

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

<p>Client Company name (Parent Company): SIPEF Group</p>
<p>Client company Address: Forum Nine Building, 10th Floor, Suite 1-11 Jl. Imam Bonjol No.9, Medan - 20112 Sumatra Utara Province Indonesia</p>
<p>Certification Unit: Koperasi Serba Usaha Suka Makmur</p> <p>Location of Certification Unit: Sukoharjo Hamlet, Tanjung Mulia Village, Kampung Rakyat District, Labuhanbatu Selatan Regency, Sumatera Utara Province, Indonesia</p>

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Section 1: Scope of the Certification Assessment

1. Company Details			
RSPO Membership Number	1-0021-05-000-00	Membership Approval Date	7 th December 2005
Parent Company Name	SIPEF Group		
Address	Head Office: Forum Nine Building, 10th Floor, Suite 1-11 Jl. Imam Bonjol No.9, Medan - 20112 Sumatra Utara Province Indonesia		
Subsidiary (Certification Unit Name)	Koperasi Serba Usaha Suka Makmur		
Address	Site Location: Sukoharjo Hamlet, Tanjung Mulia Village, Kampung Rakyat District, Labuhanbatu Selatan Regency, Sumatera Utara Province – Indonesia		
Contact Name	Mr. Sander Van den Ende		
Website	www.tolantiga.co.id	E-mail	svdende@sipef.com
Telephone	+62 61 415 2043	Facsimile	+62 61 452 0908

2. Certification Information			
Certificate Number	RSPO 687965	Date of First Certification	05/04/2018
		Certificate Start Date	24/05/2019
		Certificate Expiry Date	04/04/2023
Scope of Certification	The production of certified fresh fruit bunch (FFB)		
Applicable Standards	RSPO Management System Requirements and Guidance for Group Certification of FFB Production, March 2016		

3. Other Certifications			
Certificate Number	Standard(s)	Certificate Issued by	Expiry Date
Nil			

4. Location(s) of Mill & Supply Bases			
Name (Mill / Supply Base)	Location [Map Reference #]	GPS Coordinates	
		Latitude	Longitude
Koperasi Serba Usaha Suka Makmur	Sukoharjo Hamlet, Tanjung Mulia Village, Kampung Rakyat District, Labuhanbatu Selatan Regency, Sumatera Utara Province, Indonesia	02°11' 29.00" N	100° 19' 57.89" E

5. Description of Supply Base					
Estate	Total Planted (Mature + Immature) (ha)	HCV (ha)	Infrastructure & Other (ha)	Total Area (ha)	% of Planted
Koperasi Serba Usaha Suka Makmur	60.15	0	0	60.15	100
Total	60.15	0	0	60.15	100

6. Plantings & Cycle							
Estate	Age (Years)					Mature**	Immature
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30		
Koperasi Serba Usaha - Suka Makmur	0	60.15	0	0	0	60.15	0
Total (ha)	0	60.15	0	0	0	60.15	0

7. Certified Tonnage of FFB (Own Certified Scope)				
Estate	Tonnage / year			Forecast (Jan 2020 – Dec 2020)
	Estimated (April 2019 – March 2020)	Actual (Apr 2019 – Dec 2019)		
		Previous license period (Apr 2019)	Current license period (May 2019 – Dec 2019)	
Koperasi Serba Usaha - Suka Makmur	723.00	74.65	597.72	869.00
Total	723.00	672.37		869.00

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8. Certified Tonnage of FFB (from other certified unit(s)) if applicable *				
Estate	Tonnage / year			
	Estimated (April 2019 – March 2020)	Actual (Apr 2019 – Dec 2019)		Forecast (Jan 2020 – Dec 2020)
	N/A	<i>Previous license period</i> (Apr 2019)	<i>Current license period</i> (May 2019 – Dec 2019)	N/A
Nil		Nil	Nil	
Total		Nil		

9. Non-Certified Tonnage of FFB (outside supplier – excluded from certificate) if applicable				
Independent FFB Supplier	Tonnage / year			
	Estimated (April 2019 – March 2020)	Actual (Apr 2019 – Dec 2019)		Forecast (Jan 2020 – Dec 2020)
		<i>Previous license period</i> (Apr 2019)	<i>Current license period</i> (May 2019 – Dec 2019)	
Nil	Nil	Nil	Nil	Nil
Total	Nil	Nil		Nil

10. Certified Tonnage				
Mill Capacity*: 00 MT/hr	Estimated (April 2019 – March 2020)	Actual (Apr 2019 – Dec 2019)		Forecast (Jan 2020 – Dec 2020)
	SCC Model**: IP	FFB	FFB	
723.00		<i>Previous license period</i> (Apr 2019)	<i>Current license period</i> (May 2019 – Dec 2019)	869.00
		74.65	597.72	
	CPO (OER: 20%)	CPO (OER: 20%)		CPO (OER: 20%)
	144.60	134.47		173.80
	PK (KER: 5%)	PK (KER: 5%)		PK (KER: 5%)
	36.15	33.62		43.45

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	PKO (PKO-ER: 45% from PK)	PKO (PKO-ER: 45% from PK)	PKO (PKO-ER: 45% from PK)
	16.27	15.13	19.55
	PKE (PKE-ER: 55% from PK)	PKE (PKE-ER: 55% from PK)	PKE (PKE-ER: 55% from PK)
	19.88	18.49	23.90

Note:

11. Actual Sold Volume (CPO)

	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSB		
CPO (MT)	Nil	Nil	Nil	Nil	Nil

12. Actual Sold Volume (PK)

	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSB		
PK (MT)	Nil	Nil	Nil	Nil	Nil

13. Actual Group certification Claims

	Credit	Physical Volume (MT)
IS-CSPO	Nil	Nil
IS-CSPKO	Nil	Nil
IS-CSPKE	Nil	Nil

Section 2: Assessment Process

Certification Body:

BSI Services Malaysia Sdn Bhd,
(ASI Accreditation Number: ASI-ACC-067)
Suite 29.01 Level 29, The Gardens North Tower,
Mid Valley City, Lingkaran Syed Putra,
59200 Kuala Lumpur, Malaysia.
Tel +60 (3) 9212 9638 Fax +60 (3) 9212 9639
Representative: Nicholas Cheong (Nicholas.Cheong@bsigroup.com)
Website: www.bsigroup.com

BSI is a leading global provider of management systems assessment and certification, with more than 80,000 certified locations and clients in over 180 countries. BSI Standards is the UK's National Standards Body. BSI provides independent, third-party certification of management systems. BSI is ASI Accredited (ASI-ACC-067) to conduct RSPO assessment since 31/10/2014 with accredited office located at Kuala Lumpur, Malaysia and an office at Jakarta and Australia which involve in RSPO Certification Program.

2.1 Assessment Methodology, Programme, Site Visits

The on-site assessment was conducted from 25 to 28 January 2020. The audit programme is included as Appendix D. A range of environmental and social factors were covered. This includes consideration of topography, palm age, proximity to areas with HCVs, declared conservation areas and local communities.

The methodology for collection of objective evidence included physical site inspections, observation of tasks and processes, interviews of staff, workers and their families and external stakeholders, review of documentation and monitoring data. RSPO Management System Requirements and Guidance for Group Certification of FFB Production, March 2016 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 minimum sample size is four estates. Sample size for certification unit with more than four (4) estates were determined based on formula $N = (0.8\sqrt{y}) \times (z)$ where y is the number of estates and where z is the multiplier defined by risk assessment
- As for the smallholders, the sample were determined following the RSPO Management System Requirements and Guidance for Group Certification of FFB Production (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. 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 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.

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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 Section 3.5.

All the previous nonconformities are remains closed. The assessment findings for the annual surveillance assessment are detailed in Section 3.4.

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.

For Annual surveillance assessment, the report was internally reviewed and approved by BSI qualified certification reviewer.

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

Assessment Program					
Name (Mill / Supply Base)	Year 1 (Certification)	Year 2 (ASA 1)	Year 3 (ASA 2)	Year 4 (ASA 4)	Year 5 (ASA 5)
Koperasi Serba Usaha - Suka Makmur	X	X	X	X	X

Tentative Date of Next Visit: January 1, 2021 - January 3, 2021

Total No. of Mandays: 7

2.2 BSI Assessment Team:

Team Member Name	Role (Team Leader or Team member)	Qualifications (Short description of the team members)
Eko Purwanto	Team Leader	Holds a Bachelor of Forestry from Forest Conservation Department, Faculty of Forestry, Bogor Institute of Agriculture (IPB) in 2001. He has working experience at Oil Palm Plantation in East Kalimantan since 2003 to 2012, the last position was Estate Manager. He has implementing good agricultural practice including integrated pest management and limited pesticides uses. He has completed lead auditor training courses for RSPO P&C (2013), RSPO SCC (2012), ISPO (2012), LAC ISO 9001 (2012), ISO 14001 (2013) and ISO 45001 (2019). Refreshment training have been completed for RSPO P&C in May 2018, RSPO SCC in March 2018. He has been involved in quality (ISO 9001) management system audits for very broad industrial and involved in RSPO and ISPO audit for several plantations and mills since October 2012. During this assessment, he assessed on the

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		aspects of best management practice in palm oil mill and estate, Occupational Health and Safety Management System, Environmental Management System.
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 Social Aspect, Environmental aspect-impacts, Occupational Health and Safety.
Yudwi Wisnu Rahmanro (YR)	Team Member	Bachelor of Forestry with Silviculture background. He worked at professional independent Certification Body as an Auditor for last 8 years and has involved in auditing activities with various certification schemes. Selected training which have been followed, such as RSPO Endorsed Lead Auditor Training Course, RSPO NEXT, ISPO Auditor/Lead Auditor Course, Quality Management System (QMS) ISO 9001:2008 Auditor/Lead Auditor Course, GIS-Basic Mapping and Spatial Analysis, Timber Legality Assurance System (SVLK), Verification Organization Training C.A.F.E Practices (Starbucks), UTZ Programme and others internal training programs. He has involved in auditing activities, such as Sustainable Forest Management by FSC FM/COC Scheme, Sustainable Palm Oil by RSPO and ISPO Scheme, Coffee And Farmer Equity (C.A.F.E Practices) Starbucks, Organic Standard (EU, NOP, JAS) for Coffee Farmers and Organic Exchange for Textile. During this assessment, he assessed on the aspects of Legal, Environmental aspect-impacts, Occupational Health and Safety, internal stakeholder consultation.

Accompanying Persons:

No.	Name	Role
1	Pratama A. Sedayu	Present to conduct Qualifying Review of Imam Fakhrurozi on aspect OHS and Environment, to get code PRSPO-OHS and PRSPO-EMS.

2.3 Assessment Plan

The Assessment plan was sent to the client prior to the assessment (attached assessment plan).

Date	Time	Subjects	EP	IF	YWR
			PRSP LA/ OHS/ EMS	PRSP - OHS/ EMS/ SA	PRSP - OHS/ EMS/ SA
Saturday, 25/01/2020	08.00-08.30	Opening Meeting - Presentation by client - Presentation by BSI team (Objective, scope, audit plan, etc.)	√	√	√
	08.30-12.00	Document Review: The requirements of the Group Manager and individual Group Members to demonstrate compliance with the RSPO Management System Requirements and Guidance for Group Certification of FFB Production, March 2018: Legal, manual, policy and procedure, HCV and SEIA documents, OHS, working safety, operational plan, Best Practices, IPM, Training record, social, continuous improvement, etc. The requirements of the Group Manager including the traceability.	√	√	√
	12.00-14.00	Break	√	√	√
		End of day 1			
Sunday, 26/01/2020		Break onsite	√	√	√
Monday, 27/01/2020	08.00-12.00	Field Visit: Inspection to Independent smallholders plot (Best practices, Occupational health and safety, worker welfare, HCV, environment, interview with workers, etc) each auditor for 2 sampled individual members	√	√	√
		Field Visit: Warehouse, chemical store, interview with spraying team		√	
		Stakeholder Consultation: Visit and interview with government offices in Kabupaten Labuhanbatu Selatan and local NGO (if any). Labour Agency (Disnakertrans) of Labuhanbatu Selatan Regency. National Land Agency (Kantor Pertanahan) of Labuhanbatu Selatan Regency. Plantation Agency (Disbun) of Labuhanbatu Selatan Regency. Previous Land Owner	-	-	√
	12.00-14.00	Break	√	√	√
	14.00-17.00	Document Review: The requirements of the Group Manager and individual Group Members to demonstrate compliance with the RSPO Management System Requirements and Guidance for Group Certification of FFB Production, March 2018:	√	√	√

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		Legal, manual, policy and procedure, HCV and SEIA documents, OHS, working safety, operational plan, Best Practices, IPM, Training record, social, continuous improvement, etc. The requirements of the Group Manager including the traceability.			
Tuesday, 28/01/2020	08.00-12.00	Document Review: The requirements of the Group Manager and individual Group Members to demonstrate compliance with the RSPO Management System Requirements and Guidance for Group Certification of FFB Production, March 2018: Legal, manual, policy and procedure, HCV and SEIA documents, OHS, working safety, operational plan, Best Practices, IPM, Training record, social, continuous improvement, etc. The requirements of the Group Manager including the traceability.	√	√	√
	12.00-14.00	Break	√	√	√
	14.00-15.00	Report Preparation	√	√	√
	15.00-16.00	Auditor Discussion			
	16.00-17.00	Closing Meeting	√	√	√

Section 3: Assessment Findings

3.1 Normative requirement applied for this assessment:

- SIPEF GROUP Time Bound Plan
- RSPO Group Certification Standard 2016

3.2 Time Bound Plan progress for multiple management units

Time Bound Plan		
Requirement	Remarks	Compliance
Does the plan include all current subsidiaries, estates and mills that is under the control of the holding company?	PT Agro Muko – Mukomuko Palm Oil Mill is a subsidiary of SIPEF Group. SIPEF Group has disclose all of its companies, mills and estates. The timebound plan including un-certified units/companies.	Yes
Have all the estates and mills certified within five years after obtaining RSPO membership?	No. Not all the estates and mills certified within five years after obtaining RSPO membership. New estates and mills are under progress to be RSPO certified after RSPO NPP carried out in 2014.	Yes
Have there been any new acquisitions? If yes, the new acquisitions shall be certified within three-year from the date of acquisition. Certification plan for the new acquisition shall be available.	The latest acquisition noted for PT. Asri Rimba Wirabhakti in Bengkulu, announced end of 2018. Certification plan have been prepared, awaiting for RSPO LUC, RSPO RACP and RSPO NPP.	Yes
Have there been any changes to the time-bound plan since the last audit (both new acquisition and existing)? If yes, justification is required. Is this consistent with the ACOP reporting?	Yes, there is changes from the last audit to include PT. Asri Rimba into timebound plan. Waiting for HCV ALS review, LUC review for preparation into RSPO NPP.	Yes
Have there been any isolated lapses in implementation of the plan? If yes a Minor non-compliance shall be raised	No isolated lapse. SIPEF is able to demonstrate adequate evidence related to changes in implementation of the plan.	Yes
Have there been any fundamental failure (e.g. unable to justify delay in planning the assessments) to proceed with implementation of the plan? If yes a Major non-compliance shall be raised	The delay of not able to certify all the estate within the 5 years period from the day of RSPO membership is accepted by the assessment team.	Yes
Un-Certified Units or Holdings		
No replacement after dates defined in NIs Criterion 7.3: <ul style="list-style-type: none"> • Primary forest. • Any area required to maintain or enhance HCVs in accordance with RSPO P&C criterion 7.3. 	Assessment team checked to confirm any land conflict/liabilities on RaCP tracker and found note "The compensation plans for PT. Umbul Mas Wisesa and PT. Toton Usaha Mandiri (SIPEF) have been approved by the Compensation Task Force during the staged	Yes

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	implementation of the RaCP between May 2014 and November 2015”.	
Any new plantings since January 1 st 2010 shall comply with the RSPO New Plantings Procedure.	All new planting after January 1 st , 2010 have undergone and complies with RSPO New Planting Procedure.	Yes
<p>Any Land conflicts are being resolved through a mutually agreed process, such as RSPO Complaints System or Dispute Settlement Facility, in accordance with RSPO P&C criteria 2.2, 6.4, 7.5 and 7.6.</p> <p>The RSPO RaCP tracker shall be checked to confirm for any land conflicts/Liabilities https://www.rspo.org/certification/remediation-and-compensation/racp-tracker. The progress on the Liabilities shall be verified and reported.</p>	<p>The assessment team has conducted a search in internet to confirm that there is a lodged land conflict that was recorded as complaint under RSPO Case Tracker; raised by individual on those units that have not been certified.</p> <p>RSPO Case Tracker recorded complaint to PT. Agro Muara Rupit, dated 17 May 2017. The complainant brought forward the issue of fraudulent land title to RSPO. The complainant claimed that his land was fraudulently sold by his cousin to PT. Agro Muara Rupit, a subsidiary of SIPEF Group. The summary presented in the RSPO Case Tracker:</p> <p>On 25 July 2017 - Secretariat to write to the company and inform them on the complaint.</p> <p>On 24 August 2017 (CP Meeting) - Secretariat to wait for reply from the company.</p> <p>On 28 August 2017 - Secretariat received response from the company.</p> <p>On 5 September 2017 - Complainant failed to provide the document.</p> <p>On 11 September 2017 - Secretariat has sent an email to SIPEF.</p> <p>On 26 September 2017 (CP Meeting) - Secretariat to draft the decision letter.</p> <p>On 18 June 2018 – Complaint Panel to deliver a decision.</p> <p>On 25 July 2018 – Complaint Panel to deliver a decision.</p> <p>On 23 August 2018 – Draft decision letter to be reformatted.</p> <p>On 19 September 2018 – Decision Letter – Complaints Panel.</p> <p>On 26 September 2018 – The decision letter finalised and to be delivered to Parties.</p> <p>On 24 October 2018 – Complaint Panel Decision letter has been sent to parties. Deadline for submission of appeals is on 20 December 2018.</p> <p>On 20 December 2018 – The complaint is officially closed.</p>	Yes

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	The case tracker available on link https://askrspo.force.com/Complaint/s/case/5090000028Es1JAAS/detail	
Any Labor disputes are being resolved through a mutually agreed process, in accordance with RSPO P&C criterion 6.3.	No labor dispute noted. The assessment team has conducted a search in internet to confirm that there is no new comments or dispute raised by the communities on those units that have not been certified.	Yes
Any Legal non- compliance is being addressed through measures consistent with the requirements of RSPO P&C criteria 2.1	No legal non-compliance noted. The assessment team has conducted a search in internet to confirm that there is not new comments or dispute raised by the communities on those units that have not been certified.	Yes
Did the company conduct internal audit against the uncertified management units requirement? If yes, a positive assurance statement shall be available.	The internal audit against the uncertified management units requirement has been conducted for all uncertified units: <ul style="list-style-type: none"> • PT. Agro Rawas Ulu was conducted on 20-21 March 2019 – including assessment against criterion 2.1; 2.2; 2.3; 6.3; 6.4; 7.3; 7.5; 7.6; • PT. Agro Kati Lama was conducted on 4-6 March 2019 assessing criterion 2.1; 2.2; 2.3; 6.3; 6.4; 7.3; 7.5; 7.6; • PT. Agro Muara Rupit was conducted on 18-20 March 2019 – including assessment against criterion 2.1; 2.2; 2.3; 6.3; 6.4; 7.3; 7.5; 7.6; Each Management Unit has provide correction and corrective action to ensure all RSPO P&C and partial certification requirements are implemented.	Yes
Have there been any stakeholder (including NGO) consultation conducted?	Yes. Stakeholder comments are noted. The assessment team has conducted a search in internet to confirm that there is a comment that was recorded as complaint under RSPO Case Tracker; raised by the individual on those units that have not been certified. RSPO Case Tracker recorded complaint to PT. Agro Muara Rupit, dated 17 May 2017. The complainant brought forward the issue of fraudulent land title to RSPO. The complainant claimed that his land was fraudulently sold by his cousin to PT. Agro Muara Rupit, a subsidiary of SIPEF Group. The summary presented in the RSPO Case Tracker: On 25 July 2017 - Secretariat to write to the company and inform them on the complaint.	Yes

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	<p>On 24 August 2017 (CP Meeting) - Secretariat to wait for reply from the company.</p> <p>On 28 August 2017 - Secretariat received response from the company.</p> <p>On 5 September 2017 - Complainant failed to provide the document.</p> <p>On 11 September 2017 - Secretariat has sent an email to SIPEF.</p> <p>On 26 September 2017 (CP Meeting) - Secretariat to draft the decision letter.</p> <p>On 18 June 2018 – Complaint Panel to deliver a decision.</p> <p>On 25 July 2018 – Complaint Panel to deliver a decision.</p> <p>On 23 August 2018 – Draft decision letter to be reformatted.</p> <p>On 19 September 2018 – Decision Letter – Complaints Panel.</p> <p>On 26 September 2018 – The decision letter finalised and to be delivered to Parties.</p> <p>On 24 October 2018 – Complaint Panel Decision letter has been sent to parties. Deadline for submission of appeals is on 20 December 2018.</p> <p>On 20 December 2018 – The complaint is officially closed.</p> <p>The case tracker available on link https://askrspo.force.com/Complaint/s/case/5090000028Es1JAAS/detail</p>	
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3.3 Progress of scheme smallholders and/or outgrowers

Progress of scheme smallholders or outgrowers towards compliance with relevant standards		
Requirement	Remarks	Compliance
<p>Has 100% of scheme smallholders and/or scheme outgrowers comply with the standard within three years of the mill's initial certification?</p> <p>OFI shall be raised if after one year where 100% of the scheme smallholders and scheme outgrowers are not in compliance, a minor NC after two years, and a major NC if this requirement is not met after three years.</p>	<p>The Koperasi Serba Usaha Suka Makmur is the cooperative/independent smallholder guided by PT. Umbul Mas Wisesa from SIPEF Group to be independent smallholder.</p>	<p>Comply</p>

3.4 Details of findings

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

During the Annual Surveillance Assessment 1 (ASA 1) there were one (1) Minor nonconformities raised. Koperasi Serba Usaha Suka Makmur 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. Below is the summary of the non-conformity raised during this assessment.

Non-conformity			
NCR Ref #	1872275-202001-N1	Clause & Category (Major / Minor)	RSPO Management System Requirements and Guidance for RSPO Group Certification of FFB Production, March 2016 indicator 4.6.10 (minor)
Date Issued	28 January 2020	Due Date	Next ASA
Closed (Yes / No)	No	Date of nonconformity Closure	Next ASA
Statement of Nonconformity:	KSU Suka Makmur produced hazardous waste from pesticide and herbicide spraying. However, not sufficient evidence disposal to licensed hazardous waste storage in 2019.		
Requirement Reference:	RSPO Management System Requirements and Guidance for RSPO Group Certification of FFB Production, March 2016 indicator 4.6.10 (minor): Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated (see Criterion 5.3).		
Objective Evidence:	KSU Suka Makmur produced hazardous waste from pesticide and herbicide spraying. However, not sufficient evidence disposal to licensed hazardous waste storage in 2019. No minutes of handover and no monitoring report for hazardous waste being transferred to licensed hazardous waste storage in 2019.		
Corrections:	KSU Suka Makmur has handed over all hazardous waste in the temporary hazardous waste storage owned by KSU Suka Makmur resulted from pesticide and herbicide spraying activities to the Licensed hazardous Waste Storage on Thursday 30 January 2020 (Minutes of Handover no.002/KSUSM-PT.UMW/I/2020).		
Root Cause Analysis:	- KSU Suka Makmur does not yet have a licensed temporary hazardous waste storage because KSU Suka Makmur is not yet financially capable for the construction and management of temporary hazardous waste storage licenses.		

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	- There are still administrative obstacles to deliver hazardous waste produced by KSU Suka Makmur to the licensed temporary hazardous waste storage.
Corrective Actions:	KSU Suka Makmur will deliver hazardous waste from the hazardous waste storage in KSU Suka Makmur that resulted from pesticide and herbicide spraying activities to licensed hazardous waste storage on a periodical basis. PIC: KSU Group Manager
Assessment Conclusion:	Audit team has reviewed and accepted the corrective action plan prepared by the Unit of Certification. The effectiveness of corrective actions will be verified during next surveillance assessment.

Opportunity for Improvements	
OFI #	Description
OFI 1	Nil

Positive Findings	
PF #	Description
PF 1	Good hospitality during audit at KSU Suka Makmur.

3.4.1 Status of Nonconformities Previously Identified and Observations

Non-conformity			
NCR Ref #	1758778-201901-M1	Clause & Category (Major / Minor)	RSPO Management System Requirements and Guidance for RSPO Group Certification of FFB Production, March 2018 Indicator 2.1.1 (Major)
Closed (Yes / No)	Yes	Date of nonconformity Closure	1 April 2019
Statement of Nonconformity:	Group manager Koperasi Serba Usaha Suka Makmur has not demonstrate evidence of training on legal requirements such as record or handout/printed material/softcopy.		
Requirement Reference:	2.1.1 Evidence of compliance with relevant legal requirements shall be available. Requirement for Individual Member with up to 50ha of plantation size: Fulfil the requirements laid out by the Group Manager, such as attending relevant training, filling in the checklist/tools provided to guarantee legal compliance.		

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	Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.
Objective Evidence:	Group manager Koperasi Serba Usaha Suka Makmur maintain and update list of relevant laws and regulation "Daftar Peraturan Perundangan Indonesia yang Berkaitan dengan Prinsip & Kriteria RSPO 2013": 12 Undang-undang, 8 Peraturan Pemerintah, 19 Peraturan Menteri – January 2019. However, group manager Koperasi Serba Usaha Suka Makmur has not demonstrate evidence of training on legal requirements such as record or handout/printed material/softcopy.
Corrective Actions:	Group Manager will maintain and update list of relevant laws and regulation and immediately provide information to cooperative members if there any changes of laws and regulations.
Assessment Conclusion:	During this 1 st Annual Surveillance Assessment, it was confirmed that Group Manager Koperasi Serba Usaha Suka Makmur, received assistance from PT. Umbul Mas Wisesa to review and evaluate all relevant laws and regulation. The evaluation covers 248 types of regulation, including but not limited to "Peraturan Menteri Pertanian No.98 tahun 2013 tentang Pedoman Perizinan Usaha Perkebunan" – guidance for plantation permit; and "Peraturan Menteri Lingkungan Hidup No.16 tahun 2012 tentang Pedoman Penyusunan Dokumen Lingkungan Hidup" – guide to prepare environmental document. Dissemination on evaluation of compliance with relevant legal requirements has been conducted to all individual members on 9-11 December 2019. Filling the checklist to guarantee legal compliance also implemented during Internal audit for members. i.e: Internal audit report dated 8 Oct 2019 to member Mr. Marlan; Mr. Girsang; Mr. Arianto; Mr. Lusiono Handoko and Mr. Sido. All relevant license and legal compliance are maintained at KSU Suka Makmur office. Audit team concluded that Major NC is remain closed.

Opportunity for Improvement	
OFI#	Description
OFI 1	Nil

3.4.2 Summary of the Nonconformities and Status

CAR Ref.	Category (Major / Minor)	P&C Indicator	Issued Date	Status & Date (Closure)
1758778-201901-M1	Major	2.1.1	01/03/2019	Closed on 1 April 2019
1872275-202001-N1	Minor	4.6.10	28/01/2020	Open

3.5 Stakeholders consultation

Stakeholder consultation involved internal and external stakeholders. External stakeholders were contacted by telephone to arrange meetings at a location convenient to them to discuss Koperasi Serba Usaha – Suka Makmur Certification Unit’s environmental and social performance, legal and any known dispute issues.

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. Any comment which is not complying to the RSPO P&C requirements have been incorporated as an assessment finding.

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 below.


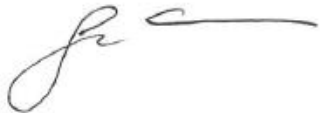
	Stakeholders comment
1	<p>Feedbacks: Bidang Pengawasan, Dinas Perkebunan dan Peternakan Kab. Labuhan Batu Selatan (Plantation Agency of Labuhanbatu Selatan Regency).</p> <ul style="list-style-type: none"> - Surat Tanda Daftar Budidaya (STDB) - Cultivation Registration Certificate for farmer members of KSU Suka Makmur is in the process of a One Stop Integrated Licensing Office. This is under the supervision of the Field of Plantation Business Development, Plantation and Livestock Services. - During 2019, no information came into the Office of Plantations regarding land disputes on KSU Suka Makmur's independent smallholders' land. - The existence of KSU Suka Makmur as independent smallholders is a form of partnership between PT. Umbul Mas Wisesa and has been reported in the Plantation Business Activity/Development Report (LKUP/LPUP). <p>Management Responses:</p> <ul style="list-style-type: none"> - KSU Suka Makmur has arranged the STDB to the Investment Office and One-Stop Licensing Services of Labuhanbatu Selatan Regency, North Sumatra vervally (asking directly to the relevant Officers). For further action KSU SM will immediately send a written request for Issuance of Cultivation Certificate (STDB) for each member of the KSU Suka Makmur area to the One Stop Investment and Licensing Services Office of Labuhanbatu Selatan Regency, North Sumatra. - In line with the information received, during 2019 there was no land dispute in the Koperasi Serba Usaha Suka Makmur. - PT Umbul Mas Wisesa through UMW POM has reported PT UMW’s partnership/smallholder plantation in the Plantation Business Development Report (LKUP/LPUP) for 2nd Semester 2019 to the Labuhanbatu Selatan Regency Forestry and Plantation Service with letter number: 002/ UMWM-EKS/I/2020 dated 16 January 2020 and the report has been received by the official (Ms. Ermikasari) on 16 January 2020. <p>Audit Team Findings:</p> <ul style="list-style-type: none"> - Audit Team acknowledge the positive comment given by the Plantation Agency of Labuhanbatu Selatan Regency. - Audit Team will verify the issuance of STDB during next surveillance assessment.
2	<p>Feedbacks: Bidang Pengawasan, Pengendalian dan Pencemaran, Dinas Lingkungan Hidup Kab. Labuhan Batu Selatan (Environmental Agency of Labuhan Batu Selatan Regency).</p>

	<ul style="list-style-type: none"> - Koperasi Serba Usaha Suka Makmur already has a Surat Pernyataan Pengelolaan Lingkungan (SPPL) - Environmental Management Statement on behalf of the Cooperative. - No environmental issues occurred during 2019 in the KSU Suka Makmur. <p>Management Responses:</p> <ul style="list-style-type: none"> - Koperasi Serba Usaha Suka Makmur has made a Surat Pernyataan Kesanggupan Pengelolaan Dan Pemantauan Lingkungan Hidup - Statement of Capability for Environmental Management and Monitoring on behalf of Lusiono Handoko (Chairperson of the Cooperative) and has been received by the Labuhanbatu Selatan Regency Environmental Office on 10 May 2017. - Koperasi Serba Usaha Suka Makmur has sent an application for evaluation of KSU Suka Makmur Environmental Management Capability (SPPL) to the Labuhanbatu Selatan Regency Environmental Service with Letter Number: 002/KUSM-KDLH/I/2019 dated 14 January 2019 and has been received by officers Labuhanbatu Selatan Regency Environmental Agency (Mrs. Iswatul Karimah). - Koperasi Serba Usaha Suka Makmur has reported the SPPL implementation of KSU Suka Makmur on 12 January 2020 and received on 14 January 2020. - During 2019, there were no environmental issues related to the operation of the Koperasi Serba Usaha Suka Makmur. <p>Audit Team Findings:</p> <ul style="list-style-type: none"> - Audit Team acknowledge the positive comment given by the Environmental Agency of Labuhanbatu Selatan Regency.
<p>3</p>	<p>Feedbacks: Pengurus Koperasi Serba Usaha Suka Makmur</p> <ul style="list-style-type: none"> - Koperasi Serba Usaha Suka Makmur has been assisted by PT Umbul Mas Wisesa, since 2014 in terms of best management practices for oil palm plantation, fertilizer provision, organization development, road maintenance, etc. - Koperasi Serba Usaha Suka Makmur received technical guidance related to the group management and RSPO P&C requirements. - There was no land dispute between cooperative members and other parties. - All cooperation between company and Koperasi Serba Usaha Suka Makmur has been regulated under signed agreement. <p>Management Responses: PT Umbul Mas Wisesa and Group Manager will continue to assist Koperasi Serba Usaha Suka Makmur for information of best management practices of palm oil plantation and road maintenance.</p> <p>Audit Team Findings: Positive comments, no need further comment.</p>
<p>4</p>	<p>Feedbacks: Village Head (Tanjung Mulia Village)</p> <ul style="list-style-type: none"> - The land of Koperasi Serba Usaha Suka Makmur was originated from expired "izin lokasi" (location permit) under PT MAS, which then returned to the government. By the village authority, as acknowledged by government, the land being distributed to community. The community holds valid legal ownership of the land, in form of "Surat Keterangan Tanah/SKT" and/or "Sertifikat Hak Milik/SHM". - Cooperative – "Koperasi Serba Usaha Suka Makmur" have all relevant legal documents, such as "Akta Pendirian" – deed of establishment; "Anggaran Dasar/Anggaran Rumah Tangga" – organization statute; "Surat Izin Usaha Perdagangan" – Trade permit; "Sertifikat Hak Milik/SHM – land title. - Koperasi Serba Usaha Suka Makmur received assistance from PT Umbul Mas Wisesa to implement RSPO. - The commitment from Group Manager was good. - Communication with Group Manager and cooperative member with Tanjung Mulia Village is good. - There was no land dispute between cooperative members and other parties.

	<p>- Koperasi Serba Usaha Suka Makmur has helped village in road maintenance, open business opportunity and absorp workforce.</p>
	<p>Management Responses: PT Umbul Mas Wisesa and Group Manager of Koperasi Serba Usaha Suka Makmur will keep a good communication with the community leader.</p>
	<p>Audit Team Findings: Positive comments, no need further comment.</p>

3.6 Impartiality and conflict of interest

During this assessment there was no circumstances or pressure that had influenced the independence or confidentiality of the assessment team.

Formal Signing-off of Assessment Conclusion and Recommendation	
<p>The audit objectives have been achieved and the certificate scope remains appropriate. Based on the results of this audit, it is concluded that Koperasi Serba Usaha Suka Makmur has complied with the RSPO Management System Requirements and Guidance for Group Certification of FFB Production, March 2016 and audit criteria identified within the audit report. It is deemed that the management system continues to achieve its intended outcomes. Therefore, it is recommended that the certification of Koperasi Serba Usaha Suka Makmur is continued.</p>	
Report prepared by	Acceptance of Assessment Conclusion
Name: Eko Purwanto	Name: Mr. Sander Van den Ende
Company Name: on behalf of BSI Services Malaysia Sdn Bhd	Company Name: Koperasi Serba Usaha Suka Makmur
Title: Lead Assessor	Title: Regional Director Sustainability SIPEF Group
Signature: 	Signature: <p><i>(I the undersigned, being the most senior relevant management representative of the operation seeking or holding certification, agree with the contents of this report and accept the liability in execution of the procedure in the report.)</i></p> 
Date: 12 February 2020	Date: <u>13/02/2020</u>

Appendix A: Summary of Findings

Section A-1- Group Managers

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

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		<p>KSU Suka Makmur have latest organization structure "Struktur Organisasi Manager Kelompok KSU Suka Makmur" dated 18 October 2018. Mr. Lusiono Handoko is the group manager; Mr.Zulhamri is the group secretary; Mr.Suratno and Arihan as FFB Marketing Unit; Mr.Tusiwan and Marlan as Fire fighting; Mr.Surya Fadli as RSPO documentation; Mr.Khairul and Suratno as OHS officer; Mr. Sumardi and Irwan Harahap as Conservation Officer.</p> <p>Mr. Lusiono Handoko as Group Manager based on "Surat Keputusan Koperasi Serba Usaha Suka Makmur No.024/SKPTS/KSU-SM/X/2018" dated 18 October 2018. Mr. Zulhamri as Group Secretary – "Sekretaris Kelompok" based on "Surat Keputusan Manager Kelompok Koperasi Serba Usaha Suka Makmur No.016/SKPTS/KSU-SM/XI/2017" by Group Manager dated 20 November 2017;</p> <p>Mr. Suratno and Arihan Damanik as FFB Marketing Unit – "Unit Pemasaran Buah" as per "Surat Keputusan Manager Kelompok Koperasi Serba Usaha Suka Makmur No.017/SKPTS/KSU-SM/XI/2017 tentang Penunjukan Unit Pemasaran Buah" signed by Group Manager on 20 November 2017;</p> <p>Team Agronomy General Manager Office North Sumatera SIPEF Group as Training Unit –"Unit Pelatihan/Penyuluhan" as per "Surat Keputusan Manager Kelompok Koperasi Serba Usaha Suka Makmur No.018/SKPTS/KSU-SM/XI/2017 tentang Penunjukan Unit Pelatihan/Penyuluhan" signed by Group Manager on 20 November 2017;</p> <p>Mr. Sumardi and Irwan Harahap as Conservation Unit – "Petugas Konservasi" as per "Surat Keputusan Manager Kelompok Koperasi Serba Usaha Suka Makmur No.019/SKPTS/KSU-SM/XI/2017 tentang Penunjukan Petugas Konservasi" signed by Group Manager on 20 November 2017;</p> <p>Mr. Tusiwan and Marlan as Fire Emergency Unit – "Unit Darurat Kebakaran" as per "Surat Keputusan Manager Kelompok Koperasi Serba Usaha Suka Makmur No.020/SKPTS/KSU-SM/XI/2017 tentang Penunjukan Unit Darurat Kebakaran" signed by Group Manager on 20 November 2017;</p> <p>Mr. Surya Fadli as Document Control – "Dokumen Kontrol" as per "Surat Keputusan Manager Kelompok Koperasi Serba Usaha Suka Makmur No.021/SKPTS/KSU-SM/XI/2017 tentang Penunjukan Unit Dokumen Kontrol RSPO" signed by Group Manager on 20 November 2017;</p> <p>Mr. Efri Paryanto, M. Furqan Nasution, Johny S, and Mrs. Widiarni S. as Internal Control – "Pengawas Internal RSPO" as per "Surat Keputusan Manager Kelompok Koperasi Serba Usaha Suka Makmur No.025/SKPTS/KSU-SM/XI/2018 tentang Penunjukan Pengawas Internal RSPO" signed by Group Manager on 1 November 2018;</p> <p>Mr. Khairul and Suratno as Health and Safety Officer – Petugas K3 based on "Surat Keputusan Manager Kelompok Koperasi Serba Usaha Suka Makmur No.023/SKPTS/KSU-SM/XI/2017 tentang Penunjukan Petugas K3" dated 20 November 2017;</p>	
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		<p>along with the job description.</p> <p><u>Have appointed Group Manager:</u> Koperasi Serba Usaha Suka Makmur appointed Mr. Lusiono Handoko, as the Group Manager, as per "Surat Keputusan Ketua Koperasi Serba Usaha Suka Makmur No.024/SKPTS/KSU-SM/X/2018 tentang Penunjukan Manager Kelompok", dated 18 October 2018.</p>	
E1.1.2	<p>The Group Entity shall have documented membership requirements for the participation of individual members in the Group which will also cover new membership.</p> <ul style="list-style-type: none"> • There shall be documentary evidence that the Group members have formally joined the Group. • Formal members of the Group shall sign an agreement with the Group Manager committing to achieving compliance with the applicable RSPO standards and requirements. • The Group Manager shall keep copies of the agreements and shall demonstrate that each member has received a copy thereof. • The Group Manager shall retain copies for a minimum of 5 years. 	<p>The group manager has a prepared and update document called "Pedoman Kerja Koperasi Serba Usaha Suka Makmur Aturan Kepesertaan Anggota dalam Skema Sertifikasi Kelompok RSPO No.KSU-SM/PK/018" dated January 2018, lines out the requirement for the participation of individual member in the group.</p> <p>Section 3.1 "Penerimaan Anggota/Calon Anggota" – acceptance of member/potential member; Section 3.2 "Hak dan Kewajiban Anggota Skema Sertifikasi RSPO" – Right and obligation of member; Section 3.3 "Pemberhentian Anggota Skema Sertifikasi RSPO" – Exclusion from group; Section 3.4 "Pengunduran Diri Menjadi Anggota Kepesertaan Sertifikasi Kelompok RSPO" – Resignation from group;</p> <p>Form/record seen:</p> <ul style="list-style-type: none"> - Application form – "Permohonan menjadi Anggota Koperasi"; - Agreement to join RSPO certification – "Surat Pernyataan Kesediaan Ikut Sertifikasi RSPO"; <p>Each member sampled signed an agreement "Surat Pernyataan Kesediaan Mengikuti Program Sertifikasi RSPO", for Mr.Marlan, dated 11 August 2016; Mr.Parasian Lumbanbatu dated 27 August 2016, Mr.DTM Ridwan dated 3 August 2016, Mr.Ahmad Zainuddin dated 4 August 2016, Mr.Sardi dated 7 August 2016, Mr. Sumardi dated 19 August 2016;</p>	Comply
E1.1.3	<p>The Group Manager shall keep evidence that the nature and structure of the group has been communicated to all members of the Group in an appropriate manner.</p>	<p>KSU Suka Makmur's latest Organization Structure have been communicated to all members on 20 December 2018. The meeting attended by 24 members: Mr. Lusiono Handoko, Mr. Marlan, Mr. Viktor H Girsang, Mr. Tusiwan, Mr. Santo, Mr. Sumardi, Mr. Sido, Mr.Sardi, Mrs. Tanti Wahyuni, Mr. DTM Ridwan, Mr. Ari Panji Suliarto, Mr. Taslim, Mr. M Hidayat, Mr. Mustomo, Mr. Parasian LB.</p> <p><u> Holds RSPO Membership:</u> KSU Suka Makmur was registered as part of SIPEF Group, RSPO membership No. 1-0021-05-000-00 since 7 December 2005. This has been declared in the Annual Communication of Progress (ACoP).</p> <p><u> Document outlining the Organization Structure and Function:</u> <u> Group Manager:</u> Koperasi Serba Usaha Suka Makmur appointed Mr. Lusiono Handoko, as the Group Manager, as per "Surat</p>	Comply

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		<p>Keputusan Ketua Koperasi Serba Usaha Suka Makmur No.024/SKPTS/KSU-SM/X/2018 tentang Penunjukan Manager Kelompok”, dated 18 October 2018.</p> <p>KSU Suka Makmur have latest organization structure “Struktur Organisasi Manager Kelompok KSU Suka Makmur” dated 18 October 2018. Mr. Lusiono Handoko is the group manager; Mr.Zulhamri is the group secretary; Mr.Suratno and Arihan as FFB Marketing Unit; Mr.Tusiwan and Marlan as Fire fighting; Mr.Surya Fadli as RSPO documentation; Mr.Khairul and Suratno as OHS officer; Mr. Sumardi and Irwan Harahap as Conservation Officer.</p> <p><u>Membership documents:</u> Each member sampled signed an agreement “Surat Pernyataan Kesediaan Mengikuti Program Sertifikasi RSPO”, for Mr.Marlan, dated 11 August 2016; Mr.Parasian Lumbanbatu dated 27 August 2016, Mr.DTM Ridwan dated 3 August 2016, Mr.Ahmad Zainuddin dated 4 August 2016, Mr.Sardi dated 7 August 2016, Mr. Sumardi dated 19 August 2016;</p>	
E1.2 The Group shall be managed by a Group Manager			
<p>E1.2.1</p>	<p>The appointed Group Manager shall be either an identified legal entity or an individual acting on behalf of the legal entity, i.e. the Group Entity (E1.1.1).</p> <p>The Group Manager shall ensure the Group’s compliance with this standard and is responsible for the preparation and implementation of the Internal Control System (ICS).</p> <p>If the Group Manager is not an individual but an entity:</p> <ul style="list-style-type: none"> • then the entity shall appoint an individual as management representative • and there shall be a description of the general structure detailing the positions and responsibilities of all personnel involved. 	<p>Koperasi Serba Usaha Suka Makmur appointed Mr. Lusiono Handoko, as the Group Manager, as per “Surat Keputusan Ketua Koperasi Serba Usaha Suka Makmur No.024/SKPTS/KSU-SM/X/2018 tentang Penunjukan Manager Kelompok”, dated 18 October 2018.</p> <p>Koperasi Serba Usaha Suka Makmur’s Group Manager has assembled the group manager organization structure, comprise of cooperative’s personnel and assisted PT. Umbul Mas Wisesa staff. The group management structure consist of Group Manager, Group Secretary, FFB Marketing Unit, Training Unit, Conservation Unit, Fire Emergency Unit, Document Control, Internal Control, Health and Safety Officer – along with the job description.</p> <p>Group manager have appointed internal control team: Mr. Efri Paryanto, M. Furqan Nasution, Johny S, and Mrs. Widiarni S. as Internal Control – “Pengawas Internal RSPO” as per “Surat Keputusan Manager Kelompok Koperasi Serba Usaha Suka Makmur No.025/SKPTS/KSU-SM/XI/2018 tentang Penunjukan Pengawas Internal RSPO” signed by Group Manager on 1 November 2018;</p>	<p>Comply</p>
<p>E1.2.2</p>	<p>The Group Manager shall be able to demonstrate sufficient resources and capacity for managing Group Certification and performance assessment against this Standard.</p>	<p>Group manager has defined their capacity of managing the group member.</p> <p>The SWOT Analysis available under “Analisa Resiko dan Sistem Pengendalian Internal” dated 20 October 2017. The risk analysis covers the smallholder member’s hectare variance, geographic location, organization structure, management skill and RSPO standard knowledge.</p>	<p>Comply</p>

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		Risk	Analysis	Rate	Supporting document	
		Smallholder's hectarage	The smallholder hectarage is not different. Current control: -	2 middle	Land certificate; Measurement result; Inspection result; "Buku Catatan Petani"; Visit report	
		Geographic location	Smallholder located in one location; The land expansion plan and replanting; Current control: BMP Procedure; HCV Assessment; Social Impact Assessment;	2 middle		
		Organization structure; Management skill; Knowledge level;	Organization structure established with limited knowledge; Smallholder member committed for RSPO certification; BMP level is low; Current control: Appointement group manager; Prepare SOP and program; Supervision assisted by PT. Umbul Mas Wisesa	1 low		
		The assessment documented under "Analisa Rencana Anggota Skema Sertifikasi RSPO Koperasi Serba Usaha Suka Makmur (KSU-SM). The assessment using SWOT analysis, taking into consideration all aspect and resources (human resources, knowledge, financial resources, etc.). From the assessment, the capacity of current group manager is able to manage 50 members.				
E1.2.3	<p>The Group Manager and / or their personnel shall be able to demonstrate competence and knowledge of:</p> <ul style="list-style-type: none"> Principles and Criteria for the Production of Sustainable Palm Oil 2013 Endorsed by the RSPO Executive Board and Accepted at the Extraordinary General Assembly by RSPO Members on April 25th 2013 RSPO Management System Requirements and Guidance for 	<p>The group manager and its personnel has the competence and knowledge of Principles and Criteria for the Production of Sustainable Palm Oil 2013. One of the internal monitoring team Mr. Efri Paryanto has received training on RSPO-endorsed lead auditor training "Pelatihan Lead Auditor Sertifikasi RSPO" by "Komisi Minyak Sawit Indonesia" and "Komisi Akreditasi Nasional", Certificate No.274/SERT-LA-KMSI/08/2009, dated 28 August 2009.</p> <p>Group manager received support from PT. Umbul Mas Wisesa's management with the knowledge on RSPO Principle and Criteria, 2013 – Indonesia National Interpretation September 2016; RSPO Supply Chain Certification Standard, June 2017 and RSPO Supply Chain Certification System, June 2017; RSPO</p>			Comply	

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	<p>Group Certification of FFB Production – March 2016 [this standard].</p> <ul style="list-style-type: none"> • RSPO Supply Chain Certification Standard Final Document: As approved by RSPO Executive Board 21 November 2014 • Internal group procedures and policies. 	<p>Management System Requirements and Guidance for Group Certification of FFB Production, March 2018.</p> <p>Group Manager participated in training for standard RSPO Management System Requirements and Guidance for Group Certification of FFB Production, March 2018, on 16 December 2019 (attended by 16 member and committee).</p>	
<p>E1.2.4</p>	<p>The Group Manager shall provide potential and existing Group members with the following:</p> <ul style="list-style-type: none"> • An explanation of the RSPO certification process. • An explanation of the criteria for group membership. • An explanation as to the Group Manager’s needs and the rights of the certification body to access the group members' documentation and plantations for the purposes of evaluation and monitoring. • An explanation of the certification bodies and RSPO requirements with respect to public information. • An explanation of any obligations with respect to group membership, such as: <ul style="list-style-type: none"> ○ Maintenance of information for monitoring purposes; ○ Requirement to conform to conditions or corrective actions issued by the certification body. ○ Explanation of any costs associated with group membership. ○ Other obligations of group membership. 	<p>Group Manager has provide numerous explanation on RSPO P&C, RSPO Supply Chain Standard, RSPO Group Certification Standard and the RSPO certification process. Socialization seen on: “Notulen Pelatihan Prinsip dan Kriteria RSPO dan Pengelolaan Limbah B3” – Training on RSPO P&C and Hazardous Waste dated 18 April 2017, for Mr.Lusiono Handoko, Mr.DTM Ridwan, Mr.Intoha, Mr.Edi Hariyanto, Mr.VH Girsang, Mr.Sardi, Mrs.Tanti Wahyuni, Mr.Marlan, Mrs.Masnani Nasution, Mr.Sido, Mr.Ari Panji S, Mr.Tusiwan.</p> <p>Explanation of the criteria for group membership: The group manager has prepared and update document called “Pedoman Kerja Koperasi Serba Usaha Suka Makmur Aturan Kepesertaan Anggota dalam Skema Sertifikasi Kelompok RSPO No.KSU-SM/PK/018” dated January 2018, lines out the criteria for group membership: Section 3.1 “Penerimaan Anggota/Calon Anggota” – acceptance of member/potential member. It is also indicating the criteria: become KSU-Suka Makmur member, signed application form, signed the membership agreement, have legal right of the land;</p> <p>Explanation on Group Manager needs and rights; including obligation as group membership (on information maintenance, monitoring, internal audit, the CB and RSPO requirements related to public information, on obligation with respect to group membership in term of maintenance of information, requirement to conform to corrective action issued by CB, explanation on cost): “Data Hasil Sosialisasi Anggota KSU Suka Makmur” dated 29 August 2017, for DTM Ridwan & Masnani; “Data Hasil Sosialisasi Anggota KSU Suka Makmur” dated 29 August 2017, for Lusiono Handoko, Mujiman, Mardi, Tri Yuli Wardani; “Data Hasil Sosialisasi Anggota KSU Suka Makmur” dated 29 August 2017, for Tanti Wahyuni; “Data Hasil Sosialisasi Anggota KSU Suka Makmur” dated 29 August 2017, for Tusiwan; “Data Hasil Sosialisasi Anggota KSU Suka Makmur” dated 5 September 2017, for Viktor H Girsang; “Data Hasil Sosialisasi Anggota KSU Suka Makmur” dated 6 September 2017, for Sumardi.</p> <p>Interview with Group Manager, Handoko need to improve knowledge and understanding on how ICS works.</p>	<p>Comply</p>

Element 2 (E2): Internal Control System – Policies and Management			
E2.1 The Group Internal Control System shall contain documented policies and procedures for operational management.			
E2.1.1	<p>The Group Internal Control System shall contain Procedures for decision-making, and responsibilities within the group (including the authority of the Group Manager) shall be defined.</p> <p>The Group Manager shall manage the Group in a systematic and effective manner by:</p> <ul style="list-style-type: none"> Identifying the geographical area to be covered by the Group. Preparing, maintaining and documenting the Group management structure Clearly identifying the responsibilities of all individuals employed by the Group Manager for the running of the Group. Prepare and maintain the rules of the Group including the criteria for membership. Organise at least one group meeting annually (see also 8.1.1 of Section 3 on preparation of group management plan). Procedure for initial gap audit which can be a self-assessment. 	<p><u>Clearly identifying the responsibilities of all individuals employed by the Group Manager for the running of the Group:</u></p> <p>Internal Control System (ICS) that contains mechanism for decision making lined out under "Pedoman Kerja Koperasi Serba Usaha Suka Makmur Aturan Kepesertaan Anggota dalam Skema Sertifikasi Kelompok RSPO No.KSU-SM/PK/018" dated January 2018. As per the procedure the decision on member acceptance, member maintenance, member excision, member resignation, internal audit result, will be under group manager and internal control system. The right and obligation of group manager and ICS lined out in the organization structure.</p> <p><u>Identifying the geographical area to be covered by the Group:</u></p> <p>All smallholder members located in the same area, under same Tanjung Mulia Village.</p> <p><u>Preparing, maintaining and documenting the Group management structure:</u></p> <p>KSU Suka Makmur's latest Organization Structure have been communicated to all members on 20 December 2018. The meeting attended by 24 members: Mr. Lusiono Handoko, Mr. Marlan, Mr. Viktor H Girsang, Mr. Tusiwan, Mr. Santo, Mr. Sumardi, Mr. Sido, Mr.Sardi, Mrs. Tanti Wahyuni, Mr. DTM Ridwan, Mr. Ari Panji Suliarto, Mr. Taslim, Mr. M Hidayat, Mr. Mustomo, Mr. Parasian LB. (See E.1.1.3)</p> <p><u>Prepare and maintain the rules of the Group including the criteria for membership:</u></p> <p>"Pedoman Kerja Koperasi Serba Usaha Suka Makmur Aturan Kepesertaan Anggota dalam Skema Sertifikasi Kelompok RSPO No.KSU-SM/PK/018" dated January 2018. As per the procedure the decision on member acceptance, member maintenance, member excision, member resignation, internal audit result. Section 3.1 indicating the membership criteria.</p> <p><u>Organise at least one group meeting annually (see also 8.1.1 of Section 3 on preparation of group management plan):</u></p> <p>Koperasi Serba Usaha Suka Makmur and group manager carried out annual member meeting as recorded in "Berita Acara Rapat Anggota Tahunan (RAT) Koperasi Serba Usaha Suka Makmur (KSUSM) Tahun Buku 2018" – for financial year 2018, dated 15 April 2019. During the meeting, all smallholder member and/or its representative was present. The meeting discussed financial report year 2018, financial budget 2019, profit sharing from 2018, obligation to contribute to cooperative fee, communication of policies and</p>	Comply

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		<p>procedure, fertilizer recommendation and schedule, appointing new committee. There was 3 committees, 3 supervisors, 23 members, and 4 guests – attend the meeting. KSU Suka Makmur reported the minutes of meeting to regulatory body through “Surat No.003/KSUSM-KDPPKUKM/IV/2019 perihal Laporan RAT Tahun Buu 2018 kepada Kepala Dinas Perindustrian, Perdagangan dan Koperasi Usaha Kecil dan Menengah Kabupaten Labuhanbatu Selatan” dated 30 April 2019.</p> <p><u>Procedure for initial gap audit which can be a self-assessment:</u> “Pedoman Kerja Koperasi Serba Usaha Suka Makmur Aturan Kepesertaan Anggota dalam Skema Sertifikasi Kelompok RSPO No.KSU-SM/PK/018” dated January 2018. Section 3.1 indicating procedure for initial gap audit.</p>	
<p>E2.1.2</p>	<p>The Group Internal Control System shall contain Procedures for maintaining records for all Group members.</p> <p>The Group Manager shall implement a system to maintain the following central records and reports:</p> <ul style="list-style-type: none"> List of names and full contact details of group members and applicable method of communication. Location maps. Area of oil palm in hectares. Land titles/right of use of the land. A copy of the signed declaration of the grower becoming a member of the group including the date. Unique member registration numbers are assigned to individual members. The date that the member signed the declaration of intent as stated in the Group Membership Requirements. Date of leaving the Group if applicable and the reasons why. Projected and actual FFB production in metric tonnes per annum. Monitoring and training records. 	<p><u>System to record and update list of names and full contact details of group members and applicable method of communication:</u> “Data Anggota Koperasi KSU-SM 2018”, indicating full name, address, planting year, hectarage, progeny, contact number of 31 KSU-SM member;</p> <p><u>System to indicate Location map:</u> Group manager has prepared a simple map indicating block owner, location, neighboring owner, soil type – with sufficient scale for all member.</p> <p><u>System to record land titles/right of use of the land:</u> All member are able to demonstrate land titles/right of use of the land. See indicator 2.2.1.</p> <p><u>System for unique member registration numbers are assigned to individual members:</u> Group Manager has established a unique individual member, example: Mr.Viktor H Girsang No.09B12; Mrs.Masnani Nasution No.09E46; Mrs.Tri Yuli Wardani No.09E41; Mr.Taslim No.09G58; Mr.Mustomo No.09F56; Mr.M Hidayat No.09D32</p> <p><u>Record indicating date that the member signed the declaration of intent as stated in the Group Membership Requirements – as well as signed-copy declaration of the grower becoming a member of the group:</u> Each member sampled signed an agreement “Surat Pernyataan Kesediaan Mengikuti Program Sertifikasi RSPO”, for Mr.Marlan, dated 11 August 2016; Mr.Parasian Lumbanbatu dated 27 August 2016, Mr.DTM Ridwan dated 3 August 2016, Mr.Ahmad Zainuddin dated 4 August 2016, Mr.Sardi dated 7 August 2016, Mr. Sumardi dated 19 August 2016;</p> <p><u>System to record the date of leaving the Group if applicable and the reasons why:</u></p>	<p>Comply</p>

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	<ul style="list-style-type: none"> Any corrective actions raised and actions taken to meet the requirements for compliance. 	<p>None. However, group manager has prepared a form under "Permohonan Berhenti Menjadi Anggota Koperasi";</p> <p><u>Report on projected and actual FFB production in metric tonnes per annum:</u> 2017: Production record 2017: 591.59 MT; 2018: Production record 2018: 699.815 MT (sold as RSPO Certified to UMW POM: 271.174 MT; sold as non certified to PT. ATM: 185.512 MT; sold as non certified to collector: 243.128 MT). 2019: Production projection 2019: FFB production projected for 723 MT, yield at 12.02 MT/Ha; Production record 2019: 851.24 MT (sold as RSPO Certified to UMW POM: 650.12 MT; sold as non certified to collector: 201.12 MT). 2020: Production projection 2020: FFB production projected for 848.21 MT, yield at 14.10 MT/Ha;</p> <p><u>System for monitoring and training records:</u> Available. See criterion 4.8.</p>	
E2.1.3	Relevant group records shall be archived for a minimum of 5 years using an appropriate secure system.	"Surat Keputusan Ketua Koperasi Serba Usaha Suka Makmur No.008/SKPTS/KSU-SM/VIII/2017 tentang Masa Simpan Dokumen" dated 8 August 2017. Indicating the retention time of 5 years for all group record. Filing cabinet is available in KSU Suka Makmur office.	Comply
E2.1.4	The Group Internal Control System shall include an initial gap audit procedure (i.e. baseline assessment and needs for compliance) for applicants wishing to join the Group.	Internal Control System has carried out initial gap audit to group manager organization and all member prior to signing group member. The gap assessment to group management on April 2017. The initial gap audit for all member carried out on April – June 2017 and recorded under "Buku Laporan Kunjungan Lapangan ke Petani Koperasi Serba Usaha Suka Makmur". Sample taken: initial gap audit by ICS to Mr. Marlan (09E47) dated 6 August 2017; Mr.DTM Ridwan (09D40) dated 6 August 2017; Mr.Sardi (08C23) dated 6 August 2017; There has been no new smallholder member application in 2019.	Comply
Element 3 (E3): The Internal Control System – Operations			
E3.1 The Group Internal Control System shall develop and implement an internal audit programme of Group members.			
E3.1.1	The Group Manager shall develop and implement the internal audit programme, which includes, but not exclusively: timeline, operational plans, monitoring and evaluation records.	Group manager has prepared a procedure for Internal audit. The procedure has regulated the frequency, methodology, internal auditor requirements, management of corrective action plan and sanction for smallholder member "Pedoman Kerja Pelaksanaan Pengawasan dan Penilaian Internal Audit Sertifikasi TBS Berkelanjutan" dated 17 December 2019. Scheduling/frequency:	Comply

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	<p>As a minimum the following shall be included:</p> <ul style="list-style-type: none"> Establish, implement and maintain (a) procedure(s) for internal audits which must include (but not be limited to) the methodology, competence of internal auditors, audit criteria, frequency of internal audits, and addressing non-conformity. Conduct regular (at least annual) internal audits of Group members in order to confirm continued conformance with all the Group Certification requirements. Maintenance of all internal audit records. 	<ul style="list-style-type: none"> Minimum once per year, for all smallholder member. Internal audit schedule arranged by Group Manager. <p>Methodology:</p> <ul style="list-style-type: none"> Visit directly to smallholder member's oil palm block. <p>Competence of internal audit:</p> <p>Addressing non-conformity:</p> <ul style="list-style-type: none"> Correction and corrective action carried out maximum 1 month after assessment. The committee will report the progress of correction and corrective action to internal auditor. <p>Maintenance of Internal audit records:</p> <ul style="list-style-type: none"> All internal audit records will be maintained in cooperative for 5 years. <p>Internal audit 2019 record:</p> <ul style="list-style-type: none"> Program Internal Audit RSPO planned in October 2019. Actual Internal Audit RSPO carried out in 12-15 November 2019. Internal audit checklist for KSU Suka Makmur's ICS, reviewing the compliance against RSPO Group Certification Requirements and Group Member's Requirement for Individual group members up to 50ha under oil palm cultivation (March 2018). Internal audit checklist for sampled member against Requirement for Individual Group Members up to 50Ha under Oil Palm Cultivation: Mr.Marlan No.09E47 (8 October 2019), Mr.Lusiono Handoko No.08E43 (8 October 2019), Mr.Sido No.09C26 (8 October 2019). Visit Report Internal Audit 12-15 November 2019, issued 29 findings. Follow up findings for corrective action for 29 findings, closed out as at January 2020. <p>Internal audit program 2020 is evident. Internal audit record 2018 and 2019 is available.</p>	
<p>E3.1.2</p>	<p>The Group Manager shall carry out a risk assessment of Group members to identify an appropriate sampling intensity of Group members for the certification assessment.</p> <p>The risk assessment shall take into account:</p> <ul style="list-style-type: none"> the diversity of the Group members (i.e. range of size, management structure, scattered members with diverse plantation landscape such as terrain, etc.) any perceived risk relating to the activities being undertaken (e.g. how much replanting or expansion is occurring, how many members are new and, for subsequent assessments, 	<p>17 December 2019 "Analisis Resiko dan Sistem Pengendalian Internal" – risk analysis and internal control system, considering oil palm planting hectareage, geographical location, development/expansion plan, organization structure, group manager management skill, member knowledge of each member. As a result of assessment, considering the abovementioned factors, the risk determined as medium (1.2).</p> <p>Chapter II stipulates all smallholder member (31) will be audited in one year time. KSU Suka Makmur planned to audit 3 smallholder member between February – November 2020; The calculation in line with the current situation: 31 members divided within 10 months.</p>	<p>Comply</p>

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	whether there is a history of non-conformities).		
E3.1.3	The Group Manager and the internal auditors shall jointly declare no conflict of interest for the internal audit process.	Mr.Lusiono Handoko, the Group Manager Koperasi Serba Usaha Suka Makmur; and Mr. Efri Paryanto, Mr. M Furqan Nasution, Mrs. Widiarny all signed on 3 November 2018; a statement letter stipulates "pelaksanaan pengambilan keputusan untuk pelaksanaan penilaian verifikasi data atas permohonan anggota/calon anggota sertifikasi RSPO Kelompok dilakukan dengan cara objektif dan tidak memihak" – the decision making during verification assessment of RSPO Group's member or potential member, conducted in objective and impartial manner.	Comply
E3.1.4	<p>The Group Manager shall conduct initial gap audits with any potential new member, to assess the following pre-requisites for membership:</p> <ul style="list-style-type: none"> no plantings have replaced primary forest, or affected one or more High Conservation Values (HCVs) (RSPO P&C 2013 criteria 5.2 & 7.3) In the case of scheme smallholders, the company (owning/managing the mill) holds the liability for compensation for any new plantings undertaken since November 2005 and before 14th of May 2014. Following compliance with the compensation procedure, scheme smallholders may join the group. no existing land conflict. land title or right to use the land can be demonstrated. 	<p>Initial gap audit carried out on 2016 – 2017. initial gap audit by ICS to Mr. Marlan (09E47) dated 6 August 2017; Mr.DTM Ridwan (09D40) dated 6 August 2017; Mr.Sardi (08C23) dated 6 August 2017;</p> <p>From the initial gap audit, it was found that the group member planting year is 2008 (4 Ha) and 2009 (56.15 Ha), therefore Principle 7 of RSPO P&C applicable (see principle 7 of Section A.2).</p> <p>HCV assessment was carried out by Kompas Enviro Institut to scope of 2,834.77 Ha (this includes potential smallholder in the area) in 2016. The HCV assessment reported under "Laporan Penilaian Nilai Konservasi Tinggi di areal kebun sawit Smallholder Koperasi Mitra PT. Umbul Mas Wisesa, Provinsi Sumatera Utara - 2017". Based on HCV assessment, in Koperasi Serba Usaha Suka Makmur, identified with HCV 4 in form of main drain/canal of 6.59 Ha of 0.73% of all smallholder plantation under the scope. There was no species listed as CR under IUCN redlist found in the landscape.</p> <p>From the HCV assessment it was known that no planting have replaced primary forest or affecting High Conservation Values/HCV .</p> <p>From field visit, document review and stakeholder interview audit team found that no land conflict as the land title/legal right of the land and boundary has been clear.</p>	Comply
E3.2 The Group Internal Control System shall include a system in place to enable the trading of RSPO certified Fresh Fruit Bunches (FFB) produced from the Group.			
E3.2.1	The Group Manager shall document and implement a system for the tracking and tracing of FFB produced by the group members, and intended to be sold as RSPO-certified FFB.	<p>Group Manager has developed a system to identify the FFB supplied from RSPO-scope member. The group manager prepared a list of certified smallholder member, specific block number, harvest rotation, name of worker, tonnage, transport detail, name of FFB checker.</p> <p>Each members maintain "Buku Catatan Petani Tahun 2019", consist of record of oil palm plantation upkeep and management including record of FFB Sales.</p> <p>Sample seen: "Buku Catatan Petani Tahun 2019 Mr.Sumardi", block 09C20, 2.00 Ha, OP2009 – "Data Realisasi Hasil Produksi</p>	Comply

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		<p>Anggota KSU Suka Makmur tahun 2019” production July 2019: 811 kg (97 bunches); August 2019: 718 kg (88 bunches); September 2019: 1,333 kg (144 bunches); October 2019: 1,406 kg (145 bunches); November 2019: 1,520 kg (144 bunches); 10 December 2019: 623 kg (65 bunches), 24 December 2019: 955 kg (88 bunches).</p> <p>“Data Penjualan TBS Anggota Koperasi Serba Usaha Suka Makmur 2019” FFB sales whereby indicates sales to Umbul Mas Wisesa POM (received as non-certified supply and sold again to another palm oil mill), sales direct to other factory, sales to middlemen/outgrowers. FFB production record in July 2019: 811 kg (97 bunches); August 2019: 718 kg (88 bunches); September 2019: 1,333 kg (144 bunches); October 2019: 1,406 kg (145 bunches); November 2019: 1,520 kg (144 bunches); December 2019 (153 bunches – 1,578 kg) – all sales to FFB collector (as non-certified);</p> <p>“Buku Catatan Petani Tahun 2019 Mr.Parasian Lumbanbatu”, block 09F55, 1.79 Ha, OP2009 – “Data Realisasi Hasil Produksi Anggota KSU Suka Makmur tahun 2019” production July 2019: 2,336 kg (220 bunches); August 2019: 2,582 kg (268 bunches); September 2019: 1,754 kg (206 bunches); October 2019: 1,885 kg (186 bunches); November 2019: 2,164 kg (209 bunches); December 2019: 1,721 kg (159 bunches).</p> <p>“Data Penjualan TBS Anggota Koperasi Serba Usaha Suka Makmur 2019” FFB sales whereby indicates sales to Umbul Mas Wisesa POM (received as non-certified supply and sold again to another palm oil mill), sales direct to other factory, sales to middlemen/outgrowers. FFB production record in July 2019: 2,336 kg (220 bunches); August 2019: 2,582 kg (268 bunches); September 2019: 1,754 kg (206 bunches); October 2019: 1,885 kg (186 bunches); November 2019: 2,164 kg (209 bunches) – all sales to PT. Umbul Mas Wisesa (as RSPO certified). December 2019: 1,066 kg to PT. Umbul Mas Wisesa POM (as RSPO certified) and 655 kg to FFB collector (as non-certified).</p>	
<p>E3.2.2</p>	<p>There shall be a collective Group procedure for the sale of all certified FFB to ensure that non-certified FFB are not sold as RSPO certified FFB.</p> <p>If certified FFB is combined with non-certified FFB prior to the sale and delivery to a palm oil mill, a mass balance system shall be in place to ensure the quantity of FFB sold as Mass Balance is equal to the quantity of RSPO certified FFB in the mix.</p>	<p>There is no combination of RSPO certified FFB and non-certified FFB prior to sale. All FFB from group members are identified, checked and transported with specific vehicle. This is to prevent commingling with non-certified FFB.</p> <p>The group member of KSU Suka Makmur are certified supply base. However, KSU Suka Makmur can sell to UMW POM (as RSPO certified) or other POM/collector (as non-RSPO certified).</p>	<p>Comply</p>
<p>E3.2.3</p>	<p>All sales of FFB originating from the plantations of Group members shall be documented and recorded.</p>	<p>- “Surat Pengantar TBS dari Lapangan Koperasi Serba Usaha Suka Makmur No.KSU.SM/179” dated 9 December 2019: M. Hidayat No.09D32 delivered 1,200kg (120 bunches); Tri Yuli Wardani No.09E41</p>	<p>Comply</p>

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	<p>This shall include:</p> <ul style="list-style-type: none"> • Invoices and receipts (purchase and sale). • Information on transport (i.e. registration number/number plate). • The relevant group members' group identification number. • Classification of the FFB sold (i.e. RSPO certified or not), FFB volume and destination. • Information of FFB price. 	<p>delivered 730kg (91 bunches); Lusiono Handoko No.08E43 delivered 1,800kg (163 bunches); Tanti Wahyuni No.09E42 delivered 1,250kg (125 bunches); truck BK8043YF; stamp RSPO certificate No.RSPO 687965.</p> <ul style="list-style-type: none"> - Receiving Slip PT. UMW POM No.FFB19023170W dated 9 December 2019, weigh 4.782 MT (contamination 48kg) with DO No.179, transport BK8043YF. Product FFB. Sustainable Product-IP RSPO Certification No.RSPO687965. - Invoice: "Permintaan Uang atas Penjualan TBS Kelapa Sawit Np.102/Inv/KSU-SM/XII2019" dated 10 December 2019 from sales of 4,782 kg with price Rp.1,540/kg FFB – total Rp.7,364,280 (gross); - Information of transport: truck BK8043YF - Group members' group identification number: M. Hidayat No.09D32; Tri Yuli Wardani No.09E41; Lusiono Handoko No.08E43; Tanti Wahyuni No.09E42; - Classification of the FFB sold (i.e. RSPO certified or not), FFB volume and destination: FFB RSPO Certified No.687965; FFB volume 4,782 kg; destination PT. Umbul Mas Wisesa – UMW POM. - Information of FFB price: inside the invoice, price at 9 December 2019 at Rp.1,540/kg. - "Surat Pengantar TBS dari Lapangan Koperasi Serba Usaha Suka Makmur No.KSU.SM/010" dated 20 December 2020: Aswanto No.09D37 delivered 380kg (34 bunches); Masnani Nasution No.09E46 delivered 1,380kg (115 bunches); Tanti Wahyuni No.09E42 delivered 1,350kg (108 bunches); truck BK8043YF; stamp "Sustainable Product IP RSPO certificate No.RSPO 687965". - Receiving Slip PT. UMW POM No.FFB20001236W dated 20 January 2020, weigh 3,435 MT (contamination 35kg) with DO No.010, transport BK8043YF. Product FFB. Stamp "Sustainable Product-IP RSPO Certification No.RSPO 687965". - Invoice: "Permintaan Uang atas Penjualan TBS Kelapa Sawit Np.010/Inv/KSU-SM/I/2020" dated 21 January 2020 from sales of 3,435 kg with price Rp.1,830/kg FFB – total Rp.6,286,050 (gross); - Information of transport: truck BK8043YF - Group members' group identification number: Aswanto No.09D37; Masnani Nasution No.09E46; Tanti Wahyuni No.09E42; - Classification of the FFB sold (i.e. RSPO certified or not), FFB volume and destination: FFB RSPO Certified No.687965; FFB volume 3,435 kg; destination PT. Umbul Mas Wisesa – UMW POM. - Information of FFB price: inside the invoice, price at 20 January 2020 at Rp.1,830/kg. 	
<p>E3.2.4</p>	<p>The Group Manager shall maintain copies of all documentation and records mentioned in E3.2.3 related to Group FFB transactions for a period of a minimum of 5 years.</p>	<p>Group manager maintain copies of invoices and receipt (for sales); information on transport as in "Surat Pengantar TBS dari Lapangan" and the vehicle number; relevant group member identification number as per member list; classification of the FFB sold as per</p>	<p>Comply</p>

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		weighbridge ticket (including the sortation record); information of FFB price.	
E3.2.5	<p>Traders of FFB shall be either part of the Group management system following this guidance or be RSPO Supply Chain certified in order to sell certified FFB. Traders of FFB are encouraged to be included within the Group certification control rather than obtain their own supply chain certification.</p> <p>The Group Manager will ensure that the trader has clear procedures to ensure that mass balance calculations are accurate if applicable and that all FFB sold by the trader is traceable back to the Group members.</p>	Koperasi Serba Usaha Suka Makmur is not using trader for FFB sales. Not applicable.	N/A

Section A-2- Individual group members up to 50ha under oil palm cultivation

Criterion / Indicator	Assessment Findings	Compliance
Principle 1: Commitment to Transparency		
Criterion 1.1:		
Growers and millers provide adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages and forms to allow for effective participation in decision making.		
1.1.1 There shall be evidence that growers and millers provide adequate information on (Environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.	Based on field observation and interview with sample of individual smallholder (Mr. Parasian Lumban Batu, Mr. Sardi, Mr. Sardi, Mr. Marlan, Mr. DTM Ridwan, Mr. Sumardi and Mr. Ahmad Zainuddin), individual members stated that understood that all visitors and all requests for information are referred to Group Manager. During training on oil palm upkeep, dated 20 December 2018 have been explained the requirement for information request and response – including recording of information request and providing response.	
Requirement for Group Manager		
The Group Manager shall inform all Group members that all requests for information are referred to the Group Manager.	Group manager has informed all group members that all information request are referred to Group Manager. During training on oil palm upkeep, dated 20 December 2018 have been explained the requirement for information request and response – including recording of information request and providing response.	
The Group Manager shall provide adequate information on (Environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making	Group Manager communicated the implementation of environmental management and monitoring plan “Laporan Pelaksanaan SPPL KSU Suka Makmur” through letter “No.001/KSUSM-KDLHLBS/I/2019 perihal Laporan Pelaksanaan SPPL KSU SM Tahun 2018” dated 12 January 2019. The report receipt by DinasLingkungan Hidup Kabupaten Labuhanbatu Selatan dated 14 January 2019. Group manager communicated the cooperative performance report as in “Rapat Anggota Tahunan – Laporan Pertanggungjawaban Pengurus Tahun Buku 2017 – Rencana Kerja, Anggaran Pendapatan dan Belanja Tahun 2018 -Koperasi Serba Usaha Suka Makmur”. The report communicated to “Dinas Koperasi Kabupaten Labuhanbatu Selatan”. Received by Mr.Sehatul Aman Hasibuan and Mr.Samsul Simanjuntak on 21 April 2018.	
1.1.2 Records of requests for information and responses shall be maintained.		
Requirement for Group Manager		Comply

Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall establish and maintain a system to keep records of requests for information and corresponding responses.</p>	<p>Group Manager has procedure for responding to information request and recording information as in "Pedoman Kerja Pemberian Tanggapan atas Permintaan Informasi No.KSU-SM/PK/012" dated 6 January 2017.</p> <p>Group manager has prepared a logbook to record all information request and all response to the information request. The logbook titled "Buku Rekaman Permintaan Informasi Manager Kelompok". The logbook filed and updated since August 2016. All information request has been responded upon.</p> <p>Sample seen: On 24 June 2018 one member (Samin R) made verbal inquiry on road maintenance progress. Report seen: "Berita Acara Serah Terima Lapangan BAST-L No.07/UMW-S/VII/2018" dated 27 July 2018 for road maintenance of 9,200 meters road. The road repair: road grader, resurface with stone, compacting. Progress as of 12 October 2018 was 656.86 meters.</p>	
<p>Criterion 1.2:</p>		
<p>Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.</p>		
<p>1.2.1 (M) Publicly available documents shall include, but are not necessarily limited to:</p> <ul style="list-style-type: none"> • Land titles/user rights (Criterion 2.2); • Occupational health and safety plans (Criterion 4.7); • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); • HCV documentation (Criteria 5.2 and 7.3); • Pollution prevention and reduction plans (Criterion 5.6); • Details of complaints and grievances (Criterion 6.3); • Negotiation procedures (Criterion 6.4); • Continuous improvement plans (Criterion 8.1); • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13). 		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.</p>	<p>Based on field observation and interview with sample of individual smallholder block Mr. Sumardi and Mr. Ahmad Zainuddin, individual members stated that all visitors and all requests for information shall be permission of Group Manager.</p>	
<p>Requirement for Group Manager</p>		
<p>Group Managers shall list the following documents as publically available and keep copies centrally:</p> <ul style="list-style-type: none"> • Land titles/user rights (Criterion 2.2); • Occupational health and safety plans (Criterion 4.7); • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); 	<p>Group manager has prepared and update procedure for recording request for response and corresponding responses through "Pedoman Kerja Koperasi Sumber Makmur Pemberian Tanggapan atas Permintaan Informasi No.KSU-SM/PK/012 dated 6 January 2017. Inside the procedure, stated that group manager list all documents made publicly available shall contain, at minimum: land title; cooperative deed of establishment, business permit; occupational health and safety plan; HCV assessment report; plan and impact assessment related to environmental and social impacts; pollution prevention and reduction plans; detail on</p>	

Criterion / Indicator	Assessment Findings	Compliance
<ul style="list-style-type: none"> HCV documentation (Criteria 5.2 and 7.3); Pollution prevention and reduction plans (Criterion 5.6); Details of complaints and grievances (Criterion 6.3); Negotiation procedures (Criterion 6.4); Continuous improvement plans (Criterion 8.1); Public summary of certification assessment report; Human Rights Policy (Criterion 6.13). 	<p>complaint and grievance; continuous improvement plans, human rights policy; all cooperative policy and decree.</p> <p>List available in "Daftar Informasi yang Tersedia untuk Umum", dated 3 January 2019, consist of:</p> <ul style="list-style-type: none"> Land title/user right: "sertifikat/hak penggunaan tanah" for all members; Legal standing: "Akta Pendirian Koperasi No.29", "Surat Izin Usaha Perdagangan No.503/272/BPPTPM-LS/SIUP/2016", "Tanda Daftar Perusahaan No.022925100022"; Plan and impact assessment related to environmental and social impacts: "Rencana Pengelolaan Limbah dan Penanganan Limbah untuk Mencegah Pencemaran terhadap Lingkungan"; HCV documentation: "Laporan Penilaian NKT oleh Koompasia Enviro Institute, 2017"; Pollution prevention and reduction plan: "Rencana pencegahan dan pengurangan polusi"; Details of complaints and grievances: "Rincian Keluhan dan Pengaduan"; Negotiation Procedure: "Pedoman Penyelesaian Sengketa dan Konflik Lahan No.KSU-SM/PK/016"; Continuous improvement plan: "Rencana Perbaikan Berkelanjutan"; Public summary of certification: "Hasil Temuan Audit Sertifikasi"; Human right policy: "Kebijakan Hak Asasi Manusia No.004/SKPTS/KSU-SM/IV/2017". 	
<p>Criterion 1.3: Growers and millers commit to ethical conduct in all business operations and transactions.</p>		
<p>1.3.1 There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions, which shall be documented and communicated to all levels of the workforce and operations.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Individual members shall show that they have accepted and agreed the group's policy on ethical conduct</p>	<p>Based on field observation and interview with sample of individual smallholder block Mr. Sumardi and Mr. Ahmad Zainuddin, individual members stated that they are understand the policy on ethical conduct. Such as: cheating on fertilizer application is prohibited, inserting FFB from other sources (non-members) is prohibited, etc.</p> <p>This policy also published on notification board at KSU Suka Makmur office, where its policy is accessible by all members.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall develop a written policy committing the Group to a code of ethical conduct and integrity in all operations and transactions.</p>	<p>Group Manager has established a written policy committing the group to a code of ethical conduct and integrity in all operations and transactions through "Surat Keputusan Koperasi Serba Usaha Suka Makmur No.011/SKPTS/KSU-SM/VIII/2017 tentang Kode Etik", dated 8 January 2017.</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>Group Manager has communicated the code of conduct policy during training on oil palm upkeep, dated 20 December 2018 to all member.</p> <p>This policy also available in notification board at KSU Suka Makmur office which can accessible with all members.</p>	

Criterion / Indicator	Assessment Findings	Compliance
<p>Criterion 2.1: There is compliance with all applicable local, national and ratified international laws and regulations.</p>		
<p>2.1.1 (M) Evidence of compliance with relevant legal requirements shall be available.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Fulfil the requirements laid out by the Group Manager, such as attending relevant training, filling in the checklist/tools provided to guarantee legal compliance.</p> <p>Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.</p>	<p>Dissemination on evaluation of compliance with relevant legal requirements has been conducted to all individual members on 9-11 December 2019.</p> <p>Filling the checklist to guarantee legal compliance also implemented during Internal audit for members. i.e: Internal audit report dated 8 Oct 2019 to member Mr. Marlan; Mr. Girsang; Mr. Arianto; Mr. Lusiono Handoko and Mr. Sido.</p> <p>All relevant license and legal compliance are maintained at KSU Suka Makmur office.</p>	
<p>Requirement for Group Manager</p>		
<p>Ensure group manager can demonstrate to a third party that the laws are understood and complied with by Group members.</p>	<p>Group Manager Koperasi Serba Usaha Suka Makmur, received assistance from PT. Umbul Mas Wisesa to review and evaluate all relevant laws and regulation. The evaluation covers 248 types of regulation, including but not limited to "Peraturan Menteri Pertanian No.98 tahun 2013 tentang Pedoman Perizinan Usaha Perkebunan" – guidance for plantation permit; and "Peraturan Menteri Lingkungan Hidup No.16 tahun 2012 tentang Pedoman Penyusunan Dokumen Lingkungan Hidup" – guide to prepare environmental document.</p> <p>Based on review, Group Manager Koperasi Serba Usaha Suka Makmur is in process for applying Surat Tanda Daftar-Budidaya to "Dinas Perkebunan dan Peternakan Kabupaten Labuhanbatu Selatan", since 2016.</p> <p>Also, Group Manager Koperasi Serba Usaha Suka Makmur has proposed to obtaining Statement Letter of Environmental Management ("Surat Pernyataan Pengelolaan Lingkungan") from Environmental Agency of Labuhan Batu Selatan Regency on 10 May 2017. However, no respond made from the Agency.</p> <p>On 14 January 2019, Group Manager re-submit to the Environmental Agency of Labuhan Batu Selatan Regency related processing on Statement Letter of Environmental Management ("Surat Pernyataan Pengelolaan Lingkungan") as per letter No:</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>002/KSUSM-KDLH/I/2019. However, until 1st Surveillance (January 2020) still no respond from the agency.</p> <p>Based on interview with Environmental Agency during stakeholder consultation on 22nd January 2020, proposal related Statement Letter of Environmental Management (“Surat Pernyataan Pengelolaan Lingkungan”) still on progress.</p> <p>The group manager has prepared and update document called “Pedoman Kerja Koperasi Serba Usaha Suka Makmur Aturan Kepesertaan Anggota dalam Skema Sertifikasi Kelompok RSPO No.KSU-SM/PK/018” dated January 2018, lines out the requirement for the participation of individual member in the group. One of the requirements to join is to have legal ownership of the land.</p>	
<p>2.1.2 A documented system, which includes written information on legal requirements, shall be maintained.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Fulfil the requirements laid out by the Group Manager, such as attending relevant training, filling in the checklist/tools provided to guarantee legal compliance.</p> <p>Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.</p>	<p>Socialisation on evaluation of compliance with relevant legal requirements has been conducted to all individual members on 9-11 December 2019.</p> <p>Filling the checklist to guarantee legal compliance also implemented during Internal audit for members. i.e: Internal audit report dated 8 Oct 2019 to member Mr. Marlan; Mr. Girsang; Mr. Arianto; Mr. Lusiono Handoko and Mr. Sido.</p> <p>All relevant license and legal compliance are maintained at KSU Suka Makmur office.</p>	
<p>Requirement for Group Manager</p>		
<p>Group Managers shall:</p> <p>Have a list/‘legal register’ of all applicable laws and regulations and state:</p> <ul style="list-style-type: none"> • Where the laws were obtained from. • How they are circulated and how often and record this communication. • Who and how ensures that the laws are being implemented. • Who monitors and updates the list and how often. • Who records when updates are communicated. 	<p>Group manager maintain and update list of relevant laws and regulation “Daftar Peraturan Perundangan Indonesia yang Berkaitan dengan Prinsip & Kriteria RSPO 2013”, update 24 Dec 2019: 20 Laws (Undang-undang), 22 Government Decree (Peraturan Pemerintah), 3 President Instruction; 28 Misnistry Regulation (Peraturan Menteri).</p> <p>The copy of laws and regulation obtained/informed from ENC Department PT. Umbul Mas Wisesa.</p> <p>The list of laws and regulations available in cooperative office. Communication/update of any new regulation through internal training for smallholder members. Group manager records all the training.</p> <p>The list of laws and regulations are being evaluated by Group Manager, assisted by ENC Department PT. Umbul Mas Wisesa. To ensure all relevant laws and regulations are being applied, Group manager has prepared a checklist as aide memoir to evaluate legal compliance “Checklist Verifikasi Data Kebun Anggota/Petani”. The content of the checklist explains oil palm plantation with relevant laws/regulation aspects. The verification made by ICS.</p>	

Criterion / Indicator	Assessment Findings	Compliance
	The group manager has prepared and update document called "Pedoman Kerja Mekanisme Pemantauan dan perubahan terhadap Peraturan dan Perundang-undangan No. KSU-SM/PK/019" dated January 2018. The procedure lines out the mechanism that Group Manager conduct monitoring upon changes in laws and regulation on three monthly basis.	
2.1.3 A mechanism for ensuring compliance shall be implemented.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N.A	N.A	
Requirement for Group Manager		
Ensure group manager can demonstrate to a third party that the laws are understood and complied with by Group members	The group manager has prepared and update document called "Pedoman Kerja Mekanisme Pemantauan dan perubahan terhadap Peraturan dan Perundang-undangan No. KSU-SM/PK/019" dated January 2018. The procedure lines out the mechanism that Group Manager conduct monitoring upon changes in laws and regulation on three monthly basis. The legal requirement evaluated and recorded under "Evaluasi Pemenuhan Peraturan Perundang-undangan – Evaluasi Tahun 2018". The evaluation in 2018 has not cover the requirement for "Peraturan Menteri Koperasi".	
Develop tools such as checklists or booklets that your group members can use to help them implement the legal requirements.	Group manager has prepared a checklist as aide memoir to evaluate legal compliance "Checklist Verifikasi Data Kebun Anggota/Petani". The content of the checklist explains oil palm plantation with relevant laws/regulation aspects.	
2.1.4 A system for tracking any changes in the law shall be implemented.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
Demonstrate evidence of training on legal requirements such as record or handouts/printed materials/softcopy.	Document of "Pemantauan Penambahan atau Perubahan Undang-Undang 2019" is part of system for tracking if any changes in the law. The evaluation conducted in monthly basis. January 2019: two regulation changes and updated; April 2019: one regulation; August 2019: one regulation.	
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.		
2.2.1 (M) Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available.		

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		Comply
Check that the titles or deeds allow the growing of oil palm where this is required by country legislation	<p>Based on document review, all smallholder member demonstrate legal ownership of the land in form of <i>Surat Keterangan Tanah/SKT</i> or <i>Sertifikat Hak Milik/SHM</i>.</p> <p>Sample seen:</p> <ul style="list-style-type: none"> • Mr Marlan – register number 09E47; SHM number 2509, dated 17th November 2016 under name Mr Marlan, area 17,000 m² issued by Kantor Pertanahan Kabuapten Kota Labuhanbatu, and completed with map indicating the land parcel of 64mx267.35m • Mr DTM Ridwan – register number 09D40; SHM number 1845, dated 30th May 2012 under name Mr DTM Ridwan, area 19,325 m² issued by Kantor Pertanahan Kabuapten Kota Labuhanbatu • Mr Ahmad Zainuddin – register number 09B09 SKT Nomor 593/535/TML/2015, dated 1st July 2015, under name Mr Ahmad Zainuddin, area 14,916 m². Issued by “Kepala Desa Tanjung Mulia” and completed with map indicating the land parcel of 132m x 113m • Mr Sumardi – register number 09C20 SKT Nomor 593/526/TML/2011, dated 24th May 2011, under name Mr Sumardi, area 20,000 m². Issued by “Kepala Desa Tanjung Mulia” and completed with map indicating the land parcel of 125m x 160m • Mr Sardi – register number 09C23 SKT Nomor 593/419/TML/2009, dated 29th August 2009, under name Mr Sardi, area 20,000 m². Issued by “Kepala Desa Tanjung Mulia” and completed with map indicating the land parcel of 100m x 200m; • Mr Parasian Lumban Batu - Surat Keterangan Ganti Rugi (SKRG) acknowledged by “Kepala Desa Tanjung Mulia”, “Camat Kampung Rakyat” and other witnesses – when Mr Parasian Lumban Batu purchased the land from Mr Imam Sujono. Area 17,792 m². Issued by “Kepala Desa Tanjung Mulia” and completed with map indicating the land parcel of 64m x 278 m. The documents available in Bahasa Indonesia. 	
Requirement for Group Manager		
The Group Manager shall demonstrate documentary evidence of legal ownership or lease, history of land tenure and the actual legal use of the land according to local laws.	<p>All copies of legal ownership of the land available with Group Manager. The “Surat Keterangan Tanah/SKT” is one of the requirement to obtain certificate - “Sertifikat Hak Milik/SHM”.</p> <p>Based on document verification and interview it was known that smallholder members are collectively applied to obtain certificate from “Kantor Pertanahan Kabupaten Labuhan Batu”.</p> <p>Sample seen:</p> <ul style="list-style-type: none"> • Mr Parasian Lumban Batu - Surat Keterangan Ganti Rugi (SKRG) acknowledged by “Kepala Desa Tanjung Mulia”, “Camat Kampung Rakyat” and other witnesses – when Mr Parasian Lumban Batu purchased the land from Mr Imam Sujono. Area 17,792 m². Issued by “Kepala Desa Tanjung 	

Criterion / Indicator	Assessment Findings	Compliance												
	<p>Mulia" and completed with map indicating the land parcel of 64m x 278 m. The documents available in Bahasa Indonesia.</p> <ul style="list-style-type: none"> • Mr Sumardi – register number 09C20 SKT Nomor 593/526/TML/2011, dated 24th May 2011, under name Mr Sumardi, area 20,000 m². Issued by "Kepala Desa Tanjung Mulia" and completed with map indicating the land parcel of 125m x 160m • Mr Sardi – register number 09C23 SKT Nomor 593/419/TML/2009, dated 29th August 2009, under name Mr Sardi, area 20,000 m². Issued by "Kepala Desa Tanjung Mulia" and completed with map indicating the land parcel of 100m x 200m; 													
<p>Maps showing the legal boundaries shall be kept.</p>	<p>Based on document review – followed up with field visit, the "Surat Keterangan Tanah/SKT" or "Sertifikat Hak Milik/SHM" completed with map. Comparison between map and actual smallholder plantations were confirmed.</p> <p>Sample verified:</p> <ul style="list-style-type: none"> • Mr Marlan – register number 09E47; SHM number 2509, dated 17th November 2016 - completed with map indicating the land parcel of 64mx267.35m • Mr DTM Ridwan – register number 09D40; SHM number 1845, dated 30th May 2012 under name Mr DTM Ridwan, area 19,325 m² issued by Kantor Pertanahan Kabupaten Kota Labuhanbatu - completed with map • Mr Ahmad Zainuddin – register number 09B09 SKT Nomor 593/535/TML/2015, dated 1st July 2015, completed with map indicating the land parcel of 132m x 113m • Mr Sumardi – register number 09C20 SKT Nomor 593/526/TML/2011, dated 24th May 2011, completed with map indicating the land parcel of 125m x 160m • Mr Sardi – register number 09C23 SKT Nomor 593/419/TML/2009, dated 29th August 2009, completed with map indicating the land parcel of 100m x 200m; • Mr Parasian Lumban Batu - Surat Keterangan Ganti Rugi (SKRG) acknowledged by "Kepala Desa Tanjung Mulia", "Camat Kampung Rakyat" and other witnesses –completed with map indicating the land parcel of 64m x 278 m. 													
<p>2.2.2 Legal boundaries shall be clearly demarcated and visibly maintained.</p>														
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>												
<p>Individual members shall demarcate the boundaries of their land.</p>	<p>Based on field verification, boundary is clear. The boundary poles made out of cemented pole. The boundaries were assisted with frond stacking – along the boundary line.</p> <p>Each smallholder member sampled can explain and pointed out the boundary of their oil palm plantation, as examples:</p> <ul style="list-style-type: none"> - Boundary of Sardi located at: <table border="1" data-bbox="670 1915 1165 2033"> <thead> <tr> <th>No.</th> <th>Latitude</th> <th>Longitude</th> </tr> </thead> <tbody> <tr> <td>1.</td> <td>2° 11' 16.72" N</td> <td>100° 20' 52.62" E</td> </tr> <tr> <td>2.</td> <td>2° 11' 23.08" N</td> <td>100° 20' 52.42" E</td> </tr> <tr> <td>3.</td> <td>2° 11' 23.10" N</td> <td>100° 20' 56.08" E</td> </tr> </tbody> </table>	No.	Latitude	Longitude	1.	2° 11' 16.72" N	100° 20' 52.62" E	2.	2° 11' 23.08" N	100° 20' 52.42" E	3.	2° 11' 23.10" N	100° 20' 56.08" E	
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Requirement for Group Manager																				
Check that boundaries are demarcated.	Group manager has prepared a checklist as aide memoir to evaluate legal compliance "Checklist Verifikasi Data Kebun Anggota/Petani". The content of the checklist required clear boundaries demarcation.																			
<p>2.2.3 Where there are or have been disputes, additional proof of legal acquisition of title and evidence that fair compensation has been made to previous owners and occupants shall be available, and that these have been accepted with free, prior and informed consent (FPIC).</p>																				
Requirement for Individual Member with up to 50ha of plantation size																				
N/A	N/A	N/A																		
Requirement for Group Manager																				
N/A	N/A																			
<p>2.2.4 (M) There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved.</p>																				
Requirement for Individual Member with up to 50ha of plantation size																				
There are conflicts: Explain why and what is the current status. Update this status every quarter until finalised. Record all meetings and who attended.	<p>Group Manager of KSU Suka Makmur has prepared a mechanism to resolve conflict titled "Pedoman Kerja Penyelesaian Sengketa/Konflik Lahan Dokumen No.KSU-SM/PK/016" dated 10 January 2018. The procedure explains all conflict will be dealt through mediation. Should this process failed – Group Manager will brought up to legal/trial.</p> <p>During the audit – and based on interview with sample of smallholder member (dated 27th January 2020), e.g: Mr. Marlan (register number 09E47) and Mr Parasian Lumbah Batu (register number 09F55), there are no conflict between member and/or with other party.</p> <p>Based on interview with other smallholder - non member (Head of Village – KADUS), stated no conflict with the member of Group Manager Koperasi Serba Usaha Suka Makmur.</p> <p>All smallholder – and other party in the area has understood the boundary of their land.</p>	Comply																		
Requirement for Group Manager																				

Criterion / Indicator	Assessment Findings	Compliance
<p>If there are conflicts: The Group Manager shall ensure that there is an ongoing process to resolve the conflict and ensure records of meetings are being kept by the group member.</p>	<p>Group Manager of KSU Suka Makmur has prepared a mechanism to resolve conflict titled "Pedoman Kerja Penyelesaian Sengketa/Konflik Lahan Dokumen No.KSU-SM/PK/016" dated 10 January 2018. The procedure explains all conflict will be dealt through mediation. Should this process failed – Group Manager will brought up to legal/trial.</p> <p>During the audit – and based on interview with sample of smallholder member (dated 27th January 2020), e.g: Mr Marlan (register number 09E47) and Mr Parasian Lumbah Batu (register number 09F55), there are no conflict between member and/or with other party.</p>	
<p>2.2.5 For any conflict or dispute over the land, the extent of the disputed area shall be mapped out in a participatory way with involvement of affected parties (including neighbouring communities where applicable).</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>In each case, open a case file starting with a statement regarding the boundaries under dispute outlining the issues and the scope.</p>	<p>During the audit – and based on interview with sample of smallholder member (dated 27th January 2020), e.g: Mr Marlan (register number 09E47) and Mr Parasian Lumbah Batu (register number 09F55), there are no conflict between member and/or with other party.</p> <p>Based on interview with other smallholder - non member (Head of Village – KADUS), stated no conflict with the member of Group Manager Koperasi Serba Usaha Suka Makmur.</p> <p>All smallholder – and other party in the area has understood the boundary of their land.</p>	
<p>Requirement for Group Manager</p>		
<p>N/A</p>	<p>N/A</p>	
<p>2.2.6 To avoid escalation of conflict, there shall be no evidence that palm oil operations have instigated violence in maintaining peace and order in their current and planned operations.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>N/A</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		
<p>N/A</p>	<p>N/A</p>	
<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 (M) 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>		

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
Carry out the participatory mapping with involved parties (including neighbouring communities where applicable, and relevant authorities).	<p>The plantations boundary sets according to legal document, i.e. "Surat Keterangan Tanah/SKT" or certificate "Sertifikat Hak Milik/SHM".</p> <p>During the audit – and based on interview with sample of smallholder member (dated 27th January 2020), e.g: Mr Marlan (register number 09E47) and Mr Parasian Lumbah Batu (register number 09F55), there are no conflict between member and/or with other party.</p> <p>Based on interview with other smallholder - non member (Head of Village – KADUS), stated no conflict with the member of Group Manager Koperasi Serba Usaha Suka Makmur.</p> <p>All smallholder – and other party in the area has understood the boundary of their land.</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>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Demonstrate that they have the right to use the land and or have customary rights over the land they farm.	<p>Based on interview with smallholder member, the history of the land was originated from "Izin Lokasi PT Mujur Lestari" being abandoned, up to the permit validity ends. The land then returned to Tanjung Mulia Village. Since then the land was being traded among villagers.</p> <p>Data verification:</p> <ul style="list-style-type: none"> Mr. Parasian Lumban Batu - Surat Keterangan Ganti Rugi (SKRG) acknowledged by "Kepala Desa Tanjung Mulia", "Camat Kampung Rakyat" and other witnesses – when Mr Parasian Lumban Batu purchased the land from Mr Imam Sujono. Area 17,792 m². Issued by "Kepala Desa Tanjung Mulia" and completed with map indicating the land parcel of 64m x 278 m. The documents available in Bahasa Indonesia. Mr. Sumardi – register number 09C20 SKT Nomor 593/526/TML/2011, dated 24th May 2011, under name Mr Sumardi, area 20,000 m². Issued by "Kepala Desa Tanjung 	

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	<p>Mulia" and completed with map indicating the land parcel of 125m x 160m</p> <ul style="list-style-type: none"> Mr. Sardi – register number 09C23 SKT Nomor 593/419/TML/2009, dated 29th August 2009, under name Mr Sardi, area 20,000 m². Issued by "Kepala Desa Tanjung Mulia" and completed with map indicating the land parcel of 100m x 200m; 	
Requirement for Group Manager		
<p>Keep copies of negotiated agreements between individual members and affected stakeholders in appropriate languages.</p>	<p>There was a record of negotiated agreement between previous landowner to the current owner (member of Koperasi Serba Usaha Suka Makmur).</p> <p>Data verification:</p> <ul style="list-style-type: none"> Mr. Parasian Lumban Batu - Surat Keterangan Ganti Rugi (SKRG) acknowledged by "Kepala Desa Tanjung Mulia", "Camat Kampung Rakyat" and other witnesses – when Mr Parasian Lumban Batu purchased the land from Mr Imam Sujono. Area 17,792 m². Issued by "Kepala Desa Tanjung Mulia" and completed with map indicating the land parcel of 64m x 278 m. The documents available in Bahasa Indonesia. Mr. Sumardi – register number 09C20 SKT Nomor 593/526/TML/2011, dated 24th May 2011, under name Mr Sumardi, area 20,000 m². Issued by "Kepala Desa Tanjung Mulia" and completed with map indicating the land parcel of 125m x 160m Mr. Sardi – register number 09C23 SKT Nomor 593/419/TML/2009, dated 29th August 2009, under name Mr Sardi, area 20,000 m². Issued by "Kepala Desa Tanjung Mulia" and completed with map indicating the land parcel of 100m x 200m; 	
<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>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
<p>For these processes appropriate local language will be used and negotiations conducted with appropriate representatives.</p>	<p>There was a record of negotiated agreement between previous landowner to the current owner (member of Koperasi Serba Usaha Suka Makmur), all available in Bahasa Indonesia.</p> <p>Data verification:</p> <ul style="list-style-type: none"> Mr. Parasian Lumban Batu - Surat Keterangan Ganti Rugi (SKRG) acknowledged by "Kepala Desa Tanjung Mulia", "Camat Kampung Rakyat" and other witnesses – when Mr Parasian Lumban Batu purchased the land from Mr Imam Sujono. Area 17,792 m². Issued by "Kepala Desa Tanjung Mulia" and completed with map indicating the land parcel of 64m x 278 m. The documents available in Bahasa Indonesia. Mr. Sumardi – register number 09C20 SKT Nomor 593/526/TML/2011, dated 24th May 2011, under name Mr 	

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Criterion / Indicator	Assessment Findings	Compliance
	<p>Sumardi, area 20,000 m². Issued by "Kepala Desa Tanjung Mulia" and completed with map indicating the land parcel of 125m x 160m</p> <ul style="list-style-type: none"> Mr. Sardi – register number 09C23 SKT Nomor 593/419/TML/2009, dated 29th August 2009, under name Mr Sardi, area 20,000 m². Issued by "Kepala Desa Tanjung Mulia" and completed with map indicating the land parcel of 100m x 200m; 	
<p>2.3.4 (M) Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
For these processes appropriate local language will be used and negotiations conducted with appropriate representatives.	<p>There was a record of negotiated agreement between previous landowner to the current owner (member of Koperasi Serba Usaha Suka Makmur), all available in Bahasa Indonesia.</p> <p>Data verification:</p> <ul style="list-style-type: none"> Mr. Parasian Lumban Batu - Surat Keterangan Ganti Rugi (SKRG) acknowledged by "Kepala Desa Tanjung Mulia", "Camat Kampung Rakyat" and other witnesses – when Mr Parasian Lumban Batu purchased the land from Mr Imam Sujono. Area 17,792 m². Issued by "Kepala Desa Tanjung Mulia" and completed with map indicating the land parcel of 64m x 278 m. The documents available in Bahasa Indonesia. Mr. Sumardi – register number 09C20 SKT Nomor 593/526/TML/2011, dated 24th May 2011, under name Mr Sumardi, area 20,000 m². Issued by "Kepala Desa Tanjung Mulia" and completed with map indicating the land parcel of 125m x 160m Mr. Sardi – register number 09C23 SKT Nomor 593/419/TML/2009, dated 29th August 2009, under name Mr Sardi, area 20,000 m². Issued by "Kepala Desa Tanjung Mulia" and completed with map indicating the land parcel of 100m x 200m; 	

Criterion / Indicator	Assessment Findings	Compliance
<p>Principle 3: Commitment to long-term economic and financial viability</p>		
<p>Criterion 3.1:</p> <p>There is an implemented management plan that aims to achieve long-term economic and financial viability.</p>		
<p>3.1.1 (M) A business or management plan (minimum three years) shall be documented that includes, where appropriate, a business case for scheme smallholders.</p>		

Criterion / Indicator	Assessment Findings	Compliance					
Requirement for Individual Member with up to 50ha of plantation size		Comply					
N/A	N/A						
Requirement for Group Manager							
<p>This Criterion is not applicable to independent smallholders. See reference RSPO P&C 2013, under Criterion 3.1 Guidance.</p> <p>It is recommended for groups of smallholders to have a business plan for long-term economic viability of their operation, considering among others, cost of annual maintenance, replanting, potential expansion and long term sustainability of certification.</p>	<p>Group manager has prepared a long-term management plan in "Rencana Ekonomi Jangka Panjang Kebun Kelapa Sawit Petani 2018 – 2022". The management plan indicating FFB projection, price assumption, gross revenue, total operational cost per annum, income per annum – for each member.</p> <p>Budget Produksi 2020 indicating name of member, planting year, block number, planting material, palm age, block hectarage, planted hectarage, soil type, number of palm, SPH, production and yield per hectare.</p> <p>Projection of FFB production KSU Suka Makmur for period 2020 – 2022 in Kg are as follows:</p> <table border="1"> <tr> <td>2020</td> <td>2021</td> <td>2022</td> </tr> <tr> <td>848,210</td> <td>890,621</td> <td>935,152</td> </tr> </table>		2020	2021	2022	848,210	890,621
2020	2021	2022					
848,210	890,621	935,152					
<p>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>							
Requirement for Individual Member with up to 50ha of plantation size		N/A					
N/A	N/A						
Requirement for Group Manager							
N/A	N/A						

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

Criterion / Indicator	Assessment Findings	Compliance
<ul style="list-style-type: none"> Ensure through a set procedure any pre-existing SOPs for BMP by current members, are compliant & consistent with the group SOPs Keep a register of members who have pre-existing non-group SOPs that are accepted as compliant and consistent with group SOPs. 	<ul style="list-style-type: none"> "Pedoman Kerja Koperasi Serba Usaha Suka Makmur Biologi Kelapa Sawit No.KSU-SM/PK/01", dated 6 January 2017 – explaining oil palm vegetative characteristic, reproductive; "Pedoman Kerja Koperasi Serba Usaha Suka Makmur Pengendalian Gulma pada Tanaman Menghasilkan Kelapa Sawit No.KSU-SM/PK/02", dated 6 January 2017 – related to weed management, identification of noxious weed, treatment also dosage for herbicide application; "Pedoman Kerja Koperasi Serba Usaha Suka Makmur Pemupukan Tanaman Kelapa Sawit No.KSU-SM/PK/03", dated 6 January 2017 – indicating fertilizer regime (type, dosage, timing, waste handling) for oil palm plantation; "Pedoman Kerja Koperasi Serba Usaha Suka Makmur Pengendalian Penyakit Tanaman Kelapa Sawit No.KSU-SM/PK/05" dated 6 January 2017 – integrated pest management; "Pedoman Kerja Koperasi Serba Usaha Suka Makmur Panen Kelapa Sawit No.KSU-SM/PK/06" dated 6 January 2017 – oil palm harvesting; "Pedoman Kerja Koperasi Serba Usaha Suka Makmur Penunasan Tanaman Kelapa Sawit No.KSU-SM/PK/07" dated 6 January 2017 – oil palm pruning; "Pedoman Kerja Koperasi Serba Usaha Suka Makmur Pembuatan Watergate dan Peat Subsidence No.KSU-SM/PK/011" Rev.01 dated 6 Dec 2019 – water management for smallholder block; <p>All work instruction has put consideration on environment and OHS aspect.</p>	
<p>4.1.2 A mechanism to check consistent implementation of procedures shall be in place.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager has regular checks using procedures set at group level for SOP implementation.</p>	<p>Group manager has been assisted by PT. Umbul Mas Wisesa in term of agronomist visit to check consistent implementation of procedures.</p> <p>Report sighted: "Berita Acara Kunjungan Agronomist ke Koperasi Serba Usaha Suka Makmur – Dusun Sukoharjo, Desa Tanjung Mulia, Kecamatan Kampung Rakyat, Kabupaten Labuhanbatu Selatan" dated 9 May 2019. Comments noted related to nutrient deficiency, production, planting age, water management and soil management and conducted leaf sample unit – to define fertilizer recommendation. Regular check of Smallholder Support recorded in "Laporan Kunjungan Lapangan ke Petani KSU Suka Makmur". reported regular check related operation, environment, safety and social activity.</p> <p>Each members maintain "Buku Catatan Petani Tahun 2019", consist of record of oil palm plantation upkeep and management: Planning and implementation of weed control (circle and path, <i>lalang</i> spraying, woody eradication); Pest and disease control</p>	

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Criterion / Indicator	Assessment Findings	Compliance
	<p>(nettle caterpillar census, termite census, planting <i>Turnera</i>); Pruning; Fertilizer (MOP, Rock phosphate, Urea, CuSO₄); Pesticide use record and calculation per MT FFB; Harvesting rotation and production record; FFB Sales; Cash record; Worker payment record; Tools/material/agrochemical purchase record.</p> <p>It was sighted "Buku Catatan Laporan Serangan Hama", a logbook to record summary of pest and disease attack, such as leaf eater caterpillar, rat, termite and ganoderma. Based on the report, there was no pest and disease attack found in KSU Suka Makmur for period 2019.</p> <p>Other regular checks has been sets through monthly visit and annual internal audit to members. Regulated under internal audit procedure as explained in E2.1 The Group Internal Control System shall contain documented policies and procedures for operational management. RSPO Internal Audit has been conducted on 12-15 Nov 2019 by ENC of Sipef Group. ICS Internal Audit has been conducted by ENC of Sipef Group as well, for examples to Mr. Parasian Lumbanbatu (09F55) dated 3 Sep 2018; Mr. Lusiano Handoko (08E43) dated 8 Oct 2019; Mr. Victor Girsang (09B12) dated 8 Oct 2019; Mr. Arianto/Sugino (09F51) dated 8 Oct 2019; Mr. Marlan (09E47) dated 8 Oct 2019; Mr. Sido (09C26) dated 8 Oct 2019.</p>	
<p>4.1.3 Records of monitoring and any actions taken shall be maintained and available, as appropriate.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Responsibility of individual members to keep record of their own SOP implementation as per defined in group SOPs.</p>	<p>Each members maintain "Buku Catatan Petani Tahun 2019", consist of record of oil palm plantation upkeep and management.</p> <p>Planning and implementation of weed control (circle and path, <i>lalang</i> spraying, woody eradication); Pest and disease control (nettle caterpillar census, termite census, planting <i>Turnera</i>); Pruning; Fertilizer (Rock phosphate, Urea, CuSO₄); Pesticide use record and calculation per MT FFB; Harvesting rotation and production record; FFB Sales; Cash record; Worker payment record; Tools/material/agrochemical purchase record.</p> <p>Sample seen: "Buku Catatan Petani Tahun 2019 Mr. Sardi", Block 08C23, 2.00 Ha, OP 2008, has recorded:</p> <ul style="list-style-type: none"> - Weed control (circle and path spraying dated 10 March 2019, 14 July 2019, and 10 November 2019); - Termite census and control, conducted in January, February, July, September, November and December; - Planting turnera on 27 February 2018; - Pruning on 8 March 2019; - Fertilizing: Dolomite (300 kg) on 5 Apr 2019, NPK (150 kg) on 22 Apr 2019 and CuSO₄ (14 kg) on 25 Aug 2019. - FFB production record in December 2019 (339 bunches – 3.661 tons), November 2019 (183 bunches – 1.963 tons), October 2019 (202 bunches – 2.240 tons), September 2019 (210 bunches – 2.191 tons). 	

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Criterion / Indicator	Assessment Findings	Compliance
	<p>"Buku Catatan Petani Tahun 2019 Mr. Marlan", Block 09E47, 1.70 Ha, OP 2009, has recorded:</p> <ul style="list-style-type: none"> - Weed control (circle and path dated 7 March 2019, 11 July 2019, 8 November 2019); - Termite census and control, conducted in January, February, July, October and December 2019y; - Planting turnera on 8 March 2019; - Pruning on 3 August 2019; - Fertilizing: Rock Pospbate (300 kg) on 2 May 2019 and NPK (100 kg) on 18 May 2019. - FFB production record in December 2019 (147 bunches – 1.388 tons), November 2019 (135 bunches – 1.423 tons), October 2019 (176 bunches – 1.781 tons), September 2019 (207 bunches – 1.876 tons). 	
Requirement for Group Manager		
Group Manager oversees the individual record keeping by members	Group Manager of KSU Suka Makmur overseas all activity in smallholder area including sample taking of leaf sample unit on 9 May 2019.	
4.1.4 (M) The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB).		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
Group Manager is responsible to identify where all individual member farms are located as a means to identify FFB origin.	<p>Group Manager of KSU Suka Makmur has developed a system to identify the FFB supplied from RSPO-scope member. The group manager prepared a list of certified smallholder member, specific block number, harvest rotation, name of worker, tonnage, transport detail, name of FFB checker.</p> <p>Each members maintain "Buku Catatan Petani Tahun 2019", consist of record of oil palm plantation upkeep and management including record of FFB Sales.</p> <p>Sample seen of smallholder member data:</p> <ul style="list-style-type: none"> • "Buku Catatan Petani Tahun 2019 - namley Mr. Parasian Lumban Batu", register number 09F55, area 1.79 Ha, OP2009. Data as follows: <ul style="list-style-type: none"> - "Data Rotasi Panen Anggota KSU Suka Makmur 2019" indicates when smallholder member sold FFB to PT Umbul Mas Wisesa – UMW POM or to FFB collector. E.g: harvest date 12th November 2019 sold to UMW POM total 1,253 Kg; harvest date 29th November 2019 sold to UMW POM total 911 Kg, and harvest dated 30th December 2019 sold to collector – total 655 Kg. - "Data Penjualan TBS Anggota Koperasi Serba Usaha Suka Makmur 2019" whereby indicates sales to Umbul Mas Wisesa POM (received as non-certified supply and sold again to another palm oil mill), sales direct to other factory, sales to middlemen/outgrowers and remark (inaccessible road condition, debt related). 	

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Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> - If sold to FFB collector: "Data Hasil TBS Masing-masing Anggota Koperasi Serba Usaha Suka Makmur yang Dikirim ke Pengumpul tahun 2019", whereby on harvest dated 30th December 2019 sold to collector – total 655 Kg (69 bunches) - If sold to PT. UMW POM, recorded under "Surat Pengantar TBS dari Lapangan NO. KSU.SM.175 dated 20th November 2019, from block Mr Parasian L.B, delivered 690 kg (86 bunches), truck BK 8043 YF. • "Buku Catatan Petani Tahun 2019 Mr Sardi", block 08C23, 2.00 Ha, OP2008. Data as follows: <ul style="list-style-type: none"> - "Data Rotasi Panen Anggota KSU Suka Makmur 2019" indicates when smallholder member sold FFB to PT Umbul Mas Wisesa – UMW POM or to FFB collector. E.g: harvest date 5th December 2019 sold to UMW POM total 1,424 Kg Kg; harvest date 17th December 2019 sold to UMW POM total 1,438 Kg, and harvest dated 27th November 2019 sold to collector – total 810 Kg. - "Data Penjualan TBS Anggota Koperasi Serba Usaha Suka Makmur 2019" whereby indicates sales to Umbul Mas Wisesa POM (received as non-certified supply and sold again to another palm oil mill), sales direct to other factory, sales to middlemen/outgrowers and remark (inaccessible road condition, debt related). - If sold to FFB collector: "Data Hasil TBS Masing-masing Anggota Koperasi Serba Usaha Suka Makmur yang Dikirim ke Pengumpul tahun 2019", whereby on harvest dated 27th November sold to collector – total 810 Kg (75 bunches) - If sold to PT. UMW POM, recorded under "Surat Pengantar TBS dari Lapangan NO. KSU.SM.178 dated 5th December 2019, from block Mr Sardi, delivered 1,424 kg (130 bunches), truck BK 8043 YF. 	
<p>Criterion 4.2:</p>		
<p>Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield</p>		
<p>4.2.1 There shall be evidence that good agriculture practices, as contained in Standard Operating Procedures (SOPs), are followed to manage soil fertility to a level that ensures optimal and sustained yield, where possible.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		
<p>Group Manager to maintain regular records of soil fertility practices by all members as per SOPs.</p>	<p>Group Manager of Koperasi Serba Usaha Suka Makmur has maintain record of fertilizer input in "Rekapitulasi Pemakaian Pupuk di lahan Anggota Koperasi Serba Usaha Suka Makmur Tahun 2019. KSU SM also recorded fertilizer input in another document called "Program dan Realisasi Teknis Budidaya Kebun Kelapa Sawit di Areal Lahan Anggota KSU Suka Makmur Tahun 201". Total fertilizer applied in 2019 recorded are Rock Phosphate</p>	

Criterion / Indicator	Assessment Findings	Compliance
	8,500 kg; Urea 650 kg; MOP 1,650 kg; Dolomite 1,050 kg; Compound 8,050 kg; CuSO ₄ 189 kg and HGFB 60 kg.	
4.2.2 Records of fertiliser inputs shall be maintained.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Responsibility of individual members to maintain fertilizer records.	Fertilizer input for 2019 has been recorded by each individual members in "Buku Catatan Petani Tahun 2019", e.g.: <ul style="list-style-type: none"> - Mr. Sardi (Block 08C23, 2.00 Ha) has applied Fertilizer Dolomite (300 kg) on 5 Apr 2019, NPK (150 kg) on 22 Apr 2019 and CuSO₄ (14 kg) on 25 Aug 2019. - Mr. Marlan (Block 09E47, 1.70 Ha) has applied Fertilizer Rock Posphate (300 kg) on 2 May 2019 and NPK (100 kg) on 18 May 2019. 	
Requirement for Group Manager		
Group Manager to provide template to record fertilizer usage and mill by-products usage.	Group Manager of Koperasi Serba Usaha Suka Makmur has provided template to record fertilizer usage under "Buku Catatan Petani Tahun 2019". The book are given to each individual member.	
4.2.3 There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
Group Manager conducts periodic tissue and soil sampling at minimum for a representative sample of group membership.	Nutrition deficiency evaluation at smallholder area conducted through visual observation and Leaf Sampling Unit analysis by Agronomist of PT Umbul Mas Wisesa on 5 and 7 October 2019. Evidence available is "Berita Acara Pengambilan LSU di KSU Suka Makmur". The activity consist sample taking of 17 th frond by Agronomist, photograph of sample taking were evident. Document signed by KSU Management and PT Umbul Mas Wisesa Staffs. Samples sent to Verdant Bio Scienceon 19 October 2019 based on delivery letter No. 13/STC-Spl/X/19. Result of nutrient level were evident as 2.52% N; 0.164% P; 0.65% K; 0.43% Mg; 0.52% Ca; 14 ppm B; 2 ppm Cu and 9 ppm Zn.	
4.2.4 A nutrient recycling strategy shall be in place, and may include use of Empty Fruit Bunches (EFB), Palm Oil Mill Effluent (POME), and palm residues after replanting.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
Group Manager oversees and ensures implementation of nutrient recycling for the group.	Visual observation by Agronomist of Tolan Tiga Indonesia (Sipef) on 18 April 2017 was still taking into consideration as Fertilizer Recommendation, detailing fertilizer dosage per palm e.g. Urea 1	

Criterion / Indicator	Assessment Findings	Compliance
	kg/palm for 1 st Semester and 1 kg/palm for 2 nd Semester; Rock Phosphate and MOP 1.5 kg/palm for 1 st Semester and 1.5 kg/palm for 2 nd Semester; HGFB and CuSO ₄ 0.1 kg/palm for 1 st Semester and 0.05 kg/palm for 2 nd Semester. LSU taking conducted by Agronomist of PT UMW on 5 and 7 October 2019. Result of nutrient level were evident as 2.52% N; 0.164% P; 0.65% K; 0.43% Mg; 0.52% Ca; 14 ppm B; 2 ppm Cu and 9 ppm Zn.	
Criterion 4.3:		
Practices minimise and control erosion and degradation of soils.		
4.3.1 (M) There shall be evidence that good agriculture practices, as contained in Standard Operating Procedures (SOPs), are followed to manage soil fertility to a level that ensures optimal and sustained yield, where possible.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Where available individual members shall provide soil maps of their own farm to the Group Manager.	Each individual members have simple map showing soil type and border at North, East, South and West of the oil palm block.	
Requirement for Group Manager		
Group Manager shall compile and maintain an overall soil map for the group.	Soil map of Koperasi Serba Usaha Suka Makmur area was available in HCV assessment document, conducted by Koompasia Enviro Institute, that finalized in March 2017, documented in "Laporan Penilaian Nilai Konservasi Tinggi Smallholder Koperasi Mitra PT Umbul Mas Wisesa Provinsi Sumatera Utara". The whole area of Koperasi Serba Usaha Suka Makmur is peat.	
4.3.2 A management strategy shall be in place for plantings on slopes above a certain limit (this needs to be soil and climate specific).		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
Group Manager develops a policy and procedure for planting on slopes.	HCV assessment document, conducted by Koompasia Enviro Institute, that finalized in March 2017 stated that based on Digital Elevation Model (DVM) SRTM version 5 with special resolution 90 m; topography at Koperasi Serba Usaha Suka Makmur area is all flat (0 – 8 %). Management strategy for planting on slopes is not required in the area.	
4.3.3 A road maintenance programme shall be in place.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
<p>A road maintenance programme is maintained at Group level, this includes an approval process for any new roads being developed by individual members</p>	<p>A road maintenance program has been developed by Koperasi Serba Usaha Suka Makmur in "Program Pembangunan Infrastruktur dan Perbaikan Jalan" dated 3 January 2019. Detail activities programmed are as follows:</p> <ul style="list-style-type: none"> - "Penimbunan jalan dengan Tanah Gunung Gajah" – road hardening 4,000 m, scheduled in March 2019. - "Pembentukan ulang badan jalan" (Road Grader) dan "Pemadatan" (Compact) 4,000 m, scheduled in March 2019. <p>Realization of road maintenance was evident in "Berita Acara Serah Terima Lapangan (BAST-L)" No.06/UMW-S/IV/2019 dated 24 Apr 2014, for Road hardening using gravel of Gunung Gajah Zone III External Road Dusun Sukoarjo. Total road length 5,000 m; price Rp 400,000. Contract of Road hardening using gravel of Gunung Gajah was evident No.09/RMO-UMWS/TG/III/2019 between PT Umbul Mas Wisesa and CV Tua Gabe, dated 13 Mar 2019. Invoice from CV Tua Gabe No.20/TG/UMWS/VIII/2019 dated 19 Aug 2019 was evident.</p>	
<p>4.3.4 (M) Subsidence of peat soils shall be minimised and monitored. A documented water and ground cover management programme shall be in place.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
<p>Individual members shall record water levels at regular basis as specified within group SOP</p>	<p>Each individual member which passed by channel have water pole to monitor water level. There are 4 water pole in cooperative area:</p> <ul style="list-style-type: none"> - Water Pole 1 (WP1) at Lusiano Handoko's area, Block 08E43, water level on 10 Jan 2020 was 40 cm; - Water Pole 2 (WP2) at Parasian LB's area, Block 09F55, water level on 10 Jan 2020 was 39 cm; - Water Pole 3 (WP3) at Sugino's area, Block 09F51, water level on 10 Jan 2020 was 40 cm; - Water Pole 4 (WP4) at Ahmad Zainuddin's area, Block 09B09, water level on 10 Jan 2019 was 38 cm. 	
Requirement for Group Manager		
<p>Group manager to have monitoring procedure for peat subsidence and water management for plantings on peat where relevant</p>	<p>Procedure related to peat subsidence and water management has been documented in "Pedoman Kerja Pembuatan Watergate dan Peat Subsidence" (No.KSU-SM/PK/011" Rev.01 dated 6 Dec 2019).</p> <p>Group Manager Koperasi Serba Usaha Suka Makmur conducted monitoring of water level regularly in two weeks interval. Water level monitoring has been recorded in "Data Level Air", e.g. monitoring on 10 Jan 2020 reported that water level at WP1 is 40 cm, WP2 is 39 cm, WP3 is 40 cm and WP4 is 38 cm below surface.</p> <p>Peat subsidence is monitored twice in once a year. Subsidence monitoring recorded in "Lembar Pengecekan Penurunan Tanah Gambut di Koperasi Serba Usaha Suka Makmur". Based on record peat subsidence in KSU Suka Makmur area are as follows:</p> <ul style="list-style-type: none"> - 23 Dec 2017 : 1.0 cm 	

Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> - 25 Jun 2018 : 0.5 cm - 3 Dec 2018 : 0.2 cm - 24 Jun 2019 : 0.3 cm - 21 Dec 2019 : 0.1 cm. 	
<p>4.3.5 Drainability assessments shall be required prior to replanting on peat to determine the long-term viability of the necessary drainage for oil palm growing.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
Group Manager develops regular drainability assessment schedule for the group and implements this	Planting year of Koperasi Serba Usaha Suka Makmur are 2008 and 2009, replanting approximately performed in year 2033. Koperasi Serba Usaha Suka Makmur and group manager are collecting database and information from water level and peat subsidence level to prepare drainability assessment.	
<p>4.3.6 A management strategy shall be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils).</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
There is a group level policy and plan for managing fragile and problem soils occurring in the group. The Group Manager shall ensure implementation by individual group members.	There was no problematic soil at Koperasi Serba Usaha Suka Makmur area other than peat soil. Therefore group manager prepared a guideline "Pedoman Kerja Koperasi Serba Usaha Suka Makmur Pembuatan Watergate dan Peat Subsidence No.KSU-SM/PK/011" Rev.01 dated 6 Dec 2019 – water management for smallholder block.	
<p>Criterion 4.4: Practices maintain the quality and availability of surface and ground water.</p>		
<p>4.4.1 An implemented water management plan shall be in place.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
The responsibility of Group Manager	Group Manager has provided map of water ways and water bodies as in "Peta Titik Lokasi Water Gate dan Peat Subsidence di Area Koperasi Serba Usaha Suka Makmur Tahun 2017". The map consist of 4 water gates and 1 peat subsidence pole. There is no change of water gate position until this audit.	

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	<p>Procedure related to peat subsidence and water management has been documented in "Pedoman Kerja Pembuatan Watergate dan Peat Subsidence" (No.KSU-SM/PK/011" Rev.01 dated 6 Dec 2019).</p> <p>The monitoring of water level and peat subsidence has been implemented as evident under "Data Level Air". As per monitoring on 10 Jan 2020 reported that water level at WP1 is 40 cm, WP2 is 39 cm, WP3 is 40 cm and WP4 is 38 cm below surface.</p>	
<p>Group Manager shall have Map of all water ways and water bodies and have procedures as part of water management plan</p>	<p>Cooperative has provided map of water ways and water bodies as in "Peta Titik Lokasi Water Gate dan Peat Subsidence di Area KSU Suka Makmur Tahun 2017". The map consist of 4 water gates and 1 peat subsidence pole. There is no change of water gate position until this audit.</p> <p>Procedure related to peat subsidence and water management has been documented in "Pedoman Kerja Pembuatan Watergate dan Peat Subsidence" (No.KSU-SM/PK/011" Rev.01 dated 6 Dec 2019).</p>	
<p>4.4.2 (M) 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>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Where applicable individual members shall demonstrate maintaining and restoring riparian and other buffer zones as specified within group SOPs.</p>	<p>During interview with individual members, it was noted that they understood to maintain and protect riparian area as specified in the SOP. Members understood that they cannot applied fertilizer and herbicides at left or right side of the channel.</p>	
<p>Requirement for Group Manager</p>		
<p>The responsibility of Group Manager</p>	<p>Group manager has established mechanism to maintain and restore riparian area under "Pedoman Kerja Nilai Konservasi Tinggi dan Sempadan Kanal Utama" (No.KSU-SM/PK/015" Rev.01 dated 6 Dec 2019). The procedure has been disseminated to all individual members on 14 Dec 2019 attended by 31 participants. Protection of riparian has also disseminated through sign board in front of Koperasi Serba Usaha Suka Makmur office.</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).</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>N/A</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		
<p>N/A</p>	<p>N/A</p>	
<p>4.4.4 Mill water use per tonne of Fresh Fruit Bunches (FFB) (see Criterion 5.6) shall be monitored.</p>		

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
N/A	N/A	
Criterion 4.5:		
Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.		
4.5.1 Implementation of Integrated Pest Management (IPM) plans shall be monitored.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
The responsibility of Group Manager. Have a written procedure on IPM.	The Group Manager has prepared the procedure of integrated pest management (IPM) under document "Pedoman Kerja Pengendalian Hama Tanaman Kelapa Sawit", no document KSU-SM/PK/04, dated 6 January 2017. Detail procedure: - Pest detection – through early warning system; - Integrated pest management.	
4.5.2 Training of those involved in IPM implementation shall be demonstrated.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual members must attend training.	The procedure on IPM has communicated to all individual member. Record seen: notulen on IPM training by Agronomy GMO-NS on 18 November 2017, attended by 45 participants. Latest IPM Training conducted on 9 July 2019, attended by 31 participants.	
Requirement for Group Manager		
Group Manager to provide IPM training.	Group manager has provided the training on IPM on 18 November 2017 was attended by 45 participants. The training has conducted by Agronomy team GMO-NS. Latest IPM Training conducted on 9 July 2019, attended by 31 participants. Record seen for IPM implementation: - "Identifikasi musuh Alami Ulat Pemakan Daun dan Identifikasi Gulma yang bermanfaat". Sample in July 2019 mentioned that there was identified <i>Turnera subulatta</i> , <i>Euphorbia hirta</i> , <i>Borreria</i> and <i>Nephrolepis</i> . - Barn owl <i>monitoring</i> . Sample on 21 December 2019 that there was no barn-owl identified at box in Block 09E42.	

Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> - "Buku Catatan Laporan Serangan Hama" – Logbook of Pest and Disease identification, e.g. leaf eater caterpillar, rat, termite and ganoderma). Monitoring for period January to December 2019 found that there was no pest and disease attack in KSU Suka Makmur. 	
<p>Criterion 4.6: Pesticides are used in ways that do not endanger health or the environment</p>		
<p>4.6.1 (M) 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>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Individual members shall be able to demonstrate knowledge of pest & applicable chemical use.</p>	<p>Koperasi Serba Usaha Suka Makmur and Group Manager have listed the agrochemical used in Group Manager "Daftar Pestisida yang Digunakan di Kebun pada tahun Berjalan – KSU Suka Makmur", updated on 7 January 2020 referred to Agriculture Ministry Office Book "Buku Pestisida Terbatas". The guidance book indicated the primary target species (weed/pest/disease) for each pesticide /herbicide used.</p> <p>Visit to agrochemical storage and crosscheck with the list, all agrochemical stored holds valid registration license.</p> <p>This was verified during field visit to oil palm block under Mr. Sardi (Bock 08C23) and Mr. DTM Ridwan (Block 09D40).</p>	
<p>Requirement for Group Manager</p>		
<p>Group Manager to develop manual for pest & chemical use and relevant training.</p>	<p>Koperasi Serba Usaha Suka Makmur and Group Manager have listed the agrochemical used in Group Manager "Daftar Pestisida yang Digunakan di Kebun pada tahun Berjalan – KSU Suka Makmur", updated on 7 January 2019 referred to Agriculture Ministry Office Book "Buku Pestisida Terbatas". The guidance book indicated the primary target species (weed/pest/disease) for each pesticide.</p> <p>Visit to agrochemical storage and crosscheck with the list, all agrochemical stored holds valid registration license.</p> <p>Sample of the type of pesticide which is used by Koperasi Serba Usaha Suka Makmur member:</p> <ul style="list-style-type: none"> - Gramoxone 276/SL (paraquat diklorida), WHO Class III, license RI.010301197436, valid until 10 December 2020. Target species fern and broad leaf weeds. - Smart 486AS (Isopropil amine glyphosate 486 g/l), WHO Class U, license RI.01030119971313 valid until November 2023. Target species Grass weed. - Metsulindo 20WP (Methyl Metsulfuron), WHO Class U, license no. RI. 0103011991484 valid until 11 May 2021. Target species: fern, broad leaf. - Regent 50SC (Fipronil 50 g/l), WHO Class II, license No.RI.01010119951192 valid until 12 December 2020. Target species: termite/white ant. 	

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Criterion / Indicator	Assessment Findings	Compliance
	<p>Training on handling, using and applying the pesticides has conducted on 16 Dec 2019 was attended by 29 participants (spraying workers and members). The training has conducted by Agronomy team GMO-NS.</p>	
<p>4.6.2 (M) 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>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Individual members keep records of pesticides use.</p>	<p>The herbicide/pesticide application within group’s plantation was assisted by company, PT. Umbul Mas Wisesa. However, some members permitted to apply the herbicide/pesticide themselves – with strict requirements. The said member must have attended training, use appropriate PPE, understand the dosage and report to ICS prior to the spraying work. The agrochemical for each member was stored in a warehouse at the back of Koperasi Serba Usaha Suka Makmur Office.</p> <p>Group Manager Koperasi Serba Usaha Suka Makmur has developed a mechanism to control the application of pesticide/herbicide. All member wanted to use pesticide need to report to internal control system, record the pesticide dosage, target pest, and hectare application. The internal controller also checked for PPE use.</p> <p>“Rekaman Penggunaan Pestisida” – Record of chemical uses on behalf Mr. Sardi (Block 08C23):</p> <ul style="list-style-type: none"> - On 7 Dec 2019 applied for termite control; chemical: Regent; a.i. Fipronil 50gram/cc; hectare of application 2 ha; dosage 0.75 gram/Ha; total quantity 1.5 grams. - On 14 Nov 2019 applied for termite control; chemical: Regent; a.i. Fipronil 50gram/cc; hectare of application 2 ha; dosage 0.75 gram/Ha; total quantity 1.5 grams. - On 10 Nov 2019 applied for circle and path spraying; chemical: Smart; a.i. glyphosate; hectare of application 2 Ha; total quantity 1,022 cc; chemical: Metsul; a.i. Metil metsulfuron; hectare of application 2 Ha; total quantity 20 grams. - On 14 Jul 2019 applied for circle and path spraying; chemical: Smart; a.i. glyphosate; hectare of application 2 Ha; total quantity 1,022 cc; chemical: Metsul; a.i. Metil metsulfuron; hectare of application 2 Ha; total quantity 20 grams. <p>“Rekaman Penggunaan Pestisida” – Record of chemical uses on behalf Mr. Sardi (Block 08C23):</p> <ul style="list-style-type: none"> - On 19 Dec 2019 applied for termite control; chemical: Regent; a.i. Fipronil 50gram/cc; hectare of application 1.79 Ha; dosage 1.67 gram/Ha; total quantity 3 grams. - On 8 Nov 2019 applied for circle and path spraying; chemical: Smart; a.i. glyphosate; hectare of application 1.79 Ha; total quantity 762.54 cc; chemical: Metsul; a.i. Metil metsulfuron; hectare of application 1.79 Ha; total quantity 17.9 grams. 	

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<p>4.6.3 (M) 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>																																												
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<p>4.6.4 Pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimised and eliminated as part of a plan, and shall only be used in exceptional circumstances.</p>																																																				
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Responsibility of the Group Manager.	<p>There was no WHO Class 1A or 1B used by organization. Koperasi Serba Usaha Suka Makmur does use Class II agrochemical such as Paraquat. Paraquat is categorized under Limited Pesticide in Indonesia.</p> <p>The group manager and its members are aware of the requirement in RSPO related to use of Paraquat and considering alternative agrochemicals such as Glyphosate.</p> <p>List of pesticide and herbicide KSU Suka Makmur:</p> <table border="1"> <thead> <tr> <th>Brand</th> <th>Active ingredient</th> <th>Target species</th> <th>Registration</th> </tr> </thead> <tbody> <tr> <td>Gramoxone 276 SL</td> <td>Paraquat 276 g/l</td> <td>Fern, broad leaf</td> <td>RI.0103001197436 date 10 December 2020</td> </tr> <tr> <td>SMART 486 AS</td> <td>Glyphosate 486 g/l</td> <td>Grass</td> <td>RI.01030119971313 date November 2023</td> </tr> <tr> <td>Metsul 20 WP</td> <td>Metul metulfuron 20%</td> <td>Fern, broad leaf</td> <td>RI.0103119991484 date 11 May 2021</td> </tr> <tr> <td>Regent 50 SC</td> <td>Fipronil 50 g/l</td> <td>White ant</td> <td>RI.01010119951192 date 12 December 2020</td> </tr> </tbody> </table> <p>Use of pesticide and herbicide 2019</p> <table border="1"> <thead> <tr> <th>Brand</th> <th>Active ingredient</th> <th>Volume</th> </tr> </thead> <tbody> <tr> <td>Gramoxone 276 SL</td> <td>Paraquat 276 g/l</td> <td>58 liters</td> </tr> <tr> <td>SMART 486 AS</td> <td>Glyphosate 486 g/l</td> <td>108 liters</td> </tr> <tr> <td>Metsul 20 WP</td> <td>Metul metulfuron 20%</td> <td>11,187 gram</td> </tr> <tr> <td>Regent 50 SC</td> <td>Fipronil 50 g/l</td> <td>4,230 grams</td> </tr> </tbody> </table> <p>Audit team note the use of chemical, such as paraquat in 2017 was 144.56 liters; use of paraquat in 2018 was 104.10 liters; use of paraquat in 2018 was 58 liters.</p> <table border="1"> <thead> <tr> <th>Actual use paraquat</th> <th>Volume (l)</th> </tr> </thead> <tbody> <tr> <td>2017</td> <td>144.56</td> </tr> <tr> <td>2018</td> <td>104.10</td> </tr> <tr> <td>2019</td> <td>58</td> </tr> <tr> <th>Budget use paraquat</th> <th>Volume (l)</th> </tr> <tr> <td>2019</td> <td>78</td> </tr> <tr> <td>2020</td> <td>59</td> </tr> <tr> <td>2021</td> <td>29</td> </tr> </tbody> </table>	Brand	Active ingredient	Target species	Registration	Gramoxone 276 SL	Paraquat 276 g/l	Fern, broad leaf	RI.0103001197436 date 10 December 2020	SMART 486 AS	Glyphosate 486 g/l	Grass	RI.01030119971313 date November 2023	Metsul 20 WP	Metul metulfuron 20%	Fern, broad leaf	RI.0103119991484 date 11 May 2021	Regent 50 SC	Fipronil 50 g/l	White ant	RI.01010119951192 date 12 December 2020	Brand	Active ingredient	Volume	Gramoxone 276 SL	Paraquat 276 g/l	58 liters	SMART 486 AS	Glyphosate 486 g/l	108 liters	Metsul 20 WP	Metul metulfuron 20%	11,187 gram	Regent 50 SC	Fipronil 50 g/l	4,230 grams	Actual use paraquat	Volume (l)	2017	144.56	2018	104.10	2019	58	Budget use paraquat	Volume (l)	2019	78	2020	59	2021	29
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<p>4.6.5 (M) 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</p>																																																				

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be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7).		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual members ensure that anyone handling chemicals has attended relevant training.	<p>Training on handling, using and applying the pesticides has conducted on 18 November 2017 was attended by 45 participants. The training has conducted by Agronomy team GMO-NS. Sampled name: Mr. Samin No.09A02; Mr.Tusiwan No.09B10; Mr.Edi Gunawan No.09B11; Mr. Viktor H. Girsang II No.09B13; Mr.Sido No.09C26; Mr. Ari Panji S No.09D35; Mr.Lusiono Handoko No.08E43; Mr. Edi Hariyanto No.09G57;</p> <p>Training on pesticides storage, MSDS and NFPA has conducted on 16 December 2019 was attended by 16 participants. The training has conducted by Agronomy team GMO-NS. Sampled name: Mr. Sardi No.08C23; Mr.DTM Ridwan No.09D40; Mr.Sumardi No.09C20; Mr. Marlan No.09E47.</p> <p>Training on spraying standardization and chemical pre-mixing has conducted on 16 December 2019 was attended by 29 sprayers in PT. Umbul Mas Wisesa. Training material presented by Agronomy GMO North Sumatera. Sampled name: Mr.Suriadi, Mr. Ahmad Jainuddin, Mr. Muliadi, Mr. Sahrel.</p> <p>The herbicide/pesticide application within group’s plantation was assisted by company, PT. Umbul Mas Wisesa. However, some members permitted to apply the herbicide/pesticide themselves – with strict requirements. The said member must have attended training, use appropriate PPE, understand the dosage and report to ICS prior to the spraying work. The agrochemical for each member was stored at the back of Koperasi Serba Usaha Suka Makmur Office.</p> <p>Group Manager Koperasi Serba Usaha Suka Makmur has developed a mechanism to control the application of pesticide/herbicide. All member wanted to use pesticide need to report to internal control system, record the pesticide dosage, target pest, and hectare application. The internal controller also checked for PPE use. Sample taken:</p> <p>“Pemeriksaan Penggunaan Alat Pelindung Diri (APD) di Tempat Kerja September 2019 – PPE use verification in workplace, September 2019. Member Parasian Lumban Batu No.09F55 sprayed termite on 4 September 2019, PPE used: hand glove, boot, goggle, masker, apron, overall – checked by Surya Fadli.</p> <p>“Rekaman Penggunaan Pestisida 2019” – pesticide application record 4 September 2019 apply Regent (a.i. Fipronil) 1.5 gr a.i for 1.79 Ha to tackle white ant (dosage 0.83cc/Ha); 8 November 2019 apply SMART (a.i. Glyphosate) 762 gr a.i for 1.79 Ha (dosage 426cc/Ha) + Metsul (a.i. Metsulindo) 1.79 gr a.i for 1.79 Ha (dosage 10cc/Ha) – for circle and path;</p> <p>The use of chemical recorded under “Buku Kas Anggota Koperasi Serba Usaha Suka Makmur (KSU-SM)” cash ledger for smallholder member dated 4 September 2019: Regent 30 ml for 1.79 Ha then deducted Rp.10,000; dated 4 September 2019: SMART 1.79 liters</p>	

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	<p>for 1.79 Ha then deducted Rp.143,000 and Metsul 90 grams for 1.79 Ha then deducted Rp.36,000.</p> <p>The spraying team (from company) has been trained and holds a certificate for applying limited pesticide, e.g: Mr. Suriadi Nasution (license No.521/88.31/PLA.S/2014), Mr. Ahmad Zainudin (license No.521/38520/PLA.S/VI/2013), Mr. Muliadi (license No.521/88.31/PLA.S/2014), Mr. Doni Pranata (license No.521.4/88.31/PLA.S/V/2014).</p>	
Requirement for Group Manager		
Group Manager has oversight responsibility	<p>The herbicide/pesticide application within group’s plantation was assisted by company, PT. Umbul Mas Wisesa. However, some members permitted to apply the herbicide/pesticide themselves – with strict requirements. The said member must have attended training, use appropriate PPE, understand the dosage and report to ICS prior to the spraying work. The agrochemical for each member was stored at the back of Koperasi Serba Usaha Suka Makmur Office.</p> <p>Group Manager Koperasi Serba Usaha Suka Makmur has developed a mechanism to control the application of pesticide/herbicide. All member wanted to use pesticide need to report to internal control system, record the pesticide dosage, target pest, and hectarage application. The internal controller also checked for PPE use. Sample taken: “Pemeriksaan Penggunaan Alat Pelindung Diri (APD) di Tempat Kerja September 2019 – PPE use verification in workplace, September 2019. Member Parasian Lumban Batu No.09F55 sprayed termite on 4 September 2019, PPE used: hand glove, boot, goggle, masker, apron, overall – checked by Surya Fadli.</p> <p>“Rekaman Penggunaan Pestisida 2019” – pesticide application record 4 September 2019 apply Regent (a.i. Fipronil) 1.5 gr a.i for 1.79 Ha to tackle white ant (dosage 0.83cc/Ha); 8 November 2019 apply SMART (a.i. Glyphosate) 762 gr a.i for 1.79 Ha (dosage 426cc/Ha) + Metsul (a.i. Metsulindo) 1.79 gr a.i for 1.79 Ha (dosage 10cc/Ha) – for circle and path;</p> <p>The use of chemical recorded under “Buku Kas Anggota Koperasi Serba Usaha Suka Makmur (KSU-SM)” cash ledger for smallholder member dated 4 September 2019: Regent 30 ml for 1.79 Ha then deducted Rp.10,000; dated 4 September 2019: SMART 1.79 liters for 1.79 Ha then deducted Rp.143,000 and Metsul 90 grams for 1.79 Ha then deducted Rp.36,000.</p>	
<p>4.6.6 (M) 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>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual members store pesticides consistent with Group SOPs.	<p>Member of Koperasi Serba Usaha Suka Makmur was not stored the pesticide/herbicide by themselves. The agrochemical was stored at the back of Koperasi Serba Usaha Suka Makmur’s office. The store was locked and equipped with PPE for handling.</p> <p>Pesticide mixing was performed in field (block) by spraying team under supervision from ICS and PT. Umbul Mas Wisesa.</p>	

Criterion / Indicator	Assessment Findings	Compliance
	Pesticide was not applied in riparian area.	
Requirement for Group Manager		
Group Manager has oversight responsibility	<p>Based on visit to agrochemical store at the backyard of Koperasi Serba Usaha Suka Makmur office, there was confirmed: the store always locked, first aid kit provided in SKU-SM office, PPE (mask, goggle, apron, glove). The agrochemical storage just keeping agrochemical materials from a smallholder member.</p> <p>Koperasi Serba Usaha Suka Makmur has an agreement with PT. Umbul Mas Wisesa to hand over the empty agrochemical container, to be sent for licensed hazardous waste storage.</p> <p>Koperasi Serba Usaha Suka Makmur has document of "Pedoman Kerja Penggunaan Bahan Kimia", No.KSU-SM/PK/09, dated 6 January 2017 explained that the empty pesticide container kept in agrochemical store, triple rinsed, punctured before sent to PT. Umbul Mas Wisesa for transported to licensed collector.</p>	
4.6.7 Application of pesticides shall be by proven methods that minimise risk and impacts.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
Responsibility of the Group Manager.	<p>Training on pesticides storage, MSDS and NFPA has conducted on 16 December 2019 was attended by 16 participants. The training has conducted by Agronomy team GMO-NS. Sampled name: Mr. Sardi No.08C23; Mr.DTM Ridwan No.09D40; Mr.Sumardi No.09C20; Mr. Marlan No.09E47.</p> <p>Training on spraying standardization and chemical pre-mixing has conducted on 16 December 2019 was attended by 29 sprayers in PT. Umbul Mas Wisesa. Training material presented by Agronomy GMO North Sumatera. Sampled name: Mr.Suriadi, Mr. Ahmad Jainuddin, Mr. Muliadi, Mr. Sahrel.</p> <p>Group manager Koperasi Serba Usaha Suka Makmur has developed a mechanism to control the application of pesticides. All member wanted to use pesticide need to report to internal control system, record the pesticide dosage, target pest, and hectare application. The internal controller also checked/monitors PPE use and spraying application. Post-work on spraying also being checked, to ensure the member cleanse properly, residues are taken back to dedicated store, application done properly.</p> <p>"Pemeriksaan Penggunaan Alat Pelindung Diri (APD) di Tempat Kerja September 2018 – PPE use verification in workplace, September 2019. Member Parasian Lumban Batu No.09F55 sprayed termite on 4 September 2019, PPE used: hand glove, boot, goggle, masker, apron, overall – checked by Surya Fadli.</p> <p>"Rekaman Penggunaan Pestisida 2019" – pesticide application record 4 September 2019 apply Regent (a.i. Fipronil) 1.5 gr a.i for</p>	

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Criterion / Indicator	Assessment Findings	Compliance
	<p>1.79 Ha to tackle white ant (dosage 0.83cc/Ha); 8 November 2019 apply SMART (a.i. Glyphosate) 762 gr a.i for 1.79 Ha (dosage 426cc/Ha) + Metsul (a.i. Metsulindo) 1.79 gr a.i for 1.79 Ha (dosage 10cc/Ha) – for circle and path.</p> <p>The use of chemical recorded under "Buku Kas Anggota Koperasi Serba Usaha Suka Makmur (KSU-SM)" cash ledger for smallholder member dated 4 September 2019: Regent 30 ml for 1.79 Ha then deducted Rp.10,000; dated 4 September 2019: SMART 1.79 liters for 1.79 Ha then deducted Rp.143,000 and Metsul 90 grams for 1.79 Ha then deducted Rp.36,000.</p>	
<p>4.6.8 (M) 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.</p>		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
Responsibility of the Group Manager.	Not applicable since no aerial spray was applied.	
<p>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).</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
Responsibility of the Group Manager.	<p>Training on handling, using and applying the pesticides has been conducted on 18 November 2017 and was attended by 45 participants. The training has been conducted by Agronomy team GMO-NS. Sampled name: Mr. Samin No.09A02; Mr.Tusiwan No.09B10; Mr.Edi Gunawan No.09B11; Mr. Viktor H. Girsang II No.09B13; Mr.Sido No.09C26; Mr. Ari Panji S No.09D35; Mr.Lusiono Handoko No.08E43; Mr. Edi Hariyanto No.09G57; Mr. Parasian L Batu No.09F55.</p> <p>Training on pesticides storage, MSDS and NFPA has conducted on 16 December 2019 was attended by 16 smallholder members. The training has conducted by Agronomy team GMO-NS. Sampled members: Mr. Sardi No.08C23; Mr.DTM Ridwan No.09D40; Mr.Sumardi No.09C20; Mr. Marlan No.09E47.</p> <p>Training on spraying standardization and chemical pre-mixing has conducted on 16 December 2019 was attended by 29 sprayers in PT. Umbul Mas Wisesa. Training material presented by Agronomy GMO North Sumatera. Sampled name: Mr.Suriadi, Mr. Ahmad Jainuddin, Mr. Muliadi, Mr. Sahrel.</p> <p>The spraying team (from company) has been trained and holds a certificate for applying limited pesticide, e.g: Mr. Suriadi Nasution (license No.521/88.31/PLA.S/2014), Mr. Ahmad Zainudin (license</p>	

Criterion / Indicator	Assessment Findings	Compliance
	No.521/38520/PLA.S/VI/2013), Mr. Muliadi (license No.521/88.31/PLA.S/2014), Mr. Doni Pranata (license No.521.4/88.31/PLA.S/V/2014).	
<p>4.6.10 Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated (see Criterion 5.3).</p>		
Requirement for Individual Member with up to 50ha of plantation size		Not Comply
Individual members must dispose of waste materials according to group SOPs.	<p>Koperasi Serba Usaha Suka Makmur has an agreement with PT. Umbul Mas Wisesa to hand over the empty agrochemical container, to be sent for licensed hazardous waste storage.</p> <p>Koperasi Serba Usaha Suka Makmur has document of "Pedoman Kerja Penggunaan Bahan Kimia", No.KSU-SM/PK/09, dated 9 January 2017 explained that the empty pesticide container kept in agrochemical store, triple rinsed, punctured before sent to PT. Umbul Mas Wisesa for being transported to the licensed collector.</p> <p>Members does aware for a mechanism of the disposal of agrochemical referred to document "Pedoman Kerja Penggunaan Bahan Kimia". Based on interview with Ahmad Zainuddin No.09B09, Sumardi No.09C20, Sardi No.08C23, DTM Ridwan No.09D40, Marlan No.09E47, Parasian Lumban batu No.09F55 can explain that all ex chemical container were stored in temporary storage in Koperasi Serba Usaha Suka Makmur, sent to licensed hazardous waste storage in PT. Umbul Mas Wisesa.</p>	(1872275-202001-N1)
Requirement for Group Manager		
Group Manager has oversight responsibility	<p>Koperasi Serba Usaha Suka Makmur has an agreement with PT. Umbul Mas Wisesa to hand over the empty agrochemical container, to be sent for licensed hazardous waste storage.</p> <p>Koperasi Serba Usaha Suka Makmur has document of "Pedoman Kerja Penggunaan Bahan Kimia", No.KSU-SM/PK/09, dated 9 January 2017 explained that the empty pesticide container kept in agrochemical store, triple rinsed, punctured before sent to PT. Umbul Mas Wisesa for transported to licensed collector.</p> <p>Minor Non Conformity: KSU Suka Makmur produced hazardous waste from pesticide and herbicide spraying. However, not sufficient evidence disposal to licensed hazardous waste storage in 2019. No minutes of handover and no monitoring report for hazardous waste being transferred to licensed hazardous waste storage in 2019.</p>	
<p>4.6.11 (M) Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
<p>Group Managers to monitor occurrence of illnesses and health conditions of members and their workers that are handling agrochemicals, to identify needs for medical check-up.</p>	<p>Group Manager monitor the health condition of its member that handles agrochemical. The ICS inspected all herbicide/pesticide application carried out by individual members. ICS made assessment on individual members performs spraying themselves to verify no sign/symptoms of intoxication such as breathing difficulties, nausea, skin rashes, nail colour change.</p> <p>Audit team made interview and verification to individual member sampled (performed spraying themselves), ask permission to checked the physique and found no member experienced breathing difficulties, nausea, or have skin rashes and nail colour change.</p> <p>The health examination carried out by PT. Umbul Mas Wisesa’s paramedic, covering: check blood pressure, health condition, medical information.</p> <p>Specific annual medical surveillance for pesticide operators from company The spraying team (from company) has been trained and holds a certificate for applying limited pesticide, e.g: Mr. Suriadi Nasution, Mr. Ahmad Zainudin, Mr. Muliadi, Mr. Doni Pranata, Mr. Sahrel - joined medical check up by “Klinik Anugrah Ibu, Medan” on 30 September 2019. Based on the MCU report confirmed fit.</p> <p>The result of MCU being communicated to all sprayer on 7-15 January 2020.</p>	
<p>4.6.12 (M) No work with pesticides shall be undertaken by pregnant or breast-feeding women.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		Comply
<p>Individual members ensure no pregnant or breastfeeding women are handling pesticides.</p>	<p>The are no women are handling pesticides. Team on spraying in 2018 and 2019 from company namely Mr. Suriadi Nasution, Mr. Ahmad Zainudin, Mr. Muliadi, Mr. Doni Pranata and Mr. Sahrel – all confirm male.</p>	
<p>Requirement for Group Manager</p>		
<p>Group Manager has oversight responsibility.</p>	<p>Audit team made interview and verification to individual member sampled, it was confirmed that all are sprayers male worker. Group Manager Koperasi Serba Usaha Suka Makmur through ICS made assessment on individual members performs spraying themselves to verify no female performs spraying or activities related to chemical.</p>	
<p>Criterion 4.7:</p>		
<p>An occupational health and safety plan is documented, effectively communicated and implemented. The health and safety plan shall cover the following:</p>		
<p>4.7.1 (M) 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>Requirement for Individual Member with up to 50ha of plantation size</p>		Comply

Criterion / Indicator	Assessment Findings	Compliance
<p>Members shall provide input to the development of the OHS policy and management plan</p>	<p>Farmer members provides input such as the development of the OHS policy and management plan during OHS meeting and consultation.</p> <p>Data seen: Record of OHS meeting dated 2nd November 2019 , location in KSU-SM office was attended by 18 participants. Agenda: review of action progress from previous OHS meeting, review the OHS inspection report and review of accidents report.</p>	
<p>Requirement for Group Manager</p>		
<p>Group Manager shall conduct a risk assessment in collaboration with members.</p>	<p>Group Manager of Koperasi Serba Usaha (KSU) Suka Makmur has established health and safety policy under "Kebijakan dan Komitmen Bersama – KSUSM", dated 25 January 2017. In point 7 was mentioned "<i>Secara optimal mencegah terjadinya kecelakaan kerja dan penyakit akibat kerja yang disebabkan oleh kondisi dan tindakan tidak aman</i>" – optimally prevent work related accident and work related disease from unsafe condition and unsafe act.</p> <p>Group Manager Koperasi Serba Usaha Suka Makmur has also prepared the risk assessment and control as in document "Penilaian Resiko", last review on 13th December 2019. The risk assessment has covered all activities in KSU Suka Makmur, e.g: harvesting, transport of FFB, harvesting, office activities.</p> <p>To pay attention and implement risk assessment, using necessary PPE and implement in daily working with consideration on location and working condition. Harvester is obliged to use PPE (boot AP, helm) when harvesting.</p> <p>Occupational Health and Safety programme has established under "Program Keselamatan dan Kesehatan Kerja tahun 2019 - Programme of Work Safety year 2019" updated on 3 January 2019 as guidance for health and safety in smallholder's plantation.</p> <p>The OHS program year 2019, such as:</p> <ul style="list-style-type: none"> • OHS meeting (every 3 months), last meeting conducted on 2nd November 2019 • Fire drill or training of emergency response – conducted on 6th July 2019 • MCU for pesticides applicator or handler (every 3 months) • Socialization of risk assessment - conducted on 14th December 2019 • Provides the PPE for workers in harvesting, manuring and pesticides application • Monitoring of consistence the PPE using (every month) 	
<p>4.7.2 (M) All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>	<p>Comply</p>	

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<p>Member shall collaborate with Group Manager to ensure dangers on farm are identified.</p>	<p>During ASA 1 – January 2019, auditor team has visited to smallholder’s block and interview with member of Koperasi Serba Usaha Suka Makmur, e.g: Mr Parasian Lumbanbatu (Register number 09F55) and Mr Marlan (register number 09E47): they aware and understand the major risk for workers on the farm especially for harvesting activity, manuring, weeding and spraying pesticide.</p> <p>Smallholer member has also explained how to avoid the risk in activity of work such as using appropriate PPE and performed safe working practise.</p> <p>Individual members provides input such as risk/danger in their farm site to group manager (KSU-SM).</p> <p>Individual member has been following the training of OHS provided by KSU-SM on, e.g: training on 14th Dcember 2019, was attended by 31 participants, evidences: attendance list, training material and documentation.</p>	
<p>Requirement for Group Manager</p>		
<p>Based on the identified risks, an Occupational Health and Safety policy and/or plan shall be documented and implemented, including the need for medical insurance for workers appropriate to scale.</p>	<p>Group Manager Koperasi Serba Usaha Suka Makmur has also prepared the risk assessment and control as in document “Penilaian Resiko”, las review on 13th December 2019. The risk assessment has coreved all activities in KSU Suka Makmur, e.g: harvesting, transport of FFB, harvesting, office activities.</p> <p>To pay attention and implement risk assessment, using necessary PPE and implement in daily working with consideration on location and working condition. Harvester is oblige to use PPE (boot AP, helm) when harvesting.</p> <p>Occupational Health and Safety programme has established under “Program Keselamatan dan Kesehatan Kerja tahun 2019 - Programme of Work Safety year 2019” updated on 3 January 2019 as guidance for health and safety in smallholder’s plantation.</p> <p>In order to control the risk, Group Manager Koperasi Serba Usaha Suka Makmur has prepared Occupational Health and Safety programme has established under “Program Keselamatan dan Kesehatan Kerja tahun 2019 - Programme of Work Safety year 2019” updated on 3 January 2019 as guidance for health and safety in smallholder’s plantation.</p> <p>The OHS program year 2019, such as:</p> <ul style="list-style-type: none"> • OHS meeting (every 3 months), last meeting conducted on 2nd November 2019 • Fire drill or training of emergency response – conducted on 6th July 2019 • MCU for pesticides applicator or handler (every 3 months) • Socialization of risk assement - conducted on 14th December 2019 • Provides the PPE for workers in harvesting, manuring and pesticides application 	

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	<ul style="list-style-type: none"> Monitoring of consistence the PPE using (every month) <p>The strategy is through provision of appropriate PPE, maintenance of working area (individual platform, harvesting path in area slippery condition), signage and training. The hazard identification found to be sufficient.</p>	
<p>4.7.3 (M) All workers involved in the operation shall be adequately trained in safe working practices (see Criterion 4.8). Adequate and appropriate protective equipment shall be available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, harvesting and, if it is used, burning.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Members shall attend trainings related to OHS.</p>	<p>Member of smallholder has been follow the training concerning OHS, e.g:</p> <ul style="list-style-type: none"> Fire drill or training of emergency response – conducted on 6th July 2019 Socialization of risk assement and first aider - conducted on 14th December 2019; attended by 31 workers. Evidences: attendance list, training material and documentation (photograph) Training on implementation the P&C RSPO for smallolder member dated 16th December 2019, was attended by 14 member. Training of MSDS (material safety data sheet), dated 16th December 2019, was attended by 14 member. 	
<p>Members shall implement the management plan and at least ensure the provision of PPE and medical check-ups for high risk workers. In the case of hazardous chemical use, a description of the relevant chemicals should be brought to the field.</p>	<p>The smallholders member of Koperasi Serba Usaha Suka Makmur has implemented the OHS management plan, such the provision of PPE for harvester, training on OHS and medical check-up for spraying team provided by PT Umbul Mas Wisesa.</p> <p>The records of OHS program and the implementation, year 2019, such as:</p> <ul style="list-style-type: none"> OHS meeting (every 3 months), last meeting conducted on 2nd November 2019 Fire drill or training of emergency response – conducted on 6th July 2019 MCU for pesticides applicator or handler (every 3 months) Socialization of risk assement - conducted on 14th December 2019 Provides the PPE for workers in harvesting, manuring and pesticides application Monitoring of consistence the PPE using (every month), e.g: "Pemeriksaan Penggunaan Alat Pelindung Diri –dated 11th November 2019 – for pesticides applicator in block No 09A01, block 09D35 and block 09D34 – result reported OK (PPE: apron, mask, AP booth, safety glaves, googles); dated 24th June 2019 – for harvester in block 09G57, 09G58 and 09E41 – result reported OK (PPE: safety gloves, AP booths, mask, General Medical Check up for smallholder member dated 17th November 2019 – was attended by 14 individual member. Special medical check up for spraying team – dated 30th September 2019, conducted by Klinik Anugerah Ibu Medan, e.g: Mr Muliadi, Mr Sarel, Mr Suriadi Nasution, Mr Ahmad 	

Criterion / Indicator	Assessment Findings	Compliance
	Zainuddin and Mr Doni Pranata Siregar. The result of MCU has communicated to related workers (pesticides applicator). <ul style="list-style-type: none"> List of PPE in KSU – update in January 2019, e.g: gloves (9 pcs), mask (6 pcs), googles (5 pcs), apron (9 pcs), helmet (3 pcs). 	
Requirement for Group Manager		
N/A	N/A	
4.7.4 (M) 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.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
Appropriate to scale, consider forming an Occupational Health Committee.	Group Manager of Koperasi Serba Usaha (KSU) Suka Makmur has appointed Mr. Khairul as the health and safety officer as in "Surat Keputusan Manager Kelompok Koperasi Serba Usaha Suka Makmur No.027/SKPTS/KSU-SM/XII/2018 tentang Penunjukan Petugas AK-3 (safety officer), namely Mr Ayudha Resky, who have responsible to health and safety performance in KSU.	
Group Manager reviews the manual periodically.	Based on "Program Keselamatan dan Kesehatan Kerja KSU-SM tahun 2019" updated on 3 rd January 2019, the planning to review of health and safety on 6- monthly base, in June 2019 and December 2019. The records of OHS program and the implementation as explained in indicator 4.7.3 The latest review of health and safety on 2 nd December 2019, location in KSU-SM office was attended by 18 participants. Meeting agenda: <ul style="list-style-type: none"> Review on action progress of the last meeting result Review on report of OHS inspection Review on risk assessment. Program on OHS year 2020; 	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Members shall report accidents on the farm to the Group Manager.	Based on review of accidents report year 2019 - "Buku Kecelakaan Kerja – Koperasi Serba Usaha Suka Makmur", during 2019 there was a accident was reported, grade" low, there were no lost time by this accident	

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Each member ensures that there is a first aid kit available at the work site when there is operation going on in the field.	During ASA 1 – the auditor team has interviewed with sample of smallholder member understands that there is a first aid kit available at the work site when there is operation going on in the field. The first aid kit was with field mandor (Mr Sutanto as first aider)	
Requirement for Group Manager		
Group Managers shall develop OHS / First Aid manual and distribute to all individual members.	<p>The first aid kit was with field mandor (Mr. Sutanto as first aider) – letter of appointment as per Surat Keputusan Manager Kelompok KSU Suka Makmur nomor: 023/SKPTS/KSU-SM/XI/2017 tentang Penunjukan Petugas K3, dated 20th November 2017.</p> <p>The mandor has been trained for first aid kit by PT. Umbul Mas Wisesa.</p>	
Group Manager shall hold regular training based on Group OHS / First Aid manual for members and/or workers.	Group Manager of KSU Suka Makmur has conducted regular training for first aider - Last conducted on 14 th December 2019; attended by 31 workers. Evidences: attendance list, training material and documentation (photograph).	
Group Manager shall record members' accidents on the farm.	<p>Koperasi Serba Usaha Suka Makmur has shown the record to monitor the Lost Time Accident under "Buku Kecelakaan Kerja – Koperasi Serba Usaha Suka Makmur", during 2019 there was a accident was reported, grade" low, there were no lost time by this accident.</p> <p>Chronology: namely Mr Arianto (harvester) dated 11th November 2019 was injured by FFB's thorn at the arm. Location in block 09G50. Category: Low.</p>	
4.7.6 All workers shall be provided with medical care, and covered by accident insurance.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Appropriate to scale, workers shall be provided with medical care and covered by medical insurance	<p>During ASA-1, the sample of smallholder of farmer members work themselves to maintain the oil palm plantation (harvesting, manuring, herbicide spraying). To some extent, family members helped the individual member.</p> <p>Based on interview with farmer member (Mr Parasian LB – register number 09F55 and Mr Marlan – register number 09E47), there were no workers being employed permanently by the smallholders.</p> <p>Individual members basically will responsible if any work related accident occurs in their oil palm block.</p>	
If accidents occur involving casual workers, members shall be expected to provide medical care for the workers involved.	<p>Group Manager of Koperasi Serba Usaha Suka Makmur provides contribution for the medical care should any worker/member had an accident. Any accident cannot be treated with first aid, sent for paramedic in Tanjung Mulia village, adjacent to plantation location.</p> <p>Individual members basically will responsible if any work related accident occurs in their oil palm block.</p> <p>As of to date, no case of accident happened.</p>	

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	Koperasi Serba Usaha Suka Makmur has shown the record to monitor the Lost Time Accident under "Buku Kecelakaan Kerja – Koperasi Serba Usaha Suka Makmur", during 2019 there was an accident reported, grade "low", there were no lost time by this accident.	
Requirement for Group Manager		
N/A	N/A	
4.7.7 Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
N/A	N/A	
Criterion 4.8:		
All staff, workers, smallholders and contract workers are appropriately trained.		
4.8.1 (M) A formal training programme shall be in place that covers all aspects of the RSPO Principles and Criteria, and that includes regular assessments of training needs and documentation of the programme.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Anyone working on the farm shall be briefed on best practices relevant to the job they are doing. Members and workers shall participate in the trainings where appropriate. Members inform the Group Manager on participation of workers in training.	All member interviewed were understand the procedure of best management practise for oil palm plantation: harvesting procedure, manuring procedure, soil and water conservation, and integrated pest management. Latest training in 2019 has been followed by member such as: <ul style="list-style-type: none"> - Training of Harvesting and Pruning, dated 15 Apr 2019; - Training of Fertilizing and Pest and Disease Control, dated 9 Jul 2019; - Training of Weed control and Hazardous waste handling, dated 14 Oct 2019; - Training of Occupational Health and Safety, dated 14 Dec 2019; - Training of RSPO P&C, MSDS and NFPA, dated 16 Dec 2019. Record of training can be demonstrated.	
Requirement for Group Manager		
Group Manager shall ensure that all members are trained on the RSPO P&C and records of such training shall be kept	Group Manager Koperasi Serba Usaha Suka Makmur has disseminated all the procedure for best management practice oil palm plantation: harvesting procedure, manuring procedure, soil and water conservation, and integrated pest management. Record of training can be demonstrated. Training record of individual members was evident, e.g. Mr. Sardi (Block 08C23) and Mr. DTM Ridwan have attended training as follows: <ul style="list-style-type: none"> - Training of Harvesting and Pruning, dated 15 Apr 2019; 	

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Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> - Training of Fertilizing and Pest and Disease Control, dated 9 Jul 2019; - Training of Weed control and Hazardous waste handling, dated 14 Oct 2019; - Training of Occupational Health and Safety, dated 14 Dec 2019; - Training of RSPO P&C, MSDS and NFPA, dated 16 Dec 2019. 	
<p>Appropriate to scale, Group Manager shall prepare a training plan.</p>	<p>Group Manager Koperasi Serba Usaha Suka Makmur has prepared a training plan as in document "Program Training 2020" dated 3 January 2020. The training including:</p> <ul style="list-style-type: none"> - Training of Land Preparation for Oil Palm, scheduled in February 2020; - Training of Nursery of Oil Palm, scheduled in April 2020; - Training of Oil Palm planting and Immature upkeep, scheduled in June 2020; - Training of RSPO P&C and Occupational Health and Safety, scheduled in August; - Training of MSDS and hazardous waste, scheduled in October 2020; - Training of Mature Oil Palm and Pest and Disease Control, scheduled in December 2020. 	
<p>4.8.2 Records of training for each employee shall be maintained.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		
<p>Appropriate to scale, training records shall be kept.</p>	<p>Group Manager of Koperasi Serba Usaha Suka Makmur (KSU-SM) has developed training program for a year period. Training realization has been recorded in "Program dan Realisasi Training Tahun 2019". Sample of training conducted are as follows:</p> <ul style="list-style-type: none"> - Training of Harvesting and Pruning, dated 15 Apr 2019; - Training of Fertilizing and Pest and Disease Control, dated 9 Jul 2019; - Training of Weed control and Hazardous waste handling, dated 14 Oct 2019; - Training of Occupational Health and Safety, dated 14 Dec 2019; - Training of RSPO P&C, MSDS and NFPA, dated 16 Dec 2019. <p>Training record of individual members was evident, e.g. e.g. Mr. Sardi (Block 08C23) and Mr. DTM Ridwan have attended training of HCV, IPM, MSDS & NFPA, pesticides handling, fertilizing and harvesting.</p>	

Criterion / Indicator	Assessment Findings	Compliance																			
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 (M) An environmental impact assessment (EIA) shall be documented.																					
Requirement for Individual Member with up to 50ha of plantation size		Comply																			
Individual members shall demonstrate an understanding of the environmental risks of their operations	<p>As regulated under "Undang-undang No.32 tahun 2009 tentang Perlindungan dan Pengelolaan Lingkungan Hidup Pasal 35" stating business and/or activity that has no obligation for environment management and environment monitoring plan shall sign "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup (SPPL)".</p> <p>SPPL for individual members sighted. The environmental aspect-impact being managed related to: to avoid oil palm development/land clearing on conservation/protected area (river riparian or area with steep slope); water management on peat area, to plant legume cover crop; to control soil erosion and surface run off; to prevent loss of biodiversity; to monitor the flora and fauna on the smallholder location; no hunting in smallholder area; efficient use of fertilizer and herbicide; to report environment management performance on regular base.</p>																				
Requirement for Group Manager																					
Group Managers shall identify all activities that have an impact on the environment.	<p>PT. Umbul Mas Wisesa has assisted Group Manager Koperasi Serba Usaha Suka Makmur and its member to prepared the document to identify all activities that have an impact on the environment under "Daftar Aspek dan Pengaruh Lingkungan", updated in January 2020.</p> <table border="1"> <thead> <tr> <th>Activity</th> <th>Type of Impact</th> <th>Cause</th> <th>Operational Control</th> </tr> </thead> <tbody> <tr> <td>Loose fruit collection</td> <td>VOP causing additional herbicide</td> <td>Not loose fruit collected</td> <td>Additional supervision for harvesting; circle and path spraying;</td> </tr> <tr> <td>Spraying herbicide and pesticide</td> <td>Spillage pesticide to ground; Spillage pesticide to water body; Chemical vapor</td> <td>Leaking container; Spraying near water body, mixing near water body; Spraying to open air or wind blow;</td> <td>Controlling pesticide; Provide training;</td> </tr> <tr> <td>Fertilizer</td> <td>Spillage fertilizer</td> <td>Leaking bag</td> <td>Reduce / reuse / recycle</td> </tr> <tr> <td>FFB transport</td> <td>Dripping and spillage oil / fuel; Exhaust fume; Dust and ash</td> <td>Fuel leaking; Machine operation;</td> <td>Routine checking; Preventive maintenance; Speed limit sign;</td> </tr> </tbody> </table>	Activity	Type of Impact	Cause	Operational Control	Loose fruit collection	VOP causing additional herbicide	Not loose fruit collected	Additional supervision for harvesting; circle and path spraying;	Spraying herbicide and pesticide	Spillage pesticide to ground; Spillage pesticide to water body; Chemical vapor	Leaking container; Spraying near water body, mixing near water body; Spraying to open air or wind blow;	Controlling pesticide; Provide training;	Fertilizer	Spillage fertilizer	Leaking bag	Reduce / reuse / recycle	FFB transport	Dripping and spillage oil / fuel; Exhaust fume; Dust and ash	Fuel leaking; Machine operation;	Routine checking; Preventive maintenance; Speed limit sign;
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Criterion / Indicator	Assessment Findings				Compliance
			Driver driving above speed limit		
Conservation area protection	Extinct flora and fauna	Hunting and illegal logging		Installation sign board and measurement;	
Peat area	Decrease in water level; Land fire; Increase of GHG	Prolonged draught; Burning rubbish; Peat land decomposition;		Monitoring; Supervision; Maintain water level at 40 cm;	
Waste production	Ribbon and cartridge	Expired or broken cartridge		Reduce / reuse / recycle	
Genset operation	Dripping and spillage oil / fuel; Exhaust fume; Use of fuel	Poor maintenance; Genset operation;		Second containment; PPE; Preventive maintenance; Fuel conservation;	
Storage hazardous waste in transit point	Drip / leakage on oil and battery; Odor;	Leaking on container;		Second container	
<p>"Surat SPPL" for cooperative members sighted. The environmental aspect-impact being managed related to: to avoid oil palm development/land clearing on conservation/protected area (river riparian or area with steep slope); water management on peat area, to plant legume cover crop; to control soil erosion and surface run off; to prevent loss of biodiversity; to monitor the flora and fauna on the smallholder location; no hunting in smallholder area; efficient use of fertilizer and herbicide; to report environment management performance on regular base.</p> <p>Training related environmental impact assessment has been conducted by Koperasi Serba Usaha Suka Makmur on 20 December 2018 was attended by 24 smallholders member.</p>					
<p>5.1.2 Where the identification of impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a comprehensive management plan. The management plan shall identify the responsible person/persons.</p>					
Requirement for Individual Member with up to 50ha of plantation size					Comply
Individual members shall demonstrate an understanding of the mitigation plan to reduce the environmental impacts.	Based on interview with smallholders member Ahmad Zainuddin No.09B09, Sumardi No.09C20, Sardi No.08C23, DTM Ridwan No.09D40, Marlan No.09E47, Parasian Lumban batu No.09F55, they have demonstrated an understanding of mitigation plan to reduce the environmental impacts, such as: maintaining ground cover, maintain water level for peat soil.				
Individual members shall contribute to the reduction of environmental impacts	<p>A responsible for mitigation plan is own individual members and supervised by Group Manager.</p> <p>Based on interview with smallholders member Ahmad Zainuddin No.09B09, Sumardi No.09C20, Sardi No.08C23, DTM Ridwan No.09D40, Marlan No.09E47, Parasian Lumban batu No.09F55, confirmed that the individual members are contributing to the</p>				

Criterion / Indicator	Assessment Findings	Compliance
	reduction of environmental impact; such as in Mrs. Tri Yuli Wardani using grass slashing instead of spraying herbicide, disposal of empty pesticide container.	
Requirement for Group Manager		
Group Managers shall develop a mitigation plan to reduce environmental risks and review the plan every two years of mitigation plan.	<p>Environmental management and monitoring plan has been determined in "Daftar Aspek dan Pengaruh Lingkungan – environmental risk, dated January 2020" to minimize negative impact and enhance positif impact, such:</p> <ul style="list-style-type: none"> - Planting the pineapples in water drain/canal area. To date has planted 300 pineapples; - Planting beneficial plant <i>Turnera subulata</i> as host plant to predator of caterpillar, to reduce pesticide usage for leaf eating caterpillar: 8 trees per smallholder member (total 248 trees) in March 2019. - Hazardous waste management by provided the transit point in backyard of Koperasi Serba Usaha Suka Makmur office; - Water management by developing water gate, peat subsidence pole, monitoring water level, etc. - Preparing the mitigation of paraquat usage; - Socialization to plant wooden tree in smallholder's oil palm block (7-19 December 2019); <p>A responsible for mitigation plan is own farmer members and supervised by Group Manager Koperasi Serba Usaha Suka Makmur.</p>	
<p>5.1.3 This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
Group Managers shall organise training for members on environmental risks and mitigation measures.	<p>Group Manager Koperasi Serba Usaha Suka Makmur has prepared the document to identify all activities that have an impact on the environment under "Daftar Aspek dan Pengaruh Lingkungan", updated in 1 November 2017.</p> <p>Training related environmental impact assessment and the mitigation has been conducted by Koperasi Serba Usaha Suka Makmur on 20 December 2018 was attended by 24 smallholders member.</p> <p>Record was kept in smallholder group management documentation.</p>	
Group Managers shall monitor implementation	Group Manager Koperasi Serba Usaha Suka Makmur has monitoring the implementation of effectiveness of the mitigation under "Program and Realisasi Koperasi Serba Usaha Suka Makmur", such as:	

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Criterion / Indicator	Assessment Findings	Compliance																				
	<ul style="list-style-type: none"> - Program of Water Management and Peat Subsidence, e.g: upkeep of Watergate and water pole (in February and August), monitoring of peat subsidence (in February), cleaning the drainage/canal. - Group Manager Koperasi Serba Usaha Suka Makmur conducted monitoring of water level regularly in two weeks interval. Water level monitoring has been recorded in "Buku Water Pole", e.g. monitoring on 19 December 2017 reported that water level at WP1 is 59 cm, WP2 is 45 cm, WP3 is 49 cm and WP4 is 48 cm below surface. - "Rencana Pengurangan Pemakaian Paraquat 2017-2019, Koperasi Serba Usaha Suka Makmur". <p>KSU Suka Makmur has report its environmental obligation: "Laporan pelaksanaan SPPL KSU Suka Makmur", through letter "Surat KSU Suka Makmur No.002/KSUSM-KDLHLBS/I/2020, perihal Laporan Pelaksanaan KSU SM Tahun 2019" to "Kepala Dinas Lingkungan Hidup Kabupaten Labuhan Batu Selatan", dated 17 January 2020. The report component:</p> <table border="1" data-bbox="619 972 1315 1854"> <thead> <tr> <th data-bbox="619 972 762 1048">Activity Component/ Environment</th> <th data-bbox="767 972 895 1048">Type of Impact</th> <th data-bbox="900 972 1043 1048">Measurement</th> <th data-bbox="1048 972 1315 1048">Action Plan Implementation</th> </tr> </thead> <tbody> <tr> <td data-bbox="619 1048 762 1234">Erosion on riparian and water canal</td> <td data-bbox="767 1048 895 1234">Vehicle traffic</td> <td data-bbox="900 1048 1043 1234">Erosion on land 180 ton/Ha/year</td> <td data-bbox="1048 1048 1315 1234">Planting trees in front of cooperative office; Maintain vegetation around KSU Suka Makmur; Planting pineapple along water canal;</td> </tr> <tr> <td data-bbox="619 1234 762 1487">Water quality decrease from waste</td> <td data-bbox="767 1234 895 1487">Oil palm block operational activity</td> <td data-bbox="900 1234 1043 1487"></td> <td data-bbox="1048 1234 1315 1487">Create warning sign to prohibit waste; Prepare waste bin; Provisioned transit hazardous waste storage; Install warning sign to remind no spraying and/ or fertilizer along water canal;</td> </tr> <tr> <td data-bbox="619 1487 762 1673">Fire potential</td> <td data-bbox="767 1487 895 1673">Fire hazard in oil palm block of KSU Suka Makmur</td> <td data-bbox="900 1487 1043 1673">Occurrence of land and forest fire</td> <td data-bbox="1048 1487 1315 1673">Prepare and train fire fighting team; Prepare and provision simple fire fighting tool; Fire patrol; Prepare warning sign to prohibit fire;</td> </tr> <tr> <td data-bbox="619 1673 762 1854">Health and safety</td> <td data-bbox="767 1673 895 1854">Injury and/or fatality</td> <td data-bbox="900 1673 1043 1854">Increase in work related injury frequency; Reporting work related disease;</td> <td data-bbox="1048 1673 1315 1854">Implementation of HIRADC; Provision of PPE for worker; Medical check up;</td> </tr> </tbody> </table>	Activity Component/ Environment	Type of Impact	Measurement	Action Plan Implementation	Erosion on riparian and water canal	Vehicle traffic	Erosion on land 180 ton/Ha/year	Planting trees in front of cooperative office; Maintain vegetation around KSU Suka Makmur; Planting pineapple along water canal;	Water quality decrease from waste	Oil palm block operational activity		Create warning sign to prohibit waste; Prepare waste bin; Provisioned transit hazardous waste storage; Install warning sign to remind no spraying and/ or fertilizer along water canal;	Fire potential	Fire hazard in oil palm block of KSU Suka Makmur	Occurrence of land and forest fire	Prepare and train fire fighting team; Prepare and provision simple fire fighting tool; Fire patrol; Prepare warning sign to prohibit fire;	Health and safety	Injury and/or fatality	Increase in work related injury frequency; Reporting work related disease;	Implementation of HIRADC; Provision of PPE for worker; Medical check up;	
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<p>Criterion 5.2:</p>																						

Criterion / Indicator	Assessment Findings	Compliance
<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>		
<p>5.2.1 (M) 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>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Individual members shall demonstrate basic understanding of HCVs and RTEs and the need to protect them</p>	<p>Based on interview, smallholder member sampled able to explain HCV in their area (HCV4) – in simple manner.</p> <p>Smallholder member could also name commonly-sighted animal in their oil palm plantation; cobra snake (<i>Naja sumatrana</i>), palm civet (<i>Paradoxurus hermaproditus</i>), leopard cat (<i>Prionailurus Bengalensis</i>). Other animal commonly seen was monitor lizard (<i>Varanus salvator</i>).</p> <p>Based on field interview with sample of individual smallholder block Mr. Sumardi and Mr. Ahmad Zainuddin, individual members are able to demonstrate understanding that such wildlife shall be protected.</p> <p>Based on field verification to smallholder plantation, no sign of animal trap.</p>	
<p>Individual members shall participate in the HCV assessment.</p>	<p>Based on field interview with sample of individual smallholder block Mr. Sumardi and Mr. Ahmad Zainuddin, they were able to participate in the HCV assessment in 2016.</p>	
<p>Requirement for Group Manager</p>		
<p>HCV assessments shall be conducted by an independent party, or where applicable, an internal assessment can be facilitated by the Group Manager (refer to generic P&Cs or NIs where available; see guidance).</p>	<p>HCV assessment was carried out by Kompas Enviro Institut to a scope of 2,834.77 Ha (this includes potential smallholder in the area) in 2016. The HCV assessment reported under "Laporan Penilaian Nilai Konservasi Tinggi di areal kebun sawit Smallholder Koperasi Mitra PT. Umbul Mas Wisesa, Provinsi Sumatera Utara - 2017". Based on HCV assessment, in Koperasi Serba Usaha Suka Makmur, identified with HCV 4 in form of main drain/canal of 6.59 Ha of 0.73% of all smallholder plantation under the scope. There were no species listed as CR under IUCN redlist found in the landscape.</p> <p>The HCV assessment team comprised of Henry Marpaung (team leader/social-cultural/ALS Provisional), Wibowo A Djatmiko (member/ecology and biodiversity/ALS discipline specialist), Riswan Zen (member/environmental service), Pradipta Wijaya (member/GIS), Horas Simanjuntak (member/ecology and biodiversity), Chyntia Lestari (member/social-cultural), Arimbi Situmeang (member/assistant on environmental service); Field exercise for HCV assessment was 12-19 December 2016. Public stakeholder consultation carried out 23 December 2016, attended by 32 representatives from villagers, community and smallholders.</p>	
<p>5.2.2 (M) 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>		

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual members shall check with the Group Manager status of HCVs and RTEs of their farm based on the HCV assessment report	<p>Based on field interview with sample of individual smallholder block Mr. Sumardi and Mr. Ahmad Zainuddin, individual members are able to demonstrate understanding that such wildlife shall be protected.</p> <p>Name of protected wildlife also installed in KSU Suka Makmur office, also HCV report as a publicly available can access by the members anytime.</p>	
Requirement for Group Manager		
Group Managers shall develop action plans and SOPs (e.g. for RTE species, riparian areas) based on the HCV management and monitoring plan.	<p>HCV assessment was carried out by Kompasnia Enviro Institut to scope of 2,834.77 Ha (this includes potential smallholder in the area) in 2016. The HCV assessment reported under "Laporan Penilaian Nilai Konservasi Tinggi di areal kebun sawit Smallholder Koperasi Mitra PT. Umbul Mas Wisesa, Provinsi Sumatera Utara - 2017". Based on HCV assessment, in Koperasi Serba Usaha Suka Makmur, identified with HCV 4 in form of main drain/canal of 6.59 Ha of 0.73% of all smallholder plantation under the scope. There was no species listed as CR under IUCN redlist found in the landscape.</p> <p>The HCV assessment team comprise of Henry Marpaung (team leader/social-cultural/ALS Provisional), Wibowo A Djatmiko (member/ecology and biodiversity/ALS discipline specialist), Riswan Zen (member/environmental service), Pradipta Wijaya (member/GIS), Horas Simanjuntak (member/ecology and biodiversity), Chyntia Lestari (member/social-cultural), Arimbi Situmeang (member/assistant on environmental service); Field exercise for HCV assessment was 12-19 December 2016. Public stakeholder consultation carried out 23 December 2016, attended by 32 representative from villagers, community and smallholders. Based on HCV assessment, the recommendation for HCV management, consist of:</p> <ul style="list-style-type: none"> - Signboard to prohibit hunting, signboard to demarcate HCV area; - HCV socialization to communities; - Species enrichment, in the main drain buffer – especially timber species; - To communicate the policy on prohibit agrochemical application along the HCV area; - Coordinate with stakeholder for effort to prevent and control land fire; - Installation of water level pole. <p>Group Manager Koperasi Serba Usaha Suka Makmur has prepared a program for HCV Management 2019, consist of:</p> <ul style="list-style-type: none"> - Monitors HCV and the HCV signboards; - Plant pineapple along the main drain buffer zone; - Manual weeding – along the main drain. 	

Criterion / Indicator	Assessment Findings	Compliance
	<p>Group Manager Koperasi Serba Usaha Suka Makmur has prepared a procedure for management of conservation "Prosedur Pengelolaan Area Konservasi No.KSU-SM/PK/015", dated 6 January 2017; which regulates management and monitoring of HCV.</p> <p>Koperasi Serba Usaha Suka Makmur has planted 300 pineapples along the main drain; installed 1 HCV signboard on 14 August 2017 and carried out wildlife monitoring in monthly basis. Record seen: HCV Area Monitoring Checklist dated 3 December 2018, 8 November 2018 and 5 October 2018, it was noted that there is no RTE species found.</p>	
<p>5.2.3 There shall be a programme to regularly educate the workforce about the status of these RTE species, and appropriate disciplinary measures shall be instigated in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual members shall make their workers aware of the status of RTE species and the applicable disciplinary measures.	<p>Based on interview, smallholder member sampled able to explains HCV in their area (HCV4) – in simple manner.</p> <p>Smallholder member could also named commonly-sighted animal in their oil palm plantation; cobra snake (<i>Naja sumatrana</i>), palm civet (<i>Paradoxurus hermaproditus</i>), leopard cat (<i>Prionailurus bengalensis</i>). Other animal commonly seen was monitor lizard (<i>Varanus salvator</i>).</p> <p>Based on field verification to smallholder plantation, no sign of animal trap and smallholder are able to demonstrate understanding that such wildlife shall be protected.</p>	
Requirement for Group Manager		
Group Manager conducts training for their individual members and their workers about the status of HCV and RTE species and the applicable disciplinary measures	Group Manager Koperasi Serba Usaha Suka Makmur has carried out training for HCV Management on 25 July 2017, where 17 smallholder members participated in. Group manager also communicating the wildlife in the area through installation of wildlife poster and HCV poster in front of cooperative office dated 14 August 2017. The latest refreshment of HCV conducted on 20 December 2018, attended by 24 participants. Attendance list and training material were evident.	
<p>5.2.4 Where a management plan has been created there shall be ongoing monitoring:</p> <ul style="list-style-type: none"> • The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported; • Outcomes of monitoring shall be fed back into the management plan. 		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual members shall be involved in the implementation of the HCV management and monitoring plan (to maintain and/or enhance HCVs)	<p>Based on interview, smallholder member sampled able to explains HCV in their area (HCV4) – in simple manner.</p> <p>Smallholder member could also named commonly-sighted animal in their oil palm plantation; cobra snake (<i>Naja sumatrana</i>), palm civet (<i>Paradoxurus hermaproditus</i>), leopard cat (<i>Prionailurus</i></p>	

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Criterion / Indicator	Assessment Findings	Compliance
	<p><i>bengalensis</i>). Other animal commonly seen was monitor lizard (<i>Varanus salvator</i>).</p> <p>All sampled smallholder interviewed are able to demonstrate understanding that such wildlife shall be protected. Based on field verification to smallholder plantation, no sign of animal trap. Based on field visit to smallholder member's house – no RTE species kept as pet.</p> <p>Furthermore, smallholder member interviewed understand that it is not allowed to spray/apply chemical along the main drain buffer.</p>	
Requirement for Group Manager		
Group Managers shall implement a mechanism for individual members to report on threats to HCVs	<p>Group Manager Koperasi Serba Usaha Suka Makmur has appointed PIC to manage and monitors HCV: Mr. Sumardi and Mr. Irwan Harahap; as per "Surat Keputusan Manager Group No.019/SKPTS/KSU-SM/XI/2017 tentang Penunjukkan Petugas Konservasi" dated 20 November 2017. The Job Description of the PIC: monitors HCV area, monitors protected wildlife, monitors the water level condition, monitors water gate condition, record the peat subsidence, prepare monitoring report.</p> <p>PIC performs patrol in monthly basis. Sample seen: HCV Area Monitoring Checklist on 5 October 2018, 8 November 2018 and 3 December 2018.</p>	
5.2.5 Where HCV set-asides with existing rights of local communities have been identified, there shall be evidence of a negotiated agreement that optimally safeguards both the HCVs and these rights.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual members shall be aware of the rights of other local communities that are related to identified HCVs and RTEs	Based on HCV assessment, HCV for scope of Group Manager Koperasi Serba Usaha Suka Makmur sets aside on local community area. The drain was belong to village – under state land. Group Manager have obtained permission to manage the drain from village authority.	
Requirement for Group Manager		
In cases where there is an overlap of local community rights and HCV areas, the Group Manager shall initiate the negotiation of an agreement that optimally safeguards both the HCVs and these rights	Based on HCV assessment, HCV for scope of Group Manager Koperasi Serba Usaha Suka Makmur sets aside on local community area. The drain was belong to village – under state land. Group Manager have obtained permission to manage the drain from village authority.	
Criterion 5.3:		
Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.		
5.3.1 (M) All waste products and sources of pollution shall be identified and documented.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	

Criterion / Indicator	Assessment Findings	Compliance																																			
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Criterion / Indicator	Assessment Findings	Compliance
5.3.2 (M) All chemicals and their containers shall be disposed of responsibly.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Members shall ensure that all chemical containers are properly handled and disposed.	Based on interview with sampled smallholders Ahmad Zainuddin No.09B09, Sumardi No.09C20, Sardi No.08C23, DTM Ridwan No.09D40, Marlan No.09E47, Parasian Lumban batu No.09F55 has understanding for handling fertilizer sack/inner bag. They performed disposal waste as "Rencana Pengelolaan Limbah – KSU Suka Makmur".	
Requirement for Group Manager		
The Group Manager shall ensure that all chemical containers are properly handled and disposed	Group Manager Koperasi Serba Usaha Suka Makmur has identified waste and source pollution under document "Rencana Pengelolaan Limbah", dated 17 January 2020. The identification is consisting of source pollution, waste, impact, mitigation plan. Group Manager Koperasi Serba Usaha Suka Makmur has prepared the procedure on chemical containing handling as in "Pedoman Kerja Penggunaan Bahan Kimia Berbahaya", No.KSU-SM/PK/09, dated 6 January 2017.	
5.3.3 A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Appropriate to scale, members shall have a documented waste management and disposal plan.	Group Manager Koperasi Serba Usaha Suka Makmur has documented waste management and disposal plan under "Rencana Pengelolaan Limbah", dated 17 January 2020. The identification is consisting of source pollution, waste, impact, mitigation plan. The documented waste management and disposal plan available at the group level and has been communicated.	
Members shall communicate to all workers the waste management and disposal plan.	Members has attended training on "Rencana Pengelolaan Limbah", dated 18 January 2019; attended by 30 participants.	
Members shall ensure that the workers are trained on waste management and disposal. Records of such training shall be kept.	Smallholders member has attended the training on waste management and disposal, was conducted on 21 April 2017 attended by 30 participants, e.g: Mr. Lusiono Handoko No.08E43, Mr. Edi Haryanto No.09G57, Mr. Tusiwan No.09B1; Mr. Sido No.09C26; Mr. Ari Panji Sulistiarto No.09D35.	
Requirement for Group Manager		
Appropriate to scale, the Group Manager shall ensure that there is a documented waste management and disposal plan is in place.	Group Manager Koperasi Serba Usaha Suka Makmur has documented waste management and disposal plan under "Rencana Pengelolaan Limbah", dated 17 January 2020. The identification is consisting of source pollution, waste, impact, mitigation plan. The documented waste management and disposal plan available at the group level and has been communicated.	
Group Manager shall communicate to all members on the waste management and disposal plan.	Group Manager Koperasi Serba Usaha Suka Makmur has documented waste management and disposal plan under "Rencana Pengelolaan Limbah", dated 17 January 2020. The identification is consisting of source pollution, waste, impact, mitigation plan.	

Criterion / Indicator	Assessment Findings	Compliance
	Training on waste management and disposal, was conducted on 21 April 2017 attended by 30 participants, e.g: Mr. Lusiono Handoko No.08E43, Mr. Edi Haryanto No.09G57, Mr. Tusiwan No.09B1; Mr. Sido No.09C26; Mr. Ari Panji Sulistiarto No.09D35; etc.	
The Group Manager shall ensure that the members are trained on waste management and disposal. Records of such training shall be kept.	Group manager monitors the delivery/disposal of waste from individual members plantation blocks.	
Criterion 5.4:		
Efficiency of fossil fuel use and the use of renewable energy is optimised.		
5.4.1 A plan for improving efficiency of the use of fossil fuels and to optimise renewable energy shall be in place and monitored.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Appropriate to scale, members shall implement the actions as outlined in the Group's plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.	Individual member use fossil fuel for motorcycle and they conducted efficiency by optimize the motorcycle usage as per necessity.	
Requirement for Group Manager		
Appropriate to scale, Group Manager shall have a plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.	<p>Group Manager Koperasi Serba Usaha Suka Makmur has prepared the plan for improving efficiency of the use of fossil fuels and to optimize renewable energy, such as: managing the FFB evacuation plan.</p> <p>The FFB transport by dump truck in 2017 was 1,480 liters. The FFB transport by dump truck in 2018 was 452 liters. The FFB transport by dump truck in 2019 was 1,155 liters.</p> <p>A road maintenance program has been developed by Koperasi Serba Usaha Suka Makmur in "Program Mengurangi Pemakaian Solar" prepared 17 January 2020. Detail activities programmed are as follows:</p> <ul style="list-style-type: none"> - "Perawatan jalan sehingga truk pengangkut TBS lebih mudah melalui jalan tersebut" – road maintenance with clay so FFB truck can transport FFB easier; "Berupaya menggunakan truk yang memiliki kondisi mesin baik dan terawat" – use transport truck with good machine condition; 	
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.		
5.5.1 (M) 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.		
Requirement for Individual Member with up to 50ha of plantation size		Comply

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Criterion / Indicator	Assessment Findings	Compliance
Individual members shall provide evidence that they understand the No Burning Policy of the group.	Individual member are aware that they cannot use fire for land preparation during replanting from oil palm to oil palm or from any other crop. During interview with member, they understand about the zero burning policy. Statement produced to avoid burning as in "Surat Kesepakatan Terkait dengan Kesanggupan Zero Burning" dated 25 Jan 2017, signed by each member.	
Requirement for Group Manager		
<p>The Group Manager shall:</p> <ul style="list-style-type: none"> • Provide evidence of a no use of fire policy in group SOPs. • Demonstrate that individual farms have been visited for this requirement. • Explain how all the above is socialised to individual members of the Group 	Zero burning techniques have been explained to group members through internal training. During field visit there is no evidence of any kind of burning was noticed. Interview with stakeholders, government officers, village head and neighbouring farmers confirmed that fire was not used in activity in the area.	
<p>5.5.2 Where fire has been used for preparing land for replanting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual members shall provide proposals for use of fire to the Group Manager for assessment and approval prior to burning.	Individual members are aware that they cannot use fire for land preparation during replanting from oil palm to oil palm or from any other crop. During interview with member, they understand about the zero burning policy.	
Requirement for Group Manager		
<p>The Group Manager shall:</p> <ul style="list-style-type: none"> • Demonstrate that any use of fire by any individual member has been assessed to be justified under the ASEAN guidelines ASEAN Policy on Zero Burning' 2003. • Provide written approval from the relevant environment authority on the use of fire in certain situations as prescribed by the ASEAN guidelines. 	<p>Group manager and its member aware that fire is only permitted in special cases which involve elimination of pest and diseases where recommendation from relevant government agencies must be in place prior to use of fire. The smallholder group has developed replanting programme starting on 2026 and has referred to technical guidelines of "Pedoman Teknis Pembukaan Lahan Tanpa Bakar" (Land preparation with zero burning), published by the Ministry of Agriculture.</p> <p>During the interview, the group manager and group members highlighted that there are no fire being used at KSU Suka Makmur area.</p>	
<p>Criterion 5.6: Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.</p>		

Criterion / Indicator	Assessment Findings	Compliance
5.6.1 (M) An assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent (see Criterion 4.4).		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
List significant pollutants and identify sources of emissions.	<p>Group Manager Koperasi Serba Usaha Suka Makmur has identified waste and source pollution under document "Rencana Pengelolaan Limbah", dated 17 January 2020. The identification is consisting of source pollution, waste, impact, reduction plan.</p> <p>Interview with sampled smallholders Ahmad Zainuddin No.09B09, Sumardi No.09C20, Sardi No.08C23, DTM Ridwan No.09D40, Marlan No.09E47, Parasian Lumban batu No.09F55 confirmed understanding on disposal of empty agrochemical containers, fertilizer plastic bag and domestic waste.</p>	
5.6.2 (M) Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimise them implemented.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
Identify options to reduce pollutants and emissions and consider whether the group can implement any of these.	<p>Group Manager Koperasi Serba Usaha Suka Makmur has identified waste and source pollution under document "Rencana Pengelolaan Limbah", dated 17 January 2020.</p> <p>The identification is consisting of source pollution, waste, impact, reduction plan.</p> <p>Interview with sampled smallholders Ahmad Zainuddin No.09B09, Sumardi No.09C20, Sardi No.08C23, DTM Ridwan No.09D40, Marlan No.09E47, Parasian Lumban batu No.09F55 confirmed understanding on disposal of empty agrochemical containers, fertilizer plastic bag and domestic waste.</p>	
5.6.3 A monitoring system shall be in place, with regular reporting on progress for these significant pollutants and emissions from estate and mill operations, using appropriate tools.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance																																	
<p>Based on the above, where possible, mitigation measures shall be developed and implemented.</p> <p>Socialize the information to the group members.</p>	<p>Group Manager Koperasi Serba Usaha Suka Makmur has identified waste and source pollution under document "Rencana Pengelolaan Limbah", dated 17 January 2020.</p> <p>The identification is consisting of source pollution, waste, impact, mitigation plan. "Rencana Mitigasi Gas Rumah Kaca"</p> <table border="1" data-bbox="619 568 1315 1532"> <thead> <tr> <th>Purpose</th> <th>Program</th> <th>Target</th> <th>Implementation</th> </tr> </thead> <tbody> <tr> <td rowspan="2">Reduce herbicide and pesticide</td> <td>No herbicide/pesticide application along water body/ riparian</td> <td>All smallholder member block</td> <td></td> </tr> <tr> <td>Planting beneficial plant</td> <td>Based on nettle caterpillar infestation</td> <td>Planting <i>Turnera subulata</i> (248 trees in March 2019).</td> </tr> <tr> <td rowspan="2">Efficiency in fertilizer application</td> <td>Carried out effective fertilizer application</td> <td>All smallholder member block</td> <td></td> </tr> <tr> <td>No fertilizer application along water body/ riparian</td> <td>All smallholder member block</td> <td></td> </tr> <tr> <td rowspan="2">Re-use ex-chemical container</td> <td>Collection and storage empty pesticide container</td> <td>All hazardous waste stored in temporary storage and recorded</td> <td>see Logbook</td> </tr> <tr> <td>Appropriate cleaning before re-use empty pesticide container</td> <td>Re-use empty chemical container, to carry cocktail</td> <td>Used empty chemical container (jerry can) for cemented house foundation</td> </tr> <tr> <td>Fossil fuel reduction</td> <td>Effective use of transport</td> <td>Fossil fuel reduction plan</td> <td>see "Program Pengurangan BBM";</td> </tr> <tr> <td>Planting trees</td> <td>Planting trees near KSU Office, housing, and sideways</td> <td>50 trees</td> <td>Penanaman pohon</td> </tr> </tbody> </table> <p>Communication of GHG mitigation plan carried out on 15 April 2019, whereby attended by 34 personnel. Among attendees are sampled member: Mr. DTM Ridwan, Mr. Marlan, Mr. Sardi, Mr. Sumardi, Mr. Parasian Lumbabatu;</p>	Purpose	Program	Target	Implementation	Reduce herbicide and pesticide	No herbicide/pesticide application along water body/ riparian	All smallholder member block		Planting beneficial plant	Based on nettle caterpillar infestation	Planting <i>Turnera subulata</i> (248 trees in March 2019).	Efficiency in fertilizer application	Carried out effective fertilizer application	All smallholder member block		No fertilizer application along water body/ riparian	All smallholder member block		Re-use ex-chemical container	Collection and storage empty pesticide container	All hazardous waste stored in temporary storage and recorded	see Logbook	Appropriate cleaning before re-use empty pesticide container	Re-use empty chemical container, to carry cocktail	Used empty chemical container (jerry can) for cemented house foundation	Fossil fuel reduction	Effective use of transport	Fossil fuel reduction plan	see "Program Pengurangan BBM";	Planting trees	Planting trees near KSU Office, housing, and sideways	50 trees	Penanaman pohon	
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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 (M) A social impact assessment (SIA) including records of meetings shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual members shall demonstrate an understanding of the social risks of their operations.	Based on interview with smallholder member, it was known that PT Umbul Mas Wisesa has provide assistance to Group Manager Koperasi Serba Usaha Suka Makmur in prepares social impact assessment. Smallholder member sampled was able to explain the social impact such as complaints related to the FFB transport activity, social jealousy from smallholder non-group member.	
Requirement for Group Manager		
Group Managers shall identify all activities that have social impacts with the participation of affected parties.	<p>Group Manager of - KSU Suka Makmur has established the document of Social Impact Assessment was carried out with cooperation with NEC GMO NS, in 2017.</p> <p>The scope of assessment covers Koperasi Serba Usaha Suka Makmur, Tanjung Mulia Village. The result reported under "Social Impact Assessment di Areal Koperasi Serba Usaha Suka Makmur, Kabupaten Labuhan Batu Selatan, Provinsi Sumatera Utara". The assessment team comprise of ENC Department PT. Umbul Mas Wisesa. The social impact assessment carried out in October 2017, with participation from Tanjung Mulia village community, with Focus Group Discussion (FGD) and interview.</p> <p>FGD was carried out on 27 October 2017, while interview with community carred out previously on 13 October 2017 (with Mr. Sumardi), on 14 October 2017 (with H. Muhtar Nasution), on 9 October 2017 (with Viktor H. Girsang).</p> <p>The potential negative impact in form of air pollution from FFB transport activity – may lead to complaint from community; other aspect is social jealousy. Based on result, Group Manager prepares a social management plan:</p> <ul style="list-style-type: none"> • Establish communication and network with stakeholders of Koperasi Serba Usaha Suka Makmur; • Program to improve community health; • Local community economy's empowerment • Human resources development for committee and smallholder members. 	
6.1.2 There shall be evidence that the assessment has been done with the participation of affected parties.		
Requirement for Individual Member with up to 50ha of plantation size		Comply

Criterion / Indicator	Assessment Findings	Compliance
N/A	N/A	
Requirement for Group Manager		
Group Managers shall identify all activities that have social impacts with the participation of affected parties	<p>Group Manager of KSU Suka Makmur has established the document of Social Impact Assessment was carried out with cooperation with ENC GMO NS, in 2017.</p> <p>The scope of assessment covers Koperasi Serba Usaha Suka Makmur, Tanjung Mulia Village. The result reported under "Social Impact Assessment di Areal Koperasi Serba Usaha Suka Makmur, Kabupaten Labuhan Batu Selatan, Provinsi Sumatera Utara". The assessment team comprise of ENC Department PT. Umbul Mas Wisesa. The social impact assessment carried out in October 2017, with participation from Tanjung Mulia village community, with Focus Group Discussion (FGD) and interview.</p> <p>FGD was carried out on 27 October 2017, while interview with community carried out previously on 13 October 2017 (with Mr. Sumardi), on 14 October 2017 (with H. Muhtar Nasution), on 9 October 2017 (with Viktor H. Girsang).</p> <p>The potential negative impact in form of air pollution from FFB transport activity – may lead to complaint from community; other aspect is social jealousy. Based on result, Group Manager prepares a social management plan:</p> <ul style="list-style-type: none"> • Establish communication and network with stakeholders of Koperasi Serba Usaha Suka Makmur; • Program to improve community health; • Local community economy's empowerment • Human resources development for committee and smallholder members. 	
<p>6.1.3 Plans for avoidance or mitigation of negative impacts and promotion of the positive ones, and monitoring of impacts identified, shall be developed in consultation with the affected parties, documented and timetabled, including responsibilities for implementation.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual members shall demonstrate an understanding of the mitigation plan to reduce the social impacts	During ASA-1, based on interview with sample of farmer member, they have understands the social management in form of establishing good communication with stakeholders; to plant trees along the road for air filtration.	
Requirement for Group Manager		
Group Managers shall develop a mitigation plan (with clear timetable) to reduce social risks and review the plan every two years in consultation with the affected parties.	<p>The potential negative impact in form of air pollution from FFB transport activity – may lead to complaint from community; other aspect is social jealousy. Based on result, Group Manager prepares a social management plan:</p> <ul style="list-style-type: none"> - Establish communication and network with stakeholders of Koperasi Serba Usaha Suka Makmur; - Program to improve community health; - Local community economy's empowerment 	

Criterion / Indicator	Assessment Findings	Compliance
	- Human resources development for committee and smallholder members.	
Group Managers shall organise training for members on social risks and mitigation measures	Group Manager of Koperasi Serba Usaha (KSU) Suka Makmur has provided training to mitigate negative social risk and mitigation. Mitigation measures have been implemented: access road maintenane using financial from smallholder member's.	
6.1.4 The plans shall be reviewed as a minimum once every two years and updated as necessary, in those cases where the review has concluded that changes should be made to current practices. There shall be evidence that the review includes the participation of affected parties.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Where applicable, individual members shall help to address negative social impacts in a consultative manner.	The potential negative impact in form of air pollution from FFB transport activity – may lead to complaint from community; other aspect is social jealousy. Based on result, Group Manager prepares a social management plan: <ul style="list-style-type: none"> • Establish communication and network with stakeholders of Koperasi Serba Usaha Suka Makmur; • Program to improve community health; • Local community economy's empowerment • Human resources development for committee and smallholder members. <p>Group Manager has also monitored the implementation of SIA to address negative social impacts in a consultative manner, per annum.</p> <p>Data seen of consultation record as per: "Formulir Interview Dengan Masyarakat Untuk Aspek Sosial", dated 23 October 2019, name of respondent Mr Sido (57 years old) - address Tanjung Mulia Village, Mr Syamsul Siregar (46 years old) - address Tanjung Mulia Village, Mr Ahmad Roji (47 years old) - address Tanjung Mulia Village.</p>	
Requirement for Group Manager		
Group Managers shall monitor implementation of mitigation plan.	Group Manager has monitored the implementation of mitigation plan for once per annum. Last monitoring as per report of "Laporan Pelaksanaan Upaya Pemantauan dan Pengelolaan Dampak Sosial Koperasi Serba Usaha Suka Makmur tahun 2019", prepared by Group Manager dated 17 January 2020.	
6.1.5 Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme).		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
N/A	N/A	
Criterion 6.2:		
There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.		
6.2.1 Consultation and communication procedures shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
The individual member shall demonstrate understanding of the group's consultation and communication procedures	Based on field observation and interview with sample of individual smallholder block Mr. Sumardi and Mr. Ahmad Zainuddin, individual members stated that they understood regarding group consultation and communication procedures. During cooperative structure, they were attended the meeting and they become member of cooperative by their own decision.	
Requirement for Group Manager		
The Group Manager shall develop a documented procedure for consultation and communication with local communities and other affected or interested parties.	Group Manager of Koperasi Serba Usaha Suka Makmur (KSU-SM) has developed procedure on consultation and communication. 1. Information Request and Response "Pemberian Tanggapan atas Permintaan Informasi" (KSU-SM/PK/012) dated 6 January 2017; 2. Grievance Resolve Management "Penanganan Keluh Kesah" (KSU-SM/PK/010) dated 6 January 2017.	
The Group Manager shall ensure that individual group members are informed of the consultation and communication procedure.	The procedures has been communicated to all individual member on 18 April 2017. Also, all procedures is available on notification board at KSU Suka Makmur office.	
6.2.2 A management official responsible for these issues shall be nominated.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
The Group Manager shall nominate an official responsible for these issues	Based on procedures of consultation and communication person responsible for handling issues is chairman of Koperasi Serba Usaha Suka Makmur (KSU-SM).	
6.2.3 A list of stakeholders, records of all communication, including confirmation of receipt and that efforts are made to ensure understanding by affected parties, and records of actions taken in response to input from stakeholders, shall be maintained.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Group Manager		
The Group Manager shall make a list of stakeholders or construct a "stakeholder register" and keep records of all communication and actions taken.	<p>There is no changes on stakeholder list at KSU Suka Makmur. Group Manager Koperasi Serba Usaha Suka Makmur (KSU-SM) has established stakeholder list updated in January 2020, consist of:</p> <ol style="list-style-type: none"> 1. Government office: Regent, Vice Regent, Manpower Agency Office, Plantation and Forestry Agency Office, Health Agency Office, Environment Agency Office, Land Agency Office, Industrial Agency Office. 2. MUSPIKA: District Head of Kampung Rakyat, Police Head of Kampung Rakyat Sector and Labuhanbatu Resort. 3. Village Head of Tanjung Mulia, Sei Siarti, Sidomulyo, Sukoarjo, and Community Leader of Sukoarjo. 4. Company: PT. Umbul Mas Wisesa. 	
Criterion 6.3:		
There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all effected parties.		
6.3.1 The system, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistleblowers, where requested.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Appropriate to scale, the member shall have a documented grievance mechanism in place	Group Manager has defined the grievance mechanism as per established "Pedoman Kerja Penanganan Keluh Kesah No.KSU-SM/PK/010" dated 6 January 2017, regulated that grievance mechanism is at Group Manager level.	
The workers shall understand the process.	<p>During ASA-1 in January 2020, based on interview with sample of farmer member has been understood that all complaints was referred to Group Manager.</p> <p>Sample member verified: Mr Marlan (register number 09E47), Mr Parasian Lumban Batu (register 09F55), Mr DTM Ridwan (register number 09D40).</p>	
Requirement for Group Manager		
The Group Manager shall have a documented grievance mechanism in place	<p>Group Manager Koperasi Serba Usaha Suka Makmur has established grievance mechanicme to handle grievance as per document "Pedoman Kerja Penanganan Keluh Kesah No.KSU-SM/PK/010" dated 6 January 2017.</p> <p>The guideline states that external and internal grievance communicated to group manager and will be responded in 14 days.</p> <p>Grievance can be in form of written and/or verbal.</p>	
The Group Manager shall ensure members are familiar with the grievance procedure.	During ASA-1 in January 2020, based on interview with sample of farmer member has been familiar with the grievance procedure.	

Criterion / Indicator	Assessment Findings	Compliance
	Sample member verified: Mr Marlan (register number 09E47), Mr Parasian Lumban Batu (register 09F55), Mr DTM Ridwan (register number 09D40)	
Where necessary, the Group Manager shall support members to put in place documented grievance mechanism	<p>Group Manager Koperasi Serba Usaha Suka Makmur has established grievance mechanism to handle grievance as per document "Pedoman Kerja Penanganan Keluh Kesah No.KSU-SM/PK/010" dated 6 January 2017.</p> <p>The guideline states that external and internal grievance communicated to group manager and will be responded in 14 days.</p> <p>Grievance can be in form of written and/or verbal.</p>	
6.3.2 Documentation of both the process by which a dispute was resolved and the outcome shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		
Appropriate to scale, the procedure shall provide documentation of both how the process of the dispute was resolved and the outcome	Group Manager has defined the grievance mechanism as per established "Pedoman Kerja Penanganan Keluh Kesah No.KSU-SM/PK/010" dated 6 January 2017, regulated that grievance mechanism is at Group Manager level.	Comply
Requirement for Group Manager		
The procedure shall provide documentation of both how the process of the dispute was resolved and the outcome.	<p>Group Manager Koperasi Serba Usaha Suka Makmur has established grievance mechanism to handle grievance as per document "Pedoman Kerja Penanganan Keluh Kesah No.KSU-SM/PK/010" dated 6 January 2017.</p> <p>The guideline states that external and internal grievance communicated to group manager and will be responded in 14 days.</p> <p>Grievance can be in form of written and/or verbal.</p> <p>Group Manager has provided logbook to documents the grievance resolution process under "Rekaman Keluh Kesah".</p> <p>Sample seen: Based on review of grievance logbook – during 2019, there were 2 grievances from internal member, e.g: dated 2nd April 2019 – from Mr M Hidayat Mustomo (farmer member) related to require the provide of fertilizer material to farmer member. Response provided by Group Manager on 3rd April 2019 that the request will be follow up to PT Umbul Mas Wisesa. Status completed.</p>	
<p>Criterion 6.4:</p> <p>Any negotiations concerning compensation for loss of legal, customary or user rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.</p>		

Criterion / Indicator	Assessment Findings	Compliance
<p>6.4.1 A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be in place.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
<p>The Group Manager develops a procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation and a procedure for calculating and distributing fair compensation.</p>	<p>Group Manager has prepared a mechanism to resolve conflict titled "Pedoman Kerja Penyelesaian Sengketa/Konflik Lahan Dokumen No.KSU-SM/PK/016" dated January 2018. The procedure explains identification of legal, customary or user rights upon complained land. The procedure including procedure for identifying people entitled to compensation. Procedure to calculate and to distribute fair compensation.</p> <p>It was also stipulated that all conflict will be dealt through mediation. Should this process failed – Group Manager will brought up to legal/trial.</p>	
<p>6.4.2 A procedure for calculating and distributing fair compensation (monetary or otherwise) shall be established and implemented, monitored and evaluated in a participatory way, and corrective actions taken as a result of this evaluation. This procedure shall take into account: gender differences in the power to claim rights, ownership and access to land; differences of transmigrants and long-established communities; and differences in ethnic groups' proof of legal versus communal ownership of land.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
<p>The Group Manager develops a procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation and a procedure for calculating and distributing fair compensation.</p>	<p>Group Manager has prepared a mechanism to resolve conflict titled "Pedoman Kerja Penyelesaian Sengketa/Konflik Lahan Dokumen No.KSU-SM/PK/016" dated January 2018. The procedure explains identification of legal, customary or user rights upon complained land. The procedure including procedure for identifying people entitled to compensation. Procedure to calculate and to distribute fair compensation.</p> <p>It was also stipulated that all conflict will be dealt through mediation. Should this process failed – Group Manager will brought up to legal/trial.</p>	
<p>6.4.3 The process and outcome of any negotiated agreements and compensation claims shall be documented, with evidence of the participation of affected parties, and made publicly available.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual group members formally request assistance by the Group	Based on field observation and interview with sample of individual smallholder block Mr. Sumardi and Mr. Ahmad Zainuddin,	

Criterion / Indicator	Assessment Findings	Compliance
Manager in this process to assure compliance with the procedures	individual members stated that their land is origin from their own area since 2006.	
Requirement for Group Manager		
The Group Manager documents the process and outcome of any negotiated agreements and compensation claims with evidence of the participation of affected parties, and makes this publicly available.	<p>Group Manager has prepared a mechanism to resolve conflict titled "Pedoman Kerja Penyelesaian Sengketa/Konflik Lahan Dokumen No.KSU-SM/PK/016" dated January 2018. The procedure explains identification of legal, customary or user rights upon complained land. The procedure including procedure for identifying people entitled to compensation. Procedure to calculate and to distribute fair compensation.</p> <p>It was also stipulated that all conflict will be dealt through mediation. Should this process failed – Group Manager will brought up to legal/trial.</p> <p>In order to make it publicly available, Group Manager Koperasi Serba Usaha Suka Makmur prepares a logbook "Rincian Keluhan dan Pengaduan";</p>	
The Group Manager assists individual group members in these situations upon request by the member.	Grievance mechanism is at Group Manager level. Smallholder member will request mediation from Group Manager should any complaint raised against them.	
<p>Criterion 6.5:</p> <p>Pay and conditions for employees and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.</p>		
<p>6.5.1 Documentation of pay and conditions shall be available.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Appropriate to scale, the members shall keep documentation of pay and conditions.	<p>Based on interview and document review, each smallholder members have documented payment to worker under "Buku Transaksi Pembayaran Upah Pekerja Anggota Koperasi Serba Usaha Suka Makmur" year 2019.</p> <p>Sample of individual smallholders visited Mr. Parasian Lumban Batu and Mr. Ahmad Zainudin employed workers for their palm blocks. Documentation of pay and conditions are kept in KSU Suka Makmur office, i.e:</p> <ol style="list-style-type: none"> Mr. Parasian Lumban Batu (ID Member: 051); Block 09F55. Casual worker: Mr. Mulyadi. Payment on 9 March 2019; 13 Jul 2019; 12 Nov 2019, each activities paid IDR 200,000 (Circle and Path Spraying). Mr. Ahmad Zainudin (ID Member: 009); Block 09B09. Casual worker: Mr. Mulyadi. Payment on 4 Mar 2019; 8 Jul 2019; 4 Nov 2019, each activities paid IDR 200,000 (Circle and Path Spraying). 	
The pay shall meet at least the legal or industry standards minimum wage.	Workers for smallholders are casual workers and not working daily at the blocks.	

Criterion / Indicator	Assessment Findings	Compliance
	<p>Group Manager adjust the wage for workers is referred to Regional Minimum Wage of South Labuhan Batu Regency.</p> <p>Regional Minimum Wage of South Labuhan Batu Regency for 2019 is IDR 3,025,000 per month.</p> <p>Or equal with IDR 121,000 per day (7 hours working). Where, casual worker only working average 3 hours per day. Therefore, payment from block owner to the workers already met the standard minimum wage.</p>	
Requirement for Group Manager		
<p>The Group Manager shall be aware of the legal or industry standards minimum wage.</p>	<p>Workers for smallholders are casual workers and not working daily at the blocks.</p> <p>Group Manager adjust the wage for workers is referred to Regional Minimum Wage of South Labuhan Batu Regency.</p> <p>Regional Minimum Wage of South Labuhan Batu Regency for 2019 as per Governor Decree Nomor 188.44/1577/KPTS/2018, dated 31 December 2018 is IDR IDR 3,025,000 per month. Or equal with IDR 121,000 per day (7 hours working).</p> <p>Based on interview with Manpower Agency of Labuhan Batu Selatan Regency, standard minimum wage for year 2020 yet approved and circulate by the government.</p>	
<p>6.5.2 Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be available in the languages understood by the workers or explained carefully to them by a management official.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
<p>If individual members employ workers or sub-contractors:</p> <ul style="list-style-type: none"> • employment contracts and conditions (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be explained in the language they understand 	<p>There is no direct employment. There is no sub-contract. The worker only work for several hours on several days per month. Workers for smallholders are casual workers and not working daily at the blocks.</p> <p>Based on interview with individual member, the agreement was verbally made. The agreement related to payrate (piece rate per Ha or per tonne); working tool provision; work quality, etc.</p>	
Requirement for Group Manager		
<p>Appropriate to scale, the Group Manager shall ensure that members comply with labour laws and conditions (6.5.2, 6.5.3 & 6.5.4)</p>	<p>Workers for smallholders are casual workers and not working daily at the blocks.</p> <p>Group Manager adjust the wage for workers is referred to Regional Minimum Wage of South Labuhan Batu Regency.</p> <p>Regional Minimum Wage of South Labuhan Batu Regency for 2019 as per Governor Decree Nomor 188.44/1577/KPTS/2018, dated 31 December 2018 is IDR IDR 3,025,000 per month. Or equal with IDR 121,000 per day (7 hours working).</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>Based on interview with Manpower Agency of Labuhan Batu Selatan Regency, standard minimum wage for year 2020 yet approved and circulate by the government.</p> <p>Employment contract made between Spraying operator with Group Manager. In example:</p> <p>Contract No: 001/KSUSM/PKB/I/2019, dated 1 January 2019. Spraying operators with contracted by Group Manager is five (5) persons, i.e: Mr. Mulyadi, Mr. Ahmad Zainuddin, Mr. Suriadi Nasution, Mr. Doni P. Siregar, Mr. Sahrel.</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>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>N/A</p>
<p>appropriate to scale, members shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible</p>	<p>There is no direct employment. There is no sub-contract. The worker only work for several hours on several days per month. The worker is casual workers.</p> <p>Based on interview and field visit during ASA-1, worker at smallholder member have their own house, food supplies, water supplies, medical and educational from government.</p>	
<p>Requirement for Group Manager</p>		
<p>Appropriate to scale, the Group Manager shall ensure that members comply with labour laws and conditions (6.5.2, 6.5.3 & 6.5.4)</p>	<p>There is no direct employment. There is no sub-contract. The worker only work for several hours on several days per month. The worker is casual workers.</p> <p>Based on interview and field visit during ASA-1, worker at smallholder member have their own house, food supplies, water supplies, medical and educational from government.</p>	
<p>6.5.4 Growers and millers shall make demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>N/A</p>
<p>appropriate to scale, members shall make efforts to ensure access to food to workers, including providing allotment (space) for growing food</p>	<p>There is no direct employment. There is no sub-contract. The worker only work for several hours on several days per month. The worker is casual workers.</p> <p>Based on interview and field visit during ASA-1, worker at smallholder member have their own house, food supplies, water supplies, medical and educational from government.</p>	
<p>Requirement for Group Manager</p>		
<p>Appropriate to scale, the Group Manager shall ensure that members comply with labour laws and conditions (6.5.2, 6.5.3 & 6.5.4)</p>	<p>There is no direct employment. There is no sub-contract. The worker only work for several hours on several days per month. The worker is casual workers.</p> <p>Based on interview and field visit during ASA-1, worker at smallholder member have their own house, food supplies, water supplies, medical and educational from government.</p>	

Criterion / Indicator	Assessment Findings	Compliance
<p>Criterion 6.6: The employer respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.</p>		
<p>6.6.1 A published statement in local languages recognising freedom of association shall be available.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
<p>If individual members employ workers:</p> <ul style="list-style-type: none"> A published statement shall be available in local languages recognising freedom of association (to form and join trade unions) 	<p>Based on interview with smallholder member, the member understood the policy on freedom of association, from Group Manager – dated 25 January 2017. The smallholder member respect worker right for free association and collective bargaining.</p> <p>Based on interview with the casual worker, stated that the policy has been heard; however, the worker has not moved to establish a worker union.</p> <p>Socialization policy on freedom of association from group manager to sampled smallholder on period 8-25 February 2019.</p>	
Requirement for Group Manager		
The Group Manager shall be aware of the statement, if applicable	<p>Group manager has issued a policy, “Kebijakan dan Komitmen Bersama” dated 25 January 2017 related to (one of the content) freedom of association.</p> <p>Point 4. “Menghormati hak asasi manusia, termasuk hak seluruh pekerja untuk berserikat dan berunding secara kolektif serta memberikan peluang dan perlakuan yang sama dalam kesempatan kerja” – to respect human rights, including right of all worker to form union and have collective bargaining and give equal opportunity and treatment in work.</p>	
<p>6.6.2 Minutes of meetings with main trade unions or workers representatives shall be documented.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
<p>Minutes of the meeting with main trade unions or workers’ representatives shall be documented and kept</p>	<p>Based on interview with smallholder member, the member understood the policy on freedom of association, from Group Manager – dated 25 January 2017. The smallholder member respect worker right for free association and collective bargaining.</p> <p>Based on interview with the casual worker, stated that the policy has been heard; however, the casual worker has not moved to establish a worker union. Therefore, no worker union.</p> <p>Meeting with casual worker takes place during dissemination of policy, whereby all smallholder member and the workers are invited.</p>	
Requirement for Group Manager		
N/A	N/A	

Criterion / Indicator	Assessment Findings	Compliance
<p>Criterion 6.7: Children are not employed or exploited.</p>		
<p>6.7.1 There shall be documentary evidence that minimum age requirements are met.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Member shall be aware of the child labour policy and implement it.</p>	<p>Based on interview with individual members in January 2020 it was noted that they aware about child labor policy and implemented it. Members understood that they cannot employed children under 18 years old.</p>	
<p>Member shall keep records of their employees including age, including copies of birth certificate/national identification card/passport</p>	<p>Members does not employed workers to do upkeep and harvesting job at their plantation. They do the the job by themselves and sometimes assisted by their family member/relatives.</p>	
<p>Requirement for Group Manager</p>		
<p>Write a policy on Child Labour and keep records of documented evidence of awareness raising on child labour</p>	<p>Group Manager of Koperasi Serba Usaha Suka Makmur (KSU SM) has established and documented policy regarding child labor in decree letter of "Surat Keputusan Ketua Koperasi Serba Usaha Suka Makmur No.002/SKPTS/KSU-SM/II/2017 tentang Larangan Menggunakan Tenaga Kerja Anak di Bawah Umur, Wanita Hamil/Menyusui dan Pekerja Paksa", dated 7 February 2017. Also available "Kebijakan & Komitment Bersama" dated 25 Jan 2017. The policy prohibit member to employed children under 18 years old, pregnant women and forced labour. The policy written in Indonesian so that can be understood by all members. The policy has been disseminated to all members on 9 September 2017. The latest dissemination of Child labour policy conducted on 14 December 2019, attended by 31 participants. Attendance list and training material were evident.</p>	
<p>The policy shall be clear that children can only work under supervision, are family members and not doing hazardous work</p>	<p>Decree Letter from Chairman of KSU Suka Makmur No.002/SKPTS/KSU-SM/II/2017 dated 7 Feb 2017y mentioned that if there are children or family member under 18 years old helping their parent in doing plantation job, it shall be supervised by parent and not doing high risk job.</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>		
<p>6.8.1 A publicly available equal opportunities policy including identification of relevant/affected groups in the local environment shall be documented.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Members shall be aware of the equal opportunities policies and implement it</p>	<p>Based on interview with smallholder member, they understand the policy on equal opportunity and no discrimination. This has been written in the statute of Koperasi Serba Usaha Suka Makmur.</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>Implementation in form of no discrimination in worker selection (for harvesting, upkeep, fertilizer application, etc.). The policy has been disseminated to all smallholder member, including the casual worker at each smallholder block. Sampled meeting dated 20 December 2018, attended by 24 smallholders. Sampled smallholder: Viktor H Girsang No.09B12, Taslim No.09G58.</p> <p>Socialization policy on freedom of association from group manager to sampled smallholder on period 8-25 February 2019.</p>	
Requirement for Group Manager		
Write a policy on equal opportunities and keep records of documented evidence of awareness raising on it	<p>Based on document review, Koperasi Serba Usaha Suka Makmur has stipulated policy on equal opportunity and prohibit any kind of discrimination – as written in “Anggaran Dasar Koperasi Serba Usaha Suka Makmur” – the cooperative statute.</p> <p>Point 4. “Menghormati hak asasi manusia, termasuk hak seluruh pekerja untuk berserikat dan berunding secara kolektif serta memberikan peluang dan perlakuan yang sama dalam kesempatan kerja” – to respect human rights, including right of all worker to form union and have collective bargaining and give equal opportunity and treatment in work.</p> <p>Implementation in form of open registration for anyone interested to become cooperative member.</p>	
6.8.2 Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated against.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Members shall be aware of the equal opportunities policies and implement it	<p>Based on interview with smallholder member, they understand the policy on equal opportunity and no discrimination. This has been written in the statute of Koperasi Serba Usaha Suka Makmur.</p> <p>Implementation in form of no discrimination in worker selection (for harvesting, upkeep, fertilizer application, etc.).</p> <p>The policy has been disseminated to all smallholder member, including the casual worker at each smallholder block. Sampled meeting dated 20 December 2018, attended by 24 smallholders. Sampled smallholder: Viktor H Girsang No.09B12, Taslim No.09G58.</p> <p>Socialization policy on freedom of association from group manager to sampled smallholder on period 8-25 February 2019.</p>	
Requirement for Group Manager		
N/A	N/A	
6.8.3 It shall be demonstrated that recruitment selection, hiring and promotion are based on skills, capabilities, qualities, and medical fitness necessary for the jobs available.		
Requirement for Individual Member with up to 50ha of plantation size		Comply

Criterion / Indicator	Assessment Findings	Compliance
Members shall be aware of the equal opportunities policies and implement it	<p>Socialization policy on freedom of association from group manager to sampled smallholder on period 8-25 February 2019.</p> <p>Based on interview with smallholder member, they understand the policy on equal opportunity and no discrimination. This has been written in the statute of Koperasi Serba Usaha Suka Makmur.</p> <p>Implementation in form of no discrimination in worker selection (for harvesting, upkeep, fertilizer application, etc.).</p>	
Requirement for Group Manager		
N/A	N/A	
<p>Criterion 6.9:</p> <p>There is no harassment or abuse in the work place, and reproductive rights are protected.</p>		
<p>6.9.1 Policy to prevent sexual and all other forms of harassment and violence shall be implemented and communicated to all levels of the workforce.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
<p>Appropriate to scale, members shall develop the policy/policies and procedure to prevent sexual, all other forms of harassment, violence and protection of reproductive rights</p>	<p>Member of group Koperasi Serba Usaha Suka Makmur does not develop policy themselves. Individual member refer to and follows policy related to prevent sexual harassment from group manager.</p> <p>Based on interview with individual members in January 2020, it was noted that they aware about policy on prevention of sexual harassment, violence and protection of reproductive rights. They have been attended dissemination on 9 September 2017 related policy No.005/SKPTS/KSU-SM/VIII/2017 dated 8 August 2017 regarding Prohibition of Sexual Harrassment and No.002/SKPTS/KSU-SM/II/2017 dated 7 February 2017 regarding Prohibition of using child labour, pregnant or breastfeeding women and forced labour. The latest dissemination of policy to prevent sexual harassment, violence and protection of reproductive rights conducted on 14 December 2019, attended by 31 participants. Attendance list and training material were evident.</p>	
Requirement for Group Manager		
<p>Group Manager shall develop the Policy/Polices and procedure to prevent sexual, and all other forms of harassment, violence and protection of reproductive rights</p>	<p>Group Manager Koperasi Serba Usaha Suka Makmur has developed and documented policy to prevent sexual, and all other forms of harassment, violence and protection of reproductive rights under policy No.005/SKPTS/KSU-SM/VIII/2017 dated 8 August 2017 regarding Prohibition of Sexual Harrassment and No.002/SKPTS/ KSU-SM/II/2017 dated 7 February 2017 regarding Prohibition of using child labour, pregnant or breastfeeding women and forced labour. The policy has been disseminated to all members on 9 September 2017. The latest dissemination of policy to prevent sexual harassment, violence and protection of reproductive rights conducted on 14 December 2019, attended by 31 participants. Attendance list and training material were evident.</p>	

Criterion / Indicator	Assessment Findings	Compliance
<p>6.9.2 A policy to protect the reproductive rights of all, especially of women, shall be implemented and communicated to all levels of the workforce.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Members shall make sure that all staff/workers are aware of the policies and procedures to prevent sexual, and all other forms of harassment and violence as well as of the policy of the protection of reproductive rights</p>	<p>Based on interview with individual members in January 2020, it was noted that they aware about policy to protect the reproductive rights of all, especially women. They have been attended dissemination of policy "Kebijakan & Komitment Bersama" dated 27 Jan 2017. Point 5 of the policy mentioned about protection of the reproductive rights of all, especially women. The latest dissemination of policy to protect the reproductive rights of all, especially of women was conducted on 14 Dec 2019, attended by 31 participants. Attendance list and training material were evident.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall make sure that all members are aware of the policies and procedures to prevent sexual, and all other forms of harassment, violence and protection of reproductive rights</p>	<p>Based on interview with individual members in January 2020, it was noted that they aware about policy to protect the reproductive rights of all, especially of women. The Group manager have conducted dissemination of policy "Kebijakan & Komitment Bersama" dated 27 Jan 2017. Point 5 of the policy mentioned about protection of the reproductive rights of all, especially women. The latest dissemination of policy to protect the reproductive rights of all, especially of women was conducted on 14 Dec 2019, attended by 31 participants. Attendance list and training material were evident.</p>	
<p>6.9.3 A specific grievance mechanism which respects anonymity and protects complainants where requested shall be established, implemented, and communicated to all levels of the workforce.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Members shall be aware of the policy/policies and procedures for handling sexual and all other forms of harassment, violence and the protection of reproductive rights, in the language which the workers can understand</p>	<p>Based on interview with individual members in January 2020 it was noted that they aware about specific grievance mechanism which respects anonymity and protects complainants where requested. They have been attended dissemination related "Pedoman Kerja Panduan Keluh Kesah dan Kerahasiaan pelapor (Whistleblower) No.KSU-SM/PK/010 dated 6 Dec 2019. The procedure regulates grievance mechanism which respects anonymity and protects complainants (whistleblower) where requested. The latest dissemination about specific grievance mechanism which respects anonymity and protects complainants where requested was conducted on 14 Dec 2019, attended by 31 participants. Attendance list and training material were evident.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall ensure members are aware of the policy/polices and procedure for handling sexual and all other forms of harassment, violence and the protection of reproductive rights, in</p>	<p>Group manager of Koperasi Serba Usaha Suka Makmur has disseminated procedure regarding specific grievance mechanism which respects anonymity and protects complainants where requested. The Group manager have conducted dissemination of "Pedoman Kerja Panduan Keluh Kesah dan Kerahasiaan pelapor (Whistleblower) No.KSU-SM/PK/010 dated 6 Dec 2019. The</p>	

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Criterion / Indicator	Assessment Findings	Compliance																		
the language which the workers can understand	procedure regulates grievance mechanism which respects anonymity and protects complainants (whistleblower) where requested. The latest dissemination about specific grievance mechanism which respects anonymity and protects complainants where requested was conducted on 14 Dec 2019, attended by 31 participants. Attendance list and training material were evident.																			
Criterion 6.10: Growers and mills deal fairly and transparently with smallholders and other local businesses.																				
6.10.1 Current and past prices paid for Fresh Fruit Bunches (FFB) shall be publicly available.																				
Requirement for Individual Member with up to 50ha of plantation size		Comply																		
N/A	N/A																			
Requirement for Group Manager																				
Where Group Managers sell the FFB on behalf of the group members, the Group Manager shall inform group members of the price of FFB obtained.	<p>The FFB price updated on weekly basis, based on FFB price from mill. The FFB price information comes from Mill Manager to Group Manager, and/or directly to smallholder member through short message service or phonecall. Also displayed in announcement board in front of KSU Suka Makmur's office.</p> <p>FFB price has been made publicly available by the company, as evidence in "Harga Penjualan TBS Smallholder UMW". For example, FFB price for period 5 – 11 Nov 2019 is Rp 1,290/kg. Based on Director of Marketing letter dated 30 May 2018, an addition Rp20/kg is given to DO holders, and Rp 50/kg addition is given to certified smallholder (KSU Suka Makmur).</p> <p>FFB price then disseminate to smallholders by Smallholder Support Team by display it in the announcement board in front of KSU Suka Makmur Office. Based on circular from KSU Suka Makmur No.001/SE/KSUSM/I/2017, if there is question regarding FFB price, members can contact chairman of KSU Suka Makmur through phone number 085261601648.</p> <p>Current FFB Prices:</p> <table border="1"> <thead> <tr> <th>Date</th> <th>FFB Price (Rp/kg)</th> </tr> </thead> <tbody> <tr> <td>3 Dec 2019</td> <td>1,540</td> </tr> <tr> <td>10 Dec 2019</td> <td>1,600</td> </tr> <tr> <td>17 Dec 2019</td> <td>1,630</td> </tr> <tr> <td>24 Dec 2019</td> <td>1,670</td> </tr> <tr> <td>31 Dec 2019</td> <td>1,670</td> </tr> <tr> <td>7 Jan 2020</td> <td>1,710</td> </tr> <tr> <td>14 Jan 2020</td> <td>1,830</td> </tr> <tr> <td>21 Jan 2020</td> <td>1,810</td> </tr> </tbody> </table>	Date	FFB Price (Rp/kg)	3 Dec 2019	1,540	10 Dec 2019	1,600	17 Dec 2019	1,630	24 Dec 2019	1,670	31 Dec 2019	1,670	7 Jan 2020	1,710	14 Jan 2020	1,830	21 Jan 2020	1,810	
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6.10.2 Evidence shall be available that growers/millers have explained FFB pricing, and pricing mechanisms for FFB and inputs/services shall be documented (where these are under the control of the mill or plantation).																				
Requirement for Individual Member with up to 50ha of plantation size		Comply																		

Criterion / Indicator	Assessment Findings	Compliance
The individual member understands the pricing mechanism of the purchaser	<p>Based on interview with smallholder member, they do understand the mechanism/information flow for FFB pricing. The explanation from member: The FFB price sets by PT. Umbul Mas Wisesa – UMW POM: average price from surrounding (private palm oil mills) + Rp.50/kg.</p> <p>FFB price comes from mill; while the revenue is FFB price deducted with cost (transport, cooperative operational cost, fertilizer, agrochemical, etc.). All smallholder plantation cost then summarize by Group Manager, stated as appendix for invoice to mill. Smallholder member receive the FFB sales from direct transfer from UMW POM's banking after deducted with fertilizer and other cost.</p>	
Requirement for Group Manager		
The Group Manager shall record the general pricing mechanisms used by the purchaser/s of the FFB. The Group Manager shall record the corresponding information provided to the group members	The FFB price updated on weekly basis, based on FFB price from mill. The FFB price information comes from Mill Manager to Group Manager, and/or directly to smallholder member through short message service. Also displayed in announcement board in front of KSU Suka Makmur's office.	
6.10.3 Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
<p>Where Group Managers have the mandate to enter into contractual agreements on behalf of the group, the Group Manager shall inform group members about their content and make them available. These contracts shall also be fair, legal and transparent for the contractors. Where no such mandate exists, the Group Manager has to seek agreement from group members prior to entering contractual agreements with third parties. These contracts shall also be fair, legal and transparent for the contractors</p>	<p>The contractual agreement with any party was mandated to Chairman of Koperasi Serba Usaha Suka Makmur. Based on document review, Group Manager can demonstrate the agreement with third party. Sample taken: - "Surat Perjanjian Kerja" No.001/SPK/KSU-SM/I/2019 dated 3 Jan 2019 between Koperasi Serba Usaha Suka Makmur with Transporter, Pristiwanto – agreement for FFB transport from KSU Suka Makmur to PT UMW Palm Oil Mill. - "Perjanjian Kerja Borongan (FL)" No.001/KSUSM/PKB/1/2019 dated 1 Jan 2019. Agreement regarding Free Labour (casual worker) between Koperasi Serba Usaha Suka Makmur with 5 (five) person of free labor. Both parties have understood the right and obligation, and signed the agreement. This was confirmed with the casual workers during interview. The worker has understand the clauses in the agreement is fair, legal and transparent for them.</p>	
6.10.4 Agreed payments shall be made in a timely manner.		
Requirement for Individual Member with up to 50ha of plantation size		Comply

Criterion / Indicator	Assessment Findings	Compliance																					
<p>Agreed payments to local businesses shall be made in a timely manner</p>	<p>Based on document verification, payment for worker/local business made on timely manner. Sample verified: Farmer on behalf Mr. Marlan has paid Mr. Muliadi for Circle & Path Spraying on 8 Mar 2019, amount Rp. 200,000; on 17 Jul 2019, amount Rp. 200,000; on 10 Nov 2019, amount Rp. 200,000. The payment (and receipt by third party) recorded in "Buku Catatan Petani Tahun 2018".</p> <p>Payment for FFB transport verified on Invoice. For example invoice No. 009/inv/KSU-SM/I/2020 dated 20 Jan 2020.</p> <table border="1" data-bbox="619 712 1171 954"> <thead> <tr> <th>Farmer Name</th> <th>FFB (kg)</th> <th>Transport Cost (Rp)</th> </tr> </thead> <tbody> <tr> <td>Mujimin</td> <td>1,477</td> <td>147,700</td> </tr> <tr> <td>DTM Ridwan</td> <td>1,205</td> <td>120,500</td> </tr> <tr> <td>M. Hidayat</td> <td>1,100</td> <td>110,000</td> </tr> <tr> <td>Taslim</td> <td>822</td> <td>82,200</td> </tr> <tr> <td>Edi Haryanto</td> <td>603</td> <td>60,300</td> </tr> <tr> <td>Total</td> <td>5,207</td> <td>520,700</td> </tr> </tbody> </table>	Farmer Name	FFB (kg)	Transport Cost (Rp)	Mujimin	1,477	147,700	DTM Ridwan	1,205	120,500	M. Hidayat	1,100	110,000	Taslim	822	82,200	Edi Haryanto	603	60,300	Total	5,207	520,700	
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Requirement for Group Manager																							
<p>Agreed payments to local businesses shall be made in a timely manner.</p> <p>If the Group Manager receives payment for the FFB produced by group members, the Group Manager shall make payments to the individual group members in a timely manner.</p>	<p>Based on document verification, payment for worker/local business made on timely manner. Sample verified: Farmer on behalf Mr. Marlan has paid Mr. Muliadi for Circle & Path Spraying on 8 Mar 2019, amount Rp. 200,000; on 17 Jul 2019, amount Rp. 200,000; on 10 Nov 2019, amount Rp. 200,000. The payment (and receipt by third party) recorded in "Buku Catatan Petani Tahun 2018".</p> <p>Payment for FFB transport verified on Invoice. For example invoice No. 009/inv/KSU-SM/I/2020 dated 20 Jan 2020.</p> <table border="1" data-bbox="619 1370 1171 1612"> <thead> <tr> <th>Farmer Name</th> <th>FFB (kg)</th> <th>Transport Cost (Rp)</th> </tr> </thead> <tbody> <tr> <td>Mujimin</td> <td>1,477</td> <td>147,700</td> </tr> <tr> <td>DTM Ridwan</td> <td>1,205</td> <td>120,500</td> </tr> <tr> <td>M. Hidayat</td> <td>1,100</td> <td>110,000</td> </tr> <tr> <td>Taslim</td> <td>822</td> <td>82,200</td> </tr> <tr> <td>Edi Haryanto</td> <td>603</td> <td>60,300</td> </tr> <tr> <td>Total</td> <td>5,207</td> <td>520,700</td> </tr> </tbody> </table>	Farmer Name	FFB (kg)	Transport Cost (Rp)	Mujimin	1,477	147,700	DTM Ridwan	1,205	120,500	M. Hidayat	1,100	110,000	Taslim	822	82,200	Edi Haryanto	603	60,300	Total	5,207	520,700	
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<p>Criterion 6.11:</p>																							
<p>Growers and millers contribute to local sustainable development where appropriate.</p>																							
<p>6.11.1 Contributions to local development that are based on the results of consultation with local communities shall be demonstrated.</p>																							
<p>Requirement for Individual Member with up to 50ha of plantation size</p>	<p>Comply</p>																						

Criterion / Indicator	Assessment Findings	Compliance
The responsibility for meeting this requirement lies with the Group Manager	<p>Contribution to local development in form of levy from FFB sales to contribute for village road maintenance. Levy deducted per FFB transport from Smallholders.</p> <p>Document seen for sample of FFB transported from individual smallholders, as follow:</p> <ul style="list-style-type: none"> - Record of retribution for road maintenance from KSU – SM to Sukoharjo village amount Rp 100,000 (code: BK 8043 YF), dated 09th October 2019 - Record of retribution for road maintenance from KSU – SM to Sukoharjo village amount Rp 150,000 (code: BK 8043 YF), dated 16th September 2019 	
Requirement for Group Manager		
<p>Evidence of consultation with local communities and stakeholders.</p> <p>Where contributions have been identified as necessary based on the consultation carried out, the Group Manager shall ensure that these are implemented</p>	<p>Contribution to local development in form of levy from FFB sales to contribute for village road maintenance.</p> <p>This arrangement was based on social impact assessment result and consultation with community from Tanjung Mulia village.</p> <p>As a commitment Group Manager to contribute the local village and road condition, there is levy from FFB sales IDR 20/kg each smallholder. This levy is informed and calculated in Invoice, i.e: Document of "Permintaan Uang Atas Penjualan TBS Kelapa Sawit" period 9 Jan 2019 & 13 Jan 2019.</p>	
<p>6.11.2 Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve smallholder productivity.</p>		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
N/A	N/A	
<p>Criterion 6.12:</p> <p>No forms of forced or trafficked labour are used.</p>		
<p>6.12.1 There shall be evidence that no forms of forced or trafficked labour are used.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Appropriate to scale, members shall have a policy on no forms of forced or trafficked labour	Based on field observation and interview with sample of individual smallholder block Mr. Sumardi and Mr. Ahmad Zainuddin, individual members stated that smallholder member understand the policy on no use of forced labour and/or trafficked labour has been established by Group Manager.	

Criterion / Indicator	Assessment Findings	Compliance
Members/workers shall be aware of the policy and ensure that no forms of forced or trafficked labour are used	Workers for smallholders are casual workers, local resident and some of them is family members. No trafficked labour is presence. Casual workers was not working daily at the same blocks.	
Requirement for Group Manager		
The Group Manager shall write a policy on no forms of forced or trafficked labour	Group Manager Koperasi Serba Usaha Suka Makmur has issued a policy, as in Surat Keputusan Ketua Koperasi Serba Usaha No.02/SKPTS/KSU-SM/II/2017 tentang Larangan Penggunaan Tenaga Kerja Anak Dibawah Umur, Wanita Hamil/Menyusui dan Pekerja Paksa” dated 7 February 2017. The policy covers prohibition to use underage worker, pregnant/breastfeeding female worker and forced labour.	
The Group Manager shall ensure that members/workers are aware of the policy and that no forms of forced or trafficked labour are used	Based on internal audit dated 8 Oct 2019, group manager reveal the result that no forced labour being used. Most of the worker are family member, and/or casual worker – working for piece rate.	
6.12.2 Where applicable, it shall be demonstrated that no contract substitution has occurred.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Members shall keep relevant records of employment contracts.	Workers for smallholders are casual workers, local resident and some of them is family members. Based on interview with sample of individual member, the agreement was verbally made. The agreement related to payrate (piece rate per Ha or per tonne); working tool provision; work quality, etc. Employment contract made between Spraying operator with Group Manager. In example: Contract No: 001/KSUSM/PKB/I/2019, dated 1 January 2019. Spraying operators with contracted by Group Manager is five (5) persons, i.e: Mr. Mulyadi, Mr. Ahmad Zainuddin, Mr. Suriadi Nasution, Mr. Doni P. Siregar, Mr. Sahrel.	
Requirement for Group Manager		
N/A	N/A	
6.12.3 Where temporary or migrant workers are employed, a special labour policy and procedures shall be established and implemented.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Where applicable, copies of post-arrival orientation programme and records of participation shall be kept.	Workers for smallholders are casual workers, local resident and some of them is family members. No migrant workers is presence. Casual workers was not working daily at the same blocks.	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
N/A	N/A	
Criterion 6.13:		
Growers and millers respect human rights.		
6.13.1 A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations (see Criteria 1.2 and 2.1).		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual members to show evidence that they understand the policy	Based on interview with individual members in January 2020 it was noted that they understood about policy to respect human right. They have been attended dissemination on 9 September 2017 related policy No.004/SKPTS/KSU-SM/IV/2017 dated 20 April 2017 regarding "Menghormati Hak Asasi Manusia". There is policy issued by KSU Suka Makmur, called "Kebijakan & Komitmen Bersama" dated 25 Jan 2017. Point 4 of the policy mentioned about respecting human right including right of all worker to create union and equal right in working opportunity. Individual members are able to explain in simple manner such as freedom to choose religion and to pray, freedom to speak, freedom to organize, freedom to have livelihood, etc. The latest dissemination regarding policy to respect human rights was conducted on 14 Dec 2019, attended by 31 participants. Attendance list and training material were evident.	
Requirement for Group Manager		
Group Manager to develop policy to respect human rights i.e. that workers are treated with respect and dignity, and ensure that this is communicated through group members	Koperasi Serba Usaha Suka Makmur (KSU SM) has developed and documented policy to respect human rights under policy No.004/SKPTS/KSU-SM/IV/2017 dated 20 April 2017 regarding "Menghormati Hak Asasi Manusia". The policy has been disseminated to all members on 9 September 2017. The policy stated that all members of Koperasi Serba Usaha Suka Makmur in doing all activity include in cooperative activity, plantation management and in community must respect human rights. There is policy issued by KSU Suka Makmur, called "Kebijakan & Komitmen Bersama" dated 25 Jan 2017. Point 4 of the policy mentioned about respecting human right including right of all worker to create union and equal right in working opportunity. The latest dissemination regarding policy to respect human rights was conducted on 14 Dec 2019, attended by 31 participants. Attendance list and training material were evident.	

Criterion / Indicator	Assessment Findings	Compliance
Principle 7: Responsible development of new plantings		
Criterion 7.1:		
Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.		

Criterion / Indicator	Assessment Findings	Compliance
<p>7.1.1 An independent social and environmental impact assessment (SEIA), undertaken through a participatory methodology including the relevant affected stakeholders, shall be documented.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Individual members shall demonstrate an understanding of the environmental and social risks of their operations.</p>	<p>During ASA-1, based on interview with sample of farmer member, they have understands of the environmental and social risks of their operations.</p> <p>Also, as regulated under “Undang-undang No. 32 tahun 2009 tentang Perlindungan dan Pengelolaan Lingkungan Hidup Pasal 35” stating business and/or activity that has no obligation for environment management and environment monitoring plan shall sign “Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup (SPPL)”.</p> <p>PPL for smallholder members sighted. The environmental aspect-impact being managed related to:</p> <ul style="list-style-type: none"> • Avoid oil palm development/land clearing on conservation/protected area (river riparian or area with steep slope); • Water management on peat area, to plant legume cover crop; • Control soil erosion and surface run off; • Prevent loss of biodiversity; • Monitor the flora and fauna on the smallholder location; • No hunting in smallholder area; • Efficient use of fertilizer and herbicide <p>The social impact assessment carried out in October 2017, with participation from Tanjung Mulia village community, with Focus Group Discussion (FGD) and interview.</p> <p>FGD was carried out on 27 October 2017, while interview with community carried out previously on 13 October 2017 (with Mr. Sumardi), on 14 October 2017 (with H. Muhtar Nasution), on 9 October 2017 (with Viktor H. Girsang).</p> <p>The potential negative impact in form of air pollution from FFB transport activity – may lead to complaint from community; other aspect is social jealousy.</p>	
<p>Requirement for Group Manager</p>		
<p>A comprehensive SEIA shall be conducted by an independent party, or where applicable, an internal assessment can be facilitated by the Group Manager (refer to generic P&Cs or NIs where available).</p>	<p>Group Manager of - KSU Suka Makmur has established the document of Social Impact Assessment was carried out with cooperation with NEC GMO NS, in 2017.</p> <p>The scope of assessment covers Koperasi Serba Usaha Suka Makmur, Tanjung Mulia Village. The result reported under “Social Impact Assessment di Areal Koperasi Serba Usaha Suka Makmur, Kabupaten Labuhan Batu Selatan, Provinsi Sumatera Utara”. The assessment team comprise of ENC Department PT. Umbul Mas Wisesa. The social impact assessment carried out in October 2017, with participation from Tanjung Mulia village community, with Focus Group Discussion (FGD) and interview.</p>	

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Criterion / Indicator	Assessment Findings	Compliance
	<p>Also, as regulated under “Undang-undang No.32 tahun 2009 tentang Perlindungan dan Pengelolaan Lingkungan Hidup Pasal 35” stating business and/or activity that has no obligation for environment management and environment monitoring plan shall sign “Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup (SPPL)”.</p> <p>SPPL has registered to Environmental Agency in Labuhanbatu Selatan Regency (DLH Kabupaten), register No.12, dated 10th May 2019.</p> <p>SPPL for smallholder members sighted. The environmental aspect-impact being managed related to:</p> <ul style="list-style-type: none"> • Avoid oil palm development/land clearing on conservation/protected area (river riparian or area with steep slope); • Water management on peat area, to plant legume cover crop; • Control soil erosion and surface run off; • Prevent loss of biodiversity; • Monitor the flora and fauna on the smallholder location; • No hunting in smallholder area; • Efficient use of fertilizer and herbicide <p>The social impact assessment carried out in October 2017, with participation from Tanjung Mulia village community, with Focus Group Discussion (FGD) and interview.</p> <p>FGD was carried out on 27 October 2017, while interview with community carried out previously on 13 October 2017 (with Mr. Sumardi), on 14 October 2017 (with H. Muhtar Nasution), on 9 October 2017 (with Viktor H. Girsang).</p> <p>The potential negative impact in form of air pollution from FFB transport activity – may lead to complaint from community; other aspect is social jealousy.</p>	
<p>Group Managers shall confirm land ownership and user rights within the new planting area.</p>	<p>During ASA1 – Group Manager of KSU Suka Makmur has demonstrated that 31 smallholder members can demonstrate legal ownership of the land as explained under criterion 2.2.</p>	
<p>Group Managers shall identify all activities that have environmental and social impacts (positive and negative) with the participation of affected parties.</p>	<p>SPPL for smallholder members sighted. The environmental aspect-impact being managed related to:</p> <ul style="list-style-type: none"> • Avoid oil palm development/land clearing on conservation/protected area (river riparian or area with steep slope); • Water management on peat area, to plant legume cover crop; • Control soil erosion and surface run off; • Prevent loss of biodiversity; • Monitor the flora and fauna on the smallholder location; • No hunting in smallholder area; • Efficient use of fertilizer and herbicide <p>The social impact assessment carried out in October 2017, with participation from Tanjung Mulia village community, with Focus Group Discussion (FGD) and interview.</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>FGD was carried out on 27 October 2017, while interview with community carried out previously on 13 October 2017 (with Mr. Sumardi), on 14 October 2017 (with H. Muhtar Nasution), on 9 October 2017 (with Viktor H. Girsang).</p> <p>The potential negative impact in form of air pollution from FFB transport activity – may lead to complaint from community; other aspect is social jealousy.</p>	
<p>7.1.2 Appropriate management planning and operational procedures shall be developed and implemented to avoid or mitigate identified potential negative impacts.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Individual members shall demonstrate an understanding of the management plan to avoid or mitigate the social and environmental impacts.</p>	<p>Group Manager has prepared the management plan to mitigate environmental impact, as mentioned in SPPL, such as:</p> <ul style="list-style-type: none"> • Avoid oil palm development/land clearing on conservation/protected area (river riparian or area with steep slope); • Water management on peat area, to plant legume cover crop; • Control soil erosion and surface run off; • Prevent loss of biodiversity; • Monitor the flora and fauna on the smallholder location; • No hunting in smallholder area; • Efficient use of fertilizer and herbicide <p>The potential negative impact in form of air pollution from FFB transport activity – may lead to complaint from community; other aspect is social jealousy. Based on result, Group Manager prepares a social management plan:</p> <ul style="list-style-type: none"> • Establish communication and network with stakeholders of Koperasi Serba Usaha Suka Makmur; • Program to improve community health; • Local community economy’s empowerment; • Human resources development for committee and smallholder members. 	
<p>Requirement for Group Manager</p>		
<p>Group Managers shall develop a plan to avoid or mitigate environmental and social risks in consultation with the affected parties.</p>	<p>Group Manager has prepared the management a plan to avoid or mitigate environmental and social risks in consultation with the affected parties, as mentioned in SPPL, such as:</p> <ul style="list-style-type: none"> • Avoid oil palm development/land clearing on conservation/protected area (river riparian or area with steep slope); • Water management on peat area, to plant legume cover crop; • Control soil erosion and surface run off; • Prevent loss of biodiversity; • Monitor the flora and fauna on the smallholder location; • No hunting in smallholder area; • Efficient use of fertilizer and herbicide <p>The potential negative impact in form of air pollution from FFB transport activity – may lead to complaint from community; other aspect is social jealousy. Based on result, Group Manager prepares a social management plan:</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> Establish communication and network with stakeholders of Koperasi Serba Usaha Suka Makmur; Program to improve community health; Local community economy's empowerment; Human resources development for committee and smallholder members. <p>The social impact assessment carried out in October 2017, with participation from Tanjung Mulia village community, with Focus Group Discussion (FGD) and interview.</p>	
<p>Group Managers shall organise training for members on environmental and social risks and mitigation measures.</p>	<p>Group Manager of Koperasi Serba Usaha (KSU) Suka Makmur has provides training to mitigate negative environmental impact, social risk and mitigation.</p> <p>Mitigation measures have been implemented: access road maintenane using financial from smallholder member's.</p> <p>Refreshment of training related environmental impact assessment and the mitigation has been conducted by Koperasi Serba Usaha Suka Makmur, e.g, dated 16th December 2019, was attended by 14 member.</p>	
<p>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.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Individual members should discuss amongst themselves about shared responsibilities at the landscape level and how to manage issues (e.g. water, waste management etc.) and who are responsible for implementation.</p>	<p>During ASA1 – January 2019; Sample of smallholder member interviewed was able to demonstrate knowledge on how to manage water source, water management for peat area, water gate to maintain water level, prevent fire on peat, and other environment impacts.</p> <p>KSU Suka Makmur has appointed Group Manager as person who responsible for the implementation.</p>	
<p>Requirement for Group Manager</p>		
<p>Group Managers shall monitor implementation of SEIA management plan.</p>	<p>Group Manager of KSU Suka Makmur has monitored the implementation of SEIA management plan, per annum.</p> <p>The document on monitoring the implementation of effectiveness of the mitigation under "Program and Realisasi Program Pengelolaan Lingkungan dan Sosial year 2019", such as:</p> <ul style="list-style-type: none"> To develop communication with stakeholders related to KSU Suka Makmur's activity, with activity comprise of conduct review with village communities in order to understand community's perception towards KSU Suka Makmur. Local community economy empowerment, through activity: <ul style="list-style-type: none"> Encourage oil palm cultivation through best management practices; Local workforce utilization around KSU Suka Makmur; To give opportunity to local farmer to become cooperative member and sales the FFB through cooperative; 	

Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> Manpower use, through conduct training to farmer member of cooperative; 	
<p>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.</p>		
<p>7.2.1 Soil suitability maps or soil surveys adequate to establish the long-term suitability of land for oil palm cultivation shall be available and taken into account in plans and operations.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individuals' members can show appropriate understanding of soil type and suitability	<p>Based on interview with individual members on January 2020 they all understood that their area is peat. All members understood that they have to add Copper (CuSO₄) to increase their soil suitability. Application of CuSO₄ recorded in "Buku Catatan Petani Tahun 2019".</p> <p>"Buku Catatan Petani Tahun 2019 Mr.Parasian Lumbanbatu", block 09F55, 1.79 Ha, OP2009 – "Realisasi Pemupukan tahun 2019" fertilizer record 25 October 2019: 25 kg (0.07 kg/palm);</p> <p>"Buku Catatan Petani Tahun 2019 Mr.Ahmad Zainuddin", block 09B09, 1.40 Ha, OP2009 – "Realisasi Pemupukan tahun 2019" fertilizer record April 2019: 25 kg (0.08 kg/palm);</p>	
Requirement for Group Manager		
<p>Group Manager shall:</p> <ul style="list-style-type: none"> Compile and maintain an overall soil map for the group 	Group Manager Koperasi Serba Usaha Suka Makmur (KSU SM) has maintain overall soil map for the group as in HCV assessment document, conducted by Koompasia Enviro Institute, that finalized in March 2017. The whole cooperative area is peat.	
<ul style="list-style-type: none"> Provide required information and or training for individual members 	Group Manager Koperasi Serba Usaha Suka Makmur (KSU SM) has provided required information regarding peat soil and its treatment in training of Fertilizing and work program, on 22 February 2017.	
<p>7.2.1 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>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individuals' members can show appropriate understanding of soil type and suitability	Based on interview with individual members on January 2020 they all understood that topography of their area is flat (0 - 8 %). No special treatment required for flat area.	
Requirement for Group Manager		
Overall soil map to include topographic information.	Group Manager Koperasi Serba Usaha Suka Makmur (KSU SM) has maintain overall soil map for the group as in HCV assessment document, conducted by Koompasia Enviro Institute, that finalized in March 2017. The document stated that based on	

Criterion / Indicator	Assessment Findings	Compliance
	Digital Elevation Model (DVM) SRTM version 5 with special resolution 90 m; topography at Koperasi Serba Usaha Suka Makmur area is all flat (0 – 8 %).	
<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>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual members shall demonstrate basic understanding of primary forest and HCV and the need to avoid clearing of such areas.	<p>Based on interview, smallholder member sampled able to explain HCV in their area (HCV4) – in simple manner.</p> <p>Smallholder member could also named commonly-sighted animal in their oil palm plantation; cobra snake (<i>Naja sumatrana</i>), palm civet (<i>Paradoxurus hermaproditus</i>), leopard cat (<i>Prionailurus Bengalensis</i>). Other animal commonly seen was monitor lizard (<i>Varanus salvator</i>).</p> <p>All sampled smallholder interviewed are able to demonstrate understanding that such wildlife shall be protected. Based on field verification to smallholder plantation, no sign of animal trap.</p> <p>In addition, smallholder members sampled could provide simple explanation on “primary forest” – based on criteria informed by group manager. The smallholder members revealed that when they first planted the land, land covers was already oil palm plantation.</p> <p>Smallholder members understand they are not allowed to convert primary forest and/or area containing HCV.</p>	
Individual members shall check with the Group Manager the primary forest and HCV status of their farm within the landscape (see guidance) based on the HCV assessment report.	Smallholder member and group manager of Koperasi Serba Usaha Suka Makmur made reference to HCV assessment report. Based on interview and cross-reference with the HCV assessment report, it was known that back in 1990, the land cover was forest; in 2005, the land cover was disturbed forest and shrub; in 2009 (during planting time of KSU-SM), the land cover was already predominant with oil palm plantation, barren land, and old shrubs; by 2016 the land cover for the whole landscape was oil palm plantation.	
Requirement for Group Manager		
The Group Manager shall demonstrate basic understanding of primary forest and HCV and inform individual members of the need to avoid clearing of such areas.	Group manager was able to explain primary forest and HCV. The group manager was able to point out relevant information (HCV assessment report) to demonstrate the plantation was not originated/converted from primary forest and/or HCV area. The smallholder member plantation was in form of oil palm plantation when they started the planting.	

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<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>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual members shall participate in the HCV assessment.	Based on field interview with sample of individual smallholder block Mr. Sumardi and Mr. Ahmad Zainuddin, they are was participate in the HCV assessment in 2016.	
Requirement for Group Manager		
<p>Prior to new plantings, a comprehensive HCV assessment shall be conducted by an independent party, or where applicable, an internal assessment can be facilitated by the Group Manager (refer to generic P&Cs or NIs where available).</p>	<p>HCV assessment was carried out by Kompasnia Enviro Institut to scope of 2,834.77 Ha (this includes potential smallholder in the area) in 2016. The HCV assessment reported under "Laporan Penilaian Nilai Konservasi Tinggi di areal kebun sawit Smallholder Koperasi Mitra PT. Umbul Mas Wisesa, Provinsi Sumatera Utara - 2017". Based on HCV assessment, in Koperasi Serba Usaha Suka Makmur, identified with HCV 4 in form of main drain/canal of 6.59 Ha of 0.73% of all smallholder plantation under the scope. There was no species listed as CR under IUCN redlist found in the landscape.</p> <p>The HCV assessment team comprise of Henry Marpaung (team leader/social-cultural/ALS Provisional), Wibowo A Djatmiko (member/ecology and biodiversity/ALS discipline specialist), Riswan Zen (member/environmental service), Pradipta Wijaya (member/GIS), Horas Simanjuntak (member/ecology and biodiversity), Chyntia Lestari (member/social-cultural), Arimbi Situmeang (member/assisstant on environmental service); Field exercise for HCV assessment was 12-19 December 2016. Public stakeholder consultation carried out 23 December 2016, attended by 32 representative from villagers, community and smallholders.</p>	
<p>7.3.3 Dates of land preparation and commencement shall be recorded.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual members shall record dates of land preparation and commencement of their own farm.	Based on information, the planting year was 2008-2009.	
Requirement for Group Manager		
The Group Manager shall develop SOPs for recording land preparation and commencement of farms by individual members.	Based on information, the planting year was 2008-2009. Group manager has prepared a land preparation procedure.	

Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall collate dates of land preparation and commencement of individual farms.</p>	<p>Group manager has made land verification before the smallholder member joins the group for certification. Based on verification, it was confirmed that the planting years for 31 smallholder members was between 2008 – 2009. Group manager has prepared checklist “Ceklist Verifikasi Data Kebun Anggota/Petani”, used as guidance in conducting internal audit against RSPO P&C. The checklist has incorporated roadmap to comply with BMP and Environmental and Social Aspects.</p>	
<p>7.3.4 An action plan shall be developed that describes operational actions consequent to the findings of the HCV assessment, and that references the grower’s relevant operational procedures (see Criterion 5.2).</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Individual members shall be involved in the implementation of the HCV management and monitoring plan (to maintain and/or enhance HCVs).</p>	<p>Based on interview, smallholder member sampled able to explains HCV in their area (HCV4) – in simple manner.</p> <p>Smallholder member could also named commonly-sighted animal in their oil palm plantation; cobra snake (<i>Naja sumatrana</i>), palm civet (<i>Paradoxurus hermaphroditus</i>), leopard cat (<i>Prionailurus bengalensis</i>). Other animal commonly seen was monitor lizard (<i>Varanus salvator</i>).</p> <p>All sampled smallholder interviewed are able to demonstrate understanding that such wildlife shall be protected. Based on field verification to smallholder plantation, no sign of animal trap. Based on field visit to smallholder member’s house – no RTE species kept as pet.</p> <p>Furthermore, smallholder member interviewed understand that it is not allowed to spray/apply chemical along the main drain buffer.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall develop action plans and SOPs (e.g. for RTE species, riparian areas) based on the HCV management and monitoring plan.</p>	<p>Based on HCV assessment, the recommendation for HCV management, consist of:</p> <ul style="list-style-type: none"> - Signboard to prohibit hunting, signboard to demarcate HCV area; - HCV socialization to communities; - Species enrichment, in the main drain buffer – especially timber species; - To communicate the policy on prohibit agrochemical application along the HCV area; - Coordinate with stakeholder for effort to prevent and control land fire; - Installation of water level pole. <p>Group Manager Koperasi Serba Usaha Suka Makmur has prepared a program for HCV Management 2019, consist of:</p> <ul style="list-style-type: none"> - Monitors HCV and the HCV signboards; - Plant pineapple along the main drain buffer zone; - Manual weeding – along the main drain. <p>Group Manager Koperasi Serba Usaha Suka Makmur has prepared a procedure for management of conservation “Prosedur</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>Pengelolaan Area Konservasi No.KSU-SM/PK/015”, dated 6 January 2017; which regulates management and monitoring of HCV.</p> <p>Koperasi Serba Usaha Suka Makmur has planted 300 pineapples along the main drain; installed 1 HCV signboard on 14 August 2017 and carried out wildlife monitoring in monthly basis. Record seen: HCV Area Monitoring Checklist dated 3 December 2018, 8 November 2018 and 5 October 2018, it was noted that there is no RTE species found.</p>	
<p>The Group Manager shall implement a mechanism for individual members to report on threats to HCVs.</p>	<p>Group Manager Koperasi Serba Usaha Suka Makmur has appointed PIC to manage and monitors HCV: Mr. Sumardi and Mr. Irwan Harahap; as per “Surat Keputusan Manager Group No.019/SKPTS/KSU-SM/XI/2017 tentang Penunjukkan Petugas Konservasi” dated 20 November 2017. The task of the PIC: monitors HCV area, monitors protected wildlife, monitors the water level condition, monitors water gate condition, record the peat subsidence, prepare monitoring report.</p> <p>PIC performs patrol in monthly basis. Sample seen: HCV Area Monitoring Checklist on 5 October 2018, 8 November 2018 and 3 December 2018.</p> <p>Based on interview, smallholder member sampled able to explains HCV in their area (HCV4) – in simple manner. Smallholder member could also named commonly-sighted animal in their oil palm plantation; cobra snake (<i>Naja sumatrana</i>), palm civet (<i>Paradoxurus hermaproditus</i>), leopard cat (<i>Prionailurus bengalensis</i>). Other animal commonly seen was monitor lizard (<i>Varanus salvator</i>).</p> <p>All sampled smallholder interviewed are able to demonstrate understanding that such wildlife shall be protected. Based on field verification to smallholder plantation, no sign of animal trap. Based on field visit to smallholder member’s house – no RTE species kept as pet.</p> <p>Furthermore, smallholder member interviewed understand that it is not allowed to spray/apply chemical along the main drain buffer.</p>	
<p>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).</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
The Group Manager conducts training for their individual members and their workers about the status of HCV.	Group Manager Koperasi Serba Usaha Suka Makmur has carried out training for HCV management on 25 July 2017, where 17 smallholder members participated in. Group manager also communicating the wildlife in the area through installation of	

Criterion / Indicator	Assessment Findings	Compliance
	wildlife poster and HCV poster in front of cooperative office dated 14 August 2017.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individuals' members can show appropriate understanding of marginal and fragile soil, to be consistent with group SOP.	Based on interview with individual members in January 2020 they all understood that their area is peat. All members understood that there is no other marginal or fragile soil and steep terrain in their area.	
Requirement for Group Manager		
Group Manager shall: <ul style="list-style-type: none"> • Compile and maintain an overall soil map for the group, including marginal and fragile soils - this can be part of the HCV map and assessment. 	Koperasi Serba Usaha Suka Makmur has maintain overall soil map for the group as in HCV assessment document, conducted by Koompasia Enviro Institute, that finalized in March 2017. The whole cooperative area is peat. There is no other marginal or fragile soil and steep terrain at cooperative area.	
<ul style="list-style-type: none"> • Provide required information and or training for individual members. 	Koperasi Serba Usaha Suka Makmur has provided required information regarding peat soil and its treatment in Upkeep of Mature and Immature Oil Palm as on "Program dan Realisasi Teknis Budidaya Kebun Kelapa Sawit Di Areal Lahan Anggota KSU Suka Makmur Tahun 2019.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individuals' members can show appropriate understanding of marginal and fragile soil, to be consistent with group SOP.	Based on interview with individual members in January 2019 they all understood that their area is peat. All members understood that they have to add Copper (CuSO ₄) to increase their soil suitability. Application of CuSO ₄ recorded in "Buku Catatan Petani Tahun 2019", e.g. Mr. Sardi, Block 08C23, 2.00 Ha, OP 2008, has applied CuSO ₄ 14 kg on 25 Aug 2019; Mr. Parasian LB, Block 09F55, 1.79 Ha, OP 2009, has applied CuSO ₄ 25 kg on 25 Oct 2019.	
Requirement for Group Manager		
The Group Manager maintains and oversees plans for new development based on overall soil map.	Koperasi Serba Usaha Suka Makmur has developed plan to protect peat in "Program dan Realisasi Teknis Budidaya Kebun Kelapa Sawit di Areal Lahan Anggota Koperasi Serba Usaha Suka Makmur Tahun 2019". For example consist of: <ul style="list-style-type: none"> - Development and maintenance of water gate; 	

Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> - Monitoring of water level and peat subsidence; - Application of CuSO₄. <p>There are 4 water pole in cooperative area:</p> <ul style="list-style-type: none"> - Water Pole 1 (WP1) at Lusiano Handoko's area, Block 08E43, water level on 10 Jan 2020 was 40 cm; - Water Pole 2 (WP2) at Parasian LB's area, Block 09F55, water level on 10 Jan 2020 was 39 cm; - Water Pole 3 (WP3) at Sugino's area, Block 09F51, water level on 10 Jan 2020 was 40 cm; - Water Pole 4 (WP4) at Ahmad Zainuddin's area, Block 09B09, water level on 10 Jan 2019 was 38 cm. <p>Subsidence monitoring recorded in "Lembar Pengecekan Penurunan Tanah Gambut di Koperasi Serba Usaha Suka Makmur". Based on record peat subsidence in KSU Suka Makmur area are as follows:</p> <ul style="list-style-type: none"> - 23 Dec 2017 : 1.0 cm - 25 Jun 2018 : 0.5 cm - 3 Dec 2018 : 0.2 cm - 24 Jun 2019 : 0.3 cm - 21 Dec 2019 : 0.1 cm. 	
<p>Criterion 7.5:</p> <p>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.</p>		
<p>7.5.1 Evidence shall be available that affected local peoples understand they have the right to say 'no' to operations planned on their lands before and during initial discussions, during the stage of information gathering and associated consultations, during negotiations, and up until an agreement with the grower/miller is signed and ratified by these local peoples.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
The Group Manager shall develop a documented system detailing how FPIC is implemented and shall ensure that new group members are included in this.	<p>Explained under criterion 2.2 and 2.3, the land for smallholder member plantation was of individual ownership, in form of "Surat Keterangan Tanah (SKT)", issued by the village of "Desa Tanjung Mulia"; of certificate "Sertifikat Hak Milik (SHM)", issued by land office "Kantor Pertanahan Kabupaten Labuhan Batu". The history of the land was originated from "Izin Lokasi PT. MAL" being abandoned, up to the permit validity ends. The land then returned to Tanjung Mulia Village. Since then the land was distributed among villagers.</p> <p>In terms of documented system, group manager has stipulated in the document called "Pedoman Kerja Koperasi Serba Usaha Suka Makmur Aturan Kepesertaan Anggota dalam Skema Sertifikasi Kelompok RSPO No.KSU-SM/PK/018" dated January 2018, lines</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>out the requirement for the participation of individual member in the group. Section 3.1 Penerimaan Anggota/Calon Anggota – acceptance of member/potential member. The requirement was for each smallholder member to demonstrate valid legal ownership of the land.</p> <p>All copies of legal ownership of the land available with Group Manager. The “Surat Keterangan Tanah/SKT” is one of the requirement to obtain certificate - “Sertifikat Hak Milik/SHM”.</p>	
<p>The Group Manager shall retain documentary evidence of participation by affected local peoples and their understanding of the right to say ‘no’.</p>	<p>In terms of “affected local peoples understand they have the right to say ‘no’ to operations planned on their lands before and during initial discussions, during the stage of information gathering and associated consultations, during negotiations, and up until an agreement with the grower/miller is signed and ratified by these local peoples” – Group Manager Koperasi Serba Usaha Suka Makmur has demonstrated that from the initial members of cooperative, only 31 agreed to enter RSPO certification proces.</p> <p>In terms of land compensation from previous landowner to smallholder member; there was a record of negotiated agreement (member of Koperasi Serba Usaha Suka Makmur).</p> <p>Sample seen: “Surat Keterangan Ganti Rugi” dated 20 August 2012 – acknowledged by “Kepala Desa Tanjung Mulia”, “Camat Kampung Rakyat” and other witnesses – when Victor H. Girsang purchased the land from Susanto, SKT No.593/TML/2012 dated 20 August 2012 under name Susanto with area of 27,300 m²;</p> <p>The documents available in Bahasa Indonesia.</p> <p>Based on field observation and interview with sample of individual smallholder block Mr. Sumardi and Mr. Ahmad Zainuddin, individual members stated that their land is origin from their own area since 2006.</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>		
<p>7.6.1 Documented identification and assessment of demonstrable legal, customary and user rights shall be available.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall: Document identification and assessment of demonstrable legal, customary and user rights (7.6.1).</p>	<p>All copies of legal ownership of the land available with Group Manager. The “Surat Keterangan Tanah/SKT” is one of the requirement to obtain certificate - “Sertifikat Hak Milik/SHM”.</p>	

Criterion / Indicator	Assessment Findings	Compliance
7.6.2 A system for identifying people entitled to compensation shall be in place.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
The Group Manager shall: Establish a procedure for identifying people entitled to compensation. (7.6.2) Establish	<p>Group Manager has prepared a mechanism to resolve conflict titled "Pedoman Kerja Penyelesaian Sengketa/Konflik Lahan Dokumen No.KSU-SM/PK/016" dated January 2018. The procedure explains identification of legal, customary or user rights upon complained land. The procedure including procedure for identifying people entitled to compensation. Procedure to calculate and to distribute fair compensation.</p> <p>It was also stipulated that all conflict will be dealt through mediation. Should this process failed – Group Manager will brought up to legal/trial.</p>	
7.6.3 A system for calculating and distributing fair compensation (monetary or otherwise) shall be in place.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
The Group Manager shall: Establish a procedure for calculating and distributing fair compensation. (7.6.3)	<p>Group Manager has prepared a mechanism to resolve conflict titled "Pedoman Kerja Penyelesaian Sengketa/Konflik Lahan Dokumen No.KSU-SM/PK/016" dated January 2018. The procedure explains identification of legal, customary or user rights upon complained land. The procedure including procedure for identifying people entitled to compensation. Procedure to calculate and to distribute fair compensation.</p> <p>It was also stipulated that all conflict will be dealt through mediation. Should this process failed – Group Manager will brought up to legal/trial.</p>	
7.6.4 Communities that have lost access and rights to land for plantation expansion shall be given opportunities to benefit from plantation development.		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
N/A	N/A	

Criterion / Indicator	Assessment Findings	Compliance
7.6.5 The process and outcome of any compensation claims shall be documented and made publicly available.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual members shall retain copies of the documentary evidence of the process and outcome of compensation claims. (7.6.5)	<p>Based on field observation and interview with sample of individual smallholder block Mr. Sumardi and Mr. Ahmad Zainuddin, individual members stated that their land is origin from their own area since 2006.</p> <p>Each smallholder member (for one's made compensation), holds documentary evidence of compensation process.</p> <p>Sample seen: "Surat Keterangan Ganti Rugi" dated 20 August 2012 – acknowledged by "Kepala Desa Tanjung Mulia", "Camat Kampung Rakyat" and other witnesses – when Victor H. Girsang purchased the land from Susanto, SKT No.593/TML/2012 dated 20 August 2012 under name Susanto with area of 27,300 m²;</p> <p>The documents available in Bahasa Indonesia.</p>	
Requirement for Group Manager		
The Group Manager shall: Document the process and outcome of any compensation claims and make publicly available (7.6.5)	<p>In terms of land compensation from previous landowner to smallholder member; Group manager holds copy of record of negotiated agreement (member of Koperasi Serba Usaha Suka Makmur).</p> <p>Sample seen: "Surat Keterangan Ganti Rugi" dated 20 August 2012 – acknowledged by "Kepala Desa Tanjung Mulia", "Camat Kampung Rakyat" and other witnesses – when Victor H. Girsang purchased the land from Susanto, SKT No.593/TML/2012 dated 20 August 2012 under name Susanto with area of 27,300 m²;</p> <p>The documents available in Bahasa Indonesia.</p> <p>In order to make it publicly available, Group Manager Koperasi Serba Usaha Suka Makmur prepares a logbook "Rincian Keluhan dan Pengaduan";</p>	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
The Group Manager shall: Have documentary evidence that the affected communities and right holders have been informed that they have the right to access information and advice that is	Explained under criterion 2.2 and 2.3, the land for smallholder member plantation was of individual ownership, in form of "Surat Keterangan Tanah (SKT)", issued by the village of "Desa Tanjung Mulia"; of certificate "Sertifikat Hak Milik (SHM)", issued by land office "Kantor Pertanahan Kabupaten Labuhan Batu". The history of the land was originated from "Izin Lokasi PT. MAL" being abandoned, up to the permit validity ends. The land then returned	

Criterion / Indicator	Assessment Findings	Compliance
<p>independent of the project proponent, concerning the legal, economic, environmental and social implications of the proposed operations on their lands. (7.6.6)</p>	<p>to Tanjung Mulia Village. Since then the land was distributed among villagers.</p> <p>To demonstrate that "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", from the initial members of cooperative, only 31 smallholder members agreed to enter RSPO certification proces.</p>	
<p>Criterion 7.7:</p> <p>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.</p>		
<p>7.7.1 There shall be no land preparation by burning, other than in specific situations, as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Individual members shall provide evidence that they understand the No Burning Policy of the group</p>	<p>Individual member are aware that they cannot use fire for land preparation during replanting from oil palm to oil palm or from any other crop. During interview with member, they understand about the zero burning policy.</p> <p>Statement established to avoid burning as in "Kebijakan & Komitment Bersama" dated 25 January 2017" signed by each member. Point 7 mentioned to perform land clearing without burning.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall:</p> <ul style="list-style-type: none"> Provide evidence of a no use of fire policy in group SOPs. 	<p>The smallholder group has developed replanting programme starting on 2026 and has referred to technical guidelines of "Pedoman Teknis Pembukaan Lahan Tanpa Bakar" (Land preparation with zero burning), published by the Ministry of Agriculture.</p> <p>Group Manager Koperasi Serba Usaha Suka Makmur has asked its member to committed into zero burning through statement as in "Kebijakan & Komitment Bersama" dated 25 January 2017" signed by each member. Point 7 mentioned to perform land clearing without burning.</p>	
<ul style="list-style-type: none"> Demonstrate that individual farms have been visited for this requirement. 	<p>ICS has carried out initial gap audit to group manager organization and all member prior to signing group member. The gap assessment to group management on April 2017. The initial gap audit for all member carried out on April – June 2017 and recorded under "Buku Laporan Kunjungan Lapangan ke Petani Koperasi Serba Usaha Suka Makmur". The gap audit was conducted against the RSPO Management System Requirements and Guidance for Group Certification of FFB Production, March 2016. Sample taken: initial gap audit by ICS to Mr. Samin (09A02) dated 3 June 2016; Mr.Tusiwan (09B10) dated 4 April 2017; Mr. Edi Gunawan (09B11) dated 4 April 2017; Mr. Viktor H. Girsang II (09B13) dated 13 April 2017; Sido (09C26) dated 2 June 2017; Mr.Ari Panji S (09D35) dated 30 May 2017; Mr. Lusiono Handoko</p>	

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	<p>(08E43) dated 19 May 2017; Mr. Edi Hariyanto (09G57) dated 12 June 2017.</p> <p>Internal Audit to smallholder member and field have been conducted. E.g. Mr. Parasian Lumbanbatu (09F55) dated 3 Sep 2018; Mr. Lusiano Handoko (08E43) dated 8 Oct 2019; Mr. Victor Girsang (09B12) dated 8 Oct 2019; Mr. Arianto/Sugino (09F51) dated 8 Oct 2019; Mr. Marlan (09E47) dated 8 Oct 2019; Mr. Sido (09C26) dated 8 Oct 2019.</p> <p>From the gap audit, it was stated that none of the smallholder members ever used fire for land preparation.</p>	
<ul style="list-style-type: none"> Explain how all the above is socialised to individual members of the Group. 	<p>Zero burning techniques have been explained to group members through internal training. Latest dissemination conducted on 14 Dec 2019, attended by 31 participants. During field visit there is no evidence of any kind of burning was noticed. Interview with stakeholders, government officers, village head and neighbouring farmers confirmed that fire was not used. Based on field observation, it was that there is no fire being used in KSU Suka Makmur area.</p>	
<p>7.7.2 In exceptional cases where fire has to be used for preparing land for planting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Comply</p>
<p>Individual members shall provide proposals for use of fire to the Group Manager for assessment and approval prior to burning.</p>	<p>No use of fire – even on specific circumstances for individual members of Koperasi Serba Usaha Suka Makmur.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall:</p> <ul style="list-style-type: none"> Demonstrate that any use of fire by any individual member has been assessed to be justified under the ASEAN guidelines ASEAN Policy on Zero Burning' 2003. 	<p>Group manager and its member aware that fire is only permitted in special cases which involve elimination of pest and diseases where recommendation from relevant government agencies must be in place prior to use of fire. The smallholder group has developed replanting programme starting on 2026 and has referred to technical guidelines of "Pedoman Teknis Pembukaan Lahan Tanpa Bakar" (Land preparation with zero burning), published by the Ministry of Agriculture.</p> <p>During the interview, the group manager and group members highlighted that there are no pest and disease problem.</p>	
<ul style="list-style-type: none"> Provide written approval from the relevant environment authority on the use of fire in certain situations as prescribed by the ASEAN guidelines. 	<p>No use of fire – even on specific circumstances for individual members of Koperasi Serba Usaha Suka Makmur.</p>	
<p>Criterion 7.8:</p>		

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.		
Requirement for Individual Member with up to 50ha of plantation size		Comply
Individual members shall be able to explain how you know where not to plant.	Based on interview, smallholder members understand they are not allowed to convert and/or plant on peat land anymore.	
Requirement for Group Manager		
<p>Maps: The use of maps shall be expected which highlight the avoidance of peat areas and primary forests and where possible mineral soils have been selected for planting.</p>	<p>Group manager was assisted by PT. Umbul Mas Wisesa to prepare a simplified GHG Assessment and HCS Assessment for Koperasi Serba Usaha Suka Makmur, as titled "Penilaian GHG dan HCS di KSU Suka Makmur, mitra PT. Umbul Mas Wisesa, Kabupaten Labuhan Batu Selatan, Provinsi Sumatera Utara, 2017".</p> <p>The assessment was using database from HCV assessment and approach from RSPO GHG Assessment Procedure for New Development, and using New Development GHG Calculator. The steps taken are similar, first, to develop map to indicate presence of peat soil and estimated soil carbon stock. Secondly, to integrate identified HCV and SIA into carbon stock map. Thus to prepare GHG Emission management and mitigation plan. And to report GHG Assessment for new development.</p> <p>Based on the report, it was known that:</p> <ul style="list-style-type: none"> - back in 1990, the land cover was forest; - in 2005, the land cover was disturbed forest and shrub; - in 2009 (during planting time of KSU-SM), the land cover was already predominant with oil palm plantation, barren land, and old shrubs; - by 2016 the land cover for the whole landscape was oil palm plantation. <p>It was also known the whole smallholder member was utilizing peat soil.</p> <p>The GHG calculation for the area of Koperasi Serba Usaha Suka Makmur indicates the total emission at 2005 was 74.28 tCO₂e/Ha. Calculation on total emission at 2009 was indicating 70.89 tCO₂e/Ha.</p> <p>The high carbon stock at 2005 was calculated 84634 tC/Ha. This was reduced in 2009, as calculated 33806 tC/Ha.</p> <p>The management plan and mitigation plan prepared, as result from the calculation, taking into account HCV assessment and SIA assessment:</p> <ul style="list-style-type: none"> - No more land conversion in peat area since RSPO certification; more than 20% of certified area; - Peat area management through water management as best management practice in peat area (see 4.4); 	

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Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> - Optimization of fertilizer inputs based on recommendation; - Zero burning policy. <p>Note: during this annual surveillance assessment, RSPO SHWG has not produce simplified mechanism for smallholders for compliance on the GHG matters.</p>	
<p>7.8.2 There shall be a plan to minimise net GHG emissions which takes into account avoidance of land areas with high carbon stocks and/or sequestration options.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Comply
N/A	N/A	
Requirement for Group Manager		
<p>Reporting: Demonstrate to a third party that new plantings which occurred after April 2013 have where possible been designed to minimise GHG emissions.</p>	<p>Group manager was assisted by PT. Umbul Mas Wisesa to prepare a simplified GHG Assessment and HCS Assessment for Koperasi Serba Usaha Suka Makmur, as titled "Penilaian GHG dan HCS di KSU Suka Makmur, mitra PT. Umbul Mas Wisesa, Kabupaten Labuhan Batu Selatan, Provinsi Sumatera Utara, 2017".</p> <p>The assessment was using database from HCV assessment and approach from RSPO GHG Assessment Procedure for New Development, and using New Development GHG Calculator. The steps taken are similar, first, to develop map to indicate presence of peat soil and estimated soil carbon stock. Secondly, to integrate identified HCV and SIA into carbon stock map. Thus to prepare GHG Emission management and mitigation plan. And to report GHG Assessment for new development.</p> <p>Based on the report, it was known that:</p> <ul style="list-style-type: none"> -the planting year was 2008 and 2009. There was no new planting after 2009. - back in 1990, the land cover was forest; - in 2005, the land cover was disturbed forest and shrub; - in 2009 (during planting time of KSU-SM), the land cover was already predominant with oil palm plantation, barren land, and old shrubs; - by 2016 the land cover for the whole landscape was oil palm plantation. <p>It was also known the whole smallholder member was utilizing peat soil.</p>	
<p>Groups will need to report confidentially to the RSPO on actions taken to mitigate GHG emissions. After 31. December 2016 these documents will need to be publically available and linked to 1.2</p>	<p>Group manager was assisted by PT. Umbul Mas Wisesa to prepare a simplified GHG Assessment and HCS Assessment for Koperasi Serba Usaha Suka Makmur, as titled "Penilaian GHG dan HCS di KSU Suka Makmur, mitra PT. Umbul Mas Wisesa, Kabupaten Labuhan Batu Selatan, Provinsi Sumatera Utara, 2017".</p> <p>The assessment was using database from HCV assessment and approach from RSPO GHG Assessment Procedure for New Development, and using New Development GHG Calculator. The steps taken are similar, first, to develop map to indicate presence</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>of peat soil and estimated soil carbon stock. Secondly, to integrate identified HCV and SIA into carbon stock map. Thus to prepare GHG Emission management and mitigation plan. And to report GHG Assessment for new development.</p> <p>Based on the report, it was known that:</p> <ul style="list-style-type: none"> - back in 1990, the land cover was forest; - in 2005, the land cover was disturbed forest and shrub; - in 2009 (during planting time of KSU-SM), the land cover was already predominant with oil palm plantation, barren land, and old shrubs; - by 2016 the land cover for the whole landscape was oil palm plantation. <p>It was also known the whole smallholder member was utilizing peat soil.</p> <p>The GHG calculation for the area of Koperasi Serba Usaha Suka Makmur indicates the total emission at 2005 was 74.28 tCO₂e/Ha. Calculation on total emission at 2009 was indicating 70.89 tCO₂e/Ha.</p> <p>The high carbon stock at 2005 was calculated 84634 tC/Ha. This was reduced in 2009, as calculated 33806 tC/Ha. The management plan and mitigation plan prepared, as result from the calculation, taking into account HCV assessment and SIA assessment:</p> <ul style="list-style-type: none"> - No more land conversion in peat area since RSPO certification; more than 20% of certified area; - Peat area management through water management as best management practice in peat area (see 4.4); - Optimization of fertilizer inputs based on recommendation; - Zero burning policy. <p>Means of reporting through the public summary report by certification body.</p>	
<p>Training: The Group Manager shall provide training in relation to this indicator and its relevance for individual members (e.g. peat, high carbon stocks) and record this training.</p>	<p>Group manager provides training on: harvesting procedure, manuring procedure, soil and water conservation, and integrated pest management. Training has been followed by member such as:</p> <ul style="list-style-type: none"> - Training on manuring application, dated 22 February 2017; - Awareness training of RSPO, dated 18 April 2017; - Training of hazardous waste management, dated 18 April 2017; - Training on pesticide handling and mixing, dated 22 August 2017; - Training on best management practices of oil palm, dated 22 August 2017; - Training on integrated pest management, dated 18 November 2017; - Training of water management, dated 21 October 2017; <p>Training on monitoring and management of high conservation value, dated 25 July 2017.;</p>	

Criterion / Indicator	Assessment Findings	Compliance
Principle 8: Commitment to continual improvement in key areas of activity		
Criterion 8.1:		
Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.		
<p>8.1.1 The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria.</p> <p>As a minimum, these shall include, but are not necessarily be limited to:</p> <ul style="list-style-type: none"> • Reduction in use of pesticides(Criterion 4.6); • Environmental impacts (Criteria 4.3, 5.1 and 5.2); • Waste reduction (Criterion 5.3); • Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); • Social impacts (Criterion 6.1); • Optimising the yield of the supply base. 		
Requirement for Individual Member with up to 50ha of plantation size		Comply
<p>Fulfil the requirements laid out by the Group Manager, such as attending relevant training, filling in the checklist/tools provided to guarantee legal compliance.</p> <p>Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.</p>	<p>All members of Koperasi Serba Usaha Suka Makmur has meet the RSPO P&C requirements, group manager rules, cooperative during ICS visit to their farm.</p> <p>Each member sampled during this Assessment Visit was able to demonstrate maintenance and update on physical document to show fulfil the requirements, as in "Buku Catatan Petani Tahun 2019".</p>	
<p>Members shall provide inputs to the Group Action Plan for continual improvement.</p>	<p>Koperasi Serba Usaha Suka Makmur and group manager carried out annual member meeting under "Rapat Anggota Tahunan – Laporan Pertanggungjawaban Pengurus Tahun Buku 2018", dated 15 April 2019. In this event, individual members provide inputs to the Group Manager.</p> <p>Individual members provides input such the development of the OHS policy and management plan.</p>	
<p>Members shall keep individual records of pesticide use, fertiliser application, FFB production etc. according to a standard template provided by the Group Manager</p>	<p>Each member sampled during this Extension to Scope Assessment Visit was able to demonstrate individual records of plantation identity, pesticide use, fertiliser application, FFB production, etc. as in "Buku Catatan Petani Tahun 2019".</p> <p>"Buku Catatan Petani Tahun 2019 Mr.Parasian Lumbanbatu", block 09F55, 1.79 Ha, OP2009 – "Realisasi Pemupukan tahun 2019" fertilizer record 25 October 2019: 25 kg (0.07 kg/palm); "Rekaman Penggunaan Pestisida 2019" – pesticide application record 4 September 2019 apply Regent (a.i. Fipronil) 1.5 gr a.i for 1.79 Ha to tackle white ant (dosage 0.83cc/Ha); 8 November 2019 apply SMART (a.i. Glyphosate) 762 gr a.i for 1.79 Ha (dosage 426cc/Ha) + Metsul (a.i. Metsulindo) 17.9 gr a.i for 1.79 Ha (dosage 10cc/Ha) – for circle and path;</p>	

Criterion / Indicator	Assessment Findings	Compliance
	<p>"Buku Catatan Petani Tahun 2019 Mr.Ahmad Zainuddin", block 09B09, 1.40 Ha, OP2009 – "Realisasi Pemupukan tahun 2019" fertilizer record April 2019: 25 kg (0.08 kg/palm); "Rekaman Penggunaan Pestisida 2019" – pesticide application record 5 September 2019 apply Regent (a.i. Fipronil) 1.5 gr a.i for 1.4 Ha to tackle white ant (dosage 1.07cc/Ha); 3 November 2019 apply SMART (a.i. Glyphosate) 596 gr a.i for 1.4 Ha (dosage 426cc/Ha) + Metsul (a.i. Metsulindo) 14 gr a.i for 1.4 Ha (dosage 10cc/Ha) – for circle and path;</p> <p>"Buku Catatan Petani Tahun 2019 Mr.Sumardi", block 09C20, 2 Ha, OP2009 – "Realisasi Pemupukan tahun 2019" fertilizer record April 2019: 25 kg (0.08 kg/palm); "Rekaman Penggunaan Pestisida 2019" – pesticide application record 3 August 2019 apply Regent (a.i. Fipronil) 1.5 gr a.i for 2 Ha to tackle white ant (dosage 0.75cc/Ha); 10 November 2019 apply Gramoxone (a.i. Paraquat) 441.6 gr a.i for 2 Ha (dosage 221cc/Ha) + Metsul (a.i. Metsulindo) 32 gr a.i for 2 Ha (dosage 16cc/Ha) – for circle and path;</p>	
<p>Discuss with the Group Manager the timing of the replanting programme.</p>	<p>The smallholder group has developed replanting programme starting on 2026 and has referred to technical guidelines of "Pedoman Teknis Pembukaan Lahan Tanpa Bakar" (Land preparation with zero burning), published by the Ministry of Agriculture. Individual member interviewed understands this information.</p>	
<p>Requirement for Group Manager</p>		
<p>Group Managers shall record information on environmental impacts, waste reduction, pollution & GHG and social impacts.</p>	<p>Environmental impact: PT. Umbul Mas Wisesa has assisted Group Manager Koperasi Serba Usaha Suka Makmur and its member to prepare the document to identify all activities that have an impact on the environment under "Daftar Aspek dan Pengaruh Lingkungan", updated in January 2020. "Surat Pernyataan Kesanggupan Pengelolaan lingkungan/SPPL" for individual members sighted. The environmental aspect-impact being managed related to: to avoid oil palm development/land clearing on conservation/protected area (river riparian or area with steep slope); water management on peat area, to plant legume cover crop; to control soil erosion and surface run off; to prevent loss of biodiversity; to monitor the flora and fauna on the smallholder location; no hunting in smallholder area; efficient use of fertilizer and herbicide; to report environment management performance on regular base.</p> <p>Waste reduction: Koperasi Serba Usaha Suka Makmur has identified waste and source pollution under document "Rencana Pengelolaan Limbah", dated 17 January 2020. The identification is consisting of source pollution, waste, impact, reduction plan.</p> <p>Interview with sampled smallholders Ahmad Zainuddin No.09B09, Sumardi No.09C20, Sardi No.08C23, DTM Ridwan No.09D40, Marlan No.09E47, Parasian Lumban batu No.09F55 confirmed understanding on disposal of empty agrochemical containers, fertilizer plastic bag and domestic waste.</p>	

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Criterion / Indicator	Assessment Findings	Compliance
	<p>Pollution and GHG reduction: Group Manager Koperasi Serba Usaha Suka Makmur has prepared the plan for improving efficiency of the use of fossil fuels and to optimize renewable energy, such as: managing the FFB evacuation plan; A road maintenance program in "Program Pembangunan Infrastruktur dan Perbaikan Jalan".</p> <p>For management of peat soil: Group Manager has provided map of water ways and water bodies as in "Peta Titik Lokasi Water Gate dan Peat Subsidence di Area Koperasi Serba Usaha Suka Makmur Tahun 2017". The map consist of 4 water gate and 1 peat subsidence pole.</p> <p>Procedure related to peat subsidence and water management has been documented in "Pedoman Kerja Pembuatan Watergate dan Peat Subsidence" (KSU-SM/PK/011) dated 6 January 2017. The monitoring of water level and peat subsidence has been started.</p>	
<p>Group Managers shall periodically (e.g. quarterly) collate the records of individual members.</p>	<p>Group Managers Koperasi Serba Usaha Suka Makmur is collecting data from each individual member records of plantation identity, pesticide use, fertiliser application, FFB production, etc. as in "Buku Catatan Petani Tahun 2019". This is updated on monthly basis.</p>	
<p>Group Managers shall facilitate the development of the Group Action Plan through an annual group meeting.</p>	<p>Koperasi Serba Usaha Suka Makmur and group manager carried out annual member meeting under "Rapat Anggota Tahunan – Laporan Pertanggungjawaban Pengurus Tahun Buku 2018", dated 15 April 2019.</p>	
<p>Group Managers shall be responsible for the continuous improvement in key operations.</p>	<p>Group Managers Koperasi Serba Usaha Suka Makmur is responsible for the continuous improvement in key operations. Continuous monitoring through regular internal audits conducted.</p>	

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Appendix B: Approved Time Bound Plan

Name of company	Name of Mill	Location	Supply Base	Time Bound Plan	Target Year for RSPO
PT. Agro Muko	Muko Muko Mill	Mukomuko Regency, Bengkulu Province, Indonesia	Muko Muko estate, Sei Betung estate, Tanah Rekah estate, Talang Petai estate, Sei Kiang estate and KMD	2011	Certified
	Bunga Tanjung Mill	Mukomuko Regency, Bengkulu Province, Indonesia	Bunga Tanjung estate, Air Bikuk estate, Air Buluh estate and KMD	2011	Certified
			PT. Mukomuko Agro Sejahtera: - Air Manjunto estate - Malin Deman estate	2014	Certified
			Ex. PT. Asri Rimba Wirabhakti (acquisition in 2018)	2020	A new NPP will be submitted waiting for HCV, LUC review
PT. Tolan Tiga	Bukit Maradja Mill	Simalungun Regency, North Sumatera, Indonesia	- Bukit Maradja Estate (PT. Eastern Sumatra Indonesia) - Kerasaan Estate (PT. Kerasaan Indonesia) - PT. Timbang Deli Indonesia	2010 2018	Certified May 2010 Certified in 2018 as supply base of Bukit Maradja POM, PT Eastern Sumatra Indonesia
	Perlabian Mill	Labuhan Batu Selatan Regency, North Sumatera, Indonesia	Perlabian estate and Tolan estate.	2010	Certified May 2010
PT. Umbul Mas Wisesa	Umbul Mas Wisesa Mill	Labuhan Batu Selatan Regency, North Sumatera, Indonesia	UMW South estate, UMW North estate and Toton Usaha Mandiri estate	2014	Certified in March 2015
PT. Agro Kati Lama		Musirawas Regency, South Sumatera, Indonesia		2021	developed (It has been RSPO NPP), RSPO public Notification on 31 st March 2014.
PT. Agro Rawas Ulu		Musirawas Regency, South Sumatera, Indonesia		2024	developed (It has been RSPO NPP), RSPO public Notification on 31 st March 2014.
PT. Agro Muara Rupit		Musirawas Regency, South Sumatera, Indonesia		2024	developed (It has been RSPO NPP), RSPO public Notification on 31 st March 2014.
Hargy Oil Palm Limited (HOPL)	Hargy Mill	East of Bialla, West New Britain Province, PNG	Hargy Estate	2009	Certified in April 2009
	Navo Mill	50 Kms East of Bialla, West New Britain Province, PNG	Navo Estate, Bakada Estate and Mengen Estate	2009	Certified in April 2009
	Barema Mill	30 km East of Bialla, West New Britain Province, PNG	Barema Estate	2014	RSPO Certified in April 2014
PT. Dendy Maker Indah Lestari	Dendy Maker Mill	Musirawas Utara Regency, South Sumatera Province, Indonesia	Sei Mandang Estate, Sei Liam Estate	2015	Acquired on 1 August 2017. RSPO certified in 2015.

Appendix C: Certification Unit RSPO Certificate Details

Koperasi Serba Usaha Suka Makmur

BSI RSPO Certificate No. RSPO 687965

Date of Certificate Issued: 24/05/2019

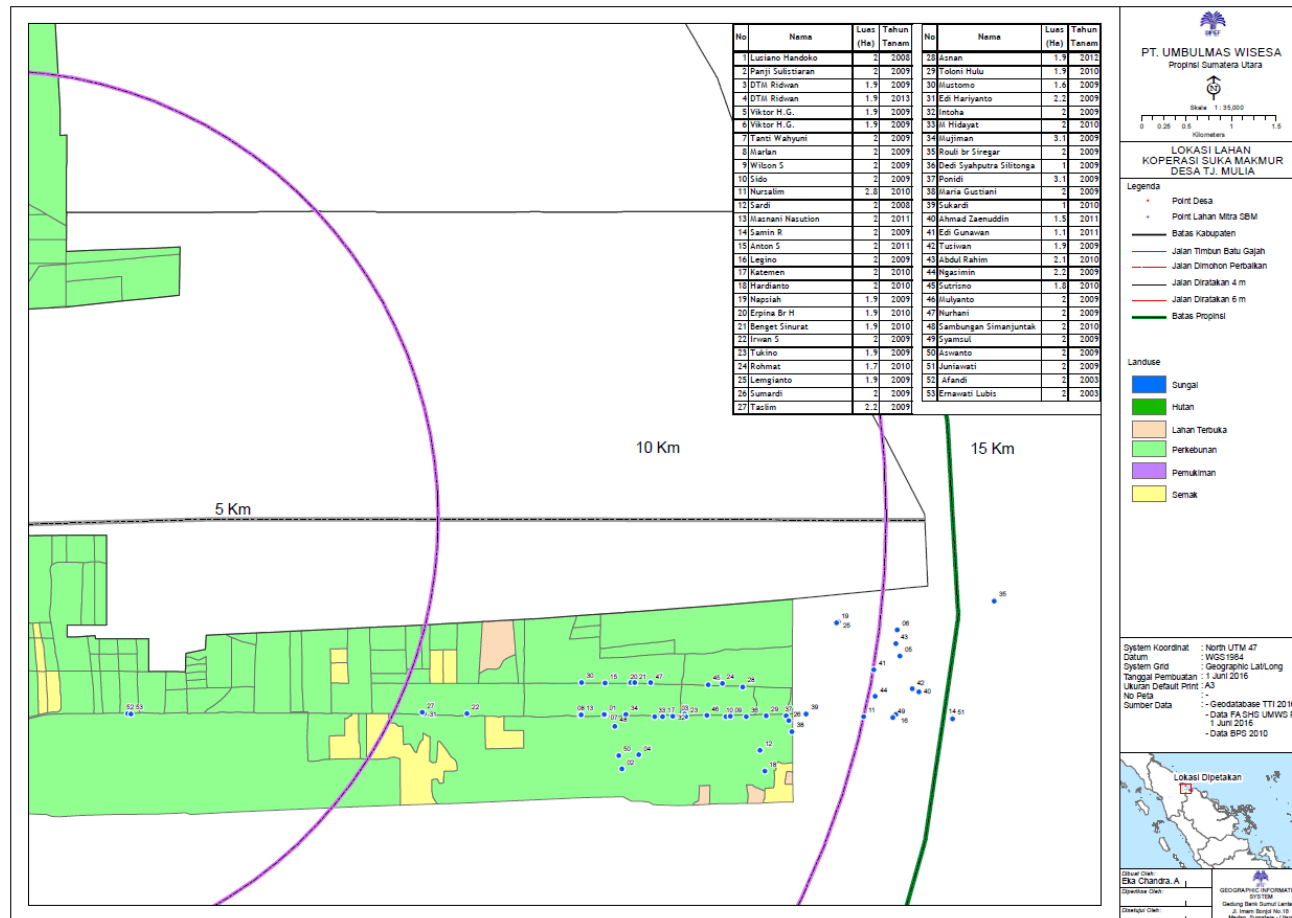
Date of Expiry: 04/04/2023

RSPO membership number: 1-0021-05-000-00

Applicable Standard: RSPO Management System Requirements and Guidance for Group Certification of FFB Production, March 2016

Koperasi Serba Usaha Suka Makmur					
Location Address		Sukoharjo Hamlet, Tanjung Mulia Village, Kampung Rakyat District, Labuhanbatu Selatan Regency, Sumatera Utara Province, Indonesia			
GPS Location		100° 19' 57.89" E and 02°11' 29.00" N			
Total Planted Area		60.15 Ha			
Total Number of Members		31 members			
Projected Certified FFB		869.00 mt			
Projected Certified CPO Total		173.80 mt (OER 20%)			
Projected Certified PK Total		43.45 mt (KER 5%)			
Projected Certified PKO Total		19.55 mt (PKOER 45%)			
Projected Certified PKE Total		23.90 mt (PKEER 55%)			
Smallholder number	Name of Registered Smallholder	Total Planted Area (Ha)	Smallholder number	Name of Registered Smallholder	Total Planted Area (Ha)
09A01	Juniawati	2.04	09D36	Sambungan Simanjuntak	2.00
09A02	Samin R	2.00	09D37	Aswanto	2.00
09A03	Alijah	2.00	09D38	Wagino Winarno	2.00
09B09	Ahmad Zainuddin	1.40	09D39	Mujiman	2.00
09B10	Tusiwan	1.90	09D40	DTM Ridwan	1.90
09B11	Edi Gunawan	1.10	09E41	Tri Yuli Wardani	2.00
09B12	Viktor H.Girsang I	1.99	09E42	Tanti Wahyuni	2.00
09B13	Viktor H.Girsang II	2.73	08E43	Lusiono Handoko	2.00
09C20	Sumardi	2.00	09E46	Masnani Nasution	2.00
08C23	Sardi	2.00	09E47	Marlan	1.70
09C26	Sido	2.00	09F51	Sugino	1.70
09D30	Intoha	2.00	09F55	Parasian Lumban batu	1.79
09D32	M Hidayat	1.90	09F56	Mustomo	1.60
09D33	Juriah	2.00	09G57	Edi Hariyanto	2.20
09D34	Mariati	2.00	09G58	Taslim	2.20
09D35	Ari Panji Sulistiarto	2.00		Total	60.15

Appendix D: Location Map of Certification Unit and Supply bases



Appendix E: List of Smallholder Sampled

No.	Name	Smallholder Number
1.	Sardi	08C23
2.	Sumardi	09C20
3.	Marlan	09E47
4.	Parasian Lumbanbatu	09F55
5.	Akhmad Zainuddin	09B09
6.	DTM Ridwan	09D40

Appendix F: List of Abbreviations

a.i	Active Ingredient
BOD	Biochemical Oxygen Demand
CB	Certification Bodies
CHRA	Chemical Health Risk Assessment
COD	Chemical Oxygen Demand
CPO	Crude Palm Oil
CSPO	Certified Sustainable Palm Oil
CSPKO	Certified Sustainable Palm Kernel Oil
EFB	Empty Fruit Bunch
EHS	Environmental, Health and Safety
EIA	Environmental Impact Assessment
EMS	Environmental Management System
FFB	Fresh Fruit Bunch
FPIC	Free, Prior, Informed and Consent
GAP	Good Agricultural Practice
GHG	Greenhouse Gas
GMP	Good Manufacturing Practice
GPS	Global Positioning System
HCV	High Conservation Value
IPM	Integrated Pest Management
IP	Identity Preserved
IS - CSPO	Independent Smallholder Certified Sustainable Palm Oil
IS – CSPKO	Independent Smallholder Certified Sustainable Palm Kernel Oil
IS – CSPKE	Independent Smallholder Certified Sustainable Palm Kernel Expeller
ISCC	International Sustainable Carbon Certification
LD50	Lethal Dose for 50 sample
MB	Mass Balance
MSDS	Material Safety Data Sheet
MT	Metric Tonnes
OER	Oil Extraction Rate
OSH	Occupational Safety and Health
PK	Palm Kernel
PKO	Palm Kernel Oil
POM	Palm Oil Mill
POME	Palm Oil Mill Effluent
PPE	Personal Protective Equipment
RSPO	Roundtable on Sustainable Palm Oil
P&C	Principles & Criteria
RTE	Rare, Threatened or Endangered species
SCCS	Supply Chain Certification Standard
SEIA	Social & Environmental Impact Assessment
SIA	Social Impact Assessment
SOP	Standard Operating Procedure