

RSPO ISH Standard - Remote Audit Allocation

Principle 1: Optimise productivity, efficiency, positive impacts and resilience				
Criterion		Indicator		Remote/On Site
1.1	Smallholders establish a legal entity which has organisational capacity to comply with the RSPO Independent Smallholder Standard.	1.1 E	Legally registered entities have documented evidence to include: 1. Legal formation (as per country requirements) 2. Fair and transparent decision making and governance 3. Additional documents per requirements for Group Formation and Management. 4. Signed or thumb printed Smallholder Declaration from all smallholder members, reference Annex 2.	Remote
		1.1 MS A	Group manager and group members have an i) Internal Control System (ICS) that meets all the ICS Eligibility and MS A requirements (section 3.2 below) and complete training on oil palm pricing mechanisms, financial management, and best practices for smallholder organisations.	Remote & On site
		1.1 MS B	Smallholder groups are operating in accordance to best management practices for groups, including: • Fair and transparent decision making and governance; and • Sustainable financial management	Remote & On site
1.2	Smallholders have capacity to effectively manage their farm.	NA	NA	
		1.2 MS A	Smallholders complete training on farm business operations, monitoring and planning. The training includes capacity building on record keeping for production, including inputs and yields, transactions, and variety.	Remote & On site
		1.2 MS B	Smallholders are managing their farms effectively and maintain records of production and transaction data of all FFB sales.	Remote & On site

1.3	Smallholders implement good agricultural practices (GAP) on their farms.	1.3 E	Smallholders commit to implementing good agricultural practices on their farms. (Reference Smallholder Declaration, 1.1.E, Annex 2)	Remote
		1.3 MS A	Smallholders complete training on Good Agriculture Practices (GAP).	Remote & On site
		1.3 MS B	Smallholders have adopted GAP on their farms and are tracking productivity through, but not limited to, records of FFB sales.	On site
Principle 2: Ensure legality, respect for land rights and community wellbeing				
	Criterion		Indicator	Remote/On Site
2.1	Smallholders have legal or customary rights to use the land in accordance with national and local laws and customary practices.	2.1 E	Smallholders provide the coordinates or maps of their plots and evidence of ownership or rights to use the land. (Reference indicator 1.1.E, Annex 2)	Remote & On site
		2.1 MS A	Smallholders can demonstrate legal ownership or customary rights to use the land or demonstrate that they are in the process of legalisation of that right.	Remote & On site
		2.1 MS B	Smallholder plots are clearly and visibly demarcated and maintained and the smallholders are operating only within these boundaries.	On site
2.2	Smallholders have not acquired lands from indigenous peoples, local communities or other users without their free, prior and informed consent, based on a simplified FPIC approach.	2.2 E	For existing plots, smallholders can demonstrate that they have not acquired land without free, prior and informed consent of indigenous peoples, local communities or other users (Ref. Indicator 1.1 E, Annex 2).	Remote & On Site
		2.2 MS A	Same as Eligibility	On Site
		2.2 MS B	Same as Eligibility	

2.3	The right to use the land is not disputed by indigenous peoples, local communities or other users.	2.3 E	Smallholders declare any existing disputes, commit to resolving any existing disputes and provide information on the current status of those disputes. (Ref. indicators 1.1.E, Annex 2)	Remote
		2.3 MS A	There is an absence of disputes among indigenous peoples, local communities or other users, regarding land, resource-use and access rights; or where there is a dispute, dispute resolution processes are implemented and accepted by all parties involved.	Remote & On site
		2.3 MS B	Same as Milestone A	
2.4	Smallholder plots are located outside of areas classified as national parks or protected areas, as defined by national, regional or local law or as specified in National Interpretations.	2.4 E	Smallholder plots are located outside areas classified as national parks or protected areas as defined by national, regional or local law or as specified in National Interpretations (Ref 1.1.E, Annex 2).	Remote & On site
		2.4 MS A	Same as Eligibility	Remote & On Site
		2.4 MS B	Same as Eligibility	
2.5	<p>For new plantings, smallholders do not clear or acquire any land without obtaining the free, prior and informed consent (FPIC), of local communities and indigenous people, based on a simplified FPIC approach.</p> <p>Do any smallholders within the group have plans for new plantings of oil palm? If none, SKIP</p>	2.5 E	For new oil palm plantings, smallholders commit not to clear or acquire land from indigenous people, local communities, or other users without their free, prior and informed consent, based on a simplified FPIC approach (Reference 1.1.E, Annex 2)	Remote
		2.5 MS A	Smallholders complete training on how to conduct a simplified FPIC approach.	Remote & On site
		2.5 MS B	Based on a simplified FPIC approach, smallholders jointly agree on a plan with local communities and rights holders, including vulnerable groups, for new oil palm developments, if these involve land-use change.	

			Do any smallholders within the group have plans for new plantings of oil palm? If none, SKIP	
Principle 3: Respect human rights, including workers' rights and conditions				
Criterion		Indicator		Remote/On Site
3.1	There is no use of forced labour.	3.1 E	Smallholders commit to no forced labour and ensure that any forced labour on the farm is terminated at Eligibility. They provide information on the source of labour on the farm, including the family, contract and hired labour. (Reference 1.1.E, Annex 2)	Remote & On Site
		3.1 MS A	Smallholders complete training on fair labour and implement measures to ensure that all work is voluntary and following practices are prohibited: <ul style="list-style-type: none"> • Retention of identity documents or passports; • Worker payment of recruitment fees; • Contract substitution; • Involuntary overtime; • Lack of freedom of workers to resign; • Penalty for termination of employment; • Debt bondage; • Withholding of wages 	Remote & On site
		3.1 MS B	Workers on the farm, including their families, have unrestricted access to their identity documents, have freedom of movement and can declare that their employment is freely chosen.	On site

3.2	Children are not employed or exploited. Work by children is acceptable on family farms, under adult supervision and when not interfering with education programmes. Children are not exposed to hazardous working conditions.	3.2 E	Smallholders are aware of what child labour is and ensure any child labour in the farm operations are terminated at Eligibility. Awareness of child labour and commitment to no child labour includes: <ol style="list-style-type: none"> 1. Compliance with the minimum age of workers and as defined by local, state, or national law. 2. Not exposing children to hazardous work. 3. Providing adult supervision of young people working on the farm. 4. Ensuring the practice of children’s rights to education is unrestricted and respected. (Reference 1.1. E, Annex 2) 	Remote & On Site
		3.2 MS A	Group managers and smallholders implement measures to protect children as follows: <ol style="list-style-type: none"> 1. There are no workers on smallholder farms under the age of 15 or under the minimum age defined by local, state or national law, whichever is higher. 2. Children are only permitted to help on family farms and are not permitted to perform hazardous or heavy work. 3. If young workers are employed, their work is not mentally or physically harmful and does not interfere with their schooling, if applicable. 	On site
		3.2 MS B	Same as Milestone A	On site
3.3	Workers’ pay complies with minimum legal requirements, mandatory industry standards as defined by national law or collective bargaining, whichever takes priority in local regulations.	3.3 E	Smallholders commit to pay workers according to minimum legal requirements or mandatory industry standards (Reference 1.1. E, Annex 2).	Remote
		3.3 MS A	Workers receive payments as expected and agreed in accordance with at least the legal minimum wage rate (excluding overtime premiums) and without discrimination against vulnerable groups, including women.	On site

	Are there workers on the farm? If no, SKIP	3.3 MS B	Workers receive payments as expected and agreed in accordance with at least the legal minimum wage rate (excluding overtime premiums) and without discrimination against vulnerable groups including against women.	On site
3.4	Workers understand their rights and freedom to file a complaint to group manager or relevant third parties, including RSPO. Are there workers on the farm? If no, SKIP	3.4 E	Smallholders commit to respect the rights of workers to file a complaint (Reference 1.1. E, Annex 2).	Remote
		3.4 MS A	Smallholders complete training on workers' rights to file complaints and communicate to workers the means to file a complaint.	Remote & On site
		3.4 MS B	Workers are aware of and have access to an effective means for filing a complaint.	On site
3.5	Working conditions and facilities are safe and meet minimum legal requirements.	3.5 E	Smallholders commit to providing safe working conditions and facilities (Reference 1.1. E, Annex 2).	Remote
		3.5 MS A	Smallholders, workers, and family members complete training and aware of health and safety risks associated with farm work, (including that of pesticide use) and how to mitigate these.	Remote & On site
		3.5 MS B	Workers, including smallholder family members, have access to safe working conditions and amenities to include: <ul style="list-style-type: none"> • Safe and adequate housing, where applicable, • Access to basic first aid supplies, • Health and safety equipment, including minimum personal protective equipment (PPE) if appropriate for the type of work, • Adequate drinking water, and • Access to toilets 	On site
3.6	There is no discrimination, harassment, or abuse on the farm	3.6 E	Smallholders commit to no discrimination, harassment or abuse on the farm. (Reference 1.1. E, Annex 2)	Remote
		3.6 MS A	Smallholders complete training on workplace discrimination, harassment and abuse and are aware of need for a safe workspace.	Remote & On site

	Are there workers on the farm? If no, SKIP	3.6 MS B	Workers freely express that they are working in a place that is free from discrimination, harassment or abuse.	On site
Principle 4: Protect, conserve and enhance ecosystems and the environment				
	Criterion		Indicator	Remote/On Site
4.1	High Conservation Values (HCVs) on the smallholder plot or within the managed area and High Carbon Stock (HCS) forests identified after November 2019 using the simplified combined HCV-HCS approach are managed to ensure that they are maintained and/or enhanced.	4.1 E	Smallholders commit to protect HCVs and HCS forests through the precautionary practices approach (Reference 1.1.E, Annex 2)	Remote
		4.1 MS A	Smallholders complete training on and are aware of: <ul style="list-style-type: none"> - The importance of maintaining and conserving HCVs and HCS forests; - Human-wildlife conflict; and - Recognising rare, threatened and endangered species and important ecosystems 	Remote
		4.1 MS B	Smallholders implement precautionary practices and manage and maintain rare, threatened and endangered species, HCVs and HCS forests, where applicable.	On site
4.2	Where the existing smallholder plot has been planted and cleared after November 2005 or is on an area identified as HCS forests after November 2019 up to the eligibility period, a remediation and compensation process appropriate for smallholders based on Land Use Change Analysis (LUCA) will be applicable (Reference preamble).	4.2 E	Smallholders provide information on all smallholder plots converted and planted with oil palm after 2005, through use of the simplified combined HCV-HCS approach for Smallholders. (Reference 1.1E, Annex 2).	Remote
		4.2 MS A	Group members develop a plan to identify the maximum area for on-site remediation of HCVs lost since 2005 and HCS forests lost since November 2019, through a participatory process. and the plan is submitted to the RSPO.	Remote
		4.2 MS B	An RSPO-approved plan to remediate for HCVs lost since 2005 and HCS forests lost since November 2019 is implemented.	On site
4.3	New plantings of independent smallholders, since November 2019:	4.3 E		Remote

	<ul style="list-style-type: none"> Do not replace any HCVs Do not replace any HCS forests as defined by the simplified combined HCV-HCS approach Are not on steep slopes (more than 25 degrees or as in NI) Are not on peat areas of any depth. <p>Do any smallholders within the group have plans for new plantings of oil palm? If none, SKIP</p>		Smallholders provide information on all planned new plantings and commit that no new plantings are on HCVs or HCS forests, on steep slopes (more than 25 degrees or as in NI) or on peat. (Reference 1.1.E, Annex 2).	
		4.3 MS A	Before any land preparation commences, group members develop an integrated management plan through a participatory approach to maintain or enhance HCVs as well as HCS forests identified after November 2019, as identified by the simplified combined HCV and HCS approach, before any land preparation commences.	Remote & On site
		4.3 MS B	Smallholders have an RSPO approved integrated management plan for their planned new plantings and share a notice of this plan with those involved in the participatory mapping before any land preparation commences.	On site
			Do any smallholders within the group have plans for new plantings of oil palm?	
			Do any smallholders within the group have plans for new plantings of oil palm?	
4.4	Where smallholder plots exist on peat, subsidence and degradation of peat soils is minimised by use of best management practices.	4.4 E	Group manager confirms presence of peat on existing plots within the group and smallholders on peat commit to using best management practices and minimizing subsidence and degradation of peat soils (Reference 1.1 E, Annex 2).	Remote
		4.4 MS A	Smallholders complete training on best management practices (BMPs) for peat. The group has an action plan to minimise risk of fire, to apply BMPs for plantings on peat and manage a water system in the certification unit.	Remote & On site

		4.4 MS B	Smallholders implement the group's action plan based on best management practices, including fire and water management and monitoring of subsidence rate for existing plantings on peat.	On site
4.5	Plots on peat are replanted only on areas with low risk of flooding, saline intrusion as demonstrated by a risk assessment. Do any smallholders within the group have plans for replanting plots that are located on peat? If no, SKIP	4.5 E	Smallholders commit to provide information on all plans for replanting and commit that replanting will only be in areas with low risk of flooding and saline intrusion (Reference 1.1.E, Annex 2).	Remote
		4.5 MS A	Smallholders with plots on peat complete training on identification of future risks of flooding associated with subsidence and alternate land development strategies.	Remote
		4.5 MS B	Prior to replanting on peat smallholders complete a risk assessment related to flooding associated with subsidence and, where there is high risk, present a plan that includes alternate land development strategies, preferencing alternative livelihood planning.	Remote & On site
4.6	Fire is not used on the oil palm plot for preparing land or for pest control, nor open fire for waste management on the farm.	4.6 E	Smallholders commit to no burning for preparing land or for pest control, nor open fire for waste management. Group manager records evidence of prior burning of members joining the group (Reference 1.1.E, Annex 2).	Remote
		4.6 MS A	There is no physical evidence of new burning (after eligibility) for land preparation for oil palm by smallholders. Smallholders complete training on and are aware of: <ul style="list-style-type: none"> • Alternatives to fire for land preparation and farm waste management (where appropriate possible) • Alternatives to fire for pest control • Fire prevention and how to respond to and manage fires in their community and village. 	On site

		4.6 MS B	Smallholders do not use fire or practice burning for land preparation, waste management or pest control on the farm. For pest control, fire may be used only in exceptional circumstances where no other effective measures exist and with prior approval of relevant authority.	On site
4.7	Riparian buffer zones are identified and managed to ensure they are maintained and/or enhanced.	4.7 E	Group manager identifies riparian buffer zones within the group and smallholders commit to no new plantings in riparian zones (Reference 1.1.E, Annex 2)	Remote & On Site
		4.7 MS A	Smallholders complete training on and are aware of riparian buffer zone management and the group has an action plan to maintain and/or enhance riparian buffer zones.	On site
		4.7 MS B	Smallholders maintain and/or enhance riparian buffer zone areas.	On site
4.8	Pesticides are used in ways that do not endanger health of workers, family, communities or the environment.	4.8 E	Smallholders commit to phase out paraquat and pesticides categorized as WHO Class 1A or 1B and those listed by the Stockholm or Rotterdam Conventions by: <ul style="list-style-type: none"> • Immediately stopping purchasing of these pesticides • Phasing out use of remaining stock by MS A • Providing information for the group manager to keep record of pesticide purchase and use. (Reference 1.1.E, Annex 2)	Remote & On Site
		4.8 MS A	Smallholders complete training on best management practices for pesticides including pesticide usage, awareness on risks for pregnant and breastfeeding women and young workers, storage and disposal; paraquat and pesticides listed by WHO Class 1A or 1B, the Stockholm or Rotterdam Conventions (and in compliance with 3.5).	Remote & On Site

		4.8 MS B	Smallholders implement best management practices for all pesticide use, including prohibiting use of pesticides by pregnant and breastfeeding women and young workers, and exclusion of paraquat and pesticides that are categorised as WHO Class 1A or 1B, or those listed by the Stockholm or Rotterdam Conventions, unless when authorized by relevant authorities for pest outbreaks.	On site
4.9	The group and smallholders manage pests, diseases, weeds and invasive introduced species using appropriate techniques, including but not limited to Integrated Pest Management (IPM) techniques.	NA	NA	
		4.9 MS A	Smallholders complete training on and are aware of best management practices, including, but not limited to safe chemical use, IPM, weed and invasive species management.	Remote
		4.9 MS B	The group and smallholders maximise use of IPM approaches to minimize use of pesticides on their farm.	On site

The Internal Control System Requirements for Smallholder Groups					
A – ICS: Group entity and group management requirements					
Criterion		Indicator		Remote/On Site	
A1	The Group demonstrates that they are legally formed.	A1.1	A1.1 E	The Group has appointed a group manager.	Remote
			A1.1 MS A	Same as E	
			A1.1 MS B	Same as E	
		A1.2	A1.2 E	The group manager has evidence of legal identity.	Remote
			A1.2 MS A	Same as E	
			A1.2 MS B	Same as E	
		A1.3	A1.3 E	The Group has membership requirements.	

			A1.3 MS A	Same as E	Remote
			A1.3 MS B	Same as E	
		A1.4	A1.4 E	All members have signed and acknowledged membership requirements.	Remote
			A1.4 MS A	All members can demonstrate understanding of membership requirements.	
			A1.4 MS B	Same as E & MS A	
A2	The Group Manager is responsible for managing the Group for certification.	A2.1	A2.1 E	The group manager has planned for the implementation of the ICS.	Remote
			A2.1 MS A	The group Manager can demonstrate compliance of the ICS by individual members.	On site
			A2.1 MS B	Same as E & MS A	
		A2.2	A2.2 E	The group Manager demonstrates understanding of the ISH Standard, group certification and related topics and has sufficient resources to manage a group.	Remote
			A2.2 MS A	The group Manager can demonstrate capacity to manage and run group certification and certification requirements.	Remote & On site
			A2.2 MS B	Same as E & MS A	
		A2.3	A2.3 E	A group annual training plan is available covering the RSPO Independent Smallholder Standard, group management (which includes group objectives, structure, relevant procedures and certification process) and other topics as outlined in the ISH Standard.	Remote

			A2.3 MS A	The group manager implements a phased approach to ensure members have progressively attended training on the ISH Standard, group management and other topics as outlined in the ISH Standard according to the group annual training plan.	Remote
			A2.3 MS B	Members can demonstrate understanding of the ISH Standard, group management and certification requirements including awareness on BMP, HCV, environmental protection, social welfare of workers and business operations.	Remote & On site
B – ICS: Policies and management					
Criterion		Indicator			Remote/On Site
B1	The group Internal Control System contains documented policies and procedures for operational management.	B1.1	B1.1 E	A group Internal Control System is available for operational management including procedures of expulsion and sanctions for members who fail to comply, including procedure to conduct internal audits.	Remote
			B1.1 MS A	The ICS is implemented and internal audit is conducted for at least half of the group members and all audit findings are closed	Remote & On site
			B1.1 MS B	The ICS is implemented and internal audit is conducted for all group members and all audit findings are closed.	Remote & On site
		B1.2	B1.2 E	Basic information, farm information, production data, legal documentation of group members and signed Smallholder Declarations are available to the group manager	Remote
			B1.2 MS A	Same as E	
			B1.2 MS B	Same as E	
C – ICS: Group business planning					
Criterion		Indicator			Remote/On Site
C1	The group has a group Business Plan prepared with	C1.1	C1.1 E	An annual group business plan is available, which includes: <ul style="list-style-type: none"> ● Production and income forecasting based on historical 	Remote

	the participation and contributions of group members.			records <ul style="list-style-type: none"> Plans for expansion 	
			C1.1 MS A	The group business plan is implemented and reviewed at least annually.	Remote
			C1.1 MS B	The group demonstrates financial stability and growth, and is able to support itself financially.	Remote
C2	The ICS of the group is integrated with the Group's Management Plan.	C2.1	C2.1 E	A group management plan is available which includes: <ul style="list-style-type: none"> Training/capacity building plans to improve productivity of group members An approach to strengthen links within the supply chain Plan for continuous improvement projects (i.e. on waste, soil, etc.), if any 	Remote
			C2.1 MS A	The group management plan is implemented and reviewed at least annually.	Remote
			C2.1 MS B	The group manager demonstrates the group's compliance with this ISH Standard.	Remote & On Site
D – ICS: Group trading system for certified volumes					
Criterion		Indicator			Remote/On Site
D1	The group has a procedure and system in place for the tracking of FFB.	D1.1	D1.1 E	Record sheets to track the annual production and sales of certified volumes, covering traceability of producers and/or traders is available.	Remote
			D1.1 MS A	Group Manager maintains annual production records and sales of certified volumes.	Remote
			D1.1 MS B	Group Manager maintains annual production records and sales of certified volumes of all FFB sources.	Remote
D2		D2.1	D2.1 E	N/A	

	The group documents and implements a system for the tracking of FFB.		D2.1 MS A	Group Manager maintains annual production data and sales of certified volumes through Book and Claim for the group based on actual receipts and sales of all members	Remote
			D2.1 MS B	Group Manager maintains annual production data and sales of certified volumes through physical or Book and Claim for the group based on actual receipts and sales for all members and 100% all certified volumes.	Remote
D3	The group has a procedure and system for premium distribution.	D1.3	D3.1 E	The group and Group Manager have agreed on how the premiums should be used and the agreement is recorded and communicated to the group members. Prices, premiums, and timing of premium payment are clearly communicated and transparent to group members. Premiums disbursed to members at all stages are recorded and the premiums are paid in a timely and convenient manner.	Remote
			D3.1 MS A	Disbursement of premiums, including price and timing of the disbursement to group members is clearly recorded.	Remote & On site
		D3.1 MS B	Same as E & MS A	Remote & On site	