



Guide on the High Carbon Stock Approach Requirements for the RSPO

An Informative Guide for RSPO members conducting Standalone HCSA
and Integrated HCV-HCSA assessments

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AGB	Above ground biomass
ALS	Assessor Licensing Scheme
AOI	Area of Interest (the certification unit/management unit and its wider landscape)
BGB	Below ground biomass
CB	Certification Body
CSPO	Certified Sustainable Palm Oil
EIA	Environmental Impact Assessment
ERT	Endangered, Rare and Threatened
FPIC	Free, Prior and Informed Consent
GHG	Greenhouse Gas
HCSA	High Carbon Stock Approach
HCV	High Conservation Value
HCVN	High Conservation Value Network
ICLUP	Integrated Conservation and Land Use Plan
ILO	International Labour Organization
IFL	Intact Forest Landscape
IMP	Integrated Management Plan
IPs	Indigenous Peoples
LT&U	Land Tenure and Use
LCs	Local Communities
NDTF	No Deforestation Task Force
NPP	New Planting Procedure
OP	Oil Palm
P&C	Principles and Criteria
RSPO	Roundtable on Sustainable Palm Oil
RaCP	Remediation and Compensation Procedure
RTE	Rare, Threatened and Endangered
SIA	Social Impact Assessment
SEIA	Social and Environmental Impact Assessment
SOP	Standard Operating Procedure
SRs	Social Requirements
UoC	Unit of Certification
WIA	Welfare Impact Assessment

Affected communities	All communities that are likely to be affected directly and significantly by the proposed development, i.e., those with land holdings and usage rights within the affected area, must be included in the assessment and FPIC process. Other communities that are likely to be affected only indirectly, such as by possible longer-term changes to the ecosystem services provision due to the water usage of the operation for example, also need to be taken into account.
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.
Local communities	The term 'local communities' can be used to refer to a community in a particular place where local people share common concern around local facilities, services and environment, and which may at times depart from traditional or State definitions. Generally, local communities attach particular meaning to land and natural resources as sources of culture, customs, history and identity, and depend on them to sustain their livelihoods, social organisation, culture and traditions, beliefs, environment and ecology.
Forced labour	<p>All work or service which is exacted from any person under the menace of any penalty, and for which said person has not offered themselves voluntarily.</p> <p>This definition consists of three elements:</p> <ul style="list-style-type: none"> ● 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 they would not otherwise have accepted.
Child labour	<p>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:</p> <ul style="list-style-type: none"> ● 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. <p>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.</p>

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.
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. Note for management of existing plantations in Malaysia and Indonesia, a narrower definition has been used, based on national regulations: namely soil with an organic layer of more than 50% in the top 100 cm containing more than 65% organic matter.
High Carbon Stock (HCS) forest	Forests that have been identified using the High Carbon Stock Approach (HCSA) Toolkit
High Conservation Value (HCV)	<ul style="list-style-type: none"> ● 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. ● 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. ● 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. ● 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.
HCV area	The location where one or more HCVs are found.
HCV management area	The areas necessary to maintain or enhance one or more HCVs. It is often larger than the HCV area.

The Principles & Criteria (P&C) 2018 under Indicator 7.12.2(b) requires RSPO members (referred as 'companies' within this document) to identify High Conservation Values (HCV) and High Carbon Stock (HCS) forests prior to any new land clearing using the HCSA toolkit and the HCV-HCSA assessment manual. This is done through conducting either an integrated HCV-HCSA or standalone HCSA assessment, depending on the applicable scenario (refer to the RSPO interpretation of Indicator 7.12.2 and Annex 5).

The development of this document was overseen by the RSPO No Deforestation Task Force (NDTF) as an informative document for the purpose of providing guidance to companies when required to conduct an integrated HCV-HCSA or standalone HCSA assessment, and to clarify the following:

- Alignment and consolidation of overlapping requirements/processes by integrating the RSPO P&C 2018 and the respective methodology/toolkit requirements, avoiding duplication of work and/or reworking, and providing a streamlined process.
- An outline of the process when conducting said assessments, covering pre, during and post assessment requirements, which may also lead to failed assessments during respective assessment quality review if not conducted correctly.
- Guidance on developing the Integrated Management Plan (IMP), an important aspect post assessment which is required under Indicator 7.12.4 of the P&C 2018.

The above process involves several assessments/procedures, each with their own procedures and guidance set by respective process/methodology owners (i.e., RSPO, HCSA, HCVN). While this document shall not provide the step-by-step details, it shall however provide reference to the key documents which users are required to refer to. At each step, this document refers the user to the relevant document and section.

At the end of each section there is a box that refers the reader to key documents.

Key Documents

How the Processes Integrate

The P&C 2018 requires companies to conduct multiple assessments and processes prior to any new land clearing and have developed a range of procedures, processes, and guidance that they are required to follow (**Figure 1**). These activities allow companies to assess and mitigate a variety of topics such as environmental, social, and legal aspects prior to conducting any new land clearance, driving a pathway that will ultimately lead to certification against the P&C 2018.

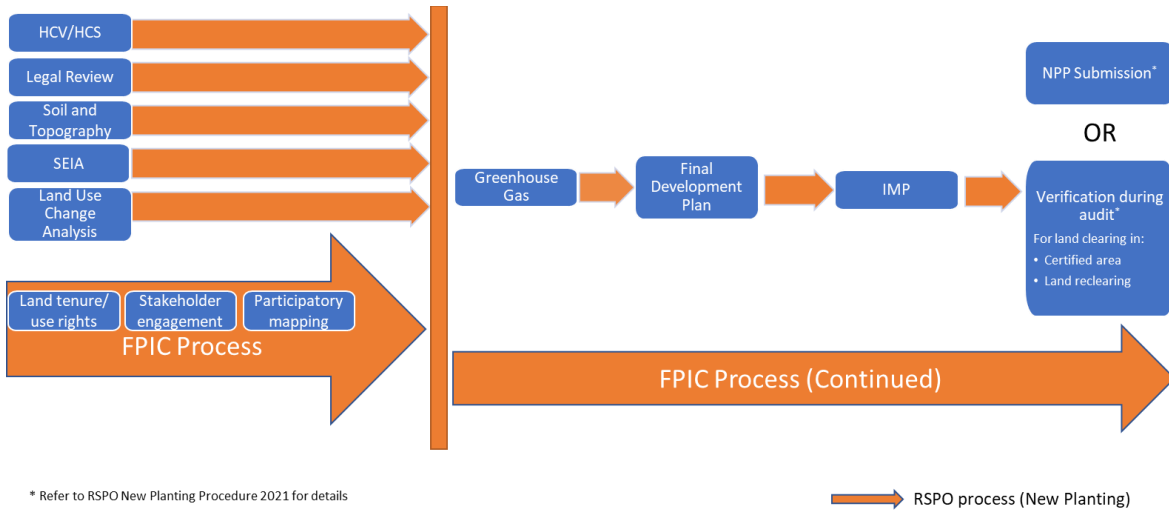


Figure 1: RSPO requirements for new planting

Similarly, both the HCSA toolkit and the HCVN HCV-HCSA Assessment manual contain requirements which may overlap with existing RSPO processes and procedures (**Figure 2**). A common misconception is that standalone HCSA or integrated HCV-HCSA assessments can be initiated exclusively and only include land cover mapping, forest measurement and patch analysis. In reality, there are many activities which must be fulfilled pre, during and post assessment which not only cover the three topics mentioned above but also include social requirements and post assessment planning. Implementation of the HCSA is a four-stage process, covering 1) Preparation 2) Assessment 3) Negotiation and 4) Operations.

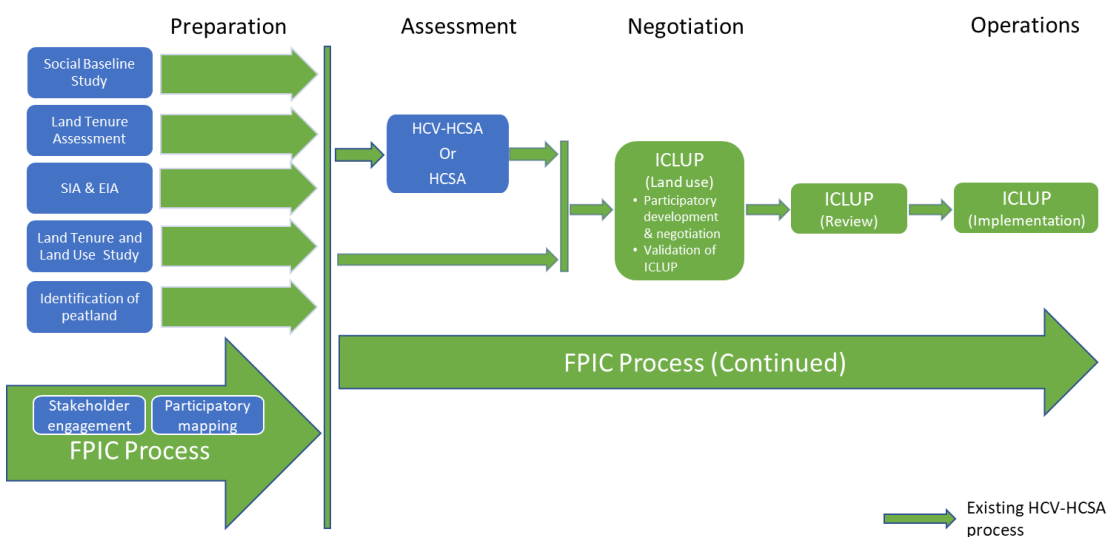


Figure 2: Pre, during and post assessment requirements for integrated HCV-HCSA and standalone HCSA assessment

This document integrates the requirements of the integrated HCV-HCSA and HCSA assessments within the existing RSPO requirements when planning for new planting as shown in **Figure 3**. The integration of the above was done by the NDTF following a detailed gap analysis comparing both requirements and was conducted by an external consultant.

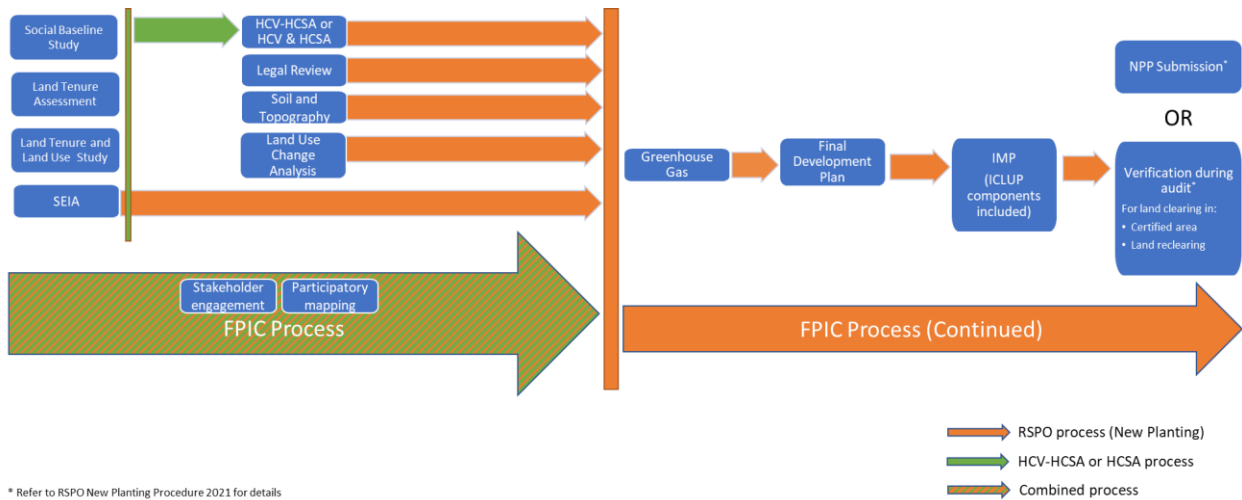


Figure 3: Combined process flow for RSPO members

Details of the integration of the integrated HCV-HCSA, standalone HCSA assessments together with the ICLUP components within existing RSPO processes are detailed out in **Appendix C** of this document.

This document shall focus on the pre, during and post requirements for integrated HCV-HCSA or standalone HCSA assessments only. Other processes and assessments will be included in the outlined steps to showcase the recommended flow while conducting the integrated HCV-HCSA or standalone HCSA assessment. However, refer to the main document of each respective process/assessment for full details and requirements.

Note: Companies who are also members of the HCSA are required to follow the post assessment requirements as set by the HCSA. However, companies should ensure that the requirements as per the P&C 2018 and NPP 2021 (if applicable) are met prior to any development.

Breakdown of steps within this document

This document breaks down the process of conducting an integrated HCV-HCSA/ standalone HCSA assessment and IMP development in 6 different steps as shown in **Figure 4**. Steps 5 and 6 are outside of the document scope, however, the details within these steps are included as **Appendix E** to serve as additional guidance. It is extremely important that companies ensure that the requirements of each phase are completed before moving on to the next phase. Further breakdown of each step is found in **Figure 5**.

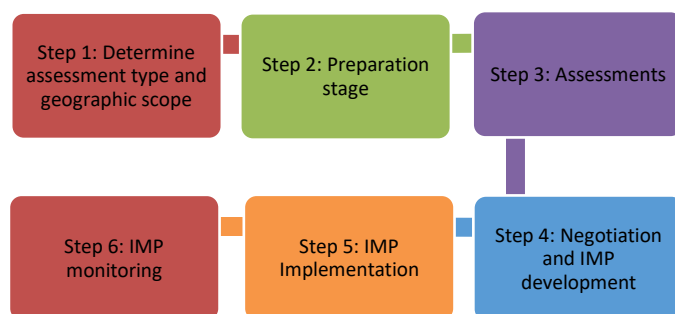


Figure 4: Steps in conducting integrated HCV-HCSA/standalone HCSA and IMP development

Particular note should be taken that **the standalone HCSA assessment or the integrated HCV-HCSA assessment are only one of many assessments required in Step 3**. Before companies engage an assessor to undertake the standalone HCSA or HCV-HCSA assessment, Steps 1 and 2 require a considerable amount of work to be done. **It is crucial that Steps 1 and 2 are carried out first.**

REVIEW STEPS

Reviews are conducted in between various steps outlined in Figure 4 to ensure accuracy of the output(s) from the respective steps. The output is reviewed at the following:

Review step	Activity	By	Step
Pre-condition (Rapid due diligence)	Checking the pre-conditions to conduct the Integrated HCV-HCSA/ Standalone HCSA assessment have been met.	Licensed Assessor	Initial part of Step 3
HCVN ALS quality review (Integrated HCV-HCSA) OR HCSA peer review (Standalone HCSA)	Quality review of the assessment.	HCVN ALS (HCV-HCSA assessment) OR HCSA (HCSA assessment)	End of Step 3
HCSA ICLUP review (HCSA members only)	HCSA is planning to develop a system for reviewing and assuring the quality of ICLUPs. This would involve the submission of validated ICLUPs and supporting documents to the HCSA Secretariat for review to strengthen the design and subsequent implementation of ICLUPs by providing feedback and recommendations.	HCSA Secretariat	After Step 4
RSPO NPP review (if applicable)	NPP submission completeness review.	RSPO Secretariat	After Step 4
Audit (initial certification/surveillance/ recertification)	Checking conformance to assessment findings and recommendations together with IMP implementation.	Certification Body (CB)	During audit (After Step 4)

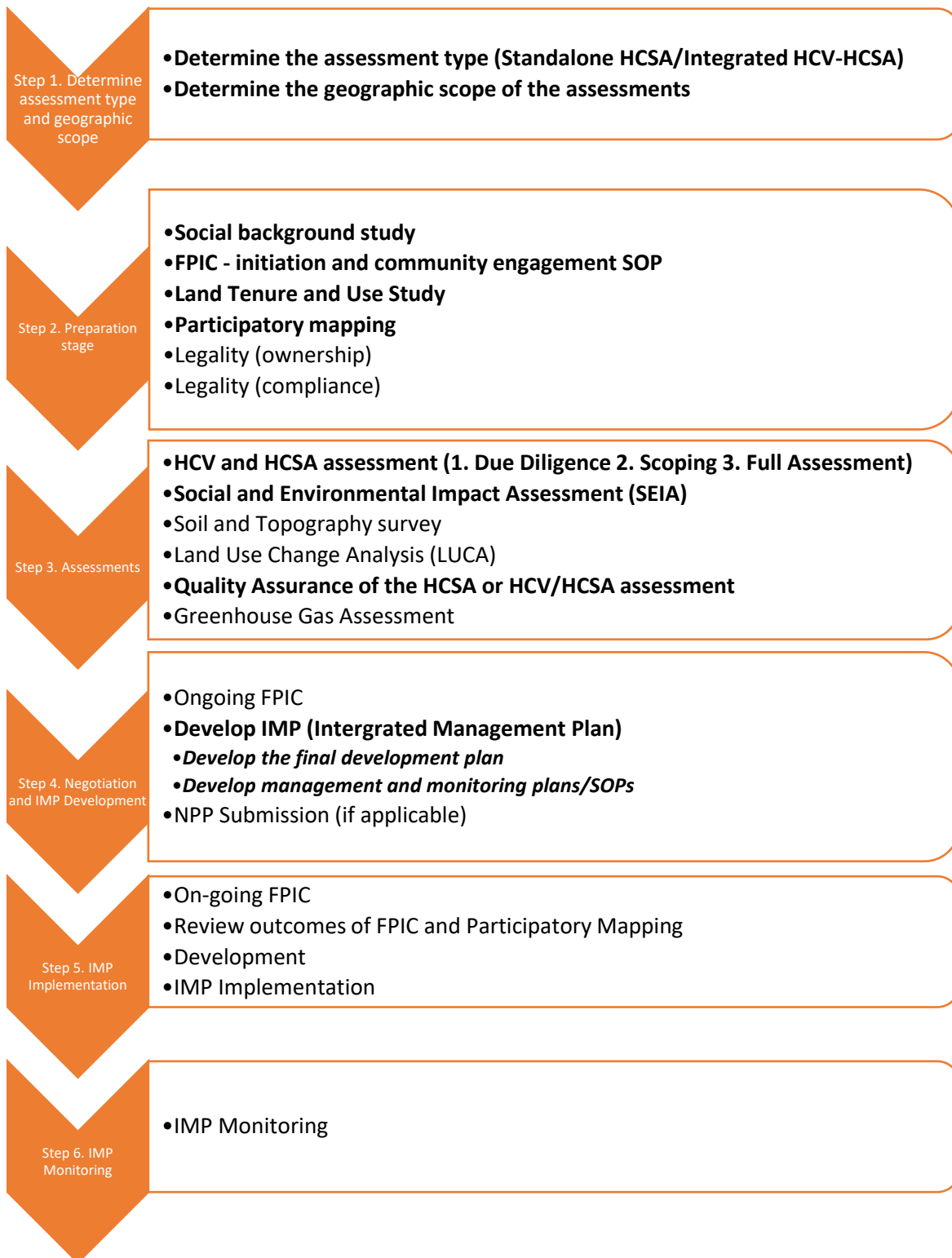


Figure 5: Details within the 6 steps mentioned in Figure 4. Take note that **bold** items represent the activities within the scope of this document. Other items are included as a recommendation on the overall process flow.

Step 1: Determine assessment type and geographic scope

1: Determine the assessment type

The company must determine the type of assessment, whether a standalone HCSA or Integrated HCV-HCSA assessment is to be conducted following the RSPO Interpretation of Indicator 7.12.2 and Annex 5 document (Refer to the document for specific scenario and requirements).

2: Determine the geographic scope of the assessment

The second part of the exercise is to determine the geographic extent of the assessments. It must be noted that the HCSA and HCVA methodologies require a larger scope as the wider landscape must be taken into consideration. Refer to the HCSA Toolkit V2.0 and the HCVN Integrated HCV-HCSA Assessment Manual for details.

An additional consideration is that HCVN has procedures containing specific requirements for multi-site assessments – i.e., a single report covering multiple non-contiguous development areas and/or more than one area of interest. This occurs more frequently where companies carry out assessments over Scheme Smallholder plantations, which are typically small holdings spread over a wide geographic area. The “Procedure for Combined HCV or HCV-HCSA Assessments Reports” should be checked to ensure the results from an assessment can be combined into a single report or must be submitted as multiple reports.

Another important aspect when considering the scope of the assessments is the extent of the stakeholders (e.g., Indigenous Peoples and local communities) affected by the development. The company should have a preliminary idea of the likely affected stakeholders and their location to have a rough estimation of the scope required for each assessment. The RSPO FPIC guidance contains guidance on identifying affected communities.

Clearly at this early stage it is very important that the company ensures they are undertaking the **correct assessments** over the **correct areas**. Even minor boundary changes are going to be costly and time-consuming to remedy.

Key Documents

RSPO New Planting Procedure 2021

RSPO Interpretation of Indicator 7.12.2 and Annex 5

RSPO FPIC Guidance

HCSA Toolkit version 2.0

HCVN Integrated HCV-HCSA Assessment Manual

HCVN Procedure for Combined HCV or HCV-HCSA Assessments Reports

Step 2: Preparation Stage

Prior to beginning the assessment in Step 3, the company must complete a lot of *groundwork* and ensure it has adequate systems in place. Most companies employ a form of FPIC, but HCSA requires this to be formalised considerably. The Social Background Study and Land Tenure and Use Study (based on participatory mapping of tenure and use conducted with the affected communities) are also required to feed into the HCV-HCSA or Standalone HCSA assessment. It is recommended that the Social Requirements are read carefully. HCSA has published an Implementation Guide for the Social Requirements of the High Carbon Stock Approach¹, which provides practical instructions for companies on how to go about fulfilling these requirements.

Table 1. Step 2: Preparation Stage

TASK	DESCRIPTION OF TASK	KEY DOCS / SECTION	OUTPUT
Social background study BY: Company (Community Engagement Manager)	Desk-based literature review that provides an overview of the relevant attributes of the Area of Interest and its affected communities, in political, economic, socio-economic, social and cultural terms. Start establishing a baseline for the Welfare Impact Assessment.	The Social Requirements of the HCS Approach (SR 1) Implementation Guide for the Social Requirements of the High Carbon Stock Approach, Section 1.2	Social background study document
FPIC – initiation <i>(FPIC points that must be covered for preparation)</i> BY: Company (Community Engagement Manager)	Identification of potentially affected communities ² . Initiation of the FPIC process with them, including full disclosure of plans, seeking initial consent with each affected community for continued engagement and conduct of studies/assessments, establishment of mechanisms for interaction: <ul style="list-style-type: none"> • Each community³ will have chosen how they will be represented in their dealing with the company and with other stakeholders such as government representatives. • Each community will have decided how they should be consulted and whether and how they want to enter 	RSPO FPIC Guidance The Social Requirements of the HCS Approach (SR 1,7,12) Advice Note 01: HCV-HCSA Assessments	A list of each affected community. Full records of all meetings held, their content and evidence of sharing relevant documents. Consent or rejection of continued engagement and conduct of studies/assessments

¹ <http://highcarbonstock.org/wp-content/uploads/2020/08/HCSA-Implementation-Guide-Apr-2020.pdf>

² Affected communities are defined in the HCSA Implementation Guide as “all communities and inhabitants of the area of interest (AOI) of the operation with legal or customary tenure or usage rights must be taken into account.”

³When the term “community” is used within this document, it refers to all affected communities.

	<p>into agreements. Note that this must ensure that all sections of the community have a voice and be included in wider discussions, including women, youth (those between the ages of 15 and 24 or country classification if available), and vulnerable groups.</p> <ul style="list-style-type: none"> • The company must reach an agreement with communities regarding the mechanisms through which interactions will take place beyond the establishment and negotiation stages, including grievances and conflict resolution. • The company must agree with communities and follow a policy for sharing information with local communities and other stakeholders, which includes providing them adequate information on environmental, social, financial and legal matters relevant to the following requirements, in appropriate languages and formats. • The company must have informed the community about the integrated assessment and have the communities' permission for the assessment to proceed. 		Formal agreement of institutional arrangements (engagement, negotiation, representation etc.)
<p>Land Tenure and Use Study</p> <p>BY: Company (Community Engagement Manager)</p>	<p>Requires field research, which is conducted in a participatory and inclusive manner with communities and other local stakeholders (e.g., participatory mapping).</p> <p>This study covers land tenure and rights issues in detail, including in relation to inheritance and transfer, and identifies potential or actual areas of conflict. The study also assesses existing community practices in relation to livelihoods and conservation, including the usage patterns of areas to be proposed for conservation, whether use is economic, social or cultural.</p> <p>Development of participatory maps together with communities demarcating the above points.</p>	<p>RSPO FPIC Guidance</p> <p>The Social Requirements of the HCS Approach (SR 1)</p> <p>Implementation Guide for the Social Requirements of the High Carbon Stock Approach, Section 1.4</p>	<p>Land Tenure and Use Study document.</p> <p>To-scale preliminary participatory maps that show all areas that are subject to customary land tenure, resource rights, and land use for each affected community, and an accompanying text which demonstrates that the company understands the</p>

	<p>Note: The study can only take place once consent has been given by each community during their initial engagement with the company and can be conducted concurrently with this engagement.</p>		<p>basic principles of the informal norms and customary laws that regulate land holding, land use and land transfer, in the affected communities and the AOI.</p> <p>All associated GIS files.</p>
<p>Legality (ownership)</p> <p>BY:</p> <p>Company (Community Engagement Manager / Legal Manager / Lands Manager)</p>	<p>Preparation of all the appropriate ownership information over the land. There must be a clear link between the company (or developer) and the ultimate owner of the land⁴.</p> <p>Privately owned land – titles.</p> <p>Leased land – lease documents.</p> <p>Community land – At minimum, an agreement from communities to proceed with assessments.</p> <p>State land – licence over the area and/or other documentation as required by country legal requirements.</p> <p>Joint venture – land ownership information and agreements between the company and the joint venture partner.</p>	<p>HCV-HCSA Assessment Manual for use during integrated HCV-HCSA assessments.</p> <p>Advice Note 01: HCV-HCSA Assessments</p>	<p>Titles, lease agreements, MoU / agreements with third parties</p>
<p>Standard Operating Procedures (FPIC/ Community engagement)</p> <p>BY:</p> <p>Company (Legal Manager)</p>	<p>If the development area is within an existing operation, it will probably have policies and procedures. If it is a greenfield operation or expansion outside existing operations, policies and procedures will have to be developed (or agreement to use existing procedures in the latter case). The following policies and procedures will be required:</p> <p>a) FPIC / Community Engagement</p> <p>b) Grievance</p>	<p>The Social Requirements of the HCS Approach (SR 2,3 and 7)</p>	<p>SOPs</p>

⁴ At this stage, while it is still unclear whether the areas involved are viable or not (pending all the assessments), a consent to conduct assessments would be sufficient as an agreement. However, this is not sufficient for NPP submission (if applicable) or certification.

	<p>c) Land Acquisition / Land Swaps⁵</p> <p>The requirements of HCV / HCS are much broader than most existing company SOPs. It is important that a gap analysis is undertaken between the requirements of HCV / HCS. This should be done by comparing the current SOPs with the requirements of HCS (especially the social requirements).</p>		
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Table 2. Step 2: Preparation Stage – RSPO Requirement

TASK	DESCRIPTION OF TASK	BY	KEY DOCS / SECTION	OUTPUT
Legality (compliance)	<p>Assessment of legal compliance</p> <p>Note: In practice, it is advised to be done as part of legal compliance (ownership).</p>	Company (Legal Manager)	RSPO New Planting Procedure	Legality (compliance)

Key Documents – Preparation Stage

- RSPO New Planting Procedure 2021**
- The Social Requirements of the HCS Approach (SR 1,2,3,7,12,13) - HCSA Toolkit Module 2**
- Implementation Guide for the Social Requirements of the High Carbon Stock Approach**
- Advice Note 01: HCV-HCSA Assessments**
- HCV-HCSA Assessment Manual for use during integrated HCV-HCSA assessments**
- RSPO FPIC Guidance**

⁵ Land swaps are where the community owns land and the company swaps land in one location for an area elsewhere. Generally, the purpose of this is that the company has all the company owned plantations in a contiguous block and all the community owned plantations are also in a contiguous block.

Step 3: Assessments

Upon completion of the preparation stage, companies may proceed to conduct an Integrated HCV-HCSA or standalone HCSA assessment (whichever applies) and other assessments which are required as part of the P&C requirements. Take note that the standalone HCSA/ integrated HCV-HCSA assessment can only be done in areas where consent to conduct assessment(s) has been obtained from communities. Where ongoing land disputes/claims between communities occur at this stage, it is important that the conflicts are acknowledged and managed through the previously set up grievance mechanism (see SOP: FPIC/Community engagement, **Table 1**). While the assessment can continue if both disputing parties consent to proceeding with the assessment, development of the land under dispute can only occur upon resolution of the land dispute.

Some assessments, while possible to be conducted at any time prior to the final development plan, ideally should be conducted before or after the integrated HCV-HCSA / standalone HCSA assessment. This is to avoid double work, as certain information from these respective assessment(s) may be used in the integrated HCV-HCSA / standalone HCSA, while some assessments require the information sourced from the integrated HCV-HCSA / standalone HCSA assessment.

The recommendations for the completion point of the respective assessments are shown in Box 1 below:

BOX 1: RECOMMENDED COMPLETION POINTS FOR OTHER ASSESSMENTS

Completion Point	Assessment(s)
Before conducting the integrated HCV-HCSA / standalone HCSA assessment	Approved ALS HCV OR HCV approved through RSPO HCV review process (for selected scenarios allowed to use standalone HCSA) * Soil (including identification of peat [#]) & Topography survey
During the integrated HCV-HCSA / standalone HCSA assessment	Social and Environmental Impact Assessment (SEIA)
After conducting the integrated HCV-HCSA / standalone HCSA assessment	RSPO GHG assessment* Land Use Change Assessment

* Mandatory to be completed following the completion point categories

Identification of peat must be completed prior to assessment as it is required as part of the HCSA Toolkit.

Table 3. Step 3: Integrated HCV-HCSA/ Standalone HCSA Assessment

TASK	DESCRIPTION OF TASK	KEY DOCS / SECTION	OUTPUT
<p>HCV and HCSA assessment Due Diligence [Review Step]</p> <p>BY: Licensed Assessor</p>	<p>Desk based check of FPIC, Legality, Land Tenure and Land Use study (including Participatory Mapping), list of affected communities, Sustainability Commitment⁶ and land clearing moratorium.⁷</p> <p>The relevant Social Requirements that are integral to the assessment are:</p> <p>Fair Representation and agreeing to a process for consent (SR2)</p>	<p>HCV-HCSA Assessment Manual section 2.2. For use during integrated HCV-HCSA assessments.</p> <p>Implementation Guide for the Social Requirements (Step 1.5)</p>	<p>Decision to proceed or not to the next step (scoping), FPIC gate verification</p>
<p>HCV-HCSA Scoping Study [Review Step]</p> <p>BY: Licensed Assessor</p>	<p>Desk-based information gathering and preliminary land cover classification, field visits, stakeholder identification/consultations, verification of due diligence information and completion of Land Tenure and Land Use Study. Includes verification with a sample of communities where participatory mapping has been conducted.</p> <p>The relevant Social Requirements that are integral to the assessment are:</p> <p>Fair Representation and agreeing to a process for consent (SR2)</p> <p>Free Prior and Informed Consent (SR7)</p>	<p>HCV-HCSA Assessment Manual section 2.3. For use during integrated HCV-HCSA assessments.</p>	<p>Scoping report for the company including recommendations (if any) on what the company must complete prior to full assessment.</p> <p>Decision to proceed to full report based on scoping findings including verification of FPIC Gate requirements.</p>

⁶ The HCSA have acknowledged that RSPO membership (and its consequential membership requirements, Code of Conduct and commitment to meet RSPO P&C requirements) is accepted as a commitment to social and environmental safeguards.

⁷ The HCSA have acknowledged that a commitment to stop any land clearing (and associated development activities) until the RSPO NPP submission is approved is sufficient.

<p>HCV-HCS/HCSA assessment</p> <p>BY:</p> <p>Licensed Assessor in coordination with the Sustainability Department and Community Engagement</p>	<p>The assessment where all HCVs and HCS forest⁸ areas are identified, and management and monitoring recommendations are produced.</p> <p>The relevant Social Requirements that are integral to the assessment (and subsequently feed into the management and monitoring) are:</p> <p>Fair Representation and agreeing to a process for consent (SR2)</p> <p>Securing ecosystem services (SR 4)</p> <p>Securing Livelihoods and Local Food Security (SR 5)</p> <p>Cultural diversity and identity (SR 6)</p> <p>Free Prior and Informed Consent (SR7)</p> <p>Implementing the SRs when applying the HCSA to existing operations (SR 13)</p>	<p>The Social Requirements of the HCS Approach</p> <p>HCS Approach Toolkit</p> <p>HCV-HCSA Assessment Manual</p> <p>Common Guidance for the Identification of High Conservation Values</p> <p>Common Guidance for the Management and Monitoring of High Conservation Values</p> <p>HCSA Advice Notes</p>	<p>An integrated report or Standalone HCS which include:</p> <ul style="list-style-type: none"> • Identification of values (HCVs, HCS forest, peatlands, local people’s lands), supported by evidence • Maps showing proposed conservation areas, community land use areas, and proposed development areas. • Management and monitoring recommendations.
<p>Social and Environmental Impact Assessment (SEIA)⁹</p> <p>BY:</p> <p>Company (Competent assessor)</p>	<p>An analysis and planning process carried out prior to new plantings or operations. It incorporates relevant social and environmental data, as well as stakeholder consultations to identify potential impacts (direct and indirect) and 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> <p>Welfare Impact Assessment (WIA), deciding on indicators and baseline data.</p> <p>Incorporates data from participatory mapping</p>	<p>P&C 2018 Annex 2 for Indicator 3.4</p> <p>The Social Requirements of the HCS Approach (SR 1)</p>	<p>SEIA report</p>

⁸ The HCSA Toolkit includes the allowance for a give and take process (i.e., forest swaps). This is a part of the process for identification of HCS forests, and is accepted (limited to within the assessment only) by the RSPO.

⁹ Refer to relevant national laws and P&C National Interpretation (NI) (if any) on assessor competencies, assessment content and validity. Where no national requirements or NI are available, refer to P&C 2018, Annex 2 for Indicator 3.4.

Table 4. Step 3: RSPO Requirement

TASK	DESCRIPTION OF TASK	BY	KEY DOCS / SECTION	OUTPUT
Soil & Topography survey	This could be done at any stage (refer to Box 1 for recommended completion point). Often the survey boundaries change during the integrated assessment. However, the HCSA assessment requires identification of peatland.	Company or external assessor (refer to NPP 2021 for details)	RSPO New Planting Procedure document	Soil & Topography Report
Land Use Change Assessment (LUCA)	<p>Calculation of Raw and Final Compensation Liability for land clearing prior to HCV assessment.</p> <p>Note: It is recommended to conduct the LUCA after the HCV-HCSA/HCSA assessments have passed their respective quality review process as LUCA expiry date is one year from completion for NPP submissions.</p>	Company (though the LUCA is very technical and is often contracted out)	<p>Remediation and Compensation Procedure (RaCP) Related to Land Clearance Without Prior High Conservation Value (HCV) Assessment</p> <p>The Social Requirements of the HCS Approach (SR 13)</p>	LUCA data and analysis. ¹⁰

Key Documents - Assessments

HCV-HCSA Assessment Manual.

Implementation Guide for the Social Requirements

HCS Approach Toolkit

HCVN Common Guidance for the Identification of High Conservation Values

HCVN Common Guidance for the Management and Monitoring of High Conservation Values

RSPO FPIC Guidance

RSPO New Planting Procedures 2021

The Social Requirements of the HCS Approach

RSPO Remediation and Compensation Procedure (RaCP) Related to Land Clearance Without Prior High Conservation Value (HCV) Assessment

¹⁰ The Land Use Change Assessment requires review by the RSPO if there has been non-compliant land clearing.

Step 4: Negotiation and IMP development

Once the assessment step (Step 3) is complete and the assessment has passed either the HCVN Quality review (HCV-HCSA assessment) or HCSA peer review (HCSA assessment) process, companies are able to create a development map containing the developable areas, conservation areas (HCV, HCS, Peatland, Others) and Social set asides based on the findings and recommendations of the assessments (Step 3), and ongoing negotiations with Indigenous Peoples and local communities (to date progress).

Companies are then required to conduct the GHG assessment procedure which identifies the estimated carbon stocks, i.e., AGB, BGB and Soil (if peat identified), and projected emissions resulting from development (based on relevant information and findings from all required assessments/processes). Final output would be the final development plan based on the most optimal scenario selected by the company. Another output of the GHG assessment is a GHG emission management and mitigation plan which should be included as part of the IMP.

The IMP shall be based on the selected scenario (GHG assessment) and contains the management and monitoring plans for all areas identified (development area, HCV, HCS, Peat, Social/community set asides and other conservation areas) (refer to Appendix A for IMP content details).

Companies are required to share the completed IMP (following the agreed engagement mechanisms) with Indigenous Peoples, local communities and other relevant stakeholders to confirm the IMP is aligned with the discussions, participatory mapping and negotiated agreements between both parties¹¹.

Table 5. Step 4: Negotiation and IMP Development

TASK	DESCRIPTION OF TASK	KEY DOCS / SECTION	OUTPUT
Greenhouse Gas Procedure BY: Company	Identify and estimate carbon stocks prior to development as well as major sources of emissions that may result directly from OP related development.	RSPO GHG Assessment Procedure for New Development	GHG Assessment Report: <ul style="list-style-type: none"> Final development plan GHG management and monitoring plan
Develop the IMP (Integrated Management Plan) BY: Company (Sustainability Department /	a. RSPO P&C 2018 Principle 4 & Equitable incentive and benefit packages (SR8) – negotiate with the community b. Develop and negotiate agreements with the community: <ol style="list-style-type: none"> Management and monitoring plan for 	RSPO Principles and Criteria 2018 RSPO Guidance on Conducting Standalone HCSA/ Integrated	IMP including Conservation Management and Monitoring Plan Participatory Management and Monitoring Plans

¹¹ FPIC and negotiated agreements with IPs & LCs may extend beyond the IMP development step and NPP submission phase. In these scenarios, any area(s) with disputes, unresolved grievances and/or complaints cannot be developed until a negotiated agreement is achieved. Companies must maintain documented evidence of the negotiation and agreement process to be verified during the certification stage.

Community Engagement)	<p>identified areas (development, HCV, HCS, Peat, GHG, Social/Community, others).</p> <p>ii. Participatory management and monitoring agreements</p> <p>iii. Targets and objectives for HCS forest areas and HCV 1-3 are defined externally according to purely ecological criteria, whereas those for HCVs 4, 5 and 6 are usually defined with the active participation of the community.</p> <p>iv. Communities consider these proposals along with the rest of the ‘package’ on offer, which includes community conservation areas, employment provisions, support for social and economic infrastructure, and any other elements.</p> <p>v. Validation¹² of the IMP by the company and the affected communities.</p>	<p>HCV-HCSA assessments (Appendix A)</p> <p>RSPO New Planting Procedure 2021</p> <p>RSPO FPIC Guidance 2021</p> <p>The Social Requirements of the HCS Approach (SR 1, 8)</p>	
<p>FPIC - validation</p> <p>BY:</p> <p>Company (Community Engagement Manager)</p>	<p>a. Inform communities of the outcomes of the assessments (SEIA, Land Tenure and HCV-HCSA assessment).</p> <p>b. Information shall be provided on the legal and financial implications of proposed smallholder arrangements and of proposed implementation, participatory monitoring and grievance procedures.</p>	<p>The Social Requirements of the HCS Approach (SR 7)</p> <p>RSPO FPIC Guidance</p>	<p>For each affected community there must be:</p> <p>a. Evidence (e.g. meeting minutes, presentation, and attendance list) where the company has conducted items a-b under FPIC-validation.</p> <p>b. signed, negotiated agreements with indigenous peoples and local communities</p>

¹² **Validation** – note this term includes finalising any legal (if any) or other participatory management and monitoring agreements. This means it is the final FPIC activity prior to NPP submission (where applicable) or moving forward with development, where affected communities have the right to consent or say no to development on their land. If a community says no to development, then their land must be excised from the concession’s development until agreement is achieved during renegotiation. At this step the company must also finalise, if it has not already, its grievance mechanism and any provisions related to implementation of the IMP – in particular ensuring there is a suitable, accessible, community-level mechanism available for affected communities.

	c. Consultation with communities on the IMP leading to signed, negotiated agreements with LCs and IPs which have been ratified by the local peoples.		which have been ratified by them.
SOPs – Labour¹³ BY: Company	<p>Addition of SOPs and/or suitable documentation relating to workforce: RSPO P&C 2018 Principle 6 & HCSA (SR11) – Labour Policies</p> <p>Follow employment laws and regulations in the country in which they operate and to respect workers’ rights in accordance with international conventions and standards such as the International Labour Organization (ILO) core conventions.</p> <ul style="list-style-type: none"> ● Forced, Compulsory and Child Labour ● Non-Discrimination ● Freedom of Association ● Workplace Health and Safety 	<p>RSPO P&C 2018</p> <p>The Social Requirements of the HCS Approach (SR 11)</p>	Relevant SOPs, policies, and other documents.
SOPs – Operational¹⁴ BY: Company	<p>Addition of SOPs and/or suitable documentation relating to development, and management and monitoring activities agreed with communities (see Step ‘Develop the IMP’, point b).</p> <p>Take note of RSPO requirements when developing SOPs:</p> <ul style="list-style-type: none"> ● No new land clearing without the completion of all required assessments, and completion of NPP process (if applicable) ● No new land clearing on RSPO prohibited areas, e.g., peat, riparian buffer zones, steep slopes more than 25 degrees ● No use of fire for land preparation. 	<p>RSPO P&C 2018</p>	Relevant SOPs, policies, and other documents.

^{13,14} SOPs and/or suitable documentation shall be available prior to engagement of resources (e.g., labour documentation prior to employment of labour) and/or the implementation of said activities (e.g., SOP/policy on land clearing prior to any land clearing activities).

¹⁴

Table 6. Step 4: Negotiation and IMP Development - RSPO Requirement

TASK	DESCRIPTION OF TASK	KEY DOCS / SECTION	OUTPUT
<p>RaCP for land clearing without HCV assessment.</p> <p>BY: Company (though the LUCA is very technical and is often contracted out)</p>	<p>Once the HCV-HCSA / standalone HCSA assessment is complete, the LUCA can be completed as well as the assessment of the social liability. The non-corporate clearance is informed by the land tenure assessment.</p> <ol style="list-style-type: none"> a. Development and approval of Remediation and Compensation Plan b. Implementation and monitoring of Remediation and Compensation Plan <ol style="list-style-type: none"> i. Remediating and compensating affected stakeholders for loss of social HCVs ii. Remediation of areas to comply with the RSPO P&C iii. Implementing conservation projects and monitoring outcomes 	RaCP Related to Land Clearance Without Prior HCV Assessment	Remediation and Compensation Plan

Key Documents - Negotiation and IMP Development

RSPO FPIC Guidance

The Social Requirements of the HCS Approach (SR 7,11)

RSPO New Planting Procedure 2021

RSPO GHG Assessment Procedure for New Development Version 4

RSPO Remediation and Compensation Procedure (RaCP)

Appendix A: Integrated Management Plan

INTRODUCTION

The Integrated Management Plan (IMP) is a comprehensive management and monitoring plan for identified HCV, HCS, Peatland and other conservation areas. All existing management units and/or new planting by companies are required to prepare an IMP where any HCV, HCS forests, peatland or other conservation areas are identified following Indicator 7.12.4 of the P&C 2018.

This guidance covers the preparation of an IMP for new land clearing scenarios (i.e., requiring an HCV-HCSA assessment or standalone HCV and HCSA assessment). However, it can be adapted for existing plantations with no new land clearing by removing non relevant sections (e.g., final development map, replaced with plantation boundary) and sourcing information from existing assessments/processes required for certification.

IMP PREPARATION AND CONTENT

For new land clearing scenarios, the IMP is prepared by combining the findings and recommendations (if any) of the following (not limited to) assessments/processes:

- Integrated HCV-HCSA assessment **OR** Standalone HCV & HCSA assessment (have undergone and passed¹⁵ respective quality/peer review process)
- Social and environmental impact assessment (SEIA) (or standalone SIA and EIA depending on country legal requirements)
- Soil and topography survey
- Land Use Change Analysis (LUCA)
- Land Use Risk Identification (LURI) (if applicable, refer to RSPO 'Interpretation of Criteria 7.12 and Annex 5' for applicability)
- FPIC process activities
- GHG assessment procedure

The IMP shall document its scope, which at minimum, must cover the whole development area with consideration of the wider landscape (where identified through the integrated HCV-HCSA assessment, or standalone HCV and HCSA assessments). Companies shall include individual conservation (HCV, HCS, peat, etc.) maps and a combined final development map¹⁶ which highlight:

- Plantable and developable areas (following selected development scenario from the RSPO GHG assessment),
- Areas set aside for conservation (HCV, HCS, Peat, Social, others etc.)
- Community areas from negotiated agreements with Indigenous People and local communities (IPs and LCs).

¹⁵ The HCSA peer review process for standalone HCSA assessments does not include a pass/fail mechanism at the time of publishing. RSPO and HCSA are in the final stages of development for a pass/fail mechanism for selected sections of the standalone HCSA assessment. Until the revised mechanism is endorsed, the existing review process is accepted.

¹⁶ It is acknowledged that the final development map for the IMP prior to development is subject to change based on onsite situation/conditions and the negotiation process with communities. These changes are acceptable; however, collection of documented evidence is required for verification purposes during the certification process.

In addition to the individual conservation and final development map, the IMP shall contain management and monitoring plans with SMART (Specific, Measurable, Attainable, Relevant, and Time-bound) management objectives, detailed activities, operational and strategic indicators, as well as the resources allocated to the plan (financial, human). This will assist companies to determine whether the IMP objectives, management strategies and related activities are being implemented correctly and are impactful. The monitoring results will provide managers with up-to-date information on the conservation areas for which they are responsible and serve as a basis for adjusting management intervention (strategies, activities, resources).

The management and monitoring plans within the IMP shall include (but not limited to):

- 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, and steep slopes.
- Threat monitoring and mitigation measures to reduce any illegal or inappropriate hunting, fishing or collecting activities, and encroachment.
- Developing practical-measures to resolve human-wildlife conflicts (e.g., incursions by elephants).

Collaboration efforts with surrounding stakeholders, Indigenous Peoples and local communities should be carried out as much as possible to ensure increased effectiveness of the management and monitoring plans. This however, is upon acceptance of stakeholders to such collaboration. Documented evidence of attempted collaboration, and agreements (if any) should be maintained for verification during the certification process.

It is important to note for new land clearing scenarios, the IMP shall be prepared in consultation and agreed upon by relevant stakeholders (see Step 4, Table 5) following the FPIC process, and Indicators 4.5.3 and 7.12.4 of the P&C 2018.

SUBMISSION AND VERIFICATION

Submission of the IMP is only required in cases where NPP applies. A summary of the IMP following the “RSPO NPP Summary of IMP” template (refer to Template 3 of the RSPO NPP 2021) shall be **submitted as part of the NPP submission document and shall be reviewed by the RSPO Secretariat** following the process steps within the NPP document.

Where an ICLUP (following the HCSA ICLUP guidance) is required due to HCSA membership, companies are not required to develop a separate IMP for NPP submission, however, they shall summarise the relevant information contained in the ICLUP following the template within the NPP 2021 document.

Where NPP submission is not required, the IMP (or ICLUP for HCSA members) shall be verified by the CBs during the certification/survey/recertification audits.

REVIEW AND UPDATE

The IMP is a “live document” and shall be reviewed annually and revised accordingly to reflect the monitoring results as well as potential changes in the areas within its scope. Where revision of the IMP had taken place, this should be verified by the CB during the certification audits. Where no changes to the original IMP were required after the NPP approval, the IMP must be updated **at least every five years**. Examples of scenarios where the IMP should be updated include (but are not limited to):

- Changes/updates to agreements with Indigenous Peoples and local communities.
- Complaints or grievances by stakeholders causing changes to either the development map or management and monitoring plans.
- Identification of new HCV areas, peatland, and/or ERT species.
- Onsite discoveries or incidents from current management and monitoring efforts (e.g., unintentional deterioration of HCV/HCS, unintentional drainage of peat from development/operational activities, fires etc.) during development or operations which may require an update to the IMP (such as proposing additional/alternative management practices, updating assessment of internal threats and measures to manage them, etc).
- Changes in the wider landscape beyond company control (e.g., climate, weather patterns, nearby development) causing a need to update management and monitoring plans (e.g., water management, environmental management, etc.).

Appendix B: Guidance on documentation and evidence of FPIC process

Free, Prior and Informed Consent (FPIC) means that consent of Indigenous Peoples and/or local communities shall be given without coercion, intimidation, or manipulation, and through the communities' own freely chosen representatives, such as their customary leaders or other institutions (RSPO FPIC guidance).

Within the scope of this document, the FPIC process is initiated prior to conducting any assessment(s) or on-site activities (inclusive of Step 2: preparation stage activities) and continues throughout the assessment, IMP development, implementation, and monitoring steps (step 4, 5, and 6). In reality, certain FPIC elements/activities (e.g., joint management of areas agreed upon with communities, complaint/dispute mechanisms etc.) continue even after completion of the development.

Proper documentation and evidence collection plays a crucial role for verification processes within RSPO certification. This guide shall provide RSPO member companies with a non-exhaustive list of documentation and/or evidence (by step which they are collected/recorded) which should be maintained by a company for verification and certification purposes. As FPIC is a continuous process, it is acknowledged that plans, agreements, maps etc. will change as the process progresses based on the company's negotiation with communities. As such, there is duplication for each step in the table below to indicate the need for companies to gather evidence and documentation of the process and how it changes (if any) based on negotiations with communities.

STEP	EVIDENCE / DOCUMENT
Step 1: Determining what assessments are required	n/a
Step 2: Preparation	<ul style="list-style-type: none"> ● Social survey showing evidence that the UoC has identified local communities that live in or near areas of the proposed plantation. ● Land tenure and use study developed with potentially affected communities, engaged in participatory mapping, showing that the UoC has sought to understand local systems of land ownership and use/access. ● Minutes, reports of meetings and/or letter of agreement with local communities showing agreement on: <ol style="list-style-type: none"> i. Being informed that they have a right to say “no” to development or conservation from initial discussions up until an agreement is signed and ratified by these local peoples. ii. The chosen representative of the respective communities. iii. How they will be consulted including women, youth (those between the ages of 15 and 24 or country classification where available), and vulnerable groups. iv. Mechanisms through which interactions will take place beyond the establishment and negotiation stages, including grievances and conflict resolution. v. Policy for sharing information with local communities and other stakeholders, which includes providing them adequate information

	<p>on environmental, social, financial and legal matters relevant to the following requirements, in appropriate languages and formats.</p> <p>vi. The communities' permission for the assessment(s) to proceed (including LT & U study).</p> <ul style="list-style-type: none"> ● SOPs and Policies – pertaining to Item (iii) – (v) above ● Participatory maps showing the extent of customary lands and of any contested lands including documentation and evidence of community involvement in the mapping process (e.g., project reports, minutes, pictures etc.). <p>Other documented evidence to show inclusion of communities in the FPIC process/ related activities (e.g., attendance register, interviews etc.).</p>
Step 3: Assessment	<ul style="list-style-type: none"> ● All evidence of FPIC compliance during the HCV-HCSA or HCSA Standalone assessment (in the HCV-HCSA assessment report or Standalone HCSA assessment report). ● SEIA report ● Minutes, reports of meetings and/or letter of agreement with local communities showing continued progress on: <ul style="list-style-type: none"> i. Participatory mapping and agreement from stakeholders on the mapped boundaries and remaining contested areas ii. Iterative engagement with communities involved ● Participatory maps (updated) showing the extent of customary lands and of any contested lands including documentation and evidence of community involvement in the mapping process (e.g., project reports, minutes, pictures etc.). ● Records of grievance/ disputes (if any) - including documentation on resolution of said cases following agreed mechanisms.
Step 4: IMP development	<ul style="list-style-type: none"> ● Minutes, reports of meetings and/or letter of agreement with local communities showing continued progress on: <ul style="list-style-type: none"> i. Participatory mapping and agreement from stakeholders on the mapped boundaries and remaining contested areas ii. Iterative engagement with communities involved ● Participatory maps (updated) showing the extent of customary lands and of any contested lands including documentation and evidence of community involvement in the mapping process (e.g., project reports, minutes, pictures etc.). ● Records of grievance/ disputes (if any) – including documentation on resolution of said cases following agreed mechanisms. ● Negotiated agreements with local communities (as at current stage) on: <ul style="list-style-type: none"> i. Agreed compensation and benefits with communities

	<ul style="list-style-type: none"> ● Documented evidence of fulfilment of agreed compensation payments and benefits (at current stage, if any).
Step 5: IMP Implementation	<ul style="list-style-type: none"> ● Approved NPP submission (if applicable) report inclusive of IMP as at submission stage. ● Updated IMP based on continued negotiations with communities ● Minutes, reports of meetings and/or letter of agreement with local communities showing continued progress on: <ol style="list-style-type: none"> Participatory mapping and agreement from stakeholders on the mapped boundaries and remaining contested areas Iterative engagement with communities involved ● Participatory maps (updated) showing the extent of customary lands and of any contested lands including documentation and evidence of community involvement in the mapping process (e.g., project reports, minutes, pictures etc.). ● Negotiated agreements with local communities (as at current stage) on: <ol style="list-style-type: none"> Agreed compensation, payments, and benefits with communities ● Documented evidence of fulfilment of agreed compensation, payments, and benefits (at current stage). ● Records of grievance/ disputes (if any) - including documentation on resolution of said cases following agreed mechanisms.
Step 6: IMP monitoring	<ul style="list-style-type: none"> ● Minutes, reports of meetings and/or letter of agreement with local communities showing continued progress on continued engagement with communities involved. ● Revised IMP based on continued negotiations with communities or at least every five years. ● Documented monitoring records of IMP implementation ● Documented evidence of fulfilment of agreed compensation, payments and benefits ● Records of grievance/ disputes - including documentation on resolution of said cases following agreed mechanisms.

Appendix C: Integration of HCSA requirements within RSPO existing processes

This section provides a summary of the integration of HCSA and ICLUP requirements within the existing RSPO processes. The tables below contain HCSA toolkit requirements when conducting an Integrated HCV- HCSA / Standalone HCSA assessment and the accepted equivalent RSPO requirements, processes, activities or procedures which satisfy the respective HCSA requirements¹⁷.

GENERAL HCSA REQUIREMENTS

HCSA REQUIREMENT	RSPO REQUIREMENT / PROCESS/ ACTIVITY / PROCEDURE
Commitment to social and environmental safeguards	Acceptance and acknowledgment as an RSPO member and commitment to follow the respective membership, code of conduct and P&C requirements.
Moratorium on land clearing until ICLUP finalised	RSPO members shall commit to a moratorium on land clearing until approval of NPP submission (if applicable) or the IMP has been completed.
ICLUP	Non-HCSA members are not required to prepare the ICLUP as components of ICLUP have been integrated in the RSPO IMP.
HCSA ICLUP Quality Review process (Validated ICLUP)	<ul style="list-style-type: none"> ● RSPO New Planting Procedure (NPP) Review (where NPP applies) ● 30-day NPP submission public notification period (where NPP applies) ● RSPO certification/surveillance/recertification audit (verification of implementation and continuous improvement of IMP)
Social background study	<p>The assessment may have overlaps with other existing assessments/ studies such as:</p> <ol style="list-style-type: none"> i. SEIA (or SIA & EIA) ii. Other country specific requirements (if available) (e.g., AMDAL etc.) iii. RSPO FPIC process <p>It is acknowledged that there is variability in the overlaps due to specific company practices and/or country requirements. Companies have an option to conduct the study (refer to Step 2) or build on their existing relevant assessments/ studies. In the absence of a social baseline study, companies must ensure that the following elements are covered within the existing assessments/studies:</p> <ol style="list-style-type: none"> i. Analysis of relevant economic, political and cultural characteristics of the AOI including regional and national considerations. ii. Situations related to land tenure and /or traditional usage of the land (e.g., collecting forests produce), from a historical and current perspective within the AOI is identified. This shall also include a brief overview of the

¹⁷ Companies which are also HCSA members are **required to comply** with the specific requirements stipulated by the HCSA as part of the HCSA membership requirements.

	<p>above on a regional and national level to provide a broader context.</p> <ul style="list-style-type: none"> iii. Relevant social and cultural subjectivity including ethnicity, religion, migration patterns, historical and current, and at local, regional and national levels. iv. Social, political or economic features and dynamics at the local level, to identify how the development will affect the affected communities.
<p>Land use and land tenure study</p>	<p>The assessment may have overlaps with other existing assessments/ studies such as:</p> <ul style="list-style-type: none"> i. SEIA (or SIA & EIA) ii. Other country specific requirements (if available) (e.g., AMDAL etc.) iii. Due diligence process (as per legal and RSPO requirements) <p>It is acknowledged that there is variability in the overlaps due to specific company practices and/or country requirements. Companies have an option to conduct the study (refer to Step 2) or build on their existing relevant assessments/ studies. In the absence of a land tenure and land use study, companies must ensure that the following elements are covered within the existing assessments/studies:</p> <ul style="list-style-type: none"> i. Land tenure and rights – Identification of land ownership and stakeholders with rights to the land (legal, customary, user, demonstrable), their location, the boundaries, possible conflict areas between owners and overlaps of village administrative boundaries, and how transfer/ inheritance of land ownership/ rights is practiced. ii. Land use – Current practices or use on the land by owners/users with demonstrable rights. Factors such as patterns of use, types of practices, e.g., livelihood (economic), cultural and/or social, are considered. iii. Participatory and inclusive – Conducted together with affected stakeholders, with their agreement, conduct the study to map rightful landowners/users and to finalise and agree on the map. <p>Where companies decide to <u>add on to their existing studies</u>, the following conditions must be met:</p> <ul style="list-style-type: none"> i. The alternative studies are not older than three years during the time of the HCSA/ HCV-HCSA assessment. Companies are required to verify the validity of the findings for studies older than three years. ii. The alternative studies have been conducted with all the potentially affected communities, involving them through participatory mapping (see ii above). iii. The existing and add on studies can produce a conclusion regarding which the affected communities are.

<p>Signed agreements with affected communities which are legally binding or officially notarised by the government (validated ICLUP)</p>	<p>Signed, negotiated agreements with Indigenous Peoples and local communities which have been ratified by the local peoples. (Indicator 4.5.3).</p> <p>Note: It is <u>highly recommended</u> where possible that negotiated agreements are legally binding and/or officially notarised to safeguard the interests of all parties of the agreement.</p>
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ICLUP COMPONENTS WITHIN NPP SUBMISSION

The below table provides information where ICLUP components are found within specific documents and sections which are a part of the NPP submission for the RSPO NPP review.

ICLUP COMPONENT	NPP SUBMISSION DOCUMENT & SECTION
<p>Definition of the Geographic Scope of the ICLUP: Definition of geographical scope and accompanying map of area for which an ICLUP has been developed – indicating the date.</p>	<ul style="list-style-type: none"> ● NPP notification statement – area breakdown (new planting, HCV, HCS, peat, conservation etc.) ● NPP summary of assessments (Section 6) – Stakeholder mapping, FPIC related processes/activities. ● NPP summary of assessments (Section 9) – Final development map and details for each classified area.
<p>Zoning of the concession: Description of the zones [production zones, conservation zones (HCV management areas (HCVMA), HCS forest areas, peat conservation areas), and zones reserved for community use] and zoning maps and proposed land tenure arrangements and legal designations.</p>	<p>The NPP Notification requirement on zoning of the concession has sufficient details that also meet the HCSA requirements albeit with additional GHG emission calculation (absent in HCSA model). The information is found in:</p> <ul style="list-style-type: none"> ● NPP notification statement – area breakdown (new planting, HCV, HCS, Peat, conservation, etc.) ● NPP summary of assessments (Section 4-8) – Maps based on identification/findings of individual assessments. Description of ● NPP summary of assessments (Section 9) – Final development map and details for each classified area
<p>Management measures for zones summarised per value (e.g., HCV, HCS forest, community land) and/or per zone, and for the whole concession area, including:</p> <ol style="list-style-type: none"> Roles and responsibilities Management objectives or targets Activities and use restrictions and how restrictions will be enforced 	<ul style="list-style-type: none"> ● NPP summary of assessments (Section 9) – Final development map and details for each classified area ● NPP summary of Integrated Management Plan (IMP): <ul style="list-style-type: none"> ○ Management and monitoring objectives

<p>d. How management measures will be resourced (e.g., company, government, cost-sharing arrangements etc.)</p> <p>e. Indicative timetables</p>	<ul style="list-style-type: none"> ○ Summary of action(s) within management and monitoring activities ○ Timelines and frequency ○ Persons in charge or teams for respective activities ○ Evidence of FPIC and key agreements with Indigenous Peoples and local communities (if any)
<p>Proposed monitoring measures including targets and/or indicators, monitoring schedule, roles and responsibilities, and mechanisms for feedback from monitoring into ongoing management. This need not be fully operationalised prior to the ICLUP Review and can be refined during operations</p>	
<p>Community conservation incentives and benefits together with the schedule with which the agreed benefits and incentives will be delivered</p>	<ul style="list-style-type: none"> ● NPP summary of Integrated Management Plan (IMP) – Item 3: Stakeholder and local people engagement (FPIC process)
<p>Broader Corporate Social Responsibility (CSR) programmes, including those related to employment opportunities for affected communities (SR11 and SR12).</p>	
<p>Mechanisms for ongoing community engagement: Standard Operating Procedures (SOPs) and schedules for ongoing communications with communities, for feedback into management decisions, and for approval of proposed changes in management and implementation (see SRs 2, 7 and 9 and Appendix 5 in the HCSA SR Implementation Guide).</p>	<ul style="list-style-type: none"> ● NPP summary of assessments (Section 5) – HCV-HCSA or Standalone HCV & HCSA assessment. ● NPP summary of assessments (Section 6) – Stakeholder mapping, FPIC related processes/activities.
<p>Summary of measures to be taken to actively engage outside the concession in the conservation of HCVs, HCS forest and safeguarding community rights and livelihoods (informed by the HCV-HCSA assessment, refer to Section 3.1.10 for details).</p>	<ul style="list-style-type: none"> ● NPP summary of Integrated Management Plan (IMP) – following respective topics (e.g. SEIA, HCV & HCS, FPIC, Soil & topography etc)
<p>Supporting Evidence and Materials</p> <p>a. Evidence of participative development of the ICLUP and fair negotiation of the validated ICLUP.</p> <p>b. Copies of all formally agreed upon and legally witnessed documents, including community agreements. Including information on the consequences of non-compliance of agreements, by either party, and collaborative governance arrangements for oversight of benefits and incentives packages (for further details, see SR 8 and Appendix 4 in the HCSA SR Implementation Guide).</p>	<ul style="list-style-type: none"> ● NPP summary of Integrated Management Plan (IMP) – Item 3: Stakeholder and local people engagement (FPIC process)

<p>Quality review of ICLUP – Post assessment HCSA validation of ICLUP.</p>	<p>The IMP (with ICLUP components integrated), following the current NPP process shall undergo:</p> <ul style="list-style-type: none"> ● RSPO NPP review – To ensure alignment (against assessment findings) and completeness (against NPP requirements) of NPP submissions. ● Onsite CB verification – Before development, during the NPP submission preparation process (case by case, TBD by CB using their risk assessment); AND ● Certification audit – After development, confirming developments follows the NPP submission and any revision (if any) to the plans are aligned with the RSPO P&C 2018 with documented process and evidence.
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Appendix D: Step 5 and 6 IMP Implementation and monitoring

Table 7. Step 5: IMP Implementation

TASK	DESCRIPTION OF TASK	KEY DOCS / SECTION
IMP Implementation BY: Company	Implementation of the IMP <ul style="list-style-type: none"> a. Train community members in monitoring techniques. b. Jointly define base lines. c. Identify threats. d. Measure changes in relation to the baselines. e. Agree on steps to be taken to encourage and enforce agreed plans and maintain or enhance identified values. 	RSPO P&C 2018 IMP Implementation Guide for the Social Requirements of the High Carbon Stock Approach

Key Documents - IMP Implementation

RSPO Principles and Criteria 2018

RSPO FPIC guidance

HCSA ICLUP Document (Mandatory for HCSA members)

Table 8. Step 6: IMP Monitoring

TASK	DESCRIPTION OF TASK	KEY DOCS / SECTION	OUTPUT
IMP Monitoring BY: Company (Sustainability Department)	a. Monitoring of the IMP b. Ongoing community engagement	RSPO P&C 2018 IMP RSPO FPIC Guidance	Progress Monitoring Data Monitoring reports Meeting Minutes and attendance lists Grievances
Review / Q and A of implementation (part of RSPO audit) BY: Third Party (CB)	a. Use of the Welfare Impact Assessment ¹⁸ (Social) i. community incomes and infrastructure ii. food security and ecosystem services b. Biodiversity monitoring data to measure the success of the management measures. c. Review the implementation of the SOPs	RSPO P&C 2018 RSPO FPIC Guidance	WIA report Biodiversity report

Key Documents - IMP Monitoring

RSPO Principles and Criteria 2018

RSPO FPIC Guidance

HCSA ICLUP Document (Mandatory for HCSA members)

¹⁸ The WIA is a post assessment activity which is used to monitor the impacts on the welfare of affected communities during/post development and can assist companies in meeting Indicators 4.3.1 and 4.5.4. The baseline data and monitoring indicators are obtained from the findings of the SEIA and FPIC process prior to development.

Appendix E: Checklist (Step 1 – Step 4)

This checklist follows the detailed steps mentioned in the main chapters of this document. While it does not describe the full processes required for each step, this checklist provides a useful summary for companies to ensure that important elements for each step are covered prior to moving to the next step.

Step	Checklist	Remarks
Step 1: Assessment type and geographical scope	<input type="checkbox"/> Determine assessment type (standalone/integrated) <i>(Refer to RSPO Interpretation of Indicator 7.12.2 and Annex 5)</i>	
	<input type="checkbox"/> Determine geographic scope <i>(Refer to RSPO New Planting Procedure, HCSA Toolkit v2.0 and HCVN Integrated HCV-HCSA assessment manual)</i>	
Step 2: Preparation	<input type="checkbox"/> Conduct Social background study (desktop study)	
	Initiation of FPIC with communities <ul style="list-style-type: none"> <input type="checkbox"/> IPs & LCs identified. <input type="checkbox"/> Formal agreement from IPs & LCs. <i>(Engagement, negotiation, representation, grievance)</i> <input type="checkbox"/> Documented evidence of engagement. <i>(Refer to Appendix B of this document)</i> <input type="checkbox"/> Consent from IPs & LCs to conduct assessments. 	
	<input type="checkbox"/> Conduct Land tenure and use study <ul style="list-style-type: none"> <input type="checkbox"/> Participatory mapping with affected IPs & LCs. <input type="checkbox"/> Areas subject to customary land tenure, resource rights and land use for IPs & LCs mapped. 	
	Preparation of ownership information (Legality) Have the following been determined and available? <ul style="list-style-type: none"> <input type="checkbox"/> Privately owned land – Titles <input type="checkbox"/> Leased land – Lease documents <input type="checkbox"/> Community land – agreement to proceed with assessment <input type="checkbox"/> State land – Licence over area and/or other documents as legally required <input type="checkbox"/> Joint venture – Land ownership information and agreements between JV partners <input type="checkbox"/> Assessment of compliance to all required country specific legal requirements (Legality compliance)	

	<p>Standard Operating Procedure (SOP)</p> <p>Are there SOPs developed based on agreements with IPs & LCs for the following?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Community engagement <input type="checkbox"/> Grievance/ conflict resolution <input type="checkbox"/> Land acquisition/ land swaps 	
<p>Step 3: Assessments</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Review order of assessment initiation (if applicable) <i>(Refer to Box 1 for recommendations of assessment order)</i> 	
	<p>Conduct assessments</p> <ul style="list-style-type: none"> <input type="checkbox"/> Standalone HCV assessment <i>(ONLY if applicable to use standalone HCSA assessment)</i> <ul style="list-style-type: none"> <input type="checkbox"/> Reviewed by HCVN ALS OR RSPO (pre-ALS) <input type="checkbox"/> Soil and topography survey <input type="checkbox"/> Standalone HCSA OR Integrated HCV-HCSA <ul style="list-style-type: none"> <input type="checkbox"/> Reviewed by HCSA (standalone) OR HCVN ALS (Integrated) <input type="checkbox"/> Social and Environmental Impact assessment (SEIA) <input type="checkbox"/> Land Use Change Analysis (LUCA) <input type="checkbox"/> GHG assessment 	
<p>Step 4: Negotiation and IMP development</p>	<p>Develop Integrated Management Plan (IMP)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Maps containing planted, conservation areas by type (HCV, HCS, peat, others, etc.) and community areas as negotiated with IPs & LCs. <p>Management and monitoring plans within the IMP include considerations for:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identifying, protecting and/or enhancing forest connectivity important for biodiversity, ecosystem services, or watershed protection. <input type="checkbox"/> Minimising hydrological impacts to landscape related to drainage systems, access roads or canals. <input type="checkbox"/> Management and monitoring plans for protection and/or enhancement of conservation areas <input type="checkbox"/> Protection of species and habitats are met as per legal requirements <input type="checkbox"/> Threat monitoring and mitigation measures to reduce any illegal or inappropriate hunting, fishing, collecting activities, and encroachment. 	

	<input type="checkbox"/> Measures on resolving human-wildlife conflicts <input type="checkbox"/> Collaboration with surrounding stakeholders, IPs & LCs on management and monitoring.	
	<p>Validation of FPIC</p> <p>Have the following been communicated to all affected stakeholders including IPs & LCs?</p> <input type="checkbox"/> Outcomes of assessments and proposed final development plan. <input type="checkbox"/> Legal and financial implications (if any) of proposed smallholder arrangements, and of proposed implementation, participatory monitoring, and grievance procedures. <input type="checkbox"/> Finalised engagement, complaints/grievance mechanisms during/post development as agreed upon by IPs & LCs. <i>(Existing mechanisms as per initiation of FPIC stage can be used, if agreed upon by all parties)</i> <input type="checkbox"/> Documented evidence of all the above FPIC processes. <i>(Refer to Appendix B of this document)</i>	
	<p>Signed, negotiated agreements with IPs & LCs which have been ratified by them, on the:</p> <input type="checkbox"/> Proposed final development plan. <input type="checkbox"/> Participatory management and monitoring plans (if any).	
	<input type="checkbox"/> Remediation and Compensation Procedure (RaCP) completed. <i>(If applicable only)</i>	

The 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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