

***Roundtable on Sustainable Palm Oil Certification
RSPO***

[] Stage-1 [✓] Stage-2 [] Surveillance [] Re-Certification

Name of Management Organisation : DOLOK ILIR Palm Oil Mill subsidiary of PT Perkebunan Nusantara IV (PERSERO)

Plantation Name : Dolok Ilir Estate

Location : Village of Babolon, Sub District of Dolok Batunanggar, District of Simalungun, Province of North Sumatera, Indonesia

Certificate Code : *MUTU-RSPO/075*

Date of Certificate Issue : 29 September 2015

Date of License Issue : 29 September 2015

Date of Certificate Expiry : 28 September 2020

Date of License Expiry : 28 September 2016

Assessment	Assessment Date	PT. Mutuagung Lestari Auditor	Reviewed by	Approved by
ST-1	13 – 14 November 2014	Octovianus Rusmin (Lead Auditor), Abdul Rahman, Andi Pratama Pasaribu, Sahat Simarmata, Sapto Hadi Winarno, Hariyadi (Technical Expert)	Ganapathy Ramasamy	Tony Arifiarachman
ST-2	13 – 17 February 2015	Octo H.P.N Nainggolan (Lead Auditor), Ibnu Satria Prabudi, Steve Mualim, Doni		

Assessment	Approved by MUTUAGUNG LESTARI on:
ST-2	29 September 2015

TABLE OF CONTENT

FIGURE

Figure 1. Location Map of PT Perkebunan Nusantara IV unit usaha Dolok Ilir	3
Figure 2. Operational Map of PT Perkebunan Nusantara IV unit usaha Dolok Ilir POM	4

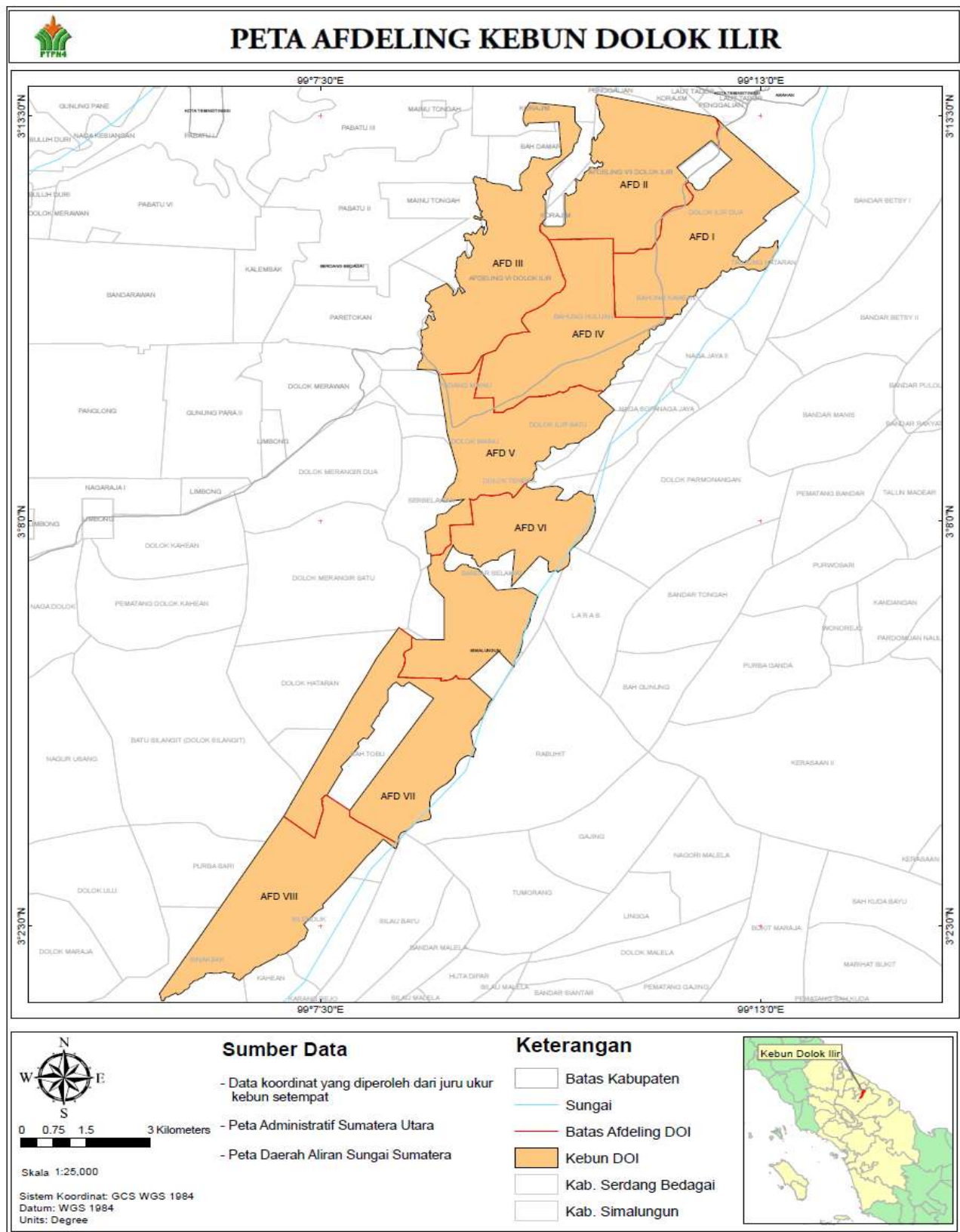
Abbreviations Used	5
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1.0 SCOPE of the CERTIFICATION ASSESSMENT	6
1.1 Assessment Standard Used	6
1.2 Organisation Information	6
1.3 Type of Assessment	6
1.4 Location of Mill and Plantations	6
1.5 Description of Area Statement	6
1.6 Planting Year and Cycles	7
1.7 Description of Mill and Supply Base	7
1.8 Estimate Tonnage of Certified Product	8
1.9 Other Certifications	8
1.10 Time-Bound Plan	9
2.0 ASSESSMENT PROCESS	10
2.1 Assessment Team	10
2.2 Assessment Methodology, Assessment Process and Locations of Assessment	10
2.3 Stakeholder Consultation and Stakeholders Contacted	12
2.4 Determining Next Assessment	12
3.0 ASSESSMENT FINDINGS	13
3.1 Summary of Assessment Report of the RSPO Certification	13
3.2 Summary of Assessment Report of Supply Chain Requirement	38
3.3 Conformity Checklist of Certificate and Logo Use	41
3.4 Summary of RSPO Partial Certification	42
3.5 Identification of Findings, Corrective Actions, Observations, Opportunity for Improvement and Noteworthy Positive Components	44
3.6 Summary of Arising Issues from Public, Management and Auditor Responses	59
4.0 CERTIFIED ORGANISATION'S ACKNOWLEDGEMENT OF INTERNAL RESPONSIBILITY	66
4.1 Formal Signing of Assessment Findings	66
APPENDICES	
1. List of Stakeholders Contacted in the RSPO Certification Process	67
2. Assessment Program	68

Figure 1. Location Map of PT Perkebunan Nusantara IV unit usaha Dolok Ilir



Figure 2. Operational Map of PT Perkebunan Nusantara IV management unit of Dolok Ilir



Abbreviations Used		
ASA	:	Annual Surveillance Assessment
BOD	:	Biological Oxygen Demand
BPJS	:	Badan Penyelenggara Jaminan Sosial (Social Assurance Body)
CCSR	:	Corporate Social Responsibility
CITES	:	Critical Threatened Endangered species
CPO	:	Crude Palm Oil
DOI	:	Dolok Ilir
dB	:	Decibel
EWS	:	Early Warning System
FFB	:	Fresh fruit Bunch
GHG	:	Green House Gas
GUU	:	Group Unit Usaha (Business Unit Group)
HCV	:	High Conservation Value
HGU	:	Hak Guna Usaha (Land Use Title)
HR	:	Human Resources
IUP	:	Izin Usaha Perkebunan (Plantation Business Permit)
LA	:	Land Application
NGO	:	Non Government Organisation
OHS	:	Occupational Health and Safety
PK	:	Palm Kernel
PKB / CLA	:	Perjanjian Kerja Bersama (Collective Labour Agreement)
PPE	:	Personnel Protective Equipment
PTPN IV	:	PT Perkebunan Nusantara IV (Persero)
P & C	:	Principle and Criteria
POM	:	Palm Oil Mill
RKL-RPL	:	Rencana Kelola Lingkungan – Rencana Pemantauan Lingkungan (<i>Environmental Management Plan – Environmental Monitoring Plan</i>)
RSPO	:	Roundtable on Sustainable Palm Oil
SE	:	Surat Edaran (Circular Letter)
SI	:	Satuan Inspeksi (Inspection)
SIO	:	Surat Izin Operator (Operator License)
SPO	:	Sustainable Palm Oil
ST-1	:	Stage-01 (Pre Assessment)
ST-2	:	Stage-02 (Initial Assessment)
SOP	:	Standard Operational Procedure
SPK	:	Surat Perintah Kerja (Work Order Letter)
UPDKS	:	Ulat Pemakan Daun Kelapa Sawit (Oil Palm Tree Leaf Caterpillar)
WWTP	:	Waste Water Treatment Plant

1.0	SCOPE of the CERTIFICATION ASSESSMENT		
1.1	Assessment Standard Used	<ul style="list-style-type: none">• <i>RSPO Principles and Criteria (P&C) for the Production of Sustainable Palm Oil - April 25th, 2013.</i>• <i>RSPO Supply Chain Certification Standard For organizations seeking or holding certification Adopted by the RSPO Board of Governors on 21 November 2014 (Module D / E for CPO Mill)</i>	
1.2	Organisation Information		
1.2.1	Organisation name listed in the certificate	PT Perkebunan Nusantara IV (PERSERO)	
1.2.2	Contact person	Dhanny Hermawan	
1.2.3	Organisation address and site address	Head Office: Jalan Letjen Suprpto No.2, 20151, Medan, Sumatera Utara, Indonesia	
1.2.4	Telephone	(62-61) 415 4666	
1.2.5	Fax	(62-61) 457 3117	
1.2.6	E-mail	perencanaan@ptpn4.co.id	
1.2.7	Web page address	www.ptpn4.co.id	
1.2.8	Management Representative who completed the application for certification	Dhanny Hermawan	
1.2.9	Registered as RSPO member	1-0082-09-000-00 29 June 2009	
1.3	Type of Assessment		
1.3.1	Scope of Assessment and Number of Management Unit	One (1) unit of Palm Oil Mill supply by one (1) estate <ul style="list-style-type: none">• Dolok Ilir Mill and Dolok Ilir.Estate	
1.3.2	Type of certificate	Single	
1.4	Locations of Mill and Plantation		
1.4.1	Location of Mill		
	Name of Mill	Location	Coordinate
			Latitude Longitude
	Dolok Ilir Mill	Village of Babolon, Sub district of Dolok Batunanggar District of Simalungun, Province of North Sumatera, Indonesia	N 03° 07' 20"E 99° 09' 42"
1.4.2	Location of Certification Scope of Supply Base		
	Name of Supply Base	Location	Coordinate
			Latitude Longitude
	Dolok Ilir Estate	Village of Babolon, Sub district of Dolok Batunanggar District of Simalungun, Province of North Sumatera, Indonesia	N 03° 13' 44"E 99° 10' 59"
1.5	Description of Area Statement		
1.5.1	Tenure		
	<ul style="list-style-type: none">• State	7,348.81	Ha
	<ul style="list-style-type: none">• Community		Ha

1.5.2	Area Statement									
	• Total area					7,348.81 Ha				
	• Planted Area					5,864.00 Ha				
	• Mature					557.00 Ha				
	• Immature									
	• Unplanted Area (Areal HYATEN)					465.00 Ha				
	• Housing					100.42 Ha				
	• Mill					4.71 Ha				
	• Golf Court					5.60 Ha				
	• Government Electricity Line					4.27 Ha				
	• Public Road					176.00 Ha				
	• Infrastructure (roads and bridges)					142.14 Ha				
	• Canal					19.16 Ha				
	• Symbolic Plant					8.79 Ha				
• Cementary					1.72 Ha					
**Conservation Area (Inclusive in planted area/not as HCV area)					51.45 Ha					
1.6	Planting Year and Cycles									
1.6.1	Age profile of planting year									
	Planting Year	Hectarage of Afdeling (Ha)								Total (ha)
		I	II	III	IV	V	VI	VII	VIII	
	1990	1.00					83.00	165.00		249.00
	1992						186.00	19.00		205.00
	1993						62.00	126.00	49.00	237.00
	1994	23.00		139.00			16.00		79.00	257.00
	1995	29.00		67.00	41.00					137.00
	1996	61.00				87.00		108.00	94.00	350.00
	1997	354.00	235.00	249.00	408.00	178.00			163.00	1,587.00
	1998	256.00	349.00	384.00	345.00	263.00	76.00	166.00	36.00	1,875.00
	1999		116.00			239.00	2.00		216.00	573.00
	2000					16.00			74.00	90.00
	2004					8.00				8.00
	2008			14.00						14.00
	2010						11.00	4.00	4.00	19.00
	2011						148.00	115.00		263.00
	2012						84.00		22.00	106.00
	2013	56.00	40.00		112.00		134.00	87.00	22.00	451.00
		TOTAL	780.00	740.00	853.00	906.00	791.00	802.00	790.00	759.00
1.6.2	New Planting area after January 2010				- Ha					
1.6.3	Planting Cycle				3 nd Cycle					
1.7	Description of Mill and Supply Base									

1.7.1	Description of Mill						
	Name of Mill	Capacity (tonnes/ hour)	FFB Processed (tonnes/year)	CPO		Palm Kernel	
				Out put (tonnes)	Extraction (%)	Out put (tonnes)	Extraction (%)
	PKS Dolok Ilir	60	250,394,19	54,921.60	21,93	11,437.91	4.57
	<i>*Production data source from February 2014 to January 2015</i>						
1.7.2	Description of Certification Scope of Supply Base						
	Name of Estate	Total Area (Ha)	Planted Area (Ha)	FFB (tonnes/year)	Yield (tonnes/ha/year)	Supplied to Mill	
						FFB (tonnes/year)	%
	Dolok Ilir	7.348.81	6,421.00	100,569.22	15.66	100,569.22	100
	TOTAL	7.348.81	6,421.00	100,569.22	15.66	100,569.22	100
	<i>*Production data source from February 2014 to January 2015</i>						
1.7.3	FFB description from other source						
	Name of sources	Organisation	Location	Supplied to Mill			
				FFB (tonnes/year)			
	Laras (4,572.72 Ha)	PTPN IV (Non RSPO Certified)	District of Simalungun North Sumatera Province	60,088.82			
	Babirong ulu (2,601.37 Ha)			26,348.85			
	MARJANJI (2,047 Ha)			1,296.63			
	BUKIT LIMA (5,989 Ha)			144.98			
	TANAH HITAM HULU (2,620 Ha)			721.16			
	MARIHAT (4,956.7 Ha)			7,061.89			
	FFB suppliers	Independent Smallholders (Non RSPO Certified)	District of Simalungun North Sumatera Province	54,193.71			
	TOTAL			149,856.04			
	<i>*Production data source from February 2014 to January 2015</i>						
1.7.4	Product categories			FFB, CPO, PK			
1.8	Estimate Tonnage of Certified Product						
1.8.1	Past Annual Claim Certified Product			Previous Certificate Claim to (tonnes/year)		Actual certified product to (tonnes/year)	
	• FFB Production			-		-	
	• CPO Production			-		-	
	• Palm Kernel (PK) Production			-		-	
	<i>Will be verified during the first Surveillance Assessment.</i>						
1.8.2	Estimate of Certified FFB Claim						
	Name of Estate	Total Area (Ha)	Planted Area (Ha)	FFB (tonnes/year)	Yield (tonnes/ha/year)		
	Dolok Ilir	7.348.81	6,421.00	101,451	15.80		
	TOTAL	7.348.81	6,421.00	101,451	15.80		
	<i>*Projected FFB production for 12 months of certificate</i>						
1.8.3	Estimate of Certified Palm Product Claim						
	Name of Mill	Capacity (tonnes/ hour)	FFB Processed (tonnes/year)	CPO		Palm Kernel	
				Out put (tonnes)	Extraction (%)	Out put (tonnes)	Extraction (%)

	Dolok Ilir	60	101,451	22,826	22.50	4,880	4.81
	<i>*Projected CSPO and CSPK production for 12 months of certificate</i>						
1.9	Other Certifications						
	Management Unit of PTPN IV Dolok Ilir previously have implanted ISO 9000 and ISO 14000 system, however during the audit conducted the certificate in expiry status.						
1.10	Time Bound Plan						
1.10.1	Time Bound Plan for Other Management Units						
	Management Unit		Estate (Supply Base)	Time Bound Plan	Location		Status
	MILL	Time Bound Plan					
	Pabatu	2015	Pabatu	2015	Kabupaten Serdang Bedagai, Sumatera Utara		Certified 2015
	Dolok Ilir	2015	Dolok Ilir	2015	Kabupaten Simalungun, Sumatera Utara		Certified 2015
			Laras	2015	Kabupaten Simalungun, Sumatera Utara		Audit Planned
	Pulu Raja	2015	Pulu Raja	2015	Kabupaten Asahan, Sumatera Utara		Certified 2015
	Adolina	2015	Adolina	2015	Kabupaten Serdang Bedagai dan Kabupaten Deli Serdang, Sumatera Utara		Audit Planned 2015
	Bahjambi	2015	Bah Jambi	2015	Kabupaten Simalungun, Sumatera Utara		Audit Planned 2015
			Marihat	2016	Kabupaten Simalungun, Sumatera Utara		Audit Planned
			Bah Birung Ulu	2016	Kabupaten Simalungun, Sumatera Utara		Audit Planned
			Marjandi	2016	Kabupaten Simalungun, Sumatera Utara		Audit Planned
	Dolok Sinumbah	2015	Dolok Sinumbah	2015	Kabupaten Simalungun, Sumatera Utara		Audit Planned
			Balimbingan	2016	Kabupaten Simalungun, Sumatera Utara		Audit Planned
	Mayang	2015	Mayang	2015	Kabupaten Simalungun, Sumatera Utara		Audit Planned 2015
			Bukit Lima	2016	Kabupaten Simalungun, Sumatera Utara		Audit Planned 2015
	Gunung Bayu	2015	Gunung Bayu	2015	Kabupaten Simalungun, Sumatera Utara		Audit Planned 2015
			Tanah Itam Ulu	2015	Kabupaten Batubara, Sumatera Utara		Audit Planned 2015
	Tinjowan	2015	Tinjowan	2015	Kabupaten Simalungun, Sumatera Utara		Audit Planned 2015
			Aek Nauli	2015	Kabupaten Simalungun, Sumatera Utara		Audit Planned 2015
			Padang Matinggi	2015	Kabupaten Simalungun, Sumatera Utara		Audit Planned 2015
	Air Batu	2015	Air Batu	2015	Kabupaten Asahan, Sumatera Utara		Audit Planned 2015
	Berangir	2015	Berangir	2015	Kabupaten Labuhan Batu Utara, Sumatera Utara		Audit Planned 2015
	Sawit Langkat	2015	Sawit Langkat	2015	Kabupaten Langkat, Sumatera Utara		Audit Planned 2015
	Pasir Mandoge	2015	Pasir Mandoge	2015	Kabupaten Asahan, Sumatera Utara		Audit Planned 2015
			Tonduhan	2016	Kabupaten Simalungun, Sumatera Utara		Audit Planned

			Sei Kopas	2016	Kabupaten Asahan, Sumatera Utara	Audit Planned
	Timur	2018	Timur	2018	Kabupaten Mandailing Natal, Sumatera Utara	Audit Planned
			Balap	2018	Kabupaten Mandailing Natal, Sumatera Utara	Audit Planned
	Ajamu	2017	Ajamu	2017	Kabupaten Labuhan Batu, Sumatera Utara	Audit Planned
			Meranti Paham	2017	Kabupaten Labuhan Batu, Sumatera Utara	Audit Planned
			Panai Jaya	2018	Kabupaten Labuhan Batu, Sumatera Utara	Audit Planned
	Sosa	2017	Sosa	2017	Kabupaten Padang Lawas, Sumatera Utara	Audit Planned
1.10.2	Progress of Associated Smallholders and Outgrowers for Certifiable Standard					
	Progress of associates smallholders and out growers which supplied FFB to Dolok Ilir POM will be verified during the first surveillance assessment.					

2.0	ASSESSMENT PROCESS
2.1	Assessment Team
ST-2	<p>1. Octo HPN Nainggolan (Lead Auditor). A bachelor of Agriculture, majoring of Social Economics of Agriculture (Agribusiness). He has a working experience since 2004 oil palm Plantation Company in Indonesia. Trainings attended namely: Training of Conservation of Natural and Biological Resources in supporting HCV, Basic Plantation Management Program, Plantation Integrated Pest Management training, Followed the Management System Certification (ISO 9001-2008/SNI 19011-9001:2008), Environment Management System (ISO 14001:2004) , RSPo Lead Auditors Training Course, Indonesian Sustainable Palm Oil (ISPO) Lead Auditor training course and supply chain certification system training by BM Trada. Currently, he worked at Professional Certification Body. In the assessment activity, he assessed on legal aspect, best agricultural practices, environment aspect, social aspect, workers welfare, FFB Processing and supply chain requirement.</p> <p>2. Steve Mualim (Auditor). Master in Environmental and natural resources management, Bogor Agricultural University. He has worked as a freelance in several consultant in the Environmental Impact Assessment. He has followed training of Lead Auditor training ISPO, RSPo awareness, Ecological Risk Assessment, Asian Network Update and Carbon, and Climate Change Mitigation and Adaptation for Agricultural Productivity in the assessment activity, he assessed on environment aspect and waste management.</p> <p>3. Ibnu Satria Prabudi (Auditor). A Bachelor of Agriculture Majoring in Agro-technology, Agriculture Faculty of Instiper Yogyakarta. Currently he has been working with an independent certification agency as auditor. Training he has followed are: Lead Auditor RSPo, Auditor ISPO, Awareness HACCP certification, Awareness SQMS Mc Donald, In House Training Green House Gas and Awareness ISO: 9001. He has been working with an independent certification body as auditor. During this assessment, he assigned to verify of Best Agricultural Practices, safety and Health, Worker Welfare.</p> <p>4. Doni (Auditor). Master's Program In Sociology Rural. Have been following the certification of Sustainable Production forest management (PHPL) Ecolabel of Indonesia (LEI) in 2008 and Training Up-Grading at the Pusdiklat PHPL Forestry Bogor in 2010. Since 2003 have been a several times to audit certification of PHPL, among others: PT Bintuni Straits Bay Main Agro Mina Prop. West Papua in 2010 PT. ITCIKU Prop. In 2009, Kaltim Cooperative Meranti Grow Beautiful Prop. In 2008, PT Kaltim Memberamo Indan Agro Mandiri in 2008, PT Arara Abadi Prop. Riau in 2005, PT INHUTANI III (Nanga Pinoh) Kaltim, 2003. Since 2005-present work free lance in BAPPENAS, Ministry of Regional development is lagging behind (KPDT) and Ministry Director General Cipta Karya PU as an evaluation team. 2006-2007 working in JICA-UN-HABITAT and UNDP. In the assessment activity, he assessed on social aspect, conservation aspect and worker welfare.</p>
2.2	Assessment Methodology, Assessment Process and Locations of Assessment
2.2.1	Figure of person days to implement assessment
ST-2	<p>Number of auditors : 4 auditor</p> <p>Number of days for ST-2 at site : 5 days</p> <p>Number of working days for ST-2 at site : 20 Working days</p>
2.2.2	Assessment Process
ST-2	<p>The assessment was conducted by measuring the sufficiency of implementation with the consistency done by the PT Perkebunan Nusantara IV Management Unit of Dolok Ilir to the requirements of RSPo Principles and Criteria (P&C) for for the Production of Sustainable Palm Oil - April 25th, 2013 and Supply Chain Requirement for CPO Mill November 2014 (Module D / E for CPO Mill)</p> <p>The assessment was conducted in three methods: (1) document review, aiming to observe the sufficiency of types or substances from required documents; (2) <i>interview</i>, aiming to obtain more detailed information and cross check the information; and (3) field observation, aiming to observe directly the sufficiency of implementation on site. Some opportunities for improvement of the results ST-2 delivered by the MUTU auditor to the management unit and the results are the subject will be verified at the next assessment phase (ASA-1).</p> <p>Improvement of findings from main assesment findings were observed by auditors at this ST-2 assessment. All information obtained was recorded in Check List of PT Mutuagung Lestari (MUTU) and part of in the final report.</p>

The assessment program please find Appendix 2	
2.2.3	Locations of Assessment
ST-1	At Stage-01, team of auditors conducted studies and observations of the document at the location of the Dolok Ilir Business Unit.
ST-2	<p>Dolok Ilir POM</p> <ol style="list-style-type: none"> Warehouse of Chemicals. Observations results show that the chemicals warehouse has been equipped with hazardous material symbol according to the provisions. Each of this chemicals has also been equipped with MSDS and has separated locations from each other and equipped with pallets. Central Warehouse. Field observations indicate all items in the central warehouse had been separated by types, there is a fire extinguisher and a warehouse clerk has recorded the goods outflow and inflow in warehouses. Fertilizer warehouse. Field observations indicate fertilizer warehouse is empty because all fertilizers have been used up. Fertilizer warehouse has been equipped with hazardous material symbol and pallets Hazardous Waste Landfill. Field observations indicate that the management unit has regular recording of outcoming and incoming hazardous waste through the logbook and hazardous waste balance. There is no hazardous waste which is stored exceeding the permitted retention time. Workshop. Field observations indicate that there has been an emergency incident procedures and interviews with workers show that the officers have understood safe steps to work in the workshop. Water Treatment Plant. Field observations indicate that the flowmeter at Dolok Ilir POM is not installed because it is currently being calibrated by the contractors of its supplier. <p>Afdeling I.</p> <ol style="list-style-type: none"> Observations of legal boundary poles: <ul style="list-style-type: none"> Pole No. 20. It is on the field. However, it does not exist on the map of land 29/09/1999. According to the map of inventory, it should be No.17. it is located on block 97-BT bordering with kampung prapat (North), block 97-BT (South), Kampung Prapat (East) and block 97-BT (West). Pole No. 19. It is on the field. However, it does not exist on the map of land 29/09/1999. According to the map of inventory, it should be No.17. it is located on block 97-BT bordering with kampung prapat (North), block 97-BT (South), Kampung Prapat (East) and block 97-BT (West). Pole No. 12. It is on the field. However, it does not exist on the map of land 29/09/1999. It is located on the block 97-AZ bordering with kampung Tempel (North), block 97-BJ (South), Kampung Tempel/block 97-BJ (East) and block 97-BT (West). Fertilizer and Chemicals Storage. According to the result of observation, the chemicals storage is supported by hazardous waste symbols and MSDS for each chemicals. Chemicals Mixing Station. According to the field visit, there is a specific station as chemicals mixing area so the contamination potential can be reduced. All the equipments of the sprayer team are washed and stored at the storage Herbicide Application at block 94 Q. Observation on the herbicide application (gempur) with the glyphosat active ingredient for 0.2 cc/l water. The pesticide applicators have used PPE such as masker, gloves, glasses and helmet. There is no pregnant nor breastfeeding women workers work to apply herbicide. AFD 1 Settlement. According to the result of observation, there is a meeting point for dealing with the emergency situation. The facilities provided by the company are the sport yard and mosque. <p>Afdeling II</p> <ol style="list-style-type: none"> Observations of legal boundary poles <ul style="list-style-type: none"> Pole No. 249. It is on the field. However, it does not exist on the map of land 29/09/1999. It is located on the block 97-AZ bordering with kampung Tempel (North), block 97-AZ (South), Kampung Tempel (East) and block 97-AZ (West). Pole No. 238. All poles are well maintained. However, it does not in line with the document of Land Use Title (HGU).

- **Pole No. 210.** All poles are well maintained. However, it does not in line with the document of Land Use Title (HGU).
- **Pole No. 239.** All poles are well maintained. However, it does not in line with the document of Land Use Title (HGU).
- **Pole No. 68A.** All poles are well maintained. However, it does not in line with the document of Land Use Title (HGU).
- **Pole No. 67.** All poles are well maintained. However, it does not in line with the document of Land Use Title (HGU).
- **Pole No. 76A.** All poles are well maintained. However, it does not in line with the document of Land Use Title (HGU).t).

Afdeling IV

1. **Pole No. 168, 162, 169.** It is on the field. However, it does not exist on the map of land 29/09/1999.
2. **Harvesting Program at Block 97P.** The employees are able to describe the procedure. They also have aware of the description of the task and responsibility. The company has provided PPE to all workers based on the applied terms (free). During the field visit, the workers have used full PPE and they have been given proper wage based on the law.
3. **Maintenance Program at Block 97P.** The workers are able to describe the procedure and they have aware of the description of task and responsibility. The company has provided PPE to all workers based on the applied terms (free).

AFD V Estate.

1. **Land Application in block 97A.** According to the result of observation, there is no indication of the contamination caused by the overflow of the effluent. The effluent application is conducted on the permitted block.
2. **Chemist maintenance in block 94-Q and 94-R.** the chemicals spray program for controlling the weed by using systemic herbicide (glyphosate).HCV 6 in **Block 97-BV.** The conservation area like the cemetery is well maintained and is fenced.
3. **Pruning program in Block 97-BU.** According to the observation, the pruning program is referring the procedure. According to the interview with the workers in term of the waging, health and work accident insurance and the awareness of complaint delivery.
4. **Pest Census.** The hand picking of bagworm in the immature plant location at block 2013-D

2.3	Stakeholder Consultation and Stakeholders Contacted
2.3.1	Summary of stakeholder consultation process.
ST-2	Summary of stakeholder consultation process Consultation of stakeholders for PT Perkebunan Nusantara IV Management Unit of Dolok Ilir was held by: <ul style="list-style-type: none"> • Public Notification 30 days (12 January 2015) prior to the Initial Assessment and published on RSPO website www.rspo.org • Public consultation meeting with internal stakeholders by interviews and local stakeholders conducted by visits to villages and interviews with local peoples on 14 and 16 February 2015. Numbers of input from stakeholders were clarified by PT Perkebunan Nusantara IV Management Unit of Dolok Ilir
2.3.2	Stakeholder contacted
	<i>Please find appendix 1</i>
2.4	Determining Next Assessment
	The next visit (ASA-1) will planned on July 2016

3.0. ASSESSMENT FINDINGS

3.1. Summary of Assessment Report of the RSPO Certification

MUTUAGUNG LESTARI has conducted an assessment of Dolok Ilir POM – PT Perkebunan Nusantara IV operation consisting of one (1) mill and one (1) oil palm estate.

During the assessment, there were eight (8) Nonconformities were assigned against Major Compliance Indicators, nine (9) nonconformities were assigned against Minor Compliance Indicators, six (6) nonconformities against supply chain requirement for CPO mill, and eight (8) opportunities for improvement were identified.

Further explanation of the non-conformities raised and corrective actions taken by the company are provided in section 3.5. The company has already prepared and implemented the corrective actions that had been reviewed and accepted by Auditors in form of documentation evidences e.g. (document record/photographic/etc...). Those corrective actions taken that consist of nine (9) Major non-conformities, six (6) Minor non-conformities and six (6) supply chain non-conformities had been closed out shall be verified during next assessment.

MUTUAGUNG LESTARI found that Dolok Ilir POM – PT Perkebunan Nusantara IV complied with the requirements of ***RSPO Principles and Criteria (P&C) for the Production of Sustainable Palm Oil - April 25th, 2013 and RSPO Supply Chain Certification Standard For organizations seeking or holding certification Adopted by the RSPO Board of Governors on 21 November 2014.***

Therefore MUTUAGUNG LESTARI Recommends RSPO Certification of compliance is Issued.

Ref Std.	VERIFICATION RESULT of MUTU-Certification	
PRINCIPLE #1 COMMITMENT TO TRANSPARENCY		
1.1	Growers and millers provide adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages and forms to allow for effective participation in decision making.	
1.1.1 Major	<p>The management unit has socialized the issues such as environment, social and legal in line with the RSPO criteria to the village administrative government, sub-district, NGO and contractor in Aman Sari Village, Dolok Baru Nanggar Sub-District on January 28th 2015. It was attended by 21 participants.</p> <p>During the interview with workers known that the management unit have been committed to RSPO implementation regarding the transparency, social issue, legal issue so at the end the community involvement would be active in make a decision.</p>	
1.1.2 Major	<p>The management unit has documented the record of the response over the information request on the book of outgoing letter. According to the document, the date of letter, the term of letter and the purpose of the letter are described. For example, the report of the document of workforce report obligation on 2014 to the Simalungun District Manpower Agency. It was received by the Simalungun District Manpower Agency on March 19th 2014.</p>	
	Status: Full Compliance	
1.2	Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.	
1.2.1 Major	<p>According to the document review, the management unit shows the publicly-accessed document written on the policy of SPO</p>	

dated August 1st 2012. The company has classified type of the publicly-accessed information for the stakeholders. The documents are the company's general information such as vision of the company, balance sheet, productivity, asset, CSR, etc which could promote the company's goodwill. Meanwhile, the classified document such as the report of management, minute of meeting of the assembly, SI, SE, collective labour agreement and other classified letters.

According to the result of estate office staff, the data that have to do with environment, FFB price information and others can also be accessed by the stakeholders as long as the information request are sent to the management unit.

Status: Full Compliance

1.3

Growers and millers commit to ethical conduct in all business operations and transactions.

1.3.1 Minor

The written policy in term of the commitment over the code of integrity and ethical behaviour on the *Code Of Conduct* which was composed on 2013. According to the chapter V in term of the prohibition for doing business, it set the things have to do with corruption, conflict of interest and bribery, political agenda, drugs and gambling and other pervert action for the employees. Each employee is not allowed to bribe or to do corrupt action.

Kebijakan ini telah dikomunikasikan kepada level pekerja, stakeholdes, kontraktor, LSM, pemerintah desa pada taggal 28 Januari 2015, dihadiri oleh 21 peserta. Selain itu, Unit Management telah mengkampanyekan "Hidup Sejahtera Tanpa Suap" dalam bentuk benner yang dipasang di kantor, pabrik dan mess.

Based on the interview with the workers and villagers known that the community supporting the company effort for fight the corruption, colution, nepotism and bribery.

Status: Full Compliance

PRINCIPLE #2 COMPLIANCE WITH APPLICABLE LAWS AND REGULATIONS

2.1

There is compliance with all applicable local, national and ratified international laws and regulations.

2.1.1 Major

From the interview result with the governmet institution and document observation revealed that PTPN IV Dolok Ilir have been fulfilled of regulations for instance having Plantation Bussines Permit (IUP), Land Use Title (HGU), Environmental Document, Hazardous Watse Storage Permit, Minimum Wage requirement to the workers.

However according to the document review, the management unit is not able to show the crane and load operator license. For example, the Operator on behalf of Mr. Peris Simanjuntak, Mr. Tukilan, Mr. Suparno, Mr. Ahmad Siahaan, Mr. Andi Siahaan, and Mr. Tugino. It complies the Manpower Ministry Regulation No. 9 Year 2010 (crane and load Operator). According to the result of document review, interview with workers and the management unit, PT PN IV Dolok Ilir business unit is still hiring the contractual workers to work on the harvest program. It does not comply the Manpower Ministry Regulation No.19 Year 2012.

NC No. 2015.01 in Major category

2.1.2 Minor dan 2.1.3 Minor

The list of regulations is consisted of the regulation on the land matter (6 regulations), manuring/nursery (5 regulations), manpower (33 regulations), environment (25 regulations). The regulations covers the government regulation, statute, ministry regulation, decree of ministry and decree of president.

The management unit has had the document of environment study in form of the environment evaluation study. It was approved by EIA commission of Agriculture Department in decree No. RC.220/59/B/I/1993 on January 13th 1993. The management unit also has revision of environmental management and monitoring plan for Dolok Ilir POM and Dolok Ilir organic fertilizer manufacture on 2010. It was composed by the research department of North Sumatera University.. it was then approved by the environment agency by referring the recommendation of the Simalungun District Environment Agency No. 213/LINGHUP-2010 dated October 27th 2010.

2.1.4 Minor

The management unit has the document of the monitoring of revision of statute, regulation and other requirements on 2012,

2013, 2014 as well as the documented system which contains the must-complied law requirements based on the identification of the regulations that have to do with RSPO P & C. The company also record the implemented law/regulation.

2.1.1 Status: Non conformance 2015.01 with major category

2.2

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.

2.2.1 Major

Dolok Ilir Management Unit has shown evidence of Land Use Title (HGU) No.1 Year 2006 dated 11 September 2006 coverage of 7,348.81 Ha based on Head of National Land Agency Decree No.13/HGU/BPN/2006.

There is a plantation business permit for PT Perkebunan Nusantara IV (Persero) Dolok Ilir Estate based on the decree of the Head of Simalungun District Investment Service Agency No. 188.45/503/1113/BPPT-P4 12014 dated December **16th 2014. It describes that the mill capacity is 60 ton of FFB/Hour** with the area hectarage for **7,348.81 Ha**.

From the interview results with the government (National Land Agency) and Plantation Agency informed that Dolok Ilir management unit have been fulfilling the regulation of land use operations rights.

2.2.2 Minor

The management unit is not able to show the routine legal area boundary pole management program.

According to the result of field observation to Afdeling I, II, IV and VIII, the number of the boundary poles at the estate are not in line with the map of pole maintenance inventory and map of land No. 27/09/1999. **NC No. 2015.02 in Minor category**

2.2.3 Minor, 2.2.4 Major, 2.2.5 Minor and 2.2.6 Major

The management unit is able to show the conflict resolution accepted by the parties on the document of SOP of land conflict No. SPO 04.0 revision No. 00 dated April 1st 2010. According to the SOP, there are 2 method of conflict resolution. The first method is by implementing win – win solution and the second method is by having it done on court.

2.2.2. Status: Non conformance 2015.02 with minor category

2.3

Use of the land for oil palm does not diminish the legal rights, or customary rights, of other users, without their free, prior and informed consent.

2.3.1 Major & 2.3.2 Minor & 2.3.3 Minor & 2.3.4 Minor

There is no customary nor traditional land rights within the operational area of PTPN IV Dolok Ilir Business Unit. According to the result of interview with the workers, there is no customary land rights nearby company area. The community on the area is mostly dominated by the newcomers.

Status: Full Compliance

PRINCIPLE #3 Commitment to long-term economic and financial viability

3.1

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

3.1.1 Major

The company has the document of long term plan for period of 2015 – 2019. The document describes the guideline of the company development, evaluation of the long term plan (actual production for period of 2010 – 2014, marketing program on 2010 – 2014 and the finance condition on 2010 – 2014), the company recent position (analysis of business process interaction and the company position), target, strategy, policy and accomplishment of program (company strategy, business strategy and functional strategy), production projection, human resource and finance (plant area, production, human resource projection and finance projection).

3.1.2 Minor

The company has the replanting program for the next 5 years. The replanting program plan shall be conducted on 2016. According to the result of interview with the staff of PTPN IV Dolok Ilir, the company has conducted replanting program on 2013 for replacing the plants in which it has been planted since 1988 and 1996. The company is able to show the evidence of

analysis documentation over the replanting program on 2013 as shown by the table below:

Year / Hectarage (Ha)					TOTAL (Ha)
2015	2016	2017	2018	2019	
-	454	237	257	137	1,085

According to the result of the interview with one of the staff of PTPN IV Dolok Ilir, the replanting program is conducted annually. The replanting plan for period of 2016 is not comprehensively analyzed. The analysis shall be conducted at the end of 2015. The analysis covers technical analysis of replanting program such as plant age analysis, production trend analysis, analysis of the number of plants and the preparation of the seed. The budget plan is als analyzed.

Status: Full Compliance

PRINCIPLE #4 Use of appropriate best practices by growers and millers

4.1

Operating procedures are appropriately documented and consistently implemented and monitored.

4.1.1 Major

The management unit has had the procedure which describe the best method for the estate and mill operational. The estate operational covers the guideline of nursery (A01), replanting, mature plant maintenance and immature plant maintenance, pest and disease control, road and bridge maintenance, manuring management, harvest program management, harvest premium, load, penalty and harvest monitoring, proposal of immature plant promotion and FFB transport official record. Meanwhile, the mill operational covers the guideline of weighbridge, loading ramp boiling station (sterilizer), FFB separation station, EFB hopper, press station, oil purifier station, bulking station, kernel station, steam kettle station, water purification station, engine room station, method to produce super and golden CPO, guideline of quality control of laboratory work guideline, equipments, chemicals and sample analysis.

4.1.2 Minor

The management unit has the procedure of routine monitoring over the operational of company in form of the internal audit program which is conducted each semester. The internal audit program is conducted by the internal unit auditor. There was a record of the result of audit program on June 3rd 2014 on the document of audit result report (LHA). The result of the management unit response over the result of internal audit is also available.

4.1.3 Minor

All the estate and mill operationals have been documented. All the operationals are traceable through document:

- **Dolok Ilir Estate:** there is a record of the execution of the daily program on the document of assistant book. It informs the attendance list, recapitulation of the daily program report of plant maintenance.
- **Dolok Ilir POM:** there is a record of the processing stage daily report. It describes the intake processed FFB (incoming FFB and OER) whether from the nucleus estate or the third party, CPO and PK OER, FFA, dispatch of CPO, PK and shell, daily stock, mill processing hour, capacity for processing stage, water consumption, etc.

4.1.4 Major

DOI POM (Dolok Ilir Estate and other business unit). DOI POM also receives the FFB from the locals nearby Dolok Ilir business unit (UD. Riana, CV Citra Sewangi and PT Habonaron Do Bona). In order to ensure the FFB sources from the third party to be considered as legal FFB, the company showed the evidence of purchase agreement paper for FFB, per estate, per smallholder, per cooperative unit. It describes (clause 1 – object point 1.2) that before the agreement signing, both parties inspect the estate to get the data certainty in term of FFB supplier location, taxation of daily production/taxation of monthly production and theoretical OER based on the result of analysis of PTPN IV over the reviewed FFB.

Status: Full Compliance

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 Minor

According to the document of SPO 05 of the mature plants (SPO No. 05.4 in term of soil and leaf analysis), the leaf analysis is conducted annually and the soil analysis is conducted once every 3 – 5 years (if needed). The leaf and soil analysis was conducted by *Agri Research Advisory Biotech Services (ARABIS)* on 2014, Planters Grounds, 3^{1/5} mls Kajang-Serdang Rd., Kajang, Selangor 43000, Malaysia. According to the result of leaf and soil analysis (169 sample) in which the sample taken from Afdeling I to Afdeling VIII, ARABIS has informed the *Fertilizer Recommendations Summary (Oil Palm) For the Period of 2015* for Dolok Ilir Estate (PT. Perkebunan Nusantara IV).

4.2.2 Minor and 4.2.3 Minor

The management unit has the record of programs to maintain and improve the soil fertility. For example, plant manuring (Document of LM 89/Manuring Report). The document contains the information in term of the fertilizer use realization based on the applied recommendation.

Field observation to Block 97P known that there is EFB application activity as an organic fertilizing alternative. During the audit the EFB application for year 2015 have not been started.

4.2.4 Minor

The management unit has policy to utilize the cake of the FFB processing stage in form of EFB and effluent. According to the result of field observation to block 97P of Dolok Ilir Estate, there was an EFB utilization as the manuring alternative.

	Status: Full Compliance	
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4.3
Practices minimize and control erosion and degradation of soils.
4.3.1 Major and 4.3.2 Minor

The management unit has the map of soil type and tanah tinjau survey for Dolok Ilir Estate in scale 1:50,000. It was composed based on the evaluation of the soil fertility compiled by PPKS Marihat. According to the document review and field observation, there is no marginal area, peatland nor area with slope more than 40%. All the estate area of Dolok Ilir are dominated by land with slope between 1% - 8%. The soil are consisted of soil type of chocolate alluvial, brown yellow podzolik and red yellow podzolik.

4.3.3 Minor

The program and realization of the road maintenance is written on the company budget plan on 2015. For example, 4,200 meter of the main and production road is planned to be realized in AFD I on 2015.

4.3.4 Major & 4.3.5 Minor

According to the result of document observation on the type of soil, there is no peat land area within PTPN IV Dolok Ilir.

4.3.6 Minor

According to the field visit, the management unit conserve the land by implementing frond stacking at the interrow to reduce the surface erosion rate on the pruning program. The management unit also manage sandy soil area by applying EFB. For example, the company applied 3,039 ton of EFB on AFD 2 during period of January – audit period.

	Status: Full Compliance	
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4.4
Practices maintain the quality and availability of surface and ground water.
4.4.1 Minor

The management unit has the plan and implementation of the riparian area management and preservation. For example, constructing pesticide storage and washing station and implementing proper dosage and method of manuring so the estate and POM operationals shall not contaminate nearby riparian area.

4.4.2 Major

According to the field visit, the riparian area of Bah Bolon in afdeling VI was planted with palm oil plants. It did not comply the decree of President No. 32 Year 1990 in term of the management of the conservation area for at least 50 meter off the right and left of the river. **NC No. 2015.03 in Major category**

4.4.3 Minor

The effluent is also managed by the management unit in order to comply the quality threshold and to not contaminate the environment (water). The monitoring of the effluent quality is routinely conducted (monthly). According to the result of the test, there was no parameter which was exceeding the quality threshold. For example, the result of the test on December 2014 (BOD = 3,153 mg/l, Cd <0.006).

4.4.4 Minor

The management unit also has monitored the monthly water consumption. During the period of November – January 2015, the water consumption in average was 1.23 m³/ton of the processed FFB. It belows the determined budget for water consumption.

4.4.2	Status: Non conformance 2015.03 with major category
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4.5

Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.

4.5.1 Major

The management unit has the documet of IPM for period of 2014/2015. For example:

1. Program of palm oil frond leaf eater caterpillar control by raising and maintaining the beneficial plants such as *Turnera subulata* and *Antigonon leptosus*.
2. Census program of *Ganoderma* sp in all afdeling for 5,173 Ha.
3. Other IPM programs such as the IPM control for *Oryctes* sp., barn owl to prey the rat and *Ganoderma*.

IPM Plan Implementation

1. Record of the realization of *Turnera subulata* planting in Afdeling II for 3,600 plants, Afdeling VI for 600 plants and Afdeling VII for 2,400 plants and *Antigonon leptosus* in Afdeling II for 120 plants, Afdeling VI for 60 plants and Afdeling VII for 48 plants.
2. Realization of monitoring of *Ganoderma* sp. The latest monitoring was held on October 2014 in Afdeling I for 608 Ha, Afdeling II for 600 Ha, Afdeling III for 853 Ha, Afdeling IV for 770 Ha, Afdeling V for 772 Ha, Afdeling VI for 423 ha and Afdeling VIII for 705 ha. The attempt conducted by company to prevent the spread of *Ganoderma* sp is by hoarding or isolating / digging trench for the light attack-indicated plants. Meanwhile, the plants which are heavily attacked shall be cutted down.

4.5.2 Minor

The management unit has registered 72 workers (sprayers, foreman, chemicals mixing Operator) on the pesticide applicator training (In House Training) held by North Sumatera Province Government c.q Plantation Agency on March 31st 2010 in Dolok Ilir Business Unit meeting hall.

	Status: Full compliance
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4.6

Pesticides are used in ways that do not endanger health or the environment

4.6.1 Major

The management unit has the list of the pesticide used by the company to control the pest, disease and weed. All the pesticides have been allowed by the government and have been registered on the book of pesticide for forest and agriculture. It was regularly composed by the pesticide commission of Direktorat General of Facilities of RI Agriculture Ministry.

4.6.2 Major

The management unit has the record of pesticide use for period of 2014 (January to December). The chemicals used during period of 2014 were as follow:

No	Type of Pesticide	Name of Pesticide	Active Ingredient	Dosage (Kg,Ltr/Ha)	Target
1.	Herbicide	Rally 20WDG	Metil metsulfuron	7.5 gr	Fern, narrow and wide leaf weed
		Gempur 480 SL	Iso profil amina glifosat	250-300 cc	Narrow and wide leaf weed
		Kleen Up 480AS	Iso profil amina glifosat	250 cc	Narrow and wide leaf weed
		Ally 20WDG	Metil metsulfuron	7,5 gr	Fern, narrow and wide leaf weed
		Sun Up	Iso profil amina glifosat	250 cc	Narrow and wide leaf weed
		Basmilang 480 AS	Iso profil amina glifosat	250 cc	Narrow and wide leaf weed
		Gramoxone 276 SL	Paraquat dichoride	50 cc	Narrow and wide leaf weed
		Paratop 276 SL	Paraquat dichoride	50 cc	Narrow and wide leaf weed
		Round Up 486 AS	Iso profil amina glifosat	250 cc	Narrow and wide leaf weed
		Starane 200 EC	Flouroxipir	50 cc	Wide leaf woody weed
		Supretox 276 SL	Paraquat dichoride	50 cc	Narrow and wide leaf weed
2.	Insecticide	Amcothene 75 SP	Asefat	250 cc	Bagworm, Setothosea asigna
		Decis 2,5 EC	Deltametrin	100-200 cc	Bagworm
		Marshal 5G	Karbosulfan	5-10 gr/ph	Oryctes sp.
		Manuver 400 WSC	Dimehipo	15-20 cc/ph	Nettle Caterpillar
		Manthene 75 WP	Asefat	10-20 cc	Nettle Caterpillar
		Nichi 25 EC	Deltametrin	250-300 cc	Bagworm
		Orthene 75 SP	Asefat	100-160 gr	Nettle Caterpillar
		Percis 30 EC	Deltametrin	250 cc	Bagworm of Setora nitens and Metisa plana
3.	Fungicide	Scud 100 EW	Sipermetrin	200-300 cc	Oryctes sp.
		Marfu		-	Disease on the nursery program

4.6.3 Major

According to the result of the interview with the management, each use of pesticide is based on the result of pest and disease census conducted by the company. The preventive action to control the disturbing organism plants is not conducted by using chemicals. However, once the attack reaches or exceed the quality threshold, the use of chemicals is allowed to control it. The use of chemicals to control the attack is based on the target and the recommended dosage. According to the result of field visit to BSS station, the use of chemicals has been referring the recommended dosage and target. The chemicals used to control the weed and the harvesting path is named "Gempur" with dosage of 250 cc / Ha.

4.6.4 Minor

The management unit still use the pesticide categorized as type 1A or 1B WHO or ingredients which are included on the list of Stockholm and Rotterdam Convention such as *Paraquat dichloride active ingredient*. Moreover, there was no evidence of the record of paraquat use which tend to decrease. **NC No. 2015.04 in Minor category**

4.6.5 Major and 4.6.9 Minor

The management unit has registered 72 workers (sprayers, foreman, chemicals mixing Operator) on the pesticide applicator

training (In House Training) held by North Sumatera Province Government c.q Plantation Agency on March 31st 2010 in Dolok Ilir Business Unit meeting hall.

4.6.6 Major and 4.6.10 Minor

According to the result of document observation, the management unit was not able to show the documented evidence of the SOP of agrochemicals containers management. Specifically in term of the retention period of agrochemicals containers in afdeling before the delivery to the Dolok Ilir POM hazardous waste storage. Moreover, according to the result of field observation to Afdeling IV, the agrochemicals containers were disposed at the garbage bin and were hoarded. **NC No. 2015.05 in Major category**

4.6.7 Minor

The pesticide application is applied by referring the SOP applied by the company. According to the result of field visit, the pesticide sprayers have implemented pesticide application based on the method to reduce the negative impacts (spraying program at the riverbank).

4.6.8 Major

The company did not apply pesticide from air. The pesticide application was conducted by sprayers by using cap.

4.6.11 Major

According to the document review, the management unit is not able to show the record of the regular medical check up for pesticide applicators. **NC No. 2015.06 in Major category.**

4.6.12 Major

The management unit has the record of manager circular No. DOI/SE/50/X/2012 dated October 4th 2012 in term of the women workers. According to the point 2 of the circular, the company is not allowed to employ the pregnant nor breastfeeding women workers to work with chemicals. According to the result of interview with the operational staff and the result of data review, there is no pregnant nor breastfeeding women workers working with chemicals. According to the result of field observation to block 97P, all the sprayers are women. According to the interview with the women workers, there is no pregnant nor breastfeeding women workers as well. The women workers have aware of the policy as well as the negative impacts for the pregnant or breastfeeding women workers who work with chemicals.

4.6.4	Status: Non conformance 2015.04 with minor category	
4.6.6	Status: Non conformance 2015.05 with Major category	
4.6.10	Status: Non conformance 2015.05 with minor category	
4.6.11	Status: Non conformance 2015.06 with Major category	

4.7

An occupational health and safety plan is documented, effectively communicated and implemented.

4.7.1 Major

The management unit is able to show the document of OHS program policy. It was signed by the top management and the representatives of labour union January 2nd 2014. The content of the policy is that the company realize the need of OHS for employees, business partner, guest and others.

According to the result of field observation, there were workers who were not using PPE with task potentials as follow:

- Welding program at mill: the welding expert did not use apron, gloves, glasses and helmet.
- Grinding program at mill: the grinders did not use glassess and gloves.
- Pesticide application at afdeling 1, block 94Q: the pesticide Applicators did not use apron. **NC No. 2015.07 in Major category**

4.7.2 Major

The management unit was able to show the record of risk analysis for OHS program. For example:

- **Mill:** programs: opening the digester hatch; danger: hot oil, hot steam; risk: hand blister; risk control: the workers must comply the SOP, the workers should be provided with PPE (gloves, masker, boots, glasses) and OHS and handy fire extinguisher symbols must be there.
- **Estate:** programs: harvesting FFB; hazard: crushed by FFB, eye got dirty, slashed by axe, thorned; risk: sight disorder, wounded hand and foot; risk control: the workers must comply the SOP, the workers should be provided with PPE (gloves, helmet, boots, glasses)

4.7.3 Major

OHS Training at Estate

The management unit has registered 72 workers (sprayers, foreman, chemicals mixing Operator) on the pesticide applicator training (In House Training) held by North Sumatera Province Government c.q Plantation Agency on March 31st 2010 in Dolok Ilir Business Unit meeting hall.

OHS Training at Mill

The training program held on the mill was the worker's competence training such as load and crane Operator.

4.7.4 Major

The management unit has had OHS Guiding Committee. It has been legalized by the Manpower Agency. However, there was a change on the OHS Guiding Committee Structure. Therefore, the legalization was no longer valid. **NC No. 2015.08) in Major category.**

The management unit is able to show the procedure of emergency response on the procedure of emergency response control and post emergency response No. 4.3.16. The procedure was signed by the top manajemen on January 3rd 2014. The content of the procedure are the objective, scope, reference, definition, task and responsibility, procedure, the associated document and attachment.

4.7.5 Minor

According to the result of document observation and interview with the management unit, there were several facts. Those are:

- The management unit is not able to show the adequate evidence of the training for first aid Officer at the workplace as required by Manpower Ministry in law No. 15 year 2008.
- According to the result of observation on the maintenance program in Afdeling I and IV and the harvesting program in Afdeling VIII, the first aid kits at the workplace is not in line with the terms required by Manpower Ministry in law No. 15 tahun 2008. **NC No. 2015.09 in Minor category**

4.7.6 Minor

According to the document review, there are 894 employees of PTPN IV Dolok Ilir Business Unit (data per January 2015). All the employees have been registered to the Manpower BPJS assurance. There is an evidence of BPJS dues payment for 894 employees. It was paid on January 30th 2015. It was proven by the evidence of dues receipt from Pematang Siantar BPJS agency (No. B0114100943) for IDR 103,792,018.

4.7.7 Minor

The management unit is able to show the record of work accident. The record is written on the report of OHS Guiding Committee which is routinely reported to the associated agency (each quarter). For example, there was no work accident during period of December 2014 whether at mill nor estate.

4.7.1	Status: Non conformance 2015.07 with Major category
4.7.4	Status: Non conformance 2015.08 with Major category
4.7.5	Status: Non conformance 2015.09 with minor category

4.8

All staff, workers, smallholders and contractors are appropriately trained.
4.8.1 Major

Training Program Plan on 2015 of Dolok Ilir Business Unit. It contains the list of the proposed training, name of the training participants, position and type of training.

No	Position	Type of Training
1	Foreman I	<ul style="list-style-type: none"> HCV Management and Monitoring Internal Audit of ISO, OHSMS, RSPO & ISPO
2	Clerk I of Afdeling	<ul style="list-style-type: none"> Internal Audit of ISO, OHSMS, RSPO & ISPO
3	Production Clerk	<ul style="list-style-type: none"> GHG emission calculation and inventory
4	Harvesters Foreman	<ul style="list-style-type: none"> Fire and emergency response control
5	Maintenance Foreman	<ul style="list-style-type: none"> First Aid Action Limited Pesticide Applicator
6	Clerk Assistance	<ul style="list-style-type: none"> Hazardous Chemicals Management
7	Pest Officer	<ul style="list-style-type: none"> Integrated Pest Management
8	Foreman	<ul style="list-style-type: none"> HCV Management and Monitoring
9	Security Officer	<ul style="list-style-type: none"> Fire and emergency response control
10	Teacher	<ul style="list-style-type: none"> First Aid Action
	Clerk	<ul style="list-style-type: none"> Law of Land Internal Audit of ISO, OHSMS, RSPO & ISPO Fire and emergency response control
	Boiler Operator	<ul style="list-style-type: none"> Operator Training
	Engine Room Operator	<ul style="list-style-type: none"> Operator Training
	Crane Operator	<ul style="list-style-type: none"> Operator Training
	Load Operator	<ul style="list-style-type: none"> Operator Training
	Welding Expert	<ul style="list-style-type: none"> Welding Expert Certification
	Electrician	<ul style="list-style-type: none"> Grid installation

4.8.2 Minor

The company has documented the held training program. For example:

- Record of foreman 1 plant technical and managerial competence improvement in Wisma Sitalasari Bah Jambi on March 10th – 14th 2014. There was evidence of training evaluation on behalf of Bachtiar Efendi.
- Training of steam turbine OHS Operator which was held by PT. Geoteknik Indonesia (PJK3) in Simalungun on April 22nd – 25th 2014. There was an OHS Operator of steam turbine certificate on behalf of Aminuddin Nasution (Reg No. 14.97-OP.K3-PTP/VII/2014) and on behalf of Abdul Hadi (Reg No. 14.92-OP.K3-PTP/VII/2014).

The management unit has maintained training program document perfectly such as certificate of training, record of training materials and list of training attendance list.

Status: Full Compliance

PRINCIPLE #5 Environmental responsibility and conservation of natural resources and biodiversity
5.1

Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continuous improvement.

5.1.1 Major

The management unit has had document of environmental management and monitoring plan. It was composed based on the result of the approved environment evaluation study on January 13th 1993. It was approved by EIA commission of Agriculture Department in decree No. RC.220/59/B/I/1993.

5.1.2 Minor

According to the review of environmental management and monitoring plan document, the management unit does not have the identification and monitoring plan on the future and the conducted replanting program. **NC No. 2015.10 in Minor category**

5.1.3 Minor

Furthermore, the management unit also has the report of environmental management and monitoring plan implementation and its routine reporting to the associated agency. For example, the report of environmental management and monitoring plan in 2nd semester of 2014 which has been reported to the Simalungun District Environment Agency on February 11th 2015. However, according to the document observation, there were several facts. For example:

- The format of report of environmental management and monitoring plan implementation was not in line with the decree of Environment Ministry No. 45 Year 2005.
- There were unmonitored and unmanaged environment parameters based on the recommendation of environmental management and monitoring plan. Those were:
 1. Replanting program
 2. Reduction of ambient air quality at POM, compost station and emplacement.
 3. Odour in compost station, emplacement, settlement of Bandar Selamat and land application location.
 4. Noise in POM, emplacement and Bandar Selamat Village.
 5. Emission in compost station, emplacement, Bandar Selamat settlement and land application.
 6. Water quality in the upstream of Bah Apal River pre LA program, at the melting pot of Bah Apal riverway, downstream of Bah Apal River post LA program.
 7. Effluent quality at WWTP pond and LA area.
 8. Soil fertility at the LA area.
 9. Hazardous waste management at hazardous waste storage.
 10. Job and business opportunity and the increase of income at the Dolok Ilir Village and Bandar Selamat Village and Dolok Batu Nanggar Sub-District.
 11. Attitude and perception of the community of Dolok Ilir and Bandar Selamat Village and Dolok Batu Nanggar Sub-District.

Hence, **NC No. 2015.11 in Minor category**

5.1.2	Status: Non conformance 2015.10 with minor category	
5.1.3	Status: Non conformance 2015.11 with minor category	

5.2

The status of rare, threatened or endangered species and other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and operations managed to best ensure that they are maintained and/or enhanced

5.2.1 Major

The status of endanger species and HCV area have been written on the HCV identification. It has been composed by the sustainable oil palm foundation (YASBI) on 2009. According to the HCV document review, there are 17 type of the endanger wildlifes based on attachment II of CITES such as Oriental magpie-robin, White-breasted waterhen, civet and Clouded leopard. The area identified as HCV area were springs and cemetery site.

5.2.2 Major dan 5.2.4 Minor

The management of area or species categorized as HCV has been conducted by the management unit. For example, the routine monitoring of wildlife within estate area (there were mammals found in afdeling 1 such as monkey, civet, hogs and squirrel) and installing signboard which inform the prohibition to hunt wildlife within the estate area nor poisons the fish. There was HCV staff personil which appointed by the management unit and also have attended the HCV training.

5.2.3 Minor

According to the result of field observation to afdeling 1, there was animal (eagle) raised by the employees. It has broken the result of HCV assessment on 2009 of PTPN IV Dolok Ilir in which the eagle is considered as the endanger species. **NC No. 2015.12 in Minor category**

5.2.5 Minor

Based on interview with the villagers around the Dolok Ilir plantation and government institution informed that there is no local community rights.

5.2.3	Status: Non conformance 2015.12 with minor category
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5.3

Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.

5.3.1 Major

The management unit has had identification of waste sources caused by estate and POM operationals and the plan to dispose and reduce the waste to reduce the generated pollution. For example, the domestic waste should not be burned, the effluent must be processed on the WWTP pond and the boiler chimney emission must be managed by having it routinely tested.

5.3.2 Major

All the hazardous waste including the agrochemicals containers are stored at the licensed hazardous waste storage and it shall be then transported by the hazardous waste collector (PT Primanru Jaya) based on the recommendation of the Environment Ministry.

According to the field observation to POM hazardous waste, there were 100 liter of used oil, 2 unit of used batteries (incoming date to POM on September 2014) until January 2015. The latest hazardous waste transport was conducted by PT Primanru Jaya on July 17th 2014 in detail of manifest No. BC 0010581. The hazardous waste collector collected 221 used bulbs. There was no hazardous waste which were stored longer than the permitted retention period.

According to the field visit, there were several facts. For example:

- There is no procedure of agrochemicals containers management. Specifically those that have to do with agrochemicals containers retention period in afdeling before the delivery to DOI POM hazardous waste storage.
- According to the field observation to Afdeling IV, the agrochemicals containers were managed by having it disposed to the garbage bin. **NC No. 2015.05 in Major category.**

5.3.3 Minor

According to the field observation to afdeling 1 and 4, the indication of the domestic waste burning can still be found as well as the EFB burning at afdeling 1, block 97BT. **NC No. 2015.13 in Minor category**

5.3.3	Status: Ketidaksesuaian 2015.13 with minor category.
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5.4

Efficiency of fossil fuel use and the use of renewable energy is optimised.

5.4.1 Minor

Dolok Ilir management unit has had the implementation and efficiency increase of the petroleum fuel consumption and optimizing shell and fiber to reduce the consumption of petroleum fuel. The management unit conducts routine monitoring of petroleum fuel for the operational need, monitoring of electricity use and monitoring of shell and fiber use for boiler operation. Dolok Ilir POM shows the trend of the reduction of diesel fuel consumption for period of November 2014 – January 2015. For example, the retrenchment of diesel fuel for period of January 2015 was 73,185 liter with the substitution of shell and fiber use for 1,027 ton of shell and 3,034 ton of fiber.

	Status: Full Compliance
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5.5

Use of fire for waste disposal and for preparing land for replanting is avoided except in specific situations, as identified in the ASEAN guidelines or other regional best practice.

5.5.1 Major

The management unit used mechanical land clearing method or zero burning method on the conducted replanting program. In order to anticipate the land fire possibly caused by *human error* or act of God (drought season), the management unit has composed land fire emergency response written on the document of RSPO policy. It was legalized by the General Manager on April 1st 2010. The facilities to deal with fire are as follow:

1. 61 units of handy fire extinguishing equipments for building.
2. 1 unit of Bakortiba water pump machine.
3. 4 set of Bakortiba water hose.
4. 4 units of Bakortiba water nozzle.

5.5.2 Minor

Furthermore, there have been facilities to deal with land fire. The management unit has held land and mill fire simulation and the fire extinguishing equipments use simulation on March 19th 2014 in Afdeling VI. It was participated by 28 employees. According to the field observation to the replanting program block (year of planting of 2013), there was no indication of burning action. It was supported by the interview with the management unit that the replanting program was conducted by applying zero burning principle.

Status: Full Compliance	
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5.6

Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.

5.6.1 Major

Dolok Ilir Estate and POM has had the identification of the emission and pollution sources for estate and POM. For example, the manuring program which generates N₂O and the FFB transport which generates SO₂ dan NO₂. The mangement unit has had commitment in term of the plan and realization to reduce the contamination and emission sources including the GHG generated by estate operationals.

5.6.2 Major dan 5.6.3 Minor

In order to reduce the impact of contamination, the company substitute the diesel fuel with shell and fiber. Furthermore, the management unit also process the effluent on the WWTP pond before having it flown to land so the effluent shall comply the quality threshold. According to the result of effluent test on December 2014, all the tested parameters complied the applied quality threshold. For example, the BOD was 3,153 mg/l and pH 7.39

The emission and ambient air nearby estate and mill have been routinely monitored (each semester). According to the result of the test in 2nd semester of 2014, there was no parameters of the emission and ambient which exceed the quality threshold. For example, the opacity for boiler was 6 mg/m₃ (< QT), the noise on the process station was 88.3 dBA (< QT), NO₂ of the process station was 37.42 µg/Nm³ (< QT).

The management unit also monitor the GHG caused by the POM operationals based on the PalmGHG. For example, the emission caused by manuring is 2718.52 t CO₂e/year, emission caused by POME is 29526 t CO₂e/tahun and emission caused by POM petroleum fuel consumption is 263.50 t CO₂e/year.

Status: Full Compliance	
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PRINCIPLE #6 Responsible consideration of employees and of individuals and communities affected by growers and mills

6.1

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

6.1.1 Major

The management unit has composed the report of *Social Impact Assessment*, especially in PTPN IV Dolok Ilir estate unit by cooperating with PTPN IV, PT Surveyor Indonesia and Sustainable Oil Palm Foundation (YASBI) on 2009. There were positive and negative impacts on its report.

6.1.2 Major

The process of *Social Impact Assessment* compilation has been participatively composed through consultation/communication with the stakeholders of 17 villages and the amicus curiae. The method of *Social Impact Assessment* are: (1) *guideline interview* and informal interview; (2) *Focus Group Discussion (FGD)* with the locals of the villages nearby Dolok Ilir Estate, several partners, estate workers and security staff from the military private; (3) observation over the daily life of the locals and their interaction with the company.

6.1.3 Major

According to the document review, the management unit has the document of social impact management and monitoring with the participation of the locals. However, there is no evidence of the implementation. **NC No. 2015.14 in Major category**

6.1.4 Minor

The management unit is not able to show the document of evaluation of social impact management and monitoring by involving the participation of the locals. **NC NO. 2015.15 in Minor category**

6.1.3	Status: Non conformance 2015.14 with Major category
6.1.4	Status: Non conformance 2015.15 with minor category

6.2

There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.

6.2.1 Major

The management unit has SOP of communication and consultation with the locals in Document of RSPO No. SPO 03.0 dated April 1st 2010. According to the SPO, PTPN-IV prioritize the applied communication method, accuracy of fact, honesty and sincerity on the communication, principle of communication and the requirements on the communication which guarantee the togetherness for communicating and is considered as the company participation over public.

During the interview with village stakeholders representative known that they know and understand the prosedur of communication and consultation with the company. All the complaint can be send by letter or tell verbally directly to the human resources staff.

6.2.2 Minor

There is an Officer to consult and communicate with the locals. The Officer is the Assistant of HR. There was a decree of PTPN IV management No. 04.15/Kpts/R/47/VIII/2014 dated August 29th 2014 in term of the mutation/promotion of employees class IIIA-IVA as HR assistant for Dolok Ilir Estate on behalf of Hendra Jusanda.

6.2.3 Minor

The management unit has the list of stakeholder for period of 2014 dated June 18th 2014. The list of the stakeholders of PTPN IV Dolok Ilir business unit is consisted employee, government, bank, education center body, press/journalist and NGO/organization.

Status: Full Compliance

6.3

There is a mutually agreed and documented system for dealing with complaints and grievances, which is Implemented and accepted by all affected parties.

6.3.1 Major

The management unit has transparent system which is accepted by all the amicus curiae to receive complaint and solve it effectively, on time and in proper method.

The transparent system is described on: (1) collective labour agreement between the company and the worker (represented by labour union). The management unit is able to show the collective labour agreement for period of 2014 – 2015; (2) SOP of land conflict resolution No. SPO 04.0 in revision No. 00 dated April 1st 2010; (3) SOP of environment and costumer complain No. SPO 05.0 in revision No. 00 dated April 1st 2010.

6.3.2 Major

According to the information from the Head of PTPN IV Dolok Ilir Labour Union, there was a complaint expressed by the employees in term of the medical service managed by inhealt system on 2014. The workers were complaining the low quality service. The medical assurance was used to be managed by the management unit before period of 2013. However, there is no longer complaint in 2015 due to the medical service is now managed by BPJS.

Status: Full Compliance

6.4

Any negotiations concerning compensation for loss of legal or customary rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.

6.4.1 Major dan 6.4.2 Minor

The management unit is able to show the procedure of conflict resolution gotten by the parties written on the document of SOP of land conflict resolution No. SPO 04.0 in revision No. 00 dated April 1st 2010. According to the SOP, there are two methods to manage the conflict. The first method is by referring win – win solution and the second method is by having it solved at court.

6.4.3 Major

The management unit is able to show the record of the identification of the compensated parties. the compensation was given to Dharma Lasiman Cs. There were 330 people whom received compensation on June 19th 2006. The list of the compensated parties is written on the document of the official record of land dispute resolution. The official record is signed by the lawyer who represent PTPN IV, lawyer who represent smallholders, the head of reformation committee, secretary of the reformation committee, the vice head of reformation committee, the treasurer of the reformation committee, the vice treasurer of the reformation committee, the Chief of Naga Kesiangan Village and the Head of Tebing Tinggi Sub-District.

Status: Full Compliance

6.5

Pay and conditions for employees and for employees of contractors always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.

6.5.1 Major

Term of the main wage and allowance for period of 2014 based on the decree of HR Director No. 04.15/SE/12/IV/2014 dated April 23rd 2014. The lowest wage is class I.A, **main wage for IDR 1,174,563,- + special allowance for IDR 205,287,- + rice allowance (single) for 15 Kg (IDR 8,400,-/Kg) for IDR 126,000,-.** Therefore, total of wage received by the lowest class of I.A is **IDR 1,505,850,-**

According to the result of interview with the maintenance worker (chemicals sprayers) and the grading Operator at mill, the wage has been paid based on the applied calculation and regulation.

6.5.2 Major

According to the good cooperation, the company and the labour union has composed the collective labour agreement for period of 2014 – 2015. The collective labour agreement has also been registered to the North Sumatera Province Manpower Agency (Registration No. 04/DFT/PKB/6/SU/III/2014). It has also been legalized based on the decree of the Head of Manpower Agency No. 96-6/DDTK-TR/2014 in term of the registration of collective labour agreement on March 4th 2014. The collective labour agreement has been validated since January 1st 2014 till December 31st 2015. According to the collective labour agreement, there are several things described. For example:

- **Workhour** is written on the Chapter V in term of *workday and workhour*.
- **Deduction (deduction/penalty)** is written on the Chapter VII in term of *class of wage, allowance and unit*.
- **Overtime** is written on the Chapter V clause 20 in term of *Overtime*.
- **Sick** is written on Chapter VII in term of the *medical service and medical recovery*.
- **Right to take leave** is written on Chapter VI in term of the *right to take leave*.

- **Excuse for Contract Termination** is written on Chapter XIV in term of the *work contract termination*.

6.5.3 Minor dan 6.5.4 Minor

PTPN IV Dolok Ilir management unit has provided facilities based on the worker's need as well as their family need such as the settlement, place of worship, sport field, electricity and clean water. According to the result of field observation and interview with the PTPN IV Dolok Ilir business unit, the Afdeling is able to access the proper food with affordable price. There is a weekly-based market in the nearest village from each afdeling. For example, Afdeling I and Afdeling II are able to buy the daily needs in Tanjung Prapat Village (Kampung Tempel).

Status: Full Compliance

6.6

The employer respects the right of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.

6.6.1 Major

The company policy to guarantee the worker to unite or join the labour union has been written on the collective labour agreement of Perkebunan Nusantara IV (Persero) with the Perkebunan PTPN-IV 2014 – 2015 labour union. Specifically on clause 5. According to the clause 3, the management shall not interfere and against the labour union progress as long as complying the applied manpower law.

Interview result with the worker union head revealed that the company not treat the workers in discrimination way. The company also give opportunity to form a association as long follow the government regulations.

6.6.2 Minor

There is a record of the assembly of estate labour union on October 13th 2014. It discussed the labour union programs. The assembly was attended by 21 members.

Status: Full Compliance

6.7

Children are not employed or exploited.

6.7.1 Major

The company has commitment in term of the transparency of information, environment, policy in term of child worker, job opportunity, document retention period, sexual harasshment, land fire, hazardous waste management, etc. Those are written on the document of policy and SOP of PT. Perkebunan Nusantara IV (Persero) to banish all practices to employ child worker and to improve the effective protection and law enforcement so the child shall be protected. According to the document review on period of 2015 and field observation along the audit conducted there is no underage worker.

Status: Full Compliance

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 Major

The company has commitment in term of the transparency of information, environment, policy in term of child worker, job opportunity, document retention period, sexual harasshment, land fire, hazardous waste management, etc. Those are written on the document of policy and SOP of PT. Perkebunan Nusantara IV (Persero) to banish all types of discrimination over race, religion, gender, age, disability, to control and mass and inter group in all business process.

6.8.2 Major dan 6.8.3 Minor

According to the interview with the workers, there is no discrimination regarding tribe, religion, race and so on within the PTPN IV Dolok Ilir area. According to the document review, the company has documented the implementation of the job opportunity fairness such as the recruitment process regardless tribe, race, religion and so on.

Status: Full Compliance

6.9

There is no harassment or abuse in the work place, and reproductive rights are protected.

6.9.1 Major

The company has commitment in term of the transparency of information, environment, policy in term of child worker, job opportunity, document retention period, sexual harassment, land fire, hazardous waste management, etc. Those are written on the document of policy and SOP of PT. Perkebunan Nusantara IV (Persero) to create the free sexual harassment workplace.

6.9.2 Major

According to the document review, the worker on behalf of Leginah (41 years old) has been granted a childbirth day off for 90 days (45 days before the childbirth and 45 days after the childbirth) from January 23th 2013 to 90 days later.

6.9.3 Minor

The procedure of complaint management is set on the procedure of communication and consultation as written on the document of RSPO policy. It was legalized by the General Manager on April 1st 2010. The communication and consultation with the locals is managed (recording and process) by the HR assistant to represent the manager to communicate with the the Head of Region Forum, Commander of Sub-District Military Base, Sectoral Police, spiritual figure, customary figure and the locals.

Status: Full Compliance

6.10

Growers and mills deal fairly and transparently with smallholders and other local businesses.

6.10.1 Minor

The applied FFB price in Dolok Ilir POM has been shown in form of the document of FFB purchase price and volume from the third party. The document is issued daily. The pricing is conducted by the POM Manager of PTPN IV Dolok Ilir business unit. It contains informations such as:

- ❖ Price of CPO and Kernel
- ❖ Price of CPO and Kernel post the transport cost deduction
- ❖ CPO OER %
- ❖ PK OER %

6.10.2 Major

According to the field observation during the ST-2 assessment, the FFB price has been informed by the Head of Processing Agency to the FFB supplier and by the document of FFB purchase price from the third party of Dolok Ilir POM.

6.10.3 Minor

There is an evidence of the payment for the *warrant for plant treatment* No. Tan/858/XII/2014 dated November 29th 2014 between PT Perkebunan Nusantara IV, Dolok Ilir business unit with CV Surya Bumi Nusantara for period of December 1st – December 30th 2014. According to the point IV in term of the payment, the company shall pay it once a month based on the completed volume and it shall be conducted on the main payment (Remise II). The agreement has been signed by both parties.

- **FFB Purchase Agreement Paper per estate, per smallholder group, per estate business corporation** No. Pemb-TBS/SP/01/I/2015 dated January 31st 2015 between PT Perkebunan Nusantara IV –Dolok Ilir business unit with CV Citra Sewangi for FFB purchase. The agreement has been signed by both party on the law paper. According to the clause 5, the FFB purchase shall be conducted untill January 29th 2016.
- Based on interview with the contractor of FFB supplier known that they have been understand and agreed with the contract.

6.10.4 Minor

The agreed contract payment has been complied by the company (on time payment). There is an evidence of the payment for

the warrant for plant treatment No. Tan/858/XII/2014 dated November 29th 2014 between PT Perkebunan Nusantara IV, Dolok Ilir business unit with CV Surya Bumi Nusantara for period of December 1st – December 30th 2014. According to the point IV in term of the payment, the company shall pay it once a month based on the completed volume and it shall be conducted on the main payment (Remise II).

	Status: Full Compliance	
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6.11

Growers and millers contribute to local sustainable development wherever appropriate.

6.11.1 Minor

The management unit is not able to show the policy to respect human rights which is communicated to all level of worker and operational unit. **NC No. 2015.16 in Minor category.**

6.11.2 Minor

According to the interview with the management unit and the document review, there is no scheme smallholder program (scheme smallholder, PIR/TRNAS, KKPA, partnership).

6.11.1	Status: Non conformance 2015.16 with minor category	
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6.12

No forms of forced or trafficked labour are used.

6.12.1 Major and 6.12.2 Minor

According to the interview with the management unit and the document review, there is no illegal workers hired by.

	Status: Full Compliance	
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6.13

Growers and millers respect human rights

6.13.1 Major

The management unit is not able to show the policy to respect the human rights which is communicated to all level ow workers and operational unit. **NC No. 2015.17 in Major Category.**

6.13.1	Status: Non conformance 2015.17 with Major category	
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PRINCIPLE #7 Responsible development of new plantings
7.1

A comprehensive and participatory independent social and environmental assessment is undertaken prior to establishing new plantings or operations, or expanding existing ones, and the results incorporated into planning, management and operations.

Dolok Ilir unit of PTPN IV has the oldest year of planting in 1990. The replanting program is now conducted. There is no new estate area expansion.

	Status: Full Compliance	
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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.

Dolok Ilir unit of PTPN IV has the oldest year of planting in 1990. The replanting program is now conducted. There is no new estate area expansion.

	Status: Full Compliance	
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7.3

New plantings since November 2005, have not replaced primary forest or any area required to maintain or enhance one or more High Conservation Values.

Dolok Ilir unit of PTPN IV has the oldest year of planting in 1990. The replanting program is now conducted. There is no new estate area expansion.

	Status: Full Compliance	
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7.4

Extensive planting on steep terrain, and/or on marginal and fragile soils, is avoided.

Dolok Ilir unit of PTPN IV has the oldest year of planting in 1990. The replanting program is now conducted. There is no new

estate area expansion.

Status: Full Compliance

7.5

No new plantings are established on local peoples' land without their free, prior and informed consent, dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.

Dolok Ilir unit of PTPN IV has the oldest year of planting in 1990. The replanting program is now conducted. There is no new estate area expansion.

Status: Full Compliance

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.

Dolok Ilir unit of PTPN IV has the oldest year of planting in 1990. The replanting program is now conducted. There is no new estate area expansion.

Status: Full Compliance

7.7

Use of fire in the preparation of new plantings is avoided other than in specific situations, as identified in the ASEAN guidelines or other regional best practice.

Dolok Ilir unit of PTPN IV has the oldest year of planting in 1990. The replanting program is now conducted. There is no new estate area expansion.

Status: Full Compliance

7.8

New plantation developments are designed to minimise net greenhouse gas emissions.

Dolok Ilir unit of PTPN IV has the oldest year of planting in 1990. The replanting program is now conducted. There is no new estate area expansion.

Status: Full Compliance

PRINCIPLE #8 Commitment to continuous improvement in key areas of activity

8.1

Growers and millers regularly monitor and review their activities and develop and implement action plans that allow demonstrable continuous improvement in key operations.

8.1.1 Major

PTPN IV Dolok Ilir management unit has conducted several corrective action in several aspects. For example:

- Improvement on the sustainable business on aspect of waste reduction such as the utilization of effluent for the manuring program and EFB for the composting program.
- Improvement on the sustainable business on aspect of **GHG Emission** such as the socialization to the locals nearby estate for not brning anything such as domestic waste. It is supported by the signboard on the estate and employee settlement area.
- Improvement on the sustainable business on aspect of **Social** such as the repairment on the village road nearby company area (Persauan Village), rehabilitation of school building, scholarship program for the schools nearby estate.

Status: Full Comply

3.2. Summary of Assessment Report of Supply Chain Requirement

Clause	(Module E) CPO Mills - Mass Balance Requirements
E.1	Definition
E.1.1	<p>Certification for CPO mills is necessary to verify the volumes of certified and uncertified FFB entering the mill and volume sales of RSPO certified producers. A mill may be taking delivery of FFB from uncertified growers, in addition to those from its own certified land base. In that scenario, the mill can claim only the volume of oil palm products produced from processing of the certified FFB as MB.</p> <p>PTPN-IV Dolok Ilir is now receiving 40% of the FFB from nucleus estate and 60% of FFB from the third parties (supplier and contractor) of the processed total FFB. According to the data, Dolok Ilir POM implemented MB supply chain.</p>
	Status: Full Comply
E.2	Explanation
E.2.1	<p>The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill must be recorded by the 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 should then be recorded in each subsequent annual surveillance report.</p> <p>The tonnage of the certified CPO and Kernel production shall be verified on the annual surveillance program (ASA-1) and once the Dolok Ilir POM certified.</p>
	Status: Full Comply
E.2.2	<p>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> <p>Dolok Ilir POM does not conduct registration to the RSPO supply chain IT platform. NC No. 2015.18</p>
	Status: Non conformance 2015.18
E.3	Documented procedures
E.3.1	<p>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:</p> <ol style="list-style-type: none"> Complete and up to date procedures covering the implementation of all the elements in these requirements; The name of the person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the site procedures for the implementation of this standard. <p>Dolok Ilir POM does not have procedure in term of supply chain implementation.</p> <p>Dolok Ilir POM does not describe the people in charge on the supply chain requirements implementation. NC No. 2015.19.</p>
	Status: Non conformance 2015.19
E.3.2	<p>The site shall have documented procedures for receiving and processing certified and non-certified FFBs.</p> <p>Dolok Ilir POM is not able to show the legalized procedure of the certified and non-certified FFB receipt. NC No. 2015.20</p>
	Status: Non conformance 2015.20
E.4	Purchasing and goods in
E.4.1	<p>The site shall verify and document the volumes of certified and non-certified FFBs received.</p>

Dolok Ilir POM is not able to show the legalized procedure of the certified and non-certified FFB receipt. NC No. 2015.21	
	Status: Non conformance 2015.21
E.4.2	
The site shall inform the CB immediately if there is a projected overproduction of certified tonnage.	
Dolok Ilir POM is not able to show the procedure of information provision to the CB in term of the overproduction. NC No. 2015.22	
	Status: Non conformance 2015.22
E.5	Record keeping
E.5.1	
a. 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. b. All volumes of palm oil and palm kernel oil that are delivered are deducted from the material accounting system according to conversion ratios stated by RSPO. c. The site can only deliver Mass Balance sales from a positive stock. Positive stock can include product ordered for delivery within three months. However, a site is allowed to sell short.(ie product can be sold before it is in stock.)	
There was no procedure of the recording of certified FFB receipt, RSPO-certified CPO, PKO and PK dispatch in quarter-based period. NC No. 2015.23	
	Status: Non conformance 2015.23
E.5.2	
In cases where a mill outsources activities to an independent (not owned by the same organization) palm kernel crush, the crush still falls under the responsibility of the mill and does not need to be separately certified. The mill has to ensure that the crush is covered through a signed and enforceable agreement.	
Dolok Ilir POM does not process nor outsource the Kernel to the independent KCP. Dolok Ilir POM only sell it.	
	Status: Full Comply

3.3. Conformity Checklist of Certificate and Logo Use

1.	Evidence of permission or approval certificate and logo from Certification Body which submitted by Client	X or √
ST-2	Will be verified during the next assessment (ASA-01)	√
	Status: Compliance	
2.	Implementation of certificate and logo used by Client comply with size and type (shape) against Guideline of Logo Use	X or √
ST-2	Will be verified during the next assessment (ASA-01)	
	Status: Compliance	
3.	Implementation of Certificate and Logo is not used on product	X or √
ST-2	Will be verified during the next assessment (ASA-01)	
	Status: Compliance	
4.	Controlling of Certificate and Logo, including withdrawing inappropriate logo.	X or √
ST-2	Will be verified during the next assessment (ASA-01)	
	Status: Compliance	

3.4. Summary of RSPO Partial Certification.

Management units that taken as samples for partial certification are Tanah Itam Ulu Management Unit, Pasir Mandohe Management Unit and Sawit Langkat Management Unit		
2.1	There is compliance with all applicable local, national and ratified international laws and regulations.	X or√
	PT Perkebunan Nusantara IV have been showed the evidences of compliance with the regulation: <ul style="list-style-type: none"> • Have gained the Land Use Right in form of HGU • Have gained the environment License document in form of AMDAL • Have conducted the zero burning in replanting activity • Have obtained the Plantation Business License in form of IUP 	√
	Status: Complied	
2.2	The right to use the land can be demonstrated, and is not legitimately contested by local communities with demonstrable rights.	X or√
	All the areal operated by the PT Perkebunan Nusantara IV are <i>Erfpatch rights</i> , the land tenure since the Netherland Colonial which have been nationalization by Indonesian government.	√
	Status: Complied	
6.3	There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all parties.	X or√
	PT Perkebunan Nusantara IV shows the procedures (No. Doc 07.02, 1 August 2012) regarding customer and environment complaint handling policy. Based on the SOP, complaint handling mechanisms can be divided into three types: <ul style="list-style-type: none"> • Any complaints from customers and the environment are recorded in written form and addressed to the managing director equipped with accurate data and delivered through the company secretary of Medan head office. • Units that received complaints from customer and environmental are allowed receiving customer complaints as stipulated in ISO procedure. • Handling of complaints from customers and the environment must be responded or resolved accurately and quickly and become the evaluation in the future to prevent from happening repeatedly. 	√
	Status: Complied	
6.4	Any negotiations concerning compensation for loss of legal or customary rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.	X or√
	There is no customary rights in all the areal operated by the PT Perkebunan Nusantara IV because the land are <i>Erfpatch rights</i> , the land tenure since the Netherland Colonial which have been nationalization by Indonesian government.	√
	Status: Complied	
7.3	New plantings since November 2005, have not replaced primary forest or any area required to maintain or enhance one or more High Conservation Values.	X or√
	There are no new planting and new development since November 2005 in all PT Perkebunan Nusantara IV operation area. The activity conducted is only replanting.	√
	Status: Complied	
7.5	No new plantings are established on local peoples' land without their free, prior and informed consent, dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.	X or√
	There are no new planting and new development since November 2005 in all PT Perkebunan Nusantara IV operation area. The activity conducted is only replanting.	√
	Status: Complied	
7.6	Local people are compensated for any agreed land acquisitions and relinquishment of	X or√

	rights, subject to their free, prior and informed consent and negotiated agreements.	
	There are no new planting and new development since November 2005 in all PT Perkebunan Nusantara IV operation area. The activity conducted is only replanting.	√
	Status: Complied	

3.5 Identification of Findings, Corrective Action, Observations, Opportunity for Improvement and Noteworthy Positive Components.

3.5.1 Identification of Findings, Corrective Actions and Observations at ST-2 Assessment

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
2015.01	2.1.1	<p>There are evidence of the compliance over the relevant legal requirements</p> <ul style="list-style-type: none"> According to the document review, the management unit is not able to show the crane and load operator license. For example, the Operator on behalf of Mr. Peris Simanjuntak, Mr. Tukilan, Mr. Suparno, Mr. Ahmad Siahaan, Mr. Andi Siahaan, and Mr. Tugino. It complies the Manpower Ministry Regulation No. 9 Year 2010 (crane and load Operator). According to the result of document review, interview with workers and the management unit, PT PN IV Dolok Ilir business unit is still hiring the contractual workers to work on the harvest program. It does not comply the Manpower Ministry Regulation No.19 Year 2012. 	Estate	Major	Prior the Report Submission	<ul style="list-style-type: none"> The management unit must be able to show the crane and load Operator license. PT PN IV Dolok Ilir Business Unit must comply the applied law. 	<p>Observation on March 27th 2015</p> <p>Root Cause:</p> <ul style="list-style-type: none"> There is no worker who has crane and load Operator license, due to there was lack of understanding for the related regulation. There are still contractual workers hired by the company for the main job such as harvesting, due to there was lack of understanding for the related regulation. <p>Corrective Action:</p> <ul style="list-style-type: none"> Replacing the employees based on the owned Operator license while waiting the training program realization. <p>The company shows the memo from the business unit group Manager – II Bah Jambi on November 20th 2014 to the DOI unit Manager in term of the selection of the harvesters on November 20th 2014. There was also a recommendation of the name of harvesters and loaders on 2014 based on the letter No. DOI/GUU-II/42/V/2014 dated May 26th 2014 which contains the name of future employees and loaders per afdeling</p>	Closed with observation	July 6th 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>of Dolok Ilir Estate.</p> <ul style="list-style-type: none"> Selecting the employees for working as harvesters. <p>The company shows the memo from the Dolok Ilir unit Manager in term of the job mutation for Peris Simajuntak, Ahmad Siahaan, Tugino, Andyhat Siahaan, Suparno and Tukilan who were mutated as supply chain station employees, sortation (grading) station employees and gantry station employees.</p> <p>Preventive Action:</p> <ul style="list-style-type: none"> Suggesting the HR Department to realize the load and crane training program. Ensuring that all workers who work at the station has Operator License) Selecting harvesters and stop using contractual workers to work on FFB harvest program. <p>Observation on May 20th 2015</p> <p>The company shows the certificate for the crane and load Operator from the RI Manpower Ministry on behalf of:</p> <ul style="list-style-type: none"> ❖ Suparno. Reg No. 48952-OPK3-LT/PAA/III/2015 which is valid till March 20th 2020 		

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>❖ Tugino. Reg No. 48950-OPK3-LT/PAA/III/2015 which is valid till March 20th 2020</p> <p>❖ Suparno. Reg No. 48951-OPK3-LT/PAA/III/2015 which is valid till March 20th 2020</p> <p>Observation on July 6th 2015 The company shows the memo from the HR Department of PT. Perkebunan Nusantara IV to the DOI unit Manager No. 04.15/DOI/R/M022.VI/2015 dated June 10th 2015 in term of the future harvesters who were hired as employees for the probation time. According to the memo, the number of harvesters of DOI unit on the probation period were 56 harvesters.</p> <p>Auditor Conclusion: Hence, NC No. 2015.01 is Closed with observation.</p>		
2015.02	2.2.2	<p>Legal Boundary Pole Maintenance The management unit is not able to show the routine legal area boundary pole management program. According to the result of field observation to Afdeling I, II, IV and VIII, the number of the boundary poles at the estate are not in line with the map</p>	Estate	Minor	Surveillance-01	The management unit must be able to show the routine legal area boundary pole management program in line with the map of pole maintenance inventory and map of land No. 27/09/1999.	<p>Observation on March 27th 2015 Root Cause: There was no communication on the boundary poles installation.</p> <p>Corrective Action:</p> <ul style="list-style-type: none"> The management unit showed the circular from the Manager of DOI unit in term of 	Closed with Observasi	May 20th 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
		of pole maintenance inventory and map of land No. 27/09/1999.					<p>the boundary poles maintenance on February 14th 2015.</p> <ul style="list-style-type: none"> Reinstalling the boundary poles based on the map. <p>Preventive Action: Monitoring the boundary pole condition.</p> <p>Observation on May 20th 2015 The company showed the circular from the Director of HR No. 04.17/SE/01/II/2015 dated January 14th and internal memo from the Manager of DOI unit No. DOI/SE.intern/IIA/II/2015 dated February 14th 2015 in term of the maintenance of the boundary poles. It requires that each unit must monitor the existence of the installed boundary poles as well as maintain it.</p> <p>There was also the result of inventory and inspection on the Land Use Title (HGU) boundary poles for all Afdeling of Dolok Ilir Estate. For example, the pole No. 224 block 98BY in AFD II was well maintained, the pole No. 25 block 93B of AFD VI was well maintained, boundary pole No. 91 block 98H of AFD VII was not well maintained (broken).</p> <p>Auditor Conclusion:</p>		

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							The properness of the boundary poles on the operational area based on the legal document (map of land) No. 27/09/1999 shall be observed on the next assessment. Hence, NC No. 2015.02 is Closed with observation.		
2015.03	4.4.2	Waterway preservation and restoration of the bufferzone (based on the best guideline and practice) <ul style="list-style-type: none"> According to the field visit, the riparian area of Bah Bolon in afdeling VI was planted with palm oil plants. It did not comply the decree of President No. 32 Year 1990 in term of the management of the conservation area for at least 50 meter off the right and left of the river. 	Estate	Major	Prior the Report Submission	The management unit must be able to ensure all the waterway preservation, management and monitoring including the restoration of riparian area based on the applied law.	Observation on March 27th 2015 Root Cause: The riparian area was planted with palm oil plants. Corrective Action: <ul style="list-style-type: none"> The company shall not manage nor spray chemicals on the riparian area. The company show menunjukkan memo dari manajer unit DOI tanggal 21 Februari 2015 perihal larangan aplikasi pestisida dan pemupukan di kawasan sempadan sungai. Preventive Action: Identifying the riparian area and stopping the chemicals application on the area. Observation on June 12th 2015 There is a memo No. RSPO/MU/V/2015 in term of the installation of the signboard which inform the prohibition of chemicals application on the riparian area on May 27th 2015. The	Closed with observation	June 12th 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>company shows the photographs of the signboard installation at the riparian area.</p> <p>Auditor Conclusion: Implementation over the preservation of the riparian area within Dolok Ilir Estate shall be observed on the next assessment. Hence, NC No. 2015.03 is Closed with observation</p>		
2015.04	4.6.4	<p>The chemicals use should be reduced or stopped</p> <p>The management unit still use the pesticide categorized as type 1A or 1B WHO or ingredients which are included on the list of Stockholm and Rotterdam Convention such as <i>Parakuat dichloride active ingredient</i>. Moreover, there was no evidence of the record of paraquat use which tend to decrease.</p>	Estate	Minor	Surveillance-01	The management unit must be able to show the evidence that the use of active ingredient herbicide is reduced or stopped.	<p>Observation on March 27th 2015 Root Cause: The increase of the paraquat use on period of 2013/2014 due to the weed growth at the woody area and lowland area.</p> <p>Corrective Action: Planning the use of paraquat on 2015 to reduce the use of paraquat.</p> <p>Preventive Action: Monitoring the use of paraquat regularly.</p> <p>Observation on March 27th 2015: The company showed the memo from the Manager of Dolok Ilir No. DOI/M/TAN/10/II/2015 in term of the plan of paraquat use reduction on February 20th 2015. The company has a plan to reduce the use of paraquat in 2015 from 3,716 liter to</p>	Closed with observation	April 6th 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							2,148 liter. Auditor Conclusion: According to the data, the realization of the paraquat use reduction shall be observed on the next assessment program. NC No. 2015.04 is Closed with observation		
2015.05	4.6.6 4.6.10 5.3.2	The management of agrochemicals containers waste According to the result of document observation, the management unit was not able to show the documented evidence of the SOP of agrochemicals containers management. Specifically in term of the retention period of agrochemicals containers in afdeling before the delivery to the Dolok Ilir POM hazardous waste storage. Moreover, according to the result of field observation to Afdeling IV, the agrochemicals containers were disposed at the garbage bin and were hoarded.	Estate and POM	Major Minor Major	Prior the Report Submission	<ul style="list-style-type: none"> The management unit must ensure that the procedure of the agrochemicals container management in term of the storage retention period before the hazardous waste delivery to the Dolok Ilir storage is there. The management unit must ensure that the agrochemicals containers management has complied the applied regulation. 	Observation on March 27th 2015 Root Cause: <ul style="list-style-type: none"> The procedure of agrochemicals containers does not yet exist. The workers do not understand the agrochemicals containers management. Corrective Action: <ul style="list-style-type: none"> Composing the procedure of agrochemicals and hazardous waste management. Socializing it to all employees (agrochemicals container management). Issuing the circular of the return of hazardous waste containers to the storage. The management unit showed the covering letter of goods like agrochemicals containers. For example, the covering letter dated January 22nd 2015 in detail of ex rally bottle for 16 units 	Closed with observation	July 27th 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>which were returned to the central storage.</p> <p>Observation 20 Mei 2015</p> <p>The company has shown the procedure of hazardous waste management including the agrochemicals containers in document No. SPO 02 dated January 2nd 2015. The procedure identifies hazardous waste including the chemicals containers, hazardous waste retention period, hazardous waste placement and hazardous waste handover to the licensed collector.</p> <p>The company was able to show the contract for service agreement with the hazardous waste collector. For example:</p> <ul style="list-style-type: none"> • Contract for Service No. 04.05/SP/14/III/2015 dated March 2nd 2015 with CV Amindy Barokah and PT praasha pamunah limbah industri (used bulb and grease) • Contract for Service No. 04.05/SP/16/III/2015 dated March 2nd 2015 with CV Amindy Baorkah and PT Nonferindo Utama (used battery) • Contract for Service No. 04.05/SP/14/III/2015 dated March 2nd 2015 with CV Amindy Barokah and PT 		

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>karisma (used and dirty oil)</p> <ul style="list-style-type: none"> Contract for Service No. 04.05/SP/14/III/2015 dated March 2nd 2015 with CV Amindy Barokah and PT wahana pamunah limbah industri (contaminated waste, rag, used filter, expired chemicals) <p>The hazardous waste transport of DOI POM was planned to be executed on May 11th 2015.</p> <p>Observation on June 12th 2015</p> <p>The company showed the evidence of the socialization of agrochemicals containers management on April 9th 2015. It was supported with the attendance list. The taught materials was the management of agrochemicals containers which should not be hoarded nor disposed on the garbage bin.</p> <p>Observation on July 6th 2015</p> <p>The company showed the evidence of the hazardous waste transport by CV Amindy Barokah in form of the covering paper No. 03/DOI/V/2015 dated June 12th 2015 in detail of 301 unit of poisoned jerry cans, , 5 unit of lubricant jerry cans, 5 unit of used batteries, 68 unit of used ally cans.</p>		

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>Observation on July 27th 2015</p> <p>The company showed the record of hazardous waste management of DOI POM. For example, the balance sheet of hazardous waste in form of 49 chemicals jerry cans per July 7th 2015. It was transported by CV Amindy Barokah in detail of 301 unit of poisoned jerry cans, 5 unit of lubricant jerry cans, 5 unit of used batteries, 68 unit of used ally cans.</p> <p>Preventive Action:</p> <p>The management unit will control and monitored according to the hazardous waste mechanism which available.</p> <p>Auditor Conclusion:</p> <p>The company has shown the record of hazardous waste management in form of the hazardous waste balance sheet of DOI POM. Hence, NC No. 2015.05 is Closed with observation.</p>		
2015.06	4.6.11	<p>Regular Medical Check Up</p> <p>According to the document review, the management unit is not able to show the record of the regular medical check up for pesticide applicators.</p>	Estate	Major	Prior the Report Submission	The management unit must be able to show the result of record of the regular medical check up to the pesticide applicators.	<p>Observation on March 27th 2015</p> <p>Root Cause:</p> <p>The company is not able to show the result of regular medical check up</p>	Closed	May 20th 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>Corrective Action:</p> <ul style="list-style-type: none"> Holding regular medical check up for the herbicide applicator immediately. The company showed the proposal of regular medical check up by the Head of HR on February 17th 2015. The regular medical check up was planned on March 12th 2015. <p>Preventive Action: Holding regular medical check up for pesticide Applicators monitored by human resources staff.</p> <p>Observation on May 20th 2015 The company has held regular medical check up for the pesticide applicator. It was conducted by the Medan OHS Center on March 11th 2015. The tested parameters were:</p> <ul style="list-style-type: none"> Audiometry check up for 20 employees. According to the result of the medical check up, 19 employees were healthy and 1 employee experienced NIHL Spirometry check up for 20 employees. According to the result of the medical check up, 11 employees were healthy, 2 employees experienced light restriction, 1 		

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>employee experienced light restriction and obstruction, 2 employees experienced medium restriction and heavy obstruction, 3 employees experienced medium obstruction, 1 employee experienced light restriction and medium obstruction.</p> <ul style="list-style-type: none"> Cholinestrase check up for 20 employees. According to the result of medical check up, all employees were healthy. <p>Auditor Conclusion: Hence, NC No. 2015.06 is Closed.</p>		
2015.07	4.7.1	<p>PPE Use Implementation</p> <p>According to the result of field observation, there were workers who were not using PPE with task potentials as follow:</p> <ul style="list-style-type: none"> Welding program at mill: the welding expert did not use apron, gloves, glasses and helmet. Grinding program at mill: the grinders did not use glassess and gloves. Pesticide application at afdeling 1, block 94Q: the pesticide Applicators did not use apron. 	Estate and POM	Major	Before the Report Submission	The management unit must ensure that all workers who do dangerous potential task to be equipped with PPE.	<p>Auditor Observation On March 27th 2015</p> <p>Root Cause: The lack of worker's awareness to work by using PPE.</p> <p>Corrective Action:</p> <ul style="list-style-type: none"> Composing the circular to all the Heads of Unit and Assistant to order the workers to use PPE. The company showed the memo from the unit Manager No. DOI/SE/II/2015 in term of the inspection on the work costum and the use of PPE based on its position dated February 21st 2015. <p>Preventive Action: Give a more awareness to all workers and</p>	Closed	6 August 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>snction to the workers who do not use PPE.</p> <p>Observation on June 12th 2015 The company showed the evidence of socialization of PPE usage and socialization of SE No. DOI/SE/II/2015 dated February 4th 2015. It was held by OHS coach. It was attended by 28 employees (thresing, welding expert, etc). it was supported by the attendance list. The informed agency on the socialization was the workers who were not using PPE while working and the warning for not using PPE.</p> <p>Observation on July 6th 2015 The company showed the evidence of socialization of PPE (no attendance list) dated June 26th 2015 and the PPE handover evidence in period of 2014 which was legalized by DOI unit Manager. For example, chemicals masker, rubber gloves, glasses and raincoat.</p> <p>Observation 27 July 2015 Company has shown the evidence of workers provided with appropriate PPE in form of photographic.</p>		

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>Observation 6 August 2015</p> <p>The attendance list of PPE socialization to the ten spraying workers has been shown by the management unit and also the PPE provision to the workers.</p> <p>Auditor Conclusion:</p> <p>There is evidence of the PPE use implementation (apron, etc) for pesticide applicator based on the existed risk potential.</p> <p>NC No. 2015.07 is Closed.</p>		
2015.08	4.7.4	<p>OHS Organization</p> <p>The management unit has had OHS Guiding Committee. It has been legalized by the Manpower Agency. However, there was a change on the OHS Guiding Committee Structure. Therefore, the legalization was no longer valid.</p>	Estate and POM	Major	Prior the Report Submission	The management unit must be able to show the decree of the latest OHS Guiding Committee.	<p>Observation on March 27th 2015</p> <p>Root Cause:</p> <p>There is no decree of the latest OHS Guiding Committee legalization.</p> <p>Corrective Action:</p> <p>The company shows the proposal of the latest OHS Guiding Committee structure No. DOI/X/30 dated February 25th 2015 from the unit Manager to Simalungun District Manpower Agency.</p> <p>Preventive Action:</p> <p>Reporting the latest OHS Guiding Committee structure to the Manpower Agency.</p> <p>Observation on May 20th 2015</p>	Closed	May 20th 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>The company has shown the legalization of OHS Guiding Committee structure for Dolok Ilir unit. It constituted by the Head, the Head I, the Head II, the Head III, Secretary, Fire Chief, afdeling emergency team, main fire team, medical team, rescue team based on the decree of Simalungun District Manpower Agency No. 188.45/347-HIJ dated March 10th 2015.</p> <p>Auditor Conclusion: Hence, NC No. 2015.08 is Closed.</p>		
2015.09	4.7.5	<p>First Aid Kit and Officer at Workplace</p> <p>According to the result of document observation and interview with the management unit, there were several facts. Those are:</p> <ul style="list-style-type: none"> The management unit is not able to show the adequate evidence of the training for first aid Officer at the workplace as required by Manpower Ministry in law No. 15 year 2008. According to the result of observation on the maintenance program in Afdeling I and IV and the harvesting program in Afdeling VIII, the first aid kits at the workplace is 	Estate and POM	Minor	Surveillance-01	<p>The management unit must be able to show the evidence of the availability of first aid kits and Officer at the workplace.</p>	<p>Auditor Observation on March 27th 2015</p> <p>Root Cause: There is no well trained first aid Officer as well as the first aid kits based on the applied law.</p> <p>Corrective Action: Showing the evidence of the availability of first aid Officer as well as the first aid kits based on the applied law.</p> <p>Preventive Action: Holding internal first aid training and providing first aid kits at the workplace based on the applied law.</p> <p>Auditor Observation on March 27th 2015:</p>	Closed	April 6th 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
		not in line with the terms required by Manpower Ministry in law No. 15 tahun 2008.					<p>The company shows the record of first aid training on the meeting of OHS Guiding Committee on February 27th 2015 (it is supported by attendance list and photographs). Furthermore, the company also show the proposal from DOI unit Manager to Hospital of Laras for 25 sterilized gauze, 25 flashlights on February 20th 2015.</p> <p>Auditor Conclusion: Hence, NC No. 2015.09 is Closed.</p>		
2015.10	5.1.2	<p>Identification of the Environment Impact over the Change on the Operationals (replanting)</p> <p>According to the review of environmental management and monitoring plan document, the management unit does not have the identification and monitoring plan on the future and the conducted replanting program.</p>	Estate	Minor	Surveillance-01	The management unit must be able to show the identification and monitoring plan of the conducted replanting program or for the future program.	<p>Observation on April 6th 2015</p> <p>Root Cause: There is no identification and monitoring plan of social and environment impacts caused by replanting program.</p> <p>Corrective Action: Composing the environment impact identification caused by replanting program.</p> <p>Preventive Action: Evaluating and monitoring the estate impacts which have potential to cause environment impacts.</p> <p>Auditor Conclusion: The company is not able to show the</p>	Open	

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							identification of the environment impact and its monitoring plan of environment nearby estate on the ongoing and future replanting program. NC No. 2015.10 is Opened		
2015.11	5.1.3	<p>Plan and Implementation of Environmental Management and Monitoring</p> <p>According to the document observation, there were several facts. For example:</p> <ul style="list-style-type: none"> The format of report of environmental management and monitoring plan implementation was not in line with the decree of Environment Ministry No. 45 Year 2005. There were unmonitored and unmanaged environment parameters based on the recommendation of environmental management and monitoring plan. Those were: <ol style="list-style-type: none"> Replanting program Reduction of ambient air quality at POM, compost station and emplacement. 	POM and Estate	Minor	Surveillance-01	The management unit must be able to ensure the implementation of the environment management and monitoring to be in line with the environmental management and monitoring plan.	<p>Observation on April 6th 2015</p> <p>Root Cause: The conducted environmental management and monitoring is not proper with the guideline of environmental management and monitoring plan</p> <p>Corrective Action:</p> <ul style="list-style-type: none"> Adjusting the routine report of environment management based on the guideline of environmental management and monitoring plan. The company is able to show the proposal of the untested environment parameter test such as ambient air, noise, odour and surface water quality on February 20th 2015 from the DOI unit Manager to the HQ of PTPN IV Medan. <p>Preventive Action: Routinely monitor and evaluate the parameters of environmental management and monitoring.</p>	Open	

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
		14. Odour in compost station, emplacement, settlement of Bandar Selamat and land application location. 15. Noise in POM, emplacement and Bandar Selamat Village. 16. Emission in compost station, emplacement, Bandar Selamat settlement and land application. 17. Water quality in the upstream of Bah Apal River pre LA program, at the melting pot of Bah Apal riverway, downstream of Bah Apal River post LA program. 18. Effluent quality at WWTP pond and LA area. 19. Soil fertility at the LA area. 20. Hazardous waste management at hazardous waste storage. 21. Job and business opportunity and the increase of income at the Dolok Ilir Village and Bandar Selamat Village and Dolok Batu Nanggar Sub-District.					Auditor Conclusion: The company is not able to show all parameters of environment management and monitoring based on guideline of environmental management and monitoring plan. NC No. 2015.11 is still Open.		

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
		22. Attitude and perception of the community of Dolok Ilir and Bandar Selamat Village and Dolok Batu Nanggar Sub-District.							
2015.12	5.2.3	Implementation of the Endanger Species Protection According to the result of field observation to afdeling 1, there was animal (eagle) raised by the employees. It has broken the result of HCV assessment on 2009 of PTPN IV Dolok Ilir in which the eagle is considered as the endanger species.	Estate	Minor	Surveillance-01	The management unit must ensure the protection for all animals on the HCV area within the Dolok Ilir Estate and must apply law enforcement action for the workers who catch, hunt, collect, kill or torture and raise the endanger species.	Observation on April 6th 2015 Corrective Action: Handing the endanger animals over to the conservation body. Preventive Action: Composing circular and socializing it to all employees to always preserve the endanger animals within the estate area. Observation on April 6th 2015: <ul style="list-style-type: none"> The company showed the evidence of socialization to all afdeling employees in term of the wildlife preservation on February 24th 2015. It was supported by attendance list. The company showed memo No. DI/SE.interen.14/II/2015 from the DOI unit Manager in term of the prohibition to catch and raise the endanger animals on February 25th 2015. There was an official record of the endanger animals handover to North Sumatera Conservation Body No. 	Closed	April 6th 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							BA.662/BBKADASU-2/2015 on March 4th 2015. It was supported by photographs. Auditor Conclusion: Hence, NC No. 2015.12 is Closed.		
2015.13	5.3.3	Implementation of Waste Management to Reduce Pollution According to the field observation to afdeling 1 and 4, the indication of the domestic waste burning can still be found as well as the EFB burning at afdeling 1, block 97BT.	Estate	Minor	Surveillance-01	The management unit must ensure the management of the domestic waste and EFB based on the applied plan by the management unit.	Observation on April 6th 2015 Root Cause: Corrective Action: Preventive Action: Auditor Conclusion:	Open	
2015.14	6.1.3	Result of Social Impact Monitoring According to the document review, the management unit has the document of social impact management and monitoring with the participation of the locals. However, there is no evidence of the implementation.	Estate and POM	Major	Prior the Report Submission	The management unit must have the record of the regular participative social impact management and monitoring implementation.	Observation on April 6th 2015 Root Cause: The company does not have the record of regular social impact management and monitoring with the community participation Corrective Action: <ul style="list-style-type: none">Identifying the need of the locals.Realizing the CD/CSR program on 2010. For example, digging the main trench in Aman Sari Village of Dolok Batu Nanggar Sub-District. Preventive Action: Composing the regular social impact management and monitoring program.	Closed with observation	July 7th 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>Observation on July 7th 2015</p> <p>Providing questionnaire as part of the participation of the locals to manage social impact in form of document of attitude, perception and expectation of the community nearby PTPN-IV Dolok Ilir. It describes the impact of the program, the complaint, expectation, anxiety, benefit of the company, the received donation and the future programs.</p> <p>Auditor Conclusion:</p> <p>There are evidence that the company has managed and monitored social impact over the locals regularly based on the analysis of need. NC No. 2015.14 is Closed with observation.</p>		
2015.15	6.1.4	<p>Evaluation of the Social Impact Management and Monitoring Implementation</p> <p>The management unit is not able to show the document of evaluation of social impact management and monitoring by involving the participation of the locals.</p>	Estate	Minor	Surveillance-01	The management unit must be able to show the document of evaluation of social impact management and monitoring by involving the participation of the locals.	<p>Observation on April 6th 2015</p> <p>Root Cause:</p> <p>Evaluation over the social impact management and monitoring is not yet documented.</p> <p>Corrective Action:</p> <ul style="list-style-type: none"> Composing the record of evaluation of social impact management and monitoring. The company shows the evaluation on the 	Open	

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>environment preservation program on 2010. For example, the main trench digging on Dolok Batu Nanggar Sub-District.</p> <p>Preventive Action: Maintaining good relation with the participation of the locals.</p> <p>Auditor Conclusion: Document of evaluation of CD/CSR programs realization which involve the locals for period of 2014/2015 is not available. NC No. 2015.15 is Opened.</p>		
2015.16	6.11.1	<p>Record of the Company's Contribution to the Regional Development</p> <p>The management unit has had the record of recapitulation of the company over the regional development. However, there is no evidence that the contribution of the company is based on the consultation of daily need of the locals.</p>	Estate	Minor	Surveillance-01	The management unit must be able to show that the company's contribution is based on the result of consultation of the daily need of the locals.	<p>Observation on April 6th 2015</p> <p>Root Cause: The company's contribution is not based on the result of consultation with the locals.</p> <p>Corrective Action:</p> <ul style="list-style-type: none"> Composing the recapitulation of the company's contribution based on the public consultation. The company shows the minute of meeting of the report. The meeting was held on July 16th 2012. It was supported by the attendance list and the signatures of the locals. However, there is no 	Open	

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>evidence of the company's contribution over the local development for period of 2014/2015 based on the result of consultation with the locals.</p> <p>Preventive Action: Consulting CD/CSR with the locals.</p> <p>Auditor Response: Hence, NC No. 2015.16 is still open.</p>		
2015.17	6.13.1	<p>Policy to Respect Human Rights</p> <p>The management unit is not able to show the policy to respect the human rights which is communicated to all level ow workers and operational unit.</p>	Estate and POM	Major	Prior the Report Submission	The management unit must be able to show the policy to respect the human rights which is communicated to all level ow workers and operational unit.	<p>Observation on April 6th 2015: Root Cause: The company's commitment to respect the worker's human rights from the highest level to the lowest level is not yet composed.</p> <p>Corrective Action:</p> <ul style="list-style-type: none"> The company has composed commitment to respect the human rights of each worker in February 18th 2015. It was composed by the Dolok Ilir unit Manager. According to the commitment, the company guarantee the rights of the employee to pray based on their faith as well as protecting the women worker's rights. <p>Preventive Action:</p>	Closed	May 20th 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>The management unit shall implement the commitment to respect the human rights of each workers at the management unit.</p> <p>Observation on May 20th 2015 The company is able to show the company's commitment on February 18th 2015 from the Dolok Ilir unit Manager. According to the commitment, the company guarantee the rights of the employee to pray based on their faith as well as protecting the women worker's rights.</p> <p>There is an evidence of socialization in term of the human rights to 22 employees on May 8th 2015 in emplacement central office. The attendance list is available.</p> <p>Auditor Conclusion: Hence, NC No. 2015.17 is Closed.</p>		
2015.18	MB. E 2.2	<p>Registration via RSPO IT Platform/ e trace</p> <p>Dolok Ilir POM does not conduct registration to the RSPO supply chain IT platform.</p>	POM	NC	Prior the Report Submission	Dolok Ilir POM must conduct registration to the RSPO supply chain IT platform.	<p>Observation on April 6th 2015 Root Cause: Dolok Ilir POM has not understand how to register in the RSPO IT Platform (E-Trace)</p> <p>Corrective Action: Dolok Ilir POM has been registered on the E-Trace along with the registration number.</p> <p>Observation on May 20th 2015</p>	Closed	May 20th 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							Dolok Ilir POM has shown the evidence of registration via RSPO IT Platform/ e trace on behalf of PTPN4 of Dolok Ilir Unit and ID member of RSPO P01000002539. Auditor Conclusion: Hence, NC No. 2015. 18 is Closed.		
2015. 19	MB E 3.1	Procedure and Instruction of Supply Chain a. Dolok Ilir POM does not have procedure in term of supply chain implementation. b. Dolok Ilir POM does not describe the people in charge on the supply chain requirements implementation.	POM	NC	Prior the Report Submission	Dolok Ilir POM must be able to show the procedure or instruction of supply chain implementation which have been legalized by the person in charge over the supply chain requirements.	Observation on April 6th 2015 Root Cause: There is no procedure in term of the supply chain and the people in charge over the supply chain requirements. Corrective Action: <ul style="list-style-type: none"> Composing the supply chain procedure and appointing the people in charge. Dolok Ilir POM is able to show the procedure of supply chain in term of the supply chain implementation such as SOP of MR-04-01 dated November 17th 2014, SOP of PKS-DOI-01-00 dated March 1st 2015 in term of CPO and Kernel dispatch claim, SOP No. 18 dated January 2nd 2015 in term of the information and claim of the CPO and PK production. Dolok Ilir POM has the document of 	Closed	April 6th 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>personel's tasks and responsibilities on the supply chain system which is legalized by the DOI unit Manager. For example, the task of the processing stage assistant is to monitor the supply chain implementation from the weighing process, sortation/grading, processing stage, bulking and dispatch.</p> <p>Preventive Action: Ensuring the implementation of composed procedure.</p> <p>Observation on April 6th 2015:</p> <ul style="list-style-type: none"> Dolok Ilir POM is able to show the procedure of supply chain in term of the supply chain implementation such as SOP of MR-04-01 dated November 17th 2014, SOP of PKS-DOI-01-00 dated March 1st 2015 in term of CPO and Kernel dispatch claim, SOP No. 18 dated January 2nd 2015 in term of the information and claim of the CPO and PK production. Dolok Ilir POM has the document of 		

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>personel's tasks and responsibilities on the supply chain system which is legalized by the DOI unit Manager. For example, the task of the processing stage assistant is to monitor the supply chain implementation from the weighing process, sortation/grading, processing stage, bulking and dispatch.</p> <p>Auditor Conclusion: Hence, NC No. 2015.19 is Closed</p>		
2015.20	MB E 3.2	<p>Documentation of the Procedure of certified and non-certified FFB receipt</p> <p>Dolok Ilir POM is not able to show the legalized procedure of the certified and non-certified FFB receipt.</p>	POM	NC	Prior the Report Submission	Dolok Ilir POM must be able to show the legalized procedure of the certified and non-certified FFB receipt	<p>Observation on April 6th 2015</p> <p>Root Cause: There is no procedure of the certified and non-certified FFB receipt.</p> <p>Corrective Action:</p> <ul style="list-style-type: none"> Composing the procedure of the certified and non-certified FFB receipt. Dolok Ilir POM has shown the SOP of supply chain in document number MR-04-01 dated November 17th 2014. According to the procedure, the incoming certified FFB shall be stamped as RSPO by the security Officer and the non-certified shall be stamped. 	Closed	July 6th 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>Preventive Action: Ensuring the implementation of composed procedure.</p> <p>Observation on July 6th 2015 The company has shown the example of the format of the certified and non-certified FFB reporting in daily-based, monthly-based, quarter-based on the monthly report of the incoming and the processed FFB. It describes the reporting procedure of the certified and non-certified product separation such as the data of the incoming FFB, data of the processed FFB, data of the produced CPO and Kernel, data of CPO and Kernel extraction which are verified by the Head of Processing Stage Agency daily.</p> <p>Auditor Conclusion: Hence, NC No. 2015.20 is Closed.</p>		
2015.21	MB E 4.1	Dolok Ilir POM is not able to show the legalized procedure of the certified and non-certified FFB receipt.	POM	NC	Prior the Report Submission	Dolok Ilir POM must be able to show the legalized procedure of the certified and non-certified FFB receipt.	<p>Observation on April 6th 2015 Root Cause: There is no procedure of the certified and non-certified FFB receipt.</p> <p>Corrective Action:</p> <ul style="list-style-type: none"> Composing the procedure of the certified and non-certified FFB receipt. 	Closed	July 6th 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<ul style="list-style-type: none"> Dolok Ilir POM has shown the SOP of supply chain in document number MR-04-01 dated November 17th 2014. According to the procedure, the incoming certified FFB shall be stamped as RSPO by the security Officer and the non-certified shall be stamped. <p>Preventive Action: Ensuring the implementation of composed procedure.</p> <p>Observation on July 6th 2015 The company has shown the example of the format of the certified and non-certified FFB reporting in daily-based, monthly-based, quarter-based on the monthly report of the incoming and the processed FFB. It describes the reporting procedure of the certified and non-certified product separation such as the data of the incoming FFB, data of the processed FFB, data of the produced CPO and Kernel, data of CPO and Kernel extraction which are verified by the Head of Processing Stage Agency daily.</p> <p>Auditor Conclusion: Hence, NC No. 2015.21 is Closed.</p>		

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
2015.22	MB E 4.2	Procedure of the Announcement of the Overproduction Dolok Ilir POM is not able to show the procedure of information provision to the CB in term of the overproduction of CPO and PK.	POM	NC	Prior the Report Submission	Dolok Ilir POM must be able to show the procedure of information provision to the CB in term of the overproduction of CPO and PK.	Observation on April 6th 2015 Root Cause: The company does not have the procedure of information provision to the CB in term of overproduction. Corrective Action: Composing the procedure of overproduced CPO and PK. Preventive Action: Monitoring the CPO and PK production routinely. Observation on April 6th 2015: The company has had the procedure of information provision and CPO and PK production claim in document No, 18 dated January 2nd 2015. It describes that the unit Manager should inform the CB in term of the overproduction of sold CPO and PK more than its claim. Auditor Conclusion: Hence, NC No. 2015.22 is closed	Closed	April 6th 2015
2015.23	MB E 5.1	There was no procedure of the recording of certified FFB receipt, RSPO-certified CPO, PKO and PK	POM	NC	Prior the Report Submis	Dolok Ilir POM must be able to show the procedure of the recording of certified	Observation on April 6th 2015 Root Cause: There is no procedure of the certified FFB	Closed	July 6th 2015

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
		dispatch in quarter-based period.			sion	FFB receipt, RSPO-certified CPO, PKO and PK dispatch in quarter-based period.	<p>recording as well as the CPO, PKO and PK dispatch in quarter-based period.</p> <p>Corrective Action:</p> <ul style="list-style-type: none"> The company showed the product receipt recording management No. 16 dated January 2nd 2015. It describe the recording for the FFB receipt, CPO, PKO and PK dispatch in quarter-based period data. Dolok Ilir POM is able to show the format of FFB receipt, certified CPO and PK dispatch in quarter-based period. <p>Preventive Action:</p> <p>Ensuring the implementation of composed procedure.</p> <p>Observation on July 6th 2015</p> <p>The company has shown the example of the format of the certified and non-certified FFB reporting in daily-based, monthly-based, quarter-based on the monthly report of the incoming and the processed FFB. It describes the reporting procedure of the certified and non-certified product separation such as the data of the incoming FFB, data of the processed FFB, data of the produced CPO</p>		

CAR No	Ref Std	Finding	Area	Grade	Time Limits	Corrective Action	Observation	Status	Closing Date
							<p>and Kernel, data of CPO and Kernel extraction which are verified by the Head of Processing Stage Agency daily.</p> <p>Auditor Conclusion: Hence, NC No. 2015.23 is Closed.</p>		

3.5.2 Opportunity for Improvement

No	Ref Std	Descriptions
1	1.3.1	Ensuring the commitment over the code of integrity and ethical attitude socialization to all class of workers and operational units.
2	2.1.1	Applying the effluent on the permitted block.
3	3.1.2	Using amount and type of seed based on the replanting plan.
4	4.7	<ul style="list-style-type: none"> Improving the order and sanitation within the mill area (especially the parked bike on the Sterilizer station) Control the risk potential in mill (there is no symbol of diesel fuel tank as well as the spillage management)
5	5.5	Improving the facilities to deal with land fire (considering the water pump machine capacity and the accomodation for the transportation)
6	6.5.3	The supporting transportation for the students (school transport)
7	6.10.2	Determining the deadline of payment on the contract of service with FFB supplier
8	Supply Chain	Awareness and training to all workers that have to do with supply chain implementation

3.5.3 Noteworthy Positive Components

No	Ref Std	Descriptions
1	-	PTPN IV management unit of Dolok Ilir Business Unit committed to implement sustainable palm oil estate principles.
2	-	The competent workers as Liaison Officer during audit program as well as the document availability.

3.6 Summary of Arising Issues from Public, Management and Auditor Response

Public Issues (Institution/ NGO/Community)	Management Responses	Auditor Responses
Simalungun District Environment Agency <ul style="list-style-type: none"> There has never been a complaint expressed by the locals in term of environment contamination. The environment permits such as hazardous waste storage and land application have been gotten by the company. All the routine semester-based/quarter-based reports have been routinely reported to the agency. For example, the quarter-based report of effluent, quarter-based report of hazardous waste, semester-based report of environmental management and monitoring plan implementation. The company is expected to conduct location rotation for land application program once the LA permit has lost its validity period. The company is expected to separate the location of hazardous waste storage at Dolok Ilir POM on the future. 	<ul style="list-style-type: none"> The land application permit has expired. It has been coordinated with the Simalungun District Environment Agency so the review on the land application location can be conducted. The hazardous waste storage building shall be constructed separately based on the applied terms. 	<p>The environment management program in Dolok Ilir PTPN-IV business unit has been running well. The auditor team has verified the issue and it has been described on the principle 5.</p>
Simalungun District Plantation Agency <ul style="list-style-type: none"> The company has gotten estate class II status based on the plantation business assessment on 2012. The company has complied the environment terms and the company has had EIA. There is no land fire within the company operational area. There is an unilateral claim from the locals in Afdeling III in term of the land ownership. 	<ul style="list-style-type: none"> There is no land ownership within the PTPN-IV area on Dolok Ilir business unit at afdelling III due to the fact that the area is still included on the Dolok Ilir business unit Land Use Title (HGU) for 7,348.81 ha based on the RI National Land Agency certificate No. 13/HGU/BPN/2006 dated August 22nd 2006. The certificate is valid from December 31st 2005 to December 31st 2030. 	<p>The plantation management program in Dolok Ilir PTPN-IV business unit has been running well. The auditor team has verified the issue and it has been described on the principle 4.</p>

Public Issues (Institution/ NGO/Community)	Management Responses	Auditor Responses
<ul style="list-style-type: none"> The realized community development has been running well. The company has had new plantation business permit to upgrade the capacity of Dolok Ilir POM from 30 ton of FFB/hour to 60 ton of FFB/hour. 		
Simalungun District Manpower Agency <ul style="list-style-type: none"> The OHS Guiding Committee programs and the obligation to report of the management unit has been consistently running and it has been routinely reported. The regular medical check up for the employees has been held on 2014. The management unit has implemented minimum wage standard for Simalungun District for IDR 1,695,000 based on the South Sumatera Governor decree on January 6th 2015 and the workers have been registered as the member of Manpower BPJS. The management unit has formed Bipartite cooperative forum. The assembly and reporting of Bipartit cooperative forum programs have been routinely conducted. There is no report of industrial relation issue informed to the Manpower Agency yet. The management unit still hire the contractual workers for harvesting program. It does not obey the Manpower Ministry Regulation No. 19 Year 2012. However, it is still tolerated by the Manpower Agency. 	<ul style="list-style-type: none"> the hyperkes examination on 2015 has been held. Dolok Ilir business permit has recruited 62 harvesters on 2014. The promotion for the manpower shall be adjusted with the company's need and budget based on the management's instruction. 	<p>The manpower and OHS management in Dolok Ilir PTPN-IV has been running well. The auditor team has verified it and it has been described on Criteria 4.7 and principle 6.</p>

Public Issues (Institution/ NGO/Community)	Management Responses	Auditor Responses
Simalungun District National Land Agency <ul style="list-style-type: none"> There is no permit for new location and to expand the hectarage of Land Use Title (HGU) area. There is no land occupied by the locals and there is no complaint from the locals in term of land dispute. Dolok business unit has had the Land Use Title (HGU). The Land Use Title (HGU) is valid untill December 31st 20130. It is supported by the map of land. The management unit has had boundary poles based on the law of National Land Agency No. 3 Year 1997. 	<ul style="list-style-type: none"> Because the company does not expand the area indeed. 	<p>The Land Use Title (HGU) management within Dolok Ilir business unit of PTPN-IV has been well managed. The auditor team has verified it and it has been described on the criteria 2.2</p>
Aman Sari Village (Headman – Yusnia Pohan, SH). Aman Sari Village is one of the village which is directly bordering with PTPN IV - Dolok Ilir Business Unit (Company). The distance between Aman Sari Village and the company is about 2 Km. Aman Sari Village is the disintegrated village from Serbalawan Village on 2013. The northern area of Aman Sari Village is bordering with estate. Interview with the Chief of Aman Sari Village. The result of the interview are as follow: Positive Issues: <ol style="list-style-type: none"> Good relation between the Aman Sari Village Apparatus with the company is running well. The company has contributed the development of Aman Sari Village such as the village road maintenance for 1 Km, free road access for the locals and the commodities distribution and scholarship for the locals annually. There is no land dispute between the company and the locas till ST-2 assessment program. 		<p>The relation between Dolok Ilir business unit of PTPN-IV and the locals has been well maintained. The auditor team has verified it and it has been described on principle 6.</p>

Public Issues (Institution/ NGO/Community)	Management Responses	Auditor Responses
<p>4. The village apparatus have aware of the procedure of the assistance request proposed to the company.</p> <p>Negative Issues:</p> <ol style="list-style-type: none"> 1. Due to the fact that there is no garbage bin for the locals, the locals have proposed the garbage bin or area within the company Land Use Title (HGU). However, it has not yet responded by the company. Hence, the locals dispose the trash on the road edge of Aman Sari Village. 2. The company is expected to water the road during the drought season due to the dust effect. However, the company does not respond it yet. 	<ul style="list-style-type: none"> • According to the letter from Dolok Batu Nanggar No. 430/02/DBN/-2015 dated January 8th in term of the road and landfill permit, the company cannot grant the request based on the Public Work Ministry regulation No. 03 /PRT/M/2013 clause 35 verse 1, 2 point b, c and e. • The company has monitored the road for the dust on the drought season. The company has composed road watering program for the road passed by the FFB truck of Dolok Ilir business unit. 	
<p>Aman Sari Village Community Figure (H. Sukamto)</p> <p>Mr. H. Sukamto is one of the community figure of Aman Village. He is now act as the Head of Village Representative Body. The interview with the Chief of Aman Sari Village.</p> <p>The result of interview are as follow:</p> <p>Positive Issues:</p> <ol style="list-style-type: none"> 1. Good relation between the Aman Sari Village Apparatus with the company is running well. 2. The company was giving assistance for the oldee such as the Cataract operation on 2011. 3. The company always contribute the Islam feasts. <p>Negative Issue:</p> <p>The Aman Sari community has proposed the trench digging program for 600 meter around the Muslims cemetery. It requires IDR 220,000,000. It has been proposed approxiametely 3 weeks</p>	<ul style="list-style-type: none"> • The company implements CSR program by referring the fair distribution on the villages nearby company area due to the number of villages (plenty) nearby the company. 	<p>The relation between Dolok Ilir business unit of PTPN-IV and the locals has been well maintained. The auditor team has verified it and it has been described on principle 6.</p>

Public Issues (Institution/ NGO/Community)	Management Responses	Auditor Responses
ago. However, there is no official response from the company.		
<p>Chief of Dolok Ilir I Village (Chief of Village - Judiman) Dolok Ilir Village is one of the village bordering with PTPN IV - Dolok Ilir business unit (company). The distance between Aman Sari Village and the company is about 2 Km. Dolok Ilir Village is the disintegrated village from Dolok Tenera Village. Interview with the Chief Dolok Ilir Village. The result of the interview are as follow: Positive Issues:</p> <ol style="list-style-type: none"> 1. The company has maintained good relation with the Dolok Ilir Village Apparatus. 2. The company has contributed the development of Dolok Ilir Village such as the distribution of commodities and scholarship annually. <p>Negative Issues:</p> <ol style="list-style-type: none"> 1. The company is expected to water the road during the drought season due to the dust effect. However, the company does not respond it yet. 2. The village apparatus has proposed the rehabilitation of the broken bridge. The proposal has been given to the company on December 2014. However, there is no official response from the company. <p>Aspiration: The village administrative government shall dig 1.3 Km of trench in</p>	<ul style="list-style-type: none"> • All are depended on the budget and cost for the urgent programs first. The company shall concern and repair the urgent facilities as meant by the Chief of DOI I Village. • Based on the proposal from the Chief of Dolok Ilir I Village No. 400/212/2007/DI/2015 dated January 10th 2015 in term of the assistance for the building materials to repair the bridge and road which were eroded by flood. Therefore, PTPN IV, Dolok Ilir business unit assist the building materials such as used knapsack and used lory. 	<p>The relation between Dolok Ilir business unit of PTPN-IV and the locals has been well maintained. The auditor team has verified it and it has been described on principle 6.</p>

Public Issues (Institution/ NGO/Community)	Management Responses	Auditor Responses
Hamlet III immediately. Therefore, the village administrative government expect the company to contribute on the program.		
<p>Chief of Dolok Tenera Village (Chief of Village – Sujianto and the Head of Dolok Tenera Environment - Sudi Amran)</p> <p>Dolok Tenera Village is one of the village bordering with PTPN IV - Dolok Ilir business unit (company). The distance between Aman Sari Village and the company is about 2 Km. Dolok Ilir Village is the disintegrated village from Dolok Tenera Village. Interview with the Chief Dolok Ilir Village.</p> <p>The result of the interview are as follow:</p> <p>Positive Issues:</p> <ol style="list-style-type: none"> 1. The company has maintained good relation with the Dolok Ilir Village Apparatus. 2. The company has contributed on the village development of Dolok Tenera Village. For example, the donation on the place of worship, distribution of commodities, annuall scholarship, donation for orphans and oldee and trench digging. <p>Negative Issues:</p> <ol style="list-style-type: none"> 1. The effluent of Dolok Ilir POM trigerred stinky smell. 2. The absorption on the workforce is less optimum. More than 90% of the villagers are not working on the company. 	<ul style="list-style-type: none"> • The contamination is caused by the natural causes instead of the company operational. It is caused by the rainfall rate which triger the stinky smell. The company has controlled it based on the waste control and management. However, the company shall intensify the control by coordinating with the associated parties to find the way out. • The attempt to hire the locals has been conducted. For example, there were 65 harvesters recruited on 2014. The harvesters were consisted of 	<p>The relation between Dolok Ilir business unit of PTPN-IV and the locals has been well maintained. The auditor team has verified it and it has been described on principle 6.</p>

Public Issues (Institution/ NGO/Community)	Management Responses	Auditor Responses
	several villages nearby Dolok Ilir business unit.	
<p>NGO named “TUMPAS – Tim Upaya Peduli Amanah Sejahtera” (The Vice of Simalungun District Congress – Jumangin Damanik).</p> <p>NGO named “GARI – Gerakan Aliansi Indonesia” (The Vice of Simalungun District Congress – Jumangin Damanik).</p> <p>TUMPAS and GARI are the NGOs on Simalungun District. Interview with the board of both NGOs.</p> <p>Adapun hasil wawancara disajikan sebagai berikut:</p> <p>Positive Issues:</p> <ol style="list-style-type: none"> 1. In general, the relation between the company and the locals is well maintained. 2. There was a land dispute for ± 155 Ha which crossed the region of Serdang Bedagai District (Bah Damar - Afdeling III). However, it has been solved (2013). <p>Negative Issues:</p> <ol style="list-style-type: none"> 1. The company has contributed on the community development for the locals nearby estate. However, not all the proposed donation which are fully realized. 2. The FFB transport is not supported with net. 3. The company is expected to water the road during the drought season due to the dust effect. However, the company does not respond it yet. 	<ul style="list-style-type: none"> • All CSR programs are depended on the budget and cost for the urgent programs first. The company shall concern and repair the urgent facilities. • The company held the assembly with the third parties in term of the FFB transport and EFB residue. According to the assembly, all the FFB transport truck must be equipped with the safety net. 	<p>The relation between Dolok Ilir business unit of PTPN-IV and the locals has been well maintained. The auditor team has verified it and it has been described on principle 6.</p>

Public Issues (Institution/ NGO/Community)	Management Responses	Auditor Responses
	<ul style="list-style-type: none"> The company has monitored the road for the dust on the drought season. The company has composed road watering program for the road passed by the FFB truck of Dolok Ilir business unit. 	
<p>Dolok Batu Nanggar Sub-District (The Head of Dolok Batu Nanggar Sub-District – Zaenah, S.Pd)</p> <p>Dolok Batu Nanggar Sub-District is the sub-district where the Dolok Ilir business unit located. Dolok Ilir Village is one of the village of Dolok Baru Nanggar Sub-District. Dolok Baru Nanggar Sub-District is consisted of 12 villages and 2 villages. Interview with the Head of Dolok Baru Nanggar Sub-District.</p> <p>The result of the interview are as follow:</p> <p>Positive Issues:</p> <ol style="list-style-type: none"> The relation between the sub-district administrative government apparatus and the company is well maintained. The company has concerned the nearby villages. For example, holding the flea market, granting scholarship for the locals, managing the flood. The company was giving assistance for the oldee such as the Cataract operation on 2011, etc. <p>Negative Issue:</p> <p>Due to the fact that there is no garbage bin for the locals, the locals have proposed the garbage bin or area within the company Land Use Title (HGU). However, it has not yet responded by the company. Hence, the locals dispose the trash on the road edge of Aman Sari Village.</p>	<ul style="list-style-type: none"> According to the letter from Dolok Batu Nangga No. 430/02/DBN/-2015 dated January 8th in term of the road and landfill permit, the company cannot grant the request based on the Public Work Ministry regulation No. 03 /PRT/M/2013 clause 35 verse 1, 2 point b, c and e. 	<p>The relation between Dolok Ilir business unit of PTPN-IV and the locals has been well maintained. The auditor team has verified it and it has been described on principle 6.</p>

Public Issues (Institution/ NGO/Community)	Management Responses	Auditor Responses
Contractor (UD. SIO - B. Silalahi) – Goods Distributor UD. SIO is one of the local business which provide the goods or spare part for mill. Interview with the owner of the corporation (Mr. B. Silalahi). The result of the interview are as follow: Positive Issues: 1. There has never been late payment conducted by the company during the agreement. 2. The agreement has been conducted since 2009. The contract value is up to IDR 125,000,000. However, there are 14 typical contractors cooperating with the company.	The company shall maintain the good relation and cooperation with the locals for the project for the third party.	The relation between Dolok Ilir business unit of PTPN-IV and the locals has been well maintained. The auditor team has verified it and it has been described on principle 6.
Contractor (FFB Seller) - UD. Riana. UD. Riana is the local business which provide/sell FFB. Interview with the owner of the corporation (Mr. Narman). corporation (Mr. B. Silalahi). The result of the interview are as follow: Positive Issues: 1. There has never been late payment conducted by the company during the agreement. 2. FFB price: it is informed via SMS. UD Riana supply 100 ton of FFB / week. 3. There is an agreement paper between UD. Riana which inform the job, rights and obligations, etc. The agreement has been agreed by both parties. the agreement is valid for a year.	The company shall maintain the good relation and cooperation with the locals for the project for the third party.	The relation between Dolok Ilir business unit of PTPN-IV and the locals has been well maintained. The auditor team has verified it and it has been described on principle 6.
NGO– AMAN, WWF, Sawit Watch, WALHI No information		


4.0 CERTIFIED ORGANISATION'S ACKNOWLEDGEMENT OF INTERNAL RESPONSIBILITY

4.1 Formal Sign-off of Assessment Findings

Hereunder sign by management representative from inspected company and audit team to acknowledge a field assessment and agree for all content explained in this assessment report, included of nonconformities issues.

Signed on behalf of:

PT PERKEBUNAN NUSANTARA IV (Persero)
Head of Standardization and Certification/
Management Representative



Dhanny Hermawan
21 August 2015

Mutuagung Lestari
Lead Auditor



Octo H.P.N Nainggolan
16 August 2015

Appendix 1. List of Stakeholder Contacted in the RSPO Certification Process

No	Institution/NGO/Community	Address	Phone/Email	Form of Communication	Date of Contact	Response	
						Yes	No
1	National Land Agency of Simalungun District	Jalan Asahan no 39, Pematang Siantar, Simalungun District	0622-755218	Interview	13 February 2015	√	
2	Environmental Agency	Jalan Asahan no 39, Pematang Siantar, Simalungun District	0622-331246	Interview	13 February 2015	√	
3	Plantation Agency	Jalan Asahan no 39, Pematang Siantar, Simalungun District	0622-331061	Interview	13 February 2015	√	
4	Labour and Transmigration Agency	Jalan Asahan no 39, Pematang Siantar, Simalungun District	0622-755212	Interview	13 February 2015	√	
5	Aman Sari Village Head	Simalungun District	-	Interview	13 February 2015	√	
6	Aman Sari community Leader	Simalungun District	-	Interview	13 February 2015	√	
7	Nagori Dolok Ilir Village Head	Simalungun District	-	Interview	13 February 2015	√	
8	Nagori Dolok Tenera Village Head	Simalungun District	-	Interview	13 February 2015	√	
9	NGO Tim Upaya Peduli Amanah Sejahtera	Simalungun District	085296923690	Interview	13 February 2015	√	
10	Dolok Batu Nanggar Sub District Head	Simalungun District	-	Interview	13 February 2015	√	
11	Contractor UD. SIO	Simalungun District	-	Interview	13 February 2015	√	
12	Contractor UD Riana	Simalungun District	-	Interview	13 February 2015	√	
13	Aliansi Masyarakat Adat Nusantara	Indonesia	rumahaman@cbn.net.id	questioner via Email	04 February 2015		√
14	Sawit Watch Indonesia	Indonesia	info@sawitwatch.or.id	questioner via Email	04 February 2015		√
15	Wahana Lingkungan Hidup Indonesia	Indonesia	informasi@walhi.or.id ; info@walhi.or.id	questioner via Email	04 February 2015		√
16	World Wild Found Indonesia	Indonesia	suhandri@wwf.or.id ; wwf-indonesia@wwf.or.id	questioner via Email	04 February 2015		√
17	Harvesters	Dolik Ilir Estate	-	Interview	14 February 2015	√	
18	Spraying workers team	Dolik Ilir Estate	-	Interview	15 February 2015	√	
19	Upkeep supervisor (mandur)	Dolik Ilir Estate	-	Interview	15 February 2015	√	

Appendix 2. Assessment Program

DATE	13 – 17 February 2015	
ACTUAL DURATION	PROCESSES / CLAUSES TO BE AUDITED	AUDITOR
Thursday, 12 February 2015		
15.00 – 18.00	MEDAN → PTPN-IV (DOLOK ILIR)	• ON / ISP / DN / STV
Friday, 13 February 2015		
08.00 - 08.30	OPENING MEETING	• ON / ISP / DN / STV
08.30 - 12.00	• Stakeholders Consultation to Related Government Institution (Asahan District Government and local NGO)	• DN / STV
08.30 - 12.00	• Stakeholders consultation to Nearest village and community leader	• ON / ISP
12.00 - 14.00	BREAK	ALL TEAM
14.00 - 17.00	• Document Observation and Previous Non-conformances Verification (Stage-01)	• ON / ISP / DN / STV
Saturday, 14 February 2015		
08.00 - 12.00	Field Observations DOLOK ILIR estates, Afdeling I	• ON / DN
08.00 - 12.00	Field Observations DOLOK ILIR estates, Afdeling IV • Best Agricultural Practices (Manuring, Spraying, Harvesting, Nursery) • Worker Welfare (payments, complaint mechanism, Safety and Health, Child Labour, etc..) • Hazardous Waste Material (B3) management • Legal operational and Conservation Area • Worker facilities (housing, health clinic, clean water, etc) and • Land Fire facilities, Storage, ect..	• ISP / STV
12.00 - 14.00	BREAK	ALL TEAM
14.00 - 17.00	Document Review & Field Observation Clarification	• ON / ISP / DN / STV
Sunday, 15 February 2015		
08.00 - 17.00	• Checklist completion dan team consolidation	• ON / ISP / DN / STV
Monday, 16 February 2015		
08.00 - 12.00	• Field Observation DOLOK ILIR Mill WWTP (IPAL), Process Operations, OHS (K3), Supply Chain (Rantai Pasok), Hazardous Waste Management (LB3), etc	• ON / STV
08.00 - 12.00	Field Observations DOLOK ILIR estate, Afdeling VIII • Best Agricultural Practices (Manuring, Spraying, Harvesting, Nursery) • Worker Welfare (payments, complaint mechanism, Safety and Health, Child Labour, etc..) • Hazardous Waste Material (B3) management • Legal operational and Conservation Area • Worker facilities (housing, health clinic, clean water, etc) and • Land Fire facilities, Storage, ect..	• ISP / DN
12.00 - 14.00	BREAK	ALL TEAM
14.00 - 17.00	Previous Non-conformances Verification and Field Observation Clarification	• ON / ISP / DN / STV

DATE	13 – 17 February 2015	
ACTUAL DURATION	PROCESSES / CLAUSES TO BE AUDITED	AUDITOR
Tuesday, 17 February 2015		
08.00 - 10.00	• Audit Finding Conclusion Preparation	• ON / ISP / DN / STV
10.00 - 12.00	• CLOSING MEETING	• ON / ISP / DN / STV
13.00 – 21.00	• PABATU → MEDAN → JAKARTA	• ON / ISP / DN / STV