

RSPO

Roundtable on Sustainable Palm Oil

**OF THE NIGERIA NATIONAL INTERPRETATION OF RSPO
PRINCIPLES AND CRITERIA FOR SUSTAINABLE PALM OIL**

PREPARED BY

**NIGERIA NATIONAL INTERPRETATION WORKING GROUP
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Preamble

Nigeria's palm oil production accounted for about 43% of the world production in the 1960s, nowadays it only accounts for 7% of total global output. About 89% of production comes from dispersed smallholders who harvest semi-wild plants and use manual processing techniques. About 2.3 million hectares is occupied by grove palms while 430,400 hectares is occupied by improved palm plantations. Though domestic production is nearly 900,000 tons, between 150,000 and 300,000 tons of Crude Palm Oil and 200,000 tons of Refined Palm Oil is imported.

Crude palm oil which is the product from smallholder processors is produced for the traditional market consisting of households, hotels and restaurants requirement for food preparation in Nigeria. The volume requirement in the traditional market is more than three times the requirement in industrial market. The traditional market therefore is the major determinant of supply deficit in Nigeria. Demand for CPO in the traditional market continues to grow as a result of increasing population and industrial demand.

Palm oil production remains a major vocation in many communities involving hundreds of thousands of poor producers and tens of thousands of poor processors. It provides income for many farmers and their dependents. An efficient and strong palm oil sector in Nigeria therefore will enable the poor to be part of the solution to poverty challenge through provision of employment and a means of livelihood.

On the other hand however, the demand for industrial use of palm oil in Nigeria is also increasing, thus leading to large integrated mills increasing their processing capacities. Based on this expansion by large integrated mills, opportunities could be created for supplies of ffb from smallholders to these mills provided the associated constraints such as unorganized nature of smallholders, unfavorable pricing and payment mechanisms are effectively addressed. In addition, some large integrated mills in Nigeria such as Presco Plc, Okomu Oil Plc and PZ Wilmar have begun to be committed to the RSPO certification process and it will be expected that their suppliers would also be RSPO compliant.

Presco Plc (a member of RSPO) initiated RSPO in Nigeria in 2009 and gathered other members of the Plantation Owners Forum of Nigeria (POFON) to embrace it. Subsequently, Okomu Oil Palm Company Plc supported and complemented Presco Plc in the RSPO drive in Nigeria.

Various sensitization and mobilization efforts were made to mobilize stakeholders in support of RSPO in Nigeria. These activities include; Presentation of RSPO to the Media in October, 2010, Presentation of RSPO to the Federal Ministries of Trade & Investment and Federal Ministry of Agriculture in Abuja in 2011, Presentation of RSPO to the Manufacturers' Association of Nigeria (MAN) in December 2011, Fund raising dinner for RSPO Nigeria in 2012 and RSPO Roadshow in

September, 2013. Fifty (50) Stakeholders including the Planters/Millers, Processors, Manufacturers, Government MDAs, NGOs, Banks, Environmentalists and Media have signed the Statement of Intent to participate in RSPO in Nigeria.

In April 2014, the Nigeria National Interpretation Working Group (NNIWG) was constituted with self-selected representatives from the Producers (including smallholders), Supply chain actors and investors, Environmental interests and Social interests categories. Each member also signed on to a Code of Conduct.

The following sub-group/task-forces were constituted;

1. Commitment and Compliance Sub –Group; the task force worked on P&C 1, 2 and 3 consisting of Commitment to transparency, Compliance with applicable laws and regulations and Commitment to long-term economic and financial viability respectively.
2. Best Management Practices and New Planting Sub-Group; The task force worked on P&C 4, 7 and 8 consisting of Use of appropriate best practices by growers and millers of activities, Responsible development of new plantings and Commitment to continuous improvement in key areas respectively.
3. Environment and Natural Resources Sub Group; The task force worked on P&C 5 on environmental responsibility and conservation of natural resources and biodiversity.
4. Labour and Social Sub-Group; The task force worked on P&C 6 on responsible consideration of employees, and of individuals and communities affected by growers and mills.

After about one and a half years of work, the different sub groups have identified, discussed and validated the national RSPO indicators. A national consultative meeting was held in January 2016 to harness inputs from within and outside the RSPO multi stakeholder platform on the draft national indicators. All relevant stakeholders along the palm oil supply chain consequently ratified the national indicators at this meeting. The national indicators were subsequently field tested at Presco Plc and Okomu Plc in February 2016 and observations made were used to finalize the national indicators.

According to the guidelines and procedures of the RSPO, a public consultation for a minimum period of 60 days was carried out from April 1st 2016 to May 31st 2016 which enabled the national public, regional and international to bear judgments, observations and comments on these national indicators. Having received no comments from the public, the members of the RSPO in Nigeria subsequently produced the Draft Final for RSPO approval.

In line with ISEAL best practices, this document (RSPO P&C 2013) will be completely reviewed again and subsequently submitted for ratification by the General Assembly of RSPO by November 2018. Prior to the revision in 2018, any changes to the standard must be through

recommendation made by the appointed RSPO working group or Taskforce and approved by the General Assembly of the RSPO.

Smallholder Definitions

Definition of **Smallholders** for Nigeria

“Smallholders in Nigeria are 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 hectares in size”

Definition of **Scheme Smallholders** for Nigeria

“Scheme Smallholders are characterised as Smallholders who are structurally bound by contract, by credit agreement or by planning to a particular mill. Scheme Smallholders are obliged to sell their FFB to that particular mill. Furthermore, Scheme Smallholders are often not free to choose which crop they develop, are supervised in their planting and crop management techniques, and are often organised, supervised or directly managed by the managers of the mill, estate or scheme to which they are structurally linked. They may, however, receive support or extension services from government and private agencies”

Definition of **Outgrowers** for Nigeria

“Outgrowers are Smallholders that cultivate oil palm outside the nucleus estate on their own land or as a tenant on a third party’s land.” Outgrowers may be structurally bound by contract, by credit agreement or by planning to a particular mill. They are sometimes supervised in their planting and crop management techniques, and are often organised, supervised or directly managed by the managers of the mill or estate to which they are structurally linked. They may, however, receive support or extension services from government and private agencies”

Definition of **Independent Smallholders** for Nigeria

“Independent Smallholders (i.e. “Individual Farmers”) while very varied in their situations are characterised by their: freedom to choose how to use their lands, which crops to plant and how to manage them; being self-organised, self-managed and self-financed; and by not being contractually bound to any particular mill or any particular organisation. They may, however, receive support or extension services from government and private agencies”

Glossary

a.i.	Active Ingredient
ASEAN	The Association of Southeast Asian Nations
BOD	Biological Oxygen Demand
CBD	Convention on Biodiversity
CPO	Crude Palm Oil
CRS	Community Relations Strategy
EFB	Empty Fruit Bunches
EIA	Environmental Impact Assessment
EMP	Environmental Management Plan
EMS	Environmental Management System
EPA	Environmental Protection Agency
FFB	Fresh Fruit Bunches
GAP	Good Agricultural Practices
GHG	Green House Gas
GNIWG	Ghana National Interpretation Working Group
HCV	High Conservation Value
ILO	International Labour Organisation
IPM	Integrated Pest Management
ISO	International Standard Organisation
IUCN	International Union for Conservation of Nature and Natural Resources
JJC	Joint Consultative Committee
kW	Kilo Watt
LD 50	Lethal Dose 50
LTA	Lost Time Accident
MSDS	Material Safety Data Sheets
NGO	Non-Government Organisation
OER	Oil Extraction Rate
OSH	Occupational Health & Safety
POME	Palm Oil Mill Effluent
PPE	Personal Protective Equipment
PER	Preliminary Environmental Report
P&C	Principles & Criteria
RSPO	Roundtable on Sustainable Palm Oil
SEIA	Social and Environmental Impact Assessment
SOP	Standard Operating Procedure

Principle 1: Commitment to transparency		
NO.	PRINCIPLES AND CRITERIA	INDICATORS /GUIDANCE
1.1	Growers and millers provide adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages and forms to allow for effective participation in decision making.	<p><u>Indicator 1.1.1:</u></p> <ul style="list-style-type: none"> • There shall be evidence that growers and millers provide adequate information on (environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making. <p>⇒ MINOR.</p> <p><u>Indicator 1.1.2.</u></p> <ul style="list-style-type: none"> • Records of requests for information and responses shall be maintained <p>⇒ MAJOR</p> <p>Specific guidance: For 1.1.1 Evidence should be provided that information is received in appropriate form(s) and language(s) by relevant stakeholders. This should include information on the RSPO mechanisms for stakeholder involvement, including information on their rights and responsibilities.</p> <p>Guidance: Growers and millers should have a Standard Operating Procedure (SOP) to respond constructively to stakeholders, including a specific timeframe to respond to requests for information. Growers and millers should ensure that sufficient objective evidence exists to demonstrate that the response is timely and appropriate.</p> <p>See criterion 1.2 for requirements relating to publicly available documentation.</p> <p>See also criterion 6.2 relating to consultation.</p> <p>See criterion 4.1 on SOPs.</p>

		<p>Smallholder guidance:</p> <p>The Group Manager shall;</p> <ul style="list-style-type: none"> • Inform all Group members that all requests for information are referred to the Group Manager. • Provide adequate information on (Environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making (1.1.1). • Establish and maintain a system to keep records of requests for information and corresponding responses. (1.1.2) <p>The Group Manager shall prepare books to record all visitors and all requests for information.</p> <ul style="list-style-type: none"> • Date when the visit or request occurred. • Name of the person visiting or requesting information. • What information was requested. • What information was supplied. • Comments received.
<p>1.2</p>	<p>Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.</p>	<p><u>Indicator 1.2.1:</u></p> <ul style="list-style-type: none"> • Publicly available documents shall include, but are not necessarily limited to: • Land titles/user rights (criterion 2.2). • Occupational Health and safety plans (criterion 4.7). • Plans and impact assessments relating to environmental and social impacts (criteria 5.1, 6.1, 7.1, 7.8). • HCV documentation (Criteria 5.2 and 7.3) • Pollution prevention and reduction plans (criterion 5.6). • Details of complaints and grievances (criterion 6.3). • Negotiation procedures (criterion 6.4). • Continual improvement plans (criterion 8.1). • Public summary of certification assessment report • Human Rights Policy (Criterion 6.13). <p>⇒ MAJOR</p>

		<p>Guidance: Growers and Millers should make management documents relating to environmental, social and legal issues that are relevant to compliance with RSPO Criteria publicly available. These documents should include, but are not necessarily limited to the following;</p> <ul style="list-style-type: none"> • Land titles/user rights • Occupational Health and safety plans • Environmental and Social Impact Assessment reports and plans • HCV documentation • Pollution prevention and reduction plans • Complaints and Grievances procedures • Negotiation Procedures • Continual Improvement Plans • Public summary of certification assessment report(if applicable) • Human Rights Policy • Monitoring reports <p>Where information disclosure could result in potential negative environmental and social outcomes, such information should be treated confidential</p> <p>Smallholder Guidance</p> <p>Group Managers shall list the following documents as publically available and keep copies centrally:</p> <ul style="list-style-type: none"> • Land titles/user rights (Criterion 2.2); (customary right of occupancy document will suffice for all smallholders) • Occupational health and safety plans (Criterion 4.7); • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); • HCV documentation (Criteria 5.2 and 7.3); • Pollution prevention and reduction plans (Criterion 5.6); • Details of complaints and grievances (Criterion 6.3); • Negotiation procedures (Criterion 6.4); • Continuous improvement plans (Criterion 8.1);
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		<ul style="list-style-type: none"> • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13).
1.3	Growers and Millers commit to ethical conduct in all business operations and transactions	<p><u>Indicator 1.3.1:</u></p> <ul style="list-style-type: none"> • There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions, which shall be documented and communicated to all levels of the workforce and operations <p>⇒ MINOR</p> <p><u>Guidance:</u> Growers and Millers shall have a written policy committing to a code of ethical conduct and integrity for their business operations including contracted third parties. The policy committing to a code of ethical conduct should include as a minimum;</p> <ul style="list-style-type: none"> • A respect for fair conduct of business; • A prohibition of all forms of corruption, bribery and fraudulent use of funds and resources; • Social/cultural norms is taking into consideration when interaction is to be initiated so as not to disrespect their cultural norms • A proper disclosure of information in accordance with applicable regulations and accepted industry practices <p>The policy committing to a code of ethical conduct should be set within the framework of the UN Convention Against Corruption, in particular Article 12</p> <p>Smallholder Guidance</p> <p>The Group Manager shall develop a written policy committing the Group to a code of ethical conduct and integrity in all operations and transactions. It would be applicable to all groups regardless of size.</p> <p>Group Managers should be able to show that:</p> <ul style="list-style-type: none"> • The policy should be set within the framework of the UN Convention Against Corruption, in particular Article 12. • They have obtained a copy of this framework and read it. <p>The policy should include as a minimum:</p>

		<ul style="list-style-type: none">• 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. <p>It must be written in the language which Group members and their workers and staff can understand.</p> <ul style="list-style-type: none">• Group members must acknowledge that they understand and comply with the Policy.• Communicate this policy to the members of the Group and show records as to how it was communicated.• If presented as a Group ensure that you record who attended, get individual members to sign that they attended or received the document.• Simple diagrams showing what is acceptable practise or not may help with illiterate Group Members
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Principle 2: Compliance with applicable laws and regulations		
NO.	PRINCIPLES AND CRITERIA	INDICATORS /GUIDANCE
2.1	There is compliance with all applicable local, national and ratified international laws and regulations	<p><u>Indicator 2.1.1:</u></p> <ul style="list-style-type: none"> Evidence of compliance with relevant legal requirements shall be available. <p>⇒ MAJOR</p> <p><u>Indicator 2.1.2:</u></p> <ul style="list-style-type: none"> A documented system, which includes written information on legal requirements, shall be maintained. <p>⇒ MINOR</p> <p><u>Indicator 2.1.3:</u></p> <ul style="list-style-type: none"> A mechanism for ensuring compliance shall be implemented. <p>⇒ MINOR</p> <p><u>Indicator 2.1.4:</u></p> <ul style="list-style-type: none"> A system for tracking changes in the law shall be implemented. <p>⇒ MINOR</p> <p>Guidance: Implementing all legal requirements is an essential baseline requirement for all growers whatever their location or size.</p> <p>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. Relevant laws in Nigeria are listed under Annex 3. This Criterion also includes laws made pursuant to a country's obligations under international laws or conventions (e.g. the Convention on</p>

		<p>Biodiversity, CBD, ILO core Conventions, UN Guiding Principles on Business and Human Rights). (See Annex 2 for Key International Laws and Conventions)</p> <p>Growers and Millers should put in place a system to track changes in the relevant laws and conventions.</p> <p>The system used to ensure compliance to legal requirements should be appropriate to the scale of the organization and should include the following:</p> <ol style="list-style-type: none"> (1) List of all applicable laws including international laws and conventions ratified by the Nigerian government. (2) Display applicable licenses and permits including their conditions. (3) Identify person(s) responsible to monitor compliance to both (1) and (2). <p>Smallholder Guidance</p> <p>Group Managers shall:</p> <ul style="list-style-type: none"> • Have a list/’legal register’ of all applicable laws and regulations and state: • Where the laws were obtained from. • How they are circulated and how often and record this communication. • Who and how ensures that the laws are being implemented. • Who monitors and updates the list and how often. • Who records when updates are communicated. <p>Group Manager shall:</p> <ul style="list-style-type: none"> • Ensure that it can be demonstrated to a third party that the laws are understood and complied with by Group members. • Develop tools such as checklists or booklets that the group members can use to help them implement the legal requirements. • Demonstrate evidence of training on legal requirements such as records or handouts/printed materials/softcopy. <p>Refer to the NI for initial list of applicable laws.</p> <p>If presented to a group, the Group Manager shall:</p>
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		<ul style="list-style-type: none"> • Ensure the record of who attended and also get individual members to sign that they attended or received the document. • Ensure that all office staff are aware of the legal register.
<p>2.2</p>	<p>The right to use the land can be demonstrated, and is not legitimately contested by local people who can demonstrate that they have legal, customary or user rights.</p>	<p><u>Indicator 2.2.1:</u></p> <ul style="list-style-type: none"> • Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available. <p>⇒ MAJOR</p> <p><u>Indicator 2.2.2:</u></p> <ul style="list-style-type: none"> • Legal boundaries shall be clearly demarcated and visibly maintained. <p>⇒ MINOR</p> <p><u>Indicator 2.2.3:</u></p> <ul style="list-style-type: none"> • Where there are, or have been disputes, additional proof of legal acquisition of title//user rights and evidence that fair compensation has been made to previous owners and occupants shall be available , and that these have been accepted with free, prior and informed consent (FPIC) <p>⇒ MINOR</p> <p><u>Indicator 2.2.4:</u></p> <ul style="list-style-type: none"> • There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved. <p>⇒ MAJOR</p> <p><u>Indicator 2.2.5:</u></p> <ul style="list-style-type: none"> • For any conflict or dispute over the land, the extent of the disputed area shall be mapped out in a participatory way with involvement of affected parties (including neighbouring communities where applicable).

		<p>⇒ MINOR</p> <p><u>Indicator 2.2.6:</u></p> <ul style="list-style-type: none"> • Palm oil operations shall not be conducted in a manner that engender violence in the current and planned operational area <p>⇒ MAJOR</p> <p>Guidance:</p> <p>Growers and Millers should have documents showing legal ownership or lease, history of land tenure and the actual legal use of the land. Acceptable documents include land titles, lease agreements, declarations endorsed by relevant government agencies and or traditional authorities. Legal boundaries should be clearly demarcated and plantation operations should cease on land planted beyond the legal boundary.</p> <p>For any conflict or dispute over the land, the extent of the disputed area should be mapped out in a participatory way. Where there is a conflict on the condition of land use as per land title, growers 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 6.3 and 6.4). To avoid escalation of conflict, Company policy should prohibit the use of dogs, mercenaries and para-militaries in their operations. Company policy should also prohibit extra-judicial intimidation and harassment by contracted security forces (6.13). Where all negotiations have failed and lives and properties are endangered, all legal means can be applied to protect lives and properties. Plans for avoidance or mitigation of negative impacts and promotion of positive ones shall be developed in consultation with affected parties and documented.</p> <p>Specific Guidance:</p> <p>For 2.2.2: Plantation operations should cease on land planted beyond the legally determined area and there should be specific plans in place to address such issues for associated smallholders.</p> <p>For 2.2.6: Company policy should prohibit the use of mercenaries and para-militaries in their operations. Company policy should prohibit extra-judicial intimidation and harassment by contracted security forces (see Criterion 6.13).</p> <p>Smallholder Guidance</p>
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		<p>The Group Manager shall demonstrate documentary evidence of legal ownership or lease, history of land tenure and the actual legal use of the land according to local laws.</p> <p>Maps showing the legal boundaries shall be kept.</p> <p>Check that boundaries are demarcated.</p> <p>If there are conflicts: The Group Manager shall ensure that there is an ongoing process to resolve the conflict and ensure records of meetings are being kept by the group member.</p> <p>Guidance: Applicable to all Groups regardless of size. Link with 2.3</p> <p>Group Managers should have:</p> <ul style="list-style-type: none"> • Copies in a single file at an appropriate location. • Maps showing the legal boundaries. Cadastral boundary maps may be sufficient. The use of GPS for mapping is recommended.
2.3	Use of the land for oil palm does not diminish the legal, customary or user rights of other users without their free, prior and informed consent.	<p><u>Indicator 2.3.1:</u></p> <ul style="list-style-type: none"> • Maps of an appropriate scale showing the extent of recognized legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighbouring communities where applicable, and relevant authorities). <p>⇒ MAJOR</p> <p><u>Indicator 2.3.2:</u></p> <ul style="list-style-type: none"> • Copies of negotiated agreements detailing process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and shall include: <ul style="list-style-type: none"> ○ Evidence that a plan has been developed through consultation and discussion with all affected groups in the communities, and that information has been provided to all affected groups, including information on the steps that shall be taken to involve them in decision making; ○ Evidence that the company has respected communities’ decisions to give or withhold their consent to the operation at the time that this decision was taken;

		<ul style="list-style-type: none"> ○ Evidence that the legal, economic, environmental and social implications for permitting operations on their land have been understood and accepted by affected communities, including the implications for the legal status of their land at the expiry of the company’s title, concession or lease on the land. <p>⇒ MINOR</p> <p><u>Indicator 2.3.3:</u></p> <ul style="list-style-type: none"> ● All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements. <p>⇒ MINOR</p> <p><u>Indicator 2.3.4:</u></p> <ul style="list-style-type: none"> ● Evidence shall be available to show that communities are represented through institutions or representatives of their choice, including legal counsels. <p>⇒ MAJOR</p> <p>Specific Guidance: For 2.3.4: Evidence should be available from the companies, communities or other relevant stakeholders;</p> <p>Guidance: All indicators 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 2.3.1 and 2.3.2</p> <p>Where there are legal or customary rights over land, the grower should demonstrate that these rights have been identified, understood and are not being threatened or reduced. This criterion should be considered in conjunction with criteria 6.4, 7.5 and 7.6. Where customary rights areas are unclear these should be established through participatory mapping involving the affected parties (including neighbouring communities and local authorities).</p>
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		<p>This criterion allows for sales and 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 in appropriate forms and languages, including assessments of impacts, proposed benefit sharing and legal arrangements.</p> <p>Communities must be permitted to seek legal counsel if they so choose. Evidence should be available that communities and other relevant stakeholders have been adequately represented through institutions or representatives of their choice.</p> <p>Adequate time must be given for customary decision-making and iterative negotiations allowed for, where requested. Negotiated agreements should be binding on all parties and enforceable in the courts. Establishing certainty in land negotiations is of long-term benefit for all parties.</p> <p>Companies should be especially careful where they are offered lands acquired from the State by its invoking the national interest.</p> <p>Growers and millers should refer to the RSPO approved FPIC guidance (“Free, Prior and Informed Consent: Guide for RSPO members (2015)”).</p> <p>Getting to confirm the true owner(s) of customary and user rights is a common challenge often encountered by companies and smallholders.</p> <p>Smallholder Guideline</p> <p>Group Manager has to:</p> <p>2.3.1. Carry out the participatory mapping with involved parties (including neighbouring communities where applicable, and relevant authorities).</p> <p>2.3.2 Keep copies of negotiated agreements between individual members and affected stakeholders in appropriate languages.</p>
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		<p>2.3.3 & 2.3.4: For these processes appropriate local language will be used and negotiations conducted with appropriate representatives.</p> <p>Guidance:</p> <p>For the participatory mapping:</p> <ul style="list-style-type: none">• Record all stakeholders with customary rights and clearly show on the map where these rights are.• When legal, customary or user rights exist, growers will keep copies of negotiated agreements with affected stakeholders, including benefit sharing, and legal arrangements.• Monitor compliance with the agreement if one exists.
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Principle 3: Commitment to long-term economic and financial viability		
NO.	PRINCIPLES AND CRITERIA	INDICATORS /GUIDANCE
3.1	There is an implemented management plan that aims to achieve long-term economic and financial viability.	<p><u>Indicator 3.1.1:</u></p> <ul style="list-style-type: none"> • A business or management plan (minimum 3 years) shall be documented to include a business case for scheme smallholders where appropriate. <p>⇒ MAJOR</p> <p><u>Indicator 3.1.2:</u></p> <ul style="list-style-type: none"> • An annual replanting programme projected for a minimum of 5 years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review, shall be available. <p>⇒ MINOR</p> <p>Specific Guidance: For 3.1.1: Growers and Millers should have a documented business or management plan and where appropriate, the business case for scheme smallholders. The plan should contain:</p> <ul style="list-style-type: none"> • Attention to quality of planting materials. • Crop projection = FFB yield trends. • Mill extraction rates = OER trends. • Cost of Production = cost per tonne of CPO trends. • Forecast prices; • Financial indicators. • Suggested calculation: trends in 3-year running mean over the last decade (FFB trends may need to allow for low yield during major replanting programmes). <p>Growers should also have documented annual replanting programme projected for a minimum of five years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review.</p>

		<p>Smallholder Guidance</p> <p>This Criterion is not applicable to independent smallholders. See reference RSPO P&C 2013, under Criterion 3.1 Guidance.</p> <p>It is recommended for groups of smallholders to have a business plan for long-term economic viability of their operation, considering among others, cost of annual maintenance, replanting, potential expansion and long term sustainability of certification.</p>
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Principle 4: Use of appropriate best practices by growers and millers		
NO.	PRINCIPLES AND CRITERIA	INDICATORS /GUIDANCE
4.1	Operating procedures are appropriately documented and consistently implemented and monitored.	<p><u>Indicator 4.1.1:</u></p> <ul style="list-style-type: none"> • A documented Standard Operating Procedures (SOPs) for estates and mills <p>⇒ MAJOR</p> <p><u>Indicator 4.1.2:</u></p> <ul style="list-style-type: none"> • A mechanism to check consistent implementation of procedures shall be in place. <p>⇒ MINOR</p> <p><u>Indicator 4.1.3:</u></p> <ul style="list-style-type: none"> • Records of monitoring and the actions taken are maintained. <p>⇒ MINOR</p> <p><u>Indicator 4.1.4:</u></p> <ul style="list-style-type: none"> • Records of origins of all the different sources including third party sourced Fresh Fruit Bunches (FFB) shall be kept <p>⇒ MAJOR</p> <p><i>Specific Guidance</i> For 4.1.1 and 4.1.4 SOP and document for mills should include relevant supply chain requirements “See RSPO Supply Chain Certification Standard, November 2014”.</p> <p><i>Guidance:</i> Estates and mills should have documented Standard Operating Procedures (SOPs) for best management practices. The SOPs should include the relevant supply chain requirements (see</p>

		<p>RSPO Supply Chain Certification Standard) and the origins of all third-party sourced Fresh Fruit Bunches (FFB)</p> <p>Proof of implementation and checks to control compliance with procedures should be seen on site.</p> <p>Smallholder Guidance</p> <p>4.1.1 Group Manager develops appropriate SOPs for the group:</p> <ul style="list-style-type: none"> • Ensure through a set procedure any pre-existing SOPs for BMP by current members, are compliant & consistent with the group SOPs • Keep a register of members who have pre-existing non-group SOPs that are accepted as compliant and consistent with group SOPs. <p>4.1.2 The Group Manager has regular checks using procedures set at group level for SOP implementation.</p> <p>4.1.3 Group Manager oversees the individual record keeping by members.</p> <p>4.1.4 Group Manager is responsible to identify where all individual member farms are located as a means to identify FFB origin.</p> <p>Applicable to all Groups regardless of size but the details will vary depending on the size of the Group and the complexity of operations.</p> <p>Group Managers should be able to:</p> <ul style="list-style-type: none"> • List all of the operations that will need to be covered and include mills (if applicable). • Ensure that Standard Operating Procedures (SOPs) adequately outline the key tasks associated with each operation. <p>Include sections on the following (but this is not an exhaustive list):</p> <ul style="list-style-type: none"> • Land preparation for both new planting and for re-planting. Consider all aspects e.g. slicing palm trunks with an excavator.
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		<ul style="list-style-type: none"> • Nursery practices. • Planting density, pattern and technique. • Soil Erosion controls. • Weeding and weed Control. • Management of agrochemicals. • Fertilising, leaf and soil sampling (if carried out) if not state how fertiliser requirements are met. • Pests & Disease control • Water management. • Pruning of fronds. • Harvesting. • Road maintenance. <p>In each case state who is responsible and identify who is involved in the process. Outline who ensures implementation of best management practices and how this is done. Describe what actions are monitored and how the information gained is used.</p> <p>Cross check with 3.1 to ensure that there is an operational plan that reflects the 3-year business plan where one exists.</p> <p>Put all of the above into a document (manual) don't forget to include No fire policy (5.5).</p> <p>Call the document "Standard Operating Procedures":</p> <ul style="list-style-type: none"> • Decide how this will be communicated to the members of the Group. • Record how it was communicated. If presented to a Group ensure that you record who attended, get individual members to sign that they attended or received the document. <p>Cross link with the training plan (4.8) In the training of members in SOPs: consider training days on representative or demonstration farms and awarding certificates.</p> <p>Monitoring will require visits.</p> <p>Ensure both training attendance and visits are recorded against each farm.</p>
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4.2	Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.	<p><u>Indicator 4.2.1:</u></p> <ul style="list-style-type: none"> • There shall be evidence that good agricultural practices, as contained in the Standard Operating Procedures (SOPs) are followed to manage soil fertility to a level that ensures sustained yield improvement. <p>⇒ MINOR</p> <p><u>Indicator 4.2.2:</u></p> <ul style="list-style-type: none"> • Records of fertilizer inputs and application are maintained. <p>⇒ MINOR</p> <p><u>Indicator 4.2.3:</u></p> <ul style="list-style-type: none"> • There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status. <p>⇒ MINOR</p> <p><u>Indicator 4.2.4:</u></p> <ul style="list-style-type: none"> • A nutrient recycling strategy should be in place and may include use of Empty Fruit Bunches (EFB), Palm Oil Mill effluent (POME), and or solids, and palm residues after replanting. <p>⇒ MINOR</p> <p>Guidance: Long-term fertility depends on maintaining the structure, organic matter content, nutrient status and microbiological health of the soil. Nutrient efficiency must take account of the age of plantations and soil conditions.</p>

		<p>Managers should ensure that best management practices are followed. Growing of cover crops, fronds stacking, use of EFB, POME and palm residues to improve soil fertility are highly recommended.</p> <p>It is advised that leaf sampling is done annually and soil sampling at least every 5 years.</p> <p>Smallholder Guidance</p> <p>4.2.1 Group Manager to maintain regular records of soil fertility practices by all members as per SOPs.</p> <p>4.2.2 Group Manager to provide template to record fertilizer usage and mill by-products usage.</p> <p>4.2.3 Group Manager conducts periodic tissue and soil sampling at minimum for a representative sample of group membership.</p> <p>4.2.4 Group Manager oversees and ensures implementation of nutrient recycling for the group.</p> <p>Applicable to all Groups regardless of size but the details will vary depending on the size of the Group and the complexity of operations.</p> <p>Link with the appropriate SOP.</p> <p>For small Groups simple plans to maintain soil fertility as highlighted in the SOPs may be sufficient.</p> <p>It is expected that the larger the Group the more sophisticated the methods employed (within the resources of the Group) need to be.</p> <p>Group Managers should be able to:</p> <ul style="list-style-type: none"> • Demonstrate what the procedure to measure soil fertility is, giving details of who conducts the assessments, and at what frequency.
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<p>4.3</p>	<p>Practices minimize and control erosion and degradation of soils.</p>	<p><u>Indicator 4.3.1:</u></p> <ul style="list-style-type: none"> • Maps of fragile soils shall be available. <p>⇒ MAJOR</p> <p><u>Indicator 4.3.2:</u></p> <ul style="list-style-type: none"> • A management strategy shall be in place for plantings on slopes above a certain limit (this needs to be soil and climate specific). <p>Since there are no national standards, individual companies shall develop SOP to plant on slopes based on their experiences. There shall be no planting on slopes exceeding 25° as recommended by R. H. V. Corley, P. B. H. Tinker in The Oil Palm, 2008. Where such slopes have been planted or replanted already there should be evidence of best management practices which prevent erosion and maintain the structure against landslide.</p> <p>⇒ MINOR</p> <p><u>Indicator 4.3.3:</u></p> <ul style="list-style-type: none"> • A road maintenance programme shall be in place.

		<p>⇒ MINOR</p> <p><u>Indicator 4.3.4:</u></p> <ul style="list-style-type: none"> Subsidence of peat soils shall be minimized and monitored. A documented water and ground cover management programme shall be in place. <p>=> MAJOR</p> <p><u>Indicator 4.3.5:</u></p> <ul style="list-style-type: none"> Drainability assessments shall be required prior to replanting on peat to determine the long-term viability of the necessary drainage for oil palm growing. <p>=> MINOR</p> <p><u>Indicator 4.3.6:</u></p> <ul style="list-style-type: none"> A management strategy shall be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils). <p>MINOR</p> <p>Specific Guidance:</p> <p>For 4.3.4: For existing plantings on peat, the water table should be maintained at an average of 50cm (between 40-60cm) below ground surface measured with groundwater piezometer readings, or an average of 60cm (between 50 – 70cm) 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 (Criteria 4.4 and 7.4).</p> <p>For 4.3.5: Where drainability assessments have identified areas unsuitable for oil palm replanting, plans should be in place for appropriate rehabilitation or alternative use of such areas. If the assessment indicates high risk of serious flooding and/or salt water intrusion within two crop cycles, growers and planters should consider ceasing replanting and implementing rehabilitation</p>
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		<p>Guidance: Plantations on peat should be managed at least to the standard set out in the “RSPO Manual on Best Management Practices (BMPs) for existing oil palm cultivation on peat”, June 2012 (especially water management, fire avoidance, fertilizer use, subsidence and vegetation cover)</p> <p>Growers should adopt best management practices to minimize and control soil erosion and degradation of soils. This may include practices such as ground cover management, biomass recycling, terracing, and natural regeneration or restoration instead of replanting.</p> <p>Amongst others the following should be taken into account upon constructing roads: wetlands, culverts, contours.</p> <p>Management strategy for fragile soils must include EFB application to improve soil structure.</p> <p>Smallholder Guidance</p> <p>4.3.1 Group Manager shall compile and maintain an overall soil map for the group.</p> <p>4.3.2 Group Manager develops a policy and procedure for planting on slopes.</p> <p>4.3.3 A road maintenance programme is maintained at Group level, this includes an approval process for any new roads being developed by individual members.</p> <p>4.3.4 Group manage to have monitoring procedure for peat subsidence and water management for plantings on peat where relevant</p> <p>4.3.5 Group Manager develops regular drainability assessment schedule for the group and implements this</p> <p>4.3.6 There is a group level policy and plan for managing fragile and problem soils occurring in the group. The Group Manager shall ensure implementation by individual group members.</p>
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		<p>Soil maps are available and in a format that is understandable. For small Groups cadastral boundary maps with hand drawn details may be sufficient. For larger Groups the use of GPS and other mapping tools will be expected.</p> <p>Link with the appropriate SOP.</p> <p>For small Groups simple plans to maintain soil fertility as highlighted in the SOPs may be sufficient.</p> <p>It is expected that the larger the Group the more sophisticated the methods employed (within the resources of the Group).</p> <p>Applicable to all Groups regardless of size but the details will vary depending on the size of the Group and the complexity of operations.</p> <p>Group Managers should be able to:</p> <ul style="list-style-type: none"> • Demonstrate that the Group has good agricultural practices to minimise erosion, soil compaction and to ensure ground cover Link in with 4.1, 4.6 and 4.8. • Map all roads and have procedures on how the roads are maintained. <p>For small Groups the maps can be hand drawn – use descriptions to differentiate soil types e.g. colour of the soil. Comment on the soils e.g. whether it gets waterlogged and for how long.</p> <p>For larger Groups the use of GPS to construct adequate maps will be expected.</p> <p>Include what steps are taken to reduce impact on the soil e.g. state that wheel barrows or buffalo are used for extraction of FFB to roadside as they have less impact on the soils than tractors or other extraction methods.</p> <p>Link to 4.1. Note many of the methods employed will also help minimise the Group’s impact on the environment</p>
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<p>4.4</p>	<p>Practices maintain the quality and availability of surface and ground water.</p>	<p>Indicator 4.4.1:</p> <ul style="list-style-type: none"> • An implemented water management plan shall be in place. <p>⇒ MINOR</p> <p>Indicator 4.4.2:</p> <ul style="list-style-type: none"> • Protection of water courses and wetlands, including maintaining and restoring appropriate riparian and other buffer zones as per the Federal Ministry of Environment (national guidelines on environmental management systems in Nigeria, 1999) guidelines. <p>⇒ MAJOR</p> <p>Indicator 4.4.3:</p> <ul style="list-style-type: none"> • Appropriate treatment of mill effluent to required levels and regular monitoring of discharge quality, especially Biochemical Oxygen Demand (BOD), shall be in compliance with national regulations (Criteria 2.1 and 5.6)/ <p>⇒ MINOR</p> <p>Indicator 4.4.4:</p> <ul style="list-style-type: none"> • Mill water use per tonne of Fresh Fruit Bunches (FFB) (see Criterion 5.6) shall be monitored. <p>⇒ MINOR</p> <p>Specific Guidance:</p> <p>For 4.4.1: The water management plan will:</p> <ul style="list-style-type: none"> • Take account of the efficiency of use and renewability of sources; • Ensure that the use and management of water by the operation does not result in adverse impacts on other users within the catchment area, including local communities and customary water users; • Aim to ensure local communities, workers and their families have access to adequate, clean water for drinking, cooking, bathing and cleaning purposes; <p>Avoid contamination of surface and ground water through run-off of soil, nutrients or</p>
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		<p>chemicals, or as a result of inadequate disposal of waste including Palm Oil Mill Effluent (POME).</p> <p>For 4.4.2: Refer to the ‘RSPO Manual On Best Management Practices (BMP) for management and rehabilitation of natural vegetation associated with oil palm cultivation on peat’, July 2012.</p> <p>Guidance: Growers and millers should address the effects of their use of water and the effects of their activities on local water resources.</p> <p>Guidance: Growers and millers should have documented water management plan to address the effects of their operations on local water resources. The Water Management Plan should consider the following;</p> <ul style="list-style-type: none"> - The efficiency of water usage and renewability of sources. - Ensure that the use and management of water by mill operations does not result in adverse impacts on other users within the catchment area, including local communities and customary water users - Growers and millers should mitigate any residual impact of their operations on water bodies from which the communities derive their livelihoods. Mitigation measures may include the provision of alternative sources of water for affected communities. - Avoid contamination of surface and ground water through run-off of soil, nutrients or chemicals, or as a result of inappropriate disposal of waste including POME. <p>Millers must regularly monitor effluent parameters and inform the regulatory bodies of the results of such monitoring to meet national standards or to be granted with the necessary discharge outfall permit. Permit conditions shall be case by case basis, dictated by national regulatory bodies. Deliverance of Discharge outfall permit shall be proof of efficient good practices concerning effluent monitoring.</p> <p>Water bodies and wetland should be preserved. A buffer zone should be considered depending on the size of the water body and the richness of the biodiversity contained in such water body.</p>
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		<p>The map of all water ways and water bodies can be hand drawn as long as there is clear justification that is consistent with the group procedures and membership in ICS.</p> <p>Ensure the use of descriptions to differentiate the different type of water and determine seasonal inundation.</p> <p>This can be linked to the soil maps to combine into one unified map.</p> <p>Group Managers should be able to: Present maps which show all water bodies and the riparian zones. Explain how the Group manages the riparian zones. Present a prepared water management plan for all practices – linked to SOPs. Identify all effluent discharge points (if applicable). Know where the water comes from. Know if water use has any impact on the water source and if yes, what actions the Group are taking to mitigate that impact. Show records of rainfall and show how often and how rainfall is measured. Demonstrate how this information is used.</p> <p>Identify all significant water courses passing through the farms. If possible, hand-draw them on a map. For larger Groups the use of GPS to construct adequate maps will be expected.</p> <p>If possible, monitor the quantity of the water entering the farms and again at a point where it leaves the farms at least twice per year.</p> <p>Demonstrate that the Group has good agricultural practices to minimise impacts and show how this has been communicated to the members of the Group.</p> <p>Write a simple procedure entitled: “Water Management Plan” stating how this criterion is handled within the Group.</p> <p>If nothing is done to maintain the quality and availability of surface and ground water, then state this.</p> <p>Link with 4.1 and 5.1.</p>
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		<p>Record how it was communicated.</p> <p>If presented to a Group ensure that you record who attended, get individual members to sign that they attended or received the document.</p> <p>Record all field visits.</p> <p>There should be evidence of a reporting mechanism which is understood by the individual members for issues concerning water.</p>
<p>4.5</p>	<p>Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management (IPM) techniques.</p>	<p>Indicator 4.5.1:</p> <ul style="list-style-type: none"> • Implementation of IPM plans shall be monitored. <p>⇒ MAJOR</p> <p>Indicator 4.5.2:</p> <ul style="list-style-type: none"> • Training of those involved in IPM implementation shall be demonstrated. <p>⇒ MINOR</p> <p>Guidance: Growers should apply recognized IPM techniques, incorporating cultural, biological, mechanical or physical methods to minimize use of chemicals.</p> <p>The use of Native species for biological control should be promoted wherever possible.</p> <p>Smallholder Guidance</p> <p>4.5.2 Group Manager to provide IPM training.</p> <p>An Integrated Pest Management (IPM) plan is in place and implemented.</p> <p>For small Groups IPM may not be practical but a plan would be expected for larger Groups.</p>

		<p>Group Managers should be able to:</p> <ul style="list-style-type: none"> • Identify all pests and diseases affecting the Group. • Outline the action taken to monitor and control the significant pests. • Work towards biological controls of these pests and diseases. • Have a written procedure on IPM which details how and who monitors the effectiveness of the procedure. <p>Write a simple procedure entitled: “Integrated Pest Management”. If nothing is done, then state this.</p> <p>Detail the pests and diseases, biological controls in place and action taken when the pest or disease reach an economic threshold for mitigation action. Also detail how the pest and diseases are handled when the biological controls break down. Combine it with the procedures in 4.6 and ensure it is communicated appropriately to the Group.</p> <p>Record how it was communicated. If presented to a Group ensure that you record who attended, get individual members to sign that they attended or received the document.</p>
<p>4.6</p>	<p>Pesticides are used in ways that do not endanger health or the environment.</p>	<p><u>Indicator 4.6.1:</u></p> <ul style="list-style-type: none"> • Only pesticides registered by the National Agency for Food And Drug Administration and Control (NAFDAC) are used. Justification of all pesticides used shall be demonstrated. The use of selective products that are specific to the target pest, weed or diseases and which have minimal effect on non-target species shall be used where available. <p>⇒ MAJOR</p> <p><u>Indicator 4.6.2:</u></p> <ul style="list-style-type: none"> • Records of pesticides use (including active ingredients used and their LD50, area treated, amount applied per ha and number of applications) shall be provided. <p>⇒ MAJOR</p> <p><u>Indicator 4.6.3:</u></p>

		<ul style="list-style-type: none"> • Any use of pesticides shall be in accordance with Integrated Pest Management (IPM) plan. There shall be no prophylactic use of pesticides, except in specific situations identified in national Best Practice guidelines. <p>⇒ MAJOR</p> <p><u>Indicator 4.6.4:</u></p> <ul style="list-style-type: none"> • Documentary evidence that use of chemicals categorized as World Health Organisation type 1A or 1B, or listed by the Stockholm or Rotterdam Conventions, and paraquat, is progressively eliminated by identifying alternatives. There shall be documentary record of this process. The use of such pesticides shall be minimized and eliminated as part of a plan, and shall only be used in exceptional circumstances. <p>⇒ MINOR</p> <p><u>Indicator 4.6.5:</u></p> <ul style="list-style-type: none"> • Pesticides shall only be handled, used or applied by qualified persons who have completed the necessary training and should always be applied in accordance with the product label. Appropriate safety equipment must be provided and used. All precautions attached to the products should be properly observed, applied, and understood by workers. Also see criterion 4.7 on health and safety. <p>⇒ MAJOR</p> <p><u>Indicator 4.6.6</u></p> <ul style="list-style-type: none"> • Storage of all pesticides shall be according to recognized best practices. All pesticides containers must be properly disposed of and not used for other purposes (see criterion 5.3). <p>⇒ MAJOR</p> <p><u>Indicator 4.6.7:</u></p> <ul style="list-style-type: none"> • Application of pesticides shall be by proven methods that minimize risk and impacts
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		<p>⇒ MINOR</p> <p><u>Indicator 4.6.8:</u></p> <ul style="list-style-type: none"> • Pesticides shall be applied aerially only where there is a documented justification. Communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application. <p>⇒ MAJOR</p> <p><u>Indicator 4.6.9:</u></p> <ul style="list-style-type: none"> • Maintenance of employee and associated smallholder knowledge and skills on pesticide handling shall be demonstrated. Appropriate information materials shall be provided (see Criterion 4.8). <p>⇒ MINOR</p> <p><u>Indicator 4.6.10:</u></p> <ul style="list-style-type: none"> • Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated (see Criterion 5.3). <p>⇒ MINOR</p> <p><u>Indicator 4.6.11:</u></p> <ul style="list-style-type: none"> • Specific annual medical surveillance for pesticide operators and documented action to treat related health conditions shall be demonstrated. <p>⇒ MAJOR</p> <p><u>Indicator 4.6.12:</u></p> <ul style="list-style-type: none"> • No work with pesticides for pregnant and breast-feeding women <p>⇒ MAJOR</p> <p>Specific Guidance:</p>
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		<p>For 4.6.1: Measures to avoid the development of resistance (such as pesticide rotations) should be applied. The justification should consider less harmful alternatives and IPM.</p> <p>For 4.6.3: Justification of the use of such pesticides will be included in the public summary report.</p> <p>For 4.6.6: 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 1).</p> <p><u>Guidance:</u> Growers should apply measures to avoid the development of resistance such as pesticide rotations. Any use of pesticides should be justified. (Refer to Integrated Management Strategies for Oil Palm, CABI, April, 2011). Pesticides usage should be according to the IPM plan. Storage of pesticides should follow best practice guidelines as prescribed in the FAO International Code of Conduct on the distribution and use of pesticides.</p> <p>Pesticides that are categorized as WHO Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, should not be used except in specific situations allowed by the national best practice guidelines or where these pesticides are the only available means of control and that the dosage rate does not exceed the LD50 limit. This must be proven.</p> <p>Records of pesticides use including active ingredients, their LD50, area treated, quantity used per ha and number of applications should be kept.</p> <p>Major producers should inform the NAFDAC and the Federal Ministry of Environment when in possession of obsolete chemicals.</p> <p>To import chemicals the scheme managers must obtain NAFDAC permit.</p> <p>Material Safety Data Sheets (MSDS) of all chemicals used, need to be available on site</p> <p>Smallholder Guidance</p>
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		<p>4.6.1 Group Manager to develop manual for pest & chemical use and relevant training.</p> <p>4.6.11 Group Managers to monitor occurrence of illnesses and health conditions of members and their workers that are handling agrochemicals, to identify needs for medical check-up.</p> <p>4.6.3 ; 4.6.4 ; 4.6.7 ; 4.6.8 4.6.9 are the responsibility of the Group Manager.</p> <p>For 4.6.2 ; 4.6.5 ; 4.6.6 ; 4.6.10 ; 4.6.12 Group Manager has oversight responsibility. Justification of all agrochemicals (pesticides and herbicides).</p> <p>Applicable to all Groups regardless of size but the details will vary depending on the size of the Group and the complexity of operations.</p> <p>Some Groups may opt to be pesticide free. If this is the case the Group Manager should write a simple explanation stating this and the reasons.</p> <p>Group Managers should be able to:</p> <ul style="list-style-type: none"> • List all chemicals used in the Group. • Identify what weeds and pests are present. • Explain why they need to be controlled. • List what are the appropriate agrochemicals for control of each weed and pest. • Know the active ingredient and the toxicity classification. • List alternative methods of control such as mechanical. Justify why alternatives are not used. • Include a statement on when and why aerial applications are used (if applicable). • Justify the use of each chemical. • Demonstrate how the Group ensures members and workers (if applicable) are properly trained and supervised. • Show how chemicals are stored properly. • Prove that MSDS leaflets are available for all workers and supervisors. Take into account literacy levels and appropriateness of information. • List what Personal Protective Equipment is needed (link to 4.7.) including how it is replenished. • Explain how and where empty containers are disposed of.
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		<ul style="list-style-type: none"> • Explain how, where and when medical check-ups are performed and why, including how the results of medical check-ups are used to protect workers. • Provide a written statement on ‘No work with pesticides shall be undertaken by pregnant or breastfeeding women’ and explain how this is controlled. • Keep records of pesticides used within the Group. <p>Write a simple procedure entitled: “Use of Pesticides”.</p> <ul style="list-style-type: none"> • For each chemical used state why it is used. • Include the above elements in Group training and place emphasis in implementing safety. <p>Issue Attendance certificates for all training and record separately who was present and when the training was held along with the subject of the training.</p> <p>Develop a mechanism of feedback from the individual farms and subsequently analyse the data to improve performance.</p> <p>Points of note:</p> <ul style="list-style-type: none"> • Chemical store: should have emergency showers; first aid kit, spill kits, be lockable and signage present. • Consider mixing herbicides at a central point and distributing in 25 litre containers. • Never mix near streams. • Consider Ultra Low Volume (Controlled Droplet) application. • Diagrams and photographs are best suited to explain many of these elements.
<p>4.7</p>	<p>An occupational health and safety plan is documented, effectively communicated and implemented.</p>	<p><u>Indicator 4.7.1:</u></p> <ul style="list-style-type: none"> • A health and safety policy shall be in place. A health and safety plan covering all activities shall be documented and implemented, and its effectiveness monitored. <p>⇒ MAJOR</p> <p><u>Indicator 4.7.2:</u></p> <ul style="list-style-type: none"> • All operations where health and safety is an issue shall be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers.

		<p>⇒ MAJOR</p> <p><u>Indicator 4.7.3:</u></p> <ul style="list-style-type: none"> All workers involved in the operations shall be adequately trained in safe working practices (see also criterion 4.8). Adequate and appropriate protective equipment shall be available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, harvesting and if it is used, burning. <p>⇒ MAJOR</p> <p><u>Indicator 4.7.4:</u></p> <ul style="list-style-type: none"> The responsible person/persons for Occupational Health and Safety shall be identified. There shall be records of regular meetings between the responsible person/s and workers. Concerns of all parties about health, safety and welfare shall be discussed at these meetings, and issue raised shall be recorded. <p>⇒ MAJOR</p> <p><u>Indicator 4.7.5:</u></p> <ul style="list-style-type: none"> Accident and emergency procedures shall exist and instructions shall be clearly understood by all workers. Accident procedures shall be available in the appropriate language of the workforce. Assigned operatives trained in First Aid should be present in both field and other operations and first aid equipment shall be available at worksites. Records of all accidents shall be kept and periodically reviewed. <p>⇒ MINOR</p> <p><u>Indicator 4.7.6:</u></p> <ul style="list-style-type: none"> All workers shall be covered with medical care (i.e. the National Health Insurance Scheme or any other suitable scheme), and covered by group accident insurance <p>⇒ MINOR</p>
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		<p><u>Indicator 4.7.7:</u></p> <ul style="list-style-type: none"> Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics <p>⇒ MINOR</p> <p><u>Guidance:</u> Growers and millers should ensure that the workplaces, machinery, equipment, transport and processes under their control are safe and without undue risk to health. Growers and millers should ensure that the chemical, physical and biological substances and agents under their control are without undue risk to health when appropriate measures are taken. A safe and healthy working environment should be provided for all workers, whether they are employees or contractors, and visitors. The health and safety plan should also reflect guidance in ILO convention 184 and relevant policies (see Annex 2).</p> <p>Smallholder Guidance</p> <p>Group Manager shall conduct a risk assessment in collaboration with members.</p> <p>Based on the identified risks, an Occupational Health and Safety policy and/or plan shall be documented and implemented, including the need for medical insurance for workers appropriate to scale.</p> <p>Group Managers shall develop OHS / First Aid manual and distribute to all individual members.</p> <p>Group Manager shall hold regular training based on Group OHS / First Aid manual for members and/or workers.</p> <p>Group Manager shall record members' accidents on the farm.</p> <p>Group Manager reviews the manual periodically.</p>
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		Appropriate to scale, consider forming an Occupational Health Committee.
4.8	All staff, workers, smallholders and contract workers are appropriately trained.	<p><u>Indicator 4.8.1:</u></p> <ul style="list-style-type: none"> • A documented training programme that includes regular assessment of training needs and covers all aspects of the RSPO Principles and Criteria shall be in place. <p>⇒ MAJOR</p> <p><u>Indicator 4.8.2:</u></p> <ul style="list-style-type: none"> • Records of training for employees are maintained. <p>⇒ MINOR</p> <p>Guidance: Workers should be adequately trained on: the health and environmental risks of pesticides exposure; recognition of acute and long-term exposure symptoms, ways to minimize exposure to workers and their families; international and national instruments or regulations that protect workers' health.</p> <p>The training programme should include productivity and best management practice, and be appropriate to the scale of the organization.</p> <p>Contract workers should be selected for their ability to fulfil their jobs and responsibilities in accordance with documented procedures, and in compliance with the requirements of the RSPO Principles, Criteria Indicators and Guidance.</p> <p>Smallholder Guidance</p> <p>Group Manager shall ensure that all members are trained on the RSPO P&C and records of such training shall be kept.</p> <p>Appropriate to scale, Group Manager shall prepare a training plan.</p>

		<p>Appropriate to scale, training records shall be kept.</p> <p>Depending on the size and the complexity of operations, the Group Manager should conduct training needs assessment.</p>
Principle 5: Environmental responsibility and conservation of natural resources and biodiversity		
NO.	PRINCIPLES AND CRITERIA	INDICATORS /GUIDANCE
5.1	<p>Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continuous improvement.</p>	<p><u>Indicator 5.1.1:</u></p> <ul style="list-style-type: none"> • Documented Environmental Impact Assessment Report (according to Environmental Assessment Regulations, No 86, 1992 of the Federal Ministry of Environment and revised editions). <p>⇒ MAJOR</p> <p><u>Indicator 5.1.2:</u></p> <ul style="list-style-type: none"> • Where the identification of impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a comprehensive management plan. The management plan shall identify the responsible person/persons). <p>⇒ MINOR</p> <p><u>Indicator 5.1.3:</u></p> <p>This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two years to reflect the results of monitoring where there are operational changes that may have positive and negative environmental impacts</p> <p>⇒ MINOR</p>

		<p><u>Guidance:</u> Growers and Millers should have documented Environmental Impact Assessment report which should cover the following activities, where they are undertaken, but not limited to:</p> <ul style="list-style-type: none"> - Building new roads, processing mills or other infrastructure. - Putting in drainage or irrigation system. - Replanting or expansion of planting area. - Management of mill effluents (see criterion 4.4). - Clearing of remaining natural vegetation. - Management of pests and diseased palms by controlled burning (Criteria 5.5 and 7.7).- Buffer zones <p>In addition to this, a comprehensive management plan to mitigate identified practices that require changes should be developed and a responsible person or persons identified. The management plan should incorporate a monitoring protocol, adaptive operational changes, which should be implemented to monitor the effectiveness of the mitigation measures. The plan should be reviewed as a minimum every three years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.</p> <p>Impact assessment may be a non-restrictive format e.g. ISO 14001 EMS and/or EIA report incorporating elements spelt out in this criterion and raised through stakeholder consultation. Documented management action plans addressing issues raised from the above impact assessment, which is monitored annually.</p> <p>Environmental impacts should be identified on soil and water resources (see Criterion 4.3 and 4.4), air quality, greenhouse gases (Criterion 5.6), biodiversity and ecosystems, and people’s amenity (see criterion 6.1) both on and off-site.</p> <p>Stakeholder consultation has a key role in identifying environmental impacts. The inclusion of consultation should result in improved processes to identify impacts and to develop any required mitigation measures.</p> <p>It is important that where activities, techniques or operations change over time, identifications of impacts, and any required mitigation, are updated as necessary.</p>
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5.2	The status of rare, threatened or endangered species and other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be	<p><u>Indicator 5.2.1:</u></p> <ul style="list-style-type: none"> • Information shall be collated in a High Conservation Value (HCV) assessment that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors). <p>⇒ MAJOR</p> <p><u>Indicator 5.2.2:</u></p>

	<p>identified and operations managed to best ensure that they are maintained and/or enhanced.</p>	<ul style="list-style-type: none"> • Where rare, threatened or endangered (RTE) species, or HCVs are present or are affected by plantation or mill operations, appropriate measures that are expected to maintain and /or enhance them shall be implemented through a management plan. • Outcomes of monitoring shall be fed back into the management plan. <p>⇒ MAJOR</p> <p><u>Indicator 5.2.3:</u></p> <ul style="list-style-type: none"> • A documented program in place to regularly educate workforce about the status of RTE species and the appropriate disciplinary measures shall be instigated in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect, tamper with or kill these species <p>⇒ MINOR</p> <p><u>Indicator 5.2.4:</u></p> <ul style="list-style-type: none"> • Documented and reported evidence of monitoring and updating the status of HCVs and RTE species affected by plantation or mill operations. <p>⇒ MINOR</p> <p><u>Indicator 5.2.5:</u></p> <ul style="list-style-type: none"> • Evidence of a negotiated agreement that safeguards both HCVs and rights of local communities where HCV set-asides with existing rights of local communities have been identified. <p>⇒ MINOR</p> <p>Specific Guidance</p> <p><i>For 5.2.1 This information will cover:</i></p> <ul style="list-style-type: none"> • <i>Presence of protected areas that could be significantly affected by the grower or miller</i>
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		<ul style="list-style-type: none"> • <i>Conservation status (i.e. IUCN Status), legal protection, population status and habitat requirements of rare, threatened, or endangered (RTE) species that could be significantly affected by the grower or miller</i> • <i>Identification of HCV habitats, such as rare and threatened ecosystems, that could be significantly affected by the grower or miller.</i> <p><i>For 5.2.2 These measures will include;</i></p> <ul style="list-style-type: none"> • <i>Ensuring that any legal requirements relating to the protection of the species or habitat are met;</i> • <i>Avoiding damage to and deterioration of HCV areas are connected, corridors are conserved, and buffer zones around HCV areas are created;</i> • <i>Controlling an illegal or inappropriate hunting, fishing or collecting activities, and developing responsible measures to resolve human-wildlife conflicts (e.g. incursions by elephants)</i> <p><i>For 5.2.5 If a negotiated agreement cannot be reached, there should be evidence of sustained efforts to achieve such an agreement. These could include third party arbitration (See Criteria 2.3, 6.3, 6.4)</i></p> <p><u>Guidance:</u> Growers and Millers should conduct High Conservation Value (HCV) assessment to identify the presence and status of rare, threatened or endangered species that could be significantly affected by their operations. The HCV assessment should cover the presence of protected areas that could be significantly affected by the grower or miller, conservation status (e.g. IUCN status), legal protection, population status and habitat requirements of rare, threatened, or endangered species that could be significantly affected by operations and Identification of high conservation value habitats, such as rare and threatened ecosystems, that could be significantly affected.</p> <p>This information gathering should include checking available biological records and consultation with relevant government departments, research institutes and interested NGOs if appropriate. Depending on the biodiversity values that are present, and the level of available information, some additional field survey work may be required.</p>
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		<p>Where rare, threatened or endangered (RTE) species or HCVs are present or are affected by operations, a management plan to maintain or enhance these species should be developed. The management plan should include appropriate measures to;</p> <ul style="list-style-type: none"> - ensure that any legal requirements relating to the protection of the species or habitat are met; - avoid damage to and deterioration of HCV habitats by ensuring that HCV areas are connected, corridors are conserved, and buffer zones around HCV areas are created; - control any illegal or inappropriate hunting, fishing or collecting activities and - develop responsible measures to resolve human-wildlife conflicts. <p>Growers and millers should have a documented program to regularly educate the workforce about the status of the RTEs and the sanctions when workers are found to capture, kill, collect or harm these species.</p> <p>Where HCV set-asides with existing rights of local communities are identified, there shall be evidence of negotiated agreement to safeguard both HCVs and communities. If negotiated agreement cannot be reached, there should be evidence of sustained efforts to achieve such an agreement. These could include third party arbitration (see Criteria 2.3, 6.3 and 6.4)</p> <p>Smallholder Guidance</p> <p>Group Managers shall develop action plans and SOPs (e.g. for RTE species, riparian areas) based on the HCV management and monitoring plan.</p> <p>Group Managers shall implement a mechanism for individual members to report on threats to HCVs.</p> <p>In cases where there is an overlap of local community rights and HCV areas, the Group Manager shall initiate the negotiation of an agreement that optimally safeguards both the HCVs and these rights.</p> <p>Group Manager conducts training for their individual members and their workers about the status of HCV and RTE species and the applicable disciplinary measures.</p>
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		<p>The endorsed HCV Guidance for Smallholders (currently under development) should be referred to for further guidance.</p> <p>Group Managers should ensure that stakeholder consultations are carried out during the HCV assessment.</p> <p>Tools available for monitoring threats to HCVs (e.g. the SMART tool) may be utilised.</p> <p>Group Managers may coordinate with respective government agencies and NGOs to confirm the status of RTE species (national and international) and improve their protection (including mitigation of human-wildlife conflicts).</p>
5.3	Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.	<p><u>Indicator 5.3.1:</u></p> <ul style="list-style-type: none"> • All waste products and sources of pollution shall be identified and documented. <p>⇒ MAJOR</p> <p><u>Indicator 5.3.2:</u></p> <ul style="list-style-type: none"> • Evidence of responsible disposal of all chemicals and their containers. <p>⇒ MAJOR</p> <p><u>Indicator 5.3.3:</u></p> <ul style="list-style-type: none"> • A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented. <p>⇒ MINOR</p> <p><u>Guidance:</u> Growers and Millers should have waste management plan. The plan should include measures for: - Identifying and monitoring sources of waste and pollution. - Improving the efficiency of resource utilization and recycling potential wastes as nutrients or converting them into value-added products (e.g. through animal feeding programmes).</p>

		<p>- Appropriate management and disposal of hazardous chemicals and their containers. Surplus chemical containers should be disposed of or cleaned (e.g. washing of fertilizer bags for re-use) in an environmentally and socially responsible way (e.g. returned to the vendor such that there is no risk of contamination of water sources or to human health. The disposal instructions on manufacturer’s labels should be adhered to.</p> <p>Use of open fire for waste disposal should be avoided. Untreated waste water should not be discharged directly to water bodies (See Criterion 4.4).</p> <p>Smallholder Guidance</p> <p>Appropriate to scale, the Group Manager shall ensure that there is a documented waste management and disposal plan in place.</p> <p>Group Manager shall communicate to all members on the waste management and disposal plan.</p> <p>The Group Manager shall ensure that all chemical containers are properly handled and disposed The Group Manager shall ensure that the members are trained on waste management and disposal. Records of such training shall be kept.</p> <p>The plan should include identifying, monitoring sources of waste and pollution; improving efficiency of resource utilisation; appropriate management; disposal of hazardous chemicals and their containers as well as mitigation measures.</p> <p>Where possible, burning of domestic waste should be avoided.</p> <p>Appropriate to scale, for instance at workshops, it is recommended to have an interception of oil traps as part of their waste management plan.</p>
5.4	Efficiency of fossil fuel use and the use of renewable energy is optimized.	<p><u>Indicator 5.4.1:</u></p> <ul style="list-style-type: none"> • A plan for improving efficiency of the use of fossil fuels and to optimize renewable energy shall be in place and monitored. <p>⇒ MINOR</p>

		<p><u>Guidance:</u> Growers and millers should assess the direct energy use of their operations, including fuel and electricity, and energy efficiency of their operations. This should include estimation of fuel use by on-site contract workers, including all transport and machinery operations.</p> <p>Renewable energy use per tonne of Crude Palm Oil (CPO) or palm product in the mill should be monitored. Direct fossil fuel use per tonne of CPO or FFB should also be monitored. Energy efficiency should be taken into account in the construction or upgrading of all operations.</p> <p>Records on energy generation and use are to be maintained.</p> <p>The feasibility of collecting and using biogas should be studied if possible.</p> <p>Smallholder Guidance</p> <p>Appropriate to scale, Group Manager shall have a plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy. The plan should include the assessment of direct energy use of their operation including fuel, electricity and on site machineries.</p> <p>The Group Manager should provide support to individual members to implement the actions as outlined in the plan.</p>
5.5	Use of fire for preparing land or replanting is avoided, except in specific situations, as identified in the ASEAN guidelines or other regional best practice.	<p><u>Indicator 5.5.1:</u></p> <ul style="list-style-type: none"> • There shall be no land preparation by burning, other than in specific situations as identified in the “Guidelines for the implementation of the ASEAN Policy on Zero Burning” 2003, or comparable guidelines in other region such as the National Environmental (Control of Bush/Forest Fire and Open Burning) Regulations, S. I. No. 15 of 2011. The principal thrust of these Regulations is to prevent and minimize the destruction of ecosystem through fire outbreak and burning of any material that may affect the health of the ecosystem through the emission of hazardous air pollutants. <p>⇒ MAJOR</p>

		<p><u>Indicator 5.5.2:</u> Where fire has been used for preparing land for replanting, there shall be evidence of prior approval of the controlled burning as specified in “Guidelines for the implementation of the ASEAN Policy on Zero Burning” 2003, or comparable guidelines in other regions</p> <p>⇒ MINOR</p> <p><u>Guidance:</u> Fire should be used only where an assessment has demonstrated that it is the most effective and least environmentally damaging option for minimizing the risk of severe pest and disease outbreaks, and with evidence that fire-use is carefully controlled.</p> <p>Smallholder Guidance</p> <p>5.5.1 The Group Manager shall:</p> <ul style="list-style-type: none"> • Provide evidence of a no use of fire policy in group SOPs. • Demonstrate that individual farms have been visited for this requirement. • Explain how all the above is socialised to individual members of the Group. <p>5.5.2 The Group Manager shall:</p> <ul style="list-style-type: none"> • Demonstrate that any use of fire by any individual member has been assessed to be justified under the ASEAN guidelines ASEAN Policy on Zero Burning’ 2003. • Provide written approval from the relevant environment authority on the use of fire in certain situations as prescribed by the ASEAN guidelines. <p>Applicable to all Groups</p> <p>Cross reference into the SOP manual (4.1). Write a simple policy entitled: “No burn policy and guidelines” Include all the above points.</p>
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		<p>Link it with the training plan (4.8) and consider if any of the impacts in waste disposal (identified in 5.3) need to be mentioned.</p> <p>Include the above elements in Group training and place emphasis in implementing this policy and preventative plans.</p> <p>Provide and record training on this topic.</p> <p>Develop a mechanism of feedback from the individual farms and subsequently analyse the data to improve performance.</p> <p>Ensure that all office staff are aware of the requirement.</p>
5.6	<i>Preamble</i>	<p><i>Growers and millers commit to reporting on operational greenhouse gas emissions. However, it is recognised that these significant emissions cannot be monitored completely or measured accurately with current knowledge and methodology. It is also recognised that it is not always feasible or practical to reduce or minimise these emissions.</i></p> <p><i>Growers and millers commit to an implementation period until the end of December 2016 for promoting best practices in reporting to the RSPO, and thereafter to public reporting. Growers and millers make this commitment with the support of all other stakeholder groups of the RSPO.</i></p>
5.6	Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.	<p><u>Indicator 5.6.1:</u></p> <ul style="list-style-type: none"> • An assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent (see Criterion 4.4). <p>⇒ MAJOR</p> <p><u>Indicator 5.6.2:</u></p> <ul style="list-style-type: none"> • Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimise them implemented. <p>⇒ MAJOR</p>

		<p><u>Indicator 5.6.3:</u></p> <ul style="list-style-type: none"> • A monitoring system shall be in place, with regular reporting on progress for these significant pollutants and emissions from estate and mill operations, using appropriate tools. <p>⇒ MINOR</p>
		<p><u>Specific Guidance</u></p> <p><i>Growers and Millers should have Environmental Management Plan (National Environmental (Food, Beverages and Tobacco Sector) Regulations, 2009. S. I. No. 33) to reduce pollution, including greenhouse gases.</i></p> <p><i>For 5.6.2: Plans will include objectives, targets and timelines. These should be responsive to context and any changes should be justified.</i></p> <p><i>For 5.6.2 and 5.6.3: The treatment methodology for POME will be recorded.</i></p> <p><i>For 5.6.3 (GHG): For the implementation period until December 31st 2016, an RSPO-endorsed modified version of PalmGHG which only includes emissions from operations (including land use practices) can be used as a monitoring tool.</i></p> <p><i>For 5.6.3: In addition, during the implementation period, growers will start to assess, monitor and report emissions arising from changes in carbon stocks within their operations, using the land use in November 2005 as the baseline. The implementation period for Indicator 5.6.3 is the same implementation period for Criterion 7.8.</i></p> <p><i>During the implementation period, reporting on GHG will be to a relevant RSPO working group (composed of all membership categories) which will use the information reported to review and fine tune the tools, emission factors and methodologies, and provide additional guidance for the process. Public reporting is desirable, but remains voluntary until the end of the implementation period.</i></p>

		<p><i>During the implementation period the RSPO working group will seek to continually improve PalmGHG, recognising the challenges associated with measuring GHG and carbon stock.</i></p> <p><i>PalmGHG or RSPO-endorsed equivalent will be used to assess, monitor and report GHG emissions. Parties seeking to use an alternative to PalmGHG will have to demonstrate its equivalence to the RSPO for endorsement.</i></p> <p><i>Guidance</i> <i>Where practically feasible, operations should follow best management practices to measure and reduce emissions. Advice on this is available from the RSPO.</i></p> <hr/> <p>Smallholder Guidance</p> <p>Note on smallholder context: The RSPO Emissions Reduction Working Group (ERWG) and the RSPO SHWG agree that there should be a simplified mechanism for smallholders for compliance on the GHG matters and that smallholders should not be overburdened due to their limited capacity. Further details will be developed.</p> <p>The Group Manager shall:</p> <ul style="list-style-type: none"> • List significant pollutants and identify sources of emissions. • Identify options to reduce pollutants and emissions and consider whether the group can implement any of these. • Based on the above, where possible, mitigation measures shall be developed and implemented. • Socialise the information to the group members. <p>Issue attendance certificates for all training and record separately who was present and when the training was held along with the subject of the training.</p> <p>Establish if generators are used on farms and list them.</p> <p>Develop a mechanism of feedback from the individual farms if generators are used.</p>
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		Link it to the Environmental impacts document (5.1) and to the waste management document (5.3). There is no need for a separate document.
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Principle 6: Responsible consideration of employees and of individuals and communities affected by growers and millers.

NO.	PRINCIPLES AND CRITERIA	INDICATORS /GUIDANCE
6.1	Aspects of planting and mill management, including replanting, that have social impacts are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continuous improvement.	<p><u>Indicator 6.1.1:</u></p> <ul style="list-style-type: none"> • A documented social impact assessment including records of meetings. <p>⇒ MAJOR</p> <p><u>Indicator 6.1.2:</u></p> <ul style="list-style-type: none"> • Evidence that social impact assessment has been done with the participation of affected parties. <p>⇒ MAJOR</p> <p><u>Indicator 6.1.3:</u></p> <ul style="list-style-type: none"> • Plans for avoidance or mitigation of negative impacts and promotion of the positive ones, and monitoring of impacts identified, shall be developed in consultation with the affected parties, documented and timetabled, including responsibilities for implementation. <p>⇒ MAJOR</p> <p><u>Indicator 6.1.4:</u></p> <ul style="list-style-type: none"> • The plans shall be reviewed as a minimum once every two years and updated as necessary, in those cases where the review has concluded that changes should be made to current practices. There shall be evidence that the review includes the participation of affected parties. <p>⇒ MINOR</p> <p><u>Indicator 6.1.5:</u></p> <ul style="list-style-type: none"> • Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme).

		<p>⇒ MINOR</p> <p>Guidance Growers and Millers should carry out Social Impact Assessment to identify aspects of plantation and mill management that have social impacts (both positive and negative). The assessment should be participatory and should include all affected parties, including women and migrant workers. Participation in this context means that affected parties 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. The involvement of independent experts should be sought where this is considered necessary to ensure that all impacts (both positive and negative) are identified. Potential social impacts may result from activities such as: building new roads, processing mills or other infrastructure; expansion of planting area; disposal of mill effluents; clearing of remaining natural vegetation; changes in number of employees or terms of employment as well as smallholder schemes.</p> <p>Plantation and mill management may have social impacts (positive or negative) on factors such as;</p> <ul style="list-style-type: none"> • Access and use rights; • Economic livelihoods (e.g. paid employment) and working conditions; • Subsistence activities; • Cultural and religious values; • Health and educational facilities; • Other community values, resulting from changes such as improved transport/communication or arrival of substantial migrant labour force <p>The review can be done (once every two years) internally or externally.</p> <p>The Social Impact Assessment done for new projects should be documented and records of meetings, stakeholder consultations, and list of names of affected parties that participated in the assessment should be kept. For existing projects, a documented system of interactions with the communities involved (impacts are identified by this system) is to be put into place</p>
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		<p>For new projects, there should be a documented implementation and monitoring work plan to avoid or mitigate impacts identified during the assessment. The work plan should include the roles and responsibilities of all relevant parties. The work plan should be prepared in collaboration with all affected parties and reviewed and updated when necessary. The review can be done internally or by external consultants. Particular attention should be given to impact of smallholder schemes (where the plantation includes such a scheme).</p> <p>The review will be done (once every two years) internally or externally.</p> <p>Smallholder Guidance</p> <p>Group Managers shall identify all activities that have social impacts with the participation of affected parties.</p> <p>Group Managers shall develop a mitigation plan (with clear timetable) to reduce social risks and review the plan every two years in consultation with the affected parties.</p> <p>Group Managers shall organise training for members on social risks and mitigation measures.</p> <p>Group Managers shall monitor implementation of mitigation plan.</p> <p>Applicable to all Groups</p> <p>Group Managers should have knowledge on conflict resolution mechanisms.</p> <p>Group Managers should facilitate discussion amongst individual members about shared responsibilities at the landscape level and how to manage issues (e.g. water, waste management etc.) and who are responsible for implementation.</p> <p>Group Managers should ensure that activities of individual members should not be in conflict with basic human rights principles.</p>
6.2	There are open and transparent methods for	<p><u>Indicator 6.2.1:</u></p> <ul style="list-style-type: none"> • Consultation and communication procedures shall be documented. .

	<p>communication and consultation between growers and/or millers, local communities and other affected or interested parties.</p>	<p>⇒ MAJOR</p> <p><u>Indicator 6.2.2:</u></p> <ul style="list-style-type: none"> • A management official responsible for these issues shall be nominated. <p>⇒ MINOR</p> <p><u>Indicator 6.2.3:</u></p> <ul style="list-style-type: none"> • A list of stakeholders, records of all communication, including confirmation of receipt and that efforts are made to ensure understanding by affected parties, and records of actions taken in response to input from stakeholders, shall be maintained. <p>⇒ MINOR</p> <p><u>Guidance:</u> Decisions, having an impact on affected parties, which the growers or millers are planning to make, should be made clear, so that local communities and other interested parties understand the purpose of the communication and/or consultation. Millers and growers should communicate through representatives freely elected by their communities who will in turn make the information known to their communities.</p> <p>Communication and consultation mechanisms should be agreed in collaboration with local communities and other affected or interested parties. These should consider the use of existing local mechanisms and languages. Consideration should be given to the existence/formation of a multi-stakeholder forum. Consideration should be given to differential access to information of women as compared to men, village leaders as compared to day labourers, new versus established community groups, and different ethnic groups.</p> <p>Consideration should be given to involving third parties, such as disinterested community groups, NGOs, or government (or a combination of these), to facilitate smallholder schemes and communities, and others as appropriate, in these communications.</p>
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		<p>Smallholder Guidance</p> <p>The Group Manager shall develop a documented procedure for consultation and communication with local communities and other affected or interested parties. (6.2.1)</p> <p>The Group Manager shall ensure that individual group members are informed of the consultation and communication procedure.</p> <p>The Group Manager shall nominate an official responsible for these issues (6.2.2)</p> <p>The Group Manager shall make a list of stakeholders or construct a “stakeholder register” and keep records of all communication and actions taken. (6.2.3)</p> <p>The Group Manager should consider distributing copies of the procedure and maintaining records of socialisation/training provided to members.</p>
6.3	There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all parties.	<p><u>Indicator 6.3.1:</u></p> <ul style="list-style-type: none"> • The system, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistleblowers, where requested. <p>⇒ MAJOR</p> <p><u>Indicator 6.3.2</u></p> <ul style="list-style-type: none"> • Documentation of both the process by which a dispute was resolved and the outcome shall be available <p>⇒ MAJOR</p> <p>Specific Guidance: For 6.3.1: The system should aim to reduce the risks of reprisal.</p> <p><u>Guidance:</u> <u>See also to Criterion 1.2</u></p> <p>All affected parties should agree with the dispute resolution mechanisms.</p>

		<p>Dispute resolution mechanisms should be established through open and consensual agreements with relevant affected parties.</p> <p>Complaints may be dealt with by mechanisms such as Joint Consultative Committees (JCC), with gender representation. Grievances may be internal (employees) or external. Unless there are compelling reasons, the identity of complainants and whistle blowers must not be disclosed. Dispute resolution documents should remain confidential between the affected parties and the miller/grower.</p> <p>Smallholder Guidance</p> <p>The Group Manager shall have a documented grievance mechanism in place.</p> <p>The procedure shall provide documentation of both how the process of the dispute was resolved and the outcome.</p> <p>The Group Manager shall ensure members are familiar with the grievance procedure.</p> <p>Where necessary, the Group Manager shall support members to put in place documented grievance mechanism.</p> <p>The system should aim to reduce the risks of reprisal.</p> <p>Where a resolution is not found mutually, a complaint can be brought to the attention of the RSPO Dispute Settlement Facility, then the Complaints Panel.</p>
6.4	Any negotiations concerning compensation for loss of legal or customary rights are dealt with through a documented system that enables indigenous people, local communities and other stakeholders to	<p><u>Indicator 6.4.1:</u></p> <ul style="list-style-type: none"> • A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be in place. <p>⇒ MAJOR</p> <p><u>Indicator 6.4.2:</u></p> <ul style="list-style-type: none"> • A procedure for calculating and distributing fair compensation (monetary or otherwise) shall be established and implemented, monitored and evaluated in a participatory way,

	<p>express their views through their own representative institutions.</p>	<p>and corrective actions taken as a result of this evaluation. This procedure shall take into account: gender differences in the power to claim rights, ownership and access to land; differences of transmigrants and long-established communities; and differences in ethnic group's proof of legal versus communal ownership of land.</p> <p>⇒ MINOR</p> <p><u>Indicator 6.4.3:</u></p> <ul style="list-style-type: none"> • The process and outcome of any negotiated agreements and compensation claims shall be documented, with evidence of the participation of affected parties, and made publicly available. <p>⇒ MAJOR</p>
		<p><u>Specific Guidance</u></p> <p><i>For 6.4.2 Companies should make best efforts to ensure that equal opportunities have been provided to both female and male heads of households to hold land titles in smallholder schemes</i></p>
		<p><u>Guidance:</u> This criterion should be considered in conjunction with criterion 2.3 and the associated guidance.</p> <p>The procedure for calculating and distributing fair compensation takes into account gender differences in the power to claim rights, ownership and access to land; difference of transmigrates and long-established communities; differences in ethnic groups' proof of legal versus communal ownership of land. For land use and compensation issues, recognition should be given both to customary ownership right and land use right. Customary ownership and use right can be own as a whole or owned by different people/groups. The compensation will be split in case of split rights.</p> <p>Compensation (monetary or otherwise) should be timely.</p>

		<p>Smallholder Guidance</p> <p>6.4.1 & 6.4.2: The Group Manager develops a procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation and a procedure for calculating and distributing fair compensation.</p> <p>6.4.3: The Group Manager documents the process and outcome of any negotiated agreements and compensation claims with evidence of the participation of affected parties, and makes this publicly available.</p> <p>The Group Manager assists individual group members in these situations upon request by the member.</p> <p>The Group Managers should analyse the following:</p> <ul style="list-style-type: none"> • What procedure have you used to identify legal and customary rights? • How do you identify any person entitled to compensation? • Where are agreements documented and how are they made publicly available? <p>The Group Manager could consider referring to competent local authorities or organisations if mediation is needed or establish a system for this purpose.</p>
6.5	Pay and conditions for employees and for employees of contractors always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.	<p><u>Indicator 6.5.1:</u></p> <ul style="list-style-type: none"> • Documentation of pay and conditions shall be available. <p>⇒ MAJOR</p> <p><u>Indicator 6.5.2:</u></p> <ul style="list-style-type: none"> • Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g., working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) are available in the languages understood by the workers or explained carefully to them by a management/union official.

		<p>⇒ MAJOR</p> <p><u>Indicator 6.5.3:</u></p> <ul style="list-style-type: none"> • Growers and millers provide adequate housing, water supplies, medical, educational and welfare amenities to national standard or above, where no such public facilities are available or accessible. <p>⇒ MINOR</p> <p><u>Indicator 6.5.4:</u></p> <ul style="list-style-type: none"> • Growers and millers shall make demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food. <p>⇒ MINOR</p> <p><u>Guidance:</u></p> <p>Reference to the Labour Act, Chapter 198, Laws of the Federation of Nigeria (1990). Reference to the Immigration Act, Chapter 171, Laws of the Federation of Nigeria (1990)</p> <p>Where temporary, part-time or migrant workers are employed, a special labour policy should be established. This labour policy would state the non-discriminatory practices; no contract substitution; post arrival orientation program to focus especially on language, safety, labour laws, cultural practices etc.; decent living conditions to be provided. Migrant workers are legalized, and a separate employment agreement should be drawn up to meet immigration requirements for foreign workers, and international standards. Deductions do not jeopardize a decent living wage.</p> <p>Forced labour is not used (see ILO conventions 29 and 105).</p> <p>Smallholder Guidance Appropriate to scale, the Group Manager shall ensure that members comply with labour laws and conditions (6.5.2, 6.5.3 & 6.5.4).</p> <p>The Group Manager shall be aware of the legal or industry standards minimum wage.</p>
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		Relevant National laws should be considered.
6.6	The employer respects the right 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.	<p><u>Indicator 6.6.1:</u></p> <ul style="list-style-type: none"> • A published statement in English (explained in local languages) recognizing freedom of association shall be available. <p>⇒ MAJOR</p> <p><u>Indicator 6.6.2:</u></p> <ul style="list-style-type: none"> • Documented minutes of meetings with main trade unions or workers representatives. <p>⇒ MINOR</p> <p><u>Guidance:</u> The right of employees and contractors to form associations and bargain collectively with their employer should be respected, in accordance with Conventions 87 and 98 of the International Labour Organisation.</p> <p>Labour laws and union agreements or in their absence, direct contracts of employment detailing payments and other conditions are available in the languages understood by the workers or explained carefully to them by a management official. Minutes of meetings of unions amongst themselves should be kept by the unions. If and when unions request meetings between growers/millers and union, minutes should be kept by the grower/miller.</p> <p>Smallholder Guidance The Group Manager should ensure members published a statement in local languages recognising freedom of association (to form and join trade unions) (6.6.1), if applicable.</p> <p>Where applicable, the Group Manager should ensure members allow their workers to form association or join trade unions.</p>
6.7	Children are not employed or exploited.	<p><u>Indicator 6.7.1:</u></p> <ul style="list-style-type: none"> • Documentary evidence that minimum age requirements are met.

		<p>⇒ MAJOR</p> <p><u>Guidance:</u> Growers and millers should clearly define the minimum working age, together with working hours.</p> <p>Refer to the Nigeria Labour Act, Chapter 198, part III ‘ Special classes of worker and miscellaneous Special provisions’, 59 to 64 (young persons).</p> <p>Only workers above the minimum legal age (16 years) may be employed, with the exception of family farms. The Nigerian Labour Act Chapter 198 (1990) prohibits hazardous work by young persons. A young person under Nigeria Act is defined thus as a person below 16 of age.</p> <p>The minimum age of workers will not be less than stated in the Children’s Act, Act 560, 1998.</p> <p>Smallholder Guidance The Group Manager shall ensure all group members and staff are aware of and implement child labour policies.</p>
6.8	Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.	<p><u>Indicator 6.8.1:</u></p> <ul style="list-style-type: none"> • A publicly available equal opportunities policy including identification of relevant/affected groups in the local environment shall be documented. <p>⇒ MAJOR</p> <p><u>Indicator 6.8.2:</u></p> <ul style="list-style-type: none"> • Evidence that employees and groups including local communities, women, and migrant workers have not been discriminated against. <p>⇒ MAJOR</p> <p><u>Indicator 6.8.3:</u></p> <ul style="list-style-type: none"> • It shall be demonstrated that recruitment selection, hiring and promotion are based on skills, capabilities, qualities, and medical fitness necessary for the jobs available.

		<p>⇒ MINOR</p> <p><u>Guidance:</u> The right of employees and contractors to form association and bargain collectively with their employer should be respected, in accordance with ILO Conventions 87 and 98.</p> <p>Job advertisements and job descriptions for new positions should be advertised both internally and externally including communities. Otherwise the mode of recruitment should be in accordance with acceptable practice adopted and documented by the Company.</p> <p>The grievance procedures detailed in criterion 6.3 apply.</p> <p>Positive discrimination to provide employment and benefits to specific communities is acceptable as part of negotiated agreements.</p> <p>Smallholder Guidance</p> <p>The Group Manager shall ensure all group members and staff are aware of this policy.</p> <p>Members shall be aware of the equal opportunities policies and implement it.</p> <p>Members should not discriminate against race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age.</p> <p>Write a policy on equal opportunities and keep records of documented evidence of awareness raising on it.</p> <p>If a complaint arises, please refer to Criterion 6.3.</p>
6.9	There is no harassment or abuse in the work place, and reproductive rights are protected.	<p><u>Indicator 6.9.1:</u></p> <ul style="list-style-type: none"> • A policy to prevent sexual and all other forms of harassment and violence shall be implemented and communicated to all levels of the workforce.

		<p>⇒ MAJOR</p> <p><u>Indicator 6.9.2:</u></p> <ul style="list-style-type: none"> • A public statement and policy to protect the reproductive rights of all, especially women implemented and communicated to all levels of work force. <p>⇒ MAJOR</p> <p><u>Indicator 6.9.3:</u></p> <ul style="list-style-type: none"> • A specific grievance mechanism which respects anonymity and protects complainants where requested shall be established and communicated to all levels of workforce. <p>⇒ MINOR</p> <p><u>Guidance:</u> Reference to Nigeria Labour Act, Chapter 198, Part III ‘Special Classes And Miscellaneous Special Provisions’, 54 to 58, (Employment of women). The National Labour Act makes provisions such as: allowing a woman employee (on medical certificate) to take her confinement 6 weeks prior delivery and to remain on confinement 6 weeks following deliver; protecting a pregnant woman from night work.</p> <p>A clear policy on Sexual Harassment and Reproductive Rights should be developed in consultation with employees, contractors and other relevant stakeholders, and the policy should be publicly available. The policy should include education for women on this policy and awareness of the workforce.</p> <p>Reproductive rights of a woman should be respected.</p> <p>Growers/millers should encourage the formation of a gender committee through the organized unions to formally address issues relating to women rights such as violence.</p> <p>Smallholder Guidance</p>
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6.10	Growers and millers deal fairly and transparently with smallholders and other local businesses.	<p><u>Indicator: 6.10.1:</u></p> <ul style="list-style-type: none"> • Current and past prices paid for FFB shall be publicly available. <p>⇒ MINOR</p> <p><u>Indicator 6.10.2:</u></p> <ul style="list-style-type: none"> • Available evidence that grower/millers have explained FFB pricing, and pricing mechanisms for FFB and inputs/services to be documented (where these are under the control of the mill or plantation). <p>⇒ MAJOR</p> <p><u>Indicator 6.10.3:</u></p> <ul style="list-style-type: none"> • Available evidence that all parties understand the contractual agreement they enter into, and that contracts are fair, legal and transparent. <p>⇒ MINOR</p> <p><u>Indicator 6.10.4:</u></p>

		<ul style="list-style-type: none"> • Agreed payments are made in a timely manner. <p>⇒ MINOR</p> <p><u>Guidance:</u> Transactions with smallholders should consider issues such as the role of middle men, transport and storage of FFB, quality and grading. Where it is not practicable to recycle wastes to smallholders, compensation for the value of the nutrients exported might be made via the FFB price.</p> <p>Smallholders must have access to the grievance procedure under criterion 6.3, if they consider that they are not receiving a fair price for FFB, whether or not middle men are involved.</p> <p>The need for a fair and transparent pricing mechanism is particularly important for smallholders who are contractually obliged to sell all FFB to a particular mill.</p> <p>If mills require smallholders to change practices to meet the RSPO criteria, consideration must be given to the costs of such changes, and the possibility of advance payments for FFB could be considered.</p> <p>Smallholder Guidance</p> <p>6.10.1: Where Group Managers sell the FFB on behalf of the group members, the Group Manager shall inform group members of the price of FFB obtained.</p> <p>6.10.2: The Group Manager shall record the general pricing mechanisms used by the purchaser/s of the FFB. The Group Manager shall record the corresponding information provided to the group members.</p> <p>6.10.3 Where Group Managers have the mandate to enter into contractual agreements on behalf of the group, the Group Manager shall inform group members about their content and make them available.</p>
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6.11	Growers and millers contribute to local sustainable development where appropriate.	<p><u>Indicator 6.11.1:</u></p> <ul style="list-style-type: none"> • Demonstrable contributions to local development that are based on the results of consultation with local communities. <p>⇒ MINOR</p> <p><u>Indicator 6.11.2:</u></p> <ul style="list-style-type: none"> • Evidence that efforts and /or resources have been allocated to improve smallholder productivity (where there are scheme smallholders) <p>⇒ MINOR</p> <p><u>Guidance:</u> Contributions to local development should be based on the results of consultation with local communities. See also criterion 6.2. Such consultation 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 and women.</p>

		<p>The local authority should be actively involved in community development projects. Where candidates for employment are of equal merit, preference should be given to members of local communities. Positive discrimination should not be recognized as conflicting with criterion 6.8.</p> <p>Where sourcing of fruit is from identified independent smallholders, efforts should be made to contribute to the improvement of their farming practices.</p> <p>Smallholder Guidance The responsibility for meeting this requirement lies with the Group Manager.</p> <p>6.11.1 Evidence of consultation with local communities and stakeholders. Where contributions have been identified as necessary based on the consultation carried out, the Group Manager shall ensure that these are implemented</p> <p>Contributions to local communities. Applicable to all Groups. Link to 1.1 and 1.2 if appropriate, ethical conduct (1.3) and stakeholders list (6.2).</p> <p>Group Managers should be able to:</p> <ul style="list-style-type: none"> • Identify who communicates with local communities to determine how you can contribute to sustainable development. • Know what are community expectations and how are these measured. • Evaluate and manage those expectations. <p>Consultation with the community is dependent on the type of group membership. For example, if a group is made up of all smallholders from the local community, then consultation may not be necessary.</p> <p>Include external communications in a simple procedure entitled: “Commitment to Transparency” (1.1).</p>
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6.12	No forms of forced labour or trafficked labour are used.	<p><u>Indicator 6.12.1:</u></p> <ul style="list-style-type: none"> • Evidence that no forms of forced labour or trafficked labour are used <p>⇒ MAJOR</p> <p><u>Indicator 6.12.2:</u></p> <ul style="list-style-type: none"> • Evidence that no contract substitution has occurred <p>⇒ MINOR</p> <p><u>Indicator 6.12.3</u></p> <ul style="list-style-type: none"> • Availability of special labour policy and procedures for temporary and migrant workers. Records of implementation shall be established and implemented. <p>⇒ MAJOR</p> <p>Specific Guidance</p> <p>For 6.12.1 Workers should enter into employment voluntarily and freely, without the threat of a penalty, and should have the freedom to terminate employment without a threat of penalty given reasonable notice or as per agreement</p> <p>For 6.12.3 The Special labour policy should include:</p> <ul style="list-style-type: none"> • Statement of the non-discriminatory practices • No contract substitution • Post-arrival orientation program to focus especially on language, safety, labour laws, cultural practices, etc. • Decent living conditions to be provided <p><u>Guidance:</u></p> <p>Workers should be allowed to enter into employment voluntarily and freely, without the threat of a penalty and should have the freedom to terminate employment without penalty when reasonable notice as per the employment agreement is given.</p>
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6.13	Growers and millers respect human rights.	<p><u>Indicator 6.13.1</u></p> <ul style="list-style-type: none"> • A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations (See Criteria 1.2 and 2.1).

		<p>⇒ ⇒ MAJOR</p> <p><u>Guidance:</u> (See also Criterion 6.3.). Reference to UN Guiding Principles on Business and Human Rights.</p> <p>A policy to respect human rights should be prepared in respect of international standards and communicated to all levels of operations which includes contracted parties. Records of implementation should be kept.</p> <p>Smallholder Guidance 6.13.1 Group Manager to develop policy to respect human rights i.e. that workers are treated with respect and dignity, and ensure that this is communicated through group members.</p> <p>Applicable to all Groups.</p> <p>Group Managers should be able to:</p> <ul style="list-style-type: none"> • Determine the communication of this policy to Group members. • The policy addressing human rights can be combined with other social systems policies. • You need to consider training in implementing this policy. • Issue Attendance certificates for all training and record separately who was present and when the training was held along with the subject of the training. • Consider how feedback from the individual farms can be collated Ensure that all office staff are aware of the requirement. <p>NOTE: The RSPO WG on Human Rights will provide a mechanism to identify, prevent, mitigate and address human rights issues and impacts. The resulting Guidance will identify the relevant issues on human rights to all RSPO Members.</p>
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PRINCIPLE 7: RESPONSIBLE DEVELOPMENT OF NEW PLANTINGS		
NO.	PRINCIPLES AND CRITERIA	INDICATORS /GUIDANCE
7.1	A comprehensive and participatory independent social and environmental impact assessment is undertaken prior to establishing new plantings or operations, or expanding existing ones, and the results incorporated into planning, management and operations.	<p><u>Indicator 7.1.1:</u></p> <ul style="list-style-type: none"> An independent social and environmental impact assessment (SEIA), undertaken through a participatory methodology including the relevant affected stakeholders, shall be documented. <p>⇒ MAJOR</p> <p><u>Indicator 7.1.2:</u></p> <ul style="list-style-type: none"> Appropriate management planning and operational procedures shall be developed and implemented to avoid or mitigate identified potential negative impacts. <p>⇒ MINOR</p> <p><u>Indicator 7.1.3:</u></p> <p>⇒ Where the development includes an outgrower scheme, the impacts of the scheme and the implications of the way it is managed should be given particular attention.</p> <p>⇒ MINOR</p> <p><u>Guidance:</u> See also criteria 5.1 and 6.1</p> <p>Plantations of 500 ha and above, a SEIA should be conducted by accredited independent experts (Federal Ministry of Environment accredited assessors) through a participatory approach including relevant affected stakeholders.</p> <p>A participatory methodology including external stakeholder groups is essential to the identification of impacts, particularly social impacts. Stakeholders such as local communities,</p>

		<p>government departments and NGOs should be involved, through the use of interviews and meetings, and by reviewing findings and plans for mitigation.</p> <p>The potential impacts of all major proposed activities including indirect/secondary impacts which are not under the control of individual growers and millers should be assessed prior to development. The assessment should include, in no order of preference, as a minimum:</p> <ul style="list-style-type: none"> • Assessment of the impacts of all major planned activities, including planning, mill operations, roads and other infrastructure. • Assessment, including stakeholder consultation, of High Conservation Values (see criterion 7.3) that could be negatively affected. • Assessment of potential effects on adjacent natural ecosystems of planned developments, including whether development or expansion will increase pressure on nearby natural ecosystems. • Identification of water courses and assessment of potential effects on hydrology by planned developments. Measures should be planned and implemented to maintain the quantity, quality and access to water and land resources. • Baseline soil surveys and topographic information, including the identification of marginal and fragile soils, areas prone to erosion, degradation, flooding and slopes unsuitable for planting. • Analysis of type of land to be used (forest, degraded forest, cleared land). See annex for forest classifications • Analysis of land ownership and user rights. • Analysis of current land use patterns. • Assessment of potential social impact on surrounding communities of a plantation, including an analysis of differential effect on women versus men, ethnic communities, migrant versus long-term residents. • Identification of activities which may generate significant GHG emissions (see RSPO GHG assessment procedures for new planting for guidance) <p>Plans and field operations should be developed and implemented to incorporate the results of the assessment. One potential outcome of the assessment process is that the development should not proceed, because of the magnitude of potential impacts.</p>
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		<p>For plantations below 500ha, a SEIA internal assessment should be conducted through a participatory approach including relevant affected stakeholders. This will list negative social impacts (e.g. displacement, loss of the livelihoods of local peoples, etc.) in the national context.</p> <p>Smallholder Guidance</p> <ul style="list-style-type: none"> • Group Managers shall confirm land ownership and user rights within the new planting area. • Group Managers shall identify all activities that have environmental and social impacts (positive and negative) with the participation of affected parties. • Group Managers shall develop a plan to avoid or mitigate environmental and social risks in consultation with the affected parties. • Group Managers shall organise training for members on environmental and social risks and mitigation measures. • Group Managers shall monitor implementation of SEIA management plan. • Group Managers should identify the relevant affected stakeholders. • Group Managers should facilitate discussion amongst individual members about shared responsibilities at the landscape level and how to manage issues (e.g. water, waste management etc.) and who is responsible for implementation. • The Group Manager may list all the environmental and social impacts (positive and negative) in a register identifying the cause, who is affected and what is the status of the mitigation. • Keep records of all meetings and who attended the meetings. <p>Smallholders should be aware of potential positive and negative impacts of new planting on natural ecosystems (e.g. HCVs, primary forests, wetlands, peat areas).</p> <ul style="list-style-type: none"> • Activities of individual members should not be in conflict with basic human rights principles. • Individual members should discuss amongst themselves about shared responsibilities at the landscape level and how to manage issues (e.g. water, waste management etc.) and who are responsible for implementation. • A comprehensive SEIA shall be conducted by an independent party, or where applicable, an internal assessment can be facilitated by the Group Manager (refer to generic P&Cs or NIs where available).
7.2	Soils surveys and topographic information are used for site planning in the establishment of	<u>Indicator 7.2.1</u>

	<p>new plantings, and the results are incorporated into plans and operations</p>	<ul style="list-style-type: none"> • Soil suitability maps or soils surveys adequate to establish the long-term suitability of land for oil palm cultivation shall be available and taken into account in plans and operations <p>⇒ MAJOR</p> <p><u>Indicator 7.2.2:</u></p> <ul style="list-style-type: none"> • Topographic information adequate to guide the planning of drainage and irrigation system, roads and other infrastructure should be available and taken into account in plans and operations. <p>⇒ MINOR</p> <p><u>Guidance:</u></p> <p>These activities may be linked to the SEIA (criterion 7.1) but need not be done by independent experts.</p> <p>Soil suitability maps or soils surveys should be appropriate to the scale of operation and should include information on soil types, topography, moisture availability, stoniness, rooting depth, fertility and long-term soil sustainability.</p> <p>Soils unsuitable for planting or those requiring appropriate practices should be identified (see Criteria 4.3 and 7.4). This information should be used to plan planting programmes, etc.</p> <p>Areas located within the plantation perimeters that are considered unsuitable for long-term oil palm cultivation will be delineated in plans and included in operations for conservation or rehabilitation as appropriate (see Criterion 7.4).</p> <p>Measures should be planned to minimize erosion through appropriate use of heavy machinery, terracing on slopes, appropriate road construction, rapid establishment of cover, protection of riverbanks, etc.</p>
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		<p>Individual companies shall follow the National Policy on Environment; guidelines on Land Use and Soil Conservation and other information on Agricultural Land Resource Programme provided by the Federal Ministry of Agriculture and Rural Development.</p> <p>Smallholder Guidance Controlled by the Group Manager Individual members should be able to demonstrate an understanding that a soil survey has been carried out and why potential areas cannot be planted (if applicable).</p> <p>7.2.1 Group Manager shall:</p> <ul style="list-style-type: none"> • compile and maintain an overall soil map for the group • provide required information and or training for individual members <p>7.2.2 overall soil map to include topographic information.</p> <p>See 7. 1 Soil suitability is under the control of the Group Manager who will be responsible for its implementation.</p> <p>Applicable to all groups.</p> <p>For most groups the use of GPS/GIS to construct adequate maps will be expected. The soil map can be hand drawn as long as there is clear justification that it is consistent with the group procedures and membership in ICS.</p> <p>Group Managers must be able to:</p> <ul style="list-style-type: none"> • Identify who has conducted a soil survey. • Explain why the soils are suitable for oil palm development and identify those areas within the Group that are not suitable. • Ensure that the document explains why they are unsuitable. • Produce maps of soils and proposed roads.
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		<p>Link directly to 7.1. If the Group size changes or expands this will affect this criterion.</p>
7.3	<p>New plantings since November 2005, have not replaced primary forest or any area required to maintain or enhance one or more High Conservation Values.</p>	<p><u>Indicator 7.3.1:</u></p> <ul style="list-style-type: none"> • There shall be evidence that no new plantings have replaced primary forest, or any area required to maintain or enhance one or more High Conservation Values (HCV), since November 2005. New plantings shall be planned and managed to best ensure the HCVs identified are maintained and/or enhanced (see Criterion 5.2). <p>⇒ MAJOR</p> <p><u>Indicator 7.3.2:</u></p> <ul style="list-style-type: none"> • A comprehensive HCV assessment, including stakeholder consultation, shall be conducted prior to any conversion or new planting. This shall include a land use change analysis to determine changes to the vegetation since November 2005. This analysis shall be used, with proxies, to indicate changes to HCV status. <p>⇒ MAJOR</p> <p><u>Indicator 7.3.3:</u></p> <ul style="list-style-type: none"> • Dates of land preparation and commencement shall be recorded. <p>⇒ MINOR</p> <p><u>Indicator 7.3.4:</u></p> <ul style="list-style-type: none"> • An action plan shall be developed that describes operational actions consequent to the findings of the HCV assessment, and that references the grower’s relevant operational procedures (see Criterion 5.2). <p>⇒ MAJOR</p> <p><u>Indicator 7.3.5:</u></p>

		<ul style="list-style-type: none"> • HCV assessment and management plans should identify areas required by affected communities to meet their basic needs, taking into account potential positive and negative changes in livelihoods resulting from the proposed operations. <p>⇒ MINOR</p> <p><u>Specific Guidance</u></p> <p><i>For 7.3.1 Evidence should include historical remote sensing imagery which demonstrates that there has been no conversion of primary forest or any area required to maintain or enhance one or more HCV. Satellite or aerial photographs, land use maps and vegetation maps should be used to inform HCV assessment.</i></p> <p><i>Where land has been cleared since November 2005, and without a prior and adequate HCV assessment, it will be excluded from the RSPO Certification program until adequate HCV compensation plan has been developed and accepted by the RSPO.</i></p> <p><i>For 7.3.5 The management plan will be adaptive to changes in HCV 5 and 6. Decisions will be made in consultation with the affected communities</i></p> <p>Guidance:</p> <p>This activity could be integrated with the SEIA required by 7.1.</p> <p>This criterion applies to forests and other vegetation types. This applies irrespective of any changes in land ownership or farm management that have taken place since November 2005.</p> <p>High Conservation Values (HCVs) may be identified in restricted areas of a landholding, and in such cases new plantings can be planned to allow the HCVs to be maintained or enhanced. Evidence may include historical remote sensing imagery which demonstrates that there has been no conversion of primary forest or any area required to maintain or enhance one or more HCV. Satellite or aerial photographs, land use maps and vegetation maps should be used to inform the HCV assessment.</p>
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		<p>The HCV assessment process requires appropriate training and expertise, and must include consultation with local communities, particularly for identifying social HCVs.</p> <p>HCVs assessments should be conducted according to the National Interpretation of the HCV criteria or according to the Common Guidance on HCV Identification, HCV Resource Network 2013 if a National Interpretation is not available [see Definitions].</p> <p>Land conversions that took place in the period from November 2005 until the date when Nigeria NI is approved are only acceptable if a full, legal EIA was undertaken and a retrospective assessment in relation to HCVs concludes that HCVs are unlikely to have been destroyed.</p> <p>New plantings must be in compliance with existing regulatory requirements that relate to social and environmental impact assessment i.e. SIEA (criterion 7.1) and also comply with the legalized land spatial planning.</p> <p>Specific guidance for plantation development in period November 2005 until date when Nigeria NI is approved:</p> <ul style="list-style-type: none"> • Record the date of land preparation and the beginning of operation. • Assess HCV in the plantation. • In case where there is a HCV within oil palm plantation, prepare a rehabilitation plan to conserve such area for RSPO certification • In case where there is a HCV within oil palm but cannot be rehabilitated or in the process of rehabilitation, such area must be set aside for conservation. Other fields can still be certified. <p>Development should actively seek to utilize previously cleared and/or degraded land.</p> <p>Plantation development should not put indirect pressure (as determined by accredited HCV assessors) on forests through the use of all available agricultural land in an area. Where landscape level HCV 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.</p> <p>For definition of ‘High Conservation Values’, see definitions.</p>
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		<p>Once established, new developments should comply with Criterion 5.2.</p> <p>Smallholder Guidance</p> <p>The Group Manager shall demonstrate basic understanding of primary forest and HCV and inform individual members of the need to avoid clearing of such areas.</p> <p>Prior to new plantings, a comprehensive HCV assessment shall be conducted by an independent party, or where applicable, an internal assessment can be facilitated by the Group Manager (refer to generic P&Cs or NIs where available).</p> <p>The Group Manager shall develop SOPs for recording land preparation and commencement of farms by individual members.</p> <p>The Group Manager shall develop action plans and SOPs (e.g. for RTE species, riparian areas) based on the HCV management and monitoring plan.</p> <p>The Group Manager shall implement a mechanism for individual members to report on threats to HCVs.</p> <p>The Group Manager shall collate dates of land preparation and commencement of individual farms.</p> <p>The Group Manager conducts training for their individual members and their workers about the status of HCV.</p> <p>The endorsed HCV Guidance for Smallholders (currently under development) should be referred to for further guidance.</p> <p>The Group Manager should ensure that stakeholder consultations are carried out during the HCV assessment.</p> <p>Tools available for monitoring threats to HCVs (e.g. the SMART tool) may be utilised.</p>
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		<p>Scheme smallholders who undertook new plantings without HCV assessment since Nov 2005 may be eligible for certification if they comply with the RSPO Compensation & Remediation Procedure. Mills are responsible for the liability of their scheme smallholders.</p> <p>NOTE: Further guidance for compensation by Scheme and Independent SH will be developed.</p> <p>The Group Manager may coordinate with respective government agencies and NGOs to confirm the status of RTE species (national and international) and improve their protection (including mitigation of human-wildlife conflicts).</p>
7.4	<p>Extensive planting on steep terrain, and/or on marginal and fragile soils, including peat is avoided.</p>	<p><u>Indicator 7.4.1:</u> Maps identifying marginal and fragile soils, including excessive gradients and peat soils, shall be available and used to identify areas to be avoided</p> <ul style="list-style-type: none"> • MINOR <p><u>Indicator 7.4.2:</u> Where limited planting on fragile and marginal soils, including peat, is proposed, plans shall be developed and implemented to protect them without incurring adverse impacts.</p> <ul style="list-style-type: none"> • MAJOR <p><u>Guidance</u> This activity may be integrated with the SEIA required by 7.1.</p> <p><i>Planting on fragile and peat soils should be avoided (see also criterion 4.3). Slopes between 0 and 16° are suitable for planting. Growers should avoid planting on slopes above 30 °.</i></p> <p>Adverse impacts may include hydrological risks or significantly increased risks (e.g. fire risk) in areas outside the plantation (criterion 5.5).</p> <p>Smallholder Guidance 7.4.1 Group Manager shall:</p>

		<ul style="list-style-type: none"> • Compile and maintain an overall soil map for the group, including marginal and fragile soils - this can be part of the HCV map and assessment. • Provide required information and or training for individual members. <p>7.4.2 The Group Manager maintains and oversees plans for new development based on overall soil map.</p> <p>For new plantings it is expected that identification of marginal and fragile soils should be done under the HCV assessment.</p> <p>HCV assessment is under the control of the Group Manager who will be responsible for its implementation.</p> <p>Applicable to all Groups. Link to 1.2.</p> <p>For most groups the use of GPS/GIS to construct adequate maps will be expected. The HCV map including fragile and marginal soils (e.g.: steep areas) can be hand drawn as long as there is clear justification that is consistent with the group procedures, membership and ICS.</p> <p>The Group Manager must be able to produce maps of areas which are to be avoided and state on the map the reasons for avoiding them.</p> <p>Link directly with 7.1 and 7.2.</p> <p>Issue an attendance certificates for all training and record separately who was present and when the training was held along with the subject of the training.</p> <p>Consider how feedback from the individual farms can be collated.</p> <p>Ensure that all office staff are aware of the requirement.</p>
7.5	No new plantings are established on local peoples' land where it can be demonstrated that there are legal, customary or user rights,	<p><u>Indicator 7.5.1:</u></p> <ul style="list-style-type: none"> • Evidence shall be available that affected local peoples understand they have the right to say 'no' to operations planned on their lands before and during initial discussions, during the stage of information gathering and associated consultations, during

	<p>without their free, prior and informed consent. This is dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions.</p>	<p>negotiations, and up until an agreement with the grower/miller is signed and ratified by these local peoples.</p> <p>Refer to criteria 2.2, 2.3, 6.2, 6.4 and 7.6 for indicators and guidance on compliance.</p> <p>⇒ MAJOR</p> <p><u>Guidance:</u></p> <p>This activity should be integrated with the SEIA required by 7.1.</p> <p>There must be free, prior and informed consent of affected communities before new plantings is established. Customary and user rights to be demonstrated through participatory user mapping as part of the FPIC process.</p> <p>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 2.3).</p> <p>Relevant stakeholders include those affected by or concerned with the new plantings.</p> <p>Free, prior and informed consent (FPIC) is a guiding principle and should be applied to all RSPO members throughout the supply chain. Refer to RSPO approved FPIC guidance (Free, Prior and Informed Consent: Guide for RSPO members (2015).</p> <p>Customary and user rights will be demonstrating through participatory user mapping as part of the FPIC process.</p> <p>Smallholder Guidance</p>
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		<p>The Group Manager shall develop a documented system detailing how FPIC is implemented and shall ensure that new group members are included in this.</p> <p>The Group Manager shall retain documentary evidence of participation by affected local peoples and their understanding of the right to say 'no'.</p> <p>Link directly with 7.1 and the Social Impact assessment.</p> <p>Maps may help but you will need to demonstrate to a third party that the FPIC process proceeded to the community's satisfaction.</p> <p>All FPIC elements should be addressed, i.e.: free (=without any coercion), prior (=before any development), informed (=providing all relevant information in appropriate form & languages) consent (=right to say no).</p> <p>Group Managers should:</p> <ul style="list-style-type: none"> • Keep records of all meetings and who attended the meetings – obtain signatures or thumb prints. • Ask permission to take photos <p>Refer also to criteria 2.2, 2.3, 6.2, 6.4 and 7.6 for Indicators</p>
7.6	<p>Where it can be demonstrated that local peoples have legal, customary or user rights, they are compensated for any agreed land acquisitions and relinquishment of rights, subject to their free, prior and informed consent and negotiated agreements.</p>	<p><u>Indicator 7.6.1:</u></p> <ul style="list-style-type: none"> • Documented identification and assessment of legal and customary and user rights shall be available <p>⇒ MAJOR</p> <p><u>Indicator 7.6.2:</u></p> <ul style="list-style-type: none"> • Establishment of a documented system for identifying people entitled to compensation. <p>⇒ MAJOR</p> <p><u>Indicator 7.6.3:</u></p>

		<ul style="list-style-type: none"> • A system for calculating and distributing fair compensation (monetary or otherwise) shall be in place <p>⇒ MAJOR</p> <p><u>Indicator 7.6.4:</u></p> <ul style="list-style-type: none"> • Communities that have lost access and rights to land for plantation expansion are given opportunities to benefit from plantation development. <p>⇒ MINOR</p> <p><u>Indicator 7.6.5:</u></p> <ul style="list-style-type: none"> • The process and outcome of any compensation claims shall be documented and made publicly available. <p>⇒ MINOR</p> <p><u>Indicator 7.6.6:</u></p> <ul style="list-style-type: none"> • Available evidence that affected communities and rights holders have access to independent information and advice on the economic, environmental and social impacts of the proposed operations on their lands. • MINOR <p>Specific Guidance: For 7.6.1: This activity shall be integrated with the social and environmental impact assessment (SEIA) required by Criterion 7.1. For 7.6.6: Growers and millers will confirm that the communities (or their representatives) gave consent to the initial planning phases of the operations prior to the new issuance of a concession or land title to the operator.</p> <p><u>Guidance:</u></p>
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		<p>This activity shall be integrated with the SEIA as required by Criterion 7.1. Refer also to Criteria 2.2, 2.3 and 6.4 and associated guidance.</p> <p>This requirement includes indigenous peoples (see Annex 1).</p> <p>Growers and millers will confirm that the affected communities or their representatives gave consent to the proposed project.</p> <p>A Resettlement Action Plan where applicable or a Community Development Plan should be in place. Other benefits include compensation payment, provision of alternative livelihood, and development of smallholder schemes.</p> <p>Refer to Free, Prior and Informed Consent: Guide for RSPO members (2015)</p> <p>Smallholder Guidance The Group Manager shall:</p> <ul style="list-style-type: none"> • Document identification and assessment of demonstrable legal, customary and user rights (7.6.1). • Establish a procedure for identifying people entitled to compensation. (7.6.2) • Establish a procedure for calculating and distributing fair compensation. (7.6.3) • Document the process and outcome of any compensation claims and make publicly available (7.6.5) • Have documentary evidence that the affected communities and right holders have been informed that they have the right to access information and advice that is independent of the project proponent, concerning the legal, economic, environmental and social implications of the proposed operations on their lands. (7.6.6) <p>The Group Manager should demonstrate compliance with agreements by keeping copies of negotiated agreements and documentation of the process leading to consent.</p>
7.7	No use of fire in the preparation of new plantings other than in specific situations, as identified in	<u>Indicator 7.7.1:</u>

	<p>the ASEAN guidelines or other regional best practice.</p>	<ul style="list-style-type: none"> • There shall be no land preparation by burning, other than in specific situations, as identified in the ‘Guidelines for the Implementation of the ASEAN Policy on Zero Burning’ 2003, or comparable guidelines in other regions. <p>⇒ MAJOR</p> <p><u>Indicator 7.7.2:</u></p> <ul style="list-style-type: none"> • In exceptional cases where fire has to be used for preparing land for planting, there shall be evidence of prior approval of the controlled burning as specified in the “Guidelines for the implementation of the ASEAN Policy on Zero Burning”, 2003, or comparable guidelines in other regions. <p>⇒ MINOR</p> <p><u>Specific Guidance:</u> For 7.7.2: This activity shall be integrated with the social and environmental impact assessment (SEIA) required by Criterion 7.1.</p> <p><u>Guidance:</u> Fire may be used only where an assessment has demonstrated that it is the most effective and least environmentally damaging option for minimizing the risk of severe pest and disease outbreaks, and with evidence that fire-use is carefully controlled.</p> <p>Extension/training programmes for smallholders may be necessary.</p> <p>Smallholder Guidance</p> <p>7.7.1 The Group Manager shall:</p> <ul style="list-style-type: none"> • Provide evidence of a no use of fire policy in group SOPs. • Demonstrate that individual farms have been visited for this requirement. • Explain how all the above is socialised to individual members of the Group. <p>7.7.2 The Group Manager shall:</p>
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		<ul style="list-style-type: none"> • Demonstrate that any use of fire by any individual member has been assessed to be justified under the ASEAN guidelines ASEAN Policy on Zero Burning’ 2003. • Provide written approval from the relevant environment authority on the use of fire in certain situations as prescribed by the ASEAN guidelines. <p>Consider if a separate SOP and policy is required.</p> <p>Provide and record training on the subject.</p>
7.8	<p>New plantation developments are designed to minimize net greenhouse gas emissions.</p>	<p><u>Preamble</u></p> <p>It is noted that oil palm and all other agricultural crops emit and sequester greenhouse gases (GHG). There has already been significant progress by the oil palm sector, especially in relation to reducing GHG emissions relating to operations. Acknowledging both the importance of GHGs, and the current difficulties of determining emissions, the following new Criterion is introduced to demonstrate RSPO’s commitment to establishing a credible basis for the Principles and Criteria on GHGs.</p> <p>Growers and millers commit to reporting on projected GHG emissions associated with new developments. However, it is recognised that these emissions cannot be projected with accuracy with current knowledge and methodology.</p> <p>Growers and millers commit to plan development in such a way to minimise net GHG emissions towards a goal of low carbon development (noting the recommendations agreed by consensus of the RSPO GHG WG2).</p> <p>Growers and millers commit to an implementation period for promoting best practices in reporting to the RSPO, and after December 31st 2016 to public reporting. Growers and millers make these commitments with the support of all other stakeholder groups of the RSPO.</p> <p><u>Indicator 7.8.1:</u></p> <ul style="list-style-type: none"> • The carbon stock of the proposed development area and major potential sources of emissions that may result directly from the development shall be identified and estimated.

7.8		<p>⇒ MAJOR</p> <p><u>Indicator 7.8.2:</u></p> <ul style="list-style-type: none"> • There shall be a plan to minimise net GHG emissions which takes into account avoidance of land areas with high carbon stocks and/or sequestration options. <p>⇒ MINOR</p> <p>Specific Guidance</p> <p>For 7.8.1 GHG identification and estimates can be integrated into existing processes such as HCV and soil assessments.</p> <p>The RSPO Carbon assessment tool for new plantings can be used for the identification and estimation of carbon stocks. It is acknowledged that there are other tools and methodologies currently in use; the RSPO Working Group will not exclude these and will include these in the review process.</p> <p>The RSPO PalmGHG tool or an RSPO-endorsed equivalent shall be used to estimate future GHG emissions from new developments using, amongst others, the data from the RSPO carbon assessment tool for new plantings.</p> <p>Parties seeking to use an alternative tool for new plantings will have to demonstrate its equivalence to the RSPO for endorsement.</p> <p>For 7.8.2 Growers are strongly encouraged to establish new plantings in mineral soils, in low carbon stock areas, and cultivated areas, which the current users are willing to develop into oil palm. Millers are encouraged to adopt low-emission management practices (e.g. better management of palm oil mill effluent (POME), efficient boilers, etc.) in new developments.</p> <p>Growers and millers should plan to implement RSPO best management practices for the minimization of emissions during the development of new plantations.</p>
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		<p><u>Guidance:</u> GHG identification and estimates can be integrated into existing processes such as HCV and soil assessments. The RSPO Carbon assessment tool for new plantings can be used for the identification and estimation of carbon stocks. Other existing tools and methodologies can also be used.</p> <p>The RSPO Palm GHG tool or an RSPO-endorsed equivalent shall be used to estimate future GHG emissions from new developments using, amongst others, the data from the RSPO carbon assessment tool for new plantings.</p> <p>Parties seeking to use an alternative tool for new plantings will have to demonstrate its equivalence to the RSPO for endorsement.</p> <p><u>Specific Guidance:</u> For 7.8.1: GHG identification and estimates can be integrated into existing processes such as HCV and soil assessments.</p> <p>The RSPO carbon assessment tool for new plantings will be available to identify and estimate the carbon stocks. It is acknowledged that there are other tools and methodologies currently in use; the RSPO working group will not exclude these, and will include these in the review process.</p> <p>The RSPO PalmGHG tool or an RSPO-endorsed equivalent will be used to estimate future GHG emissions from new developments using, amongst others, the data from the RSPO carbon assessment tool for new plantings.</p> <p>Parties seeking to use an alternative tool for new plantings will have to demonstrate its equivalence to the RSPO for endorsement.</p> <p>For 7.8.2: Growers are strongly encouraged to establish new plantings on mineral soils, in low carbon stock areas, and cultivated areas, which the current users are willing to develop into oil palm. Millers are encouraged to adopt low-emission management</p>
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		<p>practices (e.g. better management of palm oil mill effluent (POME), efficient boilers etc.) in new developments.</p> <p>Growers and millers should plan to implement RSPO best management practices for the minimisation of emissions during the development of new plantations.</p> <p>Guidance: This Criterion covers plantations, mill operations, roads and other infrastructure. It is recognised that there may be significant changes between the planned and final development area, hence the assessment may need to be updated before the time of implementation.</p> <p>Public reporting is desirable, but remains voluntary until the end of the implementation period. During the implementation period until December 31st 2016 (as specified in Criterion 5.6), reporting on GHG will be to a relevant RSPO working group (composed of all membership categories) which will use the information reported to review and fine tune the tools, emission factors and methodologies, and provide additional guidance on the process. During the implementation period the RSPO working group will seek to further develop and continually improve the RSPO carbon assessment tool for new plantings, recognising the challenges associated with estimating carbon stocks and projecting GHG emissions from new developments.</p> <p>Thereafter growers and millers will ensure that new plantation developments are designed to minimise net GHG emissions and commit to reporting publicly on this.</p> <p>Once established, new developments should report on-going operational, land use and land use change emissions under Criterion 5.6.</p> <p>Smallholder Guidance Note on smallholder context: The RSPO Emissions Reduction Working Group (ERWG) and the RSPO SHWG agree that there should be a simplified mechanism for smallholders for compliance on the GHG matters and that smallholders should not be overburdened due to their limited capacity. Further details will be developed</p>
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	<p>Individual members shall be able to explain how you know where not to plant.</p> <p>Maps: The use of maps shall be expected which highlight the avoidance of peat areas and primary forests and where possible mineral soils have been selected for planting.</p> <p>Reporting: Demonstrate to a third party that new plantings which occurred after April 2013 have where possible been designed to minimise GHG emissions.</p> <p>Groups will need to report confidentially to the RSPO on actions taken to mitigate GHG emissions. After 31. December 2016 these documents will need to be publically available and linked to 1.2</p> <p>Training: The Group Manager shall provide training in relation to this indicator and its relevance for individual members (e.g. peat, high carbon stocks) and record this training.</p> <p>The Group Manager should carry out the GHG assessment. Link to 1.2 and 7.1.</p> <p>A high carbon stock assessment can be linked to HCV assessments (7.3) Group Manager.</p> <p>For small groups the maps can be hand drawn – use descriptions to differentiate areas e.g. Land use types.</p> <p>For larger Groups the use of GPS to construct adequate maps should be expected.</p> <p>If the Group Manager is a mill, then mitigation strategies to reduce GHG emissions should be documented.</p>
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PRINCIPLE 8: COMMITMENT TO CONTINUAL IMPROVEMENT IN KEY AREA OF ACTIVITY		
NO.	PRINCIPLES AND CRITERIA	INDICATORS /GUIDANCE
8.1	Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.	<p><u>Indicator 8.1.1:</u></p> <ul style="list-style-type: none"> The action plan for continual improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria. <p>As a minimum, these shall include, but are not necessarily be limited to:</p> <ul style="list-style-type: none"> Reduction in use of pesticides(Criterion 4.6); Environmental impacts (Criteria 4.3, 5.1 and 5.2); Waste reduction (Criterion 5.3); Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); Social impacts (Criterion 6.1); Optimising the yield of the supply base. <p>⇒ MAJOR</p> <p><u>Guidance:</u> Growers and millers should have a system to improve practices in line with new information and techniques and a mechanism for disseminating this information throughout the workforce.</p> <p>Smallholder Guidance Group Managers shall record information on environmental impacts, waste reduction, pollution & GHG and social impacts.</p> <p>Group Managers shall periodically (e.g. quarterly) collate the records of individual members.</p>

		<p>Group Managers shall facilitate the development of the Group Action Plan through an annual group meeting.</p> <p>Group Managers shall be responsible for the continuous improvement in key operations.</p> <p>The action plan for continuous improvement is under the control of the Group Manager who will be responsible for its implementation.</p> <p>Applicable to all Groups.</p> <p>Group Managers should be able to:</p> <p>Set timelines to the Group Action Plan (e.g. 3 years). Integrate this Group Action Plan with the business plan (3.1).</p> <p>Check the business plan against the listed items and identify which are applicable to the continuous improvement plan (e.g. use also internal audit system):</p> <ul style="list-style-type: none"> • All the laws? Criterion 3.1. • All SOPs? Criterion 4.1. • All agrochemicals? Criterion 4.6. • Hazards and risks? Criterion 4.7. • PPE? Criterion 4.7. • All training required? Criterion 4.8. • All operations that have an environmental impact? Criterion 5.1. • All HCV and RTEs? Criterion 5.2. • All sources of pollution? Criterion 5.3. • All social impacts? • All your policies? <p>Cross check in the Group Action Plan that you have included the items listed in the indicator.</p> <ul style="list-style-type: none"> • Reduction in use of pesticides (Criterion 4.6); • Environmental impacts (Criteria 4.3, 5.1 and 5.2); • Waste reduction (Criterion 5.3); • Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8);
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		<ul style="list-style-type: none">• Social impacts (Criterion 6.1);• Optimising the yield of the supply base. <p>Identify who is responsible for preparing and implementing action plans to take into account the above. Consider if more than one plan is need given the geography of the group.</p> <p>Explain:</p> <ul style="list-style-type: none">• Who prepared this plan.• Will one plan cover all farms and or operations?• Who will ensure it is updated every year to make sure it is always a 3year plan?• Who monitors the plan and how?
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Definitions

Environmental Impact Assessment: A process of predicting and evaluating the effects of an action or series of actions on the environment, then using the conclusions as a tool in planning and decision-making.

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 hectares 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.

Grower: The person or entity that owns and/or manages an oil palm development.

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 species, that are significant at global, regional or national levels.
- HCV 2 - Landscape-level ecosystems and mosaics. Large landscape level ecosystems and ecosystem mosaics 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. Rare, threatened, or endangered ecosystems, habitats or refugia.
- HCV 4 - Critical 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.

Note: RSPO will develop coherent guidance for standardized identification, management and monitoring (and other types of relevant guidance) of HCVs which would include guidance for compatibility of national toolkits as necessary.

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 minimize risks to human health and the environment. IPM emphasizes the growth of a healthy

crop with the least possible disruption to agro-ecosystems and encourages natural pest control mechanisms. (FAO 2013:<http://www.fao.org/agriculture/crops/corethemes/theme/pests/ipm/en/>)

ISO Standards: Standards developed by the International Organization for Standardization (ISO: see <http://www.iso.ch/iso>).

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 themselves and 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.

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.

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.

(Compiled from various definitions of livelihoods from DfID, IDS and FAO and academic texts from: <http://www.fao.org/docrep/X0051T/X0051t05.htm>).

Miller: A person or entity that operates a Palm Oil Mill.

Natural vegetation: Areas where many of the principal characteristics and key elements of native ecosystems such as complexity, structure and diversity are present.

Operations: All activities planned and/or undertaken by the management unit within the boundaries of the palm oil mill and its supply base.

Operator: A person or entity that runs a business, machine, facility etc.

Origin of fresh fruit bunch (FFB): Source of FFB entering a mill (see Indicator 4.1.4). RSPO members acknowledge the need for responsible operators to practise due diligence in sourcing of FFB from third parties to reduce the risk that unsustainable products are entering the certified supply chain. However it is also recognised that there are significant challenges in tracing all such supplies back to their point of origin. Therefore, as a minimum the mill must record the particulars of the party from which the FFB was sourced at the mill gate.

Note: As stated in the preamble, the millers will commit to a process whereby they aim to source third party FFB from identified, legal and responsible sources.

Outgrowers: Farmers, where the sale of FFB is exclusively contracted to the grower/miller. Outgrowers may be smallholders.

Pesticide: Substances or mixture of substances intended for preventing, destroying, repelling or mitigating any pest. Pesticides are categorized into four main substituent chemicals: herbicides; fungicides; insecticides and bactericides.

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.

Plantation: The land containing oil palm and associated land uses such as infrastructure (e.g., roads), riparian zones and conservation set-asides.

Primary Forest: A primary forest is a forest that has never been logged and has developed following natural disturbances and under natural processes, regardless of its age. Also included as primary, are forests that are used inconsequentially by indigenous and local communities living traditional lifestyles relevant for the conservation and sustainable use of biological diversity. The present cover is normally relatively close to the natural composition and has arisen (predominantly) through natural regeneration. (From FAO Second Expert Meeting On Harmonizing Forestrelated Definitions for Use by Various Stakeholders, 2001, http://www.fao.org/documents/show_cdr.asp?url_file=/DOCREP/005/Y4_171E/Y4171E11.htm).

Note: National interpretations should consider whether a more specific definition is required.

Prophylactic: A treatment or course of action applied as a preventive measure.

Restore: Returning degraded or converted areas within the plantation to a semi-natural state.

Rights are legal, social, or ethical principles of freedom or entitlement:

- Customary rights: Patterns of long-standing community land and resource usage in laws, values, customs and traditions, including seasonal or cyclical use rather than formal legal title to land and resources issued by the State.
- (From World Bank Operational Policy 4.10 - <http://go.worldbank.org/6L01FZTD20>).
- 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. (From FSC Principles & Criteria: <https://ic.fsc.org/download.revised-fsc-pc-v-5-0-high-resolution.a-871.pdf>)
- Demonstrable rights are those rights that are demonstrated through participatory user mapping as part of an FPIC process.

Note: Where there is a national interpretation, these rights shall be further defined taking into account national obligations, constitutions, local laws and regulations, consistent with the generic definitions, including development of adequate guidance on a process to avoid or resolve any conflicts between customary rights (as defined above) and the nationally recognised customary rights.

Smallholders: 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 10 hectares in size.

- Scheme smallholders - Smallholders that may be structurally bound by contract, credit agreement or by planning to a particular mill, but the association is not necessarily limited to such linkages. Other terms commonly used for scheme smallholders include associated and/or plasma smallholders.
- Independent smallholders - Smallholders that are not bound by any contract, credit agreement or planning to a particular mill.

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.

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.

Workforce: The total number of workers employed by the management unit either directly or indirectly. This includes contract workers and consultants.

- 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.
- Transmigrant worker: a person who migrates from one part of the country to another with a view to being employed otherwise than on his own account

Annex 1: National Interpretation Task Force

Representative Organization	Interest Category	RSPO Membership	Name of Representative
PZ-Wilmar Ltd	Grower/Smallholder	PZ Cussons Plc (UK) - Ordinary Member Wilmar International Limited (Singapore) - Ordinary Member	Yomi Ifaturoti
Presco plc/SNL (alternate)	Grower/Smallholder	SIAT SA (Belgium) - Ordinary Member	Sophie Engelskirchen (Carlos Tello) Paul Hameed
Okomu opc Plc	Grower/Smallholder		Billy Ghansah
National Palm Produce Association of Nigeria (NPPAN)	Grower/Smallholder		Olatujoye Henry Gbenga
Oil Palm Growers Association Nigeria (OPGAN)	Grower/Smallholder		HRH Igwe Hilary Uche
IMC	Grower/Smallholder		Brian Hammond /Olomu Sebastian
JB Farm (alternate)			Seyi Atinaro
First Banks of Nigeria/FCMB (First City Monument Bank alternate)	Supply Chain & Investors		Aliu Mohammed /
PZ Cussons	Supply Chain & Investors		Mohammed Tahir
Sudit oil	Supply Chain & Investors		Sir Partick Nwaokolo
Nigerian Conservation Foundation	Environmental NGOs		Uzamere Eseosa
Concern Universal, Nigeria	Environmental NGOs		Tim Kellow
PIND/ SHERDA (alternate)	Social NGOs		James Elekwachi
Solidaridad West Africa	Social NGOs	Solidaridad (Netherlands) Ordinary Member	Babajide Stephen
DIN/NNF (alternate)	Social NGOs		Odey James
The Proforest Initiative	Technical Facilitator		Isaac Abban-Mensah
Foremost Development Services	Facilitator		Fatai Afolabi

Annex 2: International laws

Principles	International Standards	Key provisions	Summary of Protections
Ethical Business Conduct	United Nations Convention Against Corruption (2000)	Article 12	Promoting the development of standards and procedures to safeguard the integrity of private entities, including codes of conduct for business activities and preventing conflicts of interest Promoting transparency Ensuring that companies have sufficient internal auditing controls to prevent corruption.
Respect for Human rights	United Nations Guiding Principles and Human Rights (2011) International Bill of Human Rights <ul style="list-style-type: none"> • Universal Declaration of Human Rights (1948) • International Covenant on Civil and Political Rights • International Covenant on Economic, Social and Cultural Rights 	Principles 11 to 24 Articles 1 – 30 Articles 1- 27 Articles 1 - 15	Respect human rights, by avoiding and/or mitigating negative impacts regardless of their organization size, sector of operation or ownership
Just Land Acquisition	ILO Convention 169 (1989) on Indigenous and Tribal Peoples	Articles 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.
Just Land Acquisition	UN Declaration on the Rights of Indigenous Peoples (2007)	Articles 25, 26	Right to distinctive relationship with land; right to own, use, develop and control their lands, territories and other resources.
	UN Convention on Biological Diversity (1992)	Article 10(c)	Protect and encourage customary use of biological resources in accordance with traditional practices.

Fair Representation And Participation of Indigenous and Tribal Peoples	ILO Convention 169 (1989) on Indigenous and Tribal Peoples	Articles 6-9	Represent themselves through their own representative institutions; consultations with objective of achieving agreement or consent; rights to decide their own priorities, retain their own customs and resolve offences according to customary law (compatible with international human rights).
	UN Declaration on the Rights of Indigenous Peoples (2007)	Articles 10, 11(2), 19, 28(1), 29(2) and 32(2).	Right to free, prior and informed consent to any project affecting their lands as expressed through their own representative institutions.
	Convention on the Elimination of All Forms of Racial Discrimination, International Covenant on Economic, Social and Cultural Rights, InterAmerican Human Rights System.	UN CERD Committee, UN Committee on Social Cultural and Economic Rights, Inter-American Commission on Human Rights ¹	Free, Prior and Informed Consent for decisions that may affect indigenous peoples. (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 and WWF).
No Forced Labour	ILO Convention 29 (1930) Forced Labour	Article 5	No concession to companies shall involve any form of forced or compulsory labour.
	ILO Convention 105 (1957) Abolition of Forced Labour	Article 1	Not make use of any form of forced or compulsory labour.
Protection of Children	ILO Convention 138 (1973) Minimum Age	Articles 1-3	Abolition of child labour and definition of national minimum age for labour not less than 15-18 years (depending on occupation).
	ILO Convention 182 (1999) Worst Forms of Child Labour	Articles 1-7	Abolition of child slavery, debt bondage, trafficking and procurement for prostitution; suitable methods to monitor and enforce compliance.

¹For details see www.forestpeoples.org.

	UN Declaration on the Rights of Indigenous Peoples (2007)	Articles 17(2), 21, 22(2)	No exploitation or exposure to hazard or discrimination against indigenous women and children.
Freedom of Association and Collective Bargaining	ILO Convention 87 (1948) Freedom of Association and Protection of Right to Organise	Articles 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.
	ILO Convention 98 (1949) Right to Organise and Collective Bargaining	Articles 1-4	Protection against anti-union acts and measures to dominate unions; established means for voluntary negotiation of terms and conditions of employment through collective agreements.
	ILO Convention 141 (1975) Rural Workers' Organisations	Articles 2-3	Right of tenants, sharecroppers and smallholders to organise; freedom of association; free from interference and coercion.
	UN Declaration on the Rights of Indigenous Peoples (2007)	Article 3	Indigenous peoples have the right to self-determination and to freely pursue their economic, social and cultural development.
Non-Discrimination and Equal Remuneration	ILO Convention 100 (1951) Equal Remuneration	Articles 1-3	Equal remuneration for men and women for work of equal value.
	ILO Convention 111 (1958) Discrimination (Employment and Occupation)	Articles 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.
	UN Declaration on the Rights of Indigenous Peoples (2007)	Articles 2, 8(2e), 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.
Just Employment of Migrants	ILO Convention 97 (1949) Migration for Employment	Articles 1-9	Provision of information; no obstacles to travel; provision of health care; non-discrimination in employment, accommodation, social security and remuneration; no forced repatriation of legal migrant workers; repatriation of savings.

	ILO Convention 143 (1975) Migrant Workers (Supplementary Provisions)	Articles 1- 12	Respect basic human rights; protection of illegal migrants from abusive employment; no trafficking in illegal migrants; fair treatment of migrant labour.
Protection of Plantation Workers ²	ILO Convention 110 (1958) Plantations	Articles 5- 91	Protection of members of families of recruited workers; protection of 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.
Protection of Tenants and Sharecroppers	ILO Recommendation 132 (1968) Tenants and Sharecroppers	Articles 4-8	Fair rents; adequate payment for crops; provisions for well-being; voluntary organisation; fair contracts; procedures for the settlement of disputes.
Protection of Smallholders	ILO Convention 117 (1962) Social Policy (Basic Aims and Standards)	Article 4	Alienation with due regard to customary rights; assistance to form cooperatives; tenancy arrangements to secure highest possible living standards.
Health and Safety	ILO Convention 184 (2001) Safety and Health in Agriculture	Articles 7- 21	Carry out risk assessments and adopt preventive and protective measures to ensure health and safety with respect to workplaces, machinery, equipment, chemicals, tools and processes; ensure dissemination of information, appropriate training, supervision and compliance; special protections for youth and women workers; coverage against occupational injuries and disease.

²Convention 110 Article 1(1) defines a plantation as *'an agricultural undertaking regularly employing hired workers....concerned with the cultivation or production of [inter alia] palm oil'*

Control or Eliminate Use of Dangerous Chemicals and Pesticides	Stockholm Convention on Persistent Organic Pollutants (2001)	Articles 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).
	FAO International Code of Conduct on the Distribution and Use of Pesticides (1985, Revised 2002)	Article 5	Curtail use of dangerous pesticides where control is difficult; ensure use of protective equipment and techniques; provide guidance for workers on safety measures; provide extension service to smallholders and farmers; protect workers and bystanders; make available full information on risks and protections; protect biodiversity and minimize impacts on environment; ensure safe disposal of waste and equipment; make provisions for emergency treatment for poisoning.
	Rotterdam Conventions on Prior and Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (1998)	Articles 1, 5 and 6	Curb trade in 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)	Articles 21(1), 23, 24, 29(3)	Improvement of livelihood in sanitation, health and housing; participate in health delivery; maintain traditional health systems; effective monitoring of health.

Annex 3: International Environmental Conventions Signed by Nigeria

Convention	Year of Accession
African Convention on the Conservation of Nature and Natural Resources (Convention on Biological Diversity CBD)	1968
UN Framework Convention on Climate Change (UNFCCC)	1993
	1994

Kyoto Protocol	1999
UN Convention on Combating Desertification (UNCCD)	1996
Convention on the Protection of Wetlands of International Importance (RAMSAR)	1998
Vienna Convention for the Protection of the Ozone Layer	1996
Montreal Protocol (regulating substances that deplete the ozone layer)	1996
Convention on International Trade in Endangered Species of Fauna and Flora (CITES)	1996
Convention on Trans-boundary Movement of Hazardous Waste (BASEL)	1997
Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade	2000
Stockholm Convention on Persistent Organic Pollutants (POPs)	2004
World Heritage Convention	1990
Convention on the Conservation of Migratory Species of Wild Animals (BONN Convention)	1979
International Union for the Conservation of Nature and Natural Resources (IUCN)	1956
The Equator Principles	2003

Annex 4: National laws & Regulations

Criterion	Relevant laws, regulations and guidelines.
1.1	<ul style="list-style-type: none"> Freedom of Information Act , LFN (2011)
2.1	<ul style="list-style-type: none"> National Environmental (Permitting And Licensing System) Regulations, S. I. 29 Of 2009
4.2	<ul style="list-style-type: none"> National Effluent Limitations Regulations S.I.8, 1991 National Environment Protection (Pollution Abatement In Industries And Facilities Producing Waste) Regulations (1991). Sections 1, 4 and 5
4.4	<ul style="list-style-type: none"> National Environmental Standards And Regulation Enforcement Agency (NESREA) ACT 2007 National environmental protection (management of solid and hazardous wastes) S1.15 of 1991 under section 37 + national environmental protection (effluent limitation) regulations, S1.8 of 1991 under section 40
4.6	<ul style="list-style-type: none"> Biopesticides Registration Regulations 2014
4.7	<ul style="list-style-type: none"> Nigeria Labour Act, (1990) Chapter 198
4.8	<ul style="list-style-type: none"> Nigeria Labour Act, (1990) Chapter 198
5.1	<ul style="list-style-type: none"> Environmental Assessment Regulations, No 86, 1992 of the Federal Ministry of Environment, Environmental Impact Assessment (EIA) Act. Cap E12, LFN 2004. Section 2 (1), (4), Sections 13 and 60
5.2	<ul style="list-style-type: none"> Endangered Species Act , Cap E9, LFN 2004. Sections 1, 5 and 7
5.3	<ul style="list-style-type: none"> Hazardous And Solid Waste Management Regulations S.1.9., 1991 National Environmental (Control Of Bush/Forest Fire And Open Burning) Regulations, S.I 15 Of 2011
5.5	<ul style="list-style-type: none"> National Environmental (Control Of Bush/Forest Fire And Open Burning) Regulations, S.I 15 Of 2011
5.6	<ul style="list-style-type: none"> National Environmental (Food, Beverages and Tobacco Sector) Regulations, 2009. S. I. No. 33)
6.1	<ul style="list-style-type: none"> Crop compensation regulation Land Use Act Cap 202, LFN 2004 Law of conveyance Environmental Impact Assessment (EIA) Act. Cap E12, LFN 2004. Section 2 (1), (4), Sections 13 and 60
6.2	<ul style="list-style-type: none"> Trade Union Act amendment 2005 freedom of Information Act , LFN (2011)
6.3	<ul style="list-style-type: none"> Labour Act, Chapter 198, LFN (1990): Part IV
6.4	<ul style="list-style-type: none"> Crop Compensation Regulation Land Use Act Cap 202, LFN 2004
6.5	<ul style="list-style-type: none"> Labour Act, Chapter 198, LFN (1990): Part I, II, III & IV. Factories Act, Cap F1, LFN 2004. Section 13 Public Holidays Act, Chapter 378, LFN (1990) Trade Union Act amendment 2005 Pension Reform Act (2004 & amendment 2011)
6.6	<ul style="list-style-type: none"> Trade Union Act amendment 2005

6.7	<ul style="list-style-type: none"> • Nigeria Labour Act, Chapter 198, part III ‘Special classes of worker and miscellaneous Special provisions’, 59 to 64 (young persons). • Legal Education Act, Chapter 206, Laws of Federation of Nigeria (1990):
6.8	<ul style="list-style-type: none"> • Trade Union Act amendment 2005 • Nigeria Labour Act, Chapter 198
6.9	<ul style="list-style-type: none"> • Nigeria Labour Act, Chapter 198
6.10	<ul style="list-style-type: none"> • Nigeria Labour Act, Chapter 198
6.12	<ul style="list-style-type: none"> • Nigeria Labour Act, Chapter 198, Part III ‘Special Classes of workers and miscellaneous Special provisions’, 73-74 (Forced Labour)
7.1	<ul style="list-style-type: none"> • Environmental Impact Assessment (EIA) Act. Cap E12, LFN 2004. Section 2 (1), (4), Sections 13 and 60
7.3	<ul style="list-style-type: none"> • Forestry Law Cap 51, 1994
7.4	<ul style="list-style-type: none"> • National Environmental (Wetlands, River Banks And Lake Shores Protection) Regulations, S. I. 26 Of 2009;
7.6	<ul style="list-style-type: none"> • Crop Compensation Regulation
7.7	<ul style="list-style-type: none"> • National Environmental (Wetlands, River Banks And Lake Shores Protection) Regulations, S. I. 26 Of 2009; • National Environmental (Control Of Bush/Forest Fire And Open Burning) Regulations, S.I 15 Of 2011