

**RSPO PRINCIPLE AND CRITERIA
– 2nd ANNUAL SURVEILLANCE ASSESSMENT
Public Summary Report**

PT. Umbul Mas Wisesa
Client company Address: <u>Gedung Bank Sumut 7th Floor,</u> <u>Jl. Imam Bonjol No.18,</u> <u>20152 Medan,</u> <u>Sumatera Utara Province</u> <u>Indonesia</u>
Certification Unit: Umbul Mas Wisesa Palm Oil Mill Location of Certification Unit: Kampung Rakyat District, Labuhan Batu Selatan Regency and Panai Tengah District, Labuhanbatu Regency, Sumatera Utara Province Indonesia

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Section 1: Scope of the Certification Assessment

1. Company Details			
RSPO Membership Number	1-0021-05-000-00	Date	7 th December 2005
Company Name	PT. Umbul Mas Wisesa		
Address	Head Office: Gedung Bank Sumut 7 th Floor, Jl. Imam Bonjol No.18, 20152 Medan, Sumatera Utara Province – Indonesia Site Location: Kampung Rakyat District, Labuhan Batu Selatan Regency and Panai Tengah District, Labuhanbatu Regency, Sumatera Utara Province – Indonesia		
Subsidiary of (if applicable)	Part of SIPEF NV, Belgium		
Contact Name	Mr. Olivier R. Tichit (Director)		
Website	www.tolantiga.com	E-mail	ortichit@sipef.com
Telephone	+62 61 415 2043	Facsimile	+62 61 452 0908

2. Certification Information			
Certificate Number	RSPO 611834	Date	27 th March 2015
Scope of Certification	Production of CPO an PK at Umbul Mas Wisesa Palm Oil and FFB supplied from three (3) company-owned plantation namely Umbul Mas Wisesa South Estate, Umbul Mas Wisesa North Estate and Toton Usaha Mandiri Estate. Mill capacity is 40 tonnes FFB/hour.		
Other Certifications			
Certificate Number	Standard(s)	Certificate Issued by	Expiry Date
-	-	-	

3. Location(s) of Mill & Supply Bases			
Name (Mill / Supply Base)	Location [Map Reference #]	GPS	
		Easting	Northing
Umbul Mas Wisesa POM	Tanjung Mulia Village, Kampung Rakyat District, Labuhanbatu Selatan Regency, Sumatera Utara Province, Indonesia	100° 16' 20.00" E	2° 12' 41.00" N
Umbul Mas Wisesa South	Tanjung Mulia Village, Kampung Rakyat District, Labuhanbatu Selatan Regency, Sumatera Utara	100° 17' 12.40" E	2° 13' 5.10" N

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Estate	Province, Indonesia		
Umbul Mas Wisesa North Estate	Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province, Indonesia	100° 16' 43.01" E	2° 15' 7.16" N
PT. Toton Usaha Mandiri (PT. Toton Usaha Mandiri Estate)	Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province, Indonesia	100° 16' 43.01" E	2° 15' 7.16" N

4. Description of Supply Base

Estate	Mature (ha)	Immature (ha)	Infras & Other (ha)	HCV (ha)	Total Planted (ha)	Total Hectarage	% of Planted
Umbul Mas Wisesa South Estate	4,446.18	0	337.43	0	4,446.18	4,783.61	92.94
Umbul Mas Wisesa North Estate	2,603.27	0	177.79	198.68	2,603.27	2,979.74	87.36
PT. Toton Usaha Mandiri (Toton Usaha Mandiri Estate)	1,134.95	0	18.80	45.01	1,134.95	1,198.76	94.68
Total	8,184.40	0	534.02	243.69	8,184.40	8,962.11	91.32

Note: *Infras = infrastructure*

5. Plantings & Cycle

Estate	Age (Years)					Tonnage / Year		
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30	Estimated (Mar 2016 – Feb 2017)	Actual (Mar 2016 – Feb 2017)	Forecast (Mar 2017 – Feb 2018)
Umbul Mas Wisesa South Estate	0	3,442.42	1,003.76	0	0	72,122	76,442	97,048
Umbul Mas Wisesa North Estate	0	2,603.27	0	0	0	44,285	50,154	56,130
PT. Toton Usaha Mandiri (Toton Usaha Mandiri Estate)	0	1,134.95	0	0	0	19,802	23,345	26,199
Total Certified	0	7,180.64	1,003.76	0	0	136,209	149,941	179,377

6. Non-Certified Tonnage of FFB (outside supplier – excluded from certificate)

Independent FFB Supplier	Tonnage / year		
	Estimated (Mar 2016 – Feb 2017)	Actual (Mar 2016 – Feb 2017)	Forecast (Mar 2017 – Feb 2018)
Nil	-	-	-

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7. Certified Tonnage									
Mill	Estimated (Mar 2016 – Feb 2017)			Actual (Mar 2016 – Feb 2017)			Forecast (Mar 2017 – Feb 2018)		
	FFB	CPO	PK	FFB	CPO	PK	FFB	CPO	PK
Umbul Mas Wisesa POM	136,209	33,344	6,500	149,941	35,642	5,782	179,377	42,702	7,117

**OER: 23.95 %; KER: 3.89%*

Section 2: Assessment Process

Certification Body:

BSI Services Malaysia Sdn Bhd,
(ASI Accreditation Number: RSPO-ACC-19)
Unit 3, Level 10, Tower A
The Vertical Business Suites, Bangsar South
No. 8, Jalan Kerinchi
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BSI is a leading global provider of management systems assessment and certification, with more than 60,000 certified locations and clients in over 100 countries. BSI Standards is the UK's National Standards Body. BSI provides independent, third-party certification of management systems. BSI is ASI Accredited (RSPO-ACC-19) to conduct RSPO assessment since 31/10/2014 with accredited office located at Kuala Lumpur, Malaysia. BSI is accredited for RSPO Supply Chain Certification Systems (SCCS) and Principles & Criteria for Sustainable Palm Oil Production (P&C, Single Site & Group) certification Worldwide.

Assessment Methodology, Programme, Site Visits

This on-site assessment was conducted from 7-9th February 2017. The audit programme is included as Appendix D. The approach to the audit was to treat the mill and its supply base as an RSPO Certification Unit. Mill was audited together with the sample estates. A range of environmental and social factors were covered. This includes consideration of topography, palm age, proximity to areas with HCVs, declared conservation areas and local communities.

The methodology for collection of objective evidence included physical site inspections, observation of tasks and processes, interviews of staff, workers and their families and external stakeholders, review of documentation and monitoring data. RSPO Principles & Criteria 2013, Indonesia National Interpretation, September 2016 and RSPO Supply Chain Certification Standard 2014 were used to guide the collection of information to assess compliance. The comments made by external stakeholders were also taken into account in the assessment.

The approach to the audit was to treat the mill and its supply base as an RSPO Certification Unit. The mill was audited together with the estates (or smallholders) of its supply base. The estates sample were determined based on formula $N = 0.8\sqrt{y}$ where y is the number of estates while when applicable, the smallholders sample were determined following the RSPO Certification Requirement for Group Certification Standard 2016. The sampling of smallholders were based on the formula $(0.8\sqrt{y}) \times (z)$; where y is total number of independent group member and where z is the multiplier defined by the risk assessment. The sampled smallholder listed in Appendix I.

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

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

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

All the previous nonconformities are remains closed. The assessment findings for the initial assessment are detailed in Section 3.3.

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.

This report was externally reviewed by RSPO approved Certification Reviewer prior to certification decision by BSI.

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

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

Tentative Date of Next Visit: February 5, 2018 - February 8, 2018

Total No. of Mandays: 11

BSI Assessment Team:

Pratama Sedayu – Lead Auditor

He graduated from University of Jenderal Soedirman on 2008, majoring in Social Economic of Agriculture. He involved in RSPO certification since 2009 as a team member subsequently as a Lead Auditor, covering assessment against RSPO P&C in Indonesia, Malaysia, Thailand, Papua New Guinea, and Liberia. He completed the ISO 9001, ISO 14001, OHSAS 18001 Lead Auditor Course, HCV Identification and Management; ISPO Lead Auditor endorsed Course and RSPO P&C and RSPO SCCS Lead Auditor endorsed Courses. He is fluently speaking in English and Bahasa Indonesia.

Aswan Hasibuan – Team Member

He graduated from University of Sumatera Utara on 1999, majoring in Industrial Engineering. He involved in RSPO certification since 2012 as a team member subsequently as a Lead Auditor, covering assessment against RSPO P&C in Indonesia, Malaysia, and Ghana. He completed the ISO 9001, ISO 14001, OHSAS 18001 Lead Auditor Course, Indonesia OHSMS (SMK3) Auditor, ISPO Lead Auditor endorsed Course and RSPO P&C and RSPO SCCS Lead Auditor endorsed Courses. During this assessment, he assessed on the aspects of environment, OHS, Social, Legal

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and Smallholder audits. He is fluently speaking in English and Bahasa Indonesia. During this assessment, he assessed on the environment and OHS.

Imam Fakhrurozi – Team Member

Imam holds degree in Agriculture Technology and graduated from Gadjah Mada University, Yogyakarta on 2011. He had two (2) years working experience related to oil palm industry, as a sustainability and HSE officer in oil palm Plantation Company in Indonesia. Imam has completed a number of relevant trainings, the training includes ISO 9001:2008 and EMS 14001:2004 Lead Auditor, Lead Auditor of SMK3, RSPO P&C Lead auditor endorsed course. Currently he works for BSI Group based in Jakarta office. He is one of the BSI qualified RSPO auditor. He had been involved in RSPO auditing since 2015. During this assessment, he assessed on the aspects of mill and estate best practices, environment and OHS.

Accompanying Persons: Nil

Section 3: Assessment Findings

3.1 Details of audit results

This assessment has been assessed using the following RSPO normative requirements. The assessment details are provided in Appendix A.

- SIPEF NV Time Bound Plan
- RSPO Group Certification Standard 2016 Checklist
- RSPO P&C for Smallholders TH-WG 2012 Checklist
- RSPO P&C GN-NIWG 2010 Checklist
- RSPO P&C INA-NIWG 2016 Checklist
- RSPO P&C PNG-NIWG 2016 Checklist
- RSPO P&C SI-NIWG 2010 Checklist
- RSPO P&C MY-NIWG 2014 Checklist
- RSPO P&C TH-WG 2011 Checklist
- RSPO Supply Chain Certification Checklist November 2014
- RSPO P&C 2013 Generic Checklist

3.2 Progress against Time Bound Plan

Time Bound Plan		
Requirement	Remarks	Compliance
Summary of the Time Bound Plan		
Does the plan include all subsidiaries, estates and mills?	Yes, SIPEF NV has disclose all of its companies, mills and estates. The timebound plan including un-certified units/companies.	Comply
Is the time bound plan challenging? <ul style="list-style-type: none"> • Age of plantations. • Location. • POM development • Infrastructure. • Compliance with applicable law. 	SIPEF’s time bound plan is timely challenging. SIPEF NV has putting consideration on age of plantation, size of plantation as supply base with regards to location of palm oil mill in preparing the time bound plan.	Comply
Have there been any changes since the last audit? Are they justified?	Yes, there are changes in time bound plan compared to the latest annual surveillance assessment. PT. Agro Kati Lama, change the certification date from 2019 to 2021; PT. Agro Muara Rupit, change the certification date from 2019 to 2024; PT. Agro Rawas Ulu, change the certification date from 2019 to 2024. SIPEF NV provides sufficient explanation on the changes in implementation of timebound plan: SIPEF latest projections stipulates that company will have enough crop to justify the building of the two mills by the year 2021 (for Kati Lama Mill)	Comply

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	<p>and 2024 (for Muara Rupit Mill), as indicated in the time-bound plan. The target years for the building of these mills have been set taking into consideration the current rate of planting in the three estates and plasma schemes that will constitute the supply base of the two mills.</p> <p>Audit team accepted management explanation on the matter.</p>	
<p>If there have been changes, circumstances occurred?</p>	<p>Yes, there are changes in time bound plan compared to the latest annual surveillance assessment. PT. Agro Kati Lama, from 2019 to 2021; PT. Agro Muara Rupit, from 2019 to 2024; PT. Agro Rawas Ulu, from 2019 to 2024.</p> <p>SIPEF NV provides sufficient explanation on the changes in implementation of timebound plan: SIPEF latest projections stipulates that company will have enough crop to justify the building of the two mills by the year 2021 (for Kati Lama Mill) and 2024 (for Muara Rupit Mill), as indicated in the time-bound plan. The target years for the building of these mills have been set taking into consideration from latest management review on the current rate of planting in the three estates and plasma schemes that will constitute the supply base of the two mills.</p> <p>Audit team accepted management explanation on the matter.</p>	Comply
<p>Have there been any stakeholder comments?</p>	<p>Yes. Stakeholder comments are noted. Company informed certification body on the stakeholder comments and follow up the comment in appropriate manner. Certification body does aware of stakeholder comments, and incorporate any stakeholder comment into part of assessment and reported in public summary report.</p>	Comply
<p>Have there been any newly acquired subsidiaries?</p>	<p>No newly acquired company noted.</p>	Comply
<p>Have there been any isolated lapses in implementation of the plan?</p>	<p>No isolated lapse. SIPEF NV provides adequate evidence related to changes in implementation of the plan.</p>	Comply
<p>Un-Certified Units or Holdings</p>		
<p>Did the company conduct an internal audit? If so, has a positive assurance statement been produced?</p>	<p>Yes. Company conduct internal audit for un-certified unit/company. Internal audit plan: Internal audit PT. Agro Kati Lama, for first half 2017 has been carried out, subsequent internal audit planned for 4-9th August 2017. Internal audit PT. Agro Muara Rupit, dated 6 – 11th March 2017 and 18 – 23rd September 2017. Internal audit PT. Agro Rawas Ulu, dated 27th February – 4th March 2017 and 11 – 16th September 2017.</p>	Comply
<p>No replacement after dates defined in NIs Criterion 7.3:</p>	<p>Audit team does notice PT. Umbul Mas Wisesa was following RSPO Remediation and compensation procedure. Remediation and compensation plan was evident, progress report in line with</p>	Comply

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<ul style="list-style-type: none"> • Primary forest. • Any area identified as containing High Conservation Values (HCVs). • Any area required to maintain or enhance HCVs in accordance with RSPO criterion 7.3. 	<p>plan was evident. For all other non-certified unit, land clearing/conversion/planting was carried out after HCV assessment carried out.</p>	
<p>Any new plantings since January 1st 2010 must comply with the RSPO New Plantings Procedure.</p>	<p>All new planting after January 1st, 2010 have undergone and complies with RSPO New Planting Procedure. Record seen: RSPO NPP for PT. Mukomuko Agro Sejahtera has been uploaded in RSPO website for public notification on 6th March 2012.</p>	<p>Comply</p>
<p>Any Land conflicts are being resolved through a mutually agreed process, e.g. RSPO Grievance procedure or Dispute Settlement Facility, in accordance with RSPO criteria 6.4, 7.5 and 7.6.</p>	<p>No land conflict noted. Company demonstrated land conflict is following FPIC principle. Audit team verifies through internal audit record for un-certified unit/company. Record seen: Internal audit PT. Agro Kati Lama seen. Internal audit report shows 25 non-conformities and findings were raised. The internal audit report indicated, there was no land conflict noted. However, internal audit raised findings related to consistent provision of documented negotiation records. Management unit was conducting correction and corrective action to rectify this issue.</p>	<p>Comply</p>
<p>Any Labor disputes are being resolved through a mutually agreed process, in accordance with RSPO criterion 6.3.</p>	<p>No outstanding labor dispute noted. Audit team verifies through internal audit record for un-certified unit/company. Record seen: Internal audit PT. Agro Kati Lama seen. Internal audit report shows 25 non-conformities and findings were raised. The internal audit report indicated, there was no labor dispute/industrial dispute noted.</p>	<p>Comply</p>
<p>Did the company conduct an internal audit? If so, has a positive assurance statement been produced?</p>	<p>Yes, SIPEF NV conducted internal audit for all of un-certified unit/company. Audit team verifies through internal audit record for un-certified unit/company. SIPEF NV provides positive assurance statement. Record seen: Internal audit PT. Agro Kati Lama seen. Internal audit report shows 25 non-conformities and findings were raised. The internal audit report indicated, there was no land conflict noted.</p> <p>Positive assurance statement has been provided by General Manager South Sumatera Operation, as lined out in "Pernyataan Kesanggupan Memenuhi Prinsip dan Kriteria RSPO dan Kebijakan-Kebijakan Perusahaan", dated 19th December 2016. The statement indicated that PT. Agro Kati Lama, PT. Agro Rawas Ulu and PT. Agro Muara Rupit – as a member of RSPO, committed to respect and implement company policies, as well as following and implementing all RSPO requirements related to</p>	<p>Comply</p>

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	development of new plantation. Companies are committed to perform continuous improvement to comply with all principle and criteria. Companies also committed to follow up all finding, both internal and external.	
Any Legal non-compliance is being resolved in accordance with the legal requirements, with reference to RSPO criteria 2.1 and 2.2.	No outstanding legal non-compliance identified. Audit team verifies through internal audit record for un-certified unit/company. Record seen: Internal audit PT. Agro Kati Lama seen. Internal audit report shows 25 non-conformities and findings were raised. The internal audit report indicated, there was no serious legal non-compliance identified. However, internal audit raised findings related to consistent update on list of relevant laws and regulations. Management unit was conducting correction and corrective action to rectify this issue.	Comply

3.3 Details of findings

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

During the Certification Assessment there was no Major & no Minor nonconformities raised. The Umbul Mas Wisesa Palm Oil Mill Certification unit submitted Corrective Action Plans for the nonconformity. Corrective action plans with respect to the nonconformity was reviewed by the BSI audit team and accepted.

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

Non-Conformity		
NCR #	Description	Category (Major / Minor)
-Nil-	Requirements:	
	Evidence of Nonconformity:	
	Statement of Nonconformity:	
	Corrective Actions	
	Assessment Conclusion:	

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Observation	
OBS #	Description
1434633-201702-01	RSPO P&C 2013, Indonesia National Interpretation, September 2016 - Criterion 4.6.9 Evidence of training on handling pesticide for workers is in place. Worker's understanding on occupational safety aspect, PPE use, emergency response plan, understanding of material safety data sheet, prevention of negative impact is good. Better consistency on training for handling pesticide for workers is expected.
1434633-201702-11	RSPO P&C 2013 - Indonesia National Interpretation, September 2016 - Criterion 6.9.3 Policy against sexual harrasment is in place, a specific grievance mechanism related to sexual harrasment which respects anonymity of complainants is in place, woman committee meeting carried out on December 2016 and January 2017. Interview with male and female indicates understanding the type and indication of sexual harrasment. Better worker understanding of specific grievance mechanism related to any sexual harrasment case is expected.

Positive Findings	
PF #	Description
1	Good update and evaluation of legal compliance, referring to latest requirements identified under RSPO Principle and Criteria 2013 – Indonesia National Interpretation, September 2016.
2	Good implementation of water management for peat area.

Issues raised by Stakeholders	
<p>Stakeholder consultation involved internal and external stakeholders. External stakeholders were contacted by telephone to arrange meetings at a location convenient to them to discuss Umbul Mas Wisesa Palm Oil Mill Certification Unit’s environmental and social performance, legal and any known dispute issues.</p> <p>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. These have been incorporated into the assessment findings.</p> <p>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 Appendix E.</p>	
IS #	Description
1	<p>Issues</p> <p>Tanjung Mulia Village</p> <ul style="list-style-type: none"> - PT. Umbul Mas Wisesa has carried out land compensation for land belong community with traditional rights during land compensation phase. Until now, there is no land dispute between company and surrounding community. - PT. Umbul Mas Wisesa has conducted Corporate Social Responsibility/Community Development program in good manner, in particular road maintenance program and provision of clean water for needing community member. - Opportunity for employment and rate of local manpower absorption from company is sufficient.

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	<p>Adequate job vacancy was given to community of Tanjung Mulia village. The recruitment process was following selection and adjustment on roles and responsibility. Community of Tanjung Mulia village wishes the process can be maintained, and improved.</p> <ul style="list-style-type: none"> - When natural disaster such as annual flooding occurred, community of Tanjung Mulia wishes company can be more proactive in providing aid and help. - Communication between community of Tanjung Mulia village and company is good. All information, complaint from community has always been responded accordingly by PT. Umbul Mas Wisesa. - PT. Umbul Mas Wisesa has conducted communication on flora and fauna protection, mechanism on complaint and grievance settlement and company's social program – regularly. - PT. Umbul Mas Wisesa has an public relation officer, whose responsible to conduct communication with local community. <p>Management Responses</p> <ul style="list-style-type: none"> - There is no land conflict in area of PT. Umbul Mas Wisesa. Area in which PT. Umbul Mas Wisesa has been compensated. - PT. Umbul Mas Wisesa always maintain good relationship with all stakeholders. Company has appointed a public relation officer to communicate with surrounding community. - Company provides aid and donation to local community, in accordance to proposal being presented to company. For instance provision of clean water supply for the needing community. - Company always give job opportunity for community around mill and estate, in accordance to company need and vacancy availability. - Complaint from community received and recorded under "Buku Keluh Kesah", and company provide response upon information/complaint received. - Company has communicating HCV and other policies, through village authorities and village head office. <p>Audit Team Findings Audit team acknowledge the inputs from community, and verified company's response.</p>
IS #	Description
2	<p>Issues KSU Suka Makmur – Cooperative Suka Makmur</p> <ul style="list-style-type: none"> - KSU Suka Makmur established since 2015, with 66 farmer members of 132 Ha plantation, year of planting 2008-2009. - The partnership between company and KSU Suka Makmur in form of FFB pruchase from community. - Since end of 2016, company has a policy to only purchase certified FFB, however the partnership in FFB purchase woth PT. Umbul Mas Wisesa remains ongoing. - Tutorial and guidance from company is helping farmer member. The guidance provided such as integrated pest management, manual upkeep, fertilizer regime and harvesting rotation. - Communication with company is good. - PT. Umbul Mas Wisesa has appointed staff, which responsible to provide guidance to smallholder member. <p>Management Responses PT. Umbul Mas Wisesa has a partnership program with smallholder. The partnership pattern in form of establishment of cooperative for smallholder, whereby company purchase FFB production from smallholder. PT. Umbul Mas Wisesa has appointed staff, which responsible to provide guidance to cooperative and its smallholder member. The purpose of this program is to develop cooperative and its member, including capacity building in terms of financial management, plantation upkeep and management, best management practice for plantation, so that the smallholder will be ready for RSPO certification.</p> <p>Audit Team Findings Audit team consider this as positive finding.</p>
IS #	Description
3	Issues

	<p>Pengurus Serikat Pekerja Mandiri PT. Umbul Mas Wisesa – Worker Union</p> <ul style="list-style-type: none"> - Serikat Pekerja PT. Umbul Mas Wisesa – the worker union has been registered onto “Dinas Tenaga Kerja Kabupaten Labuhan Batu Selatan” – manpower office of Labuhan Batu Selatan regency. - The member of worker union is currently 400 workers. - Relationship between worker union and company is relatively good. Meeting between company and worker union is regular, latest meeting related to collective work agreement. - Worker union has always been involved in policy making related to manpower/industrial relatino. This is reflected during preparation of “Perjanjian Kerja Bersama/PKB” – collective work agreement. Currently the collective work agreement has been established for period 2017-2019. - There has been no case of industrial relation dispute between worker and company. - Company has implemented minimum wage, as in “Upah Minimum Sektoral Kabupaten” for salary payment standard. - Company has registering all worker under “BPJS Ketenagakerjaan” for social insurance. - Company has provided facility for the worker, housing with clean water and electricity, medical clinic, school bus, religious house, sport facility, etc. - Company has communicated the complaint and grievance settlement mechanism. - Company has communicated the health and safety policy, provided personal protective equipment (PPE) for all worker, provided first aid box at various premises. Company has also performed regular medical check up for all worker. - Company has communicated the policy on protection of flora and fauna, as well as high conservation value area. <p>Management Responses</p> <ul style="list-style-type: none"> - Company is respecting and uphold each worker rights to organize and collective bargain. In line with company policy, worker union in PT. Umbul Mas Wisesa is “Serikat Pekerja Mandiri”. - Company has fulfilled worker’s normative right such as salary payment in accordance with regulation, provision of personal protective equipment, registering all worker under “BPJS Ketenagakerjaan” for social insurance, and other rights in line with regulation and collective work agreement. - In order to maintain good relationship, company meeting with worker union twice a year. - Company and worker union has agreed to established bipartite organization. - No industrial relation dispute noted. - Company has a mechanism for complaint and grievance settlement, and has been communicated accordingly. <p>Audit Team Findings</p> <p>Audit team has verified the statement from worker union and company. Audit team consider the input as positive findings.</p>
<p>IS #</p>	<p>Description</p>
<p>4</p>	<p>Issues</p> <p>Komite Gender PT. Umbul Mas Wisesa – Gender Committee</p> <ul style="list-style-type: none"> - Gender committee has been established since 2013. The regular program is monthly meeting in line with “Rapat Panitia Pembina Kesehatan dan Keselamatan Kerja Lingkungan serta Sosial”. - No sexual harassment case and/or violence case noted and/or recorded up to now. - Company has implementing the female worker’s right such as regular medical checkup for female sprayers, menstrual leave right, maternal leave and breast-feeding leave, gender equality in payment, etc. - Most of female worker, conducting work in plant upkeep. - Company has conveyed the mechanism for complaint and grievance settlement. <p>Management Responses</p> <ul style="list-style-type: none"> - Company gives equal opportunity to work, for male and female worker, in accordance to skill and company need. - In order to protect worker’s right, female worker in particular, company helps the establishment of gender committee. Gender committee is the organization to accommodate complaint and reports

	<p>related to gender issue: harrassment, insult, etc.</p> <ul style="list-style-type: none"> - Company giving the reproductive rights for female workers, in accordance to relevant regulation and collective work agreement. - Company has a specific mechanism for complaint and grievance settlement related to gender issue. This has been communicated to all worker.
	<p>Audit Team Findings</p> <p>Audit team has verified the statement from gender committee and company. Audit team raised a concern as opportunity for improvement.</p>
IS #	Description
5	<p>Issues</p> <p>Harvester, Sprayer and Fertilizer Application Worker</p> <ul style="list-style-type: none"> - Company has provided training and personal protective equipment – appropriate for each type of work. - Company has fulfilled all normative right for the workers. - Company has communicated the company policy: code of ethical policy, health and safety policy, environmental policy, HCV and wildlife protection policy, no child worker policy, no discrimination policy, human right policy, anti-sexual harrassment policy, no drug and alcohol abuse policy, social policy, etc. - Worker has understand the complaint and grievance settlement mechanism. - Company has communicated policy to respect female worker reproductive right and prevention of sexual harrassment policy. The mechanism for reporting on sexual harrassment case is to security. - Company has provided working tools and infrastructure on the field in order to support worker's performance. A number of harvesting bridge over the drainage has been dislocated, therefore render difficult for FFB evacuation process. <p>Management Responses</p> <ul style="list-style-type: none"> - Company make efforts to fulfill worker's normative right such as salary payment in accordance with regulation, provision of personal protective equipment, registering all worker under "BPJS Ketenagakerjaan" for social insurance, and other rights in line with regulation and collective work agreement. - Company has communicated the company policies to all level of workforce. - Communication of things related to gender issues: mechanism of reporting case will be reviewed and evaluated. - Program to replace harvesting bridge has started, replacing the concrete harvesting bridge into harvesting bridge made of light-weight steel. Continue to progress. <p>Audit Team Findings</p> <ul style="list-style-type: none"> - Audit team has verified the statement from gender committee and company. - Audit team raised a concern as opportunity for improvement related to communication of mechanism for reporting on sexual harrassment case. - Audit team fill review the progress of harvesting brigde replacement during subsequent assessment visit.

3.3.1 Status of Nonconformities Previously Identified and Observations

Non-Conformity		
NCR #	Description	Category (Major / Minor)

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-Nil-	Requirements:	
	Evidence of Nonconformity:	
	Statement of Nonconformity:	
	Corrective Action:	
	Assessment Conclusion:	

Observation	
OBS #	Description
1	<p>Indicator 4.7.2: The company has conducted audiometric test for Engine Room Operator, the result was seen "Normal", it is need to be considered audiometric test for workers who are worked in high noise level in others station based on monitoring of noise level result.</p> <p>Action taken: PT. Umbul Mas Wisesa has conducted audiometric test for all workers who are worked in high nose level in all station on May 2016 by Klinik Anugerah Ibu – Medan.</p>
2	<p>Indicator 4.7.6: The company need to consider monitoring stock for cover dodos/chisel and kapak/axe to ensure the availability if any cover broken.</p> <p>Action taken: PT. Umbul Mas Wisesa has monitoring stock for chisel and axe.</p>
3	<p>Indicator 4.7.6: The company need consider "General Medical Check Up" for workers who are not involved in high risk area regularly at least annually.</p> <p>Action taken: PT. Umbul Mas Wisesa has provided general medical check up for all employee, at an interval of once a year.</p>
4	<p>Indicator 5.2.2: The company needs to be considering preventing invasive "Mucuna Bracteata" in HCV area in particular corridor area.</p> <p>Action taken: Management unit has taken immediate action in eradicating the invasive legume cover crop from HCV area. Based on site visit to corridor area, audit team found the invasive "Mucuna bracteata" has been taken out. This has also reported into HCV Management Plan report as submitted to "Badan Konservasi Sumber Daya Alam Provinsi Sumatera Utara".</p>

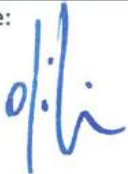

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3.3.2 Summary of the Nonconformities and Status

CAR Ref.	CLASS	ISSUED	STATUS
1025752M0	Major	12 th May 2014	Closed on 4 th September 2014
1025752M29	Major	12 th May 2014	Closed on 10 th November 2014
1048188M10	Major	12 th May 2014	Closed on 4 th September 2014
1048188M1	Major	12 th May 2014	Closed on 4 th September 2014
1048188M2	Major	12 th May 2014	Closed on 4 th September 2014
1048188M9	Major	12 th May 2014	Closed on 4 th September 2014
1048188N12	Minor	12 th May 2014	Closed on 29 th January 2016
1048188N13	Minor	12 th May 2014	Closed on 29 th January 2016
1048188N14	Minor	12 th May 2014	Closed on 29 th January 2016
1048188N4	Minor	12 th May 2014	Closed on 29 th January 2016
1048188N15	Minor	12 th May 2014	Closed on 29 th January 2016
1048188N16	Minor	12 th May 2014	Closed on 29 th January 2016
1048188N18	Minor	12 th May 2014	Closed on 29 th January 2016
1048188N1	Minor	12 th May 2014	Closed on 29 th January 2016
1048188N1	Minor	12 th May 2014	Closed on 29 th January 2016

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Assessment Conclusion and Recommendation:

<p>Based on the findings during the assessment Umbul Mas Wisesa Palm Oil Mill Certification Unit and supply base complies with the RSPO P&C 2013 Indonesia National Interpretation, September 2016, and the RSPO Supply Chain Certification Standard (Nov 2014) for CPO Mill. It is recommended that the certification of Umbul Mas Wisesa Palm Oil Mill Certification Unit is approved and continued.</p>	
Acknowledgement of Assessment Findings	Report Prepared by
<p>Name: Mr. Olivier Tichit</p>	<p>Name: Pratama Agung Sedayu</p>
<p>Company name: PT. Umbul Mas Wisesa</p>	<p>Company name: on behalf of BSI Services Malaysia, Sdn Bhd.</p>
<p>Title: Director</p>	<p>Title: Lead Auditor</p>
<p>Signature: </p> <p>Date: 07 MARCH 2017</p>	<p>Signature: </p> <p>Date: 28th February 2017</p>

Appendix A: Summary of Findings

RSPO P&C 2013 – INA NI, September 2016

Criterion / Indicator	Assessment Findings	Compliance
Principle 1: Commitment to Transparency		
<p>Criterion 1.1: Growers and millers provide adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages and forms to allow for effective participation in decision making.</p>		
<p>1.1.1</p>	<p>List of information related to criterion 1.2 that can be accessed by relevant stakeholders shall be available.</p> <p>- Minor compliance -</p> <p>There is no change related to list information. The company has provided information related to the environmental, social and legal. This information is publicly, updated 16th November 2015 such as: Company Establishment Act, Izin Usaha Perkebunan (Operational Plantation Permit), Izin Usaha Tetap (Permit), SK HGU (Land Title Rights Decree), Land Title Certificate, Dokumen Lingkungan/AMDAL (SEIA), Environmental Management and Monitoring report on January 2017, CSR Annual report, Occupational Health and Safety programme, Social Impact Assessment, HCV Assessment, Social and Environmental Impact Assessment, company policies, Internal and external grievance record, Land Compensation Procedure, etc. Waste management plan, dated January 2017, CSR programmes, complaint documents, etc are publicly available for stakeholders.</p> <p>Company has procedure "Pemberian Tanggapan Terhadap Permintaan Informasi, (Provision of Responses to Requests for Information) No. ENC/SOP/08", rev.2, dated 6th April 2015, which regulates the mechanism of response to requests for information. Still valid to used currently.</p> <p>The companies; PT. Umbul Mas Wisesa/UMW and PT. Toton Usaha Mandiri/TUM already has a List of Stakeholders and always up date annually by section Document controller and up to date on 3rd February 2017 consisted of;</p> <ul style="list-style-type: none"> - Office of South Labuhan Batu regency consists of 8 stakeholders such as the Department of Labor, the Agriculture Agency, Environment Agency and subdistrict head, etc. - "MUSPIKA" consists of Head Middle Panai, Kapolsek Labuhan Bilik, Danramil Labuhan Bilik, and Chief of Police. - The head of the village of Tanjung Mulia and Sei Siarti 	<p>Comply</p>

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Criterion / Indicator		Assessment Findings	Compliance
		<p>- Unions consisting of nine stakeholders such as the Chairman of the Trade Unions, Public Relations, Chairman of the PUK North etc.</p> <p>- Supplier consists of Cooperative Services Employees UMW.</p> <p>See 1.2.1.</p>	
1.1.2	<p>Records of requests for information and responses to the information requested shall be available.</p> <p>- Major compliance -</p>	<p>UMW POM: The company was recorded response upon request information in the same log book, based on document review; the company has given response upon request information timely manner. There were recorded up view type of request, e.g request information from:</p> <ul style="list-style-type: none"> - On 14th April 2016 requested for training participant of Safety by Office of Labor and Transmigration Labuhan Batu Dsistrict - on 9th June 2016 requested from Office of Forestry and Agriculture agency of Labuhan Batu District regarding Data of FFB production for year 2015, reply by sending data on the same day; - on 5th January 2017 requested from Military district office regarding POM profile. Response by sending company profile in the next day. <p>UMW South Estate: There is one requested from Sutrisno SH, request for data consolidation regarding minimum wage. Follow up by send labor union representative to attend the meeting.</p> <p>TUM Estate: On 26th September 2016 requested from community to let the bridge stand by until new road available for truck, company response on 1st March 2016.</p>	Comply
<p>Criterion 1.2: Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.</p>			
1.2.1	<p>Publicly available documents shall include, but are not necessarily limited to:</p> <ul style="list-style-type: none"> a) Land titles/user rights (Criterion 2.2) b) Occupational health and safety plans (Criterion 4.7) c) Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8) d) HCV documentation (Criteria 5.2) 	<p>PT. UMW: The company has provided information related to the environmental, social and legal. This information is publicly, updated 16th November 2015 such as: Company Establishment Act, Izin Usaha Perkebunan (Operational Plantation Permit), Izin Usaha Tetap (Permit), SK HGU (Land Title Rights Decree), Land Title Certificate, Dokumen Lingkungan/AMDAL (SEIA), Environmental Management and Monitoring report on January 2017, CSR Annual report, Occupational Health and Safety programme, Social Impact Assessment, HCV Assessment, Social and Environmental Impact Assessment, company</p>	Comply

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Criterion / Indicator		Assessment Findings	Compliance
	<p>and 7.3)</p> <p>e) Pollution prevention and reduction plans (Criterion 5.6)</p> <p>f) Details of complaints and grievances (Criterion 6.3)</p> <p>g) Negotiation procedures (Criterion 6.4)</p> <p>h) Continual improvement plans (Criterion 8.1)</p> <p>i) Public summary of certification assessment report</p> <p>j) Human Rights Policy (Criterion 6.13).</p> <p>- Major Compliance -</p>	<p>policies, Internal and external grievance record, Land Compensation Procedure, etc. Waste management plan, dated January 2017, CSR programmes, complaint documents, etc are publicly available for stakeholders.</p>	
Criteria 1.3:			
Growers and millers commit to ethical conduct in all business operations and transactions.			
1.3.1	<p>There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions along with the documentation of socialisation process of the policy to all levels of the workers and operations.</p> <p>- Minor compliance –</p>	<p>UMW POM: Company has code of conduct, which are socialization to all workers as conducted in November 16th, 2016 by Mill manager to all third parties who activity in mill, including Security officer.</p> <p>UMW South Estate: Code of conduct socialization conducted in November 21st, 2016 to employees, and the newest on December 06th, 2016.</p> <p>TUM Estate: Socialization of code of conduct held on December 15-16th, 2016 to employees, including supervisor, mandore, and workers, attended about 110 employees from all function.</p>	Comply
Principle 2: Compliance with applicable laws and regulations			
Criterion 2.1:			
There is compliance with all applicable local, national and ratified international laws and regulations.			
2.1.1	<p>Evidence of compliance with relevant legal requirements shall be available.</p> <p>- Major compliance –</p>	<p>List of legal requirement "Evaluasi Pemenuhan Peraturan Perundang Undangan", updated on 24th January 2017. Copies of the legal requirement is available, such as:</p> <p>1. Izin Lokasi (Location Permit) PT. Umbul Mas Wisesa: - SK. Bupati Labuhan Batu No. 08 tahun 2004, dated 26th May 2004, related:</p>	Comply

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Criterion / Indicator	Assessment Findings	Compliance
	<p>"Pemberian Ijin Lokasi untuk Keperluan Perkebunan Kelapa sawit PT. Umbul Mas Wisesa, covering ±8.000 Ha", with description 5,926.25 Ha in Sei Siarti Village, Pantai Tengah District and 2,073.75 Ha falls under Tanjung Mulia Village, Kampung Rakyat District.</p> <ul style="list-style-type: none"> - Renewal of "Izin Lokasi" from Bupati Labuhan Batu, No. 12, 2007, dated 14th June 2007. It was extension from "Izin Lokasi Surat Keputusan Bupati Labuhan Batu No.08 tahun 2004", dated 26th May 2004. <p>PT. Toton Usaha Mandiri:</p> <ul style="list-style-type: none"> - "Surat Keputusan Bupati Labuhan Batu No.7 tahun 2005, tentang Pemberian Ijin Lokasi untuk Keperluan Perkebunan Kelapa sawit PT. Toton Usaha Mandiri", dated 8th June 2005; covering ±1,200 Ha and located under Sei Siarti Vilage, Panai Tengah District, Labuhanbatu Regency. - Renewal Izin Lokasi from "Surat Keputusan Bupati Labuhanbatu No.492 tahun 2008, tentang Perpanjangan dimaksud dalam Keputusan Bupati Labuhanbatu No.7 tahun 2005 tanggal 8 Juni 2005", dated 12 December 2008. <p>2. Ijin Usaha Perkebunan untuk Budidaya (IUP-B - Plantaion Operational permit)</p> <ul style="list-style-type: none"> - PT. Umbul Mas Wisesa: No. 503/11/HUKUM/2005, dated 5th August 2005, (±8.451 Ha), located in Tanjung Mulia village and Sei Siarti village. - PT. Toton Usaha Mandiri: No.180/172/Huk/2010, dated 5th May 2010 (±1,200 Ha) from Bupati Labuhan Batu. Located under Sei Siarti Vilage, Panai Tengah District, Labuhanbatu Regency. <p>3. Ijin Usaha Perkebunan untuk Pengolahan (IUP-P - POM operational permit) Keputusan Kepala Badan Pelayanan Perijinan Terpadu Propinsi Sumatera Utara nomor 522.2/104/BPPTSU/2/1.3/IX/2014, dated 29th September 2014, on Izin Usaha Perkebunan untuk Pengolahan (IUP-P) PT Umbul Mas Wisesa, capacity 60 ton FFB/hour, location of 5.50 Ha, and part of "Surat Keputusan Hak Guna Usaha No.51 tanggal 10 Juni 2013", location in Tanjung Mulia Village, Kampung Rakyat District, Labuhan Batu Regency.</p>	

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Criterion / Indicator		Assessment Findings	Compliance
		<p>4. Hak Guna Usaha (HGU) PT. Umbul Mas Wisesa</p> <ul style="list-style-type: none"> - "Sertifikat HGU No.93/HGU/BPN.RI/2014, untuk luasan 679.09 Ha", issued certificate on 26th September 2014, location in Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province; - "Sertifikat HGU No.93/BPN.RI/2014, luasan 461.90 Ha", issued certificate on 26th September 2014, location in Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province; - "Sertifikat HGU No.1/HGU/BPN RI/2014, luasan 154.67 Ha", issued certificate on 5th January 2015, location in Sei Siarti Village, Panai Tengah District, Lbuan Batu Regency, Sumatera Utara Province; - "Sertifikat HGU No. 42/HGU/BPN RI/2013, luasan 2,071.11 Ha", issued certificate on 10th June 2013, location in Tanjung Mulia Village, Kmapung Rakyat District, Labuhan Batu Regency, Sumatera Utara Province; - "Sertifikat HGU no 42/HGU/BPN.RI/2013, luasan 4,396.58 Ha", issued certificate on 10th June 2013, location in Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province; <p>PT. Toton Usaha Mandiri "Sertifikat HGU No.23/HGU/BPN RI/2011, dengan luasan 1,198.76 Ha", dated 26th April 2011. Based on statement letter from Kepala Badan Planologi No.768/VII-KP/2001, dated 19th March 2001 and Kepala Balai Pemanfaatan Kawasan Hutan Wilayah I Medan, No. S.351/VII/BPKHI-2/2006, dated 18th April 2006, stated that all areas under PT. UMW and PT TUM management are non-forest area (Areal Penggunaan Lain - APL).</p>	
2.1.2	<p>A documented system, which includes written information on legal requirements, shall be maintained.</p> <p>- Minor compliance –</p>	<p>The company has updated the regulations that must be complied provided in Indonesian Legislation relating RSPO Principles and its ratification. The procedure has been established, that is "Prosedur Informasi Perubahan Undang Undang dan Peraturan Pemerintah" no. CA/SOP/01, revision 00, dated 1st November 2011. Responsible person is Corporate Affair Manager. If any amendment or new regulation will be evaluated by the</p>	Comply

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Criterion / Indicator		Assessment Findings	Compliance
		<p>MCA, further submitted to the unit of department through General Manger Office. The company has updated the regulations that must be complied provided in Indonesian Legislation relating RSPO Principles and its ratification. This document was updated on 24th January 2017, e.g. regulations relating to estates and mill have been identified which covers, e.g.:</p> <ul style="list-style-type: none"> - "Peraturan Pemerintah No.57 tahun 2016 tentang perubahan Peraturan Pemerintah No.71 tahun 2014 tentang Perlindungan dan Pengolahan Ekosistem Gambut". - "Peraturan Menteri Tenaga Kerja No.13 tahun 2011 tentang Nilai Ambang Batas Faktor Fisika dan Faktor Kimia di tempat Kerja". - "Peraturan Pemerintah No.101 tahun 2014 yang menggantikan Peraturan Pemerintah No.18 tahun 1999 tentang Pengelolaan Limbah Berbahaya dan Beracun". 	
2.1.3	<p>A mechanism for ensuring compliance shall be implemented.</p> <p>- Minor compliance –</p>	<p>A mechanism to ensure to track the changes in law is available and the company has updated evaluation of regulation which must comply with regularly. MCA will find information and/or participating in the socialization of the government if there are new regulations or amendment of rules and evaluated the extent to which its fulfillment, assuming there is not yet fulfilled of the regulation, it will be communicated to each unit of the Department for the changes. The last updated on 24th January 2017.</p> <ul style="list-style-type: none"> - The Procedure has been established, that is "Prosedur Informasi Perubahan Undang Undang dan Peraturan Pemerintah" no. CA/SOP/01, revision 00, dated 1st November 2011. 	Comply
2.1.4	<p>A system for tracking any changes in the law shall be available and implemented.</p> <p>- Minor compliance –</p>	<p>The copany has established mechanism to track if any change of regulation and evaluation will be made accordingly. Examples of regulations that were evaluated under document "Evaluasi Pemenuhan Peraturan Perundang Undangan", updated on 24th January 2017 are:</p> <ul style="list-style-type: none"> - "UU No.31 tahun 1999 tentang Pemberantasan tindak pidana korupsi" - "UU No.7 tahun 2006 tentang Pengesahan Konvensi PBB melawan Korupsi" - "Peraturan Pemerintah No.57 tahun 2015 tentang Perubahan Peraturan Pemerintah No.71 tahun 2014 tentang Perlindungan dan Pengolahan Ekosistem Gambut". - "Peraturan Pemerintah No.50 tahun 2012 tentang Penerapan Sistem Manajemen 	Comply

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Criterion / Indicator		Assessment Findings	Compliance
		<p>Kesehatan dan Keselamatan Kerja”;</p> <ul style="list-style-type: none"> - “Instruksi Presiden No.1 tahun 2013 tentang Aksi Pencegahan dan Pemberantasan Korupsi”; - “Keputusan Presiden No.32 tahun 1990 tentang Pengelolaan Kawasan Lindung”; - “Peraturan Presiden No.21 tahun 2010 tentang Pengawasan Ketenagakerjaan”; - “Peraturan Menteri Pertanian No.98 tahun 2013 tentang Pedoman Perizinan Usaha Perkebunan”; - “Peraturan Menteri Pertanian No.14 tahun 2013 tentang Pedoman Penetapan Harga Tandan Buah Segar Kelapa sawit Produksi Pekebun”; - “Peraturan Menteri Tenaga Kerja No.9 tahun 2010 tentang Operator dan Petugas Pesawat Angkat Angkut”; - Etc. <p>PT. UMW and PT. TUM also has demonstrated the record of “Pemantauan Penambahan atau Perubahan Undang-Undang/Peraturan”, updated every month. In 2016 there was 6 types of regulation being updated.</p>	
<p>Criterion 2.2:</p> <p>The right to use the land is demonstrated, and is not legitimately contested by local people who can demonstrate that they have legal, customary or user rights.</p>			
<p>2.2.1</p>	<p>Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available.</p> <p>- Major compliance -</p>	<p>The company has obtained land title for its plantation, under Hak Guna Usaha (HGU) for PT. Umbul Mas Wisesa:</p> <ul style="list-style-type: none"> - “Sertifikat HGU No.93/HGU/BPN.RI/2014, untuk luasan 679.09 Ha”, issued certificate on 26th September 2014, location in Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province; - “Sertifikat HGU No.93/BPN.RI/2014, luasan 461.90 Ha”, issued certificate on 26th September 2014, location in Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province; - “Sertifikat HGU No.1/HGU/BPN RI/2014, luasan 154.67 Ha”, issued certificate on 5th January 2015, location in Sei Siarti Village, Panai Tengah District, Lbuhan Batu Regency, Sumatera Utara Province; - “Sertifikat HGU No. 42/HGU/BPN RI/2013, luasan 2,071.11 Ha”, issued certificate on 10th June 2013, location in Tanjung Mulia Village, Kmapung Rakyat District, Labuhan Batu Regency, Sumatera Utara Province; - “Sertifikat HGU no 42/HGU/BPN.RI/2013, 	<p>Comply</p>

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Criterion / Indicator		Assessment Findings	Compliance
		<p>luasan 4,396.58 Ha”, issued certificate on 10th June 2013, location in Sei Siarti Village, Panai Tengah District, Labuhan Batu Regency, Sumatera Utara Province;</p> <p>Hak Guna Usaha for PT. Toton Usaha Mandiri: “Sertifikat HGU No.23/HGU/BPN RI/2011, dengan luasan 1,198.76 Ha”, dated 26th April 2011. Based on statement letter from Kepala Badan Planologi No.768/VII-KP/2001, dated 19th March 2001 and Kepala Balai Pemanfaatan Kawasan Hutan Wilayah I Medan, No. S.351/VII/BPKHI-2/2006, dated 18th April 2006, stated that all areas under PT. UMW and PT TUM management are non-forest area (Areal Penggunaan Lain - APL).</p>	
2.2.2	<p>Legal boundaries are demonstrated clearly and maintained.</p> <p>- Minor compliance -</p>	<p>PT Umbul Mas Wisesa and PT Toton Usaha Mandiri carried out monitoring of boundary poles on regular basis. UMW-North Estate has monitored the boundary poles monthly basis and reported under “Daftar Pemeriksaan Patok Batas Kebun (HGU)”. Boundary poles found to be in good condition. Based on field visit, the boundary poles found to be in good condition and visibly maintained, the boundary identity is also clear.</p> <p>Boundary pole monitoring is conducted monthly, based on review document, it was seen that 139 pegs in Umbul Mas Wisesa South Estate good condition and 33 pegs in PT TUM and also good condition. Based on field visits found that peg visibly and maintained, e.g. Pegs 150, 151, 155, 156 Division 01 in UMW South Estate. The company has been doing peg maintenance regularly every three months; the last inspection was conducted in October 2016 and December 2016.</p> <p>Based on field visit in boundary pole at block M11 and block 12 (boundary pole no 10, 09, 08, 07 and 05 in Toton Usaha Mandiri Estate in good condition.</p>	Comply
2.2.3	<p>In the event that there is a dispute or a dispute has occurred, adequate evidence of legitimate acquisition and compensation or compensation settlement process through conflict resolution which has been received through Free, Prior and Informed Consent by all related parties shall be provided.</p> <p>- Minor compliance -</p>	<p>The company has a mechanism Compensation for Land issued on July 1st, 2012 (Doc. No: SOP/CA/02); in it procedure outlines the mechanism for compensation through the FPIC process (socialization), Document Verification and Measurement of land and Price Negotiation “Ganti Rugi Tanam Tumbuh/GRTT”. Completeness GRTT are as follows;\</p> <ol style="list-style-type: none"> 1. Letter of Request for measurement, 2. Minute of land surveying, 3. Certificate of Land or “Surat Keterangan Tanah/SKT; 	Comply

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Criterion / Indicator	Assessment Findings	Compliance
	<p>4. Statement of no dispute 5. Statement of Recognition of Rights, 6. Statement Own Land / Land for smallholder (if any), 7. Letter of Waiver working on arable land, arable land compensation letters.</p> <p>PT. UMW and TUM have been demonstrated across a copy of the agreement that has been agreed upon in the process of "Ganti Rugi Tanah Garapan (GRTG)" on the work area owned. Based recap GRTG process has been carried out on an area of 6,468.60 hectares. In the first phase of an area of 1,923.03 Ha against 93 groups and 1,163 owners as well as the second stage is an area of 1,923.03 Ha against 18 group and 84 owners in the village of Tanjung Mulia and Sei Siarti.</p> <p>Examples: Copies implementation process of Land (GRTG); on behalf of Mr. Sucipto Tanjung Mulia Villagers who have worked on in the concession area of PT. UMW area of 9 Ha located in Block C16, 17, 18, 19 and 20 in accordance with the evidence of mastery (SKT) No. 593/279/TML2002 dated 17th February 2002, of Compensation paid/received have been listed in the District People's Village, Tanjung Mulia and also Notary Lince Hutahayan, Letter of Land Compensation, land Inventory Results Measurement and Garapan made jointly witnessed by the village of Tanjung Mulia Party and the Group of landowners adjacent areas Area Map replaced Loss and Land Certificate or Surat Keterangan Tanah/SKT" of late Mr. Sucipto (SKT No.593/279/TML/ 2002, dated 17th February 2002).</p>	
<p>2.2.4</p>	<p>There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved. - Major compliance –</p>	<p>Compliance processes in PT. UMW and PT. TUM have been done.</p> <p>Comply</p>
<p>2.2.5</p>	<p>For any conflict or dispute over the land, the evidence of the extent of disputed area is mapped out in a participatory way with involvement of affected parties (including neighboring communities and local government where applicable), shall be available.</p>	<p>Land dispute resolution mechanisms and how to handle the new planting area have been developed in consideration to the law and the ongoing reconciliation process. Currently no dispute comes into attention.</p> <p>Comply</p>

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- Minor compliance -		
2.2.6 To avoid escalation of conflict, there shall be no evidence that palm oil operations have instigated violence in maintaining peace and order in their current and/or planned operations. - Major compliance -	No land dispute was noted.	Comply
Criterion 2.3: Use of the land for oil palm does not diminish the legal rights, customary or user right of other users without their free, prior and informed consent.		
2.3.1 Maps with appropriate scale showing the extent of recognized legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighboring communities where applicable, and relevant authorities). - Major compliance -	Based on document review and stakeholder consultation, there was no noted land dispute in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri plantation areas.	Comply
2.3.2 Copies of negotiated agreements including the process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and these include: a) Evidence of consultation b) Statement of transfer of rights c) Evidence of compensation See specific guidance 2.3.2 - Minor compliance -	Based on document review and stakeholder consultation, there was no noted land dispute in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri plantation areas.	Comply
2.3.3 Relevant information shall be available in appropriate forms and languages, including analysis of impacts, proposed benefit sharing, and legal arrangements. - Minor compliance -	All information related to oil palm development, social-economic and environmental impact assessment, HCV assessment and procedure for land compensation is available in Bahasa Indonesia.	Comply
2.3.4 Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel. - Major compliance -	The company is able to demonstrate that local communities are represented and participated during the meeting with stakeholder, discussing the social-economic and environmental planning. The meeting involving all relevant stakeholders, institution and representative of surrounding communities.	Comply
Principle 3: Commitment to long-term economic and financial viability		
Criterion 3.1:		

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There is an implemented management plan that aims to achieve long-term economic and financial viability.											
3.1.1	A documented management plan, a minimum of three years shall be available, including, where appropriate, plan for scheme smallholders. - Major compliance-	<p>PT. UMW: UMW POM: company has business plan for period 2017-2021 including FFB receiving and processing.</p> <p>UMW South Estate: business plan until 2020 available, contain estimation of production FFB, cost of production and profit estimation.</p> <p>TUM Estate: Company has business plan projecting until 2020, including production cost and production estimation, production cost increasing as profit as well. The production forecast for TUM estate (in MT):</p> <table border="1"> <thead> <tr> <th>2017</th> <th>2018</th> <th>2019</th> <th>2020</th> </tr> </thead> <tbody> <tr> <td>26,199</td> <td>26,898</td> <td>29,147</td> <td>29,168</td> </tr> </tbody> </table>	2017	2018	2019	2020	26,199	26,898	29,147	29,168	Comply
2017	2018	2019	2020								
26,199	26,898	29,147	29,168								
3.1.2	An annual replanting program projected for a minimum of five years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review, shall be available. - Minor compliance-	UMW South Estate and TUM Estate: There was no replanting program for next 5 years.	Comply								
Principle 4: Use of appropriate best practices by growers and millers											
Criterion 4.1:											
Operating procedures are appropriately documented, consistently implemented and monitored.											
4.1.1	Standard Operating Procedures (SOPs) for estates (land clearing to harvesting) and SOP for mills (reception of FFB to dispatch of CPO and PKO) shall be available. - Major compliance -	<p>Estate: The procedures documented in "Agricultural Manual Oil Palm" (October 2009 and revised on 2014) document #01-#18/SOP/Oil Palm/ESD, where it contains all sub section of the process, such as: Nursery, land clearing, planting in peat soil and mineral soil with zero burning, planting legume cover crops, terracing, upkeep (fertilizer and pesticides, included safe working practices), water level management, riparian and watercourse management, harvesting, replanting and FFB transport. Interviews with the employees indicate satisfactory level of understanding and implementation in relation to their respective job function. Such as:</p> <p>1. Biological aspects of Practical Importance No.01/SOP/Oil Palm/ESD – Karakteristik Vegetatif Tanaman Kelapa Sawit</p>	Comply								

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Criterion / Indicator	Assessment Findings	Compliance
	<p>2. Pembibitan Kelapa Sawit: No.02/SOP/Oil Palm/ESD - nursery 3. Land Clearing: No.03/SOP/Oil Palm/ESD rev.2 4. Field Planting: No.04/SOP/Oil Palm/ESD rev.1 5. Palm Supplying: No.05/SOP/Oil Palm/ESD 6. Palm Thinning Out: No.06/SOP/Oil Palm/ESD 7. Ablasi: No.07/SOP/Oil Palm/ESD - Ablation 8. Frond Pruning: No.08/SOP/Oil Palm/ESD 9. Kumbang E. Camerunensis: No.09/SOP/Oil Palm/ESD – E. Camerunensis beetle 10. Sistem Pengelolaan Air: No.10/SOP/Oil Palm/ESD – water management 11. Pemupukan: No.11/SOP/Oil Palm/ESD – fertilizer placement 12. Pest and Disease: No.12/SOP/Oil Palm/ESD 13. Harvesting Standard: No.13/SOP/Oil Palm/ESD 14. Sistem Pembuatan Jalan: No.12/SOP/Oil Palm/ESD – road construction 15. Pemakaian, Penyimpanan Pemusnahan Kemasan Bekas Pestisida: No.15/SOP/Oil Palm/ESD – pesticide handling</p> <p>UMW POM: Umbul Mas Wisesa Mill has a set of procedure for processing of oil palm bunch into CPO and PK, under “Master List Working Instruction Umbul Mas Wisesa POM”. The procedures explains all activity from receiving FFB into dispatch of products; Such as:</p> <ol style="list-style-type: none"> 1. Penimbangan Truk FFB dan Berondolan No.UMWPOM-WI/PROD/001A – Weighing FFB truck and loose fruit; 2. Loading ramp, Pengisian FFB ke dalam Rebusan Vertical No.UMWPOM-WI/PROD/002A – Loading ramp, loading FFB into vertical sterilizer; 3. Pengoperasian Vertical Sterilizer No.UMWPOM-WI/PROD/002B – Operating Vertical Sterilizer; a number of key parameter: sterilizer operating for 100 minutes, ensure manometer showing “0” prior to opening the sterilizer. 4. Pengoperasian Threshing Machine No.UMWPOM-WI/PROD/003 – Operating Threshing Machine; 5. Pengoperasian Digester No.UMWPOM-WI/PROD/004A – Operating Digester; 6. Pengoperasian Screw Press No.UMWPOM-WI/PROD/004B – Operating screw press; 7. Sand Trap and Vibrating Screen No.UMWPOM-WI/PROD/005A; 	

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	<p>8. Pengoperasian Crude Oil Tank No.UMWPOM-WI/PROD/005B – Operating Crude Oil Tank;</p> <p>9. Pengoperasian Continuous Settling Tank No.UMWPOM-WI/PROD/005C – Operating Continuous Settling Tank;</p> <p>10. Pengoperasian Clean Oil Tank No.UMWPOM-WI/PROD/005D – Operating Clean Oil Tank;</p> <p>11. Pengoperasian Oil Purifier No.UMWPOM-WI/PROD/005F – Operating Oil Purifier;</p> <p>12. Pengoperasian Vacuum Drier No.UMWPOM-WI/PROD/005G – Operating Vacuum Drier;</p> <p>13. Pengoperasian Sludge Sentrifuge No.UMWPOM-WI/PROD/005H – Operating sludge centrifuge;</p> <p>14. Pengoperasian Ripple Mill No.UMWPOM-WI/PROD/006A – Operating Ripple Mill;</p> <p>15. Pengoperasian Depericarper No.UMWPOM-WI/PROD/006B – Operating depericarper;</p> <p>16. Pengoperasian Sawipack Stage 1 & Stage 2 No.UMWPOM-WI/PROD/006D – Operating Sawipack stage 1 & stage 2;</p> <p>17. Pengoperasian Kernel Silo Drier No.UMWPOM-WI/PROD/006E – Operating Kernel Silo Drier;</p> <p>18. Pengoperasian Hydrocyclone No.UMWPOM-WI/PROD/006F – Operating Hydrocyclone;</p> <p>19. Boiler 35 tons/hour No.UMWPOM-WI/PROD/007A – Boiler;</p> <p>20. Pengoperasian Genset No.UMWPOM-WI/PROD/009A – Operating power generator;</p> <p>21. Pengoperasian Steam Turbin No.UMWPOM-WI/PROD/009B – Operating steam turbine;</p> <p>22. Penanganan gangguan Sumber Tidak Bergerak Engine Genset No.UMWPOM-WI/PROD/009D – Handling disturbance from non-moving source engined-power generator;</p> <p>23. Penanganan Gangguan Sumber Tidak Bergerak Boiler No.UMWPOM-WI/PROD/009E – Handling disturbance from non-moving source Boiler;</p> <p>24. Pengoperasian EFB plant No.UMWPOM-WI/PROD/011 – Operating EFB plant;</p> <p>25. Pengoperasian CPO Storage Tank No.UMWPOM-WI/PROD/0015 – Operating CPO Storage tank;</p> <p>26. Pengoperasian Kernel Bin Storage No.UMWPOM-WI/PROD/0016 – Operating Kernel Bin Storage;</p>	

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	<p>27. Analisa FFA CPO No.UMWPOM-WI/LAB/001 – Analysing CPO’s FFA;</p> <p>28. Analisa FFA Kadar air untuk CPO dispatch No.UMWPOM-WI/LAB/002A – Analysing CPO’s moisture for CPO dispatch;</p> <p>29. Analisa kadar kotoran dan kadar air untuk kernel dipatch No.UMWPOM-WI/LAB/005A – Analysing dirt and moisture in kernel for dispatch;</p> <p>30. Pengiriman CPO No.UMWPOM-WI/LAB/043 – Delivery of CPO;</p> <p>31. Pengiriman Kernel No.UMWPOM-WI/LAB/044 – Delivery of Kernel;</p> <p>A set of work instruction for mill’s workshop, dated 28th June 2014; including use of welding equipments, cutting metal, operating lathe machine, operating drilling machine, operating portable grinding machine, operating and maintenance of smoke density meter.</p> <p>A set of work instruction for biogas plant, dated 30th August 2014; comprise of: filling in POME into screen chamber and oil grease skimmer, operating of equalization tank, operating of plate heat exchanger and cooling tower, operating of primary clarifier and sludge pit, operating buffer tank, operating anaerobic reactor, operating degassifier, operating Lamella clarifier, operating sludge sump, operating sludge decanter, etc.</p> <p>A set of procedure for supply chain and traceability, established on 26th March 2015. See appendix F.</p>	
<p>4.1.2</p>	<p>Checking or monitoring of operations procedures is conducted at least once a year.</p> <p>- Minor compliance -</p> <p>UMW POM: Performance of Umbul Mas Wisesa POM was monitored through internal audit, dated 11-14th November 2016. There was a number of findings identified, such as: a number of operator has not been obtained operator license. As a follow up action, mill has registered the operators into training. Director engineering visit report on 4th October 2016, sighted. During the visit, the director highlighting a number of issue such as replacement of claybath vibrating check – followed up by mill manager on the same month.</p> <p>UMW South Estate: Estate is monitoring the implementation of harvesting procedure as in FFB Quality Inspection. Sample taken from block C26: 534 bunches harvested; normal bunches 88.01%, unripe bunches 0.56%; overripe bunches</p>	<p>Comply</p>

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	<p>9.36%; rotten bunches 2.08%; hard bunches 1.31%; abnormal bunches 2.99%; <i>marasmius</i> bunches 0.56%. Loose Fruit Collection Quality Inspection for Block F15: no ripe bunches left not harvested (100% harvested), 6 loose fruit not collected.</p> <p>Internal audit was conducted against RSPO P&C in UMW South Estate, dated 7-10th November 2016 whereby 6 findings identified during the internal assessment. Action plan documented, all findings have been followed up as of 1st February 2017.</p> <p>TUM Estate: ENC conducted internal audit on 15-18th November 2016. It was observed that the findings were addressed as NC and recommendation. Several findings were still on progress and the monitoring of action plans was evident, such as:</p> <ul style="list-style-type: none"> - HCV sign board in conservation area has been broken, management has replaced with new one. - PPE for sprayer (apron and goggle) was broken – has been replaced, PPE use check on regular basis. <p>Loose Fruit Collection Quality Inspection for TUM Estate block L21: no ripe bunches left not harvested (100% harvested), 2 loose fruit not collected.</p> <p>The HCV management plan has been implemented; including jungle guard patrol on two weeks interval, upkeep HCV corridor on two months, planting on corridor each month, upkeep HCV notice board once every two months, upkeep HCV poles 30 units every two months, upkeep HCV corridor 4 units every other month.</p>	
<p>4.1.3</p> <p>Records of monitoring and any follow-up actions shall be available.</p> <p>- Minor compliance -</p>	<p>UMW POM: Performance of Umbul Mas Wisesa POM was monitored through internal audit, dated 11-14th November 2016. There was a number of findings identified, such as: a number of operator has not been obtained operator license. As a follow up action, mill has registered the operators into training.</p> <p>Director engineering visit report on 4th October 2016, sighted. During the visit, the director highlighting a number of issue such as replacement of clay bath vibrating check – followed up by mill manager on the same month.</p> <p>UMW South Estate: Estate received visit from Director of Estate Department, on 20th August - 6th September</p>	<p>Comply</p>

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	<p>2016. A number of comment noted and follow up on harvesting – crop production good, harvesting productivity/performance, OER performance, FFB quality for normal bunches at 95%, rate of correct pruning and loose fruit collection require action to be taken, as reported in 4th October 2016.</p> <p>Another visit from Verdant Bioscience on 8-9th November 2016, monitoring on nettle caterpillar. Action plan reported on same date, to conduct census to ensure small and large larvae identified, conduct treatment after 2 weeks.</p> <p>Visit from Verdant bioscience on ganoderma infestation, dated 19th January 2017. On the same date, management prepared action plan dated 19th January 2017, related to treatment for infected palm – to be fell, prepare isolation trench, debolled stump treated with incineration, fruiting body collected and to be incinerate.</p> <p>TUM Estate: Report of Director of Estate Department to TUM Estate, dated 18th August 2016. There are several issues identified and immediately followed up, such as: pruning quality needs improvement – provision of pruning training; fertilizer application not even – provide training on fertilizer applicator.</p>	
<p>4.1.4</p> <p>Records of the origins of all third-party FFB sourced (collector, deliver, Cooperative, Farmers Association and outgrower) shall be available.</p> <p>- Major compliance -</p>	<p>UMW POM maintains the record of FFB purchased (not processed) from smallholder. The record shows on November 2016, the purchased FFB from smallholder 60,748 kg. The record also shows on November 2016, the FFB sold (not processed) after sortation was 59,096 kg.</p> <p>The record shows on December 2016, the purchased FFB from smallholder 36,275 kg. The record also shows on December 2016, the FFB sold (not processed) after sortation was 33,933 kg.</p> <p>(Explanation related to supply chain implementation – See Appendix F).</p> <p>PT. Umbul Mas Wisesa maintain the commitment towards development of smallholder, such as providing guidance on plantation best management practice, plantation upkeep, cooperative management, financial management, integrated pest management, etc. Company also purchase the FFB supplied from smallholder cooperative, to be sold for another company (not processed). Aside from the purchasing policy, PT. Umbul Mas Wisesa has a commitment for traceability</p>	<p>Comply</p>

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		of its supply base. Company conducted ground verification to verify the location of smallholder. Document seen: "Update Lokasi Lahan Anggota Koperasi KSU Suka Makmur (Desa Tanjung Mulia)", whereby company verified 67 cooperative's farmer member, and took the GPS coordinates and planting year. Sample taken: KSU Suka Makmur, D*** Syahp**** S*****, with 2 Ha planted in 2009. GPS coordinates taken.	
Criterion 4.2:			
Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.			
4.2.1	A record of SOP implementation to maintain soil fertility that ensures optimal and sustained yield, shall be available. - Major compliance -	UMW South Estate and TUM Estate:: Company has a procedure for good agriculture practices to maintain soil fertility, as available under Pemupukan: No.11/SOP/Oil Palm/ESD – fertilizer placement. Fertilizer is applied to maintain and increase soil fertility, fertilizer applied following the fertilizer recommendation which created based on soil and leaf analysis. Fertilizer application record in "Monthly Manuring Program Sheet".	Comply
4.2.2	Records of fertilizer inputs shall be available. - Minor compliance -	UMW South Estate: Fertilizer recommendation for 2016 and 2017 evident. Audit team took sample for application of Muriate of Potash. Recommendation for MoP application in 2016 is 793,706 kg; whereby the dosage per palm differs – in accordance to leaf sampling analysis. Sampled block 08B29, planting year 2008, 28.41 Ha with 4,148 palms; recommendation 2 kg MOP per palm. Evidence of application seen: 2017 MOP fertilizer purchase requisition No.UMS0002845, dated 9 th November 2016, for 879,850 kg MOP; Stock Receipt Detail in UMW Estate from 1st December 2016 to 7 th February 2017, MOP fertilizer total 879,850 kg. Stock issue note sampled, No.1131400016 MOP fertilizer 8,206 kg dated 2 nd February 2017 – applied in block B29, 4,103 palms @2 kg per palm. This is consistent with recommendation. TUM Estate: Fertilizer recommendation for 2016 and 2017 evident. Audit team took sample for application of Rock Phosphate. Recommendation for Rock Phosphate application in 2016 is 171,200 kg; whereby the dosage per palm in accordance to leaf sampling analysis. Sampled block RP fertilizer	Comply

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		<p>3,729 kg dated February 2016 – applied in block 2009M24, 3,729 palms @1 kg per palm. Evidence of application seen: 2016 RP fertilizer purchase requisition No.TUM0000821, dated 16th November 2015, for 171,200 kg RP; Stock Receipt Detail in TUM Estate dated 5th March 2016, Rock Phosphate fertilizer received total 171,200 kg. Application of RP fertilizer 3,729 kg dated February 2016 – applied in block 2009M24, 3,729 palms @1 kg per palm. This is consistent with recommendation.</p>	
4.2.3	<p>Records of periodical leaf, soil and visual analysis shall be available. - Minor compliance -</p>	<p>UMW South Estate: Leaf sample analysis carried out in May 2016, sent for Bangun bandar Analytical Laboratory. Result available as reported in L16-028/LAB-SSPL/V/2016 dated 6th June 2016. This leaf sampling analysis has been considered in preparing fertilizer recommendation 2017.</p> <p>TUM Estate: Leaf sample analysis carried out in May 2016, sent for Bangun Bandar Analytical Laboratory. Result available as reported in L16-033/LAB-SSPL/V/2016 dated 6th June 2016. Analysis carried out upon dry ashing from 23 leaf sample. This leaf sampling analysis has been considered in preparing fertilizer recommendation 2017.</p> <p>Semi detail soil survey report of PT. Toton Usaha Mandiri carried out in June 2010. Total area surveyed 1,484 ha, the entire area is low lying flat, dominant soil series is <i>Lenggana</i> series, <i>Typic haplohemist</i>, peat soil), peat depth is 3 meters to > 5 meters.</p>	Comply
4.2.4	<p>A nutrient recycling strategy is recorded, including use of Empty Fruit Bunches (EFB), land application, and palm residues after replanting. - Minor compliance -</p>	<p>UMW South Estate: Latest EFB application in 2015, sampled 224,870 tons to block 07E05.</p> <p>TUM Estate: Application of bunch ash to block 2008L13, 29.16 Ha – applied with 6,233 kg with dosage 1.5 kg per palm.</p>	Comply
<p>Criterion 4.3: Practices minimise and control erosion and degradation of soils.</p>			
4.3.1	<p>Maps of any fragile soils shall be available. - Major compliance -</p>	<p>Based on soil survey, it was found that mostly PT. Umbul Mas Wisesa areas is peat soil, Map of peat soil is available in place with scale 1:20,000. Soil series (sources: Shuttle Radar for Topographic Mission (SRTM) 2006; path 57</p>	Comply

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	<p>Row 12, Digital Rupabumi Map scale 1:250,000 BAKORSURTANAL 2004, Field Observation 2010, consist of:</p> <ul style="list-style-type: none"> - <i>Lenggana</i> Series (LGN 3,4), <i>Typic haplohemist</i>, mature peat land, 15 – 75 % fibre peat, depth 0 – 5 meters, poor drainage (5,681 Ha – 91%) - <i>Mekar Jaya</i> (MKJ), <i>Sulfic endoaquept</i>, silty clay, poor drainage, depth 50-100cm and Galling (GLG), <i>Typic sulfaquept</i>, depth 50cm (464 Ha – 7%). - Organic clay/muck, <i>Typic humaquepts</i> organic clay, high water table during raining days, acid sulphate at within 50 cm (91 Ha – 2%). <p>Soil profile map in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri was available made on 16th July 2013, sources:</p> <ul style="list-style-type: none"> - Survey GPS – Geo XT Differential correction - Satellite Image - JH Agriculture Service <p>Soil slopes class map PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri is available base on soil survey on 10th February 2014.</p> <p>TUM Estate: Semi detail soil survey report of PT. Toton Usaha Mandiri carried out in June 2010. Total area surveyed 1,484 Ha, the entire area is low lying flat, dominant soil series is <i>Lenggana</i> series, <i>Typic haplohemist</i>, peat soil), peat depth is 3 meters to > 5 meters. consist of: <i>Lenggana</i> Series (LGN 3,4), <i>Typic haplohemist</i>, mature peat land, decomposed hemist peat material, fiber content 16-75% woody, peat depth 3 to > 5 meters, poor drainage (1,428 Ha – 100%). The soil map is available in scale 1:20,000.</p>	
<p>4.3.2</p> <p>A management strategy shall be in place for plantings on slopes above a certain limit (this needs to be soil and climate specific).</p> <p>- Minor compliance -</p>	<p>Based on soil survey on 10th February 2014 and slopes class map, all of PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri area is low lying flat or included into the class of flat-undulating (0-2°) and relatively without slope above a certain limit.</p>	<p>Comply</p>
<p>4.3.3</p> <p>A road maintenance program shall be in place.</p> <p>- Minor compliance –</p>	<p>Road maintenance programme available detailing on planning and actual implementation of both main road and collection road.</p> <p>Road maintenance program has been made in the annual budget and the realization of road maintenance in 2016 and 2017 both of PT.</p>	<p>Comply</p>

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	<p>UMW and PT. TUM was as follows: UMW-South: Program for 2017: program for road maintenance 16,048 meters and 11 bridges in January 2017; program for road maintenance 16,045 meters and 11 bridges in February 2017; program for road maintenance 16,045 meters and 11 bridges in March 2017; Road maintenance (main and collection road) sample in January 2017; program for road maintenance 25,700 meters; implementation of main road maintenance 3,300 meters; implementation for collection road 7,800 meters;</p> <p>TUM Estate: Manual upkeep of collection road maintenance sampled in October 2016, program 2,175 meters – implemented 1,000 meters in Division I. Program for road maintenance for 2017 is evident. The planning for 2017 indicates program for road stoning of 3,192 meters collection road and 317.46 meters main road.</p>	
<p>4.3.4</p> <p>Subsidence of peat soils shall be minimised and monitored. A documented water and ground cover management programme shall be in place.</p> <p>- Major compliance –</p>	<p>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri has a set of procedure for water management for peat soil, in line with Indonesia’s guideline for peat management. Water management procedure for peat land was available in implemented, the company has installed and maintained water gates, main drain gate, main drainage, secondary drainage and collection drainage. Regular maintenance of drainages evident.</p> <p>Monitoring of water management by means of regular inspection and recording of water level, piezo meter, peat subsidence level and water gate lever. Record of monitoring evident.</p> <p>It was found that water level in maintained in ≤40 cm. This procedure following latest regulation, <i>Peraturan Pemerintah No.57 tahun 2016 Perubahan atas Peraturan Pemerintah No.71 tahun 2014 tentang Perlindungan dan Pengelolaan Ekosistem Gambut.</i></p> <p>Companies have prepared “Work Instruction water Management PT. Umbul Mas Wisesa & PT. Toton Usaha Mandiri”. The work instruction has also been prepared to monitor water management performance. Monitoring and recording water level and water table in two weeks interval – as well as take immediate action, to open/close water gate accordingly, in order to maintain water level in optimum level. This has been supported by trained</p>	<p>Comply</p>

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Criterion / Indicator	Assessment Findings	Compliance
	<p>supervisor.</p> <p>Company has also prepared all infrastructure for the palm cultivation in peat area. Started from construction of road network, planting hole-in-hole, etc. PT. Umbul Mas Wisesa has prepared the drainage to maintain water level in peat area, comprise of main/primary drain, secondary drain and collection/field drain. The size and configuration (width, depth, etc.) of each drain has follow regulation. The drain network has also been complemented with water gate infrastructure – taking into consideration the water inlet and water outlet, water level history, as well as topography in landscape level.</p> <p>Company has developed a water management plan, for cultivation of oil palm in peat soil. This document has been cascaded into “Program Kerja Water Management tahun 2017”, available for each estate.</p> <p>In order to monitor water level at optimum level, company has installed water level pole (near water gate) to monitor water level; installed piezometer (inside plantation blocks) to monitor the water table); and installing 8 peat subsidence poles, in order to monitor peat subsidence on annual basis.</p> <p>A yearly report the produced to review and evaluate the water management performance for future planning.</p> <p>UMW South Estate: Monitoring water table planned twice each month; monitoring water level planned twice a month; upkeep water table planned once every two month; monitoring peat subsidence pole 8 units, planned twice per year, in June and December; upkeep peat subsidence pole, 8 units, once every two months; upkeep water pole 684 units, once every two months; making water gate 80 units in period March – October 2017; upkeep water gate on April – October 2017;</p> <p>Form monitoring peat subsidence pole fo 8 units peat subsidence pole in various location. Period first half 2016: total average subsidence since 2014: 1.7 cm; Period second half 2016: average subsidence recorded: 0.9 cm – total average subsidence since 2014: 3.7 cm;</p> <p>“Form monitoring water level dan water table” UMW South Estate, Division I period 9th January 2017: average water level 51 cm; average water table (from piezometer) is 53.3</p>	

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Criterion / Indicator		Assessment Findings	Compliance
		<p>cm. Action taken: none, water gate is stabil. "Form monitoring water level dan water table" UMW South Estate, Division I period 20th January 2017: average water level 45.2 cm; average water table (from piezometer) is 46.8 cm. Action taken: none, water gate is stabil.</p> <p>"Data Rata-rata Monitoring Water Level dan Water Table PT.UMW South Estate tahun 2016" – 2016 water level and water table performance noted. It was known that 2016 average water level Division I: 55.7 cm, Division II: 61.3 cm, Division III: 66.1 cm, Division IV: 57.7 cm; Average water table Division I: 67.3 cm, Division II: 75.8 cm, Division III: 72.7 cm, Division IV:64 cm, etc.</p> <p>Drain maintenance and upkeep, for 2016 was planned 2,182 meters of collection drain – implemented 2,085 meters of collection drain. Upkeep main drain planned 142 meters in block C01, actual implemented 83 meters in August 2016.</p>	
4.3.5	<p>Drainability assessments shall be required prior to replanting on peat to determine the long-term viability of the necessary drainage for oil palm growing.</p> <p>- Minor compliance –</p>	<p>Both of PT TUM and PT UMW was a newly opened plantation by year of planting the youngest was in 2006, so the replanting plan will be carried out around the year 2031. However, water management has done well, i.e. by making the water gate, groundwater level monitoring (every month) and subsidence of peat (every 6 months) and also monitoring of flood areas by creating a map and setting the floodgates/water gate in the area.</p>	Comply
4.3.6	<p>A management strategy shall be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils).</p> <p>- Minor compliance –</p>	<p>Companies have prepared "Work Instruction Water Management PT. Umbul Mas Wisesa & PT. Toton Usaha Mandiri". The work instruction has also been prepared to monitor water mangement performance. Monitoring and recording water level and water table in two weeks interval – as well as take immediate action, to open/close water gate accordingly, in order to maintain water level in optimum level. This has been supported by trained supervisor.</p> <p>Company has also prepared all infrastructure for the palm cultivation in peat area. Started from construction of road network, planting hole-in-hole, etc. PT. Umbul Mas Wisesa has prepared the drainage to maintain water level in peat area, comprise of main/primary drain, secondary drain and collection/field drain. The size and configuration (width, depth, etc.) of each drain has follow regulation. The drain network has also been complemented with water gate infrastructure – taking into consideration the water inlet and water outlet,</p>	Comply

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Criterion / Indicator		Assessment Findings	Compliance
		<p>water level history, as well as topography in landscape level.</p> <p>Company has developed a water management plan, for cultivation of oil palm in peat soil. This document has been cascaded into "Program Kerja Water Management tahun 2017", available for each estate.</p> <p>In order to monitor water level at optimum level, company has installed water level pole (near water gate) to monitor water level; installed piezometer (inside plantation blocks) to monitor the water table); and installing 8 peat subsidence poles, in order to monitor peat subsidence on annual basis.</p> <p>A yearly report the produced to review and evaluate the water management performance for future planning.</p>	
<p>Criterion 4.4: Practices maintain the quality and availability of surface and ground water.</p>			
4.4.1	<p>An implemented water management plan shall be in place.</p> <p>- Minor compliance -</p>	<p>Company has a document called "Rencana Pengelolaan Air" – Water management plan, effective date 3rd January 2016. The water management plan identified the water source for mill processing need and domestic water need is from Sungai Barumon; explanation on the water treatment process.</p> <p>The water management plan explains on the water intake/consumption, permit, water need for palm oil mill – based on water consumption/ton FFB processed (see criterion 4.4.4), water need for domestic use, plan to record the water consumption – on monthly basis.</p> <p>The water management plan explains the effort for water saving: installing automatic control system at water intake, to reduce leakage throughout water piping network, continuously have awareness to all worker on the importance of saving water.</p> <p>The water management plan explainst the effort to maintain water quality and schedule for water quality test.</p> <p>The water management plan has been implemented.</p> <p>Permit: "Keputusan Kepala Badan Pelayanan Perijinan Terpadu Provinsi Sumater Utara No.610/149/BPPTSU/2/XII.1/XII/2014 tentang Ijin Pengambilan Air Permukaan oleh PT. Umbul Mas Wisesa", dated 22nd December 2014 – valid for 3 years. The permit allows a maximum intake of 450 m³ water per day for processing and domestic use.</p>	Comply

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Criterion / Indicator		Assessment Findings	Compliance																																																								
4.4.2	Protection of water courses and wetlands, including securing and maintaining appropriate riparian and other buffer zones, at the time of or prior to replanting shall be demonstrated. - Major compliance -	The company has reserved riparian zone, based on field visit, it was seen that riparian zones is maintained well and no chemical applied along the riparian zones and planted vetiver grass to prevent erosion.	Comply																																																								
4.4.3	Records for monitoring of effluent especially BOD (Biochemical Oxygen Demand) and efforts to comply with legal requirements, shall be available (see criteria 2.1 and 5.6). - Minor compliance –	UMW POM: The company plan to discharge effluent to water course, water sampling is taken regularly every month by independent third party by "SUCOFINDO", e.g. water sample in "Effluent Final Dscharge Pond" by Binalab in September 2016 (baku mutu: 42.15 mg/L), October 2016 (BOD level 60.24 mg/L). Since October 2016 company operate new retention pond to catch pome from Biomas processing unit before flow out to river stream. Company has 14 retention pond, until end of January 2017 9 pond already filled by waste water and monitored on pH, COD and BOD. In January 2017 BOD in pond number 9th is 7. Estimated within 2 months all 14 pond will be filled and begin to drain to river stream of Barumon River.	Comply																																																								
4.4.4	Monitoring of mill water use per ton of FFB shall be recorded. - Minor compliance –	UMW POM: Umbul Mas Wisesa POM recording the mill water use per tonne FFB. The record of water use available in "Pemakaian air dan HSD Oil per metrik FFB". The budget of water use for FFB process sets at 1 m ³ /ton FFB processed. Record for year 2016 seen: <table border="1" data-bbox="724 1424 1235 1832"> <thead> <tr> <th>Month</th> <th>FFB Processed (tons)</th> <th>Water usage (m³)</th> <th>Water usage (m³/ton FFB)</th> </tr> </thead> <tbody> <tr><td>Jan</td><td>11,081</td><td>14,402</td><td>1.3</td></tr> <tr><td>Feb</td><td>11,131</td><td>15,944</td><td>1.43</td></tr> <tr><td>Mar</td><td>9,664</td><td>12,919</td><td>1.34</td></tr> <tr><td>Apr</td><td>9,610</td><td>11,680</td><td>1.22</td></tr> <tr><td>May</td><td>11,887</td><td>15,578</td><td>1.31</td></tr> <tr><td>Jun</td><td>17,869</td><td>15,071</td><td>0.84</td></tr> <tr><td>Jul</td><td>14,140</td><td>14,568</td><td>1.03</td></tr> <tr><td>Aug</td><td>12,221</td><td>12,220</td><td>1.00</td></tr> <tr><td>Sep</td><td>16,426</td><td>12,149</td><td>0.74</td></tr> <tr><td>Oct</td><td>13,369</td><td>13,022</td><td>0.97</td></tr> <tr><td>Nov</td><td>13,160</td><td>13,440</td><td>1.02</td></tr> <tr><td>Dec</td><td>12,239</td><td>11,736</td><td>0.96</td></tr> <tr><td></td><td>119,251</td><td>162,729</td><td>1.06</td></tr> </tbody> </table> There was a deviation in January-May 2016, due to hydrostatic tests.	Month	FFB Processed (tons)	Water usage (m ³)	Water usage (m ³ /ton FFB)	Jan	11,081	14,402	1.3	Feb	11,131	15,944	1.43	Mar	9,664	12,919	1.34	Apr	9,610	11,680	1.22	May	11,887	15,578	1.31	Jun	17,869	15,071	0.84	Jul	14,140	14,568	1.03	Aug	12,221	12,220	1.00	Sep	16,426	12,149	0.74	Oct	13,369	13,022	0.97	Nov	13,160	13,440	1.02	Dec	12,239	11,736	0.96		119,251	162,729	1.06	Comply
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Criterion 4.5:																																																											
Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest																																																											

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Management techniques.			
4.5.1	<p>Monitoring of Integrated Pest Management (IPM) plan implementation shall be available.</p> <p>- Major compliance -</p>	<p>UMW South Estate: Integrated pest management plan is evident, as titled "Program Pengendalian Hama Terpadu 2017", established 3rd January 2017. Barn owl box in first semester; monitoring on barn owl box on monthly basis; planting of beneficial plant <i>Turnera subulata</i>, on monthly basis; identification of beneficial plant available on the field every quarter; pest and disease census on monthly basis; white ant census on monthly basis; <i>ganoderma</i> monitoring on 6 monthly basis.</p> <p>Monitoring <i>Sycanus dichotomus</i>, as predator for nettle caterpillar; Period December 2016 whereby 7 parent bugs are bred and producing 126 instar. Period January 2017 whereby 23 parent bugs are bred and producing 95 instar.</p> <p>Barn owl box installed in block C24, C26, C28, C30 and B25, B27, B29 – monitoring result shows no owl occupied the barn owl box. Planting <i>Turnera</i> in Division V, as beneficial plant 1000 trees in March 2016; 400 trees in May 2016; and 300 trees in July 2016;</p> <p>TUM Estate: Integrated pest management plan is evident, as titled "Tototn usaha Mandiri Program Pengendalian Hama Terpadu 2017", established 4th January 2017. Installation/re-construction of barn owl box on quarterly basis; monitoring on barn owl box on monthly basis; planting of beneficial plant <i>Turnera subulata</i> on quarterly basis; Census of leaf eating pest on monthly basis; Breeding and release of <i>Sycanus dicotomus</i>; White ant census on monthly basis; Planting of beneficial plant, 400 trees <i>Turnera subulata</i> in January 2017; Planting of 1,800 trees <i>Turnera subulata</i> in June 2016 and 1,600 trees <i>Turnera subulata</i> in July 2016; Census of white ant and leaf eating pest for 1,134.95 Ha in January 2017;</p>	Comply
4.5.2	<p>Training records of Integrated Pest Management (IPM) shall be available.</p> <p>- Minor compliance –</p>	<p>UMW South Estate: Pest and disease training for census of nettle caterpillar and <i>ganoderma</i>, attended by 12 staff on 11th January 2017, lead by Verdant Agrosience, agronomist and estate manager.</p> <p>TUM Estate: Pest and disease training "Training Census <i>Ganoderma</i> TUME – UMWN" dated 20th</p>	Comply

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Criterion / Indicator		Assessment Findings	Compliance																																								
		October 2016, attended by 12 personnel from TUM Estate.																																									
Criterion 4.6: Pesticides are used in ways that do not endanger health or the environment																																											
4.6.1	<p>Documented evidence shall be available to show that pesticide used based on regulations and the use of pesticide is specific to target species with appropriate dosage which have minimal impact on non-target species.</p> <p>- Major compliance -</p>	<p>The use of pesticide is under strict requirement, only in the case of pest attack past the economic threshold. The justification of pesticide used is explained under Agricultural Manual General Section 12 Pest and Disease – and use of herbicide under Section 17 Weed Controls. The procedures explain the identification of target species, agrochemical to be used, and dosage and area per application in general. A further dosage reduction controlled through budget. Visit to chemical store and record review shows company chemical product for specific target species (weed).</p>	Comply																																								
4.6.2	<p>Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per Ha and number of applications shall be available.</p> <p>- Major compliance -</p>	<p>PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri was calculated the active ingredients per block on monthly basis. Also included the calculation based on the LD50 of each active ingredient. Companies are always updating the agrochemical being used, in relation to a period Government Permission.</p> <p>UMW South Estate: "Rekaman Penggunaan Pestisida in block C26" indicating the amount of pesticide, the area applied, LD50 and the active ingredient per ton FFB produced.</p> <p>TUM Estate: Pesticide use for 2015 and 2016</p> <table border="1"> <thead> <tr> <th>Trade mark</th> <th>Active Ingredients</th> <th>Usage 2016</th> <th>Usage 2015</th> </tr> </thead> <tbody> <tr> <td>Smart 480 AS</td> <td>Isopropil amina glyphosate</td> <td>1,010.09</td> <td>502.02</td> </tr> <tr> <td>Gramoxone</td> <td>Paraquat</td> <td>1,938.37</td> <td>2,779.36</td> </tr> <tr> <td>Kenlon 480</td> <td>Triclophyr</td> <td>69.82</td> <td>211.34</td> </tr> <tr> <td>Metsulindo</td> <td>Methyl metsulfuron</td> <td>139,003</td> <td>150,528</td> </tr> <tr> <td>Regent</td> <td>Fipronil</td> <td>208.39</td> <td>253.70</td> </tr> <tr> <td>Garlon</td> <td>Triclophyr</td> <td>124.50</td> <td></td> </tr> <tr> <td>Dipel</td> <td>Bacillus thuringensis</td> <td>8.8</td> <td>262.95</td> </tr> <tr> <td>Starthene</td> <td>Acephate</td> <td>524.09</td> <td>1,140.20</td> </tr> <tr> <td>Marshall</td> <td>Karbosulfan 5%</td> <td></td> <td>218.60</td> </tr> </tbody> </table> <p>"Rekaman Penggunaan Pestisida per Metrik Ton TBS untuk 2016", for block 2009L21; total 30.45 Ha; applied with glyphosate 144 gram/Ha equal to 8.44 gram/ton FFB;</p>	Trade mark	Active Ingredients	Usage 2016	Usage 2015	Smart 480 AS	Isopropil amina glyphosate	1,010.09	502.02	Gramoxone	Paraquat	1,938.37	2,779.36	Kenlon 480	Triclophyr	69.82	211.34	Metsulindo	Methyl metsulfuron	139,003	150,528	Regent	Fipronil	208.39	253.70	Garlon	Triclophyr	124.50		Dipel	Bacillus thuringensis	8.8	262.95	Starthene	Acephate	524.09	1,140.20	Marshall	Karbosulfan 5%		218.60	Comply
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		<p>for block 2009L21; total 30.45 Ha; applied with glyphosate 144 gram/Ha equal to 8.44 gram/ton FFB;</p> <p>Record of pesticide use: for block 2008K16; total 17.81 Ha; applied with starthene (acephate), 0.75 gram/Ha, total dosage 1608 gram/Ha; total quantity used 28,638 gram on 20th December 2016.</p>									
4.6.3	<p>Any use of pesticides shall be minimized as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations identified in Indonesia Best Practice guidelines.</p> <p>- Major compliance -</p>	<p>UMW South Estate: No prophylactic use of pesticide.</p> <p>TUM Estate: No prophylactic use of pesticide. The only use of pesticide after early warning system/census indicated pest attack above threshold. Census form nettle caterpillar dated 25th January 2017, on block 2009K14A, whereby the nettle caterpillar found to be above economic threshold (>5 per frond). Management decided to implement trunk injection. Trunk injection record on block 2009K14A, trunk injection with <i>Starthene</i> (Acephate), dosage 15 gram per palm; active ingredients 75%; dosage 1,608 gram a.i/Ha (15 gram/palm x 143 palms/Ha); total quantity 39,251 gram trunk injection on 1st February 2017 for block 2009K14A, area of application 24.41 Ha.</p>	Comply								
4.6.4	<p>The evidence shall be available to demonstrate that use of Pesticides, categorized in Class 1A or 1B by World Health Organization, or those are listed in the Stockholm and Rotterdam Conventions, and paraquat are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimized and eliminated as part of a plan, and shall only be used in exceptional circumstances.</p> <p>- Minor compliance -</p>	<p>There is no use of WHO Class 1A or 1 B pesticide in company operation. The use of paraquat has been reduced over time.</p> <table border="1"> <thead> <tr> <th>Trade mark</th> <th>Active Ingredients</th> <th>Usage 2016</th> <th>Usage 2015</th> </tr> </thead> <tbody> <tr> <td>Gramoxone</td> <td>Paraquat</td> <td>1,938.37</td> <td>2,779.36</td> </tr> </tbody> </table> <p>Furthermore, there was a memorandum from General Manager North Sumatera, indicating paraquat will not be used. Reduce the use of paraquat (4.6): Memorandum from "GMO Sumut" No.117/GMO-All Estate/XI/2016, dated 1st December 2015. The memorandum stating the use of paraquat as contact pesticide is not allowed as of 1st January 2017. Target: Zero use of paraquat effective since 1st January 2017. No stock of paraquat was noted in pesticide warehouse.</p>	Trade mark	Active Ingredients	Usage 2016	Usage 2015	Gramoxone	Paraquat	1,938.37	2,779.36	Comply
Trade mark	Active Ingredients	Usage 2016	Usage 2015								
Gramoxone	Paraquat	1,938.37	2,779.36								
4.6.5	<p>Evidence of pesticide application by trained person and in accordance with application guidelines in product label and storage guidelines shall be available. Appropriate safety equipment shall be provided and</p>	<p>UMW South Estate: Company has provided basic training related to pesticide, understanding material safety data sheet/MSDS, limited pesticide training, emergency condition training and first aid training. Chemical warehouse and its infrastructure is ready (see criterion 4.6.6).</p>	Comply								

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<p>utilized. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7).</p> <p>- Major compliance -</p>	<p>Standard PPE for sprayer: goggle, masker, apron, rubber glove, rubber boot. Standard PPE for chemical mixer/chemical storekeeper: faceshield, masker, apron, rubber glove, safety boot.</p> <p>Mr. Darwin, sprayer has been provided with training "Pelatihan Pestisida Terbatas" on 30th April 2015, "Pelatihan Kalibrasi Spraying" on 4th June 2015, "Pelatihan Spraying SA15" dated 6th September 2016, "Pelatihan MSDS dan Pengelolaan Limbah B3" dated 10th November 2016.</p> <p>Mr. Muliadi, Spraying team supervisor, has been provided with training "Pelatihan Pestisida Terbatas" on 26th June 2013 and 30th April 2015; "Pelatihan Kalibrasi Spraying" on 11th June 2015, "Pelatihan Spraying SA15" dated 6th September 2016, "Pelatihan MSDS dan Pengelolaan Limbah B3" dated 10th November 2016; Pelatihan Dasar Pemadam Kebakaran on 8-9th April 2016;</p> <p>Mr. Suriadi Nasution, sprayer, has been provided with training "Pelatihan Pestisida Terbatas" on 30th April 2015; "Pelatihan Kalibrasi Spraying" on 4th June 2015, "Pelatihan Spraying SA15" dated 6th September 2016, "Pelatihan MSDS dan Pengelolaan Limbah B3" dated 10th November 2016;</p> <p>TUM Estate: Training Pestisida Terbatas No.521.41/38520/PLA.S/VI/2013 for Iyus Darlina, Riki Irawan Syahputra, Roidah dated 26th June 2016 and certificate dated 15th July 2013;</p> <p>Harianto provided with Training Trunk Injection on 8th February 2017,</p>	
<p>4.6.6</p> <p>Storage of pesticides shall be according to recognised best practices. All pesticides containers shall be properly managed according to the existing regulations and or instructions enclosed on the containers (see criterion 5.3).</p> <p>- Major compliance -</p>	<p>The storage for all pesticide is in good condition. A standard storage system appears to be implemented in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri. Double lock storage dedicated for WHO type-II chemical is available. The storage is equipped with sufficient air ventilation to provide air circulation. Material Safety Data Sheet/MSDS, Hazard signs, emergency shower, secondary containment, spill kit, appropriate PPE (face shield, impermeable rubber gloves, apron and mask) is available and ready for use.</p>	<p>Comply</p>
<p>4.6.7</p> <p>Application of pesticides shall be by proven methods that minimize risk and negative impacts.</p>	<p>UMW South Estate: TUM Estate: Census form nettle caterpillar dated 25th January 2017, on block 2009K14A, whereby the nettle caterpillar found to be above economic threshold (>5 per frond).</p>	<p>Comply</p>

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- Minor compliance -	Management decided to implement trunk injection. Trunk injection record on block 2009K14A, trunk injection with <i>Starthene</i> (Acephate), dosage 15 gram per palm; active ingredients 75%; dosage 1,608 gram a.i./Ha (15 gram/palm x 143 palms/Ha); total quantity 39,251 gram trunk injection on 1 st February 2017 for block 2009K14A, 24.41 Ha.	
<p>4.6.8</p> <p>Pesticides may only be applied aerially where there is a documented justification. Surrounding communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application.</p> <p>- Major compliance -</p>	<p>UMW South Estate and TUM Estate: There is no aerial application of pesticide in the operation area of PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri.</p>	Comply
<p>4.6.9</p> <p>Evidence of training on handling pesticide for workers and scheme smallholder (if any) shall be available.</p> <p>- Minor compliance -</p>	<p>UMW South Estate: Pelatihan Pestisida Terbatas GRAMOXONE, dated 20th April 2015 Sertifikat No. 521.4/88.3/PLA.S/V/2015 – issued on 13th May 2015 for Mr. Hanafi, Mr. Doni Pranata, Mr. Suriadi Nasution, Mr. Muliadi, Mr. Darwis.</p> <p>TUM Estate: Training Pestisida Terbatas No.521.41/38520/PLA.S/VI/2013 for Mrs. Iyus Darlina, Mr. Riki Irawan Syahputra, Mrs. Roidah dated 26th June 2016 and certificate dated 15th July 2013; Harianto provided with Training Trunk Injection on 8th February 2017.</p>	Comply
<p>4.6.10</p> <p>Proof that pesticide waste has been handled as per legal regulations and understood by worker and manager, shall be demonstrated.</p> <p>- Minor compliance -</p>	<p>Company has provided training on how to handle pesticide, its container, emergency cases, etc. through provision of MSDS and hazardous waste management training.</p> <p>UMW South Estate: Mr. Darwin, sprayer has been provided with training “Pelatihan Pestisida Terbatas” on 30th April 2015, “Pelatihan Kalibrasi Spraying” on 4th June 2015, “Pelatihan Spraying SA15” dated 6th September 2016, “Pelatihan MSDS dan Pengelolaan Limbah B3” dated 10th November 2016. Mr. Muliadi, Spraying team supervisor, has been provided with training “Pelatihan Pestisida Terbatas” on 26th June 2013 and 30th April 2015; “Pelatihan Kalibrasi Spraying” on 11th June 2015, “Pelatihan Spraying SA15” dated 6th September 2016, “Pelatihan MSDS</p>	Comply

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	<p>dan Pengelolaan Limbah B3” dated 10th November 2016; Pelatihan Dasar Pemadan Kebakaran on 8-9th April 2016; Mr. Suriadi Nasution, sprayer, has been provided with training “Pelatihan Pestisida Terbatas” on 30th April 2015; “Pelatihan Kalibrasi Spraying” on 4th June 2015, “Pelatihan Spraying SA15” dated 6th September 2016, “Pelatihan MSDS dan Pengelolaan Limbah B3” dated 10th November 2016;</p> <p>TUM Estate: Training Pestisida Terbatas No.521.41/38520/PLA.S/VI/2013 for Mrs. Iyus Darlina, Mr. Riki Irawan Syahputra, Mrs. Roidah dated 26th June 2016 and certificate dated 15th July 2013; Harianto provided with Training Trunk Injection on 8th February 2017.</p>	
<p>4.6.11 Annual medical records of pesticide operators, and follow-up treatment of medical results, shall be available. - Major compliance -</p>	<p>Company provided medical checkup for all sprayers and fertilizer-related work, this includes sprayer/operator, supervisor, waterman, warehouse supervisor and truck driver. The result from medical check up has been communicated to each workers – countersigned. The result of medical check up also acknowledged by the line manager in order to take precaution on any intoxication or un-fit worker.</p> <p>UMW South Estate: Sample of medical check up result – after communicated to each worker on 23rd May 2016, by “Kilinin Anugrah Ibu – Medan”: Mrs. Salbiyah, Mrs.Ngatiem, Mrs. Leni Susanti, Mrs. Masni (fertilizer applicator) and Mr. Don Rinson Sinaga, Mr. Suriadi Nasution, Mr. Darwis, Mr. Hanafi, Mr. Muliadi (sprayer) is in condition ready-to-work.</p> <p>TUM Estate: Sample of medical check up result – after communicated to each worker on 24th May 2016 by “Klinik Anugrah Ibu – Medan”: Mrs. Deliana, Mrs. Roidah, Mrs. Iyus Darlina (fertilizer applicator) and Mr. Abdul Kadir, Mr. Riki Irawan S (sprayer) is in ready-to-work condition, no sign of intoxication. Result has been communicated to each worker.</p>	<p>Comply</p>
<p>4.6.12 Records shall be available to show that spraying is not conducted by pregnant or breast-feeding women.</p>	<p>Pregnancy check employee performed once every month, the record seen in UMW South Estate, e.g: - “Daftar Absen Tenaga Kerja Wanita Hamil dan Menyusui”, in January 2017 in Division 2. Absence worker noted: 1 breast-feeding</p>	<p>Comply</p>

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- Major compliance -	<p>from spraying worker, Mrs. EV and 2 breast-feeding manuring worker, namely Mrs. YS and Mrs. MRN. The workers have not been working for several months.</p> <p>- Daftar Absen Tenaga Kerja Wanita Hamil dan Menyusui, in January 2017 in Division 1. Absence worker noted: 1 breast-feeding from spraying worker, Mrs. EV and 1 breast-feeding manuring worker, namely Mrs. DN and 1 pregnant manuring worker Mrs. AN. The workers have not been working for several months.</p> <p>Toton Usaha Mandiri Estate has conducted the pregnancy check, e.g: report of "Pemeriksaan wanita hamil dan menyusui", in January 2017, there are 14 workers on Up keep are reported no pregnant status.</p>	
<p>Criterion 4.7:</p>		
<p>An occupational health and safety plan is documented, effectively communicated and implemented. The health and safety plan shall cover the following:</p>		
<p>4.7.1</p> <p>A health and safety policy shall be in place. A health and safety plan shall be documented and implemented, and its effectiveness monitored.</p> <p>- Major compliance -</p>	<p>PT. UMW: UMW POM: company has safety policy, safety, safety plan, morning safety briefing, toolbox meeting, fire-fighting simulation, first aid training and safety patrol.</p> <p>UMW South Estate: company has safety policy, safety, safety plan, morning safety briefing, toolbox meeting, fire-fighting simulation, first aid training and safety patrol.</p> <p>TUM Estate: Safety policy available and socialize to all workers, in whole workforce.</p>	<p>Comply</p>
<p>4.7.2</p> <p>A documented risk assessment shall be available and its implementation shall be recorded.</p> <p>- Major compliance -</p>	<p>PT. UMW: UMW POM: company has risk assessment on document "Penilaian Resiko" which are reviewed on November 24th, 2016. Covering all activities in POM operation. Risk assessment also Estate has risk assessment on document "</p> <p>UMW & TUM Estate: company has risk assessment on document "penilaian Resiko" which are reviewed on February 01st, 2017. Covering all activities in POM operation.</p>	<p>Comply</p>
<p>4.7.3</p> <p>Records of Occupational Health and Safety (OHS) program (see 4.8) and Personal Protective Equipment (PPE)</p>	<p>UMW POM: company has program OHS, including training for usage of PPE in accordance with Hazard identification</p>	<p>Comply</p>

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<p>training in accordance with the result of hazard identification and risk analysis shall be available to all workers.</p> <p>- Major compliance -</p>	<p>UMW South Estate: company has program OHS, including training for usage of PPE in accordance with Hazard identification.</p> <p>TUM Estate: OHS program available including training regarding PPE usage as result of identification and risk analysis. All employee in field operation equipped by appropriate PPE, such as rubber boots, for harvester, masker, hand gloves, and rubber boots for fertilizer applicant.</p>	
<p>4.7.4</p> <p>The responsible person(s) for occupational health and safety shall be identified and there shall be records of periodical meetings on health and safety issues.</p> <p>- Major compliance -</p>	<p>UMW POM: Company has assigned Mr. Ricky Halim and Mr. Fotulo Gulo, as approved by "Surat Keputusan Kepala Dinas Tenaga Kerja dan Transmigrasi Kabupaten Labuhan batu Selatan No. 47/P2K3/DSTKT/2016" on October 17th, 2016. Periodical meeting conducted on monthly base. Last meeting conducted in January 17th, 2017.</p> <p>UMW South Estate: company has assigned Mr. Ricky Halim as Decree number 01/P2K3/DTKT/2017 approved by head of Social office of Labuhan Batu Selatan district on January 13th, 2017. Last meeting conducted in January 17th, 2017.</p> <p>TUM Estate: Mr. HPP Siagian, assigned as responsible person for HSE implementation and monitoring, reporting to estate manager. Last meeting conducted in January 17th, 2017.</p>	<p>Comply</p>
<p>4.7.5</p> <p>A procedure for emergency and work accident shall be available in Indonesian Language; and the workers, who have attended First Aids training, are available in the working areas.</p> <p>- Minor compliance -</p>	<p>UMW POM: There is new Working Instruction of Emergency situation defined as "Tanggap Darurat" rev 1st November 2016, which additional stage to report to Senior Technical Manager. Emergency situation covered including: CPO spillage at storage tank and Mill area, and Petroleum Spillage, caustic soda spillage, retention pond spillage. Trained personnel in operation area are available and used appropriate PPE during plat visit.</p> <p>UMW South Estate: Working Instruction of Emergency situation defined as 'Tanggap Darurat' (K3/PRO/PTD/01) revised 1st June 2013. Emergency situation covered including: spillage of fertilizer, pesticide or herbicide, Fuel, oil, and lubricant, earthquake, forest and land fire, and vehicle accident. Company has</p>	<p>Comply</p>

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		<p>set of procedure</p> <ul style="list-style-type: none"> - First aid procedure (TTI/PROS/IMP/24) - Handling, reporting, and investigation of work accident (TTI/PROS/IMP/25), how to handling an accident. - Estate also conduct training for first aider for all mandores, held on November 23rd, 2016. <p>TUM Estate: Emergency training and drill conducted on August 26th, 2016. Attended by 29 persons as mandore, supervisor, field assistant, security officer, team leader, etc.</p>	
4.7.6	<p>All workers shall be provided with medical care, and covered by accident insurance (see criterion 6.5.3).</p> <p>- Minor compliance –</p>	<p>PT. UMW: All workers provided with medical care, including accident insurance based on National Insurance Scheme (BPJS Kesehatan). Company has provided a general medical check up for all worker, once a year – at minimum.</p>	Comply
4.7.7	<p>Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics.</p> <p>- Minor compliance</p>	<p>UMW POM: Company has data accumulation of occupational Injuries and lost time accident. During 2017 there are 2 accident and total lost lime 6 days, while year 2016 there were . all injuries investigated and reported to estate manager and medical department in Head Office.</p> <p>UMW South Estate: Company has data accumulation of occupational Injuries and lost time accident. During 2017 there are 2 accident and total lost lime 6 days, while year 2016 there were 21 accident and totally 89 days of lost time . all injuries investigated and reported to estate manager and medical department in Head Office.</p> <p>TUM Estate: During 2016 there is one accident in May, lost time 2 days. Accident investigated and reported to estate manager.</p>	Comply
<p>Criterion 4.8: All staff, workers, smallholders and contract workers are appropriately trained.</p>			
4.8.1	<p>Records of training program related to the aspects of RSPO Principles and Criteria shall be available.</p> <p>- Major compliance -</p>	<p>PT. UMW: UMW POM: Schedule Training Plan and Implementation 2017 is evident. The UMW POM was planned to have EHS training and aspect impact training on April – May 2017; Planing for MSDS and NFPA for laboratory,</p>	Comply

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		<p>godown, water treatment plan, boiler worker on May 2017; Supply chain training for all staff at UMW POM office planned for September 2017.</p> <p>UMW South Estate: Program Training Plan tahun 2017 is evident. The UMW South Estate was planned to have integrated pest management training on April 2017 – implemented on 11th January 2017; Pest and disease training planned for May 2017 – implemented on 11th January 2017; Training Manuring and Leaf Sampling Unit planned for May 2017; "Training Badan Koordinasi Bahaya Kebakaran untuk Lahan Gambut" planned for August 2017"; "Pelatihan panen dan Mutu Buah" planned for October 2017; "Pelatihan Water Management untuk Gambut" planned for March 2017;</p> <p>TUM Estate: Program Training 2017 is evident. Taining Pengendalian Hama Terpadu, Ganoderma planned for February 2017 – carried out in 17th January 2017 and 3rd February 2017.</p>	
4.8.2	<p>Records of training for each employee shall be maintained.</p> <p>- Minor compliance –</p>	<p>UMW POM: Nindi Prameswari (weighbridge operator) has been provided with "SOP Penerimaan" – SOP for receiving on 2nd April 2014; provided with Supply Chain training on 4th October 2016; Mr.Wawan Kurniawan, document control and processing received training on Supply Chain dated 4th October 2016; Mr.Eko Kurniawansyah, sortation/loading ramp received training on 4th October 2016;</p> <p>UMW South Estate: Mr. Darwin, sprayer has been provided with training "Pelatihan Pestisida Terbatas" on 30th April 2015, "Pelatihan Kalibrasi Spraying" on 4th June 2015, "Pelatihan Spraying SA15" dated 6th September 2016, "Pelatihan MSDS dan Pengelolaan Limbah B3" dated 10th November 2016. Mr. Muliadi, Spraying team supervisor, has been provided with training "Pelatihan Pestisida Terbatas" on 26th June 2013 and 30th April 2015; "Pelatihan Kalibrasi Spraying" on 11th June 2015, "Pelatihan Spraying SA15" dated 6th September 2016, "Pelatihan MSDS dan Pengelolaan Limbah B3" dated 10th November 2016; Pelatihan Dasar Pemadan Kebakaran on 8-9th April 2016;</p>	Comply

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		<p>Mr. Suriadi Nasution, sprayer, has been provided with training "Pelatihan Pesticida Terbatas" on 30th April 2015; "Pelatihan Kalibrasi Spraying" on 4th June 2015, "Pelatihan Spraying SA15" dated 6th September 2016, "Pelatihan MSDS dan Pengelolaan Limbah B3" dated 10th November 2016;</p> <p>TUM Estate: Abdul Kadir provided with training "Sosialisasi Pengelolaan Sampah" dated 10th December 2016; up-to-date; Deliana provided with training "Sosialisasi Code of Conduct" dated 15th December 2016; Training MSDS on 10th June 2015; Iyus Darlina provided with training "Pelatihan Pesticida Terbatas" dated 15th June 2013; Roidah provided with training "Penggunaan Knapsack sprayer SA-15" dated 6th September 2016; Riki Irawan Syahputra provided with 10 types of training, one of them "Training Censur Ganoderma" dated 19th January 2017.</p>	
Principle 5: Environmental responsibility and conservation of natural resources and biodiversity			
Criterion 5.1:			
Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.			
5.1.1	Environmental impact assessment document(s) shall be available. - Major compliance -	<p>PT. UMW: UMW POM: aspect impact assessment provided on Environmental Aspect & Impact List (UMW/POM-EMS/001(A) dated on November 15th, 2016, also can be see on RLL/RPL.</p> <p>UMW South Estate: Environmental Aspect & Impact List (UMW/POM-EMS/001(A) dated on November 10th, 2016, approved by Estate manager and available. TUM Estate: has aspect impact assessment list last updated on 10th November 2015. There is no change of process and equipment.</p>	Comply
5.1.2	Environment management plan document to prevent negative impacts, its implementation report and revision (if the identification of impact requires changes in current company's practices) shall be	<p>PT. UMW estate and POM: The company has Environmental Management and Monitoring Plan (RKL – RPL), it is submitted regularly to the national and local government every 6 months. The management and monitoring plan report is based on SEIA (AMDAL), it was checked that management</p>	Comply

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<p>available. The company's management shall appoint the responsible person(s) for the implementation of the document.</p> <p>- Minor compliance -</p>	<p>and monitoring plan is implemented and reported to local government six monthly based. Last report submitted to Environment agency of Labuhan Batu District and labuhan Batu Selatan District. Mr. Fatuho Gulo assigned as responsible person to implementation the document as deputy of mill head manager on environment</p> <p>TUM Estate: Company has Environmental Management and Monitoring Plan (RKL – RPL), it is submitted regularly to the national and local government every 6 months. Last submission held on February 3rd, 2017. Environmental Management and Monitoring Plan (RKL – RPL) permit on 2009, by decree letter number 660/324/BLH-LB/AM/2009. reported to local government six monthly based. Last report submitted to Environment agency of Labuhan Batu District and labuhan Batu Selatan District Mr. HPP Siagian assigned as responsible person to implement it.</p>	
<p>5.1.3</p> <p>Environment monitoring plan document, its implementation report, and the corrective plan (if non-conformance arised from the monitoring result) shall be available. This plan is reviewed on two-yearly basis.</p> <p>- Minor compliance –</p>	<p>PT. UMW: Company has prepared report on Environmental Management and Monitoring implementation (Laporan RKL-RPL) and sent report every 6 month to local government, e.g RKL-RPL report semester II 2016 (Period July – December 2016), base on reported by receipts from the Office Dishutubun South Labuhan Batu, the report is RKL - RPL second semester / 2016, dated 1st February 2017. Management and monitoring plan based on AMDAL have been covered in regular report of RKL / RPL.</p> <p>Management Plan in accordance with impacts that have been identified in the EIA / UKL-UPL, such as:</p> <ol style="list-style-type: none"> 1. The impact of a decrease in air quality 2. Impact of surface water quality degradation 3. Waste 4. Hazardous waste (B3) 5. Soil and water conservation. 6. Household waste 7. Community Development 8. Job opportunities, 9. Public health <p>Monitoring the plan in accordance with the impact that it has identified in the EIA / UKL-UPL, such as:</p> <ol style="list-style-type: none"> 1. Monitoring of the odor. 2. Emission 3. Noise 4. Water quality 	<p>Comply</p>

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		<p>5. Quality of waste 6. HCV areas 7. Fire 8. The employment and business opportunities 9. Attitudes and perceptions on health, the environment,</p> <p>TUM Estate: Company has prepared report on Environmental Management and Monitoring implementation (Laporan RKL-RPL) and sent report every 6 month to local government, e.g RKL-RPL report semester II 2016 (Period July – December 2016, dated 3rd February 2017.</p>	
<p>Criterion 5.2:</p> <p>The status of rare, threatened or endangered species and other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and operations managed to best ensure that they are maintained and/or enhanced.</p>			
5.2.1	<p>Record(s) on the results of High Conservation Value (HCV assessment) that includes both the planted area and the relevant wider landscape-level considerations (such as wildlife corridors) shall be available.</p> <p>- Major compliance -</p>	<p>PT. Umbul Mas Wisesa (UMW) has identified by "Yayasan Kelapa Sawit Berkelanjutan" in 2009, referring "Indonesian HCV Toolkit, 2008". Total HCV areas was identified is 196.09 Ha and consist of 167 Ha is <i>Hutan Konversi</i> and riparian covering 20.79 Ha – in form of wildlife corridor.</p> <p>PT. Toton Usaha Mandiri (TUM) has identified High Conservation Value (HCV) in 2009 conducted by the Foundation for Sustainable Palm Oil Indonesia (YASBI) as outlined in the Assessment Report HCV/HCV PT. Toton Usaha Mandiri in 2009. In the report described the HCV areas found in working area of PT. TUM i.e. HCV 1, HCV 3 and HCV 4 with a total area of 57.5 Ha in the form of conservation forest area of 39.30 hectares, Border drain and corridors covering an area of 2.38 hectares.</p> <p>Public Consultation to the surrounding community have been conducted on 18th November 2009 at the Office of PT UMW, which was attended by representatives of leaders 'local community', the sub-district and the villages (Desa Tanjung Mulia, Sei Toras, Sei Siarti) in accordance with the document "Notulensi Publik Penilaian Nilai Konservasi Tinggi –NKT (HCV)".</p>	Comply
5.2.2	<p>Where rare, threatened or endangered (RTE) species and or other HCVs are present or affected by the plantation and mill operations, an appropriate measures that are expected to maintain or enhance them shall be implemented through a</p>	<p>PT. Umbul Mas Wisesa (UMW) has established procedur for identification HCV; "Prosedur Identiikasi Flora dan Fauna", No. ENC/SOP/09, dated 1st December 2013.</p> <p>Also made a work instruction (WI), that is: Work Instruction (WI) for: Patroli Areal NKT (HCV Areal), Conservation Corridor Maintenance, Camera Trap Setting, setup</p>	Comply

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<p>management plan. - Major compliance -</p>	<p>Camera Trap.</p> <p>Based on identification of HCV in 2009, that identified 16 species of mammals, such as: "Babi hutan" (<i>Sus verrucoccus</i>), "Musang" (<i>Paradoxurus hermaphrodites</i>), "Siamang" (<i>Symphalangus syndactylus</i>), "Beruk" (<i>Macaca nemestrina</i>), "Berang-berang" (<i>Prionodon linsang</i>), "Macan akar" (<i>Felis bengalensis</i>), Harimau Sumatera (<i>Panthera tigris sumatrae</i>), "Beruang Madu" (<i>Helarctos malajanus</i>), "Kia-kia" (<i>Presbytis thomasi margae</i>), "Kera" (<i>Macaca fascicularis</i>), "Bajing terbang" (<i>Calotes jubatus</i>), "Kalong" (<i>Pterropus vampyrus</i>), "Kukang" (<i>Nycticebus coucang</i>), Landak (<i>Hystrix brachyurum</i>), "Trenggiling" (<i>Manis javanica</i>) and "Tupai" (<i>Tupaia sp.</i>) For bird species found 33 kinds, such as: <i>Cerocok/Pycnonotus goiavier</i>, <i>Emprit bondol/Lonchura</i>, <i>Balam/Geopelia striata</i>, <i>Walet/Hirundo tahitica</i>, <i>Gagak/Corvus enca</i>, <i>Pelatuk/Picus miniaceus</i>, <i>Jalak/Sturnus contra jala</i>, <i>Alap-alap/Falco peregrinus</i>, <i>Burung Hantu/Tyto alba</i>, <i>Murai batu/Monticola solitaries</i>, <i>Rangkok/Aceros undulates</i> and 11 types Reptile such as: <i>Ular Lidi/Ptyas koros</i>, <i>Tokek/Gecko gecko</i>, <i>Bunglon/Myrmeleon sp</i>, <i>Kadal/Mabouja multifasciata</i>, <i>Biawak/Varanus salvator</i>, <i>Ular sawah/Maticora bivirgata</i> etc.</p> <p>Based HCV assessment documents in 2009, identified 27 types of plants such as: <i>Pasak Lingga/Dysoxylum sp</i>, <i>Kempas/Koompasia exelsa</i>, <i>Arang-arang/Dyospyros borneensis</i>, <i>Beringin/Ficus benjamina</i>, <i>Rengas/Gluta renghas</i>, <i>Anggrung/Trema orientalis</i>, <i>Meranti putih/Shorea lamellate</i>, <i>Meranti Merah/Shorea ovalis</i>, <i>Halaban/Vitex pubescens</i>, <i>Landas/Macaranga sp</i>, <i>Kayu Sunte/Shorea gibbosa</i>, <i>Mayang susu/Shorea lamellate</i>, <i>Rotan/Calamus sp</i>, <i>Kandis/Tamarindus sp</i>, <i>Jelutung/Dyera costulata</i>, <i>Tembesu/Frgraea fragrans</i>, <i>Punak/Tetramerista glabra</i> etc.</p> <p>Based on the field in the wildlife corridor (UMW North Block J20 / K20) which connects the area HCV in PT. Umbul Mas Wisesa and HCV yanbg area is in PT. Toton Usaha Mandiri indicates that the company has made the management of HCV areas include; - It has been installed board HCV identification and warning signs ban on hunting, damage the tree. - Have done the restoration project by planting "Meranti Merah", "Bintangur", "Meranti Batu",</p>	

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		<p>"Pulai" and "Mayang".</p> <p>The management and monitoring plan, covering monitoring of HCV area, socialization to the internal and local communities, restoration and displayed sign board. "Program Pengelolaan NKT PT. Umbul Mas Wisesa North and PT. TUM 2016 – 2017" is evident. The HCV management plan including jungle guard patrol on two weeks interval, upkeep HCV corridor once in two months, planting on corridor each month, upkeep HCV notice board once every two months, upkeep HCV poles 30 units every two months, upkeep HCV corridor 4 units every other month.</p>	
5.2.3	<p>Program(s) to socialize the status of protected, rare, threatened or endangered (RTE) to all workers shall be available, including records of appropriate sanction disciplinary measures to any individual working for the company who is found to capture, harm, collect or kill these species.</p> <p>- Minor compliance –</p>	<p>Company initiated "Pelatihan dan Identifikasi Tumbuhan-Satwa Liar di Areal Perkebunan dan Upaya Konservasi pada Habitatnya di Perkebunan PT. Umbul Mas Wisesa dan PT. Toton Usaha Mandiri" dated 6-7th November 2016. The training was attended by 38 workers from PT. UMW dan PT. TUM.</p> <p>TUM Estate: Training Pengelolaan NKT for all workers dated 11th November 2016 for 40 employees, whereby 6 TUM Estate employees present.</p>	Comply
5.2.4	<p>Once the management plan is prepared, continuous monitoring documentation and report regarding the status of the RTE and HCVs are affected by the operations of the plantation and palm oil mill shall be available, and the results of monitoring are to be used to follow-up on the improvement of the management plan.</p> <p>- Minor compliance –</p>	<p>The company has established Program Management of HCV PT. UMW-North and PT. TUM 2015 and 2016 consists of seven types of activities, for example Patrol Jungle Guard, Up Keep Corridor HCV, Planting Areas HCV-Corridor, Installation and Monitoring Camera Trap, maintenance board warning NKT, maintenance peg HCV, and the HCV Corridor peg.</p> <p>PT. UMW has been installing Identity signboard HCV in 8 places, for example: Block J22, H24, H18 and K20. Also made the installation of Identity signboard HCV in 3 places (Block K21, K20).</p> <p>Based on interviews and field visits in the village of Tanjung Mulia showed that PT. UMW has communicated the HCV management program, including the types of flora and fauna are protected, for example posters fauna protected in Tanjung Mulia.</p> <p>PT. UMW and PT. TUM has appointed special officers to manage Areal HCV is Mr. Arbiyah Mutholib (Coordinator), Erwin Syahputra (Ranger – Water management team), Rivai Hamdani (Ranger – Water Management team) in accordance with the Memorandum UMW-N dated 22nd August 2013. The Company has established Job Description Position: Field</p>	Comply

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		<p>Conservation Technician ("Rangers") that describes the job description, responsibilities and procedures for their work relationship.</p> <p>Report on the monitoring of flora and fauna contained in "Laporan Kegiatan Pengelolaan Area Bernilai Konservasi Tinggi Periode Mei-Desember 2016 in PT. Umbul Mas Wisesa dan PT. Toton Usaha Mandiri" reported to the "Badan Konservasi Sumber Daya Alam/BKSDA Kabupaten Labuhan Batu Selatan". The report explains all activities by team in May – December 2016, including: monitoring of wildlife and flora; eradication of threat in HCV area (wild animal snares, fish net, etc.); controlling Mucuna bracteata in HCV corridor; planting and upkeep forest/native species trees, such as "Trembesi" (Albizia saman), "Ketapang" (Terminalia catappa), "Meranti" (Shorea sp), "Tenggek Burung" (Euodia ridleyi) and "Kayu Ara" (Ficus sp.) during September – December 2016.</p>	
5.2.5	<p>Where HCV areas overlapped with an identified local community's land, there shall be evidence of a negotiated agreement that optimally safeguard their HCVs and the local community's rights.</p> <p>- Minor compliance –</p>	<p>Based on the verification of documents, site visits and interviews with local communities showed that no area of HCV has been established by PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri are in the possession of other parties, including the surrounding communities.</p>	Comply
<p>Criterion 5.3: Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.</p>			
5.3.1	<p>A documented identified source of all waste and pollution, shall be available.</p> <p>- Major compliance -</p>	<p>PT. UMW POM and ESatate The company has a waste management plan, identifying type and source of waste which documented in "Environmental Aspect and Impact List (Daftar Aspek dan Pengaruh Lingkungan)", includes all activities performed in the field (Field), Employment (Housing complex), Warehouse, Engine room, Incinerator, office, etc</p> <p>TUM Estate: The company has a waste management plan, identifying type and source of waste which documented in "Environmental Aspect and Impact List (Daftar Aspek dan Pengaruh Lingkungan)", includes all activities performed in the field (Field), Employment (Housing complex), Warehouse, Engine room, Incinerator, office, etc</p>	Comply
5.3.2	<p>There shall be evidence that all</p>	<p>PT. UMW: The company store hazardous waste in</p>	Comply

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<p>chemicals and their empty containers are disposed of responsibly.</p> <p>- Major compliance -</p>	<p>temporary storage with permit, The hazardous waste is sent to the registered collector which approved by Environmental Ministry, namely CV. Amindy Barokah.</p> <p>Permits storage of waste B3 of the Regent South Labuhan Batu number 155 year 2012, on the B3 waste storage permit Oil Palm Plantation's. PT. UMW, (valid 5 years until July 20th, 2017).</p> <p>Chemical and their containers are stored in Storage of Hazardous within 180 days as regulated in "B3 waste storage permit" before disposed to the registered collector roomates approved by the Environmental Ministry items, namely: CV. Amindy Barokah.</p> <p>Record of hazardous waste is maintained, the record is updated monthly in "Hazardous Waste Balancing Stock" and Also Reported to the local government every three months, and incorporated in RKL - RPL report.</p> <table border="1" data-bbox="726 1120 1233 1366"> <thead> <tr> <th>Manifest No.</th> <th>Hazardous Waste</th> <th>Quantity</th> </tr> </thead> <tbody> <tr> <td>0000361</td> <td>Used filter</td> <td>168 kg</td> </tr> <tr> <td>0000429</td> <td>Used Oil</td> <td>2200 kg</td> </tr> <tr> <td>0000430</td> <td>Used Accu</td> <td>140 kg</td> </tr> <tr> <td>0000431</td> <td>Used Tonner</td> <td>10 kg</td> </tr> <tr> <td>0000432</td> <td>Contaminated goods</td> <td>400.3 kg</td> </tr> <tr> <td>0000432</td> <td>Medical waste</td> <td>5.2 kg</td> </tr> </tbody> </table> <p>TUM Estate: all chemical sent to UMW south before sending by UMW to second parties (Amindy Barokah) as approved hazardous waste collector and transporter.</p>	Manifest No.	Hazardous Waste	Quantity	0000361	Used filter	168 kg	0000429	Used Oil	2200 kg	0000430	Used Accu	140 kg	0000431	Used Tonner	10 kg	0000432	Contaminated goods	400.3 kg	0000432	Medical waste	5.2 kg	
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<p>5.3.3</p> <p>A documented waste management plan to avoid or reduce pollution and its implementation shall be available.</p> <p>- Minor compliance –</p>	<p>PT. UMW: Waste management plan is documented in procedure "Pengelolaan Sampah" and "Rencana Pengelolaan Limbah". Waste management consists of domestic waste, to reduce pollution to the environment. Organic and inorganic waste sent to landfill and then covered with soil. For medical waste, and other type hazardous waste (waste oil, empty chemical container, contaminated material, battery, etc) regulated as per procedure "Penyimpanan Limbah Bahan Berbahaya dan Beracun (Limbah B3) dan Tanggap Darurat". The hazardous waste stored in a dedicated storage completed with alarm, spill kit, secondary containment and PPE for operator. B3 waste handling PT TUM and UMW-North</p>	<p>Comply</p>																					

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		delivered every week to place the B3 waste storage located in UMW-South, who has permission to store hazardous waste.	
Criterion 5.4: Efficiency of fossil fuel use and the use of renewable energy is optimised.			
5.4.1	A plan for improving efficiency of the use of fossil fuels and to optimize renewable energy shall be in place and monitored. - Minor compliance –	<p>UMW POM: Fossil fuel usage for Genset is decreasing significantly due to Biogas Plant, e.g. in December 2015: source of energy in Mill (Genset 26.01 %: Steam Turbine 73.99 %). EFB Fibre, FFB Fibre and shell also use for boiler is recorded in "Rekaman Monitoring Penggunaan Energi Terbarukan". The record is Monthly basis. E.g, December 2016:</p> <ul style="list-style-type: none"> - FFB process: 12,239 ton - Fibre: 1,591 ton - Shell: 734 ton - Total Nett Calorie Value (NCR: 6,156,343,253 Kcal) <p>Equivalent to HSD: 586,318 Kcal/kg (NCV 10,500 Kcal/kg) Energi/Kgs CPO: 2,119 Kcal/Kgs CPO</p>	Comply
Criterion 5.5: Use of fire for preparing land or replanting is avoided, except in specific situations as identified in the ASEAN guidelines or other regional best practice.			
5.5.1	Records of land clearing with zero burning shall be available, referring to the ASEAN Policy on Zero Burning (2003) or other recognised techniques based on the existing regulations. - Major compliance -	<p>UMW South Estate: No open burning was noted during field visit and interviewed with local communities and workers. "Prosedur Pencegahan dan Pengendalian Kebakaran Lahan" No.ENC/SOP/10 dated 1st February 2014 for prevention and control of fire. PT UMW and PT. TUM is using fire danger rating; risk differed by number of rainy day, rain fall, and or occurrence of fire at boundary.</p> <p>Umbul Mas Wisesa and Toton Usaha Mandiri Estate: Laporan Patroli Ranger December 2016, shows no fire.</p>	Comply
5.5.2	Where fire has been used for eradication of pest during replanting, the records of the analysis of the use of fire and permit from the authorised agency shall be available. - Minor compliance -	No replanting. No open burning was noted for replanting.	Comply
Criterion 5.6:			

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Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.			
5.6.1	Document(s) assessing pollution and emission sources, including gaseous, particles, soot emissions and effluent, shall be available. (see Criterion 4.4) - Major compliance -	PT. UMW: The company has developed pollution and emission reduction plan. The plan covers planning, implementing plans and monitoring activities generating pollution and emission. PT UMW and PT TUM plantation are located on 100% peat soil. No POME application/Land application permitted for plantation in peat soil. Identification of pollution and emission sources recorded under Environmental Aspect & Impact List (Daftar Aspek & Pengaruh Lingkungan). The identification listed all relevant activities that generate pollution and emission from office, plantations, palm oil mill, mill effluent treatment up to workers activities.	Comply
5.6.2	Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plan to reduce or minimize them implemented. - Major compliance -	PT. UMW: Identification of pollutant and mitigation plan, included GHG is documented in "Rencana Pengurangan Emisi Gas Rumah Kaca (GHG Emission) as defined in procedure of "Mitigasi Gas Rumah Kaca" (ENC/GHG/01. GHG emission identified and Mitigation of GHG.	Comply
5.6.3	A monitoring plan and results of regular reporting on emission and pollutants from estate and mill operations using appropriate methods, shall be available. - Minor compliance –	PT. UMW: The company has prepared a strategy in effort to reduce and mitigate pollution and emission. Monitoring of pollution and emission quality for plantation has been planned and implemented, e.g. monitoring water level and subsidence in pet area, air quality ambient for boiler and Genset, water quality test for surface and ground water, effluent water quality, noise level, etc. The monitoring result is incorporated in RKL/RPL and reported regularly to the government. GHG emission calculated base on RSPO PalmGHG Toolkit, it was seen that the total emission is 12.31 ton CO ₂ equivalent/ton CPO in 2016. <i>See Appendix I. PalmGHG Calculation.</i>	Comply

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

Criterion 6.1:

Aspects of plantation and mill management that have social impacts, including replanting, are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made,

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implemented and monitored, to demonstrate continual improvement.		
<p>6.1.1</p> <p>A social impact assessment (SIA) including records of meetings shall be documented.</p> <p>- Major compliance -</p>	<p>AMDAL documents have been provided where the parameters studied included the social aspect.</p> <p>PT. UMW and PT. TUM have a Document Social Impact Assessment conducted by the team of the Faculty of Forestry IPB in 2014 with the composition of the team: Handian Purwawangsa, S. Hut, M.Si (Team Leader), Udi Kusnidar, Sulfan Ardiansyah, Jimmy Syahrasyid outlining Impact positive and Negative development of plantation PT UMW – PT TUM incorporating Matrix PT UMW – PT TUM Social Management Plan consists of; Tenure, Establish communications and networking with stakeholders ang associated with PT UMW, Improving the quality of public education, public Health Quality Improvement, community economic empowerment and employment).</p> <p>In the SIA document described the Social Management Plan that outlines the type Programs, Activities, challenges, opportunities, strategies, output / Outputs and time frame.</p> <p>Community involvement at the time of preparation of the document through Focus Group Discussion (FGD) with community, such as:</p> <ul style="list-style-type: none"> - FGD in Sei Siarti village on February 15, 2014 which was attended by 26 participants, - PGD in Tanjung Mulia village on 16th February 2014 which was attended by 19 participants, - FGD with employees of PT UMW-S which took place on 14th February 2014 which was attended by 25 participants, - FGD with employees of PT UMW-North and PT TUM conducted on 15th February 2014 which was attended by 32 participants. <p>Documentation and attendance list are available.</p>	<p>Comply</p>
<p>6.1.2</p> <p>There shall be evidence that the assessment has been conducted with the participation of affected parties.</p> <p>- Major compliance -</p>	<p>Community involvement at the time of preparation of the document through Focus Group Discussion (FGD) with community, such as:</p> <ul style="list-style-type: none"> - FGD in Sei Siarti village on February 15, 2014 which was attended by 26 participants, - PGD in Tanjung Mulia village on 16th February 2014 which was attended by 19 participants, - FGD with employees of PT UMW-S which took place on 14th February 2014 which 	<p>Comply</p>

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	<p>was attended by 25 participants,</p> <ul style="list-style-type: none"> - FGD with employees of PT UMW-North and PT TUM conducted on 15th February 2014 which was attended by 32 participants. Documentation and attendance list are available. <p>Inside the report has described social aspects such as the Improvement of the regional economy, employment opportunities and business opportunities, public and social facilities and the improvement of people's perceptions about the relationship with the community.</p> <p>Community involvements in monitoring social impact in the form of interviews with the parties affected are equipped with interview form Doc No. ENC/DOC/2012, rev 3, dated 1st May 2015. The record seen: from interview with community for social aspect, on 4th November 2016, namely Mr Sido, Mr Wilson, Mr Haris, etc.</p> <p>The Company has consistently been preparing the Report of the RKL-RPL once every 6 months and submitted to the relevant government agency, record seen: Reports Second Half in 2016 has been submitted to the Environment Agency Labuhan Batu regency South in accordance with the receipt of documents by BLH Regency of South Labuhan Batu dated 6th February 2017 according to the letter No.161/UMWS/Inst/II/2017 (cc: BLH Labuhanbatu Selatan, Disbun Labuhanbatu Selatan, KLH Propinsi Sumatera Utara dan KLH Jakarta) and for TUM Estate No.01/TUME/KLH-LB/I/2017, dated 3rd February 2017 and acceptance by Dinas Lingkungan Hidup Labuhanbatu on 6th February 2017.</p>	
<p>6.1.3</p>	<p>Plans for management and monitoring of social impacts to avoid or reduce negative impacts and promote positive ones, based on social impact assessment, through consultation with the affected parties, shall be available, documented and timetabled, including responsibilities for implementation.</p> <ul style="list-style-type: none"> - Major compliance - <p>Based on the verification of documents SIA shows that the report has been equipped with a management plan social recommended to increase the positive impacts and minimize the negative impact of oil palm plantation development by involving the affected communities as in table IX-1. "Rencana Kelola Sosial PT. Umbul Mas Wisesa", including the type of programs, activities, challenges, opportunities, strategies, outcomes and due date implementation of the program.</p> <p>For PT. Toton Usaha Mandiri has development the plans for management and monitoring of social impacts to avoid or reduce negative impacts and promote positive ones as in table IX-1. "Rencana Kelola Sosial PT. Toton Usaha Mandiri", including the type of programs,</p>	<p>Comply</p>

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		activities, challenges, opportunities, strategies, outcomes and due date implementation of the program.	
6.1.4	<p>The documented plan for management and monitoring of social impacts, shall be reviewed at least on two-yearly basis. If necessary, the plan should be updated. There shall be evidence that the review process includes participation of all affected parties.</p> <p>- Minor compliance –</p>	<p>Companies (both of PT. UMW and PT. TUM) regularly evaluate the implementation of the social - environmental management and monitoring plan under RKL-RPL every 6 months. However, should there is a change of operational activities that relates to specific evaluation of AMDAL documents, such as changes in the capacity of MCC and construction of Biogas Plan has conducted the environmental assessment as outlined in the "Dokumen Adendum Analisa Dampak Lingkungan Hidup (AMDAL)", RKL-RPL activities waste water treatment changes based Clean Development Mechanism (CDM) and changes in solid waste processing mill of PT. UMW in Sei Siarti "and has been endorsed by the Governor of Sumatra Utara through Decree No. 188.44/430/KPTS/2013, dated 10th July 2013.</p> <p>PT. UMW and PT. TUM has performed the review on social-environmental management and monitoring plan for first and second half year 2015, year 2016. The review and evaluation has taken into consideration inputs from stakeholders such as cooperative members, local community, etc.</p> <p>Record seen:</p> <ul style="list-style-type: none"> - PT UMW: Reports of implementation on social environmental management and monitoring plans for second half in 2016 has been submitted to the "Badan Lingkungan Hidup Kabupaten Labuhan Batu Selatan" in accordance with the receipt of documents, dated 6th February 2017 according to the letter No. 161/UMWS/Inst/II/2017 (cc: BLH Labuhanbatu Selatan, Disbun Labuhanbatu Selatan, KLH Propinsi Sumatera Utara dan KLH Jakarta); - PT TUM - TUM Estate: Reports Second Half in 2016 accordance with letter No.01/TUME/KLH-LB/I/2017, dated 3rd February 2017 and acceptance by "Dinas Lingkungan Hidup Kabupaten Labuhanbatu" on 6th February 2017. 	Comply
6.1.5	Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme).	<p>PT. Umbul Mas Wisesa has appointed staff, which responsible to provide guidance to smallholder member.</p> <p>The partnership between company and KSU Suka Makmur in form of FFB pruchase from community. Since end of 2016, company has a</p>	Comply

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<p>- Minor compliance –</p>	<p>policy to only purchase certified FFB, however the partnership in FFB purchase with PT. Umbul Mas Wisesa remains ongoing. Tutorial and guidance from company is helping farmer member. The guidance provided such as integrated pest management, manual upkeep, fertilizer regime and harvesting rotation.</p>	
<p>Criterion 6.2: There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.</p>		
<p>6.2.1</p>	<p>Communication and consultation procedures shall be documented.</p> <p>- Major compliance -</p> <p>The company has a mechanism that regulates the activities of communication and consultation with stakeholders and set in the procedure, such as:</p> <ol style="list-style-type: none"> 1. Procedure: <i>Pemberian dan Tanggapan terhadap Permintaan Informasi</i>; Rev. I (Doc. No. ENC/SOP/08) dated 5th September 2014 which regulates the complete procedure for submission and responding to requests for information from stakeholders. 2. Procedure: <i>Keluh Kesah dengan Pihak Internal</i>, Rev II (Doc. No. SOP/025/ Dept) dated 27th March 2015, which has been described in detail the procedures related to complaints and redress submitted by the parties, incorporating internal flow chart in response to complaints <p>Procedure: <i>Keluh Kesah dengan Pihak Eksternal</i>, Rev II (Doc. No. SOP/026/ HRA) dated 27th March 2015 which has been describe in detail the procedures related to complaints and redress submitted by external parties that are equipped with a flow chart in response to complaints.</p> <p>Responsible Person in conducting responses to information requests in accordance with its authority (Manager Unit, GMO and Department Head), system response times to requests for information that is set up to 7 days if the responses are in authority Manager Unit, or a maximum of 25 working days if the information requires consultation of other departments or higher management levels associated with authority provide feedback information.</p> <p>Umbul Mas Wisesa POM: Based on the verification of documents "Buku Permintaan Informasi dan Tanggapan" in 2016, there are 3 types of incoming information requests at Umbul Mas Wisesa</p>	<p>Comply</p>

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	<p>POM for example;</p> <ol style="list-style-type: none"> 1. Request information for jobs of care delivered by DISNAKER Labuhan Batu Selatan, on 14th April 2016 and has been addressed by the company stating Training of pesawat angkat angkut conducting on 29-31st May 2016 2. Requests for information submitted by Dinas Kehutanan dan Perkebunan on 9 June 2016 relating to a request for information CPO production in 2015, and has been responded on 13th June 2016 <p>Based on record verification of "Rekaman Keluh Kesah Internal dan Eksternal", in 2016, there are 4 types of incoming grievances at Umbul Mas Wisesa POM for example: Grievance from Mr Agung N, on 19th July 2016 related to "perbaikan lantai dapur kamar mandi", responded by Mill Manager on stating "akan dilakukan perbaikan di bulan Agustus 2016. Status closed on 8th September 2016.</p> <p>UMW South Estate; Based on the verification of documents of "Information Request and Answer – Permintaan Informasi dan Jawaban", in 2016 there are 9 types of incoming information requests at Umbul Mas Wisesa South Estate for example;</p> <ol style="list-style-type: none"> 1. Requests for information from Mr Mukhtar Nasution (head village in Tanjung Mulia) on 13th June 2016 relating to a request for information of job vacancy, and has been responded on 13th June 2016 by Estate Manager. 2. Requests for information from Mr Sutrisna, SH (Pembina Tingkat I Disnaker) on 17th January 2017, relating to invitation on socialization minimum wage in 2017 in office of DISNAKER Labuhan Batu Selatan, responded by estate manager with stating on confirmed these invitation. <p>Based on record verification of "Rekaman Keluh Kesah Internal dan Eksternal", in 2016, there are 4 types of incoming grievances at Umbul Mas Wisesa South Estate for example: Grievance from Mr Paino (internal grievance), on 3rd October 2016 related to "perbaikan lantai kamar", responded by Estate Manager on stating "telah dilakukan perbaikan lantai kamar with papan 1X9: 3 lembar Status closed on 3rd October 2016.</p> <p>TUM Estate: Based on verification of "Rekaman Keluh Kesaaah External dan Internal" in 2016, there</p>	

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	<p>are 3 type of incoming grievances at Toton Usaha Mandiri, e.g: On 19th September 2016, from Mr Robin Gofur (staff in TUM), related to request on used the housing for contractor transport. Responded and approved by Estate Manager on 20th September 2016.</p>	
<p>6.2.2</p> <p>The company shall have official(s) who is responsible for consultation and communications with parties.</p> <p>- Minor compliance -</p>	<p>Based on SOP No. ENC/SOP/08 (procedure of information request and response) revision 02, dated 6th April 2016 that according to the structure of the organization that is responsible to receive and make responses to requests for information or complaints internally/externally is Manager. However, in the operations in each of the Estate indicates that an FHA also appointed Senior Manager (Field Head Assistant) and OA (Office Assistant) for communication with the surrounding community.</p>	<p>Comply</p>
<p>6.2.3</p> <p>The company shall have a list of stakeholders, records of communications, including confirmation of receipt and that efforts are made to ensure understanding by affected parties, and records of actions taken in response to input from stakeholders.</p> <p>- Minor compliance -</p>	<p>The company has list of stakeholders, updated when changes occurred.</p> <p>Umbul Mas Wisesa POM has shown the list of stakeholders, last updated on 5th January 2017, the classifying stakeholders into:</p> <ol style="list-style-type: none"> 1. South Labuhan Batu district government office consists of 8 stakeholders such as the Department of Labor, the Agriculture Agency and Environment Agency etc. 2. MUSPIKA consists of Head Middle Panai, Kapolsek Labuhan Bilik, Danramil Labuhan Bilik, and Chief of Police. 3. Village Head Sei Siarti, Head of Sidomulyo, Head of Sidorukun 4. Unions (Serikat Pekerja Umbul Mandiri SPUM) 5. Contractors consist of Cooperative Jasa Karyawan, CV Tua Gabe, CV Silvi, PT Triroyal Timuraya and Pengangkutan Sahabat. 6. Supplier; CV Tua Gabe. <p>Umbul Mas Wisesa South Estate has shown the list of stakeholders, last updated 3rd February 2017, the classifying stakeholders into:</p> <ol style="list-style-type: none"> 1. South Labuhan Batu district government office consists of 8 stakeholders such as the Department of Labor, the Agriculture Agency and Environment Agency etc. 2. MUSPIKA consists of Head Middle Panai, Kapolsek Labuhan Bilik, Danramil Labuhan Bilik, and Chief of Police. 3. Village Head Sei Siarti, Head of Sidomulyo, Head of Sidorukun 4. Unions (Serikat Pekerja Umbul Mandiri 	<p>Comply</p>

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		<p>SPUM)</p> <p>5. Contractors consist of Cooperative Jasa Karyawan, CV Tua Gabe, CV Ziefa Karya, CV Sibinurang 71, CV Putra Kualuh and Koperasi Jaya Karyawan</p> <p>6. Supplier; CV Tua Gabe and PT Inti Cakrawala Citra.</p> <p>Toton Usaha Mandiri Estate has shown the list of stakeholders, last updated 3rd January 2017, the classifying stakeholders into:</p> <p>32. South Labuhan Batu district government office consists of 8 stakeholders such as the Department of Labor, the Agriculture Agency and Environment Agency, Hospital in Rantau Prapat etc</p> <p>33. MUSPIKA consists of Head Middle Panai, Kapolsek Labuhan Bilik, Danramil Labuhan Bilik, and Chief of Police in Rantau Prapat.</p> <p>34. Village Head Sei Siarti,</p> <p>35. Unions (Serikat Pekerja Toton Mandiri)</p> <p>36. Contractors consist of CV Sibinurang, CV Tua Gabe and CV Firma.</p> <p>37. Supplier; Koperasi Jasa Karyawan Toton Usaha Mandiri</p> <p>Based on interview with community of Tanjung Mulia Villages, KSU Suka Makmur stating that the communication with company is going well. Access to information is relative easy. The company has appointed an officer to communicate with stakeholders by Estate manager, Office Assisstant and Field Head Assisstant.</p>	
<p>Criterion 6.3:</p> <p>There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all effected parties.</p>			
6.3.1	<p>The mechanism, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistleblowers, where requested, as long as that information is supported with adequate initial evidence.</p> <p>- Major compliance -</p>	<p>Based on document verification, PT. UMW and PT. TUM has a mechanism to resolve disputes such as "Prosedur Ganti Rugi Lahan" No. SOP/CA/02, dated 1st July 2012. The procedure shows company has prepared effective land dispute resolution mechanism: Company being transparent on permits, licenses including land title to the community; In case of claim from community, company will cater as long as valid land ownership evidence presented; Status verification – when valid land ownership evidence presented, continued with field visit/survey and measurement; Field visit/survey and measurement will involve company representative, complainant and government representatives; Based on field visit/survey</p>	Comply

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		<p>and measurement, a minutes will be produced, attaching the hectare and coordinates of the claimed land – signed by all interested parties; Final verification to ensure no overlapping with other party; Once final verification can justified no overlapping occurred, company will propose land compensation/negotiation; Payment will be done once agreement between parties made.</p> <p>Internal complaint will be settled as per “Prosedur Keluh Kesah dengan Pihak Internal” No.SOP/025/Dept dated 27th March 2015.</p> <p>External complaint/grievance will be handled through, as per “Prosedur Keluh Kesah dengan Pihak Eksternal” Doc. No. SOP/025/Dept) dated 27th March 2015.</p> <p>Inside these procedures, company states the commitment to protect the anonymity of complainant/whistleblower (point 6.2) – if requested.</p>	
6.3.2	<p>There shall be records of process and outcome of dispute resolution.</p> <p>- Major compliance -</p>	<p>Based on document verification and public stakeholder consultation with relevant authorities (Plantation service, Manpower service and Environmental), Worker union, Local contractor and Air Dikit traditional leader; shows there has been no land dispute between local community and company.</p> <p>Based on record verification of “Rekaman Keluh Kesah Internal dan Eksternal”, in 2016, there are 4 types of incoming grievances at Umbul Mas Wisesa POM for example: Grievance from Mr Agung N, on 19th July 2016 related to “perbaikan lantai dapur kamar mandi”, responded by Mill Manager on stating “akan dilakukan perbaikan di bulan Agustus 2016. Status closed on 8th September 2016.</p>	Comply
<p>Criterion 6.4:</p> <p>Any negotiations concerning compensation for loss of legal, customary or user rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.</p>			
6.4.1	<p>A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be available, referring to decision of the Constitution Court.</p> <p>- Major compliance –</p>	<p>There is no new development in UMW and TUM Estate. However, company has a mechanism to settle land dispute as per “Prosedur Ganti Rugi Lahan” No.SOP/CA/02 dated 1st July 2012. Based on public stakeholder consultation with relevant stakeholders, there has been no report related to land conflict/land dispute between local community and company.</p>	Comply
6.4.2	<p>A procedure for calculating and distributing fair compensation shall be established, implemented, monitored and evaluated in a</p>	<p>PT. UMW and PT. TUM has completed the restitution of land and has no plans expansion/new land clearing so no land compensation process. Based on the</p>	Comply

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<p>participatory way. Corrective actions are taken as a result of this evaluation.</p> <p>- Minor compliance –</p>	<p>verification of legal documents and the results of public consultation with village leaders around the state that no land dispute between the Company and other parties, including the surrounding communities. However, in anticipation of handling land disputes problems the company has had land dispute resolution mechanisms as set out in "Prosedur Ganti Rugi Lahan" No. SOP/CA/02, dated 1st July 2012. Its has been described mechanism for resolution of land compensation through the FPIC process (socialization), Document Verification and UKTI Land Rights Review and Measurement of land alongside joint mapping, Price Negotiation "Ganti Rugi Tanam Tumbuh/GRTT". Completeness RGTT are as follows; Application documents gauges, "Berita Acara Survey"/Minutes of Survey, Certificate of Land or "Surat Keterangan Tanah/SKT", Certificate of no dispute, Statement of Recognition of Rights, Statement of Heirs, Statement Own Land/Land for scheme smallholder (if any), Letter of Waiver working on arable land, letter of arable land compensation.</p> <p>The compensation evidence required is as follows: Measurement proposal document, minutes on land measurement, Land ownership or "Surat Keterangan Tanah/SKT", No dispute statement letter, Ownership statement (Surat Keterangan pengakuan Hak), Heir right statement, Release of tenure right statement letter for rented land, land compensation, etc. Record on identification and compensation process is well documented under "Dokumen Ganti Rugi Tanam Tumbuh/GRTT".</p> <p>Based on interview with local community of Tanjung Mulia and Sei Siarti Village, there is no land dispute with other party, including local community.</p>	
<p>6.4.3</p> <p>Compensation claims, process and outcome of any negotiated agreements shall be documented, with evidence of the participation of affected parties.</p> <p>- Major compliance –</p>	<p>The documented procedure for calculating and distributing fair compensation (monetary or otherwise) is established and implemented. The compensation is calculated using government guidelines for land and crop values. This is already implemented. Details of negotiation settlements, including detail of compensation (land compensation, improvement compensation, crops compensation) are held in file "PT. UMW Land Compensation".</p> <p>Based on the verification of documents and evidence of Land Rights Review and Measurement of land alongside joint mapping, Price Negotiation "Ganti Rugi Tanam</p>	<p>Comply</p>

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	<p>Tumbuh/GRTT". Completeness RGTT are as follows: Application documents of measurement, BA surveying, Certificate of Land and/or Surat Keterangan Tanah/SKT, Certificate of no dispute, Statement of Recognition of Rights, Statement of Heirs, Statement Own Land/Land for plasma (if any), Letter of Waiver working on arable land , letter of arable land compensation.</p> <p>Audit team was verifying the status of any land dispute. Audit team reviewed document called "PT. UMW Land Compensation" and found there was no land compensation under dispute status.</p>	
<p>Criterion 6.5: Pay and conditions for employees and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.</p>		
<p>6.5.1</p>	<p>Documentation of pay and conditions for employees based on the existing manpower regulations shall be available.</p> <p>- Major compliance -</p> <p>The company determines minimum wages as regulated by Government every year, minimum wages in Kabupaten Labuhan Batu Tahun 2016 base on "Surat Keputusan Gubernur Propinsi Sumatera Utara No. 188.44/637/KPTS/Tahun 2015", as many as Rp. 2,085,050. Based on review of payments slip, there is no worker's salary below minimum wages, e.g. Umbul Mas Wisesa Estate: based on document review Payslip in UMW South Estate – December 2016", e.g.</p> <ol style="list-style-type: none"> 1. Namely Mrs. SYN <ul style="list-style-type: none"> - Title : Baby Sister in kingdergarten - Basic Salary: Rp. 2,180,500 - Rice allowance: Rp. 135,000 - BPJS Keterangan: Rp. 105,125 - BPJS Pensiun (Perusahaan): Rp. 46,310 - Salary: Rp. 2,466,935 2. Namely Mr. LYN <ul style="list-style-type: none"> - Title : Office Clerk - Basic Salary: Rp. 2,337,500 - Rice allowance: Rp. 135,000 - BPJS Keterangan: Rp. 112,253 - BPJS Pensiun (Perusahaan): Rp. 49,450 - Overtime: Rp. 686,016 - Tax: Rp. 22,617 - Salary: Rp. 3,297,602 3. Namely Mr. Salbiya <ul style="list-style-type: none"> - Title : Office Clerk - Basic Salary: Rp. 2,337,500 - Rice allowance: Rp. 135,000 - BPJS Keterangan: Rp. 112,253 - BPJS Pensiun (Perusahaan): Rp. 49,450 - Overtime: Rp. 686,016 - Task : Rp. 22,617 	<p>Comply</p>

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	<ul style="list-style-type: none"> - Salary: Rp. 3,297,602 Toton Usaha Mandiri Estate, payslip record in December 2016, e.g: 1. Namely Mr. S (Harvester) <ul style="list-style-type: none"> - Basic salary: Rp. 2,182,000 - Rice allowance: Rp. 279,563 - BPJS Ketenagakerjaan: Rp. 105,192 - BPJS Kesehatan: Rp. 92,680 - BPJS Pensiun: Rp. 46,340 - Overtime: Rp. 747,425 - Tax: Rp. 20.417 - Other: Rp (-196,925) – loan from cooperative - Gross Salary: Rp. 3,235,858 2. Namely Mrs. R (manuring) <ul style="list-style-type: none"> - Basic salary: Rp. 2,182,000 - Rice allowance: Rp. 133,125 - BPJS Ketenagakerjaan: Rp. 105,192 - BPJS Pensiun: Rp. 46,340 - Other: Rp. (- 463,025) - Gross Salary: Rp. 2,003,632 3. Namely FH (Harvester) <ul style="list-style-type: none"> - Basic salary: Rp. 2,182,000 - Rice allowance: Rp. 279,563 - BPJS Ketenagakerjaan: Rp. 105,192 - BPJS Kesehatan: Rp. 92,680 - BPJS Pensiun: Rp. 46,340 - Overtime: Rp. 1,162,005 - Tax: Rp. (-18,166) - Gross Salary: Rp. 3,849,614 	
<p>6.5.2</p>	<p>Collective Labor Agreement/Company Regulation, in accordance with the manpower regulations, shall be available in understandable language; and explained by the management or Labor Union to the workers.</p> <p>- Major compliance -</p> <p>Worker Agreement (PKB) between company and labour union is referred in working regulation, Worker Agreement was approved by Surat Keputusan Dinas Tenaga Kerja dan Transmigrasi Provinsi Sumatera Utara No.26-6/DTK-TR/2017 tentang Perjanjian Kerja Bersama”, dated 9th January 2017, valid until 8th January 2019 and also contract between company and each worker are available. Based on document review, it was noted that all workers has signed contract / work agreement, e.g:</p> <ul style="list-style-type: none"> - Contract (SPK) namely Mrs. Sriani (Baby Sister in kindergarten), dated 1st April 2015, in UMW South Estate - Contract (SPK) namely Mrs. Lianawati M (Office Clerk), dated 1st June 2011, in UMW South Estate - Contract (SPK) namely Mrs. Roidah, dated 1st May 2013, in Toton Usaha Mandiri Estate. - Contract (SPK) namely Mr. Fahmi, dated 1st April 2011, in Toton Usaha Mandiri Estate. <p>During interview was noted that the employee</p>	<p>Comply</p>

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		understood the contract. The contract including remuneration, salary, tax, special allowance, facilities received, leave on, working hours, etc.	
6.5.3	<p>Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where such public facilities are unavailable or inaccessible.</p> <p>- Minor compliance –</p>	<p>The company has prepared facilities for their workers, such as:</p> <p>In Umbul Mas Wisesa POM updated in February 2017: housing (58 units), water filtration (1 unit), polyclinic (1 unit), mosque (1 unit), sports facilities (volley ball, futsal, football), elementary school and ambulance (1 unit), also electricity and clean water.</p> <p>In Umbul Mas Wisesa South Estate updated in February 2017: housing G-2 (161 units), water filtration (3 units), polyclinic (1 unit), mosque (1 unit), church (1 units), employee hall (1 unit), sports facilities (volley ball, table tennis, futsal, football), elementary school (1 unit), junior high school (1 unit), and ambulance (1 unit), also electricity and clean water, incinerator (1 unit).</p> <p>In TUM Estate, there are 2 division and updating the employee facilities in February 2017, i.e: Housing (72 units), mosque (1 units), church (1 unit), kindergarten (1 unit), bus for school (1 unit), sport facilities (football, volley ball), incinerator (1 unit). Condition of worker housing is maintained; no clogged drain, no water puddle. Tall vertiver on the side of the drainage was maintained to keep children away from deep drainage. Notice board provided in prominent locations.</p> <p>The company provided free access to potable water, which has been tested regularly and meet government regulation.</p>	Comply
6.5.4	<p>There shall be demonstrable efforts to improve workers' access to adequate, sufficient and affordable food.</p> <p>- Minor compliance –</p>	<p>The employees able to access traditional market and also there is cooperative in each estate to providing affordable food.</p> <p>The name of cooperative is "Koperasi Jaya Karyawan"</p>	Comply
<p>Criterion 6.6:</p> <p>The employer respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.</p>			
6.6.1	<p>A record of the company's policy in understandable language recognising freedom of association, shall be available.</p>	<p>Recognizing of freedom association in "Kebijakan Kebebasan Berserikat", signed by President Director on 1st March 2014, which stated the company recognizes the role of lawful and independent workers and</p>	Comply

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	- Major compliance –	<p>employees. Representative organization in creating a constructive working environment.</p> <p>Record seen: Documentation and attendance list of socialization the company policy (including policy of freedom association), UMW South Estate, e.g:</p> <ul style="list-style-type: none"> - On 17th June 2016, was attended by 27 workers - On 19th November 2016, was attended by 56 workers in Division 1 - On 18th November 2016, was attended by 57 workers in Division 2 - On 1st November 2016, was attended by 33 workers in Division 7 - On 16th November 2016, was attended by 46 workers in Division 5 - On 24th December 2016, was attended by 74 workers in CWS. <p>In Toton Usaha Mandiri Estate socialization the company policy coincided with muster chift field workers, e.g: on 4th February 2017, in division 01 and attended by 15 workers.</p>	
6.6.2	<p>Records of meetings with labor unions or workers representatives shall be available.</p> <p>- Minor compliance –</p>	<p>Meeting with the company and labour union is conducted regularly, several meetings were held, e.g:</p> <ul style="list-style-type: none"> - On 18th January 2017, attended by 6 Labour union and company representatives in UMW Estate discussion about; Mutation of Harvest supervisor and Promotion Harvest accounting. - On 4th January 2017, attended 5 Labour Union and company representatives UMW South Estate discussion about: standard of putting out to contract. Attendance list, minutes meeting and photograph are available. - On 28-29th December 2016, discussing about preparation the "Perjanjian Kerja Bersama/PKB" – Collective Work Agreement 2016-2018, attended by 38 member of SPUM, company representative and Government representative (Dinas Tenaga Kerja dan Transmigrasi Provinsi Sumatera Utara). 	Comply
<p>Criterion 6.7: Children are not employed or exploited.</p>			
6.7.1	There shall be documented evidence that minimum age requirements are met.	The company has policy related minimum ages, under "Kebijakan Pekerja Anak" signed by President Director dated 1 st March 2014 that stated the company committed to	Comply

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	- Major compliance –	ensuring that children, under the age of 18 years are not employed by the company for any work related purpose. Base on document review confirm that no any workers was hired below 18 year. The youngest employee in UMW POM is Mr. M*****d A***** (20 years, 6 months) and in Toton Usaha Mandiri estate is Mr. A*****s J*****i H*****o (22 years, 1 months).	
Criterion 6.8:			
Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.			
6.8.1	A company's policy on equal opportunity and treatment for work shall be available and documented. - Major compliance –	<p>The company has policy for equal opportunities, under “Kebijakan Persamaan Kesempatan Kerja”, which stated that “The company is not discriminating against anyone in the recruitment practice or in the performance of the company business operation” dated 1st March 2013, signed by President Director.</p> <p>Record seen: Documentation and attendance list of socialization the company policy (including policy for equal opportunities) in UMW South Estate, e.g:</p> <ul style="list-style-type: none"> - On 17th June 2016, was attended by 27 workers - On 19th November 2016, was attended by 56 workers in Division 1 - On 18th November 2016, was attended by 57 workers in Division 2 - On 1st November 2016, was attended by 33 workers in Division 7 - On 16th November 2016, was attended by 46 workers in Division 5 - On 24th December 2016, was attended by 74 workers in CWS. <p>In Toton Usaha Mandiri Estate socialization the company policy coincided with muster chift field workers, e.g: on 4th February 2017, in division 01 and attended by 15 workers.</p>	Comply
6.8.2	Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated. - Major compliance –	<p>Based on verification upon list of workers in UMW-POM, UMW South Estate and TUM Estate (as of January 2017), shows there is no indication of worker discrimination related to gender, race, religion or tribe.</p> <p>Based on interview with worker union, “Serikat Pekerja UMWE Mandiri” on behalf Mr. I.H, and interview with workers (sprayers, fertilizer applicator and harvesters) company does not discriminate any of the workers.</p>	Comply

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<p>6.8.3</p> <p>Records of evidence that equal opportunity and treatment for work shall be available.</p> <p>- Minor compliance -</p>	<p>Company has an equal employment opportunity policy, signed by President Director on 1st March 2014. The policy stated company will not discriminate anyone during recruitment, hiring or other business; Selection to fill in position based on qualification and experience. Violation against policy results in disciplinary action and could be legal action.</p> <p>Based on verification against employment document and interview with worker union "Serikat Pekerja UMW/TUM Mandiri", it is known that recruitment, hiring and promotion are based on test, considering the job type. Promotion done through yearly worker evaluation. As example; "Form Penilaian Karyawan SKU" consists of 10 evaluation parameters done by Evaluator (FA/TA/OA) and verified by Estate Manager.</p> <p>Working tools for workers are provided by company, as regulated by "Perjanjian Kerja Bersama/PKB". The provision of wheelbarrow was paid half by worker and half by company. Provision of other working tools for other upkeep/general work is provided by cooperative.</p>	<p>Comply</p>
<p>Criterion 6.9:</p> <p>There is no harassment or abuse in the work place, and reproductive rights are protected.</p>		
<p>6.9.1</p> <p>A policy to prevent sexual and all other forms of harassment and violence, shall be documented, implemented and communicated to all levels of the workforce.</p> <p>- Major compliance -</p>	<p>PT. UMW and PT. TUM has a policy to prevent sexual harassment under "Kebijakan Pelecehan Seksual", signed by President director on 1st March 2013. The policy stated: PT. UMW and TUM uphold the laws under Republic of Indonesia related to sexual harassment; sexual harassment could occurs in form of physical contact, comments, jokes, exhibition or other behavior; All discrimination and sexual harassment complaint will be handle in good manner and confidential to achieve fair statement and reduce false accusation. There shall be no false sexual harassment accusation. Sexual harassment applies equally – both men and women. Sexual harassment accusation with solid evidence could lead to disciplinary action including termination. False report on sexual harassment, without evidence could also lead to disciplinary action including termination and legal action.</p> <p>PT. Umbul Mas Wisesa and PT Toton Usaha Mandiri have established gender committee to solve sexual harassment cases and enhance reproductive right for women workers. Gender committee conducts meeting Regularly, e.g.</p> <p>- Meeting on 20th January 2017, discussing</p>	<p>Comply</p>

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	<p>on general issues throughout December 2016 and related to gender (minutes of meeting, attendance list and photograph as evidence). In UMW South Estate.</p> <ul style="list-style-type: none"> - Meeting on 16th December 2016, discussing on general issue, safety in worker housing, throughout December 2016 and related to gender issue (minutes of meeting, attendance list and photograph as evidence), location in UMW South Estate. - Meeting on 10th January 2017, in Toton Usaha Mandiri Estate. Attended by 9 members and attended list and notulen are available. Discussing related to gender issues. <p>No sexual harassment and violating of reproductive rights were noted during audit and interview with workers and gender committee leader and members. Until this surveillance period, there has no sexual harassment complaint received by the gender committee.</p>	
<p>6.9.2</p> <p>A policy to protect the reproductive rights, shall be documented, implemented and communicated to all levels of the workforce.</p> <p>- Major compliance –</p>	<p>Company has a policy related to protection of reproductive rights, under “Kebijakan Perlindungan Hak Hak Reproduksi”, was signed by President Dorector on December 2013. The policy covers provision of counseling related to sexuality, pregnancy, contraception aid, infertility, infection and sexually-transmitted-disease; sex education and gender; prevention and medication on reproductive infection including HIV/AIDS; Provision of pregnancy, delivery and ante-natal treatment; Baby and infant health service; Encourage male participation in sharing responsibility related to sexual behavior, during maternal period, HIV/AIDS and domestic violence.</p> <p>Pregnancy check employee performed once every month, the record seen in UMW South Estate, e.g:</p> <ul style="list-style-type: none"> - “Daftar Absen Tenaga Kerja Wanita Hamil dan Menyusui”, in January 2017 in Division 2. Absence worker noted: 1 breast-feeding from spraying worker, Mrs. EV and 2 breast-feeding manuring worker, namely Mrs. YS and Mrs. MRN. The workers have not been working for several months. - Daftar Absen Tenaga Kerja Wanita Hamil dan Menyusui, in January 2017 in Division 1. Absence worker noted: 1 breast-feeding from spraying worker, Mrs. EV and 1 breast-feeding manuring worker, namely Mrs. DN and 1 pregnant manuring worker Mrs. AN. The workers have not been 	<p>Comply</p>

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		<p>working for several months.</p> <p>Toton Usaha Mandiri Estate has conducted the pregnancy check, e.g: report of "Pemeriksaan wanita hamil dan menyusui", in January 2017, there are 14 workers on Up keep are reported no pregnant status.</p> <p>Based on interview with gender committee, company has understood the implementation of protection on reproductive rights in form of menstruation leave issue, maternal leave, medical checkup for female worker, performing jobs related to agrochemical, prevention of domestic violence, etc.</p> <p>The policy communicated through notification board and during gender committee meeting to workers.</p>	
6.9.3	<p>A specific grievance mechanism which respects anonymity of complainants where requested, and as long as they are supported with adequate information, shall be documented, implemented, and communicated to all workforce.</p> <p>- Minor compliance –</p>	<p>The company has provided the "Pedoman Pengelolaan Gender" under memorandum, No.ENC/Pedoman/GC/01 dated 21st April 2011, signed by GM of EnC.</p> <p>Based on interview with gender committee PT. UMW and PT. TUM; company has a specific mechanism to handle sexual harassment case or another gender related cases through gender committee. The procedure has covers protection of anonymity of complainants.</p> <p>Based on interview with female worker (sprayers team), they understand the grievance mechanism.</p>	Comply
<p>Criterion 6.10: Growers and mills deal fairly and transparently with smallholders and other local businesses.</p>			
6.10.1	<p>Current and past prices paid for Fresh Fruit Bunches (FFB), shall be publicly available.</p> <p>- Minor compliance -</p>	<p>FFB price determined in accordance with an agreed formula as contained in Appendix 1 of the agreement between the company and the cooperative that supplies TBS. Price is updated weekly and reported by specialized staff in charge small holders company/supplier. Recently the price of Rp TBS period this week (date 17-23th January 2017) 1.920/ kg TBS. Delivered price per week in the form of an announcement on the bulletin board of the cooperative.</p>	Comply
6.10.2	<p>Pricing mechanisms for Fresh Fruit Bunches (FFB) and inputs/services shall be explained and documented (where these are under the control of the mill or plantation).</p> <p>- Major compliance -</p>	<p>Transaction records submitted by the mill per week to HO office, which is a supplier invoice payments, which contains the number of FFB received and the price (Rp).</p> <p>Records of the fruit received from suppliers in the daily log in the "Daily Report FFB Grading (sorting) smallholder, e.g dated 9th January 2017, the volume of 7,564 kg of Cooperative tidy fortune, conveyance truck BK 8105 CK.</p>	Comply

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		<p>Transaction Inquiry, period 12th January 2017, Total Debit Rp. 14,033,838.</p> <p>FFB external the price mechanism has been included in the agreement with the supplier (attachment 1), where the price mechanism is based on the price of CPO and PK, OER and KER, reduced Depreseasi, transport, processing cost, admin. Fee (excluded tax 10%) and this has been agreed upon and disseminated to the supplier.</p> <p>Delivered price per week in the form of an announcement on the bulletin board of the cooperative.</p>	
6.10.3	<p>Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent.</p> <p>- Minor compliance -</p>	<p>Based on interview with local contractors confirmed that contract understood by them and made fairly, legal and transparent.</p> <p>Document seen: In UMW POM, e.g: SPK No.2016/UMW-TBS/01, on contract of sale FFB between PT. UMW and PT. Anugerah Tanjung Medan, dated 3rd October 2016</p> <p>In TUM Estate, the document see: - Contract Agreement with CV Sibinurang 71, No.02/TUM-HO/EDM/2016, for building the permanent bridge, dated 2nd February 2016; - Contract Agreement with CV Sibinurang 71, No.02/TUM-HO/EDM/2016, for repair 7 (seven) units long house non-permanent and 1 (one) labour house non-permanent in TUM Estate, dated 8th January 2016.</p>	Comply
6.10.4	<p>Agreed payments shall be made in a timely manner.</p> <p>- Minor compliance -</p>	<p>Procedure for payment has been set in the contract, record seen in 2016, e.g: UMW South Estate; - Evidence of transaction inquiry, period 13 January 2017 for KSU Suka Makmur amounts Rp 14,203,523 on payment FFB to 15 member of cooperate,</p> <p>TUM Estate; Evidence of payment dated 11th June 2016, to CV Sibinurang 71, amounts Rp. 506,524,744 on the payment of stage 1, 2 dan 3 (95%) to repair 7 (seven) units long house non-permanent and 1 (one) labour house non-permanent in TUM Estate.</p>	Comply
Criterion 6.11:			
Growers and millers contribute to local sustainable development where appropriate.			
6.11.1	Records of contributions to local development based on the results of consultation with local communities	The Company has established a program of Community Development and Corporate Social Responsibility UMW-south Estate 2017 consists of 6 types of activities covering the	Comply

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<p>shall be available. - Minor compliance -</p>	<p>infrastructure, Sports, Religious Art, Community Development and Social Economy sector with a total value of Rp. 2,248,901,000 and total value of CD Development in 2016 for UMW-South Estate Rp. 1,154,351,115 - while in 2017 has drawn up a program of Community Development and Corporate Social Responsibility in TUM Estate consists of 5 types of activities covering the fields of education, infrastructure, Sports, and Religious Art with a total value of Rp. 19,862,000, and realization in 2016 a total value of Rp. 37,100,000.</p> <p>Recording realization of social responsibility are documented in the recording File Help or Help Donate to the Community (Community Development records) respectively Estate. Based on verification of "Rekaman Bantuan Ke Masyarakat atau Bantuan Donasi", e.g: UMW-South Estate, ;</p> <ul style="list-style-type: none"> - Infrastructure; ditch maintenance assistance in Sei Siarti and Pasir Limau Kapas in May 2016, amount Rp 1,000,000.- - On 9th August 2016, Donation for Independent Day Celebration in Kampung Rakyat District, amount Rp. 1,000,000.- - In November 2016, ditch maintenance assistance in Tanjung Medan Village, i.e: "Batu perrun (609.60 m³), batu padas (200 m³), motor grader (200 BU)" and Vibro Compacting (200 BU) - Donation for Yayasan Usman Hasibuan in January 2017, amount Rp. 500,000 <p>TUM Estate, record realization of Community Development in 2016, e.g:</p> <ul style="list-style-type: none"> - In 10th May 2016, donation to implementation the MTQ and Nasheed festival in Sei Siarti Village, amounts Rp 500,000; - In 29th August 2016, donation to the building of church HKBP (8 sack cement) in Sei Siarti Village; - In 18th June 2016, donation to the building of mosque Nurul Hidayah Malindo, amounts Rp 250,000; 	
<p>6.11.2 Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve scheme smallholder productivity. - Minor compliance -</p>	<p>The Company does not have outgrower schemes, but at present the PT. UMW has a joint venture partnership with surrounding communities through cooperation TBS supplied in containers Cooperative smallholders. Currently the company (on behalf of PT Bannerman Mas Wisesa) has formed a partnership with three cooperatives in KSU Suka Makmur, Koperasi Konsumen Rapi Rejeki</p>	<p>Comply</p>

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		and Koperasi Produsen Tani Mulia Jaya. In interviews with head of KSU Suka Makmur (Mr HNK), stated that the cooperation suply TBS has begun in 2015 with the signing of the Cooperation Agreements with PT UMW which today Cooperative Suka Makmur has consisted of 66 farmers with a total area of oil palm plantations 132 Ha. The company has to provide guidance to the cooperative form of cooperative management training, and bridging Palm Cultivation Techniques farm management fees.	
Criterion 6.12:			
No forms of forced or trafficked labour are used.			
6.12.1	There shall be evidence that no forms of forced or trafficked labor are used. - Major compliance -	The company has had a policy against Forced Labour or Labour traded (Company Policy or trafficked Against Forced Labour) adopted by President Director dated 1 st March 2014, that is: - The Company does not use forced labor or trafficked workers either directly or through a third party. - The Company acknowledged that slave labor or trafficked labor can take many forms, all of which are equally unacceptable. Debt bondage or bonded labor employment relationship because the debt is considered forced labor. - The alleged use of forced labor or labor which are traded by the company's employees if proven would result in disciplinary action up to termination of employment and also can result in legal action. - Companies that do business with PT UMW required adhering to this policy. Violation of this policy if proven would result in disciplinary action up to termination of employment and also can result in legal action. This policy applies to PT. Tolan Tiga Indonesia and for the entire company under the management of PT. Tolan Tiga.	Comply
6.12.2	It shall be demonstrated that no contract substitution has occurred. - Minor compliance -	Based on document review and interview with workers and labour union, confirmed that no contract substitution was noted.	Comply
6.12.3	Where migrant/foreign/honorary workers are employed, a special worker policy and procedures and the evidence of implementation shall be available. - Major compliance -	The agreement for temporary workers is available and signed by workers. There is no migrant worker	Comply

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<p>Criterion 6.13: Growers and millers respect human rights.</p>		
<p>6.13.1</p>	<p>A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations. - Major compliance -</p> <p>Company has a policy in protection of human rights under "Kebijakan Perusahaan tentang Hak Asasi", signed by President Director on 1st March 2014, consist of, among other:</p> <ul style="list-style-type: none"> - The company acknowledges human rights are universal; this applicable to all operation. - The company support implementation of human rights and ILO declaration related to principles and basic rights in working place that has been ratified by Republic of Indonesia. - Accusations against violation of human rights, if proven, resulted in disciplinary action up to termination of work relation, and could cause legal action. <p>Record seen: Documentation and attendance list of socialization the company policy (including a policy in protection of human rights), UMW South Estate, e.g:</p> <ul style="list-style-type: none"> - On 17th June 2016, was attended by 27 workers - On 19th November 2016, was attended by 56 workers in Division 1 - On 18th November 2016, was attended by 57 workers in Division 2 - On 1st November 2016, was attended by 33 workers in Division 7 - On 16th November 2016, was attended by 46 workers in Division 5 - On 24th December 2016, was attended by 74 workers in CWS. <p>In Toton Usaha Mandiri Estate socialization the company policy coincided with muster chit field workers, e.g:</p> <ul style="list-style-type: none"> - On 4th February 2017, in division 01 and attended by 15 workers. - On 8th June 2016, attended by 22 securities. 	<p>Comply</p>
<p>Principle 7: Responsible development of new plantings</p>		
<p>Criterion 7.1: A comprehensive and participatory independent social and environmental impact assessment is undertaken prior to establishing new plantings or operations, or expanding existing ones, and the results incorporated into planning, management and operations.</p>		

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<p>7.1.1</p> <p>An independent social and environmental impact assessment (SEIA), undertaken through a participatory methodology including the relevant affected stakeholders, shall be documented.</p> <p>- Major compliance -</p>	<p>AMDAL documents have been provided where the parameters studied included the social aspect.</p> <p>PT. UMW and PT. TUM have a Document Social Impact Assessment conducted by the team of the Faculty of Forestry IPB in 2014 with the composition of the team: Handian Purwawangsa, S. Hut, M.Si (Team Leader), Udi Kusnidar, Sulfan Ardiansyah, Jimmy Syahrasyid outlining Impact positive and Negative development of plantation PT UMW – PT TUM incorporating Matrix PT UMW – PT TUM Social Management Plan consists of; Tenure, Establish communications and networking with stakeholders ang associated with PT UMW, Improving the quality of public education, public Health Quality Improvement, community economic empowerment and employment).</p> <p>In the SIA document described the Social Management Plan that outlines the type Programs, Activities, challenges, opportunities, strategies, output / Outputs and time frame. Community involvement at the time of preparation of the document through Focus Group Discussion (FGD) with community, such as:</p> <ul style="list-style-type: none"> - FGD in Sei Siarti village on February 15, 2014 which was attended by 26 participants, - PGD in Tanjung Mulia village on 16th February 2014 which was attended by 19 participants, - FGD with employees of PT UMW-S which took place on 14th February 2014 which was attended by 25 participants, - FGD with employees of PT UMW-North and PT TUM conducted on 15th February 2014 which was attended by 32 participants. <p>Documentation and attendance list are available.</p>	<p>Comply</p>
<p>7.1.2</p> <p>Appropriate management planning and operational procedures shall be developed and implemented to avoid or mitigate identified potential negative impacts.</p> <p>- Minor compliance -</p>	<p>Based on the verification of documents SIA shows that the report has been equipped with a management plan social recommended to increase the positive impacts and minimize the negative impact of oil palm plantation development by involving the affected communities as in table IX-1. "Rencana Kelola Sosial PT. Umbul Mas Wisesa", including the type of programs, activities, challenges, opportunities, strategies, outcomes and due date implementation of the program.</p> <p>For PT. Toton Usaha Mandiri has development the plans for management and monitoring of</p>	<p>Comply</p>

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	<p>social impacts to avoid or reduce negative impacts and promote positive ones as in table IX-1. "Rencana Kelola Sosial PT. Toton Usaha Mandiri", including the type of programs, activities, challenges, opportunities, strategies, outcomes and due date implementation of the program.</p> <p>Companies (both of PT. UMW and PT. TUM) regularly evaluate periodically the implementation of the RKL-RPL every 6 months, but if there is a change of operational activities that do specific evaluation of AMDAL documents, such as changes in the capacity of Mill and construction of Biogas Plant has conducted the environmental assessment as outlined in the "Dokumen Adendum Analisa Dampak Lingkungan Hidup (AMDAL)", RKL-RPL activities waste water treatment changes based Clean Development Mechanism (CDM) and changes in solid waste processing mill of PT. UMW in Sei Siarti and has been endorsed by the Governor of Sumatra Utara through Decree No. 188.44/430/KPTS/2013, dated 10th July 2013.</p> <p>Record seen:</p> <ul style="list-style-type: none"> - PT UMW: Reports Second Half in 2016 has been submitted to the "Badan Lingkungnan Hidup Kabupaten Labuhan Batu Selatan" in accordance with the receipt of documents, dated 6th February 2017 according to the letter No. 161/UMWS/Inst/II/2017 (cc: BLH Labuhanbatu Selatan, Disbun Labuhanbatu Selatan, KLH Propinsi Sumatera Utara dan KLH Jakarta); - PT TUM - TUM Estate: Reports Second Half in 2016 accordance with letter No.01/TUME/KLH-LB/I/2017, dated 3rd February 2017 and acceptance by "Dinas Lingkungan Hidup Kabupaten Labuhanbatu" on 6th February 2017. <p>Company has also reviewed, this has been aligned with the planning and management as per RSPO New Planting Procedure for PT. Umbul Mas Wisesa.</p>	
<p>7.1.3</p> <p>Where the development includes an outgrower scheme, the impacts of the scheme and the implications of the way it is managed shall be given particular attention.</p> <p>- Minor compliance -</p>	<p>PT. Umbul Mas Wisesa has appointed staff, which responsible to provide guidance to smallholder member.</p> <p>The partnership between company and KSU Suka Makmur in form of FFB pruchase from community. Since end of 2016, company has a policy to only purchase certified FFB, however the partnership in FFB purchase woth PT. Umbul Mas Wisesa remains ongoing.</p> <p>Tutorial and guidance from company is helping</p>	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	farmer member. The guidance provided such as integrated pest management, manual upkeep, fertilizer regime and harvesting rotation.	
<p>Criterion 7.2: Soil surveys and topographic information are used for site planning in the establishment of new plantings, and the results are incorporated into plans and operations.</p>		
<p>7.2.1</p>	<p>Soil suitability maps or soil surveys adequate to establish the long-term suitability of land for oil palm cultivation shall be available and taken into account in plans and operations.</p> <p>- Major compliance -</p> <p>Based on soil survey, it was found that mostly PT. Umbul Mas Wisesa areas is peat soil, Map of peat soil is available in place with scale 1:20,000. Soil series (sources: Shuttle Radar for Topographic Mission (SRTM) 2006; path 57 Row 12, Digital Rupabumi Map scale 1:250,000 BAKORSURTANAL 2004, Field Observation 2010, consist of:</p> <ul style="list-style-type: none"> - <i>Lenggana</i> Series (LGN 3,4), <i>Typic haplohemist</i>, mature peat land, 15 – 75 % fibre peat, depth 0 – 5 meters, poor drainage (5,681 Ha – 91%) - <i>Mekar Jaya</i> (MKJ), <i>Sulfic endoaquept</i>, silty clay, poor drainage, depth 50-100cm and Galling (GLG), <i>Typic sulfaquept</i>, depth 50cm (464 Ha – 7%). - Organic clay/muck, <i>Typic humaquepts</i> organic clay, high water table during raining days, acid sulphate at within 50 cm (91 Ha – 2%). <p>Soil profile map in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri was available made on 16th July 2013, sources:</p> <ul style="list-style-type: none"> - Survey GPS – Geo XT Differential correction - Satellite Image - JH Agriculture Service <p>Soil slopes class map PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri is available base on soil survey on 10th February 2014.</p> <p>TUM Estate: Semi detail soil survey report of PT. Toton Usaha Mandiri carried out in June 2010. Total area surveyed 1,484 Ha, the entire area is low lying flat, dominant soil series is <i>Lenggana</i> series, <i>Typic haplohemist</i>, peat soil), peat depth is 3 meters to > 5 meters. consist of: <i>Lenggana</i> Series (LGN 3,4), <i>Typic haplohemist</i>, mature peat land, decomposed hemist peat material, fiber content 16-75% woody, peat depth 3 to > 5 meters, poor drainage (1,428 Ha – 100%). The soil map is available in scale 1:20,000.</p>	<p>Comply</p>

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

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	<p>CAB. The compensation project in form of PT. SIPEF Biodiversity Indonesia, was obtained in September 2013, a license to manage a 12,672 Ha forest area under very high risk of deforestation. The area is located in Mukomuko Regency, Bengkulu Province, Indonesia – with the “Hutan Produksi Terbatas Air Manjuntio (reg.62)”. The forest concession is a critical buffer zone to the “Kerinci Seblat National Park”. PT. SBI obtained the license type “Izin Usaha Pemanfaatan Hasil Hutan Kayu-Restorasi Ekosistem/IUPHHK- RE”, issued by Ministry of Forestry through permit “Surat Keputusan Menteri Kehutanan No.SK.622/MENHUT-II/2013 untuk Izin Usaha Pemanfaatan Hasil Hutan Kayu Restorasi Ekosistem seluas 12,672 Ha” dated 17th September 2013. The permit valid from 17th September 2013 up to 16th September 2072, located in Mukomuko Regency, Bengkulu Province.</p> <p>The report for 2016 available under “Rencana Kerja Tahunan RKTUPHHK-RE Tahun 2016 PT. SIPEF Biodiversity Indonesia – Bab III Pelaksanaan Kegiatan Tahun 2016”. The report comprise of: boundary arrangement for operation area (21.2 km/212 poles) – 100%; boundary arrangement for working area of 2,167.82 Ha/38 working partitions – 100%; opening access to limited forest, road construction, construction of control tower, installation of electricity – 100%; nursery of 22,336 seedlings, 21,686 seedlings and 39,930 seedlings in 3 blocks; planting of 2,146 trees in Lubuk Pinang, planting in “kelompok Tani Hutan 2016” composed of 8,840 trees; maintenance and upkeep of planted 1,258 trees; Monitoring of wildlife using camera trap – list of wildlife caught on tape evident; patrol for each block has been carried out; social management – communication on project to surrounding villages, participatory mapping, enforcement of organization “Kelompok Tani Hutan”; etc.</p> <p>The working plan for 2017 available under “Rencana Kerja Tahunan Usaha Pemanfaatan Hasil Hutan Kayu Restorasi Ekosistem Dalam Hutan Alam pada Hutan Produksi Periode Tahun 2017 PT. SIPEF Biodiversity Indonesia” as approved through “Keputusan Kepada Finas Kehutanan Provinsi Bengkulu No.125/Dishut-Prov.BKL/III tentang Persetujuan Rencana Kerja Tahunan Usaha Pemanfaatan Hasil Hutan Kayu Restorasi Ekosistem tahun 2017</p>	

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		PT. SIPEF Biodiversity Indonesia" dated 18 th October 2016.	
7.3.2	<p>Reports of comprehensive HCV assessment, which involves stakeholder consultation and includes record of land-use change since November 2005, shall be available. This HCV assessment shall be conducted prior to any conversion or new planting.</p> <p>- Major compliance –</p>	<p>PT. Umbul Mas Wisesa (UMW) has identified by "Yayasan Kelapa Sawit Berkelanjutan" in 2009, referring "Indonesian HCV Toolkit, 2008". Total HCV areas was identified is 196.09 Ha and consist of 167 Ha is <i>Hutan Konversi</i> and riparian covering 20.79 Ha – in form of wildlife corridor.</p> <p>PT. Toton Usaha Mandiri (TUM) has identified High Conservation Value (HCV) in 2009 conducted by the Foundation for Sustainable Palm Oil Indonesia (YASBI) as outlined in the Assessment Report HCV/HCV PT. Toton Usaha Mandiri in 2009. In the report described the HCV areas found in working area of PT. TUM i.e. HCV 1, HCV 3 and HCV 4 with a total area of 57.5 Ha in the form of conservation forest area of 39.30 hectares, Border drain and corridors covering an area of 2.38 hectares.</p> <p>Public Consultation to the surrounding community have been conducted on 18th November 2009 at the Office of PT UMW, which was attended by representatives of leaders 'local community', the sub-district and the villages (Desa Tanjung Mulia, Sei Toras, Sei Siarti) in accordance with the document "Notulensi Publik Penilaian Nilai Konservasi Tinggi –NKT (HCV)".</p>	Comply
7.3.3	<p>Records of land preparation and clearing dates shall be available.</p> <p>- Minor compliance –</p>	The company has record of land commencement in "Hectare Statement".	Comply
7.3.4	<p>An action plan shall be developed that describes operational actions consequent to the findings of the HCV assessment, and that references the grower's relevant operational procedures. (see Criterion 5.2)</p> <p>- Major compliance –</p>	<p>The company has established Program Management of HCV PT. UMW-North and PT. TUM 2015 and 2016 consists of seven types of activities, for example Patrol Jungle Guard, Up Keep Corridor HCV, Planting Areas HCV-Corridor, Installation and Monitoring Camera Trap, maintenance board warning NKT, maintenance peg HCV, and the HCV Corridor peg.</p> <p>PT. UMW has been installing Identity signboard HCV in 8 places, for example: Block J22, H24, H18 and K20. Also made the installation of Identity signboard HCV in 3 places (Block K21, K20).</p> <p>Based on interviews and field visits in the village of Tanjung Mulia showed that PT. UMW has communicated the HCV management program, including the types of flora and fauna are protected, for example posters fauna protected in Tanjung Mulia.</p>	Comply

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	<p>PT. UMW and PT. TUM has appointed special officers to manage Areal HCV is Mr. Arbiyah Mutholib (Coordinator), Erwin Syahputra (Ranger – Water management team), Rivai Hamdani (Ranger – Water Management team) in accordance with the Memorandum UMW-N dated 22nd August 2013. The Company has established Job Description Position: Field Conservation Technician ("Rangers") that describes the job description, responsibilities and procedures for their work relationship.</p> <p>Report on the monitoring of flora and fauna contained in "Laporan Kegiatan Pengelolaan Area Bernilai Konservasi Tinggi Periode Mei-Desember 2016 i PT. Umbul Mas Wisesa dan PT. Toton Usaha Mandiri" reported to the "Badan Konservasi Sumber Daya Alam/BKSDA Kabupaten Labuhan Batu Selatan". The report explains all activities by team in May – December 2016, including: monitoring of wildlife and flora; eradication of threat in HCV area (wild animal snares, fish net, etc.); controlling <i>Mucuna bracteata</i> in HCV corridor; planting and upkeep forest/native species trees, such as "Trembesi" (<i>Albizia saman</i>), "Ketapang" (<i>Terminalia catappa</i>), "Meranti" (<i>Shorea sp</i>), "Tenggek Burung" (<i>Euodia ridleyi</i>) and "Kayu Ara" (<i>Ficus sp.</i>) during September – December 2016.</p>	
<p>7.3.5</p> <p>Areas required by affected communities to meet their basic needs, taking into account potential positive and negative changes in livelihood resulting from proposed operations, shall be identified in consultation with the communities and incorporated into HCV assessments and management plans (see Criterion 5.2).</p> <p>- Minor compliance -</p>	<p>PT. Umbul Mas Wisesa (UMW) has identified by "Yayasan Kelapa Sawit Berkelanjutan" in 2009, referring "Indonesian HCV Toolkit, 2008". Total HCV areas was identified is 196.09 Ha and consist of 167 Ha is <i>Hutan Konversi</i> and riparian covering 20.79 Ha – in form of wildlife corridor.</p> <p>PT. Toton Usaha Mandiri (TUM) has identified High Conservation Value (HCV) in 2009 conducted by the Foundation for Sustainable Palm Oil Indonesia (YASBI) as outlined in the Assessment Report HCV/HCV PT. Toton Usaha Mandiri in 2009. In the report described the HCV areas found in working area of PT. TUM i.e. HCV 1, HCV 3 and HCV 4 with a total area of 57.5 Ha in the form of conservation forest area of 39.30 hectares, Border drain and corridors covering an area of 2.38 hectares.</p> <p>From the information, assessor team did not found HCV 5 and HCV 6 in the area of PT. UMW and PT. TUM. However, company has demonstrated commitment to protect and conserve wate source – for the need of surrounding community.</p>	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
<p>Criterion 7.4: Extensive planting on steep terrain, and/or marginal and fragile soils, including peat, is avoided.</p>		
<p>7.4.1</p> <p>Maps identifying marginal and fragile soils, including excessive gradients and peat soils, shall be available and used to identify areas to be avoided.</p> <p>- Minor compliance -</p>	<p>Based on soil survey, it was found that mostly PT. Umbul Mas Wisesa areas is peat soil, Map of peat soil is available in place with scale 1:20,000. Soil series (sources: Shuttle Radar for Topographic Mission (SRTM) 2006; path 57 Row 12, Digital Rupabumi Map scale 1:250,000 BAKORSURTANAL 2004, Field Observation 2010, consist of:</p> <ul style="list-style-type: none"> - <i>Lenggana</i> Series (LGN 3,4), <i>Typic haplohemist</i>, mature peat land, 15 – 75 % fibre peat, depth 0 – 5 meters, poor drainage (5,681 Ha – 91%) - <i>Mekar Jaya</i> (MKJ), <i>Sulfic endoaquept</i>, silty clay, poor drainage, depth 50-100cm and Galling (GLG), <i>Typic sulfaquept</i>, depth 50cm (464 Ha – 7%). - Organic clay/muck, <i>Typic humaquepts</i> organic clay, high water table during raining days, acid sulphate at within 50 cm (91 Ha – 2%). <p>Soil profile map in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri was available made on 16th July 2013, sources:</p> <ul style="list-style-type: none"> - Survey GPS – Geo XT Differential correction - Satellite Image - JH Agriculture Service <p>Soil slopes class map PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri is available base on soil survey on 10th February 2014.</p> <p>TUM Estate: Semi detail soil survey report of PT. Toton Usaha Mandiri carried out in June 2010. Total area surveyed 1,484 Ha, the entire area is low lying flat, dominant soil series is <i>Lenggana</i> series, <i>Typic haplohemist</i>, peat soil), peat depth is 3 meters to > 5 meters. consist of: <i>Lenggana</i> Series (LGN 3,4), <i>Typic haplohemist</i>, mature peat land, decomposed hemist peat material, fiber content 16-75% woody, peat depth 3 to > 5 meters, poor drainage (1,428 Ha – 100%). The soil map is available in scale 1:20,000.</p> <p>Based on soil survey on 10th February 2014 and slopes class map, all of PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri area is low lying flat or included into the class of Flat-undulating (0-2°) and relatively without slope</p>	<p>Comply</p>

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<p>7.4.2</p> <p>Where limited planting on fragile and marginal soils, including peat, is proposed, plans shall be developed and implemented to protect them without incurring adverse impacts.</p> <p>- Major compliance -</p>	<p>above a certain limit.</p> <p>For peat soil, companies have prepared "Work Instruction Water Management PT. Umbul Mas Wisesa & PT. Toton Usaha Mandiri". The work instruction has also been prepared to monitor water mangement performance. Monitoring and recording water level and water table in two weeks interval – as well as take immediate action, to open/close water gate accordingly, in order to maintain water level in optimum level. This has been supported by trained supervisor.</p> <p>Company has also prepared all infrastructure for the palm cultivation in peat area. Started from construction of road network, planting hole-in-hole, etc. PT. Umbul Mas Wisesa has prepared the drainage to maintain water level in peat area, comprise of main/primary drain, secondary drain and collection/field drain. The size and configuration (width, depth, etc.) of each drain has follow regulation. The drain network has also been complemented with water gate infrastructure – taking into consideration the water inlet and water outlet, water level history, as well as topography in landscape level.</p> <p>Company has developed a water management plan, for cultivation of oil palm in peat soil. This document has been cascaded into "Program Kerja Water Management tahun 2017", available for each estate.</p> <p>In order to monitor water level at optimum level, company has installed water level pole (near water gate) to monitor water level; installed piezometer (inside plantation blocks) to monitor the water table); and installing 8 peat subsidence poles, in order to monitor peat subsidence on annual basis.</p> <p>A yearly report the produced to review and evaluate the water management performance for future planning.</p> <p>For (any) planting on slope area; It is a company policy to stop land clearing for area with slope more than 25°. Based on field visit and document review, the current management for area with slope up to 25° is to apply terrace contour, platform.</p> <p>Management strategy for replanting plan is to take into consideration the current planting map, soil type map, topographic map, HCV map, and rainfall data and activity schedule.</p> <p>Based on field visit, there is no opening up area with slope more than 25°.</p>	<p>Comply</p>

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<p>Criterion 7.5: No new plantings are established on local peoples' land where it can be demonstrated that there are legal, customary or user rights, without their free, prior and informed consent. This is dealt with through a documented system that enables these and other stakeholders to express their views through their own representative institutions.</p>		
<p>7.5.1 Evidence shall be available that affected local peoples understand they have the right to say 'no' to operations planned on their lands before and during initial discussions, during the stage of information gathering and associated consultations, during negotiations, and up until an agreement with the grower/miller is signed and ratified by these local peoples. - Major compliance -</p>	<p>No more land compensation process, for planting after November 2005 in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri. However, in anticipation of handling land disputes problems the company has had land dispute resolution mechanisms as set out in "Prosedur Ganti Rugi Lahan" No. SOP/CA/02, dated 1st July 2012. Its has been described mechanism for resolution of land compensation through the FPIC process (socialization), Document Verification and UKTI Land Rights Review and Measurement of land alongside joint mapping, Price Negotiation "Ganti Rugi Tanam Tumbuh/GRTT". Completeness RGTT are as follows; Application documents gauges, Berita Acara Survey" – minutes of land survey, Certificate of Land or Surat Keterangan Tanah/SKT, Certificate of no dispute, Statement of Recognition of Rights, Statement of Heirs, Statement Own Land/Land for smallholder development (if any), Letter of Waiver working on arable land, letter of arable land compensation.</p>	<p>Comply</p>
<p>Criterion 7.6: Where it can be demonstrated that local peoples have legal, customary or user rights, they are compensated for any agreed land acquisitions and relinquishment of rights, subject to their free, prior and informed consent and negotiated agreements.</p>		
<p>7.6.1 Documented identification and assessment of demonstrable legal, customary and user rights shall be available. - Major compliance -</p>	<p>Documented identification and verification of land owners that has been compensated during the development phase in PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri is evident.</p>	<p>Comply</p>
<p>7.6.2 A system for identifying people entitled to compensation shall be in place. - Major compliance -</p>	<p>"Prosedur Ganti Rugi Lahan" No. SOP/CA/02, dated 1st July 2012. Its has been described mechanism for resolution of land compensation through the FPIC process (socialization), Document Verification and UKTI Land Rights Review and Measurement of land alongside joint mapping, Price Negotiation "Ganti Rugi Tanam Tumbuh/GRTT". Completeness RGTT are as follows; Application documents gauges, "Berita Acara Survey" – minutes of land survey, Certificate of Land or "Surat Keterangan Tanah/SKT", Certificate of</p>	<p>Comply</p>

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		<p>no dispute, Statement of Recognition of Rights, Statement of Heirs, Statement Own Land/Land for smallholder (if any), Letter of Waiver working on arable land, letter of arable land compensation.</p> <p>The compensation evidence required is as follows: Measurement proposal document, minutes on land measurement, Land ownership (Surat Keterangan Tanah), No dispute statement letter, Ownership statement (Surat Keterangan pengakuan Hak), Heir right statement, Release of tenure right statement letter for rented land, land compensation, etc. Record on identification and compensation process is well documented under "Dokumen "Ganti Rugi Tanam Tumbuh/GRTT".</p>	
7.6.3	<p>A system for calculating and distributing fair compensation (monetary or otherwise) shall be in place.</p> <p>- Major compliance -</p>	<p>"Prosedur Ganti Rugi Lahan" No. SOP/CA/02, dated 1st July 2012. Its has been described mechanism for resolution of land compensation through the FPIC process (socialization), Document Verification and UKTI Land Rights Review and Measurement of land alongside joint mapping, Price Negotiation "Ganti Rugi Tanam Tumbuh/GRTT". Completeness RGTT are as follows; Application documents gauges, "Berita Acara Survey" – Minutes of Survey, Certificate of Land or "Surat Keterangan Tanah/SKT", Certificate of no dispute, Statement of Recognition of Rights, Statement of Heirs, Statement Own Land/Land for smallholder (if any), Letter of Waiver working on arable land, letter of arable land compensation.</p> <p>The compensation evidence required is as follows: Measurement proposal document, minutes on land measurement, Land ownership or "Surat Keterangan Tanah/SKT", No dispute statement letter, Ownership statement (Surat Keterangan pengakuan Hak), Heir right statement, Release of tenure right statement letter for rented land, land compensation, etc. Record on identification and compensation process is well documented under "Dokumen "Ganti Rugi Tanam Tumbuh/GRTT".</p>	Comply
7.6.4	<p>Communities that have lost access and rights to land for plantation expansion shall be given opportunities to benefit from plantation development.</p> <p>- Minor compliance -</p>	<p>PT. Umbul Mas Wisesa has appointed staff, which responsible to provide guidance to cooperative and its smallholder member. The partnership between company and KSU Suka Makmur in form of FFB purchase from community. Tutorial and guidance from company is helping farmer member. The guidance provided such as integrated pest management, manual upkeep, fertilizer regime and harvesting rotation.</p>	Comply

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Criterion / Indicator		Assessment Findings	Compliance
7.6.5	The process and outcome of any compensation claims shall be documented and made publicly available. - Minor compliance -	Record related to compensation is available, as indicated in criterion 1.2.	Comply
7.6.6	Evidence shall be available that the affected communities and rights holders have access to information and advice, that is independent of the project proponent, concerning the legal, economic, environmental and social implications of the proposed operations on their lands. - Minor compliance -	PT. UMW and PT. TUM has been able to demonstrate that during the development phase, company has explained the positive and negative impacts from oil palm plantation development.	Comply
Criterion 7.7:			
No use of fire in the preparation of new plantings other than in specific situations, as identified in the ASEAN guidelines or other regional best practice.			
7.7.1	There shall be no land preparation by burning, other than in specific situations, as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions. - Major compliance -	UMW South Estate: No open burning was noted during field visit and interviewed with local communities and workers. "Prosedur Pencegahan dan Pengendalian Kebakaran Lahan" No.ENC/SOP/10 dated 1 st February 2014 for prevention and control of fire. PT UMW and PT. TUM is using fire danger rating; risk differed by number of rainy day, rain fall, and or occurrence of fire at boundary. Umbul Mas Wisesa and Toton Usaha Mandiri Estate: Laporan Patroli Ranger December 2016, shows no fire.	Comply
7.7.2	In exceptional cases where fire has to be used for preparing land for planting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions. - Minor compliance -	No replanting. No open burning was noted for replanting.	Comply
Criterion 7.8:			
New plantation developments are designed to minimise net greenhouse gas emissions.			
7.8.1	The carbon stock of the proposed development area and major	The company has identified and estimated carbon stock using RSPO GHG Palm Tool.	Comply

Criterion / Indicator		Assessment Findings	Compliance
	potential sources of emissions that may result directly from the development shall be identified and estimated. - Major compliance -		
7.8.2	There shall be a plan to minimise net GHG emissions which takes into account avoidance of land areas with high carbon stocks and/or sequestration options. - Minor compliance -	PT. UMW: Identification of pollutant and mitigation plan, included GHG is documented in "Rencana Pengurangan Emisi Gas Rumah Kaca (GHG Emission) as defined in procedure of "Mitigasi Gas Rumah Kaca" (ENC/GHG/01. GHG emission identified and Mitigation of GHG.	Comply
Principle 8: Commitment to continual improvement in key areas of activity			
Criterion 8.1: Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.			
8.1.1	The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria. As a minimum, these shall include, but are not necessarily be limited to: <ul style="list-style-type: none"> Reduction in use of pesticides(Criterion 4.6); Environmental impacts (Criteria 4.3, 5.1 and 5.2); Waste reduction (Criterion 5.3); Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); Social impacts (Criterion 6.1); Optimising the yield of the supply base. - Major compliance -	PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri has prepared continual improvement plan, for the operational performance and compliance against regulations and other requirements (such as RSPO P&C 2013 standard). Sample of continuous improvement plan noted: Reduce the use of paraquat (4.6): Memorandum from "GMO Sumut" No.117/GMO-All Estate/XI/2016, dated 1st December 2015. The memorandum stating the use of paraquat as contact pesticide is not allowed as of 1st January 2017. Target: Zero use of paraquat effective since 1st January 2017. Target for circle and path spraying by SA15 sets at 5.5 Ha. Optimising the yield of FFB production (4.2): Target to increase ratio per harvester is 14.97; Target capacity per harvester and loose fruit collector per day is 1,340 kg; Target for loose fruit percentage sets at 8%; Waste reduction (5.3): To manage all medical waste from clinic; To construct septic tank in order to handle black water from housing and office; To construct and maintain concrete drainage to handle domestic waste water from all employee housing and office; Etc.	Comply

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Appendix B: Approved Time Bound Plan

Name of company	Name of Mill	Location	Supply Base	Time Bound Plan	Target Year for RSPO
PT. Agro Muko	Muko Muko Mill	Mukomuko Regency, Bengkulu Province, Indonesia	Muko Muko estate, S. Betung estate, Tanah rekah estate, Talang Petai estate, S. Kiang estate and KMD	2011	Certified February 2011
	Bunga Tanjung Mill	Mukomuko Regency, Bengkulu Province, Indonesia	Bunga Tanjung estate, Air Bikuk estate, Air Buluh estate and KMD	2011	Certified February 2011
			PT. Mukomuko Agro Sejahtera: - Air Majunto estate - Malin Deman estate	2014	Certified February 2015
PT. Tolan Tiga	Bukit Maradja Mill	Sumatera Utara Province, Indonesia	PT. Eastern Sumatra Indonesia - Bukit Maradja Estate - Kerasaan Estate	2010	Certified May 2010
	Perlabian Mill	Labuhan Batu Selatan Regency, Sumatera Utara Province, Indonesia	- Perlabian Estate and - Tolan Estate.	2010	Certified May 2010
PT. Umbul Mas Wisesa	Umbul Mas Wisesa Mill	Labuhan Batu Selatan Regency, Sumatera Utara Province, Indonesia	- Umbul Mas Wisesa South Estate, - Umbul Mas Wisesa North Estate, and	2014	Certified March 2015
			PT. Toton Usaha Mandiri - Toton Usaha Mandiri Estate		
PT. Agro Kati Lama	-	Sumatera Selatan Province, Indonesia	-	Will be certified when mill is commissioned (planned for 2021 at the earliest)	Under development (It has been RSPO NPP), RSPO public Notification on 31 st March 2014.
PT. Agro Rawas Ulu	-	Sumatera Selatan Province, Indonesia	-	Will be certified when mill is commissioned (planned for 2024 at the earliest)	Under development (It has been RSPO NPP), RSPO public Notification on 31 st March 2014.
PT. Agro Muara Rupit	-	Sumatera Selatan Province, Indonesia	-	Will be certified when mill is commissioned (planned for 2024 at the earliest)	Under development (It has been RSPO NPP), RSPO public Notification on 31 st March 2014.
PT. Timbang Deli Indonesia	-	Sumatera Utara Province, Indonesia	(conversion from rubber plantation)	2022	Under development (It has been RSPO NPP), RSPO public Notification on 18 th December 2014.
Hargy Oil Palm Limited (HOPL)	Hargy Mill	East of Bialla, West New Britain Province, PNG	Hargy Plantation, Navo Plantation, Pandi Plantation and Smallholders	2009	RSPO Certified in April 2009
	Navo Mill	50 Kms East of	Hargy Plantation, Navo Plantation,	2009	RSPO Certified in April

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		BIalla, West New Britain Province, PNG	Pandi Plantation and Smallholders		2009
	Barema MII	30 km East of Bialla, West New Britain Province, PNG	Hargy Plantation, Navo Plantation, Pandi Plantation and Smallholders	2014	RSPO Certified in April 2014

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Appendix C: Certification Unit RSPO Certificate Details

PT. Umbul Mas Wisesa

Gedung Bank Sumut 7th Floor
Jl. Imam Bonjol No.18
20152 Medan, Sumatera Utara Province
Indonesia

BSI RSPO Certificate No: RSPO 611834

Date of Initial Certificate Issued: 27th March 2015

Date of Expiry: 26th March 2020

RSPO membership number: 1-0021-05-000-00 (under SIPEF NV, Belgium)

Applicable Standards: **RSPO P&C 2013, Indonesia National Interpretation September 2016**; *RSPO Supply Chain Certification Standard November 2014 Module D - CPO Mills: Identity Preserved*

Umbul Mas Wisesa Palm Oil Mill and Supply Base						
Location Address	Tanjung Mulia Village, Kampung Rakyat District, Labuhan Batu Selatan Regency, Sumatera Utara Province, Indonesia					
GPS Location	100° 16' 20.00" E and 02° 12' 41.00" N					
CPO Tonnage Total	42,702 mt					
PK Tonnage Total	7,117 mt					
CPO Claimed for Certification*	42,702 mt					
PK Claimed for Certification *	7,117 mt					
Own estates FFB Tonnage	179,377 mt					
Scheme Smallholder FFB Tonnage	0 mt					
Estates	Production Area		Other use (ha)	HCV (ha)	Certified Area/Total land lease (ha)	Annual FFB Production (mt)
	Mature (ha)	Immature (ha)				
Umbul Mas Wisesa South Estate	4,446.18	0	337.43	0	4,783.61	97,048
Umbul Mas Wisesa North Estate	2,603.27	0	177.79	198.68	2,979.74	56,130
Toton Usaha Mandiri Estate (PT. Toton Usaha Mandiri)	1,134.95	0	18.80	45.01	1,198.76	26,199
TOTAL	8,184.40	0	534.02	243.69	8,962.11	179,377

*Certified Production

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Appendix D: Assessment Plan

Date	Time	Subjects	Pratama AS	Aswan Hasibuan	Imam F
			PRSPo LA/ PRSPo- OHS/EMS	PRSPo- OHS	PRSPo- T OHS/E MS/SA
Monday, 06/02/2017	05.35 – 08.00	Flight Jakarta – Medan (GA 180)	-	√	√
	10.30 – 16.30	Travelling Medan – Rantau Parapat (by train)	√	√	√
	15.00 – 19.00	Travelling Rantau Parapat – PT. Umbul Mas Wisesa	√	√	√
Tuesday, 07/02/2017	08.00 – 08.30	Opening Meeting - Presentation by client (Overview of PT. Umbul Mas Wisesa - UMW Palm Oil Mill and its supply base); - Presentation by BSI team (Objective, scope, audit plan, etc.)	√	√	-
		Document Review (Umbul Mas Wisesa POM): time bound plan, partial certification verification, RSPO P&C (for Principle 4 and Principle 8), RSPO SCCS implementation	√	-	-
	08.30 – 12.00	Document Review (Umbul Mas Wisesa POM): General information, RSPO P&C (for Principle 1, Principle 3, and Principle 4.7)	-	√	-
		Document Review (Umbul Mas Wisesa POM): RSPO P&C (for Principle 2, Principle 5 and Principle 6)	-	-	√
		12.00 – 14.00	Break	√	√
	14.00 – 15.30	Field Visit (Umbul Mas Wisesa POM): RSPO SCCS implementation	√	-	-
		Field Visit (Umbul Mas Wisesa POM): Interview with Umbul Mas Wisesa POM workers, visit and observing Occupational Safety and Health management, Environmental management (including but not limited to: use of PPE, safe working environment, walk ways, signs, palm oil mill effluent, diesel tanks, fire extinguishers, emission, first aiders and boxes, etc), as well as social criteria.	-	√	-
		Document Review (Umbul Mas Wisesa POM): RSPO P&C (for Principle 2, Principle 5 and Principle 6) – continued	-	-	√
		15.30 – 17.00	Document Review (Umbul Mas Wisesa POM): RSPO time bound plan, partial certification verification, RSPO P&C (for Principle 4 and Principle 8), RSPO SCCS implementation - continued	√	-
	Document Review (Umbul Mas Wisesa POM): General information, RSPO P&C (for Principle 1, Principle 3, and Principle 4.7) – continued		-	√	-
Stakeholder Consultation: Visit to local communities (head of village, cooperatives, community leader)	-		-	√	

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Date	Time	Subjects	Pratama AS	Aswan Hasibuan	Imam F
			PRSP0 LA/ PRSP0-OHS/EMS	PRSP0-OHS	PRSP0-T OHS/E MS/SA
Wednesday, 08/02/2017	08.00 – 12.00	Field Visit (UMW South Estate): Worker interview - Herbicide application programmes, fertilizer application, chemical and fertilizer warehouse, HCV's, riparian zones, water management, etc.	√	-	-
		Field Visit (UMW South Estate): Worker interview - FFB harvesting, FFB loading, landfill (waste management), road maintenance, workshop, hazardous waste storage, etc.	-	√	-
		Field Visit (UMW South Estate): Boundaries inspection, housing, social amenities, school, clinic, etc.	-	-	√
	12.00 – 14.00	Break	√	√	√
	14.00 – 17.00	Document Review (UMW South Estate) RSPO P&C (for Principle 4, Principle 7 and Principle 8)	√	-	-
		Document Review (UMW South Estate) RSPO P&C (for Principle 1, Principle 3 and Principle 4.7)	-	√	-
	14.00 – 15.00	Stakeholder Consultation: Interview with worker union and gender committee	-	-	√
	15.00 – 17.00	Document Review (UMW South Estate) RSPO P&C (for Principle 2, Principle 5 and Principle 6)	-	-	√
	Thursday, 09/02/2017	08.00 – 12.00	Field Visit (TUM Estate): Worker interview - Herbicide application programmes, fertilizer application, chemical and fertilizer warehouse, HCV's, riparian zones, water management, etc.	√	-
Field Visit (TUM Estate): Worker interview - FFB harvesting, FFB loading, landfill (waste management), road maintenance, workshop, hazardous waste storage, etc.			-	√	-
Field Visit (TUM Estate): Boundaries inspection, housing, social amenities, school, clinic, etc.			-	-	√
12.00 – 14.00		Break	√	√	√
14.00 – 16.00		Document Review (TUM Estate) RSPO P&C (for Principle 4, Principle 7 and Principle 8)	√	-	-
		Document Review (TUM Estate) RSPO P&C (for Principle 1, Principle 3, Principle 4.7, and Principle 5)	-	√	-
		Document Review (TUM Estate) RSPO P&C (for Principle 2 and Principle 6)	-	-	√
16.00 – 16.30		Report Preparation	√	√	√
16.30 – 17.00		Closing Meeting	√	√	√
17.00 - ...		Travel to Perlavian Estate, stay overnight	√	√	√
Friday, 10/02/2017	08.30 – 14.30	Travelling Rantau Parapat – Medan (by train)	√	√	√
	20.30 – 23.00	Travelling Medan – Jakarta (GA 195)	√	√	√

Appendix E: Stakeholders Contacted

<p>Internal Stakeholders</p> <p>Estate managers, Field Assisstants, Sprayers, Harvesters, Fertilizer applicators, Field supervisors, Warehouse keepers (UMW South and TUM Estate);</p> <p>Water management assisstant, water management staffs (UMW South and TUM Estate);</p> <p>Weighbridge operators, operation supervisors, document controller (UMW POM),</p>	<p>Union/Contractors/Local Communities</p> <p>Serikat Pekerja Mandiri PT. Umbul Mas Wisesa (Worker Union);</p> <p>Komite Perempuan PT. Umbul Mas Wisesa (Gender Committee);</p>
<p>Government Departments</p> <p>Village authorities of Desa Tanjung Mulia</p>	<p>NGO</p> <p>Audit team tried to send correspondence to Sawit Watch, WALHI and WWF – however no response from these organization was accepted.</p>

Appendix F: CPO Mill Supply Chain Assessment Report

(Module D - CPO Mills: Identity Preserved)

Requirements	Compliance
D.1 Definition	
D.1.1 A mill is deemed to be Identity Preserved (IP) if the FFB used by the mill are sourced from its own supply base certified to the RSPO Principles and Criteria (RSPO P&C). 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. A mill may be taking delivery of FFB from uncertified growers, in addition to those from its own certified land base. If a mill processes certified and uncertified FFB without physically separating the material then only Module E is applicable.	<p>Management decided PT. Umbul Mas Wisesa POM, to upgrade RSPO Supply Chain Module E CPO Mills: Mass Balance into Module D CPO Mills: Identity Preserved. Previously the FFB sourced from company-owned estate, non-certified scheme smallholders. With the implementation of Module D CPO Mills: Identity Preserved, Umbul Mas Wisesa POM no longer received FFB from non-certified smallholder.</p> <p>Document seen: <i>The implementation of Identity Preserved system based on Memorandum No.02/PD-UMWM/IX/16 dated 23/09/2016. Point 5 stated Umbul Mas Wisesa POM choose to buy and sell again the third-party FFB, the purpose was to maintain contractual relationship with smallholder. The other purpose, was to keep production from non-certified content and upgrade the palm oil mill status into Identity Preserved module.</i></p> <p>Umbul Mas Wisesa Palm Oil Mill currently holding valid RSPO P&C certificate No.RSPO 611834, valid until 26th March 2020, with current supply chain standard for CPO Mills: Module E – Mass Balance.</p> <p>With the implementation of RSPO SCCS Module D – Identity Preserved, the palm oil mill’s supply base will only consist of company-owned estates namely Umbul Mas Wisesa North Estate, Umbul Mas Wisesa South Estate, PT. Toton Usaha Mandiri Estate.</p>
D.2 Explanation	
D.2.1 The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill must be recorded by the certification body (CB) in the public summary of the P&C certification report. This figure represents the total volume of certified palm oil product (CPO and PK) that the certified mill is allowed to deliver in a year. The actual tonnage produced shall then be recorded in each subsequent annual surveillance report.	<p>The estimate annual tonnage for certified FFB, CPO and PK are available in the Estate and Mill annual production budget for 12 months since last surveillance assessment. The FFB tonnage received from all certified supply bases. The certified supply base is coming from Umbul Mas Wisesa North Estate, Umbul Mas Wisesa South Estate, PT. Toton Usaha Mandiri Estate.</p> <p>This has been recorded in this public summary report.</p>
D.2.2 The mill must also meet all registration and reporting requirements for the appropriate supply chain through the RSPO supply chain managing organization (RSPO IT platform or book and claim).	<p>Company holds eTrace registration under PT. Umbul Mas Wisesa POM.</p> <p>PT. Umbul Mas Wisesa POM registered all the transactions within eTrace. RSPO etrace ID for PT. Umbul Mas Wisesa POM: RSPO_PO1000001670, dated back 17th September 2014.</p>
D.3 Documented procedures	
D.3.1 The site shall have written procedures and/or work instructions to ensure the implementation of all the elements specified in these requirements. This shall include at minimum the following:	

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<p>a) Complete and up to date procedures covering the implementation of all the elements in these requirements;</p>	<p>Umbul Mas Wisesa POM has a procedure "Rantai Pasok dan Mampu Telusur No.ENC/SCC/01 rev.3" dated 26th March 2015. The procedure explains</p> <p>4.1.1 The harvesting procedure;</p> <p>4.1.3 Recording harvest production;</p> <p>4.1.4 Transporting the FFB and indicating the name of Estate, date of FFB delivery, transport detail, year of planting, block ID, total of bunches, identification of sustainable product; non-certified FFB will bear "Non-certified product" marking;</p> <p>4.2.1 Weighing of FFB truck;</p> <p>4.2.2 Weighbridge ticket indicating name of POM, weighbridge ticket number, name of supplying estate, date and hour of FFB weighing, transport detail, year of planting, block ID, gross, tare and nett weight, identification of sustainable product; non-certified FFB will bear "Non-certified product" marking;</p> <p>4.2.3 Processing of FFB and loose fruit and "Processing Daily Report" which indicate: FFB sustainable, FFB processed per shift, CPO production, PK production, stock CPO sustainable and stock PK sustainable, dispatch CPO and PK, outstanding CPO and PK;</p> <p>4.3 Sales of CPO and PK;</p> <p>4.4 Delivery of CPO and PK, to include information on name of buyer, name of transporter, DO number, transport detail, commodity type, certification status, contract number, delivery address, etc.</p> <p>Umbul Mas Wisesa also has another procedure to handle FFB from smallholder as in "Prosedur Rantai Pasok dan Mampu Telusur FFB Smallholder Scheme No.UMWPOM-SOP/SHS/01" dated 1st October 2016. It was explained in the procedure, point 3.4 that Umbul Mas Wisesa POM will received and weigh the FFB from smallholder (non-certified); and ensure the FFB from smallholder only going through sortation process and loaded back for transport; and not coming into processing in Umbul Mas Wisesa POM. Umbul Mas Wisesa POM has a dedicated unloading yard, indicated with clear line on the loading ramp – for the purpose of unloading and sortation of non-certified FFB purchased.</p> <p>Umbul Mas Wisesa POM will made the payment and reporting of non-certified FFB in accordance to "Perjanjian Kerja" between company and cooperative smallholder.</p> <p>Audit team has checked the operation through field visit, interview with operators and record review onsite and confirmed no non-certified FFB from smallholder was entering process in Umbul Mas Wisesa POM.</p>
<p>b) The role of the person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the site's procedures for the implementation of this standard.</p>	<p>The Standard Operating Procedure Traceability covers responsibility for implementation of RSPO Supply Chain Module D: CPO Mills Identity Preserved.</p> <ul style="list-style-type: none"> - Marketing Dept. Head Office responsible to coordinate buyer, POM, and tank terminal for all transaction related to distribution of contract and supporting document, shipping management; reporting on three-monthly basis of CPO production and sales balance; determine the certification system and supply chain model to be used ; Issue delivery order/DO to Umbul Mas Wisesa POM;

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	<ul style="list-style-type: none"> - Estate: Ensure the FFB harvest was in line with quality standard; calculate number of bunches and create accurate harvesting record; prepare and make delivery of FFB to POM; - POM: Receive FFB and create record accordingly; ensure the milling process meet all requirements; in coordination with Marketing Department in Head Office to control the CPO and PK, identify the certification status and deliver on timely manner; - Marketing Department in coordination with ENC Department to report any projected overproduction; <p>All relevant staff and operators have been adequately trained: Mr.Wawan Kurniawan, document control and processing received training on Supply Chain dated 4th October 2016; Mr.Nindi Frameswari, weighbridge operator received training on Supply Chain on 4th October 2016; Mr.Eko Kurniawansyah, sortation/loading ramp received training on 4th October 2016;</p>
<p>D.3.2 The site shall have documented procedures for receiving and processing certified and non-certified FFBs.</p>	<p>Umbul Mas Wisesa POM has a procedure "Rantai pasok dan Mampu Telusur No.ENC/SCC/01 rev.3" dated 26/03/2015. The procedure explains</p> <ul style="list-style-type: none"> 4.1.1 The harvesting procedure; 4.1.3 Recording harvest production; 4.1.4 Transporting the FFB and indicating the name of Estate, date of FFB delivery, transport detail, year of planting, block ID, total of bunches, identification of sustainable product; non-certified FFB will bear "Non-certified product" marking; 4.2.1 Weighing of FFB truck; 4.2.2 Weighbridge ticket indicating name of POM, weighbridge ticket number, name of supplying estate, date and hour of FFB weighing, transport detail, year of planting, block ID, gross, tare and nett weight, identification of sustainable product; non-certified FFB will bear "Non-certified product" marking; <p>Umbul Mas Wisesa also has another procedure to handle FFB from smallholder as in "Prosedur Rantai Pasok dan Mampu Telusur FFB Smallholder Scheme No.UMWPOM-SOP/SHS/01" dated 1st October 2016. It was explained in the procedure, point 3.4 that Umbul Mas Wisesa POM will received and weigh the FFB from smallholder (non-certified); and ensure the FFB from smallholder only going through sortation process and loaded back for transport; and not coming into processing in Umbul Mas Wisesa POM. Umbul Mas Wisesa POM has a dedicated unloading yard, indicated with clear line on the loading ramp – for the purpose of unloading and sortation of non-certified FFB purchased.</p> <p>Umbul Mas Wisesa POM will made the payment and reporting of non-certified FFB in accordance to "Perjanjian Kerja" between company and cooperative smallholder.</p> <p>Audit team has checked the operation through field visit, interview with operators and record review onsite and confirmed no non-certified FFB from smallholder was entering process in Umbul Mas Wisesa POM.</p> <p>Record seen:</p>

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	<p>Certified FFB (from company-owned plantations): Delivery of FFB from Field Toton Usaha Mandiri Estate, No.TUME/009814, dated 6th February 2017, with 311 bunches from block M20, 666 bunches from block M21 and 375 bunches from block M22, planting year 2009 – total 1,352 bunches. Weighbridge ticket No.FFB17001724W dated 7th February 2017, with total 1,352 bunches; weigh 10,080 MT. Stamped "Sustainable Product IP RSPO certified No.611834". Delivery of FFB from Field Umbul Mas Wisesa South Estate, No.UMWE/001571, dated 7th February 2017, with 435 bunches from block D14 – planting year 2007 and 313 bunches from block D13 – planting year 2006 – total 748 bunches. Weighbridge ticket No.FFB17001725W dated 7th February 2017, with total 748 bunches; weigh 6,030 MT. Stamped "Sustainable Product IP RSPO certified No.611834".</p>
<p>D.4 Purchasing and goods in</p>	
<p>D.4.1 The site shall verify and document the tonnage and sources of certified and the tonnage of non-certified FFBs received.</p>	<p>Umbul Mas Wisesa separating the treatment for certified FFB coming from company-owned estate and non-certified FFB coming from third-party/smallholder;</p> <p>Non-certified FFB (received but not processed): Umbul Mas Wisesa POM received non-certified FFB but not processing non-certified FFB."Surat Pengantar TBS Koperasi Serba Usaha Suka Makmur No.KSU.SM.021" dated 14th October 2016. Total 777 bunches, weigh 4,750 kg. Transport No.BK 80799 YL – status "non-certified production". Weighbridge ticket No.FFBS16002101W dated 14th October 2016 from "Koperasi Serba Usaha Suka Makmur" for 4.871 MT with deduction 0.049 MT; stamped with "non-certified production". Umbul Mas Wisesa POM received non-certified FFB but not processing non-certified FFB."Surat Pengantar TBS Koperasi Konsumen Rapi Rezeki No.KRR.726" dated 14th October 2016. Total 404 bunches, weigh 5,990 kg. Transport No.BK 9737 KA – status "non-certified production". Weighbridge ticket No.FFBS16002100W dated 14th October 2016 from "Koperasi Rapi Rezeki" for Nett weight 5.316 MT with deduction 0.0054 MT. All non-certified FFB send to third-party mill as per "Delivery of FFB No.UMWM/00002" dated 14th October 2016 for 739 bunches from "Koperasi Serba Usaha Suka Makmur" and 350 bunches from "Koperasi Rapi Rezeki" – total 1,089 bunches, with weigh 10.610 MT. No balance of non-certified FFB left on the day.</p> <p>Certified FFB (from company-owned plantations): Delivery of FFB from Field Toton Usaha Mandiri Estate, No.TUME/000819, dated 19th October 2016, with 1107 bunches from block N09 and 404 bunches from block N08 – total 1511 bunches. Weighbridge ticket No.FFB16016549W dated 19th October 2016, with 1107 bunches from block N09 and 404 bunches from block N08 – total 1511 bunches; weigh 11.090 MT. Stamped "Sustainable Product RSPO certified No.611834".</p> <p>Based on interview with weighbridge operators, they</p>

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	<p>understood currently receiving FFB from company-owned plantation as certified supply base to be eligible for supply chain module Identity Preserved.</p>
<p>D.4.2 The site shall inform the CB immediately if there is a projected overproduction of certified tonnage.</p>	<p>Umbul Mas Wisesa POM has a procedure "Rantai pasok dan Mampu Telusur No.ENC/SCC/01 rev.3" dated 26th March 2015. The procedure explains Marketing Department in coordination with ENC Department to report any projected overproduction;</p> <p>During the 2nd annual surveillance assessment, Umbul Mas Wisesa POM was informing CB on the increase of FFB production, thus increase in CPO production. However, based on verification, Umbul Mas Wisesa POM was not over sold the CPO and PK production.</p>
<p>D.5 Record keeping</p>	
<p>D.5.1 The site shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a three-monthly basis.</p>	<p>Umbul Mas Wisesa POM has a procedure "Rantai pasok dan Mampu Telusur No.ENC/SCC/01 rev.3" dated 26th March 2015. The procedure explains Marketing Dept. Head Office responsible reporting on three-monthly basis of CPO production and sales balance;</p> <p>Record seen: Three monthly CPO production (still under Mass Balance module) for period January – March 2016; April – June 2016; July – September 2016; signed by mill manager.</p> <p>Non-certified FFB (received but not processed): Umbul Mas Wisesa POM received non-certified FFB but not processing non-certified FFB."Surat Pengantar TBS Koperasi Serba Usaha Suka Makmur No.KSU.SM.021" dated 14th October 2016. Total 777 bunches, weigh 4,750 kg. Transport No.BK 80799 YL – status "non-certified production". Weighbridge ticket No.FFBS16002101W dated 14th October 2016 from "Koperasi Serba Usaha Suka Makmur" for 4.871 MT with deduction 0.049 MT; stamped with "non-certified production". Umbul Mas Wisesa POM received non-certified FFB but not processing non-certified FFB."Surat Pengantar TBS Koperasi Konsumen Rapi Rezeki No.KRR.726" dated 14th October 2016. Total 404 bunches, weigh 5,990 kg. Transport No.BK 9737 KA – status "non-certified production". Weighbridge ticket No.FFBS16002100W dated 14th October 2016 from "Koperasi Rapi Rezeki" for Nett weight 5.316 MT with deduction 0.054 MT. All non-certified FFB send to third-party mill as per "Delivery of FFB No.UMWM/00002" dated 14th October 2016 for 739 bunches from "Koperasi Serba Usaha Suka Makmur" and 350 bunches from "Koperasi Rapi Rezeki" – total 1,089 bunches, with weigh 10.610 MT. No balance of non-certified FFB left on the day.</p> <p>Certified FFB (from company-owned plantations): Delivery of FFB from Field Toton Usaha Mandiri Estate, No.TUME/000819, dated 19th October 2016, with 1107 bunches from block N09 and 404 bunches from block N08 – total 1511 bunches. Weighbridge ticket No.FFB16016549W dated 19th October 2016, with 1107 bunches from block N09 and 404 bunches</p>

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	<p>from block N08 – total 1511 bunches; weigh 11.090 MT. Stamped "Sustainable Product RSPO certified No.611834".</p> <p>Production: "Umbul Mas Wisesa POM Daily Production Figure for 10/10/2016" stated: certified FFB receipt from Umbul Mas Wisesa South Estate 219.4 MT; certified FFB from Umbul Mas Wisesa North Estate 138.41 MT; certified FFB from Toton Usaha Mandiri Estate 66.7 MT – total 424.51 MT; balance FFB from previous day (certified FFB): 117.323 MT. FFB processed 474.104 MT. CPO production 117.381 MT; OER 24.76%. PK production 18 MT; KER 3.80%.</p> <p>Audit team checked on transaction TR-6bf2ebe8-4c27 and company has been able to demonstrate traceability.</p>
<p>D.6 Processing</p>	
<p>D.6.1 The site shall assure and verify through documented procedures and record keeping that the RSPO certified oil palm product is kept segregated from non-certified material including during transport and storage.</p>	<p>Record seen: Certified FFB (from company-owned plantations): Delivery of FFB from Field Toton Usaha Mandiri Estate, No.TUME/000819, dated 19th October 2016, with 1107 bunches from block N09 and 404 bunches from block N08 – total 1511 bunches. Weighbridge ticket No.FFB16016549W dated 19th October 2016, with 1107 bunches from block N09 and 404 bunches from block N08 – total 1511 bunches; weigh 11.090 MT. Stamped "Sustainable Product RSPO certified No.611834".</p> <p>Production: "Umbul Mas Wisesa POM Daily Production Figure for 10/10/2016" stated: certified FFB receipt from Umbul Mas Wisesa South Estate 219.4 MT; certified FFB from Umbul Mas Wisesa North Estate 138.41 MT; certified FFB from Toton Usaha Mandiri Estate 66.7 MT – total 424.51 MT; balance FFB from previous day (certified FFB): 117.323 MT. FFB processed 474.104 MT. CPO production 117.381 MT; OER 24.76%. PK production 18 MT; KER 3.80%.</p>
<p>D.6.2 The objective is for 100 % segregated material to be reached.</p>	<p>As a preparation to implement RSPO SCCS for CPO Mills: Module D – Identity Preserved, Umbul Mas Wisesa POM has conducted system and machinery clearance to ensure no contamination. Record seen: "Berita Acara Storage Tank No.1 Kapasitas 2,000 Ton", conducted by Mr.Fotuho Gulo on 26th August 2016. Umbul Mas Wisesa was able to demonstrate that there are transition period to ensure material in process since 7th October 2016 up to 8th October 2016 was still treated as Mass Balance.</p> <p>Umbul Mas Wisesa also has another procedure to handle FFB from smallholder as in "Prosedur Rantai Pasok dan Mampu Telusur FFB Smallholder Scheme No.UMWPOM-SOP/SHS/01" dated 1st October 2016. It was explained in the procedure, point 3.4 that Umbul Mas Wisesa POM will received and weigh the FFB from smallholder (non-certified); and ensure the FFB from smallholder only going through sortation process and loaded back for transport; and not coming into processing in Umbul Mas Wisesa POM. Umbul Mas Wisesa POM has a dedicated unloading yard, indicated with clear line on the</p>

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	<p>loading ramp – for the purpose of unloading and sortation of non-certified FFB purchased.</p> <p>Umbul Mas Wisesa POM will made the payment and reporting of non-certified FFB in accordance to “Perjanjian Kerja” between company and cooperative smallholder.</p> <p>Audit team has checked the operation through field visit, interview with operators and record review onsite and confirmed no non-certified FFB from smallholder was entering process in Umbul Mas Wisesa POM.</p> <p>Started since 10th October 2016, Umbul Mas Wisesa POM only processed certified FFB. With this supply base, Umbul Mas Wisesa POM has demonstrated upgrade in the supply chain module into: Identity Preserved.</p> <p>Since October 2016, UMW POM was purchasing FFB from smallholder (non-certified), but no longer processing the FFB. This is to maintain the Identity Preserved status of UMW POM. UMW POM maintain the record of FFB purchased (not processed) from smallholder. The record shows on November 2016, the purchased FFB from smallholder 60,748 kg. The record also shows on November 2016, the FFB sold (not processed) after sortation was 59,096 kg.</p> <p>PT. Umbul Mas Wisesa is contracting CV Tua Gabe in transporting the certified CPO. Document seen, Work agreement, “Perjanjian Pengangkutan” dated 21st October 2015, chapter 1, verse 5 stating “CV. Tua Gabe menyediakan motor tangki dengan kondisi siap pakai, miliknya atau yang berada di bawah penguasannya, dan tangkinya harus bersih dari kontaminasi selain Minyak Kelapa Sawit” – CV Tua Gabe providing tanker in ready-to-use condition, and the tank is clean from contamination. Through the work agreement, company demonstrating effort to minimize risk of contamination.</p> <p>The CPO and PK from UMW mill was transit in Perlabian POM, and stored in separated CPO tank, No.1&2 and separate kernel bin No.3 to ensure 100% segregation.</p>
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Actual Tonnage Certified Palm Production – March 2016 – February 2017

Mill	Capacity	CPO	PK
Umbul Mas Wisesa POM	40 tons FFB/hour	35,642	5,782

Actual Tonnage Sales of Certified Palm Products - March 2016 – February 2017

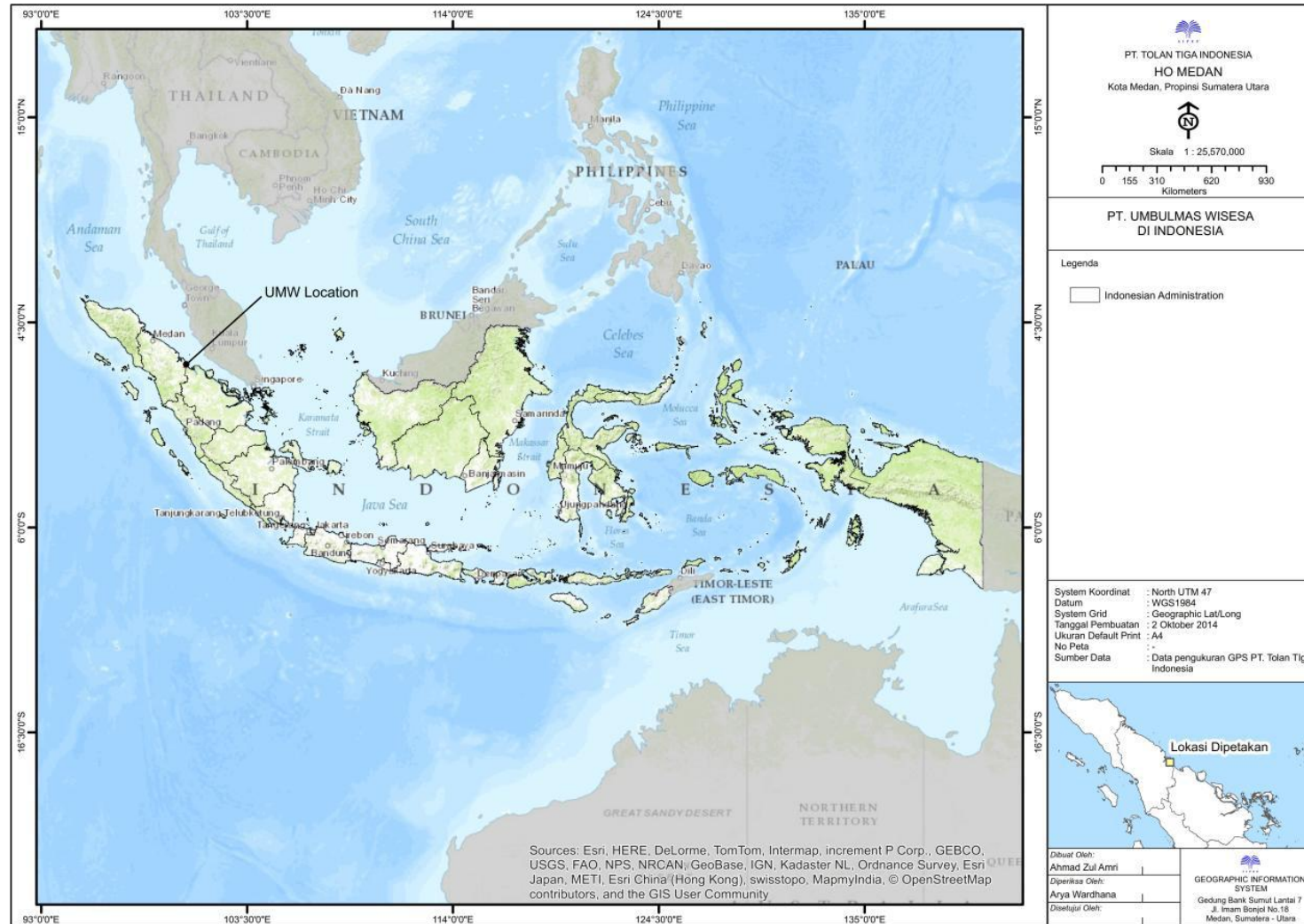
Mill	Certified CPO Sales	Certified PK Sales	Remarks
Umbul Mas Wisesa POM	8,900	3,561	Mass Balance
	1,250	-	Segregation
	-	390	Identity Preserved

Month	Certified Supply Base (from own certificate scope) (mt)			
	Umbul Mas Wisesa South Estate	Umbul Mas Wisesa North Estate	Toton Usaha Mandiri Estate	Total FFB/Month (mt)

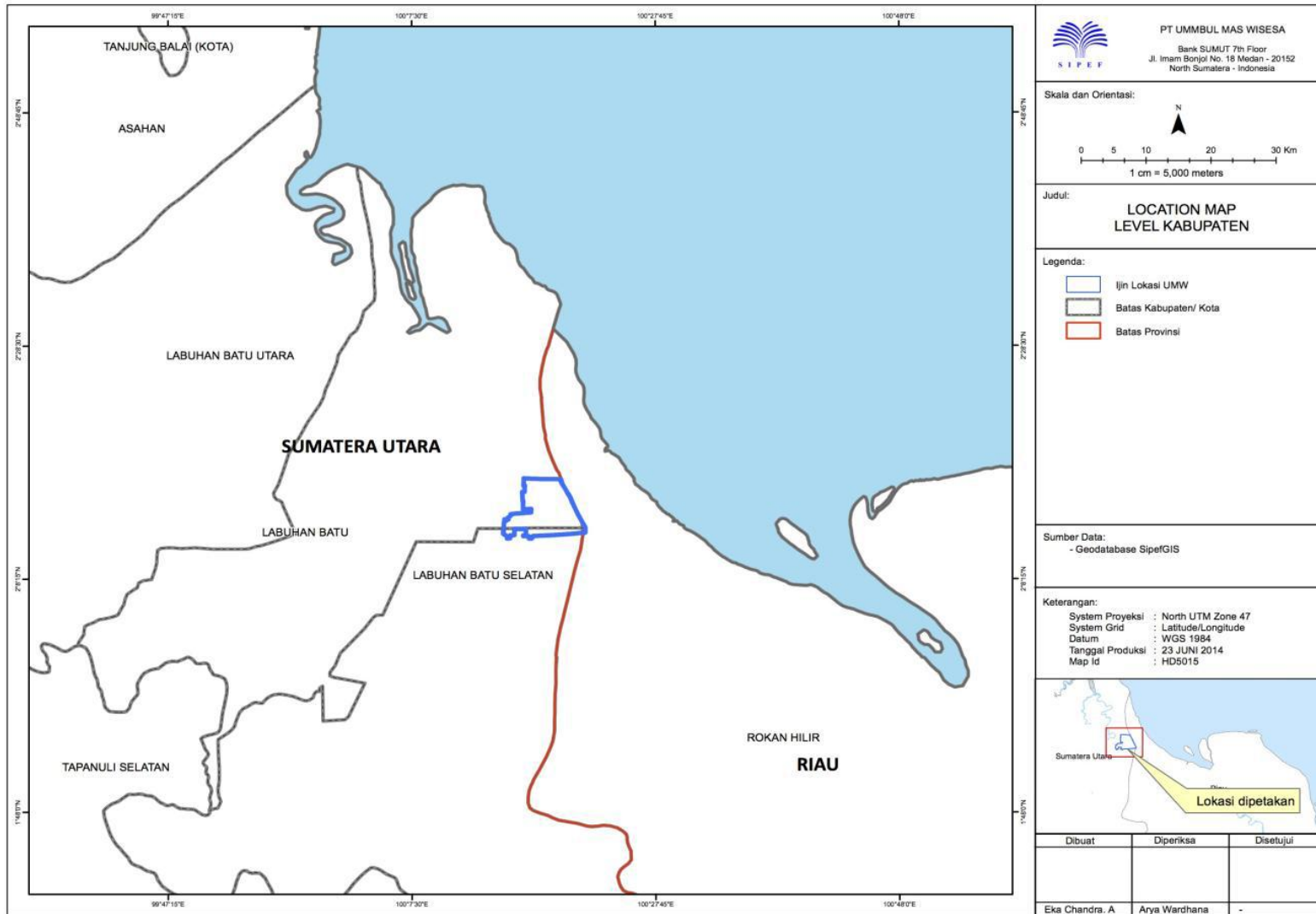
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March 2016	4,920	3,227	1,567	9,713
April 2016	4,240	3,526	1,585	9,351
May 2016	5,373	4,259	2,028	11,660
June 2016	9,189	5,419	2,668	17,276
July 2016	7,066	4,546	2,215	13,828
August 2016	6,093	4,099	2,130	12,322
September 2016	8,652	5,220	2,325	16,198
October 2016	6,970	4,634	2,035	13,638
November 2016	6,636	4,192	1,922	12,750
December 2016	6,472	3,950	1,715	12,138
January 2017	5,484	3,645	1,584	10,713
February 2017	5,347	3,437	1,571	10,355
Total	76,442	50,154	23,345	149,941

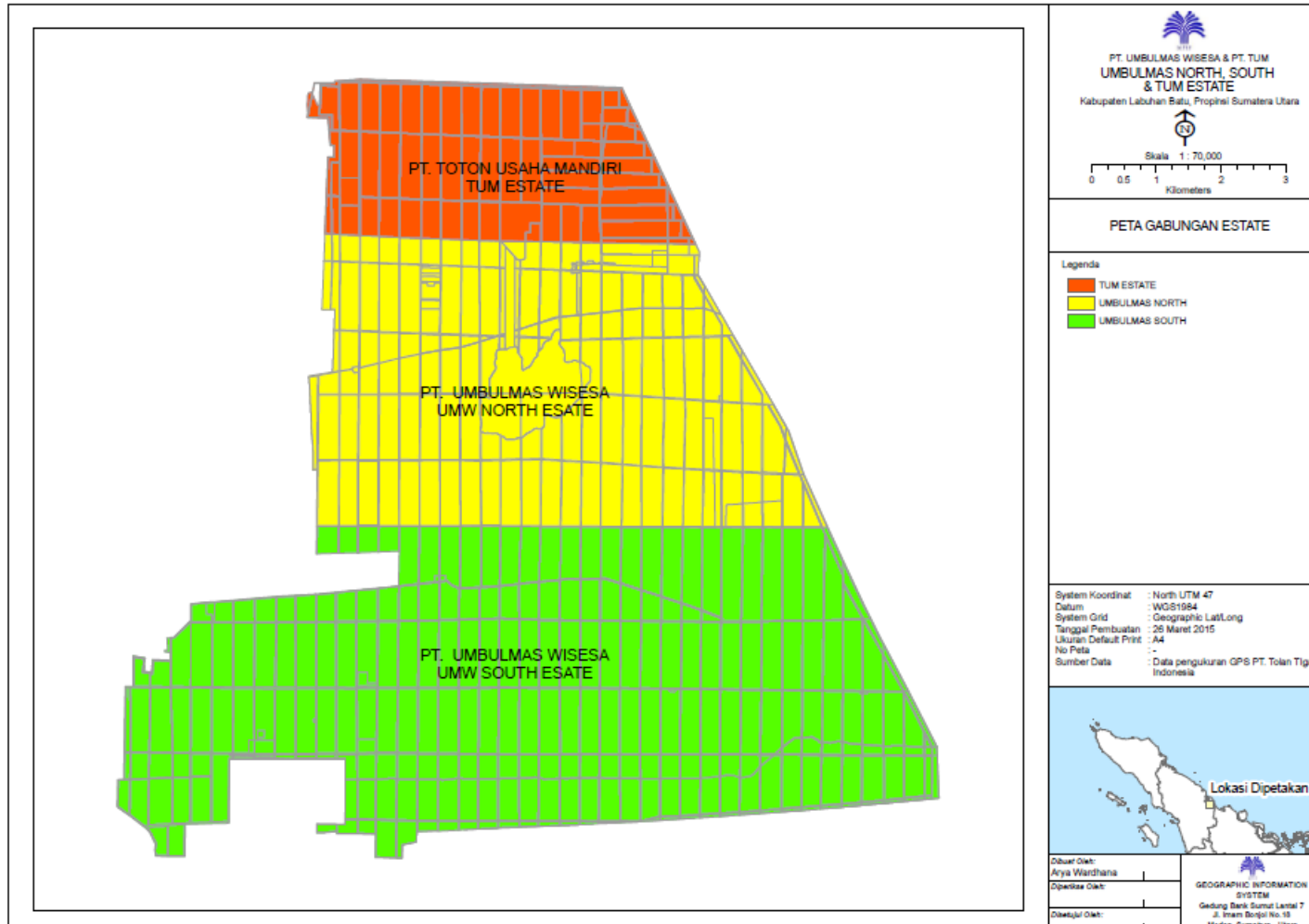
Appendix G: Location Map of Certification Unit and Supply bases



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Appendix H: Estate Field Map



Appendix I: PalmGHG calculation

Summary of Net GHG Emissions

Emission per Product	tCO ₂ e/tProduct
CPO	12.31
PK	12.31

Extraction	Percentage (%)
OER	24.36
KER	3.95

Production	Ton/year
FFB processed	148229
CPO processed	36105

Land Use	Hectare
OP planted area	8184.40
OP planted on peat	8184.40
Conservation (forested)	243.69
Conservation (non-forested)	0
Total	8428.09

Summary of Field Emissions and Sinks

	Own Crop		Group	
	tCO ₂ e	tCO ₂ e/tFFB	tCO ₂ e	tCO ₂ e/tFFB
Emissions				
Land conversion	61669.97	7.54	0.42	0
*CO ₂ Emissions from Fertilizer	8912.75	1.09	0.06	0
**N ₂ O Emissions	67697.26	8.27	0.46	0
Fuel Consumption	1338.95	0.16	0.01	0
Peat Oxidation	446868.24	54.60	3.01	0
Sinks				
Crop Sequestration	-76620.17	-9.36	-0.52	0
Conservation Sequestration	-412.74	-0.05	0	0
Total	509454.26	62.25	3.44	0

Summary of Mill Emissions and Credits

	tCO ₂ e	tCO ₂ e/tFFB
Emissions		
POME	5481.01	0.04
Fuel Consumption	1389.37	0.04
Grid Electricity Utilisation	0	
Credits		
Export of Grid Electricity	0	0
Sales of PKS	0	0
Sales of EFB	0	0
Total	6870.38	0.05

Palm Oil Mill Effluent (POME) Treatment

Divert to compost	0%
Divert to anaerobic digestion	100%

POME diverted to Anaerobic Digestion

Divert to anaerobic pond	0%
Divert to methane capture (flaring)	100%
Divert to methane capture (electricity generation)	0%

Appendix J: List of Abbreviations Used

AMDAL	Analisis Mengenai Dampak Lingkungan – Social Environmental Impact Assessment
BOD	Biological Oxygen Demand
CD	Community Development
CPO	Crude Palm Oil
CSR	Corporate Social Responsibility
EFB	Empty Fruit Bunch
EMS	Environmental Management System
ENC	Environment and Conservation Department
FA	Field Assisstant
FFB	Fresh Fruit Bunch
GMP	Good Manufacturing Practice
GRTG	Ganti Rugi Tanah Garapan – Compensation upon land used
GRTT	Ganti Rugi Tanam Tumbuh – Compensation upon planting
HCV	High Conservation Value
HGU	Hak Guna Usaha – Legal ownership of the land
IAV	Initial Assessment Visit
IPM	Integrated Pest Management
KER	Kernel Extraction Rate
KSU	Koperasi Serba Usaha – Cooperative
LD ₅₀	Lethal Dosage on 50
MCA	Manager Corporate Affair
MSDS	Material Safety Data Sheet
NPP	New Planting Procedure
OER	Oil Extraction Rate
PK	Palm Kernel
PKB	Perjanjian Kerja Bersama – Collective Work Agreement
POM	Palm Oil Mill
PPE	Personal Protective Equipment
PUK	Pengurus Unit Kerja – Unit's Committee
RED	Renewable Energy Directive
RKL	Rencana Pengelolaan Lingkungan – Environmental Management Plan
RPL	Rencana Pemantauan Lingkungan – Environmental Monitoring Plan
RSPO	Roundtable on Sustainable Palm Oil
RSPO P&C	Roundtable on Sustainable Palm Oil Principle & Criteria
SCCS	Supply Chain Certification Standard
SEIA	Social and Environmental Impact Assessment
SIA	Social Impact Assessment
SK	Surat Keputusan – Decree Letter
SKT	Surat Keterangan Tanah – Land Letter
SOP	Standard Operating Procedure
TUM	PT. Toton Usaha Mandiri
TUME	Toton Usaha Mandiri Estate
UMW	PT. Umbul Mas Wisesa
UMWN	Umbul Mas Wisesa North Estate
UMWS	Umbul Mas Wisesa South Estate