

# PACKAGE SUBMISSION CHECKLIST – IFCC



OFFICE	INDONESIA	JOB NUMBER(S)	AJA/IFCC-008	STANDARDS	IFCC ST 1001:2014
TYPE OF AUDIT	INITIAL AUDIT IFCC ST 1001:2014	CERT NUMBER(S)		ACCREDITATIONS	ACCREDIA
CLIENT NAME	PT Arara Abadi				

## SECTION 1 – FOR USE BY NON-ACCREDITED OFFICE TO CONFIRM SENDING (CHECK AND TICK AND SEND IN THIS ORDER)

V	APPROVED PWS	V	ITINERARY (IF SEPARATE)		PREVIOUS REPORT (IF APPLICABLE)
V	QUESTIONNAIRE	V	STAGE 1 REPORT (IF APPLICABLE)		PREVIOUS CERTIFICATE (IF APPLICABLE)
V	MAIN AUDIT REPORT	V	APPLICATION		PRE-TRANSFER REVIEW FORM (IF APPLICABLE)
V	AUDIT OPENING AND CLOSING MEETING	V	OTHER SUPPORTING INFORMATION SUBMITTED (PLEASE SPECIFY BELOW)		
	Public Report, Auditor Guidance Checklist				

LOCAL OFFICE SIGNATURE OF REVIEW & APPROVAL FOR SUBMISSION TO THE ACCREDITED OFFICE

## SECTION 2 - ACCREDITED OFFICE TECHNICAL AND ADMINISTRATIVE APPROVAL CHECKS & CERTIFICATE DECISION

DECISION POINTS		NOTES	CDM1	CDM2
WHO ARE THE DESIGNATED CERTIFICATE DECISION MAKERS ON THE PWS:		Bart Willem Van Assen (BWA) & Roy Adam (RA)	BWA	RA
MANDAY CHECKS	TOTAL STAGE 1 & 2 MAN DAYS (AS PER IFCC ST 1002:2013)	6 man days Stage 1 & 48 man-days Stage 2. Stage 2 man days are as per IFCC 1002:2013	BWA	RA
	ACTUAL STAGE 1 & 2 MAN DAYS CARRIED OUT VS PWS REQUIREMENT (number of 8 hour days carried out in accordance with the audit itinerary and reports)	<b>Yes</b> Actual mandays and planned mandays are same. See file 'Report Audit Stage 1.	BWA	RA
	ACCEPTABLE JUSTIFICATION FOR ACTUAL STAGE 1 & 2 MANDAYS	<b>Yes</b> Man-days are appropriate for audit. File 'Report Audit Stage 1 - IFCC- PT. Arara Abadi contains a detailed itinerary and estimated man-days.	BWA	RA
	STAGE 1 & 2 MANDAYS APPROPRIATE	<b>Yes</b>	BWA	RA
STAGE 1 - IF APPLICABLE	WHAT IS THE JUSTIFICATION FOR AN OFF SITE STAGE 1 AUDIT	<b>NA</b> Stage 1 Audit was conducted at the company HO, where all documentation is centralized.	BWA	RA
	IS THIS JUSTIFICATION ACCEPTABLE	<b>NA</b> . Stage 1 audit on site	BWA	RA
	STAGE 1 AUDIT TEAM CODED AND AS PER APPROVED PWS	<b>Yes</b> See file 'PWS - IFCC_IssueB- Arara.pdf'	BWA	RA
	STAGE 1 REPORT REFERENCES SITE SPECIFIC CONDITIONS	<b>Yes</b> Auditor checklist contains detailed site-specific conditions for all applicable criteria and sites. Site Maps are available. Auditor checklist ('STAGE 2_Auditor Checklist - PT Arara Abadi_SFM IFCC ST 1001_2013-Issue B_Bahasa.pdf') contains detailed site-specific conditions for all applicable criteria and sites. Site Map is available. <b>Note: map is too small and needs to cross-reference against various sites mentioned on pp 3-4. High resolution map obtained from client, clearly showing all areas.</b>	BWA	RA
	STAGE 1 REPORT REFERENCE TO ALLOCATION OF RESOURCES FOR STAGE 2	<b>Yes</b> Stage 2 report cross checked with stage 1 report, Stage1 Report contains a detailed itinerary and estimated man-days.	BWA	RA
	STAGE 1 REPORT REFERENCE TO CLIENT READINESS FOR STAGE 2	<b>Yes</b> CARs in Stage 1 are closed. Client Readiness is referenced; Overall, the Stage 1 Report needs to record much more evidence, including SOPs, WI and other details of the Management System.	BWA	RA

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	STAGE 1 REPORT REFERENCES TO MULTI-SITE PLANNING FOR STAGE 2	<b>Yes</b> Stage 1 report details the various sites under the auditee's license.	BWA	RA
	STAGE 1 FINDINGS RECORDED AND ADEQUATELY CLOSED OUT	<b>Yes</b> Action in Stage 2 cross checked with stage 1 report Conversion areas are excluded from certification scope by AA (Stage 1 Finding 1), consistent with Stage 2 Report.	BWA	RA
	STAGE 1 ITINERARY SUBMITTED AND MATCHES MANDAY REQUIREMENT AND SITE LOCATIONS	<b>Yes</b> Stage 1 report contains a detailed itinerary of locations, sites and required man-days ('Itinerary - IFCC_Stage 1_PT Arara Abadi.pdf').	BWA	RA
STAGE 2 AUDIT TEAM CODED AND AS PER APPROVED PWS		<b>Yes</b> Audit team same as per PWS	BWA	RA
SCOPE AS ON APPROVED PWS		<b>Yes</b> Audit team same as per PWS. See file 'PWS - IFCC_IssueB- Arara.pdf'	BWA	RA
TOTAL FINDINGS RECORDED AND MATCH THOSE IN REPORT		<b>Yes</b> See file 'PWS - IFCC_IssueB- Arara.pdf'	BWA	RA
AUDIT TEAM RECOMMENDATION CORRECT AS PER FINDINGS		<b>Yes</b> The audit team's recommendations are not supported due to missing evidence.	BWA	RA
MANDAY CHECKS	SITES AND DATES VISITED CROSS REFERENCE WITH ITINERARY	<b>Yes</b> Sites and dates visited are consistent with the planned itinerary. Sites/Dates are cross-referenced in Stage 2 Report, and detailed in Auditor Checklist. Sites/dates visited as per itinerary.	BWA	RA
	HAVE SITES BEEN VISITED AS PER PWS/VISIT MATRIX REQUIREMENTS	<b>Yes</b> See file 'PWS - IFCC_IssueB- Arara.pdf'	BWA	RA
	HAS A REPRESENTATIVE SAMPLE OF INSTALLATION SITES BEEN VISITED (refer to number of operational sites declared by the client on the questionnaire)	<b>Yes</b> Sites in file 'PWS Signed PT SPA.pdf' are all covered in 'STAGE 2_Auditor Checklist - PT Arara Abadi_SFM IFCC ST 1001_2013-Issue B_Bahasa.pdf'.	BWA	RA
	HOW WAS THIS REPRESENTATIVE SAMPLE DETERMINED (refer to stage 1 report)	See file 'Visits Matrix for Multi-Site Sampling - IFCC-AA-Rev 12 May 2015.pdf'	BWA	RA
	IS THE SAMPLE TRULY REPRESENTATIVE	<b>Yes</b> Sample represents the whole sufficiently.	BWA	RA
	ITINERARY REFERENCES ALL SITES SHOWN ON THE REPORT AS VISITED	<b>Yes</b> Itinerary ('Itinerary - IFCC- Stage II - PT Arara Abadi.pdf') shows dates and auditor present at the various sites.	BWA	RA
PROCESSES APPROPRIATE TO THE SCOPE AND INDUSTRY OF THE CLIENT AND ARE CONSISTENT WITH TYPICAL PROCESSES WITHIN SECTOR		<b>Yes</b> Processes are appropriate for a forestry management company in Indonesia.	BWA	RA
CHANGES RECORDED		<b>NA</b> Initial certification , no changes yet made to the report	BWA	RA
REFERENCE MADE TO PREVIOUS FINDINGS AND CROSS CHECKED WITH STAGE 1 OR PREVIOUS REPORT		<b>Yes</b> The evidence collected for Stage 2 cross-references to that collected for Stage 1.	BWA	RA
REFERENCE MADE TO CORRECT USE OF AJA & ACCREDITATION MARKS		<b>NA</b> Initial certification	BWA	RA
STATEMENT REGARDING ISSUE STATUS AND EFFECTIVENESS OF THE CLIENT'S DOCUMENTED SYSTEM APPROPRIATE		<b>Yes</b> Auditor Checklist includes details on Policies, Standard Operating Procedures and Work Instructions as guidelines to all aspects and activities (Production, Environmental/Ecological and Social). Client get good documentations system and record of report documents for all activities in conformity with role and plan since 2010 until 2015. The auditee's documented system is referenced throughout the various clauses in the auditor checklist, including under indicator 1.11, and criterion 2.	BWA	RA

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STATEMENT REGARDING RELEVANT LEGAL REQUIREMENTS AND COMPLIANCE WITH REQUIREMENTS APPROPRIATE	<b>Yes</b> Auditor Checklist includes sufficient details on all relevant legal requirements., e.g : Akta Pendirian, SK IUPHHK & Working Area Maps, NPWP (Nomor Pokok Wajib Pajak), SIUP (Surat Izin Usaha Perdagangan), TDP (Tanda Daftar Perusahaan), RKUPHHK-HT Rencana Kerja Usaha Pemanfaatan Hasil Hutan Kayu Hutan Tanaman), RKT (Rencana Kerja Tahunan), AMDAL (Analisa Mengenai Dampak Lingkungan), PBB (Pajak Bumi Bangunan, PSDH (Provisi Sumber Daya Hutan), etc. Client implements activities in accordance with Planning Documents : RKUPHHK-HT and RKT. Relevant legal requirements are covered in detail under Indicator 1.	BWA	RA
STATEMENT REGARDING THE CLIENT SYSTEM ACROSS ALL THE SITES TO BE COVERED BY THE CERTIFICATION APPROPRIATE	<b>Yes</b> Auditor Checklist includes details on Policies, SOPs and Work Instructions. <b>Note: Stage 2 Report should be more explicit on examples of implementation and effectiveness of the system.</b>	BWA	RA
STATEMENT REGARDING THE IMPLEMENTATION AND EFFECTIVENESS OF THE CLIENT'S SOCIAL ASPECT MANAGEMENT	<b>Yes</b> Information on community rights and community relations (CD/CSR, Community Development/Corporate Social Responsibility) and Conflict Resolution Management is complete. Client has been carry out the social activities within several villages in accordance with the document. Social aspects are covered under Principles 9-12.	BWA	RA
STATEMENT REGARDING THE IMPLEMENTATION AND EFFECTIVENESS OF THE CLIENT'S ENVIRONMENTAL CONTROLS	<b>Yes</b> Auditor Checklist includes details on production and Safety Health & Environment controls.. Client activities about environmental aspect has been recording in RKL-RPL (Rencana Pengelolaan Lingkungan - Rencana Pemantauan Lingkungan) Report. The environmental aspect means are e.g : waste management, flora/fauna monitoring, soil and water protection, biodiversity management, fire protection etc. Environmental aspects are covered under Principles 4-8 and in Section III. An abundant amount of Minor CARs were raised for indicators I.7.1 (3) and I.4.2 (2).	BWA	RA
STATEMENT REGARDING THE IMPLEMENTATION AND EFFECTIVENESS OF THE CLIENT'S MONITORING AND EVALUATION	<b>Yes</b> Information is available on monitoring in the Audit Checklist, Client get Standard Operating Procedures and Work Instructions as guidelines to all aspects and activities (Production, Environmental/Ecological and Social). For evaluates and monitors, clients has report such as RKL (Rencana Kelola Lingkungan) report per six month. Monitoring and Evaluation is covered mainly under Principles 3-5 and in Section III. No issues were encountered.	BWA	RA
FINDINGS SECTION HAS BEEN UPDATED TO SHOW THE CARs FROM THIS VISIT	<b>Yes</b> The data are updated. Findings section is up-to-date for the findings from Stage 1 and Stage 2.	BWA	RA
ITINERARY COVERS CORRECT CLAUSES	<b>Yes</b> Itinerary covers all clauses in the standard.	BWA	RA
ATTENDANCE RECORD PAGE 1 SHOWS ALL AUDITORS AND ALL DATES AND CLIENT NAMES HAVE BEEN RECORDED	<b>Yes</b> Attendance sheet is available as file 'Audit Opening Closing Meeting Attendance record Stage I.pdf' and 'Audit Opening Closing Meeting Attendance record Stage II.pdf'	BWA	RA
ATTENDANCE RECORD PAGE 2 SHOWS CLIENT NAME, POSITION, SIGNATURE/STAMP AND DATE OF CLOSING MEETING	<b>Yes</b> Date of Closing Meeting held on the Audit End Date. Attendance sheet is available as file 'Audit Opening Closing Meeting Attendance record Stage I.pdf' and 'Audit Opening Closing Meeting Attendance record Stage II.pdf'	BWA	RA

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ALL PREVIOUS FINDINGS HAVE BEEN ADDRESSED AND ARE CLOSED	<b>Yes</b> No previous findings. This is the initial certification audit and there were no findings at the stage 1 audit 2 previous findings were raised, and closed. However, insufficient evidence was available to justify closing finding stage 2.	BWA	RA
ROOT CAUSE FOR CARS RAISED HAS BEEN EFFECTIVELY RECORDED	<b>Yes</b> Root causes for CARS 1-8 of 8 have been clearly recorded.	BWA	RA
CLOSE OUT OR ACCEPTANCE OF PROPOSED CLOSE OUT FOR CARS RAISED HAS BEEN EFFECTIVELY RECORDED	<b>Yes</b> Objective evidence and/or means of obtaining this evidence is clear.	BWA	RA
NO SOFT GRADED CARS, OBSERVATIONS OR STATEMENTS OF CONSULTANCY IN EVIDENCE	<b>Yes</b> All auditors work with role of audit system. No soft graded CARS, Observations or statements were observed.	BWA	RA
OTHER COMMENTS	Good report, but often too implicit about the effectiveness (read results) of the auditee's management. Insufficient information is given in the part on Multisite Projects. Abundant and repeating details/evidence overwhelms the reader in some cases, sacrificing clear conclusions. <b>One outstanding and critical issue is the semi-exclusion of areas converted after December 2010. These areas must be clearly excluded from maps and audit reports. Report has been updated to correct this.</b>	BWA	
CERTIFICATE DECISION MAKER 1	Bart Willem Van Assen	SIGNATURE	 DATE 04 June 2015
CERTIFICATE DECISION MAKER 2	Roy Adam	SIGNATURE	 DATE 04 June 2015

ACCREDITED OFFICE  
SIGNATURE OF REVIEW & APPROVAL

LEAD AUDITOR PERFORMANCE MONITORING RECORD

CERTIFICATE  
DECISION DATE:

Name of Lead Auditor:

Andri Wibisono

Lead Auditor Performance 1 / 2 / 3 / 4 / 5

1 = Immediate 2 = Actions 3 = Required, 4 = Acceptable, 5 = Excellent

Comments :