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Roundtable on Sustainable Palm Oil

3rd Surveillance Audit

Report No: ASA3_82450214005

Assessment against the RSPO Principles & Criteria INA-NI 2016 and RSPO Supply Chain Certification System November 2014 ver-2 Nov. 2016

PT Gawi Makmur Kalimantan

Jorong Palm Oil Mill

Head Office :

Gawi Building 4th floor, Kuningan Office Park, Jl. Setiabudi Selatan Kav.16-17, South Jakarta, Indonesia 12920

Branch Office :

Jl. Pramuka No. 16 RT 020, Sungai Lulut, Banjarmasin Timur – Banjarmasin South Kalimantan Province, Indonesia

Date of assessment: September 28 – 29, 2017

Report prepared by:

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Certification decision by:

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Certification Body

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1.0 Scope of Surveillance Audit

1.1 National Interpretation Used

The operations of the palm oil mill(s) and its supply base of FFB were assessed against the RSPO INA-NI Principle and Criteria 2016 & RSPO SCCS November 2014 ver-2 Nov. 2016.

1.2 Type of Assessment

The surveillance assessment was carried out on 1 (one) mill i.e Jorong Palm Oil Mill (POM) and 2 (two) estates i.e West Estate (Kebun Barat) and Central Estate (Kebun Tengah) under PT Gawi Makmur Kalimantan – Unit of Jorong, South Kalimantan, Indonesia.

1.3 Certification Details

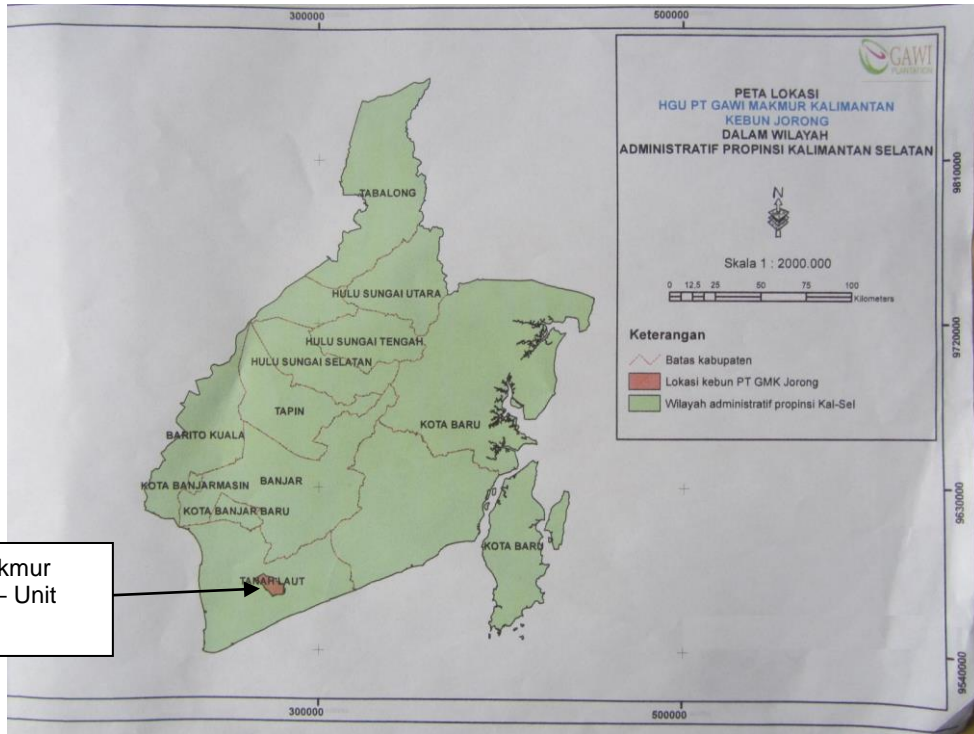
The details of RSPO certification of PT Gawi Makmur Kalimantan – Unit of Jorong area as per the table below

Table 1: RSPO Certification details of PT Gawi Makmur Kalimantan – Unit of Jorong

RSPO Membership no.	:	1-0216-12-000-00.
RSPO Certificate no.	:	824 502 14005
RSPO e-Trace no.	:	RSPO_PO1000001740
Date of first RSPO certificate & validity	:	01-10-2014 until 30-09-2019
Date of 3rd surveillance audit	:	September 28 – 29, 2017
Date of previous surveillance audit	:	September 19 – 21, 2016
Date of revised RSPO certificate & validity (if applicable)	:	Dec 28 th , 2016, validity still Oct 01 st , 2014 until Sept 30 th , 2019
CPO tonnages claimed	:	37.955,87 tonnes
PK tonnages claimed	:	7.990,71 tonnes
Mill Capacity	:	60 tonne FFB per hour
Net GHG Calculation this year (tCO₂e/tCPO)	:	0.89

1.4 Location and Maps

Figure 1: Location map of PT Gawi Makmur Kalimantan – Unit of Jorong in Tanah Laut District, South Kalimantan, Indonesia



PT Gawi Makmur Kalimantan – Unit of Jorong

Figure 2: Map of Estate PT Gawi Makmur Kalimantan – Unit of Jorong

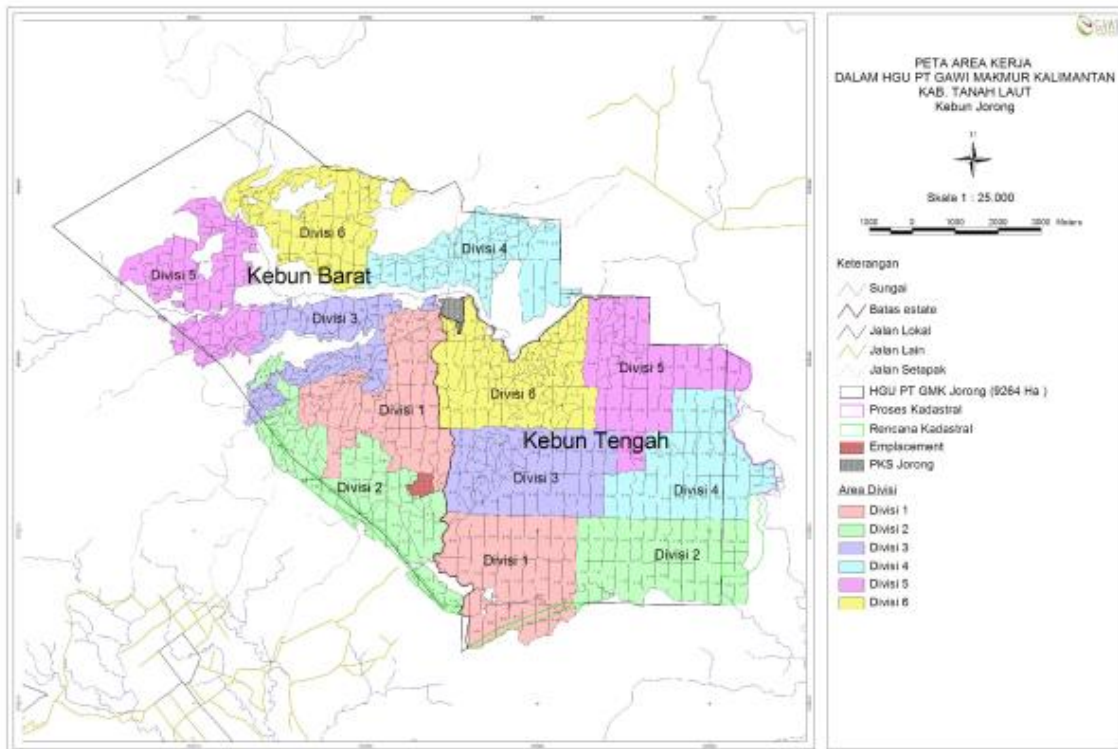


Table 2: GPS locations for all estates and mills included in main assessment

Name of mill / estate	Location	GPS locations	
		Latitude	Longitude
Jorong POM	Damit Hulu Village, Batu Ampar Sub District, Tanah Laut District, South Kalimantan Province	03° 49' 17.0" S	114° 57' 47.3" E
West Estate / Kebun Barat	Damit Hulu Village and Pematangan Village, Batu Ampar Sub District and Bajuin Sub District, Tanah Laut District, South Kalimantan Province	03° 51' 15,0" S	114° 57' 32,6" E
Central Estate / Kebun Tengah	Damit Hulu and Batalang Village, Batu Ampar and Jorong Sub District, Tanah Laut District, South Kalimantan Province	03° 51' 15,0" S	115° 00' 09,0" E

1.5 Organisational Information / Contact Person

Contacts details of the company are as follows:

Company Name :	PT Gawi Makmur Kalimantan
Address :	Head office: Gawi Building 4 th floor, Kuningan Office Park, Jl. Setiabudi Selatan Kav.16-17, South Jakarta District, DKI Jakarta Province, Indonesia 12920 Mill: Damit Hulu village, Batu Ampar Sub District, Tanah Laut District, South Kalimantan Province
Contact Person:	Mr. Farid Makruf
Telephone :	+62-21-579 01 085
Email :	farid.makruf@wingsagro.com

1.6 Description of Supply Base

Table 3: FFB Supply Information for PT Gawi Makmur Kalimantan - Jorong Mill for 2016 and 2017

FFB Contributors	FFB supplied Year 2016*		FFB supplied Year 2017**	
	Tonnes	%	Tonnes	%
Company owned estates				
Barat Estate***	70.752,04	30,37	56.350,32	36,80
Tengah Estate***	88.219,15	37,87	52.896,72	34,54
Sub Total I	158.971,19	68,23	109.247,04	71,34
Smallholder				
Pamatangan Smallholder****	1.008,89	0,43	941,21	0,61
Damit Hulu Smallholder****	2.167,88	0,93	2.808,53	1,83
Sub Total II	3.176,77	1,36	3.749,74	2,45
Outgrower**** :	70.828,55	30,40	40.140,34	26,21
Total	232.976,51	100.00	153.137,12	100.00

*) January to December 2016 (after grading)

**) January to August 2017 (after grading)

***) Certified FFB contributors

****) Uncertified FFB contributors

1.7 Actual production volumes, tonnages and projected outputs.

Table 4: Certified tonnages claimed, certified tonnages purchased or sold, total and projected CPO and PK production from PT Gawi Makmur Kalimantan – Jorong Mill

	Amount (MT)	
	CPO	PK
Realization production for 2016		
Certified tonnages claimed	37.955,87	7.990,71
Certified tonnages sold under RSPO SCCS system**	-	-
Certified tonnages sold under ISCC system	34.725,17	-
Certified tonnages purchased	-	-
Actual Production for 2016 owned estate	35.371,09	7.408,06
Actual Production for 2016 from all parties (owned estate, smallholder and out grower (Jan – Dec))	51.837,27	10.856,71
Conversion Factor year 2016 (average)	22.25	4.66
Projection for 2017		
Projected FFB for 2017 from all (own estate, smallholder and outgrower)	231.690,46	
Projected FFB for 2017 from own estate (budget)*	166.473,09	
Projected output for 2017 own estate (budget)	37.955,87	7.990,71
Projected output for 2017 from all parties (own estate, smallholder and outgrower)	52.825,43	11.121,14
Conversion Factor year 2017 (average)	22.80	4.80

Note:

*) Based on projection of production year 2017 from company owned estates only

***) All dispatch in year 2016 for CPO and PK under claim RSPO SCCS system

1.8 Dates of Plantings and Replanting Cycles

The company follows a replanting cycle of 25-30 years. Information on the dates of plantings is as per the table below.

Table 5: Age and year of plantings of company estate supplying to PT Gawi Makmur Kalimantan – Unit of Jorong

Age & Year of Plantings	Oil palm planted area at each estate (ha)		
	Kebun Barat	Kebun Tengah	Total
Period of January-December 2014			
0 – 5 (2009 – 2013)	245.71	0	245.71
6 – 10 (2004 – 2008)	2,777.03	68.10	2,845.13
11 – 15 (1999 – 2003)	888.05	1,671.05	2,559.10
16 – 20 (1994 – 1998)	0.00	2,746.24	2,746.24
TOTAL	3.901.79	4,485.39	8,396.18
Period of January-July 2015*			
0 – 5 (2010 – 2014)	78.39	0.00	78.39
6 – 10 (2005 – 2009)	2,677.72	68.10	2,745.82
11 – 15 (2000 – 2004)	1,124.20	847.18	1,971.38
16 – 20 (1995 – 1999)	0.00	3,566.42	3,566.42
TOTAL	3,880.31	4,481.70	8,362.01
Period of January-December 2015**			
0 – 5 (2010 – 2015)	117.38	-	117.38
6 – 10 (2005 – 2009)	2,677.72	68.40	2,746.12
11 – 15 (2000 – 2004)	1,124.20	847.18	1,971.38
16 – 20 (1995 – 1999)	-	3,566.42	3,566.42
TOTAL	3,919.30	4,481.70	8,400.30
Period of January-August 2017***			
0 – 5 (2012 – 2017)	103.08		103.08
6 – 10 (2007 – 2011)	1400.31		1400.31
11 – 15 (2002 – 2006)	2390.84	63.95	2454.79
16 – 20 (1997 – 2001)		4408.6	4408.6
21 – 25 (1992 – 1996)			0
26 – 30 (1991 – 1987)			0
TOTAL	3894.23	4472.55	8366.78

Note

*) Verification carried out in 1st Surveillance audit

**) Verification carried out in 2nd Surveillance in September 2016. The difference area was explained in principle 7.3 in the report.

***) Verification carried out in 3rd Surveillance in September 2017.

The company does not have replanting program because based on age of planting, the palm oil trees still productive.

1.9 Area of Plantation (Total, Planted and Mature)

Table 6: Oil Palm Planted Area Summary, FFB Production and Average yield/ha for PT Gawi Makmur Kalimantan – Unit of Jorong

Real existing planted

Estate Name	Total area (ha)	Oil Palm Planted area (ha)	Mature (Production) area (ha)	Immature (Non-production) area (ha)	FFB Production (tonnes)	Average yield/ ha (tonnes/ha)
January – December 2015						
Barat Est.	4,480.05	3,919.30*	3,801.92	60.00	75,876.58	19.72
Tengah Est	5,025.33	4,481.00*	4,481.00	-	100,983.95	22.53
TOTAL	9,505.38	8,400.30	8,332.90	60.00	176,860.53	21.22
January – December 2016						
Barat Est.	4,480.05	3873.93	3809.48	64.45	70.752,04	18.57
Tengah Est	5,025.33	4481	4481	-	88.219,15	19.69
TOTAL	9,505.38	8,354.93	8,290.48	64.45	158.971,19	38.26
January – August 2017						
Barat Est	4,480.05	3894.23	3814.48	79.75	56.350,32	14.77
Tengah Est	5,025.33	4472.55	4472.55	-	52.896,72	11.83
TOTAL	9,505.38	8,366.78	8,287.03	79.75	109.247,04	26.60

Note:

*) For Barat Estate; some area about (181.31 Ha) consist of 116.89 Ha still under cadastral process for land use rights and 64.62 did not have land use rights.

For Tengah Estate; some area about (407.82 Ha) consist of 301.33 Ha still under cadastral process for land use rights and 106.49 did not have land use rights.

Real existing planted for audit scope

Estate Name	Total area (ha)	Oil Palm Planted area (ha)	Mature (Production) area (ha)	Immature (Non-production) area (ha)	FFB Production (tonnes)	Average yield/ ha (tonnes/ha)
January – December 2015						
Barat Est	4,480.05	3,698.22*	3,627.97	60.00	75,876.58	20.91
Tengah Est.	5,025.33	4,073.17*	4,073.17	-	100,983.95	24.79
TOTAL	9,505.38	7,771.39	7,701.14	60.00	176,860.53	22.96
January – December 2016						
Barat Estate	4,480.05	3873.93	3809.48	64.45	70.752,04	18.57
Tengah Est	5,025.33	4481	4481	-	88.219,15	19.68
TOTAL	9,505.38	8,354.93	8,290.48	64.45	158.971,19	19.175
January – August 2017						
Barat Est	4,480.05	3894.23	3814.48	79.75	56.350,32	14.77
Tengah Est.	5,025.33	4472.55	4472.55	-	52.896,72	11.82
TOTAL	9,505.38	8,366.78	8,287.03	79.75	109.247,04	13.18

Note: *) real planted inside land use rights

**Table 7: Land use data for PT Gawi Makmur Kalimantan – Unit of Jorong
Real Planted**

Estate Name	Total area (ha)	Oil Palm Planted Area (ha)	HCV* (ha)	Land used for other purposes (ha)			
				Housing, Road, Drainage, Nursery	Not plantable area	Mill	Other**
January – December 2015							
Barat Estate	4,480.05	3,879.73	1,799.04	180	420.32	-	-
Tengah Estate	5,025.33	4,481.00	85.36	210	207.70	36.63	90
TOTAL	9,505.38	8,360.73	1,884.40	390	628.02	36.63	90
Period of January – December 2016							
Barat Estate	4,480.05	3,879.73	1,799.04	180	420.32	-	-
Tengah Estate	5,025.33	4,481.00	85.36	210	207.70	36.63	90
TOTAL	9,505.38	8,400.30	1,884.40	390	628.02	36.63	90
Period of January – August 2017							
Barat Estate	4,480.05	3894.23	1,799.04	180	405.82		
Tengah Estate	5,025.33	4472.55	85.36	210	212	40.78	90
TOTAL	9,505.38	8366.78	1,884.40	390	617.82	40.78	90

Real Planted for audit scope

Estate Name	Total area (ha)*	Oil Palm Planted Area (ha)	HCV** (ha)	Land used for other purposes (ha)			
				Housing, Road, Drainage, Nursery	Not plantable area	Mill	Other**
January – December 2015							
Barat Estate	4,480.05	3,698.22	1,799.04	180	420.32	-	-
Tengah Estate	5,025.33	4,073.17	85.36	210	207.70	36.63	90
TOTAL	9,505.38	7,771.39	1,884.40	390	628.02	36.63	90
Period of January – December 2016							
Barat Estate	4,480.05	3873.93	1,799.04	180	420.32	-	-
Tengah Estate	5,025.33	4481	85.36	210	207	37.33	90
TOTAL	9,505.38	8354.93	1,884.40	390	627.32	37.33	90
Period of January – August 2017							
Barat Estate	4,480.05	3894.23	1,799.04	180	405.82		
Tengah Estate	5,025.33	4472.55	85.36	210	212	40.78	90
TOTAL	9,505.38	8366.78	1,884.40	390	617.82	40.78	90

Note:

*) Land use rights Decree Letter No.5/HGU/BPN/1999 mentioned the company concession area was 9,264 Ha.

**) HCV area inside the planted area.

1.10 Progress against Time Bound Plan

Table 8: Time Bound Plan of the Other Management Units

Name of Holding	Location	Time bound plan for certification	Remarks
PT Gawi Makmur Kalimantan – Kebun Satui & Kebun Timur	Tanah Bumbu Regency – South Kalimantan	2015	3 rd surveillance
PT Gawi Makmur Kalimantan – Kebun Penajam	Penajam Paser Utara Regency – East Kalimantan	2019	Pre assessment
PT Gawi Makmur Kalimantan – Kebun Paser	Paser Regency – East Kalimantan	2019	Pre assessment

1.11 Compliance to Rules for Partial Certification

Compliance of the uncertified management units of PT Gawi Makmur Kalimantan against the rules for partial certification according to RSPO Certification System clause 4.2.4 was assessed by submission self assessment report. A summary of findings is as stated below:

Partial Certification Requirements	Audit Findings
(a) The parent organization or one of its majority owned and / or managed subsidiaries is a member of RSPO.	PT Gawi Makmur Kalimantan is RSPO member since September 14, 2012 with RSPO membership number 1-0126-12-000-00 .
(b-d) A challenging time-bound plan for certifying all its relevant entities is submitted to the Certification Body (CB) during the first certification audit. The time-bound plan should contain a list of subsidiaries, estates and mills. Any revision to the time-bound plan or to the circumstances of the company shall cause the plan to be reviewed. for whether it is still appropriate, such that changes to the time-bound plan are permitted only where the organisation can demonstrate that they are justified	Company made timebound plan and reported to RSPO as determined on the table
(e) No replacement of primary forest or any area identified as containing High Conservation Values (HCVs) or required to maintain or enhance HCVs in accordance with RSPO criterion 7.3. Any new plantings since January 1st 2010 must comply with the RSPO New Plantings Procedure	There is no evidence that company replace primary forest for they all plantation area. According to Indonesia Governemnt regulation plantation area have to established not in primary forest but could be in logged over area forest (LOA) or production forest for conversion to other forestry uses (hutan produksi yang dapat dikonversi) or non forest area/land for other uses as well as non productive area, land bank and other category area decided by government . In Penajam estate, there are HCV areas amount of 756.60 ha (HCV 1, 3 & 4). There is no evidence that company replace HCV areas.

Partial Certification Requirements	Audit Findings
(f) Land conflicts, if any, are being resolved through a mutually agreed process, e.g. RSPO Grievance procedure or Dispute Settlement Facility, in accordance with RSPO criteria 6.4, 7.5 and 7.6.	There are land conflicts due to overlapping land between the companies (Penajam estate) with the villagers where the conflict is usually resolved by deliberation. The company has procedures/mechanism for handling of conflict and identification, calculation and compensation the loss of legal of land with the involvement of local community representative and relevant agencies. The company has provided evidence such as minute of meeting (include of agreement) a handling of conflict, result of inventories regarding owner of land, record of compensation that was signed by both the parties, head of village and head of sub district, etc
(g) Labour disputes, if any, are being resolved through a mutually agreed process, in accordance with RSPO criterion 6.3.	No labor dispute in PT Gawi Makmur Kalimantan
(h) Legal non-compliance, if any, are being resolved in accordance with the legal requirements, with reference to RSPO criteria 2.1 and 2.2.	Paser and Penajam Paser Utara estates has identified laws/regulations non-compliance and the company are processing it with non-compliance status.

1.12 Compliance to RSPO Guidance on GHG calculation

During the audit, the audit team verify and confirm that

The RSPO PalmGHG Calculator used	3.0
Accurate data has been put into the RSPO PalmGHG Calculator	Yes
Net GHG Emission Figure (tCO ₂ e/tCPO)	13.79

1.13 Progress of associated smallholders or outgrowers towards RSPO compliance

As seen from data in Table 3, in year 2015 is about 1.02% FFB received from smallholders, and for year 2016 until the the end of August, the mill received 1.38%. The company manage community's land for oil palm plantation and all FFB from smallholder will send to the mill.

During the 2nd surveillance audit, the company (Jorong Mill and estate) has been showed the smallholder RSPO certification program and implementation as a mention in RSPO requirement system. The company has been arrange the program for next year.

1.14 Approximate Tonnages Certified

The approximate tonnage certified, based on projection of production year 2017 from company's owned estates only are as follows:

- Crude Palm Oil (CPO) : 37.955,87 tonnes
- Palm Kernel (PK) : 7.990,71 tonnes

2.0 ASSESSMENT PROCESS

2.1 Certification Body

PT TUV Rheinland Indonesia is member of Group TÜV Rheinland Group, a global leader in independent testing and assessment services. The TÜV Rheinland Group was established in 1872 with offices located in over 490 locations in 62 countries on all five continents. PT TUV Rheinland Indonesia offers certification for a wide range of management systems according to established international standards including ISO 9001, ISO 14001, OHSAS 18001, SA 8000, RSPO, ISPO, SNI, Sustainable Forest Management, Timber Legality Verification, etc. PT TUV Rheinland Indonesia's office is located in Jakarta, Indonesia.

2.2 Qualifications of Lead Assessor and Assessment Team

The main certification assessment team members of certification audit are as per the table below :

Name	Position	Qualifications/Experience
Wahyu	Lead Auditor	<p>Education:</p> <ul style="list-style-type: none"> - Master Degree of Management of Manufacturing Engineering, Faculty of Engineering, University of Pancasila - Degree of Mechanical Engineering, University of Indonesia <p>Training attended: RSPO Lead Auditor Course, Pro-Forest & Daemeter, Calculation of Green House Gas at Palm Oil Plantation, Komisi ISPO, ISPO Lead Auditor Course, Komisi ISPO, Verified Legal Compliance & Reduced Impact Logging Auditor Training, by Tropical Forest Foundation, SVLK Auditor Training, Ministry of Forestry, CoC Auditor – LEI, ISO 9001:2008, IRCA Approved Course, ISO 14001:2004, IRCA Approved Course</p> <p>Working experience : PT Carsurin, as QHSE Coordinator (2006 -2009), PT Mutu Hijau Indonesia, Jakarta as Technical Manager (2010-May 2014) and Auditor PT TUV Rheinland Indonesia (May 2014-present)</p>
Andreas B. Rahutomo	Lead Auditor (under monitoring)	<p>Education: Bachelor of Forestry – Universitas Gadjah Mada.</p> <p>Relevant trainings: RSPO LA Training, Upgrading ISO 9001:2015; Lead Auditor IRCA Approved ISO 9001, ISPO Lead Auditor Training, IFCC Auditor Training, RSPO Supply Chain Auditor Training, FSC FM/CoC Auditor Training.</p> <p>Working experience: 6 years of working experience. Consultancy in several environmental projects (forestry and climate change) i.e. Forest Carbon Partnership Facility (Ministry of Forestry – World Bank), UNDP REDD+, and Indonesian Palm Oil Pledges (IPOP). Auditing experiences as palm oil and forestry auditor for several certification bodies i.e. Control Union, Bureau Veritas, and currently as permanent auditor at TUV Rheinland.</p>
Suriadi Ali	Auditor	<p>Education:</p>

Name	Position	Qualifications/Experience
		<ul style="list-style-type: none"> - Diploma Applied Analytical Chemistry. North Sumatera University, Medan - Bachelor of Chemical Engineering, University of Jaya Raya, Jakarta. <p>Trainings attended: ISO 9000:2000 Series Auditor / Lead Auditor Training - PE International (Jakarta), IEMA Advanced EMS Auditor (IEMA / EARA ISO 14001) Auditor / Lead Auditor Training Course - PE International (Jakarta), OHSAS 18001 Lead Auditor Training Course - PE International (Jakarta). ISPO lead auditor training. National Examination Board of Occupational Safety and Health (International General Certification (IGC) 1,2 and 3 TUV Nord (Dubai). National Examination Board of Occupational Safety and Health (International Technical Certification (ITC) for Oil and Gas Industries. RRC (Dubai). Indonesian Engineer Association (PII) (Jakarta), Occupational Health and Safety Specialist for lifting equipments. Indonesia Man Power and Transmigration Department (Jakarta).</p> <p>Working experience: Experienced in Quality Control from 1992-2004. Coordinator for Safety Quality and Environment Management System since 2002 – present. Auditor for Environmental Management System since 2002 – present. Auditor for OHSAS 18001 since 2012 - present. Conducted over 10 Quality Management System audits Environmental Management System audits and OHSAS</p>
Panggading H. Nainggolan	Auditor	<p>Education : Bachelor of Social Science, Jakarta Institute of Social & Politic Science</p> <p>Training Attended : ISPO by ISPO Commission, RSPO Lead Auditor (Pro-Forest, Daemeter), RSPO SCCS Lead Auditor, Quality Management System (QMS) Auditor/Lead Auditor (ISO 9001: 2015) IRCA by Neville Clarke, RSPO in house training by MAL, Awareness of QHSE (management system review & integrated management system concept ISO 9001, 14001, OHSAS).</p> <p>Working experience : National Commission for Child Protection (KOMNAS Perlindungan Anak) as Staff, Common Ground Indonesia as Staff Education Program Division - Reporter at Global Quality Information (Global TV), Producer at Netwave Multimedia, Producer at Satu Visi Perkasa Production, Project Supervisor at PT. Surya Solusi Informasi and Auditor at PT TUV Rheinland Indonesia.</p>

2.3 Assessment Methodology & Agenda

The 3rd surveillance audit was conducted from September 28 – 29, 2017 as per the assessment program below. The assessment was carried out in accordance with PT TUV Rheinland Indonesia’s RSPO audit procedure as well as the RSPO Certification Systems document. During the assessment, the qualified TUV Rheinland assessors used the RSPO standard as endorsed for the country in which the assessment took place and recorded their findings.

Due to the location and proximity of the estates, combined with common management systems, it was possible to carry out both field and document assessments of all estates and the mill within the time frame without compromising the integrity of the assessment in anyway.

All 2 estates and 1 mill were visited and the assessment team carried out field and document assessments of compliance to all the RSPO Principles and Criteria INA-NI 2016 and RSPO SCCS November 2014. Common systems were identified and specific evidence was recorded for individual estates. Interviews were conducted at all estates and the mill.

The company proposed the correction and corrective action for all identified non conformities raised to the certification body 30 days after the closing meeting. Verification of closure of major non-conformances was conducted 2 months after the closing meeting of the main assessment and implementation of corrective actions for minor non-conformities will be verified during the next surveillance audit. The certification assessment agenda is as explained below:

Surveillance Assessment Agenda

Date	Location/ Main sites	Main activities
September 28, 2017	Barat & Tengah Estate	Document Reviews and field visit: verification of previously audit result, update legal requirements and compliance, OSH, environmental issues, hazardous waste management, HCV management plan and implementation, spraying activity, production record, ethical conduct, transparency, workers welfare, emission, pollution prevention plan, harvesting, riparian bufferzone conservation, chemical and fertilizer stores, OSH Committee, accident records, GHG calculation.
September 29, 2017	Jorong Palm Oil Mill	Document Reviews and site visit: verification of previously audit result, update legal requirements and compliance, OSH, environmental issues, hazardous waste management, HCV management plan, efficiency energy, water used record, training, production record, transparency, code of ethical conduct, workers welfare, water plan management, GHG calculation, emission, pollution prevention and reduction plan, RSPO-SCCS.

3.0 ASSESSMENT FINDINGS

3.1 Summary of Findings

During the 3rd surveillance audit there were found 13 non-conformities against RSPO P&C requirement (5 major non-conformities and 8 minor non-conformities) and 6 observations or opportunities for improvement were identified. Further explanation of the non-conformities raised and corrective actions taken by the company are provided in Section 3.2. The observations & opportunities for improvement are listed in Appendix 4.

The following is a summary of findings made for the criteria listed in the RSPO Principles & Criteria INA-NI 2016 and RSPO SCCS November 2014 ver-2 November 2016.

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.

Findings:

There is evidence that company provides adequate information on environmental, social and/or legal issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making. This condition is a result of consistent implementation on SOP/GMK-AGRO/01/08, rev. 04, regarding "Procedure of Internal and External Communication", published in April 1st 2015.

Records of requests for information and responses have been maintained in log book communication, for example: Letter No.SPB/KDB/III/2017 March 30, 2017, regarding the request for a split stone for the repair of Batalang Village road, and responded by the management through letter no. 55/SM-TNG/Adm/IV/2017 regarding the approval of a quarry as much as 5 trucks for village road repairs dated April 22, 2017.

Compliance status:

Yes No

NCR No: -

Criterion 1.2: Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.

Findings:

The Company has documented procedure of communication No. SOP/GMK-AGRO/01/08, rev. 04, regarding "Procedure of Internal and External Communication", published in April 1st 2015.

Regarding to this procedure, documents that can be made publicly available, are as follows:

1. Vision and mission of the company
2. Company policy
3. EIA (AMDAL/UKL-UPL, RKL-RPL) Documents
4. Location permit
5. Land use right
6. Legal permits
7. Continuous improvement
8. Social conflict resolution
9. Work health and safety program. Negotiation procedure
10. Grievance and complaints procedure
11. Human right policy
12. Plan and impact assessment related with social and environmental aspect
13. HCV document

Compliance status:

Yes No

NCR No: -

Criterion 1.3. Growers and millers commit to ethical conduct in all business operations and transactions.

<p>Findings:</p> <p>There is a policy of Work and Business Ethics at Gawi Plantation Group No. 005/DIR/GMK/JKT/VII/15, dated 1 December 2014 which contains, among others:</p> <ul style="list-style-type: none"> • Workers should avoid any activities of personal interest in performing tasks • Worker is prohibited from making decisions related to business interests because of personal interests, siblings, family, and their group without consideration of QCD (quality, cost, delivery) • Workers are prohibited exchange of information / data with competitors • Workers are prohibited from accepting gifts from other parties related to the company • Workers are prohibited from accepting a bribe in any form • Workers prohibited from engaging in any form of corruption <p>Work and Business Ethics policy in Gawi Plantation Group already covers:</p> <ul style="list-style-type: none"> • Respect the natural behavior of the business, which is listed at number 13, 14, 15, 16 and 17 • The prohibition of all forms of corruption, bribery and misappropriation of funds and resources, listed in numbers 10, 11 and 19 • The disclosure of appropriate information in accordance with applicable regulations and prevailing industry practice numbers 7 and 8 <p>The policy has been communicated to all level of workers at Barat Estate May 03.2017, at Tengah Estate June 02, 2017.</p>	<p>Compliance status: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>NCR No: -</p>
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Criterion 2.1: There is compliance with all applicable local, national and ratified international laws and regulations.

<p>Findings:</p> <p>The company has demonstrated its compliances to legal requirements, for example regarding land legality, workers right. However, there were still several non-compliance i.e.</p> <ul style="list-style-type: none"> - The river border protection efforts undertaken by the Company are not in accordance with Government Regulation No. 38 of 2011 on River and Presidential Decree of 32/1990 concerning the Management of Protected Areas, for example in the Katal-Katal River on Barat Estate Block E27/28 and at Tengah Estate Block B/C 36. - The report material of the company's plantation business activities in the first semester of 2017 has not provided specific data on the development of partnership estate activities (plasma), this is not in accordance with Act 39 of 2014. - The company has not submitted the report of capital investment activities in the first semester of 2017 to the investment coordinating body, this is not in accordance with Law 25 of 2007. - The POM and Estates have not yet submitted Bipartite LKS activities to the local Disnakertrans District, this is not in accordance with Ministry of Manpower Decision of 23 year 2008. - There is no evidence that PKWT has a copy of the Employment Agreement (in the Tengah and Barat Estate), this is not in accordance with Law No. 13 of 2003. - There is a BHL in the POM that works 21 days or more for 3 months in a row, but 	<p>Compliance status: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>NCR No: RSPO01510 RSPO01511</p>
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<p>the status has not changed to become PKWTT (permanent employees) this is not in accordance with Ministry of Manpower Decision No.100 in 2004. For example: Sumiran, Bayu Saputro, Suratno, Yuwono Utomo.</p> <p>Those issues have been raised as NCR no: RSPO01510.</p> <p>The company provides a mechanism for evaluation of implementation and compliance to applicable legal requirements in a standard operation procedure. There are also procedures which define the mechanism of evaluation of compliance to regulations related to the company's plantation, legislation related to the environment, legislation relating to labour, and regulations related to health and safety.</p> <p>The company maintains a list of all applicable legal requirements relating to environmental, occupational safety and health, the company plantations, and employment as well as records of internal compliance checks to legal requirements as they are summarize. The summary of law and regulation compliances for year 2017.</p> <p>Evidence of efforts made to comply with changes in the regulations was checked through the latest legal register updated on August 2017 & confirmed that latest applicable legal requirements as described above have been updated. The latest legal register is also sighted to be available at the respective mill and estate offices.</p> <p>The company has established a system for tracking any changes in the law. It was observed during the audit the company has implemented the system consistently. The checking is conducted integratedly by head office Jakarta.</p> <p>However, the company has not comprehensively review the laws and regulation in environmental aspect e.g. PP no 38 2011 regarding River. Found no Chemical specialist license (Petugas K3 Kimia) to handling a hazardous chemical in the Jorong POM and Estate according to requirement of Ministry of Manpower and Transmigration Decree No. Kep.187/MEN/1999 Hazardous Chemical Control in the work place both for Jorong POM, Barat Estate and Tengah Estate. Found Chain hoist using without permit and formal inspection in the Jorong Palm Oil Mill workshop as required by Permenaker No.PER.05/MEN/1985 related lifting equipment article 138 also for the the license operator. Those issues have been raised as NCR no: RSPO01511.</p>	
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Criterion 2.2: The right to use the land can be demonstrated, and is not legitimately contested by local communities with demonstrable rights.

<p>Findings:</p> <p>There was no new land dispute found during surveillance. The last land disputes that has happened has been covered in main audit (2014), such as:</p> <ul style="list-style-type: none"> a. Company against PT Prafa Coal Mining. There is coal mining activities on behalf PT PT Prafa Coal Mining (coal mining activities) amount of 409 ha Inside land use right (HGU) areas where allegedly overlaps with PT GMK's land use right (HGU) no,1 year 1999. Current condition is cassation process in the Supreme Court. b. Company against community members. The company has provided evidence such as record of meeting with 36 owners or cultivators of the community's land inside of the company's land use right area. The result was the owners or cultivators did not want to release their land to the company because they need the land for their daily life. For example was: <ul style="list-style-type: none"> a. Minute of meeting with AS from Damit Hulu village on June 17th, 2014, cultivator of 5.92 ha land at Block K division 13. b. Minute of meeting with Dg from Damit Hulu village on June 17th, 2014, cultivator of 1.24 ha land at Block C division 30. 	<p>Compliance status: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>NCR No: -</p>
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<p>c. Minute of meeting with <i>Dm</i> from Damit Hulu village on June 17th, 2014, cultivator of 8.5 ha at Block J division 5.</p> <p>c. Company against 36 local Palm Oil Farmer that planted inside HGU. The company has provided evidence such as copy of negotiated agreements between the company with 36 owners or cultivators of the community's land inside of the company's land use right area. The content of negotiated agreement example :</p> <p>a. Agreement with villager of land claimer 5.92 ha land at Block K13 division 5 ; land claimer 1.24 ha land at Block C30 division 2 from Damit Hulu village on June 17th, 2014, they still not agree to sell his land to</p> <p>b. Agreement with land claimer of 8.5 ha land at Block J17 division 5 from Damit Hulu village on June 17th, 2014, that they agree to sell his land to company;</p> <p>c. Agreement with land claimer from Damit Hulu village on June 09th, 2014, Block F25 division 2 that agree, if companies want to provide compensation for his land;</p> <p>Field check has been conducted during this surveillance. The coal mining area has been abandoned by all parties (communities and companies), no mining activities found at field. The land inside HGU that has been planted by company. A map that consist of claimed land inside HGU has been developed based on field visit and information from the claimers. All negotiation process has been conducted in a proper procedural manner. No indication regarding the uses of para-military during negotiation process.</p>	
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Criterion 2.3: Use of the land for oil palm does not diminish the legal, customary or user rights of other users without their free, prior and informed consent.

<p>Findings:</p> <p>There was no new land dispute found during surveillance. The last land disputes that has happened has been covered in main audit (2014), such as:</p> <p>a. Company against PT Prafa Coal Mining. There is coal mining activities on behalf PT PT Prafa Coal Mining (coal mining activities) amount of 409 ha Inside land use right (HGU) areas where allegedly overlaps with PT GMK's land use right (HGU) no,1 year 1999. Current condition is cassation process in the Supreme Court.</p> <p>b. Company against community members. The company has provided evidence such as record of meeting with 36 owners or cultivators of the community's land inside of the company's land use right area. The result was the owners or cultivators did not want to release their land to the company because they need the land for their daily life. For example was:</p> <p>1. Minute of meeting with <i>AS</i> from Damit Hulu village on June 17th, 2014, cultivator of 5.92 ha land at Block K division 13.</p> <p>2. Minute of meeting with <i>Dg</i> from Damit Hulu village on June 17th, 2014, cultivator of 1.24 ha land at Block C division 30.</p> <p>3. Minute of meeting with <i>Dm</i> from Damit Hulu village on June 17th, 2014, cultivator of 8.5 ha at Block J division 5.</p> <p>c. Company against 36 local Palm Oil Farmer that planted inside HGU. The company has provided evidence such as copy of negotiated agreements between the company with 36 owners or cultivators of the community's land inside of the company's land use right area. The content of negotiated agreement example :</p> <p>1. Agreement with villager of land claimer 5.92 ha land at Block K13 division 5 ; land claimer 1.24 ha land at Block C30 division 2 from Damit Hulu village on June 17th, 2014, they still not agree to sell his land to</p> <p>2. Agreement with land claimer of 8.5 ha land at Block J17 division 5 from Damit</p>	<p>Compliance status: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>NCR No: -</p>
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<p>Hulu village on June 17th, 2014, that they agree to sell his land to company;</p> <p>3. Agreement with land claimer from Damit Hulu village on June 09th, 2014, Block F25 division 2 that agree, if companies want to provide compensation for his land.</p>	
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Criterion 3.1: There is an implemented management plan that aims to achieve long-term economic and financial viability.

Findings:

The company both mill and estates has business or management 2017 - 2021 the document has includes information of budget, expected profit, and yield projection. In the budget summary record showed the information about plan for incoming FFB (own estate, smallholder and out grower), CPO and PK production plan, OER and KER for CPO and kernel, oil losses, production cost, fertilizing and spraying plan, production plan every years, planting years, road maintenance, replanting plan, and others.

Compliance status:

Yes No

NCR No: -

Criterion 4.1: Operating procedures are appropriately documented and consistently implemented and monitored.

Findings:

The mill and estate has Standard Operating Procedures (SOPs) that covers all aspects of oil palm planting and management as documented on SOP list which contains the following SOPs that cover all estate operations such as Nursery Practice, Land Clearing, Preparation and Planting, Soil Conservation and Terracing, Road Construction and Maintenance, Establishment and Maintenance of Legume Covers, Planting Density and Planting Technique, Palm Replacement During Immaturity and Supplying, Upkeep of Immature Oil Palms, Upkeep of Mature Oil Palms, Pests & Diseases, Manuring, EFB Application, Harvesting, Bunch Census and Palm Thinning. However, the company has SOP of Riparian Buffer Zone (SOP/GMK-AGRO/01/14) where rivers with width of >30 m has buffer of 10 m and river < 30 m has buffer of 50 m, and stream with buffer of 5 m. But the SOP has not refer to latest regulation of PP no 38 year 2011 regarding River. This issue has been raised as **NCR no: RSPO01512**.

Compliance status:

Yes No

NCR No:

RSPO01512

The Oil Mill has SOPs covering all mill operations such as FFB Grading, Sterilization Station, Press Station, Threshing Station, Oil Room, Kernel Plant, Laboratory, CPO & PK Despatch, Engine Room, Boiler Room, Electrical, Workshop as well as Raw and Boiler Water Treatment Plant.

In order to ensure consistent implementation of the SOPs among all levels of the workforce in the field, the following mechanisms are utilized. The company assigns Internal Audit Department to conduct audit to assess compliance the procedure. The company conduct internal audit once a year. The company has procedure of corrective action (SOP/GMK-Agro/01/04 revision 01 effective date June 7, 2013) and procedure of preventive action (SOP/GMK-Agro/01/05 revision 01 effective date June 7, 2013). The company has recording of internal audit result and record of corrective action for non-conformity that has been raised.

Records of monitoring and any actions taken has been maintained and available, as appropriate, especially for internal audit in 2016.

It has been verified that there are 3rd party FFB received by the Mill. The mill has record the origins of all third-party sourced Fresh Fruit Bunches (FFB). The Jorong Mill has received FFB from 17 suppliers i.e.:

RSPO 3rd Surveillance Report
PT Gawi Makmur Kalimantan – Jorong Palm Oil Mill
South Kalimantan



1. PT Sentosa Sukses Utama (own group)
2. Plasma Damit
3. Plasma Pemaalangan
4. CV Swadaya
5. PT Candi Artha
6. PT Lunik Anugerah
7. CV Gratia
8. CV Satria Bagus
9. Gapoktan Rukun Tani
10. PT Bangun Kalimantan
11. PT Rahmat Perkasa
12. CV Tanah Laut Sejahtera
13. PT Unggul Bunga Bakung
14. Koerasi Cipta Prima Sejahtera
15. Gabungan Pekebun Tanah Laut
16. CV Rajawali Surya Tala
17. Koperasi Permata Mulia

The company has defined a mechanism to trace to the original sources, i.e.: SOP of FFB Traceability, Document No. SOP/GMK-AGRO/01/23, Revision 0, dated Nopember 16, 2015. The document was explained processes of FFB Supplier Selection, Checking of Land Suitability, and etc. Third parties FFB received by the Jorong Mill for 2016 and 2017, as below:

2016	Certified	Noncertified			Total	% Certified
		Plasma	Third Party	Sum		
January	14.917.960	262.000	5.173.730	5.435.730	20.353.690	73,29
February	12.213.480	255.540	4.640.000	4.895.540	17.109.020	71,39
March	10.460.410	280.160	5.684.990	5.965.150	16.425.560	63,68
April	8.972.800	291.020	5.894.580	6.185.600	15.158.400	59,19
May	10.342.530	216.150	6.769.330	6.985.480	17.328.010	59,69
June	12.281.100	229.720	5.541.400	5.771.120	18.052.220	68,03
July	9.743.970	126.010	3.666.410	3.792.420	13.536.390	71,98
August	8.714.850	143.260	3.895.070	4.038.330	12.753.180	68,33
September	13.704.570	292.440	7.196.820	7.489.260	21.193.830	64,66
October	18.221.750	365.540	9.817.220	10.182.760	28.404.510	64,15
November	20.607.070	360.280	7.154.160	7.514.440	28.121.510	73,28
December	18.790.700	354.650	5.394.840	5.749.490	24.540.190	76,57
Total	158.971.190	3.176.770	70.828.550	74.005.320	232.976.510	68,23

2017	Certified	Noncertified			Total	% Certified
		Plasma	Third Party	Sum		
January	16.190.440	456.830	3.743.920	4.200.750	20.391.190	79,40
February	14.869.450	546.560	4.555.260	5.101.820	19.971.270	74,45
March	12.049.820	566.950	6.464.650	7.031.600	19.081.420	63,15
April	12.078.810	639.430	6.524.500	7.163.930	19.242.740	62,77
May	14.301.480	662.360	5.603.600	6.265.960	20.567.440	69,53
June	10.736.030	369.650	6.315.970	6.685.620	17.421.650	61,62
July	16.083.730	311.160	3.602.490	3.913.650	19.997.380	80,43
August	12.937.280	196.800	3.329.950	3.526.750	16.464.030	78,58
Total	109.247.040	3.749.740	40.140.340	43.890.080	153.137.120	71,34

Criterion 4.2: Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.

Findings:

Practices that maintain or enhance soil fertility to ensure sustained yield are contained in SOP No SOP/GMK-AGRO/02/08, Revision No. 01, dated June 07, 2013, namely “Pemupukan Anorganik TM dan TBM. The SOP was explain type and characteristic of fertilizers, dosages, application time, fertilizing processes (preparation to implementation) both for mature and immature plant.

Actual fertilizer applications are recorded monthly and compared against fertilizer recommendations in the monthly estate manager’s report with summary of reconciliation of fertilizer application schedule in the documents “Rekomendasi Pemupukan Kelapa Sawit – PT GMK Kebun Barat – 2017, Pemakaian Pupuk Tahun 2016, Pemakaian Pupuk Tahun 2017 (until August), and Rencana dan Realisasi Pemupukan”

Barat estate:

Fertilizer application schedule and records for each field is available and maintained at the respective estate offices. Sampled records for year 2017, August, on Barat estate, Division IV, year planted 2016, wide 12.30 ha and 1,112 oil palm), fertilizer NPK 15.15.6.4, until August 2017, budget 5,400 kg and realization was 3,300 kg (variance 2,100 kg) showed that fertilizer application is done according to the expert recommendation i.e.: Verdant Bioscience (PT Timbang Deli Indonesia).

Foliar sampling is conducted on an annual basis and its results and corresponding fertilizer recommendations are contained in the (Rekomendasi Pemupukan Kelapa Sawit - 2017). The leaf nutrient assessment to determine the levels of nitrogen, phosphorus, potassium, calcium, magnesium and boron in the palms was conducted on October 11-12, 2016. The results of this assessment provided the input for fertilizer recommendations for (2017) which is now being followed by the estates.

Soil analysis is also conducted on 5 (five) year basis by an external lab with soil samples taken from each estate field. The last soil analysis report was issued by Pusat Penelitian Lingkungan hidup, Lembaga Penelitian dan Pengabdian Kepada Masyarakat, Universitas Lambung Mangkurat, dated December 30, 2016.

As part of the nutrient recycling strategy the company implement Empty Fruit Bunches (EFB), Palm Oil Mill Effluent (POME), and palm residues after replanting. For example, records of EFB application until August year 2017 amount 220,89 Mt and Solid amount 90.15 Mt.

Tengah estate:

The organization has maintain records of fertilizer usage and for year 2016 & 2017 until August as documented on below documents:

- The fertilizer usage of year 2017 totally amount 3,225.090 Mt. Consist of HGFB, Rock Phosphate, KCL, NPK, Urea,TSP, Hi-Kay Plus and Dolomite.
- The data of fertilizer year of 2016 totally amount 4,865.11 Mt. Consist of HGFB, Kieserite, Rock Phosphate, KCL, ZA, Hi-Kay Plus/NPK, NK,NPK, and Dolomite.
- Monthly report of FFB application year of 2017 (until August) totally amount 16,487,890 kg and applied on 434.77 ha of area.
- Monthly report of Solid application year of 2017 until August totally amount

Compliance status:

Yes No

NCR No: -

1,425,020 kg and applied on 28.67 ha of area
 - Monthly report of POME for land application year of 2017 until August totally amount 65,536 M3 and applied for 316.18 ha of area.

Criterion 4.3: Practices minimise and control erosion and degradation of soils.

Findings:

The company has maps of any fragile soils detailing their soil profile. Based on EIA document April 2002 on page IV-3, stated that the company (both of two estate (Barat and Tengah estate) located around 50 – 250 above sea level, with topography condition is flat until undulating in most of the area. In some fraction area is directly adjacent with secondary forest in north area. Next, in pages of IV-4, topography condition and slope, i.e.:

- 0 – 8% (flat) with total area 6,723.8 Ha (72.58%)
- 8 – 15% (undulating) total area 1,592.5 Ha (17.19%)
- 15 – 25% (hilly) total area 827.3 Ha (8.39%)
- > 40% (steep) total area 120.4 Ha (1.30%)

The company has strategy to manage and control the operation at fragile soil, i.e. they company has mechanism in place for plantings on slopes above a certain limit. The company has marginal area map made by topography condition as well as non-productive area map is available. Based on those maps, the management could recognized which area should be terraced, not planted or need special treatment. Management strategy on steep area is using contour terrace system. Every year the company provide budget for terrace maintenance and monitored in monthly estate progress report. Management of planted marginal soil regulated in SOP/GMK-AGRO/02/03 Rev01 dated on 07/06/2013 about Soil and Water Conservation. Area with slope > 21.8° must be made terrace with 4 meters width depend on soil condition. Terrace installed align with contour with stop bund every 50 m.

There is a road maintenance programme that is rigorously adhered to. The road maintenance programme covers the distribution of gravel stones, grading and compacting and levelling of estate roads, construction and maintenance of bridges as well as construction of silt pits especially near slopes to allow for water run-off into the pits and prevent erosion of access roads.

Based on soil type information in EIA and HCV document assessment, there is no peat soil found in all estates.

Compliance status:

Yes No

NCR No: -

Criterion 4.4: Practices maintain the quality and availability of surface and ground water.

Findings:

The company has water management plan which consists of water source identification, and measures taken to avoid water pollution. The management plan has been implemented consistently as seen on water usage monitoring and field verification.

Program to protect water courses can be seen on Procedure for Riparian Buffer Zone ((SOP/GMK-AGRO/01/14) including maintaining and restoring appropriate riparian and other buffer zones according to national best practice and national guideline ben documented.

Appropriate treatment of mill effluent to required levels and regular monitoring of discharge quality, especially Biochemical Oxygen Demand (BOD), are in compliance with national regulations, evidenced from series of certificates of analysis conducted by 3rd

Compliance status:

Yes No

NCR No: -

party laboratory.
 Mill water use per tonne of Fresh Fruit Bunches (FFB) has been monitored regularly in monthly basis as seen on document of POM Water Usage Monitoring, included in the POM statistic.

Criterion 4.5: Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management (IPM) techniques.

Findings:

The company has established program of Integrated Pest Management (IPM) plans which consists of EWS monitoring plan and several pest handling procedures, e.g. SOP/GMK-AGRO/02/13 regarding pest and disease control for mature and immature plant. Based on field verification to Division 5 Block H49 it was evidenced that the company conducts biological handling of pest through barn owl boxes. Other than that, there are also beneficial plants in place at several block perimeters, i.e. Turnera sp to control caterpillar.

The implementation of IPM has been monitored every day which is conducted by IPM officer, which conducts field monitoring on sampled blocks covering all kinds of pest monitoring. The result will be compiled in estate level.

Training of those involved in IPM implementation has been demonstrated as stated on document of Attendance list in July 2017 covering all IPM officers and division assistants.

Compliance status:

Yes No

NCR No: -

Criterion 4.6: Pesticides are used in ways that do not endanger health or the environment.

Findings:

Considering the nature of company's condition and target pest, weed or disease, and following recommendation from List of Pesticide in PT Gawi Makmur Kalimantan Barat and Tengah Estate used, the company use some listed pesticide as determine on document List of pesticides Stock in the main warehouse PT GMK Barat and Tengah Estate where all of pesticides used has been well demonstrated. The list of pesticide has been approved as seen on document Recommendation Letter No.566/05/DISNAKERTRANS from Manpower and transmigration local office of South Kalimantan Province. The use of selective products that can prove have minimal effect on non-target species shall be used where available.

Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per ha and number of applications) is provided on Agrochemical and pesticides Toxicity Monitoring for Year 2017 as show on Herbicide and Pesticide Toxicity estimation from January to August 2017 monitoring program in Jorong Estate.

Any use of pesticides has minimised as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There have no prophylactic use of pesticides,

Compliance status:

Yes No

NCR No:
RSPO01513

except in specific situations identified in national Best Practice guidelines. Stock identification for the chemical which include in the list of WHO chemical class 1A or 1B, Stockholm convention and Rotterdam convention still not identified yet. The company uses Rodenticide (Sidarat) where Brodifacoum contain as active ingredient which include in 1A WHO class, but still not found the LD50 internal analysis according to WHO document and was not found for any use of pesticides has minimised as part of a plan, and in accordance with Integrated Pest Management (IPM) plans as seen on records Herbicide Stock Need Recapitulation January – December 2017 for Jorong Estate. Thus, this issue has been raised as **NCR no: RSPO01513**.

Pesticides has been handled, used or applied by persons who have completed the necessary training and always be applied in accordance with the product label of SUPRETOX/PREMAXONE which has been provide a formal training on 26 workers in the Barat Estate on 12 September 2016, provided evidences such as fotos, training material and training attendance list. Appropriate safety and application equipment has provided and used. All precautions attached to the products were properly observed, applied, and understood by workers as observed during field audit on Block F29-30 in the Barat Estate.

Storage of all pesticides were according to recognised best practices. All pesticide containers has properly disposed of and not used for other purposes as seen on waste manifest AGU 0001207 date 19 July 2017.

Application of pesticides has proven methods that minimise risk and impacts. As seen on risk assessment impact document No. FR/GMK-SMK3/HRC/01/01 Updated 2 January 2017.

There is no aerial application of pesticide.

Maintenance of employee and associated smallholder knowledge and skills on pesticide handling has been demonstrated, including provision of appropriate information materials, as seen on training records 12 September 2016 attended by 26 sprayer worker from Barat Estate. Proper disposal of waste material, according to procedures that are fully understood by workers and managers has been demonstrated. Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, has been demonstrated, as seen on records No. Id-1489 dated 1 March 2017.

There is no evidence that work with pesticides were undertaken by pregnant or breast-feeding women, as seen on observed during on the field Block F29-30 for spraying activities in Barat Estate.

Criterion 4.7: An occupational health and safety plan is documented, effectively communicated and implemented.

Findings:

The company has health and safety policy as documented on 2 January 2014 signed by Vice President. A health and safety plan covering all activities that has been documented on manual SMK3 MNL/GMK-SMK3/01/01 Rev.00 and implemented, and its effectiveness monitored. Safety Committee report activities period January – June 2017 for report No. 01/P2K3/GMK-STU/VI/2017.

All operations where health and safety is an issue has been risk assessed, and procedures and actions shall be documented and implemented to address the identified is-

Compliance status:

Yes No

NCR No:
RSPO01514

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sues. All precautions attached to products shall be properly observed and applied to the workers but some observation were sighted during site visit.

All workers involved in the operation has been adequately trained in safe working practices. Adequate and appropriate protective equipment has been available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, and harvesting. However, no found the drill scenario according to available emergency situation as was stated in the SOP/GMK-SMK3/01/08 Emergency response procedure and drill evaluation is still not conducted yet both for Mill and Estate also their evaluation and also found empty pressure Fire Extinguisher in the Main Ware-house in Barat Estate. Those issues have been raised as **NCR no: RSPO01514**.

Criterion 4.8: All staff, workers, smallholders and contractors are appropriately trained.

Findings:

The company has formal training programme for all staff/worker for 2017, such as Safety training, heavy vehicle operator, first aid, basic agronomy, waste management etc.

Training records for each employee has maintained such as :

- Training for dump truck operator March 17, 2017 attended by 18 participants.
- Basic security January 23 – February 09, 2017 attended by 5 participants.
- Genset operator May 08-12, 2017 attended by 1 participant.
- Fire Brigade April 27, 2017 attended by 3 participants.
- Etc.

Compliance status:

Yes No

NCR No:

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.

Findings:

The company has an environmental impact assessment (EIA) documented. The EIA document has approved by competent authority agency, according to Decree of Head of Environmental Authority of Tanah Laut District, South Kalimantan Province No. 660/06/BLH/2011, dated February 24, 2011, regarding Approval of Environmental Management Plan (*Rencana Pengelolaan Lingkungan Hidup – RKL*) and Environmental Monitoring Plan (*Rencana Pemantauan Lingkungan Hidup - RPL*) PT Gawi Makmur Kalimantan at Damit Hulu Village, Batu Ampar Sub District, Pamalongan Village, Bajuin Sub District, Pasir Putih and Sungai Cuka Village, Kintap Sub District, Jorong and Batalang Asam-asam Village, Jorong Sub District, Tanah Laut District, South Kalimantan Province. The scope of EIA Documents was covering for areal 13.290 ha and Mill processing with capacity 60 tonne FFB per hour. The documents includes details on the estate activities, usage of natural resources, climate, air and water quality, geography and other environmental aspects, social aspects, potential environmental impacts, and monitoring.

Information about identified environmental impacts are listed on the EIA document, such as land clearing, POM operation, harvesting etc. In order to mitigate negative effects, the company has established environmental impact management and monitoring plan (RKL and RPL). The company has identified the responsible person for environ-

Compliance status:

Yes No

NCR No:
RSPO01516

mental management, which is handled by Sustainability personnel from Jakarta Head Office. The environment management and monitoring plan is adaptive to operational changes, and can prove the effectiveness of the mitigation measures. The plan has been 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. The last review activity was conducted on 19 September 2017 as stated on Minutes of Meeting on EIA review document.

However, there is no evidence that the company has performed root cause analysis and corrective action on BOD and COD values that have exceeded the threshold at downstream of Katal - Katal River based on analysis report no197/AP/X/2016. The Company has also not conducted water quality monitoring at Cendolan River. Those issues have been raised as **NCR no: RSPO01516**.

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.

Findings:

The company has planted area itself and relevant wider landscape-level considerations (such as wildlife corridors). This was done by Remark Asia Consultant on July – August 2012 as documented on HCV Assessment Report. The assessor team of HCV assessment consist of 6 (six) persons, i.e.:

- Dwi R. Muhtaman (team Lleader) – Social Field
- R. Sukasmianto (team member) – Environmental Field
- Sigit Budhi Setyanto (team member) – Social Field
- Dr. Wawan Gunawan, S.Hut, M.Si. (team member) – Ecology/Biodiversity Field
- Junaedi Syamsudin (team member) – Expert of Mapping and GIS
- Cecep Saepulloh (team member) – Ecology/environmental.

Scope of assessment including as follows:

- South Kalimantan covered:
 - Barat Estate Jorong
 - Plasma Damit Hulu Village, KUD (coooperative) Ulin Raya (as one of FFB supplier to Jorong Mill)
 - Tengah estate
 - Satui estate
 - Supplier PT Candi Artha estate (one of FFB supplier)
- East Kalimantan, covered Penajam estate

Overall covered are was assessed based on land use right (HGU) is 28,360.56 ha (based on analysis of GIS 31,641.73 ha), with detail as below::

- Satui Estate: 7,199 ha (8,262 ha)
- Barat and Timur (Jorong) Estates: 9,2264 ha (11,022 ha)
- Timur Estate: 4,026ha (4,468 ha)
- Penajam Estate: 7,871 ha (7,890 ha)
- Acreage total: 28,360 ha (31,642 ha)

The company has management plan to measures and maintain as well as enhance all identified HCV area as well as identified rare, threatened or endangered (RTE) spe-

Compliance status:

Yes No

NCR No:

cies, or that present or are affected by plantation or mill operations, as seen on HCV management plan as documented on “Rencana Kegiatan Pengelolaan dan Pemantauan HCV Kebun Barat (site Jorong) and document of Jadwal Program Penghijauan Sempadan Sungai Kebun Barat Tahun 2016”. The monitoring of implementation of HCV management plan has been documented on document for example:

- Official report of Riparian enhancement, dated October 25, 2016
- Official report of Flora and Fauna Boards dated October 04, 2016.

The outcome of monitoring has been feed back into the management plan. The company has/has not a programme to regularly educate the workforce about the status of these RTE species, and appropriate disciplinary measures has 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, such as evidence obeserved on Policy of Environmental and Biodiversity that was signed by Vice President Director dated March 03, 2014.

The organization also has defined SOP of High Conservation Value (HCV), document no. SOP/GMK-AGRO/01/17, Revision 01, dated June 11, 2014. The procedure was explained processes if any important wildlife found including coordination and reporting to the competent authority.

Criterion 5.3: Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner

Findings:

All waste and sources of pollution have been identified and documented in *Laporan Pengelolaan dan Pemantauan Lingkungan Semester I* January – June 2017 issued in Satui Kalimantan, 30 June 2017 and has been submitted to DLH Kalimantan 8 September 2017 Letter No. 402/GMK-BJM/HSE/IX/2017.

Type of identified waste are: FFB Process, Machinery Maintenance activities, toilet, Office, mess, kitchen, fuel tank, empty bunch, shell, used oil, sanitary, solid waste and oil spill.

All chemicals and their containers have been disposed of responsibly, such as hazardouse waste from agrochemical container as found on waste manfest AGU 0001207 date 19 July 2017.

The company disposed all hazardous waste to approved vendor, i.e. PT Sinar Bintang Albar No 46 Tahun 2013 which has license valid from 2013 until 2018 based on decree letter No. 566/KEP.103/Disnakertrans. The scope of collected waste are oil waste and filter. Sample for disposed hazardouse waste on Jorong Mill dated 19 July 2017 total volume 1.08 ton oil waste. However, oil spillage has not been treated properly as it was found to be disposed as domestic waste along with other domestic waste in Barat Estate at workshop area. This issue has been raised as **NCR no: RSPO01515**.

A waste management plan has been sighted at PT Gawi Makmur Kalimantan Jorong palm oil mill No. 660.4/121/BLHD/2016. Temporary waste storage license 30 December 2016 will expire until 16 September 2020 and 660.4/146/BLHD/2015 dated 25 January 2015 which includes hazardous waste management, solid waste management and sewage management. The mitigation measures identified as recycle of waste, no open burning, disposal of domestic waste and providing enough bins at workers hous-

Compliance status:

Yes No

NCR No:
RSPO01515

es. Sewage management is not directly discharge to waterway, septic tanks are available at each house and the company will replace them with new units should any of them breaks down. This will be monitored by periodic visit at housing area.

Criterion 5.4: Efficiency of fossil fuel use and the use of renewable energy is optimized.

Findings:

A plan for improving efficiency of the use of fossil fuels and to optimise renewable energy have been in place and monitored.

Sighted from the record that renewable energy utilization has been monitored on monthly basis in year 2017. From the records sighted from "Renewable Energy Utilization for Financial Year 2017 based on the FFB processed 160.865 mt with 32.726 mt of CPO produced. The total fibre cell utilized in year 2017 was 11,079,607.447 mt with total kWh generated of 998.046 kWh.

Monthly usage of diesel also has been monitored per ton of FFB processed and diesel usage per ton of CPO produced from the "Diesel Consumption for Financial Year 2017". Average of diesel consumed was 555.182 liter per FFB processed. Meanwhile for diesel consumption per CPO produced was recorded at 18.116 litre per mt.

Compliance status:
 Yes No

NCR No

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.

Findings:

All estates do not conduct open burning for land clearing. This is in accordance to the Zero Burn Method under the section on Land Clearing, Preparation and Planting listed in No Deforestation and No Planting In Peat Area Policy dated 10 August 2015 which signed by Vice President. There were no open burning sighted in any of the estates areas, landfills as well as workers and staff quarters during the field visits.

Compliance status:
 Yes No

NCR No: -

Criterion 5.6: Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.

Findings:

The company has conducted an assessment of all polluting activities, including gaseous emissions, particulate/soot emissions and effluent as documented on document "Green House Gas Sources Identification. The activities identified as GHG sources are FFB & CPO transports, Heavy equipment operational, Generator operational, water pump operational, WWT / IPAL, Land clearing, fertilizing and spraying activities and IPM activities, and office activities. The organization also has document "Identification of Pollution and Emission on JorongMill year 2017. The sources was identified come from such as statio loading ramp, sterilizer, threshing, press, nut plant, kernel bagging, clarification, boiler, engine room, WTP, KCP, POME/IPAL, domestic waste, Oil store, workshop, and operational vehicles.

The company has a plan to reduce or minimise the identified pollutants and GHG emissions as documented on document Working Program for Reducing Emission and Pollution – Jorong Mill year 2016. Some program has been developed i.e energy efficiency analysis, preventive maintenance and repaired and reboitation. There is evidence that energy efficiency analysis and preventive maintenance has performed continually every month.

Compliance status:
 Yes No

NCR No: -

GHG emission calculation been submitted to RSPO dated May 15, 2017. The GHG

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Management was computed based on the still using PalmGHG for data year 2016. Estimated emission of GHG production of the Jorong mill is 13.79 MtCO₂e / mt of CPO. Since 2017 the GHG was computed based on latest version (3.0). Based on calculation, generally the emission from estates operation is higher than mill operation.

Criterion 6.1: Aspects of plantation and mill management that have social impacts, including replanting, are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.

Findings:

Social Impact Assessment for PT Gawi Makmur Kalimantan was carried out on July 08 - 18 2012 and SIA Report dated Agustus 2012. The SIA was conducted through participatory method involving all relevant affected parties and stakeholder. Records of stakeholder meeting are available in SIA document.

The SIA Action Plans for avoidance or mitigation of negative impacts and promotion of the positive ones as well as monitoring of impacts, has been developed in consultation with the affected parties, it was not well documented and company can not show the evidence of monitoring result document for 2016 SIA activities. This issue has been raised as **NCR no: RSPO01517**.

The plans are being reviewed every two years following stakeholder consultation sessions. The meeting was attended by community representatives i.e. 16 person Damit Hulu (Barat) January 2017 and Batalang January 18, 2017 attended by 25 community representatives. The review has concluded that program are still relevant and to be continued in 2017.

Plasma is part of the impacted stakeholders, currently it is still in positive impact as evidenced by the increasing income from every member of the more prosperous cooperatives and continuing the plasma partnership.

Compliance status:

Yes No

NCR No:
RSPO01517

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.

Findings:

The company has internal and external communication Standard Operating Procedure i.e. no: SOP/GMK-AGRO/01/20, rev.02, valid since 24/02/2014. The method of communication can be made vertically and horizontally in the form of meetings, sign board, letter, email, sms and socialization. While for external communication, CSR manager or community relation was responsible to accept, make archive, disposition and prepare sufficient responses to stakeholder. Public Relation officer serves as PIC responsible for handling social issues.

A list of stakeholders which include suppliers, contractors, and government agencies. 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, as documented on January 2017.

Letter No.SPB / KDB / III / 2017 March 30, 2-17, regarding the request for a split stone for the repair of Batalang village road, response from management through letter no.

Compliance status:

Yes No

NCR No: -

55 / SM-TNG / Adm / IV / 2017 regarding the approval of a quarry 5 trucks for village road repairs. April 22, 2017

Criterion 6.3: There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all parties.

Findings:

Company still holds a system for complaint handling or conflict resolution i.e. SOP no. SOP/GMK-AGRO/01/15 valid since February 24th 2014, which states that:

- a. Branch controller/Plantation controller/Estate Head/Mill Head/Community relation and CSR head is responsible for conflict handling.
- b. Plantation controller/Estate head/Mill head submit reports to the Department Head of CSR/community relation/Legal related to existing issues, grievance, claim, and conflict recorded in verbal or written.
- c. Department Head of CSR/community relation/Legal collects related data and information.
- d. When the report was assumed as priority the next step was to identify option available for decision making.
- e. Assign third party as mediator if no result or no agreement among both parties. Based on branch controller, the direction board will consider and prepare policy to resolve the conflict

Barat Estate

Complaint of Khotijah concerning requests for the improvement of the kindergarten room, the response of the management by coordinating with the civil section to carry out.

Tengah Estate

M. Amkhrufin, foreman of Div II treatment, complained about the maintenance worker who did not get the pay slip along with explanation of the BPJS snippet etc, had already been submitted to the management and still waiting for the decision of management

Mill

There is submission of complaints of employees (Kiki Sera, Dwi Kartika) about the leaking roof of house and the ceiling is damaged but not repaired, while complaints have been submitted since June 29, 2017. This issue has been raised as **NCR no: RSPO01518.**

Compliance status:

Yes No

NCR No:
RSPO01518

Criterion 6.4: Any negotiations concerning compensation for loss of legal or customary rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.

Findings:

The Jorong Mill and Estate still hold a system for complaint handling or conflict resolution i.e. SOP no. SOP/GMK-AGRO/01/15 valid since February 24th, 2014. This SOP covers identification, calculation and compensation procedures to communities and other stakeholder, which is states that third party (local government) will get involved if there was no agreement made between the company and complainers. Company has provided evidences regarding negotiations and compensation records during surveillance. The only compensations records were regarding land acquisition and planted vegetation (*tanam-tumbuh*). There was a list of land compensation agreements since

Compliance status:

Yes No

NCR No: -

2005 to 2016.	
Criterion 6.5: Pay and conditions for employees and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.	
<p>Findings:</p> <p>Company has payment and conditions for employees documented. Pay slips are provided to all workers as shown in pay slip according to Governor of South Kalimantan decision regarding 2017 minimum wage for Tanah Laut District which are IDR 2,264,500,-. Example of workers payslip are on behalf :</p> <ul style="list-style-type: none"> - Barat Estate: Hendri Irawan (clerk) wage IDR 2,319,500 - Tengah Estate: Mangku Suswanto (contract harvester) IDR. 2,411,500 - Mill: Duwi Sentosa (electrician) IDR 2,264,500 <p>The Company has not provided a pay slip for contract workers as part of wage documentation (POM, Tengah and Barat Estates). This issue has been raised as NCR no: RSPO01519.</p> <p>Company Regulation is in place which serves to regulate the existing order in the company including rights and obligations of employee according to KEP.561.3/013/PP/VII/DISNAKERTRANS valid for 22 July 2016- 22 July 2018 Barat Estate has conducted dissemination of company regulation and Company Policy on 03/03/2017 Div I, 03/04 2017 at Div III, May Div V, June Div VI. While Tengah Estate conducted it on 23/03/2017.</p> <p>Based on the field visit there were some loose fruits collectors in the Barat Estate Div I who were not employees of the estate and did not receive any wages, this was not in accordance with the Company Regulation stating that employee is all people bound in an employment agreement and receive wages. This issue has been raised as NCR no: RSPO01520.</p> <p>The Company has provided adequate housing and other basic needs as per national standard for employees at Jorong Mill, Barat and Tengah estate. Clean water: there is a water supply through the WTP to all employee housing. Education: join the Barat estate (Kindergarten, elementary school), the school bus 6, with a distance of about 4-5 km. Electricity: Turbine from Mill for 24 hours for all housing. Genset in residential estates Barat and Tengah, Ambulance: 1 unit (in the Central estate). Regular medical surveillance for the worker. Sports: football field, table tennis, badminton, tennis, voley ball. Schools: Elementary (206) and TK (41 + 40 students), Elementary school teachers: 8 TK: 40. Mosque: 2, Cooperative: Mitra Makmur Jaya, cooperative activity is provision of groceries and daily necessities.</p> <p>Access to food is provided by the employees' cooperative "Gawi Karya Sentosa" with offices and shops in the Mill to provide basic food items such as rice and others.</p> <p>Mill Unit has provided housing for its employees, but there are some houses with its ceiling is in damaged condition and has not been repaired, moreover there is no schedule of repair housing facilities. This issue has been raised as NCR RSPO01521.</p>	<p>Compliance status: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>NCR No: RSPO01519, RSPO01520 RSPO01521</p>

Criterion 6.6: The employer respects the right of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.

<p>Findings:</p> <p>PT GMK has a company policy in the Indonesian language that recognizes the rights of employees for freedom of association in the Company Regulations Article 68 of the Workers Union. The Company gives opportunity for workers to form unions, the records do not contradict with the legislation in force and does not interfere with the company operation.</p> <p>Minute meeting of Bipartite organisation at Tengah Estate was available on August 03, 2017 which discussed about preparation of Indonesian independence day race, attended by 20 participants.</p>	<p>Compliance status: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>NCR No.: -</p>
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Criterion 6.7: Children are not employed or exploited.

<p>Findings:</p> <p>There are provisions concerning the minimum age to work at PT GMK. The Companies Regulations Article 5 REQUIREMENTS FOR WORKERS ; The general requirements of recruitment procedures, as follows:</p> <ul style="list-style-type: none"> • Indonesian citizen (citizen), with the exception of employees who have special expertise requirements. • At least 18 (eighteen) years old, physically and mentally healthy and meet the qualifications or requirements specified positions. <p>There are Policy and Management Commitment dated 1 June 2012, signed by the Board of Directors; provide equal employment opportunity for all Indonesian citizens who meet the job requirements, honest, more than 18 years of age as well as the appropriate organizational needs.</p> <p>No workers who work under age 18 years at PT Gawi Makmur Kalimantan. Based on employee data, the youngest employee is Akhmad Ikhlas 01/02/1996 harvester date of birth: May 3, 1998.</p> <p>Based verification data and interview with harvester worker: no workers under 18 years old at Mill, Tengah estate and Barat estate.</p>	<p>Compliance status: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>NCR No.: -</p>
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Criterion 6.8: Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.

<p>Findings:</p> <p>There is a non-discrimination policy of equal employment opportunity. SOP HRD Recruitment No. SOP document / GMK-AGRO / 04/02, Aim :</p> <ul style="list-style-type: none"> - To equate procedures and formats related to the process of new employees / recruitment. - To provide clear guidelines so as to create consistency and better implementation, correct and timely <p>PT Gawi Makmur Kalimantan, is committed to providing opportunities equal access to employment, through the following business:</p> <ul style="list-style-type: none"> - The Company provides equal opportunities to workers to find employment and a decent income, - The company puts all workers in accordance with the expertise, capabilities and other job requirements, and in accordance with operational needs of employees. 	<p>Compliance status: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>NCR No.: -</p>
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Mill

Status	Gender		Gender					Origin	
	Male	Female	Mos-lem	Chri-stian	Catho-lic	Hindu	Budhis	Local	Non Lo-cal
Staff	14	0	11	3	-	-	-	3	11
Non Staf	55	2	57	-	-	-	-	36	20
Permanent Worker	45	2	47	-	-	-	-	33	14
Daily Paid Workers	24	2	26	-	-	-	-	20	6

Estate Tengah

Status	Gender		Gender					Origin	
	Male	Female	Mos-lem	Chri-stian	Catho-lic	Hindu	Budhis	Local	Non Lo-cal
Staff	17	1	18	-	-	-	-	18	-
Non Staf	54	9	60	-	3	-	-	63	-
Permanent Worker	57	6	56	-	-	-	1	56	-
Daily Paid Workers	328	164	55	15	35	-	-	365	127

There is evidence that workers and groups including local communities have not been discriminated against and happy with the way the company is treating them. There is no evidence of complaint against the organization on issues relating to discrimination. The company has implemented a policy of equal employment opportunities to gain employment and minimum age requirements in worker policy.

Criterion 6.9: There is no harassment or abuse in the work place, and reproductive rights are protected.

Findings:

The company has a policy to prohibit all forms of sexual and other forms of harassment and violence. There is Sexual Harassment Policy PT Gawi Makmur Kalimantan:

- Understand that sexual harassment includes physical actions (behaviors and actions) and verbal (words or intimidation) that leads to sexual and constitute misconduct.
- PT Gawi Makmur Kalimantan, strongly opposed to any act of sexual harassment and is committed to creating a work environment free of sexual harassment.
- PT Gawi Makmur Kalimantan, will provide a firm witness to all employees (in accordance with the regulations and legislation in force), in case of sexual harassment.
- Every employee should understand and be responsible for the implementation of this policy. Adopted by the Board of Directors in Jakarta on March 3, 2014

That policy has been documented in the administration of companies. Sexual harassment policy has been communicated to all levels of employees, and also delivered during the muster morning.

The Company has a letter of appointment for Chairman of the Committee on Gender No. 001 / GP-JM / MGR-MILL / KG / I / 2015 on January 5, 2015. Chairman of the Gender Committee on Mill Unit Jorong: Istiani Nur Hasanah, Secretary: Sri Sayekti, Members: Virdianti, Kiki Sera Sentosa, Yayuk Suprapti, Emy Syamsiar.

Compliance status:

Yes No

NCR No.: -

Gender Committee members at the Barat estate are Mrs.Subasir (camp central) and Mrs Agung (camp Lokbungur).

For workers who are breastfeeding the company provides a place to breastfeed in "daycare" which is available in all estate.

The company has a policy of protection of women's reproductive rights. The policy also contained in Company regulations which includes childbirth leave and leave of menstruation. The female employee who gave birth, was granted the leave (with pay) as per the legislation, as follows:

- Pre-natal leave is given 1 ½ months.
- Leave after giving birth given 1 ½ months.
- For precisely the approximate calculation of the time of birth, the employee concerned shall attach a medical certificate when applying for maternity leave.

Menstrual leave applies for the first day and the second (with fixed wages), and the person must be willing to be examined by the company medical officer or attach a formal letter from midwife/obstetrician.

Program for activity in 2017 such as: Monthly meeting, Dissemination, related to sexual abuse and grievance mechanism.

Criterion 6.10: Growers and mills deal fairly and transparently with smallholders and other local businesses.

Findings:

Current and past prices paid for Fresh Fruit Bunches (FFB) has publicly available. As seen on the price FFB in front of mill. The company has provided sufficient evidence that FFB pricing, and pricing mechanism has explained for FFB of the mill or plantation.

On this surveillance, commitment regarding fair and transparent deal with local business also was checked to other local business partner such as FFB transporter and contractors. Jorong Mill and Estate showed list of active local business partner, consist of 4 contractors of construction services, and 3 FFB transporters. All of contractors has complied with regulation according to outsource requirements, and the company has conducted fair trade with them. Evidences showed during surveillance were contract agreement, contractors legality and payments records, such as Contract No. 459/PJB-TBS/GMK/II/2017 dated 01/02/2017 Cooperative Mitra Bersama Mandiri (supplier) with GMK with FFB sale and purchase agreement.

However, the Company has not been able to show documentation of FFB payment for 3rd party suppliers i.e. Mitra Bersama Mandiri Cooperative, TBS Ulin Raya and Subur Mandiri Plastic Cooperatives. This issue has been raised as **NCR no: RSPO01522**.

Compliance status:

Yes No

NCR No:
 RSPO01522

Criterion 6.11: Growers and millers contribute to local sustainable development wherever appropriate.

Findings:

Jorong Mill and Estates has developed CSR program, consist of activities that give contribution to local development. The program is divided into 4 activities, such as: educations support; local traditional, national and religion holiday celebration; environ-

Compliance status:

Yes No

NCR No: -

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mental support; social and community contribution for example:

- Cement assistance 200 sacks for development of *mushalla* at RT 01 Jorong Village, 02 September 2016,
- Splits stone assistance for village landfill along 300 m, 29 March 2017,

Criterion 6.12: No forms of forced or trafficked labour are used.

Findings:
 There is no forced labour at the company or contractual labour from other countries. Sampling of Contract No. 018/GP/J-M/PKWT-II/VIII/2017 on behalf Agung Kunto Kisworo as Opt Press, start 01 September s/d 31 Agustus 2018.

Compliance status:
 Yes No
 NCR No: -

Criterion 6.13: Growers and millers respect human rights.

Findings:
 The company has a Human Rights Policy which states to comply with laws and regulations concerning human rights both nationally and internationally that have been ratified by the Indonesian government. From all workers interviewed there were no issues raised pertaining to infringement of human rights. The policy has been communicated to all level of workers at Barat Estate May 03.2017, at Tengah Estate June 02, 2017.

Compliance status:
 Yes No
 NCR No: -

Criterion 7.1: A comprehensive and participatory independent social and environmental impact assessment is undertaken prior to establishing new plantings or operations, or expanding existing ones, and the results incorporated into planning, management and operations.

Findings:
 The approved EIA document has covered all area including those planted after 2005. (see criterion 5.1 for more detail).
 Social Impact Assessment for PT Gawi Makmur Kalimantan was carried out on July 08-18 2012 and SIA Report dated on Agustus 2012. The SIA conducted through participatory method involving all relevant affected parties and stakeholder. Records of stakeholder meeting are available in SIA document.
 The SIA Action Plans for avoidance or mitigation of negative impacts and promotion of the positive ones as well as monitoring of impacts, has been developed in consultation with the affected parties.
 The plans are being reviewed every two years following stakeholder consultation sessions. The meeting was attended by community representatives 16 person Damit Hulu (Barat) January 2017 and Batalang January 18, 2017 attended by 25 community representatives. The review has concluded that program still relevant and to be continue for 2017.
 Plasma is part of the impacted stakeholders, currently it is still in positive impact as evidenced by the increasing income from every member of the more prosperous cooperatives and continuing the plasma partnership.

Compliance status:
 Yes No
 NCR No: -

Criterion 7.2: Soil surveys and topographic information are used for site planning in the establishment of new plantings, and the results are incorporated into plans and operations.

Findings:
 There is no new planting or operations, or expanding existing ones area since previous audit. All palms planted are in the same area as previous audit. Soil survey and topographic information has been included in the EIA and HCV document. Based on

Compliance status:
 Yes No
 NCR No: -

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EIA document April 2002 on page IV-3, stated that the company location located at altitude 50 – 250 above sea level, with topography condition is flat until undulating in most of the area. In some fraction area, bordering with secondary forest in north area. Next, in pages of IV-4, topography condition and slope, i.e. :

- 0 – 8% (flat) with total area 6,723.8 Ha (72.58%)
- 8 – 15% (undulating) total area 1,592.5 Ha (17.19%)
- 15 – 25% (hilly) total area 827.3 Ha (8.39%)
- > 40% (steep) total area 120.4 Ha (1.30%)

The company has a management strategy to maintain planting in slope area, through the terrace application and cover crop cultivation. They also conducts regular road maintenance activity.

Criterion 7.3: New plantings since November 2005, have not replaced primary forest or any area required to maintain or enhance one or more High Conservation Values.

Findings:

There is no new planting or operations, or expanding existing ones area since previous audit. All palms planted are in the same area as previous audit. All newly planted area is inside land use right (HGU) area and not in the HCV areas. Based on HCV assessment document there is no statement that the newly planted locations contained include the HCV and/or from primary forest. This statement also similar with map from Citra Landsat and Land Covered from 2013 with data sourced is:

- Indonesian Map 2007 (Peta Rupa Bumi Indonesia 2007) scale 1:50,000
- Forestry Based Thematic Map 2006 scale 1:250,000
- Forestry Map of South Kalimantan Province scale 1:250,000 (Decree of Ministry of Forestry number SK.435/Menhut-II/2009, dated on July 23, 2009).

Based on Satelite Image, Barat and Tengah Estate location did not have primary forest, where the condition is shrub, secondary dry forest, production forest, crop estate, housing, dry crop estate and opened land, and also coal mining.

Compliance status:
 Yes No
 NCR No: -

Criterion 7.4: Extensive planting on steep terrain, and/or on marginal and fragile soils, is avoided.

Findings:

There is no new planting or operations, or expanding existing ones area since previous audit. All palms planted are in the same area as previous audit. Based on informastion on EIA document and soil map, there is no peat soil and fragile soil in the company but the company has a management strategy to maintain planting in slope area, through the terrace application and cover crop cultivation.

Compliance status:
 Yes No
 NCR No: -

Criterion 7.5: No new plantings are established on local peoples' land without their free, prior and informed consent, dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.

Findings:

Based on land clearing documentation book, that area was open by manual land clearing using heavy equipment, with evidence:

1. Record of "Perun" in field No.J19B about 0.9 Ha (20/2/2014)
2. Record of "Rolling perun" in field No.K14C about 1.3 Ha (20/10/2013)
3. Record of "Perun lahan" in field No.K13B about 0.5 Ha (19/07/2013)
4. Record of "Perun lahan" in field No.J22B about 0.3 Ha (16/09/2013)

Compliance status:
 Yes No
 NCR No: -

Based on field observation and interview with Head Division V, the planted in 2013 up

<p>came from mixed agriculture i.e.: water melon, rubber, and others. All area developed are under the existing HGU.</p>	
<p>Criterion 7.6: Local people are compensated for any agreed land acquisitions and relinquishment of rights, subject to their free, prior and informed consent and negotiated agreement</p>	
<p>Findings: Based on land clearing documentation book, that area was open by manual land clearing using heavy equipment, with evidence:</p> <ol style="list-style-type: none"> 1. Record of “Perun” in field No.J19B about 0.9 Ha (20/2/2014) 2. Record of “Rolling perun” in field No.K14C about 1.3 Ha (20/10/2013) 3. Record of “Perun lahan” in field No.K13B about 0.5 Ha (19/07/2013) 4. Record of “Perun lahan” in field No.J22B about 0.3 Ha (16/09/201) <p>Based on field observation and interview with Head Division V, the planted in 2013 up came from mixed agriculture i.e.: water melon, rubber, and others. All area developed are under the existing clear and clean HGU, thus there is no compensation given to community.</p>	<p>Compliance status: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>NCR No: -</p>
<p>Criterion 7.7: Use of fire in the preparation of new plantings is avoided other than in specific situations, as identified in the ASEAN guidelines or other regional best practice.</p>	
<p>Findings: According to company’s working plan for new development area based on Block Statement of Barat and Tengah Estate there are 21.6 Ha revise planting in 2015, this was issued for last update on 2 September 2017. All estates do not conduct open burning for land clearing. This is in accordance to the Zero Burn Method under the section on Land Clearing, Preparation and Planting. There was no open burning sighted in any of the estates areas, landfills as well as workers and staff quarters during the field visits in the Estate.</p>	<p>Compliance status: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>NCR No: -</p>
<p>Criterion 7.8: New plantation developments are designed to minimise net greenhouse gas emissions.</p>	
<p>Findings: PT GMK has no new plantation development area nor proposed any new area to develop. PT GMK only manages the existing plantation area within the concession right. The planting in 2015 was not under new area, but it was conducted n the existing (already opened) area/revise planting. Thus the existing GHG calculation has already included all area managed by the company.</p>	<p>Compliance status: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>NCR No: -</p>
<p>Criterion 8.1: Growers and millers regularly monitor and review their activities and develop and implement action plans that allow demonstrable continuous improvement in key operations.</p>	
<p>Findings: Action plans for continual improvement are implemented as found below (described further in the respective criterion):</p> <ul style="list-style-type: none"> • Reduction in use of pesticides is conducted by instalation of beneficial organism, such as Turnera plant and owl. The insecticide and rodenticide will only be applied if the targeted species has reached certain economic threshold based on tiered 	<p>Compliance status: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>NCR No: -</p>

<p>survey activities.</p> <ul style="list-style-type: none"> • For environmental impacts management, the company has already established mandatory EIA along with its approval from authority. Regular monitoring against company's activities which has potential impacts and several key environmental parameters have been conducted and reported in each semester. • Waste reduction (Criterion 5.3) efforts are implemented by waste source identification and classification (organic/an-organic and hazardous). The company follows the regulation regarding scheduled waste handling including warehouse permit, licensed transporter, and relevant waste administration document. POM activity waste such as EFB, solid, and fibres are used either as organic fertilizer or combustion material for boiler. • Regarding pollution and greenhouse gas (GHG) the company has conducted diesel fuel substitution program to shell and fiber from diesel/ton CPO 332,760 January to August 2017. Methane capture facility will be installed in 2018. There is also emission reduction program in Jorong POM 2017 such as GHG Source Identification. There is also rehabilitation program 2017 for several area in the Jorong POM since 5 April and 5 May 2017. • Regarding social impacts (Criterion 6.1) the company has implemented Social Impact Assessment. Based on verification there is no major issues between company and relevant authorities, communities, or employees. • To optimise the yield of the supply base the company has established operating procedures covering all plantation activities i.e. manuring, chemical weeding, IPM, and harvesting. All activities are verified to be in line with the relevant procedures. 	
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• **RSPO SCCS**

Jorong Palm Oil Mill is producing crude palm oil (CPO) and palm kernel (PK). The company currently sells their product without claiming it as certified sustainable palm oil (CSPO) but sold as International Sustainability Carbon Certification (ISCC) certified claimed product. The company only claiming certified sustainable palm kernel (CSPK) and the product sells was register on RSPO eTrace. from RSPO to support implementation of sustainability requirements.

The company implements SCC-RSPO with “**Mass Balance (MB)**” model according to the nature of mill FFB supply condition. The following is a description of the company's supply chain management system according to the RSPO SCCS requirements (it was assessed/audited against Module E), including status of compliance of the company and their outsourced third parties to RSPO SCCS requirements. Results of audit/assessment as describe on the explanation belows:

1. General requirement	
5.1 Applicability of the general chain of custody requirements for the supply chain	
<p>Findings:</p> <p>PT Gawi Makmur Kalimantan – Jorong palm oil mill as processor of FFB become palm oil and palm kernel is the entity that has legal ownership and physically handles RSPO Certified Sustainable oil palm products at a location Damit Hulu village, Batu Ampar Sub District, Tanah Laut District, South Kalimantan Province under the control of the organization including outsourced contractors. The company received certified FFB from owned estate (Barat and Tengah estates) and smallholder estates (Pamalongan and Damit Hulu) and non certified FFB from outgrowers.</p>	<p>Compliance status: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>NCR No: -</p>

The company as operation site (or parent company) is RSPO member since 2015 with membership number 1-0216-12-000-00.

5.2 Supply chain model

Findings:

Following the nature of company's incoming material (FFB) from owned estates and others non certified sources as explained above the company decided to implement Mass Balance (MB) supply chain model. This supply chain model will allowed the Jorong Palm Oil Mill to mixing certified and non certified FFB and palm oil product, but should be control by mass balance system.

Compliance status:
 Yes No

NCR No: -

5.3 Documented procedures

Findings:

The mill have a set procedures and/or work instructions other work references (e.g.: policies, memo, etc) to ensure the implementation of all elements of the applicable supply chain model specified. The company has established a set document as follow:

1. SPO/GMK-AGRO/01/10, Rev.04 valid from 10-08-2015, namely traceable sustainable mass balance report
2. SOP/GMK-AGRO/03/05, Rev.03 valid from 10-08-2015, namely product receiving in palm oil mill
3. SOP/GMK-AGRO/03/06, Rev.04 valid from 10-08-2015, namely product delivery in palm oil mill → 5.5 said: Pelaporan apabila terjadi kelebihan produksi TBS, CPO, PKO.
4. SOP/GMK-AGRO/06/01, Rev.01, valid from 07-06-2013, namely Purchasing
5. SOP/GMK-AGRO/01/03, Rev.02, valid from 10-08-2015, namely handling of non-conforming product
6. SOP/GMK-AGRO/01/04, Rev.01, valid from 07-06-2013, namely Correction
7. SOP/GMK-AGRO/01/05, Rev.01, valid from 07-06-2013, namely Preventive Action
8. SOP/GMK-AGRO/01/06, Rev.01, valid from 07-06-2013, namely Calibration
9. SOP/GMK-AGRO/01/09, Rev.02, valid from 24-02-2014, namely Unloading of Oil from Truck
10. SOP/GMK-AGRO/01/11, Rev.02, valid from 24-02-2014, namely Sounding Tank
11. SOP/GMK-AGRO/01/20, Rev.00, valid from 31-08-2015, namely Subcontracted Activities
12. SOP/GMK-AGRO/01/23, Rev.00, valid from 16-11-2015, namely FFB Tracing.

The documents have been updated as needed, following changes of mill operation conditions. The records of implementation such kind documents are maintained and updated.

The mill was assigned Mr. Ruly Walun D. (KTU/Administration Head) of Jorong Mill as person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. As stated on Decree of Jorong Mill Manager, No. 001/GP-JM/ISCC/IV/2014, dated April 01, 2014. The letter have included description of responsibility and authority such as sample is to implement SCCS's system.

As observed during audit, the management representative has able to demonstrate awareness of the organization's procedures for the implementation of this standard.

Compliance status:
 Yes No

NCR No: -

The company have procedure for internal audit, i.e.: SOP Audit Internal, Document No. SOP/GMK-AGRO/01/02, Revision, 01, effective date June 07, 2013. The internal auditor is conducted regularly at least 1 (one) time a year as stated on the procedure and as seen on the document Jadwal Audit Internal (FR/GMK-AGRO/IA/01/01) was prepared by Lead Auditor and approved by MR (signed dated January 2 2017).

The last internal audit was conducted on February 08, 2017 at PKS Jorong. The internal auditor team consist of Edwin Nursyamsu (lead auditor), Rama A.K., Siti Santoso, Adnan R., and Eko Ariawan. The result of internal audit have recorded on Attendane List and NCR Reports (Laporan Ketidakesesuaian Produksi Permohonan Tindakan Koreksi, FR/GMK-AGRO/IA/01/04).

The mill has appropriate correction/corrective action to eliminate the cause of non conformity. To ensure that the RSPO SCCS system in the mill conforms to the requirements in the RSPO Supply Chain Certification Standard and the RSPO Market Communications and Claims Documents and effectively implements and maintains the standard requirements within its organization.

The outcomes of the internal audits and all actions taken to correct nonconformities have been subject to management review that was conducted on February 17, 2017 (further detail on 5.13). The mill has maintained the internal audit records properly.

5.4 Purchasing and goods in

Findings:

As mentioned on the table 2: FFB Supply Base Composition for Jorong Mill, for period 2016 and 2017 (until August) above the company received FFB from several sources. There is internal sourcers and external sources. The internal sources from company's owned estate i.e. Barat and Tengah estates, incoming FFB will accompanied by relevant document, for example document name "Report Mass Balance Tri Wulan RSPO".

Certified and non-certified FFB in Jorong Palm Oil Mill was identified by the SCCS stamp. Internal FFB come from Tengah estate and Barat estate applied the SCCS stamp on the FFB Receipt Slip during through the weighbridge, otherwise others FFB was not stamped. Amount of FFB and palm oil product received by the Jorong Mill has been explained above.

Until 3rd surveillance audit, there is no overproduction of certified palm product or FFB, in case of any overproduction, the mill has mechanism to inform to the certification body through the mill procedure. The procedure number SOP/GMK-AGRO/03/06 Rev04 valid from 10/08/2015, section number 5.5.1 page of 12, explained "Mill manager should inform the over production (FFB/CPO/PK/PKO) to the certification body through email and by phone.

The mill has procedure for handling non-conforming oil palm products and/or documents, i.e. SOP of control of non conformity products (*Pengendalian Produk Tidak Sesuai*), document no SOP/GMK-AGRO/01/03, Revision 02, dated August 10, 2015.

While for external sources FFB will accompanied by relevant documents, e.g.: Surat Pengantar Buah, Tket Timbangan, and Laporan Penimbangan per Perusahaan (CV Satria Bagus)

Compliance status:
 Yes No

NCR No: -

RSPO 3rd Surveillance Report
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<ul style="list-style-type: none"> - The name and address of the mill, Jorong Estate - The name and address of the estate; CV Satria Bagus, Batu Ampar village, No. 290, Pelaihari. - The delivery date: August 19, 2017 - The date on which the documents were issued: August 19, 2017 - A description of the FFB: planted year 2004, number of FFB 416 - The quantity of the FFB delivered: Netto weight: 7,300 kg - Any related transport documentation: Truck, Police No. 7,300 ha - Supply Chain certificate number of the estate: Non-certified. - A unique identification number: Record No. 17033225 <p>The information have been complete and can be on document Laporan Penimbangan Per Perusahaan, as sample document dated August 19, 2017, supplier name CV Satria Bagus, Total Netto of FFB Supplied 40,560 kg, 6 times delivering with records no. 17033225, 17033226, 17033240, 17033267, 17033284 and 17033286)</p>	
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5.5 Outsourcing activities (If applicable)

<p>Findings: There is not outsourcing activities in PT Gawi Makmur Kalimantan – Jorong Mill</p>	<p>Compliance status: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No NCR No: -</p>
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5.6 Sales and goods out

<p>Findings: Based on report of CPO mass balance for year 2016 and 2017 until August, the company has not sales CPO claimed as RSPO certified CPO.</p>	<p>Compliance status: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No NCR No: -</p>
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5.7 Registration of transactions

<p>Findings: The Jorong Mill has registered in RSPO IT Platform, with registered number RSPO_PO1000001740. The mill has established a specific SOP for registration of every transaction to RSPO palm Trace as required by the RSPO-SCC standard.</p> <p>Within the period January to December 2016 the Jorong mill has not sold certified product and January until August 2017 also no sold certified product. Meanwhile the Jorong mill has sold non certified CPO for period 2016 total 53,101.91 Mt and for January to September 2017 periods, the mill has sold non certified CPO at total 33,885.96 Mt.</p>	<p>Compliance status: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No NCR No: -</p>
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5.8 Training

<p>Findings: There is training evidence for SCCS awareness for Mill staff manager level and all relevant staff such as attendance list; training was conducted on September 15, 2015. Evidence of training: Minutes meeting SCCS workshop for employees working with Critical control Point such as Photographs of training session dated September 15, 2015.</p>	<p>Compliance status: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No NCR No: -</p>
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5.9 Record keeping

Findings:

The mill have establish procedure for maintain accurate, complete, up-to-date and accessible records and reports covering all aspects of these RSPO Supply Chain Certification Standard requirements, as stated on document SOP Pengendalian Dokumen dan Rekaman, document No. SOP/GMK-AGRO/01/01, Revision 01, dated June 07, 2013.

As stated on control of records procedure the retention times for all records and reports must be kept a minimum of two (2) years and must comply with legal and regulatory requirements and be able to confirm the certified status of raw materials or products held in stock.

The mill is able to provide the estimate volume of palm oil / palm kernel oil content (separate categories) in the RSPO certified oil palm product and keep an up to date record of the volume purchased (input) and claimed (output) over a period of twelve (12) months, as seen on material balance document, i.e. document name Report Mass Balance period January to December 2016,

- Total incoming FFB in year 2016 is 232,976.510 tonne
- Total FFB procesed in year 2016 is 232,976.510 tonne
- Total CSPO produce in year 2016 is 35.371,09 tonne
- Total CSPK produce in year 2016 is 7.408,06 tonne
- The FFB stock in year 2016 is 0 tonne.
- Total CSPO/CSPK sold in year 2016 is 0 tonne.
- The balance of CSPO in year 2016 are 822,721.02 tonne.

Compliance status:

Yes No

NCR No: -

5.10 Conversion factors

Findings:

The mill has mechanim to calculate conversion factor. The mill using Conversion factor following the guidance as provided by RSPO. To provide a reliable estimate for the amount of certified output available from the associated inputs. For license period January until December 2017 the OER is 22.80% and KER Is 4.8%

The OER/KER have been checked periodically to ensure accuracy againts actual performace or industry average as appropriate.

Compliance status:

Yes No

NCR No: -

5.11 Claims

Findings:

The Jorong mill has an SOP for making claims certified product according RSPO communication and claims, i.e. SOP Traceable Sustainable Mass Balance Report, document no. SOP/GMK-AGRO/01/10, Revision 4 and SOP Internal and External Communication, document no. SOP/GMK-AGRO/01/08, revision 07.

Compliance status:

Yes No

NCR No: -

5.12 Complaints

Findings:

The organisation has established and maintain documented procedures for collecting and resolving stakeholder complaints i.e. SOP control of non-conformity product, document no. SOP/GMK-AGRO/01/03, Revision 01 and SOP of internal and external communication, document no. SOP/GMK-AGRO/01/08, revision 07. During this 3rd surveillance, there is no incoming complaint regarding CSPO/CSPK product.

Compliance status:

Yes No

NCR No: -

5.13 Management review

Findings:

The mill has/has not established management review procedure i.e. document SOP Tinjauan Manajemen, document no. SOP/GMK-AGRO/01/21, Revision 0. As stated on the procedure, the mill is required to hold management reviews annually at planned intervals.

Compliance status:

Yes No

NCR No: -

Module E

E.1. Definition

Findings:

Jorong Palm Oil Mill implemented the RSPO SCCS MB model. This model allowed the mixing of certified product and uncertified product with control in mass balance record.

Jorong Palm Oil Mill (PKS Jorong) located in South Kalimantan – Indonesia. Jorong Mill has production capacity of 90 tonne/hours. In year 2014, the mill processed Fresh Fruit Bunches (FFB) from company owned estate (Barat and Tengah Estate), Pemalongan smallholder (named KUD Ulin Jaya), Damit smallholder (named Kopermas Subur Mandiri), PT Sentosa Sukses Utama (SSU) and outgrower, whereas in year 2015 that FFB supplier same as year 2014 exclude Timur estate. The location of Jorong Palm Oil Mill is within Barat estate.

Jorong Palm Oil Mill has an operating licensed from the Indonesian State Minister of Investment of Investment Coordinating Board i.e.: approval of foreign investment (Izin Usaha Tetap) No. 189/T/INDUSTRI/PERTANIAN/2008 (issued date on 11 March 2008) with production capacity of FFB : 515,500 tonnes (FFB from estate in Tanah Laut Regency : 330,000 tonnes and in Tanah Bumbu Regency : 185,500 tonnes), CPO : 111,400 tonnes, PK : 25,500 tonnes. Jorong mill has extention permit from previous permit i.e.: approval of head of integrated licensing service offices no. 1/63/IU/II/PMDN/INDUSTRI/2013 dated on June 26, 2013 with capacity of CPO : 118,800 tonnes and PKO : 24,300 tonnes. Whereas license from Ministry of Agriculture i.e cultivation business (IUP/SPUP) no, 749/Menhutbun-VII/2000 dated on June 29, 2000 jo head of tanah laut regency letter no. 525/148/UT.1 dated on May 5, 2008 that mill capacity 30 tonnes/hour to 90 tonnes/hour.

Compliance status : Full Compliance

E.2. Explanation

Findings:

Estimated of tonnage CPO and PK products has been recorded in to the public summary of the P&C certification report. (see tables above)

Jorong Palm Oil Mill registered in RSPO IT Platform (e-Trace) with the RSPO e-Trace member ID RSPO_PO1000001740.

Compliance status: Full Compliance

E.3. Documented procedures

Findings:

Jorong Palm Oil Mill has established the procedure related to RSPO SCCS MB implementation. That procedure such as:

1. SPO/GMK-AGRO/01/10, Rev.04 valid from 10-08-2015, namely traceable sustainable mass balance report
2. SOP/GMK-AGRO/03/05, Rev.03 valid from 10-08-2015, namely product receiving in palm oil mill
3. SOP/GMK-AGRO/03/06, Rev.04 valid from 10-08-2015, namely product delivery in palm oil mill → 5.5 said: report if there is over production of FFB, CPO, PKO.
4. SOP/GMK-AGRO/06/01, Rev.01, valid from 07-06-2013, namely Purchasing
5. SOP/GMK-AGRO/01/03, Rev.02, valid from 10-08-2015, namely handling of non-conforming product
6. SOP/GMK-AGRO/01/04, Rev.01, valid from 07-06-2013, namely Correction
7. SOP/GMK-AGRO/01/05, Rev.01, valid from 07-06-2013, namely Preventive Action
8. SOP/GMK-AGRO/01/06, Rev.01, valid from 07-06-2013, namely Calibration
9. SOP/GMK-AGRO/01/09, Rev.02, valid from 24-02-2014, namely Unloading of Oil from Truck
10. SOP/GMK-AGRO/01/11, Rev.02, valid from 24-02-2014, namely Sounding Tank
11. SOP/GMK-AGRO/01/20, Rev.00, valid from 31-08-2015, namely Subcontracted Activities
12. SOP/GMK-AGRO/01/23, Rev.00, valid from 16-11-2015, namely FFB Tracing.

The mill has been assigning person, i.e. head of administration (Mr. Rully Walun) that having overall responsibility for and authority over the implementation of SCCS requirements and compliance with all applicable requirements. The head of administration is expected to be able to demonstrate awareness of the facilities procedures for the implementation of SCCS standard. Respective staff has good knowledgeable and competent in implementing the supply chain procedures in Jorong mill, as proved during interview with weight bridge staff, FFB ramp etc.

There is training evidence for SCCS awareness for Mill staff manager level and all relevant staff such as attendance list; training was conducted on September 15, 2015. Evidence of training: Minutes meeting SCCS workshop for employees working with Critical control Point such as Photographs of training session dated September 15, 2015.

Compliance Status : Full Compliance

E.4. Purchasing and good in

Findings:

Jorong Palm Oil Mill has separate between certified FFB and non-certified FFB; also include the certified and un-certified palm oil product (CPO and PK) through the mass balance record control. Especially for FFB certified and un-certified will marked use stamp of SCCS in form slip FFB in weighbridge. Only FFB from Barat and Tengah estate marked use that stamp. And for FFB from outside that estate not marked this is mean the FFB is not certified. Amount of FFB and palm oil product certified and un-certified was explained in principle and criteria 1 above.

Until 3rd surveillance audit, there is no overproduction of certified palm product or FFB, but should the overproduction happen, the mill has mechanism to inform to the certification body through the mill procedure. Jorong mill has procedure and mechanism to inform the over production into the CB by document number SOP/GMK-Agro/03/06 revision 04 date issue August 10, 2015, mentioned "if over production projected, the management representative will inform to the CB related that over production",

Compliance status: Full Compliance

E.5. Record keeping

Findings:

Jorong palm oil mill has recorded and balanced receipts all of RSPO certified and uncertified in to mass balance record and also for palm oil product such as CPO and PK and conducts evaluated every 3 months. During the 3rd surveillance audit palm oil mill still consistent to record and control the mass balance stock, when during 2016, certified palm oil product (CPO) was about 35,371.09 tonne and PK was about 7,408.06 tonne. Until the 3rd surveillance audit, Jorong palm oil mill has no transaction yet for certified palm oil product in 2017, while back in 2016 there were 7,633.77 tonne of CSPK claimed. There is no outsourced process in Jorong Palm oil mill. The mill's product CPO and palm kernel are internally processed in company's location

Compliance status: Full Compliance

3.2 Status of Previously Identified Non-conformities

A total of 31 non-conformances were identified during 1st surveillance audit. These consisted of 20 major non-conformities and 11 minor non-conformity for P&C Generic 2013. During this surveillance assessment, it was found that there was sufficient evidence for closure of all non-conformities. The following is a description of the evidence of action taken to close the non-conformities raised during the previous surveillance, as well as auditor's conclusions on the status of the non-conformities.

Indicator & NC	Verification Result	Status
<p>1.1.1 NCR RSPO 00689 (Minor) There are still several conditions not compliances such as:</p> <ul style="list-style-type: none"> • Jorong Mill, Barat Estate and Tengah Estate does not have a list of stakeholders that is classify • Jorong Mill, Barat Estate and Tengah Estate does not have the time uniformity to conduct updating the stakeholders • Jorong Mill, Barat Estate and Tengah Estate does conduct optimally disseminate information to relevant stakeholders • Based on the verification results in the Batalang village, the stakeholder does not understand the company's policies and procedures. 	<p>It was verified that the Company has evidences i.e.:</p> <ul style="list-style-type: none"> • list of stakeholder • Procedure to conduct updating for list stakeholder • Record of dissemination related the policy and procedure for the related stakeholders 	Closed
<p>1.1.2 NCR RSPO 00690 (Major) Internal and external communication procedure does not show the time needed to respond the requests of information from stakeholders</p>	<p>It was verified that the Company has Communication Procedure that has been revised i.e. (SOP/GMK-Agro/01/08, revision 06, effective dated November 1, 2016). The procedure states that the company will respond the request of information within 30 days after the information request has been sent.</p>	Closed
<p>1.2.1 NCR RSPO 00691 (Major) Barat Estate and Tengah Estate has not been maximized to socialize the policies related to:</p> <ul style="list-style-type: none"> • Negotiation procedure • Grievance and complaints procedure • Human right policy • Plan and impact assessment related social and environmental aspect • HCV document 	<p>It was verified that the Company has records:</p> <ul style="list-style-type: none"> • Socialization of negotiation procedure, grievance and complaint procedure to local community of Batalang village and Damit village on October 10, 2016 and documentation of socialization i.e. photograph and attendance list of participant. • Minutes of socialization regarding human rights policy to local community of Damit Hulu and Pemalongan village conducted on October 27, 2016. • Minutes of socialization regarding plan and impact assessment related to social and environmental aspect to local community of Damit Hulu and Pemalongan village conducted on October 27, 2016. • Minutes of socialization regarding HCV document to local community of Damit Hulu and Pemalongan 	Closed

	village conducted on October 27, 2016. • Attendance list of socialization participant and photograph of socialization.	
<p>2.1.1 NCR RSPO 00692 (Major) Several compliance of regulations that have not been implemented by the company such as:</p> <ul style="list-style-type: none"> Based on field visit at Tengah Estate on manuring activity (Division 5 Block G-43), spraying (Division 2 Block C-47), harvesting (Division 2 Block C-49), EFB application (Division 4 Block E-49) and Main Office and Barat Estate on manuring (Division 2 Block E-28) found the contents of first aid box does not accordance with Permenaker No. 15 year 2008 Operator in the Barat and Tengah Estate such as dump-truck, grader, compactor and tractor does not have license (SIO) in accordance with Permenakertrans No. 9 year 2010 about operator for lifting equipment Officer who operated welding in the workshop at Barat and Tengah Estate does not have welder qualification in accordance with Permenaker No. 2 year 1982 about welding qualification in the workplace The company does not yet conduct re-ratification related composition the committee of occupational health and safety has changed where the name of Nazar Fahrizal has resigned. Colinestrase test has not been performed regularly at least once a year in accordance with the recommendation Pesticide Management in the Workplace of Labor, Transmigration and Social agency of Tanah Laut District No. 566/017 / Pesticides / LK / VIII / 2016 dated August 22, 2016 (Mill, Barat Estate and Tengah Estate) Daily workers have not been registered as a participant BPJS Health (Mill, Tengah and Barat estate). This is not in accordance with Law No. 24 year 2011 about BPJS The company could not demonstrate evidence of compliance with laws and regulations Kepmenakertrans / Permenakertrans No. 100 and 102 year 2004, because it was found spray workers and fertilizers does not read, sign an employment contract and in the Jorong mill the workers who work overtime more than 3 hours per day 	It was verified that the Company has : <ul style="list-style-type: none"> Internal purchasing order dated September 22, 2016 with number PPI is 003. In the purchasing order has been stated about name and specification order for first aid content at Tengah Estate Memorandum with number 003/HSE-BJM-1/GMK/IX/2016 dated October 1, 2016 about revision standard of first aid box content related to government regulation (Permenaker No.15 year 2008) The availability of first aid kit in operational activity. The availability of operating license (SIO) for machinery operators. Letter from PT Gawi Makmur Kalimantan to Labor and Transmigration agency of South Kalimantan Province with number 094/GMK-HRD/X//2016 dated October 21, 2016 about composition changes of occupational health and safety committee The cholinesterase check has been conducted twice a year. contract for daily workers evidence that worker are not allowed to work overtime more than 3 hours/day. 	<p style="text-align: center;">Closed</p>
<p>2.1.3 NCR RSPO 00693 (Minor) The Company has a mechanism through internal audits to assess compliance with regulations conduct once a year but in the list of rules and regulations of the company has not been evaluated related to the fulfillment of regulations in accordance with the company's operations, among others:</p> <ul style="list-style-type: none"> Permenakertrans No. 9 year 2010 about operator of lifting equipment Permenaker No. 15 year 2008 about content of first aid box Permenaker No. 2 year 1982 about qualification of welder in the workplace 	It was verified that the company has established updated the list of rules and regulations in 2017 which already includes Permenakertrans No. 9 year 2010, Permenaker No. 15 year 2008, and Permenaker No. 2 year 1982.	<p style="text-align: center;">Closed</p>
<p>2.2.3 NCR RSPO 00694 (Minor non-conformity) The Company does not have conflict resolution plans and land claim based on the principle of FPIC.</p>	It was verified during the audit that there is no conflict area at Barat and Tengah Estate.	<p style="text-align: center;">Closed</p>
<p>2.2.5 NCR RSPO 00695 (Minor) There are still several conditions not compliances such as:</p> <ul style="list-style-type: none"> The company does not have participatory mapping procedure. Map of conflict and land claim does not indicated as result of participatory mapping 	It was verified that the company has conducted: <ul style="list-style-type: none"> participatory mapping procedure has been made and sign by management Map of conflict and land claim that has been made involve entire related community that it result of participatory mapping 	<p style="text-align: center;">Closed</p>
<p>2.3.1 NCR RSPO 00696 (Major)</p>	It was verified that the company has: <ul style="list-style-type: none"> Revised FPIC procedure SOP/GMK-Agro/05/02 re- 	<p style="text-align: center;">Closed</p>

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<p>There are still several conditions not compliances such as:</p> <ul style="list-style-type: none"> The Company has a FPIC procedure but not yet fully adopted the principles of FPIC Maps of land use and land management which still claims by the community does not produced based on the results of participatory mapping 	<p>vision 01, effective date November 2, 2016. The latest FPIC procedure has been added related to FPIC principles.</p> <ul style="list-style-type: none"> Participatory mapping (1:25.000) of land conflict and claim by local community of Damit Hulu and Pematangan village on Barat estate. The map has been signed by land owner/claimer. 	
<p>4.1.4 NCR RSPO 00697 (Major) The Company has procedures No. SOP / GMK-AGRO / 01/20 Rev0 date issued on 31.08.2015, about the FFB source of third party. But the procedures are not clearly mention about the ensuring of selecting the FFB source from third parties in accordance with laws and regulations.</p>	<p>The company has procedure of FFB Traceability (SOP/GMK-Agro/01/23 revision 0, effective date November 16, 2015) that has been completely. In the procedure has been stated that the supplier must completed the legal requirement such as deed of incorporation, SIUP, TDP, NPWP, map of area, source of seed, identity card, letter from head village that the land does not primer forest, year of planting, list of independent grower and account number. Legal requirement checking by legal department at head office and than management give instruction to conduct ground checking. The company will issued purchasing agreement if the supplier has been accordance with legal requirement.</p>	Closed
<p>4.2.3 NCR RSPO 00698 (Minor) The Company has a determination of census tree and tree sample procedures (SOP / GMK-Agro / 02/11 revisions 01 effective date June 7, 2013. In that procedure has not listed the schedule of leaf analysis and soil analysis.</p>	<p>The SOP has been revised by added about tree census and tree sample has been revised with including related item i.e the schedule of leaf analysis and soil analysis.</p>	Closed
<p>4.4.2 NCR RSPO 00699 (Major) There are still several conditions not compliances such as:</p> <ul style="list-style-type: none"> Found indications of spraying on palm oil tree directly set aside with the river flows at Block G44 Division V Tengah estate and Block L25 Division 6 Barat Estate. There is no evidence that the company has been conduct analyzed the water quality of the river is required in the matrix RKL RPL. The company could not show a map of water source which located in the company's concession area. 	<p>It was verified that the company has conducted proper protection on riparian zone and no chemical spraying activity taken place there. The company has also shown Hydrology Map of water source which located in the company's concession area with scale 1:60.000. Water sample analysis from rivers have also been conducted. However, there are several NCR raised under other indicators (4.1.2 and 5.1.2).</p>	Closed
<p>4.7.2 NCR RSPO 00700 (Major) There are still several conditions not compliances such as:</p> <ul style="list-style-type: none"> Document identification of risk assessment in Jorong mill does not cover about stock measurement activities in the storage tanks. There are no records were recorded near misses that occur in the Jorong mill area. This is not according with SOP / KLS-SMK3 / 01/15 that at point 6.1 states each nearmiss that occur must be recorded 	<p>It was verified that the company has:</p> <ul style="list-style-type: none"> Identification of risk assessment with document number FR/GMK-SMK3/HRC/01/02, effective date October 01, 2016. The company has added about stock measurement activities in the storage tanks into HIRAC. Record of hazard observation and near-miss report in the Jorong Mill is available and consistently recorded. 	Closed
<p>4.7.4 NCR RSPO 00701 (Major) Occupational health and safety committee (P2K3) does not discussed all aspects of safety where there is work accidents occurred in August 2016 but does not discussed in the occupational health and safety committee meeting in August 2016.</p>	<p>It was verified that the company has provided:</p> <ul style="list-style-type: none"> Minutes of meeting of occupational health and safety committee. Discussed issues were e.g. safety and health, inspection of safety and health, employee facilities and environmental. Planning of training and socialization program of safety and health year 2017 such as first aid training, safety working on harvesting activity, socialization about safety and health. 	Closed
<p>4.7.5 NCR RSPO 00702 (Minor) There are still several conditions not compliances such as:</p>	<p>It was verified that there was no expired drugs found during the audit. The training for emergency situation has been conducted in regular basis, e.g.:</p> <ul style="list-style-type: none"> Emergency drill has been conducted for FE prac- 	Closed

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<ul style="list-style-type: none"> During field visit to Tengah Estate on harvesting activities (Division 2 Block C-49) found a drug taken by harvesting foreman has expired, among others rivanol (expired April 2016), Rohto (expired in December 2015) and Ranitidine (expired in May 2015) Could not shown evidence of implementation the first aid training that has been conduct in 2015, the last recording which shown is the implementation of training in 2014 (mill) 	<p>tice on April 15, 2017</p> <ul style="list-style-type: none"> Fire response training on 6 May 2017 for Jorong POM; 22 participants. <p>The company also has formal training program for all staff/worker in 2017, such as Safety training, heavy vehicle operator, first aid, basic agronomy, waste management etc.</p>	
<p>5.2.4 NCR RSPO 00703 (Minor) PT GMK has been socialized related HCV area located in the company's area, including in Barat Estate, however, the implementation has not been effective, for example in the HCV area 4.2 on Tandukan Mount, Division 4, Block 27/28 there are opening/utilization of land for planting chili and eggplant by "local community".</p>	<p>There is letter of agreements with local communities about commitment to conserved HCV area. And based on field visit to the area there is no expanding of HCV area.</p>	Closed
<p>5.6.2 NCR RSPO 00704 (Major) The Company has a plan to reduce or minimize the pollutant and GHG emissions identified but in the plan does not include targets and time frames to reduce emissions and pollution.</p>	<p>The company has defined a plan to reduce the pollutant and GHG emission including targets and time frame as documented on documents "Actual data and pesticides budget from 2016 until 2021 for Barat and Tengah Estates"</p>	Closed
<p>5.6.3 NCR RSPO 00705 (Minor) The Company has not conduct reporting the results of GHG calculations that has been performed to RSPO.</p>	<p>The company has reported GHG Calculation on May 15, 2017 for year 2016 period.</p>	Closed
<p>6.1.1 NCR RSPO 00706 (Major) There are still several conditions not compliances such as:</p> <ul style="list-style-type: none"> Social Impact Assessment (SIA) document does not explain the specific impact on each village around the Barat and Tengah Estate. Social Impact Assessment (SIA) document does not covering the explanation related livelihoods, access to land use, cultural and religious values, educational and health facilities. 	<p>The company has revise the SIA document related specific impact to village around Barat and Tengah Estate, also additional explanation related livelihoods, access to land use, cultural and religious values, educational and health facilities.</p>	Closed
<p>6.1.2 NCR RSPO 00707 (Major) Social Impact Assessment (SIA) document does not show evidence that the process of drafting a social impact study has been through a consultative process with stakeholders</p>	<p>It was verified that the company already made a stakeholder list.</p>	Closed
<p>6.1.3 NCR RSPO 00708 (Major) There are still several conditions not compliances such as:</p> <ul style="list-style-type: none"> Matrix of Social Management Plan Document in Barat Estate and Tengah Estate are not accompanied with a timeline (time allocation for each program implementation) There is no monitoring mechanism in Barat estate and Tengah estate in order to monitor impact reduction. 	<p>It was verified that the company had shown the Social impact management. Mechanism of monitoring to reduce of impact in Barat and Tengah estate. The mechanism starting from make a management plan based on social impact assessment document until evaluation of plan and management monitoring of social impact every year.</p>	Closed
<p>6.1.4 NCR RSPO 00709 (Minor) There is no documentation of the recording process of stakeholder consultation on Barat estate and Tengah estate.</p>	<p>It was verified that the company has attached stakeholder consultation evidence in the SIA document.</p>	Closed
<p>6.2.1 NCR RSPO 00710 (Major) There are several conditions not compliances such as:</p> <ul style="list-style-type: none"> List of affected communities have not been prepared in the Barat estate and Tengah estate. 	<p>It was verified that the company has :</p> <ul style="list-style-type: none"> List of local community which affected related with social and environmental aspect in Barat and Tengah Estate. Revised Internal and External Communication 	Closed

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<ul style="list-style-type: none"> Internal and External Communications procedure have not entered the principle of FPIC 	<p>procedure (SOP/GMK-Agro/01/08, revision 06, effective date November 1, 2016). The procedure has added the principle of FPIC.</p>	
<p>6.2.3 NCR RSPO 00711 (Minor escalation to Major) There are still several conditions not compliances such as:</p> <ul style="list-style-type: none"> Barat and Tengah estate does not has list identification of affected stakeholders Barat and Tengah estate does not has documentation related communication with stakeholders (respond recording for input from affected stakeholder) 	<p>It was verified that the company already has stakeholder list which affected by plantation activity.</p>	Closed
<p>6.3.1 NCR RSPO 00712 (Major) The company does not have the clear mechanisms in the procedures for handling grievance and complaints.</p>	<p>Policies and mechanisms to handling complaints of work that respects and protects the anonymity of the complainant was established. There was also flowchart of internal and external communication for handling grievance and complaints.</p>	Closed
<p>6.5.2 NCR RSPO 00713 (Major) There are several conditions not compliances such as:</p> <ul style="list-style-type: none"> There are no written employment agreement for daily workers (Barat and Tengah estate) There are no documents about Obligatory Labor Reporting in Labour agency of Tanah Laut District (Mill, Tengah estate and Barat estate) There is no salary slips for daily workers. (Barat and Tengah estate) 	<p>It was verified that the Company has showed evidences, i.e.:</p> <ul style="list-style-type: none"> contracts for upkeep daily workers has been made labor reporting has been submitted to relevant agency the receipt of wages/salary on daily worker has been made and has been delivered 	Closed
<p>6.6.2 NCR RSPO 00714 (Minor) There are no operational mechanisms for employee complaints. (mill, Barat estate and Tengah estate).</p>	<p>It was evidenced that the mechanism of employee complaints has been made and approved.</p>	Closed
<p>6.9.1 NCR RSPO 00715 (Major) There are still several conditions not compliances such as:</p> <ul style="list-style-type: none"> Socialization about sexual harassment to male workers for year 2016 does not perform (mill, Barat estate and Tengah estate) Members of Gender Committee has not got a briefing or counseling training for women as victims of violence (mill, Barat estate and Tengah estate). 	<p>It was verified that the company has letter on socialization program about sexual harassment to male workers for year 2016 has been made and implemented.</p>	Closed
<p>6.9.3 NCR RSPO 00716 (Minor) Companies do not have policies and mechanisms to handling of complaints that respects and protects the anonymity of the complainant (Whistle blower policy).</p>	<p>Policies and mechanisms to handling complaints of work that respects and protects the anonymity of the complainant has been made and approved.</p>	Closed
<p>6.12.3 NCR RSPO 00717 (Major) There is not available procedure for temporarily migrant workers or foreign workers whereas in implementation the company have foreign workers (2 persons)</p>	<p>The Company has established procedure of migrant workers (SOP/GMK-AGR/04/04 revision 00 effective date 1 November 2016).</p>	Closed
<p>6.13.1 NCR RSPO 00718 (Major) Company Regulations Article 44: in order to get permission to leave to performing hajj must have worked one year. It is contrary to the principles of human rights that give the freedom to worship in accordance religion and belief.</p>	<p>Company revised of company regulation Article 41 where the company give permission to leave the work and get the wage to conduct hajj and decree of Labor and Transmigration agency of South Kalimantan with number KEP.561.3/013/PP/VII/Disnakertrans dated July 22, 2016 about validation of company regulation of PT Gawi Makmur Kalimantan</p>	Closed
<p>7.6.1 NCR RSPO 00719 (Major) Social Impact Assessment (SIA) document does not covering the explanation related the land use of local community</p>	<p>Social Impact Assessment (SIA) document does explained profile of village around Barat and Tengah estate such as livelihoods, access to land use, cultural and religious values, educational and health facilities.</p>	Closed

3.3 Identified non-conformances, corrective actions taken and auditors conclusions

A total of 13 nonconformances were identified during the 3rd surveillance audit. These consisted of 5 nonconformities categorized as major non-conformities and 8 nonconformity categorized as minor non-conformities. For the major non-conformances, the company has taken the necessary corrective action to close these non-conformances, and this was verified by the audit team through documented evidence submitted by the company. For the minor non-conformances, the company has taken corrective action against these as well, and for those which could not be verified as closed through document checks, the closure of these minor non-conformities will be assessed during the next surveillance audit. A summary of all identified non-conformances, corrective actions taken and auditor conclusions is as below:

3.3.1 Major Non-conformities

Ref	NCR No.	Evidence Observed /NCR raised	Auditee Response		Verification of Correction/ Corrective action	Date of closure Auditor/ Conclusion
			Correction	Corrective Action		
2.1.1	RSPO 01510	<ul style="list-style-type: none"> - The river border protection efforts undertaken by the Company are not in accordance with Government Regulation No. 38 of 2011 on River and Presidential Decree of 32/1990 concerning the Management of Protected Areas, for example in the Katal-Katal River on Barat Estate Block E27/28 and at Tengah Estate Block B/C 36. - The report material of the company's plantation business activities in the first semester of 2017 has not provided specific data on the development of partnership estate activities (plasma), this is not in accordance with Act 39 of 2014. - The company has not submitted the report of capital investment activities in the first semester of 2017 to the investment coordinating body, this is not in accordance with Law 25 of 2007. - The POM and Estates have not yet submitted Bipartite LKS activities to the local Disnakertrans District, this is not in accordance with Ministry of Manpower Decision of 23 year 2008. - There is no evidence that PKWT has a copy of the Employment Agreement (in 	<ul style="list-style-type: none"> • To revise SOP regarding riparian zone for river with width >30m the buffer is 100m, and for rivers with width <30m the buffer is 50m. • To state plasma data in the Plantation Activity Report semester I 2017. • To provide receipts of reporting on investment activity semester I 2017. • To provide evidence of LKS bipartit reporting. • To create handing over receipt of PKWT. • To appoint into PKWTT for workers who have been working more than 21 days or more in 3 months period. 	<ul style="list-style-type: none"> • Ensure the SOP has been revised and distributed, also to set the riparian buffer zone or river with width >30m the buffer is 100m, and for rivers with width <30m the buffer is 50m. • Ensure that plasma data will always stated in the regular report of plantation activity. • Ensure that there will always be a receipt of reporting on investment activity. • Ensure there is evidence of employment agreement to PKWT. • Ensure that PKWTT is made for workers who have been working more than 21 days or more in 3 months period. 	<p>The company has submitted:</p> <ul style="list-style-type: none"> - Revised SOP on Riparian Buffer Zone (SOP/GMK-AGRO/01/14 rev. 3 dated 3/10/2017) - Evidences of riparian zone protection based on revised buffer width, e.g. marking of perimeter palm and socialisation attendance list. - LKUP Semester I 2017 with plasm information for Tanah Laut and Tanah Bumbu District and South Kalimantan Province along with the receipts. - Receipts on Report of Capital Investment Activities in the first semester of 2017 from BKPM. - Receipts from Manpower Authority of South Kalimantan Province regarding reporting on LKS Bipartite of Jorong POM, Barat and Tengah Estate dated 30 Oct 2017. - Copy of PKWT Employment Agreement in Barat Estate for Siti Fatimah, while in Tengah Estate 	Closed (21/11/2017)

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		the Tengah and Barat Estate), this is not in accordance with Law No. 13 of 2003. - There is a BHL in the POM that works 21 days or more for 3 months in a row, but the status has not changed to become PKWTT (permanent employees) this is not in accordance with Ministry of Manpower Decision No.100 in 2004. For example: Sumiran, Bayu Saputro, Suratno, Yuwono Utomo.			there is Activity Report on contract dissemination to PKWT as many as 10 workers. - Appointment Letter to become Permanent Worker for 5 personnel i.e. Bayu A. Saputro, Fitriandi, Sumiran, Suratno, and Yuwono Utomo.	
6.1.3	RSPO 01517	The company has not been able to show evidence of monitoring from the implementation of SIA in 2016.	Make monitoring related to the implementation of SIA in 2016.	Ensure that monitoring is being carried out.	The company has submitted Evaluation on Result of Planning and activity of Sosial Impact Assessment (SIA) for Satui, Timur, Barat and Tengah Estate.	Closed (16/10/2017)
6.3.2	RSPO 01518	There is submission of complaints of employees (Kiki Sera, Dwi Kartika) about the leaking roof of house and the ceiling is damaged but not repaired, while complaints have been submitted since June 29, 2017.	To respond incoming grievance according to defined timeframe.	Ensure that respond is given as per incoming grievance.	The company has submitted 2017 Housing Maintenance Plan for 16 houses and Actiity Report on House Maintanace Completion along with photograph.	Closed (23/10/2017)
6.5.1	RSPO 01519	The Company has not provided a pay slip for contract workers as part of wage documentation (POM, Tengah and Barat Estates).	Issue the pay slips for PKWT workers.	Ensure that pay slips are issued and delivered to PKWT workers.	The company has submitted 8 samples of PKWT pay slips for period of September 2017.	Closed (23/10/2017)
6.5.2	RSPO 01520	Based on the field visit there were some loose fruits collectors in the Barat Es-tate Div I who were not employees of the estate and did not receive any wages, this was not in accordance with the Company Regulation stating that employee is all people bound in an employment agreement and receive wages.	Issue a memo related to the prohibition of work other than those listed as workers.	Ensure that memo is issued and disseminated to all workers.	The company has submitted Statement Letter by Harvester (with legal stamp) stating that they will not bring along other people while working. Also there is attendance list of socialisation.	Closed (16/10/2017)

3.3.2 Minor Non-conformities

Ref	NCR No.	Evidence Observed /NCR raised	Auditee Response		Verification of Correction/ Corrective action	Date of closure Auditor/ Conclusion
			Correction	Corrective Action		
2.1.3	RSPO 01511	- The company has not comprehensively review the laws and	- To conduct review on regulations in en-	- Ensure review in conducted against regula-	Proposed correction and corrective action have been	Closed (16-10-2017)



		<p>regulation in environmental aspect e.g. PP no 38 2011 regarding River.</p> <ul style="list-style-type: none"> - Found no Chemical specialist license (Petugas K3 Kimia) to handling a hazardous chemical in the Jorong POM and Estate according to requirement of Ministry of Manpower and Transmigration Decree No. Kep.187/MEN/1999 Hazardous Chemical Control in the work place both for Jorong POM, Barat Estate and Tengah Estate. - Found Chain hoist using without permit and formal inspection in the Jorong Palm Oil Mill workshop as required by Permenaker No.PER.05/MEN/1985 related lifting equipment article 138 also for the the license operator. 	<p>environmental aspect.</p> <ul style="list-style-type: none"> - To create training schedule for chemical specialist licensing. - Propose crane machinery permit in Jorong POM. 	<p>tions in environmental aspect.</p> <ul style="list-style-type: none"> - Ensure the schedule for chemical specialist training is created and realized. - Ensure crane machinery permit in Jorong POM is issued. 	<p>accepted, while evidence will be verified during next audit.</p>	
4.1.2	RSPO 01512	<p>The company has SOP of Riparian Buffer Zone (SOP/GMK-AGRO/01/14) where rivers with width of >30 m has buffer of 10 m and river < 30 m has buffer of 50 m, and stream with buffer of 5 m. But the SOP has not refer to latest regulation of PP no 38 year 2011 regarding River.</p>	<p>To revise the SOP on riparian buffer zone.</p>	<p>To ensure the SOP is revised and distributed.</p>	<p>Proposed correction and corrective action have been accepted, while evidence will be verified during next audit.</p>	<p>Closed (16-10-2017)</p>
4.6.4	RSPO 01513	<ul style="list-style-type: none"> - The company has not yet identified chemical stocks listed in WHO 1A or 1B classes, the Stockholm Convention, and the Rotterdam Convention. - The company uses Rodenticide (Sidarat) with Brodifacoum active ingredient which is included in Class 1A WHO, but there is no internal analysis related to LD50 according to WHO document and there is no plan to reduce the use of the material. 	<ul style="list-style-type: none"> - Revise SOP/GMK-SMK3/01/12 Procedure on hazardous material handling by inputting chemical identification items included in WHO 1A or 1B class, Stockholm convention and Rotterdam conversion. - Revise SOP/GMK-SMK3/01/12 Procedure on hazardous material handling. Incorporating an internal analysis item related to LD50 to WHO 	<ul style="list-style-type: none"> - Ensure that the procedure has been revised. - Include the analysis in the procedure and to be conducted for each incoming material. 	<p>Proposed correction and corrective action have been accepted, while evidence will be verified during next audit.</p>	<p>Closed (26-10-2017)</p>

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			1A or 1B chemicals and include item of plan for the material reduction.			
4.7.5	RSPO 01514	No found the drill scenario according to available emergency situation as was stated in the SOP/GMK-SMK3/01/08 Emergency response procedure and drill evaluation still not conducted yet both for Mill and Estate also their evaluation also found empty pressure Fire Extinguisher in the Main Warehouse in Barat Estate	<ul style="list-style-type: none"> - Establish a simulation schedule related to all emergency responses in the procedures. - Re-fill fire extinguishers. 	Ensure that the schedule is created and realised. Ensure to re-fill empty fire extinguisher.	Proposed correction and corrective action have been accepted, while evidence will be verified during next audit.	Closed (16-10-2017)
5.3.3	RSPO 01515	Oil spillage has not been treat properly as it was found to dispose as domestic waste together with other domestic waste in Barat Estate in Workshop area.	Conducting socialization related to oil spills and installing oil spill response facilities.	To ensure that activities are conducted and emergency response equipment are installed at workshop.	Proposed correction and corrective action have been accepted, while evidence will be verified during next audit.	Closed (16-10-2017)
5.1.2	RSPO 01516	<ul style="list-style-type: none"> - There is no evidence that the company has performed root cause analysis and corrective action on BOD and COD values that have exceeded the threshold at downstream of Katal - Katal River based on analysis report no197/AP/X/2016. - The Company has also not conducted water quality monitoring at Cendolan Riv-er. 	Establish procedures for identification of root cause analysis and corrective actions against environmental parameters (BOD and COD) that have exceeded the threshold Create a realization plan for environmental monitoring Cendolan River.	<ul style="list-style-type: none"> • Ensure to have established and implemented identification procedures for problems and remedial measures against environmental parameters (BOD & COD) that exceed the thresholds. • Ensure the development of water quality environmental monitoring plan at the Cendolan River and conducts its monitoring. 	Proposed correction and corrective action have been accepted, while evidence will be verified during next audit.	Closed (26-10-2017)
6.5.3	RSPO 01521	Mill Unit has provided housing for its employees, but there are some houses with its ceiling is in damaged condition and has not been repaired, moreover there is no schedule of repair housing facilities.	Make a monitoring schedule on housing conditions in the POM unit	Ensure the schedule and realization are executed.	Proposed correction and corrective action have been accepted, while evidence will be verified during next audit.	Closed (23-10-2017)
6.10.4	RSPO 01522	The Company has not been able to show documentation of FFB payment for 3rd party suppliers i.e. Mitra Bersama Mandiri Cooperative, TBS Ulin Raya and Subur Mandiri Plastic Cooperatives.	Request evidence of FFB payment to the finance.	Ensure the payment evidence always available.	Proposed correction and corrective action have been accepted, while evidence will be verified during next audit.	Closed (16-10-2017)

3.4 Noteworthy Positive Component and Potential for Improvement

3.4.1 Positive Observation

No.	Ref.	Positive Comments
1	-	Strong commitment towards RSPO implementation.

3.4.2 Potential for Improvement

No.	Ref.	Potential for improvement
1	2.1.1	Proposal for surface water permit have been made, with receipt no: 2471/140/17/05/2017 dated May 25, 2017, the follow-up action will be verified during the next audit.
2	4.1.2	Based on field visits there is an indication that not all loose fruits are collected, e.g. at block D26 and H49 of Barat Estate there were wild palm seedlings and loose fruits under the harvested palm.
3	4.7.1	<ul style="list-style-type: none"> - Barat Estate Safety Plan for 2017 issued on January 2017. But need to be review regarding the program realisation monitoring checklist and for Jorong POM need to review the HIV/AIDS Socialization program which has been scheduled on February 2017. - PPE using in the several area need to be improve such as for several maintainance activities.
4	4.7.2	<ul style="list-style-type: none"> - Need to consider include the result of Estate area measuring report such as genset area in the Barat and Tengah estate as was mention in the Jorong Estate and Mill Environmental Monitoring Plan. - Need to review HIRAC FR/GMK-SMK3/HRC/01/02 for example Cutting Torch and welding activities related to its work permit control to minimise the work hazard.
5	5.1	Renewal of Environmental Permit due to the development of Biomass Power Plant and Organic Fertilizer is still in process, the follow-up will be verified during the next audit.
6	8.1.1	<ul style="list-style-type: none"> - It is best to identify whether all the loose fruits have been transported from the block. - A review should be conducted regarding the needs erosion levels monitoring in steep areas, especially Barat Estate.

3.5 Issues Raised by Stakeholders and Findings Pertaining to Issues

Issues Raised during Stakeholder Interviews On-site

No.	Issues Raised	Audit Verification
1	There is several grievances by employees that have not been followed-up by the companies, e.g. regarding house damages.	It was evidenced that the company has not been able to provide follow-up evidence. This issue has been raised as NCR.
2	Several workers bring along their family members to work, for example at harvesting site.	It was evidenced that the family members were not registered as worker nor they receive any wage. This issue has been raised as NCR.
3	There were several casual workers who have been working for 21 days or more for 3 months in a row.	It was evidenced that the company has failed to comply with regulation by not appointing the casual workers into permanent employees. This issue has been raised as NCR.

4.0 CERTIFIED ORGANISATION'S ACKNOWLEDGEMENT OF INTERNAL RESPONSIBILITY

4.1 Date of Next Surveillance Visit

The next surveillance audit is planned for September 2018.

4.2 Acknowledgements of Internal Responsibility and Formal Sign-Off by Client

It is acknowledged that the assessment visit was carried out as described in this report and we accept the assessment findings and report content.

Signed on behalf of PT Gawi Makmur Kalimantan



Farid Makruf
Management Representative

Signed on behalf of TÜV Rheinland Indonesia



Wahyu
Lead Auditor
Date : December 2017

APPENDICES

Appendix 1: certificate

Certificate

Standard : **Indonesian National Interpretation of RSPO Principles & Criteria for the Production of Sustainable Palm Oil; July, 2016 and RSPO Supply Chain Certification Systems: November 2014**

Certificate Registr. No. : 824 502 14005

Certificate Holder : PT TUV Rheinland Indonesia certifies :
PT Gawi Makmur Kalimantan
Jorong Palm Oil Mill
Damit Hulu Village, Batu Ampar Sub District,
Tanah Laut District, South Kalimantan Province, Indonesia
and its company owned estates according to the annex



RSPO number : -
Scope : Palm Oil Production and Plantation Management System

An audit was performed, Report No. ASA3_82450214005. Proof has been furnished that the requirements according to Indonesian National Interpretation of Sustainable Palm Oil; July 2016 RSPO Principles & Criteria for Sustainable Palm Oil Production are fulfilled.

The due date for all future surveillance audits is 01.08 (dd.mm).


Validity: The certificate is valid from 01-10-2014 until 30-09-2019.
The certificate shall remain valid in period stipulated above provided that the certificate holder mentioned here continues to comply with the RSPO P&C requirements. Status of compliance of the certificate holder shall be based on the annual inspections conducted by PT TUV Rheinland Indonesia.

RSPO registered parents company* : PT Gawi Makmur Kalimantan
(RSPO Member No. : 1-0216-12-000-00)

* Name of the RSPO registered member company of which the certificate holder is a subsidiary (if applicable)

PDate of first certificate : October 01, 2014

Indonesia, 13-02-2018


PT TUV Rheinland Indonesia
Director

The certificate remains property of PT TUV Rheinland Indonesia and can be withdrawn in case of terminations as mentioned in the contract or in case of changes or deviations of the above-mentioned data. The licensee is obliged to inform PT TUV Rheinland Indonesia immediately of any changes in the above-mentioned data. Only an original and signed certificate is valid.

Annex to certificate

Standard : **Indonesian National Interpretation of RSPO Principles & Criteria for the Production of Sustainable Palm Oil; July, 2016 and RSPO Supply Chain Certification Systems: November 2014**

Certificate Registr. No.: 824 502 14005

Location: **PT Gawi Makmur Kalimantan**
 Address : **Jorong Palm Oil Mill**
 Damit Hulu Village, Batu Ampar District,
 Tanah Laut Regency, South Kalimantan Province, Indonesia



The palm oil mill and supply base covered in certification scope are :

Name of groups	Location	GPS locations	
		Latitude	Longitude
West Estate	Damat Hulu Village and Pernalongan Village, Batu Ampar Sub District and Bajuin Sub District, Tanah Laut District, South Kalimantan Province, Indonesia	03° 51' 15,0" S	114° 57' 32,6" E
Central Estate	Damat Hulu and Batalang Village, Batu Ampar and Jorong Sub District, Tanah Laut District, South Kalimantan Province, Indonesia	03° 51' 15,0" S	115° 00' 09,0" E
Jorong Mill	Damat Hulu Village, Batu Ampar Sub District, Tanah Laut District, South Kalimantan Province, Indonesia	03° 49'17.0" S	114° 57' 47.3" E

CPO Tonnage Total Production: 37,955.87 tonnes
 PK Tonnage Total Production: 7,990.71 tonnes
 Company Estates FFB Tonnages: 166,473.09 tonnes
 FFB Tonnages from other sources: 65,217.37 tonnes
 CPO Tonnage claimed for certification: 37,955.87 tonnes
 PK Tonnage claimed for certification: 7,990.71 tonnes

Scope of SCCS & supply chain model assessed : FFB receipt, produce and delivery of CPO & PK with implementation of the following SCCS :
 Identity Preserved
 Mass Balance

Indonesia, 13-02-2018


 PT TUV Rheinland Indonesia
 Director

Issued by PT TUV Rheinland Indonesia

Appendix 2: List of Abbreviations

AMDAL	Analisis Dampak Lingkungan & Sosial (Social & Environmental Impacts Assessment)
CPO	Crude Palm Oil
EIA	Environmental Impact Assessment
ERTs	Endangered, Rare & Threatened species
FFB	Fresh Fruit Bunches
EFB	Empty Fruit Bunches
HCV	High Conservation Value
HGU	Hak Guna Usaha (Land Use Right)
IPM	Integrated Pest Management
OSH	Occupational Safety & Health
PPE	Personal Protective Equipment
P2K3L	Panitia Pembina Kesehatan dan Keselamatan Kerja dan Lingkungan (OHS and Environmental Committee)
RKL	Rencana Pengelolaan Lingkungan (Environmental Management Plan)
RPL	Rencana Pemantauan Lingkungan (Environmental Monitoring Plan)
SIA	Social Impact Assessment
SOP	Standard Operating Procedure
UKL	Upaya Pengelolaan Lingkungan (Environmental Management Efforts)
UPL	Upaya Pengelolaan Lingkungan (Environmental Management Efforts)

Appendix 3: List of Stakeholders Interviewed and Contacted

No.	Name of Stakeholder	Institution / Position	Remarks
Stakeholders Interviewed during Public Consultation Meeting			
1.	N/A		
2.	N/A		
3.	N/A		
Stakeholders Interviewed On-Site			
1.	Sihardiman Panjaitan	Laboratory Assitant	Employee
2.	Dwi Kartika	Head of Gender Committee	Employee
3.	Dwi Marsudi	Harvesting Foreman Block D26	Employee
4.	Efit	IPM Officer	Employee
5.	Sulasmidi	POME Land Application Officer	Employee
7.	Joko	Harvesting Foreman Block H31	Employee
8.	Anas	Harvester	Employee
9.	Safudin	Harvester	Employee
10.	Afandi	Organic Manuring Assistant	Employee
11.	Agus	Land Application Operator	Employee