

**RSPO PRINCIPLE AND CRITERIA
PUBLIC SUMMARY REPORT**

- Initial Assessment**
- Annual Surveillance Assessment** (Choose an item.)
- Recertification Assessment (RA 1)**
- Extension of Scope**

Parent Company SOCFIN SA
Client company Address: JL KL.Yos Sudarso No.106 Medan 20115, Sumatera Utara - Indonesia
Certification Unit: Lae Butar Palm Oil Mill
Location of Certification Unit: Desa Rimo, Kecamatan Gunung Meriah, Aceh Singkil, Aceh – Indonesia
Date of Final Report: 27 th February 2021

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Section 1: Scope of the Certification Assessment

1. Company Details			
Parent Company	SOCFIN SA		
RSPO Membership Number	1-0269-19-000-00	Membership Approval Date	06/12/2004
Address	JL.KL.Yos Sudarso No.106 Medan 20115, Sumatera Utara-Indonesia		
Palm Oil Mill / Group Manager / Estate (Certification Unit)	PT SOCFIN INDONESIA, Lae Butar Mill		
Location / Address	Desa Rimo, Kecamatan Gunung Meriah, Kabupaten Aceh Singkil, Aceh 24784 Indonesia		
Website	www.socfindo.co.id		
Management Representative	Andria Zulmanitra	E-mail	andria@socfindo.co.id
Telephone	(061) 6616-066	Facsimile	(061) 6616-066

2. Certification Information			
Certificate Number	RSPO 734167	Date of First Certification	30/11/2015
		Certificate Start Date	27/02/2021
		Certificate Expiry Date	29/11/2025
Scope of Certification	The CPO and PK production from one (1) Palm Oil Mill and FFB supply base comprising one (1) palm oil estate owned by PT. Socfin Indonesia (Lae Butar Estate).		
Visit Objectives	<ul style="list-style-type: none"> Determination of the conformity and consistency implementation of Lae Butar Palm Oil Mill and its supply bases against Indonesia National Interpretation 2020 for RSPO P&C 2018 for the Production of Sustainable Palm Oil. Evaluation of the ability of the management system to ensure Lae Butar Palm Oil Mill and its supply bases meets applicable statutory, regulatory and contractual requirements. 		
Assessment Cycle	<input type="checkbox"/> Initial Assessment <input checked="" type="checkbox"/> Recertification Assessment (RA 1) <input type="checkbox"/> Annual Surveillance Assessment (RA Choose an item. ; ASA Choose an item.) <input type="checkbox"/> Scope Extension		
Applicable Standards	<input type="checkbox"/> RSPO P&C 2018 for the Production of Sustainable Palm Oil <input checked="" type="checkbox"/> Indonesia National Interpretation 2020 for RSPO P&C 2018 for the Production of Sustainable Palm Oil <input type="checkbox"/> Group Certification 2016 <input type="checkbox"/> RSPO Independent Smallholders Standard 2019		

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Supply Chain Module	<input checked="" type="checkbox"/> Identity Preserved <input type="checkbox"/> Mass Balance
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3. Other Certifications			
Certificate Number	Standard(s)	Certificate Issued by	Expiry Date
FMS40029	ISPO	SAI Global	3 February 2021

4. Location(s) of Mill & Supply Bases			
Name (Mill / Supply Base)	Location	GPS Coordinates	
		Latitude	Longitude
Lae Butar Palm Oil Mill	Rimo Village, Subdistrict of Gunung Meriah, District of Aceh Singkil, Province of Aceh – Indonesia	02°23'28.9" N	97°57'24.2" E
Lae Butar Estate	Rimo Village, Subdistrict of Gunung Meriah, District of Aceh Singkil, Province of Aceh – Indonesia	02°23'25.5" N	97°57'27.4" E

(Note for Auditors: Deg °; Minutes'; Seconds". The format must be two decimal points) (Eg. 3° 51' 14.01" N)

5. Description of Supply Base					
Estate	Total Planted (Mature + Immature) (ha)	HCV (ha)	Infrastructure & Other (ha)	Total Area (ha)	% of Planted
Lae Butar	4,429.11	69.90*	298.29	4,727.4	93.6
Total	4,429.11	69.90*	298.29	4,727.4	93.6

Note:
39.18 Ha of HCV Area are include in planted area (riparian).

6. Plantings & Cycle							
Estate	Age (Years)					Immature	Mature
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30		
Lae Butar	268.08	522.27	1,543	1,018	1,077.76	183.1	4,246.01
Total (ha)	268.08	522.27	1,543	1,018	1,077.76	183.1	4,246.01

Note: Socfin Indonesia defines 0 – 2 years as immature

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7. Certified Tonnage of FFB (Own Certified Scope)				
Estate	Tonnage / year			
	Estimated (30 Nov 2019 – 29 Nov 2020)	Actual (Oct 2019 - Sept 2020)		Forecast (30 Nov 2020 – 29 Nov 2021)
		<i>Previous license period</i> (Oct 2019 – Nov 2019)	<i>Current license period</i> (Dec 2019 – Sept 2020)	
Lae Butar	110,719	15,092	79,405	116,255
Total	110,719	94,497		116,255

8. Certified Tonnage of FFB (from other certified unit(s))				
Estate	Tonnage / year			
	Estimated (key in period)	Actual (key in period)		Forecast (key in period)
	N/A	<i>Previous license period</i> (key in period covered)	<i>Current license period</i> (key in period covered)	N/A
-		-	-	
-		-	-	
Total		-		

Note:
Lae Butar POM does not received FFB from other sources.

9. Non-Certified Tonnage of FFB (outside supplier – excluded from certificate)				
Independent FFB Supplier	Tonnage / year			
	Estimated (key in period)	Actual (key in period)		Forecast (key in period)
		<i>Previous license period</i> (key in period covered)	<i>Current license period</i> (key in period covered)	
-	-	-	-	-
-	-	-	-	-
Total	-	-		-

Note:
Lae Butar POM does not received FFB from other sources.

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10. Certified Tonnage				
Mill Capacity: 23 MT/hr SCC Model: IP/MB	Estimated (30 Nov 2019 – 29 Nov 2020)	Actual (Oct 2019 - Sept 2020)		Forecast (30 Nov 2020 – 29 Nov 2021)
	FFB	FFB		FFB
	110,719	<i>Previous license period</i> (Oct 2019 – Nov 2019)	<i>Current license period</i> (Dec 2019 – Sep 2020)	116,255
		15,092	79,405	
	CPO (OER: 23.18%)	CPO (OER: 22.67%)		CPO (OER: 23.50 %)
	25,666	3,407	18,022	27,319.93
	PK (KER: 4.20%)	PK (KER: 3.84%)		PK (KER: 4.50%)
	4,653.74	582	3,048	5,231.48
TOTAL	N/A		N/A	

11. Actual Sold Volume (CPO)					
Current License period (Dec 2019 – Sept 2020)					
	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	Others		
CPO (MT)	18,008	-	-	-	18,008
Previous License period (Oct 2019 – Nov 2019)					
CPO (MT)	3,421	-	-	-	3,421

12. Actual Sold Volume (PK)					
Current License period (Dec 2019 – Sept 2020)					
	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	Others		
PK (MT)	3,052	-	-	-	3,052
Previous License period (Oct 2019 – Nov 2019)					
PK (MT)	570	-	-	-	570

13. Independent Smallholders Certification Claims		
	Credit	Physical Volume (MT)
IS-CSPO	-	-
IS-CSPKO	-	-
IS-CSPKE	-	-

Section 2: Assessment Process

Certification Body:

BSI Services Malaysia Sdn. Bhd. (ASI Accreditation Number: ASI-ACC-067)
Suite 29.01 Level 29, The Gardens North Tower,
Mid Valley City, Lingkaran Syed Putra,
59200 Kuala Lumpur, Malaysia.
Tel +60 (3) 9212 9638 Fax +60 (3) 9212 9639
Representative: Nicholas Cheong (Nicholas.Cheong@bsigroup.com)
Website: www.bsigroup.com

BSI is a leading global provider of management systems assessment and certification, with more than 84,000 certified locations and clients in over 180 countries. BSI Standards is the UK's National Standards Body. BSI provides independent, third-party certification of management systems. BSI is ASI Accredited (ASI-ACC-067) to conduct RSPO assessment since 31/10/2014 with accredited office located at Kuala Lumpur, Malaysia.

2.1 Assessment Methodology, Programme, Site Visits

The on-site recertification assessment was conducted from **13 – 15 October 2020**. 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 Critical NC close out off-site assessment was conducted on **12 December 2020**. The audit program are included in Section 2.3.

The approach to the audit was to treat the mill and supply base as an RSPO Certification Unit. A range of occupational health and safety, environmental, best practice management, and social factors were covered. This includes consideration of topography, palm age, proximity to areas with HCVs, declared conservation areas, local communities engagement and workers welfare and safety.

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 & Criteria 2018 for the Production of Sustainable Palm Oil (*Indonesia National Interpretation*) was used to guide the assessment 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 (and smallholders) of its supply base.

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

Meetings were held with stakeholders to seek their views on the performance of the company with respect to the RSPO requirements and aspects where they considered that improvements could be made. At the start of each meeting, the interviewer explained the purpose of the audit followed by an evaluation of the relationship between

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the stakeholder and the company before discussions proceeded. The interviewer recorded comments made by stakeholders and these have been incorporated into the assessment findings.

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

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

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

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

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

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

Assessment Program					
Name (Mill / Supply Base)	Year 1 (Certification)	Year 2 (ASA 1)	Year 3 (ASA 2)	Year 4 (ASA 4)	Year 5 (ASA 5)
Lae Butar POM	X	X	X	X	X
Lae Butar Estate	X	X	X	X	X

Tentative Date of Next Visit: October 4, 2021 - October 8, 2021

Total No. of Mandays: 9 mandays onsite

2.2 BSI Assessment Team:

Team Member Name	Role <i>(Team Leader or Team member)</i>	Qualifications <i>(Short description of the team members)</i>
Andi Pratama Pasaribu (AP)	Team Leader	Holds a Bachelor Degree in Social Economy. He has several of work experiences (more than 5 years) as the operational staff since 2008. He has completed the Lead Auditor Indonesian Sustainable Palm Oil (ISPO) Training held by ISPO Commission in 2013 and Lead Auditor Roundtable on Sustainable Palm Oil (RSPO) Training by Proforest and Daemeter in 2016. He has attended several other training, such as High Conservation Value (HCV) Training, ISO 9001:2015 Lead Auditor Course, ISO 14001:2015 Lead Auditor Course, ISO 45001:2018 Lead Auditor Course, ISO 22000:2018 Lead Auditor Course, RSPO Supply Chain Lead Auditor Course by BMTRADA. He has experiences of Sustainability Palm Oil scheme audit in Indonesian and Malaysia in best management practices, land legality, environmental, social and worker welfare aspect and supply chain. During this audit he covering

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		transparency, best management practices, legal, social aspect and public consultation with external stakeholder. Fluent in English and Bahasa Indonesia.
Mujinius Jalaraya (MJ)	Team Member	Holds a Bachelor Degree in Forest Resources Conservation and Ecotourism from the Faculty of Forestry, Bogor Agricultural University (IPB). He has working experience in palm oil plantations as SHE Assistant at PT. Astra Agro Lestari Tbk in 2008 - 2012 and as Supervisor Sustainability at Teladan Prima Group in 2012 – 2014. He involved in RSPO certification since 2014 as a team member subsequently as a Lead Auditor. He has completed the training, such as: ISO 9001: 2008 Lead Auditor course, ISPO Lead Auditor course, RSPO endorsed Lead Auditor course, RSPO SCCS endorsed Lead Auditor course, HCV Identification and management, ISO 14001: 2004 Internal Auditor Training, Training for Trainers, OHS Expert Training. During this assessment, he assessed on occupational health and safety, training, contract and supply chain aspects. Fluent in English and Bahasa Indonesia.
Yudwi Wisnu Rahmanto (YR)	Team Member	Holds a Bachelor Degree in Forestry with Silviculture major. He worked at professional independent Certification Body as an Auditor for 8 years and has involved in auditing activities with various certification schemes. Selected training which have been followed, such as RSPO Endorsed Lead Auditor Training Course, RSPO NEXT, ISPO Auditor/Lead Auditor Course, Quality Management System (QMS) ISO 9001:2008 Auditor/Lead Auditor Course, GIS-Basic Mapping and Spatial Analysis, Timber Legality Assurance System (SVLK), Verification Organization Training C.A.F.E Practices (Starbucks), UTZ Programme and others internal training programs. He has involved in auditing activities, such as Sustainable Forest Management by FSC FM/COC Scheme, Sustainable Palm Oil by RSPO and ISPO Scheme, Coffee And Farmer Equity (C.A.F.E Practices) Starbucks, Organic Standard (EU, NOP, JAS) for Coffee Farmers and Organic Exchange for Textile. During this assessment, he assessed on policy and commitment, worker welfare, environment and high conservation value aspect. Fluent in English and Bahasa Indonesia.

Accompanying Persons:

Name	Role
-	-

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2.3 Assessment Plan

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

Recertification Assessment Plan

Date	Time	Subjects	Auditor Name		
			AP	MJ	YW
Mon, 12/10/2020	08.00 – 17.00	Traveling from Kualanamu, Medan to Lae Butar POM	√	√	√
Tue, 13/10/2020	08.00 - 08.30	Opening meeting <ul style="list-style-type: none"> • Auditee Speech (Introduction of PIC, Profile of Certified Management Unit) • Auditor Team Speech (Introduction, Audit Objective, Audit Scope, Audit Plan Discussion, Determine of Audit Sample, Transparency and Confidentiality Clarification) 			
	08.30 – 12.00	Field visit to Lae Butar Estate: <ul style="list-style-type: none"> • Implementation of Agronomy Aspect • Implementation of Environmental, Conservation and Waste Management Aspect • Implementation of Occupational Health & Safety Aspect • Implementation of Legal Aspect and Land Rights 	√	√	√
	08.30 – 12.00	Consultation with external stakeholders (government agencies in Aceh Singkil District and village head surrounding the concession area) by phone	√		
	12.00 – 14.00	Lunch Break	√	√	√
	14.00 – 17.00	Document Review Lae Butar Estate: <ul style="list-style-type: none"> • Legal & Land Rights • Social and Transparency • Environmental, Waste Management & HCV • Occupational Health & Safety • Best Management Practices • Worker Welfare Review of previous assessment findings.	√	√	√
	14.00 – 17.00	Consultation with internal stakeholders (labour union, cooperative and gender committee).			√

Date	Time	Subjects	Auditor Name		
			AP	MJ	YW
Wed, 14/10/2020	08.00 – 12.00	Field visit to Lae Butar POM : BMP for Mill Processing – site visit Occupational Health & Safety Aspect (Inspection to Chemical Storage, Hazardous Waste Storage, Fire Control Simulation, Processing Activities) Implementation of Environmental and Waste Management Aspect (POME Pond, Empty Bunch Area, Reservoir/Intake Point, Biogas Plant – if any) Supply Chain for CPO Mill (site visit) - FFB Receiving, Weighbridge, Dispatch CPO.	√	√	√
	12.00 – 14.00	Lunch Break	√	√	√
	14.00 – 17.00	Document review continuation	√	√	√
Thu, 15/10/2020	09.00 – 10.00	Closing Meeting	√	√	√
	10.00 – 17.00	Traveling to Medan - Kualanamu	√	√	√
Fri, 16/10/2020	10.00 – 12.00	Traveling to Jakarta	√	√	√

NCR Close Out Assessment Plan

Date	Time	Subjects	Auditor
			AP
Sat, 12/12/2020	08.00 - 08.30	Opening meeting <ul style="list-style-type: none"> Auditee Speech (Introduction of PIC, Profile of Certified Management Unit) Auditor Team Speech (Introduction, Audit Objective, Audit Scope, Audit Plan Discussion, Determine of Audit Sample, Transparency and Confidentiality Clarification) 	
	08.30 – 09.30	NCR Verification and virtual site visit	√
	10.00 – 10.30	Closing Meeting	√

Section 3: Assessment Findings

3.1 Normative requirement applied for this assessment:

- Lae Butar POM – PT Socfin Indonesia Multiple Management Units / Time Bound Plan
- RSPO Principle and Criteria (P&C) 2018 for the Production of Sustainable Palm Oil
- RSPO Group Certification Standard 2016
- (Indonesia) National Interpretation (2020) for RSPO P&C 2018
- Independent Smallholder Standard 2019

3.2 Multiple Management Units and Time Bound Plan

Requirement	Assessment	Compliance
Does the plan include all current subsidiaries, estates and mills that is under the control of the holding company?	Yes. The timebound plan for Socfin SA have listed all estate and mill under the control of the holding company.	Conformity
Have all the estates and mills certified within five years after obtaining RSPO membership?	PT Socfin Indonesia have been active members of RSPO since 6 December 2004. All units under the original PT Socfin Indonesia Group has been RSPO certified. Since 15 February 2019, PT Socfin Indonesia merge under Socfin SA (grouping all Indonesian and African oil palm operations under one membership number). Socfin SA only become RSPO Member on 15 February. Hence, 5 years period will be by 14 th Feb 2024.	Conformity
Have there been any new acquisitions? If yes, the new acquisitions shall be certified within three-year from the date of acquisition. Certification plan for the new acquisition shall be available.	No. There is no new acquisition from last assessment.	Conformity
Have there been any changes to the time-bound plan since the last audit (both new acquisition and existing)? If yes, justification is required. Is this consistent with the ACOP reporting?	No. There is no acquisition from last assessment. Yes. The timebound plan consistent with ACOP reporting and RSPO membership details.	Conformity
Have there been any isolated lapses in implementation of the plan? If yes a Minor non-compliance shall be raised	There is no isolated lapse in implementation of the plan. The timebound plan remains the same.	Conformity
Have there been any fundamental failure (e.g. unable to justify delay in planning the assessments) to proceed with implementation of the plan? If yes a Major non-compliance shall be raised	No. There is no fundamental failure. The uncertified units demonstrated documents such as SIA report, stakeholder engagement, FPIC building blocks, land	Conformity

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	compensation progress, grievance handling, annual internal audit.	
Un-Certified Units or Holdings		
<p>No replacement after dates defined in NIs Criterion 7.3:</p> <ul style="list-style-type: none"> • Primary forest. • Any area required to maintain or enhance HCVs in accordance with RSPO P&C criterion 7.3. 	<p>Socfin SA have submitted LUCA for review of all uncertified unit to RSPO Secretariat on 13 December 2017. Later, Socfin SA submitted revision on 8 September 2018. The decision on replacement after 2005 for primary forest and/or area required to maintain or enhance HCV in accordance to RSPO P&C criterion – awaiting LUCA review from RSPO.</p> <p>Based on review to RSPO RaCP Tracker for Socfin SA, audit team noted: 13 management unit with potential liability; 0 LUCA submitted; 0 LUCA review ongoing; 13 LUCA review clarification; 0 LUCA review complete; 13 Concept Note required; 0 Concept Note approved; 0 Concept Note approved; 0 Concept Note submitted; 0 Concept Note endorsed.</p> <p>Until this audit finished, there is no new record of Concept Note progress.</p>	Conformity
<p>Any new plantings since January 1st 2010 shall comply with the RSPO New Plantings Procedure.</p>	<p>PT. Socfin Indonesia made New Planting Procedure Public Notification on 16 February 2017. After 30 days, there was no comment received by RSPO secretariat. Link https://www.rspo.org/certification/new-planting-procedure/public-consultations/socfin-group-pt-socfindo-and-socfinco-sa-pt-socfin-indonesia--lima-puluh-estate</p> <p>Based on review to RSPO RaCP Tracker for Socfin SA, audit team noted: 13 management unit with potential liability; 0 LUCA submitted; 0 LUCA review ongoing; 13 LUCA review clarification; 0 LUCA review complete; 13 Concept Note required; 0 Concept Note approved; 0 Concept Note approved; 0 Concept Note submitted; 0 Concept Note endorsed.</p>	Conformity
<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>Based on audit process and based on review upon RSPO Case Tracker (October 2020), there is no land conflicts issue related to PT Socfin Indonesia.</p> <p>Based on RSPO RaCP Tracker for Socfin SA, audit team noted: 13 management unit with potential liability; 0 LUCA submitted; 0 LUCA review ongoing; 13 LUCA review clarification; 0 LUCA review complete; 13</p>	Conformity

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	Concept Note required; 0 Concept Note approved; 0 Concept Note approved; 0 Concept Note submitted; 0 Concept Note endorsed.	
Any Labor disputes are being resolved through a mutually agreed process, in accordance with RSPO P&C criterion 6.3.	Based on audit and based on review upon RSPO Case Tracker (February 2020), there is no labor dispute. Based on internal audit reports for uncertified unit, there is no labor dispute.	Conformity
Any Legal non- compliance is being addressed through measures consistent with the requirements of RSPO P&C criteria 2.1	Based on audit and based on review upon RSPO Case Tracker (February 2020), there is no legal non-compliance. Based on internal audit reports for uncertified unit, there is no legal non-compliance.	Conformity
Did the company conduct internal audit against the uncertified management units requirement? If yes, a positive assurance statement shall be available.	Yes. Internal audit have been carried out on uncertified management unit. Internal report for Agripalma (Sao Tome), dated 16 December 2019. The internal audit covers RSPO P&C 2018 (Generic) and relevant RSPO P&C Certifications System June 2017. There was minor non-conformities issued on complaint and grievance procedure training; mapping of customary rights and compensation to involve government. The uncertified management unit have detailed the correction and corrective action plan. Internal report for Safacam (Cameroon), dated 18 December 2019. The internal audit covers RSPO P&C 2018 (Generic) and relevant RSPO P&C Certifications System June 2017. There was minor non-conformities issued on legal compliance list and compensation. The uncertified management unit have detailed the correction and corrective action plan. Positive assurance: Socfin SA committed to fulfill all the requirement related to RSPO certification process. Socfin SA has detailed the correction and corrective action plan and any unresolved issues has been on the right path towards the certification process.	Conformity
Have there been any stakeholder (including NGO) consultation conducted?	Yes. Stakeholder consultation carried out in uncertified management unit. Social Impact Assessment (SIA) report recorded the stakeholder consultation	Conformity

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	<p>process for villages near Agripalma (Sao Tome): for Emolve village in 21 March 2011, Vila Clotilde in 15 March 2011, Ribeira Piexe in 15 March 2011, Monte Mario in 8 August 2011, Praia Pesqueira in 15 March 2011, Lo Grande in 15 March 2011, Healthcare NGO (AMI) in 28 February 2011, Women group in 14 March 2011,</p> <p>FPIC meeting in Safacam (Cameroon) for Chefferie de Dikola in 7 December 2010, for Chefferie de Koungue in 11 September 2011.</p>	
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3.3 Progress of scheme smallholders and/or outgrowers

Progress of scheme smallholders or outgrowers towards compliance with relevant standards		
Requirement	Remarks	Compliance
<p>Has 100% of scheme smallholders and/or scheme outgrowers comply with the standard within three years of the mill's initial certification?</p> <p>OFI shall be raised if after one year where 100% of the scheme smallholders and scheme outgrowers are not in compliance, a minor NC after two years, and a major NC if this requirement is not met after three years.</p>	<p>There is no scheme smallholder and/or scheme outgrowers supplying FFB to PT. Socfin Indonesia – Lae Butar POM.</p>	<p>Conformity</p>

3.4 Details of Nonconformities

The nonconformities are listed below. The findings summary of the assessment by criteria are listed in Appendix A.

During the Certification Assessment there were **one (1)** Major & **three (3)** Minor nonconformities and **two (2)** opportunity for improvements raised. **PT Socfin Indonesia – Lae Butar 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 Critical Nonconformity(ies) has been verified for it effectiveness and closed accordingly. The below is the summary of the non-conformity raised during this assessment.

Non-conformity			
NCR Ref #	1971712-202010-M1	Clause & Category (Critical / Minor)	RSPO P & C INA NI 2020 indicator 3.6.1 C
Date Issued	15/10/2020	Due Date	13/01/2021
Closed (Yes / No)	Yes	Date of nonconformity Closure	12/12/2020
Statement of Nonconformity:	PT Socfin Indonesia - Lae Butar Mill has identify risk for all activity, however there are some risk/safety issue identify during field visit are not include in the HIRADC and no mitigation action were implemented to eliminate the risk.		

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Requirement Reference:	All operations are risk assessed to identify H&S issues. Mitigation plans and procedures are documented and implemented
Objective Evidence:	<ul style="list-style-type: none"> • PT Socfin Lae Butar has identify risk for all activity including fuel station activity, however there is no electrical installation risk (in area of fuel station) were identified and include in the HIRADC. • During field observation, found unsafe condition whereby electrical cable installation at fuel station area of Lae Butar Mill were not properly/safely covered. • During field observation, found unsafe condition whereby rotary motor at water pump were not properly/safely covered. • During field observation found unsafe condition whereby the tree branches that are very close above high voltage power lines (PLN) and bamboo plants that are close to high voltage power lines. This condition is very close to the fuel station and has the potential for fire if a short circuit occurs. In addition, Lae Butar Mill missing identify this issue in the HIRADC.
Corrections:	<ol style="list-style-type: none"> 1. Revise the risk identification list by adding risks from the activities: <ul style="list-style-type: none"> • Fuel tank area • Aspects of the power cord • The presence of <i>trembesi</i> and bamboo trees • Danger of rotating objects in the factory 2. Improve the condition of the power cable above the fuel tank 3. Cover the rotating part of the water pump in the mill area 4. Tidy up the parts of the tamarind tree that have the potential to cause work accidents
Root Cause Analysis:	<ol style="list-style-type: none"> 1. Technically, mill's chief as an OSH expert is not involved in carrying out, updating, reviewing hazard identification and risk control in estate and mill. 2. Workers do not understand and not involved in the implementation of OHS management in the plantation, so that the unsafe conditions and unsafe actions that occur are not identified properly and followed up.
Corrective Actions:	<ol style="list-style-type: none"> 1. Providing training in understanding the principles of hazard identification and risk control to mill's chief such as HIRA review of work accidents, near miss, JSA and basic OHS program preparation. 2. Providing socialization of understanding about hazards in the workplace, unsafe actions, unsafe conditions, reporting to supervisors. 3. Develop a flow process to update HIRADC and disseminate it to all workers
Assessment Conclusion:	Based on document review and virtual site visit during NCR Close Out (by remote) on 12 December 2020, auditor concluded this nonconformity are closed.

Non-conformity			
NCR Ref #	1971712-202010-N1	Clause & Category (Major / Minor)	RSPO P & C INA NI 2020 indicator 6.2.6 (Minor)
Date Issued	15/10/2020	Due Date	Until next ASA

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Closed (Yes / No)	No	Date of nonconformity Closure	-
Statement of Nonconformity:	Assessment of wages paid (prevailing wages) and in-kind benefits as required in Procedural Note under indicator 6.2.6 are not provided by Unit of Certification.		
Requirement Reference:	<p>A DLW is paid to all workers in accordance with applicable regulations, including workers who work on a piece rate/quota basis, the calculation of which is based on a quota that can be achieved during regular working hours.</p> <p><i>PROCEDURAL NOTE:</i></p> <p><i>The RSPO has published guidelines on the calculation of Decent Living Wage (DLW) in June 2019. Since Indonesia does not have DLW benchmark yet, the RSPO Secretariat will conduct a DLW benchmark study in accordance with the Global Living Wage Coalition (GLWC) and Indonesian laws and regulations.</i></p> <p><i>In the meantime, until DLW benchmark for Indonesia is endorsed by the RSPO, the unit of certification carries out interim measures that was published by RSPO (dated 11 November 2019), including:</i></p> <ol style="list-style-type: none"> <i>1. Payment of minimum wages in accordance with applicable regulations.</i> <i>2. Assessment of wages paid (prevailing wages) and in-kind benefits. Once the DLW benchmark is available, this procedural note is no longer applicable.</i> 		
Objective Evidence:	Unit of Certification has determined details of in-kind benefit received by employee's year 2020 with 13 parameters and described in document "Rincian Benefit Yang Diterima Pekerja/Bulan", dated 1 October 2020. The parameters are Salary, Annual Bonuses, Eid/Christmas allowance, Social Insurance (BPJS Naker), Medical Insurance (BPJS Kesehatan), Water, Education, Meat, Medical Care, Housing, Rice Allowance, Retention Bonus, Electrical, Job Movement Allowance. However, document support related source of assessment result of wages paid (prevailing wages) and in-kind benefits are not available.		
Corrections:	Simulating the calculation of employee benefits in a number of situations, including: <ol style="list-style-type: none"> a. Workers b. Worker + wife c. Worker + wife + 2 children d. Worker + wife + 3 children 		
Root Cause Analysis:	Misunderstanding of sustainability staff in understanding note procedure in PNC 6.2.6.		
Corrective Actions:	The sustainability staff studied the RSPO standard requirements one by one, especially those related to workers' wages.		
Assessment Conclusion:	-		

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Non-conformity			
NCR Ref #	1971712-202010-N2	Clause & Category (Major / Minor)	RSPO P & C INA NI 2020 indicator 6.7.2 (Minor)
Date Issued	15/10/2020	Due Date	Until next ASA
Closed (Yes / No)	No	Date of nonconformity Closure	-
Statement of Nonconformity:	During audit It was found the discrepancy of emergency procedure implementation in PT Socfin Indonesia – Lae Butar.		
Requirement Reference:	Accident and emergency procedures are in place and instructions are clearly understood by all workers. Accident procedures are available in the appropriate language of the workforce. Assigned operatives trained in first aid are present in both field and other operations, and first aid equipment is available at worksites. Records of all accidents are kept and periodically reviewed.		
Objective Evidence:	<ul style="list-style-type: none"> • PT Socfin Indonesia – Lae Butar has establish a procedure for emergency response i.e “PEDOMAN PENANGANAN KEADAAN DARURAT PT. SOCFINDO” SOC/DP/4.08-01, however it was not fully implemented with the sufficient proper equipment. • During field visit found that emergency eye wash and eye shower closed to agrochemical warehouse were not properly function. <ul style="list-style-type: none"> - During field visit to Lae Butar POM it was found that hydrant system were not sufficient to mitigate the fire. Hydrant pressure was not sufficient and only one hydrant spot available near to engine room and sterilizer station. • According to the list of emergency equipment Lae Butar Estate, there is no water pump, hose and nozzle available to mitigate the fire. It was not complied to <i>‘Permentan No. 5/Permentan/KB.410/1/2018 tahun 2018 tentang pembukaan dan atau pengolahan lahan perkebunan tanpa bakar’</i>. 		
Corrections:	<ol style="list-style-type: none"> a. Improve emergency shower and eyewash operations b. Installing a hydrant system at the Lae Butar POM c. Complete emergency response facilities for land fires in accordance with Ministry of Agriculture No. 5 / Permentan / KB.410 / 1/2018 in 2018 in stages based on the program. d. Estate Manager determines the personnel in charge to be responsible for emergency response infrastructure in the mill and estate 		
Root Cause Analysis:	<ol style="list-style-type: none"> a. There are no respected personnel in charge appointed control the appropriateness of emergency response facilities. b. Hydrant and land fire emergency response facilities: The procurement of infrastructure and facilities is not stipulated in the program by the plantation management, so they are not properly monitored. 		
Corrective Actions:	<ul style="list-style-type: none"> • Monitoring the appropriateness of emergency response facilities not only visually but also by function. • Create an emergency response facility procurement program complete with timeline and personnel in charge and monitor the progress of procurement 		
Assessment Conclusion:	-		

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Non-conformity			
NCR Ref #	1971712-202010-N3	Clause & Category (Major / Minor)	RSPO P & C INA NI 2020 indicator 7.11.2 (Minor)
Date Issued	15/10/2020	Due Date	Until next ASA
Closed (Yes / No)	No	Date of nonconformity Closure	-
Statement of Nonconformity:	Fire prevention and control measures for the areas directly managed by the unit of certification are inappropriate		
Requirement Reference:	The unit of certification establishes fire prevention and control measures for the areas directly managed by the unit of certification.		
Objective Evidence:	Based on the last update of "Daftar Sarana Tanggap Darurat Kebakaran Lahan" Lae Butar Estate, the emergency equipment are not comply with Permentan No. 5/2018. For example, annex format 8 high pressure pump minimal 25 Hp and portable pump minimal 5 Hp.		
Corrections:	Complete emergency response facilities for land fires in accordance with Ministry of Agriculture No. 5 / Permentan / KB.410 / 1/2018 in 2018 in stages based on the program.		
Root Cause Analysis:	The provision of infrastructure and facilities is not stipulated in the program by the plantation management so that it is not properly monitored.		
Corrective Actions:	<ol style="list-style-type: none"> 1. Create an emergency response facility procurement program and monitor the progress of its procurement 2. Monitoring the appropriateness of emergency response facilities not only visually but also by function. 		
Assessment Conclusion:	-		

Opportunity for Improvements	
OFI #	Description
OFI 1	(RSPO P&C INA – NI indicator 3.4.2) Monitoring of submission process for changes of environmental impact assessment scope to government agency according to the existing managed area.
OFI 2	(RSPO P&C INA – NI indicator 7.8.2) Riparian zones restoration and enrichment.

Positive Findings	
PF #	Description
PF 1	Company commitment to implemented sustainability palm oil.
PF 2	Personal competency of each staff, field supervisor and employee related to sustainability palm oil implementation.

3.4.1 Status of Nonconformities Previously Identified and Observations

Non-conformity			
NCR Ref #	-	Clause & Category (Critical / Minor)	RSPO P&C INANI 2016
Closed (Yes / No)	Yes	Date of nonconformity Closure	Recertification audit
Statement of Nonconformity:	Measurement of air quality, odor and emission of genset for the first semester of 2019 is not yet available.		
Requirement Reference:	Environment monitoring plan document, its implementation report, and the corrective plan (if non-conformance arised from the monitoring result) shall be available. This plan is reviewed on two-yearly basis.		
Objective Evidence:	Based on document observations of the air quality measurement document, the company has not been able to show the results of the measurement of odor and genset emissions for the first semester of 2019, as required in the RKL-RPL document, the measurement is conducted at least once every 6 months.		
Corrective Actions:	<ul style="list-style-type: none"> • Confirm to the Proper Team of the Ministry of Environment and Forestry on the clarity of the implementation of Minister of Environment Decree No. 13 of 2009 and Permen LH No. 21 of 2009, which are relevant for palm oil mills. • Implement one of the regulations that apply to the scope of oil palm based on information from the Ministry of Environment and Forestry. • Revising the monitoring of the odor to 6 months 		
Assessment Conclusion:	Based on document verification during the recertification audit, this nonconformity has been closed.		

Opportunity for Improvement	
OFI#	Description
OFI 1	-

3.4.2 Summary of the Nonconformities and Status

CAR Ref.	Category (Critical / Minor)	P&C Indicator	Issued Date	Status & Date (Closure)
Previous NC's				
-	RSPO P&C INANI 2016 indicator – Minor	5.3.1	7 November 2019	15 October 2020
Current NC's				
1971712-202010-M1	RSPO P & C 2018 indicator – Major	3.6.1	15 October 2020	12 December 2020
1971712-202010-N1	RSPO P & C 2018 indicator – Minor	6.2.6	15 October 2020	Next ASA

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1971712-202010-N2	RSPO P & C 2018 indicator – Minor	6.7.2	15 October 2020	Next ASA
1971712-202010-N3	RSPO P & C 2018 indicator – Minor	7.11.2	15 October 2020	Next ASA

3.5 Stakeholders and previous land owner / user consultation

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

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

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

List of Stakeholders contacted	
Internal Stakeholders Gender committee	Union/Contractors <ul style="list-style-type: none"> • Labor union - Pengurus Serikat Pekerja Seluruh Indonesia (SPP-SPSI PUK Lae Butar) • Village leader of Sangga Beru Silulusan • Village leader of Rimo • CV Karya Murni
Government Departments <ul style="list-style-type: none"> • Environmental Agency of Aceh Singkil Regency • Labor Agency and Manpower Monitoring Officer of Aceh Singkil Regency • Plantation Agency of Aceh Singkil Regency 	NGO LSM Garuda

IS #	Description
1	Feedbacks: Head of Environmental Agency, Aceh Singkil Regency <ul style="list-style-type: none"> • There is no negative issues related environmental management of PT Socfin Indonesia – Lae Butar. The company has comply with all the national and local regulation regarding to plantation business such as SEI, scheduled waste permit and liquid waste disposal permit. They also reported their environmental management and monitoring regularly.

	<ul style="list-style-type: none"> • There is no land burning case in Lae Butar concession for at least 3 years ago. • There is no complaint or grievance from related stakeholder such as local communities, NGO's or any other parties regarding to environmental negative impact of PT Socfin Indonesia – Lae Butar Estate so far. • Report of environmental management and monitoring has been submitted in time as the permit. <p>Management Responses: Certificate holder will always fulfil the regulation regarding to environmental. All the environmental management and monitoring activity will be reported regularly.</p> <p>Audit Team Findings: Certificate holder has conducted environment monitoring and management. The report has been submitted on schedule. There is no environmental issue related to the PT Socfin Indonesia – Lae Butar Estate so far. The information has been described in principle 7.</p>
<p>2</p>	<p>Feedbacks: National Land Agency, Aceh Singkil Regency Cannot contacted.</p> <p>Management Responses: -</p> <p>Audit Team Findings: -</p>
<p>3</p>	<p>Feedbacks: Head of Labour Agency and Manpower Monitoring Officer, Aceh Singkil Regency</p> <ul style="list-style-type: none"> • There is no negative issues related to labour issues or dispute registered so far. • There is no indication of force labour, the application of minimum wages payments in accordance with regulations, health/labour insurance, collective labor agreement and any other labour dispute between the company and their labour. • PT. Socfin Indonesia - Lae Butar Estate/POM has had OHS Committee that responsible for OHS implementation in estate/mill. • All the workers (permanent/temporary) has been registered in health and labour insurance (BPJS Kesehatan and BPJS Ketenagakerjaan). • All manpower report has been submitted in time. <p>Management Responses: PT. Socfin Indonesia - Lae Butar Estate/POM committed to comply with the labour regulation and to coordinate with local labour agency in all of the company's operation.</p> <p>Audit Team Findings: Certificate holder has comply with the regulation. Explanation in detail in principle 1 and 2.</p>
<p>4</p>	<p>Feedbacks: Plantation Agency Staff, Aceh Singkil Regency</p> <ul style="list-style-type: none"> • PT Socfin Indonesia – Lae Butar has been fulfil the regulation related to plantation business and reported their operational activity regularly to the respective agencies include plantation agency. There is no new permit propose until this public consultation was held. • There is no negative issues, complaint, grievance related to Lae Butar Estate/POM.

	<ul style="list-style-type: none"> • There is an positive engagement with smallholders. It is a good approach towards sustainability, reducing conflict risk. <p>Management Responses: PT. Socfin Indonesia - Lae Butar Estate/POM will maintain good relationship with related agencies and any other stakeholders.</p> <p>Audit Team Findings: PT. Socfin Indonesia - Lae Butar Estate/POM has fulfil the regulation related to plantation business and had an engagement with smallholders.</p>
<p>5</p>	<p>Feedbacks: Labour Union FSPPP-SPSI</p> <ul style="list-style-type: none"> • Membership of labour union is not mandatory to all workers, it is free and no force to join. • On March 2020, there is one issue raised from workers. The issue concerning reducing of bonuses payment to the workers compare with previous year. This issue was handled following the company mechanism through bipartite (labour union and company) and up to tripartite mechanism (involving relevant agency). However, the issues has been resolved in participatory ways and accepted by workers, labour union and the company. • Labour union conducting regular meeting in monthly basis and all the records is maintained. • All the workers employed by PT. Socfin Indonesia – Lae Butar is permanent status, therefore no gap or internal conflict against the payment or wages. • Workers facilities such as housing, water, electricity and in-kind benefit also sufficient and appropriate was provided by the company. <p>Management Responses: PT. Socfin Indonesia – Lae Butar committed to comply with the labor regulation and will maintain good relationship internal stakeholder.</p> <p>Audit Team Findings: During onsite visit to workers housing at Pondok 3 Division 3 Lae Butar Estate, housing is well maintained. Almost each housing plant some fruit trees, vegetables, flowers and spice herbs.</p>
<p>6</p>	<p>Feedbacks: AMPERA Cooperative</p> <ul style="list-style-type: none"> • The company has provide a facility and support for labor union and worker cooperative. • The company also provide dispensation to the board of cooperative for an meeting or presented the invitation from government agencies. <p>Management Responses: PT. Socfin Indonesia – Lae Butar committed to maintain good relationship with internal stakeholder.</p> <p>Audit Team Findings: The explanation in detail described in principle 6.</p>
<p>7</p>	<p>Feedbacks: Head of Gender Committee</p> <ul style="list-style-type: none"> • Gender committees were formed as a forum to accommodate complaints or other specific issues from workers, both women and men. The issues that responsible to be follow up by the committees are related sexual harassment, reproductive rights, bullying or even intimidation from the company or co-workers. • Member of gender committees consist of women and men. Since the committees are formed, there is no negative issues raised and reported to the committees.

	<ul style="list-style-type: none"> Gender committees is frequently conduct a dissemination information and assist the company to address their policy, particularly at the current condition where Covid-19 pandemic is still happening. The committees very active to inform the workers relating Covid-19 policy. <p>Management Responses: PT. Socfin Indonesia – Lae Butar committed to respect women worker and it policy will kept implemented.</p> <p>Audit Team Findings: The explanation in detail described in principle 6.</p>
<p>8</p>	<p>Feedbacks: Village head of Rimo and Sanggaberu Silulusan</p> <ul style="list-style-type: none"> There is a good relationship between the company and the local communities. No land dispute until the audit. The company has had annual corporate social responsibility program that helped local communities. The latest empowerment program for paddy smallholders. The company also provide work opportunity to the local people. Some worker come from local communities/village surrounding the company’s area. <p>Management Responses: PT. Socfin Indonesia – Lae Butar has had joint agreement with palm oil smallholder in order to empowering them related to best management practices, zero burning, capacity building of cooperative. The company also has anual CSR program.</p> <p>Audit Team Findings: The explanation in detail described in principle 4.</p>
<p>9</p>	<p>Feedbacks: Transporter CPO & PK (CV Karya Murni)</p> <ul style="list-style-type: none"> CV Karya Murni always maintains the quality of transportation of CPO and PK according to the contract. The process of CPO and PK transport payments from PT Socfin Indonesia has been smooth and there are no problems. SOP-related socialization of the RSPO supply chain is often carried out by PT Socfin Indonesia – Lae Butar POM. CV Karya Murni is aware of and willing to be audited by a certification body if necessary, this is also stated in a cooperation contract with PT Socfin Indonesia – Lae Butar POM. <p>Management Responses: Management of Socfin Indonesia have a good relationship with CV Karya Murni. There is no such problem until now.</p> <p>Audit Team Findings: The explanation in detail described in principle 3 and 6.</p>
<p>10</p>	<p>Feedbacks: NGO – LSM Garuda</p> <ul style="list-style-type: none"> The company has a good relationship with local communities and organization. There is no negative issues related to Lae Butar operational activity. There is no land dispute issues until now. <p>Management Responses: PT. Socfin Indonesia – Lae Butar committed to maintain good relationship with external stakeholder.</p>

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	<p>Audit Team Findings:</p> <p>There is no land disputes, labour or environmental issues so far. The explanation in detail described in principle 3 and 6.</p>
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List of land owner / user contacted					
Name	Years of ownership / used	Land area (ha)	Agreement (Yes / No)	Agreement base on FPIC (Yes/No)	Compliance on the agreement terms and conditions
<p><i>Notes:</i></p> <p><i>PT Socfin Indonesia – Lae Butar POM was operated since the Dutch Era (approximately on 1919). Lae Butar operates an area for oil palm plantations covering an area of 4,731.4 Ha. The area was obtained from the Dutch concession (erpacht) covering an area of 4,414.48 Ha and 312.92 Ha from the purchase the concession of PT Jaya Bahni Utama in 2004.</i></p> <p><i>During the audit, the team of auditors had tried to interview the previous landowners for the area purchased from PT Jaya Bahni Utama in 2004. However, the company no longer exists.</i></p>					

Previous land owner / user comment	
	<p>Feedbacks:</p> <p><i>Notes:</i></p> <p><i>PT Socfin Indonesia – Lae Butar POM was operated since the Dutch Era (approximately on 1919). Lae Butar operates an area for oil palm plantations covering an area of 4,731.4 Ha. The area was obtained from the Dutch concession (erpacht) covering an area of 4,414.48 Ha and 312.92 Ha from the purchase the concession of PT Jaya Bahni Utama in 2004.</i></p> <p><i>During the audit, the team of auditors had tried to interview the previous landowners for the area purchased from PT Jaya Bahni Utama in 2004. However, the company no longer exists.</i></p>
	<p>Management Responses: -</p>
	<p>Audit Team Findings: -</p>

3.6 Impartiality and conflict of interest

During this assessment there was no circumstances or pressure that had influenced the independence or confidentiality of the assessment team.

Formal Signing-off of Assessment Conclusion and Recommendation

<p>The audit objectives have been achieved and the certificate scope remains appropriate. Based on the results of this audit, it is concluded that PT Socfin Indonesia – Lae Butar POM has complied with the RSPO Principle and Criteria</p>

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2018, Supply Chain Module D – Identity Preserved Standard for CPO Mill and audit criteria identified within the audit report. It is deemed that the management system continues to achieve its intended outcomes. Therefore, it is recommended that the certification of PT Socfin Indonesia - Mata Pao POM is continued.

Report prepared by	Acceptance of Assessment Conclusion
Name: Andi Pratama Pasaribu	Name: Andria Zulmanitra
Company Name: PT BSI Group Indonesia	Company Name: PT Socfin Indonesia
Title: Lead Auditor	Title: Sustainability Coordinator
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: 12 December 2020	Date: 12 December 2020

Appendix A: Summary of Findings

Criterion / Indicator	Assessment Findings	Compliance	
<p>Principle 1: Behave ethically and transparently</p>			
<p>Drive ethical business behaviour, build trust and transparency with stakeholders to ensure strong and healthy relationships.</p>			
<p>Criteria 1.1: The unit of certification provides 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>(C) Management documents that are specified in the RSPO P&C are made publicly available.</p>	<p>Based on document verification, certificate holder has had social communication procedure (Document No. SOC/PSM/9.01, Rev.7 dated 01 February 2019). In clause 6.1.5.1 written the list of publicly accessible document as follows:</p> <ul style="list-style-type: none"> a) Land title certificate b) Occupational health and safety plan. c) Environmental document and social impact assessment. d) Prevention and reduce pollution plan. e) Negotiation procedure. f) Continuous improvement program. g) Public summary of certification process. h) Human rights policy i) Company’s policy. j) Ethical code of employee and supplier. k) Identification and management plan of HCV area. 	<p>Complied</p>
<p>1.1.2</p>	<p>Information is provided in appropriate languages and accessible to relevant stakeholders.</p>	<p>All publicly available document is written in Bahasa Indonesia that can understood by local people near the concession area such as identification and management plan of HCV area, work accident report, company’s policy, stakeholder complaints. All document can be accessed</p>	<p>Complied</p>

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		through the section 6.1 of Social Communication Procedure (Document No. SOC/PSM/9.01, Rev.7 dated 01 February 2019).	
1.1.3	(C) Records of requests for information and responses are maintained.	<p>Record of incoming information request or aspiration from stakeholder documented in file "<i>Catatan Permintaan Informasi & Aspirasi</i>" which is recapitulate on a monthly bases. The document consist the information request date, name of person/organization request, type of aspiration, early response by certificate holder, following response/realization and status of request.</p> <p>Based on document verification, it listed more than a hundred information requests within 2020. For example, environmental monitoring and maintain report to the respective agency in Singkil Regency and Ministry of Environment and Forestry on Semester II/2019 on 15 January 2020.</p> <p>All the records of requests for information and responses are in place. Those documents kept by head clerk.</p>	Complied
1.1.4	(C) Consultation and communication procedures are documented, disclosed, implemented, made available, and explained to all relevant stakeholders by a nominated management official.	<p>The social communication procedure (<i>see indicator 1.1.1</i>) also establish the procedure for dealing with aspirations/ request for information, how to monitor them and establish a personal in charge who follow up on each process. According to the procedures, certificate holder shall respond every incoming aspirations/ request for information maximum 30 days after the submission dated.</p> <p>Certificate holder has submitted their mandatory report to the respective government agencies on regular bases. For example:</p> <ul style="list-style-type: none"> • Environmental management and monitoring on six-month bases. • Waste water monitoring report on three monthly bases. • Hazardous waste management report on three monthly bases. • Plantation business development report on annual bases. • OHS committee meeting report on three monthly bases. 	Complied

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		<ul style="list-style-type: none"> Accident report on three monthly bases. <p>Based on interview with respective government agencies (national land agency, labor agency and environmental agency) of Aceh Singkil Regency obtained information that PT Socfin Indonesia – Lae Butar POM has been submitted their mandatory report regularly. There is no record that the certificate holder does not send the mandatory report at all.</p>	
1.1.5	An up-to-date list of contacts and detailed stakeholder information is available along with designated representatives.	<p>PT Socfin Indonesia – Lae Butar consistently updated their list of stakeholders on annual bases. The last updated on 5 October 2020.</p> <p>The list of stakeholders consists the information of stakeholder name, contact and address. Based on document verification, there is two types of stakeholder which is internal and external stakeholder. Internal stakeholder consist of estate manager, head office Medan, mill head, resident doctor, labour union, cooperative, gender committee, while external stakeholder divided into government agencies and subdistrict head, police station, army station, local communities leader or village head (Pandan Sari, Rimo, Blok 31 Sena, Blok 18, Tulaan, Pangji, Silulusan, Sanggaberu and Lae Butar Village), labor union, gender committee, transporter, hazardous waste collector, general contractor and NGO (LSM Garuda).</p>	Complied
Criteria 1.2: The unit of certification commits to ethical conduct in all business operations and transactions.			
1.2.1	A policy for ethical conduct is in place and implemented in all business operations and transactions, including recruitment and contracts.	<p>PT SOCFIN INDONESIA – LAE BUTAR as certified management unit has developed several policies and it publicly available on the company website portal https://www.socfindo.co.id/sustainability#a3. The Code of ethics as a rules for governance when dealing with third parties, divided into:</p> <p>1. Employee and Corporate (https://www.socfindo.co.id/documents/eng/Corporate-Code-of-Ethics.pdf), Edition 2 March 2019.</p>	Complied

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		<p>2. Suppliers Codes of Ethics (https://www.socfindo.co.id/documents/eng/Suppliers-Code-of-Ethics.pdf), Edition 1 March 2019.</p> <p>These policies available in bilingual (English and Bahasa Indonesia) and approved by Principal Director.</p> <p>Implementation Code of Ethics in Business Dealing such as supplier selection is refer to "Prosedur Penanganan Service Request" No. Doc: SOC/PSM/6.07, Edition 02, Rev.03, dated 1st April 2015. Process of service procurement which performed by third party are using tendering method which fairly evaluation on several parameter such as quality, resources and price.</p>	
1.2.2	A system is in place to monitor compliance and the implementation of the policy and overall ethical business practice.	<p>System to monitor compliance and implementation of the Code of Ethics policy is by conducting an internal audit. Guidance of internal audit described within "Pedoman Internal Audit" No. Doc: SOC/PSM/11.01, 1st August 2016.</p> <p>In the SOCFIN INDONESIA organizational structure, an internal audit known as "Sistem Pengawas Internal (SPI)" is responsible to monitor an implementation of corporate policies and procedure, financial, management system and sustainability. Result of an internal audit will report directly to General Manager and Principal Director.</p> <p>Sample of Internal Audit: 6 July 2020. Internal Audit Letter No. IA/Gr1/Bi/102/20. "Laporan Pemeriksaan di Kebun Lae Butar".</p>	Complied
<p>Principle 2: Operate legally and respect rights Implement legal requirements as the basic principles of operation in any jurisdiction.</p>			
<p>Criteria 2.1: There is compliance with all applicable local, national and ratified international laws and regulations.</p>			
2.1.1	(C) The unit of certification complies to relevant regulations.	Certificate holder has had procedure of identification and evaluation of legal requirements (No. Doc SOC/PSM/4.05 dated 15 May 2017). Person	Complied

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		<p>in charge to identify and evaluate was legal staff in coordinate with unit head. Evaluation period conducted in two period which is January – June and July to December.</p> <p>According to the document verification, legal staff and sustainability department has documented the list of regulation and it implementation. For example, local regulation (Qanun Aceh No. 7 year 2014 dated on 22 October 2014 regarding to employment has been listed and implemented.</p> <p>Other requirement related to best management practices was, the company has implemented national act 18/2014 regarding to plantation especially article No. 26 concerned to zero burning. Based on field visit in replanting area in Blok 85 Afdeling 4 sighted no fire usage during the replanting activity. The company consistent to implemented zero burning policy.</p>	
2.1.2	<p>A documented system for ensuring legal compliance is in place. This system has means to track changes to the law and also includes listing and evidence on evaluation of legal compliance of all contracted third parties, such as: recruitment agencies, service provider and labour contractor.</p>	<p>As described in the previous indicator 2.1.1, certificate holder has appointed legal staff in collaborate with sustainability team to identify the latest legal regulation and its implementation each semester. The implementation also verified for third parties, recruitment agencies, service providers and labour contractors.</p> <p>For example, the implementation of no child-worker usage of transporter - contractor (CV Karya Murni) has been verified. According to the last observation by chief mill, there was no child-worker used by CV Karya Murni.</p>	Complied
2.1.3	<p>Legal or authorized boundaries are clearly demarcated and visibly maintained and there is no planting beyond these legal or authorized boundaries.</p>	<p>Certificate holder conducted boundary poles monitoring in a monthly basis. Lae Butar concession had 94 poles. Based on the last report "Patroli LK3 – 2020 Patok HGU Division 1, 2, 3 and 4" dated 3 October 2020 known that all boundary poles are in place. There is no record of broken or lost poles.</p>	Complied

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		During the audit, auditor has randomly visited boundary poles number BPN PT SFD 43 (Block 20), PT SFD 44 and PT SFD 45 (Block 22) Division 3. All boundary poles are available and well maintained.	
Criteria 2.2: All contractors providing operational services and supplying labour, and Fresh Fruit Bunch (FFB) suppliers, comply with legal requirements.			
2.2.1	A list of contracted parties is available.	PT SOCFIN INDONESIA – LAE BUTAR as certified management unit has maintained list of contracted parties and listed in “Daftar Stakeholder”, applicable since 1 st January 2013.	Complied
2.2.2	All contract, including those for FFB supply, contain specific clause on meeting relevant legal requirements and this can be demonstrated by the third party.	Regarding FFB transport from estate to Mill, Unit of Certification (UoC) has own company vehicle. Third party contract is only for product deliveries (CPO and Palm Kernel). Sample of CPO transport contract: “Surat Perjanjian Pengangkutan Minyak Kelapa Sawit No: PD-GM/X/523/2019”, dated 23 Dec 2019. Transporter name: CV. Karya Murni. Specific clause on meeting relevant legal requirement are described in “Pasal III No. 14”. Sample of Palm Kernel transport contract: “Surat Perjanjian Pengangkutan Inti Kelapa Sawit No: PD-GM/X/524/2019”, dated 23 Dec 2019. Transporter name: CV. Karya Murni. Specific clause on meeting relevant legal requirement are described in “Pasal III No. 16”.	Complied
2.2.3	All contracts, including those for FFB supply, contain clauses disallowing child, forced and trafficked labour.	Regarding FFB transport from estate to Mill, Unit of Certification (UoC) has own company vehicle. Third party contract is only for product deliveries (CPO and Palm Kernel). Sample of CPO transport contract: “Surat Perjanjian Pengangkutan Minyak Kelapa Sawit No: PD-GM/X/523/2019”, dated 23 Dec 2019. Transporter name: CV. Karya Murni. Specific clause on meeting relevant legal requirement are described in “Pasal III No. 14”.	Complied

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		Sample of Palm Kernel transport contract: "Surat Perjanjian Pengangkutan Inti Kelapa Sawit No: PD-GM/X/524/2019", dated 23 Dec 2019. Transporter name: CV. Karya Murni. Specific clause on meeting relevant legal requirement are described in "Pasal III No. 16".	
Criteria 2.3: All FFB supplies from outside the unit of certification are from legal sources.			
2.3.1	(C) For all directly sourced FFB, Palm Oil Mill (POM) requires: <ul style="list-style-type: none"> Information regarding the geolocation of FFB origins; Proof of ownership status, right/claim of the land by grower/smallholder; If relevant, valid planting/operational/trading license, or is part of a cooperative which allows the buying and selling of FFB. 	PT SOCFIN INDONESIA – LAE BUTAR POM as certified management unit has only one supply base from their own nucleus estate namely Lae Butar Estate. <ul style="list-style-type: none"> Lae Butar Estate located in 2° 24' 02.4" N; 97° 59'15.0" E (Div.1 office). The GPS coordinate is taken from the centre of Lae Estate. Ownership status of Lae Butar Estate is legally registered and has land title certificate of "Hak Guna Usaha" No. 5 Year 1988 with area covered 4,414.48 Ha. Plantation permit No. HK.350/824/Dj.Bun.5/XI/2001, dated 23 November 2001 with area covered 4,414.48 Ha and Mill capacity is 23 MT FFB/hours.	Complied
2.3.2	For all indirectly sourced FFB, the unit of certification obtains from the collection centres, agents or other intermediaries, the evidence as listed in indicator 2.3.1.	PT SOCFIN INDONESIA – LAE BUTAR POM implementing supply chain model IP. FFB supplied is directly from their own estate and not receiving indirectly FFB from other parties.	Complied
Principle 3: Optimise productivity, efficiency, positive impact and resilience Implement plans, procedures and systems for continuous improvement.			
Criteria 3.1: There is an implemented management plan for the unit of certification that aims to achieve long-term economic and financial viability.			
3.1.1	(C) A business or management plan (minimum of three years) is documented and where applicable, includes a jointly developed business case for Scheme Smallholders.	PT Socfin Indonesia has provide longterm management plan in document <i>Rencana Jangka Panjang periode 2017 – 2021</i> . This document described the five-year business projection of Socfin Indonesia (for whole business unit of palm oil and rubber).	Complied

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		<p>Longterm management plant of PT Socfin Indonesia has documented in <i>Rencana Jangka Panjang periode 2017 – 2021</i>. The longterm management plan covered parameter as follows:</p> <ul style="list-style-type: none"> • Hectare statement of mature and immature area • Estimation of production (Tonnes) • Estimation of FFB purchase (for Mass Balance Mill) • Extraction projected (%) • Cost estimation (IDR/Kg) • Estimation of price (IDR/Tonnes) • Estimation of profit (IDR) <p>Through the document, the production and profit of Lae Butar was projected to increased even though the production cost also higher on 2020 and 2021.</p> <p>During the audit, Lae Butar POM has had average extraction for CPO (23.14%) and KER (4.14%) in 2020. Refer to annual report 2019, Lae Butar POM achieved the FFB production 100,480 MT, CPO 22,786 MT and PK 4,048 MT. This achievement was met the target set.</p> <p>Based on interview with Estate Manager and sustainability team from Medan Office, PT Socfin Indonesia has started to engage with local smallholder near the Socfin concession as requirement by RSPO P&C 2018. The evidence of engagement has been verified by auditors even the actual projection data still not officially written in long-term management plan 2017 – 2021.</p>	
3.1.2	An annual replanting programme projected for a minimum of five years with yearly review, is available.	<p>According to the long-term management plan period 2020 – 2024, Lae Butar has had annual replanting program as follows:</p> <ul style="list-style-type: none"> • 2020: 33.13 Ha (completed) • 2021: 114.70 Ha • 2022: 155.79 Ha 	Complied

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		<ul style="list-style-type: none"> • 2023: 90.43 Ha • 2024: 109.08 Ha <p>During the audit, auditor has visited the replanting area of 2019 Blok 85 Afdeling 4 that has been successfully transplanted. There was no fire usage during the land preparation.</p>	
3.1.3	The unit of certification holds management review at planned term according to the scale and nature of the activities undertaken.	<p>PT. Socfin Indonesia that managed whole Socfin’s operation of rubber and palm oil plantation in Indonesia usually set the annual report. Those documents will bring into annual management review meeting (usually on February and September). The result of the meeting will record as continuous improvement in operational activities next year.</p> <p>During the audit, auditor team has verified the last management review that held on 10 September 2020 (attended by 11 participants consist of Group Manager, Estate Manager, Mill chief, field assistant and sustainability staff). Some of the issues discussed were follow-up to previous management reviews, follow-up on internal audit findings, production targets that have been achieved, public complaint records, work accident records, environmental performance, compliance with regulations. The record of management review is in place.</p>	Complied
Criteria 3.2: The unit of certification regularly monitors and reviews their economic, social and environmental performance and develops and implements action plans that allow demonstrable continuous improvement in key operations.			
3.2.1	(C) The action plan for continuous improvement is implemented, based on consideration of the main social and environmental impact and opportunities of the unit of certification.	Continuous improvement for 2020 that has been implemented. For example: there is an engagement with smallholder group related to palm oil cultivation partnership. The company has conducted best management practices training that attended by smallholder group members.	Complied
3.2.2	As part of the monitoring and continuous improvement process, annual reports are submitted to the RSPO Secretariat by Certification Body during Annual Surveillance Assessment by using the RSPO metrics template.	Based on explanation of management representatives, until audit finish the RSPO Metric Template still not finalized. Certificate holder only submit their ACOP’s.	Complied

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		<p>In accordance with ACOP 2019, Socfin SA has submitted the ACOP report to the RSPO secretariat. According to the report, Socfin SA has a program to train surrounding smallholder on Best Management Practices.</p>	
Criteria 3.3: Operating procedures are appropriately documented, consistently implemented and monitored.			
3.3.1	<p>(C) Standard Operating Procedures (SOPs) for the unit of certification are in place.</p>	<p>Standard Operating Procedures (SOPs) and Work Instructions for Estate been documented. The procedures cover key processes, harvesting, transportation, manuring, IPM, GAP, Supply Chain requirements for the mill, land clearing, nursery, preparation before replanting, drainage system, maintenance of immature and mature upkeep.</p> <p>SOP for Estate:</p> <ul style="list-style-type: none"> • SOC/PSM/7.10: Standard Operating Procedure for Oil Palm Plantation. • SOC/PSM/7.10-15: Procedure of Soil Analysis • SOC/PSM/7.10-16: Procedure of Leaf Sampling • SOC/PSM/7.10-08: Procedure of Terracing • SOC/PSM/7.10-06: Procedure of Drainage Ditch • SOC-KKS/IK/05: Work Instruction of Planting of Oil Palm • SOC-KB/IK/01: Work Instruction of Fertilising • SOC-KB/IK/02: Work Instruction of Pesticide Spraying • SOC-KKS/IK/01: Work Instruction of Nursery • SOC-KKS/IK/07: Work Instruction of Harvesting • SOC-KKS/IK/12: Work Instruction of EFB Application • SOC-KKS/IK/12: Work Instruction of Weeds Controlling • SOC-KB/IK/07: Work Instruction of Road Maintenance • SOC-KB/IK/08: Work Instruction of Peat Land Management 	Complied

		<ul style="list-style-type: none"> • IPM Procedure: <ul style="list-style-type: none"> ✓ SOC/PSM/7.10-13: Procedure of Caterpillar Control ✓ SOC/PSM/7.10-11: Procedure of Oryctes Rhinoceros Control ✓ SOC/PSM/7.10-21: Procedure of Rat Control ✓ SOC/PSM/7.10-21: Procedure of Ganoderma Control <p>SOP for Mill:</p> <p>Procedure and Work instructions in local language for supporting Mill activities have been established for all of its operations from receiving of FFB, processing CPO and palm kernel, dispatch and also supply chain requirements. The procedure also describes quality control check, sampling methods including its reporting from reception of FFB up to dispatch of CPO and palm kernel.</p> <ul style="list-style-type: none"> • SOC-POM/IK-01 FFB receiving in loading ramp • SOC-POM/IK-02 Operation of steriliser • SOC-POM/IK-02 Operation of hoisting crane • SOC-POM/IK-04 Operation of stripper • SOC-POM/IK-05 Operation of digester and screw press • SOC-POM/IK-06 Operation of continuous tank • SOC-POM/IK-07 Operation of purifier • SOC-POM/IK-08 Operation of vacuum dryer • SOC-POM/IK-09 Operation of decanter • SOC-POM/IK-10 Operation of sludge separator • SOC-POM/IK-11 Operation of decantation pond and fat pit • SOC-POM/IK-12 Operation of silo nut • SOC-POM/IK-13 Operation of ripple mill 	
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		<ul style="list-style-type: none"> • SOC-POM/IK-14 Operation of separating tank • SOC-POM/IK-15 Operation of silo kernel • SOC-POM/IK-16 Operation of clay bath • SOC-POM/PSM/7.08: Procedure of Receiving • SOC-POM/PSM/7.09: Procedure of Processing • SOC-POM/PSM/7.06: Procedure of Delivery of CPO and PK • SOC/PSM/4.10: Procedure of Waste Control • SOC/PSM/9.09: Procedure of Supply Chain Certification Standard Mass Balance <p>Those documents are available in Bahasa Indonesia in each unit estate and mill.</p>	
3.3.2	A mechanism to check consistent implementation of procedures is in place.	The company has scheduled the RSPO and ISPO internal audit program for Lae Butar unit on July each year. Due to pandemic of Covid 19, that schedule has been postponed until September 2020. Based on the internal audit report (2 – 4 September 2020), internal auditor issued 10 findings related to implementation of RSPO/ISPO standard. Unit management of Lae Butar has been submitted the corrective action plan regarding on that findings.	Complied
3.3.3	Records of monitoring and any actions taken are maintained and available.	Several findings have been corrected quickly and have been accepted by internal auditors. The remaining findings will be corrected prior to an external audit by the certification body.	Complied
Criteria 3.4: A comprehensive Social and Environmental Impact Assessment (SEIA) is undertaken prior to new plantings or operations, and a social and environmental management and monitoring plan is implemented and regularly updated in ongoing operations.			
3.4.1	(C) SEIA in new planting or operation including mills, is conducted independently and participatively by involving the affected stakeholders, inclusive of impact assessment from the smallholder/outgrower scheme (if any). The assessment is to be documented.	PT. SOCFIN INDONESIA established since 1926 and first planting of oil palm crops in Lae Butar Estate is 1927 and Mill constructed in 1938. As refer to Indonesia Government Regulation "Peraturan Pemerintah RI No.	Complied

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		<p>29 Tahun 1986”, PT. SOCFIN INDONESIA – LAE BUTAR required to conduct environmental impact assessment.</p> <p>Initial Environmental Impact Assessment or “AMDAL” conducted in 1993 in form of “Penyajian Evaluasi Lingkungan (PEL)” by third party independent consultant “Pusat Penelitian Sumberdaya Alam dan Lingkungan, Universitas Sumatera Utara”. Scope area on initial assessment “Penyajian Evaluasi Lingkungan” is 4,180 Ha. Document of “Penyajian Evaluasi Lingkungan Perkebunan Kelapa Sawit dan Pabrik Pengolahannya Kebun Lae Butar – Kecamatan Simpang Kanan, Kabupaten Aceh Selatan” has been approved by Ministry of Agriculture No. RC220/475/B/III/1994, dated 17 March 1994.</p> <p>In December 2005, Revision on Environmental Monitoring Plan with area covered 4,247 Ha. This document has been approved by BAPEDALDA Kabupaten Aceh Singkil with letter No: 660.1/225/2005, dated 20 December 2005.</p> <p>In 2008, PT. SOCFIN INDONESIA – LAE BUTAR acquired an existing oil palm plantation company PT. Jaya Bahni Utama for area 312.92 Ha. The environmental assessment document “Dokumen Pengelolaan Lingkungan Hidup (DPLH)” is available and approved by “Badan Pengendalian Dampak Lingkungan Daerah Aceh Singkil” with approval No: 660/080/DPLH/11/2c, dated 21 February 2011. This area has been amalgamated to be managed under Lae Butar Estate.</p> <p>As per Indonesia regulation, involving of affected stakeholders during environmental impact assessment is mandatory and be part of the assessment report.</p> <p>PT. SOCFIN INDONESIA – LAE BUTAR has no scheme smallholders surrounding the plantation area.</p>	
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		<p>Social impact assessment was conducted by the organisation through PRA (Participatory Rural Appraisal) and involved the local community. And also some interview was conducted with leaders' community. Field assessment conducted on 21 March - 30 April 2014. Scope of assessment covered villages were Sangga Beru, Sidorejo, Dangguran, Uruk Timbul, Siatas, Suko Rejo, Sido Dadi, Pandan Sari, Kota Rimo. Some aspects were considered during assessment such as residence, economy, social cultural and public health. The company revised the SIA document in March 2017, several change such as:</p> <ul style="list-style-type: none"> • Access and use rights • Economic livelihoods (e.g. paid employment) and working conditions • Subsistence activities • Cultural and religious values • Health and education facilities • Other community values, resulting from changes such as improved transport /communication or arrival of substantial migrant labour force. • Traditional or customary rights owned by the local community • Welfare of workers/labour and women, children and vulnerable group • Contribution to the local development, including improvement of human resources, local and customary communities. • Building new roads, processing mills or other infrastructure, replanting, disposal of mill effluents, clearing of remaining natural vegetation, changes in employee numbers or employment terms, and smallholder schemes. 	
3.4.2	For the unit of certification, a SEIA is available and social and environmental management plan and its monitoring have been developed with participation of affected stakeholders.	Social and Environmental Management Plan is already attached within the Environmental Impact Assessment known as "Rencana Kelola Lingkungan and Rencana Pantau Lingkungan".	OFI

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		OFI: Monitoring of submission process for changes of environmental impact assessment scope to government agency according to the existing managed area.	
3.4.3	(C) The social and environmental management and monitoring plan is implemented, reviewed and updated regularly in participatory way.	<p>Implementation Report of Environmental Management and Monitoring Plan is frequently updated and reported to Environmental Agency twice a year (six month basis). The latest "Laporan Pelaksanaan RKL-RPL Semester I 2020", period January – June 2020 already submitted to Ministry of Environmental via electronic system known as "Sistem Informasi Pelaporan Elektronik Lingkungan Hidup (SIMPEL)" with ID TTE: 1594107984-19, dated 7 July 2020.</p> <p>Management review for Environmental Management and Monitoring Plan Semester I 2020 has been conducted on 10 September 2020.</p>	Complied
Criteria 3.5: A system for managing human resources is in place.			
3.5.1	Employment procedures for recruitment, selection, hiring, promotion, retirement and termination are documented and made available to the workers and their representatives in accordance with the applicable regulation.	<p>Employment procedures are available and maintained in Unit of Certification. Specific terms:</p> <ol style="list-style-type: none"> 1. Recruitment, Hiring and Selection: "Prosedur Penerimaan Pekerja KHT (Doc. No: SOC/PSM/6.01.01, edition 01, rev.03, dated 20 February 2020). 2. Promotion, Demotion, Job Transfer: "Prosedur Promosi, Mutasi dan Demosi (Doc. No: SOC/PSM/6.14, Edition 01, Rev.00, dated 17 October 2016). 3. Collaborative Agreement between Labour Union and The Company: "Perjanjian Kerja Bersama 2018 – 2020". <p>There are 3 steps in employees recruitment such as :</p> <ol style="list-style-type: none"> a. Request recruitment of estate employees <ul style="list-style-type: none"> • Letter of application for recruitment from Site Management devoted to management via the General Section • Letter of approval for recruitment from management (Head Office) 	Complied

		<p>b. The selection process</p> <ul style="list-style-type: none"> • The collection of application file • Selection of administration • Announcement of the selection schedule • Test questions and physical tests • Summary of the results of the selection • Announcement of selection results • Provision of a cover letter MCU to candidates who pass the selection • Implementation of MCU <p>The announcement of selected candidate Through interviews with workers in mill and plantation, it confirmed that there was no discrimination on working opportunities, all workers treated equally. Records of employee’s recruitment were available and have been reviewed during audit.</p>	
3.5.2	Employment procedures are implemented and records are maintained.	<p>Employment procedure owned by Unit of Certification is Recruitment, Hiring and Selection: “Prosedur Penerimaan Pekerja KHT (Doc. No: SOC/PSM/6.01.01, edition 01, rev.03, dated 20 February 2020).</p> <p>There are 3 steps in employees recruitment such as :</p> <p>a. Request recruitment of estate employees</p> <ul style="list-style-type: none"> • Letter of application for recruitment from Site Management devoted to management via the General Section • Letter of approval for recruitment from management (Head Office) <p>b. The selection process</p> <ul style="list-style-type: none"> • The collection of application file • Selection of administration • Announcement of the selection schedule • Test questions and physical tests • Summary of the results of the selection • Announcement of selection results 	Complied

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		<ul style="list-style-type: none"> • Provision of a cover letter MCU to candidates who pass the selection • Implementation of MCU <p>The announcement of selected candidate Through interviews with workers in mill and plantation, it confirmed that there was no discrimination on working opportunities, all workers treated equally. Records of employee’s recruitment were available and have been reviewed during audit.</p> <p>PT. SOCFIN INDONESIA – LAE BUTAR has maintained record of their employees. According to employee database updated October 2020, described as follow:</p> <ol style="list-style-type: none"> 1. Estate: 809 employees 2. Mill: 97 employees. 3. Office: 44 employees. <p>There are 30 new employees are recruited as per MCU on June 2020. Sample records of new employee recruitment in 2020 are:</p> <ol style="list-style-type: none"> 1. Ronal Tumanggor (Div.1), age: 23 y.o, Harvester. 2. Andi Winata (Div.4), age: 28 y.o, Harvester. 3. Eko Hariyanto (Div.3), age: 29 y.o, Harvester. 	
<p>Criteria 3.6: An Occupational health and safety (H&S) plan is documented, effectively communicated and implemented.</p>			
3.6.1	<p>(C) All operational activities risks assessed to identify the H&S issues. Mitigation plans and procedures are documented and implemented.</p>	<p>Risk Assessment for all operations regarding to health and safety was available within the scope of oil palm mill processes activities and agricultural estate activities has already conducted, as it was considered the stages of OHS risk control hierarchy such as elimination, substitution, engineering, administrative and PPE (Personnel Protective Equipment) to OHS risk precautions. Risk assessment were reviewed once in a year and should any accident has occurred. The last reviewed</p>	<p>Non-compliance</p>

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		<p>for risk assessment was conducted on 7 January 2020 for estate and mill.</p> <p>Mill risk assessment cover processes and activities attached to the realisation of product CPO such as: weighing bridge, boiler, engine room, power house, loading ramp, sterilizer, threshing, pressing, kernel operation, clarification, office, laboratory, dispatch CPO, firefighting simulation, water treatment, chemical warehouse, spare part and warehouse.</p> <p>Estate risk assessment covers processes and activities such as: spraying, manuring, weeding, replanting, road maintenance, firefighting simulation, harvesting, transportation, warehouse, workshop, infrastructure, polyclinic, and administration. It also covered all the risk attached to the products.</p> <p>Several OHS procedures related to the risk assessment were established such as:</p> <ul style="list-style-type: none"> • Environmental, Health and Safety Aspect identification Procedure (SOC/PSM/4.04 Rev. 10 dated 1 March 2020) • Emergency Response Procedure (SOC/PSM/4.08 Rev. 05 dated 1 April 2014) • OHS Monitoring and Measurement (SOC/PSM/4.09 Rev. 05 dated 15 May 2017) • Handling of Hazardous Material Procedure (SOC/PSM/4.10 rev. 02 dated 1 October 2010) • Accident investigation and Reporting (SOC/PSM/4.14 Rev. 03 dated 1 March 2020) • Medical Checkup procedure (SOC/PSM/4.19 Rev. 03 dated 1 December 2013) • Personal Protective Equipment Control procedure (SOC/PSM/4.21 Rev. 02 dated 1 October 2010) 	
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		<ul style="list-style-type: none"> • OHS for Contractor Procedure (SOC/PSM/4.16 Rev. 04 dated 1 March 2020) • Safety Patrol Procedure (SOC/PSM/4.12) • Lock Out Tag Out Procedure (SOC/PSM/4.18) • Control Of Significant Aspect of Safety and Environment (SOC/PSM/4.13 Rev. 02 dated 1 July 2009) <ul style="list-style-type: none"> - Driving Safety - Confined Space - Manual Handling - FE Inspection - Electrical Safety <p>Mitigation plan to reduce and eliminate the risk has been established by PT Socfin Indonesia – Lae Butar as per “Pengendalian Aspek Penting Lingkungan, Keselamatan dan Kesehatan Kerja”. Sample seen of mitigation plan and its implementation:</p> <ul style="list-style-type: none"> - To reduce the risk of chemical vapours/air exposure during loading, unloading and handling of chemical at the warehouse, Cyclone fan installation at the warehouse has been implemented. - To minimize the risk of chemical exposure and health impact during handling company has provide working instruction, PPE for workers (masker, rubber hand gloves, safety goggles, safety boots and apron), regular medical check-up (each semester). - Monitoring of physical chemistry factors has been conducted such as noise, vibration, working temperature. Follow up regarding to this condition has been conducted and evaluated. <p>OHS induction was performed by Safety Officer at mill and estate. Utility equipment were available and installed such as boilers, sterilised, steam vessel, compressors, generator, heavy equipment and lifting equipment.</p>	
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		<p>This equipment has been inspected by local authority and the records were evident. Periodic monitoring was also performed internally such as boiler parameter monitoring (pressure, temperature, water quality, water level. Moving parts of machine/equipment generally has been covered or guarded. Safety sign was provided to make workers aware on this hazard and risk. Electrical hazard symbol was provided at electrical panel. Inspection regarding to electrical installation has been made. Access for workers to workplace in general also good e.g. stair was provided with hand rail and platform at height was provided with border to prevent fall risk.</p> <p>Work permit system has been implemented for working in confined space (e.g. cleaning of storage tank), working at height and welding. The cleaning of storage tank no.02 activity conducted during 26 August 2020 and tank no. 01 on 2 January 2020 has applied the safety working permit process. The records were shown and maintained properly. Lock out tag out has also been established and implemented especially intended for risk control of maintenance activities.</p> <p>All precautions attached to products been properly observed and applied to the workers. Several controls such as providing PPE and administration control were applied to workers in some activities such as: mill maintenance process, spraying activities, handling of pesticides.</p> <p>During Covid-19 Pandemic, PT Socfin Indonesia – Lae butar has establish the guidance of Covid-19 prevention and handling as per "SOC/DP/4.13-18 dated 1 July 2020. To prevent and handling the risk during covid-19 pandemic:</p> <ul style="list-style-type: none"> - Information update regarding the covid-19 pandemic condition through government update of covid-19 status. - Awareness: Socialization and education to all employee regarding covid-19 prevention, healthy lifestyle awareness, encourage employee to stay at home beyond the working hour. 	
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		<p>- Technical prevention: provide the health working environment, social distancing, provision of hand sanitizer and hand wash in the workplace, temporary prohibit the fingerprint, provision of masker and mandating to wear the mask, temperature check before enter the workplace, encourage meeting by online both external and internal, manage employees leave and enter the company's area from outside and require self-isolation for employees who come from the red zone.</p> <p>- Special management: employee indicate fever shall be isolated in an isolation room provided by the company for 14 days and check by Rapid test, If there are workers/families of workers who are positive for Covid 19 the company's medical staff will coordinate with the referral hospital and the supervisor of the local health service.</p> <p>During covid-19 pandemic until audit conducted there is no case of covid-19 in PT Socfin Indonesia - Lae Butar.</p> <p>Based on field visit obtained:</p> <ul style="list-style-type: none"> • PT Socfin Lae Butar has identify risk for all activity including fuel station activity, however there is no electrical installation risk (in area of fuel station) were identified and include in the HIRADC. • During field observation, found unsafe condition whereby electrical cable installation at fuel station area of Lae Butar Mill were not properly/safely covered. • During field observation, found unsafe condition whereby rotary motor at water pump were not properly/safely covered. • During field observation found unsafe condition whereby the tree branches that are very close above high voltage power lines (PLN) and bamboo plants that are close to high voltage power lines. This condition is very close to the fuel station and has the potential for fire if a short circuit occurs. In addition, Lae Butar Mill missing identify this issue in the HIRADC. 	
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		<p>PT Socfin Indonesia - Lae Butar Mill has identify risk for all activity, however there are some risk/safety issue identify during field visit are not include in the HIRADC and no mitigation action were implemented to eliminate the risk. This is raised as noncompliance against critical indicator.</p>	
<p>3.6.2</p>	<p>(C) The effectiveness of the H&S plan to address health and safety risks to people is monitored.</p>	<p>Health and Safety plan to address health and safety risks to people has been established as per "Rencana Keselamatan dan Kesehatan Kerja" dated 1 March 2020, i.e:</p> <ul style="list-style-type: none"> • Mapping the high voltage electrical way (PLN) cable around the plantation area to prevent the risk of harvester from being electrocuted by high voltage electricity. Mapps are available as per "Peta Jalur PLN" with scale 1:25,000. • Determined the special harvester and trained harvester to conduct the harvesting in around of high voltage electrical way and provide the non-conductor harvesting pole, install the warning sign and marking in the palm oil tree in around of high voltage electrical way. Socialization and refreshment training has been performed by company to special harvester on 16 May 2020. • Regular Safety briefing to all employee during master morning. During interview with employee at Lae Butar POM and Estate confirmed that they have follow the safety briefing each morning by field assistant before they go to workplace. • PPE provision and regular monitoring of PPE by field foreman & field assistant. Monitoring of PPE conducted during master morning and regular inspection (safety patroll) each month record in "Checklist Patrol LK3". Sample seen for safety Patrol at Division III and Division II Lae Butar Estate, latest patrol on 1 September 2020 Division III for activity of spraying block 24 & 12, manuring at block 12, harvesting at block 15, pruning at block 25; PPE usage were appropriate by workers, work tools are in safe conditions and work 	<p>Complied</p>

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		<p>is carried out in accordance with safety rules, first aid equipment were available at work sites.</p> <ul style="list-style-type: none"> Regular safety committee meeting has been conducted each month to discuss and evaluated the OHS plan implementation. Minutes of Safety committee meeting are available in "Risalah Briefing". Sample seen: safety committee meeting period July (7 July 2020), August (25 August 2020) and September (15 September 2020); minutes of meeting and attendance list are available. Safety committee meeting and evaluation are reported to Dinas Tenaga Kerja dan Mobilitas Penduduk Provinsi Aceh each quarter, latest report Q3 on 9 October 2020. 	
Criteria 3.7: All staff, workers, Scheme Smallholders, outgrowers, and contract workers are appropriately trained.			
3.7.1	(C) A documented programme that provides training is in place, which is accessible to all staff, workers, scheme smallholders, and outgrowers taking into account gender- specific needs, and which covers applicable aspects of P&C Principles, in a form they understand and includes assessment of the training.	<p>PT Socfin Indonesia – Lae Butar POM has shown the document of training Program year 2019 and on period 2020 related to the aspects of RSPO Principles and Criteria under document No: SOC/Form/6.02-01, January 2020. The training program period 2020 determined 15 topics of training, including:</p> <ul style="list-style-type: none"> Communication and Leadership Training on March 2020 Training for welder (Juru Las) on April 2020 Training for Boiler Operation, operator, and water treatment operation Training on April 2020. Heavy equipment operator Training To obtain the operator's license-SIO (backhoe loader, wheel loader, grader and wheel tractor). Emergency response Training on September 2020 Training of P&C RSPO on March 2020 Handling of pesticide training on June 2020 Management and monitoring of hazardous waste training on July 2020 	Complied

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		<ul style="list-style-type: none"> • First aider training on July 2020 	
3.7.2	Records of training are maintained, where appropriate on an individual basis.	<p>Unit of Certification keep maintain record of training for their workers. In example:</p> <ul style="list-style-type: none"> - 14 May 2020. Training title: Oil Palm crops fertilizing technique. Attended by 6 fertilizer applicator. - 15 February 2020. Training title: Land fire emergency response. Attended by 24 harvesters. - 13 June 2020. Training title: HCV Area Management and Safety Patrol. Attended by 11 employees. 	Complied
3.7.3	Appropriate training is provided for personnel carrying out the tasks critical to the effective implementation of the Supply Chain Certification Standard (SCCS). Training is specific and relevant to the task(s) performed.	<p>According to procedure Identification of the person having overall responsibility for RSPO Supply Chain implementation was Mill chief I (Head of Mill) and Sustainability staff and sales was responsible to conduct the transaction at Palm Trace. For RSPO SCCS administration, Head of Lae Butar Mill assigned Mill clerk (Mr. Ade Surya) as PIC of SCCS administration based on Manager Decree letter no. LB/IX/Bi dated 1 September 2020. During audit, the person was able to demonstrated awareness of the organization's procedures for the implementation of the RSPO Supply Chain requirements.</p> <p>PT Socfin Indonesia – Lae Butar POM was implementing Identity Preserved for supply chain, it means that all FFB receive by mill was from certified estate which own estate (Lae Butar Estate). There is no non – certified FFB receive by mill.</p>	Complied
<p>Criteria 3.8: Supply chain requirements for mills.</p> <p>Procedure note: all requirements are classified as Critical Indicators. However it will not contribute to suspension if there is more than 5 non-compliance within a principle)</p>			
3.8.1	<p>Identity Preserved Module</p> <p>A mill is deemed to be Identity Preserved (IP) if the FFB processed by the mill are sourced from plantations/estates that are certified against the</p>	<p>PT Socfin Indonesia – Lae Butar POM is only receiving FFB from certified source, which is a company-owned estate, Lae Butar Estate. PT Socfin Indonesia – Lae Butar POM implementing RSPO SCCS model IP since 2017.</p>	Not Applicable

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	<p>RSPO Principles and Criteria (RSPO P&C), or against the Group Certification scheme.</p> <p>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 Mass Balance Module is applicable.</p>											
3.8.2	<p>Mass Balance Module</p> <p>A mill is deemed to be Mass Balance (MB) if the mill process FFB from both RSPO certified and uncertified plantations/estates. A mill may be taking delivery of FFB from uncertified growers, in addition to those from its own and 3rd party certified supply base. In that scenario, the mill can claim only the volume of oil palm products produced from processing of the certified FFB as MB.</p>	PT Socfin Indonesia – Lae Butar POM implemented Module D - CPO Mills: Identity Preserved, therefore this indicator is not applicable.	Complied									
3.8.3	<p>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. 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 projection for certified FFB and production of certified CPO and PK in Lae Butar POM has been recorded in CB’s public summary report and registered in RSPO IT Platform.</p> <p>According to public summary report ASA4 PT Socfin Indonesia – Lae Butar POM the estimated tonnage of CPO and PK products that could potentially be produced by the certified mill are as bellow:</p> <table border="1"> <thead> <tr> <th>Description</th> <th>Estimated (Nov 2019 – Oct 2020)</th> <th>Actual (Nov 2019 – Oct 2020)</th> </tr> </thead> <tbody> <tr> <td>CPO</td> <td>25,666.00</td> <td>20,081.44</td> </tr> <tr> <td>PK</td> <td>4,653.74</td> <td>3,382.35</td> </tr> </tbody> </table>	Description	Estimated (Nov 2019 – Oct 2020)	Actual (Nov 2019 – Oct 2020)	CPO	25,666.00	20,081.44	PK	4,653.74	3,382.35	Complied
Description	Estimated (Nov 2019 – Oct 2020)	Actual (Nov 2019 – Oct 2020)										
CPO	25,666.00	20,081.44										
PK	4,653.74	3,382.35										
3.8.4	<p>The mill shall also meet all registration and reporting requirements for the appropriate supply chain through the RSPO IT platform.</p>	PT Socfin Indonesia – Lae Butar POM is a palm oil mill which takes legal ownership and physically handled RSPO certified sustainable oil palm	Complied									

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		product, therefore the site has been registered in RSPO IT Platform with ID number RSPO_PO1000001775..	
3.8.5	<p>Documented procedures</p> <p>The mill shall have written procedures and/or work instructions or equivalent to ensure the implementation of all elements of the applicable supply chain model specified. This shall include at minimum the following:</p> <ul style="list-style-type: none"> a) Complete and up to date procedures covering the implementation of all the elements of the supply chain model requirements. b) Complete and up to date records and reports that demonstrate compliance with the supply chain model requirements (including training records). c) 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 mill's procedures for the implementation of this standard. d) The mill shall have documented procedures for receiving and processing certified and non-certified FFBS including ensuring no contamination in the IP mill. 	<p>PT Socfin Indonesia has established complete and up to date procedures to implement RSPO supply chain requirements in Lae Butar POM:</p> <ol style="list-style-type: none"> 1. "Prosedur Supply Chain Certification Standard – Identity Preserved" document No. SOC/PSM/9.10 rev.09 dated 14 October 2019. The procedure covers FFB receiving and its records, FFB process and its records, production records, delivery of product, daily production report, contract and DO issuance, record keeping, abnormal conditions, report of projected over production to CB, Shipping Announcemnet in PalmTrace, PIC of RSPO SCCS, processing on the day change from MB to IP, and outsourcing process. 2. "Prosedur Internal Audit Sistem Manajement" No.SOC/PSM/8.02 Rev.07 dated 15/08/2019; described planning and preparation of internal audit that conducted once a year at minimum; audit implementation, findings; corrective action and audit report. 3. "Prosedur Penanganan Keluhan Sosial" No.SOC/PSM/9.02 Rev.05 dated 03/10/2019 described mechanism of complaint handling mechanism. 4. "Prosedur Pengiriman MKS/IKS dan Cangkang dengan Transportasi darat" No.SOC-POM/PSM/7.06 Rev.04 dated 01/01/2017, described delivery of CPO and PK from Palm Oil Mill to buyer or storage tank. <p>Lae Butar POM has maintained complete and up to date records and reports that demonstrated compliance with the RSPO Supply Chain model Identity Preserved, among others: "Buku Collection Trip" (FFB Delivery Note); Weighbridge ticket; "Laporan Jumlah Janjang per Blok" (total bunches); "Laporan Pemeriksaan Bahan Baku Per Blok" (supply</p>	Complied

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		<p>base verification); Daily Production Report; Monthly production report; CPO/PK Delivery Note.</p> <p>According to procedure Identification of the person having overall responsibility for RSPO Supply Chain implementation was Mill chief I (Head of Mill) and Sustainability staff and sales was responsible to conduct the transaction at Palm Trace. For RSPO SCCS administration, Head of Lae Butar Mill assigned Mill clerk (Mr. Ade Surya) as PIC of SCCS administration based on Manager Decree letter no. LB/IX/Bi dated 1 September 2020. During audit, the person was able to demonstrated awareness of the organization’s procedures for the implementation of the RSPO Supply Chain requirements.</p> <p>PT Socfin Indonesia – Lae Butar POM was implementing Identity Preserved for supply chain, it means that all FFB receive by mill was from certified estate which own estate (Lae Butar Estate). There is no non – certified FFB receive by mill.</p>	
<p>3.8.6</p>	<p>Internal Audit</p> <p>i) The mill shall have a written procedure to conduct annual internal audit to determine whether the mill;</p> <p>a) Conforms to the requirements in the RSPO Supply Chain Certification Standard and the RSPO Market Communications and Claims Documents.</p> <p>b) Effectively implements and maintains the standard requirements within its organisation.</p> <p>ii) 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 mill shall maintain the internal audit records and reports.</p>	<p>As per “Prosedur Audit Internal Sistem Manajemen” No.SOC/PSM/8.02 revisi 07 dated 15/08/2019, described Sustainability Manager or Team conducted internal audit and management review to ensure all operational and documentation activities are comply to the requirement in RSPO Supply Chain Certification Standard 2017 and the RSPO Market Communications and Claims Documents. The internal audit and management review planned once a year at minimum.</p> <p>The site has effectively implements and maintains the standard requirement by performing internal audit. Latest internal audit RSPO SCCS conducted on 4 September 2020 by internal auditor from Sustainability department (Andria Zulmanitra) against RSPO P & C 2018 RSPO SCCS Model Identity preserved. The internal audit was carried out integrated with RSPO P & C. Audit result can be demonstrated during audit as per “Checklist Audit Internal Supply Chain Certification Standard”. There were 1 NC raised related to RSPO SCCS, correction</p>	<p>Complied</p>

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		<p>and corrective action has been taken and closed on 30 September as per Laporan Ketidakesuaian SOC/FORM/8.02-05 No. LB/LKS/05.</p> <p>Management review for RSPO SCCS has been conducted on 10 September 2020 and attend by Head of PT Socfin ILe Butar (Pengurus) and key personnel Lae Butar POM and Estate.</p>	
<p>3.8.7</p>	<p>Purchasing and Goods In</p> <p>i) The mill shall verify and document the tonnage and sources of certified and the tonnage of non-certified FFBs received.</p> <p>ii) The mill shall inform the CB immediately if there is a projected overproduction of certified tonnage.</p> <p>iii) The mill shall have a mechanism in place for handling non-conforming FFB and/or documents.</p>	<p>PT Socfin Indonesia – Lae Butar POM only received FFB from certified source, which is Lae Butar Estate. Transportation from field to palm oil mill are using locomotive and its rail. From the process observed, there is no FFB contamination found. Document FFB delivery note (Trip Collection) and Weighbridge Card described identity and location of FFB source and other item required, e.g. vehicle number, product delivered, date of delivery, trip number, division, weighbridge card number, lorry number, gross weight, tare weigh and nett weigh, signed by driver, weighbridge clerk and administration staff.</p> <p>Sample FFB receiving document seen:</p> <ul style="list-style-type: none"> - Trip Collection dated 30/09/2020, vehicle number BL 8481 R, FFB origin: Division I, Block 027, Planted year 1993, Driver name: Joni, Bunch amount 382 bunches. - Weighbridge Ticket No. WT/GST600/2020/014890, dated 30/09/2020, vehicle number BL 8481 R, FFB origin: Division I, Block 027/93, Netto 5,890 kg, Driver name: Joni. - Trip Collection dated 30/09/2020, vehicle number BL 8317 RB, FFB origin: Division II, Block 055 & 056, Year planted 2004, Driver name: Apip, Bunch amount 289 bunches. - Weighbridge Ticket No. WT/GST600/2020/014883, dated 30/09/2020, vehicle number BL 8317 RB, FFB origin: Division II, Block 055, 056, Netto 7,430 kg, Driver name: Apip. 	<p>Complied</p>

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		<ul style="list-style-type: none"> - Trip Collection dated 30/09/2020, vehicle number BL 8177 RB, FFB origin: Division III, Block 020, Year planted 2001, Driver name: Sukatno, Bunch amount 589 bunches. - Weighbridge Ticket No. WT/GST600/2020/014896, dated 30/09/2020, vehicle number BL 8177 RB, FFB origin: Division III, Block 020/01, Netto 10,350 kg, Driver name: Sukatno. <p>Movement of FFB from Lae Butar Estate to Lae Butar POM are not sales transaction, it is under the control of same entity, PT Socfin Indonesia. The certification of the supply base is fall under the palm oil mill, PT Socfin Indonesia – Lae Butar POM, therefore a check of the validity of the Supply Chain Certificate is not necessary.</p> <p>Mechanism for handling non-conforming FFB and/or documents</p>	
3.8.8	<p>Sales and Goods Out</p> <p>The supplying mill shall ensure that the following minimum information for RSPO certified products is made available in document form. The 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> <ol style="list-style-type: none"> a) The name and address of the buyer; b) The name and address of the seller; c) The loading or shipment / delivery date; d) The date on which the documents were issued; e) RSPO certificate number; f) A description of the product, including the applicable supply chain model (Identity Preserved or Mass Balance or the approved abbreviations); g) The quantity of the products delivered; 	<p>PT Socfin Indonesia – Lae Butar POM has shown records that include minimum information required for RSPO certified product. During this period of assessment, the site sold RSPO certified CPO to PT Musim Mas Belawan, whilst RSPO certified PK to PT Musim Mas and PT Smart Tbk.</p> <p>Record seen:</p> <p>CPO sales:</p> <ul style="list-style-type: none"> • “Kontrak Penjualan Lokal” No. 40010813 dated 4 September 2020; described the seller name is PT Socfin Indonesia, address: Jl. K.L. Yos Sudarso No.105 Medan Barat, Medan Sumatera Utara; the buyer name is PT Musim Mas, address: Jl. K. Yos Sudarso KM 7.8 Tanjung Mulia, Medan Deli, Medan Sumatera Utara; product name is Crude Palm Oil (CPO); quality is RSPO IP Certified; FFA Max 3%, Moist max 0.5%, DOBI min 2.1; quantity is 2,000 Ton; time of delivery is September 2020. • Delivery Order No.300023026 dated 4 September 2020 described the name of the buyer is PT Musim Mas, address Kawasan Berikat PT Musim Mas Belawan; the name of the Seller is PT Socfin 	Complied

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	<p>h) Any related transport documentation; i) A unique identification number.</p>	<p>Indonesia – Lae Butar; date of document issued is 04/09/2020; description of product is Crude Palm Oil (CPO); quality RSPO Certified IP; quantity is 1,107 Ton; related Contract number 40010813; Unique Identification Number is 40010813; certificate number FMS40030; transporter CV karya Murni.</p> <ul style="list-style-type: none"> • Delivery Note No.1110000012/1125/LB/10/2020 dated 09 Oct 2020; from PT Socfin Indonesia – Lae Butar POM; to PT Musim Mas Medan - Belawan; vehicle No. BK 9596 CQ; driver: Muchtar; product is CPO; supply chain is RSPO Certified IP; Certificate number: FMS40030 quantity netto is 17,680 kg; seal number 653764-653773; related transport document: WB Docket/ticket No. WT/GST 600/2020/015312, DO No. 300023026; unique identification number is 40010813. • Weighbridge Docket/Ticket No. WT/GST 600/2020/015312 dated 09 Oct 2020 described the transporter is CV Karya Murni, vehicle number BK 9596 CQ; the name of sender is PT Socfin Indonesia – Lae Butar POM; the name of the buyer is PT Musim Mas Medan - Belawan; delivery date and date of document issued is 09 Oct 2020; description of product is CPO; quantity netto is 17,680 kg; related transport document is Delivery Note No. 1125/LB/10/2020 and Contract No.40010813. <p>PK sales:</p> <ul style="list-style-type: none"> • “Kontrak Penjualan Lokal” No. 40010839 dated 18 September 2020; described the seller name is PT Socfin Indonesia, address: Jl. K.L. Yos Sudarso No.105 Medan Barat, Medan Sumatera Utara; the buyer name is PT Sinarmas Agro Resources and Technology (Smart Tbk), address: Gedung Sinarmas land plaza Menara 2 Lt 28 – 30, Jl MH Thamrin No. 51 RT 009 RW 04 Gondangdia Menteng Jakarta Pusat DKI Jakarta 10350; Product name is Palm Kernel (PK); quality 	
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		<p>dirt max 8%, moist max 8%, RSPO IP Certified; quantity is 500 Ton; time of delivery is until 9 October 2020.</p> <ul style="list-style-type: none"> • Delivery Order No.300023063 dated 18 September 2020 described the name of the buyer is PT PT Smart tbk at Kawasan Berikat Pabrik PT Smart Tbk Belawan; the name of the Seller is PT Socfin Indonesia – Lae Butar; date of document issued is 18/09/2020; description of product is Palm Kernel (PK); quality RSPO Certified IP; quantity is 225 Ton; related Contract number 40010839; Unique Identification Number is 40010839; certificate number FMS40030; transporter CV Karya Murni. • Delivery Note No.1120000008/1124/LB/10/2020 dated 10/10/2020; from PT Socfin Indonesia – Lae Butar POM; to PT Sinar Mas Agro Resources; vehicle No. BK 8827 CV; product is PK; supply chain is RSPO Certified IP; Certificate Number FMS40030; quantity nett is 19,450 kg; seal number 653794 - 653808; related transport document: WB ticket No. WT/GST 600/2020/015289, DO No. 300023063; unique identification number is 40010839. • Weighbridge Docket/ticket No. WT/GST 600/2020/015289 dated 10/10/2020 described the transporter is CV Karya Murni, Vehicle Number BK8827 CV; Driver Amansyah padang; the name of sender is PT Socfin Indonesia – Lae Butar POM; the name of the buyer is PT Sinarmas Agro Resources; delivery date and date of document issued is 10/10/2020; description of product is PK; quantity nett is 19,450 kg; related transport document is Delivery Note No. 1124/LB/10/2020 and Contract No.40010839. <p>Information is presented on across a range of documents, such as contract, Delivery Order, Weighbridge Card and Delivery Note. PT Socfin Indonesia – Lae Butar POM has registered all of their transaction consist of Shipping Announcement in RSPO IT Platform (PalmTrace).</p> <p>Sample of Shipping Announcement:</p>	
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		<ul style="list-style-type: none"> Transaction ID TR-1fe02eaf-82c9 dated 25-09-2020; Seller is PT Socfin Indonesia – Lae Butar POM, RSPO_PO1000001775; Buyer is PT Musim Mas – Belawan, RSPO_PO1000000076; Product CSPO; Supply Cahin model: IP; Volume 969 MT; Transaction Type: Shipping; BL date: 22-09-2020; Status: Confirmed on 06-10-2020; Based on Delivery Order No. 300022002, Contract No. 40010101. Transaction ID TR-8b2d64dc-1200 dated 01-10-2020; Seller is PT Socfin Indonesia – Lae Butar POM, RSPO_PO1000001775; Buyer is PT Smart Tbk (PT SInar Mas Agro Resources and technology Tbk) Belawan KCP; Product CSPK; Supply Chain Model: IP; Volume 187 MT; Transaction Type: Shipping; BL date: 16-09-2020; Status: Announced; Based on Delivery Order No. 300023009, Contract No. 40010806. 	
3.8.9	<p>Outsourcing Activities</p> <p>i) The mill shall not outsource its milling activities. In cases where he mill outsources activities to independent third parties (e.g. subcontractors for storage, transport or other outsourced activities), the mill holding the certificate shall ensure that the independent third party complies with relevant requirements of this RSPO Supply Chain Certification.</p> <p>ii) The mill shall ensure the following:</p> <p>a) The mill has legal ownership of all input material to be included in outsourced processes</p> <p>b) The mill has an agreement or contract covering the outsourced process with each contractor through a signed and enforceable agreement with the contractor. The onus is on the mill to ensure that certification body (CB) has access to the outsourcing contractor or operation if an audit is deemed necessary.</p> <p>c) The mill has a documented control system with explicit procedures for the outsourced process which is communicated to the relevant contractor.</p>	<p>The mill does not outsource its milling activities.</p> <p>The organization use third party contractor for transportation of certified product, CSPO and CSPK. PT Socfin Indonesia Lae Butar POM only operate one contractor for delivery of CSPO and CSPK, which is CV Karya Murni. Valid contract were available, e.g.:</p> <ol style="list-style-type: none"> 1. PD-GM/X/523/2019 dated 23/12/2019 for transport of CPO, valid until 31 December 2020. 2. PD-GM/X/524/2019 dated 23/12/2019 for transport of PK, valid until 31 December 2020. <p>PT Socfin Indonesia – Lae Butar POM has ensure that the independent third party complies with the requirements of the RSPO Supply Chain Certification Standard. The requirement to comply with RSPO SCCS was explained and include in the contract agreement. In Article III (term and conditions) of the contract mentioned that: a. Understood the ethical code of conduct PT Socfindo; b. The contractor understood the supply chain type of the product transported based on "Surat Pengantar Barang"; c. Understood the procedure of all product type transported based on supply chain model of the Palm Oil Mill.</p>	Complied

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	<p>d) The mill 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 all information, when this is announced in advance.</p>	<p>The contract has been signed by both parties means that the outsourcing party understood the RSPO Supply Chain requirements. PT Socfin Indonesia – Lae Butar POM control the CPO and PK transporter before shipping by:</p> <ul style="list-style-type: none"> - "Berita acara pemeriksaan truck CPO dan Penyegehan SOC/Form/7.06-01" (completeness of vehicle including legality and safety, tank condition, faucet out, main hole tank, hinge/key lock faucet out). Sample seen "Berita Acara Pemeriksaan truck BK9596 CQ" dated 9 October 2020" for CPO to buyer PT Musim Mas, Driver Mukhtar. - "Surat Perintah Pemompaan SOC-FRF/Form/7.06.02-01" Dispatch direction letter. Sample seen Surat Perintah Pemompaan No. 2 dated 9 October 2020, Truck No. BK9596 CQ, SP No. 1125/LB/10/2020. - "Surat Pengantar" Delivery note from "CV Karya Murni" contain information of DO number, vehicle number, driver name, and company CV Karya Murni signed. Sample seen: Surat Pengantar No. 950/KM/CPO/20 dated 9 October 2020, DO Number 007566, vehicle No. BK9596 CQ, Driver: Muchtar, CV Karya Murni. - "Kartu Keluar Masuk Angkutan SOC-POM/Form/7.06.01-05" contain information: vehicle number, time in and out, clerk signed. Sample seen: Kartu Keluar Masuk Angkutan dated 9 October 2020, vehicle number BK9596 CQ, time in 09.00, time out: 17.53. <p>After shipping control by checking completeness of vehicle including legality and safety, tank condition, faucet out, main hole tank, hinge/key lock faucet out, seal number and seal condition.</p> <p>The quantity of CPO monitored by Weighbridge Card and SPK (with 0.20% tolerance).</p>	
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		During field audit and document verification can be demonstrated that the transporter is under control of PT Socfin Indonesia – Lae Butar POM.	
3.8.10	The mill shall record the names and contact details of all contractors used for the physical handling of RSPO certified oil palm products.	Currently PT Socfin Indoneisa – Lae Butar POM only use one contractor for transport of CPO and PK, which is CV Karya Murni. The contact detail is Mr. H. Safriadi Manik as the Director according to Akta Notaris Noni Wanti, SH, MKn No. 01 dated 07/10/2008; address: Taman Setia Budi Indah SS No. 53 Kecamatan Medan Sunggal. The contact detail was provided in the Contract Agreement and List of Stakeholder Kebun Lae Butar 2020.	Complied
3.8.11	The mill shall inform its CB in advance prior to conduct of its next audit of the names and contact details of any new contractor used for the physical handling of RSPO certified oil palm products.	The documented procedure of supply chain, “Prosedur Supply Chain Standard – Identity Preserved” (SOC/PSM/9.10) Rev.09 dated 14 October 2019, in section 6.13.5 has explicitly described that the site will inform CB if there is addition or change in contractor used.	Complied
3.8.12	Record keeping i) The mill shall maintain accurate, complete, up-to-date and accessible records and reports covering all aspects of this RSPO Supply Chain Certification Standard requirements. ii) Retention times for all records and reports shall be a minimum of two (2) years and shall comply with relevant legal and regulatory requirements and be able to confirm the certified status of raw materials or products held in stock. iii) For Identity Preserved Module, the mill shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a real-time basis. iv) For Mass Balance Module, the mill:	The organization has maintained accurate, complete, up-to-date and accessible records and reports covering all aspects of RSPO Supply Chain requirements, as evident in “Laporan Produksi Harian”, “Berita Acara Pengukuran dan Perhitungan Stok CPO”, “Kontrak Penjualan Lokal”, Delivery Order, Weighbridge Card and Delivery Note. Records and report verified are as follows: <ul style="list-style-type: none">• Laporan Harian Pabrik (Mill Daily Report); dated 31/12/2019 and 30/09/2020.• Book Keeping – Laporan Produksi MIS CPO and PK period of January – December 2019 and January – October 2020.• Kartu Timbangan (Weighbridge Ticket/Docket) FFB;• Kartu Timbangan (Weighbridge Ticket/Docket) CPO;	Complied

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	<p>a) Shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a real-time basis and / or three-monthly basis.</p> <p>b) All volumes of certified CPO and PK that are delivered are deducted from the material accounting system according to conversion ratios stated by RSPO.</p> <p>c) The mill can only deliver Mass Balance sales from a positive stock. Positive stock can include product ordered for delivery within three (3) months. However, a mill is allowed to sell short (i.e. product can be sold before it is in stock).</p>	<ul style="list-style-type: none"> • Kartu Timbangan (Weighbridge Ticket/Docket PK; <p>The procedure "Prosedur Supply Chain Certification Standard – Identity Preserved" No.SOC/PSM/9.10 rev.09 dated 14/10/2019, section 6.7 requires that all related records and reports, e.g. FFB receiving, Laporan Produksi Harian, Contract, Delivery Order, Weighbridge Card and Delivery Note must be keep for a period of minimum five (5) years. Record verification confirms record as early as 2015 are still maintained. Lae Butar POM uses Identity Preserved Module for supply chain. Lae Butar POM has record and balances all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a real-time basis, as shown in Book Keeping – Laporan Produksi MIS. Monthly production report was generated from weighbridge card, summarized daily in mill daily report, summarized monthly in Mill Operation Summary, then summarized in Book Keeping.</p> <p>Conversion rate is only applied to provide reliable estimation of CPO and PK produced for annual budget. All volumes of palm oil and palm kernel oil that are delivered are deducted from the material accounting system (Laporan Produksi MIS).</p>	
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3.8.13	<p>Extraction Rate</p> <p>The oil extraction rate (OER) and the kernel extraction rate(KER) shall be applied to provide a reliable estimate of the amount of certified CPO and PK from the associated inputs. Mill shall determine and set their own extraction rates based upon past experience, documented and applied it consistently.</p>	<p>The oil extraction rate (OER) and Kernel extraction Rate (KER) are applied to provide reliable estimation of CPO and PK produced for annual budget. OER and KER are set based upon past experience, documented and applied it consistently.</p> <p>Below are the budget and actual of OER and KER period November 2019 – October 2020:</p> <table border="1" data-bbox="1133 579 1951 762"> <thead> <tr> <th>Description</th> <th>Budget Nov 2019 – Oct 2020</th> <th>Realisation</th> <th>Budget Nov 2020 – Oct 2021</th> </tr> </thead> <tbody> <tr> <td>OER (%)</td> <td>23.18</td> <td>22.71</td> <td>23.00</td> </tr> <tr> <td>KER (%)</td> <td>4.20</td> <td>3.83</td> <td>4.05</td> </tr> </tbody> </table>	Description	Budget Nov 2019 – Oct 2020	Realisation	Budget Nov 2020 – Oct 2021	OER (%)	23.18	22.71	23.00	KER (%)	4.20	3.83	4.05	Complied
Description	Budget Nov 2019 – Oct 2020	Realisation	Budget Nov 2020 – Oct 2021												
OER (%)	23.18	22.71	23.00												
KER (%)	4.20	3.83	4.05												
3.8.14	<p>Extraction rates shall be updated periodically to ensure accuracy against actual performance or industry average if appropriate.</p>	<p>OER and KER are updated periodically to ensure accuracy against actual performance. Report of update OER and KER are present in Laporan Produksi – MIS.</p> <p>Sample seen:</p> <p>Laporan Produksi MIS dated 30/09/2020: FFB received 265,130 kg; FFB process 198,540 kg; CPO produce 46,025 kg; OER 23.16%; PK produce 7,610 kg; KER 3.83%. To date September 2020: FFB received 6,418,230 kg; FFB process 6,372,520 kg; CPO produce 1,468,344 kg; OER 23.04%; PK produce 240,520 kg; KER 3.77%.</p>	Complied												
3.8.15	<p>Processing</p> <p>For Identity Preserved Module, the mill 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 products, including during transport and storage to strive for 100% separation.</p>	<p>Lae Butar POM implement Identity Preserved Module. PT Socfin Lae Butar only received certified FFB from own estate and no other FFB source.</p> <p>PT Socfin Indonesia has a documented procedure “Prosedur Supply Chain Certification Standard – Identity Preserved” document No. SOC/PSM/9.10 rev.09 dated 14 October 2019. The procedure covers FFB receiving and its records, FFB process and its records, production records, delivery of product, daily production report, contract and DO</p>	Complied												

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		issuance, record keeping, abnormal conditions, report of projected over production to CB, Shipping Announcemnet in PalmTrace, PIC of RSPO SCCS, processing on the day change from MB to IP, and outsourcing process.	
3.8.16	<p>Registration of Transactions</p> <p>i) Shipping Announcement in the RSPO IT platform shall be carried out by the mills when RSPO certified products are sold as certified to refineries, crushers, and traders not more than three months after dispatch with the dispatch date being the Bill of Lading or the dispatch documentation date.</p> <p>ii) Remove: RSPO certified volumes sold under different scheme or as conventional, or in case of underproduction, loss or damage shall be removed in the RSPO IT platform.</p>	<p>PT Socfin Indonesia – Lae Butar POM has made Shipping Announcement for certified PK sold. During this one year period, all certified CPO and PK are sold under RSPO scheme, there are no sales of RSPO certified CPO and PK under other scheme.</p> <p>Sample verified of Shipping Announcement:</p> <ul style="list-style-type: none"> • Transaction ID TR-1fe02eaf-82c9 dated 25-09-2020; Seller is PT Socfin Indonesia – Lae Butar POM, RSPO_PO1000001775; Buyer is PT Musim Mas – Belawan, RSPO_PO1000000076; Product CSPO; Supply Cahin model: IP; Volume 969 MT; Transaction Type: Shipping; BL date: 22-09-2020; Status: Confirmed on 06-10-2020; Based on Delivery Order No. 300022002, Contract No. 40010101. • Transaction ID TR-8b2d64dc-1200 dated 01-10-2020; Seller is PT Socfin Indonesia – Lae Butar POM, RSPO_PO1000001775; Buyer is PT Smart Tbk (PT SInar Mas Agro Resources and technology Tbk) Belawan KCP; Product CSPK; Supply Chain Model: IP; Volume 187 MT; Transaction Type: Shipping; BL date: 16-09-2020; Status: Announced; Based on Delivery Order No. 300023009, Contract No. 40010806. 	Complied
3.8.17	<p>Claims</p> <p>The mill shall only make claims regarding the production of RSPO certified oil that are in compliance with the RSPO Rules on Market Communications and Claims.</p>	<p>The site does not made any claims outside of the RSPO Rules on Market Communications and Claims. The company has prepared a procedure “Prosedur Komunikasi dan Klaim Minyak Sawit Bersertifikat RSPO” No.SOC/PSM/9.12” dated 01/09/2015. The procedure clearly stated that PT Socfin Indonesia did not make any claims regarding the use of RSPO trademark.</p>	Complied

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		Based on field visit and interview with relevant staff, it demonstrated good understanding on the use of RSPO corporate logo and RSPO trademark on product.	
General corporate communications			
4.1	A corporate communication is one made by any RSPO member that highlights its membership of the RSPO and/or its commitment to the principles of the RSPO. Corporate communication is an 'off-product' claim.	<p>Previously PT Socfin Indonesia was a registered RSPO member with membership number 1-0017-04-000-00, since 7 February 2004. Since 2019 PT Socfin Indonesia registered as a member of Socfin SA, with RSPO membership number 1-0269-19-000-00, since 16 February 2019 as seen in website address https://www.rspo.org/members/8070/Socfin-SA.</p> <p>The reason of the change is because the commitment of Socfin's commissioner to certify all of their oil palm plantation under the RSPO scheme. The corporate communication of Socfin Group can found in website address http://www.socfin.com.</p>	Complied
4.2	<p>In corporate communications a member is allowed to:</p> <ul style="list-style-type: none"> • Display its RSPO membership status • Display the RSPO web address (www.rspo.org) • State that the member supports the work of the RSPO • State the member's history with regard to the RSPO. • Use the RSPO trademark to promote its membership of the RSPO. <p>Additionally, where an RSPO member displays the RSPO trademark in digital format this must be accompanied by the text 'Check our progress at www.rspo.org' where the link must lead to the member's profile page.</p>	<ol style="list-style-type: none"> a. Display its RSPO membership status: In the website Socfin Group did not its RSPO membership status, however Socfin Group display that the company has eleven (9) units RSPO certified under PT Socfin Indonesia (Socfin Indonesia). b. Display the RSPO web address (www.rspo.org): The website has a link to www.rspo.org in certification tab>connections>RSPO, at address: https://www.socfin.com/fr/certifications. c. State that the member supports the work of the RSPO: not in direct manner, however in the website Socfin Group stated: "The Socfin Group, from its beginnings in 1909, has always been attentive to its social and environmental impact in the countries where it operates. Aware of the development challenges that are evolving, the Socfin Group is constantly working to improve its activities in order to be the leader in responsible tropical agriculture". 	Complied

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

	<p>number. This covers both brand and own brand products. However, in the case of own brand products it is essential that customers are aware that the product has been made on behalf of the distributor or wholesaler, with specific evidence either through on-pack claims or documentation.</p> <p>b) If the distributor or wholesaler is supply chain-certified they should follow the requirements outlined in section 5.2.</p>		
5.4	<p>A certified member can provide information to its customers detailing the presence of certified palm oil contained within a product even if it is not eligible for a product-specific under RSPO rules. The end product must not be labelled as certified or sold in such a way that implies RSPO certification.</p> <p>For example, a retailer or food service company may require a breakdown of all palm based ingredients within an end product and the certified status of each. This information may be provided by a certified RSPO member without constituting a product-specific claim.</p>	<p>PT Socfin Indonesia – Lae Butar POM is not an end-product producer, the site is a palm oil mill with storage tank that only receive, stored and dispatch CPO and PK.</p> <p>Not applicable.</p>	Not Applicable
Business to consumer communication			
6.1	<p>Only RSPO members that have supply chain certification are allowed to make business to consumer claims about the certified sustainable oil palm products contained within product(s), which are known as 'product-specific' claims. Product-specific claims are voluntary.</p>	<p>PT Socfin Indonesia – Lae Butar POM is an RSPO certificate holder with certificate number FMS40030 issued by SAI Global on 25 February 2019. The certificate holder sold its oil palm product in bulk, no product label attached. No 'product-specific' claims are used.</p> <p>Not applicable.</p>	Not Applicable
6.2	<p>Only RSPO members who have supply chain certification are authorised to use the RSPO trademark and/or RSPO label, with the exception of RSPO Credits and of retailers in accordance with 6.8 below.</p>	<p>PT Socfin Indonesia – Lae Butar POM sold its oil palm product in bulk, no product pack are used.</p> <p>Not applicable.</p>	Not Applicable
6.3	<p>When on-pack claims on RSPO-certified sustainable oil palm products are used, the RSPO trademark and associated identification number must be present.</p>	<p>PT Socfin Indonesia – Lae Butar POM communication has not stated information about the claimant's RSPO membership status.</p>	Not Applicable

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6.4	Business to consumer communication shall not include information about the claimant’s RSPO membership status.	PT Socfin Indonesia – Lae Butar POM is certified RSPO P&C, selling CSPO and CSPK. PT Socfin Indonesia – Lae Butar POM and the parent company - Socfin SA did not make any communication about their supplier’s RSPO membership status.	Not Applicable
6.5	Members shall not communicate to consumers’ information about their suppliers’ RSPO membership status.	The site sold its oil palm product in bulk, up to this moment, PT Socfin Indonesia – Lae Butar POM has not use RSPO trademark.	Not Applicable
6.6	Use of the RSPO trademark is restricted to claims about RSPO-certified sustainable palm oil products and it is not authorised for use in relation to any other ingredient.	Until this audit, PT Socfin Indonesia – Lae Butar POM has not use any other trademark or logo to highlight the presence of RSPO-certified sustainable oil palm products.	Not Applicable
6.7	Use of any other trademark or logo to highlight the presence of RSPO-certified sustainable oil palm products is an unauthorised product-specific claim.	Until this audit, PT Socfin Indonesia – Lae Butar POM has not use any other trademark or logo to highlight the presence of RSPO-certified sustainable oil palm products.	Not Applicable
6.8	RSPO members who are retailers or food service companies can apply for an RSPO trademark license for use in business to consumer communications, provided they can demonstrate the validity of these claims to an RSPO-accredited certification body (CB). This will be undertaken via a remote audit, prior to the trademark use, during which the retailer or food service company will need to demonstrate that the use of the trademark is in compliance with the rules contained within this document and that the claim itself can be supported through a certified supply chain. Any other palm oil claims, including those highlighting the absence of palm oil, must be highlighted to the CB during the audit to ensure that all claims comply with the requirements of these rules. The CB will confirm the outcome of these audits, to be conducted annually, to RSPO who may continue to grant a trademark license or withdraw permission based upon the audit findings. This is in keeping with the rules applying to RSPO supply chain certified members. The guidance document for audits is available on www.rspo.org .	PT Socfin Indonesia – Lae Butar POM is not a retailer or food service company. Not applicable.	Not Applicable

MODULE A – IDENTITY PRESERVED & SEGREGATED SPECIFIC RULES

Certified oil palm content (IP)			
	For IP, 95% or above of the oil palm content must be RSPO IP-certified.	PT Socfin Indonesia – Lae Butar POM implemented Identity Preserved Module, therefore this specific rules are not applicable.	Not Applicable
	For SG, 95% or above of the oil palm content must be SG, or a combination of SG and IP.	PT Socfin Indonesia – Lae Butar POM implemented Identity Preserved Module, therefore this specific rules are not applicable.	Not Applicable
	Where there is any percentage of non-certified oil palm within the product, the reason for this must be fully justified and an action plan for moving to fully certified oil palm must be in place, in accordance with the requirements of the RSPO SCCS. In addition, the volume of non-certified oil palm products must be covered by the purchase of RSPO Credits of equivalent volume.	PT Socfin Indonesia – Lae Butar POM implemented Identity Preserved Module, therefore this specific rules are not applicable.	Not Applicable
Labelling and trademark (IP)			
	Members are allowed to use the RSPO label in one of the following ways: <ul style="list-style-type: none"> • RSPO trademark which includes the tag 'CERTIFIED' or • RSPO trademark which includes the tag 'This product contains certified sustainable palm oil'. Wherever a RSPO trademark is displayed, the applicable trademark license number must be shown immediately under or next to the trademark or the 'statement'. Font must be Calibri, font size must be at least 4pt (1.4 mm or 0.06 inch). In on-pack communications, the RSPO trademark can be printed anywhere on the pack. 	PT Socfin Indonesia – Lae Butar POM implemented Identity Preserved Module, therefore this specific rules are not applicable.	Not Applicable
Messaging (IP)			
	Messaging ALLOWED in storytelling in product-related communications may include some or all of the following elements: <ul style="list-style-type: none"> • The oil palm products contained in this product have been certified to come from RSPO sources. www.rspo.org 	PT Socfin Indonesia – Lae Butar POM implemented Identity Preserved Module, therefore this specific rules are not applicable.	Not Applicable

	<ul style="list-style-type: none"> • By choosing this product, you are sure it contains RSPO-certified palm oil. For more information: www.rspo.org • RSPO-certified sustainable oil palm products were kept apart from other oil palm products throughout the supply chain. www.rspo.org • Certified sustainable oil palm products can be traced back to RSPO-certified mills and plantations. www.rspo.org • The entire supply chain is monitored by independent, RSPO-accredited auditors. www.rspo.org • RSPO-certified sustainable palm oil has been produced to stringent environmental and social criteria. www.rspo.org • References to (or images of) particular RSPO-certified production units, if the relationship to those units can be shown by company records. 		
<p>Principle 4: Respect community and human rights and deliver benefit</p>			
<p>Respect community rights, provide equal opportunities, maximise benefits from engagement and ensure remediation where needed.</p>			
<p>Criteria 4.1: The unit of certification respects human rights, which includes respecting the rights of Human Rights Defenders.</p>			
<p>4.1.1</p>	<p>(C) A policy to respect human rights, including prohibiting retaliation against Human Rights Defenders (HRD), is documented and communicated to all levels of the workforce, operations, supply chain and local communities and prohibits intimidation and harassment by the unit of certification and contracted services, including contracted security forces.</p>	<p>PT Socfin Indonesia as a part of Socfin SA has had human rights policy that signed by Principal Director since 1 June 2019.</p> <p>Socfin Indonesia recognises and is committed to respecting international human rights standards. These shall include at a minimum the human rights standards as set out and defined in:</p> <ul style="list-style-type: none"> • The United Nations declaration on Human Rights Defenders • The Universal Declaration of Human Rights • The International Covenant on Civil and Political Rights (explicitly the protection of whistle-blowing as an aspect of freedom of expression under Article 19) • The International Covenant on Economic, Social and Cultural Rights 	<p>Complied</p>

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		<ul style="list-style-type: none"> • The Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) • The International Labour Organisation’s (ILO) Declaration on Fundamental Principles and rights to work • Any other guidelines or human rights standards as set out in the laws of the Republic of Indonesia. <p>PT Socfin Indonesia expressly grants protection for any reports documents or information in any form made with a reasonable belief that the information is true at the time it is disclosed.</p> <p>PT Socfin Indonesia shall protect individuals against violence, threats, all forms of retaliation, direct or indirect, pressure or any other arbitrary action as a consequence of the individual’s legitimate exercise of their fundamental human rights in the course of their engagement with Socfindo.</p> <p>PT Socfin Indonesia shall protect individuals from all forms of retaliation, disadvantage or discrimination in the workplace linked or resulting from HRD activities. Socfin Indonesia shall preserve the individual’s confidentiality and the identity of the individual may not be disclosed without the individual’s explicit informed consent.</p> <p>Based on document verification, Certificate holder has conducted socialization of those policy to the respective stakeholder. For example:</p> <ul style="list-style-type: none"> • Socialization to the internal stakeholder such as mill workers on 17 January 2020 (attended by 100 mill workers) and on 21 January 2020 (attended by 24 harvesters). • Socialization to the external stakeholder (government agencies staff, police officer, gender committee, labor union and contractor) on 20 January 2020. Attended by 21 participants. 	
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		Based on interview with local communities and elder from surrounding obtain information that Socfin Indonesia does not intimidating or violence to solve any problem related to their operational activity.	
4.1.2	The unit of certification does not instigate violence or use any form of harassment, including the use of mercenaries and paramilitaries in their operations.	Based on interview with sample workers, local communities and relevant stakeholders surrounding the Unit of Certification, Socfin Indonesia – Lae Butar does not intimidating or violence (including any form of harassment or paramilitary usage) to solve any problem related to their operational activity.	Complied
Criteria 4.2: There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all affected parties.			
4.2.1	(C) The mutually agreed system, open to all affected parties, resolves disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants, HRD, community spokespersons and whistleblowers, where requested, without risk of reprisal or intimidation and follows the RSPO policy on respect for HRD.	<p>PT Socfin Indonesia as a part of Socfin SA has had human rights policy that signed by Principal Director since 1 June 2019. In the policy stated that:</p> <ul style="list-style-type: none"> • PT Socfin Indonesia expressly grants protection for any reports documents or information in any form made with a reasonable belief that the information is true at the time it is disclosed. • PT Socfin Indonesia shall protect individuals against violence, threats, all forms of retaliation, direct or indirect, pressure or any other arbitrary action as a consequence of the individual’s legitimate exercise of their fundamental human rights in the course of their engagement with Socfindo. • PT Socfin Indonesia shall protect individuals from all forms of retaliation, disadvantage or discrimination in the workplace linked or resulting from HRD activities. Socfin Indonesia shall preserve the individual’s confidentiality and the identity of the individual may not be disclosed without the individual’s explicit informed consent. <p>Based on interview with sample workers, local communities and relevant stakeholders surrounding the Unit of Certification, Socfin Indonesia – Lae Butar does not intimidating or violence (including any form of</p>	Complied

		harassment or paramilitary usage) to solve any problem related to their operational activity.	
4.2.2	Procedures are in place to ensure that the system is understood by the affected parties, including by illiterate parties.	<p>PT Socfin Indonesia has adopted the following Sustainability Policies which encapsulate Socfindo’s current commitments and strategic priorities in relation to Sustainability. These policies are available in their website: https://www.socfindo.co.id/sustainability#a3. Specific related HRD and complaints are available in Grievance Policy.</p> <p>Based on interview with sample workers, local communities and relevant stakeholders, grievance policy and its mechanism already understood.</p>	Complied
4.2.3	The unit of certification keeps parties to a grievance informed of its progress, including against agreed timeframe and the outcome is available and communicated to relevant stakeholders.	<p>According to the complaint handling procedures dated on 3 October 2013, Unit of Certification consist the procedure to handling complaint. Those shows that it has been arranged regarding the time period for responding to complaints. For example:</p> <ul style="list-style-type: none"> • Incoming complaints from internal stakeholder shall responded by top management unit’s maximum 1 month after the complaint accepted. • Incoming complaints from external stakeholder also shall responded by top management unit’s maximum 1 month after the complaint accepted. If the complaints still not met with any settlements, general affair shall informed the complainants regarding the complaint status, progress and any other things needed to reach a settlement. If the settlement of a complaint is not approved by both parties, the complaint can involve a technical or independent mediator or a legitimate third party. Head clerk monitored all the settlement process and progress. • Resolution for sexual harassment complaint, intimidation and violence will held by Gender Committee. The meeting for complaints and investigation conducted maximum 1 month after the complaint 	Complied

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		<p>submitted and the status will be updated on a monthly bases by Gender Committee.</p> <ul style="list-style-type: none"> Resolution of human rights defenders complaints and reporting violations will be carried out by the Estate Manager and may involve the General Affair Department. The duration of handling this complaint is not specifically regulated and depends on the size of the case. <p>Based on interview with sample workers and labour union, in May 2020 there is one issue related on bonus payment. However, this issue has been resolved by involving labour union and the company through grievance mechanism. All the records is available in place and have been verified.</p>	
4.2.4	The conflict resolution mechanism includes the option of access to independent legal and technical advice, the ability for complainants to choose individuals or groups to support them and/or act as observers, as well as the option of a third-party mediator.	Unit of Certification has had own mechanism to resolve the conflict as explained in indicator 4.2.3 above. The involvement of third party mediator also included within conflict resolution mechanism, and complainants have rights to choose their technical advisor.	Complied
Criteria 4.3: The unit of certification contributes to local sustainable development as agreed by local communities.			
4.3.1	Contributions to community development that are based on the results of consultation with local community are demonstrated.	<p>Unit of Certification have own procedure for CSR and it is explained within "Prosedur Corporate Social Responsibility (No. Doc: SOC/PSM/9.08, Rev.00, dated 1 January 2011).</p> <p>As a commitment, the company continuously prepare CSR Report annually. In example: "Laporan Corporate Social Responsibility PT. Socfin Indonesia Kebun Lae Butar 2019". Type of activities the social assistance to surrounding communities in Aceh Singkil are:</p> <ul style="list-style-type: none"> - Anniversary Event of Aceh Singkil Regency. - Supporting on local NGO "GARUDA" to attend the Seminar. - Millennial Road Safety Festival - Worker Family Association of Aceh Singkil 	Complied

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		<ul style="list-style-type: none"> - Event on Teenager Association of Lae Butar Village (IPADES) - Supporting on Association of Indonesia Law Assistance Community (PMBHI) of Aceh Singkil Regency. - Supporting of Aceh Singkil Youth Community (HIPAS) on Basic Leadership Seminar. 	
<p>Criteria 4.4: Use of the land for oil palm does not diminish the legal, customary or user rights of other users without their free, prior and informed consent.</p>			
<p>4.4.1</p>	<p>(C) Documents showing legal ownership or lease, or authorised use of customary land authorised by customary landowners through a Free, Prior and Informed (FPIC) process. Documents related to the history of land tenure and the actual legal or customary use of the land are available.</p>	<p>Lae Butar operates an area for oil palm plantations covering an area of 4,731.4 Ha. The area was obtained from the Dutch concession (<i>erpacht</i>) covering an area of 4,414.48 Ha and 312.92 Ha from the purchase the concession of PT Jaya Bahni Utama in 2004.</p> <p>The Dutch concession area in the name of <i>NV Cultuur Maatschappij Lipoet</i> has been operating since 1919 according to <i>Verponding</i> No. 31 (Lae Butar), 34 (Rimau) and 35 (Lae Butar Pabrik).</p> <p>In 1965 this plantation was controlled by the Indonesian government based on Presidential Decree No. 6 of 1965 and subsequently based on an Agreement between the Government of Indonesia and Plantations Noord Sumatra SA Brussels on April 29, 1968 a joint venture was formed between the Government of Indonesia and the original owner with new provisions to the new company HGU granted for 30 years as stated in article 4 letter a of the agreement.</p> <p>During the audit, the team of auditors had tried to interview the previous landowners for the area purchased from PT Jaya Bahni Utama in 2004. However, the company no longer exists.</p> <p>Based on interviews with village head of Sangga Beru Silulusan and Rimo Village, certificate holder has been operating since the Dutch Era around 1919. The last expansion only from PT Jaya Bahni Utama on 2004 (there is no issues regarding to the transfer of concession). There is no land dispute case until this audit finish.</p>	<p>Complied</p>

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		Meanwhile, based on social studies and SEIA documents, there is no indication of the existence of the indigenous peoples in the PT Socfin Indonesia – Lae Butar concession area.	
4.4.2	<p>Copies documents evidencing agreement- making processes and negotiated agreements detailing the FPIC process are available and include:</p> <p>4.4.2a Evidence that a plan has been developed through consultation and discussion held in good faith with all affected groups within the community, with specific assurances that vulnerable, minority and gender groups are asked for their opinions, and that information has been provided to all affected groups, including in it information about the steps taken to involve them in decision making.</p>	<p>Certificate holder has land acquisition procedure (Documen No. SOC/PSM/9.04 Revision 1 that signed since 1 January 2010). The procedures describe the process of land acquisition starting from conducting the survey, obtaining directives from the government, land suitability survey, follow-up of land suitability survey, submission of plantation business permit, land acquisition plan and submission of land use title (HGU).</p> <p>At the point of the Land Acquisition Plan (Point 5.5.3) the Free, Prior and Informed Consent mechanism has been explained including providing information to the surrounding community, meeting with the community, posting announcements to the public and the mass media. Community approval is done through a voluntary process, without coercion and openness. The local the community can be represented by lawyers that appointed by the community itself during the negotiation process. The process of land acquisition is owned by the community or customary rights based on the procedure of giving compensation where in the process of land acquisition. It is possible to be elicited if no agreement is reached with the local community.</p> <p>Based on interviews with village head of Sangga Beru Silulusan and Rimo Village, certificate holder has been operating since the Dutch Era around 1919. The last expansion only from PT Jaya Bahni Utama on 2004 (there is no issues regarding to the transfer of concession). In addition, there is no record of land disputes between the company and other parties until this audit finished.</p>	Complied
	4.4.2b Evidence that the unit of certification has respected communities to give or withhold their consent to the operations at the time that these decisions were taken;	Based on interviews with village head of Sangga Beru Silulusan and Rimo Village, certificate holder has been operating since the Dutch Era around 1919. The last expansion only from PT Jaya Bahni Utama on 2004 (there	

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		<p>is no issues regarding to the transfer of concession). In addition, there is no record of land disputes between the company and other parties until this audit finished.</p>	
	<p>4.4.2c Evidence that the legal, economic, environmental and social implications of permitting operations on their land have been understood and accepted by affected communities. Including the implications for the legal status of their land at the expiry of the unit of certification's title, concession or lease on the land.</p>	<p>Based on interviews with village head of Sangga Beru Siluluan and Rimo Village, certificate holder has been operating since the Dutch Era around 1919. The last expansion only from PT Jaya Bahni Utama on 2004 (there is no issues regarding to the transfer of concession). In addition, there is no record of land disputes between the company and other parties until this audit finished.</p>	
<p>4.4.3</p>	<p>(C) Maps of an appropriate scale showing the extent of recognised legal, customary or user rights are developed through participatory mapping involving affected parties (including neighbouring communities where applicable, and relevant authorities).</p>	<p>As explained in previous indicator 4.4.1 shown that the company has had the land acquisition procedure and complaints handling. The procedures describe the process of land acquisition starting from conducting the survey, obtaining directives from the government, land suitability survey, follow-up of land suitability survey, submission of plantation business permit, land acquisition plan and submission of land use title (HGU).</p> <p>At the point of the Land Acquisition Plan (Point 5.5.3) the Free, Prior and Informed Consent mechanism has been explained including providing information to the surrounding community, meeting with the community, posting announcements to the public and the mass media. Community approval is done through a voluntary process, without coercion and openness. The local the community can be represented by lawyers that appointed by the community itself during the negotiation process. The process of land acquisition is owned by the community or customary rights based on the procedure of giving compensation where in the process of land acquisition. It is possible to be elicited if no agreement is reached with the local community.</p> <p>Based on document verification, public consultations and field observation there is no indications of land disputes between the company and other parties including the surrounding community.</p>	<p>Complied</p>

4.4.4	All relevant information is available in appropriate forms and languages, including assessment of impact, proposed benefit sharing, and legal arrangements.	<p>As explained in previous indicator 4.4.1 shown that:</p> <ul style="list-style-type: none"> • Certificate holder has had procedure for land acquisition and complaints handling. • Based on document verification, field visit and public consultation obtain information that there is a transfer concession from PT Jaya Bahni Utama to PT Socfin Indonesia on 2004. However, there is no land dispute case exist until this audit. • Based on document verification, public consultations and field observation there is no indications of land disputes between the company and other parties including the surrounding community. 	Complied
4.4.5	(C) Evidence is available to show that communities are represented through institutions or representatives of their own choosing, including by legal counsel if they so choose.	<p>As explained in previous indicator 4.4.1 shown that:</p> <ul style="list-style-type: none"> • Certificate holder has had procedure for land acquisition and complaints handling. • Based on document verification, field visit and public consultation obtain information that there is a transfer concession from PT Jaya Bahni Utama to PT Socfin Indonesia on 2004. However, there is no land dispute case exist until this audit. • Based on document verification, public consultations and field observation there is no indications of land disputes between the company and other parties including the surrounding community. 	Complied
4.4.6	There is evidence that implementation of agreement negotiated through FPIC is annually reviewed in consultation with affected parties.	<p>As explained in previous indicator 4.4.1 shown that:</p> <ul style="list-style-type: none"> • Certificate holder has had procedure for land acquisition and complaints handling. • Based on document verification, field visit and public consultation obtain information that there is a transfer concession from PT Jaya Bahni Utama to PT Socfin Indonesia on 2004. However, there is no land dispute case exist until this audit. 	Complied

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		<ul style="list-style-type: none"> Based on document verification, public consultations and field observation there is no indications of land disputes between the company and other parties including the surrounding community. 	
<p>Criteria 4.5: No new plantings are established on local peoples' land where it can be demonstrated that there are legal, customary or user rights, without their FPIC. This is dealt with through a documented system that enables these and other stakeholders to express their views through their own representative institutions.</p>			
4.5.1	<p>(C) Documents showing identification and assessment of demonstrable legal, customary and user rights are available.</p>	<p>Based on interviews with village head of Sangga Beru Silulusan and Rimo Village, certificate holder has been operating since the Dutch Era around 1919. The last expansion only from PT Jaya Bahni Utama on 2004 (there is no issues regarding to the transfer of concession). In addition, there is no record of land disputes between the company and other parties until this audit finished.</p> <p>In accordance with SEIA document that approved since 1994 obtained information that there were no customary land or indigenous people existed in their concession.</p> <p>Certificate holder has conducted HCV assessment on 2013 and SIA assessment on 2014. Both assessments conclude that there were no customary land or indigenous people in their concession areas.</p> <p>Based on the information above, it can be concluded that there is no new land clearing/expansion since November 2005.</p>	Complied
4.5.2	<p>(C) FPIC is obtained for all oil palm development through a comprehensive process, including in particular, full respect for their legal and customary rights to the territories, lands and resources via local communities' own representative institutions. All the relevant information and documents are made available, and community have option of resourced access to independent third-party advice through a documented, long-term and two- way process of consultation and negotiation.</p>	<p>As described in previous indicator (4.5.1), there is no new land clearing/expansion since November 2005.</p>	Complied
4.5.3	<p>Evidence is available that affected local peoples understand they have the right to say 'agree' or 'not agree' to operations planned on their lands</p>	<p>As described in previous indicator (4.5.1), there is no new land clearing/expansion since November 2005.</p>	Complied

	before and during initial discussions, during the stage of information gathering and associated consultations, during negotiations, and up until an agreement with the unit of certification is signed and ratified by these local peoples. Negotiated agreements are non-coercive and entered into voluntarily and carried out prior to new operations.		
4.5.4	To ensure local food and water security and as part of the FPIC process, SEIA participation and participatory land-use planning with local peoples, the full range of food and water provisioning options are considered. There is transparency of land allocations process.	As described in previous indicator (4.5.1), there is no new land clearing/expansion since November 2005.	Complied
4.5.5	Evidence is available that the affected communities and rights holders have had the option to access 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.	As described in previous indicator (4.5.1), there is no new land clearing/expansion since November 2005.	Complied
4.5.6	Evidence is available that the communities or their representatives gave consent to the initial planning phases of the operations prior to the issuance of a new concession or land title to the operator.	As described in previous indicator (4.5.1), there is no new land clearing/expansion since November 2005.	Complied
4.5.7	After 15 November 2018, new lands will not be acquired for plantations and mills as a result of recent (after November 2005) expropriations in the national interest (eminent domain) without FPIC process, except in cases of smallholders benefitting from agrarian reform or anti-drug programmes.	As described in previous indicator (4.5.1), there is no new land clearing/expansion since November 2005.	Complied
4.5.8	(C) New lands are not acquired in areas inhabited by communities in voluntary isolation.	As described in previous indicator (4.5.1), there is no new land clearing/expansion since November 2005.	Complied
Criteria 4.6: 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.			
4.6.1	(C) A mutually agreed procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, is in place.	Based on interviews with village head of Sangga Beru Silulusan and Rimo Village, certificate holder has been operating since the Dutch Era around 1919. The last expansion only from PT Jaya Bahni Utama on 2004 (there	Complied

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		<p>is no issues regarding to the transfer of concession). There is no new expansion or new land acquisition process from the local communities since that time. In addition, there is no record of land disputes between the company and other parties until this audit finished.</p> <p>Through the SEIA (1994), HCV assessment (2013) and SIA (2014) that has been conducted conclude that there were no customary land or indigenous people in their concession areas.</p> <p>However, certificate holder has had procedure for land acquisition and complaints handling (if any). At the point of the Land Acquisition Plan (Point 5.5.3) the Free, Prior and Informed Consent mechanism has been explained including providing information to the surrounding community, meeting with the community, posting announcements to the public and the mass media. Community approval is done through a voluntary process, without coercion and openness. The local the community can be represented by lawyers that appointed by the community itself during the negotiation process. The process of land acquisition is owned by the community or customary rights based on the procedure of giving compensation where in the process of land acquisition. It is possible to be elicited if no agreement is reached with the local community.</p>	
4.6.2	(C) A mutually agreed procedure for calculating and distributing fair and gender-equal compensation (monetary or otherwise) is established and implemented, monitored and evaluated in a participatory way, and corrective actions taken as a result of this evaluation.	As described in previous indicator (4.6.1), there is no new land clearing/expansion since November 2005.	Complied
4.6.3	Evidence is available that equal opportunities are provided to both men and women to hold land titles for smallholdings (if possible based on local law, customs and/or agreement).	As described in previous indicator (4.6.1), there is no new land clearing/expansion since November 2005.	Complied

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4.6.4	The process and outcomes of any negotiated agreements, compensation and payments are documented with evidence of the participation of affected parties and made available to them.	As described in previous indicator (4.6.1), there is no new land clearing/expansion since November 2005.	Complied
Criteria 4.7: 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 FPIC and negotiated agreements.			
4.7.1	(C) A mutually agreed procedure for identifying people entitled to compensation is in place.	<p>Based on interviews with village head of Sangga Beru Silulusan and Rimo Village, certificate holder has been operating since the Dutch Era around 1919. The last expansion only from PT Jaya Bahni Utama on 2004 (there is no issues regarding to the transfer of concession). There is no new expansion or new land acquisition process from the local communities since that time. In addition, there is no record of land disputes between the company and other parties until this audit finished.</p> <p>Through the SEIA (1994), HCV assessment (2013) and SIA (2014) that has been conducted conclude that there were no customary land or indigenous people in their concession areas.</p> <p>However, certificate holder has had procedure for land acquisition and complaints handling (if any). At the point of the Land Acquisition Plan (Point 5.5.3) the Free, Prior and Informed Consent mechanism has been explained including providing information to the surrounding community, meeting with the community, posting announcements to the public and the mass media. Community approval is done through a voluntary process, without coercion and openness. The local the community can be represented by lawyers that appointed by the community itself during the negotiation process. The process of land acquisition is owned by the community or customary rights based on the procedure of giving compensation where in the process of land acquisition. It is possible to be elicited if no agreement is reached with the local community.</p>	Complied

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4.7.2	(C) A mutually agreed procedure for calculating and distributing fair compensation (monetary or otherwise) is in place and documented and made available to affected parties.	As described in previous indicator (4.7.1), there is no new land clearing/expansion since November 2005.	Complied
4.7.3	Communities that have lost access and rights to land for plantation expansion are given opportunities to benefit from plantation development.	As described in previous indicator (4.7.1), there is no new land clearing/expansion since November 2005.	Complied
Criteria 4.8: The right to use the land is demonstrated and is not legitimately contested by local people who can demonstrated that they have legal customary, or user rights.			
4.8.1	Where there are or have been disputes, proof of legal acquisition of title and evidence that mutually agreed compensation has been made to all people who held legal, customary, or user rights at the time of acquisition is available and provided to parties to a dispute, and that any compensation was accepted following a documented process of FPIC.	Based on interviews with village head of Sangga Beru Silulusan and Rimo Village and also public consultation with local government agencies in Aceh Singkil District obtain information that PT Socfin Indonesia – Lae Butar has been operating since the Dutch era around 1919. The last expansion only from PT Jaya Bahni Utama on 2004 (there is no issues regarding to the transfer of concession). There is no new expansion or new land acquisition process from the local communities since that time. In addition, there is no record of land disputes between the company and other parties until this audit finished. Through the SEIA (1994), HCV assessment (2013) and SIA (2014) that has been conducted conclude that there were no customary land or indigenous people in their concession areas.	Complied
4.8.2	(C) Land conflict is not present in the area of the unit of certification. Where land conflict exists, acceptable conflict resolution processes (see Criteria 4.2 and 4.6) are implemented and accepted by the parties involved. In the case of newly acquired plantations, the unit of certification addresses any unresolved conflict through appropriate conflict resolution mechanisms.	As described in previous indicator (4.8.1), there is no new land clearing/expansion since November 2005.	Complied
4.8.3	Where there is evidence of acquisition through dispossession or forced abandonment of customary and user rights prior to the current operations and there remain parties with demonstrable customary and land use	As described in previous indicator (4.8.1), there is no new land clearing/expansion since November 2005.	Complied

	rights, these claims will be settled using the relevant requirements (Indicators 4.4.2, 4.4.3 and 4.4.4).		
4.8.4	For any conflict or dispute over the land, the extent of the disputed area is mapped out in a participatory way with involvement of affected parties (including neighbouring communities where applicable).	As described in previous indicator (4.8.1), there is no new land clearing/expansion since November 2005.	Complied
<p>Principle 5: Support smallholder inclusion Include smallholders in RSPO supply chains and improve their livelihoods through fair and transparent partnerships.</p>			
<p>Criteria 5.1: The unit of certification deals fairly and transparently with all smallholders (Independent and Scheme) and other local businesses.</p>			
5.1.1	Current and previous period prices for FFB are publicly available and accessible by smallholders.	PT Socfin Indonesia – Lae Butar POM does not receive FFB from another FFB sources/supplier. All FFB receive by POM was from own Estate (Lae Butar Estate) which has been RSPO certified. Therefore, FFB pricing for FFB supplier or smallholder were not applicable.	Complied
5.1.2	(C) Evidence is available that the unit of certification regularly explains the FFB pricing to smallholders.	PT Socfin Indonesia – Lae Butar POM does not receive FFB from another FFB sources/supplier. All FFB receive by POM was from own Estate (Lae Butar Estate) which has been RSPO certified. Therefore, FFB pricing for FFB supplier or smallholder were not applicable.	Complied
5.1.3	(C) Fair pricing, including premium pricing, when applicable, is agreed with smallholders in the supply base and documented.	PT Socfin Indonesia – Lae Butar POM does not receive FFB from another FFB sources/supplier. All FFB receive by POM was from own Estate (Lae Butar Estate) which has been RSPO certified. Therefore, FFB pricing for FFB supplier or smallholder were not applicable.	Complied
5.1.4	(C) Evidences is available that all parties, including women and independent representative organization assisting smallholders where requested, are involved in the decision making processes and understand the contracts. These include involving finance, loans/credits, and repayments through FFB price reductions for replanting and/or, other support mechanisms where applicable.	PT Socfin Indonesia – Lae Butar POM does not receive FFB from another FFB sources/supplier. All FFB receive by POM was from own Estate (Lae Butar Estate) which has been RSPO certified. Therefore, FFB pricing for FFB supplier or smallholder were not applicable.	Complied

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5.1.5	Contracts are fair, legal and transparent and have an agreed timeframe.	Sighted contract between PT Socfin Indonesia – Lae Butar POM and subcontractor were fair, legal and transparent and have an agreed timeframe. Sample verified: <ol style="list-style-type: none"> 1. PD-GM/X/523/2019 dated 23/12/2019 for transport of CPO, valid until 31 December 2020. 2. PD-GM/X/524/2019 dated 23/12/2019 for transport of PK, valid until 31 December 2020 <p>The contract is agreed by both parties and signed without enforcement. Term and condition including price and time frame has been stated and agreed.</p>	Complied
5.1.6	(C) Agreed payments are made in a timely manner and receipts specifying price, weigh, deductions and amount paid are given.	Sighted example of transporter payment CV Karya Murni period August 2020. Payments receipt on 24 August 2020 via bank transfer.	Complied
5.1.7	Weighing equipment is verified by an independent third party on a regular basis.	During the audit obtained information that the weighbridge of Lae Butar has been schedule to be verified by <i>Balai Standardisasi Metrologi Legal Regional I</i> Ministry of Trade Republic Indonesia. Along with the finalization of this report, certificate holder has been able to show a Certificate of Testing No. 80 / PKTN.4.9 / KHP / 12/2020 issued by the Head of <i>Balai Standardisasi Metrologi Legal Regional I</i> - Ministry of Trade of the Republic of Indonesia on 10 December 2020. The document is evidence of recalibration of the GSC weigh bridge; GST9600; 01007 belongs to Lae Butar POM. Those certificate valid until 25 November 2021.	Complied
5.1.8	The unit of certification supports Independent smallholders with certification, where applicable, ensuring mutual agreements between the unit of certification and the smallholder on who runs the Internal Controlling System (ICS), who holds the certificate, and who owns and sells certified materials.	Certificate holder has had engagement with independent smallholder surrounding of their concession. They had an joint agreement as follows: <ul style="list-style-type: none"> • Joint agreement with <i>Kelompok Tani Maju Bersama</i>, Blok 15 Village (PKS No. LB/X/Bi/221/2020) dated 19 February 2020. 	Complied

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		<ul style="list-style-type: none"> • Joint agreement with <i>Kelompok Tani Tunas Harapan</i>, Tunas Harapan Village (PKS No. LB/X/Bi/222/2020) dated 19 February 2020. • Joint agreement with <i>Kelompok Tani Mekar Tani</i>, Blok 18 Village (PKS No. LB/X/Bi/398/2020) dated 24 April 2020. • Joint agreement with <i>Kelompok Tani Sumber Rejeki</i>, Pandan Sari Village (PKS No. LB/X/Bi/397/2020) dated 24 April 2020. <p>PT Socfin Indonesia – Lae Butar POM has support independent smallholder by coaching and counselling and training related to Best Management Practices to enhance their productivity. Sighted the training evidence as follows:</p> <ul style="list-style-type: none"> • Socialization of partnership and best management practices training to enhance palm oil production to the farmer group of Tunas Harapan on 20 September 2020. Attended by 20 smallholder members. • Socialization of partnership and best management practices training to enhance palm oil production to the farmer group of Mekar Tani on 26 September 2020. Attended by 31 smallholder members. • Socialization of partnership and best management practices training to enhance palm oil production to the farmer group of Maju Bersama on 29 September 2020. Attended by 13 smallholder members. • Minutes of training are available as per “Risalah Briefing”. Training subject is related to best management practices of Agronomy of palm oil plantation such as: certified seeds application/usage, drainage management, integrated and effective pest and disease management, weeds control, pesticide handling, zero burning and infrastructure management in order to improve their livelihoods. 	
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5.1.9	(C) The unit of certification has a grievance mechanism for smallholders, and all grievances raised are dealt with in a timely manner.	In the joint agreement letter with the smallholder, there is an agreement related to dispute resolution. In Article 9 - Dispute Resolution it is stated that: 1. All problems that arise are resolved by consensus. 2. If no agreement is reached, both parties agree to resolve this issue through the Aceh Singkil District Court.	Complied
Criteria 5.2: The unit of certification supports improved livelihoods of smallholders and their inclusion in sustainable palm oil value chains.			
5.2.1	The unit of certification consults with interested smallholders (irrespective of type) including women or other partners in their supply base to assess their needs for support to improve their livelihoods and their interest in RSPO certification.	As explained in indicator 5.1.8, all smallholder has been trained in order to supports improved livelihoods of smallholders and their inclusion in sustainable palm oil value chains.	Complied
5.2.2	The unit of certification develops and implements livelihood improvement programmes, including at least capacity building to enhance productivity, quality, organisational and managerial competencies, and specific elements of RSPO certification (including the RSPO Standard for Independent Smallholder).	As explained in indicator 5.1.8, all smallholder has been trained in order to supports improved livelihoods of smallholders and their inclusion in sustainable palm oil value chains. Lae Butar unit also had a Continuous Improvement Program 2020 as follows: <ul style="list-style-type: none"> • Using planting material that tolerance to pest and disease. • Using biocleaner to reduce environmental threshold (BOD, COD and TSS). • Planting Vertiver grass in effluent pond to prevent pond wall collapse. • Using Beauvaria bassiana mushroom to control pest infestation and reducing insecticides. • Enriched riparian area with local wooden plant to reduce erosion and improve natural vegetation. 	Complied
5.2.3	Where applicable, the unit of certification provides support to smallholders to promote legality of FFB production.	As explained in indicator 5.1.8, all smallholder has been trained in order to supports improved livelihoods of smallholders and their inclusion in	Complied

		sustainable palm oil value chains. However, until this audit certificate holder still only facilitate smallholder to improve their best management practices.	
5.2.4	(C) Evidence exists that the unit of certification trains Scheme Smallholders on pesticide handling.	As explained in indicator 5.1.8, all smallholder has been trained in order to supports improved livelihoods of smallholders and their inclusion in sustainable palm oil value chains. However, until this audit certificate holder still only facilitate smallholder to improve their best management practices.	Complied
5.2.5	The unit of certification regularly reviews and publicly reports on the progress of the smallholder support programme.	As explained in indicator 5.1.8, all smallholder has been trained in order to supports improved livelihoods of smallholders and their inclusion in sustainable palm oil value chains. However, until this audit certificate holder still only facilitate smallholder to improve their best management practices.	Complied
<p>Principle 6: respect workers’ rights and conditions Protect workers’ rights and ensure safe and decent working conditions.</p>			
<p>Criteria 6.1: Any form of discrimination is prohibited.</p>			
6.1.1	(C) A publicity available non-discrimination and equal opportunity policy is implemented in such way to prevent discrimination based on ethnic origin, caste, national origin, religion, disability, gender, sexual orientation, gender identity, union membership, political affiliation or age.	<p>PT Socfin Indonesia as a part of the Socfin Group and as such its Sustainability strategy, policy and decision making adheres to Socfin Responsible Management Policy of 28 March 2017. The Socfin Group commits to :</p> <ul style="list-style-type: none"> • Respect and support the Universal Declaration of Human Rights, • Recognise and respect the rights of all workers, including the workers of its subcontractors, temporary including the workers of its subcontractors, temporary workers and migrant workers, • Recognise and respect the rights of local and indigenous communities, • Maintain a transparent and open dialogue with local populations. 	Complied

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		<p>PT Socfin Indonesia also had the Employee and Corporate Code of Ethics (second edition – March 2019) that approved by top management. The purpose of this PT Socfin Indonesia’s Employee and Corporate Code of Ethics is to implement practices that comply with generally accepted ethical standards. The corporate culture promoted by Socfin S.A. reflects the different social and managerial characteristics resulting from the integration of the various cultures and communities of the countries where the Company is established. This Code of Ethics takes these elements into account. Each employee must undertake to respect all the principles and put them into practice. The Code of Ethics for Employees and the Company therefore allows everyone to evaluate the decisions to be made in accordance with the ethical principles applicable to the entire company.</p> <p>Those document, can be downloaded at https://www.socfindo.co.id/sustainability#a3. Through the document, Socfin Indonesia committed to provide work place without non-discrimination and equal opportunity policy is implemented in such way to prevent discrimination based on ethnic origin, caste, national origin, religion, disability, gender, sexual orientation, gender identity, union membership, political affiliation or age.</p> <p>The company has procedure, which regulated that hiring and promotion of workers are based on skill, work experiences, and job evaluation.</p> <p>Recruitment process was documented in procedure “<i>Penerimaan Pekerja KHT Kebun</i>” No Doc: SOC/PSM/6.01.01, 1st revision dated 1st December 2015. Based on that procedure can be seen that the selection, recruitment and promotion of workers based on qualification standard for the job. Employees credential and medical history were documented and recorded very well and has been reviewed during audit. All company policy reviewed every year by Sustainability Sub Department,</p>	
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		<p>PT. Socfin Indonesia. Employees' evaluation was conducted every November to decide promotion of employees.</p> <p>Promotion and upgrade are based on employee appraisal conducted annually as outlined in the Employee Assessment Form signed by the employee concerned, approved by the line manager and checked by the General Manager. The form indicates that there is no indication of employment discrimination in terms of ethnicity, caste, religion, disability, gender, sexual orientation, union membership, political affiliation and/or age.</p> <p>Recruitment sample: in June 2020, Unit of Certification Lae Butar recruited new 30 local workers for Harvesters. The recruitment process is start from March 2020 as per letter No: LB/X/Bi/306/20, dated 18 March 2020. Medical Check Up selection on 25 June 2020, Acceptance to work is on 29 June 2020.</p>	
6.1.2	<p>(C) Evidence is provided that workers and groups including local communities, women, and migrant workers have not been discriminated against. Evidence includes migrant workers non-payment of recruitment fees.</p>	<p>Recruitment sample: in June 2020, Unit of Certification Lae Butar recruited new 30 local workers for Harvesters. The recruitment process is start from March 2020 as per letter No: LB/X/Bi/306/20, dated 18 March 2020. Medical Check Up selection on 25 June 2020, Acceptance to work is on 29 June 2020.</p>	Complied
6.1.3	<p>The unit of certification demonstrates that the recruitment selection, hiring access to training and promotion are based on skills, capabilities, qualities and medical fitness necessary for the jobs available.</p>	<p>Recruitment sample: in June 2020, Unit of Certification Lae Butar recruited new 30 local workers for Harvesters. The recruitment process is start from March 2020 as per letter No: LB/X/Bi/306/20, dated 18 March 2020. Medical Check Up selection on 25 June 2020, Acceptance to work is on 29 June 2020.</p>	Complied
6.1.4	<p>Pregnancy testing is not conducted as a discriminatory measure and is only permissible when it is legally mandated. Alternative equivalent employment is offered for pregnant women.</p>	<p>The company is regularly perform monitoring of pregnancy in monthly bases. The latest testing is on August 2020 for 5 female workers. The name of workers is confidential due to Aceh Singkil Regency culture, but the name and its result already verified by auditor. The point is pregnant female workers was not exist during current employed.</p>	Complied

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6.1.5	(C) A gender committee is in place specifically to raise awareness, identify and address issues of concern, as well as opportunities and improvements for women.	<p>Company has formed A Gender Committee since year 2012 and has been approved by Lae Butar management consist Head of Committee, Secretary and Members.</p> <p>Based on interview with representative of Gender Committee, it was explained that:</p> <ul style="list-style-type: none"> • Gender committees were formed as a forum to accommodate complaints or other specific issues from workers, both women and men. The issues that responsible to be follow up by the committees are related sexual harassment, reproductive rights, bullying or even intimidation from Unit of Certification or co-workers. • Member of gender committees consist of women and men. Since the committees are formed, there is no negative issues raised and reported to the committees. • Gender committees is frequently conduct a dissemination information and assist the company to address their policy, particularly at the current condition where Covid-19 pandemic is still happening. The committees very active to inform the workers relating Covid-19 policy. 	Complied
6.1.6	There is evidence of equal pay for the same work scope.	Unit of Certification proves that it guarantees that related to the wage is in accordance with the laws and regulations applicable to the scope of work that has been made. Based on interviews and verification documents, Unit of Certification has adopted wages in accordance with regulations and legislation.	Complied
Criteria 6.2: Pay and conditions for staff and workers and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages (DLW).			
6.2.1	(C) Documentation of pay and working conditions in accordance with applicable labour laws are available to the workers in national languages and explained to them in language they understand.	Collective labor agreements and documentation of pay and conditions are available to the workers as per "Perjanjian Kerja Bersama 2018 – 2020 Yang disepakati oleh Badan Kerjasama Perusahaan Perkebunan	Complied

		<p>Sumatera (BKS PPS) dengan Pengurus Pusat Federasi Serikat Pekerja Pertanian dan Perkebunan SPSI (PP FSP.PP-SPSI)" dated 8 April 2019". Subject that described within this document are:</p> <ul style="list-style-type: none"> - Recruitment on Article III - Working Time on Article IV - Wage and Payment on Article V - Working sanction on Article VIII - Overtime and its payment on Article X <p>All the documents are in Bahasa Indonesia.</p>	
6.2.2	<p>(C) Employment contracts and related documents detailing payments and conditions of employment (e.g. regular working hours, deductions, overtime, sick leave, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc. in compliance with national legal requirements) and payroll documents give accurate information on compensation for all work performed.</p>	<p>Employment contract was refer to "Perjanjian Kerja Bersama (PKB) 2018 – 2020" which has been agreed according to "Perjanjian Kerja Bersama 2018 – 2020 Yang disepakati oleh Badan Kerjasama Perusahaan Perkebunan Sumatera (BKS PPS) dengan Pengurus Pusat Federasi Serikat Pekerja Pertanian dan Perkebunan SPSI (PP FSP.PP-SPSI)" dated 8 April 2019". Collective labor agreement was comprise of 24 Article which is covering among others:</p> <ul style="list-style-type: none"> • Working hour, leave including metrnity leave and sick leave • Wages (basic wages, incentive, benefit, dependent benefit) • Piece rate: determination of piece rate wages • Sick assistance • Absence • Payment of extra food (food cost), traveling cost • Overtime and incentive overtime • Incentive determination • Working tools and equipment provision by company 	Complied

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		<ul style="list-style-type: none"> • Tunjangan Hari Raya Keagamaan dan Bonus • Social assurance and assistance • Health assurance • Holiday entitlement • Period of notice • Pension plan and severance pay • Others related to labor rights and obligations 	
6.2.3	<p>(C) There is evidence of legal compliance for regular working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, and other legal labour requirements.</p>	<p>Working hours has been determined in PKB as 7 hour/day with working day 6 days or 40 hour/weeks. Overtime has determined according to KepMenakertrans RI No. KEP-102/MEN/VI/2004 with formula (monthly wages + rice incentive monthly)/173. Overtime will adjust for workday, holiday, number of hour overtime according to regulation.</p> <p>Sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice are stipulated in Article VIII PKB and has refer to UU No. 13 Tahun 2003.</p> <p>Based on document verification (attendant register/absence and payslip) it was confirmed that regular working hours, deductions, overtime has well implemented according to relevant regulation. Holiday entitlement, maternity leave, reasons for dismissal, period of notice and other relevant labor requirement are stipulated in ""Perjanjian Kerja Bersama 2018 – 2020"" which is agreed by employee/workers and PT Socfin Indonesia – Lae Butar POM.</p>	Complied
6.2.4	<p>(C) The unit of certification provides adequate housing. Sanitation facilities, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible. In the case of acquisitions of non-certified units, a plan is developed detailing the upgrade of infrastructure. A reasonable time (5 years) is allowed to upgrade the infrastructure.</p>	<p>PT Socfin Indonesia – Lae Butar POM has provide the housing sanitation facilities, water supplies, medical, educational and welfare amenities to national standards. This unit of certification is located in midtown of Rimo village, therefore the workers is not difficult to seek their staple food and other daily needs.</p>	Complied

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		Based on field visit to workers compound at Division 4, the workers also planting vegetables and some fruit trees in their backyard.	
6.2.5	The unit of certification makes efforts to improve workers' access to adequate, sufficient and affordable food.	<p>PT Socfin Indonesia – Lae Butar POM has a policy that workers will be given 15 kg additional rice (if worker is not married) and if worker have a family the he will be give 15 kg additional rice, 9 kg rice for wife and 7,5 kg rice for each child, maximum 3 child. Besides that, extra food given for the workers such as milk and green bean porridge. The evidences has been reviewed such as payroll for August 2020 (payroll contains of salaries, extra wage and other benefits) and based on interviews with the workers.</p> <p>Workers housing provide by company also near to the traditional market which provide the basic needs including affordable food.</p>	Complied
6.2.6	A DLW is paid to all workers in accordance with applicable regulations, including workers who work on a piece rate/quota basis, the calculation of which is based on a quota that can be achieved during regular working hours.	<p>Unit of Certification paid to all workers following Provincial Minimum Wage that provided by Aceh Governor decree. All the workers in PT. SOCFIN INDONESIA – Lae Butar is permanent status. For 2020, Minimum Wage which implement in UoC is refer to “Keputusan Gubernur Aceh Nomor: 560/1774/2019”, dated 1 November 2019. Minimum Wage is IDR 3,165,031.</p> <p>Following these, UoC issued internal memo concerning determination of wage refer to No. UM/KK/Bi/688/20, dated 20 February 2020. Amount of wages paid is IDR 3,165,031 (consist of money IDR 3,022,531 and rice amount IDR 142,500).</p> <p>Based on interview with sample of workers and verify their payslip, it was clearly that Unit of Certification paid the workers following the Provincial Minimum Wage.</p> <p>UoC has determined details of in-kind benefit received by employee’s year 2020 with 13 parameters which refer to RSPO Guidance on Calculating Prevailing Wages, 11 November 2019. However, supporting document related assessment of wages paid (prevailing wages) and in-</p>	Non-compliance

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		kind benefits as required in Procedural Note under indicator 6.2.6 are not provided This is Minor Noncompliance.	
<p>PROCEDURAL NOTE:</p> <p>The RSPO has published guidelines on the calculation of Decent Living Wage (DLW) in June 2019. Since Indonesia does not have DLW benchmark yet, the RSPO Secretariat will conduct a DLW benchmark study in accordance with the Global Living Wage Coalition (GLWC) and Indonesian laws and regulations.</p> <p>In the meantime, until DLW benchmark for Indonesia is endorsed by the RSPO, the unit of certification carries out interim measures that was published by RSPO (dated 11 November 2019), including:</p> <ol style="list-style-type: none"> 1. Payment of minimum wages in accordance with applicable regulations 2. Assessment of wages paid (prevailing wages) and in-kind benefits. <p>Once the DLW benchmark is available, this procedural note is no longer applicable.</p>			
6.2.7	Permanent fulltime employment is used for all core work performed by the unit of certification. Casual, temporary and day labour is limited to jobs that are temporary or seasonal	PT Socfin Indonesia – Lae Butar POM employed permanent employee for all type of jobs: harvesting, spraying workers, administration, upkeep, pruning, operator and driver. It was confirmed during interview with workers and document verification of list of employee. All the workers in PT Socfin Indonesia – Lae Butar POM are permanent status.	Complied
<p>Criteria 6.3: The unit of certification 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>			
6.3.1	(C) A published statement recognizing freedom of association and right to collective bargaining in national languages is available and is explained to all workers in languages that they understand, and is demonstrably implemented.	Freedom of association has been mentioned in Ethics Policy No Doc: SOC/Dp/4.01-64, 5th Revision, dated 18th January 2016. Organizations understand that workers have the right to argued, associate and organize in a labour union. Socfin Indonesia has adopted the following Sustainability Policies which encapsulate Socfindo’s current commitments and strategic priorities in relation to Sustainability. These policies are available in their website: https://www.socfindo.co.id/sustainability#a3 . Freedom of Association	Complied

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		<p>Policy is available on https://www.socfindo.co.id/documents/eng/Policy-Freedom-of-Association.pdf</p> <p>Based on interview with labour union leader, Unit of Certification has accommodated employee rights to argued, associate and organize in a labour union. Employees, including migrant workers and contract workers were allowed to form associations and bargain collectively with their employer.</p>	
6.3.2	Minutes of meetings between the unit of certification with trade unions or worker representatives who are freely elected, are documented in the national languages and available upon request.	<p>Minutes of meetings with main labour unions or workers representatives been documented, Bipartite Meeting concerning decreasing of employee bonus as below:</p> <ul style="list-style-type: none"> • 21 February 2020. Concerning Dissemination of Management decision related bonus payment. Attended by 18 representatives. • 18 April 2020. Related information of bonuses decreasing. • 11 May 2020. Concerning: Bipartite meeting to resolve the strike of employees. Attended by 10 representatives. <p>Minutes of meeting were available, list of attendance was sighted. The minutes were made readily available to employees upon request.</p>	Complied
6.3.3	Management does not interfere with the formation or operation of registered labour organizations/unions, or other freely elected representatives for all workers, including migrant and contract workers.	<p>Indonesian Plantation and Agriculture Worker’s Federation (PUK FSPPP-SPSI) PT. Socfin Indonesia Kebun Lae Butar is formed and registered is freely elected by the workers. This labour union registered by Manpower Agency with Decision Letter No: 13/PUK SPSI-ASK/VI/2020, dated 26 June 2020.</p>	Complied
Criteria 6.4: Children are not employed or exploited.			
6.4.1	A formal policy for the protection of children, including prohibition of child labour and remediation is in place, and included into service contracts and supplier agreements.	<p>PT Socfin Indonesia has adopted the following Sustainability Policies which encapsulate Socfindo’s current commitments and strategic priorities in relation to Sustainability. These policies are available in their website: https://www.socfindo.co.id/sustainability#a3. Child Protection</p>	Complied

		Policy is available on https://www.socfindo.co.id/documents/eng/Policy-Child-Protection.pdf	
6.4.2	(C) Documented evidence on the fulfilment of worker’s minimum age requirements in accordance with applicable regulation and verification procedures for age requirements, are available.	According to Employee List Mill and Estate Lae Butar “Daftar Pekerja Kebun Lae Butar” per December 2020. Total number of workers is 938 employees for Mill and Estate. Sample of new workers recruited on June 2020 as below: <ul style="list-style-type: none"> - E** Hari*****, age: 28 y.o. (recruited per July 2020). Division III. - Andiw*****, age: 28 y.o. (recruited per July 2020). Division IV. 	Complied
6.4.3	(C) Young person maybe employed only for non-hazardous work with protective restrictions in place for that work.	PT. Socfin Indonesia has a policy for pay and conditions for employees in Ethics Policy No Doc: SOC/Dp/4.01-64, 5th Revision, dated 18th January 2016. According to Employee List Mill and Estate Lae Butar “Daftar Pekerja Kebun Lae Butar” per December 2020, young worker at hazardous work was not exist. Workers with job for chemical handling, including herbicides applicator is over than 20 y.o.	Complied
6.4.4	The unit of certification demonstrates communication about its ‘no child labour’ policy and the negative effects of child labour, and promotes child protection to supervisors and other key staff, smallholders, FFB suppliers and communities where workers live.	Based on interviews with workers, contractors, labour union representative, as well as officers in the field indicates that they have understood management policy to prohibit the use of the child labor in all types of Unit of Certification's operations activities. Based on the verification document shows that the management have done socialization ban on the use of child labor policy through: <ol style="list-style-type: none"> 1. Put up the policy in the bulletin board in every office/mill estate 2. Do direct socialization to workers especially vulnerable types of workers who are utilizing “informal worker” who are children like at the harvesting (harvesting) that is prohibited include the sons of workers to help her parents work (picing the lose fruit). 3. Lists the prohibition clause on each contract with contractors power the use of child documents. 	Complied

Criteria 6.5: There is no harassment or abuse in the workplace, and reproductive rights are protected.

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6.5.1	(C) A policy to prevent sexual and all other form of harassment and violence is documented, implemented and communicated to all levels of the workforce.	<p>PT Socfin Indonesia has adopted the following Sustainability Policies which encapsulate Socfindo’s current commitments and strategic priorities in relation to Sustainability. These policies are available in their website: https://www.socfindo.co.id/sustainability#a3.</p> <p>Prevention of Sexual and Other Harassment Policy is available on https://www.socfindo.co.id/documents/eng/Policy-Prevention-of-Violence-Harassment.pdf</p> <p>Based on interviews with sample workers, contractors, labour union representative, this policy already understood and always communicated during muster morning or briefing prior to work.</p>	Complied
6.5.2	(C) A policy to protect the reproductive rights of all, especially of women, is documented, implemented and communicated to all levels of the workforce.	<p>PT Socfin Indonesia has adopted the following Sustainability Policies which encapsulate Socfindo’s current commitments and strategic priorities in relation to Sustainability. These policies are available in their website: https://www.socfindo.co.id/sustainability#a3.</p> <p>Reproductive Rights Policy is available on https://www.socfindo.co.id/documents/eng/Policy-Reproductive-Rights.pdf</p> <p>Based on interviews with sample workers, contractors, labour union representative, this policy already understood and always communicated during muster morning or briefing prior to work.</p>	Complied
6.5.3	Management has assessed the needs of new mothers, in consultation with the new mothers, and actions are taken to address the needs that have been identified in accordance with applicable regulations in Indonesia.	<p>For breastfeeding mothers and had children under 5 years, Unit of Certification has provided childcare / creche (TPA) which is located in each division/Afdeling. Unit of Certification provides a special space and time for 1 hour for breastfeeding mothers in need time to nursing his baby.</p> <p>Unit of Certification has identified the needs of young mothers through direct consultation, records related to it recorded in the related female workers and recorded related to pregnancy, breastfeeding mothers and menstrual periods.</p>	Complied

		Based on list of workers and interview with sample of 5 female workers, there is no new mothers during the time.	
6.5.4	A grievance mechanism, which respects anonymity and protects complainants where requested, as long as the complaint is supported with adequate information, is documented, implemented and communicated to all levels of the workforce.	<p>PT Socfin Indonesia has adopted the following Sustainability Policies which encapsulate Socfindo’s current commitments and strategic priorities in relation to Sustainability. These policies are available in their website: https://www.socfindo.co.id/sustainability#a3. Specific related HRD and complaints are available in Grievance Policy.</p> <p>According to information in indicator 4.2.3, resolution for sexual harassment complaint, intimidation and violence will held by Gender Committee. The meeting for complaints and investigation conducted maximum 1 month after the complaint submitted and the status will be updated on a monthly bases by Gender Committee.</p> <p>Based on interview with sample workers, local communities and relevant stakeholders, this policy already understood and always communicated during muster morning or briefing prior to work (for workers). For other stakeholders, dissemination of the policy is through notification board at each Division Office or entrance gate the office.</p>	Complied
Criteria 6.6: No forms of forced or trafficked labour are used.			
6.6.1	<p>(C) All work is voluntary and the following are prohibited:</p> <ul style="list-style-type: none"> • Retention of identity documents or passports; • Payment of recruitment fees; • Contract substitution without worker’s consent • Involuntary overtime; • Lack of freedom of workers to resign • Penalty for termination of employment, unless the unit of certification and the workers agree to the penalty and it is stated in the employment agreement • Debt bondage 	<p>PT Socfin Indonesia – Lae Butar POM employed permanent employee for all type of jobs: harvesting, spraying workers, administration, upkeep, pruning, operator, and driver. It was confirmed during interview with workers and document verification of list of employee.</p> <p>All the workers in PT Socfin Indonesia – Lae Butar POM are permanent status. Therefore, the following are not founded:</p> <ul style="list-style-type: none"> • Retention of identity documents or passports; • Payment of recruitment fees; • Contract substitution without worker’s consent • Involuntary overtime; 	Complied

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	<ul style="list-style-type: none"> Withholding of wages 	<ul style="list-style-type: none"> Lack of freedom of workers to resign Penalty for termination of employment, unless the unit of certification and the workers agree to the penalty and it is stated in the employment agreement Debt bondage Withholding of wages 	
6.6.2	<p>(C) Where temporary (Specified Time Work Agreement/PKWT) or migrant workers are employed, a specific labour policy and procedures are established and evidence of implementation is available.</p>	<p>PT Socfin Indonesia – Lae Butar POM employed permanent employee for all type of jobs: harvesting, spraying workers, administration, upkeep, pruning, operator, and driver. It was confirmed during interview with workers and document verification of list of employee.</p>	Complied
<p>Criteria 6.7: The unit of certification ensures that the working environment under its control is safe and without undue risk to health.</p>			
6.7.1	<p>(C) The responsible person(s) for H&S is identified. There are records of regular meetings between the responsible person(s) and workers. Concerns of all parties about health, safety and welfare are discussed at these meetings, and any issues raised are recorded.</p>	<p>PT Socfin Indonesia – Lae Butar POM and Estate has appointed the responsible person for H&S is identified as per P2K3 (Safety Committee). P2K3 has an approval from Manpower Office as per “Surat keputusan kepala Dinas dan Transmigrasi dan Tenaga Kerja Kabupaten Aceh Singkil Nomor: 560/33/2017 Tentang Penetapan Panitia Pembina Keselamatan dan Kesehatan Kerja di perusahaan PT Socfin Indonesia Kebun Lae Butar”.</p> <p>The Safety Committee secretary are certified OHS expert on behalf Masriadi (Tekniker I) according to “Setifikat Ahli K3 No; Ser.18.21734/AK3/U/VIII/2018” dated 24 August 2018, issued by Kementrian Ketenagakerjaan Republik Indonesia; OHS Expert appointment of Masriadi based on “Keputusan Menteri Ketenagakerjaan R.I Nomor: KEP.21437/NAKER-BINWASK3/VIII/2018 Tentang Penunjukan Ahli Keselamatan dan Kesehatan kerja Umum Menteri ketenagakerjaan R.I” dated 24 August 2018 valid until 3 years. OHS expert Licence No. Reg.57443/PK3/AJ/12/2018/P0 dated 24 August 2018 valid until 24 August 2021.</p>	Complied

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		<p>Regular safety committee meeting are conducted each month and reported to Manpower office each quarter. Record of regular meeting between the responsible person(s) and workers (safety committee meeting) are available, sample seen;</p> <ul style="list-style-type: none"> • Record meeting dated 15 September 2020, attend by 16 participant as per attendance list. Meeting discussing regarding: OHS socialization, PPE usage monitoring and evaluation, consistency of covid-19 protocol implementation, organic & anorganic waste handling, unsafe condition at waste water pond and its follow up. • Record meeting dated 22 August 2020, attend by 16 participant as per attendance list. Meeting discussing regarding: OHS socialization, PPE usage monitoring and evaluation, consistency of covid-19 protocol implementation, Covid-19 pandemic situation update, OHS socialization regarding Tank washing to ensure the safe working practices. • Record meeting dated 7 July 2020, attend by 16 participant as per attendance list. Meeting discussing regarding: OHS socialization, PPE usage monitoring and evaluation, consistency of covid-19 protocol implementation, safety awareness for work in slippery areas due to rain season, unsafe condition improvement at loading ramp area. <p>Safety committee meeting record and evaluation including the OHS plan implementation are reported each quarter to "Dinas tenaga Kerja dan Mobilitas Penduduk Pemerintah Aceh". Latest report quarter 3 hasn reported on 9 October 2020. Report evidence and receipt are available.</p>	
6.7.2	<p>Accident and emergency procedures in Indonesian language are in place and clearly understood by all workers. Assigned operatives trained in first aid are present in both field and other operations. First aid equipment is available at worksites. Records of all accidents are kept and periodically reviewed.</p>	<p>Emergency respond procedure written in Bahasa Indonesia was described by SOC/PSM/4.08 which cover reporting, responsibility of all members of ERP Team, handling of ERP situation, mitigating of ERP situation. Some situations were identified such as accident, earthquake, flooding, fire, hazardous spillage and explosion.</p>	Complied

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		<p>The procedure described the roles and responsibilities of each emergency response team include the mechanism how to conduct medical evacuation to near hospital/local health centre, also it was available the emergency contact number of each internal emergency team and external related parties. Evacuation route and muster point are available and made known to the employee.</p> <p>The structure of Emergency Response Team (ERT) has been established and updated on 6 January 2020. ERT team consists of ERT commander (ADM for mill, division assistance for each estate division), firefighting team, security team, communication team, evacuation team, first aid team, and recovery team. The list of protection equipment for emergency was available such as fire extinguisher and fire engine.</p> <p>Emergency response procedure and simulation has been disseminated to workers on 15 February 2020 and 15 September 2020, attended by estate and mill workers. The list of attendance was available.</p> <p>From workers interview in the field it was observed that the workers were clearly understood of what is required in the procedure.</p> <p>Accident procedure written in Bahasa Indonesia was described by SOC/PSM/4.14. Accident and investigation reports described the accident chronology, cause and impacts of the accident and to find the root causes of the accident happened and establish the corrective and preventive action. Accident investigation has been documented. Accidents happened were investigated and maintained properly. The accident has been reported to the local authority and the risk assessment has been updated to prevent the same accident happened.</p> <p>The last accident occurred to harvester on 3 October 2020 with lost time day 10 days. There were 16 accidents occurred in 2019 and 9 accidents in 2020 (YTD October 2020).</p>	
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		<p>First Aid operators were available at working area as paramedic and foreman. There was first aider at mill and estate that have been certified as first aider from Ministry of Manpower.</p> <p>The First Aid equipment were available at worksites such as harvesting area and spraying area carried by group leader, mill, workshop, warehouse and office. and were checked in accordance with local regulation Permenaker 15/2008. First aid kit monitoring and socialization on how to use first aid was regularly performed, latest monitoring and socialization on 2 October 2020.</p>	
6.7.3	<p>(C) Workers use appropriate personal protective equipment (PPE) which is provided free of charge to all workers in the workplace, to cover all potentially hazardous operations, such as pesticides application, machine operations, land preparation, and harvesting. Sanitation facilities for those applying pesticides are available, so that workers can change out of PPE, wash and put on their personal clothing.</p>	<p>Adequate and appropriate protective equipment was available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, replanting and harvesting and. The needs of PPE were determined from HIRAC document or related SOP of activity. The procedure for management of PPE has been established (SOC/PSM/4.21). The type of PPE used for each activity has been determined, e.g. working at Mill, working at generator set, welder, working at laboratory, harvester, sprayer, fertilizer storage and chemical storage. It also covered the expired time of each PPE.</p> <p>PPE was provided by organisation to workers and replaced when damaged. Observation during this audit generally concluded that PPE has been well provided and implemented. The stock of PPE was listed in warehouse stock card such as googles, mask, gloves and apron.</p> <p>Organization maintains a list of PPE distribution in form "List of PPE Distribution/Kartu Perkakas". Several records were reviewed such as on 4 June 2020, 20 June 2020 and 12 October 2020 for PPE distribution to Lae Butar Mill workers; on 18 July 2020 for PPE distribution to spraying workers division II Lae Butar Estate.</p> <p>Spraying workers at division II block 61 and harvester at division II Block 55 were interviewed during this audit and generally they were</p>	Complied

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		<p>understood the risk of their work and the purpose of using PPE. It was observed that workers were wearing appropriate PPE such as gloves, shoes, eyeglasses, safety boots and chemical mask for pesticides operators; and for harvester: safety helmet, safety boots, hand gloves, face shield.</p> <p>PPE provision and regular monitoring of PPE by field foreman & field assistant. Monitoring of PPE conducted during master morning and regular inspection (safety patrol) each month record in "Checklist Patrol LK3". Sample seen for safety Patrol at Division III and Division II Lae Butar Estate, latest patrol on 1 September 2020 Division III for activity of spraying block 24 & 12, manuring at block 12, harvesting at block 15, pruning at block 25; PPE usage were appropriate by workers, work tools are in safe conditions and work is carried out in accordance with safety rules, first aid equipment were available at work sites.</p>	
6.7.4	<p>All workers are provided medical care and covered by accident insurance. Costs incurred from work related incidents, leading to injury or illness, are covered in accordance with applicable regulations or by the unit of certification if applicable regulations do not provide protection.</p>	<p>All workers have been provided with medical care and accident insurance (BPJS Ketenagakerjaan & BPJS Kesehatan).</p> <p>The insurances were still valid as seen by the recent slip payment in January – October 2020 for estate and mill.</p> <p>Several insurance payments are reviewed and are in accordance with the number of workers, such as:</p> <ul style="list-style-type: none"> • BPJS Ketenagakerjaan (Accident and pension insurance) Note payment for 960 workers on 10 October 2020 for mill and estate. Payment for September 2020 period. • BPJS Kesehatan (Medical insurance) Note payment for 959 workers with dependent 2,490 people on 10 October 2020 for mill and estate. Payment for October 2020 period. <p>The affected workers received appropriate medical treatment from the insurance policy.</p>	Complied

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		<p>Sample seen: compensation for health insurance was received by harvester (Junaidi) for health treatment in RSUD Aceh Singkil on 1 July 2020 and harvester (Sukarjan) for health treatment in RS Medan on 5 October 2020.</p>																			
6.7.5	Occupational injuries are recorded using Lost Time Accident (LTA) metrics.	<p>Lost Time Accidents metrics were using to record the accidents and injuries during year 2019/2020.</p> <p>The Lost Time accidents and injuries were determined according to Decree of the Minister of Manpower and Transmigration No. 609 year 2012. Safety performance for both mill and estates was calculated using frequency rate (FR) and severity rate (SR).</p> <p>The calculation for FR and SR as below:</p> <ul style="list-style-type: none"> • FR= total lost time accident x 1.000.000/total man hour • SR=total lost time hours x 1.000.000/total man hour <p>The calculation for frequency rate and severity rate was generated from lost time accident (LTA) data, employee working hour's data and lost time day (LTD) data and Lost Time Hour data. The timesheet calculation for each month was shown during audit.</p> <p>The calculated FR and SR for mill and estate 2019 and 2020 (ytd October 2020) were stated as below:</p> <p>Estate and mill</p> <table border="1" data-bbox="1131 1093 1758 1380"> <thead> <tr> <th></th> <th>2019</th> <th>2020</th> </tr> </thead> <tbody> <tr> <td>LTA</td> <td>16</td> <td>8</td> </tr> <tr> <td>LTD</td> <td>566</td> <td>461</td> </tr> <tr> <td>LTH</td> <td>3.774</td> <td>3,075</td> </tr> <tr> <td>FR</td> <td>8.31</td> <td>5.78</td> </tr> <tr> <td>SR</td> <td>1,960.40</td> <td>2,223.62</td> </tr> </tbody> </table>		2019	2020	LTA	16	8	LTD	566	461	LTH	3.774	3,075	FR	8.31	5.78	SR	1,960.40	2,223.62	Complied
	2019	2020																			
LTA	16	8																			
LTD	566	461																			
LTH	3.774	3,075																			
FR	8.31	5.78																			
SR	1,960.40	2,223.62																			

		<p>The calculation for frequency rate and severity rate was generated from lost time accident (LTA) data, employee working hour's data and lost time hours/lost time day (LTH/LTD) data.</p> <p>The timesheet calculation for each month was shown during audit. Sampling was taken for last accident on 3 October 2020 for harvester with lost time day 10 days.</p>	
<p>Principle 7: Protect the environment, conserve biodiversity and ensure sustainable management of natural resources.</p>			
<p>Criteria 7.1: Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management (IPM) techniques.</p>			
<p>7.1.1</p>	<p>(C) IPM plans are implemented and monitored to ensure effective pest control.</p>	<p>As written in indicator 3.3.1, certificate holder has had procedure of integrated pest management (including disease).</p> <p>During the audit, auditor has observed and interview daily pest census. Based on interview with pest monitoring officer in Block 87 obtain information that the pest infestation was monitoring on daily bases.</p> <p>Certificate holder through Socfin Research has train pest monitoring officer (3 person each division). Each block has an observational row (multiples of five, starting from the fifth row). Observations are made every month. The outermost tree in the line of observation has been red-marked to facilitate the pest control officer.</p> <p>The company has conducted pest and disease census in daily bases. Item to check was leaf eating caterpillar, rat infestation and ganoderma. The record of monitoring reported to pest and disease officer and field assistant as decided to control or not.</p> <p>During the field observation in Block 87 Afdeling 4 obtain information that the observation conducted to monitoring the infestation of leaf eater caterpillar, bag worm, <i>Ganoderma</i>, rat, termite and disease. The record of observation written in daily pest infestation report. All of two pest monitoring officers can explain the pest monitoring procedure and reporting process.</p>	<p>Complied</p>

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7.1.2	Invasive species are not to be used according to applicable regulation in managed areas, unless plans to prevent and monitor their spread are implemented.	Based on document verification, interview with estate manager and field visit obtain information that there is no species introduction in Lae Butar Estate.	Complied
7.1.3	There is no use of fire for pest control unless in exceptional circumstances, i.e. where no other effective methods exist, and with prior approval of government authorities.	Based on document verification, interview with estate manager and field visit obtain information that there is no fire usage for pest control in Lae Butar Estate.	Complied
Criteria 7.2: Pesticides are used in ways that do not endanger health of workers, families, communities or the environment.			
7.2.1	(C) Justification of all pesticides used is demonstrated. Selective products and application methods that are specific to the target pest, weed or disease are prioritised.	<p>Based on the document verification and interview with management, obtain information that pesticide usage for chemical weeding and pest control (if needed).</p> <p>As written in No Deforestation, Development on Peat & Environmental Policy that was signed by Principle Director of Socfin Indonesia on 1 June 2019, Socfin Indonesia has specific commitment related to pesticide usage as follows:</p> <ul style="list-style-type: none"> • <i>Specific attention is given to the use of pesticides. Integrated Pest Management (IPM) plans are developed for all operations and reviewed annually,</i> • <i>All active ingredients in use are also reviewed annually for safety and efficacy,</i> • <i>Pesticides in WHO classes IA and IB, and Stockholm or Rotterdam conventions are used only when no effective alternatives are available. Their use is authorized in writing by local senior management on a case by case basis,</i> • <i>The active ingredient "paraquat" is to be phased out of all our operations in 2019,</i> • <i>All workers, permanent or not, involved with pesticides, are trained and equipped adequately and their health is monitored.</i> 	Complied

		<p>During the audit, auditor team has verified the list of pesticide usage the last one year after the previous audit as follows:</p> <ul style="list-style-type: none"> • Ally (metal metsulfuron) • Amistartop (azoxystrobin) • Becano (indaziflam) • Broconil (klorotaniil) • Cypertrop (sipermetrin) • Dacomina (dimetil amina) • Daconil (klorotaniil) • Gallant (halosifob metal ester) • Garlon (triklopir butoksi etil ester) • Garlon mix (triklopir butoksi etil ester) • Regent (fipronil) • Round up (isopropyl amina glifosat) • Santador (lamda sihalotrin) • Sanvin (karbaril) • Starane (fluoroksifir) <p>All pesticide usage has been registered in http://pestisida.id/simpes_app/rekap_kimia_formula.php according to national regulation.</p> <p>To reduce the human and environmental risk, there is some continuous action that has been implemented as follows:</p> <ul style="list-style-type: none"> • Set up the pesticide rotation. For example, chemical weeding rotation is 4 times a year where the rotation in immature and early mature more often than mature and old palm. • Using the ultralow volume nozzle to minimize water consumption and reduce the risk for environment. 	
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		<ul style="list-style-type: none"> Conducted regularly training for pesticide applicator and equipped them with appropriate PPE's. Delaying the pesticide if weed or pest is under control. According to the interview with estate manager obtain information that the pesticide rotation can be delayed or reduced especially in mature or old palm where weeds/pest population are under control. Minimalize contamination for pesticide applicator and their families by ensuring them to clean themselves before back home. 	
7.2.2	(C) Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per Ha and number of applications) are provided.	Certificate holder has showed the record of LD50 calculation in each unit based on amount of pesticide used. For example, Lae Butar Estate has calculated the LD50 of each pesticide in a monthly basis. For example, toxicity of pesticide for methyl metsulfuron was 0,014948369 ppm.	Complied
7.2.3	(C) Any use of pesticides is minimised as part of a plan, eliminated where possible, in accordance with IPM plans.	Based on goods in and goods out data in pesticide store, obtained information that the certificate holder used some kind of pesticide (different active ingredients). Certificate holder is no longer using <i>paraquat diklorida</i> since within 2019.	Complied
7.2.4	There is no prophylactic use of pesticides, unless in exceptional circumstances, as identified in Indonesia best practice guidelines.	Based on document verification, interview and field observation obtained information that there is no prophylactic use of pesticides.	Complied
7.2.5	Pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions and paraquat, are not to be used, unless in exceptional circumstances, as validated by a due diligence process, or when authorised by government authorities for pest outbreaks. The due diligence refers to:	Based on goods in and goods out data in pesticide store, obtained information that the certificate holder used some kind of pesticide (different active ingredients). Certificate holder is no longer using <i>paraquat diklorida</i> since within 2019.	Complied
	7.2.5a Judgment of the threat and verify why this is a major threat. 7.2.5b Why there is no other alternative which can be used.		

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	7.2.5c Which process was applied to verify why there is no other less hazardous alternative.	There is no use of other pesticide class 1A and 1B within 2019 - 2020.	
	7.2.5d Process to limit the negative impacts of the application.	There is no use of other pesticide class 1A and 1B within 2019 - 2020.	
	7.2.5e Estimation of the timescale of the application and steps taken to limit application to the specific outbreak.	There is no use of other pesticide class 1A and 1B within 2019 - 2020.	
7.2.6	(C) Pesticides are only handled, used or applied by persons who have completed the necessary training and are always applied in accordance with the product label. All precautions attached to the products are properly observed, applied, and understood by workers (see Criterion 3.6). Personnel applying pesticides must show evidence of regular updates on the knowledge about the activity they conduct.	Certificate holder has conducted pesticide handling training regularly. There was a record of safe use pesticide training, facilitate by Estate Manager and field assistant on 16 July 2020. Attended by staff, field supervisor and applicator (total 35 person).	Complied
7.2.7	(C) Storage of all pesticides in accordance with recognized best practices.	Based on field visit to agrochemical storage, certificate holder has stored all pesticides properly. Each pesticide product equipped with MSDS. The storage also provided PPE's, hand/eye wash facilities and first aid kit.	Complied
7.2.8	All pesticide containers that are disposed of and/or used for other purposes are managed according to applicable regulations and/or instructions on the packaging.	According to explanation in criteria 7.3, certificate holder has had engagement with official hazardous waste collector. All pesticide container collected in temporary hazardous storage before sent to them.	Complied
7.2.9	(C) Aerial spraying of pesticides is prohibited, unless in exceptional circumstances where no other viable alternatives are available. This requires prior government authority approval. All relevant information is provided to affected local communities at least 48 hours prior to application of aerial spraying.	Based on document verification and interview with estate manager obtain information that there is no aerial spraying of pesticides.	Complied
7.2.10	(C) Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, is demonstrated.	List of pesticides operator was shown and updated periodically. Specific health surveillance has been performed for all workers with work in high risk area including pesticide operators. Specific health surveillance for pesticide operators are included cholinesterase, and spirometry. Spirometry and cholinesterase also were conduct to employees who	Complied

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		<p>work or handling chemical such as chemical warehouse operator, spraying workers, manuring workers, laboratory operator, and WTP operator.</p> <p>The MCU report was evident. The specific health surveillance was planned to be conducted twice a year for spraying worker and annually for all workers according to Medical Checkup procedure (SOC/PSM/4.19 Rev. 03 dated 1 December 2013). The last medical check-up at estate was held on 5 August 2019 included annual and specific medical examination for spraying workers and manuring workers, while for semester I year 2020, Medical checkup cannot be done due to Pandemic Covid-19 (laboratory facility was unable to visit to estate and there is also travel restriction from government/company to prevent the Covid-19 outbreak according to Company Statement Letter "Pernyataan Penundaan medical Check-up No. UM/KK/Bi/1308/20" dated 4 July 2020).</p> <p>From latest Medical recapitulation report all workers were fit to work. Dissemination of health surveillance results have also been conducted to the workers, carried out by company staff at morning meeting. Sample results of workers health checks with chemicals on spraying work.</p>	
7.2.11	<p>(C) No pesticide-related work is carried out by pregnant or breastfeeding women, or people with medical limitations and they are offered other equivalent work alternatives.</p>	<p>The company have a policy statement preventing pregnant and breast-feeding women from handling pesticides in Ethic Policy (Kebijakan Etika). The policy explained that:</p> <ol style="list-style-type: none"> 1) Ensuring women who are pregnant were not do the tasks associated with hazardous chemicals 2) Ensure breastfeeding mothers were not do the work associated with the use of chemicals during breastfeeding their babies until the age of 9 months and getting adequate rest periods. <p>List of female workers handling pesticides was available at Lae Butar Estate Office.</p>	Complied

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		<p>The company have a system to identify pregnant and breast-feeding women through examination of pregnant women every month at the clinic by midwives using a test pack. Data examination results of female sprayer and fertilizer workers in each division can be demonstrated.</p> <p>Based on interview with workers (included Gender Committee) on 5 November 2019 it was verified that pregnant and breast-feeding women are not allowed to handle pesticides.</p>	
<p>Note For 7.2.11 Referring to Act No. 13 of 2003 concerning Manpower, Act No. 35 of 2014 concerning Child Protection, and taking into account the risks of hazards on palm oil plantations and mills on the development and physical, mental and social health of children, the national interpretation mandates that the unit of certifications does not employ people under the age of 18 for pesticide spraying. For this reason, the provisions of young workers under 18 years in indicator 7.2.11 are irrelevant.</p>			
<p>Criteria 7.3: Waste is reduced, recycled, reused and disposed of in an environmentally and socially responsible manner.</p>			
<p>7.3.1</p>	<p>A waste management plan which includes reduction, recycling, reusing, and disposal based on toxicity and hazardous characteristics, is documented and implemented in accordance with applicable laws and regulations.</p>	<p>Certification unit mechanism for waste management is Procedure of Pengendalian Limbah No. SOC/PSM/4.11, rev.05 dated 1 October 2018. Describe that:</p> <p>Unit of Certification has classified the type of garbage generated from plantation activities to: Hazardous waste (LB3), organic waste and an organic waste and waste that is economical value. The container provided in the form of TPS: Temporary collection Place, TPA: Landfill and Temporary storage hazardous waste (TPS LB3).</p> <p>The color of the waste collector or TPS is regulated in accordance with the following classification:</p> <ul style="list-style-type: none"> - Waste B3: black - organic waste that is not economic value: green - inorganic waste is not economic worth: blue - waste of economic value: Yellow <p>License of hazardous wastes temporary storage (TPS B3) as issued from Aceh Singkil Regent Decree No.295 Tahun 2017 dated 8 November 2017</p>	<p>Complied</p>

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		<p>valid until 7 November 2022, defined that the time limit was 180 days because produce (less than) < 50 kg per days. The license include: lubrication oil, battery, oil filter, pesticides/chemical containers, rugs and medical wastes.</p> <p>Records of chemical containers quantity disposed were evident. Liquid waste from agrochemical was reused for the next spraying application. While the ex-fertilizer sacks was also rinsed and reuse for fertiliser distribute at estate operations.</p> <p>For Wastewater, Lae Butar POM has had permit of discharge to surface water as per Aceh Singkil Regent "No. 47 Tahun 2015". This permit already expired since 25th March 2020. However, the Unit of Certification has proposed the renewal permit to relevant agency since 19 October 2020. Recommendation letter No: 660/180/2020 has been issued by Environmental Agency as the result of technical requirements assessment related renewal of Wastewater Discharge Permit.</p>	
7.3.2	Proper disposal of waste material, according to procedures that are fully understood by workers and managers, is demonstrated.	Based on field visit at landfill in Division 4, non-degradable waste material are disposed in the pit. Whereby for degradable waste are collected and buried in small pit at backyard of the worker compound.	Complied
7.3.3	The unit of certification does not use open fire for waste disposal.	Based on field visit, open fire for waste disposal are not proven.	Complied
Criteria 7.4: Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.			
7.4.1	Good agricultural practices, as contained in SOPs, are followed to manage soil fertility to optimise yield and minimise environmental impacts is documented.	According to the latest best management practices procedure, certificate holder using chemical fertilizer and organic fertilizer such as empty fruit bunch, bunch ash and solid to increasing soil fertility. All record of fertilizer application recorded in document <i>Booklet Pemupukan</i> .	Complied
7.4.2	Analysis of tissue samples (e.g. leaves) and soil on a regular basis to monitor and manage changes in soil fertility and plant health is documented.	Certificate holder conducted regularly soil (every 5 year) and leaf sampling (annually) to monitored soil and trees fertility. This assessment conducted by Socfin Research Station.	Complied

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		<ul style="list-style-type: none"> Sighted Soil Analysis Report (Ref Number S15-013/LAB-SSPL/II/2015), analysis date 3 April 2015 (62 sample). Parameter that analyse was pH, N-Kjehdahl, C Organic, P, CEC, K, Ca, Mg, Na. Sighted Leaf Analysis Report (Ref Number L19-038/LAB-SSPL/V/2019), analysis date 28 May 2019 (107 sample). Parameter that analyse was N-Kjehdahl, P-total, K-total, Ca-total and Mg-total. 	
7.4.3	A nutrient recycling strategy is in place, which include the recycling of Empty Fruit Bunches (EFB), Palm Oil Mill Effluent (POME), palm residues and optimal use of inorganic fertilisers.	<p>Lae Butar Estate applied Empty Fruit Bunch (EFB) and bunch ash. Based on the agronomy's SOP, certificate holder has stipulated the EFB dosage on planting age basis as follows:</p> <ul style="list-style-type: none"> Under 1 year: 10 tonnes/Ha 1 – 2 year: 20 tonnes/Ha 3 year's up: 45 tonnes/Ha <p>During the audit, auditor has observed the EFB application in replanting area (palm age under 1 year) Block 85 Afdeling 4. The EFB placed and covered in the circle (approximately with diameter 1 meter). In addition to increasing soil fertility, this application also aims to maintain soil moisture needed by new plants.</p>	Complied
7.4.4	Records of fertilizer inputs are maintained.	The record of EFB application documented in ' <i>Realisasi Aplikasi EFB tahun 2020</i> ' - EFB Application 2020 who reported by upkeep supervisor in daily basis. Based on the document obtain information that certificate holder has documented the total of EFB. For example: Block 85 Afdeling 4 has been applied with EFB 332 MT (completed as recommendation).	Complied
Criteria 7.5: Practices minimise and control erosion and degradation of soils.			
7.5.1	(C) Maps that identify marginal and fragile soils, including steep sloped land are available.	Lae Butar Estate has conducted semi detailed soil survey and assessment. The study was carried out by Param Agricultural Soil Surveys (M) Sdn Bhd on April 2005. Based on that study concluded that soil type and characteristic as follows:	Complied

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		Soil Management Group	Soil Map Unit	Brief Description	Management practices needed	%	
		A (Typic paleudult, Typic Hapludult)	Mtk/2 Mtk/3 Mtk/4 Mtk/5 Btr/3 Btr/4 Btr/5 Ngr/f/2 Ngr/c/2 Ala/2 Ala/3 Sts/2 Ksk/2 Fds/2	Deep, well drained sandy clay, sandy clay loam to sandy loam soils. Low to moderate fertility status.	Good fertilizer programme	85.0	
		B (Aquic Paleudult)	Gbs/1 Tjg/1	Deep, imperfectly drained soils. Textures sandy clay, sandy loam to sandy loam. Low to moderate fertility status. Occasional flooding	Good fertilizer programme. Flood mitigation	2.9	

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		<p>C (Typic Paleaquult, Typic Endoaquept)</p>	<p>Bru/1 Byu/1 Lac/1</p>	<p>Deep, poorly drained soils. Textures sandy clay, sandy clay loam and organic materials. Flooding and poor drainage. Low to moderate fertility status.</p>	<p>Drainage and flood mitigation. Good fertilizer programme.</p>	<p>10.9</p>	
		Non-oil palms areas				1.2	
		Total				100	
		<p>Based on that assessment report, there is no soil type like peat.</p> <p>Topography</p> <p>Based on summary report of the study concluded: <i>"the terrain in Lae Butar Oil Palm Estate is level, undulating, rolling, hilly to somewhat steep. Particular attention should be given to drainage channels and roads so that quick remedial action can be taken. On the steep slopes planting should be on terraces"</i>.</p> <p>Through the field visit in Block 85 Afdeling 4 planting year 2020 on hilly area observed that the company has provided terraces contour, planting legume cover crop and EFB application to reduce erosion.</p>					
7.5.2	The replanting of palm oil is not conducted extensively on steep terrain in accordance with applicable regulations.	Based on soil study that was carried out by Param Agricultural Soil Surveys (M) Sdn Bhd on April 2005 and field observation, there is no area classified as steep terrain. Therefore, there is no extensive planting in steep area.				Complied	

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7.5.3	New palm oil planting is not conducted on steep terrain in accordance with applicable regulations.	Based on soil study that was carried out by Param Agricultural Soil Surveys (M) Sdn Bhd on April 2005 and field observation, there is no area classified as steep terrain. Therefore, there is no new planting in steep area.	Complied
Criteria 7.6: 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.			
7.6.1	(C) Evidence of long-term land suitability for oil palm cultivation, soil maps or soil surveys that identify marginal and fragile soils, including steep terrain are available, in planning and operations.	Based on soil study that was carried out by Param Agricultural Soil Surveys (M) Sdn Bhd on April 2005 and field observation, there is no area classified as steep terrain. Therefore, there is no specific plan for marginal/fragile soil including steep terrain.	Complied
7.6.2	Extensive planting on marginal and fragile soils is avoided or, if necessary, carried out according to the best-practice soil management plan.	Based on soil study that was carried out by Param Agricultural Soil Surveys (M) Sdn Bhd on April 2005 and field observation, there is no area classified as steep terrain. Therefore, there is no extensive planting in steep area.	Complied
7.6.3	Soil surveys and topographic information guide the planning of drainage and irrigation systems, roads and other infrastructure.	Based on the field visits, it can be concluded that the company has made its best efforts in managing the area with a slope. Some of the efforts made include: <ul style="list-style-type: none"> • Terraces contour. • Planting legume cover crops. • Frond placement. • Maintain of <i>Neprolephis bisserata</i> to reduce erosion in mature area. • Road, bridge and ditch constructions. 	Complied
Criteria 7.7: No new planting on peat, regardless of depth after 15 November 2018 and all peatlands are managed responsibly.			
7.7.1	(C) No new planting on peatlands, regardless of depth, after 15 November 2018, in existing plantation areas, as well as in new development areas.	Based on soil study that was carried out by Param Agricultural Soil Surveys (M) Sdn Bhd on April 2005 and field observation, there is no area classified as peat.	Not Applicable



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7.7.2	Peat areas within the managed area are inventoried, documented and reported to the RSPO Secretariat (effective from November 15, 2018).	Based on soil study that was carried out by Param Agricultural Soil Surveys (M) Sdn Bhd on April 2005 and field observation, there is no area classified as peat.	Not Applicable
PROCEDURAL NOTE: Maps and other documentation for peatlands are provided, prepared and shared according to the RSPO Working Group (Peatland Working Group / PLWG) audit guide (See Procedural Notes for Indicator 7.7.5 below).			
7.7.3	(C) Subsidence of peat is monitored, documented and minimised.	Based on soil study that was carried out by Param Agricultural Soil Surveys (M) Sdn Bhd on April 2005 and field observation, there is no area classified as peat.	Not Applicable
7.7.4	(C) Availability of implementation evidence of the water and land cover management program.	Based on soil study that was carried out by Param Agricultural Soil Surveys (M) Sdn Bhd on April 2005 and field observation, there is no area classified as peat.	Not Applicable
7.7.5	(C) Drainability assessments are conducted for plantations planted on peat following the RSPO Drainability Assessment Procedure, or other method recognized by RSPO, (at least five years or in accordance with the provisions of the RSPO Drainability Assessment Procedure) before replanting. The results of the assessment are used to determine the period of replanting to be carried out, as well as to gradually replace oil palm cultivation for at least 40 years or two cycles, (whichever is longer), before reaching the natural gravitational drainage limit for peat. If oil palm is gradually replaced, it is replaced by other commodity crops that are better suited for higher groundwater levels (paludiculture) or rehabilitated with natural vegetation.	Based on soil study that was carried out by Param Agricultural Soil Surveys (M) Sdn Bhd on April 2005 and field observation, there is no area classified as peat.	Not Applicable
PROCEDURAL NOTE: For 7.7.5: Detailed information on the RSPO Drainability Assessment Guide along with related concepts and detailed actions is contained in the Guidelines currently being adjusted / tested by the RSPO Working Group on Peatlands (Peatland Working Group / PLWG). The final version must obtain PLWG approval in January 2019 and will include additional Guide on the steps to be followed after deciding not to replant and the consequences for other stakeholders, farmers, local communities, and the unit of certification concerned. It is recommended that the trial methodology period is proposed to be extended for 12 months for all relevant management units (ie management units that have plantations on peat) to utilize the methodology and provide input to PLWG so that existing procedures can be further refined as needed before January 2020.			

The unit of certification has the option to delay replanting until the issuance of the revised Guidelines for the guidelines. Additional guidance for alternative commodity crops and rehabilitation of natural vegetation will be regulated by the PLWG.

7.7.6	(C) All existing plantations on peat are managed according to applicable laws and/or "RSPO Guidelines for Best Management Practices (BMP) for Oil Palm Cultivation that are already on Peatlands", version 3 (June 2019) along with related audit guidelines (May 2019).	Based on soil study that was carried out by Param Agricultural Soil Surveys (M) Sdn Bhd on April 2005 and field observation, there is no area classified as peat.	Not Applicable
7.7.7	(C) All peat areas not planted and reserved in managed areas (regardless of depth) are protected as 'peatland conservation areas'; unit of certification are prohibited from constructing drainage channels, building roads and new electricity lines on peatlands; unless if it is for a non-corporate land clearance. Peatlands are managed in accordance with 'RSPO Best Management Practices for the Management and Rehabilitation of Natural Vegetation related to Oil Palm Cultivation that already exists in Peatlands' (the latest version) along with relevant audit guidelines.	Based on soil study that was carried out by Param Agricultural Soil Surveys (M) Sdn Bhd on April 2005 and field observation, there is no area classified as peat.	Not Applicable

Criteria 7.8: Practices maintain the quality and availability of surface and groundwater.

No	Category of River	Cross Section	Outside the Settlement		Inside at the Settlement		Articles
			Criteria	Minimum Riparian Zone	Criteria	Minimum Riparian Zone	
1	Levee		-	5 m	-	3 m	Article 6
2	Rivers with no dike (from river bank)		Big River River Basin > 500 km2	100 m	Depth : > 20 m	30 m	Articles 7 & 8
			Small River River Basin < 500 km2	50 m	Depth : 3 m to 20 m	15 m	Articles 7 & 8
3	Lake / Reservoir		-	50 m	-	50 m	Article 10
4	Water Springs		-	200 m	-	200 m	Article 10
5	Rivers affected by tides (from river bank)		-	100 m	-	100 m	Article 10

<p>7.8.1</p>	<p>A water management plan is available and is implemented to support efficient use of water sources and continuous availability and avoid negative impacts on other users in the catchment. The plan referred to contains the following matters: 7.8.1a The unit of certification does not limit access to clean water or does not pollute the water used by the community.</p>	<p>Unit of Certification has implementing water management plan under documented "Rencana Pengelolaan Air". The documented Procedure Water Management at Mill and Estate (SOC/PSM/4.22 Rev.01 dated 1 July 2015) defined the method of water management plan include water source and distribution identification, volume of water utilization, parameter/standards of water utilization, identify the impacts include water effluents/wastes and also the method to reduce and control water uses. The water was utilize for mill operations (include boilers, processes and domestics usage) through the water treatment plant (using physicals and chemicals method) as well as for estate operations (include housing, pesticides mixings and office operations).</p>	<p>Complied</p>
	<p>7.8.1b Workers have adequate access to clean water.</p>	<p>Lae Butar Mill and Estate located close to midtown, then for drinking water most of all workers prefer to buy refill water. However, Unit of Certification also provide the drill well (ground water) for shower and washing at compound. Water quality are maintained by analyse with accredited laboratory and it is provided by Unit of Certification.</p>	
<p>7.8.2</p>	<p>(C) Water courses and wetlands are protected, including the maintenance and restoration of riparian zones and other buffer zones during or before replanting, in accordance with the "RSPO Manual on BMPs for the management and rehabilitation of riparian reserves" (April 2017) or Simplified Guide Management and Rehabilitation of Riparian Reserves (2018).</p>	<p>There was map identifying water courses and wetland in HCV Assessment Report. Based on the report, that found water catchments area (river) were Delibar River (10.3 ha), Lae Butar (59.6 ha), Sangga Beru River (5.7 ha), and Siantun River (14.5 ha). The riparian and buffer zones maintained and restores in existing plantation. Unit of Certification has SOP for riparian and buffer zone protection in SOC/PSM/9.07 about Riparian Zone Management. The SOP has been implemented and it was verified with field observation at Block of 99 (Kerakah River) Division V and block 51 and 52 (Lae Butar River) Division III, observed that riparian zone was maintained well, HCV signboard installed, and no chemical treatment.</p>	<p>OFI</p>

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		<p>OFI: Riparian zones restoration and enrichment.</p>																																																					
<p>7.8.3</p>	<p>Mill effluent is managed according to applicable regulations. The quality of mill effluent discharged, especially BOD (Biochemical Oxygen Demand) is monitored in accordance with applicable regulations.</p>	<p>Lae Butar POM waste water (POME) was processed through a series of waste water treatment ponds: cooling pond, two anaerobic ponds, facultative pond and aerobic pond. POME is monitored monthly as required by permit. Process parameter monitoring and maintenance of the ponds were sighted. Quality of waste water effluent is analysed in monthly basis by national accredited laboratory.</p> <p>The Environment Ministry Decree No. 5/2014 annex III required that BOD of POME discharged is less than 100 mg/litre, COD discharge is less than 350 mg/litre. Record of wastewater discharge quality period September 2019 to September 2020 as table below:</p> <table border="1" data-bbox="1133 751 1834 1383"> <thead> <tr> <th>Month</th> <th>Certificate No.</th> <th>BOD (mg/L)</th> <th>COD (mg/L)</th> </tr> </thead> <tbody> <tr><td>September 19</td><td>07600/CLACAM</td><td>98.8</td><td>213.76</td></tr> <tr><td>October 19</td><td>08798/CLACAM</td><td>98.4</td><td>210.50</td></tr> <tr><td>November 19</td><td>09602/CLACAM</td><td>90.2</td><td>187.29</td></tr> <tr><td>December 19</td><td>10443/CLACAM</td><td>95.8</td><td>190.42</td></tr> <tr><td>January 20</td><td>00385/CLACAN</td><td>98.0</td><td>211.81</td></tr> <tr><td>February 20</td><td>01260/CLACAN</td><td>96.0</td><td>201.71</td></tr> <tr><td>March 20</td><td>02166/CLACAN</td><td>97.6</td><td>207.24</td></tr> <tr><td>April 20</td><td>02748/CLACAN</td><td>98.0</td><td>201.50</td></tr> <tr><td>May 20</td><td>03706/CLACAN</td><td>98.8</td><td>215.00</td></tr> <tr><td>June 20</td><td>04604/CLACAN</td><td>98.6</td><td>187.50</td></tr> <tr><td>July 20</td><td>05821/CLACAN</td><td>93.8</td><td>187.82</td></tr> <tr><td>August 20</td><td>06783/CLACAN</td><td>94.2</td><td>198.79</td></tr> </tbody> </table>	Month	Certificate No.	BOD (mg/L)	COD (mg/L)	September 19	07600/CLACAM	98.8	213.76	October 19	08798/CLACAM	98.4	210.50	November 19	09602/CLACAM	90.2	187.29	December 19	10443/CLACAM	95.8	190.42	January 20	00385/CLACAN	98.0	211.81	February 20	01260/CLACAN	96.0	201.71	March 20	02166/CLACAN	97.6	207.24	April 20	02748/CLACAN	98.0	201.50	May 20	03706/CLACAN	98.8	215.00	June 20	04604/CLACAN	98.6	187.50	July 20	05821/CLACAN	93.8	187.82	August 20	06783/CLACAN	94.2	198.79	<p>Complied</p>
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7.8.4	Mill water use per tonne of FFB is monitored and recorded.	<p>PT Socfin Indonesia has defined the procedure on the monitoring of mill waster use per ton of FFB processing under POM Water Management Procedure No: SOCPSP/4.22 rev.02, dated 1st January 2016.</p> <p>The record of mill water usager per ton of FFB has shown under document of "Jumlah Penggunaan Air per Ton TBS 2020" as following:</p> <table border="1"> <thead> <tr> <th>Months (2019)</th> <th>FFB Processing (ton)</th> <th>Water Usage (M3)</th> <th>Water Usage (m³/Ton FFB)</th> </tr> </thead> <tbody> <tr><td>January</td><td>7,259.52</td><td>10,687</td><td>1.47</td></tr> <tr><td>February</td><td>8,185.46</td><td>12,798</td><td>1.56</td></tr> <tr><td>March</td><td>8,508.81</td><td>13,554</td><td>1.59</td></tr> <tr><td>April</td><td>8,474.30</td><td>13,688</td><td>1.61</td></tr> <tr><td>May</td><td>7,453.74</td><td>11,712</td><td>1.57</td></tr> <tr><td>June</td><td>10,121.89</td><td>16,243</td><td>1.60</td></tr> <tr><td>July</td><td>8,751.98</td><td>13,897</td><td>1.58</td></tr> <tr><td>August</td><td>8,288.08</td><td>13,650</td><td>1.64</td></tr> <tr><td>Total</td><td>67,043.78</td><td>106,229</td><td>1.58</td></tr> </tbody> </table>				Months (2019)	FFB Processing (ton)	Water Usage (M3)	Water Usage (m ³ /Ton FFB)	January	7,259.52	10,687	1.47	February	8,185.46	12,798	1.56	March	8,508.81	13,554	1.59	April	8,474.30	13,688	1.61	May	7,453.74	11,712	1.57	June	10,121.89	16,243	1.60	July	8,751.98	13,897	1.58	August	8,288.08	13,650	1.64	Total	67,043.78	106,229	1.58	Complied
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Criteria 7.9: Efficiency of fossil fuel use and the use of renewable energy is optimised																																														
7.9.1	Plans to increase the efficiency of fossil fuel use and to optimize renewable energy are available, monitored and documented	<p>Lae Butar POM and estate has been develop the programme/plan on how to conduct efficiency for utilization of fossil fuel by develop the standard to manage the consumption each of vehicles and electricity generator (genset) within litre per hours both for organization owned and contractors; the monitoring conducted by monthly and reported to technical department.</p> <p>Also it has developed the plan/program regarding optimization of renewable energy known as fiber and shell as boiler fuels at mills, the target was sets on 80% as minimum energy availability, monitoring also conducted monthly by calculate the calories resulted from fiber and shell</p>				Complied																																								

		<p>and utilize as boiler fuels whether during the construction or upgrading of all operations.</p> <p>PT Socfin Indonesia – Lae Butar POM has demonstrated the program to improving efficiency of the use of fossil fuels and to optimize renewable energy.</p>	
<p>Criteria 7.10: Plans to reduce pollution and emissions, including greenhouse gases (GHG), are developed, implemented and monitored and new developments are designed to minimise GHG emissions.</p>			
<p>7.10.1</p>	<p>(C) GHG emissions for the unit of certification are identified and assessed. Plans to reduce or minimize GHG emissions are implemented, monitored through the PalmGHG calculator, and reported publicly.</p>	<p>PT Socfin Indonesia – Lae Butar POM has been identified the significant pollutant and GHG emissions under form “Evaluasi Program Pengurangan Gas Rumah Kaca dan Efisiensi Energi” period January – December 2019, such as:</p> <p>Energy efficiency and Greenhouse Gas mitigation through:</p> <ul style="list-style-type: none"> • Use of POME for composting (% POME for composting) • Efficiency energy from the use of “Traymaster Turbine”. • The turn of the power source in nursery from generator into State Electricity Company (PLN). • The turn of the power source for the process of fire up from generator into State Electricity Company (PLN). • The use of compound fertilizer as a substitute for a single fertilizer optimization <p>PT Socfin Indonesia – Lae Butar POM has also minimized pollutant and GHG through, such as implementing IPM to reduce pesticides usage and using fibers and sell for boiler.</p> <p>PT Socfin Indonesia – Lae Butar POM already has conduct GHG emission calculation using Palm GHG V 4.0 as RSPO requirement. The reporting was conducted annually to the RSPO on 31 January 2019 (January – December 2019).</p>	<p>Complied</p>

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7.10.2	(C) Since 2014, an estimate of carbon stocks in the proposed development area has been carried out along with potential sources of emissions that can occur directly as a result of the development and plans to minimize these emissions are prepared and implemented (following the RSPO GHG Assessment Procedure for New Development).	PT Socfin Indonesia – Lae Butar as Unit of Certification has develop the palm oil plantation since 1997 and no replanting was commenced. There is no new planting, therefore, the requirement of this indicator is not applicable.	Complied
7.10.3	(C) Other significant pollutant identification results are available and plans to reduce or minimize them are implemented and monitored.	Unit of Certification has identify associated with pollution in the form of "Daftar dan Pengendalian Aspek Lingkungan, Keselamatan dan Kesehatan Kerja dan", last review o ⁿ 7th January 20. Unit certification is also performed emission measurement, in example: <ul style="list-style-type: none"> • Report of Analysis Air Emission measurement outdoor on 3 September 2019 by Sucofindo laboratory (Certificate #31845/DBBPAM). Emission source: Boiler 1. Result: all parameter measured is below the national regulation threshold. Report of Analysis Ambient Air on 9 September 2019 by Sucofindo laboratory (Certificate #07053/CLACAM). Measure points: Front yard of Lae Butar POM; Mill compound; Outside the Mill. Result: all parameter measured is below the national regulation threshold.	Complied
Criteria 7.11: Fire is not used for preparing land and is prevented in the managed area.			
7.11.1	(C) Land for new planting or replanting is not prepared by burning.	PT Socfin Indonesia has policy related to zero burning policy in Ethical Policy (SOC/Dp/4.01-64). It described that land preparation of replanting is conducted by cutting and chipping (zero burning). Based on field visit to the replanting area Block 85 Afdeling 4, it was verified that no fire been used for land clearing for replanting.	Complied
7.11.2	The unit of certification establishes fire prevention and control measures for lands that are directly managed by the unit of certification.	The company always conducts a monitoring of land fires conducted by the Emergency Response Team which has been established under the responsibility of the field assistant directly. Based on the last update of "Daftar Sarana Tanggap Darurat Kebakaran Lahan" Lae Butar Estate, the emergency equipment are not comply with	Non-compliance

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		<p>Permentan No. 5/2018. For example, annex format 8 high pressure pump minimal 25 Hp and portable pump minimal 5 Hp.</p> <p>Fire prevention and control measures for the areas directly managed by the unit of certification are inappropriate. Is raised as minor noncompliance.</p>	
7.11.3	<p>The unit of certification engages stakeholders in adjacent locations for fire prevention and control measures.</p>	<p>PT Socfin Indonesia – Lae Butar POM has support independent smallholder by coaching and counselling and training related to Best Management Practices to enhance their productivity. Sighted the training evidence as follows:</p> <ul style="list-style-type: none"> • Socialization of partnership and best management practices training to enhance palm oil production to the farmer group of Tunas Harapan on 20 September 2020. Attended by 20 smallholder members. • Socialization of partnership and best management practices training to enhance palm oil production to the farmer group of Mekar Tani on 26 September 2020. Attended by 31 smallholder members. • Socialization of partnership and best management practices training to enhance palm oil production to the farmer group of Maju Bersama on 29 September 2020. Attended by 13 smallholder members. <p>According to minutes of training obtained information that one of aspect that socialized to the smallholder is zero burning policy. The company has had an engagement with sharing information related to fire prevention and control measures.</p>	Complied

Criteria 7.12: Land clearing does not cause deforestation or damage any area required to protect or enhance High Conservation Values (HCVs) or High Carbon Stock (HCS) forest. HCVs and HCS forests in the managed area are identified and protected or enhanced.

PROCEDURAL NOTE for 7.12:

The RSPO Principles and Criteria 2018 include new requirements to ensure the effective contribution of the RSPO in stopping deforestation. This will be achieved by incorporating the High Carbon Stock Approach (HCSA) Approach Guide into the revised standard.

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The RSPO ToC also encourages RSPO to commit to balancing between sustainable livelihoods and reducing poverty with the need to conserve, protect and improve the quality of ecosystems.

High Forest Cover Countries (HFCC) are in dire need of economic opportunities that can help people choose their own path in carrying out development, while at the same time providing social and economic benefits and safeguards.

Procedures will be developed that are adapted to support the development of sustainable palm oil by indigenous peoples and local communities who have legal or customary rights. The procedure will apply in certain HFCC countries and in the High Forest Cover Landscape (HFCL) within it.

The development of this procedure will be guided by the No Deforestation Joint Steering Group (NDJSG) between the RSPO and HCSA members. In HFCC countries, RSPO will work with governments, communities and other stakeholders to develop this procedure through participatory processes at national and regional levels. The duration of this activity is specified in the Terms of Reference for NDJSG and is publicly available.

7.12.1	<p>(C) Land clearing since November 2005 has not damaged primary forest or any area required to protect or enhance HCVs. Land clearing since 15 November 2018 has not damaged HCV or HCS forests.</p> <p>Historical analysis of Land Use Change Analysis (LUCA) is carried out before any new land clearing, in accordance with the RSPO LUCA Guidance document (see indicator 7.12.2).</p>	<p>There was no new planting since November 2005 in Lae Butar Estate. Based on Area Statement 2020, current year of planting are 1997, 1998, 1999, 2000. Some of Oil Palm crops already replanted in 2018-2019.</p>	Complied
7.12.2	<p>(C) HCV and HCS forests, and other conservation areas are identified as follows:</p> <p>7.12.2a) For existing plantations, with an HCV assessments conducted by RSPO- approved assessors and have no new land clearing after 15 November 2018, the existing HCV assessments remains valid.</p>	<p>Lae Butar Estate is an existing plantation. There was no new planting since November 2005 in Lae Butar Estate. Based on Area Statement 2020, current year of planting are 1997, 1998, 1999, 2000. Some of Oil Palm crops already replanted in 2018-2019.</p> <p>HCV Assessment has been conducted on October 2013 by independent consultant (Aksenta) and the Final Assessment Report was available on February 2014. HCV Assessor are included in the list of RSPO Approved HCV Assessor. Result of HCV assessment as below:</p>	Complied

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Tabel Ringkasan 6. Luas indikatif dan keterangan area HCV di areal HCV di Areal Izin HGU PT SOCFINDO - Lae Butar Estate				
Indeks	Nama & Deskripsi	Elemen HCV	HCV	Luas (Ha)
1a	Sungai Delibar dan anak sungainya dengan lebar sempadan 7 m	Spesies terancam punah (Kura-kura dan Labi-labi); refugum untuk satwa; penyedia air dan pengendali banjir, pengendali erosi (morfoerosi) dan sedimentasi	1, 2; 1,4; 4,1; 4,2	0,9
1b	Sungai Delibar dan anak sungainya dengan lebar sempadan 8 m	Spesies terancam punah (Kura-kura dan Labi-labi); refugum untuk satwa, penyedia air dan pengendali banjir, pengendali erosi (morfoerosi), dan sedimentasi	1, 2; 1,4; 4,1; 4,2	4,8
1c	Sungai Delibar dan anak sungainya dengan lebar sempadan 12 m	Spesies terancam punah (Kura-kura dan Labi-labi); refugum untuk satwa, penyedia air dan pengendali banjir, pengendali erosi (morfoerosi) dan sedimentasi	1, 2; 1,4; 4,1; 4,2	4,6
2a	Sungai Lae Butar dengan lebar sempadan 10 m	Spesies terancam punah (Kura-kura dan Labi-labi); refugum untuk satwa, penyedia air dan pengendali banjir, pengendali erosi (morfoerosi), sedimentasi, dan sekat bakar	1, 2; 1,4; 4,1; 4,2	4,1
2b	Sungai Lae Butar dengan lebar sempadan 14 m	Spesies terancam punah (Kura-kura dan Labi-labi); refugum untuk satwa, penyedia air dan pengendali banjir, pengendali erosi (morfoerosi), sedimentasi, dan sekat bakar	1, 2; 1,4; 4,1; 4,2	8,6
2c	Sungai Lae Butar dengan lebar sempadan 25 m	Spesies terancam punah (Kura-kura dan Labi-labi); refugum untuk satwa, penyedia air dan pengendali banjir, pengendali erosi (morfoerosi), sedimentasi, dan sekat bakar	1, 2; 1,4; 4,1; 4,2; 4,3	46,9
3	Sungai Kerakah dengan lebar sempadannya 7 m	Spesies terancam punah (Kura-kura dan Labi-labi); refugum untuk satwa; penyedia air dan pengendali banjir, pengendali erosi (morfoerosi) dan sedimentasi	1, 2; 1,4; 4,1; 4,2	1,7
3b	Sungai Kerakah dengan lebar sempadannya 8 m	Spesies terancam punah (Kura-kura dan Labi-labi); refugum untuk satwa; penyedia air dan pengendali banjir, pengendali erosi (morfoerosi) dan sedimentasi	1, 2; 1,4; 4,1; 4,2	2,2
3c	Sungai Kerakah dengan lebar sempadannya 9 m	Spesies terancam punah (Kura-kura dan Labi-labi); refugum untuk satwa; penyedia air dan pengendali banjir, pengendali erosi (morfoerosi) dan sedimentasi	1, 2; 1,4; 4,1; 4,2	1,8
4a	Sungai Siantun	Spesies terancam punah (Kura-kura dan Labi-labi);	1, 2; 1,4;	3,1

		<table border="1"> <thead> <tr> <th>Indeks</th> <th>Nama & Deskripsi</th> <th>Elemen HCV</th> <th>HCV</th> <th>Luas (Ha)</th> </tr> </thead> <tbody> <tr> <td></td> <td>dengan lebar sempadannya 15 m</td> <td>refugum untuk satwa, penyedia air dan pengendali banjir, pengendali erosi (morfoerosi) dan sedimentasi</td> <td>4.1; 4.2</td> <td></td> </tr> <tr> <td>4b</td> <td>Sungai Siantun dengan lebar sempadannya 24 m</td> <td>Spesies terancam punah (Kura-kura dan Labi-labi); refugum untuk satwa, penyedia air dan pengendali banjir, pengendali erosi (morfoerosi) dan sedimentasi</td> <td>1.2; 1.4; 4.1; 4.2</td> <td>11,4</td> </tr> <tr> <td colspan="4" style="text-align: right;">Total Luas Area Indikatif HCV</td> <td>90,1</td> </tr> <tr> <td colspan="4" style="text-align: right;">Luas Areal Izin HGU</td> <td>4.414,5</td> </tr> <tr> <td colspan="4" style="text-align: right;">% Luas Area Infikatif HCV terhadap Luas Areal Izin HGU</td> <td>2,00%</td> </tr> </tbody> </table>	Indeks	Nama & Deskripsi	Elemen HCV	HCV	Luas (Ha)		dengan lebar sempadannya 15 m	refugum untuk satwa, penyedia air dan pengendali banjir, pengendali erosi (morfoerosi) dan sedimentasi	4.1; 4.2		4b	Sungai Siantun dengan lebar sempadannya 24 m	Spesies terancam punah (Kura-kura dan Labi-labi); refugum untuk satwa, penyedia air dan pengendali banjir, pengendali erosi (morfoerosi) dan sedimentasi	1.2; 1.4; 4.1; 4.2	11,4	Total Luas Area Indikatif HCV				90,1	Luas Areal Izin HGU				4.414,5	% Luas Area Infikatif HCV terhadap Luas Areal Izin HGU				2,00%	
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4b	Sungai Siantun dengan lebar sempadannya 24 m	Spesies terancam punah (Kura-kura dan Labi-labi); refugum untuk satwa, penyedia air dan pengendali banjir, pengendali erosi (morfoerosi) dan sedimentasi	1.2; 1.4; 4.1; 4.2	11,4																													
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	<p>7.12.2 b) Any new land clearing (in existing plantations or new plantings) after 15 November 2018 is preceded by an HCV-HCS assessment, using the latest HCSA Toolkit and HCV-HCSA Assessment Manual that is applicable at the time of the assessment. This includes stakeholder consultation and take into account wider landscape- level consideration.</p>	<p>Lae Butar Estate is an existing plantation. There was no new planting since November 2005 in Lae Butar Estate. Based on Area Statement 2020, current year of planting are 1997, 1998, 1999, 2000. Some of Oil Palm crops already replanted in 2018-2019.</p> <p>HCV Assessment has been conducted on October 2013 by independent consultant (Aksenta) and the Final Assessment Report was available on February 2014. HCV Assessor are included in the list of RSPO Approved HCV Assessor.</p>																															
<p>7.12.3</p>	<p>(C) In High Forest Cover Landscapes (HFCLs) within HFCCs, a specific procedure will apply for legacy cases and development by indigenous peoples and local communities with legal or customary rights, taking into consideration regional and national multi-stakeholder processes. Until this procedure is developed and endorsed, 7.12.2 applies.</p>	<p>Lae Butar Estate is an existing plantation. There was no new planting since November 2005 in Lae Butar Estate. Based on Area Statement 2020, current year of planting are 1997, 1998, 1999, 2000. Some of Oil Palm crops already replanted in 2018-2019.</p> <p>This Indicator is not applicable.</p>	<p>Not Applicable</p>																														
<p>PROCEDURAL NOTE for 7.12.3: Indicator 7.12.3. is not relevant to Indonesia, until further decisions by the RSPO.</p>																																	
<p>7.12.4</p>	<p>(C) Where HCVs, HCS forests after 15 November 2018, peatland and other conservation areas have been identified, they are protected and/or enhanced. An Integrated management plans to protect and/or enhance HCV and HCS forests, peatland and other conservation areas are</p>	<p>Lae Butar Estate is an existing plantation. There was no new planting since November 2005 in Lae Butar Estate. Based on Area Statement 2020, current year of planting are 1997, 1998, 1999, 2000. Some of Oil Palm crops already replanted in 2018-2019.</p>	<p>Complied</p>																														

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	developed, implemented and adapted if necessary, and contains monitoring requirements. The integrated management plan is reviewed at least once every five years. The integrated management plan was developed in consultation with relevant stakeholders and includes the directly managed area and any relevant wider landscape level considerations (where these are identified).	HCV Assessment has been conducted on October 2013 by independent consultant (Aksenta) and the Final Assessment Report was available on February 2014. HCV Assessor are included in the list of RSPO Approved HCV Assessor.	
7.12.5	Where rights of local communities have been identified in HCV areas and HCS forest after 15 November 2018, peatland and other conservation areas, there is no reduction of these rights without evidence of a negotiated agreement, obtained through FPIC, encouraging their involvement in the maintenance and management of these conservation areas.	Lae Butar Estate is an existing plantation. There was no new planting since November 2005 in Lae Butar Estate. Based on Area Statement 2020, current year of planting are 1997, 1998, 1999, 2000. Some of Oil Palm crops already replanted in 2018-2019. HCV Assessment has been conducted on October 2013 by independent consultant (Aksenta) and the Final Assessment Report was available on February 2014. HCV Assessor are included in the list of RSPO Approved HCV Assessor. Result of HCV assessment as 7.12.2.	Complied
7.12.6	All rare, threatened or endangered (RTE) species are protected, whether or not they are identified in an HCV assessment. A programme to regularly educate the workforce about the status of RTE species is in place. Appropriate disciplinary measures are taken and documented in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect, trade, possess or kill these species.	Lae Butar Estate is an existing plantation. There was no new planting since November 2005 in Lae Butar Estate. Based on Area Statement 2020, current year of planting are 1997, 1998, 1999, 2000. Some of Oil Palm crops already replanted in 2018-2019. HCV Assessment has been conducted on October 2013 by independent consultant (Aksenta) and the Final Assessment Report was available on February 2014. HCV Assessor are included in the list of RSPO Approved HCV Assessor. Result of HCV assessment as 7.12.2. Management also conducted related to HCV Area Management and Safety Patrol on 13 June 2020. Attended by 11 employees.	Complied
7.12.7	The status of HCVs, HCS forests after 15 November 2018, other natural ecosystems, peatland conservation areas and RTE species is monitored. Outcomes of this monitoring are fed back into the management plan.	Lae Butar Estate is an existing plantation. There was no new planting since November 2005 in Lae Butar Estate. Based on Area Statement 2020, current year of planting are 1997, 1998, 1999, 2000. Some of Oil Palm crops already replanted in 2018-2019.	Complied

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		<p>HCV Assessment has been conducted on October 2013 by independent consultant (Aksenta) and the Final Assessment Report was available on February 2014. HCV Assessor are included in the list of RSPO Approved HCV Assessor. Result of HCV assessment as 7.12.2.</p>	
7.12.8	<p>(C) Where there has been land clearing without prior HCV assessment since November 2005, or without prior HCV- HCSA assessment since 15 November 2018, the Remediation and Compensation Procedures (RaCP) applies.</p>	<p>Lae Butar Estate is an existing plantation. There was no new planting since November 2005 in Lae Butar Estate. Based on Area Statement 2020, current year of planting are 1997, 1998, 1999, 2000. Some of Oil Palm crops already replanted in 2018-2019.</p> <p>HCV Assessment has been conducted on October 2013 by independent consultant (Aksenta) and the Final Assessment Report was available on February 2014. HCV Assessor are included in the list of RSPO Approved HCV Assessor. Result of HCV assessment as 7.12.2.</p>	Complied

Appendix B: Approved Time Bound Plan

Name of Company	Name of Mill	Location	Supply Base	Timebound Plan	Remarks
Agripalma	Agripalma POM	Southern part of Sao Tomé	Agripalma Estate	Quarter 4 of 2021	There are no unresolved land or labour disputes. There are no legal non-compliance. Waiting LUCA for Agripalma to comply with RaCP. LUCA for Agripalma submitted to RSPO on 13 December 2017 (revision 8 September 2018).
Brabanta	Brabanta POM	Kasai Province and Mai-Ndombe Province, Republic Democratic of Congo	Brabanta Plantation	Quarter 4 of 2021	There was 3 land disputes (since acquisition), and all are resolved. Waiting LUCA for Brabanta to comply with RaCP. LUCA for Brabanta submitted to RSPO on 13 December 2017 (revision 8 September 2018).
La Societe des Caoutchoucs de Grand Bereby (SoGB)	SoGB POM	South-west of Ivory Coast	SoGB Plantation	Quarter 4 of 2021	There are no unresolved land or labour disputes. There are no legal non-compliance. Waiting LUCA for SoGB to comply with RaCP. LUCA for SoGB submitted to RSPO on 13 December 2017 (revision 8 September 2018).
Okomu Oil Palm PLC	Okomu POM	Nigeria	Main Estate;	Certified	Certified
			Extension 1;	Quarter 4 of 2021	Ongoing court case regarding land.
			Extension 2;	Quarter 4 of 2021	There are no unresolved land or labour disputes. There are no legal non-compliance.

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Plantations Socfinaf Ghana (PSG)	PSG POM	Western Region of Ghana	Subri Site; Manso Site	Quarter 4 of 2021	There are no unresolved land or labour disputes. There are no legal non-compliance. Waiting LUCA for PSG to comply with RaCP. LUCA for PSG submitted to RSPO on 13 December 2017 (revision 8 September 2018).
PT. Socfin Indonesia	PT. Socfin Indonesia – Aek Loba		Kebun Aek Loba	Certified	Certified
	PT. Socfin Indonesia – Bangun Bandar		Kebun Bangun Bandar	Certified	Certified
	PT. Socfin Indonesia – Lae Butar		Kebun Lae Butar	Certified	Certified
	PT. Socfin Indonesia – Mata Pao		Kebun Mata Pao	Certified	Certified
	PT. Socfin Indonesia – Negeri Lama		Kebun Negeri Lama	Certified	Certified
	PT. Socfin Indonesia – Seumanyam		Kebun Seumanyam	Certified	Certified
	PT. Socfin Indonesia – Seunagan		Kebun Seunagan	Certified	Certified

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	PT. Socfin Indonesia – Sungai Liput		Kebun Sungai Liput	Certified	Certified
	PT. Socfin Indonesia – Tanah Gambus		Kebun Tanah Gambus	Certified	Certified
Safacam	Safacam POM	Cameroon	Safacam Plantation	Quarter 4 of 2021	Waiting LUCA for Safacam to comply with RaCP. LUCA for Safacam submitted to RSPO on 13 December 2017 (revision 8 September 2018).
Socapalm	Dibombari POM	Cameroon	Dibombari Plantation	Quarter 4 of 2021	There are no unresolved land or labour disputes. There are no legal non-compliance. Waiting LUCA for Socapalm to comply with RaCP. LUCA for Socapalm submitted to RSPO on 13 December 2017 (revision 8 September 2018).
	Edea POM		Edea Plantation		
	Eseka POM		Eseka Plantation		
	Kienke POM		Kienke Plantation		
	Mbongo POM		Mbongo Plantation		
	Mbambou POM		Mbambou Plantation		
Socfin Agricultural Company (SL) LTF	SAC POM	Sierra Leone	SAC Plantation	Quarter 4 of 2021	There is 1 open land dispute undergoing resolution process. The government appointed a Technical Committee to examine the issue and make proposal to mediation team. SAC is waiting for report. Waiting LUCA for SAC to comply with RaCP. LUCA for PSG submitted to RSPO on 13 December 2017.

**) Socfin Indonesia and PT Socfin Indonesia have been active members of RSPO since 6 December 2004. Since 15 February 2019, Socfin S.A. became a member of RSPO, grouping all Indonesian (Socfin Indonesia) and African oil palm operations under one membership number.*

Appendix C: GHG Reporting Executive Summary

The GHG emissions that were produced in **January – December 2019** for **Lae Butar Mill** and supply base was calculated using the PalmGHG Calculator version 4.0.2. 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 **January – December 2019** for **Lae Butar Mill** and supply base are as following:

Emission per product	tCO ₂ e/tProduct
CPO	0.54
PKO	-
PK	0.54

Extraction	%
OER	23.01
KER	4.36

Production	t/yr
FFB Process	94,497
CPO Produced	21,429
PKO Produced	3,630
PK	

Land Use	Ha
OP Planted Area	4,430.23
OP Planted on peat	-
Conservation (forested)	-
Conservation (non-forested)	20.23
Total	4,430.23

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	34,283.26	0.34	-	-	-	-	-	-
CO ₂ Emission from fertilizer	4,788.14	0.05	-	-	-	-	-	-
NO ₂ Emission	2,873.70	0.03	-	-	-	-	-	-
Fuel Consumption	747.74	0.01	-	-	-	-	-	-
Peat Oxidation	0.00	0.00	-	-	-	-	-	-
Sink								
Crop Sequestration	-31,063.71	-0.31	-	-	-	-	-	-

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Conservation Sequestration	-	-	-	-	-	-	-	-
Total	11,629.12	0.12	-	-	-	-	-	-

*Note: Lae Butar POM does not have smallholder area.

Summary of Mill Emission and Credit

	tCO ₂ e	tCO ₂ e/tFFB
Emission		
POME	4,775.42	0.05
Fuel Consumption	4.38	0.00
Grid Electricity Utilization	109.89	0.00
Credit		
Export of Grid Electricity	-	0.00
Sales of PKS	-1,947.46	-0.02
Sales of EFB	-	0.00
Total	2,942.23	0.03

Summary of Kernel Crusher Emission and Credit (if applicable)

Emissions	tCO ₂ e
PK from own mill	0.00
PK from other source	0.00
Fuel Consumptions	0.00
Total Crusher emissions	0.00

*This mill has no kernel crusher operation.

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

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

Appendix D: 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	Oct 2019	8,285	-	8,285
2	Nov 2019	6,807	-	6,807
3	Des 2019	5,830	-	5,830
4	Jan 2020	7,386	-	7,386
5	Feb 2020	8,213	-	8,213
6	Mar 2020	8,454	-	8,454
7	Apr 2020	8,526	-	8,526
8	May 2020	7,369	-	7,369
9	Jun 2020	10,190	-	10,190
10	Jul 2020	8,760	-	8,760
11	Aug 2020	8,259	-	8,259
12	Sep 2020	6,418	-	6,418
	Total	94,497	-	94,497

B. Monthly Records of Certified CPO & PK since the last audit			
No.	Month - Year	Certified CPO (MT)	Certified PK (MT)
1	Oct 2019	1,839	328
2	Nov 2019	1,568	254
3	Des 2019	1,316	216
4	Jan 2020	1,693	278
5	Feb 2020	1,885	311
6	Mar 2020	1,940	325
7	Apr 2020	1,907	322
8	May 2020	1,688	276
9	Jun 2020	2,293	409
10	Jul 2020	1,955	333
11	Aug 2020	1,877	337
12	Sep 2020	1,468	241

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	Total	21,429	3,630
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C. Records of Certified CPO & PK Sold under PalmTrace to Buyers since the last audit (if any)					
No.	Month- Year	Buyers Name	Palmtrace Trading License Number	Certified CPO Sold (MT)	Certified PK Sold (MT)
1	Oct 2019	Musim Mas		1,846	55
		Smart			274
2	Nov 2019	Musim Mas		1,575	167
		Smart			74
3	Des 2019	Musim Mas		1,337	128
		MNA		54	93
4	Jan 2020	Musim Mas		1,579	
		Smart			258
5	Feb 2020	Musim Mas		1,946	
		Smart			329
6	Mar 2020	Musim Mas		1,818	
		Smart			255
7	Apr 2020	Musim Mas		1,964	
		Smart			367
8	May 2020	Musim Mas		1,651	
		Smart			327
9	Jun 2020	Musim Mas		2,253	
		Smart			385
10	Jul 2020	Musim Mas		2,037	116
		Smart			239
11	Aug 2020	Musim Mas		1,855	38
		Smart			241
12	Sep 2020	Musim Mas		1,514	
		Smart			276
Total				21,429	3,622

Note:

During the 3 months palm trace extension period (Des 2019 – Feb 2020), Lae Butar POM sold 111 MT of CPO product under transaction id TR-cc2d3187-b21e, DO No. 300022216.

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

Not Applicable
Lae Butar POM does not sold CPO & PK under other schemes to buyer.

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

Not applicable:
 There is no records of CPO & PK sold as conventional.

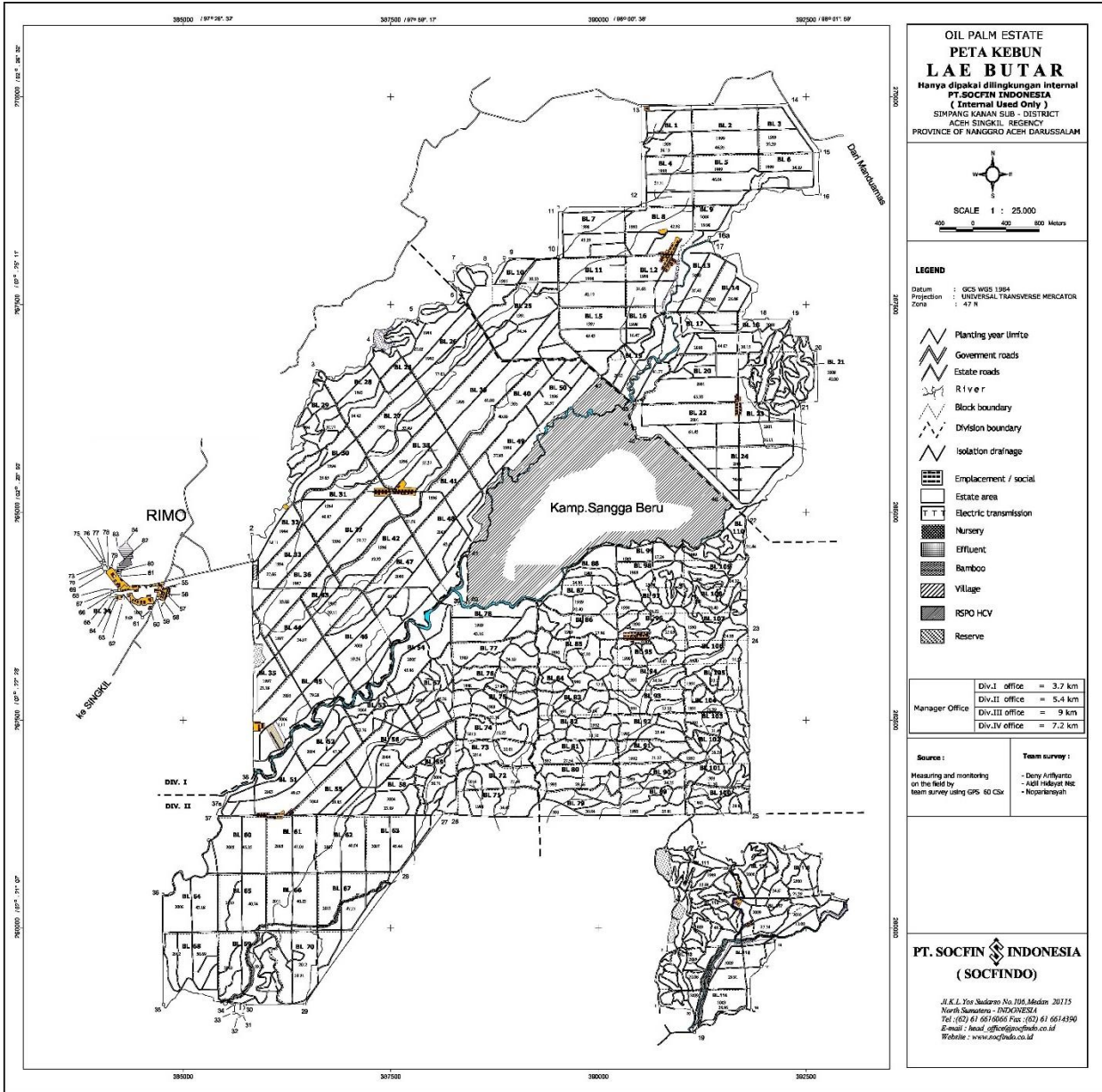
F. Records of Certified CPO Sold under RSPO Credits since the last audit (if any)			
No.	Buyers Name	PalmTrace Trading License Number	RSPO Credits of Certified CPO Sold (mt)

Not applicable:
 There is no records of CPO & PK sold under RSPO credits.

Appendix E: Location Map of Certification Unit and Supply bases



Appendix F: Estate Field Map



Appendix G: List of Smallholder Sampled

There is no smallholder engaged in Lae Butar

Appendix H: List of Abbreviations

ACOP	Annual Communication of Progress
a.i	Active Ingredient
BMP	Best Management Practices
BOD	Biochemical Oxygen Demand
BPJS	<i>Badan Penyelenggara Jaminan Sosial</i> (Indonesian Social Insurance Agencies)
BSI	British Standard International
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
CSR	Corporate Social Responsibility
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
HGU	<i>Hak Guna Usaha</i> (Land Use Right)
HIRAC	Hazard Identification Risk Assessment Control
HRD	Human Resources Department
IDR	Indonesian Rupiah
IPM	Integrated Pest Management
IP	Identity Preserved
IS - CSPO	Independent Smallholder Certified Sustainable Palm Oil
IS – CSPKO	Independent Smallholder Certified Sustainable Palm Kernel Oil
IS – CSPKE	Independent Smallholder Certified Sustainable Palm Kernel Expeller
ISCC	International Sustainable Carbon Certification
JSA	Job Safety Analysis
KER	Kernel Extraction Rate
KTU	<i>Kepala Tata Usaha</i> (Head Clerk)
LD50	Lethal Dose for 50 sample
LK3	<i>Lingkungan Keselamatan dan Kesehatan Kerja</i> (OHS environment)
LUCA	Land Use Change Analysis
MB	Mass Balance
MCU	Medical Check Up
MM	Musim Mas
MNA	Multimas Nabati Asahan
MoU	Memorandum of Understanding
MSDS	Material Safety Data Sheet
MT	Metric Tonnes
NC	Non Conformity
NGO	Non-Government Organization
OER	Oil Extraction Rate

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OHS	Occupational Health and Safety
P2K3	<i>Panitia Pembina Kesehatan dan Keselamatan Kerja</i> (OHS Committee)
PK	Palm Kernel
PKO	Palm Kernel Oil
POM	Palm Oil Mill
POME	Palm Oil Mill Effluent
PPE	Personal Protective Equipment
RaCP	Remediation and Compensation Process
RKL/RPL	<i>Rencana Kelola Lingkungan/Rencana Pantau Lingkungan</i> (Environmental Management Plan/ Environmental Monitoring Plan)
RSPO	Roundtable on Sustainable Palm Oil
SMART	Sinar Mas Agribusinesses Resources and Technology
Socfin SA	La Société Financière des Caoutchoucs
SPSI	<i>Serikat Pekerja Seluruh Indonesia</i> (All Indonesian Worker Union)
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
WHO	World Health Organization