



# **RSPO PRINCIPLES AND CRITERIA GROUP CERTIFICATION REPORT**

(Certification Assessment)

## **Thappitak Community Enterprise Group**

RSPO Membership No.: 1-0222-16-000-00

99 Moo3, Tambon Kalasae, Aumphur Sikao, Trang Province 92150

**Date of assessment: 11-12 July 2017**

## PUBLIC SUMMARY REPORT

<b>BV Contract No.</b>	TH.2408067	<b>Date Contract</b>	15 July 2016
<b>Name of Group</b>	Thappitak Community Enterprise Group		
<b>Address of Group</b>	99 Moo3, Tambon Kalasae, Aumphur Sikao, Trang Province 92150		
<b>Group Manager's Name</b>	Mr. Atcharyah Noppharat	<b>Contact Details</b>	+66 75267278 / a_noppharat@yahoo.com
<b>Country</b>	Thailand		
<b>Group e-mail</b>	-	<b>Website</b>	-
<b>Certification Scope</b>	Production of FFB from independent smallholders		
<b>Trading system</b>	<input type="checkbox"/> Physical trading <input type="checkbox"/> Book and claim <input checked="" type="checkbox"/> Physical trading and Book and Claim		
<b>Type of Certificate Holder</b>	Independent Smallholder Group Certification		
<b>RSPO Membership No.</b>	1-0222-16-000-00	<b>Date Registration</b>	23 November 2016
<b>RSPO Certificate No.</b>	BVC-RSPO-20171020-1	<b>Date of Issue</b>	20 Oct 2017
		<b>Date of Expiry</b>	19 Oct 2022
<b>Supply Chain Module</b>	Identity Preserved		
<b>No. of Smallholders</b>	101	<b>Certified Area (Ha)</b>	636.53
<b>Annual FFB Produced (MT)</b>	10,507.96	<b>Annual PK Produced (MT)</b>	525.40
<b>Annual CPO Produced (MT)</b>	2,101.59	<b>Annual PKO Produced (MT)</b>	236.43
<b>Annual PKE Produced (MT)</b>	288.97		

**End of Public Summary**

## EVALUATION INFORMATION

MAIN ASSESSMENT			
Dates:	11-12 July 2017		
Lead Auditor:	Dr. Chaiyaporn Seekao		
Audit Team Members:	Mr. Prapas Nores; Mr. Supiwat Nentakhong		
Technical Reviewer:	M. Shazaley Abdullah	Date of Review:	13 Oct 2017
Report approved by:	M. Shazaley Abdullah	Date of Approval:	15 Oct 2017
Certification Decision:	M. Shazaley Abdullah	Date of Decision:	20 Oct 2017
SURVEILLANCE 01			
Dates:			
Lead Auditor:			
Audit Team Members:			
Technical Reviewer:		Date of Review:	
Report approved by:		Date of Approval:	
Certification Decision:		Date of Decision:	
SURVEILLANCE 02			
Dates:			
Lead Auditor:			
Audit Team Members:			
Technical Reviewer:		Date of Review:	
Report approved by:		Date of Approval:	
Certification Decision:		Date of Decision:	
SURVEILLANCE 03			
Dates:			
Lead Auditor:			
Audit Team Members:			
Technical Reviewer:		Date of Review:	
Report approved by:		Date of Approval:	
Certification Decision:		Date of Decision:	
SURVEILLANCE 04			
Dates:			
Lead Auditor:			
Audit Team Members:			
Technical Reviewer:		Date of Review:	
Report approved by:		Date of Approval:	
Certification Decision:		Date of Decision:	

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Thappitak Community Enterprise Group

## LIST OF ABBREVIATION

Short Form	Meanings
CHRA	Chemical Health Risk Assessment
CPO	Crude Palm Oil
CU	Certification Unit
DID	Department of Drainage and Irrigation, Malaysia
DOE	Department of Environment, Malaysia
EFB	Empty Fruit Bunch
EIA	Environment Impact Assessment
EMS	Environmental Management System
EQA	Environmental Quality Act
ERT	Endangered, Rare and Threatened species
FFA	Free Fatty Acids
FFB	Fresh Fruit Bunches
Ha	Hectare
HCV	High Conservation Value
HDPE	High Density Polyethylene
IPM	Integrated Pest Management
ISO	International Organization for Standardization
IUCN	International Union for Conservation of Nature and Natural Resources
JUPEM	Jabatan Ukur dan Pemetaan Malaysia (Department of Survey and Mapping Malaysia)
K	Potassium
kW	Kilowatt
m	Meter
Mg	Magnesium
mm	Millimeter
MT	Metric ton
N	Nitrogen
NGO	Non Governmental Organization
OER	Oil Extraction Rate
OSH	Occupational Safety & Health
P	Phosphate
P & C	Principles and Criteria
PK	Palm Kernel
POM	Palm Oil Mill
POME	Palm Oil Mill Effluent
PPE	Personal Protective Equipment
SOP	Standard Operating Procedures
Sdn Bhd	Sendirian Berhad (Private Limited)
SEIA	Social and Environment Impact Assessment
Sg	Sungai
SOP	Standard Operating Procedures
SPC	Senior Plantation Controller
USECHH	Use and Standards of Exposure of Chemicals Hazardous to Health
WHO	World Health Organization

## 1. SCOPE OF THE CERTIFICATION ASSESSMENT

### 1.1 Introduction

The assessment for Theppitak Community Enterprise Group has been conducted against **RSPO Management System Requirements and Guidance for Group Certification of FFB Production (7<sup>th</sup> Mar 2016)** by Bureau Veritas Certification Hong Kong Limited during 11-12 July 2017.

The group of independent smallholders has been formed since 28 September 2014 and directly managed by Mr. Atcharyah Noppharat (Group Manager). Group spent two year preparing for initial RSPO certification assessment. Group registered with District Agricultural Office to become as community enterprise on 14 May 2016. The group administration office and office equipment are fully supported by the partnering mill namely Pitak Palm Oil Co., Ltd where is also certified against RSPO SCC. The address of group administration office is 99 moo3 Kalasae Sikao Trang 92150 Thailand. Theppitak Community Enterprise Group is a member of RSPO since 23 November 2016 with membership number 1-0222-16-000-00. Total combined land areas of the group smallholders are 636.53 ha of which; 525.40 ha had been planted with oil palm. There are 101 group members who owned 183 plots of palm oil plantation. Total FFB production generated by group members in 2016 was 7,344.25 tons. The group structure composes of 9 departments (sustainable, farm advisor, database and document control, occupational health and safety, social and labor, plantation management, and marketing and public communication). The group also has divided the management into 12 zones of the management.

Financial operation is fully supported by the partnering mil for the group without any conditions. New group administration office is recently built by the partnering mill. The purpose of the RSPO group certification supported by the partnering mill is to secure supply of the sustainably products to the partnering mill. Meanwhile, group members will be paid a premium price from selling certified FFB to the partnering mill. However, the group can be earned monetary benefit from RSPO certified volume sold via Book and Claim when some certified volume of products are allocated to sell via Book and Claim.

The certification unit consisted of plots owned by formal members of the group and group administration office. Therefore, the certification scope for the CU is Production of FFB from independent smallholders. According to the latest announcement from RSPO executive on December 2014 indicating that the two trading systems between RSPO credits in PalmTrace and physical trading of FFB to mill are now linked, the group has decided to take opportunity of certification for using both trading systems. Therefore, other certified products (CPO, PK, PKO and PKE) will be converted from total certified quantity of FFB for the group using guideline from RSPO.

### 1.2 Location and Description of Group Managers

Theppitak Community Enterprise Group is located in 99 moo3 Kalasae Sikao Trang 92150 Thailand. Overview of the Group Managers location is simplified in the Table 1 below. Details and location maps of smallholders participated in this certification can be referred in Appendix 6 and Appendix 7, respectively. Majority of the crops produced by the smallholdings are delivered to supporting palm oil mill, namely Pitak Palm Oil Co., Ltd.

**Table 1: Details of Group Managers**

Name of the Group	GPS Coordinate		Location Address
	Latitude	Longitude	
Thappitak Community Enterprise Group	7.743293	99.309101	99 Moo3, Tambon Kalasae, Aumphur Sikao, Trang Province 92150 Thailand

### 1.3 Description of Independent Smallholders producing FFBs

The FFB is sourced from plantation which is directly managed by group members who are named in the **Appendix 6**. Currently, there are 101 independent smallholder members in this group covering an area of 636.53 ha of which 525.40 ha had been planted with oil palm. Majority of individual group member have supplied their FFB to the partnering mill (Pitak Palm Oil Co., Ltd).

For those group members who supply FFB to the partnering mill, the identity card (ID) issued by the group for individual group members will be used within the partnering mill for identification and traceability of group members even though majority of group members engaged sub-contractors for transporting their FFB to the partnering mill. However, ID card given by the group is not applicable to other mills and traders. The weighing bill issued by the mill will indicate the group member's name for traceability and identification. The weighing bills for all group members can also be used to calculate annual FFB production. This system can be used to track and trace FFB produced by the group members even though the group is not responsible for selling of FFB produced by each group member.

According to the trading system from announcement from RSPO executive on December 2014 indicates that the two trading systems of Book and Claim and physical trading can now be linked, the group has decided to use both systems.

### 1.4 Date of Planting and Cycles

#### 1.4.1 Date of planting

The details of the CU certified area and its planting profiles are described in **Table 2** and **Table 3**.

**Table 2: Details of Certified Area**

Name of the Group	Total Titled Area/ Certified Area (Ha)	Planted Area (Ha)		Un-Planted Area (Ha)		
		Oil Palm	Other agricultural products	HCV	Conservation	Facilities / Others*
Thappitak Community Enterprise Group	636.53	525.40	70.37	0	0	40.76**

\*Facilities/others include storage, housing, roads, etc.

\*\* Other area consists of 2.40 ha of pond area, 7.07 ha of housing/residential area and 31.28 ha of abandoned area

Tables below show the details of the year of establishment of the CU's supplying estates and their planting profiles.



**Table 3: Age Profiles for the Independent Smallholders**

Year of planting	Areas (ha)	Maturity Status	Planting Cycles
1980-1981	4	Mature	1
1984-1985	4.96	Mature	1
1985-1986	9.479	Mature	1
1987-1988	8.971	Mature	1
1988-1989	3.41	Mature	1
1989-1990	11.958	Mature	1
1990-1991	8.778	Mature	1
1991-1992	0	Mature	0
1992-1993	31.273	Mature	1
1993-1994	8.961	Mature	1
1994-1995	7.202	Mature	1
1995-1996	13.354	Mature	1
1996-1997	18.209	Mature	1
1997-1998	22.289	Mature	1
1998-1999	6.651	Mature	1
1999-2000	27.73	Mature	1
2000-2001	26.93	Mature	1
2001-2002	18.053	Mature	1
2002-2003	32.156	Mature	1
2003-2004	60.358	Mature	1
2004-2005	40.809	Mature	1
2005-2006	11.863	Mature	1
2006-2007	26.738	Mature	1
2007-2008	18.64	Mature	1
2008-2009	31.709	Mature	1
2009-2010	17.439	Mature	1
2010-2011	16.887	Mature	1
2011-2012	5.179	Mature	1
2012-2013	10.038	Mature	1
2013-2014	17.183	Mature	1
2014-2015	4.2	Mature	1
2015-2016	0	Immature	0
<b>Total</b>	<b>525.4</b>		

#### 1.4.2 Replanting program

Due to financial difficulty, group members do not carry out replanting when oil palm range 25-30 years for plots planted before 1990. As long as these plots still produce fruit, replanting program will be postponed. Therefore, there is no replanting program in the next 3 years (2017-2020).

#### 1.5 Other Certification Held by the Certificate Holder

None

## 1.6 Organizational Information/Contact Person

The contact person for Theppitak Community Enterprise Group and Organizational Chart showing the certification scheme are as below.

Name of Organization	: Theppitak Community Enterprise Group
Head Office Address	: 99 moo3 Kalasae Sikao Trang 92150 Thailand
Websites	: -
Head Office Telephone No.	: +66 75267278
Head Office Fax No.	: +66 75267277
RSPO Membership No.	: 1-0222-16-000-00
Contact Person	: Mr. Atchariyah Noppharat
Position	: Group manager
Telephone No./Mobile No.	: +66 897338435
e-mail Address	: a_noppharat@yahoo.com

## 1.7 Tonnage to be certified

Information for quantity to of products to be declared as certified by the Certification Unit for the certification year is tabulated in Table 6 and Table 7.

**Table 4: Certified Products sold and Claimed for the Certification Period**

Supply Chain Model	Quantity Claimed for the Certification Year (MT)				
	Physical trading	Book and claim (Palm Trace credit)			
	FFB	CPO	PK	PKO	PKE
Identity Preserved	-	-	-	-	-
Mass Balance	-	-	-	-	-

Result from Table 6 showed that no certified products have been sold through either physical trading or Book and Claim because the this assessment is an initial certification assessment

**Table 5: Actual Products Claimed for Last Certification Period (September 2017 – September 2018)**

	Quantity for Last Reporting Period (MT)		Projected Quantity for Next Reporting Period (MT)
	Actual Quantity Claimed	Certified Volume in Previous Certification	
Certified FFB	-	-	10,507.96
Certified CPO	-	-	2,101.59
Certified PK	-	-	525.40
Certified PKO	-	-	236.43
Certified PKE	-	-	288.97

## 1.8 Time-bound Plan/Progress against Time Bound Plan

See Appendix 1.

## 1.9 Progress of Associated Smallholders or Out-growers Towards compliances with Relevant Standards

Not applicable because this is group certification for smallholders

## 1.10 Partial certification

### 1.10.1 General

Organizations that have a majority shareholding\* in and/or management control of more than one autonomous company growing oil palm will be permitted to certify individual management units and/or subsidiary companies only if all the following are complied with the requirements mentioned below.

*\*Majority shareholding: the largest shareholding. Where the largest shareholdings are equal (e.g. 50/50) this applies to the organisation that has management control*

Requirement	Findings/Compliance
The parent organization or one of its majorities owned and/or managed subsidiaries is member of RSPO.	According to RSPO certification system for P&C (June 2017), The rules for partial certification as in the RSPO Principles and Criteria for the Production of Sustainable Palm Oil (RSPO P&C) Certification do not apply to a Group Certification of FFB Production.
For groups with complex management structures the following are required: <ol style="list-style-type: none"> <li>A statement of the ultimate controlling shareholders and directors in the managing agency company/companies.</li> <li>Ditto in respect of each of the operating groups.</li> <li>Application for membership by the top asset owning company/companies.</li> <li>Application for membership by the managing agency company/companies</li> </ol>	According to RSPO certification system for P&C (June 2017), The rules for partial certification as in the RSPO Principles and Criteria for the Production of Sustainable Palm Oil (RSPO P&C) Certification do not apply to a Group Certification of FFB Production.

If one of above mentioned requirements is non-compliant, this leads to a major non-conformity.

The following requirements about a time bound plan (2.2) and requirements for uncertified management units and/ or holdings (2.3) are applicable, if the registered RSPO member is the holding company or one of its subsidiaries.

### 1.10.2 Requirements for Time Bound Plan

Requirement	Findings/Compliance
A challenging time-bound plan for certifying all its relevant entities (Relevant entities – including both the business units and parent company(ies)' commitment to RSPO, membership status and involvement with palm oil for each subsidiary) is available. The time-bound plan should contain a list of subsidiaries, estates and mills.	All formal members of the Theppitak Community Enterprise Group are certified. A requirement for the time-bound plan is not relevant.
The time bound plan is appropriate (in particular, the time scale is sufficiently challenging, taking into account circumstances around each entity), taking into account comments received from stakeholders following the public consultation process.	Not applicable because all formal members of the Theppitak Community Enterprise Group are certified. A requirement for the time-bound plan is not relevant.

What is the progress of this plan since the last audit? (if the last audit was done by another CB, the time-bound plan shall be accepted at the moment of first acceptance and only check continued appropriateness shall be checked).	Not applicable because all formal members of the Theppitak Community Enterprise Group are certified. A requirement for the time-bound plan is not relevant.
Are there any revisions to the time-bound plan or to the circumstances of the company?	Not applicable because all formal members of the Theppitak Community Enterprise Group are certified. A requirement for the time-bound plan is not relevant.
If the previous question was answered with yes, the plan shall 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. The requirements will also apply to any newly acquired subsidiary from the moment that the company is legally registered with the local notary or chamber of commerce (or equivalent).	Not applicable because all formal members of the Theppitak Community Enterprise Group are certified. A requirement for the time-bound plan is not relevant.

Where there are isolated lapses in implementation of a time-bound plan, a minor non-compliance is raised. Where there is evidence of systematic failure to proceed with implementation of the plan, a major non-compliance is raised.

**1.10.3 Requirements for Uncertified Management Units/or holdings**

Requirement	Findings/Compliance
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.	Even though some formal members of the Theppitak Community Enterprise Group have recently planted their plantation, the previous land used before converting to palm oil plantation was agricultural area e.g. paddle field and rubber plantation.
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.	All square meters of land owned by all formal members have been alienated with land deeds, licenses from the governmental authorities concerned such as Department of Land, Agricultural Land Reform Office of Ministry of Agriculture and Cooperatives
Labour disputes, if any, are being resolved through a mutually agreed process, in accordance with RSPO criterion 6.3.	There is no labour disputes
Legal non-compliance, if any, are they being resolved in accordance with the legal requirements, with reference to RSPO criteria 2.1.	There is no legal non-compliance

For requirements above, the definition of major and minor non-compliance is stated in the RSPO P&C. For example, if non-compliance against a major indicator in a non-certified holding / management unit is identified, the current certification assessment cannot proceed to a successful conclusion unless that is actively addressed;

Failure to address any outstanding non-compliance may lead to certificate suspension(s), in accordance with the provisions of these Certification Systems.

## 2. ASSESSMENT PROCESS

### 2.1 Assessment Methodology and Programme

The assessment was conducted during 11-12 July 2017 at the Group Manager's Office and onsite audit involving 101 members of Theppitak Community Enterprise Group respectively. The audit covers documentation review, internal procedures, management system, field inspection as well as identification of any significant issues for both environment or social issues. Details of the actual assessment programme are given in Appendix 2 (Audit Plan).

A sample of stakeholders was consulted during the assessment to get their feedback on the management doing. The assessment was conducted based on sample in which regulated under RSPO Management System Requirements and Guidance for Group Certification of FFB Production (March 2016).

Under the requirement, size of samples was based on formula  $[0.8\sqrt{(y)*(z)}]$ ; where 'y' is total number of independent group member; and 'z' is the multiplier defined by the risk assessment. Based on risk assessment from desk review, medium risk level ( $z = 1.2$ ) was determined. Therefore, total number of smallholder to be audited resulting from  $0.8\sqrt{(101)*(1.2)}$  was 10.

For the purpose of sampling audit, risk assessment of the group member and group manager was carried out prior to the certification assessment through the documentation. The risk assessment will based on factors i.e. geographically as well as socioeconomically, there are current replanting activities (very small scale due to the size of smallholder), there are new members, the group is well established.

### 2.2 Date of Next Surveillance Visits

The next surveillance assessment shall be carried out by Bureau Veritas within nine to twelve months from the date of expiry for the trading license (Palm Trace License).

### 2.3 Lead Assessor and Assessment Team Qualification

Bureau Veritas holds copies of educational qualifications, certificates and audit logs for each of the audit team members. This assessment has been conducted by 2 approved assessors which holds sufficient qualification and experiences to conduct RSPO Assessment. Summary of auditors' background and qualifications are listed in Table 8 below.

**Table 6: Auditors Profile and Qualification**

<b>Assessment Team Leader: Dr. Chaiyaporn Seekao</b>	
<b>Requirements</b>	<b>Description</b>
A minimum of post high school (post-secondary school) training in either agriculture/forestry, environmental science or social sciences;	May 2015, Ph.D (Environmental Management) full Scholarship at The International Postgraduate Programs in Environmental Management (Hazardous Waste Management), Chulalongkorn University, THAILAND  April, 2006, hold Master of Science (Sustainable Land Use and Natural Resource Management) degree from Kasetsart University, THAILAND.  April, 2002, hold Bachelor of Science (Fisheries) degree from Kasetsart University, THAILAND
At least 5 years professional experience in area of work relevant to the assessment (e.g., palm oil management; agriculture/forestry; ecology; social science);	October 2009 to present: work at TÜV NORD (Thailand) Ltd. and was responsible for several standards such as ISO9001:2008, GMP, HACCP, FAMI-QS, GLOBALG.A.P and RSPO  Year 2008-2009: worked at Team Consulting

	<p>Engineering and Management Co., Ltd., consultancy company, and was responsible for conducting the Environmental Impact Assessment (EIA) study which includes HCV, biodiversity social and health impact assessment</p> <p>Year 2006-2008: worked Virbac (Thailand) Co.,Ltd , responsible for Act as GMP and HACCP (QMR)</p> <p>Year 2005-2006: worked at Food and Agriculture Organization of the United Nations (FAO)</p> <p>Year 2002-2005: worked at Department of Fisheries, Ministry of Agriculture and Cooperatives</p>	
Training in the practical application of the RSPO criteria, and RSPO certification systems;	<p>RSPO Lead Auditor Course Organized by Stepwise Support Programme during April 12-16, 2010, Johor Bahru, Malaysia</p> <p>HCV and its application in RSPO Organized by WildAsia during August 28-29, 2012 at Krabi, Thailand</p>	
Successfully completion of an ISO 9000:19011 lead assessors course;	ISO 9001:2008 Series Auditor/Lead Auditor Training Course (Course No: A17086 Certificated by IRCA) Organized by Robere & Association (Thailand) Ltd. October 26-30, 2009, Bangkok, Thailand	
A supervised period of training in practical assessment against the RSPO criteria or similar sustainability standards, with a minimum of 15 days assessment experience and at least 3 assessments at different organisations.	Having more than 50 days of audit in more than 10 palm oil companies (March 2010 – December 2015)	
<b>Team Member(s):</b> Mr. Prapas Nores, Mr. Supiwat Nentakong		
Requirement	Team Members Name	Description
Field working experience in the palm oil sector, or demonstrable equivalent.	Dr. Chaiyaporn Seekao (CS)	<ul style="list-style-type: none"> <li>Since 2010 experience as RSPO auditor performing more than 10 RSPO P&amp;C audits</li> <li>Year 2005-2006: worked at Food and Agriculture Organization of the United Nations (FAO) as responsible for Closely coordinate with governmental sector, international organization, national organization, embassy, university and NGOs where has involved in providing tsunami relief to establish the tsunami assistance database, Involve to study and establish the short and long term plans to assist the tsunami victims in Thailand especially recovery their household, occupation and livelihood and Conduct the public hearing / consultations for obtaining the comments and any feedback from all stakeholders.</li> </ul>
	Mr. Prapas Nores (PN)	More than 10 years of experience in forest and palm oil plantation with his ex-company and his own business. Hence, he has more than 10 years' experience in working in the palm oil sector
Good Agricultural Practices (GAP), and Integrated Pest Management (IPM),	Dr. Chaiyaporn Seekao (CS)	<ul style="list-style-type: none"> <li>More than 3 years auditing experience against GLOBALG.A.P which is the standard concerning to good agriculture practices.</li> </ul>

pesticide and fertilizer use.		<ul style="list-style-type: none"> <li>• More than 5 years of experience with Department of Fisheries in involving to establish the Good Agriculture Standard released by Department of Fisheries of Thailand. Besides, experience obtained while working with Food and Agriculture Organization of the United Nations for rehabilitation project for agricultural farmers who were affected by tsunami in 2004.</li> <li>• Since 2010 experience as RSPO auditor performing more than 10 RSPO P&amp;C audits</li> </ul>
	Mr. Prapas Nores (PN)	More than 10 years of experience in forest and palm oil plantation with his ex-company and his own business. Hence, he has more than 10 years' experience in working in the palm oil sector
Health and safety auditing on the farm and in processing facilities, for example OHSAS 18001 or Occupational, Health & Safety Assurance System.	Dr. Chaiyaporn Seekao (CS)	More than 3 years auditing experience against GLOBALG.A.P which is the standard concerning to the health and safety on the farm and processing level
	Mr. Prapas Noras (PN)	He has obtained the successful training courses and qualified as auditor for several standards e.g ISO9001, ISO14001, OHSAS18001
Worker welfare issues and social auditing experience, for example with SA8000 or related social or ethical accountability codes.	Dr. Chaiyaporn Seekao (CS)	More than 10 environmental and social impact assessments (ESIA) for huge project in Thailand and overseas.
	Mr. Prapas Noras (PN)	He has successful passed SA8000
Environmental and ecological auditing, for example experience with organic agriculture, ISO 14001 or Environmental Management Systems (EMS).	Dr. Chaiyaporn Seekao (CS)	<ul style="list-style-type: none"> <li>• Year 2008-2009: worked at Team Consulting Engineering and Management Co., Ltd., consultancy company, and had responsibility to Conduct the Environmental Impact Assessment (EIA) study which includes HCV, biodiversity social and health impact assessment CS also performed an audit and monitoring at project sites during the construction and commissioning period, to ensure that all construction and commission process/activities meet with EIA mitigation measures.</li> <li>• Year 2006-2008: worked at Virbac (Thailand) Co.,Ltd with responsible as GMP and HACCP coordinator (QMR) to coordinate with Department of Fisheries for GMP and HACCP certification,</li> <li>• Year 2005-2006: worked at Food and Agriculture Organization of the United Nations (FAO) with responsibility to coordinate with governmental sector, international organization, national organization, embassy, university and NGOs</li> </ul>

		<ul style="list-style-type: none"> <li>Year 2002-2005: worked at Department of Fisheries, Ministry of Agriculture and Cooperatives</li> </ul>
	Mr. Prapas Noras (PN)	He has obtained the successful training courses and qualified as auditor for several standards e.g ISO9001, ISO14001, OHSAS18001
Fluent in Local Language and English	Dr. Chaiyaporn Seekao (CS)	Thai language is our mother language. This language are being used for the audit
	Mr. Prapas Noras (PN)	Thai language is our mother language. This language are being used for the audit

## 2.4 Certification Body

Created in 1828, Bureau Veritas is a global leader in Testing, Inspection and Certification (TIC), delivering high quality services to help clients meet the growing challenges of quality, safety, environmental protection and social responsibility.

As a trusted partner, Bureau Veritas offers innovative solutions that go beyond simple compliance with regulations and standards, reducing risk, improving performance and promoting sustainable development. Bureau Veritas core values include integrity and ethics, impartial counsel and validation, customer focus and safety at work.

Bureau Veritas is recognized and accredited by major national and international organizations. RSPO accreditation status of Bureau Veritas has been obtained by Bureau Veritas Certification Hong Kong Limited (BVC HK) since 2<sup>nd</sup> Jun 2014. The RSPO accreditation number for BVC HK is RSPO-ACC-012 for the scopes of P&C (Single Site & Group) and SCCS worldwide. It was transferred from Bureau Veritas Singapore Pte. Ltd.

## 2.5 Stakeholder Consultation Process

Bureau Veritas initiated the Public Stakeholder Notification (internal and external) by announcing an invitation for feedback in the RSPO and Bureau Veritas websites on 29 May 2017. Here below is web-link to access the public stakeholder notification that is available in RSPO and Bureau Veritas website

[http://www.rspo.org/uploads/default/pnc/Theppitak\\_Community\\_Enterprise\\_Group\\_MA2016\\_RSPO\\_Public\\_Announcement\\_\(EN\)\\_-V1.pdf](http://www.rspo.org/uploads/default/pnc/Theppitak_Community_Enterprise_Group_MA2016_RSPO_Public_Announcement_(EN)_-V1.pdf)

[http://www.bureauveritas.co.th/333fd618-c384-49c8-91b1-dfe8902d62fc/Theppitak\\_Community\\_Enterprise\\_Group\\_MA2016\\_RSPO\\_Public\\_Announcement\\_%28EN%29\\_-V1.pdf?MOD=AJPERES](http://www.bureauveritas.co.th/333fd618-c384-49c8-91b1-dfe8902d62fc/Theppitak_Community_Enterprise_Group_MA2016_RSPO_Public_Announcement_%28EN%29_-V1.pdf?MOD=AJPERES)

In addition, Bureau Veritas had also sent the invitation through e-mails and letters to all the relevant stakeholders, including government agencies and Non-Governmental Organizations (NGOs) before the actual assessment is performed.

Meetings and interview with the relevant stakeholders has been arranged during the on-site assessment without interference from members of the group. Meetings were held with stakeholders to seek their views on the performance of the Certification Unit (CU) with respect to the RSPO requirements and aspects where they considered that improvements could be made; these included environmental interest groups, local government agencies and relevant authorities, social groups, and workers' unions etc.



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

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

The method of consultation with the workers, contractors and staff were through random sampling from each group in each of the FFB supplying unit and oil mill (e.g. mill operators, harvesters, general workers and sprayers) visited. The consultations which were conducted at the CU's workplace had included solicitation of comments on issues relevant to principles 4, 5 and 6 of the RPSO P&C Standard. List of the stakeholders contacted and responded during the audit are available in Appendix 3.

### 3. ASSESSMENT FINDINGS

#### 3.1 Summary of Findings

The assessment has been conducted as planned using the methodology described in Section 2.1.

A total of 12 Major non-conformity and 11 Minor non-conformity reports against  **RSPO Principles & Criteria 2013** and/or  **RSPO Management System Requirements and Guidance for Group Certification of FFB Production** (March 2016); requirements were raised as shown in Appendix 4.

The CU has taken necessary corrective actions in order to close the Major non-conformities raised. Minor non-conformities will be verified in the next surveillance assessment. Nonetheless, the CU has submitted their corrective action plan for the minor non-conformity and has been accepted by the assessment team. The verification comments for the non-conformities raised in the previous assessment can be seen in Appendix 5.

#### 3.2 Group Certification of FFB Production Requirements

##### Element 1 (E1): Group Entity and Group Management Requirements

<b>E1.1: The Group Entity shall be legally formed</b>		
<i>Rationale: In order to be able to have commercial relationships in the transactions of FFB certificates the group entity carries a liability, which requires it to be legally registered.</i>		
<b>Requirements</b>	<b>Findings</b>	<b>Compliance</b>
E1.1.1 There shall be documentary evidence of a clearly identified and legal entity. The Group Entity shall: a. Be a registered organisation as defined by law in the country of registration (e.g. as a company or an organisation) b. Be a member of the RSPO c. Establish the structure of the organisation d. Appoint a Group Manager (see E1.2)	Group has registered with Sikao Agricultural Office on 14 May 2015. Registration number obtained from the government authority is 5-92-05-03/1-0018.  The group become RSPO membership on 23 November 2016. To maintain the group membership status, the group has latest paid the RSPO membership fee on 17 October 2016. Therefore, the RSPO membership status is still valid.  The group manager has been appointed by group chairman (Mr. Panisorn Buakham) on 8 October 2016. The group manager and also group committees were elected by group members during the group meeting. According to the rules of the group, an election for the group chairman, group manager and group committee occurs every 5 years for election. This year become third year of the group manager and group committees. Structure of the group composes of 7 departments as following:	Yes

		<ul style="list-style-type: none"> <li>- Sustainable</li> <li>- Farm advisor</li> <li>- Database and document control</li> <li>- Occupational health and safety</li> <li>- Social and labor</li> <li>- Plantation management</li> <li>- Marketing and public communication</li> </ul> <p>Moreover, group has also divided the zone for management into 12 zones. Each zone is responsible by chief or group committee. This is the way to assist the group manager to manage the all group members whether their implementations are in compliance with RSPO and group requirements.</p> <p>To check whether implementation of the group is in compliance with the group requirements, external auditor (Mr Thitinai) has assisted the group to conduct the internal audit on 1 June 2017. Based on the results of internal audit, one NC related to the trading system has been raised. However, NC related to the lack of system for trading of certified products through either physical trading or Book &amp; Claim has also been raised during the initial certification assessment.</p>	
E1.1.2	<p>The Group Entity shall have documented membership requirements for the participation of individual members in the Group which will also cover new membership.</p> <ol style="list-style-type: none"> <li>a. There shall be documentary evidence that the Group members have formally joined the Group.</li> <li>b. Formal members of the Group shall sign an agreement with the Group Manager committing to achieving compliance with the applicable RSPO standards and requirements.</li> <li>c. The Group Manager shall keep copies of the agreements and shall demonstrate that each member has received a copy thereof.</li> <li>d. The Group Manager shall retain copies for a minimum of 5 years.</li> </ol>	<p>Group has established documentation structure according to requirement of quality management system. The documentation structure comprises of sustainability manual, procedure or SOPs and records.</p> <p>For procedure related to participation of individual member to become formal members or group members, this procedure was established in accordance with the previous version of the RSPO group certification standard. Here below are details of the finding in each bullet of the standard.</p> <ul style="list-style-type: none"> <li>- To become formal members of the group, all group members have to disclose relevant documents especially legal land ownership right to operate palm oil plantation. This legal document is required from those members who wish to participate as group members of the group. It is also required at the time of member's application. However, it was found that group has accepted some formal members who were randomly checked during the audit even though they could not demonstrate the land deeds during the application to join the group. Based on this consequence, major non-conformity has been raised against indicator E1.1.2</li> <li>- Group members have also signed an agreement with the group manager in committing themselves to achieving the compliance with the RSPO standard and group requirement. Copied of the agreement after signing are available upon request at plots owned by 10 selected group members and also at group administration office. Moreover, the signing date of agreement for all group members are the same date because group held a meeting to invite all group member to join the meeting and training. Based on this consequence, all group members have signed an agreement on 18 May 2015</li> <li>- To support the retention the document for a minimum of 5 years, files related to 10 selected group members who were joined the group since May 2015 were randomly checked.</li> </ul>	Major NC

		Results showed that each file is created for each group member. All documents related to group member are easily retrievable e.g. application form, agreement with the group, pre-assessment checklist, EIA, SIA, HCV assessment and copied of the land licenses	
E1.1.3	The Group Manager shall keep evidence that the nature and structure of the group has been communicated to all members of the Group in an appropriate manner.	Procedure for communication among group members is written in the sustainability manual page 30 of 76. There are many channels for communication within the group e.g. LINE (social media application), post and phone call. With regards to informing structure of the group to group members, group held a meeting several times to communicate not only structure of the group but also other topics. Latest group meeting was conducted on 1 July 2017	Yes
<b>E1.2: The Group shall be managed by a Group Manager</b>			
	<b>Requirements</b>	<b>Findings</b>	<b>Compliance</b>
E1.2.1	<p>The appointed Group Manager shall be either an identified legal entity or an individual acting on behalf of the legal entity, i.e. the Group Entity (E1.1.1).</p> <p>The Group Manager shall ensure the Group's compliance with this standard and is responsible for the preparation and implementation of the Internal Control System (ICS).</p> <p>If the Group Manager is not an individual but an entity:</p> <ol style="list-style-type: none"> <li>then the entity shall appoint an individual as management representative; and</li> <li>there shall be a description of the general structure detailing the positions and responsibilities of all personnel involved</li> </ol>	<p>Group manager who has responsible to manage the group's operation is not from legal entity or individual acting on behalf of the legal entity. Partnering mill has allocated mill manager to become the group manager in order to facilitate the smallholders who are not familiar with the documentation and management system.</p> <p>To ensure the group's compliance with the RSPO group certification, internal audit was used to assess whether the group implementation is in compliance with the RSPO standard. Even though the updated version of RSPO management system requirements and guidance for group certification of FFB production (7 March 2016) was released since March 2016, the grace period for 1 year is given for those groups of smallholder to prepare themselves for the new version. Therefore, the internal audit conducted in 2016 has been carried out against the previous standard version.</p> <p>To ensure the group member's compliance with the requirement of the internal control system (ICS), farm advisor has been assigned to monitor the implementation of each group member. Each group member has been visited and assessed twice a year at least. The record showing the visit and assessment conducted by farm advisor is available on the record book hold by each group member.</p>	Yes
E1.2.2	The Group Manager shall be able to demonstrate sufficient resources and capacity for managing Group Certification and performance assessment against this Standard.	Group could demonstrate that the number of the resource is sufficient to manage the group's operation. Group has also divided the zone management into 12 zones. 11 group leaders have been appointed by the group chairman on 14 July 2015	Yes
E1.2.3	<p>The Group Manager and / or their personnel shall be able to demonstrate competence and knowledge of:</p> <ol style="list-style-type: none"> <li>Principles and Criteria for the Production of Sustainable Palm Oil 2013 (<i>Endorsed by the RSPO Executive Board and Accepted at the Extraordinary General Assembly by RSPO Members</i>)</li> </ol>	During initial certification assessment, group manager has demonstrated his knowledge on the relevant RSPO requirements during the interview especially RSPO Management System Requirements and Guidance for Group Certification of FFB Production – March 2016 and RSPO Supply Chain Certification Standard Final Document (As approved by RSPO Executive Board 21 November 2014). To prove that group manager has been trained on relevant standard, the training record for group manager on 15 January 2015 is available	Yes

	<p><i>on April 25th 2013)</i></p> <p>b. RSPO Management System Requirements and Guidance for Group Certification of FFB Production – March 2016 (<i>this standard</i>)</p> <p>c. RSPO Supply Chain Certification Standard Final Document (<i>As approved by RSPO Executive Board 21 November 2014</i>)</p> <p>d. Internal group procedures and policies</p>	upon request during the assessment	
E1.2.4	<p>The Group Manager shall provide potential and existing Group members with the following:</p> <p>a. An explanation of the RSPO certification process.</p> <p>b. An explanation of the criteria for group membership.</p> <p>c. An explanation as to the Group Manager's needs and the rights of the certification body to access the group members' documentation and plantations for the purposes of evaluation and monitoring.</p> <p>d. An explanation of the certification bodies and RSPO requirements with respect to public information.</p> <p>e. An explanation of any obligations with respect to group membership, such as:</p> <p>i. Maintenance of information for monitoring purposes;</p> <p>ii. Requirement to conform to conditions or corrective actions issued by the certification body.</p> <p>iii. Explanation of any costs associated with group membership</p> <p>iv. Other obligations of group membership</p>	<p>Group has summarized the eligibility and rules for both potential and existing group members in the brochure. Here below are information available not only in the brochure but also through other activities.</p> <ul style="list-style-type: none"> <li>- Explanation of the RSPO certification process is available in the brochure. Not only available in the brochure but also group members were informed during the group meeting on 1 July 2017.</li> <li>- Since number of group members is freeze since 2015, there is no potential member who is required to inform the criteria for becoming group membership. However, criteria for group membership is indicated in both brochure and sustainability manual of the group</li> <li>- Explanation on the right of the certification to access the group members was informed during the group meeting on 1 July 2017</li> <li>- Group members have signed an agreement to aware that they can be visited and assessed by Certification Body for checking the compliance with RSPO requirements</li> <li>- To maintain of information for monitoring purpose especially in compliance with retention time at a minimum 5 years, group tried to record all relevant information obtained in the record book of each group member in the database of the group</li> <li>- Requirement to conform to conditions or corrective actions issued by the certification body was informed and explained during the group meeting on 1 July 2017 even though group has not been assessed by certification body yet</li> <li>- There is no cost for membership. Therefore, there is no cost associated with the group membership</li> <li>- Other obligations of group membership especially sanctions and reminder on the RSPO requirements as well as internal group policy, these information was written into the brochure and distributed to all group members.</li> </ul>	Yes

**Element 2 (E2): Internal Control System – Policies and Management**

**E2.1 The Group Internal Control System shall contain documented policies and procedures for operational management.**

	Requirements	Findings	Compliance
E2.1.1	<p>The Group Internal Control System shall contain Procedures for decision-making, and responsibilities within the group (including the authority of the Group Manager) shall be defined.</p> <p>The Group Manager shall manage the Group in a systematic and effective manner by:</p> <ol style="list-style-type: none"> <li>Identifying the geographical area to be covered by the Group.</li> <li>Preparing, maintaining and documenting the Group management structure</li> <li>Clearly identifying the responsibilities of all individuals employed by the Group Manager for the running of the Group.</li> <li>Prepare and maintain the rules of the Group including the criteria for membership.</li> <li>Organise at least one group meeting annually (see also 8.1.1 of Section 3 on preparation of group management plan).</li> <li>Procedure for initial gap audit which can be a self-assessment.</li> </ol>	<p>Up to now, there are 28 potential growers who seeking to join as group member of the group. However, they are not passed relevant processes to become group member.</p> <p>With regards to the requirement of procedure for initial gap audit for applicant who wishing to join the group, however, group has no procedure for initial gap audit for those new group members in case that group has started to open receiving new group members. Therefore, minor non-conformity has been raised against indicator E 2.1.1.</p> <p>For other criteria related to ability of group manager to manage the group in systematic and effective manner, here below are details of such information indicated in the sustainability manual and rules for the group members.</p> <ul style="list-style-type: none"> <li>- The political boundary has been adopted to identify the geographical area for the new prospect member and existing member. The area is covered Trang province and 2 districts of Krabi (Lamthap and Khlongtom).</li> <li>- Organization chart which is illustrated the group management structure is available in the sustainability report and also on group's broads in order to communicate with the group members and stakeholders</li> <li>- Responsibility of each group committee including group manager and group chairman is also available in the sustainability report and also on group's broads</li> <li>- Criterial for membership was indicated in the sustainable manual. Moreover, brochure which was used to distribute for new group members also indicated the criteria for membership</li> <li>- Group has planned to organize the group meeting twice a year. However, actual meeting for year 2017 has already been conducted two times. The first time of the meeting was on 17 February 2017. While the second time of the meeting was on 1 July 2017</li> </ul>	Minor NC
E2.1.2	<p>The Group Internal Control System shall contain Procedures for maintaining records for all Group members.</p> <p>The Group Manager shall implement a system to maintain the following central records and reports:</p> <ol style="list-style-type: none"> <li>List of names and full contact details of group members and applicable method of communication.</li> <li>Location maps. Area of oil palm in hectares.</li> <li>Land titles/right of use of the land.</li> <li>A copy of the signed</li> </ol>	<p>The group has established the sustainability manual Kor Yor Por 01. This manual contains the group internal control system and also relevant SOPs for palm oil management.</p> <p>To maintain information and records for all group members, the database is established in excel file. List of information required to put in the database is written in the sustainability manual. Here below are the details of the information recorded in the database.</p> <ul style="list-style-type: none"> <li>- Name and contact detail of individual group member. Cell phone no. of each group member is also one of the contact channels listed in the database. This channel is become the preference of the application method for the communication. Besides, another preference for communication is through the</li> </ul>	Minor NC

	<p>declaration of the grower becoming a member of the group including the date.</p> <p>e. Unique member registration numbers are assigned to individual members.</p> <p>f. The date that the member signed the declaration of intent as stated in the Group Membership Requirements.</p> <p>g. Date of leaving the Group if applicable and the reasons why.</p> <p>h. Projected and actual FFB production in metric tonnes per annum.</p> <p>i. Monitoring and training records.</p> <p>j. Any corrective actions raised and actions taken to meet the requirements for compliance.</p>	<p>social media or LINE application</p> <ul style="list-style-type: none"> <li>- Even though location maps of plots owned by group members were delineated by using Google Earth, the maps produced by the group are not consistency with the results of the onsite inspection either location and shape of plots. In particular, location map for plots owned by Khun Sawai is not corrected. Based on this result, it may effect to the LUCA report given by RSPO. Therefore, minor non-conformity has been raised against indicator E 2.1.2 (b)</li> <li>- Total and title land area of all group members is 636.53 ha</li> <li>- Date of the grower become a group member is the date that the group members have signed an agreement with the group. Consequently, All group members have signed an agreement on the same date during the group meeting on 18 May 2015</li> <li>- Unique member registration is designed according to the vender code from the weighting station of the partnering mill e.g. Nichot hold unique registration no. of 0089. These numbers have also given to all group members as they are vendors of the partnering mill</li> <li>- Up to now, there is no group member resigned or leave from the group. Total number of the group members is now 101 group members</li> <li>- Projected FFB production in 2017 is 10,000 tons. Actual FFB production in 2016 in average is 2.31 tons/rai/year</li> <li>- Monitoring the training in recorded in the database. The training given in each year was recorded in the database. Based on the training records, there were 3 times of the training in 2016. The database of the training was done in the matrix between name of the group members and training subjects/training courses. Training plan for year 2017 is also established. For instance, IPM training will be given in October 2017</li> </ul>	
E2.1.3	Relevant group records shall be archived for a minimum of 5 years using an appropriate secure system.	Application form and copies of signed agreement for all group members are available. Some records since 2015 especially application form were maintained in the file which is easily retrievable	Yes
E2.1.4	The Group Internal Control System shall include an initial gap audit procedure (i.e. baseline assessment and needs for compliance) for applicants wishing to join the Group.	Even though major non-conformity has been raised against indicator E 2.1.1, the same finding related to the lack of internal system which includes an initial gap audit procedure is found .Therefore, major non-conformity with the same finding has also been raised against this indicator too	Minor NC

### Element 3 (E3): Internal Control System – Operations

#### E3.1 The Group Internal Control System shall develop and implement an internal audit programme of Group members.

	Requirements	Findings	Compliance
E3.1.1	<p>The Group Manager shall develop and implement the internal audit programme, which includes, but not exclusively: timeline, operational plans, monitoring and evaluation records.</p> <p>As a minimum the following shall be included:</p> <ol style="list-style-type: none"> <li>Establish, implement and maintain (a) procedure(s) for internal audits which must include (but not be limited to) the methodology, competence of internal auditors, audit criteria, frequency of internal audits, and addressing non-conformity.</li> <li>Conduct regular (at least annual) internal audits of Group members in order to confirm continued conformance with all the Group Certification requirements.</li> <li>Maintenance of all internal audit records.</li> </ol>	<p>Internal audit procedure is described in page 65 of 76 of the sustainability manual. The procedure also indicated the methodology relating to the internal audit especially on how to estimate the number of the sample and how to determine the risk assessment. According to the written internal audit procedure, internal audit is required to conduct once a year.</p> <p>Latest internal audit program for year 2016 was approved by the group manager. 12 group members as the samples were calculated based on the existing number of the group members of 101. The equation of <math>0.8 * \text{square root of } 101 \text{ multiple } 1.4</math> was used. Therefore, high risk was determined by the group to calculate the number of the sample.</p> <p>Based on the internal audit program, the audit will be taken during 19-27 December 2016. Before undertaking an internal audit, the internal audit program and list of internal auditor team members were also informed to all group members during the group meeting on 3 December 2016. Result from internal audit found that the internal audit was carried out according to the internal audit program. From the result of internal audit, for example at plots owned by Khun Manit Aunteng, showed that his plot has been assessed by 4 internal auditors (Kasem, Surachet, Sommai and Chetthanut) on 23 December 2016. There was no non-conformity raised by internal auditor team. Based on the database of the group, the rest of samples (11 group members) have been raised non-conformities. Most of non-conformities were related to the lack of the planting beneficial host plant.</p> <p>However, minor non-conformity has been detected during the assessment. Since there is no evidence showing that one member of the internal auditors (Mr Chetthanut Pattanatong) has been trained before becoming internal auditor of the group and executing the internal audit, that's reason why minor non-conformity has been raised against indicator E 3.1.1 (a). While other internal auditors have been trained on ICS and internal audit techniques on 15 January 2015</p>	Minor NC
E3.1.2	<p>The Group Manager shall carry out a risk assessment of Group members to identify an appropriate sampling intensity of Group members for the certification assessment. The risk assessment shall take into account:</p> <ol style="list-style-type: none"> <li>the diversity of the Group members (i.e. range of size, management structure, scattered members with diverse plantation landscape such as terrain, etc.)</li> <li>any perceived risk relating to the activities being undertaken (e.g. how much replanting or expansion is occurring, how</li> </ol>	<p>According to the number of existing group members on that time at 101, high risk was determined to estimate the sample for internal audit. The guidance for determining the risk is indicated in the sustainability manual. Therefore, total 12 group members were chosen for the internal audit.</p>	Yes

	many members are new and, for subsequent assessments, whether there is a history of non-conformities).		
E3.1.3	The Group Manager and the internal auditors shall jointly declare no conflict of interest for the internal audit process.	There are no evidence and mechanism showing that all internal auditors have declared no conflict of interest for the internal audit processes. Therefore, minor non-conformity has been raised against indicator E3.1.3	Minor NC
E3.1.4	The Group Manager shall conduct initial gap audits with any potential new member, to assess the following pre-requisites for membership: <ul style="list-style-type: none"> <li>a. no plantings have replaced primary forest, or affected one or more High Conservation Values (HCVs) (RSPO P&amp;C 2013 criteria 5.2 &amp; 7.3) In the case of scheme smallholders, the company (owning/managing the mill) holds the liability for compensation for any new plantings undertaken since November 2005 and before 14th of May 2014. Following compliance with the compensation procedure, scheme smallholders may join the group.</li> <li>b. no existing land conflict.</li> <li>c. land title or right to use the land can be demonstrated.</li> </ul>	Up to now, there are no potential new members even though there are some growers declared their interest to join the group as group members. Therefore, the gap audit for those new group members against following required by the standard is not required to conduct at the time of initial certification assessment	Yes
<b>E3.2 The Group Internal Control System shall include a system in place to enable the trading of RSPO certified Fresh Fruit Bunches (FFB) produced from the Group.</b>			
	<b>Requirements</b>	<b>Findings</b>	<b>Compliance</b>
E3.2.1	The Group Manager shall document and implement a system for the tracking and tracing of FFB produced by the group members, and intended to be sold as RSPO-certified FFB.	<p>According to the group ordinary meeting conducted on 1 July 2017, the group decided to take the advantage of the RSPO certification from both trading system (physical trading and B&amp;C). Even though there were many difficulties to bring all group members joined the meeting at the same time, number of the group members attended the meeting on 1 July 2017 exceed than half of the total number of group members.</p> <p>To support trading of certified products through both trading system, however, there is no procedure regarding how to trace and track FFB produced by plots owned by group members and also mechanism to trace how many tonnes of certified CSPO, CSPKO and PKE that can be sold through PalmTrace. Even though under the cooperation between partnering mill and group, trucking system (lpalm +) is planned to use for tracking and tracing, but it is not taken into account to develop the procedure for tracing and tracking yet. Therefore, major non-conformity has been raised against indicator E 3.2.1</p>	Major NC
E3.2.2	There shall be a collective Group procedure for the sale of all certified FFB to ensure that non-certified FFB are not sold as RSPO certified FFB. If certified FFB is combined with non-certified FFB prior to the sale and delivery to a palm oil mill, a	There is no procedure to ensure that non-certified FFB are not sold as RSPO certified FFB. Moreover, there is no procedure to deal when certified FFB is combined with non-certified FFB which is required to sale as Mass Balance when mixing is unavoidable. Therefore, major non-conformity has been raised against this indicator	Major NC



	mass balance system shall be in place to ensure the quantity of FFB sold as Mass Balance is equal to the quantity of RSPO certified FFB in the mix.		
E3.2.3	<p>All sales of FFB originating from the plantations of Group members shall be documented and recorded.</p> <p>This shall include:</p> <ol style="list-style-type: none"> <li>Invoices and receipts (purchase and sale).</li> <li>Information on transport (i.e. registration number/number plate).</li> <li>The relevant group members' group identification number.</li> <li>Classification of the FFB sold (i.e. RSPO certified or not), FFB volume and destination.</li> <li>Information of FFB price.</li> </ol>	<p>All group members have the right to sell FFB to the partnering mill (Pitak Palm Oil Co., Ltd) directly. Therefore, the group has no gathering point to collect FFB produced by group members before trading to either partnering mill or other traders.</p> <p>The weighing bill is normally issued by the partnering mill. Here below are details of the information in the weighing bill:</p> <ul style="list-style-type: none"> <li>- Truck no. is always indicated in the weighing bill. For example, truck no. 4688 is indicated in weighing bill no. 591201189</li> <li>- Group has identification/unique numbers which adopted from the vender code of the partnering mill for all group members</li> <li>- Classification of the FFB sold with applicable model is indicated in the weighing bill. For example, RSPO MB is indicated in the weighing bill. The reason to indicate MB rather than IP is because the partnering mill has been certified RSPO SCC under MB model. Therefore, FFB IP supplied by group members when it mixed with conventional FFB from other independent smallholders will be become FFB MB</li> <li>- Information of FFB price is indicated on payment issued by the partnering mill. For example, FFB price for 19 May 2017 was 3.8 Baht/kg. This FFB gate price is for 18%CPO.</li> </ul>	Yes
E3.2.4	The Group Manager shall maintain copies of all documentation and records mentioned in E3.2.3 related to Group FFB transactions for a period of a minimum of 5 years.	Group manager who is supported by the partnering mill has responsible to maintain all copies especially weighing bill of each group members when they sold FFB to the partnering mill. According to the procedure of the partnering mill, all documents shall be kept for 5 years.	Yes
E3.2.5	<p>Traders of FFB shall be either part of the Group management system following this guidance or be RSPO Supply Chain certified in order to sell certified FFB.</p> <p>Traders of FFB are encouraged to be included within the Group certification control rather than obtain their own supply chain certification.</p> <p>The Group Manager will ensure that the trader has clear procedures to ensure that mass balance calculations are accurate if applicable and that all FFB sold by the trader is traceable back to the Group members.</p>	Even though trader will not be part of group certification management, group members who still selling their produce (FFB) to trader or immediately do not know the right whether FFB sold to trader can be sold with RSPO claim. Therefore, minor non-conformity has been raised against this indicator	Minor NC

### 3.3 RSPO Principles & Criteria 2013

#### 3.3.1 For individual group member with more than 50 ha of plantation size

Not applicable because no group members who have more than 50 ha of plantation size

#### 3.3.2 For individual group members with up to 50 ha of plantation size

##### Principle 1: Commitment to Transparency

<b>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.</b>		
1.1.1 There shall be evidence that growers and millers provide adequate information on (Environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making.		Minor
1.1.2 Records of requests for information and responses shall be maintained.		Major
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b> Demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.</p>	<p>All 10 selected members who were chosen for the initial certification assessment could demonstrate that they can be visited by stakeholders. Some plots of group member especially Mr Kasem who is award farmer is considered as learning centre for the communities. Even though plot of Kasem has been visited by visitors, the reason to visit was not related to request for information.</p> <p>During the site inspection at plots owned by selected group members, however, copies of land right and a copy of an agreement between the group manager and member are available. In case requests for information occurred at the member's plantation or house, the member will use the farm record book given by the group to record the requests from stakeholder. Then, the farm advisor will collect the records of such requests from the member and maintain at the group manager office.</p>	Yes
<p><b><u>Requirement for Group Manager</u></b> The Group Manager shall inform all Group members that all requests for information are referred to the Group Manager.</p> <p>The Group Manager shall provide adequate information on (Environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making (1.1.1).</p> <p>The Group Manager shall establish and maintain a system to keep records of requests for information and corresponding responses. (1.1.2)</p>	<p>Group informed all group members that they may be requested for information during the latest group ordinary meeting on 1 July 2017. Moreover, group has also conducted the stakeholder consultation meeting on 8 November 2016. During the meeting, stakeholders were informed that they have the right to request for information at either group member's plot or group administration office. However, up to now there is no request for information from stakeholder. In case request for information is presented, the form for recording the request, complaint and appeal Ror Tor Bor 001 will be used.</p> <p>If the record of the request for information is also presented, group has also established the system or database to maintain records of request for information from stakeholder</p>	Yes
<b>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.</b>		
1.2.1 Publicly available documents shall include, but are not necessarily limited to:		
<ul style="list-style-type: none"> <li>• Land titles/user rights (Criterion 2.2);</li> <li>• Occupational health and safety plans (Criterion 4.7);</li> <li>• Plans and impact assessments relating to environmental and social impacts</li> </ul>		Major

<ul style="list-style-type: none"> <li>• (Criteria 5.1, 6.1, 7.1 and 7.8);</li> <li>• HCV documentation (Criteria 5.2 and 7.3);</li> <li>• Pollution prevention and reduction plans (Criterion 5.6);</li> <li>• Details of complaints and grievances (Criterion 6.3);</li> <li>• Negotiation procedures (Criterion 6.4);</li> <li>• Continuous improvement plans (Criterion 8.1);</li> <li>• Public summary of certification assessment report;</li> <li>• Human Rights Policy (Criterion 6.13).</li> </ul>		
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b> Demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.</p>	<p>All selected members could demonstrate their understanding that all visitors can request for information especially land deeds and agreement between the group manager and group members. Result from inspection at plots found that copies of management documents such as land title or land-use rights and agreement between group manager and group members are available and ready for transparency purpose on request. However, the environmental and social impact assessment of each member's plantation, HCV assessment of each member's plantation, group policies, copies of relevant government laws, internal audit document, registration of the group with the local authority, and details of complaints and/or grievances are also available for public disclosure at the group manager office.</p>	Yes
<p><b><u>Requirement for Group Manager</u></b> Group Managers shall list the following documents as publically available and keep copies centrally:</p> <ul style="list-style-type: none"> <li>• Land titles / user rights (Criterion 2.2);</li> <li>• Occupational health and safety plans (Criterion 4.7);</li> <li>• Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8);</li> </ul>	<p>Relevant information to support the transparency is available for the public disclosure especially land deeds and land license of all group members.</p> <p>However, result from the assessment found that even though some relevant documents are prepared for public disclosure, occupation health and safety plans and also plans to minimize impacts on environment and social are not available for public disclosure at the group administration office. Therefore, minor non-conformity has been raised against indicator 1.2.1 for group manager</p>	Minor NC
<b>Criterion 1.3 Growers and millers commit to ethical conduct in all business operations and transactions.</b>		
1.3.1 There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions, which shall be documented and communicated to all levels of the workforce and operations.		Minor
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b> Individual members shall show that they have accepted and agreed the group's policy on ethical conduct</p>	<p>Based on the result from interviews, all selected members could demonstrate their awareness on the group's policy especially code of ethic on corruption. To confirm the understanding they have signed on an agreement with the group manager.</p>	Yes
<p><b><u>Requirement for Group Manager</u></b> The Group Manager shall develop a written policy committing the Group to a code of ethical conduct and integrity in all operations and transactions.</p>	<p>Group has established policy for anti-corruption and code of ethic where indicated in sustainability manual and also rules for the group members. To interpret the policy to group members, mixing between certified FFB and non-certified FFB which is not allowed is explained to the group members during the group meeting.</p>	Yes

**Principle 2: Compliance with Applicable Laws and Regulations**

<b>Criterion 2.1 There is compliance with all applicable local, national and ratified international laws and regulations.</b>		
2.1.1 Evidence of compliance with relevant legal requirements shall be available.		Major
2.1.2 A documented system, which includes written information on legal requirements, shall be maintained.		Minor
2.1.3 A mechanism for ensuring compliance shall be implemented.		Minor
2.1.4 A system for tracking any changes in the law shall be implemented.		Minor
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>Fulfil the requirements laid out by the Group Manager, such as attending relevant training, filling in the checklist/tools provided to guarantee legal compliance.</p> <p>Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.</p>	<p>To prove group members understanding on laws and regulation during assessment at plots owned by selected group members, auditor asked all selected members to evaluate their knowledge on the basis laws and regulations. The result showed that they understood on the basis laws and regulations such as what pesticide are legally registered and allowed to use in the oil palm plantation, and what are RTEs species. Moreover, all selected members have had the record book for recording all activities in their plantation. For instance, they recorded many implementations in the record book such as FFB production, wage payment, used of fertilizer, used of chemical, training records, visitor records.</p>	Yes
<p><b><u>Requirement for Group Manager</u></b></p> <p>Group Managers shall:</p> <p>Have a list/'legal register' of all applicable laws and regulations and state:</p> <ul style="list-style-type: none"> <li>• Where the laws were obtained from.</li> <li>• How they are circulated and how often and record this communication.</li> <li>• Who and how ensures that the laws are being implemented.</li> <li>• Who monitors and updates the list and how often.</li> <li>• Who records when updates are communicated.</li> </ul> <p>Ensure you can demonstrate to a third party that the laws are understood and complied with by Group members.</p> <p>Develop tools such as checklists or booklets that your group members can use to help them implement the legal requirements.</p> <p>Demonstrate evidence of training on legal requirements such as</p>	<p>Group has no system relating to applicable laws and regulations required for group manager as following:</p> <ul style="list-style-type: none"> <li>• Where the laws were obtained from.</li> <li>• How they are circulated and how often and record this communication.</li> <li>• Who and how ensures that the laws are being implemented.</li> <li>• Who monitors and updates the list and how often.</li> <li>• Who records when updates are communicated.</li> </ul> <p>Based on above consequence, therefore, major non-conformity has been raised against indicator 2.1</p>	Major NC

record or handouts/printed materials/softcopy.		
<b>Criterion 2.2 The right to use the land is demonstrated, and is not legitimately contested by local people who can demonstrate that they have legal, customary or user rights.</b>		
2.2.1 Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available.		Major
2.2.2 Legal boundaries shall be clearly demarcated and visibly maintained.		Minor
2.2.3 Where there are or have been disputes, additional proof of legal acquisition of title and evidence that fair compensation has been made to previous owners and occupants shall be available, and that these have been accepted with free, prior and informed consent (FPIC).		Minor
2.2.4 There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved.		Major
2.2.5 For any conflict or dispute over the land, the extent of the disputed area shall be mapped out in a participatory way with involvement of affected parties (including neighbouring communities where applicable).		Minor
2.2.6 To avoid escalation of conflict, there shall be no evidence that palm oil operations have instigated violence in maintaining peace and order in their current and planned operations.		Major
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>Individual members shall demarcate the boundaries of their land.</p> <p>If there are conflicts: Explain why and what is the current status. Update this status every quarter until finalised.</p> <p>Record all meetings and who attended.</p> <p>In each case, open a case file starting with a statement regarding the boundaries under dispute outlining the issues and the scope.</p> <p>Check that the titles or deeds allow the growing of oil palm where this is required by country legislation.</p>	<p>All selected members hold land deeds or land-use rights issued by Department of Land. Land deed always indicates the legal boundary and the stone/pillar numbers. Then, the stone/pillars given by the Department of Land were marked as boundary of the land. During the onsite inspection, stones or pillars are visible. Locations of stones are consistency with the legal boundary indicated in the land deeds. Therefore, there is no conflict on the boundaries of their land.</p>	Yes
<p><b><u>Requirement for Group Manager</u></b></p> <p>The Group Manager shall demonstrate documentary evidence of legal ownership or lease, history of land tenure and the actual legal use of the land according to local laws.</p> <p>Maps showing the legal boundaries shall be kept.</p> <p>Check that boundaries are demarcated.</p> <p>If there are conflicts: The Group Manager shall ensure that there is an ongoing process to resolve the conflict and ensure records of</p>	<p>Since all selected members have the full right to use the land for oil palm cultivation because all square meters of land have been alienated with land deeds, licenses from the governmental authorities concerned such as Department of Land, Agricultural Land Reform Office of Ministry of Agriculture and Cooperatives. The evidence of legal land ownership from those interested to become group member is required at the application process.</p> <p>Moreover, maps are indicated on the land deed and license given by the governments. Boundaries of land in each plot of individual group members have been legally demarcated by the Land Department. Pillars used to demarcate are visible and checked during the onsite inspection. Based on this evidence, there are currently no disputes.</p>	Yes

meetings are being kept by the group member.		
<b>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.</b>		
2.3.1 Maps of an appropriate scale showing the extent of recognised legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighbouring communities where applicable, and relevant authorities).		Major
2.3.2 Copies of negotiated agreements detailing the process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and shall include: a) Evidence that a plan has been developed through consultation and discussion with all affected Groups in the communities, and that information has been provided to all affected Groups, including information on the steps that shall be taken to involve them in decision making; b) Evidence that the company has respected communities' decisions to give or withhold their consent to the operation at the time that this decision was taken; c) Evidence that the legal, economic, environmental and social implications for permitting operations on their land have been understood and accepted by affected communities, including the implications for the legal status of their land at the expiry of the company's title, concession or lease on the land.		Minor
2.3.3 All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements.		Minor
2.3.4 Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel.		Major
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
<b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b> 2.3.2. Demonstrate that they have the right to use the land and or have customary rights over the land they farm.	Due to the group members hold land deeds or land use right those documents confirmed that all group members have the full right to use the land because all square meters of land have been alienated with land deeds and licenses from the governmental authorities concerned.  Results from inspection on the ground and interview with stakeholder, it was confirmed that there is no land dispute	Yes
<b><u>Requirement for Group Manager</u></b> Group Manager has to: 2.3.1. Carry out the participatory mapping with involved parties (including neighbouring communities where applicable, and relevant authorities).  2.3.2 Keep copies of negotiated agreements between individual members and affected stakeholders in appropriate languages.  2.3.3 & 2.3.4: For these processes appropriate local language will be used and negotiations conducted with appropriate representatives.	Investigation that the use of land for palm oil does not diminish the legal or user rights of other users was done through in-depth interview stakeholders during the public consultation meeting held at Group Administration Office on the first day of initial certification assessment. Based on result of interviews, it was confirmed that there are no problems about the legal rights and customer rights of other users. Therefore, the participatory mapping with involved parties is not applicable. Moreover, it is not necessary to have the negotiated agreement between individual member and affected stakeholders	Yes

**Principle 3: Commitment to Long-Term Economic and Financial Viability**

<b>Criterion 3.1 There is an implemented management plan that aims to achieve long-term economic and financial viability.</b>		
3.1.1 A business or management plan (minimum three years) shall be documented that includes, where appropriate, a business case for scheme smallholders.		Major
3.1.2 An annual replanting programme projected for a minimum of five years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review, shall be available.		Minor
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
This Criterion is not applicable to independent smallholders. See reference RSPO P&C 2013, under Criterion 3.1 Guidance. It is recommended for groups of smallholders to have a business plan for long-term economic viability of their operation, considering among others, cost of annual maintenance, replanting, potential expansion and long term sustainability of certification.		

According to the principle 3, even though this requirement is just recommendation for the group of smallholder, the group has established the budgetary plan for the group and has also maintained records of the costs associated with group's operation and the palm oil management for group members

**Principle 4: Use of Appropriate Best Practices by Growers and Millers**

<b>Criterion 4.1 Operating procedures are appropriately documented, consistently implemented and monitored.</b>		
4.1.1 Standard Operating Procedures (SOPs) for estates and mills shall be documented.		Major
4.1.2 A mechanism to check consistent implementation of procedures shall be in place.		Minor
4.1.3 Records of monitoring and any actions taken shall be maintained and available, as appropriate.		Minor
4.1.4 The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB).		Major
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
<b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b> 4.1.3 Responsibility of individual members to keep record of their own SOP implementation as per defined in group SOPs.	Result from onsite inspection showed that documents on management practices especially sustainability manual given by the group manager were in place at all sites visited. Group Manager gave the training to all selected members by using SOPs and sustainability manual established by the third parties as training material. Documents given by the group manager is available upon request during the audit such as the sustainable management of oil palm plantation, use of fertilizer for oil palm plantation and training material documents. All selected members keep the record of their own SOP implementation as per defined in SOPs into a farm record book provided by the group manager. Moreover, it was found that the farm advisor and group committee have regular on-site visited to all selected members at least once a year. During the onsite visit by farm advisor, records in farm record book have also checked by the farm advisor and group committee	Yes
<b><u>Requirement for Group Manager</u></b> 4.1.1 Group Manager develops appropriate SOPs for the group: <ul style="list-style-type: none"> <li>Ensure through a set procedure any pre-existing SOPs for BMP by current members, are compliant &amp; consistent with the group SOPs</li> <li>Keep a register of members who have pre-existing non-group SOPs that are accepted as compliant and consistent with group SOPs.</li> </ul>	SOPs covered all activities in palm oil plantation are written in the sustainability manual page 27-46. Based on these SOPs, it is covered all activities related to palm oil plantation since the land preparation for the new and re-planting until the harvesting FFB production. All group members have been given the sustainability manual during the group meetings  To evaluate the compliance according to the written procedure, however, it was found that group do not have a system to check whether implementation of all group members are compliant and consistent with the group SOPs. Moreover, there is no mechanism to check all individual member farms are located as a means to identify FFB origin. Therefore, minor non-conformities have been raised against indicator 4.1.2 and 4.1.4.  For overseeing the individual record of each group member, the chief of each zone (totally 12 management zones) together with	Minor NC



<p>4.1.2 The Group Manager has regular checks using procedures set at group level for SOP implementation.</p> <p>4.1.3 Group Manager oversees the individual record keeping by members.</p> <p>4.1.4 Group Manager is responsible to identify where all individual member farms are located as a means to identify FFB origin.</p>	<p>the farm advisor are in charge of the responsible person to check the record especially FFB production.</p>	
<p><b>Criterion 4.2 Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.</b></p>		
<p>4.2.1 There shall be evidence that good agriculture practices, as contained in Standard Operating Procedures (SOPs), are followed to manage soil fertility to a level that ensures optimal and sustained yield, where possible.</p>		<p>Minor</p>
<p>4.2.2 Records of fertiliser inputs shall be maintained.</p>		<p>Minor</p>
<p>4.2.3 There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status.</p>		<p>Minor</p>
<p>4.2.4 A nutrient recycling strategy shall be in place, and may include use of Empty Fruit Bunches (EFB), Palm Oil Mill Effluent (POME), and palm residues after replanting.</p>		<p>Minor</p>
<p><b>Interface</b></p>	<p><b>Findings</b></p>	<p><b>Compliance</b></p>
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b> 4.2.2 Responsibility of individual members to maintain fertilizer records.</p>	<p>Result from onsite assessment, 10 selected members applied different types of fertilizer depending on the purpose of the use and suggestion from the group advisor and the external advisor from Prince of Songkla University. At the time of assessment, there were many formulas of fertilizer used in the plantation of selected members such as 21-0-0, 0-3-0, 46-0-0, 18-46-0, 0-0-60, 14-14-21, 15-10-30, 15-5-35 and 15-15-15. Generally, selected members applied chemical fertilizer in their own plots 2-3 times a year. Average of fertilizer applied is 2-3 kg/tree/year. All selected members have kept the records of fertilizer applied by using the farm record book.</p>	<p>Yes</p>
<p><b><u>Requirement for Group Manager</u></b> 4.2.1 Group Manager to maintain regular records of soil fertility practices by all members as per SOPs.  4.2.2 Group Manager to provide template to record fertilizer usage and mill by-products usage.  4.2.3 Group Manager conducts periodic tissue and soil sampling at minimum for a representative sample of group membership.  4.2.4 Group Manager oversees and ensures implementation of nutrient recycling for the group.</p>	<p>Group conducted the periodic soil testing to check soil nutrient enrichment at plots owned by group members. All group members are required to send the soil sample for analysis with free of charge. However, it is subject to the need of group members if they do not want to collect the sample for soil nutrient analysis. Based on this result, up to now, there are now 41 group member who have collected the soil sample for further analysis with the group.</p> <p>Based on the result of soil testing done by Sikao Agricultural Office on 6 October 2015, soil fertilities at plots are in good condition. However, some recommendations to improve or make soil nutrient enrichment better are also made. The result with recommendation has passed to the group members.</p> <p>For recording of fertilizer usage, the record book which designed by the cooperation of the external consultants has been distributed to group members for free of charge too. Result of verification on the record book at selected group members also confirmed that all group members could fill and record fertilizer application properly</p>	<p>Yes</p>
<p><b>Criterion 4.3 Practices minimise and control erosion and degradation of soils</b></p>		
<p>4.3.1 Maps of any fragile soils shall be available.</p>		<p>Major</p>
<p>4.3.2 A management strategy shall be in place for plantings on slopes above a certain limit (this needs to be soil and climate specific).</p>		<p>Minor</p>



4.3.3 A road maintenance programme shall be in place.	Minor	
4.3.4 Subsidence of peat soils shall be minimised and monitored. A documented water and ground cover management programme shall be in place.	Minor	
4.3.5 Drainability assessments shall be required prior to replanting on peat to determine the long term viability of the necessary drainage for oil palm growing.	Minor	
4.3.6 A management strategy shall be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils).	Minor	
Interface	Findings	Compliance
<p><b>Requirement for Individual Member with up to 50ha of plantation size</b></p> <p>4.3.1 Where available individual members shall provide soil maps of their own farm to the Group Manager.</p> <p>4.3.4 Individual members shall record water levels at regular basis as specified within group SOP</p>	<p>Result from onsite assessment confirmed that there are no fragile soils. All plots are covered by mineral soils. Therefore, there are no risks associated with landslides and erosion causing serious impacts on oil palm plantation and ecosystem. However, most of selected member applied oil palm leaf stacking to prevent the erosion and degradation of soils. This is common practice for oil palm plantation even though all plots are located in the flat area.</p> <p>Result from inspection at plots also confirmed that there are no peat soils in planted areas of the selected members</p>	Yes
<p><b>Requirement for Group Manager</b></p> <p>4.3.1 Group Manager shall compile and maintain an overall soil map for the group.</p> <p>4.3.2 Group Manager develops a policy and procedure for planting on slopes.</p> <p>4.3.3 A road maintenance programme is maintained at Group level, this includes an approval process for any new roads being developed by individual members.</p> <p>4.3.4 Group manage to have monitoring procedure for peat subsidence and water management for plantings on peat where relevant</p> <p>4.3.5 Group Manager develops regular drainability assessment schedule for the group and implements this</p> <p>4.3.6 There is a group level policy and plan for managing fragile and problem soils occurring in the group. The Group Manager shall ensure implementation by individual group members.</p>	<p>Even though procedure for planting on slope is indicated on page 38 of 76 of sustainability manual, group do not have the soil map. Based on this consequence, it is difficult for the group to apply the practices to minimize degradation of soil written in the sustainability manual. Therefore, major non-conformity has been raised against indicator 4.3.1</p> <p>Besides of that, there is no road maintenance program of each group member kept at group. Moreover, group members do not know to give the road maintenance program (if any). Major non-conformity has also been raised against indicator 4.3.3. Moreover, since there is analysis on the fragile and problem soil based on relevant data especially soil map, there is no plan for managing fragile soil and problem soils even though group maintained data of topography and soil texture for each plot owned by group member. Therefore, only minor non-conformity has been raised against indicator 4.3.6</p> <p>With regards to there is no peat area in the province, the requirements related to peat soil is not applicable</p>	Major NC
<b>Criterion 4.4 Practices maintain the quality and availability of surface and ground water.</b>		
4.4.1 An implemented water management plan shall be in place.	Minor	
4.4.2 Protection of water courses and wetlands, including maintaining and restoring appropriate riparian and other buffer zones (refer to national best practice and national guidelines) shall be demonstrated.	Major	
4.4.3 Appropriate treatment of mill effluent to required levels and regular monitoring of discharge quality, especially Biochemical Oxygen Demand (BOD), shall be in compliance with national regulations (Criteria 2.1 and 5.6).	Minor	

4.4.4 Mill water use per tonne of Fresh Fruit Bunches (FFB) (see Criterion 5.6) shall be monitored.		Minor
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b> 4.4.2 Where applicable individual members shall demonstrate maintaining and restoring riparian and other buffer zones as specified within group SOPs.</p>	During onsite assessment, auditor found that group manager provided the instruction for the members who have a plantation close to water courses, to maintain buffer zones with natural vegetation along these waterways. Stop in spraying agrochemical is required along the buffer zones. Result from onsite inspection also confirmed that the buffer zones are will maintain. There is no evidence or remaining evidence after spraying at buffer zone at plots owned by member ID 001-048, 001-037 and 001-045	Yes
<p><b><u>Requirement for Group Manager</u></b> 4.4.1 &amp; 4.4.2 are the responsibility of Group Manager  (4.4.3 &amp; 4.4.4 are not applicable).  4.4.1 Group Manager shall have Map of all water ways and water bodies and have procedures as part of water management plan.</p>	According to the onsite inspection and verification of the database of the group, it was confirmed that no group member use either ground water or surface water from canal and river for palm oil irrigation. However, the group has established the plan to manage the palm oil plantation especially plan to avoid pollution and contamination caused by palm oil operation into the water bodies. This plan is established on 19 September 2016. Based on the database of the group, there are 18 plots closed to river and/or reservoir. These plots are required to implement according to the plan. To facilitate the monitoring, the map of water ways obtained from Google Earth is used. Group has generated the map of plots by overlaying the water way map to facilitate the monitoring program of the group	Yes
<b>Criterion 4.5 Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.</b>		
4.5.1 Implementation of Integrated Pest Management (IPM) plans shall be monitored.		Major
4.5.2 Training of those involved in IPM implementation shall be demonstrated.		Minor
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b> 4.5.2 Individual members must attend training.</p>	During onsite inspection, it was found that group manager provided the training to all 10 selected member regarding IPM techniques. Selected members could also demonstrate an understanding of those techniques. The records of training are available in their farm record book. Moreover, some of selected member, such as, member ID. PTO-57-020, PTO-57-045, have planted Coral Vine ( <i>Antigonon leptopus</i> Hook. & Arn.) as beneficial host plants to support IPM purpose.	Yes
<p><b><u>Requirement for Group Manager</u></b> 4.5.1 is the responsibility of Group Manager. Have a written procedure on IPM.  4.5.2 Group Manager to provide IPM training.</p>	IPM procedure is one of several parts for palm oil management w indicated in the sustainability manual. IPM procedure and pesticide application were established by collaboration between Agricultural Research Development Agency (Public Organization) and Prince of Songkhla University in 2014. This procedure has been distributed to all group members during the group meeting. With regard to provision of IPM training to all group members, IPM training was conducted on 25 November 2014.	Yes
<b>Criterion 4.6 Pesticides are used in ways that do not endanger health or the environment</b>		
4.6.1 Justification of all pesticides used shall be demonstrated. The use of selective products that are specific to the target pest, weed or disease and which have minimal effect on non-target species shall be used where available.		Major
4.6.2 Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per ha and number of applications) shall be provided.		Major
4.6.3 Any use of pesticides shall be minimised as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations identified in national Best Practice guidelines.		Major
4.6.4 Pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and Paraquat, are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimised and eliminated as part of a plan, and shall only be used in exceptional circumstances.		Minor
4.6.5 Pesticides shall only be handled, used or applied by persons who have completed the necessary training and shall always be applied in accordance with the product label.		Major

Appropriate safety and application equipment shall be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7).		
4.6.6 Storage of all pesticides shall be according to recognised best practices. All pesticide containers shall be properly disposed of and not used for other purposes (see Criterion 5.3).		Major
4.6.7 Application of pesticides shall be by proven methods that minimise risk and impacts.		
4.6.8 Pesticides shall be applied aerielly only where there is documented justification. Communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application.		Major
4.6.9 Maintenance of employee and associated smallholder knowledge and skills on pesticide handling shall be demonstrated; including provision of appropriate information materials (see Criterion 4.8).		Minor
4.6.10 Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated (see Criterion 5.3).		Minor
4.6.11 Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated.		Major
4.6.12 No work with pesticides shall be undertaken by pregnant or breast-feeding women.		Major
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>4.6.1 Individual members shall be able to demonstrate knowledge of pest &amp; applicable chemical use.</p> <p>4.6.2 Individual members keep records of pesticides use.</p> <p>4.6.5 Individual members ensure that anyone handling chemicals has attended relevant training.</p> <p>4.6.6 Individual members store pesticides consistent with Group SOPs.</p> <p>4.6.10 Individual members must dispose of waste materials according to group SOPs.</p> <p>4.6.12 Individual members ensure no pregnant or breastfeeding women are handling pesticides.</p>	<p>All selected member could demonstrate knowledge of pest and applicable chemical use as well as group's policy to minimize chemical use in oil palm plantation. To support this knowledge, moreover, group manager provided guidance and list of pesticides and herbicides that registered with the Department of Agriculture in accordance with the Hazardous Substances Act B.E. 2535 (1992) when pesticide is unavoidable to use.</p> <p>During site visits, none of 10 selected members have applied agrochemicals in their plantation. This result is consistency with the group database showing that no one of members applies agrochemical. Therefore, the rest of requirements are not applicable</p>	Yes
<p><b><u>Requirement for Group Manager</u></b></p> <p>4.6.1 Group Manager to develop manual for pest &amp; chemical use and relevant training.</p> <p>4.6.11 Group Managers to monitor occurrence of illnesses and health conditions of members and their workers that are handling agrochemicals, to identify needs for medical check-up.</p> <p>4.6.3; 4.6.4; 4.6.7; 4.6.8 &amp; 4.6.9 are the responsibility of the Group Manager.</p> <p>For 4.6.2; 4.6.5; 4.6.6; 4.6.10; 4.6.12 Group Manager has</p>	<p>Manual for pesticide application was established by Agricultural Research Development Agency (Public Organization) and Prince of Songkhla University in 2014. This manual given by the assistance from the third parties is also covered how to use agrochemical safely.</p> <p>According to the database of the group and also result from inspection at plots owned by selected group members, no one of group member applied pesticide. Stop the use of pesticide is voluntary agreed by the group member since 2014. Therefore, the rest of indicators related to the medical check-up and other are not applicable</p>	Yes

oversight responsibility.		
<b>Criterion 4.7 An occupational health and safety plan is documented, effectively communicated and implemented.</b>		
4.7.1 A health and safety policy shall be in place. A health and safety plan covering all activities shall be documented and implemented, and its effectiveness monitored.		Major
4.7.2 All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers.		Major
4.7.3 All workers involved in the operation shall be adequately trained in safe working practices (see Criterion 4.8). Adequate and appropriate protective equipment shall be available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, harvesting and, if it is used, burning.		Major
4.7.4 The responsible person/persons shall be identified. There shall be records of regular meetings between the responsible person/s and workers. Concerns of all parties about health, safety and welfare shall be discussed at these meetings, and any issues raised shall be recorded.		Major
4.7.5 Accident and emergency procedures shall exist and instructions shall be clearly understood by all workers. Accident procedures shall be available in the appropriate language of the workforce. Assigned operatives trained in First Aid should be present in both field and other operations, and first aid equipment shall be available at worksites. Records of all accidents shall be kept and periodically reviewed.		Minor
4.7.6 All workers shall be provided with medical care, and covered by accident insurance.		Minor
4.7.8 Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics.		Minor
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>Member shall collaborate with Group Manager to ensure dangers on farm are identified.</p> <p>Members shall provide input to the development of the OHS policy and management plan.</p> <p>Members shall attend trainings related to OHS.</p> <p>Members shall implement the management plan and at least ensure the provision of PPE and medical check-ups for high risk workers. In the case of hazardous chemical use, a description of the relevant chemicals should be brought to the field.</p> <p>Members shall report accidents on the farm to the Group Manager. Each member ensures that there is a first aid kit available at the work site when there is operation going on in the field.</p> <p>Appropriate to scale, workers shall be provided with medical care and covered by medical insurance.</p> <p>If accidents occur involving casual workers, members shall be</p>	<p>All selected members have collaborated with group manager to identify the risk associated with occupational health and safety and to ensure dangers on plantation are identified. While developing the risk assessment, group members were free to provide inputs for developing of the OHS policy and management plan.</p> <p>To make awareness on OHS policy and management plan, selected group have been trained in the session provided by group manager. The policy also contains management practices in key activities.</p> <p>The copied of OHS policy is also attached in the folder of each group member. Individual group member has also responsible to monitor whether subcontractor has implemented according to the OHS policy and instructions such as harvesting of FFB, transporting of FFB from plantation to the mill, and weeding using lightweight mowing machine. Individual group member has the farm record book for record the accident related to key activities on their plantation (if any) and report to group manager. During site visits, there was no either major or minor accident. Anyway, auditor found that all selected member have prepared a first aid kits appropriate and adequate for use.</p> <p>With regard to full time workers, result from onsite inspection confirmed that there was no worker being employed permanently by the selected members.</p>	Yes

<p>expected to provide medical care for the workers involved.</p>		
<p><b>Requirement for Group Manager</b> Group Manager shall conduct a risk assessment in collaboration with members.</p> <p>Based on the identified risks, an Occupational Health and Safety policy and/or plan shall be documented and implemented, including the need for medical insurance for workers appropriate to scale.</p> <p>Group Managers shall develop OHS/First Aid manual and distribute to all individual members.</p> <p>Group Manager shall hold regular training based on Group OHS/First Aid manual for members and/or workers.</p> <p>Group Manager shall record members' accidents on the farm. Group Manager reviews the manual periodically.</p> <p>Appropriate to scale, consider forming an Occupational Health Committee.</p>	<p>Risk assessment was carried out by the group members under the advisory by the external experts from Pince of Songkhla University. . Identified risks associated to occupational health and safeties are, for example, pesticide use, sneck, broken equipment, working without PPE and carelessness. This assessment has done according to the guideline of occupational health and safety for oil palm smallholder. Plan to minimize impacts from those identified risk as well as list of first aids are also established. The first aid items were identified during the assessment. There are totally 17 first aid items that need to be ready and available at the plot of each group member</p> <p>However, even though no one of group member applies pesticide, group members have been trained on how to minimize impact from spraying of pesticide on 27 May 2016 at Kasetsart University, Krabi campus, and 18 November 2016 held at group administration office. Nevertheless, neither group members nor workers who engaged by group members have been trained on occupational health and safety as well as first aid defined in the procedure. Therefore, major non-conformity has been raised against indicator 4.7.</p> <p>With regard to the accident, there is no accident on the farm occurred in last 2 years. However, form to record the accidents (if any) Aor Chor Bor 002 is also established. In order to monitor the occupational health and safety and also the presence of the accidents, 2 group members (Adisa Nuanprang and Patipak Kaewkamyam) have been allocated by group manager to take care of this concern</p>	<p>Major NC</p>
<p><b>Criterion 4.8 All staff, workers, smallholders and contract workers are appropriately trained.</b></p>		
<p>4.8.1 A formal training programme shall be in place that covers all aspects of the RSPO Principles and Criteria, and that includes regular assessments of training needs and documentation of the programme.</p>		<p>Major</p>
<p>4.8.2 Records of training for each employee shall be maintained.</p>		<p>Minor</p>
Interface	Findings	Compliance
<p><b>Requirement for Individual Member with up to 50ha of plantation size</b> Anyone working on the farm shall be briefed on best practices relevant to the job they are doing.</p> <p>Members and workers shall participate in the trainings where appropriate.</p> <p>Members inform the Group Manager on participation of workers in training.</p>	<p>During onsite inspection, it was found that all selected members received training from group manager. The training records are available in their farm records book such as requirements of RSPO P&amp;C, Best practice for oil palm plantation, fertilizer use, agrochemical use, and health and safety. Individual group members are responsible person to give the training to their subcontractors or workers. However, group manager also has also provided the special training course to workers or subcontractors hired by group members. There are many topics of the training such as fertilizer and agrochemical use and health and safety in oil palm plantation.</p>	<p>Yes</p>
<p><b>Requirement for Group Manager</b> Group Manager shall ensure that all members are trained on the RSPO P&amp;C and records of such training shall be kept.</p>	<p>Training plan for year 2017 is established. Introduction training of RSPO requirement is one of the several training subjects indicated in the training plan. Based on the training plan, introduction of RSPO requirements is set on August 2017.</p> <p>According to the training record, group members have been</p>	<p>Yes</p>



Appropriate to scale, Group Manager shall prepare a training plan.	trained on RSPO P&C for preparing for the certification assessment on 23 August 2016 at group administration office. Moreover, the first training on RSPO requirement for all group members was on 28 September 2014.	
Appropriate to scale, training records shall be kept.		

**Principle 5: Environmental Responsibility and Conservation of Natural Resources and Biodiversity**

<b>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.</b>		
5.1.1 An environmental impact assessment (EIA) shall be documented.		Major
5.1.2 Where the identification of impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a Comprehensive management plan. The management plan shall identify the responsible person/persons.		Minor
5.1.3 This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.		Minor
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>Individual members shall demonstrate an understanding of the environmental risks of their operations.</p> <p>Individual members shall demonstrate an understanding of the mitigation plan to reduce the environmental impacts.</p> <p>Individual members shall contribute to the reduction of environmental impacts.</p>	<p>Group manager and farm advisor conducted the EIA, SIA and HCV assessment at plots owned by all group members. The relevant community leader and stakeholders have also participated in these assessments. Questionnaire established by collaboration between Agriculture Research Development Agency (Public Organization) and Prince of Sonkhla University has been used to assess EIA. Stakeholders were asked to fill the questionnaire whether have they been affected by group member's operation.</p> <p>During onsite inspection, all selected members demonstrate an understanding of the environmental risks of their operations and plan to minimize the impacts into the water bodies from the contamination of agrochemical if it is not used appropriately. The group members also aware they can reduce the impact by reducing use of chemical. In case if plots close to the watercourse, they have to maintain the natural vegetation along these waterways and do not plant or replant palm tree 10-15 metres from the riverside. From site inspection, auditor found that the plantation owned by member ID 001-048, 001-037 and 001-045 are located close to the watercourse. However, result from inspection confirmed the natural vegetation along those waterways are still well maintained and group members have never applied agrochemical on their plots and riparian zones.</p>	Yes
<p><b><u>Requirement for Group Manager</u></b></p> <p>Group Managers shall identify all activities that have an impact on the environment.</p> <p>Group Managers shall develop a mitigation plan to reduce environmental risks and review the plan every two years.</p> <p>Group Managers shall organise training for members on environmental risks and mitigation measures.</p> <p>Group Managers shall monitor</p>	<p>Stakeholder and villagers especially community leaders were invited to join in assessing the impact on environment, social and HCV from palm oil activities. Environmental impact assessment was done at every plots owned by individual group member. For example, plots owned by Nichot have been assessed by Khun Suwimol, Somwang, Chaipong and Wichan. Moreover, group has conducted the stakeholder consultation meeting on 8 November 2016 to obtain either positive or negative perspective on the group's operation. Stakeholders from the list of stakeholder were invited to join the meeting and assessing the environmental impact, social impact and HCV.</p> <p>Even though environmental, social and HCV assessments were conducted by interview with the stakeholder especially community leader, results from interview or questionnaire are not analyzed to identify what are identified impacts. Consequently, there is no mitigation plan to minimize the impact on environment. Therefore, minor non-conformity has been raised against indicator 5.1.1</p>	Minor NC

implementation of mitigation plan.		
<b>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.</b>		
5.2.1 Information shall be collated in a High Conservation Value (HCV) assessment that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors).		Major
5.2.2 Where rare, threatened or endangered (RTE) species, or HCVs, are present or are affected by plantation or mill operations, appropriate measures that are expected to maintain and/or enhance them shall be implemented through a management plan.		Major
5.2.3 There shall be a programme to regularly educate the workforce about the status of these RTE species, and appropriate disciplinary measures shall be instigated in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species.		Minor
5.2.4 Where a management plan has been created there shall be ongoing monitoring: <ul style="list-style-type: none"> <li>The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported;</li> <li>Outcomes of monitoring shall be fed back into the management plan</li> </ul>		Minor
5.2.5 Where HCV set-asides with existing rights of local communities have been identified, there shall be evidence of a negotiated agreement that optimally safeguards both the HCVs and these rights.		Minor
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>Individual members shall demonstrate basic understanding of HCVs and RTEs and the need to protect them.</p> <p>Individual members shall check with the Group Manager status of HCVs and RTEs of their farm based on the HCV assessment report.</p> <p>Individual members shall participate in the HCV assessment.</p> <p>Individual members shall be involved in the implementation of the HCV management and monitoring plan (to maintain and/or enhance HCVs).</p> <p>Individual members shall make their workers aware of the status of RTE species and the applicable disciplinary measures.</p> <p>Individual members shall be aware of the rights of other local communities that are related to identified HCVs and RTEs.</p>	<p>Under the assistance from external experts from government agencies and university, group manager has established the simple checklist for HCV assessment. The results of HCV assessment and the leaflets of identification of HCVs and RTEs are maintained in each the farmer folder. Result from interview with selected member also showed that they could demonstrate a basic understanding of HCVs and RTEs and what are measures to protect those identified HCV.</p> <p>Due to planting palm oil over decades, there are no HCVs and RTEs identified within and adjacent area.</p>	Yes
<p><b><u>Requirement for Group Manager</u></b></p> <p>HCV assessments shall be conducted by an independent party, or where applicable, an internal assessment can be facilitated by the Group Manager</p>	<p>According to above finding written against indicator 5.1.1, HCV was one of the subjects that were assessed by stakeholders and villagers who live surrounding the plots owned by group members. This assessment was facilitated by the group manager. Group administration office was allocated to join in assessing the HCV. Consequently, list of RTEs especially Gurney's Pitta (<i>Hydrornis gurneyi</i>) is identified. List of RTEs and also plan to</p>	Yes

<p>(refer to generic P&amp;Cs or NIs where available; see guidance).</p> <p>Group Managers shall develop action plans and SOPs (e.g. for RTE species, riparian areas) based on the HCV management and monitoring plan.</p> <p>Group Managers shall implement a mechanism for individual members to report on threats to HCVs.</p> <p>In cases where there is an overlap of local community rights and HCV areas, the Group Manager shall initiate the negotiation of an agreement that optimally safeguards both the HCVs and these rights.</p> <p>Group Manager conducts training for their individual members and their workers about the status of HCV and RTE species and the applicable disciplinary measures.</p>	<p>avoid deterioration on this kind of bird established by the group is shared to all group members to boost awareness on the result of HCV assessment. Moreover, group members also have been trained on HCV and how to report when they found any doubt species to the group during the group meeting.</p>	
<p><b>Criterion 5.3 Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.</b></p>		
<p>5.3.1 All waste products and sources of pollution shall be identified and documented.</p>	<p>Major</p>	
<p>5.3.2 All chemicals and their containers shall be disposed of responsibly.</p>	<p>Major</p>	
<p>5.3.3 A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented.</p>	<p>Minor</p>	
<p><b>Interface</b></p>	<p><b>Findings</b></p>	<p><b>Compliance</b></p>
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>Appropriate to scale, members shall have a documented waste management and disposal plan.</p> <p>Members shall communicate to all workers the waste management and disposal plan.</p> <p>Members shall ensure that all chemical containers are properly handled and disposed.</p> <p>Members shall ensure that the workers are trained on waste management and disposal. Records of such training shall be kept.</p>	<p>Result from onsite inspection found even though some manual given by external parties contain information on waste management are available at plots visited, some wastes generated by group members are required to dispose in different method. Therefore, non-conformity has been raised for group manager.</p> <p>However, it is important to note that no group members apply agrochemical to control and eliminate of weed and pest. Therefore, there was no waste especially empty chemical container. Wastes are mainly originated after fertilizer application. Fertilizer application was normally carried out twice a year. As all selected members hire subcontractor for applying fertilizer, fertilizer bags after use are also disposed by subcontractors.</p>	<p>Yes</p>
<p><b><u>Requirement for Group Manager</u></b></p> <p>Appropriate to scale, the Group Manager shall ensure that there is a documented waste management</p>	<p>There is no waste management and disposal plan. Therefore, there is also no evidence showing that all group members have been trained on this waste management and disposal plan even though there is no empty pesticide container.</p>	<p>Major NC</p>



<p>and disposal plan is in place.</p> <p>Group Manager shall communicate to all members on the waste management and disposal plan.</p> <p>The Group Manager shall ensure that all chemical containers are properly handled and disposed</p> <p>The Group Manager shall ensure that the members are trained on waste management and disposal. Records of such training shall be kept.</p>		
<b>Criterion 5.4 Efficiency of fossil fuel use and the use of renewable energy is optimised.</b>		
5.4.1 A plan for improving efficiency of the use of fossil fuels and to optimise renewable energy shall be in place and monitored.		Minor
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>Appropriate to scale, members shall implement the actions as outlined in the Group's plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.</p>	<p>During on-site assessment, the randomly selected members have employed subcontractor to control weed using weed cutter machine which consumes fossil fuel. Even though the record book could demonstrate how many days or planted area have been spent for weed control, however, there is no plan for improving and monitoring the efficiency of the use of fossil fuel. This non-conformity has been raised against indicator for group manager</p>	Yes
<p><b><u>Requirement for Group Manager</u></b></p> <p>Appropriate to scale, Group Manager shall have a plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.</p>	<p>Since the group could not monitor the fossil fuel use, therefore there is no plan for improving and monitoring the efficiency of the use of fossil fuel</p>	Minor NC
<b>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.</b>		
5.5.1 There shall be no land preparation by burning, other than in specific situations as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.		Major
5.5.2 Where fire has been used for preparing land for replanting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.		Minor
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>5.5.1 Individual members shall provide evidence that they understand the No Burning Policy of the group.</p> <p>5.5.2 Individual members shall provide proposals for use of fire to the Group Manager for assessment and approval prior to burning.</p>	<p>Result from onsite inspection confirmed that there was no evidence showing that fire was used to dispose of waste or for land preparing at the selected members' plantation. All selected members are aware that they cannot use fire for land clearance for further replanting. Use of fire for waste disposal is also prohibited. The group manager has explained zero burning techniques to group members through internal training and training record available in the farm record book</p>	Yes
<b><u>Requirement for Group Manager</u></b>	Zero burning is one of the group policies established by the	Yes

<p>5.5.1 The Group Manager shall:</p> <ul style="list-style-type: none"> <li>• Provide evidence of a no use of fire policy in group SOPs.</li> <li>• Demonstrate that individual farms have been visited for this requirement.</li> <li>• Explain how all the above is socialised to individual members of the Group.</li> </ul> <p>5.5.2 The Group Manager shall:</p> <ul style="list-style-type: none"> <li>• Demonstrate that any use of fire by any individual member has been assessed to be justified under the ASEAN guidelines ASEAN Policy on Zero Burning' 2003.</li> <li>• Provide written approval from the relevant environment authority on the use of fire in certain situations as prescribed by the ASEAN guidelines.</li> </ul>	<p>group. Explanation of the zero burning is given during the group meeting on 1 July 2017. Therefore, group members are aware that they cannot use fire for land preparation during replanting.</p> <p>During field visit, there is no evidence of any kind of burning sign notices at the sampled group members especially threat from disease such as <i>Ganoderma boninense</i>. Interview with stakeholders during public consultation meeting confirmed that fire has never been used in this region</p>	
<p><b>Criterion 5.6 Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.</b></p>		
<p><i>Note on smallholder context: The RSPO Emissions Reduction Working Group (ERWG) and the RSPO SHWG agree that there should be a simplified mechanism for smallholders for compliance on the GHG matters and that smallholder should not be overburdened due to their limited capacity. Further details will be developed.</i></p>		
<p>5.6.1 An assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent (see Criterion 4.4).</p>		<p>Major</p>
<p>5.6.2 Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimise them implemented.</p>		<p>Major</p>
<p>5.6.3 A monitoring system shall be in place, with regular reporting on progress for these significant pollutants and emissions from estate and mill operations, using appropriate tools.</p>		<p>Minor</p>
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b> Nil</p>	<p>Not applicable</p>	<p>N/A</p>
<p><b><u>Requirement for Group Manager</u></b> The Group Manager shall:</p> <ul style="list-style-type: none"> <li>• List significant pollutants and identify sources of emissions.</li> <li>• Identify options to reduce pollutants and emissions and consider whether the group can implement any of these.</li> <li>• Based on the above, where possible, mitigation measures shall be developed and implemented.</li> <li>• Socialise the information to the group members.</li> </ul>	<p>Up to now, there are no pollutions caused by palm oil activities. However, plan for minimizing the impacts on environment caused by activities was established on 1 July 2017. It is noted that this plan is not associated pollutants caused by palm oil operation</p>	<p>Yes</p>

**Principle 6: Responsible Consideration of Employees and of Individuals and Communities Affected by Growers and Millers**

<b>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.</b>		
6.1.1 A social impact assessment (SIA) including records of meetings shall be documented.		Major
6.1.2 There shall be evidence that the assessment has been done with the participation of affected parties.		Major
6.1.3 Plans for avoidance or mitigation of negative impacts and promotion of the positive ones, and monitoring of impacts identified, shall be developed in consultation with the affected parties, documented and timetabled, including responsibilities for implementation.		Major
6.1.4 The plans shall be reviewed as a minimum once every two years and updated as necessary, in those cases where the review has concluded that changes should be made to current practices. There shall be evidence that the review includes the participation of affected parties.		Minor
6.1.5 Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme).		Minor
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>Individual members shall demonstrate an understanding of the social risks of their operations.</p> <p>Individual members shall demonstrate an understanding of the mitigation plan to reduce the social impacts.</p> <p>Where applicable, individual members shall help to address negative social impacts in a consultative manner.</p>	<p>Group manager and farm advisor have conducted the EIA, SIA and HCV assessment to all members. Then, the relevant community leader and stakeholders have assessed SIA under the participation again. To facilitate the stakeholder for assessment, questionnaire or simply checklist was used to carry out the assessment. During site visits, all selected members could demonstrate an understanding of the risks on social from their operation. The selected member can explain the major social risk arising from their operations on oil palm plantation, such as, workers employment, health and safety issues, accidents and injuries. They could also explain what they should do to mitigate these risks. For example, they briefed workers on health and safety on activities posted to social risks</p>	Yes
<p><b><u>Requirement for Group Manager</u></b></p> <p>Group Managers shall identify all activities that have social impacts with the participation of affected parties.</p> <p>Group Managers shall develop a mitigation plan (with clear timetable) to reduce social risks and review the plan every two years in consultation with the affected parties.</p> <p>Group Managers shall organise training for members on social risks and mitigation measures.</p> <p>Group Managers shall monitor implementation of mitigation plan.</p>	<p>Stakeholder and villagers especially community leaders were invited to join in assessing the impact on environment, social and HCV from palm oil activities. Social impact was assessed and identified by stakeholders at every plots owned by individual group member. For example, plots owned by Nichot have been assessed by Khun Suwimol, Somwang, Chaipong and Wichan. Moreover, group has conducted the stakeholder consultation meeting on 8 November 2016 to obtain either positive or negative perspective on the group's operation.</p> <p>Even though environmental, social and HCV assessments were conducted by interview with the stakeholder especially community leader, results from interview or questionnaire are not analyzed to identify what are identified impacts. Consequently, there is no mitigation plan to minimize the impact on social. Consequently, there is no mitigation plan to minimize the impact social. Therefore, minor non-conformity has been raised against indicator 6.1.1</p>	Minor NC
<b>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.</b>		
6.2.1 Consultation and communication procedures shall be documented.		Major
6.2.2 A management official responsible for these issues shall be nominated.		Minor
6.2.3 A list of stakeholders, records of all communication, including confirmation of receipt and that effort are made to ensure understanding by affected parties, and records of actions taken in response		Minor

to input from stakeholders, shall be maintained.		
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b> The individual member shall demonstrate understanding of the group's consultation and communication procedures.</p>	All selected members aware that stakeholders may visit and request for relevant information. Moreover, they could demonstrate their understanding on the consultation and communication procedures when the community or stakeholders require them to participate the meeting.	Yes
<p><b><u>Requirement for Group Manager</u></b> The Group Manager shall develop a documented procedure for consultation and communication with local communities and other affected or interested parties. (6.2.1)</p> <p>The Group Manager shall ensure that individual group members are informed of the consultation and communication procedure.</p> <p>The Group Manager shall nominate an official responsible for these issues (6.2.2)</p> <p>The Group Manager shall make a list of stakeholders or construct a "stakeholder register" and keep records of all communication and actions taken. (6.2.3)</p>	<p>Communication and consultation procedure is established in the sustainability manual page 30 of 75. The frequency of the communication is set on the operation plan of each year. For operation plan in 2017, stakeholder consultation is required at least once a year. This operation plan also showed that next communication with the stakeholder in 2017 will be conducted on August 2017. The group chairman and group manager will be responsible person to participate the meeting. They are also responsible person to deal with concerns relating to the social</p> <p>The stakeholder list was updated on April 2017. There are 33 stakeholders who live surrounding all plots owned by group member in the list.</p>	Yes
<b>Criterion 6.3 There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all affected parties.</b>		
6.3.1 The system, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistle-blowers', where requested.		Major
6.3.2 Documentation of both the process by which a dispute was resolved and the outcome shall be available.		Major
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b> Appropriate to scale, the member shall have a documented grievance mechanism in place.</p> <p>The workers shall understand the process.</p> <p>Appropriate to scale, the procedure shall provide documentation of both how the process of the dispute was resolved and the outcome.</p>	Interviews with selected member confirmed that they aware on complaints and grievance mechanism and also could demonstrate their understanding the process for compliant and grievance. So far, there was no evidence of any dispute and complaints raised by stakeholder, community leader, governmental officers, and local communities from the record book even though all stakeholder know the right to give the complaints and grievances regarding the group and group members activities.	Yes
<p><b><u>Requirement for Group Manager</u></b> The Group Manager shall have a documented grievance mechanism in place.</p>	Procedure for the grievance and complaint is established in the sustainability manual page 20 of 76. Complaint and request boxes are also installed at the partnering mill. This is one of the channels to receive grievance and complaint. Until now, there is no grievance and complaints raised by stakeholder.	Yes

<p>The procedure shall provide documentation of both how the process of the dispute was resolved and the outcome.</p> <p>The Group Manager shall ensure members are familiar with the grievance procedure.</p> <p>Where necessary, the Group Manager shall support members to put in place documented grievance mechanism.</p>		
<p><b>Criterion 6.4 Any negotiations concerning compensation for loss of legal, customary or user rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.</b></p>		
<p>6.4.1 A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be in place.</p>		<p>Major</p>
<p>6.4.2 A procedure for calculating and distributing fair compensation (monetary or otherwise) shall be established and implemented, monitored and evaluated in a participatory way, and corrective actions taken as a result of this evaluation. This procedure shall take into account: gender differences in the power to claim rights, ownership and access to land; differences of trans-migrants and long-established communities; and differences in ethnic groups' proof of legal versus communal ownership of land.</p>		<p>Minor</p>
<p>6.4.3 The process and outcome of any negotiated agreements and compensation claims shall be documented, with evidence of the participation of affected parties, and made publicly available.</p>		<p>Major</p>
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>Individual group members formally request assistance by the Group Manager in this process to assure compliance with the procedures.</p>	<p>There was no any claim or compensation requested by stakeholders during the assessment.</p>	<p>Yes</p>
<p><b><u>Requirement for Group Manager</u></b></p> <p>6.4.1 &amp; 6.4.2: The Group Manager develops a procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation and a procedure for calculating and distributing fair compensation.</p> <p>6.4.3: The Group Manager documents the process and outcome of any negotiated agreements and compensation claims with evidence of the participation of affected parties, and makes this publicly available.</p> <p>The Group Manager assists individual group members in these situations upon request by the member.</p>	<p>Compensation procedure is indicated in the sustainability manual page 27 of 76. In case for calculation of the fair compensation, the court is designated to determine just compensation. However, All group members hold land deeds and licenses for all land used for oil palm cultivation; therefore, customary right does not apply.</p>	<p>Yes</p>
<p><b>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.</b></p>		
<p>6.5.1 Documentation of pay and conditions shall be available.</p>		<p>Major</p>

6.5.2 Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be available in the languages understood by the workers or explained carefully to them by a management official.	Major	
6.5.3 Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible.	Minor	
6.5.4 Growers and millers shall make demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food.	Minor	
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>Appropriate to scale, the members shall keep their documentation of pay and conditions.</p> <p>The pay shall meet at least the legal or industry standards minimum wage.</p> <p>If individual members employ workers or sub-contractors:</p> <ul style="list-style-type: none"> <li>• employment contracts and conditions (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be explained in the language they understand (6.5.2)</li> <li>• appropriate to scale, members shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible (6.5.3).</li> <li>• appropriate to scale, members shall make efforts to ensure access to food to workers, including providing allotment (space) for growing food.</li> </ul>	<p>Due to all of the workers are considered as casual workers. They were paid based on availability of works and agreed payment and only pay when they have work. Therefore, contract between the group member and workers is not required. For the payment, for instance, both harvesting and transporting of FFB rate range between 400-700 Baht/ton depend on the distance between plantation and mill. Meanwhile, rate for other activities composes of weeding rate 10 Baht/oil palm tree, frond cutting rate 16 Bath/oil palm tree, and fertilizer application 40-50 Baht/bag.</p> <p>To facilitate the food for workers, workers normally prepare food by themselves or buy food from the shops nearby.</p>	Yes
<p><b><u>Requirement for Group Manager</u></b></p> <p>Appropriate to scale, the Group Manager shall ensure that members comply with labour laws and conditions (6.5.2, 6.5.3 &amp; 6.5.4).</p> <p>The Group Manager shall be aware of the legal or industry standards minimum wage.</p>	<p>Farm advisor is responsible person to check whether group members operation is in compliance with the labor laws. Even though some group members hired subcontractor, those subcontractors are considered as the piece workers who will be paid according to the agreed rates. However, minimum wage for industrial workers is taken into consideration for the payment to hose piece workers. The minimum wage for industrial workers in Trang province is 300 Bath which is lowest rate when comparing to other provinces.</p>	Yes
<p><b>Criterion 6.6 The employer respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.</b></p>		
6.6.1 A published statement in local languages recognising freedom of association shall be available.	Major	



6.6.2 Minutes of meetings with main trade unions or workers' representatives shall be documented.		Minor
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>If individual members employ workers:</p> <ul style="list-style-type: none"> <li>A published statement shall be available in local languages recognising freedom of association (to form and join trade unions) (6.6.1)</li> <li>Minutes of the meeting with main trade unions or workers' representatives shall be documented and kept (6.6.2)</li> </ul>	All selected members manage their oil palm plantation independently. Therefore, this policy does not directly applicable to them. Workers who were employed by members are generally on casual basis. There were no union been formed. Payment and conditions normally discussed and agreed between them.	Yes
<p><b><u>Requirement for Group Manager</u></b></p> <p>The Group Manager shall be aware of the statement, if applicable.</p>	This criterion is not applicable to group smallholders	Yes
<b>Criterion 6.7 Children are not employed or exploited.</b>		
6.7.1 There shall be documentary evidence that minimum age requirements are met.		Major
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>Member shall be aware of the child labour policy and implement it.</p> <p>Member shall keep records of their employees including age, including copies of birth certificate/national identification card/passport.</p>	All selected members aware of the policy of child labour. They do not employ any children to work in their plantation. To support the child labour policy, all group members are required to maintain the list of hired workers even casual workers. Based on the list of subcontractors with copied of ID card which were kept by the group manager office, it confirmed that there is no children employed by group members.	Yes
<p><b><u>Requirement for Group Manager</u></b></p> <p>Write a policy on Child Labour and keep records of documented evidence of awareness rising on child labour.</p> <p>The policy shall be clear that children can only work under supervision, are family members and not doing hazardous work.</p>	Child labour is one of the policies indicated in the sustainability manual and rules of the group for group members. Group manager and group management committee are responsible to ensure that group members are not employing any child labour either by direct or indirect employment when subcontractor is responsible to find the service team members.	Yes
<b>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.</b>		
6.8.1 A publicly available equal opportunities policy including identification of relevant/affected Groups in the local environment shall be documented.		Major
6.8.2 Evidence shall be provided that employees and Groups including local communities, women, and migrant workers have not been discriminated against.		Major
6.8.3 It shall be demonstrated that recruitment selection, hiring and promotion are based on skills, capabilities, qualities, and medical fitness necessary for the jobs available.		Minor
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p>	All selected members manage their oil palm plantation independently. Therefore, this policy does not directly applicable to them. They recruited casual workers, which mean they hired anyone that is free to work for them. Anyway, from interviews, all	Yes

Members shall be aware of the equal opportunities policies and implement it.	selected members are aware of the policy on equal opportunities and they understand what they do to compliance.	
<b>Requirement for Group Manager</b> Write a policy on equal opportunities and keep records of documented evidence of awareness rising on it.	Policy on equal opportunity is written in the sustainability manual of the group and rules of the group for group members.  No evidence of discrimination among subcontracted workers employed by the group members is observed during the onsite assessment. For instance, subcontracting team member for harvesting is composed of both men and women. Moreover, the equal opportunities policy stated by the group was confirmed with representatives of subcontract workers during the public consultation meeting held at administration office.	Yes
<b>Criterion 6.9 There is no harassment or abuse in the work place, and reproductive rights are protected.</b>		
6.9.1 A policy to prevent sexual and all other forms of harassment and violence shall be implemented and communicated to all levels of the workforce.		Major
6.9.2 A policy to protect the reproductive rights of all, especially of women, shall be implemented and communicated to all levels of the workforce.		Minor
6.9.3 A specific grievance mechanism which respects anonymity and protects complainants where requested shall be established, implemented, and communicated to all levels of the workforce.		Minor
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
<b>Requirement for Individual Member with up to 50ha of plantation size</b> Appropriate to scale, members shall develop the policy/policies and procedure to prevent sexual, all other forms of harassment, violence and protection of reproductive rights.  Members shall make sure that all staff/workers are aware of the policies and procedures to prevent sexual and all other forms of harassment and violence as well as of the policy of the protection of reproductive rights.  Members shall be aware of the policy/policies and procedures for handling sexual and all other forms of harassment, violence and the protection of reproductive rights, in the language which the workers can understand (linked to 6.3).	Result from interview showed that all selected members aware of the policy to prevent sexual and all other forms of harassment and violence as well as of the policy of the protection of reproductive rights. They could demonstrate their understanding on what they should do to compliance. During site visits, there was no evidence of harassment or abuse in the work place.	Yes
<b>Requirement for Group Manager</b> Group Manager shall develop the Policy/Polices and procedure to prevent sexual and all other forms of harassment, violence and protection of reproductive rights.  The Group Manager shall make sure that all members are aware of the policies and procedures to prevent sexual and all other forms of harassment, violence and protection of reproductive rights.	Policy on preventing sexual harassment and violence against women and protection is documented as one of the group policy in the sustainable manual and rules of the group for group members. The grievance mechanism to address sexual harassment issues is similar to the complaint procedure. To communicate this policy, group members were informed during the group meeting on 1 July 2017	Yes



<p>The Group Manager shall ensure members are aware of the policy/policies and procedure for handling sexual and all other forms of harassment, violence and the protection of reproductive rights, in the language which the workers can understand (linked to 6.3).</p>		
<p><b>Criterion 6.10 Growers and millers deal fairly and transparently with smallholders and other local businesses.</b></p>		
<p>6.10.1 Current and past prices paid for Fresh Fruit Bunches (FFB) shall be publicly available.</p>		<p>Minor</p>
<p>6.10.2 Evidence shall be available that growers/millers have explained FFB pricing, and pricing mechanisms for FFB and inputs/services shall be documented (where these are under the control of the mill or plantation).</p>		<p>Major</p>
<p>6.10.3 Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent.</p>		<p>Minor</p>
<p>6.10.4 Agreed payments shall be made in a timely manner.</p>		<p>Minor</p>
<p><b>Interface</b></p>	<p><b>Findings</b></p>	<p><b>Compliance</b></p>
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b>          6.10.2 The individual member understands the pricing mechanism of the purchaser.          6.10.4 Agreed payments to local businesses shall be made in a timely manner.</p>	<p>This requirement is not applicable because all group members have the right to sell their FFB to any mills and traders</p>	<p>N/A</p>
<p><b><u>Requirement for Group Manager</u></b>          6.10.1: Where Group Managers sell the FFB on behalf of the group members, the Group Manager shall inform group members of the price of FFB obtained.           6.10.2: The Group Manager shall record the general pricing mechanisms used by the purchaser/s of the FFB. The Group Manager shall record the corresponding information provided to the group members.           6.10.3: Where Group Managers have the mandate to enter into contractual agreements on behalf of the group, the Group Manager shall inform group members about their content and make them available.          These contracts shall also be fair, legal and transparent for the contractors.           Where no such mandate exists, the Group Manager has to seek agreement from group members prior to entering contractual agreements with third parties.</p>	<p>This requirement is not applicable because all group members have the right to sell their FFB to any mills and traders</p>	<p>N/A</p>

<p>These contracts shall also be fair, legal and transparent for the contractors.</p> <p>6.10.4 Agreed payments to local businesses shall be made in a timely manner.</p> <p>If the Group Manager receives payment for the FFB produced by group members, the Group Manager shall make payments to the individual group members in a timely manner.</p>		
<b>Criterion 6.11 Growers and millers contribute to local sustainable development where appropriate.</b>		
6.11.1 Contributions to local development that are based on the results of consultation with local communities shall be demonstrated.		Minor
6.11.2 Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve smallholder productivity.		Minor
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>The responsibility for meeting this requirement lies with the Group Manager</p>	<p>This indicator is not applicable to group member. As some of group members are community leaders, however, they have participated to initiate the social development project with the community</p>	N/A
<p><b><u>Requirement for Group Manager</u></b></p> <p>6.11.1: Evidence of consultation with local communities and stakeholders.</p> <p>Where contributions have been identified as necessary based on the consultation carried out, the Group Manager shall ensure that these are implemented</p>	<p>Donations were given by the group and group members to the school and temples quite often.</p> <p>Moreover, group administration office and plot owned by Kasem are also allocated as learning centre for the communities. For example, group of palm oil growers in Satun province has visited the group on 14 February 2017 to study how to form and operate the group in compliance with RSPO standard. Moreover, officers from the Provincial Agricultural office have also visited the group. Not only Thai people but also researcher from Indonesia has also visited the group and partnering mill in the past year.</p>	Yes
<b>Criterion 6.12 No forms of forced or trafficked labour are used.</b>		
6.12.1 There shall be evidence that no forms of forced or trafficked labour are used.		Major
6.12.2 Where applicable, it shall be demonstrated that no contract substitution has occurred.		Minor
6.12.3 Where temporary or migrant workers are employed, a special labour policy and procedures shall be established and implemented.		Major
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>Appropriate to scale, members shall have a policy on no forms of forced or trafficked labour.</p> <p>Members/workers shall be aware of the policy and ensure that no forms of forced or trafficked labour are used.</p> <p>Members shall keep relevant records of employment contracts.</p>	<p>All selected members could demonstrate the awareness of the policy on preventing no forms of forced or trafficked labour. During site visits, there was no evidence of forms of forced or trafficked labour is being used</p>	Yes

Where applicable, copies of post-arrival orientation programme and records of participation shall be kept.		
<b>Requirement for Group Manager</b> The Group Manager shall write a policy on no forms of forced or trafficked labour.  The Group Manager shall ensure that members/workers are aware of the policy and that no forms of forced or trafficked labour are used.	This policy is indicated in the sustainability manual and rules of the group for group members. Group members have been trained to boost awareness on this policy during the group meeting conducted on 1 July 2017.	Yes
<b>Criterion 6.13 Growers and millers respect human rights.</b>		
6.13.1 A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations (see Criteria 1.2 and 2.1).		Major
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
<b>Requirement for Individual Member with up to 50ha of plantation size</b> 6.13.1 Individual members to show evidence that they understand the policy.	All selected members could demonstrate their sufficient knowledge of the policy to respect human rights.	Yes
<b>Requirement for Group Manager</b> 6.13.1 Group Manager to develop policy to respect human rights i.e. that worker are treated with respect and dignity, and ensure that this is communicated through group members.	Human right policy which was latest policy established on 12 July 2017. Since this policy was established after the group meeting, LINE application was used to communicate the policy with the group member instead. Majority of group members who have smart phone are invited to the LINE group for communication and other purposes within the group.	Yes

**Principle 7: Responsible Development of New Plantings**

<b>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.</b>		
7.1.1 An independent social and environmental impact assessment (SEIA), undertaken through a participatory methodology including the relevant affected stakeholders, shall be documented.		Major
7.1.2 Appropriate management planning and operational procedures shall be developed and implemented to avoid or mitigate identified potential negative impacts.		Minor
7.1.3 Where the development includes an out grower scheme, the impacts of the scheme and the implications of the way it is managed shall be given particular attention.		Minor
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
<b>Requirement for Individual Member with up to 50ha of plantation size</b> Individual members shall demonstrate an understanding of the environmental and social risks of their operations.  Individual members shall demonstrate an understanding of the management plan to avoid or mitigate the social and environmental impacts.	Based on the group database, there are 2 group members (Chetthanat and Jongjet) have recently planted in 2014. However, the EIA and SIA reports covered on their plots and conducted by the community leader confirmed that there are no negative impacts caused by their operation on environment and social	Yes

<p>Where applicable, individual members shall help to address negative social and environmental impacts in a consultative manner.</p>		
<p><b>Requirement for Group Manager</b> A comprehensive SEIA shall be conducted by an independent party, or where applicable, an internal assessment can be facilitated by the Group Manager (refer to generic P&amp;Cs or NIs where available).</p> <p>Group Managers shall confirm land ownership and user rights within the new planting area.</p> <p>Group Managers shall identify all activities that have environmental and social impacts (positive and negative) with the participation of affected parties.</p> <p>Group Managers shall develop a plan to avoid or mitigate environmental and social risks in consultation with the affected parties.</p> <p>Group Managers shall organise training for members on environmental and social risks and mitigation measures.</p> <p>Group Managers shall monitor implementation of SEIA management plan.</p>	<p>Even though there is no case of land dispute because all group members hold the land deeds and they have the right over the land to change from one crop to another, however, there is no evidence showing that SEIA was conducted before land clearance for plot owned by Khun Chetthanat, for example, where was planted in January 2014 (date of joining in the group in 2013). Therefore, major non-conformity has been raised against indicator 7.1 (requirement for group manager). It is important to note that the previous land use at plot owned by Khun Chetthanat before conversion to palm oil plantation was the paddle field.</p>	<p>Major NC</p>
<p><b>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.</b></p>		
<p>7.2.1 Soil suitability maps or soil surveys adequate to establish the long-term suitability of land for oil palm cultivation shall be available and taken into account in plans and operations.</p>		<p>Major</p>
<p>7.2.2 Topographic information adequate to guide the planning of drainage and irrigation systems, roads and other infrastructure shall be available and taken into account in plans and operations.</p>		<p>Minor</p>
<p><b>Interface</b></p>	<p><b>Findings</b></p>	<p><b>Compliance</b></p>
<p><b>Requirement for Individual Member with up to 50ha of plantation size</b> 7.2.1 and 7.2.2 individuals' members can show appropriate understanding of soil type and suitability.</p>	<p>Since Khun Chetthanat has not been visited and audited, the relevant documents kept at the group were asked for the review during the audit for group manager. Therefore, it will be considered as not applicable</p>	<p>N/A</p>
<p><b>Requirement for Group Manager</b> 7.2.1 Group Manager shall:</p> <ul style="list-style-type: none"> <li>• compile and maintain an overall soil map for the group</li> <li>• provide required information and or training for individual members</li> </ul>	<p>Even though topographic information is one of the information available in the group database, there is no soil map used to analyze before land clearance for plot owned by Khun Chetthanat which was planted in January 2014 (date of joining in the group in 2013)</p>	<p>Major NC</p>

7.2.2 Overall soil map to include topographic information.		
<b>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.</b>		
7.3.1 There shall be evidence that no new plantings have replaced primary forest, or any area required to maintain or enhance one or more High Conservation Values (HCVs), since November 2005. New plantings shall be planned and managed to best ensure the HCVs identified are maintained and/or enhanced (see Criterion 5.2).		Major
7.3.2 A comprehensive HCV assessment, including stakeholder consultation, shall be conducted prior to any conversion or new planting. This shall include a land use change analysis to determine changes to the vegetation since November 2005. This analysis shall be used, with proxies, to indicate changes to HCV status.		Major
7.3.3 Dates of land preparation and commencement shall be recorded.		Minor
7.3.4 An action plan shall be developed that describes operational actions consequent to the findings of the HCV assessment, and that references the grower's relevant operational procedures (see Criterion 5.2).		Major
7.3.5 Areas required by affected communities to meet their basic needs, taking into account potential positive and negative changes in livelihood resulting from proposed operations, shall be identified in consultation with the communities and incorporated into HCV assessments and management plans (see Criterion 5.2).		Minor
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>Individual members shall demonstrate basic understanding of primary forest and HCV and the need to avoid clearing of such areas.</p> <p>Individual members shall check with the Group Manager the primary forest and HCV status of their farm within the landscape (see guidance) based on the HCV assessment report.</p> <p>Individual members shall participate in the HCV assessment.</p> <p>Individual members shall be involved in the implementation of the HCV management and monitoring plan (to maintain and/or enhance HCVs).</p> <p>Individual members shall record dates of land preparation and commencement of their own farm.</p>	<p>Since Khun Chetthanat has not been visited and audited, the relevant documents kept at the group were asked for the review. HCV assessment conducted by the community leader was also reviewed during the audit. It was confirmed that there is no RTE species and HCV identified in the plots owned by Khun Chetthanat and adjacent areas</p>	Yes
<p><b><u>Requirement for Group Manager</u></b></p> <p>The Group Manager shall demonstrate basic understanding of primary forest and HCV and inform individual members of the need to avoid clearing of such areas.</p> <p>Prior to new plantings, a comprehensive HCV assessment</p>	<p>Mr Chetthanat has a new palm oil planting by converting paddle field to palm oil on 1 January 2014. Before the conversion of the land area, however, there is no evidence showing that HCV assessment was conducted before land clearance for plot owned by Khun Chetthanat. In contrast, HCV assessment was conducted on 24 October 2014 which date after the planting. Moreover, there is also no SOP for recording land preparation and commencement of farms by individual members. Therefore, major non-conformity has been raised against this indicator.</p> <p>According to the requirement of RSPO for reporting on LUCA of</p>	Major NC

<p>shall be conducted by an independent party, or where applicable, an internal assessment can be facilitated by the Group Manager (refer to generic P&amp;Cs or NIs where available).</p> <p>The Group Manager shall develop SOPs for recording land preparation and commencement of farms by individual members.</p> <p>The Group Manager shall develop action plans and SOPs (e.g. for RTE species, riparian areas) based on the HCV management and monitoring plan.</p> <p>The Group Manager shall implement a mechanism for individual members to report on threats to HCVs.</p> <p>The Group Manager shall collate dates of land preparation and commencement of individual farms.</p> <p>The Group Manager conducts training for their individual members and their workers about the status of HCV.</p>	<p>independent smallholder, moreover, here below are details:</p> <ul style="list-style-type: none"> <li>- Total compensation liability (ha) is 0.85</li> <li>- The FCL is suspended until the ISH RaCP is available</li> </ul>	
<p><b>Criterion 7.4 Extensive planting on steep terrain, and/or marginal and fragile soils, including peat, is avoided.</b></p>		
<p>7.4.1 Maps identifying marginal and fragile soils, including excessive gradients and peat soils, shall be available and used to identify areas to be avoided.</p>	<p>Minor</p>	
<p>7.4.2 Where limited planting on fragile and marginal soils, including peat, is proposed, plans shall be developed and implemented to protect them without incurring adverse impacts.</p>	<p>Major</p>	
<p><b>Interface</b></p>	<p><b>Findings</b></p>	<p><b>Compliance</b></p>
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b> 7.4.1 and 7.4.2 individuals' members can show appropriate understanding of marginal and fragile soil, to be consistent with group SOP.</p>	<p>Since Khun Chetthanut has not been visited and audited, the relevant documents kept at the group were asked for the review. However, this requirement could not review during the audit.</p>	<p>N/A</p>
<p><b><u>Requirement for Group Manager</u></b> 7.4.1 Group Manager shall:</p> <ul style="list-style-type: none"> <li>• compile and maintain an overall soil map for the group, including marginal and fragile soils - this can be part of the HCV map and assessment.</li> <li>• provide required information and or training for individual members.</li> </ul> <p>7.4.2 The Group Manager</p>	<p>Since soil map is not available and there is also no investigate whether plot owned by Khun Chetthanut has a fragile over the land, therefore, there is no evidence showing that fragile soil has been analyzed before land clearance for plot owned by Khun Chetthanat which was planted in January 2014 (date of joining in the group in 2013)</p>	<p>Major NC</p>

maintains and oversees plans for new development based on overall soil map.		
<b>Criterion 7.5 No new plantings are established on local peoples' land where it can be demonstrated that there are legal, customary or user rights, without their free, prior and informed consent. This is dealt with through a documented system that enables these and other stakeholders to express their views through their own representative institutions.</b>		
7.5.1 Evidence shall be available that affected local peoples understand they have the right to say 'no' to operations planned on their lands before and during initial discussions, during the stage of information gathering and associated consultations, during negotiations, and up until an agreement with the grower/miller is signed and ratified by these local peoples.		<b>Major</b>
Interface	Findings	Compliance
<b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b> Nil	This requirement is not applicable	N/A
<b><u>Requirement for Group Manager</u></b> The Group Manager shall develop a documented system detailing how FPIC is implemented and shall ensure that new group members are included in this.  The Group Manager shall retain documentary evidence of participation by affected local peoples and their understanding of the right to say 'no'.	Since all square meters of plantation area have been alienated with land deeds, licenses from the governmental authorities concerned such as Department of Land, Agricultural Land Reform Office of Ministry of Agriculture and Cooperatives, this requirement is not applicable	N/A
<b>Criterion 7.6 Where it can be demonstrated that local peoples have legal, customary or user rights, they are compensated for any agreed land acquisitions and relinquishment of rights, subject to their free, prior and informed consent and negotiated agreements.</b>		
7.6.1 Documented identification and assessment of demonstrable legal, customary and user rights shall be available.		<b>Major</b>
7.6.2 A system for identifying people entitled to compensation shall be in place.		<b>Major</b>
7.6.3 A system for calculating and distributing fair compensation (monetary or otherwise) shall be in place.		<b>Major</b>
7.6.4 Communities that have lost access and rights to land for plantation expansion shall be given opportunities to benefit from plantation development.		Minor
7.6.5 The process and outcome of any compensation claims shall be documented and made publicly available.		Minor
7.6.6 Evidence shall be available that the affected communities and rights holders have access to information and advice that is independent of the project proponent, concerning the legal, economic, environmental and social implications of the proposed operations on their lands.		Minor
Interface	Findings	Compliance
<b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b> Individual members shall retain copies of the documentary evidence of the process and outcome of compensation claims. (7.6.5)	Since Khun Chetthanat has not been visited and audited, the relevant documents kept at the group were asked for the review. Based on the inspection on the land deeds, it was confirmed that all square meter of land area used for planting is owned by Khun Chetthanat for many decades	Yes
<b><u>Requirement for Group Manager</u></b> The Group Manager shall: <ul style="list-style-type: none"> <li>• Document identification and assessment of demonstrable legal, customary and user rights (7.6.1).</li> <li>• Establish a procedure for</li> </ul>	Since all square meters of plantation area have been alienated with land deeds, licenses from the governmental authorities concerned such as Department of Land, Agricultural Land Reform Office of Ministry of Agriculture and Cooperatives, this requirement is not applicable	N/A



<p>identifying people entitled to compensation. (7.6.2)</p> <ul style="list-style-type: none"> <li>Establish a procedure for calculating and distributing fair compensation. (7.6.3)</li> <li>Document the process and outcome of any compensation claims and make publicly available (7.6.5)</li> <li>Have documentary evidence that the affected communities and right holders have been informed that they have the right to access information and advice that is independent of the project proponent, concerning the legal, economic, environmental and social implications of the proposed operations on their lands. (7.6.6)</li> </ul>		
<p><b>Criterion 7.7 No use of fire in the preparation of new plantings other than in specific situations, as identified in the ASEAN guidelines or other regional best practice.</b></p>		
<p>7.7.1 There shall be no land preparation by burning, other than in specific situations, as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.</p>		Major
<p>7.7.2 In exceptional cases where fire has to be used for preparing land for planting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.</p>		Minor
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>7.7.1 Individual members shall provide evidence that they understand the No Burning Policy of the group.</p> <p>7.7.2 Individual members shall provide proposals for use of fire to the Group Manager for assessment and approval prior to burning.</p>	<p>Since Khun Chetthanat has not been visited and audited, the relevant documents kept at the group were asked for the review. To verify the compliance of this requirement, the public consultation meeting was used to confirm with stakeholder whether burning has been used for land clearance. The stakeholder confirmed that all group members including Khun Chetthanat has never been used fire for land clearance</p>	Yes
<p><b><u>Requirement for Group Manager</u></b></p> <p>7.7.1 The Group Manager shall:</p> <ul style="list-style-type: none"> <li>Provide evidence of a no use of fire policy in group SOPs.</li> <li>Demonstrate that individual farms have been visited for this requirement.</li> <li>Explain how all the above is socialised to individual members of the Group.</li> </ul> <p>7.7.2 The Group Manager shall:</p> <ul style="list-style-type: none"> <li>Demonstrate that any use of fire by any individual member has been assessed to be justified under the ASEAN</li> </ul>	<p>Zero burning is one of the group policies established by the group and available in the sustainability manual as well as rules of the group for group members. Explanation of the zero burning is given during the group meeting on 1 July 2017. Therefore, group members are aware that they cannot use fire for land preparation during replanting.</p> <p>During field visit, there is no evidence of any kind of burning sign notices at the sampled group members. Interview with stakeholders during public consultation meeting confirmed that fire has never been used in this region especially plot owned by Khun Chetthanat</p>	Yes



<p>guidelines ASEAN Policy on Zero Burning' 2003.</p> <ul style="list-style-type: none"> <li>• Provide written approval from the relevant environment authority on the use of fire in certain situations as prescribed by the ASEAN guidelines.</li> </ul>		
<p><b>Criterion 7.8 New plantation developments are designed to minimise net greenhouse gas emissions.</b>  <i>Note on smallholder context: The RSPO Emissions Reduction Working Group (ERWG) and the RSPO SHWG agree that there should be a simplified mechanism for smallholders for compliance on the GHG matters and that smallholder should not be overburdened due to their limited capacity. Further details will be developed.</i></p>		
<p>7.8.1 The carbon stock of the proposed development area and major potential sources of emissions that may result directly from the development shall be identified and estimated.</p>		Major
<p>7.8.2 There shall be a plan to minimise net GHG emissions which takes into account avoidance of land areas with high carbon stocks and/or sequestration options.</p>		Minor
Interface	Findings	Compliance
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b>  Individual members shall be able to explain how you know where not to plant.</p>	<p>Since Khun Chetthanat has not been visited and audited, the relevant documents kept at the group were asked for the review. Therefore, this requirement is not applicable</p>	N/A
<p><b><u>Requirement for Group Manager Maps:</u></b>  The use of maps shall be expected which highlight the avoidance of peat areas and primary forests and where possible mineral soils have been selected for planting.</p> <p><b><u>Reporting:</u></b>  Demonstrate to a third party that new plantings which occurred after April 2013 have where possible been designed to minimise GHG emissions.  Groups will need to report confidentially to the RSPO on actions taken to mitigate GHG emissions. After 31. December 2016 these documents will need to be publically available and linked to 1.2</p> <p><b><u>Training:</u></b>  The Group Manager shall provide training in relation to this indicator and its relevance for individual members (e.g. peat, high carbon stocks) and record this training.</p>	<p>Group has been working with Thai RSPO liaison staff to report the GHG emission even though there is no GHG emission caused by palm oil plantations from the group members. Thai RSPO liaison has accompanied the groups of Thailand for not only submitting GHG emission report but also other works that are required to report to RSPO for consideration</p>	Yes

**Principle 8: Commitment to Continuous Improvement in Key Areas of Activity**

<b>Criterion 8.1 Growers and millers regularly monitor and review their activities, and develop and implement a Group Action Plan that allow demonstrable continual improvement in key operations.</b>		
<b>Interface</b>	<b>Findings</b>	<b>Compliance</b>
<p>The Group Action Plan for continuous improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria. As a minimum, these shall include, but are not necessarily be limited to:</p> <ul style="list-style-type: none"> <li>• Reduction in use of pesticides (Criterion 4.6);</li> <li>• Environmental impacts (Criteria 4.3, 5.1 and 5.2);</li> <li>• Waste reduction (Criterion 5.3);</li> <li>• Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8);</li> <li>• Social impacts (Criterion 6.1);</li> <li>• Optimising the yield of the supply base.</li> </ul>		
		<b>Major</b>
<p><b><u>Requirement for Individual Member with up to 50ha of plantation size</u></b></p> <p>Members shall provide inputs to the Group Action Plan for continual improvement.</p> <p>Members shall keep individual records of pesticide use, fertiliser application, FFB production etc. according to a standard template provided by the Group Manager.</p> <p>Discuss with the Group Manager the timing of the replanting programme.</p>	<p>All selected members maintain individual records of pesticide use, fertilizer application, agrochemical application, FFB production, fuel used in their farm record book according to a standard template provided by the Group Manager. They have participated the annual meeting regularly with the group manager for consultation and discuss the action plan for continual improvement as well as the timing of the replanting programme.</p>	Yes
<p><b><u>Requirement for Group Manager</u></b></p> <p>Group Managers shall record information on environmental impacts, waste reduction, pollution &amp; GHG and social impacts.</p> <p>Group Managers shall periodically (e.g. quarterly) collate the records of individual members.</p> <p>Group Managers shall facilitate the development of the Group Action Plan through an annual group meeting.</p> <p>Group Managers shall be responsible for the continuous improvement in key operations.</p>	<p>To support the continual improvement program, group has established the several programs. To make a baseline of group operation, database of the group was used to record information related to implementation by individual group member e.g. amount of fertilizer use and use of pesticide (if any). This information is collected from the record book of individual group member. Based on this record, group manager could use to establish the continuous improvement plan. However, the recent continual improvement established on 19 December 2016 emphasize on the training for following subjects first:</p> <ul style="list-style-type: none"> <li>- Soil nutrient enrichment</li> <li>- Reduction the use of pesticide</li> <li>- FFB harvesting</li> <li>- IPM</li> <li>- Expansion area of beneficial host plan</li> <li>- Fertilizer application</li> <li>- Visiting plots owned by group members</li> </ul>	Yes

**3.4 Non-Conformances Raised in this Assessment**

As outlined, objective evidence was obtained separately for each of the RSPO Indicators and criterion for the mills and estates. The results for each indicator from each of the operational areas were evaluated to provide an assessment of conformity. A statement is provided for each of the RSPO indicators in order to support the findings of the assessment team. Details statement of non-conformance raised in this audit are summarized in Appendix 4.

**3.5 Status of Non-Conformities Previously Identified**

Status of non-conformities identified in previous assessment is summarized in Appendix 5.

**3.6 Noteworthy Positive Comments**

The group is formed by interested independent smallholder since 2014. Even though the group has spent more than 3 years for setting up the system and preparing the management system in achieving for RSPO certification, all 101 group members have affirmed to join with the group and to wait for RSPO certification. Group has fully been supported by many external parties e.g. partnering mill who provides financial and staff supports, Agriculture Research Development Agency (Public Organization) for the fund for RSPO certification and other experts.

All group members hold the legal land deeds where is used to claim over land for any purposes. There is no evidence of any land dispute. Moreover, geo-physical characteristic of the planted areas owned by all group members show no risk of soil erosion.

**3.7 Issues Raised by Stakeholders**

A list of stakeholders contacted and their feedback (if any) is included as Appendix 3.

**4. CERTIFIED ORGANIZATION’S ACKNOWLEDGEMENT OF INTERNAL RESPONSIBILITY**


**4.1 Assessment Conclusion and Recommendation**

The audit team concludes that the organization  has  has not established and maintained its management system in line with the RSPO P&C and Group Certification requirements of the standard and demonstrated the ability of the system to systematically achieve agreed criterion & requirements.

**4.2 Acknowledgement of Internal Responsibility and Formal Sign-off Assessment Findings**

Bureau Veritas Hong Kong Limited and Thappitak Community Enterprise Group acknowledge and confirms acceptance of the Report contents and including the assessment findings.

I, the undersigned, representing Thappitak Community Enterprise Group (Certification Unit) acknowledge and confirm the contents of the assessment report and findings of the assessment.

 (Client's Signature)		
Name	:	Mr. Atchariyah Noppharat
Position	:	Group manager
Date	:	11 September 2017

I, the undersigned on behalf of Bureau Veritas Certification Hong Kong Limited, confirm the contents of the assessment report and findings of the assessment.

 (Lead Assessor's Signature)		
Name	:	Dr Chaiyaporn Seekao
Position	:	Product Development Manager
Date	:	11 September 2017

## **APPENDIX 1: TIMEBOUND PLAN**

Currently, there are 101 independent smallholders member of the group. All of them are included in the certification assessment. At present, there are no members (perspective members) excluded from the certification. Therefore, there is no time bound plan required at the time of assessment.

## APPENDIX 2: ASSESSMENT PROGRAM

AUDIT				
Person	Date	Time	Place	Activity
<b>Day 1 (11.7.2017)</b>				
CS + PN	11.7.2017	08.00-08.30	Group administration office	Opening meeting Find tune the understanding on the audit plan and briefings the RSPO audit process
CS + PN		08.30-11.00	Group administration office	Public consultation meeting at Central Office <ul style="list-style-type: none"> <li>EIA, HCV, Burning Issues, Waste Mgt, Agrochem.</li> <li>SIA, Communication, Complaint, Customary</li> <li>Wages, Trade Union, Anti Child Labour/ Discrimination/Sexual Harrasment, Payment to Outgrower, CSR</li> </ul>
CS		11.00-17.00	Group administration office	Group certification standard <ul style="list-style-type: none"> <li>Group requirement (Group elements, compliance with standards, group manager)</li> <li>Group management document and requirements (Group management structure and content, internal assessment system)</li> <li>Chain of custody</li> </ul>
PN		11.00-12.00	Group member # 1 Mr Baonui Jongrak	<ul style="list-style-type: none"> <li>Opening briefing</li> <li>Onsite inspection of smallholder estate and interview with the member</li> <li>Informal inform audit results</li> </ul>
PN		12.00-13.00		Lunch break
PN		13.00-14.00	Group member # 2 Mr SAWAI MEEKAEW	<ul style="list-style-type: none"> <li>Opening briefing</li> <li>Onsite inspection of smallholder estate and interview with the member</li> <li>Informal inform audit results</li> </ul>
PN		14.00-15.00	Group member # 3 Mr.SURACHAI RODSEN	<ul style="list-style-type: none"> <li>Opening briefing</li> <li>Onsite inspection of smallholder estate and interview with the member</li> <li>Informal inform audit results</li> </ul>
PN		15.00-16.00	Group member # 4 Mr.SAEREE SRITAMMARAT	<ul style="list-style-type: none"> <li>Opening briefing</li> <li>Onsite inspection of smallholder estate and interview with the member</li> <li>Informal inform audit results</li> </ul>
PN		16.00-17.00	Group member # 5 Mr.PREECHA	<ul style="list-style-type: none"> <li>Opening briefing</li> <li>Onsite inspection of smallholder estate</li> </ul>

			PAIMANEE	and interview with the member • Informal inform audit results
		17.00-17.30	Group administration office	Auditor time / meeting
		17.30		End of day 1
<b>Day 2 (12.7.2017)</b>				
CS	12.7.2017	08.00-09.00	Group member # 6 Mr.JIT SAEWHONG	<ul style="list-style-type: none"> <li>• Opening briefing</li> <li>• Onsite inspection of smallholder estate and interview with the member</li> <li>• Informal inform audit results</li> </ul>
CS		09.30-10.30	Group member # 7 Mr.THIRAWIT TREUKTRONG	<ul style="list-style-type: none"> <li>• Opening briefing</li> <li>• Onsite inspection of smallholder estate and interview with the member</li> <li>• Informal inform audit results</li> </ul>
PN		08.00-09.00	Group member # 8 Mr.SAWAT PLOONHANG	<ul style="list-style-type: none"> <li>• Opening briefing</li> <li>• Onsite inspection of smallholder estate and interview with the member</li> <li>• Informal inform audit results</li> </ul>
PN		09.30-10.30	Group member # 9 Mr Kasem Khuameepol	<ul style="list-style-type: none"> <li>• Opening briefing</li> <li>• Onsite inspection of smallholder estate and interview with the member</li> <li>• Informal inform audit results</li> </ul>
PN		11.00-12.00	Group member # 10 Mr.SERMSAK LONGTHEE	<ul style="list-style-type: none"> <li>• Opening briefing</li> <li>• Onsite inspection of smallholder estate and interview with the member</li> <li>• Informal inform audit results</li> </ul>
CS + PN		12.00-13.00		Lunch break
CS + PN		11.00-16.00	Group administration office	<p>Group certification standard</p> <ul style="list-style-type: none"> <li>• Group requirement (Group elements, compliance with standards, group manager)</li> <li>• Group management document and requirements (Group management structure and content, internal assessment system)</li> <li>• Chain of custody</li> </ul>
CS + PN		16.00-16.30	Group administration office	Auditor time
CS + PN		16.30-17.30	Group administration office	Closing meeting
			17.30	

### APPENDIX 3: LIST OF STAKEHOLDERS CONTACTED

Contacted Smallholder	Organization	Feedback/Comments Received	Verification or Follow-Up Required by Clients / Bureau Veritas
Mr Yongyut Theehoe	Village headman, Kalasae sub-district	No	NA
Mr Sarawut Sangwisut	Moo 2 village headman, Saikhao sub-district	No	NA
Mr Prateep Thongbua	Moo 2 village headman, Wangmapang Nua sub-district	No	NA
Mr. Pramote Pakjan	Moo 9 village headman, Khao Mai-kaew sub-district	No	NA
Mr. Alongkorn Yaprang	Moo 10 village headman, Khlongpon sub-district	No	NA
Mr. Chatchai Suthithammanon	Director of Kalasae Sub-district Hospital	No	NA
Mr Hansuk Theehoe	Subcontractor	No	NA



## APPENDIX 4: NON CONFORMITIES RAISED IN THIS AUDIT

<b>NCR No.</b>	M01	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Major	<b>Due Date</b>	11 September 2017
<b>Requirements/Indicators</b>	E1.1.2		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	Group has accepted some formal members who were randomly checked during the audit even though they could not demonstrate the land deeds during the application to join the group		
<b>Root Cause Analysis</b>	Even though the group has established the system for accepting the group member, there is no clear what types of land deeds/land licenses can be used and accepted to become formal group member		
<b>Corrective Action</b>	The procedure and criteria for accepting the group member was established and defined in the sustainable manual. Types of the land deeds and/or land licenses are defined in order to support the decision of the group committee when dealing with the new group members. For this particular group member, the license for land use right which has been approved by community leader has now given to the group		
<b>Preventive Action</b>	To prevent the reoccurrence of the problem, group manager and group committee have been trained on 1 September 2017 on how to consider application document especially evidence of the land deeds and land licenses.		
<b>Verification of Corrective Action(s)</b>	The procedure for supporting to make a decision for accepting new group members has been established. Types of land deeds and land license were determined to support the decision of group manager and group committees. The training has also been conducted to group manager and group committee to guide how to check relevant documents while joining the group		
<b>Status</b>	Closed	<b>Date of Closure</b>	12 September 2017

<b>NCR No.</b>	m01	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	E2.1.1		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard		
<b>Objective Evidence(s)</b>	Even though there are no new group members joining the group in last 2 years, there is procedure for initial gap audit for those new group members in case that group has started to open receiving new group members		
<b>Root Cause Analysis</b>	The procedure related to the acceptance of new group member has not been revised according to the new RSPO group certification standard because group has started and formed since the last 2 years		
<b>Corrective Action</b>	The checklist for assessing the initial gap since application process has now established. The procedure and criteria for accepting the group member was established and defined in the sustainable manual.		
<b>Preventive Action</b>	Group member and group committee have been trained on how to assess the initial gap audit on 1 September 2017. Procedure which has now established can be used to refer when dealing with the new applicants who wish to join the group		
<b>Verification of Corrective Action(s)</b>	The procedure for supporting to make a decision for accepting new group members and also initial gap audit has been established. However, there is no further evidence that the checklist for initial gap audit was used. Therefore, the verification of the effectiveness will be done in the next surveillance assessment		

<b>Status</b>	Open	<b>Date of Closure</b>	Require to verify next surveillance audit
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<b>NCR No.</b>	m02	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	E2.1.2 (b)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	Even though location maps of plots owned by group members were delineated by using Google Earth, the maps produced by the group are not consistency with the results of the onsite inspection either location and shape of plots		
<b>Root Cause Analysis</b>	Location map produced by the group has not been crosschecked to ensure that it could reflect with the actual resulting from the inspection on the ground		
<b>Corrective Action</b>	Not only have the location map for members who were chosen for the initial assessment but also other been crosschecked. New map has now been delineated by using the same methodology but including the verification of the result on the ground		
<b>Preventive Action</b>	Shape of legal ownership right which was indicated in the land deeds and land license is required to use for crosscheck the correctness of the location map produced by using either GPS or Google Earth		
<b>Verification of Corrective Action(s)</b>	Shape of legal ownership right which was indicated in the land deeds and land license has been used to crosscheck the correctness of the location map rather than the inspection on the ground done by farm advisor. Location map which was marked by CB auditor during the initial assessment has now been corrected even though it could not alter the result from LUCA assessment done by RSPO		
<b>Status</b>	Closed	<b>Date of Closure</b>	10 September 2017

<b>NCR No.</b>	m03	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	E3.1.1 (a)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	There is no evidence showing that one member of the internal auditors (Mr Chetthanut Pattanatong) has been trained before becoming internal auditor of the group and executing the internal audit.		
<b>Root Cause Analysis</b>	Even though there are number of the internal auditor, Mr Chetthanut has recently joined as one of the internal auditor because previous internal auditor who was listed was not available to carry out the task		
<b>Corrective Action</b>	Not only Mr Chetthanut and other will be trained according to the plan. The external trainer (RSPO Thailand liaison) will be invited to be the trainer in order to guide the internal audit techniques and also new RSPO group certification for FFB production		
<b>Preventive Action</b>	-		
<b>Verification of Corrective Action(s)</b>	Group has released the training plan. The external trainer (RSPO Thailand liaison) will be invited to be the trainer in order to guide the internal audit techniques and also new RSPO group certification for FFB production		
<b>Status</b>	Open	<b>Date of Closure</b>	Require to verify next surveillance audit

<b>NCR No.</b>	m04	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	E3.1.3		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	There are no evidence and mechanism showing that all internal auditor have declared no conflict of interest for the internal audit processes		
<b>Root Cause Analysis</b>	Group do not have the system showing the relationship between internal auditor and all group members as it is likely that some of group members who were chosen by internal auditor will be their relative		
<b>Corrective Action</b>	Group created the table showing the matrix of the relationship between the group members and internal auditor. Based on the matrix, all internal auditors who have carried out the audit have no relationship with the group members		
<b>Preventive Action</b>	The internal audit procedure indicated in sustainable manual showing that if there is new internal auditor, they are required to declare their relationship with other group members. This procedure has been used to train the group manager to aware about the system on 1 September 2017		
<b>Verification of Corrective Action(s)</b>	Result from matrix showing the relationship between internal auditor and group members showed that all internal auditors who have executed the internal audit have no relationship with the group members. New internal auditors are required to declare themselves the relationship with the group members in order to prevent they executed the audit to their relatives		
<b>Status</b>	Closed	<b>Date of Closure</b>	1 September 2017

<b>NCR No.</b>	M02	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Major	<b>Due Date</b>	11 September 2017
<b>Requirements/Indicators</b>	E3.2.1		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	To support physical trading and B&C, there is no procedure regarding how to trace and track FFB produced by plots owned by group members and also mechanism to trace how many tonnes of certified CSPO, CSPKO and PKE that can be sold through PalmTrace.		
<b>Root Cause Analysis</b>	Group though that group has not been certified and do not has to have a system for tracing and tracking FFB produced by plots and how much they can sell as certified IS-CSPO, IS-PKO and IS-PKE.		
<b>Corrective Action</b>	Procedure for tracing and tracking is one of several procedures established in sustainable manual Kor Yor Por 001. The partnering mill has now joined to share the result from weighing station so that the group could able to aggregate the total FFB production. For those members who sell their FFB to intermediate or other mill, those FFB will not be counted as certified RSPO FFB. The conversion rate according to RSPO yield scheme for group smallholder has now bound into the system for estimating quantity of certified IS-CSPO, IS-CSPKO and IS-PKE that can be sold as credit (Book and Claim)		
<b>Preventive Action</b>	Group has now established the procedure for tracing and tracking is one of several procedures established in sustainable manual Kor Yor Por 001. This procedure has also been used as training material for group manager and group committee on 1 September 2017		
<b>Verification of Corrective Action(s)</b>	Group has now established the system for tracing and tracking where is indicated in sustainable manual Kor Yor Por 001. Group also worked with the partnering mill to share the total quantity of FFB supplied by the group members when group has been certified so that the group can aggregate the quantity of FFB production before converting into IS-CSPO, IS-CSPKO and IS-PKE.		

<b>Status</b>	Closed	<b>Date of Closure</b>	11 September 2017
<b>NCR No.</b>	M03	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Major	<b>Due Date</b>	11 September 2017
<b>Requirements/Indicators</b>	E3.2.2		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	There is no procedure to ensure that non-certified FFB are not sold as RSPO certified FFB. Moreover, there is no procedure to deal when certified FFB is combined with non-certified FFB which is required to sale as Mass Balance when mixing is unavoidable.		
<b>Root Cause Analysis</b>	Group though that group has not been certified and do not has to have a system for tracing and tracking FFB produced by plots		
<b>Corrective Action</b>	Procedure for tracing and tracking is one of several procedures established in sustainable manual Kor Yor Por 001. The partnering mill has now joined to share the result from weighing station so that the group could able to aggregate the total FFB production. Partnering mill who has now been certified RSPO SCC was one of the partner who can check whether FFB supplied by the group members are being certified. For those members who sell their FFB to intermediate or other mill, those FFB will not be counted as certified RSPO FFB.		
<b>Preventive Action</b>	Group has now established the procedure for tracing and tracking is one of several procedures established in sustainable manual Kor Yor Por 001. This procedure has also been used as training material for group manager and group committee on 1 September 2017		
<b>Verification of Corrective Action(s)</b>	Group has now established the system for tracing and tracking where is indicated in sustainable manual Kor Yor Por 001. Group also worked with the partnering mill to develop the system for ensuring all FFB supplied by the group members are being certified and not mixed with non-certified FFB		
<b>Status</b>	Closed	<b>Date of Closure</b>	11 September 2017

<b>NCR No.</b>	m05	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	E3.2.5		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	Even though trader will not be part of group certification management, group members who are still selling their produce (FFB) to trader or immediately do not know the right whether FFB sold to trader can be sold with RSPO claim		
<b>Root Cause Analysis</b>	Even though several trainings were conducted in the last 2 years, most of the topics were related to how to increase FFB production. The rules for marketing and selling FFB to trader has not communicated to the group member during the meeting		
<b>Corrective Action</b>	Group held a training on 1 September 2017 to inform the right to sell their FFB to other mill and intermediaries. However, those FFB sold by group members cannot be claimed as RSPO. The attendance list of the meeting is available to show the attention and understanding on the agreement.		
<b>Preventive Action</b>	Regular meeting to inform the right of the group members is planned to be conducted at least annually. This particular concern is one of the training/meeting subject		
<b>Verification of Corrective Action(s)</b>	Even though the meeting with participation with the group members was conducted to inform the right to sell their FFB to other mill and intermediaries without RSPO claim, this implementation is required to follow up in the next surveillance assessment. Therefore, this non-conformity is still opened		

<b>Status</b>	Open	<b>Date of Closure</b>	Require to verify next surveillance audit
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<b>NCR No.</b>	m06	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	1.2.1 (requirement for group manager)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	Even though some relevant documents are prepared for public disclosure, occupation health and safety plans and also plans to minimize impacts on environment and social are not available for public disclosure at the group administration office		
<b>Root Cause Analysis</b>	Group do not have a plan to minimize impacts on environment and social. Therefore, it is not made available for the public disclosure. Moreover, group do not have a system or file to maintain the list of documents required by the standard for public disclosure		
<b>Corrective Action</b>	Not only plans to minimize impacts on environment and social which are already established to correct non-conformity in next NCR no. but also occupational health and safety plan are now maintained in the file. This file is made available for public disclosure		
<b>Preventive Action</b>	Group manager will be responsible person to monitor the documents that are required for public disclosure. This verification is set once a year according to the operation plan for year 2018		
<b>Verification of Corrective Action(s)</b>	Even though the file for maintaining records/documents for public disclosure, this implementation is required to follow up in the next surveillance assessment. Therefore, this non-conformity is still opened		
<b>Status</b>	Open	<b>Date of Closure</b>	Require to verify next surveillance audit

<b>NCR No.</b>	M04	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Major	<b>Due Date</b>	11 September 2017
<b>Requirements/Indicators</b>	2.1 (requirement for group manager)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	<p>Group has no system relating to applicable laws and regulations required for group manager as following:</p> <ul style="list-style-type: none"> <li>• Where the laws were obtained from.</li> <li>• How they are circulated and how often and record this communication.</li> <li>• Who and how ensures that the laws are being implemented.</li> <li>• Who monitors and updates the list and how often.</li> <li>• Who records when updates are communicated.</li> </ul>		
<b>Root Cause Analysis</b>	Group has been formed since 2014 by implementing according to the previous RSPO group certification. Therefore, new requirements according to the RSPO Management System Requirements and Guidance for Group Certification of FFB Production (7th Mar 2016) has not fully used for implementation for the initial certification assessment		
<b>Corrective Action</b>	Group has worked with the partnering mill who is familiar with the system to update and check compliance with relevant laws and regulations. Relevant laws and regulations for enterprise group and group member have now been established on 31 August 2017. When there is update on the laws and regulations, it is responsible of the partnering mill to assist the group. Group		

	members were also informed the list of relevant laws and regulation by using LINE application and posting on the group's board. Then, group has carried out to check the compliance of relevant laws and regulation on 10 September 2017. The results showed that all implementation are in compliance with relevant laws and regulations.		
<b>Preventive Action</b>	Partnering mill will be the advisor for the group to update and list the relevant laws and regulations. The procedure for cooperation between group and partnering mill on this particular concern was also established. RSPO liaison and consultant for Thailand has also been invited to give the training to the group on 1 September 2017		
<b>Verification of Corrective Action(s)</b>	Under the cooperation by the partnering mill, group has now established the list of relevant laws and regulations. Group has summarized the intent of the laws and regulations before communicating to group members. Verification of the compliance was also conducted. For future update on laws and regulations, partnering mill who has familiar with the system for updating the laws and regulations will give hand to assist the group on this concern		
<b>Status</b>	Closed	<b>Date of Closure</b>	11 September 2017

<b>NCR No.</b>	m07	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	4.1.1 (requirement for group manager)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	Group do not have a system to check whether implementation of all group members are compliant and consistent with the group SOPs.		
<b>Root Cause Analysis</b>	Group has focused to check the compliance with the RSPO requirements (all principles and criteria). A check of compliance with the SOPs established by the group has not been taken into account		
<b>Corrective Action</b>	Group held a training on 1 September 2017 to inform all group members that they are required to be visited and assessed by using checklist for compliance with SOPs. Checklist for verification of the implementation according to SOPs has been created but not yet carried out		
<b>Preventive Action</b>	Group created the operation plan to check the compliance with group SOPs. Group members are required to be checked about this annually. This particular concern has also been informed the group during the training / meeting on 1 September 2017		
<b>Verification of Corrective Action(s)</b>	Even though checklist for checking the compliance with group SOPs, the assessment has not been conducted. Therefore, this implementation is required to follow up in the next surveillance assessment.		
<b>Status</b>	Open	<b>Date of Closure</b>	Require to verify next surveillance audit

<b>NCR No.</b>	M05	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Major	<b>Due Date</b>	11 September 2017
<b>Requirements/Indicators</b>	4.3.1 (requirement for group manager)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	There is no soil map for all group members		
<b>Root Cause Analysis</b>	Map obtained from the Department of Soil Development was in process for developing and digitizing by the group during the assessment. However, it was not completed while auditing		
<b>Corrective Action</b>	Soil map which is now completed digitizing has been used to overlay with the location map of plots owned by group members. Based on the result of overlaying,		

	it showed that only one plot owned by Pongsit Nanon is located on unsuitable soil for palm oil plantation. However, the group has established the action plan to recover the soil nutrient to assist the group member to attain the yield of FFB properly		
<b>Preventive Action</b>	Not only the soil map, group also set up the action plan to survey the soil suitability for palm oil plantation by testing soil nutrient. For those new group members in the future, their location maps of plot will be overlay with the soil map digitized by the group because this soil map is covered two province (Trang and Krabi) where is targeted area for new group members		
<b>Verification of Corrective Action(s)</b>	Group has finished digitizing the soil map. This soil map has been used to overlay with the location maps of plot owned by group members to identify which plots may located in unsuitable land for palm oil plantation so that group can give an advise how to recover the soil nutrient		
<b>Status</b>	Closed	<b>Date of Closure</b>	11 September 2017

<b>NCR No.</b>	M06	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Major	<b>Due Date</b>	11 September 2017
<b>Requirements/Indicators</b>	4.3.3 (requirement for group manager)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	There is no road maintenance program of each group member kept at group. Moreover, group members do not know to give the road maintenance program (if any)		
<b>Root Cause Analysis</b>	Data of road maintenance is one of the topics that is required to record in the record book of each group members. However, it was not consolidated by the group to make as the group plan for road maintenance program		
<b>Corrective Action</b>	Farm advisor has reconfirmed with all group members for road maintenance program. Based on this result, the road maintenance program has now created in order to facilitate the group manager for monitoring whether this activity has generated impacts to social and environment. The road maintenance program will be conducted on summer season to avoid impacts during construction on environment and social		
<b>Preventive Action</b>	Not only group members who have a road maintenance program but also other have been retrained on how to inform the group if they have a road maintenance program. This training has been conducted on 18 August 2017.		
<b>Verification of Corrective Action(s)</b>	The road maintenance program is now established. Road maintenance program from individual group member has been gathered to form the overall plan for the group. Overall, the road maintenance program will be conducted on summer season to avoid impacts during construction on environment and social		
<b>Status</b>	Closed	<b>Date of Closure</b>	11 September 2017

<b>NCR No.</b>	m08	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	4.3.6 (requirement for group manager)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	Since there is analysis on the fragile and problem soil based on relevant data especially soil map, there is no plan for managing fragile soil and problem soils		
<b>Root Cause Analysis</b>	Map obtained from the Department of Soil Development was in process for developing and digitizing by the group during the assessment. So, there is no evidence showing that fragile soil has been identified and set up the plan		
<b>Corrective Action</b>	Soil map which is now completed digitizing has been used to overlay with the location map of plots owned by group members. Based on the result of overlaying,		

	it showed that only one plot owned by Pongsit Nanon is located on unsuitable soil for palm oil plantation. However, the group has established the action plan to recover the soil nutrient to assist the group member to attain the yield of FFB properly		
<b>Preventive Action</b>	Not only the soil map, group also set up the action plan to survey the soil suitability for palm oil plantation by testing soil nutrient. For those new group members in the future, their location maps of plot will be overlay with the soil map digitized by the group because this soil map is covered two province (Trang and Krabi) where is targeted area for new group members		
<b>Verification of Corrective Action(s)</b>	Group has finished digitizing the soil map. This soil map has been used to overlay with the location maps of plot owned by group members to identify which plots may located in unsuitable land for palm oil plantation so that group can give an advise how to recover the soil nutrient. However, the effectiveness of the implementation is required to follow up in the next surveillance assessment		
<b>Status</b>	Open	<b>Date of Closure</b>	Require to verify next surveillance audit

<b>NCR No.</b>	M07	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Major	<b>Due Date</b>	11 September 2017
<b>Requirements/Indicators</b>	4.7 (requirement for group manager)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	Neither group members or workers who engaged by group members have been trained on occupational health and safety as well as first aid		
<b>Root Cause Analysis</b>	Even though the training plan for occupational health and safety as well as first aid was developed, group didn't implement according to the plan due to unavailability schedule of the trainer		
<b>Corrective Action</b>	Group members and workers who employed by the group members have now been trained by officer from Provincial Disaster Prevention and Mitigation on 8 September 2017. For those workers, the training was held at the plot owned by the group member		
<b>Preventive Action</b>	Group has revised the training plan to make it flexible in case the trainer has no availability. The farm advisor who has also been trained on 8 September 2017 will be the trainer for those workers who employed by the group member		
<b>Verification of Corrective Action(s)</b>	The training has been given by professional trainer from Provincial Disaster Prevention and Mitigation on 8 September 2017. Group also set up the plan to allow farm advisor to be in charge of the trainer for workers who employed by the group members for occupational health and safety training		
<b>Status</b>	Closed	<b>Date of Closure</b>	11 September 2017

<b>NCR No.</b>	m09	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	5.1.1 (requirement for group manager)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	Even though environmental, social and HCV assessments were conducted by interview with the stakeholder especially community leader, results from interview or questionnaire are not analyzed to identify what are identified impacts. Consequently, there is no mitigation plan to minimize the impact on environment		
<b>Root Cause Analysis</b>	Group thought that the result from questionnaire survey to community leaders and villagers on environmental issue is sufficient and covered the plan for minimizing the impact even though they have never been analysed by the group		



<b>Corrective Action</b>	The results from questionnaire survey have now been analysed by the group. However, the plan for mitigation impacts on environment is required to reconfirm under the participation with the affected parties again		
<b>Preventive Action</b>	The group committees who responsible for environmental impact assessment have been trained on the procedures and steps for environmental impact assessment and how to develop the mitigation plan by new group manager on 1 September 2017		
<b>Verification of Corrective Action(s)</b>	Even though the results from questionnaire survey has now been analysed, the mitigation plan drafted by the group is also required to ask for consensus by the affected parties		
<b>Status</b>	Open	<b>Date of Closure</b>	Require to verify next surveillance audit

<b>NCR No.</b>	M08	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Major	<b>Due Date</b>	11 September 2017
<b>Requirements/Indicators</b>	5.3 (requirement for group manager)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	There is no waste management and disposal plan. Therefore, there is also no evidence showing that all group members have been trained on this waste management and disposal plan		
<b>Root Cause Analysis</b>	Even though group has established several procedures, waste management and disposal plan was missed in the sustainable manual		
<b>Corrective Action</b>	The waste management and disposal plan QP-PE-04 was created and integrated in the sustainable manual. Group members have been trained by using this plan on 1 September 2017		
<b>Preventive Action</b>	List of the required procedures and plans is established in order to guide the group manager which procedures and plans are required by the standard. This will be facilitate the group manager to monitor annually		
<b>Verification of Corrective Action(s)</b>	The waste manage and disposal plan has now established and being used for the training to group members on 1 September 2017. To prevent the reoccurrence of the same non-conformity, list of required procedures was established. Group manager will monitor whether which required documents and plans are not established annually		
<b>Status</b>	Closed	<b>Date of Closure</b>	11 September 2017

<b>NCR No.</b>	m10	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	5.4.1 (requirement for group manager)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	Since the group could not monitor the fossil fuel use, therefore there is no plan for improving and monitoring the efficiency of the use of fossil fuel		
<b>Root Cause Analysis</b>	Group has been formed since 2014 by implementing according to the previous RSPO group certification. Therefore, new requirements according to the RSPO Management System Requirements and Guidance for Group Certification of FFB Production (7th Mar 2016) has not fully used for implementation for the initial certification assessment		
<b>Corrective Action</b>	Record of the fossil fuel used in the record book of each group member has been noted by the farm advisor to develop the baseline of fossil fuel in the group. Then, the plan for improving and monitoring the efficiency of the use of fossil fuel has been created based on the actual data e.g. how to check the mower backpack		

<b>Preventive Action</b>	The operation plan 2018 has been established. Farm advisor is required to collect the records in the record book of each group member annually. All information recorded in the record book will be used to establish the plans		
<b>Verification of Corrective Action(s)</b>	Plan for improving and monitoring the efficiency of the use of fossil fuel has been created based on the actual data e.g. how to check the mower backpack. The operation plan for next year will be used to prevent the reoccurrence of the same non-conformity. Farm advisor is asked to collect the information recorded in the record book before analysing and formulating as plans		
<b>Status</b>	Open	<b>Date of Closure</b>	Require to verify next surveillance audit

<b>NCR No.</b>	m11	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Minor	<b>Due Date</b>	Next surveillance audit
<b>Requirements/Indicators</b>	6.1.1 (requirement for group manager)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	Even though environmental, social and HCV assessments were conducted by interview with the stakeholder especially community leader, results from interview or questionnaire are not analyzed to identify what are identified impacts. Consequently, there is no mitigation plan to minimize the impact on social		
<b>Root Cause Analysis</b>	Group thought that the result from questionnaire survey to community leaders and villagers on social issue is sufficient and covered the plan for minimizing the impact even though they have never been analysed by the group		
<b>Corrective Action</b>	The results from questionnaire survey have now been analysed by the group. However, the plan for mitigation impacts on social is required to reconfirm under the participation with the affected parties again		
<b>Preventive Action</b>	The group committees who responsible for social impact assessment have been trained on the procedures and steps for social impact assessment and how to develop the mitigation plan by new group manager on 1 September 2017		
<b>Verification of Corrective Action(s)</b>	Even though the results from questionnaire survey has now been analysed, the mitigation plan drafted by the group is also required to ask for consensus by the affected parties		
<b>Status</b>	Open	<b>Date of Closure</b>	Require to verify next surveillance audit

<b>NCR No.</b>	M09	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Major	<b>Due Date</b>	11 September 2017
<b>Requirements/Indicators</b>	7.1 (requirement for group manager)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	There is no evidence showing that SEIA was conducted before land clearance for plot owned by Khun Chetthanat which was planted in January 2014 (date of joining in the group in 2013)		
<b>Root Cause Analysis</b>	Group has not fully understood the principle 7 (new planting) because group thought that palm planted before accepting to the group do not need to be checked and verified about the new planting		
<b>Corrective Action</b>	Even though the group cannot backward to conduct SEIA before land clearance, group has reconfirmed whether villagers who live nearby the plot owned by Khun Chetthanat have been affected. The confirmation from the villager showed that they have not been by the land clearance activities		
<b>Preventive Action</b>	Group has set up the procedure for accepting new group members and also existing group members for new planting. In particular, existing group members are required to inform the group before land clearance of the new planting area.		

	The meeting was conducted on 1 September 2017		
<b>Verification of Corrective Action(s)</b>	Even though the group cannot backward to conduct SEIA before land clearance, group has reconfirmed whether villagers who live nearby the plot owned by Khun Chetthanat have been affected. The confirmation from the villager showed that they have not been by the land clearance activities. The procedure was also established to prevent the reoccurrence of the same non-conformity		
<b>Status</b>	Closed	<b>Date of Closure</b>	11 September 2017

<b>NCR No.</b>	M10	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Major	<b>Due Date</b>	11 September 2017
<b>Requirements/Indicators</b>	7.2.1 (requirement for group manager)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	There is no soil map used to analyze before land clearance for plot owned by Khun Chetthanat which was planted in January 2014 (date of joining in the group in 2013)		
<b>Root Cause Analysis</b>	Group has not fully understood the principle 7 (new planting) because group though that palm planted before accepting to the group do not need to be checked and verified about the new planting		
<b>Corrective Action</b>	Even though the group cannot backward to survey the soil map before land clearance, group has reassess which soil type of the plot which has been replanted on 2014. Results showed that soil is suitable for palm oil plantation		
<b>Preventive Action</b>	Group has set up the procedure for accepting new group members and also existing group members for new planting. In particular, existing group members are required to inform the group before land clearance of the new planting area. The meeting was conducted on 1 September 2017		
<b>Verification of Corrective Action(s)</b>	Reassessment of the soil type was carried out. It was confirmed that the soil type is suitable for palm oil plantation. The procedure was also established to prevent the reoccurrence of the same non-conformity		
<b>Status</b>	Closed	<b>Date of Closure</b>	11 September 2017

<b>NCR No.</b>	M11	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Major	<b>Due Date</b>	11 September 2017
<b>Requirements/Indicators</b>	7.3 (requirement for group manager)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	There is no evidence showing that HCV assessment was conducted before land clearance for plot owned by Khun Chetthanat which was planted in January 2014 (date of joining in the group in 2013)		
<b>Root Cause Analysis</b>	Group has not fully understood the principle 7 (new planting) because group though that palm planted before accepting to the group do not need to be checked and verified about the new planting		
<b>Corrective Action</b>	Even though the group cannot backward to conduct HCV assessment before land clearance, group has reconfirmed whether villagers who live nearby the plot owned by Khun Chetthanat about the presence of HCV and RTE during that period of time. Result from assessment showed that there was no HCV and RTE species before land clearance		
<b>Preventive Action</b>	Group has set up the procedure for accepting new group members and also existing group members for new planting. In particular, existing group members are required to inform the group before land clearance of the new planting area. The meeting was conducted on 1 September 2017		

<b>Verification of Corrective Action(s)</b>	HCV assessment was carried out backward before year of planting with villagers who lives surrounding the new planted area. The result confirmed that there was no HCV and RTE species in the new planted area. The procedure was also established to prevent the reoccurrence of the same non-conformity		
<b>Status</b>	Closed	<b>Date of Closure</b>	11 September 2017

<b>NCR No.</b>	M12	<b>Date Issued</b>	12 July 2017
<b>Category</b>	Major	<b>Due Date</b>	11 September 2017
<b>Requirements/Indicators</b>	7.4.1 (requirement for group manager)		
<b>Statements of NC</b>	The group didn't demonstrate sufficient knowledge to address all requirement of the standard and also didn't follow the requirement of the standard		
<b>Objective Evidence(s)</b>	There is no evidence showing that fragile soil has been analyzed before land clearance for plot owned by Khun Chetthanat which was planted in January 2014 (date of joining in the group in 2013)		
<b>Root Cause Analysis</b>	Group has not fully understood the principle 7 (new planting) because group though that palm planted before accepting to the group do not need to be checked and verified about the new planting		
<b>Corrective Action</b>	Even though the group cannot backward to survey the soil map before land clearance, group has reassess which soil type of the plot which has been replanted on 2014. Results showed that soil is suitable for palm oil plantation and/or no fragile soil over that new planted area		
<b>Preventive Action</b>	Group has set up the procedure for accepting new group members and also existing group members for new planting. In particular, existing group members are required to inform the group before land clearance of the new planting area. The meeting was conducted on 1 September 2017		
<b>Verification of Corrective Action(s)</b>	Reassessment of the soil type was carried out. It was confirmed that the soil type is suitable for palm oil plantation. The procedure was also established to prevent the reoccurrence of the same non-conformity		
<b>Status</b>	Closed	<b>Date of Closure</b>	11 September 2017

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## **APPENDIX 5: STATUS OF NON CONFORMITIES IDENTIFIED PREVIOUSLY**

This is not applicable since the group has been assessed against initial certification assessment

## APPENDIX 6: LIST OF SUSTAINABLE OIL PALM GROWERS

Group Name	Smallholders Name	Plot No.	Location			Planted Area (Ha)
			Sub-District	District	Province	
PTO-57-01	Mr.Manich Anteng	A	Kalase	SiKao	Trang	3.20
PTO-57-02	Mr.Narong Tokjeentong	A	KhaoMaiKaeo	SiKao	Trang	2.043
PTO-57-03	Mr.Lek Poodpror	A	Kalase	SiKao	Trang	2.916
		B	Kalase	SiKao	Trang	1.44
		C	Kalase	SiKao	Trang	2.24
PTO-57-04	Mr.Niran Janket	A	SaiKhao	KhlongThom	Krabi	1.571
		B	SaiKhao	KhlongThom	Krabi	1.60
		C	SaiKhao	KhlongThom	Krabi	1.788
PTO-57-05	Mr.Nong Bunsri	A	Kalase	SiKao	Trang	3.84
PTO-57-06	Mrs.Nittaya Chuaykerd	A	SaiKhao	KhlongThom	Krabi	1.44
PTO-57-07	Mrs.Suchada Kongjarern	A	Kalase	SiKao	Trang	3.652
PTO-57-08	Mr.Prachuab Ceiwheng	A	Kalase	SiKao	Trang	0.567
PTO-57-09	Mr.Chetthanat Patthanathong	A	SaiKhao	KhlongThom	Krabi	3.52
		B	SaiKhao	KhlongThom	Krabi	2.28
PTO-57-10	Mr.Sommut Sangkaew	A	Kalase	SiKao	Trang	0.80
		B	Kalase	SiKao	Trang	1.60
		C	Kalase	SiKao	Trang	0.48
		D	Kalase	SiKao	Trang	3.238
PTO-57-11	Mrs.Siriwan Longthee	A	Kalase	SiKao	Trang	2.56
		B	Kalase	SiKao	Trang	1.44
		C	Kalase	SiKao	Trang	0.53
PTO-57-12	Mr.Kasem Gleuameepon	A	Kalase	SiKao	Trang	1.28
		B	Kalase	SiKao	Trang	1.12
		C	Kalase	SiKao	Trang	1.12
		D	Kalase	SiKao	Trang	0.474
PTO-57-13	Mr.Samnao Thongkamdee	A	Kalase	SiKao	Trang	3.063
PTO-57-14	Mr.Sane Ploysri	A	Kalase	SiKao	Trang	6.40
PTO-57-15	Mr.Chaivirat Chuaykerd	A	Kalase	SiKao	Trang	1.728
PTO-57-16	Mr.Panisorn Buakam	A	Kalase	SiKao	Trang	5.271
		B	Kalase	SiKao	Trang	0.876
		C	Kalase	SiKao	Trang	4.64

PTO-57-17	Mr.Panomsit Nuanparn	A	Kalase	SiKao	Trang	2.40
		B	Kalase	SiKao	Trang	1.656
PTO-57-18	Mr.Wattana Panitkul	A	NaMueangPhet	SiKao	Trang	12.00
		B	NaMueangPhet	SiKao	Trang	24.00
PTO-57-19	Mr.Prasit Chumkong	A	Kalase	SiKao	Trang	3.28
		B	AoTong	WangWiset	Trang	1.60
PTO-57-20	Mr.Baonui Jongrak	A	SaiKhao	KhlongThom	Krabi	4.00
PTO-57-21	Mr.Sutin Sukgrathai	A	Kalase	SiKao	Trang	1.24
		B	Kalase	SiKao	Trang	1.265
PTO-57-22	Mr.Suchet Theehor	A	AoTong	WangWiset	Trang	4.00
PTO-57-23	Mr.Chapradit Kamsen	A	Kalase	SiKao	Trang	0.771
		B	Kalase	SiKao	Trang	1.198
		C	Kalase	SiKao	Trang	1.404
		D	Kalase	SiKao	Trang	5.637
PTO-57-24	Mr.Sawai Meekaew	A	Kalase	SiKao	Trang	7.20
PTO-57-25	Mr.Wong Ponrit	A	Kalase	SiKao	Trang	1.60
		B	Kalase	SiKao	Trang	2.56
PTO-57-26	Mr.Jongjet Thangkam	A	WangMaprang	WangWiset	Trang	7.84
		B	WangMaprang	WangWiset	Trang	3.84
		C	WangMaprang	WangWiset	Trang	9.28
		D	WangMaprang	WangWiset	Trang	1.92
PTO-57-27	Mrs.Wipornwan Nuibunkaew	A	AoTong	WangWiset	Trang	1.974
PTO-57-28	Mr.Surachai Rodsen	A	AoTong	WangWiset	Trang	3.20
		B	AoTong	WangWiset	Trang	2.214
		C	AoTong	WangWiset	Trang	1.44
PTO-57-29	Mrs.Youn Phothawon	A	Kalase	SiKao	Trang	4.395
		B	SaiKhao	KhlongThom	Krabi	2.08
PTO-57-30	Mr.Sittiporn Poodpror	A	WangMaprangNuae	WangWiset	Trang	6.72
PTO-57-31	Mr.Prung Kittikun	A	WangMaprangNuae	WangWiset	Trang	2.40
		B	WangMaprangNuae	WangWiset	Trang	0.48
		C	WangMaprangNuae	WangWiset	Trang	0.645
		D	WangMaprangNuae	WangWiset	Trang	1.228
		E	WangMaprangNuae	WangWiset	Trang	0.96
PTO-57-32	Mrs.Rabiab Anteng	A	Kalase	SiKao	Trang	6.40
PTO-57-33	Mr.Kiatmongkol Poodpror	A	Kalase	SiKao	Trang	4.0
PTO-57-34	Mr.Tawatchai Warnthong	A	Kalase	SiKao	Trang	1.60
PTO-57-35	Mrs.Phannalak	A	SaiKhao	KhlongThom	Krabi	3.41

	Longthee					
		B	SaiKhao	KhlongThom	Krabi	3.739
PTO-57-36	Mr.Manit Songnoo	A	SaiKhao	KhlongThom	Krabi	2.56
		B	SaiKhao	KhlongThom	Krabi	1.76
PTO-57-37	Mrs.Jaruwan Satidyangkul	A	Kalase	SiKao	Trang	4.68
PTO-57-38	Mr.Suwit Pengdam	A	Kalase	SiKao	Trang	0.80
PTO-57-39	Mr.Seree Sritammarat	A	Kalase	SiKao	Trang	8.60
PTO-57-40	Mr.Wanna Sujittraporn	A	Kalase	SiKao	Trang	1.589
		B	Kalase	SiKao	Trang	3.765
PTO-57-41	Mr.Chaliao Gleuameepon	A	Kalase	SiKao	Trang	1.743
		B	Kalase	SiKao	Trang	0.945
PTO-57-42	Mr.Wisut Sudharn	A	SaiKhao	KhlongThom	Krabi	2.080
PTO-57-43	Mrs.Chatchadaporn Bunrong	A	SaiKhao	KhlongThom	Krabi	1.76
		B	Kalase	SiKao	Trang	4.024
PTO-57-44	Mr.Tawi Bunpha	A	Kalase	SiKao	Trang	5.28
PTO-57-45	Mr.Precha Paimanee	A	Kalase	SiKao	Trang	1.217
		B	Kalase	SiKao	Trang	2.40
PTO-57-46	Mr.Santi Dampin	A	Kalase	SiKao	Trang	1.338
PTO-57-47	Mr.Sahnong Saensuk	A	Kalase	SiKao	Trang	1.164
		B	KhaoMaiKaeo	SiKao	Trang	1.732
PTO-57-48	Mr.Jirasak Chaithong	A	SaiKhao	KhlongThom	Krabi	7.20
		B	SaiKhao	KhlongThom	Krabi	6.40
		C	SaiKhao	KhlongThom	Krabi	4.00
PTO-57-49	Mr.Nichot Kaewjanthong	A	WangMaprangNuae	WangWiset	Trang	2.325
		B	WangMaprangNuae	WangWiset	Trang	0.64
		C	WangMaprangNuae	WangWiset	Trang	0.56
		D	WangMaprangNuae	WangWiset	Trang	3.20
		E	WangMaprangNuae	WangWiset	Trang	0.48
PTO-57-50	Mr.Somporn Gertkaikaew	A	Kalase	SiKao	Trang	1.28
PTO-57-51	Mr.Santiphap Nilrata	A	WangMaprangNuae	WangWiset	Trang	4.88
		B	WangMaprangNuae	WangWiset	Trang	4.64
PTO-57-52	Mr.Huang Warnthong	A	AoTong	WangWiset	Trang	9.60
PTO-57-53	Mr.Thamwivat Raksajit	A	Kalase	SiKao	Trang	2.32
PTO-57-54	Mr.Jit Saewhong	A	Kalase	SiKao	Trang	2.72
		B	SaiKhao	KhlongThom	Krabi	6.40
PTO-57-55	Mrs.Saowapa Gertkaikaew	A	Kalase	SiKao	Trang	4.96



PTO-57-56	Mr.Preecha Songnoo	A	WangMaprangNuae	WangWiset	Trang	1.885
		B	WangMaprangNuae	WangWiset	Trang	1.964
PTO-57-57	Mrs.Napasorn Nanon	A	Kalase	SiKao	Trang	1.829
PTO-57-58	Mrs.suchin Songsang	A	Kalase	SiKao	Trang	1.28
		B	Kalase	SiKao	Trang	1.374
		C	Kalase	SiKao	Trang	2.574
		D	Kalase	SiKao	Trang	5.958
		E	Kalase	SiKao	Trang	2.08
PTO-57-59	Mrs.Adisa Nuanprang	A	Kalase	SiKao	Trang	0.887
		B	Kalase	SiKao	Trang	1.185
PTO-57-60	Mr.Sawang Chaikaew	A	SaiKhao	KhlongThom	Krabi	2.998
		B	SaiKhao	KhlongThom	Krabi	2.722
		C	SaiKhao	KhlongThom	Krabi	0.728
		D	SaiKhao	KhlongThom	Krabi	0.813
		E	SaiKhao	KhlongThom	Krabi	0.814
		F	SaiKhao	KhlongThom	Krabi	1.283
PTO-57-61	Mr.Samrong Nakprasert	A	SaiKhao	KhlongThom	Krabi	3.20
		B	SaiKhao	KhlongThom	Krabi	4.00
PTO-57-62	Mr.Thirawit Treuktrong	A	Kalase	SiKao	Trang	2.11
		B	Kalase	SiKao	Trang	1.734
PTO-57-63	Mr.Pongsipat Sritammarat	A	SaiKhao	KhlongThom	Krabi	5.44
PTO-57-64	Mr.Surachet Luangiatkajorn	A	SaiKhao	KhlongThom	Krabi	1.461
		B	SaiKhao	KhlongThom	Krabi	2.291
		C	SaiKhao	KhlongThom	Krabi	2.521
		D	SaiKhao	KhlongThom	Krabi	0.764
PTO-57-65	Mrs.Rungnapa Thepaksorn	A	Kalase	SiKao	Trang	1.44
PTO-57-66	Mrs.Jeeranan Poonsen	A	Kalase	SiKao	Trang	2.40
		B	Kalase	SiKao	Trang	1.60
		C	Kalase	SiKao	Trang	0.96
PTO-57-67	Mrs.Tatsanawan Longthee	A	Kalase	SiKao	Trang	3.961
PTO-57-68	Mrs.Bunyanan Panapitakkul	A	KhlongPhon	KhlongThom	Krabi	4.605
		B	KhlongPhon	KhlongThom	Krabi	3.702
		C	KhlongPhon	KhlongThom	Krabi	1.523
PTO-57-69	Mr.Sompornsit Petkong	A	Kalase	SiKao	Trang	0.979
PTO-57-70	Mr.Audom Srichai	A	Kalase	SiKao	Trang	2.56
PTO-57-71	Mr.Somboon	A	Kalase	SiKao	Trang	2.40

	Gleuameepon	B	Kalase	SiKao	Trang	3.52
PTO-57-72	Mr.Sawat Ploonhang	A	SaiKhao	KhlongThom	Krabi	7.20
PTO-57-73	Mr.Phain Phengseng	A	SaiKhao	KhlongThom	Krabi	0.80
		B	SaiKhao	KhlongThom	Krabi	0.80
		C	SaiKhao	KhlongThom	Krabi	0.487
PTO-57-74	Mrs.Arporn Soonjiw	A	Kalase	SiKao	Trang	0.881
PTO-57-75	Mr.Sengyuad Longthee	A	Kalase	SiKao	Trang	3.608
PTO-57-76	Mrs.Raem Longthee	A	Kalase	SiKao	Trang	1.92
		A	Kalase	SiKao	Trang	1.745
PTO-57-77	Mr.Nattawat Pengdam	A	Kalase	SiKao	Trang	3.637
		B	Kalase	SiKao	Trang	3.20
PTO-57-78	Mr.Pongdisit Nanon	A	AoTong	WangWiset	Trang	8.00
		B	Kalase	SiKao	Trang	0.732
PTO-57-79	Mr.Sujin Paneuksapsakul	A	Kalase	SiKao	Trang	4.96
PTO-57-80	Mr.Adun longthee	A	SaiKhao	KhlongThom	Krabi	2.40
PTO-57-81	Mr.Anuchit Gleuameepon	A	Kalase	SiKao	Trang	1.92
		B	Kalase	SiKao	Trang	3.394
PTO-57-82	Mr.Sutham Wangnheng	A	Kalase	SiKao	Trang	3.098
		B	Kalase	SiKao	Trang	1.546
PTO-57-83	Mr.Younhex Senghor	A	SaiKhao	KhlongThom	Krabi	3.968
PTO-57-84	Mr.Surapol Thepsuban	A	Kalase	SiKao	Trang	1.629
PTO-57-85	Mrs.Wannee Srichai	A	Kalase	SiKao	Trang	1.92
PTO-57-86	Mr.Sommhay Kaewsuk	A	SaiKhao	KhlongThom	Krabi	1.80
		B	SaiKhao	KhlongThom	Krabi	1.76
		C	SaiKhao	KhlongThom	Krabi	1.98
		D	SaiKhao	KhlongThom	Krabi	1.03
PTO-57-87	Mr.Suntorn Kaewchawang	A	WangMaprangNuae	WangWiset	Trang	2.56
PTO-57-88	Mr.Nattasin Reungkling	A	Kalase	SiKao	Trang	6.249
PTO-57-89	Mr.Sakorn Sangsuk	A	SaiKhao	KhlongThom	Krabi	0.48
		B	SaiKhao	KhlongThom	Krabi	0.871
PTO-57-90	Mr.Sahnan Khunprabaht	A	Kalase	SiKao	Trang	6.315
		B	Kalase	SiKao	Trang	1.626
PTO-57-91	Mr.Sermsak longthee	A	Kalase	SiKao	Trang	2.966
PTO-57-92	Mr.Feung Jarernsuk	A	Kalase	SiKao	Trang	3.124
PTO-57-93	Mr.Suwit Sinchai	A	Kalase	SiKao	Trang	1.753

PTO-57-94	Mr.Sompong Sangsuk	A	SaiKhao	KhlongThom	Krabi	1.69
PTO-57-95	Mr.Thanapaisan Pantakeeree	A	WangMaprangNuae	WangWiset	Trang	4.64
PTO-57-96	Mrs.Liansiw Petchrat	A	Kalase	SiKao	Trang	0.986
PTO-57-97	Mrs.Srisuda Kitcheua	A	SaiKhao	KhlongThom	Krabi	3.04
PTO-57-98	Mrs.Patcharaporn Wanraek	A	Kalase	SiKao	Trang	0.603
		B	HatSamran	HatSamran	Trang	2.198
PTO-57-99	Mr.Phatipat kaewgamyarn	A	WangMaprangNuae	WangWiset	Trang	4.208
PTO-57-100	Mr.Suwit Suksen	A	WangMaprangNuae	WangWiset	Trang	6.45
PTO-57-101	Mrs.Chaweewan Buasuwan	A	WangMaprangNuae	WangWiset	Trang	4.359

## APPENDIX 7: LOCATION MAPS OF THE SMALLHOLDINGS



Figure 1 Location of the group administration office located in Trang province, Thailand



Figure 2 Geographical Map of member's plots of Thappitak Community Enterprise Group

**End of Report**