

**RSPO PRINCIPLE AND CRITERIA –
INITIAL ASSESSMENT
Public Summary Report**

Client Company name (Parent Company): KUD Makarti
Client company Address: Jalan Lintas Sido Mukti Perumahan Jambi RT08/RW02 Sungai Gelam District Muaro Jambi Regency Jambi Province
Certification Unit: KUD Makarti
Location of Certification Unit: Jalan Lintas Sido Mukti Perumahan Jambi RT08/RW02 Sungai Gelam District Muaro Jambi Regency Jambi Province

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Section 1: Scope of the Certification Assessment

1. Company Details			
RSP0 Membership Number	1-0278-19-000-00	Membership Approval Date	6 August 2019
Parent Company Name	KUD Makarti		
Address	Jalan Lintas Sido Mukti Perumahan Jambi RT08/RW02 Sungai Gelam District Muaro Jambi Regency Jambi Province		
Subsidiary (Certification Unit Name)	KUD Makarti		
Address	Jalan Lintas Sido Mukti Perumahan Jambi RT08/RW02 Sungai Gelam District Muaro Jambi Regency Jambi Province		
Contact Name	Mr.Sufyan Sahuri		
Website	-	E-mail	makartisidomukti@gmail.com
Telephone	+62 812 7112 5872 / +62 823 7356 1263	Facsimile	-

2. Certification Information			
Certificate Number	RSP0 721923	Date of First Certification	03.03.3020
		Certificate Start Date	03.03.3020
		Certificate Expiry Date	02.03.3025
Scope of Certification	Production of Fresh Fruit Bunch in Independent Smallholder Group KUD Makarti		
Applicable Standards	<ul style="list-style-type: none"> - RSP0 Management System Requirements and Guidance for Group Certification of FFB Production, March 2018; - RSP0 Certification System June 2017; 		

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

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4. Location(s) of Mill & Supply Bases			
Name (Mill / Supply Base)	Location [Map Reference #]	GPS Coordinates	
		Latitude	Longitude
KUD Makarti Office (202 smallholders)	Jalan Lintas Sido Mukti Perumahan Jambi RT08/RW02, Sungai Gelam District, Muaro Jambi Regency, Jambi Province	1° 47' 39.77" S	103° 50' 48.17" E

5. Description of Supply Base					
Estate	Total Planted (Mature + Immature) (ha)	HCV (ha)	Infrastructure & Other (ha)	Total Area (ha)	% of Planted
KUD Makarti	382.45	0	2.79	385.24	99.27
Total	382.45	0	2.79	385.24	99.27

6. Plantings & Cycle							
Estate	Age (Years)					Mature**	Immature
	0 - 3	4 - 10	11 - 20	21 - 25	26 - 30		
KUD Makarti	0	0	10.85	371.60	0	382.45	0
Total (ha)	0	0	10.85	371.60	0	382.45	0

7. Certified Tonnage of FFB (Own Certified Scope)				
Estate	Tonnage / year			
	Estimated*	Actual*		Forecast <i>(Mar 2020 – Feb 2021)</i>
		<i>Previous license period</i>	<i>Current license period</i>	
KUD Makarti	Nil	Nil	Nil	8,868.60
Total		Nil		8,868.60

Note:
**) This is initial assessment, there is no estimated certified tonnage of FFB from previous license period.*

8. Certified Tonnage of FFB (from other certified unit(s)) if applicable *			
Estate	Tonnage / year		
	Estimated*	Actual*	Forecast

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				(<i>Mar 2020 – Feb 2021</i>)
	N/A	<i>Previous license period</i>	<i>Current license period</i>	N/A
Nil		Nil	Nil	
Total				

Note:

**) This is initial assessment, there is no estimated certified tonnage of FFB from other certified unit – in previous license period.*

9. Non-Certified Tonnage of FFB (outside supplier – excluded from certificate) if applicable				
Independent FFB Supplier	Tonnage / year			
	Estimated*	Actual*		Forecast (<i>Mar 2020 – Feb 2021</i>)
	N/A	<i>Previous license period</i>	<i>Current license period</i>	N/A
Nil		Nil	Nil	
Total				

Note:

**) This is initial assessment, there is no estimated non-certified tonnage of FFB – in previous license period.*

10. Certified Tonnage				
	Estimated*	Actual*		Forecast (<i>Mar 2020 – Feb 2021</i>)
	FFB	FFB		FFB
Mill Capacity: N/A MT/hr	Nil	<i>Previous license period</i>	<i>Current license period</i>	8,868.60
		Nil	Nil	
SCC Model: IP	CPO (OER: %)	CPO (OER: %)		CPO (OER: 20%)
	Nil	Nil		1,773.72
SCC Model: IP	PK (KER: %)	PK (KER: %)		PK (KER: 5%)
	Nil	Nil		443.43
SCC Model: IP	PKO (PKO ER: %)	PKO (PKO ER: %)		PKO (PKO ER: 45%)
	Nil	Nil		199.54
SCC Model: IP	PKE (PKE ER: %)	PKE (PKE ER: %)		PKE (PKE ER: 55%)
	Nil	Nil		243.88

Note:

**) This is initial assessment, there is no estimated non-certified tonnage of FFB or CPO or PK – in previous license period.*

11. Actual Sold Volume (CPO)					
	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSB		
CPO (MT)*	Nil	Nil	Nil	Nil	
Note: <i>*) This is initial assessment, there was no CPO sold as certified product.</i>					

12. Actual Sold Volume (PK)					
	RSPO Certified	Other Schemes Certified		Conventional	Total
		ISCC	RSB		
PK (MT)*	Nil	Nil	Nil	Nil	
Note: <i>*) This is initial assessment, there was no PK sold as certified product.</i>					

13. Actual Group certification Claims		
	Credit	Physical Volume (MT)
IS-CSPO*	Nil	Nil
IS-CSPKO*	Nil	Nil
IS-CSPKE*	Nil	Nil
Note: <i>*) This is initial assessment, there was no CPO sold as certified product.</i>		

Section 2: Assessment Process

Certification Body:

BSI Services Malaysia Sdn Bhd,
(ASI Accreditation Number: ASI-ACC-067)
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Mid Valley City, Lingkaran Syed Putra,
59200 Kuala Lumpur, Malaysia.
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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 initial assessment was conducted from 7-9 January 2020. The audit programme is included as Appendix D. The approach to the audit was to treat the mill and its supply base as an RSPO Certification Unit. Mill was audited together with the sample estates. A range of environmental and social factors were covered. This includes consideration of topography, palm age, proximity to areas with HCVs, declared conservation areas and local communities.

The Major NC close out on-site assessment was conducted on 12-13 February 2020. The audit programmes are included in Section 2.3.

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 Requirement and Guidance for Group Certification of FFB Production, March 2018; 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.
- The total individual member of KUD Makarti is 202 members. Sample size $N = (0.8\sqrt{202}) \times (1.4) = 16$ samples.

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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.

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 initial assessment/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 Initial and Re-certification assessment, the report was externally reviewed by RSPO approved Certification Reviewer prior to certification decision by BSI.

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 3)	Year 5 (ASA 4)
KUD Makarti	X	X	X	X	X

Tentative Date of Next Visit: October 5, 2020 - October 7, 2020

Total No. of Mandays: 7 mandays

2.2 BSI Assessment Team:

Team Member Name	Role <i>(Team Leader or Team member)</i>	Qualifications <i>(Short description of the team members)</i>
Pratama Agung Sedayu (PS)	Team Leader/ Lead Auditor	He graduated from University of Jenderal Soedirman on 2008, majoring in Social Economic of Agriculture. He involved in RSPO certification since 2009 as a team member subsequently as a Lead Auditor, covering assessment against RSPO P&C in Indonesia, Malaysia, Thailand, Papua New Guinea,

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		and Liberia. He completed the ISO 9001, ISO 14001, OHSAS 18001 Lead Auditor Course, HCV Identification and Management; ISPO Lead Auditor Endorsed Course and RSPO P&C and RSPO SCCS Lead Auditor Endorsed Courses. During this assessment, he assessed on the aspects of estate best practices, environment, OHS, and Smallholder audits. He is fluently speaking in English and Bahasa Indonesia.
Imam Fakhrurozi (IF)	Team member	Imam holds degree in Agriculture Technology and graduated from Gadjah Mada University, Yogyakarta on 2011. He had 2 (two) years working experience related to oil palm industry, as a sustainability and HSE officer in oil palm Plantation Company in Indonesia. Imam has completed a number of relevant trainings, the training includes ISO 9001:2008 and EMS 14001:2004 Lead Auditor, Lead Auditor of SMK3, RSPO P&C Lead auditor endorsed course. Currently he works for BSI Group based in Jakarta office. He is one of the BSI qualified RSPO auditor. He had been involved in RSPO auditing since 2015. During this assessment, he assessed on the aspects of mill and estate best practices, environment and OHS.
Yudwi Wisnu Rahmanto (YW)	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 the assessment he assigned to verify legal, land dispute and long term aspect.

Accompanying Persons:

No.	Name	Role
	Nil	

2.3 Assessment Plan

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

Date	Time	Subjects	PS	YWR	IF
Monday, 06/01/2020		Flight Jakarta - Jambi	√	√	√
		Travelling Jambi - Location	√	√	√

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Tuesday, 07/01/2020	08.00 – 08.30	Opening meeting - Presentation by client (Overview of KUD Makarti); - 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 2018 (refer to RSPO P&C 2013): Legal, manual, policy and procedure, HCV and SEIA documents, OHS, working safety, operational plan, Best Practices, IPM, Training record, social, continuous improvement, etc.	√	-	√
		Stakeholder Interview: Stakeholders meeting with government, partnering mill, contractors, local communities who are not member, previous land owner and NGO.	-	√	-
	12.00 – 13.00	Break	√	√	√
	13.00 – 17.00	Document Review (continue): 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 2018 (refer to RSPO P&C 2013): Legal, manual, policy and procedure, HCV and SEIA documents, OHS, working safety, operational plan, Best Practices, IPM, Training record, social, continuous improvement, etc.	√	√	√
Wednesday, 08/01/2020	08.00 – 12.00	Field Visit: Inspection to Independent smallholders plot (@ 4 samples): Best management practices of agronomy, Occupational health and safety, worker welfare, HCV, environment, interview with workers, etc.	√	√	√
	12.00 – 13.00	Break	√	√	√
	13.00 – 17.00	Field Visit (continued): Inspection to Independent smallholders plot (@ 3 samples): Best management practices of agronomy, Occupational health and safety, worker welfare, HCV, environment, interview with workers, etc.	√	√	√
Thursday, 09/01/2020	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 2018 (refer to RSPO P&C 2013): Legal, manual, policy and procedure, HCV and SEIA documents, OHS, working safety, operational plan, Best Practices, IPM, Training record, social, continuous improvement, etc.	√	√	√
	12.00 – 13.00	Break	√	√	√

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Date	Time	Subjects	PS	YWR	IF
	13.00 – 16.00	Document Review (continue): 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 2018 (refer to RSPO P&C 2013): Legal, manual, policy and procedure, HCV and SEIA documents, OHS, working safety, operational plan, Best Practices, IPM, Training record, social, continuous improvement, etc.	√	√	√
	16.00 – 16.30	Report preparation	√	√	√
	16.30 – 17.00	Closing meeting	√	√	√
Friday, 10/01/2020		Travelling to Jambi			
		Flight Jambi - Jakarta			

Section 3: Assessment Findings

3.1 Normative requirement applied for this assessment:

- KUD Makarti Multiple Management Units / Time Bound Plan
- RSPO P&C 2013 Generic
- RSPO Management System Requirements and Guidance for Group Certification of FFB Production, March 2018
- RSPO Supply Chain Certification Standard 2017

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?	Not applicable as this is group certification for independent smallholders.	N/A
Have all the estates and mills certified within five years after obtaining RSPO membership?	Not applicable as this is group certification for independent smallholders.	N/A
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.	Not applicable as this is group certification for independent smallholders.	N/A
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?	Not applicable as this is group certification for independent smallholders.	N/A
Have there been any isolated lapses in implementation of the plan? If yes a Minor non-compliance shall be raised	Not applicable as this is group certification for independent smallholders.	N/A
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	Not applicable as this is group certification for independent smallholders.	N/A
Un-Certified Units or Holdings <i>(any non-compliance against the below shall be raised as Major Non-compliance)</i>		
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. 	According to email from RSPO 26 November 2019, KUD Makarti has no liability reported – and may proceed certification as planned.	Yes
Any new plantings since January 1 st 2010 shall comply with the RSPO New Plantings Procedure.	Not applicable as this is group certification for independent smallholders.	N/A

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<p>Any Land conflicts are being resolved through a mutually agreed process, such as RSP0 Complaints System or Dispute Settlement Facility, in accordance with RSP0 P&C criteria 2.2, 6.4, 7.5 and 7.6.</p> <p>The RSP0 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><i>Note: please refer to BSI-RSP0 Secretariat approval.</i></p>	<p>Not applicable as this is group certification for independent smallholders.</p>	<p>N/A</p>
<p>Any Labor disputes are being resolved through a mutually agreed process, in accordance with RSP0 P&C criterion 6.3.</p>	<p>Not applicable as this is group certification for independent smallholders.</p>	<p>N/A</p>
<p>Any Legal non-compliance is being addressed through measures consistent with the requirements of RSP0 P&C criteria 2.1</p>	<p>Not applicable as this is group certification for independent smallholders.</p>	<p>N/A</p>
<p>Did the company conduct internal audit against the uncertified management units requirement? If yes, a positive assurance statement shall be available.</p> <p><i>Note: if the internal audit is conducted against the RSP0 P&C only, it is a non-compliance.</i></p>	<p>Yes. KUD Makarti conducted internal audit. For detail, see criterion E2.1.4.</p>	<p>Yes</p>
<p>Have there been any stakeholder (including NGO) consultation conducted?</p> <p><i>Note: if there is any negative comment from the stakeholders, the assessment team is required directly consult with the stakeholder regarding the comment and resolutions.</i></p>	<p>Yes. Audit team conducted stakeholder consultation, including NGO during onsite audit.</p> <p>Audit team does not receive negative comments from stakeholders, during 30-days public notification period.</p>	<p>Yes</p>

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>KUD Makarti is an independent smallholder, and does not receive FFB from outgrower.</p>	<p>Yes</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 Certification Assessment there were 4 (four) Major & 2 (two) Minor nonconformities raised. The KUD Makarti Certification unit submitted Corrective Action Plans for the nonconformity. Corrective action plans with respect to the nonconformity was reviewed by the BSI audit team and accepted.

The implementation of the corrective action plans to address the minor nonconformity will be followed up during the next surveillance assessment. The implementation of the Corrective Actions for the Major Nonconformity(ies) has been verified for its effectiveness and closed accordingly. The below is the summary of the non-conformity raised during this assessment.

Non-conformity			
NCR Ref #	1868372-202001-M1	Clause & Category (Major / Minor)	Major
Date Issued	9 January 2020	Due Date	8 April 2020
Closed (Yes / No)	Yes	Date of nonconformity Closure	13 February 2020
Statement of Nonconformity:	Group Manager KUD Makarti and Smallholder member cannot demonstrate Abdul Sakur (MKT.05.004) whose spraying weed using herbicide has fulfilled: - training requirement; - apply herbicide in accordance with product label; - apply herbicide using appropriate protective equipment;		
Requirement Reference:	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 be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7).		
Objective Evidence:	Based on field visit to oil palm block of Abdul Sakur (MKT.05.004) found that the member spraying weed using herbicide. Blanket spraying with typical contact herbicide, sighted on weed. Based on interview, herbicide used was 5 liters of Supretox (a.i. Paraquat dichloride 276g/l) for 1 block of 2 Ha. However, the smallholder member and Group Manager: - Not be able to demonstrate Abdul Sakur (MKT.05.004) has completed the necessary training; - Not be able to demonstrate Abdul Sakur (MKT.05.004) applied herbicide in correct dosage for specific target species, in accordance with product label; - Not be able to demonstrate Abdul Sakur (MKT.05.004) applied herbicide using appropriate protective equipment;		
Corrections:	- Technical awareness on spraying activity containing of understanding on chemical use impact and type of weed species target, OSH aspect including agrochemical container disposal management; - Mr. Abdul Sakur be involved on Spraying Team program.		
Root Cause Analysis:	Mr. Abdul Sakur as a group member has little knowledge and understanding related to content of socialization which given by Group Manager/Cooperative related best practice in spraying activity and direction to using of Spraying Team when applying herbicide. Due to inadequate of Spraying Team members, then Mr. Abdul Sakur apply herbicide by himself.		

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<p>Corrective Actions:</p>	<ul style="list-style-type: none"> - In depth socialization to all members related advantages of using Spraying Team on applying herbicides. Group Manager has conducted an inventory of smallholder members who are indicated to do spraying on their own. The inventory was carried out on 16-25 January 2020, against all smallholder member. Inventory by ICS found 24 smallholder member spraying herbicide themselves. - OHS Training and Socialization of the Spraying Unit Team (TUS) have been carried out by KUD Makarti in collaboration with PT. Bahari Gembira Ria as the FFB receiver and holds an OHS license. The training was held on 5 February 2020 with 24 smallholder members attending, including the 12 smallholder member whose spraying themselves based on the inventory from Group Manager and the ICS Team. Material presented includes: a. Socialization and direction to use the Spray Unit Team (TUS) for spraying activity on smallholder' plots; b. Dissemination and direction for using appropriate Personal Protective Equipment (PPE) if smallholders spray themselves. PPE can be obtained through borrowing at the Cooperative or provided themselves; c. KUD provides PPE spray for smallholder member who want to buy or borrow it; d. If smallholders do their own spraying, they shall do a health check at least once a year; e. Waste generated from the plantation upkeep (spraying and manuring) to be delivered to the KUD, and disposed according to the SOP for the Management of Used Chemical Containers owned by KUD Makarti; f. Recommendation to use a systemic herbicide (for example Basta) with the target of wide leaf weeds, grass and small weeds; g. The recommended dosage between 40-60 mL per 15 liters of water; h. Recommendation to use a "micronherbi" sprayer, for cost saving. - While for the remaining of 12 smallholders, the ICS conducted direct socialization in the field on 16-25 January 2020. The guidance materials included: the use of OHS PPE (spraying) and the socialization of the Spray Unit Team. Evidence of attendance and minutes of training is available at KUD Makarti. - Smallholder conducting medical check. The results of medical checks for 24 smallholders were carried out at Sungai Gelam District General Hospital. The medical examination was carried out by a general practitioner doctor and the results were in the form of a Healthy Body Certificate for each smallholder. - Statement letters dated 5 February 2020, from 24 smallholders whose indication to spray themselves. The contents of the statement: a commitment of smallholders Will not perform blanket spraying in the oil palm block and will use the services of the TUS Team when spraying. - Revised SOP on Management of Chemical Containers No. 19/SOP-KUD-MKRSM / IV / 2019, Rev.01; dated 7 February 2020. - Results of direct interviews with smallholders: <ol style="list-style-type: none"> 1. Abdul Sakur (MKT.05.003); last blanket spraying conducted in December 2019. Has received training on risk and hazard of individual spraying, OHS and management of herbicide container on 5 February 2020. Committed to using TUS when spraying and has understood the results of the training. There has been no spray activity to date. 2. Damin (MKT.03.004); last spraying conducted in December 2019 for Circle and Path, a type of herbicide used Round-up (Glyphosate) at a dose of 100 cc/5 liters of water. Attending the risk, hazard and OHS training and management of herbicide containers on February 5, 2020. Commit to using TUS services when spraying and understanding the results of the training. There has been no spray activity to date. 3. Suroto (MKT.01.003); interview with son of Mr. Suroto (also a member of TUS). The last spraying activity on Suroto plot conducted in October 2019, for Circle and Path. Using a type of herbicide Supretox (Paraquat) with a dose of 125 cc/15 liters (cap). PPE used masks, plastic aprons, gloves and boots. Mr. Suroto attending the risk, hazard
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	and OHS training and management of herbicide containers on February 5, 2020. Committed to using TUS services when spraying and has understood the results of the training. There has been no spray activity to date.		
Assessment Conclusion:	Based on the results of field verification, the Corrective Action Plan that has been made has been effectively implemented. Therefore, this Major Non-Conformity is CLOSED satisfactorily.		
Non-conformity			
NCR Ref #	1868372-202001-M2	Clause & Category (Major / Minor)	Major
Date Issued	9 January 2020	Due Date	8 April 2020
Closed (Yes / No)	Yes	Date of nonconformity Closure	13 February 2020
Statement of Nonconformity:	Group Manager KUD Makarti cannot demonstrate specific annual medical surveillance for herbicide operator; found in smallholder member Abdul Sakur (MKT.05.004) whose spraying weed using herbicide himself.		
Requirement Reference:	4.6.11 (M) Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated.		
Objective Evidence:	Based on field visit to oil palm block of Abdul Sakur (MKT.05.004) found that the member spraying weed using herbicide. Based on interview, herbicide used was 5 liters of Supretox (a.i. Paraquat dichloride 276g/l) for 1 block of 2 Ha. However, the smallholder member and Group Manager was not be able to demonstrate Abdul Sakur (MKT.05.004) carried out specific medical surveillance;		
Corrections:	<ul style="list-style-type: none"> - Technical awareness on spraying activity containing of understanding on chemical use impact and type of weed species target, OSH aspect including agrochemical container disposal management; - Mr. Abdul Sakur be involved on Spraying Team program. 		
Root Cause Analysis:	Mr. Abdul Sakur as a group member has little knowledge and understanding related to content of socialization which given by Group Manager/Cooperative related best practice in spraying activity and direction to using of Spraying Team when applying herbicide. Due to inadequate of Spraying Team members, then Mr. Abdul Sakur apply herbicide by himself.		
Corrective Actions:	<ul style="list-style-type: none"> - In depth socialization to all members related advantages of using Spraying Team on applying herbicides. Group Manager has conducted an inventory of smallholder members who are indicated to do spraying on their own. The inventory was carried out on 16-25 January 2020, against all smallholder member. Inventory by ICS found 24 smallholder member spraying herbicide themselves. - OHS Training and Socialization of the Spraying Unit Team (TUS) have been carried out by KUD Makarti in collaboration with PT. Bahari Gembira Ria as the FFB receiver and holds an OHS license. The training was held on 5 February 2020 with 24 smallholder members attending, including the 12 smallholder member whose spraying themselves based on the inventory from Group Manager and the ICS Team. Material presented includes: OHS, PPE use, environmental aspect-impact, waste management, target species and use of appropriate active ingredient; requirement for medical check. - Smallholder conducting medical check. The results of medical checks for 24 smallholders were carried out at Sungai Gelam District General Hospital. The medical examination was carried out by a general practitioner doctor and the results were in the form of a Healthy Body Certificate for each smallholder. 		

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No	Farmer Group	Smallholder name (ID Member) and/or Worker	Medical check up result	Medical check date
1.	Harapan Jaya	Suroto (MKT.01003)	812/24/RSU-SG/2020	7 Feb 2020
2.	Monco Warno A	Suparjo (MKT.02001); Rustam (MKT.02004); Marjoni (MKT.02010); Aris Tumanggor (MKT.02016).	- 026/24/RSU-SG/2020 - 025/24/RSU-SG/2020 - 028/24/RSU-SG/2020 - 029/24/RSU-SG/2020	7 Feb 2020 7 Feb 2020 7 Feb 2020 7 Feb 2020
3.	Monco Warno B	Warnun (MKT.03003); Damin (MKT.03004)	- 034/24/RSU-SG/2020 - 033/24/RSU-SG/2020	7 Feb 2020 7 Feb 2020
4.	Sido Maju	Hibul S/Katio (MKT.04006); Sumini (MKT.04010); Maryadi (MKT.04018)	- 015/24/RSU-SG/2020 - 013/24/RSU-SG/2020 - 014/24/RSU-SG/2020	6 Feb 2020 6 Feb 2020 6 Feb 2020
5.	Sido Mulyo	Abdul Sakur (MKT.05003); Sukamdi (MKT.05001); Srihadi (MKT.05014)	- 030/24/RSU-SG/2020 - 016/24/RSU-SG/2020 - 036/24/RSU-SG/2020	7 Feb 2020 6 Feb 2020 10 Feb 2020
6.	Sri Rezeki A	Amat Iran/ Gunadi (MKT.06001); Acah N/Supriyanto (MKT.06005); Slamet P/Sukarni (MKT.06008); Warni/Ahmad (MKT.06017).	- 037/24/RSU-SG/2020 - 038/24/RSU-SG/2020 - 039/24/RSU-SG/2020 - 040/24/RSU-SG/2020	10 Feb 2020 10 Feb 2020 10 Feb 2020 10 Feb 2020
7.	Sri Rezeki B	Budi/Mukanam (MKT.07009); Sukamto/Supadi (MKT.07001)	- 041/24/RSU-SG/2020 - 042/24/RSU-SG/2020	10 Feb 2020 10 Feb 2020
8.	Sumber Raharjo	Mistam/Widodo (MKT.08007); Nakum/Misran (MKT.08011)	- 043/24/RSU-SG/2020 - 044/24/RSU-SG/2020	10 Feb 2020 10 Feb 2020
9.	Sumber Tani A	Sarmin (MKT.09012)	- 045/24/RSU-SG/2020	10 Feb 2020
10.	Sumber Tani B	Kuat (MKT.10014); Misman Al Muhadi (MKT.10015)	- 017/24/RSU-SG/2020 - 046/24/RSU-SG/2020	6 Feb 2020 10 Feb 2020
Assessment Conclusion:	Audit team accepted the root cause analysis related to lack of understanding, because this is year 1 (Initial Certification). Based on the results of field verification, the Corrective Action Plan that has been made has been effectively implemented. Therefore, this Major Non-Conformity is CLOSED satisfactorily.			
Non-conformity				
NCR Ref #	1868372-202001-M3	Clause & Category (Major / Minor)	Major	
Date Issued	9 January 2020	Due Date	8 April 2020	
Closed (Yes / No)	Yes	Date of nonconformity Closure	13 February 2020	
Statement of Nonconformity:	Group Manager KUD Makarti cannot demonstrate training in safe working practices and use of appropriate protective equipment such as smallholder member Abdul Sakur (MKT.05.004) whose spraying weed using herbicide himself.			
Requirement Reference:	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.			
Objective Evidence:	Group Manager KUD Makarti established "Standar Operasional Prosedur Tim Unit Semprot No.53/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019 whereby stated PPE for sprayer consist			

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	<p>of apron, long sleeve coverall, masker, goggle, hat, gumboot, glove. Based on field visit to oil palm block of Abdul Sakur (MKT.05.004) found that the member spraying weed using herbicide. Based on interview, herbicide used was 5 liters of Supretox (a.i. Paraquat dichloride 276g/l) for 1 block of 2 Ha; while applying he uses masker, apron, boot.</p> <p>However, the smallholder member and Group Manager was not be able to demonstrate Abdul Sakur (MKT.05.004) have attend adequate training in safe working practices and using appropriate protective equipment when spraying herbicide.</p>
<p>Corrections:</p>	<ul style="list-style-type: none"> - Technical awareness on spraying activity containing of understanding on chemical use impact and type of weed species target, OSH aspect including agrochemical container disposal management; - Mr. Abdul Sakur be involved on Spraying Team program.
<p>Root Cause Analysis:</p>	<p>Mr. Abdul Sakur as a group member has little knowledge and understanding related to content of socialization which given by Group Manager/Cooperative related best practice in spraying activity and direction to using of Spraying Team when applying herbicide. Due to inadequate of Spraying Team members, then Mr. Abdul Sakur apply herbicide by himself.</p>
<p>Corrective Actions:</p>	<ul style="list-style-type: none"> - In depth socialization to all members related advantages of using Spraying Team on applying herbicides. Group Manager has conducted an inventory of smallholder members who are indicated to do spraying on their own. The inventory was carried out on 16-25 January 2020, against all smallholder member. Inventory by ICS found 24 smallholder member spraying herbicide themselves. - OHS Training and Socialization of the Spraying Unit Team (TUS) have been carried out by KUD Makarti in collaboration with PT. Bahari Gembira Ria as the FFB receiver and holds an OHS license. The training was held on 5 February 2020 with 24 smallholder members attending, including the 12 smallholder member whose spraying themselves based on the inventory from Group Manager and the ICS Team. Material presented includes: a. Socialization and direction to use the Spray Unit Team (TUS) for spraying activity on smallholder' plots; b. Dissemination and direction for using appropriate Personal Protective Equipment (PPE) if smallholders spray themselves. PPE can be obtained through borrowing at the Cooperative or provided themselves; c. KUD provides PPE spray for smallholder member who want to buy or borrow it; d. If smallholders do their own spraying, they shall do a health check at least once a year; e. Waste generated from the plantation upkeep (spraying and manuring) to be delivered to the KUD, and disposed according to the SOP for the Management of Used Chemical Containers owned by KUD Makarti; f. Recommendation to use a systemic herbicide (for example Basta) with the target of wide leaf weeds, grass and small weeds; g. The recommended dosage between 40-60 mL per 15 liters of water; h. Recommendation to use a "micronherbi" sprayer, for cost saving. - While for the remaining of 12 smallholders, the ICS conducted direct socialization in the field on 16-25 January 2020. The guidance materials included: the use of OHS PPE (spraying) and the socialization of the Spray Unit Team. Evidence of attendance and minutes of training is available at KUD Makarti. - Smallholder conducting medical check. The results of medical checks for 24 smallholders were carried out at Sungai Gelam District General Hospital. The medical examination was carried out by a general practitioner doctor and the results were in the form of a Healthy Body Certificate for each smallholder. - Statement letters dated 5 February 2020, from 24 smallholders whose indication to spray themselves. The contents of the statement: a commitment of smallholders Will not perform blanket spraying in the oil palm block and will use the services of the TUS Team when spraying.

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	<ul style="list-style-type: none"> - Revised SOP on Management of Chemical Containers No. 19/SOP-KUD-MKRSM / IV / 2019, Rev.01; dated 7 February 2020. - Results of direct interviews with smallholders: <ol style="list-style-type: none"> 1. Abdul Sakur (MKT.05.003); last blanket spraying conducted in December 2019. Has received training on risk and hazard of individual spraying, OHS and management of herbicide container on 5 February 2020. Committed to using TUS when spraying and has understood the results of the training. There has been no spray activity to date. 2. Damin (MKT.03.004); last spraying conducted in December 2019 for Circle and Path, a type of herbicide used Round-up (Glyphosate) at a dose of 100 cc/5 liters of water. Attending the risk, hazard and OHS training and management of herbicide containers on February 5, 2020. Commit to using TUS services when spraying and understanding the results of the training. There has been no spray activity to date. 3. Suroto (MKT.01.003); interview with son of Mr. Suroto (also a member of TUS). The last spraying activity on Suroto plot conducted in October 2019, for Circle and Path. Using a type of herbicide Supretox (Paraquat) with a dose of 125 cc/15 liters (cap). PPE used masks, plastic aprons, gloves and boots. Mr. Suroto attending the risk, hazard and OHS training and management of herbicide containers on February 5, 2020. Committed to using TUS services when spraying and has understood the results of the training. There has been no spray activity to date. 		
Assessment Conclusion:	Audit team accepted the root cause analysis related to lack of understanding, because this is year 1 (Initial Certification). Based on the results of field verification, the Corrective Action Plan that has been made has been effectively implemented. Therefore, this Major Non-Conformity is CLOSED satisfactorily.		
Non-conformity			
NCR Ref #	1868372-202001-M4	Clause & Category (Major / Minor)	Major
Date Issued	9 January 2020	Due Date	8 April 2020
Closed (Yes / No)	Yes	Date of nonconformity Closure	13 February 2020
Statement of Nonconformity:	Group Manager KUD Makarti cannot demonstrate control/monitoring of agrochemical container disposal according to procedure; found in smallholder member Abdul Sakur (MKT.05.004) whose spraying weed using herbicide himself.		
Requirement Reference:	5.3.2 (M) All chemicals and their containers shall be disposed of responsibly.		
Objective Evidence:	<p>Group Manager of KUD Makarti has prepared the procedure on disposed empty chemical container as per "Standar Operasional Prosedur Pengelolaan Wadah Bekas Kimia No.19/SOP-KUD-MKRSM/IV/2019".</p> <p>Based on field visit to oil palm block of Abdul Sakur (MKT.05.004) found that the member spraying weed using herbicide. Based on interview, herbicide used was 5 liters of Supretox (a.i. Paraquat dichloride 276g/l) for 1 block of 2 Ha. However, the smallholder member and Group Manager was not be able to demonstrate Abdul Sakur (MKT.05.004) disposed off agrochemical container in accordance to procedure.</p>		
Corrections:	<ul style="list-style-type: none"> - Technical awareness on spraying activity containing of understanding on chemical use impact and type of weed species target, OSH aspect including agrochemical container disposal management; - Mr. Abdul Sakur be involved on Spraying Team program. 		

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<p>Root Cause Analysis:</p>	<p>Mr. Abdul Sakur as a group member has little knowledge and understanding related to content of socialization which given by Group Manager/Cooperative related best practice in spraying activity and direction to using of Spraying Team when applying herbicide. Due to inadequate of Spraying Team members, then Mr. Abdul Sakur apply herbicide by himself.</p>
<p>Corrective Actions:</p>	<ul style="list-style-type: none"> - In depth socialization to all members related advantages of using Spraying Team on applying herbicides. Group Manager has conducted an inventory of smallholder members who are indicated to do spraying on their own. The inventory was carried out on 16-25 January 2020, against all smallholder member. Inventory by ICS found 24 smallholder member spraying herbicide themselves. - OHS Training and Socialization of the Spraying Unit Team (TUS) have been carried out by KUD Makarti in collaboration with PT. Bahari Gembira Ria as the FFB receiver and holds an OHS license. The training was held on 5 February 2020 with 24 smallholder members attending, including the 12 smallholder member whose spraying themselves based on the inventory from Group Manager and the ICS Team. Material presented includes: a. Socialization and direction to use the Spray Unit Team (TUS) for spraying activity on smallholder' plots; b. Dissemination and direction for using appropriate Personal Protective Equipment (PPE) if smallholders spray themselves. PPE can be obtained through borrowing at the Cooperative or provided themselves; c. KUD provides PPE spray for smallholder member who want to buy or borrow it; d. If smallholders do their own spraying, they shall do a health check at least once a year; e. Waste generated from the plantation upkeep (spraying and manuring) to be delivered to the KUD, and disposed according to the SOP for the Management of Used Chemical Containers owned by KUD Makarti; f. Recommendation to use a systemic herbicide (for example Basta) with the target of wide leaf weeds, grass and small weeds; g. The recommended dosage between 40-60 mL per 15 liters of water; h. Recommendation to use a "micronherbi" sprayer, for cost saving. - While for the remaining of 12 smallholders, the ICS conducted direct socialization in the field on 16-25 January 2020. The guidance materials included: the use of OHS PPE (spraying) and the socialization of the Spray Unit Team. Evidence of attendance and minutes of training is available at KUD Makarti. - Statement letters dated 5 February 2020, from 24 smallholders whose indication to spray themselves. The contents of the statement: a commitment of smallholders Will not perform blanket spraying in the oil palm block and will use the services of the TUS Team when spraying. - Revised SOP on Management of Chemical Containers No. 19/SOP-KUD-MKRSM / IV / 2019, Rev.01; dated 7 February 2020. - Results of direct interviews with smallholders: <ol style="list-style-type: none"> 1. Abdul Sakur (MKT.05.003); last blanket spraying conducted in December 2019. Has received training on risk and hazard of individual spraying, OHS and management of herbicide container on 5 February 2020. Committed to using TUS when spraying and has understood the results of the training. There has been no spray activity to date. 2. Damin (MKT.03.004); last spraying conducted in December 2019 for Circle and Path, a type of herbicide used Round-up (Glyphosate) at a dose of 100 cc/5 liters of water. Attending the risk, hazard and OHS training and management of herbicide containers on February 5, 2020. Commit to using TUS services when spraying and understanding the results of the training. There has been no spray activity to date. 3. Suroto (MKT.01.003); interview with son of Mr. Suroto (also a member of TUS). The last spraying activity on Suroto plot conducted in October 2019, for Circle and Path. Using a type of herbicide Supretox (Paraquat) with a dose of 125 cc/15 liters (cap). PPE used masks, plastic aprons, gloves and boots. Mr. Suroto attending the risk, hazard and OHS training and management of herbicide containers on February 5,

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	2020. Committed to using TUS services when spraying and has understood the results of the training. There has been no spray activity to date.		
Assessment Conclusion:	Audit team accepted the root cause analysis related to lack of understanding, because this is year 1 (Initial Certification). Based on the results of field verification, the Corrective Action Plan that has been made has been effectively implemented. Therefore, this Major Non-Conformity is CLOSED satisfactorily.		
Non-conformity			
NCR Ref #	1868372-202001-N1	Clause & Category (Major / Minor)	Minor
Date Issued	9 January 2020	Due Date	Subsequent Assessment
Closed (Yes / No)	No	Date of nonconformity Closure	No
Statement of Nonconformity:	Group Manager and member of KUD Makarti cannot demonstrate the boundary pegs are clearly demarcated and visibly maintained.		
Requirement Reference:	2.2.2 Legal boundaries shall be clearly demarcated and visibly maintained.		
Objective Evidence:	Based on field visit to sample of individual farmer plot, dated 8 January 2020: 1. In Farmer Group Sri Rejeki A (06), smallholder member Acah Nurmala (MKT.06.005) oil palm block; 3 out of 4 boundary pegs cannot be located. 2. In Farmer Group Monco Warno A (02), smallholder member Suparjo (MKT.02.001) oil palm block; 2 out of 4 boundary pegs cannot be located. 3. In Farmer Group Sido Maju (04), smallholder member Eni Setiyaningsih (MKT.04.019) oil palm block; 3 out of 4 boundary pegs cannot be located.		
Corrections:	Reinstall missing boundary pegs to smallholders sampled by external auditor.		
Root Cause Analysis:	<ul style="list-style-type: none"> - Lack of understanding/awareness of maintaining boundaries, because the members usually mark their plots using frond stacking. - Indicate to irresponsible parties to destroying the boundary pegs. 		
Corrective Actions:	<ul style="list-style-type: none"> - Conduct monitoring of boundary pegs by team (annual report basis) - Reinstall of broken/lose boundary pegs 		
Assessment Conclusion:	Audit team accepted the root cause analysis related to lack of understanding, because this is year 1 (Initial Certification). Audit team have accepted the corrective action plan. The effectiveness of corrective action taken will be verified during subsequent Surveillance Assessment.		
Non-conformity			
NCR Ref #	1868372-202001-N2	Clause & Category (Major / Minor)	Minor
Date Issued	9 January 2020	Due Date	Subsequent Assessment
Closed (Yes / No)	No	Date of nonconformity Closure	No
Statement of Nonconformity:	Group Manager KUD Makarti cannot demonstrate control/monitoring of agrochemical container disposal according to procedure; found in smallholder member Abdul Sakur (MKT.05.004) whose spraying weed using herbicide himself.		

Requirement Reference:	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).
Objective Evidence:	Based on field visit to oil palm block of Abdul Sakur (MKT.05.004) found that the member spraying weed using herbicide. Based on interview, herbicide used was 5 liters of Supretox (a.i. Paraquat dichloride 276g/l) for 1 block of 2 Ha. However, the smallholder member and Group Manager was not be able to demonstrate Abdul Sakur (MKT.05.004) disposed off agrochemical container in accordance to procedure.
Corrections:	- Technical awareness on spraying activity containing of understanding on chemical use impact and type of weed species target, OSH aspect including agrochemical container disposal management;
Root Cause Analysis:	Lack of understanding of the members related risk of hazardous waste (chemical containers) management.
Corrective Actions:	- In depth socialization to all members related advantages of using Spraying Team on applying herbicides. - Informed to all members to giving chemical containers to Cooperative. - Monitoring to all members that chemical containers disposal at plot or backyard is prohibited (monthly report).
Assessment Conclusion:	Audit team accepted the root cause analysis related to lack of understanding, because this is year 1 (Initial Certification). Audit team have accepted the corrective action plan. Some of the corrective action have been carried out. The effectiveness of corrective action taken will be verified during subsequent Surveillance Assessment.

Opportunity for Improvements	
OFI #	Description
OFI 1	Nil

Positive Findings	
PF #	Description
PF 1	KUD Makarti have good relationship with village authority, regency level authority and NGO.
PF 2	KUD Makarti have a good documentation system.

3.4.1 Status of Nonconformities Previously Identified and Observations

Non-conformity			
NCR Ref #		Clause & Category (Major / Minor)	
	Nil		

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Closed (Yes / No)		Date of nonconformity Closure	
Statement of Nonconformity:			
Requirement Reference:			
Objective Evidence:			
Corrective Actions:			
Assessment Conclusion:			

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)
1868372-202001-M1	Major	RSPO Management System Requirements and Guidance for Group Certification of FFB Production - March 2018; 4.6.5	09/01/2020	Closed – 13/02/2020
1868372-202001-M2	Major	RSPO Management System Requirements and Guidance for Group Certification of FFB Production - March 2018; 4.6.11	09/01/2020	Closed – 13/02/2020
1868372-202001-M3	Major	RSPO Management System Requirements and Guidance for Group Certification of FFB Production - March 2018; 4.7.3	09/01/2020	Closed – 13/02/2020
1868372-202001-M4	Major	RSPO Management System Requirements and Guidance for Group Certification of FFB Production - March 2018; 5.3.2	09/01/2020	Closed – 13/02/2020
1868372-202001-N1	Minor	RSPO Management System Requirements and Guidance for Group Certification of FFB Production - March 2018; 2.2.2	09/01/2020	Open
1868372-202001-N2	Minor	RSPO Management System Requirements and Guidance for Group Certification of FFB Production - March 2018; 4.6.10	09/01/2020	Open

3.5 Stakeholders and previous land owner / user 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 KUD Makarti 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.

List of Stakeholders contacted	
Internal Stakeholders Previous land owner	Union/Contractors/Local Communities <ul style="list-style-type: none"> • FFB Transports Coordinator • Village of Sido Mukti • PT. Bahari Gembira Ria (company as FFB receiver from smallholders)
Government Departments <ul style="list-style-type: none"> • Cooperative Agency • Plantation Agency 	NGO Yayasan SETARA Jambi

	Stakeholders comment
	<p>Feedbacks: Sekretaris Desa Sido Mukti, Kecamatan Sungai Gelam</p> <ul style="list-style-type: none"> • Sido Mukti was a new village, expansion from original Petaling Jaya Village in 11 September 2011, and the community was coming in as transmigration program since 1986. • Sido Mukti Village has public facility such as religious house (masjid and Hindu temple), Medical clinic, pre-school and primary school. A number of community member have social insurance register “BPJS Mandiri” and “KIS/Kartu Indonesia Sehat”. • The first oil palm plantation cooperation was sets up with PT. Bahari Gembira Ria in 1995. The cooperation in form of four year development, after planting. The smallholder continues to sending FFB to PT. BGR until now. PT. BGR is applying FFB purchase price as per “Aturan Penetapan Harga Beli TBS Petani” from Plantation Service. • The Sido Mukti village official fully support the implementation of RSPO P&C by KUD Makarti. • The smallholder and farmer in Sido Mukti village feels abundant assistant provided related to technical BMP for oil palm plantation from Yayasan Setara and SNV Indonesia, in the past 3 years. • KUD Makarti was awarded as Best Cooperative in Province level. <p>Management Responses: KUD Makarti have no further comment. KUD Team accepted the comments from village officials.</p>

	<p>Audit Team Findings: No further comment. Audit team record as positive findings.</p>
	<p>Feedbacks: Representative of FFB recipient/processing Palm Oil Mill Company (PT. Bahari Gembira Ria)</p> <ul style="list-style-type: none"> • KUD Makarti is part of collective management program from PT. Bahari Gembira Ria since 1995, under program called Bina Tani; • PT. Bahari Gembira Ria carried out development in form of crop monitoring and continue with follow up action. The goal is a standardize FFB quality. A number of time, coaching related to best management practice for oil palm plantation; • PT. Bahari Gembira Ria sets out the FFB purchase price based on "Dinas Perkebunan" and did not received FFB outside the current plasma supply base; • In managing the hazardous waste, KUD Makarti does not cooperates with PT. Bahari Gembira Ria. <p>Management Responses: KUD Makarti adding information for first point; KUD Makarti was established in 2013 and operates in 2014. KUD Makarti itself originated from Petaling Jaya village expansion (KUD Marga Jaya). The oil palm plantation development circa same year as KUD Marga Jaya.</p> <p>Audit Team Findings: No further comment. Audit team record as positive findings.</p>
	<p>Feedbacks: Yayasan SETARA JAMBI (NGO)</p> <ul style="list-style-type: none"> • Yayasan SETARA Jambi have cooperation with KUD Makarti for agronomy training in 2017/2018, whereby the activity as one of knowledge improvement for smallholder related to Oil Palm Plantation Best Management Practice. • The cooperation between Yayasan SETARA Jambi and KUD Makarti last for 6 months and was not directed for RSPO certification. Then the refreshment training by SNV Indonesia. 5-days training theory and field practice, to understand the smallholder knowledge and understanding on oil palm plantation and the administration. <p>Management Responses: KUD Makarti have no further comment. KUD Team accepted the comments from village officials.</p> <p>Audit Team Findings: No further comment. Audit team record as positive findings.</p>
	<p>Feedbacks: Cooperative Department of Muaro Jambi Regency (Dinas Koperasi Kab. Muaro Jambi)</p> <ul style="list-style-type: none"> • KUD Makarti holds certificate from "Kementerian Koperasi dan Usaha Kecil dan Menengah", and registered under the ministry's website www.nik.depkop.go.id ; • The annual member meeting is always ontime and granted with certificate from Jambi Province as high-achievement cooperative; • The management, reporting, record keeping in KUD Makarti is good. Communication with government is good; • Cooperative Office made annual visit to verify the situation in KUD Makarti, usually by "Petugas Penyuluh Koperasi Lapangan (PPKL)" during annual meeting; <p>Management Responses: KUD Makarti have no further comment. KUD Team accepted the comments from village officials.</p> <p>Audit Team Findings: No further comment. Audit team record as positive findings.</p>
	<p>Feedbacks: Plantation Department of Muaro Jambi Regency (Dinas Perkebunan dan Peternakan Kab. Muaro Jambi)</p> <ul style="list-style-type: none"> • All smallholder member of KUD Makarti holds "Surat Tanda Daftar Budidaya (STDB)" issued by "Dinas Perkebunan Kabupaten Muaro Jambi" between 2015-2016; • Related to replanting program and its funding, the regency officials will continues to assist the issuance process;


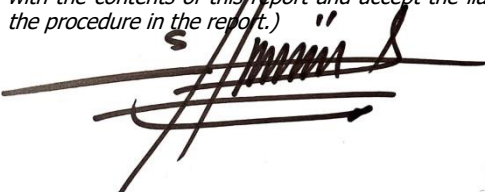
	<ul style="list-style-type: none"> The communication between officials and government is good;
	<p>Management Responses: KUD Makarti have no further comment. KUD Team accepted the comments from Regency’s Plantation officials.</p>
	<p>Audit Team Findings: No further comment. Audit team record as positive findings.</p>
	<p>Feedbacks:</p> <p>FFB Transport Coordinator</p> <ul style="list-style-type: none"> Total FFB transport truck armada to cater KUD Makarti is 21 trucks and 18 truck owners. All truck owner is member of KUD Makarti; The work agreement between truck owner and KUD Makarti being represented by armada coordinator. The agreement process and result is transparent, and if fuel price increase – all smallholder member and KUD member will meet to find solution. The payment process in swift and according to FFB tonnage being transported/weighed in POM.
	<p>Management Responses: KUD Makarti have no further comment. KUD Team accepted the comments from FFB transport contractor.</p>
	<p>Audit Team Findings: No further comment. Audit team record as positive findings.</p>

List of land owner / user contacted					
Name	Years of ownership / used	Land area (ha)	Agreement (Yes / No)	Agreement base on FPIC (Yes/No)	Compliance on the agreement terms and conditions
Jumirin	2010	2	Yes	Yes	Yes

Previous land owner / user comment	
1	<p>Feedbacks:</p> <p>Bp. Jumirin (Smallholder as Previous Land Owner)</p> <ul style="list-style-type: none"> The sales process for oil palm plantation block was back in 2010, whereby witnessed by “Kepala Desa”, “Kepala Dusun”, “Pemilik Lahan termasuk Istri dan anak”, “neighboring entities” and KUD’s officials. The oil palm plantation block buyer was community of Sido Mukti village and KUD member; The oil palm plantation block sold because of personal necessities, and no force or coercion whatsoever, during the process; <p>The oil palm plantation block being sold have enclosed with “Land Certificate”;</p> <p>Management Responses: KUD Makarti have no further comment. KUD Team accepted the comments from village officials.</p> <p>Audit Team Findings: No further comment. Audit team record as positive findings.</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 KUD Makarti has complied with the - RSPO Management System Requirement and Guidance for Group Certification of FFB Production, March 2018 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 KUD Makarti is granted.</p>	
Report prepared by	Acceptance of Assessment Conclusion
Name: Pratama A Sedayu	Name: Sufyan Sahuri
Company Name: BSI Group Indonesia (on behalf of BSI Services Malaysia Sdn Bhd)	Company Name: KUD Makarti
Title: Lead Auditor	Title: Group Manager
Signature: 	Signature: (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.) 
Date: 18 February 2020	Date: 18 February 2020

Appendix A: Summary of Findings

Group Certification Requirements

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

Section A-1- Group Managers

Criterion / Indicator	Assessment Findings	Compliance
<p>Element 1 (E1): Group Entity and Group Management requirements 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>Group Entity: KUD Makarti demonstrate deed of establishment "Akta Pendirian Koperasi Unit Desa Makarti Nomor 123 oleh Notaris Rahmadani Hidayat SH. MKn." dated 25 March 2013. The deed establishment including statutes of organization. The deed have been registered as per "Menteri Negara Urusan Koperasi dan Usaha Kecil dan Menengah Republik Indonesi Keputusan Bupati Muaro Jambi No.315/Kep.Bup/KOPERINDAG/2013 tentang Pengesahan Akta Pendirian Koperasi Unit Desa Makarti", dated 20 May 2013. The decree Section II stipulated: "dengan disahkannya Akta Pendirian Koperasi, maka Koperasi tersebut memperoleh status Badan Hukum" – with this registration, the cooperative has attained Legal Entity status.</p> <p>KUD Makarti later renew the deed of establishment "Pernyataan Keputusan Rapat dan Perubahan Anggaran Dasar Koperasi Unit Desa Makarti Nomor 60 oleh Notaris Rahmadani Hidayat SH. MKn." dated 18 August 2015. The new Notary act including changes/revision of organization's statutes. The new deed have been registered as per "Menteri Negara Urusan Koperasi dan Usaha Kecil dan Menengah Republik Indonesi Keputusan Bupati Muaro Jambi No.446/Kep.Bup/DISKOPERINDAG/2015</p>	<p>Yes</p>

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		<p>tentang Pengesahan Perubahan Anggaran Dasar Koperasi Unit Desa Makarti”, dated 17 November 2015. The decree Section II stipulated: “dengan disahkannya Perubahan ANggaran Dasar Koperasi, maka Koperasi tersebut memperoleh status Badan Hukum” – with the change in statutes and registration, the cooperative has attained Legal Entity status.</p> <p>RSP0 membership: Confirmation of Membership by RSP0 Sekretariat on 6 August 2019 to KUD Makarti. Membership: KUD Makarti, Jalan Lintas Sidomukto Perumahan Jambi RT008/002, Muaro Jambi, Jambi 36668, Indonesia. Membership catrgory: Ordinary. Membership SectorL Oil Palm Growers. Membership Number: 1-0278-19-000-00. Membership period: August 2019 – July 2021.</p> <p>The Group Manager and Internal Control System has established structure: “Struktur Internal Control Sistem KUD Makarti”. Group Manager: Sofyan Sahuri. FFB Monitoring: Sodikin. Registration and Membership: Subagyo, Purwoto, Agnes Leli. Pest and Diseate: Mianto, Purwadi. Monitoring Fertilizer and Chemical: M. Tohirin, Rizki Saputra. Plantation: Agus Tugiman, Ririn Susilowati. Internal Audit: Hadi Ismanto, Usman, Tri Yuliasih. Fire Fighter: Rasmani. Environmental: Budi Santoso, Adhe Ferdiansyah, Wiwit Mentari. Health and Safety: Subroto, Alfihatul Hakim, Sri Wahyuni.</p> <p>Appointment of Group Manager as per “Berita Acara Rapat Anggota Tahunan KUD Makarti tahun Buku 2018, Desa Sidomukti” dated 23 February 2019. The decreess stipulates KUD Makarti appoint Mr. Sofyan Sahuri as the Group Manager.</p>	
<p>E1.1.2</p>	<p>The Group Entity shall have documented membership requirements for the participation of individual members in the Group which will also cover new membership.</p> <ul style="list-style-type: none"> • There shall be documentary evidence that the Group members have formally joined the Group. • Formal members of the Group shall sign an agreement with the Group Manager committing to achieving compliance with the applicable RSP0 standards and requirements. • The Group Manager shall keep copies of the agreements and shall demonstrate that each member has received a copy thereof. 	<p>Membership requirements for participation inside “Standar Operasional Prosedur Kriteria dan Syarat Anggota Baru No.01/SOP-KUD-MKRSM/IV/2019” dated 3 April 2019. The SOP regulates the documentary requirement for the application.</p> <p>Smallholder members of KUD Makarti has formally sign joined the Group as evidence in document “Surat Tanda Daftar Anggota Kelompok Tani”. Sample seen:</p> <ul style="list-style-type: none"> - “Formulir Anggota” under name Subagyo, NIK KTP 15050*****, birth date: 4 August 1969; address: Sidomukti; for area 2 Ha; planting year 1996, legal ownership of land certificate; Kelompok Tani Harapan Jaya, signed dated 1 March 2019. “Surat Tanda Daftar Anggota Kelompok Tani” under name Subagyo, dated 1 March 2019 – counter signed by “Kelompok Tani”; - “Formulir Anggota” under name Suparjo, NIK KTP 15050*****, birth date: 5 May 1955; address: Sidomukti; for area 2 Ha; planting year 1996, legal ownership of land certificate; Kelompok Tani Monco Warno A, signed dated 2 March 2019. “Surat Tanda Daftar Anggota Kelompok Tani” under name 	<p>Yes</p>

	<ul style="list-style-type: none"> The Group Manager shall retain copies for a minimum of 5 years. 	<p>Suparjo, dated 2 March 2019 – counter signed by “Kelompok Tani”;</p> <ul style="list-style-type: none"> “Formulir Anggota” under name (Mrs.) Acah Nurmala, NIK KTP 15050*****, birth date: 5 June 1967; address: Kebon IX, Sungai Gelam; for area 1.92 Ha; planting year 1996, legal ownership of land certificate; Kelompok Tani Sri Rejeki A, signed dated 1 February 2019. “Surat Tanda Daftar Anggota Kelompok Tani” under name (Mrs.) Acah Nurmala, dated 1 February 2019 – counter signed by “Kelompok Tani”; “Formulir Anggota” under name Wakidi, NIK KTP 15050*****, birth date: 21 July 1969; address: Mingkung Jaya; for area 2.01 Ha; planting year 1996, legal ownership of land certificate; Kelompok Tani Sumber Tani B, signed dated 3 March 2019. “Surat Tanda Daftar Anggota Kelompok Tani” under name Wakidi, dated 3 March 2019 – counter signed by “Kelompok Tani”; “Formulir Anggota” under name Sukamto, NIK KTP 157108*****, birth date: 23 April 1970; address: Kebun Handil RT 07; for area 4 Ha (4 land titles); planting year 1996, legal ownership of land certificates; Kelompok Tani Barokah, signed dated 14 January 2019. “Surat Tanda Daftar Anggota Kelompok Tani” under name Wakidi, dated 14 July 2019 – counter signed by “Kelompok Tani”; <p>Smallholder members of KUD Makarti has formal sign an agreement with the group manager committing to achieving compliance with applicable RSPO standard and requirement in “Surat Kesediaan Ikut Sertifikasi RSPO”. Sample seen:</p> <ul style="list-style-type: none"> “Surat Kesediaan Ikut Sertifikasi RSPO” under name Subagyo, birth date: 4 August 1969; address: Sidomukti; Kelompok Tani Harapan Jaya, signed dated 1 March 2019. “Surat Kesediaan Ikut Sertifikasi RSPO” under name Suparjo, address: Sidomukti; for area 2 Ha; Kelompok Tani Monco Warno A, signed dated 2 March 2019. “Surat Kesediaan Ikut Sertifikasi RSPO” under name (Mrs.) Acah Nurmala, address: Kebon IX, Sungai Gelam; Kelompok Tani Sri Rejeki A, signed dated 1 February 2019. “Surat Kesediaan Ikut Sertifikasi RSPO” under name Wakidi, address: Mingkung Jaya; for area 2.01 Ha; Kelompok Tani Sumber Tani B, signed dated 3 March 2019. “Surat Kesediaan Ikut Sertifikasi RSPO” under name Sukamto, address: Kebun Handil RT 07; Kelompok Tani Barokah, signed dated 14 January 2019. <p>According to “Standar Operasional Prosedur Pengelolaan Dokumen No.44/SOP-KUD-MKRSM/IV/2019” dated 3 April 2019; stated that all document related to RSPO certification including</p>	
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		membership document keep by "ICS staff" and related function minimum 5 years.	
E1.1.3	The Group Manager shall keep evidence that the nature and structure of the group has been communicated to all members of the Group in an appropriate manner.	The Group Manager and Internal Control System has established structure: "Struktur Internal Control Sistem KUD Makarti". Group Manager: Sofyan Sahuri. FFB Monitoring: Sodikin. Registration and Membership: Subagyo, Purwoto, Agnes Leli. Pest and Disease: Mianto, Purwadi. Monitoring Fertilizer and Chemical: M. Tohirin, Rizki Saputra. Plantation: Agus Tugiman, Ririn Susilowati. Internal Audit: Hadi Ismanto, Usman, Tri Yuliasih. Fire Fighter: Rasmani. Environmental: Budi Santoso, Adhe Ferdiansyah, Wiwit Mentari. Health and Safety: Subroto, Alfihatul Hakim, Sri Wahyuni. Socialization of organization structure dated 23 February 2019 to all smallholder member during "Rapat Anggota Tahunan".	Yes
E1.2 The Group shall be managed by a Group Manager			
E1.2.1	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). 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). If the Group Manager is not an individual but an entity: <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. 	The appointed Group Manager is an individual acting on behalf of the legal entity. Appointment of Group Manager as per "Berita Acara Rapat Anggota Tahunan KUD Makarti tahun Buku 2018, Desa Sidomukti" dated 23 February 2019. The decree stipulates KUD Makarti appoint Mr. Sofyan Sahuri as the Group Manager.	Yes
E1.2.2	The Group Manager shall be able to demonstrate sufficient resources and capacity for managing Group Certification and performance assessment against this Standard.	Group Manager and the smallholder member has established an organization structure : "Struktur Internal Control Sistem KUD Makarti". Group Manager: Sofyan Sahuri. FFB Monitoring: Sodikin. Registration and Membership: Subagyo, Purwoto, Agnes Leli. Pest and Disease: Mianto, Purwadi. Monitoring Fertilizer and Chemical: M. Tohirin, Rizki Saputra. Plantation: Agus Tugiman, Ririn Susilowati. Internal Audit: Hadi Ismanto, Usman, Tri Yuliasih. Fire Fighter: Rasmani. Environmental: Budi Santoso, Adhe Ferdiansyah, Wiwit Mentari. Health and Safety: Subroto, Alfihatul Hakim, Sri Wahyuni.	Yes

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<p>E1.2.3</p>	<p>The Group Manager and / or their personnel shall be able to demonstrate competence and knowledge of:</p> <ul style="list-style-type: none"> • Principles and Criteria for the Production of Sustainable Palm Oil 2013 Endorsed by the RSPO Executive Board and Accepted at the Extraordinary General Assembly by RSPO Members on April 25th 2013 • RSPO Management System Requirements and Guidance for Group Certification of FFB Production – March 2016 [this standard]. • RSPO Supply Chain Certification Standard Final Document: As approved by RSPO Executive Board 21 November 2014 • Internal group procedures and policies. 	<p>Group Manager and the ICS team have received training related to 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 2013; RSPO Management System Requirements and Guidance for Group Certification of FFB Production – March 2018; RSPO Supply Chain Certification Standard 2017 – on 23 February 2019. Trainer is Mr. Adhe Ferdi from SNV.</p>	<p>Yes</p>
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<p>E1.2.4</p>	<p>The Group Manager shall provide potential and existing Group members with the following:</p> <ul style="list-style-type: none"> • An explanation of the RSPO certification process. • An explanation of the criteria for group membership. • An explanation as to the Group Manager's needs and the rights of the certification body to access the group members' documentation and plantations for the purposes of evaluation and monitoring. • An explanation of the certification bodies and RSPO requirements with respect to public information. • An explanation of any obligations with respect to group membership, such as: <ul style="list-style-type: none"> ○ Maintenance of information for monitoring purposes; ○ Requirement to conform to conditions or corrective actions issued by the certification body. ○ Explanation of any costs associated with group membership. ○ Other obligations of group membership. 	<p>Group Manager; ICS team and smallholder members have received training related to: RSPO certification process; Explanation of criteria for group membership; Obligation with respect to group membership; Group Manager authorization, Explanation of certification bodies and RSPO requirements with respect to public information - on 23 February 2019; trainer is Mr. Adhe Ferdi from SNV.</p> <p>Furthermore, KUD Makarti prepares and distributed copy of all of the organization policies and SOP to all smallholder members. The distribution minutes dated 13 August 2019.</p>	<p>Yes</p>
<p>Element 2 (E2): Internal Control System – Policies and Management</p>			
<p>E2.1 The Group Internal Control System shall contain documented policies and procedures for operational management.</p>			
<p>E2.1.1</p>	<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. 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. 	<p>Identification of geographical area: All smallholder member's plantation located in Sidomukti Village, Sungai Gelam District, Muaro Jambi Regency, Jambi Province.</p> <p>Group Manager structure: "Struktur Internal Control Sistem KUD Makarti". Group Manager: Sofyan Sahuri. FFB Monitoring: Sodikin. Registration and Membership: Subagyo, Purwoto, Agnes Leli. Pest and Disease: Mianto, Purwadi. Monitoring Fertilizer and Chemical: M. Tohirin, Rizki Saputra. Plantation: Agus Tugiman, Ririn Susilowati. Internal Audit: Hadi Ismanto, Usman, Tri Yuliasih. Fire Fighter: Rasmani. Environmental: Budi Santoso, Adhe Ferdiansyah, Wiwit Mentari. Health and Safety: Subroto, Alfihatul Hakim, Sri Wahyuni. Socialization of organization structure dated 23 February 2019 to all smallholder member during "Rapat Anggota Tahunan".</p>	<p>Yes</p>

	<ul style="list-style-type: none"> • 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>Criteria for membership: SOP "Standar Operasional Prosedur Kriteria dan Syarat Anggota Baru No.01/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The SOP regulates the documentary requirement for the membership application. SOP "Standar Operasional Prosedur Keluar Masuk Anggota No.03/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The SOP regulates type of violation by member which may lead to sanction/expulsion.</p> <p>Annual group meeting: "Rapat Anggota Tahunan" annual member meeting, as recorded under "Berita Acara Rapat Anggota Tahunan KUD Makarti tahun Buku 2018, Desa Sidomukti" dated 23 February 2019. The meeting attended by all member.</p> <p>Initial gap audit: KUD Makarti regulates the initial gap audit under "Standar Operasional Prosedur Kriteria and Syarat Anggota Baru No.01/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. Point 5 of the procedure stipulates upon receiving the registration form, ICS team will conduct field verification (gap analysis). KUD Makarti regulates the initial gap audit under "Standar Operasional Prosedur Penilaian Kesenjangan Awal Anggota No.34/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The procedure stipulates initial gap assessment upon membership registration will review and verify the plantation location, land legality review, interview to measure commitment and understanding and mapping.</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. 	<p>"Standar Operasional Prosedur Pengelolaan Dokumen No.44/SOP-KUD-MKRSM/IV/2019".</p> <p>Group manager completed a profile of all individual members and their credentials:</p> <ul style="list-style-type: none"> - List of names and full contact details of group members: individual member name/name as per land certificate, home address. - Location maps: map of each individual member within their KT/farmer group. Oil palm hectarge saved on separate file. - Land titles: in form of SHM and/or SKT - A copy of the signed declaration of the grower becoming a member of the group including the date: in form of "Formulir Anggota" – membership form/application, and "Surat Kesediaan Ikut Sertifikasi RSPO" – Joining RSPO certification statement; for all individual member. - Unique member registration numbers are assigned to individual members: in form of "Formulir Anggota" – membership form/application, and "Surat Kesediaan Ikut Sertifikasi RSPO" – Joining RSPO certification statement; for all individual member. - The date that the member signed the declaration of intent as stated in the Group Membership 	<p>Yes</p>

	<ul style="list-style-type: none"> The date that the member signed the declaration of intent as stated in the Group Membership Requirements. Date of leaving the Group if applicable and the reasons why. Projected and actual FFB production in metric tonnes per annum. Monitoring and training records. Any corrective actions raised and actions taken to meet the requirements for compliance. 	<p>Requirements: in form of "Surat Kesediaan Ikut Sertifikasi RSPO" – Joining RSPO certification statement. The statement including date of join; for all individual member</p> <ul style="list-style-type: none"> Date of leaving the Group if applicable and the reasons why: form available, none leaving as of audit. Projected and actual FFB production in metric tonnes per annum: prepared as annual business plan. Monitoring and training records: maintained as per indicator 4.8. Any corrective actions raised and actions taken to meet the requirements for compliance: maintain as part of internal audit record. 	
E2.1.3	Relevant group records shall be archived for a minimum of 5 years using an appropriate secure system.	"Standar Operasional Prosedur Pengelolaan Dokumen No.44/SOP-KUD-MKRSM/IV/2019". The SOP point 6, 7 and 9 stipulates the record related to Group Management will be maintained for 5 years.	Yes
E2.1.4	The Group Internal Control System shall include an initial gap audit procedure (i.e. baseline assessment and needs for compliance) for applicants wishing to join the Group.	<p>Initial gap audit: KUD Makarti regulates the initial gap audit under "Standar Operasional Prosedur Kriteria and Syarat Anggota Baru No.01/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. Point 5 of the procedure stipulates upon receiving the registration form, ICS team will conduct field verification (gap analysis). KUD Makarti regulates the initial gap audit under "Standar Operasional Prosedur Penilaian Kesenjangan Awal Anggota No.34/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The procedure stipulates initial gap assessment upon membership registration will review and verify the plantation location, land legality review, interview to measure commitment and undersanding and mapping.</p> <p>Initial gap audit (internal audit) in KUD Makarti: For Subagyo from KT Harapan Jaya, dated 10 August 2019. Initial gap audit for Budi Santoso from KT Sri Rejeki B, dated 15 July 2019. Initial gap audit for Agus Setiawan from KT Sido Maju, dated 12 July 2019. Initial gap audit for Suparjo from KT Monco Warno A, dated 7 July 2019. Initial gap audit for Sukamto from KT Barokah, dated 18 June 2019. Initial gap audit for Acah Nurmala from KT Sri Rejeki A, dated 10 June 2019. Initial gap audit for Abdul Sakur from KT Sido Mulyo, dated 7 July 2019. Initial gap audit for Wakidi from KT Sumber Tani B, dated 28 August 2019.</p>	Yes
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	KUD Makarti regulates the initial gap audit under "Standar Operasional Prosedur Pelaksanaan Audit Internal No.06/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019.	Yes

	<p>plans, monitoring and evaluation records. 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. 	<p>Timeline: Point "Perencanaan" – planning regulates internal audit on annual basis for all smallholder member. Operational plan: Point "Penyusunan Rencana Audit" – audit planning, "Tahapan audit" – Internal audit stages" explains the operational planning for internal audit. Monitoring: Point "Tindaklanjut Audit" – Audit follow up; stipulates correction period and follow up visit. Evaluation Record: Point "Penulisan dan Pelaporan Hasil Audit" – Writing and reporting Audit Result; stipulates internal audit reporting, reporting timeline, communication of audit findings (especially non-conformity). Audit report will consist of audit checklist, non-conformity form-corrective action plan. Furthermore in SOP "Standar Operasional Prosedur Perbaikan Audit Internal No.07/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019; sipulates timeline for correction implementation. Audit Methodology: inside SOP "Standar Operasional Prosedur Pelaksanaan Audit Internal No.06/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019 – point "tahapan audit"/audit stages explains the internal audit consist of visit to the oil palm block, interview with smallholder member and document review (triangulation). Audit Criteria: Point "Referensi" – reference stated the criteria will be RSPO P&C standard; Addressing Non-conformity: in SOP "Standar Operasional Prosedur Perbaikan Audit Internal No.07SOP-KUD-MKRSM/IV/2019" dated 3 April 2019; sipulates the implication of any internal audit findings to membership status.</p> <p>Conduct regular internal audit (at least annual): KUD Makarti has conducted Initial gap audit (internal audit) in KUD Makarti year 2019 for all member: For Subagyo from KT Harapan Jaya, dated 10 August 2019. Initial gap audit for Budi Santoso from KT Sri Rejeki B, dated 15 July 2019. Initial gap audit for Agus Setiawan from KT Sido Maju, dated 12 July 2019. Initial gap audit for Suparjo from KT Monco Warno A, dated 7 July 2019. Initial gap audit for Sukamto from KT Barokah, dated 18 June 2019. Initial gap audit for Acah Nurmala from KT Sri Rejeki A, dated 10 June 2019. Initial gap audit for Abdul Sakur from KT Sido Mulyo, dated 7 July 2019. Initial gap audit for Wakidi from KT Sumber Tani B, dated 28 August 2019. KUD Makarti have prepared internal audit plan for all member for year 2020: February – March 2020 and September – October 2020 for all 12 Kelompok Tani (farmer groups).</p> <p>Maintenance of internal audit record: Internal audit 2019 record for all members are maintained. Internal audit checklist "Pertanyaan Audit Internal" under name Khususiah/Abdul Sakur (MKT.05.004), internal auditor Usman; dated 7 July 2019; "Pertanyaan Audit Internal" under name Eni</p>	
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		Setyaningsih (MKT.04.019), internal auditor Hadi Ismanto; dated 13 July 2019. "Pertanyaan Audit Internal" under name Awijaya (MKT.06.028), internal auditor Usman; dated 26 August 2019.	
E3.1.2	<p>The Group Manager shall carry out a risk assessment of Group members to identify an appropriate sampling intensity of Group members for the certification assessment.</p> <p>The risk assessment shall take into account:</p> <ul style="list-style-type: none"> the diversity of the Group members (i.e. range of size, management structure, scattered members with diverse plantation landscape such as terrain, etc.) any perceived risk relating to the activities being undertaken (e.g. how much replanting or expansion is occurring, how many members are new and, for subsequent assessments, whether there is a history of non-conformities). 	The Group Manager KUD Makarti has established "Standar Operasional Prosedur Pelaksanaan Audit Internal No.06/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019 – point planning stated all smallholder member will be audited one time per annum.	Yes
E3.1.3	The Group Manager and the internal auditors shall jointly declare no conflict of interest for the internal audit process.	The Group Manager and the internal auditors has jointly declare no conflict of interest for the internal audit process as in "Peraturan Group Manager: "Peraturan Group Manager Mengurangi Konflik Interest Tim Audit Internal" dated 4 April 2019 – signed by Group Manager: Mr. Sofyan Sahuri; Internal Auditor: Hadi Ismanto, Usman, Tri Yuliasih.	Yes
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>KUD Makarti has conducted Initial gap audit (internal audit) in KUD Makarti year 2019 for all member: For Subagyo from KT Harapan Jaya, dated 10 August 2019. Initial gap audit for Budi Santoso from KT Sri Rejeki B, dated 15 July 2019. Initial gap audit for Agus Setiawan from KT Sido Maju, dated 12 July 2019. Initial gap audit for Suparjo from KT Monco Warno A, dated 7 July 2019. Initial gap audit for Sukamto from KT Barokah, dated 18 June 2019. Initial gap audit for Acah Nurmala from KT Sri Rejeki A, dated 10 June 2019. Initial gap audit for Abdul Sakur from KT Sido Mulyo, dated 7 July 2019. Initial gap audit for Wakidi from KT Sumber Tani B, dated 28 August 2019. The initial gap audit resulted there is no violation against RSPO criterion 5.2 and 7.3. The planting year for all (existing) member of KUD Makarti is 1996, 2000 and 2001.</p> <p>In addition, audit team have checked the RaCP tracker in RSPO website; from the RaCP tracker (as per November 2019), KUD Makarti submitted LUCA, Liability to RSPO Secretariat.</p> <p>KUD Makarti also demonstrate thread of communication with RSPO Secretariat during membership application dated 17 October 2019, stipulates "Please be informed that based on the details of the farmers disclosed in the document submitted,</p>	Yes

		<p>the group has reported no non-compliant land clearing without prior HCV assessment”.</p> <p>There is no existing land conflict.</p> <p>All member are able to demonstrate land title/certificate.</p>	
<p>E3.2 The Group Internal Control System shall include a system in place to enable the trading of RSPO certified Fresh Fruit Bunches (FFB) produced from the Group.</p>			
E3.2.1	<p>The Group Manager shall document and implement a system for the tracking and tracing of FFB produced by the group members, and intended to be sold as RSPO-certified FFB.</p>	<p>“Standar Operasional Prosedur Penjualan TBS No.10/SOP-KUD-MKRSM/IV/2019” dated 3 April 2019. The procedure stipulates in point 3 and 4: the sale of FFB to receiving mill will bear information on tonnage, plantation owner/membership detail, delivery docket, transport detail, and identification of certification status.</p> <p>In point 8 stipulates KUD Makarti record the separation of certified FFB and non-certified FFB.</p> <p>“Standar Operasional Prosedur Pencatatan TBS No.11/SOP-KUD-MKRSM/IV/2019” dated 3 April 2019. KUD Makarti sales the FFB from its member only. For sales through KUD Makarti, organization record separate volume for certified FFB and non-certified FFB.</p>	Yes
E3.2.2	<p>There shall be a collective Group procedure for the sale of all certified FFB to ensure that non-certified FFB are not sold as RSPO certified FFB.</p> <p>If certified FFB is combined with non-certified FFB prior to the sale and delivery to a palm oil mill, a mass balance system shall be in place to ensure the quantity of FFB sold as Mass Balance is equal to the quantity of RSPO certified FFB in the mix.</p>	<p>“Standar Operasional Prosedur Penjualan TBS No.10/SOP-KUD-MKRSM/IV/2019” dated 3 April 2019. The procedure stipulates in point 3 and 4: the sale of FFB to receiving mill will bear information on tonnage, plantation owner/membership detail, delivery docket, transport detail, and identification of certification status.</p> <p>In point 8 stipulates KUD Makarti record the separation of certified FFB and non-certified FFB.</p> <p>“Standar Operasional Prosedur Pencatatan TBS No.11/SOP-KUD-MKRSM/IV/2019” dated 3 April 2019. KUD Makarti sales the FFB from its member only. For sales through KUD Makarti, organization record separate volume for certified FFB and non-certified FFB.</p> <p>As of audit Stage 2, there is no sales of certified FFB being sold (not certified yet).</p>	Yes
E3.2.3	<p>All sales of FFB originating from the plantations of Group members shall be documented and recorded. This shall include:</p> <ul style="list-style-type: none"> • Invoices and receipts (purchase and sale). • Information on transport (i.e. registration number/number plate). • The relevant group members’ group identification number. 	<p>Sample:</p> <p><u>Identification number; FFB Volume; No. of Bunches; Destination (PT. Bahari Gembira Ria):</u></p> <p>“Surat Pengantar TBS KT Sri Rejeki A”, transport ID No.BH4274B and BH8157GL dated 6 April 2019: Slamet Pujianto MKT.06.008 (55 bunches/1,155kg); Abdul Malik MKT.06.014 (52 bunches/1,092kg); Awijaya MKT.06.028 (66 bunches/1,386kg); Acah Nurmala MKT.06.005 (65 bunches/1,365kg); Amatiran MKT.06.002 (71 bunches/1,491kg) – total 1,177bunches/20,009kg.</p> <p>“Surat Pengantar TBS KT Sri Rejeki A”, transport ID No.BH8982BU and BH8630EI dated 16 April 2019:</p>	Yes

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	<ul style="list-style-type: none"> Classification of the FFB sold (i.e. RSPO certified or not), FFB volume and destination. Information of FFB price. 	<p>Slamet Pujianto MKT.06.008 (58 bunches/986kg); Abdul Malik MKT.06.014 (64 bunches/1,088kg); Awijaya MKT.06.028 (70 bunches/1,190kg); Acah Nurmala MKT.06.005 (76 bunches/1,290kg); Amatiran MKT.06.002 (62 bunches/1,054kg) – total 2,010 bunches/34,153kg.</p> <p>“Surat Pengantar TBS KT Sri Rejeki A”, transport ID No.BH8415GR and BH8451GR dated 26 April 2019: Slamet Pujianto MKT.06.008 (65 bunches/1,105kg); Abdul Malik MKT.06.014 (80 bunches/1,360kg); Awijaya MKT.06.028 (85 bunches/1,445kg); Acah Nurmala MKT.06.005 (88 bunches/1,496kg); Amatiran MKT.06.002 (73 bunches/1,241kg) as part of total 2,267 bunches/38,539kg.</p> <p><u>Classification of FFB sold:</u> non-certified.</p> <p><u>Information on FFB price; Invoice and Receipt:</u> “Rekapitulasi Penerimaan dan Pembayaran TBS Petani PT. Bahari Gembira Ria periode 5–11 April 2019”: Sri Rezeki A recorded nett 1,177bunches/19,830kg (penalty 630 kg); price IDR.1,371/kg – revenue IDR 27,188,714. “Rekapitulasi Penerimaan dan Pembayaran TBS Petani PT. Bahari Gembira Ria periode 12–18 April 2019”: Sri Rezeki A recorded nett 2,010bunches/34,110kg (penalty 1,570 kg); price IDR.1,380/kg – revenue IDR 47,100,452. “Rekapitulasi Penerimaan dan Pembayaran TBS Petani PT. Bahari Gembira Ria periode 26–30 April 2019”: Sri Rezeki A recorded nett 2,267bunches/39,150kg (penalty 1,230 kg); price IDR.1,349/kg – revenue IDR 52,824,312.</p>	
<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>“Standar Operasional Prosedur Pengelolaan Dokumen No.44/SOP-KUD-MKRSM/IV/2019”. The SOP point 6, 7 and 9 stipulates the record related to Group Management will be maintained for 5 years.</p> <p>KUD Makarti RSPO PalmTrace ID RSPO_PO1000010245.</p>	<p>Yes</p>
<p>E3.2.5</p>	<p>Traders of FFB shall be either part of the Group management system following this guidance or be RSPO Supply Chain certified in order to sell certified FFB. Traders of FFB are encouraged to be included within the Group certification control rather than obtain their own supply chain certification.</p> <p>The Group Manager will ensure that the trader has clear procedures to ensure that mass balance calculations are accurate if applicable and that all FFB sold by the trader is traceable back to the Group members.</p> <p>Guidance:</p>	<p>KUD Makarti is selling FFB from its member only. The function of trader is not applicable.</p>	<p>N/A Not applicable</p>

	<ul style="list-style-type: none"> • There shall be a contract between the FFB trader and the • The FFB trader shall maintain complete purchase and sales records. • If the FFB Trader is RSPO Supply Chain certified, a copy of the certificate shall be provided to the Group Manager. 		
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Section A-2- Individual group members up to 50ha under oil palm cultivation

Criterion / Indicator	Assessment Findings	Compliance
Principle 1: Commitment to Transparency		
Criterion 1.1:		
Growers and millers provide adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages and forms to allow for effective participation in decision making.		
1.1.1 There shall be evidence that growers and millers provide adequate information on (Environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.	<p>Group Manager prepares "Standar Operasional Prosedur Permintaan Data & Informasi No.31/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The procedure stated information request can be through letter or directly coming to office; Staff will decide information to be given, if approved – information will be provided; All information request and information provided shall be recorded.</p> <p>KUD Makarti maintains a logbook for incoming and outgoing correspondence. Sample: KUD Makarti received letter from "Panitia Pengajian Akbar Maulid Nabi Muhammad SAW Masjid Sabillil Muttaqin Desa Sidomukti No.005/Panitia/XI/SM-2016" dated 12 November 2019. The letter related to donation for the religious fair. As a response on 14 November 2019, KUD Makarti made contribution of Rp.1,000,000 for the religious fair.</p>	
Requirement for Group Manager		
The Group Manager shall inform all Group members that all requests for information are referred to the Group Manager.	KUD Makarti has determined type of information accessible for public. The list was approved by Group Manager. Group manager has communicated all group member that all request for information are referred to Group Manager.	

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Criterion / Indicator	Assessment Findings	Compliance
<p>The Group Manager shall provide adequate information on (Environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making</p>	<p>KUD Makarti and Group Manager have prepare list of document publically available: "List DOKumen yang Dapat Diakses Publik:" - "Sertifikat Hak Milik" - Land certificate; - "Surat Tanda Daftar Budidaya Kelapa Sawit/STD-B" – Smallholder registration; - Health and Safety Plan; - Environmental and Social Impact Assessment and Management Plan; - HCV document; - Pollution Prevention and Reduction Plan; - "Informasi Rincian Pengaduan Anggota" – Smallholder member complaint details; - Negotiation procedure; - Continuous Improvement Plan; - Public Summary Report of Certification Assessment; - Human Rights Policy;</p>	
<p>1.1.2 Records of requests for information and responses shall be maintained.</p>		
<p>Requirement for Group Manager</p>		<p>Yes</p>
<p>The Group Manager shall establish and maintain a system to keep records of requests for information and corresponding responses.</p>	<p>Group Manager prepares "Standar Operasional Prosedur Permintaan Data & Informasi No.31/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The procedure stated information request can be through letter or directly coming to office; Staff will decide information to be given, if approved – information will be provided; response for information request, sets at maximum two (2) weeks. All information request and information provided shall be recorded.</p> <p>KUD Makarti maintains a logbook for incoming and outgoing correspondence. Sample: KUD Makarti received letter from "Panitia Pengajian Akbar Maulid Nabi Muhammad SAW Mesjid Sabilil Muttaqin Desa Sidomukti No.005/Panitia/XI/SM-2016" dated 12 November 2019. The letter related to donation for the religious fair. As a response on 14 November 2019, KUD Makarti made contribution of Rp.1,000,000 for the religious fair.</p> <p>Based on stakeholder interview, they understand the process for information request, communication and consultation procedure, including reporting grievance.</p>	
<p>Criterion 1.2: Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.</p>		
<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>Yes</p>

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Criterion / Indicator	Assessment Findings	Compliance
Demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.	Based on interview with sampled smallholder, it was confirmed all information request will be directed through KUD Makarti office, with Group Manager.	
Requirement for Group Manager		
<p>Group Managers shall list the following documents as publically available and keep copies centrally:</p> <ul style="list-style-type: none"> • Land titles/user rights (Criterion 2.2); • Occupational health and safety plans (Criterion 4.7); • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); • HCV documentation (Criteria 5.2 and 7.3); • Pollution prevention and reduction plans (Criterion 5.6); • Details of complaints and grievances (Criterion 6.3); • Negotiation procedures (Criterion 6.4); • Continuous improvement plans (Criterion 8.1); • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13). 	<p>KUD Makarti and Group Manager have prepare list of document publically available: "List DOKumen yang Dapat Diakses Publik:"</p> <ul style="list-style-type: none"> - "Sertifikat Hak Milik" - Land certificate; - "Surat Tanda Daftar Budidaya Kelapa Sawit/STD-B" – Smallholder registration; - Health and Safety Plan; - Environmental and Social Impact Assessment and Management Plan; - HCV document; - Pollution Prevention and Reduction Plan; - "Informasi Rincian Pengaduan Anggota" – Smallholder member complaint details; - Negotiation procedure; - Continuous Improvement Plan; - Public Summary Report of Certification Assessment; - Human Rights Policy; 	
Criterion 1.3:		
Growers and millers commit to ethical conduct in all business operations and transactions.		
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.		
Requirement for Individual Member with up to 50ha of plantation size		
Individual members shall show that they have accepted and agreed the group's policy on ethical conduct	<p>Smallholder member interviewed confirms KUD Makarti has communicated policy on code of ethical conduct "Surat Keputusan No.15/SK/ICS/KUD-MKT/IV/2019 tentang Perilaku Etis dan Larangan Korupsi-Kolusi-Nepotisme" dated 8 April 2019.</p> <p>Based on interview with sampled smallholder member, they understand the policy in simple manner: no fraud during FFB weighing, no fraud during fertilizer application, etc.</p>	Yes
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
The Group Manager shall develop a written policy committing the Group to a code of ethical conduct and integrity in all operations and transactions.	KUD Makarti has prepared "Surat Keputusan No.15/SK/ICS/KUD-MKT/IV/2019 tentang Perilaku Etis dan Larangan Korupsi-Kolusi-Nepotisme" dated 8 April 2019. The policy based on "Instruksi Presiden No.1 tahun 2103 tentang Aksi Pencegahan dan Pemberantasan Korupsi", "Anggaran Dasar dan Anggaran Rumah Tangga KUD Makarti". The policy stipulates prohibition to corruption, collusion, nepotism in any form; prohibition to data manipulation; prohibition to fraud; prohibition to reputation damage.	

Criterion / Indicator	Assessment Findings	Compliance
Criterion 2.1:		
There is compliance with all applicable local, national and ratified international laws and regulations.		
2.1.1 Evidence of compliance with relevant legal requirements shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Fulfil the requirements laid out by the Group Manager, such as attending relevant training, filling in the checklist/tools provided to guarantee legal compliance. Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.	Group manager and group members have adequate knowledge regarding legal requirements related to their operation. Implementation of the related legal requirements relevant to oil palm cultivation, including those related to the group activities are checked regularly by group manager and through the local district government agriculture extension officer. KUD Makarti has prepared "Daftar Referensi Peraturan" list of all applicable regulation as a guidance of regulation to comply with; dated 21 February 2019. KUD Makarti conducted laws and regulations compliance analysis. The methodology by discussion per chapter. Evaluation on legal compliances is documented in "Daftar Peraturan perundangan Indonesia", comprised of 91 laws and regulation. Sample: "Peraturan Pemerintah No.101 tahun 2014 tentang Pengelolaan Limbah Bahan Berbahaya dan Beracun" – implementation through SOP on hazardous waste.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Ensure you can demonstrate to a third party that the laws are understood and complied with by Group members.</p>	<p>Group Manager KUD Makarti prepared procedure "Standar Operasional Prosedur Sistem Dokumentasi, Identifikasi, Implementasi UU No.73/SOP-KUD/MKRSM/IV/2019" dated 3 April 2019. The SOP stated:</p> <ul style="list-style-type: none"> - "Prosedur Identifikasi dan Implementasi Undang-undang" – procedure for identification and implementation of regulation; Group Manager is responsible for identification of relevant regulation; source of relevant regulation from internet; Group Manager and ICS team listed all relevant laws and regulations; tries to retain copy of the laws and regulation. <p>Group Manager study and review the regulation relevancy to group operation – detailing implementation/compliance fulfilment.</p> <ul style="list-style-type: none"> - "Prosedur Pembaharuan Peraturan Perundang-undangan" – procedure for update of laws and regulation; Group Manager responsible to update list of laws and regulation; period of update is once per annum; socialization from government ot internet subscription. <p>Group Manager study and review the regulation relevancy to group operation – detailing implementation/compliance fulfilment.</p> <ul style="list-style-type: none"> - "Penyebaran informasi terkait Perundangan" – Information dissemination; Information of new laws and regulation will be disseminated during monthly payment; <p>Group Manager prepared list of regulation "Daftar Peraturan perundangan Indonesia", comprised of 91 laws and regulation. Sample: "Peraturan Pemerintah No.101 tahun 2014 tentang Pengelolaan Limbah Bahan Berbahaya dan Beracun" – implementation through SOP on hazardous waste.</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>Yes</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. Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.</p>	<p>Subagyo: Paid land and building tax (PBB) for 2017 No.0034139 dated 2 November 2017.</p> <ul style="list-style-type: none"> - Sukamto (MKT.11.019) demonstrate land certificate of 10,350 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2508/2017 atas nama Sukamto; Area 10,000 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. - Subagyo (MKT.01.002) demonstrate land certificate 20,000 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2535/2017 atas nama Subagyo; Area 20,000 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. - Suparjo (MKT.02.001) demonstrate land certificate of 20,320 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2708/2017 atas nama Suparjo; Area 20,320 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. - Marjoni (MKT.02.011) demonstrate land certificate of 20,120 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2724/2017 atas nama Marjoni; Area 20,120 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. - Basmin (MKT.02.018) demonstrate land certificate of 20,815 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2716/2017 atas nama Basmin; Area 20,815 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. - Agus Setiawan (MKT.04.002) Demonstrate land certificate of 19,650 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2672/2017 atas nama Agus Setiawan; Area 19,650 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. - Eni Setyaningsih (MKT.04.019) demonstrate land certificate of 18,730 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2671/2017 atas nama Eni Setyaningsih; Area 18,730 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. - Abdul Sakur (MKT.05.004) "Sertifikat Hak Milik No.2051, Desa Petaling Jaya, atas nama Syaiful Anwar, luas 20,040 m²" dated 7 August 2003. Based on "Surat Ukur No.433/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Syaiful Anwar to Khususiyah (wife of Abdul Sakur) dated 30 December 2009. - Paimin (MKT.05.008) demonstrate land certificate of 20,260 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2575/2017 atas nama Paimin; Area 20,260 m²" dated 18 December 2017. Soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. 	
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	<ul style="list-style-type: none"> - Amatiran (MKT.06.002) demonstrate land certificate of 20,260 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2628/2017 atas nama Amatiran; Area 20,260 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. - Acah Nurmala (MKT.06.005) demonstrates land certificate of 19,210 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2626/2017 atas nama Lamijan/Acah Nurmala; Area 19,210 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. - Slamet Pujianto (MKT.06.008) demonstrate land certificate of 20,000 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2629/2017 atas nama Slamet Pujianto; Area 20,000 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. - Abdul Malik (MKT.06.014) demonstrate land certificate of 20,000 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2634/2017 atas nama Abdul Malik; Area 20,000 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. - Awijaya (MKT.06.028) demonstrate certificate of 20,180 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2551/2017 atas nama Awijaya; Area 20,180 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. - Budi Santoso/Daud (MKT.07.009) demonstrate land certificate of 19,630 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2562/2017 atas nama Budi Santoso; Area 19,630 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. - Dwi Puspasari (MKT.07.012) "Sertifikat Hak Milik No.2535, Desa Petaling Jaya, atas nama Camadi, luas 20,435 m²" dated 7 August 2003. Based on "Surat Ukur No.917/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Camadi to Ramses dated 18 October 2006. Transfer of ownership from Ramses to Sutarto dated 19 January 2015. - Misran (MKT.07.014) demonstrate land certificate of 20,435 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2558/2017 atas nama Misran; Area 20,435 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. - Budi Santoso (MKT.07.016) demonstrate land certificate of 20,100 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2563/2017 atas nama Budi Santoso; Area 20,100 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. - Wakidi (MKT.10.013) demonstrate land certificate of 20,170 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2659/2017 atas nama Wakidi; Area 20,170 m²" dated 18 December 2017. The 	
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Criterion / Indicator	Assessment Findings	Compliance
	<p>soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria.</p> <ul style="list-style-type: none"> - Kuwat (MKT.10.014) demonstrate land certificate of 19,140 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2657/2017 atas nama Kuwat; Area 19,140 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. - Amat Iran (MKT.11.014) demonstrate land certificate of 10,000 m². Plantation letter "Surat Tanda Daftar Usaha Budidaya Tanaman Perkebunan (STD-B) Kabupaten Muaro Jambi No.525/2613/2017 atas nama Amatiran; Area 10,000 m²" dated 18 December 2017. The soil type mineral, planting year 1996, processing partner PT. Bahari Gembira Ria. 	
Requirement for Group Manager		
<p>Group Managers shall: 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 KUD Makarti prepared procedure "Standar Operasional Prosedur Sistem Dokumentasi, Identifikasi, Implementasi UU No.73/SOP-KUD/MKRSM/IV/2019" dated 3 April 2019. The SOP stated:</p> <ul style="list-style-type: none"> - "Prosedur Identifikasi dan Implementasi Undang-undang" – procedure for identification and implementation of regulation; Group Manager is responsible for identification of relevant regulation; source of relevant regulation from internet; Group Manager and ICS team listed all relevant laws and regulations; tries to retain copy of the laws and regulation. <p>Group Manager study and review the regulation relevancy to group operation – detailing implementation/compliance fulfilment.</p> <ul style="list-style-type: none"> - "Prosedur Pembaharuan Peraturan Perundang-undangan" – procedure for update of laws and regulation; Group Manager responsible to update list of laws and regulation; period of update is once per annum; socialization from government ot internet subscription. <p>Group Manager study and review the regulation relevancy to group operation – detailing implementation/compliance fulfilment.</p> <ul style="list-style-type: none"> - "Penyebaran informasi terkait Perundangan" – Information dissemination; Information of new laws and regulation will be disseminated during monthly payment; <p>Group Manager prepared list of regulation "Daftar Peraturan perundangan Indonesia", comprised of 91 laws and regulation. This list of regulation available in Group Manager Office KUD Makarti. Sample: "Peraturan Pemerintah No.101 tahun 2014 tentang Pengelolaan Limbah Bahan Berbahaya dan Beracun" – implementation through SOP on hazardous waste.</p>	
2.1.3 A mechanism for ensuring compliance shall be implemented.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N.A	N.A	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
Ensure you can demonstrate to a third party that the laws are understood and complied with by Group members	<p>Group Manager KUD Makarti prepared procedure "Standar Operasional Prosedur Sistem Dokumentasi, Identifikasi, Implementasi UU No.73/SOP-KUD/MKRSM/IV/2019" dated 3 April 2019. The SOP stated:</p> <ul style="list-style-type: none"> - "Prosedur Identifikasi dan Implementasi Undang-undang" – procedure for identification and implementation of regulation; Group Manager is responsible for identification of relevant regulation; source of relevant regulation from internet; Group Manager and ICS team listed all relevant laws and regulations; tries to retain copy of the laws and regulation. <p>Group Manager study and review the regulation relevancy to group operation – detailing implementation/compliance fulfilment.</p> <ul style="list-style-type: none"> - "Prosedur Pembaharuan Peraturan Perundang-undangan" – procedure for update of laws and regulation; Group Manager responsible to update list of laws and regulation; period of update is once per annum; socialization from government ot internet subscription. <p>Group Manager study and review the regulation relevancy to group operation – detailing implementation/compliance fulfilment.</p> <ul style="list-style-type: none"> - "Penyebaran informasi terkait Perundangan" – Information dissemination; Information of new laws and regulation will be disseminated during monthly payment; <p>Group Manager prepared list of regulation "Daftar Peraturan Perundangan Indonesia", comprised of 91 laws and regulation. Sample: "Peraturan Pemerintah No.101 tahun 2014 tentang Pengelolaan Limbah Bahan Berbahaya dan Beracun" – implementation through SOP on hazardous waste.</p>	
Develop tools such as checklists or booklets that your group members can use to help them implement the legal requirements.	List of regulation being disseminated to smallholder member.	Yes
2.1.4 A system for tracking any changes in the law shall be implemented.		
Requirement for Individual Member with up to 50ha of plantation size		
N/A	N/A	N/A
Requirement for Group Manager		
N/A	N/A	
Criterion 2.2:		
The right to use the land is demonstrated, and is not legitimately contested by local people who can demonstrate that they have legal, customary or user rights.		
2.2.1 Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		
Check that the titles or deeds allow the growing of oil palm where this is required by country legislation	The smallholder member demonstrate they have land certificate "Sertifikat Hak Milik" – whereby it is allowed to grow oil palm.	Yes
Requirement for Group Manager		

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<p>The Group Manager shall demonstrate documentary evidence of legal ownership or lease, history of land tenure and the actual legal use of the land according to local laws.</p>	<ul style="list-style-type: none"> - Subagyo (MKT.01.002) "Sertifikat Hak Milik No.2052, Desa Petaling Jaya, atas nama Karjo Warsi, luas 20,000 m²" dated 7 August 2003. Based on "Surat Ukur No.434/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Karjo Warsi to Subagio dated 10 March 2008. - Suparjo (MKT.02.001) "Sertifikat Hak Milik No.2046, Desa Petaling Jaya, atas nama Nurcholis, luas 20,320 m²" dated 7 August 2003. Based on "Surat Ukur No.428/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Nurcholis to H. Nurmi dated 10 March 2008. Transfer of ownership from H. Nurmi to Suparjo dated 15 December 2012. - Marjoni (MKT.02.011) "Sertifikat Hak Milik No.2045, Desa Petaling Jaya, atas nama Josman, luas 20,120 m²" dated 7 August 2003. Based on "Surat Ukur No.437/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Karjo Warsi to Subagio dated 10 March 2008. - Basmin (MKT.02.018) "Sertifikat Hak Milik No.2497, Desa Petaling Jaya, atas nama Basmin, luas 20,815 m²" dated 7 August 2003. Based on "Surat Ukur No.879/Petaling Jaya/2003 dated 4 August 2003. - Agus Setiawan (MKT.04.002) "Sertifikat Hak Milik No.2516, Desa Petaling Jaya, atas nama Cacok, luas 19,650 m²" dated 7 August 2003. Based on "Surat Ukur No.898/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Cacok to Endang Priyanti (wife of Agus Setiawan) dated 30 December 2009. - Eni Setyaningsih (MKT.04.019) "Sertifikat Hak Milik No.2510, Desa Petaling Jaya, atas nama Munir, luas 18,730 m²" dated 7 August 2003. Based on "Surat Ukur No.892/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Munir to Sarnianto dated 10 March 2008. Transfer of ownership from Sarnianto to Eni Setyaningsih dated 25 February 2013. - Abdul Sakur (MKT.05.004) "Sertifikat Hak Milik No.2051, Desa Petaling Jaya, atas nama Syaiful Anwar, luas 20,040 m²" dated 7 August 2003. Based on "Surat Ukur No.433/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Syaiful Anwar to Khususiyah (wife of Abdul Sakur) dated 30 December 2009. - Paimin (MKT.05.008) "Sertifikat Hak Milik No.2073, Desa Petaling Jaya, atas nama Paimin, luas 20,260 m²" dated 7 August 2003. Based on "Surat Ukur No.455/Petaling Jaya/2003 dated 4 August 2003. - Amat Iran (MKT.06.002) "Sertifikat Hak Milik No.2287, Desa Petaling Jaya, atas nama Amatiran, luas 20,260 m²" dated 7 August 2003. Based on "Surat Ukur No.669/Petaling Jaya/2003 dated 4 August 2003. - Acah Nurmala (MKT.06.005) "Sertifikat Hak Milik No.2521, Desa Petaling Jaya, atas nama Paino, luas 19,210 m²" dated 7 August 2003. Based on "Surat Ukur No.903/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Paino to Acah Nurmala dated 27 July 2015. - Slamet Pujianto (MKT.06.008) "Sertifikat Hak Milik No.2138, Desa Petaling Jaya, atas nama Fatimah, luas 20,000 m²" dated 7 August 2003. Based on "Surat Ukur No.520/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Fatimah to Slamet Pujianto dated 10 March 2008. - Abdul Malik (MKT.06.014) "Sertifikat Hak Milik No.2139, Desa Petaling Jaya, atas nama Dodi, luas 20,000 m²" dated 7 August 2003. Based on "Surat Ukur No.521/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Dodi to Abdul Malik as 	
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Criterion / Indicator	Assessment Findings	Compliance
	<p>per "Akta Notaris Perjanjian Pengikatan Jual Beli No.05 oleh Notaris Akhmad Norman SH MKn" dated 19 June 2015.</p> <ul style="list-style-type: none"> - Awijaya (MKT.06.028) "Sertifikat Hak Milik No.2130, Desa Petaling Jaya, atas nama Muchlis, luas 20,180 m²" dated 7 August 2003. Based on "Surat Ukur No.512/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Muchlis to Awijaya dated 4 June 2013. - Budi Santoso/Daud (MKT.07.009) "Sertifikat Hak Milik No.2532, Desa Petaling Jaya, atas nama M. Daud, luas 19,630 m²" dated 7 August 2003. Based on "Surat Ukur No.914/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from M. Daud to Budi Santoso dated 5 February 2014. - Dwi Puspasari (MKT.07.012) "Sertifikat Hak Milik No.2535, Desa Petaling Jaya, atas nama Camadi, luas 20,435 m²" dated 7 August 2003. Based on "Surat Ukur No.917/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Camadi to Ramses dated 18 October 2006. Transfer of ownership from Ramses to Sutarto dated 19 January 2015. - Misran (MKT.07.014) "Sertifikat Hak Milik No.2536, Desa Petaling Jaya, atas nama Adi Susanto, luas 20,435 m²" dated 7 August 2003. Based on "Surat Ukur No.918/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Adi Susanto to Misran dated 30 December 2009. - Budi Santoso (MKT.07.016) "Sertifikat Hak Milik No.2537, Desa Petaling Jaya, atas nama Aras, luas 20,100 m²" dated 7 August 2003. Based on "Surat Ukur No.919/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Aras to Budi Santoso dated 10 August 2015. - Wakidi (MKT.10.013) "Sertifikat Hak Milik No.2235, Desa Petaling Jaya, atas nama Wakidi, luas 20,170 m²" dated 7 August 2003. Based on "Surat Ukur No.617/Petaling Jaya/2003 dated 4 August 2003. - Kuwat (MKT.10.014) "Sertifikat Hak Milik No.2539, Desa Petaling Jaya, atas nama Jahari, luas 19,140 m²" dated 7 August 2003. Based on "Surat Ukur No.921/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Jahari to Kuwat dated 18 October 2006. - Amat Iran (MKT.11.014) "Sertifikat Hak Milik No.817, Desa Petaling Jaya, atas nama Jainudin, luas 10,000 m²" dated 7 August 2003. Based on "Surat Ukur No.919/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Jainudin to Amat Iran dated 30 July 2007. - Sukamto (MKT.11.019) "Sertifikat Hak Milik No.838, Desa Petaling Jaya, atas nama Mimbar, luas 10,350 m²" dated 17 December 1990. Based on "Surat Ukur No.668/90 dated 19 February 1990. Transfer of ownership from Mimbar to Sukamto dated 16 December 2002. 	
<p>Maps showing the legal boundaries shall be kept.</p>	<p>Maps with scale 1:25,000 are available. KUD Makrti assessed by SNV to prepare a plantation map, completed with boundary marking.</p>	
<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>NC Minor</p>

Criterion / Indicator	Assessment Findings	Compliance
Individual members shall demarcate the boundaries of their land.	<p>Awijaya (MKT.06.028): Boundary pegs available in four corners: 1°48'11.72"S and 103°51'33.82"E; 1°48'11.79"S and 103°51'27.46"E; 1°48'08.41"S and 103°51'27.65"E; 1°48'08.67"S and 103°51'33.99"E;</p> <p>Agus Setiawan (MKT.04.002): Boundary pegs available in three corners: 1°48'37.90"S and 103°51'13.97"E; 1°48'37.97"S and 103°51'20.11"E; 1°48'42.57"S and 103°51'13.97"E;</p> <p>NC Minor: Smallholder member cannot demonstrate the legal boundary are clearly demarcated and visibly maintained on the oil palm block. Only one boundary peg available in oil palm block Eni Setyaningsih (MKT.04.019) at 1°48'51.38"S and 103°51'00.72"E.</p>	
Requirement for Group Manager		
Check that boundaries are demarcated.	<p>Group Manager prepared a boundary peg monitoring record "Program & Realisasi Pemeliharaan Patok 2019" (plan prepared 13 April 2019), the plan to provisioned for 621 boundary pegs: inventory boundary pegs, installation of boundary pegs, cleaning around boundary pegs, re-check position.</p> <p>"Program Pemeliharaan Patok 2020" dated 8 January 2020, the plan to provisioned for 621 boundary pegs: cleaning around boundary of 621 pegs in March – June 2020; re-installation for period August – September 2020.</p> <p>In addition, there is a boundary pegs condition monitoring "Monitoring Pemeliharaan Patok kelompok Tani". Sample: in August 2019, Subagyo (MKT.01.002) boundary in good condition; in September 2019, Eni Setyaningsih (MKT.04.019) boundary in good condition, Awijaya (MKT.06.028) boundary in good condition;</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).		
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	
2.2.4 There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
There are conflicts: Explain why and what is the current status. Update this status every quarter until finalised. Record all meetings and who attended.	Based on interview with relevant stakeholders and including previous land owner, there is no land conflict.	
Requirement for Group Manager		
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.	Based on interview with relevant stakeholders and including previous land owner, there is no land conflict.	
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).		

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member with up to 50ha of plantation size		Yes
In each case, open a case file starting with a statement regarding the boundaries under dispute outlining the issues and the scope.	Based on interview with relevant stakeholders and including previous land owner, there is no land conflict.	
Requirement for Group Manager		
N/A	N/A	
2.2.6 To avoid escalation of conflict, there shall be no evidence that palm oil operations have instigated violence in maintaining peace and order in their current and planned operations.		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
N/A	N/A	
Criterion 2.3: Use of the land for oil palm does not diminish the legal rights, customary or user right of other users without their free, prior and informed consent.		
2.3.1 Maps of an appropriate scale showing the extent of recognized legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighbouring communities where applicable, and relevant authorities).		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		
Carry out the participatory mapping with involved parties (including neighbouring communities where applicable, and relevant authorities).	Map of KUD Makarti's plantation available. The map is mapped together with scale 1:12,573. In addition, there is no customary land around the plantation.	
2.3.2 Copies of negotiated agreements detailing the process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and shall include: a) Evidence that a plan has been developed through consultation and discussion with all affected groups in the communities, and that information has been provided to all affected groups, including information on the steps that shall be taken to involve them in decision making; b) Evidence that the company has respected communities' decisions to give or withhold their consent to the operation at the time that this decision was taken; c) Evidence that the legal, economic, environmental and social implications for permitting operations on their land have been understood and accepted by affected communities, including the implications for the legal status of their land at the expiry of the company's title, concession or lease on the land.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Demonstrate that they have the right to use the land and or have customary rights over the land they farm.	The plantation of KUD Makarti's smallholder member was allocated by Government of Republic of Indonesia. There was no customary land because all of the plantation land was then granted with land title/land certificate (Sertifikat Hak Milik). For details on land title/land certificate, please see Indicator 2.2.1. Group Manager KUD Makarti has disseminated the policy related to FPIC – on 8 July 2019. Documentary evidence Minutes of meeting "Notulen Sosialisasi SOP, Surat Keputusan dan Kebijakan", dated 8 July 2019; smallholder member present: Agus Setiawan, Tukimin, Subagyo, Amatiran, Misran, Suparjo, Slamet Pujianto, Kuwat, Khususiah/Abdul Sakur, Acah Nurmala, Wakidi, Marjoni, etc.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Keep copies of negotiated agreements between individual members and affected stakeholders in appropriate languages.</p>	<p>Group Manager KUD Makarti established "Standar Operasional Prosedur FPIC dalam Pembangunan Kebun No.33/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The procedure explains FPIC in smallholder context.</p> <p>Group Manager KUD Makarti established "Standar Operasional Prosedur Pengalihan Hak Legal No.29/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The procedure states transfer of land ownership/customary must clean and clear legally and no conflict; transfer of land ownership/customary must be completed with Notary and/or witnessed; transfer of land ownership/customary must have no coercion/use of force; compensation of transfer of land ownership/customary based on each party agreement; transfer of land ownership/customary must be inform to KUD Makarti. All transfer of land ownership following the right and obligation to KUD Makarti therein.</p> <p>Group Manager KUD Makarti established "Standar Operasional Prosedur Evaluasi Aspek Legal No.72/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The procedure states transfer of land ownership must clean and clear legally; transfer of land ownership must have no conflict; transfer of land ownership must be inform to KUD Makarti. All transfer of land ownership following the right and obligation to KUD Makarti therein. Evaluation of transfer on land ownership carried out once per annum.</p> <p>Group Manager KUD Makarti has disseminated the policy related to FPIC – on 8 July 2019. Documentary evidence Minutes of meeting "Notulen Sosialisasi SOP, Surat Keputusan dan Kebijakan", dated 8 July 2019; smallholder member present: Agus Setiawan, Tukimin, Subagyo, Amatiran, Misran, Suparjo, Slamet Pujianto, Kuwat, Khususiah/Abdul Sakur, Acah Nurmala, Wakidi, Marjoni, etc.</p> <p>KUD Makarti requested all member to provide documentary evidence whenever transfer of land ownership happens. Sample: Mr. Jumirin.</p>	
<p>2.3.3 All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Yes</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		
<p>For these processes appropriate local language will be used and negotiations conducted with appropriate representatives.</p>	<p>All information available in Bahasa Indonesia.</p>	
<p>2.3.4 Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Yes</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		
<p>For these processes appropriate local language will be used and negotiations conducted with appropriate representatives.</p>	<p>All information available in Bahasa Indonesia. As stipulated in the minutes, all monetary transaction (sale-purchase) for transfer of land ownership carried out by each party without representative. However, village head put signature as witness.</p>	

Criterion / Indicator	Assessment Findings	Compliance
Principle 3: Commitment to long-term economic and financial viability		
Criterion 3.1:		
There is an implemented management plan that aims to achieve long-term economic and financial viability.		
3.1.1 A business or management plan (minimum three years) shall be documented that includes, where appropriate, a business case for scheme smallholders.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		
This Criterion is not applicable to independent smallholders. See reference RSPO P&C 2013, under Criterion 3.1 Guidance. It is recommended for groups of smallholders to have a business plan for long-term economic viability of their operation, considering among others, cost of annual maintenance, replanting, potential expansion and long term sustainability of certification.	Group Manager of KUD Makarti has shown the document of a business plan for for long-term economic viability of their operation, estimation of production. The business plan available under "Rencana Ekonomi Berkelanjutan Tahun 2020-2021" whereby explaining the estimated production, cost for fertilizer, cost for weeding, cost for pruning, cost of harvesting and cost for transportation.	
3.1.2 An annual replanting programme projected for a minimum of five years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review, shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
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 Standard Operating Procedures (SOPs) for estates and mills are documented		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		
Group Manager develops appropriate SOPs for the group: <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. 	Group Manager of KUD Makarti has prepared the procedure on BMP for agronomy under name "Standar Operasional Prosedur". The procedure covers: <ul style="list-style-type: none"> Land Clearing Procedure – under name "SOP Pembukaan Lahan No.20/SOP-KUD/MKRSM/IV/2019"; Nursing Procedure – under name "SOP Pembibitan Kelapa Sawit No.21/SOP-KUD-MKRSM/IV/2019"; Pest and disease control Procedure – under "SOP Pengendalian PHT No. 22/SOP-KUD-MKRSM/IV/2019", described of analysis of survey result, control of pest and disease; Manuring/Fertilizing Procedure – under "SOP Pemupukan No.16/SOP-KUD-MKRSM/IV/2019", described the type of fertilizer, storage, application, 	

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	<ul style="list-style-type: none"> Harvesting practice Procedure – under name “SOP Panen No.14/SOP-KUD-MKRSM/IV/2019”, described the harvesting practice, criteria of harvesting, FFB quality, frond pruning, Pesticide handling and management –under name “ SOP Pengelolaan Wadah Bekas Kimia No.19/SOP-KUD-MKRSM/IV/2019”, described the pesticide usage instruction, emergency procedure to avoid intoxication. 	
4.1.2 A mechanism to check consistent implementation of procedures shall be in place.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		
The Group Manager has regular checks using procedures set at group level for SOP implementation.	<p>Group Manager of KUD Makarti has shown mechanism to cheks consistency of procedure implementation are conducted by internal audit that carried out annually.</p> <p>Internal audit was including Best Management Practices for Agronomy, e.g: Implementation of fertilizer procedur, spraying procedure, harvesting procedure, integrated pest management.</p> <p>Record seen:</p> <ul style="list-style-type: none"> Program for internal audit (inspection) year 2019 – carried out for all of individual member Report of internal audit year 2019 “Letter of Assigment for internal auditor”, e.g: Mrs. Tri Yuliasih (No. 08/SPT/IV/KUD.MKT/2019), Mr. Usman, Mr. Hadi Ismanto. Checklist for internal audit (form), e.g: <ul style="list-style-type: none"> Mrs. Dewi Puspitasari (KT Sido Mulyo), inspection conducted 7th July 2019. Mr. Subagyo (KT Harapan Jaya), inspection of BMP was conducted on 10th August 2019 Mr. Daud (KT Sri Rejeki B), inspection of BMP was conducted on 15th July 2019 Mr. Agus Setiawan (KT Sidomaju), inspection of BMP was conducted on 12th July 2019 Mrs. Khususiah (KT Sidomulyo), inspection of BMP was conducted on 7th July 2019. 	
4.1.3 Records of monitoring and any actions taken shall be maintained and available, as appropriate.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Responsibility of individual members to keep record of their own SOP implementation as per defined in group SOPs.	The individual member has domontarted the responsibility to check the implementation of good agriculture practices uses;	
Requirement for Group Manager		
Group Manager oversees the individual record keeping by members	<p>“Standar Operasional Prosedur Pengelolaan Dokumen No.44/SOP-KUD-MKRSM/IV/2019”.</p> <p>Group manager completed a profile of all individual members and their credentials:</p> <ul style="list-style-type: none"> List of names and full contact details of group members: individual member name/name as per land certificate, home address. Location maps: map of each individual member within their KT/farmer group. Oil palm hectarge saved on separate file. Land titles: in form of SHM and/or SKT A copy of the signed declaration of the grower becoming a member of the group including the date: in form of “Formulir Anggota” – membership form/application, and “Surat Kesediaan 	

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	<p>Ikut Sertifikasi RSPO” – Joining RSPO certification statement; for all individual member.</p> <ul style="list-style-type: none"> - Unique member registration numbers are assigned to individual members: in form of “Formulir Anggota” – membership form/application, and “Surat Kesediaan Ikut Sertifikasi RSPO” – Joining RSPO certification statement; for all individual member. - The date that the member signed the declaration of intent as stated in the Group Membership Requirements: in form of “Surat Kesediaan Ikut Sertifikasi RSPO” – Joining RSPO certification statement. The statement including date of join; for all individual member - Date of leaving the Group if applicable and the reasons why: form available, none leaving as of audit. - Projected and actual FFB production in metric tonnes per annum: prepared as annual business plan. - Monitoring and training records: maintained as per indicator 4.8. - Any corrective actions raised and actions taken to meet the requirements for compliance: maintain as part of internal audit record. 	
4.1.4 The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB).		
Requirement for Individual Member with up to 50ha of plantation size		N/A (Not Applicable)
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 Manage of KUD Makarti and individual member does not have a mill and do not purchase any FFB from another source.</p> <p>All individual member’s farm location have been identified, sales forms and tracing system have been prepared by group manager.</p> <p>Not applicable (N/A).</p>	
Criterion 4.2: Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield		
4.2.1 There shall be evidence that good agriculture practices, as contained in Standard Operating Procedures (SOPs), are followed to manage soil fertility to a level that ensures optimal and sustained yield, where possible.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A		
Requirement for Group Manager		
Group Manager to maintain regular records of soil fertility practices by all members as per SOPs.	<p>Group Manager of KUD Makarti has prepared the procedure for fertilizer application under Manuring/Fertilizing Procedure –, under “SOP Pemupukan No.16/SOP-KUD-MKRSM/IV/2019”, described the type of fertilizer, storage, application,</p> <p>The procedure is completed to be understood by individual farmer members.</p> <p>Manuring programme 2019 indicated that the manuring application based on result of soil analysis and leaf survey (by visual).</p>	
4.2.2 Records of fertiliser inputs shall be maintained.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Responsibility of individual members to maintain fertilizer records.	<p>Group Manager of KUD Mekarti were the person in charge who responsible for Manuring inspection.</p> <p>Manuring programme 2019 indicated that the manuring application based on result of soil analysis and leaf survey (by visual).</p>	

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	<p>Record of Manuring program year 2019 has demonstrated as per "Data Pemupukan Petani 2019". Sample seen:</p> <ul style="list-style-type: none"> • Mr Subayo (KT Harapan Jaya); urea applied in February 2019 (300 kg), KCL applied in May 2019 (300 Kg) and EFB (500 Kg). • Mr Agus Setiawan (KT Sido Maju), KCL applied in March 2019 (550 Kg), Gajak- organic applied in May 2019 (650 Kg) and TSP 46 applied in July 2019 (600 Kg) • Mr Sukamto (KT Barokah), Urea applied in February 2019 (300 Kg), TSP 46 applied in June 2019 (300 Kg) • Mr Awijaya (KT Sri Rejeki), Urea applied in February 2019 (150 Kg), Gajak-organic applied in March (10,200 Kg), KCL applied in May 2019 (300 Kg) and Granular applied in September 2019 (500 Kg) • Mr Budi Santoso (KT Sri Rejeki), KCL applied in March 2019 (600 Kg) • Mr Wakidi (KT Sumber Tani B), Gajak-organic applied in March 2019 (600 Kg) and Urea applied in May 2019 (600 Kg) 	
Requirement for Group Manager		
Group Manager to provide template to record fertilizer usage and mill by-products usage.	<p>Group Manager of KUD Makarti has conducted dissemination and training regarding fertilization, weed control and integrated pest management.</p> <p>The training discussed best agriculture practice in fertilization, weed control and integrated pest management including recording of each activity conducted in "Data Pemupukan Petani 2019" – see indicator 4.2.2</p> <p>Training of Best Management Practices for Agronomy recorded in "Pelatihan Perkebunan KUD", dated 26th – 28th January 2019, was attended by 27 participants.</p>	
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		Yes
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.	<p>Group Manager of KUD Mekarti assisted by CIRAD to conducted leaf and soil sample analysis conducted in 2019.</p> <p>The result of soils classified as utisoils: low pH, sandy loam to loamy cay soils, loe available P, low to very low N and exchangeable K and Mg and low cation exchange capacity. Fertilizer response on KUD Makarti soil as is likely if propely fertilised.</p> <p>Result of leaf sample analysis used as the basis of fertilizer recommendation.</p> <p>Objectives of the analysis to link yield performance (t FFB/ha_ with soil health and leaf contents obtained in farmer block using diffrenet cropping practices and taking into account the soil type.</p>	
4.2.4 A nutrient recycling strategy shall be in place, and may include use of Empty Fruit Bunches (EFB), Palm Oil Mill Effluent (POME), and palm residues after replanting.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		
Group Manager oversees and ensures implementation of nutrient recycling for the group.	Individual member of KUD Makarti did not apply any POME from the mill (Not Applicable).	

	Same of individual member has directed purchase EFB as a nutrient recycling strategy. The record of application has shown as per "Data Pemupukan Petani 2019", e.g: Mr Subagyo (KT Harapan Jaya); EFB (500 Kg) applied in May 2019 and Mr Wakidi (KT Sumber Tani B), Gajak-organic applied in March 2019 (600 Kg)	
Criterion 4.3:		
Practices minimise and control erosion and degradation of soils.		
4.3.1 There shall be evidence that good agriculture practices, as contained in Standard Operating Procedures (SOPs), are followed to manage soil fertility to a level that ensures optimal and sustained yield, where possible.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Where available individual members shall provide soil maps of their own farm to the Group Manager.	Map of soil type were provided by as per "Peta Kebun Anggota Sertifikasi RSPO KUD Makarti Overlay Peta Jenis Tanah", scale" 1:25,000. Soil type is kandiuuits (25%0, dystropets (20%), tropaquepts (50%) and haploperox (5%). During field audit and interview with sample of individual member (Mr Amat Iran – plot number 06002, Mr Abdul Malik – plot number 060014 and Mrs Suparjo – plot number 2001), they can demonstrated knowledge of soil type in their oil palm plot. Individual farmer able to demonstrate information that the soil was mineral – with sandy.	
Requirement for Group Manager		
Group Manager shall compile and maintain an overall soil map for the group.	Group Manager of KUD Mekarti assisted by CIRAD to conducted soil sample analysis conducted in 2019. The result of soils classified as utisoils: low pH, sandy loam to loamy cay soils, loe available P, low to very low N and exchangeable K and Mg and low cation exchange capacity. Fertilizer response on KUD Makarti soil as is likely if propely fertilised. Data verification as presented at the document of Assessing Agro-Environmental Performace of Sustainable Oil Palm Cultivation in KUD Makarti	
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		Yes
N/A	N/A	
Requirement for Group Manager		
Group Manager develops a policy and procedure for planting on slopes.	Group Manager of KUD Makarti has kept and maintained map of topography with scale 1:7,460. Based on map of topography and field visit to plot area of KUD Makarti member, there was was evident that the area are flat. There was no plantation with steep slope. As an effort to minimize surface run-off, farmer members consistently implementing frond stacking and the effort to minimize soil erosion was implemented.	
4.3.3 A road maintenance programme shall be in place.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		
A road maintenance programme is maintained at Group level, this includes an approval process for	Road maintenance program is in place and maintained. The program set by Group Manager of KUD Mekarti. Road maintenance are consist of road services for maind road and production road.	

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any new roads being developed by individual members	<p>Based on annually meeting of cooperative year 29 November 2019 (Rapat Anggota Tahunan) the redistribution for road maintenance per is IDR 2 per Kg FFB.</p> <p>Road maintenance realization in based on the road condition. Plan and realisation of road maintenance presented in "Program Perbaikan Jalan dan Realisasi". During 2019 total realization of road maintenance were conducted in 1,5 Km in Group Farmer Moncowarno A (grader) – record as per letter No 54/KUD-MKR/SM/X/2019.</p> <p>Based on field visit to smallholder plot, road condition is in good condition and well maintained.</p>	
4.3.4 Subsidence of peat soils shall be minimised and monitored. A documented water and ground cover management programme shall be in place.		
Requirement for Individual Member with up to 50ha of plantation size		N/A (Not Applicable)
Individual members shall record water levels at regular basis as specified within group SOP	<p>There was no peat soil in individual member plot in KUD Makarti. Based on Map of Soil Type was informed that the soil was mineral – with sandy.</p> <p>Not Applicable – there was no peat area.</p>	
Requirement for Group Manager		
Group manager to have monitoring procedure for peat subsidence and water management for plantings on peat where relevant	<p>There was no peat soil in individual member plot in KUD Makarti. Based on Map of Soil Type was informed that the soil was mineral – with sandy.</p> <p>Not Applicable – there was no peat area.</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.		
Requirement for Individual Member with up to 50ha of plantation size		N/A (Not Applicable)
N/A	N/A	
Requirement for Group Manager		
Group Manager develops regular drainability assessment schedule for the group and implements this	<p>There was no peat soil in individual member plot in KUD Makarti. Based on Map of Soil Type was informed that the soil was mineral – with sandy.</p> <p>Not Applicable – there was no peat area.</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).		
Requirement for Individual Member with up to 50ha of plantation size		Yes
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.	<p>The result of soils classified as utisoils: low pH, sandy loam to loamy cay soils, low available P, low to very low N and exchangeable K and Mg and low cation exchange capacity. Fertilizer response on KUD Makarti soil as is likely if properly fertilised.</p> <p>Management strategy for those sandy soils in KUD Makarti consistently implemented frond stacking, avoid blanket spraying and maintain ground cover.</p>	
Criterion 4.4: Practices maintain the quality and availability of surface and ground water.		
4.4.1 An implemented water management plan shall be in place.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		

The responsibility of Group Manager	Grup Manager of KUD Makarti has prepared the water management plan as per document of "Himbauan Dalam Rangka Menjaga Sumber Air Untuk Seluruh Anggota KUD Makarti No. 08/Himbauan menjaga sumber air-KUD-MKRSM/II/2019.	
Group Manager shall have Map of all water ways and water bodies and have procedures as part of water management plan	Grup Manager of KUD Makarti has shown the operational map (Peta Kebun) with scale 1:10,000. The map indicating there was no river and waterways in the operation area of KUD Makarti.	
4.4.2 Protection of water courses and wetlands, including maintaining and restoring appropriate riparian and other buffer zones (refer to national best practice and national guidelines) shall be demonstrated.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Where applicable individual members shall demonstrate maintaining and restoring riparian and other buffer zones as specified within group SOPs.	Grup Manager of KUD Makarti has shown the operational map (Peta Kebun) with scale 1:10,000. The map indicating there was no water courses and wetlands in the operation area of KUD Makarti.	
Requirement for Group Manager		
The responsibility of Group Manager	As explained in 4.4.2 – requirement of individual member above, there was water courses and wetlands in the operation area of KUD Makarti. The Group Manager of KUD Makarti has also shown the document of "Rencana Pengelolaan Air KUD Makarti", such as: <ul style="list-style-type: none"> - Maintain and upkeep by TUS team - Avoid and banned application of pesticide spraying and chemical - Place the oil palm frond in the form of letter U; 	
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).		
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	
4.4.4 Mill water use per tonne of Fresh Fruit Bunches (FFB) (see Criterion 5.6) shall be monitored.		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
N/A	N/A	
Criterion 4.5: Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.		
4.5.1 Implementation of Integrated Pest Management (IPM) plans shall be monitored.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		
The responsibility of Group Manager. Have a written procedure on IPM.	Group Manager of KUD Makarti has prepared procedure for pest and disease control – under "SOP Pengendalian PHT No. 22/SOP-KUD-MKRSM/IV/2019", described of analysis of survey result, control of pest and disease. The procedure is completed to be understood by individual farmer members.	
4.5.2 Training of those involved in IPM implementation shall be demonstrated.		
Requirement for Individual Member with up to 50ha of plantation size		Yes

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<p>Individual members must attend training.</p>	<p>Based on interviews with individual member of KUD Mekarti during field visit, in general was aware and understand concerning types of palm oil pest and how to control the pest. They explain that barn owl box and Cobra snake conserve was performed in order to control rat damage.</p> <p>They also plating "Bunga pukul 8" (Turnera subulata) as a nest of natural predator for leaf eater pest/caterpillar.</p> <p>Individual member has been trained related Best Management Practices for Agronomy including IPM training, for example on 26-28 January 2019 was attended by ICS and KT (Kelompok Tani), total 33 Individual member, dated 23rd – 25th January 2019 was attended by 38 individual member, dated 20th – 22nd January 2019 was attended by 32 individual member and dated 13th – 15th January 2019 was attended by 30 individual members.</p>	
<p>Requirement for Group Manager</p>		
<p>Group Manager to provide IPM training.</p>	<p>Training on integrated pest management has been held by Group Manager of KUD Mekarti, record of training is evident, for example dated 26-28 January 2019, was attended by 33 farmer group representatives and farmer member.</p> <p>Additional data verified:</p> <ul style="list-style-type: none"> - Program of census of IPM, every six months (planned in March and September 2019) - Report of sensus of IPM dated 2nd December 2019 - Barn owl box location in KT Sumber Raharjo and KT Sumber Tani. 	
<p>Criterion 4.6:</p>		
<p>Pesticides are used in ways that do not endanger health or the environment</p>		
<p>4.6.1 Justification of all pesticides used shall be demonstrated. The use of selective products that are specific to the target pest, weed or disease and which have minimal effect on non-target species shall be used where available.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Yes</p>
<p>Individual members shall be able to demonstrate knowledge of pest & applicable chemical use.</p>	<p>Individual member has been trained related Best Management Practices for Agronomy, for example on 26-28 January 2019 was attended by ICS and KT (Kelompok Tani), total 33 Individual member, dated 23rd – 25th January 2019 was attended by 38 individual member, dated 20th – 22nd January 2019 was attended by 32 individual member and dated 13th – 15th January 2019 was attended by 30 individual members.</p>	
<p>Requirement for Group Manager</p>		
<p>Group Manager to develop manual for pest & chemical use and relevant training.</p>	<p>Organization have "Standar Operasional Prosedur Tim Unit Semprot No.53/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The SOP stated the mechanism for weed control:</p> <ul style="list-style-type: none"> - Request for weed spraying from smallholder to spraying team (TUS); - Identification of weed growth by spraying team (TUS) and then prepare spraying regime; - Spraying team (TUS) using PPE: apron, coverall, mask, gogle, hat, gumboot, impermeable glove; - Spraying team (TUS) using tools: knapsack, chemical as dosage, mizing tools, water container, measurement glass; The chemical was pre-mixed in warehouse; - Emergency preparedness in form of clean water 3 liters; - After spraying, spraying team (TUS) take shower and rinsing the tools; 	

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<p>4.6.2 Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per ha and number of applications) shall be provided.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Individual members keep records of pesticides use.	<p>Member of KUD Makarti was not performed pesticide usage and handling by own self. All pesticide usage was handle by TUS (Team unit Semprot), a special team that handles the use of pesticides.</p> <p>Record of pesticide and herbicide usage by TUS team were available in Group Manager/ICS.</p>	
Requirement for Group Manager		
Group Manager has oversight responsibility	<p>Group Manager of KUD Mekarti was signing a cooperation with Tim Unit Sempot (TUS) for the work of weed control/herbicide spraying, e.g: Work Agreement between Mr Siswanto, Mr Miyanto and Mr Purwadi, dated 9th June 2019. In the work agreement, TUS person must be adequately trained, to perform weed control/spraying as per technical guidance.</p> <p>Group Manager has also monitored the chemical use, application hectarage, frequency and recording the chemical use. "Laporan Kerja Tim Unit Semprot" dated 20th December 2019, location in plot Mr Subagyo (2 Ha), pesticides name: Supremo (1.5 liters)</p>	
<p>4.6.3 Any use of pesticides shall be minimised as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations identified in national Best Practice guidelines.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		
Responsibility of the Group Manager.	Group Manager of KUD Makarti and its members are aware of the requirement in RSPO related to use of Paraquat and considering alternative agrochemicals such as Glyphosate.	
<p>4.6.4 Pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, are not used, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimised and eliminated as part of a plan, and shall only be used in exceptional circumstances.</p>		
Requirement for Individual Member with up to 50ha of plantation size		N/A (Not Applicable)
N/A	N/A	
Requirement for Group Manager		
Responsibility of the Group Manager.		
<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 be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7).</p>		
Requirement for Individual Member with up to 50ha of plantation size		NC
Individual members ensure that anyone handling chemicals has attended relevant training.	<p>Training on handling of pesticides: certificate has issued by ProSympac for TUS (sprayer team), namely Mr. Siswanto, Mr. Wagiran and Mr. Purwadi, dated 19th June 2017.</p> <p>Non-conformity raised during audit: Group Manager KUD Makarti and Smallholder member cannot demonstrate Abdul Sakur (MKT.05.004) whose spraying weed using herbicide has fulfilled: - training requirement; - apply herbicide in accordance with product label;</p>	<p>#1868372-202001-M1 Closed on 13/02/2020</p> <p>Yes</p>

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	<p>- apply herbicide using appropriate protective equipment;</p> <p>KUD Makarti has made correction and corrective action to address the non conformity. Verification onsite has been conducted by auditor and the NC has been Closed on 13 February 2020. See section 3.4 Detail of Findings.</p>	
Requirement for Group Manager		
Group Manager has oversight responsibility	Group Manager of KUD Makarti has held dissemination and training regarding best agriculture practice including integrated pest management and weeds control under training of Best Management Practices for Agronomy, for example on 26-28 January 2019 was attended by ICS and KT (Kelompok Tani), total 33 Individual member, dated 23 rd – 25 th January 2019 was attended by 38 individual member, dated 20 th – 22 nd January 2019 was attended by 32 individual member and dated 13 th – 15 th January 2019 was attended by 30 individual members.	
4.6.6 Storage of all pesticides shall be according to recognised best practices. All pesticide containers shall be properly disposed of and not used for other purposes (see Criterion 5.3).		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Individual members store pesticides consistent with Group SOPs.	<p>Sample of individual farmer member was not performed pesticide usage and handling by own self. All pesticide usage was handle by TUS (Team unit Semprot), a special team that handles the use of pesticides. Pesticide mixing was performed in mixing area near to pesticide storage by TUS team and pesticide was not applied in riparian area.</p> <p>Group Manager of KUD Makarti has prepared "Standar Operasional Prosedur Tim Unit Semprot No.53/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The SOP stated the mechanism for weed control:</p> <ul style="list-style-type: none"> - Request for weed spraying from smallholder to spraying team (TUS); - Identification of weed growth by spraying team (TUS) and then prepare spraying regime; - Spraying team (TUS) using PPE: apron, coverall, mask, gogle, hat, gumboot, impermeable glove; - Spraying team (TUS) using tools: knapsack, chemical as dosage, mizing tools, water container, measurement glass; The chemical was pre-mixed in warehouse; - Emergency preparedness in form of clean water 3 liters; - After spraying, spraying team (TUS) take shower and rinsing the tools; 	
Requirement for Group Manager		
Group Manager has oversight responsibility	Group Manager of KUD Makarti has held dissemination and training regarding best agriculture practice including storage of pesticides under training of Best Management Practices for Agronomy, for example on 26-28 January 2019 was attended by ICS and KT (Kelompok Tani), total 33 Individual member, dated 23 rd – 25 th January 2019 was attended by 38 individual member, dated 20 th – 22 nd January 2019 was attended by 32 individual member and dated 13 th – 15 th January 2019 was attended by 30 individual members.	
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		Yes
N/A	N/A	
Requirement for Group Manager		
Responsibility of the Group Manager.	As explained at indicator 4.6.6, The spraying of herbicide carried out by trained personnel/team. From interview, the personnel carrying	

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	<p>the job do understand the health and safety as well as environmental aspects-impacts of herbicide usage. Sprayer workers performed their activity using the PPE such as: handgloves, safety goggles/glasses, body cover/apron, masker and safety boots.</p> <p>A specific health and safety check was conducted on regular basis to capture any signs of intoxication. Based on record review, the medical check result shows no signs of intoxication. Detail of medical check up for TUS team refer to indicator 4.7.3.</p>	
<p>4.6.8 Pesticides shall be applied aerielly only where there is documented justification. Communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application.</p>		
Requirement for Individual Member with up to 50ha of plantation size		N/A (Not Applicable)
N/A	N/A	
Requirement for Group Manager		
Responsibility of the Group Manager.	There is no aerial application of pesticide/herbicide/fungicide.	
<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		Yes
N/A	N/A	
Requirement for Group Manager		
Responsibility of the Group Manager.	Group Manager of KUD Makarti has held dissemination and training on handling of pesticides under training of Best Management Partices for Agronomy, for example on 26-28 January 2019 was attended by ICS and KT (Kelompok Tani), total 33 Individual member, dated 23 rd – 25 th January 2019 was attended by 38 individual member, dated 20 th – 22 nd January 2019 was attended by 32 individual member and dated 13 th – 15 th January 2019 was attended by 30 individual members.	
<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		Minor NC
Individual members must dispose of waste materials according to group SOPs.	<p>Minor NC raised during audit: Group Manager KUD Makarti cannot demonstrate control/monitoring of agrochemical container disposal according to procedure; found in smallholder member Abdul Sakur (MKT.05.004) whose spraying weed using herbicide himself.</p> <p>Based on field visit to oil palm block of Abdul Sakur (MKT.05.004) found that the member spraying weed using herbicide. Based on interview, herbicide used was 5 liters of Supretox (a.i. Paraquat dichloride 276g/l) for 1 block of 2 Ha. However, the smallholder member and Group Manager was not be able to demonstrate Abdul Sakur (MKT.05.004) disposed off agrochemical container in accordance to procedure.</p>	
Requirement for Group Manager		
Group Manager has oversight responsibility	<p>KUD Makarti prepares "Standar Operasional Prosedur Aplikasi Surplus Bahan Berbahaya No.54/SOP-KUD-MKRSM/IV/2019", dated 3 April 2019. The SOP incudint re-aplicattion of leftover pesticide in container (bottle/gallon); triple rinse and re-use for spraying application in other area.</p> <p>KUD Makarti prepares "Standar Operasional Prosedur Penanganan dan Pembuangan Bahan Berbahaya No.63/SOP-KUD-</p>	

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	<p>MKRSM/IV/2019" dated 3 April 2019. The SOP stipulates organization will collect all hazardous waste into licensed hazardous waste storage, for proper disposal by licensed third party.</p> <p>Group Manager of KUD Makarti has shown the Agreement with PT. Prosympac Agro Lestari No.004/KUD/MKR/SM/XII/2018, dated 4th December 2018 – valid until a years (application for continued the agrrement has shown Letter No.KUD-MKR/SM/XI/2019, dated 28th November 2019.</p> <p>Permit for temporary hazardous waste based on "Keputusan Kepala Dinas Penanaman Modal dan Pelayanan Terpadu Satu Pintu Kabupaten Muaro Jambi, Nomor 08/Kep.Ka/DPMTSP/II/2017, to PT Prosympac Agro Lestari", dated 16th November 2017</p>	
<p>4.6.11 Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>NC</p>
<p>N/A</p>	<p>N/A</p>	<p>#1868372-</p>
<p>Requirement for Group Manager</p>		<p>202001-M2</p>
<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 of KUD Makarti has monitored of illnesses and health conditions of members and their workers that are handling agrochemicals.</p> <p>The medical check up on 6-monthly basis. Conducted by third party (Rumah Sakit Sungai Gelam – Sungai Gelam District). Last MCU conducted on 1st Dececember 2019, attended by all TUS team, e.g: Mr Mianto, Mr Siswanto and Mr Purwanto, The result reported OK.</p> <p>Based on interview with spayers team- the result of medical checkup has commincated to TUS members.</p> <p>Non-conformity raised during audit: Group Manager KUD Makarti cannot demonstrate specific annual medical surveillance for herbicide operator; found in smallholder member Abdul Sakur (MKT.05.004) whose spraying weed using herbicide himself.</p> <p>Correction and corrective action: - Technical awareness on spraying activity containing of understanding on chemical use impact and type of weed species target, OSH aspect including agrochemical container disposal management; - Now Mr. Abdul Sakur be involved on Spraying Team program. - Smallholder conducting medical check. The results of medical checks for 24 smallholders were carried out at Sungai Gelam District General Hospital. The medical examination was carried out by a general practitioner doctor and the results were in the form of a Healthy Body Certificate for each smallholder.</p> <p>KUD Makarti has made correction and corrective action to address the non conformity. Verification onsite has been conducted by auditor and the NC has been Closed on 13 February 2020. See section 3.4 Detail of Findings.</p>	<p>Closed on 13/02/2020</p> <p>Yes</p>
<p>4.6.12 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>		<p>Yes</p>

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Individual members ensure no pregnant or breastfeeding women are handling pesticides.	Individual member does not performed the pesticide handling by themselves. Pesticide handling by TUS team. All of TUS team is male workers Not Applicable.	
Requirement for Group Manager		
Group Manager has oversight responsibility.	Pesticide handling by TUS team. All of TUS team is male workers Not Applicable.	
Criterion 4.7: An occupational health and safety plan is documented, effectively communicated and implemented. The health and safety plan shall cover the following:		
4.7.1 A health and safety policy shall be in place. A health and safety plan covering all activities shall be documented and implemented, and its effectiveness monitored.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Members shall provide input to the development of the OHS policy and management plan	Individual members provides input to the development of the OHS policy and management plan, such as risk/danger in their farm site to head of kelompok tani/farmer group. The head of kelompok tani/farmer group then deliver the suggestion to group manager. OHS policy has established under "Kebijakan KUD Makarti No 01 Tahun 2019 tentang Keselamatan dan Kesehatan Kerja", was signed by ICS/Group Manager of KUD Makarti dated 6 th April 2019. ICS has also established OHS committee (tugas Unitk K3 KUD Makarti), as per Surat Perintah Tugas No 01/SPT/IV/KUD.MKT/2019, namely Mrs Sri Wahyuni, Mr Alfihatul Hakim and Mr Subroto. Based on interview with sample of smallholder member (- they have provided input on development the OHS program, such as: meeting on providing the PPE, medical insurance. Occupational Health and Safety programme worked under - Programme of Work Safety year 2019/2020 as guidance for health and safety in smallholder' plantation.	
Requirement for Group Manager		
Group Manager shall conduct a risk assessment in collaboration with members.	ICS of KUD Makarti has established OHS Policy under "Kebijakan KUD Makarti No 01 Tahun 2019 tentang Keselamatan dan Kesehatan Kerja", was signed by ICS/Group Manager of KUD Makarti dated 6 th April 2019. ICS of KUD Makarti has also prepared the a risk assessment in collaboration with members as in "Identifikasi Bahaya dan Pengendalian Resiko K3/KUD-MKR.SM/III/2019, dated 10 th March 2019. The risk assessment covering all activities in plantation, such as: harversting, manuring, spraying, mixing pesticides, transport FFB. Health and safety planning and monitoring is sufficient for independent smallholder.	
4.7.2 All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Member shall collaborate with Group Manager to ensure dangers on farm are identified	Based on interview with sample of smallholder - they have been aware and understand the major risk for workers on the farm	

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	<p>especially for harvesting activity, manuring, weeding and spraying pesticide.</p> <p>The individual member also explain how to avoid the risk in activity of work such as using appropriate PPE and performed safe working practise.</p> <p>Individual members have provided input on idrentified of risk/danger in their farm site to head of kelompok tani/farmer group. The head of kelompok tani/farmer group then deliver the suggestion to group manager.</p> <p>Data verified: OHS training of ICS activities dated 16th September 2019 – was attended by 21 individual members.</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 of KUD Makarti has developed a simple hazard identification and risk assessment under “Prosedur Keselamatan dan Kesehatan Kerja No.25/SOP-KUD-MKRSM/IV/2019” –, updated on 3rd April 2019.</p> <p>As explained at indicator 4.7.1, the risk assessment as per document of “Identifikasi Bahaya dan Pengendalian Resiko K3/KUD-MKR.SM/III/2019, dated 10th March 2019. The risk assessment covering all activities in plantation, such as: harversting, manuring, spraying, mixing pesticides, transport FFB.</p> <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 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>Members shall attend trainings related to OHS.</p>	<p>Based on interview with sample of individual member - they have attended the training related to OHS together woth training of best manager practices.</p> <p>All member are aware the PPE usage during working in field based on the risk assessment, such as: AP boot, helm. Data verified: Training of Best Management Parctices for Agronomy including OHS traingi, for example on 26-28 January 2019 was attended by ICS and KT (Kelompok Tani), total 33 Individual member, dated 23rd – 25th January 2019 was attended by 38 individual member, dated 20th – 22nd January 2019 was attended by 32 individual member and dated 13th – 15th January 2019 was attended by 30 individual members.</p>	<p>NC #1868372-202001-M3 Closed on 13/02/2020 Yes</p>
<p>Members shall implement the management plan and at least ensure the provision of PPE and medical check-ups for high risk workers. In the case of hazardous chemical use, a description of the relevant chemicals should be brought to the field.</p>	<p>NC raised during audit: Group Manager KUD Makarti cannot demonstrate training in safe working practices and use of appropriate protective equipment such as smallholder member Abdul Sakur (MKT.05.004) whose spraying weed using herbicide himself.</p> <p>Correction and corrective action: - Technical awareness on spraying activity containing of understanding on chemical use impact and type of weed species</p>	

	<p>target, OSH aspect including agrochemical container disposal management;</p> <ul style="list-style-type: none"> - Now Mr. Abdul Sakur be involved on Spraying Team program. - OHS Training and Socialization of the Spraying Unit Team (TUS) have been carried out by KUD Makarti in collaboration with PT. Bahari Gembira Ria as the FFB receiver and holds an OHS license. The training was held on 5 February 2020 with 24 smallholder members attending. Material presented includes: a. Socialization and direction to use the Spray Unit Team (TUS) for spraying activity on smallholder' plots; b. Dissemination and direction for using appropriate Personal Protective Equipment (PPE) if smallholders spray themselves. PPE can be obtained through borrowing at the Cooperative or provided themselves; c. KUD provides PPE spray for smallholder member who want to buy or borrow it; d. If smallholders do their own spraying, they shall do a health check at least once a year; e. Waste generated from the plantation upkeep (spraying and manuring) to be delivered to the KUD, and disposed according to the SOP for the Management of Used Chemical Containers owned by KUD Makarti; f. Recommendation to use a systemic herbicide (for example Basta) with the target of wide leaf weeds, grass and small weeds; g. The recommended dosage between 40-60 mL per 15 liters of water; h. Recommendation to use a "micronherbi" sprayer, for cost saving. - While for the remaining of 12 smallholders, the ICS conducted direct socialization in the field on 16-25 January 2020. The guidance materials included: the use of OHS PPE (spraying) and the socialization of the Spray Unit Team. Evidence of attendance and minutes of training is available at KUD Makarti. <p>KUD Makarti has made correction and corrective action to address the non conformity. Verification onsite has been conducted by auditor and the NC has been Closed on 13 February 2020. See section 3.4 Detail of Findings.</p>	
Requirement for Group Manager		
N/A	N/A	
<p>4.7.4 The responsible person/persons shall be identified. There shall be records of regular meetings between the responsible person/s and workers. Concerns of all parties about health, safety and welfare shall be discussed at these meetings, and any issues raised shall be recorded.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		
Appropriate to scale, consider forming an Occupational Health Committee.	<p>Group Manager of KUD Makarti has established OHS committee (Tugas Unit K3 KUD Makarti), as per Surat Perintah Tugas No 01/SPT/IV/KUD.MKT/2019, namely Mrs Sri Wahyuni, Mr Alfihatul Hakim and Mr Subroto.</p> <p>Based on interview with sample of smallholder member (– they have provided input on development the OHS program, such as: meeting on providing the PPE, medical insurance.</p> <p>Occupational Health and Safety programme worked under - Programme of Work Safety year 2019/2020 as guidance for health and safety in smallholder' plantation.</p>	
Group Manager reviews the manual periodically.	Group Manager of KUD Makarti was performed meeting to discussing OHS issues, such as: report of inspection of PPE using for harvester, first aid availability checklist, incident report (if any), etc.	

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	Last review the manual OHS was conducted on 22 nd November 2019 attended by 23 smallholder representative member.	
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		Yes
Members shall report accidents on the farm to the Group Manager.	Based on document review of "Rekaman Kecelakaan Kerja - 2019" and interview with sample of smallholders member, there was no accident reported in 2019. Individual member can demonstrated if an accident happened, they will contact the respective field mandor and kelompok tani/farmer group.	
Each member ensures that there is a first aid kit available at the work site when there is operation going on in the field.	Based on interview with sample of smallholders member—there was a first aid kit available at the work site when there is operation going on in the field. The first aid kit was provided for each KT/group farmer. Based on record of "Daftar Kotak P3K – list of first aid kit", there was 17 portable of first aid kit and 1 first aid box location in Officed KUD Makarti,	
Requirement for Group Manager		
Group Managers shall develop OHS / First Aid manual and distribute to all individual members.	KUD Makarti prepares "Standar Operasional Prosedur Pertolongan Pertama pada Kecelakaan No.55/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The First Aid Manual comprise of handling for collapse, intoxication, shock, laceration, cardiac arrest, bleeding, bone fracture, etc.	
Group Manager shall hold regular training based on Group OHS / First Aid manual for members and/or workers.	Training of first aid dated 12 th October 2019, was attended by 17 Group Farmers.	
Group Manager shall record members' accidents on the farm.	Based on document review of "Rekaman Kecelakaan Kerja - 2019" and interview with sample of individual member – there was no accident reported since 2019. Individual member can demonstrated if an accident happened, they will contact the respective Group Farmer (KT).	
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		Yes
Appropriate to scale, workers shall be provided with medical care and covered by medical insurance	Based on interview with sample of individual member– there was no workers being employee permanently by the individual member. In addition all of the casual workers has registerd to National Medical Insurance (BPJS Kesehatan), e.g: <ul style="list-style-type: none"> • Mr. Sufyan Sahuri (Group Manger – registered number for BPJS Kesehatan: 0001826795068). • Mr. Khoirul Anwar (harvester – registered number for BPJS Kesehatan: 0001851881242) • Mr. Gunadi (harvester – registered number for BPJS Kesehatan: 0002072696725) 	
If accidents occur involving casual workers, members shall be expected to provide medical care for the workers involved	Group Manager of KUD Makarti has provided the social contribuutin fee for the medical care should any worker/member had an accident (if any), amount IDR 3 per kg of FFB.	

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	Based on interview with sample of individual member – they stated basically will responsible if any work related accident occurs in their oil palm plot.	
Requirement for Group Manager		
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 (Not Applicable)
N/A		
Requirement for Group Manager		
N/A		
Criterion 4.8: All staff, workers, smallholders and contract workers are appropriately trained.		
4.8.1 A formal training programme shall be in place that covers all aspects of the RSPO Principles and Criteria, and that includes regular assessments of training needs and documentation of the programme.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Anyone working on the farm shall be briefed on best practices relevant to the job they are doing. Members and workers shall participate in the trainings where appropriate. Members inform the Group Manager on participation of workers in training	<p>Group Manager of KUD Mekarti has prepared the training program year 2019 and 2020, such as:</p> <ul style="list-style-type: none"> • Socialization of Association Policies, conducted • Training on implementation of RSPO standards, • Training on fertilizer application, • Training on integrated pest management, • Training on handling of pesticides, <p>Based on interview with sample of individual member – they were understood concerning procedure of best management practise: harvesting procedure, manuring procedure, soil and water conservation, and integrated pest management.</p>	
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	<p>Based on interview with sample of individual farmer member, – they were understood concerning procedure of best management practise: harvesting procedure, manuring procedure, soil and water conservation, and integrated pest management.</p> <p>Data verified: Training on the RSPO P&C conducted to together with training of Best Management Partices, for example on 26-28 January 2019 was attended by ICS and KT (Kelompok Tani), total 33 Individual member, dated 23rd – 25th January 2019 was attended by 38 individual member, dated 20th – 22nd January 2019 was attended by 32 individual member and dated 13th – 15th January 2019 was attended by 30 individual members.</p>	
Appropriate to scale, Group Manager shall prepare a training plan.	<p>Group Manager of KUD Makarti has conducted training need assessment for member as in "Program Training 2019/2020", prepared on June 2019. The training including:</p> <ul style="list-style-type: none"> • Harvesting and FFB quality training • OHS training • Integrated Pest management Training • Limited pesticide usage training • First aid training • Emergency response and basic fire training 	
4.8.2 Records of training for each employee shall be maintained.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A		
Requirement for Group Manager		
Appropriate to scale, training records shall be kept.	Training record were evident and kept in Group Manager office such as: training material, attendance list and certificate for some training.	

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	<p>Some training record are verified: Training of Best Management Practices, for example on 26-28 January 2019 was attended by ICS and KT (Kelompok Tani), total 33 Individual member, dated 23rd – 25th January 2019 was attended by 38 individual member, dated 20th – 22nd January 2019 was attended by 32 individual member and dated 13th – 15th January 2019 was attended by 30 individual members.</p>	
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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 An environmental impact assessment (EIA) shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size		Yes

<p>Individual members shall demonstrate an understanding of the environmental risks of their operations</p>	<p>KUD Mekarti has also demonstrated the document of environmental impact analysis as per "Analisis Dampak Lingkungan Atas Prakter Perkebunan dan Usaha Lain di KUD Makarti" – document No.01/Analisis Dampak Lingkungan-KUD-MKRSM/X/2019, dated 3rd October 2019. The sources of environmental impact was identified, such as: fertilizer activity, soil erosion and land fire. The plan for mitigation has established within the document.</p> <p>Group Manager of KUD Mekarti has shown the document of Environment management and environment monitoring plan sign "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup (SPPL)".</p> <p>Each smallholder member committed to minimize negative impact, promoting positive impact and to manage and monitor the environmental impact as signed in "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" – countersigned by Environmental Service of Muaro Jambi Regency. The letter stipulates smallholder member's commitment:</p> <ol style="list-style-type: none"> 1. To comply with rules and regulation related to environmental management, technical and license requirements therein; 2. To conduct management and monitoring obligation; 3. Take responsibility for environmental damage and/or pollution in and around location; 4. Prepare fire-fighting tools; 5. To report on 6 monthly basis to Muaro Jambi Regency; 6. To receive sanction whenever violates the SPPL; 7. To review and renew license whenever the activity change/hectarage change which impacted the environment; <p>Environmental impact:</p> <ol style="list-style-type: none"> 1. Erosion/increase water run-off; 2. Land fire potential; 3. Decrease in water quality; <p>Management and Monitoring Plan:</p> <ol style="list-style-type: none"> 1. Control fire: prepare signboard, fire-fighting tools; 2. Manage the hazardous waste; 3. No fertilizer application during rainy season; 4. Management of byproduct in palm circle; 5. Monitoring fire hotspot and monitoring water quality; 6. To report if there is new impact not covered in the letter; 7. Coordinates with village government to mitigate environmental impact; <p>SPPL:</p> <ul style="list-style-type: none"> - Subagyo (MKT.01.002) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated 31 October 2019 for oil palm area of 20,000 m² signed by Subagyo. - Suparjo (MKT.02.001) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated 31 October 2019 for oil palm area of 20,230 m² signed by Suparjo. - Marjoni (MKT.02.011) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated 31 October 2019 for oil palm area of 20,120 m² signed by Marjoni. - Basmin (MKT.02.018) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated 31 October 2019 for oil palm area of 20,815 m² signed by Basmin. - Agus Setiawan (MKT.04.002) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated 31 October 2019 for oil palm area of 9,950 m² signed by Endang Priyanti (wife of Agus Setiawan). 	
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Criterion / Indicator	Assessment Findings	Compliance
	<ul style="list-style-type: none"> - Eni Setyaningsih (MKT.04.019) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated 31 October 2019 for oil palm area of 18,730 m². - Abdul Sakur (MKT.05.004) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated 31 October 2019 for oil palm area of 20,040 m². - Paimin (MKT.05.008) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated 31 October 2019 for oil palm area of 20,260 m².. - Amat Iran (MKT.06.002) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated 31 October 2019 for oil palm area of 20,250 m². - Acah Nurmala (MKT.06.005) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated 31 October 2019 for oil palm area of 19,890 m². - Slamet Pujianto (MKT.06.008) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated 31 October 2019 for oil palm area of 20,050 m² signed by Slamet Pujianto. - Abdul Malik (MKT.06.014) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated 31 October 2019 for oil palm area of 20,000 m² signed by Abdul Malik. - Awijaya (MKT.06.028) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated 31 October 2019 for oil palm area of 20,180 m² signed by Awijaya. - Budi Santoso/Daud (MKT.07.009) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated 31 October 2019 for oil palm area of 20,100 m² signed by Budi Santoso. - Dwi Puspasari (MKT.07.012) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated October 2019 for oil palm area of 20,435 m² signed by Sutarto (husband of Dwi Puspasari). - Misran (MKT.07.014) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated October 2019 for oil palm area of 20,435 m² signed by Misran. - Budi Santoso (MKT.07.016) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated October 2019 for oil palm area of 20,100 m² signed by Budi Santoso. - Wakidi (MKT.10.013) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated October 2019 for oil palm area of 20,170 m² signed by Wakidi. - Kuwat (MKT.10.014) "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated October 2019 for oil palm area of 19,140 m² signed by Kuwat. - "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup/SPPL" dated October 2019 for oil palm area of 10,950 m² signed by Amatiran. 	
Requirement for Group Manager		

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Group Managers shall identify all activities that have an impact on the environment.	<p>Group Manager of KUD Makarti has shown the document of identification of all activities that has an impact as in "Surat Pernyataan Kesanggupan Pengelolaan dan Pemantauan Lingkungan Hidup (SPPL)" to minimize negative impact and enhance positive impact.</p> <p>KUD Mekarti has also demonstrated the document of environmental impact analysis as per "Analisis Dampak Lingkungan Atas Prakter Perkebunan dan Usaha Lain di KUD Makarti" – document No.01/Analisis Dampak Lingkungan-KUD-MKRSM/X/2019, dated 3rd October 2019.</p> <p>The sources of environmental impact was identified, such as: fertilizer and pesticides application activity, soil erosion and land fire. The plan for mitigation has established within the document.</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		Yes
Individual members shall demonstrate an understanding of the mitigation plan to reduce the environmental impacts.	<p>Based on visitand interview with sample of individual farmer member</p> <ul style="list-style-type: none"> - there were found some condition and effort to reduce the environmental impacts, such as: - Natural vegetation to protect soil and around the river were maintained - Sampled of individual member according to recommendation dosage on fertilizers application. - Establishing a guard post to serve public complaints due to FFB transportation disturbance - Prioritize biological control of pests; - Maintaining and repairing damaged roads due to FFB transport 	
Individual members shall contribute to the reduction of environmental impacts	<p>Based on visitand interview with sample of individual farmer member</p> <ul style="list-style-type: none"> - there were found some condition and effort to reduce the environmental impacts, such as: - Natural vegetation to protect soil and around the river were maintained - Sampled of individual member according to recommendation dosage on fertilizers application. - Establishing a guard post to serve public complaints due to FFB transportation disturbance - Prioritize biological control of pests; - Maintaining and repairing damaged roads due to FFB transport 	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
Group Managers shall develop a mitigation plan to reduce environmental risks and review the plan every two years of mitigation plan.	<p>Environmental Risk and Mitigation Plan also has been determined in SPPL, such as:</p> <ul style="list-style-type: none"> Control the use of fertilizers and pesticides according to recommended doses and prioritize biological control of pests Increase the business opportunity to the surrounding community for FFB harvesting and transportation activities Maintaining and repairing damaged roads due to FFB transport and establishing a guard post to serve public complaints due to FFB transportation disturbance Improve the empowerment of small and medium businesses of local communities through farmer groups and cooperatives <p>A responsible for mitigation plan is own farmer members and supervised by head of "kelompok tani"/farmer group and group manager.</p>	
<p>5.1.3 This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		
Group Managers shall organise training for members on environmental risks and mitigation measures.	Group Manager of KUD Makarti has conducted the training on environmental risks and mitigation measures. Last training conducted on 7 th August 2019 related to refresh training of HCV and environmental impact analys - location in KUD Makarti Office, was attended by 186 of individual farmer member.	
Group Managers shall monitor implementation	<p>Group Manager of KUD Makarti has provided plan to monitor environmental risks and mitigation measures.</p> <p>The record of monitoring implementation documented in "Analisis dampak Lingkungan". The environmental risk was mitigation measures such as: fertilizer and pesticides application activity, soil erosion and land fire.</p>	
<p>Criterion 5.2: The status of rare, threatened or endangered species and other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and operations managed to best ensure that they are maintained and/or enhanced.</p>		
<p>5.2.1 Information shall be collated in a High Conservation Value (HCV) assessment that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors).</p>		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Individual members shall demonstrate basic understanding of HCVs and RTEs and the need to protect them	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members already understand the type of RTE species and how to protect them. They explained that hunting, trap and kill the wildlife is prohibited.	
Individual members shall participate in the HCV assessment.	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members are clearly stated that during HCV assessment in January 2019, all farmers are involved. Also, they are attending and giving input through filling the questionnaire to identify whether or not that HCV are presence in their field.	

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Requirement for Group Manager		
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).	HCV assessment of KUD Makarti has been conducted by independent party SNV Netherland Development Organisation on Januari 2019 (ground verification) and May 2019 (finalization report). The HCV assessment led by Mr. Adhe Ferdiansyah. "Laporan Penilaian NKT di Areal Usaha Perkebunan Sawit Petani Swadaya KUD Makarti, Desa Sidomukti, Kec. Sungai Gelam, Kab. Muaro Jambi", May 2019. Based on HCV identification report, there is no HCV area, including RTE species are presence within the KUD Makarti smallholders planatation area.	
5.2.2 Where rare, threatened or endangered (RTE) species, or HCVs, are present or are affected by plantation or mill operations, appropriate measures that are expected to maintain and/or enhance them shall be implemented through a management plan.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Individual members shall check with the Group Manager status of HCVs and RTEs of their farm based on the HCV assessment report	Based on HCV identification report as per "Laporan Penilaian NKT di Areal Usaha Perkebunan Sawit Petani Swadaya KUD Makarti, Desa Sidomukti, Kec. Sungai Gelam, Kab. Muaro Jambi", May 2019, there is no HCV area identified, including RTE species are presence within the KUD Makarti smallholders area. However, sample of individual members visited can explain the type of RTE species and how to protect them. If farmers found or seen the RTE species in their farm, they will report to ICS and filing "Form Lembar Validasi HCV Petani KUD Makarti". This is one of appropriate measure for implementing HCV management plan. Group Manager also installed poster of RTE species completed with the pictures in several point of smallholders block.	
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	<ul style="list-style-type: none"> ➢Protection of RTE species: "SOP Perlindungan Satwa Liar atau Langka No: 38/SOP-KUD-MKRSM/IV/2019" dated 3rd April 2019. ➢Management Conflict of Human and Wildlife: "SOP Penanganan Konflik Manusia dan Satwa Liar No: 36/SOP-KUD-MKRSM/IV/2019", dated 3rd April 2019. ➢Water Management and Water Course: "SOP Pengelolaan Air dan Sumber Air No: 23/SOP-KUD-MKRSM/IV/2019", dated 3rd April 2019. Group Manager establish these applicable procedure to protect RTE species and riparian areas.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Individual members shall make their workers aware of the status of RTE species and the applicable disciplinary measures.	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members can explain the type of RTE species and how to protect them.	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
Group Manager conducts training for their individual members and their workers about the status of HCV and RTE species and the applicable disciplinary measures	<p>Regular programme to educate smallholder members about the status of RTE species are established by Group Manager for year 2020.</p> <p>Evidence seen for HCV training program "Program Kerja NKT Tahun 2019", dated 5th January 2019 containing:</p> <ol style="list-style-type: none"> 1. Developing procedure of HCV (Jan, Feb 2019) 2. HCV Training (Jul, Aug 2019) – target participant 200 individual members. 3. Internal assessment HCV (Mar 2019) 4. Installation of HCV warning sign (Nov, Dec 2019) <p>Actual training on HCV and RTE species has been conducted on 7-10 August 2019. Total individual members are 185 members attended training, 5 cooperative employees and one FFB transport provider.</p>	
<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		Yes
Individual members shall be involved in the implementation of the HCV management and monitoring plan (to maintain and/or enhance HCVs)	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members can explain if they found or seen the RTE species in their farm, they will report to ICS and filing "Form Lembar Validasi HCV Petani KUD Makarti". This is one of appropriate measure for implementing HCV management plan.	
Requirement for Group Manager		
Group Managers shall implement a mechanism for individual members to report on threats to HCVs	<ul style="list-style-type: none"> ➢ Protection of RTE species: "SOP Perlindungan Satwa Liar atau Langka No: 38/SOP-KUD-MKRSM/IV/2019" dated 3rd April 2019. ➢ Management Conflict of Human and Wildlife: "SOP Penanganan Konflik Manusia dan Satwa Liar No: 36/SOP-KUD-MKRSM/IV/2019", dated 3rd April 2019. ➢ Water Management and Water Course: "SOP Pengelolaan Air dan Sumber Air No: 23/SOP-KUD-MKRSM/IV/2019", dated 3rd April 2019. ➢ Group Manager also installed poster of RTE species completed with the pictures and no hunting sign in several point of smallholders block. <p>Group Manager establish these applicable procedure to protect RTE species and riparian areas.</p>	
<p>5.2.5 Where HCV set-asides with existing rights of local communities have been identified, there shall be evidence of a negotiated agreement that optimally safeguards both the HCVs and these rights.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Individual members shall be aware of the rights of other local communities that are related to identified HCVs and RTEs	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members explained that entire of smallholders area origin from Transmigration Program since 1994. Therefore, no indigenous rights are available. Also, based on HCV identification report, there is no HCV area are presence in smallholders area.	
Requirement for Group Manager		

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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	The entire smallholders area origin from Transmigration Program since 1994. Therefore, no indigenous rights are available. Also, based on HCV identification report, there is no HCV area are presence in smallholders area.	
Criterion 5.3: Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.		
5.3.1 All waste products and sources of pollution shall be identified and documented.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		
Appropriate to scale, the Group Manager shall ensure that there is a documented waste management and disposal plan is in place.	Organization have "Standar Operasional Prosedur Pengelolaan Limbah Plastik di Kebun KUD Makarti No.53/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The SOP stated all ex-fertilizer bag and other plastic refusal being collected in eah plantation, and then send to KUD Makarti for further disposal to hazardous waste storage in PT. Prosympac Agro Lestari. Data verified: Record of disposed the of waste to PT. Prosympac Agro Lestari, as per "Bukti Serah Terima Limbah B3 KUD Makarti", e.g: e.g: for the inner plastic bag of fertilizer – dated 24th November 2019 (60 sack), dated 28th October 2019 (56 sack).	
5.3.2 All chemicals and their containers shall be disposed of responsibly.		
Requirement for Individual Member with up to 50ha of plantation size		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Members shall ensure that all chemical containers are properly handled and disposed.</p>	<p>NC raised during audit: Group Manager KUD Makarti cannot demonstrate control/monitoring of agrochemical container disposal according to procedure; found in smallholder member Abdul Sakur (MKT.05.004) whose spraying weed using herbicide himself.</p> <p>Correction and corrective action:</p> <ul style="list-style-type: none"> - Technical awareness on spraying activity containing of understanding on chemical use impact and type of weed species target, OSH aspect including agrochemical container disposal management; - Now Mr. Abdul Sakur be involved on Spraying Team program. - OHS Training and Socialization of the Spraying Unit Team (TUS) have been carried out by KUD Makarti in collaboration with PT. Bahari Gembira Ria as the FFB receiver and holds an OHS license. The training was held on 5 February 2020 with 24 smallholder members attending. Material presented includes: a. Socialization and direction to use the Spray Unit Team (TUS) for spraying activity on smallholder' plots; b. Dissemination and direction for using appropriate Personal Protective Equipment (PPE) if smallholders spray themselves. PPE can be obtained through borrowing at the Cooperative or provided themselves; c. KUD provides PPE spray for smallholder member who want to buy or borrow it; d. If smallholders do their own spraying, they shall do a health check at least once a year; e. Waste generated from the plantation upkeep (spraying and manuring) to be delivered to the KUD, and disposed according to the SOP for the Management of Used Chemical Containers owned by KUD Makarti; - While for the remaining of 12 smallholders, the ICS conducted direct socialization in the field on 16-25 January 2020. The guidance materials included: the use of OHS PPE (spraying) and the socialization of the Spray Unit Team. Evidence of attendance and minutes of training is available at KUD Makarti. <p>KUD Makarti has made correction and corrective action to address the non conformity. Verification onsite has been conducted by auditor and the NC has been Closed on 13 February 2020. See section 3.4 Detail of Findings.</p>	<p>NC #1868372-202001-M4 Closed on 13/02/2020</p> <p>Yes</p>
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall ensure that all chemical containers are properly handled and disposed</p>	<p>Group Manager of KUD Makarti has prepared the procedure to ensure that all chemical containers are properly handled and disposed under "SOP Pengelolaan Wadah Bekas Kimia No.19/SOP-KUD-MKRSM/IV/2019". The procedure mentioned that empty agrochemical container is triple rinsed and punched at bottom before disposal. The remains of the agrochemical and contaminated water from the washing of used container are re-using for the next pre-mixing compound. Ex fertilizer sack and inner bag was rinsed and kept in agrochemical store and re use as brondolan (palm oil fruit) bag.</p> <p>Waste management and disposal plan has been communicated to farmer member. record of socialization on dispose of waste materials (including hazardous waste).</p>	
<p>5.3.3 A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented.</p>		

Criterion / Indicator	Assessment Findings	Compliance
Requirement for Individual Member	with up to 50ha of plantation size	Yes
Appropriate to scale, members shall have a documented waste management and disposal plan.	<p>The documented waste management and disposal plan available at the group level. Agrochemical waste management is handled by spraying unit team (TUS) conducted by personnel who had received training. The empty agrochemical container is triple rinsed and punched at bottom before disposal.</p> <p>Group Manager of KUD Makarti has also prepared program of waste management and disposal under "Identifikasi Limbah dan Sumber-Sumber Polusi", updated on 10th March 2019. The document consisting of source pollution, waste (agrochemical waste, fertilizing plastic bag and domestic waste), impact, mitigation plan, implementation, timeline and PIC.</p>	
Members shall communicate to all workers the waste management and disposal plan.	Waste management and disposal plan has been communicated to individual member. Record of socialization or training of waste management was conducted together with training of Best Management Practices, for example on 26-28 January 2019 was attended by ICS and KT (Kelompok Tani), total 33 Individual member, dated 23 rd – 25 th January 2019 was attended by 38 individual member, dated 20 th – 22 nd January 2019 was attended by 32 individual member and dated 13 th – 15 th January 2019 was attended by 30 individual members.	
Members shall ensure that the workers are trained on waste management and disposal. Records of such training shall be kept.	<p>Waste management and disposal plan has been communicated to smallholder member.</p> <p>Record of socialization or training of waste management was conducted together with training of Best Management Practices, for example on 26-28 January 2019 was attended by ICS and KT (Kelompok Tani), total 33 Individual member, dated 23rd – 25th January 2019 was attended by 38 individual member, dated 20th – 22nd January 2019 was attended by 32 individual member and dated 13th – 15th January 2019 was attended by 30 individual members.</p>	
Requirement for Group Manager		
Appropriate to scale, the Group Manager shall ensure that there is a documented waste management and disposal plan is in place.	<p>The Group Manager of KUD Makarti has prepared program of waste management and disposal under "Identifikasi Limbah dan Sumber-Sumber Polusi", updated on 10th March 2019. The document consisting of source pollution, waste (agrochemical waste, fertilizing plastic bag and domestic waste), impact, mitigation plan, implementation, timeline and PIC.</p> <p>Based on interview with sample of smallholders member, – they have explained that the empty pesticide container kept in agrochemical store, triple rinsed, punctured before sent to PT Prosympec Agro Lestari for transported to licensed collector.</p>	
Group Manager shall communicate to all members on the waste management and disposal plan.	Waste management and disposal plan has been communicated to farmer member. Record of socialization or training of waste management was conducted together with training of Best Management Practices, for example on 26-28 January 2019 was attended by ICS and KT (Kelompok Tani), total 33 Individual member, dated 23 rd – 25 th January 2019 was attended by 38 individual member, dated 20 th – 22 nd January 2019 was attended by 32 individual member and dated 13 th – 15 th January 2019 was attended by 30 individual members.	

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The Group Manager shall ensure that the members are trained on waste management and disposal. Records of such training shall be kept.	Waste management and disposal plan has been communicated to farmer member. Record of socialization or training of waste management was conducted together with training of Best Management Practices, for example on 26-28 January 2019 was attended by ICS and KT (Kelompok Tani), total 33 Individual member, dated 23 rd – 25 th January 2019 was attended by 38 individual member, dated 20 th – 22 nd January 2019 was attended by 32 individual member and dated 13 th – 15 th January 2019 was attended by 30 individual members.	
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		Yes
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.	Group Manager of KUD Makarti has shown the document “Result of Identification of Environmental Risk and Mitigation Program”, last updated on 16 th January 2019. The document mentioned plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy, such as: individual member use fossil fuel for motorcycle and they conducted efficiency by optimize the motorcycle usage as per necessity. They use electrical for housing needs and supply by grid/PLN.	
Requirement for Group Manager		
Appropriate to scale, Group Manager shall have a plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.	Group Manager has prepared plan for improving efficiency of the use of fossil fuels and to optimise renewable energy as in “Pedoman Pemanfaatan dan Efisiensi Sumber Emisi”, up dated on 16 th January 2019, consist of: <ul style="list-style-type: none"> • Fossil fuel usage as per needs or necessity • Performed efficiency of fossil fuel by control the fossil fuel usage for FFB transportation • Conducting regular maintenance for truck machine; 	
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 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		Yes
Individual members shall provide evidence that they understand the No Burning Policy of the group.	KUD Makarti has also established the Policy No. 13/SK/ICS/KUD-MKT/IV/2019 related to zero burning policy, no peat, no forest and no conflict Based on field visit there were no evidence of any kind of burning was noticed.	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
<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 	<p>Group Manager of KUD Makarti has established the procedure of land clearing "Prosedur Pembukaan Lahan Kelapa Sawit No.20/SOP-KUD-MKRSM/IV/2019", in point 3 was mentioned "commitment to zero burning on land clearing or preparation".</p> <p>KUD Makarti has also established the Policy No. 13/SK/ICS/KUD-MKT/IV/2019 related to zero burning policy, no peat, no forest and no conflict.</p> <p>Based on field visit there were no evidence of any kind of burning was noticed.</p>	
<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		Yes
Individual members shall provide proposals for use of fire to the Group Manager for assessment and approval prior to burning.	<p>Based on field visit there were no evidence of any kind of burning was noticed.</p> <p>Based on interview with sample of smallholders member – they have been aware that they cannot use fire for land preparation during replanting.</p>	
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>ICS of KUD Makarti and its members have been 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.</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.</p> <p>During the interview, the group manager and group members highlighted that there are no pest and disease problem.</p>	
<p>Criterion 5.6: Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.</p>		
<p>5.6.1 An assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent (see Criterion 4.4).</p>		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		
List significant pollutants and identify sources of emissions.	<p>Group Manager of KUD Makarti has shown a document "Identifikasi Limbah dan Sumber-Sumber Polusi", updated on 10th March 2019 which mention the identification of pollution and green house gas source emission, covering:</p> <ul style="list-style-type: none"> • Fertilizing : Fertilizer volume usage • Spraying activity: Agrochemical volume usage; • Transportation: Fossil fuel volume usage; 	
<p>5.6.2 Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimise them implemented.</p>		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
Identify options to reduce pollutants and emissions and consider whether the group can implement any of these	<p>Group Manager of KUD Makarti has shown a document "Identifikasi Limbah dan Sumber-Sumber Polusi", updated on 10th March 2019 which mention the identification of pollution and green house gas source emission, covering:</p> <ul style="list-style-type: none"> • Fertilizing : Fertilizer volume usage • Spraying activity: Agrochemical volume usage; • Transportation: Fossil fuel volume usage; <p>KUD Makarti has also prepared a plan for improving efficiency of the use of fossil fuels and to optimise renewable energy as in "Rencana Peningkatan dan Pemantauan Efisiensi Penggunaan Bahan Bakar Fosil", updated on 17th March 2019, consist of:</p> <ul style="list-style-type: none"> • In 2019 - fossil fuel usage as per needs or necessity is 6,483 liters, total production of FFB is 8,269,528 Kg. • Performed efficiency of fossil fuel by control the fossil fuel usage for FFB transportation – shown as per graphic of fuels consumption year 2019. • Conducting regular maintenance for truck machine; 	
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		Yes
N/A	N/A	
Requirement for Group Manager		
Based on the above, where possible, mitigation measures shall be developed and implemented. Socialize the information to the group members.	<p>Group Manager of KUD Makarti has provided plan to monitor all parameters includes management of waste and pollutant, biological, physical, and social Aspects. Data verified: "Rencana Peningkatan dan Pemantauan Efisiensi Penggunaan Bahan Bakar Fosil", updated on 17th March 2019, consist of:</p> <ul style="list-style-type: none"> • In 2019 - fossil fuel usage as per needs or necessity is 6,483 liters, total production of FFB is 8,269,528 Kg. • Performed efficiency of fossil fuel by control the fossil fuel usage for FFB transportation – shown as per graphic of fuels consumption year 2019. • Conducting regular maintenance for truck machine; 	

Criterion / Indicator	Assessment Findings	Compliance
Principle 6: Responsible consideration of employees and of individuals and communities affected by growers and millers		
Criterion 6.1:		
Aspects of plantation and mill management that have social impacts, including replanting, are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.		
6.1.1 A social impact assessment (SIA) including records of meetings shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Individual members shall demonstrate an understanding of the social risks of their operations.	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members can explain of the social risks of their operations. In example, gap of income each farmer based on land ownership.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
Group Managers shall identify all activities that have social impacts with the participation of affected parties.	Social and Environmental Impact Assessment has been conducted by independent party SNV Indonesia on 28 January – 4 March 2019. All the affected parties already involved, including farmers, local contractors, neighbour company and village government. All activities that have social impacts are covered within the report as per "Penilaian Dampak Sosial dan Lingkungan Usaha Perkebunan Sawit Petani KUD Makarti", dated 28 January – 4 March 2019. Group Manager has made identification of activities that have social impacts are based on type of livelihoods. There are 6 type of current livelihoods of communities, such as: oil palm farmers, vegetable farmers, rubber plant farmers, cattle, local trading and employees.	
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		Yes
N/A	N/A	
Requirement for Group Manager		
Group Managers shall identify all activities that have social impacts with the participation of affected parties	Social and Environmental Impact Assessment has been conducted by independent party SNV Indonesia on 28 January – 4 March 2019. All the affected parties already involved, including farmers, local contractors, neighbour company and village government. All activities that have social impacts are covered within the report as per "Penilaian Dampak Sosial dan Lingkungan Usaha Perkebunan Sawit Petani KUD Makarti", dated 28 January – 4 March 2019. Group Manager has made identification of activities that have social impacts are based on type of livelihoods. There are 6 type of current livelihoods of communities, such as: oil palm farmers, vegetable farmers, rubber plant farmers, cattle, local trading and employees.	
6.1.3 Plans for avoidance or mitigation of negative impacts and promotion of the positive ones, and monitoring of impacts identified, shall be developed in consultation with the affected parties, documented and timetabled, including responsibilities for implementation.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Individual members shall demonstrate an understanding of the mitigation plan to reduce the social impacts	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members can explain mitigation plan to reduce the social impacts.	
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.	Social and Environmental Impact Assessment has been conducted by independent party SNV Indonesia on 28 January – 4 March 2019. All the affected parties already involved, including farmers, local contractors, neighbour company and village government. Mitigation plan to reduce negative impacts are available in "Laporan Upaya Pengurangan Dampak Negatif No: 02/KUD-MKRSM/III/2019". There are four aspects as the main concern to monitor by Group Manager, among others: Social, Economic, Health and Environmental aspects. Togetherness philosophy of "Gotong Royong" is one of mitigation plan that implemented by Group Manager to increase the positive impact and reducing the social gap. In example: all the communities are working collaborative on maintaining production road. This activity already done in March 2019. Review the plan every two years not yet been made because the SEI Assessment have done on March 2019.	

Criterion / Indicator	Assessment Findings	Compliance
Group Managers shall organise training for members on social risks and mitigation measures	Group Manager have implementing training for members on social risks and mitigation measures concurrently wit Members Annual Meeting or "Rapat Anggota Tahunan". For 2019, Members Annual Meeting was held on 23 rd February 2019 and attended by 224 participants/members.	
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		Yes
Where applicable, individual members shall help to address negative social impacts in a consultative manner.	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members can giving input as help to address negative social impacts in a consultative manner through Members Annual Meeting or "Rapat Anggota Tahunan". For 2019, Members Annual Meeting was held on 23 rd February 2019 and attended by 224 participants/members.	
Requirement for Group Manager		
Group Managers shall monitor implementation of mitigation plan.	Monitoring implementation of mitigation plan conducted by Group Manager in monthly basis. The monitoring performed in simply manner through feedback from members during payday and attendance of members during "Gotong Royong" activity.	
6.1.5 Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme).		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
N/A	N/A	
Criterion 6.2: There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.		
6.2.1 Consultation and communication procedures shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
The individual member shall demonstrate understanding of the group's consultation and communication procedures	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members already understand the mechanism of consultation and communication. They said that all communication and consultation can be address directly to ICS and Group Manager.	
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.	Procedure on Communication and Consultation is documented in "Standar Operasional Prosedur Komunikasi dan Konsultasi dengan Pihak Lain No: 28/SOP-KUD-MKRSM/IV/2019" dated 3 rd April 2019. These procedure contain the mechanism for consultation with local communities, local government or other affected stakeholders.	
The Group Manager shall ensure that individual group members are informed of the consultation and communication procedure.	Socialization of the procedure has been conducted during Members Annual Meeting or "Rapat Anggota Tahunan". For 2019, it was held on 23 rd February 2019 and attended by 224 participants/members.	
6.2.2 A management official responsible for these issues shall be nominated.		
Requirement for Individual Member with up to 50ha of plantation size		Yes

Criterion / Indicator	Assessment Findings	Compliance
N/A	N/A	
Requirement for Group Manager		
The Group Manager shall nominate an official responsible for these issues	KUD Makarti has organizational structure where responsible person for communication and consultation is Mr. Subagyo, Mr. Purwoto and Mr. Subroto. This assignment is based on letter "Surat Keputusan Nomor: 17/SK/ICS/KUD-MKT/IV/2019", dated 8 April 2019.	
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		
N/A	N/A	Yes
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.	Group Manager has stakeholder list dated 7 January 2020, which contains: 1. Local government village of Sido Mukti (4 stakeholders). 2. NGO (2 organisation). 3. Mill/FFB's Receiver (2 companies, PT. BGR and PT. PAL). 4. Statutory bodies (DLH, Disbun, Diskop). 5. Bank (2 banks). 6. Other Surrounding Cooperatives (3 cooperatives).	
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		
Appropriate to scale, the member shall have a documented grievance mechanism in place	Documented grievance mechanism are not kept by members, this mechanism are placed in Cooperative office. However, the members already understand the grievance mechanism.	Yes
The workers shall understand the process.	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members can explain the process of grievance. All the process is following the KUD Makarti procedures.	
Requirement for Group Manager		
The Group Manager shall have a documented grievance mechanism in place	Group Manager has established grievance mechanism and resolve management in several procedures, as follow: 1. "STANDAR OPERASIONAL PROSEDUR Penanganan Perselisihan dan Keluhan Untuk Pihak Eksternal No : 42/SOP-KUD-MKRSM/IV/2019", dated 3 rd April 2019. 2. "SOP No: 05/SOP-KUD-MKRSM/IV/2019", dated 3 rd April 2019 related Members Appeal against Internal Audit Result. 3. "SOP No: 09/SOP-KUD-MKRSM/IV/2019", dated 3 rd April 2019 related Grievance Mechanism for Members. 4. "SOP No: 28/SOP-KUD-MKRSM/IV/2019", dated 3 rd April 2019 related Communication and Consultation with Other Parties. 5. "SOP No: 40/SOP-KUD-MKRSM/IV/2019", dated 3 rd April 2019 related Gap and Conflict within Members Area.	
The Group Manager shall ensure members are familiar with the grievance procedure	To ensure that members are familiar with the grievance procedure, Group Manager put the procedure in notification board at the office and socialized during Members Annual Meeting or "Rapat Anggota Tahunan". For 2019, Members Annual Meeting was held on 23 rd February 2019 and attended by 224 participants/members.	

Criterion / Indicator	Assessment Findings	Compliance
Where necessary, the Group Manager shall support members to put in place documented grievance mechanism	To ensure that members are familiar with the grievance procedure, Group Manager put the procedure in notification board at the office and socialized during Members Annual Meeting or "Rapat Anggota Tahunan". For 2019, Members Annual Meeting was held on 23 rd February 2019 and attended by 224 participants/members.	
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		Yes
Appropriate to scale, the procedure shall provide documentation of both how the process of the dispute was resolved and the outcome	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members already understand the process of the dispute, if its occurred. However, during the KUD Makarti established, there is no disputes arise from members.	
Requirement for Group Manager		
The procedure shall provide documentation of both how the process of the dispute was resolved and the outcome.	Group Manager has established grievance mechanism and resolve management in several procedures, as follow: 1. "STANDAR OPERASIONAL PROSEDUR Penanganan Perselisihan dan Keluhan Untuk Pihak Eksternal No : 42/SOP-KUD-MKRSM/IV/2019", dated 3 rd April 2019. 2. "SOP No: 05/SOP-KUD-MKRSM/IV/2019", dated 3 rd April 2019 related Members Appeal against Internal Audit Result. 3. "SOP No: 09/SOP-KUD-MKRSM/IV/2019", dated 3 rd April 2019 related Grievance Mechanism for Members. 4. "SOP No: 28/SOP-KUD-MKRSM/IV/2019", dated 3 rd April 2019 related Communication and Consultation with Other Parties. 5. "SOP No: 40/SOP-KUD-MKRSM/IV/2019", dated 3 rd April 2019 related Gap and Conflict within Members Area.	
Criterion 6.4: Any negotiations concerning compensation for loss of legal, customary or user rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.		
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.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		
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.	Group Manager has established 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 within "STANDAR OPERASIONAL PROSEDUR Kompensasi Pengalihan Hak Legal (FPIC) No : 29/ SOP-KUD-MKRSM/IV/2019", dated 3 rd April 2019.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
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.	Group Manager has established 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 within "STANDAR OPERASIONAL PROSEDUR Kompensasi Pengalihan Hak Legal (FPIC) No : 29/ SOP-KUD-MKRSM/IV/2019", dated 3 rd April 2019.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Individual group members formally request assistance by the Group Manager in this process to assure compliance with the procedures	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members explained that no compensation claims against the land ownership. Because the land status is origin from Government Program known as Transmigration Program since 1994. All the members has had land certificate known as "Sertipikat Hak Milik".	
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.	Documents the process and outcome of any negotiated agreements and compensation claims is available in "STANDAR OPERASIONAL PROSEDUR Kompensasi Pengalihan Hak Legal (FPIC) No : 29/ SOP-KUD-MKRSM/IV/2019", dated 3 rd April 2019. If change of land ownership occurred with the members, negotiated agreements shall be witnessed by affected parties such as Village Head or Land Notary, Previous Land Owner, Boundary Land Owner and Group Manager.	
The Group Manager assists individual group members in these situations upon request by the member.	Based on interview with Group Manager, in any situation happened with the members, Group Manager fully assists to monitor and resolve the process.	
Criterion 6.5: Pay and conditions for employees and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.		
6.5.1 Documentation of pay and conditions shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Appropriate to scale, the members shall keep documentation of pay and conditions.	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members can explain that workers for smallholders are casual workers and not working daily at the blocks. Documentation of pay and condition are kept at KUD Makarti office.	

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Criterion / Indicator	Assessment Findings	Compliance
<p>The pay shall meet at least the legal or industry standards minimum wage.</p>	<p>Workers for smallholders are casual workers and not working daily at the blocks. Payment for workers is refer to Group Manager decree as per: 1. "SK Group Manager No: 12/SK/ICS/KUD-MKT/IV/2019" related Payment, dated 8 April 2019. Within the document, reference of payment is Provincial Minimum Wage. 2. "SK Group Manager No: 19/SK/ICS/KUD-MKT/IV/2019", dated 21 April 2019 related Adjustment and Conversion of Minimum Wage at KUD Makarti. Group Manager adjust the wage for workers is referred to Regional Minimum Wage of Jambi Province. Average: for harvester paid IDR 130,000/Tonnes FFBS; Prunning: IDR 1,000,000/year; Fertilizer: IDR 15,000/sack. Harvesting 3 times a month, where each harvesting duration 3-4 hours/block (2 Ha). The payment already met with applicable regulations.</p>	
Requirement for Group Manager		
<p>The Group Manager shall be aware of the legal or industry standards minimum wage.</p>	<p>Payment for workers is refer to Group Manager decree as per: 1. "SK Group Manager No: 12/SK/ICS/KUD-MKT/IV/2019" related Payment, dated 8 April 2019. Within the document, reference of payment is Provincial Minimum Wage. 2. "SK Group Manager No: 19/SK/ICS/KUD-MKT/IV/2019", dated 21 April 2019 related Adjustment and Conversion of Minimum Wage at KUD Makarti. Group Manager adjust the wage for workers is referred to Regional Minimum Wage of Jambi Province. Minimum Wage of Jambi Province for 2020 refer to Governor decree "SK Gubernur No: 220/Kep.Gub/Disnakertrans", dated 25 October 2019. Group Manager has calculating and calibration for applied wage in KUD Marga Jaya compare with Provincial Minimum Wage. Minimum Wage = IDR 2,630,126.13 or IDR 109,588.59/day or IDR 13,698.57/hour. Payment for Type of Job: Harvesting (IDR 130,000) working average: 4 working hour. Frequency: 3 times a month. Frond Pruning (IDR 1,000,000) average: 16 hour. Frequency: once a year. Fertilizing/Manuring (IDR 15,000) average: 15 minutes/sack. Frequency: 3-4 times a year. Workers for smallholders are casual workers and not working daily at the blocks.</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>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>	<p>Yes</p>	

Criterion / Indicator	Assessment Findings	Compliance
<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>Workers for smallholders are casual workers and not working daily at the blocks. Therefore, employment contracts is similar with agreement verbally and following the term and condition of Group Manager. However, some of farmers making agreement with the worker.</p> <p>Based on field interview with sample of individual smallholder at Group Members</p> <ul style="list-style-type: none"> KT. Sri Rejeki B (ID MKT.07.012) worker name is Mr. Teguh. Employment contract is available in KUD Makarti Office. KT. Sumber Tani B (MKT.10.014) worker name is Mr. Gunadi. Employment contract is available in KUD Makarti Office. KT. Barokah (MKT.11.019) worker name is Mr. Timbul. Employment contract is available in KUD Makarti Office. 	
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. Therefore, employment contracts is similar with agreement verbally and following the term and condition of Group Manager. However, some of farmers making agreement with the worker. All the agreement is comply with relevant regulation.</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.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
<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>Individual member is resident in Sido Mukti village (formerly part of Petaling Jaya Village). The smallholder plantation area is origin from Government Program known as Transmigration Program since 1994. Therefore, members already have adequate housing, water supplies, medical, educational and welfare amenities in their village.</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>For payment, Group Manager already determined and comply with labour laws and conditions.</p> <p>Group Manager already made decree related Payment as per "SK Group Manager No: 12/SK/ICS/KUD-MKT/IV/2019" related Payment, dated 8 April 2019. Within the document, reference of payment is Provincial Minimum Wage.</p> <p>Group Manager has calculating and calibration for applied wage in KUD Marga Jaya compare with Provincial Minimum Wage. This refer to "SK Group Manager No: 19/SK/ICS/KUD-MKT/IV/2019", dated 21 April 2019 related Adjusment and Conversion of Minimum Wage at KUD Makarti.</p> <p>Minimum Wage = IDR 2,630,162 or IDR 105,206.48/day or IDR 15,203.25/hour.</p>	
6.5.4 Growers and millers shall make demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
<p>appropriate to scale, members shall make efforts to ensure access to food to workers, including providing allotment (space) for growing food</p>	<p>Individual member is resident in Sido Mukti village (formerly part of Petaling Jaya Village). The smallholder plantation area is origin from Government Program known as Transmigration Program since 1994. Therefore, government providing land totally 3.5 Ha each farmer which contains of Oil Palm (2 Ha), Yard Land (1 Ha) and vegetables (0.5 Ha).</p>	
Requirement for Group Manager		

Criterion / Indicator	Assessment Findings	Compliance
Appropriate to scale, the Group Manager shall ensure that members comply with labour laws and conditions (6.5.2, 6.5.3 & 6.5.4)	Not Applicable	
Criterion 6.6: The employer respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel.		
6.6.1 A published statement in local languages recognising freedom of association shall be available.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
If individual members employ workers: • A published statement shall be available in local languages recognising freedom of association (to form and join trade unions)	Group Manager has established the statement within decree "SK Nomor: 10/SK/ICS/KUD-MKT/IV/2019", dated 8 April 2019 related Recognising Freedom of Association for their members. The statement is in Bahasa. No workers union available, because independent smallholders have no permanent workers.	
Requirement for Group Manager		
The Group Manager shall be aware of the statement, if applicable	Group Manager has established the statement within decree "SK Nomor: 10/SK/ICS/KUD-MKT/IV/2019", dated 8 April 2019 related Recognising Freedom of Association for their members. The statement is in Bahasa. No workers union available, because independent smallholders have no permanent workers.	
6.6.2 Minutes of meetings with main trade unions or workers representatives shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size		N/A (Not Applicable)
Minutes of the meeting with main trade unions or workers' representatives shall be documented and kept	Group Manager has established the statement within decree "SK Nomor: 10/SK/ICS/KUD-MKT/IV/2019", dated 8 April 2019 related Recognising Freedom of Association for their members. The statement is in Bahasa. No workers union available, because independent smallholders have no permanent workers.	
Requirement for Group Manager		
N/A	N/A	
Criterion 6.7: Children are not employed or exploited.		
6.7.1 There shall be documentary evidence that minimum age requirements are met.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Member shall be aware of the child labour policy and implement it.	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members explained that bring children for working is prohibited.	

Criterion / Indicator	Assessment Findings	Compliance
Member shall keep records of their employees including age, including copies of birth certificate/national identification card/passport	Based on interview with Harvester at Group Members ID MKT.07.012, his age 35 years old. Sample of individual members explained that farmers hired workers only for adult persons and having experience. Record of employee including age and copy of National Identity Card or "Kartu Tanda Penduduk" are available in "Daftar pekerja KUD Makarti". Sample of ID card or "Kartu Tanda Penduduk" verified are: - Mr. Timbul (worker at MKT.11.019), date of birth 13-Apr-1970 (49 y.o). - Mr. Gunadi (worker at MKT.10.014), date of birth 14-Jul-1982 (37 y.o).	
Requirement for Group Manager		
Write a policy on Child Labour and keep records of documented evidence of awareness raising on child labour	Group Manager has established the statement within decree "SK Nomor: 02/SK/ICS/KUD-MKT/IV/2019", dated 8 April 2019 related Prohibition of Child Labour. The statement is in Bahasa. No child labour available.	
The policy shall be clear that children can only work under supervision, are family members and not doing hazardous work	Group Manager has established the statement within decree "SK Nomor: 02/SK/ICS/KUD-MKT/IV/2019", dated 8 April 2019 related Prohibition of Child Labour. The statement is in Bahasa. No child labour available.	
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.		
6.8.1 A publicly available equal opportunities policy including identification of relevant/affected groups in the local environment shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Members shall be aware of the equal opportunities policies and implement it	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members aware with equal opportunities policy. However, most of wokers employed by members is male. This is due local communities culture that heavy activities on farm conducted by experienced male workers. If any female workers met the qualification and experienced, then it can be hired.	
Requirement for Group Manager		
Write a policy on equal opportunities and keep records of documented evidence of awareness raising on it	Group Manager has established the statement within decree "SK Nomor: 08/SK/ICS/KUD-MKT/IV/2019", dated 8 April 2019 related Commitment to Comply the Applicable Laws. One of the statement is giving equal opportunities and no discrimination.	
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		Yes
Members shall be aware of the equal opportunities policies and implement it	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members aware with equal opportunities policy. However, most of wokers employed by members is male. This is due local communities culture that heavy activities on farm conducted by experienced male workers. If any female workers met the qualification and experienced, then it can be hired.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
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		Yes
Members shall be aware of the equal opportunities policies and implement it	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members aware with equal opportunities policy. However, most of workers employed by members is male. This is due local communities culture that heavy activities on farm conducted by experienced male workers. If any female workers met the qualification and experienced, then it can be hired.	
Requirement for Group Manager		
N/A	N/A	
Criterion 6.9:		
There is no harassment or abuse in the work place, and reproductive rights are protected.		
6.9.1 Policy to prevent sexual and all other forms of harassment and violence shall be implemented and communicated to all levels of the workforce.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
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	Group Manager KUD Makarti has disseminated the policy related to sexual harassment prevention, policy related to protection of reproductive right, SOP for reporting and resolving sexual harassment case – on 8 July 2019. Documentary evidence Minutes of meeting “Notulen Sosialisasi SOP, Surat Keputusan dan Kebijakan”, dated 8 July 2019; smallholder member present: Agus Setiawan, Tukimin, Subagyo, Amatiran, Misran, Suparjo, Slamet Pujiyanto, Kuwat, Khususiah/Abdul Sakur, Acah Nurmala, Wakidi, Marjoni, etc. Based on interview with smallholder member, they can explain the type of sexual harassment including domestic violence and confirm no such case.	
Requirement for Group Manager		
Group Manager shall develop the Policy/Policies and procedure to prevent sexual, and all other forms of harassment, violence and protection of reproductive rights	Group Manager KUD Makarti established policy “Surat Keputusan No.18/SK/ICS/KUD-MKT/IV/2019 tentang Kebijakan Tidak Melakukan Pelecehan Seksual” dated 8 April 2019. The policy stipulates KUD Makarti protects all worker from sexual harassment; KUD Makarti will process the protection of all worker. In addition, Group Manager KUD Makarti established policy “Surat Keputusan No.11/SK/ICS/KUD-MKT/IV/2019 tentang Larangan Mempekerjakan Ibu Hamil dan Menyusui terkait Pekerjaan Pengelolaan Bahan Kimia” dated 8 April 2019. The policy stipulates KUD Makarti prohibit smallholder member from employing pregnant female worker to work with agrochemical (mixing, spraying, storekeeper); for female worker with menstrual period, given 2 days leave; pregnant female worker given 2 months leave.	
6.9.2 A policy to protect the reproductive rights of all, especially of women, shall be implemented and communicated to all levels of the workforce.		
Requirement for Individual Member with up to 50ha of plantation size		Yes

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Criterion / Indicator	Assessment Findings	Compliance
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	Based on interview with smallholder member, they can explain the implementation of protection of reproductive rights.	
Requirement for Group Manager		
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	Group Manager KUD Makarti have disseminated the policy to prevent sexual harassment, protection of reproductive rights to all smallholder member.	
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.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
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	Based on interview with smallholder member, they can explain mechanism for reporting of sexual harassment case to Group Manager, and then to authority (village government, police).	
Requirement for Group Manager		
The Group Manager shall ensure members are aware of the policy/policies and procedure for handling sexual and all other forms of harassment, violence and the protection of reproductive rights, in the language which the workers can understand	Group Manager KUD Makarti established "Standar Operasional Prosedur Penanganan Kasus Pelecehan Seksual No.71/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The procedure regulates reporting of sexual harassment case to Group Manager, and then to authority (village government, police). The procedure is in Bahasa Indonesia.	
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		Yes
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.	Group Manager has established the procedure as per "SOP Nomor: 13/SOP-KUD-MKRSM/IV/2019", dated 3 April 2019 related FFB Price Mechanism. Where the FFB price is following the price which determined by Plantation Agency and Mill.	
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		Yes

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Criterion / Indicator	Assessment Findings	Compliance
The individual member understands the pricing mechanism of the purchaser	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members explained that FFB price is following Government price and informed by Group Manager weekly basis.	
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	Information on FFB price is listed on notice board at Group Manager office in weekly basis. In example: FFB price period 31 January 2020 to 6 February 2020 is IDR 1,899.13/kg.	
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		Yes
N/A	N/A	
Requirement for Group Manager		
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	"Kontrak Kerja Tim Armada, dated 9 April 2019" is contractual agreement between KUD Makarti and Mr. Sodikin (represent of FFB transportation/contractor). The owner of FFB transportation also member of smallholders. KUD Makarti has a list of registered FFB transportation owner. Totally, there are 21 owner of FFB transportation/truck. Based on interview with FFB transportation owner, the contractual agreement is fair, legal and transparent. Including, if there is any changes on transport fees, it will be discussed with Group Manager. For example: Minutes of Changes on FFB Fees as per "Berita Acara Musyawarah Kenaikan Upah Transportasi KUD Makarti", dated 21 November 2014.	
6.10.4 Agreed payments shall be made in a timely manner.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Agreed payments to local businesses shall be made in a timely manner	Based on interview with FFB transportation owner, the contractual agreement is fair, legal and transparent. Including, if there is any changes on transport fees, it will be discussed with Group Manager. For example: Minutes of Changes on FFB Fees as per "Berita Acara Musyawarah Kenaikan Upah Transportasi KUD Makarti", dated 21 November 2014. Payment to FFB contractors is concurrently with payment for the members and in a timely manner. The payment is every date of 10 to 15 every month.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
Agreed payments to local businesses shall be made in a timely manner. If the Group Manager receives payment for the FFB produced by group members, the Group Manager shall make payments to the individual group members in a timely manner.	Payment to FFB contractors is concurrently with payment for the members and in a timely manner. The payment is every date of 10 to 15 every month.	
Criterion 6.11: Growers and millers contribute to local sustainable development where appropriate.		
6.11.1 Contributions to local development that are based on the results of consultation with local communities shall be demonstrated.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
The responsibility for meeting this requirement lies with the Group Manager	Not applicable.	
Requirement for Group Manager		
Evidence of consultation with local communities and stakeholders. Where contributions have been identified as necessary based on the consultation carried out, the Group Manager shall ensure that these are implemented	Group Manager and the members has established and agreed to determined the social levy/contribution from the FFB production. Social levy consist of donation for orphanage, worship development and others social activities. Details of social levy as below: IDR 3,00/kg (social fund); IDR 2,00/kg (worship); IDR 2,00/kg (road maintenance). Totally IDR 7,00/kg/member deducted for social fund.	
6.11.2 Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve smallholder productivity.		
Requirement for Individual Member with up to 50ha of plantation size		N/A
N/A	N/A	
Requirement for Group Manager		
N/A	N/A	
Criterion 6.12: No forms of forced or trafficked labour are used.		
6.12.1 There shall be evidence that no forms of forced or trafficked labour are used.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Appropriate to scale, members shall have a policy on no forms of forced or trafficked labour	Individual member and its workers is resident in Sido Mukti village (formerly part of Petaling Jaya Village). Workers for smallholders are casual workers and not working daily at the blocks. Policy on no forms of forced or trafficked labour is available at Group Manager.	
Members/workers shall be aware of the policy and ensure that no forms of forced or trafficked labour are used	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members aware with no forced or trafficked labour policy. All wokers employed by members is local resident with casual worker status.	
Requirement for Group Manager		

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Criterion / Indicator	Assessment Findings	Compliance
The Group Manager shall write a policy on no forms of forced or trafficked labour	Group Manager has established decree as per "Surat Keputusan Nomor: 14/SK/ICS/KUD-MKT/IV/2019", dated 8 April 2019 related Prohibition of Discrimination, Forced and Trafficked Labour.	
The Group Manager shall ensure that members/workers are aware of the policy and that no forms of forced or trafficked labour are used	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members aware with no forced or trafficked labour policy. All wokers employed by members is local resident with casual worker status.	
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		Yes
Members shall keep relevant records of employment contracts.	Workers for smallholders are casual workers and not working daily at the blocks. Therefore, employment contracts is similar with agreement verbally and following the term and condition of Group Manager. However, some of farmers making documented agreement with the worker.	
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		N/A (Not Applicable)
Where applicable, copies of post-arrival orientation programme and records of participation shall be kept.	Individual member and its workers is resident in Sido Mukti village (formerly part of Petaling Jaya Village). Workers for smallholders are casual workers and not working daily at the blocks. NOT APPLICABLE	
Requirement for Group Manager		
N/A	N/A	
Criterion 6.13: Growers and millers respect human rights.		
6.13.1 A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations (see Criteria 1.2 and 2.1).		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Individual members to show evidence that they understand the policy	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members aware with human rights policy.	
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	Group Manager has established the statement within decree "SK Nomor: 08/SK/ICS/KUD-MKT/IV/2019", dated 8 April 2019 related Commitment to Comply the Applicable Laws. One of the statement is respect on human rights.	

Principle 7: Responsible development of new plantings		
Criterion 7.1:		
A comprehensive and participatory independent social and environmental impact assessment is undertaken prior to establishing new plantings or operations, or expanding existing ones, and the results incorporated into planning, management and operations.		
7.1.1 (M) An independent social and environmental impact assessment (SEIA), undertaken through a participatory methodology including the relevant affected stakeholders, shall be documented.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Individual members shall demonstrate an understanding of the environmental and social risks of their operations	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members can explain of the environmental and social risks of their operations. In example, gap of income each farmer based on land ownership; waste management on their farm related pesticide containers.	
Individual members shall demonstrate an understanding of the management plan to avoid or mitigate the social and environmental impacts.	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members can explain mitigation plan to reduce the environmental and social impacts.	
Where applicable, individual members shall help to address negative social and environmental impacts in a consultative manner.	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members can giving input as help to address negative social and environmental impacts in a consultative manner through Members Annual Meeting or "Rapat Anggota Tahunan". For 2019, Members Annual Meeting was held on 23 rd February 2019 and attended by 224 participants/members.	
Requirement for Group Manager		
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).	Social and Environmental Impact Assessment has been conducted by independent party SNV Indonesia on 28 January – 4 March 2019. All the affected parties already involved, including farmers, local contractors, neighbour company and village government. All activities that have social and environmental impacts are covered within the report as per "Penilaian Dampak Sosial dan Lingkungan Usaha Perkebunan Sawit Petani KUD Makarti", dated 28 January – 4 March 2019. Group Manager has made identification of activities that have social impacts are based on type of livelihoods. There are 6 type of current livelihoods of communities, such as: oil palm farmers, vegetable farmers, rubber plant farmers, cattle, local trading and employees.	Yes
Group Managers shall confirm land ownership and user rights within the new planting area.	The smallholder plantation area is origin from Government Program known as Transmigration Program since 1994. All the members has had land certificate known as "Sertipikat Hak Milik". The oldest planting year is 1996, therefore no new planting is available in KUD Makarti.	Yes

Group Managers shall identify all activities that have environmental and social impacts (positive and negative) with the participation of affected parties.	Social and Environmental Impact Assessment has been conducted by independent party SNV Indonesia on 28 January – 4 March 2019. All the affected parties already involved, including farmers, local contractors, neighbour company and village government. All activities that have social and environmental impacts are covered within the report as per “Penilaian Dampak Sosial dan Lingkungan Usaha Perkebunan Sawit Petani KUD Makarti”, dated 28 January – 4 March 2019. Group Manager has made identification of activities that have social impacts are based on type of livelihoods. There are 6 type of current livelihoods of communities, such as: oil palm farmers, vegetable farmers, rubber plant farmers, cattle, local trading and employees.	Yes
Group Managers shall develop a plan to avoid or mitigate environmental and social risks in consultation with the affected parties.	Mitigation plan to reduce negative impacts are available in “Laporan Upaya Pengurangan Dampak Negatif No: 02/KUD-MKRSM/III/2019”. There are four aspects as the main concern to monitor by Group Manager, among others: Social, Economic, Health and Environmental aspects. Togetherness philosophy of “Gotong Royong” is one of mitigation plan that implemented by Group Manager to increase the positive impact and reducing the social gap.	Yes
Group Managers shall organise training for members on environmental and social risks and mitigation measures	Group Manager have implementing training for members on social and environmental risks and mitigation measures concurrently with Members Annual Meeting or “Rapat Anggota Tahunan”. For 2019, Members Annual Meeting was held on 23 rd February 2019 and attended by 224 participants/members.	Yes
Group Managers shall monitor implementation of SEIA management plan	Monitoring implementation of mitigation plan conducted by Group Manager in monthly basis. The monitoring performed in simply manner through feedback from members during payday and attendance of members during “Gotong Royong” activity (social aspect) and monitoring of pesticide use each member (environmental aspect).	Yes
Criterion 7.2:		
Soil surveys and topographic information are used for site planning in the establishment of new plantings, and the results are incorporated into plans and operations.		
7.2.1 (M) 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.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
individuals’ members can show appropriate understanding of soil type and suitability	Audit team had verify on the land title & planting cycle and no new planting after November 2005 being detected in the samples. Data verification as presented at the document of Assessing Agro-Environmental Performance of Sustainable Oil Palm Cultivation in KUD Makarti	
Requirement for Group Manager		
Group Manager shall: • compile and maintain an overall soil map for the group • provide required information and or training for individual members	Group Manager of KUD Mekarti assisted by CIRAD to conducted soil sample analysis conducted in 2019. The result of soils classified as <i>ultisols</i> : low pH, sandy loam to loamy clay soils, low available P, low to very low N and exchangeable K and Mg and low cation exchange capacity. Fertilizer response on KUD Makarti soil as is likely if properly fertilised. Data verification as presented at the document of Assessing Agro-Environmental Performance of Sustainable Oil Palm Cultivation in KUD Makarti.	
7.2.2 Topographic information adequate to guide the planning of drainage and irrigation systems, roads and other infrastructure shall be available and taken into account in plans and operations.		
Requirement for Individual Member with up to 50ha of plantation size		Yes

individuals' members can show appropriate understanding of soil type and suitability	Group Manager of KUD Mekarti assisted by CIRAD to conducted soil sample analysis conducted in 2019. The result of soils classified as <i>ultisols</i> : low pH, sandy loam to loamy cay soils, low available P, low to very low N and exchangeable K and Mg and low cation exchange capacity. Fertilizer response on KUD Makarti soil as is likely if properly fertilised. Data verification as presented at the document of Assessing Agro-Environmental Performace of Sustainable Oil Palm Cultivation in KUD Makarti.	
Requirement for Group Manager		
overall soil map to include topographic information	Group Manager of KUD Makarti has kept and maintained map of topography with scale 1:7,460. Based on map of topography and field visit to plot area of KUD Makarti member, there was was evident that the area are flat. There was no plantation with steep slope. As an effort to minimize surface run-off, farmer members consistently implementing frond stacking and the effort to minimize soil erosion was implemented.	
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.		
7.3.1 (M) 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).		
Requirement for Individual Member with up to 50ha of plantation size		Yes
Individual members shall demonstrate basic understanding of primary forest and HCV and the need to avoid clearing of such areas.	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members already understand the type of RTE species and how to protect them. They explained that hunting, trap and kill the wildlife is prohibited. The smallholder plantation area is origin from Government Program known as Transmigration Program since 1994. All the members has had land certificate known as "Sertipikat Hak Milik". The oldest planting year is 1996, therefore no new planting is available in KUD Makarti.	
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.	HCV assessment of KUD Makarti has been conducted by independent party SNV Netherland Development Organisation on Januari 2019 (ground verification) and May 2019 (finalization report). The HCV assessment led by Mr. Adhe Ferdiansyah. "Laporan Penilaian NKT di Areal Usaha Perkebunan Sawit Petani Swadaya KUD Makarti, Desa Sidomukti, Kec. Sungai Gelam, Kab. Muaro Jambi", May 2019. Based on HCV identification report, there is no HCV area were identified. Group Manager has established decree as per "SK Nomor: 13/SK/ICS/KUD-MKT/IV/2019", dated 8 April 2019. This decree related Commitment of Group Manager on Policy of No Fire, No Peat, No Forest and No Conflict.	Yes
7.3.2 (M) 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.		
Requirement for Individual Member with up to 50ha of plantation size		Yes

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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.	The smallholder plantation area is origin from Government Program known as Transmigration Program since 1994. All the members has had land certificate known as "Sertipikat Hak Milik". Group Manager has overlaying map between Smallholders area with Forest Area Status of Jambi Province, Scale 1:12,573. This map produced by SNV Indonesia (independent party who made HCV assessment report). Based on map, there is no primary forest identified. Based on ground check, there is no new planting or expansion area of smallholders block.	
Requirement for Group Manager		
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).	The smallholder plantation area is origin from Government Program known as Transmigration Program since 1994. All the members has had land certificate known as "Sertipikat Hak Milik". HCV assessment of KUD Makarti has been conducted by independent party SNV Netherland Development Organisation on Januari 2019 (ground verification) and May 2019 (finalization report). The HCV assessment led by Mr. Adhe Ferdiansyah.	
7.3.3 Dates of land preparation and commencement shall be recorded.		
Requirement for Individual Member with up to 50ha of plantation size		
Individual members shall participate in the HCV assessment.	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members are clearly stated that during HCV assessment in January 2019, all farmers are involved.	Yes
Requirement for Group Manager		
The Group Manager shall develop SOPs for recording land preparation and commencement of farms by individual members.	Group Manager has established procedure "SOP No: 35/SOP-KUD-MKRSM/IV/2019", dated 3 rd April 2019. This procedure related Land Preparation and Replanting Oil Palm. Based on ground check, there is no new planting or expansion area of smallholders block.	
The Group Manager shall collate dates of land preparation and commencement of individual farms.	There is no new planting in KUD Makarti. Planting year 1996.	
7.3.4 (M) 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).		
Requirement for Individual Member with up to 50ha of plantation size		
Individual members shall be involved in the implementation of the HCV management and monitoring plan (to maintain and/or enhance HCVs).	Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members can explain the type of RTE species and how to protect them. If farmers found or seen the RTE species in their farm, they will report to ICS and filing "Form Lembar Validasi HCV Petani KUD Makarti". This is one of appropriate measure for implementing HCV management plan.	Yes
Requirement for Group Manager		

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<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>Regular programme to educate smallholder members about the status of RTE species are established by Group Manager for year 2020. Evidence seen for HCV training program "Program Kerja NKT Tahun 2019", dated 5th January 2019 containing:</p> <ol style="list-style-type: none"> 1. Developing procedure of HCV (Jan, Feb 2019) 2. HCV Training (Jul, Aug 2019) – target participant 200 individual members. 3. Internal assessment HCV (Mar 2019) 4. Installation of HCV warning sign (Nov, Dec 2019) <p>Actual training on HCV and RTE species has been conducted on 7-10 August 2019. Total individual members are 185 members attended training, 5 cooperative employees and one FFB transport provider. Group Manager establish these applicable procedure to protect RTE species and riparian areas.</p> <ul style="list-style-type: none"> ➤ Protection of RTE species: "SOP Perlindungan Satwa Liar atau Langka No: 38/SOP-KUD-MKRSM/IV/2019" dated 3rd April 2019. ➤ Management Conflict of Human and Wildlife: "SOP Penanganan Konflik Manusia dan Satwa Liar No: 36/SOP-KUD-MKRSM/IV/2019", dated 3rd April 2019. ➤ Water Management and Water Course: "SOP Pengelolaan Air dan Sumber Air No: 23/SOP-KUD-MKRSM/IV/2019", dated 3rd April 2019. 	
<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>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Yes</p>
<p>Individual members shall record dates of land preparation and commencement of their own farm.</p>	<p>The smallholder plantation area is origin from Government Program known as Transmigration Program since 1994. Land preparation is assisted by PT. Bahari Gembira Ria with smallholder scheme program in that time. Record dates of land preparation is obsolete and kept by PT. Bahari Gembira Ria.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall implement a mechanism for individual members to report on threats to HCVs.</p>	<p>Based on field interview with sample of individual smallholder at Group Members KT. Sri Rejeki B (ID MKT.07.012; MKT.07.010; MKT.07.014; MKT.07.016), KT. Sumber Tani B (MKT.10.014; MKT.10.013) and KT. Barokah (MKT.11.019), individual members are clearly stated that during HCV assessment in January 2019, all farmers are involved. Also, they are attending and giving input through filling the questionnaire to identify whether or not that HCV are presence in their field. If farmers found or seen the RTE species in their farm, they will report to ICS and filing "Form Lembar Validasi HCV Petani KUD Makarti".</p>	
<p>The Group Manager conducts training for their individual members and their workers about the status of HCV.</p>	<p>Actual training on HCV and RTE species has been conducted on 7-10 August 2019. Total individual members are 185 members attended training, 5 cooperative employees and one FFB transport provider.</p>	
<p>Criterion 7.4 Extensive planting on steep terrain, and/or marginal and fragile soils, including peat, is avoided.</p>		
<p>7.4.1 Maps identifying marginal and fragile soils, including excessive gradients and peat soils, shall be available and used to identify areas to be avoided</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Yes</p>

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Individuals' members can show appropriate understanding of marginal and fragile soil, to be consistent with group SOP	The result of soils classified as <i>ultisol</i> : low pH, sandy loam to loamy clay soils, low available P, low to very low N and exchangeable K and Mg and low cation exchange capacity. Fertilizer response on KUD Makarti soil as is likely if properly fertilised. Management strategy for those sandy soils in KUD Makarti consistently implemented frond stacking, avoid blanket spraying and maintain ground cover.	
Requirement for Group Manager		
Group Manager shall: • 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. • provide required information and or training for individual members	The result of soils classified as <i>ultisol</i> : low pH, sandy loam to loamy clay soils, low available P, low to very low N and exchangeable K and Mg and low cation exchange capacity. Fertilizer response on KUD Makarti soil as is likely if properly fertilised. Management strategy for those sandy soils in KUD Makarti consistently implemented frond stacking, avoid blanket spraying and maintain ground cover.	
7.4.2 (M) 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		Yes
Individuals' members can show appropriate understanding of marginal and fragile soil, to be consistent with group SOP	There is no marginal soil in KUD Makarti. The result of soils classified as <i>ultisol</i> : low pH, sandy loam to loamy clay soils, low available P, low to very low N and exchangeable K and Mg and low cation exchange capacity. Fertilizer response on KUD Makarti soil as is likely if properly fertilised. Management strategy for those sandy soils in KUD Makarti consistently implemented frond stacking, avoid blanket spraying and maintain ground cover.	
Requirement for Group Manager		
The Group Manager maintains and oversees plans for new development based on overall soil map.	The result of soils classified as <i>ultisol</i> : low pH, sandy loam to loamy clay soils, low available P, low to very low N and exchangeable K and Mg and low cation exchange capacity. Fertilizer response on KUD Makarti soil as is likely if properly fertilised. Management strategy for those sandy soils in KUD Makarti consistently implemented frond stacking, avoid blanket spraying and maintain ground cover.	
Criterion 7.5 No new plantings are established on local peoples' land where it can be demonstrated that there are legal, customary or user rights, without their free, prior and informed consent. This is dealt with through a documented system that enables these and other stakeholders to express their views through their own representative institutions.		
7.5.1 (M) 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.		
Requirement for Individual Member with up to 50ha of plantation size		Yes
N/A	N/A	
Requirement for Group Manager		

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<p>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>	<p>There is no new planting in KUD Makarti. Planting year 1996. Group Manager KUD Makarti established "Standar Operasional Prosedur FPIC dalam Pembangunan Kebun No.33/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The procedure explains FPIC in smallholder context.</p> <p>Group Manager KUD Makarti established "Standar Operasional Prosedur Pengalihan Hak Legal No.29/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The procedure states transfer of land ownership/customary must clean and clear legally and no conflict; transfer of land ownership/customary must be completed with Notary and/or witnessed; transfer of land ownership/customary must have no coercion/use of force; compensation of transfer of land ownership/customary based on each party agreement; transfer of land ownership/customary must be inform to KUD Makarti. All transfer of land ownership following the right and obligation to KUD Makarti therein.</p> <p>Group Manager KUD Makarti established "Standar Operasional Prosedur Evaluasi Aspek Legal No.72/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The procedure states transfer of land ownership must clean and clear legally; transfer of land ownership must have no conflict; transfer of land ownership must be inform to KUD Makarti. All transfer of land ownership following the right and obligation to KUD Makarti therein. Evaluation of transfer on land ownership carried out once per annum.</p> <p>Group Manager KUD Makarti has disseminated the policy related to FPIC – on 8 July 2019. Documentary evidence Minutes of meeting "Notulen Sosialisasi SOP, Surat Keputusan dan Kebijakan", dated 8 July 2019; smallholder member present: Agus Setiawan, Tukimin, Subagyo, Amatiran, Misran, Suparjo, Slamet Pujiyanto, Kuwat, Khususiah/Abdul Sakur, Acah Nurmala, Wakidi, Marjoni, etc.</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>There is no new planting in KUD Makarti. Planting year 1996.</p>	
<p>Criterion 7.6 Where it can be demonstrated that local peoples have legal, customary or user rights, they are compensated for any agreed land acquisitions and relinquishment of rights, subject to their free, prior and informed consent and negotiated agreements.</p>		
<p>7.6.1 (M) 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>N/A (Not Applicable)</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</p>	<p>There is no new planting in KUD Makarti. Planting year 1996.</p>	
<p>7.6.2 (M) A system for identifying people entitled to compensation shall be in place</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Yes</p>
<p>N/A</p>	<p>N/A</p>	
<p>Requirement for Group Manager</p>		

Establish a procedure for identifying people entitled to compensation	<p>There is no new planting in KUD Makarti. Planting year 1996. Group Manager KUD Makarti established "Standar Operasional Prosedur Pengalihan Hak Legal No.29/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The procedure states transfer of land ownership/customary must clean and clear legally and no conflict; transfer of land ownership/customary must be completed with Notary and/or witnessed; transfer of land ownership/customary must have no coercion/use of force; compensation of transfer of land ownership/customary based on each party agreement; transfer of land ownership/customary must be inform to KUD Makarti. All transfer of land ownership following the right and obligation to KUD Makarti therein.</p> <p>Group Manager KUD Makarti has disseminated the policy related to compensation – on 8 July 2019. Documentary evidence Minutes of meeting "Notulen Sosialisasi SOP, Surat Keputusan dan Kebijakan", dated 8 July 2019; smallholder member present: Agus Setiawan, Tukimin, Subagyo, Amatiran, Misran, Suparjo, Slamet Pujiyanto, Kuwat, Khususiah/Abdul Sakur, Acah Nurmala, Wakidi, Marjoni, etc.</p>	
7.6.3 (M) 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		Yes
N/A		
Requirement for Group Manager		
The Group Manager shall: Establish a procedure for calculating and distributing fair compensation	<p>There is no new planting in KUD Makarti. Planting year 1996. Group Manager KUD Makarti established "Standar Operasional Prosedur Pengalihan Hak Legal No.29/SOP-KUD-MKRSM/IV/2019" dated 3 April 2019. The procedure states transfer of land ownership/customary must clean and clear legally and no conflict; transfer of land ownership/customary must be completed with Notary and/or witnessed; transfer of land ownership/customary must have no coercion/use of force; compensation of transfer of land ownership/customary based on each party agreement; transfer of land ownership/customary must be inform to KUD Makarti. All transfer of land ownership following the right and obligation to KUD Makarti therein.</p> <p>Group Manager KUD Makarti has disseminated the policy related to compensation – on 8 July 2019. Documentary evidence Minutes of meeting "Notulen Sosialisasi SOP, Surat Keputusan dan Kebijakan", dated 8 July 2019; smallholder member present: Agus Setiawan, Tukimin, Subagyo, Amatiran, Misran, Suparjo, Slamet Pujiyanto, Kuwat, Khususiah/Abdul Sakur, Acah Nurmala, Wakidi, Marjoni, etc.</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 (Not Applicable)
N/A		
Requirement for Group Manager		
N/A		
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		Yes

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<p>Individual members shall retain copies of the documentary evidence of the process and outcome of compensation claims.</p>	<p>There is no new planting in KUD Makarti. Planting year 1996. In KUD Makarti's smallholder member, there is no more land compensation. The latest transfer of land ownership more on transactional/sale-purchase between community member.</p> <ul style="list-style-type: none"> - Subagyo (MKT.01.002) "Sertifikat Hak Milik No.2052, Desa Petaling Jaya, atas nama Karjo Warsi, luas 20,000 m²" dated 7 August 2003. Based on "Surat Ukur No.434/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Karjo Warsi to Subagio dated 10 March 2008 – signed by both parties and witnessed by village authorities and neighboring boundary. - Awijaya (MKT.06.028) "Sertifikat Hak Milik No.2130, Desa Petaling Jaya, atas nama Muchlis, luas 20,180 m²" dated 7 August 2003. Based on "Surat Ukur No.512/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Muchlis to Awijaya dated 4 June 2013- – signed by both parties and witnessed by village authorities and neighboring boundary. - Sukamto (MKT.11.019) "Sertifikat Hak Milik No.838, Desa Petaling Jaya, atas nama Mimbar, luas 10,350 m²" dated 17 December 1990. Based on "Surat Ukur No.668/90 dated 19 February 1990. Transfer of ownership from Mimbar to Sukamto dated 16 December 2002 – signed by both parties and witnessed by village authorities and neighboring boundary. 	
<p>Requirement for Group Manager</p>		
<p>Document the process and outcome of any compensation claims and make publicly available</p>	<p>There is no new planting in KUD Makarti. Planting year 1996. In KUD Makarti's smallholder member, there is no more land compensation. The latest transfer of land ownership more on transactional/sale-purchase between community member.</p> <ul style="list-style-type: none"> - Subagyo (MKT.01.002) "Sertifikat Hak Milik No.2052, Desa Petaling Jaya, atas nama Karjo Warsi, luas 20,000 m²" dated 7 August 2003. Based on "Surat Ukur No.434/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Karjo Warsi to Subagio dated 10 March 2008 – signed by both parties and witnessed by village authorities and neighboring boundary. - Awijaya (MKT.06.028) "Sertifikat Hak Milik No.2130, Desa Petaling Jaya, atas nama Muchlis, luas 20,180 m²" dated 7 August 2003. Based on "Surat Ukur No.512/Petaling Jaya/2003 dated 4 August 2003. Transfer of ownership from Muchlis to Awijaya dated 4 June 2013- – signed by both parties and witnessed by village authorities and neighboring boundary. - Sukamto (MKT.11.019) "Sertifikat Hak Milik No.838, Desa Petaling Jaya, atas nama Mimbar, luas 10,350 m²" dated 17 December 1990. Based on "Surat Ukur No.668/90 dated 19 February 1990. Transfer of ownership from Mimbar to Sukamto dated 16 December 2002 – signed by both parties and witnessed by village authorities and neighboring boundary. 	
<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.</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>(Not</p>
<p>Requirement for Group Manager</p>		<p>Applicable)</p>

<p>Have documentary evidence that the affected communities and right holders have been informed that they have the right to access information and advice that is independent of the project proponent, concerning the legal, economic, environmental and social implications of the proposed operations on their lands.</p>	<p>There is no new planting in KUD Makarti. Planting year 1996.</p>	
<p>Criterion 7.7 No use of fire in the preparation of new plantings other than in specific situations, as identified in the ASEAN guidelines or other regional best practice.</p>		
<p>7.7.1 (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.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Yes</p>
<p>Individual members shall provide evidence that they understand the No Burning Policy of the group</p>	<p>Group Manager of KUD Makarti has established the procedure of land clearing "Prosedur Pembukaan Lahan Kelapa Sawit No.20/SOP-KUD-MKRSM/IV/2019", in point 3 was mentioned "commitment to zero burning on land clearing or preparation". KUD Makarti has also established the Policy No.13/SK/ICS/KUD-MKT/IV/2019 related to zero burning policy, no peat, no forest and no conflict Based on field visit there were no evidence of any kind of burning was noticed.</p>	
<p>Requirement for Group Manager</p>		
<p>The Group Manager shall: ▪ 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.</p>	<p>KUD Makarti has also established the Policy No.13/SK/ICS/KUD-MKT/IV/2019 related to zero burning policy, no peat, no forest and no conflict. Based on field visit there were no evidence of any kind of burning was noticed.</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>Yes</p>
<p>Individual members shall provide proposals for use of fire to the Group Manager for assessment and approval prior to burning.</p>	<p>Based on field visit there were no evidence of any kind of burning was noticed.</p>	
<p>Requirement for Group Manager</p>		

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<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>KUD Makarti has also established the Policy No.13/SK/ICS/KUD-MKT/IV/2019 related to zero burning policy, no peat, no forest and no conflict. Based on field visit there were no evidence of any kind of burning was noticed.</p>	
<p>Criterion 7.8 New plantation developments are designed to minimise net greenhouse gas emissions. Note on smallholder context: The RSPO Emissions Reduction Working Group (ERWG) and the RSPO SHWG agree that there should be a simplified mechanism for smallholders for compliance on the GHG matters and that smallholders should not be overburdened due to their limited capacity. Further details will be developed.</p>		
<p>7.8.1 (M) The carbon stock of the proposed development area and major potential sources of emissions that may result directly from the development shall be identified and estimated.</p>		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Yes</p>
<p>Individual members shall be able to explain how you know where not to plant.</p>	<p>Group Manager of KUD Makarti has shown a document “Identifikasi Limbah dan Sumber-Sumber Polusi”, updated on 10th March 2019 which mention the identification of pollution and green house gas source emission, covering:</p> <ul style="list-style-type: none"> • Fertilizing : Fertilizer volume usage • Spraying activity: Agrochemical volume usage; • Transportation: Fossil fuel volume usage; 	
<p>Requirement for Group Manager</p>		
<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 of KUD Makarti has kept and maintained map of topography with scale 1:7,460. Based on map of topography and field visit to plot area of KUD Makarti member, there was was evident that the area are flat. There was no plantation with steep slope.</p>	
<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 of KUD Makarti has prepared plan for improving efficiency of the use of fossil fuels and to optimise renewable energy as in “Pedoman Pemanfaatan dan Efisiensi Sumber Emisi”, up dated on 16th January 2019, consist of:</p> <ul style="list-style-type: none"> • Fossil fuel usage as per needs or necessity • Performed efficiency of fossil fuel by control the fossil fuel usage for FFB transportation • Conducting regular maintenance for truck machine; 	
<p>Groups will need to report confidentially to the RSPO on actions taken to minimise net GHG emission from new plantation development. After 31. December 2016 these documents will need to be publicly available and linked to 1.2 & 5.6</p>	<p>Group Manager of KUD Makarti has prepared plan for improving efficiency of the use of fossil fuels and to optimise renewable energy as in “Pedoman Pemanfaatan dan Efisiensi Sumber Emisi”, up dated on 16th January 2019, consist of:</p> <ul style="list-style-type: none"> • Fossil fuel usage as per needs or necessity • Performed efficiency of fossil fuel by control the fossil fuel usage for FFB transportation • Conducting regular maintenance for truck machine; 	

Criterion / Indicator	Assessment Findings	Compliance
<p>Principle 8: Commitment to continual improvement in key areas of activity</p>		

Criterion / Indicator	Assessment Findings	Compliance
<p>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>		
<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. 		
<p>Requirement for Individual Member with up to 50ha of plantation size</p>		<p>Yes</p>
<p>Members shall provide inputs to the Group Action Plan for continual improvement.</p>	<p>Individual member has demonstrated on provide inputs to the Group Action plan for continual improvement that was documented at "Laporan Pertanggungjawaban Pengurus Koperasi Unit Desa – Makarti", year 2018 dated 23rd November 2019.</p> <p>The agenda on Annual Meeting, i.e:</p> <ul style="list-style-type: none"> - Performance report year 2018 by Mangement of KUD - Discution of annual program year 2019 - Assigment the Managent and Monitoring Board of KUD Makarti year 2019 to 2021. 	
<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>Individual member has demonstrated the record of fertilizer applicocation, program year 2019 has demonstrated as per "Data Pemupukan Petani 2019". Sample seen:</p> <ul style="list-style-type: none"> • Mr Subayo (KT Harapan Jaya); urea applied in February 2019 (300 kg), KCL applied in May 2019 (300 Kg) and EFB (500 Kg). • Mr Agus Setiawan (KT Sido Maju), KCL applied in March 2019 (550 Kg), Gajak- organic applied in May 2019 (650 Kg) and TSP 46 applied in July 2019 (600 Kg) • Mr Sukamto (KT Barokah), Urea applied in February 2019 (300 Kg), TSP 46 applied in June 2019 (300 Kg) • Mr Awijaya (KT Sri Rejeki), Urea applied in February 2019 (150 Kg), Gajak-organic applied in March (10,200 Kg), KCL applied in May 2019 (300 Kg) and Granular applied in September 2019 (500 Kg) • Mr Budi Santoso (KT Sri Rejeki), KCL applied in March 2019 (600 Kg) • Mr Wakidi (KT Sumber Tani B), Gajak-organic applied in March 2019 (600 Kg) and Urea applied in May 2019 (600 Kg). <p>The record of FFB production has provided at payslip for each individual member.</p> <p>Total of production of FFB year 2019 in KUD Makarti is 8,269,528 Kg.</p>	
<p>Discuss with the Group Manager the timing of the replanting programme.</p>	<p>There is no replanting activities until this initial audit, the fastest replanting activity will be conducted in 2027.</p> <p>Replanting program has provided under document of "Rencana Replanting"</p>	
<p>Requirement for Group Manager</p>		

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Criterion / Indicator	Assessment Findings	Compliance
<p>Group Managers shall record information on environmental impacts, waste reduction, pollution & GHG and social impacts.</p>	<p>Group Manager of KUD Makarti has shown a document "Identifikasi Limbah dan Sumber-Sumber Polusi", updated on 10th March 2019 which mention the identification of pollution and green house gas source emission, covering:</p> <ul style="list-style-type: none"> • Fertilizing : Fertilizer volume usage • Spraying activity: Agrochemical volume usage; • Transportation: Fossil fuel volume usage; <p>KUD Makarti has also prepared a plan for improving efficiency of the use of fossil fuels and to optimise renewable energy as in "Rencana Peningkatan dan Pemantauan Efisiensi Penggunaan Bahan Bakar Fosil", updated on 17th March 2019, consist of:</p> <ul style="list-style-type: none"> • In 2019 - fossil fuel usage as per needs or necessity is 6,483 liters, total production of FFB is 8,269,528 Kg. • Performed efficiency of fossil fuel by control the fossil fuel usage for FFB transportation – shown as per graphic of fuels consumption year 2019. • Conducting regular maintenance for truck machine; 	
<p>Group Managers shall periodically (e.g. quarterly) collate the records of individual members.</p>	<p>Group Manager prepares "Standar Operasional Prosedur Pengelolaan Dokumen No.44/SOP-KUD-MKRSM/IV/2019".</p> <p>Group manager completed a profile of all individual members and their credentials:</p> <ul style="list-style-type: none"> - List of names and full contact details of group members: individual member name/name as per land certificate, home address. - Location maps: map of each individual member within their KT/farmer group. Oil palm hectarge saved on separate file. - Land titles: in form of SHM and/or SKT - A copy of the signed declaration of the grower becoming a member of the group including the date: in form of "Formulir Anggota" – membership form/application, and "Surat Kesediaan Ikut Sertifikasi RSPO" – Joining RSPO certification statement; for all individual member. - Unique member registration numbers are assigned to individual members: in form of "Formulir Anggota" – membership form/application, and "Surat Kesediaan Ikut Sertifikasi RSPO" – Joining RSPO certification statement; for all individual member. - The date that the member signed the declaration of intent as stated in the Group Membership Requirements: in form of "Surat Kesediaan Ikut Sertifikasi RSPO" – Joining RSPO certification statement. The statement including date of join; for all individual member - Date of leaving the Group if applicable and the reasons why: form available, none leaving as of audit. - Projected and actual FFB production in metric tonnes per annum: prepared as annual business plan. - Monitoring and training records: maintained as per indicator 4.8. - Any corrective actions raised and actions taken to meet the requirements for compliance: maintain as part of internal audit record. 	

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Criterion / Indicator	Assessment Findings	Compliance
<p>Group Managers shall facilitate the development of the Group Action Plan through an annual group meeting.</p>	<p>KUD Makarti chairman carried out Annual group meeting: "Rapat Anggota Tahunan" annual member meeting, as recorded under "Berita Acara Rapat Anggota Tahunan KUD Makarti tahun Buku 2018, Desa Sidomukti" dated 23 February 2019. The meeting attended by all member.</p> <p>KUD Makarti prepares and distributed copy of all of the organization policies and SOP to all smallholder members. The distribution minutes dated 13 August 2019.</p>	
<p>Group Managers shall be responsible for the continuous improvement in key operations.</p>	<p>Internal audit 2019 record for all members are maintained. Internal audit checklist "Pertanyaan Audit Internal" under name Khususiah/Abdul Sakur (MKT.05.004), internal auditor Usman; dated 7 July 2019; "Pertanyaan Audit Internal" under name Eni Setyaningsih (MKT.04.019), internal auditor Hadi Ismanto; dated 13 July 2019. "Pertanyaan Audit Internal" under name Awijaya (MKT.06.028), internal auditor Usman; dated 26 August 2019.</p> <p>This including correction and corrective action for responding to external audit by certification body.</p>	

Appendix B: Approved Time Bound Plan

N/A (Not Applicable)

Appendix C: GHG Reporting Executive Summary

N/A (Not Applicable)

Appendix D: Supply Chain Declaration

A. Monthly Records of Certified and Uncertified FFB Received since the last audit*				
No.	Month - Year	Volume of FFB from certified supply bases (mt)	Volume of FFB from uncertified supply bases (mt)	Total FFB/Month (mt)
	N/A			

Note:
**) This is initial assessment, there is no Certified and Uncertified FFB Received since the last audit.*

B. Monthly Records of Certified CPO & PK since the last audit			
No.	Month - Year	Certified CPO (mt)	Certified PK (mt)
	N/A		

Note:
**) This is initial assessment, there is no Certified CPO & PK since the last audit.*

C. Records of Certified CPO & PK Sold under PalmTrace to Buyers since the last audit (if any)				
No.	Buyers Name	Palmtrace Trading License Number	Certified CPO Sold (mt)	Certified PK Sold (mt)
	N/A			

Note:
**) This is initial assessment, there is no Certified CPO & PK Sold under PalmTrace to Buyers since the last audit.*

D. Records of CPO & PK Sold under other schemes to Buyers since the last audit (if any)				
No.	Buyers Name	Scheme Name	CPO Sold (mt)	PK Sold (mt)
	N/A			

Note:
**) This is initial assessment, there is no CPO & PK Sold under other schemes to Buyers since the last audit.*

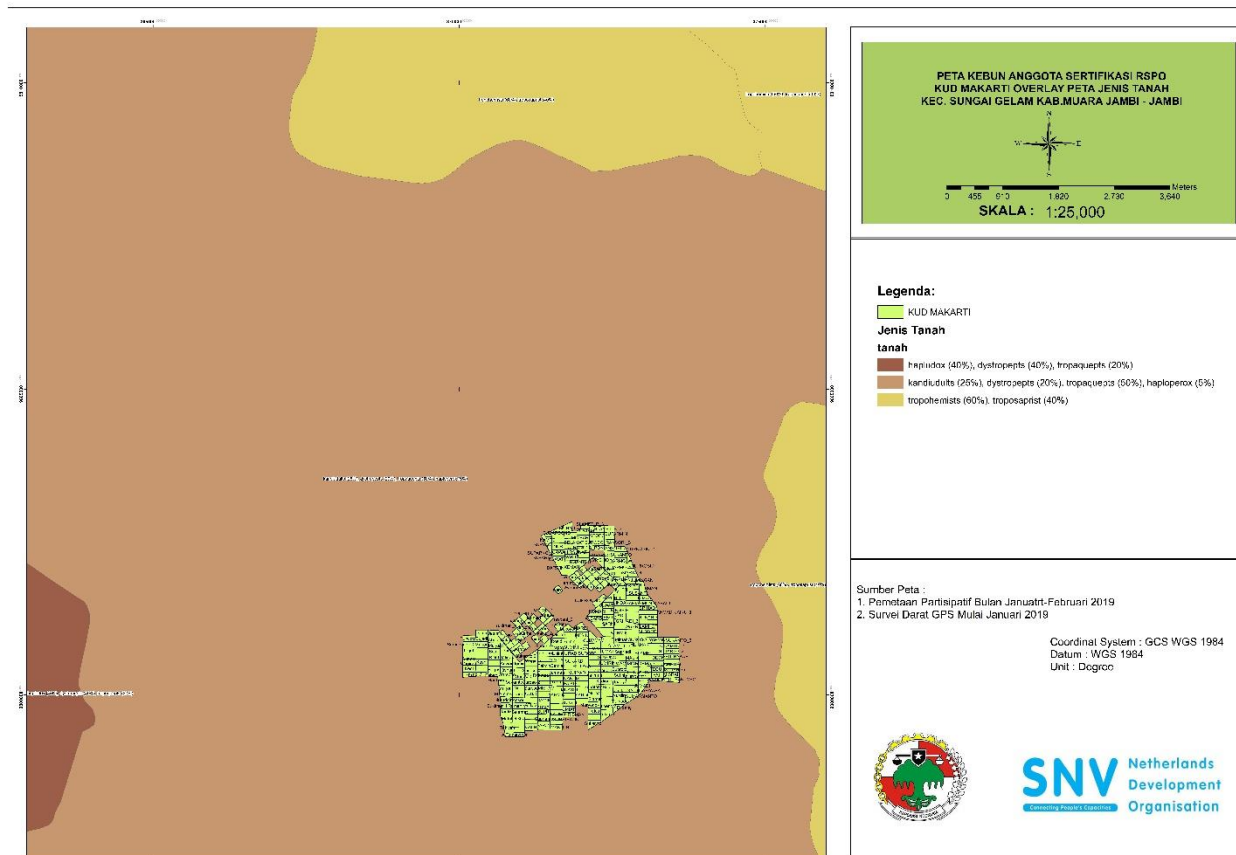
E. Records of CPO & PK Sold as conventional to Buyers since the last audit (if any)			
No.	Buyers Name	CPO Sold (mt)	PK Sold (mt)
	N/A		

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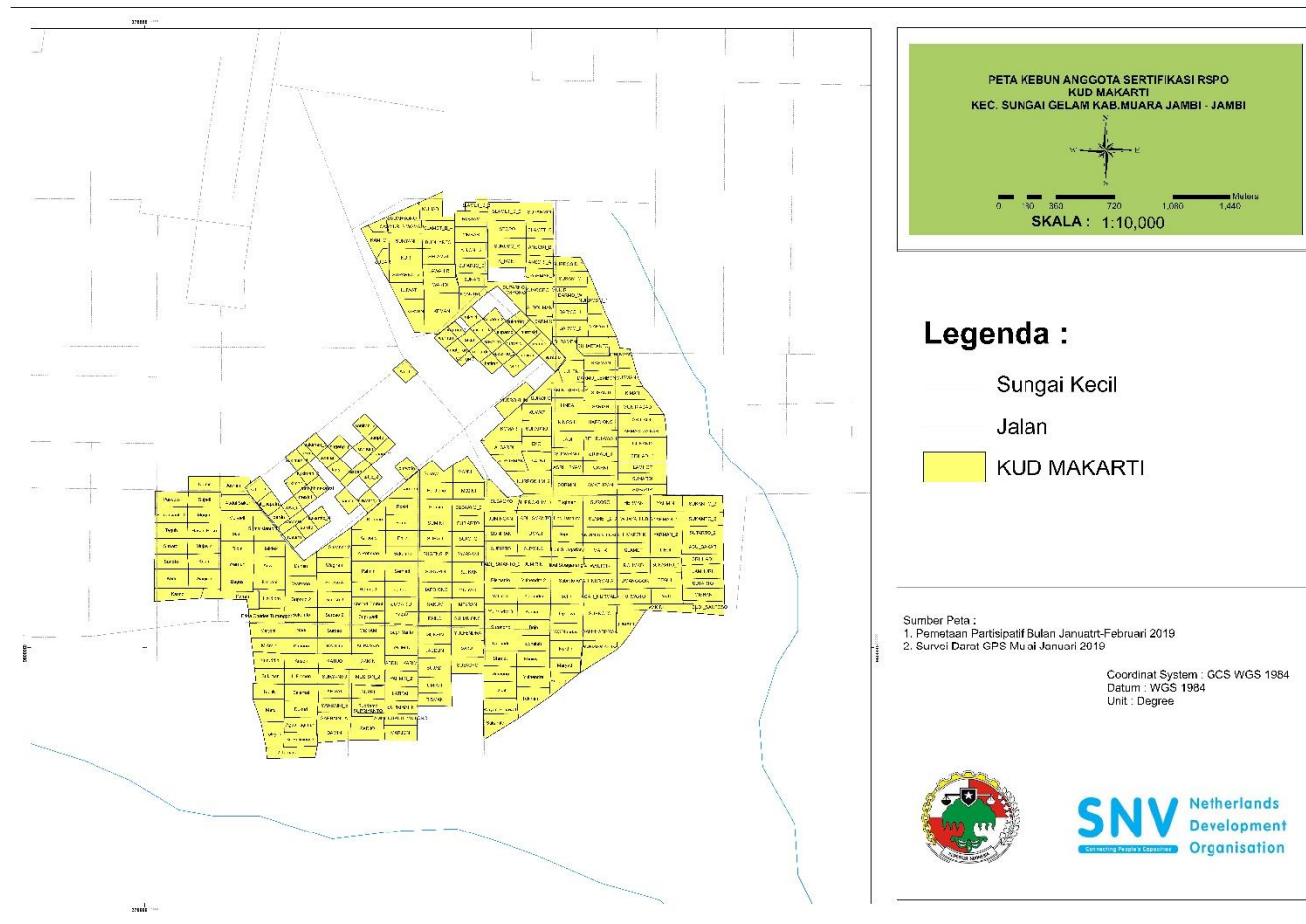
Note: <i>*) This is initial assessment, there is no CPO & PK Sold as conventional to Buyers since the last audit.</i>			

F. Records of Certified CPO Sold under RSPO Credits to Buyers since the last audit (if any)			
No.	Buyers Name	PalmTrace Trading License Number	RSPO Credits of Certified CPO Sold (mt)
	N/A		
Note: <i>*) This is initial assessment, there is no Certified CPO Sold under RSPO Credits to Buyers since the last audit.</i>			

Appendix E: Location Map of Certification Unit and Supply bases



Appendix F: Estate Field Map



Appendix G: List of Smallholder Sampled

Smallholder ID No.	Name	Planting Year	Hectarage
MKT.01.002	SUBAGYO	1996	2.00
MKT.02.001	SUPARJO	1996	2.00
MKT.02.010	MARJONI	1996	1.99
MKT.02.017	BASMIN	1996	2.08
MKT.04.002	AGUS SETIAWAN	1996	1.96
MKT.04.017	ENI SETIYANINGSIH	1996	1.87
MKT.05.003	ABDUL SAKUR	1996	2.00
MKT.05.007	PAIMIN	1996	2.02
MKT.06.002	AMAT IRAN	1996	1.99
MKT.06.005	ACAH NURMALA	1996	1.98
MKT.06.008	SLAMET PUJIANTO	1996	2.00
MKT.06.014	ABDUL MALIK	1996	2.00
MKT.06.028	AWIJAYA	1996	1.99
MKT.07.009	DAUD	1996	1.96
MKT.07.012	DWI PUSPASARI	1996	1.96
MKT.07.014	MISLAN	1996	2.04
MKT.07.016	BUDI SANTOSO	1996	2.01
MKT.10.013	WAKIDI	1996	2.01
MKT.10.014	KUWAT	1996	1.91
MKT.11.014	AMAT IRAN	2000	1.00
MKT.11.019	SUKAMTO	2001	1.00

Appendix H: 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