RSPO CB INTERPRETATION FORUM

23rd – 25th May 2023
DoubleTree by Hilton, Parque 93
Bogota, Colombia D.C.

www.rspo.org

CERTIFIED SUSTAINABLE PALM OIL™
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AGENDAS

23 May 2023 (Tuesday)

Time	Session
8.15am	*Registration of participants*
8.30am - 8.45am	**Opening Remarks** *Diego Pierrend, Manager, Technical (LaTam)*
8.45am - 9.00am	**RSPO Assurance Structure** *Wan Muqtadir, Head of Integrity*
9.00am - 10.00am	**Updates from RSPO Secretariat** *Shazaley Abdullah, Head of Certification*
10.00am - 10.15am	*Coffee break*
10.15am - 11.30am	**RSPO PalmTrace: Common issues identified during License Submission** *Amirul Arif, Manager, Certification (P&C)*
11.30am - 12.30pm	**Updates from RSPO Secretariat** *RSPO Group Certification Document, RSPO Metrics Template Reporting* *Amirul Arif, Manager, Certification (P&C)*
12.30pm - 2.00pm	*Lunch break*
2.00pm - 3.00pm	**Socialization on RSPO Labour Auditing Guidance** *Wan Muqtadir, Head of Integrity*
3.00pm - 4.00pm	**RSPO Assurance Forum for CB Auditors** *Improving audit on Labour Elements (Practical Exercise)* *Integrity Unit*
4.00pm - 4.15pm	*Coffee break*
4.15pm - 5.15pm	**RSPO Assurance Forum for CB Auditors** *Improving audit on Labour Elements (Open Forum/Q&A)* *Integrity Unit*
5.15pm - 5.30pm	**Question and Answer Session/Discussion**
5.30pm	*Session adjourned*

24 May 2023 (Wednesday)

Time	Session
8.15am	*Registration of participants*
8.30am - 9.30am	**Workshop on GIS: Using Geospatial Tools for Auditing** *Farkhani Noor, Manager, GIS*
9.30am - 10.45am	**RSPO New Planting Procedure: Auditing RSPO NPP Requirements** *Zaidee Tahir, Manager, Integrity*
10.45am - 11.00am	*Coffee break*
11.00am - 12.00pm	**RSPO Remediation and Compensation Procedure (RaCP)** *Wan Muqtadir, Head of Integrity*
12.00pm - 12.45pm	**NC Analysis Discussion with Auditors** *Wan Muqtadir, Head of Integrity*
12.45pm - 2.00pm	*Lunch break*
2.00pm - 3.00pm	**Updates from Assurance Services International** *Jan Pierre, RSPO Program Manager, ASI*
3.00pm - 4.00pm	**Updates from RSPO Secretariat (RSPO Supply Chain Certification)** *RSPO Interpretation Portal Discussion, Updates on RSPO Book and Claim Audit* *Shazaley Abdullah, Head of Certification*
4.00pm - 4.15pm	*Coffee break*
4.15pm - 5.15pm	**Socialization on RSPO Rules on Market Communication and Claims** *Shazaley Abdullah, Head of Certification*
5.15pm - 5.30pm	**Question and Answer Session/Discussion**
5.30pm	*Session adjourned*

25 May 2023 (Thursday)

Time	Session
8.15am	*Registration of participants*
8.30am - 8.45am	**Introduction to RSPO ISH Training (4.8.6 f) for CB Auditors** *Shazaley Abdullah, Head of Certification*
8.45am - 10.15am	**RSPO ISH Training for CB Auditors** *RSPO Certification System Documents, Certification Process, RISS 2019 Standard* *Amirul Arif, Manager, Certification (P&C)*
10.15am - 10.30am	*Coffee break*
10.30am - 11.30am	**RSPO ISH Training for CB Auditors** *ICS Management, Internal Audit Requirements* *Shazaley Abdullah, Head of Certification*
11.30am - 12.30pm	**RSPO ISH Training for CB Auditors** *Ensuring Compliance on RaCP for ISH* *Wan Muqtadir, Head of Integrity*
12.30pm - 2.00pm	*Lunch break*
2.00pm - 3.00pm	**RSPO ISH Training for CB Auditors** *HCV Assessment Process for ISH, Simplified HCV Tools* *Farkhani Noor, Manager, GIS*
3.00pm - 4.30pm	**RSPO ISH Training for CB Auditors** *RSPO PalmTrace Licensing and Trading for ISH* *Rainforest Alliance (RA)*
4.30pm - 4.45pm	*Coffee break*
4.45pm - 5.15pm	**Question and Answer Session/Discussion**
5.15pm - 5.30pm	**Closing Remark** *Diego Pierrend, Manager, Technical (LaTam)*
5.30pm	*Session end*

RSPO CB INTERPRETATION FORUM

OPENING REMARK

Diego Pierrend
Manager, Technical (LaTam)

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RSPO CB INTERPRETATION FORUM

RSPO ASSURANCE STRUCTURE

Wan Muqtadir
Head, Integrity

RSPO CB Interpretation Forum

Bogota, Colombia D.C.

Introduction

RSPO Secretariat Leadership Team

Joseph (JD) D'Cruz

Chief Executive Officer

Nikki Gee

Chief Strategy & Digital
Transformation Officer

Tiur Rumondang

Director, Special Projects

Aryo Gustomo

Assurance
Director, Assurance

Eileen Ho

Finance, Business Solutions,
Legal & Procurement
Director, Finance

Francisco Naranjo

Technical & Smallholder
Director, Technical

Irene Fischbach

Stakeholder Engagement &
Communications
Director, Stakeholder
Engagement &
Communications

Inke Van Der Sluijs

Market Transformation
Director, Market
Transformation

Patrick Chia

Finance, Business Solutions,
Legal & Procurement
Chief Financial Officer

Chan Zhan Kin

Human Resources
Director, Human Resources

CEO Office

Kenny Lee
Programme Manager

Pravin Rajandran
Head, Grievance

Yen Hung Sung
Head, Impacts & MEL

Kwek Mei Jiun
Manager, MEL

Standard Development Division

Leena Gosh
Head, Human Rights,
& Social Standard

Javin Tan
Head, Standard
Design & Innovation

Ariel Toh
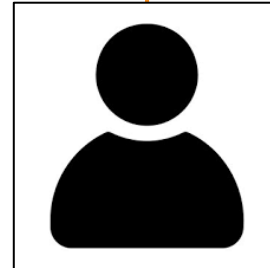Head, Climate Change

ASSURANCE Division

meet the Assurance team!

Aryo Gustomo (Director, Assurance)
Based in Jakarta office

Yulia Rossana (Executive Assistant)
Based in Jakarta office

Dpt. Director, Compliance

Citra Hartati
(Head of Risk Unit)
Based in Jakarta office

M. Shazaley Abdullah
(Head of Certification)
Based in KL office

Wan Muqtadir
(Head of Integrity)
Based in KL office

Marie Rosine
(Assurance Mgr, Africa)
Based in Cameroon

Divya Bajpai
(Assurance Mgr, Europe)
Based in Netherland

ASSURANCE

The Assurance - Certification team

Shazaley (Head of Certification)
Based in KL office

Angki
(Mgr, Certification Smallholders)
Jakarta office

VACANT
(Executive, Cert Smallholder)

Amirul (Manager, Cert P&C)
Based in KL office

Nadia
(Executive, Cert P&C)
Based in KL office

Ruzita (SCC Cert Mgr)
Based in KL office

Hanib (Executive, Cert SCC)
Based in KL office

Amanina (Executive, Cert SCC)
Based in KL office

Shafiq (Data Analyst)
Based in KL office

Kirat
(Asst. Mgr, Trademark)
Based in KL office

Rachelle (Trademark support)
Based in KL office

ASSURANCE

The Assurance – Integrity Unit

Wan Muqtadir (Head of Integrity)
Based in KL office

Zaidee (Integrity Mgr)
Based in KL office

Farkhani (GIS Mgr)
`
Based in KL office

Kasput
(Enviro
Specialist
Indonesia)
Jakarta office

Coming soon
(Environmental
Specialist)
Based in KL office

Freda (Executive, Integrity)
Based in KL office

Fitry (Geospatial Exec.)
Based in KL office

VACANT
(GIS Executive)

Tika (Geomatic Exec.)
Based in Jakarta office

**Amirah
Hanisah
Restia**
(Enviro Management
Executive) Based in KL
and Jakarta Offices

ASSURANCE

the Assurance – Risk Unit team

Citra Hartati (Head of Risk Unit)
Based in Jakarta office

Ajmal (Manager, Risk)
Based in KL office

Esti (Manager, Risk – Human Rights Social)
Based in Jakarta office

Agit
(Manager, Risk - Environmental)
Based in Jakarta office

Saiful (Executive, Risk)
Based in KL office

Hadi (Executive, Risk)
Based in Jakarta office

Mission

The Assurance Division strives to **develop, monitor, maintain, and enhance** the RSPO Assurance System with a **transparent** and **consistent approach** to implementation, aimed at building stakeholder **trust and confidence**

Vision

The vision of the Assurance Division is to establish an RSPO Assurance System that is **highly trusted and credible**, designed to meet the needs (**Fit-for-Purpose**) of RSPO members and stakeholders. This will facilitate **increased production and uptake** of sustainable palm oil and its derivatives, while **upholding the highest standards of integrity and transparency**

Find out more at
www.rspo.org

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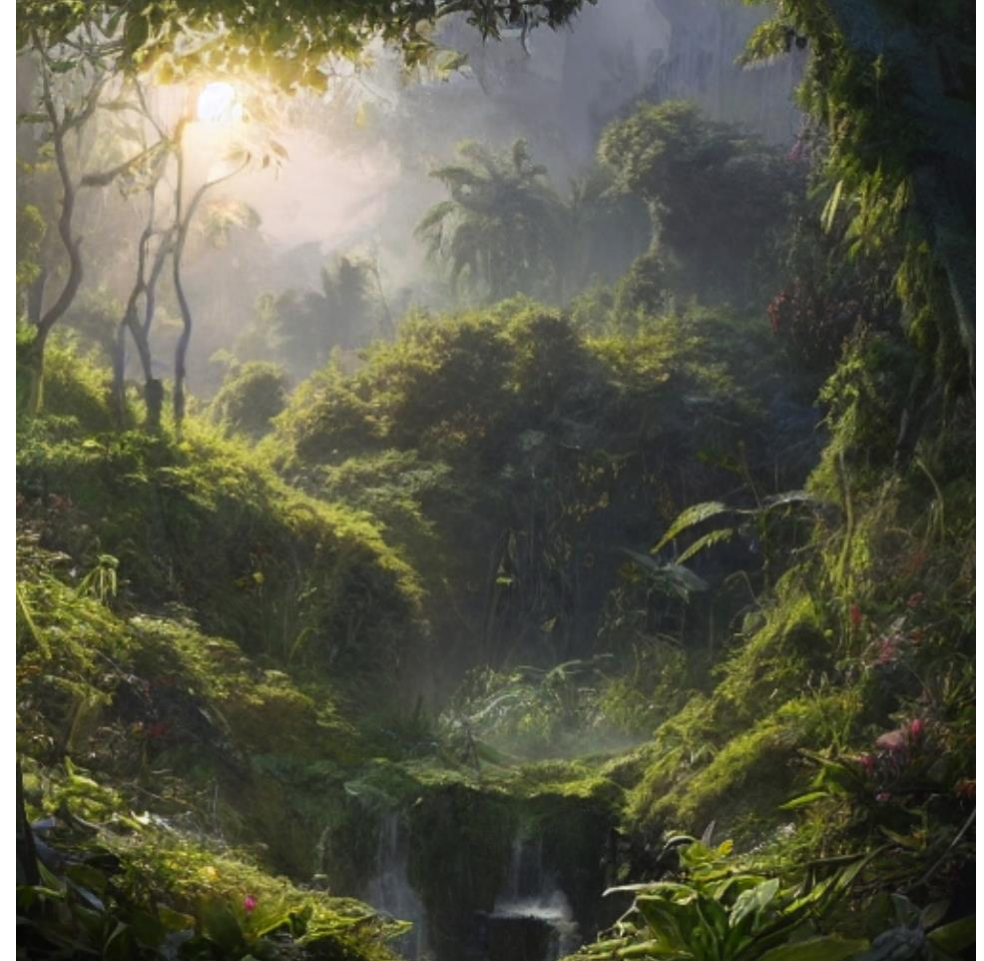
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RSPO CB INTERPRETATION FORUM

UPDATES FROM RSPO SECRETARIAT

Shazaley Abdullah
Head, Certification

www.rspo.org

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for your commitment in **MAKING SUSTAINABLE PALM OIL THE NORM**

Key Responsibilities - **RSPO Certification Unit**

Provision of support for the interpretation, implementation and monitoring of the Certification System Document

Certification System Documents

Development, Managing, provision of guidance and reviewing the license(s) for RSPO Members and CB for the use of RSPO RSPO PalmTrace Platform.

PalmTrace Platform

RSPO Interpretation Forum (RIF) Portal

Development, facilitation and provision of response for question / clarification / interpretation posted from RSPO Members, AB and/or CB.

Management of RSPO Trademark License, support services, guidance and facilitation on use of RSPO Trademark.

RSPO Trademark

Certification Data

Analyse data related to certification for RSPO BoG, Standing Committees, Working Group/Task Force, Secretariats and other interested parties (i.e. website)

Provision of support, technical interpretation and performance monitoring of Accreditation/Certification Body in implementing Certification System documents.

RSPO Accreditation / Certification Body

RSPO Members

Facilitation and provision of guidance for RSPO Members on the implementation of RSPO Certification System/Standards requirements.

Engagement Session **by Certification Unit**

RSPO CB Interpretation Forum

Medan (Aug 2022)
Amsterdam (Sep 2022)
Bangkok (Jan 2023)
Selangor (Feb 2023)
Accra (Feb 2023)
Bologna (Mar 2023)
Bogota (May 2023)
Miami (Jun 2023)

RSPO Members Interpretation Forum

Medan (Aug 2022)
Amsterdam (Sep 2022)
Bangkok (Jan 2023)
Accra (Feb 2023)
Bologna (Mar 2023)
Kuala Lumpur (May 2023)

RSPO PalmTrace Training

KL (Dec 2022)
Bangkok (Jan 2023)
Bologna (Mar 2023)

RSPO Certification Data
(as of 31 Mar 2023)

Membership Figures

Data presented below is as of 3/31/2023, unless stated otherwise

Active RSPO Members

5,558

RSPO Members' Countries and Territories

101

Top 10 RSPO Members by Countries and Territories
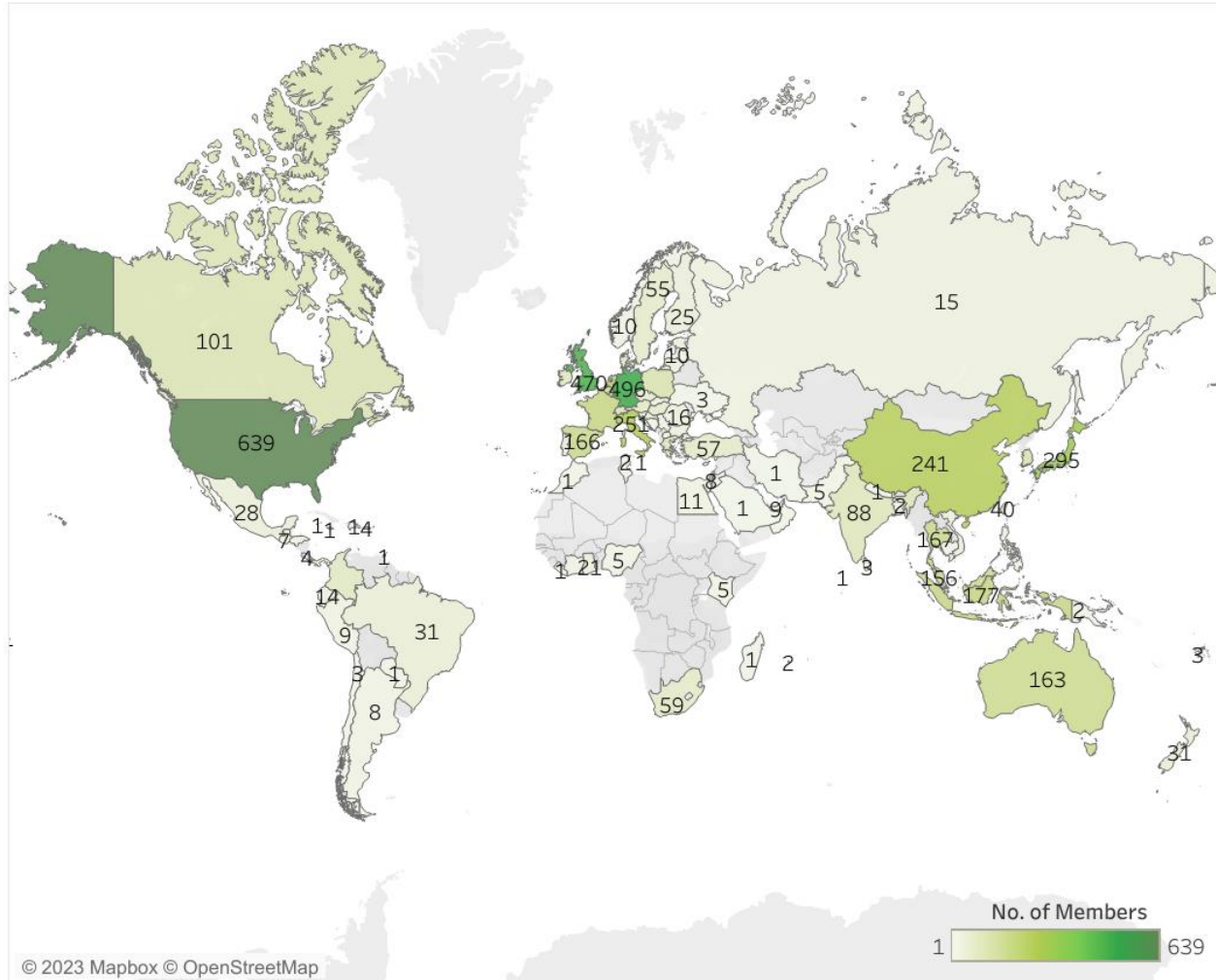
United States	639
Germany	496
United Kingdom	470
Japan	295
Italy	251
China	241
Netherlands	217
France	178
Indonesia	177
Thailand	167

RSPO Members By Countries and Territories

No. of Members
1 — 639

© 2023 Mapbox © OpenStreetMap

Membership Figures

Data presented below is as of 3/31/2023, unless stated otherwise

RSPO Members By Category

- 2,161
- 3,280
- 117
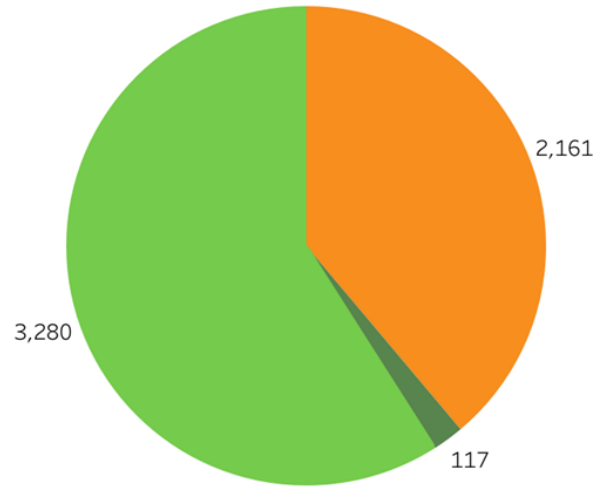
RSPO Ordinary Members By Sector

- 82 13 20
- 304
- 790
- 912

RSPO Members by Year

Year	Associate	Ordinary	Affiliate
2018	2,228	1,686	90
2019	2,632	1,839	105
2020	2,948	1,931	112
2021	3,103	2,022	108
2022	3,231	2,120	115
2023	3,279	2,161	117
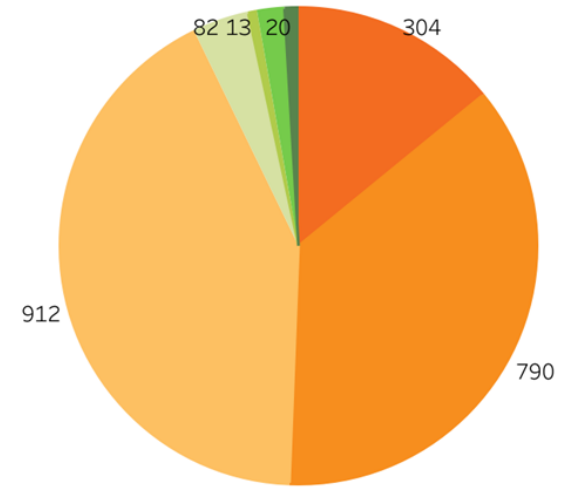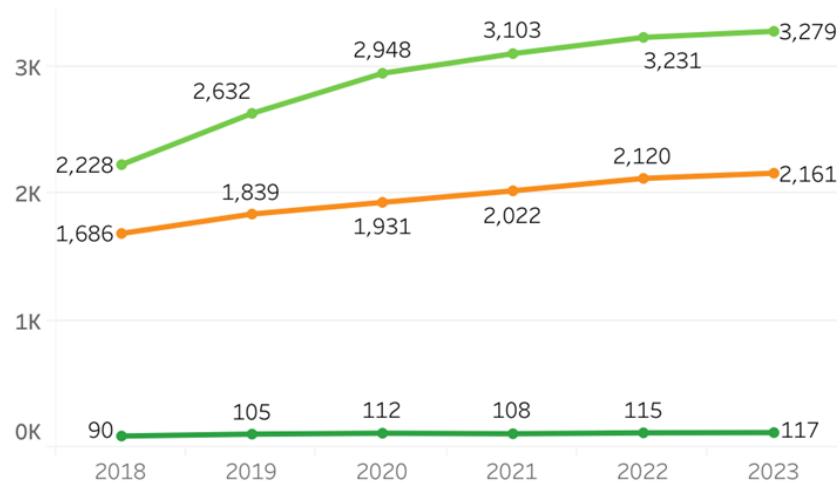
Legend:
- Ordinary
- Affiliate
- Associate

RSPO Ordinary Members by Year
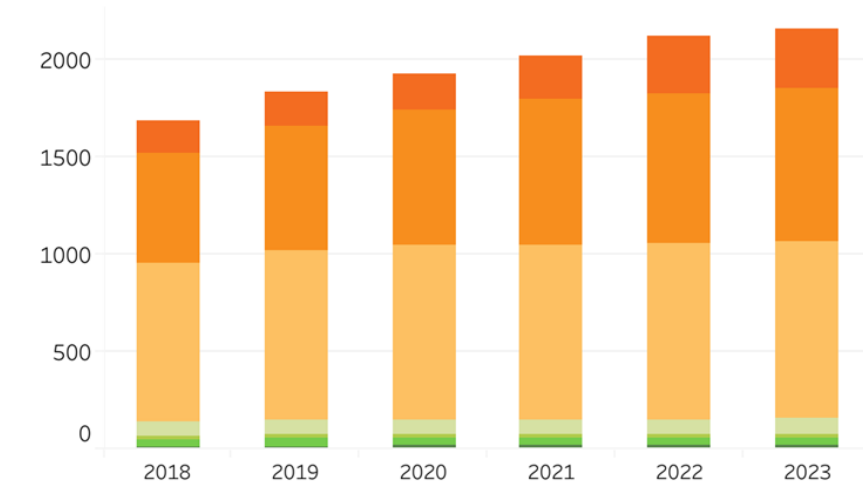
Legend:
- Oil Palm Growers
- Palm Oil Processors ..
- Consumer Goods Ma..
- Retailers
- Banks and Investors
- Environmental or Na..
- Social or Developme..

RSPO in Numbers
Data presented below is as of 3/31/2023, unless stated otherwise

P&C Certification Figures by Countries

4,962,191 Hectares certified

Certified Area includes the mill, mature and immature oil palm area, buildings and infrastructures, HCVs and any area within the boundary of the management unit. Figures inclusive of scheme & independent smallholders.

Certified Area
1,509 2,586,929

Certified Palm Oil Mills	Certified Grower
503 Units/Mills	**97** Members
Companies with Supply Chain Certificates	Facilities with Supply Chain Certificates
3,863 Companies	**6,650** Facilities/Mills

Certified Sustainable Palm Oil Production Area (ha)

Legend: Malaysia, Indonesia, Africa, LatAm, RoW

Source: https://rspo.org/our-impact/outcomes-and-impacts/

RSPO P&C – Q1 2023

- P&C certified available in 23 countries
- 44 newly certified mills in 2022
- 7% increase in certified area for 2022

CERTIFIED SUSTAINABLE PALM OIL ™ RSPO
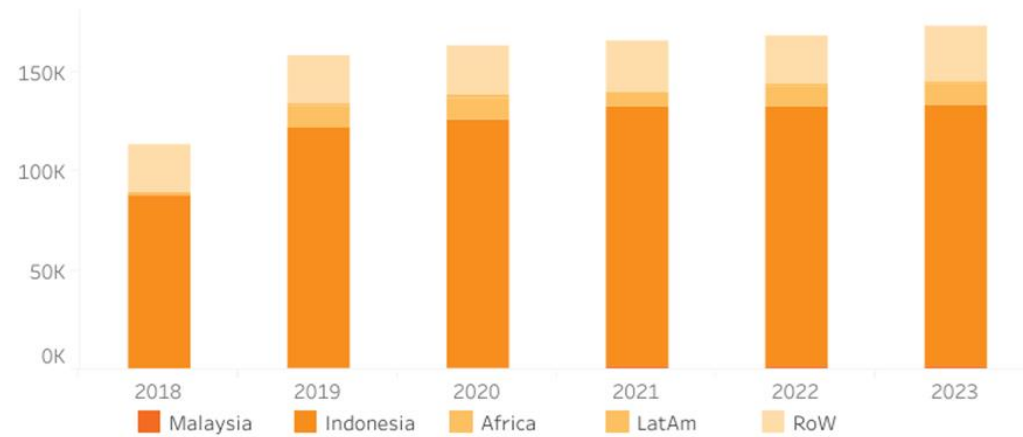
Transactions Performance (Jan-Dec)

SHIPPING TRANSACTIONS (CSPO 2021 vs 2022 Performance)

7,525,856
Volume YTD 2022

% relative change YTD

5% ⬆

7,153,060
Volume YTD 2021

YTD 2022, CSPO in MT

1,707,776 (22.69%)
3,070,280 (40.8%)
2,747,799 (36.51%)
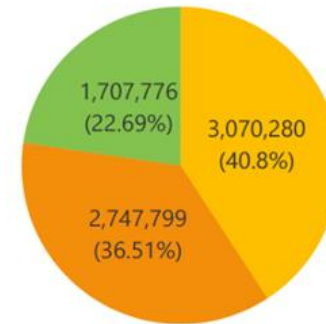
Program
- IP
- Mass Balance
- Segregated

YTD 2021, CSPO in MT

1,577,853 (22.06%)
2,915,672 (40.76%)
2,659,535 (37.18%)
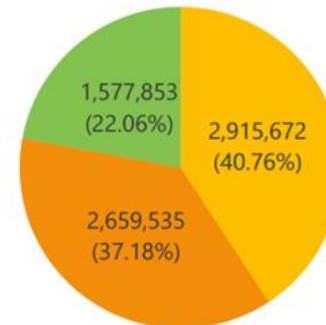
Program
- IP
- Mass Balance
- Segregated

Transactions Performance (Jan-Dec)

SHIPPING TRANSACTIONS (CSPK 2021 vs 2022 Performance)

2,713,856
Volume YTD 2022

% relative change YTD

3% ⬆

2,645,785
Volume YTD 2021

YTD 2022, CSPK in MT

149,842
(5.52%)

1,156,720
(42.62%)

1,407,294
(51.86%)
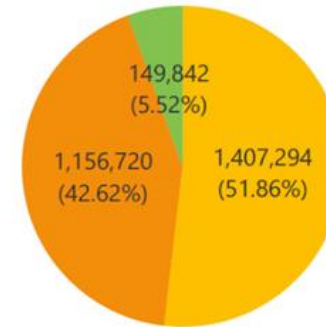
Program
● Mass Balance
● IP
● Segregated

YTD 2021, CSPK in MT

154,306
(5.83%)

1,139,314
(43.06%)

1,352,165
(51.11%)
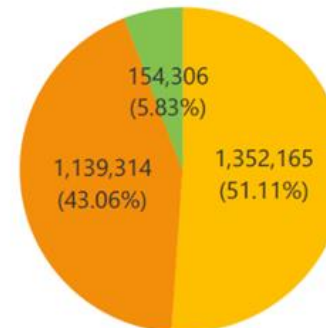
Program
● Mass Balance
● IP
● Segregated

Credit Trades, CSPO/IS-CSPO

Volume & Price, FY 2021-YTD 2023

CSPO, Credits and Weighted average price by Year

IS-CSPO, Credits and Weighted average price by Year

This presentation is for the purpose of the RSPO CB Interpretation Forum only. Always refer to the full document for official reference.
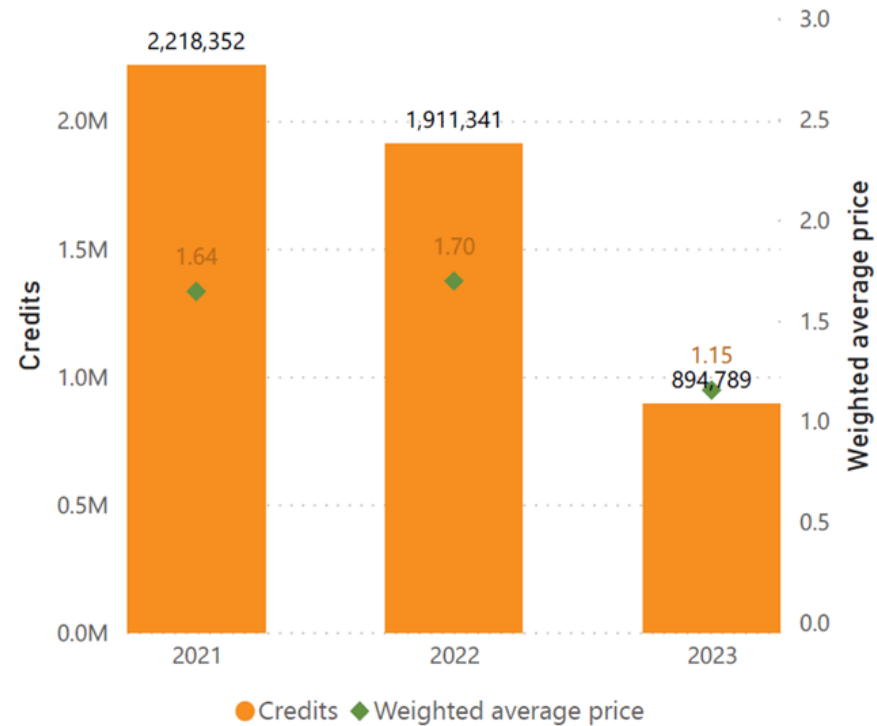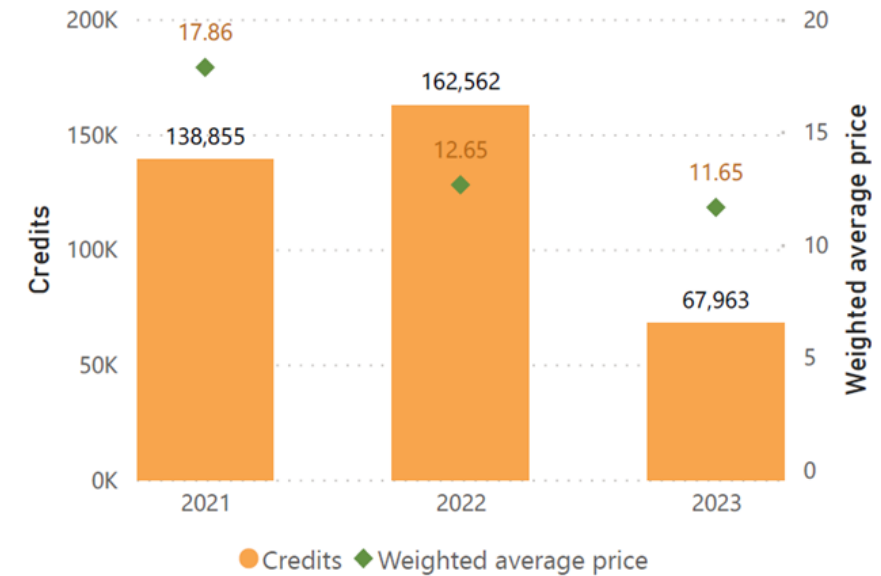
Credit Trades, CSPKO/IS-CSPKO

Volume & Price, FY 2021-YTD 2023

CSPKO, Credits and Weighted average price by Year

IS-CSPKO, Credits and Weighted average price by Year

This presentation is for the purpose of the RSPO CB Interpretation Forum only. Always refer to the full document for official reference.
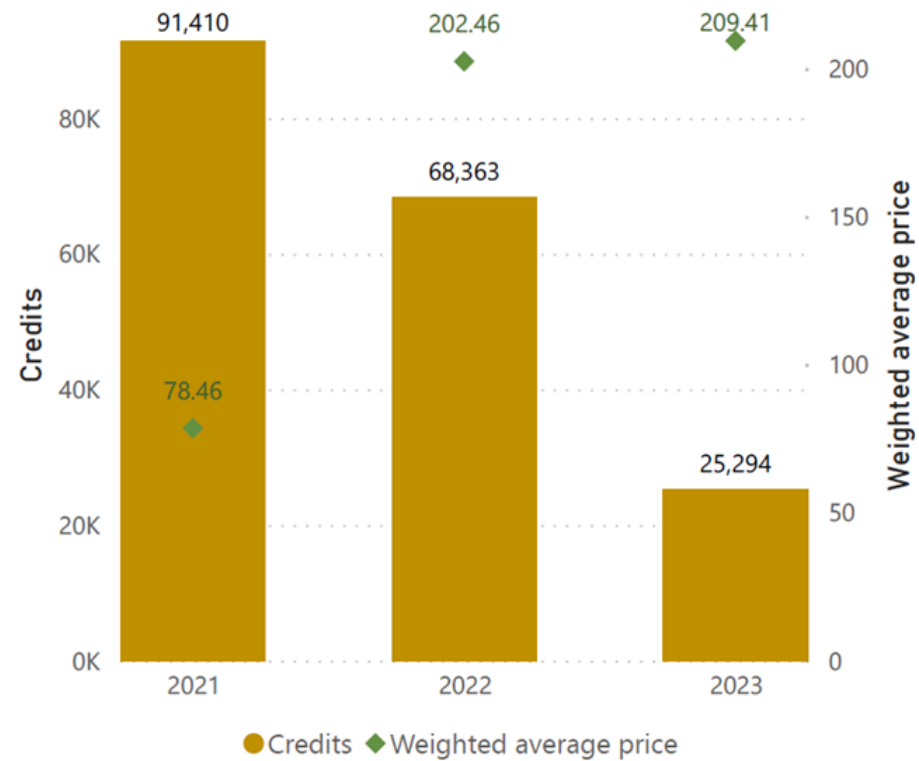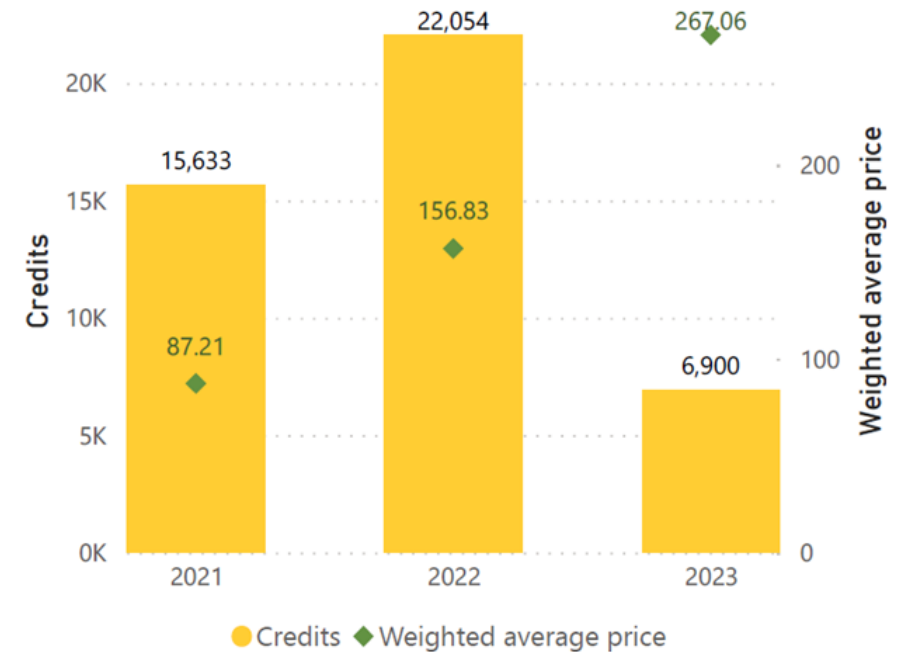
RSPO New Website

Updates from RSPO Secretariat

- **Launch of New RSPO Website**

  (**www.rspo.org**)

Updates from RSPO Secretariat

Updates from RSPO Secretariat

Updates from RSPO Secretariat

RSPO IT Platform Enhancement

RSPO IT Platform Enhancement

1 — **Synchronization between PT (SugarCRM) - RSPO Sales Force - Website**
- Main reason for unsync license due to membership change category and 'update' license function.

WORK IN PROGRESS

2 — **Mechanism to prevent sold volume exceeding the actual production**
- Phase 1: Warning message when allocating >70% certified volume
- Phase 2: Limiting ISH-GM to sell credits based on actual volume production

3 — **Destination Port Information Gathering in RSPO PalmTrace**
- Traceability exercise of physical movement of the RSPO certified sustainable oil palm products into the marketplace via Shipping Announcement. (Transportation Medium - Country - Departure and Arrival)

4 — **RISS multiple phase license submission**
- Assign license to multiple phase of RISS certification within their member (E1, E2, MS A and/or MS B)

RSPO IT Platform Enhancement

5
Email notification when a CB submit a license for RSPO Approval
- Once the CB request the renewal of your license to RSPO, you will receive an email notification.

6
Trademark Remote audit (Clause 5.1.6 of RSPO MC&C 2022)
- RSPO Rules on Market Communications and Claims 2022 - clause 5.1.6 (pg 12) requires member to conduct remote audit

WORK IN PROGRESS

7
Book & Claim Audit Checklist Submission in RSPO IT Platform (>500 credits claimed)
- P1: All members who want to purchase, claim and claim on behalf will be required to register in the PT
- P2: Integration of data between PT and RSPO CRM for the Book & Claim audit checklist submission

HOLD

8
CB can update an active license function
- Any active license will not require suspension for any case of update information.
- The new additional/update will only valid after approval by RSPO Secretariat

RSPO IT Platform Enhancement - for CBs

1. Update an active license function

2. Multiple Phase License Submission

3. Mechanism to prevent sold volume from exceeding the actual production.

1. Updating Active License Functions

In 2022, we implemented a new change in RSPO PalmTrace to make all the sections of an active license editable.

Steps for updating an active license:

| Go to the CB Area | → | Find the Member for whom you want to make a change in the license | → | Click on "Update license" | → | Make the changes in Sections 0, 1, 2 or 3 | → | Submit the updated license for approval |
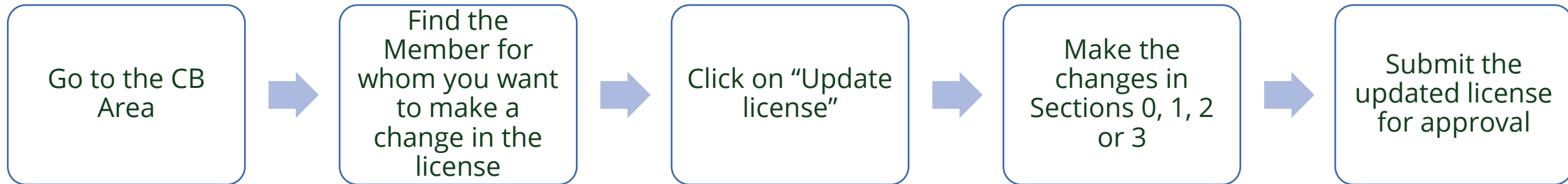
1. Updating Active License Functions

Section Update	Editable information	Went live in:
Section 0	• Member ID • RSPO Membership number • Audit information • Request approval	October 2021
Section 1	Type of member and activities • Type of certificate holder • Role of the certificate holder • Certified volume in case it applies	June 2022
Section 2	Questionnaire • Scope of assessments • Previous license volume info • Certified area info • GPS coordinates...	October 2022
Section 3	Certificate settings • Certificate • Audit report • Other documents	October 2021

2. Multiple Phase License Submission (RISS)

In the past, the PalmTrace licensing system only allowed one license type per PalmTrace ID.

It is now possible for an **ISH Group Manager** to have multiple phases of certification (E1, E2, MSA and/or MSB) reflected on the same license.

If you are requesting a license for an Independent Smallholder Group (P&C) with multiple phases of certification within their members, you can now select multiple assessment types (**E1, E2, MSA and MSB**) within the same license request.

You must specify the number of members in each subgroup as well as a manual allocation of certified volume to each group as per standards set by the ISH manager.

Multiple Phase License Submission

In **Section 3 – Certificate Settings**, in the Assessment Type, you can select all the aplicable certification criteria:

Multiple Phase License Submission

1. Introduce the volumes allocated for each one of the assessment types in this section. These must match the total volumes of the products in Section 1 for FFB, and IS-FFB.

2. Select the Member Certificate Number from the drop-down menu, the Start date and End date of the new license, and the Standard Audited:
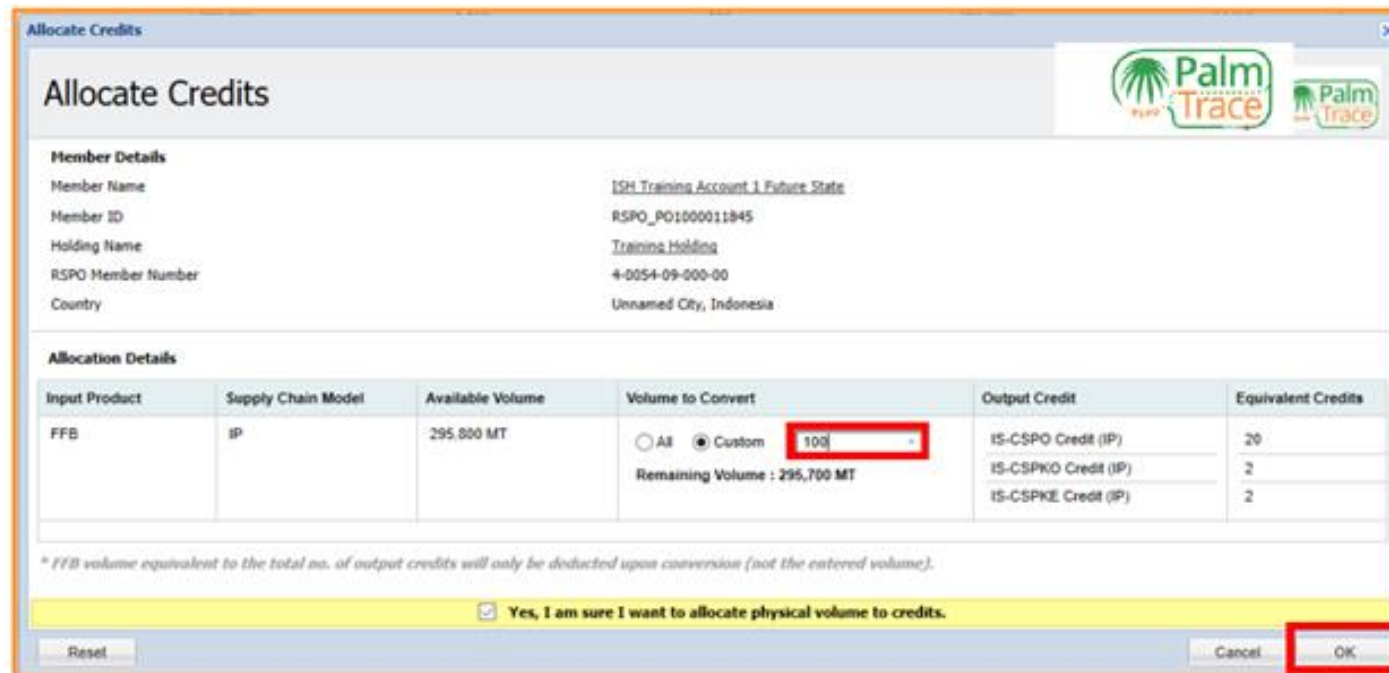
3. Mechanism to Prevent Oversold Volume

- In many cases, Independent Smallholder Groups (ISH) will allocate 100% of their Certified Volume FFB as RSPO Credits upon license approval.

- This has resulted in Group Managers being unable to prove that they reached their Certified FFB actual Production at the end of the license period.

3. Mechanism to Prevent Oversold Volume

- The following has been introduced:

  o As a part of the new change default, auto allocation shall be reduced to 70%.
  (This will create attention when an ISH allocates as credits all the volume at the beginning of the license period.)

  o 30% allocation from certified FFB into RSPO Credits (IS-CSPO; IS-CSPKO; IS-CSPKE) will need to be manually completed by ISH.

  o Email notification will be sent to the ISH Group when the new license is active and >70% Certified FFB is allocated

3. Mechanism to Prevent Oversold Volume

The FFB Announcement exceeds the 70.0% of the certified volume assigned to your license. Are you sure that you want to proceed?

No   Yes

Dear <Teguh> <Wijoyo>,

For your account <Account> with the Member ID <MembershipID>, <100> <IS-CSPO> have been allocated by <Teguh Wijoyo>.

Your RSPO Credits are now available to be traded under the Book and Claim supply chain model. If you wish to trade with these credits, please place an offer in PalmTrace's marketplace "Book and Claim". You can cancel an offer before a match is made with a buyer (referred to as an "open offer"). You can also revert the credits available in your account back to physical, by using the option "Revert Credits to Physical" accessible from the Trading & Stock tab in the Member Area.

The 30% of the certified volume in your account has not been allocated as credits and remains available to use in your PalmTrace account. If you wish to allocate this as credits, you can do it from the Trading & Stock tab in the Member Area.

↩ Reply   ↪ Forward

" RSPO Rules on Market Communications & Claims 2022 "

RSPO C&C Documents

- Announcement made in RSPO Websites on 18 Oct 2023 (endorsed by BoG on 3 Oct 2023)

- https://rspo.org/resource/rspo-rules-on-market-communications-claims-2022/

- Strengthening the use of Product Specific Communication for non Certified Members via remote audit.

- Combining '*Business to Business Communication*' and '*Business to Consumer Communication*' into '*Product Specific Communication*'

RSPO C&C Documents

RSPO Interpretation on Requirements 5.7.3
(RSPO P&C Certification System)

Sampling Requirements (5.7.3)

- Interpretation has been published in the RSPO Interpretation Forum (RIF) Portal (https://rif.rspo.org/interpretations/350/details)

- *"5.7.3 Where sampling is required for a certification assessment, the sampling design shall include all mills and be based on a minimum sample of x estates, where x = (√y) x (z), where y is the number of estates and where z is the multiplier defined by the risk assessment. In the event the result of the calculation is less than four (4) estates, the minimum number of estates to be audited is four (4)."*

Calculation based on Risk Assessment

Note: always round **UP** to the next number

Sampling methodology (x = (√y) x (z))

Unit of Certification with Low Risk

No of Estates (y)	Risk Level Multiplier (z)	Samples to be Audited (x)
5	0.8	2.00
6	0.8	2.19
7	0.8	2.37
8	0.8	2.53
9	0.8	2.68
10	0.8	2.83
11	0.8	2.97
12	0.8	3.10
13	0.8	3.22
14	0.8	3.35
15	0.8	3.46
16	0.8	3.58
17	0.8	3.69
18	0.8	3.79
19	0.8	3.90
20	0.8	4.00

Unit of Certification with Medium Risk

No of Estates (y)	Risk Level Multiplier (z)	Samples to be Audited (x)
5	1.0	2.24
6	1.0	2.45
7	1.0	2.65
8	1.0	2.83
9	1.0	3.00
10	1.0	3.16
11	1.0	3.32
12	1.0	3.46
13	1.0	3.61
14	1.0	3.74
15	1.0	3.87
16	1.0	4.00
17	1.0	4.12
18	1.0	4.24
19	1.0	4.36
20	1.0	4.47

Unit of Certification with High Risk

No of Estates (y)	Risk Level Multiplier (z)	Samples to be Audited (x)
5	1.2	2.45
6	1.2	2.68
7	1.2	2.90
8	1.2	3.10
9	1.2	3.29
10	1.2	3.46
11	1.2	3.63
12	1.2	3.79
13	1.2	3.95
14	1.2	4.10
15	1.2	4.24
16	1.2	4.38
17	1.2	4.52
18	1.2	4.65
19	1.2	4.77
20	1.2	4.90

Low Risk - UoC may have up to 12 to 20 supply bases

Medium Risk - UoC may have up to 10 to 16 estates

for the case of High Risk, up to 8 to 13 estates

This presentation is for the purpose of the RSPO CB Interpretation Forum only. Always refer to the full document for official reference.

"RSPO Time Bound Plan Revision"

RSPO | Roundtable on Sustainable Palm Oil

WHY SUSTAINABLE PALM OIL?   WHO WE ARE   OUR IMPACT   GET INVOLVED ⌄   🔍

ANNOUNCEMENTS

RSPO ANNOUNCEMENT FOR TIME BOUND PLAN REVISION

🕐 20 DECEMBER 2021

SHARE   f 🐦 in ✉ 🔗

The RSPO Certification Systems for Principles and Criteria (P&C) require RSPO members to provide the Time Bound Plan (TBP) for certifying all its management units and/or entities, including the units where the organisation has management control and/or minor shareholding.

As mentioned in Clause 4.5.3 of the P&C Certification System (14 June 2017) and recently revised with Clause 5.5.2 of the P&C Certification System (12 November 2020), the TBP shall contain a current list of all estates and mills and as a minimum, all estates and mills shall be certified within five (5) years after obtaining RSPO membership. Any new acquisitions shall be certified within a three-year time frame. **Any deviations from these maximum periods require approval by the RSPO Secretariat.**

In order to help RSPO members comply with the above aforementioned requirements, the RSPO Secretariat requires members to download and fill up the attached Time Bound Plan Revision template when requesting approval for any deviation from the maximum periods. The request shall be directed to the RSPO Secretariat (Certification Unit) via email to certification@rspo.org with the completed template as an attachment. The Certification Unit in the RSPO Secretariat will then review the request and provide approval upon a satisfactory review. Please ensure that the revision of the TBP is supported with a strong justification from the management unit.

Kindly refer to the attached **Time Bound Plan Revision template** and also the detailed **Flowchart** for RSPO members when making approval requests for TBP revision.

The implementation of this new process flow is effective as per date of announcement. For any further questions and assistance, please contact certification@rspo.org

https://rspo.org/rspo-announcement-for-time-bound-plan-revision/

RSPO Announcement for TBP Revision

- Clause **5.5.2** of the P&C Certification System (12 November 2020):
  - TBP shall contain a current **list of all estates and mills**.
  - All estates and mills shall be **certified within five (5) years** after obtaining RSPO membership.
  - Any new acquisitions shall be **certified within a three (3)** years time frame.
  - Any deviations from these maximum periods **require approval by the RSPO Secretariat**.

- Use Time Bound Plan Revision template when requesting approval for any deviation from the maximum periods (up to **30 June 2023**).

- The request are directed to the RSPO Secretariat (Certification Unit) via email (certification@rspo.org)

- The revision of the TBP is supported with a strong justification from the management unit.

RSPO Announcement for TBP Revision

This presentation is for the purpose of the RSPO CB Interpretation Forum only. Always refer to the full document for official reference.
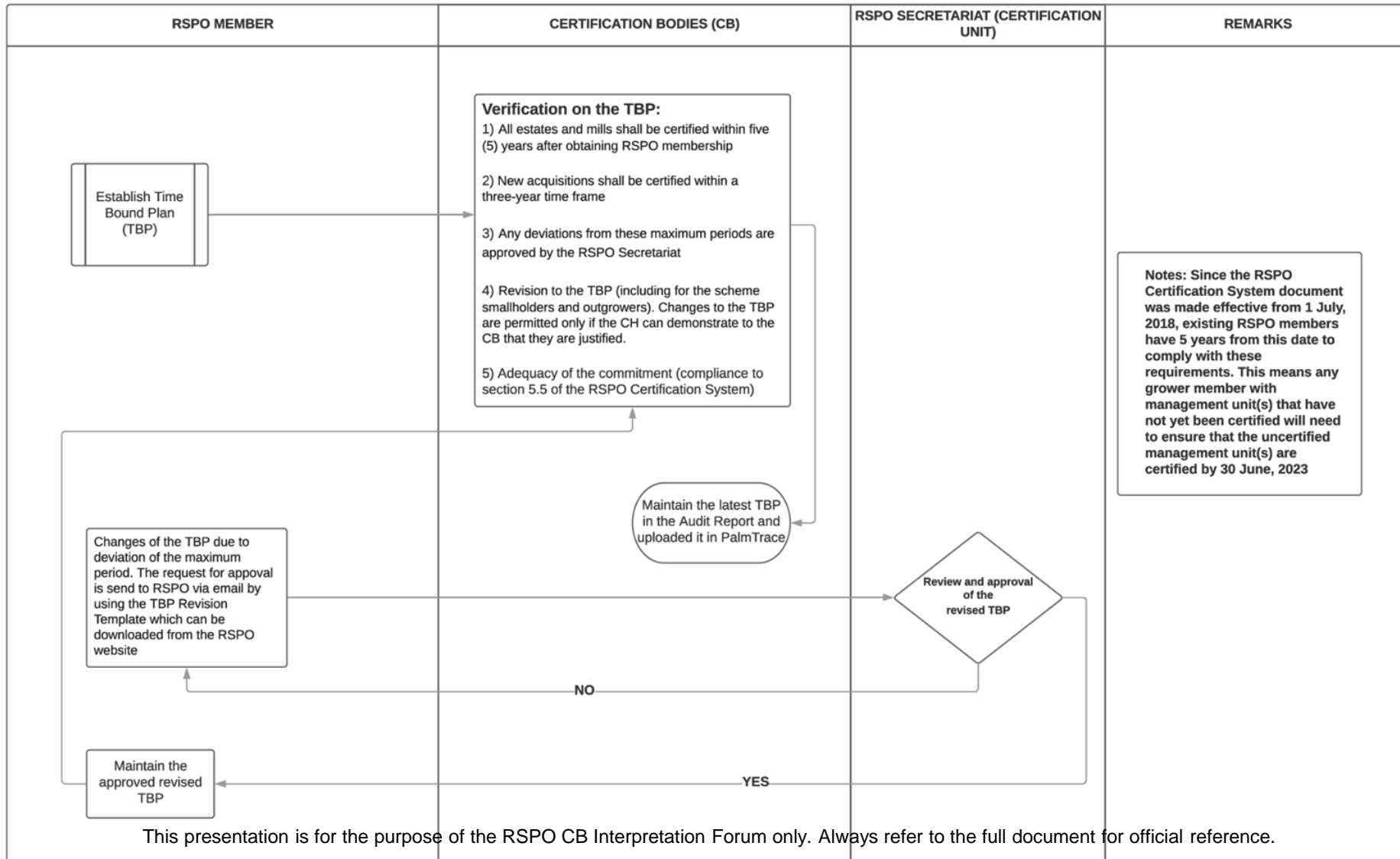
RSPO Announcement for TBP Revision

TIME BOUND PLAN (TBP)

Country	Name of the Mills and Supply Bases	Location Address	GPS Coordinates (in decimal degree)		Total Managed Area (Ha)	Certification Status (Certified / Not certified)	Plan Year for Certification	Actual Certification Year	Date of Last TBP Verified and Approved by CB	REVISION OF THE TBP (Only applicable when revision is made)			
			Latitude	Longitude						Any revision from the last approved TBP?	New Proposed Year for Certification	Justification of changes for each UoC	Date of approval from RSPO
Indonesia	Mill A												
Indonesia	Estate 1												
Indonesia	Estate 2												
Indonesia	Estate 3												
Indonesia	KUD XXX												

RSPO Announcement for TBP Revision

TBP Deviation Request

Pending Updates
7.1%

Not Applicable
3.6%
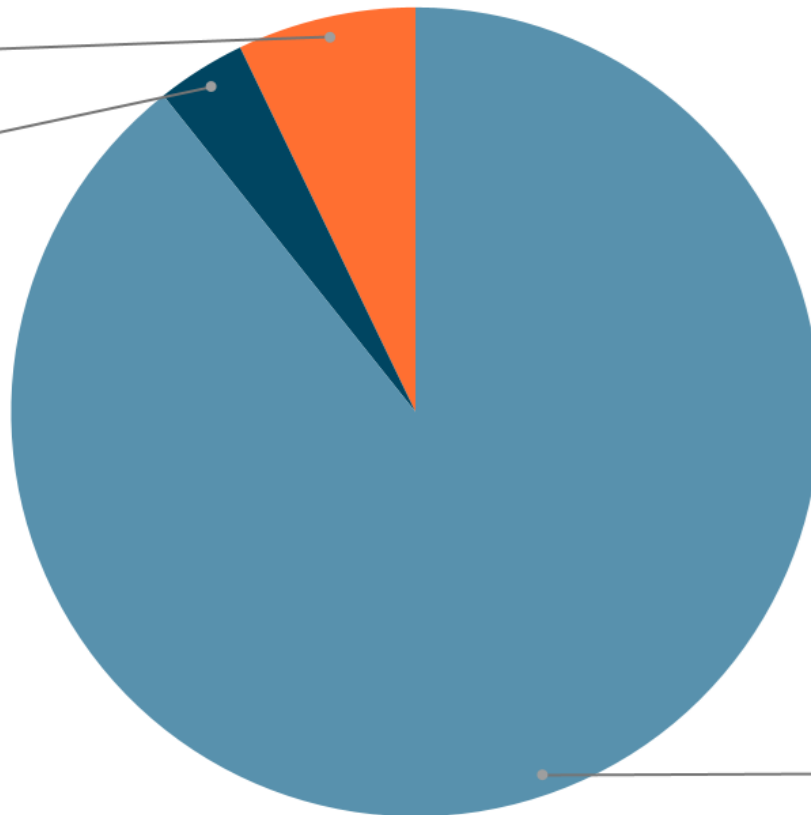
Total Approved
89.3%

- Total Request Received by RSPO Secretariat: **28 Members**
- Total Approved: **25 Members**
- Pending Updates: **2 Members**
- Not Applicable: **1 Member**
- Maximum Years Approved: 2027

This presentation is for the purpose of the RSPO Members Interpretation Forum only. Always refer to the full document for official reference.

Let's check if we are still aware!

1. Who is responsible to verify the progress of RSPO Time Bound Plan?

2. How will the CB report the progress of Certificate Holder's on their TBP?

3. What element to check when verifying the Uncertified Management Unit?

4. What is the meaning of "Positive Assurance Statement" as required in the requirement 5.5.2?

RSPO Interim Measure in Indicator 2.3.2 (RSPO P&C 2018)

ANNOUNCEMENTS

INTERIM MEASURE FOR FULFILMENT OF INDICATOR 2.3.2 OF THE 2018 RSPO PRINCIPLES & CRITERIA — ON LEGALITY OF INDIRECT FFB SUPPLIES

🕐 14 FEBRUARY 2022

SHARE f 🐦 in ✉ 🔗

It has come to the RSPO Secretariat's attention that some certified members have been unable to meet the stipulated November 2021 deadline to fulfil the requirement of **Indicator 2.3.2 of the 2018 RSPO Principles & Criteria (P&C)**, which states:

"For all indirectly sourced FFB, the unit of certification obtains from the collection centres, agents or other intermediaries, the evidence as listed in Indicator 2.3.1:

- Information on geo-location of FFB origins

- Proof of the ownership status or the right/claim to the land by the grower/smallholder

- Where applicable, valid planting/operating/trading license, or is part of a cooperative which allows the buying and selling of FFB."

In relation to this, Annex 4 of the 2018 RSPO P&C states:

"Where the unit of certification has smallholder suppliers, for existing RSPO certified mills, the time requirement to fulfil this Criterion for all their smallholder suppliers is by November 2021*. For mills that are not yet certified/mills going for the first year of certification, the time requirement is three years from initial point of certification for their smallholder suppliers."

Indicator 2.3.2

- Some RSPO certified members having d**ifficulties to meet the November 2021 deadline** to fulfil the requirement of Indicator 2.3.2 of the 2018 RSPO Principles & Criteria (P&C):

  "For all indirectly sourced FFB, the unit of certification obtains from the collection centres, agents or other intermediaries, the evidence as listed in Indicator 2.3.1:
    - *Information on geo-location of FFB origins*
    - *Proof of the ownership status or the right/claim to the land by the grower/smallholder*
    - *Where applicable, valid planting/operating/trading license, or is part of a cooperative which allows the buying and selling of FFB."*

- **Annex 4 of the 2018 RSPO P&C** states - Where the unit of certification **has smallholder suppliers**:
    - **For existing RSPO certified mills:** the time requirement to fulfil this Criterion for all their smallholder suppliers is by **November 2021***.
    - **For mills that are not yet certified/mills going for the first certification:** the time requirement is **three (3) years from initial point of certification** for their smallholder suppliers.

Indicator 2.3.2

- The time requirement for the following National Interpretations (NI) varies **according to the endorsement date by the BoG**.
  - **Malaysia:** 3 years from 15 November 2019 (i.e. 15 Nov 2022)
  - **Indonesia:** 3 years from 15 November 2018 (i.e. 15 Nov 2021)
  - **Sierra Leone:** 2 years from November 2021 (i.e. Nov 2023)
  - **Nicaragua:** 3 years from November 2021 (i.e. Nov 2024)
  - **Ecuador:** 3 years from 15 November 2021 (i.e. 15 Nov 2024)

- RSPO SSC and ASC have deliberated and provided **Interim Measure** which **effective immediately (15 Feb 2022) until the next revision of the P&C is endorsed** and adopted at 20th General Assembly in November 2023.

Interim Measure on Indicator 2.3.2

- All RSPO certified companies who were **unable to fulfil the requirement by November 2021** must **REGISTER THEIR CASE with the RSPO Certification Unit** by sending an email to certification@rspo.org by **31 March 2022**** with the Subject: "**Indicator 2.3.2 Case Register [company name]**".

- The **email must include** the following information:
  - Name of parent company holding the RSPO membership number
  - RSPO membership number
  - Name of certified units
  - RSPO PO_ID number

**Note:
  - The **31 March 2022** deadline applies to all growers' **members who have been implementing the generic 2018 P&C** in 2020/2021 and have been **unable to meet the November 2021** deadline.
  - For the **NIs**, the deadline to register the case is the same for the transition period (e.g., for the Malaysia NI, the deadline to register is **15 November 2022**).

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Interim Measure on Indicator 2.3.2

- Once the case is registered, **companies must submit the data and plan to the Certification Bodies (CBs)** prior to the upcoming assessment:
  - <u>**Implementation progress and challenges:**</u> report with evidence the status of compliance detailing the total number of indirect FFB suppliers with the number of indirect FFB suppliers whose evidence (as per Indicator 2.3.1) obtained and those yet to be obtained.
  - <u>**A stepwise plan**</u> that outlines the actions and projected timeline towards complete fulfilment of the Indicator 2.3.2 requirement. This final deadline for 100% compliance of Indicator 2.3.2 as stated in the **plan must not go beyond November 2023**.

- The CBs shall then use the submitted data and plan to evaluate the companies' progress in meeting the requirement of Indicator 2.3.2 during the upcoming Surveillance or Recertification Audits.

- **Failure to fulfil the requirement of Indicator 2.3.2 by November 2023** for <u>registered cases</u> will result in a major non-compliance raised by the CBs, which may lead to suspension of the certificate.

Interim Measure on Indicator 2.3.2

66

Registered cases UoC for 2.3.2

6

RSPO Members

RSPO Management System Requirements for Group Certification

RSPO Group Certification 2022

- Endorsement by the Board of Governors on 18 May 2022.

- Will replace the previous version of the RSPO Management System Requirements and Guidance for Group Certification of FFB Production 2018; effective as of 18 November 2022.

- **Key Changes:**
  - Clarified its applicability to smallholders (Independent and/or Scheme) and medium growers.
  - Clarified the scope of Unit of Certification to include areas set aside for HCV, HCS and livelihoods.
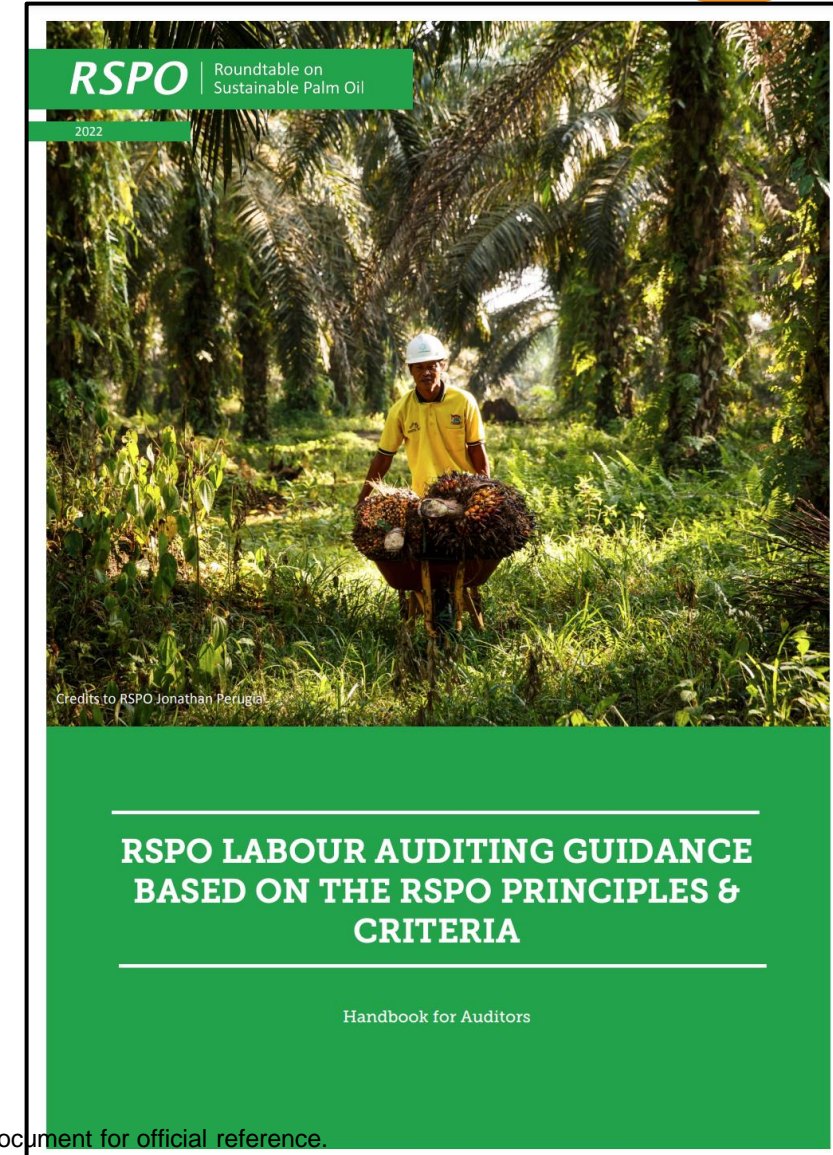 - Provide guidance under Annex on certification options.

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2022

Photo credit: RSPO, Jonathan Perugia

RSPO MANAGEMENT SYSTEM REQUIREMENT FOR GROUP CERTIFICATION OF FFB PRODUCTION 2022

Endorsed by the RSPO Board of Governors (BoG) on 18th May 2022

Labour Auditing Guidance for CB

This presentation is for the purpose of the RSPO CB Interpretation Forum only. Always refer to the full document for official reference.

RSPO Labour Auditing Guidance

- Endorsed by the Assurance Standing Committee (ASC) on **22 September 2022**

- Develop as a guidance documents for RSPO Auditors in strengthening the labour elements during the RSPO P&C audit.

- To improve the auditability of the labour requirements of the RSPO P&C and provide Certification Bodies (CBs) with a clear methodology that ensures a consistent system and approach to plan and execute RSPO P&C audits.

- This document shall be used as a **voluntary guidance for a trial period of eighteen (18) months**, effective from the date of announcement (21 November 2022).

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2022

Credits to RSPO Jonathan Perugia

RSPO LABOUR AUDITING GUIDANCE BASED ON THE RSPO PRINCIPLES & CRITERIA

Handbook for Auditors

Question & Answer

Thank you..

This presentation is for the purpose of the RSPO CB Interpretation Forum only. Always refer to the full document for official reference.

PalmTrace Review: Common Issues identified during License Submission

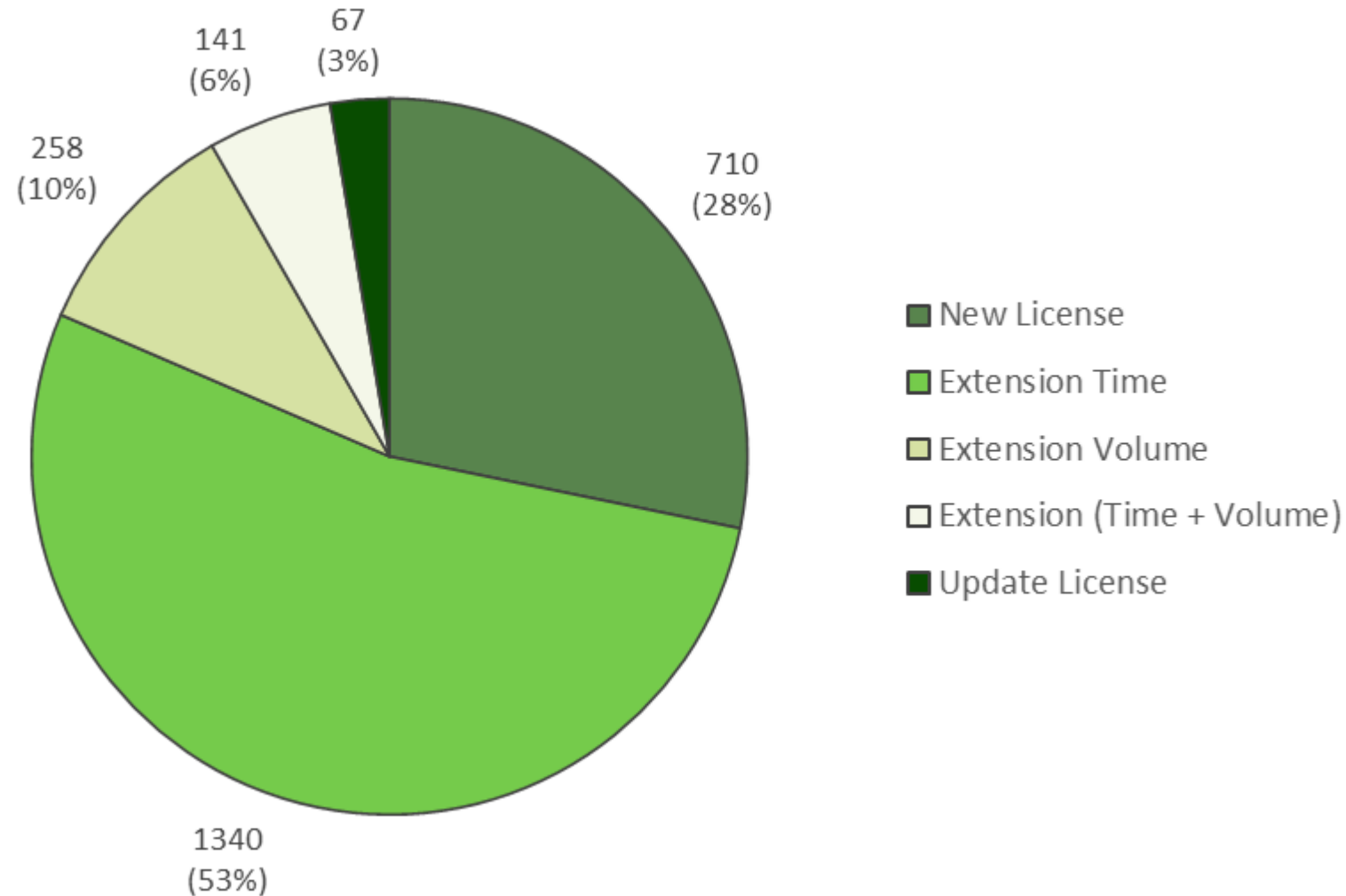RSPO CB Interpretation Forum
23 May 2023

www.rspo.org

Objective of this session

To highlight common mistakes made in PalmTrace (PT) that causes denial of the license request
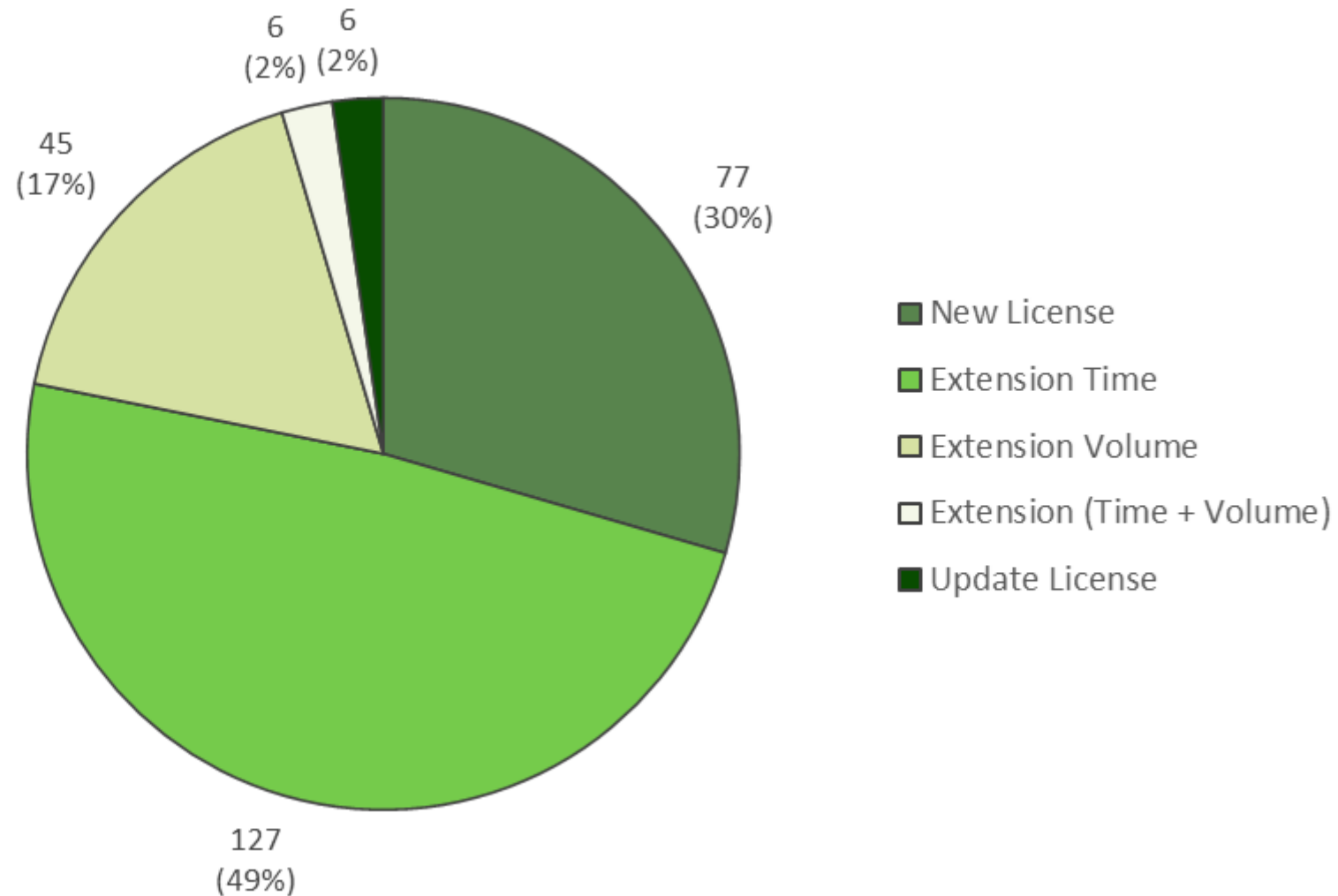
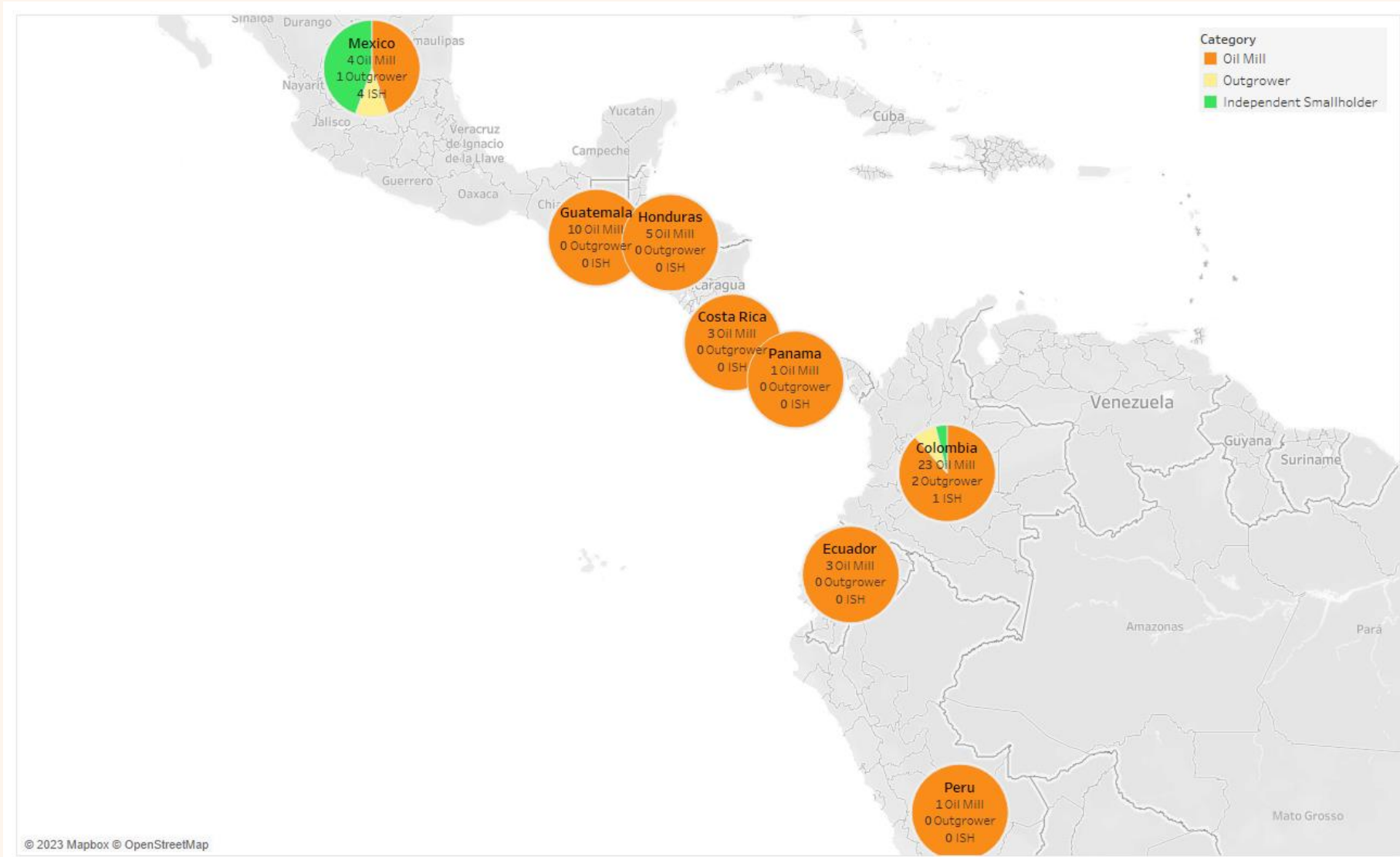"Continuous improvement and ensure the key Palm Trace personnel are up to date"

License Request Submission in Palm Trace (P&C and ISH) - 2022

Pie chart legend:
- New License
- Extension Time
- Extension Volume
- Extension (Time + Volume)
- Update License

Data labels:
- 710 (28%)
- 1340 (53%)
- 258 (10%)
- 141 (6%)
- 67 (3%)

License Request Submission in Palm Trace (P&C and ISH) 2022 - LatAM

Certified Mills, Outgrower and ISH in LatAM - Apr 2023

Category
- Oil Mill
- Outgrower
- Independent Smallholder

Mexico
4 Oil Mill
1 Outgrower
4 ISH

Guatemala
10 Oil Mill
0 Outgrower
0 ISH

Honduras
5 Oil Mill
0 Outgrower
0 ISH

Costa Rica
3 Oil Mill
0 Outgrower
0 ISH

Panama
1 Oil Mill
0 Outgrower
0 ISH

Colombia
23 Oil Mill
2 Outgrower
1 ISH

Ecuador
3 Oil Mill
0 Outgrower
0 ISH

Peru
1 Oil Mill
0 Outgrower
0 ISH

© 2023 Mapbox © OpenStreetMap

Certified Mills and ISH in LatAM

Total list of Certified Mill, Outgrower, and ISH in LatAM (As of April 2023)

	Countries	Mills	Outgrower	ISH
1	Colombia	23	2	1
2	Costa Rica	3	-	-
3	Ecuador	3	-	-
4	Guatemala	10	-	-
5	Honduras	5	-	-
6	Mexico	4	1	4
7	Panama	1	-	-
8	Peru	1	-	-
	TOTAL	**50**	**3**	**5**

What does certification systems says?

5.10.4 The CB shall submit a copy of the audit report, including the RSPO metrics template and the certificate, to the RSPO Secretariat **within seven (7) days of a certificate being issued, by uploading it to the RSPO IT platform.** Only the audit report and certificate will be published on the RSPO website

5.11.1 The CB shall prepare the certificate and send a copy to the RSPO Secretariat by uploading it to the RSPO IT platform **within seven (7) days of the certificate being issued.** Registration and RSPO approval of the certificate on the RSPO IT platform results in the issuance and activation of an annual licence to trade. For ISH certificate, refer to 6.7 of this document
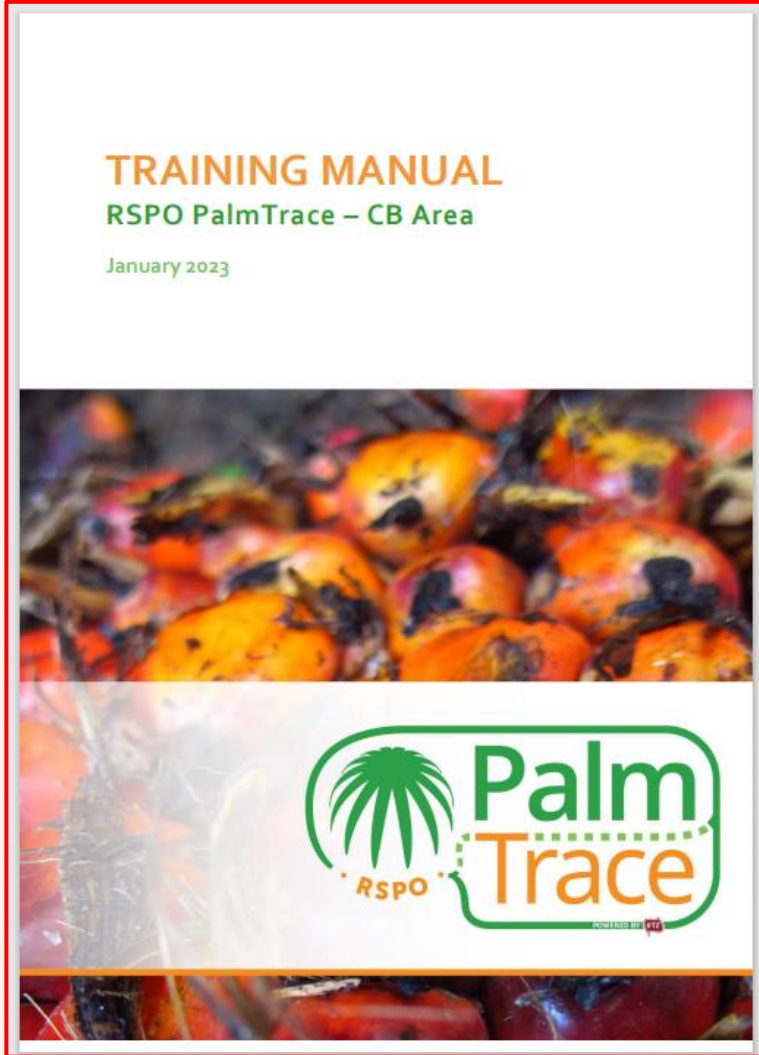
5.13.2

A request for time extension of up to a maximum of three (3) months may be approved by the RSPO Secretariat. If a surveillance audit is not conducted within the required time frame, unless due to the actions of the CB itself, the CB shall notify the organisation and the RSPO Secretariat that the certificate is suspended, until the surveillance audit has been undertaken and the certification decision has been approved by RSPO. The surveillance audit shall be undertaken within six (6) months of the suspension date, otherwise a full recertification audit shall be required
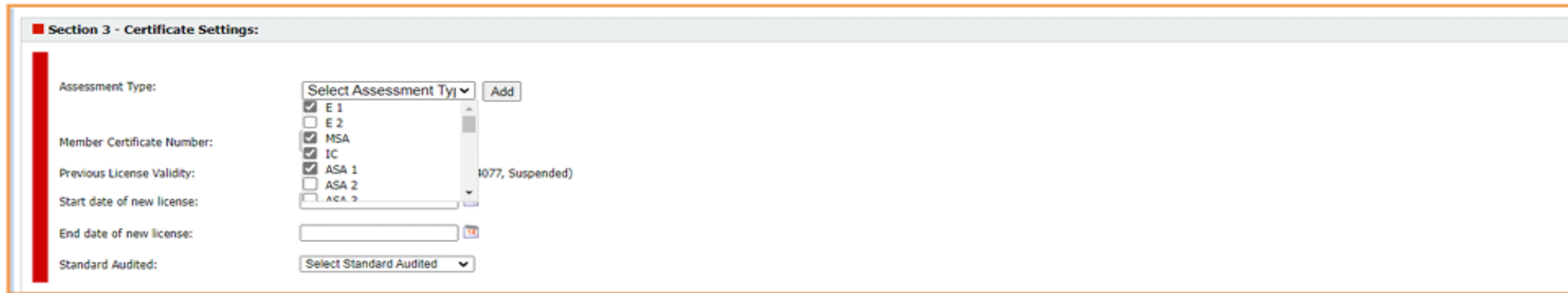
Palm Trace Manual - CB Area

TRAINING MANUAL
RSPO PalmTrace – CB Area

January 2023

Contents

New Features in RSPO Palm Trace

● **Update an Existing License without suspension**

As of 2022, all the sections of an active license can now be edited (Sections 0, 1, 2, or 3)
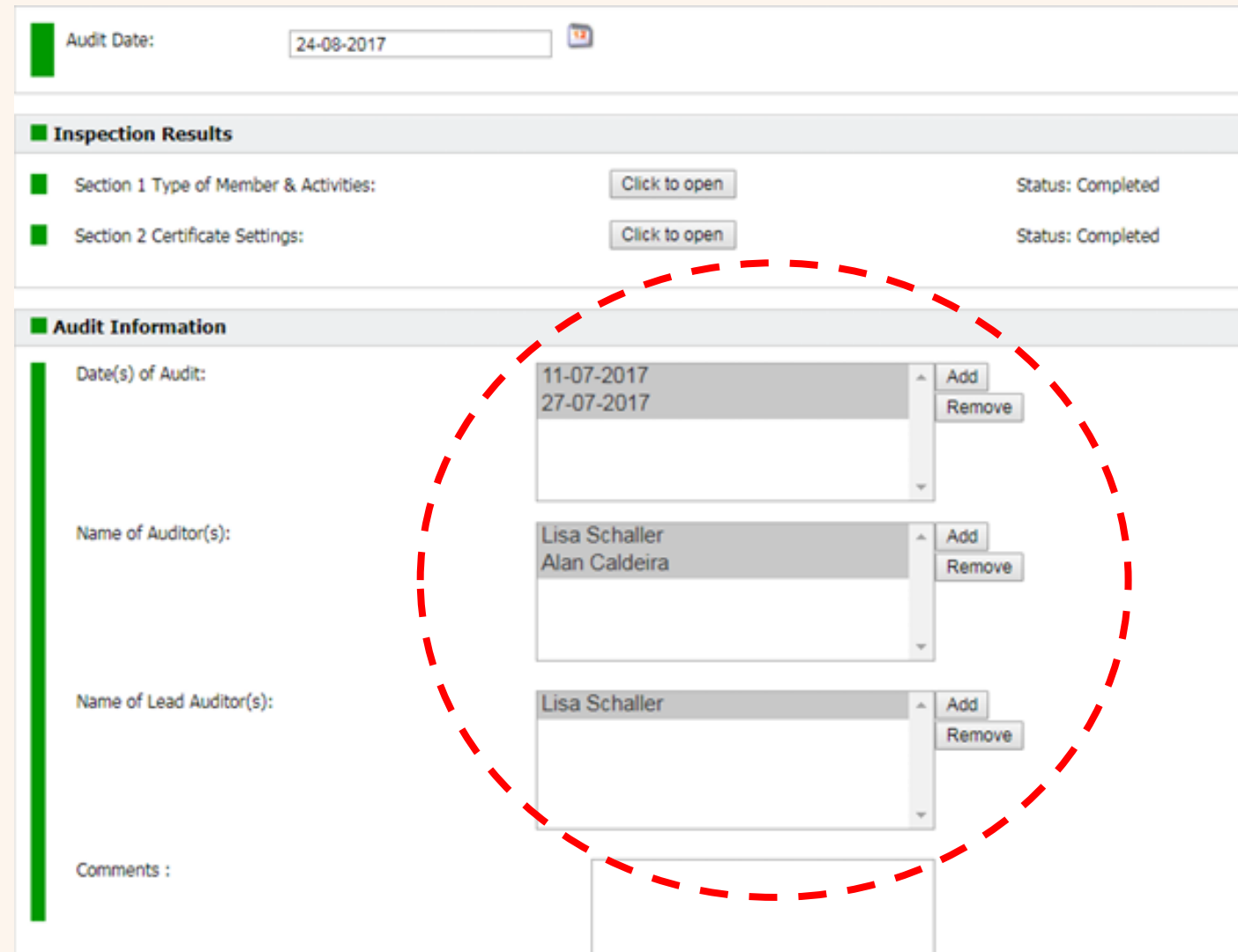
● **Multiple Phase License submission for ISH License submission**

- E1 = Eligibility 1
- E2 = Eligibility 2
- MSA = Milestone A
- IC = Initial certification
- ASA 1 = Annual Surveillance Audit 1

- ASA 2 = Annual Surveillance Audit 2
- ASA 3 = Annual Surveillance Audit 3
- ASA 4 = Annual Surveillance Audit 4
- RC 1= Re-certification Audit 1

Section 0 - Inconsistencies

➢ The information of Date of Audit, Name of Auditor(s), and Lead Auditor(s) not consistent with the Audit Report

Section 1 - Certified Volumes

➤ Mill with estate = FFB_estate, CSPO, CSPK

➤ Mill with estate & scheme SH = FFB_estate, FFB_scheme/associated, CSPO & CSPK

➤ For Outgrower = FFB

➤ For Independent Smallholder (ISH)
  ○ Eligibility & MS A = IS_FFB, IS_CSPO, IS_CSPKO, and IS_CSPKE
  ○ MSB = FFB

■ **Information on supply base, SCC multisite or SCC group members.**

■ Please indicate the number of supply bases (number of estates plus scheme/associated smallholders for P&C), sites or group members (SCC): 8

Name and Address
Mesuji Estate - Pematang Panggang Village, Mesuji Sub-

Type
☑ Estate ☐ Scheme/Associated Smallholders

Name and Address
Surya Adi Estate - Surya Adi Village, Mesuji Sub-district, (

Type
☑ Estate ☐ Scheme/Associated Smallholders

Name and Address
KUD Surya Adi - Surya Adi Village, Mesuji Sub-district, Og

Type	No. of Smallholders	Certified Area (ha)	Production Area (ha)
☐ Estate ☑ Scheme/Associated Smallholders	1085	2,053.45	2,053.45

■ Certified Volumes

Select the product(s), supply chain model, and volume that are produced by the Certificate Holde

While listing down the volume for CSPO and CSPK, please also indicate the certified volume of FFB Estate, FFB Scheme or Associated, and IS-FFB respectively for Mills with Estates, Mills plus Scheme Smallholders, and Independent Smallholders.

Product

CSPK- Supply Chain Model:Mass Balance- Certified Volume:7239.39 MT- Carry Over:0.00 MT
FFB_estates- Supply Chain Model:Mass Balance- Certified Volume:37745.00 MT- Carry Over:0.00 MT
CSPO- Supply Chain Model:Mass Balance- Certified Volume:39825.56 MT- Carry Over:0.00 MT

Section 1 - Certified Volumes

% Kernel Extraction Rate (KER)

$$= \frac{\text{CSPK (147.04 MT)}}{\text{FFB (107,244 MT)}}$$

$$= 0.13 \%$$

Certified Volumes

Select the product(s), supply chain model, and volume that are produced by the Certificat

While listing down the volume for CSPO and CSPK, please also indicate the certified volum
Mills plus Scheme Smallholders, and Independent Smallholders.

Is RSPO NEXT Compliant?

Product

FFB_estates- Supply Chain Model: Mass Balance- Certified Volume: 107,244 MT
CSPK- Supply Chain Model: Mass Balance- Certified Volume: 147.04 MT
CSPO- Supply Chain Model: Mass Balance- Certified Volume: 26,766.89 MT

DENIED

Section 2 - Certified areas is not consistent with Certificate

➤ Certified Areas and Production Areas must be consistent with Certificate

■ **Section 2 - Questionnaire:**

Principles & Criteria

1 **Please indicate the member type**

   ◉ Mill   ○ Independent Smallholder   ○ Outgrower

2 **Total Estate Certified Area (excluding scheme smallholders) (ha)**

   7,405.78

3 **Total Estate Production Area (excluding scheme smallholders) (ha)**

   5,775.25

4 **Certified Mill Capacity (mt/hr)**

   30

5 **High Conservation Value (HCV) Area (excluding scheme smallholders) (ha)**

   0

6 **GPS Coordinates**

   Latitude   14.555208

   Longitude   -92.006

Section 2 - Previous License Volume Information

- ➢ Actual Sold Volume is more than Certified Volume

- ➢ Actual Sold volume is more than Actual produced volume

- ➢ Actual Sold Volume less than 50% of actual produced volume (justification need to be provided in audit report/ put remarks in PT)

For ISH

- Previous license information is for **physical sales transaction only**. If all the certified volume sold as credits, the information in this section should be = 0

- All figures must be **consistent** with all the documents provided and entry into PalmTrace

6 Previous License Volume Information

○ Information not available (for initial certification only)

◉ Select product to add volume

Product	FFB
Supply Chain Model	Identity Preserved
Last Year Actual FFB Certified Volume (MT)	27,896
Last Year Actual FFB Produced Volume (MT)	21,256.62
Last Year Actual FFB Sold Volume (RSPO Certified) (MT)	0
Last Year Actual FFB Sold Volume Conventional (MT)	0
Last Year Actual FFB Sold Volume (Other Schemes Certified) (MT)	0
Total Actual FFB Sold Volume (MT)	0

Section 3 - Metrics Template

➢ RSPO Metrics Template is not uploaded

Supporting Information (Principles & Criteria)

A. Upload Certificate   [RSPO Certificate of Bukit Ajong POM.pdf](#)

B. Upload Audit Report   [RSPO ASA-1.4 & RC-2 Summary Report of Bukit Ajong POM PT SIA subsidiary of SDP.pdf](#)

C. Upload Other Documents
(optional)

[Principles & Criteria - Documents](#)

D. Date of first RSPO certification
18-08-2010

Section 3 - Backdating the start date of new license

➢ When there is a **lapses** between previous license and a new license validity

➢ The start date of new license shall not be backdated, it must **follow the same as license request date**

Previous license validity (1 year) + 3 months time extension

New license validity (1 year)

Start date
15/8/21

End date
14/11/22

License request date
14/2/23

End date
14/8/23
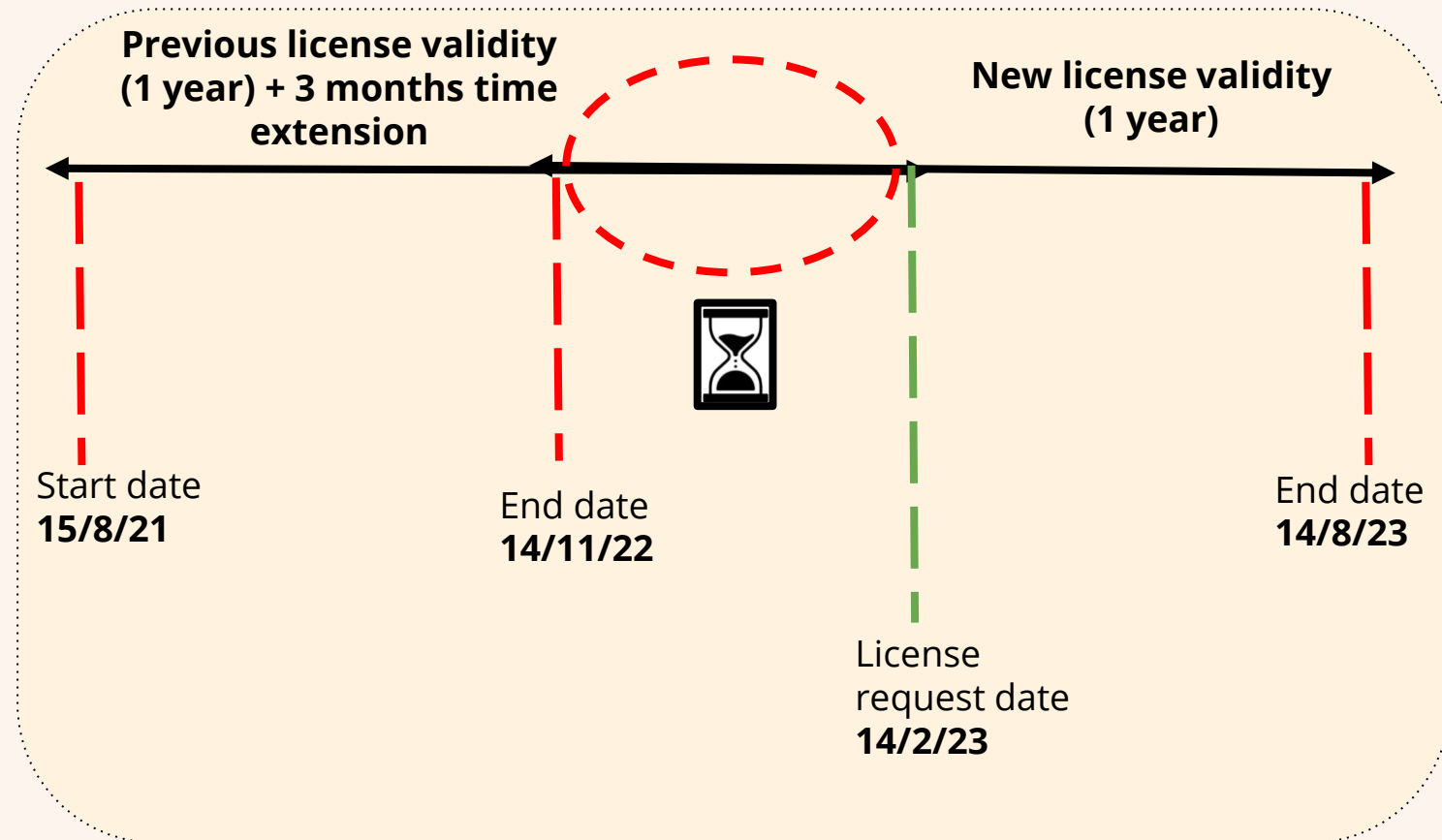
Suspend a license

➢ Prior to suspension of license, CB need **to remind the CH that all unconfirmed transactions will be automatically cancelled** and will only be resubmitted by the system once a new license has been approved

➢ Communicate with the member about this procedure - make sure all transaction (i.e. shipping announcement) has been completed prior to the suspension

P&C Multi-Mill and Multi Model

Multi-mill situation

- Each mill have its **own PalmTrace account**

- Each mill account will need to be assigned with **specific estate(s)**

- **Certified volumes, certified areas, production areas, and HCV areas** shall follow the estate assigned in section 1 of PalmTrace

- The supply chain model needs to be the same for all the mills

Multi Supply Chain Model

- IP & MB

- Assignment of certified volumes need to be provided for each supply chain model

- In section 2, the sold volumes of each SC model needs to be clearly separated

- Audit report – needs to be clear on how the handling of the process to ensure no contamination of IP product.

- This should include from FFB receiving, processing, storing and dispatch

Volume Extension

- Volume extension ONLY can be requested **within active licence period**

- **FFB volume field is mandatory** to be filled

- Check the **OER & KER**

Extension 9	
Type of extension	**Volume**
Product	FFB_estates
Supply Chain Model	Mass Balance
Additional Volume	3,100 MT
Product	CSPK
Supply Chain Model	Mass Balance
Additional Volume	35 MT
Product	CSPO
Supply Chain Model	Mass Balance
Additional Volume	150 MT

Time extension

Type of extension	Time
New License End Date	16-08-2021
License End Date	16-07-2021
Extension Document	
Status	Denied by TP
Extension Reason	Audit has been conducted but the process has not yet been finalized. Lead auditor have been sick and is taking longer to finalize the process.

Type of extension	Time
New License End Date	10-06-2022
License End Date	10-05-2022
Extension Document	
Status	Denied by TP
Extension Reason	Finalized report

Question & Answer

www.rspo.org

Find out more at
www.rspo.org

RSPO CB INTERPRETATION FORUM

UPDATES: RSPO Group Certification 2022 & RSPO Metric Template

Amirul Ariff
Manager, Certification (P&C)

www.rspo.org

RSPO Management System Requirement for Group Certification of FFB Production 2022

RSPO CB Interpretation Forum
23 May 2023

www.rspo.org

GROUP CERTIFICATION 2022
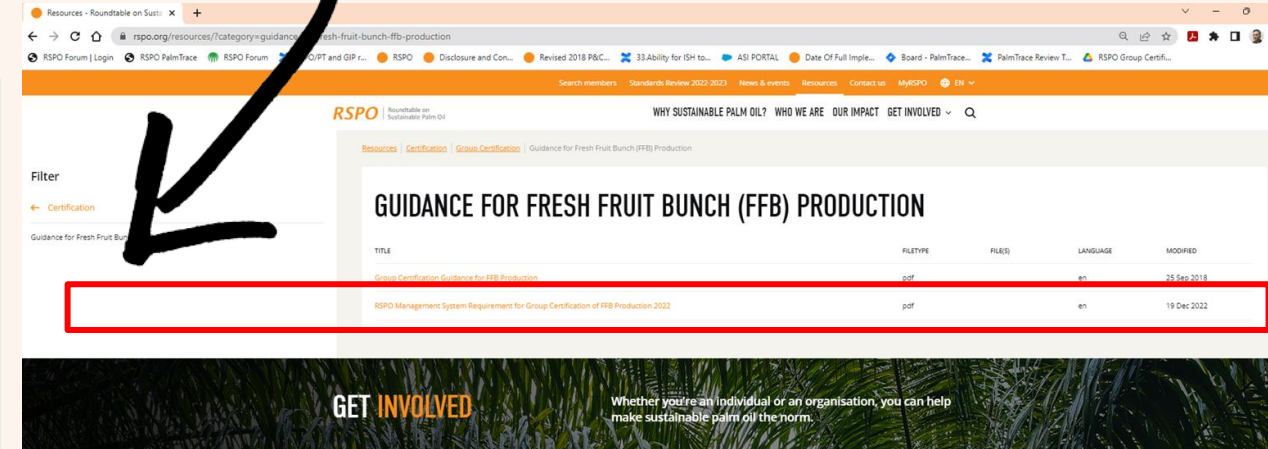
➔ Replaces the previous version of RSPO Management Systems Requirements and Guidance for Group Certification of FFB Production 2018

➔ Effective as of **18 November 2022**

KEY UPDATES IN GROUP CERTIFICATION 2022

➔ Clarification on its applicability to smallholders (Independent and/or Scheme) and medium growers

➔ Clarification on the scope of UoC to include areas set aside for HCV, HCS and livelihoods

➔ Guidance under Annex II on Certification Options

AGENDA

➜ Introduction

➜ Certification Options

➜ Scope and Applicability

➜ System Requirements

Introduction

The system allows growers to be grouped together to be certified under a single certificate, which is managed through a central organisation or by an individual, known as the Group Manager.

RSPO MANAGEMENT SYSTEM REQUIREMENT FOR GROUP CERTIFICATION OF FRESH FRUIT BUNCH (FFB) PRODUCTION 2022
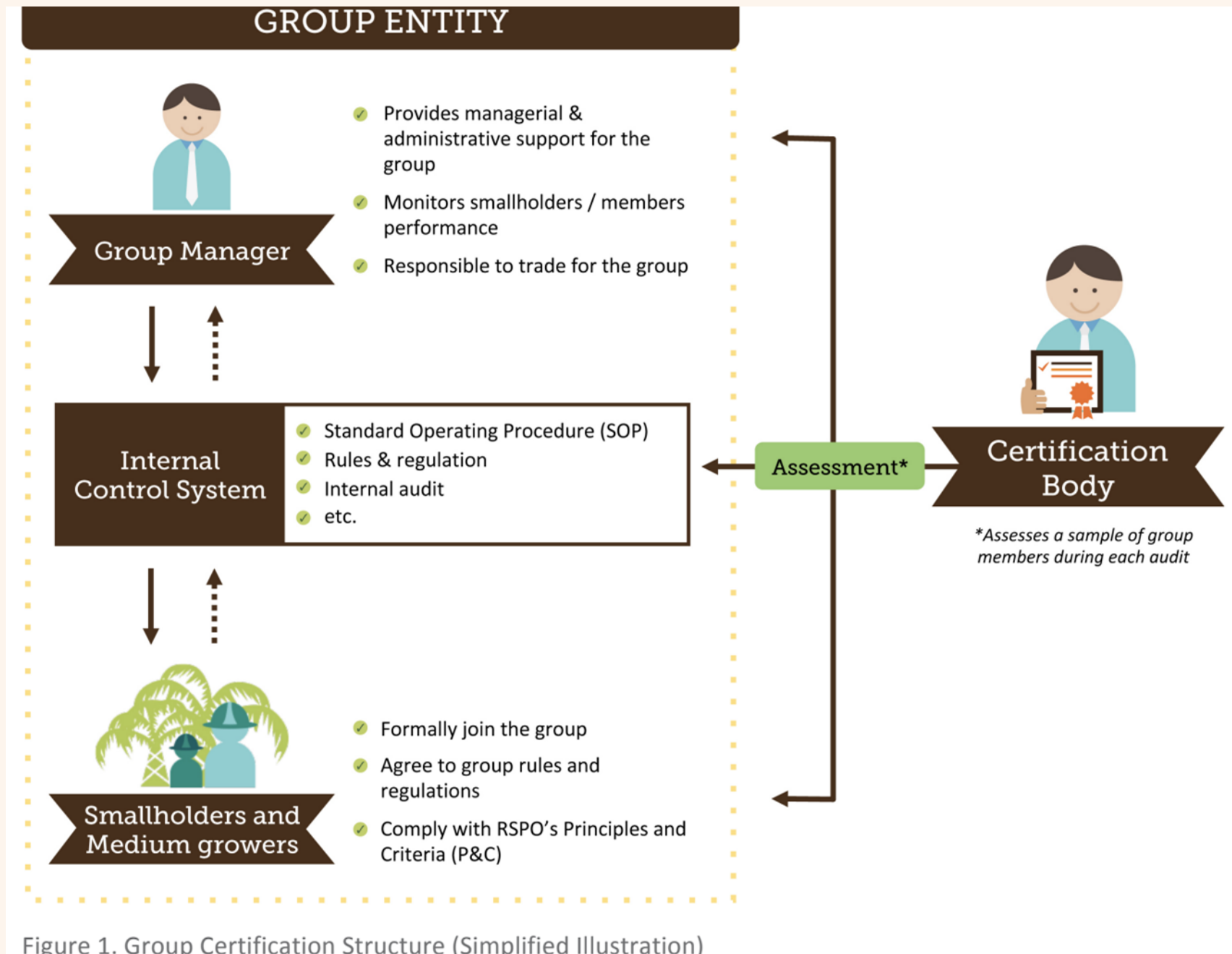
Figure 1. Group Certification Structure (Simplified Illustration)

OBJECTIVES

OWN DECISION

Growers and smallholders can now make their own management decisions on **certification options** available to them

INCLUSIVE

Access to certification for **growers of all sizes** is an important element of RSPO certification.

SUPPORT SH

Time-bound plan to ensure that Scheme Smallholders and outgrowers supplying a mill that is P&C certified are certified within three years of the mill obtaining its own certificate

SUPPORT SH

Principle 5 of the RSPO P&C requiring members (mill-with-supply base) to support smallholder inclusion, including Independent Smallholders **into the sustainable palm oil value chain.**

"Certification Options"

Inclusion into Mill's Supply Base
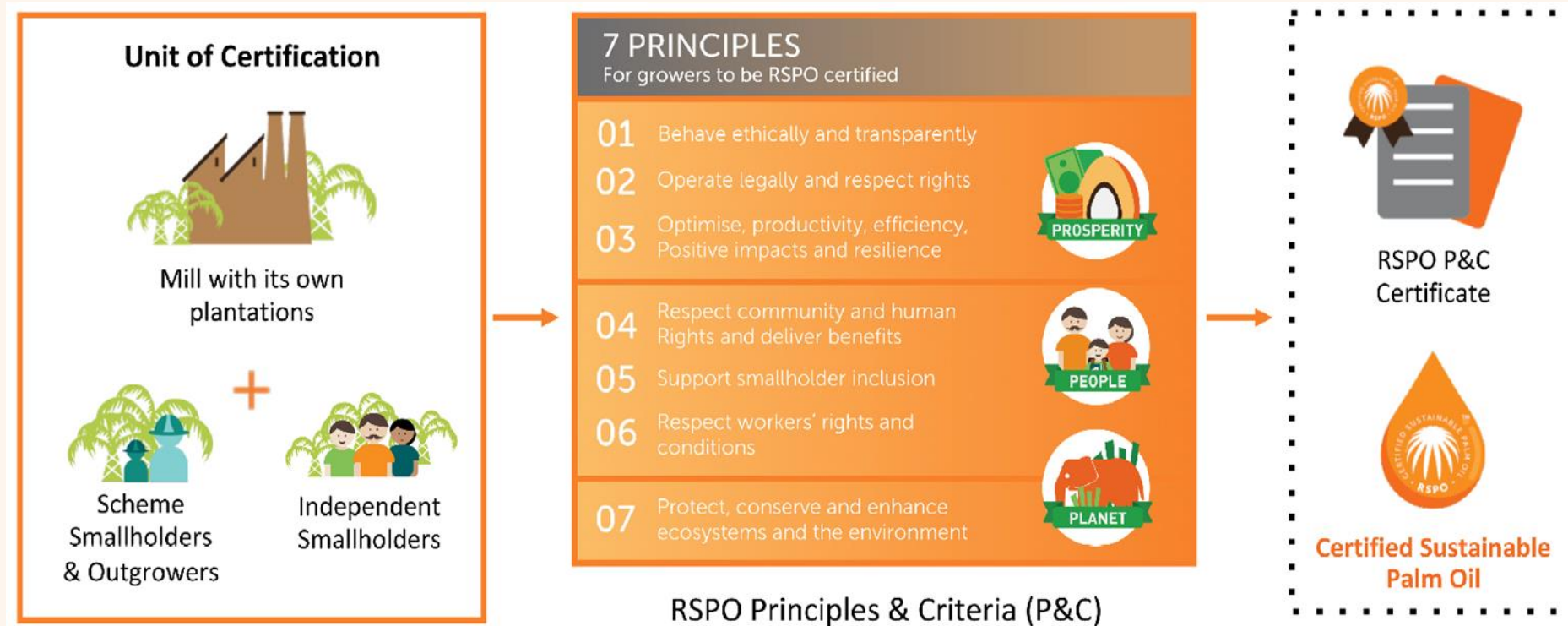
ONE (1) Single P&C Certificate, awarded to company

Group with others SH and MG

ONE (1) Single P&C Certificate, awarded to Group Manager

This presentation is for the purpose of the RSPO CB Interpretation Forum only. Always refer to the full document for official reference.

Group with ONLY ISH
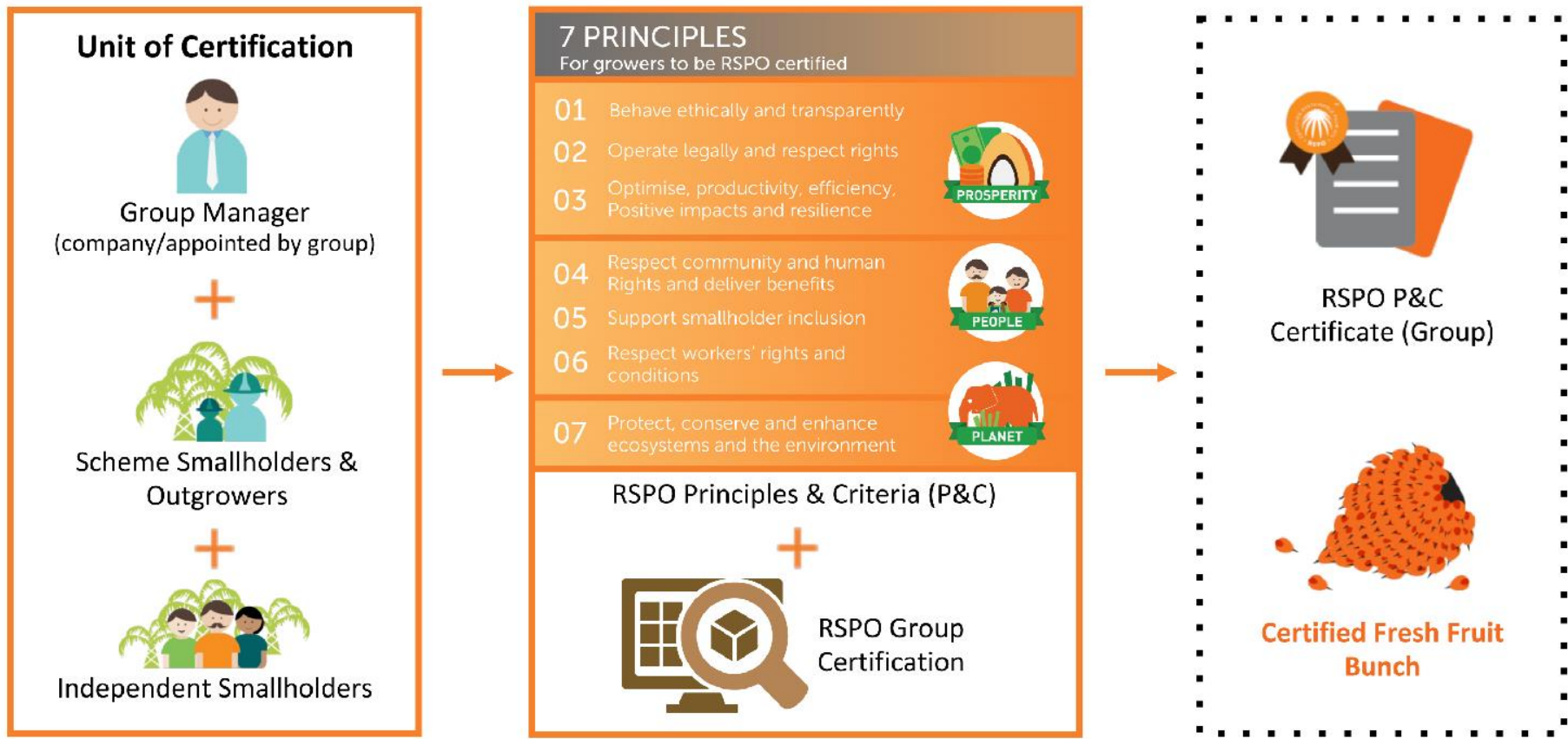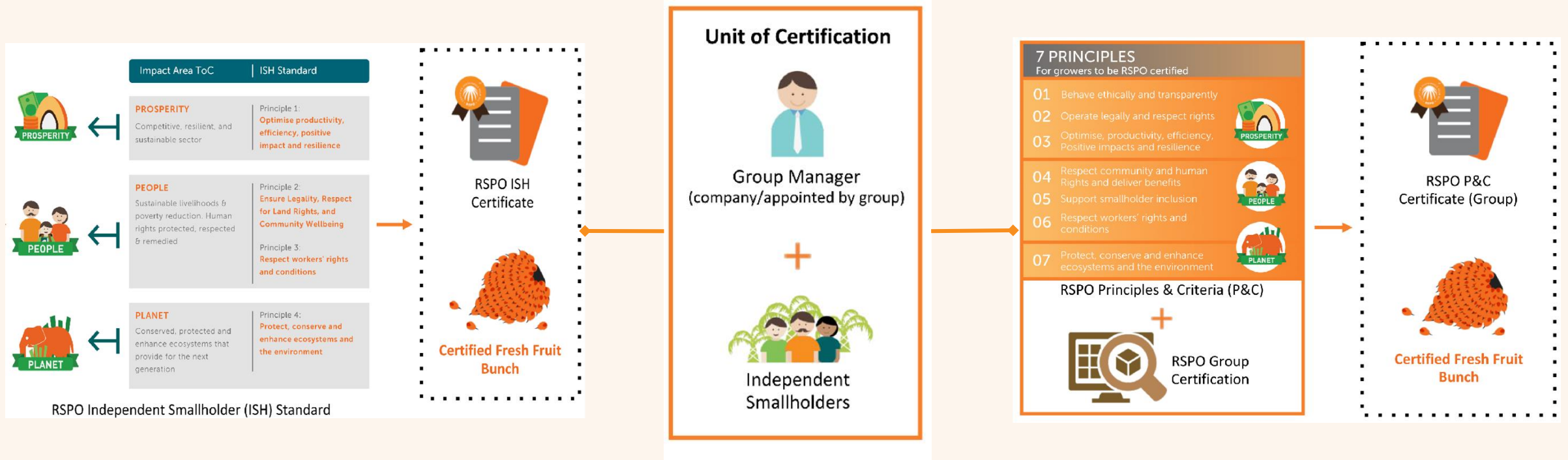
ONE (1) Single ISH OR(/) P&C Certificate, awarded to Group Manager

Group with ISH & Scheme SH
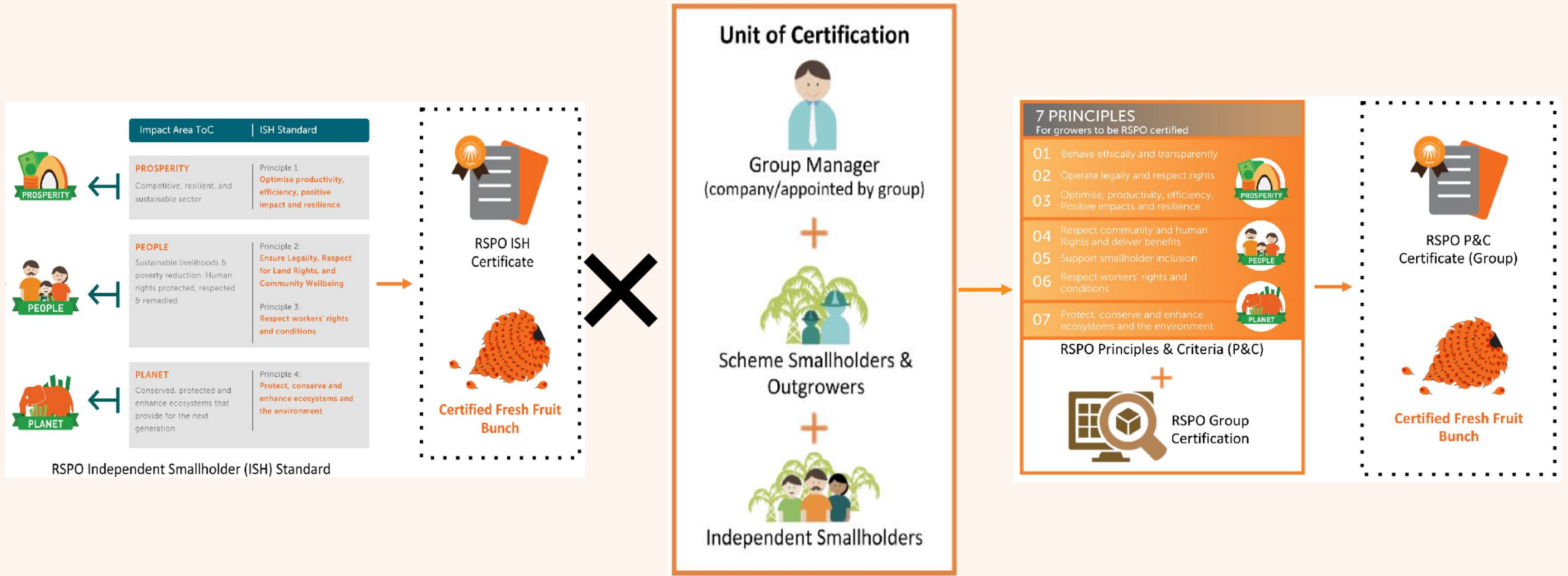
ONE (1) Single P&C (ONLY) Certificate, awarded to Group Manager

This presentation is for the purpose of the RSPO CB Interpretation Forum only. Always refer to the full document for official reference.

"Scope and Applicability"

Scope

This document covering:
- the applicability of group certification as an options obtaining P&C Certification
- the system requirements for group management

This document is to be used in association with:
- The Principle & Criteria - standard to be met by all group members
- The Certification System Document - which sets out how certification bodies should assess an operation and reach a decision on whether or not a set of requirements has been met.

Applicability: WHO

Group Certification is applicable to:

- smallholders (Independent and/or Scheme) and medium growers
  - seeking P&C certification of their FFB through the legal formation of a group.
  - A central organisation or an individual, known as the Group Manager, shall be appointed to manage the group.

Applicability: WHAT

Unit of Certification (UoC)

The Group Manager and ALL individual group members, covering combined plots of each individual group member that are under oil palm production, including areas set aside for HCV, HCS and livelihoods.

Covering all plots of all group members that:
- Exist under oil palm production; AND
- Are allocated for replanting or new planting of oil palm; AND
- May potentially be allocated for new planting of oil palm; AND
- Set aside for conservation and livelihoods

Applicability: CLAIM

The RSPO certificate of compliance is awarded to the Group as a whole, and in an annex each individual group member is listed with the size of their landholding.

Certified groups can sell their certified FFB to a certified mill through a physical supply chain model or as RSPO Credit equivalent.

- One tonne of certified FFB is transferred to tonnes of Certified Sustainable Palm Oil using either default oil extraction rate or actual value with evidence

System Requirements

Element 1

Group Entity and Group Management requirements
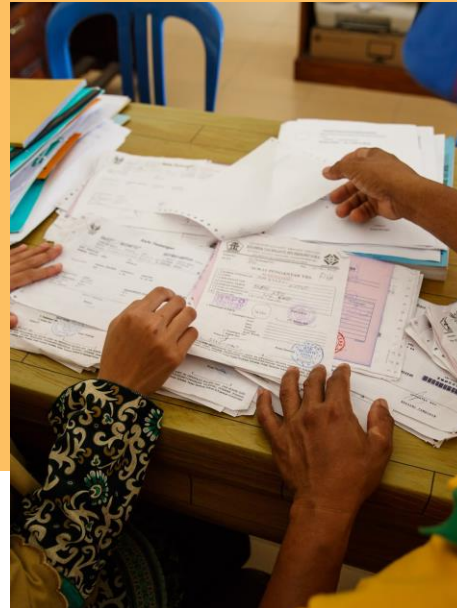
Element 2

Internal Control System – Policies and management

Element 3

Internal Control System – Operations

ELEMENT 1. GROUP ENTITY & MANAGEMENT REQUIREMENTS

E1.1 The Group Entity shall be legally formed.

- documentary evidence of a clearly identified and legal entity
- documented membership requirements for the participation of individual members
- Group Manager shall keep evidence that the nature and structure of the group has been communicated to all members of the Group

E1.2 The Group shall be managed by a Group Manager

- an identified legal entity or an individual acting on behalf of the legal entity, i.e. the Group Entity
- demonstrate sufficient resources & capacity for managing the group's performance towards compliance with the RSPO P&C
- demonstrate competence & knowledge of RSPO systems and associated requirements.

This presentation is for the purpose of the RSPO CB Interpretation Forum only. Always refer to the full document for official reference.

The Group **Internal Control System (ICS)** shall contain

- documented policies and procedures for operational management

- procedures for decision-making & responsibilities within the group

- initial gap audit procedure (i.e., baseline assessment & needs for compliance) - as a prerequisite
  - Land title or right to use the land
  - No existing land conflict(s).
  - No plantings replace/affect primary forests/HCV/HCS
  - No new planting(s) on peat land and/or status of existing planting(s) on peatland.

- implement procedures for maintaining records of all individual members
  - minimum 5 years
  - important information as stipulated in P&C

The Group Internal Control System shall include a system in place to enable the trading of RSPO certified Fresh Fruit Bunches (FFB) produced from the Group.

The Group Manager shall

- implement a system for the tracking & tracing of FFB produced and its sales (document & record)

- ensure Group CFFB transactions recorded and documented for a minimum period of 5 years.

- ensure trading with clear procedures to ensure that calculations are accurate

- ensure all FFB sold by the trader is traceable back to the Group members.

Question & Answer

www.rspo.org

Find out more at
www.rspo.org

RSPO Metrics Template Review

RSPO CB Interpretation Forum
23 May 2023

www.rspo.org

Objectives of this session

1. To share some highlights of common mistakes identified in RSPO Metrics Template submission

2. Data Accuracy in Metrics Template

Reported volume - OER

Mill Production Metrics	Annual Data	12-month period
Annual Production - Palm Oil (MT)	62937.00	59700.00
Annual Sales - Palm Oil (MT)	21840.00	5756.00
% Sales - RSPO-certified Palm Oil	20.8%	0.0%
Annual Production - Palm Kernel (MT)	11068.00	9817.00
Annual Sales - Palm Kernel (MT)	4632.00	2719.00
% Sales - RSPO-certified Palm Kernel	93.9%	34.4%
Mill Supply Base Production: Smallholders & Outgrowers	Annual Data	12-month period
Annual FFB Production (MT) - Scheme Smallholders	0.00	0.00
% of Certified FFB Production - Scheme Smallholders	#DIV/0!	#DIV/0!
Annual FFB Production (MT) - Independent Smallholders	3551.00	2818.00
% of Certified FFB Production - Independent Smallholders	100.0%	100.0%
Annual FFB Production (MT) - Outgrowers	0.00	0.00
% of Certified FFB Production - Outgrowers	#DIV/0!	#DIV/0!

Estate Production Metrics	Annual Data	12-month period
Annual FFB Production (MT)	112316.00	107980.00

Estate Demographics	Annual Data
Total Workers	859
% of Non-Local Workers of Total Workers	0.0%
% of Contract Workers of Total Workers	39.2%
% of Female Workers of Total Workers	4.5%
% of Young Workers	0.0%

Estate Training	Annual Data
Number of RSPO-related training organised	1
% of workers receiving training	46.6%
Number of smallholders receiving training	0

Estate Grievances	Annual Data
Active cases as of the end of previous calendar year	0

- Total FFB production = FFB from mill-owned estates + FFB from other supply base sources

- OER = $\dfrac{62{,}937}{3{,}551 + 112{,}316}$ = 54.32%

Reported volume - OER

Aggregated Summary
The figures in this summary are the _total_. Note that the metrics of operation inputs and LTIFR are included in the Average Summary table only.
(For single-mill certification, the figures for mill in this summary are the same as your inputs in 'Annual - Mill' tab.
For multi-mills certification, the figures for mill are the total of all the mills under this unit of certification.
The figures for estate are the total of all estates under this unit of certification.)

Mill Production Metrics	Annual Data	12-month period
Annual Production - Palm Oil (MT)	88065.22	92318.59
Annual Sales - Palm Oil (MT)	46832.40	45323.65
% Sales - RSPO-certified Palm Oil	87.2%	93.4%
Annual Production - Palm Kernel (MT)	19353.72	19922.73
Annual Sales - Palm Kernel (MT)	19353.40	20419.87
% Sales - RSPO-certified Palm Kernel	53.9%	54.7%

Mill Supply Base Production: Smallholders & Outgrowers	Annual Data	12-month period
Annual FFB Production (MT) - Scheme Smallholders	0.00	0.00
% of Certified FFB Production - Scheme Smallholders	#DIV/0!	#DIV/0!
Annual FFB Production (MT) - Independent Smallholders	246211.58	256481.00
% of Certified FFB Production - Independent Smallholders	0.0%	0.0%
Annual FFB Production (MT) - Outgrowers	0.00	0.00
% of Certified FFB Production - Outgrowers	#DIV/0!	#DIV/0!

Estate Production Metrics	Annual Data	12-month period
Annual FFB Production (MT)	216743.35	225082.02

Estate Demographics	Annual Data
Total Workers	1184
% of Non-Local Workers of Total Workers	0.0%
% of Contract Workers of Total Workers	1.0%
% of Female Workers of Total Workers	11.1%
% of Young Workers	0.0%

Estate Training	Annual Data
Number of RSPO-related training organised	328
% of workers receiving training	98.9%
Number of smallholders receiving training	0

Estate Grievances	Annual Data
Active cases as of the end of previous calendar year	0

- Total FFB production = FFB from mill-owned estates + FFB from other supply base sources

- $OER = \dfrac{88{,}065.22}{246{,}211.58 + 216{,}743.35} = 19.02\ \%$

Error of Entry

Certification Details	
Name of RSPO Member	ABC Company
RSPO Membership Number	X-XXXX-XX-XXX-XX
Name of Certified Unit	ABC Company
Name of Certification Body	Certification Body
RSPO PalmTrace ID Number	RSPO_PO1000001111, RSPO_PO1000001112
Supply Chain Model	IP & MB
Assessment Type	Renewal Certification 1
Start Date of Audit (mm/yyyy)	Jul-2021

Terjemahan untuk teks dan nota disediakan di tab 'Translations'. Les traductions des informations présentées ici
Terjemahan untuk teks dan catatan ini tersedia di tab 'Translations'. La traducción de los textos y las notas está dis

Contact Information

Walk-Me | Translations | Summary | **1.0 Member Details** | 2.0 Annual - Mill | 3.0 Annual - Estate

Incomplete/Missing data

Aggregated Summary

The figures in this summary are the <u>total</u>. Note that the metrics of operation inputs and LTIFR are included in the Average Summary table only.
(For single-mill certification, the figures for mill in this summary are the same as your inputs in 'Annual - Mill' tab.
For multi-mills certification, the figures for mill are the total of all the mills under this unit of certification.
The figures for estate are the total of all estates under this unit of certification.)

Mill Production Metrics	Annual Data	12-month period
Annual Production - Palm Oil (MT)	88804.00	80000.00
Annual Sales - Palm Oil (MT)	44919.70	50000.00
% Sales - RSPO-certified Palm Oil	100.0%	100.0%
Annual Production - Palm Kernel (MT)	19456.00	19000.00
Annual Sales - Palm Kernel (MT)	12313.00	10000.00
% Sales - RSPO-certified Palm Kernel	100.0%	100.0%

Mill Supply Base Production: Smallholders & Outgrowers	Annual Data	12-month period
Annual FFB Production (MT) - Scheme Smallholders	1728.00	1500.00
% of Certified FFB Production - Scheme Smallholders	100.0%	100.0%
Annual FFB Production (MT) - Independent Smallholders	0.00	0.00
% of Certified FFB Production - Independent Smallholders	#DIV/0!	#DIV/0!
Annual FFB Production (MT) - Outgrowers	72458.00	70000.00
% of Certified FFB Production - Outgrowers	0.0%	0.0%

Estate Production Metrics	Annual Data	12-month period
Annual FFB Production (MT)	59299.00	50000.00

Estate Demographics	Annual Data
Total Workers	0
% of Non-Local Workers of Total Workers	#DIV/0!
% of Contract Workers of Total Workers	#DIV/0!
% of Female Workers of Total Workers	#DIV/0!
% of Young Workers	#DIV/0!

Estate Training	Annual Data
Number of RSPO-related training organised	25
% of workers receiving training	#DIV/0!
Number of smallholders receiving training	0

Estate Grievances	Annual Data
Active cases as of the end of previous calendar year	0

ons | **Summary** | 1.0 Member Details | 2.0 Annual - Mill | 3.0 Annual - Estate | ⊕

Incomplete/Missing data

Incomplete supply base demographic data

- Error: There is FFB data recorded for outgrowers, but no data recorded in the outgrowers demographic section.

- Correct way: Demographic information should be provided as long as there is production of FFB

FO.1.0 Productivity, Outgrowers	Annual Data (Jan-Dec of Previous Calendar Year)		12-month period counting up to two months before audit month	
	Start	End	Start	End
	Jan-20	Dec-20	Oct-20	Sep-21
Certified FFB Production (MT) - Outgrowers	103,197		105971.56	
Non-Certified FFB Production (MT) - Outgrowers	0		0	
Total Certified FFB Production (MT) - Outgrowers	103,197		105971.56	
% Certified FFB Production - Outgrowers	100%		100%	

Supply Base Demographic: Smallholders & Outgrowers (Jan - Dec of previous calendar year)			
SH.1.0 - Number of individual smallholders (scheme, independent and outgrowers) by gender			
	Male	Female	Total
Scheme			0
Independent			0
Outgrowers			0
Total	0	0	0

Incorrect data

Incorrect demographic data on training

- Error: (Example) Total number of female received training is not tally with the total female workers recorded in the metrics template.

- Correct way: The training demographic data is recorded regardless of the number of trainings the individual worker and smallholder has attended. For example, worker A has attended a total of three training sessions and will only be recorded as one headcount instead of three in the template.

D.2.0 - What is the total number of workers in the following categories?	Local				Non-Local				Total
	90				12				102
	Permanent		Contract		Permanent		Contract		
	90		0		12		0		102
	Male	Female	Male	Female	Male	Female	Male	Female	
	78	12	0	0	12	0	0	0	102

Training (Jan - Dec of previous calendar year)			
T.1.0 - How many RSPO-related training have been organised in the last year?			28
T.1.1 How many full-time employees (permanent and contract) attended the training?			
	Male	Female	Total
Management	22	5	27
Non-Management	65	8	73
Total	87	13	100

Incorrect data

Incorrect pesticide data

O.2.0 - Have pesticides classified under WHO 1a or 1b or listed by Stockholm and Rotterdam Conventions and paraquat been used in the last year under exceptional circumstance?	**Yes**
O.2.1 - If Yes, why?	
For treatment of bagworm infestation	
O.2.2 - How many times have you use pesticides listed above under exceptional circumstances during the same period?	2

7.2.5	Evidence in Sustainability Manual Policy 6.0 Safe Use Storage of Agrochemicals/Chemicals, Issue / Rev: 5/4, Date: 1/1/2021 under (iv) Occupational Safety and health stated prohibit highly toxic, bio – accumulative and persistent pesticides. This includes chemicals listed by the following: - 1. Paraquat 2. World Health Organisation Class 1A or 1B Stockholm or Rotterdam Conventions KLK. Sighted latest chemical register for all Estates and It's confirmed that there is no Class 1A and 1B chemical has been used in the estate operation. No Class 1A and 1B chemicals being used in Estates.

Question & Answer

www.rspo.org

Find out more at
www.rspo.org

CERTIFICATE

**Based on the audit conducted this is to confirm
that this certificate:**

xxxxxxxxxxxxx

is awarded to

**Company Name: xxxxxxx
RSPO Membership Number: xxxxxxxx**

**with the Scope of
Mill ABC
Estate x
Scheme SH y
Outgrower z**

**Start Date: abc
End Date: abc**

**Certificate Number
AAA-001-1234**

RSPO CB INTERPRETATION FORUM

SOCIALIZATION:
RSPO LABOUR AUDITING GUIDANCE

Compliance Unit, Assurance

www.rspo.org

Updates from the Secretariat

RSPO Labour Auditing Guidance

Key Legends

Always remember this

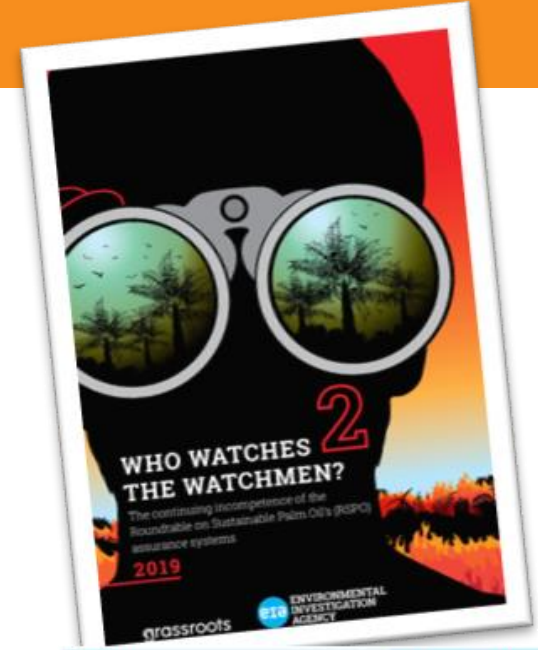Be cautious on this area or subject

Please refer to the full document

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WM

Background

Background

- There are **gaps during audits**, particularly in assessing human rights and social standards (reported by stakeholders)

- A **mismatch** in terms of methodology and results between the CB's audit reports and the NGO assessments or investigations

- A call from stakeholders to **strengthen the assessment component** with an improved capacity of the CBs relating the audit and verification for labour and wider social aspects

Background

The intent of the document is to **improve auditability of labour requirements** of the RSPO P&C and provide CBs with a clear methodology that ensures **a consistent system and approach** to plan and execute RSPO P&C audits.

RSPO
Roundtable on Sustainable Palm Oil
2022

Photo Credit: RSPO Jonathan Perugia

RSPO LABOUR AUDITING GUIDANCE BASED ON THE RSPO PRINCIPLES & CRITERIA
Handbook for Auditors

Endorsed by the RSPO Assurance Standing Committee on 22 September 2022
To be used as a voluntary guidance for 18 months starting from the date of announcement on the RSPO website (21 November 2022)

2017	2017-2018	December 2018	2019
Initial stage Terms of Reference (ToR)	Working Group & Task Force implement the working programme	First draft document established namely RSPO P&C Social Auidting Protocol	Stakeholder Consultation and review of the first draft document

October - November 2021	2020/2021	December 2019	May 2019
Pilot testing on the field of the third draft document by CBs alongside with the RSPO P&C normal audit	Status quo due to Covid-19 pandemic outbreak	The third draft document produced, namely RSPO Labour Auditing Guidance for Audits Conducted on the RSPO Principles & Criteria 2018	The second draft produced, namely RSPO P&C Labour Auditing

Endorsement	May-June 2022	January-April 2022
	Reviewed all comments/feedback by the Secretariat	Inputs received from the pilot test, continued with review, and brought up to the targeted stakeholder consultation

CBs should **develop internal procedures consistent with this guidance** and use the RSPO Certification Systems document and P&C as reference

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Disclaimer

This document shall be used as a **voluntary guidance for a trial period of eighteen (18) months, effective from the date of announcement (21 November 2022)**.
The Secretariat, along with the ASC and the Accreditation Body will be closely monitoring the implementation of this guidance and an evaluation of its effectiveness will be conducted at the end of this trial period.

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- Labour auditing can include different types of audits, such as safety audits, wage and hour audits, and workplace harassment audits.

- These audits are designed to ensure that a company follows the laws and regulations **related to labour practices**, and can help to identify any areas of non-compliance.

- Labour auditing can provide numerous benefits to a company, such as **improved employee morale**, increased productivity, and reduced liability.

- It can also help to ensure that a company is compliant with applicable laws and regulations, which can help to avoid costly fines and penalties.

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01 Location (GPS Coordinates)
- Latitude & longitude (degree, minutes or decimal)
- Addresses (mills and supply base)

02 Supply Base Maps
- Demographics and understanding distance between locations

03 List of Stakeholders
- Direct stakeholders
- Indirect stakeholders
- Governmental Agencies
- NGOs

04 Workforce Information
- Total numbers
- Gender distribution
- Type of work
- Etc2. (follow document)

Review the above information thoroughly to ensure adequate timing for all audit activities.
In general, allocate at least 20 minutes for each interview (excluding travel time and setup)*

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2.1 - 2.2 Audit Plan Development

15% — Management systems and processes
- Map applicability with RSPO Principle 6
- Understand recruitment and payroll process

25% — Worker and management interviews
- **Sampling Methodology**

15% — Audit programme
- Dates
- Locations

30% — Roles and responsibilities
- Audit team members
- Translator
- Interpreter
- Observers

15% — Audit duration
- Based on no. of interviews, locations etc

⚠️ Adapt plan to operational practicality and suitability and adhere to all health and safety precautions

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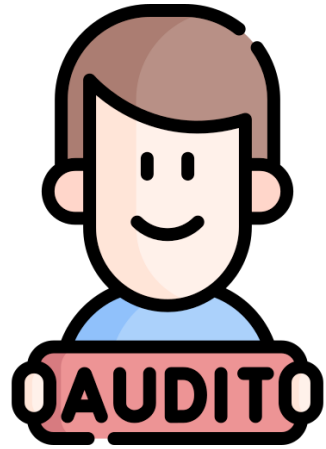
WM

2.3 Initial Research

- Conduct desk review to obtain **preliminary information** on the Management Unit that will be audited.

- Perform initial research via **digital and/or traditional sources** (e.g. web-based, newspapers, journals, social media).

- **Record and maintain results** of the initial research for each Management Unit.
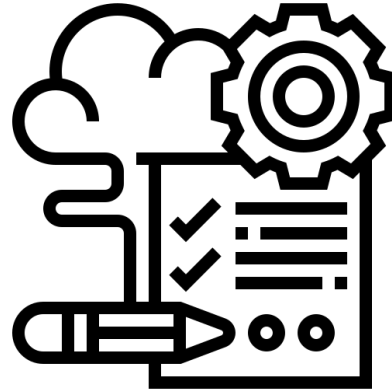
- Initial research for the audited Management Unit should **consider the following**, but not necessarily be limited to:

  - Identified vulnerable groups
  - Past legal actions
  - Complaint records (RSPO, NGO, others)
  - Past audit reports
  - Demographics and migration trends
  - Language used
  - Applicable national laws
  - Records of inspection by local authorities
  - GLW benchmarking

2.4.1 - 2.4.3 Desk Review (Offsite)

- Allocate **1 - 2 assessment days** for desk review

- Request for information at least **two (2) months** before the audit.
- Management unit to respond at least **one (1) month** before the audit.
- If not, the **audit should be postponed** and action should be taken as per the CB's internal procedures and/or contract with the Management Unit.

- On-site audit should commence **within six (6) months** of the completion of the offsite desk review.
- If not, a **new offsite desk review** should be performed.

2.4.4 Information/Documents to be Requested

The following information/documents should be requested (but not be limited to) prior to the on-site audit:

Details on Management Unit	Period
Full name and main site/office location i.e. address and GPS coordinates	Latest
Full name of the Management Unit's representative and contact details	Latest
No. of sites to be included in the audit scope, including any new supply base, mill machinery or processes.	Latest
Existence of other sites under the Management Unit's operational control.	Latest
Full address of each site location, GPS coordinates - distance and travel time from the main site.	Latest
Maps of the Management Units' premises e.g. PO mill, surrounding villages, worker housing, trade union ofc (page 4 of the document)	Latest
Existing management systems certification if any (e.g. ISO series, OHS or other schemes)	Latest

WM

2.4.4 Information/Documents to be Requested

Management Unit's Management Systems, Policies, Procedures & Records (refer to pages 4-6 for details)

6.1 Discrimination
- Non-discrimination and equal opportunity policy
- Recruitment policy and procedure for diff types of workers
- Documentation/records of Gender Committee
- Workers training programmes and improvement opp for women

6.2 Pay and Conditions
- Employment and welfare-related policies and procedures
- Number of operational shifts in the mill
- Daily or seasonal quotas during regular work hours
- Pay periods for all categories of workers
- No. of workers who stay in worker housing
- No. of workers who stay outside the Management Unit
- General calculation of the prevailing wage provided to workers

6.3 Freedom of Association and Collective Bargaining
- Policies or statements recognising freedom of association
- Minutes of Meetings with trade Union and/or workers reps
- Records of meetings (e.g. photos)

> Remember to record and maintain the outcome of the desk review.

6.4 Child Labour
- Policy for protection of children, including prohibition of child labour and remediation
- Employment contracts and agency agreements
- Records of communication regarding the "no child labour" policy

6.5 Harassment and Protection of Reproductive Rights
- Policy to prevent sexual and other forms of harassment
- Policy to protect reproductive rights of all, especially of women
- Grievance mechanism SOP
- Records of communication on the policies & registered grievance
- No. of facilities for pregnant & breastfeeding women, childcare facilities provided
- Disciplinary procedures

6.6 Forced/ Trafficked Labour
- Labour or other employment-related policies and procedures
- Health and Safety policies and procedures
- Accident and emergency procedures
- Records of meetings for Health & Safety
- Records of work-related accidents
- Records of occupational injuries using Lost Time Accident (LTA) metrics
- Records of First Aid training for assigned operatives
- Hazard Identification, Risk Assessment and Control Procedures & Records

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WM

2.5.1 - 2.5.8 Sampling Methodology

- Ensure sampling represents a **cross section of the workforce** based on relevant demographic characteristics.

- Keep **control of sample selection**. Do it as late as possible - minimise risk of workers being coached.

- Calculate sample using this formula: **x= √N (where N= number of total workers)**.

- Calculate a **separate sample** set by taking the square root of each identified **vulnerable group**.

- If vulnerable groups are identified during audit execution, request data on total number of identified vulnerable groups within the workforce. If they do not have such data, the auditor should interview the **identified vulnerable worker**.

- Workers chosen for interviews should represent **different types of workers**.

- Interview **50% of sampled workers individually and 50% in groups** (may be adjusted based on specific circumstances).

- Consider using a **translator(s) or interpreter(s)** who are independent of the Management Unit being assessed.

2.5.9 Interviewees Selection

Consider a combination of the following (randomly selected):
- Job scope (field, non-field)
- Gender (male, female)
- Categories - permanent, full time, casual/ seasonal and day labour, and contract workers (including outsourced and subcontractor workers)
- Local, transmigrant and migrant workers
- The spectrum of ethnic, national, linguistic, or religious groups
  - youngest and oldest workers;
  - different departments including security and workers in the mill and the field;
  - different designations;
  - worker representatives;
  - health and safety committee representative(s);
  - new employees/trainees;
  - workers in all pay grades;
  - pregnant women;
  - breastfeeding mothers;
  - workers from different shifts;
  - workers not wearing uniforms.

This presentation is for the purpose of the CB Interpretation Forum only. Always refer to the full document for official reference.

MSA

2.6 Stakeholder Consultation

Sharing session: What are some issues you have encountered when conducting stakeholder consultations?

- To be conducted during **initial surveillance, recertification and special audits,** considering changes that may influence working conditions.

- Involve **stakeholders identified** during the Application and Signing of Contract and Offsite Desk Review stage.

- Consider **other relevant stakeholders** based on outcomes of Initial Research. CBs should have own selection criteria i.e. risk evaluation, reference to RSPO complaint trackers or allegations in public domain.

- Maintain an **up-to-date list** of all relevant stakeholders including name, contact person, physical address, contact information, consultation date, contact method & reason to contact.

- **Acknowledge receipt** of all submissions of stakeholder comments, to be considered when planning audits and clearly explained in the audit reports.

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- In addition to the Audit Planning requirements in the RSPO P&C Certification Systems document, the CB should not conduct the on-site audit until the Offsite Desk Review has been completed.

- This includes the review of all necessary documents to develop an audit plan and appoint the relevant audit team members with labour expertise.

Samples of audit agenda preparation from an exercise conducted during the Bogor workshop

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General Requirements

- Follow **ISO 17021/17065** series and the RSPO **P&C Certification Systems** document. In addition, consider the following:
  - Use **language** understandable by the majority. Consider translator/interpreter service.

- Invite senior management, **personnel responsible** for key functions and processes e.g. payroll, recruitment, accounts, human resources and trade union/worker reps.

- Inform the importance of attendance at the **closing meeting** and invite all key personnel.

- Emphasise the need for openness, honesty and **transparency**.

- Check and verify any **changes** from what has been communicated during the Application and/or Desk Review.

Compliance with Standards, Laws, and Regulations

- Audit criteria is based on the latest RSPO P&C, applicable national and regional laws, Collective Bargaining Agreements (CBA), company regulations and bilateral trade agreements, whichever affords the **highest protection to workers**.

Logistics

- Logistical **arrangements** to visit sites and transportation needs are to be met.

Communication

- The interviewed workforce will be provided with CB and AB's **contact information** to facilitate confidence.

- Explain the process for communicating **issues as they arise** during the audit.

To ensure independence, avoid using vehicles owned by the Management Unit.

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3.1 Opening Meeting

Worker Information and Interviews

- Request **list of workers** scheduled to work on on-site audit days.

- Confirm any **subcontractor** at the audit site. Record the no. of their workers and work being performed and include them in the sample.

- Explain that **individual and group interviews** will be conducted.

- Ensure interviews are conducted in a **private place** and not attended by management staff.

- Remind the management team that:

  - Interviewees should **not be discriminated** against or put in an unfavourable position.
  - Workers wages or benefits should **not be deducted** for time spent speaking to auditors.

On-site Evidence Collection

- Explain that audit evidence will be gathered by documents review, interview and site visits. **Photos** will be captured throughout the audit process (relate solely to labour requirements in the RSPO P&C).

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3.2 Guidance for Verification of Principle 6
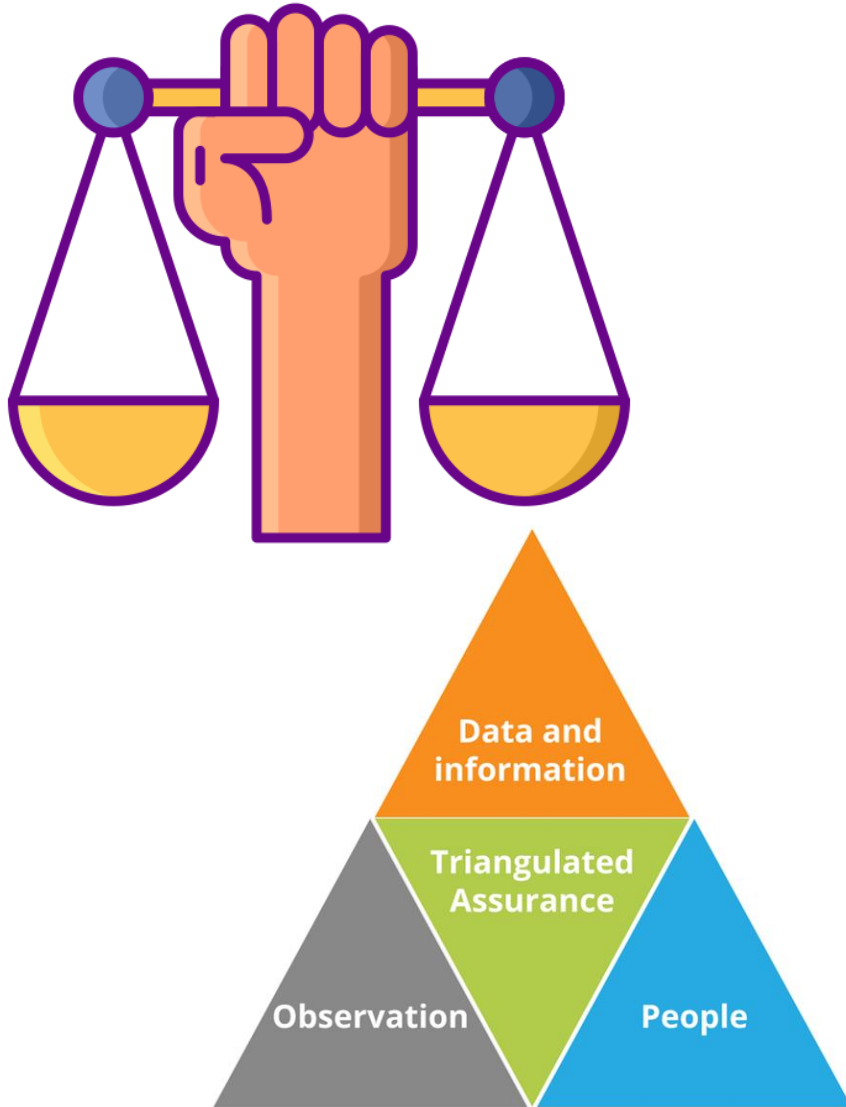
- For Criteria 6.5 (*no harassment/abuse in the workplace and reproductive rights are protected*) and 6.6 (*no forms of forced or trafficked labour is used*), **cross-check documents** requested with the sampled interviewees.

- For Criteria 6.4 (*prohibition against child labour*), ask **probing questions** to distinguish between actual child labour, young workers conducting hazardous work, school absenteeism, and children who accompany parents (for non-working purposes).

- Observe workers' **reaction and gesture** to identify signs of fear, reluctance or hesitation towards answering particular questions.

- Auditors may randomly interview individual meeting attendees to confirm if the meetings were held and cross-check information in **meeting records**.

- Documents requested at the Offsite Desk Review stage may be **requested again** during audit execution.

Data and information

Triangulated Assurance

Observation

People

3.2 Example Questions during Interviews

Criteria	Example Questions to Workforce
6.1 Discrimination	● For migrant workers - What payments have you made before arriving at this company to work? ● Are you treated differently because of your gender/ ethnicity/ nationality?
6.2 Pay and conditions	● Were the terms of the employment contract explained to you? ● Do you understand your payslip and the breakdown of payments and/or deductions?
6.3 Freedom of Association and Collective Bargaining	● Are you aware of any workers unions or committees and their functions? Are there any restrictions to join it? ● What is the process of electing the worker representatives? Are they democratically elected?
6.4 Child Labour	● Do you get any family members or friends to help you achieve your quotas? What type of work do they do? ● What do your children do when you go to work? Are there schools accessible for your children to attend?
6.5 Harassment and Protection of Reproductive Rights	● When someone has a complaint, who can they go to that hear them out? ● If the complaint is sensitive or private, is there a safe space/system to lodge your complaint? ● Are female workers (e.g. sprayers) given alternate work when pregnant or breastfeeding?
6.6 Forced/ Trafficked Labour	● Do you keep your passports with you? If the company keeps it, do they return it to you if you ask for it? ● Can you quit if you want to stop working at this company? What would you have to do?
6.7 Health and Safety	● What kind of training do you have to go through before starting any work? How did you obtain the PPE and other health and safety equipment? ● Can you explain the process for any emergency situation?

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3.3 Site/Field Tour

- Limit to a maximum of **two management representatives** to accompany auditors.

- Ensure strict compliance with **safety rules**.

- Be aware of **site traffic** conditions.

- Ensure all important areas are identified and covered. This includes

    - operation/production areas
    - store/warehouses
    - facilities and/or amenities provided for the workforce

- Evaluate the following aspects:

    - Understand the work being done at the audit site
    - Evaluate health and safety practices
    - Identify potentially vulnerable workers and/or family member(s) living in the Management Unit site
    - Observe management systems and practices, including atmosphere between management, supervisors and workers
    - Note any physical observable evidence related to P&C requirements.

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Obtain information from workers to **corroborate facts** obtained from document review, discussions with management and staff, a review of physical conditions at the organisation and any other observations noted by the audit team.

Good Practices For Worker Interviews

1. **Set the context** of issues to be covered and read out relevant statements, exploring agreements or disagreements.

2. **Start with the least sensitive topics** first (such as health and safety), followed by the more sensitive (such as discrimination and sexual harassment) to create a safe space and build rapport.

3. To **discuss sensitive issues** during face-to-face interviews, open the discussion with topics such as their life experiences, before asking the more difficult questions.

4. Where necessary, **take breaks** during the interview and give workers time to collect themselves. Reinforce their coping strategies and let them know that they are **helping others** who may be going through similar experiences.
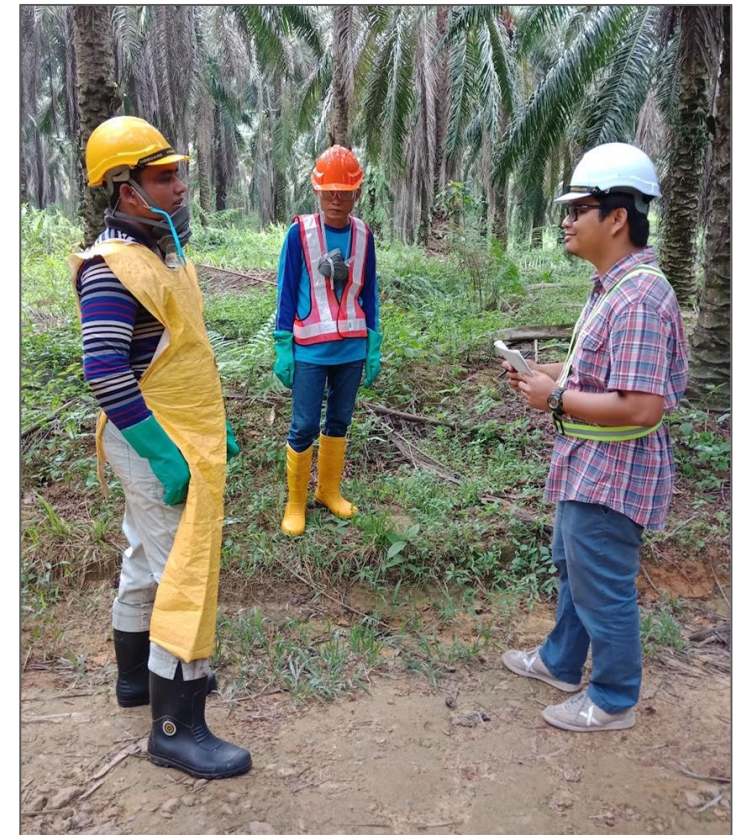
Source: Adapted from BSR Gender Data Impact Framework

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3.5 Closing Meeting

- Follow generic requirements in the **ISO 17021/17065** series and **RSPO P&C Certification Systems** document.

- Also ensure:

  - **Findings related to labour indicators** are presented at the Closing Meeting of the RSPO P&C audit.

  - Attendees are the **same groups** of people that attended the Opening Meeting.

  - **Language** that is **understandable** by the majority and consider translator/ interpreter service.

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4.1 Audit Reporting

In addition to requirements of the RSPO P&C Certification Systems document, you should also include:

- A **record of interviews** conducted, including categories of workers spoken to and their genders; number of individual and group interviews; number of workers in each group; and location of interviews.

- A table indicating **number of workers**, job scope (field, non-field), gender (male, female) categories (permanent, full time, casual/ seasonal and day labour), local, transmigrant and migrant workers, **at the audit site**.

- The above table should include **workers** at each audited sites, such as mill, estates and supply base that are **covered under the scope** of the audit.

- Names of recognised **trade unions** at the audit site and **worker representatives** as well as how they are elected and their functions.

- The **current CBA** with the effective date and the period of validity.

- A table noting the number, types of **subcontractors** working at the audit site, nature of activities and the number of their workers.

6.1.2 (C) Evidence is provided that workers and groups including local communities, women, and migrant workers have not been discriminated against. Evidence includes migrant workers' non-payment of recruitment fees

a.	What evidence is available to support that workers and groups including local communities, women, and migrant workers have not been discriminated against? Evidence may include job advertisement, job description, appraisal, and/or information obtained via interviews with relevant stackholders	Interviews of local communities, male and female workers, and workers representatives at the mill and estates confirmed that they are not discriminated against. For example, job advertisement does not discriminate between male and female, all are eligible to apply. The interviews also confirmed no complaint regarding discrimination on gender, ethnic or others.
b.	For migrant workers, is there evidence that the workers are not paying recruitment fees during the recruitment process? Please check the contract between employer and agency, and contract betweeen worker and agency	
c.	For migrant workers, is there evidence that they are not paying anything that a local worker is not required to pay, unless mandated by the law?	
d.	Are there complaints against the company on issues relating to discrimination? If yes, what actios have been taken?	

☒ Yes
☐ No
☐ N.A

NCR No :

6.2.6 A "DLW" is paid to all workers, including those on piece rate/quotas, for whom the calculation is based on achievable quotas during regular work hours. PROCEDURAL NOTE: A written policy with specific implementation plan, committing to payment of a "decent living wage" is in place. The implementation plan with specific targets, and a phased implementation process will be in place, including the following: • An assessment is conducted to determine prevailing wages and in-kind benefits already being provided to workers. • There is annual progress on the implementation of living wages • Where a minimum wage, based on equivalent basket of goods, is stipulated in Collective Bargaining Agreements (CBAs), this should be used as the foundation for the gradual implementation of the living wage payment. • The unit of certification may choose to implement the "living wage" payment in a specific section as a pilot project; the pilot will then be evaluated and adapted before	Yes	Based on pay slip verified, all sampled workers who complete the number of days offered in a month received at least minimum wages applicable, which is RM 1,100.00 per month or more. Suai Estate, Saremas 1 Estate and Saremas 1 Mill had calculated the prevailing wages and in-kind benefits for their workers. The calculation included housing, electricity, water, transport to work, sports and recreation facilities, education, childcare and healthcare. The auditor had verified the calculation and though the calculation was in line with RSPO Guidance on Calculating Prevailing Wages.

6.5.2 (C)	A policy to protect the reproductive rights of all, especially of women, is implemented and communicated to all levels of the workforce	BOPP has in place Reproductive Right Policy which has been signed by the General Manager and the Human Resource Manager. The policy has been updated May 2020. The policy seeks to provide guidance on the integration of reproductive rights into the world of work at BOPP, to educate, promote and protect employees and their family's dignity and human rights which also includes care for sexual health, the purpose of which is the enhancement of life and family relation. The policy has been made publicly available on all notice boards in the company as well as in the communities.	☒ C ☐ NC ☐ C w/Obs ☐ N/A

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- The CB should **maintain all records of evidence** gathered during an audit. Pictures, audit notes, checklists, identity of workers interviewed and any other information collected from the audit site should be considered as audit evidence.

- Audit evidence should be available in the file of the Management Unit and should be kept for at least **one certification cycle** (5 years).

RSPO CB INTERPRETATION FORUM

RSPO ASSURANCE FORUM FOR CB AUDITORS

Integrity Unit
Compliance, Assurance Division

www.rspo.org

Strengthening Audit on Labour & Wider Social Aspects

Implementing the RSPO
Labour Auditing Guidance

Exercise A: Preparing Certification Proposal

This UoC was previously suspended by the Certification Body and now is in the process of lifting the suspension. Develop a certification proposal for this UoC. Then, proceed to Exercise B.

RSPO Member Name	Casasur S.A.S.	Name	Total Planted (immature + Mature) (ha.)	HCV Areas (ha.) and Type	Infrastructure & Others (ha.)
RSPO Membership Number	1-0214-16-000-00	Estate 1 (Certified)	6,199	761 (HCV 1, 3, 4)	No information given
Country	Colombia	Estate 2 (Certified)	3,803	84 (HCV 2, 3, 4)	No information given
Municipality, Department	Villanueva, Casanare				

Mill Demographics	Annual Data
Total Workers	81
% of Non-Local Workers of Total Workers	61.7%
% of Contract Workers of Total Workers	6.2%
% of Female Workers of Total Workers	11.1%
% of Young Workers	0.0%

Estate Demographics	Annual Data
Total Workers	806
% of Non-Local Workers of Total Workers	15.8%
% of Contract Workers of Total Workers	61.4%
% of Female Workers of Total Workers	32.1%
% of Young Workers	0.0%

NCs from last audit
3.1.3
6.2.2
6.7.3

ZT

Exercise B: Preparing Audit Agenda

1. Develop an audit agenda based on the certification proposal you prepared using the template below.

2. Three groups will be chosen to present their work from Exercise A and B.

Date	Time	Location	Activities
eg. 23 March 2023	*10.00 am - 10.45 am*	*Estate 1 (Clinic)*	● *Interview with medical assistant & nurses* ● *Verify records*

30:00

ZT

Auditing for Sustainability

Addressing Gaps and Challenges in Latin America

Complaint Cases in Latin America (2015 - 2023)

Country	Number of cases
🇨🇴	🔴 🟢 🟢 🟢 🟢 🟢
🇭🇳	🔴
🇬🇹	🔴 🟢 🟢
🇪🇨	🔴
Total	11 cases

🔴 Ongoing
🟢 Closed

- Do you agree with these?
- What other challenges exist in oil palm operations in Latin America?
- What other countries are facing similar challenges?

Nature of Complaints

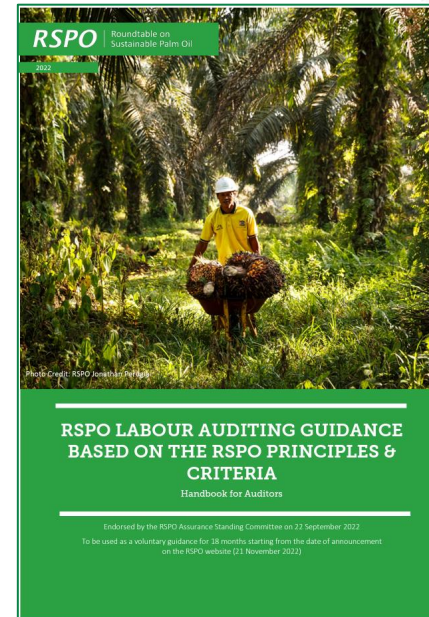| Land Dispute	Environment	Labour Violations		Others
Land obtained without prior FPIC	Improper toxic waste disposal	Threats during audits	No minimum wage & benefits	Bribery
Modification of property deeds	Deforestation	Unjustified dismissal	Poor working condition	Illegal sourcing of FFB
Intimidation to community owners	Forest degradation	Insufficient PPE	Anti-union practices	

WM

Exercise C: The 6 Why

1. Your group will be assigned one of the key challenges identified previously.

2. Appoint one person in your group to ask the first "why". The group should then discuss and write down the answer.

3. Have another person ask a second "why" question based on the first answer.

4. Continue to ask "why" and discuss the answers until the group has reached 6 questions and answers.

5. The 6th answer should reveal the root cause of the issue being discussed.

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1. Based on the root cause identified in the previous exercise, discuss how you would audit this.
2. In the context of implementing the RSPO Labour Auditing Guidance, which section(s) of the document would be most relevant for this purpose?
3. If the Guidance does not cover a particular issue, what suggestions would you make to improve it?

RSPO | Roundtable on Sustainable Palm Oil

2022

Photo Credit: RSPO Jonathan Perugia

RSPO LABOUR AUDITING GUIDANCE BASED ON THE RSPO PRINCIPLES & CRITERIA

Handbook for Auditors

Endorsed by the RSPO Assurance Standing Committee on 22 September 2022

To be used as a voluntary guidance for 18 months starting from the date of announcement on the RSPO website (21 November 2022)

WM

Q&A Session

MSA, WM

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QUESTION & ANSWER

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THANK YOU!