

**RSP0 GROUP CERTIFICATION
4th ANNUAL SURVEILLANCE ASSESSMENT (ASA 4)
Public Summary Report**

Asosiasi Petani Sawit Swadaya Amanah
Client Company Address: Trimulya Jaya Village, Ukui District, Pelalawan Regency, Riau Province, Indonesia
Certification Unit: Asosiasi Petani Sawit Swadaya Amanah Location of Certification Unit: Trimulya Jaya Village, Air Mas Village and Bukit Jaya Village Ukui District, Pelalawan Regency, Riau Province, Indonesia

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Section 1: Scope of the Certification Assessment

1. Company Details			
RSPO Membership Number	1-0133-12-000-00	Date	5 th October 2012
Company Name	Asosiasi Petani Sawit Swadaya Amanah		
Address	Trimulya Jaya Village, Ukui District, Pelalawan Regency, Riau Province, Indonesia		
Subsidiary of (if applicable)	N.A		
Contact Name	H.Sunarno		
Website	-	E-mail	hnarno@gmail.com
Telephone	+62 813 7165 6847	Facsimile	-

2. Certification Information			
Certificate Number	RSPO 594864	Date	29 th July 2013
Scope of Certification	Production of RSPO certified FFB		

3. Location(s) of Mill & Supply Bases			
Group	Location [Map Reference #]	GPS	
		Easting	Northing
Asosiasi Petani Sawit Swadaya Amanah (501 smallholders)	Trimulya Jaya Village, Air Mas Village and Bukit Jaya Village, Ukui District, Pelalawan Regency, Riau Province – Indonesia	102 ^o 06' 09.46" E	0 ^o 09' 36.85" N

4. Description of Supply Base							
Group	Mature (ha)	Immature (ha)	Total Planted (ha)	HCV (ha)	Infrastructure & Other (ha)	Total Hectarage	% of Planted
Asosiasi Petani Sawit Swadaya Amanah (501 smallholders)	1,048.07	0.00	1,048.07	0.00	0.00	1,048.07	100%

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5. Plantings & Cycle								
Group	Age (Years)					Tonnage / Year		
	0 – 3	4 – 10	11 - 20	21 - 25	26 - 30	Estimated (Previous Year)	Actual (This Year)	Forecast (Next Year)
Asosiasi Petani Sawit Swadaya Amanah (501 smallholders)	0.00	0.00	1,048.07	0.00	0.00	25,201.93	24,974.80	25,299.04

6. Certified Tonnage															
Group	Estimated (Previous Year)					Actual (This Year)					Forecast (Next Year)				
	FFB	CPO	PK	PKO	PKE	FFB	CPO*	PK*	PKO	PKE	FFB	CPO	PK	PKO	PKE
Asosiasi Petani Sawit Swadaya Amanah (501 smallholders)	25,201.93	4,972.00	1,118.00	444.00	545.00	24,974.04	4,925.03	1,106.34	497.85	608.48	25,299.04	5,019.51	1,384.02	622.80	761.21
Extraction Rate %	-	19.72%	4.43%	40%	49%	-	19.72%	4.43%	45%	55%	-	19.84%	5.51%	45%	55%

*Conversion factor from Ukui I Palm Oil Mill

Section 2: Assessment Process

Certification Body:

BSI Services Malaysia Sdn Bhd,
 (ASI Accreditation Number: RSPO-ACC-19)
 Unit 3, Level 10, Tower A
 The Vertical Business Suites, Bangsar South
 No. 8, Jalan Kerinchi
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BSI is a leading global provider of management systems assessment and certification, with more than 60,000 certified locations and clients in over 100 countries. BSI Standards is the UK's National Standards Body. BSI provides independent, third-party certification of management systems. BSI is ASI Accredited (RSPO-ACC-19) to conduct RSPO assessment since 31/10/2014 with accredited office located at Kuala Lumpur, Malaysia and an office at Singapore, Jakarta, Bangkok and Australia which involve in RSPO Certification Program.

Assessment Methodology, Programme, Site Visits

The central office audit for group manager elements and on-site surveillance assessment was conducted on 8 – 12 May 2017 respectively. The audit programme is included as Appendix D. The approach to the audit was to treat the group manager and its smallholders as an RSPO Certification Unit. Group manager was audited together with the sample estates. This audit is annual surveillance audit 4 (ASA4). A range of environmental and social factors were covered. This includes consideration of topography, palm age, proximity to areas with HCVs, declared conservation areas and local communities.

The assessment was conducted based on sample regulated under RSPO Management System Requirements and Guidance for Group Certification of FFB Production (2016). Under the requirement, size of samples was based on the formula $(0.8\sqrt{y}) \times (z)$; where y is total number of independent group member and where z is the multiplier defined by the risk assessment. For the purpose of sampling audit, risk assessment of the group member and group manager was carried out prior to the certification assessment through the documentation. Out of in total **501** smallholders, sampling formula as below:

Category	Samplings	Remark
CERTIFIED Smallholders ($0.8\sqrt{501} \times \text{RF } 1.2$)	22	Risk Factor 1.2; These members are existing certified members. There is no replanting and or expansion but the Group manager has a history of non-conformities.
Total	22	

The methodology for collection of objective evidence included physical site inspections, observation of tasks and processes, interviews of staff, workers and their families and external stakeholders, review of documentation and monitoring data. RSPO Management System Requirements and Guidance for Group Certification of FFB Production (2016), Appendix 3 were used as checklists and questionnaires were used to guide the collection of information to assess compliance. The comments made by external stakeholders were also taken into account in the assessment.

Meetings were held with stakeholders to seek their views on the performance of the company with respect to the RSPO requirements and aspects where they considered that improvements could be made. At the start of each

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meeting, the interviewer explained the purpose of the audit followed by an evaluation of the relationship between the stakeholder and the company before discussions proceeded. The interviewer recorded comments made by stakeholders and these have been incorporated into the assessment findings.

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

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

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

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

The following table would be used to identify the number of new and certified smallholders to be audited each year in the 5 year cycle

Assessment Program					
No. of Smallholders	Year 1 (Stage 2)	Year 2 (ASA 1)	Year 3 (ASA 2)	Year 4 (ASA 3)	Year 5 (ASA 4)
CERTIFIED Smallholders	349	349	349	501	501
NEW Smallholders	-	-	152	-	-
Total Certified Smallholders	349	349	501	501	501

Kindly refer to Appendix F for details smallholders list

Tentative Date of Next Visit*: May 1, 2018

Total No. of Mandays: 15 mandays

BSI Assessment Team:

Pratama Agung Sedayu – Lead Auditor

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

Aswan Hasibuan – Team Member

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

Mujinius Jalaraya - Team Member

Bachelor degree from Faculty of Forestry, Bogor Agricultural University (IPB) in 2008, Majoring in Forest Resources Conservation. He has a working experience in palm oil plantations as SHE Assistant at PT. Astra Agro Lestari Tbk in 2008 – 2012, as Supervisor Sustainability at Teladan Prima Group in 2012 – 2014 and as Auditor at SAI Global in April 2014 – August 2016. He joined at PT BSI Group Indonesia since September 2016 as Auditor ISO, ISPO and RSPO. Various training has followed, such as: OHS Expert/Ahli K3 Umum Training (2010), Training for Trainers (2013), HCV Assessor Training (2013), Lead Auditor ISO 9001: 2008 Training (2014), Lead Auditor ISPO Training (2014), Lead Auditor RSPO Training (2014), Lead Auditor RSPO SCCS Training (2015), Lead Auditor ISO 14001:2004 Training (2015), etc. He has much experience in implementation of quality management system, environmental and OHS management system, ISPO and RSPO in the company and much involved in audit of the system. During work at SAI Global and PT. BSI Group Indonesia he has had experience for audit ISO 9001: 2008 in various industries and services company, audit RSPO and ISPO in palm oil mill and plantation companies.

Accompanying Persons: Nil

Section 3: Assessment Findings

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

RSPO Group Certification Standard 2010 Checklist- **Appendix A:** Summary report of the Assessment.

3.2 Progress against Time Bound Plan

Not applicable as this is group certification for independent smallholder.

3.3 Details of findings

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

During the Certification Assessment there were six (6) Major & six (6) Minor nonconformities raised. The Asosiasi Petani Sawit Swadaya Amanah Certification unit submitted Corrective Action Plans for the nonconformity. Corrective action plans with respect to the nonconformity was reviewed by the BSI audit team and subject to be accepted. The implementation of the corrective action plans to address the minor nonconformity will be followed up during the next re-certification assessment.

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1474447-201705-M1	<p>Requirements RSPO Management System Requirements and Guidance for Group Certification of FFB Production Indicator 1.2.1. Publicly available documents shall include, but are not necessary limited to: Land titles/user rights (Criterion 2.2);</p> <ul style="list-style-type: none"> • Occupational health and safety plans (Criterion 4.7); • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); • HCV documentation (Criteria 5.2 and 7.3); • Pollution prevention and reduction plans (Criterion 5.6); • Details of complaints and grievances (Criterion 6.3); • Negotiation procedures (Criterion 6.4); • Continual improvement plans (Criterion 8.1); • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13). <p>- Major compliance –</p> <p>For Individual members: Demonstrate an understanding that all requests for publicly available information must be referred to the Group Manager.</p> <p>Evidence of Nonconformity Individual member No.171, 477, 253, 243 of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate an understanding that all requests for publicly available information must be referred to the Group Manager.</p>	Major

	<p><i>Petani anggota Asosiasi Petani Sawit Swadaya Amanah No.171, 477, 253, 243 tidak dapat mendemonstrasikan pemahaman dasar bahwa semua permintaan terkait informasi yang tersedia untuk umum/publik harus diarahkan kepada Group Manager.</i></p> <p>Statement of Nonconformity Individual member cannot demonstrate an understanding that all requests for publicly available information must be referred to the Group Manager.</p> <p><i>Petani anggota tidak dapat mendemonstrasikan pemahaman dasar bahwa semua permintaan terkait informasi yang tersedia untuk umum/publik harus diarahkan kepada Group Manager.</i></p> <p>Corrective Action Asosiasi Petani Sawit Swadaya Amanah conduct dissemination to the ICS and followed up with dissemination to individual farmers, in several phases. Group manager conducted dissemination to individual farmers on 17 June 2017. Attendance list recorded 30 individual members and ICS members. The information and content recorded in a note book, provided by group manager to individual farmers.</p> <p>ICS has conducted internal inspection to verify basic understanding that all information request related to publicly available information has to be directed to group manager. Internal inspection has been carried out between 18 – 19 June 2017; to verify the individual farmers understanding on how to handles information request for publicly available information. The internal inspection result by ICS team shows the basic understanding has been improved. Individual farmers were able to explains all information request related to publicly available information has to be directed to group manager.</p> <p>Status Audit team has reviewed the record of dissemination to individual farmers dated 17 June 2017. Audit team also reviewed record provided for individual members, in form of note book. Audit team has reviewed the internal inspection record for individual farmer sampled, No.054, 171,243, 253, 256, 358 and 477 as well as the internal inspection conclusion. Audit team has conducted interview with sampled farmers No.054, 253, 256, 358, 477; and additional verification to farmer No.149, 386 dan 460. The interview concluded that ndividual farmers were able to explains all information request related to publicly available information has to be directed to group manager. Individual smallholders can also mentioned type of publicly available information.</p> <p>NC closed on 11 July 2017.</p>	
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Non-Conformity		
NCR #	Description	Category (Major / Minor)
1474447-201705-M2	<p>Requirements RSPO Management System Requirements and Guidance for Group Certification of FFB Production Indicator 4.6.1. Justification of all pesticides used shall be demonstrated. The use of selective products that are specific to the target pest, weed or disease and which have minimal effect on non-target species shall be used where available. - Major Compliance -</p>	Major

	<p>Guidance: Individual members shall be able to demonstrate knowledge of pest & applicable chemical use.</p>	
	<p>Evidence of Nonconformity Individual members of Asosiasi Petani Sawit Swadaya Amanah No.171, 358 cannot demonstrate knowledge of pest and weed as target species and the applicable chemical use.</p>	
	<p>Statement of Nonconformity Individual members of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate knowledge of pest and weed as target species and the applicable chemical use.</p>	
	<p>Corrective Action Asosiasi Petani Sawit Swadaya Amanah planned to conduct dissemination to the ICS and followed up with dissemination to individual farmers, related to group manager policy on pest and disease management and weed control. Group manager Asosiasi Petani Sawit Swadaya Amanah has provided note book to individual farmers records the pest and disease management and weed control. The dissemination related to group manager’s policy on pest and disease management, and weed control carried out on 17 June 2017. Attendance list recorded.</p> <p>ICS has conducted internal inspection to verify basic understanding on pest and disease management, as well as weed control. Internal inspection has been carried out between 18 – 19 June 2017. The internal inspection result by ICS team shows the basic individual farmer’s understanding has been improved. Individual farmers were able to explains the pest and disease management, as well as weed control.</p>	
	<p>Status Audit team has reviewed the record of dissemination to individual farmers dated 17 June 2017. Audit team also reviewed dissemination record provided for individual members, in form of note book. Audit team has reviewed the internal inspection record for individual farmer sampled, No.171 and 358, as well as the internal inspection conclusion. Audit team has conducted interview with sampled farmers No.358 and 477; and additional verification to farmer No.149 and 460. The interview concluded that individual farmers were able to explains agrochemical regime used by spraying team, the use of selective chemical and non-blanket spraying policy.</p> <p>NC closed on 11 July 2017.</p>	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1474447-201705-M3	<p>Requirements RSPO Management System Requirements and Guidance for Group Certification of FFB Production Indicator 5.1.1 An environmental impact assessment (EIA) shall be documented. - Major Compliance -</p> <p>Guidance: Individual members shall demonstrate an understanding of the environmental risks of their operations.</p>	Major

	<p>Evidence of Nonconformity Group Manager Asosiasi Petani Sawut Swadaya Amanah has a documented environmental impact assessment; individual members has obtained environmental permit, as in "Surat Pernyataan Pengelolaan Lingkungan". However, it was found that Individual member No.171, 054, 253, 256 cannot demonstrate basic understanding on environmental impact from their operation.</p>	
	<p>Statement of Nonconformity Individual members in Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate the basic understanding of the environmental risks of their operations.</p>	
	<p>Corrective Action Asosiasi Petani Sawit Swadaya Amanah conduct dissemination to the ICS and followed up with dissemination to individual farmers, in several phases. Group manager conducted dissemination to individual farmers on 17 June 2017. Attendance list recorded 30 individual members and ICS members. The information provided related to identification of environmental impact from oil palm cultivation. A simple explanation on type of environmental impact; current control and management plan recorded in a note book, provided by group manager to individual farmers.</p> <p>ICS has conducted internal inspection to verify basic understanding related to identification of environmental impact. Internal inspection has been carried out between 18 – 19 June 2017; to verify the individual farmers understanding on environmental impact from their oil palm plantation activities. The internal inspection result by ICS team shows the basic understanding has been improved.</p>	
	<p>Status Audit team has reviewed the record of dissemination to individual farmers dated 17 June 2017. Audit team also reviewed record provided for individual members, in form of note book. Audit team has reviewed the internal inspection record for individual farmer sampled, No.054, 171, 243, 253 and 256 as well as the internal inspection conclusion. Audit team has conducted interview with sampled farmers No.054, 253, 256, 358, 477; and additional verification to farmer No.149, 386 dan 460. The interview concluded that individual farmers were able to explains typical environmental impacts from oil palm plantation; the current control and simple management plan. NC closed on 11 July 2017.</p>	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1474447-201705-M4	<p>Requirements RSP0 Management System Requirements and Guidance for Group Certification of FFB Production Indicator 6.1.1 A social impact assessment (SIA) including records of meetings shall be documented. - Major Compliance -</p> <p>Guidance: Individual members shall demonstrate an understanding of the social risks of their operations.</p>	Major

	<p>Evidence of Nonconformity Group Manager Asosiasi Petani Sawit Swadaya Amanah has a documented social impact assessment; individual members has obtained social-environmental permit, as in "Surat Pernyataan Pengelolaan Lingkungan". However, it was found that most of the individual members cannot demonstrate basic understanding on social impacts from their operation. Individual member No.171, 253, 243, 256.</p>	
	<p>Statement of Nonconformity Individual members in Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate the basic understanding of the social impact of their operations.</p>	
	<p>Corrective Action Asosiasi Petani Sawit Swadaya Amanah conduct dissemination to the ICS and followed up with dissemination to individual farmers, in several phases. Group manager conducted dissemination to individual farmers on 17 June 2017. Attendance list recorded 30 individual members and ICS members. The information provided related to how-to-explains social impacts from oil palm cultivation. A simple explanation on social impact identification; current control and management plan recorded in a note book, provided by group manager to individual farmers.</p> <p>In order to ensure individual farmer can explain the matter clearly; ICS has conducted internal inspection to verify basic understanding related to identification of social impact. Internal inspection has been carried out between 18 – 19 June 2017. The internal inspection result by ICS team shows the basic understanding has been improved.</p>	
	<p>Status Audit team has reviewed the record of dissemination to individual farmers dated 17 June 2017. Audit team also reviewed record provided for individual members, in form of note book. Audit team has reviewed the internal inspection record for individual farmer sampled, No.171, 243, 253 and 256 as well as the internal inspection conclusion. Audit team has conducted interview with sampled farmers No.054, 243, 253, and 256; and additional verification to farmer No.149, 386 dan 460. The interview concluded that individual farmers were able to explains social impacts identified from oil palm plantation; the current control and simple management plan. NC closed on 11 July 2017.</p>	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1474447-201705-M5	<p>Requirements RSPO Management System Requirements and Guidance for Group Certification of FFB Production Indicator 6.2.1 Consultation and communication procedures shall be documented. - Major Compliance -</p> <p>Guidance: The individual member shall demonstrate understanding of the group’s consultation and communication procedures.</p>	Major

	<p>Evidence of Nonconformity Individual members of Asosiasi Petani Sawit Swadaya Amanah No.171, 358, 253, 243, 256 cannot demonstrate understanding of the group's consultation and communication procedures.</p>	
	<p>Statement of Nonconformity Individual members of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate understanding of the group's consultation and communication procedures.</p>	
	<p>Corrective Action Asosiasi Petani Sawit Swadaya Amanah conduct dissemination of group's consultation and communication procedures to the ICS and followed up with dissemination to individual farmers, in several phases. Group manager conducted dissemination to individual farmers on 17 June 2017. Attendance list recorded 30 individual members and ICS members. A simple explanation on group's consultation and communication procedures recorded in a note book, provided by group manager to individual farmers. In order to ensure individual farmer can explain consultation and communication procedure clearly; ICS has conducted internal inspection between 18 – 19 June 2017. The internal inspection result by ICS team shows the basic understanding and ability to provide explanation has been improved.</p>	
	<p>Status Audit team has reviewed the record of dissemination of group's consultation and communication procedures to individual farmers dated 17 June 2017. Audit team also reviewed record provided for individual members, in form of note book. Audit team has reviewed the internal inspection record for individual farmer sampled, No.171, 243, 253 and 358 as well as the internal inspection conclusion. Audit team has conducted interview with sampled farmers No.054, 243, 253 and 358; and additional verification to farmer No.149, 386 dan 460. The interview concluded that individual farmers were able to explains group manager's consultation and communication procedures. NC closed on 11 July 2017.</p>	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1474447-201705-M6	<p>Requirements RSPO Management System Requirements and Guidance for Group Certification of FFB Production Indicator 6.3.1 The system, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistle-blowers', where requested. - Major Compliance -</p> <p>Guidance: The Group Manager shall have a documented grievance mechanism in place. The procedure shall provide documentation of both how the process of the dispute was resolved and the outcome. The Group Manager shall ensure members are familiar with the grievance procedure.</p>	Major

	<p>Evidence of Nonconformity Individual members of Asosiasi Petani Sawit Swadaya Amanah No.171, 358, 253, 243, 256 cannot demonstrate understanding of the group’s complaint and grievances resolution procedures.</p>	
	<p>Statement of Nonconformity Individual members of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate understanding of the group’s complaint and grievances resolution procedures.</p>	
	<p>Corrective Action Asosiasi Petani Sawit Swadaya Amanah conduct dissemination of group’s grievance and complaint resolution procedures to the ICS and followed up with dissemination to individual farmers, in several phases. Group manager conducted dissemination to individual farmers on 17 June 2017. Attendance list recorded 30 individual members and ICS members. A simple explanation on group’s grievance and complaint resolution procedures recorded in a note book, provided by group manager to individual farmers. In order to ensure individual farmer can explain group’s grievance and complaint resolution procedures clearly; ICS has conducted internal inspection between 18 – 19 June 2017. The internal inspection result by ICS team shows the basic understanding and ability to provide explanation has been improved.</p>	
	<p>Status Audit team has reviewed the record of dissemination of group’s grievance and complaint resolution procedures to individual farmers dated 17 June 2017. Audit team also reviewed record provided for individual members, in form of note book. Audit team has reviewed the internal inspection record for individual farmer sampled, No.171, 253, 256 and 358 as well as the internal inspection conclusion. Audit team has conducted interview with sampled farmers No.054, 253, 256 and 358; and additional verification to farmer No.149, 386 dan 460. The interview concluded that individual farmers were able to explains group manager’s grievance and complaint resolution procedures. NC closed on 11 July 2017.</p>	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1474447-201705-N1	<p>Requirements RSPO Management System Requirements and Guidance for Group Certification of FFB Production E1.1.1 There shall be documentary evidence of a clearly identified and legal entity The Group Entity shall: Be a registered organisation as defined by law in the country of registration (e.g. as a company or an organisation).</p> <p>Evidence of Nonconformity Group Manager Asosiasi Petani Sawit Swadaya Amanah is a registered organization, completed with deed of establishment. However, Asosiasi Petani Sawit Swadaya Amanah has not been registered as legal entity as defined by the law in the country of registration.</p> <p>Statement of Nonconformity Group Manager Asosiasi Petani Sawit Swadaya Amanah is a registered organization,</p>	Minor

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	<p>completed with deed of establishment. However, Asosiasi Petani Sawit Swadaya Amanah has not been registered as legal entity as defined by the law in the country of registration.</p>	
	<p>Corrective Action Root cause: New requirements related to legal entity has not been identified by Group Manager. Correction: Register Asosiasi Petani Sawit Swadaya Amanah as legal entity, target date March 2018. Corrective Action: Group manager to study the new requirements under RSPO Management System Requirements and Guidance for Group Certification of FFB Production, March 2016.</p>	
	<p>Status Asosiasi Petani Sawit Swadaya Amanah has identified the root cause, prepare the correction and corrective action plan. Implementation of correction and corrective action, as well as effectiveness review will be verified in subsequent assessment visit. The Minor NC is open.</p>	

Non-Conformity		
NCR #	Description	Category (Major / Minor)
<p>1474447-201705-N2</p>	<p>Requirements RSPO Management System Requirements and Guidance for Group Certification of FFB Production E1.1.2 The Group Entity shall have documented membership requirements for the participation of individual members in the Group which will also cover new membership. - There shall be documentary evidence that the Group members have formally joined the Group.</p> <p>Evidence of Nonconformity It was found the membership agreement as in "Surat Kontrak" in Asosiasi Petani Sawit Swadaya Amanah as membership agreement, "Surat Kontrak" for some group member was expired since 31st December 2015 - as laid out in contract.</p> <p>Statement of Nonconformity It was found the membership agreement as in "Surat Kontrak" in Asosiasi Petani Sawit Swadaya Amanah as membership agreement, "Surat Kontrak" for some group member was expired since 31st December 2015 - as laid out in contract.</p> <p>Corrective Action Root cause: The contract was restricted to a certain period, whereby the validity should indicates indefinite time period, as long as smallholder comply to Group Manager Rules and RSPO P&C. Correction: To revise the outdated contracts. Corrective action: To review and revise the contract between smallholder and Asosiasi Petani Sawit Swadaya Amanah (as group manager) and re-issue a new contractual agreement started 1st January 2016.</p> <p>Status Asosiasi Petani Sawit Swadaya Amanah has identified the root cause, prepare the correction and corrective action plan. Implementation of correction and corrective action, as well as effectiveness review will be verified in subsequent assessment visit. The Minor NC is open.</p>	<p>Minor</p>

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Non-Conformity		
NCR #	Description	Category (Major / Minor)
1474447-201705-N3	<p>Requirements RSPO Management System Requirements and Guidance for Group Certification of FFB Production Indicator 1.1.1 There shall be evidence that growers and millers provide adequate information on (environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making. - Minor compliance –</p> <p>Guidance: Individual member: Demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.</p> <p>Evidence of Nonconformity Individual member No.171, 477, 253, 243 of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.</p> <p>Statement of Nonconformity Individual member cannot demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.</p> <p>Corrective Action Root cause: Asosiasi Petani Sawit Swadaya Amanah (as group manager) only communicating information to farmer group/kelompok tani. Correction: Socialization and dissemination to ICS member, to be followed up by smallholder members. Target date March 2018. Corrective action: Group manager to monitor the dissemination related to response upon information request. Group manager to study the new requirements under RSPO Management System Requirements and Guidance for Group Certification of FFB Production, March 2016.</p> <p>Status Asosiasi Petani Sawit Swadaya Amanah has identified the root cause, prepare the correction and corrective action plan. Implementation of correction and corrective action, as well as effectiveness review will be verified in subsequent assessment visit. The Minor NC is open.</p>	Minor

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1474447-201705-N4	<p>Requirements RSPO Management System Requirements and Guidance for Group Certification of FFB Production Indicator 1.3.1 There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions, which shall be documented and communicated to all levels of the workforce and operations.</p>	Minor

	<p>-Minor compliance-</p> <p>Guidance: Applicable to all groups regardless of size. Group Managers should be able to show that:</p> <ul style="list-style-type: none"> • The policy should be set within the framework of the UN Convention Against Corruption, in particular Article 12. • They have obtained a copy of this framework and read it. <p>- Group members must acknowledge that they understand and comply with the Policy.</p> <p>...</p> <p>Evidence of Nonconformity Group Manager cannot demonstrate the policy committing to a code of ethical conduct and integrity in all operations and transactions has been set within the framework of the UN Convention Against Corruption, in particular Article 12; Furthermore, individual members of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate that they have accepted and agreed the group’s policy on ethical conduct. Individual member No.171, 358, cannot demonstrate understanding what ethical conduct is and the group policy.</p> <p>Group Manager Asosiasi Petani Sawit Swadaya Amanah tidak dapat mendemonstrasikan bahwa kebijakan untuk menjunjung tinggi kode etik perilaku dan integritas di dalam semua kegiatan dan transaksi telah ditetapkan dalam kerangka "UN Convention Against Corruption, Article 12" - tidak terdapat salinan dokumen tersebut dan belum pernah dibaca. Lebih jauh, petani anggota Asosiasi Petani Sawit Swadaya Amanah tidak dapat mendemonstrasikan bahwa mereka telah menerima dan menyetujui kebijakan untuk menjunjung tinggi kode etik perilaku dan integritas di dalam semua kegiatan dan transaksi, yang disusun Group Manager. Petani anggota No.171 dan 358 tidak dapat mendemonstrasikan apa yang dimaksud kode etik perilaku dan integritas di dalam semua kegiatan dan transaksi yang ditetapkan dan kebijakan yang ditetapkan Group Manager.</p> <p>Statement of Nonconformity Group Manager cannot demonstrate the policy committing to a code of ethical conduct and integrity in all operations and transactions has been set within the framework of the UN Convention Against Corruption, in particular Article 12; Furthermore, individual members of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate that they have accepted and agreed the group’s policy on ethical conduct. Individual member No.171, 358, cannot demonstrate understanding what ethical conduct is and the group policy.</p> <p>Corrective Action Root cause: Code of ethical conduct is a relatively new term for smallholder member. Smallholder member already practicing in form of legally comply, avoid bribery, avoid corruption, prohibit fraud, etc. – however smallholder member cannot explain. Correction: Group Manager to revise policy and include simplified term for Code of Ethical Conduct. Socialization and dissemination to ICS member, to be followed up by smallholder members. Target date March 2018. Corrective action: Group manager to monitor the dissemination related to implementation of Code of Ethical Conduct Policy. Group manager to study the new requirements under RSPO Management System Requirements and Guidance for Group Certification of FFB Production, March 2016.</p>	
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	<p>Status Asosiasi Petani Sawit Swadaya Amanah has identified the root cause, prepare the correction and corrective action plan. Implementation of correction and corrective action, as well as effectiveness review will be verified in subsequent assessment visit. The Minor NC is open.</p>	
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Non-Conformity		
NCR #	Description	Category (Major / Minor)
1474447-201705-N5	<p>Requirements RSPO Management System Requirements and Guidance for Group Certification of FFB Production Indicator 4.2.2 Records of fertiliser inputs shall be maintained. - Minor compliance -</p> <p>Guidance: Responsibility of individual members to maintain fertilizer records.</p> <p>Evidence of Nonconformity Individual members of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate the maintenance of fertilizer record.</p> <p>Statement of Nonconformity Individual members of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate the maintenance of fertilizer record.</p> <p>Corrective Action Root cause: The fertilizer application record was kept by farmer group/kelompok tani. Group manager did not understand new requirement under RSPO Management System Requirements and Guidance for Group Certification of FFB Production, March 2016. Correction: Group Manager to introduce the use of smallholder daily record book. Fertilizer application record will be put inside smallholder daily record book. Target date March 2018. Corrective action: Group manager to monitor the implementation and consistency for use of smallholder daily record book to record fertilizer application. Group manager to study the new requirements under RSPO Management System Requirements and Guidance for Group Certification of FFB Production, March 2016.</p> <p>Status Asosiasi Petani Sawit Swadaya Amanah has identified the root cause, prepare the correction and corrective action plan. Implementation of correction and corrective action, as well as effectiveness review will be verified in subsequent assessment visit. The Minor NC is open.</p>	Minor

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

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1474447-201705-N6	<p>Requirements RSPO Management System Requirements and Guidance for Group Certification of FFB Production Indicator 4.6.10 Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated (see Criterion 5.3). - Minor Compliance -</p>	Minor
	<p>Evidence of Nonconformity Individual members of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate SOP related to management of agrochemicals disposal has been explained and understood. Individual member No.166, 202, 216, 358 cannot explain the Group Procedure on the management of empty chemical container disposal. Individual member No.171 stated the management for empty chemical container was to be burned down or buried.</p>	
	<p>Statement of Nonconformity Individual members of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate SOP related to management of agrochemical disposal has been explained and understood.</p>	
	<p>Corrective Action Root cause: Asosiasi Petani Sawit Swadaya Amanah (as group manager) only communicating information related to management of agrochemical disposal to farmer group/kelompok tani. Correction: Socialization and dissemination to ICS member, to be followed up by smallholder members. Target date March 2018. Corrective action: Group manager to monitor the dissemination related to management of agrochemical disposal. Group manager to study the new requirements under RSPO Management System Requirements and Guidance for Group Certification of FFB Production, March 2016.</p>	
	<p>Status Asosiasi Petani Sawit Swadaya Amanah has identified the root cause, prepare the correction and corrective action plan. Implementation of correction and corrective action, as well as effectiveness review will be verified in subsequent assessment visit. The Minor NC is open.</p>	

Observation	
OBS #	Description
1	<p>RSPO Management System Requirements and Guidance for Group Certification of FFB Production E1.2.3 Group manager needs to update ICS knowledge on RSPO Management System Requirements and Guidance for Group Certification of FFB Production – March 2016.</p>
2	<p>RSPO Management System Requirements and Guidance for Group Certification of FFB Production Indicator 4.1.1 Group manager Asosiasi Petani Sawit Swadaya Amanah has a set of SOP for oil palm plantation best management practice, group manager has communicated the SOP on many occasions - records of training are maintained. Based on interview with sampled individual members, they have minimum understanding on SOP related to fertilizer application, weed management and agrochemical management.</p>
3	<p>RSPO Management System Requirements and Guidance for Group Certification of FFB Production Indicator 4.5.2 Group manager Asosiasi Petani Sawit Swadaya Amanah has a set of SOP for oil palm plantation best</p>

	management practice including Integrated Pest Management. The group manager has communicated the SOP on several occasions - records of training are maintained. Based on interview with sampled individual members, they have minimum understanding on SOP related to and admitted they have never attended training on Integrated Pest Management.
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Positive Findings	
PF #	Description
1	Stakeholders have positive feedback on the certification unit's contribution to local development.
2	Relationship between the field assistant and smallholder are well maintained.
3	Commitment of the group management team towards the RSPO implementation is good.

Issues raised by Stakeholders
<p>Stakeholder consultation involved internal and external stakeholders. External stakeholders were contacted by telephone to arrange meetings at a location convenient to them to discuss Asosiasi Petani Sawit Swadaya Amanah Certification Unit's environmental and social performance, legal and any known dispute issues.</p> <p>Meetings were conducted with stakeholders to seek their views on the performance of the company with respect to the RSPO requirements and aspects where they considered that improvements could be made. At the start of each meeting, the interviewer explained the purpose of the audit followed by an evaluation of the relationship between the stakeholder and the company before discussions proceeded. The interviewer recorded comments made by stakeholders and later was verified with the management team. These have been incorporated into the assessment findings.</p> <p>Structured worker interviews with male and female workers and staff were held in private at the workplace in the estates. Fieldworkers were interviewed informally in small groups in the field. Separate visits were made to the local communities to meet with the village head and residents whose not part of group members. Group management officials were not present at any of the internal or external stakeholder interviews. A list of Stakeholders contacted is included as Appendix E.</p>

IS #	Description
1	<p>Issues:</p> <p>WWF</p> <ul style="list-style-type: none"> - The environmental management is good. - Understanding and management of HCV, as well as RTE species is good. - Group manager needs to improve the ICS roles, in order to individual smallholder to have better information on issues related to RSPO implementation.
	<p>Management Responses:</p> <ul style="list-style-type: none"> - Group manager has a plan to get cooperation with external body for capacity building of ICS. - Group manager planned to create simple article, presenting RSPO implementation in simple and understandable language for individual smallholders.
	<p>Audit Team Findings:</p> <p>Audit team highlighted the issue on ICS and raised observation on the matter. Audit team will review the progress during subsequent assessment visit.</p>
2	<p>Issues:</p> <p>SNV</p> <ul style="list-style-type: none"> - The environmental management is good. - Understanding and management of HCV, as well as RTE species is good.

	<ul style="list-style-type: none"> - Group manager needs to consider the preparedness in handling conflict with RTE species such as wild elephant attack from Taman Nasional Tesso Nilo (national park). <p>Management Responses:</p> <ul style="list-style-type: none"> - Group manager has a protocol for preparedness in handling conflict with RTE species. This document was prepared with assistance from WWF; - Distance between group’s plantation with Taman Nasional Tesso Nilo (national park) was 20km, whereby 2 villages situated in between; - Group manager has also coordinates with national park authorities. Group manager can call the national park authorities’ number in case of emergency; <p>Audit Team Findings:</p> <p>Audit team accepted the response from group manager.</p>
<p>3</p>	<p>Issues:</p> <p>Dinas Perkebunan Kabupaten Pelalawan</p> <ul style="list-style-type: none"> - A number of farmer plots have been sold/transferred to another owner; however the administrative documentation has yet to be completed. A notification from village should sufficient. - A number of farmer plots have been inherited to the next of kin, however the transfer documentation is lacking. <p>Management Responses:</p> <p>Group manager found that a number of smallholder facing problems:</p> <ul style="list-style-type: none"> - Cost on altering administrative documentation is high. Group manager has followed up with village authorities. - Individual smallholders needs information from relevant authorities to have better understanding on use right and land ownership right. <p>Group manager has work in progress to track down any transfer to the next of kin. Transfer documentation to next of kin is work in progress.</p> <p>Audit Team Findings:</p> <p>Audit team has review the stakeholder input. Audit team found that the documentation for smallholders sampled are sufficient, including the transfer documentation. Audit team will review the progress during subsequent assessment visit.</p>
<p>4</p>	<p>Issues:</p> <p>Badan Lingkungan Hidup Kabupaten Pelalawan/Badan Pelayanan Perijinan Satu Pintu Kabupaten Pelalawan</p> <p>A number of SPPL cannot be issued because the pre-requisite document such as STD-B from a number of individual smallholder was not issued yet.</p> <p>Management Responses:</p> <p>The relevant authorities request for evidence of land and building tax payment – in order to obtain STD-B. A number of individual smallholder was having trouble to obtain the tax payment evidence.</p> <p>Group manager has work in progress to track down and seek for evidence on tax payment, in order to individual smallholder getting the pre-requisite document first, STD-B. Subsequently group manager will collectively registering SPPL (Surat Pernyataan Kesanggupan Pengelolaan Lingkungan).</p> <p>Audit Team Findings:</p> <p>Audit team has review the stakeholder input. Audit team found that the documentation for smallholders sampled are sufficient, including the STD-B. Audit team will review the progress during subsequent assessment visit.</p>

3.3.1 Status of Nonconformities Previously Identified and Observations

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1311597N1	<p>Requirements: RSPO Group Certification - Standard 2.2.3</p> <p>Evidence of Nonconformity: "Checklist Pemeriksaan internal" dan buku catatan inspeksi ICS. Based on document review against "Checklist Pemeriksaan Internal" and "Buku Catatan Inspeksi ICS" by Internal Control System for sampled farmer conducted in April 2016 found that all checklist filled with "comply" status against RSPO P&C. However, based on interview with Internal Control System team, found fact that during internal audit nonconformities were found. For example: found empty fertilizer plastic bag still found in farmer member plot, but not implied in the checklist and no corrective action plan prepared.</p> <p>Statement of Nonconformity: Internal control system has not prepared corrective action plan against findings from internal assessment as regulated in group certification procedure "Prosedur Asosiasi Amanah SOP 031/DOK/SOP/APSSA/2013" related to corrective action request for group member certification and "Prosedur Asosiasi Amanah SOP 013/DOK/SOP/APSSA/2013" related to farmer member assessment and inspection.</p> <p>Action: Group manager has announced the prohibition of the disposal of used inner plastic from fertilizer bag into farm. This has been communicated to all individual member through kelompok tani/farmer group. Group manager has administered the ICS to inspect the individual member's farm - in conjunction to internal audit schedule; ICS has recorded and reported that no disposal of used plastic from fertilizer bag to the farm.</p> <p>Status: Internal audit on April 2017 records no violation of the latest procedure on sampled members. BSI audit team found consistent implementation during RSPO ASA4. NC minor closed on 12 May 2017.</p>	Minor

Non-Conformity		
NCR #	Description	Category (Major / Minor)
1311597N2	<p>Requirements: RSPO Generic Standard, 2013 - Indicator 2.1.4</p> <p>Evidence of Nonconformity: "Bukti Kepatuhan Hukum Asosiasi Amanah" Based on document verification upon document "Bukti Kepatuhan Hukum Asosiasi Amanah", the smallholder group has updating list of applicable laws in January</p>	Minor

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	<p>2016. However, some of new and/or amendment of regulation are not listed, evaluated and updated yet, e.g. Peraturan Menteri Pertanian No.11/2015 (ISPO), Peraturan Menteri Pertanian No.98/2013 (Izin Usaha Perkebunan), etc.</p> <p>Statement of Nonconformity: Smallholder group has updating list of applicable laws in January 2016. However, some of new and/or amendment of regulation are not listed, evaluated and updated yet, e.g. Peraturan Menteri Pertanian No.11/2015 (ISPO), Peraturan Menteri Pertanian No.98/2013 (Izin Usaha Perkebunan), etc.</p> <p>Action: Group manager has updated the document of legal compliance "Asosiasi Petani Swadaya Amanah - Daftar Perundang-undangan 2017". The list has been updated, to include "Peraturan Menteri Pertanian No.11 tahun 2015 tentang ISPO" and "Peraturan Menteri Pertanian No.98 tahun 2013 tentang Pedoman Perizinan Usaha Perkebunan".</p> <p>Status: Group manager has evaluated the legal requirements and demonstrate the compliance. "Peraturan Menteri Pertanian No.11 tahun 2015 tentang ISPO"; evidence of compliance: Asosiasi Petani Sawit Swadaya Amanah has been ISPO certified; and "Peraturan Menteri Pertanian No.98 tahun 2013 tentang Pedoman Perizinan Usaha Perkebunan"; evidence of compliance: 318 individual members has been issued with "Surat Tanda Daftar Budidaya/STD-B", while the other on progress. The minor NC has been closed on 12 May 2017.</p>	
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Non-Conformity		
NCR #	Description	Category (Major / Minor)
1311597N3	<p>Requirements: RSPO P&C Generic 2013 Indicator 4.6.9</p> <p>Evidence of Nonconformity: Audit team visited the chemical store used by Asosiasi Amanah. The chemical store kept herbicide Topkuat 290SL (Paraquat diklorida) No.RI01030120134638, Bablas 490SL (Glifosat) No.RI01030120113944, Kenlon 480EC (Triklpir) No.RI010301262433, Garlon 670EC (Triklpir) No.RI.010311984695. However, the material safety data sheet for herbicide Topkuat 490 SL and Bablass 290 SL is not readily available in chemical storage. This is not conforming with indicator 4.6.9.</p> <p>Statement of Nonconformity: The material safety data sheet for herbicide Topkuat 490 SL and Bablass 290 SL is not readily available in chemical storage. This is not conforming with indicator 4.6.9.</p> <p>Action: 1. Group manager search/googling the MSDS for relevant agrochemical used in Asosiasi Petani Sawit Swadaya Amanah through internet because the supplier cannot provides. 2. MSDS made available for the current agrochemical used in Asosiasi Petani Sawit Swadaya Amanah.</p> <p>Status: Currently Asosiasi Petani Sawit Swadaya Amanah replaced the agrochemical</p>	Minor

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	brand. MSDS for the new brand has been made available. MSDS for Lava 276SL (paraquat); Garlon 670 SC (triclophyr); Typhosate (glifosate) has been made available. The minor NC has been closed on 12 May 2017.	
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Non-Conformity		
NCR #	Description	Category (Major / Minor)
1311597N4	Requirements: RSPO Generic Standard 2013 - Indicator 4.7.6	Minor
	Evidence of Nonconformity: Interview with Group Manager and contract. Asosiasi Amanah has not prepared Accident insurance for their workers, namely: Kuntiah Wandasari and Idharyanto	
	Statement of Nonconformity: Asosiasi Amanah has not prepared Accident insurance for their workers, namely: Kuntiah Wandasari and Idharyanto.	
	Action: Group Manager has provided health insurance to the worker, Kuntiah Wandasari. Idharyanto has resigned.	
	Status: Group Manager maintain, monitor and pays the insurance levy for the worker - as per requirement. The minor NC has been closed on 12 May 2017.	

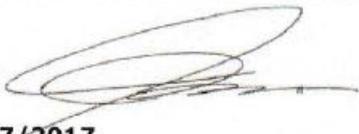
Non-Conformity		
NCR #	Description	Category (Major / Minor)
1311597N5	Requirements: RSPO Generic Standard, 2013 - Indicator 5.3.3	Minor
	Evidence of Nonconformity: Field visit in plot KT. 311/001, KT 311/002 It was found that used plastic bag of fertilizer disposed in farm. This finding is escalated from observation in previous audit.	
	Statement of Nonconformity: It was found that used plastic bag of fertilizer disposed in farm. This finding is escalated from observation in previous audit.	
	Action: There are no used plastic bag of fertilizer disposed off in farm. Based on field visit to sampled individual member's farm, audit team found improvement and confirmed evidence.	
	Status: Group manager has been able to demonstrate intact monitoring for the disposal of used plastic bag of fertilizer. The minor NC has been closed on 12 May 2017.	

3.3.2 Summary of the Nonconformities and Status

CAR Ref.	CLASS	ISSUED	STATUS
A829199/11	Major	14/01/2013	Closed on 15/03/2013
A829199/12	Major	14/01/2013	Closed on 15/03/2013
A843471/1	Minor	14/01/2013	Closed on 24/05/2014
A843471/1	Minor	14/01/2013	Closed on 24/05/2014
1192606M1	Major	21/05/2015	Closed on 09/07/2015
1192606M2	Major	21/05/2015	Closed on 09/07/2015
1192606M3	Major	21/05/2015	Closed on 09/07/2015
1192606M4	Major	21/05/2015	Closed on 09/07/2015
1192606N1	Minor	21/05/2015	Closed on 04/05/2016
1311597N1	Minor	04/05/2016	Closed on 12/05/2017
1311597N2	Minor	04/05/2016	Closed on 12/05/2017
1311597N3	Minor	04/05/2016	Closed on 12/05/2017
1311597N4	Minor	04/05/2016	Closed on 12/05/2017
1311597N5	Minor	04/05/2016	Closed on 12/05/2017
1474447-201705-M1	Major	12/05/2017	Closed on 11/07/2017
1474447-201705-M2	Major	12/05/2017	Closed on 11/07/2017
1474447-201705-M3	Major	12/05/2017	Closed on 11/07/2017
1474447-201705-M4	Major	12/05/2017	Closed on 11/07/2017
1474447-201705-M5	Major	12/05/2017	Closed on 11/07/2017
1474447-201705-M6	Major	12/05/2017	Closed on 11/07/2017
1474447-201705-N1	Minor	12/05/2017	"Open"
1474447-201705-N2	Minor	12/05/2017	"Open"
1474447-201705-N3	Minor	12/05/2017	"Open"
1474447-201705-N4	Minor	12/05/2017	"Open"
1474447-201705-N5	Minor	12/05/2017	"Open"
1474447-201705-N6	Minor	12/05/2017	"Open"

Assessment Conclusion and Recommendation:

Based on the findings during the assessment *Asosiasi Petani Sawit Swadaya Amanah* Certification Unit and supply base complies with the RSPO Management System Requirements and Guidance for Group Certification of FFB Production for Independent Smallholder. It is recommended that the certification of *Asosiasi Petani Sawit Swadaya Amanah* Certification Unit is approved and continued.

Acknowledgement of Assessment Findings	Report Prepared by
Name: H. Sunarno	Name: Pratama Agung Sedayu
Company name: Asosiasi Petani Sawit Swadaya Amanah	Company name: on behalf BSI Services Malaysia Sdn Bhd
Title: Group Manager	Title: Lead Auditor
Signature:  Date: 11/07/2017	Signature:  Date: 11/07/2017



Appendix A: Summary of Findings

Group Certification Requirements

<p>Section A-1</p> <p>Group Managers</p>	<p>Group Certification Requirements</p> <p>Element 1: Group Entity and Group Management requirements</p> <p>Element 2: The Internal Control System – Policies and management</p> <p>Element 3: The Internal Control System – Operations</p>
<p>Section A-2</p> <p>Individual group members up to 50ha under oil palm cultivation</p>	<p>a) <u>up to 50ha under oil palm cultivation:</u></p> <ul style="list-style-type: none"> Section 3 - Table column 'Requirements for Individual Members up to 50 ha': requirements corresponding to them for P&C indicator compliance Section 3 - Table column 'Guidance for Individual Members up to 50 ha': further supporting guidance to aid with the implementation of the P&C indicators

Section A-1- Group Managers

Criterion / Indicator	Assessment Findings	Compliance
<p>Element 1 (E1): Group Entity and Group Management requirements</p> <p>Rationale: In order to be able to have commercial relationships in the transactions of FFB certificates the group entity carries a liability, which requires it to be legally registered.</p>		
<p>E1.1 The Group Entity shall be legally formed</p>		
<p>E1.1.1</p>	<p>There shall be documentary evidence of a clearly identified and legal entity. The Group Entity shall:</p> <ul style="list-style-type: none"> Be a registered organisation as defined by law in the country of registration (e.g. as a company or an organisation). Be a member of the RSPO Establish the structure of the organisation Appoint a Group Manager (see E1.2) 	<p>NC Minor</p>

		<p>NC Minor: Group Manager Asosiasi Petani Sawit Swadaya Amanah is a registered organization, completed with deed of establishment. However, Asosiasi Petani Sawit Swadaya Amanah has not been registered as legal entity as defined by the law in the country of registration.</p>	
<p>E1.1.2</p>	<p>The Group Entity shall have documented membership requirements for the participation of individual members in the Group which will also cover new membership.</p> <ul style="list-style-type: none"> • There shall be documentary evidence that the Group members have formally joined the Group. • Formal members of the Group shall sign an agreement with the Group Manager committing to achieving compliance with the applicable RSPO standards and requirements. • The Group Manager shall keep copies of the agreements and shall demonstrate that each member has received a copy thereof. • The Group Manager shall retain copies for a minimum of 5 years. 	<p>Group manager have a documented procedure for:</p> <ul style="list-style-type: none"> - Receiving member: "Surat Keputusan Standar Operasional Asosiasi Petani Sawit Swadaya Amanah No.003/DOK/SOP/APSSA/2013 tentang Prosedur Penerimaan Anggota". The group explains the process for member receiving. Also stated that the group manager capacity is to certify a maximum 500 members. - Potential member: "Surat Keputusan Standar Operasional Asosiasi Petani Sawit Swadaya Amanah No.004/DOK/SOP/APSSA/2013 tentang Kandidat Anggota Sertifikasi". The procedure explains assessment process, before any potential member joining group manager. - Sanction and expulsion: "Surat Keputusan Standar Operasional Asosiasi Petani Sawit Swadaya Amanah No.010/DOK/SOP/APSSA/2013 tentang Sangsi atas Pelanggaran SOP". The procedure explains the requirements and or criteria for sanction and member expulsion. - Exiting member: "Surat Keputusan Standar Operasional Asosiasi Petani Sawit Swadaya Amanah No.010/DOK/SOP/APSSA/2013 tentang Keluar atau Mengundurkan Diri dari Keanggotaan". The procedure explains process for member resignation. <p>There is a documentary evidence to demonstrate that group members have formally joined the group under "Kontrak Petani". Individual members can demonstrate the copy of agreement with group manager. Group manager kept the original agreement.</p> <p>Group manager kept the original agreement between individual members with Group manager. Individual members kept the copy of agreement. Sample selected: individual member No.160, 166, 171, 202, 216, 243, 256, 358.</p>	<p>NC Minor</p>

		<p>Document and record keeping has been regulated under "Surat Keputusan Standar Operasional Asosiasi Petani Sawit Swadaya Amanah NO.002/DOK/SOP/APSSA/2013 tentang Pengelolaan Dokumen" signed by group manager. The procedure indicating the documents are kept and maintained for a minimum 5 years.</p> <p>NC Minor: It was found the membership agreement as in "Surat Kontrak" in Asosiasi Petani Sawit Swadaya Amanah as membership agreement, "Surat Kontrak" for some group member was expired since 31st December 2015 - as laid out in contract.</p>	
E1.1.3	<p>The Group Manager shall keep evidence that the nature and structure of the group has been communicated to all members of the Group in an appropriate manner.</p>	<p>The Group Manager has communicated to all members of the Group the regulation and membership rules.</p> <p>There is a documentary evidence to demonstrate that group members have formally joined the group under "Kontrak Petani". Individual members can demonstrate the copy of agreement with group manager. Group manager kept the original agreement. Individual members kept the copy of agreement. Sample selected: individual member No.160, 166, 171, 202, 216, 243, 256, 358.</p>	Comply
E1.2 The Group shall be managed by a Group Manager			

<p>E1.2.1</p>	<p>The appointed Group Manager shall be either an identified legal entity or an individual acting on behalf of the legal entity, i.e. the Group Entity (E1.1.1).</p> <p>The Group Manager shall ensure the Group’s compliance with this standard and is responsible for the preparation and implementation of the Internal Control System (ICS).</p> <p>If the Group Manager is not an individual but an entity:</p> <ul style="list-style-type: none"> • then the entity shall appoint an individual as management representative • and there shall be a description of the general structure detailing the positions and responsibilities of all personnel involved. 	<p>Asosiasi Petani Sawit Swadaya Amanah has been registered as per “Akte Pendirian “Amanah” (Deed of Establishment for Association) No.01, dated 1st August 2012 by Notary Asri Thaher SH, MKn. The deed of establishment has been registered under “Buku Register Di Kepaniteraan Pengadilan Negeri Pelalawan No.65/CU/Pdr/2016/PN PLW”, signed by Panitera Pengadilan Negeri Pelalawan.</p> <p>- The appointment of Group Manager was regulated as per “Surat Keputusan Rapat Pembentukan ICS No.001/DOK/SK.ICS/APSSA/2012 tentang Penunjukan/Pengangkatan Grup Manager” dated 25 April 2012. The letter appoints H.Sunarno as the Group Manager in Asosiasi Petani Sawit Swadaya Amanah.</p> <p>The structure of the Group Manager has been established, the same document has also defined the roles and responsibility of all personnel involved. Roles and responsibility for group manager has been defined under each appointment letter. For Group manager: “Surat Keputusan Rapat Pembentukan ICS No.001/DOK/SK.ICS/APSSA/2012 tentang Penunjukan/Pengangkatan Grup Manager” dated 25 April 2012. Roles and responsibility: responsible for the entire RSPO certification process; shall not have conflict of interest; shall be able to check, monitor and evaluate all individual members; shall be able to prepare system and documentation for operation, training and communication between group manager and members; shall be able to prepare training program for members; shall be able to market the product; shall be able to supervise Internal Control System; shall be able to control and organize registration and internal inspection, etc.</p> <p>For Approval committee: “Surat Keputusan Grup Manager Asosiasi Petani Sawit Swadaya Amanah No.001/DOK/SK.KP/APSSA/2013 tentang Penunjukan/Pengangkatan Staf Komite Persetujuan” dated 7 January 2013. Roles and responsibility: to conduct improvement related to inspection result; to conduct selection based on data and reports.</p> <p>---</p>	<p>Comply</p>
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		<p>For Internal Assessment Committee: "Surat Keputusan Grup Manager Asosiasi Petani Sawit Swadaya Amanah No.002/DOK/SK.KPI/APSSA/2013 tentang Penunjukan/Pengangkatan Staf Komite Penilai Internal" dated 7th January 2013. Roles and responsibility: to prepare and verifies maps of certified area; to conduct farmer/member registration; to conduct internal inspection minimum once per year; to visit FFB sales point to ensure purchase procedure is implemented;</p>	
<p>E1.2.2</p>	<p>The Group Manager shall be able to demonstrate sufficient resources and capacity for managing Group Certification and performance assessment against this Standard.</p>	<p>Group manager has prepares the human resources and organization structure to managed the group member. Manual, policies and procedures have been prepared to guide the operation.</p> <p>Group manager has a procedure for receiving member: "Surat Keputusan Standar Operasional Asosiasi Petani Sawir Swadaya Amanah No.003/DOK/SOP/APSSA/2013 tentang Prosedur Penerimaan Anggota". The group explains the process for member receiving and also stated that the group manager capacity is to certify a maximum 500 members.</p> <p>appointed the Internal Control System, prepared the manpower for information officer (penyuluh) as well as Interview with group manager, field visit and observation to group office, audit team seen the sufficient resources in term of human capital, financial, buildings and other infrastructure such as agriculture tools, emergency response equipment, vehicles and office utensils.</p>	<p>Comply</p>

<p>E1.2.3</p>	<p>The Group Manager and / or their personnel shall be able to demonstrate competence and knowledge of:</p> <ul style="list-style-type: none"> Principles and Criteria for the Production of Sustainable Palm Oil 2013 Endorsed by the RSPO Executive Board and Accepted at the Extraordinary General Assembly by RSPO Members on April 25th 2013 RSPO Management System Requirements and Guidance for Group Certification of FFB Production – March 2016 [this standard]. RSPO Supply Chain Certification Standard Final Document: As approved by RSPO Executive Board 21 November 2014 Internal group procedures and policies. 	<p>Group manager have sufficient knowledge on RSPO P&C 2013; RSPO Group Certification Standard 2016; RSPO Supply Chain Certification Standard 2014; RSPO Trading Platform for Independent Smallholder 2016; as well as their own procedures.</p> <p>Observation: Group manager needs to update ICS knowledge on RSPO Management System Requirements and Guidance for Group Certification of FFB Production – March 2016.</p> <p><i>Group manager perlu meningkatkan pengetahuan ICS terhadap standar baru "RSPO Management System Requirements and Guidance for Group Certification of FFB Production – March 2016".</i></p>	<p>Comply</p>
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<p>E1.2.4</p>	<p>The Group Manager shall provide potential and existing Group members with the following:</p> <ul style="list-style-type: none"> • An explanation of the RSPO certification process. • An explanation of the criteria for group membership. • An explanation as to the Group Manager’s needs and the rights of the certification body to access the group members' documentation and plantations for the purposes of evaluation and monitoring. • An explanation of the certification bodies and RSPO requirements with respect to public information. • An explanation of any obligations with respect to group membership, such as: <ul style="list-style-type: none"> ○ Maintenance of information for monitoring purposes; ○ Requirement to conform to conditions or corrective actions issued by the certification body. ○ Explanation of any costs associated with group membership. ○ Other obligations of group membership. 	<p>Group manager have a documented procedure for:</p> <ul style="list-style-type: none"> - Receiving member: "Surat Keputusan Standar Operasional Asosiasi Petani Sawir Swadaya Amanah No.003/DOK/SOP/APSSA/2013 tentang Prosedur Penerimaan Anggota". The group explains the process for member receiving. Also stated that the group manager capacity is to certify a maximum 500 members. - Potential member: "Surat Keputusan Standar Operasional Asosiasi Petani Sawit Swadaya Amanah No.004/DOK/SOP/APSSA/2013 tentang Kandidat Anggota Sertifikasi". The procedure explains assessment process, before any potential member joining group manager. - Sanction and expulsion: "Surat Keputusan Standar Operasional Asosiasi Petani Sawit Swadaya Amanah No.010/DOK/SOP/APSSA/2013 tentang Sangsi atas Pelanggaran SOP". The procedure explains the requirements and or criteria for sanction and member expulsion. - Exiting member: "Surat Keputusan Standar Operasional Asosiasi Petani Sawit Swadaya Amanah No.010/DOK/SOP/APSSA/2013 tentang Keluar atau Mengundurkan Diri dari Keanggotaan". The procedure explains process for member resignation. <p>There is a documentary evidence to demonstrate that group members have formally joined the group under "Kontrak Petani". Individual members can demonstrate the copy of agreement with group manager. Group manager kept the original agreement.</p> <p>Group manager kept the original agreement between individual members with Group manager. Individual members kept the copy of agreement. Sample selected: individual member No.160, 166, 171, 202, 216, 243, 256, 358.</p> <p>---</p>	<p>Comply</p>
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		Based on interview with sampled smallholder, they received information prior joining Asosiasi Petani Sawit Swadaya Amanah: An explanation of member’s rights and obligations related to group membership, such as document and information available for public, requirement to conform to conditions or corrective actions issued by the ICS and certification body. An initial inspections and trainings were performed by group manager to explain the requirements related to RSPO P&C.	
Element 2 (E2): Internal Control System – Policies and Management			
E2.1 The Group Internal Control System shall contain documented policies and procedures for operational management.			
E2.1.1	<p>The Group Internal Control System shall contain Procedures for decision-making, and responsibilities within the group (including the authority of the Group Manager) shall be defined.</p> <p>The Group Manager shall manage the Group in a systematic and effective manner by:</p> <ul style="list-style-type: none"> • Identifying the geographical area to be covered by the Group. • Preparing, maintaining and documenting the Group management structure • Clearly identifying the responsibilities of all individuals employed by the Group Manager for the running of the Group. • Prepare and maintain the rules of the Group including the criteria for membership. • Organise at least one group meeting annually (see also 8.1.1 of Section 3 on preparation of group management plan). • Procedure for initial gap audit which can be a self-assessment. 	<p>Group manager has identifying the geographical area to be covered. The group manager currently have members in three villages: Bukit Jaya village, Trimulya Jaya village and Air Mas village.</p> <p>Group manager has prepare the documented procedure and human resources to regulate the Group Manager structure. The structure of the Group Manager has been established, the same document has also defined the roles and responsibility of all personnel involved.</p> <p>Identification and regulation of roles and responsibility for group manager and the staff has been defined clearly under each appointment letter.</p> <p>Rules of group member has been established by group manager.</p> <p>Group manager held annual meeting.</p> <p>Group manager has established procedure for initial gap audit. See E2.1.4.</p>	Comply
E2.1.2	<p>The Group Internal Control System shall contain Procedures for maintaining records for all Group members.</p> <p>The Group Manager shall implement a system to maintain the following</p>	<p>Document and record keeping has been regulated under “Surat Keputusan Standar Operasional Asosiasi Petani Sawit Swadaya Amanah NO.002/DOK/SOP/APSSA/2013 tentang Pengelolaan Dokumen” signed by group manager. The procedure indicating the documents are kept and maintained for a minimum 5 years.</p> <p>Document and records seen:</p>	Comply

	<p>central records and reports:</p> <ul style="list-style-type: none"> List of names and full contact details of group members and applicable method of communication. Location maps. Area of oil palm in hectares. Land titles/right of use of the land. A copy of the signed declaration of the grower becoming a member of the group including the date. Unique member registration numbers are assigned to individual members. The date that the member signed the declaration of intent as stated in the Group Membership Requirements. Date of leaving the Group if applicable and the reasons why. Projected and actual FFB production in metric tonnes per annum. Monitoring and training records. Any corrective actions raised and actions taken to meet the requirements for compliance. 	<ul style="list-style-type: none"> List of member name, contact details and relevant membership number/ID; Map indicating the location of all farmer group, all group member; Detailed measurement of planted area in hectares; List and copy of land titles/Sertifikat Hak Milik for all individual member's plantation block; Copy of contract to become group member, indicating the date of joining Asosiasi Petani Sawit Swadaya Amanah; Projected and actual FFB production; Monitoring reports – as in ICS inspection reports; Training records; Corrective action records; 	
<p>E2.1.3</p>	<p>Relevant group records shall be archived for a minimum of 5 years using an appropriate secure system.</p>	<p>Document and record keeping has been regulated under "Surat Keputusan Standar Operasional Asosiasi Petani Sawit Swadaya Amanah N0.002/DOK/SOP/APSSA/2013 tentang Pengelolaan Dokumen" signed by group manager. The procedure indicating the documents are kept and maintained for a minimum 5 years.</p>	<p>Comply</p>
<p>E2.1.4</p>	<p>The Group Internal Control System shall include an initial gap audit procedure (i.e. baseline assessment and needs for compliance) for applicants wishing to join the Group.</p>	<p>Group manager have a documented procedure for:</p> <ul style="list-style-type: none"> Receiving member: "Surat Keputusan Standar Operasional Asosiasi Petani Sawit Swadaya Amanah No.003/DOK/SOP/APSSA/2013 tentang Prosedur Penerimaan Anggota". The group explains the process for member receiving. Also stated that the group manager capacity is to certify a maximum 500 members. Potential member: "Surat Keputusan Standar Operasional Asosiasi Petani Sawit Swadaya Amanah No.004/DOK/SOP/APSSA/2013 tentang Kandidat Anggota Sertifikasi". The procedure explains assessment process, 	<p>Comply</p>

		<p>before any potential member joining group manager.</p> <p>Initial audits for sampled individual members: Ceklist Pemeriksaan Internal Suparjo No.096/313 dated 6 January 2013 – no finding; Ceklist Pemeriksaan Internal Sukarjo No.110/313 dated 6 January 2013; Ceklist Pemeriksaan Internal Suryani No.114/313 dated 6 January 2013; Ceklist Pemeriksaan Internal Sutisna No.119/313 dated 6 January 2013 – no finding; Ceklist Pemeriksaan Internal Nasirin No.170/315 dated 22 October 2012 – no finding; Ceklist Pemeriksaan Internal Sutikno No.166/315 dated 8 October 2012;</p> <p>The planting year for member was: 1997/1999: 62 Ha; 2000: 575 Ha; 2001: 410 Ha; There was no planting after November 2005. The requirement for new planting is not applicable. There was no land conflict in any individual members noted. Each individual members are able to demonstrate/</p>	
<p>Element 3 (E3): The Internal Control System – Operations</p>			
<p>E3.1 The Group Internal Control System shall develop and implement an internal audit programme of Group members.</p>			
<p>E3.1.1</p>	<p>The Group Manager shall develop and implement the internal audit programme, which includes, but not exclusively: timeline, operational plans, monitoring and evaluation records.</p> <p>As a minimum the following shall be included:</p> <ul style="list-style-type: none"> Establish, implement and maintain (a) procedure(s) for internal audits which must include (but not be limited to) the methodology, competence of internal auditors, audit criteria, frequency of internal audits, and addressing non-conformity. Conduct regular (at least annual) internal audits of Group members in order to confirm continued conformance with all 	<p>“Surat Keputusan Standar Operasional Petani Sawit Swadaya Amanah No.014/DOK/SOP/APSSA/2013 tentang Penentuan Sample Inspeksi Kebun Anggota Grup Sertifikasi”. The procedure explains justification for determination of low, medium and high risk during internal audit. Based on the procedure, group manager has prepared the database for assessment to consider farm size; location of the farm; seedling material, planting year; history of land tenure/land use;</p> <p>The sampling plan for internal audit: - The current member of Group manager Asosiasi Petani Sawit Swadaya Amanah is 501 members; - The RSPO certificate issued on 2013 and expired in 2018 (5-years time). In order to meet group certification requirement, Group Manager and ICS team divided 501 members/5 years equal to ±100 members per year;</p>	<p>Comply</p>

	<p>the Group Certification requirements.</p> <ul style="list-style-type: none"> Maintenance of all internal audit records. 	<ul style="list-style-type: none"> The Group manager procedure for internal audit was to set the 4 internal audits per year; The sample for each internal audit was 25 individual members; Risk level sets as low. This was based on: Homogeneous geographic location of the farm – all under Ukui District; Homogenous socioeconomically – majority of group member was coming from same location, Ukui district, transmigrant, and work as farmer; There are no current replanting activities – the planting year was 1999 – 2002, the replanting planned for 2026; There are no current expansion – there are no new planting; There are no new members – latest member inclusion was in 2014: The Group and its manager are well established – Asosiasi Petani Sawit Swadaya Amanah has been established since 2012. There has been 346 individual members having been sampled during internal assessment, up to April 2017. 	
<p>E3.1.2</p>	<p>The Group Manager shall carry out a risk assessment of Group members to identify an appropriate sampling intensity of Group members for the certification assessment.</p> <p>The risk assessment shall take into account:</p> <ul style="list-style-type: none"> the diversity of the Group members (i.e. range of size, management structure, scattered members with diverse plantation landscape such as terrain, etc.) any perceived risk relating to the activities being undertaken (e.g. how much replanting or expansion is occurring, how many members are new and, for subsequent assessments, whether there is a history of non-conformities). 	<p>“Surat Keputusan Standar Operasional Petani Sawit Swadaya Amanah No.014/DOK/SOP/APSSA/2013 tentang Penentuan Sample Inspeksi Kebun Anggota Grup Sertifikasi”. The procedure explains justification for determination of low, medium and high risk during internal audit. Based on the procedure, group manager has prepared the database for assessment to consider farm size; location of the farm; seedling material, planting year; history of land tenure/land use;</p> <p>Risk level sets as low. This was based on: Homogeneous geographic location of the farm – all under Ukui District; Homogenous socioeconomically – majority of group member was coming from same location, Ukui district, transmigrant, and work as farmer; There are no current replanting activities – the planting year was 1999 – 2002, the replanting planned for 2026; There are no current expansion – there are no new planting; There are no new members – latest member inclusion was in 2014: The Group and its manager are well established – Asosiasi Petani Sawit Swadaya Amanah has been established since 2012.</p>	<p>Comply</p>

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		<p>There has been 346 individual members having been sampled during internal assessment, up to April 2017.</p> <p>Internal audit April 2017:</p> <ul style="list-style-type: none"> - Data Internal Inspeksi Katijo No.058/312 dated 17th April 2017; Data Internal Inspeksi Nyurianto/Sugiyoto No.391/322 dated 15th April 2017 audited by Dadang; Data Internal Inspeksi Misinem No.393/322 dated 15th April 2017 audited by Dadang; Data Internal Inspeksi Suryani No.460/325 dated 15th April 2017 audited by Saeroji; Data Internal Inspeksi Widodo No.295/319 dated 17th April 2017 audited by Paino; Data Internal Inspeksi Yatno Mardianto No.324/320 dated 17th April 2017 audited by Ahmad Soleh; - Data Internal Inspeksi Kasali No.484/326 dated 11th December 2016 audited by Rusman Effendi; Data Internal Inspeksi Solikatun No.075/312 dated 11th December 2016 audited by Dadang; Data Internal Inspeksi Riyadi No.468/325 dated 11th December 2016 audited by Sukirto; 	
E3.1.3	<p>The Group Manager and the internal auditors shall jointly declare no conflict of interest for the internal audit process.</p>	<p>All of the Internal Control System committee has signed the declaration for integrity and no conflict of interest.</p> <p>Document seen: "Form Deklarasi Konflik Kepentingan" signed under name Rusman Effendi (Inspektur Internal Asosiasi Petani Sawit Swadaya Amanah); "Form Deklarasi Konflik Kepentingan" signed under name Paryanto (Inspektur Internal Asosiasi Petani Sawit Swadaya Amanah);</p>	Comply
E3.1.4	<p>The Group Manager shall conduct initial gap audits with any potential new member, to assess the following pre-requisites for membership:</p> <ul style="list-style-type: none"> • no plantings have replaced primary forest, or affected one or more High Conservation Values (HCVs) (RSPO P&C 2013 criteria 5.2 & 7.3) In the case of scheme smallholders, the company (owning/managing the mill) holds the liability for compensation for any new plantings undertaken since November 2005 and before 14th of May 2014. Following compliance with the compensation procedure, scheme smallholders may join the group. 	<p>Initial audits for sampled individual members:</p> <p>Ceklist Pemeriksaan Internal Suparjo No.096/313 dated 6 January 2013 – no finding; Ceklist Pemeriksaan Internal Sukarjo No.110/313 dated 6 January 2013; Ceklist Pemeriksaan Internal Suryani No.114/313 dated 6 January 2013; Ceklist Pemeriksaan Internal Sutisna No.119/313 dated 6 January 2013 – no finding; Ceklist Pemeriksaan Internal Nasirin No.170/315 dated 22 October 2012 – no finding; Ceklist Pemeriksaan Internal Sutikno No.166/315 dated 8 October 2012;</p> <p>The planting year for member was: 1997/1999: 62 Ha; 2000: 575 Ha; 2001: 410 Ha; There was no planting after November 2005. The requirement for new planting is not applicable. There was no land conflict in any individual</p>	Comply

	<ul style="list-style-type: none"> no existing land conflict. land title or right to use the land can be demonstrated. 	<p>members noted. Each individual members are able to demonstrate/</p>	
<p>E3.2 The Group Internal Control System shall include a system in place to enable the trading of RSPO certified Fresh Fruit Bunches (FFB) produced from the Group.</p>			
E3.2.1	<p>The Group Manager shall document and implement a system for the tracking and tracing of FFB produced by the group members, and intended to be sold as RSPO-certified FFB.</p>	<p>The procedure lined out in "Surat Keputusan Standar Operasional Asosiasi Petani Sawit Swadaya Amanah No.008/DOK/SOP/APSSA/2013 tentang Pemisahan TBS Tersertifikasi dengan TBS non-Sertifikasi". Based on procedure, there will be clarification should deviation in tonnage above 5% from last day FFB taxation occurs. The delivery of certified FFB using Delivery Order from Asosiasi Petani Sawit Swadaya Amanah.</p>	Comply
E3.2.2	<p>There shall be a collective Group procedure for the sale of all certified FFB to ensure that non-certified FFB are not sold as RSPO certified FFB.</p> <p>If certified FFB is combined with non-certified FFB prior to the sale and delivery to a palm oil mill, a mass balance system shall be in place to ensure the quantity of FFB sold as Mass Balance is equal to the quantity of RSPO certified FFB in the mix.</p>	<p>The procedure lined out in "Surat Keputusan Standar Operasional Asosiasi Petani Sawit Swadaya Amanah No.008/DOK/SOP/APSSA/2013 tentang Pemisahan TBS Tersertifikasi dengan TBS non-Sertifikasi". Based on procedure, all FFB sold by Asosiasi Amanah only consist of FFB from group member's oil palm plantation. Therefore all FFB sold by Asosiasi Petani Sawit Swadaya Amanah is RSPO certified.</p>	Comply
E3.2.3	<p>All sales of FFB originating from the plantations of Group members shall be documented and recorded. This shall include:</p> <ul style="list-style-type: none"> Invoices and receipts (purchase and sale). Information on transport (i.e. registration number/number plate). The relevant group members' group identification number. Classification of the FFB sold (i.e. RSPO certified or not), FFB volume and destination. Information of FFB price. 	<p>The procedure lined out in "Surat Keputusan Standar Operasional Asosiasi Petani Sawit Swadaya Amanah No.008/DOK/SOP/APSSA/2013 tentang Pemisahan TBS Tersertifikasi dengan TBS non-Sertifikasi". In the procedure stated that the only FFB coming from certified group members can be sold. The organization has a strict rules to prevent contamination and/or commingling with non-certified FFB. Delivery Order issued based on previous day taxation. Only the amount can be sent for receiving mills. Based on procedure, there will be clarification should deviation above 5% in tonnage from last day FFB taxation occurs.</p> <p>All FFB delivered to receiving POM will be completed with Delivery Order/DO with details on DO number/unique ID, farmer group ID, membership number, transport/vehicle number, tonnage, etc. No "RSPO-certified" claim being made.</p> <p>The procedure indicating the documents are kept and maintained for a minimum 5 years. Group manager maintain a record of all FFB</p>	Comply

		<p>sales since first certification period.</p> <p>Note: Asosiasi Petani Sawit Swadaya Amanah choose to sell their certified product through Book and Claim mechanism. Therefore, there are no sales of certified FFB – this is to avoid double-booking.</p>	
E3.2.4	<p>The Group Manager shall maintain copies of all documentation and records mentioned in E3.2.3 related to Group FFB transactions for a period of a minimum of 5 years.</p>	<p>The procedure lined out in "Surat Keputusan Standar Operasional Asosiasi Petani Sawit Swadaya Amanah No.008/DOK/SOP/APSSA/2013 tentang Pemisahan TBS Tersertifikasi dengan TBS non-Sertifikasi". The procedure indicating the documents are kept and maintained for a minimum 5 years.</p> <p>Group manager maintain a record of all FFB sales since first certification period.</p> <p>Record seen: For period January – December 2016 FFB production: 23,495.52 tons; For period January – June 2017 FFB production: 9,891.58 tons;</p> <p>Note: Asosiasi Petani Sawit Swadaya Amanah choose to sell their certified product through Book and Claim mechanism. Therefore, there are no sales of certified FFB – this is to avoid double-booking.</p>	Comply
E3.2.5	<p>Traders of FFB shall be either part of the Group management system following this guidance or be RSPO Supply Chain certified in order to sell certified FFB. Traders of FFB are encouraged to be included within the Group certification control rather than obtain their own supply chain certification.</p> <p>The Group Manager will ensure that the trader has clear procedures to ensure that mass balance calculations are accurate if applicable and that all FFB sold by the trader is traceable back to the Group members.</p> <p>Guidance:</p> <ul style="list-style-type: none"> • There shall be a contract between the FFB trader and the • The FFB trader shall maintain complete purchase and sales records. • If the FFB Trader is RSPO Supply Chain certified, a copy of the 	<p>Asosiasi Petani Sawit Swadaya Amanah does not use trader.</p> <p>Not applicable.</p>	N/A

	certificate shall be provided to the Group Manager.		
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Section A-2- Individual group members up to 50ha under oil palm cultivation

Criterion / Indicator	Assessment Findings	Compliance
Principle 1: Commitment to Transparency		
Criterion 1.1: Growers and millers provide adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages and forms to allow for effective participation in decision making.		
1.1.1 There shall be evidence that growers and millers provide adequate information on (Environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making.		
Requirement for Individual Member with up to 50ha of plantation size		NC Minor
Demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.	Asosiasi Amanah has a mechanism for communication and consultation "Mekanisme Komunikasi dan Konsultasi", whereas explains the flow process of communication. Communication in form of written/letter and/or verbal communication to group management are acceptable. Based on interview with sampled individual members, they understand the rules for request for information. NC Minor: Individual member No.171, 477, 253, 243 of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall inform all Group members that all requests for information are referred to the Group Manager.</p>	<p>Asosiasi Amanah has determined type of information accessible for public. The list was approved by Chairman of Association on 3 September 2014. The list comprised of legality documents, program and plan, HCV documents, standard operating procedures and good agriculture practice, social impact assessment, social responsibility document, local community development, "Surat Pernyataan Pengelolaan Lingkungan", "Surat Tanda Daftar Budidaya".</p> <p>Asosiasi Amanah has determined response time upon information request of maximum 14 working days. Document retention time for information request sets to be 3 years (available in log book).</p> <p>Asosiasi Amanah has a mechanism for communication and consultation "Mekanisme Komunikasi dan Konsultasi", whereas explains the flow process of communication. Communication in form of written/letter and/or verbal communication to group management are acceptable.</p> <p>Group manager has communicated all group member that all request for information are referred to Group Manager.</p>	
<p>The Group Manager shall provide adequate information on (Environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making</p>	<p>All information available in the training for each members. Notice board onsite contain information such as legal register, list of HCV and RTE, group manager policies, consultation and communication procedure, etc.</p>	
<p>1.1.2 Records of requests for information and responses shall be maintained.</p>		
<p>Requirement for Group Manager</p>	<p>Complied</p>	

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Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall establish and maintain a system to keep records of requests for information and corresponding responses.</p>	<p>All information request documented inside logbook Petani Sawit Swadaya Amanah. Since April 2016 up to February 2017, the association received 5 types of information request. For example:</p> <ol style="list-style-type: none"> 1. on 30 May 2016 student of INSTIPER Yogyakarta requested permission for research; 2. On 16 August 2016 Mr. Sumarno from Muara Bulian requested for visiting assosiasi Amanah as comparative study. <p>Group management have responded, in verbal and implemented via fund transfer from Asosiasi Amanah to KUD Karya Bersama – Desa Air Emas, and subsequently transferred to Desa Air Emas officials.</p>	
<p>Criterion 1.2:</p>		
<p>Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.</p>		
<p>1.2.1 (M) Publicly available documents shall include, but are not necessarily limited to:</p> <ul style="list-style-type: none"> • Land titles/user rights (Criterion 2.2); • Occupational health and safety plans (Criterion 4.7); • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); • HCV documentation (Criteria 5.2 and 7.3); • Pollution prevention and reduction plans (Criterion 5.6); • Details of complaints and grievances (Criterion 6.3); • Negotiation procedures (Criterion 6.4); • Continuous improvement plans (Criterion 8.1); • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13). 		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>	<p>Complied</p>	

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Criterion / Indicator	Assessment Findings	Compliance
<p>Demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.</p>	<p>Asosiasi Amanah has publicly document in "Daftar Dokumen Yang Bisa di Akses", 3rd September 2014, which included: legal (deed of establishment, land title (SHM), working program, HCV, procedures on Good Agriculture Practices (GAP), social impact assessment, social activities, local contribution, SPPL (environmental permit) and STD-B (plantation permit). Group manager has communicated the procedures on how to handle information request related to publicly available document for all group members. Based on interview with sampled individual members, they understand the rules for request for information.</p> <p>NC Major: Individual member No.171, 477, 253, 243 of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate an understanding that all requests for publicly available information must be referred to the Group Manager.</p> <p>Corrective action: Asosiasi Petani Sawit Swadaya Amanah conduct dissemination to the ICS and followed up with dissemination to individual farmers, in several phases. Group manager conducted dissemination to individual farmers on 17 June 2017. Attendance list recorded 30 individual members and ICS members. The information and content recorded in a note book, provided by group manager to individual farmers. ICS has conducted internal inspection to verify basic understanding that all information request related to publicly available information has to be directed to group manager. Internal inspection has been carried out between 18 – 19 June 2017; to verify the individual farmers understanding on how to handles information request for publicly available information. The internal inspection result by ICS team shows the basic understanding has been improved. Individual farmers were able to explains all information request related to publicly available information has to be directed to group manager.</p> <p>Audit team has reviewed the record of dissemination to individual farmers dated 17 June 2017. Audit team also reviewed record provided for individual members, in form of note book.</p> <p>---</p>	

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Criterion / Indicator	Assessment Findings	Compliance
	<p>Audit team has reviewed the internal inspection record for individual farmer sampled, No.054, 171,243, 253, 256, 358 and 477 as well as the internal inspection conclusion.</p> <p>Audit team has conducted interview with sampled farmers No.054, 253, 256, 358, 477; and additional verification to farmer No.149, 386 dan 460. The interview concluded that individual farmers were able to explain all information request related to publicly available information has to be directed to group manager.</p> <p>NC closed on 11 July 2017.</p>	
Requirement for Group Manager		
<p>Group Managers shall list the following documents as publically available and keep copies centrally:</p> <ul style="list-style-type: none"> • Land titles/user rights (Criterion 2.2); • Occupational health and safety plans (Criterion 4.7); • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); • HCV documentation (Criteria 5.2 and 7.3); • Pollution prevention and reduction plans (Criterion 5.6); • Details of complaints and grievances (Criterion 6.3); • Negotiation procedures (Criterion 6.4); • Continuous improvement plans (Criterion 8.1); • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13). 	<p>Asosiasi Amanah has publicly document in "Daftar Dokumen Yang Bisa di Akses", 3rd September 2014, which included: legal (deed of establishment, land title (SHM), working program, HCV, procedures on Good Agriculture Practices (GAP), social impact assessment, social activities, local contribution, SPPL (environmental permit) and STD-B (plantation permit).</p>	
<p>Criterion 1.3: Growers and millers commit to ethical conduct in all business operations and transactions.</p>		
<p>1.3.1 There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions, which shall be documented and communicated to all levels of the workforce and operations.</p>		
Requirement for Individual Member with up to 50ha of plantation size		NC Minor

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Criterion / Indicator	Assessment Findings	Compliance
<p>Individual members shall show that they have accepted and agreed the group’s policy on ethical conduct</p>	<p>Asosiasi Amanah also has specific policy “Kebijakan Kode Etik dan Integritas dari Seluruh Operasi dan Transaksi”, January 2016. The commitment stated: “Berkomitmen berperilaku etis dalam berbisnis pada seluruh transaksi dan operasi bisnis, pelarangan segala bentuk korupsi, penyuapan dan penipuan dalam penggunaan dana dan sumberdaya” – committed to perform ethical code of conduct in line of business and transaction operation, prohibit corruption, fraud in use of financial and natural resources; Provide transparent information applicable and acceptable in the industry.</p> <p>During the audit and interview with group manager and its member they can show commitment to code of ethical conduct and integrity in all operations and transactions. This has been communicated regularly within group members during annual budget meeting.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall develop a written policy committing the Group to a code of ethical conduct and integrity in all operations and transactions.</p>	<p>Asosiasi Amanah also has specific policy “Kebijakan Kode Etik dan Integritas dari Seluruh Operasi dan Transaksi”, January 2016. The commitment stated: “Berkomitmen berperilaku etis dalam berbisnis pada seluruh transaksi dan operasi bisnis, pelarangan segala bentuk korupsi, penyuapan dan penipuan dalam penggunaan dana dan sumberdaya” – committed to perform ethical code of conduct in line of business and transaction operation, prohibit corruption, fraud in use of financial and natural resources; Provide transparent information applicable and acceptable in the industry.</p> <p>NC Minor: Group Manager cannot demonstrate the policy committing to a code of ethical conduct and integrity in all operations and transactions has been set within the framework of the UN Convention Against Corruption, in particular Article 12; Furthermore, individual members of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate that they have accepted and agreed the group’s policy on ethical conduct. Individual member No.171, 358, cannot demonstrate understanding what ethical conduct is and the group policy.</p>	

Criterion / Indicator	Assessment Findings	Compliance
<p>Criterion 2.1:</p> <p>There is compliance with all applicable local, national and ratified international laws and regulations.</p>		
<p>2.1.1 Evidence of compliance with relevant legal requirements shall be available.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		
<p>Fulfil the requirements laid out by the Group Manager, such as attending relevant training, filling in the checklist/tools provided to guarantee legal compliance.</p> <p>Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.</p>	<p>Each group member has attended relevant training and are able to demonstrate legal compliance. Each sampled individual smallholder are able to demonstrate land title, plantation permit and environmental permit.</p> <p>Record seen:</p> <p>Member No.67: land title/Sertipikat Hak Milik No.05.16.07.10.00690 under name Wartono for 20,000m² dated 29 December 2006; STD-B No.525/Dishutbun-PPP/2013/017 for 2.00 Ha dated 20 December 2013; Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan (SPPL) under name Wartono dated 24 February 2014;</p> <p>Member No.370: land title/Sertipikat No.05.16.07.10.1.05416 under name Yuli Diana Sari for 19,930m² dated 15 December 2011; STD-B No.504/BPMP2T/2016/640 for 1.99 Ha dated 25 July 2016; Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan (SPPL) under name Yuli Diana Sari dated 30 November 2016;</p> <p>Member No.119: land title/Sertipikat No.05.05.13.06.1.00225 under name Sutisna for 19,960m² dated 30 September 1999; STD-B No.504/BPMP2T/2016/521 under name Sutisna for 1.99 Ha dated 30 June 2016;</p> <p>Member No.256: land title/Sertipikat No.05.09.69.62.00044 under name Supiono for 19,999m² dated 20 December 2003; STD-B No.504/BPMP2T/2016/591 for 1.99 Ha dated 30 June 2016; Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan (SPPL) under name Supiono dated 24 February 2014;</p> <p>Member No.358: land title/Sertipikat No.05.16.69.62.1.00103 under name Birah for 19,969m² dated 16 December 2004; STD-B No.504/BPMP2T/2016/632 dated 25 July 2016; Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan (SPPL) under name Yuli Diana Sari dated 29 November 2016;</p> <p>Etc.</p>	<p>Complied</p>
<p>Requirement for Group Manager</p>		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Ensure you can demonstrate to a third party that the laws are understood and complied with by Group members.</p>	<p>Group manager and group members have adequate knowledge regarding legal requirements related to their operation. Implementation of the related legal requirements relevant to oil palm cultivation, including those related to the group activities are checked regularly by group manager and through the local district government agriculture extension officer.</p> <p>Asosiasi Amanah has conducted an analysis of compliance with laws and regulations include compliance discussion article by article. Evaluation on legal compliances is documented in Doc. 008/APSSAL 13, retention time 3 year, document name "Kepatuhan Pada Peraturan dan Hukum yang berlaku".</p> <p>Individual farmer: Each member has land certificate. 318 members has operational permit. 318 members has environmental permit.</p> <p>Group Manager was able to provide the documents demonstrating legal compliance: "Tanda Daftar Perusahaan Asosiasi Petani Sawit Swadaya Amanah No.041654900317" dated 9th May 2016, valid up to 9 May 2021. "Surat Izin Usaha Perdagangan Kecil No.137/BPMP2T/SIUP-K/2016/129" under name Asosiasi Petani Sawit Swadaya Amanah dated 9th May 2016, valid up to 9th May 2021. "Surat Kepala Badan Penanaman Modal dan Pelayanan Perijinan Terpadu No.137/BPMP2T/HO/2016/186 tentang Izin Usaha Gangguan" dated 9th May 2016, valid for 5 years. "Surat Kepala Badan Penanaman Modal dan Pelayanan Perijinan Terpadu No.137/BPMP2T/HO/2016/195 tentang Surat Izin Tempat Usaha" dated 9th May 2016, valid for 5 years.</p>	
<p>2.1.2 A documented system, which includes written information on legal requirements, shall be maintained.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>	<p>Complied</p>	

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Criterion / Indicator	Assessment Findings	Compliance
<p>Fulfil the requirements laid out by the Group Manager, such as attending relevant training, filling in the checklist/tools provided to guarantee legal compliance.</p> <p>Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.</p>	<p>Group manager and group members have adequate knowledge regarding legal requirements related to their operation. Implementation of the related legal requirements relevant to oil palm cultivation, including those related to the group activities are checked regularly by group manager and through the local district government agriculture extension officer.</p> <p>Asosiasi Amanah has conducted an analysis of compliance with laws and regulations include compliance discussion article by article. Evaluation on legal compliances is documented in Doc. 008/APSSAL 13, retention time 3 year, document name "Kepatuhan Pada Peraturan dan Hukum yang berlaku".</p> <p>Each group member has attended relevant training and are able to demonstrate legal compliance. Each sampled individual smallholder are able to demonstrate land title, plantation permit and environmental permit.</p> <p>Record seen: Member No.67: land title/Sertipikat Hak Milik No.05.16.07.10.00690 under name Wartono for 20,000m² dated 29 December 2006; STD-B No.525/Dishutbun-PPP/2013/017 for 2.00 Ha dated 20 December 2013; Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan (SPPL) under name Wartono dated 24 February 2014;</p> <p>Member No.370: land title/Sertipikat No.05.16.07.10.1.05416 under name Yuli Diana Sari for 19,930m² dated 15 December 2011; STD-B No.504/BPMP2T/2016/640 for 1.99 Ha dated 25 July 2016; Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan (SPPL) under name Yuli Diana Sari dated 30 November 2016;</p> <p>Member No.119: land title/Sertipikat No.05.05.13.06.1.00225 under name Sutisna for 19,960m² dated 30 September 1999; STD-B No.504/BPMP2T/2016/521 under name Sutisna for 1.99 Ha dated 30 June 2016;</p> <p>Member No.256: land title/Sertipikat No.05.09.69.62.00044 under name Supiono for 19,999m² dated 20 December 2003; STD-B No.504/BPMP2T/2016/591 for 1.99 Ha dated 30 June 2016; Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan (SPPL) under name Supiono dated 24 February 2014;</p> <p>Member No.358: land title/Sertipikat No.05.16.69.62.1.00103 under name Birah for 19,969m² dated 16 December 2004; STD-B No.504/BPMP2T/2016/632 dated 25 July 2016; Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan (SPPL) under name Yuli Diana Sari dated 29 November 2016;</p>	

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
Group Managers shall: Have a list/'legal register' of all applicable laws and regulations and state: <ul style="list-style-type: none"> • Where the laws were obtained from. • How they are circulated and how often and record this communication. • Who and how ensures that the laws are being implemented. • Who monitors and updates the list and how often. • Who records when updates are communicated. 	The group manager has mechanism to ensuring compliance the regulation and update list of regulation regularly, the last updated in January 2016 as documented in "Bukti Kepatuhan Hukum Asosiasi Amanah".	
2.1.3 A mechanism for ensuring compliance shall be implemented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N.A	N.A	
Requirement for Group Manager		
Ensure you can demonstrate to a third party that the laws are understood and complied with by Group members	The group manager has mechanism to ensuring compliance the regulation and update list of regulation regularly, the last updated in January 2016 as documented in "Bukti Kepatuhan hukum Asosiasi Amanah". Each member then must follow the set of rules, before joining group member.	
Develop tools such as checklists or booklets that your group members can use to help them implement the legal requirements.	Smallholder group has updating their list of applicable laws. All the applicable laws and regulation then communicated by all group members.	Complied
2.1.4 A system for tracking any changes in the law shall be implemented.		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
N/A	N/A	
Criterion 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.		

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Criterion / Indicator	Assessment Findings	Compliance
<p>2.2.1 Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Check that the titles or deeds allow the growing of oil palm where this is required by country legislation</p>	<p>Individual farmer: Each individual member being sampled has been able to demonstrate land certificate (sertifikat hak milik), complemented with map. Certificate seen: Member No.67: land title/Sertipikat Hak Milik No.05.16.07.10.00690 under name Wartono for 20,000m² dated 29 December 2006; Member No.370: land title/Sertipikat No.05.16.07.10.1.05416 under name Yuli Diana Sari for 19,930m² dated 15 December 2011; Member No.119: land title/Sertipikat No.05.05.13.06.1.00225 under name Sutisna for 19,960m² dated 30 September 1999; Member No.256: land title/Sertipikat No.05.09.69.62.00044 under name Supiono for 19,999m² dated 20 December 2003; Member No.358: land title/Sertipikat No.05.16.69.62.1.00103 under name Birah for 19,969m² dated 16 December 2004;</p>	
<p>Requirement for Group Manager</p>		

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Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall demonstrate documentary evidence of legal ownership or lease, history of land tenure and the actual legal use of the land according to local laws.</p>	<p>Group manager was able to demonstrate that all of their member has legal ownership of the land – in accordance to Indonesian law. Group manager provided the maps showing legal boundaries of each group member – divided on farmer group (kelompok tani). The position of each boundary pole in each member’s plot has been mapped with GPS coordinates.</p> <p>History of the land tenure: Based on interview with “Dinas Perkebunan Kabupaten Pelalawan”, the officials stated the member of Asosiasi Amanah’s land originated from “Izin Pencadangan” originally intended for PT. Inti Indosawit Subur. The land was not planted, and was returned to state (Republik Indonesia); furthermore the land has been released from forest area status.</p> <p>Based on interview with sampled individual members, stating that they obtained the land from purchase process from previous traditional land owners (Ketua Adat Desa Air Hitam). When individual members planted the oil palm plantation, the land was changed from secondary forest and/or arable land. The land subsequently registered for land ownership certificate in “Kantor Pertanahan”. All member of Asosiasi Amanah have obtained legal ownership of the land in form of certificate “Sertifikat Hak Milik/SHM”.</p> <p>Asosiasi Amanah have prepared block map for its entire member with scale 1:8,500. In the map, each farmer groups and individual member’s block have been identified. Based on document verification upon land ownership certificates, detail of each farmer block map available in certificate map “Peta Bidang Tanah” – part of certificate appendix. The land measurement was done by officer from “Kantoe Pertanahan Kabupaten Pelalawan”, witnessed by surrounding land owner. During land ownership certificate issuance, have gone through 5 years complaint period.</p>	
<p>Maps showing the legal boundaries shall be kept.</p>	<p>Group manager provided the maps showing legal boundaries of each individual member – divided on farmer group (kelompok tani). The position of each boundary pole in each member’s plot has been mapped with GPS coordinates.</p>	
<p>2.2.2 Legal boundaries shall be clearly demarcated and visibly maintained.</p>		
<p>Requiremenet for Individual Member with up to 50ha of plantation size</p>	<p>Complied</p>	

Criterion / Indicator	Assessment Findings	Compliance
Individual members shall demarcate the boundaries of their land.	<p>Group manager has a procedure to monitor and maintain legal boundaries.</p> <p>Group manager provided the maps showing legal boundaries of each individual member – divided on farmer group (kelompok tani). The position of each boundary pole in each member’s plot has been mapped with GPS coordinates.</p> <p>Based on field visit to sampled individual members, boundaries are in places, clearly demarcated and visibly maintained. On the field, boundaries was demarcate using boundary stone; or frond stacking.</p>	
Requirement for Group Manager		
Check that boundaries are demarcated.	<p>The position of each boundary pole in each member’s plot has been mapped with GPS coordinates.</p> <p>Based on field visit to sampled individual members, boundaries are in places, clearly demarcated and visibly maintained. On the field, boundaries was demarcate using boundary stone; or frond stacking.</p>	
<p>2.2.3 Where there are or have been disputes, additional proof of legal acquisition of title and evidence that fair compensation has been made to previous owners and occupants shall be available, and that these have been accepted with free, prior and informed consent (FPIC).</p>		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
N/A	N/A	
<p>2.2.4 There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
<p>There are conflicts: Explain why and what is the current status. Update this status every quarter until finalised.</p> <p>Record all meetings and who attended.</p>	<p>Based on interview and document review upon sampled individual members, there was no land dispute recorded. It was also confirmed through interview with stakeholders.</p>	
Requirement for Group Manager		
<p>If there are conflicts: The Group Manager shall ensure that there is an ongoing process to resolve the conflict and ensure records of meetings are being kept by the group member.</p>	<p>Based on interview and document review upon sampled individual members, there was no land dispute recorded. It was also confirmed through interview with stakeholders.</p>	

Criterion / Indicator	Assessment Findings	Compliance
2.2.5 For any conflict or dispute over the land, the extent of the disputed area shall be mapped out in a participatory way with involvement of affected parties (including neighbouring communities where applicable).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
In each case, open a case file starting with a statement regarding the boundaries under dispute outlining the issues and the scope.	Based on interview and document review upon sampled individual members, there was no land dispute recorded. It was also confirmed through interview with stakeholders.	
Requirement for Group Manager		
N/A	N/A	
2.2.6 To avoid escalation of conflict, there shall be no evidence that palm oil operations have instigated violence in maintaining peace and order in their current and planned operations.		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
N/A	N/A	
Criterion 2.3: Use of the land for oil palm does not diminish the legal rights, customary or user right of other users without their free, prior and informed consent.		
2.3.1 Maps of an appropriate scale showing the extent of recognized legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighbouring communities where applicable, and relevant authorities).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
<p>Carry out the participatory mapping with involved parties (including neighbouring communities where applicable, and relevant authorities).</p>	<p>Asosiasi Amanah has prepared a block map for each farmer member with scale 1:8,500. The map has describes the farmer group identity and farmer members. Detail of each farmer block map available in certificate map "Peta Bidang Tanah" – part of land ownership certificate appendix. The land measurement was done by officer from "Kantor Pertanahan Kabupaten Pelalawan", witnessed by surrounding land owner. During land ownership certificate issuance, have gone through 5 years complaint period.</p> <p>For example, land title/Sertipikat No.05.05.13.06.1.00225 under name Sutisna for 19,960m² dated 30 September 1999 the measurement conducted by "Petugas Kantor Pertanahan Kabupaten Pelalawan" and witnessed by neighboring landowners as per measurement minutes. Measurement minutes completed with map "Peta Bidang Tanah" scale 1:2,500 and location sketch.</p>	
<p>2.3.2 Copies of negotiated agreements detailing the process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and shall include:</p> <p>a) Evidence that a plan has been developed through consultation and discussion with all affected groups in the communities, and that information has been provided to all affected groups, including information on the steps that shall be taken to involve them in decision making;</p> <p>b) Evidence that the company has respected communities' decisions to give or withhold their consent to the operation at the time that this decision was taken;</p> <p>c) Evidence that the legal, economic, environmental and social implications for permitting operations on their land have been understood and accepted by affected communities, including the implications for the legal status of their land at the expiry of the company's title, concession or lease on the land.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Demonstrate that they have the right to use the land and or have customary rights over the land they farm.</p>	<p>At the time of the site visit, there is no land dispute in the Asosiasi Petani Sawit Swadaya Amanah member. It was confirmed through interview the smallholders and stakeholders.</p>	
<p>Requirement for Group Manager</p>		

Criterion / Indicator	Assessment Findings	Compliance
<p>Keep copies of negotiated agreements between individual members and affected stakeholders in appropriate languages.</p>	<p>At the time of the site visit, there is no land dispute in the Asosiasi Petani Sawit Swadaya Amanah member. It was confirmed through interview the smallholders and stakeholders. As explained under indicator 2.2.3, there has never been a report of land dispute between farmer member of Asosiasi Amanah and/or with other party. No land claim. Asosiasi Amanah has a mechanism for land conflict resolution as per "Mekanisme Komunikasi dan Konsultasi": complainants -> group manager -> involving third party (if not solved) -> decision.</p> <p>Inside the mechanism has regulated involvement of other interested parties in the spirit of dispute resolution.</p>	
<p>2.3.3 All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		
<p>For these processes appropriate local language will be used and negotiations conducted with appropriate representatives.</p>	<p>At the time of the site visit, there is no land dispute in the Asosiasi Petani Sawit Swadaya Amanah member. It was confirmed through interview the smallholders and stakeholders. Asosiasi Amanah has a mechanism for land conflict resolution as per "Mekanisme Komunikasi dan Konsultasi": complainants -> group manager -> involving third party (if not solved) -> decision. Available in Bahasa Indonesia.</p> <p>Inside the mechanism has regulated involvement of other interested parties in the spirit of dispute resolution.</p>	
<p>2.3.4 Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		

Criterion / Indicator	Assessment Findings	Compliance
For these processes appropriate local language will be used and negotiations conducted with appropriate representatives.	At the time of the site visit, there is no land dispute in the Asosiasi Petani Sawit Swadaya Amanah member. It was confirmed through interview the smallholders and stakeholders. Asosiasi Amanah has a mechanism for land conflict resolution as per "Mekanisme Komunikasi dan Konsultasi": complainants - > group manager -> involving third party (if not solved) -> decision. Available in Bahasa Indonesia. Inside the mechanism has regulated involvement of other interested parties in the spirit of dispute resolution.	

Criterion / Indicator	Assessment Findings	Compliance
Principle 3: Commitment to long-term economic and financial viability		
Criterion 3.1:		
There is an implemented management plan that aims to achieve long-term economic and financial viability.		
3.1.1 A business or management plan (minimum three years) shall be documented that includes, where appropriate, a business case for scheme smallholders.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		
This Criterion is not applicable to independent smallholders. See reference RSPO P&C 2013, under Criterion 3.1 Guidance. It is recommended for groups of smallholders to have a business plan for long-term economic viability of their operation, considering among others, cost of annual maintenance, replanting, potential expansion and long term sustainability of certification.	A business plan for the year 2017 - 2019 is available which incorporating the planned activity such as field operation, management resources & communication, smallholder technical support programme established and etc. The business plan available under "Estimasi Produksi dan Biaya 2017 – 2019" whereby explaining the estimated production, cost for fertilizer, cost for weeding, cost for pruning, cost of harvesting and cost for transportation. The group manager has also prepare the estimated revenue of its individual members.	
3.1.2 An annual replanting programme projected for a minimum of five years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review, shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		
N/A	N/A	

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		N/A
N/A	<p>The earliest replanting program comes in 2026. Group manager of Asosiasi Petani Sawit Swadaya Amanah has prepared a replanting plan, under "Draft Replanting" dated 1 January 2017. The replanting plan will related to seedling preparation, survey and block boundary construction, road and drainage planning.</p> <p>The work planned to be continues with felling, chipping and stacking.</p> <p>The work continued with ploughing and harrowing;</p> <p>Specific treatment for area with slope with individual platform, stop bund, planting leguminous cover plant, etc.</p>	

Criterion / Indicator	Assessment Findings	Compliance
Principle 4: Use of appropriate best practices by growers and millers		
Criterion 4.1:		
Operating procedures are appropriately documented, consistently implemented and monitored.		
4.1.1 Standard Operating Procedures (SOPs) for estates and mills are documented		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Group Manager develops appropriate SOPs for the group:</p> <ul style="list-style-type: none"> • Ensure through a set procedure any pre-existing SOPs for BMP by current members, are compliant & consistent with the group SOPs • Keep a register of members who have pre-existing non-group SOPs that are accepted as compliant and consistent with group SOPs. 	<p>Asosiasi Petani Sawit Swadaya Amanah is following the Agricultural Policy Manual untuk Petani Plasma” Doc.No.AA-PLASMA-PP-KS-01 dated 01/09/2011. This procedure prepared by partnering palm oil mill, PT. Inti Indosawit Subur.</p> <p>The procedure covers:</p> <ul style="list-style-type: none"> - Nursery, “Panduan Pelaksanaan Pembibitan AA-PLASMA-PP-KS-01”, explaining the nursery practices, certified seedling requirement, fertilizer application and pest and disease control, seedling selection. - Pest and disease control “Panduan Pelaksanaan Pengendalian Hama dan Penyakit AA-PLASMA-PP-KS-02”, explaining the early warning system through regular monitoring, type of pest and disease, analysis of survey result, control of pest and disease: physical/biological/chemical, for chemical control the dosage of chemical explained. - Manuring/Fertilizing, “Pemupukan AA-PLASMA-PP-KS-03”, explaining the type of fertilizer, quality tests, storage, application, fertilizer recommendation, nutrient deficiency. - Harvesting practice “Potong Buah (Panen) AA-PLASMA-PP-KS-04”, explaining the harvesting practice, criteria of harvesting, FFB quality, frond pruning, safety/PPE requirement. - Soil and water conservation, “Konservasi tanah dan Air No. 00/DOK/AMANAHAH/I/2013” explaining soil and water conservation technique such as: land cover crop planting, penyusunan pelepah letter U, tapak kuda, rorak dan teras konservasi, dll. - Pesticide handling and management “Pestisida dan pengelolaannya AA-SOP-OP-1100 series dated 19 May 2014” explaining the type of pesticide, type of active ingredient/chemical type and how its work, toxicity, pesticide usage instruction, emergency procedure to avoid toxic. - Land preparation and planting procedure was cover under “Persiapan lahan AA-SOP-OP-1100 Series dated 13 June 2004, explaining land clearing method and preparation, blocking design, land clearing operation and planting palm oil. <p>---</p>	

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Criterion / Indicator	Assessment Findings	Compliance
	<p>- Replanting mechanism was cover under "Draft Pelaksanaan Replanting Kebun Swadaya Amanah" which explain the operation of replanting begin from survey and boundary marking, stacking, road and drain design, road stacking, felling, chipping, ploughing, harrowing, terracing, planting.</p> <p>SOPs are place in Asosiasi Amanah Office and safely stored.</p> <p>SOPs has been communicated to member of Asosiasi Amanah through socialization and training. Evidence of socialization can be demonstrated and confirmed by members. Interview eith several member in the field during audit indicated that they aware and understood some of SOPs related to best management practice for palm oil plantation.</p> <p>Individual members: Individual member interview has been performed during audit. Members interviewed were understood concerning procedure of best management practise for palm oil mill such as : harvesting procedure, manuring procedure, soil and water conservation, and integrated pest management. However some of them are need to improve for understanding by ICS/Group manager.</p> <p>Observation: Based on interview with sampled individual members, some of them have minimum understanding on SOP related to fertilizer application, weed management and agrochemical management.</p>	
<p>4.1.2 A mechanism to check consistent implementation of procedures shall be in place.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager has regular checks using procedures set at group level for SOP implementation.</p>	<p>Procedure and mechanism has been communicated to individual members through:</p> <ul style="list-style-type: none"> - Training on integrated pest management, dated 15 April 2016; - Training on the safe use of pesticide for sprayer was provided to sprayer on 30 September 2016; - Training on harvesting and FFB quality dated 12 February 2016; - Training on HCV dated 10 March 2016; - Training on water and soil conservation, fertilizer application and leaf sampling unit, dated 20 January 2016; - Training on health and safety dated 24 February 2016; <p>Internal audit had been carried out on quarterly basis. Record seen: Internal audit April 2017:</p> <ul style="list-style-type: none"> - Data Internal Inspeksi Katijo No.058/312 dated 17th April 2017; Data Internal Inspeksi Nyurianto/Sugiyoto No.391/322 dated 15th April 2017 audited by Dadang; Data Internal Inspeksi Misinem No.393/322 dated 15th April 2017 audited by Dadang; Data Internal Inspeksi Suryani No.460/325 dated 15th April 2017 audited by Saeroji; Data Internal Inspeksi Widodo No.295/319 dated 17th April 2017 audited by Paino; Data Internal Inspeksi Yatno Mardianto No.324/320 dated 17th April 2017 audited by Ahmad Soleh; - Data Internal Inspeksi Kasali No.484/326 dated 11th December 2016 audited by Rusman Effendi; Data Internal Inspeksi Solikatun No.075/312 dated 11th December 2016 audited by Dadang; Data Internal Inspeksi Riyadi No.468/325 dated 11th December 2016 audited by Sukirto; <p>This audit was assessed on different aspects:</p> <ul style="list-style-type: none"> - Good agriculture practices including upkeep regime; - Pest and disease; - Environment and biodiversity; - Implementation of health and safety policy; 	
<p>4.1.3 Records of monitoring and any actions taken shall be maintained and available, as appropriate.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>	<p>Complied</p>	

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Criterion / Indicator	Assessment Findings	Compliance
<p>Responsibility of individual members to keep record of their own SOP implementation as per defined in group SOPs.</p>	<p>Group manager designed records for individual member to be controlled at farmer group level/kelompok tani. A various documents demonstrate compliance to procedure: Surat Pendaftaran consist of baseline information such as land size, oil palm plantation hectarage, oil palm planting year, fertilizer input, herbicide/pesticide applied. Fertilizer application, harvesting round, FFB production are kept by kelompok tani/farmer group.</p> <p>All member interviewed were understood concerning procedure of best management practise for palm oil mill such as : harvesting procedure, manuring procedure, soil and water conservation, and integrated pest management. Training has been followed by member such as:</p> <ul style="list-style-type: none"> - Integrated pest management training dated 15 April 2016 - Pesticide usage and handling training dated 30 September 2016 	
<p>Requirement for Group Manager</p>		

Criterion / Indicator	Assessment Findings	Compliance
Group Manager oversees the individual record keeping by members	<p>Group manager designed records for individual member to be controlled at farmer group level/kelompok tani.</p> <p>Asosiasi Petani Sawit Swadaya Amanah has a policy to conduct the internal inspection, under "Buku Pedoman Internal Control Sistem (ICS) Petani Kelapa Sawit Swadaya 2014". Asosiasi Amanah has the internal control system structure consist of Group Manager, Internal Approval Commission, Instruktur and Registration, Internal Assessor, FFB Marketing and Procurement. Internal operation checking was performed by internal Assessor to ensure compliance with SOPs. ICS structure was involved all head of KT (Farmer group).</p> <p>Samples verified during audit: "Ceklist Pemeriksaan Internal", farmer group 313, farmer member Suryani/82. Internal assessors: Suparjo. Date of inspection 16/04/2017. Information check during inspection: criteria 4.2 type and volume of fertilizer supplied, productivity in past 3 years; criteria 4.3 presence of terrace/drainage/cover crop; criteria 4.4 soil and water conservation training, frond stacking, no blanket spraying; criteria 4.5 pest and disease census record, farmer's knowledge on integrated pest management; criteria 4.6 use of listed agrochemical, trained pesticide applicator, storage and disposal of pesticide contained, PPE use, record of chemical used – by team TUS; criteria 4.7 health and safety guidance, training on health and safety, knowledge on emergency procedure; etc.</p>	
4.1.4 The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB).		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	The individual member and group manager does not have a mill. All individual member's farm location have been identified, sales forms and tracing system have been prepared by group manager. N/A	
Requirement for Group Manager		
Group Manager is responsible to identify where all individual member farms are located as a means to identify FFB origin.	The individual member and group manager does not have a mill. All individual member's farm location have been identified, sales forms and tracing system have been prepared by group manager. N/A	

Criterion / Indicator	Assessment Findings	Compliance
<p>Criterion 4.2: Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield</p>		
<p>4.2.1 There shall be evidence that good agriculture practices, as contained in Standard Operating Procedures (SOPs), are followed to manage soil fertility to a level that ensures optimal and sustained yield, where possible.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		
<p>Group Manager to maintain regular records of soil fertility practices by all members as per SOPs.</p>	<p>Procedure for fertilizer application under Doc.No.Pemupukan AA-PLASMA-PP-KS- 03, explaining the type of fertilizer, quality tests, storage, application – time of application, technique, fertilizer placing, dosage, fertilizer recommendation, nutrient deficiency.</p> <p>The procedure is complete yet simple to be understood by farmer members. Fertilizer recommendation were set by PT Inti Indosawit Subur as a companion of Asosiasi Amanah. Fertilizer recommendation were based on leaf sampling unit result and soil sampling result. Fertilizer recommendation and programme for Asosiasi Amanah can be demonstrated such as:</p> <ul style="list-style-type: none"> - ZA dosage 2,5 kg/plant/year with rotation 2 times a year; - RP dosage 1 kg – 1,5 kg/plant/year with rotation 1 times a year; - MOP dosage 1,5 – 3,75 kg/plant/year with rotation 2 times a year; - HGFB dosage 0,1 kg/plant/year with rotation 1 times a year; - Dolomite dosage 2,5 kg/plant/year with rotation 1 times a year; <p>Head of farmer group and ICS were the person in charge who responsible for Manuring inspection.</p> <p>Record of Manuring program for 2016 and 2017 can be demonstrated. Manuring programme 2016 indicated that the manuring application was met with the recommendation and applied 100%. Manuring programme 2017 was in progress to applied.</p>	
<p>4.2.2 Records of fertiliser inputs shall be maintained.</p>		
Requirement for Individual Member with up to 50ha of plantation size		NC Minor

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Criterion / Indicator	Assessment Findings	Compliance
Responsibility of individual members to maintain fertilizer records.	<p>Manuring realization in 2017 has been applied 100% for Dolomite as a recommendation, for another type of fertilizer will be applied in May and June 2017.</p> <p>In addition record of Fertilizer application in 2016 Semester I and II were available.</p> <p>NC Minor: Individual members of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate the maintenance of fertilizer record.</p>	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance																																																																																																																																																																																																																						
Group Manager to provide template to record fertilizer usage and mill by-products usage.	<p>Group Manager Asosiasi Petani Sawit Swadaya Amanah is able to demonstrate fertilizer recommendation and application 2017. Fertilizer application planned for 2017 has been progressed such as for <i>Dolomite</i> has been applied 100% - following fertilizer recommendation. Another type of fertilizer will be applied in May and June 2017.</p> <table border="1"> <thead> <tr> <th rowspan="2">Farmer Group</th> <th colspan="5">Manuring Application for each Type of Fertilizer (Kg)</th> </tr> <tr> <th>ZA</th> <th>RP</th> <th>MOP</th> <th>HGFB</th> <th>Dolomite</th> </tr> </thead> <tbody> <tr><td>KT 311</td><td>35,195</td><td>7,039</td><td>28,877</td><td>704</td><td>17,59</td></tr> <tr><td>KT 312</td><td>80,954</td><td>17,043</td><td>59,651</td><td>1,704</td><td></td></tr> <tr><td>KT 313</td><td>54,450</td><td>16,335</td><td>38,115</td><td>1,089</td><td></td></tr> <tr><td>KT 314</td><td>51,815</td><td>15,545</td><td>36,271</td><td>1,036</td><td></td></tr> <tr><td>KT 315</td><td>57,495</td><td>17,249</td><td>40,247</td><td>1,150</td><td></td></tr> <tr><td>KT 316</td><td>55,627</td><td>11,711</td><td>38,061</td><td>1,171</td><td></td></tr> <tr><td>KT 317</td><td>44,365</td><td>8,873</td><td>31,056</td><td>665</td><td>17,74</td></tr> <tr><td>KT 318</td><td>38,010</td><td>11,403</td><td>26,607</td><td>570</td><td>15,20</td></tr> <tr><td>KT 319</td><td>48,360</td><td>10,181</td><td>35,634</td><td>1,018</td><td>25,45</td></tr> <tr><td>KT 320</td><td>42,047</td><td>13,278</td><td>30,982</td><td>664</td><td>17,70</td></tr> <tr><td>KT 321</td><td>48,270</td><td>15,243</td><td>35,567</td><td>1,016</td><td>20,32</td></tr> <tr><td>KT 322</td><td>28,560</td><td>8,568</td><td>19,992</td><td>571</td><td></td></tr> <tr><td>KT 323</td><td>32,805</td><td>6,561</td><td>22,964</td><td>656</td><td>13,12</td></tr> <tr><td>KT 324</td><td>28,970</td><td>5,794</td><td>20,279</td><td>579</td><td></td></tr> <tr><td>KT 325</td><td>35,439</td><td>11,198</td><td>26,128</td><td>747</td><td>14,39</td></tr> <tr><td>KT 326</td><td>15,001</td><td>3,158</td><td>11,053</td><td>237</td><td></td></tr> <tr><td>KT 327</td><td>12,670</td><td>2,534</td><td>8,869</td><td>253</td><td></td></tr> <tr> <td></td> <td>808,321</td> <td>181,712</td> <td>576,775</td> <td>13,382</td> <td>142,08</td> </tr> </tbody> </table> <p>In addition record of Fertilizer application in 2016 Semester I and II were available. Below are the detail of fertilizer application record for 2016:</p> <table border="1"> <thead> <tr> <th>Farmer Group</th> <th>ZA</th> <th>RP</th> <th>MOP</th> <th>Kieserite</th> </tr> </thead> <tbody> <tr><td>KT 311</td><td>29,916</td><td>7,039</td><td>21,117</td><td>7,039</td></tr> <tr><td>KT 312</td><td>68,172</td><td>17,043</td><td>46,868</td><td>17,043</td></tr> <tr><td>KT 313</td><td>49,005</td><td>10,890</td><td>35,393</td><td></td></tr> <tr><td>KT 314</td><td>46,634</td><td>10,363</td><td>31,089</td><td></td></tr> <tr><td>KT 315</td><td>51,746</td><td>11,499</td><td>37,372</td><td></td></tr> <tr><td>KT 316</td><td>52,700</td><td>11,711</td><td>38,061</td><td></td></tr> <tr><td>KT 317</td><td>37,710</td><td>13,310</td><td>26,619</td><td>8,873</td></tr> <tr><td>KT 318</td><td>34,209</td><td>7,602</td><td>24,707</td><td>11,403</td></tr> <tr><td>KT 319</td><td>45,815</td><td>10,181</td><td>33,088</td><td></td></tr> <tr><td>KT 320</td><td>39,834</td><td>8,852</td><td>28,769</td><td></td></tr> <tr><td>KT 321</td><td>43,189</td><td>15,243</td><td>30,486</td><td></td></tr> <tr><td>KT 322</td><td>22,276</td><td>5,712</td><td>17,136</td><td></td></tr> <tr><td>KT 323</td><td>26,244</td><td>6,561</td><td>19,683</td><td></td></tr> <tr><td>KT 324</td><td>26,073</td><td>5,794</td><td>17,382</td><td></td></tr> <tr><td>KT 325</td><td>33,593</td><td>7,465</td><td>24,261</td><td></td></tr> <tr><td>KT 326</td><td>14,211</td><td>4,737</td><td>10,264</td><td>3,158</td></tr> <tr><td>KT 327</td><td>11,403</td><td>3,801</td><td>8,236</td><td></td></tr> <tr> <td></td> <td>634,727</td> <td>157,803</td> <td>450,529</td> <td>47,516</td> </tr> </tbody> </table>	Farmer Group	Manuring Application for each Type of Fertilizer (Kg)					ZA	RP	MOP	HGFB	Dolomite	KT 311	35,195	7,039	28,877	704	17,59	KT 312	80,954	17,043	59,651	1,704		KT 313	54,450	16,335	38,115	1,089		KT 314	51,815	15,545	36,271	1,036		KT 315	57,495	17,249	40,247	1,150		KT 316	55,627	11,711	38,061	1,171		KT 317	44,365	8,873	31,056	665	17,74	KT 318	38,010	11,403	26,607	570	15,20	KT 319	48,360	10,181	35,634	1,018	25,45	KT 320	42,047	13,278	30,982	664	17,70	KT 321	48,270	15,243	35,567	1,016	20,32	KT 322	28,560	8,568	19,992	571		KT 323	32,805	6,561	22,964	656	13,12	KT 324	28,970	5,794	20,279	579		KT 325	35,439	11,198	26,128	747	14,39	KT 326	15,001	3,158	11,053	237		KT 327	12,670	2,534	8,869	253			808,321	181,712	576,775	13,382	142,08	Farmer Group	ZA	RP	MOP	Kieserite	KT 311	29,916	7,039	21,117	7,039	KT 312	68,172	17,043	46,868	17,043	KT 313	49,005	10,890	35,393		KT 314	46,634	10,363	31,089		KT 315	51,746	11,499	37,372		KT 316	52,700	11,711	38,061		KT 317	37,710	13,310	26,619	8,873	KT 318	34,209	7,602	24,707	11,403	KT 319	45,815	10,181	33,088		KT 320	39,834	8,852	28,769		KT 321	43,189	15,243	30,486		KT 322	22,276	5,712	17,136		KT 323	26,244	6,561	19,683		KT 324	26,073	5,794	17,382		KT 325	33,593	7,465	24,261		KT 326	14,211	4,737	10,264	3,158	KT 327	11,403	3,801	8,236			634,727	157,803	450,529	47,516	
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<p>4.2.3 There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status.</p>																																																																																																																																																																																																																								

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		
Group Manager conducts periodic tissue and soil sampling at minimum for a representative sample of group membership.	Group Manager Asosiasi Petani Sawit Swadaya Amanah was assisted by Research and Development Center PT. Nusa Pusaka Kencana Analytical and QC Laboratory, to conduct foliar analysis. The result from foliar analysis is being used as basis for fertilizer recommendation. Document seen: Ref.No.193/NT/R&D/OKT/L/15 based on leaf samples received on 21/09/2015 is for 13 leaf sampling units. Soil sampling analysis were performed each 5 years. Training for fertilizer application and foliar sample analysis has been performed by Asosiasi Amanah cooperated with PT. Inti Indosawit Subur, dated 20/01/2016 in Desa Trimulya Jaya, attended by 20 farmer members. The training explaining leaf sampling unit methodology, as well as fertilizer inputs.	
4.2.4 A nutrient recycling strategy shall be in place, and may include use of Empty Fruit Bunches (EFB), Palm Oil Mill Effluent (POME), and palm residues after replanting.		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
Group Manager oversees and ensures implementation of nutrient recycling for the group.	Not applicable as the smallholder did not apply any EFB or POME from the mill.	
Criterion 4.3: Practices minimise and control erosion and degradation of soils.		
4.3.1 There shall be evidence that good agriculture practices, as contained in Standard Operating Procedures (SOPs), are followed to manage soil fertility to a level that ensures optimal and sustained yield, where possible.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Where available individual members shall provide soil maps of their own farm to the Group Manager.	Map of soil type were provided by each head of Kelompok Tani/farmer group. During field audit and interview they can be demonstrated the map of soil type in their oil palm block/plot.	

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
<p>Group Manager shall compile and maintain an overall soil map for the group.</p>	<p>Group Manager Asosiasi Petani Sawit Swadaya Amanah was assisted by Research and Development PT. Inti Indosawit Subur to conduct the semi-detailed soil survey in July 2015.</p> <p>The result of semi-detail soil survey shows the soil series is evenly spread between <i>Typic Haplosaprist</i> (organic material perfectly decomposed – like soil/saprist, spreading in flat topography, brown colour, poor drainage); <i>Humic Endoaquepts</i> (non-sticky, non-plastic, organic material entirely decomposed); <i>Typic Endoaquepts</i> (texture sandy clay, sticky and plastic, poor drainage); <i>Typic Placaquods</i> (texture sandy with flat topography, non-sticky, non-plastic, poor drainage, available in depth 60-80 cm); <i>Typic Dystrudepts</i> (topography flat-undulating, loam clay with sand, good soil with natural fertility);</p> <p>Map of soil type is available, with scale 1:20,000. The soil type that requires attention is the thin layer of peat soil – <i>Typic Haplosaprist</i>.</p>	
<p>4.3.2 A management strategy shall be in place for plantings on slopes above a certain limit (this needs to be soil and climate specific).</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		
<p>Group Manager develops a policy and procedure for planting on slopes.</p>	<p>Based on topography map and field visit, the plantation area of Asosiasi Amanah was flat area. There was no plantation with steep slope.</p> <p>Based on field visit to sampled individual members of Asosiasi Amanah, the plantation area was flat area. There was no plantation with steep slope.</p> <p>As an effort to minimize surface run-off, farmer members consistently implementing frond stacking, maintain beneficial plant as ground cover, avoid blanket spraying. Based on field visit to sampled individual members of Asosiasi Amanah, the effort to minimize soil erosion was implemented.</p>	
<p>4.3.3 A road maintenance programme shall be in place.</p>		

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Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		
<p>A road maintenance programme is maintained at Group level, this includes an approval process for any new roads being developed by individual members</p>	<p>Road maintenance program is in place and set by Asosiasi Amanah at Kelompok Tani/farmer group level. The budgeted cost for road maintenance was Rp.60,000,000 per annum. Road maintenance realization in based on the road condition. Plan and ralisation of road maintenance presented in "Rencana dan realisasi perawatan jalan". During 2017 total realisation of road maintenance were : April 475 m, February 535 m, March 200 m, April 1,250 m. Road maintenance are consist of road stoning and service.</p> <p>In addition, each Kelompok Tani/farmer group has recorded the road maintenance programme. For example: in Kelompok Tani 325, budget for road maintenance and service is Rp.150,000/plot or per 2 ha. Budget realization for road maintenance and service in April 2017 was Rp.8,800,000. Work item consist of bridge service and maintenance, road stoning and soil fill.</p>	
<p>4.3.4 Subsidence of peat soils shall be minimised and monitored. A documented water and ground cover management programme shall be in place.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall record water levels at regular basis as specified within group SOP	Water level and subsidence monitoring record can be demonstrated and stored by head of Kelompok Tani/farmer group.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Group manage to have monitoring procedure for peat subsidence and water management for plantings on peat where relevant</p>	<p>The result of semi-detail soil survey shows the soil series is evenly spread between <i>Typic Haplosaprist</i> (organic material perfectly decomposed – like soil/saprist, spreading in flat topography, brown colour, poor drainage);</p> <p>Water management plan as per “Konservasi Tanah dan Air”. Water gate construction has been made by Asosiasi Amanah to maintain water level especially in peat soil area. Water level were maintained between 40 – 60 cm under peat soil surface. Water management in peat soil was performed in order to maintained and to avoid soil subsidence.</p> <p>Water level and subsidence were monitored each weeks by head of KT. Record of monitoring can be demonstrated, for example: in KT 311, 312, 313, 314, 316, 325. Latest monitoring conducted in April 2017, monitoring result indicated water level were 60 cm.</p> <p>Record of training on soil and water conservation, dated 20/01/2016 in SP3A Desa Trimulya Jaya, attended by 20 farmer members. The training explains soil management, cover crop, fertilizer recommendation, frond placing, application of silt pit, application of drainage for low land, input of organic material.</p>	
<p>4.3.5 Drainability assessments shall be required prior to replanting on peat to determine the long-term viability of the necessary drainage for oil palm growing.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		

Criterion / Indicator	Assessment Findings	Compliance
<p>Group Manager develops regular drainability assessment schedule for the group and implements this</p>	<p>The result of semi-detail soil survey shows the soil series is evenly spread between <i>Typic Haplosaprist</i> (organic material perfectly decomposed – like soil/saprist, spreading in flat topography, brown colour, poor drainage); As recommended, the replanting plan for the Group is available. Replanting plan shows the soonest replanting planned for 2026-2029. Replanting plan in 2026 will applied for farmer group 319 (62 Ha), farmer group 320 (63 Ha), farmer group 322 (36 Ha), farmer group 323 (50 ha), farmer group 324 (41 Ha) – totaling 252 Ha. Replanting plan in 2027 will applied for farmer group 312 (123 Ha), farmer group 315 (84 Ha), farmer group 316 (81 Ha), farmer group 326 (19 ha) – totaling 307 Ha.</p> <p>Currently Asosiasi Amanah collecting database from water level monitoring and soil subsidence pole monitoring.</p>	
<p>4.3.6 A management strategy shall be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils).</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		
<p>There is a group level policy and plan for managing fragile and problem soils occurring in the group. The Group Manager shall ensure implementation by individual group members.</p>	<p>The result of semi-detail soil survey shows the soil series is evenly spread between <i>Typic Haplosaprist</i> (organic material perfectly decomposed – like soil/saprist, spreading in flat topography, brown colour, poor drainage); For peat soil, Asosiasi Amanah implementing water gate and perform monitoring on water level and soil subsidence pole. Water level were maintained between 40 – 60 cm under peat soil surface. Water management in peat soil was performed in order to maintained and to avoid soil subsidence. Water level and subsidence were monitored each weeks by head of KT. Record of monitoring can be demonstrated, for example: in KT 311, 312, 313, 314, 316, 325. Latest monitoring conducted in April 2017, monitoring result indicated water level were 60 cm.</p> <p>For sandy soil, Asosiasi Amanah consistently implementing frond stacking, avoid blanket spraying, maintain ground cover.</p>	

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Criterion / Indicator	Assessment Findings	Compliance
Criterion 4.4: Practices maintain the quality and availability of surface and ground water.		
4.4.1 An implemented water management plan shall be in place.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
The responsibility of Group Manager	<p>Water management plan as per "Konservasi Tanah dan Air". Water management has been performed by Asosiasi Amanah such as:</p> <ul style="list-style-type: none"> - Water gate construction has been made by Asosiasi Amanah to maintain water level especially in peat soil area. 17 water gate has been made by Asosiasi Amanah. Water level were maintained between 40 – 60 cm under peat soil surface. Water management in peat soil was performed in order to maintained and to avoid soil subsidence; - Water level and subsidence monitoring. It were monitored each weeks by head of KT. Record of monitoring can be demonstrated, for example: in KT 311, 312, 313, 314, 316, 325. Latest monitoring conducted in April 2017, monitoring result indicated water level were 60 cm; - Training on soil and water conservation for member, dated 20/01/2016 in SP3A Desa Trimulya Jaya, attended by 20 farmer members. dated 15 February 2017 attended by 26 farmer members. The training explains soil management, cover crop, fertilizer recommendation, frond placing, application of silt pit, application of drainage for low land, input of organic material; - Planting water retention and erosion plants in riparian zone such as Bamboo, Bacaranga, etc. Asosiasi Amanah has planed to planting some of plants in 2017. - Maintain and conserve the natural plants in riparian area; - Provide the policy to banned the pesticide spraying in riparian zone to avoid contamination of the water; <p>Member has been trained by Asosiasi Amanah concerning soil and water conservation. Attendant list of training were available and during interview indicated that farmer member are aware to conserve the water and understood to manage the water in and around of they kavling/block by avoid the pesticide/herbicide spraying in riparian area, Planting water retention and erosion plants in riparian zone such as Bamboo, Bacaranga, etc, maintain and conserve the natural plants in riparian area.</p>	
Group Manager shall have Map of all water ways and water bodies and have procedures as part of water management plan	<p>Group Manager Asosiasi Petani Sawit Swadaya Amanah was assisted by Research and Development PT. Inti Indosawit Subur to conduct the semi-detailed soil survey in July 2015. The map was also indicating river and waterways in the operation area of Asosiasi Petani Sawit Swadaya Amanah.</p>	

Criterion / Indicator	Assessment Findings	Compliance
<p>4.4.2 Protection of water courses and wetlands, including maintaining and restoring appropriate riparian and other buffer zones (refer to national best practice and national guidelines) shall be demonstrated.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Where applicable individual members shall demonstrate maintaining and restoring riparian and other buffer zones as specified within group SOPs.	Member has been trained by Asosiasi Amanah concerning soil and water conservation. Attendant list of training were available and during interview indicated that farmer member are aware to conserve the water and understood to manage the water in and around of they kavling/block by avoid the pesticide/herbicide spraying in riparian area, Planting water retention and erosion plants in riparian zone such as <i>Bamboo</i> , <i>Macaranga</i> , etc, maintain and conserve the natural plants in riparian area.	
Requirement for Group Manager		
The responsibility of Group Manager	Asosiasi Amanah has been made the mechanism of water management and riparian area, such as: <ul style="list-style-type: none"> - Maintain and upkeep the restoration plants in riparian area; - Avoid and Banned the waste disposal in to the waterways or river; - Avoid and banned application of pesticide spraying and chemical usage in riparian zone; - Avoid and banned the activity which destructed in riparian zone; - Place the oil palm frond in the form of letter U; - Clean and maintain waterways and river from the palm frond and wood waste to facilitate the flow of water; - Avoid and banned the sand exploitation in the river; - Maintained boundary marker of riparian zone. 	
<p>4.4.3 Appropriate treatment of mill effluent to required levels and regular monitoring of discharge quality, especially Biochemical Oxygen Demand (BOD), shall be in compliance with national regulations (Criteria 2.1 and 5.6).</p>		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
N/A	N/A	

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Criterion / Indicator	Assessment Findings	Compliance
4.4.4 Mill water use per tonne of Fresh Fruit Bunches (FFB) (see Criterion 5.6) shall be monitored.		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
N/A	N/A	
Criterion 4.5: Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.		
4.5.1 Implementation of Integrated Pest Management (IPM) plans shall be monitored.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>The responsibility of Group Manager. Have a written procedure on IPM.</p>	<p>Group manager monitors the pest and diseases through census of bagworm, rat and ganoderma under "Laporan Hasil Pengamatan dan Pengendalian Hama dan Penyakit". The Census conducted on monthly basis.</p> <p>Individual member is provide record of "Sensus Hama dan Penyakit Tanaman" period January – April 2017. The form of pest census of rat, <i>tirathaba</i>, <i>ganoderma</i>, white ant, etc. Field inspection confirmed there is no pest attack exceeds the allowable threshold.</p> <p>Record of "Sensus Hama Daun" monitors the leaf eater pest on monthly basis. Record shows monitoring performed on Januari – April 2017 result was no leaf eater pest attack.</p> <p>Record of "Sensus Tikus" monitors the rats attack on monthly basis. Monitoring result on period January – April 2017 shows attack of rats by 1 – 3% was below allowable threshold of 10%.</p> <p>Census of oil palm pest and disease infestation period January – April 2017 showed: Pest census to farmer group 312 on 27 April 2017 shows no attack of bagworm/caterpillar. Low rat attack, no attack on <i>Tirathaba</i> and termite, no infestation of <i>Ganoderma</i>. Rat attack level 1 – 3 %.</p> <p>Pest census to farmer group 313 on 27 April 2017 shows no attack of bagworm/caterpillar. Low rat attack 1 – 4%, no attack on <i>Tirathaba</i> and termite, no infestation of <i>Ganoderma</i>.</p> <p>Asosiasi Amanah through Head of Kelompok Tani/farmer group has been made Barn owl box to control rat damage. Each Kelompok Tani/farmer group was placed 2 unit of Barn owl Boxes. For example in KT 313 there were 4 Barn owl box install and all box was active. During field visit indicated that barn owl box was effective to control the rat attack. In addition each Kelompok Tani/farmer group has policy to conserve <i>Cobra</i> snake as a rat predator to control rat damage. Barn owl box was monitored twice a year. Total barn owl box installed was 38 unit.</p> <p><i>Turnera subulata</i> (Bunga Pukul 8) was planted on both side of main road by Asosiasi Amanah to attract natural predator of leaf eater pest/caterpillar. Total <i>Turnera subulata</i> planted in 2016 was 500 plants and in 2017 was 300 plants.</p> <p>---</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>Individual member of Asosiasi Amanah during field visit was aware and understand concerning kind of palm oil pest and how to control the pest. They explain that barn owl box and Cobra snake conserve was performed in order to control rat damage. They also plating "Bunga pukul 8" (<i>Turnera subulata</i>) as a nest of natural predator for leaf eater pest/caterpillar. Farmer member has been trained related Integrated Pest Management.</p>	
<p>4.5.2 Training of those involved in IPM implementation shall be demonstrated.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Individual members must attend training.</p>	<p>Individual member of Asosiasi Amanah during field visit, in general was aware and understand concerning types of palm oil pest and how to control the pest. They explain that barn owl box and Cobra snake conserve was performed in order to control rat damage. They also plating "Bunga pukul 8" (<i>Turnera subulata</i>) as a nest of natural predator for leaf eater pest/caterpillar. Farmer member has been trained related Integrated Pest Management.</p> <p>Observation: Group manager Asosiasi Petani Sawit Swadaya Amanah has a set of SOP for oil palm plantation best management practice including Integrated Pest Management. The group manager has communicated the SOP on several occassions - records of training are maintained. Based on interview with sampled individual members, they have minimum understanding on SOP related to and admitted they have never attended training on Integrated Pest Management.</p>	
<p>Requirement for Group Manager</p>		
<p>Group Manager to provide IPM training.</p>	<p>Training on integrated pest management is evident. "Pelatihan Pengendalian Hama Terpadu Manajemen Pembina Plasma dan Swadaya Bersama Asosiasi dan Kelompok Tani PT. Inti Indosawit Subur Ukui", dated 15 April 2016 attended by 20 farmer group representatives.</p>	
<p>Criterion 4.6: Pesticides are used in ways that do not endanger health or the environment</p>		

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Criterion / Indicator	Assessment Findings	Compliance
<p>4.6.1 Justification of all pesticides used shall be demonstrated. The use of selective products that are specific to the target pest, weed or disease and which have minimal effect on non-target species shall be used where available.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
<p>Individual members shall be able to demonstrate knowledge of pest & applicable chemical use.</p>	<p>Asosiasi Swadaya Amanah listing all the agrochemical used in smallholder group. All agrochemical used listed under "Bukti Penggunaan Agrokimia Terdaftar" (Record of Registered Agrochemical used) referred to Agriculture Ministry Office Book "Buku Pestisida Terbatas". The guidance book indicated the primary target species (weed/pest/disease) for each pesticide. Visit to agrochemical storage and crosscheck with the list, all agrochemical stored holds valid registration license.</p> <p>NC Major: Individual members of Asosiasi Petani Sawit Swadaya Amanah No.171, 358 cannot demonstrate knowledge of pest and weed as target species and the applicable chemical use.</p> <p>Corrective action: Asosiasi Petani Sawit Swadaya Amanah planned to conduct dissemination to the ICS and followed up with dissemination to individual farmers, related to group manager policy on pest and disease management and weed control. Group manager Asosiasi Petani Sawit Swadaya Amanah has provided note book to individual farmers records the pest and disease management and weed control. The dissemination related to group manager's policy on pest and disease management, and weed control carried out on 17 June 2017. Attendance list recorded. ICS has conducted internal inspection to verify basic understanding on pest and disease management, as well as weed control. Internal inspection has been carried out between 18 – 19 June 2017. The internal inspection result by ICS team shows the basic individual farmer's understanding has been improved. Individual farmers were able to explains the pest and disease management, as well as weed control.</p> <p>Audit team has reviewed the record of dissemination to individual farmers dated 17 June 2017. Audit team also reviewed dissemination record provided for individual members, in form of note book. Audit team has reviewed the internal inspection record for individual farmer sampled, No.171 and 358, as well as the internal inspection conclusion. Audit team has conducted interview with sampled farmers No.358 and 477; and additional verification to farmer No.149 and 460. The interview concluded that individual farmers were able to explains agrochemical regime used by spraying team, the use of selective chemical and non-banket spraying policy.</p> <p>NC closed on 11 July 2017.</p>	

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
Group Manager to develop manual for pest & chemical use and relevant training.	<p>Asosiasi Swadaya Amanah listing all the agrochemical used in smallholder group. All agrochemical used listed under "Bukti Pesticida Terdaftar" (Record of Registered Agrochemical used) referred to Agriculture Ministry office Book "Buku Pesticida Terbatas". The guidance book indicated the primary target species (weed/pest/disease) for each pesticide. Below are the type of pesticide which is used by Asosiasi Amanah:</p> <ul style="list-style-type: none"> - Lava 276 SL (Paraquat 200 g/l) license register No. RI.01030120134595, valid until s.d 29 April 2018. Target species for this herbicide are broadleaf weed and hard-trained, saplings/wooden weeds. - Garlon 670 EC (Triklampir 670 g/l) license register No. RI.010301984695 valid until s.d 25 September 2018. Target species for this herbicide are Weeds are broad-leaved and narrow-leaved weeds and soft-trunked - Typhosat (Glifosat 485 g/l) license register No. RI.01030120145114 valid until 2 February 2018. Target species for this herbicide are Weeds are broad-leaved and narrow-leaved weeds and soft-trunked. 	
4.6.2 Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per ha and number of applications) shall be provided.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members keep records of pesticides use.	The individual member did not use and/or applied pesticide themselves. The spraying was performed by "Tim Unit Semprot" – spraying team.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance																								
Group Manager has oversight responsibility	<p>Group Manager Asosiasi Petani Sawit Swadaya Amanah was signing a cooperation with KUD Bakti and PT. Inti Indosawit Subur, for the work of weed control/herbicide spraying. In the work agreement, TUS team will be adequately trained, to perform weed control/spraying as per technical guidance from PT. Inti Indosawit Subur. The TUS team will also monitor the daily chemical use, application hectarage, frequency and recording the chemical use. This record was kept by Group Manager, in relation to chemical use and cost control.</p> <p>Record of Agrochemical used for the targeted weeds with appropriate dosage as per the recommendation on the label is recorded in "Rencana Kerja Harian" – Daily Work Order Book. Record shows date, type of herbicide used and quantity used. Below are the data usage of herbicide during period January – April 2017:</p> <table border="1"> <thead> <tr> <th>Active ingredients</th> <th>Volume usage</th> <th>Usage ratio per hectare</th> <th>Target</th> <th>LD50 (mouth) mg/kg BW</th> <th>LD50 (skin) mg/kg BW</th> </tr> </thead> <tbody> <tr> <td>Paraquat 200 g/l</td> <td>0</td> <td>0</td> <td>broadleaf weed and hard-trained, saplings/wooden weeds</td> <td>65</td> <td>240</td> </tr> <tr> <td>Triclophyr 670 g/l</td> <td>58</td> <td>0.043</td> <td>Weeds are broad-leaved and narrow-leaved weeds and soft-trunked</td> <td>5,600</td> <td>5,000</td> </tr> <tr> <td>Glifosat 485 g/l</td> <td>246</td> <td>0.132</td> <td>Weeds are broad-leaved and narrow-leaved weeds and soft-trunked</td> <td>N/A</td> <td>N/A</td> </tr> </tbody> </table>	Active ingredients	Volume usage	Usage ratio per hectare	Target	LD50 (mouth) mg/kg BW	LD50 (skin) mg/kg BW	Paraquat 200 g/l	0	0	broadleaf weed and hard-trained, saplings/wooden weeds	65	240	Triclophyr 670 g/l	58	0.043	Weeds are broad-leaved and narrow-leaved weeds and soft-trunked	5,600	5,000	Glifosat 485 g/l	246	0.132	Weeds are broad-leaved and narrow-leaved weeds and soft-trunked	N/A	N/A	
Active ingredients	Volume usage	Usage ratio per hectare	Target	LD50 (mouth) mg/kg BW	LD50 (skin) mg/kg BW																					
Paraquat 200 g/l	0	0	broadleaf weed and hard-trained, saplings/wooden weeds	65	240																					
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Glifosat 485 g/l	246	0.132	Weeds are broad-leaved and narrow-leaved weeds and soft-trunked	N/A	N/A																					
<p>4.6.3 Any use of pesticides shall be minimised as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations identified in national Best Practice guidelines.</p>																										
Requirement for Individual Member with up to 50ha of plantation size		Complied																								
N/A	N/A																									
Requirement for Group Manager																										

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Criterion / Indicator	Assessment Findings	Compliance
Responsibility of the Group Manager.	There is no use of prophylactic use of pesticide. Farmer members of Asosiasi Petani Sawit Swadaya Amanah only use herbicide as weed control.	
<p>4.6.4 Pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimised and eliminated as part of a plan, and shall only be used in exceptional circumstances.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		
Responsibility of the Group Manager.	<p>There was no WHO Class 1A or 1B used by organization. Asosiasi Petani Sawit Swadaya Amanah does use Class II agrochemical such as Paraquat. Paraquat is categorized under Limited Pesticide in Indonesia.</p> <p>The group manager and its members are aware of the requirement in RSPO related to use of Paraquat and considering alternative agrochemicals such as Glyphosate. The use of paraquat in 2017 decline compare to 2016, 2015 and 2014.</p>	
<p>4.6.5 Pesticides shall only be handled, used or applied by persons who have completed the necessary training and shall always be applied in accordance with the product label. Appropriate safety and application equipment shall be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7).</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members ensure that anyone handling chemicals has attended relevant training.	<p>Based on field visit to sampled individual members of Asosiasi Amanah, there was no individual members using/handling chemical themselves.</p> <p>Limited pesticide usage training has been performed on 30 September 2016 by Asosiasi Amanah cooperated with "Komisi Pengawasan pupuk dan pestisida provinsi Riau dan Pembina Plasma". Training followed by 75 attendant consist of 15 KUD and 1 Asosiasi Amanah. Training evident can be demonstrated such as attendance list and certificate.</p>	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
Group Manager has oversight responsibility	Asosiasi Amanah and its entire member were not performing herbicide spraying themselves. Asosiasi Amanah was using service from spraying team under cooperative KUD Bakti-KUD Bina Usaha Baru-KUD Karya Bersama. The spraying team, called "Tim Unit Semprot/TUS" has provided with training and under supervision from PT. Inti Indosawit Subur.	
4.6.6 Storage of all pesticides shall be according to recognised best practices. All pesticide containers shall be properly disposed of and not used for other purposes (see Criterion 5.3).		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members store pesticides consistent with Group SOPs.	Member of Asosiasi Amanah was not performed pesticide usage and handling by own self. All pesticide usage was handle by TUS (Team unit Semprot), a special team that handles the use of pesticides. Pesticide mixing was performed in mixing area near to pesticide storage by TUS team and pesticide was not applied in riparian area.	
Requirement for Group Manager		
Group Manager has oversight responsibility	<p>Field visit to agrochemical store confirmed: Agrochemical store located at the backyard of KUD Bakti's office. The agrochemical store is always locked. The storage has emergency showers; first aid kit, spill kits, and signage present. Work Instructions are available in the agrochemical store. MSDS is available in national language and legible. PPE is located inside the agrochemical store, consist of masker, face shield, apron, rubber glove, overall, rubber boot. The storekeeper, Mr. Zen Ahmadan has been trained on limited pesticide training, PPE usage and disposal of hazardous waste.</p> <p>The agrochemical storage is also keeping agrochemical materials from other smallholder member belong to KUD Bakti, KUD Bina Usaha Baru and KUD Karya Bersama.</p> <p>Asosiasi Amanah has an agreement with PT. Inti Indosawit Subur to hand over the empty agrochemical container, to be sent for licensed hazardous waste storage.</p> <p>Asosiasi Amanah has document of "Mekanisme Pengembalian Wadah Bekas Limbah B3" explained that the empty pesticide container kept in agrochemical store, triple rinsed, punctured before sent to PT. Inti Indosawit Subur for transported to licensed collector.</p>	

Criterion / Indicator	Assessment Findings	Compliance
4.6.7 Application of pesticides shall be by proven methods that minimise risk and impacts.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		
Responsibility of the Group Manager.	<p>The spraying of herbicide carried out by trained personnel/team. From interview, the personnel carrying the job do understand the health and safety as well as environmental aspects-impacts of herbicide usage. A specific health and safety check was conducted on regular basis to capture any signs of intoxication. Based on record review, the medical check result shows no signs of intoxication.</p> <p>Document seen:</p> <ul style="list-style-type: none"> - "Rekaman Keracunan" Period January – April 2017 indicated there was no sign of poisoning. - "MCU Team TUS 2017" latest performed in 11 February 2017, indicates 14 sprayers were tested and no sprayers showing signs of intoxication. The result shows no signs of intoxication. The test result was normal. Check lab consist of: hematology, urine, heart function (SGOT, SGPT), other chemical (CHE), kidney function (ureum, kreatinin) and spirometri. <p>Record seen: Daily Work Plan Spraying "Rencana Kerja Harian": dated 10 December 2016 farmer group 320, 63 Ha, program circle and path spraying, using Glyphosate 16 liters with 1,307 liters of water, using 20 man days.</p>	
4.6.8 Pesticides shall be applied aerially only where there is documented justification. Communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application.		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
Responsibility of the Group Manager.	Not applicable since no aerial spray was applied.	
4.6.9 Maintenance of employee and associated smallholder knowledge and skills on pesticide handling shall be demonstrated, including provision of appropriate information materials (see Criterion 4.8).		

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		
Responsibility of the Group Manager.	<p>Training for use of pesticide, dated 22 April 2015, attended by 22 individual members from the independent group. Training facilitator from Training Center Buatan PT. Inti Indosawit Subur and Manpower office Riau Province. Interview with one of the attendant, Mr. Suparjo understood the the type of chemical to be used – target weed, the handling, the hazard, the handling of empty container.</p> <p>Audit team interviewed the spraying team. The spraying team does understand that information on chemical available at the Material Safety Data Sheet (available in Bahasa Indonesia). Asosiasi Amanah has been provided MSDS for all type of pesticide use.</p>	
<p>4.6.10 Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated (see Criterion 5.3).</p>		
Requirement for Individual Member with up to 50ha of plantation size		NC Minor
Individual members must dispose of waste materials according to group SOPs.	<p>Member does aware for a mechanism of the disposal of agrochemical referred to document of "Mekanisme Pengembalian Wadah Bekas Limbah B3". They can explain that all ex chemical container were stored in temporary storage in KUD Bakti/Asosiasi Amanah and sent to licensed hazardous waste storage in PT Inti Indosawit Subur. Ex inner plastic for fertilizer pack were triple rinse and store in the temporary storage and sent to licensed hazardous waste storage in PT. Inti Indosawit Subur.</p> <p>NC Minor: Individual members of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate SOP related to management of agrochemicals disposal has been explained and understood. Individual member No.166, 202, 216, 358 cannot explains the Group Procedure on the management of empty chemical container disposal. Individual member No.171 stated the management for empty chemical container was to be burned down or buried.</p>	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
Group Manager has oversight responsibility	<p>The disposal of agrochemical referred to document of "Mekanisme Pengembalian Wadah Bekas Limbah B3" and MSDS. Asosiasi Amanah has an agreement with PT. Inti Indosawit Subur to hand over the empty agrochemical container, to be sent for licensed hazardous waste storage.</p> <p>Record of disposal: Berita Acara Serah-Terima Limbah B3 from storage KUD Bakti to hazardous waste storage PT Inti Indosawit Subur – Ukui: 4 empty containers paraquat (5 liters container); 5 empty containers glyphosate (20 liters container); 2 empty containers glyphosate (5 liters container); 10 empty containers triclophyr (1 liter container) – dated 24 December 2016.</p> <p>Balance of hazardous waste transferred to PT. Inti Indosawit Subur – Ukui were evident.</p>	
<p>4.6.11 Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		
Group Managers to monitor occurrence of illnesses and health conditions of members and their workers that are handling agrochemicals, to identify needs for medical check-up.	<p>Asosiasi Petani Sawit Swadaya Amanah is in cooperation with neighbor scheme smallholder organisation i.e. KUD Bakti, KUD Karya Bersama and KUD Bina Usaha Baru to provide medical check up on 6-monthly basis. Interview with a number of female sprayers, Mrs. Kunik, Mrs.Siti Masruroh, Mrs. Sri and Mrs. Kiki have undergone medical checkup on 14 February 2017. All interviewe is fit.</p> <p>The latest medical check up conducted on 14 February 2017 for 14 sprayers, store keeper and supervisor.</p>	
<p>4.6.12 No work with pesticides shall be undertaken by pregnant or breast-feeding women.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members ensure no pregnant or breastfeeding women are handling pesticides.	Interview with a number of female sprayers, Mrs. Kunik, Mrs.Siti Masruroh, Mrs. Sri and Mrs. Kiki revealed that no pregnant and/or breastfeeding female worker is allowed to work with agrochemical.	
Requirement for Group Manager		

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Group Manager has oversight responsibility.	<p>Interview with a number of female sprayers, Mrs. Kunik, Mrs.Siti Masruroh, Mrs. Sri and Mrs. Kiki revealed that no pregnant and/or breastfeeding female worker is allowed to work with agrochemical.</p> <p>There is also monthly pregnancy test at local Clinic "Puskesmas". Result of "Tes Kehamilan Team Unit Semprot 2017" indicated there was no pregnant or breastfeeding female.</p> <p>Record seen: "Hasil Pemeriksaan Berkala Test Kehamilan Pekerja dengan Kontak Kimia (Tim Unit Semprot)" for 13 workers: Mrs. Jumiah, Mrs. Kiki, Mrs. Kunik, Mrs. Marminah, Mrs. Yuni, Mrs. Partini, Mrs. Leni, Mrs. Siti, Mrs. Siti Masruroh, Mrs. Sri, Mrs. Yaroah, Mrs. Suniti and Mrs. Wasini. Record from January to April 2017 shows pregnancy test is negative/no pregnant female workers.</p>	
<p>Criterion 4.7: An occupational health and safety plan is documented, effectively communicated and implemented. The health and safety plan shall cover the following:</p>		
<p>4.7.1 A health and safety policy shall be in place. A health and safety plan covering all activities shall be documented and implemented, and its effectiveness monitored.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Members shall provide input to the development of the OHS policy and management plan	Individual members provides input such as risk/danger in their farm site to head of kelompok tani/farmer group. The head of kelompok tani/farmer group then deliver the suggestion to group manager.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Group Manager shall conduct a risk assessment in collaboration with members.</p>	<p>Asosiasi Petani Sawit Swadaya Amanah has established Health and safety policy under "Kebijakan Lingkungan, Sosial Kesehatan dan Keselamatan Kerja" (Policy of Environment, Social, Health and Safety). The policy for health and safety states "Memperhatikan dan menerapkan budaya Kesehatan dan Keselamatan Kerja, salah satunya dengan menggunakan APD jika itu diperlukan dalam melaksanakan tugas sehari-hari dengan memperhatikan tempat dan kondisi kerja. Pemanen wajib memakai APD (helm, sarung egrek, kaca mata dan sepatu) pada saat melakukan panen di kapling, apabila kedatangan pemanen tidak memakai APD wajib dipulangkan, apabila tidak ada tindakan dari kelompok tani, asosiasi akan memberikan denda ke kelompok tani". To pay attention and implement health and safety culture, using necessary PPE and implement in daily working with consideration on location and working condition. Harvester is oblige to use PPE (helmet, sickle cover, goggle and gum boot) when harvesting.</p> <p>Occupational Health and Safety programme worked under "Rencana Keselamatan Kerja" (Programme of Work Safety) was produced on February 2017 as guidance for health and safety in smallholder' plantation.</p> <p>Group Manager and ICS performed monitoring through internal assessment process. The other measure through PPE inspection for harvester. Health and safety planning and monitoring is sufficient for independent smallholder.</p>	
<p>4.7.2 All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>	<p>Complied</p>	

Criterion / Indicator	Assessment Findings	Compliance
<p>Member shall collaborate with Group Manager to ensure dangers on farm are identified</p>	<p>During field audit and interview with member of Asosiasi Amanah, they aware and understand the major risk for workers on the farm especially for harvesting activity, manuring, weeding and spraying pesticide. They also explain how to avoid the risk in activity of work such as using appropriate PPE and performed safe working practise. Member has been follow the training of OHS provide by Asosiasi Amanah cooperate with PT. Inti Indosawit Subur.</p> <p>Individual members provides input such as risk/danger in their farm site to head of kelompok tani/farmer group. The head of kelompok tani/farmer group then deliver the suggestion to group manager.</p>	
<p>Requirement for Group Manager</p>		
<p>Based on the identified risks, an Occupational Health and Safety policy and/or plan shall be documented and implemented, including the need for medical insurance for workers appropriate to scale.</p>	<p>Asosiasi Petani Sawit Swadaya Amanah developed a simple hazard identification and risk assessment under "Analisa Resiko Berkaitan dengan Pekerjaan di Perkebunan Kelapa Sawit", latest review on January 2017. The hazard identification and risk assessment including activities and location covering: office administration, harvesting on field, FFB loading, spraying agrochemical and fertilizer application.</p> <p>In order to control the risk, organization prepared health and safety plan "Prosedur Kesehatan dan Keselamatan Kerja" dated 5 January 2016. The strategy is through provision of appropriate PPE, maintenance of working area (individual platform, harvesting path in area slippery condition), signage and training. The hazard identification found to be sufficient.</p>	
<p>4.7.3 All workers involved in the operation shall be adequately trained in safe working practices (see Criterion 4.8). Adequate and appropriate protective equipment shall be available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, harvesting and, if it is used, burning.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Members shall attend trainings related to OHS.</p>	<p>Member has been follow the training concerning OHS, hazard identification, risk level valuation, risk control conducted in 24 February 2016.</p> <p>All member are aware the PPE usage during working in field based on the risk assessment.</p>	

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Criterion / Indicator	Assessment Findings	Compliance
<p>Members shall implement the management plan and at least ensure the provision of PPE and medical check-ups for high risk workers. In the case of hazardous chemical use, a description of the relevant chemicals should be brought to the field.</p>	<p>Training on health and safety including hazard identification, risk level valuation, risk control conducted in 24 February 2016, attended by 23 farmer members. Record including training module, minutes of training and attendance list. Socialisation on health and safety/ safe working practice has been performed in 8 April 2017, attended by 13 workers and 10 December attended by 18 workers.</p> <p>Training for harvester, dated 12 February 2016 covering frond stacking, harvesting technique, FFB quality, health and safety requirements. The training attended by 22 farmer group representatives.</p> <p>PPE usage was monitored by each head of KT and recorded in "Ceklist pemakaian APD". For example in KT 316 dated 12 April 2017 there were 32 harvesting workers were using appropriate PPE such as: Helmet, safety glasses, Safety boots and Egrek cover. PPE receipt evident can be demonstrated, for example in 2 February 2015 there was receipt PPE 100 unit consist of Helmet, safety glasses, Safety boots and Egrek cover. for workers.</p>	
Requirement for Group Manager		
N/A	N/A	
<p>4.7.4 The responsible person/persons shall be identified. There shall be records of regular meetings between the responsible person/s and workers. Concerns of all parties about health, safety and welfare shall be discussed at these meetings, and any issues raised shall be recorded.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		
<p>Appropriate to scale, consider forming an Occupational Health Committee.</p>	<p>Asosiasi Amanah has trained and appointed Mr.Dadang as the health and safety officer as in "Surat Keputusan Group manager Asosiasi Petani Sawit Swadaya Amanah No.010/DOK.Amanah/SK/I/2016 tentang Penunjukan Petugas K3" dated 11 January 2016, responsible to health and safety performance.</p>	

Criterion / Indicator	Assessment Findings	Compliance
Group Manager reviews the manual periodically.	Planning to review health and safety on 6-month base, 10 June 2016 and 10 February 2016. The latest safety meeting dated 10 September 2015, attended by 12 farmer group representative. The meeting discussing PPE for harvester, first aid kit provision on the field. Follow up via health and safety plan 2017.	
<p>4.7.5 Accident and emergency procedures shall exist and instructions shall be clearly understood by all workers. Accident procedures shall be available in the appropriate language of the workforce. Assigned operatives trained in First Aid should be present in both field and other operations, and first aid equipment shall be available at worksites. Records of all accidents shall be kept and periodically reviewed.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Members shall report accidents on the farm to the Group Manager.	No accident so far. If accident happened, they will contact the respective field mandor and kelompok tani/farmer group.	
Each member ensures that there is a first aid kit available at the work site when there is operation going on in the field.	Each member understands that there is a first aid kit available at the work site when there is operation going on in the field. The first aid kit was with field mandor.	
Requirement for Group Manager		
Group Managers shall develop OHS / First Aid manual and distribute to all individual members.	Guidelines on accident and emergency procedures are available and disseminated to all group members. The emergency plan covers the cases of first aid for accident, agrochemical intoxication/exposure, earthquake, flooding, landslide, fire break/forest fire and spillage. First aid kit available with field mandor.	

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Criterion / Indicator	Assessment Findings	Compliance
Group Manager shall hold regular training based on Group OHS / First Aid manual for members and/or workers.	<p>Regular training concerning OHS and emergency procedures has been provided by Asosiasi Amanah. For example training on health and safety/safe working practice has been performed in 8 April 2017, attended by 13 workers and 10 December attended by 18 workers and in 23 March 2017 attended by 20 person from each KT.</p> <p>Emergency response training for forest and land fires and basic fire training has been performed on July 2016 followed by 26 attendant and member of ICS.</p> <p>Daily monitoring for Monitoring Fire Control Equipment in 2017 : Cangkul, kapak, sekop, gancu, bamboo/galah, ember plastic, selang air, pasir, angkong, handuk basah, Pompa Robin, etc.</p> <p>Planning to review health and safety on 6-month base, 10 June 2016 and 10 February 2016. The latest safety meeting dated 10 September 2015, attended by 12 farmer group representative. The meeting discussing PPE for harvester, first aid kit provision on the field. Follow up via health and safety plan 2017.</p>	
Group Manager shall record members' accidents on the farm.	As to date. No case of accident happened.	
4.7.6 All workers shall be provided with medical care, and covered by accident insurance.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Appropriate to scale, workers shall be provided with medical care and covered by medical insurance	N.A. No workers being employ permanently by the smallholders.	
If accidents occur involving casual workers, members shall be expected to provide medical care for the workers involved	<p>Group manager Asosiasi Petani Sawit Swadaya Amanah, provides contribution for the medical care should any worker/member had an accident.</p> <p>Kelompok tani/farmer group has a cash saving and readily available to contribute for the medical care if accident case happens.</p> <p>Individual members basically will responsible if any work related accident occurs in their oil palm plot.</p> <p>As to date, no case of accident happened.</p>	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
N/A	Employees of Asosiasi Swadaya Amanah has been provided with accident and healthy insurance. Accident and healthy insurance can be demonstrated. For example workers on behalf Kuntiah Wulandasari has registered to BPJS Kesehatan with ID No. 0001501135391. N/A	
4.7.7 Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
N/A	Asosiasi Petani Sawit Swadaya Amanah prepared a record to monitor the Lost Time Accident. Record seen: Accident record "Rekaman Kecelakaan Kerja" period month 01-04/2017 and period month 01-12/2016 shows nil incident/accident causing lost time injury. This is in line lost time injury monitoring by medical center Desa Trimulya Jaya, including data on type of accident: fatality, injury with rest, first aid. The lost time injury period month 01-04/2017 no lost time injury. N/A	
Criterion 4.8: All staff, workers, smallholders and contract workers are appropriately trained.		
4.8.1 A formal training programme shall be in place that covers all aspects of the RSPO Principles and Criteria, and that includes regular assessments of training needs and documentation of the programme.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
<p>Anyone working on the farm shall be briefed on best practices relevant to the job they are doing. Members and workers shall participate in the trainings where appropriate. Members inform the Group Manager on participation of workers in training</p>	<p>All member interviewed were understood concerning procedure of best management practise for palm oil mill such as : harvesting procedure, manuring procedure, soil and water conservation, and integrated pest management. Training has been followed by member such as:</p> <ul style="list-style-type: none"> - Integrated pest management training dated 15 April 2016; - Pesticide usage and handling training dated 30 September 2016; - Harvesting and FFB quality training dated 12 February 2016; - HCV management training dated 10 March 2016; - Soil and Water conservation dated 20 January 2016; - Manuring and Leaf sampling unit training dated 20 January 2016; - Safe working prctise (K3) training dated 24 February 2016; <p>Record of training can be demonstrated.</p>	
Requirement for Group Manager		
<p>Group Manager shall ensure that all members are trained on the RSPO P&C and records of such training shall be kept</p>	<p>All member interviewed were understood concerning procedure of best management practise for palm oil mill such as : harvesting procedure, manuring procedure, soil and water conservation, and integrated pest management. Training has been followed by member such as:</p> <ul style="list-style-type: none"> - Integrated pest management training dated 15 April 2016; - Pesticide usage and handling training dated 30 September 2016; - Harvesting and FFB quality training dated 12 February 2016; - HCV management training dated 10 March 2016; - Soil and Water conservation dated 20 January 2016; - Manuring and Leaf sampling unit training dated 20 January 2016; - Safe working prctise (K3) training dated 24 February 2016; <p>Record of training can be demonstrated.</p>	

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Criterion / Indicator	Assessment Findings	Compliance
Appropriate to scale, Group Manager shall prepare a training plan.	Asosiasi Amanah has conducted training need assessment for member. Training program has been prepared for 2017. The training including: <ul style="list-style-type: none"> - Fertilizing training - Water and Soil Conservation training - PPE training - Harvesting and FFB quality training - OHS training - HCV and AMDAL training - Integrated Pest management Training - Limited pesticide usage training - First aid training - Emergency response and basic fire training Record of training implementation in 2016 were evident.	
4.8.2 Records of training for each employee shall be maintained.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		
Appropriate to scale, training records shall be kept.	Training record were evident and kept in Asosiasi Amanah office such as: training material, attendance list and certificate for some training. Some training record are verified: <ol style="list-style-type: none"> 1. AMDAL and HCV training on 18 January 2017 attended by 22 individual members such as: Saeroji, Toto Pramono, Bachrun, Karno, Sunaidi, Saroji, etc.; 2. Harvesting and FFB quality training on 13 January 2017 attended by all individual members from KT 314; 3. Water and Soil conservation training on 20 January 2016 attended by 22 individual members; 4. Fertilizing and leaf sampling unit training on 20 January 2106 attended by 22 individual members; 5. OHS training on 24 February 2016 attended by 23 individual members; 	

Criterion / Indicator	Assessment Findings	Compliance
Principle 5: Environmental responsibility and conservation of natural resources and biodiversity		

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Criterion / Indicator	Assessment Findings	Compliance
Criterion 5.1: Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.		
5.1.1 An environmental impact assessment (EIA) shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size	Complied	

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Criterion / Indicator	Assessment Findings	Compliance
<p>Individual members shall demonstrate an understanding of the environmental risks of their operations</p>	<p>As regulated under “Undang-undang No.32 tahun 2009 tentang Perlindungan dan Pengelolaan Lingkungan Hidup Pasal 35” stating business and/or activity that has no obligation for environment management and environment monitoring plan shall sign “Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup (SPPL)”.</p> <p>NC Major: Individual members in Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate the basic understanding of the environmental risks of their operations.</p> <p>Corrective action: Asosiasi Petani Sawit Swadaya Amanah conduct dissemination to the ICS and followed up with dissemination to individual farmers, in several phases. Group manager conducted dissemination to individual farmers on 17 June 2017. Attendance list recorded 30 individual members and ICS members. The information provided related to identification of environmental impact from oil palm cultivation. A simple explanation on type of environmental impact; current control and management plan recorded in a note book, provided by group manager to individual farmers.</p> <p>ICS has conducted internal inspection to verify basic understanding related to identification of environmental impact. Internal inspection has been carried out between 18 – 19 June 2017; to verify the individual farmers understanding on environmental impact from their oil palm plantation activities. The internal inspection result by ICS team shows the basic understanding has been improved.</p> <p>Audit team has reviewed the record of dissemination to individual farmers dated 17 June 2017. Audit team also reviewed record provided for individual members, in form of note book.</p> <p>Audit team has reviewed the internal inspection record for individual farmer sampled, No.054, 171, 243, 253 and 256 as well as the internal inspection conclusion. Audit team has conducted interview with sampled farmers No.054, 253, 256, 358, 477; and additional verification to farmer No.149, 386 dan 460. The interview concluded that individual farmers were able to explain typical environmental impacts from oil palm plantation; the current control and simple management plan.</p> <p>NC closed on 11 July 2017.</p>	

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
<p>Group Managers shall identify all activities that have an impact on the environment.</p>	<p>As regulated under "Undang-undang No.32 tahun 2009 tentang Perlindungan dan Pengelolaan Lingkungan Hidup Pasal 35" stating business and/or activity that has no obligation for environment management and environment monitoring plan shall sign "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup (SPPL)".</p> <p>Almost all farmer members has obtained "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup (SPPL)" from "Badan Lingkungan Hidup Kabupaten Pelalawan". The total member of Asosiasi Amanah is 501 members.</p> <p>Training related environmental impact assessment has been conducted by Asosiasi Amanah on 18 January 2017 and 2016. According to SPPL, there were 7 important environmental impact resulted from farming operation such as:</p> <ul style="list-style-type: none"> - Decreased air quality - Increased noise - Decreased water surface quality - Changes in erosion and sedimentation rates - Opening up a business opportunity - Community perception - Access road damage <p>Environmental management and monitoring plan has been determined in SPPL to minimize negative impact and enhance positive impact.</p>	
<p>5.1.2 Where the identification of impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a comprehensive management plan. The management plan shall identify the responsible person/persons.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
Individual members shall demonstrate an understanding of the mitigation plan to reduce the environmental impacts.	During field audit and interview sampled individual member, it was known that they understand planning such as: they maintain natural vegetation that serves as protector of the soil and maintain vegetation around the river (green belt); to control the use of fertilizers and pesticides according to recommended dosage; prioritize biological control of pests; maintaining and repairing damaged roads due to FFB transport and establishing a guard post to serve public complaints due to FFB transportation disturbance.	
Individual members shall contribute to the reduction of environmental impacts	A responsible for mitigation plan is own individual members and supervised by head of kelompok tani/farmer group and group manager. During field audit and interview sampled individual member, it was known that they demonstrated implementation such as: they maintain natural vegetation that serves as protector of the soil and maintain vegetation around the river (green belt); control the use of fertilizers and pesticides according to recommended dosage; prioritize biological control of pests; maintaining and repairing damaged roads, etc.	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
<p>Group Managers shall develop a mitigation plan to reduce environmental risks and review the plan every two years of mitigation plan.</p>	<p>Environmental management and monitoring plan has been determined in SPPL to minimize negative impact and enhance positif impact, such as:</p> <ul style="list-style-type: none"> - Installing speed limits sign, road signs and warning signs to reduce the spread of dust and vehicle emissions and reduce traffic accidents - Watering the access road to the plantations and surrounding villages during the dry season to minimize dust - Maintain of natural vegetation that serves as protector of the soil and maintain vegetation around the river (green belt) - Control the use of fertilizers and pesticides according to recommended doses and prioritize biological control of pests - Increase the business opportunity to the surrounding community for FFB harvesting and transportation activities - Maintaining and repairing damaged roads due to FFB transport and establishing a guard post to serve public complaints due to FFB transportation disturbance - Improve the empowerment of small and medium businesses of local communities through farmer groups and cooperatives <p>A responsible for mitigation plan is own farmer members and supervised by head of kelompok tani/farmer group and group manager.</p>	
<p>5.1.3 This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		
<p>Group Managers shall organise training for members on environmental risks and mitigation measures.</p>	<p>Smallholder group manager and their members has provided plan to monitor all parameters includes management of biological, physical, and social Aspects. Record was kept in smallholder group management documentation.</p>	
<p>Group Managers shall monitor implementation</p>	<p>During field audit and interview several of member understand concerning mitigation of environmental impact however some of them has limited understanding and need to be improve.</p>	

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Criterion / Indicator	Assessment Findings	Compliance
<p>Criterion 5.2: The status of rare, threatened or endangered species and other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and operations managed to best ensure that they are maintained and/or enhanced.</p>		
<p>5.2.1 Information shall be collated in a High Conservation Value (HCV) assessment that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors).</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall demonstrate basic understanding of HCVs and RTEs and the need to protect them	Individual members are able to demonstrate basic understanding of RTE in their area.	
Individual members shall participate in the HCV assessment.	HCV training conducted on 7 May 2015 provided by Conservation and HCV officer – Asian Agri, attended by 80 individual members. Posters and signboard identifying list of RTE species in cooperation with Institut Pertanian Bogor and Asian Agri are presented.	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
<p>HCV assessments shall be conducted by an independent party, or where applicable, an internal assessment can be facilitated by the Group Manager (refer to generic P&Cs or NIs where available; see guidance).</p>	<p>An HCV identification exercise was conducted in October 2012, prepared by WWF. List of protected wildlife "Satwa yang Dilindungi" as regulated in "Peraturan Pemerintah No.7/1999" updated in February 2013.</p> <p>Asosiasi Amanah conducted monitoring of RTE species on monthly basis for each farmer member's plantation block. RTE monitoring then documented under "Spesies Langka – Diidentifikasi dan Dilindungi" in 2014 and "Formulir Daftar Temuan Satwa Liar Dilindungi" since 2015. Sample taken: Monitoring of RTE in KT/farmer group 312 monitoring on 27 April 2017 and identified 2 types of fauna: Water monitor lizard (<i>Varanus salvator</i>), Cekakak (<i>Alcedo pulchela</i>). Monitoring on 7 April 2017 in KT/farmer group 313 identified: Ayam hutan (<i>Galus galus</i>). Monitoring of RTE species in KT/farmer group 324 in block No.438, 442, 449 and 456 was found monitor lizard, eagle, mole and squirrel.</p> <p>HCV management plan and monitoring plan are in place. Action plan to manage HCV such as:</p> <ul style="list-style-type: none"> - Maintain and upkeep the restoration plants in riparian area; - Avoid and Banned the waste disposal in to the waterways or river; - Avoid and Banned conducted the pesticide spraying and chemical usage in riparian zone; - Avoid and Banned the activity which destructed in riparian zone; - Avoid and banned the sand exploitation in the river; - Maintained boundary marker of riparian zone; - Conserve natural vegetation aroun the riparian; - Animal and wildlife monitoring; 	
<p>5.2.2 Where rare, threatened or endangered (RTE) species, or HCVs, are present or are affected by plantation or mill operations, appropriate measures that are expected to maintain and/or enhance them shall be implemented through a management plan.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Individual members shall check with the Group Manager status of HCVs and RTEs of their farm based on the HCV assessment report</p>	<p>Individual members are able to demonstrate basic understanding of RTE in their area.</p>	
<p>Requirement for Group Manager</p>		

Criterion / Indicator	Assessment Findings	Compliance
<p>Group Managers shall develop action plans and SOPs (e.g. for RTE species, riparian areas) based on the HCV management and monitoring plan</p>	<p>Asosias Amanah has installed posters indicating type of protected wildlife, in the area of farmer’s block such as: Black-capped kingfisher (<i>Halcyon pileata</i>), Crested serpent eagle (<i>Spilornis cheela</i>), Black baza (<i>Aviceda leuphotes</i>), Yellow-bellied sunbird (<i>Nectarinia jugularis</i>), Banded kingfisher (<i>Lacedo pulchella</i>), Black-winged kite (<i>Elanus caeruleus</i>), Crimson sunbird (<i>Aethopyga siparaja</i>), Blue-eared kingfisher (<i>Alcedo meninting</i>), Leopard cat (<i>Prionailurus bengalensis</i>), Asian palm civet (<i>Paradoxurus hermaphroditus</i>), Large treeshrew (<i>Tupaia tuna</i>), Otter (<i>Lutra lutra</i>), Pangolin (<i>Manis javanica</i>), Lutung (<i>Trachypithecus sp</i>), Water monitor lizard (<i>Varanus salvator</i>), Rhinoceros hornbill (<i>Buceros rhinoceros</i>), Python (<i>Python morolus</i>), Cobra (<i>Naja sp</i>).</p> <p>Each farmer group has monitored protected wildlife on monthly basis, through appointed officer. For example in April 2017, KT/farmer group 312 monitoring on 27/04/2017 and identified 2 types of fauna: Water monitor lizard (<i>Varanus salvator</i>), Cekakak. Monitoring on 07/04/2017 in KT/farmer group 313 identified: Ayam hutan (<i>Galus galus</i>)</p> <p>In 2015, 15 protected fauna as per “Peraturan Pemerintah No.7 tahun 1999” were identified: Pangolin (<i>Manis javanica</i>), Black-winged kite (<i>Elanus caeruleus</i>), Python (<i>Python morolus</i>), Leopard cat (<i>Prionailurus bengalensis</i>), Crimson sunbird (<i>Aethopyga siparaja</i>), Cobra (<i>Naja sp</i>), Lutung (<i>Trachypithecus sp</i>), Otter (<i>Lutra lutra</i>), Large treeshrew (<i>Tupaia tuna</i>), Asian palm civet (<i>Paradoxurus hermaphroditus</i>), Blue-eared kingfisher (<i>Alcedo meninting</i>), Crested serpent eagle (<i>Spilornis cheela</i>), White breasted kingfisher (<i>Halcyon smyrnensis</i>), Water monitor lizard (<i>Varanus salvator</i>). From these species, Pangolin (<i>Manis javanica</i>) categorized as EN under IUCN Redlist.</p>	
<p>5.2.3 There shall be a programme to regularly educate the workforce about the status of these RTE species, and appropriate disciplinary measures shall be instigated in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>

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Individual members shall make their workers aware of the status of RTE species and the applicable disciplinary measures.	During field audit and interview with farmer members they aware with RTE species in and around the plantation area and they are banned to hunting the animal. HCV training provided by Asosiasi Amanah has been followed by farmer members. Signboard related to RTE species conservation was in place and known by farmer members.	
Requirement for Group Manager		
Group Manager conducts training for their individual members and their workers about the status of HCV and RTE species and the applicable disciplinary measures	HCV training conducted on 7 May 2015 provided by Conservation and HCV officer – Asian Agri, attended by 80 individual members. Posters and signboard identifying list of RTE species in cooperation with Institut Pertanian Bogor and Asian Agri are presented.	
<p>5.2.4 Where a management plan has been created there shall be ongoing monitoring:</p> <ul style="list-style-type: none"> • The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported; • Outcomes of monitoring shall be fed back into the management plan. 		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall be involved in the implementation of the HCV management and monitoring plan (to maintain and/or enhance HCVs)	During field audit and interview with farmer members they aware with RTE species in and around the plantation area and they are banned to hunting the animal. Signboard related to RTE species conservation was in place and known by farmer members.	
Requirement for Group Manager		
Group Managers shall implement a mechanism for individual members to report on threats to HCVs	<p>Based on interview with sampled farmer members, they are able to demonstrate area with high conservation value, such as river buffer zone, and types of protected flora and fauna. They have understood prohibition on hunting activity, poisoning fish, apply chemical including fertilizer near the river buffer zone.</p> <p>Asosiasi Amanah has appointed Mr.Dadang as personnel responsible to manage and monitor the HCV through "Surat Keputusan Group Manager No.005/DOK/SK.KPI/APSSA/2015" dated 31 December 2015.</p> <p>Asosiasi Amanah has a list of protected animal under "Peraturan Pemerintah No.7 tahun 1999" comprised of 37 animals. Two (2) of the animals categorized as Critical Endangered i.e. Silvery pigeon (<i>Columba argentina</i>) and crow.</p>	
<p>5.2.5 Where HCV set-asides with existing rights of local communities have been identified, there shall be evidence of a negotiated agreement that optimally safeguards both the HCVs and these rights.</p>		

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall be aware of the rights of other local communities that are related to identified HCVs and RTEs	Based on field verification and information from farmer members, there was no longer indication of area with high conservation value within Asosiasi Amanah – that under control of third party. Not applicable.	
Requirement for Group Manager		
In cases where there is an overlap of local community rights and HCV areas, the Group Manager shall initiate the negotiation of an agreement that optimally safeguards both the HCVs and these rights	Based on field verification and information from farmer members, there was no longer indication of area with high conservation value within Asosiasi Amanah – that under control of third party. Not applicable.	
Criterion 5.3:		
Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.		
5.3.1 All waste products and sources of pollution shall be identified and documented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		
Appropriate to scale, the Group Manager shall ensure that there is a documented waste management and disposal plan is in place.	<p>The Asosiasi Amanah has identified waste and source pollution in "identifikasi Limbah di perkebunan Petani (Pencemaran dan Emisi). The identification is consisting of source pollution, waste, impact, mitigation plan, implementation, timeline and PIC.</p> <p>Agrochemical waste products have been identified and documented.</p> <p>Interview with sampled smallholders confirmed understanding on disposal of empty agrochemical containers, fertilizer plastic bag and domestic waste in farm.</p>	
5.3.2 All chemicals and their containers shall be disposed of responsibly.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Members shall ensure that all chemical containers are properly handled and disposed.	During field audit and interview with farmer member indicated that they understand how to manage ex agrochemical waste and ex fertilizer sack/inner bag. They performed disposal waste as per procedure and mechanism.	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall ensure that all chemical containers are properly handled and disposed</p>	<p>Group manager has established mechanisms for waste management which include hazardous agrochemical waste such as Management of agrochemical used containers by sending to the waste store belong to partnering mill. Agrochemical waste management is handled by spraying unit team (TUS) conducted by personnel who had received training. The empty agrochemical container is triple rinsed and punched at bottom before disposal. The remains of the agrochemical and contaminated water from the washing of used container are re-using for the next pre-mixing compound. Ex fertilizer sack and inner bag was rinsed and kept in agrochemical store and re use as brondolan (palm oil fruit) bag.</p> <p>Waste management and disposal plan has been communicated to farmer member. Record of socialization were evident.</p>	
<p>5.3.3 A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Appropriate to scale, members shall have a documented waste management and disposal plan.</p>	<p>The documented waste management and disposal plan available at the group level.</p>	
<p>Members shall communicate to all workers the waste management and disposal plan.</p>	<p>Waste management and disposal plan has been communicated to individual member. Record of socialization were evident. For example in 2 July 2016 socialisation concerning "Prosedur Pengelolaan Sampah Bekas Wadah Pupuk" attended by 26 farmer member.</p>	
<p>Members shall ensure that the workers are trained on waste management and disposal. Records of such training shall be kept.</p>	<p>During field audit and interview with farmer member indicated that they understand how to manage ex agrochemical waste and ex fertilizer sack/inner bag. They performed disposal waste as per procedure and mechanism.</p>	
<p>Requirement for Group Manager</p>		

Criterion / Indicator	Assessment Findings	Compliance
Appropriate to scale, the Group Manager shall ensure that there is a documented waste management and disposal plan is in place.	Asosiasi Amanah has document of "Mekanisme Pengembalian Wadah Bekas Limbah B3" explained that the empty pesticide container kept in agrochemical store, triple rinsed, punctured before sent to PT. Inti Indosawit Subur for transported to licensed collector. In addition Asosiasi Amanah has "Prosedur Pengelolaan Sampah Bekas Wadah Pupuk". Ex fertilizer sack and inner bag was rinsed and kept in agrochemical store and re use as brondolan (palm oil fruit) bag. During field visit shown that all empty pesticide container waste and ex fertilizer waste were disposed as per procedure.	
Group Manager shall communicate to all members on the waste management and disposal plan.	Waste management and disposal plan has been communicated to individual member. Record of socialization were evident. For example in 2 July 2016 socialisation concerning "Prosedur Pengelolaan Sampah Bekas Wadah Pupuk" attended by 26 farmer member.	
The Group Manager shall ensure that the members are trained on waste management and disposal. Records of such training shall be kept.	Waste management and disposal plan has been communicated to individual member. Record of socialization were evident. For example in 2 July 2016 socialisation concerning "Prosedur Pengelolaan Sampah Bekas Wadah Pupuk" attended by 26 farmer member.	Complied
Criterion 5.4: Efficiency of fossil fuel use and the use of renewable energy is optimised.		
5.4.1 A plan for improving efficiency of the use of fossil fuels and to optimise renewable energy shall be in place and monitored.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Appropriate to scale, members shall implement the actions as outlined in the Group's plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.	Individual member use fossil fuel for motorcycle and they conducted efficiency by optimize the motorcycle usage as per necessity. They use electrical for housing needs and supply by grid/PLN.	
Requirement for Group Manager		
Appropriate to scale, Group Manager shall have a plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.	Asosiasi Amanah has Plan for improving efficiency of the use of fossil fuels and to optimise renewable energy covering: <ul style="list-style-type: none"> - Fossil fuel usage as per needs or necessity; - Performed efficiency of fossil fuel by control the fossil fuel usage for FFB transportation and conducted regular maintenance for truck machine; 	

Criterion / Indicator	Assessment Findings	Compliance
<p>Criterion 5.5: Use of fire for preparing land or replanting is avoided, except in specific situations as identified in the ASEAN guidelines or other regional best practice.</p>		
<p>5.5.1 There shall be no land preparation by burning, other than in specific situations as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall provide evidence that they understand the No Burning Policy of the group.	Individual member are aware that they cannot use fire for land preparation during replanting from oil palm to oil palm or from any other crop. During interview with member, they understand about the zero burning policy.	
Requirement for Group Manager		
<p>The Group Manager shall:</p> <ul style="list-style-type: none"> • Provide evidence of a no use of fire policy in group SOPs. • Demonstrate that individual farms have been visited for this requirement. • Explain how all the above is socialised to individual members of the Group 	Group manager and members are aware that they cannot use fire for land preparation during replanting from oil palm to oil palm or from any other crop. Zero burning techniques have been explained to group members through internal training. During field visit there is no evidence of any kind of burning was noticed. Interview with stakeholders' i.e. government officers, village head and neighbouring farmers confirmed that fire is not used.	
<p>5.5.2 Where fire has been used for preparing land for replanting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Individual members shall provide proposals for use of fire to the Group Manager for assessment and approval prior to burning.	Individual member are aware that they cannot use fire for land preparation during replanting from oil palm to oil palm or from any other crop. During interview with member, they understand about the zero burning policy.	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall:</p> <ul style="list-style-type: none"> • Demonstrate that any use of fire by any individual member has been assessed to be justified under the ASEAN guidelines ASEAN Policy on Zero Burning' 2003. • Provide written approval from the relevant environment authority on the use of fire in certain situations as prescribed by the ASEAN guidelines. 	<p>Group manager and its members aware that fire is only permitted in special cases which involve elimination of pest and diseases where recommendation from relevant government agencies must be in place prior to use of fire. The smallholder group has developed replanting programme starting on 2026 and has referred to technical guidelines of "Pedoman Teknis Pembukaan Lahan Tanpa Bakar" (Land preparation with zero burning), published by the Ministry of Agriculture. During the interview, the group manager and group members highlighted that there are no pest and disease problem.</p>	
<p>Criterion 5.6: Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.</p>		
<p>5.6.1 An assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent (see Criterion 4.4).</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		
<p>List significant pollutants and identify sources of emissions.</p>	<p>Asosiasi Amanah has document "Identifikasi Sumber Gas Rumah Kaca" which mention the identification of pollution and green house gas source emission, covering:</p> <ul style="list-style-type: none"> - Fertilizing : Fertilizer volume usage - Spraying activity: Agrochemical volume usage; - Transportation : Fossil fuel volume usage; 	
<p>5.6.2 Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimise them implemented.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		

Criterion / Indicator	Assessment Findings	Compliance
Identify options to reduce pollutants and emissions and consider whether the group can implement any of these	<p>Asosiasi Amanah has document "Identifikasi Sumber Gas Rumah Kaca" which mention the identification of pollution and green house gas source emission, covering:</p> <ul style="list-style-type: none"> - Fertilizing : Fertilizer volume usage - Spraying activity: Agrochemical volume usage; - Transportation : Fossil fuel volume usage; <p>Asosiasi Amanah has been create the programme to mitigate the green house gas emission such as:</p> <ul style="list-style-type: none"> - Conduct manuring effectively as per recommendation; - Conducted the decreased of agrochemical usage and optimize the agrochemical usage by selective spraying; <p>Optimize the FFB transportation by effective route and road maintenance;</p>	
<p>5.6.3 A monitoring system shall be in place, with regular reporting on progress for these significant pollutants and emissions from estate and mill operations, using appropriate tools.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		
Based on the above, where possible, mitigation measures shall be developed and implemented. Socialize the information to the group members.	Smallholder group manager and their members has provided plan to monitor all parameters includes management of waste and pollutant, biological, physical, and social Aspects. Record was kept in smallholder group management documentation.	

Criterion / Indicator	Assessment Findings	Compliance
<p>Principle 6: Responsible consideration of employees and of individuals and communities affected by growers and millers</p>		
<p>Criterion 6.1:</p> <p>Aspects of plantation and mill management that have social impacts, including replanting, are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.</p>		
<p>6.1.1 A social impact assessment (SIA) including records of meetings shall be documented.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
<p>Individual members shall demonstrate an understanding of the social risks of their operations.</p>	<p>Group manager Asosiasi Petani Sawit Swadaya Amanah has established simplified SIA documents presented in "Rencana Kelola Dampak Sosial tahun 2017". This include harvesting and FFB transport related to Quality of FFB and Loose fruit, FFB robbery, bad road condition, PPE for Harvesting workers and sprayers, land title, and smallholder membership agreement. Based on interview with sampled individual smallholders, they can demonstrate social impacts relevant to their oil palm plantation.</p> <p>NC Major: Individual members in Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate the basic understanding of the social impact of their operations. Group Manager Asosiasi Petani Sawit Swadaya Amanah has a documented social impact assessment; individual members has obtained social-environmental permit, as in "Surat Pernyataan Pengelolaan Lingkungan". However, it was found that most of the individual members cannot demonstrate basic understanding on social impacts from their operation. Individual member No.171, 253, 243, 256.</p> <p>Corrective Action: Asosiasi Petani Sawit Swadaya Amanah conduct dissemination to the ICS and followed up with dissemination to individual farmers, in several phases. Group manager conducted dissemination to individual farmers on 17 June 2017. Attendance list recorded 30 individual members and ICS members. The information provided related to how-to-explains social impacts from oil palm cultivation. A simple explanation on social impact identification; current control and management plan recorded in a note book, provided by group manager to individual farmers. In order to ensure individual farmer can explain the matter clearly; ICS has conducted internal inspection to verify basic understanding related to identification of social impact. Internal inspection has been carried out between 18 – 19 June 2017. The internal inspection result by ICS team shows the basic understanding has been improved.</p> <p>Audit team has reviewed the record of dissemination to individual farmers dated 17 June 2017. Audit team also reviewed record provided for individual members, in form of note book.</p> <p>---</p>	<p>...making excellence a habit.™</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p>Audit team has reviewed the internal inspection record for individual farmer sampled, No.171, 243, 253 and 256 as well as the internal inspection conclusion. Audit team has conducted interview with sampled farmers No.054, 243, 253, and 256; and additional verification to farmer No.149, 386 dan 460. The interview concluded that individual farmers were able to explain social impacts identified from oil palm plantation; the current control and simple management plan.</p> <p>NC closed on 11 July 2017.</p>	
Requirement for Group Manager		
<p>Group Managers shall identify all activities that have social impacts with the participation of affected parties.</p>	<p>Group manager Asosiasi Petani Sawit Swadaya Amanah has established simplified SIA documents presented in "Rencana Kelola Dampak Sosial tahun 2017". This includes harvesting and FFB transport related to Quality of FFB and Loose fruit, FFB robbery, bad road condition, PPE for Harvesting workers and sprayers, land title, and smallholder membership agreement.</p>	
6.1.2 There shall be evidence that the assessment has been done with the participation of affected parties.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		
<p>Group Managers shall identify all activities that have social impacts with the participation of affected parties</p>	<p>SIA document was prepared based on consultancy with other parties such as smallholder members, partnering mill, and head of villages. The consultancy for initial SIA document was conducted on 12 November 2014 during stakeholder meeting. The latest consultancy carried out on 20 January 2017.</p>	
6.1.3 Plans for avoidance or mitigation of negative impacts and promotion of the positive ones, and monitoring of impacts identified, shall be developed in consultation with the affected parties, documented and timetabled, including responsibilities for implementation.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
<p>Individual members shall demonstrate an understanding of the mitigation plan to reduce the social impacts</p>	<p>Environmental and social impact has been identified in Surat Pernyataan Kesanggupan Pengelolaan Lingkungan/SPPL. This includes the mitigation plan.</p> <p>During field audit and interview sampled individual member, it was known that they understand planning such as: they maintain natural vegetation that serves as protector of the soil and maintain vegetation around the river (green belt); to control the use of fertilizers and pesticides according to recommended dosage; prioritize biological control of pests; maintaining and repairing damaged roads due to FFB transport and establishing a guard post to serve public complaints due to FFB transportation disturbance.</p>	
<p>Requirement for Group Manager</p>		
<p>Group Managers shall develop a mitigation plan (with clear timetable) to reduce social risks and review the plan every two years in consultation with the affected parties.</p>	<p>Environmental management and monitoring plan has been determined in SPPL to minimize negative impact and enhance positif impact, such as:</p> <ul style="list-style-type: none"> - Installing speed limits sign, road signs and warning signs to reduce the spread of dust and vehicle emissions and reduce traffic accidents; - Watering the access road to the plantations and surrounding villages during the dry season to minimize dust; - Maintain of natural vegetation that serves as protector of the soil and maintain vegetation around the river (green belt); - Control the use of fertilizers and pesticides according to recommended doses and prioritize biological control of pests; - Increase the business opportunity to the surrounding community for FFB harvesting and transportation activities; - Maintaining and repairing damaged roads due to FFB transport and establishing a guard post to serve public complaints due to FFB transportation disturbance; <p>Improve the empowerment of small and medium businesses of local communities through farmer groups and cooperatives</p>	
<p>Group Managers shall organise training for members on social risks and mitigation measures</p>	<p>Smallholder group manager and their members has provided plan to monitor all parameters includes management of biological, physical, and social Aspects. Record was kept in smallholder group management documentation.</p>	

Criterion / Indicator	Assessment Findings	Compliance
6.1.4 The plans shall be reviewed as a minimum once every two years and updated as necessary, in those cases where the review has concluded that changes should be made to current practices. There shall be evidence that the review includes the participation of affected parties.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Where applicable, individual members shall help to address negative social impacts in a consultative manner.	Smallholder group conducting stakeholder meeting every year as part of reviewing their SIA. There would be necessary changes of social impact based on consultancy with stakeholders. During consultation on 20 January 2017 individual members were participating.	
Requirement for Group Manager		
Group Managers shall monitor implementation of mitigation plan.	Smallholder group conducting stakeholder meeting every year as part of reviewing their SIA. There would be necessary changes of social impact based on consultancy with stakeholders. During consultation on 20 January 2017 there is no complaint from stakeholder.	
6.1.5 Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme).		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
N/A	N/A	
Criterion 6.2: There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.		
6.2.1 Consultation and communication procedures shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

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Criterion / Indicator	Assessment Findings	Compliance
<p>The individual member shall demonstrate understanding of the group’s consultation and communication procedures</p>	<p>Asosiasi Amanah has a communication procedure under “Mekanisme Komunikasi dan Konsultasi”. Based on interview with sampled farmer member, stating internal communication conducted during meeting with KT/farmer group. Furthermore, should the farmer member receive complaint, it will be channeled through KT/farmer group for disposition to group manager.</p> <p>NC Major: Individual members of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate understanding of the group’s consultation and communication procedures. Individual members of Asosiasi Petani Sawit Swadaya Amanah No.171, 358, 253, 243, 256 cannot demonstrate understanding of the group’s consultation and communication procedures.</p> <p>Corrective action: Asosiasi Petani Sawit Swadaya Amanah conduct dissemination of group’s consultation and communication procedures to the ICS and followed up with dissemination to individual farmers, in several phases. Group manager conducted dissemination to individual farmers on 17 June 2017. Attendance list recorded 30 individual members and ICS members. A simple explanation on group’s consultation and communication procedures recorded in a note book, provided by group manager to individual farmers. In order to ensure individual farmer can explain consultation and communication procedure clearly; ICS has conducted internal inspection between 18 – 19 June 2017. The internal inspection result by ICS team shows the basic understanding and ability to provide explanation has been improved.</p> <p>Audit team has reviewed the record of dissemination of group’s consultation and communication procedures to individual farmers dated 17 June 2017. Audit team also reviewed record provided for individual members, in form of note book. Audit team has reviewed the internal inspection record for individual farmer sampled, No.171, 243, 253 and 358 as well as the internal inspection conclusion. Audit team has conducted interview with sampled farmers No.054, 243, 253 and 358; and additional verification to farmer No.149, 386 dan 460.</p> <p>---</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>The interview concluded that individual farmers were able to explain group manager's consultation and communication procedures.</p> <p>NC closed on 11 July 2017.</p>	
Requirement for Group Manager		
<p>The Group Manager shall develop a documented procedure for consultation and communication with local communities and other affected or interested parties.</p>	<p>Asosiasi Amanah has a communication procedure under "Mekanisme Komunikasi dan Konsultasi". Based on interview with sampled farmer member, stating internal communication conducted during meeting with KT/farmer group. Furthermore, should the farmer member receive complaint, it will be channeled through KT/farmer group for disposition to group manager. Procedure displayed in group office and readable by all office visitors.</p>	
<p>The Group Manager shall ensure that individual group members are informed of the consultation and communication procedure.</p>	<p>The consultation & communication procedure displayed on the site's public notice board.</p>	
6.2.2 A management official responsible for these issues shall be nominated.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		
<p>The Group Manager shall nominate an official responsible for these issues</p>	<p>Asosiasi Amanah has determined Group Manager as responsible officer to communicating and consulting with external parties.</p>	
6.2.3 A list of stakeholders, records of all communication, including confirmation of receipt and that efforts are made to ensure understanding by affected parties, and records of actions taken in response to input from stakeholders, shall be maintained.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall make a list of stakeholders or construct a "stakeholder register" and keep records of all communication and actions taken.</p>	<p>Asosiasi Amanah has prepared a list of stakeholder, dated 01/01/2117 identifying 20 types of stakeholder. The list comprise of PT Inti Indosawit Subur, RSPO Indonesia, Greenpalm Sustainability, SNV Indonesia, WWF Indonesia, Forestry Office Kabupaten Pelalawan, Plantation Office Kabupaten Pelalawan, chairman of surrounding cooperatives, Puskesmas and FORMISBI.</p>	
<p>Criterion 6.3: There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all effected parties.</p>		
<p>6.3.1 The system, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistleblowers, where requested.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>	<p>Complied</p>	

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Criterion / Indicator	Assessment Findings	Compliance
<p>Appropriate to scale, the member shall have a documented grievance mechanism in place</p>	<p>Individual smallholder understand that group manager has established the procedure for dealing with complaint and grievances.</p> <p>NC Major: Individual members of Asosiasi Petani Sawit Swadaya Amanah cannot demonstrate understanding of the group’s complaint and grievances resolution procedures. Individual members of Asosiasi Petani Sawit Swadaya Amanah No.171, 358, 253, 243, 256 cannot demonstrate understanding of the group’s complaint and grievances resolution procedures.</p> <p>Corrective action: Asosiasi Petani Sawit Swadaya Amanah conduct dissemination of group’s grievance and complaint resolution procedures to the ICS and followed up with dissemination to individual farmers, in several phases. Group manager conducted dissemination to individual farmers on 17 June 2017. Attendance list recorded 30 individual members and ICS members. A simple explanation on group’s grievance and complaint resolution procedures recorded in a note book, provided by group manager to individual farmers.</p> <p>In order to ensure individual farmer can explain group’s grievance and complaint resolution procedures clearly; ICS has conducted internal inspection between 18 – 19 June 2017. The internal inspection result by ICS team shows the basic understanding and ability to provide explanation has been improved.</p> <p>Audit team has reviewed the record of dissemination of group’s grievance and complaint resolution procedures to individual farmers dated 17 June 2017. Audit team also reviewed record provided for individual members, in form of note book. Audit team has reviewed the internal inspection record for individual farmer sampled, No.171, 253, 256 and 358 as well as the internal inspection conclusion. Audit team has conducted interview with sampled farmers No.054, 253, 256 and 358; and additional verification to farmer No.149, 386 dan 460. The interview concluded that individual farmers were able to explains group manager’s grievance and complaint resolution procedures.</p> <p>NC closed on 11 July 2017.</p>	

Criterion / Indicator	Assessment Findings	Compliance
The workers shall understand the process.	Interviewed the smallholders and workers as the understand they always can lodge any complaints to group manager.	
Requirement for Group Manager		
The Group Manager shall have a documented grievance mechanism in place	Systems for complaints are in place at smallholder group office – see Criterion 6.2. Group manager and ICS members are aware of the procedure as well as external Stakeholders. This was confirmed by stakeholders during interview.	
The Group Manager shall ensure members are familiar with the grievance procedure	Training has been held to kelompok tani/farmer group.	
Where necessary, the Group Manager shall support members to put in place documented grievance mechanism	The logbook at the Asosiasi Amanah office available for lodging any complaints.	
6.3.2 Documentation of both the process by which a dispute was resolved and the outcome shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Appropriate to scale, the procedure shall provide documentation of both how the process of the dispute was resolved and the outcome	Systems for complaints are in place at smallholder group office – see Criterion 6.2. During the assessment it is noted that there are no complaints or grievances reported to the group management. Interview with local village heads (Desa Bukit Jaya dan Air Emas) and workers as well as members confirmed no complaints or grievances are taken place within smallholder group.	
Requirement for Group Manager		
The procedure shall provide documentation of both how the process of the dispute was resolved and the outcome.	Systems for complaints are in place at smallholder group office – see Criterion 6.2. Group manager and ICS members are aware of the procedure as well as external Stakeholders. This was confirmed by stakeholders during interview.	
<p>Criterion 6.4:</p> <p>Any negotiations concerning compensation for loss of legal, customary or user rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.</p>		
<p>6.4.1 A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be in place.</p>		

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		
<p>The Group Manager develops a procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation and a procedure for calculating and distributing fair compensation.</p>	<p>A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation (As explained under indicator 2.2.1, stating the land ownership originated from purchasing process to the previous traditional owner (Desa Air Hitam), with evidence of ownership in form of "Surat Keterangan Tanah" issued by head of village. This document then processed into certificate to "Kantor Pertanahan Kabupaten Pelalawan" to be issued into "Sertifikat Hak Milik/SHM".</p> <p>From historical aspect, the member of Asosiasi Amanah's land originated from "Izin Pencadangan" originally intended for PT Inti Indosawit Subur. The land was not planted, and returned to state; furthermore the land have released from forest area status. There is "Izin Pelepasan kawasan Hutan dari Menteri Kehutanan", therefore the status of the land was "Area Penggunaan Lain".</p> <p>The entire Asosiasi Amanah's lands have been certified issued by "Kantor Pertanahan Kabupaten". The land measurement was done by officer from "Kantor Pertanahan Kabupaten Pelalawan", witnessed by surrounding land owner. During land ownership certificate issuance, have gone through 5 years complaint period.</p>	
<p>6.4.2 A procedure for calculating and distributing fair compensation (monetary or otherwise) shall be established and implemented, monitored and evaluated in a participatory way, and corrective actions taken as a result of this evaluation. This procedure shall take into account: gender differences in the power to claim rights, ownership and access to land; differences of transmigrants and long-established communities; and differences in ethnic groups' proof of legal versus communal ownership of land.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Complied
N/A	N/A	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager develops a procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation and a procedure for calculating and distributing fair compensation.</p>	<p>As explained under indicator 6.4.1, the history of the land, the member of Asosiasi Amanah’s land originated from “Izin Pencadangan” originally intended for PT. Inti Indosawit Subur. The land was not planted, and returned to state; furthermore the land have released from forest area status. There is “Izin Pelepasan kawasan Hutan dari Menteri Kehutanan”, therefore the status of the land was “Area Penggunaan Lain”.</p> <p>In term of ownership, the land bought from previous traditional owner (Desa Air Hitam), with evidence of ownership in form of “Surat Keterangan Tanah” issued by head of village. This document then processed into certificate to “Kantor Pertanahan Kabupaten Pelalawan” to be issued into “Sertifikat Hak Milik/SHM”.</p> <p>The entire Asosiasi Amanah’s lands have been certified issued by “Kantor Pertanahan Kabupaten”. The land measurement was done by officer from “Kantor Pertanahan Kabupaten Pelalawan”, witnessed by surrounding land owner. During land ownership certificate issuance, have gone through 5 years complaint period.</p>	
<p>6.4.3 The process and outcome of any negotiated agreements and compensation claims shall be documented, with evidence of the participation of affected parties, and made publicly available.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Individual group members formally request assistance by the Group Manager in this process to assure compliance with the procedures</p>	<p>Up to date, no any issue related to compensation has been reported.</p>	
<p>Requirement for Group Manager</p>		

Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager documents the process and outcome of any negotiated agreements and compensation claims with evidence of the participation of affected parties, and makes this publicly available.</p>	<p>As explained under indicator 6.4.1, the history of the land, the member of Asosiasi Amanah’s land originated from “Izin Pencadangan” originally intended for PT. Inti Indosawit Subur. The land was not planted, and returned to state; furthermore the land have released from forest area status. There is “Izin Pelepasan kawasan Hutan dari Menteri Kehutanan”, therefore the status of the land was “Area Penggunaan Lain”.</p> <p>In term of ownership, the land bought from previous traditional owner (Desa Air Hitam), with evidence of ownership in form of “Surat Keterangan Tanah” issued by head of village. This document then processed into certificate to “Kantor Pertanahan Kabupaten Pelalawan” to be issued into “Sertifikat Hak Milik/SHM”.</p> <p>The entire Asosiasi Amanah’s lands have been certified issued by “Kantor Pertanahan Kabupaten”. The land measurement was done by officer from “Kantor Pertanahan Kabupaten Pelalawan”, witnessed by surrounding land owner. During land ownership certificate issuance, have gone through 5 years. Up to date, no legal, customary or user rights issue.</p>	
<p>The Group Manager assists individual group members in these situations upon request by the member.</p>	<p>Up to date, no any issue related to compensation has been reported.</p>	
<p>Criterion 6.5:</p>		
<p>Pay and conditions for employees and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.</p>		
<p>6.5.1 Documentation of pay and conditions shall be available.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Appropriate to scale, the members shall keep documentation of pay and conditions.</p>	<p>The individual members recruited the casual workers by their own. Therefore, no payslip is sighted for the workers as they are not permanent workers. The workers hired by the members were paid on daily basis once the job has been completed. For eg: Harvester was paid Rp.120,000 – Rp.130,000/tonne of FFB harvested</p>	

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Criterion / Indicator	Assessment Findings	Compliance
<p>The pay shall meet at least the legal or industry standards minimum wage.</p>	<p>Not applicable as all of the workers are considered as casual workers. They were paid based on daily rate and only pay when they have work.</p> <p>However, individual smallholders following the instruction from group manager for minimum wage (See indicator below). Sampled individual farmers interviewed pays their harvester team Rp.120,000 – 140,000/ton FFB harvested.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall be aware of the legal or industry standards minimum wage.</p>	<p>Asosiasi Petani Sawit Swadaya Amanah has referred to "Surat Keputusan Gubernur Riau Number No.Kpts.1016/X/2016 tentang Upah Minimum Propinsi tahun 2017" dated 31/10/2016. For Riau Province including Pelalawan regency, Rp.2,266,722.53 per month. The number then subtracted into recommendation of payment per ton of FB harvested; because most individual smallholders paying the harvester on piece rate. With variable such as 25 working days per week, 7 hours of work per day; the minimum wage sets at Rp.90,668.90 per day, or equal to Rp.12,952.70 per work hour.</p> <p>The group manager suggest their individual smallholder to pay their harvester Rp.120,000 – 140,000/ton FFB (The variation depends on location of oil palm block, terrain, age/height of palm, etc.). The harvester team consist of cutter and wheeler (2 workers). A harvester team can produce an average of 1,5 – 3 tons/day. As a standard, a harvester team can produce 1 ton of FFB in 2 hours time (average). On a day, a harvester can perform harvesting on 2 oil palm blocks. The harvesting team will perform work on the same block three times per month, following the harvesting rotation (10 days).</p> <p>Following these calculation, a harvester team can get paid Rp.90,000 (harvesting 1.5 tons FFB with 3 working hours) at minimum. This wage standard meets the minimum wage regulation; with 3 work hours the the minimum wage calculation sets at Rp.38,858.</p>	

Criterion / Indicator	Assessment Findings	Compliance
6.5.2 Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be available in the languages understood by the workers or explained carefully to them by a management official.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
If individual members employ workers or sub-contractors: <ul style="list-style-type: none"> • employment contracts and conditions (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be explained in the language they understand 	Not applicable as all of the workers are considered as casual workers or they are managed the farm by the member on their own.	
Requirement for Group Manager		
Appropriate to scale, the Group Manager shall ensure that members comply with labour laws and conditions (6.5.2, 6.5.3 & 6.5.4)	The group manager suggest their individual smallholder to pay their harvester Rp.120,000 – 140,000/ton FFB (The variation depends on location of oil palm block, terrain, age/height of palm, etc.). The group manager monitors the implementation of worker payment through the ICS internal inspection report.	
6.5.3 Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible.		
Requirement for Individual Member with up to 50ha of plantation size		N/A
appropriate to scale, members shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible	Not applicable as all of the workers are considered as casual workers. They were staying at their own houses.	
Requirement for Group Manager		
Appropriate to scale, the Group Manager shall ensure that members comply with labour laws and conditions (6.5.2, 6.5.3 & 6.5.4)	Not applicable as all of the workers are considered as casual workers. They were staying at their own houses.	
6.5.4 Growers and millers shall make demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food.		
Requirement for Individual Member with up to 50ha of plantation size		N/A

Criterion / Indicator	Assessment Findings	Compliance
appropriate to scale, members shall make efforts to ensure access to food to workers, including providing allotment (space) for growing food	Not applicable as all of the workers are considered as casual workers.	
Requirement for Group Manager		
Appropriate to scale, the Group Manager shall ensure that members comply with labour laws and conditions (6.5.2, 6.5.3 & 6.5.4)	Not applicable as all of the workers are considered as casual workers.	
Criterion 6.6:		
The employer respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.		
6.6.1 A published statement in local languages recognising freedom of association shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
If individual members employ workers: <ul style="list-style-type: none">• A published statement shall be available in local languages recognising freedom of association (to form and join trade unions)	Most of the farmers are managed their land independently. Therefore, the policy does not directly applicable to them. However, individual members are still part of Asosiasi Petani Sawit Swadaya Amanah – an organization.	
Requirement for Group Manager		
The Group Manager shall be aware of the statement, if applicable	There is a publicly policy freedom of association as regulated in “Kebijakan Lingkungan, Sosial, Kesehatan dan Keselamatan” section 7 “Menghormati hak setiap anggota dan karyawan untuk membentuk atau menjadi anggota serikat pekerja sesuai keinginannya”.	
6.6.2 Minutes of meetings with main trade unions or workers representatives shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Minutes of the meeting with main trade unions or workers’ representatives shall be documented and kept	Most of the farmers are managed their land independently and they recruited casual workers. Therefore, they do not form or join any association.	
Requirement for Group Manager		
N/A	N/A	

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Criterion / Indicator	Assessment Findings	Compliance
Criterion 6.7: Children are not employed or exploited.		
6.7.1 There shall be documentary evidence that minimum age requirements are met.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Member shall be aware of the child labour policy and implement it.	The members were aware of the policy of child labour. They do not recruited any children to work in the farm.	
Member shall keep records of their employees including age, including copies of birth certificate/national identification card/passport	Most of the farmers are managed their land independently and they recruited casual workers who were not underaged.	
Requirement for Group Manager		
Write a policy on Child Labour and keep records of documented evidence of awareness raising on child labour	<p>There is a publicly available Child Labour policy as stated in Policy of Environmental, Social, Health and safety issued January 2013 at Section 6 "(Melarang anak anak dalam setiap kegiatan ASOSIASI) and the company also has circulated letter No.04/KUD.8/39/1/2011, dated 08/01/2011 stated that "Tidak mempekerjakan anak anak (dibawah umur)" no worker under 18 years of age.</p> <p>Smallholder members are provided with training and briefing to understand the requirements of national labour law, and RSPO requirements related to child labour. Interview with head of KT/farmer sub-group, four (4) chemical sprayers and storekeeper indicated that the current workers have been recruited as aged over 18 years old. Field visit suggest no child worker employed on member's plot.</p> <p>Based on interview with "Dinas Perkebunan Kabupaten Pelalawan" found that there is no complaint regarding under age workers in Asosiasi Amanah.</p>	
The policy shall be clear that children can only work under supervision, are family members and not doing hazardous work	No child is allowed to work in oil palm plantation of Asosiasi Petani Sawit Swadaya Amanah.	
Criterion 6.8: Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.		

Criterion / Indicator	Assessment Findings	Compliance
6.8.1 A publicly available equal opportunities policy including identification of relevant/affected groups in the local environment shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Members shall be aware of the equal opportunities policies and implement it	The policy is produced in Bahasa and confirmed during interview is understood by members and workers.	
Requirement for Group Manager		
Write a policy on equal opportunities and keep records of documented evidence of awareness raising on it	<p>There is a publicly available equal opportunities policy as stated in Policy of Environmental, Social, Health and safety issued January 2013 at Section 4 consists of Treat all members and employees fairly in admissions, assessment, conditions and working environment as well as representation regardless of caste, ethnicity, country of origin, religion/belief, disability, gender, sexual orientation and Union membership. (Memperlakukan seluruh anggota dan karyawan secara adil, dalam hal penerimaan, penilaian, kondisi dan lingkungan kerja, serta keterwakilan tanpa memandang suku, kasta, asal Negara, agama/kepercayaan, cacat, gender, orientasi seksual dan keanggotaan serikat pekerja.)</p> <p>The policy is produced in Bahasa and confirmed during interview is understood by members and workers.</p>	
6.8.2 Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated against.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Members shall be aware of the equal opportunities policies and implement it	<p>There is no discrimination among workers. Workers are treated equally with regard to working opportunities. This was confirmed by members, workers and stakeholder interview.</p> <p>Asosiasi Amanah employs two workers, one male and one female.</p>	
Requirement for Group Manager		
N/A	N/A	
6.8.3 It shall be demonstrated that recruitment selection, hiring and promotion are based on skills, capabilities, qualities, and medical fitness necessary for the jobs available.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

Criterion / Indicator	Assessment Findings	Compliance
Members shall be aware of the equal opportunities policies and implement it	The recruitment and selection process based on series of questionnaire and evaluation of work performance.	
Requirement for Group Manager		
N/A	N/A	
Criterion 6.9:		
There is no harassment or abuse in the work place, and reproductive rights are protected.		
6.9.1 Policy to prevent sexual and all other forms of harassment and violence shall be implemented and communicated to all levels of the workforce.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Appropriate to scale, members shall develop the policy/polices and procedure to prevent sexual, all other forms of harassment, violence and protection of reproductive rights	Interview with workers and external stakeholder reveal that there is no kind of harassment or violence reported. Interview with female sprayer, member of spraying team/TUS confirmed that fellow female workers are able to claim pregnancy and menstruation leave without fear of reprisal.	
Requirement for Group Manager		
Group Manager shall develop the Policy/Polices and procedure to prevent sexual, and all other forms of harassment, violence and protection of reproductive rights	<p>Policy on preventing sexual harassment and violence against women and protection is documented as one of the group Policy (Policy of Environmental, Social, Health and safety issued January 2013). The grievance mechanism to address sexual harassment issues is similar to the complaint procedure as highlighted in Criterion 6.3 above.</p> <p>The policy stated that: "Melarang anak anak dalam setiap kegiatan ASOSIASI dan mencegah pelecehan seksual dan berbagai bentuk kekerasan terhadap perempuan serta melindungi hak hak reproduksinya".</p> <p>Interview with workers and external stakeholder reveal that there is no kind of harassment or violence reported. Interview with female sprayer, member of spraying team/TUS confirmed that fellow female workers are able to claim pregnancy and menstruation leave without fear of reprisal.</p>	
6.9.2 A policy to protect the reproductive rights of all, especially of women, shall be implemented and communicated to all levels of the workforce.		
Requirement for Individual Member with up to 50ha of plantation size		Complied

Criterion / Indicator	Assessment Findings	Compliance
<p>Members shall make sure that all staff/workers are aware of the policies and procedures to prevent sexual, and all other forms of harassment and violence as well as of the policy of the protection of reproductive rights</p>	<p>Most of the farmers are managed their land independently. Therefore, the policy does not directly applicable to them. However, Asosiasi Petani Sawit Swadaya Amanah has provided communication on protection of reproductive rights to the members.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall make sure that all members are aware of the policies and procedures to prevent sexual, and all other forms of harassment, violence and protection of reproductive rights</p>	<p>Interview with workers and external stakeholder reveal that there is no kind of harassment or violence reported. Interview with female sprayer, member of spraying team/TUS confirmed that fellow female workers are able to claim pregnancy and menstruation leave without fear of reprisal. A dedicated washing room and locker room are provided for female worker to washing after work.</p> <p>Monthly pregnancy test was conducted. No pregnant or breastfeeding female worker are allowed to perform chemical application.</p>	
<p>6.9.3 A specific grievance mechanism which respects anonymity and protects complainants where requested shall be established, implemented, and communicated to all levels of the workforce.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		
<p>Members shall be aware of the policy/policies and procedures for handling sexual and all other forms of harassment, violence and the protection of reproductive rights, in the language which the workers can understand</p>	<p>Most of the farmers are managed their land independently. Therefore, the policy does not directly applicable to them. Individual member understands that handling sexual harassment issue directly with group manager.</p>	<p>Minor</p>
<p>Requirement for Group Manager</p>		

Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall ensure members are aware of the policy/policies and procedure for handling sexual and all other forms of harassment, violence and the protection of reproductive rights, in the language which the workers can understand</p>	<p>The grievance mechanism to address sexual harassment issues is similar to the communication procedure as highlighted in Criterion 6.2 above. Interview with workers and office staff confirmed the understanding of smallholder mechanism.</p> <p>Interview with workers and external stakeholder reveal that there is no kind of harassment or violence reported. Interview with female sprayer, member of spraying team/TUS confirmed that fellow female workers are able to claim pregnancy and menstruation leave without fear of reprisal. A dedicated washing room and locker room are provided for female worker to washing after work.</p> <p>Monthly pregnancy test was conducted. No pregnant or breastfeeding female worker are allowed to perform chemical application.</p>	
<p>Criterion 6.10: Growers and mills deal fairly and transparently with smallholders and other local businesses.</p>		
<p>6.10.1 Current and past prices paid for Fresh Fruit Bunches (FFB) shall be publicly available.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		
<p>Where Group Managers sell the FFB on behalf of the group members, the Group Manager shall inform group members of the price of FFB obtained.</p>	<p>The group manager are selling FFB on behalf of the group members. The Amanah public FFB price in office with accessible for all members and also the Amanah Committee members send SMS to all Farmer Group leader update of FFB price weekly.</p>	
<p>6.10.2 Evidence shall be available that growers/millers have explained FFB pricing, and pricing mechanisms for FFB and inputs/services shall be documented (where these are under the control of the mill or plantation).</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>The individual member understands the pricing mechanism of the purchaser</p>	<p>The Asosiasi Amanah has provided explanation on the FFB pricing formula to their member. Based on interview with smallholders member confirmed they understood on FFB pricing mechanism and no complaint was noted regarding FFB price determination.</p>	
<p>Requirement for Group Manager</p>		

Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall record the general pricing mechanisms used by the purchaser/s of the FFB. The Group Manager shall record the corresponding information provided to the group members</p>	<p>The Asosiasi Amanah has provided explanation on the FFB pricing formula to their member. Based on interview with smallholders member confirmed they understood on FFB pricing mechanism and no complaint was noted regarding FFB price determination.</p>	
<p>6.10.3 Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		
<p>Where Group Managers have the mandate to enter into contractual agreements on behalf of the group, the Group Manager shall inform group members about their content and make them available. These contracts shall also be fair, legal and transparent for the contractors. Where no such mandate exists, the Group Manager has to seek agreement from group members prior to entering contractual agreements with third parties. These contracts shall also be fair, legal and transparent for the contractors</p>	<p>Group manager has provided contractual agreement with their partners in term of FFB transport to the mill. Review records found work contract has been agreed between group manager and their contractor.</p>	
<p>6.10.4 Agreed payments shall be made in a timely manner.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Complied</p>
<p>Agreed payments to local businesses shall be made in a timely manner</p>	<p>The individual smallholders were paid in cash once the FFB sent to the dealer. Besides, the casual workers were paid once they completed their jobs.</p>	
<p>Requirement for Group Manager</p>		
<p>Agreed payments to local businesses shall be made in a timely manner. If the Group Manager receives payment for the FFB produced by group members, the Group Manager shall make payments to the individual group members in a timely manner.</p>	<p>Group manager can show an agreed payment made in a timely manner. Receipts of payment was checked and confirmed.</p>	
<p>Criterion 6.11: Growers and millers contribute to local sustainable development where appropriate.</p>		

Criterion / Indicator	Assessment Findings	Compliance
6.11.1 Contributions to local development that are based on the results of consultation with local communities shall be demonstrated.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
The responsibility for meeting this requirement lies with the Group Manager	Not applicable.	
Requirement for Group Manager		
Evidence of consultation with local communities and stakeholders. Where contributions have been identified as necessary based on the consultation carried out, the Group Manager shall ensure that these are implemented	Based on interview with sampled individual member and document review upon FFB payment receipt, the contribution to local development in form of: -Masjid development levy for KT/farmer group 312 of Rp.100,000/month/block; Donation of Rp.50,000/month/block from KT/farmer group 316; Contribution in form of manpower utilization from Amanah’s operational activity such as spraying, fertilizer application, pruning, harvesting FFB, transportation of FFB, etc. Asosiasi Amanah also provide social donation in form of independence day celebration, help for UnRi students, head of village election process etc.	
6.11.2 Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve smallholder productivity.		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
N/A	N/A	
Criterion 6.12: No forms of forced or trafficked labour are used.		
6.12.1 There shall be evidence that no forms of forced or trafficked labour are used.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Appropriate to scale, members shall have a policy on no forms of forced or trafficked labour	Individual smallholders does not have policy on forced or trafficked labour. Individual smallholder understand the group rules on prohibiting the use if forced and trafficked labour.	

Criterion / Indicator	Assessment Findings	Compliance
Members/workers shall be aware of the policy and ensure that no forms of forced or trafficked labour are used	Individual smallholders does not have policy on forced or trafficked labour. Individual smallholder understand the group rules on prohibiting the use if forced and trafficked labour.	
Requirement for Group Manager		
The Group Manager shall write a policy on no forms of forced or trafficked labour	Asosiasi Petani Sawit Swadaya Amanah has a policy on prohibit the use of forced labour and trafficked labour. This policy has been disseminated to group members.	
The Group Manager shall ensure that members/workers are aware of the policy and that no forms of forced or trafficked labour are used	Asosiasi Petani Sawit Swadaya Amanah has a policy on prohibit the use of forced labour and trafficked labour. This policy has been disseminated to group members.	
6.12.2 Where applicable, it shall be demonstrated that no contract substitution has occurred.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Members shall keep relevant records of employment contracts.	Most of the farmers are managed their land independently or recruited casual workers. All of workers are from the area of Ukui District. No foreign worker. Therefore, no record of post-arrival orientation is noted.	
Requirement for Group Manager		
N/A	N/A	
6.12.3 Where temporary or migrant workers are employed, a special labour policy and procedures shall be established and implemented.		
Requirement for Individual Member with up to 50ha of plantation size		Complied
Where applicable, copies of post-arrival orientation programme and records of participation shall be kept.	Most of the farmers are managed their land independently or recruited casual workers. All of workers are from the area of Ukui District. No foreign worker. Therefore, no record of post-arrival orientation is noted.	
Requirement for Group Manager		
N/A	N/A	
Criterion 6.13: Growers and millers respect human rights.		
6.13.1 A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations (see Criteria 1.2 and 2.1).		
Requirement for Individual Member with up to 50ha of plantation size		Complied

Criterion / Indicator	Assessment Findings	Compliance
Individual members to show evidence that they understand the policy	Most of the farmers are managed their land independently or recruited casual workers. Therefore, the policy does not directly applicable to them. However, Asosiasi Petani Sawit Swadaya Amanah and PT. Inti Indosawit Subur - Ukui have conducted training on the policy related to respecting human rights.	
Requirement for Group Manager		
Group Manager to develop policy to respect human rights i.e. that workers are treated with respect and dignity, and ensure that this is communicated through group members	Eventhough there is no formal policy with regards to human rights; however, group manager and their member can show commitment to respect human rights within their operational activities and social relationship with all internal and external stakeholders. This was confirmed during interview with group manager, smallholder member, and head of villages. Sampled farmer members understood the human right implementation in form of freedom to pray; freedom access to education and knowledge through training, etc.; freedom to organize and speak; freedom to discussion for solution, etc.	

Principle 7: Responsible development of new plantings

Criterion 7.1:

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

Audit team had verify on the land title & planting cycle and no new planting after November 2005 being detected in the samples.

Based on the smallholder database, the planting year for individual members of Asosiasi Petani Sawit Swadaya Amanah was between 1997 – 2003.

Criterion / Indicator	Assessment Findings	Compliance
Principle 8: Commitment to continual improvement in key areas of activity		
Criterion 8.1:		
Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.		

Criterion / Indicator	Assessment Findings	Compliance
<p>8.1.1 The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria.</p> <p>As a minimum, these shall include, but are not necessarily be limited to:</p> <ul style="list-style-type: none"> • Reduction in use of pesticides(Criterion 4.6); • Environmental impacts (Criteria 4.3, 5.1 and 5.2); • Waste reduction (Criterion 5.3); • Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); • Social impacts (Criterion 6.1); • Optimising the yield of the supply base. 		
Requirement for Individual Member with up to 50ha of plantation size		Complied
<p>Fulfil the requirements laid out by the Group Manager, such as attending relevant training, filling in the checklist/tools provided to guarantee legal compliance.</p> <p>Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.</p>	<p>The individual smallholders have been attended the trainings conducted by group manager. This has been recorded into training records, minutes of training and attendance list. The latest training on social impacts and environmental impacts identification carried out on 17 June 2017.</p>	
<p>Members shall provide inputs to the Group Action Plan for continual improvement.</p>	<p>Individual smallholder gave inputs, suggestion and/or critics during annual member meeting. These information then collated into action plan by group manager. Group manager also incorporated inputs from government authorities.</p>	
<p>Members shall keep individual records of pesticide use, fertiliser application, FFB production etc. according to a standard template provided by the Group Manager</p>	<p>The individual members did not apply pesticide themselves. Group manager appoints Tim Unit Semprot to apply herbicide to control weed. The usage of fertilizer has been recorded into the monitoring sheet by the field officer into group's fertilizer application.</p>	
<p>Discuss with the Group Manager the timing of the replanting programme.</p>	<p>No any replanting activities up-to-date. The members were aware of the timing of replanting by their experience.</p>	
Requirement for Group Manager		
<p>Group Managers shall record information on environmental impacts, waste reduction, pollution & GHG and social impacts.</p>	<p>The group manager maintain records of all its member farm operation; i.e. workers, fertilizer, FFB sales, legal requirements, land title, fertilizer use, agrochemical used, soil treatment, water management, etc.</p>	
<p>Group Managers shall periodically (e.g. quarterly) collate the records of individual members.</p>	<p>Group manager update the records of individual members on annual basis. This has been presented during annual member meeting.</p>	
<p>Group Managers shall facilitate the development of the Group Action Plan through an annual group meeting.</p>	<p>Group manager has organized the annual member meeting.</p>	

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Criterion / Indicator	Assessment Findings	Compliance
Group Managers shall be responsible for the continuous improvement in key operations.	Group Manager- H. Narno is the person in charge for the continuous improvement in key operations. The group management plan being monitored by Group Manager.	

Appendix B: Approved Time Bound Plan

Not applicable.

Appendix C: Certification Unit RSPO Certificate Details

Asosiasi Petani Sawit Swadaya Amanah

BSI RSPO Certificate No: RSPO 594864

Date of Initial Certificate Issued: 29 July 2013

Date of Expiry: 28 July 2018

RSPO membership number: 1-0133-12-000-00

Applicable Standards: RSPO Group Standard Certification, March 2016

Asosiasi Petani Sawit Swadaya Amanah – Independent Smallholders					
Location Address		Trimulya Jaya, Bukit Jaya, and Air Mas Villages, Ukui District, Pelalawan Regency, Riau Province – Indonesia			
GPS Location		N 0° 09' 36.85" and E 102° 06' 09.46"			
Total Planted Area and Location		1,048.07 Ha			
Total Number of Members		501 members			
Projected Certified FFB		25,299.04 mt			
Projected Certified CPO Total		5,019.51 mt (OER 19.84%)			
Projected Certified PK Total		1,384.02 mt (KER 5.51%)			
Projected Certified PKO Total		622.80 mt (PKOER 45%)			
Projected Certified PKE Total		761.21 mt (PKEER 55%)			
Smallholder number	Name of Registered Smallholder (as per Land Title)	Total planted area/Ha	Smallholder number	Name of Registered Smallholder (as per Land Title)	Total planted area / Ha
311-001	SUKARI	2.50	311-021	AGUS AS	2.40
311-002	TURAHMIN	2.17	311-022	ZAINAL ABIDIN / SUMARDI	1.64
311-003	RASIMIN	2.22	311-023	JUWADIANTO	2.00
311-004	MUSTAKIM	2.34	311-024	SUTEJO	1.51
311-005	SUTARNO	3.06	311-025	ZAINAL FATONI	1.94
311-006	AMIRUDIN	2.31	312-026	SARJI	2.77
311-007	SUBIAT	2.28	312-027	WIJI NINGSIH	1.84
311-008	AWALUDIN	2.08	312-028	MARLAN	2.54
311-009	JUMINIANTO	2.10	312-029	FAROID	1.54
311-010	ARIF ASWARI	2.26	312-030	SUKAPTO	1.70
311-011	SUGENG	1.65	312-031	SAUNAH	2.98
311-012	SUNARDI	2.91	312-032	SAIFUL ANWAR	1.18
311-013	SUYADI	1.73	312-033	SUMARDI	2.41
311-014	JASMIATUN	2.57	312-034	SUGIYO	1.91
311-015	SALIM DAROINI	2.60	312-035	SUSTINI	2.10
311-016	SALIMIN	1.76	312-036	BAMBANG SUKOHADI	1.74
311-017	SUKARI	1.53	312-037	SAFRUDIN JUFRI	2.06
311-018	SUPRIANTO	1.65	312-038	M.SUNARNO	2.14
311-019	KANAFAI	1.79	312-039	BUKORI	1.79
311-020	BUSTAMI	1.84	312-040	MIFTA HUSALIMA	1.80

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312-041	TARIMIN	2.15	312-081	SULIMIN	1.72
312-042	KIMIN	2.13	313-082	SURYANI	2.18
312-043	H.SUTIKNO	1.88	313-083	MUHAMMAD MASKUR	1.91
312-044	SUWARNO	2.65	313-084	SAIKHUSON.A	2.07
312-045	M.SUNARNO	2.81	313-085	MUKLIS ZAENAL ABIDIN	2.04
312-046	SUPRIH	1.34	313-086	M. BUDI UTOMO	2.21
312-047	WIDODO	2.03	313-087	DAROENI	2.31
312-048	SURATIN	2.05	313-088	MAGI	2.20
312-049	KASNO	1.74	313-089	MUKSIM	1.87
312-050	DARDIRI	2.15	313-090	FAHRUDIN	2.25
312-051	KATIYO	3.29	313-091	SUHARNO	3.07
312-052	SULARTO	4.13	313-092	AGUS	1.90
312-053	ISMANTO	2.45	313-093	AGUS	2.03
312-054	RIDWAN	3.03	313-094	WALDIMAN	1.55
312-055	IMRON	2.51	313-095	RASUDIN	1.73
312-056	NGADIMIN	3.61	313-096	SUPARJO	1.60
312-057	MARIYONO	2.02	313-097	SARIDIN	1.80
312-058	KATIJO	2.57	313-098	KARNO	2.06
312-059	PAIDI	1.53	313-099	INDAH WATI	1.76
312-060	JARNOTO	1.17	313-100	HERI IDHARYANTO	2.78
312-061	SUPARNI	2.39	313-101	SISWOYO	2.67
312-062	SUBAKRI / SUBAKTI	2.67	313-102	RIDWAN	2.93
312-063	ELFAN / H.SUPARNO	2.41	313-103	ASNIMAR	4.68
312-064	ERMAH	2.24	313-104	ISAM	1.69
312-065	H.SUTIKNO	2.39	313-105	SATIMAN	1.67
312-066	WINARNO MUSOPITOADI	2.38	313-106	WAKIRAN	1.29
312-067	WARTONO	2.16	313-107	SUPARTIN	1.52
312-068	JAILANI	2.44	313-108	WAHYUDI	1.70
312-069	SULIYAH	2.61	313-109	SITI SALAMAH	2.27
312-070	SURADI	2.59	313-110	SUKARJO	2.26
312-071	HAJAR NUZULIA	1.67	313-111	DODI	2.29
312-072	NARSIH	2.29	313-112	SUPARJO	2.02
312-073	HESNI LIASTUTI	1.22	313-113	WAHYUDIN	1.99
312-074	PARMAN	1.71	313-114	BAKAT	1.94
312-075	SOLI KATUN	1.42	313-115	TUKIMIN	1.97
312-076	WARNO	3.38	313-116	MUHAMAD TAHER	1.91
312-077	NYAMAN	1.70	313-117	WIWIK NURDIANTI	2.04
312-078	SUWARTO	1.73	313-118	KURNIA	1.99
312-079	KASNO	1.33	313-119	SUTISNAK	1.99
312-080	RENI	1.79	313-120	KURNIA	1.96

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314-121	DARDIRI	2.66	315-161	MUKLIS	1.58
314-122	SUMARDI/SUYATIN	3.44	315-162	HARTONO	2.04
314-123	SHINTA SOLIKHATUL	2.92	315-163	SUDARWOKO	2.80
314-124	BOERAN	2.21	315-164	TUKIMIN	1,67
314-125	NYAMAN	2.56	315-165	WONGSO	1.06
314-126	YONO / SOLIKATUN	0.45	315-166	SUTIKNO	1.56
314-127	H.KAMSORI	2.02	315-167	NURUL LATIFAH	1.63
314-128	KHOIRUDIN	2.68	315-168	BUDIANTO	1.23
314-129	WADI	2.43	315-169	NGATNO	3.68
314-130	MIJO	2.60	315-170	NASIRIN	3.79
314-131	SARTO	2.67	315-171	YARKASI	4.67
314-132	NYAMIN	2.83	315-172	KARIJEM	1.40
314-133	DARMANTO	3.04	315-173	PARNO	1.54
314-134	HETI ROHMATTUNISAK	2.98	315-174	MUJIB	2.43
314-135	H.SUPARNO	3.50	315-175	MUALIF	2.32
314-136	UNTUNG	1.20	315-176	HARTOYO	2.21
314-137	SANIMAN	2.89	315-177	YAMINAH	2.40
314-138	ISMADI	2.78	315-178	JUNAIDI	2.45
314-139	SURANTO	2.28	315-179	YATIMAN	3.17
314-140	MAHFUD	2.60	315-180	KOMAIIDI	2.26
314-141	SATIMAN	1.83	315-181	SYAHRONI	2.09
314-142	SUPRI	0.87	315-182	GIYAT	2.41
314-143	ENI SURYANI	1.72	315-183	FAKIH	2.45
314-144	SARJANTO	1.93	315-184	H.SUNARYO NURSIDIN	2.83
314-145	VERI HERMAWAN	2.44	315-185	KATIMO	2.80
314-146	JUMALI	1.91	315-186	SONDI	1.95
314-147	YURI YAHWATI	1.84	315-187	JULEKHA	2.67
314-148	PARYANTO	2.10	315-188	SARIDI	2.68
314-149	WIDODO	2.64	315-189	WARTONO	2.22
314-150	H.SAFII	2.20	315-190	SISWOYO	1.95
314-151	JUMINIANO	2.51	315-191	SAINEM	2.41
314-152	AZIZ JOMAS IMANSYAH	3.17	315-192	TARMO	1.66
314-153	H.SASIAWAN	2.38	315-193	YAHMIN	2.54
314-154	H.SASIAWAN	2.75	316-194	FAKHRUDIN	1.98
314-155	PAERAN	3.04	316-195	MASHUDI	1.72
314-156	RIDWAN	3.00	316-196	MATREKAN	1.80
314-157	SURATNO	1.87	316-197	SUGENG SUGIONO	1.76
315-158	MESIRAN	2.61	316-198	ADAM	1.80
315-159	MUHAMMAD ALI	1.96	316-199	JAMIL	1.81
315-160	NUR HALIMAH	2.67	316-200	SITI NIAMAH	1.92

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316-201	ERIK PRANATA	1.77	317-241	KASNAWI	2.52
316-202	SRI WAHYUNI	2.43	317-242	NGATIMIN	2.85
316-203	PARDI JOYOKIDIN	1.81	317-243	SETO	2.18
316-204	SURATNO/SUYADI SUYATNI	1.98	317-244	PAITEM	2.67
316-205	YULIANTO	2.03	317-245	PRAYITNO	1.84
316-206	OYU	1.99	317-246	RASMAT	1.99
316-207	H. KAMSORI	2.11	317-247	TULARNO	2.38
316-208	YULAIKAH	1.85	317-248	SAIDI	1.82
316-209	SYAFI'I	1.88	317-249	KATIMAN	2.04
316-210	H.SUNARYO NURSIDIN	1.75	317-250	PARDIYO	2.32
316-211	BUSRI	1.89	317-251	WAKIDI	2.10
316-212	H.M MUALIM	1.87	317-252	SAPARI	2.32
316-213	MISBAH	2.05	317-253	TOLU	2.10
316-214	JUWARNO	2.40	317-254	SAGIRAN	2.07
316-215	YATI	2.19	317-255	SUHARNO	2.05
316-216	BUDI	2.33	317-256	SUPIONO	3.24
316-217	SUJINO	2.60	317-257	SUWITO ATMADI	2.25
316-218	H. WAHYU	2.01	317-258	SUTINAH	2.41
316-219	REBO / BUKHORI	1.91	317-259	SUTIMIN	1.83
316-220	JATMIKO	1.66	317-260	SATIJAN	2.00
316-221	HARJO	1.97	317-261	NGADIMIN	1.90
316-222	AMIN	1.56	317-262	SUWITO ATMADI	2.21
316-223	EDI SUMARMIN	1.88	317-263	SUTINAH	2.93
316-224	CICIH JUARSIH	2.71	317-264	SUTARLAN	1.86
316-225	RUSJANTO	2.49	318-265	SITI RUKHANAH	2.28
316-226	SLAMET	2.23	318-266	AHMAD TOHA	1.00
316-227	H.SUNARYO NURSIDIN	2.41	318-267	ENDANG IRIANTI	2.47
316-228	WAGIYEM	2.17	318-268	SAROJI	1.87
316-229	SUKIRTO	2.27	318-269	NURDIN	2.15
316-230	SYAIFUDIN	2.12	318-270	SUMADI	2.03
316-231	H.ZAINI	2.07	318-271	SUKITAR	2.23
316-232	KHOLID	1.79	318-272	YAKUB	2.55
316-233	NUR ROHMAN	1.85	318-273	MUSTADI	2.25
317-234	SUMIYARNO	1.95	318-274	SOMAD	2.66
317-235	SARNITI	1.55	318-275	SUGITO SAHAR	2.36
317-236	PAINO	2.71	318-276	SUDI UTOMO	2.66
317-237	RUSLAN	2.24	318-277	SUYONO	2.35
317-238	JUMALIK	2.39	318-278	PUJIANTO	0.78
317-239	JUMIYO	1.74	318-279	MUHAMMAD SOLEH	2.70
317-240	SUGINO	1.91	318-280	KOSIM	2.22

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318-281	TARMINI / ROHMADI	1.19	319-321	MULYADI	1.24
318-282	SETU	3.67	320-322	WIDODO	1.93
318-283	MAHMUD	2.17	320-323	KALIDI	2.81
318-284	NGATIRAN	2.75	320-324	YATNO MARDIANTO	2.42
318-285	ARI WIDODO	1.97	320-325	SAKIRAN	2.14
318-286	DWI UNTORO	2.25	320-326	DIMAN	2.25
318-287	M.YAMIN	2.21	320-327	MISNO	2.68
318-288	SUKANI	2.22	320-328	JASWIJAYA/Sulistiana	2.72
318-289	SUKEMI	2.13	320-329	TARIONO / RUSMAN	2.28
318-290	SUWITO	2.19	320-330	DULROSID	1.91
318-291	KARSIDI	2.16	320-331	JASRI	2.01
318-292	WAHYU	2.34	320-332	DINANIK/SUKADI	2.80
319-293	SABAR	1.93	320-333	TRIMO/YAJI	2.55
319-294	SULIONO	1.65	320-334	TRIMO	1.67
319-295	WIDODO / KRISTIANI	1.57	320-335	SAKIRAN	2.11
319-296	TUKIMIN / JOKO SANTOSO	1.55	320-336	YASIR	2.16
319-297	SAGIMAN	1.56	320-337	SLAMET	1.56
319-298	MARDI	2.00	320-338	TARSIMIN	2.90
319-299	FITRI	1.85	320-339	DIMAN	2.08
319-300	PARNO	1.88	320-340	SUGIONO	2.12
319-301	SUTARMAN	1.86	320-341	SUTRISNO	1.85
319-302	ASMA JAYA / ASMO	1.38	320-342	MUDOKO	2.48
319-303	KUSAINI	1.25	320-343	JULEKHAH / JULEHAH	1.63
319-304	SUMADI / HENDRIZAL	1.31	320-344	SAKUR	1.79
319-305	SANTIKO JUWITO / NGATNO	1.69	320-345	HARYANTO	2.30
319-306	KOLIS	1.45	320-346	MARSUDI	1.73
319-307	SAMIDI	1.50	320-347	JASWIJAYA	2.70
319-308	SAEROJI / ROJI	2.23	320-348	DENI IRAWAN	2.11
319-309	SARPAN	1.92	320-349	CHATAM HADIS	2.79
319-310	KOMAR	0.97	321-350	ADI SUKARNO	2.00
319-311	SUTRIS	0.97	321-351	TIJAN	2.00
319-312	JOKO PURWANTO	3.50	321-352	KARYONO	2.00
319-313	UMI HANIK	1.71	321-353	SRI MULYANI	1.99
319-314	NARKO	2.83	321-354	SITI KASANAHA	2.00
319-315	UMI HANIK/SAIFUL	1.30	321-355	WASITUN	2.00
319-316	MADI	2.29	321-356	MARKIM	2.00
319-317	JUSI	3.16	321-357	SRI MULYANI	1.99
319-318	PEPEN / KOMSIATUN	0.62	321-358	SUTRISNO	2.00
319-319	TKD	10.83	321-359	MINARTI	2.00
319-320	MARNI	1.42	321-360	TAMTOMO	2.00

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321-361	YITNO	2.00	322-401	SUWARNO	1.73
321-362	HJ. PUJIATI	1.94	322-402	SUPARDI	1.11
321-363	PURWOWIHARJO	1.99	322-403	MISINEM	1.97
321-364	ISWANJANA	1.95	322-404	SARTI	1.97
321-365	SARIYUN	1.59	322-405	DIAN SOFIYANA	2.00
321-366	SUPRIYATIN	1.93	322-406	PARMAN	2.00
321-367	PARTINI	1.89	322-407	MADIYO	2.00
321-368	YULI DIANA SARI	1.99	323-408	KAMDANI	2.00
321-369	SUWITO ATMADI	2.00	323-409	GINEM	1.05
321-370	SUWITO ATMADI	2.00	323-410	TUKIMAN	1.94
321-371	SUWITO ATMADI	2.00	323-411	SUGIYONO	1.65
321-372	PAIJAN	1.97	323-412	SUDARTO	1.71
321-373	MUKAYAT	2.00	323-413	SUWITO	1.98
321-374	RINI SETYANTINI	2.00	323-414	SARIPIN	1.70
321-375	HADI MULYONO	2.00	323-415	BUDI HARTONO	2.00
321-376	WAHIB BUDIYONO	2.00	323-416	SITI STIORINI	1.87
321-377	DALINAH	2.00	323-417	DWI TRISTINA	1.45
321-378	JAMUN	1.91	323-418	MARYANTO	2.00
321-379	BIRAH	2.00	323-419	SISWOYO	1.35
321-380	SUMARDI	2.00	323-420	MARNO	1.99
321-381	SUMARDI	2.00	323-421	SUMADI	2.00
321-382	H.NARNO	2.00	323-422	PURJITO	2.00
321-383	H.NARNO	2.00	323-423	HERI PRIYONO	2.00
321-384	MESIRAN	2.00	323-424	GIYEM	2.00
321-385	PARSULIN	2.00	323-425	SUTEKNO	2.00
321-386	SUWARTO	2.00	323-426	ERWIN RIYANTO	2.00
322-387	JURIYANTO	0.85	323-427	ROKHIM	1.87
322-388	ARIFIN BIN NYAIRAN	1.56	323-428	SAMAN	1.94
322-389	PARYANTO	2.00	323-429	DAIMAN	1.86
322-390	HARTATIK	1.94	323-430	SODIKIN	1.58
322-391	NYURIYANTO	2.00	323-431	WIJI NINGSIH	2.00
322-392	NGATIMIN	1.74	323-432	MULYONO	2.00
322-393	BOYADI	2.00	323-433	JIMIN	2.00
322-394	LISNA HERAWATI	1.72	323-434	WARDOYO	2.00
322-395	PAIMAN	1.73	324-435	FARENTINA	1.88
322-396	SAEJO	1.31	324-436	SRINI	2.00
322-397	TARSUTI	1.59	324-437	SUHADI	1.86
322-398	JARWATIN	1.62	324-438	SAMSUL HADI	2.00
322-399	GENU	1.42	324-439	TAMAJI	1.78
322-400	SURYANTO	1.74	324-440	NANANG SUWANDI	1.91

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Smallholder number	Name of Registered Smallholder (as per Land Title)	Total planted area / Ha	Smallholder number	Name of Registered Smallholder (as per Land Title)	Total planted area / Ha
324-441	YATI	1.49	325-481	KALIMAH	1.47
324-442	M. MUKHTAR	2.00	326-482	YANI.S	2.00
324-443	SAIPUDIN	2.00	326-483	SUPRIYATIN	2.00
324-444	MEMED	2.00	326-484	MASTIAH	2.00
324-445	AHIDI	1.34	326-485	HADI MULYONO	2.00
324-446	HARTONO	1.85	326-486	SURATMI	2.00
324-447	YAYAK	1.99	326-487	OKIM	1.48
324-448	ENDANG	1.53	326-488	GIRI PRASADHA	2.00
324-449	MUNIROH	1.98	326-489	WIDHI ROMIKA	1.67
324-450	REBO	1.90	326-490	SOEPRAPTO	2.00
324-451	SUPRIO	1.85	326-491	KARSALI	2.00
324-452	SISWANTO	1.84	327-492	BACHRUN.A	1.61
324-453	SUYADI	1.75	327-493	MA'RUF	1.73
324-454	LANANG SUWARTOYO	2.00	327-494	SUYITNO	1.97
324-455	PURWANTO	2.00	327-495	SITI RUKANAH	1.99
324-456	SAHRU	2.00	327-496	LARNI	1.99
325-457	SUPARDI	1.95	327-497	M.SUPARNO	1.95
325-458	BUDI YANTA	2.00	327-498	M.MASKUR	1.96
325-459	SUWONDO	1.99	327-499	KUSMAN	1.97
325-460	AH. YUSRONI	2.00	327-500	JULIANTO	2.00
325-461	TARAM	1.87	327-501	SUYOTO	1.46
325-462	JELI NURFAIZIN	1.77	TOTAL		1,048.04
325-463	PARJONO	1.99			
325-464	JAMALUDIN	1.99			
325-465	HERMAN	2.00			
325-466	KOMARUDIN	2.00			
325-467	RASTAM	2.00			
325-468	MOMON	2.00			
325-469	SAIFUDIN	1.99			
325-470	SARIYUN	1.86			
325-471	MISGIYANTO	1.99			
325-472	NENI NUR HASANAH	1.93			
325-473	TRIMANTO	1.24			
325-474	MUHAMAD SOLEH	2.00			
325-475	SURYANI	2.00			
325-476	RIYADI	2.00			
325-477	RUSDIYANTO	2.00			
325-478	SUDIYO	2.00			
325-479	DALIJO	2.00			
325-480	SUTIRTO	2.00			

Appendix D: Assessment Plan

Date	Time	Subjects	Pratama Sedayu	Mujinius Jalaraya	Aswan Hasibuan
			PRSPo LA	PRSPo-OHS/EMS	PRSPo-SA
Sunday, 07/05/2017	12.00 – 14.00	Flight Jakarta – Pekanbaru by GA 172	√	√	√
	14.00 – 18.00	Trip Pekanbaru – Air Molek (stay at Wisma Olly)	√	√	√
Monday, 08/05/2017	08.00 – 08.30	Opening Meeting: - Presentation by Asosiasi Petani Sawit Swadaya Amanah - Presentation by BSI Indonesia	√	√	√
	08.30 – 12.00	Field Visit: Inspection to Independent smallholders plot (Best practices, Occupational health and safety, worker welfare, HCV, environment, interview with workers, etc) for 4 sampled individual members	√	√	√
	12.00 – 14.00	Break			
	14.00 – 17.00	Field Visit: Inspection to Independent smallholders plot (Best practices, Occupational health and safety, worker welfare, HCV, environment, interview with workers, etc) for 4 sampled individual members	√	√	√
Tuesday, 09/05/2017	08.00 – 12.00	Field Visit: Inspection to Independent smallholders plot (Best practices, Occupational health and safety, worker welfare, HCV, environment, interview with workers, etc) for 3 sampled individual members	√	√	-
		Stakeholder Interview: Stakeholders meeting with partnering mill, contractors, local communities who are not member and NGO.	-	-	√
	12.00 – 14.00	Break	√	√	√
	14.00 – 17.00	Stakeholder Interview: Stakeholders meeting with partnering mill, contractors, local communities who are not member and NGO - continued	-	-	√
		Field Visit: Inspection to Independent smallholders plot (Best practices, Occupational health and safety, worker welfare, HCV, environment, interview with workers, etc) for 3 sampled individual members	√	√	-
Wednesday, 10/05/2017	08.00 – 12.00	Field Visit: Inspection to Independent smallholders plot (Best practices, Occupational health and safety, worker welfare, HCV, environment, interview with workers, etc) for 4 sampled individual members	√	√	√
	12.00 – 14.00	Break			

Date	Time	Subjects	Pratama Sedayu	Mujinius Jalaraya	Aswan Hasibuan
			PRSP0 LA	PRSP0-OHS/EMS	PRSP0-SA
	14.00 – 17.00	Field Visit: Inspection to Independent smallholders plot (Best practices, Occupational health and safety, worker welfare, HCV, environment, interview with workers, etc) for 4 sampled individual members	√	√	√
Thursday, 11/05/2017	08.00 – 12.00	Document Review: The requirements of the Group Manager and individual Group Members to demonstrate compliance with the RSPO P&C 2013: Legal, manual, policy and procedure, HCV and SEIA documents, OHS, working safety, operational plan, Best Practices, IPM, Training record, social, continuous improvement, etc.	√	√	√
	12.00 – 14.00	Break	√	√	√
	14.00 – 15.00	Field Visit: Warehouse, Chemical store, interview with "TUS" spraying team	-	-	√
	14.00 – 17.00	Document Review: The requirements of the Group Manager and individual Group Members to demonstrate compliance with the RSPO P&C 2013: Legal, manual, policy and procedure, HCV and SEIA documents, OHS, working safety, operational plan, Best Practices, IPM, Training record, social, continuous improvement, etc.	√	√	√
	14.00 – 17.00	Document Review: The requirements of the Group Manager and individual Group Members to demonstrate compliance with the RSPO P&C 2013: Legal, manual, policy and procedure, HCV and SEIA documents, OHS, working safety, operational plan, Best Practices, IPM, Training record, social, continuous improvement, etc.	√	√	√
Friday, 12/05/2017	08.00 – 12.00	Document Review: The requirements of the Group Manager including the traceability	√	√	√
	12.00 – 14.00	Break	√	√	√
	14.00 – 16.00	Document Review: The requirements of the Group Manager including the traceability - continued	√	√	-
		Field Visit: Warehouse, Chemical store, interview with "TUS" spraying team	-	-	√
	16.00 – 16.30	Report preparation	√	√	√
	16.30 – 17.00	Closing Meeting			
	17.00 – ...	Trip Ukui - Pekanbaru	√	√	√

Appendix E: Stakeholders Contacted

<p>Internal Stakeholders</p> <p>Workers</p> <p>Individual smallholders</p> <p>Field assistants</p>	<p>Union/Contractors/Local Communities/NGO</p> <p>WWF</p> <p>SNV</p>
<p>Government Departments</p> <p>Dinas Lingkungan Hidup Kabupaten Pelalawan</p> <p>Dinas Perkebunan Kabupaten Pelalawan</p>	

Appendix F: List of Sampled Smallholders and Information

No.	Area/ District	State	Smallholder Block Number	Name of Registered Smallholder	Total Hectares stated on title/ Ha	ASA3	ASA4
						2016	2017
2016							
1	Ukui	Pelalawan	311/001	Sukari	2.00	X	
2	Ukui	Pelalawan	311/002	Turahmin	2.00	X	
3	Ukui	Pelalawan	312/027	Wiji Ningsih	2.00	X	
4	Ukui	Pelalawan	312/034	Sugiyono	2.00	X	
5	Ukui	Pelalawan	313/090	Fahrudin	1.95	X	
6	Ukui	Pelalawan	313/091	Suharno	1.95	X	
7	Ukui	Pelalawan	314/131	Sarto	1.99	X	
8	Ukui	Pelalawan	314/134	Heti Rohmattunisak	1.81	X	
9	Ukui	Pelalawan	315/173	Parno	2.00	X	
10	Ukui	Pelalawan	315/175	Mualif	2.00	X	
11	Ukui	Pelalawan	316/221	Harjo	1.36	X	
12	Ukui	Pelalawan	317/236	Paino	2.00	X	
13	Ukui	Pelalawan	318/266	Ahmad Toha	2.00	X	
14	Ukui	Pelalawan	319/295	Widodo	1.57	X	
15	Ukui	Pelalawan	320/328	Sulistiana	2.00	X	
16	Ukui	Pelalawan	321/353	Karyono	1.99	X	
17	Ukui	Pelalawan	322/395	Paiman	1.73	X	
18	Ukui	Pelalawan	323/408	Kamdani	2.00	X	
19	Ukui	Pelalawan	324/442	M. Mukhtar	2.00	X	
20	Ukui	Pelalawan	325/458	Budianta	2.00	X	
21	Ukui	Pelalawan	326/487	Okim	1.48	X	
22	Ukui	Pelalawan	327/493	Ma'ruf	1.73	X	
2017							
23	Ukui	Pelalawan	312/54	Ridwan	2.00		X
24	Ukui	Pelalawan	312/67	Wartono	2.00		X
25	Ukui	Pelalawan	313/82	Suryani	2.00		X
26	Ukui	Pelalawan	313/96	Suparjo	1.97		X
27	Ukui	Pelalawan	313/114	Bakat	1.93		X
28	Ukui	Pelalawan	313/119	Sutisna	2.00		X
29	Ukui	Pelalawan	315/160	Nur Halimah	1.37		X
30	Ukui	Pelalawan	315/166	Sutikno	1.72		X
31	Ukui	Pelalawan	315/171	Yarkasi	2.00		X
32	Ukui	Pelalawan	313/110	Sukarjo	2.00		X
33	Ukui	Pelalawan	316/198	Adam	2.00		X

No.	Area/ District	State	Smallholder Block Number	Name of Registered Smallholder	Total Hectares stated on title/ Ha	ASA3	ASA4
						2016	2017
34	Ukui	Pelalawan	316/202	Sri Wahyuni	1.78		X
35	Ukui	Pelalawan	316/215	Yati	2.00		X
36	Ukui	Pelalawan	316/216	Budi	1.84		X
37	Ukui	Pelalawan	316/232	Kholid	2.00		X
38	Ukui	Pelalawan	317/243	Seto	2.00		X
39	Ukui	Pelalawan	317/253	Tolu	2.00		X
40	Ukui	Pelalawan	317/256	Supiono	2.00		X
41	Ukui	Pelalawan	321/358	Birah	2.00		X
42	Ukui	Pelalawan	321/370	Yuli Diana Sari	2.00		X
43	Ukui	Pelalawan	324/460	Ahmad Yusroni	2.00		X
44	Ukui	Pelalawan	324/447	Rusdiyanto	1.99		X

Appendix I: List of Abbreviations Used

CPO	Crude Palm Oil
EFB	Empty Fruit Bunch
EMS	Environmental Management System
FFB	Fresh Fruit Bunch
HCV	High Conservation Value
IAV	Initial Assessment Visit
ICS	Internal Control System
IPM	Integrated Pest Management
ISCC	International Sustainable Carbon Certification
KT	Kelompok Tani/Farmer Group
MSDS	Material Safety Data Sheet
O&G	Oil and Grease
PK	Palm Kernel
PPE	Personal Protective Equipment
RC	Re-Certification
RSPO P&C	Roundtable on Sustainable Palm Oil Principle & Criteria
SCCS	Supply Chain Certification Standard
SEIA	Social & Environmental Impact Assessment
SIA	Social Impact Assessment
SOP	Standard Operating Procedure
SPPL	Surat Pernyataan Kesanggupan Pengelolaan Lingkungan/Environmental Permit
STD-B	Surat Tanda Daftar Budidaya/Plantation Permit
TNTN	Taman Nasional Tesso Nilo/Tesso Nilo National Park