcomes and due date implementation of the program.</p> <p>For PT. Toton Usaha Mandiri has development the plans for management and monitoring of social impacts to avoid or reduce negative impacts and promote positive ones as in table IX-1. "Rencana Kelola Sosial PT. Toton Usaha Mandiri", including the type of programs, activities, challenges, opportunities, strategies, outcomes and due date implementation of the program.</p>	Comply

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<p>6.1.4</p> <p>The documented plan for management and monitoring of social impacts, shall be reviewed at least on two-yearly basis. If necessary, the plan should be updated. There shall be evidence that the review process includes participation of all affected parties.</p> <p>- Minor compliance –</p>	<p>Companies have regularly evaluate the implementation of the social - environmental management and monitoring plan under RKL-RPL every 6 months. However, should there is a change of operational activities that relates to specific evaluation of AMDAL documents, such as changes in the capacity of MCC and construction of Biogas Plan has conducted the environmental assessment as outlined in the " Dokumen Adendum Analisa Dampak Lingkungan Hidup (AMDAL)", RKL-RPL activities waste water treatment changes based Clean Development Mechanism (CDM) and changes in solid waste processing mill of PT. Umbul Mas Wisesa in Sei Siarti "and has been endorsed by the Governor of Sumatra Utara through Decree No. 188.44/430/KPTS/2013, dated 10 July 2013. PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri has performed the review on social-environmental management and monitoring plan for first and second half year of 2017. The review and evaluation has taken into consideration inputs from stakeholders such as cooperative members, local community.</p> <p>Record seen: PT. Umbul Mas Wisesa: Reports Second Half in 2017 has been submitted to the Environment Agency Labuhan Batu Selatan Regency in accordance with the receipt of documents by Badan Lingkungan Hidup from Labuhan Batu Selatan Regencu dated 10 January 2018 according to the letter No.006/UMWM-Eks/I/2018 (cc: Badan Lingkungan Hidup Kabupaten Labuhanbatu Selatan, Dinas Perkebunan Kabupaten Labuhanbatu Selatan, Kantor Lingkungan Hidup Provinsi Sumatera Utara and Kementerian Lingkungan Hidup, Jakarta). PT Toton Usaha Mandiri: PT. Toton Usaha Mandiri has prepared report on Environmental Management and Monitoring implementation (Laporan RKL-RPL) and sent report every 6 month to local government, e.g RKL-RPL report for period July – December 2017 has submitted to Environment agency of Labuhan Batu District on 8 January 2018 (letter no: 01/TUME/KLH-RI/2018), to Environment agency in North Sumatra Province on 10 January 2018 and to ministry of environmental in Republic Indonesia on 10 January 2018.</p>	<p>Comply</p>
<p>6.1.5</p> <p>Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme).</p> <p>- Minor compliance –</p>	<p>PT. Umbul Mas Wisesa has appointed staff, which responsible to provide guidance to smallholder member. The partnership between company and Koperasi Serba Usaha Suka Makmur. Tutorial and guidance from company is helping farmer member. The guidance provided such as integrated pest management, manual upkeep, fertilizer regime and harvesting rotation.</p> <p>PT. Umbul Mas Wisesa has provided assistance to established a group management structure for Koperasi Serba Usaha Suka Makmur, Tanjung Mulia Village. The group management consist of 1 group manager, 1 group</p>	<p>Comply</p>

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	secretary, and 10 staff, to assist smallholder/cooperative operation and preparation for RSPO certification;	
<p>Criterion 6.2: There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.</p>		
<p>6.2.1 Communication and consultation procedures shall be documented. - Major compliance -</p>	<p>The company has a mechanism that regulates the activities of communication and consultation with stakeholders and set in the procedure, such as:</p> <ol style="list-style-type: none"> 1. Procedure: <i>Pemberian dan Tanggapan terhadap Permintaan Informasi</i>; Rev. 2 (Doc. No. ENC/SOP/08) dated 6 April 2015 which regulates the complete procedure for submission and responding to requests for information from stakeholders. 2. Procedure: <i>Keluh Kesah dengan Pihak Internal</i>, Rev 2 (Doc. No. SOP/025/HRA) dated 27 March 2015, which has been described in detail the procedures related to complaints and redress submitted by internal parties, incorporating internal flow chart in response to complaints. 3. Procedure: <i>Keluh Kesah dengan Pihak Eksternal</i>, Rev 2 (Doc. No. SOP/026/HRA) dated 27 March 2015, which has been described in detail the procedures related to complaints and redress submitted by external parties, completed with flow chart in response to complaints. <p>Responsible Person in conducting responses to communication and consultation in accordance with its authority (Manager Unit, GMO and Department Head), system response times to requests for information that is set up to 7 days if the responses are in authority Manager Unit, or a maximum of 25 working days if the information requires consultation of other departments or higher management levels associated with authority provide feedback information.</p> <p>Umbul Mas Wisesa POM: Based on the verification of documents "Buku Permintaan Informasi dan Tanggapan" in 2017, there are 13 types of incoming information and respond requests at Umbul Mas Wisesa POM, for example;</p> <ol style="list-style-type: none"> 1. Letter from Environment Agency of Labuhanbatu Selatan Regency No. 660/ 901/DLH-2/VII/2017 dated 6 October 2017 related CSR fund collection for planting trees; it has been responded and fund approved on 10 October 2017. 2. Letter from Regent of Labuhanbatu Selatan No.005/1581/KESRA/2017 dated 7 August 2017 related to invitation of meeting on Indonesian independence day festival; has been responded on 9 August 2017 that it will be attended by Field Head Assistant. <p>Based on record verification of "Rekaman Keluh Kesah</p>	<p>Comply</p>

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	<p>Internal dan Eksternal”, in 2017, there are types of incoming complaints at Umbul Mas Wisesa POM mostly area about housing condition, for example: complaint from Heri S. Sirait, on 17 February 2017 related to leaked septic tank, responded by Mill Manager that it was fixed; complaint from Agung Nugroho, on 27 July 2017 related to cracked bathroom floor, responded by Mill Manager that it was fixed.</p> <p>UMW North Estate; Based on the verification of documents of “Information Request and Answer – Permintaan Informasi dan Jawaban”, in 2017 there are 9 types of incoming information requests at Umbul Mas Wisesa North Estate for example;</p> <ol style="list-style-type: none"> 1. Requests for information from Mr. L. Sijabat & Siahaan on 20 April 2017, requesting information related job vacancy, and has been responded on 20 April 2017 by Field Head Asistant. 2. Requests for information from Mr. Edy Syahputra on 10 July 2017, requesting information regarding open day of Cooperative OMI, responded by Field Head Assistant. <p>Based on record verification of “Rekaman Keluh Kesah Internal dan Eksternal”, in 2017, there are 5 types of incoming grievances at UMW North Estate for example: Grievance from Employee of UMWN, on 5 May 2017 related to deficit of clean water at housing and requesting a regular schedule, responded by Field Head Assistant and status closed on 20 May 2017.</p> <p>UMW South Estate; Based on the verification of documents of “Information Request and Answer – Permintaan Informasi dan Jawaban”, in 2017 there are 23 types of communication and/or consultation at Umbul Mas Wisesa South Estate for example;</p> <ol style="list-style-type: none"> 1. Letter from Regent of Labuhanbatu Selatan dated 19 December 2017 related to invitation to attend ceremony of “Hari Kesetiakawanan Sosial Nasional (HKSAN)”, has been responded on 20 December 2017 by Estate Manager that Mr. Lesman Simanjuntak will attend the event. 2. Letter from Village Head of Tanjung Mulia dated 7 November 2017 regarding request to borrow School Bus, has been responded by Estate Manager that on the same day that the School Bus condition in break down. <p>Based on record verification of “Rekaman Keluh Kesah Internal dan Eksternal”, in 2017 there is no grievance from External party, whilst from internal there are 10 types of incoming grievances, e.g.:</p> <ul style="list-style-type: none"> - From Mr Damri Harahap (Spraying supervisor) on 31 December 2017 regarding request to repair his house because there was broken pipe, septic tank, 	

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		<p>kitchen floor and window, has been responded by Estate Manager on 31 December 2017 that he approved the repair. On 5 January 2018 the house is repaired.</p> <ul style="list-style-type: none"> - From Mr. R. Marpaung on 3 April 2017 regarding request to repair bathroom floor of Al-Muhajirin Mosque, has been responded by Estate Manager stating that it repaired on 5 April 2017. <p>TUM Estate: Based on the verification of documents of "Information Request and Answer – Permintaan Informasi dan Jawaban", in 2017 there are 7 types of incoming information requests at TUM Estate for example;</p> <ol style="list-style-type: none"> 1. Requests for information from Mr. Anton (Supervisor upkeep) on 20 November 2017, requesting information related annual leave, and has been responded on 22 November 2017 by Estate Manager. 2. Requests for information from Mr. R. Hutabarat on 20 December 2017, requesting information regarding holiday for Christmas and 2018 new year, responded by Estate Manager. <p>Based on verification of "Rekaman Keluh Kesah External dan Internal" in 2017, there are 6 type of incoming grievances at Toton Usaha Mandiri, e.g:</p> <ul style="list-style-type: none"> - From employees of TUME on 27 October 2017 regarding lack of clean water supply, has been responded by Estate Manager on 28 October 2017, stating that Office Assistant will write request to UMW POM. - From Mr. Siahaan (Community) on 1 September 2017 regarding request for access to pass the company road, has been responded by Estate Manager on 1 September 2017, stating that community have to be patience, repair of external road is in progress. 	
6.2.2	<p>The company shall have official(s) who is responsible for consultation and communications with parties.</p> <ul style="list-style-type: none"> - Minor compliance - 	<p>Based on SOP No. ENC/SOP/08 (procedure of information request and response) revision 02, dated 6 April 2015 that according to the structure of the organization that is responsible to receive and make responses to requests for information or complaints internally/externally is Manager. However, in the operations in each of the Estate indicates that Senior Manager also appointed FHA (Field Head Assistant) and OA (Office Assistant) for communication with the surrounding community.</p>	Comply
6.2.3	<p>The company shall have a list of stakeholders, records of communications, including confirmation of receipt and that efforts are made to ensure understanding by affected parties, and records of actions taken in response to input from stakeholders.</p>	<p>The company has list of stakeholders, updated when changes occurred.</p> <p>Umbul Mas Wisesa POM has shown the list of stakeholders, last updated on 6 November 2017, the classifying stakeholders into:</p> <ol style="list-style-type: none"> 1. Government of Labuhanbatu Selatan, consists of 7 stakeholders such as the Regent, Vice Regent, Labor Agency, Health Agency, Environment Agency, and Land Agency. 	Comply

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<p>- Minor compliance -</p>	<p>2. MUSPIKA, consists of Head of Kampung Rakyat District, Police Head of Kampung Rakyat Sector, Police Head of Labuhanbatu Resort.</p> <p>3. Village Head and Community Leader, consist of Tanjung Mulia and Sei Siarti Village Head, Leader of Dusun Sidomulyo and Sidorukun, and Community Leader of Sidomulyo.</p> <p>4. Labor Union (Serikat Pekerja Umbul Mandiri SPUM).</p> <p>5. Contractors, consist of Cooperative Jaya Karyawan, CV Tua Gabe, and CV Sibirurang 71.</p> <p>6. Supplier; CV Tua Gabe.</p> <p>Umbul Mas Wisesa North Estate has shown the list of stakeholders, last updated 7 December 2017, they classifying stakeholders into:</p> <ol style="list-style-type: none"> 1. Labuhan Batu Regency government office consists of 8 stakeholders such as the Regent, Vice Regent, Labor Agency, Health Agency, Environment Agency, and Land Agency. 2. MUSPIKA, consists of Head of Panai Tengah District, Police Head of Labuhan Bilik Sector, Police Head of Labuhanbatu Resort. 3. Village Head and Community Leader, consist of Sei Siarti Village Head. 4. Labor Union (Serikat Pekerja Umbul Mandiri SPUM). 5. Contractors, consist of CV Sibirurang, CV Tua Gabe, and CV Firma. 6. Supplier; Koperasi Jasa Karyawan UMW. <p>Umbul Mas Wisesa South Estate has shown the list of stakeholders, last updated 6 November 2017, they classified stakeholders into:</p> <ol style="list-style-type: none"> 1. South Labuhanbatu Regency government office consists of 7 stakeholders such as the Regent, Vice Regent, Labor Agency, Plantation/Forestry Agency, Health Agency, Environment Agency and Land Agency (BPN). 2. MUSPIKA, consists of District Head of Kampung Rakyat, Police Head of Kampung Rakyat Sector and Police Head of Labuhanbatu Resort. 3. Village Head and Community Leader, such as Village Head of Tanjung Mulia, Community Leader of Sidomulyo and Sidorukun. 4. Unions (Serikat Pekerja Umbul Mandiri SPUM). 5. Contractors, consist of Cooperative Jasa Karyawan, CV Tua Gabe, CV Sibirurang 71, CV Putra Kualuh. 6. Supplier; CV Tua Gabe and PT Inti Cakrawala Citra. <p>Toton Usaha Mandiri Estate has shown the list of stakeholders, last updated 7 December 2017, they classified stakeholders into:</p> <ol style="list-style-type: none"> 1. Labuhan Batu Regency government office consists of 8 stakeholders such as the Regent, Vice Regent, Labor Agency, Health Agency, Environment Agency, and Land Agency. 2. MUSPIKA, consists of Head of Panai Tengah District, 	

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		<p>Police Head of Labuhan Bilik Sector, Police Head of Labuhanbatu Resort.</p> <p>3. Village Head and Community Leader, consist of Sei Siarti Village Head.</p> <p>4. Labor Union (Serikat Pekerja Umbul Mandiri SPUM).</p> <p>5. Contractors, consist of CV Sibirurang, CV Tua Gabe, and CV Firma.</p> <p>6. Supplier; Koperasi Jasa Karyawan UMW.</p> <p>Based on interview with community of Tanjung Mulia Villages, KSU Suka Makmur stated that the communication with company is going well. Access to information is easy. The company has appointed an officer to communicate with stakeholders by Estate manager, Office Assisstant and Field Head Assisstant.</p>	
<p>Criterion 6.3:</p> <p>There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all effected parties.</p>			
6.3.1	<p>The mechanism, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistleblowers, where requested, as long as that information is supported with adequate initial evidence.</p> <p>- Major compliance -</p>	<p>Based on document verification, PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri has a mechanism to resolve disputes such as "Prosedur Ganti Rugi Lahan" No. SOP/CA/02, dated 1 July 2012. The procedure shows company has prepared effective land dispute resolution mechanism: Company being transparent on permits, licenses including land title to the community; In case of claim from community, company will cater as long as valid land ownership evidence presented; Status verification – when valid land ownership evidence presented, continued with field visit/survey and measurement; Field visit/survey and measurement will involve company representative, complainant and government representatives; Based on field visit/survey and measurement, a minutes will be produced, attaching the hectare and coordinates of the claimed land – signed by all interested parties; Final verification to ensure no overlapping with other party; Once final verification can justified no overlapping occurred, company will propose land compensation/negotiation; Payment will be done once agreement between parties made.</p> <p>Internal complaint will be settled as per "Prosedur Keluh Kesah dengan Pihak Internal" No.SOP/025/Dept dated 27 March 2015.</p> <p>External complaint/grievance will be handled through, as per "Prosedur Keluh Kesah dengan Pihak Eksternal" Doc. No. SOP/025/Dept) dated 27 March 2015.</p> <p>Inside these procedures, company states the commitment to protect the anonymity of complainant/whistleblower (point 6.2) – if requested.</p>	Comply
6.3.2	<p>There shall be records of process and outcome of dispute resolution.</p> <p>- Major compliance -</p>	<p>Based on document verification and public stakeholder consultation with relevant authorities (Plantation service, Manpower service and Environmental), Worker union, Local contractor and Air Dikit traditional leader; shows there has been no land dispute between local community and company.</p>	Comply

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		<p>Based on interview with individual that received land compensation, stated during plantation early development, PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri had communicating the plans; for those willing to sell the land, companies carried out negotiation, up to compensation payment – without no coercion.</p> <p>Internal and external complaint has been recorded, resolved and documented. Complaint/grievance from internal parties collated under "Rekaman Keluh Kesah Internal & Eksternal", for example in June 2017 there are 13 types of complaint:</p> <ul style="list-style-type: none"> - Complaint from Mr. Z***** I**** on ** June 2017, related to broken kitchen floor and bathroom; responded by company with immediate renovation on the same date; - Complaint from Mr.T****, on ** June 2017 related to broken bathroom floor in the house; responded by renovation from company on next day; - Complaint from Mr. E**** S, dated ** June 2017 related to broken proch roof in the housing; responded by company on the next day, 16 June 2017; <p>In October 2017, there are 9 complaints from employees. Complaint from Mr. A** P, dated 16 October 2017 related to broken washing bay at housing. Company responded by repair on 18 October 2017 – closed on same day;</p> <p>External complaint (or request for assistance), recorded and verified:</p> <ul style="list-style-type: none"> - Complaint from community Malindo village dated 18 April 2017, regarding flood due to water canal leads to Barumon river got clogged. Community asked for company assistance to provide heavy machinery in order to clean the canal. Responded by company on 20 April 2017 by cleaning the canal using heavy machinery; - Complaint from community near water outlet, Pasir Limau Kapas and Sungai Tengah hamlet, regarding water puddle in their oil palm plantation due to clogged water canal – logged in 28 May 2017; request assistance from company to clean the water canal. The request then being responded by company on 31 May 2017 by providing manpower to clean waste that clogging the water canal – closed on same date. 	
<p>Criterion 6.4:</p> <p>Any negotiations concerning compensation for loss of legal, customary or user rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.</p>			
6.4.1	A procedure for identifying legal, customary or user rights, and a procedure for identifying people	Companies have completed their land compensation process. No more compensation. There is no new development in UMW and TUM Estate.	Comply

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<p>entitled to compensation, shall be available, referring to decision of the Constitution Court.</p> <p>- Major compliance –</p>	<p>However, company has a mechanism to settle land dispute as per "Prosedur Ganti Rugi Lahan" No.SOP/CA/02 dated 1 July 2012. The procedure shows company has prepared dispute resolution mechanism: Company being transparent on permits, licenses including land title to the community; In case of claim from community, company will cater as long as valid land ownership evidence presented; Status verification – when valid land ownership evidence presented, continued with field visit/survey and measurement; Field visit/survey and measurement will involve company representative, complainant and government representatives; Based on field visit/survey and measurement, a minutes will be produced, attaching the hectare and coordinates of the claimed land – signed by all interested parties; Final verification to ensure no overlapping with other party; Once final verification can justified no overlapping occurred, company will propose land compensation/negotiation. Payment will be done once agreement between parties made.</p> <p>This procedure is available in Bahasa Indonesia.</p> <p>Based on public stakeholder consultation with village communities from Sei Siarti village, Tanjung Mulia village and individuals being compensation, there has been no report related to land conflict/land dispute between local community and company.</p>	
<p>6.4.2</p> <p>A procedure for calculating and distributing fair compensation shall be established, implemented, monitored and evaluated in a participatory way. Corrective actions are taken as a result of this evaluation.</p> <p>- Minor compliance –</p>	<p>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri has completed the compensation of land and has no plans expansion/new land clearing so no land compensation process. Based on the verification of legal documents and the results of public consultation with village leaders around the state that no land dispute between the Company and other parties, including the surrounding communities. However, in anticipation of handling land disputes problems the company has had land dispute resolution mechanisms as set out in "Prosedur Ganti Rugi Lahan" No. SOP/CA/02, dated 1 July 2012. Its has been described mechanism for resolution of land compensation through the FPIC process (socialization), Document Verification and Land Rights Review and Measurement of land alongside joint mapping, Price Negotiation "Ganti Rugi Tanam Tumbuh/GRTT". Completeness RGTT are as follows; Application documents gauges, "Berita Acara Survey"/Minutes of Survey, Certificate of Land or "Surat Keterangan Tanah/SKT", Certificate of no dispute, Statement of Recognition of Rights, Statement of Heirs, Statement Own Land/Land for scheme smallholder (if any), Letter of Waiver working on arable land, letter of land compensation.</p> <p>The compensation evidence required is as follows: Measurement proposal document, minutes on land measurement, Land ownership or "Surat Keterangan Tanah/SKT", No dispute statement letter, Ownership statement (Surat Keterangan pengakuan Hak), Heir right</p>	<p>Comply</p>

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	<p>statement, Release of tenure right statement letter for rented land, land compensation. Record on identification and compensation process is well documented under "Dokumen Ganti Rugi Tanam Tumbuh/GRTT".</p> <p>Based on public stakeholder consultation with village communities from Sei Siarti village, Tanjung Mulia village and individuals being compensation, there has been no report related to land conflict/land dispute between local community and company.</p>	
<p>6.4.3</p> <p>Compensation claims, process and outcome of any negotiated agreements shall be documented, with evidence of the participation of affected parties.</p> <p>- Major compliance –</p>	<p>The documented procedure for calculating and distributing fair compensation (monetary or otherwise) is established and implemented. The compensation is calculated using government guidelines for land and crop values. This is already implemented. Details of negotiation settlements, including detail of compensation (land compensation, improvement compensation, crops compensation) are held in file "PT. UMW Land Compensation".</p> <p>Based on the verification of documents and evidence of Land Rights Review and Measurement of land alongside joint mapping, Price Negotiation "Ganti Rugi Tanam Tumbuh/GRTT". Completeness RGTT are as follows: Application documents of measurement, BA surveying, Certificate of Land and/or Surat Keterangan Tanah/SKT, Certificate of no dispute, Statement of Recognition of Rights, Statement of Heirs, Statement Own Land/Land for plasma (if any), Letter of Waiver working on arable land , letter of arable land compensation.</p> <p>Examples: Copies implementation process of Land (GRTG); on behalf of Mr. S***** T***** Mulia Villagers who have worked on in the concession area of PT. UMW area of 9 Ha located in Block C16, 17, 18, 19 and 20 in accordance with the evidence of mastery (SKT) No. 593/279/TML2002 dated 17 February 2002, of Compensation paid/received have been listed in the District People's Village, Tanjung Mulia and also Notary Lince Hutahayan,</p> <p>Letter of Land Compensation, land Inventory Results Measurement and Garapan made jointly witnessed by the village of Tanjung Mulia Party and the Group of landowners adjacent areas Area Map replaced Loss and Land Certificate or Surat Keterangan Tanah/SKT" of Mr. S***** T***** (SKT No.593/279/TML/ 2002, dated 17th February 2002).</p> <p>In PT. Toton Usaha Mandiri have been demonstrated across a copy of the agreement that has been agreed upon in the process of "Ganti Rugi Tanah Garapan (GRTG)" on the work area owned. Based recap GRTG process has been carried out on an area of 761.67 Ha in Sei Siarti Villages against 108 landowners. Sample verified: against Mr. K***** N***** for 9.99 Ha with evidence "Surat Keterangan Tanah/SKT Desa Sei Siarti No.593.3/785/1512/2004 dated 25 October 2007. Other supporting documents: Letter of Land Compensation, land Inventory Results Measurement and Garapan made</p>	<p>Comply</p>

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	<p>jointly witnessed by the village of Tanjung Mulia Party and the Group of landowners adjacent areas Area Map replaced Loss and Land Certificate or Surat Keterangan Tanah/SKT” of Mr. K***** N*****. Compesation paid on 25 October 2007.</p> <p>Audit team was verifying the status of any land dispute. Audit team reviewed document called “PT. UMW Land Compensation” and found there was no land compensation under dispute status.</p>	
<p>Criterion 6.5: Pay and conditions for employees and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.</p>		
<p>6.5.1 Documentation of pay and conditions for employees based on the existing manpower regulations shall be available. - Major compliance -</p>	<p>The company determines minimum wages as regulated by Government every year. The 2017 minimum wage refers to “Surat Keputusan Gubernur Sumatera Utara No.188.44/44/Kpts/Tahun 2017 tentang Upah Minimum Sektoral Kabupaten Labuhanbatu tahun 2017” dated 3 February 2017. The decree sets the minimum wage for plantation in Labuhan Batu Regency sets at Rp. 2,467,000/month.</p> <p>Furthermore, through Surat Keputusan Gubernur Sumatera Utara No.188.44/100/Kpts/2017 tentang Upah Minimum Sektoral Kabupaten Labuhanbatu Selatan”, dated 7 March 2017. The decree sets the minimum wage for plantation, forestry and fishery in Labuhanbatu Selatan Regency sets at Rp. 2,467,000/month.</p> <p>Company made agreement with the worker union to sets the minimum wage (basic salary + permanent benefit) at Rp. 2,512,000/month. Based on document review, it was noted that all workers paid accordingly. Umbul Mas Wisesa POM: based on document review Payslip in UMW POM – November 2017, e.g.</p> <ol style="list-style-type: none"> 1. Namely Mr. M***** K**** (Driver) <ul style="list-style-type: none"> - Basic Salary: Rp. 2,373,000 + Rice allowance: Rp. 299,250; - BPJS Ketenagakerjaan: Rp. 113,863; BPJS Kesehatan (Perusahaan): Rp. 94,920; overtime: Rp. 2,190,406; Electric subsidy: Rp. 17,500; - Total Salary: Rp. 5.098.386 2. Namely Mr. M**** A***** (Operator ETP) <ul style="list-style-type: none"> - Basic Salary: Rp. 2,500,000; - BPJS Ketenagakerjaan (insurance): Rp. 113,500; BPJS Kesehatan (Perusahaan): Rp. 100,000; Overtime: Rp. 1,213,896; - Total Salary: Rp. 3,927,396 3. Namely Mrs. M*** A T**** (Office Clerk) <ul style="list-style-type: none"> - Basic Salary: Rp. 2,373,000 + Rice allowance: Rp. 135.750; - BPJS Ketenagakerjaan: Rp. 113,863; BPJS Kesehatan (Perusahaan): Rp. 94,920; Overtime: Rp. 1,011,175; - Total Salary: Rp. 3,746,208 	<p>Comply</p>

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	<p>Umbul Mas Wisesa Estate: based on document review Payslip in UMW South Estate – October 2017, e.g.</p> <ol style="list-style-type: none"> 1. Namely Mr. K**** M***** (Reg.0087, manuring) <ul style="list-style-type: none"> - Basic Salary: Rp. 2,377,000 + Rice allowance: Rp. 420,825; - BPJS Ketenagakerjaan (insurance): Rp. 114,045; BPJS Kesehatan: Rp. 95,080; BPJS Pensiun : Rp. 50,240; Electric subsidy: Rp. 17,500; Other benefit: Rp.215,335; - Total Salary: Rp. 3,290,025 2. Namely Mr. B**** L**** (Reg.0131, Junior School Teacher) <ul style="list-style-type: none"> - Basic Salary: Rp. 2,512,000 + Rice allowance: Rp. 420,825; - BPJS Kesehatan (insurance): Rp. 100,480; BPJS Ketenagakerjaan: Rp. 120,174; BPJS Pensiun (Perusahaan): Rp. 52,940; Overtime: Rp. 512,728; Electric subsidy: Rp. 17,500; - Total Salary: Rp. 3,736,647 3. Namely Mr. S***** (Re.0177, Division Clerk) <ul style="list-style-type: none"> - Basic Salary: Rp. 2,523,000 + Rice allowance: Rp. 420,825; - BPJS Kesehatan (insurance): Rp. 100,920; BPJS Ketenagakerjaan: Rp. 120,673; BPJS Pensiun (Perusahaan): Rp. 53,160; Overtime: Rp. 507,144; Electric subsidy: Rp. 17,500; - Total Salary: Rp. 3,661,772 4. Namely Mrs. L***** M***** (Reg.102, Division clerk) <ul style="list-style-type: none"> - Basic Salary: Rp. 2,534,000 + Rice allowance: Rp. 135,750 - BPJS Ketenagakerjaan: Rp. 121,173; BPJS Pensiun (Perusahaan): Rp. 53,380; Overtime: Rp. 1,080,240; Electric subsidy: Rp. 17,500; - Total Salary: Rp. 3,942,043 <p>Toton Usaha Mandiri Estate, payslip record in November 2017, e.g:</p> <ol style="list-style-type: none"> 5. Namely Mr. A*** (Reg P25, Harvester) <ul style="list-style-type: none"> - Basic salary: Rp. 2375,000 + Rice allowance: Rp. 441,750; - BPJS Kesehatan (insurance): Rp. 95,000; BPJS Ketenagakerjaan: Rp. 113,954; BPJS Pensiun: Rp. 50,200; Premi: Rp. 1,165,522; Other benefit: Rp. 98,600; - Total Salary: Rp. 4,340,026 6. Namely Mrs. E** P***** (Reg 00202, Pest and disease) <ul style="list-style-type: none"> - Basic salary: Rp. 2,467,000; - BPJS Kesehatan (insurance): Rp. 98,680; BPJS Ketenagakerjaan: Rp. 112,002; BPJS Pensiun: Rp. 49,340 - Total Salary: Rp. 2,727,022 7. Namely Mr. R** A***** (Reg 0201, pest and disease) <ul style="list-style-type: none"> - Basic salary: Rp. 2,467,000 	

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		<ul style="list-style-type: none"> - BPJS Kesehatan (insurance): Rp. 98,680; BPJS Ketenagakerjaan: Rp. 112,002; BPJS Pensiun: Rp. 49,340; Other benefit: Rp. 396,000; - Total Salary: Rp. 3,123,022 <p>Related to minimum wage 2018, company has updated the latest decree, "Surat Keputusan Gubernur Sumatera Utara No. 188.44/641/KPTS/2017 tentang Penetapan Upah Minimum Kabupaten Labuhan Batu Selatan Tahun 2018" dated 24 November 2017. The decree stated minimum wage 2018 sets at Rp. 2,500,330/month. Based on interview with worker union, management and manpower office; company and worker union agreed to wait for sectoral minimum wage, usually issued by Governor on February/March each year. As agreed, the gap in minimum wage since January will be compensated on April.</p>	
6.5.2	<p>Collective Labor Agreement/Company Regulation, in accordance with the manpower regulations, shall be available in understandable language; and explained by the management or Labor Union to the workers.</p> <p>- Major compliance -</p>	<p>Worker Agreement (PKB) between company and labour union is referred in working regulation, Worker Agreement was approved by Surat Keputusan Dinas Tenaga Kerja dan Transmigrasi Provinsi Sumatera Utara No.26-6/DTK-TR/2017 tentang Perjanjian Kerja Bersama", dated 9 January 2017, valid until 8 January 2019 and also contract between company and each worker are available.</p> <p>Based on document review, it was noted that all workers has signed contract / work agreement, e.g:</p> <ul style="list-style-type: none"> - Contract (SPK) namely Mrs. M***** K**** (Driver/SKU-H), dated 1 December 2017, in UMW POM; - Contract (SPK) namely Mr. D*** P. N**** (Helper Dump Truck/PKWT), dated 1 April 2017, in TUM Estate; - Contract (SPK) namely Mr. K**** M***** (Manuring/SKU-H), dated 1 March 2011, in UMW-South Estate; - Contract (SPK) namely Mrs. M***** (Nurse/PKWT), dated 30 June 2017, in UMW-North Estate. <p>During interview was noted that the employee understood the contract. The contract including remuneration, salary, tax, special allowance, facilities received, leave on, working hours.</p>	Comply
6.5.3	<p>Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where such public facilities are unavailable or inaccessible.</p> <p>- Minor compliance -</p>	<p>The company has prepared facilities for their workers, such as:</p> <p>In Umbul Mas Wisesa POM updated in February 2017: housing (58 units), water filtration (1 unit), polyclinic (1 unit), mosque (1 unit), sports facilities (volley ball, futsal, football), elementary school and ambulance (1 unit), also electricity and clean water.</p> <p>In Umbul Mas Wisesa South Estate updated in February 2017: housing G-2 (161 units), water filtration (3 units), polyclinic (1 unit), mosque (1 unit), church (1 units), employee hall (1 unit), sports facilities (volley ball, table tennis, futsal, football), elementary school (1 unit), junior</p>	Comply

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		<p>high school (1 unit), and ambulance (1 unit), also electricity and clean water, incinerator (1 unit).</p> <p>In TUM Estate, there are 2 division and updating the employee facilities in February 2017, i.e: Housing (72 units), mosque (1 units), church (1 unit), kindergarten (1 unit), bus for school (1 unit), sport facilities (football, volley ball), incinerator (1 unit). Condition of worker housing is maintained; no clogged drain, no water puddle. Tall vertiver on the side of the drainage was maintained to keep children away from deep drainage. Notice board provided in prominent locations.</p> <p>The company provided free access to potable water, which has been tested regularly and meet government regulation.</p> <p>Based on field visit, the housing condition is generally in good condition. No housing extension, no tall grass, no water puddle noted.</p>	
6.5.4	<p>There shall be demonstrable efforts to improve workers' access to adequate, sufficient and affordable food.</p> <p>- Minor compliance –</p>	<p>The employees able to access traditional market and also there is cooperative in each estate to providing affordable food.</p> <p>The name of cooperative is "Koperasi Jaya Karyawan". Based on basket case review, the price was not significantly differ from market in Kota Pinang (Labuhanbatu Selatan Regency). Based on worker interview, the food price is reasonable, no complaint on price.</p>	Comply
<p>Criterion 6.6:</p> <p>The employer respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.</p>			
6.6.1	<p>A record of the company's policy in understandable language recognising freedom of association, shall be available.</p> <p>- Major compliance –</p>	<p>Recognizing of freedom association in "Kebijakan Kebebasan Berserikat", signed by President Director on 1 March 2014, which stated the company recognizes the role of lawful and independent workers and employees. Representative organization in creating a constructive working environment.</p> <p>Documentation and attendance list of socialization the company policy (including policy of freedom association), UMW South Estate, e.g:</p> <ul style="list-style-type: none"> - On 16 December 2017, was attended by 32 workers in Division 3 - On 11 January 2017, was attended by 61 workers in Division 2 - On 10 April 2017, was attended by 66 workers in Division 2 <p>UMW North Estate, e.g:</p> <ul style="list-style-type: none"> - On 31 October 2017, was attended by 55 workers in Division 3 	Comply

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		<ul style="list-style-type: none"> - On 4 December 2017, was attended by 76 workers in Division 3 - On 27 December 2017, was attended by 81 workers in Division 3. <p>Toton Estate, e.g:</p> <ul style="list-style-type: none"> - On 21 December 2017, was attended by 95 workers - On 23 August 2017, was attended by 73 workers in Division 2 - On 30 March 2017, was attended by 70 workers in Division 2. 	
6.6.2	<p>Records of meetings with labor unions or workers representatives shall be available.</p> <p>- Minor compliance –</p>	<p>Meeting with the company and labour union is conducted regularly, several meetings were held, e.g:</p> <ul style="list-style-type: none"> - On 18 January 2017, attended by 6 Labour union and company representatives in UMW North Estate discussion about; Mutation of Harvest supervisor and Promotion Harvest accounting; - On 4 January 2017, attended 5 Labour Union and company representatives UMW South Estate discussion about: standard of putting out to contract. Attendance list, minutes meeting and photograph are available; - On 7 November 2017 (UMW POM), discussing about preparation the "Review agenda rapat bulan Oktober 2017" discussing Handpunch (absence), permit exiting mill during working hour; and late-to-work disciplinary; - On 16 November 2017 (UMW North Estate and TUM Estate), discussing about preparation the "PPE distribution for worker, request for fogging – mosquito repellent in housing, involvement of worker union in minimum wage determination 2018" - On 4 January 2018 (UMWS), discussing about piece rate 2018) - On 13 September 2017 (UMW South Estate), discussing about "pasal 160 UU No. 13 Tahun 2013"; 	Comply
<p>Criterion 6.7: Children are not employed or exploited.</p>			
6.7.1	<p>There shall be documented evidence that minimum age requirements are met.</p> <p>- Major compliance –</p>	<p>Based on Management Agreement No.06/MA/ TT-UMW/12 dated 1 August 2012, PT. Umbul Mas Wisesa is a subsidiary of PT. Tolan Tiga Indonesia. Therefore any policy defined by PT. Tolan Tiga Indonesia is applicable in PT. Umbul Mas Wisesa, as well as policy related minimum ages, under Child Labour Policy signed by President Director dated 1 March 2014 that stated the company believes that children should have the right to education and a healthy life, and is committed to ensuring that children, under the age of 18 years, are not employed by the company for any work related purpose. The policy has been communicated to all level of worker. In UMW POM, latest dissemination conducted on 9 December 2017, attended by 66 participants.</p> <p>Interview made and verified against "Data Karyawan</p>	Comply

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	<p>UMW POM” confirmed that no workers was hired below 18 year. The youngest employee in UMW POM is Y*** G.S (Engine Room), date of birth ** March 1995, dated of employment 1 April 2014; A***** (Operator Efluent Treatment Pond), date of birth ** July 1996, dated of employment 1 December 2016; Agung Sriwijaya (Helper Boiler), date of birth ** August 1995, dated of employment 1 April 2014.</p> <p>Interview with sampled worker and verification against “Data Karyawan UMW Estate” confirmed that no workers was hired below 18 year. The youngest employee in UMW Estate are R***** W***** (P&D Census), date of birth ** February 1995, dated of employment 1 April 2015; H*** S***** (Harvester), date of birth ** June 1996, dated of employment 1 June 2015; M***** A***** (Spraying), date of birth ** April 1996, dated of employment 1 June 2016.</p> <p>Interview with sampled worker and verification against “Data Karyawan TUM” confirmed that no workers was hired below 18 year. The youngest employee in TUM Estate are K***** (Harvester), date of birth ** July 1994, dated of employment 13 December 2013; F**** W***** (Harvester), date of birth ** October 1994, dated of employment 1 June 2015.</p>	
<p>Criterion 6.8: Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.</p>		
<p>6.8.1</p>	<p>A company’s policy on equal opportunity and treatment for work shall be available and documented.</p> <p>- Major compliance –</p> <p>The company has policy for equal opportunities, under “Kebijakan Persamaan Kesempatan Kerja”, which stated that “The company is not discriminating against anyone in the recruitment practice or in the performance of the company business operation” dated 1 March 2013, signed by President Director.</p> <p>Documentation and attendance list of socialization the company policy (including policy for equal opportunities) in UMW South Estate, e.g:</p> <ul style="list-style-type: none"> - On 16 December 2017, was attended by 32 workers in Division III; - On 11 January 2017, was attended by 61 workers in Division II; - On 10 April 2017, was attended by 66 workers in Division II; <p>UMW North Estate, e.g:</p> <ul style="list-style-type: none"> - On 31 October 2017, was attended by 55 workers in Division III; - On 4 December 2017, was attended by 76 workers in Division III; - On 27 December 2017, was attended by 81 workers in Division III; <p>Toton Estate, e.g:</p>	<p>Comply</p>

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		<ul style="list-style-type: none"> - On 21 December 2017, was attended by 95 workers; - On 23 August 2017, was attended by 73 workers in Division II; - On 30 March 2017, was attended by 70 workers in Division III; <p>UMW POM: Socialization of policy for equal opportunities dated 9 December 2017 attended by 66 attendant consist of Assisstant, assistant head and workers. Socialization dated 13 December 2017 attended by 7 operators;</p>	
6.8.2	<p>Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated.</p> <p>- Major compliance –</p>	<p>Based on verification upon list of workers in UMW-POM, UMW North Estate and TUM Estate (as of January 2017), shows there is no indication of worker discrimination related to gender, race, religion or tribe.</p> <p>Based on interview with worker union, "Serikat Pekerja UMWE Mandiri" on behalf Mr. I.H, and interview with workers (sprayers, fertilizer applicator and harvesters) company does not discriminate any of the workers.</p>	Comply
6.8.3	<p>Records of evidence that equal opportunity and treatment for work shall be available.</p> <p>– Minor compliance -</p>	<p>Company has an equal employment opportunity policy, signed by President Director on 1 March 2014. The policy stated company will not discriminate anyone during recruitment, hiring or other business; Selection to fill in position based on qualification and experience. Violation against policy results in disciplinary action and could be legal action.</p> <p>Based on verification against employment document and interview with worker union "Serikat Pekerja UMW/TUM Mandiri", it is known that recquitment, hiring and promotion are based on test, considering the job type. Promotion done through yearly worker evaluation. As example; "Form Penilaian Karyawan SKU" consists of 10 evaluation parameters done by Evaluator (FA/TA/OA) and verified by Estate Manager.</p> <p>Working tools for workers are provided by company, as regulated by "Perjanjian Kerja Bersama/PKB". The provision of wheelbarrow was paid half by worker and half by company. Provision of other working tools for other upkeep/general work is provided by cooperative.</p>	Comply
<p>Criterion 6.9: There is no harassment or abuse in the work place, and reproductive rights are protected.</p>			
6.9.1	<p>A policy to prevent sexual and all other forms of harassment and violence, shall be documented, implemented and communicated to all levels of the workforce.</p> <p>- Major compliance –</p>	<p>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri has a policy to prevent sexual harassment under "Kebijakan Pelecehan Seksual", signed by President director on 1 March 2013. The policy stated: PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri uphold the laws under Republic of Indonesia related to sexual harassment; sexual harassment could occurs in form of physical contact, comments, jokes, exhibition or other behavior; All discrimination and sexual harassment complaint will be handle in good manner and confidential to achieve fair statement and reduce false accusation. There shall be no</p>	Comply

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	<p>false sexual harassment accusation. Sexual harassment applies equally – both men and women. Sexual harassment accusation with solid evidence could lead to disciplinary action including termination. False report on sexual harassment, without evidence could also lead to disciplinary action including termination and legal action. If a Manager is allegedly part of the problem then the report should be addressed in writing directly to Head Office Medan, attention to General Manager HRAD, and marked "Private/Confidential".</p> <p>The policy has been communicated to all level of workers, e.g. in UMW POM latest dissemination conducted on 9 December 2017, attended by 66 participants; UMW South conducted on 28 December 2017, attended by 73 participants from CWS; on 05/01/2018 at Division I, attended by 53 participants; on 08/01/2017 at Division II, attended by 61 participants; on 12/12/2017 at Division III, attended by 40 participants; on 27/12/2017 at Division IV, attended by 43 participants; on 07/12/2017 at Division V, attended by 57 participants; on 04/01/2018 at Division VI, attended by 60 participants; on 09/12/2017 at Division VII, attended by 57 participants; on 04/01/2018 at Division VIII, attended by 59 participants. In UMW North dissemination conducted for example on 30/10/2017 attended by 52 participants from Division I, 16 participants from Division II; on 21/12/2017 attended by 40 participants from Division III.</p> <p>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri have established gender committee to solve sexual harassment cases and enhance reproductive right for women workers. Organization Structure of GCoCG (Gender Committee Contact Group) updated on 30 November 2016. Gender committee conducts meeting regularly in monthly basis, e.g.</p> <ul style="list-style-type: none"> - Meeting on 11 October 2017, discussing on general issues throughout September 2017 and related to gender (minutes of meeting, attendance list and photograph as evidence). - Meeting on 7 November 2017, discussing on general issue throughout October 2017 and related to gender issue (minutes of meeting, attendance list and photograph as evidence). - Meeting on 9 December 2017, discussing on general issue throughout November 2017 and related to gender issue (minutes of meeting, attendance list and photograph as evidence). <p>No sexual harassment and violating of reproductive rights were noted during audit and interview with workers and gender committee leader and members. Until this surveillance period, there has no sexual harassment complaint received by the gender committee.</p>	

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<p>6.9.2</p> <p>A policy to protect the reproductive rights, shall be documented, implemented and communicated to all levels of the workforce.</p> <p>- Major compliance –</p>	<p>Company has a policy related to protection of reproductive rights, under Protection of Reproductive Rights Policy, signed by President Director on 1 March 2014. The policy stated that the company ensure that couples and individuals seeking medical services related to reproductive and sexual health are accommodated; and ensure that couples or individuals can freely decides when and how many children they want, and guarantee the right to information on conception. The policy covers provision of counseling related to sexuality, pregnancy, contraception aid, infertility, infection and sexually-transmitted-disease; sex education and gender; prevention and medication on reproductive infection including HIV/AIDS; Provision of pregnancy, delivery and ante-natal treatment; Baby and infant health service; Encourage male participation in sharing responsibility related to sexual behavior, during maternal period, HIV/AIDS and domestic violence.</p> <p>Pregnancy check employee performed monthly, the record seen in UMW South Estate, e.g:</p> <ul style="list-style-type: none"> - "Daftar Absensi Tenaga Kerja Wanita Hamil dan Menyusui", in December 2017 in Division I. Record noted that 1 pregnant worker from spraying worker, Mrs. NSS and 2 pregnant worker from manuring worker, namely Mrs. EF and Mrs. SU; and 2 breast-feeding worker from manuring worker, namely Mrs. OKU and Mrs. D. The workers were not working during the month. - "Daftar Absensi Tenaga Kerja Wanita Hamil dan Menyusui", in December 2017 in Division VIII. Record noted that 1 breast-feeding worker from spraying/manuring worker, namely Mrs. R. The worker is not working during the month. <p>Based on interview with gender committee, company has understood the implementation of protection on reproductive rights in form of menstruation leave issue, maternal leave, medical checkup for female worker, performing jobs related to agrochemical, prevention of domestic violence and other policy.</p> <p>The policy communicated through notification board and during gender committee meeting to workers.</p>	<p>Comply</p>
<p>6.9.3</p> <p>A specific grievance mechanism which respects anonymity of complainants where requested, and as long as they are supported with adequate information, shall be documented, implemented, and communicated to all workforce.</p> <p>- Minor compliance –</p>	<p>All discrimination and sexual harassment complaint will be handle in good manner and confidential to achieve fair statement and reduce false accusation. There shall be no false sexual harassment accusation. Sexual harassment applies equally – both men and women. Sexual harassment accusation with solid evidence could lead to disciplinary action including termination. False report on sexual harassment, without evidence could also lead to disciplinary action including termination and legal action.</p> <p>If a Manager is allegedly part of the problem then the report should be addressed in writing directly to Head Office Medan, attention to General Manager HRAD, and marked "Private/Confidential".</p>	<p>Comply</p>

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		<p>The policy has been communicated to all level of workers, e.g. in UMW POM latest dissemination conducted on 9 December 2017, attended by 66 participants; UMW South conducted on 28 December 2017, attended by 73 participants from CWS; on 05/01/2018 at Division I, attended by 53 participants; on 08/01/2017 at Division II, attended by 61 participants; on 12/12/2017 at Division III, attended by 40 participants; on 27/12/2017 at Division IV, attended by 43 participants; on 07/12/2017 at Division V, attended by 57 participants; on 04/01/2018 at Division VI, attended by 60 participants; on 09/12/2017 at Division VII, attended by 57 participants; on 04/01/2018 at Division VIII, attended by 59 participants. In UMW North dissemination conducted for example on 30/10/2017 attended by 52 participants from Division I, 16 participants from Division II; on 21/12/2017 attended by 40 participants from Division III.</p> <p>Based on interview with female worker (sprayers team), they understand the grievance mechanism.</p>	
<p>Criterion 6.10: Growers and mills deal fairly and transparently with smallholders and other local businesses.</p>			
6.10.1	<p>Current and past prices paid for Fresh Fruit Bunches (FFB), shall be publicly available.</p> <p>- Minor compliance -</p>	<p>Currently, the smallholder cooperative of PT. Umbul Mas Wisesa has been producing FFB. However, the FFB production has not been certified. Therefore the FFB production sold again to other mill, PT. Anugerah Tanjung Medan (non-RSPO). The agreement "Surat Perjanjian Kerjasama Jual Beli TBS No. 2016/UMW-TBS/01" dated 3 October 2016. The agreement regulates transport and delivery, price and payment and agreement timeframe.</p> <p>FFB price determined in accordance with "Peraturan Menteri Pertanian No.14 tahun 2013 tentang Pedoman Penetapan Harga Pembelian TBS Kelapa Sawit Produksi Pekebun". The price evaluation on weekly basis, and the FFB purchase price informed to cooperative. For example, on period 5-11 September 2017 the price Rp. 1,440/kg. And additional Rp.20/kg from price being determined by PT. Anugerah Tanjung Medan.</p>	Comply
6.10.2	<p>Pricing mechanisms for Fresh Fruit Bunches (FFB) and inputs/services shall be explained and documented (where these are under the control of the mill or plantation).</p> <p>- Major compliance -</p>	<p>Currently, the smallholder cooperative of PT. Umbul Mas Wisesa has been producing FFB. However, the FFB production has not been certified. Therefore the the FFB production sold again to other mill, PT. Anugerah Tanjung Medan. The agreement "Surat Perjanjian Kerjasama Jual Beli TBS No. 2016/UMW-TBS/01" dated 3 October 2016. The agreement regulates transport and delivery, price and payment and agreement timeframe.</p> <p>FFB price determined in accordance with "Peraturan Menteri Pertanian No.14 tahun 2013 tentang Pedoman Penetapan Harga Pembelian TBS Kelapa Sawit Produksi Pekebun". The price evaluation on weekly basis, and the</p>	Comply

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		<p>FFB purchase price informed to cooperative. For example, on period 5-11 September 2017 the price Rp. 1,440/kg. And additional Rp.20/kg from price being determined by PT. Anugerah Tanjung Medan.</p> <p>Based on interview with the smallholder cooperative, Koperasi Serba Usaha Suka Makmur, the member and committee has understood the FFB purchase price calculation.</p>	
6.10.3	<p>Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent.</p> <p>- Minor compliance -</p>	<p>Based on interview with local contractors confirmed that contract understood by them and made fairly, legal and transparent.</p> <p>Document seen:</p> <ul style="list-style-type: none"> - "Surat Perjanjian Kerjasama antara PT. Umbul Mas Wisesa dengan Koperasi Jasa Karyawan No. 04/UMW/KJK/V/2017" dated 1 May 2017. The scope of agreement related to provision of manpower for upkeep. The agreement valid for 1 year and can be extended as agreed. - "Surat Perjanjian kerja antara PT. Toton Usaha Mandiri dengan Koperasi Jasa Karyawan No.03/TUME/KJK/V/2017" dated 1 May 2017. The scope of agreement related to provision of manpower for upkeep. The agreement valid for 1 year and can be extended as agreed. <p>The work agreement available in Bahasa Indonesia.</p>	Comply
6.10.4	<p>Agreed payments shall be made in a timely manner.</p> <p>- Minor compliance -</p>	<p>Procedure for payment has been set in the contract. Record seen in 2017: FFB purchase payment for period 5-11 September 2017 the price Rp. 1,440/kg and additional Rp.20/kg, from price paid by PT Anugerah Tanjung Medan. Bank voucher payment on 30 September 2017 verified.</p>	Comply
<p>Criterion 6.11: Growers and millers contribute to local sustainable development where appropriate.</p>			
6.11.1	<p>Records of contributions to local development based on the results of consultation with local communities shall be available.</p> <p>- Minor compliance -</p>	<p>The Company has established a program of Community Development and Corporate Social Responsibility UMW-South Estate 2017 consists of 6 types of activities covering the infrastructure, Sports, Religious Art, Community Development and Social Economy sector with a total value of Rp. 2,174,401,000. Planning for community development program in 2018 is Rp.2,153,901,000.</p> <p>Program of Community Development and Corporate Social Responsibility in PT. Toton Usaha Mandiri Estate consists of 5 types of activities covering the fields of education, infrastructure, Sports, and Religious Art with a total value of Rp. 2,426,126 and realization in 2017 a total value of Rp. 45,257,225.</p> <p>Recording realization of social responsibility are documented in the recording File Help or Help Donate to the Community (Community Development records) respectively Estate. Based on verification of "Rekaman Bantuan Ke Masyarakat atau Bantuan Donasi", e.g:</p>	Comply

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		<p>UMW-South Estate, ;</p> <ul style="list-style-type: none"> - Infrastructure; road maintenance to Tanjung Medan, worth Rp 2,079,891,000; - Help for clean water on March 2017 of 6,000 liters; April 2017 of 3,000 liters; October 2017 of 3,000 liters; December 2017 of 3,000 liters; - Canal cleaning using heavy machinery on October 2017 of Rp.39,897,000; - Aid to education organization "Yayasan Pendidikan H. Usman" Rp. 500,000/month; <p>TUM Estate, record realization of Community Development in 2017, e.g:</p> <ul style="list-style-type: none"> - Donation for Kampung Rakyat District office's furniture on October 2017 valued Rp. 600,000; - Donation for independence day in July and August worth Rp.500,000; 	
6.11.2	<p>Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve scheme smallholder productivity.</p> <p>- Minor compliance -</p>	<p>The Company does not have outgrower schemes, but at present the PT. UMW has a joint venture partnership with surrounding communities through cooperation TBS supplied in containers Cooperative smallholders. Currently the company (on behalf of PT Umbul Mas Wisesa) has formed a partnership with three cooperatives in KSU Suka Makmur, Koperasi Konsumen Rapi Rejeki and Koperasi Produsen Tani Mulia Jaya.</p> <p>In interviews with head of KSU Suka Makmur (Mr HNK), stated that the cooperation supply TBS has begun in 2015 with the signing of the Cooperation Agreements with PT UMW which today Cooperative Suka Makmur has consisted of 66 farmers with a total area of oil palm plantations 132 Ha. The company has to provide guidance to the cooperative form of cooperative management training, and bridging Palm Cultivation Techniques farm management fees.</p> <p>PT. Umbul Mas Wisesa has appointed staff, which responsible to provide guidance to smallholder member. The partnership between company and Koperasi Serba Usaha Suka Makmur.</p> <p>Tutorial and guidance from company is helping farmer member. The guidance provided such as integrated pest management, manual upkeep, fertilizer regime and harvesting rotation.</p> <p>PT. Umbul Mas Wisesa has provided assistance to established a group management structure for Koperasi Serba Usaha Suka Makmur, Tanjung Mulia Village. The group management consist of 1 group manager, 1 group secretary, and 10 staff, to assist smallholder/cooperative operation and preparation for RSPO certification;</p>	Comply
Criterion 6.12:			
No forms of forced or trafficked labour are used.			
6.12.1	There shall be evidence that no forms of forced or trafficked labor are used.	The company has had a policy against Forced Labour or Trafficked Labour and Forced Labour adopted by President Director dated 1 March 2014, that is:	Comply

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<p>- Major compliance -</p>	<ul style="list-style-type: none"> - The Company does not use forced labor or trafficked workers either directly or through a third party. - The Company acknowledged that slave labor or trafficked labor can take many forms, all of which are equally unacceptable. Debt bondage or bonded labor employment relationship because the debt is considered forced labor. - The alleged use of forced labor or labor which are traded by the company's employees if proven would result in disciplinary action up to termination of employment and also can result in legal action. - Companies that do business with PT UMW required adhering to this policy. Violation of this policy if proven would result in disciplinary action up to termination of employment and also can result in legal action. <p>Documentation and attendance list of socialization the company policies (including policy against Forced Labour or Trafficked Labour and Forced Labour) in UMW South Estate, e.g:</p> <ul style="list-style-type: none"> - On 16 December 2017, was attended by 32 workers in Division III; - On 11 January 2017, was attended by 61 workers in Division II; - On 10 April 2017, was attended by 66 workers in Division II; <p>UMW North Estate, e.g:</p> <ul style="list-style-type: none"> - On 31 October 2017, was attended by 55 workers in Division III; - On 4 December 2017, was attended by 76 workers in Division III; - On 27 December 2017, was attended by 81 workers in Division III; <p>Toton Estate, e.g:</p> <ul style="list-style-type: none"> - On 21 December 2017, was attended by 95 workers; - On 23 August 2017, was attended by 73 workers in Division II; - On 30 March 2017, was attended by 70 workers in Division III; <p>UMW POM: Socialization of Policy against Forced Labour or Trafficked Labour and Forced Labour dated 9 December 2017 attended by 66 attendant consist of Assisstant, assisstant head and workers. Socialization dated 13 December 2017 attended by 7 operators;</p>	
<p>6.12.2</p>	<p>It shall be demonstrated that no contract substitution has occurred.</p> <p>- Minor compliance -</p>	<p>Comply</p>

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6.12.3	Where migrant/foreign/honorary workers are employed, a special worker policy and procedures and the evidence of implementation shall be available. - Major compliance -	The agreement for temporary workers is available and signed by workers. There is no migrant worker. For temporary worker, the work regulated under Koperasi Jasa Karyawan Umbul Mas Wisesa. The agreement signed: a. "Surat Perjanjian Kerja No.04/UMW/KJK/V/2017" dated 1 May 2017. Valid for 1 year, with work specification for upkeep work in PT. UMW South Estate and UMW North Estate. The agreement enforced the cooperative to abide the BPJS (insurance) regulation, minimum wage regulation, PPE use regulation and no underage worker. b. "Surat Perjanjian Kerja No.03/TUME/KJK/V/2017" dated 1 May 2017. Valid for 1 year, with work specification for upkeep work in PT. Toton Usaha Mandiri Estate. The agreement enforced the cooperative to abide the BPJS (insurance) regulation, minimum wage regulation, PPE use regulation and no underage worker. Based on verification, all worker has agreement with cooperative.	Comply
<p>Criterion 6.13: Growers and millers respect human rights.</p>			
6.13.1	A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations. - Major compliance -	Company has documented policy to respect human rights under Company Policy of Human Rights, signed by President Director on 1 March 2014. The policy stated that: - The company acknowledges human rights are universal and apply to all, without any form of distinction. - The company support implementation of of the international Bill of Human Right, and of the ILO declaration on Fundamental Principles and Right at Work, that has been ratified by Republic of Indonesia. - Accusations against violation of human rights, if proven, resulted in disciplinary action up to termination of work relation, and could cause legal action. Record seen: Documentation and attendance list of dissemination of the company policy (including a policy in protection of human rights), as follows: - At UMW POM on 9 December 2017, attended by 66 participants. - UMW South conducted on 28 December 2017, attended by 73 participants from CWS; on 5 January 2018 at Division I, attended by 53 participants; on 8 January 2017 at Division II, attended by 61 participants; on 12 December 2017 at Division III, attended by 40 participants; on 27 December 2017 at Division IV, attended by 43 participants; on 7 December 2017 at Division V, attended by 57	Comply

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		<p>participants; on 4 January 2018 at Division VI, attended by 60 participants; on 9 December 2017 at Division VII, attended by 57 participants; on 4 January 2018 at Division VIII, attended by 59 participants.</p> <ul style="list-style-type: none"> - In UMW North dissemination conducted for example on 30/10/2017 attended by 52 participants from Division I, 16 participants from Division II; on 21 December 2017 attended by 40 participants from Division III. <p>In Toton Usaha Mandiri Estate dissemination of company policy evident by muster chit field workers, e.g:</p> <ul style="list-style-type: none"> - On 4 January 2018, at Division I, attended by 34 Participants. - On 28 December 2017, at Division II, attended by 29 participants. 	
Principle 7: Responsible development of new plantings			
Criterion 7.1:			
A comprehensive and participatory independent social and environmental impact assessment is undertaken prior to establishing new plantings or operations, or expanding existing ones, and the results incorporated into planning, management and operations.			
7.1.1	An independent social and environmental impact assessment (SEIA), undertaken through a participatory methodology including the relevant affected stakeholders, shall be documented. - Major compliance -	<p>AMDAL documents have been provided where the parameters studied included the social aspect.</p> <p>PT. UMW and PT. TUM have a Document Social Impact Assessment conducted by the team of the Faculty of Forestry IPB in 2014 with the composition of the team: Handian Purwawangsa, S. Hut, M.Si (Team Leader), Udi Kusnidar, Sulfan Ardiansyah, Jimmy Syahrasyid outlining Impact positive and Negative development of plantation PT UMW – PT TUM incorporating Matrix PT UMW – PT TUM Social Management Plan consists of; Tenure, Establish communications and networking with stakeholders ang associated with PT UMW, Improving the quality of public education, public Health Quality Improvement, community economic empowerment and employment).</p> <p>In the SIA document described the Social Management Plan that outlines the type Programs, Activities, challenges, opportunities, strategies, output / Outputs and time frame.</p> <p>Community involvement at the time of preparation of the document through Focus Group Discussion (FGD) with community, such as:</p> <ul style="list-style-type: none"> - FGD in Sei Siarti village on 15 February 2014 which was attended by 26 participants, - PGD in Tanjung Mulia village on 16 February 2014 which was attended by 19 participants, - FGD with employees of PT UMW-S which took place on 14 February 2014 which was attended by 25 participants, 	Comply

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		<ul style="list-style-type: none"> - FGD with employees of PT UMW-North and PT TUM conducted on 15 February 2014 which was attended by 32 participants. <p>Documentation and attendance list are available.</p>	
7.1.2	<p>Appropriate management planning and operational procedures shall be developed and implemented to avoid or mitigate identified potential negative impacts.</p> <p>- Minor compliance -</p>	<p>Based on the verification of documents SIA shows that the report has been equipped with a management plan social recommended to increase the positive impacts and minimize the negative impact of oil palm plantation development by involving the affected communities as in table IX-1. "Rencana Kelola Sosial PT. Umbul Mas Wisesa", including the type of programs, activities, challenges, opportunities, strategies, outcomes and due date implementation of the program.</p> <p>For PT. Toton Usaha Mandiri has development the plans for management and monitoring of social impacts to avoid or reduce negative impacts and promote positive ones as in table IX-1. "Rencana Kelola Sosial PT. Toton Usaha Mandiri", including the type of programs, activities, challenges, opportunities, strategies, outcomes and due date implementation of the program.</p> <p>Companies (both of PT. UMW and PT. TUM) regularly evaluate periodically the implementation of the RKL-RPL every 6 months, but if there is a change of operational activities that do specific evaluation of AMDAL documents, such as changes in the capacity of Mill and construction of Biogas Plant has conducted the environmental assessment as outlined in the "Dokumen Adendum Analisa Dampak Lingkungan Hidup (AMDAL)", RKL-RPL activities waste water treatment changes based Clean Development Mechanism (CDM) and changes in solid waste processing mill of PT. UMW in Sei Siarti and has been endorsed by the Governor of Sumatra Utara through Decree No. 188.44/430/KPTS/2013, dated 10 July 2013.</p> <p>Record seen:</p> <ul style="list-style-type: none"> - PT Umbul Mas Wisesa has prepared report on Environmental Management and Monitoring implementation (Laporan RKL-RPL) and sent report every 6 month to local government, e.g RKL-RPL report semester II 2017 (Period July – December 2017), base on reported by receipts from the Office Dishutubun South Labuhan Batu, the report is RKL - RPL second semester year 2017, dated 11 January 2018. - PT Toton Usaha Mandiri has prepared report on Environmental Management and Monitoring implementation (Laporan RKL-RPL) and sent report every 6 month to local government, e.g RKL-RPL report for period July – December 2017 has submitted to Environment agency of Labuhan Batu District on 8 January 2018 (letter no: 01/TUME/KLH-RI/2018), to Environment agency in North Sumatra 	Comply

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		Province on 10 th January 2018 (via Pandu Logistic – connote no 3037720805 5) and to ministry of environmental in Republic Indonesia on 10 January 2018 (via Pandu Logistic – connote no 3037720802 5).	
7.1.3	Where the development includes an outgrower scheme, the impacts of the scheme and the implications of the way it is managed shall be given particular attention. - Minor compliance -	PT. Umbul Mas Wisesa has appointed staff, which responsible to provide guidance to smallholder member. Tutorial and guidance from company is helping farmer member. The guidance provided such as integrated pest management, manual upkeep, fertilizer regime and harvesting rotation.	Comply
Criterion 7.2:			
Soil surveys and topographic information are used for site planning in the establishment of new plantings, and the results are incorporated into plans and operations.			
7.2.1	Soil suitability maps or soil surveys adequate to establish the long-term suitability of land for oil palm cultivation shall be available and taken into account in plans and operations. - Major compliance -	<p>Based on soil survey, it was found that mostly PT Umbul Mas Wisesa areas is peat soil, Map of peat soil is available in place with scale 1:20,000. Soil series (sources: Shuttle Radar for Topographic Mission (SRTM) 2006; path 57 Row 12, <i>Digital Rupabumi</i> Map scale 1:250,000 BAKORSURTANAL 2004, Field Observation 2010, consist of:</p> <ul style="list-style-type: none"> - <i>Lenggana</i> Series (LGN 3,4), <i>Typic haplohemist</i>, mature peat land, 15 – 75 % fibre peat, depth 0 – 5 meters, poor drainage (5,681 Ha – 91%) - <i>Mekar Jaya</i> (MKJ), <i>Sulfic endoaquept</i>, silty clay, poor drainage, depth 50-100cm and Galling (GLG), <i>Typic sulfaquept</i>, depth 50cm (464 Ha – 7%). - Organic clay/muck, <i>Typic humaquepts</i> organic clay, high water table during raining days, acid sulphate at within 50 cm (91 Ha – 2%). <p>Soil profile map in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri was available made on 16 July 2013, sources:</p> <ul style="list-style-type: none"> - Survey GPS – Geo XT Differential correction - Satellite Image - JH Agriculture Service <p>Soil slopes class map PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri is available base on soil survey on 10 February 2014.</p> <p>TUM Estate: Semi detail soil survey report of PT. Toton Usaha Mandiri carried out in June 2010. Total area surveyed 1,484 Ha, the entire area is low lying flat, dominant soil series is <i>Lenggana</i> series, <i>Typic haplohemist</i>, peat soil), peat depth is 3 meters to > 5 meters. consist of: <i>Lenggana</i> Series (LGN 3,4), <i>Typic haplohemist</i>, mature peat land, decomposed hemist peat material, fiber</p>	Comply

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		<p>content 16-75% woody, peat depth 3 to > 5 meters, poor drainage (1,428 Ha – 100%). The soil map is available in scale 1:20,000.</p> <p>Company has also prepared all infrastructure for the palm cultivation in peat area. Started from construction of road network, planting hole-in-hole. PT. Umbul Mas Wisesa has prepared the drainage to maintain water level in peat area, comprise of main/primary drain, secondary drain and collection/field drain. The size and configuration (width, depth) of each drain has follow regulation. The drain network has also been complemented with water gate infrastructure – taking into consideration the water inlet and water outlet, water level history, as well as topography in landscape level.</p>	
7.2.2	<p>Topographic information adequate to guide the planning of drainage and irrigation systems, roads and other infrastructure shall be available and taken into account in plans and operations.</p> <p>- Minor compliance -</p>	<p>Based on soil survey on 10 February 2014 and slopes class map, all of PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri area is low lying flat or included into the class of Flat-undulating (0-2°) and relatively without slope above a certain limit.</p> <p>It is a company policy to stop land clearing for area with slope more than 25°. Based on field visit and document review, the current management for area with slope up to 25° is to apply terrace contour, platform. Management strategy for replanting plan is to take into consideration the current planting map, soil type map, topographic map, HCV map, and rainfall data and activity schedule.</p> <p>Based on field visit, there is no opening up area with slope more than 25°.</p>	Comply
<p>Criterion 7.3:</p> <p>New plantings since November 2005 have not replaced primary forest or any area required to maintain or enhance one or more High Conservation Values.</p>			
7.3.1	<p>There shall be evidence that no new plantings have replaced primary forest, or any area required to maintain or enhance one or more High Conservation Values (HCVs), since November 2005. New plantings shall be planned and managed to best ensure the HCVs identified are maintained and/or enhanced (see Criterion 5.2).</p> <p>- Major compliance –</p>	<p>The company has planted some of areas before HCV identification was conducted by YASBI in 2009. For those areas, the company has gone through the “Compensation and Remediation Plan” and it has been approved by RSPO in February 2015.</p> <p>PT. Umbul Mas Wisesa has also has gone through NPP process and it has been announced in RSPO website in December 2014.</p> <p>The compensation plan is monitored and implemented well by the company.</p> <p>In order to comply with “RSPO Remediation and Compensation Procedure, November 2015”, PT. Umbul Mas Wisesa demonstrating the annual report and annual working plan for company’s off-site compensation project to CAB. The compensation project in form of PT. SIPEF Biodiversity Indonesia, was obtained in September 2013, a license to manage a 12,672 Ha forest area under very high risk of deforestation. The area is located in Mukomuko Regency, Bengkulu Province, Indonesia – with</p>	Comply

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	<p>the "Hutan Produksi Terbatas Air Manjuntjo (reg.62)". The forest concession is a critical buffer zone to the "Kerinci Seblat National Park". PT. SBI obtained the license type "Izin Usaha Pemanfaatan Hasil Hutan Kayu-Restorasi Ekosistem/IUPHHK- RE", issued by Ministry of Forestry thorough permit "Surat Keputusan Menteri Kehutanan No.SK.622/MENHUT-II/2013 untuk Izin Usaha Pemanfaatan Hasil Hutan Kayu Restorasi Ekosistem seluas 12,672 Ha" dated 17 September 2013. The permit valid from 17 September 2013 up to 16 September 2072, located in Mukomuko Regency, Bengkulu Province.</p> <p>The report for 2017 available under "Rencana Kerja Tahunan Usaha Pemanfaatan Hasil Hutan Kayu Restorasi Ekosistem Dalam Hutan Alam Pada Hutan Produksi Tahun 2018 PT. SIPEF Biodiversity Indonesia – Bab III Pelaksanaan Kegiatan Tahun 2017". The report comprise of: <i>realisasi temu gelang 100% dan penetapan areal kerja melalui "Surat Keputusan Kepala BKPM No.SK10/1/IUPHHK-RE/PMDN/2017 tentang Penetapan Areak Kerja Izin Usaha Pemanfaatan Hasil hutan Kayu Restorasi Ekosistem dalam Hutan Alam atas nama PT.SIPEF Biodiversity Indonesia seluas 12.655,82 Ha di Kabupaten Mukomuko Provinsi Bengkulu"</i>, boundary arrangement for operation area (16,248 km/163 poles) – 100%; boundary arrangement for working area of 1.063 Ha/22 working partitions – 110%; opening access to limited forest (as per "SK Kepala Dinas Lingkungan dan kehutanan Provinsi Bengkulu No.49/IV-2/TAHUN 2017 tentang Izin Penggunaan Koridor" dated 19 June 2017), road construction, construction of control tower, installation of electricity – 100%; nursery of 115.015 seedlings; planting of 24.549 trees in Sei Kiang, planting in 10 "Kelompok Tani Hutan 2016" composed of 92.571 trees; planting in 10 "Kelompok Tani Hutan 2017" composed of 46.330 trees; Distribution to community 16,729 trees; Maintenance of planted 1.570 trees i block F2 Lubuk Pinang, 4,057 trees in block AA28 Penarik, 1,500 trees in block H7 Sei Kiang; Monitoring of wildlife using camera trap – list of wildlife caught on tape evident; patrol for each block has been carried out; social management – communication on project to surrounding villages, participatory mapping, enforcement of organization "Kelompok Tani Hutan".</p> <p>The working plan for 2018 available under "Rencana Kerja Tahunan Usaha Pemanfaatan Hasil Hutan Kayu Restorasi Ekosistem Dalam Hutan Alam Pada Hutan Produksi Tahun 2018 PT. SIPEF Biodiversity Indonesia" as approved through "Keputusan Kepala Dinas Lingknugan Hidup dan Kehutanan Provinsi Bengkulu No.42/IV.2/TAHUN 2018 tentang Persetujuan Rencana Kerja Tahunan Usaha Pemanfaatan Hasil Hutan Kayu Restorasi Ekosistem tahun 2018 PT. SIPEF Biodiversity Indonesia" dated 2 January 2018.</p> <p>Planting plan for "Restorasi Ekosistem tahun 2018"</p>	

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		<p>comprise of natural wood of 32,000 trees, fruit trees of 10,450 trees, native species 29,000 trees, under canopy species 2,200 trees.</p> <p>Delineation of working compartment 25.46 km equal to 262 boundary poles.</p> <p>Conflict resolution (illegal logging), encroachment for oil palm planting.</p>	
7.3.2	<p>Reports of comprehensive HCV assessment, which involves stakeholder consultation and includes record of land-use change since November 2005, shall be available. This HCV assessment shall be conducted prior to any conversion or new planting.</p> <p>- Major compliance –</p>	<p>PT. Umbul Mas Wisesa (UMW) has identified by “Yayasan Kelapa Sawit Berkelanjutan” in 2009, referring “Indonesian HCV Toolkit, 2008”. Total HCV areas was identified is 196.09 Ha and consist of 167 Ha is <i>Hutan Konversi</i> and riparian covering 20.79 Ha – in form of wildlife corridor.</p> <p>PT. Toton Usaha Mandiri (TUM) has identified High Conservation Value (HCV) in 2009 conducted by the Foundation for Sustainable Palm Oil Indonesia (YASBI) as outlined in the Assessment Report HCV/HCV PT. Toton Usaha Mandiri in 2009. In the report described the HCV areas found in working area of PT. TUM i.e. HCV 1, HCV 3 and HCV 4 with a total area of 57.5 Ha in the form of conservation forest area of 39.30 hectares, Border drain and corridors covering an area of 2.38 hectares.</p> <p>Public Consultation to the surrounding community have been conducted on 18 November 2009 at the Office of PT. Umbul Mas Wisesa, which was attended by representatives of leaders 'local community', the sub-district and the villages (Desa Tanjung Mulia, Sei Toras, Sei Siarti) in accordance with the document "Notulensi Publik Penilaian Nilai Konservasi Tinggi –NKT (HCV)".</p>	Comply
7.3.3	<p>Records of land preparation and clearing dates shall be available.</p> <p>- Minor compliance –</p>	<p>The company has record of land commencement in “Hectare Statement”.</p>	Comply
7.3.4	<p>An action plan shall be developed that describes operational actions consequent to the findings of the HCV assessment, and that references the grower’s relevant operational procedures. (see Criterion 5.2)</p> <p>- Major compliance –</p>	<p>The company has established Program Management of HCV PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri 2017 consists of seven types of activities, for example Patrol Jungle Guard, Upkeep Corridor HCV, Planting Areas HCV-Corridor, Installation and Monitoring Camera Trap, maintenance board warning NKT, maintenance peg HCV, and the HCV Corridor peg.</p> <p>The Identity signboard HCV in 8 places are intact, for example: Block J22, H24, H18 and K20. Also made the installation of Identity signboard HCV in 3 places (Block K21, K20).</p> <p>Based on interviews and field visits in the village of Tanjung Mulia showed that PT. Umbul Mas Wisesa has communicated the HCV management program, including the types of flora and fauna are protected, for example posters fauna protected in Tanjung Mulia.</p> <p>Companies have appointed special officers to manage Areal HCV is Mr. Arbiyah Mutholib (Coordinator), Erwin Syahputra (Ranger – Water management team), Rivai Hamdani (Ranger – Water Management team) in</p>	Comply

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	<p>accordance with the Memorandum dated 22 August 2013. The Company has established Job Description Position: Field Conservation Technician ("Rangers") that describes the job description, responsibilities and procedures for their work relationship.</p> <p>Report on the monitoring of flora and fauna contained in "Laporan Kegiatan Pengelolaan Area Bernilai Konservasi Tinggi Periode Januari-Desember 2017 di PT. Umbul Mas Wisesa dan PT. Toton Usaha Mandiri" reported to the "Badan Konservasi Sumber Daya Alam/BKSDA Kabupaten Labuhan Batu Selatan". The report explains all activities by team in January-December 2017, including: monitoring of wildlife and flora; eradication of threat in HCV area (wild animal snares, fish net); controlling invasive species in HCV corridor; planting and upkeep forest/native species trees, such as "Trembesi" (Albizia saman), "Ketapang" (Terminalia catappa), "Meranti" (Shorea sp), "Tenggek Burung" (Euodia ridleyi) and "Kayu Ara" (Ficus sp.);</p> <p>Based on monitoring on wildlife identified 2 species under status Endangered (EN) "Bangau Bluwok" (Mycteria cinerea) and "Ungko" (Hylobates agilis); 4 species with status Vulnerable (VU) namely "Bangau Tongtong" (Leptoptilos javanicus), "Beruk" (Macaca nemestrina), "Lutung Kedih" (Presbytis thomasi) and "Lutung Kelabu" (Presbytis cristatus); there was also 4 species with status Near Threatened (NT) namely "Udan Pauh Total" (Pelecanus philippensis), "Julang Jambul Hitam" (Aceros corrugatus), "Rangkong Badak" (Buceros rhinoceros) and "Rangkong Papan" (Buceros bicornis); 1 species under status Least Concern (LC) namely "Julang Emas" (Aceros undulates).</p> <p>Based on field verification: HCV area is in good condition/maintained. No indication of animal snare/trap or illegal logging. The HCV monitoring carried out by special officer (Ranger). HCV area have been delineated on the ground in form of moat and HCV identity signboard. No-hunting signboard are erected, and in good condition. The HCV corridor has been introduced with forest plant:"Trembesi" (Samanea saman), "Ketapang" (Terminalia catappa), "Meranti" (Shorea sp), "Tenggek Burung" (Euodia ridleyi), "Kayu Ara" (Ficus sp). During visit, these tree are well-grown and maintained.</p>	
<p>7.3.5</p>	<p>Areas required by affected communities to meet their basic needs, taking into account potential positive and negative changes in livelihood resulting from proposed operations, shall be identified in consultation with the communities and incorporated into HCV</p>	<p>Comply</p>

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	<p>assessments and management plans (see Criterion 5.2).</p> <p>- Minor compliance -</p>	<p>Usaha Mandiri in 2009. In the report described the HCV areas found in working area of PT. TUM i.e. HCV 1, HCV 3 and HCV 4 with a total area of 57.5 Ha in the form of conservation forest area of 39.30 hectares, Border drain and corridors covering an area of 2.38 hectares.</p> <p>From the information, assessor team did not found HCV 5 and HCV 6 in the area of PT. UMW and PT. TUM. However, company has demonstrated commitment to protect and conserve water source – for the need of surrounding community.</p>	
<p>Criterion 7.4: Extensive planting on steep terrain, and/or marginal and fragile soils, including peat, is avoided.</p>			
7.4.1	<p>Maps identifying marginal and fragile soils, including excessive gradients and peat soils, shall be available and used to identify areas to be avoided.</p> <p>- Minor compliance -</p>	<p>Based on soil survey, it was found that mostly PT. Umbul Mas Wisesa areas is peat soil, Map of peat soil is available in place with scale 1:20,000. Soil series (sources: Shuttle Radar for Topographic Mission (SRTM) 2006; path 57 Row 12, Digital Rupabumi Map scale 1:250,000 BAKORSURTANAL 2004, Field Observation 2010, consist of:</p> <ul style="list-style-type: none"> - <i>Lenggana Series</i> (LGN 3,4), <i>Typic haplohemist</i>, mature peat land, 15 – 75 % fibre peat, depth 0 – 5 meters, poor drainage (5,681 Ha – 91%) - <i>Mekar Jaya</i> (MKJ), <i>Sulfic endoaquept</i>, silty clay, poor drainage, depth 50-100cm and <i>Galling</i> (GLG), <i>Typic sulfaquept</i>, depth 50cm (464 Ha – 7%). - Organic clay/muck, <i>Typic humaquepts organic clay</i>, high water table during raining days, acid sulphate at within 50 cm (91 Ha – 2%). <p>Soil profile map in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri was available made on 16 July 2013, sources:</p> <ul style="list-style-type: none"> - Survey GPS – Geo XT Differential correction - Satellite Image - JH Agriculture Service <p>Soil slopes class map PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri is available base on soil survey on 10th February 2014.</p> <p>TUM Estate: Semi detail soil survey report of PT. Toton Usaha Mandiri carried out in June 2010. Total area surveyed 1,484 Ha, the entire area is low lying flat, dominant soil series is <i>Lenggana series, Typic haplohemist</i>, peat soil), peat depth is 3 meters to > 5 meters. consist of: <i>Lenggana Series</i> (LGN 3,4), <i>Typic haplohemist</i>, mature peat land, decomposed hemist peat material, fiber content 16-75% woody, peat depth 3 to > 5 meters, poor drainage (1,428 Ha – 100%). The soil map is available in scale 1:20,000.</p>	Comply

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Criterion / Indicator		Assessment Findings	Compliance
		Based on soil survey on 10 February 2014 and slopes class map, all of PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri area is low lying flat or included into the class of Flat-undulating (0-2°) and relatively without slope above a certain limit.	
7.4.2	<p>Where limited planting on fragile and marginal soils, including peat, is proposed, plans shall be developed and implemented to protect them without incurring adverse impacts.</p> <p>- Major compliance -</p>	<p>For peat soil, companies have prepared "Work Instruction Water Management PT. Umbul Mas Wisesa & PT. Toton Usaha Mandiri". The work instruction has also been prepared to monitor water management performance. Monitoring and recording water level and water table in two weeks interval – as well as take immediate action, to open/close water gate accordingly, in order to maintain water level in optimum level. This has been supported by trained supervisor.</p> <p>Company has also prepared all infrastructure for the palm cultivation in peat area. Started from construction of road network, planting hole-in-hole. PT. Umbul Mas Wisesa has prepared the drainage to maintain water level in peat area, comprise of main/primary drain, secondary drain and collection/field drain. The size and configuration (width, depth) of each drain has follow regulation. The drain network has also been complemented with water gate infrastructure – taking into consideration the water inlet and water outlet, water level history, as well as topography in landscape level.</p> <p>Company has developed a water management plan, for cultivation of oil palm in peat soil. This document has been cascaded into "Program Kerja Water Management tahun 2017", available for each estate.</p> <p>In order to monitor water level at optimum level, company has installed water level pole (near water gate) to monitor water level; installed piezometer (inside plantation blocks) to monitor the water table); and installing 8 peat subsidence poles, in order to monitor peat subsidence on annual basis.</p> <p>A yearly report the produced to review and evaluate the water management performance for future planning.</p> <p>For (any) planting on slope area; It is a company policy to stop land clearing for area with slope more than 25°. Based on field visit and document review, the current management for area with slope up to 25° is to apply terrace contour, platform.</p> <p>Management strategy for replanting plan is to take into consideration the current planting map, soil type map, topographic map, HCV map, and rainfall data and activity schedule.</p> <p>Based on field visit, there is no opening up area with slope more than 25°.</p>	Comply
<p>Criterion 7.5:</p> <p>No new plantings are established on local peoples' land where it can be demonstrated that there are legal, customary or user rights, without their free, prior and informed consent. This is dealt with through a documented system that enables these and other stakeholders to express their views through their own representative</p>			

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Criterion / Indicator		Assessment Findings	Compliance
institutions.			
7.5.1	<p>Evidence shall be available that affected local peoples understand they have the right to say 'no' to operations planned on their lands before and during initial discussions, during the stage of information gathering and associated consultations, during negotiations, and up until an agreement with the grower/miller is signed and ratified by these local peoples.</p> <p>- Major compliance -</p>	<p>No more land compensation process, for planting after November 2005 in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri. However, in anticipation of handling land disputes problems the company has had land dispute resolution mechanisms as set out in "Prosedur Ganti Rugi Lahan" No. SOP/CA/02, dated 1 July 2012. Its has been described mechanism for resolution of land compensation through the FPIC process (socialization), Document Verification and UKTI Land Rights Review and Measurement of land alongside joint mapping, Price Negotiation "Ganti Rugi Tanam Tumbuh/GRTT". Completeness RGTT are as follows; Application documents gauges, Berita Acara Survey" – minutes of land survey, Certificate of Land or Surat Keterangan Tanah/SKT, Certificate of no dispute, Statement of Recognition of Rights, Statement of Heirs, Statement Own Land/Land for smallholder development (if any), Letter of Waiver working on arable land, letter of arable land compensation.</p>	Comply
<p>Criterion 7.6:</p> <p>Where it can be demonstrated that local peoples have legal, customary or user rights, they are compensated for any agreed land acquisitions and relinquishment of rights, subject to their free, prior and informed consent and negotiated agreements.</p>			
7.6.1	<p>Documented identification and assessment of demonstrable legal, customary and user rights shall be available.</p> <p>- Major compliance -</p>	<p>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri have prepared a map indicating previous landowners with recognized legal, customary or user rights. The map was prepared prior to initial land compensation process; carried out on an area of 6,468.60 hectares. In the first phase of an area of 1,923.03 Ha against 93 groups and 1,163 owners as well as the second stage is an area of 1,923.03 Ha against 18 group and 84 owners in the village of Tanjung Mulia and Sei Siarti.</p> <p>The same process carried out in PT. Toton Usaha Mandiri, for an area of 761.67 Ha in Sei Siarti Villages against 108 landowners.</p> <p>Based on document review and stakeholder consultation, there was no noted land dispute in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri plantation areas.</p>	Comply
7.6.2	<p>A system for identifying people entitled to compensation shall be in place.</p> <p>- Major compliance -</p>	<p>Companies have completed their land compensation process. No more compensation. There is no new development in UMW and TUM Estate.</p> <p>However, company has a mechanism to settle land dispute as per "Prosedur Ganti Rugi Lahan" No.SOP/CA/02 dated 1 July 2012. The procedure shows company has prepared dispute resolution mechanism: Company being transparent on permits, licenses including land title to the community; In case of claim from community, company will cater as long as valid land ownership evidence presented; Status verification – when valid land ownership evidence presented, continued with</p>	Comply

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Criterion / Indicator		Assessment Findings	Compliance
		<p>field visit/survey and measurement; Field visit/survey and measurement will involve company representative, complainant and government representatives; Based on field visit/survey and measurement, a minutes will be produced, attaching the hectare and coordinates of the claimed land – signed by all interested parties; Final verification to ensure no overlapping with other party; Once final verification can justified no overlapping occurred, company will propose land compensation/negotiation. Payment will be done once agreement between parties made. This procedure is available in Bahasa Indonesia.</p> <p>Based on public stakeholder consultation with village communities from Sei Siarti village, Tanjung Mulia village and individuals being compensation, there has been no report related to land conflict/land dispute between local community and company.</p>	
7.6.3	<p>A system for calculating and distributing fair compensation (monetary or otherwise) shall be in place.</p> <p>- Major compliance -</p>	<p>"Prosedur Ganti Rugi Lahan" No. SOP/CA/02, dated 1 July 2012. Its has been described mechanism for resolution of land compensation through the FPIC process (socialization), Document Verification and UKTI Land Rights Review and Measurement of land alongside joint mapping, Price Negotiation "Ganti Rugi Tanam Tumbuh/GRTT". Completeness RGTT are as follows; Application documents gauges, "Berita Acara Survey" – Minutes of Survey, Certificate of Land or "Surat Keterangan Tanah/SKT", Certificate of no dispute, Statement of Recognition of Rights, Statement of Heirs, Statement Own Land/Land for smallholder (if any), Letter of Waiver working on arable land, letter of arable land compensation.</p> <p>The compensation evidence required is as follows: Measurement proposal document, minutes on land measurement, Land ownership or "Surat Keterangan Tanah/SKT", No dispute statement letter, Ownership statement (Surat Keterangan pengakuan Hak), Heir right statement, Release of tenure right statement letter for rented land, land compensation. Record on identification and compensation process is well documented under "Dokumen "Ganti Rugi Tanam Tumbuh/GRTT".</p>	Comply
7.6.4	<p>Communities that have lost access and rights to land for plantation expansion shall be given opportunities to benefit from plantation development.</p> <p>- Minor compliance -</p>	<p>PT. Umbul Mas Wisesa has appointed staff, which responsible to provide guidance to cooperative and its smallholder member. The partnership between company and Koperasi Serba Usaha Suka Makmur in form of FFB purchase from community. Tutorial and guidance from company is helping farmer member. The guidance provided such as integrated pest management, manual upkeep, fertilizer regime and harvesting rotation.</p>	Comply
7.6.5	<p>The process and outcome of any compensation claims shall be documented and made publicly available.</p> <p>- Minor compliance -</p>	<p>Record related to compensation process are maintained and made publicly available, as indicated in criterion 1.2.1.</p>	Comply

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Criterion / Indicator		Assessment Findings	Compliance
7.6.6	<p>Evidence shall be available that the affected communities and rights holders have access to information and advice, that is independent of the project proponent, concerning the legal, economic, environmental and social implications of the proposed operations on their lands.</p> <p>- Minor compliance -</p>	<p>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri have been able to demonstrate that during the development phase, company has explained the positive and negative impacts from oil palm plantation development.</p>	Comply
<p>Criterion 7.7:</p> <p>No use of fire in the preparation of new plantings other than in specific situations, as identified in the ASEAN guidelines or other regional best practice.</p>			
7.7.1	<p>There shall be no land preparation by burning, other than in specific situations, as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.</p> <p>- Major compliance -</p>	<p>UMW South Estate: No open burning was noted during field visit and interviewed with local communities and workers. "Prosedur Pencegahan dan Pengendalian Kebakaran Lahan" No.ENC/SOP/10 dated 1 February 2014 for prevention and control of fire. The company is using fire danger rating; risk differed by number of rainy day, rain fall, and or occurrence of fire at boundary. Umbul Mas Wisesa and Toton Usaha Mandiri Estate: "Laporan Patroli Ranger 2017", shows fire incident.</p> <p>No open burning was noted during field visit and interviewed with local communities and workers.</p> <p>UMW North Estate – TUM Estate: Record seen: - "Form Pengecekan Perlengkapan Perlatan dan BAKORTIBA" dated 3 January 2018, there is shows no fire; "Laporan Pemantauan Kebakaran – second semester 2017", reported to Agriculture Agency in Labuhanbatu Regency on 9 January 2018.</p>	Comply
7.7.2	<p>In exceptional cases where fire has to be used for preparing land for planting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.</p> <p>- Minor compliance -</p>	<p>No replanting. No open burning was noted for replanting. No use of fire for eradication of pest/disease.</p>	Comply

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Criterion / Indicator	Assessment Findings	Compliance	
<p>Criterion 7.8: New plantation developments are designed to minimise net greenhouse gas emissions.</p>			
<p>7.8.1</p>	<p>The carbon stock of the proposed development area and major potential sources of emissions that may result directly from the development shall be identified and estimated. - Major compliance -</p>	<p>The company has identified and estimated carbon stock using RSPO GHG Palm Tool. It was clear that the plantation cultivated on top of peat soil. The 2017 nett GHG emission from peat soil conversion to plantation calculated at 61664.21 tCO₂e or 0.38 tCO₂e/FFB.</p>	<p>Comply</p>
<p>7.8.2</p>	<p>There shall be a plan to minimise net GHG emissions which takes into account avoidance of land areas with high carbon stocks and/or sequestration options. - Minor compliance -</p>	<p>Identification of pollutant and mitigation plan, included GHG is documented in "Rencana Pengurangan Emisi Gas Rumah Kaca (GHG Emission) as defined in procedure of "Mitigasi Gas Rumah Kaca" (ENC/GHG/01. GHG emission identified and Mitigation of GHG. Company plan stipulates to stop further development at company's peat soil.</p>	<p>Comply</p>
<p>Principle 8: Commitment to continual improvement in key areas of activity</p>			
<p>Criterion 8.1: Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.</p>			
<p>8.1.1</p>	<p>The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria. As a minimum, these shall include, but are not necessarily be limited to:</p> <ul style="list-style-type: none"> • Reduction in use of pesticides(Criterion 4.6); • Environmental impacts (Criteria 4.3, 5.1 and 5.2); • Waste reduction (Criterion 5.3); • Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); • Social impacts (Criterion 6.1); • Optimising the yield of the supply base. 	<p>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri has prepared continual improvement plan, for the operational performance and compliance against regulations and other requirements (such as RSPO P&C NI standard). UMW POM Record verifications: - Director of Engineering Visit report Action Plan, dated 20th April 2017. - A continuous improvement plan has been prepared and internal audit conducted to identify environmental and social activities. The last internal audit on 9-11 November 2017 there were 18 issues raised related PnC RSPO. All of issues has been followed up and monitoring within management review report. Internal audit was conducted to checking and monitoring the implementation of company's procedure, RSPO principle and criterion and applicable requirements. The documentation such as: - UMW north, Visit Report on 30 October – 2 November 2017, there were 19 issues raised for P&C RSPO NI - TUM estate, Visit Report on 2 – 4 November 2017, there were 20 issues raised for RnC RSPO NI. - Both of all issued in North and TUM estate have been followed up and monitoring the progress under document of Management Review, dated 5 January 2018.</p>	<p>Comply</p>

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Criterion / Indicator		Assessment Findings	Compliance
	- Major compliance -	<ul style="list-style-type: none"> - Reduce the use of paraquat (4.6): Memorandum from "GMO Sumut" No.117/GMO-All Estate/XI/2016, dated 1 December 2015. The memorandum stating the use of paraquat as contact pesticide is not allowed as of 1 January 2017. Target: Zero use of paraquat effective since 1 January 2017. Target for circle and path spraying by SA15 sets at 5.5 Ha. - Waste reduction (5.3): To manage all medical waste from clinic; To construct septic tank in order to handle black water from housing and office; To construct and maintain concrete drainage to handle domestic waste water from all employee housing and office; - No use of power sprayer. 	

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Appendix B: Approved Time Bound Plan

Name of company	Name of Mill	Location	Supply Base	Time Bound Plan	Target Year for RSPO
PT. Agro Muko	Muko Muko Mill	Mukomuko Regency, Bengkulu Province, Indonesia	Muko Muko estate, S. Betung estate, Tanah rekah estate, Talang Petai estate, S. Kiang estate and KMD	2011	Certified
	Bunga Tanjung Mill	Mukomuko Regency, Bengkulu Province, Indonesia	Bunga Tanjung estate, Air Bikuk estate, Air Buluh estate and KMD	2011	Certified
			PT. Mukomuko Agro Sejahtera: - Air Majunto estate - Malin Deman estate	2014	Certified
PT. Tolan Tiga	Bukit Maradja Mill	Simalungun Regency, North Sumatera, Indonesia	- Bukit Maradja Estate (PT. Eastern Sumatra Indonesia) - Kerasaan Estate (PT. Kerasaan Indonesia) - PT. Timbang Deli Indonesia	2010 2018	Certified May 2010 Plan to certify
	Perlabian Mill	Labuhan Batu Selatan Regency, North Sumatera, Indonesia	Perlabian estate and Tolan estate.	2010	Certified May 2010
PT. Umbul Mas Wisesa	Umbul Mas Wisesa Mill	Labuhan Batu Selatan Regency, North Sumatera, Indonesia	UMW South estate, UMW North estate and Toton Usaha Mandiri estate	2014	Certified in March 2015
PT. Agro Kati Lama		Musirawas Regency, South Sumatera, Indonesia		2021	developed (It has been RSPO NPP), RSPO public Notification on 31 st March 2014.
PT. Agro Rawas Ulu		Musirawas Regency, South Sumatera, Indonesia		2024	developed (It has been RSPO NPP), RSPO public Notification on 31 st March 2014.
PT. Agro Muara Rupit		Musirawas Regency, South Sumatera, Indonesia		2024	developed (It has been RSPO NPP), RSPO public Notification on 31 st March 2014.
Hargy Oil Palm Limited (HOPL)	Hargy Mill	East of Bialla, West New Britain Province, PNG	Hargy Estate	2009	Certified in April 2009
	Navo Mill	50 Kms East of Bialla, West New Britain Province, PNG	Navo Estate, Bakada Estate and Mengan Estate	2009	Certified in April 2009
	Barema Mill	30 km East of Bialla, West New Britain Province, PNG	Barema Estate	2014	RSPO Certified in April 2014
PT. Dendy Marker Indah Lestari	Dendymarker Indahlestari Palm Oil Mill	Karang Dapo District, Musi Rawas Regency, Sumatera Selatan Province, Indonesia	Bingin Rupit 1 Estate and Bingin Rupit 2 Estate	2015	The most recent acquisition on 1 August 2017. RSPO certified in 2015.

Appendix C: GHG Reporting Executive Summary

The GHG emissions that were produced in **2017** for **Umbul Mas Wisesa POM** and supply base was calculated using the PalmGHG Calculator version 3.0.1. The assessment team had verified the data input in the PalmGHG Calculator against operations records. PalmGHG Calculation Options selected 'Full version' and 'Exclude LUC Emission' calculation option is not applied. The records verified includes:

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

The summary of the Net GHG emitted in 2017 for Umbul Mas Wisesa and supply base are as following:

Emission per product	tCO ₂ e/tProduct
CPO	11.41
PK	11.41

Extraction	%
OER	23.47
KER	3.81

Production	t/yr
FFB Process	160679
CPO Produced	37710
PKO Produced	6119

Land Use	Ha
OP Planted Area	8183.59
OP Planted on peat	8183.59
Conservation (forested)	243.69
Conservation (non-forested)	0
Total	8427.28

Summary of Field Emission and Sink

	Own Crop*		Group		3 rd Party		Total	
	tCO ₂ e	tCO ₂ e / FFB	tCO ₂ e	tCO ₂ e / FFB	tCO ₂ e	tCO ₂ e / FFB	tCO ₂ e	tCO ₂ e / FFB
Emission								
Land Conversion	61664.21	0.38	0	0	0	0	61664.21	0.38
CO ₂ Emission from fertilizer	11416.96	0.07	0	0	0	0	11416.96	0.07
NO ₂ Emmision	69747.99	0.43	0	0	0	0	69747.99	0.43
Fuel Consumption	1305.47	0.01	0	0	0	0	1305.47	0.01
Peat Oxidation	446824.02	2.78	0	0	0	0	446824.02	2.78
Sink								
Crop Sequestration	-76612.59	-0.48	0	0	0	0	-76612.59	-0.48
Conservation Sequestration	-2234.64	-0.01	0	0	0	0	-2234.64	-0.01
Total	512111.4	3.19	0	0	0	0	512111.4	3.19

	2						2	
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*Note: Includes both estates and smallholders

Summary of Mill Emission and Credit

	tCO ₂ e	tCO ₂ e/tFFB
Emission		
POME	0	0
Fuel Consumption	1389.37	0.01
Grid Electricity Utilisation	0	0
Credit		
Export of Grid Electricity	0	0
Sales of PKS	-13461.8	-0.08
Sales of EFB	0	0
Total	-12072.43	-0.08

Summary of Kernel Crusher Emission and Credit (if applicable)

Emissions	tCO ₂ e
PK from own mill	69810.82
PK from other source	0
Fuel Consumptions	0
Total Crusher emissions	0

*This mill has no kernel crusher operation.

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

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

Appendix D: CPO Mill Supply Chain Assessment Report (General Chain of Custody Requirements for the Supply Chain and Module D - CPO Mills: Identity Preserved)

General Chain of Custody Requirements for the Supply Chain			
Requirement		Evidence	Compliance (Yes/No/N/A)
5.1 Applicability of the general chain of custody requirements for the supply chain			
5.1.1	The General Chain of Custody requirements of the RSPO Supply Chain Standard shall apply to any organization throughout the supply chain that takes legal ownership and physically handles RSPO Certified Sustainable oil palm products at a location under the control of the organization including outsourced contractors. After the end product manufacturer, there is no further requirement for certification.	PT. Umbul Mas Wisesa – Umbul Mas Wisesa POM is part of the RSPO supply chain, as the organization takes legal ownership and physically handles RSPO Certified Sustainable oil palm products – therefore this requirements is applicable.	Yes
5.1.2	Traders and distributors require a licence obtained from RSPO to sell RSPO certified product but do not themselves require certification. When selling RSPO certified product a licensed trader and/or distributor must pass on the certification number of the product manufacturer and the applicable supply chain model.	PT. Umbul Mas Wisesa – Umbul Mas Wisesa POM is not a trader or distributor. Not applicable.	N/A
5.1.3	Either the operator at site level or its parent company seeking certification shall be a member of the RSPO and shall register on the RSPO IT platform.	PT. Umbul Mas Wisesa is subsidiary of SIPEF Group, a member of RSPO, with RSPO membership No. 1-0021-05-000-00 since 7 December 2005. RSPO IT Platform account RSPO_PO1000001670.	Yes
5.1.4	Processing aids do not need to be included within an organization’s scope of certification.	PT. Umbul Mas Wisesa – Umbul Mas Wisesa POM does not include any processing aid into scope of certification.	Yes
5.2 Supply chain model			
5.2.1	The site can only use the same supply chain model as its supplier or go to a less strict system. Declassification/downgrading can only be done in the following order: Identity Preserved -> Segregated -> Mass Balance.	All the supply base for Umbul Mas Wisesa POM is certified estates.	Yes
5.2.2	The site can use one (1) or a combination of supply chain models as	Umbul Mas Wisesa POM is using CPO Mills Module D: Identity Preserved.	Yes

	audited and certified by the CB.		
5.3. Documented Procedures			
5.3.1	<p>The site shall have written procedures and/or work instructions to ensure the implementation of all elements of the applicable supply chain model specified. This shall include at minimum the following:</p> <ul style="list-style-type: none"> • Complete and up to date procedures covering the implementation of all the elements of the supply chain model requirements. 	<p>Umbul Mas Wisesa POM has a procedure "Rantai Pasok dan Mampu Telusur No.ENC/SCC/01" dated January 2018. The latest procedures have highlighted and accommodated changes as per RSPO SCCS, June 2017.</p> <p>The procedure explains</p> <p>4.1.1 The harvesting procedure;</p> <p>4.1.3 Recording harvest production;</p> <p>4.1.4 Transporting the FFB and indicating the name of Estate, date of FFB delivery, transport detail, year of planting, block ID, total of bunches, identification of sustainable product; non-certified FFB will bear "Non-certified product" marking;</p> <p>4.2.1 Weighing of FFB truck;</p> <p>4.2.2 Weighbridge ticket indicating name of POM, weighbridge ticket number, name of supplying estate, date and hour of FFB weighing, transport detail, year of planting, block ID, gross, tare and nett weight, identification of sustainable product; non-certified FFB will bear "Non-certified product" marking;</p> <p>4.2.3 Processing of FFB and loose fruit and "Processing Daily Report" which indicate: FFB sustainable, FFB processed per shift, CPO production, PK production, stock CPO sustainable and stock PK sustainable, dispatch CPO and PK, outstanding CPO and PK;</p> <p>4.3 Sales of CPO and PK;</p> <p>4.4 Delivery of CPO and PK, to include information on name of buyer, name of transporter, DO number, transport detail, commodity type, certification status, contract number, delivery address.</p> <p>Umbul Mas Wisesa has another procedure to handle FFB from smallholder as in "Prosedur Rantai Pasok dan Mampu Telusur FFB Smallholder Scheme No.UMWPOM-SOP/SHS/01" dated January 2018. It was explained in the procedure, point 3.4 that Umbul Mas Wisesa POM will received and weigh the FFB from smallholder (non-certified); and not coming into processing in Umbul Mas Wisesa POM. Umbul Mas Wisesa POM will send the weighed FFB for other partnering mill. The supplied FFB proportion will not calculated as certified supply base.</p> <p>Umbul Mas Wisesa POM will made the payment and reporting of non-certified FFB in accordance to "Perjanjian Kerja" between company and cooperative smallholder.</p> <p>Audit team has checked the operation through field visit, interview with operators and record review onsite and confirmed no non-certified FFB from smallholder was entering process in Umbul Mas</p>	Yes

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		Wisesa POM.	
	<ul style="list-style-type: none"> Complete and up to date records and reports that demonstrate compliance with the supply chain model requirements (including training records). 	Umbul Mas Wisesa POM has complete and up-to date records to demonstrate the supply chain with status Identity Preserve are maintained.	Yes
	<ul style="list-style-type: none"> Identification of the role of the person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the organization's procedures for the implementation of this standard. 	Umbul Mas Wisesa POM has an organization structure, "PT. Umbul Mas Wisesa – Palm Oil Mill Organization Structure" dated 1 November 2017. The organization structure explained roles and responsibility of each staff in the palm oil mill regarding implementation of RSPO SCCS. The mill manager are the one having responsibility, authority and accountability over the implementation of these RSPO SCCS requirements and compliance with all applicable requirements.	Yes
5.3.2	The site shall have a written procedure to conduct annual internal audit to determine whether the organization; i) Conforms to the requirements in the RSPO Supply Chain Certification Standard and the RSPO Market Communications and Claims Documents.	PT. Umbul Mas Wisesa POM has a procedure for internal audit under "SOP Prosedur Pelaksanaan Kunjungan Rutin dan Internal Audit No.ENC/SOP/02 rev.02". The procedure stated the scope of internal audit covers fulfilment of supply chain requirement, based on the latest supply chain standard and company procedures. The supply chain standard: RSPO Supply Chain Certification Standard, June 2017; RSPO Supply Chain Certification System, June 2017; The RSPO Market Communications and Claims Document: RSPO Market Communication and Claims, 2016.	Yes
	ii) Effectively implements and maintains the standard requirements within its organization.	PT. Umbul Mas Wisesa POM has a procedure for internal audit under "SOP Prosedur Pelaksanaan Kunjungan Rutin dan Internal Audit No.ENC/SOP/02 rev.02". The procedure stated the scope of internal audit covers fulfilment of supply chain requirement, based on the latest supply chain standard and company procedures.	Yes
	Any non-conformities found as part of the internal audit shall be issued corrective action. The outcomes of the internal audits and all actions taken to correct non-conformities shall be subject to management review at least annually. The organization shall be able to maintain the internal audit records and reports.	The procedures "SOP Prosedur Pelaksanaan Kunjungan Rutin dan Internal Audit No.ENC/SOP/02 rev.02" regulates the rules for raising non-conformities, and to treat all non-conformities as critical. Follow up action upon finding will be presented during management review meeting. Internal audit reports are maintained.	Yes
5.4. Purchasing and goods in			
5.4.1	The receiving site shall ensure that purchases of RSPO certified palm oil and oil palm products are in compliance and the following minimum information for RSPO certified products is made available by the supplier in	Umbul Mas Wisesa POM has a procedure "Rantai Pasok dan Mampu Telusur No.ENC/SCC/01" dated January 2018, whereby regulates the procedure on inspecting, receiving and recording incoming FFB from certified supply base – bearing RSPO-certified stamp. All relevant information will be available under the	Yes

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<p>document form:</p> <ul style="list-style-type: none"> The name and address of the buyer; The name and address of the seller; The loading or shipment / delivery date; The date on which the documents were issued; A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations); The quantity of the products delivered; Any related transport documentation; Supply Chain certificate number of the seller; A unique identification number Information shall be complete and can be presented either on a single document or across a range of documents issued for RSPO certified oil palm products (for example, delivery notes, shipping documents and specification documentation). 	<p>FFB delivery ticket and confirmed under weighbridge ticketing system. Example of records verified:</p> <ol style="list-style-type: none"> <i>Surat Pengiriman TBS dari Lapangan</i> (Delivery of FFB from Field), dokumen ditandatangani oleh Sopir, Kerani Buah dan disetujui oleh Asisten Lapangan. <ul style="list-style-type: none"> "Surat Pengiriman TBS No.002862"; Loading/harvest dated 19 June 2017; Transport: Truck No.BK 8679 YF; Source/Seller: UMW South Estate (UMWS) Divisi VIII; Description: Certified FFB RSPO611834; Planting Year 2010, Block F30 - amount 441 bunches; Blok F29 – amount 462 bunches and Blok F30 – amount 300 bunches; total 1203 bunches. "Surat Pengiriman TBS No. 003979"; Loading/harvest dated 29 December 2017; Transport: Truck No.BK 9793 YG; Source/Seller: UMW North Estate (UMWN) Division V; Description: Certified FFB RSPO611834; Planting Year 2009, Block H32 - amount 220 bunches; Blok H33A – amount 400 bunches; Total 620 bunches. <i>Tiket Timbang</i> (Weighbridge ticket): <ul style="list-style-type: none"> "Tiket timbang No.FFB17009949W"; Date 19 June 2017; Source of FFB/Seller: UMW South Estate (UMWS); Transport detail: Truck No.BK 9718 YE; Transporter: PT. Umbul Mas Wisesa South Estate (UMWS); Product: FFB certified RSPO611834; Quantity: Nett 4,910 kg. "Tiket timbang No.FFB1702221W"; Date 29 December 2017; Source of FFB/seller: UMW North Estate (UMWN); Transportation: Truck No.BK 9793 YG; Transporter: PT. Umbul Mas Wisesa North Estate (UMWN); Product: FFB certified RSPO 611834; Quantity: Nett 4,870 kg. 	
<ul style="list-style-type: none"> The site receiving RSPO certified oil palm products shall ensure that the products are verified as being RSPO certified. For sites that are required to announce and confirm trades in the RSPO IT platform, this shall include making Shipping Announcements and Shipping Confirmations on the RSPO IT platform on the level of each shipment. Refer to section 5.7.1 of this document for further guidance. 	<p>Umbul Mas Wisesa POM has a procedure "Rantai Pasok dan Mampu Telusur No.ENC/SCC/01" dated January 2018. Umbul Mas Wisesa POM made statement that the certified supply base are RSPO-certified estate only: Under PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri (RSPO Certificate No. RSPO 611834): UMW North Estate, UMW South Estate, TUM Estate; and some from PT. Tolan Tiga Indonesia (RSPO certificate No.RSPO 555208): Tolan Estate and Perlavian Estate (for trial purpose).</p>	<p>Yes</p>
<ul style="list-style-type: none"> A check of the validity of the Supply Chain Certification of suppliers is required for all sites that are SC certified. This shall be 	<p>Umbul Mas Wisesa POM has a procedure "Rantai Pasok dan Mampu Telusur No.ENC/SCC/01" dated January 2018. The procedure stipulates process to check of the validity of the Supply Chain</p>	<p>Yes</p>

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	checked via the list of RSPO Supply Chain Certified sites on the RSPO website (www.rspo.org) at least annually or through the RSPO IT Platform by confirmation of (shipping) announcement.	Certification of suppliers, at least annually.	
	<ul style="list-style-type: none"> The validity of license for traders and distributors shall also be checked via the RSPO website at least annually or through the RSPO IT platform by confirmation of shipping announcement/announcements. 	Not buying from trader or distributor.	N/A
5.4.2	The site shall have a mechanism in place for handling non-conforming material and/or documents.	Umbul Mas Wisesa POM has a procedure "Rantai Pasok dan Mampu Telusur No.ENC/SCC/01" dated January 2018. The procedure stipulates process to handle non-conforming material and/or documents. This will be reported to certification body.	
5.5. Outsourcing activities			
5.5.1	<p>In cases where an operation seeking or holding certification outsources activities to independent third parties (e.g. subcontractors for storage, transport or other outsourced activities), the operation seeking or holding certification shall ensure that the independent third party complies with the requirements of the RSPO Supply Chain Certification Standard. A CPO mill and independent mill cannot outsource processing activities like refining or crushing.</p> <p>This requirement is not applicable to outsourced facilities where the management of the oil palm product(s) and instructions for tank movement are controlled by the certified organization (not the tank farm manager).</p>	Umbul Mas Wisesa POM are using third party contractors/outsourcing for transport of CPO.	Yes
5.5.2	Sites which include outsourcing within the scope of their RSPO Supply Chain certificate shall ensure the following:	Umbul Mas Wisesa POM are using third party contractors/outsourcing for transport of CPO. The CPO belongs to PT. Umbul Mas Wisesa.	Yes
	<p>a. The site has legal ownership of all input material to be included in outsourced processes;</p> <p>b. The site has an agreement or contract covering the outsourced process with each contractor through a signed and enforceable</p>		

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	agreement with the contractor. The onus is on the site to ensure that certification bodies (CBs) have access to the outsourcing contractor or operation if an audit is deemed necessary.	Document seen: "Surat Pernyataan CV. Tua Gabe" dated 8 January 2018" "Surat Pernyataan Koperasi Serba Usaha Suka Makmur" dated 8 January 2018. "Surat Pernyataan CV. Angkutan Sahabat" dated January 2018.	
	c. The site has a documented control system with explicit procedures for the outsourced process which is communicated to the relevant contractor.	Umbul Mas Wisesa POM has a procedure "Rantai Pasok dan Mampu Telusur No.ENC/SCC/01" dated January 2018. The procedure stipulates control over third party contractors/out through daily security inspection and internal audits.	Yes
	d. The site seeking or holding certification shall furthermore ensure (e.g. through contractual arrangements) that independent third parties engaged provide relevant access for duly accredited CBs to their respective operations, systems, and any and all information, when this is announced in advance.	The third party contractor has provided a statement letter indicating that they are willing to follow all requirements related to RSPO Supply Chain; and be further cooperates for audit process by certification body, should requested. Document seen: "Surat Pernyataan CV. Tua Gabe" dated 8 January 2018" "Surat Pernyataan Koperasi Serba Usaha Suka Makmur" dated 8 January 2018. "Surat Pernyataan CV. Angkutan Sahabat" dated January 2018.	Yes
5.5.3	The site shall record the names and contact details of all contractors used for the processing or physical handling of RSPO certified oil palm products.	PT. Umbul Mas Wisesa, UMW POM have recorded names and contact details of all transport contractors: PT. Tua Gabe, CV. Angkutan Sahabat, and Koperasi Serba Usaha Suka Makmur. Example: Koperasi Serba Usaha Suka Makmur. Contact: Mr. Gunawan Ruslan. Address: Jl. Petumbukan Dusun III, Jaharun, Deli Serdang, Sumatera Utara Province, Indonesia.	Yes
5.5.4	The site shall at its next audit inform its CB of the names and contact details of any new contractor used for the processing or physical handling of RSPO oil palm products.	PT. Umbul Mas Wisesa, UMW POM have recorded names and contact details of all transport contractors: PT. Tua Gabe, CV. Angkutan Sahabat, and Koperasi Serba Usaha Suka Makmur. The list updated on annual basis.	Yes
5.6. Sales and goods out			
5.6.1	The organization shall ensure that the following minimum information for RSPO certified products is made available in document form. <ul style="list-style-type: none"> The name and address of the buyer; The loading or shipment/delivery date; The date on which the documents were issued; A description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations); 	Sampled document and record to demonstrate all information has been made available: PK Delivery, for TR-27077a8b-d51f, to fulfill contract No.2017/UMW-PK/LTC/10 – issued with Delivery Order No.2017/UMW-PK/DO/11 dated 15 November 2017. From the particular delivery order, Umbul Mas Wisesa POM made 22 shipment of palm kernel between November – December 2017, totalling 525 tonnes. The detail information in weighbridge ticket sampled to fulfill the contract: Name and address of buyer: Yes. PT. In***** Per*****, Dumai, Riau Province; Loading/shipment date: 4 December 2017; Date of document issue: 4 December 2017; Description of product and applicable supply chain model: Palm kernel – IP; Quantity of product delivered: 26 MT (out of 525 MT); Transport documentation: from	Yes

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	<ul style="list-style-type: none"> The quantity of the products delivered; Any related transport documentation; Supply chain certificate number; A unique identification number; Information shall be complete and can be presented either on a single document or across a range of documents issued for RSPO certified oil palm products (for example, delivery notes, shipping documents and specification documentation). 	<p>PT. In***** Per*****, vehicle No.BM6662R*; Supply Chain Certificate Number: RSPO611834; Unique Identification Number: from the weighbridge ticket No.PK17000227W, for D/O No. 2017/UMW-PK/DO/11.</p> <p>CPO Delivery, for TR-3b4bf6d7-bd85, to fulfill contract No.2017/UMW-CPO/LTC/07 – handled through Delivery Order No.2017/UMW-CPO/DO/07 dated 13 March 2017. From the particular delivery order, Umbul Mas Wisesa POM made 23 shipment of crude palm oil in March 2017, totalling 500 MT CPO. The detail information in weighbridge ticket sampled to fulfill the contract: Name and address of buyer: Yes. PT. Mu***** Na**** A*****, Dumai, Riau Province; Loading/shipment date: 15 March 2017; Date of document issue: 15 March 2017; Description of product and applicable supply chain model: Crude Palm Oil – IP; Quantity of product delivered: 25.23 MT (out of 500 MT); Transport documentation: PT. Sum**** Sek** Sa**** vehicle BK8260C*; Supply Chain Certificate Number: RSPO611834; Unique Identification Number: from the weighbridge ticket No.CPO17000314W, for D/O No. 2017/UMW-CPO/DO/07.</p>	
	<ul style="list-style-type: none"> For sites that are required to announce and confirm trades in the RSPO IT platform, this shall include making Shipping Announcements/Announcements and Confirmations on the RSPO IT platform per shipment or group of shipments. Refer to section 5.7.1 of this document for further guidance. 	<p>Umbul Mas Wisesa has performed the action on RSPO IT platform/PalmTrace: Shipping announcement: Umbul Mas Wisesa POM is a CPO Mill, has registered all of their shipping announcement – can be seen on table C below. Sampled CPO shipping announcement for TR-3b4bf6d7-bd85 and TR-3da0150b-28dd. Sampled PK shipping announcement for TR-53cba122-8984 and TR-27077a8b-d51f.</p>	<p>Yes</p>
<p>5.7. Registration of transactions</p>			
<p>5.7.1</p>	<p>Supply chain actors who:</p> <ul style="list-style-type: none"> are mills, traders, crushers and refineries; and take legal ownership and/or physically handle RSPO Certified Sustainable oil palm products that are available in the yield scheme of the RSPO IT Platform (Figure 2 and 3, refer Annex 1) <p>shall register their transaction in the RSPO IT platform and confirm upon receipt where applicable.</p>	<p>Umbul Mas Wisesa POM is a CPO Mill, and has performed its obligation to register their transaction in the RSPO IT platform/RSPO PalmTrace. Details of registered transaction can be seen on table C below.</p>	<p>Yes</p>
<p>5.7.2</p>	<p>The involved supply chain actors mentioned in 5.7.1 shall do the following actions in the RSPO IT Platform:</p> <ul style="list-style-type: none"> Shipping 	<p>Umbul Mas Wisesa has performed the action on RSPO IT platform/PalmTrace: Shipping announcement: Umbul Mas Wisesa POM is a CPO Mill, has registered all of their shipping announcement – can be seen on table C below. Sampled CPO shipping</p>	<p>Yes</p>

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	<p>Announcement/Announcement: When RSPO certified volume is sold as certified, the volumes of products that are in the yield scheme (Figure 2 and 3, refer Annex 1) shall be registered as a Shipping Announcement / Announcement in the RSPO IT Platform. The declaration time to do Shipping announcement / Announcement is based on members' own standard operating procedures.</p> <ul style="list-style-type: none"> • Trace: When RSPO certified volumes are sold as RSPO certified to actors in the supply chain beyond the refinery, the volume shall be traced at least annually. Tracing triggers the generation of a trace document with a unique traceability number. Tracing can be done in a consolidated way at least annually. • Remove: RSPO certified volumes sold under other scheme or as conventional, or in case of underproduction, loss or damage shall be removed. • Confirm: Acknowledge the purchase of RSPO certified volume by confirming Shipping Announcements / Announcements. 	<p>announcement for TR-3b4bf6d7-bd85 and TR-3da0150b-28dd. Sampled PK shipping announcement for TR-53cba122-8984 and TR-27077a8b-d51f.</p> <p>Trace: Not applicable, as no RSPO certified product from PT. Umbul Mas Wisesa sold beyond refinery.</p> <p>Remove: Loss or damaged product not claimed by company, thus removed from RSPO certified volume in PalmTrace.</p> <p>Confirm: Umbul Mas Wisesa POM is a CPO Mills. The palm oil mill does not purchase any certified oil palm product from another RSPO certified palm oil mill. Therefore the function is not applicable.</p>	
5.8. Training			
5.8.1	<p>The organization shall have a training plan on RSPO Supply Chain Standards requirements, which is subject to on-going review and is supported by records of the training provided to staff.</p>	<p>PT. Umbul Mas Wisesa have prepared a training plan, including RSPO Supply Chain Certification Standard. The training plan being reviewed, for example when RSPO Supply Chain Certification Standard, June 2017 issued – company made some changes.</p> <p>Training record for each personnel under UMW POM are maintained. Sample taken: Nindi Fiameswari (Weighbridge Clerk) has attended training of Weighbridge and payroll system dated 13-14 March 2014); Health & Safety and PPE training dated 2 April 2014; Principle & Criteria of ISPO, RSPO and Supply Chain 30 April 2014; Weighbridge operational training dated 9 November 2015; Health and Safety training dated 24 November 2015); Supply Chain dated 21 January 2016; RSPO Supply Chain Model IP dated 4 October 2016; RSPO P&C training in 11 November 2017, weighbridge operator in RSPO Supply Chain 2017 dated 4 December 2017.</p>	Yes

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5.8.2	Appropriate training shall be provided by the organization for personnel carrying out the tasks critical to the effective implementation of the supply chain certification standard requirements. Training shall be specific and relevant to the task(s) performed.	PT. Umbul Mas Wisesa provided training for all relevant personnel, such as weighbridge operator, production operator, dispatch operator. In 4 December 2017, UMW POM have training of RSPO Supply Chain 2017 for 5 workers (weighbridge operators, production assistant, dispatch operator).	Yes
5.9. Record Keeping			
5.9.1	The site shall maintain accurate, complete, up-to-date and accessible records and reports covering all aspects of these RSPO Supply Chain Certification requirements.	Umbul Mas Wisesa POM has a procedure "Rantai Pasok dan Mampu Telusur No.ENC/SCC/01" dated January 2018. The procedure explains Marketing Dept. Head Office responsible reporting on three-monthly basis of CPO production and sales balance. Record seen: Three monthly FFB, CPO and PK production for period January – March 2017; April – June 2017; July – September 2017; October - December 2017 are available.	Yes
5.9.2	Retention times for all records and reports shall be a minimum of two (2) years and must comply with legal and regulatory requirements and be able to confirm the certified status of raw materials or products held in stock.	Umbul Mas Wisesa POM has a procedure "Rantai Pasok dan Mampu Telusur No.ENC/SCC/01" dated January 2018 stipulates that all records and reports related to supply chain activity shall be retain for minimum of two years.	Yes
5.9.3	The organization shall be able to provide the estimate volume of palm oil / palm kernel oil content (separate categories) in the RSPO certified oil palm product and keep an up to date record of the volume purchased (input) and claimed (output) over a period of twelve (12) months.	The records are separated between RSPO certified CPO and RSPO certified PK. Three monthly FFB, CPO and PK production for period January – March 2017; April – June 2017; July – September 2017; October - December 2017 are verified.	Yes
5.10. Conversion factors			
5.10.1	Where applicable a conversion rate must be applied to provide a reliable estimate for the amount of certified output available from the associated inputs. Organizations may determine and set their own conversion rates which must be based upon past experience, documented and applied consistently. Guidance on conversion rates is published on the RSPO website (www.rspo.org); RSPO Rules for Physical Transaction of Oleochemicals and its Derivatives. This is relevant for derivatives of Palm Oil and Palm Kernel Oil, as used in the oleochemical, as used in the oleochemical and personal care industries.	Umbul Mas Wisesa POM was only processing FFB into CPO and PK. The conversion factors follows daily production report for OER and KER.	Yes

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5.10.2	Conversion rates shall be periodically updated to ensure accuracy against actual performance or industry average if appropriate.	Umbul Mas Wisesa POM was only processing FFB into CPO and PK. The conversion factors follows daily production report for OER and KER. OER and KER recorded and analyzed on daily basis.	Yes
5.11. Claims			
5.11.1	The site shall only make claims regarding the use of or support of RSPO certified oil palm products that are in compliance with the RSPO rules on communications and claims.	PT. Umbul Mas Wisesa – Umbul Mas Wisesa POM does not make claims. No violation against RSPO rules on communications and claims, 2016.	Yes
5.12. Complaints			
5.12.1	The organization shall have in place and maintain documented procedures for collecting and resolving stakeholder complaints.	Umbul Mas Wisesa POM has a procedure "Rantai Pasok dan Mampu Telusur No.ENC/SCC/01" dated January 2018. Basically, the procedure follows: "Prosedur Keluh Kesah dengan Pihak Eksternal/Doc. No. SOP/026/HRA" dated 27 March 2015, described in detail the procedures related to complaints and address complaints submitted by external parties. So far no complaints related to the sold RSPO-certified product.	Yes
5.13. Management Review			
5.13.1	The organization is required to hold management reviews at planned intervals, appropriate to the scale and nature of the activities undertaken	Umbul Mas Wisesa POM has carried out management review on annual basis. The latest management review dated 4 January 2018, discussing 2017 performance.	Yes
5.13.2	The input to management review shall include information on: <ul style="list-style-type: none"> • Results of internal audits covering RSPO Supply Chain Certification Standard. • Customer feedback. • Status of preventive and corrective actions. • Follow-up actions from management reviews. • Changes that could affect the management system. • Recommendations for improvement. 	The latest management review dated 4 January 2018, discussing 2017 performance. The meeting has discusses all relevant input: Result of internal audit covering RSPO SCCS: Yes. From internal audit dated 9-11 November 2017; Customer feedback: Yes. No negative complaint. Status of preventive and corrective action: Yes. Two (2) findings required follow up action. Follow up actions from latest management review: Yes. Changes that could affect the management system: Yes. The RSPO SCCS 2017 has request Umbul Mas Wisesa POM to make some adjustment. Recommendation for improvement: Yes. More training for more staff, for knowledge relevant to RSPO SCCS 2017.	Yes
5.13.3	The output from the management review shall include any decisions and actions related to: <ul style="list-style-type: none"> • Improvement of the effectiveness of the management system and its processes • Resource needs. 	The latest management review dated 4 January 2018, discussing 2017 performance. The meeting has proposed relevant output: Improvement of the effectiveness of the management system and its process: Yes. To improve the control related to mill operation, to consistently implement RSPO SCCS 2017. Resource needs: Yes. More training needed – to ensure the knowledge for the standard RSPO SCCS 2017.	Yes

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Requirements		Compliance (Yes/No/N/A)
D.1 Definition		
<p>D.1.1 A mill is deemed to be Identity Preserved (IP) if the FFB used by the mill are sourced from plantation/ estates that are certified against the RSPO Principles and Criteria (RSPO P&C), or against the Group Certification scheme. Certification for CPO mills is necessary to verify the volumes and sources of certified FFB entering the mill, the implementation of any processing controls (for example, if physical separation is used), and volume sales of RSPO certified products. If a mill process certified and uncertified FFB without physically separating them, then only Module E is applicable.</p>	<p>Umbul Mas Wisesa POM implements Module D CPO Mills: Identity Preserved. All FFB received by Umbul Mas Wisesa POM comes from company-owned RSPO-certified estates.</p> <p>Umbul Mas Wisesa Palm Oil Mill currently holding valid RSPO P&C certificate No.RSPO 611834, valid until 26 March 2020, with current supply chain standard RSPO SCCS Module D – Identity Preserved, the palm oil mill’s supply base only consist of company-owned estates namely Umbul Mas Wisesa North Estate, Umbul Mas Wisesa South Estate, PT. Toton Usaha Mandiri Estate.</p>	<p>Yes</p>
D.2 Explanation		
<p>E.2.1 The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill shall be recorded by the certification body (CB) in the public summary of the P&C certification report. For an independent mill, the estimated tonnage of CPO and PK products shall be recorded in the RSPO IT platform, supply chain certificate and public summary audit report. This figure represents the total volume of certified oil palm product (CPO and PK) that the certified mill is allowed to deliver in a year. The actual tonnage produced shall then be recorded in each subsequent annual surveillance report.</p>	<p>The estimate tonnage of RSPO-certified FFB, CPO and PK are available in the estates and Umbul Mas Wisesa POM annual production budget for 12 months since last assessment. The FFB tonnage received from all certified supply bases. The certified supply base is coming from Umbul Mas Wisesa North Estate, Umbul Mas Wisesa South Estate, PT. Toton Usaha Mandiri Estate.</p> <p>This has been recorded in this public summary report.</p>	<p>Yes</p>
<p>D.2.2 The mill shall also meet all registration and reporting requirements for the appropriate supply chain through the RSPO supply chain managing organization (RSPO IT platform).</p>	<p>Company holds RSPO IT Platform account, PalmTrace registration under PT. Umbul Mas Wisesa POM. PT. Umbul Mas Wisesa POM registered all the transactions within PalmTrace. RSPO PalmTrace ID for PT. Umbul Mas Wisesa POM: RSPO_PO1000001670, active since 17 September 2014.</p>	<p>Yes</p>
D.3 Documented procedures		
<p>D.3.1 The site shall have written procedures and/or work instructions to ensure the implementation of all the elements specified in these requirements. This shall include at minimum the following: a) Complete and up to date procedures covering</p>	<p>Umbul Mas Wisesa POM has a procedure “Rantai Pasok dan Mampu Telusur No.ENC/SCC/01” dated January 2018. The latest procedures have highlighted and accommodated changes as per RSPO SCCS, June 2017.</p> <p>The procedure explains 4.1.1 The harvesting procedure; 4.1.3 Recording harvest production;</p>	<p>Yes</p>

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<p>the implementation of all the elements in these requirements;</p>	<p>4.1.4 Transporting the FFB and indicating the name of Estate, date of FFB delivery, transport detail, year of planting, block ID, total of bunches, identification of sustainable product; non-certified FFB will bear "Non-certified product" marking; 4.2.1 Weighing of FFB truck; 4.2.2 Weighbridge ticket indicating name of POM, weighbridge ticket number, name of supplying estate, date and hour of FFB weighing, transport detail, year of planting, block ID, gross, tare and nett weight, identification of sustainable product; non-certified FFB will bear "Non-certified product" marking; 4.2.3 Processing of FFB and loose fruit and "Processing Daily Report" which indicate: FFB sustainable, FFB processed per shift, CPO production, PK production, stock CPO sustainable and stock PK sustainable, dispatch CPO and PK, outstanding CPO and PK; 4.3 Sales of CPO and PK; 4.4 Delivery of CPO and PK, to include information on name of buyer, name of transporter, DO number, transport detail, commodity type, certification status, contract number, delivery address.</p> <p>Umbul Mas Wisesa has another procedure to handle FFB from smallholder as in "Prosedur Rantai Pasok dan Mampu Telusur FFB Smallholder Scheme No.UMWPOM-SOP/SHS/01" dated January 2018. It was explained in the procedure, point 3.4 that Umbul Mas Wisesa POM will received and weigh the FFB from smallholder (non-certified); and not coming into processing in Umbul Mas Wisesa POM. Umbul Mas Wisesa POM will send the weighed FFB for other partnering mill. The suppliedd FFB proportion will not calculated as certified supply base. Umbul Mas Wisesa POM will made the payment and reporting of non-certified FFB in accordance to "Perjanjian Kerja" between company and cooperative smallholder. Audit team has checked the operation through field visit, interview with operators and record review onsite and confirmed no non-certified FFB from smallholder was entering process in Umbul Mas Wisesa POM.</p>	
<p>b) The role of the person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the site's procedures for the implementation of this standard.</p>	<p>Umbul Mas Wisesa POM has an organization structure, "PT. Umbul Mas Wisesa – Palm Oil Mill Organization Structure" dated 1 November 2017. The organization structure explained roles and responsibility of each staff in the palm oil mill regarding imlementation of RSPO SCCS. The mill manager are the one having responsibility, authority and accountability over the implementation of these RSPO SCCS requirements and compliance with all applicable requirements.</p> <ul style="list-style-type: none"> - Marketing Department Head Office responsible to coordinate buyer, POM, and tank terminal for all transaction related to distribution of contract and supporting document, shipping management; 	<p>Yes</p>

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	<p>reporting on three-monthly basis of CPO production and sales balance; determine the certification system and supply chain model to be used; Issue delivery order/DO to Umbul Mas Wisesa POM;</p> <ul style="list-style-type: none"> - Estate: Ensure the FFB harvest was in line with quality standard; calculate number of bunches and create accurate harvesting record; prepare and make delivery of FFB to POM; - POM: Receive FFB and create record accordingly; ensure the milling process meet all requirements; in coordination with Marketing Department in Head Office to control the CPO and PK, identify the certification status and deliver on timely manner; - Marketing Department in coordination with ENC Department to report any projected overproduction; <p>All relevant staff and operators have been adequately trained: Mr.Nindi Frameswari, weighbridge operator; Mr.Eko Kurniawansyah, sortation/loading ramp; Record of RSPO SCCS Training as per "Traiing RSPO Supply Chain Certification Standar" dated 11 November 2017, attended by 13 workers from Umbul Mas Wisesa POM. Sample seen: Dicky Irwansyah, office clerk in UMW POM; Hisyam Pahlevi, mill assistant in UMW POM; Selamet, boiler operator in UMW POM;</p>	
<p>D.3.2 The site shall have documented procedures for receiving and processing certified FFBs.</p>	<p>Umbul Mas Wisesa POM has a procedure "Rantai Pasok dan Mampu Telusur No.ENC/SCC/01" dated January 2018, whereby regulates the procedure on inspecting, receiving and recording incoming FFB from certified supply base – bearing RSPO-certified stamp.</p> <p>All relevant information will be available under the FFB delivery ticket and confirmed under weighbridge ticketing system.</p>	<p>Yes</p>
<p>D.4 Purchasing and goods in</p>		
<p>D.4.1 The site shall verify and document the tonnage and soruces of certified FFBs received.</p>	<p>Verification of FFB documents are in weighbridge. Example of records verified: <i>Surat Pengiriman TBS dari Lapangan</i> (Delivery of FFB from Field), dokumen ditandatangani oleh Sopir, Kerani Buah dan disetujui oleh Asisten Lapangan.</p> <ul style="list-style-type: none"> • "Surat Pengiriman TBS No.002862"; Loading/harvest dated 19 June 2017; Transport: Truck No.BK 8679 YF; Source/Seller: UMW South Estate (UMWS) Divisi VIII; Description: Certified FFB RSPO611834; Planting Year 2010, Block F30 - amount 441 bunches; Blok F29 – amount 462 bunches and Blok F30 – amount 300 bunches; total 1203 bunches. • "Surat Pengiriman TBS No. 003979"; Loading/harvest dated 29 December 2017; Transport: Truck No.BK 9793 YG; 	<p>Yes</p>

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	<p>Source/Seller: UMW North Estate (UMWN) Division V; Description: Certified FFB RSPO611834; Planting Year 2009, Block H32 - amount 220 bunches; Blok H33A – amount 400 bunches; Total 620 bunches.</p> <p><i>Tiket Timbang</i> (Weighbridge ticket):</p> <ul style="list-style-type: none"> • "Tiket timbang No.FFB17009949W"; Date 19 June 2017; Source of FFB/Seller: UMW South Estate (UMWS); Transport detail: Truck No.BK 9718 YE; Transporter: PT. Umbul Mas Wisesa South Estate (UMWS); Product: FFB certified RSPO611834; Quantity: Nett 4,910 kg. • "Tiket timbang No.FFB1702221W"; Date 29 December 2017; Source of FFB/seller: UMW North Estate (UMWN); Transportation: Truck No.BK 9793 YG; Transporter: PT. Umbul Mas Wisesa North Estate (UMWN); Product: FFB certified RSPO 611834; Quantity: Nett 4,870 kg. 	
<p>D.4.2 The site shall inform the CB immediately if there is a projected overproduction of certified tonnage.</p>	<p>Umbul Mas Wisesa POM has a procedure "Rantai Pasok dan Mampu Telusur No.ENC/SCC/01" dated January 2018. The procedure explains Marketing Department in coordination with ENC Department to report any projected overproduction;</p> <p>During this annual surveillance assessment, Umbul Mas Wisesa POM was informing CB on the increase of FFB production, thus increase in CPO production. However, based on verification, Umbul Mas Wisesa POM was not over sold the CPO and PK production.</p>	<p>Yes</p>
<p>D.5 Record keeping</p>		
<p>D.5.1 The site shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a real-time basis.</p>	<p>Umbul Mas Wisesa POM has a procedure "Rantai Pasok dan Mampu Telusur No.ENC/SCC/01" dated January 2018. The procedure explains Marketing Department Head Office responsible reporting on three-monthly basis of CPO production and sales balance;</p> <p>Record seen: The records are separated between RSPO certified CPO and RSPO certified PK. Three monthly FFB, CPO and PK production for period January – March 2017; April – June 2017; July – September 2017; October - December 2017 are verified.</p>	<p>Yes</p>
<p>D.6 Processing</p>		
<p>D.6.1 The site shall assure and verify through documented procedures and record keeping that the RSPO certified oil palm product is kept separated from non-certified oil palm product including during transport and storage to strive for 100% separation.</p>	<p>No contamination in process, because all the FFB coming from certified supply base.</p> <p>PT. Umbul Mas Wisesa is contracting third party contractor for transporting the certified CPO. Document seen, Work agreement, "Perjanjian Pengangkutan", chapter 1, verse 5 stating "CV. Tua Gabe menyediakan motor tangki dengan kondisi siap pakai, miliknya atau yang berada di bawah</p>	<p>Yes</p>

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	<p>penguasannya, dan tangkinya harus bersih dari kontaminasi selain Minyak Kelapa Sawit” – CV Tua Gabe providing tanker in ready-to-use condition, and the tank is clean from contamination. Through the work agreement, company demonstrating effort to minimize risk of contamination.</p> <p>The CPO and PK from UMW mill was transit in Perlabian POM, and stored in separated CPO tank, No.1&2 and separate kernel bin No.3 to ensure 100% segregation.</p> <p>CPO tank inspection – “Pemeriksaan Truk Tangki CPO”: Transport CV Tua Gabe, vehicle number BK8115CK, date of loading 9 January 2018. Inspection checklist: CPO tank not leak: OK; inside compartment of tank is clean: OK; all valve has been welded; Tools, truck, spare tire: OK; fuel volume: 50%;</p> <p>PK tank inspection – “Pemeriksaan Truk PK”: Transport CV Tua Gabe, vehicle number BK8420YG, date of loading 8 January 2018. Inspection checklist: truck compartment not leak: OK; inside truck compartment is clean: OK; all valve has been welded; Tools, truck, spare tire: OK; fuel volume: 50%;</p>	
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Supply Chain Declaration

A. Monthly Records of Certified and Uncertified FFB Received since the last audit				
No.	Month - Year	Volume of FFB from certified supply bases (MT)	Volume of FFB from uncertified supply bases (MT)	Total FFB/Month (MT)
1	March 2017	13,227.12	Nil	13,227.12
2	April 2017	13,340.44	Nil	13,340.44
3	May 2017	15,868.30	Nil	15,868.30
4	June 2017	13,120.68	Nil	13,120.68
5	July 2017	18,228.01	Nil	18,228.01
6	August 2017	15,698.27	Nil	15,698.27
7	September 2017	14,846.82	Nil	14,846.82
8	October 2017	13,930.17	Nil	13,930.17
9	November 2017	13,407.36	Nil	13,407.36
10	December 2017	12,464.09	Nil	12,464.09
11	January 2018	14,546.69	Nil	14,546.69
12	February 2018	11,889.04	Nil	11,889.04
		170,566.99		170,566.99

B. Monthly Records of Certified CPO & PK since the last audit			
No.	Month - Year	Certified CPO (MT)	Certified PK (MT)
1	March 2017	3,124.27	522.86
2	April 2017	2,868.05	490.58

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3	May 2017	3,837.50	598.48
4	June 2017	3,092.11	471.54
5	July 2017	4,202.28	632.86
6	August 2017	3,637.80	573.65
7	September 2017	3,336.51	570.24
8	October 2017	3,407.07	561.81
9	November 2017	3,224.31	535.92
10	December 2017	3,079.74	508.99
11	January 2018	3,495.53	582.59
12	February 2018	2,856.82	476.14
		40,162.00	6,526.66

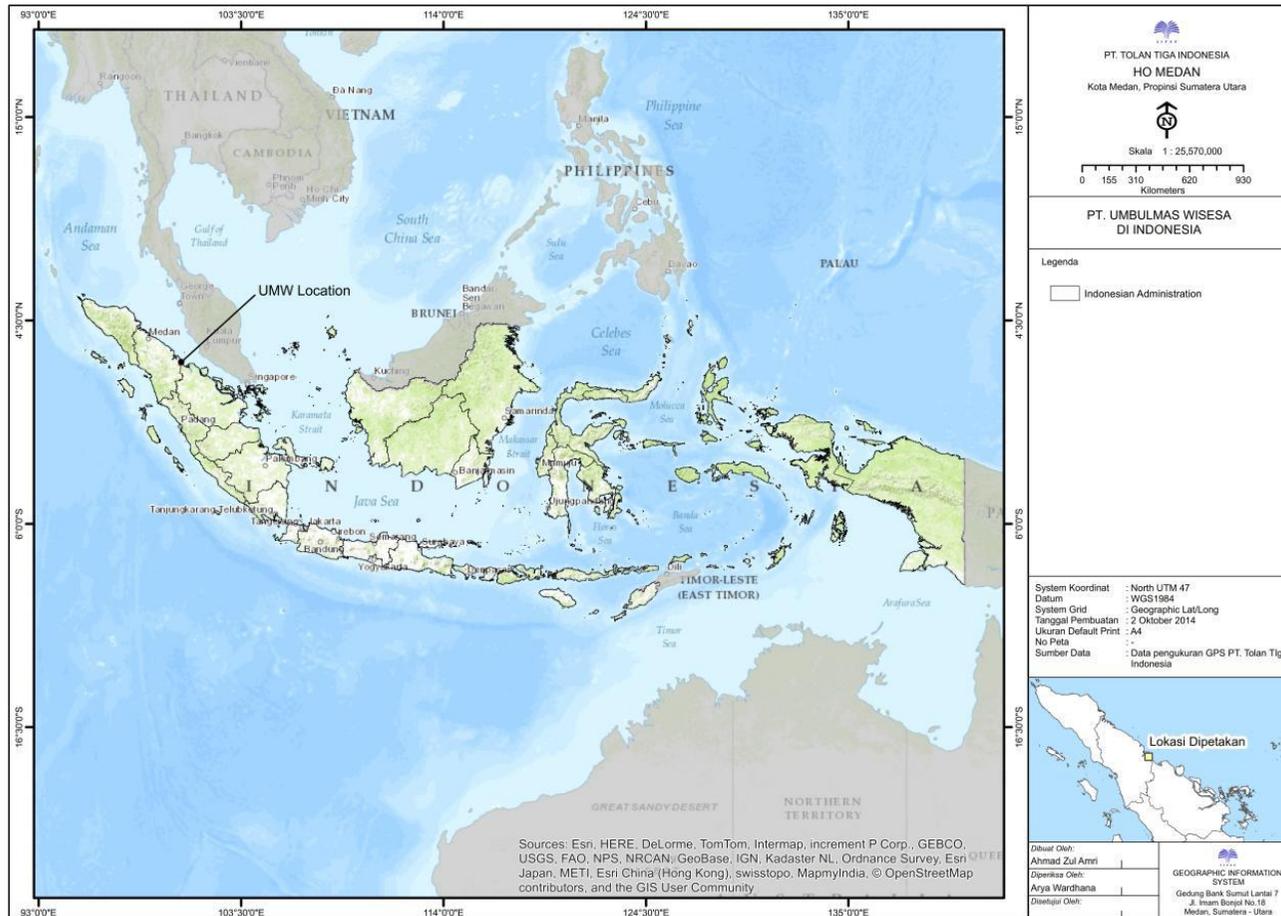
C. Records of Certified CPO & PK Sold under PalmTrace to Buyers since the last audit

No.	Buyers Name	Palmtrace Trading No	Certified CPO Sold (MT)	Certified PK Sold (MT)
1	Buyer A	TR-d987d062-c2ee date shipping 19/02/2017	1,500	-
2	Buyer A	TR-8d6b56ac-ab71 dated shipping 22/02/2017	2,000	-
3	Buyer A	TR-888c88f0-db55 dated shipping 27/03/2017	1,000	-
4	Buyer A	TR-3b4bf6d7-bd85 dated shipping 27/03/2017	500	-
5	Buyer A	TR-fa0a9ca8-520c dated shipping 27/03/2017	1,000	-
6	Buyer A	TR-c6edc103-030f dated shipping 05/04/2017	500	-
7	Buyer A	TR-543c7423-8fd4 dated shipping 29/04/2017	1,000	-
8	Buyer A	TR-9bac49a8-6a75 dated shipping 29/04/2017	1,000	-
9	Buyer A	TR-70438456-9398 dated shipping 09/05/2017	3,000	-
10	Buyer A	TR-b156b05c-f945 dated shipping 02/06/2017	1,500	-
11	Buyer A	TR-ee90554b-d88b dated shipping 04/07/2017	2,000	-
12	Buyer A	TR-923f100c-6480 dated shipping 28/07/2017	350	-
13	Buyer A	TR-181a9e6f-0411 dated shipping 07/08/2017	500	-
14	Buyer A	TR-c9072c99-4880 dated shipping 07/08/2017	500	-
15	Buyer B	TR-3da0150b-28dd dated shipping 24/08/2017	1,500	-
16	Buyer B	TR-69a946f3-9710 dated shipping 24/08/2017	1,500	-
17	Buyer B	TR-a94b9902-b4dd dated shipping 24/08/2017	1,500	-
18	Buyer B	TR-381899b4-1679 dated shipping 13/09/2017	2,500	-
19	Buyer B	TR-b2bd10b2-9908 dated shipping 29/09/2017	2,000	-
20	Buyer B	TR-e9401214-696b dated shipping 09/10/2017	1,000	-
21	Buyer B	TR-a8073722-f09f dated shipping 09/10/2017	1,000	-
22	Buyer B	TR-bac592e2-58a1 dated shipping 30/11/2017	1,000	-
23	Buyer B	TR-99e0dbf4-fa71 dated shipping 30/11/2017	500	-
24	Buyer B	TR-ef6332f9-e3d8 dated shipping 08/12/2017	1,000	-
25	Buyer B	TR-48887a52-3a2a dated shipping 09/12/2017	1,000	-
26	Buyer C	TR-e45a3b25-9368 dated shipping 20/01/2017	-	390
27	Buyer D	TR-b19ef162-8eed dated shipping 01/03/2017	-	500
28	Buyer D	TR-1b807c9d-2f83 dated shipping 07/04/2017	-	463
29	Buyer D	TR-9bac49a8-6a75 dated shipping 09/05/2017	-	485
30	Buyer D	TR-553623d9-1521 dated shipping 12/06/2017	-	547
31	Buyer D	TR-1f43954d-d780 dated shipping 29/08/2017	-	600
32	Buyer D	TR-af72006f-caff dated shipping 21/08/2017	-	600
33	Buyer D	TR-d915552f-9a62 dated shipping 19/09/2017	-	650
34	Buyer D	TR-27077a8b-d51f dated shipping 18/10/2017	-	500
35	Buyer D	TR-61e031a8-0677 dated shipping 21/11/2017	-	700
36	Buyer D	TR-53cba122-8984 dated shipping 19/12/2017	-	525
			30,850	5,960

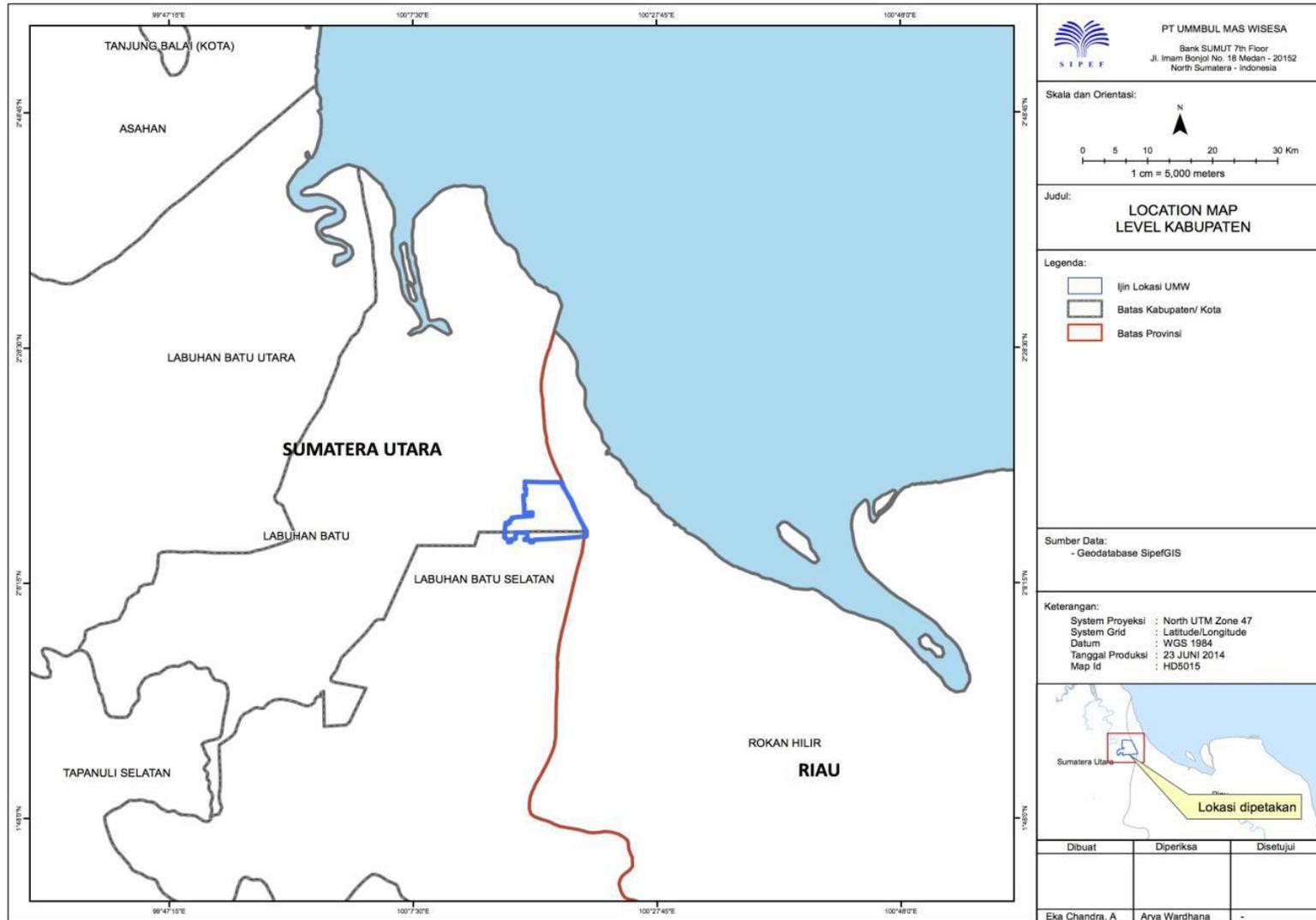
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D. Records of Certified CPO & PK Sold under RSPO Credits to Buyers since the last audit			
No.	Buyers Name	PalmTrace Trading No	RSPO Credits of Certified CPO Sold (MT)
Nil			

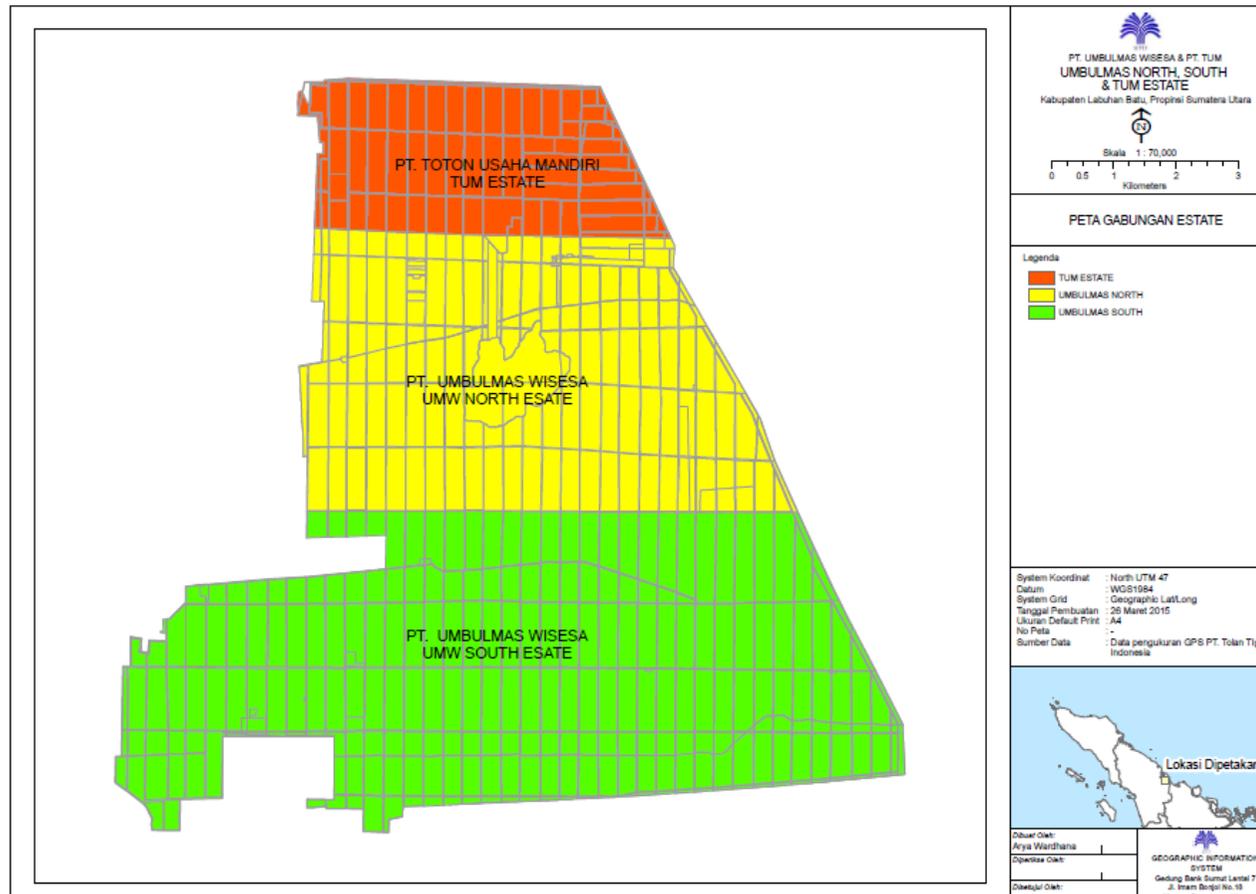
Appendix G: Location Map of Certification Unit and Supply bases



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Appendix H: Estate Field Map



Appendix I: List of Smallholder Sampled

Nil

Appendix J: List of Abbreviations

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