

# **National Interpretation RSPO Principles & Criteria for Sustainable Palm Oil Production**

**For Independent Smallholders  
Republic of Indonesia**

**Approved document**

## Introduction

### Independent Smallholders

In general the various palm oil smallholders could be grouped into scheme and independent smallholders. Scheme smallholders are related by structure and fund to estates or oil palm factory as the scheme managers. Scheme smallholders do not have the right to choose which commodity to grow and planting material, technology and management to be applied as well as institution are directed by the supervising estates or factory. On the other hand, independent smallholders have the freedom to choose which commodity, could do their own management, organized themselves, self support in funding, do their own marketing, and are not related to any estate or factory. Independent smallholders could receive direction and support from the government through dissemination program.

There are palm oil plantations with more than 25 ha area but not managed as large plantation because considered not economic. This kind of plantation according to the regulation in Indonesia is not considered as smallholder, but INA-SWG suggests to be certified in RSPO Group Certification System for farmers.

Related to the RSPO certification system, scheme smallholders are certified according to the estate system of the nucleus estate but using the National Interpretation RSPO Principles and Criteria for Sustainable Palm Oil Production, Scheme Smallholders, Republic of Indonesia. The independent smallholders are certified using **RSPO Standard for Group Certification System** using RSPO Principles and Criteria for Sustainable Palm Oil Production, Independent Smallholders.

### Indonesian Smallholder Working Group (INA-SWG)

Indonesian Smallholder Working Group (INA-SWG) was established on January 18<sup>th</sup>, 2007. INA-SWG members are parties involved and/or have relationship with palm oil smallholders, including some scheme and independent smallholders. INA-SWG was established to prepare and test the National Interpretation RSPO Principles & Criteria (P&C) for palm oil smallholders in Indonesia, without that mentioned document the certification of farmers as sustainable palm oil producer will be impossible.

INA-SWG has prepared the Principle & Criteria Draft for scheme and independent smallholders on May 2007 from the draft made by the Indonesian Palm Oil Commission. The document was prepared from the generic RSPO P&C and generic guidance for smallholders made by the RSPO Taskforce on Smallholder. The compilation of national interpretation was done concerning current Indonesian law and regulation, the characteristics of scheme or independent smallholders, and the social impact which might rise on its implementation. The draft has gone through five direct INA-SWG meetings started on May 7<sup>th</sup>, 2007 until June 29<sup>th</sup>, 2007 and completed with indicators on the August 7-8<sup>th</sup> 2007 meeting. The improved draft was tested in a scheme and independent smallholder plantation in the provinces of Riau,

South Sumatera, West Kalimantan, and East Kalimantan. Draft was modified after the field test and followed by a public consultation on November 12<sup>th</sup>, 2007. The draft was re-improved on December 2007 based on inputs from the public consultation and the final draft was sent to be approved by RSPO.

### **Harmonization process of the draft P&C for Independent Smallholders with the 4<sup>th</sup> draft Generic Guidance on Independent Smallholder**

The final draft of national interpretation for Indonesian independent smallholders (INA-NI) that has been sent to the RSPO Secretariate was harmonized with the 4<sup>th</sup> draft Generic Guidance on Smallholder prepared by Task Force on Smallholder. The Steering Group Task Force on Smallholder (SG-TFS) meeting was held from April 23-25<sup>th</sup> 2009, attended by representatives from INA-SWG, farmers' group from MY-SWG and PNG-WG, to discuss harmonization of NIs with the Generic Guidance on Smallholder. Prior to the meeting, ProForest was appointed by RSPO Executive Board to review each NIs from Indonesia, Malaysia and PNG against 3<sup>rd</sup> draft of Generic Guidance for Smallholders, of which the results were then discussed at the meeting. In the meeting the Draft 3 which contains generic guidance for scheme and independent smallholders was revised to the 4<sup>th</sup> Draft Generic Guidance for Scheme Smallholders. Unlike the 3<sup>rd</sup> draft, the 4<sup>th</sup> draft focuses only on scheme smallholders. The 4<sup>th</sup> Draft was endorsed as Generic RSPO Principles & Criteria for Sustainable Palm Oil Production for Scheme Smallholders. A generic guidance on independent smallholders and principles and criteria for independent smallholders will be developed separately.

Starting from the SG-TFS meeting mentioned, INA-SWG held a meeting on May 13<sup>th</sup>, 2009 to discuss the ProForest review result and consider the change of Draft 4 Generic Guidance for Scheme Smallholder and separate the draft Principle and Criteria for Scheme and Independent Smallholder. The result was Final Document INA-NI for Scheme Palm Oil Smallholders (harmonized with the 4<sup>th</sup> Draft of Generic Guidance) and Draft Principle and Criteria for Independent Smallholders. The final INA-NI for Scheme Palm Oil Smallholders had been approved into National Interpretation RSPO Principle and Criteria for Sustainable Palm Oil Production, Scheme Smallholders, Republic of Indonesia by the Executive Board of RSPO on November 5<sup>th</sup>, 2009.

The finishing of Principle & Criteria for Independent Palm Oil Smallholders was started by improving the final draft in three direct INA-SWG meetings and two public consultations from January – April 2010. It was improved again through harmonization with RSPO P&C for Sustainable Palm Oil Production (Including Indicators and Guidance, October 2007) and with RSPO Principles and Criteria for Sustainable Palm Oil Production, Guidance for Independent Smallholders (Consultation Draft), 15<sup>th</sup> March 2010. This final draft was posted on RSPO website for public consultation from May 15<sup>th</sup> – July 15<sup>th</sup>, 2010. On the INA-SWG meeting June 29<sup>th</sup>, 2010 an improvement was made, based on input received during the completion of final INA-NI draft for Indonesian Independent Palm Oil Smallholders which was sent to RSPO for approval.

### **Approval of the Principle and Criteria for Independent Smallholders**

The final draft of INA-NI for Independent Smallholders sent to RSPO was distributed to every member of the RSPO Executive Board as the discussion source in the Executive Board Meeting 8<sup>th</sup>-9<sup>th</sup> July, 2010. Finally the final draft obtained an approval from the RSPO Executive Board and an annex was attached. The annex was a Check List to Identify Environmental (HCV) and Social Impact in Smallholder Palm Oil Plantation. This check list is used to identify a simple environmental and social impact in smallholder palm oil plantation to meet the Principle and Criteria.

After the approval of the final draft by the RSPO Executive Board on the July 9<sup>th</sup>, 2010 meeting, legally Indonesia owns a National Interpretation RSPO Principle and Criteria for Sustainable Palm Oil Production, Independent Smallholders.

## PRINCIPLES AND CRITERIA FOR INDEPENDENT SMALLHOLDERS

### Principle 1 : Commitment to transparency

Criterion	National Indicator		Guidance
	Major	Minor	
<p><b>Criterion 1.1</b> Plantation and mills provide adequate information to other stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages &amp; forms to allow effective participation on decision making</p>	<p>1. Requests of information and responses given to stakeholders are recorded and maintained for a period determined by existing regulations and to serve its purpose</p>		<p>Smallholder gives constructive response to the information request from other stakeholders.</p> <p>See criterion 1.2 related to documents available to public.</p> <p>See criterion 6.2 related to consultation.</p> <p>Smallholder organization provides standard form for recording and reporting activities from its members.</p>
<p><b>Criterion 1.2</b> 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. Information and responses provided covers documents (that are publicly available) which shall be in accordance with current laws and regulations as follows:</p> <ul style="list-style-type: none"> <li>• Legal: Evidence of legal ownership of the land or land-use rights in the form of land certificate legalised by</li> </ul>	<p>1. Environment : Farmers' institution keeps an impact identification and effort to manage environment record</p>	<p>Information that should be publicly available include, but are not necessarily limited to:</p> <ul style="list-style-type: none"> <li>• land titles,</li> <li>• owner domicile,</li> <li>• size of landholding,</li> <li>• type of vegetation,</li> <li>• origin of seeds,</li> <li>• productivity,</li> </ul>

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	<p>authorized agency and there are no conflict in the land.</p> <ul style="list-style-type: none"> <li>. Social: smallholders organisation has documents of organisational and social activities.</li> <li>. Environment : smallholders organisation owns record on impact identification and plan of managing efforts.</li> </ul>		<ul style="list-style-type: none"> <li>• location of landholding</li> <li>• other information relevant to legal, environmental and social issues.</li> </ul> <p>Independent smallholders with land &lt; 25 ha shall have plantation business permit, after the guidance on the regulations is published.</p> <p>Independent smallholders are encouraged to own land ownership documents in the form of certificate (effort to land ownership certificate) or letter of customary law according to the current regulations.</p> <p>If the independent smallholder does not own a certificate, then other type of landholding legalized by authorized agency could be used, as long as there is no legal objection from other parties and not overlapped with protected forest or forest area.</p> <p>Authorized agency who declares that there is no conflict on landholding is the government in which the customary head is involved</p>



## Principle 2: Compliance with applicable laws and regulations

Criterion	National Indicator		Guidance
	Major	Minor	
<p><b>Criterion 2.1</b> There is compliance with all applicable ratified local, national and international laws and regulations.</p>	<ol style="list-style-type: none"> <li>1. Evidence of compliance with essential regulations relevant and related to oil palm cultivation.</li> <li>2. Evidence of smallholder organisation to make adjustment to regulation change.</li> </ol>	<ol style="list-style-type: none"> <li>1. Smallholder organisation has a mechanism to guarantee that law and regulation are implemented</li> </ol>	<p>Smallholders have the knowledge and obedient to important regulations relevant and related to the oil palm plantation.</p> <p>Smallholder organisation provides information on current important and relevant regulations and has a guidance that the regulations are in effect.</p> <p>For existing plantation, there are some exceptions, i.e. if the implementation of regulation could cause a great social impact (conflict), or the farmer's land is limited. If during replanting the great social conflict still exist an exception could be considered.</p>
<p><b>Criterion 2.2</b> The right to use the land can be demonstrated, and is not legitimately contested by local communities with demonstrable rights.</p>	<ol style="list-style-type: none"> <li>1. Smallholders are able to show legal ownership of the land or land-use rights.</li> </ol>	<ol style="list-style-type: none"> <li>1. Where there are or have been disputes, records of resolution or progress towards resolution are available.</li> <li>2. Evidence on land borders are marked clearly and maintained.</li> </ol>	<p>Information on the status of land title should be those at the time being or those in the process of acquiring legal ownership.</p> <p>Land ownership certificate do not overlap with protected area</p>

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			<p>(conservation or protected forest) or forest area in the area plan of the province or kabupaten, and do not overlap with other party ownership.</p> <p>The government (c.q BPN or Badan Planologi Kehutanan) should facilitate the land registration and mapping of customary land on each region according to current regulations.</p> <p>If independent smallholder does not have a certificate, other letter of land ownership from authorized agency or authentic evidence on the history of land ownership, is enough as long as there is no conflict.</p> <p>The smallholder organisation helps its member in administration to deal with legal land ownership documents.</p> <p>As the national spatial plan comes in effect in 2010, the regulation implication for smallholder also comes in effect in 2010.</p>

Criterion	National Indicator		Guidance
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<p><b>Criterion 2.3</b> Use of the land for oil palm does not diminish the legal rights, or customary rights, of other users, without their free, prior and informed consent.</p>	<p>1. Where other's customary or legally owned lands have been obtained, records of process and/or negotiated agreements between previous customary land owners and the smallholders are available and complemented with a sketch in appropriate scale.</p>		<p>Where lands are encumbered by legal or customary rights, the grower must demonstrate that these rights are understood and are not being threatened or reduced. This criterion should be considered in conjunction with criteria 6.4, 7.5 and 7.6.</p> <p>Where customary rights areas are unclear these are best established through participatory mapping exercises involving affected and neighbouring communities.</p> <p>This criterion allows for sales and negotiated agreements to compensate other users for lost benefits and/or relinquished rights.</p> <p>Negotiated agreements should be non-coercive and entered into voluntarily, carried out prior to new investments or operations and based on an open sharing of all relevant information in appropriate forms and languages.</p> <p>Adequate time must be given</p>

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			<p>for customary decision-making and iterative negotiations allowed for, where requested.</p> <p>Negotiated agreements should bind all parties and enforceable in the courts. Establishing certainty in land negotiations is of long-term benefit for all parties.</p>

### Principle 3 : Commitment to long-term economic and financial viability

Criterion	Indicator		Guidance
	Major	Minor	
<p><b>Criterion 3.1</b> There is an implemented management plan that aims to achieve long-term economic and financial viability.</p>	<p>1. A documented operational work plan for a minimum duration of one year.</p>	<p>1. A plan for replanting preparation is available.</p>	<p>Smallholder organisation should provide its members information and knowledge on:</p> <ul style="list-style-type: none"> <li>• Estimation on production</li> <li>• Access to new information and technology as well as market/price information</li> <li>• Factors affecting cost of production.</li> </ul> <p>Smallholders receive training services:</p> <ul style="list-style-type: none"> <li>• From related government agencies, extension service agencies, smallholders organisation, mills which purchase the FFB, supplier or other organisations such as NGOs.</li> <li>• Smallholders are facilitated by the government to a long term activities.</li> <li>• Smallholders organisation and extension service agencies should help distribute information and new technologies to support productivity increase.</li> <li>• Independent smallholders could</li> </ul>

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			<p>use the guidance in <b>Buku Pedoman Teknis Budidaya Kelapa Sawit</b> published by Department of Agriculture as an operational work plan.</p> <p>A plan on replanting preparation includes financial support on replanting or technical plan.</p> <p>Related agency is local office of Department of Agriculture focussing in estates at province or kabupaten level according to the object involved.</p>

## Principle 4 : Use of appropriate best practices by plantation and mill

Criterion	Indicator		Guidance
	Major	Minor	
<p><b>Criterion 4.1</b> Operating procedures are appropriately documented and consistently implemented and monitored.</p>	<p>1. A documented procedure or manual of Good Agriculture Practices (GAP) in key activities (use of superior seeds, fertilizer application, IPM techniques and harvesting) is available.</p>	<p>1. Evidences of implemented procedures are available.</p>	<p>Independent smallholders implement GAP in accordance to <b>Pedoman Teknis Budidaya Kelapa Sawit</b> (Technical Guidance on Cultivating Oil Palm) issued by Directorate General of Plantations, Ministry of Agriculture Republic of Indonesia which covers but not limited to:</p> <ul style="list-style-type: none"> <li>• Soil fertility,</li> <li>• Techniques to maintain soil fertility,</li> <li>• Factors affecting land erosion and degradation (rorak, terracing, horse shoe),</li> <li>• Factors affecting water quality (plantation along the river bank or slopy area),</li> <li>• Fertilizer and pesticide application,</li> <li>• Effort to avoid water pollution by insecticides or fertilisers,</li> <li>• Concept and Integrated Pest Management (IPM) (use of natural predators),</li> <li>• Permitted pesticides according to current regulation,</li> <li>• Safe application of pesticides,</li> <li>• How to store pesticides and dispose pesticides residue and</li> </ul>

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			<p>containers safely.</p> <p>The majority of independent smallholders do not use superior seeds, which is against the government regulation on seed. The smallholders are given grace period until replanting time.</p>
<p><b>Criterion 4.2</b> Practices to maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.</p>		<ol style="list-style-type: none"> <li>1. Smallholders organisation keeps the fertilizer application record.</li> <li>2. Smallholders organisation keeps the earlier year productivity record.</li> </ol>	<p>Smallholders are expected to have and implement simple manual GAP (see also criterion 4.1).</p> <p>The use of organic fertiliser, where necessary, may be used to maintain soil fertility.</p> <p>Smallholders organisation are expected to test the quality of the planting materials (e.g fertiliser) before dispatching to their members.</p> <p>Smallholders organisation should train the smallholders to maintain simple records of their plantation activities.</p> <p>The fertiliser dosage applied by independent smallholder should be in accordance to geographic dosage determined by the related agency.</p>

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<b>Criterion 4.3</b> Practices to minimise and control erosion and degradation of soils.		<ol style="list-style-type: none"> <li>1. Evidence of terracing or other conservation efforts for plantings on sloping terrains at or before replanting</li> <li>2. Evidence of ground cover crops establishment during immature plantings</li> <li>3. Proof of drainage system construction on peat and low lands</li> </ol>	<p>Smallholders are expected to have and implement simple manual GAP related to oil palm cultivation (see also criterion 4.1).</p> <p>Smallholders should do conservation efforts on slopy land such as terraces.</p> <p>Smallholders should show efforts to minimise erosion on stream banks within their land if landholding is small. If landholding permits a riparian conservation then conservation should be done.</p> <p>Cover crops should not be limited to legumes only.</p> <p>The smallholder organisation should have a program on road maintenance.</p> <p>Building drainage to conserve water table.</p>
<b>Criterion 4.4</b> Practices maintain the quality and availability of surface and ground water.	1. Smallholder organisation keeps record on pesticide and fertilizer application	1. Evidence of efforts to prevent erosion and maintain natural water resources	Smallholders are expected to have and implement simple manual GAP related to oil palm cultivation (see also criterion 4.1).
<b>Criterion 4.5</b> Pests, diseases, weeds and invasive introduced	1. Records of monitoring and	1. Smallholders should be able to demonstrate adequate	Smallholders are expected to have and implement simple

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	Major	Minor	
species are effectively managed through appropriate Integrated Pest Management (IPM) techniques.	control of pests and diseases.	knowledge on IPM and are able to implement it.	<p>manual GAP related to oil palm cultivation.</p> <p>Smallholder organisation conduct a training on IPM for its members.</p>
<p><b>Criterion 4.6</b> Agrochemicals are used in a way that does not endanger health or the environment. There is no prophylactic use of pesticides, except in special condition as mentioned in Good Practical Guidance. If agrochemicals, which were categorised as World Health Organisation Type 1A or 1B, or are listed by the Stockholm or Rotterdam Conventions, were used, growers are actively seeking to identify alternatives, and this is documented.</p>	<p>1. Smallholder organisation conduct a training on how to use agrochemicals in general for its members</p>	<p>1. Evidence on the use of registered agrochemicals permitted by the Minister of Agriculture.</p> <p>2. Evidence on the use of agrochemicals according to species, dosage, application method and time.</p> <p>3. Evidence of implementing safe procedure (Program Kesehatan dan Keselamatan Kerja (K3)) in applying agrochemicals.</p> <p>4. Evidence of pesticides storage and disposing pesticides container according to current regulation.</p> <p>5. Evidence of medication, in case of pesticides poisoning to applicator personel.</p>	<p>Smallholders are expected to have and implement simple manual GAP related to oil palm cultivation (see also criterion 4.1).</p> <p>Not every province of Indonesia owns a hazardous waste collecting agency, so indicator minor 4 could not be fully applied.</p>
<p><b>Criterion 4.7</b> An occupational health and safety plan is documented and effectively communicated and</p>	<p>1. Smallholders organisation owns a policy on health and working safety</p>	<p>1. Smallholders organisation owns a document of a risk analysis from working stages.</p>	<p>Smallholders get training from:</p> <ul style="list-style-type: none"> <li>• related government offices</li> <li>• smallholders organisation</li> </ul>

Criterion	Indicator		Guidance
	Major	Minor	
implemented.	2. Evidence of participating in a training on safe working practices and emergency actions, procedure and handling an accident, if occurs.		<ul style="list-style-type: none"> <li>farmers or mills purchasing the FFB</li> <li>NGOs.</li> </ul>
<b>Criterion 4.8</b> All staff, workers, smallholders and contractors are appropriately trained.	1. Programme and training held for smallholders organisation.		<p>Smallholders can show that they have received necessary training relevant to their duties.</p> <p>Workers on smallholder estates also need adequate training and skill that can be achieved through extension activities as provided by growers or mills who purchase fruit from them, by smallholders organisation or through collaboration with other institutions or organisations.</p> <p>Records showing smallholders training should not be required but anyone working on the farm should be adequately trained for the job they are doing.</p> <p>Independent smallholders should be facilitated by related government agency and smallholders organisation.</p>

## Principle 5 : Environmental responsibility and conservation of natural resources and biodiversity

Criterion	Indicator		Guidance
	Major	Minor	
<p><b>Criterion 5.1</b> Aspects of plantation and mill management which have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continuous improvement.</p>		<ol style="list-style-type: none"> <li>1. Records of implementation and report on management of environmental impacts, kept at smallholders organisation.</li> <li>2. A program on practice adjustments in farmers plantation should be in accordance with identification result.</li> </ol>	<p>Smallholders are expected to understand potential negative impacts of their operations and appropriate mitigation techniques and methods to implement them (in particular on land clearing, fertilizer and pesticides application, river banks erosion).</p> <p>Independent smallholders should be aware of factors influencing environment impact through periodically training by authorized government agency.</p>
<p><b>Criterion 5.2</b> The status of rare, threatened or endangered species and high conservation value habitats, if any, which exist in the plantation or that could be affected by plantation or mill management, should be identified and their conservation taken into account in management, and or smallholders organisation, plans and operations.</p>	<ol style="list-style-type: none"> <li>1. Smallholders are able to list protected flora and fauna in their local areas.</li> <li>2. Smallholders could explain the procedure to handle conflict with protected species.</li> </ol>	<ol style="list-style-type: none"> <li>1. Where protected species exist within the plantation, a dedicated person in smallholders organisation structure shall be appointed to train smallholders on conservation.</li> </ol>	<p>Information on protected species and habitat with high conservation values may be obtained from smallholders organisation and relevant government institution such as the Government Plantation Agency (<i>Dinas Perkebunan</i>), BKSDA (government conservation of natural resources agency).</p> <p>Information on protected species and how to manage conflict could be obtained from relevant government offices such as</p>

Criterion	Indicator		Guidance
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			Government Plantation Agency / Dissemination Officers, BKSDA and competent NGOs.
<b>Criterion 5.3</b> Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.	<ol style="list-style-type: none"> <li>1. Smallholders can explain measures to dispose hazardous agrochemicals and their containers in accordance to instruction labels as stated by the manufacturer.</li> <li>2. Smallholder could explain and has evidence that point 1 has been done.</li> </ol>	<ol style="list-style-type: none"> <li>1. Records of complaints from local communities related to disposal of hazardous chemicals and its resolution, if any, were kept by smallholders organisation.</li> </ol>	<p>Management and plan of agrochemical waste disposal should include steps for:</p> <ul style="list-style-type: none"> <li>• Identify and monitor waste and pollution sources.</li> <li>• Re-use and recycle waste as nutrition or convert into added value product (program to produce feed),</li> <li>• Appropriate disposal of hazardous chemicals and their containers.</li> <li>• Surplus chemical containers should be disposed of or cleaned in an environmentally and socially responsible way (e.g. returned to vendor or cleaned using a triple rinse method). Not contaminating water sources or human health. The disposal instructions on manufacturer's labels should be adhered to.</li> </ul>
<b>Criterion 5.4</b> Efficiency of energy use and use of renewable energy is maximised.			This provision does not apply to independent smallholders
<b>Criterion 5.5</b> Use of fire for waste	1. During replanting,	1. Smallholders organisation	Fire should be used <b>only</b> where

Criterion	Indicator		Guidance
	Major	Minor	
disposal and for preparing land for replanting is avoided except in specific situations, as identified in the ASEAN guidelines or other regional best practice.	<p>smallholders shall be able to prove that fire was not used to prepare land and disposal of waste. Fire is only permitted in special cases which involves elimination of pest and diseases where recommendation from relevant government agencies must be in place prior to use of fire.</p> <p>2. Smallholders understand emergency responses procedure against forest fires (<i>Prosedur Tanggap Darurat Kebakaran Lahan</i>).</p>	owns simple fire control equipments.	<p>an assessment has demonstrated that it is the most effective and least environmentally damaging option for minimising the risk of severe pest and disease outbreaks, and with evidence that fire-use is carefully controlled.</p> <p>Use of fire on peat soils should be avoided.</p> <p>In accordance to indicator 1, smallholders' organisation recommends its member to obtain recommendation from related technical institutions to do land clearing or pest control using fire.</p>
<b>Criterion 5.6</b> Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.			This provision does not apply to independent smallholders

**Principle 6: Responsible consideration of employees and of individuals and communities affected by scheme smallholder**

Criterion	Indicator		Guidance
	Major	Minor	
<p><b>Criterion 6.1</b> Aspects of plantation, including replanting, and mill management that have social impacts 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 continuous improvement.</p>	<p>1. Smallholders could explain the social impact of their plantation activity and provide constructive response evidence against complain, if any.</p>		<p>Identification of social impact could be done by smallholder organisation together with the affected party in accordance to the situation of the claim. If necessary, an expert should be involved, to ensure that all impacts (positive or negative) have been identified.</p> <p>Cause of social impact could be: road development, planting other crop or extension of plantation, clearing of waste natural vegetation.</p> <p>The management of palm oil plantation could cause social impact (positive or negative) on these factors:</p> <ul style="list-style-type: none"> <li>• Right to land use and access.</li> <li>• Income (e.g. daily workers) and working condition.</li> <li>• Livelihood activities.</li> <li>• Cultural and religious values.</li> </ul>
<p><b>Criterion 6.2</b> There are open and</p>	<p>1. Smallholders organisation has</p>	<p>1. Smallholders organisation has</p>	<p>Communication and consultation</p>

Criterion	Indicator		Guidance
	Major	Minor	
transparent methods for communication and consultation between growers and/or mills, local communities and other affected or interested parties.	records on communication and consultation with local communities.	<p>records on communities' aspiration and their responses or follow-up actions.</p> <p>2. A dedicated person appointed in smallholders organisation responsible for transparent communication and consultation with stakeholders.</p>	<p>mechanism should be designed in collaboration with local communities and other affected or interested parties.</p> <p>These should consider the use of existing local mechanisms and languages. Consideration should be given to the existence/formation of a multi-stakeholder forum.</p> <p>Communication should take into account differential access to information of women as compared to men, village leaders as compared to day labourers, new versus established community groups, and different ethnic groups.</p> <p>Consideration should be given to involving third parties, such as disinterested community groups, NGOs, or government (or a combination of these), to facilitate smallholder schemes and communities, and others as appropriate, in these communications.</p>

Criterion	Indicator		Guidance
	Major	Minor	
<p><b>Criterion 6.3</b> There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all parties.</p>	<p>1. A system for complaints are in place at smallholders organisation</p>	<p>1. Smallholder organisation has records on complaints/ grievances, and reports on steps to address them (if any).</p> <p>2. A documented process and outcome of resolution of disputes, if any</p>	<p>Dispute resolution mechanisms should be established through open and consensual agreements with relevant affected parties.</p> <p>Related government agency and smallholder organisation could facilitate smallholders in handling complaints and grievances.</p>
<p><b>Criterion 6.4</b> Any negotiations concerning compensation for loss of legal or customary rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.</p>	<p>1. Smallholder owns an evidence on legal rights and customary rights transfer, involving community representative and related institution.</p>	<p>1. Record of negotiation processes and/or outcome of agreed compensation are in place.</p> <p>2. Smallholder organisation owns an identification system and calculation of compensation payment, on legal rights and customary rights transfer involving community representative and related institution.</p>	<p>Smallholder should follow the current regulation in identifying legal and customary rights of the people entitled to receive compensation.</p> <p>A procedure for calculating and distributing fair compensation (monetary or otherwise) is established and implemented in accordance to a principle of free prior informed consent and equal gender.</p> <p>Procedure for compensation payment on right transfer from other party should be done transparently, natural and under no pressure not to make the community or people with landownership suffer a loss. Smallholders should prove land ownership or traditional</p>

Criterion	Indicator		Guidance
	Major	Minor	
			ownership.  The process and outcome of any negotiated agreements and compensation claims were conducted and documented and made publicly available.
<b>Criterion 6.5</b> Wage and conditions for employees and for employees of contractors always meet at least legal or minimum industry standards and are sufficient to meet basic needs of personnel and to provide some discretionary income.	1. Proof of wage payments to workers at least legal or minimum industry standards	1. A work contract is in place for permanent employee, if any	Smallholders organisation should periodically inform its members of the Regionally Minimum Wage ( <i>Upah Minimum Regional, UMR</i> ) according to the local regulation where the plantation is established.  For temporary workers, work condition and wage should be in accordance with the agreement (oral or written) which was made transparently and freely.
<b>Criterion 6.6</b> The employer respects the right of all personnel to form and join workers union of their choice and to bargain collectively. Where the right to a free of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free associate and do bargaining for all such			This criterion is not applied for independent smallholders

Criterion	Indicator		Guidance
	Major	Minor	
personnel.			
<b>Criterion 6.7</b> Child labour is not used. Work by children is acceptable on family farms, under adult supervision, and when not interfering with education programmes. Children are not exposed to hazardous working conditions	1. Smallholders can show that child labour is not used, in accordance with the regulation.		Smallholders should refer to minimum working age and school leaving age in accordance with existing regulations.  Work by children is acceptable on self-managed family smallholdings, under adult supervision and not disturbing their education.
<b>Criterion 6.8</b> The employer shall not engage in or support discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age.	1. No unsolved claims on the discrimination of employees.	1. Smallholder organisation owns a human resource policy on equal rights.	Smallholder organisation has procedure to receive complaints which may be dealt with in accordance to criterion 6.3. Positive discrimination to provide employment and benefits to specific communities is acceptable as part of negotiated agreements.
<b>Criterion 6.9</b> A policy to prevent sexual harassment and all other forms of violence against women and to protect their reproductive rights is developed and applied.	1. Smallholders organisation has established documents that advise its members against sexual harassments and forms of violence against women and to protect their reproductive rights and implement it		Smallholders respect reproductive rights of their workers.
<b>Criterion 6.10</b> Scheme managers deal fairly and transparently with smallholders and other	1. Smallholder organisation have a policy to collaborate business with its members or other local	1. Smallholders organisation has documented contracts with their business partners, if any.	Smallholder organisation should be involved in the determination of FFB price.

Criterion	Indicator		Guidance
	Major	Minor	
local businesses.	<p>party fairly and transparently.</p> <p>2. Records of FFB and planting equipments price determination mechanism.</p>	2, Evidence of FFB payment to smallholder organisation members	
<b>Criterion 6.11</b> Scheme manager contribute to local sustainable development wherever appropriate.		1. Records of smallholders organisation and/or individual smallholders' contribution to the local development.	<p>Independent smallholders, contribute to the local development through their organisation.</p> <p>Smallholders organisation actively negotiates with partner on subtraction of smallholders' FFB sales for local development contribution and its management.</p> <p>Smallholders organisation participate in the determination of the use and management of the contribution fund.</p>

## Principle 7: Responsible development of new plantings

Criterion	Indicator		Guidance
	Major	Minor	
<p><b>Criterion 7.1</b> A comprehensive and participatory independent social and environmental impact assessment is conducted prior to establishing new plantation or operations, or expanding existing ones, and the results incorporated into planning, management and operations.</p>	<ol style="list-style-type: none"> <li>1. Social and Environment Impact Analysis (SEIA) document is in place prior to establishing new plantations. For independent smallholder, SEIA is prepared by smallholder organisation.</li> <li>2. Evidence of impact assessments made is used in plantation development plan.</li> </ol>		<p>Large area of independent smallholder's plantation could have an important social and environmental impact, hence a Social and Environment Impact Analysis (SEIA) should be done.</p> <p>Independent smallholders consult officers from related agency or extension service agencies in impact analysis.</p> <p>Whenever at the time of building their plantation smallholders did not perform a Social and Environment Impact Analysis (SEIA), they could join a certification group, as long as the smallholder organisation performs an internal inspection to prove there is no violation against this criterion.</p>
<p><b>Criterion 7.2</b> Soil surveys and topographic information are used for site planning in the establishment of new plantings, and the results are incorporated into plans and operations.</p>	<ol style="list-style-type: none"> <li>1. Evidence on recommendation to establish plantation on smallholder's land considering land suitability from authorized agency.</li> </ol>	<ol style="list-style-type: none"> <li>1. Independent smallholder could explain the working plan on plantation development recommended.</li> </ol>	<p>Information on topography, soil type, and suitability for palm oil plantation could be obtained from local government officers or extension service agencies.</p> <p>Establishment of new plantation</p>

Criterion	Indicator		Guidance
	Major	Minor	
			plan should be in coordination with extension service agencies.
<b>Criterion 7.3</b> New plantings since November 2005 (which was the date of adoption of these criteria by the RSPO membership), have not replaced primary forest or any area containing one or more High Conservation Values.	1. Smallholders / smallholder organisation could show that the lands for new plantings are not derived from primary forest or area with high conservation value (HCV).		Independent smallholder, through smallholder organisation, consult authorized agency to obtain information on HCV inside or in the vicinity of their land.  This criteria comes in effect at the time INA-NI for independent smallholder legalized.
<b>Criterion 7.4</b> Extensive planting on steep terrain, and/or on marginal and fragile soils, is avoided.		1. Evidence that there is no planting on steep terrain, and/or marginal land in accordance to the current regulation.	See Criterion 7.2.
<b>Criterion 7.5</b> No new plantings are established on local peoples' land without their free, prior and informed consent, dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.	1. Smallholder can show that there are no rejection from indigenous people and local communities on the development of new plantings. (Evidence may be in the form of agreement letter from indigenous people and local communities, which is acknowledged or approved by Head of indigenous people/Head of village or in accordance with local regulations)		Independent smallholder engages with indigenous people and local communities prior to the development of new oil palm plantings, and where the lands are encumbered by local or customary rights, these must be negotiated to reach settlement agreed by both parties. All negotiated agreement must be well

Criterion	Indicator		Guidance
	Major	Minor	
			documented for a long-term benefit for all parties.
<b>Criterion 7.6</b> Local people are compensated for any agreed land acquisitions and relinquishment of rights, subject to their free, prior and informed consent and negotiated agreements.	<ol style="list-style-type: none"> <li>1. Evidence of agreement settled (e.g agreed compensation for land acquisitions etc) prior to the establishment of new plantings (letter of agreement).</li> <li>2. Evidence that agreement on point 1 is performed.</li> </ol>		This criterion should be preceded by criterion 7.5, to enable compensation payment and fulfilment of other agreed settlement done before the establishment of new plantings according to free prior informed and consent principle.
<b>Criterion 7.7</b> Use of fire in the preparation of new plantings is avoided other than in specific situations, as identified in the ASEAN guidelines or other regional best practice.	<ol style="list-style-type: none"> <li>1. Smallholders can show that they have knowledge on and are able to implement zero-burn techniques in land preparation for new plantings.</li> </ol>		<p>Smallholder should have sufficient knowledge and comply to legislation/regulation that prohibit the use of fire for land preparation. For instance smallholders have brochures, attend training on guideline of land preparation techniques without use of fire which are issued or provided by relevant agencies.</p> <p>Relevant agencies or extension service agencies provide training to smallholders on the land preparation techniques avoiding use of fire</p>

## Principle 8 : Commitment to continuous improvement in key areas of activity

Criterion	Indicator		Guidance
	Major	Minor	
<p><b>Criterion 8.1</b> Scheme managers regularly monitor and review their activities and develop and implement action plans that allow demonstrable continuous improvement in key operations.</p>	<p>1. Smallholder / smallholder organisation prepare action plan for continuous improvements in:</p> <ul style="list-style-type: none"> <li>• Maintenance and harvesting palm oil,</li> <li>• Integrated Pest Management (IPM),</li> <li>• Maintain soil fertility,</li> <li>• Replanting techniques (e.g zero burning land preparation),</li> <li>• Control and training on smallholder palm oil plantation management,</li> <li>• Minimizing negative impact on environment such as reduce waste, pollution, or gas emission,</li> <li>• Minimizing negative social impact.</li> </ul>	<p>1. Evidence that smallholder's plantation receives consultation from extension service agencies and / or smallholder organisation</p>	<p>Regularly smallholder participates in training conducted by extension service agencies and / or smallholder organisation to obtain new techniques / information on palm oil plantation management.</p>

APPENDIX 1.

# CHECK LIST ENVIRONMENTAL (HCV) AND SOCIAL IMPACT IDENTIFICATION IN SMALLHOLDERS PALM OIL PLANTATION

## PLANTATION DATA

Plantation Owner :				Phone / Mobile :	
Plantation Address :	Village :		Sub District :		
	District :		Province :		
Plantation Borders :	West :		North :		
	East :		South :		
Area (ha) :	(< 25 ha)				
Plantation Status :	New / Young trees / Productive trees / Replanting				
Inspection date :					
Inspected by :	1. 2. 3.				
Approved by : ???					
Identification result	<div style="display: flex; justify-content: space-around; width: 100%;"> <div style="width: 33%; background-color: green; color: white; text-align: center; padding: 5px;"><b>A</b></div> <div style="width: 33%; background-color: yellow; color: black; text-align: center; padding: 5px;"><b>B</b></div> <div style="width: 33%; background-color: red; color: white; text-align: center; padding: 5px;"><b>C</b></div> </div>				

- A** **Good.** Plantation is in good condition. Farmer should guarantee current performance and maintain performance at all current levels
- B** **Fair.** Plantation is in fair condition. Farmer should improve current condition to reach good condition (green).
- C** **Unsatisfactory.** Plantation condition is unsatisfactory. Farmer should do corrections and should improve current condition to reach good condition (green).

## Contents

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### 3. Identification Result

# 1. Introduction and Scope

## 1.1 Environmental Baseline Identification Report

Environmental Baseline Identification Report is a simple report to support or complete the requirements of RSPO Principle and Criteria for Independent Palm Oil Smallholders in Indonesia. The identification is done by an expert in identifying environmental and social aspects or could be done by farmers' group, farmers' association, or farmer himself after receiving direction from related government institution or environmental or social NGOs member of RSPO.

The report also contains the plan and effort of the farmer to minimize negative impact of the environment and social aspects identification result found. The report is open for public so stakeholders could access this document for purposes in harmony with the sustainable palm oil practices.

## 1.2 Scope

This report is for small palm oil plantation, particularly under 25 ha. One report for an intact plantation, whenever a farmer owns two or more plantations in different locations, separate reports should be made.

# 2. Environmental and Social Information

## 2.1 Plantation General Information

### Farmer Data

No	Name	Age (year)	Sex 1. Male 2. Female	Relationship (code)	Marital Status (code)	Education (code)	Main Job (code)	Job Status (code)	Other Jobs (kode)						
1	2	3	4	5	6	7	8	9	10						
FARMER															
1				-											
FAMILY															
2															
3															
4															
5															
<table border="0" style="width:100%"> <tr> <td style="width:33%"> <b>Column 5 code</b>                      Relationship to the Head of the household                       1. Head of the household                      2. Wife / husband                      3. Child                      4. Son/daughter in law                      5. Grandchild                      6. Parents in law                      7. Other family                      8. Household Helper                      9. Others                 </td> <td style="width:33%"> <b>Column 6 code</b>                      Marital Status                       1. unmarried                      2. married                      3. separated                      4. widow / widower                 </td> <td style="width:33%"> <b>Column 7 code</b>                      Education (for members older than 5 years old)                       1. No formal education                      2. Not graduated from Primary School                      3. Primary School (SD)                      4. Secondary School (SMP)                      5. High School (SMU)                      6. University                      (Add * sign if in progress)                 </td> </tr> <tr> <td> <b>Column 8 code</b>                      Main job for family members older than 10 years old                      1. Palm oil farmer                      2. Forest product collector                      3. Employee of National/Private palm oil plantation                      4. Employee of National / Private rubber plantation                      5. Employee of HTI                      6. Trader/merchant                      7.                      8. Government employee                      9. Entrepreneur                      10. Others                 </td> <td> <b>Column 9 code</b>                      Job status :                       1. Self supported                      2. Self supported with help from family members or daily workers                      3. Self supported with help from monthly workers                      4. Employee                      5. Household helper                      6. Work in group                 </td> <td> <b>Column 10 code</b>                      Other jobs                       Same as column 8 code                      Other jobs with some earnings                 </td> </tr> </table>										<b>Column 5 code</b> Relationship to the Head of the household  1. Head of the household 2. Wife / husband 3. Child 4. Son/daughter in law 5. Grandchild 6. Parents in law 7. Other family 8. Household Helper 9. Others	<b>Column 6 code</b> Marital Status  1. unmarried 2. married 3. separated 4. widow / widower	<b>Column 7 code</b> Education (for members older than 5 years old)  1. No formal education 2. Not graduated from Primary School 3. Primary School (SD) 4. Secondary School (SMP) 5. High School (SMU) 6. University (Add * sign if in progress)	<b>Column 8 code</b> Main job for family members older than 10 years old 1. Palm oil farmer 2. Forest product collector 3. Employee of National/Private palm oil plantation 4. Employee of National / Private rubber plantation 5. Employee of HTI 6. Trader/merchant 7. 8. Government employee 9. Entrepreneur 10. Others	<b>Column 9 code</b> Job status :  1. Self supported 2. Self supported with help from family members or daily workers 3. Self supported with help from monthly workers 4. Employee 5. Household helper 6. Work in group	<b>Column 10 code</b> Other jobs  Same as column 8 code Other jobs with some earnings
<b>Column 5 code</b> Relationship to the Head of the household  1. Head of the household 2. Wife / husband 3. Child 4. Son/daughter in law 5. Grandchild 6. Parents in law 7. Other family 8. Household Helper 9. Others	<b>Column 6 code</b> Marital Status  1. unmarried 2. married 3. separated 4. widow / widower	<b>Column 7 code</b> Education (for members older than 5 years old)  1. No formal education 2. Not graduated from Primary School 3. Primary School (SD) 4. Secondary School (SMP) 5. High School (SMU) 6. University (Add * sign if in progress)													
<b>Column 8 code</b> Main job for family members older than 10 years old 1. Palm oil farmer 2. Forest product collector 3. Employee of National/Private palm oil plantation 4. Employee of National / Private rubber plantation 5. Employee of HTI 6. Trader/merchant 7. 8. Government employee 9. Entrepreneur 10. Others	<b>Column 9 code</b> Job status :  1. Self supported 2. Self supported with help from family members or daily workers 3. Self supported with help from monthly workers 4. Employee 5. Household helper 6. Work in group	<b>Column 10 code</b> Other jobs  Same as column 8 code Other jobs with some earnings													

### Plantation Data

Plantation Address :	Village :	Sub District :
	District :	Province :
Plantation borders :	north :	
	south :	
	east :	
	west :	
Distance from home (km) :		
Area (ha) :		
Tree number / ha :		
Age of trees (years) :		

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Planting material :	1. Indonesian Palm Oil Research Institute (PPKS) 2. Marihat 3. London Sumatera (Lonsum) 4. ....
Yield (kg/month) (ton/year) :	
Ownership of land :	1. Cut down forest; 2. Heritage; 3. Buy; 4. Existing palm oil plantation; 5. ....
Origin of land	1. Natural forest ..... ha 1. Formerly a certain commodity forest ..... ha 2. Formerly conservation area / protected forest ..... ha 3. No forest / bushes ..... ha 4. Damaged forest / formerly burnt ..... ha 5. . ..... ha Total = ..... ha
Legal ownership documents / permit to open plantation	1. None; 2. Customary land; 3. Legal trade; 4. SKT; 5. SKGR; 6. Certificate from National Land Bureau (BPN; ) 7. ....
Status of plantation	1. private ownership, 2. percentage of yield, 3. lease, 4. mortgage / borrow 5. ....
Trading of FFB (fresh fruit bunch)	1. 100 % TBS sold to PT..... (distance from plantation ..... km ) 2. .... % TBS sold to .....(distance from plantation ..... km )

**2.2 Environmental Aspect**

Is there any endangered species (mammals, reptiles, birds, insects, fish) in or near the plantation

Yes  No

If yes, please fill in this table below

Fauna /Flora	Location of the species in the plantation	Recent management
		1. not killed, protected from hunters 2. will be killed if interfering the plantation 3. will be relocated if interfering the plantation, 4. does not know what to do 5. ....
		1. not killed, protected from hunters 2. will be killed if interfering the plantation 3. will be relocated if interfering the plantation, 4. does not know what to do 5. ....
		1. not killed, protected from hunters 2. will be killed if interfering the plantation 3. will be relocated if interfering the plantation, 4. does not know what to do 5. ....
		1. not killed, protected from hunters 2. will be killed if interfering the plantation 3. will be relocated if interfering the plantation, 4. does not know what to do 5. ....

Is the plantation located at the border of any forest or conservation area (National Park, Natural Reserve Forest, Wild life Reserve, Protected Forest) ?

Yes  No

If the answer is yes, do you protect the conservation area on the border of your plantation from biodiversity robbery ?

Yes  No

If your plantation is located nearby a much larger forest, do you spare some forest as a bridge to the larger forest?

Yes  No

Does your plantation has a forest or swamp where the protected animal transit?

Yes  No

If the answer is yes, are you going to build a palm oil plantation from the forest or swamp?

Yes  No

If the answer is no, are you protecting the forest or swamp?

Yes  No

Is your plantation located along the river bank ?

Yes  No

If the answer is yes, do you grow palm oil on the river bank ?

Yes  No

Do you understand the function of forest on the river bank ?

Yes  No

If the answer is yes, please mention at least three functions of forest on the river bank

- 1.
- 2.
- 3.

Do you make any effort to control erosion of the river bank ?

Yes  No

If the answer is yes, mention your effort

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- 1.
- 2.
- 3.

Is there any endemic species in your plantation?  Yes  No

Note :

**Endemic species** are limited number of species or small or large number of species in certain geographical area. Some international NGOs have released endemic species list such as Endemic Bird Area (EBA) released by Birdlife International or Biodiversity Hotspot from Conservation International.

If yes, please fill in this table below

Endemic species	Location of the species in the plantation	Recent management
		1. not killed, protected from hunters 2. will be killed if interfering the plantation 3. will be relocated if interfering the plantation, 4. does not know what to do 5. ....
		1. not killed, protected from hunters 2. will be killed if interfering the plantation 3. will be relocated if interfering the plantation, 4. does not know what to do 5. ....
		1. not killed, protected from hunters 2. will be killed if interfering the plantation 3. will be relocated if interfering the plantation, 4. does not know what to do 5. ....
		1. not killed, protected from hunters 2. will be killed if interfering the plantation 3. will be relocated if interfering the plantation, 4. does not know what to do 5. ....

Is there any area of your plantation which is part of an ecosystem such as : rain forest on the foot of the mountain, lowland forest, peat swamp forest, fresh water swamp forest, heath forest, Savanna, or Mangrove area  
If the answer is yes, did you open the mentioned ecosystem for your palm oil plantation?  Yes  No

In your plantation, is there any water source used by the community for daily use ?  
If the answer is yes, do you grow palm oil around the water source ?  Yes  No  
If the answer is no, do you leave the area undisturbed or protect it ?  Yes  No

In your plantation, is there any place considered sacred by the local community ?  
If the answer is yes, did you open the area into a palm oil plantation?  Yes  No

**2.3 Management and Monitoring of Environmental Aspects Efforts**

Do you manage the identified environmental aspect, keep the number and condition?  Yes  No  
If the answer is yes, do you make any effort to increase the number and condition ?  Yes  No  
Do you make a six-monthly report on the environmental management  Yes  No

**2.4. Sosial Aspect**

Is your palm oil plantation located in customary land of the local community  Yes  tidak  
If the answer is yes, do you know the process to release the right of the customary land?  Yes  tidak  
Did you obtain a customary permit to open the land for a palm oil plantation?  Yes  tidak  
Are you a member of the customary local community?  Yes  tidak  
If the answer is yes, explain what your relationship is ? .....

Did you buy the land?  Yes  tidak  
Did you inherit the land?  Yes  tidak  
Did you get the land as a present / donation?  Yes  tidak

Do you have a legal ownership on that piece of land ?  Yes  tidak  
If the answer is yes, please mention it.  
a. SKT/SKGR  Yes  tidak  
b. Ownership Certificate (*Sertifikat Hak Milik SHM*)  Yes  tidak  
If there is no written status, do you have an oral statement on the ownership of that piece of land ?  Yes  tidak  
Is the palm oil plantation also belong to somebody else (double ownership)?  Yes  tidak  
Is there any public facility in your plantation ?  Yes  tidak  
If the answer is yes, do you manage the area for public facility ?  Yes  tidak  
Does your palm oil plantation have a distinct border?  Yes  tidak  
Did you notify your palm oil plantation neighbors that you are building a palm oil plantation?  Yes  tidak  
Did you make a report to the local government that you are building a palm oil plantation ?  Yes  tidak

Are you aware of the positive impacts from building a palm oil plantation?  Yes  tidak  
If the answer is yes, the positive impacts you get from the oil plantation are : \_\_\_\_\_

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- a. Economy
- b. Social
- c. Environmental

<input type="checkbox"/>	Yes	<input type="checkbox"/>	tidak
<input type="checkbox"/>	Yes	<input type="checkbox"/>	tidak
<input type="checkbox"/>	Yes	<input type="checkbox"/>	tidak

Are you aware of the negative impacts from building a palm oil plantation ?  
 If the answer is yes, the negative impacts you get from the oil plantation are :

<input type="checkbox"/>	Yes	<input type="checkbox"/>	tidak
--------------------------	-----	--------------------------	-------

- a. Economy
- b. Social
- c. Environmental

<input type="checkbox"/>	Yes	<input type="checkbox"/>	tidak
<input type="checkbox"/>	Yes	<input type="checkbox"/>	tidak
<input type="checkbox"/>	Yes	<input type="checkbox"/>	tidak

**2.5 Effort to Manage and Monitor Social Aspect**

Did you manage to solve the social aspects identified above?  
 If the answer is yes, did you solve the problems?  
 Did you make a six-monthly report on the social management ?

<input type="checkbox"/>	Yes	<input type="checkbox"/>	tidak
<input type="checkbox"/>	Yes	<input type="checkbox"/>	tidak
<input type="checkbox"/>	Yes	<input type="checkbox"/>	tidak

### 3. Brief report on the identification findings

A brief report on the identification findings is shown below

<b>A</b>	<b>Good.</b>	Plantation is in good condition. Farmer should guarantee the recent performance and maintain good performance at all current levels
<b>B</b>	<b>Fair.</b>	Plantation is in fair condition. Farmer should improve current condition to reach good condition (green).
<b>C</b>	<b>Unsatisfactory.</b>	Plantation condition is unsatisfactory. Farmer should do corrections and should improve current condition to reach good condition (green).

- Good** The farmer did all the environmental impact identification according to the check list above, perform a good management to ensure that every single thing identified are kept undisturbed nor endangered; even better if the value could be increased (number and quality). The farmer makes a six-monthly report regularly and the result could be observed on the field.
- Fair** The farmer did all the environmental impact identification according to the check list above, but not all identification findings are well managed. Some of the result was reported and some could only be seen on the field.
- Unsatisfactory** The farmer did not identify environmental impact according to the check list above, no or not enough environment management .
- Note** If the identification result showed in between B (yellow) and C (red) where the farmer did not identify environmental impact at all but in practice the farmer protected almost endangered wild animals in his plantation by putting a sign clearly shown to public and the result could be really seen that there are protected animals, safe and sound, in the farmer's plantation, then the report could be considered as yellow.

## APPENDIX 2. DEFINITION

**Analysis on Environmental Impact** is a process to predict and rank the impact of one or a number of acts against the living environment, then use the conclusion as a way to plan and make a decision.

**Customary rights** are Rights arising from a sequence of customs, have a legal right geographically or sociologically

**Decision maker** is a single person or a group interested in, or influenced by the activities and result of activities of a certain organization.

**Farmer** a farmer grows palm oil, sometimes intercropped with other commodities, as a livelihood, with the help of family members. The plantation is the main source of livelihood. Total area of palm oil plantation is usually less than 25 ha.

**HCVF (High Conservation Value Forest)** must protect or improve one or more high conservation value.

HCV1. Forest area with globally, locally, or nationally significant concentrated biodiversity values (e.g. endemics, endangered species).

HCV2. Forest area with dense population, significant globally, regionally or nationally; in where there is or owns a management unit, with alive population, from most if not all, of wild species in its natural distribution and spread pattern.

HCV3. A forest area in or owns a rare, endangered or suspected endangered ecosystem.

HCV4. A forest area which provides a natural basic service in critical condition ( for example : protecting river banks, controlling erosion).

HCV5. Forest area which is important to fulfil local community's basic need (for example livelihood, health).

HCV6. An important forest area to maintain the identity of the local customary community (culture , ecology, economy, or religion area ) related to the local community.

(See: The HCVF Toolkit - [www.proforest.net](http://www.proforest.net))

**Improper influence** is a pressure from a third party who owns a certain power to make someone sign a contract or other agreement, without pressure the documents would not be signed.

**ISO Standard** is a standard established by the International Standard Organization (ISO) (see: <http://www.iso.ch/iso>).

**Independent farmer** is a farmer who builds and manages his own palm oil plantation without any help from nucleus estate. He could receive technical support from the government or field officer.

**Natural vegetation** is an area with a lot of natural ecosystem main characteristics and key elements such as complexity, structure, and diversity.

**Plantation** land planted with palm oil and related land use such as infrastructure (e.g. road), slopes and conservation reservation.

**Primary forest** a forest with natural ecosystem main characteristics such as complexity, structure, and diversity and also dense population of leafy trees, relatively undisturbed by human activities.

**Prophylactic** one or a series of treatments used as a preventive activity.

**Restoration** returning a degraded or modified area in the plantation area to a semi-natural level.

**Right of use** is a right to use forest resources obtained from custom community, general agreement, or given by other institution who owns access. These kind of right could limit the use of certain resource at certain consumption level or certain harvesting techniques.

**Scheme farmer** is palm oil farmer whose plantation including infrastructure needed, was built by nucleus estate. After the trees come into production, the plantation will be handed to the farmer to be managed by the farmer himself. The fresh fruit bunch will be bought by the nucleus estate. Farmer returns the building fund, deducted from the total he receives from the FFB he sells.

APPENDIX 3

REFERENCE ON REGULATION IN INDONESIA

Principle	Criteria	Regulation
1	1	<ol style="list-style-type: none"> <li>1. UU No. 12 tahun 1992 tentang Sistem Budidaya Tanaman.</li> <li>2. UU No. 23 tahun 1997 tentang Lingkungan Hidup.</li> <li>3. UU No. 13 tahun 2003 Ketenagakerjaan.</li> <li>4. UU No. 18 tahun 2004 tentang Perkebunan.</li> <li>5. UU Ketenagakerjaan (tentang UMP, Umur, K3).</li> </ol>
	2	<ol style="list-style-type: none"> <li>1. UU No. 12 tahun 1992 tentang Sistem Budidaya Tanaman.</li> <li>2. UU No. 23 tahun 1997 tentang Lingkungan Hidup.</li> <li>3. UU No. 18 tahun 2004 tentang Perkebunan</li> </ol>
2	1	<ol style="list-style-type: none"> <li>1. UU No. 12 tahun 1992 tentang Sistem Budidaya Tanaman</li> <li>2. UU No. 23 tahun 1997 tentang Lingkungan Hidup (Pasal 5 ayat 2 dan Pasal 6 ayat 2)</li> <li>3. UU No. 18 tahun 2004 tentang Perkebunan</li> <li>4. UU No.1/1970 ttg Keselamatan Kerja</li> <li>5. PP No.8/1981 Perlindungan Upah</li> <li>6. Keputusan Bersama Menteri Pertanian dan Menteri Koperasi dan Pembinaan Pengusaha Kecil No.: NO.: 73/Kpts/OT.210/2/98 tentang Pembinaan dan Pengembangan Koperasi Unit Desa di Bidang Perkebunan dengan Pola kemitraan melalui Pemanfaatan Kredit kepada Koperasi Primer untuk Anggotanya</li> <li>7. KepMenTan NO. : 60/Kpts/KB.510/2/98 tentang Pembinaan dan</li> <li>8. Pengendalian Pengembangan Perkebunan Inti Rakyat, dll.</li> </ol>
	2	<ol style="list-style-type: none"> <li>1. UU No. 18 tahun 2004 tentang Perkebunan</li> <li>2. PP No 24 tahun 1997 tentang pendaftaran</li> <li>3. Peraturan Menteri Pertanian No. 26/Permentan/ar.140/2/2007</li> </ol>
	3	<ol style="list-style-type: none"> <li>1. UU No. 18 tahun 2004 tentang Perkebunan</li> <li>2. Peraturan Menteri/Kepala BPN No. 5 tahun 1999 tentang Pedoman Penyelesaian masalah hak ulayat</li> <li>3. Peraturan Menteri Pertanian No. 26/Permentan/ar.140/2/2007</li> </ol>
3	1	No relevant regulation for farmers
4	1	<ol style="list-style-type: none"> <li>1. Petunjuk Teknis Budidaya Kelapa Sawit. Direktorat Jenderal Perkebunan. Departemen Pertanian. Jakarta, 1997 dan 2006 tentang Petunjuk teknis budi daya kelapa sawit tahun 1997.</li> <li>2. Standar Pengolahan Kelapa Sawit 1993 dari Ditjen Pengolahan.</li> </ol>
	2	<ol style="list-style-type: none"> <li>1. UU No 12 tahun 1992 tentang Sistem Budidaya Tanaman</li> <li>2. UU No. 18 tahun 2004 tentang Perkebunan</li> <li>3. PP No. 8, 2001 mengenai Pupuk budidaya tanaman .</li> <li>4. Petunjuk Teknis Budidaya Kelapa Sawit. Direktorat Jenderal Perkebunan. Departemen Pertanian. Jakarta, 1997.</li> <li>5. Pedoman Teknis Pembangunan Kebun Kelapa Sawit Direktorat Jenderal Perkebunan. (akan dirilis tahun 2007)</li> </ol>

Principle	Criteria	Regulation
	3	1. GAP untuk kelapa sawit
	4	1. UU 12, tahun 1992 2. UU 18, tahun 2004
	5	1. UU No 12 tahun 1992 tentang Sistem Budidaya Tanaman 2. UU No. 18 tahun 2004 tentang Perkebunan 3. PP No. 6, 1995 mengenai Perlindungan tanaman. 4. Daftar penggunaan bahan kimia pertanian (agro kimia) yang diterbitkan oleh Komisi pestisida. 5. Pengendalian hama terpadu (Ditjenbun)
	6	1. PP No. 18, 1999 junto PP No 85 mengenai Pengelolaan limbah bahan berbahaya dan beracun. 2. PP No. 74, 2001 mengenai Pengelolaan bahan berbahaya dan beracun. 3. UU tentang K3. 4. PP No. 7, 1973 mengenai Pengawasan atas peredaran, penyimpanan, dan penggunaan pestisida. 5. SK Menteri Pertanian No. 517/Kpts/TP.270/9/2002 mengenai Pengawasan pestisida. 6. Daftar penggunaan bahan kimia pertanian (agro kimia) yang diterbitkan oleh Komisi pestisida.
	7	1. UU No 1 tahun 1970 tentang Keselamatan Kerja
	8	No relevant regulation for farmers
5	1	No relevant regulation for farmers
	2	1. PP No.7 Tahun 1999, Daftar Tanaman dan Hewan yang Dilindungi. 1
	3	1. UU No. 23, 1997 tentang Pengelolaan Lingkungan Hidup 1 2. PP No. 18, 1999 junto PP No 85, 1999 mengenai Pengelolaan limbah bahan berbahaya dan beracun. 2
	4	Not applicable for farmers
	5	1. UU No 18 tahun 2004 tentang perkebunan 2. PP No 04 tahun 2001 tentang pengendalian kerusakan dan atau pencemaran lingkungan hidup yang berkaitan dengan kebakaran hutan dan atau lahan.
	6	Not applicable for farmers
6	1	

Principle	Criteria	Regulation
		<ol style="list-style-type: none"> <li>UU No. 18 Tahun 2004 tentang Perkebunan (Pasal 25)</li> <li>UU No. 23 tahun 1997 tentang Lingkungan Hidup</li> </ol>
	2	<ol style="list-style-type: none"> <li>UU No. 18 tahun 2004 tentang Perkebunan.</li> </ol>
	3	<ol style="list-style-type: none"> <li>UU No. 18 tahun 2004 tentang Perkebunan</li> </ol>
	4	<ol style="list-style-type: none"> <li>UU No. 12 tahun 1992 tentang Sistem Budidaya Tanaman</li> <li>UU No. 23 tahun 1997 tentang Lingkungan Hidup</li> <li>UU No. 13 tahun 2003 Ketenagakerjaan</li> <li>UU No. 18 tahun 2004 tentang Perkebunan</li> </ol>
	5	<ol style="list-style-type: none"> <li>Peraturan Menteri Tenaga Kerja No.PER-01/MEN/1999 tentang Upah Minimum</li> </ol>
	6	Not applicable for farmers
	7	<ol style="list-style-type: none"> <li>Undang-Undang No.13 tahun 2003 tentang Ketenagakerjaan.</li> <li>Peraturan/Ketentuan mengenai wajib belajar.</li> <li>Keputusan Menakertrans RI No 235/MEN 2003 Tentang Jenis-Jenis Pekerjaan Yg Membahayakan Kesehatan Keselamatan atau Moral Anak.</li> <li>Keputusan Menakertrans RI No 115/MEN/VII/2004 Tentang Perlindungan Bagi Anak Yg Melakukan Pekerjaan Untuk Mengembangkan Bakat &amp; Minat.</li> </ol>
	8	UU No.13 tahun 2003 tentang Ketenagakerjaan
	9	No relevant regulation for farmers
	10	Kep MenTan No 395 th 2005
	11	UU No. 18 tahun 2004 tentang Perkebunan
7	1	<ol style="list-style-type: none"> <li>UU No. 23 tahun 1997 tentang Lingkungan Hidup (Pasal 5 ayat 2 dan Pasal 6 ayat 2)</li> <li>UU No. 18 tahun 2004 tentang Perkebunan; Pasal 25</li> <li>Menhut S.06/Menhut-VI/2006 tentang Hutan dengan Konservasi Tinggi</li> <li>Permentan No.26/Permentan/OT.140/2/2007</li> </ol>
	2	<ol style="list-style-type: none"> <li>UU Perkebunan No. 18, 2004</li> <li>Petunjuk Teknis Budidaya Kelapa Sawit. Direktorat Jenderal Perkebunan. Departemen Pertanian. Jakarta, 1997.</li> <li>Pedoman Teknis Pembangunan Kebun kelapa Sawit Direktorat Jenderal Perkebunan. Departemen Pertanian. Jakarta. (Akan dirilis tahun 2007)</li> </ol>
	3	

Principle	Criteria	Regulation
		<ol style="list-style-type: none"> <li>1. UU No. 18/2004 tentang Perkebunan</li> <li>2. HVCF Toolkit</li> </ol>
	4	<ol style="list-style-type: none"> <li>1. SK tentang Kemiringan Tanah, Dalamnya Gambut, PP Dirjen Perkebunan,</li> <li>2. Kepres 32 , 1990 tentang Penetapan Kawasan Lindung</li> <li>3. Kep Menhutbun No. 376/Kpts-II/1998, Psl. 2, Kesesuaian lahan yang cocok untuk perkebunan budidaya kelapa sawit.</li> </ol>
	5	<ol style="list-style-type: none"> <li>1. UU No. 23 tahun 1997 tentang Lingkungan Hidup (Pasal 5 ayat 2 dan Pasal 6 ayat 2).</li> <li>2. UU No. 18 tahun 2004 tentang Perkebunan; pasal 9 ayat 1 dan ayat 2. 2</li> </ol>
	6	<ol style="list-style-type: none"> <li>1. UU No. 18 tahun 2004 tentang Perkebunan</li> <li>2. Peraturan Menteri/Kepala BPN No. 5 tahun 1999 tentang Pedoman Penyelesaian masalah hak ulayat</li> <li>3. Peraturan Menteri Pertanian No. 26/Permentan/ar.140/2/2007</li> </ol>
	7	<ol style="list-style-type: none"> <li>1. UU 18/2004 tentang perkebunan</li> <li>2. PP 4/2001 tentang Pengendalian Kerusakna Dan Atau Pencemaran Lingkungan Hidup Yang Berkaitan Dengan Kebakaran Hutan Dan Atau Lahan.</li> <li>3. SK Mentan 357/19... Pembukaan lahan tanpa bakar</li> <li>4. Peraturan terkait Kebakaran Lahan, KLH, Deptan, Dephut</li> </ol>
8	1	<ol style="list-style-type: none"> <li>1. UU No. 18, 2004 tentang Perkebunan</li> </ol>

## APPENDIX 4

### Glossary

	English		Bahasa Indonesia
ASEAN	Association of South East Asia Nations		Asosiasi Negara-negara Asia Tenggara
CPO	Crude Palm Oil		Minyak kelapa sawit mentah
	Environmental Management Plan / Environmental Monitoring Plan	RKL/RPL	Rencana Kelola Lingkungan / Rencana Pemantauan Lingkungan
	Environmental Management Efforts / Environmental Monitoring Efforts	UKL/UPL	Upaya Kelola Lingkungan / Upaya Pemantauan Lingkungan
GAP	Good Agricultural Practices		Praktek Pertanian yang Baik
	Hazardous waste	B3	Bahan Beracun dan Berbahaya
HCV	High Conservation Value	NKT	Nilai Konservasi Tinggi
IPM	Integrated Pest Management	PHT	Pengelolaan Hama Terpadu
	National Spatial Plan		Rencana Rata Ruang Nasional
NGO	Non Governmental Organization	LSM	Lembaga Swadaya Masyarakat
NES	Nucleus Estate	PIR	Perkebunan Inti Rakyat
	Occupational Health and Safety	K3	Kesehatan dan Keselamatan Kerja
	Plantation Operation Licence	IUP	Izin Usaha Perkebunan
RSPO	Roundtable on Sustainable Palm Oil		Organisasi Minyak Sawit Berkelanjutan
STF	Smallholder Task Force		Gugus Tugas Petani
	Social and Environmental Impact Assessment	AMDAL	Analisis Mengenai Dampak Lingkungan dan Sosial
SOP	Standard Operating Procedures		
	Technical Guidance on Cultivating Oil Palm)		Pedoman Teknis Budidaya Kelapa Sawit
		BKSDA	Balai Konservasi Sumber Daya Alam
		KKPA	Kredit kepada Koperasi Primer untuk Anggotanya

	English		Bahasa Indonesia
		SKGR	
		SKT	

## APPENDIX 5

### Indonesian Smallholder Working Group (INA-SWG) Members

NO	Name	Position	Background	Institution
1.	Asril Darussamin	Chairmen	Lingkungan	ISPO/RSPO
2.	Suhandri	Vice Chairmen	Lingkungan	WWF Indonesia
3.	Norman Jiwan	Secretary	Sosial	Sawit Watch
4.	Rudy Lumuru	Member	Sosial	Independen
5.	Nogoseno	Member	Produser/Perusahaan Inti	Dewan Minyak Sawit Indonesia
6.	Freddy T.H. Sinurat	Member	Produser/Perusahaan Inti	PT. Astra Agro Lestari
7.	Slamet Riyadi	Member	Produser/Perusahaan Inti	PT. Astra Agro Lestari
8.	Adrian Suharto	Member	Lingkungan	PT. Inti Indosawit Subur
9.	Rafmen	Member	Sosial	PT. Inti Indosawit Subur
10.	Daniel Dwimiarto	Member	Produser/Perusahaan Inti	PT. Inti Indosawit Subur
11.	Dwi Asmono	Member	Produser/Perusahaan Inti	PT. Sampoerna Agro Tbk
12.	Indra Pangasian	Member	Produser/Perusahaan Inti	PT. Sampoerna Agro Tbk
13.	Herman Tandinata	Member	Produser/Perusahaan Inti	PT Musim Mas
14.	Rudolf Saut		Produser/Perusahaan Inti	PT Hindoli
15.	Haposan Panjaitan	Member	Produser/Perusahaan Inti	PT Inti Indosawit Subur
16.	Asrini Subrata		Produser/Perusahaan Inti	PT Inti Indosawit Subur
17.	Asmar Arsjad		Produser/Petani	APKASINDO
18.	Darto	Member	Produser/Petani	SPKS
19.	Dayat	Member	Produser/Petani	SPKS
20.	Edi Suherman	Member	Produser/Petani	SPKS
21.	Cion Alexander	Member	Produser/Petani	SPKS
22.	Fransiskus T	Member	Produser/Petani	SPKS
23.	Kanisius T	Member	Produser/Petani	SPKS
24.	Norsianus	Member	Produser/Petani	SPKS

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<b>NO</b>	<b>Name</b>	<b>Position</b>	<b>Background</b>	<b>Institution</b>
25.	Sempinus	Member	Produser/Petani	SPKS
26.	Syahrul M	Member	Produser/Petani	SPKS
27.	Yusran	Member	Produser/Petani	SPKS
28.	Sutarno Kudin	Member	Produser/Petani	ASPEKPIR
29.	Yoseph Matondang	Member	Produser/Petani	ASPEKPIR
30.	Sunarto	Member	Produser/Petani	PT. Inti Indosawit Subur
31.	Rahmawati	Member	Sosial	Sawit Watch
32.	Rambo	Member	Sosial	Sawit Watch
33.	Purwo Susanto	Member	Lingkungan	WWF Indonesia
34.	Wiwin Effendie	Member	Lingkungan	WWF Indonesia
35.	M. Yudi Agusrin	Member	Lingkungan	WWF Indonesia
36.	Amalia Prameswari	Member	Lingkungan	WWF Indonesia
37.	Haryono	Member	Lingkungan	WWF Indonesia
38.	Dani Rahadian	Member	Lingkungan	WWF Indonesia
39.	Riko Kurniawan	Member	Sosial	Yayasan Elang
40.	Rukaiyah Rofiq	Member	Sosial	Yayasan Setara Jambi
41.	Asri Jon Tanjung	Member	Sosial	Yayasan Setara Jambi
42.	Panca Pramudya	Member	Sosial	Hivos
43.	Murdwi Astuti	Member	Pemerintah/Agronomis	Kementrian Pertanian RI
44.	Sunarto	Member	Pemerintah/Agronomis	Kementrian Pertanian RI
45.	Galih Surti	Member	Pemerintah/Agronomis	Kementrian Pertanian RI
46.	Irmia Nur Andayani	Member	Pemerintah/Bibit	Kementrian Pertanian RI
47.	Ety Sulistiaty	Member	Pemerintah/Bibit	Kementrian Pertanian RI
48.	Djoko Priharyanto	Member	Pemerintah/Perlindungan Tanaman	Kementrian Pertanian RI
49.	Sahat Simarmata	Member	Pemerintah/Perlindungan Tanaman	Kementrian Pertanian RI
50.	Heru	Member	Pemerintah/Perlindungan Tanaman	Kementrian Pertanian RI
51.	Sartono	Member	Pemerintah	Komisi Minyak Sawit Indonesia
52.	Iman K. Nawireja	Member	Lembaga Sertifikasi	British Standard Institution

<b>NO</b>	<b>Name</b>	<b>Position</b>	<b>Background</b>	<b>Institution</b>
53.	Deni Novendi	Member	Lembaga Sertifikasi	PT Mutuagung Lestari
54.	Dian Soeminta	Member	Lembaga Sertifikasi	TUV Rheinland
55.	Deuxiemi Kusumadewi		Facilitator	RILO