RSPO

Roundtable on Sustainable Palm Oil



THAILAND NATIONAL INTERPRETATION (TH-NI)

OF THE RSPO PRINCIPLES AND CRITERIA FOR THE PRODUCTION OF SUSTAINABLE PALM OIL 2018

Endorsed by the RSPO Board of Governors on 25 June 2020





PREAMBLE

Sustainable palm oil production consists of legal, economically viable, environmentally appropriate and socially beneficial management and operations. This is delivered through the application of the following set of principles and criteria accompanying indicators and guidance.

The first set of the RSPO Principles & Criteria, Indicators and Guidance (RSPO P&C 2007) has been applied since November 2007, followed by a process of the Thailand National Interpretation Working Group (TH-NIWG) in 2010. After five years of application by RSPO members, the RSPO P&C 2007 were reviewed in 2012–2013, leading to the RSPO P&C 2013.

The TH-NIWG also reviewed the RSPO P&C 2013 version to become the Thai version in 2015. After a further five years of application, the RSPO P&C 2013 was reviewed once again in 2017–2018, and in November 2018 became the final version of the RSPO P&C 2018.

The objective of each review is to improve the relevance and effectiveness of the P&C for RSPO members and to achieve the shared vision and mission of making sustainable palm oil the norm. More specifically, the most recent revision sought to align the P&C with the RSPO Theory of Change (ToC) and to increase accessibility by making them more relevant and practical in terms of best practices and commitments to national laws, the United Nations Universal Declaration of Human Rights, and the International Labour Organization Declaration on Fundamental Principles and Rights at Work. This document is based on the RSPO Principles and Criteria for Sustainable Palm Oil Production (RSPO P&C; November 2018) and has developed into the Principles and Criteria for Thailand through the support and cooperation of relevant associations of the Thai oil palm and palm oil industry. The process of the National Interpretation (NI) is conducted voluntarily by the working group and has taken public recommendations into account.

This document does not cover group certification for Thai Independent Smallholders. The TH-NIWG has scheduled to establish this Group Certification on a later date, following the RSPO Independent Smallholder Standard 2019. It is worth mentioning that Thai oil palm smallholders, no matter if they are Independent Smallholders or Scheme Smallholders (if it is applicable in the future), represent over 90% of total national oil palm growers. As such, smallholders in this context refer to oil palm growers that may also grow other crops for their on-farm income and depend heavily on family labour with planted areas of oil palm less than 50 hectares (312.5 rai). In addition, the TH-NIWG encourages oil palm growers with the planted areas between 50 and 1,000 ha (more than 312.5 rai and 6,250 rai) to participate and implement this Standard as well as to join the mills, including assisting the establishment of farmers' groups, either Scheme Smallholder groups or Independent Smallholder groups, where appropriate, for close collaboration and partnership according to Thailand Sustainable Development Goal 17.

This document defines relevant Indicators for each Criterion and further develops guidance to be used for the production of Certified Sustainable Palm Oil (CSPO) in Thailand. These Indicators are specific pieces of objective evidence that shall be in place to demonstrate or verify that the Criteria is being met. Guidance consists of useful information to help the unit of certification and auditor understand what the Criterion and/ or Indicators mean in practice, to indicate good practices that should be followed. Therefore, guidance constitutes the informative part of the standard.

This document was produced by the TH-NIWG, which is composed of representatives of oil palm growers, the supply chain sector, social NGOs, environmental NGOs and other experts including government agencies and certification bodies. The TH-NIWG has compiled and included the Thai Laws and Regulations based on the consensus of participating stakeholders from the palm oil industry in Thailand as well as the interpretation of Indicator 7.12.2, whereby any new land clearing after 15 November 2018 shall be preceded by an assessment of High Conservation Value-HIgh Carbon Stock (HCV-HCS) and shall follow Annex 5: RSPO transition from HCV to HCV-HCS assessments of the RSPO P&C 2018.

Besides Annex 5, a number of annexes containing necessary information has been supplemented to the main P&C context, i.e., Annex 1 provides definitions of the technical terms used in this standard. Annex 2 contains additional guidance. Annex 3a provides key international laws and conventions applicable to the production of palm oil in Thailand. Annex 3b consists of related laws and regulations used in the Thailand palm oil industry in relation to respective Principles and Criteria. Finally, Annex 4 supplements the implementation procedure for Indicator 2.3.2. In addition, it is also important to refer to the keyword Critical or "C" which means to be crucial of those Indicators that the unit of certification shall put into practice.

Lastly, the process of National Interpretation is conducted in Thai and translated into English. Therefore, in case of any difference in meaning between the Thai text and the English translation, the English version of the text shall be applied.

Thai National Interpretation Working Group on Indicators and Guidance

June 2021

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Acronym	Meaning
AFI	Accountability Framework Initiative
ALS	Assessor Licensing Scheme
ASA	Annual Surveillance Assessments
ASEAN	Association of Southeast Asian Nations
BHCVWG	Biodiversity & High Conservation Value Working Group
BMPs	Best Management Practices
BOD	Biochemical Oxygen Demand
BoG	Board of Governors
CABI	Centre for Agriculture and Biosciences International
СВ	Certification Body
CBA	Collective Bargaining Agreement
CBD	Convention on Biological Diversity
СРО	Crude Palm Oil
CSO	Civil Society Organisation
DfID	Department for International Development (UK government)
DLW	Decent Living Wage
EFB	Empty Fruit Bunches
FAO	Food and Agriculture Organization
FFB	Fresh Fruit Bunch
FPIC	Free, Prior and Informed Consent

Acronym	Meaning
FSC	Forest Stewardship Council
GA	General Assembly
GHG	Greenhouse Gas
GLWC	Global Living Wage Coalition
H&S	Health and Safety
HCS	High Carbon Stock
HCSA	High Carbon Stock Approach
HCV	High Conservation Value
HCVRN	High Conservation Value Resource Network
HFCC	High Forest Cover Country
HFCL	High Forest Cover Landscape
HGU	Hak Guna Usaha
HRC	Human Rights Commission
HRD	Human Rights Defender
ICS	Internal Control System
IDS	Institute of Development Studies
IFC	International Finance Corporation
IFL	Intact Forest Landscape
ILO	International Labour Organization
IP	Identity Preserved

Meaning
Intergovernmental Panel on Climate Change
Integrated Pest Management
International Organization for Standardization
International Union for Conservation of Nature
Joint Consultative Committee
Key Biodiversity Area
Key Performance Indicator
Lost Time Accident
Land Use Change Analysis
Mass Balance
No Deforestation Joint Steering Group
Non-Governmental Organisation
National Interpretation
Oil Extraction Rate
Quality Management System
RSPO Principles and Criteria (i.e. this document)
Palm Kernel
Peatland Working Group
Palm Oil
Palm Oil Mill Effluent

Acronym	Meaning
PPE	Personal Protective Equipment
RaCP	Remediation and Compensation Procedure
REDD	Reducing Emissions from Deforestation and Forest Degradation
RSPO	Roundtable on Sustainable Palm Oil
RTE	Rare, Threatened or Endangered
SCCS	RSPO Supply Chain Certification Standard
SDG	Sustainable Development Goal
SEIA	Social and Environmental Impact Assessment
SHIG	Smallholder Interim Group
SLAPP	Strategic Lawsuits against Public Participation
SOP	Standard Operating Procedure
ToC	Theory of Change
UN	United Nations

Preamble 1. SCOPE

The RSPO Principles and Criteria (RSPO P&C) cover the most significant environmental and social impacts of palm oil production and the immediate inputs to production, such as seed, chemicals and water, and social impacts related to on-farm labour and community relations.

The RSPO P&C apply to all production level companies, i.e. all mills, who do not fall under the definition of an independent mill as outlined in the RSPO SCC standard; and to all growers who do not meet the definition of Independent Smallholder or the applicability requirements as outlined in the RSPO Smallholder Standard and therefore cannot apply the RSPO Independent Smallholder Standard. These are referred to as the unit of certification throughout this document.

The unit of certification is responsible for the certification of related Scheme Smallholders and outgrowers within three years of obtaining its own certificate (see Section 4.1.3 in RSPO Certification Systems 2017). Guidance for implementation of the RSPO P&C 2018 for Scheme Smallholders and outgrowers will be developed.

The RSPO P&C apply to existing plantings, as well as planning, siting, development, expansion and new plantings.

Compliance with the RSPO P&C and all requirements as outlined in associated documents is required in order for certification to be awarded. Any non-conformities may result in suspension or loss of certification (see Section 4.9 in RSPO Certification Systems 2017). Compliance must be demonstrated with the normative part of the P&C, i.e. the Principles, Criteria and Indicators. Non-conformities are raised at Indicator-level by auditors. The informative part (i.e. Annex 2 Guidance) is there to help with the implementation of Indicators, but it is not normative, nor can non-conformities be raised against this section.

Role of each standard element:

Team	Explanation	RSPO Standard Setting document	Category
Principle	Fundamental statements about a desired outcome	A fundamental statement about a desired outcome, often providing greater detail about the objectives.	Normative
Criteria	What implementation of the Principle looks like – the preconditions or means of judging whether or not a Principle has been fulfilled	The conditions that need to be met in order to fulfil a Principle. Criteria add meaning and operationality to a Principle without themselves being direct measures of performance.	Normative
Indicator	Variable to measure the implementation (positive or negative)	The measurable states, which allow the assessment of whether or not associated Criteria, are being met. Indicators convey a single, meaningful message or piece of information.	Normative
Guidance	Additional information that assists with the understanding, implementation and auditing of the requirement (i.e. the Indicator)	Guidance consists of useful information to help the unit of certification and auditor understand what the Criterion and/or Indicators mean in practice, to indicate good practice, and practices that should be followed.	Informative
Procedural Note	Exceptional measure to allow mention of pending developments	A note in the standard only to be used where a methodology or element of the standard is still under development to clarify terms, conditions and procedure prior to the said methodology or element being finalised.	Informative

Role of Definitions

Throughout the standard, some terms carry a specific RSPO definition, which is provided in Annex 1 – Definitions section of this standard. These definitions are binding elements of Criteria and Indicators.

Preamble 2. RSPO VISION AND THE THEORY OF CHANGE (TOC)

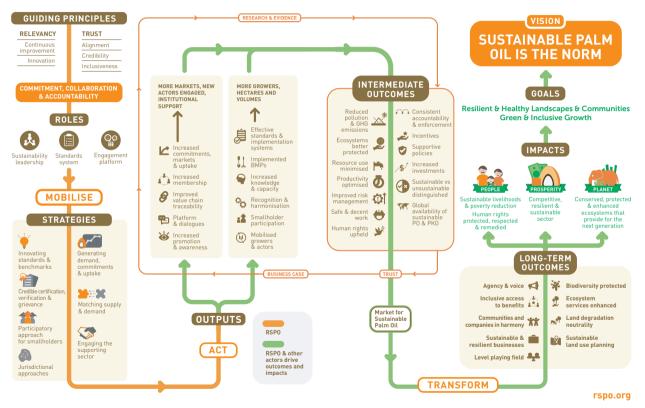


The RSPO Theory of Change (ToC) is a roadmap that demonstrates how RSPO will achieve its vision of making sustainable palm oil the norm. With the support of its members, partners and other actors, RSPO will implement key strategies and activities to trigger the transformation of the palm oil sector. These strategies are intended to bring about direct outputs in the form of increased adoption of the RSPO standards, greater transparency and inclusivity in the RSPO system, increased market uptake of sustainable palm oil, and an improved enabling environment. Over time, these outputs will lead to outcomes that are expected to improve the quality of life of oil palm farmers, create a more prosperous palm oil industry, and enable us to better conserve our planet and its resources. When the ToC is fully realised, it delivers change where it matters most – on the ground; a space where oil palm, the environment, and local communities can co-exist in harmony. It also provides a framework to monitor, evaluate and report on the effects of applying the RSPO P&C.

More details on the RSPO ToC are available here: https://rspo.org/about/ impacts/theory-of-change.



THEORY OF CHANGE RSPO'S ROADMAP FOR SUSTAINABLE PALM OIL





Effective implementation and more growers' uptake of the P&C lead to the intermediate outcomes:

- Resource use minimisation (soil, water, energy), input use reduction – reduced costs
- Reduced pollution [(water, air, greenhouse gas (GHG)]
- Improved risk management management plans and assessments
- Ecosystems better protected
- Productivity optimised
- Land and use rights respected
- Safe and decent work for all community members

The process for change at RSPO is characterised by a progression of "**Mobilise, Act and Transform**". This is the backbone of the RSPO ToC and underpinned by the concept of shared responsibility and accountability for results.

Commitment: All the actors commit to their contribution to transforming markets.

Collaboration: Recognising the need to work together and making that happen — transformation of markets cannot happen without collaboration.

Accountability: Commitment and collaboration are to be fulfilled with a shared responsibility for impact. The expectation of partners and members is that they commit to participate and there is mutual and agreed accountability for results.

Preamble 3. OUTCOME FOCUS

The core objectives of the 2018 RSPO P&C review include:

- Incorporating elements of impacts;
- Making it more relevant and practical, particularly by making it metricated (measurable);
- Incorporating elements of impacts as prescribed by the ToC.

It is important to keep in mind that it is simply not feasible or meaningful to propose indicator level, specific measurable outcomes because of many technical and political challenges. From research and experience with other standards, these include:

- Attribution achieving outcomes is based on a wide range of actions and context, often out of the control of the grower (weather, market forces, pests);
- Defining globally relevant outcomes;
- Favour larger, more resourced growers potentially demotivating small and medium size growers;
- Costs and burden for data reporting systems and management.

However, outcome-focused P&C can still be achieved, by showing very explicitly the links between the set of Criteria and intended outcomes. Furthermore, a requirement for reporting to RSPO has been included in the Management Principle under Criterion 3.2 for continuous improvement. This will provide RSPO with information on the results of the P&C implementation. This requirement refers to a small set of strategic metrics, directly related to the P&C and aligned with the ToC and RSPO organisational Key Performance Indicators (KPIs). The resulting reporting will be anonymised for analysis, marketing and impact assessment.

The selection criteria for these metrics included:

- Value added to growers;
- Link to P&C requirements;
- Key ToC outcomes;
- Those already required for measuring, monitoring and/or reporting.

Preamble 4. STRUCTURE OF THE RSPO P&C

The RSPO P&C are organised into three impact areas according to the RSPO Theory of Change (ToC).



Impact Goal PROSPERITY: Competitive, resilient and sustainable sector

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Principle 1. Behave ethically and
transparently
Principle 2. Operate legally and respect
rights
Principle 3. Optimise productivity,
efficiency, positive impacts
and resilience
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Impact Goal PEOPLE: Sustainable livelihoods and poverty reduction

Principle 4. Respect community and human rights and deliver benefits Principle 5. Support smallholder inclusion Principle 6. Respect workers' rights and conditions



Impact Goal PLANET: Conserved, protected and enhanced ecosystems that provide for the next generation

Principle 7. Protect, conserve and enhance ecosystems and the environment

Objectives ToC	Principle of Theme
A sustainable, competitive, and resilient palm oil sector ensures long-term viability of the entire supply chain and shared benefits for both private sector as well as the livelihoods of communities where oil	 Behave ethically and transparently
palm is grown. Effective planning and management systems address economic viability, environmental and social compliance and risk, establish procedures and systems for ensuring conformance to the RSPO P&C, and support continuous improvement towards sustainable palm oil.	2. Operate legally and respect rights
	3. Optimise productivity, efficiency, positive impacts and resilience
Human rights protected, respected and remedied. The palm oil sector contributes to reducing poverty and palm oil production is a source of sustainable livelihoods. Human rights are respected. People participate	 Respect community and human rights and deliver benefits
in processes that affect them with shared access and benefits. Everyone engaged in palm oil production has equal opportunities to fulfill their potential in work and community with dignity and equality and in a	5. Support smallholder inclusion
healthy working and living environment.	6. Respect workers' rights and conditions
Ecosystems and their services are protected, restored, and resilient, including through sustainable consumption and production and sustainable management of natural resources [sustainably manage forests, combat desertification, halt and reverse and degradation, halt biodiversity loss (SDG 15)]. Climate change is addressed through	7. Protect, conserve and enhance ecosystems and the environment
	A sustainable, competitive, and resilient palm oil sector ensures long-term viability of the entire supply chain and shared benefits for both private sector as well as the livelihoods of communities where oil palm is grown. Effective planning and management systems address economic viability, environmental and social compliance and risk, establish procedures and systems for ensuring conformance to the RSPO P&C, and support continuous improvement towards sustainable palm oil. Human rights protected, respected and remedied. The palm oil sector contributes to reducing poverty and palm oil production is a source of sustainable livelihoods. Human rights are respected. People participate in processes that affect them with shared access and benefits. Everyone engaged in palm oil production has equal opportunities to fulfill their potential in work and community with dignity and equality and in a healthy working and living environment. Ecosystems and their services are protected, restored, and resilient, including through sustainable consumption and production and sustainable management of natural resources [sustainably manage forests, combat desertification, halt and reverse and degradation, halt

Preamble

4. STRUCTURE OF THE RSPO P&C

		Criteria Topic	2018 P&C Criterion No	2013 P&C Criterion No
		Information and public availability	1.1	1.1/1.2/6.10
	1.	Communication and consultation	1.1	6.2
~		Commitment to ethical conduct	1.2	1.3 / 6.10
		Legal compliance	2.1	2.1/6.10
ERIT	2.	Third party contractors legal	2.2	n.a.
		Third party FBB legally sourced	2.3	n.a.
		Long term plan and economic viability	3.1	3.1
SP	3.	Continuous Improvement & Reporting	3.2	8.1
ő		Standard Operating Procedures	3.3	4.1
~		SEIA and Plans	3.3	5.1/6.1/7.1
PR		System for managing human resources	3.4	
				n.a.
		Occupational Health and Safety Plan	3.6	4.7 (part)
		Training	3.7	4.8
	4.	Human Rights	4.1	6.13
		Complaints and Grievances	4.2	6.3
		Contribution to local sustainable development	4.3	6.11 (part)
		Land use & FPIC	4.4 & 4.5	2.3 / 7.5
		Land Use: Compensation	4.6 & 4.7	6.4 / 7.6
щ		Land Use: Conflict	4.8	2.2
	5.	Fair and transparent dealings with SH	5.1	6.1
OPL	э.	Improved SH livelihoods	5.2	6.11 (part)
ш	6.	No discrimination	6.1	6.8
	0.	Pay and working conditions	6.2	6
		Freedom of association	6.3	6.6
		No child labour	6.4	6.7
		No harassment	6.5	6.9
		No forced or trafficked labour	6.6	6.12
		Safe working environment	6.7	4.7 (part)
	····-	Effective Integrated Pest Management	7.1	4.5
	7.	Pesticide Use	7.2	4.6
		Waste management	7.3	5.3
		Soil health fertility	7.4	4.2 / 7.2
ш.		Soil conservation (erosion and degradation)	7.5	4.3 & 7.4 (parts)
Z		Soil survey and topographic information	7.6	4.3 & 7.2
LANET		Peat	7.7	4.3 & 7.4 (parts)
		Water quality and quantity	7.8	4.4
_		Energy Use	7.9	5.4
		Pollution and GHGs	7.10	5.6 / 7.8
		Fire	7.11	5.5 / 7.7

Link to Theory of Change - Intermediate outcomes

	Improved Risk Management
	Improved Risk Management
	Improved Risk Management, Cross cutting
	Improved Risk Management, Cross cutting
	Improved Risk Management
	Improved Risk Management
	Improved Risk Management, Safe and Decent work
	Improved Risk Management, Safe and Decent work
•••••	Human rights upheld
	Inclusive access, communities
	Inclusive access, SH
	Inclusive access, SH
	Human rights upheld, safe and decent work
	Human rights upheld, safe and decent work
	Human rights upheld, safe and decent work
	Human rights upheld, safe and decent work
	Human rights upheld, safe and decent work
	Human rights upheld, safe and decent work
	Safe and decent work Resource use, pollution, productivity
	Resource use minimised, pollution
	Resource use minimised, pollution
	Productivity optimised, Ecosystems
	Reduced pollution
	Ecosystem protected, Resource use minimised, Reduced pollution
	Pollution, ecosystems
	Resource use, pollution, ecosystems
	Resource use minimised, pollution
	Reduced pollution
	Reduced pollution
	Ecosystems protected



Impact Goal

PROSPERITY: COMPETITIVE, RESILIENT AND SUSTAINABLE SECTOR



Objectives and outcomes

A sustainable, competitive, and resilient palm oil sector ensures longterm viability of the entire supply chain and shared benefits for both the private sector as well as the livelihoods of communities where palm oil is grown. An effective planning and management system addresses economic viability, environmental and social compliance and risk, establishes procedures and systems for ensuring conformance to the RSPO P&C, and supports continuous improvement towards sustainable palm oil.

Principle 1

Behave ethically and transparently

Principle 2

Operate legally and respect rights

Principle 3

Optimise productivity, efficiency, positive impacts and resilience

Principle 1 BEHAVE ETHICALLY AND TRANSPARENTLY

Drive ethical business behaviour, build trust and transparency with stakeholders to ensure strong and healthy relationships.

Criteria		Indi	cator	ToC Outcomes
1.1	The unit of certification provides adequate information to relevant stakeholders on	1.1.1	(C) 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.	Improved risk management
	environmental, social and legal issues relevant to RSPO Criteria, in	1.1.2	Information is provided in appropriate languages and accessible to relevant stakeholders.	
	appropriate languages and forms to allow for effective	1.1.3	(C) Records of requests for information and responses are maintained.	
	participation in decision making.	1.1.4	(C) Consultation and communication procedures are documented, disclosed, implemented, made available, and explained to all relevant stakeholders by a nominated management official.	
		1.1.5	There is a current list of contacts and details of stakeholders and their nominated representatives.	
1.2	The unit of certification commits to ethical conduct in all business	1.2.1	A policy for ethical conduct is in place and implemented in all business operations and transactions, including recruitment and contracts.	Improved risk management
	operations and transactions.	1.2.2	A system is in place to monitor compliance and the implementation of the policy and overall ethical business practice.	

Principle 2 OPERATE LEGALLY AND RESPECT RIGHTS

Implement legal requirements as the basic principle of operation in any jurisdiction.

Criteria		Indio	cator	ToC Outcomes
2.1	There is compliance with all applicable local,	2.1.1	(C) The unit of certification complies with applicable legal requirements.	Improved risk management
		2.1.2	A documented system for ensuring legal compliance is in place. This system has a means to track changes to the law and also includes listing and	
	regulations.		evidence of legal due diligence of all contracted third parties, recruitment agencies, service providers and labour contractors.	
		2.1.3	Legal or authorised boundaries are clearly demarcated and visibly maintained, and there is no planting beyond these legal or authorised boundaries.	
2.2		2.2.1	A list of contracted parties is maintained.	Improved risk management;
		2.2.2	All contracts, including those for FFB supply, contain specific clauses on meeting applicable legal requirements, and this can be demonstrated by the third party.	Human rights upheld; Safe and decent work
	i	2.2.3	All contracts, including those for FFB supply, contain clauses disallowing child, forced and trafficked labour. Where young workers are employed, the contracts include a clause for their protection.	

Crit	eria	Indicator	ToC Outcomes
2.3	All FFB supplies from outside the unit of certification are from legal sources.	 2.3.1 (C) For all directly sourced FFB, the mill requires: Information on geo-location of FFB origins; Proof of the ownership status or the right/claim to the land by the grower/smallholder; 	Improved risk management
		 2.3.2 For all indirectly sourced FFB, the unit of certification obtains from the collection centres, agents or other intermediaries, the evidence as lise Indicator 2.3.1. Improved risk management. PROCEDURAL NOTE: For Implementation Procedure for 2.3.2 refer to Annexity 	sted in

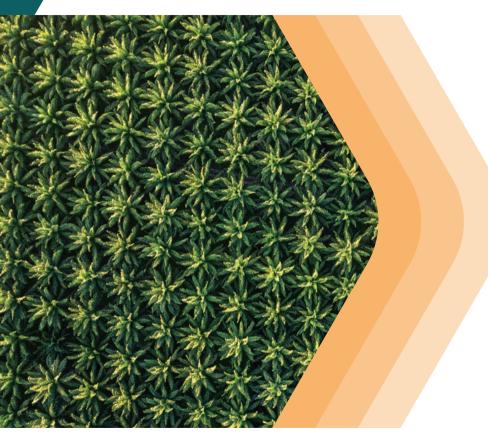
Principle 3 OPTIMISE PRODUCTIVITY, EFFICIENCY, POSITIVE IMPACTS AND RESILIENCE

Implement plans, procedures and systems for continuous improvement.

Criteria		Indi	cator	ToC Outcomes
3.1	There is an implemented management plan for the	3.1.1	(C) A business or management plan (minimum three years) is documented.	Improved risk management;
	unit of certification that aims to achieve long-term economic and financial	3.1.2	An annual replanting programme projected for a minimum of five years with yearly review, is available.	Productivity optimised
	viability.	3.1.3	The unit of certification holds management reviews at planned intervals appropriate to the scale and nature of the activities undertaken.	
3.2	The unit of certification regularly monitors and reviews their economic, social and environmental	3.2.1	(C) The action plan for continuous improvement is implemented, based on consideration of the main social and environmental impacts and opportunities of the unit of certification.	Improved risk management
	performance and develops and implements action plans that allow demonstrable continuous improvement in key operations.	3.2.2	As part of the monitoring and continuous improvement process, annual reports are submitted to the RSPO Secretariat using the RSPO metrics template.	

Crit	eria	Indio	cator	ToC Outcomes
3.3	Operating procedures are appropriately documented, consistently implemented and monitored.	3.3.1 3.3.2 3.3.3	(C) Standard Operating Procedures (SOPs) for the unit of certification are in place.A mechanism to check consistent implementation of procedures is in place.Records of monitoring and any actions taken are maintained and available.	Improved risk management
3.4	A comprehensive Social and Environmental Impact Assessment (SEIA) is undertaken prior to new plantings or operations, and a social and environmental management and monitoring plan is implemented and regularly updated in ongoing operations.	3.4.1 3.4.2 3.4.3	 (C) In new plantings or operations including mills, an independent SEIA, undertaken through a participatory methodology involving the affected stakeholders and including the impacts of any smallholder/outgrower, is documented. For the unit of certification, a SEIA is available and social and environmental management and monitoring plans have been developed with participation of affected stakeholders. (C) The social and environmental management and monitoring plan is implemented, reviewed and updated regularly in a participatory way. 	Improved risk management; Human rights upheld
3.5	A system for managing human resources is in place.	3.5.1 3.5.2	Employment procedures for recruitment, selection, hiring, promotion, retirement and termination are documented and made available to the workers and their representatives. Employment procedures are implemented and records are maintained.	Improved risk management; Safe and decent work

Criteria		India	cator	ToC Outcomes
3.6	An occupational health and safety (H&S) plan is documented, effectively communicated and	3.6.1	 (C) All operations are risk assessed to identify H&S issues. Mitigation plans and procedures are documented and implemented. (C) The effectiveness of the H&S plan to address health and safety risks to 	Improved risk management; Safe and decent work
	implemented.	5.0.2	people is monitored.	
3.7	All staff, workers, Scheme Smallholders, outgrowers, and contract workers are appropriately trained.	3.7.1	(C) A documented programme that provides training is in place, which is accessible to all staff, workers, Scheme Smallholders and outgrowers, taking into account gender-specific needs, and which covers applicable aspects of the RSPO P&C, in a form they understand, and which includes assessments of training.	Improved risk management; Safe and decent work
		3.7.2	Records of training are maintained, where appropriate on an individual basis.	
		3.7.3	Appropriate training is provided for personnel carrying out the tasks critical to the effective implementation of the Supply Chain Certification Standard (SCCS). Training is specific and relevant to the task(s) performed.	



This chapter was endorsed by the RSPO Board of Governors on 1 February 2020.

The following section stipulates the requirements for mills which are identified as complying with the Identity Preserved (IP) Module and Mass Balance (MB) Module.

For independent mills that are only required to obtain RSPO Supply Chain Certification, Compliance with modules A and/or C of the Supply Chain Certification Standard will be required. All definition in Supply Chain Certification Standard applies.

As per RSPO Principles and Criteria, all requirements are classified as Critical Indicators.

Crit	Criteria		cators	ToC Outcomes
3.8	Supply Chain Requirements for Mills	3.8.1	Identity Preserved Module A mill is deemed to be Identity Preserved (IP) if the FFB processed by the mill is sourced from plantations/estates that are certified against the RSPO Principles and Criteria (RSPO P&C), or against the Group Certification scheme. Certification for CPO mills is necessary to verify the volumes and sources of certified FFB entering the mill, the implementation of any processing controls (for example, if physical separation is used), and volume sales of RSPO certified products. If a mill processes certified and uncertified FFB without physically separating them, then only Mass Balance Module is applicable.	Improved risk management
		3.8.2	Mass Balance Module A mill is deemed to be Mass Balance (MB) if the mill process FFB from both RSPO certified and uncertified plantations/estates. A mill may be taking delivery of FFB from uncertified growers, in addition to those from its own and third party certified supply base. In that scenario, the mill can claim only the volume of oil palm products produced from processing of the certified FFB as MB.	Improved risk management

Criteria		Indic	cators	ToC Outcomes
3.8	Supply Chain Requirements for Mills (Continued)	3.8.3	The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill shall be recorded by the certification body (CB) in the public summary of the P&C certification report. This figure represents the total volume of certified oil palm product (CPO and PK) that the certified mill is allowed to deliver in a year. The actual tonnage produced shall then be recorded in each subsequent annual surveillance report.	Improved risk management
		3.8.4	The mill shall also meet all registration and reporting requirements for the appropriate supply chain through the RSPO IT platform.	Improved risk management
		3.8.5	Documented procedures	Improved risk management
			The mill shall have written procedures and/or work instructions or equivalent to ensure the implementation of all elements of the applicable supply chain model specified. This shall include at minimum the following:	
			 a) Complete and up to date procedures covering the implementation of all elements of the supply chain model requirements. b) Complete and up to date records and reports that demonstrate compliance with the supply chain model requirements. 	
			compliance with the supply chain model requirements (including training records).	

Crite	eria	Indicators	ToC Outcomes
3.8	Supply Chain Requirements for Mills (Continued)	 c) Identification of the role of the person having overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the mill's procedures for the implementation of this standard. d) The mill shall have documented procedures for receiving and processing certified and non-certified FFBs including ensuring no contamination in the IP mill. 	
		3.8.6 Internal Audit	Improved risk management
		 i) The mill shall have a written procedure to conduct an annual internal audit to determine whether the mill: (a) conforms to the requirements in the RSPO Supply Chain requirements for mills and the RSPO Rules on Market Communications and Claims. (b) effectively implements and maintains the standard requirements within its organisation. ii) Any non-conformities found as part of the internal audit shall be issued and required corrective action. The outcomes of the internal audits and all actions taken to correct non-conformities shall be subject to management review at least annually. The mill shall maintain the internal audit records and reports. 	

Criteria	Indicators	ToC Outcomes
3.8 Supply Chain Requirements for Mills (Continued)	 3.8.7 Purchasing and Goods in i) The mill shall verify and document the tonnage and sources of certified and the tonnage of non-certified FFBs received. ii) The mill shall inform the CB immediately if there is a projected overproduction of certified volume. iii) The mill shall have a mechanism in place for handling of non-conforming FFB and/or documents 	Improved risk management
	 3.8.8 Sales and Goods Out The supplying mill shall ensure that the following minimum information for RSPO certified products is made available in document form. The information shall be complete and can be presented either on a single document or across a range of documents issued for RSPO certified oil palm products (for example, delivery notes, shipping documents and specification documentation): a) The name and address of the buyer; b) The name and address of the seller; c) The loading or shipment / delivery date; d) The date on when the documents were issued; e) RSPO certificate number; f) A description of the product, including the applicable supply chain model (Identity Preserved or Mass Balance or the approved abbreviations); 	Improved risk management

Crit	iteria Indicators		ToC Outcomes	
3.8	Supply Chain Requirements for Mills (Continued)	g) The quantity of the products delivered;h) Any related transport documentation;i) A unique identification number.		
		 3.8.9 Outsourcing Activities (i) The mill shall not outsource its milling activities. In cases where the mill outsources activities to independent third parties (e.g. subcontractors for storage, transport or other outsourced activities), the mill holding the certificate shall ensure that the independent third party complies with relevant requirements of this RSPO Supply Chain Certification. 	Improved risk management	

Crit	eria	Indicators	ToC Outcomes
3.8	Supply Chain Requirements for Mills (Continued)	 (ii) The mill shall ensure the following: a) The mill has legal ownership of all input material to be included in outsourced processes b) The mill has an agreement or contract covering the outsourced process with each contractor through a signed and enforceable agreement with the contractor. The onus is on the mill to ensure that the certification body (CB) has access to the outsourcing contractor or operation if an audit is deemed necessary. c) The mill has a documented control system with explicit procedures for the outsourced process which is communicated to the relevant contractor. (d) The mill shall furthermore ensure (e.g. through contractual arrangements) that independent third parties engaged provide relevant access for duly accredited CBs to their respective operations, systems, and all information, when this is announced in advance. 	
		3.8.10 The mill shall record the names and contact details of all contractors used for the physical handling of RSPO certified oil palm products.	Improved risk management
		3.8.11 The mill shall inform its CB in advance prior to conduct of its next audit of the names and contact details of any new contractor used for the physical handling of RSPO certified oil palm products.	Improved risk management

Criteria	Indicators	ToC Outcomes
3.8 Supply Chain Requirements for Mills (Continued)	 3.8.12 Record keeping i) The mill shall maintain accurate, complete, up-to-date and accessible records and reports covering all aspects of this RSPO Supply Chain Certification Standard requirements. ii) Retention times for all records and reports shall be a minimum of two (2) years and shall comply with relevant legal and regulatory requirements and be able to confirm the certified status of raw materials or products held in stock. iii) For Identity Preserved Module, the mill shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a real-time basis. iv) For Mass Balance Module, the mill: a) shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a real-time basis and/or three-monthly basis. b) All volumes of certified CPO and PK that are delivered are deducted from the material accounting system according to conversion ratios stated by RSPO. c) The mill can only deliver Mass Balance sales from a positive stock. Positive stock can include product ordered for delivery within three (3) months. However, a mill is allowed to sell short (i.e. product can be sold before it is in stock.) 	Improved risk management

Criteria		Indicators	ToC Outcomes
3.8	Supply Chain Requirements for Mills	3.8.13 Extraction Rate	Improved risk management
	(Continued)	The oil extraction rate (OER) and the kernel extraction rate (KER) shall be applied to provide a reliable estimate of the amount of certified CPO and PK from the associated inputs. Mills shall determine and set their own extraction rates based upon past experience, documented and applied it consistently.	
		3.8.14 Extraction rates shall be updated periodically to ensure accuracy against actual performance or industry average if appropriate.	Improved risk management
		3.8.15 Processing	Improved risk management
		For Identity Preserved Module, the mill shall assure and verify through documented procedures and record keeping that the RSPO certified oil palm product is kept separated from non-certified oil palm products, including during transport and storage to strive for 100% separation.	

Criteria		Indicators	ToC Outcomes
3.8	Supply Chain Requirements for Mills (Continued)	 3.8.16 Registration of Transactions i) Shipping Announcement in the RSPO IT platform shall be carried out by the mills when RSPO certified products are sold as certified to refineries, crushers, and traders not more than three months after dispatch with the dispatch date being the Bill of Lading or the dispatch documentation date. ii) Remove: RSPO certified volumes sold under different scheme or as conventional, or in case of underproduction, loss or damage shall be removed in the RSPO IT platform. 	Improved risk management
		3.8.17 Claims The mill shall only make claims regarding the production of RSPO certified oil that are in compliance with the RSPO Rules on Market Communications and Claims.	Improved risk management

Impact Goal

PEOPLE: SUSTAINABLE LIVELIHOODS AND POVERTY REDUCTION



Objectives and outcomes

Human rights protected, respected and remedied. The palm oil sector contributes to reducing poverty and palm oil production is a source of sustainable livelihoods. Human rights are respected. People participate in processes that affect them with shared access and benefits. Everyone engaged in palm oil production has equal opportunities to fulfil their potential in work and community with dignity and equality, and in a healthy working and living environment.

Principle 4

Respect community and human rights and deliver benefits

Principle 5

Support smallholder inclusion

Principle 6

Respect workers' rights and conditions

Principle 4 RESPECT COMMUNITY AND HUMAN RIGHTS AND DELIVER BENEFITS

Respect community rights, provide equal opportunities, maximise benefits from engagement and ensure remediation where needed.

Criteria		Indicator		ToC Outcomes
4.1	The unit of certification respects human rights, which includes respecting the rights of Human Rights Defenders.	4.1.1	(C) A policy to respect human rights, including prohibiting retaliation against Human Rights Defenders (HRD), is documented and communicated to all levels of the workforce, operations, supply chain and local communities and prohibits intimidation and harassment by the unit of certification and contracted services, including contracted security forces. The unit of certification does not instigate violence or use any form of harassment, including the use of mercenaries and paramilitaries in their operations.	Human rights upheld
4.2	There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all affected parties.	4.2.1	 (C) The mutually agreed upon system, open to all affected parties, resolves dispute in an effective, timely and appropriate manner, ensuring anonymity of complainants, HRD, community spokespersons and whistleblowers, where requested, without risk of reprisal or intimidation and follows the RSPO policy on respect for HRD. Procedures are in place to ensure that the system is understood by the affected parties, including by illiterate parties. 	Human rights upheld

Crit	eria	Indicator	ToC Outcomes
4.2	There is a mutually agreed and documented system for dealing with complaints and	4.2.3 The unit of certification keeps parties to a grievance informed of its progress, including against agreed timeframe and the outcome is available and communicated to relevant stakeholders.	Human rights upheld
	grievances, which is implemented and accepted by all affected parties. (Continued) i	4.2.4 The conflict resolution mechanism includes the option of access to independent legal and technical advice, the ability for complainants to choose individuals or groups to support them and/or act as observers, as well as the option of a third-party mediator.	
4.3	The unit of certification contributes to local sustainable development as agreed by local communities.	4.3.1 Contributions to community development that are based on the results of consultation with local communities are demonstrated.	Human rights upheld

Principle 4 RESPECT COMMUNITY AND HUMAN RIGHTS AND DELIVER BENEFITS

Crite	eria	Indica	itor	ToC Outcomes
4.4	Use of the land for oil palm does not diminish the legal, customary or user rights of other users without their Free, Prior	c	C) Documents showing legal ownership or lease, or authorised use of customary land authorised by customary landowners through a Free, Prior and Informed Consent (FPIC) process. Documents related to the history of and tenure and the actual legal or customary use of the land are available.	Human rights upheld
	and Informed Consent.	n	 Copies of documents evidencing agreement-making processes and negotiated agreements detailing the FPIC process are available and include: a) Evidence that a plan has been developed through consultation and discussion in good faith with all affected groups in the communities, with particular assurance that vulnerable, minorities and gender groups are consulted, and that information has been provided to all affected groups, including information on the steps that are taken to involve them in decision making; b) Evidence that the unit of certification has respected communities' decisions to give or withhold their consent to the operation at the time that these decisions were taken; c) Evidence that the legal, economic, environmental and social implications of permitting operations on their land have been understood and accepted by affected communities, including the implication's title, concession or lease on the land. 	

Criteria		Indicator		ToC Outcomes
4.4	Use of the land for oil palm does not diminish the legal, customary or user rights of other users without their FPIC.	4.4.3	(C) Maps of an appropriate scale showing the extent of recognised legal, customary or user rights are developed through participatory mapping involving affected parties (including neighbouring communities where applicable, and relevant authorities).	Human rights upheld
	(Continued)	4.4.4	All relevant information is available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements.	
		4.4.5	(C) Evidence is available to show that communities are represented through institutions or representatives of their own choosing, including by legal counsel if they so choose.	
		4.4.6	There is evidence that implementation of agreements negotiated through FPIC is annually reviewed in consultation with affected parties.	

Crit	Criteria		cator	ToC Outcomes
4.5	No new plantings are established on local peoples' land where it can		(C) Documents showing identification and assessment of demonstrable legal, customary and user rights are available.	Human rights upheld
	be demonstrated that there are legal, customary or user rights, without their FPIC. This is dealt with through a documented system that enables these and other stakeholders to express	4.5.2	(C) FPIC is obtained for all oil palm development through a comprehensive process, including, in particular, full respect for their legal and customary rights to the territories, lands and resources via local communities' own representative institutions, with all the relevant information and documents made available, with the option of resourced access to independent advice through a documented, long-term and two-way process of consultation and negotiation.	
	their views through their own representative institutions.	4.5.3	Evidence is 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 unit of certification is signed and ratified by these local peoples. Negotiated agreements are non-coercive and entered into voluntarily and carried out prior to new operations.	
		4.5.4	To ensure local food and water security, as part of the FPIC process, participatory SEIA and participatory land-use planning with local peoples, the full range of food and water provisioning options are considered. There is transparency of the land allocation process.	

Crit	eria	dicator		ToC Outcomes
4.5	No new plantings are established on local peoples' land where it can be demonstrated that there are legal, customary or user rights, without	had the option to access informproject proponent, concerningsocial implications of the propoEvidence is available that the c	ffected communities and rights holders have nation and advice that is independent of the the legal, economic, environmental and osed operations on their lands. communities (or their representatives) gave obases of the operations prior to the	Human rights upheld
	their FPIC. This is dealt with through a documented system that enables these and other stakeholders to express their views through their	2018 as a result of recent (200	for plantations and mills after 15 November 5 or later) expropriations in the national ent domain), except in cases of smallholders	
	own representative institutions. (Continued)	6.8 (C) New lands are not acquired voluntary isolation.	in areas inhabited by communities in	

Principle 4 RESPECT COMMUNITY AND HUMAN RIGHTS AND DELIVER BENEFITS

Crit	eria	Indic	cator	ToC Outcomes
4.6	Any negotiations concerning compensation for loss of legal, customary or user rights are dealt	4.6.1	(C) A mutually agreed upon procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, is in place.	Human rights upheld
	with through a documented system that enables Indigenous Peoples, local communities and other	4.6.2	(C) A mutually agreed upon procedure for calculating and distributing fair and gender-equal compensation (monetary or otherwise) is established and implemented, monitored and evaluated in a participatory way, and corrective actions taken as a result of this evaluation.	
	stakeholders to express their views through their own representative	4.6.3	Evidence is available that equal opportunities are provided to both men and women to hold land titles for small holdings.	
	institutions.	4.6.4	The process and outcomes of any negotiated agreements, compensation and payments are documented, with evidence of the participation of affected parties, and made publicly available to them.	
4.7	Where it can be demonstrated that local peoples have legal,	4.7.1	(C) A mutually agreed upon procedure for identifying people entitled to compensation is in place.	Human rights upheld
	customary or user rights, they are compensated for any agreed land acquisitions and	4.7.2	(C) A mutually agreed upon procedure for calculating and distributing fair compensation (monetary or otherwise) is in place and documented and made available to affected parties.	
	relinquishment of rights, subject to their FPIC and negotiated agreements.	4.7.3	Communities that have lost access and rights to land for plantation expansion are given opportunities to benefit from plantation development.	

Crite	Criteria		cator	ToC Outcomes
4.8	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	4.8.1	Where there are or have been disputes, proof of legal acquisition of title and evidence that mutually agreed compensation has been made to all people who held legal, customary, or user rights at the time of acquisition is available and provided to parties to a dispute, and that any compensation was accepted following a documented process of FPIC.	Human rights upheld
	user rights.	4.8.2	(C) Land conflict is not present in the area of the unit of certification. Where land conflict exists, acceptable conflict resolution processes (see Criteria 4.2 and 4.6) are implemented and accepted by the parties involved. In the case of newly acquired plantations, the unit of certification addresses any unresolved conflict through appropriate conflict resolution mechanisms.	
		4.8.3	Where there is evidence of acquisition through dispossession or forced abandonment of customary and user rights prior to the current operations and there remain parties with demonstrable customary and land use rights, these claims will be settled using the relevant requirements (Indicators 4.4.2, 4.4.3 and 4.4.4).	
		4.8.4	For any conflict or dispute over the land, the extent of the disputed area is mapped out in a participatory way with involvement of affected parties (including neighbouring communities where applicable).	

Principle 5 SUPPORT SMALLHOLDER INCLUSION

Include smallholders in RSPO supply chains and improve their livelihoods through fair and transparent partnerships.

Crite	Criteria		cator	ToC Outcomes
5.1	The unit of certification deals fairly and transparently with all	5.1.1	Current and previous period prices paid for FFB are publicly available and accessible by smallholders.	Inclusive access to benefits
	smallholders (Independent and Scheme) and other local businesses.	5.1.2	(C) Evidence is available that the unit of certification regularly explains the FFB pricing to smallholders.	
	0	5.1.3	(C) Fair pricing, including premium pricing, when applicable, is agreed upon with smallholders in the supply base and documented.	
		5.1.4	(C) Evidence is available that all parties, including women and independent representative organisations assisting smallholders where requested, are involved in decision-making processes and understand the contracts. These include those involving finance, loans/credits, and repayments through FFB price reductions for replanting and or other support mechanisms where applicable.	
		5.1.5	Contracts are fair, legal and transparent and have an agreed timeframe.	

Crite	eria	Indic	cator	ToC Outcomes
5.1	The unit of certification deals fairly and transparently with all	5.1.6	(C) Agreed payments are made in a timely manner and receipts specifying price, weight, deductions and amount paid are given.	Inclusive access to benefits
	smallholders (Independent and Scheme) and other local businesses.	5.1.7	Weighing equipment for trading is verified annually in compliance with national law and regulation. [(Weights and Measures Act, B.E.2542 (1999)].	
	(Continued)	5.1.8	The unit of certification supports Independent Smallholders with certification, where applicable, ensuring mutual agreements between the unit of certification and the smallholders on who run the internal control system (ICS), who hold the certificates, and who holds and sell the certified material.	
		5.1.9	(C) The unit of certification has a grievance mechanism for smallholders and all grievances raised are dealt with in a timely manner.	
5.2	The unit of certification supports improved livelihoods of smallholders and their inclusion in sustainable palm oil value	5.2.1	The unit of certification consults with interested smallholders (irrespective of type) including women or other partners in their supply base to assess their needs for support to improve their livelihoods and their interest in RSPO certification.	Inclusive access to benefits
	chains.	5.2.2	The unit of certification develops and implements livelihood improvement programmes, including at least capacity building to enhance productivity, quality, organisational and managerial competencies, and specific elements of RSPO certification (including the RSPO Independent Smallholder Standard).	

Principle 5 SUPPORT SMALLHOLDER INCLUSION

Crite	Criteria		cator	ToC Outcomes
5.2	The unit of certification supports improved livelihoods of smallholders	5.2.3	Where applicable, the unit of certification provides support to smallholders to promote the legality of FFB production.	Inclusive access to benefits
	and their inclusion in sustainable palm oil value chains. (Continued)	5.2.4	(C) Evidence exists that the unit of certification trains Scheme Smallholders on pesticide handling.	
	1	5.2.5	The unit of certification regularly reviews and publicly reports on the progress of the smallholder support programme.	

Protect workers' rights and ensure safe and decent working conditions.

Crite	eria	Indic	cator	ToC Outcomes
6.1	Any form of discrimination is prohibited.	6.1.1	(C) A publicly available non-discrimination and equal opportunity policy is implemented in such a way to prevent discrimination based on ethnic origin, caste, national origin, religion, disability, gender, sexual orientation, gender identity, union membership, political affiliation or age.	Human rights upheld; Safe and decent work
		6.1.2	(C) Evidence is provided that workers and groups including local communities, women, and migrant workers have not been discriminated against. Evidence includes migrant workers' non-payment of recruitment fees.	
		6.1.3	The unit of certification demonstrates that recruitment selection, hiring, access to training and promotion are based on skills, capabilities, qualifications and medical fitness necessary for the jobs available.	
		6.1.4	Pregnancy testing is not conducted as a discriminatory measure and is only permissible when it is legally mandated. Alternative equivalent employment is offered for pregnant women.	
		6.1.5	(C) A gender committee is in place specifically to raise awareness, identify and address issues of concern, as well as opportunities and improvements for women.	
		6.1.6	There is evidence of equal pay for the same work scope.	

Crite	eria	Indio	cator	ToC Outcomes
6.2	Pay and conditions for staff and workers and for contract workers always meet at least legal or	6.2.1	(C) Applicable labour laws, union and/or other collective agreements and documentation of pay and conditions are available to the workers in Thai languages (Thai) and explained to them in language they understand.	Human rights upheld; Safe and decent work
	industry minimum standards and are sufficient to provide decent living wages (DLW).	6.2.2	(C) Employment contracts and related documents detailing payments and conditions of employment (e.g. regular working hours, deductions, overtime, sick leave, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc. in compliance with national legal requirements) and payroll documents give accurate information on compensation for all work performed, including work done by family members.	
		6.2.3	(C) There is evidence of legal compliance for regular working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice and other legal labour requirements.	
		6.2.4	(C) Where no such public facilities are available or accessible, the unit of certification provides adequate housing, sanitation facilities, water supplies, medical, educational and welfare amenities to national standards or above, including the ILO Guidance on Workers' Housing Recommendation No. 115, is used. In the case of acquisitions of noncertified units, a plan is developed detailing the upgrade of infrastructure. A reasonable time (5 years) is allowed to upgrade the infrastructure.	

Criteria		Indicator		ToC Outcomes
6.2	Pay and conditions for staff and workers and for contract workers always	6.2.5	The unit of certification makes efforts to improve workers' access to adequate, sufficient and affordable food.	Human rights upheld; Safe and decent work
		6.2.6	A DLW is paid to all workers, including those on piece rate/quotas, for whom the calculation is based on achievable quotas during regular work hours.	
	decent living wages (DLW). (Continued)		PROCEDURAL NOTES: Refer to the RSPO Guidance for Implementing a Decent Living Wage, June 2019	
		6.2.7	Permanent, full-time employment is used for all core work performed by the unit of certification. Casual, temporary and day labour is limited to jobs that are temporary or seasonal.	

Crite	eria	Indio	cator	ToC Outcomes
6.3	The unit of certification 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.	6.3.1 6.3.2 6.3.3	(C) A published statement recognising freedom of association and right to collective bargaining in Thai languages is available and is explained to all workers in languages that they understand, and is demonstrably implemented.	Human rights upheld; Safe and decent work
			workers.	

Crite	eria	Indio	cator	ToC Outcomes
6.4	Children are not employed or exploited.	6.4.1	A formal policy for the protection of children, including prohibition of child labour and remediation is in place, and included into service contracts and supplier agreements.	Human rights upheld; Safe and decent work
		6.4.2	(C) There is evidence that minimum age requirements are met. Personnel files show that all workers are above the national minimum age or above company policy minimum age, whichever is higher. There is a documented age screening verification procedure.	
		6.4.3	(C) Young workers may be employed only for non-hazardous work, with protective restrictions in place for that work.	
		6.4.4	The unit of certification demonstrates communication about its 'no child labour' policy and the negative effects of child labour, and promotes child protection to supervisors and other key staff, smallholders, FFB suppliers and communities where workers live.	

Crite	eria	India	cator	ToC Outcomes
6.5	There is no harassment or abuse in the workplace, and reproductive rights	6.5.1	(C) A policy to prevent sexual and all other forms of harassment and violence is implemented and communicated to all levels of the workforce.	Human rights upheld; Safe and decent work
	are protected.	6.5.2	(C) A policy to protect the reproductive rights of all, especially of women, is implemented and communicated to all levels of the workforce.	
		6.5.3	Management has assessed the needs of new mothers, in consultation with the new mothers, and actions are taken to address the needs that have been identified.	
		6.5.4	A grievance mechanism, which respects anonymity and protects complainants where requested, is established, implemented and communicated to all levels of the workforce.	

Criteria		Indicator	ToC Outcomes
6.6	No forms of forced or trafficked labour are used. <i>i</i>	 6.6.1 (C) All work is voluntary and the following are prohibited: Retention of identity documents or passports; Payment of recruitment fees; Contract substitution; Involuntary overtime; Lack of freedom of workers to resign; Penalty for termination of employment; Debt bondage; Withholding of wages. 6.6.2 (C) Where temporary or migrant workers are employed, a specific labour policy and procedures are established and implemented. 	Human rights upheld; Safe and decent work

Crite	eria	Indio	cator	ToC Outcomes
6.7	The unit of certification ensures that the working environment under its control is safe and without undue risk to health.	6.7.1	(C) The responsible person(s) for H&S is identified. There are records of regular meetings between the responsible person(s) and workers. Concerns of all parties about health, safety and welfare are discussed at these meetings, and any issues raised are recorded.	Safe and decent work
		6.7.2	Accident and emergency procedures are in place and instructions are clearly understood by all workers. Accident procedures are available in the appropriate language of the workforce. Assigned operatives trained in first aid are present in both field and other operations, and first aid equipment is available at worksites. Records of all accidents are kept and periodically reviewed.	
		6.7.3	(C) Workers use appropriate personal protective equipment (PPE), which is provided free of charge to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, land preparation, and harvesting. Sanitation facilities for those applying pesticides are available, so that workers can change out of PPE, wash and put on their personal clothing.	

Criteria		Indio	cator	ToC Outcomes
6.7	The unit of certification ensures that the working environment under its control is safe and without undue risk to health. (Continued)	6.7.4	All workers are provided with medical care and covered by accident insurance. Costs incurred from work-related incidents leading to injury or sickness are covered in accordance with the Social Security Act B.E. 2533 (1990) and its amendments, and Workmen's Compensation Act B.E. 2537 (1994) and its amendments, respectively, or by the unit of certification.	Safe and decent work
		6.7.5	Occupational injuries are recorded using Lost Time Accident (LTA) metrics.	

Impact Goal

PLANET: CONSERVED, PROTECTED AND ENHANCED ECOSYSTEMS THAT PROVIDE FOR THE NEXT GENERATION



Objectives and outcomes

Ecosystems and their services are protected. restored and resilient, supported by sustainable consumption and production, and the sustainable management of natural resources (in line with SDG 15 – sustainably manage forests, combat desertification, halt and reverse land degradation, halt biodiversity loss). Climate change is addressed through continuous GHG reductions; air and water pollution are controlled. There is greater resilience in our food and fibre production. The water and air are cleaner, and carbon is drawn out of the air to regenerate soils for current and future generations. Inputs decrease while yields are maintained, or even improved.

Principle 7

Protect, conserve and enhance ecosystems and the environment

Protect the environment, conserve biodiversity and ensure the sustainable management of natural resources.

Criteria	Indicator	ToC Outcomes
7.1 Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management (IPM) techniques.	 7.1.1 (C) IPM plans are implemented and monitored to ensure effective pest control. 7.1.2 Species referenced in the Global Invasive Species Database and CABI.org are not to be used in managed areas, unless plans to prevent and monitor their spread are implemented. 7.1.3 There is no use of fire for pest control unless in exceptional circumstances, i.e. where no other effective methods exist, and with prior approval of government authorities. 	Reduced pollution; Resource use minimised; Productivity optimised

Crite	Criteria		cator	ToC Outcomes
7.2	Pesticides are used in ways that do not endanger health of workers, families, communities or	7.2.1	(C) Justification of all pesticides used is demonstrated. Selective products and application methods that are specific to the target pest, weed or disease are prioritised.	Reduced pollution; Resource use minimised;
	the environment.	7.2.2	(C) Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per ha and number of applications) are provided.	
		7.2.3	(C) Any use of pesticides is minimised as part of a plan, eliminated where possible, in accordance with IPM plans.	
		7.2.4	There is no prophylactic use of pesticides, unless in exceptional circumstances, as identified in national best practice guidelines.	

Crit	eria	Indio	cator	ToC Outcomes
7.2	Pesticides are used in ways that do not endanger health of workers, families, communities or the environment.	7.2.5	 Use of pesticides registered under The Hazardous Substances Act B.E. 2535 and its amendments. In addition, pesticides that are categorised as World Health Organization Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, are not used, unless in exceptional circumstances, as validated by a due diligence process, or when authorised by government authorities for pest outbreaks. The due diligence refers to: a) Judgment of the threat and verify why this is a major threat. b) Why there is no other alternative which can be used. c) Which process was applied to verify why there is no other less hazardous alternative. d) What is the process to limit the negative impacts of the application. e) Estimation of the timescale of the application and steps taken to limit application to the specific outbreak. 	Reduced pollution; Resource use minimised;
		7.2.6	(C) Pesticides are only handled, used or applied by persons who have completed the necessary training and are always applied in accordance with the product label. All precautions attached to the products are properly observed, applied, and understood by workers (see Criterion 3.6). Personnel applying pesticides must show evidence of regular updates on the knowledge about the activity they carry out.	

Crite	eria	Indic	cator	ToC Outcomes
7.2	Pesticides are used in ways that do not endanger health of workers,	7.2.7	(C) Storage of all pesticides is in accordance with recognised best practices.	Reduced pollution; Resource use minimised;
	families, communities or the environment. (Continued)	7.2.8	All pesticide containers are properly disposed of and/or handled responsibly if used for other purposes.	
	1	7.2.9	(C) Aerial spraying of pesticides is prohibited, unless in exceptional circumstances where no other viable alternatives are available. This requires prior government authority approval. All relevant information is provided to affected local communities at least 48 hours prior to application of aerial spraying.	
		7.2.10	(C) Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, is demonstrated.	
		7.2.11	(C) No work with pesticides is undertaken by persons under the age of 18, pregnant or breastfeeding women or other people that have medical restrictions and they are offered alternative equivalent work.	

Crite	Criteria		cator	ToC Outcomes
7.3	Waste is reduced, recycled, reused and disposed of in an environmentally and	7.3.1	A waste management plan which includes reduction, recycling, reusing, and disposal based on toxicity and hazardous characteristics, is documented and implemented.	Reduced pollution; Resource use minimised;
	socially responsible manner.	7.3.2	Proper disposal of waste material, according to procedures that are fully understood by workers and managers, is demonstrated.	
	i	7.3.3	The unit of certification does not use open fire for waste disposal.	
7.4	Practices maintain soil fertility at, or where possible improve soil	7.4.1	Good agricultural practices, as contained in SOPs, are followed to manage soil fertility to optimise yield and minimise environmental impacts.	Reduced pollution; Resource use minimised; Productivity optimised
	fertility to, a level that ensures optimal and sustained yield.	7.4.2	Periodic frond and soil sampling is carried out to monitor and manage changes in soil fertility and plant health.	
	1	7.4.3	A nutrient recycling strategy is in place, which includes the recycling of Empty Fruit Bunches (EFB), Palm Oil Mill Effluent (POME), palm residues and optimal use of inorganic fertilisers.	
		7.4.4	(C) Records of fertiliser inputs are maintained.	

Criteria		Indicator		ToC Outcomes	
7.5	Practices minimise and control erosion and degradation of soils.	7.5.1	(C) Maps identifying marginal and fragile soils, including steep terrain, are available.	Ecosystems protected; Reduced pollution; Productivity optimised	
	1	7.5.2	There is no extensive replanting of oil palm on steep terrain.		
		7.5.3	There is no new planting of oil palm on steep terrain.		
7.6	Soil surveys and topographic information are used for site planning in the establishment of	7.6.1	(C) To demonstrate the long-term suitability of land for palm oil cultivation, soil maps or soil surveys identifying marginal and fragile soils, including steep terrain, are taken into account in plans and operations.	Ecosystems protected; Resource use minimised; Reduced pollution	
	new plantings, and the results are incorporated into plans and operations.	7.6.2	Extensive planting on marginal and fragile soils is avoided, or, if necessary, done in accordance with the soil management plan for best practices.		
	1	7.6.3	Soil surveys and topographic information guide the planning of drainage and irrigation systems, roads and other infrastructure.		

Crite	eria	Indio	cator	ToC Outcomes
7.7	No new planting on peat, regardless of depth after 15 November 2018 and all	7.7.1	(C) There is no new planting on peat regardless of depth after 15 November 2018 in existing and new development areas.	Ecosystems protected; Reduced pollution; Productivity optimised
	peatlands are managed responsibly.	7.7.2	Areas of peat within the managed areas are inventoried, documented and reported (effective from 15 November 2018) to the RSPO Secretariat.	
	1		Procedural Note: Maps and other documentation of peat soils are provided, prepared and shared in line with RSPO Peatland Working Group (PLWG) audit guidance.	
		7.7.3	(C) Subsidence of peat is monitored, documented and minimised.	
		7.7.4	(C) A documented water and ground cover management programme is in place.	
		7.7.5	(C) For plantations planted on peat, drainability assessments are conducted following the RSPO Drainability Assessment Procedure, or other RSPO recognised methods, at least five years prior to replanting. The assessment result is used to set the timeframe for future replanting, as well as for phasing out of oil palm cultivation at least 40 years, or two cycles, whichever is greater, before reaching the natural gravity drainability limit for peat. When oil palm is phased out, it is replaced with crops suitable for a higher water table (paludiculture) or rehabilitated with natural vegetation.	

Criteria

1

7.7

No new planting on peat,

regardless of depth after

peatlands are managed

responsibly. (Continued)

15 November 2018 and all

Indicator

This is subject to transitional (5 years: 2019 to 2024) arrangement stated in the Drainability Assessment Procedure. Within the initial 12 month implementation period, the company could submit other alternative methodologies to be considered by RSPO for recognition.

7.7.6 **(C)** All existing plantings on peat are managed according to the 'RSPO Manual on Best Management Practices (BMPs) for Existing Oil Palm Cultivation on Peat', Volume 1 (July 2019) and associated audit guidance.

7.7.7 **(C)** All areas of unplanted and set-aside peatlands in the managed area (regardless of depth) are protected as "peatland conservation areas"; new drainage, road building and power lines by the unit of certification on peat soils is prohibited; peatlands are managed in accordance with the 'RSPO Manual on Best Management Practices (BMPs) for Management and Rehabilitation of Peatlands', Volume 2 (June 2019) and associated audit guidance.

ToC Outcomes

Ecosystems protected; Reduced pollution; Productivity optimised

Crite	eria	Indi	cator	ToC Outcomes
7.8	Practices maintain the quality and availability of surface and groundwater.	7.8.1	 A water management plan is in place and implemented to promote more efficient use and continued availability of water sources and to avoid negative impacts on other users in the catchment. The plan addresses the following: a) The unit of certification does not restrict access to clean water or contribute to pollution of water used by communities. b) Workers have adequate access to clean water. 	Ecosystems protected; Reduced pollution; Resource use minimised
		7.8.2	(C) Water courses and wetlands are protected, including maintaining and restoring appropriate riparian and other buffer zones in line with the 'RSPO Manual on BMPs for the management and rehabilitation of riparian reserves' (April 2017).	
		7.8.3	Mill effluent is treated to be in compliance with national regulations. Discharge quality of mill effluent, especially Biochemical Oxygen Demand (BOD), is regularly monitored. Mill water use per tonne of FFB is monitored and recorded.	
7.0	Efficiency of fossil fuel use			Foosystoms protostad
7.9	and the use of renewable energy is optimised.	7.9.1	A plan for improving efficiency of the use of fuels and to optimise renewable energy is in place, monitored and reported.	Ecosystems protected; Reduced pollution; Resource use minimised

Criteria		Indicator	ToC Outcomes
7.10	Plans to reduce pollution and emissions, including greenhouse gases (GHG), are developed, implemented and monitored and new developments are designed to minimise GHG emissions.	 7.10.1 (C) GHG emissions are identified and assessed for the unit of certification. Plans to reduce or minimise them are implemented, monitored through the Palm GHG calculator and publicly reported. 7.10.2 (C) Starting 2014, the carbon stock of the proposed development area and major potential sources of emissions that may result directly from the development are estimated and a plan to minimise them prepared and implemented (following the RSPO GHG Assessment Procedure for New Development). 	Reduced pollution
	1	7.10.3 (C) Other significant pollutants are identified and plans to reduce or minimise them are implemented and monitored.	
7.11	Fire is not used for preparing land and is prevented in the managed area.	 7.11.1 (C) Land for new planting or replanting is not prepared by burning. 7.11.2 The unit of certification establishes fire prevention and control measures for the areas directly managed by the unit of certification. 7.11.3 The unit of certification engages with adjacent stakeholders on fire prevention and control measures. 	Ecosystems protected; Reduced pollution

Crite	eria	Indicator	ToC Outcomes
Crite 7.12	Land clearing does not cause deforestation or damage any area required to protect or enhance High Conservation Values (HCVs) or High Carbon Stock (HCS) forest. HCVs and HCS forests in the managed area are identified and protected or enhanced.	 Indicator 7.12.1 (C) Land clearing since November 2005 has not damaged primary forest or any area required to protect or enhance HCVs. Land clearing since 15 November 2018 has not damaged HCVs or HCS forests. A historic Land Use Change Analysis (LUCA) is conducted prior to any new land clearing, in accordance with the RSPO LUCA guidance document. 7.12.2 (C) HCVs, HCS forests and other conservation areas are identified as follows: a) For existing plantations with an HCV assessment conducted by an RSPO-approved assessor and no new land clearing after 15 November 2018, the current HCV assessment of those plantations remains valid. b) Any new land clearing (in existing plantations or new plantings) after 15 November 2018 is preceded by an HCV-HCS assessment, using the HCSA Toolkit and the HCV-HCSA Assessment Manual. This will include stakeholder consultation and take into account wider landscape-level considerations. 	ToC Outcomes Ecosystems protected
		PROCEDURAL NOTE for 7.12.2: For details of transitional measures, refer to Annex 5: RSPO transition from HCV assessments to HCV-HCSA assessments.	

Crite	eria	Indicator	ToC Outcomes
7.12	Land clearing does not cause deforestation or	7.12.3 (C) Indicator is not applicable in Thailand.	Ecosystems protected
	damage any area required to protect or enhance High Conservation Values	7.12.4 (C) Where HCVs, HCS forests after 15 November 2018, peatland and other conservation areas have been identified, they are protected and/or enhanced. An integrated management plan to protect and/or enhance	
	(HCVs) or High Carbon Stock (HCS) forest. HCVs and HCS forests in the managed area are	HCVs, HCS forests, peatland and other conservation areas is developed, implemented and adapted where necessary, and contains monitoring requirements.	
	identified and protected or enhanced. (Continued)	The integrated management plan is developed in consultation with relevant stakeholders and includes the directly managed area and any relevant wider landscape level considerations (where these are identified). The integrated management plan is reviewed at least once every five years.	

Crite	eria	Indicator	ToC Outcomes
7.12	Land clearing does not cause deforestation or damage any area required to protect or enhance High Conservation Values (HCVs) or High Carbon	7.12.5 Where rights of local communities have been identified in HCV areas, HCS forest after 15 November 2018, peatland and other conservation areas, there is no reduction of these rights without evidence of a negotiated agreement, obtained through FPIC, encouraging their involvement in the maintenance and management of these conservation areas.	Ecosystems protected
	Stock (HCS) forest. HCVs and HCS forests in the managed area are identified and protected or enhanced. (Continued)	7.12.6 All rare, threatened or endangered (RTE) species are protected, whether or not they are identified in an HCV assessment. A programme to regularly educate the workforce about the status of RTE species is in place. Appropriate disciplinary measures are taken and documented in accordance with company rules and national law [Wild Animal Reservation and Protection Act, B.E. 2562 (2019)] if any individual working for the company is found to capture, harm, collect, trade, possess or kill these species.	
		7.12.7 The status of HCVs, HCS forests after 15 November 2018, other natural ecosystems, peatland conservation areas and RTE species is monitored. Outcomes of this monitoring are fed back into the management plan.	
		7.12.8 (C) Where there has been land clearing without prior HCV assessment since November 2005, or without prior HCV-HCSA assessment since 15 November 2018, the Remediation and Compensation Procedure (RaCP) applies.	

Thailand National Interpretation 2021

ANNEX 1: DEFINITIONS

The definitions list below includes definitions from the P&C 2013 and new terms used in the P&C 2018.

Term	Definition	Source
Carbon neutrality	Carbon neutrality refers to achieving net zero GHG emissions by balancing a measured amount of carbon dioxide equivalent (CO2e) emissions released with an equivalent amount sequestered or offset. (The term "climate neutral" reflects the broader inclusiveness of other greenhouse gases in addition to carbon dioxide in climate change. The terms are used interchangeably.)	P&C Review 2018
Child	The term child applies to all persons under the age of 18.	ILO Minimum Age Convention, 1973 (No. 138), Worst Forms of Child Labour Convention, 1999 (No. 182)
Child labour	 Child labour is work that deprives children of their childhood, their potential and their dignity, and that is harmful to physical and mental development. The term applies to: All children under 18 involved in the "worst forms of child labour" (as per ILO Convention No. 182); All children aged under 12 taking part in economic activity; and All 12 to 14-year-olds engaged in more than light work. The ILO defines light work as work that is not likely to be harmful to children's health or development and not likely to be detrimental to their attendance at school or vocational training. 	ILO Minimum Age Convention, 1973 (No. 138)

Annex 1 DEFINITIONS

Term	Definition	Source
Child labour (Continued)	Those under 18 years old should not engage in hazardous work that might jeopardise their physical, mental or moral well-being, either because of its nature or the conditions under which it is carried out. For young workers above the legal minimum age but below 18, there should be restrictions on hours of work and overtime; working at dangerous heights; with dangerous machinery, equipment and tools; transport of heavy loads; exposure to hazardous substances or processes; and difficult conditions such as night work at night.	ILO Minimum Age Convention, 1973 (No. 138)
Contract substitution	The practice of substituting or changing the terms of employment to which the worker originally agreed, either in writing or verbally, which results in worse conditions or less benefits. Changes to the employment agreement or contract are prohibited unless these changes are made to meet local law and provide equal or better terms.	ILO Report to the Committee examining alleged noncompliance by Qatar of Forced Labour
Contract worker	Contract worker refers to persons engaged in temporary work, or work for a specific period of time. It also refers to workers who are not employed directly by the company, but employed by a contractor or consultant with whom the company has a direct contract.	ILO, Non-Standard Forms of Employment

Term	Definition	Source
Core work	The primary area or activity that a company was founded to do or focuses on in its business operations. Core work pertains to work that is essential and desirable to the growth of the organisation.	P&C Review 2018
	All agricultural and milling activities are considered core work, e.g. planting, harvesting, fertilising, maintenance; FFB sorting and grading; machine-technical maintenance; and machine operation.	
Debt bondage	The status or condition of debt bondage when their labour, or the labour of a third party under their control, is demanded as repayment of a loan or of money given in advance, and the value of their labour is not applied towards the liquidation of the debt or the length of the service is not limited and/or the nature of the service is not defined.	UN GA Human Rights Council: Report of the Special Rapporteur on contemporary forms of slavery, including its causes and consequences. July 2016.
Decent living wage	The remuneration received by a worker, for work performed on regular hours, in a particular place sufficient to afford a decent standard of living for the worker and her or his family.	Adapted from GLWC
Decent work	Decent work sums up the aspirations of people in their working lives. It involves opportunities for work that are productive and deliver a fair income, security in the workplace and social protection for families, better prospects for personal development and social integration, freedom for people to express their concerns, organise and participate in the decisions that affect their lives and equality of opportunity and treatment for all women and men	ILO website https://www.ilo.org/global/ topics/decent-work/langen/ index.htm

Term	Definition	Source
Deforestation	Loss of natural forest as a result of: i) conversion to agriculture or other non-forest land use; ii) conversion to a plantation forest; or iii) severe and sustained degradation.	Draft Accountability Framework Initiativea (AFI) (July 2018). Refer to latest AFI definition
Due diligence	A risk management process implemented by a company to identify, prevent, mitigate, and account for how it addresses environmental and social risks and impacts in its operations, supply chains, and investments.	Draft AFI (July 2018). Always refer to latest AFI definition
Eminent domain and expropriation	Eminent domain is the statutory power of governments to expropriate private property for public use or in the national interest, usually with the payment of compensation according to rates defined by law. Expropriation implies divesting persons of their property without requiring their agreement or consent.	P&C Review 2018
Extensive replanting on steep terrain	Any individual, contiguous planted area on steep terrain (>25 degrees) greater than 25 ha within the re-planting area.	P&C 2013, Annex 2, NI Guidance
Facilitation payment	Bribes paid to facilitate routine government action ^[1] . A common example is where a government official is given money or goods to perform (or speed up the performance of) an existing duty ^[2] .	 ^[1] UK Bribery Act 2010 Guidance ^[2] UK Serious Fraud Office Bribery Act Guidance
Family farm	A farm operated and mostly owned by a family, for the growing of oil palm, sometimes along with subsistence production of other crops, and where the family provides the majority of the labour used. Such farms provide the principal source of income, and the planted area of oil palm is below 50 ha in size. Work by children is acceptable on family farms, under adult supervision; when not interfering with education programmes; when children are part of the family and when they are not exposed to hazardous working conditions.	P&C 2013

Term	Definition	Source
Food security	Food security is achieved when all people, at all times, have physical, social and economic access to sufficient, safe and nutritious food to meet their dietary needs and food preferences for an active and healthy life. Four dimensions of food security are commonly identified: food availability, food access, utilisation and stability.	FAO World Food Summit, 1996. See FAO Policy Brief Issue 2, June 2006 for further detail.
Forced labour	 All work or service which is exacted from any person under the menace of any penalty and for which said person has not offered him or herself voluntarily. This definition consists of three elements: Work or service refers to all types of work occurring in any activity, industry or sector including in the informal economy. Menace of any penalty refers to a wide range of penalties used to compel someone to work. Involuntariness: The terms "offered voluntarily" refer to the free and informed consent of a worker to take a job and his or her freedom to leave at any time. This is not the case for example when an employer or recruiter makes false promises so that a worker takes a job he or she would not otherwise have accepted. 	ILO Forced Labour Definition ILO, Forced Labour Convention, 1930 (No. 29) ILO, Protocol of 2014 to the Forced Labour Convention, 1930 (P029) ILO, Abolition of Forced Labour Convention, 1957 (No. 105) ILO, Forced Labour Recommendation 2014 (No. 203)
Fragile soil	A soil that is susceptible to degradation (reduction in fertility) when disturbed. A soil is particularly fragile if the degradation rapidly leads to an unacceptably low level of fertility or if it is irreversible using economically feasible management inputs. (See also definition for 'marginal soil').	P&C Review 2018
Gender equal	This refers to the equal rights, responsibilities and opportunities of women and men, and girls and boys.	UN Women, OSAGI Gender Mainstreaming - Concepts and definitions.

Term	Definition	Source
Greenhouse gas	Greenhouse gases (GHGs) are those gaseous constituents of the atmosphere, both natural and anthropogenic, that absorb and emit radiation at specific wavelengths within the spectrum of thermal infrared radiation emitted by the Earth's surface, the atmosphere itself, and by clouds.	Intergovernmental Panel on Climate Change (IPCC) Data Distribution Centre
	GHGs are measured in terms of their global warming potential – the impact a GHG has on the atmosphere expressed in the equivalent amount of carbon dioxide CO_2 (CO_2e). Greenhouse gases regulated by the Kyoto Protocol include: carbon dioxide (CO_2), methane (CH_4), nitrous oxides (N_2O), Hydrofluorocarbons (HFCs), perfluorocarbons (PFC), and sulphur hexafluoride (SF_3).	
Hazardous work	Hazardous work is work performed in hazardous conditions; or "in the most hazardous sectors and occupations, such as agriculture, construction, mining, or ship-breaking, or where working relationships or conditions create particular risks, such as exposure to hazardous agents, such as chemical substances or radiation, or in the informal economy." (<u>https://www.ilo.org/safework/areasofwork /hazardous-work/langen/index.htm</u>).	Article 3 (d) of ILO Convention concerning the Prohibition and Immediate Action for the Elimination of the Worst Forms of Child Labour, 1999 (No. 182)
	Hazardous work is also defined as "any work which is likely to jeopardise children's physical, mental or moral health, safety or morals" and which "should not be done by anyone under the age of 18." (<u>https://www.ilo.org/ipec/facts/</u> ILOconventionsonchildlabour/langen/index.htm).	
High Carbon Stock forest	Countries defined as having >60% forest cover (based on recent, trusted REDD+ and national data); <1% oil palm cover; a deforestation trajectory that is historically low but increasing or constant; and a known frontier area for oil palm or where major areas have been allocated for development.	HCSA website www.highcarbonstock.org

Term	Definition	Source
High Forest Cover Country (HFCC)	Countries defined as having >60% forest cover (based on recent, trusted REDD+ and national data); <1% oil palm cover; a deforestation trajectory that is historically low but increasing or constant; and a known frontier area for oil palm or where major areas have been allocated for development.	RSPO No Deforestation consultancy: HFCC Proforest, 2018
High Forest Cover Landscape (HFCL)	Landscapes having >80% forest cover. Landscape as defined under HCSA Toolkit (Module 5): "The size of a landscape may be determined by (a) identifying the watershed or the geographical land unit containing a cluster of interacting ecosystems; (b) selecting a unit size that encompasses the plantation concession and a buffer of the surrounding area (e.g. 50,000 ha or 100,000 ha); or (c) using a radius of 5 km from the area of interest (for instance, the planned concession)."	HCSA Toolkit (v2)
High Conservation Value (HCV) areas:	The areas necessary to maintain or enhance one or more High Conservation Values (HCVs): HCV 1 – Species diversity; Concentrations of biological diversity including endemic species, and rare, threatened or endangered (RTE) species, that are significant at global, regional or national levels.	High Conservation Value Resource Network (HCVRN) Common Guidance for Identification of HCVs 2017
	HCV 2 – Landscape-level ecosystems, ecosystem mosaics and Intact Forest Landscapes (IFL); Large landscape-level ecosystems, ecosystem mosaics and IFL that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.	

Term	Definition	Source
High Conservation Value (HCV) areas: (Continued)	 HCV 3 – Ecosystems and habitats; RTE ecosystems, habitats or refugia. HCV 4 – Ecosystem services; Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes. 	High Conservation Value Resource Network (HCVRN) Common Guidance for Identification of HCVs 2017
	HCV 5 – Community needs; Sites and resources fundamental for satisfying the basic necessities of local communities or Indigenous Peoples (for livelihoods, health, nutrition, water, etc.), identified through engagement with these communities or Indigenous Peoples.	
	HCV 6 – Cultural values; Sites, resources, habitats and landscapes of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities or Indigenous Peoples, identified through engagement with these local communities or Indigenous Peoples.	
Human Rights Defenders (HRD)	Individuals, groups and associations who promote and protect universally recognised human rights and contribute to the effective elimination of all forms of violations of human rights and fundamental freedoms of individuals and peoples. This definition includes Environmental HRD, whistleblowers, complainants and community spokespersons. This definition does not include those individuals who commit or propagate violence.	RSPO policy on the protection of HRD, Whistleblowers, Complainants and Community Spokesmen (endorsed by BoG on 24 Sept 2018)

Term	Definition	Source
Independent Smallholder	All smallholder farmers that are not considered to be Scheme Smallholders [see definition for Scheme Smallholders] are considered Independent Smallholder farmers.	Smallholder Interim Group (SHIG)
Indigenous peoples	Indigenous Peoples are inheritors and practitioners of unique cultures and ways of relating to people and the environment. They have retained social, cultural, economic and political characteristics that are distinct from those of the dominant societies in which they live. Despite their cultural differences, Indigenous Peoples from around the world share common problems related to the protection of their rights as distinct peoples. Indigenous Peoples have sought recognition of their identities, way of life and their right to traditional lands, territories and natural resources for years, yet throughout history, their rights have always been violated. Indigenous Peoples today are arguably among the most disadvantaged and vulnerable groups of people in the world. The international community now recognises that special measures are required to protect their rights and maintain their distinct cultures and way of life.	UNDESA, Division for Inclusive Social Development, Indigenous Peoples
In good faith	The principle of good faith implies that the parties make every effort to reach an agreement, conduct genuine and constructive negotiations, avoid unjustified delays in negotiations, respect agreements concluded and applied in good faith, and give sufficient time to discuss and settle collective disputes. In the case of multinational enterprises, such companies should not threaten to transfer the whole or part of an operating unit from the country concerned in order to unfairly influence negotiations.	ILO Q&As on business and collective bargaining

Term	Definition	Source
Integrated Pest Management (IPM)	IPM is the careful consideration of all available pest control techniques and subsequent integration of appropriate measures that discourage the development of pest populations and keep pesticides and other interventions to levels that are economically justified and reduce or minimise risks to human health and the environment. IPM emphasises the growth of a healthy crop with the least possible disruption to agro-ecosystems and encourages natural pest control mechanisms.	P&C 2013 FAO 2013 <u>http://www.fao.</u> org/agriculture/crops/ thematicsitemap/theme/ pests/ipm/en/
Intimidation and harassment	Intimidation and harassment include loss of income due to/resulting in organisational restrictions, threats of dismissal from employment, restrictions on travel, restrictions to the environment in which the HRDs operate, deliberate obstruction to holding of meetings between HRDs, hostility within the community where the HRDs live as claims may be seen to jeopardise the community's honour and culture (this may especially be the case with women HRDs). More serious measures include character assassination of HRDs, discrediting, defamation campaigns, arbitrary use of security forces, surveillance, SLAPP suits (Strategic Lawsuits against Public Participation) due to his or her work and/or in the course of his/her activities, threats of physical violence and death threats. Special attention is needed to avoid gender-specific violence such as rape or threats of sexual violence used to silence women.	P&C Review 2018
ISO standards	Standards developed by the International Organization for Standardization.	P&C 2013 ISO: www.iso.org
Land clearing	Conversion of land from one land use to another. Clearing actively managed oil palm plantations to replant oil palm is not considered land clearing. Within existing certified units, clearing of less than 10 ha is not considered new land clearing.	P&C Review 2018

Term	Definition	Source
Landscape	A geographical mosaic composed of interacting ecosystems resulting from the influence of geological, topographical, soil, climatic, biotic and human interactions in a given area.	https://www.iucn.org/ downloads/en_iucn_glossary definitions.pdf
Landscape level	The size of a landscape may be determined by (a) identifying the watershed or the geographical land unit containing a cluster of interacting ecosystems; (b) selecting a unit size that encompasses the plantation concession and a buffer of the surrounding area (e.g. 50,000 ha or 100,000 ha); or (c) using a radius of 5 km from the area of interest (i.e. planned concession boundaries).	HCV-HCSA Assessment Manual 2017
Livelihood	A person's or a group's way of making a living, from their environment or in the economy, including how they provision their basic needs and assure that they and the following generations secure access to food, clean water, health, education, housing and the materials needed for their life and comfort either through their own direct use of natural resources or through exchange, barter, trade or engagement in the market.	P&C 2013
	A livelihood includes not just access to resources but the knowledge and institutions that make this possible such as time for community participation and integration, personal, local or traditional ecological knowledge, skills, endowments and practices, the assets that are intrinsic to that way of making a living (e.g. farms, fields, pastures, crops, stock, natural resources, tools, machinery and intangible cultural properties) and their position in the legal, political and social fabric of society.	

Term	Definition	Source
Livelihood (Continued)	The risk of livelihood failure determines the level of vulnerability of a person or a group to income, food, health and nutritional insecurity. Therefore, livelihoods are secure when they have secure ownership of, or access to, resources and income earning activities, including reserves and assets, to offset risks, ease shocks and meet contingencies.	P&C 2013
	(Compiled from various definitions of livelihoods from Department for International Development (DfID), Institute of Development Studies (IDS) and FAO and academic texts from: http://www.fao.org/docrep/X0051T/X0051t05.htm).	
Managed area	The land containing oil palm and associated land uses such as infrastructure (e.g. roads), riparian zones and conservation set-asides.	P&C Review 2018
Management documents	Management documents are documented information and evidence to interact with the RSPO P&C. It shall be in the form of manuals, working procedures, reports and records that are subject to be audited and reviewed periodically.	ISO 9001 QMS – https://advisera.com
Marginal soil	A soil that is unlikely to produce acceptable economic returns for the proposed crop at reasonable projections of crop value and costs of amelioration. Degraded soils are not marginal soils if their amelioration and resulting productivity is cost effective. (See also definition for 'fragile soil'.).	P&C Review 2018
Migrant worker	A person who migrates from one country to another with a view to being employed otherwise than on his own account and includes any person regularly admitted as a migrant for employment. Migrants are defined as those who cross international boundaries for the purposes of employment, and do not include those workers who move within a country for the purposes of employment.	P&C 2013

Term	Definition	Source
Natural ecosystems	All land with natural, native vegetation, including but not limited to native forests, riparian vegetation, natural wetlands, peatlands, grasslands, Savannah, and prairies.	P&C Review 2018
New planting	Planned or proposed planting on land not previously cultivated with oil palm.	NPP 2015
Non-hazardous work	See definition for hazardous work.	
Operations	All activities planned and/or undertaken by the management unit within the boundaries of the palm oil mill and its supply base.	P&C 2013
Other conservation areas	Areas (in addition to HCV, HCS forests and peatland conservation areas) that are required to be conserved by the RSPO P&C (such as riparian areas and steep slopes) and other areas allocated by the unit of certification.	P&C Review 2018
Outgrowers	Farmers, where the sale of FFB is exclusively contracted to the unit of certification. Outgrowers may be smallholders.	P&C 2013
Peat	A soil with cumulative organic layer(s) comprising more than half of the upper 80 cm or 100 cm of the soil surface containing 35% or more of organic matter (35% or more	
	Loss on Ignition) or 18% or more organic carbon.	Derived from FAO and USDA definition for histosols (organic soils) (FAO 1998, 2006/7; USDA 2014)
Pesticide	Substances or mixture of substances intended for preventing, destroying, repelling or mitigating any pest. Pesticides are categorised into four main substituent chemicals: herbicides; fungicides; insecticides and bactericides.	

Term	Definition	Source
Plan	A time-bound and detailed scheme, programme, or method for achieving objective(s) and desired outcome(s). Plans shall have clear targets with timelines for delivery, actions to be taken and a process for monitoring progress, adapting plans to changing circumstances and reporting. Plans shall also include the identification of named individuals or positions responsible for the delivery of the plan. There shall be evidence that sufficient resources are available to carry out the plan and the plan is implemented in full.	P&C 2013
Plantation	The land on which oil palm is grown.	P&C Review 2018
Prophylactic	A treatment or course of action applied as a preventive measure.	P&C 2013
Rare, threatened or endangered (RTE) species	Species as defined by the High Conservation Value Resource Network (HCVRN).	HCVRN Common Guidance for the Identification of HCVs
Recruitment fees	Recruitment fees pertain to costs and expenses associated with the recruitment and hiring of the worker, i.e. recruiter and agent service fees, documents processing, employer-required skills and medical testing, training, documentation, visa, work permits, transportation (from sending country to point of entry and return), administrative and overhead costs.	Dhaka Principles and ILO 181.
Restore	Returning degraded or converted areas within a plantation to a semi-natural state.	P&C 2013

Term	Definition	Source
Rights	Rights are legal, social, or ethical principles of freedom or entitlement, in accordance with the International Bill of Rights, and other relevant international human rights	P&C 2013
	instruments, including the UN Declaration on the Rights of Indigenous Peoples, UN Guiding Principles on Business and Human Rights, The Global Compact for Safe, Orderly and Regular Migration.	UN Refugees & Migrants, Global Compact for Safe, Orderly and Regular Migration, 2018 World Bank
	 Customary rights: Patterns of long-standing community land and resource usage in accordance with Indigenous Peoples' customary laws, values, customs 	Operational Policy 4.10
	and traditions, including seasonal or cyclical use rather than formal legal title to land and resources issued by the State.	From FSC Principles & Criteria
	2. Legal rights: Rights given to individual(s), entities and others through applicable local, national or ratified international laws and regulations.	
	 User rights: Rights for the use of land and resources that can be defined by local custom, mutual agreements, or prescribed by other entities holding access rights. 	
	 Demonstrable rights: Indigenous Peoples, local communities and users may have informal or customary rights in land that are not registered or recognised by the government or national laws. Demonstrable rights are distinguished from spurious claims by direct engagement with local communities, so they have adequate opportunities to justify their claims, and are best ascertained through participatory mapping with the involvement of neighbouring communities. 	

Term	Definition	Source
Risk assessment	A systematic process of identifying and evaluating the potential risks that may be involved in a projected activity or undertaking. It enables a weighing up of whether enough precautions are in place or whether more should be done to prevent harm to those at risk, including workers and members of the public.	Adapted from ILO, A 5 step guide for employers, workers and their representatives on conducting workplace risk assessments, 2014
Scheme Smallholder	 Farmers, landowners or their delegates that do not have the: Enforceable decision-making power on the operation of the land and production practices; and/or Freedom to choose how they utilise their lands, type of crops to plant, and how they manage them (whether and how they organise, manage and finance the land). (See also smallholder and Independent Smallholder). 	SHIG
Significant pollutant	Chemical or biological substances which have a substantial adverse impact on water, air or land quality including POME, sewage, and other wastewater, sediment, fertiliser, pesticides, fuels and oil, air pollutants, as guided by national regulations and international standards.	P&C Review 2018
Site	A single functional unit of an organisation or a combination of units situated at one locality, which is geographically distinct from other units.	RSPO 2017 SCCS Standard
Smallholder	Farmers growing oil palm, sometimes along with subsistence production of other crops, where the family provides the majority of labour and the farm provides the principal source of income and where the planted area of oil palm is usually below 50 ha in size.	P&C 2013

Term	Definition	Source
Social and Environmental Impact Assessment (SEIA)	A SEIA is an analysis and planning process to be carried out prior to new plantings or operations. This process incorporates relevant environmental and social data, as well as stakeholder consultations, in order to identify potential impacts (both direct and indirect) and to determine whether these impacts can be satisfactorily addressed, in which case the proponent also defines specific actions to minimise and mitigate potential negative impacts.	P&C Review 2018
Stakeholders	An individual or group with a legitimate and/or demonstrable interest in, or who is directly affected by, the activities of an organisation and the consequences of those activities.	P&C 2013
Steep terrain	Areas above 25 degrees or based on a National Interpretation (NI) process.	P&C 2013 Annex 2 Guidance NI
Trafficked labour	Trafficked labour is a form of exploitation that results from the recruitment, transport, transfer, harbouring, and receipt of individuals to perform labour or services through the use of threat or use of force or other forms of coercion, of abduction, fraud, deception, abuse of power, a position of vulnerability or the giving or receiving of payments or benefits.	The UN Palermo Protocols to Prevent, Suppress and Punish Trafficking in Persons.
Transmigrant	A person who migrates from one part of the country to another with a view to being employed otherwise than on his own account.	P&C 2013
Undue influence	The exertion by a third party of any kind of control such that a person signs a contract or other agreement which, absent the influence of the third party, he would not have signed.	P&C 2013

Term	Definition	Source
Unit of certification	The unit of certification shall be the mill and its supply base and shall include both directly managed land (and estates) and Scheme Smallholders and outgrowers, where estates have been legally established with proportions of lands allocated to each.	RSPO Certification Systems 2017
Voluntary isolation	Indigenous Peoples in voluntary isolation are Indigenous Peoples or segments of Indigenous Peoples who do not maintain sustained contacts with the majority non-indigenous population, and who generally reject any type of contact with persons not part of their own people. They may also be peoples or segments of peoples previously contacted and who, after intermittent contact with the non- indigenous societies, have returned to a situation of isolation and break the relations of contact that they may have had with those societies. In line with the principle of FPIC, RSPO prohibits oil palm expansion in these peoples' territories.	Inter-Americanas, 2013
Vulnerable groups	Any group or sector of society that is at higher risk of being subjected to social exclusion, discriminatory practices, violence, natural or environmental disaster, or economic hardship than other groups, such as Indigenous Peoples, ethnic minorities, migrants, disabled people, the homeless, isolated elderly people, women and children.	P&C Review 2018
Water security	The capacity of a population to safeguard sustainable access to adequate quantities of acceptable quality water for sustaining livelihoods, human well-being, and socio-economic development; for ensuring protection against water-borne pollution and water-related disasters; and for preserving ecosystems in a climate of peace and political stability.	UN Water, Water Security Infographic

Term	Definition	Source
Whistleblower	Individuals who are employees or former employees who report on illegal, irregular, dangerous or unethical practices or actions by employers which contravene RSPO Code of Conduct and related key documents and who may potentially be at risk of reprisal. This includes individuals who are outside the traditional employee-employer relationship, such as contract workers, temporary workers, consultants, contractors, trainees/interns, volunteers, student workers and former employees.	RSPO policy on the protection of HRD, Whistleblowers, Complainants and Community Spokespersons (endorsed by BoG on 24 September 2018)
Worker	Men and women, migrants, transmigrants, contract workers, casual workers and employees from all levels of the organisation.	P&C Review 2018
Workforce	The total number of workers employed by the management unit either directly or indirectly. This includes contract workers and consultants.	P&C 2013
Young person	Young workers are aged 15, or above the minimum age of employment, but under the age of 18. According to the ILO, "these workers are considered 'children' even where they may legally perform certain jobs."	ILO Minimum Age Convention, 1973 (No. 138), Article 3
		ILO Safety and Health in Agriculture Convention, 2001 (No. 184), Article 16

ANNEX 2: GUIDANCE

Principle 1: Behave ethically and transparently

Criterion (new)	Guidance
1.1	This concerns management documents relating to environmental, social and legal issues that are relevant to compliance with RSPO Criteria.
	Management documents comprise the results of FPIC processes, SEIAs, Human Rights Policies including policy on the protection of HRDs/whistleblowers, social programmes avoiding or mitigating negative social impacts, social programmes advancing livelihoods, figures of gender distribution within all workers categorised by management, administrative staff and workers (both permanent casual workers, piece rate workers), partnership programmes for Independent Smallholders, education and health in the communities.
	The auditors will comment on the adequacy of each of the documents listed in the public summary of the assessment report.
	Examples of commercially confidential information include financial data such as costs and income, and details relating to customers and/or suppliers. Data that affects personal privacy should also be confidential.

Ongoing disputes (within or outside of a legal mechanism) can be considered as confidential information where disclosure could result in potential negative outcomes for all parties involved. However, affected stakeholders and those seeking resolution to conflict should have access to relevant information.

Criterion (new) Guidance

1.1 (Continued)

Examples of information where disclosure could result in potential negative environmental or social outcomes include information on sites of rare species where disclosure could increase the risk of hunting or capture for trade, or sacred sites which a community wishes to maintain as private. The unit of certification should ensure that sufficient objective evidence exists to demonstrate that the level of measuring and monitoring of the management plan, and information, is appropriate and made available.

For 1.1.5: Applicable data privacy laws should be considered in the gathering, storage, use and distribution and publication of personal information.

The following documents should be available at the unit of certification (but not necessarily limited to) upon request:

- Land titles/user rights (Criterion 4.4)
- Occupational health and safety plans (Criterion 3.6)
- Plans and impact assessments relating to environmental and social impacts (Criterion 3.4)
- HCV & HCS documentation (Criterion 7.12)
- Pollution prevention and reduction plans (Criterion 7.10)
- Details of complaints and grievances (Criterion 4.2)
- Negotiation procedures (Criterion 4.6)
- Continuous improvement plans (Criterion 3.2)
- Public summary of certification assessment report
- Human Rights Policy (Criterion 4.1)

Criterion (new) Guidance

1.2

All levels of the operations will include contractors (e.g. those involved in security).

The policy should include as a minimum:

- A respect for fair conduct of business;
- A prohibition of all forms of corruption, bribery and fraudulent use of funds and resources;
- A proper disclosure of information in accordance with applicable regulations and accepted industry practices.

The policy should be set within the framework of the UN Convention Against Corruption, in particular Article 12.

The policy should cover elements such as: bribery; facilitation payments; guidance and procedure for gifts and hospitality; disclosure of political contributions; guidelines for charitable donations and sponsorships; respect for fair conduct of business; proper disclosure of information in accordance with applicable regulations and accepted industry practices; compliance with existing anti-corruption legislation.

Commitment to company ethical policies is incorporated in all service contracts.

There are due diligence procedures in place for the selection and contracting of recruitment agencies and labour intermediaries or suppliers.

Unethical conduct includes: charging fees to workers, recovering cost of recruitment and transportation against workers' wages, receiving gifts and commissions from labour intermediaries or suppliers.

Principle 2: Operate legally and respect rights

Criterion (new)	Guidance
2.1	Implementing all legal requirements is an essential baseline requirement for all growers whatever their location or size. Relevant legislation includes but is not limited to: regulations governing land tenure and land use rights, labour, agricultural practices (e.g. chemical use), environment (e.g. wildlife laws, pollution, environmental management and forestry laws), storage, transportation and processing practices. It also includes laws made pursuant to a country's obligations under international laws or conventions [(e.g. the Convention on Biological Diversity (CBD), ILO Core Conventions, UN Guiding Principles on Business and Human Rights)].
	Key Thai laws, international laws and conventions are set out in Annex 3.
	Contradictions and inconsistencies should be identified, and solutions suggested.
	Evidence should be incorporated as part of implementation of Criterion 2.3.
	See Indicator 4.4.1 for requirements on legal ownership or lease and authorised use of customary lands.
	For Indicator 2.1.2: A 'documented system for ensuring legal compliance' can take the form of a physical or virtual filing cabinet of applicable laws, regulations and rules with elements of how these laws are interpreted and followed in the running of the operations.

Criterion (new)	Guidance
2.2	 Contracted parties include: Temporary employment, whereby workers are engaged only for a specific period of time, includes fixed-term, project- or task-based contracts, as well as seasonal or casual work, including day labour. Short-term contracts; renewable contracts. Fixed-term, project, or task-based contracts are contractual employment arrangements between one employer and one employee characterised by a limited duration or a pre-specified event to end the contract. Casual work is the engagement of workers on a very short term or on an occasional and intermittent basis, often for a specific number of hours, days or weeks, in return for a wage set by the terms of the daily or periodic work agreement.

Principle 3: Optimise productivity, efficiency, positive impacts and resilience

Criterion (new)	Guidance
3.1	Whilst it is recognised that long-term profitability is also affected by factors outside their direct control, top management should be able to demonstrate attention to economic and financial viability through long-term management planning.
	For plantations on peat, a longer time frame for the projection of the annual replanting programme is needed per Criterion 7.7.
	The unit of certification should have a system to improve practices in line with new information and techniques. For smallholder schemes, the scheme management should be expected to provide their members with information on significant improvements. This Criterion is not applicable to Independent Smallholders.
	 The business or management plan should contain: 1. Attention to quality of planting materials. 2. Crop projection = Fresh Fruit Bunches (FFB) yield trends. 3. Mill extraction rates = Oil Extraction Rate (OER) trends. 4. Cost of production = cost per tonne of Crude Palm Oil (CPO) trends. 5. Forecast prices. 6. Financial indicators.
	Suggested calculation: Trends in a 3-year running mean over the last decade (FFB trends may need to allow for low yield during major replanting programmes). Consideration of smallholders should be inherent in all management planning where applicable (see also Principle 5). For Scheme Smallholders, the content of the business plan may vary from that suggested.
	Where the specific financial details are not known, an estimate of these amounts or structures for defining those estimates will be made clear within the contract.

Criterion (new)	Guidance
3.1 (Continued)	Management reviews (Indicator 3.1.3) should include:
	1. Results of internal audits.
	2. Customer feedback.
	3. Process performance and product conformity.
	4. Status of preventive and corrective actions.
	5. Follow-up actions from management reviews.
	6. Changes that could affect the management system.
	7. Recommendations for improvement.
3.2	For the action plan for continuous improvement, indicators may include but not be limited to:
	1. Optimising the yield of the supply base.
	2. Reduction in use of pesticides (Criterion 7.2).
	3. Environmental impacts (Criteria 3.4, 7.6 and 7.7).
	4. Waste reduction (Criterion 7.3).
	5. Pollution and greenhouse gas (GHG) emissions (Criterion 7.10).
	6. Impacts on communities, workers and smallholders (Principle 6).
	7. Integrated management of HCV-HCS, peatland and other conservation areas (Criteria 7.7 and 7.12).
	Where applicable, review should include Scheme Smallholders.
	The unit of certification should have a system to improve practices in line with new information and techniques, and a

The unit of certification should have a system to improve practices in line with new information and techniques, and a mechanism for disseminating this information throughout the workforce. For smallholders, there should be systematic guidance and training for continuous improvement.

Criterion (new)	Guidance
3.3	Mechanisms to check implementation could include documentation of management systems and internal control procedures (see Criterion 2.1).
	SOP and documentation for mills should include relevant supply chain requirements (see SCCS section under Principle 3).
	The unit of certification, while working with third party suppliers of FFB on traceability, should use the opportunity to distribute suitable information on BMPs.
3.4	The terms of reference of the SEIA should be defined. Ideally, the SEIA should be carried out by accredited independent experts, in order to ensure an objective process. The assessment (SEIA) should include, but is not limited to:
	1. Assessment of the impacts of all major planned activities, including land clearing, planting, replanting, pesticide and fertiliser use, mill operations, roads, drainage and irrigation systems and other infrastructure.
	 Assessment of the impacts on HCVs, biodiversity and RTE species, including beyond concession boundaries and any measures for the conservation and/or enhancement of these.
	3. Assessment of the potential effects on adjacent natural ecosystems of planned developments, including whether development or expansion will increase pressure on nearby natural ecosystems.
	 Identification of watercourses and wetlands and assessment of potential effects on hydrology and land subsidence of planned developments. Measures should be planned and implemented to maintain the quantity, quality and access to water and land resources.
	5. Baseline soil surveys and topographic information, including the identification of steep terrain, marginal and fragile soils, areas prone to erosion, degradation, subsidence, and flooding.
	6. Analysis of the type of land to be used (forest, degraded forest, peatlands, cleared land, etc.).
	7. Assessment of land ownership and user rights.
	 Assessment of current land use patterns. Assessment of impacts on people's amenity.
	10. Assess impacts on employment, employment opportunities or from changes of employment terms.

Criterion (new) Guidance

3.4 (Continued)

11. A cost-benefit analysis on social aspects.

- 12. Assessment of potential social impacts on surrounding communities of a plantation, including an analysis of potential effects on livelihoods, and differential effects on women versus men, ethnic communities, and migrant versus long-term residents.
- 13. Assessment of salient risk of human rights violations.
- 14. Assessment of the impacts on all dimensions of food and water security including the right to adequate food, and monitoring food and water security for affected communities.
- 15. Assessment of activities which may impact air quality or generate significant GHG emissions.

For smallholder schemes, the scheme management has the responsibility to undertake impact assessment and to plan and operate in accordance with the results.

Additional information on SEIA can be found in various external sources such as the HCSA Toolkit Module 3 and the International Finance Corporation (IFC)'s Guide to Biodiversity for the Private Sector: The Social and Environmental Impact Process.

The review of the monitoring and management plan should be done (once every two years) internally or externally. Management documents may comprise social programmes avoiding or mitigating adverse social impacts including human rights, social programmes advancing community livelihoods and gender equality, partnership programmes for Independent Smallholders, education and health in the communities.

Affected stakeholders are able to express their views through their own representative institutions, or freely chosen spokespersons, during the identification of impacts, reviewing findings and plans for mitigation, and monitoring the success of implemented plans.

Criterion (new)	Guidance
3.6	Refer to Occupational Safety, Health and Environment Act B.E. 2554 (2011)
3.7	Training content: Workers should be adequately trained on: the health and environmental risks of pesticide exposure; recognition of acute and long-term exposure symptoms including the most vulnerable groups (e.g. young workers, pregnant women); ways to minimise exposure to workers and their families; and international and national instruments or regulations that protect workers' health.
	The training programme should include productivity and best management practice and be appropriate to the scale of the organisation. The programme should enable everyone to fulfil their jobs and responsibilities in accordance with documented procedure.
	Training participants: Training should be given to all staff and workers including women smallholders and women plantation workers, within the unit of certification, as well as contract workers.
	The unit of certification should demonstrate training activities for Scheme Smallholders who provide FFB on a contracted basis.
	Workers on smallholder plots also need adequate training and skills, and this can be achieved through extension activities of the unit of certification that purchase fruit from them, by smallholders' organisations, or through collaboration with other institutions and organisations.
	For individual Scheme Smallholder operations, training records should not be required for their workers, but anyone working on the farm should be adequately trained for the job they are doing.

Principle 4: Respect community and human rights and deliver benefits

Criterion (new)	Guidance
4.1	All levels of operations will include contractors (e.g. those involved in security).
	The UN Guiding Principles on Business and Human Rights notes that:
	"The responsibility of business enterprises to respect human rights refers to internationally recognised human rights – understood, at a minimum, as those expressed in the International Bill of Human Rights and the principles concerning fundamental rights set out in the International Labour Organization's Declaration on Fundamental Principles and Rights at Work."
	The UN Guiding Principles on Business and Human Rights also note that the responsibility of business enterprises to respect human rights exists independently of nation states' abilities and/or willingness to fulfil their own human rights obligations and exists over and above compliance with national laws and regulations protecting human rights. (See "The corporate responsibility to respect human rights" in Guiding Principles on Business and Human Rights).
	The RSPO Human Rights Working Group will provide additional guidance to identify, prevent, mitigate and address human rights issues and impacts.
	The resulting guide will identify the relevant issues on human rights to all RSPO members.
	Details on requirements to protect the rights of HRDs, including complainants, whistleblowers and community spokespersons, are set out in the <u>RSPO Policy on the Protection of Human Rights Defenders, Whistleblowers, Complainants and Community Spokespersons</u> .

Criterion (new)	Guidance
4.2	Dispute resolution mechanisms should be established through open and consensual agreements with relevant affected parties.
	Complaints should be dealt with by mechanisms such as Joint Consultative Committees (JCC), with gender representation and, where relevant, migrant worker representation. Grievances may be internal (employees) or external.
	For Scheme and Independent Smallholders, refer to the current RSPO Guidance Documents for Scheme and Independent Smallholders.
	Where a resolution is not found mutually, complaints can be brought to the attention of the RSPO Complaints System.
	Refer to helpful texts for guidance, such as the UN Human Rights Commission (HRC) endorsed <i>'Guiding Principles on</i> Business and Human Rights: Implementing the UN "Protect, Respect and Remedy" Framework', 2011.
4.3	Contributions to local sustainable development should be based on the results of consultation with local communities and should have long term economic, social and/or environmental benefits. Such consultations should be based on the principles of transparency, openness and participation, and should encourage communities to identify their own priorities and needs, including the different needs of men, women and minority/vulnerable groups.
	The unit of certification may also seek partnerships from non-governmental organisations (NGOs) and civil society organisations (CSOs) to identify key environmental and/or social issues that are prevalent in the community and develop and implement solutions to address these issues as part of their contributions to sustainable development.

Criterion (new)	Guidance
4.3 (Continued)	 Some examples of contributions to local sustainable development could be, but are not limited to: a) Poverty reduction. b) Access to health and wellbeing. c) Access to quality education. d) Access to clean water and sanitation. e) Conservation or restoration of natural resources. f) Gender equality programmes. g) Support/enhance/secure food and water security.
	Where candidates for employment are of equal merit, preference should always be given to members of local communities. Positive discrimination should not be recognised as conflicting with Criterion 6.1.
4.4	All indicators will apply to current operations, but there are exceptions for long-established plantations which may not have records dating back to the time of the decision making, in particular for compliance with Indicators 4.4.2 and 4.4.3. Where there are legal or customary rights over land, the unit of certification should demonstrate that these rights are understood and are not being threatened or reduced. This Criterion should be considered in conjunction with Criterion 4.5, 4.6 and 4.7.
	Where customary rights areas are unclear, these should be established through participatory mapping exercises involving affected parties (including neighbouring communities and local authorities). This Criterion allows for negotiated agreements to compensate other users for lost benefits and/ or relinquished rights. 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. The representation of communities should be transparent and in open communication with other community members.

Criterion (new)	Guidance
4.4 (Continued)	Relevant legal arrangements may include negotiated benefit-sharing agreements, joint venture agreements, legal representation on management boards, restrictions on prior land use, co-management arrangements, smallholder contracts, rental and leasehold arrangements, royalty payments, and the implications of land acquisition and permits for community land tenure, use and access rights.
4.5	The unit of certification can, through compliance with RSPO criteria, demonstrate its commitment to support the global Sustainable Development Goals [especially SDGs 2 (Zero Hunger), 6 (Clean Water and Sanitation) and 15 (Life on Land)]. The unit of certification should support the implementation of existing national strategies with regard to food and water security and not contradict them by any of its business activities.
	The unit of certification should recognise national and/or international natural disaster risk assessments, strategies and maps in the management plan/strategy for the managed areas. The unit of certification should inform suppliers and communities in the concerned region about natural risks and provide support in case of strong adverse natural and human made disasters. This activity should be integrated with the SEIA required by Criterion 3.4.
	Within the FPIC process, measures to balance potential negative impacts on food and water security for local communities should be discussed and agreed upon between the unit of certification and the local communities. These measures and their proposed implementation features (what, how, how long, recipients, threats and opportunities to implementation) are documented as part of the resource management planning. In cases where the availability, access, quality and stability of food and water are negatively affected by the planned operations, mitigation and relief measures should be agreed upon.
	Where applicable, in communities resettled in accordance with FPIC, the unit of certification should monitor the food and water security situation through a screening process and, for example, through continuous dialogue, to ensure local food and water security.

Criterion (new) Guidance

4.5 (Continued)

Efforts should be made to consider population dynamics. The set of measures is to be reviewed regularly (proposed biannually) to reflect on the changes in need, capacities and the resources available.

The unit of certification should not restrict access to markets for local communities through its operations.

The unit of certification should assess water catchments in order to identify key water risks or shared challenges (see HCV 4). The unit of certification should regularly monitor their operations' impacts on water availability and quality.

Where new plantings are considered to be acceptable, management plans and operations should maintain sacred sites.

Agreements with Indigenous Peoples, local communities and other stakeholders should be made without coercion or other undue influence (see Guidance for Criterion 4.4). Relevant stakeholders include those affected by or concerned with the new plantings.

Customary and user rights will be demonstrated through participatory user mapping as part of the FPIC process.

FPIC is a guiding principle and should be applied to all RSPO members throughout the supply chain. Refer to RSPO approved FPIC guidance ('FPIC and the RSPO; A Guide for Members', October 2015).

Criterion (new)	Guidance
4.6	Where there is a conflict on the condition of land use as per land title, the unit of certification should show evidence that necessary action has been taken to resolve the conflict with relevant parties.
	A mechanism should be in place to resolve any conflict (Criteria 4.2 and 4.6). Where operations overlap with other rights holders, the unit of certification should resolve the issue with the appropriate authorities, consistent with Criteria 4.2 and 4.6.

Principle 5: Support smallholder inclusion

Criterion (new)	Guidance
5.1	Fair prices for FFB will be equal to or above the prices as established by government or government endorsed initiatives, where applicable. Where not applicable, the following elements should be considered subject to prevailing commodity prices:
	 Cost incurred by smallholders where applicable (e.g. fertiliser, seeds, pesticides, transport of FFB, land use permit, land ownership fees, land preparation, labour costs and other costs related to FFB production); Unexpected and unpredictable environmental and climate related risk costs including the occurrence of new pests for which treatment is not yet available, climate change effects or extreme weather conditions.
	Source: 2012 FAO Guiding Principles Responsible Contract Farming.
	This should also be applied to situations where the unit of certification functions as the group manager for groups certified under group certification.
	Transactions with smallholders should consider issues such as the role of middlemen, transport and storage of FFB, quality and grading. The need to recycle the nutrients in FFB (see Criterion 7.5) should also be considered; where it is not practicable to recycle wastes to smallholders, compensation for the value of the nutrients exported should be made through the FFB price.
	Smallholders should have access to the grievance procedure under Criterion 4.2 if they consider that they are not receiving a fair price for FFB, whether or not middlemen are involved. If the unit of certification requires smallholders to change practices to meet the RSPO P&C, consideration should be given to the costs of such changes, and the possibility of advance payments for FFB can be considered.

Criterion (new)	Guidance
5.2	Refer to the RSPO Independent Smallholder Standard 2019.
	The consultation may include collection centres or other parties like representative organisations, where applicable.
	In particular, for Scheme Smallholders, support programmes are based on long term relations.
	 When the unit of certification assesses the eligibility of the requested support by Independent Smallholders, the following factors can be taken into account and are explained to and understood by the smallholders: Expected continued supply of FFB to the mill. Readiness of smallholders to implement the improvement programmes.
	Specific elements on RSPO certification may include: • Socialisation on RSPO • H&S training • FPIC • HCV
	The delivery of the support services can include but is not limited to cooperatives, agents, collection centres and

representative organisations.

Principle 6: Respect workers' rights and conditions

Criterion (new)	Guidance
6.1	The non-discriminatory requirements are applied to all workers, regardless of contractual status.
	Examples of compliance can be appropriate documentation (e.g. job advertisements, job descriptions, appraisals, etc.), and/or information obtained via interviews with relevant stakeholders such as affected groups which may include women, local communities, foreign workers, migrant workers, etc.
	Notwithstanding national legislation and regulation, medical conditions should not be used in a discriminatory way.
	The grievance procedures detailed in Criterion 4.2 apply. Positive discrimination to provide employment and benefits to specific communities is acceptable as part of negotiated agreements.
	Examples of evidence for Indicator 6.1.2 could include contracts between employer and agency; contracts between worker and agency; clear company policy and recruitment procedures; confirmation by workers and agency that no recruitment fees are charged.
	Foreign and migrant workers should not pay anything that a local worker is not required to pay, unless mandated by law. A worker should not be selected for the job on the basis of their capacity to pay.

Criterion (new)	Guidance
6.2	Elements in the calculation of a decent standard of living should include food, water, housing, education, healthcare, transport, clothing and other essential needs, including provision for unexpected effects, in accordance with the Global Living Wage Coalition (GLWC) methodology.
	The list of essential needs (that will be considered for the non-food, non-housing element), and the costs/values associated with these elements provided by the RSPO Guidance for Implementing a Decent Living Wage.
	Where a RSPO Guidance for Implementing a Decent Living Wage, or one that fulfils the basic requirements of the RSPO- endorsed living wage methodology, has been established in the country or region of operation, this should be used as a benchmark.
	Where there are industry-established benchmarks of living wage, these can be used as a basis, as long as the elements of the DLW definition or their equivalencies have been considered.
	For countries where no living wage standard is established, the RSPO Guidance for Implementing a Decent Living Wage should be followed. (see procedural note in Indicator 6.2.6).
	A written policy, committing to payment of a living wage should be in place.

Guidance
 The implementation plan should have specific targets, and a phased-implementation process should be in place, including the following: An assessment is conducted to determine prevailing wages and in-kind benefits already being provided to workers. There is annual progress on the implementation of living wages. Where a minimum wage, based on equivalent basket of goods, is stipulated in Collective Bargaining Agreements (CBAs), this should be used as the foundation for the gradual implementation of the living wage payment. The unit of certification may choose to implement the living wage payment in a specific section as a pilot project; the pilot will then be evaluated and adapted before an eventual scale-up of the living wage implementation. Without disrupting the wage distribution, employers can provide more or better in-kind benefits to increase the living
standards of their workers, as long as it is agreed upon by the trade union/worker representatives.
The right of staff and workers, including migrant and transmigrant workers and contract workers, to form associations and bargain collectively with the unit of certification should be respected, in accordance with Conventions 87 and 98 of the ILO.
Collective bargaining is encouraged to include terms and conditions relevant to workers' rights, but also to the workers and families' rights to access health care, education, nutritious food, safety/protection equipment, energy, and could include a clear mechanism of grievances and remedy.
Foreign workers should be encouraged to join unions. Where the right to freedom of association and collective bargaining are restricted under law, the unit of certification publishes a statement that facilitates parallel means of independent and free association and bargaining for all such personnel.

Criterion (new)	Guidance
6.4	The unit of certification should clearly define the minimum working age, together with working hours. Only workers above the minimum school leaving age in the country or who are at least 15 years old may be employed. The minimum age of workers will not be less than stated under national regulations. Any hazardous work should not be done by those under 18, as per labour laws.
	Work in family farms, when the farm is contracted to or provides business to another entity, is prohibited. Farm work is only accepted when it is for the family's own consumption.
	Child labour is not exacted only by employers, and children do not have to be in an employment relationship with a third-party employer to be in child labour and to suffer its consequences.
	Age verification documents include a government recognised photographic identification document, where available.
	Examples of remediation are:
	 procedures to assist underage workers found to be working;
	 ensuring the children are taken out of the work site,

- parents/guardians are informed,
- medical testing assessing physical and mental health is conducted; and
- the unit of certification ensures that the children are enrolled in school. .

Criterion (new)	Guidance
6.5	There should be a clear policy developed in consultation with staff and workers, contract workers and other relevant stakeholders, and the policy should be publicly available. Progress in implementing the policy should be regularly monitored, and the results of monitoring activities should be recorded.
	These policies should include education for women and awareness of the workforce. There should be programmes provided for particular issues faced by women, such as violence and sexual harassment in the workplace. This committee, which should include representatives from all areas of work, will consider matters such as: training on women's rights; counselling for women affected by violence; child care facilities to be provided by the unit of certification; women to be allowed to breastfeed up to nine months before resuming chemical spraying or usage tasks; and women to be given specific break times to enable effective breastfeeding.
	For 6.5.3: The Gender Committee can support the assessment. Adequate space and paid breaks should be provided to enable mothers with infants 24 months or younger to breastfeed or express and store breast milk with privacy.
6.6	Migrant workers should be legalised, and a separate employment agreement should be drawn up to meet immigration requirements for foreign workers and international standards. Any deductions made should not jeopardise a DLW. Workers may voluntarily want to have their passports or identity documents held by the management for safekeeping purposes. In such cases, the documents should be returned to the workers upon request. There should be evidence of due diligence in applying this to all sub-contract workers and suppliers. National guidance should be used on contract substitution.
	Workers should enter into employment voluntarily and freely, without the threat of a penalty, and should have the freedom to terminate employment without penalty given reasonable notice or as per agreement.
	Refer to ILO conventions: Forced Labour Convention, 1930 (No. 29); Protocol of 2014 to the Forced Labour Convention, 1930 (P029); Abolition of Forced Labour Convention, 1957 (No. 105); Forced Labour Recommendation, 2014 (No. 203).

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Criterion (new)	Guidance
6.6 (Continued)	The specific labour policy should include:
	 Statement of the non-discriminatory practices.
	No contract substitution.
	• Post-arrival orientation programme to focus especially on language, safety, labour laws, cultural practices etc.
	• Decent housing to be provided in accordance with national law or in their absence ILO Recommendation 115.
	 Fees related to recruitment and hiring of migrant workers.

Principle 7: Protect, conserve and enhance ecosystems and the environment

Criterion (new)	Guidance
7.1	The unit of certification should apply recognised IPM techniques, incorporating cultural, biological, mechanical and physical methods to minimise the use of chemicals. Native species should be used in biological control where possible.
7.2	In specific cases for the control of pests and diseases by fire, as per regulations, there should be evidence of prior approval of the controlled burning as specified by the relevant authorities in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines or regulations in other regions. RSPO has identified some examples of alternatives to pesticide and herbicide use, which include those listed in the 'Research project on Integrated Weed Management Strategies for Oil Palm', CABI, April 2011.
	Due to problems in the accuracy of measurement, monitoring of pesticide toxicity is not applicable to Independent Smallholders. The justification should consider less harmful alternatives and IPM. Justification of the use of such pesticides will be included in the public summary report. Measures to avoid the development of resistance (such as pesticide rotations) should be applied.
	Due diligence is understood as the process through which enterprises should identify, assess, mitigate, prevent and account for how they verify the emergency use of pesticides that are categorised as World Health Organization Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, which are banned from use in RSPO, except in very specific situations. The nature and extent of due diligence will be affected by factors such as the size of the area where the pesticides should be applied, the context and location of the application, the nature of products or services, and the severity of actual and potential adverse impacts which will be caused by the use of the high hazardous pesticides.

Criterion (new) Guidance

7.2 (Continued)

The due diligence should refer to:

a) Judgment of the threat and verification of why this is a major threat.

b) Why there is no other alternative which can be used.

c) Which process was applied to verify that there is no other less hazardous alternative.

d) What the process is to limit the negative impacts of the applications.

e) Estimation of the timescale of the application and which steps are taken to limit the application to a singularity.

Recognised best practice includes: storage of all pesticides as prescribed in the 'FAO International Code of Conduct on the distribution and use of pesticides' and its guidelines and supplemented by relevant industry guidelines in support of the International Code (see Annex 3).

Criterion (new)	Guidance
7.3	 The waste management and disposal plan should include measures for: Improving the efficiency of resource utilisation and recycling potential wastes as nutrients or converting them into value-added products (e.g. through animal feeding programmes). Appropriate management and disposal of hazardous chemicals and their containers. Surplus chemical containers should be reused, recycled or disposed of in an environmentally and socially responsible way using best available practices (e.g. returned to the vendor or cleaned using a triple rinse method), in such a way that there is no risk of contamination of water sources or risk to human health. The disposal instructions on the manufacturers' labels should be adhered to. Improving the efficiency of resource utilisation and recycling potential wastes as nutrients or converting them into value-added products (e.g. through animal feeding programmes).
	The unit of certification is encouraged to improve the waste management in surrounding neighbourhoods. Where there are no options for non-toxic and non-hazardous domestic waste collection by local government services, landfills may be required as a solution for disposal.
	Where landfills are used, these should follow appropriate guidelines, which includes being:
	• Only for domestic and household waste, where inorganic waste is minimised.
	 Located away from water sources, people and communities, and outside conservation areas. Properly covered, with clear demarcation and signage to avoid disturbance.
7.4	Long-term fertility depends on maintaining the structure, organic matter content, nutrient status and microbiological health of the soil. Nutrient efficiency should take account of the age of plantations and soil conditions. The nutrient recycling strategy should include any use of biomass for by-products or energy production and should drive to minimise inorganic fertiliser use.
7.5	Techniques that minimise soil erosion are well known and should be adopted, where appropriate. These should include practices such as ground cover management, biomass recycling, terracing, and natural regeneration or restoration instead of replanting.
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Criterion (new)	Guidance
7.6	These activities can be linked to the SEIA (see Criterion 3.4) but need not be done by independent experts.
	Soil suitability maps or soil surveys should be appropriate to the scale of operation and should include information on soil types, topography, hydrology, rooting depth, moisture availability, stoniness and fertility to ensure long-term sustainability of the development.
	Soils requiring appropriate practices should be identified (see Criteria 7.6 and 7.7). This information should be used to plan planting programmes, etc.
	Measures should be planned to minimise erosion through appropriate use of heavy machinery, terracing on slopes, appropriate road construction, rapid establishment of cover, protection of riverbanks, etc.
	Areas located within the plantation perimeters that are considered unsuitable for long-term oil palm cultivation should be delineated in plans and included in operations for conservation or rehabilitation as appropriate (see Criteria 7.6 and 7.7).
	Assessing soil suitability is also important for smallholders, particularly where there are significant numbers operating in a particular location.
	Information should be collected on soil suitability by the unit of certification if planning to purchase FFB) from potential developments of Independent Smallholders in a particular location. The unit of certification should assess this information and provide information to Independent Smallholders on soil suitability, and/or in conjunction with relevant government/ public institutions, such as the Department of Land Development, Thailand and other organisations (including NGOs) that provide information in order to assist Independent Smallholders in growing oil palm sustainably.

Criterion (new)	Guidance
7.7	The unit of certification is encouraged to map the peatlands within the supply base to enable monitoring and promotion of BMPs.
	For Indicator 7.7.3: For existing plantings on peat, the water table should be maintained at an average of 50 cm (between 40 cm and 60 cm) below ground surface unless required to be higher by national regulations, measured with groundwater piezometer readings, or an average of 60 cm (between 50 cm and 70 cm) below ground surface as measured in water collection drains, through a network of appropriate water control structures (e.g. weirs, sandbags, etc.) in fields, and watergates at the discharge points of main drains.
	For Indicator 7.7.3: Monitoring of subsidence should be undertaken in all drained peat areas in the plantation including areas adjacent to the plantation where water tables may be impacted by drainage associated with the plantation.
7.8	 The water management plan should include: Consideration of relevant stakeholders, their water use, and water resource availability Taking account of the efficiency of use and renewability of sources Ensuring that the use and management of water by the unit of certification does not result in adverse impacts on other users within the catchment area, including local communities and customary water users Aiming to ensure local communities, workers and their families have access to adequate, clean water for drinking, cooking, bathing and cleaning purposes Avoiding contamination of surface and ground water through runoff of soil, nutrients or chemicals, or as a result of inadequate disposal of waste including POME.
	Refer to the 'RSPO Manual on BMPs for the Management and Rehabilitation of Riparian Reserves' (April 2017).

Criterion (new)	Guidance
7.9	Renewable energy use per tonne of CPO or palm product in the mill should be monitored and reported. Direct fossil fuel use per tonne of CPO or FFB should be monitored.
	Energy efficiency should be taken into account in the construction or upgrading of all operations. The unit of certification should assess the direct energy use of their operations, including fuel and electricity, and energy efficiency of its operations. This should include estimation of fuel use by on-site contract workers, including all transport and machinery operations.
	The feasibility of collecting and using biogas should be studied where relevant.
7.10	The unit of certification should only establish new plantings on mineral soils, in low carbon stock areas, and cultivated areas (including rubber and tree crops), which the current users are willing to develop into oil palm.
	Plans prepared by the unit of certification should specify actions to be taken to reduce GHG emissions including for example, adopting low-emission management practices for both mills [(e.g. better management of palm oil mill effluent (POME), efficient boilers etc.)] and plantations (e.g. optimal fertiliser use, energy efficient transportation, good water management, restoration of peatlands and conservation areas). Reference can be made to the RSPO Compilation of BMPs to Reduce Total Emissions from Palm Oil Production. This Criterion covers plantations, mill operations, roads and other infrastructure including access and perimeter canals and roads.
7.11	Extension/training programmes for smallholders may be necessary.

Criterion (new)	Guidance
7.12	For Indicator 7.12.2 HCV assessments conducted as part of integrated HCV-HCS assessments should follow the HCVRN procedures, using HCVRN ALS approved assessors for HCV assessments for new plantings, in line with the current version of the Common Guidance on HCV Identification provided by the HCVRN or national HCV toolkits.
	Where landscape level HCV and/or HCS maps have been developed, these should be taken into account in project planning, whether or not such maps form part of government land use plans.
	Further guidance for implementation of 'wider landscape-level considerations' and other natural ecosystems will be developed by the BHCV WG. This will include reference to Key Biodiversity Areas (KBAs), which are identified under a Global Standard (IUCN 2016) and should be identified through an HCV assessment.
	For Indicator 7.12.4 Refer to relevant guidance documents on RSPO and HCVRN websites.
	The integrated management plan should be developed in collaboration with other stakeholders active in that landscape before and during the project implementation. It should be adaptive to changes in HCVs.
	Evidence of attempted collaboration efforts should be documented and available. Such collaborative plans and areas should include but are not limited to:

Criterion (new)	Guidance
7.12 (Continued)	 Identifying, protecting and/or enhancing forest connectivity important for biodiversity, ecosystem services, or watershed protection Minimising hydrological impacts to the landscape related to or arising from drainage systems and access roads or canals linked to the plantation Ensuring that any legal requirements relating to the protection of species or habitats are met Avoiding damage to and deterioration of HCV habitats, for example by ensuring that HCV areas are connected, corridors are conserved, and buffer zones around HCV areas are created Protecting and managing other conservation areas including watercourses and wetlands, peatlands, riparian zones, steep slopes Controlling any illegal or inappropriate hunting, fishing or collecting activities, and encroachment Developing responsible measures to resolve human-wildlife conflicts (e.g. incursions by elephants). For Indicator 7.12.5 Decisions will be made in consultation with the affected communities. Areas required by affected communities to meet their basic needs, taking into account potential positive and negative changes in livelihoods resulting from proposed operations, should be identified in consultation with the communities and incorporated into HCV and HCS assessments and management plans.
	The unit of certification should consider a variety of land management and tenure options to secure HCV management areas in ways that also secure local peoples' rights and livelihoods. Some areas are best allocated to community management and secured through customary or legal tenures; in other cases, co-management options may be considered. Where communities are asked to relinquish rights so that HCVs can be protected or enhanced by the companies or state agencies, then great care needs to be taken to ensure that communities retain access to adequate land and resources to secure their basic needs; all such relinquishment of rights must be subjected to their free, prior and informed consent.

Criterion (new)	Guidance
7.12 (Continued)	For Indicator 7.12.7
	Refer to HCVRN Common Guidance for HCV Management and Monitoring document

	Referenced	Internat	ional Standards			
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
Ethical Business Conduct	1.1 1.2 2	United Nations Convention against Corruption (2000)			Art 12	Promoting the development of standards and procedures to safeguard the integrity of private entities, including codes of conduct, for business activities and preventing conflict of interest. Promoting transparency. Ensuring that companies have sufficient internal auditing controls to prevent corruption.
	1.2 2.1 2.2	Private Employment Agencies Convention 1997 (No 181)				Covers protection for workers who are employed through third party and/or private employment agencies.
Respect for Human Rights	4.1 4.2		Declaration on the Rights of Human Rights Defenders			Contains human rights standards enshrined in other international instruments that are legally binding for the protection of human rights, including HRDs.

	Referenced	Internat	ional Standards			
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
Respect for Human Rights	4 5 6			United Nations Guiding Principles on Business and Human Rights (2011)	Principles 11-24	Respect human rights, by avoiding and/or mitigating negative impacts regardless of their organisation size, sector of operation or ownership.
	4 5 6	Core International Human Rights Treaties: - International Covenant on Civil and Political Rights (ICCPR) - International Covenant on Economic, Social and Cultural Rights (ICESCR)			All core human rights treaties	Respect for human rights regardless of age, nationality, gender, race, ethnicity, religion, ability, marital status, sexual orientation and gender identity, political opinion or affiliation, etc.

	Referenced	Internatio	onal Standards			
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
	4 5 6	 International Convention on the Elimination of All Forms of Racial Discrimination (ICERD) Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (CAT) Convention on the Rights of the Child (CRC) International Convention on Protection of the Rights of All Migrant Workers and Members of Their Families (ICMRW) Convention for the Protection of All Persons from Enforced Disappearance (CPED) Convention on the Rights of Persons with Disabilities (CRPD) 			All core human rights treaties	Respect for human rights regardless of age, nationality, gender, race, ethnicity, religion, ability, marital status, sexual orientation and gender identity, political opinion or affiliation, etc.
Just Land Acquisition	4	ILO Convention 169 (1989) on Indigenous and Tribal Peoples			Art 13-19	Respect and safeguard rights to lands and natural resources traditionally occupied and used; respect for customs of inheritance; no forced removals; compensation for loss and injury.

	Referenced	Internat	ional Standards			
Theme	ne in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
	4		UN Declaration on the Rights of Indigenous Peoples (2007)		Art 25-26	Right to distinctive relationship with land; right to own, use, develop and control their lands, territories and other resources.
	4	UN Convention on Biological Diversity (1992)			Art 10(c)	Protect and encourage customary use of biological resources in accordance with traditional practices.

	Referenced	Internati	ional Standards				
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection	
Public Participation of Affective Communities	4.5			Rio Declaration on Environment and Development (1992) and Agenda 21	Principle 10	Environmental issues are best handled with the participation of all concerned citizens, at the relevant level. Principle 10 combines public participation with public access to information and access to remedial procedures. According to Agenda 21, one of the fundamental principles for the achievement of sustainable development is broad public participation in decision-making. Both Agenda 21 and the Rio Declaration emphasise the importance of the participation of all major groups, and special emphasis has been given, including in legally binding international instruments, to ensuring participation in decision-making of those groups that are considered to be politically disadvantaged, such as Indigenous Peoples and women.	
Fair Repre- sentation and Participation of Indigenous and Tribal People	4.2 4.4 4.5. 4.6	ILO Convention 169 (1989) on Indigenous and Tribal Peoples			Art 6-9	Self-representation through institutions; consultations with the objective of achieving agreement or consent; rights to decide their own priorities, retain their own customs and resolve their offences according to customary law (compatible with international laws).	

	Referenced	Internat	tional Standards			
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
	4.4-4.8		UN Declaration on the Rights of Indigenous Peoples (2007)		Art 3	Indigenous Peoples have the right to self- determination and to freely pursue their economic, social and cultural development.
	4.4 4.5 4.7		UN Declaration on the Rights of Indigenous Peoples (2007)		Art 10, 11(2), 19, 28(1), 29(2) and 32(2)	Right to FPIC to any project affecting their lands as expressed through their own representative institutions.

	Referenced	Internat	ional Standards				
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection	
	4.4 4.5 4.7	Convention on the Eliminations of All Forms of Racial Discrimination, International Covenant on Economic, Social and Cultural Rights, Inter American Human Rights System.			UN CERD Commi- ttee, UN Commi- ttee on Social Culture and Economic Rights, Inter American Commi- ssion on Human Rights	FPIC for decisions that may affect Indigenous People. (This standard has been widely accepted as a 'best practice' standard by bodies such as World Commission on Dams, Extractive Industries Review, Forest Stewardship Council, UNDP, CBD, IUCN, WWF).	
No Forced Labour	2.2 6.6	ILO Convention 29 (1930) Forced Labour	Protocol of 2014 to the Forced Labour Convention 1930		Art 5	No concession to companies shall involve any form of forced or compulsory labour.	

	Referenced	Internat	International Standards			
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
			Protocol of 2014 to the Forced Labour Convention 1930		Art 1, 2, 4	Provides the measures which should be taken for the avoidance of forced or compulsory labour.
	6.6	ILO Convention 105 (1957) Abolition of Forced Labour			Art 1	Not make use of any form of forced or compulsory labour.
Protection of Children	6.4	ILO Convention 138 (1973) Minimum Age			Arts 1-9	Abolition of child labour and definition of national minimum age for labour not less than 15-18 years (depending on occupation).
	6.4	ILO Convention 182 (1999) Worst Forms of Child Labour			Arts 1-7	Abolition of child slavery, debt bondage, trafficking and procurement for prostitution; suitable methods to monitor and enforce compliance.
	6.4	Minimum Age (Agriculture) Convention 1921 (No.10)			Art 1-2	Applicable to children under the age of 14 outside the hours of attendance in school.

	Referenced	Internat	ional Standards			
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
	6.4	Convention on the Rights of the Child (CRC), 1989			Art 32	Right of the child to be protected from economic exploitation and from performing any work that is likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral or social development.
	6.4 6.5		UN Declaration on the Rights of Indigenous Peoples (2007)		Art 17(2), 21, 22(2)	No exploitation or exposure to hazard or discrimination against indigenous women and children.
Freedom of Association and Collective Bargaining	6.3	ILO Convention 87 (1948) Freedom of Association and Protection of Right to Organise			Art 2-11	Freedom to join organisations, federations and confederations of their own choosing; with freely chosen constitutions and rules; measures to protect the right to organise.
	6.3	ILO Convention 98 (1949) Right to Organise and Collective Bargaining			Art 1-4	Protection against anti-union acts and measures to dominate unions; establish means for voluntary negotiation of terms and conditions of employment through collective agreements.
	6.3	ILO Convention 141 (1975) Rural Workers' Organisations			Art 2-3	Right of tenants, sharecroppers and smallholders to organise; freedom from association; free from interference and coercion.

	Referenced	International Standards				
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
	6.3	Right of tenants, sharecroppers and smallholders to organise; freedom from association; free from interference and coercion.			Art 8 (1)	The right of everyone to form trade unions and join the trade union of their choice, subject only to the rules of the organisation concerned, for the promotion and protection of their economic and social interests. No restrictions may be placed on the exercise of this right, other than those prescribed by law and which are necessary in a democratic society in the interests of national security, or public order, or for the protection of the rights and freedoms of others.
	6.3	Collective Bargaining Convention, 1981 (No. 154)			Art 1-3	Workers' representatives in the undertaking shall enjoy effective protection against any act prejudicial to them, including dismissal, based on their status or activities as a workers' representative or on union membership or participation in union activities, in so far as they act in conformity with existing laws or collective agreements or other jointly agreed arrangements.

	Referenced	Internat	ional Standards			
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
Non- discrimina tion and Equal Remu- neration	6.1	ILO Convention 100 (1951) Equal Remuneration			Art 1-3	Equal remuneration for men and women for work of equal value.
	6.1	ILO Convention 111 (1958) Discrimination (Employment and Occupation)			Art 1-2	Equality of opportunity and treatment in respect to employment and occupation; no discrimination on the basis of race, colour, sex, religion, political opinion, national extraction or social origin.
	6.1		UN Declaration on the Rights of Indigenous Peoples (2007)		Art 2, 8(e), 9, 15(2), 16(1), 21(2), 22, 24(1) 29(1), 46(3)	No discrimination based on origin or identity; free to express identity based on custom; special attention to and full protection of rights of indigenous women.

	Referenced	International Standards				
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
	6.1	ILO Convention 156 (1981) Workers with Family Responsibility			Art 1-5, 7-10	No discrimination of any form against a worker, whether male or female with responsibilities in relation to their dependent children, where such responsibilities restrict their possibilities of preparing for, entering, participating in or advancing in economic activity.
	2.2	ILO Convention No. 181 (1997) on Private Employment Agencies			Art 1, 2, 4- 12	Concerns the protection of workers who are employed with the intention of making the services of these workers available to third parties.
	6.1	ILO Convention on Vocational Rehabilitation and Employment No. 159 Disabled Persons (1983)			Art 1-4	Concerns vocational rehabilitation to enable a disabled person to secure, retain, and advance in suitable employment, and thereby to further such person's integration or reintegration into society.

	Referenced	International Standards				
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
	6.1	International Covenant on Economic, Social and Cultural Rights (ICESCR) (1966)			Art 7	Fair wages and equal remuneration for work of equal value without distinction of any kind, in particular women being guaranteed conditions of work not inferior to those enjoyed by men, with equal pay for equal work. Equal opportunity for everyone to be promoted in his employment to an appropriate higher level, subject to no considerations other than those of seniority and competence.
Elimination of Harassment and Abuse in the Workplace	6.5	Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW)			General Reco -mmenda -tion 35	For the private sector, including businesses and transnational corporations, in efforts to eradicate all forms of gender-based violence against women; developing protocols and procedures addressing all forms of gender-based violence that may occur in the workplace or affect women workers, including effective and accessible internal complaints procedures.
Just Employment for Migrants	2.2 6.6					Provision of information; no obstacles to travel; provision of healthcare; non-discrimination in employment; accommodation, social security and remuneration; no forced repatriation of legal migrant workers; repatriation of savings.

Annex 3a: Key international laws and conventions applicable to the 132 production of palm oil

	Referenced	International Standards				
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
	6.6	ILO Convention 143 (1975) Migrant Workers (Supplementary Provisions)			Art 1-12	Respect basic human rights; protection of illegal migrants from abusive employment; no trafficking in illegal migrants; fair treatment of migrant labour.
	2.2 6.6	Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (1990)			Art 11; 21; 25; 26	Prevention of slavery; forced and compulsory labour; on confiscation of identity documents; conditions of work and contractual terms; and freedom of association and right to join trade unions.
Protection of Plantation Workers	6.1	ILO Convention 97 (1949) Migration for Employment			Art 5-91	Protection of members of families of recruited workers' rights during recruitment and transport; fair employment contracts; abolition of penal sanctions; fair wages and conditions of work; no coercion or obligation to use company stores; adequate accommodation and conditions; maternity protection; compensation for injuries and accidents; freedom of association; right to organise and collective bargaining; proper labour inspection; decent housing and medical care.

	Referenced	Internatio	onal Standards			
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
	6.2	ILO Convention No. 11 (1921) Rights of Association (Agriculture)			Art 1	All those who work in the agricultural sector to be accorded the same rights of association and combination as to industrial workers.
	6	ILO Convention on Plantation No. 110 (1958)			Art 1, 2, 5, 7, 8, 11, 12-15	This convention relates to rights of workers and their families (including migrant workers) who have been recruited to work on plantations.
Working Time for Workers	6.2	ILO Convention No. 101 (1952) Holidays with Pay (Agriculture)			Art 1,3,5,7-9	Workers employed in agricultural undertakings and related occupations shall be granted an annual holiday with pay after a period of continuous service with the same employer.
	6.2	ILO Convention No. 47 (1935) Forty Hour Week			Art 1	Requires that a member adopts a 40 hour week in a manner that the standard of living is not reduced as a consequence.
Protection of Women's Rights to Work	6.1	Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) (1979)				Right to free choice of profession and employment, the right to promotion, job security and all benefits and conditions of service and the right to receive vocational training and retraining, including apprenticeships, advanced vocational training and recurrent training; Right to equal remuneration, including benefits, and to equal treatment in respect of work of equal value, as well as equality of treatment in the evaluation of the quality of work.

	Referenced	Internati	ional Standards			
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
	6.1	Maternity Protection Convention 2000 (No. 183)			Art 9	Prohibition from requiring a test for pregnancy or a certificate of such a test when a woman is applying for employment, except where required by national laws or regulations in respect of work.
	6.5 6.7	Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) (1979)			Art 11 (f)	The right to protection of health and to safety in working conditions, including the safeguarding of the function of reproduction.
	6.5	Maternity Protection Convention 2000 (No. 183)			Art 10	A woman shall be provided with the right to one or more daily breaks or a daily reduction of hours of work to breastfeed her child. These breaks or the reduction of daily hours of work shall be counted as working time and remunerated accordingly.

	Referenced	International Standards				
Theme	Theme in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
Protection of Tenants and Share- croppers	4.2	ILO Recommendation 132 (1968) Tenants and Sharecroppers			Art 4-8	Fair rents; adequate payment for crops; provisions for well-being; organisation; fair contracts; procedures for the settlement of disputes.
Protection of Smallholders	5	ILO Convention 117 (1962) Social Policy (Basic Aims and Standards)			Art 4	Alienation with due regard to customary rights; assistance to form cooperatives; tenancy arrangements to secure highest possible living standards.
Health and Safety	3.6 6.7	ILO Conventions 184 (2001) Safety and Health in Agriculture			Art 7-21	Carry out risk assessments and adopt preventive and protective measures to ensure health and safety with respect to workplaces, machinery equipment, chemical tools and processors; ensure dissemination of information, appropriate training, supervision and compliance; special protection for youth and women workers; coverage against occupational health and disease.

	Referenced	Internat	ional Standards			
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
	3.6 6.7	ILO Convention on Occupational Cancer No. 139 (1974)				Members shall make every effort to have carcinogenic substances and agents to which workers may be exposed in the course of their work replaced by non-carcinogenic substances or agents or by less harmful substances or agents; in the choice of substitute substances or agents account shall be taken of their carcinogenic, toxic and other properties.
	3.6 6.7	ILO Convention on Invalidity Insurance (Agriculture) No. 38 (1933)			Art 1-6, 13, 17, 20, 23	Maintenance of a scheme for invalidity insurance for workers.
	6.1 6.2	Convention on Maternity Protection 2000 (No. 183)			Art 2-4	Maternity Protection and benefits.

	Referenced	International Standards				
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
Control or Eliminate the use of Dangerous Chemicals and Pesticides	7.2	Stockholm Convention on Persistent Organic Pollutants (2001)			Arts 1-5	Prohibit and/or eliminate production and use of chemicals listed in Annex A (e.g. Aldrin, Chlordane PCB); restrict production and use of chemicals in Annex B (e.g. DDT); reduce or eliminate releases of chemicals listed in Annex C (e.g. Hexachlorobenzene).
	7.2	Rotterdam Convention on Prior and Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (1998)			Art 1, 5, and 6	Curb the trade of banned and hazardous chemicals and pesticides; develop national procedures for control of their use and trade; list banned and hazardous chemicals and pesticides.
			UN Declaration on the Rights of Indigenous Peoples (2007)		Art 21(1), 23, 24, 29(3)	Improvement of livelihood and sanitation, health and housing, participate in health delivery; maintain traditional health systems; effective monitoring of health.

	Referenced	Internati	onal Standards			
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
		ILO Convention No 148 on Working Environment (Air, Pollution, Noise and Vibration) 1977			Art 1-3	Provides for measures which should be taken for the prevention and control of, and protection against, occupational hazards in the working environment due to air pollution, noise and vibration.
		ILO Convention No. 170 on Chemical Convention 1990			Art 2(c), and Part IV	Provides for measures to prevent or reduce the incidences of chemically induced illness and injuries at work; and identifies the roles and responsibilities of employers in the context of identification, transfer of chemicals, exposures, operational control, disposal and information dissemination and training.
Right to Food	6.2	International Covenant on Economic, Social and Cultural Rights (ICESCR) (1966)			Art 11	Right to adequate standard of living, including right to food.

	Referenced	Internat	ional Standards			
Theme	in following P&C	Convention	Declaration	Guiding Principles/ UN Outcome Documents	Key Provisions	Summary of Protection
Environ- mental Protection		UN Convention on Biological Diversity (1992)			Art. 14	Environmental impact assessment of its proposed projects that are likely to have significant adverse effects on biological diversity with a view to avoiding or minimising such effects and, where appropriate, allow for public participation in such procedures.
Conservation of Biodiversity		UN Convention on Biological Diversity (1992)			Art 1 – 18	Conservation of biological diversity and the sustainable use of its components.
GHG Emissions	7.10				Art 1-4	Aimed at stabilising atmospheric concentrations of greenhouse gases to avoid "dangerous anthropogenic interference, including in the agricultural sector.

ANNEX 3B: RELATED LAWS, REGULATIONS AND GUIDELINES USED IN THAILAND PALM OIL INDUSTRY IN RELATION TO RESPECTIVE PRINCIPLES AND CRITERIA

Criterion	Related Laws, Regulations and Guidelines					
1.1	Constitution of the Kingdom of Thailand, B.E. 2560 (2017)					
	Organic Act on Anti-Corruption, B.E. 2561 (2018)					
	Trade Secrets Act, B.E. 2545 (2002)					
1.2	Ethical Standard Act, B.E. 2562 (2019)					
2.1	Weights and Measures Act, B.E.2542 (1999)					
	Agricultural Standards Act, B.E. 2551 (2008)					
	National Standard Act, B.E. 2551 (2008)					
2.2	Trade Competition Act, B.E. 2560 (2017)					
3.4	Promotion and Conservation of National Environmental Quality Act, B.E. 2535 (1992)					
	Social Security Act, B.E. 2533 (1990)					
	Occupational Safety, Health and Environment Act, B.E. 2554 (2011)					
4.5	National Human Rights Commission Act, B.E. 2542 (1999)					
	Constitution of the Kingdom of Thailand, B.E. 2540 (1997)					
4.7	Community Organizations Act, B.E. 2551 (2008)					
4.8	The Civil and Commercial Code					
5.1	Contract Farming Promotion and Development Act, B.E. 2560 (2017)					
	Weights and Measures Act, B.E.2542 (1999)					

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Criterion	Related Laws, Regulations and Guidelines
5.2	Community Enterprise Promotion Act, B.E. 2548 (2005)
	Cooperatives Act, B.E. 2542 (1999)
6.1	Labour Protection Act, B.E. 2541 (1998)
	Convention on the Elimination of All Forms of Discrimination against Women
	Gender Equality Act, B.E. 2558 (2015)
	Working of Alien Act, B.E. 2551 (2008)
	Labour Protection Act, B.E. 2541 (1998)
6.3	Labour Relations Act, B.E. 2518 (1975)
6.4	Labour Protection Act, B.E. 2541 (1998)
	Child Protection Act, B.E. 2546 (2003)
	Convention on the Rights of the Child (CRC)
6.6	Anti-Human Trafficking Act, B.E. 2551 (2008)
6.7	Social Security Act, B.E. 2533 (1990)
7.1	Hazardous Substance Act, B.E. 2535 (1992)
7.2	Instruction of the Chemical Pesticides and Hazardous Substances Storage Handbook, B.E. 2550 (2007) and its amendments
	Land Development Act, B.E. 2551 (2008)
7.5	Land Development Act, B.E. 2551 (2008)
7.6	Land Development Act, B.E. 2551 (2008)

Annex 3b

RELATED LAWS, REGULATIONS AND GUIDELINES USED IN THAILAND PALM OIL INDUSTRY IN RELATION TO RESPECTIVE PRINCIPLES AND CRITERIA

Criterion	Related Laws, Regulations and Guidelines
7.8	Groundwater Act, B.E.2520 2535 (1992) Ministerial Regulation on Soil and Groundwater Contamination Control in Factory Area, B.E. 2559 (2016) Promotion and Conservation of National Environmental Quality Act, B.E. 2535 (1992)
	Royal Decree: Wastewater Management Authority No. 5, B.E. 2561
	Ministerial Regulation No. 2 (B.E. 2535) Issued Under the Factory Act, B.E. 2535 (1992)
	Ministerial Regulation No. 11 (B.E. 2539) Issued Under the Factory Act, B.E. 2535 (1992)
	Energy Conservation Promotion Act, B.E. 2535 (1992)
7.11	Thailand Greenhouse Gas Management Organization (Public Organization: TGO)
7.12	Plants Act, B.E. 2518 (1975)
	Wild Animal Reservation and Protection Act, B.E. 2562 (2019)
	Plant Varieties Protection Act, B.E. 2542 (1999)
	National Reserved Forest Act, B.E. 2507 (1964) National Park Act, B.E. 2562 (2019)

ANNEX 4: IMPLEMENTATION PROCEDURE FOR INDICATOR 2.3.2

Where the unit of certification has smallholder suppliers:

- For existing RSPO certified mills, the time requirement to fulfil this Criterion for all their smallholder suppliers is three years from 15 November 2018.
- For mills that are not yet certified/ mills going for the first year of certification, the time requirement is three years from the initial point of certification for their smallholder suppliers.

ANNEX 5: TRANSITION FROM HCV TO HCV-HCS ASSESSMENT

Criterion 7.12 requires that new land clearing after 15 November 2018 (i.e. adoption of the P&C at GA15) must be preceded by an HCV-HCS assessment.

The Task Force recognises that there is an array of scenarios, in which HCV assessments have previously been undertaken and have been approved or are in the process of approval. This Annex shows how the new requirements apply in different scenarios of existing and new certifications, with and without new land clearing.

NO NEW LAND CLEARING SCENARIOS:

- Existing certified plantations, with valid HCV assessment approved before 15 November 2018
 - o Going for recertification \rightarrow HCV assessment is acceptable
 - o Replanting \rightarrow HCV assessment is acceptable
- Existing plantations, not yet certified at 15 November 2018, going for initial certification
 - o Without existing ALS Approved HCV Assessment \rightarrow New combined HCV-HCS required
 - o $\;$ With valid ALS approved HCV assessment \rightarrow ALS Approved Assessment acceptable
 - Where certification is pending, as of 15 November 2018, because it has been held up by RACP or HGU processes, previous approved HCV assessment (RSPO and ALS approved), if they are not older than January 2009¹, will be accepted.
 - HCV assessment submitted to ALS but pending approval before 15 November 2018
 - $\rightarrow~$ If passes ALS process, then the approved HCV assessment is acceptable;
 - \rightarrow If fails ALS process, new combined HCV-HCS assessment required
 - o Replanting \rightarrow ALS approved HCV is acceptable.

Annex 5 TRANSITION FROM HCV TO HCV-HCS ASSESSMENT

NEW LAND CLEARING SCENARIOS:

- In new plantations and in existing uncertified units, land clearing after 15 November 2018
 - o Without existing HCV assessment
 - ightarrow New combined HCV-HCS required
 - o HCV assessment conducted, but not yet submitted to ALS before 15 November 2018 \rightarrow New combined HCV-HCS required
 - o HCV Assessment submitted to ALS but pending approval before 15 November 2018
 - ightarrow If passes ALS process, then the approved HCV assessment is acceptable;
 - ightarrow If fails ALS process, new combined HCV-HCS assessment required
 - o NPP initiated by 15 November 2018 and HCV assessment conducted and passes ALS before 15 November 2018 \rightarrow ALS Approved HCV assessment is acceptable
- In existing certified plantations (certified before 15 November 2018), with land clearing after 15 November 2018 \rightarrow New combined HCV-HCS required
 - o If area to be cleared is exclusively pasture, infrastructure, agriculture or monocrop tree plantations which have not been abandoned for more than three years
 - ightarrow Valid HCV assessment + LUCA to demonstrate that no clearing of native vegetation occurred without prior HCV assessment is acceptable.

Note

ALS = Assessor Licensing Scheme

HCS = High Carbon Stock

LUCA = Land Use Change Analysis

HCV = High Conservation Value HGU = Hak Guna Usaha

NPP = New Planting Procedure

RACP = Remediation and Compensation Procedure

RSPO is an international non-profit organisation formed in 2004 with the objective to promote the growth and use of sustainable oil palm products through credible global standards and engagement of stakeholders.

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