

RSPO PRINCIPLE AND CRITERIA
– ANNUAL SURVEILLANCE ASSESSMENT 1
Public Summary Report

PT. Rigunas Agri Utama
Company Address: Jl. M.H Thamrin No.31 Jakarta 10230 Indonesia
Certification Unit: Bungo Tebo Palm Oil Mill Location of Certification Unit: Tuo Sumay and Sungai Rambai Village, PWK Sumay District and Tebo Ulu District, Bungo Tebo Regency, Jambi Province - Indonesia

TABLE of CONTENTS
No

Page

Section 1: Scope of the Certification Assessment.....	3
1. Company Details	3
2. Certification Information	3
3. Location(s) of Mill & Supply Bases	4
4. Description of Supply Base	5
5. Plantings & Cycle.....	6
6. Non-Certified Tonnage of FFB (outside supplier – excluded from certificate)	7
7. Certified Tonnage	7
Section 2: Assessment Process	8
1. Assessment Program.....	9
Section 3: Assessment Findings	11
3.1 Details of audit results	11
3.2 Progress against Time Bound Plan.....	11
3.3 Details of findings	13
3.3.1 Status of Nonconformities Previously Identified and Observations	39
3.3.2 Summary of the Nonconformities and Status.....	52
Assessment Conclusion and Recommendation:	54
Acknowledgement of Assessment Findings	Error! Bookmark not defined.
Appendix A: Summary of Findings	55
Appendix B: Approved Time Bound Plan.....	176
Appendix C: Certification Unit RSPO Certificate Details.....	179
Appendix D: Assessment Plan.....	181
Appendix E: Stakeholders Contacted	183
Appendix F: CPO Mill Supply Chain Assessment Report	184
Appendix G: Location Map of Certification Unit and Supply bases	188
Appendix H: Estate Field Map.....	188
Appendix I: List of Smallholder Sampled.....	190
Appendix J: List of Abbreviations Used	192

Section 1: Scope of the Certification Assessment

1. Company Details			
RSPO Membership Number	1-0022-06-000-00	Date	6 th February 2006
Company Name	PT. Rigunas Agri Utama – Bungo Tebo		
Address	Head Office: Jl. M.H. Thamrin No.31 Jakarta 10230 Indonesia Site Location: Tuo Sumay and Sungai Rambai Village, PWK Sumay District and Tebo Ulu District, Bungo Tebo Regency, Jambi Province - Indonesia		
Subsidiary of (if applicable)	PT. Inti Indosawit Subur		
Contact Name	Mrs. Asrini Subrata		
Website	www.asianagri.co.id	E-mail	asrini_subrata@asianagri.com
Telephone	+62 21 2301119	Facsimile	+62 21 2301120

2. Certification Information			
Certificate Number	RSPO 620917	Date	03/12/2015
Scope of Certification	Production of CPO and PK at Bungo Tebo Palm Oil Mill and FFB supplied from one (1) company owned estate namely Bungo Tebo Estate and eighteen (18) smallholder cooperatives. Palm oil mill capacity 60 tons FFB/hour.		
Other Certifications			
Certificate Number	Standard(s)	Certificate Issued by	Expiry Date
ID05/65250	ISO 14001:2004	SGS	10 June 2017
EU-ISCC-Cert-DE100-27302016	ISCC EU	SGS	07 July 2017
EU-ISCC-Cert-DE100-16462016	ISCC EU	SGS	31 Agustus 2017
EU-ISCC-Cert-DE100-34342016	ISCC EU	SGS	17 November 2017
BSI-ISPO 619412	ISPO	BSI Group Indonesia	5 Desember 2021

3. Location(s) of Mill & Supply Bases			
Name (Mill / Supply Base)	Location [Map Reference #]	GPS	
		Easting	Northing
Bungo Tebo Palm Oil Mill	Tuo Sumay and Sungai Rambai village, PWK Sumay and Tebo Ulu Sub-district, Bungo Tebo Regency, Jambi Province	102° 27' 22" E	01° 20' 48" S
Bungo Tebo Estate	Tuo Sumay and Sungai Rambai village, PWK Sumay and Tebo Ulu Sub-district, Bungo Tebo Regency, Jambi Province	102° 21' 39" E - 102° 29' 08" E	01° 15' 13" S - 01° 21' 51" S
KUD Tanjung Dani Sakti	Tanjung Dani Hamlet, Tuo Sumay Village, Sumay District, Tebo Regency, Jambi Province	102° 24' 36" E	01° 19' 17"
KUD Sumay Jaya	Tuo Sumay Village, Sumay District, Tebo Regency, Jambi Province	102° 26' 13" E	01° 23' 02" S
KUD Sumber Usaha	Tuo Sumay Village, Sumay District, Tebo Regency, Jambi Province	102° 26' 49" E	01° 23' 06" S
KUD Bina Tani	Sungai Rambai Village, Tebo Ulu District, Tebo Regency, Jambi Province	102° 23' 54" E	01° 22' 31" S
KUD Belarik Jaya	Jati Belarik Village, Sumay District, Tebo Regency, Jambi Province	102° 27' 06" E	01° 27' 36" S
KUD Sawit Tambara Jaya	Tambun Arang Village, Sumay District, Tebo Regency, Jambi Province	102° 28' 02" E	01° 26' 16" S
KUD Tunas Harapan	Teluk Langkap Village, Sumay District, Tebo Regency, Jambi Province	102° 26' 18" E	01° 26' 02" S
KUD Sejahtera Tani	Punti Kalo Village, Sumay District, Tebo Regency, Jambi Province	102° 25' 31" E	01° 25' 29" S
KUD Tani Mandiri	Kandang Village, Tebo Tengah District, Tebo Regency, Jambi Province	102° 29' 24" E	01° 26' 34" S
KUD Tanjung Jaya Bersama	Bungo Tanjung Village, Sumay District, Tebo Regency, Jambi Province	102° 28' 29" E	01° 19' 40" S
KUD Tanjung Aur Duri	Tanjung Aur Village, Sumay District, Tebo Regency, Jambi Province	102° 28' 03" E	01° 19' 38" S
KUD Sawit Sumay Makmur	Pinang Belai Village, Serai Serumpun District, Tebo Regency, Jambi Province	102° 21' 50" E	01° 16' 58" S
KUD Sawit Makmur	Sekutur Jaya Village, Serai Serumpun District, Tebo Regency, Jambi Province	102° 20' 01" E	01° 15' 34" S
KUD Barokah	Teluk Rambahan Village, Tebo Ulu District, Tebo Regency, Jambi Province	102° 18' 40" E	01° 18' 00" S
KUD Sawit Keluarga Sejahtera	Bungo Tanjung Village, Tebo Ulu District, Tebo Regency, Jambi Province	102° 18' 57.7" E	01° 12' 46.8" S
KUD Sawit Makmur Bersama	Bukit Pamuan Village, Serai Serumpun District, Tebo Regency, Jambi Province	102° 18' 33.8" E	01° 12' 15.5" S

RSPO Public Summary Report
Revision 4 (November /2016)

KUD Sawit Karya Makmur	Napal Putih Village, Serai Serumpun District, Tebo Regency, Jambi Province	102° 17' 01.3" E	01° 11' 02.4" S
KUD Sawit Tanduk Perkasa	Suko Makmur Village, Serai Serumpun District, Tebo Regency, Jambi Province	102° 13' 55.5" E	01° 09' 05.0" S

4. Description of Supply Base							
Estate	Mature (ha)	Immature (ha)	Infras & Other (ha)	HCV (ha)	Total Planted (ha)	Total Hectarage	% of Planted
Bungo Tebo Estate	2,248	295	103	17.59	2,551	2,664	95.75
KUD Tanjung Dani Sakti	220	0	0	52.04	220	220	100
KUD Sumay Jaya	232	0	0		232	232	100
KUD Sumber Usaha	184	0	0		184	184	100
KUD Bina Tani	238	0	0		238	238	100
KUD Belarik Jaya	182	0	0		182	182	100
KUD Sawit Tambara Jaya	218	0	0		218	218	100
KUD Tunas Harapan	144	0	0		144	144	100
KUD Sejahtera Tani	88	0	0		88	88	100
KUD Tani Mandiri	158	0	0		158	158	100
KUD Tanjung Jaya Bersama	68	0	0		68	68	100
KUD Tanjung Aur Duri	68	0	0		68	68	100
KUD Sawit Sumay Makmur	858	0	0		858	858	100
KUD Sawit Makmur	672	0	0		672	672	100
KUD Barokah	372	0	0		372	372	100
KUD Sawit Keluarga Sejahtera	136	0	0		136	136	100
KUD Sawit Makmur Bersama	628	0	0		628	628	100
KUD Sawit Karya Makmur	710	0	0		710	710	100
KUD Sawit Tanduk Perkasa	738	0	0	738	738	100	
Total	8,162	295	103	69.63	8,465	8,578	98.68

Note: Infras = infrastructure

5. Plantings & Cycle								
Estate	Age (Years)					Tonnage / Year		
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30	Estimated (Jan – Dec 2016)	Actual (Jan – Dec 2016)	Forecast (Jan – Dec 2017)
Bungo Tebo Estate	295	512	845	891	0	37,646	31,005	37,443
KUD Tanjung Dani Sakti	0	0	0	220	0	0	0	4,148
KUD Sumay Jaya	0	0	0	232	0	0	0	4,374
KUD Sumber Usaha	0	0	134	50	0	0	0	2,819
KUD Bina Tani	0	0	112	126	0	0	0	4,205
KUD Belarik Jaya	0	0	64	118	0	0	0	3,204
KUD Sawit Tambara Jaya	0	0	26	192	0	0	0	3,353
KUD Tunas Harapan	0	0	12	132	0	0	0	2,245
KUD Sejahtera Tani	0	0	28	60	0	0	0	1,422
KUD Tani Mandiri	0	0	158	0	0	0	0	2,726
KUD Tanjung Jaya Bersama	0	0	68	0	0	0	0	1,210
KUD Tanjung Aur Duri	0	0	42	26	0	0	0	1,159
KUD Sawit Sumay Makmur	0	0	0	858	0	0	0	16,177
KUD Sawit Makmur	0	0	0	672	0	0	0	12,210
KUD Barokah	0	0	0	372	0	0	0	6,695
KUD Sawit Keluarga Sejahtera	0	0	0	136	0	0	0	2,483
KUD Sawit Makmur Bersama	0	0	0	628	0	0	0	11,378
KUD Sawit Karya Makmur	0	0	0	710	0	0	0	12,377
KUD Sawit Tanduk Perkasa	0	0	222	516	0	0	0	12,945
Total	295	512	1,711	5,939	0	37,646	31,005	142,573

**RSPO Public Summary Report
Revision 4 (November /2016)**

6. Non-Certified Tonnage of FFB (outside supplier – excluded from certificate)			
Independent FFB Supplier	Tonnage / year		
	Estimated (Jan – Dec 2016)	Actual (Jan – Dec 2016)	Forecast (Jan – Dec 2017)
Third party FFB supplier/collector	90,000	98,623	90,000

7. Certified Tonnage									
Mill	Estimated (Jan – Dec 2016)			Actual (Jan – Dec 2016)			Forecast (Jan – Dec 2017)		
	FFB	CPO	PK	FFB	CPO	PK	FFB	CPO	PK
Bungo Tebo POM	37,646	8,847	1,995	31,005	7,452	1,620	142,573	31,420	7,556
Total	37,646	8,847	1,995	31,005	7,452	1,620	142,573	31,420	7,556

Section 2: Assessment Process

Certification Body:

BSI Services Malaysia Sdn Bhd,
(ASI Accreditation Number: RSPO-ACC-19)
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BSI is a leading global provider of management systems assessment and certification, with more than 60,000 certified locations and clients in over 100 countries. BSI Standards is the UK's National Standards Body. BSI provides independent, third-party certification of management systems. BSI is ASI Accredited (RSPO-ACC-19) to conduct RSPO assessment since 31/10/2014 with accredited office located at Kuala Lumpur, Malaysia. BSI is accredited for RSPO Supply Chain Certification Systems (SCCS) and Principles & Criteria for Sustainable Palm Oil Production (P&C, Single Site & Group) certification Worldwide.

Assessment Methodology, Programme, Site Visits

This on-site assessment was conducted from 14th – 22nd September 2016. The audit programme is included as Appendix D. The approach to the audit was to treat the mill and its supply base as an RSPO Certification Unit. Mill was audited together with the sample estates. A range of environmental and social factors were covered. This includes consideration of topography, palm age, proximity to areas with HCVs, declared conservation areas and local communities. During this first annual surveillance assessment, certificate holder decided to include scheme smallholders as additional supply base. Thus the first annual surveillance assessment covers an extension to scope.

The Major NC close out on-site assessment was conducted on 21st November 2016 and 17th January 2017. The audit programmes are included as Appendix D.

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

The approach to the audit was to treat the mill and its supply base as an RSPO Certification Unit. The mill was audited together with the estates (or smallholders) of its supply base. The estates sample were determined based on formula $N = 0.8\sqrt{y}$ where y is the number of estates while when applicable, the smallholders sample were determined following the RSPO Certification Requirement for Group Certification Standard 2016. The sampling of smallholders were based on the formula $(0.8\sqrt{y}) \times (z)$; where y is total number of independent group member and where z is the multiplier defined by the risk assessment. For the assessment, the risk factor sets at 1.2 and the standard being use for scheme smallholder is following RSPO P%C Generic 2013 . The sampled smallholder listed in Appendix I.

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

**RSP0 Public Summary Report
Revision 4 (November /2016)**

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

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

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

This report is structured to provide a summary of assessment finding as attached in the Appendix A. The assessment was based on random samples and therefore nonconformities may exist that have not been identified. This report was externally reviewed by RSP0 approved Certification Reviewer prior to certification decision by BSI.

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

1. Assessment Program					
Name (Mill / Supply Base)	Year 1 (Certification)	Year 2 (ASA 1)	Year 3 (ASA 2)	Year 4 (ASA 3)	Year 5 (ASA 4)
Bungo Tebo POM	x	x	x	x	x
Bungo Tebo Estate	x	x	x	x	x
KUD Tanjung Dani Sakti			x		
KUD Sumay Jaya		x			
KUD Sumber Usaha		x			
KUD Bina Tani			x		
KUD Belarik Jaya			x		
KUD Sawit Tambara Jaya			x		
KUD Tunas Harapan				x	
KUD Sejahtera Tani				x	
KUD Tani Mandiri				x	
KUD Tanjung Jaya Bersama				x	
KUD Tanjung Aur Duri		x			
KUD Sawit Sumay Makmur					x
KUD Sawit Makmur		x			
KUD Barokah					x
KUD Sawit Keluarga Sejahtera					x
KUD Sawit Makmur Bersama					X

KUD Sawit Karya Makmur				x	
KUD Sawit Tanduk Perkasa					x

Tentative Date of Next Visit: September 4, 2017 - September 9, 2017

Total No. of Mandays: 27

BSI Assessment Team:

Pratama Sedayu – Auditor (Lead Auditor)

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

Nanang Muallib – Team Member

He holds a Bachelor degree in Forestry Technology from Bogor Agriculture University, 1999. He has 4 years experience worked in the Forest plantation company in Indonesia, and has experiences involves in the several RSPO certification audits as team member. He has attended the 5 days RSPO P&C Certification System Assessment Training held by PT Mutuagung Lestari on 2009 as well as 5 days ISO 9001 auditor training on 2009. He has been approved as an HCV Assessor under RSPO Scheme. He has been involved in many assessment related to the Forestry and Sustainable oil palm certification in Indonesia. He has experienced involves in RSPO certification assessments more than 15 different oil palm organizations (including mills and estates) in Indonesia. He is also familiar with RSPO P&C Certification assessment and qualified as audit team member. During this assessment, he assessed on the aspect of Legal, HCV identification and management, and also social community engagement and stakeholder consultation as well as smallholder audits.

Imam Fakhrurozi – Team Member

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

Mujinius Jalaraya – Provisional Auditor

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

system. During work at SAI Global and PT. BSI Group Indonesia he has had experience for audit ISO 9001: 2008 in various industries and services company, audit RSP0 and ISPO in palm oil mill and plantation companies.

Accompanying Persons: Nil

Section 3: Assessment Findings

3.1 Details of audit results

This assessment has been assessed using the following RSP0 normative requirements. The assessment details are provided in Appendix A.

- PT. Inti Indosawit Subur's Time Bound Plan
- RSP0 Group Certification Standard 2016 Checklist
- RSP0 P&C for Smallholders TH-WG 2012 Checklist
- RSP0 P&C GN-NIWG 2010 Checklist
- RSP0 P&C INA-NIWG 2016 Checklist
- RSP0 P&C PNG-NIWG 2016 Checklist
- RSP0 P&C SI-NIWG 2010 Checklist
- RSP0 P&C MY-NIWG 2014 Checklist
- RSP0 P&C TH-WG 2011 Checklist
- RSP0 Supply Chain Certification Checklist November 2014
- RSP0 P&C 2013 Generic Checklist

3.2 Progress against Time Bound Plan

Time Bound Plan		
Requirement	Remarks	Compliance
Summary of the Time Bound Plan		
Does the plan include all subsidiaries, estates and mills?	PT. Inti Indosawit Subur has explained the certification plan for all of its subsidiaries; indicating all palm oil mills, company-owned estates and scheme smallholder as the supply base.	Comply
Is the time bound plan challenging? <ul style="list-style-type: none"> • Age of plantations. • Location. • POM development • Infrastructure. • Compliance with applicable law. 	The time bound plan was found to be challenging. PT. Inti Indosawit Subur demonstrate progress from time to time. The age of plantation was generally mature. All of plantation has been incorporated with palm oil mill to process the FFB produced. The location of plantation was covering three provinces in Sumatera Utara Province, Riau	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

	Province and Jambi Province – Indonesia.	
Have there been any changes since the last audit? Are they justified?	No changes.	Comply
If there have been changes, what circumstances have occurred?	No changes.	Comply
Have there been any stakeholder comments?	Yes, there was a report related to company's supply chain. Company has released official response. BSI was notified and provided response to this matter. BSI has also provided response to this matter.	Comply
Have there been any newly acquired subsidiaries?	There are no newly acquired subsidiaries.	Comply
Have there been any isolated lapses in implementation of the plan?	No isolated lapses. Company managed to demonstrate commitment to certify all of palm oil mill and supply base.	Comply
Un-Certified Units or Holdings		
Did the company conduct an internal audit? If so, has a positive assurance statement been produced?	Yes. PT. Inti Indosawit Subur, as parent company has conducted internal audit to all of its subsidiary.	Comply
No replacement after dates defined in NIs Criterion 7.3: • Primary forest. • Any area identified as containing High Conservation Values (HCVs). • Any area required to maintain or enhance HCVs in accordance with RSPO criterion 7.3.	In area where BSI conducted audit, there are no replacement/conversion of primary forest after November 2005.	Comply
Any new plantings since January 1 st 2010 must comply with the RSPO New Plantings Procedure.	There is no new planting after January 1 st , 2010.	Comply
Any Land conflicts are being resolved through a mutually agreed process, e.g. RSPO Grievance procedure or Dispute Settlement Facility, in accordance with RSPO criteria 6.4, 7.5 and 7.6.	No more land compensation.	Comply
Any Labor disputes are being resolved through a mutually agreed process, in accordance with RSPO criterion 6.3.	No labor dispute noted. This was based on stakeholder interview with worker union in each company. In addition, audit team found the same based on stakeholder interview with "Dinas Tenaga Kerja" on each regency audited.	Comply

**RSPO Public Summary Report
Revision 4 (November /2016)**

Did the company conduct an internal audit? If so, has a positive assurance statement been produced?	Yes. PT. Rigunas Agri Utama – Bungo Tebo POM conducted internal audit.	Comply
Any Legal non- compliance is being resolved in accordance with the legal requirements, with reference to RSPO criteria 2.1 and 2.2.	Based on stakeholder consultation, audit team noted no non-compliance. For the company, PT. Rigunas Agri Utama – Bungo Tebo has obtained the land title.	Comply

3.3 Details of findings

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

During the Certification Assessment there were nineteen (19) Major & three (3) Minor nonconformities raised. The PT. Rigunas Agri Utama – Bungo Tebo POM Certification unit submitted Corrective Action Plans for the nonconformity. Corrective action plans with respect to the nonconformity was reviewed by the BSI audit team and accepted.

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

Non-Conformity		
NCR #1	Description	Category (Major / Minor)
1378035M1	<p>Requirements: RSPO P&C Generic 2013 Indicator 1.1.2 Records of requests for information and responses shall be maintained.</p> <p>Evidence of Nonconformity: PT. Rigunas Agri Utama: Information inquiry – “Surat Permintaan Laporan Tahunan Dinas Perkebunan Kabupaten Tebo No.525/15/Disbun/2015” dated 01/08/2016. The information request from the plantation service consist of legal aspect, plantation performance, corporate social responsibility performance, problem/issue matrix. The letter received by company on 02/14/2016. Company reponded by preparing the data on 01/11/2016. Subsequently company send it through letter “Laporan Perkembangan Kegiatan Usaha Perkebunan PT. RAU periode Juli-Desember 2015 No.EST-KBT/11/2016” dated 02/23/2016.</p> <p>KUD Sumay Jaya: Information request and response within KUD Sumay Jaya available under “Logbook Permintaan/Tanggapan Permintaan Informasi KUD Sumay Jaya”. 4 information request started to be recorded since January 2016, without information of when was the response provided upon those request.</p> <p>KUD Sawit Makmur: Cooperative received all information request and response in “Logbook Permintaan Informasi/Permintaan Tanggapan”, started from January 2016 received 17 inquiries from village, company and smallholder member. From the</p>	Major NC

	<p>record, only 7 information requests provided with responses.</p> <p>Statement of Nonconformity: Lack of evidence responses upon information request provided in appropriate manner by company and smallholder: - Company response upon information request, was more than 14 working days since the information received/recorded; this was not consistent with company procedure "Standard Operating Procedure Penanganan Permintaan Informasi Stakeholder No.SOP AA-GL-5008.1-R1" effective date 22/08/2011. - Scheme smallholder's response upon information request does not indicated when was the response being provided.</p> <p>Corrective Actions</p> <ol style="list-style-type: none"> 1. PT. Rigunas Agri Utama has shown the monitoring of stakeholders report in 2016 (nucleus, mill and smallholders) to relevant stakeholders (government, NGO, KUD/smallholder cooperative, farmer), such as: <ol style="list-style-type: none"> a. Report of RKL-RPL; frequency twice a year (January and July); b. Report of land application; frequency every three months; c. Report of business development (LPUP); frequency six months. Last LPUP conducted on July 22, 2016, reported to "Badan Lingkungan Hidup Daerah/BLHD" Tebo, BLHD Jambi. <p>Based on document of "Log Book of information request and response, year 2016, there was a request for information requested by BLHD on August 27, 2016 related to Data of ozone depleting substances. Responded, and the report has been sent on same date September 2, 2016.</p> <p>In the future, public relation officer will monitor the stakeholder report on regular basis, based on stamped incoming letter to improve traceability.</p> 2. KUD's has updated the document of information request and response, available under "Logbook Permintaan/Tanggapan Permintaan Informasi", such as: <ol style="list-style-type: none"> a. KUD Sumay Jaya; there are 5 requests for information in 2016, and all of information has been addressed i.e: <ul style="list-style-type: none"> - On June 9, 2016, request information related to questions outside the FFB price higher than the price of plasma; Responded on June 2016, that the price of FFB plasma in accordance with price determined by DISBUN. - On August 12, 2016; the request of splash of road, responded on August 14, 2016 that it will be discussed with the cooperative management. b. KUD Sawit Makmur; there are 17 requests for information in 2016, and all of information has been addressed i.e: <ul style="list-style-type: none"> - On October 19, 2016, the request related to postpone of "financial closing" due to the rainy season; responded on October 2016; response provided: the "financial closing" date remained on October 20, 2016. Additional transport unit will be delivered. - On 25 October 2016, request related to providing the delivery order (DO) to transport of FFB; responded on October 25, 2016; response: the Delivery Order will be provided by KUD. - Status of each information request has been updated. <p>As corrective action, KUD/cooperative chairman will monitor the "Logbook permintaan dan tanggapan informasi KUD". "Humas KUD" will completing the</p> 	
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RSPO Public Summary Report
Revision 4 (November /2016)

	logbook information to improve traceability. Logbook has been updated.	
	<p>Assessment Conclusion: This Major NC was closed on 21st November 2016. Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. reports for government stakeholders and response to information inquiries; updated “Logbook Permintaan/Tanggapan Permintaan Informasi” for cooperative/KUD; furthermore audit team review the monitoring of incoming and outgoing information as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
Non-Conformity		
NCR #2	Description	Category (Major / Minor)
1378035M2	<p>Requirements: RSPO P&C Generic 2013 Indicator 1.2.1 Publicly available documents shall include, but are not necessarily limited to:</p> <ul style="list-style-type: none"> • Land titles/user rights (Criterion 2.2); • Occupational health and safety plans (Criterion 4.7); • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); • HCV documentation (Criteria 5.2 and 7.3); • Pollution prevention and reduction plans (Criterion 5.6); • Details of complaints and grievances (Criterion 6.3); • Negotiation procedures (Criterion 6.4); • Continual improvement plans (Criterion 8.1); • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13). <p>Evidence of Nonconformity: In smallholder operation, KUD Sumay Jaya and KUD Sawit Makmur, publicly available documents available under “Daftar Dokumen dan Informasi untuk Diakses Publik Koperasi Unit Desa Plasma Bungo Tebo” dated 07/20/2016. However, the list was not including: Pollution prevention and reduction plans (Criterion 5.6); Details of complaints and grievances (Criterion 6.3); Negotiation procedures (Criterion 6.4); Continual improvement plans (Criterion 8.1).</p> <p>Statement of Nonconformity: Pollution prevention and reduction plans (Criterion 5.6); Details of complaints and grievances (Criterion 6.3); Negotiation procedures (Criterion 6.4); Continual improvement plans (Criterion 8.1) was not part of publicly available document in smallholder operation, KUD Sumay Jaya and KUD Sawit Makmur; This is not comply against RSPO standard 1.2.1.</p> <p>Corrective Actions: KUD Sumay Jaya and KUD Sawit Makmur have shown the list of publicly available documents in “List Dokumen dan Informasi untuk Di Akses Publik”, such as:</p> <ol style="list-style-type: none"> 1. AMDAL; available to government, NGOs, union 2. Report of RKL-RPL; available to government, farmer, NGOs and union 3. Sosial Impact Assessment; available to government, farmer, NGOs and union 4. Identification and sources of emissions prevention available to government, 	Major NC

	<p>farmer, NGOs and union (5.6) 5. Log Book of Complaint (6.3) 6. Mechanisms for Handling Complaints and Conflict in Plasma (6.4) 7. Communication Mechanism, Konsultasidan Complaints (6.4) 8. Continuous Improvement Program (8.1) As a corrective action, KUD chairmans will create a list of accesible document, communicating the list of document as well as relevant RSPO Principle and Criteria to all smallholder farmer. Sustainability team and smallholder manager of PT. Rigunas Agri Utama will involving cooperative/KUD in preparing RKL-RPL report every 6-monthly.</p> <p>Assessment Conclusion: This Major NC was closed on November 21, 2016. Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. updated list of accesible document, dated 10th October 2016; Audit team seen record of RSPO P&C communications; furthermore audit team review the planning for RKL-RPL report preparation with KUDs as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
Non-Conformity		
NCR #3	Description	Category (Major / Minor)
1378035M3	<p>Requirements: RSPO P&C Generic 2013 Indicator 2.1.1 Evidence of compliance with relevant legal requirements shall be available.</p> <p>Evidence of Nonconformity: - PT. Rigunas Agri Utama was not able to demonstrate environmental permit - "Izin Lingkungan" upon kernel crushing plant operation, as regulated under "Undang-undang No.32 tahun 2009 tentang Perlindungan dan Pengelolaan Lingkungan". - Based on document review, it was known that in smallholder organization, in KUD Sawit Makmur the "Tanda Daftar Perusahaan" and "Surat Izin Usaha Perdagangan" was expired since May 2015.</p> <p>Statement of Nonconformity: Non-compliance against relevant legal requirements identified in company and smallholder operation.</p> <p>Corrective Actions: 1. The "Badan Lingkungan Hiduo Provinsi Jambi" has issued "Surat Keputusan No.1071.1/R/BLHD-2.1/XI/2016 tentang Rekomendasi Hasil Penilaian Akhir Addendum Dokumen ANDAL dan RKL-RPL Rencana Kegiatan Pembangunan Kernel Crushing Plant (KCP) dengan Kapasitas 200 ton/hari, Pembangunan Pembangkit Listrik Tenaga Biogas (PLTBG) yang Menghasilkan Tenaga Listrik Sebesar 3 MW dan Replanting dengan Rencana Luas Lahan 2,506 Ha di Kecamatan Sumay dan Kecamatan Serai Serumpun Kabupaten Tebo Provinsi Jambi oleh PT. Rigunas Agri Utama", signed by Kepala Badan Lingkungan Hidup on 28th November 2016. The permit for KCP has been approved. 2. The "Badan Lingkungan Hiduo Provinsi Jambi" has issued "Surat Keputusan No.1071.2/ BLHD-2.1/XI/2016 tentang Penerbitan SK Kelayakan Lingkungan Hidup dan Izin Lingkungan atas nama PT. Rigunas Agri Utama", signed by</p>	Major NC

	<p>Kepala Badan Lingkungan Hidup on 28th November 2016. The company has been granted with "Surat Keputusan Kelayakan Lingkungan".</p> <p>As a corrective action, company is working closely with "Tim Penyusun AMDAL", Badan Lingkungan Hidup Kabupaten Tebo and Badan Lingkungan Hidup Provinsi Jambi. Legal document verification on 3-monthly basis with involvement of Environmental manager, GM PT. Rigunas Agri Utama, Manager Bungo Tebo POM, SSL team, sustainability team.</p> <p>3. KUD Sawit Makmur has shown the document of "Tanda Terdaftar Perusahaan" issued by Kantor Penanaman Modal Daerah dan Pelayanan Perizinan Terpadu Kabupaten Tebo No.05.08.5.52.0050J, on November 17, 2016; valid until November 17, 2021. KUD Sawit Makmur also has shown the document of "Surat Izin Usaha Perdagangan" issued by Kantor Penanaman Modal Daerah dan Pelayanan Perizinan Terpadu Kabupaten Tebo No.510/297/SIUP/KPMD-PPT/2016, on November 17, 2016; on Permission to undertake business activities in the entire territory of the republic of Indonesia for the company is still in the operations and shall be re-registered every 5 (five) years. Valid until November 17, 2021. The evaluation stated "Comply";</p> <p>As a corrective action, PT. Rigunas Agri Utama will help cooperative/KUD chairman to verification of license and permit for cooperatives on 3-monthly basis.</p>	
<p>Assessment Conclusion: This Major NC was closed on 17th January 2017.</p> <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. environmental permit, dated 28th November 2016; New "Surat Izin Usaha Perdagangan" for KUD; PT. Rigunas Agri Utama has updated the "Dokumen Kepatuhan Hukum" dated 1st October 2016; furthermore audit team review the planning for legal document verification with KUDs as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 17th January 2017.</p>		
Non-Conformity		
NCR #4	Description	Category (Major / Minor)
1378035M4	<p>Requirements: RSPO P&C Generic 2013 Indicator 2.1.2 A documented system, which includes written information on legal requirements, shall be maintained.</p> <p>Evidence of Nonconformity: Based on document verification against "Dokumen evaluasi kepatuhan hukum PT. Rigunas Agri Utama 2015 and 2016" shows company has not evaluated "Peraturan Gubernur Jambi No.84 tahun 1996 tentang Baku Mutu Limbah Cair dan Emisi Udara".</p> <p>Statement of Nonconformity: This Major NC was escalated from Minor NC. A documented system and list of legal requirements is available, however the list was found to be incomplete.</p> <p>Corrective Actions: "Peraturan Gubernur Jambi No.84 tahun 1996 tentang Baku Mutu Limbah Cair dan Emisi Udara" has been replace with "Peraturan Gubernur Jambi Nomor 20</p>	Major NC

RSPO Public Summary Report
Revision 4 (November /2016)

	<p>Tahun 2007 tentang Baku Mutu Lingkungan Daerah Propinsi Jambi”, As in chapter 14. PT RAU has updated the “Dokumen Kepatuhan Hukum” dated October 1, 2016, such as by added “Peraturan Gubernur Jambi Nomor 20 Tahun 2007 tentang Baku Mutu Lingkungan Daerah Propinsi Jambi”. The result of evaluation is “compliance”, the document provided in “Surface Water Quality Monitoring Report”.</p> <p>As a corrective action, legal compliance verification whenever new regulation was issued by public relation officer.</p> <p>Evidence seen:</p> <ul style="list-style-type: none"> - Surface Water Quality Monitoring; conducted on 10-18 June 2016; location in Bungo Tebo POM; type of sample: Surface water; sample identification of headwaters-downstream in Pemuatan river, Lalo river and Belangkai river. Sample was drawn by PT Sucofindo Indonesia. - “Berita Acara Pengambilan dan Pengerjaan Contoh” No: 200/03/60/337, dated October 20, 2016, conducted by Sucofindo, 	
Assessment Conclusion:		
This Major NC was closed on 21st November 2016.		
<p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. environmental permit, dated 28th November 2016; PT. Rigunas Agri Utama has updated the “Dokumen Kepatuhan Hukum” dated 1st October 2016; furthermore audit team review the planning for legal document verification as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>		
Non-Conformity		
NCR #5	Description	Category (Major / Minor)
1378035M5	<p>Requirements: RSPO P&C Generic 2013 Indicator 2.1.3 A mechanism for ensuring compliance shall be implemented.</p> <p>Evidence of Nonconformity: Based on verification upon “Evaluasi Kepatuhan Peraturan tahun 2016” shows company has not evaluated kernel crushing plant operation, with regards to the environmental permit.</p> <p>In addition:</p> <ul style="list-style-type: none"> - Based on verification upon smallholder organization “Evaluasi Kepatuhan KUD Sawit Makmur” shows “Tanda Daftar Perusahaan” and “Surat Izin Usaha Perdagangan” has expired since May 2015 – while the evaluation stated “Comply”; - Based on verification upon smallholder organization “Evaluasi Kepatuhan KUD Sumay Jaya” shows “Peraturan Gubernur Riau tentang Upah Minimum” as reference for minimum wage, and evaluated as “comply”; - Based on verification upon smallholder organization “Evaluasi Kepatuhan KUD Tanjung Aur Duri” shows organization has not hold valid permits for “Tanda Daftar Perusahaan”, “Surat Izin Usaha Perdagangan”, “Surat Izin Tempat Usaha” - as required by Undang-undang No.3 Tahun 1982; Regulation on “Peraturan 	Major NC

	<p>Pemerintah No.7 Tahun 1999 tentang Pengawetan Jenis Tumbuhan dan Satwa" evaluated as Comply, but no evidence provided.</p> <p>Statement of Nonconformity: This Major NC was escalated from Minor NC. Company mechanism for ensuring compliance to relevant regulation was not effective.</p> <p>Corrective Actions: Based on review the last updated document of "Evaluasi Kepatuhan Peraturan tahun 2016", it has been shown that PT RAU has evaluated kernel crushing plant operation, with regards to the environmental permit. PT. Rigunas Agri Utama has updated the "Dokumen Kepatuhan Hukum" dated 1st October 2016The evaluation stated "not yet comply". It has been updated further. As a corrective action, legal compliance verification whenever new regulation was issued by public relation officer.</p> <p>KUDs have updated the "Dokumen Evaluasi Kepatuhan Hukum", such as: KUD Sawit Makmur updated on October 10, 2016; KUD Sumay Jaya updated on October 7, 2016; and KUD Tanjung Aur Duri updated on October 10, 2016, in detail as follows:</p> <ul style="list-style-type: none"> - KUD Sawit Makmur has shown the document of "Tanda Terdaftar Perusahaan" issued by Kantor Penanaman Modal Daerah dan Pelayanan Perizinan Terpadu Kabupaten Tebo no 05.08.5.52.0050J, on November 17, 2016; valid until November 17, 2021. KUD Sawit Makmur has shown the document of "Surat Izin Usaha Perdagangan" issued by Kantor Penanaman Modal Daerah dan Pelayanan Perizinan Terpadu Kabupaten Tebo no 510/297/SIUP/KPMD-PPT/2016, on November 17, 2016; on Permission to undertake business activities in the entire territory of the republic of Indonesia for the company is still in the operations and shall be re-registered every 5 (five) years. Valid until November 17, 2021. The evaluation stated "Comply"; - KUD Sumai Jay has referred to "Surat Keputusan Gubernur Jambi No.460/KEP.GUB/DINSOSNAKERTRANS/2015 tentang Upah Minimum Propinsi Jambi Tahun 2016, as reference for minimum wage. The evaluated status as "comply"; - KUD Tanjung Aur Duri has demonstrated the document of "Evaluasi Kepatuhan Hukum", the evaluated status of permit for "Tanda Daftar Perusahaan", "Surat Izin Usaha Perdagangan", "Surat Izin Tempat Usaha" - as required by Undang-undang No.3 Tahun 1982; the evaluation status as "not yet- comply". And the evaluation to "Peraturan Pemerintah No.7 Tahun 1999 tentang Pengawetan Jenis Tumbuhan dan Satwa", status evaluationn is comply. As in document of "Laporan Akhir Identifikasi Keberadaan Nilai Konservasi Tinggi (NKT) tahun 2014", in appendix 7 on the Letter of Agreement between PT. RAU, community and KUD on the protection of wildlife around company and smallholders area. (SP1, SP2, SP5, SP6 and SP7). The evaluation status as "comply" <p>As a corrective action, PT. Rigunas Agri Utama will help cooperative/KUD chairman to verification of list of regulation for cooperatives on 3-monthly basis.</p> <p>Assessment Conclusion: Major NC was closed on 21st November 2016. Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the</p>	
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RSPO Public Summary Report
Revision 4 (November /2016)

	company, i.e. environmental permit, dated 28 th November 2016; for KUDs, they have updated the permit and list of legal documents; PT. Rigunas Agri Utama has updated the “Dokumen Kepatuhan Hukum” dated 1 st October 2016; furthermore audit team review the planning for legal document verification with KUDs as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21 st November 2016.	
Non-Conformity		
NCR #6	Description	Category (Major / Minor)
1378035M6	<p>Requirements: RSPO P&C Generic 2013 Indicator 2.2.2 Legal boundaries shall be clearly demarcated and visibly maintained.</p> <p>Evidence of Nonconformity: Company cannot demonstrate all HGU boundaries as written in HGU map was available on the field. For instance, from map indicated 34 boundary pegs in HGU for Bukit Harapan area – only identified 4 boundary pegs; from map indicated 34 boundary pegs in HGU for Bukit Lalo area – only identified 6 boundary pegs found and identified on the field.</p> <p>In addition, based on field verification in sampled smallholder, shows that: Discrepancy between map of “Kelompok Tani/Hamparan” and actual field condition. For instance Map of KUD Sumay Jaya, Kelompok Tani 27 – boundary and location of smallholder blocks on the field was differ from smallholder block map;</p> <p>Statement of Nonconformity: This Major NC was escalated from Minor NC. Company and smallholder organization has not monitored the boundary poles to be clearly demarcated and visibly maintained.</p> <p>Corrective Actions: PT. Rigunas Agri Utama has demonstrated the HGU boundaries Map under “Peta Pemasangan HGU PT. Riguanas Agri Utama” with scale 1:83,742. Based on field visit, 4 boundary pegs in HGU Bukit Harapan area has been seen preserved and identified. Such as in boundary peg no 6 in HGU Bukit Harapan are available. The boundary and location of smallholder blocks on the field was same with smallholder block map; As a corrective action, company has prepared the “Rencana Pemasangan Patok HGU” with due date on December 2016. This include installation of HGU boundary poles in accordance to HGU maps of “Bukit Harapan area” and “Sungai Lalo area” by March 2017.</p> <p>KUD Sumay Jaya has provided a map based on the survey data coordinates in “Kelompok Tani/hamparan 27”. Boundary peg for KT 2002 in “Hamparan 27” of KUD Sumay Jaya are available. The boundary and location of smallholder blocks on the field was same with smallholder block map. As a corrective action, company has prepared the “Rencana Pemasangan Patok HGU” and re-identification for scheme smallholder area map (from company) and farmer group map (from smallholders) including GPS point tracking.</p>	Major NC

	<p>Assessment Conclusion: Major NC was closed on 21st November 2016. Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e.: HGU boundaries Map under “Peta Pemasangan HGU PT. Riguanas Agri Utama” with scale 1:83,742; boundary pegs identification – preserved and visibly maintained; for KUDs, they have located the boundary pegs based on map re-identification; furthermore audit team review the planning for re-identification and planning for re-installation of oundary pegs. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
Non-Conformity		
NCR #7	Description	Category (Major / Minor)
1378035M7	<p>Requirements: RSPO P&C Generic 2013 Indicator 2.3.1 Maps of an appropriate scale showing the extent of recognized legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighbouring communities where applicable, and relevant authorities).</p> <p>Evidence of Nonconformity: Based on land title/HGU document verification against Bungo Tebo Estate plantation’s hectare statement; shows approximately 715 Ha of land title/HGU was not completely planted by company. Company has not been able to demonstrate information of legal right/customary right/user right upon land proportion on which company cannot control.</p> <p>Statement of Nonconformity: Company cannot demonstrate a map/information showing recognized legal right/customary right/user right from participatory mapping to identify area of approximately 715 Ha in Bungo Tebo Estate, under its land title/HGU on which company cannot control.</p> <p>Corrective Actions: The corrective action prepared by company is to identify the occupants on area of 715 Ha cannot control by company. Company through the public relation officer conduct discussion to identify the occupants gradually. PT. Riguanas Agri Utama has demonstrated the map of identification the land title/HGU on which company cannot control. The map shows approximately 715 Ha; with details of distribution: 272 Ha was occupied by Rambahan community; 82 Ha was occupied by Tanjung Dani community; another 35 Ha was occupied by Tanjung Dani community; 262 Ha was occupied by Tuo Sumay and Teriti community; 36 Ha was occupied by Tuo Sumay community; 27 Ha was occupied by Sungai Rambai community; and 2 Ha was occupied by Tuo Sumay community.</p> <p>Assessment Conclusion: Major NC was closed on 21st November 2016. Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e.: identification plan, map of occupied area and list of occupants. Furthermore audit team review that company does not intended to re-possess the land. Audit team concluded that the correction, corrective action and</p>	Major NC

**RSPO Public Summary Report
Revision 4 (November /2016)**

	evidences are sufficient. NC Major closed on 21 st November 2016.	
Non-Conformity		
NCR #8	Description	Category (Major / Minor)
1378035M8	<p>Requirements: RSPO P&C Generic 2013 Indicator 4.6.5 Pesticides shall only be handled, used or applied by persons who have completed the necessary training and shall always be applied in accordance with the product label. Appropriate safety and application equipment shall be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7).</p> <p>Evidence of Nonconformity: Based on field visit to smallholder plantation KUD Sumber Usaha (No.3378, 3379); KUD Sawit Makmur (864); KUD Sumay Jaya (2197) audit team found evidence of blanket spraying. Further interview with smallholder and workers onsite: training on safe use of pesticide has not been provided, no protective equipment was used during spraying work.</p> <p>Statement of Nonconformity: Lack of evidence that 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; in addition, appropriate safety and application equipment was not used in smallholder plantation.</p> <p>Corrective Actions: Smallholder cooperatives in KUD's have issued Memorandum on appeal that the application of pesticides to be carried out by spraying team (Tim Unit Semprot/TUS) of PT. Rigunas Agri Utama. The memorandum has been socialized and communicated to members of KUD, as well as information boards placed in KUD. Evidence taken: <ul style="list-style-type: none"> - KUD Sumber Usaha No: 10/KUD-SU/MEMO/10/16 dated November 20, 2016; - KUD Sawit Makmur No: 12/KUD-SU/MEMO/10/16 dated November 20, 2016;; - KUD Sumay Jaya No: 1/KUD-SU/MEMO/10/16, dated November 20, 2016; In addition, cooperative/KUD prepared posters to stop blanket spraying in all area of scheme smallholder plantation.</p> <p>Assessment Conclusion: Major NC was closed on 21st November 21, 2016 Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e.: plan to communicate the danger of blanket spraying; issuance of memorandum to stop blanket spraying. Furthermore audit team review that company conducted monitoring in line with harvesting quality inspection. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	Major NC
Non-Conformity		
NCR #9	Description	Category (Major / Minor)

<p>1378035M9</p>	<p>Requirements: RSPO P&C Generic 2013 Indicator 4.7.1 A health and safety policy shall be in place. A health and safety plan covering all activities shall be documented and implemented, and its effectiveness monitored.</p> <p>Evidence of Nonconformity: Based on visit to Bungo Tebo POM, audit team found: - Housekeeping practices was poor in Bungo Tebo POM: scattered scrap metal found all over palm oil mill premise, leaking steam/condensate pipes found on several location; - Absence of control and monitoring regarding unsafe condition: scattered scrap metal found all over palm oil mill premises, working equipment was not attended, welding machines found in operation – but not attended by operator, leaking steam/condensate pipes found on several location, cable straying all over the sterilizer’s control panel bridge, cable connection was not appropriate, absence of protection for moving parts in POME’s pump; - No safe walk ways present in mill premise; - Lack of monitoring on protective equipment condition; Protective equipment for engine room operator found in poor condition;</p> <p>Statement of Nonconformity: Bungo Tebo POM was not able to demonstrate that the workplace, machinery, equipment, and processes under their control are safe and without undue risk to health; this was not comply with company policy and RSPO requirements on health and safety.</p> <p>Corrective Actions: The corrective action plan covers activities such as; create mill cleanliness monitoring form; to prepare a system for repair request in work order book – in real time; to create job safety analysis for major work; to conduct dissemination to workers in order to improve work condition; re-communicating the emergency response plan; to monitor the personal protective equipment replacement and its mechanism. Bungo Tebo POM has demonstrated that the workplace, machinery, equipment, and processes under their control are safe and without undue risk to health; Bungo Tebo POM has been implementing improvements, such as: 1. Reposition existing cable on the platform; 2. Replaced the worn out PPE for engine room operator; 3. Repair steam pipe, so the pipe stew nothing is leaking; 4. Repairs to leaking condensate pipe; 5. Improved protection sewage pump pulley; 6. Lay out for evacuation/emergency in Bungo Tebo POM, Evidence taken: Document of reposition the existing cable on the platform (before – after), PPE hand over record for engine room operator, and base on visit in area Bungo Tebo POM. Monitoring on PPE condition and replacement; monitoring on mill work condition.</p> <p>Assessment Conclusion: Major NC was closed on November 21, 2016. Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. mill cleanliness monitoring form; to prepare a system for repair request in work order book – in real time; to create job safety analysis for major work; to conduct dissemination to workers in order to improve work condition;</p>	<p>Major NC</p>
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RSPO Public Summary Report
Revision 4 (November /2016)

	re-communicating the emergency response plan; to monitor the personal protective equipment replacement and its mechanism; furthermore audit team review the monitoring records as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21 st November 2016.	
Non-Conformity		
NCR #10	Description	Category (Major / Minor)
1378035M10	<p>Requirements: RSPO P&C Generic 2013 Indicator 4.7.2 All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers.</p> <p>Evidence of Nonconformity: Based on review upon risk assessment: Bungo Tebo Estate has prepared the Hazard Identification Risk Assessment and Control 2016, related to working activity, latest review January 2016. However, risk assessment has not identified activity on pump house.</p> <p>KUD Sawit Makmur: Risk assessment prepared for smallholder operation under "Prosedur Kesehatan dan Keselamatan Kerja", in smallholder operation has not identified hazard such as poor road condition, steep slope, wildlife conflict (elephant, monkey, etc.), harvesting near electric poles, electric fence for elephant, and other hazardous field condition in preparing risk assessment.</p> <p>Statement of Nonconformity: Inadequate risk and hazard identification related to estate and smallholder operation; this was not comply with the requirement whereby 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.</p> <p>Corrective Actions: PT. Rigunas Agri Utama planned to assigned "Ahli K3 Umum" to review the risk assessment on monthly basis, during P2K3 meeting. Company has shown the "Hazard Identification Risk Assessment and Control 2016", updated on 26th September 2016. The risk and hazard identification related to estate and smallholder operation, with additional the identified activity on pump house.</p> <p>PT. Rigunas Agri Utama assisted cooperative/KUDs to prepared risk assessment to include hazard from poor road condition, steep slope, wildlife conflict, etc. KUDs have prepared risk assessment under "Prosedur Kesehatan dan Keselamatan Kerja", up dated on 10th October 2016; related to identified hazard such as poor road condition, steep slope, wildlife conflict (elephant, monkey, etc.), harvesting near electric poles and electric fence for elephant. The risk assessment will be monitor and review whenever changes occur.</p> <p>Assessment Conclusion: Major NC was closed on 21st November 2016. Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. review the risk assessment on monthly basis (for company) and</p>	Major NC

**RSPO Public Summary Report
Revision 4 (November /2016)**

	once a year (for cooperative smallholder); furthermore audit team review the risk assessment and review records as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21 st November 2016.	
Non-Conformity		
NCR #11	Description	Category (Major / Minor)
1378035M11	<p>Requirements: RSPO P&C Generic 2013 Indicator 4.7.3 All workers involved in the operation shall be adequately trained in safe working practices (see Criterion 4.8). Adequate and appropriate protective equipment shall be available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, harvesting and, if it is used, burning.</p> <p>Evidence of Nonconformity: Based on field visit and interview with workers, audit team found that workers was not using protective equipment on work area with high risk: Pump house operator in Bukit Harapan housing compound was not using hearing protection and safety shoes (worked 10 years); Hearing protection for engine room operator in Bungo Tebo POM found to be in poor condition and therefore poor noise reduction ability;</p> <p>Statement of Nonconformity: Not all worker in Bungo Tebo Estate and Bungo Tebo POM exposed to high risk working area/hazardous operation was provided with adequate and appropriate protective equipment.</p> <p>Corrective Actions: PT. Rigunas Agri Utama planned to assigned "Ahli K3 Umum" to review the risk assessment on monthly basis, during P2K3 meeting. Company has shown the "Hazard Identification Risk Assessment and Control 2016", updated on 26th September 2016. The risk and hazard identification related to estate and smallholder operation, with additional the identified activity on pump house. PT. Rigunas Agri Utama has provided the PPE for Pump house operator in Bukit Harapan housing and engine room operator in Bungo Tebo POM. In addition, company planned to monitor the personal protective equipment replacement and its mechanism. Evidence taken:</p> <ul style="list-style-type: none"> - Record of hand over the hearing protection and safety shoes for Pump house operator, on October 29, 2016. - Record of hand over the hearing protection (ear muff) for engine room operator, on November 1 2016. - Monitoring on PPE condition/replacement month November 2016. <p>Assessment Conclusion: Major NC was closed on 21st November 2016. Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. review the risk assessment on monthly basis (for company); to provide appropriate protective equipment in line with risk assessment and work condition; to monitor the personal protective equipment replacement and its mechanism; furthermore audit team review the monitoring records as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	Major NC

Non-Conformity		
NCR #12	Description	Category (Major / Minor)
1378035M12	<p>Requirements: RSPO P&C Generic 2013 Indicator 5.2.3 There shall be a programme to regularly educate the workforce about the status of these RTE species, and appropriate disciplinary measures shall be instigated in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species.</p> <p>Evidence of Nonconformity: Company has not been able to demonstrate evidence of program to regularly educate workforce related to management of RTE species, Sumatran elephant. Based on document review, company and smallholder organization does not have appropriate disciplinary measures in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species.</p> <p>In addition, in smallholder operation: Based on interview with smallholder organization and smallholder members in KUD Sumay Jaya and KUD Sawit Makmur shows no management plan for RTE species including training related to RTE management, human-RTE species conflict mitigation, lack of understanding of presence of HCV area or HCV attributes in the smallholder plantation area, absence of HCV map in smallholder organization.</p> <p>Statement of Nonconformity: This Major NC was escalated from Minor NC. Company was not able to demonstrates program to regularly educate workforce related to management of RTE species, furthermore company and smallholder organization does not have appropriate disciplinary measures in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species.</p> <p>Corrective Actions: The corrective action plan is to have RTE species protection guidelines, communicated and implemented by all interested parties. PT. Rigunas Agri Utama has demonstrated the program to regularly educate workforce related to management of RTE species. The company and smallholders are provided the billboards, which have provided information related to the protection of wildlife, especially Sumateraan Elefant. PT. Rigunas Agri Utama also have disciplinary measures in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species.</p> <p>KUD Sumay Jaya and KUD Sawit Makmur have shown management plan for RTE species including training related to RTE management, human-RTE species conflict mitigation, the program invites BKSDA, as keynote speaker.</p> <p>Assessment Conclusion: Major NC was closed on 21st November 21, 2016. Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. review the communicating the guidelines for protection of RTE</p>	Major NC

RSPO Public Summary Report
Revision 4 (November /2016)

	species; implementing the disciplinary measures for any violation; furthermore audit team review the monitoring records as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21 st November 2016.	
Non-Conformity		
NCR #13	Description	Category (Major / Minor)
1378035M13	<p>Requirements: RSPO P&C Generic 2013 Indicator 5.3.1 All waste products and sources of pollution shall be identified and documented.</p> <p>Evidence of Nonconformity: Smallholder organization has identified source of waste and source of pollution. However, smallholder organizations has not identified fertilizer bag and plastic sheet as source of waste product.</p> <p>Statement of Nonconformity: Smallholder organization has not identified all source of waste product.</p> <p>Corrective Actions: PT. Rigunas Agri Utam aassissted cooperative/KUDs to updated the source of pollution and emision identification. The plan including identification on number of fertilizer bag and its inner plastic sheet for re-use. KUDs have been identified and documented the fertilizer bag and plastic sheet as source of waste product. Evidence taken: <ul style="list-style-type: none"> - The record of "Hasil Identifikasi Sumber Polusi di Perkebunan Petani (Pencemaran dan Emisi)" of KUD Sumay Jaya; - The record of "Hasil Identifikasi Sumber Polusi di Perkebunan Petani (Pencemaran dan Emisi)" of KUD Sumber Usaha; - The record of "Hasil Identifikasi Sumber Polusi di Perkebunan Petani (Pencemaran dan Emisi)" of KUD Tanjung Aur Duri; - The record of "Hasil Identifikasi Sumber Polusi di Perkebunan Petani (Pencemaran dan Emisi)" of KUD Sawit Makmur; </p> <p>Assessment Conclusion: Major NC was closed on 21st November 2016. Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. update the source of pollution and emision identification; furthermore audit team review the re-use monitoring records as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	Major NC
Non-Conformity		
NCR #14	Description	Category (Major / Minor)
1378035M14	<p>Requirements: RSPO P&C Generic 2013 Indicator 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.</p>	Major NC

	<p>Evidence of Nonconformity: Based on document review upon “Pelaksanaan Izin Lingkungan Semester II tahun 2015 dan Semester I tahun 2016”, demonstrating company presented review related to social management; however company cannot demonstrated social management plan has been reviewed minimum 2 yearly and continuously update when necessary.</p> <p>Statement of Nonconformity: This Major NC was escalated from Minor NC. There is inadequate evidence that company has prepared a plan for social impact and be reviewed as minimum once every two years and updated as necessary.</p> <p>Corrective Actions: PT. Rigunas Agri Utama prepares plan to review “Rencana Kelola Sosial” on annual basis, led by public relation officer. Company has demonstrated the social management plan has been in the document of “Evaluasi dan Tinjauan Rencana Kelola Sosial Tahun 2015” and “Evaluasi Rencana Kelola Tahun 2016”. The Social Management Plan is reviewed by an annual basis.</p> <p>Assessment Conclusion: Major NC was closed on 21st November 2016. Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. prepare an annual social impact assessment review; The annual review led by public relation officer; furthermore audit team review the review records as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
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Non-Conformity

NCR #15	Description	Category (Major / Minor)
1378035M15	<p>Requirements: RSP0 P&C Generic 2013 Indicator 6.7.1 There shall be documentary evidence that minimum age requirements are met.</p> <p>Evidence of Nonconformity: Based on field visit to smallholder organization KUD Sawit Makmur, KT 120, audit team found and interviewed worker aged 14 years old performing loose fruit collection work on the field.</p> <p>Statement of Nonconformity: The use of worker under minimum age was found to be working in smallholder organization KUD Sawit Makmur; this was not consistent with policy on minimum age requirements.</p> <p>Corrective Actions: KUD Sawit Makmur has shown the statement letter that there would be no use of worker under minimum age (under 18 years old). The letter was signed by Mr. SL (harvester) on 20th October 2016. Furthermore, monitoring on child/underage worker in smallholder plantation was carried out with coordination with cooperative/KUD chairman regularly.</p> <p>Assessment Conclusion: Major NC was closed on 21st November 2016. Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed evidence such as statement letter;</p>	Major NC

RSPO Public Summary Report
Revision 4 (November /2016)

	furthermore audit team review the monitoring of under age worker by KUD chairman as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21 st November 2016.	
Non-Conformity		
NCR #16	Description	Category (Major / Minor)
1378035M16	<p>Requirements: RSPO P&C Generic 2013 Indicator 6.8.1 A publicly available equal opportunities policy including identification of relevant/affected groups in the local environment shall be documented.</p>	Major NC
	<p>Evidence of Nonconformity: In smallholder organization, audit team cannot found cooperatives have established document related to equal opportunity policy and anti-discrimination policy.</p>	
	<p>Statement of Nonconformity: Smallholder organization has not established a publicly available equal opportunities policy including identification of relevant/affected groups in the local environment.</p>	
	<p>Corrective Actions: Company planned to assisted cooperative/KUDs to have and understand policy on equal opportunity policy and anti-discrimination of worker policy. KUD's then issued "Kebijakan Koperasi" related to equal opportunity policy and anti-discrimination of workers. Evidence taken: The cooperative policy of KUD Tanjung Aur Duri, KUD Sawit Makmur, KUD Sumay Jaya and KUD Sumber Usaha, in point 7, mentioned: "Cooperative will treat all employees fairly and respecting human rights, as well as representation regardless of race, caste, country of origin, religion / belief, disability gender, sexual orientation, union membership, political affiliation or age". Furthermore, it has been communicated to smallholder farmer.</p>	
	<p>Assessment Conclusion: Major NC was closed on 21st November 2016. Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed the evidence: new policy related to equal opportunity policy and anti-discrimination of workers being implemented; furthermore audit team review the communication of the policies by KUD chairman as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
Non-Conformity		
NCR #17	Description	Category (Major / Minor)
1378035M17	<p>Requirements: RSPO P&C Generic 2013 Indicator 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.</p>	Major NC

	<p>Evidence of Nonconformity: Smallholder organization cannot demonstrate evidence of communication/dissemination of policy to prevent sexual and all other forms of harassment and violence to its smallholder member and worker in KUD Sawit Makmur; meanwhile in KUD Sumay Jaya communication of this policy was done partially, has not covered all smallholder members. During interview with smallholder member, their knowledge on the matter was limited.</p> <p>Statement of Nonconformity: Smallholder organization cannot demonstrate evidence of communication/dissemination of policy to prevent sexual and all other forms of harassment and violence to all of its smallholder member and worker in KUD Sawit Makmur and KUD Sumay Jaya.</p> <p>Corrective Actions: Company planned to assisted cooperative/KUDs to have and understand policy to prevent sexual and all other forms of harassment and violence. KUD's then issued "Kebijakan Koperasi" – cooperative policy related to policy to prevent sexual and all other forms of harassment and violence. KUDs have conducted socialization the Cooperative Policy to prevent sexual and all other forms of harassment and violence to all of its smallholder member and worker. Evidence taken: - KUD Sawit Makmur; on October 2016, attended by 40 members; on October 25, 2016 attended by 37 members; and on October 27 attended by 36 members. Attendance list and documentation are available. - KUD Sumay Jaya; on October 20, 2016 attended by 30 members and on October 24, 2016 attended by 35 members. Attendance list and documentation are available.</p> <p>Assessment Conclusion: Major NC was closed on 21st November 2016. Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed the evidence: policy to prevent sexual and all other forms of harassment and violence being implemented; furthermore audit team review the communication of the policies by KUD chairman as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
Non-Conformity		
NCR #18	Description	Category (Major / Minor)
1378035M18	<p>Requirements: RSPO P&C Generic 2013 Indicator 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.</p> <p>Evidence of Nonconformity: Smallholder organization cannot demonstrate evidence that policy to protect the reproductive rights of all, especially of women; has communication/dissemination to all of its smallholder member and worker in KUD Sawit Makmur; meanwhile in KUD Sumay Jaya communication of this policy was done partially, has not covered all smallholder members. During interview with smallholder member, understanding of protection on female reproductive rights was poor.</p>	Major NC

**RSPO Public Summary Report
Revision 4 (November /2016)**

	<p>Statement of Nonconformity: Smallholder organization cannot demonstrate evidence that policy to protect the reproductive rights of all, especially of women; has communication/dissemination to all of its smallholder member and worker in KUD Sawit Makmur and KUD Sumay Jaya.</p> <p>Corrective Actions: Company planned to assisted cooperative/KUDs to have and understand policy to protect the reproductive rights of all, especially of women. KUD's then issued "Kebijakan Koperasi" – cooperative policy related to policy to protect the reproductive rights of all, especially of women. KUDs have conducted socialization the Cooperative Policy related to protect the reproductive rights of all, especially of women; Evidence taken: - KUD Sawit Makmur; on October 2016, attended by 40 members; on October 25, 2016 attended by 37 members; and on October 27 attended by 36 members. Attendance list and documentation are available. - KUD Sumay Jaya; on October 20, 2016 attended by 30 members and on October 24, 2016 attended by 35 members. Attendance list and documentation are available.</p> <p>Assessment Conclusion: Major NC was closed on 21st November 2016. Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed the evidence: Policy related to protect the reproductive rights of all, especially of women being established and implemented; furthermore audit team review the communication of the policies by KUD chairman as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
Non-Conformity		
NCR #19	Description	Category (Major / Minor)
1378035M19	<p>Requirements: RSPO P&C Generic 2013 Indicator 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).</p> <p>Evidence of Nonconformity: Based on document review, smallholder organization cannot demonstrate evidence that policy to respect human rights; has communication/dissemination to all of its smallholder member and worker in KUD Sawit Makmur; meanwhile in KUD Sumay Jaya communication of this policy was done on 06/10/2016 for 15 smallholder member, but has not covered all 116 smallholder members. During interview with smallholder member, understanding of human rights was poor.</p> <p>Statement of Nonconformity: Smallholder organization cannot demonstrate evidence that policy to respect human rights; has communication/dissemination to all of its smallholder member and worker in KUD Sawit Makmur and KUD Sumay Jaya.</p>	Major NC

	<p>Corrective Actions: Company planned to assisted cooperative/KUDs to established and understand policy to respect human rights. KUD's then issued "Kebijakan Koperasi" – cooperative policy related to policy to respect human rights. KUDs have conducted socialization the Cooperative Policy related to respect human rights; Evidence taken:</p> <ul style="list-style-type: none"> - KUD Sawit Makmur; on October 2016, attended by 40 members; on October 25, 2016 attended by 37 members; and on October 27 attended by 36 members. Attendance list and documentation are available. - KUD Sumay Jaya; on October 6, 2016 attended by 15 member; on October 10, 2016 attended by 29 members; on October 20, 2016 attended by 30 members and on October 24, 2016 attended by 35 members. Attendance list and documentation are available. 	
	<p>Assessment Conclusion: Major NC was closed on 21st November 2016. Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed the evidence: policy to respect human rights; furthermore audit team review the communication of the policies by KUD chairman as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
Non-Conformity		
NCR #1	Description	Category (Major / Minor)
1378035N1	<p>Requirements: RSPO P&C Generic 2013 Indicator 4.1.2 A mechanism to check consistent implementation of procedures shall be in place.</p> <p>Evidence of Nonconformity: Based on field visit to company and smallholder oil palm plantation, poor field condition was found:</p> <ul style="list-style-type: none"> - Weed condition in Bungo Tebo Estate, Division III block C94f, C94j, C96j, C96l; Division IV block D08o; audit team found weed was not controlled properly. - Weed condition in scheme smallholder plantation, in KUD Sumber Usaha (No.2159, 2186, etc.), KUD Sumay Jaya (219, 2002, etc.); KUD Sawit Makmur (858, 1253, 1259, etc.); KUD Tanjung Aur Duri (3243, 3241) audit team found weed was not controlled properly. - Blanket spraying found in smallholder plantation KUD Sumber Usaha (3378, 3379); KUD Sumay Jaya (2197), KUD Sawit Makmur (854); - Based on field visit to Bungo Tebo Estate, Division III block C94f, C94j, C96j, C96l; audit team found frond stacking was not practiced. - Based on visit to KUD Sumay Jaya (219, 2002, 2159, 2186); KUD Sawit Makmur (858, 1253, 1259), audit team found that frond stacking was not implemented. <p>Statement of Nonconformity: Monitoring of oil palm plantation's best management practices was not effective in Bungo Tebo Estate and smallholder plantation; implementation of estate's best management practices was not in line with PT. Rigunas Agri Utama's Agricultural Policy Manual.</p>	Minor NC

	<p>Corrective Actions: PT. Rigunas Agri Utama planned to have:</p> <ul style="list-style-type: none"> - Memorandum issued by GM PT. Rigunas Agri Utama, related to weed condition in bonudary area – to limiting the access for FFB thief; - Monitoring on FFB quality and near boundary area – on regular basis (in accordance to spraying activity); - Monitoring on spraying (Team Unit Spraying) implementation to avoid late application; - Emphasize to smallholder farmer to avoid blanket spraying; - Re-communicating the importance of water and soil conservation; <p>All of the activity implementation will be monitored on regular basis.</p> <p>Assessment Conclusion: Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team will verify the effective implementation of corrective action plan during subsequent annual surveillance assessment.</p>	
Non-Conformity		
NCR #2	Description	Category (Major / Minor)
1378035N2	<p>Requirements: RSPO P&C Generic 2013 Indicator 4.3.6 A management strategy shall be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils).</p> <p>Evidence of Nonconformity: Company has a procedure for soil preservation under SOP Konservasi Tanah dan Air AA-APM-OP-1100.05-R1, whereby the method for soil and water preservation, with consideration to slope; in form of cover crop maintenance, application of empty fruit bunch, frond stacking. Based on field visit to Bungo Tebo Estate, Division III block C94f, C94j, C96j, C96l; audit team found frond stacking was not practiced. Cooperatives have been provided with guideline for management of fragile soil under “Pelatihan dan Penyuluhan Konservasi Tanah dan Air, Pemupukan dan Analisa Sampel Daun”. The guideline indicated soil ploughing, planting of ground cover, fertilizer recommendation, frond stacking, soil conservation (platform, terrace, silt pit, bund, etc.) as effort to managed area with problem soil/steep slope. Based on visit to smallholder blocks in KUD Sumay Jaya (No.219, 2002, 2159, 2186); KUD Sawit Makmur (858, 1253, 1259), audit team found that frond stacking was not implemented.</p> <p>Statement of Nonconformity: Implementation of best management practices for protection for fragile and problem soil in Bungo Tebo Estate and smallholder plantation was not in line with current policy “SOP Konservasi Tanah dan Air AA-APM-OP-1100.05-R1”.</p> <p>Corrective Actions: PT. Rigunas Agri Utama planned to have:</p> <ul style="list-style-type: none"> - Memorandum issued by GM PT. Rigunas Agri Utama, related to weed condition in bonudary area – to limiting the access for FFB thief; - Re-communicating the importance of water and soil conservation; <p>All of the activity implementation will be monitored on regular basis.</p> <p>Assessment Conclusion: Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team will verify the effective implementation of corrective action</p>	Minor NC

RSPO Public Summary Report
Revision 4 (November /2016)

	plan during subsequent annual surveillance assessment.	
Non-Conformity		
NCR #3	Description	Category (Major / Minor)
1378035N3	<p>Requirements: RSPO P&C Generic 2013 Indicator 6.9.3 A specific grievance mechanism which respects anonymity and protects complainants where requested shall be established, implemented, and communicated to all levels of the workforce.</p>	Minor NC
	<p>Evidence of Nonconformity: Based on document review and interview with smallholder in KUD Sawit Makmur and KUD Sumay Jaya; the smallholder organization cannot demonstrate evidence of communication/dissemination of specific grievance mechanism which respects anonymity and protects complainants to smallholder member and workers in surrounding of KUD Sawit Makmur and KUD Sumay Jaya. During interview with smallholder member, understanding of specific grievance mechanism for issue related to sexual harassment was poor.</p>	
	<p>Statement of Nonconformity: Smallholder organization cannot demonstrate evidence of communication/dissemination of specific grievance mechanism which respects anonymity and protects complainants to smallholder member and workers in surrounding of KUD Sawit Makmur and KUD Sumay Jaya.</p>	
	<p>Corrective Actions: PT. Rigunas Agri Utama will assist cooperative/KUD to prepare mechanism respecting anonymity and protection of complainants. The communication of the policy will be monitored.</p>	
	<p>Assessment Conclusion: Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team will verify the effective implementation of corrective action plan during subsequent annual surveillance assessment.</p>	

Observation	
OBS #	Description
1	RSPO P&C Generic 2013 Indicator 5.6.3 PT. Rigunas Agri Utama – Bungo Tebo has monitored the green house gas emission through RSPO PalmGHG tool. The palmGHG period 2015 has been prepared and monitored. Care should be taken by company to start reporting the green house gas monitoring to relevant RSPO working group.
2	RSPO P&C Generic 2013 Indicator 6.5.3 Company has provided housing, water supplies, electricity, medical treatment facility, educational, religious/worship house and other welfare amenities in the company property. Company could consider repair of septic tanks for worker housing in a timely fashion.

Positive Findings	
PF #	Description
1	Good relationship with stakeholders.
2	Good fire fighting infrastructure and equipment to handle land/forest fire.

Issues raised by Stakeholders	
<p>Stakeholder consultation involved internal and external stakeholders. External stakeholders were contacted by telephone to arrange meetings at a location convenient to them to discuss PT. Rigunas Agri Utama – Bungo Tebo POM Certification Unit’s environmental and social performance, legal and any known dispute issues.</p> <p>Meetings were conducted with stakeholders to seek their views on the performance of the company with respect to the RSPO requirements and aspects where they considered that improvements could be made. At the start of each meeting, the interviewer explained the purpose of the audit followed by an evaluation of the relationship between the stakeholder and the company before discussions proceeded. The interviewer recorded comments made by stakeholders and later was verified with the management team. These have been incorporated into the assessment findings.</p> <p>Structured worker interviews with male and female workers and staff were held in private at the workplace in the mill and the estates. Fieldworkers were interviewed informally in small groups in the field. In addition, the wives of workers and staff were interviewed in informal group meetings at their housing. Separate visits were made to each of the local communities to meet with the village head and residents. Company officials were not present at any of the internal or external stakeholder interviews. A list of Stakeholders contacted is included as Appendix E.</p>	
IS #	Description
1	<p>Issues Gender Committee PT. Rigunas Agri Utama – Bungo Tebo</p> <ul style="list-style-type: none"> - Gender committee established in 2014 with Mrs. Hesti Hendralita as the chairwomen. - All female worker in sprayer team and fertilizer team shall join pregnancy test in company clinic, once a month. - Regular gender committee meeting once per month but has no written work program – it was only based on member ideas. Communicating specific grievance mechanism to handle and resolve sexual harassment case. - There has been no report logged in to committee related to sexual harassment and/or violence. - There is no indication that company practising sexual harassment, no indication of gender discrimination, no indication of human right violation, and forced labour. - Company has implemented the policy related to protection reproductive right; such as not hiring female for work activity with high risk; monthly pregnancy test for sprayer and fertilizer applicator; 6-monthly check up for sprayer and fertilizer applicator. - The status of all female sprayer and fertilizer applicator are permanent worker. <p>Management Responses</p> <ul style="list-style-type: none"> - Company supports and encourages gender committee to create monthly and annual program (including the communication program). - Company acknowledges the comment and always receive input from related stakeholders <p>Audit Team Findings Audit team acknowledge the positive comments.</p>
2	<p>Issues</p>

	<p>Serikat Pekerja PT. Rigunas Agri Utama – Bungo Tebo (Worker Union)</p> <ul style="list-style-type: none"> - Worker salary has followed minimum wage as lined out by Jambi Province government for year 2016. - There is a collective working agreement between company and employee. - Company has provided all normative rights for employee, such as salary as lined out in minimum wage for province level, leave entitlement, employees registered with social insurance for worker (BPJS), benefit for religious festival, provision of facilities (housing, electricity, clean water, medical clinic, school/school bus, worship house, personal protective equipment, working tools, etc.). - Company has provided regular medical check up for workers in high risk such as sprayer team, fertilizer applicator, workshop worker and mill operators. - Company and employee has agreed to established bi-partite organization to resolve issues related to industrial relationship; the organization has been registered to “Dinas Tenaga Kerja Kabupaten Tebo”. Meeting between company and employee conducted whenever issues occurred and requires discussion, however it has not been consistent. - All operators whose working in specific station has been trained and provided with operator license, such as welding operator, generator set operator, boiler operator, heavy machinery operator, etc. - Company has provided health and safety training and provided first aid kit to field supervisor/mandor. - Company has a policy to prohibit the recruitment of employee under 18 years old, including family worker in all operation. - Company has a policy to protect human rights and prohibit all kind of discrimination of gender. So far there is no report from employee related to discrimination or human right violation. - Company has a policy to protect flora and fauna. - Company does not use migrant worker and prohibit force labour. - Company using worker with temporary status for manual maintenance and nursery. - Worker union was having inquiry related to piece rate (premi harian), whereby it has never been reviewed for the past years. - Not all BHL/temporary worker has been registered with BPJS Ketenagakerjaan. <p>Management Responses</p> <ul style="list-style-type: none"> - Company planned to schedule a meeting for “LKS Bipartit” between Worker Union and Company at minimum twice a year. - Piece rate (premi harian) for employee has been evaluated minimal once a year. - Company will register “BHL”/temporary worker with “BPJS Ketenagakerjaan” per batch. - Company acknowledges the comment and always receive input from related stakeholders. <p>Audit Team Findings</p> <p>Audit team acknowledges the progress on insurance registration (based on interview with different stakeholders – Dinas Tenaga Kerja). Audit team has seen the progress on bipartite meeting. Audit team will review continue to review the implementation of the regular meeting plan during subsequent assessment.</p>
<p>3</p>	<p>Issues</p> <p>Local contractors – school bus</p> <ul style="list-style-type: none"> - Local contractors have a working agreement with Regional Office for 1 year time-frame. - There is no bribery in contractor activities. - The payment upon work made by PT. Inti Indosawit Subur is in accordance with working agreement. - Local contractor has understood the content of the contract, which regulates right and obligation for each party. A number of detail has also followed: age of worker, social insurance for contractor worker (BPJS), tax payment, and health and safety requirement. - Contractor admitted that they have never experienced late payment. - It has been three (3) years since the last price review. - Contractor said there has never been a meeting between local contractor and company in order to increase/capacity building for contractors. <p>Management Responses</p> <ul style="list-style-type: none"> - Contract price for the school bus is based on gasoline price, and the trend of gasoline price is in lower trend for several year.

	<p>- Company acknowledges the input and will give brief on sustainability awareness to the local contractor.</p> <p>Audit Team Findings Audit team acknowledges company consideration. Audit team will review continue to review the implementation of the regular meeting plan during subsequent assessment.</p>
4	<p>Issues NGO WRI - Company does not have fire hot spot for 2015-2016.</p> <p>Management Responses Company appreciates the comment.</p> <p>Audit Team Findings Audit team acknowledge the feedback from NGO.</p>
5	<p>Issues Dinas Perkebunan Kabupaten Tebo – Plantation Agency Tebo Regency - Company has submitting the plantation report (Laporan Perkembangan Usaha Perkebunan/LPUP) period first semester 2016. - PT. Rigunas has been issued with new Izin Usaha Perkebunan, through “Surat Persetujuan Bupati Tebo No. 188/28/HK/Tahun 2014 tentang Penambahan Kapasitas Industri Pengolahan Hasil perkebunan dan Kernel Crussing Plan (KCP) PT. Rigunas Agri Utama” dated 23rd October 2014. - Compliance is good. - No issue related to environment pollution noted, no issue related to land conflict noted, no complaint related to social conflict noted, no complaint related to FFB price payment noted, - In general the way company communicating with plantation agency is fairly good – need to improve. - It was noted during early stage of development, there was attack from elephant. This was causing the nucleus and smallholder plantation was damaged. PT. Rigunas has to replace the plantation that was not suitable for smallholder. The replacement estate was taken from company’s plantation. Therefore PT. Rigunas Agri Utama experiencing 2 times hectarage reduction in 1999 and 2012 with total 1,100.546 Ha. - It has been 4 years, plantation agency did not receive report related to elephant attack. - The emergency response infrastructure is good, including fire extinguisher to suppress land and forest fire. - No report of land or forest fire near area of PT. Rigunas Agri Utama.</p> <p>Management Responses Company appreciates the positive comment from stakeholders .</p> <p>Audit Team Findings Audit team acknowledge the positive comments.</p>
6	<p>Issues Dinas Tenaga Kerja Kabupaten Tebo – Manpower Agency Tebo Regency - Company has provided all normative rights for employee, such as salary as lined out in minimum wage for province level, leave entitlement, employees registered with social insurane for worker (BPJS), benefit for religious festival, provision of facilities (housing, electricity, clean water, medical clinic, school/school bus, worship house, personal protective equipment, working tools, etc.). - Good appreciation, there was no manpower reduction during 2015 when the CPO price at lowest point. - Communication went good so far. Report related to health and safety has been logged in regularly. - Company already has worker union, acknowledged by manpower agency. Company has bi-partite organization to accomodate any industrial dispute. - Company has registered all SKU worker with BPJS Kesehatan and BPJS Ketenagakerjaan. However, company has not registered all BHL/temporary worker into BPJS Kesehatan and BPJS Ketenagakerjaan. This has come into attention by manpower agency and has communicated to PT. Rigunas. Company has responded by preparing an application plan, gradually. This was accepted by manpower agency due to high level of turnover for temporary worker.</p>

	<ul style="list-style-type: none"> - Company has provided limited pesticide training for sprayers, HIPERKES training for paramedic. - There was no report/complaint logged in related to discriminative action by company. There was no report/complaint logged in related to the use of child worker/under age worker. - Company has conducted machinery test in regular basis as per relevant regulation. Machinery operators have been trained and issued with operator license (Surat Izin Operator/SIO). - Manpower agency suggested company to accomodate additional company's person in charge to communicate with government agency. A single public relation officer/humas was to busy to handle all works. <p>Management Responses</p> <ul style="list-style-type: none"> - Company currently have 1 public relation officer to handle communication for regency level. We have public relation manager to handle communication in the provincial level. And if needed the manager can also help to communicate in regency level. - Company acknowledges the other comments. <p>Audit Team Findings</p> <p>Audit team acknowledge the comments.</p>
<p>7</p>	<p>Issues</p> <p>Kantor Pertanahan Kabupaten Tebo – Land Agency Tebo Regency</p> <ul style="list-style-type: none"> - Kantor Pertanahan did not receive report with regards to land conflict in PT. Rigunas and/or in scheme smallholders with other party. - There are a number of smallholder farmer group that awaits the issuance of land certificate. The problem was a number of land parcel has been sold/handed over from its original application therefore need up-to-date "Calon Petani Calon Lahan". - PT. Rigunas Agri Utama has granted with land title "Hak Guna Usaha/HGU" through Surat Keputusan Menteri Agraria 1997" and "Surat Keputusan Kepala Kantor Wilayah Badan Pertanahan Provinsi Jambi tahun 2016". <p>Management Responses</p> <p>Company acknowledge the input and comment for related stakeholders .</p> <p>Audit Team Findings</p> <p>Audit team acknowledge the positive comments.</p>
<p>8</p>	<p>Issues</p> <p>Badan Lingkungan Hidup Kabupaten Tebo – Environmental Body Tebo Regency</p> <ul style="list-style-type: none"> - Company has environmental permit for hazardous waste storage and palm oil mill effluent land application. - Company has conducted good management practice for palm oil mill effluent and hazardous waste. Company has also consistently reporting the environmental management: Laporan RKL-RPL, Laporan Pengelolaan Limbah B3, Laporan Pemanfaatan Limbah Cair. - There was no report of environmental pollution caused by the company. - There was a lot of report on elephant attack to plantation during early stage of development. However, it has never heard again in the past few years. - <i>PT. Rigunas Agri Utama suggested to have environmental review and reporting to Badan Lingkungan Hidup when preparing replanting activity.</i> <p>Management Responses</p> <p>The environmental review has been done and the addendum of AMDAL of PT RAU has incorporated replanting activities.</p> <p>Audit Team Findings</p> <p>Audit team has seen the replanting activities have been included as part of new social-environmental impact assessment document (<i>addendum AMDAL</i>).</p>
<p>9</p>	<p>Issues</p> <p>Tuo Sumay Village Head</p> <ul style="list-style-type: none"> - Communication between PT. Rigunas Agri Utama, KUD and village is good.

	<ul style="list-style-type: none"> - The plasma/scheme smallholder was government program through PIR-Trans and PIR-Lokal. During the development of plantation, both company and smallholder plantation, there was no land compensation being paid. - Local community has understood the plantation boundary between company and scheme smallholder plantation and village land – in form of large moat/drainage. - PT. Rigunas Agri Utama provides work for people of Tuo Sumay village. - Company has communicating the CSR program to village authorities and communities before being implemented. The CSR program in form of infrastructure construction, village activity including cultural activities. - Scheme smallholder is contributing 3% of its profit for village development.
	<p>Management Responses Company appreciate the positive comment from stakeholders.</p>
	<p>Audit Team Findings Audit team acknowledge the positive comments.</p>

3.3.1 Status of Nonconformities Previously Identified and Observations

Non-Conformity		
NCR #1	Description	Category (Major / Minor)
1137714N1	<p>Requirements: RSPO P&C Indicator 1.3.1 There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions, which shall be documented and communicated to all levels of the workforce and operations.</p> <p>Evidence of Nonconformity: Based on document review and interview with a number of workers (sprayers, fertilizer applicator, harvester and FFB transporter); documented policy to a code of ethical conduct and integrity in all operations and transactions has not been made available, furthermore communicated to worker.</p> <p>Statement of Nonconformity: PT. Rigunas Agri Utama cannot demonstrate be a written and communicated policy committing to a code of ethical conduct and integrity in all operations and transactions.</p> <p>Corrective Action: PT. Rigunas Agri Utama – Bungo Tebo Group has a company policy/"Kebijakan Perusahaan", signed by Managing Director on 12/01/2014. The policy mentioned company's commitment to uphold and respect code of ethical conduct in all operation. The commitment including prevention of corruption, collusion and nepotism. The company policy was made available on notice boards in various premises. Based on interview with workers, during stakeholder consultation, it was noted that worker (harvesters, fertilizer applicators and sprayer team) has a basic understanding of company policy related</p>	Minor NC

RSPO Public Summary Report
Revision 4 (November /2016)

	to code of ethical conduct.	
	Assessment Conclusion: Minor NC closed on 09/22/2016.	
Non-Conformity		
NCR #2	Description	Category (Major / Minor)
1137714N2	<p>Requirements: RSPO P&C Indicator 2.1.2 A documented system, which includes written information on legal requirements, shall be maintained.</p> <p>Evidence of Nonconformity: During course of audit, based on document review (ANDAL), governor decree - "Surat Keputusan Gubernur Jambi No.84 tahun1996 tentang Baku Mutu Limbah Cair dan Emisi Udara" act as regulation for waste water and air emission standard parameter is not available in the list of regulation.</p> <p>Statement of Nonconformity: A documented system and list of legal requirements is available, however the list was found to be incomplete.</p> <p>Corrective Action: Based on document verification against "Dokumen evaluasi kepatuhan hukum PT. Rigunas Agri Utama 2015 and 2016" shows company has not evaluated "Peraturan Gubernur Jambi No.84 tahun 1996 tentang Baku Mutu Limbah Cair dan Emisi Udara".</p> <p>Assessment Conclusion: The indicator escalated into Major NC.</p>	Minor NC
Non-Conformity		
NCR #3	Description	Category (Major / Minor)
1137714N3	<p>Requirements: RSPO P&C Indicator 2.1.3 A mechanism for ensuring compliance shall be implemented.</p> <p>Evidence of Nonconformity: Evidence observed that company has not owned a mechanism to check and ensure all relevant regulation are implemented in daily operation of mill and plantation. During the assessment some of incompliance with regulations were found (linked to indicator 2.1.1)</p> <p>Statement of Nonconformity: Company has a procedure to evaluate compliance with relevant regulations under SOP-AA-GL-5001.1-R0, however there is no a mechanism for ensuring compliance to relevant regulation.</p>	Minor NC

RSPO Public Summary Report
Revision 4 (November /2016)

	<p>Corrective Action: Based on verification upon "Evaluasi Kepatuhan Peraturan tahun 2016" shows company has not evaluated kernel crushing plant operation, with regards to the environmental permit.</p> <p>Assessment Conclusion: Based on above mentioned evidences, laws and regulation compliance evaluation mechanism was not effective. Indicator escalated into Major NC.</p>	
Non-Conformity		
NCR #4	Description	Category (Major / Minor)
1137714N4	<p>Requirements: RSPO P&C Indicator 2.2.2 Legal boundaries shall be clearly demarcated and visibly maintained.</p> <p>Evidence of Nonconformity: "Peta Hasil Survey Patok HGU" shows some of boundary poles are identified while most of the poles are not in place in particularly at the border area with smallholder plots and community land. Based on field visit boundary poles No.6, No.7, and No.3 were available, However, No action plan and/or report whatsoever to maintain area demarcation.</p> <p>Statement of Nonconformity: Company performs the monitoring of boundary stones, however company has not prepared an action plan when a number of boundary poles was found missing or broken.</p> <p>Corrective Action: Company cannot demonstrate all HGU boundaries as written in HGU map was clearly demarcated and visibly maintained on the field. For instance, from map indicated 34 boundary pegs in HGU for Bukit Harapan area – only identified 4 boundary pegs; from map indicated 34 boundary pegs in HGU for Bukit Lalo area – only identified 6 boundary pegs found and identified on the field.</p> <p>Assessment Conclusion: Based on above mentioned evidences, corrective action for boundary peg identification was not effective. Indicator escalated into Major NC.</p>	Minor NC
Non-Conformity		
NCR #5	Description	Category (Major / Minor)
1137714N5	<p>Requirements: RSPO P&C Indicator 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.</p>	Minor NC

	<p>Evidence of Nonconformity: Based on document review, the replanting programme for 2016-2026 is available; however the yearly review for the replanting programme is not available.</p> <p>Statement of Nonconformity: PT. Rigunas Agri Utama has not prepared a yearly review for the replanting programme; for replanting programme planned to commence in 2016.</p> <p>Corrective Action: PT. Rigunas Agri Utama – Bungo Tebo Estate has a replanting program. The replanting program in Bungo Tebo Estate: 290 Ha in 2016, 467 Ha in 2017, 420 Ha Ha in 2018, 452 Ha in 2019, 402 Ha in 2020 and 512 Ha in 2023. Replanting program was documented in the budget plan. Bungo Tebo Estate shows a series of correspondence and meeting result related to review on replanting plan. Review of replanting progress has been made: Based on Head Estate Department visit to Bungo Tebo Estate, 05/30-2016 – 05/31/2016 Report No.2/MEI-KBT/2016. Whereby Head Estate Department points out a number of issued requiring immediate attention in replanting of 288 Ha: felling, debolling, and chipping progress 195 Ha out of 288 Ha; terrace construction progress slow; drainage maintenance has not been done; culvert was not appropriately functioning; road position was incorrect - issues have been followed up.</p> <p>Assessment Conclusion: Minor NC closed in 09/22/2016.</p>	
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Non-Conformity

NCR #6	Description	Category (Major / Minor)
1137714N6	<p>Requirements: RSPO P&C Indicator 4.1.2 A mechanism to check consistent implementation of procedures shall be in place.</p> <p>Evidence of Nonconformity: FFB grading carried out through visual observation only; and not based on FFB sample. This was found during grading for scheme smallholder's FFB.</p> <p>Statement of Nonconformity: System cannot ensure consistent implementation of grading procedure at loading ramp.</p> <p>Corrective Action: Bungo Tebo POM has conducted FFB grading process at loading ramp. FFB grading activity was carried out on sampling basis for the FFB transportation truck from company-owned estate and from other FFB sources. FFB grading was done by taking 100 bunches from each transportation truck; with grading criteria consist of: unripe FFB, ripe FFB,</p>	Minor NC

RSPO Public Summary Report
Revision 4 (November /2016)

	<p>empty bunches, abnormal bunches, long stalk and over ripe bunches. FFB grading report, dated 09/01/2016:</p> <ul style="list-style-type: none"> - FFB from Division I: sample 100; unripe bunch: 4; empty bunch: -; abnormal bunch: 2; long stalk: -; over ripe bunch: -; ripe bunch 94. - FFB from smallholder plantation KT.35: sample 100; unripe bunch: 3; empty bunch: 2; abnormal bunch: 1; long stalk: -; over ripe bunch: 10; ripe bunch 84. - FFB from SDR: sample 100; unripe bunch: 9; empty bunch: 6; abnormal bunch: 5; long stalk: -; over ripe bunch: 5; ripe bunch 75. <p>Assessment Conclusion: Minor NC closed in 09/22/2016.</p>	
Non-Conformity		
NCR #7	Description	Category (Major / Minor)
1137714N7	<p>Requirements: RSPO P&C Indicator 4.7.5 Accident and emergency procedures shall exist and instructions shall be clearly understood by all workers. Accident procedures shall be available in the appropriate language of the workforce. Assigned operatives trained in First Aid should be present in both field and other operations, and first aid equipment shall be available at worksites. Records of all accidents shall be kept and periodically reviewed.</p> <p>Evidence of Nonconformity: Based on document review, the only emergency procedure covers fire and spillage as in "Penanganan Keadaan Darurat Kebakaran dan Tumpahan" for estate.</p> <p>Statement of Nonconformity: Bungo Tebo Estate cannot demonstrate accident procedures.</p> <p>Corrective Action: Accident and emergency response procedures has been made available. Accident and emergency procedures No.AA-EMS-446-PR (operation control), AA-EMS-447-PR (Emergency preparedness), AA-EMS-001-FM (Emergency plan), AA-EMS-003-FM (Emergency incident), and AA-EMS-004-FM (Emergency incident Reporting).</p> <p>Assessment Conclusion: Minor NC is closed on 09/22/2016.</p>	Minor NC
Non-Conformity		
NCR #8	Description	Category (Major / Minor)
1137714N8	<p>Requirements: RSPO P&C Indicator 4.8.2 Records of training for each employee shall be maintained.</p>	Minor NC

	<p>Evidence of Nonconformity: Based on sample for several workers sampled, Bungo Tebo Mill and Bungo Tebo estate cannot demonstrate the complete records of training for each employees. There is only 23 employee training records available in Bungo Tebo Estate.</p>	
	<p>Statement of Nonconformity: There is inadequate evidence the records of training for each employees are available.</p>	
	<p>Corrective Action: Audit team verifies the data and found personal data training was filled up and updated. Personal Data Training in Bungo Tebo Estate: - Nagitno (harvester supervisor Bungo Tebo Estate), Emergency response training - "Pelatihan PPGD" dated 08/23/2016; by dr. Yudi Chandra; - Janes Siregar (spraying supervisor Bungo Tebo Estate), HCV training – "Pelatihan HCV awareness II" dated 04/30/2013 by Ari Azhari H; Emergency training - "Pelatihan PPGD" dated 10/20/2014 by dr. Khairul Akmal; Pesticide use training – "Pelatihan Herbisida Terbatas" dated 11/24/2014 from Sygenta; Training on the use of spraying equipment "Pelatihan Penggunaan Alat Semprot" dated 04/04/2016, training provider Wasinton Simanjutak; - Arianto Yulianus (Chemical storekeeper Bungo Tebo Estate), Storage and administration training – "Refresh SOP Gudang dan Administrasi" dated 06/16/2106-06/18/2016 from Tim Sistim HO Medan; "Refresh SOP Gudang dan Administrasi" dated 05/16/2016-05/17/2016 from Tim Sistim HO Medan; Emergency response procedure training – "Pelatihan PPGD" dated 08/23/2016 by dr. Yudi Chandra;</p>	
	<p>Assessment Conclusion: NC Minor closed on 09/22/2016.</p>	

Non-Conformity

NCR #9	Description	Category (Major / Minor)
1137714N9	<p>Requirements: RSPO P&C Indicator 5.1.2 Where the identification of impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a comprehensive management plan. The management plan shall identify the responsible person/persons.</p> <p>Evidence of Nonconformity: Program Manajemen Lingkungan and Dokumen RKL/RPL, however it has not been incorporated.</p> <p>Statement of Nonconformity: The documents of "Rencana Kelola Lingkungan – Rencana Pemantauan Lingkungan" is available and in line with ANDAL document. Company is also demonstrating environmental management plan as part of environment management system.</p>	Minor NC

	<p>However the company has not incorporates "Rencana Kelola Lingkungan – Rencana Pemantauan Lingkungan" into environmental management plan.</p> <p>Corrective Action: Company demonstrated environmental management report "Laporan Pelaksanaan Izin Lingkungan Kegiatan Perkebunan dan pabrik Minyak Kelapa Sawit PT. Rigunas Agri Utama" period January – June 2016 to "Badan Lingkungan Hidup Propinsi Jambi", reported on 08/06/2016. Chapter II of the report "Laporan Pelaksanakan Izin Lingkungan" explains the implementation of environmental management and monitoring plan and trend evaluation, critical evaluation and compliance evaluation. Chapter III of the report related to conformity between implementation against planning, obstacle found and steps to be taken for improvement. Appendix of the report consist of: waste water treatment analysis result, environmental management and monitoring plan matrix, erosion rate calculation data, environmental management and monitoring map, etc. Company demonstrated environmental management report "Laporan Pelaksanaan Izin Lingkungan Kegiatan Perkebunan dan pabrik Minyak Kelapa Sawit PT. Rigunas Agri Utama" period January – June 2016 to "Badan Lingkungan Hidup Propinsi Jambi", reported on 08/06/2016. Chapter II of the report "Laporan Pelaksanakan Izin Lingkungan" explains the implementation of environmental management and monitoring plan and trend evaluation, critical evaluation and compliance evaluation. Chapter III of the report related to conformity between implementation against planning, obstacle found and steps to be taken for improvement. Appendix of the report consist of: waste water treatment analysis result, environmental management and monitoring plan matrix, erosion rate calculation data, environmental management and monitoring map, etc. Company has prepared environmental aspect impact document 2016. For significant impact, company prepared plan under "Program Manajemen Lingkungan 2016" as follows:</p> <ul style="list-style-type: none"> - Impact: reduce fossil fuel used for power genset operational. Program: replace power genset use with electric supply from grid; - Impact: quality improvement in conservation area inside plantation during replanting process. Program: preparing nursery for natural seedling, planting in riparian inside replanting area; - Impact: land fire and forest fire during dry season. Program: Establishing emergency response team, to improve fire fighting equipment, construction of command post for land and forest fire, construction of monitoring tower, fire monitoring and fire patrol, communication through posters, fire danger rating monitoring; - Impact: soil erosion due to replanting process. Program: terracing in area with slope >12 degree, planting leguminous cover crop, construction of subside drainage in low land area, construction of stop bunch in terrace area, construction of platform for area with slope <12 degrees. <p>Assessment Conclusion: Minor NC closed in 09/22/2016.</p>	
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Non-Conformity		
NCR #10	Description	Category (Major / Minor)
1137714N10	<p>Requirements: RSPO P&C Indicator 5.1.3 This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.</p> <p>Evidence of Nonconformity: Document review on "Rencana Kelola Lingkungan – Rencana Pemantauan Lingkungan" and Environmental Management Plan.</p> <p>Statement of Nonconformity: PT. Rigunas Agri Utama cannot demonstrate environmental plan has incorporating a monitoring protocol, implemented to monitor the effectiveness of the mitigation measures.</p> <p>Corrective Action: Company has prepared environmental aspect impact document 2016. For significant impact, company prepared plan under "Program Manajemen Lingkungan 2016" as follows: - Impact: reduce fossil fuel used for power genset operational. Program: replace power genset use with electric supply from grid; - Impact: quality improvement in conservation area inside plantation during replanting process. Program: preparing nursery for natural seedling, planting in riparian inside replanting area; - Impact: land fire and forest fire during dry season. Program: Establishing emergency response team, to improve fire fighting equipment, construction of command post for land and forest fire, construction of monitoring tower, fire monitoring and fire patrol, communication through posters, fire danger rating monitoring; Impact: soil erosion due to replanting process. Program: terracing in area with slope >12⁰, planting leguminous cover crop, construction of subside drainage in low land area, construction of stop bunch in terrace area, construction of platform for area with slope <12⁰. Company was able to demonstrate evidence on Environmental Management Plan "Program Manajemen Lingkungan" implementation for significant impact land and forest fire due to dry season: established emergency response team 2016, appointed main officers for fire fighting team, conduct communication of land and forest fire prevention and fire fighting, constructed fire monitoring tower on block D08k, established and provided a standardize fire prevention equipment and fire fighting equipment; Other significant impact will due for monitoring on 12/31/2016.</p>	Minor NC

	Assessment Conclusion: Minor NC closed on 09/22/2016.	
Non-Conformity		
NCR #11	Description	Category (Major / Minor)
1137714N11	<p>Requirements: RSPO P&C Indicator 5.3.3 A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented.</p> <p>Evidence of Nonconformity: During course of audit, it was found: 1. Medical waste from clinic was stored in temporary hazardous waste store for more than 1 (one) year), while applicable permit allows only 90 days (or 180 days with written permit from environment office). The latest disposal of medical waste recorded was July 2012; 2. The record of hazardous waste found to be inaccurate, a number of hazardous waste handover from Bungo Tebo mill is not traceable in the balance record sheet. Example: "Berita Acara Serah Terima Limbah B3" dated 16th September 2014 from Bungo Tebo mill for 40 liters used oil, 90 ex chemical bags, 6 ex chemical pile and 11 kg contaminated fiber is not recorded under "Neraca Limbah B3"; 3. The maximum storage time (Maksimal penyimpanan) was never recorded in the balance sheet (Neraca limbah B3);</p> <p>Statement of Nonconformity: The management of hazardous waste (limbah B3) is not in line with relevant regulation and permit.</p> <p>Corrective Action: - Company has sent medical waste to licensed transporter PT. Shali Riau Lestari as recorded in "Berita Acara Serah Terima Limbah B3" dated 09/07/2016; hazardous waste manifest No. AAO 0007173 for 1 drum (8 kg) medical/infectious waste (vial and syringe), transported with vehicle BM 84** JU, dated 09/07/2016. - Each incoming hazardous waste being stored in the temporary hazardous waste storage has been recorded. Based on "Berita Acara Serah Terima Limbah B3" dated 09/07/2016; hazardous waste manifest No. AAO 0007173 for disposal of used chemical container (7 drums), the volume sent was tally with hazardous waste logsheet and balance for period 06/22/2016 up to 09/07/2016. Incoming hazardous waste on 06/22/2016 was recorded ex-metsulindo 34 bottles, ex-kenrane 3 bottles, ex-polidor 2 bottles, ex-elang 4 gallons and ex- gramaxone 1 drum). On 06/20/2016 received ex-metsulindo 46 bottles, ex-kenrane 10 bottles, ex-polidor 1 bottle, ex-elang 3 gallons. - Balance of incoming hazardous waste has also indicated maximum storage time. For example, "Catatan Serah Terima Limbah B3" dated 06/30/2016 for ex-metsulindo 46 bottles, ex-kenrane 10 bottles, ex-</p>	Minor NC

RSPO Public Summary Report
Revision 4 (November /2016)

	<p>polydor 6 bottles and ex-Elang 5 gallons has been recorded with maximum storage time 90 days, up to 09/27/2016.</p> <p>- Company has reported the hazardous waste management to relevant authorities. "Laporan Pelaksanaan Penyimpanan Limbah B3" for period April – June 2016 has been reported to "Kantor Lingkungan Hidup Kabupaten Tebo" on 08/01/2016.</p> <p>Assessment Conclusion: Minor NC closed on 09/22/2016.</p>	
Non-Conformity		
NCR #12	Description	Category (Major / Minor)
1137714N12	<p>Requirements: RSPO P&C Indicator 5.2.3 There shall be a programme to regularly educate the workforce about the status of these RTE species, and appropriate disciplinary measures shall be instigated in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species.</p> <p>Evidence of Nonconformity: The available training programme does cover HCV training, lack of evidence these training plan include status of RTE species such as Sumatran elephant. Furthermore, no HCV training commenced to date.</p> <p>Statement of Nonconformity: Company cannot demonstrate programme to regularly educate workforce about the status of RTE species, such as Sumatran elephant.</p> <p>Corrective Action: Company has not been able to demonstrate evidence of program to regularly educate workforce related to management of RTE species, Sumatran elephant. Based on above mentioned evidences, corrective action for program to regularly educate workforce related to management of RTE species was not effective.</p> <p>Assessment Conclusion: Indicator escalated into Major NC.</p>	Minor NC
Non-Conformity		
NCR #13	Description	Category (Major / Minor)
1137714N13	<p>Requirements: RSPO P&C Indicator 5.2.4 Where a management plan has been created there shall be ongoing monitoring:</p> <ul style="list-style-type: none"> • The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported; • Outcomes of monitoring shall be fed back into the management plan. 	Minor NC

**RSPO Public Summary Report
Revision 4 (November /2016)**

	<p>Evidence of Nonconformity: HCV management plan has just recently established and does not reflect appropriate measure to maintain and/or enhance these RTE species, as identified in HCV assessment report (such as Sumatran elephant).</p> <p>Statement of Nonconformity: Monitoring of wildlife is available; however it was not based on comprehensive HCV management plan with appropriate measure to maintain and/or enhance these RTE species.</p> <p>Corrective Action: Company has monitored flora and fauna on 6 monthly period, conducted by Conservation and HCV officer. The result of monitoring reported under "Laporan Monitoring Tumbuhan dan Satwa Liar", for period Semester I year 2016. A specific monitoring related to elephant was carried out via daily patrol, on area indicated with elephant natural path, Division IV. The result of patrol reported under "Laporan Monitoring Serangan Gajah". The report stated in 2015 and 2016 no elephant entering company plantation.</p> <p>Assessment Conclusion: Minor NC closed on 09/22/2016.</p>	
Non-Conformity		
NCR #14	Description	Category (Major / Minor)
1137714N14	<p>Requirements: RSPO P&C Indicator 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.</p> <p>Evidence of Nonconformity: Document review</p> <p>Statement of Nonconformity: There is inadequate evidence that company has prepared a plan for social impact and be reviewed as minimum once every two years and updated as necessary.</p> <p>Corrective Action: Based on document review upon "Pelaksanaan Izin Lingkungan Semester II tahun 2015 dan Semester I tahun 2016", demonstrating company presented review related to social management; however company cannot demonstrated social management plan has been reviewed minimum 2 yearly and continuously update when necessary.</p> <p>Assessment Conclusion: Based on above mentioned evidences, corrective action for review upon social impact assessment was not effective. Indicator escalated into Major NC.</p>	Minor NC
Non-Conformity		

RSPO Public Summary Report
Revision 4 (November /2016)

NCR #15	Description	Category (Major / Minor)
1137714N15	<p>Requirements: RSPO P&C Indicator 6.2.3 A list of stakeholders, records of all communication, including confirmation of receipt and that efforts are made to ensure understanding by affected parties, and records of actions taken in response to input from stakeholders, shall be maintained.</p> <p>Evidence of Nonconformity: The stakeholder list does not cover cultural leader of Tuo Sumay. The stakeholder list does not cover BKSDA, Dinas Kehutanan and/or conservation NGO to consult with in relation to presence of RTE species and to avoid human-wildlife conflicts.</p> <p>Statement of Nonconformity: Company has a list of stakeholder, however cultural leader of Tuo Sumay, BKSDA, Dinas Kehutanan and/or conservation NGO is not on the list - as a stakeholder to consult with, in relation to plantation operation.</p> <p>Corrective Action: Based on document verification upon stakeholder list, which updated on August 2016, shows that company has included BKSDA as part of stakeholder related to RTE species management and human – RTE species conflict mitigation.</p> <p>Assessment Conclusion: Minor NC is closed on 09/22/2016.</p>	Minor NC
Non-Conformity		
NCR #16	Description	Category (Major / Minor)
1137714N16	<p>Requirements: RSPO P&C Indicator 6.10.1 Current and past prices paid for Fresh Fruit Bunches (FFB) shall be publicly available.</p> <p>Evidence of Nonconformity: During the course of audit, the notice board is not updating the current FFB price.</p> <p>Statement of Nonconformity: Company updated the FFB price through short message and notice board in Bungo Tebo mill. During the course of audit, the notice board is not updating the current FFB price.</p> <p>Corrective Action: Based on field visit in Bungo Tebo POM demonstrated FFB price for scheme smallholder and non-scheme smallholder has been informed to scheme smallholder and/or FFB supplier, provided in Bungo Tebo POM gate.</p>	Minor NC

RSPO Public Summary Report
Revision 4 (November /2016)

	Assessment Conclusion: Minor NC is closed on 09/22/2016.	
Non-Conformity		
NCR #17	Description	Category (Major / Minor)
1137714N17	<p>Requirements: RSPO P&C Indicator 6.10.4 Agreed payments shall be made in a timely manner.</p> <p>Evidence of Nonconformity: Company has a payment procedure. Provision of service with second and third party is based on contract. Based on payment procedure, invoice prior to 15th day of every month will be paid by the end of the month. While invoice after 15th day will be paid on the subsequent month. The payment after 15th day is not done in timely manner.</p> <p>Statement of Nonconformity: Payment upon service is not in line with contract.</p> <p>Corrective Action: Based on interview with local contractor and payment for local contractor, shows payment from company has met the clauses in work agreement.</p> <p>Assessment Conclusion: Minor NC is closed on 09/22/2016.</p>	Minor NC
Non-Conformity		
NCR #18	Description	Category (Major / Minor)
1137714N18	<p>Requirements: RSPO P&C Indicator 6.11.1 Contributions to local development that are based on the results of consultation with local communities shall be demonstrated.</p> <p>Evidence of Nonconformity: There is inadequate evidence that company able to demonstrate contributions to local development that are based on the results of consultation with local communities.</p> <p>Statement of Nonconformity: Company cannot provide sufficient evidence the consultation with local communities to identify the local community needs as basic process in preparing CSR programme.</p> <p>Corrective Action: Based on stakeholder consultation with Tuo Sumay village and Serai Serumpun village authorities, it was known that company has consulted with surrounding villages during preparation of CSR program for each village.</p>	Minor NC

RSP0 Public Summary Report
Revision 4 (November /2016)

	Assessment Conclusion: Minor NC is closed on 09/22/2016.	
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Observation	
OBS #	Description
	Nil

3.3.2 Summary of the Nonconformities and Status



CAR Ref.	CLASS	ISSUED	STATUS
1137714M1	Major	19/12/2014	closed on 17/06/2015.
1137714M2	Major	19/12/2014	closed on 17/06/2015.
1137714M3	Major	19/12/2014	closed on 17/06/2015.
1137714M4	Major	19/12/2014	closed on 02/10/2015.
1137714M5	Major	19/12/2014	closed on 02/10/2015.
1137714M6	Major	19/12/2014	closed on 02/10/2015.
1137714M7	Major	19/12/2014	closed on 02/10/2015.
1137714M8	Major	19/12/2014	closed on 17/06/2015.
1137714M9	Major	19/12/2014	closed on 17/06/2015.
1137714M10	Major	19/12/2014	closed on 17/06/2015.
1137714M11	Major	19/12/2014	closed on 17/06/2015.
1137714M12	Major	19/12/2014	closed on 17/06/2015.
1137714M13	Major	19/12/2014	closed on 17/06/2015.
1137714M14	Major	19/12/2014	closed on 17/06/2015.
1137714M15	Major	19/12/2014	closed on 17/06/2015.
1137714M16	Major	19/12/2014	closed on 17/06/2015.
1137714N1	Minor	19/12/2014	closed on 22/09/2016.
1137714N2	Minor	19/12/2014	Escalated into Major NC #1378035M4. Closed on 11/11/2016.
1137714N3	Minor	19/12/2014	Escalated into Major NC #1378035M5. Closed on 11/11/2016.
1137714N4	Minor	19/12/2014	Escalated into Major NC #1378035M6. Closed on 11/11/2016.
1137714N5	Minor	19/12/2014	closed on 22/09/2016.
1137714N6	Minor	19/12/2014	closed on 22/09/2016.
1137714N7	Minor	19/12/2014	closed on 22/09/2016.
1137714N8	Minor	19/12/2014	closed on 22/09/2016.
1137714N9	Minor	19/12/2014	closed on 22/09/2016.
1137714N10	Minor	19/12/2014	closed on 22/09/2016.
1137714N11	Minor	19/12/2014	closed on 22/09/2016.
1137714N12	Minor	19/12/2014	Escalated into Major NC #1378035M12. Closed on 11/11/2016.
1137714N13	Minor	19/12/2014	closed on 22/09/2016.
1137714N14	Minor	19/12/2014	Escalated into Major NC #1378035M14. Closed on 11/11/2016.
1137714N15	Minor	19/12/2014	closed on 22/09/2016.
1137714N16	Minor	19/12/2014	closed on 22/09/2016.

**RSPO Public Summary Report
Revision 4 (November /2016)**

1137714N17	Minor	19/12/2014	closed on 22/09/2016.
1137714N18	Minor	19/12/2014	closed on 22/09/2016.
1378035M1	Major	22/09/2016	closed on 11/11/2016.
1378035M2	Major	22/09/2016	closed on 11/11/2016.
1378035M3	Major	22/09/2016	Closed on 17/01/2017.
1378035M4	Major	22/09/2016	closed on 11/11/2016.
1378035M5	Major	22/09/2016	closed on 11/11/2016.
1378035M6	Major	22/09/2016	closed on 11/11/2016.
1378035M7	Major	22/09/2016	closed on 11/11/2016.
1378035M8	Major	22/09/2016	closed on 11/11/2016.
1378035M9	Major	22/09/2016	closed on 11/11/2016.
1378035M10	Major	22/09/2016	closed on 11/11/2016.
1378035M11	Major	22/09/2016	closed on 11/11/2016.
1378035M12	Major	22/09/2016	closed on 11/11/2016.
1378035M13	Major	22/09/2016	closed on 11/11/2016.
1378035M14	Major	22/09/2016	closed on 11/11/2016.
1378035M15	Major	22/09/2016	closed on 11/11/2016.
1378035M16	Major	22/09/2016	closed on 11/11/2016.
1378035M17	Major	22/09/2016	closed on 11/11/2016.
1378035M18	Major	22/09/2016	closed on 11/11/2016.
1378035M19	Major	22/09/2016	closed on 11/11/2016.
1378035N1	Minor	22/09/2016	Open
1378035N2	Minor	22/09/2016	Open
1378035N3	Minor	22/09/2016	Open

**RSPO Public Summary Report
Revision 4 (November /2016)**

Assessment Conclusion and Recommendation:

<p>Based on the findings during the assessment PT. Rigunas Agri Utama – Bungo Tebo POM Certification Unit and supply base complies with the RSPO P&C 2013, and the RSPO Supply Chain Certification Standard (Nov 2014) for CPO Mill. It is recommended that the certification of PT. Rigunas Agri Utama – Bungo Tebo POM Certification Unit is approved and continued.</p>	
Acknowledgement of Assessment Findings	Report Prepared by
<p>Name: Ir. Welly Pardede</p>	<p>Name: Pratama Agung Sedayu</p>
<p>Company name: PT. Rigunas Agri Utama – Bungo Tebo POM</p>	<p>Company name: On behalf of BSI Services Malaysia Sdn Bhd.</p>
<p>Title: Head of Sustainability</p>	<p>Title: Lead auditor</p>
<p>Signature:</p>  <p>Date: 17th January 2017</p>	<p>Signature:</p>  <p>Date: 17th January 2017</p>

Appendix A: Summary of Findings

Shall be replace with the appropriate checklist used for assessment

Criterion / Indicator	Assessment Findings	Compliance
Principle 1: Commitment to Transparency		
<p>Criterion 1.1: Growers and millers provide adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSP0 Criteria, in appropriate languages and forms to allow for effective participation in decision making.</p>		
<p>1.1.1</p> <p>There shall be evidence that growers and millers provide adequate information on (environmental, social and/or legal) issues relevant to RSP0 Criteria to relevant stakeholders for effective participation in decision making.</p> <p>- Minor compliance -</p>	<p>PT. Rigunas Agri Utama has a “Standard Operating Procedure Penanganan Permintaan Informasi Stakeholder No.SOP AA-GL-5008.1-R1” effective date 22/08/2011. The procedure lines out that initial response will be given within 14 working days. Information request will then recorded into logbook by public relation officer. After fulfilment the records of information request will be kept for 3 years.</p> <p>Bungo Tebo POM: Reporting the performance of palm oil mill treatment and land application to relevant bodies: “Daftar Distribusi Eksternal Laporan Land Aplikasi Period December 2015” dated 18/04/2016. Company also send the report to “Badan Lingkungan Hidup Provinsi Jambi”, “Kementerian Lingkungan Hidup Republik Indonesia”, “Pusat Pengendalian Pengembangan Ekoregion Sumatera di Pekanbaru” for report of land application period December 2015 – June 2016.</p> <p>Scheme smallholder: KUD Sawit Makmur: Communication mechanism under “Mekanisme komunikasi, konsultasi dan keluhan”.</p>	<p>Comply</p>
<p>1.1.2</p> <p>Records of requests for information and responses shall be maintained.</p> <p>-Major compliance</p>	<p>Company holds a register of information request and responses to those information request under record called “Logbook Permintaan Informasi dan Respon Terhadap Permintaan Informasi PT. Rigunas Agri Utama”. The register was updated as far as 09/09/2016.</p> <p>Document sampled: 2015: Information inquiry – “Surat Permintaan Laporan Tahunan Dinas Perkebunan Kabupaten Tebo No.525/15/Disbun/2015” dated 08/01/2016. The information request from the plantation service consist of legal aspect, plantation performance, corporate social responsibility performance, problem/issue matrix. The letter received by</p>	<p>Comply</p>

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>company on 14/02/2016. Company reponded by preparing the data on 11/01/2016. Subsequently company send it through letter "Laporan Perkembangan Kegiatan Usaha Perkebunan PT. RAU periode Juli-Desember 2015 No.EST-KBT/11/2016" dated 23/02/2016. The response by company (sending data via letter) was more than 14 working days since the letter received, this was not in line with company procedure "Standard Operating Procedure Penanganan Permintaan Informasi Stakeholder No.SOP AA-GL-5008.1-R1" effective date 22/08/2011. The procedure lines out that initial response will be given within 14 working days.</p> <p>2016: Data inquiry – "Surat Permintaan Data Kantor Lingkungan Hidup Pemerintah Kabupaten Tebo, No.900/113/LH-TU/2016 dated August 2016" with regards to register of ozone-damaging material in PT. Rigunas Agri Utama. The inquiry letter received by company on 27/08/2016. Company filled in the form/register and responded through letter "Surat Group Manager No.066/EST-KBT/EXT/VIII/2016" dated 28/08/2016. Receipt sighted, signed by authorities on 02/09/2016. "Laporan Kinerja Penanaman Modal Semester I tahun 2016", sent to "Kantor Penanaman Modal Daerah dan Pelayanan Kabupaten Tebo" dated 03/09/2016.</p> <p>Scheme smallholder: KUD Sawit Makmur: Cooperative received all information request and response in "Logbook Permintaan Informasi/Permintaan Tanggapan", started from January 2016 received 17 inquiries from village, company and smallholder member.</p> <p>KUD Sumay Jaya: Information request and response within KUD Sumay Jaya available under "Logbook Permintaan/Tanggapan Permintaan Informasi KUD Sumay Jaya". 4 information request recorded, without information of when was the response provided upon those request.</p>	
	<p>Major NC: Lack of evidence responses upon information request provided in appropriate manner by company and smallholder: - Company response upon information request, was more than 14 working days since</p>	

**RSPO Public Summary Report
Revision 4 (November /2016)**

Criterion / Indicator	Assessment Findings	Compliance
	<p>the information received/recorded; this was not consistent with company procedure "Standard Operating Procedure Penanganan Permintaan Informasi Stakeholder No.SOP AA-GL-5008.1-R1" effective date 22/08/2011.</p> <ul style="list-style-type: none"> - Scheme smallholder's response upon information request does not indicated when was the response being provided. <p>Corrective action:</p> <ol style="list-style-type: none"> 1. PT RAU has shown the monitoring of stakeholders report in 2016 (nucleus, mill and smallholders) to relevant stakeholders (government, NGO, KUD, farmer), such as: <ol style="list-style-type: none"> a. Report of RKL-RPL; frequency twice a year (January and July) b. Report of land application; frequency three months c. Report of business development (LPUP); frequency six months. Last LPUP conducted on July 22, 2016, reported to BLHD Tebo, BLHD Jambi. <p>Based on document of "Log Book of information request and response, year 2016, there is a request for information requested by BLHD on August 27, 2016 related to Data of ozone depleting substances. Responded on September 2, 2016 and the report has been sent.</p> 2. KUD's has updated the document of information request and response, available under "Logbook Permintaan/Tanggapan Permintaan Informasi", such as: <ol style="list-style-type: none"> a. KUD Sumay Jaya; there are 5 requests for information in 2016, and all of information has been addressed i.e: <ul style="list-style-type: none"> - On June 9, 2016, request information related to questions outside the FFB price higher than the price of plasma; Responded on June 2016, that the price of FFB plasma in accordance with price determined by DISBUN. - On August 12, 2016; the request of splash of road, responded on August 14, 2016 that it will be discussed with the management. b. KUD Sawit Makmur; there are 17 request for information in 2016, and all of information has been addressed i.e: <ul style="list-style-type: none"> - On October 19, 2016, the request related to postpone of closing due to the rainy season; responded on October 2016; response: the closing remained on October 20, 2016, will be delivered aid transport unit.\ 	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<ul style="list-style-type: none"> - On 25 October 2016, request related to providing the delivery order (DO) to transport of FFB; responded on October 25, 2016; response: the DO will be provided by KUD. <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. reports for government stakeholders and response to information inquiries; updated "Logbook Permintaan/Tanggapan Permintaan Informasi" for cooperative/KUD; furthermore audit team review the monitoring of incoming and outgoing information as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
<p>Criterion 1.2: Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.</p>			
1.2.1	<p>Publicly available documents shall include, but are not necessary limited to:</p> <p>Land titles/user rights (Criterion 2.2);</p> <ul style="list-style-type: none"> • Occupational health and safety plans (Criterion 4.7); • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); • HCV documentation (Criteria 5.2 and 7.3); • Pollution prevention and reduction plans (Criterion 5.6); • Details of complaints and grievances (Criterion 6.3); • Negotiation procedures (Criterion 6.4); • Continual improvement plans (Criterion 8.1); • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13). <p>- Major compliance -</p>	<p>Publicly available documents available under "Daftar Dokumen dan Informasi untuk Diakses Publik PT. Rigunas Agri Utama" dated 01/12/2015.</p> <ul style="list-style-type: none"> • Land titles/user rights (Criterion 2.2) – in form of Izin Lokasi, Izin Pelepasan Kawasan Hutan, Sertifikat HGU; • Occupational health and safety plans (Criterion 4.7) – in form of Laporan Pelaksanaan P2K3; • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8) – in form of AMDAL, Laporan RKL/RPL, Social Impact Assessment, Conservation Management Plan, Program management Lingkungan, Dokumen Corporate Social Responsibility, ; • HCV documentation (Criteria 5.2 and 7.3) – in form of document such as Identifikasi HCV, Dokumen Conservation Management Plan, Laporan HCV; • Pollution prevention and reduction plans (Criterion 5.6) – in form of Program Management Lingkungan, Continuous Improvement Program; • Details of complaints and grievances (Criterion 6.3) – in form of Rekaman Proses Musyawarah dan Hasil Kompensasi Ganti Rugi; • Negotiation procedures (Criterion 6.4) – Standard Operating Procedure Social (Penanganan Informasi, Keluhan, Konflik Lahan, dll); 	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> • Continual improvement plans (Criterion 8.1) – Continuous Improvement Program; • Public summary of certification assessment report – Public summary report dari Lembaga Sertifikasi; • Human Rights Policy (Criterion 6.13) – Kebijakan Perusahaan Poin 13. <p>Another documented information made available: FFB price in “Papan Harga TBS”; Medical check up result; “Laporan Pemakaian Air Permukaan”;</p> <p>Scheme smallholder: KUD Sawit Makmur: Publicly available documents available under “Daftar Dokumen dan Informasi untuk Diakses Publik Koperasi Unit Desa Sawit Makmur Kebun Plasma Bungo Tebo” dated 07/20/2016.</p> <ul style="list-style-type: none"> • Land titles/user rights (Criterion 2.2) – in form of Izin Mendirikan Bangunan (under process, letter from Desa Sekutur Jaya evident), Sertifikat Hak Milik Petani; • Occupational health and safety plans (Criterion 4.7) – in form of Laporan Pelaksanaan P2K3; • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8) – in form of AMDAL, Laporan RKL/RPL, Social Impact Assessment, Dokumen Corporate Social Responsibility, ; • HCV documentation (Criteria 5.2 and 7.3) – in form of document such as Identifikasi HCV; • Pollution prevention and reduction plans (Criterion 5.6) • Details of complaints and grievances (Criterion 6.3) • Negotiation procedures (Criterion 6.4) – in • Continual improvement plans (Criterion 8.1) • Public summary of certification assessment report – Public summary report dari Lembaga Sertifikasi; • Human Rights Policy (Criterion 6.13) – Kebijakan Koperasi <p>Another documented information made available: FFB price in “Papan Harga TBS”;</p> <p>KUD Sumay Jaya: Publicly available documents available under “Daftar Dokumen dan Informasi untuk Diakses Publik Koperasi Unit Desa Sumay Jaya Kebun Plasma Bungo Tebo” dated 07/20/2016.</p> <ul style="list-style-type: none"> • Land titles/user rights (Criterion 2.2) – in form of Izin Mendirikan Bangunan (under 	

**RSPO Public Summary Report
Revision 4 (November /2016)**

Criterion / Indicator	Assessment Findings	Compliance
	<p>process, letter from Desa Sekutur Jaya evident), Sertifikat Hak Milik Petani;</p> <ul style="list-style-type: none"> • Occupational health and safety plans (Criterion 4.7) – in form of Pelaksanaan P2K3; • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8) – in form of AMDAL, Laporan RKL/RPL, Social Impact Assessment, Dokumen Corporate Social Responsibility, ; • HCV documentation (Criteria 5.2 and 7.3) – in form of document such as Identifikasi HCV; • Pollution prevention and reduction plans (Criterion 5.6) • Details of complaints and grievances (Criterion 6.3) • Negotiation procedures (Criterion 6.4) – in • Continual improvement plans (Criterion 8.1) • Public summary of certification assessment report – Public summary report dari Lembaga Sertifikasi; • Human Rights Policy (Criterion 6.13) – Kebijakan Koperasi <p>Another documented information made available: FFB price in “Papan Harga TBS”; “Kebijakan Koperasi”, “Pajak dan Rertibusi”, “Akte Pendirian Koperasi”, “Dokumen CSR”, “IMB”,</p> <p>KUD Sumber Usaha, Desa Tuo Sumay, Kecamatan Sumay KUD Sumber Usaha has prepared a list of document and information available to be access by public, consist of 15 documents such as AMDAL, RKL-RPL implementation report, Deed of establishment of cooperative, social impact assessment, annual minutes of meeting, HCV identification, land certificates, agronomy procedure, “Izin Mendirikan Bangunan (IMB)”, health and safety implementation, Corporate Social Responsibility, FFB price board, tax and retribution, cooperative policy, public summary report from certification body. Type of document which available in cooperative and determining which party can access the document. For example; data related to AMDAL, can be accessed by government body, NGO; while for land certificate and tax-related record can be accessed by government.</p>	
	<p>Major NC: Pollution prevention and reduction plans (Criterion 5.6); Details of complaints and grievances (Criterion 6.3); Negotiation procedures (Criterion 6.4); Continual improvement plans (Criterion 8.1) was not part</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>of publicly available document in smallholder operation, KUD Sumay Jaya and KUD Sawit Makmur; This is non compliance against RSPO standard 1.2.1.</p> <p>Corrective action: KUD Sumay Jaya and KUD Sawit Makmur have shown the list of publicly available documents in "List Dokumen dan Informasi untuk Di Akses Publik", such as:</p> <ol style="list-style-type: none"> 9. AMDAL; available to government, NGOs, union 10. Report of RKL-RPL; available to government, farmer, NGOs and union 11. Sosial Impact Assessment; available to government, farmer, NGOs and union 12. Identification and sources of emissions prevention available to government, farmer, NGOs and union (5.6) 13. Log Book of Complaint (6.3) 14. Mechanisms for Handling Complaints and Conflict in Plasma (6.4) 15. Communication Mechanism, Konsultasidan Complaints (6.4) 16. Continuous Improvement Program (8.1) <p>As a corrective action, KUD chairmans will create a list of accesible document, communicating the list of document as well as relevant RSPO Principle and Criteria to all smallholder farmer. Sustainability team and smallholder manager of PT. Rigunas Agri Utama will involving cooperative/KUD in preparing RKL-RPL report every 6-monthly.</p> <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. updated list of accesible document, dated 10th October 2016; Audit team seen record of RSPO P&C communications; furthermore audit team review the planning for RKL-RPL report preparation with KUDs as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
<p>Criteria 1.3: Growers and millers commit to ethical conduct in all business operations and transactions.</p>			
1.3.1	There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions, which shall be documented and communicated to all	PT. Rigunas Agri Utama – Bungo Tebo Group has a company policy/"Kebijakan Perusahaan", signed by Managing Director on 12/01/2014. The policy mentioned company's commitment to uphold and respect code of ethical conduct in all operation. The commitment including	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
	<p>levels of the workforce and operations.</p> <p>-Minor compliance</p>	<p>prevention of corruption, collusion and nepotism.</p> <p>The company policy is available on notice board. Based on interview with workers, during stakeholder consultation, it was noted that worker has a basic understanding of company policy related to code of ethical conduct.</p> <p>Scheme smallholdera: KUD Sawit Makmur: Cooperative has defined their policy for code of ethical conduct in "Kebijakan Koperasi" in which mention commitment to respect code of ethical conduct and prohibit any form of corruption, bribery and fraud on use of data and resources in cooperative operation. The policy has been disseminated to smallholder farmer on a number of occasions.</p>	
Principle 2: Compliance with applicable laws and regulations			
Criterion 2.1:			
There is compliance with all applicable local, national and ratified international laws and regulations.			
2.1.1	<p>Evidence of compliance with relevant legal requirements shall be available.</p> <p>- Major compliance -</p>	<p>PT. Rigunas Agri Utama has conducted evaluation of compliance with relevant legal requirements. The evaluation was conducted by public relation officer on annual basis. Evaluation result seen for 2015; dated 1st April 2015; company added evaluation on "Keputusan Gubernur Jambi No.11 tahun 2012". Evaluation result for 2016; dated 1st August 2016, company added evaluation on numerous regulations, such as: "Keputusan Gubernur Jambi No.460/Kep.Gub/Disosnakertrans/2015 tentang Penetapan UMP Jambi Tahun 2016", "Peraturan Pemerintah No.101 tahun 2014 tentang Pengelolaan Limbah B3", "Peraturan Menteri Tenaga Kerja No.9 Tahun 2016", "Peraturan Menteri Lingkungan Hidup No.5 Tahun 2014 tentang Baku Mutu Air Limbah", "Peraturan Pemerintah No.27 Tahun 2012 tentang Izin Lingkungan", "Peraturan Menteri Pertanian No.11 tahun 2015 tentang ISPO".</p> <p>Bungo Tebo POM: Mill machineries permit and inspection: "Pengesahan Pemakaian Turbin Uap Dinas Tenaga Kerja Kabupaten Asahan" No.5205/TU/IV-DTK/2014 dated 09/12/2014 for Steam turbine Shinko. Latest inspection by CV.Jaya Abadi No.05867TU/JA/11/2016 dated</p>	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>09/02/2016. Report stated the turbine condition and function is good.</p> <p>“Izin Pengesahan Pemakaian Motor Diesel Dinas Tenaga Kerja Kabupaten Asahan” No.5208/MD/IV-DTK/2014 dated 09/12/2014 for motor diesel Deutz. Latest inspection report No.0588/MD/JA/II/2016 dated 09/02/2016.</p> <p>“Akte Izin Bejana Uap Kepala Dinas Tenaga Kerja Kabupaten Asahan No.5210/BU/IV-DTK/2014 dated 09/12/2014 for steam vessel, back pressure.</p> <p>“Akte Izin Bejana Uap Kepala Dinas Tenaga Kerja Kabupaten Asahan No.5214/BU/IV-DTK/2014 dated 09/12/2014 for steam vessel, vertical sterilizer.</p> <p>“Pengesahan Penggunaan Instalasi Penyalur Petir di Tempat Kerja Departemen Tenaga Kerja Kantor Wilayah Propinsi Sumatera Utara” No.04/VI/PPT/KONV/W2/1999 dated 08/06/1999 for lighting arrester installation. Latest inspection report evident No.0582/IPTR/JA/II/2016 dated 09/02/2016.</p> <p>“Pengesahan Penggunaan Instalasi Listrik di Tempat Kerja Dinas Tenaga Kerja Kabupaten Asahan” No.1462/10/IL/IV-DTK/2005 dated 14/06/2005 for electrical installation. Latest inspection report No.0583/IL/JA/II/2016 dated 09/02/2016. Report stated the crane condition and function is good.</p> <p>“Akte Izin Departemen Tenaga Kerja Kantor Wilayah Propinsi Sumatera Utara untuk Ketel Uap” No.02.H.0011A dated 11/1989 steam vessel/boiler. Latest inspection report evident No.0580/KU/JA/II/2016 dated 09/02/2016.</p> <p>Bungo Tebo POM: Certificate and competence. Keputusan Menteri Tenaga Kerja dan Transmigrasi RI No.KEP.P.1750/M/DJPPK/IX/2014 tentang Penunjukan Ahli K3 under name Dedi Handoko, dated 09/23/2014 valid for 3 years.</p> <p>Sertifikat Operator Pesawat Uap Kelas I No.688/PNK3-PUBT/OB-I/VII/08 under name Darmawansyah, dated 07/07/2008. Holds valid license dated 06/07/2013 until 2018.</p> <p>Sertifikat Pembinaan K3 Bidang Pesawat Uap No.Ser.654-OPK3-PUBT-B.II/VI/2013 under name Rinto Sitohang, dated 06/24/2013. Holds valid license dated 06/07/2013 until 2018.</p> <p>Sertifikat Operator Pesawat Uap Kelas I No.10.621/PNK3-PUBT/OB-I/V/10 under name Muslihudin, dated 05/17/2010. Holds valid license dated 06/07/2013 until 2018.</p> <p>Sertifikat Pembinaan K3 Bidang Pesawat Uap Kelas 2 No.Ser.657-OPK3-PUBT-B.II/VI/2013 under name Galvani Mandala Wahyudi, dated 06/24/2013. Holds valid license dated</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>06/07/2013 until 2018.</p> <p>Sertifikat Pembinaan Teknik K3 Teknisi Listrik No.Ser.00305/TK3-LIST/II/2014 under name JonVeri Ronal Sinaga, dated 02/27/2014. Holds valid license No.Reg.6707/TK3-LIST/II/2014 dated 02/27/2014 until 2017.</p> <p>Sertifikat Juru Las Kelas II No.S.227/JL/PNK3/VI/2014 under name Royal Andi Panggabean, dated 06/20/2014. No license.</p> <p>Sertifikat Pembinaan K3 Bidang Pesawat Tenaga dan Produksi Operator K3 Diesel No.Ser.13.131/OP.D.K3/PTP/V/2013 under name Budiman Siahaan, dated 05/13/2013. Holds valid license dated 05/13/2013 until 2018.</p> <p>Sertifikat Operator Pesawat Uap Kelas I No.10.669/PNK3-PUBT/OB-I/V/10 under name Syahmadin, dated 05/17/2010. Holds valid license dated 06/07/2013 until 2018.</p> <p>Sertifikat Pembinaan K3 Bidang Pesawat Tenaga dan Produksi Operator K3 Diesel No.Ser.13.132/OP.D.K3/PTP/V/2013 under name Kadri, dated 05/13/2013. Holds valid license dated 05/13/2013 until 2018.</p> <p>Sertifikat Pembinaan K3 Bidang Pesawat Uap Kelas 2 No.Ser.656-OPK3-PUBT-B.II/VI/2013 under name Suwito, dated 06/24/2013. Holds valid license dated 06/24/2013 until 2018.</p> <p>Sertifikat Operator Pesawat Uap Kelas I No.690/PNK3-PUBT/OB-I/VII/08 under name Jimmer Hutagalung, dated 07/07/2008. Holds valid license No.P.08.690-OPK3-PUBT-B.I/VI/2013 dated 06/07/2013 until 2018.</p> <p>Sertifikat Pembinaan K3 Bidang Pesawat Uap Kelas 2 No.Ser.652-OPK3-PUBT-B.II/VI/2013 under name Harzonel Sihombing, dated 06/24/2013. Holds valid license dated 06/24/2013 until 2018.</p> <p>Sertifikat Pembinaan K3 Bidang Pesawat Uap Kelas 2 No.Ser.653-OPK3-PUBT-B.II/VI/2013 under name Yamo Taroma Zebua, dated 06/24/2013. Holds valid license dated 06/24/2013 until 2018.</p> <p>Scheme smallholder: KUD Sawit Makmur: IMB: under process, based on "Surat Keterangan Penyerahan Tanah Desa Sekutur Jaya No.270/SJ/2015" signed by head of Sekutur Jaya village, dated 09/11/2015. Establishment: "Akta Pendirian Koperasi Tani Sawit Makmur No.02/BH/KDK.5.3/I/1999" dated 01/11/1999. The act registered on "Buku Daftar Umum Departemen Koperasi Pengusaha Kecil dan Menengah Republik</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>Indonesia". Act including "anggaran dasar dan anggaran rumah tangga". The establishment was subsequently revised as per "Keputusan Kepala Kantor Pelayanan Terpadu Satu Pintu Kabupaten Tebo tentang Pengesahan Perubahan Anggaran Dasar Koperasi No.413/32/BH/PAD/KPTSP/03/2011" dated 05/03/2011.</p> <p>Registration: "Tanda Daftar Perusahaan Koperasi Sawit Makmur No.05.08.5.52.000142" dated 05/05/2011 – expired in 05/05/2015.</p> <p>Izin Tempat Usaha: "Keputusan Kepala Kantor Pelayanan Terpadu Satu Pintu tentang Izin Tempat Usaha No.503/170/ITU/KPTSP/2011" dated 05/05/2011 – expired in 05/05/2015;</p> <p>Business Permit: "Surat Izin Usaha Perdagangan Koperasi Sawit Makmur No.510/145/SIUP/KPTSP/2011" dated 05/05/2011 – expired in 05/05/2015.</p> <p>Annual Member Meeting: "Laporan Pertanggungjawaban Pengurus Koperasi Sawit Makmur Tahun 2015" meeting conducted on 05/12/2016.</p> <p>Tax registration number: Registration No.02.907.890.4.332.000 since 2011.</p> <p>Memorandum of Understanding between PT. Rigunas and cooperative Sawit Makmur available in "Surat Perjanjian Produksi, Jual Beli TBS dan Pemeliharaan Tanaman setelah Undian Kapling sampai Akad Kredit", between farmer group in cooperative and company.</p> <p>Sample taken: "Surat Perjanjian" between "Kelompok Tani Tani Makmur Desa Sekutur Jaya (Hampan 35)"; Kelompok Tani Jaya Tani (Hampan 34)"; "Kelompok Tani Kecubung Biru (Hampan 36)" – signed on 17th May 2000 and witnessed by Sekutur Jaya village head, Tebo Ulu district head, and Assisstant II Tebo regent.</p> <p>KUD Sumay Jaya: Establishment: "Akta Perubahan Anggaran Dasar Koperasi Unit Desa Sumay Jaya No.675/BH/XV. Registration: "Tanda Daftar Perusahaan Koperasi Sumay Jaya No.05.08.5.52.000158" dated 03/27/2015 – expired in 03/27/2020. Business Permit: "Surat Izin Usaha Perdagangan Koperasi Sumay Jaya No.510/159/SIUP/KPMD-PPT/2015" dated 03/27/2015 – until 03/27/2020. Annual Member Meeting: "Laporan Pertanggungjawaban Pengurus Koperasi Sumay Jaya Tahun 2015" meeting conducted on 02/03/2016.</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>Tax registration number: Registration No.1.631.570.7-332.</p> <p>Memorandum of Understanding between PT. Rigunas and cooperative available in "Surat Perjanjian Produksi, Jual Beli TBS dan Pemeliharaan Tanaman setelah Undian Kapling sampai Akad Kredit", between farmer group in cooperative and company. Sample taken: "Surat Perjanjian" between "Kelompok Tani Belangkai Indah Desa Tuo Sumay (Hampanan 27)"; Kelompk Tani Tandan Buah Segar (Hampanan 28)"; "Kelompok Tani Talang Datuk (Hampanan 29)"; "Kelompok Tani Salak Sekilan (Hampanan 30)" – signed on October 1993 and witnessed by Tuo Sumay village head, Sumay district head, and Bungo Tebo regent.</p> <p>KUD Tanjung Aur: Establishment: Akta Pendirian Koperasi Tanjung Aur Duri No.1 dated 09/14/2016. Pengesahan/approval has not been available.</p>	
	<p>NC Major:</p> <p>Non-compliance against relevant legal requirements identified in company and smallholder operation.</p> <ol style="list-style-type: none"> 1. PT. Rigunas Agri Utama was not able to demonstrate environmental permit - "Izin Lingkungan" upon kernel crushing plant operation, as regulated under "Undang-undang No.32 tahun 2009 tentang Perlindungan dan Pengelolaan Lingkungan". 2. Based on document review, it was known that in smallholder organization, in KUD Sawit Makmur the "Tanda Daftar Perusahaan" and "Surat Izin Usaha Perdagangan" was expired since May 2015. <p>Corrective Action:</p> <p>As a corrective action, company is working closely with "Tim Penyusun AMDAL", Badan Lingkungan Hidup Kabupaten Tebo and Badan Lingkungan Hidup Provinsi Jambi. Legal document verification on 3-monthly basis with involvement of Environmenta manager, GM PT. Rigunas Agri Utama, Manager Bungo Tebo POM, SSL team, sustainability team.</p> <ol style="list-style-type: none"> 1. The "Badan Lingkungan Hiduo Provinsi Jambi" has issued "Surat Keputusan No.1071.1/R/BLHD-2.1/XI/2016 tentang Rekomendasi Hasil Penilaian Akhir Addendum Dokumen ANDAL dan RKL-RPL Rencana Kegiatan Pembangunan Kernel Crushing Plant (KCP) dengan Kapasitas 200 ton/hari, Pembangunan Pembangkit 	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>Listrik Tenaga Biogas (PLTBG) yang Menghasilkan Tenaga Listrik Sebesar 3 MW dan Replanting dengan Rencana Luas Lahan 2,506 Ha di Kecamatan Sumay dan Kecamatan Serai Serumpun Kabupaten Tebo Provinsi Jambi oleh PT. Rigunas Agri Utama”, signed by Kepala Badan Lingkungan Hidup on 28th November 2016. The permit for KCP has been approved.</p> <p>2. The “Badan Lingkungan Hidup Provinsi Jambi” has issued “Surat Keputusan No.1071.2/ BLHD-2.1/XI/2016 tentang Penerbitan SK Kelayakan Lingkungan Hidup dan Izin Lingkungan atas nama PT. Rigunas Agri Utama”, signed by Kepala Badan Lingkungan Hidup on 28th November 2016. The company has been granted with “Surat Keputusan Kelayakan Lingkungan”.</p> <p>As a corrective action, PT. Rigunas Agri Utama will help cooperative/KUD chairman to verification of license and permit for cooperatives on 3-monthly basis.</p> <p>1. KUD Sawit Makmur has shown the document of “Tanda Terdaftar Perusahaan” issued by Kantor Penanaman Modal Daerah dan Pelayanan Perizinan Terpadu Kabupaten Tebo No.05.08.5.52.0050J, on November 17, 2016; valid until November 17, 2021. KUD Sawit Makmur also has shown the document of “Surat Izin Usaha Perdagangan” issued by Kantor Penanaman Modal Daerah dan Pelayanan Perizinan Terpadu Kabupaten Tebo No.510/297/SIUP/KPMD-PPT/2016, on November 17, 2016; on Permission to undertake business activities in the entire territory of the republic of Indonesia for the company is still in the operations and shall be re-registered every 5 (five) years. Valid until November 17, 2021. The evaluation stated “Comply”;</p> <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. environmental permit, dated 28th November 2016; New “Surat Izin Usaha Perdagangan” for KUD; PT. Rigunas Agri Utama has updated the “Dokumen Kepatuhan Hukum” dated 1st</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>October 2016; furthermore audit team review the planning for legal document verification with KUDs as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 17th January 2017.</p>	
2.1.2	<p>A documented system, which includes written information on legal requirements, shall be maintained.</p> <p>- Minor compliance -</p>	<p>PT. Rigunas Agri Utama has conducted evaluation of compliance with relevant legal requirements. The evaluation was conducted by public relation officer on annual basis. Evaluation result seen for 2015; dated 1st April 2015; company added evaluation on "Keputusan Gubernur Jambi No.11 tahun 2012". Evaluation result for 2016; dated 1st August 2016, company added evaluation on numerous regulations, such as: "Keputusan Gubernur Jambi No.460/Kep.Gub/Disosnakertrans/2015 tentang Penetapan UMP Jambi Tahun 2016", "Peraturan Pemerintah No.101 tahun 2014 tentang Pengelolaan Limbah B3", "Peraturan Menteri Tenaga Kerja No.9 Tahun 2016", "Peraturan Menteri Lingkungan Hidup No.5 Tahun 2014 tentang Baku Mutu Air Limbah", "Peraturan Pemerintah No.27 Tahun 2012 tentang Izin Lingkungan", "Peraturan Menteri Pertanian No.11 tahun 2015 tentang ISPO".</p> <p>Company has established "Prosedur Pemenuhan Peraturan Perundang-undangan dan perubahannya SOP AA-GL-5001.1-R0", dated 5th December 2009. This procedure stated company whose assigned for PIC law compliance was Social, Security and Legal (SSL) department. The department is obliged to inform the issuance of any new regulation and communicating interpretation and implementation of this new regulation. Relevant departments are obliged to review the process on their department and ensure the relevant regulations are implemented. If necessary, relevant department will revise the policy, revise the procedure/work instruction, and communicating the changes to all interested parties.</p> <p>Scheme smallholders: KUD Sumber Usaha Cooperative has show a list of regulations covering 23 types of regulations. KUD Sumber Usaha has consistently evaluating regulation compliance. For example, on 5th July 2016 cooperative has evaluated 23 types of regulation, such as "Undang-Undang No.25 Tahun 1982 tentang Perkoperasian dan Pemasarakatannya", "Undang-Undang No.5</p>	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>tahun 1990 tentang Konservasi Sumberdaya Alam Hayati dan Ekosistemnya”, “Peraturan Menteri Pertanian No.14/Permentan/OT.140/2/2013 tentang Pedoman Penetapan Harga Pembelian TBS Produksi Pekebun”. The evaluation covers evaluation per chapter related to cooperative operational, requirement compliance, status of compliance, evidence of compliance.</p>	
	<p>NC Major: This Major NC was escalated from Minor NC. A documented system and list of legal requirements is available, however the list was found to be incomplete. Based on document verification against “Dokumen evaluasi kepatuhan hukum PT. Rigunas Agri Utama 2015 and 2016” shows company has not evaluated “Peraturan Gubernur Jambi No.84 tahun 1996 tentang Baku Mutu Limbah Cair dan Emisi Udara”.</p> <p>Corrective action: “Peraturan Gubernur Jambi No.84 tahun 1996 tentang Baku Mutu Limbah Cair dan Emisi Udara” has been replace with “Peraturan Gubernur Jambi Nomor 20 Tahun 2007 tentang Baku Mutu Lingkungan Daerah Propinsi Jambi”, As in chapter 14. PT RAU has updated the “Dokumen Kepatuhan Hukum” dated October 1, 2016, such as by added “Peraturan Gubernur Jambi Nomor 20 Tahun 2007 tentang Baku Mutu Lingkungan Daerah Propinsi Jambi”. The result of evaluation is “compliance”, the document provided in “Surface Water Quality Monitoring Report”.</p> <p>As a corrective action, legal compliance verification whenever new regulation was issued by public relation officer. Evidence seen:</p> <ul style="list-style-type: none"> - Surface Water Quality Monitoring; conducted on 10-18 June 2016; location in Bungo Tebo POM; type of sample: Surface water; sample identification of headwaters-downstream in Pemuatan river, Lalo river and Belangkai river. Sample was drawn by PT Sucofindo Indonesia. - “Berita Acara Pengambilan dan Pengerjaan Contoh” No: 200/03/60/337, dated October 20, 2016, conducted by Sucofindo, <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e.</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>environmental permit, dated 28th November 2016; PT. Rigunas Agri Utama has updated the "Dokumen Kepatuhan Hukum" dated 1st October 2016; furthermore audit team review the planning for legal document verification as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
<p>2.1.3</p> <p>A mechanism for ensuring compliance shall be implemented.</p> <p>- Minor compliance -</p>	<p>Company has established "Prosedur Pemenuhan Peraturan Perundang-undangan dan perubahannya SOP AA-GL-5001.1-R0", dated 5th December 2009. This procedure stated company whose assigned for PIC law compliance was Social, Security and Legal (SSL) department. The department is obliged to inform the issuance of any new regulation and communicating interpretation and implementation of this new regulation. Relevant departments are obliged to review the process on their department and ensure the relevant regulations are implemented. If necessary, relevant department will revise the policy, revise the procedure/work instruction, and communicating the changes to all interested parties.</p> <p>In the case of new regulation, PIC Law compliance will conduct update on regulation compliance evaluation. Based on verification on document "Status Evaluasi Kepatuhan terhadap Peraturan 2016" shows company has not conducted evaluation on "Izin Lingkungan" for newly built kernel crushing plant.</p> <p>Scheme smallholder: Legal compliance evaluation covers every chapter in the regulation, which related to cooperative operation, compliant requirement, status of compliance, evidence of compliance as explained in "Dokumen Evaluasi Kepatuhan Hukum" which updated every time new regulation issued. KUD Sawit Makmur: Evaluation to observe cooperative and smallholder member compliance against all relevant laws and regulation documented under "Evaluasi Kepatuhan Hukum KUD Sawit Makmur SP2", latest review on 07/05/2016. Tanda Daftar Perusahaan – expired Surat Izin Usaha Perdagangan – expired However, the evaluation does not indicate a non-conformity with relevant laws and regulation.</p> <p>KUD Sumay Jaya:</p>	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
	<p>Company helped cooperative to identify all relevant laws and regulations. Some of the laws and regulations identified: Undang-undang No.25 tahun 1992 tentang Koperasi dan Pemasarakatannya, Undang-undang No.12 tahun 1992 tentang Sistem Budidaya Tanaman, Undang-undang No.13 tahun 2003 tentang Ketenagakerjaan, Peraturan Menteri Pertanian No.14/Permentan/OT.140/2/2013 tentang Pedoman Penetapan Harga Pembelian Tandan Buah Segar Kelapa Sawit Produksi Pertanian.</p>	
	<p>NC Major: This Major NC was escalated from Minor NC. Company mechanism for ensuring compliance to relevant regulation was not effective. Based on verification upon "Evaluasi Kepatuhan Peraturan tahun 2016" shows company has not evaluated kernel crushing plant operation, with regards to the environmental permit. In addition:</p> <ul style="list-style-type: none"> - Based on verification upon smallholder organization "Evaluasi Kepatuhan KUD Sawit Makmur" shows "Tanda Daftar Perusahaan" and "Surat Izin Usaha Perdagangan" has expired since May 2015 – while the evaluation stated "Comply"; - Based on verification upon smallholder organization ""Evaluasi Kepatuhan KUD Sumay Jaya" shows "Peraturan Gubernur Riau tentang Upah Minimum" as reference for minimum wage, and evaluated as "comply"; - Based on verification upon smallholder organization ""Evaluasi Kepatuhan KUD Tanjung Aur Duri" shows organization has not hold valid permits for "Tanda Daftar Perusahaan", "Surat Izin Usaha Perdagangan", "Surat Izin Tempat Usaha" - as required by Undang-undang No.3 Tahun 1982; Regulation on "Peraturan Pemerintah No.7 Tahun 1999 tentang Pengawetan Jenis Tumbuhan dan Satwa" evaluated as Comply, but no evidence provided. <p>Corrective Action: Based on review the last updated document of "Evaluasi Kepatuhan Peraturan tahun 2016", it has been shown that PT RAU has evaluated kernel crushing plant operation, with regards to the environmental permit. PT. Rigunas Agri Utama has updated the "Dokumen Kepatuhan Hukum" dated 1st October 2016The evaluation stated "not yet comply". It has been updated further. As a corrective action, legal compliance</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>verification whenever new regulation was issued by public relation officer.</p> <p>KUDs have updated the "Dokumen Evaluasi Kepatuhan Hukum", such as: KUD Sawit Makmur updated on October 10, 2016; KUD Sumay Jaya updated on October 7, 2016; and KUD Tanjung Aur Duri updated on October 10, 2016, in detail as follows:</p> <ul style="list-style-type: none"> - KUD Sawit Makmur has shown the document of "Tanda Terdaftar Perusahaan" issued by Kantor Penanaman Modal Daerah dan Pelayanan Perizinan Terpadu Kabupaten Tebo no 05.08.5.52.0050J, on November 17, 2016; valid until November 17, 2021. KUD Sawit Makmur has shown the document of "Surat Izin Usaha Perdagangan" issued by Kantor Penanaman Modal Daerah dan Pelayanan Perizinan Terpadu Kabupaten Tebo no 510/297/SIUP/KPMD-PPT/2016, on November 17, 2016; on Permission to undertake business activities in the entire territory of the republic of Indonesia for the company is still in the operations and shall be re-registered every 5 (five) years. Valid until November 17, 2021. The evaluation stated "Comply"; - KUD Sumai Jay has referred to "Surat Keputusan Gubernur Jambi No.460/KEP.GUB/DINSOSNAKERTRANS/2015 tentang Upah Minimum Propinsi Jambi Tahun 2016, as reference for minimum wage. The evaluated status as "comply"; - KUD Tanjung Aur Duri has demonstrated the document of "Evaluasi Kepatuhan Hukum", the evaluated status of permit for "Tanda Daftar Perusahaan", "Surat Izin Usaha Perdagangan", "Surat Izin Tempat Usaha" - as required by Undang-undang No.3 Tahun 1982; the evaluation status as "not yet- comply". And the evaluation to "Peraturan Pemerintah No.7 Tahun 1999 tentang Pengawetan Jenis Tumbuhan dan Satwa", status evaluation is comply. As in document of "Laporan Akhir Identifikasi Keberadaan Nilai Konservasi Tinggi (NKT) tahun 2014", in appendix 7 on the Letter of Agreement between PT. RAU, community and KUD on the protection of wildlife around company and smallholders area. (SP1, SP2, SP5, SP6 and SP7). The evaluation status as "comply" <p>As a corrective action, PT. Rigunas Agri Utama</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>will help cooperative/KUD chairman to verification of list of regulation for cooperatives on 3-monthly basis.</p> <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. environmental permit, dated 28th November 2016; for KUDs, they have updated the permit and list of legal documents; PT. Rigunas Agri Utama has updated the "Dokumen Kepatuhan Hukum" dated 1st October 2016; furthermore audit team review the planning for legal document verification with KUDs as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
2.1.4	<p>A system for tracking any changes in the law shall be implemented.</p> <p>- Minor compliance -</p>	<p>Company has established "Prosedur Pemenuhan Peraturan Perundang-undangan dan perubahannya SOP AA-GL-5001.1-R0", dated 5th December 2009. This procedure stated company whose assigned for PIC law compliance was Social, Security and Legal (SSL) department. The department is obliged to inform the issuance of any new regulation and communicating interpretation and implementation of this new regulation. Relevant departments are obliged to review the process on their department and ensure the relevant regulations are implemented. If necessary, relevant department will revise the policy, revise the procedure/work instruction, and communicating the changes to all interested parties.</p> <p>Every time a new regulation PIC Law compliance will update the legal compliance evaluation.</p> <p>Scheme smallholder: Scheme manager will inform the scheme smallholders (cooperative) if there is any a change or amendment in laws and regulations. Scheme manager conduct meetings with the cooperative members to ensure compliance.</p> <p>KUD Sumay Jaya: Document was relevant and up-to-date, identified regulation related to SIUP/TDP.</p>	Comply

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.

Criterion / Indicator	Assessment Findings	Compliance
<p>2.2.1</p> <p>Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available.</p> <p>- Major compliance -</p>	<p>Bungo Tebo Estate:</p> <p>Company has legal land use from government in form of:</p> <ul style="list-style-type: none"> - Izin Rencana Proyek Transmigrasi - Permit for transmigration project; issued through “Surat Keputusan Menteri Keuangan No.SS-32/MK.013/1989” dated 6th January 1989 and “Surat Keputusan Menteri Pertanian No.74/Kpts/KB.510/1/1989 tentang Pengesahan Rencana Pelaksanaan Proyek PIR-Trans Kelapa Sawit PT. Rigunas Agri Utama di Kabupaten Bungo Tebo, Provinsi Jambi”, dated 31st January 1989. - Izin Pencadangan Tanah – Land reserve permit as in “Surat Keputusan Gubernur Jambi No.176 tahun 1990 tentang Pencadangan Tanah untuk Keperluan PIR Kelapa Sawit PT Rigunas Agri Utama, tertanggal seluas ± 30.000 Ha”, dated 25th May 1990. Based on the permit, the HGU for nucleus estate of 5,000 Ha and the rest develop as scheme smallholder. - Izin pelepasan kawasan hutan – forest area release permit; issued through “Surat Keputusan Menteri Kehutanan No.771/Kpts-II/1993 tentang Pelepasan Sebagian Kelompok Hutan Sungai Langisip, Sungai Kilis, Sungai Batanghari terletak di Kabupaten Bungo Tebo, Provinsi Jambi seluas 22.710 Ha” dated 18th November 1993. - Izin Pelaksanaan proyek PIR Trans Kelapa Sawit PT Rigunas Agri Utama – Permit for PIR Trans development of PT. Rigunas Agri Utama as in “Surat Keputusan Menteri Transmigrasi dan Pemukiman Perambah Hutan No.KEP/165/MEN/1994 tentang Izin Pelaksanaan Transmigrasi (sementara) Pola PIR Trans dengan Komoditas Kelapa Sawit kepada PT. Rigunas Agri Utama II di Lokasi Peranap, Kecamatan Tebo Ulu dan Tebo Tengah, Kabupaten Bungo Tebo” dated 13th Desember 1994. - Izin penggunaan Penanaman modal dalam negeri – Permit for Investment; “Surat Keputusan Badan Koordinasi Penanaman Modal Persetujuan Tetap Penanaman Modal Dalam Negeri No.85/I/PMDN/1987 tertanggal 18 Maret 1987 juncto No.33/III/PMDN/1996 tertanggal 16 Januari 1996”. - PT. Rigunas Agri Utama obtains legal land use right, land title - Hak Guna Usaha (HGU) as stated in “Surat Keputusan Menteri Agraria/Kepala BPN melalui Keputusan No.51/HGU/BPN/96 tentang Pemberian Hak Guna Usaha atas nama PT. Rigunas Agri Utama, atas tanah di Kabupaten Bungo Tebo 	<p>Comply</p>

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>dengan luas ±4.388,50 Ha terletak di Kecamatan Tebo Ulu dan Perwakilan Sumai, Kabupaten Bungo Tebo, Provinsi Jambi”, dated 27th November 1996. The land title was based on “Hasil Risalah Panitia Pemeriksaan Tanah B melalui Risalah No. 01/Pan.B/1994 dan 02/Pan.B/1994”, dated 14th April 1994.</p> <ul style="list-style-type: none"> - In 1997, “Kantor Pertanahan Kabupaten BungoTebo issued HGU certificate for PT. Rigunas Agri Utama, consist of: <ul style="list-style-type: none"> - “Sertifikat No.1 dengan luas 2,070 Ha berada di Desa Tuo Sumai sesuai dengan Surat Ukur No.160/1994 tertanggal 03 Mei 1994”, dated 1st May 1997. Valid until 1st May 2032. In 2002, there was reduction in HGU hectarage of 465.70 Ha for scheme smallholder plantation and listed to “Kantor Pertanahan Kabupaten Tebo (DP No. 50/2002)” on 19th July 2002. Final hectarage 1,604.3 Ha. - “Sertifikat No.1 dengan luas 2,318.5 Ha berada di Desa Sungai Rambai sesuai dengan Surat Ukur No.161/1994 tertanggal 3 Mei 1994” dated 1st May 1997. HGU valid until 1st May 2032. Back in 1999, there was reduction in HGU hectarage of 636.3 Ha for scheme smallholder plantation. This reduction was registered by “Kantor Pertanahan Kabupaten Bungo Tebo (DP No. 4277/1999 dan W. No. 3191/1999)” on 14th September 1999. Another reduction in HGU occurred in 2002 of 634.846 Ha for scheme smallholder plantation, as registered in “Kantor Pertanahan Kabupaten Tebo (DP No. 49/2002)” on 19th July 2002. The final hectarage was 1,047.354 Ha. <p>Note: Based on HGU of PT. Rigunas Agri Utama’s document verification, part of scheme smallholder plantation that has been developed was located in area with topography and/or attacked by elephant. For the failure, company has to replace the smallholder area with company-owned plantation. This was recorded as in above-mentioned explanation: Release partial “HGU No.1 tahun 1997 Desa Tuo Sumay” of 465.7 Ha dated back 19th July 2012; Release partial “HGU No.1 tahun 1997 Desa Sungai Rambai” of 636.3 Ha dated 14th September 1999 and another 634.846 Ha dated 19th July 2012; as replacement for scheme smallholder plantation.</p> <ul style="list-style-type: none"> - In 2016, PT. Rigunas Agri Utama was 	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>granted with land title/HGU issued by “Kepala Kantor Wilayah Pertanahan Provinsi Jambi” through “Surat Kepala Kantor Wilayah BPN Provinsi Jambi No.03/HGU/BPN.15/2016 tentang Pemberian Hak Guna Usaha atas nama PT. Rigunas Agri Utama atas tanah di Kabupaten Tebo, Provinsi Jambi dengan luas 715.65 Ha” dated 5th August 2016. This decree was subsequently issued with Hgu certificate by “Kantor Pertanahan Kabupaten Tebo”, consist of:</p> <ul style="list-style-type: none"> - “Sertifikat HGU No.39, tahun 2016 berada di Desa Tuo Sumay seluas 133.71 Ha sesuai dengan Surat Ukur No.28/06.09.00.00/2016 tertanggal 18 Agustus 2016; NIB 06.09.00.00.00129”, dated 19th August 2016, valid until 5th August 2046. - “Sertifikat HGU No.40, tahun 2016 berada di Desa Teluk Singkawang, seluas 108.08 Ha sesuai dengan Surat Ukur No.29/06.09.00.00/2016 tertanggal 18 Agustus 2016; NIB 06.09.00.00.00130”, dated 19th August 2016, valid until 5th August 2046; - “Sertifikat HGU No.41, tahun 2016 berada Desa Tuo Sumay, seluas 103.97 Ha sesuai dengan Surat Ukur No.30/06.09.00.00/2016 tertanggal 18 Agustus 2016; NIB 06.09.00.00.00131” dated 19th August 2016, valid until 5th August 2046. - “Sertifikat HGU No.42, tahun 2016 berada di Desa Tuo Sumay, dengan luas 74.14 Ha sesuai dengan Surat Ukur No.31/06.09.00.00/2016 tertanggal 18 Agustus 2016; NIB 06.09.00.00.00132” dated 19th August 2016, valid until 5th August 2046; - “Sertifikat HGU No.43, tahun 2016 berada di Desa Tuo Sumay, dengan luas 134.02 Ha sesuai dengan Surat Ukur No.32/06.09.00.00/2016 tertanggal 18 Agustus 2016; NIB 06.09.00.00.00133”, dated 19th August 2016, valid until 5th August 2046; - “Sertifikat HGU No.44, tahun 2016 berada di Desa Pinang Belai, dengan luas 161.73 Ha sesuai dengan Surat Ukur No.33/06.09.00.00/2016 tertanggal 18 Agustus 2016; NIB 06.09.00.00.00134”, dated 19th August 2016, valid until 5th August 2046. <p>Based on legal documents verification, interview with local communities, village elders, and relevant authorities, it was known</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>that company did not conducted land compensation because the oil palm plantation development was part of government program, "Perkebunan Inti Rakyat-Transmigrasi/PIR Trans".</p> <p>Scheme smallholder: The land ownership of PIR-Trans participants/scheme smallholders consist of: Based on interview with participants of PIR-Lokal Project, it was understood that in order to gain status as participant of PIR-Lokal – community needs to gave the land to government for PIR programme and then granted with land parcel for scheme smallholder plantation; Or as PIR-Trans whereby participants from Java island were granted with land for plantation of 2 Ha and land for house. KUD Sumber Usaha: The land ownership was based on participation on program "transmigrasi" based on "Izin Rencana Proyek Transmigrasi yang diterbitkan oleh Menteri Keuangan melalui Surat Keputusan No.SS-32/MK.013/1989 tertanggal 6 Januari 1989 dan Menteri Pertanian melalui Surat Keputusan Menteri Pertanian No.74/Kpts/KB.510/1/1989 tertanggal 31 Januari 1989 tentang Pengesahan Rencana Pelaksanaan Proyek PIR-Trans Kelapa Sawit PT Rigunas Agri Utama di Kabupaten Bungo Tebo, Provinsi Jambi". Subsequently in 2007, "Surat Direktur Jenderal Perkebunan No.06/LB.320/ES.1/01/2007 tentang Pengalihan Kebun Plasma PIR-Trans PT. Rigunas Agri Utama (Pengalihan Kavling Sisa Lahan) Tanpa Dukungan Kredit Investasi Kecil Pasca Konversi PIR-Trans melalui KKLBI", dated 2nd January 2007. Furthermore, in October 2007, Regent of Tebo issued "Surat Keputusan Bupati Tebo No.606/Disbun/2007 tentang Penetapan Petani Peserta PIR Transmigrasi PT. RAU yang memperoleh kebun kelapa sawit pengalihan kapling sisa lahan tanpa lahan Pekarangan dan Perumahan Kecamatan Sumay, Kabupaten Tebo" dated 10th October 2007. The decree stated that 24 farmers of scheme smallholder PT. RAU obtains the land in Desa Tuo Sumay, Desa Jati Belarik, Desa Tambun Arang, Sumay District, Tebo regency. Each of the farmer has 2 Ha oil palm plantation. Kelompok Tani/KT 100: "Sertifikat Hak Milik No.391"; Certificate under name 3351 Samad Maryam, for 19,977m²; based on "Surat Keputusan Kepala Kantor</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>Pertanahan Kabupaten Tebo, No.16/HM/BPN-06.09/2014 11" dated 03/05/2014; as per measurement map No.64/04/2014 dated 03/07/2014.</p> <p>"Sertifikat Hak Milik No.384"; Certificate under name 3334 Darasip Maryam, for 19,977m²; based on "Surat Keputusan Kepala Kantor Pertanahan Kabupaten Tebo, No.16/HM/BPN-06.09/2014 4" dated 03/05/2014; as per measurement map No.57/04/2014 dated 03/07/2014.</p> <p>"Sertifikat Hak Milik No.383"; Certificate under name 3321 Ridwan, for 19,977m²; based on "Surat Keputusan Kepala Kantor Pertanahan Kabupaten Tebo, No.16/HM/BPN-06.09/2014 3" dated 03/05/2014; as per measurement map No.56/04/2014 dated 03/07/2014.</p> <p>KUD Sawit Makmur Kelompok Tani/KT 73: "Sertifikat Hak Milik No.536"; Certificate under name 858 Basitol Khoiri, No.06.03.06.15.1.00536 for 20,280m² dated 09/26/2002; based on "Surat Keputusan Kepala Kantor Pertanahan Kabupaten Tebo, No.SK.13-520.1-06-03-2002 258" dated 09/23/2002; as per measurement map No.810/Sekutur Jaya/2002 dated 09/10/2002. Complemented with map of scale 1:2,500. Certificate as "Sertifikat No.543; Certificate under name 870 Edi L/Samsul, No.06.03.06.15.1.00543 for 20,280m² dated 09/26/2002; based on "Surat Keputusan Kepala Kantor Pertanahan Kabupaten Tebo, No.SK.13-520.1-06-03-2002 269" dated 09/23/2002; as per measurement map No.821/Sekutur Jaya/2002 dated 09/10/2002. Complemented with map of scale 1:2,500. Cooperative recorded the current owner as Samsul. Certificate as in "Sertifikat No.545"; Certificate under name 873 Takadestaur B., No.06.03.06.15.1.00545 for 20,280m² dated 09/26/2002; based on "Surat Keputusan Kepala Kantor Pertanahan Kabupaten Tebo, No.SK.13-520.1-06-03-2002 191" dated 09/23/2002; as per measurement map No.743/Sekutur Jaya/2002 dated 09/10/2002. Complemented with map of scale 1:2,500.</p> <p>KUD Sawit Makmur Kelompok Tani/KT 120: "Sertifikat Hak Milik No.747"; Certificate under name 2995 Yeri Muthalib, No.06.09.11.01.1.00747 for 20,000m² dated 12/31/2015; based on "Surat Keputusan Kepala Kantor Pertanahan Kabupaten Tebo,</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>No.SK.197/HM/BPN-06.09/2015 8" dated 12/31/2015; as per measurement map No.192/01/2015 dated 12/30/2015. Complemented with map of scale 1:2,500. Certificate as "Sertifikat Hak Milik No.750; Certificate under name 3008 Yopi Muthalib, No.06.09.11.01.1.00750 for 20,007m² dated 12/31/2015; on "Surat Keputusan Kepala Kantor Pertanahan Kabupaten Tebo, No.SK.197/HM/BPN-06.09/2015 11" dated 12/31/2015; as per measurement map No.195/01/2015 dated 12/30/2015. Complemented with map of scale 1:2,500. Certificate as in "Sertifikat Hak Milik No.721"; Certificate under name 3000 Hesti Abri Susanti, No.06.09.11.01.1.00326 for 16,950 m² dated 12/31/2014; based on "Surat Keputusan Kepala Kantor Pertanahan Kabupaten Tebo, No.SK.254/HM/BPN-06.09/2014-6" dated 12/30/2014; as per measurement map No.162/01/2014 dated 12/29/2014. Complemented with map of scale 1:2,500.</p>	
2.2.2	<p>Legal boundaries shall be clearly demarcated and visibly maintained.</p> <p>- Minor compliance -</p>	<p>Company has a map of boundary stones as in "Peta Hasil Survey Patok HGU 2014" with scale 1:50,000 back in 2014. From the identification map, it was found 4 HGU stones in Bukit Harapan and 6 boundary stones in Sungai Lalo area. For 2016, company updated the identification map with scale 1:86,293 with the addition of boundary stones from 2016 HGU (See 2.2.1 above) with total 53 boundary stones. The boundary map completed with GPS coordinates of each boundary stones.</p> <p>Based on verification of HGU certificates and HGU maps, showing that: 34 boundary stones as per HGU located in Bukit Harapan area; 32 boundary stones as per HGU was located in Sungai Lalo area.</p> <p>Company has conducted monitoring on boundary stones every 6-monthly basis, and reported under "Laporan Pemeriksaan dan Perawatan Patok Batas". For example, boundary monitoring on 15th January 2016 as reported in "Laporan No.001/SSL/LAP/I/2016" and monitoring on 15th July 2016 reported on "Laporan No.003/SSL/LAP/VII/2016".</p> <p>Scheme smallholder: KUD Sumay Jaya: Based on field visit to six (6) sampled smallholders in KUD Sumay Jaya, audit team found boundary pegs are in place, maintained. Smallholder was able to describe the boundary of oil palm blocks.</p>	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>KUD Sumber Usaha: Based on field visit to twelve (12) sampled smallholders in KUD Sumber Usaha, audit team found boundary pegs are in place, maintained. Smallholder was able to describe the boundary of oil palm blocks.</p>	
	<p>NC Major: This Major NC was escalated from Minor NC. Company and smallholder organization has not monitor the boundary poles to be clearly demarcated and visibly maintained. Company cannot demonstrate all HGU boundaries as written in HGU map was available on the field. For instance, from map indicated 34 boundary pegs in HGU for Bukit Harapan area – only identified 4 boundary pegs; from map indicated 34 boundary pegs in HGU for Bukit Lalo area – only identified 6 boundary pegs found and identified on the field. In addition, based on field verification in sampled smallholder, shows that: Discrepancy between map of "Kelompok Tani/Hamparan" and actual field condition. For instance Map of KUD Sumay Jaya, Kelompok Tani 27 – boundary and location of smallholder blocks on the field was differ from smallholder block map; Corrective action: PT. Rigunas Agri Utama has demonstrated the HGU boundaries Map under "Peta Pemasangan HGU PT. Riguanas Agri Utama" with scale 1:83,742. Based on field visit, 4 boundary pegs in HGU Bukit Harapan area has been seen preserved and identified. Such as in boundary peg no 6 in HGU Bukit Harapan are available. The boundary and location of smallholder blocks on the field was same with smallholder block map; As a corrective action, company has prepared the "Rencana Pemasangan Patok HGU" with due date on December 2016. This include installation of HGU boundary poles in accordance to HGU maps of "Bukit Harapan area" and "Sungai Lalo area" by March 2017. KUD Sumay Jaya has provided a map based on the survey data coordinates in "Kelompok Tani/hamparan 27". Boundary peg for KT 2002 in "Hamparan 27" of KUD Sumay Jaya are available. The boundary and location of smallholder blocks on the field was same with smallholder block map. As a corrective action, company has prepared the "Rencana Pemasangan Patok HGU" and re-</p>	

RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>identification for scheme smallholder area map (from company) and farmer group map (from smallholders) including GPS point tracking.</p> <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e.: HGU boundaries Map under "Peta Pemasangan HGU PT. Rigunas Agri Utama" with scale 1:83,742; boundary pegs identification – preserved and visibly maintained; for KUDs, they have located the boundary pegs based on map re-identification; furthermore audit team review the planning for re-identification and planning for re-installation of oundary pegs. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
<p>2.2.3</p> <p>Where there are or have been disputes, additional proof of legal acquisition of title and evidence that fair compensation has been made to previous owners and occupants shall be available, and that these have been accepted with free, prior and informed consent (FPIC).</p> <p>- Minor compliance -</p>	<p>Based on legal documents verification, interview with local communities, village elders, and relevant authorities, it was known that company did not conducted land compensation because the oil palm plantation development was part of government program, "Perkebunan Inti Rakyat-Transmigrasi/PIR Trans".</p> <p>Scheme smallholder: The land ownership of PIR-Trans participants/scheme smallholders consist of: Based on interview with participants of PIR-Lokal Project, it was understood that in order to gain status as participant of PIR-Lokal – community needs to gave the land to government for PIR programme and then granted with land parcel for scheme smallholder plantation; Or as PIR-Trans whereby participants from Java island were granted with land for plantation of 2 Ha and land for housing.</p> <p>Based on HGU of PT. Rigunas Agri Utama's document verification, part of scheme smallholder plantation that has been developed was located in area with topography and/or attacked by elephant. For the failure, company has to replace the smallholder area with company-owned plantation. This was recorded as in above-mentioned explanation: Release partial "HGU No.1 tahun 1997 Desa Tuo Sumay" of 465.7 Ha dated back 19th July 2012; Release partial "HGU No.1 tahun 1997 Desa Sungai Rambai" of 636.3 Ha dated 14th September 1999 and</p>	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance
		another 634.846 Ha dated 19 th July 2012; as replacement for scheme smallholder plantation.	
2.2.4	<p>There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved.</p> <p>-Major compliance</p>	<p>Based on stakeholder consultation with “Kantor Pertanahan Kabupaten Tebo”, “Dinas Perkebunan Kabupaten Tebo” and surrounding local community including smallholders, it was known that there has been no complaint related to land conflict between PT. Rigunas Agri Utama and other party including local communities. It was also come into notice that a part of the land was occupied by local communities.</p> <p>Company has no policy to expand the plantation. Based on field visit, it was known that PT. Rigunas Agri Utama has a boundary moat, along the plantation boundary.</p> <p>Company has prepared a procedure to resolve land conflict in form of “Standard Operating Procedure (SOP) No.AA-GL-5003.1-R2 tentang Penanganan Konflik Lahan rev.2” dated 8th May 2015. Inside the mechanism, SOP has describe the flow process and mechanism to handle land conflict.</p> <p>Scheme Smallholder: From stakeholder consultation with “Kantor Pertanahan Kabupaten Tebo”, “Dinas Perkebunan Kabupaten Tebo” and wihtlocal communities, there was no report of land conflict between smallholders with other parties including with local communities.</p>	Comply
2.2.5	<p>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).</p> <p>-Minor compliance</p>	<p>Based on stakeholder consultation with “Kantor Pertanahan Kabupaten Tebo”, “Dinas Perkebunan Kabupaten Tebo” and surrounding local community including smallholders, it was known that there has been no complaint related to land conflict between PT. Rigunas Agri Utama and land belong to other party including local communities. It was also come into notice that a part of the land was occupied by local communities.</p> <p>Company has prepared a procedure to resolve land conflict in form of “Standard Operating Procedure (SOP) No.AA-GL-5003.1-R2 tentang Penanganan Konflik Lahan rev.2” dated 8th May 2015. Inside the mechanism, SOP has describe the flow process and mechanism to handle land conflict.</p> <p>The SOP has taking into consideration the FPIC guide for RSP0 Member 2015, whereby in the SOP has regulating information conveyance, negotiation, participatory land measurement and other activities including</p>	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>engagement with relevant parties and other parties neighboring the plantation and/or conflict land.</p> <p>Up to this moment, company does not have planning to expand the plantation Based on field visit, PT. Rigunas Agri Utama has a boundary moat to border the neighboring entity.</p> <p>Scheme Smallholder: Based on interview with cooperative committee and sampled smallholders, there has been no land conflict between scheme smallholder members and/or between scheme smallholder with other parties. Cooperative has a mechanism for land conflict settlement dated 1st August 2014. The mechanism has explained flow process for conflict settlement and involving PT. Rigunas Agri Utama, village authorities and relevant stakeholders.</p>	
<p>2.2.6</p> <p>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.</p> <p>-Major compliance</p>	<p>Company has prepared a procedure to resolve land conflict in form of "Standard Operating Procedure (SOP) No.AA-GL-5003.1-R2 tentang Penanganan Konflik Lahan rev.2" dated 8th May 2015. Inside the mechanism, SOP has describe the flow process and mechanism to handle land conflict.</p> <p>The SOP has taking into consideration the FPIC guide for RSP0 Member 2015, whereby in the SOP has regulating information conveyance, negotiation, participatory land measurement and other activities including engagement with relevant parties and other parties neighboring the plantation and/or conflict land.</p> <p>Up to this moment, company does not have planning to expand the plantation Based on field visit, PT. Rigunas Agri Utama has a boundary moat to border the neighboring entity.</p> <p>Based on stakeholder consultation with "Kantor Pertanahan Kabupaten Tebo", "Dinas Perkebunan Kabupaten Tebo" and surrounding local community including smallholders, it was known that there has been no complaint related to land conflict between PT. Rigunas Agri Utama and land belong to other party including local communities. It was also come into notice that a part of the land was occupied by local communities however each parties agreed to avoid dispute.</p> <p>Scheme Smallholder: Based on interview with cooperative committee and sampled smallholders, there</p>	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance																																																																																																
	has been no land conflict between scheme smallholder members and/or between scheme smallholder with other parties. Cooperative has a mechanism for land conflict settlement dated 1 st August 2014. The mechanism has explained flow process for conflict settlement and involving PT. Rigunas Agri Utama, village authorities and relevant stakeholders.																																																																																																	
<p>Criterion 2.3: Use of the land for oil palm does not diminish the legal rights, customary or user right of other users without their free, prior and informed consent.</p>																																																																																																		
<p>2.3.1</p> <p>Maps of an appropriate scale showing the extent of recognized legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighbouring communities where applicable, and relevant authorities)..</p> <p>- Major compliance -</p>	<p>PT. Rigunas Agri Utama demonstrated the hectare statement, dated August 2016 – indicating the land for oil palm plantation and palm oil mill of 2,652 Ha. Based on document verification, comparison between HGU and company's hectare statement, showing there was an area of 715 Ha that was not controlled by company.</p> <table border="1" data-bbox="724 1016 1241 1473"> <thead> <tr> <th>No.</th> <th>SK HGU</th> <th>Luas (Ha)</th> <th>Sertifikat HGU</th> <th>Luas (Ha)</th> <th>Pengurangan tgl 14 Sept 1999</th> <th>Pengurangan tgl 19 Juli 2002</th> <th>Sisa Luas (Ha)</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>SK Men Agraria No. 51/HGU/BPN/1996</td> <td>4.389</td> <td>Sertifikat No. 1, Tahun 1997 Desa Tuo Sumai</td> <td>2.000</td> <td></td> <td>465,7</td> <td>1.604,3</td> </tr> <tr> <td></td> <td></td> <td></td> <td>Sertifikat No. 2, Tahun 1997 Desa Sungai Rambai</td> <td>2.320</td> <td>636,2</td> <td>636,840</td> <td>1.047,254</td> </tr> <tr> <td></td> <td>Jumlah</td> <td></td> <td></td> <td>4.389,00</td> <td></td> <td></td> <td>2.651,654</td> </tr> <tr> <td>2</td> <td>SK Kadimani BPN Prov. 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	<p>NC Major: Company cannot demonstrate a map/information showing recognized legal right/customary right/user right from participatory mapping to identify area of approximately 715 Ha in Bungo Tebo Estate, under its land title/HGU on which company cannot control.</p> <p>Corrective action: The corrective action prepared by company is to identify the occupants on area of 715 Ha cannot control by company. Company through the public relation officer conduct discussion to identify the occupants gradually. PT. Rigunas Agri Utama has demonstrated the map of identification the land title/HGU on which company cannot control. The map shows approximately 715 Ha; with details of distribution:</p>																																																																																																	

RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>272 Ha was occupied by Rambahan community; 82 Ha was occupied by Tanjung Dani community; another 35 Ha was occupied by Tanjung Dani community; 262 Ha was occupied by Tuo Sumay and Teriti community; 36 Ha was occupied by Tuo Sumay community; 27 Ha was occupied by Sungai Rambai community; and 2 Ha was occupied by Tuo Sumay community.</p> <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e.: identification plan, map of occupied area and list of occupants. Furthermore audit team review that company does not intended to re-possess the land. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
<p>2.3.2 Copies of negotiated agreements detailing the process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and shall include:</p> <p>a) Evidence that a plan has been developed through consultation and discussion with all affected groups in the communities, and that information has been provided to all affected groups, including information on the steps that shall be taken to involve them in decision making;</p> <p>b) Evidence that the company has respected communities' decisions to give or withhold their consent to the operation at the time that this decision was taken;</p> <p>c) Evidence that the legal, economic, environmental and social implications for permitting operations on their land have been understood and accepted by affected communities, including the implications for the legal status of their land at the expiry of the company's title, concession or lease on the land.</p>	<p>As explained in indicator 2.2.1 stated that company did not conduct any land compensation process during oil palm plantation development. The reason because the plantation development was part of government program trough PIR-Trans project. Nonetheless company has prepared procedure for land conflict settlement in form of "Standard Operating Procedure (SOP) No.AA-GL-5003.1-R2 tentang Penanganan Konflik Lahan rev.2" dated 8th May 2015. Inside the mechanism, SOP has describe the flow process and mechanism to handle land conflict, and adjusting to the FPIC Guide for RSP0 Member 2015: information conveyance, negotiation, participatory mapping and participatory boundary marking, including involvement of other party and bordering land.</p> <p>Scheme smallholder: The land ownership of PIR-Trans participants/scheme smallholders consist of: Based on interview with participants of PIR-Lokal Project, it was understood that in order to gain status as participant of PIR-Lokal – community needs to gave the land to government for PIR programme and then granted with land parcel for scheme smallholder plantation; Or as PIR-Trans whereby participants from Java island were granted with land for plantation of 2 Ha and land for housing.</p> <p>Based on HGU of PT. Rigunas Agri Utama's</p>	<p>Comply</p>

RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
- Minor compliance -	<p>document verification, part of scheme smallholder plantation that has been developed was located in area with topography and/or attacked by elephant. For the failure, company has to replace the smallholder area with company-owned plantation. This was recorded as in above-mentioned explanation: Release partial “HGU No.1 tahun 1997 Desa Tuo Sumay” of 465.7 Ha dated back 19th July 2012; Release partial “HGU No.1 tahun 1997 Desa Sungai Rambai” of 636.3 Ha dated 14th September 1999 and another 634.846 Ha dated 19th July 2012; as replacement for scheme smallholder plantation.</p> <p>Based on public consultation, it was known that there was no land conflict between company and scheme smallholder with other party.</p>	
<p>2.3.3 All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements.</p> <p>-Minor compliance</p>	<p>As explained in indicator 2.2.1 stated that company did not conduct any land compensation process during oil palm plantation development. The reason because the plantation development was part of government program trough PIR-Trans project. Nonetheless company has prepared procedure for land conflict settlement in form of “Standard Operating Procedure (SOP) No.AA-GL-5003.1-R2 tentang Penanganan Konflik Lahan rev.2” dated 8th May 2015. Inside the mechanism, SOP has describe the flow process and mechanism to handle land conflict, and adjusting to the FPIC Guide for RSP0 Member 2015: information conveyance, negotiation, participatory mapping and participatory boundary marking, including involvement of other party and bordering land.</p> <p>Scheme smallholder: The land ownership of PIR-Trans participants/scheme smallholders consist of: Based on interview with participants of PIR-Lokal Project, it was understood that in order to gain status as participant of PIR-Lokal – community needs to gave the land to government for PIR programme and then granted with land parcel for scheme smallholder plantation; Or as PIR-Trans whereby participants from Java island were granted with land for plantation of 2 Ha and land for housing.</p> <p>Based on HGU of PT. Rigunas Agri Utama's document verification, part of scheme</p>	Comply

RSP0 Public Summary Report
Revision 4 (November /2016)

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<p>2.3.4</p> <p>Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel.</p> <p>-Major compliance</p>	<p>As explained in indicator 2.2.1 stated that company did not conduct any land compensation process during oil palm plantation development. The reason because the plantation development was part of government program trough PIR-Trans project. Nonetheless company has prepared procedure for land conflict settlement in form of “Standard Operating Procedure (SOP) No.AA-GL-5003.1-R2 tentang Penanganan Konflik Lahan rev.2” dated 8th May 2015. Inside the mechanism, SOP has describe the flow process and mechanism to handle land conflict, and adjusting to the FPIC Guide for RSP0 Member 2015: information conveyance, negotiation, participatory mapping and participatory boundary marking, including involvement of other party and bordering land.</p> <p>Scheme smallholder: The land ownership of PIR-Trans participants/scheme smallholders consist of: Based on interview with participants of PIR-Lokal Project, it was understood that in order to gain status as participant of PIR-Lokal – community needs to gave the land to government for PIR programme and then granted with land parcel for scheme smallholder plantation; Or as PIR-Trans whereby participants from Java island were granted with land for plantation of 2 Ha and land for housing.</p> <p>Based on HGU of PT. Rigunas Agri Utama’s document verification, part of scheme smallholder plantation that has been</p>	<p>Comply</p>

Criterion / Indicator	Assessment Findings	Compliance
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Principle 3: Commitment to long-term economic and financial viability

Criterion 3.1:
 There is an implemented management plan that aims to achieve long-term economic and financial viability.

<p>3.1.1</p> <p>A business or management plan (minimum three years) shall be documented that includes, where appropriate, a business case for scheme smallholders.</p> <p>- Major compliance -</p>	<p>PT. Rigunas Agri Utama has prepared a long term business plan and further divided into 5-yearly business plan.</p> <p>Bungo Tebo Estate: Estate has prepared a FFB production budget for minimum three years.</p> <table border="1" data-bbox="724 1346 1233 1536"> <thead> <tr> <th>Year</th> <th>FFB production (Tons)</th> <th>OER (%)</th> <th>Production cost (Rp/ton CPO)</th> </tr> </thead> <tbody> <tr> <td>2016</td> <td>52,193</td> <td>23.5</td> <td>2,452,444</td> </tr> <tr> <td>2017</td> <td>40,269</td> <td>24.25</td> <td>2,496,638</td> </tr> <tr> <td>2018</td> <td>31,300</td> <td>24.25</td> <td>2,746,302</td> </tr> <tr> <td>2019</td> <td>19,859</td> <td>24.25</td> <td>3,020,932</td> </tr> </tbody> </table> <p>There has been a independent audit report for financial year 2015 No.GA116 0231 RAU RSS, from Osman Bing Satrio & Eny.</p> <p>Bungo Tebo POM: The business or management plan for minimum three years:</p> <table border="1" data-bbox="724 1765 1233 1995"> <thead> <tr> <th>Year</th> <th>FFB process (Tons)</th> <th>CPO production (Tons)</th> <th>Kernel production (Tons)</th> <th>OER (%)</th> <th>KER (%)</th> </tr> </thead> <tbody> <tr> <td>2016</td> <td>269,165</td> <td>55,447</td> <td>14,266</td> <td>20.60</td> <td>5.3</td> </tr> <tr> <td>2017</td> <td>322,976</td> <td>67,345</td> <td>17,118</td> <td>20.85</td> <td>5.3</td> </tr> <tr> <td>2018</td> <td>306,827</td> <td>64,127</td> <td>16,262</td> <td>20.90</td> <td>5.3</td> </tr> <tr> <td>2019</td> <td>291,486</td> <td>61,066</td> <td>15,449</td> <td>20.95</td> <td>5.3</td> </tr> </tbody> </table>	Year	FFB production (Tons)	OER (%)	Production cost (Rp/ton CPO)	2016	52,193	23.5	2,452,444	2017	40,269	24.25	2,496,638	2018	31,300	24.25	2,746,302	2019	19,859	24.25	3,020,932	Year	FFB process (Tons)	CPO production (Tons)	Kernel production (Tons)	OER (%)	KER (%)	2016	269,165	55,447	14,266	20.60	5.3	2017	322,976	67,345	17,118	20.85	5.3	2018	306,827	64,127	16,262	20.90	5.3	2019	291,486	61,066	15,449	20.95	5.3	<p>Comply</p>
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3.1.2	<p>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.</p> <p>- Minor compliance -</p>	<p>PT. Rigunas Agri Utama – Bungo Tebo Estate has a replanting program. Bungo Tebo Estate: Replanting program was documented in the budget plan. Bungo Tebo Estate shows a series of correspondence and meeting result related to review on replanting plan. The latest replanting plan as follow, supply base to Bungo Tebo POM.</p> <table border="1"> <thead> <tr> <th>Replanting Plan</th> <th>Block</th> <th>Hectare</th> </tr> </thead> <tbody> <tr> <td>2016</td> <td>A95a, A95b, A95c, A95d, A95e, A95f</td> <td>290 Ha</td> </tr> <tr> <td>2017</td> <td>B95f, B95g, B96o, B96p, B96q, B96r, C94d, C94e, C94f, C95f, C95g, C96k, C96l</td> <td>467 Ha</td> </tr> <tr> <td>2018</td> <td>A94a, A94h, A94j, A96e, A96f, A96g, C97i, C96j, C96m</td> <td>420 Ha</td> </tr> </tbody> </table>	Replanting Plan	Block	Hectare	2016	A95a, A95b, A95c, A95d, A95e, A95f	290 Ha	2017	B95f, B95g, B96o, B96p, B96q, B96r, C94d, C94e, C94f, C95f, C95g, C96k, C96l	467 Ha	2018	A94a, A94h, A94j, A96e, A96f, A96g, C97i, C96j, C96m	420 Ha	Comply			
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2018	A94a, A94h, A94j, A96e, A96f, A96g, C97i, C96j, C96m	420 Ha																

RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance									
		<table border="1"> <tr> <td>2019</td> <td>A94g, A94k, A94i, B95h, B95j, B95k, B95k, B95l, B96t, B96u</td> <td>452 Ha</td> </tr> <tr> <td>2020</td> <td>B95i, B96s, B96v, B96w, B96x, C95e, C96g, C96h</td> <td>402 Ha</td> </tr> <tr> <td>2035</td> <td>D08a-D08o</td> <td>512 Ha</td> </tr> </table> <p>Note that 2008 planting was a replanted oil palm, due to damage from elephant attacks. Replanting progress:</p> <p>Review: Based on Head Estate Department visit to Bungo Tebo Estate, 05/30-2016 – 05/31/2016 Report No.2/MEI-KBT/2016. Whereby Head Estate Department points out a number of issued requiring immediate attention in replanting of 288 Ha: felling, debolling, and chipping progress 195 Ha out of 288 Ha; terrace construction progress slow; drainage maintenance has not been done; culvert was not appropriately functioning; road position was incorrect;</p> <p>Scheme smallholder: KUD Sawit Makmur: Smallholder/cooperative planned for 352 Ha (planting year 1995) in year 2020 and 320 Ha (planting year 1996) in year 2021. PT. Rigunas Agri utama provided training on replanting for smallholder, latest on 02/04/2016. Based on soil analysis report from PT. Nusa Pusaka Kencana Analytical & QC laboratory, dated 03/08/2013 – the soil type in Sekutur Jaya village was predominant clay with silt (mineral). There has been no planning to prepare financial</p> <p>KUD Sumay Jaya: The cooperative planning to have replanting on 2019, for 232 Ha oil palm plantation, with planting year 1994.</p> <p>KUD Tanjung Aur Duri: Replanting planned for 2021 for 26 Ha and 2022 for 42 Ha. Planting year 1996 and 1997.</p>	2019	A94g, A94k, A94i, B95h, B95j, B95k, B95k, B95l, B96t, B96u	452 Ha	2020	B95i, B96s, B96v, B96w, B96x, C95e, C96g, C96h	402 Ha	2035	D08a-D08o	512 Ha	
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Principle 4: Use of appropriate best practices by growers and millers												
Criterion 4.1:												
Operating procedures are appropriately documented, consistently implemented and monitored.												
4.1.1	Standard Operating Procedures (SOPs) for estates and mills are	ASA 1: The company has procedures from land preparation up to despatch CPO PK, such as: SOP AA-APM-OP-1100.01-R2, 10/06/2015	Comply									

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
<p>documented - Major compliance -</p>	<p>Pembibitan, for Seedling preparation; SOP AA-APM-OP-1100.02-R3, 10/06/2015 Penanaman Areal Baru, for new planting; SOP AA-APM-OP-1100.03-R2, 24/07/2015 Pembuatan dan Perawatan Jalan dan Jembatan, explains road and bridge construction and maintenance; SOP AA-APM-OP-1100.04-R3, 07/12/2015 Pembuatan dan Pemeliharaan Parit explains culvert/drainage construction and maintenance; SOP AA-APM-OP-1100.05-R2, 24/07/2015 Konservasi Tanah dan Air explains Soil & Water Conservation; SOP AA-APM-OP-1100.06-R4, 04/03/2016 Menanam kacang related to Planting cover crops; SOP AA-APM-OP-1100.07-R4, 07/12/2015 Menanam Kelapa Sawit related to Planting; SOP AA-APM-OP-1100.08-R5, 07/12/2015 Pengendalian Gulma, for weed control; SOP AA-APM-OP-1100.09-R3, 20/04/2015 Pemupukan, related to Fertilizer application; SOP AA-APM-OP-1100.10-R5, 11/01/2016 Pengendalian Hama dan Penyakit, explains Pests & Disease Control; SOP AA-APM-OP-1100.11-R1, 01/02/2009 Pestisida, dan Pengolaannya for pesticide handling; SOP AA-APM-OP-1100.12-R2, 10/06/2015 Kastrasi, explains castration (cutting all generative product (male flower, female flower, all fruit, to support vegetative growth) – done 5-6 months before being harvested); SOP AA-APM-OP-1100.13-R3, 04/03/2016 Tunas Pokok, for pruning; SOP AA-APM-OP-1100.14-R2, 02/12/2013 Sensus dan Identifikasi Pokok, explains census and palm identification; SOP AA-APM-OP-1100.15-R2, 01/10/2010 Sensus Produksi related to production census; SOP AA-APM-OP-1100.16-R1, 01/02/2009 Konsolidasi Pohon Tumbang, explains provision of support to fallen palm; SOP AA-APM-OP-1100.17-R1, 23/10/2014 Pengelolaan Air, related to water management; SOP AA-APM-OP-1100.18-R3, 20/04/2015, Potong Buah, related to harvesting; SOP AA-APM-OP-1100.19-R1, 01/02/2009 Pengelolaan Transport, explains FFB Transport; SOP AA-APM-OP-1100.20-R5, 04/03/2016 Replanting;</p> <p>Bungo Tebo POM:</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<ol style="list-style-type: none"> 1. SOP AA-MPM-OP-1400.02.R2 Stasiun Penerimaan for FFB receiving station; 2. SOP AA-MPM-OP-1400.03.R1 Stasiun Rebusan for sterilizer; 3. SOP AA-MPM-OP-1400.04.R1 Stasiun Pemisahan Berondolan for loose fruit separation; 4. SOP AA-MPM-OP-1400.05-R1 Stasiun pengadukan dan pengempaan for pressing station; 5. SOP AA-MPM-OP-1400.06-R1 Stasiun pemurnian for clarification; 6. SOP AA-MPM-OP-1400.07-R1 Stasiun pemisahan nut dan fiber for nut and fiber separation; 7. SOP AA-MPM-OP-1400.08-R1 Stasiun kernel for kernel station; 8. SOP AA-MPM-OP-1400.09-R1 Stasiun boiler; 9. SOP AA-MPM-OP-1400.10-R1 Stasiun engine room; 10. SOP AA-MPM-OP-1400.11-R1 Stasiun water treatment; 11. SOP AA-MPM-OP-1400.12-R1 Laboratorium; 12. SOP AA-MPM-OP-1400.13-R1 Stasiun pengelolaan limbah for palm oil mill effluent treatment; 13. SOP AA-MPM-OP-1400.14-R2 Stasiun penimbunan dan pengiriman CPO dan kernel for CPO and PK bulking and despatch operation; 14. SOP AA-MPM-OP-1400.15-R1 Perawatan for preventive maintenance; <p>The mill operational procedures explains the flow process, specification of material and process, machinery and tools required, step-by-step process, control, monitoring and measurement and health and safety requirements.</p> <p>Scheme Smallholder: KUD Tanjung Aur Duri, KUD Sumay Jaya, KUD Sawit Makmur: KUD/cooperative refers to Agricultural Policy Manual issued by PT IIS – Buatan dated 1st February 2013. The manual comprise of seedling preparation, pest and disease control, fertilizer application, spraying, pest control, IPM, harvesting, pruning, road maintenance and transport, and FFB harvesting.</p> <p>SOP AA-PLASMA-PP-KS-01 Panduan Pelaksanaan Pembibitan for Seedling preparation; SOP AA-PLASMA-PP-KS-02 Pengendalian Hama dan Penyakit for Control of Pest and disease;</p>	

Criterion / Indicator		Assessment Findings	Compliance
		SOP AA-PLASMA-PP-KS-03 Pemupukan for fertilizer application; SOP AA-PLASMA-PP-KS-04 Potong Buah for Harvesting (tools, harvesting quality and FFB quality).	
4.1.2	A mechanism to check consistent implementation of procedures shall be in place. - Minor compliance -	<p>Estate and Mill: PT Rigunas Agri Utama has a mechanism to conduct internal audit. Standar Operating Procedures – Audit Internal No.SOP AA-SOP-ES-6001-R2 dated 15th August 2014. The procedures include the corrective action and continuous improvement. Estate managers and each managerial level are responsible for daily monitoring of plantation upkeep, production, infrastructure reliability, and other field activities.</p> <p>PT. Rigunas Agri Utama has internal audit agronomy to checks the compliance of work; this internal audit to verify the quality of harvesting, fertilizer application and spraying works.</p> <p>Sighted master list of SOP for FFB processing in mill under “Mill Policy Manual”. The master list provides list of all procedures applicable in mills, categorized into 16 categories of stations and process. E.g. procedures at Loading Ramp, Sterilizer, Press, etc. For each station, sets of work instructions (WI) available derived from the SOP. The WI available in Bahasa Indonesia and distributed to all relevant workplace, as seen during ASA-4 file visit in all stations.</p> <p>To ensure implementation of SOPs and work instruction, two internal audits have been implemented annually, namely:</p> <ol style="list-style-type: none"> 1. Internal audit on integrated sustainability (ISPO, RSPO and ISCC) which covers all aspects of sustainability practises in mills in accordance with applicable standard. 2. VE (Visit Engineering) at least once in a year by appointed engineer. <p>Scheme smallholders: Monitoring consistent implementation at scheme smallholder through visit by Head Plasma. Latest visit recorded on 22-23 August/ 2016 as documented in “Notulen Kunjungan Lapangan (Head Plasma, Manager Plasma & Assisstant),</p>	NC Minor
		<p>NC Minor: Monitoring of oil palm plantation’s best management practices was not effective in</p>	

**RSPO Public Summary Report
Revision 4 (November /2016)**

Criterion / Indicator	Assessment Findings	Compliance
	<p>Bungo Tebo Estate and smallholder plantation; implementation of estate's best management practices was not in line with PT. Rigunas Agri Utama's Agricultural Policy Manual. Based on field visit to company and smallholder oil palm plantation, poor field condition was found:</p> <ul style="list-style-type: none"> - Weed condition in Bungo Tebo Estate, Division III block C94f, C94j, C96j, C96l; Division IV block D08o; audit team found weed was not controlled properly. - Weed condition in scheme smallholder plantation, in KUD Sumber Usaha (No.2159, 2186, etc.), KUD Sumay Jaya (219, 2002, etc.); KUD Sawit Makmur (858, 1253, 1259, etc.); KUD Tanjung Aur Duri (3243, 3241) audit team found weed was not controlled properly. - Blanket spraying found in smallholder plantation KUD Sumber Usaha (3378, 3379); KUD Sumay Jaya (2197), KUD Sawit Makmur (854); - Based on field visit to Bungo Tebo Estate, Division III block C94f, C94j, C96j, C96l; audit team found frond stacking was not practiced. - Based on visit to KUD Sumay Jaya (219, 2002, 2159, 2186); KUD Sawit Makmur (858, 1253, 1259), audit team found that frond stacking was not implemented. <p>Corrective action: PT. Rigunas Agri Utama planned to have:</p> <ul style="list-style-type: none"> - Memorandum issued by GM PT. Rigunas Agri Utama, related to weed condition in boundary area – to limiting the access for FFB thief; - Monitoring on FFB quality and near boundary area – on regular basis (in accordance to spraying activity); - Monitoring on spraying (Team Unit Spraying) implementation to avoid late application; - Emphasize to smallholder farmer to avoid blanket spraying; - Re-communicating the importance of water and soil conservation; - All of the activity implementation will be monitored on regular basis. <p>Audit team will verify the effective implementation of corrective action plan during subsequent annual surveillance assessment.</p>	
<p>4.1.3</p>	<p>Records of monitoring and any actions taken shall be maintained and available, as appropriate.</p>	<p>Estate and Mill PT RAU maintains record of all plantation and mill monitoring activities. The records covers wide range of plantation activities from replanting, palm upkeep, fertilizer application, pest and disease monitoring and control, weed</p> <p>Comply</p>

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
<p>- Minor compliance -</p>	<p>control, harvesting performance, etc. Bungo Tebo demonstrate records of FFB receiving and grading, FFB processing result, mill machineries monitoring and maintenance result, processing quality, CPO dispatches, etc. A number of internal inspection to maintain FFB quality has been consistently performed:</p> <ol style="list-style-type: none"> 1. "Pemeriksaan Kualitas Pemupukan Kebun Bungo Tebo Afdeling IV", Fertilizer application check dated 29th July 2016, checks the consistency in application dosage, spreading quality, application deviation, etc.; 2. "Rekapitulasi Pemeriksaan Ancak dan Mutu Buah", inspection of FFB quality dated 12th and 13th September 2016, on block D08C, check criteria (Matang, Mentah, Abnormal, Tangkai Panjang, overripe, jumlah brondolan), hasil pengecekan normal. 3. "Buku Penerimaan TBS di TPH", tanggal 14 September 2016 afdeling 3, block C94D, Pemanen Iwan S (FFB: 115) <p>Bungo Tebo POM: Mill assistants conduct daily monitoring on mill performance and SOP implementation. Manager check the daily report and prepare monthly report based on daily performance report. Example of daily performance form observed for station sterilizer and tippler for month July 2016, maintenance checklist, and cleaning checklist. Visiting Engineer Report PBT-VE-FULL 01-16, based on visit dated 16-18/02/2016 to Bungo Tebo POM. A number of issued require attention: the anaerobic pond 2 is silted up and pond activity level is low; constant flock carry over in the new water clarifier tank due to pump flow rates being higher than tank capacity; New sterilizer has not been provided with compensation plates – required for pressure vessels port openings. The follow up from management seen.</p> <p>Program major maintenance 2016 Bungo Tebo POM. On January 2016, repair of hydraulic transfer carriage and hydraulic loading ramp system done. Replacement of steam inlet pipe for sterilizer No.1 and No.2, replacement of valve exhaust for sterilizer No.1 – done in February 2016.</p> <p>Scheme Smallholders: The KUDs maintain record in "Rekaman Produktivitas", covering FFB Production, fertilizer cost, pesticide cost, deduction cost</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	and income per member.	
<p>4.1.4</p> <p>The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB).</p> <p>- Major compliance -</p>	<p>PT. Rigunas Agri Utama – Bungo Tebo has a policy related to purchase of non-certified FFB under “Kebijakan Perusahaan”. Point 17 stated “Melakukan komunikasi dan evaluasi kepada pihak ketiga terkait asal penerimaan TBS dari lahan yang legalitasnya dapat dibuktikan, tidak ada pembakaran untuk pembukaan areal baru maupun peremajaan (replanting), tidak melakukan pembukaan areal gambut setelah September 2014, tidak terdapat konflik lahan dan tidak mempekerjakan anak-anak dalam pengelolaannya” – To communicate and evaluate third party related to purchase of FFB from legally demonstrable area, no burning for new development or replanting, no new development in peat area after September 2014, no land conflict and not employing children in the process”.</p> <p>There are five (5) contractors which registered as third party FFB supplier. Record of non-certified FFB received from each third party supplier, in period December 2015 – August 2016:</p> <p>Pek Pdasan Jaya: 1,729.89 tons; Pandawa 58: 38,923.94 tons; Asri Bersaudara: 3,108.36 tons; SDR: 17,186.9 tons; Sawit Makmur SP II: 265.66 tons; UD Royal: 6,625.19 tons; Tanduk Perkasa SP 7: 54.35 tons;</p> <p>Document seen:</p> <p>PT. Rigunas Agri Utama – Bungo Tebo POM shows SOP to communicate and evaluate the source of third party FFB (non-certified). SOP Pengawasan Sumber Pembelian TBS Luar AA-MM-506.2-R0, dated 01/01/2014. The procedure for monitoring and evaluation of source of FFB. The objective of the procedure was to ensure third party FFB sourced from non-forest area, completed with legal use of the land. The procedure consist of various steps: to check supporting document from supplier (delivery order, declaration, plantation block maps); compare the plantation location map/coordinate against the legal documents; verification team will compare the plantation location map against the spatial mapping; conduct field verification to the source of FFB (oil palm plantation belong to farmer), randomly selected samples; verification team will prepare database, prepare the list the complying suppliers. Supply of FFB from area which legally contested or coming from protected forest, plantation forest, conservation area – will be rejected.</p>	<p>Comply</p>

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance						
	<p>SOP Traceability – FFB Purchase AA-SOP-MM-506.3-R0, dated 01/01/2015. The procedure stated all supplier shall fulfill legal requirement, not limited to: legal ownership/legal use of the land, hectarage, planting year, production, type of soil, type of seedling, distance from palm oil mill, etc. All supplier shall completed with coordinate points, listed in weighbridge system. The grading and sortation of FFB from third party will follow procedure for FFB receiving.</p> <p>In Bungo Tebo POM, management demonstrated “Mekanisme Penerimaan TBS Luar (Agen/Pengepul)” – Mechanism to become FFB supplier. The mechanism consist of steps such as: Application to become FFB supplier, explanation related to FFB price on daily basis, FFB criteria and sortation, payment upon FFB receipt.</p> <p>Verification process up to audit: Under name P***** J*** wherby company has performed verification upon 18 farmer block as FFB sources, totalling 102 Ha – found to located under “Area Penggunaan Lain”. The verification database completed with name of land owner, planting year, hectare per plantation block and GPS coordinates.</p> <p>Sample taken: Y**** H***** in UD.Royal, address in Kabupaten Bungo. Letter “Permohonan Penerimaan TBS No.01/XI/2015” dated 11/02/2015, FFB from garden area of 1,500 Ha in and around Tuo Sumay village, planting year 2006/2007 – located near Bungo Tebo POM. “Pernyataan dan Jaminan”, stated the guarantee from the supplier that the FFB is coming from their own property, the plantation does not falls under protected forest, plantation forest, production forest, conservation area status; not a stolen FFB; FFB not coming from new plantation, converted from forest after September 2014; FFB not coming from new plantation, or plantation converted from peat area after September 2014 – signed on 01/04/2016. The applicant provides all relevant permits, including a copy of land use permit of 128 Ha.</p> <p>Record of non-certified FFB received in Bungo Tebo POM from contractor/collector/middlemen:</p> <table border="1" data-bbox="724 1957 1230 2004"> <tr> <td></td> <td>Dec '15</td> <td>Jan '16</td> <td>Feb</td> <td>Mar</td> <td>Apr</td> </tr> </table>		Dec '15	Jan '16	Feb	Mar	Apr	
	Dec '15	Jan '16	Feb	Mar	Apr			

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings						Compliance
		FFB (tons)	4,102	6,612	8,019	10,545	4,380	
			May	Jun	Jul	Aug '16		
		FFB (tons)	8,180	4,563	3,768	11,639		
		Record of non-certified FFB received from each third party supplier, in period December 2015 – August 2016: Pek Pdasan Jaya: 1,729.89 tons; Pandawa 58: 38,923.94 tons; Asri Bersaudara: 3,108.36 tons; SDR: 17,186.9 tons; Sawit Makmur SP II: 265.66 tons; UD Royal: 6,625.19 tons; Tanduk Perkasa SP 7: 54.35 tons;						
Criterion 4.2: Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.								
4.2.1	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. - Minor compliance -	Bungo Tebo Estate: PT. Rigunas Agri Utama has procedures to maintain soil fertility in general. The procedures comprise of fertilizer application and cover crop planting. PT. RAU follows these procedures; leaf samplings are taken annually to accurately capture palm nutrient requirement (both macro and micro nutrient) and serve as source for fertilizer recommendation – fertilizer application (anorganic, compost, POME application, empty fruit bunch) follows fertilizer recommendation. Another effort is to plant legume cover crop. Soil analysis is conducted once every 7 years. Fertilizer recommendation 2016 approved by Head R&D Laboratorium ASIAN AGRICULTURE Group on December 2015. Scheme smallholders: The cooperatives are following PT. Rigunas Agri Utama's procedures to maintain soil fertility. The procedures comprise of fertilizer application and cover crop planting. Cooperatives follow these procedures; leaf samplings are taken annually to accurately capture palm nutrient requirement (both macro and micro nutrient) and to provide information of nutrient requirement and fertilizer recommendation. Anorganic fertilizer application follows fertilizer recommendation. Another effort is to plant legume cover crop. Document seen: Panduan Pelaksanaan						Comply

RSP0 Public Summary Report
Revision 4 (November /2016)

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		Pemupukan AA-PLASMA-PP-KS-03 comprise of planning for fertilizer type, dosage per application, application technique, application schedule,																																																																																																
4.2.2	Records of fertiliser inputs shall be maintained. - Minor compliance -	<p>Fertilizer recommendation and actual implementation is recorded under "Rekomendasi Pemupukan (Revisi) Rigunas Agri Utama – Bungo Tebo Semester I & II tahun 2016". The fertilizer recommendation defines the fertilizer recommendation per afdeling, type of fertilizer, dosage per palm, total tonnage, time/month of application.</p> <p>Example: Block A94k, division I, plant in 1994, 85 Ha, mineral soil, rolling/hilly area. Recommendation ZA 2.50kg/palm; total applied 24290 kg in May 17, 2016. Block D081, division IV, plant in 2008, 30 Ha, mineral soil, flat/undulating area. Recommendation for MOP 3.10 kg/palm; total application 8,380 kg in June 17, 2016.</p> <p>EFB application planned in 2016, i.e: Division I, to be applied with 2,368 tons at 357 Ha, actual application up to august 2016 with 591 tons; Division II, to be applied with 10,732 tons at 749 Ha, actual application up to august 2016 with 7,741 tons; Division III, to be applied with 13,036 tons at 635 Ha, actual application up to august 2016 with 7,890 tons; and Division IV, to be applied with 25,600 tons at 512 Ha, actual application up august 2016 with 4,839 tons.</p> <p>POME is applied as liquid nutrient for land application. POME application in Division II in 2016, as follows:</p> <table border="1"> <thead> <tr> <th rowspan="2">Block</th> <th rowspan="2">Ha</th> <th rowspan="2">Plan (M³)</th> <th colspan="4">Implemented (M³)</th> </tr> <tr> <th>April</th> <th>May</th> <th>June</th> <th>July</th> </tr> </thead> <tbody> <tr> <td>B95g</td> <td>41</td> <td>45,150</td> <td></td> <td>5,945</td> <td></td> <td></td> </tr> <tr> <td>B95h</td> <td>8</td> <td>8,820</td> <td></td> <td>1,205</td> <td></td> <td></td> </tr> <tr> <td>B95i</td> <td>30</td> <td>31,500</td> <td></td> <td></td> <td>253</td> <td>3,685</td> </tr> <tr> <td>B95j</td> <td>36</td> <td>37,800</td> <td></td> <td></td> <td></td> <td>5,976</td> </tr> <tr> <td>B95k</td> <td>12</td> <td>12,600</td> <td></td> <td></td> <td>9,534</td> <td>1,661</td> </tr> <tr> <td>B95l</td> <td>29</td> <td>25,200</td> <td>5,572</td> <td></td> <td></td> <td></td> </tr> <tr> <td>B96u</td> <td>3</td> <td>3,150</td> <td>788</td> <td></td> <td></td> <td></td> </tr> <tr> <td>B96t</td> <td>13</td> <td>13,650</td> <td>3,413</td> <td></td> <td></td> <td></td> </tr> <tr> <td>C96x</td> <td>22</td> <td>23,100</td> <td>2,757</td> <td>3,018</td> <td></td> <td></td> </tr> <tr> <td>C96h</td> <td>1</td> <td>1,050</td> <td></td> <td>263</td> <td></td> <td></td> </tr> <tr> <td>C96m</td> <td>3</td> <td>3,150</td> <td></td> <td>788</td> <td></td> <td></td> </tr> <tr> <td>Total</td> <td>200</td> <td>210,420</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Block	Ha	Plan (M ³)	Implemented (M ³)				April	May	June	July	B95g	41	45,150		5,945			B95h	8	8,820		1,205			B95i	30	31,500			253	3,685	B95j	36	37,800				5,976	B95k	12	12,600			9,534	1,661	B95l	29	25,200	5,572				B96u	3	3,150	788				B96t	13	13,650	3,413				C96x	22	23,100	2,757	3,018			C96h	1	1,050		263			C96m	3	3,150		788			Total	200	210,420					Comply
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RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>Scheme smallholder: Scheme smallholder referring to “SOP AA-PLASMA-PP-KS-03 Pemupukan” for fertilizer application; KUD Sawit Makmur: The fertilizer recommendation for smallholder was provided by PT. Rigunas Agri Utama. The fertilizer provided by company. In KUD Sawit Makmur, the total oil palm plantation 672 Ha, 86,016 palms. The program for ZA is 172,032 kg in February and 172,032 kg (2 kg/palm) in July 2016, fully implemented. Program for Rock phosphate is 86,016 kg (1 kg/palm) in June 2016 - implemented. Program for MOP is 150,628 kg in February and 150,628 kg (1.75 kg/palm) in August 2016 - implemented. Dolomite 86,016 kg (1 kg/palm) in January 2016 - implemented. HGFB 8,602 kg (0.1 kg/palm) in May 2016 - implemented;</p> <p>KUD Tanjung Aur Duri: The fertilizer recommendation for smallholder was provided by PT. Rigunas Agri Utama. The fertilizer provided by company. In KUD Tanjung Aur, KT 122 the total oil palm plantation 42 Ha with 5,376 palms. The program for ZA was 10,752 kg in February and 10,752 kg (2 kg/palm) in July 2016, fully implemented. Program for Rock phosphate is 5,376 kg (1 kg/palm) in June 2016 - implemented. Program for MOP was 9,408 kg in February and 9,408 kg (1.75 kg/palm) in August 2016 - implemented. Dolomite 5,376 kg (1 kg/palm) in January 2016 - implemented. HGFB 538 kg (0.1 kg/palm) in May 2016 - implemented;</p>	
<p>4.2.3</p> <p>There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status.</p> <p>- Minor compliance -</p>	<p>Soil analysis carried out by PT Nusa Pusaka Kencana Analytical & QC Laboratory. The foliar analysis result indicating the major element such as N, P, K, Mg, C and minor element such as B, Cu, Zn, Mn and Fe.</p> <p>Oil Palm Leaf Nutrient Analysis (frond 17) – Afdeling I, II, III, IV in 2011 and 2012.</p> <p>Foliar Analysis Report Kebun Bungo Tebo afdeling I, II, III and IV dated 14th June 2013, analysis report sent on 29th July 2013.</p> <p>Foliar Analysis Report Kebun Bungo Tebo afdeling I, II, III and IV dated 24th June 2014, analysis report sent on 14th August 2014.</p> <p>Soil Analysis carried out in Bungo Tebo divisi I, III, IV, dated 4 – 5th February 2013. The report indicating the particle type, pH, N, Organic C, P (in ppm), CEC, etc.</p> <p>Scheme Smallholders:</p>	<p>Comply</p>

RSP0 Public Summary Report
Revision 4 (November /2016)

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		<p>Result of annual leaf sampling test made available for fertilizer application recommendation. The latest leaf sampling conducted in 2014 for fertilizer (organic or inorganic) recommendation on 2015.</p> <p>KUD Tanjung Aur Duri: Soil analysis report on 08/03/2013 but nothing for Tanjung Aur plantation location.</p>																																																																																																
4.2.4	<p>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 compliance -</p>	<p>Record of nutrient recycling is available: Block A94k, division I, plant in 1994, 85 Ha, mineral soil, rolling/hilly area. Recommendation ZA 2.50kg/palm; total applied 24290 kg in May 17, 2016.</p> <p>EFB application planned in 2016, i.e: Division I, to be applied with 2,368 tons at 357 Ha, actual application up to august 2016 with 591 tons; Division II, to be applied with 10,732 tons at 749 Ha, actual application up to august 2016 with 7,741 tons; Division III, to be applied with 13,036 tons at 635 Ha, actual application up to august 2016 with 7,890 tons; and Division IV, to be applied with 25,600 tons at 512 Ha, actual application up august 2016 with 4,839 tons.</p> <p>POME is applied as liquid nutrient for land application. POME application in Division II in 2016, as follows:</p> <table border="1"> <thead> <tr> <th rowspan="2">Block</th> <th rowspan="2">Ha</th> <th rowspan="2">Plan (M³)</th> <th colspan="4">Implemented (M³)</th> </tr> <tr> <th>April</th> <th>May</th> <th>June</th> <th>July</th> </tr> </thead> <tbody> <tr> <td>B95g</td> <td>41</td> <td>45,150</td> <td></td> <td>5,945</td> <td></td> <td></td> </tr> <tr> <td>B95h</td> <td>8</td> <td>8,820</td> <td></td> <td>1,205</td> <td></td> <td></td> </tr> <tr> <td>B95i</td> <td>30</td> <td>31,500</td> <td></td> <td></td> <td>253</td> <td>3,685</td> </tr> <tr> <td>B95j</td> <td>36</td> <td>37,800</td> <td></td> <td></td> <td></td> <td>5,976</td> </tr> <tr> <td>B95k</td> <td>12</td> <td>12,600</td> <td></td> <td></td> <td>9,534</td> <td>1,661</td> </tr> <tr> <td>B95l</td> <td>29</td> <td>25,200</td> <td>5,572</td> <td></td> <td></td> <td></td> </tr> <tr> <td>B96u</td> <td>3</td> <td>3,150</td> <td>788</td> <td></td> <td></td> <td></td> </tr> <tr> <td>B96t</td> <td>13</td> <td>13,650</td> <td>3,413</td> <td></td> <td></td> <td></td> </tr> <tr> <td>C96x</td> <td>22</td> <td>23,100</td> <td>2,757</td> <td>3,018</td> <td></td> <td></td> </tr> <tr> <td>C96h</td> <td>1</td> <td>1,050</td> <td></td> <td>263</td> <td></td> <td></td> </tr> <tr> <td>C96m</td> <td>3</td> <td>3,150</td> <td></td> <td>788</td> <td></td> <td></td> </tr> <tr> <td>Total</td> <td>200</td> <td>210,420</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>Scheme Smallholders: No applied EFB and Land Application due to distance from mill reason</p>	Block	Ha	Plan (M ³)	Implemented (M ³)				April	May	June	July	B95g	41	45,150		5,945			B95h	8	8,820		1,205			B95i	30	31,500			253	3,685	B95j	36	37,800				5,976	B95k	12	12,600			9,534	1,661	B95l	29	25,200	5,572				B96u	3	3,150	788				B96t	13	13,650	3,413				C96x	22	23,100	2,757	3,018			C96h	1	1,050		263			C96m	3	3,150		788			Total	200	210,420					Comply
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Practices minimise and control erosion and degradation of soils.																					
4.3.1	<p>Maps of any fragile soils shall be available.</p> <p>- Major compliance -</p>	<p>Soil Analysis carried out in 2013. Reported under "Laporan Survey Tanah Semidetil Area Perkebunan Kelapa Sawit PT. Rigunas Agri Utama Kebun Bungo Tebo". Maps of fragile soil is available.</p> <p>The dominant soil type is:</p> <table border="1"> <thead> <tr> <th>Type</th> <th>Slope (%)</th> <th>Area</th> </tr> </thead> <tbody> <tr> <td>Aquic dystrodepts</td> <td>0 – 8</td> <td>142.7 Ha</td> </tr> <tr> <td>Typic endoaquults</td> <td>0 – 8</td> <td>146.1 Ha</td> </tr> <tr> <td>Typic hapludults</td> <td>8 – 15</td> <td>13.8 Ha</td> </tr> <tr> <td>Typic hapludults</td> <td>15 – 30</td> <td>753.9 Ha</td> </tr> <tr> <td>Typic hapludults</td> <td>>30</td> <td>1,574.5 Ha</td> </tr> </tbody> </table> <p>The limiting factors is steep slope of more that 30% in half of the concession. Soil suitability: suitable area 1,056.5 ha, Area non suitable with limiting factors identified 1,574.5 Ha.</p> <p>Scheme smallholder: KUD Tanjung Aur Duri: The oil palm plantation was in identified with Typic hapludults, with limiting factors such as texture, nutrition retention and steep slope >30%.</p>	Type	Slope (%)	Area	Aquic dystrodepts	0 – 8	142.7 Ha	Typic endoaquults	0 – 8	146.1 Ha	Typic hapludults	8 – 15	13.8 Ha	Typic hapludults	15 – 30	753.9 Ha	Typic hapludults	>30	1,574.5 Ha	Comply
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4.3.2	<p>A management strategy shall be in place for plantings on slopes above a certain limit (this needs to be soil and climate specific).</p> <p>- Minor compliance -</p>	<p>The recommendation from soil survey is to have fertilizer application, on time, with correct dosage, with correct type; terrace and silt pit as soil conservation; application of EFB and; drain maintenance.</p> <p>"Continuous Improvement Plan Kebun Bungo Tebo 2016" is to have continous terrace, road drainage, drain maintenance.</p> <p>Planning for silt pit for Division VI was 23 units, implemented 23 units as of Augsut 2015.</p> <p>Planning for continuous terrace maintenance for Division IV block D08a 250meters/Ha – implemented up to August 2015 were 160 meters.</p> <p>Drain maintenance Culvert installation plan Division I: 14 units – installed as of June 2015 was 14 units. Culvert installation plan Division II: 25 units – installed as of June 2015 was 25 units.</p> <p>Evidence of implementation was sighted during field inspection such as:</p> <ol style="list-style-type: none"> 1. U-shape to prevent erosion in slope areas 2. Maintaning <i>Neprolepis sp</i> inside plot as natural soil cover vegetation. 	Comply																		

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>Scheme smallholder: Cooperatives followed PT Rigunas Agri Utama's procedure for land clearing stated that no land clearing should performed on area with slope >40%. The strategy implemented by cooperatives is frond stacking and maintain natural vegetation as cover crop. Specific for low-laying area, the strategy is to maintain cover crop, drainage ditch and frond stacking.</p> <p>KUD Tanjung Aur Duri: The oil palm plantation was in identified with Typic hapludults, with limiting factors such as texture, nutrition retention and steep slope >30%. In order to manage the risk onto soil, cooperative has received "Pelatihan dan Penyuluhan Konservasi Tanah dan Air, Pemupukan dan Analisa Sampel Daun" on 08/24/2015, attended by 11 farmers. The training recommended soil ploughing, planting of ground cover, fertilizer recommendation, frond stacking, soil conservation (platform, terrace, silt pit, bunding, etc.)</p>	
4.3.3	<p>A road maintenance programme shall be in place.</p> <p>- Minor compliance -</p>	<p>Bungo Tebo Estate: Bungo Tebo estate shows the road maintenance plan year 2016: Road maintenance fortification: Programme and implemented up to August 2016, Division I planned for 3,448 meters, implemented for 1,400 meters; Division II planned for 6,872 meters; Division III planned for 18,629 meters, implemented for 6,155 meters; and Division IV planned for 2,028 meters, implements 2,000 meters.</p> <p>Road maintenance grading: Implemented up to August 2106, Division I 35,900 meters, Division II 17,886 meters, Division III 54,947 meter, and Division IV 9,027 meters.</p> <p>Programme of Manual road maintenance: Division I (34 mandays), Divison II (75 mandays), Division III (69 mandays), and Division IV (43 mandays).</p> <p>Scheme smallholders: KUD Sawit Makmur: KUD has shown document of "Rencana dan Realisasi Perbaikan Jalan KUD Sawit Makmur tahun 2016", total an area 672 Ha, road length 33,600 meter. Road maintenance programme has created every month. Eg: in January 2016 (plan 2,300 meter – realization 2,200 meter), April 2016 (plan 500 meter – realization 450 meter)</p> <p>KUD Sumay Jaya:</p>	Comply

RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>KUD has shown document of "Rencana dan Realisasi Perbaikan Jalan KUD Sawit Makmur tahun 2016", total an area 232 Ha, road length 11,600 meter. Road maintenance programme has created every month. Eg: in february 2016 (plan 653 meter – realization 350 meter), April 2016 (plan 985 meter – realization 3,800 meter)</p> <p>KUD Tanjung Aur Duri: "Rencana dan Realisasi Perbaikan Jalan 2016", from the plan, out of 2,856 meters road, the result shows up to August 2016 there has been 350 meters of road repaired.</p>	
4.3.4	<p>Subsidence of peat soils shall be minimised and monitored. A documented water and ground cover management programme shall be in place.</p> <p>- Major compliance -</p>	<p>Based on semi-detailed soil survey, there is no peat soil.</p> <p>Scheme Smallholders: Based on soil map, there is no peat soil in the area of KUD's.</p>	Comply
4.3.5	<p>Drainability assessments shall be required prior to replanting on peat to determine the long-term viability of the necessary drainage for oil palm growing.</p> <p>- Minor compliance -</p>	<p>Based on semi-detailed soil survey, there is no peat soil.</p> <p>Scheme Smallholders: Based on soil map, there is no peat soil in the area of KUD's.</p>	Comply
4.3.6	<p>A management strategy shall be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils).</p> <p>- Minor compliance -</p>	<p>Bungo Tebo Estate: Management of low lying area: Management low land block B96q, with issues: number of palms on edge of ravine 192, high losses (left bunches/left loose fruit), fertilizer output low, etc. Improvement plan in form of frond stacking 13 Ha in February 2015, drainage cleaning 865 meter in March 2015, installation of 20 unit platforms in March and April April, and manual terrace of 3,048 meters di April 2015. Recommendation for area with steep slope (>30%) is not to open. Area dengan steep slope: Manual terrace rehabilitation: to reinstate the bench terrace manually. Planning for terrace maintenance for Division IV block D08a 250meters/Ha – implemented up to August 2015 were 160 meters. Management strategy for fragile soil is sufficient.</p> <p>Scheme Smallholders: Smallholder implemented minimum spraying (using spraying team service), frond stacking</p>	NC Minor

RSPO Public Summary Report
Revision 4 (November /2016)

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	<p>against contour line and maintain natural vegetation and beneficial plants. This best management practices implemented at a number of farmer plot of KUD, where slope identified >25%.</p>	
	<p>NC Minor: Implementation of best management practices for protection for fragile and problem soil in Bungo Tebo Estate and smallholder plantation was not in line with current policy "SOP Konservasi Tanah dan Air AA-APM-OP-1100.05-R1".</p> <p>Company has a procedure for soil preservation under SOP Konservasi Tanah dan Air AA-APM-OP-1100.05-R1, whereby the method for soil and water preservation, with consideration to slope; in form of cover crop maintenance, application of empty fruit bunch, frond stacking.</p> <p>Based on field visit to Bungo Tebo Estate, Division III block C94f, C94j, C96j, C96l; audit team found frond stacking was not practiced. Smallholder organization have been provided with guideline for management of fragile soil under "Pelatihan dan Penyuluhan Konservasi Tanah dan Air, Pemupukan dan Analisa Sampel Daun". The guideline indicated soil ploughing, planting of ground cover, fertilizer recommendation, frond stacking, soil conservation (platform, terrace, silt pit, bund, etc.) as effort to managed area with problem soil/steep slope. Based on visit to smallholder blocks in KUD Sumay Jaya (No.219, 2002, 2159, 2186); KUD Sawit Makmur (858, 1253, 1259), audit team found that frond stacking was not implemented.</p> <p>Corrective action: PT. Rigunas Agri Utama planned to have:</p> <ul style="list-style-type: none"> - Memorandum issued by GM PT. Rigunas Agri Utama, related to weed condition in bonudary area – to limiting the access for FFB thief; - Re-communicating the impotence of water and soil conservation; <p>All of the activity implementation will be monitored on regular basis. Audit team will verify the effective implementation of corrective action plan during subsequent annual surveillance assessment.</p>	
<p>Criterion 4.4: Practices maintain the quality and availability of surface and ground water.</p>		

RSPO Public Summary Report
Revision 4 (November /2016)

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4.4.1	<p>An implemented water management plan shall be in place.</p> <p>- Minor compliance -</p>	<p>The company has a water management plan as documented in “Water management Kebun Buatan – Praktek Praktek Mempertahankan Kualitas dan ketersediaan Air permukaan dan Air Tanah – Water Sustainable”. Water Management Plan, covering: identification water need as regulated in “Peraturan Menteri PU No.14/PRT/M/2010 (domestic consumption is 60 liters/person/day and water needed for mill processing, Ground and surface water resources and its permit, management and monitoring waste water, included domestic waste water, etc.</p> <p>The company has conducted measurement of water quality regularly and consistent, the result shown that water quality is complies with national regulation.</p> <p>Regular monitoring of water quality has been conducted. Water sample was taken from Observing well within land application and non land application area, upstream and downstream of Pemuatan River, Lalo River, Belangkai River water (downstream and upstream). Sample taken every six month. Review of record show all parameter tested were in accordance with relevant regulation i.e. Permenkes 416/1990 and PP 82/2001.</p> <p>No chemical applied nearby water sources and protected riparian zones this has been confirmed during field visit to estate block area and interview with chemical sprayers.</p> <p>Scheme smallholders: The soil and water conservation in form of maintain soft weed by selective spraying (team TUS). The soft weed for natural cover crop – in order to maintain micro-climate and minimize surface run-off.</p>	Comply
4.4.2	<p>Protection of water courses and wetlands, including maintaining and restoring appropriate riparian and other buffer zones (refer to national best practice and national guidelines) shall be demonstrated.</p> <p>- Major compliance -</p>	<p>Bungo Tebo POM: The water used for domestic purposes comes from the surface water then pumped into the tank and supplied to employee housing. To maintain the water source, the company have been planted the native trees around reparian rivers. The company has demarcated left and rights side along the river and serves as riparian zones and no any spraying in those areas to prevent chemical contamination into the river water. SOP for maintaining riparian zone is under SOP AA-APM-OP-1100.05. R1 “Konservasi Tanah dan Air”, it is stated that at during land clearing area along the river shall be conserved.</p>	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>Scheme smallholders: The soil and water conservation in form of maintain soft weed by selective spraying (team TUS). The soft weed for natural cover crop – in order to maintain micro-climate and minimize surface run-off.</p>	
<p>4.4.3 Appropriate treatment of mill effluent to required levels and regular monitoring of discharge quality, especially Biochemical Oxygen Demand (BOD), shall be in compliance with national regulations (Criteria 2.1 and 5.6). - Minor compliance -</p>	<p>Bungo Tebo POM: Bungo Tebo POM has a procedure to manage the palm oil mill effluent, under AA-MPM-OP-1400.13-R1. The process from recovery tank into cooling pond, into acidification pond (anaerob bacteria activation) into primary anaerob pond (decomposition), secondary anaerobic pond. The purpose was to reduce BOD <100 ppm. Based on field visit, Bungo Tebo POM are using 6 ponds with 3 buffer ponds was not used. Acid pond capacity: 4,500 m³; cooling pond capacity 4,500 m³; anaerobic pond I capacity 10,600 m³; secondary anaerobic pond 1 capacity 10,600 m³; sedimentation pond capacity 10,600 m³; buffer ponds capacity 15,428 m³. Mill has a work instruction for management of POME pond, under “Work Instruction Pengoperasian Kolam Limbah”. The fresh palm oil mill effluent was processed in order to meet “Keputusan Menteri Lingkungan Hidup No.Kep.51/MenLH/10/1995 which stated the parameter should be within pH 6-9; BOD 100 mg/L; COD 350 mg/L; TSS 250 mg/L; Oil and Fat 25 mg/L; NH₃ 50 mg/L. Mill effluent was utilized for land application, adding nutrient to oil palm plantation. The land application was based on “Keputusan Bupati Tebo No.354 Tahun 2015 tentang Izin Pemanfaatan Air Limbah Pabrik Kelapa Sawit pada Tanah di Perkebunan Kelapa Sawit Milik PT. Rigunas Agri Utama” dated 23/06/2015 valid for 5 years. The permit regulates the application of palm oil mill effluent with max. BOD sets at 5,000 ppm. Company has regularly reported to “Kantor Lingkungan Hidup Kabupaten Tebo” on monthly basis. Record seen: “Daftar Distribusi Eksternal Laporan Land Aplikasi Period December 2015” dated 18/04/2016. Company also send the report to “Badan Lingkungan Hidup Provinsi Jambi”, “Kementerian Lingkungan Hidup Republik Indonesia” for report of land application period December 2015 – June 2016. POME quality monitoring, analysis was conducted by Badan Lingkungan Daerah, Unit</p>	<p>Comply</p>

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		<p>Pelayanan Teknis Laboratorium Lingkungan Daerah Provinsi Jambi”, for period December 2015 – July 2016:</p> <table border="1"> <thead> <tr> <th>Parameter</th> <th>Dec</th> <th>Jan</th> <th>Feb</th> <th>Mar</th> </tr> </thead> <tbody> <tr> <td>pH</td> <td>7.26</td> <td>8.00</td> <td>8.49</td> <td>7.49</td> </tr> <tr> <td>BOD (mg/L)</td> <td>1,127</td> <td>423</td> <td>1,410</td> <td>723</td> </tr> <tr> <td>COD (mg/L)</td> <td>2,332</td> <td>967</td> <td>2,121</td> <td>1,797</td> </tr> <tr> <td>Oil & Grease (mg/L)</td> <td>52</td> <td>196</td> <td>112</td> <td>54</td> </tr> <tr> <td>Pb (mg/L)</td> <td>0.359</td> <td><0.02</td> <td><0.02</td> <td><0.02</td> </tr> <tr> <td>Cu (mg/L)</td> <td>0.096</td> <td>0.145</td> <td>0.199</td> <td>0.191</td> </tr> <tr> <td>Cd (mg/L)</td> <td>0.016</td> <td><0.005</td> <td><0.005</td> <td><0.005</td> </tr> <tr> <td>Zn (mg/L)</td> <td>0.15</td> <td>0.142</td> <td>0.119</td> <td>0.154</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th>Parameter</th> <th>Apr</th> <th>May</th> <th>Jun</th> </tr> </thead> <tbody> <tr> <td>pH</td> <td>7.63</td> <td>7.31</td> <td>7.43</td> </tr> <tr> <td>BOD (mg/L)</td> <td>1,127</td> <td>543</td> <td>1,086</td> </tr> <tr> <td>COD (mg/L)</td> <td>2,795</td> <td>986</td> <td>1,826</td> </tr> <tr> <td>Oil & Grease (mg/L)</td> <td>86</td> <td>78</td> <td>219</td> </tr> <tr> <td>Pb (mg/L)</td> <td><0.02</td> <td><0.02</td> <td><0.02</td> </tr> <tr> <td>Cu (mg/L)</td> <td>0.066</td> <td>0.085</td> <td>0.030</td> </tr> <tr> <td>Cd (mg/L)</td> <td><0.005</td> <td><0.005</td> <td>0.008</td> </tr> <tr> <td>Zn (mg/L)</td> <td>0.039</td> <td>0.171</td> <td>0.030</td> </tr> </tbody> </table> <p>Treatment for palm oil mill effluent is sufficient.</p>	Parameter	Dec	Jan	Feb	Mar	pH	7.26	8.00	8.49	7.49	BOD (mg/L)	1,127	423	1,410	723	COD (mg/L)	2,332	967	2,121	1,797	Oil & Grease (mg/L)	52	196	112	54	Pb (mg/L)	0.359	<0.02	<0.02	<0.02	Cu (mg/L)	0.096	0.145	0.199	0.191	Cd (mg/L)	0.016	<0.005	<0.005	<0.005	Zn (mg/L)	0.15	0.142	0.119	0.154	Parameter	Apr	May	Jun	pH	7.63	7.31	7.43	BOD (mg/L)	1,127	543	1,086	COD (mg/L)	2,795	986	1,826	Oil & Grease (mg/L)	86	78	219	Pb (mg/L)	<0.02	<0.02	<0.02	Cu (mg/L)	0.066	0.085	0.030	Cd (mg/L)	<0.005	<0.005	0.008	Zn (mg/L)	0.039	0.171	0.030	
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Zn (mg/L)	0.15	0.142	0.119	0.154																																																																																
Parameter	Apr	May	Jun																																																																																	
pH	7.63	7.31	7.43																																																																																	
BOD (mg/L)	1,127	543	1,086																																																																																	
COD (mg/L)	2,795	986	1,826																																																																																	
Oil & Grease (mg/L)	86	78	219																																																																																	
Pb (mg/L)	<0.02	<0.02	<0.02																																																																																	
Cu (mg/L)	0.066	0.085	0.030																																																																																	
Cd (mg/L)	<0.005	<0.005	0.008																																																																																	
Zn (mg/L)	0.039	0.171	0.030																																																																																	
4.4.4	<p>Mill water use per tonne of Fresh Fruit Bunches (FFB) (see Criterion 5.6) shall be monitored.</p> <p>- Minor compliance -</p>	<p>Bungo Tebo POM: Water efficiency, budget for water use: 1 m³/ton FFB processed. The result for 2016 shows:</p> <table border="1"> <thead> <tr> <th>Month</th> <th>FFB processed (tons)</th> <th>Water process (m³)</th> <th>Mill water use/efficiency (m³ water/tons FFB process)</th> </tr> </thead> <tbody> <tr> <td>Jan</td> <td>15,219</td> <td>16,292</td> <td>1.04</td> </tr> <tr> <td>Feb</td> <td>14,658</td> <td>14,713</td> <td>0.93</td> </tr> <tr> <td>Mar</td> <td>18,052</td> <td>16,458</td> <td>0.88</td> </tr> <tr> <td>Apr</td> <td>10,147</td> <td>16,650</td> <td>1.64</td> </tr> <tr> <td>May</td> <td>16,194</td> <td>15,869</td> <td>0.98</td> </tr> <tr> <td>Jun</td> <td></td> <td>17,222</td> <td>1.22</td> </tr> <tr> <td>Jul</td> <td></td> <td>14,562</td> <td>1.23</td> </tr> <tr> <td>Aug</td> <td></td> <td>17,523</td> <td>0.75</td> </tr> <tr> <td>Average</td> <td></td> <td></td> <td>1.03</td> </tr> </tbody> </table>	Month	FFB processed (tons)	Water process (m ³)	Mill water use/efficiency (m ³ water/tons FFB process)	Jan	15,219	16,292	1.04	Feb	14,658	14,713	0.93	Mar	18,052	16,458	0.88	Apr	10,147	16,650	1.64	May	16,194	15,869	0.98	Jun		17,222	1.22	Jul		14,562	1.23	Aug		17,523	0.75	Average			1.03	Comply																																									
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<p>Criterion 4.5: Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.</p>																																																																																				

RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
4.5.1	<p>Implementation of Integrated Pest Management (IPM) plans shall be monitored.</p> <p>- Major compliance -</p>	<p>Bungo Tebo Estate: Company has a procedure for integrated pest management. The IPM Plan includes early warning system and the planting of beneficial plants. Records of bagworm census and black bunch census from each estate are available. From these records no infestation above economic threshold. PT Rigunas Agri Utama has a integrated Pest Management, available under “Rencana Program Kerja – Sensus Hama dan Penyakit, Sensus Kandang Burung Hantu, Rehab Kandang Burung Hantu, Sensus Ganoderma, Pengendalian Hama Lain”. Pest and disease reported under “Laporan Hama dan Penyakit 2015” is available. Census carried out for nettle caterpillar and bagworm: No sign of infestation above threshold.</p> <p>Record seen: Leaf eating pest census: “Rencana Pengendalian Serangan Hama Ulat Pemakan Daun Bungo Tebo Estate”: shows no planning for control of leaf eating caterpillar with chemical use. Pest census November 2014: Division II attack on 31 Ha, attack intensity 1-5%. Integrated Management Plan of barn owl boxes: 25 boxes in Division I, 25 boxes in Division II, 18 boxes in Division III, 14 boxes in Division IV. Integrated Pest Management in company-owned plantation is well managed.</p> <p>Scheme smallholders: Cooperative management refers to Procedure Pengendalian Hama dan Penyakit AA-Plasma-PP-KS-02 dated 1st September 2011. The procedure covers pest and disease census, monitoring technique, calculation method, identification of pest (leaf eating caterpillar, rat, rhino beetle, tirathaba, white ant, etc.) KUD Sawit Makmur: KUD has shown document of “Sensus Hama dan Penyakit Tanaman” - February 2016 location at KT 73 dated of census 3 to 21 February 2016, there are not found that oil palm attacked of rat, tirathaba and ganoderma.</p> <p>KUD Sumay Jaya: KUD has shown document of “Sensus Pengendalian Ulat Pemakan Daun” - June 2016 location at KT 27, 28, 29 and 30, there are not found that oil palm attacked of rat, tirathaba and ganoderma.</p>	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>KUD Tanjung Aur Duri: Monitoring Pengendalian Hama Ulat Pemakan Daun period January – December 2015. Integrated Pest Management in smallholder farmer plantation is well managed.</p>	
4.5.2	<p>Training of those involved in IPM implementation shall be demonstrated.</p> <p>- Minor compliance -</p>	<p>Bungo Tebo Estate: PT. Rigunas Agri Utama provides training for Integrated Pest Management for field officers. Refreshment training on IPM dated 21st May 2016 attended by 41 officers from Bungo Tebo Estate. Field assistants and mandores are able to explain relevant aspects related to integrated pest management. Training for integrated pest management is sufficient.</p> <p>Scheme Smallholders: The latest IPM training for KUD Sawit Makmur is recorded in Notulen Pelatihan Pengendalian Terpadu (PHT) on 4th April 2015, attended by representative from each KT, management of KUD and representative smallholder farmer.</p> <p>The latest IPM training for KUD Sumay Jaya is recorded in Notulen Pelatihan Pengendalian Terpadu (PHT) on 8th April 2015, attended by representative from each KT, management of KUD and representative smallholder farmer.</p> <p>Scheme smallholder: KUD Tanjung Aur Duri: “Notulen Pelatihan Pengendalian Hama Terpadu Manajemen Pembina Plasma Bersama KUD dan Kelompok Tani”. Training for integrated pest management for smallholder level is sufficient.</p>	Comply
Criterion 4.6:			
Pesticides are used in ways that do not endanger health or the environment			
4.6.1	<p>Justification of all pesticides used shall be demonstrated. The use of selective products that are specific to the target pest, weed or disease and which have minimal effect on non-target species shall be used where available.</p> <p>- Major compliance -</p>	<p>Bungo Tebo Estate: The justification of pesticide used is explained under company procedure. PT Inti Indosawit Subur shows “SOP Pengendalian Gulma No.AA-APM-OP-11100.08-R1” dated 1st November 2008. Chapter IV explains the weed control program for woody, grass, fern, caladium, wild banana (<i>Musa spp</i>), <i>Ayastasia</i>. It does explain active ingredients use to control such weed, dosage per application, type of nozzle used and volume of spraying per application. Chapter V explains selection of pesticide and its active ingredients content, nature of the pesticide and target species. Chapter VII describes calculation of actual area implemented per hectare plantation (spray</p>	Comply

Criterion / Indicator	Assessment Findings	Compliance																												
	<p>factor), spraying rotation and spraying output. Interview with herbicide sprayer, they understand the target species and active ingredients to control them. Sprayer shows knowledge on minimizing chemical impact on beneficial weed.</p> <p>Justification for use of pesticide is clear, and understood by workers.</p> <p>Scheme Smallholders: The Scheme Manager developed guidance and list of agrochemical use for smallholders. This has considered the condition of area and targeted species. Review of record showed that there are some pesticides used for cooperatives such as <i>Paraquat diclorida</i>, <i>Methyl metsulfuron</i>, <i>Trichropil</i>, and <i>Glyphosate</i>.</p>																													
<p>4.6.2</p> <p>Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per ha and number of applications) shall be provided.</p> <p>- Major compliance -</p>	<p>Bungo Tebo Estate: Company maintain record of herbicide use up to August 2016:</p> <table border="1" data-bbox="724 1032 1233 1637"> <thead> <tr> <th>Active ingredient</th> <th>Application up to August 2016 (liter or kg)</th> <th>A.i. used</th> <th>a.i per Ha applied (2,551 Ha)</th> </tr> </thead> <tbody> <tr> <td>Metil metsulfuron 20%</td> <td>310 kg</td> <td>6,191 g</td> <td>2.43 g/Ha</td> </tr> <tr> <td>Ion paraquat (200 gr/ltr)</td> <td>1,527 liters</td> <td>305,400 g</td> <td>119.71 g/Ha</td> </tr> <tr> <td>Isopropil Amina Glifosat 480 gr/liter</td> <td>2,328 liters</td> <td>1,117,440 g</td> <td>438.04 g/Ha</td> </tr> <tr> <td>Fluoroksipir 288gr/liter</td> <td>421 liters</td> <td>121,248g</td> <td>47.53 g/Ha</td> </tr> <tr> <td>Isopropil Amina Glifosat 480 gr/liter</td> <td>83 liters</td> <td>39,480 g</td> <td>15.62 g/Ha</td> </tr> <tr> <td>Triklampir 480gr/liter</td> <td>14 liters</td> <td>6,720 g</td> <td>2,63 g/Ha</td> </tr> </tbody> </table> <p>Scheme Smallholders: The Scheme Manager developed guidance and list of agrochemical use for smallholders. This has considered the condition of area and targeted species. Review of record showed that there are some pesticides used for cooperatives such as <i>Paraquat diclorida</i>, <i>Methyl metsulfuron</i>, <i>Trichropil</i>, and <i>Glyphosate</i>. This recorded in "Rekaman Penggunaan Bahan Kimia KUD Sawit Makmur tahun 2016". List pesticide "Daftar Pestisida yang terdaftar dan diizinkan":</p> <ol style="list-style-type: none"> 1. Elang 480 SL, ai: Isoprofil amina glifosat, 	Active ingredient	Application up to August 2016 (liter or kg)	A.i. used	a.i per Ha applied (2,551 Ha)	Metil metsulfuron 20%	310 kg	6,191 g	2.43 g/Ha	Ion paraquat (200 gr/ltr)	1,527 liters	305,400 g	119.71 g/Ha	Isopropil Amina Glifosat 480 gr/liter	2,328 liters	1,117,440 g	438.04 g/Ha	Fluoroksipir 288gr/liter	421 liters	121,248g	47.53 g/Ha	Isopropil Amina Glifosat 480 gr/liter	83 liters	39,480 g	15.62 g/Ha	Triklampir 480gr/liter	14 liters	6,720 g	2,63 g/Ha	<p>Comply</p>
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RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance												
		<p>9 January 2017 (RI. 010301199411470)</p> <p>2. Kenrane 288; ai: trifluoksipir; 06 September 2015 (RI. 01010120103759)</p> <p>3. Metsulindo; ai: Metil metsulfuron, 18 Maret 2016 (RI. 1030119991484)</p> <p>4. Gramaxone 276SL*;ai: paraquat diclorida, 9 January 2017 (RI.01010120031889)</p>													
4.6.3	<p>Any use of pesticides shall be minimised as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations identified in national Best Practice guidelines.</p> <p>- Major compliance -</p>	<p>Bungo Tebo Estate: Based on the company SOP, there is no prophylactic use of pesticide (not allowed). Estate conduct annual census to monitor the pest infestation, prior to application of pesticide to control the outbreak. Estate carried out monthly pest monitoring through pest census on rats and <i>tirathaba</i>, leaf eating caterpillar and bagworm, and other type of pest. Based on record review and interview with manager, there has been no application of pesticide throughout 2014. Pest such as rat – controlled through natural predator, barn owl; leaf eating caterpillar and bagworm is under control – through natural predator, nurtured and maintained the host plant such as <i>Turnera subulata</i>, <i>Antigonon</i>, etc.</p> <p>Scheme smallholders: Scheme manager and its cooperatives maintained record of pesticide use for each KUD. Review Record of “Program & Realisasi keja Tahun 2016” showed actual pesticed use for each KT and volume for eac of type of pesticide.</p> <p>KUD Sawit Makmur: Ai used: Elang (0.32 liter/ha), gliposat (113 gr/ha, Kenlon (0.08 liter/ha) dan Triklopir (25.88 gr/ha)</p>	Comply												
4.6.4	<p>Pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimised and eliminated as part of a plan, and shall only be used in exceptional circumstances.</p> <p>- Minor compliance -</p>	<p>Estate Paraquat is not banned in Indonesia. PT. Rigunas Agri Utama is starting to record the use of paraquat. However, company has committed to reduce the use of Paraquat year to year. Monitoring of paraquat use in 2013 to August 2016</p> <table border="1"> <thead> <tr> <th>Chemical</th> <th>Active ingredient</th> <th>2013</th> <th>2014</th> <th>2015</th> <th>2016</th> </tr> </thead> <tbody> <tr> <td>Gramoxone</td> <td>paraquat 200 (g/ltr)</td> <td>817 liters</td> <td>499 liters</td> <td>1,185 liters</td> <td>906 liters</td> </tr> </tbody> </table> <p>The use showing decline.</p> <p>Scheme smallholder:</p>	Chemical	Active ingredient	2013	2014	2015	2016	Gramoxone	paraquat 200 (g/ltr)	817 liters	499 liters	1,185 liters	906 liters	Comply
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RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	Coopeartive is following company policy to reduce the use of Paraquat.	
<p>4.6.5</p> <p>Pesticides shall only be handled, used or applied by persons who have completed the necessary training and shall always be applied in accordance with the product label. Appropriate safety and application equipment shall be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7).</p> <p>- Major compliance -</p>	<p>Bungo Tebo Estate: Company provides training on pesticide handling. Type of training “Pelatihan Pestisida Terbatas” dated 20th May 2013, attended by 13 sprayers. Sample: Mr. Arianto, Mr. Aris, Mrs. Arianti, Mrs. Yulianti etc.; certificate No.004/KP3/V/2013 – valid for 5 years. Agrochemical is only handled, used and applied by trained personnel. Based on field visit to chemical store, and interview with the storekeeper, they admit to have proper training. The chemical store equipped with MSDS, appropriate PPE (face shield, respirator, apron, gloves and rubber boot) and emergency equipment – in the case of spillage or exposure.</p> <p>Based on record review and interview with sampled employees, chemical storekeeper in Bungo Tebo Estate as well as sprayers in Bungo Tebo estate have participated in Limited pesticide training.</p> <p>Scheme smallholders: KUD members are using “Team Unit Semprot/TUS” services in performing weed control/spraying. KUDs did not store any agrochemical.</p>	<p>Comply</p>
	<p>NC Major: Lack of evidence that 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; in addition, appropriate safety and application equipment was not used in smallholder plantation. Based on field visit to smallholder plantation KUD Sumber Usaha (No.3378, 3379); KUD Sawit Makmur (864); KUD Sumay Jaya (2197) audit team found evidence of blanket spraying. Further interview with smallholder and workers onsite: training on safe use of pesticide has not been provided, no protective equipment was used during spraying work.</p> <p>Corrective Action: Smallholder cooperatives in KUD's have issued Memorandum on appeal that the application of pesticides to be carried out by spraying team (Tim Unit Semprot/TUS) of PT. Rigunas Agri Utama. The memorandum has been socialized and communicated to members of KUD, as well as information boards placed in KUD. Evidence taken:</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<ul style="list-style-type: none"> - KUD Sumber Usaha No: 10/KUD-SU/MEMO/10/16 dated November 20, 2016; - KUD Sawit Makmur No: 12/KUD-SU/MEMO/10/16 dated November 20, 2016; - KUD Sumay Jaya No: 1/KUD-SU/MEMO/10/16, dated November 20, 2016; <p>In addition, cooperative/KUD prepared posters to stop blanket spraying in all area of scheme smallholder plantation.</p> <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e.: plan to communicate the danger of blanket spraying; issuance of memorandum to stop blanket spraying. Furthermore audit team review that company conducted monitoring in line with harvesting quality inspection. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
4.6.6	<p>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).</p> <p>- Major compliance -</p>	<p>Bungo Tebo Estate: Storage of pesticides found to be in accordance with hazard identification and risk assessment and national guideline for limited pesticide use. Empty chemical containers had been used for mixing chemicals for spraying pesticides in the field.</p> <p>The management of waste material from empty pesticide container disposed through hazardous waste store. The company has temporary hazardous waste storage with license, where all hazardous waste from all estates and mills collected. Storage keeper maintains the balance of incoming and outgoing hazardous waste. Hazardous wastes were sent for licensed contractor for appropriate disposal.</p> <p>Scheme smallholders Scheme smallholder management is following Company policy to reduce the use of Paraquat.</p>	Comply
4.6.7	<p>Application of pesticides shall be by proven methods that minimise risk and impacts.</p> <p>- Minor compliance -</p>	<p>Bungo Tebo Estate: Pesticides had been applied using the Best Management Practices that minimize risk and impacts. The agrochemical storekeepers, supervisors and sprayers found to understand use of the correct pesticide type, dosage, nozzle, spray factor, spray quality and spray techniques.</p>	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		Scheme smallholders KUD members are using "Team Unit Semprot/TUS" service in performing weed control/spraying.	
4.6.8	Pesticides shall be applied aerially only where there is documented justification. Communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application. - Major compliance -	Bungo Tebo Estate and Scheme smallholders: There is no aerial application in the whole oil palm plantation's operation.	Comply
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 compliance -	Bungo Tebo Estate Company provides training on pesticide handling. Type of training "Pelatihan Pestisida Terbatas" dated 20 th May 2013, attended by 13 sprayers. Sample: Mr. Arianto, Mr. Aris, M. Alex Jahalu, Mrs. Nuriati, Mrs. Yulianti etc.; certificate No.004/KP3/V/2013 – valid for 5 years. Scheme smallholders: Pesticides is handling by the estate (Team TUS), however, the company also conducted training for the KUD members.	Comply
4.6.10	Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated (see Criterion 5.3). - Minor compliance -	Bungo Tebo Estate Company has procedure for chemical handling under "SOP Pestisida dan Pengelolaannya" AA-APM-OP-1100.11-R1 explaining pesticide classification, safety direction in pesticide use, intoxication symptoms and first aid for intoxication case. The procedure also explaining the safe and proper disposal of pesticide container. Hazardous waste storekeeper understands the procedure for proper disposal of empty agrochemical from chemical store. Visit to hazardous waste storage, empty agrochemical container has been triple rinsed and pressed and/or cut into small pieces before sending to licensed transporter. Scheme smallholders: KUD members are using "Team Unit Semprot/TUS" service in performing weed control/spraying. The disposal of empty chemical container sent for temporary hazardous waste store at PT Rigunas Agro Utama.	Comply
4.6.11	Specific annual medical surveillance for pesticide operators, and	As mentioned above, the chemical application for company-owned plantation and smallholder plantation was only implemented by company-	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
	documented action to treat related health conditions, shall be demonstrated. - Major compliance -	workers. The workers received adequate training, protective equipment and instruction. Company provided specific medical checkup for all sprayers, comprise of blood test, urinal test, rontgen and spirometric test. The medical check up carried out on six months basis. The last MCU on April 16, 2016 conducted by focus clinic laboratory Specific Medical Surveillance for sprayer, fertilizer and maintenance: Mrs. Rina and Nuryati (Sprayers), Yati and Sumiyati (Fertilizer).	
4.6.12	No work with pesticides shall be undertaken by pregnant or breast-feeding women. - Major compliance -	As mentioned above, the chemical application for company-owned plantation and smallholder plantation was only implemented by company-workers. The workers received adequate training, protective equipment and instruction. Pregnancy test for sprayer team carried out on monthly basis. The records available for the period January - July 2016, in document "Berita Acara Tes Kehamilan" dated 26 th August 2016. Sample verified Mrs. Nuriati, Mrs. Yulianti and Sumiyati	Comply
Criterion 4.7:			
An occupational health and safety plan is documented, effectively communicated and implemented. The health and safety plan shall cover the following:			
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 compliance -	Bungo Tebo Estate and Mill: The health and safety policy is cited from "Kebijakan Perusahaan" signed by top management 1 st December 2014 – written in Bahasa Indonesia. Chapter 4 mentioned "to determine measurable objective and target to prevent accident and occupational disease for all worker and other interested parties, through continuous improvement." The safety report has been sent to Labour Department office on monthly basis. Safety reports for period April – June 2016 sent to Labour Department. PPE checklist to monitor the use of PPE for each work activity. Example: Provision of masker and hand gloves to 11 fertilizer applicators on 13 June 2106. Provision of helmet to 8 harvesters from Afdeling II on 12-13 rd July 2016. Objective Target Programme 2016 is available. Internal audit for health and safety include in Internal Audit Sustainability Terintegrasi performed on 3-4 August 2016, where a number of findings require immediate action. PT. Rigunas Agri Utama provides annual medical check up for all employees, in accordance with "Permenaker No.02 tahun 1980". Record of medical check-up in 2016 is	Comply

**RSPO Public Summary Report
Revision 4 (November /2016)**

Criterion / Indicator	Assessment Findings	Compliance
	<p>available in the Summary of Results of Medical Check Up PBT (PT Rigunas Agri Utama), dated 16 April 2016, conducted by focus clinic laboratory,</p> <p>Scheme smallholders: KUD Mulus Rahayu and KUD Makarti Jaya are able to demonstrate “Kebijakan Koperasi” signed in 12 March 2016, where the document indicates the policy to prevent accident and occupational disease through use of PPE and attention on working premises. Company also provides H&S guidelines related to health and safety, first aid, basic fire fighting.</p> <p>KUD Sumber Usaha Health and safety policy has determined by KUD Sumber Usaha under Kebijakan Koperasi. Point 2 and 3 indicated KUD Sumber Usaha committed to implement and maintain integrated health and safety and environment system, in accordance to national or international standard. KUD has determined measureable objective and target to reduce environment pollution, accident and work-related illness to worker and interested parties and leads to continuous improvement. Safety plan covers all operational activity in smallholder plantation. Smallholder cooperatives have prepared risk assessment (assisted by PT. Rigunas), to cover FFB loading, FFB unloading, fertilizer application, fertilizer re-packing, chemical mixing, spraying, harvesting, worker mobilization, etc. risk control against the potential risk of each job has been indicated in risk assessment. Implementation of risk control: training on health and safety for workers, first aid training, provision of first aid kit, provision of PPE in accordance to work/hazard. Monitoring of health and safety conduct by cooperative and supervised by PT. Rigunas Agri Utama.</p>	
	<p>NC Major: Bungo Tebo POM was not able to demonstrate that the workplace, machinery, equipment, and processes under their control are safe and without undue risk to health; this was not comply with company policy and RSPO requirements on health and safety. Based on visit to Bungo Tebo POM, audit team found:</p> <ul style="list-style-type: none"> - Housekeeping practices was poor in Bungo Tebo POM: scattered scrap metal found all over palm oil mill premise, leaking steam/condensate pipes found on several location; 	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> - Absence of control and monitoring regarding unsafe condition: scattered scrap metal found all over palm oil mill premises, working equipment was not attended, welding machines found in operation – but not attended by operator, leaking steam/condensate pipes found on several location, cable straying all over the sterilizer’s control panel bridge, cable connection was not appropriate, absence of protection for moving parts in POME’s pump; - No safe walk ways present in mill premise; - Lack of monitoring on protective equipment condition; Protective equipment for engine room operator found in poor condition; <p>Corrective action: The corrective action plan covers activities such as; create mill cleanliness monitoring form; to prepare a system for repair request in work order book – in real time; to create job safety analysis for major work; to conduct dissemination to workers in order to improve work condition; re-communicating the emergency response plan; to monitor the personal protective equipment replacement and its mechanism. Bungo Tebo POM has demonstrated that the workplace, machinery, equipment, and processes under their control are safe and without undue risk to health; Bungo Tebo POM has been implementing improvements, such as:</p> <ol style="list-style-type: none"> 1. Reposition existing cable on the platform; 2. Replaced the worn out PPE for engine room operator; 3. Repair steam pipe, so the pipe stew nothing is leaking; 4. Repairs to leaking condensate pipe; 5. Improved protection sewage pump pulley; 6. Lay out for evacuation/emergency in Bungo Tebo POM, <p>Evidence taken: Document of reposition the existing cable on the platform (before – after), PPE hand over record for engine room operator, and base on visit in area Bungo Tebo POM. Monitoring on PPE condition and replacement; monitoring on mill work condition.</p> <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. mill</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>cleanliness monitoring form; to prepare a system for repair request in work order book – in real time; to create job safety analysis for major work; to conduct dissemination to workers in order to improve work condition; re-communicating the emergency response plan; to monitor the personal protective equipment replacement and its mechanism; furthermore audit team review the monitoring records as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
<p>4.7.2</p> <p>All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers.</p> <p>- Major compliance -</p>	<p>Bungo Tebo Estate and Mill: HIRADC is updated on April 2016. HIRADC has identified all activity and location within estate operation. Company provides PPE for workers. HIRADC for plantation has analyze all risk from activity at land application area, frequency determination from HCV monitoring exercise improved Based on field visit, sprayer gangs using appropriate PPE, as per risk assessment (hat, goggle, masker, apron, long sleeve, hand glove and rubber boot).</p> <p>HIRADC is updated regularly as well in the Mill, documented in “Hazard identification & Risk Assessment and Control / Analisa Resiko” for each station – latest review dated April 2016.</p> <p>Aktifitas mill: reception, Enginee room, stasiun kernel, sterelizer, tressing, A number of warning signs placed at mill to communicate the hazard condition such as hot surface, moving parts, work at height, hot work, etc. Safety talk performed for specific work requiring supervision such as welding, work at height, confined space, etc. Control over contractor has been improved. Control over contractor’s welder performing welding equipped with PPE such as face shield, hand glove and apron.</p> <p>Welder certificate namely Mr. Indra Gunawan, dated 21 April 2015 on “Juru Las kelas 2”, No. S.164/JL/PNK3/IV/2015.</p> <p>Scheme smallholders: KUD Sumber Usaha Smallholder cooperatives have prepared risk assessment (assissted by PT. Rigunas), to cover FFB loading, FFB unloading, fertilizer application, fertilizer re-packing, chemical mixing, spraying, harvesting, worker</p>	<p>Comply</p>

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>mobilization, etc. risk control against the potential risk of each job has been indicated in risk assessment. Implementation of risk control prepared with PIC and timeline of implementation: training on health and safety for workers, first aid training, provision of first aid kit, provision of personal protective equipment in accordance to work/hazard. Personal protective equipment to be used for each type of activity has been lined out under "Prosedur Kerja Agricultral Policy Manual untuk kebun plasma No.AA-PLASMA-PP-KS 01 until 04" dated 1st September 2011. Monitoring of health and safety performance conduct by cooperative and supervised by PT. Rigunas Agri Utama.</p> <p>KUD Sumay Jaya: Risk assessment prepared under "Prosedur Kesehatan dan Keselamatan Kerja", has not identified hazard such as poor road condition, steep slope, and other hazardous field condition in preparing risk assessment.</p> <p>KUD Sawit Makmur: UD Sawit Makmur: KUDs prepared a simple HIRADC document, titled "Kesehatan dan Keselamatan Kerja (K3) – Hazard Identification and Risk Assessment and Control (HIRAC)/Analisa Resiko tahun 2015/2016", covering all activity within KUD scope such as harvesting, transportation, fertilizer application and field maintenance. The type of activity covered such as: FFB transport (use of FFB pole) – means of control: use of PPE (helmet, shoes and sickle cover) and warning sign to use PPE.</p> <p>KUD Tanjung Aur Duri: Risk assessment prepared under "Prosedur Kesehatan dan Keselamatan Kerja", has not identified hazard such as poor road condition, steep slope, and other hazardous field condition in preparing risk assessment.</p>	
	<p>NC Major: Inadequate risk and hazard identification related to estate and smallholder operation; this was not comply with the requirement whereby 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. Based on review upon risk assessment: Bungo Tebo Estate has prepared the Hazard Identification Risk Assessment and Control</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>2016, related to working activity, latest review January 2016. However, risk assessment has not identified activity on pump house.</p> <p>KUD Sawit Makmur: Risk assessment prepared for smallholder operation under “Prosedur Kesehatan dan Keselamatan Kerja”, has not identified hazard such as poor road condition, steep slope, wildlife conflict (elephant, monkey, etc.), harvesting near electric poles, electric fence for elephant, and other hazardous field condition in preparing risk assessment.</p> <p>Corrective Action: PT. Rigunas Agri Utama planned to assigned “Ahli K3 Umum” to review the risk assessment on monthly basis, during P2K3 meeting. Company has shown the “Hazard Identification Risk Assessment and Control 2016”, updated on 26th September 2016. The risk and hazard identification related to estate and smallholder operation, with additional the identified activity on pump house.</p> <p>PT. Rigunas Agri Utama assisted cooperative/KUDs to prepared risk assessment to include hazard from poor road condition, steep slope, wildlife conflict, etc. KUDs have prepared risk assessment under “Prosedur Kesehatan dan Keselamatan Kerja”, up dated on 10th October 2016; related to identified hazard such as poor road condition, steep slope, wildlife conflict (elephant, monkey, etc.), harvesting near electric poles and electric fence for elephant. The risk assessment will be monitor and review whenever changes occur.</p> <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. review the risk assessment on monthly basis (for company) and once a year (for cooperative smallholder); furthermore audit team review the risk assessment and review records as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
<p>4.7.3</p>	<p>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</p>	<p>Bungo Tebo Estate and Mill:</p> <p>1. Company provides training on pesticide handling. Type of training “Pelatihan Pestisida Terbatas” dated 20th May 2013, attended by 13 sprayers. Sample: Mr. Arianto, Mr. Aris, etc.; Certificate No.004/KP3/V/2013 – valid for 5 years.</p> <p>2. PPGD dated 18th February 2016,</p>

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
<p>all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, harvesting and, if it is used, burning.</p> <p>- Major compliance -</p>	<p>attended by 38 participants.</p> <p>3. Training Basic Safety dated 23 April 2106, attended by all field personnel;</p> <p>4. Basic Fire training dated 3-4 June 2016, led by firefighting commander Mr. Heri Purwanto</p> <p>5. First Aid training namely MR Padli, A.Md Kep, conducted by "UPTD Balai Hiperkes dan Keselamatan Kerja Propinsi Sumatera Utara", dated 28 January – 1 February 2013. Number of first aider license 560/107/PK/SOSNAKERTRANS/2014 dated December 2014.</p> <p>Scheme smallholders: KUD Sawit Makmur: 1. Pelatihan Kesehatan dan Keselamatan Kerja (K3) on 23 August 2016, attended by 32 personnel. 2. Basic safety training planned on 24 October 2016 3. First aid training on 24 August 2015, attended by 30 personnel. KUD Sumay Jaya: 1. Pelatihan Pertolongan Pertama Gawat Darurat on 24 August 2016, attended by 42 personnel. 2. Pelatihan Konservasi Tanah dan Air on 18 January 2016, attended by 3. Basic safety training planned on 24 October 2016 4. First aid training on 24 August 2015, attended by 30 personnel.</p> <p>Scheme smallholder: KUD Tanjung Aur Duri Training K3 on 08/23/2016, none attended. - Serah Terima APD for 9 harvesters received helmet, goggle, sickle cover dated 03/02/2016; another 9 harvesters in 04/09/2015. - Program pembuatan teresan dan tapak kuda;</p> <p>KUD Sumber Usaha: Workers have been provided with training related to safe working practices. A number of training has been provided: "Pelatihan Kesehatan dan Keselamatan Kerja" dated 23rd August 2016, attended by 30 smallholder farmers, harvesters and KUD committee. Emergency and basic fire training dated 9th April 2015 in Bungo Tebo Estate. "Pelatihan Pertolongan Pertama dan Gawat Darurat" dated 24th August 2016 in PT. Rigunas Agri Utama, training participant 31 smallholder</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	farmers, KUD committee and staffs of PT. Riguanas Agri Utama.	
	<p>NC Major: Not all worker in Bungo Tebo Estate and Bungo Tebo POM exposed to high risk working area/hazardous operation was provided with adequate and appropriate protective equipment. Based on field visit and interview with workers, audit team found that workers was not using protective equipment on work area with high risk:</p> <ul style="list-style-type: none"> - Pump house operator in Bukit Harapan housing compound was not using hearing protection and safety shoes (worked 10 years); - Hearing protection for engine room operator in Bungo Tebo POM found to be in poor condition and therefore poor noise reduction ability; <p>Corrective Action: PT. Rigunas Agri Utama planned to assigned "Ahli K3 Umum" to review the risk assessment on monthly basis, during P2K3 meeting. Company has shown the "Hazard Identification Risk Assessment and Control 2016", updated on 26th September 2016. The risk and hazard identification related to estate and smallholder operation, with additional the identified activity on pump house. PT. Rigunas Agri Utama has provided the PPE for Pump house operator in Bukit Harapan housing and engine room operator in Bungo Tebo POM. In addition, company planned to monitor the personal protective equipment replacement and its mechanism. Evidence taken:</p> <ul style="list-style-type: none"> - Record of hand over the hearing protection and safety shoes for Pump house operator, on October 29, 2016. - Record of hand over the hearing protection (ear muff) for engine room operator, on November 1 2016. - Monitoring on PPE condition/replacement month November 2016. <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. review the risk assessment on monthly basis (for company); to provide appropriate protective equipment in line with risk assessment and work condition; to monitor the personal protective equipment replacement and its mechanism; furthermore audit team review the monitoring records as part of corrective action. Audit team concluded that the</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
<p>4.7.4</p> <p>The responsible person/persons shall be identified. There shall be records of regular meetings between the responsible person/s and workers. Concerns of all parties about health, safety and welfare shall be discussed at these meetings, and any issues raised shall be recorded.</p> <p>- Major compliance -</p>	<p>Bungo Tebo Estate and Mill:</p> <p>Safety committee structure is available for mill and estate. Safety committee for mill has been approved through “Surat Keputusan Kepala Dinas Tenaga Kerja dan Transmigrasi Kabupaten Tebo No.560/090/PK/SosnakerTrans/2014 tentang Pembentukan dan Pengesahan Panitia Pembina Keselamatan dan Kesehatan Kerja (P2K3) PT. Rigunas Agri Utama” dated 24th September 2014.</p> <p>Safety committee for estate has been approved through “Surat Keputusan Kepala Dinas Tenaga Kerja dan Transmigrasi Kabupaten Tebo No.560/106/PK/SosnakerTrans/2014 tentang Pembentukan dan Pengesahan Panitia Pembina Keselamatan dan Kesehatan Kerja (P2K3) PT Rigunas Agri Utama” dated 22nd July 2014.</p> <p>The responsible person for health and safety for PMKS Bungo Tanjung is Mr. Sofianto, appointed through Keputusan Menteri Tenaga Kerja dan Transmigrasi RI No.KEP.P.17530/DJPPK/XII/2014 on Penunjukan Ahli K3” dated 23th September 2014, valid until 3 years.</p> <p>The responsible person for health and safety for Bungo Tanjung Estate is Mr. Heri Purwanto, appointed through Keputusan Menteri Tenaga Kerja dan Transmigrasi RI No Reg 30260/PK3/AJ/15/2016/PO on Penunjukan Ahli K3” dated 9th May 2016, valid until 3 years</p> <p>The last of Safety meeting conducted on 2nd July 2016, discussing the health and safety programme, monitoring of PPE use, accident occurrence and result of internal audit.</p> <p>Health and safety report to manpower service period of April – Juni 2016, in document of Laporan Progres K3 Tahun 2016”</p> <p>Scheme smallholders: KUD Sawit Makmur: Person in charge for health and safety, as well as emergency situation is chairperson of KUD. Meeting discussing health and safety issue planned for annual bases, e.g. the latest meeting in KUD Sawit Makmur dated 12 May 2016 attended by 14 KT chiefs. There are 81</p>	<p>Comply</p>

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>listed harvester/workers in area of KUD Mulus Rahayu. Monitoring on PPE checklist period January – July 2015</p> <p>KUD Sumber Usaha There was no specific PIC for health and safety, responsible for health and safety map. The appointed officer was mandore from PT. Rigunas Agri Utama.</p>	
<p>4.7.5 Accident and emergency procedures shall exist and instructions shall be clearly understood by all workers. Accident procedures shall be available in the appropriate language of the workforce. Assigned operatives trained in First Aid should be present in both field and other operations, and first aid equipment shall be available at worksites. Records of all accidents shall be kept and periodically reviewed.</p> <p>- Minor compliance -</p>	<p>Bungo Tebo Estate and Mill: The responsible persons have been identified in safety committee, structure is available for mill and estate. Safety committee for mill has been approved through “Surat Keputusan Kepala Dinas Tenaga Kerja dan Transmigrasi Kabupaten Tebo No.560/090/PK/SosnakerTrans/2014 tentang Pembentukan dan Pengesahan Panitia Pembina Keselamatan dan Kesehatan Kerja (P2K3) PT Rigunas Agri Utama” dated 24th September 2014.</p> <p>Mill manager is responsible for implementation of safety management system in mill. The responsible person for health and safety for Bungo Tanjung Estate is Mr. Heri Purwanto, appointed through Keputusan Menteri Tenaga Kerja dan Transmigrasi RI No Reg 30260/PK3/AJ/15/2016/PO on Penunjukan Ahli K3” dated 9th May 2016, valid until 3 years</p> <p>Scheme smallholders: First aid kit equipment in Cooperative found to be adequate – holds by the trained harvesting supervisor. First aid kit also available in KUD office. Accident and emergency procedures available in “Rencana Tanggap Darurat”. Cooperative is working together with Puskesmas Puskesmas Teluk Singkawang (Medical center in village) to treat victim. Records of accident, acknowledge by report of K3 performance that there are no accidents occurred in January – August 2016.</p> <p>KUD Sumber Usaha Emergency and accident procedure has been defined by KUD in form of: fire break incident, earthquake incident, flooding incident, landslide incident, spillage incident, etc. First aid kit equipment has been prepared by field mandore and in KUD office. Training for field mandore for the use of first aid kit and emergency situation has been provided on 24th August 2016.</p>	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance
4.7.6	<p>All workers shall be provided with medical care, and covered by accident insurance.</p> <p>- Minor compliance -</p>	<p>Bungo Tebo Estate and Mill PT. Rigunas Agri Utama provided medical care for workers. If worker want to have medicine, company clinic is available inside the estate and mill area. Thus its helps workers to access the clinic. Furthermore, all mill and estate workers are covered by JAMSOSTEK/BPJS for accident insurance. Records of JAMSOSTEK/BPJS member list are available.</p> <p>Scheme smallholders: Sustainability awereness, HCV, Basic safety/K3, etc. It was seen that progress of training is monitored, consist of date of training was conducted; attendance list and training material is available.</p>	Comply
4.7.7	<p>Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics</p> <p>- Minor compliance -</p>	<p>Review of Record of "Performance Keselamatan Kebun Bungo Tebo 2014" – stating the LTA metrics from January – July 2016. In the estate, 22 days lost time and 16 days of medical aid were recorded. Record shows most of the incident involving harvester.</p> <p>The company maintained all of the records regarding the works accident included nearmiss and lost time accident (LTA) in some documents, such as:</p> <ol style="list-style-type: none"> 1. Incident Log; contains the victim data, employees grade, works, incident information (time, date, month, year, and location), part of bodies injured, incident description, actions taken, incident categories, numbers of absences and etc. 2. Nearmiss Log; contains names, areas, dates, reporter, incident description, causes, categories, preventive actions, PIC, targets and prevetive actions status. <p>Scheme smallholder: KUD Sumber Usaha LTA calculated</p>	Comply
<p>Criterion 4.8: All staff, workers, smallholders and contract workers are appropriately trained.</p>			
4.8.1	<p>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 compliance -</p>	<p>The company has its own training institution assigned to arrange its training programmms. Asian Agri Learning Institute in Buatan estate assessing all the training need for each personnel – based on job description. The training plan prepared annually.</p> <p>PT. Rigunas Agri Utama prepared a competence matrix for each worker based on job description. Competence evaluation carried out by line managers, to evaluate competence level of each worker for relevant position.</p>	Comply

RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>Competence gap identified is considered to be trained for worker. The matrix training is updated by HRD Medan and AAA Learning Institute annually. Based on minimum training requirement, AAA Learning institute, detailing training program in type of training, participants, PIC, number of participants, training schedule.</p> <p>Record seen: "Kompetensi Mekanik – Bengkel Traksi Kebun Bungo Tebo" identified the competence/skill related to hydraulic, electrical, welding, tire repair and civil work. "Klinik Kerja Mandor – Kebun Bungo Tebo untuk" Harvesting overseer, indicator reviewed including harvesting rotation, production output, FFB quality and crop projection accuracy.</p> <p>Training program in 2016 specific for estate: Sustainability awareness, HCV, Basic safety/K3, Basic fire, First aider, Penanganan limbah B3 dan bahan kimia, Safety use herbicide and chemical, operator air, evaluasi aspek dampak lingkungan, Habit & Behaviour planter & sharing moment, workshop awareness,, sharing moment planter habit, workshop agribisnis, workshop agribisnis, SOP and PMS kepala Gudang, SOP dan PMS Kerani pembukuan, Hama dan penyakit tanaman – HPT, Backhoe, operator genset, and managerial skill.</p> <p>Training program in 2016 specific for Mill: Sustainability awareness, HCV, Basic safety/K3, Basic fire, First aider, Penanganan limbah B3 dan bahan kimia, operator air, operator genset, managerial skill.</p> <p>Training programs in 2016 in "Program Pelatihan Environmental and Sustainability – 2016 Bungo Tebo group", such as:</p> <ol style="list-style-type: none"> 1. Sustainability Awareness training for RSP0, ISPO and ISSC planned on 14th April 2016; implementation on 14 April 2016, attended by 25 personnels; 2. Basic Fire planned on 19th September 2016; 3. Hazardous waste handling training planned on 13 April 2106, implementation on 13 April 2106, attended by 26 personnel; 4. Training Pertisida terbatas, planned on 19 July 2106, implementation on 19 July 2016, attended by 63 personnels, 5. Training for Bache loader operator, 	

RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>planned on 6-7 April 2106, implementation on 6-7 April 2016</p> <p>Scheme smallholder: KUD Tanjung Aur Duri Training program has been prepare and documented in planing and realization of KUD Tanjung Aur Duri 2016, covering emergency training, basic fire training, soil and water conservation, HCV training, integrated pest and disease management, health and safety for workers.</p>	
<p>4.8.2 Records of training for each employee shall be maintained. - Minor compliance -</p>	<p>Bungo Tebo Estate and Mill: Based on sample for several workers sampled, Bungo Tebo Mill and Bungo Tebo estate cannot demonstrate the complete records of training for each employee. There are only 23 employee training records available in Bungo Tebo Estate. Sample taken of Personal Data Training: 1. Mr Nagitno (Mandor Panen KBT), Pelatihan PPGD tanggal 23 Agustus 2016, Pemateri dr. Yudi Chandra 2. Mr. Janes Siregar (Mandor TUS KBT), Pelatihan HCV awareness II tanggal 30 April 2013 pemateri Ari Azhari H; Pelatihan PPGD tanggal 20 Oktober 2014 pemateri dr. Khairul Akmal, Pelatihan Herbisida Terbatas tanggal 27 November 2014 pemateri Sygenta; Pelatihan Budaya Kerja Asian Agri tanggal 16 Juni 2015 pemateri Tim HO Medan; Pelatihan Penggunaan Alat Semprot tanggal 4 April 2016 pemateri Wasinton Simanjutak 3. Arianto Yulianus (Kepala Gudang KBT), Refresh SOP Gudang dan Administrasi tanggal 16-18 Juni 2016 pemateri Tim Sistim HO Medan; Refresh SOP Gudang dan Administrasi tanggal 16-17 Mei 2016 pemateri Tim Sistim HO Medan; Pelatihan PPGD tanggal 23 Agustsu 2016 pemateri dr. Yudi Chandra</p> <p>Scheme smallholder: Record training for smallholder's member and their workers is documented in "Training Record" in each KUD. KUD Sumber Usaha Training record available in form of training material, photograph documentation, and attendance list. Training that has been implemented in 2015 and 2016: integrated pest and disease management by "Pembina Plasma" carried out on 8th April 2015 in KUD Sumber Usaha office, training attendant 20 smallholder farmers. High Conservation Value</p>	<p>Comply</p>

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>Training in PT. Rigunas's guesthouse dated 11th May 2015, attended by 26 smallholder farmers and cooperative committees. AMDAL training dated 3rd March 2016 in KUD Sumber Usaha office, attended by 26 farmers and KUD committees.</p> <p>KUD Tanjung Aur Duri Training that has been implemented in 2015 and 2016: RSPO P&C training – PPE usage training – Economic System training conducted on 4th November 2015, in KT 122 Teriti vilalge. Soil and water conservation training – Fertilizer application and Foliar Sampling training conducted on 24th August 2015. Emergency and basic fire training conducted on 9th April 2015 in Bungo Tebo Estate. Emergency Condition handling conducted on 24th August 2016 in PT. Rigunas's guesthouse.</p>	
Principle 5: Environmental responsibility and conservation of natural resources and biodiversity			
Criterion 5.1:			
Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.			
5.1.1	<p>An environmental impact assessment (EIA) shall be documented.</p> <p>- Major compliance -</p>	<p>The latest SEIA was in place in term of "ANDAL (Analisa Dampalk Lingkungan) & RKL-RPL (Rencana Pengelolaan Lingkungan – Rencana Pemantauan Lingkungan Perkebunan Kelapa Sawit Pola PIR-TRANS dan Pabrik Pengolahan Minyak Sawit PT Rigunas Agri Utama" datum 2003. The documents have been approved based on "Persetujuan Komisi AMDAL Propinsi Jambi No.273 Tahun 2003" dated 11th July 2003.</p> <p>This dcouments covers the area of 10,367.55 Ha (2,193.85 planted for nucleus estate and 8,173.70 Ha planted for scheme smallholders), with palm oil mill capacity 60 tons FFB/hour, the area of study covers Tuo Sumai village, Sungai Rambai village, Pinang Belai village (SP1), Sekuntum Jayo village (SP2), Bukit Pemuatan village (SP5) and Napal Putih village (SP6) – Sumai sub-district, Tebo Regency, Jambi Province, date of study 2003.</p> <p>All significant impacts have been identified i.e. reduction of soil and water quality, reduction of air quality, impact to socio-economic of local community, impact to occupational health and safety, work and road traffic accident, land fire, and disturbance of natural water balance. Plan to monitor and manage of each identified</p>	Comply

Criterion / Indicator	Assessment Findings	Compliance
	<p>environment impact have been provided and documented.</p> <p>Scheme smallholder: KUD Tanjung Aur Duri Environmental Impact analysis has been carried out in 2003. The analysis covers 10,367.65 Ha. The environmental impact analysis documented in documents titled "Analisa Dampak Lingkungan (ANDAL), Rencana Pengelolaan Lingkungan - Rencana Pemantauan Lingkungan (RKL-RPL) Perkebunan Kelapa Sawit Pola PIR-Trans dan Pabrik Pengolahan Kelapa Sawit di Kecamatan Tebo Tengah, Kecamatan Ulu dan Kecamatan Sumay, Kabupaten Tebo, Provinsi Jambi". The environmental for the document based on "Surat Keputusan Bupati No.525/459.1/Disbun" dated 26th November 2011.</p>	
<p>5.1.2</p>	<p>Where the identification of impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a comprehensive management plan. The management plan shall identify the responsible person/persons.</p> <p>- Minor compliance -</p> <p>Company has implemented environmental management system to manage impact from plantation and milling operations. The documents of "Rencana Kelola Lingkungan – Rencana Pemantauan Lingkungan" are available and in line with ANDAL document. Company is also demonstrating environmental management plan as part of environment management system.</p> <p>The Company has demonstrated the Report on Environmental Permit Activity in estate and palm oil mill of PT Rigunas Agri Utama period January - June 2016, reported to the Environment Office in Jambi Province on August 6, 2016, eg:</p> <ol style="list-style-type: none"> Chapter II of the document "Report on Environmental Permit" explains implementation of RKL-RPL and Evaluation of Trends, Critical Evaluation and Evaluation Compliance. Chapter III contains relevant conclusions: Correspondence between the results of implementation and the Plan, constraints and the measures necessary for the improvement of the implementation of the RKL-RPL. Appendix consists of: Results of Analysis of the WWTP, Matrix of RKL and Matrix of RPL, Data for Calculation of Erosion, Map of RKL, Map of RPL, Map of Land Application, diagrams of WWTP Performance and Result of Quality Testing of Groundwater. <p>Scheme smallholder: KUD Tanjung Aur Duri</p>	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance
		The negative and positive impact from environmental impact assessment was managed and monitored. Management and monitoring plan upon environment impact documented under RKL-RPL. The document has include all management and monitoring being planned, method, period and person in charge for the activity. Organization has conducted the environmental impact management and monitoring as per planning in RKL-RPL.	
5.1.3	<p>This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.</p> <p>- Minor compliance -</p>	<p>Company has implemented environmental management system to manage impact from plantation and milling operations. The documents of "Rencana Kelola Lingkungan – Rencana Pemantauan Lingkungan" are available and in line with ANDAL document. Company is also demonstrating environmental management plan as part of environment management system.</p> <p>The Environmental Management Plan in 2016, as follows:</p> <ol style="list-style-type: none"> 1. Significant Impacts: Reduced use of fuel in generator operations; Program: substitutes the use of generators to supply from PLN. 2. Significant Impact: Improved quality of conservation areas in replanted areas. Program: - Breeding puppies naturally - Planting of riparian zone in replanted areas. 3. Impact Important: land and forest fires due to the dry season. Program: - Establish an emergency response team - Equip the fire safety facilities - Established a post of karhutla - Established a monitoring tower - Patrol and monitoring - Socialization through billboards - System increase fire danger 4. Significant Impacts: Soil erosion due to replanting activity Program: - Make teresan in areas with a slope > 12° - Planting a legume cover crop - Make a trench subside in lowland areas - Make a stop in the area of the bunch teresan - Making the hoof to areas with a slope <12° 	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>The company has shown evidence of the implementation of the Environmental Management Program for Significant Impacts of land and forest fires due to the dry season are:</p> <ul style="list-style-type: none"> - Establish Emergency Response Organization Structure 2016 - Established a monitoring tower - Established a post of karhutla <p>As for the program from other significant impacts have a target time of realization until December 31, 2016.</p> <p>Scheme smallholder: KUD Tanjung Aur Duri The monitoring plan was integrated with PT. Rigunas Agri Utama's plan.</p>	
<p>Criterion 5.2:</p> <p>The status of rare, threatened or endangered species and other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and operations managed to best ensure that they are maintained and/or enhanced.</p>			
5.2.1	<p>Information shall be collated in a High Conservation Value (HCV) assessment that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors).</p> <p>- Major compliance -</p>	<p>Company has conducted HCV identification in coordination with Faculty of Forestry from "Institut Pertanian Bogor/IPB". The identification result then reported under "Laporan Akhir Identifikasi Keberadaan Nilai Konservasi Tinggi (NKT) di areal PT. Rigunas Agri Utama, Kabupaten Tebo". The scope of study covers nucleus estate (of PT. Rigunas's plantation) of 2,551 Ha and smallholder estate/plantation of 5,914 Ha, located in Sumay district, Rambai district and Serai Serumpun district. The HCV identification was using "Panduan Identifikasi Kawasan Bernilai konservasi Tinggi di Indonesia", published by "Konsorsium Revisi HCV Toolkit Indonesia", July 2008.</p> <p>The author of HCV report consist of:</p> <ol style="list-style-type: none"> a. Dr. Ir. H. Nyoto Santoso, MS.: Team leader, listed as RSPO HCV assessor (listed as Provisionally licensed assessor, date 23rd April 2015); b. Udi Kusdinar, S.Hut.: Social and Cultural aspects, listed as RSPO HCV assessor. c. Sulfan Ardiansyah, S.Hut.: Flora ecology and environmental services, listed as RSPO HCV assessor. d. M. Syayidina Ali, Amd.: GIS, (listed as Provisionally licensed assessor, date 23rd April 2015). e. Gilang Prastya Pambudi, S.Hut.: Social-cultural aspect, listed as RSPO HCV assessor. 	Comply

RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>The HCV identification survey was carried out on 23 – 27th April 2013. The involvement of interested parties in form of interview, discussion and/or public consultation. For example: Discussion with authorities of Serai Serumpun district, interview with Pinang Belai village, discussion with villagers of Sekutur Jaya village, interview with committee of KUD Sumai Makmur, interview with Sumay district public servants, interview with villagers of Sungai Rambai vilage, etc.</p> <p>The public consultation was carried out on 26th April 2013, located in “Balai Kecamatan Serai Serumpun”, which attended by 28 participants, representing village authorities, villagers, elderly and community figures, district head and KUD Plasma.</p> <p>Company has in cooperation with community for the management of HCv, as written in Statement “Pernyataan Bersama” signed by PT. Rigunas Agri Utama’ s management, six (6) village heads and 9 leaders of KUD. The statement was stating commitment towards: to protect wildlife inside the scheme smallholder plantation SP1 – SP7, and agreed to no–hunting policy; Community agreed to stop the use of poison and electricity to catch fish; To protect river buffer zone through: no chemical fertilizer application, using organic fertilizer, to plant river buffer zone with local species tree – and to nurture/maintain the tree; no use of open-fire in scheme smallholder plantation; to actively participate in electric fence program to drive away elephant; to communicates the policy to communities. The statement was signed on 26th April 2013 by all representatives.</p> <p>Scheme Smallholder: KUD Sawit Makmur: The smallholder plantation area of KUD Sawit Makmur has been covered in HCV identification report. Copy of the HCV report was found available in KUD office.</p>	
5.2.2	<p>Where rare, threatened or endangered (RTE) species, or HCVs, are present or are affected by plantation or mill operations, appropriate measures that are expected to maintain and/or enhance them shall be implemented through a management plan.</p>	Comply

RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
- Major compliance -	<p>communities. Based on the interview, community was stating that since early 2014, there was no more elephant attack.</p> <p>Training on RTE species (including elephant control) started since 2013 when HCV identification team from Faculty of Forestry from "Institut Pertanian Bogor/IPB" had a meeting with stakeholders on 20th March 2015, attended by 20 smallholder farmers and representatives from other company on elephant control. BKSDA then brought into providing best practices.</p>	
<p>5.2.3</p> <p>There shall be a programme to regularly educate the workforce about the status of these RTE species, and appropriate disciplinary measures shall be instigated in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species.</p> <p>- Minor compliance -</p>	<p>Company has a program to educate workforce on the status of RTE species.</p>	Comply
	<p>NC Major:</p> <p>This Major NC was escalated from Minor NC. Company was not able to demonstrate program to regularly educate workforce related to management of RTE species, furthermore company and smallholder organization does not have appropriate disciplinary measures in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species.</p> <p>In addition, in smallholder operation: Based on interview with smallholder organization and smallholder members in KUD Sumay Jaya and KUD Sawit Makmur shows no management plan for RTE species including training related to RTE management, human-RTE species conflict mitigation, lack of understanding of presence of HCV area or HCV attributes in the smallholder plantation area, absence of HCV map in smallholder organization.</p> <p>Corrective action:</p> <p>The corrective action plan is to have RTE species protection guidelines, communicated and implemented by all interested parties. PT. Rigunas Agri Utama has demonstrated the program to regularly educate workforce related to management of RTE species. The company and smallholders are provided the</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>billboards, which have provided information related to the protection of wildlife, especially Sumateran Elefant.</p> <p>PT. Rigunas Agri Utama also have disciplinary measures in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species.</p> <p>KUD Sumay Jaya and KUD Sawit Makmur have shown management plan for RTE species including training related to RTE management, human-RTE species conflict mitigation, the program invites BKSDA, as keynote speaker.</p> <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. review the communicating the guidelines for protection of RTE species; implementing the disciplinary measures for any violation; furthermore audit team review the monitoring records as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
5.2.4	<p>Where a management plan has been created there shall be ongoing monitoring:</p> <ul style="list-style-type: none"> The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported; Outcomes of monitoring shall be fed back into the management plan. <p>- Minor compliance -</p>	<p>Company has conducted monitoring of flora and fauna on 6-monthly basis, carried out by Conservation and HCV Officer. The monitoring result was reported into "Laporan Monitoring Tumbuhan dan Satwa Liar", document verified for period first semester 2016.</p> <p>Specific monitoring for elephant was done through patrol on areas whtere indicated as elephant range/path. The patrol carried out on daily basis and reported under "Laporan Monitoring Serangan Gajah". Based on report review, in 2015 and early 2016, there was no elephant attack.</p>	Comply
5.2.5	<p>Where HCV set-asides with existing rights of local communities have been identified, there shall be evidence of a negotiated agreement that optimally safeguards both the HCVs and these rights.</p> <p>- Minor compliance -</p>	<p>All HCV area has been identified was located within company and/or scheme smallholder control and monitoring. There was no HCV areas identified located under local community right.</p>	Comply
<p>Criterion 5.3: Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.</p>			
5.3.1	All waste products and sources of	<p>Bungo Tebo Mill and Estate: Waste and pollution sources have been</p>	Comply

**RSP0 Public Summary Report
Revision 4 (November /2016)**

Criterion / Indicator	Assessment Findings	Compliance
<p>pollution shall be identified and documented.</p> <p>- Major compliance -</p>	<p>identified and documented, including used lubricant and filter, old battery, used laboratory chemical, clinical/medical waste, mill effluent, EFB, smoke, dust, fiber and shell, empty agrochemical container, boiler ash, scrap iron, used tires, waste water and domestic household refuse. Record of identification was presented in "Evaluasi Aspek Dampak Lingkungan" EMS-431-003-LT revision 8 for PMKS Bungo Tebo and Bungo Tebo Estate issued 20th February 2016.</p> <p>Company has ISO 14001 EMS – Environmental Aspect Impact register, latest update on 27th January 2015. All polluting activities has been assessed including emission from boiler and generator, effluent from mill waste water, particulate from boiler stack, noise, etc. The company started at the beginning this year to re-cycle anorganic waste where the company builded the waste storage.</p> <p>Scheme smallholders: Waste Management Plan is documented in "Identifikasi Sumber polusi dan rencana pengurangan polusi di perkebunan petani". KUD was identified waste product and source pollutant, such as: applying pesticides, fertilizing, harvesting and transportation, e.g. plastic ex fertilizer bags. KUD Tanjung Aur Duri: Organization has identified the pollution source, as documented under "Identifikasi Sumber Polusi KUD Tanjung Aur Duri". The pollution source identified from activity of: Harvest: FFB transporter vehicle exhaust, dust; Fertilizer application: Fertilizer transporter vehicle exhaust, fertilizer residue; Weed control/spraying: water and soil pollution from leaching herbicide; pest and disease control: water and soil pollution from leaching pesticide; General activity: exhaust from generator;</p>	
	<p>NC Major: Smallholder organization has not identified all source of waste product. Smallholder organization has identified source of waste and source of pollution. However, smallholder organizations has not identified fertilizer bag and plastic sheet as source of waste product. Corrective action: PT. Rigunas Agri Utam aassissted cooperative/KUDs to updated the source of pollution and emision identification. The plan including identification on number of fertilizer bag and its inner plastic sheet for re-use. KUDs</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>have been identified and documented the fertilizer bag and plastic sheet as source of waste product.</p> <p>Evidence taken:</p> <ul style="list-style-type: none"> - The record of "Hasil Identifikasi Sumber Polusi di Perkebunan Petani (Pencemaran dan Emisi)" of KUD Sumay Jaya; - The record of "Hasil Identifikasi Sumber Polusi di Perkebunan Petani (Pencemaran dan Emisi)" of KUD Sumber Usaha; - The record of "Hasil Identifikasi Sumber Polusi di Perkebunan Petani (Pencemaran dan Emisi)" of KUD Tanjung Aur Duri; - The record of "Hasil Identifikasi Sumber Polusi di Perkebunan Petani (Pencemaran dan Emisi)" of KUD Sawit Makmur; <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed and accepted the evidence provided by the company, i.e. update the source of pollution and emission identification; furthermore audit team review the re-use monitoring records as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
<p>5.3.2</p> <p>All chemicals and their containers shall be disposed of responsibly.</p> <p>- Major compliance -</p>	<p>Bungo Tebo Mill and Estate:</p> <p>The company store hazardous waste in temporary storage with permit by "Keputusan Bupati Tebo No.421 tahun 2014 tentang Ijin Tempat Penyimpanan Sementara Limbah Bahan Berbahaya dan Beracun (B3) Perkebunan dan Pabrik Kelapa Sawit kepada PT. Rigunas Agri Utama di Desa Tuo Sumay", dated 26th June 2014.</p> <p>Company has a procedure to manage and disposed off hazardous waste, "No.AA-KL-06-EFP Prosedur Penanganan Limbah B3". The procedure explains the guidance to identify hazardous waste, collect hazardous waste, recording hazardous waste, safe handling of hazardous waste and disposal of hazardous waste through licensed contractors. Company has an agreement with licensed contractor, PT. Elmusonsetindo to transport the hazardous waste for final disposal/treatment.</p> <p>The hazardous waste also is recorded in storage and balancing stock is maintained.</p> <p>The disposal of chemical waste is reported.</p> <p>The company has sent a document of "Laporan Pelaksanaan Penyimpanan Limbah B3" period April - June 2016, reported to the office of Environment in Tebo regency on August 1, 2016.</p> <p>The company has sent medical waste to PT</p>	<p>Comply</p>

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>Shali Riau Lestari, as provided in the record "Berita Acara Serah Terima Limbah B3", dated September 7, 2016. Manifest LB3 No AAO 0007173 consists of: 1 drum (8 kg) of medical waste (tubes and used needles), transported with vehicle NO BM 8432 JU on September 7, 2016.</p> <p>Scheme smallholders: The KUD has "Mekanisme Pengelolaan Sampah", explains the handling of organic to be composted and inorganic waste to be segregated and collected. KUD was identified waste product and source pollutant, such as: applying pesticides, fertilizing, harvesting and transportation, e.g. plastic ex fertilizer bags.</p> <p>KUD Tanjung Aur Duri: Herbicide applicatoin was carried out by PT. Rigunas Agri Utama's sprayer team. All herbicide empty containers, and other waste was temporarily stored in licensed hazardous waste storage. Empty fertilizer bag was re-use for loose fruit container after washing.</p>	
<p>5.3.3</p> <p>A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented.</p> <p>- Minor compliance -</p>	<p>Bungo Tebo Estate and Mill: Waste and pollution sources have been identified and documented, including used lubricant and filter, old battery, used laboratory chemical, clinical/medical waste, mill effluent, EFB, smoke, dust, fiber and shell, empty agrochemical container, boiler ash, scrap iron, used tires, waste water and domestic household refuse. Record of identification was presented in "Evaluasi Aspek Dampak Lingkungan" EMS-431-003-LT, revision 8, issued date 20 February 2016. The management has a plan for domestic waste disposal. Segregation between organic and inorganic waste is practiced at housing compound. Organic waste is being composted. Inorganic waste with economic value is being sold, while the refuse is disposed into landfill. Records are maintained.</p> <p>The company has sent medical waste to PT Shali Riau Lestari, as provided in the record "Berita Acara Serah Terima Limbah B3", dated September 7, 2016. Manifest LB3 No AAO 0007173 consists of: 1 drum (8 kg) of medical waste (tubes and used needles), transported with vehicle NO BM 8432 JU on September 7, 2016.</p> <p>Based on the review of "Neraca Limbah B3" at Warehouse of hazardous waste has been set the column of maximum storage time, based on the "Catatan Serah Terima Limbah B3". Eg:</p>	<p>Comply</p>

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>on June 30, 2016 consist of used metsulindo (46 bottles), kenrane (10 bottles), polidon (6 bottles) and elang (5 gallons) has been entered in "Nera Limbah B3" with maximum storage time up to 90 days (until September 27,2016).</p> <p>The company has sent a document of "Laporan Pelaksanaan Penyimpanan Limbah B3" period April - June 2016, reported to the office of Environment in Tebo regency on August 1, 2016. The report has referred to the PP no 101 tahun 2014 on Management of Hazardous Waste</p> <p>Scheme smallholders: Cooperative has procedure of "Mekanisme Pengelolaan Sampah", explains the handling of organic to be composted and inorganic waste to be segregated and sold.</p>	
<p>Criterion 5.4: Efficiency of fossil fuel use and the use of renewable energy is optimised.</p>			
5.4.1	<p>A plan for improving efficiency of the use of fossil fuels and to optimise renewable energy shall be in place and monitored.</p> <p>- Minor compliance -</p>	<p><i>Efficiency of biofuel use:</i> Saving on diesel fuel consumption from use of solid waste (fiber and kernel nut shell) was 1,427,582 liters. Efficiency (saving/assumption of diesel fuel used on total power) at 75.04%, equal to Rp.17 billion.</p> <p>The actual use of fossil fuel (as of August) 2016 was 79,454 litres, which was exceeding 2016 budget of 66,766 litres. Based on management explanation, this was due to increase of POM's processing capacity from 30 tonnes FFB/hour in 2015, into 60 tonnes FFB/hour in 2016; the other root cause was due to lower FFB received up to August 2016. The plan was to budgeted more FFB received for 2017 (322,976 tons), compared to budget 2016 (269,165 tons), in order to build up more renewable energy stock from fibre and shell.</p>	Comply
<p>Criterion 5.5: Use of fire for preparing land or replanting is avoided, except in specific situations as identified in the ASEAN guidelines or other regional best practice.</p>			
5.5.1	<p>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</p>	<p>The company has updated zero burning policy as documented in "Kebijakan Perusahaan, 01 December 2014": "Melakukan praktek tanpa bakar dalam kegiatan pembangunan perkebunan dan secara aktif mendukung inisiatif mencegah dan mengawasi kebakaran hutan dan asap".</p>	Comply

RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
	<p>other regions.</p> <p>- Major compliance -</p>	<p>There is an SOP for land preparation and replanting, which mentioned strictly on zero burning policy.</p> <p>Company shows record of daily fire patrol, recorded in "Laporan Pemantauan Kebakaran Lahan dan Hutan" period January - June 2016, reported to "Dinas Perkebunan Kabupaten Tebo" dated 2 September 2106. Record shows there has been no fire break found in and around Division I-IV.</p> <p>Inventory of land fire extinguishers, such as: Firswater/Flapper (16 units), Pluski (2 units), Fine Rake (11 units), Mcleod Rake (4 units), shovel (4 units), Backpack pump (6 units), Chainsaw (11 units), Pompa Air Induk 45.6 KW + Tool Box (1 unit), Selang Pompa Induk 2.5 inchi panjang 100 feet (6 roll), Selang 1.5 inchi panjang 100 feet (10 roll), Nozzle 1.5 inchi task force Tips (TFT) (6 units), Cabang "Y" 2.5 - 1.5 x 1.5 inchi (4 units), Pompa Jinjing + Tool Box (2 units), Tanki Air Portable Kapasitas 800 Liter (2 units), Mobil Pengangkut Fire Tool (3 units), handy talky (4 units), wear pack (15 units), Haed Lamp (15 units), goggles (10 units) and a team of firemen.</p> <p>Scheme smallholders: KUD Tanjung Aur Duri: The land clearing activity and replanting was done in mechanical method. This was in line with company replanting guidelines, as documeted in "Draft replanting". PT. Rigunas as cooperative/smallholder ... has a policy for zero-burning policy, as implemented in scheme smallholder plantation. Cooperative was not fully equipped with fire-fighting equipment. Cooperative and farmers was conducting fire-patrol and monitoring on dry season – independently.</p>	
5.5.2	<p>Where fire has been used for preparing land for replanting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.</p> <p>- Minor compliance -</p>	<p>No open burning was noted for land preparation.</p> <p>Scheme smallholder: KUD Tanjung Aur Duri: The oil palm plantation of KUD Tanjung Aur Duri was planted between 1995 – 1996. Up to audit of first annual surveillance assessment (ASA1), no land clearing performed since first planting.</p>	Comply
<p>Criterion 5.6: Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.</p>			

Criterion / Indicator	Assessment Findings	Compliance
<p>5.6.1</p> <p>An assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent (see Criterion 4.4).</p> <p>- Major compliance -</p>	<p>All polluting activities has been assessed including emission from boiler and generator, effluent from mill waste water, particulate from boiler stack, noise, etc.</p> <p>The company has conducted assessment of polluting activities as documented in "Mitigasi GRK".</p> <p>Scheme smallholders: KUD Sawit Makmur: Cooperative and smallholder farmer has conducted GHG assessment in October 2015, as reported in "Rencana Pengurangan Pencemaran dan Emisi" consist of:</p> <ul style="list-style-type: none"> - Harvesting activity: emission from FFB transporter exhaust, impact in form of environment pollution and respiratory problem. The mitigation plan in form of optimizing FFB transport route and regulating the harvesting market on the field, to improve efficiency; - Fertilizer activity: emission from fertilizer application, impact in form of water pollution. The mitigation plan in form of fertilizer planning and correct (dosage, timing, type) fertilizer application; - Smallholder plot upkeep: sourced from manual weeding (using grass cutting machine) and use of herbicide application, the impact identified was smoke from grass cutting machine, gasoline spillage, water and pollution, as well as herbicide pollution to soil and water. The planing was to provide training for operators, correct (type, dosage, targeted weed) application of herbicide and calibration of knapsack. 	<p>Comply</p>
<p>5.6.2</p> <p>Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimise them implemented.</p> <p>- Major compliance</p>	<p>PT. Rigunas Agri Utama – Bungo Tebo POM has a "Standard Operating Procedure Manajemen & Metode Menghitung Emisi Gas Rumah Kaca (GHG) AA-MPM-OP-1400.19.R1", dated 03/01/2014. The procedure explains the management and monitoring plan.</p> <p>The management plan through avoiding planting on high carbon stock area, increase the carbon sequestration, reducing use of fossil fuel, implementing zero-burning policy in all company operation, using technology to minimize GHG emission (e.g. methane capture). Currently company implemented avoidance planting on high carbon stock area: planting oil palm on mineral soil (land suitability report), planting oil palm started since 1994/1995;</p> <p>increase the carbon sequestration: based on PalmGHG monitoring 2015, the own crop sequestration indicating -10144.05 tCO₂e or -</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>3.98 tCO₂e/Ha; reducing use of fossil fuel: the palm oil mill saved 969,630 litre fuel in 2014, saved 886,111 litre fuel in 2015 and 460,778 litre fuel as of August 2016; implementing zero burning policy: replanting with mechanical method, no burning evident; introducing technology to minimize GHG emission: plan to install methane capture/biogas plant – as explained in the proposal for addendum in environmental impact assessment document No.660.1/09/LH-PKL/2015 dated 01/04/2016 (currently under review by Kantor Lingkungan Hidup Kabupaten Tebo). Monitoring of GHG emission planned for annual basis, which will act as basis for decision making.</p> <p>Scheme smallholders: KUD Sawit Makmur: Cooperative and smallholder farmer has conducted GHG assessment in October 2015, as reported in “Rencana Pengurangan Pencemaran dan Emisi” consist of:</p> <ul style="list-style-type: none"> - Harvesting activity: emission from FFB transporter exhaust, impact in form of environment pollution and respiratory problem. The mitigation plan in form of optimizing FFB transport route and regulating the harvesting market on the field, to improve efficiency; - Fertilizer activity: emission from fertilizer application, impact in form of water pollution. The mitigation plan in form of fertilizer planning and correct (dosage, timing, type) fertilizer application; - Smallholder plot upkeep: sourced from manual weeding (using grass cutting machine) and use of herbicide application, the impact identified was smoke from grass cutting machine, gasoline spillage, water and pollution, as well as herbicide pollution to soil and water. The planing was to provide training for operators, correct (type, dosage, targeted weed) application of herbicide and calibration of knapsack. 	
<p>5.6.3</p> <p>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 compliance -</p>	<p>PT. Rigunas Agri Utama – Bungo Tebo has monitored the green house gas emission through RSPO PalmGHG ver.2.1.1. The palmGHG tool period 2015 has been prepared and monitored.</p> <p>Scheme smallholders: KUD Sawit Makmur: There has been no evidence that KUD Sawit</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>Makmur has conducted monitoring on GHG mitigation, as documented in "Dokumen Identifikasi Sumber Polusi di Perkebunan Petani (Pencemaran dan Polusi)".</p> <p>Observation: PT. Rigunas Agri Utama – Bungo Tebo has monitored the green house gas emission through RSPO PalmGHG tool. The palmGHG period 2015 has been prepared and monitored.</p> <p>Care should be taken by company to start reporting the green house gas monitoring to relevant RSPO working group.</p>	
Principle 6: Responsible consideration of employees and of individuals and communities affected by growers and millers			
Criterion 6.1: Aspects of plantation and mill management that have social impacts, including replanting, are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.			
6.1.1	A social impact assessment (SIA) including records of meetings shall be documented. - Major compliance -	<p>Social Impact Assessment is in place in form of "ANDAL (Analisa Dampalk Lingkungan) & RKL-RPL (Rencana Pengelolaan Lingkungan – Rencana Pemantauan Lingkungan Perkebunan Kelapa Sawit Pola PIR-TRANS dan Pabrik Pengolahan Minyak Sawit PT Rigunas Agri Utama" datum 2003. The documents have been approved based on "Persetujuan Komisi AMDAL Propinsi Jambi No.273 Tahun 2003" dated 11th July 2003. This documents covers the plantation area of 10,367.55 Ha (2,193.85 planted for nucleus estate and 8,173.70 Ha planted for scheme smallholders), with palm oil mill capacity 60 tons FFB/hour, the area of study covers Tuo Sumai village, Sungai Rambai village, Pinang Belai village (SP1), Sekuntum Jayo village (SP2), Bukit Pemuatan village (SP5) and Napal Putih village (SP6) – Sumai sub-district, Tebo Regency, Jambi Province, dated back 2003. Records of consultation incorporated in the document. PT Rigunas Agri Utama able to demonstrate a series of meeting with stakeholders: 2nd February 2015 meeting with Lembaga Adat Tuo Sumay discussing local wisdom.</p> <p>Company was in cooperation with researcher team, "Tim Peneliti Fakultas Pertanian Universitas Jambi" in 2011 to conduct social impact assessment. The result of assessment was reported under "Laporan Hasil Penelitian Identifikasi dan Evaluasi Aspek Sosial dan</p>	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>Ekonomi Masyarakat sekitar Perkebunan PT RAU, Kabupaten Tebo". The researcher consist of: Prof. Dr. Ir. Zulkifli Alamsyah, MSC; Ir. Gindo Tampubolon, MS; Zakky Fathoni, S.P MSC; Fuad Muchlis, SP.M.Si; Idris Sardi, SP.M.Si. The research object covers company's employee and surrounding village community, whose affected by social impact – from company operation activity. Identification criterion: social structure, provision of social facility, local community empowerment, organization reinforcement, environment management system, health and safety management system, health status, welfare status – of community. Variable being used: community characteristic, community and organization structure, social resources, individual and family changes, welfare indicator, economic facility, and community participation.</p> <p>Community involvement during the assessment, in form of observatoin, interview and fcus group discussion. Sample being used 471 households out of 7,815 households in three districts: Serai Serumpun, Sumay and Tebo Tengah district and thirteen (13) villages surrounding PT. Rigunas Agri Utama. Data analysis was using H-Assessment Diagram. Result of assessment:</p> <p>Focus program. Local communities: economic development directed to support basic economic reinforcement as assurance to need fulfillment and development of alternative economic; organization reinforcement directed to initiate positive social changes; conflict management direted to minimize conflict potential. Transmigrant communities: economic development directed to support alternative economic activity or labor-intensive business unit; organization reinforcement directed to support existing economic activity, through capital increment for new function, business unit and network; scheme smalholder plantation will enter replanting phase as economic basic for transmigrant community.</p> <p>Social program: Education program: Assistance in provision of education facility, incentive aid for teachers, scholarship aid for school children, library for villages, etc. ; Economic program: Provision of oil palm and rubber seedling, provision of training in rubber nursery for community, to facilitate saving in preparation fo oil palm replanting, construction of drainage and bridge, provision of training</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>outside plantation and agriculture, development of animal husbandry, development of KUD/cooperative committee skill and competence;</p> <p>Social-cultural program: reinforcement of local organization, reinforcement of local organization skill and competence, to facilitate participatory village mapping, development of social and economic groups in village, reinforcement of village authorities in prepare village regulation; donation and aid for youth movement and religion activity.</p> <p>Physical development program: repair road, provision of clean water, counseling on environment sanitation, provision of village office building, provision and repair of village market, provision of public toilet.</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Tanjung Aur Duri: Social impact assessment has been done in December 2011 by PT. Rigunas Agri Utama and "Tim Peneliti Fakultas Pertanian Universitas Jambi". The record of consultation, meeting and interview with local communities has been integrated with identification report.</p>	
6.1.2	<p>There shall be evidence that the assessment has been done with the participation of affected parties.</p> <p>- Major compliance -</p>	<p>Based on document verification and interview result with surrounding community, it was known that social impact identification conducted by PT. Rigunas Agri Utama has taking into participation all interested parties, including local communities. In preparation of "Identifikasi dan Evaluasi Aspek Sosial dan Ekonomi Masyarakat 2011" community was involved during observation, interview and focus group discussion. Sample being used 471 households out of 7,815 households in three districts: Serai Serumpun, Sumay and Tebo Tengah district and thirteen (13) villages surrounding PT. Rigunas Agri Utama.</p> <p>During the preparation of AMDAL document in 2001, company has all interested parties to be involve, through filling in questionnaire, focus group discussion and interview. Presentation of AMDAL draft was attended by all interested parties, village authorities, district authorities, local communities, etc. The result of AMDAL draft presentation was incorporated as input for revision.</p>	Comply
6.1.3	<p>Plans for avoidance or mitigation of negative impacts and promotion of the positive ones, and monitoring of impacts identified, shall be developed</p>	<p>Based on document verification upon "Laporan Pelaksanaan Izin Lingkungan Semester I Tahun 2016 dan Semester II tahun 2015" and interview notes from Tuo Sumay village head shows social management of PT. Rigunas has</p>	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
	<p>in consultation with the affected parties, documented and timetabled, including responsibilities for implementation.</p> <p>- Major compliance -</p>	<p>involving surrounding communities. Company has been communicating with surrounding villages before starting Corporate Social Responsibility activity.</p>	
6.1.4	<p>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.</p> <p>- Minor compliance -</p>	<p>Based on document verification upon "Laporan Pelaksanaan Izin Lingkungan Semester I Tahun 2016 dan Semester II tahun 2015" company has presents a discussion on social impact management.</p>	Comply
		<p>NC Major: This Major NC was escalated from Minor NC. There is inadequate evidence that company has prepared a plan for social impact and be reviewed as minimum once every two years and updated as necessary. Based on document review upon "Pelaksanaan Izin Lingkungan Semester II tahun 2015 dan Semester I tahun 2016", demonstrating company presented review related to social management; however company cannot demonstrated social management plan has been reviewed minimum 2 yearly and continuously update when necessary.</p> <p>Corrective action: PT. Rigunas Agri Utama prepares plan to review "Rencana Kelola Sosial" on annual basis, led by public relation officer. Company has demonstrated the social management plan has been in the document of "Evaluasi dan Tinjauan Rencana Kelola Sosial Tahun 2015" and "Evaluasi Rencana Kelola Tahun 2016". The Social Management Plan is reviewed by an annual basis.</p> <p>Audit team has reviewed and accepted the evidence provided by the company, i.e. prepare an annual social impact assessment review; The annual review led by public relation officer; furthermore audit team review the review records as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
6.1.5	<p>Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme).</p>	<p>As explained in indicator 6.1.1, the scope social impact assessment covers the impact of scheme smallholder development – as an integral part of PT. Rigunas Agri Utama.</p>	Comply

Criterion / Indicator		Assessment Findings	Compliance
	- Minor compliance -		
Criterion 6.2: There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.			
6.2.1	Consultation and communication procedures shall be documented. - Major compliance -	Company has developed a communication procedure Under Mekanisme Penanganan Permintaan Informasi Stakeholder “(No. SOP; AA-GL-5008.1-R1) dated 22 nd August 2011, which explains the company responses against all information request sent by stakeholders including response time of 14 working days after information request accepted. Mekanisme komunikasi, konsultasi masyarakat lokal (SOP No. AA-GL-5009.1.RO). Mekanisme Konflik lahan (SOP AA-GL- 5003.R.2). SOP related to communication and consultation is described in the SOP AA-GL-5009.1-RO - Mechanism local communication/public consultation for interested parties. Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya Communication mechanism has been established and documented inside “Mekanisme Komunikasi, Konsultasi dan Keluhan”. Stakeholder and/or smallholder farmer can write down in guest list and recorded in record book. Answer can be given by cooperative chairman or upon discussion for concensus. The decision was informed both verbal and in written to stakeholder and/or smallholder farmer. Administration officer from cooperative records down any decision being informed to stakeholder and/or smallholder member.	Comply
6.2.2	A management official responsible for these issues shall be nominated. - Minor compliance -	The company has appointed officers responsible to carried out communication and consultation with local communities is Public Relations/Humas Department. Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: Both cooperative has appointed officer to responsible for consultation and communicatoin with outside parties. The appointment based on “SK Pengurus KUD Sawit Makmur Desa Sekutur Jaya, Kecamatan Serai Serumpun, Kabupaten Tebo No.031/KUD-SM/SA/VII/2016”, whereby KUD Sawit Makmur appointed Mr. Ishak as public relation officer. For KUD Sumay Jaya, as per “Surat Keputusan Pengurus KUD Sumay Jaya Desa Tuo Sumay, Kecamatan Sumay,	Comply

Criterion / Indicator		Assessment Findings	Compliance
		Kabupaten Tebo No.023/KUD-BP/SA/VII/2016" as KUD Sumay Jaya appointed Mr. Marjohan as public relation officer.	
6.2.3	<p>A list of stakeholders, records of all communication, including confirmation of receipt and that efforts are made to ensure understanding by affected parties, and records of actions taken in response to input from stakeholders, shall be maintained.</p> <p>- Minor compliance -</p>	<p>List stakeholder available and updated as in "Daftar stakeholder lokal, kecamatan, Kabupaten, Provinsi dan Nasional". The list consist stakeholder information including address, contact person, email address, phone number, direct interest, benefit and level of influence to sustainable oil palm development. List stakeholder update on 6 monthly basis. Latest update August 2016.</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: Stakeholder list of KUD Sawit Makmur and KUD Sumay Jaya has been prepared in "Daftar Nama Stakeholder KUD Tahun 2016". The list was updated on annual basis. Communication record with stakeholders was recorded in "Logbook Permintaan/Tanggapan permintaan informasi".</p>	Comply
<p>Criterion 6.3:</p> <p>There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all effected parties.</p>			
6.3.1	<p>The system, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistleblowers, where requested.</p> <p>- Major compliance -</p>	<p>Company has prepared a mechanism to handle complaint from external party, in form of "Prosedur Penanganan Keluhan, Dokumen No. SOP AA-GL-5005-R0 01". Complaint from internal stakeholder was regulated as per "Mekanisme Penyampaian Keluhan dan Penyelesaian Keluhan Karyawan, Dokumen No.SOP.AA-HR-308 0.5-R0".</p> <p>Company has also prepared a procedure to uphold policy on secrecy of whistle blower under "Mekanisme Jaminan Pelapor dan Pengungkapan Kasus" dated 12th June 2015. In the mechanism, policy to maintain anonymity of reporter or whistleblower (if requested).</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: It has been established under "Mekanisme Komunikasi, Konsultasi dan Keluhan".</p>	Comply
6.3.2	<p>Documentation of both the process by which a dispute was resolved and the outcome shall be available.</p> <p>- Major compliance -</p>	<p>PT. Rigunas Agri Utama has appointed public relation officer to reform the complaint and respond administrative system. Public relation officer is responsible to record any complaint, provide respond for complaint and record the resolution process; should any complaint come</p>	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>from external stakeholder. Each assistant is responsible to record and follow up complaint from internal stakeholder. PT. Rigunas Agri Utama is able to demonstrate complaint/dispute register under "Logbook Keluhan Stakeholder". From the record, there is no complaint received since January – September 2016. PT. Rigunas Agri Utama is able to demonstrate internal complaint/dispute register "Logbook Keluhan Internal". Record shows from January – September 2016, 7 internal inquiries occurred from office employee, all of them related to request to repair employee housing facility. Further review found all request have been responded and actioned up.</p> <p>Scheme smallholder: KUD Sawit Makmur and KUD Sumay Jaya: No complaint from smallholder farmer and stakeholder to KUD Sawit Makmur and/or to KUD Sumay Jaya.</p>	
<p>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.</p>			
6.4.1	<p>A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be in place.</p> <p>- Major compliance -</p>	<p>Nucleus plantation area of PT. Rigunas Agri Utama was fall into government program PIR-Trans as per "Surat Keputusan Menteri Transmigrasi dan Pemukiman Perambah Hutan No.KEP/165/MEN/1994 tentang Izin Pelaksanaan Transmigrasi (sementara) Pola PIR Trans dengan Komoditas Kelapa Sawit kepada PT. Rigunas Agri Utama II di Lokasi Peranap, Kecamatan Tebo Ulu dan Tebo Tengah, Kabupaten Bungo Tebo" dated 13th Desember 1994. The land for oil palm plantation project itself has been released from forest area status as per "Surat Keputusan Menteri Kehutanan No.771/Kpts-II/1993 tentang Pelepasan Sebagian Kelompok Hutan Sungai Langisip, Sungai Kilis, Sungai Batanghari terletak di Kabupaten Bungo Tebo, Provinsi Jambi seluas 22.710 Ha" dated 18th November 1993.</p> <p>Now, PT. Rigunas AgriUtama has obtained legal land ownership in form of "Hak Guna Usaha/HGU" as explained in indicator 2.2.1.</p> <p>Based on stakeholder consultation with "Kantor Pertanahan Kabupaten Tebo", "Dinas Perkebunan Kabupaten Tebo" and surrounding</p>	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>local community including smallholders, it was known that there has been no complaint related to land conflict between PT. Rigunas Agri Utama and other party including local communities. It was also come into notice that a part of the land was occupied by local communities.</p> <p>However, company has prepared procedure for land conflict settlement in form of "Standard Operating Procedure (SOP) No.AA-GL-5003.1-R2 tentang Penanganan Konflik Lahan rev.2" dated 8th May 2015. Inside the mechanism, SOP has describe the flow process and mechanism to handle land conflict, and adjusting to the FPIC Guide for RSPO Member 2015: information conveyance, negotiation, participatory mapping and participatory boundary marking, including involvement of other party and bordering land.</p> <p>Scheme smallholder: The smallholder area as part of PT. Rigunas Agri Utama was included in government program PIR-Trans as per "Surat Keputusan Menteri Transmigrasi dan Pemukiman Perambah Hutan No.KEP/165/MEN/1994 tentang Izin Pelaksanaan Transmigrasi (sementara) Pola PIR Trans dengan Komoditas Kelapa Sawit kepada PT. Rigunas Agri Utama II di Lokasi Peranap, Kecamatan Tebo Ulu dan Tebo Tengah, Kabupaten Bungo Tebo" dated 13th Desember 1994. The land for oil palm plantation project itself has been released from forest area status as per "Surat Keputusan Menteri Kehutanan No.771/Kpts-II/1993 tentang Pelepasan Sebagian Kelompok Hutan Sungai Langisip, Sungai Kilis, Sungai Batanghari terletak di Kabupaten Bungo Tebo, Provinsi Jambi seluas 22.710 Ha" dated 18th November 1993. Based on this background, all smallholder farmer of PT. Rigunas Agri utama has a right for land ownership, as granted from government through PIR-Trans program. Therefore there was no land compensation process to traditional land-owners because the land was stateland, free from individual ownership. Currently, not all smallholder member has a proof of land ownership from "Badan Pertanahan Nasional/BPN", in form of "Sertifikat Hak Milik/SHM".</p> <p>Detail of process on land ownership has been explained in indicator 2.2.1 and 2.2.3.</p>	
6.4.2	A procedure for calculating and distributing fair compensation	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
<p>(monetary or otherwise) shall be established and implemented, monitored and evaluated in a participatory way, and corrective actions taken as a result of this evaluation. This procedure shall take into account: gender differences in the power to claim rights, ownership and access to land; differences of transmigrants and long-established communities; and differences in ethnic groups' proof of legal versus communal ownership of land.</p> <p>- Minor compliance -</p>	<p>R2 tentang Penanganan Konflik Lahan rev.2" dated 8th May 2015. Inside the mechanism, SOP has describe the flow process and mechanism to handle land conflict, and adjusting to the FPIC Guide for RSPO Member 2015: information conveyance, negotiation, participatory mapping and participatory boundary marking, including involvement of other party and bordering land.</p> <p>Scheme smallholder: Based on interview with cooperative committee and sampled smallholder farmer and relevant authorities (Dinas Perkebunan Kabupaten Tebo), it was come into notice that there has been no land complaint between scheme smallholder and/or scheme smallholder with other party. Cooperative has a procedure to handle land conflict, in form of "Mekanisme Penanganan Konflik Areal Plasma" dated 1st August 2014. Whereby the mechanism explains flowchart of land conflict resolution; with involvement of village authority and PT. Rigunas Agri Utama.</p>	
<p>6.4.3</p> <p>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 compliance -</p>	<p>Based on interview with relevant authorities and documet review, company does not have planning to expand the plantation. Therefore no more land compensation process.</p> <p>Based on field visit, PT. Rigunas Agri Utama has a boundary moat to border the neighboring entity.</p> <p>Based on stakeholder consultation with "Kantor Pertanahan Kabupaten Tebo", "Dinas Perkebunan Kabupaten Tebo" and surrounding local community including smallholders, it was known that there has been no complaint related to land conflict between PT. Rigunas Agri Utama and land belong to other party including local communities. It was also come into notice that a part of the land was occupied by local communities however each parties agreed to avoid dispute.</p> <p>The background was because PT. RigunasAgriUtama gets the land from government program under PIR-Trans whereby government provides state land without land compensation.</p> <p>Scheme smallholder: Based on interview with cooperative committee and sampled smallholder farmer and relevant authorities (Dinas Perkebunan Kabupaten Tebo), it was come into notice that there has been no land complaint between scheme smallholder and/or scheme smallholder with other party. Cooperative has</p>	<p>Comply</p>

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		a procedure to handle land conflict, in form of “Mekanisme Penanganan Konflik Areal Plasma” dated 1 st August 2014. Whereby the mechanism explains flowchart of land conflict resolution; with involvement of village authority and PT. Rigunas Agri Utama.	
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.			
6.5.1	Documentation of pay and conditions shall be available. - Major compliance -	<p>Company established the minimum wage for worker based on governor decree, which updated on yearly base. The 2016 wage was based on “Surat Keputusan Gubernur Jambi No.460/Kep. Gub/Disosnakertrans/2015 tentang penetapan Upah Minimum Provinsi Jambi Tahun 2016”. The minimum wage, as per the decree was Rp. 1,906,650 per month for 7 hours per day and 40 hours per week. With piece rate of Rp. 76,266 per working day for daily workers. Based on review of payments slip in September 2016, there is no worker paid below minimum wages.</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya Workers in KUD was paid as per work contract. KUD Sawit Makmur worker paid at Rp. 1,850,000 and at KUD Sumay Jaya worker paid at Rp. 1,900,000 with 5 hours of work per day and 25 hours work per week. For piece rate workers, the wage based on agreed piece rate by both parties. Harvesting rate Rp. 120 – 150/kg FFB, depends on harvesting plot condition. Document of salary payment available under “Rekap Gaji Petugas Panen KUD Sawit Makmur” and “Rekap Gaji Petugas Panen KUD Sumay Jaya”. Salary data for July- August 2016 shows the average salary received by workers Rp. 3,000,000 – 6,000,000 per month.</p>	Comply
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.	Worker Agreement between company and labour union is referred into collective working agreement (PKB 2015 – 2017), between BKS-PPS (collective community of oil palm company) and PP.FSP.PPSPSI (collective workere union organization) in Sumatra island. Collective Work Agreement (PKB) was registered as per “Surat Direktur Persyaratan Kerja, Kesejahteraan dan Analisa Diskriminasi Dirjen Pembinaan Hubungan Industrial dan Jaminan Sosial Tenaga Kerja - Kementerian Tenaga Kerja RI No.KEP.88/PHIJSK-PKKAD/PKB/VI/2015 tentang Pendaftaran PKB	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
<p>- Major compliance -</p>	<p>antara BKS-PPS dengan PP.FSP.PP-SPSI" dated 18th June 2015. Based on document review, it was noted that term and condition, such as working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc, are covered in PKB and contracts which have been signed by all workers. Collective working agreement made in the 'Bahasa Indonesia' and understood by all workers.</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya Work agreement between cooperative and staff available in "Perjanjian dan Pengangkatan Karyawan Tetap KUD Sawit Makmur" and "Perjanjian dan Pengangkatan Karyawan Tetap KUD Sumay Jaya". Inside the work contract, covers: employment status and task, salary, employee obligation, sanction, work termination, dispute settlement, and additional regulation. Contract was made available in Bahasa Indonesia and understood by both parties.</p>	
<p>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.</p> <p>- Minor compliance –</p>	<p>Company has provided facility for employee such as: D2 type employee housing (38 units); E40 type employee housing (216 units); E1 employee housing of 85 units; mill worker housing of 84 units; child care 4 units; masjid 4 units; church 1 unit; employee hall 1 unit; school buses, sport facilities. Housing for worker was adequate. Housing compound was completed with electricity and clean water (from bore well). During visit, the condition of housing was relatively good.</p> <p>Observation: However, in one of housing sampled, the water closet was overflowing. Company has yet to respond.</p> <p>Scheme smallholders: KUD Sawit Makmur dan Sumay Jaya Workers that worked in scheme smallholder plantation area was lived in Sekutur Jaya and Tuo Sumay village. Clean water need has been fulfilled through water well and buying gallon water.</p>	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance
6.5.4	<p>Growers and millers shall make demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food.</p> <p>- Minor compliance -</p>	<p>Company gave access to outside merchant to sell primary need and/or basic need. Another night fair usually available in Dusun Tanjung Dani between Kebun Bukit Harapan and Sungai Ranau, not far from housing location. Basic needs also available in Pasar Teluk Singkawang, Kecamatan Sumay (less than 7 km).</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: Scheme smallholder lives in the villages surrounding the plantation. The basic need can be easily accessed, since these worker lives outside the plantation.</p>	Comply
<p>Criterion 6.6:</p> <p>The employer respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.</p>			
6.6.1	<p>A published statement in local languages recognising freedom of association shall be available.</p> <p>- Major compliance -</p>	<p>Freedom of association policy documented in "Kebijakan perusahaan, dated 1st December 2014" which state that: "respect all employee to form and be part of trade union of their choice and to bargain collectively." Freedom of association policy is written in Bahasa Indonesia, so that all employees can understand. This policy has been informed to all employees and being placed into notice board in public area.</p> <p>Worker union of PT. Rigunas Agri Utama has been established and acknowledged by "Dewan Pimpinan Cabang Konfederasi Serikat Pekerja Seluruh indonesia" as per "Surat Keputusan No.002/SK/PUK/V/2013 tentang Pengesahan Komposisi dan Personalialia Pimpinan Unit Kerja (PUK) KSPSI PT. Rigunas Agri Utama, Desa Tou Sumay, Kecamatan Sumay, Kabupaten Tebo masa bakti 2013 – 2018" dated 10th May 2013.</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: Policy related to freedom of association avallabe in "Kebijakan koperasi". Within point 6, stated "KUD menghormati hak setiap karyawan untuk membentuk atau menjadi anggota serikat pekerja sesuai dengan keinginannya dan untuk melakukan tawar menawar secara kolektif".</p>	Comply
6.6.2	<p>Minutes of meetings with main trade unions or workers representatives shall be documented.</p>	<p>Minutes of meetings with main labour unions or workers representatives been documented, e.g:</p> <p>- "Notulen rapat pengurus PUK SPSI PT RAU</p>	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
	- Minor compliance -	<p>Tebo dan Management tanggal 2 Agustus 2016 tentang pembahasan kegiatan perayaan HUT kemerdekaan RI ke 71 di PT. Rigunas Agri Utama"</p> <p>- "Notulen rapat pengurus PUK SPSI PT. RAU Tebo dan Management tanggal 5 Februari 2016 tentang pembentukan panitia manisan karyawan tahun 2015 sebagai bentuk rasa syukur atas pencapaian perusahaan tahun 2015".</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: No worker union. Most of the workers are field worker, which as temporary worker.</p>	
<p>Criterion 6.7: Children are not employed or exploited.</p>			
6.7.1	<p>There shall be documentary evidence that minimum age requirements are met.</p> <p>- Major compliance -</p>	<p>The company has own policed signed by management on 1st December 2014 that stated that: It is not allowed all children to work in every activities/processes in company. Company also has a procedure AA-HR-305-2-00 – Recruitment and Selection which stated that every candidate must have identity card "(KTP), Kartu Keluarga, Surat Nikah (if married)".</p> <p>Based on document review as listed in "Daftar Tenaga Kerja PT Rigunas Agri Utama Kebun Bungo tebo" update on September 2016, there are no underage workers in List of workers did not show any worker under 18 years old when they joined the company.</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: Cooperative has clearly stated the policy to prohibit underage worker as written in "Kebijakan Koperasi".</p>	Comply
		<p>NC Major: The use of worker under minimum age was found to be working in smallholder organization KUD Sawit Makmur; this was not consistent with policy on minimum age requirements. Based on field visit to smallholder organization KUD Sawit Makmur, KT 102, audit team found and interviewed worker aged 14 years old performing loose fruit collection work on the field.</p> <p>Corrective action: KUD Sawit Makmur has shown the statement letter that there would be no use of worker under minimum age (under 18 years old). The letter was signed by Mr. SL (harvester) on 20th October 2016.</p>	

RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>Furthermore, monitoring on child/underage worker in smallholder plantation was carried out with coordination with cooperative/KUD chairman regularly.</p> <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed evidence such as statement letter; furthermore audit team review the monitoring of under age worker by KUD chairman as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
<p>Criterion 6.8: Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.</p>			
6.8.1	<p>A publicly available equal opportunities policy including identification of relevant/affected groups in the local environment shall be documented.</p> <p>- Major compliance -</p>	<p>The company has Equal Opportunities policy as documented in Company Policy “Kebijakan Perusahaan”, dated 1st December 2014 stated: “To treat equal for all employee in term of recruitment, work performance, and representative without discrimination on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age”.</p> <p>The policy has been communicated to workers and relevant stakeholders in April – July 2016. Recruitment data and list of worker notifies that workers are from different race, religion, sexual orientation, etc. are treated equally.</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: Cooperative has clearly stated the policy to provide equal opportunity policy to all worker as written in “Kebijakan Koperasi”.</p>	Comply
		<p>NC Major: Smallholder organization has not established a publicly available equal opportunities policy including identification of relevant/affected groups in the local environment.</p> <p>Corrective action: Company planned to assisted cooperative/KUDs to have and understand policy on equal opportunity policy and anti-discrimination of worker policy. KUD’s then issued “Kebijakan Koperasi” related to equal opportunity policy and anti-discrimination of workers.</p> <p>Evidence taken: The cooperative policy of KUD Tanjung Aur Duri, KUD Sawit Makmur, KUD Sumay Jaya and KUD Sumber Usaha, in point 7,</p>	

Criterion / Indicator		Assessment Findings	Compliance
		<p>mentioned: "Cooperative will treat all employees fairly and respecting human rights, as well as representation regardless of race, caste, country of origin, religion / belief, disability gender, sexual orientation, union membership, political affiliation or age". Furthermore, it has been communicated to smallholder farmer.</p> <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed the evidence: new policy related to equal opportunity policy and anti-discrimination of workers being implemented; furthermore audit team review the communication of the policies by KUD chairman as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
6.8.2	<p>Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated against.</p> <p>- Major compliance -</p>	<p>Company has provided a policy in relation to this indicator requirement, stated in "Kebijakan Perusahaan", dated 1st December 2014. During the audit, there is no issue has found with regards to discrimination against local communities, women, and migrant workers.</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: Cooperative has clearly stated the policy to provide equal opportunity policy to all worker as written in "Kebijakan Koperasi". During field audit, it was not found discrimination against gender, tribe, religion and race. All worker has the right and obligation in accordance to the type of work.</p>	Comply
6.8.3	<p>It shall be demonstrated that recruitment selection, hiring and promotion are based on skills, capabilities, qualities, and medical fitness necessary for the jobs available.</p> <p>- Minor compliance -</p>	<p>Recruitment process was documented in procedure AA-HR-305-2-00 – Recruitment and Selection. Based on that procedure, it was described that the selection, recruitment and promotion of workers based on worker competency.</p> <p>Employees credential and medical history were documented and recorded, medical history employees are available and kept by the nurse at the clinic.</p> <p>All company policy reviewed each year by Sustainability Department, PT. Rigunas Agri Utama. Employee's evaluation was conducted each year to decides promotion of employees. Based on their competency some of worker from was getting promotion. The process of recruitment, selection and promotion was conducted transparently, and this was communicated to of candidates.</p>	Comply

Criterion / Indicator		Assessment Findings	Compliance
		<p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: Recruitment was based on procedure, whereby mentioned recruitment and promotion of workers based on worker competency.</p>	
<p>Criterion 6.9: There is no harassment or abuse in the work place, and reproductive rights are protected.</p>			
6.9.1	<p>Policy to prevent sexual and all other forms of harassment and violence shall be implemented and communicated to all levels of the workforce.</p> <p>- Major compliance -</p>	<p>Policy to prevent sexual and all other forms of harassment and violence determined in "Kebijakan Perusahaan Asian Agri tanggal 1 Desember 2014". Chapter 15 stated company prevent sexual harassment and any form of violence to women and protect the reproductive rights.</p> <p>This policy has been documented, implemented and communicated to all level worker in February 2016. Policy is reviewed once a year by organisation.</p> <p>Company has formed A Gender Committee since April 2013 and consist of Chairwoman, vice chairwoman, secretary, vice secretary, members.</p> <p>Gender Committee activities such as handle complaint from female workers, reporting and data collecting if case appeared concerning sexual harassment.</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: Policy to prevent sexual harassment and any form of violence has been established in "Kebijakan Koperasi" point 5 stated cooperative and smallholder prevent sexual harassment and any form of violence to female and protect the reproductive rights.</p>	
		<p>NC Major: Smallholder organization cannot demonstrate evidence of communication/dissemination of policy to prevent sexual and all other forms of harassment and violence to all of its smallholder member and worker in KUD Sawit Makmur and KUD Sumay Jaya.</p> <p>Corrective action: Company planned to assisted cooperative/KUDs to have and understand policy to prevent sexual and all other forms of harassment and violence. KUD's then issued "Kebijakan Koperasi" – cooperative policy related to policy to prevent sexual and all other forms of harassment and violence. KUDs have conducted socialization the Cooperative Policy to prevent sexual and all other forms of harassment and violence to all of its smallholder member and worker.</p>	

RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>Evidence taken:</p> <ul style="list-style-type: none"> - KUD Sawit Makmur; on October 2016, attended by 40 members; on October 25, 2016 attended by 37 members; and on October 27 attended by 36 members. Attendance list and documentation are available. - KUD Sumay Jaya; on October 20, 2016 attended by 30 members and on October 24, 2016 attended by 35 members. Attendance list and documentation are available. <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed the evidence: policy to prevent sexual and all other forms of harassment and violence being implemented; furthermore audit team review the communication of the policies by KUD chairman as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
<p>6.9.2</p> <p>A policy to protect the reproductive rights of all, especially of women, shall be implemented and communicated to all levels of the workforce.</p> <p>- Major compliance -</p>	<p>Policy to prevent sexual and all other forms of harassment and violence determined in "Kebijakan Perusahaan Asian Agri tanggal 1 Desember 2014". Chapter 15 stated company prevent sexual harassment and any form of violence to women and protect the reproductive rights.</p> <p>This policy has been documented, implemented and communicated to all level worker in February 2016. Policy is reviewed once a year by organisation.</p> <p>Company do give maternal leave and period leave for female worker. As long as its completed with doctor note.</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: Policy to prevent sexual harassment and any form of violence has been established in "Kebijakan Koperasi" point 5 stated cooperative and smallholder prevent sexual harassment and any form of violence to female and protect the reproductive rights.</p>	<p>Comply</p>
	<p>NC Major: Smallholder organization cannot demonstrate evidence that policy to protect the reproductive rights of all, especially of women; has communication/dissemination to all of its smallholder member and worker in KUD Sawit Makmur and KUD Sumay Jaya.</p> <p>Corrective action: Company planned to assisted</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>cooperative/KUDs to have and understand policy to protect the reproductive rights of all, especially of women. KUD's then issued "Kebijakan Koperasi" – cooperative policy related to policy to protect the reproductive rights of all, especially of women. KUDs have conducted socialization the Cooperative Policy related to protect the reproductive rights of all, especially of women;</p> <p>Evidence taken:</p> <ul style="list-style-type: none"> - KUD Sawit Makmur; on October 2016, attended by 40 members; on October 25, 2016 attended by 37 members; and on October 27 attended by 36 members. Attendance list and documentation are available. - KUD Sumay Jaya; on October 20, 2016 attended by 30 members and on October 24, 2016 attended by 35 members. Attendance list and documentation are available. <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed the evidence: Policy related to protect the reproductive rights of all, especially of women being established and implemented; furthermore audit team review the communication of the policies by KUD chairman as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	
6.9.3	<p>A specific grievance mechanism which respects anonymity and protects complainants where requested shall be established, implemented, and communicated to all levels of the workforce.</p> <p>- Minor compliance -</p>	<p>In case there is any harassment and violence, it will be reported to Gender Committee to be followed up. Documented procedure has been established to describe handling mechanism of sexual harassment case - SOP AA-HR-309.01-R0 dated 1st February 2009. Company has formed A Gender Committee since April 2013 and consist of Chairwoman, vice chairwoman, secretary, vice secretary, members. Gender Committee activities such as handle complaint from female workers, reporting and data collecting if case appeared concerning sexual harassment.</p>	Comply
		<p>NC Minor: Smallholder organization cannot demonstrate evidence of communication/dissemination of specific grievance mechanism which respects anonymity and protects complainants to smallholder member and workers in surrounding of KUD Sawit Makmur and KUD Sumay Jaya. Based on document review and interview with smallholder in KUD Sawit Makmur and KUD Sumay Jaya; the smallholder</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>organization cannot demonstrate evidence of communication/dissemination of specific grievance mechanism which respects anonymity and protects complainants to smallholder member and workers in surrounding of KUD Sawit Makmur and KUD Sumay Jaya.</p> <p>During interview with smallholder member, understanding of specific grievance mechanism for issue related to sexual harassment was poor.</p>	
<p>Criterion 6.10: Growers and mills deal fairly and transparently with smallholders and other local businesses.</p>			
6.10.1	<p>Current and past prices paid for Fresh Fruit Bunches (FFB) shall be publicly available.</p> <p>- Minor compliance -</p>	<p>FFB price for FFB supplier was available in Bungo Tebo POM gate. FFB price as of 15th September 2016 was Rp.1,580/kg. Interview with a number of FFB suppliers, it was true that FFB price they received was similar to FFB price sets by company.</p> <p>FFB price for scheme smallholder was established based on price sets by “Dinas Perkebunan Provinsi Jambi”, released on weekly basis. FFB price for period 16 – 22nd September 2016 can be demonstrated. FFB price was informed to smallholder farmer via short message.</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: FFB price for scheme smallholder was established based on price sets by “Dinas Perkebunan Provinsi Jambi”, released on weekly basis. FFB price was informed to smallholder farmer via short message and it was also made available in KUD offices. For example, FFB price for period 9-15th September 2016 was based on “SK Dinas Perkebunan Provinsi Jambi tanggal 8 September 2016”, of Rp. 1,996.72/kg for palm aged 20 years and Rp. 1,938.00/kg for palm aged 21 years and above. Verification against payment receipt confirms that payment made was following FFB price sets by government.</p>	Comply
6.10.2	<p>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 compliance -</p>	<p>FFB price establishment was documented by company under “Sistem Penerimaan, Penetapan dan Pembayaran TBS”. The FFB price establishment was done with basis of:</p> <ul style="list-style-type: none"> - Market price, determined by FFB Purchase and informed one day before informed to supplier; - Margin between medium size FFb and large size FFB was Rp. 20/kg 	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>- Price changes will be informed one day before the changes, and it was applicable for large size FFB.</p> <p>Mechanism for FFB price has been known, understood and explained to FFB suppliers. Based on interview with a number of FFB supplier, they can demonstrate their understanding.</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: Mechanism for FFB price establishment has been understood by smallholder. FFB price for scheme smallholder was established based on price sets by "Dinas Perkebunan Provinsi Jambi", released on weekly basis. FFB price was informed to smallholder farmer via short message and it was also made available in KUD offices and mill gate. For example, FFB price for period 9 - 15th September 2016 was based on "SK Dinas Perkebunan Provinsi Jambi tanggal 8 September 2016", of Rp. 1,996.72/kg for palm aged 20 years and Rp. 1,938.00/kg for palm aged 21 years and above. As an alternative, smallholder can inquire the FFB pricing to KUD office or to PT. Rigunas Agri Utama.</p>	
6.10.3	<p>Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent.</p> <p>- Minor compliance -</p>	<p>FFB price determination and information of FFB price has been done in transparent manner and understood by FFB supplier. FFB price changes were carried out one day before effective implementation.</p> <p>FFB price for scheme smallholder was based on FFB price determined by "Dinas Perkebunan Provinsi Jambi". This was explained clearly in agreement/contract with PT. Rigunas Agri Utama.</p> <p>FFB purchasing Jambi will provide information of FFB price via SMS and telephone call to suppliers. Evidence of SMS and information of FFB price changes can be demonstrated during interview with suppliers.</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: Work agreement between company and smallholder farmer group was available in "Surat Perjanjian Produksi, jual Beli TBS dan Pemeliharaan tanaman setelah Undian Kapling sampai Akad Kredit antara Petani dengan Perusahaan Inti". It was signed by both party and acknowledged by village head, district head and regent. Example: "Surat Perjanjian antara PT. Rigunas Agri Utama dengan Kelompok Tani Belangkai Tengah KUD Sumay</p>	Comply

Criterion / Indicator		Assessment Findings	Compliance
		Jaya, Oktober 1999".	
6.10.4	<p>Agreed payments shall be made in a timely manner.</p> <p>- Minor compliance -</p>	<p>FFB payment system has been established. FFB paid based on weighbridge ticket and original delivery order, received by Jambi regional office. Payment made by transferring money to supplier's account.</p> <p>Unscheduled payment will be done as soon as FFB weighbridge ticket and original delivery order received by Jambi regional office.</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: Ffb payment system for schem smallholder has been established under "Surat Perjanjian Produksi, Jual Beli TBS dan Pemeliharaan Tanaman Setelah Undian Kapling sampai Akad Kredit antara Petani dengan Perusahaan Inti". Based on the agreement, FFB payment made once a month to smallholder farmer group's account. It will then cascaded to individual smallholder farmer. Based on document verification, and transfer notes for period July – August 2016, payment made in timely manner.</p>	Comply
<p>Criterion 6.11: Growers and millers contribute to local sustainable development where appropriate.</p>			
6.11.1	<p>Contributions to local development that are based on the results of consultation with local communities shall be demonstrated.</p> <p>- Minor compliance –</p>	<p>Contribution to local development described in the Corporate Social Responsibility (CSR) programme. CSR program of 2016 was available. In preparing the CSR program for year 2016, company has taking into consideration suggestion and request from communities, survey result, data capture and verification upon project proposals – as well as budget for the program. A number of stages that has been carried out:</p> <ul style="list-style-type: none"> - Evaluation on CSR program year 2015; - Identification on CSR program requirement year 2016; - Verification on villages requirement on CSR year 2016; - Selection on program proposal for CSR program 2016 ; - Budget preparation for CSR 2016; <p>Program CSR year 2016 covers:</p> <ul style="list-style-type: none"> - Donation for religious festivities, social activity, cultural and art activity, etc.; - Aid for community's economy empowerment: seedling and fish aid, training on fisheries management practices, aid on "kesenian kompangan" local art; - Education aid: Managed via Tanoto foundation: education infrastructure aid, improvement in teacher skill and 	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>competence.</p> <ul style="list-style-type: none"> - Health aid: provision of water well for dusun Tanjung Dani; - Infrastructure aid: village road repair, repair of religious house. <p>Several records of CSR implementation were evident. Recorded under “Berita Acara Serah Terima Proyek CSR PT. Rigunas Agri Utama” and receipt.</p> <p>Evidence of preference always been given to members of local communities where candidates for employment are of equal merit was described in Company policy dated 1st December 2014.</p> <p>Scheme smallholders: KUD Sawit Makmur and KUD Sumay Jaya: Cooperative has actively contributed to village development. Among others:</p> <ul style="list-style-type: none"> - Village fee of Rp. 5/kg FFB being sold. The fee then managed to support education, religious festival and other activity. Sample seen: to Desa Sekutur Jaya dated 2nd September 2016 of Rp. 6,441,310. - Masjid donation of Rp. 1/kg FFB being sold. Sample seen: receipt for donation on 2nd September 2016 of Rp. 1,288,262 for construction of Mesjid Sabilil Mutaqin. - Social donation for MTQ. Sampled receipt dated 10th September 2016 for payment of MTQ Desa Sekutur Jaya. 	
<p>6.11.2</p>	<p>Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve smallholder productivity.</p> <ul style="list-style-type: none"> - Minor compliance – 	<p>Comply</p>

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
		<p>company. Fertilizer recommendation for scheme smallholder, including fertilizer order was managed and prepared by PT. Rigunas Agri Utama – as nucleus estate.</p> <p>Training program for scheme smallholder was no different from PT. Rigunas's training module for staff.</p> <p>KUD Sawit Makmur: Training to improve productivity: - Integrated pest and disease training dated 4th April 2015; - Soil and water conservation training, including fertilizer and foliar sample analysis training was given on 4th November 2015 in KUD Sawit Makmur office, Sekutur Jaya village.</p> <p>KUD Sumber Usaha Training record available in form of training material, photograph documentation, and attendance list. Training that has been implemented in 2015 and 2016: integrated pest and disease management by "Pembina Plasma" carried out on 8th April 2015 in KUD Sumber Usaha office, training attendant 20 smallholder farmers. High Conservation Value Training in PT. Rigunas's guesthouse dated 11th May 2015, attended by 26 smallholder farmers and cooperative committees. AMDAL training dated 3rd March 2016 in KUD Sumber Usaha office, attended by 26 farmers and KUD committees.</p> <p>KUD Tanjung Aur Duri Training that has been implemented in 2015 and 2016: RSPO P&C training – PPE usage training – Economic System training conducted on 4th November 2015, in KT 122 Teriti vilalge. Soil and water conservation training – Fertilizer application and Foliar Sampling training conducted on 24th August 2015. Emergency and basic fire training conducted on 9th April 2015 in Bungo Tebo Estate. Emergency Conduction handling conducted on 24th August 2016 in PT. Rigunas's guesthouse.</p>	
<p>Criterion 6.12: No forms of forced or trafficked labour are used.</p>			
6.12.1	<p>There shall be evidence that no forms of forced or trafficked labour are used.</p> <p>- Major compliance -</p>	<p>Policy related forced or trafficked labour has been established in the company policy dated 1st December 2014. There are no foreign workers in Tebo Estate and Bungo Tebo Palm Oil Mill, based on evidences which has been reviewed such as "Daftar Tenaga Kerja Palm</p>	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>Oil Mill PT. Rigunas Agri Utama year 2016", employee contract of PHL. Recruitment process was documented in Procedure: AA-HR-305.2-R0 dated 1st February 2009 – Recruitment and Selection stated that Staff recruitment conduct by Head Office in Jakarta. For workers in site, recruitment processes conduct by Site Management with approval from company management. Permanent worker based on "Perjanjian Kerja bersama (PKB) 2015 – 2017" agreed by company and worker union; acknowledge by "Kementerian Ketenagakerjaan Direktorat Jenderal Pembinaan Hubungan Industrial dan Jaminan Sosial Tenaga Kerja".</p> <p>Scheme smallholders: KUD Sawit Makmur: No forced labour. All worker was working under no coercion. Work relation was based on mutual agreement. Interview with harvester on smallholder group No. 102 shows that they are working together without coercion from smallholder and/or cooperative. The salary paid was consistent with agreed piece rate.</p> <p>KUD Sumay Jaya No forced labour hired by cooperative and/or scheme smallholder farmer. All work relation was made on mutual agreement.</p>	
<p>6.12.2</p>	<p>Where applicable, it shall be demonstrated that no contract substitution has occurred.</p> <p>- Minor compliance –</p> <p>Based on observation of several employee contract and interview with employee could be demonstrated that there was no contract substitution occurred. There is no migrant worker in PT. Rigunas Agri Utama – Tebo Estate. It's verified during audit documentation list of employee and interview with employee. Employees work based on contract labour agreement which contains agreements include: working time, dependents, payroll and consent of both parties. Workers was given a copy of their employment contracts and the contract was identical to the one signed at the time of recruitment.</p> <p>Scheme smallholders: KUD Sawit Makmur: No migrant worker. All worker was working under work agreement. Document seen: under name D*** A***** (KUD Secretary) No.006/SK/KUD-SM/IV/2015 and Mr.I**** P*** (KUD's treasurer) No.09/SK/KUD-SM/IV/2016. Work relation was based on mutual agreement.</p>	<p>Comply</p>

Criterion / Indicator		Assessment Findings	Compliance
		<p>KUD Sumay Jaya: Smallholder farmer was using temporary workers with piece rate payment. The agreement was not written. The work performed such as harvesting activity, pruning, and raking woodies.</p>	
6.12.3	<p>Where temporary or migrant workers are employed, a special labour policy and procedures shall be established and implemented. - Major compliance -</p>	<p>There is no migrant worker employed by company. Company has a policy with regards to worker's right equality and non-discrimination to worker including if there is worker from different nationality.</p> <p>Scheme smallholders: KUD Sawit Makmur: No migrant worker employed by cooperative or smallholder farmer. All worker was working under work agreement. Cooperative has a policy to respect worker equality and against discrimination.</p> <p>KUD Sumay Jaya: No migrant worker employed by cooperative or smallholder farmer. All worker was working under work agreement. Cooperative has a policy to respect worker equality and against discrimination.</p>	Comply
<p>Criterion 6.13: Growers and millers respect human rights.</p>			
6.13.1	<p>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 compliance -</p>	<p>Company has established a policy related to respecting human rights as documented under "Kebijakan Perusahaan Asian Agri" dated 1st December 2014. Chapter 13 stated "Perusahaan menghormati hak asasi manusia dengan memperlakukan seluruh karyawan secara adil baik dalam hal penerimaan, penilaian, kondisi dan lingkungan kerja, serta keterwakilan tanpa memandang suku, kasta, asal Negara, agama/kepercayaan, cacat, gender, orientasi seksual, keanggotaan serikat pekerja, afiliasi politik dan atau umur" – company respects human rights and treated all employees in equal manner, during recruitment, assessment, condition and work environment, and representation – without discrimination on tribe, caste, gender, sexual orientation, worker union, politic affiliation, and/or age.</p> <p>The appointed person in charge is managers and assistants, to communicating the policy internally. The policy have been communicated to all level of workers, verbally and through posters. While public relation officer was</p>	Comply

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>appointed to communicating the policy externally. Until now, there was no outstanding case regarding human rights violation.</p> <p>Scheme smallholders: KUD Sawit Makmur: Cooperative has established policy related to respecting human rights, under "Kebijakan Koperasi", signed by Mr. Ateng Jaelani, the chairman.</p> <p>KUD Sumay Jaya: Cooperative has established policy related to respecting human rights, under "Kebijakan Koperasi", signed by Mr. H.A. Somad Toha, the chairman of KUD Sumay Jaya.</p>	
	<p>NC Major: Smallholder organization cannot demonstrate evidence that policy to respect human rights; has communication/dissemination to all of its smallholder member and worker in KUD Sawit Makmur and KUD Sumay Jaya.</p> <p>Corrective action: Company planned to assisted cooperative/KUDs to established and understand policy to respect human rights. KUD's then issued "Kebijakan Koperasi" – cooperative policy related to policy to respect human rights. KUDs have conducted socialization the Cooperative Policy related to respect human rights;</p> <ul style="list-style-type: none"> - Evidence taken:KUD Sawit Makmur; on October 2016, attended by 40 members; on October 25, 2016 attended by 37 members; and on October 27, 2016 attended by 36 members. Attendance list and documentation are available. - KUD Sumay Jaya; on October 6, 2016 attended by 15 member; on October 10, 2016 attended by 29 members; on October 20, 2016 attended by 30 members and on October 24, 2016 attended by 35 members. Attendance list and documentation are available. <p>Audit team has reviewed and accepted the corrective action plan prepared by company. Audit team has reviewed the evidence: policy to respect human rights; furthermore audit team review the communication of the policies by KUD chairman as part of corrective action. Audit team concluded that the correction, corrective action and evidences are sufficient. NC Major closed on 21st November 2016.</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
Principle 7: Responsible development of new plantings		
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.		
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 compliance -	Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.	N/A
7.1.2 Appropriate management planning and operational procedures shall be developed and implemented to avoid or mitigate identified potential negative impacts. - Minor compliance -	Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.	N/A
7.1.3 Where the development includes an outgrower scheme, the impacts of the scheme and the implications of the way it is managed shall be given particular attention. - Minor compliance -	Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.	N/A
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.		
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. - Major compliance -	Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.	N/A

RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
<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 compliance -</p>	<p>Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.</p>	<p>N/A</p>
<p>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.</p>		
<p>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).</p> <p>- Major compliance -</p>	<p>Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.</p>	<p>N/A</p>
<p>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.</p> <p>- Major compliance -</p>	<p>Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.</p>	<p>N/A</p>
<p>7.3.3 Dates of land preparation and commencement shall be recorded.</p> <p>- Minor compliance -</p>	<p>Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.</p>	<p>N/A</p>
<p>7.3.4 An action plan shall be developed that describes operational actions consequent to the findings of the</p>	<p>Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification,</p>	<p>N/A</p>

RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
	HCV assessment, and that references the grower's relevant operational procedures (see Criterion 5.2). - Major compliance -	field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.	
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 compliance -	Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.	N/A
Criterion 7.4: Extensive planting on steep terrain, and/or marginal and fragile soils, including peat, is avoided.			
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 - Minor compliance -	Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.	N/A
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. - Major compliance -	Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.	N/A
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.			
7.5.1	Evidence shall be available that affected local peoples understand they have the right to say 'no' to	Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification,	N/A

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
	<p>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.</p> <p>- Major compliance -</p>	<p>field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.</p>	
<p>Criterion 7.6:</p> <p>Where it can be demonstrated that local peoples have legal, customary or user rights, they are compensated for any agreed land acquisitions and relinquishment of rights, subject to their free, prior and informed consent and negotiated agreements.</p>			
7.6.1	<p>Documented identification and assessment of demonstrable legal, customary and user rights shall be available.</p> <p>- Major compliance -</p>	<p>Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.</p>	N/A
7.6.2	<p>A system for identifying people entitled to compensation shall be in place.</p> <p>- Major compliance -</p>	<p>Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.</p>	N/A
7.6.3	<p>A system for calculating and distributing fair compensation (monetary or otherwise) shall be in place.</p> <p>- Major compliance -</p>	<p>Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.</p>	N/A
7.6.4	<p>Communities that have lost access and rights to land for plantation expansion shall be given opportunities to benefit from plantation development.</p>	<p>Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting</p>	N/A

RSPO Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator		Assessment Findings	Compliance
	- Minor compliance -	occured due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.	
7.6.5	The process and outcome of any compensation claims shall be documented and made publicly available. - Minor compliance -	Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.	N/A
7.6.6	Evidence shall be available that the affected communities and rights holders have access to information and advice, that is independent of the project proponent, concerning the legal, economic, environmental and social implications of the proposed operations on their lands. - Minor compliance -	Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.	N/A
Criterion 7.7:			
No use of fire in the preparation of new plantings other than in specific situations, as identified in the ASEAN guidelines or other regional best practice.			
7.7.1	There shall be no land preparation by burning, other than in specific situations, as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions. - Major compliance -	Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.	N/A
7.7.2	In exceptional cases where fire has to be used for preparing land for planting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions. - Minor compliance -	Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.	N/A
Criterion 7.8:			

Criterion / Indicator	Assessment Findings	Compliance
New plantation developments are designed to minimise net greenhouse gas emissions.		
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. - Major compliance -	Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.	N/A
7.8.2 There shall be a plan to minimise net GHG emissions which takes into account avoidance of land areas with high carbon stocks and/or sequestration options. - Minor compliance -	Not applicable. Principle 7 was not applicable. Even though from the planting year, there was planting year 2008. Based on document verification, field visit and interview with stakeholders, it was known that the 512 Ha planted in 2008 was replanting oil palm. The replanting occurred due to low "Standing Palm per Hectare" from elephant attack, during early stage of planting. See related indicator 2.2.1.	N/A
Principle 8: Commitment to continual improvement in key areas of activity		
Criterion 8.1: Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.		
8.1.1 The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria. As a minimum, these shall include, but are not necessarily be limited to: <ul style="list-style-type: none"> • Reduction in use of pesticides(Criterion 4.6); • Environmental impacts (Criteria 4.3, 5.1 and 5.2); • Waste reduction (Criterion 5.3); • Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); • Social impacts (Criterion 6.1); • Optimising the yield of the supply base. 	Company prepared the action plan for continual improvement. Master Continous improvement 2016 listed down all activities planned for continual improvement programme at the mill and estate. For instance: <ol style="list-style-type: none"> 1. Continuing dispose hazardous waste to the approval collector. 2. Increasing planting beneficial plant (Tunera subulata and Cassia Tora) host plant for natural predatoF 3. Applied EFB as fertilizer 4. Reduction of water resources usage, 5. Controlling the soil erosion in WTP plant area, 6. Increase electricity efficiency, 7. Providing manuring programme and for scheme smallholder to increase the yields. Continuous Improvement Plan Kebun Bungo Tebo 2016" is to have continous terrace, road drainage, drain maintenance. Planning for silt pit for Division VI was 23 units, implemented 23 units as of Augsut 2015.	Comply

RSP0 Public Summary Report
Revision 4 (November /2016)

Criterion / Indicator	Assessment Findings	Compliance
	<p>- Major compliance -</p> <p>Planning for continuous terrace maintenance for Division IV block D08a 250meters/Ha – implemented up to August 2015 were 160 meters.</p> <p>Drain maintenance Culvert installation plan Division I: 14 units – installed as of June 2015 was 14 units. Culvert installation plan Division II: 25 units – installed as of June 2015 was 25 units.</p>	

RSPO Public Summary Report
Revision 4 (November /2016)

Appendix B: Approved Time Bound Plan

Name of Mill	Address	Time bound for certification	Status as of March 2015
Buatan I	Delik & Pangkalan Kerinci Village, Bunut Langgam District, Pelalawan Regency, Riau	2010	Certified on 16 th September 2010
Buatan II	Delik & Pangkalan Kerinci Village, Bunut Langgam District, Pelalawan Regency, Riau	2010	Certified on 16 th September 2010
Ukui I	Ukui Village, Ukui District, Pelalawan Regency, Riau	2010	Certified on 1 st March 2011
Ukui II	Ukui Village, Ukui District, Pelalawan Regency, Riau	2010	Certified on 1 st March 2011
Tungkal Ulu	Pulau Pauh / Penyabungan / Merlung Village, Tungkal Ulu District, Tanjung Jabung Regency, Jambi	2011	Certified on 15 th August 2012
Muara Bulian	Singoan / Bukit Sari / Bulian Jaya Village, Muara Bulian / Pematang Pauh Village, Tanjung Hari Regency, Jambi	2011	Certified on 28 th August 2012
Topaz	Petapahan Village, Tapung District, Kampar Regency, Riau	2013	Certified on 30 th March 2015
Taman Raja	Lubuk Bernai / Kampung Baru / Pelabuhan Dagang / Pematang Pauh Village, Tungkal Ulu District, Tanjung Jabung Regency, Jambi	2013	Certified on 20 th February 2015
Segati	Langkan / Penarikan / Tambak / Sotol Village, Langgam District, Pelalawan Regency, Riau	2014	On Progress
Tanah Datar	Tanah Datar Petatal Village, Talawi District, Asahan Regency, North Sumatera	Brought Forward from 2015 to 2013	Certified on 18 th May 2015
Aek Nabara	S1-S3 / Sukadame Village, Bilah Hulu / Kota Pinang District, Labuhan Batu Regency, North Sumatera	Brought Forward from 2015 to 2013	Certified on 6 th March 2015
Teluk Panjie	Teluk Panjie Village, Kampung Rakyat District, Labuhan Batu Regency, North Sumatera	Brought Forward from 2015 to 2013	Certified on 21 st April 2015
Peranap	Simelinyang / Pauh Ranap / Sengkilo Village, Peranap District, Indragiri Hulu Regency, Riau	Brought Forward from 2016 to 2013	Certified on 7 th January 2015
Bungo Tebo	Tuo Sumai / Sungai Rambai Village, PWK Sumai / Tebo Ulu District, Bungo Tebo Regency, Jambi	2016	Certified on 3 rd December 2015
Tanjung Selamat	Kampung Padang Village, Bilah Hilir District, Labuhan Batu Regency, North Sumatera	2017	Certified on 26 th May 2015
Gunung Melayu I	Rahuning Village, Bandar Pulau District, Asahan Regency, North Sumatera	2017	Certified on 7 th September 2015
Gunung Melayu II	Gonting Mahala Village, Bandar Pulau District, Asahan Regency, North Sumatera	2017	Certified on 8 th July 2015
Negri Lama I	Negri Lama Seberang Village, Bilah Hilir District, Labuhan Batu Regency, North Sumatera	Brought Forward from 2018 to 2013	Certified on 6 th April 2015
Negri Lama II	Negri Lama Seberang Village, Bilah Hilir District, Labuhan Batu Regency, North Sumatera	2018	Certified on 3 rd December 2015
Buatan	Delik & Pangkalan Kerinci Village, Bunut Langgam District, Pelalawan Regency, Riau	2010	Certified on 16 th September 2010
Ukui & Soga	Ukui Village, Ukui District, Pelalawan Regency, Riau	2011	Certified on 1 st March 2011
Buatan (Plasma)	Kerinci Kanan, Pangkalan Kerinci, Dayun Village, Siak & Pelalawan Regency, Riau	2011	Certified on 13 th March 2012
Ukui (Plasma)	Ukui & Lubuk Batu Jaya District, Pelalawan & Inhu Regency, Riau	Brought forward from 2012 to 2011	Certified on 11 th June 2012

RSPO Public Summary Report
Revision 4 (November /2016)

Tungkal Ulu	Pulau Pauh/Penyabungan/Merlung Village, Tungkal Ulu District, Tanjung Jabung Regency, Jambi	2011	Certified on 15 th August 2012
Muara Bulian	Singoan/Bukit Sari/ Bulian Jaya Village, Muara Bulian/Pemayang District, Batang Hari Regency, Jambi	2011	Certified on 28 th August 2012
Buatan (KKPA)	Kerinci Kanan, Pangkalan Kerinci, Dayun District, Siak & Pelalawan Regency, Riau	2012	Certified on 17 th January 2013
Tungkal Ulu (Plasma)	Renah Mendalo, Merlung, Muara Papalik District, Tanjung Jabung Barat Regency, Jambi	2012	Certified on 11 th July 2013
Muara Bulian (Plasma)	Maro Sebo Ilir District, Batanghari Regency, Jambi	2012	Certified on 12 th July 2013
Muara Bulian (KKPA)	Maro Sebo Ilir District, Batanghari Regency, Jambi	2012	Certified on 12 th July 2013
Topaz & Seed Garden	Petapahan Village, Tapung District, Kampar Regency, Riau	2013	Certified on 30 th March 2015
Taman Raja & Badang	Lubuk Bernai / Kampung Baru / Pelabuhan Dagang / Pematang Pauh Village, Tungkal Ulu District, Tanjung Jabung Regency, Jambi	2013	Certified on 20 th February 2015
Segati	Langkan / Penarikan / Tambak / Sotol Village, Langgam District, Pelalawan Regency, Riau	2014	On Progress
Penarikan & Gondai	Pangkalan Sarik / Baru Village, Langgam / Siak Hulu District, Pelalawan / Kampar Regency, Riau	2014	On Progress
Penarikan (KKPA)	Pangkalan Sarik / Baru Village, Langgam / Siak Hulu District, Pelalawan / Kampar Regency, Riau	2014	Moved to 2016
Gunung Sahilan (KKPA)	Gunung Sahilan Village, Lipat Kain District, Pelalawan Regency, Riau	2014	Moved to 2016
Bahilang	Bahilang Village, Tebing Tinggi District, Serdang Bedagai Regency, North Sumatra	Brought Forward from 2015 to 2013	Certified 18 th May 2015
Tanah Datar	Tanah Datar Petatal Village, Talawi District, Asahan Regency, North Sumatra	Brought Forward from 2015 to 2013	Certified 18 th May 2015
Aek Nabara	S1-S3 / Sukadame Village, Bilah Hulu / Kota Pinang District, Labuhan Batu Regency, North Sumatra	Brought Forward from 2015 to 2013	Certified on 6 th March 2015
Teluk Panjie	Teluk Panjie Village, Kampung Rakyat District, Labuhan Batu Regency, North Sumatra	Brought Forward from 2015 to 2013	Certified on 21 st April 2015
Peranap	Simelinyang / Pauh Ranap / Sengkilo Village, Peranap District, Indragiri Hulu Regency, Riau	Brought Forward from 2016 to 2013	Certified on 7 th January 2015
Bungo Tebo	Tuo Sumai / Sungai Rambai Village, PWK Sumai / Tebo Ulu District, Bungo Tebo Regency, Jambi	Brought Forward from 2016 to 2014	Certified 3 rd December 2015
Peranap (Plasma)	Simelinyang / Pauh Ranap / Sengkilo Village, Peranap District, Indragiri Hulu Regency, Riau	2016	Certified 19 th August 2016
Bungo Tebo (Plasma)	Tuo Sumai / Sungai Rambai Village, PWK Sumai / Tebo Ulu District, Bungo Tebo Regency, Jambi	2016	-
Tanjung Selamat	Kampung Padang Village, Bilah Hilir District, Labuhan Batu Regency, North Sumatra	Brought Forward from 2017 to 2014	Certified 26 th May 2015
Pangkatan	Sennah Village, Bilah Hilir District, Labuhan Batu Regency, North Sumatra	Brought Forward from 2017 to 2014	Certified 26 th May 2015
Sentral & Batu Anam	Gonting Mahala Village, Bandar Pulau District, Asahan Regency, North Sumatra	Brought Forward from 2017 to 2014	Certified 8 th July 2015

**RSPO Public Summary Report
Revision 4 (November /2016)**

Pulau Maria	Rahuning Village, Bandar Pulau District, Asahan Regency, North Sumatra	Brought Forward from 2017 to 2014	Certified 7 th September 2015
Negri Lama	Negri Lama Seberang Village, Bilah Hilir District, Labuhan Batu Regency, North Sumatra	Brought Forward from 2018 to 2013	Certified on 6 th April 2015
Aek Kuo	Aek Korsik Village, Aek Natas District, Labuhan Batu Regency, North Sumatra	Brought Forward from 2016 to 2013	Certified on 6 th April 2015

Appendix C: Certification Unit RSPO Certificate Details

PT. Rigunas Agri Utama
Bungo Tebo Palm Oil Mill
Tuo Sumay and Sungai Rambai Village,
PWK Sumay and Tebo Ulu District,
Bungo Tebo Regency,
Jambi Province,
INDONESIA

BSI RSPO Certificate No: RSPO 620917

Date of Initial Certificate Issued: 03/12/2015

Date of Expiry: 02/12/2020

RSPO membership number: 1-0022-06-000-00

Applicable Standards: **RSPO P&C Generic 2013**; *RSPO Supply Chain Certification Standard November 2014*
Module E - CPO Mills: Mass Balance

Bungo Tebo Palm Oil Mill and Supply Base					
Location Address	Tuo Sumay and Sungai Rambai Village, PWK Sumay and Tebo Ulu District, Bungo Tebo Regency, Jambi Province, INDONESIA				
GPS Location	102° 27' 22" E and 01° 20' 48" S				
CPO Tonnage Total	49,195 mt				
PK Tonnage Total	12,326 mt				
CPO Claimed for Certification*	31,420 mt				
PK Claimed for Certification *	7,556 mt				
Own estates FFB Tonnage	37,443 mt				
Scheme Smallholder FFB Tonnage	105,130 mt				
Estates	Production Area		Other use (ha)	Certified Area / Total land lease (ha)	Annual FFB Production (mt)
	Mature (ha)	Immature (ha)			
Bungo Tebo Estate	2,248	295	120.59	2,664	37,443
KUD Tanjung Dani Sakti	220	0	52.04	220	4,148
KUD Sumay Jaya	232	0		232	4,374
KUD Sumber Usaha	184	0		184	2,819
KUD Bina Tani	238	0		238	4,205
KUD Belarik Jaya	182	0		182	3,204
KUD Sawit Tambara Jaya	218	0		218	3,353
KUD Tunas Harapan	144	0		144	2,245
KUD Sejahtera Tani	88	0		88	1,422
KUD Tani Mandiri	158	0		158	2,726
KUD Tanjung Jaya Bersama	68	0		68	1,210
KUD Tanjung Aur Duri	68	0		68	1,159

RSPO Public Summary Report
Revision 4 (November /2016)

KUD Sawit Sumay Makmur	858	0		858	16,177
KUD Sawit Makmur	672	0		672	12,210
KUD Barokah	372	0		372	6,695
KUD Sawit Keluarga Sejahtera	136	0		136	2,483
KUD Sawit Makmur Bersama	628	0		628	11,378
KUD Sawit Karya Makmur	710	0		710	12,377
KUD Sawit Tanduk Perkasa	738	0		738	12,945
TOTAL	8,162	295	172.63	8,578	142,573

**Certified Production*

RSPO Public Summary Report
Revision 4 (November /2016)

Appendix D: Assessment Plan

Date	Time	Subjects	Pratama Sedayu	Imam F	Nanang Muallib	Mujinius
			PRSPOLA	PRSPO-OHS/EMS	PRSPO-SA	Provisio nal PRSPO
Wednesday, 14/09/2016	12.05 – 13.50	Flight Jakarta – Jambi by GA 144	√	√	√	√
		Travelling Jambi – Estate by Car	√	√	√	
	12.00 – 14.00	Break				
	14.00 – 14.30	Opening Meeting: Presentation by PT. RAU – Bungo Tebo Presentation by BSI Indonesia	√	√	√	√
	14.30 – 17.00	Field Visit: Bungo Tebo Mill PPE, safe working environment, walk ways, signs, EFB, POME treatment, emissions, diesel tanks, fire extinguishers, first aiders and boxes, workshop, storage, etc. Document Review: Bungo Tebo Mill RSPO P & C	√			√
Thursday, 15/09/2016	08.30 – 12.00	Document review: Bungo Tebo Mill General information, time bound plan, partial certification verification, RSPO P & C. Field Visit: Bungo Tebo Estate Herbicide application programs, harvesting, fertilizer application, terracing, road maintenance, Barn owl, beneficial plant, Landfill, housing complex, Storage, workshop, diesel tanks, clinic, etc (including interview with sprayer team and harvester). Field Visit: Bungo Tebo Estate Boundary stones, HCV areas, riparian zone, road maintenance and other facilities in line-site, (child care, school, school bus, etc), and interview with labor union, Gender Committee, local contractors, NGO, etc.	√			√
				√		
						√
	12.00 – 14.00	Break	√	√	√	√
	14.00 – 17.00	Document review: Bungo Tebo Estate RSPO P & C	√	√	√	√
Friday, 16/09/2016	08.00 – 12.00	Field visit and Interview with members: KUD Sumber Usaha	√	√	√	√
		Document review: KUD Sumber Usaha	√	√	√	√
	12.00 – 14.00	Break	√	√	√	√
	14.00 – 17.00	Field visit and Interview with members: KUD Sumay Jaya	√	√	√	√
		Document review: KUD Sumay Jaya Stakeholder Interview: Interview with local government (BLH, BPN, Disnakertrans and Dinas Perkebunan)	√	√	√	√
Saturday, 17/09/2016	08.00 – 12.00	Document review: Bungo Tebo Estate RSPO P & C	√		√	
		Document review: Bungo Tebo Mill RSPO P & C		√		√
Sunday, 18/09/2016		Break onsite	√	√	√	√
Monday, 19/09/2016	08.00 – 12.00	Field visit and Interview with members: KUD Sawit Makmur	√	√		√

RSPO Public Summary Report
Revision 4 (November /2016)

Date	Time	Subjects	Pratama Sedayu	Imam F	Nanang Mualib	Mujinius
			PRSPOLA	PRSPO-OHS/EMS	PRSPO-SA	Provisional PRSPO
		Stakeholder Interview: Interview with local government (BLH, BPN, Dinas Tenaga Kerja and Dinas Perkebunan)			√	
	12.00 – 14.00	Break	√	√	√	√
	14.00 – 17.00	Document review: KUD Sawit Makmur	√	√		√
		Stakeholder interview: Labor union, Gender committee, local contractors, NGO, etc.			√	
Tuesday, 20/09/2016	08.00 – 12.00	Field visit and Interview with members: KUD Sawit Makmur	√	√	√	√
	12.00 – 14.00	Break	√	√	√	√
	14.00 – 17.00	Field visit and Interview with members: KUD Sawit Makmur - continued	√	√	√	√
Wednesday, 21/09/2016	08.00 – 12.00	Field visit and Interview with members: KUD Sawit Makmur	√	√	√	√
	12.00 – 14.00	Break	√	√	√	√
	14.00 – 17.00	Field visit and Interview with members: KUD Tanjung Aur Duri	√	√	√	√
		Document review: KUD Tanjung Aur Duri	√	√	√	√
Thursday, 22/09/2016	08.00 – 11.00	Document review: Group Manager/Scheme Management	√	√	√	√
	11.00 – 12.00	Report writing	√	√	√	√
	12.00 – 13.00	Break	√	√	√	√
	13.00 – 14.00	Closing Meeting	√	√	√	√
	14.00 – 17.00	Travel to Jambi	√	√	√	√
	17.00 -	Flight Jambi – Jakarta	√	√	√	√

Appendix E: Stakeholders Contacted

Internal Stakeholders	Union/Contractors/Local Communities
Worker Union Gender Comittee	Tuo Sumay Local contractors – school bus
Government Departments	NGO
Dinas Tenaga Kerja Kabupaten Tebo Dinas Perkebunan Kabupaten Tebo Badan Lingkungan Hidup Kabupaten Tebo Badan Pertanahan Nasional Kabupaten Tebo	World Resources Institute - Indonesia

Appendix F: CPO Mill Supply Chain Assessment Report

(Module E - CPO Mills: Mass Balance)

Requirements	Compliance
E.1 Definition	
<p>E.1.1 Certification for CPO mills is necessary to verify the volumes of certified and uncertified FFB entering the mill and volume sales of RSPO certified producers. A mill may be taking delivery of FFB from uncertified growers, in addition to those from its own certified land base. In that scenario, the mill can claim only the volume of oil palm products produced from processing of the certified FFB as MB.</p>	<p>PT. Rigunas Agri Utama – Bungo Tebo POM holds current RSPO P&C Certificate No.SPO 620917. In the current certificate, PT. Rigunas Agri Utama – Bungo Tebo POM implemented Mass Balance supply chain system.</p> <p>PT. Rigunas Agri Utama – Bungo Tebo POM only claimed the FFB proportion from certified supply bases which comprise of company-own estate. The other supply base, coming from scheme smallholder and third party contractors/collectors currently deemed as non-certified FFB source.</p>
E.2 Explanation	
<p>E.2.1 The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill must be recorded by the CB in the public summary of the P&C certification report. This figure represents the total volume of certified palm oil product (CPO and PK) that the certified mill is allowed to deliver in a year. The actual tonnage produced should then be recorded in each subsequent annual surveillance report.</p>	<p>Bungo Tebo POM demonstrates the estimate of certified CPO and PK products. BSI verifies the estimate of CPO and PK products during each assessment, and record the actual production of FFB, CPO and PK in the certification unit. Forecast from January – December 2015: FFB 36,811 tons; CPO: 8,835 tons; PK: 1,951 tons. Actual production from January – December 2015: FFB ; CPO ; PK:</p> <p>BSI subsequently records the projection of FFB, CPO and PK production for the next 12 months in public summary report.</p>
<p>E.2.2 The mill must also meet all registration and reporting requirements for the appropriate supply chain through the RSPO supply chain managing organization (RSPO IT platform or book and claim).</p>	<p>PT. Rigunas Agri Utama – Bungo Tebo POM holds e-trace account No.RSPO_PO10000002913.</p> <p>Based on document review, there was a discrepancy of 42.04 tons CPO that has not been registered in RSPO IT platform.</p> <p>Based on document review, there was a discrepancy of 23.7 tons PK that has not been registered in RSPO IT platform.</p>
E.3 Documented procedures	
<p>E.3.1 The site shall have written procedures and/or work instructions to ensure the implementation of all the elements specified in these requirements. This shall include at minimum the following:</p> <p>a) Complete and up to date procedures covering the implementation of all the elements in these requirements;</p> <p>b) The name of the person having overall responsibility for and authority over the implementation of these</p>	<p>Bungo Tebo POM has a written documented procedure for the chain of custody with MB model covering certified and non-certified FFB. The company shows procedure “Book Keeping” No.AA-MPM-OP-1400.18.R4, dated 02/25/2015 and procedure “Traceability” No.AA-MPM-OP-1400.17.R4, dated 02/25/2015.</p> <p>The marketing is responsible to create delivery order, identifying POM name and address, buyer name and address, contract number, product type, certified/non-certified status, date of shipping, product specification, supply chain model, etc.</p>

RSPO Public Summary Report
Revision 4 (November /2016)

<p>requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the site procedures for the implementation of this standard.</p>	<p>Mill managers have the responsibility to ensure implementation of supply chain procedure.</p>
<p>E.3.2 The site shall have documented procedures for receiving and processing certified and non-certified FFBS.</p>	<p>Buatan II POM has a documented procedure for the incoming FFB, processing and outgoing palm products (CPO and PK). Marking is made on the receiving documents to differentiate the certified and non-certified FFB received. Records: Procedure AA-MPM-OP-1400.17-R3 (traceability) and Procedure AA-MPM-OP-1400.18-R2 (Mass Balance).</p> <p>SOP Traceability shows the procedure traceability CPO & PK, Despatch of CPO & PK, LHP PMKS, Procedure Traceability CPKO.</p>
<p>E.4 Purchasing and goods in</p>	
<p>E.4.1 The site shall verify and document the volumes of certified and non-certified FFBS received.</p>	<p>As procedure Traceability AA-MPM-OP-1400.17-R4, first point of verification will be the weighbridge. Weighbridge operator will responsible to verify and input data: certified or non-certified FFB. Delivery order for certified FFB shall completed with information: identity of plantation and block, planting year, harvesting</p> <p>According to relevant procedure as above (E.3.1 and E.3.2), daily records are prepared at the entry point at the weighbridge. Daily summary and monthly summary documented for all the certified and non-certified FFB. Records verified through internal and external audit.</p> <p>Record seen:</p> <p>Buatan Estate: Surat Pengantar TBS No.005745 dated 25/07/2016, marked with certified SPO638947, 590 bunches, from KKPA certified block H03q, planting year 2003, transporting truck BM9832CT. Weighbridge ticket No.PBDA116105511, source from KKPA certified, block ID H03q, planting year 2003, harvest date 25/07/2016, weigh 8,030 kg, certificate ID SPO 638947, transporting truck BM9832CT, country of origin Indonesia, receiving mill Buatan II POM.</p> <p>KKPA Estate: Surat Pengantar TBS No.002060 dated 25/07/2016, marked with certified SPO638947, 199 bunches, from Buatan Estate certified block E91a, planting year 1991, transporting truck BM9118TH. Weighbridge ticket No.PBDA116105513, source from Buatan Estate certified, block E91a, planting year 1991, harvest date 25/07/2016, weigh 5,610 kg, certificate ID SPO 638947, transporting truck BM9118TH, country of origin Indonesia, receiving mill Buatan II POM.</p> <p>Scheme smallholder: Surat Pengantar TBS No.12870 date of harvest 24/07/2016, marked with certified CU-RSPO-820494, 520 bunches, from KUD Mitra Usaha SP10, KT 160, planting year 1991/1992, transporting</p>

RSPO Public Summary Report
Revision 4 (November /2016)

	<p>truck BM9297U. Weighbridge ticket No.PBDA216105310, source from Plasma certified KT 160, planting year 1991, delivery date 25/07/2016, weigh 9,212 kg, certificate ID CU-SPO-820494, transporting truck BM9297U, country of origin Indonesia, receiving mill Buatan II POM.</p> <p>Third Party FFB: Surat Pengantar TBS No.10 dated 25/07/2016, 569 bunches, from CV. Putra Kembar Sentosa PBD-C, transporting truck BM8062QU. Weighbridge ticket No.PBDA516103405, source from CV Putra Kembar Sentosa TBS-Luar, dated 25/07/2016, weigh 8,565 kg, transporting truck BM8062QU, country of origin Indonesia, receiving mill Buatan II POM.</p>
<p>E.4.2 The site shall inform the CB immediately if there is a projected overproduction of certified tonnage.</p>	<p>The marketing and sustainability officer will inform the CB should there is a projected overproduction of certified tonnage. Currently no projected overproduction for Bungo Tebo POM.</p>
<p>E.5 Record keeping</p>	
<p>E.5.1 a) The site shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a three-monthly basis.</p> <p>(b) All volumes of palm oil and palm kernel oil that are delivered are deducted from the material accounting system according to conversion ratios stated by RSPO.</p> <p>c) The site can only deliver Mass Balance sales from a positive stock. Positive stock can include product ordered for delivery within three months. However, a site is allowed to sell short.(ie product can be sold before it is in stock.)</p>	<p>Training related to RSPO SCCS: "Pelatihan Traceability & Mass Balance & Critical Control Point" dated 05/21/2016, attended by Sofianto, Rico Santoso, Dewi Anggraini (Staff), Supriadi (security), Bayu Prasajo (Supervisor), Hesti Yuniati , Sinta Rukun (weighbridge operator).</p> <p>According to Procedure AA-MPM-OP-1400.18.R2 (Mass Balance) All the inventory records are maintained and updated on three monthly reports. Mill and marketing office maintain the record and balance of CPO and PKO sold.</p> <p>Mill shows three-monthly base record (before upgrade into Identity Preserved): January – March 2016, indicating the initial CPO and PK stock, FFB received (certified and non-certified), initial stock (certified and non-certified), CPO production (certified and non-certified), CPO despatch (ISCC, RSPO and non-certified), balance CPO; initial stock, PK production and despatch of PK.</p> <p>CPO and palm kernel delivered are deducted from book keeping – mass balance system. Marketing department coordinates with Sustainability department in monitoring the delivery/sales and confirmed against the actual delivery through "Detail Allocation Rigunas Agri Utama – Pabrik Bungo Tebo".</p> <p>Only positive stock if delivered. No short selling.</p>

**RSPO Public Summary Report
Revision 4 (November /2016)**

<p>E.5.2 In cases where a mill outsources activities to an independent (not owned by the same organization) palm kernel crush, the crush still falls under the responsibility of the mill and does not need to be separately certified. The mill has to ensure that the crush is covered through a signed and enforceable agreement.</p>	<p>There was no outsourcing activities related to processing of FFB into CPO and PK in Bungo Tebo POM.</p> <p>Kernel crushing plant in Bungo Tebo POM was certified against RSPO Supply Chain Certification Standard 2014 and RSPO Supply Chain Certification System 2014, and issued with separate RSPO SCCS certificate.</p>
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Actual Tonnage Certified Palm Production – January – December 2016 (MA)

Mill	Capacity	CPO	PK
Bungo Tebo POM	60 Tonnes FFB/hour	7,452	1,620

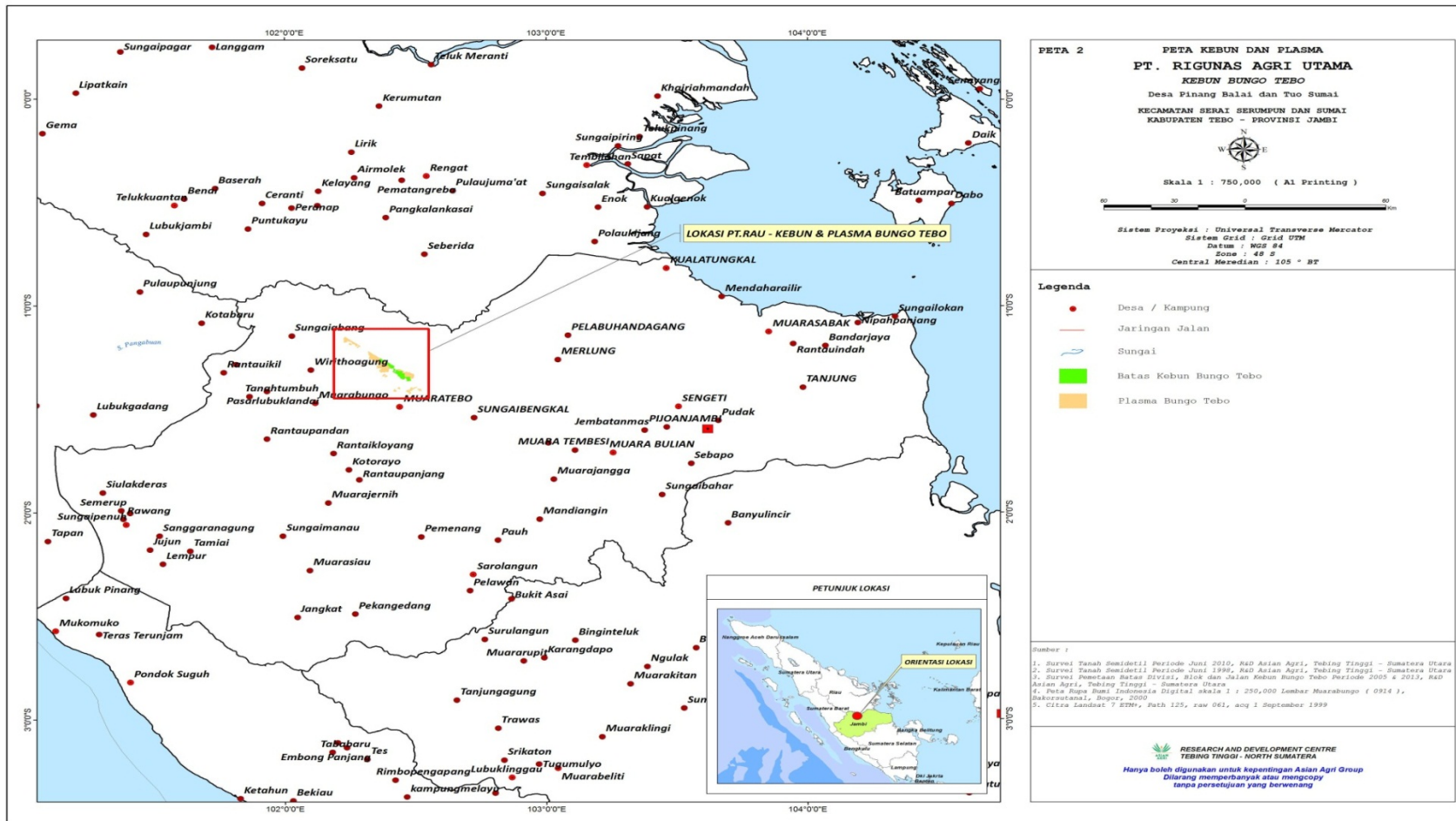
Actual Tonnage Sales of Certified Palm Products - January – December 2016 (MA)

Mill	Certified CPO Sales	Certified PK Sales	Remarks
Bungo Tebo POM	1,968.41	879.86	Via eTrace

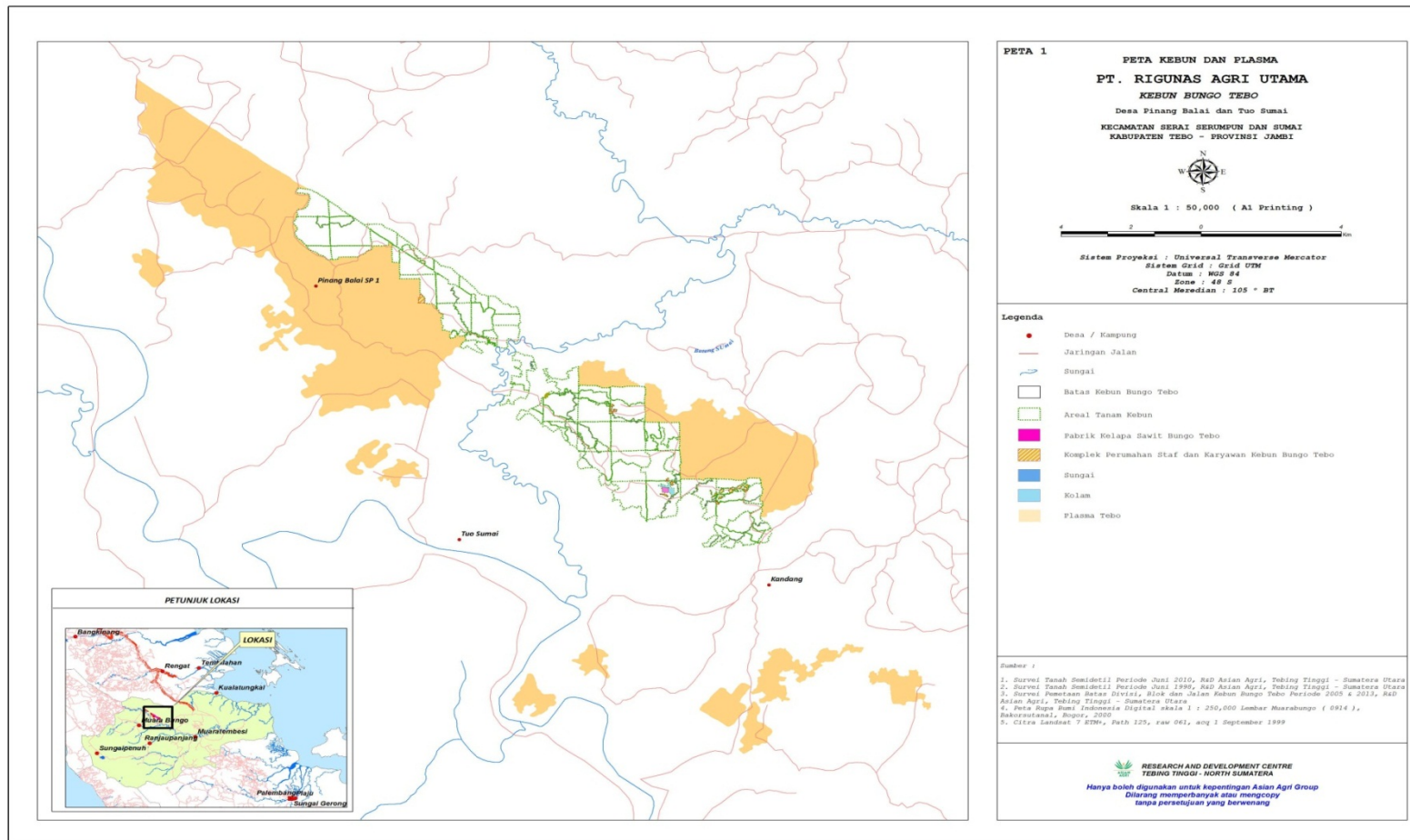
Month	Certified Supply Base* (mt)	Total FFB/Month (mt)
	Bungo Tebo Estate	
January 2016	2,391	2,391
February 2016	2,128	2,128
March 2016	2,272	2,272
April 2016	1,756	1,756
May 2016	1,932	1,932
June 2016	1,667	1,667
July 2016	1,226	1,226
August 2016	2,017	2,017
September 2016	3,421	3,421
October 2016	4,243	4,243
November 2016	3,806	3,806
December 2016	4,145	4,145
Total	31,005	31,005

**) Only from Bungo Tebo Estate. Scheme smallholder was new scope of supply base, added during this 2nd Annual Surveillance Visit.*

Appendix G: Location Map of Certification Unit and Supply bases



Appendix H: Estate Field Map



Appendix I: List of Smallholder Sampled

No. Sample	Area	Smallholder Number (54)	Smallholder Name
1	KUD Sumay Jaya	2002	Asni bin Samad/Andika
2	KUD Sumay Jaya	2004	Ismail/Manik
3	KUD Sumay Jaya	2019	Mat Tini/Aris
4	KUD Sumay Jaya	2092	Hasan Nur/Asbul
5	KUD Sumay Jaya	2144	Abu Hasan/Andika
6	KUD Sumay Jaya	2143	Yosep Herman/Tupang
7	KUD Sumay Jaya	2171	Salim Tina/Depi
8	KUD Sumay Jaya	2186	Ahmad Zur/Lubis
9	KUD Sumay Jaya	2198	Muslim/Rahman
10	KUD Sumay Jaya	2159	Zaharudin/Regar
11	KUD Sumber Usaha	3334	Darasid Mariam
12	KUD Sumber Usaha	3351	Samad Mariam
13	KUD Sumber Usaha	3321	Ridwan
14	KUD Sumber Usaha	3378	Hasan K/Jul Lubis
15	KUD Sumber Usaha	3330	Fuad Mus/Depi
16	KUD Sumber Usaha	3379	Gani Ham/Jul Lubis
17	KUD Sawit Makmur	916	Sudirman
18	KUD Sawit Makmur	876	Erdanus
19	KUD Sawit Makmur	877	Bambang Sudianto
20	KUD Sawit Makmur	892	Suhardi
21	KUD Sawit Makmur	864	Joko Dwi Utomo
22	KUD Sawit Makmur	863	Mahmud
23	KUD Sawit Makmur	721	Kuswanto
24	KUD Sawit Makmur	26	Marbawi
25	KUD Sawit Makmur	253	Supriyanto
26	KUD Sawit Makmur	722	M. Yazid Zuh
27	KUD Sawit Makmur	1	Ishak JT/Subki
28	KUD Sawit Makmur	3	Suparni
29	KUD Sawit Makmur	6	H. Zayadi
30	KUD Sawit Makmur	716	Sumadi/Lukman
31	KUD Sawit Makmur	1810	Irwan Ibrahim
32	KUD Sawit Makmur	928	Helma Rizal
33	KUD Sawit Makmur	929	Mat Azar
34	KUD Sawit Makmur	1811	Basuki
35	KUD Sawit Makmur	858	Basitol Khoiri
36	KUD Sawit Makmur	870	Edi L/Samsul
37	KUD Sawit Makmur	873	Takadestaur B
38	KUD Sawit Makmur	2995	Yeri Muthalib
39	KUD Sawit Makmur	3000	Hesti Abri Susanti
40	KUD Sawit Makmur	3008	Yopi Muthalib
41	KUD Sawit Makmur	710	Suparno
42	KUD Sawit Makmur	1228	Sugino
43	KUD Sawit Makmur	1231	M. Rusdi
44	KUD Sawit Makmur	1234	Sarno
45	KUD Sawit Makmur	1244	Tugimin
46	KUD Sawit Makmur	1245	Eko Wiyono

**RSPO Public Summary Report
Revision 4 (November /2016)**

47	KUD Sawit Makmur	199	Supartin
48	KUD Sawit Makmur	1246	Slamet
49	KUD Sawit Makmur	1247	Supat
50	KUD Sawit Makmur	1253	Ismoe
51	KUD Sawit Makmur	1259	Sahirudin
52	KUD Sawit Makmur	1269	Hari Hartono/Badrun
53	KUD Tanjung Aur Duri	3243	Muftahudin/Jumrah
54	KUD Tanjung Aur Duri	3300	Masdum/Aryanto

Appendix J: List of Abbreviations Used

AN	Ammoniacal Nitrogen
ANPN	National Park Agency Gabon
BOD	Biological Oxygen Demand
CHRA	Chemical Health Risk Assessment
CPO	Crude Palm Oil
DGEPN	Environmental Protection Agency Gabon
DOSH	Department of Occupational Safety & Health
EFB	Empty Fruit Bunch
EMS	Environmental Management System
FFB	Fresh Fruit Bunch
GMP	Good Manufacturing Practice
HCV	High Conservation Value
IAV	Initial Assessment Visit
IPM	Integrated Pest Management
ISCC	International Sustainable Carbon Certification
MSDS	Material Safety Data Sheet
O&G	Oil and Grease
PK	Palm Kernel
PPE	Personal Protective Equipment
PSQM	Plantation Sustainability and Quality Management
PQR	Performance Quality Rating
RC	Re-Certification
RED	Renewable Energy Directive
RSPO P&C	Roundtable on Sustainable Palm Oil Principle & Criteria
SCCS	Supply Chain Certification Standard
SEIA	Social & Environmental Impact Assessment
SIA	Social Impact Assessment
SOP	Standard Operating Procedure
SOU	Strategic Operating Unit
SS	Suspended Solids
TN	Total Nitrogen
TS	Total Solids
VFA	Volatile Fatty Acids