

RSPO CB INTERPRETATION FORUM

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



www.rspo.org





AGENDAS

23 May 2023 (Tuesday)

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



24 May 2023 (Wednesday)

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



25 May 2023 (Thursday)

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



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



www.rspo.org

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



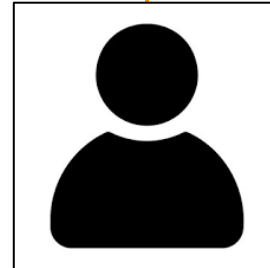
meet the Assurance team!



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



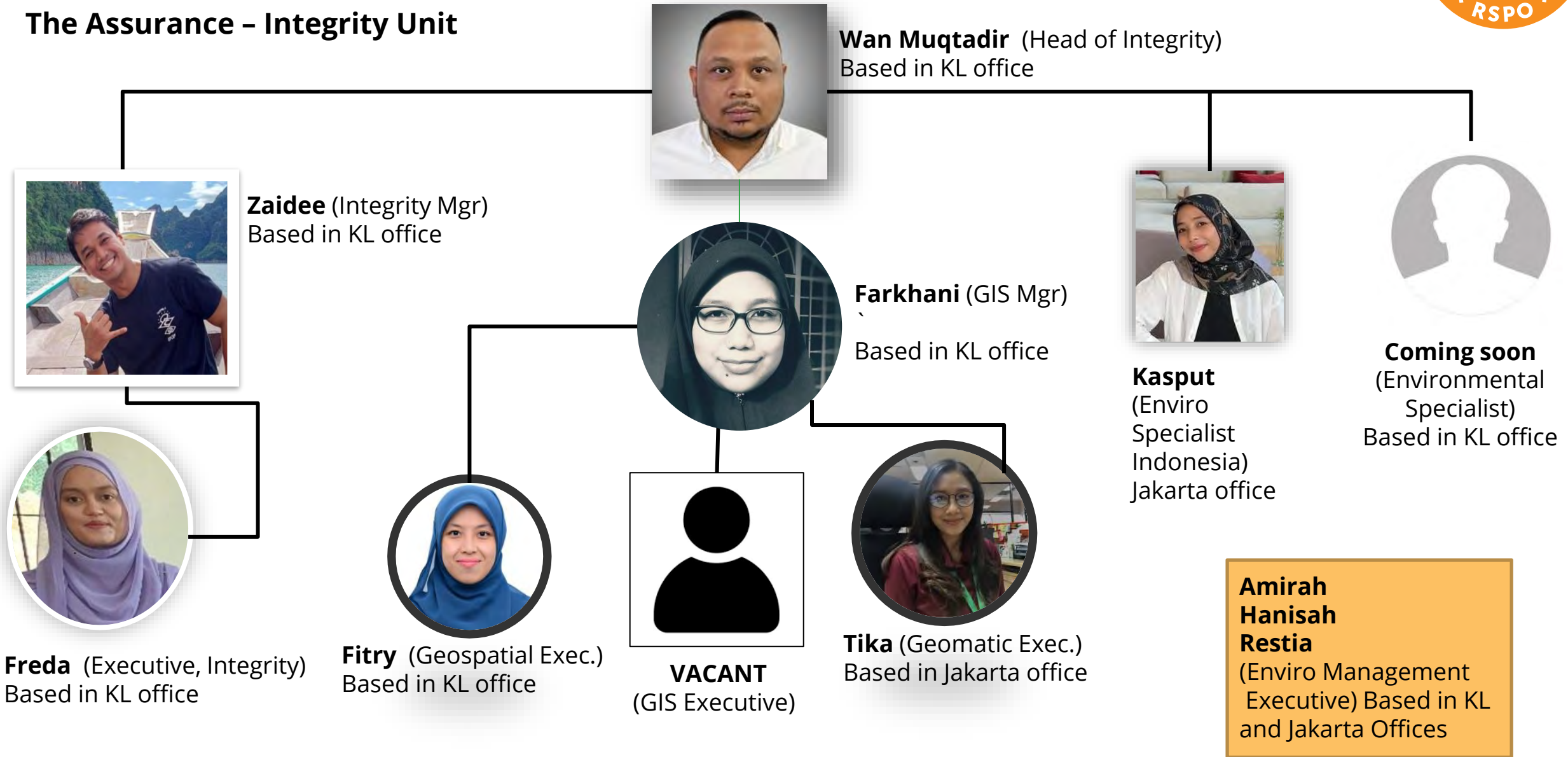
The Assurance - Certification team



ASSURANCE



The Assurance – Integrity Unit



ASSURANCE



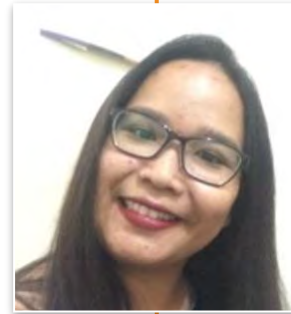
the Assurance – Risk Unit team



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



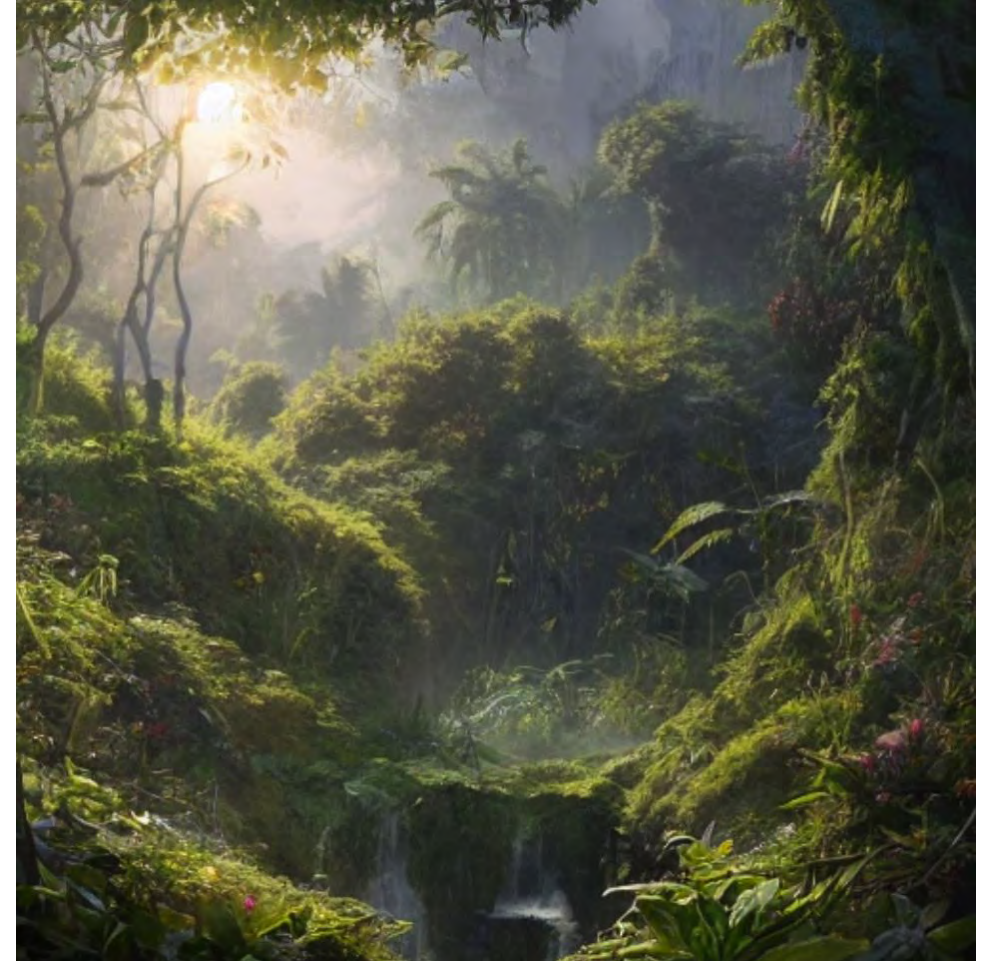
The Assurance Division strives to **develop, monitor, maintain, and enhance** the RSPO Assurance System with a **transparent and consistent approach** to implementation, aimed at building stakeholder **trust and confidence**



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

RSPO CB INTERPRETATION FORUM

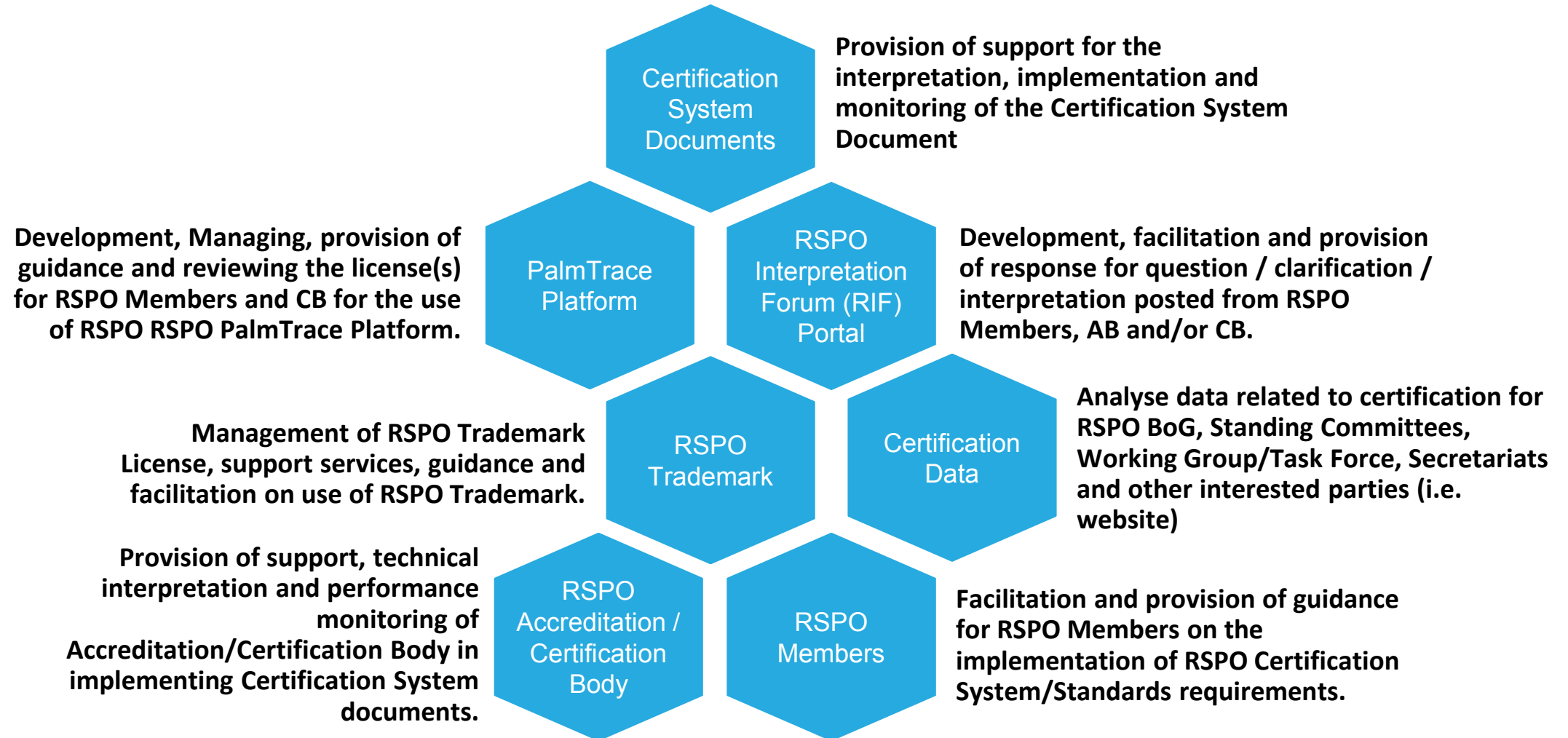
UPDATES FROM RSPO SECRETARIAT

Shazaley Abdullah
Head, Certification



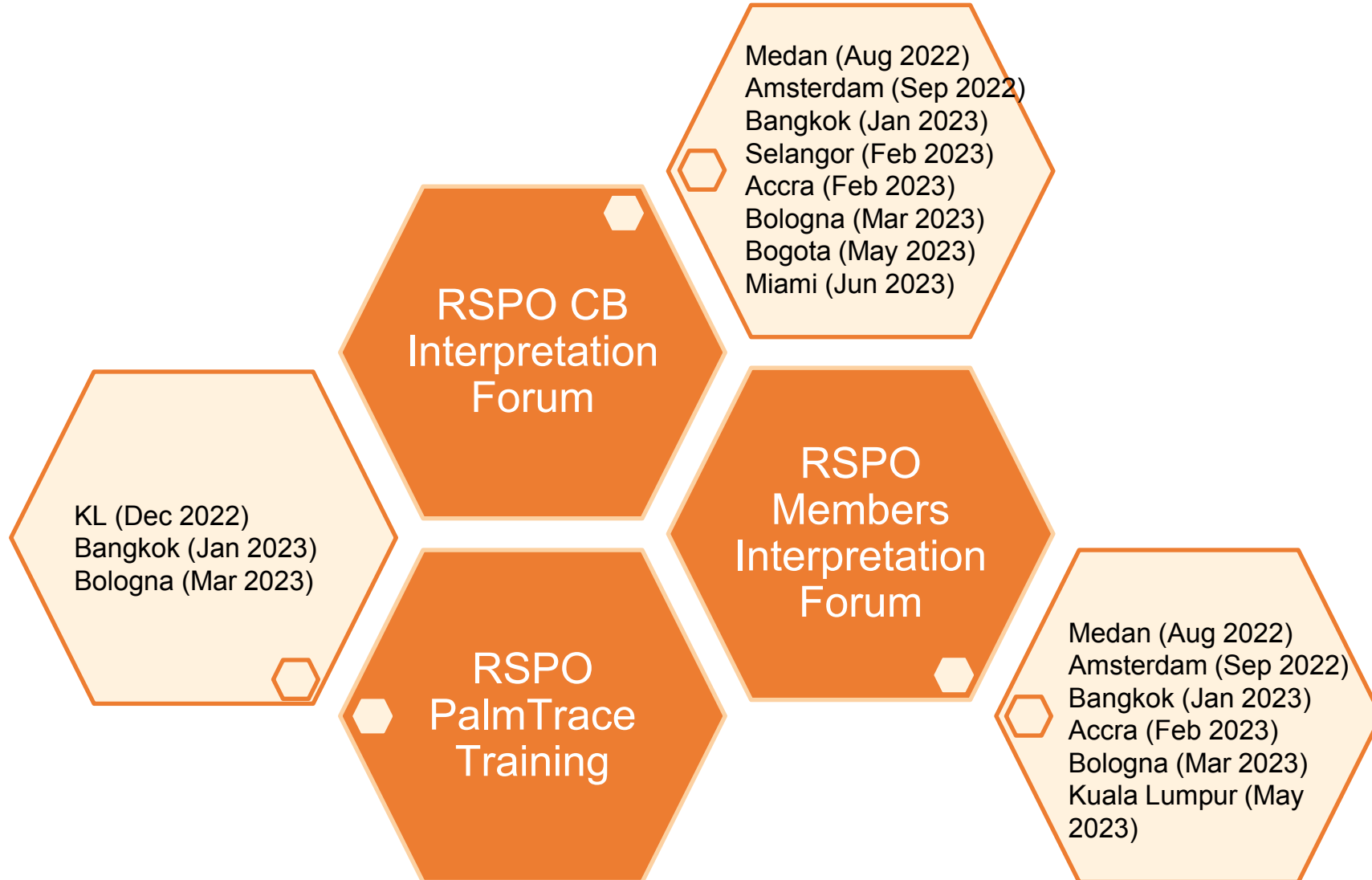
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Key Responsibilities - RSPO Certification Unit





Engagement Session by Certification Unit





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RSPO Certification Data (as of 31 Mar 2023)

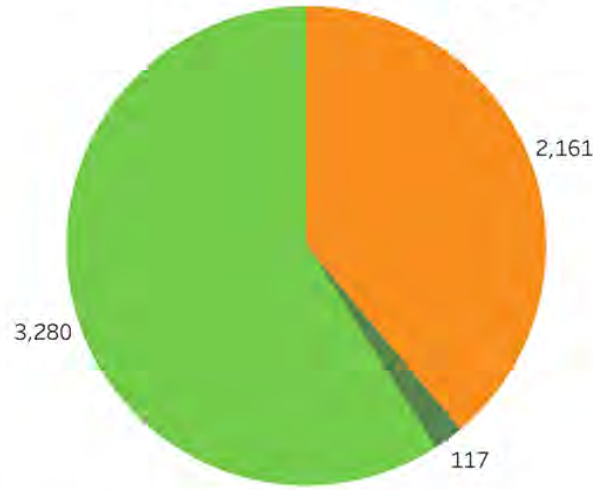
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Membership Figures

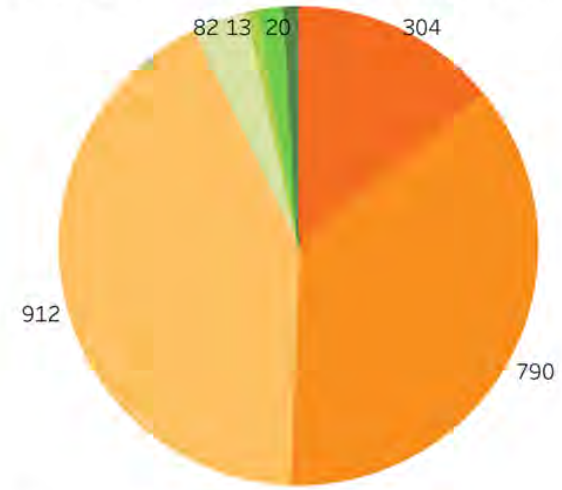
Data presented below is as of 3/31/2023, unless stated otherwise



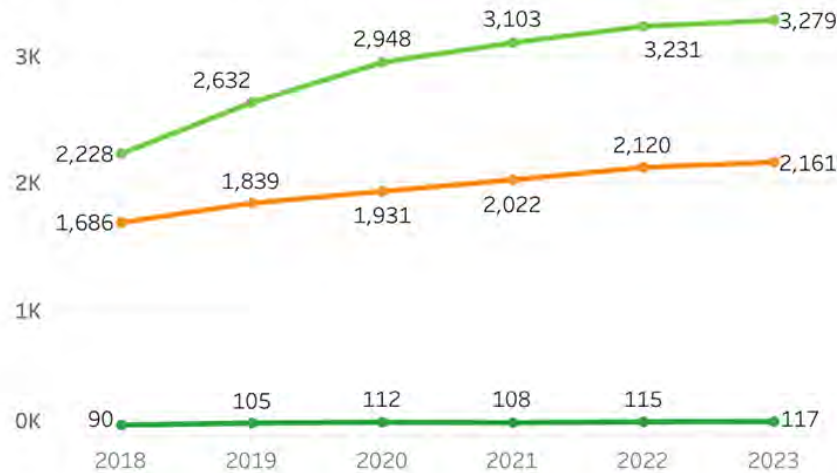
RSPO Members By Category



RSPO Ordinary Members By Sector

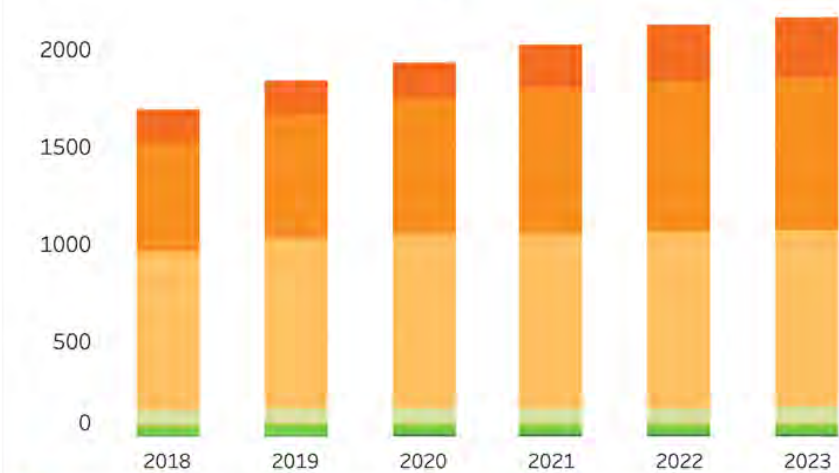


RSPO Members by Year



■ Ordinary
 ■ Associate
 ■ Affiliate

RSPO Ordinary Members by Year



■ Oil Palm Growers
 ■ Retailers
 ■ Social or Development
■ Palm Oil Processors ..
 ■ Banks and Investors
■ Consumer Goods Ma..
 ■ Environmental or Na..



RSPO in Numbers

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

P&C Certification Figures by Countries



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 Palm Oil Mills

503

Units/Mills

Certified Grower

97

Members

Companies with Supply Chain Certificates

3,863

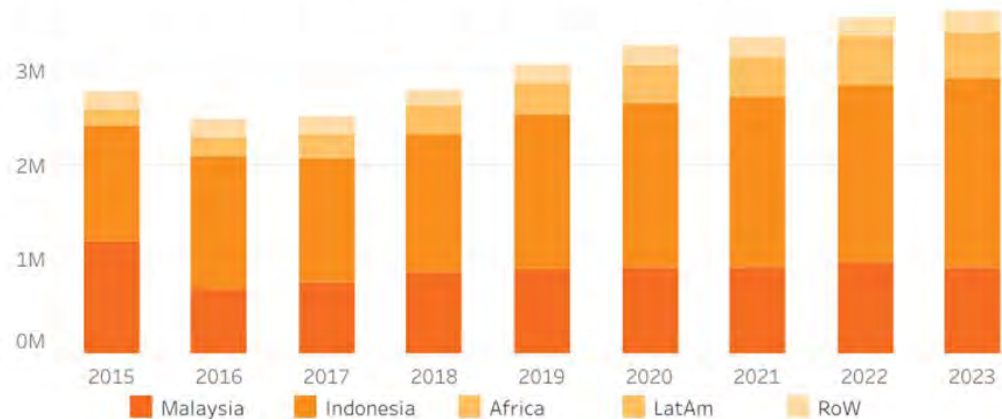
Companies

Facilities with Supply Chain Certificates

6,650

Facilities/Mills

Certified Sustainable Palm Oil Production Area (ha)



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



RSPO in Numbers

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

Number of All Smallholders by Countries

Please select :
All Smallholders

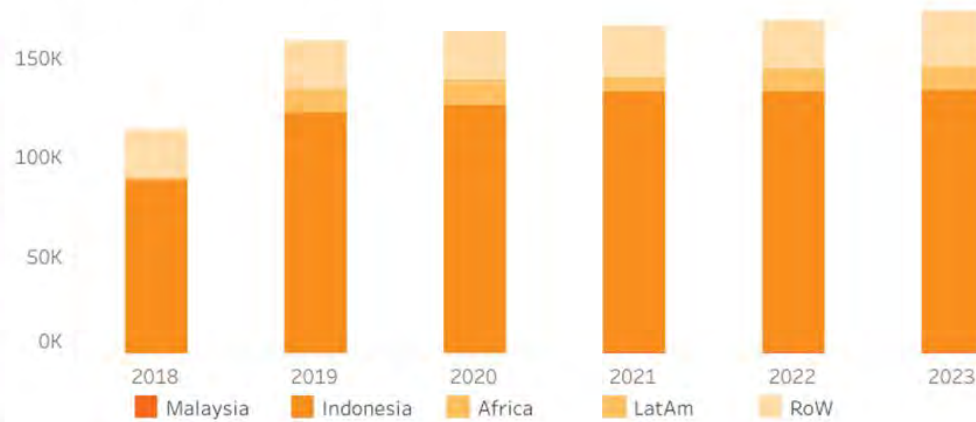


RSPO ISH – Q1 2023

- RISS certified available in 6 countries
- 21 newly certified ISH groups in 2022
- 35% increase in certified area for 2022

Number of All Smallholders	No. of Certified Independent Smallholder Groups
172,399	93
All Smallholders Certified Area (ha)	All Smallholders Production Area (ha)
463,701	410,055

Number of All Smallholders



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



Transactions Performance (Jan-Dec)

SHIPPING TRANSACTIONS (CSPO 2021 vs 2022 Performance)

7,525,856

Volume YTD 2022

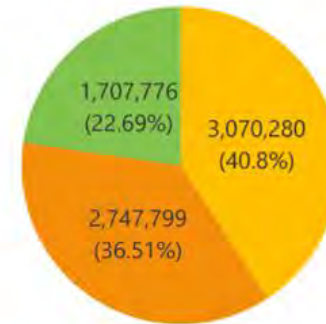
% relative change YTD

5% ↑

7,153,060

Volume YTD 2021

YTD 2022, CSPO in MT



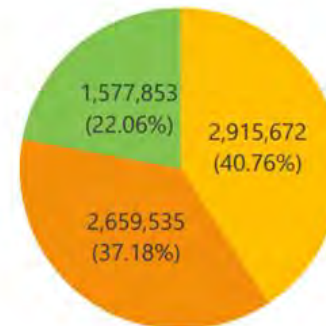
Program

● IP

● Mass Balance

● Segregated

YTD 2021, CSPO in MT



Program

● IP

● Mass Balance

● Segregated



Transactions Performance (Jan-Dec)

SHIPPING TRANSACTIONS (CSPK 2021 vs 2022 Performance)

2,713,856

Volume YTD 2022

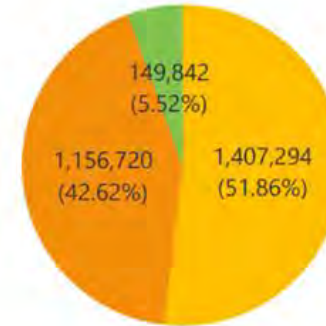
% relative change YTD

3% ↑

2,645,785

Volume YTD 2021

YTD 2022, CSPK in MT



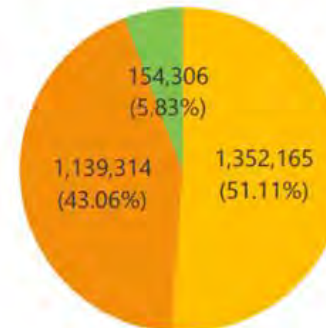
Program

● Mass Balance

● IP

● Segregated

YTD 2021, CSPK in MT



Program

● Mass Balance

● IP

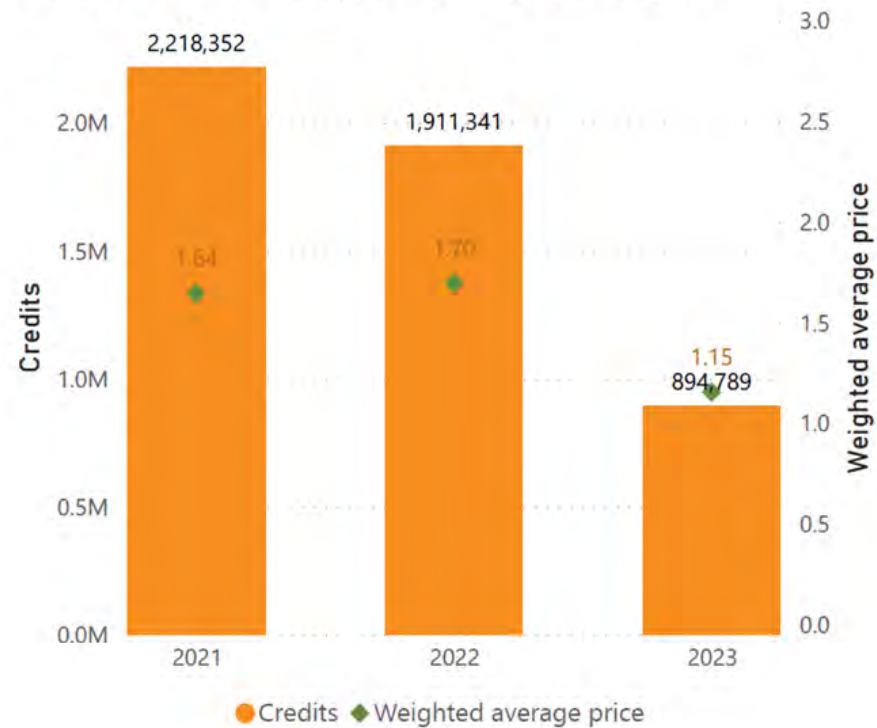
● Segregated



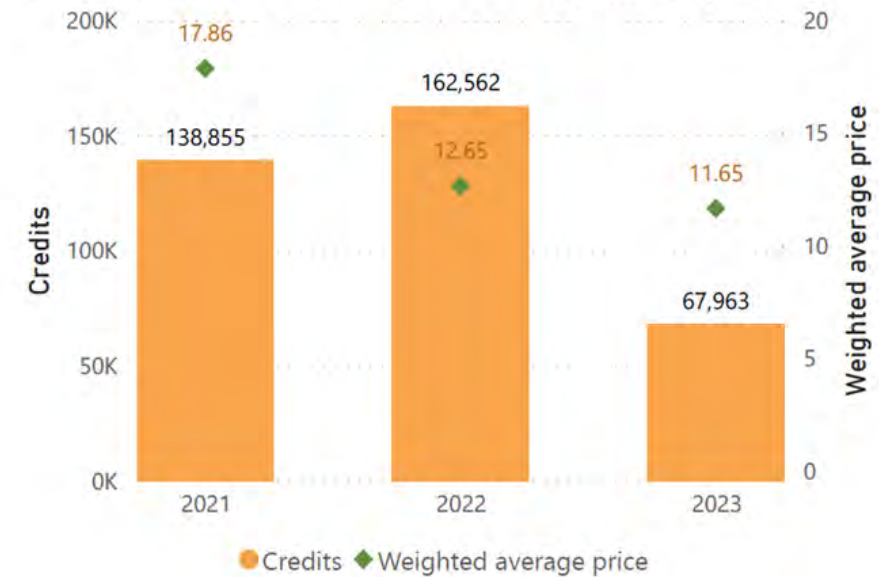
Credit Trades, CSPO/IS-CSPO

Volume & Price, FY 2021-YTD 2023

CSPO, Credits and Weighted average price by Year



IS-CSPO, Credits and Weighted average price by Year

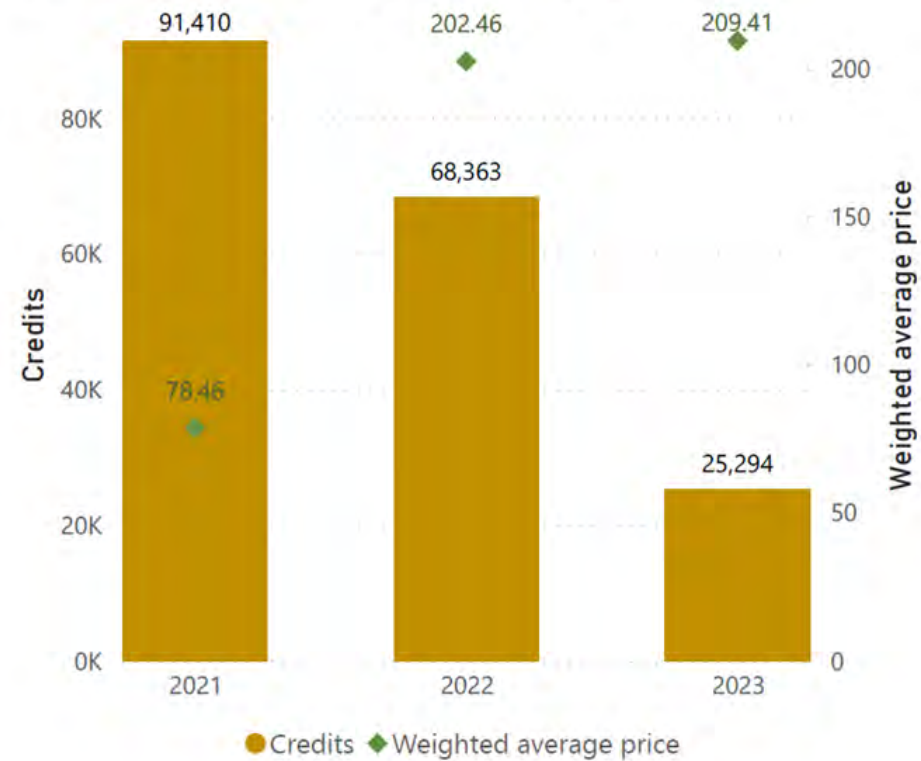




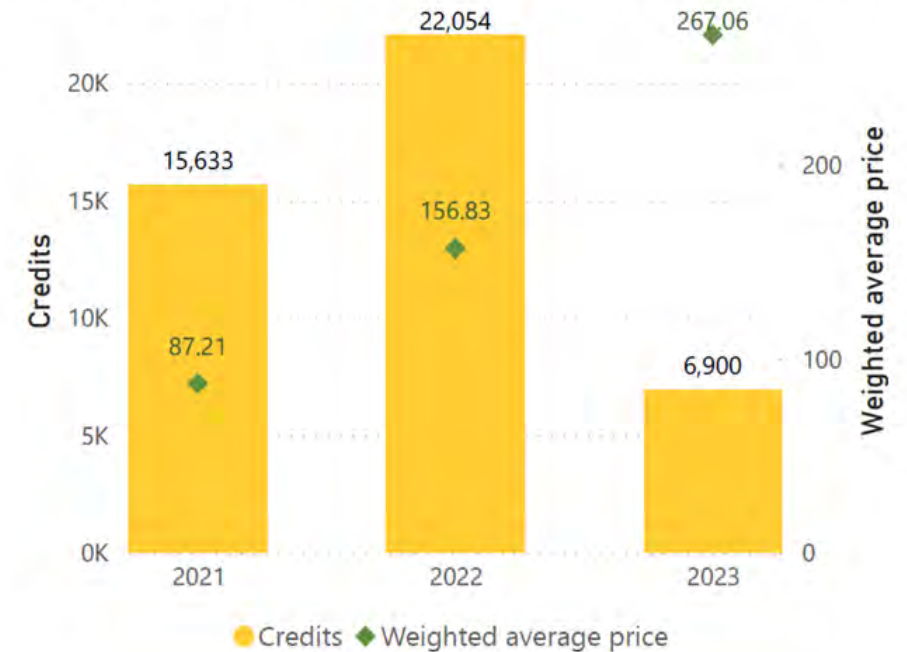
Credit Trades, CSPKO/IS-CSPKO

Volume & Price, FY 2021-YTD 2023

CSPKO, Credits and Weighted average price by Year



IS-CSPKO, Credits and Weighted average price by Year





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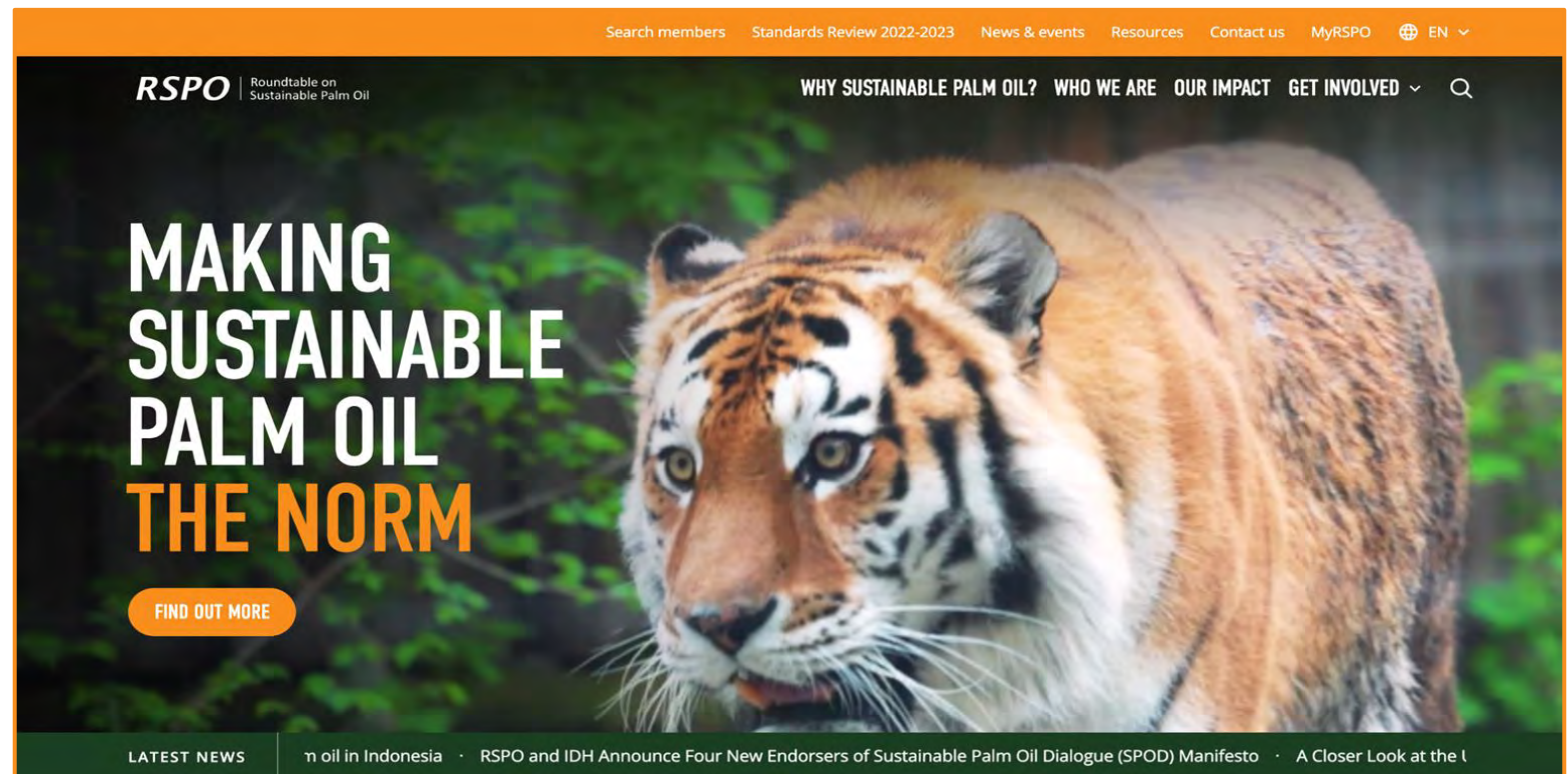
RSPO New Website

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Updates from RSPO Secretariat



- Launch of New RSPO Website (www.rspo.org)



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

Updates from RSPO Secretariat



Search members Standards Review 2022-2023 News & events **Resources** Contact us MyRSPO EN

RSPO Roundtable on Sustainable Palm Oil

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

MAKING SUSTAINABLE PALM OIL THE NORM

FIND OUT MORE

LATEST NEWS
n oil in Indonesia · RSPO and IDH Announce Four New Endorsers of Sustainable Palm Oil Dialogue (SPOD) Manifesto · A Closer Look at the l

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Updates from RSPO Secretariat



RSPO Roundtable on Sustainable Palm Oil

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

Directory

- Annual Communication of Progress (ACOP)
- Best Management Practices (BMPs)
- Certification**
- Complaints
- Conferences and Events
- GeoRSPO
- Hotspot Hub
- Human Rights and Social Standards (HRSS)
- Impact Reports
- Membership
- Monitoring and Evaluation
- New Planting Procedure (NPP)
- Remediation and Compensation Procedures (RaCP)
- RSPO Governance
- RSPO Reports
- RSPO Research Documents
- Shared Responsibility
- Smallholders
- Standards
- Trademark
- Trainers
- Who We Are

RESOURCES

Search for a specific resource or browse the main directory.

SEARCH

Language ▼ Filetype ▼ Publication Date ▼ Search in archive

Spotlight

RSPO P&C for the Production of Sustainable Palm Oil (2018) – “ PDF/ 2.44MB	RSPO Supply Chain Certification Standard 2020 PDF/ 1.23MB
RSPO ISH Standard 2019 PDF/ 3.00MB	RSPO Jurisdictional Approach PDF/ 32.33KB

Updates from RSPO Secretariat



RSPO | Roundtable on Sustainable Palm Oil

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

← Resources

CERTIFICATION

TITLE	FILETYPE	FILE(S)	LANGUAGE	MODIFIED
Concession Maps Resolution 6g-ga10		2		
Framework		1		
Group Certification		2		
Integrated Weed Management Strategies For Palm Oil		1		
Jurisdictional Approach (JA)		6		
Principle & Criteria (P&C) Certification		6		
Requirements		1		
RSPO Independent Smallholders Standard (RISS) Certification		4		
RSPO Principles and Criteria 2018 (P&C)		27		
Supply Chain Certification (SCC)		16		

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



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RSPO IT Platform Enhancement

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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.



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



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



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:



1. Updating Active License Functions



Section Update	Editable information	Went live in:
Section 0	<ul style="list-style-type: none">• Member ID• RSPO Membership number• Audit information• Request approval	October 2021
Section 1	Type of member and activities <ul style="list-style-type: none">• Type of certificate holder• Role of the certificate holder• Certified volume in case it applies	June 2022
Section 2	Questionnaire <ul style="list-style-type: none">• Scope of assessments• Previous license volume info• Certified area info• GPS coordinates...	October 2022
Section 3	Certificate settings <ul style="list-style-type: none">• 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 applicable certification criteria:

Section 3 - Certificate Settings:

Assessment Type:

Member Certificate Number:

Previous License Validity:

Start date of new license:

End date of new license:

Standard Audited:

- E 1
- E 2
- MSA
- IC
- ASA 1
- ASA 2
- ASA 3





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:

Section 3 - Certificate Settings:

Assessment Type:

License Type	No. of Members *	Volume *	
E 1	<input type="text" value="1"/>	<input type="text" value="250000"/>	<input type="button" value="X"/>
MSA	<input type="text" value="1"/>	<input type="text" value="250000"/>	<input type="button" value="X"/>
IC	<input type="text" value="1"/>	<input type="text" value="250000"/>	<input type="button" value="X"/>
ASA 1	<input type="text" value="1"/>	<input type="text" value="250000"/>	<input type="button" value="X"/>

Total Members:

Total Volume:

Information Entered in Section-1:

<input type="text" value="4"/>	Total Members
<input type="text" value="1,000,000"/>	Total Volume

Member Certificate Number:

Previous License Validity: 10-09-2022 - 09-09-2023 (CB134077, Suspended)

Start date of new license:

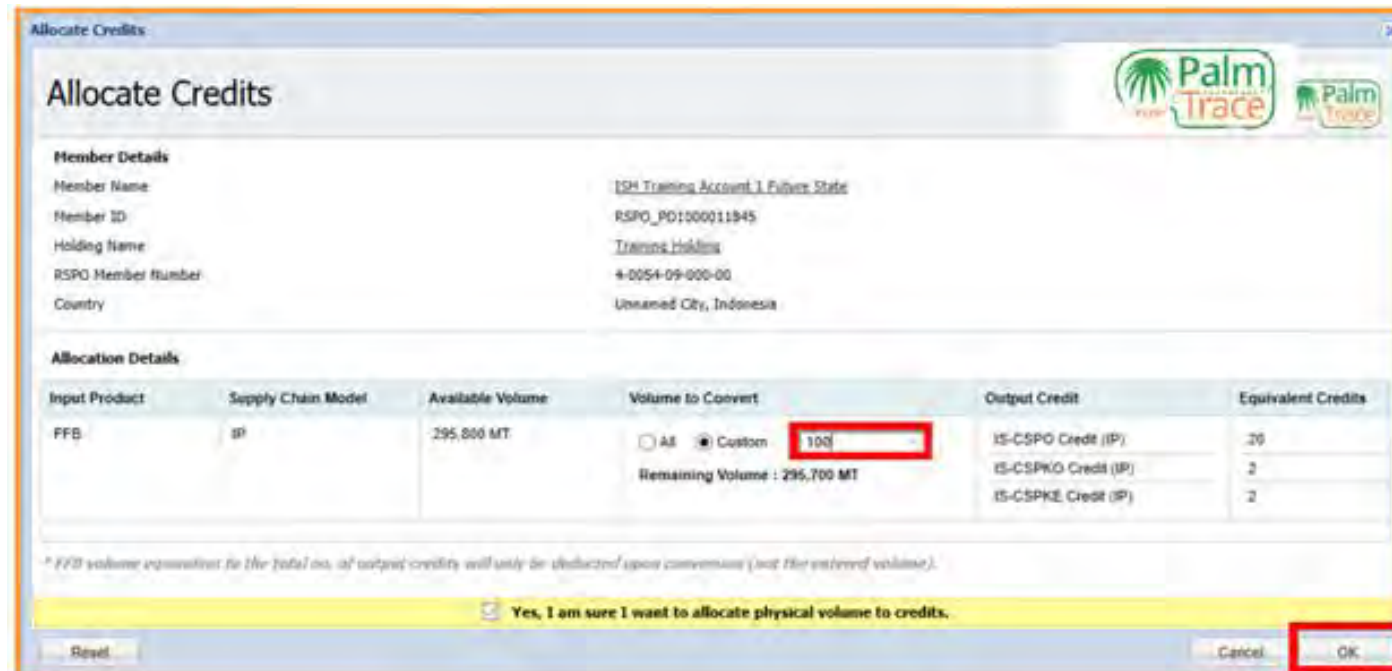
End date of new license:

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.



Input Product	Supply Chain Model	Available Volume	Volume to Convert	Output Credit	Equivalent Credits
FFB	IP	295,800 MT	<input type="radio"/> All <input checked="" type="radio"/> Custom <input type="text" value="100"/>	IS-CSP0 Credit (IP)	20
			Remaining Volume : 295,700 MT	IS-CSPK0 Credit (IP)	2
				IS-CSPK2 Credit (IP)	2



3. Mechanism to Prevent Oversold Volume

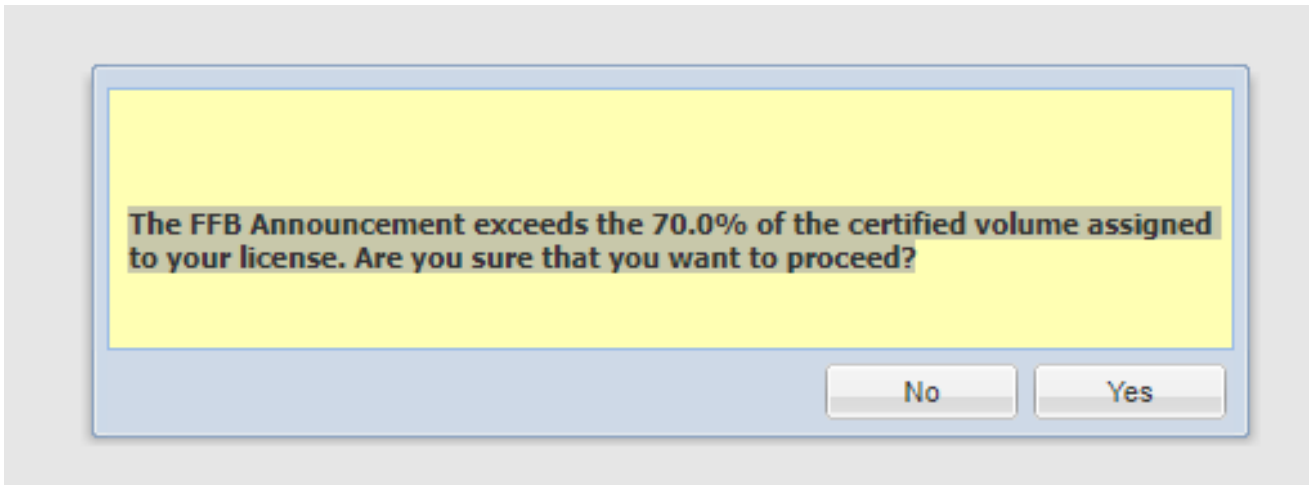


- The following has been introduced:
 - As a part of the new change default, auto allocation shall be reduced to 70%.
(This will create attention when an ISH allocates as credits all the volume at the beginning of the license period.)
 - 30% allocation from certified FFB into RSPO Credits (IS-CSPO; IS-CSPKO; IS-CSPKE) will need to be manually completed by ISH.
 - 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



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.





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RSPO Rules on Market Communications & Claims 2022

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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



MC&C 2019

General Corporate
Communications
(GCC)

Business to
Business
Communications
(B2B)

Business to
Consumer
Communications
(B2C)

**MC&C 2022
(DRAFT)**

General
Corporate
Communications
(GCC)

Product Specific
Communications

General

Off Pack Claims

On Pack Claims



“ 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 $x = (\sqrt{y}) \times (z)$, 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

Sampling methodology (x = (vy) 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

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

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

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

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

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

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



“


RSPO Time Bound Plan Revision

”



ANNOUNCEMENTS

RSPO ANNOUNCEMENT FOR TIME BOUND PLAN REVISION

 20 DECEMBER 2021

SHARE     

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

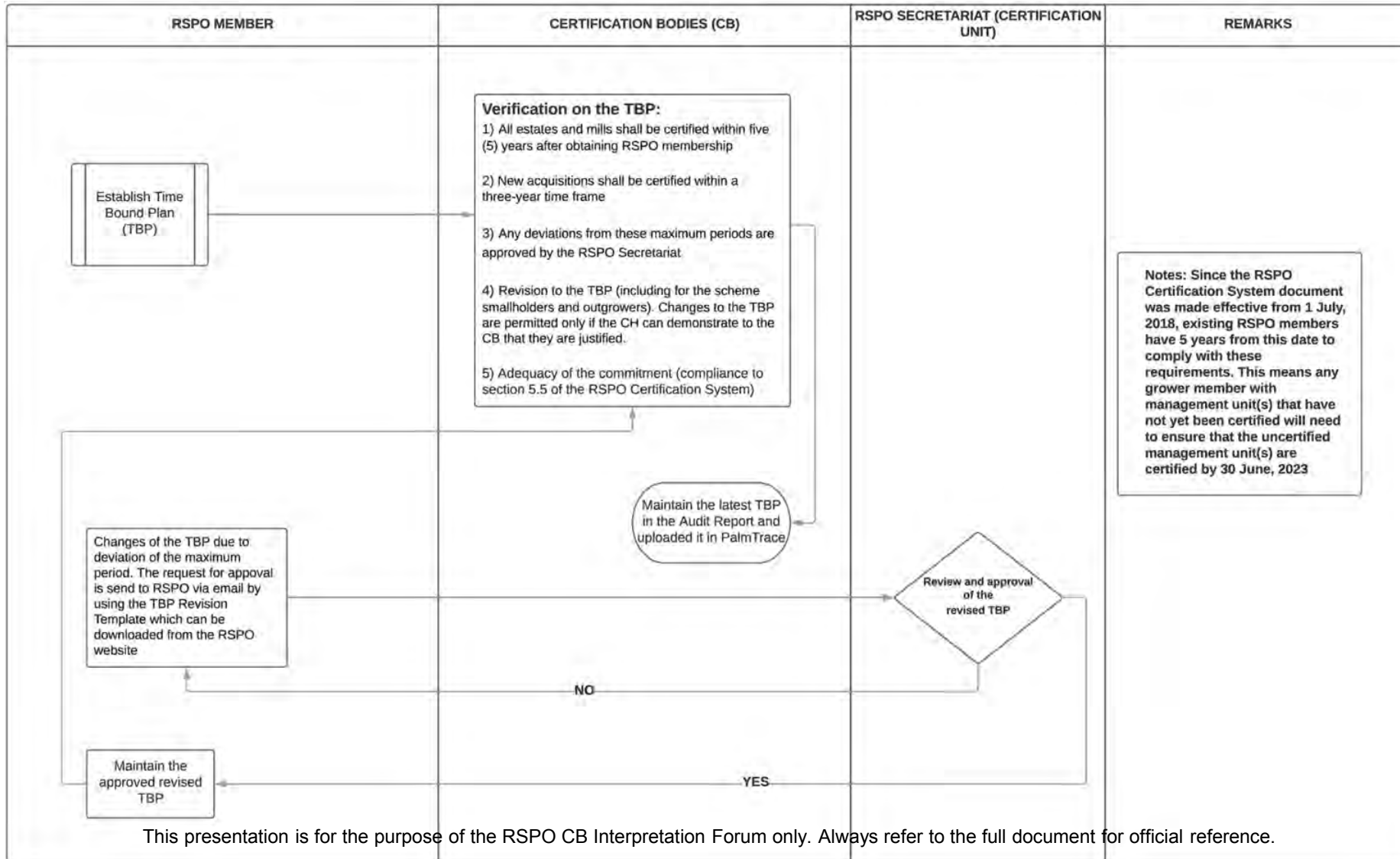
<https://rspo.org/rspo-announcement-for-time-bound-plan-revision/>

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 C	REVISION OF THE TBP <i>(Only applicable when revision is made)</i>			
			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	KU/D XXX												

RSPO Announcement for TBP Revision



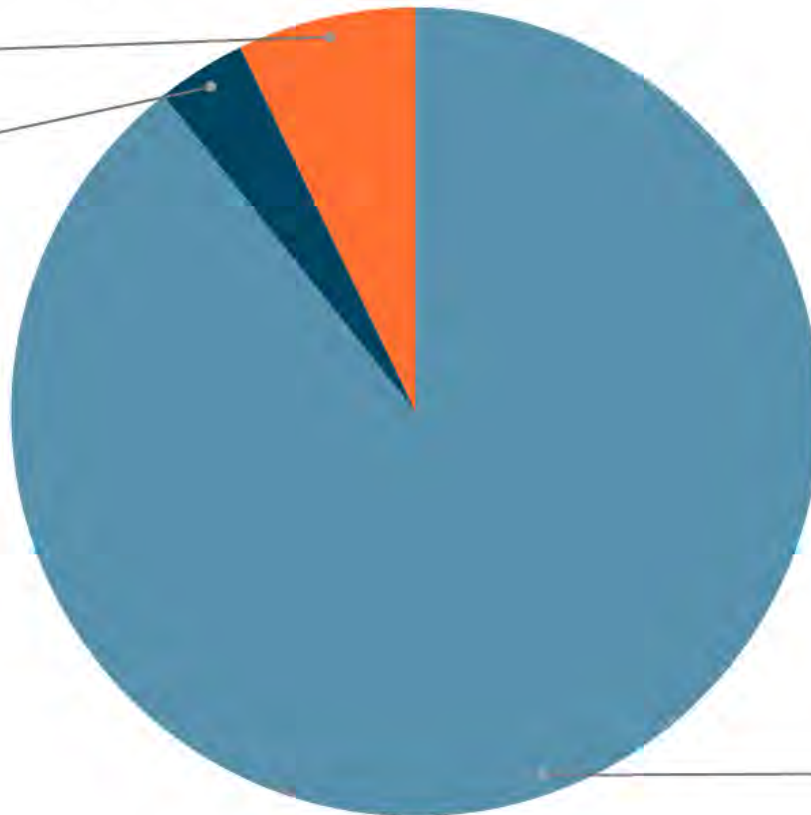
TBP Deviation Request

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

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     

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.”

<https://rspo.org/interim-measure-for-fulfilment-of-indicator-232-of-the-2018-rspo-principles-and-criteria--on-legality-of-indirect-ffb-supplies/>

Indicator 2.3.2



- Some RSPO certified members having **difficulties 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**).



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:
 - **Implementation progress and challenges:** 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.
 - **A stepwise plan** 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 registered cases 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



Registered cases UoC for 2.3.2



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.





“

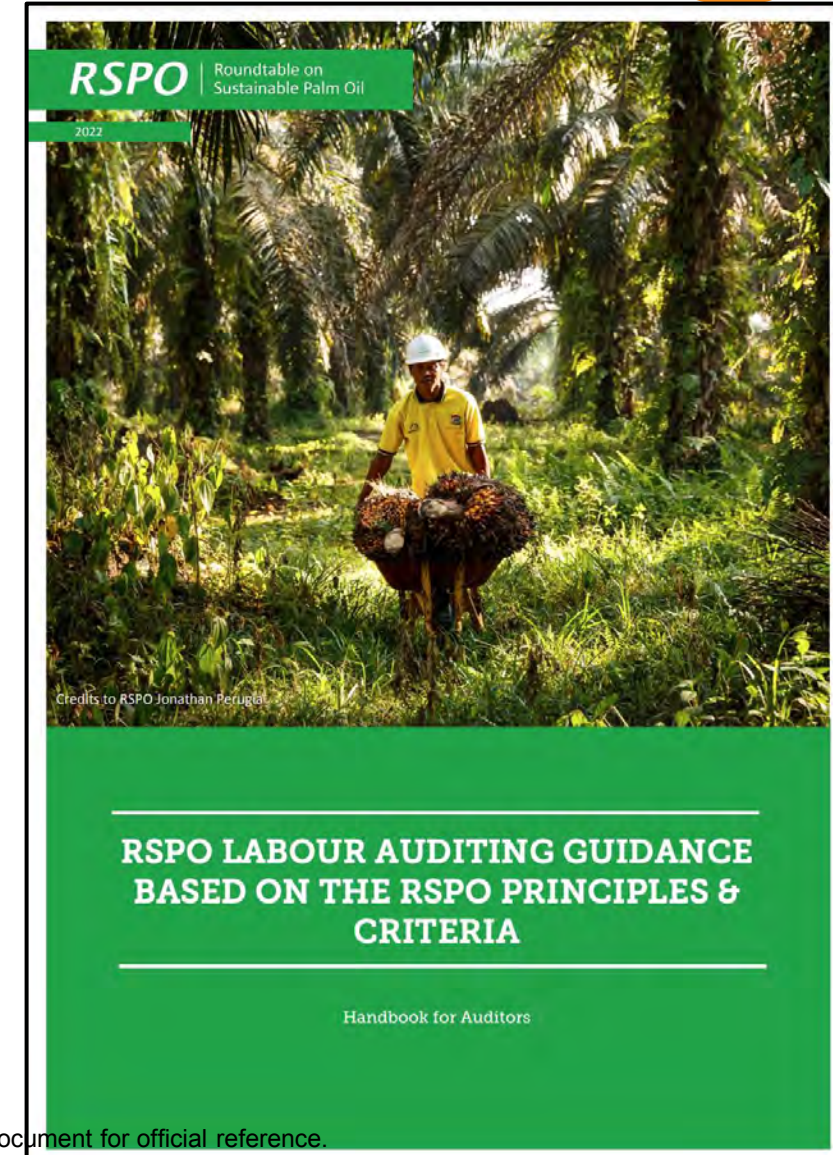
Labour Auditing Guidance for CB

”

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).





Question & Answer

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



Thank you..

RSPO CB INTERPRETATION FORUM

23 - 25 May 2023

We will be back in

15:00



www.rspo.org



RSPO CB INTERPRETATION FORUM

**RSPO PALMTRACE: Common issues identified
during License Submission**

Amirul Ariff
Manager, Certification (P&C)



www.rspo.org

PalmTrace Review: Common Issues identified during License Submission



RSPO CB Interpretation Forum
23 May 2023

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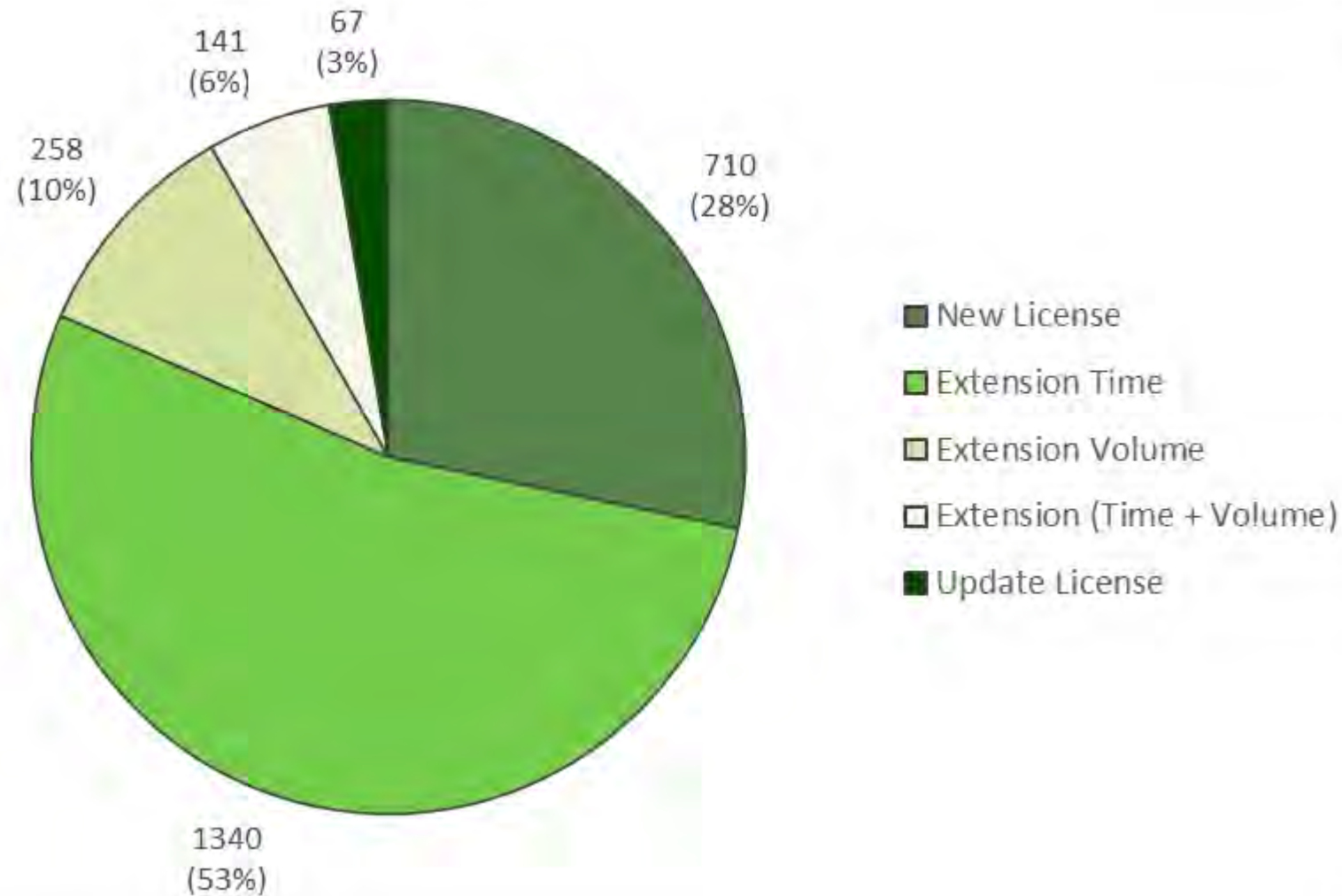


Objective of this session
To highlight common mistakes made in
PalmTrace (PT) that causes denial of
the license request

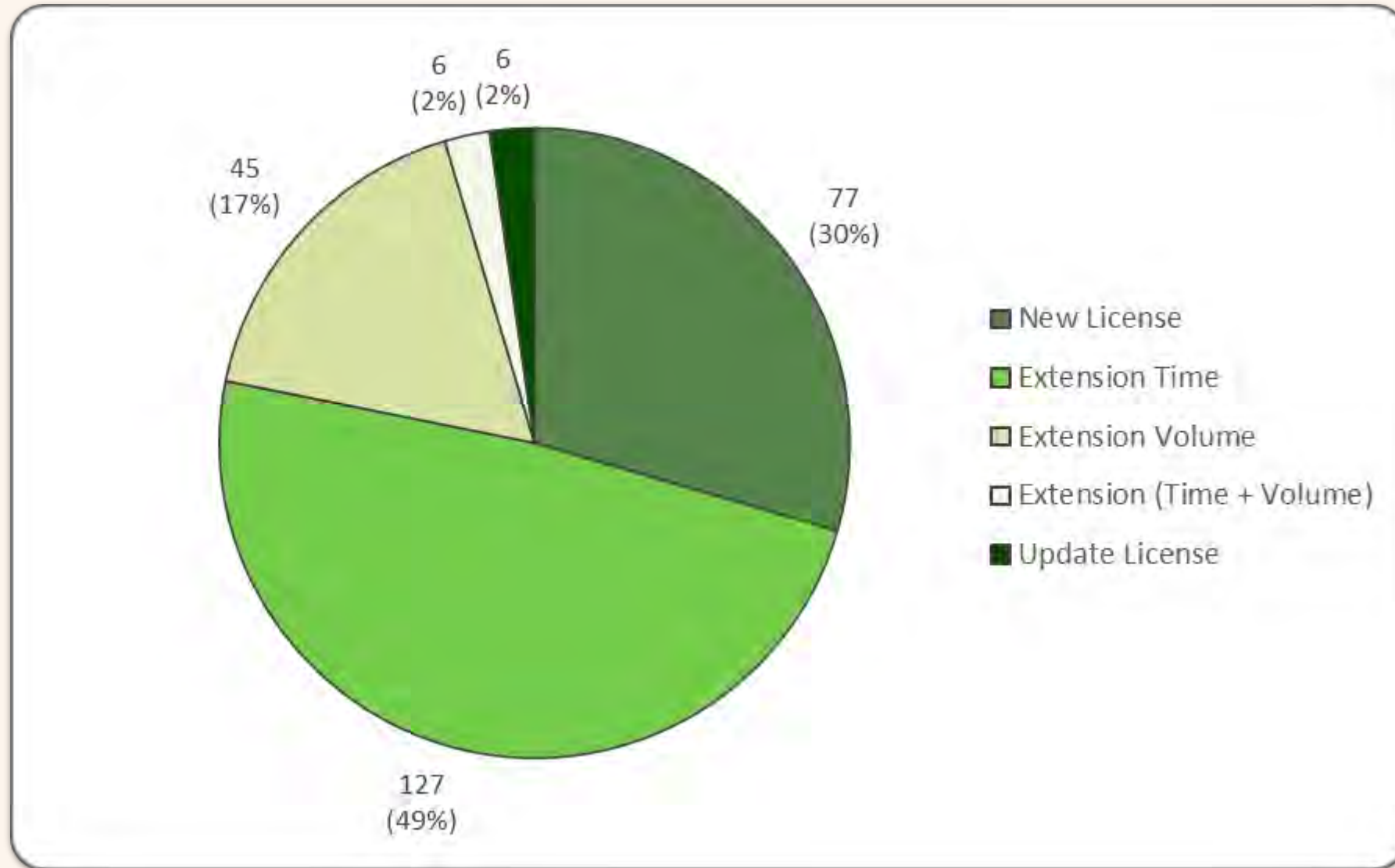


“ Continuous improvement and ensure the key Palm Trace personnel are up to date ”

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



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



Certified Mills, Outgrower and ISH in LatAM - Apr 2023



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

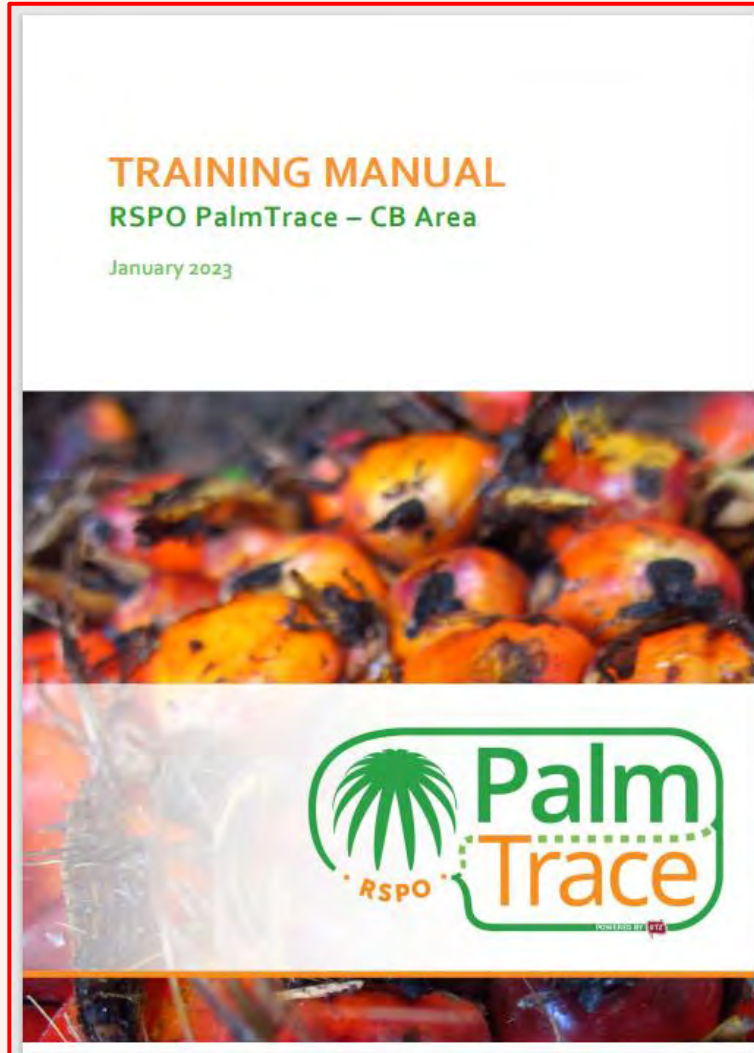

What does certification systems says?



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

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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**

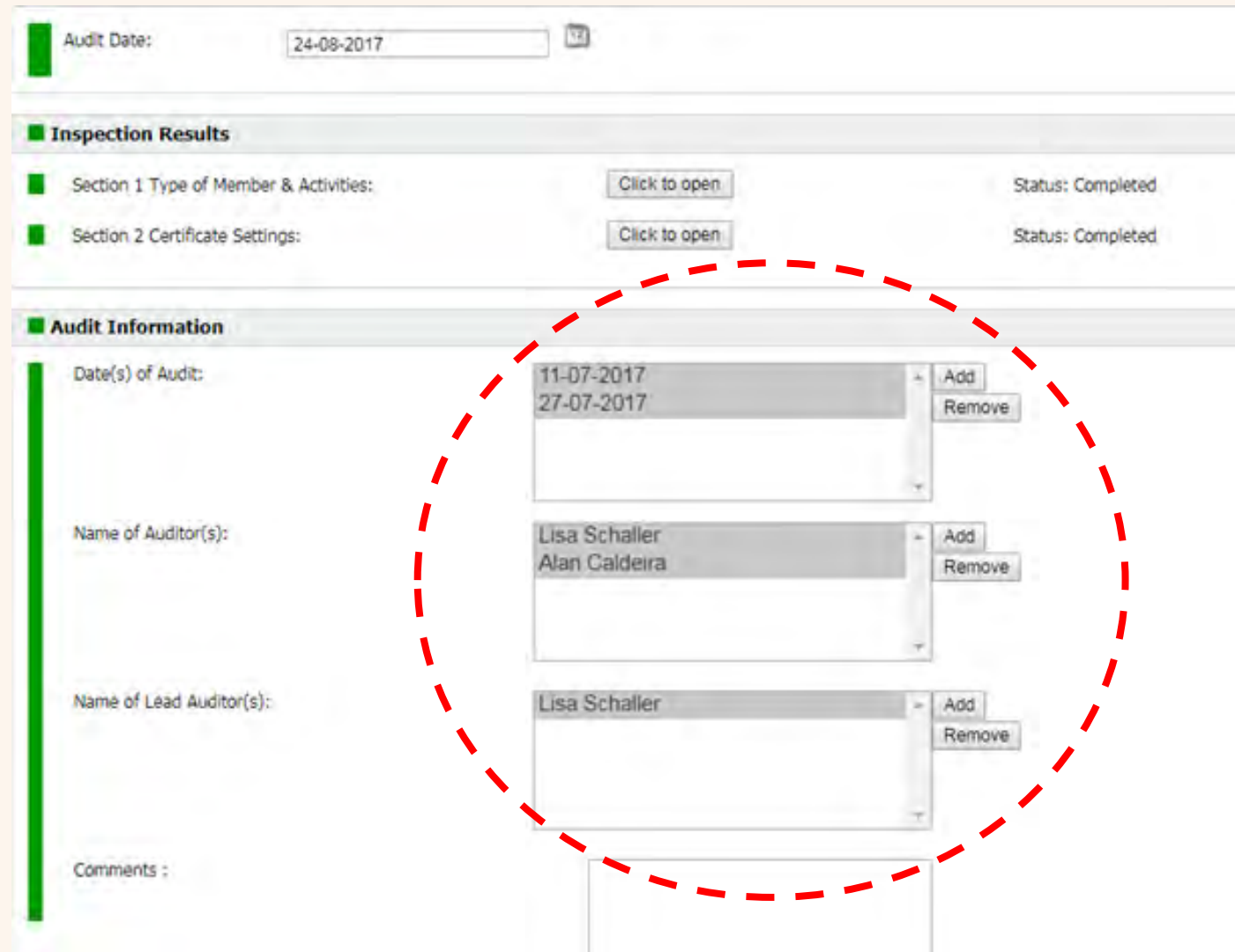


- E1 = Eligibility 1
- E2 = Eligibility 2
- MSA = Milestone A
- IC = Initial certification
- ASA 1 = Annual Surveillance Audit 1

- 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

A screenshot of a web-based audit management system. The interface is divided into several sections. At the top, there is a field for "Audit Date" with the value "24-08-2017". Below this is a section titled "Inspection Results" which contains two entries: "Section 1 Type of Member & Activities" and "Section 2 Certificate Settings", both with a status of "Completed". The main section is "Audit Information", which is highlighted with a red dashed circle. This section contains three fields: "Date(s) of Audit" with values "11-07-2017" and "27-07-2017"; "Name of Auditor(s)" with values "Lisa Schaller" and "Alan Caldeira"; and "Name of Lead Auditor(s)" with the value "Lisa Schaller". Each of these fields has "Add" and "Remove" buttons. A "Comments" field is also visible at the bottom of the "Audit Information" section.



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

Certified Volumes

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

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

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	Type	No. of Smallholders	Certified Area (ha)	Production Area (ha)
Mesuji Estate - Pematang Panggang Village, Mesuji Sub-	<input checked="" type="checkbox"/> Estate <input type="checkbox"/> Scheme/Associated Smallholders			
Surya Adi Estate - Surya Adi Village, Mesuji Sub-district, C	<input checked="" type="checkbox"/> Estate <input type="checkbox"/> Scheme/Associated Smallholders			
KUD Surya Adi - Surya Adi Village, Mesuji Sub-district, O	<input type="checkbox"/> Estate <input checked="" type="checkbox"/> Scheme/Associated Smallholders	1085	2,053.45	2,053.45

Section 1 - Certified Volumes

% Kernel Extraction Rate (KER)

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

FFB (107,244

MT)

$$= 0.13 \%$$



Certified Volumes

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

While listing down the volume for CSPO and CSPK, please also indicate the certified volume for 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



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) ←

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

4 Certified Mill Capacity (mt/hr)

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

6 GPS Coordinates

Latitude

Longitude

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)

7 Previous License Volume Information

- Information not available (for initial certification only)
- Select product to add volume

Product	CSPK
Supply Chain Model	Identity Preserved
Last Year Projected CSPK Certified Volume (MT)	3,449
Last Year Actual CSPK Produced Volume (MT)	3,185
Last Year Actual CSPK Sold Volume (RSPO Certified) (MT)	630
Last Year Actual CSPK Sold Volume Conventional (MT)	0
Last Year Actual CSPK Sold Volume (Other Schemes Certified) (MT)	0
Total Actual CSPK Sold Volume (MT)	630

Product	CSPO
Supply Chain Model	Identity Preserved
Last Year Projected CSPO Certified Volume (MT)	17,770
Last Year Actual CSPO Produced Volume (MT)	15,186
Last Year Actual CSPO Sold Volume (RSPO Certified) (MT)	3,947
Last Year Actual CSPO Sold Volume Conventional (MT)	2,224
Last Year Actual CSPO Sold Volume (Other Schemes Certified) (MT)	0
Total Actual CSPO Sold Volume (MT)	6,171

Section 2 - Previous License Volume Information



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

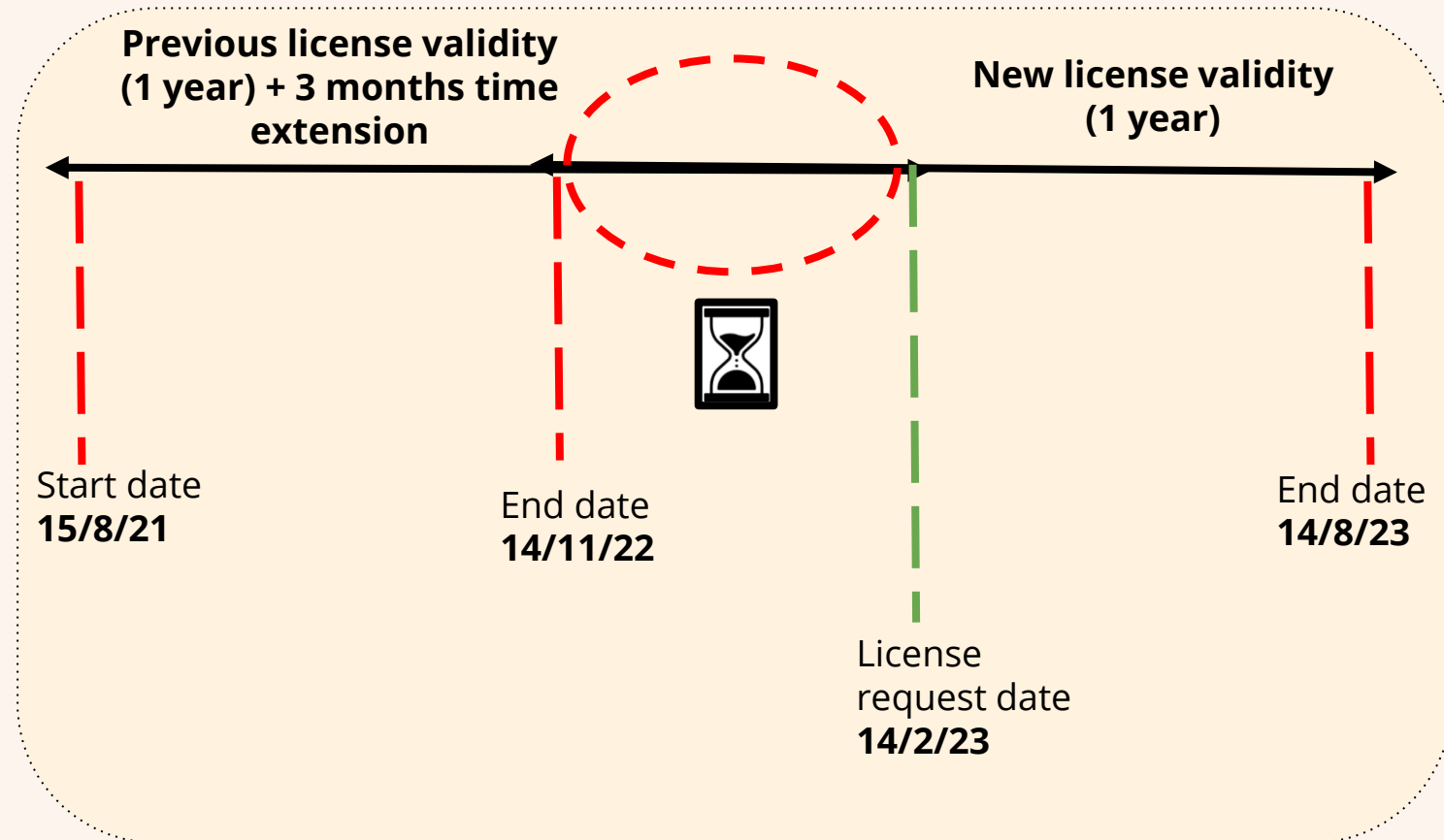
- RSPO Metrics Template is not uploaded

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 <i>(optional)</i>	
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**



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

Suspend License

License			
Sub License ID	CB49146		
Issued On	11-07-2017		
Issued By	CB_1		
Start Date	10-07-2017		
End Date	09-07-2018		
Group size	50		
Total Certified Area (Ha)	200		
Product Details:			
Type	Mill	Mill	Mill
Product(s)	IS-CSPD	IS-CSPKO	IS-CSPKE
Certified Volume	800	87.5	82.5
Carry Over	0	0	0
Program level(s)	IP	IP	IP
Allowed to sell as	N/A	N/A	N/A
Allowed to process	N/A	N/A	N/A
Type of extension			
Additional Volume			
Remaining	590 MT	87.5 MT	82.5 MT

Yes, I want to suspend this license
 Yes, I want member to be notified by email

Remark

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

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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

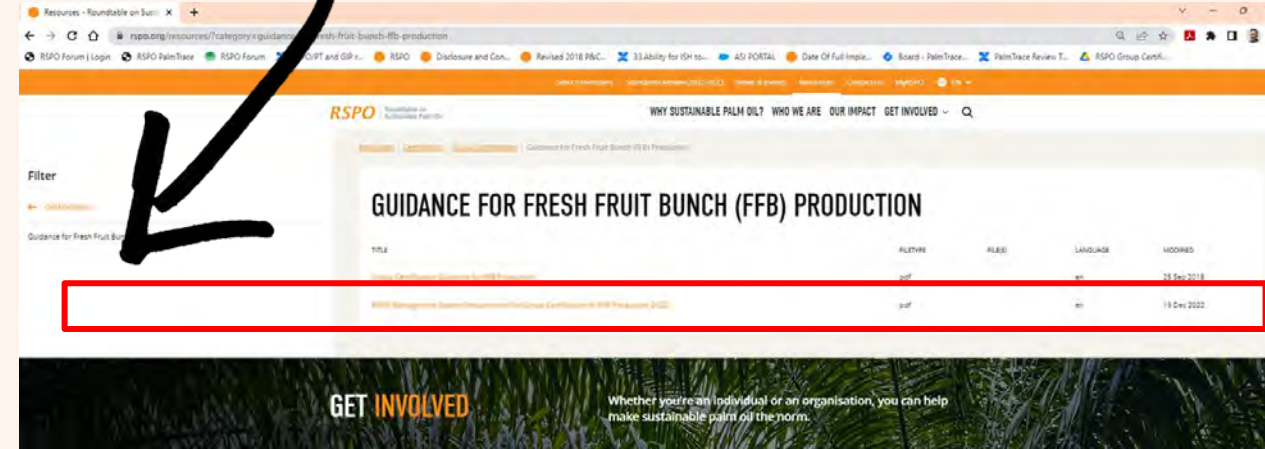
GROUP CERTIFICATION 2022



RSPO
Roundtable on Sustainable Palm Oil

**RSPO Management System Requirements
Guidance for Group Certification of FFB
Production**

Revised Version
as endorsed by the Board of Governors on 8th March 2018



- 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*



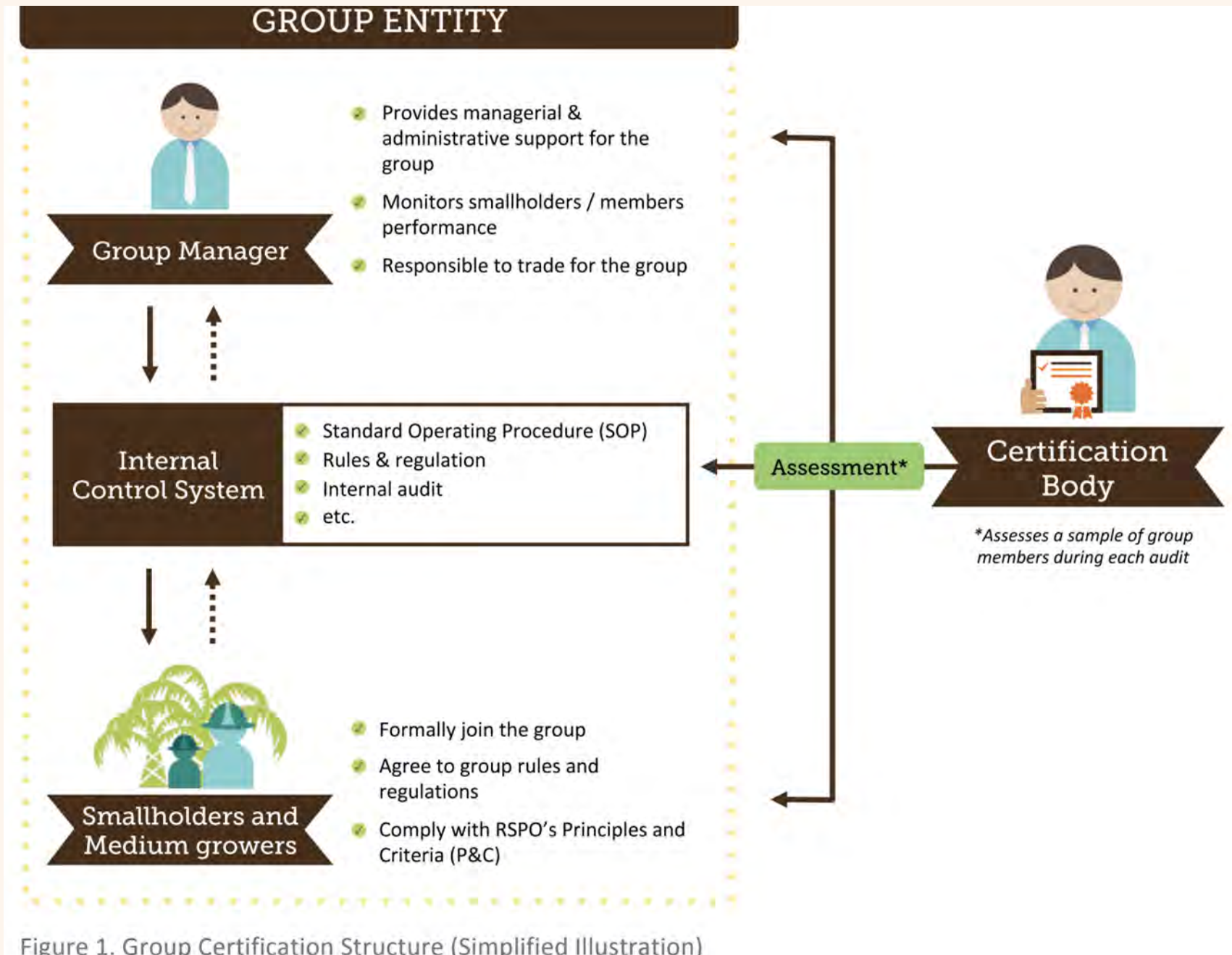


Figure 1. Group Certification Structure (Simplified Illustration)

OBJECTIVES



OWN DECISION

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

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

INCLUSIVE

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

SUPPORT SH

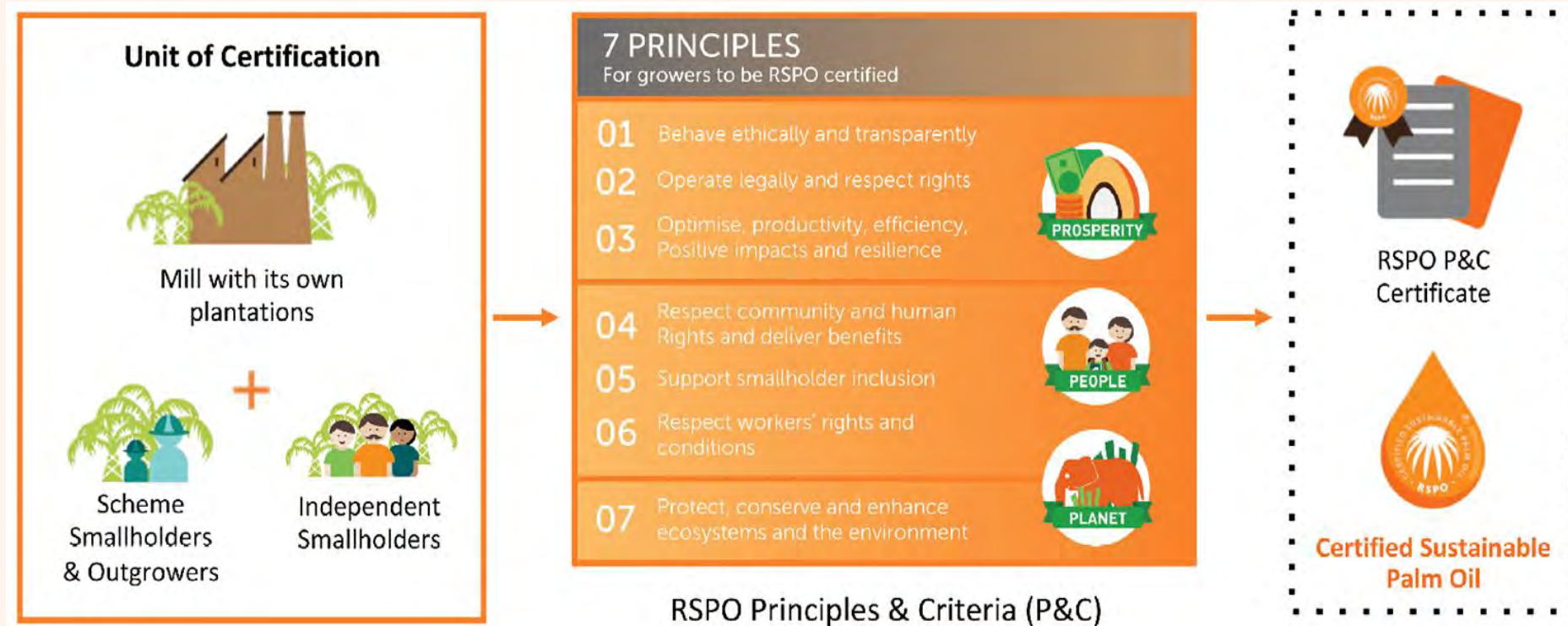
Principle 5 of the RSPO P&C requiring members (mill-with-supply base) to support smallholder inclusion, including Independent Smallholders **into the sustainable palm oil value chain.**

**ROUNDTABLE
ON SUSTAINABLE
PALM OIL**



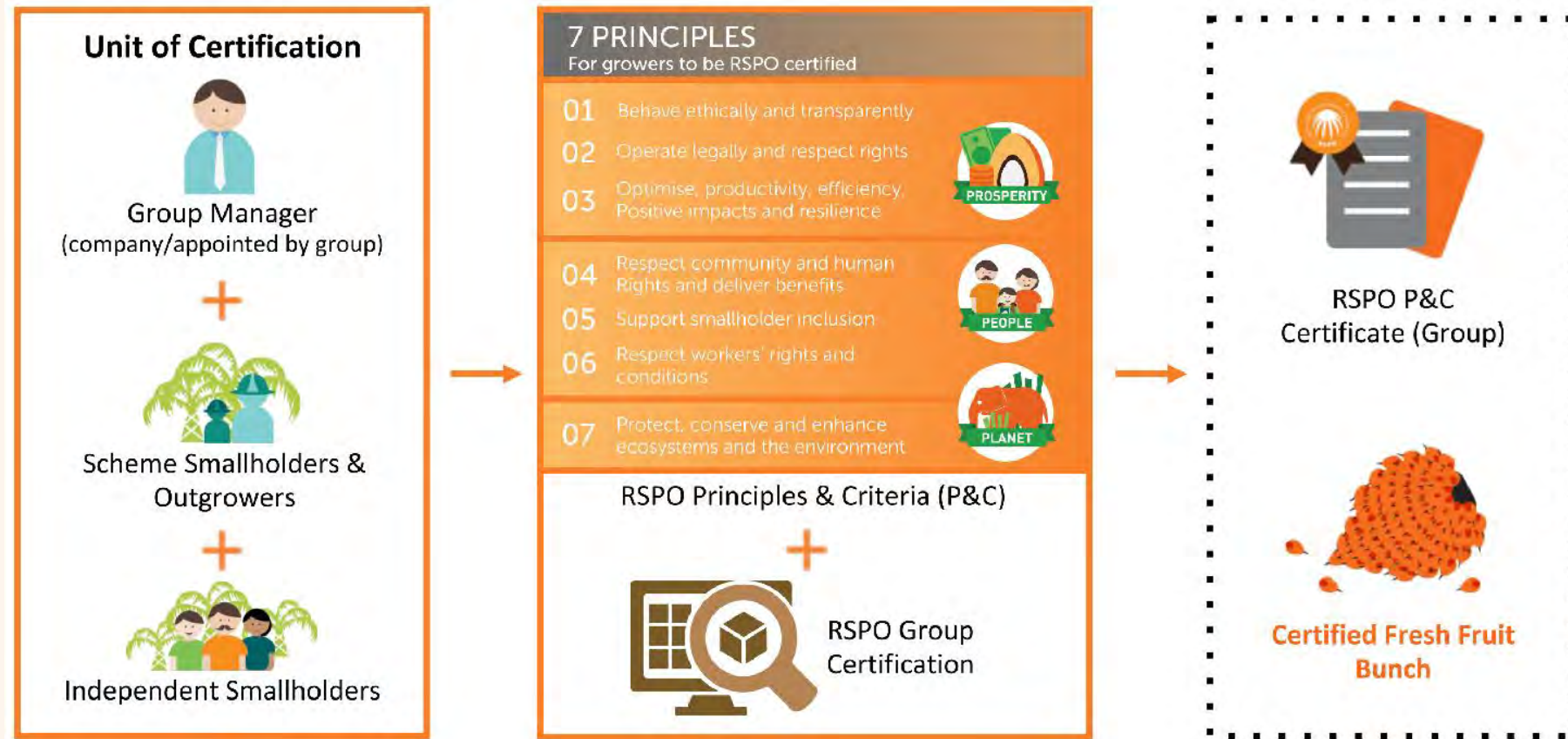
“Certification Options”

Inclusion into Mill's Supply Base



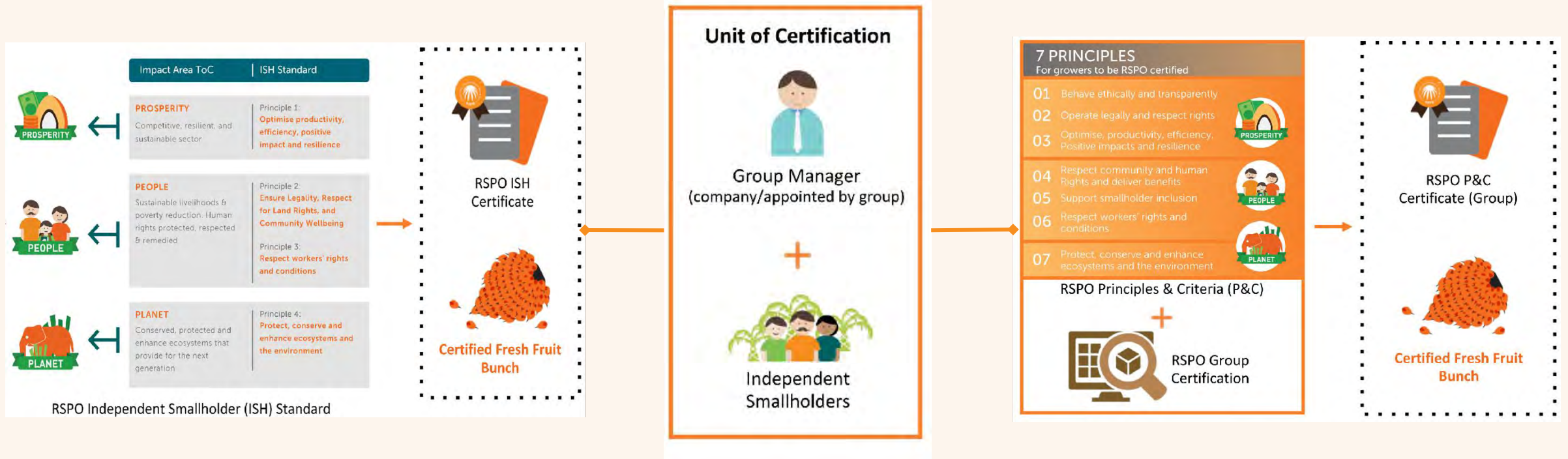
ONE (1) Single P&C Certificate, awarded to company

Group with others SH and MG



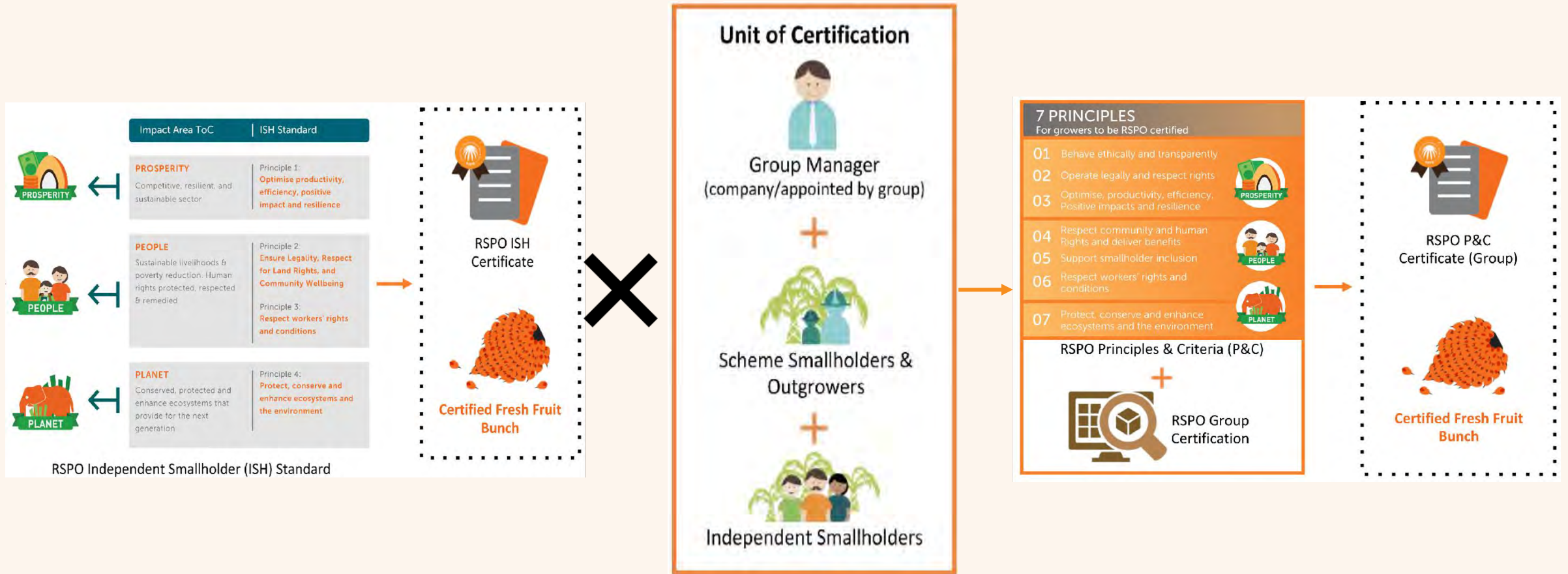
ONE (1) Single P&C Certificate, awarded to Group Manager

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

**ROUNDTABLE
ON SUSTAINABLE
PALM OIL**



“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.

ELEMENT 2: INTERNAL CONTROL SYSTEM – POLICIES AND MANAGEMENT



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

ELEMENT 3: INTERNAL CONTROL SYSTEM – OPERATIONS



The Group Internal Control System shall develop and implement an internal audit programme of Group members.

The **Group Manager** shall

- establish, implement and maintain (a) procedure(s) for internal audit.
- conduct annual internal audits for all group members as planned.
- jointly declare (with internal auditors) no conflict of interest for the internal audit process.
- identify the sampling intensity of Group members - through risk assessment

The minimum sampling size should be 4. For groups with fewer than 4 members, 100% of members shall be audited. Sample sizes are always rounded up (e.g., 4.4 is rounded up to 5). Rounding up is done as the final step in the calculation.

ELEMENT 3: INTERNAL CONTROL SYSTEM – OPERATIONS (Cont'd)



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

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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



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	Estate Production Metrics	Annual Data	12-month period
Annual Production - Palm Oil (MT)	62937.00	59700.00	Annual FFB Production (MT)	112316.00	107980.00
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	Estate Demographics	Annual Data	
Annual FFB Production (MT) - Scheme Smallholders	0.00	0.00	Total Workers	859	
% of Certified FFB Production - Scheme Smallholders	#DIV/0!	#DIV/0!	% of Non-Local Workers of Total Workers	0.0%	
Annual FFB Production (MT) - Independent Smallholders	3551.00	2818.00	% of Contract Workers of Total Workers	39.2%	
% of Certified FFB Production - Independent Smallholders	100.0%	100.0%	% of Female Workers of Total Workers	4.5%	
Annual FFB Production (MT) - Outgrowers	0.00	0.00	% of Young Workers	0.0%	
% of Certified FFB Production - Outgrowers	#DIV/0!	#DIV/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

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

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

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

Error of Entry



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 en						
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					
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 **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)	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



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	
<i>Total Certified FFB Production (MT) - Outgrowers</i>	103,197		105971.56	
<i>% Certified FFB Production - Outgrowers</i>	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				
	Permanent		Contract		Permanent		Contract		
	90	0	12	0	102				
Male	Female	Male	Female	Male	Female	Male	Female	102	
78	12	0	0	12	0	0	0		

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	<p>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: -</p> <ol style="list-style-type: none">1. Paraquat2. World Health Organisation Class 1A or 1B Stockholm or Rotterdam Conventions KKK. <p>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.</p>
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Question & Answer

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RSPO CB INTERPRETATION FORUM

23 - 25 May 2023

We will be back in

1:30:00



www.rspo.org





CERTIFICATE

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

XXXXXXXXXXXXXX

is awarded to

**Company Name: xxxxxxxx
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

Background



In general, more than 60% of the audit surveillance reports reviewed were of low quality, particularly in terms of improved English language, overall readability and structure of case reporting. The study team concluded that some of the auditors' findings on labour-related criteria and indicators, exhibited a "checklist mentality", where auditors appear to have focused more on checking off the availability of documents and less on assessing the implementation of labour practices.

The study found several noteworthy cases (identified by the ASI) where CBs did not properly conduct the audits; where CBs reported the wrong non-conformities and where CBs have closed non-conformities without adequate verification of the evidence provided by the Certificate Holders (CH). None of these 6 CBs were suspended.



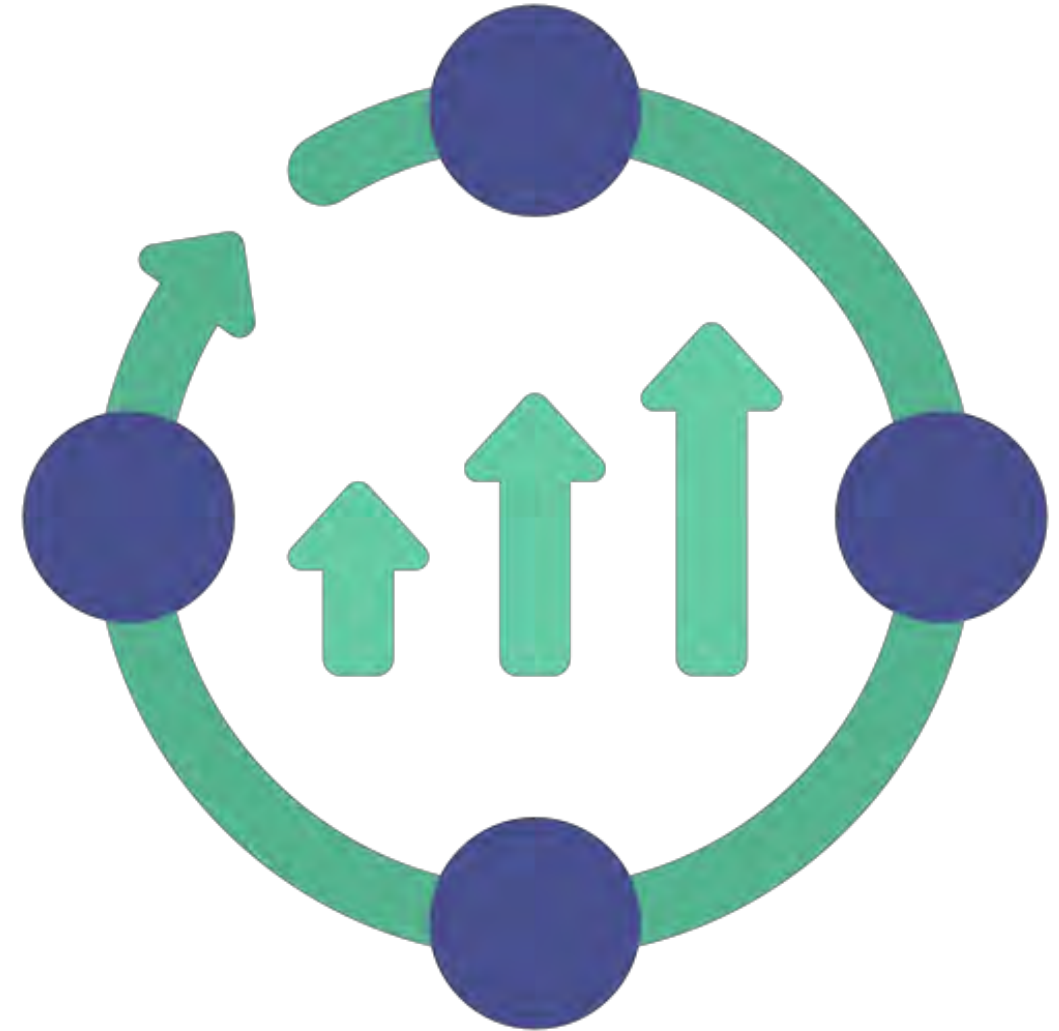
- auditors providing fraudulent assessments that cover up violations of the RSPo Standard and Procedures;
- auditors failing to identify indigenous land right claims;
- auditors failing to identify social conflicts arising due to abuse of community rights;
- auditors failing to identify serious labour abuses;
- auditors failing to identify risks of trafficked labour being used in
- Certification Bodies providing suspect assessments in response to legitimate complaints from NGOs which fail to address the substance of the complaints;
- conflicts of interest due to links between Certification Bodies and plantation companies.



ISSUE	CASE STUDIES
Failure to identify social conflicts and land right claims and weak guidance on Free, Prior and Informed Consent	PT BSMJ PT NB PT KPC PT REA Kaltim Poligrow ICI Pelita
Failure to identify labour abuses	Profundo report
Ambiguity over legal compliance	PT NB PT KPC
Weak and flawed HCV assessments leading to the destruction of HCV areas	ANJ
Poor technical knowledge and understanding of the RSPO standard	Profundo report
Certification bodies providing suspect responses or fraudulent assessments that cover up violations of the RSPo Standard	PT BSMJ PT KPC ICI Pelita
Conflicts of interest due to link between certification bodies and companies	ICI Pelita PT KPC
Weaknesses in the complaints system	PT BSMJ PT NB PT KPC Poligrow ICI Pelita
Weak oversight of certification bodies and fraudulent behaviour	Profundo report PT REA Kaltim PT BSMJ PT KPC
Weak New Planting Procedure (NPP) processes (including verification, comments process and post-NPP monitoring), resulting in misleading and fraudulent NPP assessments or evasion of the NPP	PT BSMJ PT NB ANJ PT TAP Poligrow

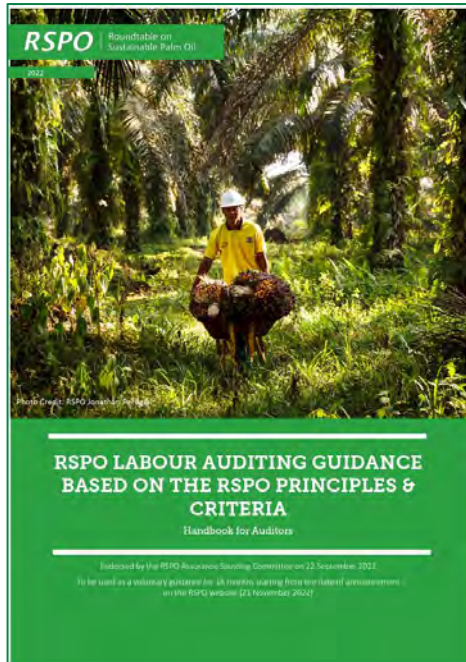
Background

- 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.



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

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.


Part 1: Background

- 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.



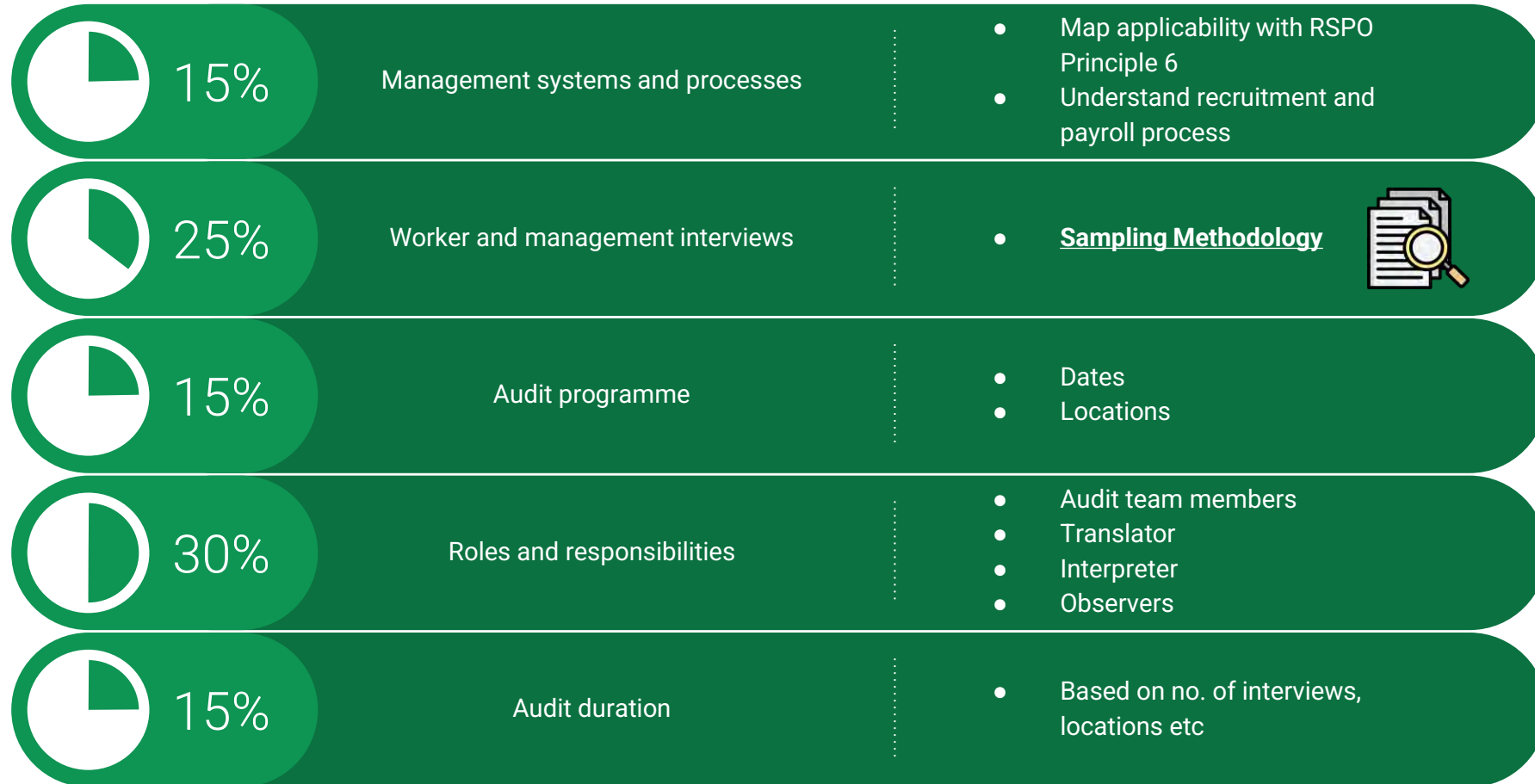
1.1 - 1.4 Application and Signing of Contract

01	Location (GPS Coordinates)	<ul style="list-style-type: none">• Latitude & longitude (degree, minutes or decimal)• Addresses (mills and supply base)
02	Supply Base Maps	<ul style="list-style-type: none">• Demographics and understanding distance between locations
03	List of Stakeholders	<ul style="list-style-type: none">• Direct stakeholders• Indirect stakeholders• Governmental Agencies• NGOs
04	Workforce Information	<ul style="list-style-type: none">• 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)*

2.1 - 2.2 Audit Plan Development



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

2.3 Initial Research

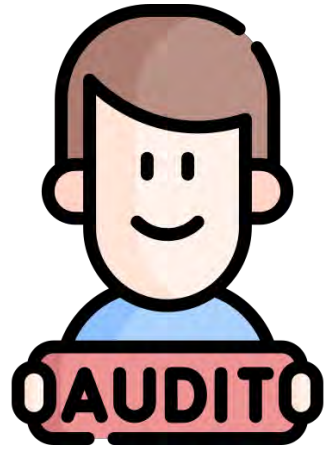
- Conduct desk review to obtain **preliminary information** on the Management Unit that will be audited.
- Perform initial research via **digital and/or traditional sources** (e.g. web-based, newspapers, journals, social media).
- **Record and maintain results** of the initial research for each Management Unit.



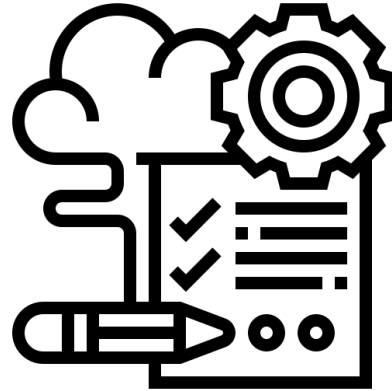
- Initial research for the audited Management Unit should **consider the following**, but not necessarily be limited to:



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

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

6.4 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

6.2 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

6.5 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

6.3 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.

6.6 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

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: **$x = \sqrt{N}$ (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.



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.

2.7 Audit Agenda Preparation

- 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

Role Play 3: Audit Agenda - Develop your audit agenda based on Role Play Exercise 1.

Date	Time	Location	Activities
Eg. 12 Jan 2023	10am - 10.45am	Estate 1 (Clinic)	<ul style="list-style-type: none"> Interview with medical assistant & nurses Verify records
1 March 2023	08.00 - 11.00 11.00 - 14.00 14.00 - 17.00	Desk Review/office Desk Review	<ul style="list-style-type: none"> Document Review
2 March 2023	08.00 - 11.00 11.00 - 14.00 14.00 - 17.00	Desk Review Break Desk Review	<ul style="list-style-type: none"> Document Review

Role Play 3: Audit Agenda - Develop your audit agenda based on Role Play Exercise 1.

Date	Time	Location	Activities
Eg. 12 Jan 2023	10am - 10.45am	Estate 1 (Clinic)	<ul style="list-style-type: none"> Interview with medical assistant & nurses Verify records
13 Jan 2023	08.00 - 17.00	DESK REVIEW	<ul style="list-style-type: none"> 1. VERIFY THE AUDIT SCOPE and BASIC INFORMATION 2. B1 - management system & scope 3. Check PMS (internal & external) 4. Check other LMS system 5. Check worker list (internal & external) 6. Complaint log book 7. B6 Contract - OHS
14 Jan 2023	08.00 - 17.00	Office	<ul style="list-style-type: none"> 1. LIKE BRIEFING: Labor Union 2. Gender Committee: P2K3 3. agencies & plant; management & representation 4. other available documents checked and reviewed
15 Jan 2023	08.00 - 17.00	Interview worker B2 zone 1 & worker B2 zone 2 = outsource B2 zone 3 = voluntary	<ul style="list-style-type: none"> 1. Estate 1 2. Estate 2 3. Estate 3 4. Mill
16 Jan 2023	08.00 - 12.00 12.00 - 16.00 16.00 - 17.00	Head office Office	<ul style="list-style-type: none"> 1. compare Agenda - internal auditor 2. Interview with HR 3. Interview with OHS (P2K3)
17 Jan 2023	08.00 - 12.00 13.00 - 17.00	Estate 1 Estate 2	<ul style="list-style-type: none"> 1. field observation 2. Interview with assistance 3. document review 4. field 5. interview 6. OHS identification
18 Jan 2023	08.00 - 12.00 13.00 - 17.00	Estate 3 Mill	<ul style="list-style-type: none"> 1. field obs 2. interview 3. OHS identification 4. field obs 5. interview 6. document review
19 Jan 2023	08.00 - 12.00 13.00 - 17.00	Head office Caring nearby	<ul style="list-style-type: none"> 1. General Entry observation

Total 26 Mandays => 6x4 mandays: OFFSITE
1x2 mandays: Desk Review

Role Play 3: Audit Agenda - Develop your audit agenda based on Role Play Exercise 1.

Date	Time	Location	Activities
Eg. 12 Jan 2023	10am - 10.45am	Estate 1 (Clinic)	<ul style="list-style-type: none"> Interview with medical assistant & nurses Verify records
13 Jan 2023	08.00 - 12.00 14.00 - 17.00	Own house / office Desk Review	<ul style="list-style-type: none"> 1. Labour Data collected to: 1. PMS, OHS, 2. agreement, 3. labor union, 4. safety, 5. health, 6. other 2. Interview with HR 3. Interview with OHS 4. Interview with PMS 5. Interview with HR 6. Interview with OHS 7. Interview with PMS 8. Interview with HR 9. Interview with OHS 10. Interview with PMS 11. Interview with HR 12. Interview with OHS 13. Interview with PMS 14. Interview with HR 15. Interview with OHS 16. Interview with PMS 17. Interview with HR 18. Interview with OHS 19. Interview with PMS 20. Interview with HR 21. Interview with OHS 22. Interview with PMS 23. Interview with HR 24. Interview with OHS 25. Interview with PMS 26. Interview with HR 27. Interview with OHS 28. Interview with PMS 29. Interview with HR 30. Interview with OHS 31. Interview with PMS 32. Interview with HR 33. Interview with OHS 34. Interview with PMS 35. Interview with HR 36. Interview with OHS 37. Interview with PMS 38. Interview with HR 39. Interview with OHS 40. Interview with PMS 41. Interview with HR 42. Interview with OHS 43. Interview with PMS 44. Interview with HR 45. Interview with OHS 46. Interview with PMS 47. Interview with HR 48. Interview with OHS 49. Interview with PMS 50. Interview with HR 51. Interview with OHS 52. Interview with PMS 53. Interview with HR 54. Interview with OHS 55. Interview with PMS 56. Interview with HR 57. Interview with OHS 58. Interview with PMS 59. Interview with HR 60. Interview with OHS 61. Interview with PMS 62. Interview with HR 63. Interview with OHS 64. Interview with PMS 65. Interview with HR 66. Interview with OHS 67. Interview with PMS 68. Interview with HR 69. Interview with OHS 70. Interview with PMS 71. Interview with HR 72. Interview with OHS 73. Interview with PMS 74. Interview with HR 75. Interview with OHS 76. Interview with PMS 77. Interview with HR 78. Interview with OHS 79. Interview with PMS 80. Interview with HR 81. Interview with OHS 82. Interview with PMS 83. Interview with HR 84. Interview with OHS 85. Interview with PMS 86. Interview with HR 87. Interview with OHS 88. Interview with PMS 89. Interview with HR 90. Interview with OHS 91. Interview with PMS 92. Interview with HR 93. Interview with OHS 94. Interview with PMS 95. Interview with HR 96. Interview with OHS 97. Interview with PMS 98. Interview with HR 99. Interview with OHS 100. Interview with PMS
14 Jan 2023	08.00 - 17.00	Persebaran Bumih to Gajah Putih	<ul style="list-style-type: none"> 1. Persebaran
15 Jan 2023	14.00 - 17.00	Persebaran (water)	<ul style="list-style-type: none"> 1. Operasi meeting
16 Jan 2023	14.10 - 16.10 16.30 - 17.00	Mill pemasukan	<ul style="list-style-type: none"> 1. Interview dengan petugas di departemen 2. pms, ohs, pms 3. pms, ohs, pms 4. pms, ohs, pms 5. pms, ohs, pms 6. pms, ohs, pms
17 Jan 2023	08.00 - 17.00	Estate 1	<ul style="list-style-type: none"> 1. Interview dengan petugas di departemen 2. pms, ohs, pms 3. pms, ohs, pms 4. pms, ohs, pms 5. pms, ohs, pms 6. pms, ohs, pms
18 Jan 2023	08.00 - 17.00	Dasa - Dasa	<ul style="list-style-type: none"> 1. Interview dengan petugas di departemen 2. pms, ohs, pms 3. pms, ohs, pms 4. pms, ohs, pms 5. pms, ohs, pms 6. pms, ohs, pms
19 Jan 2023	08.00 - 17.00	Persebaran	<ul style="list-style-type: none"> 1. Interview dengan petugas di departemen 2. pms, ohs, pms 3. pms, ohs, pms 4. pms, ohs, pms 5. pms, ohs, pms 6. pms, ohs, pms

3.1 Opening Meeting

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.



3.1 Opening Meeting

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.



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.

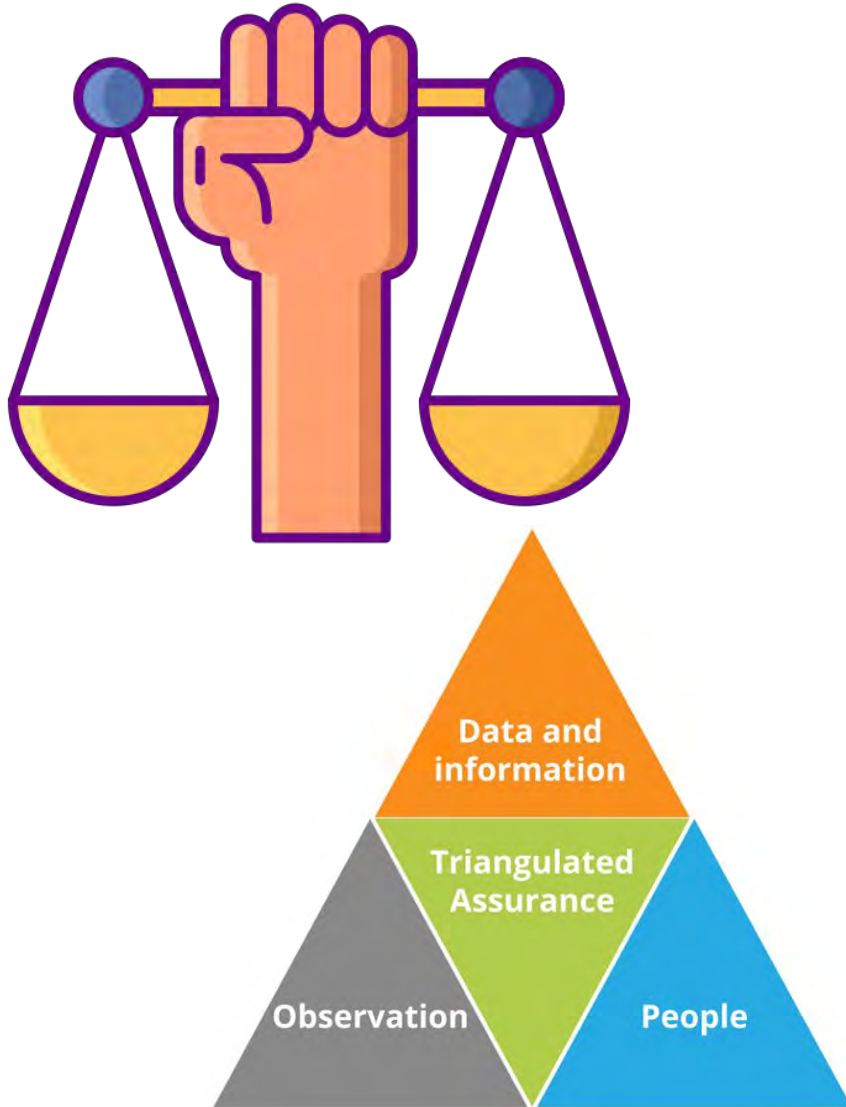


On-site Evidence Collection

- 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).



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.

3.2 Example Questions during Interviews

Criteria	Example Questions to Workforce
6.1 Discrimination	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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?

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.



3.4 Interviews with Workers

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

3.5 Closing Meeting

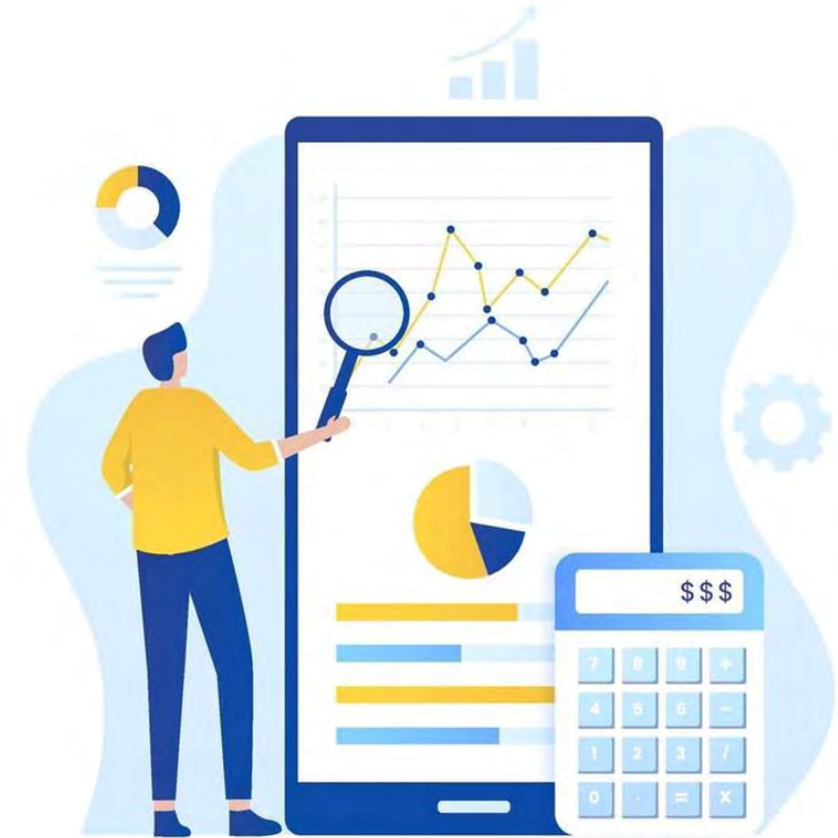


- Follow generic requirements in the **ISO 17021/17065** series and **RSPO P&C Certification Systems** document.
- Also ensure:
 - **Findings related to labour indicators** are presented at the Closing Meeting of the RSPO P&C audit.
 - Attendees are the **same groups** of people that attended the Opening Meeting.
 - **Language** that is **understandable** by the majority and consider translator/ interpreter service.

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.



4.1 Audit Reporting - Samples

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	
<p>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 stakeholders</p> <p>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 between worker and agency</p> <p>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?</p> <p>d. Are there complaints against the company on issues relating to discrimination? If yes, what actions have been taken?</p>	<p>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.</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N.A</p> <p>NCR No :</p>

<p>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.</p> <p>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:</p> <ul style="list-style-type: none"> 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	<p>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.</p>
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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	<p>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.</p>	<input checked="" type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A
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4.2 Audit Record-Keeping



- 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



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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%

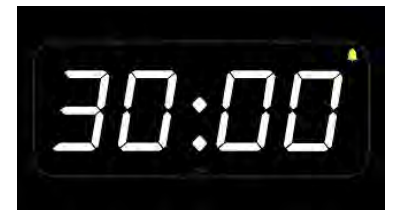
Estate Demographics	Annual Data
Total Workers	806
% of Non-Local Workers of Total Workers	15.8%
% of Contract Workers of Total Workers	61.4%
% of Female Workers of Total Workers	32.1%
% of Young Workers	0.0%

NCs from last audit
3.1.3
6.2.2
6.7.3

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
<i>eg. 23 March 2023</i>	<i>10.00 am - 10.45 am</i>	<i>Estate 1 (Clinic)</i>	<ul style="list-style-type: none"> ● <i>Interview with medical assistant & nurses</i> ● <i>Verify records</i>



RSPO CB INTERPRETATION FORUM

23 - 25 May 2023

We will be back in

15:00



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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	

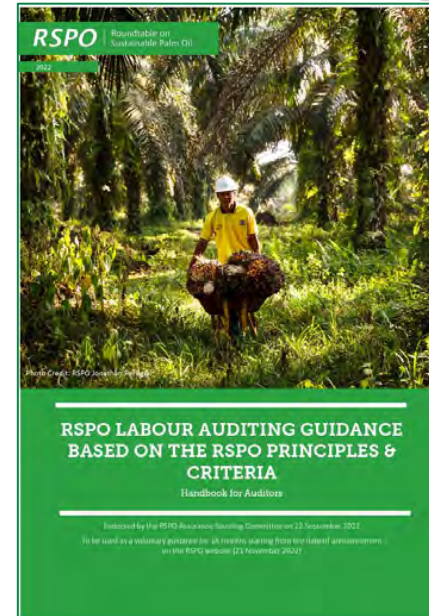
Exercise C: The 6 Why

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.



Exercise D: Enhancing Audit Effectiveness

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?





Q&A Session

RSPO CB INTERPRETATION FORUM

QUESTION & ANSWER



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THANK YOU!



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