

RSPO CB INTERPRETATION FORUM

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



www.rspo.org





AGENDAS

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 RISS 2019 Auditors Training (4.8.6 f) 2023

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



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Attention!

- Today's session is dedicated for **ISH Training (RISS 2019) for CB Auditors** to fulfill the Requirement 4.8.6 (f) in the RSPO Certification System for P&C and ISH Standards (2020).
- Here are some important things to note:
 - Participants (physical/virtual) are required to **attend and complete the full session** of the training in order to qualify to the Requirement 4.8.6 (f) in the RSPO Certification System for P&C; and ISH Standards (2020).
 - Participants are required to **PASS an online test** that will be provided after the training.
 - The test will consist of 25 multiple-choice questions
 - Passing mark is 70%
 - The test is to be completed within 3 working days after distribution of the link (limited time per session)
 - RSPO Secretariat will provide **Statement of Attendance** (via email) for the participants that fulfill the above requirements.
 - RSPO Secretariat will consider the attendance, participation, and interaction with the presenter as part of essential components of successful and completion of the training.
 - This qualification will remain valid until an official RISS Training Programmes is endorsed and/or further announcement from the RSPO Secretariat.

RSPO RISS 2019 Auditors Training (4.8.6 f) 2023

RSPO MEMBERSHIP FOR ISH

Shazaley Abdullah
Head, Certification



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Why Join RSPO?



Reputation

Membership demonstrates the first step towards commitment to sustainable palm oil. Members contribute constructively towards promoting the growth and use of sustainable palm oil to protect people, planet and prosperity.



Sustainable Growth

As RSPO is an internationally recognised certification standard for sustainable palm oil, you will demonstrate to your customers and partners that you support the production of sustainable palm oil. Aside from the benefits for people and planet, research has indicated that switching to producing sustainable palm oil can reap significant economic returns on the investment needed to do so.



Market Access

Members can access markets and contribute to the increasing demand for certified sustainable palm oil.

As members, they have a say in the RSPO's decision-making, shaping efforts to make sustainable palm oil the norm.

Members of the RSPO represent all stages in the supply chain and the world's largest palm oil producing regions.



Use of Trademark

It will entitle you to use the RSPO Trademark, thereby demonstrating your commitment to this transformational process.



Influence and Global Network

Through RSPO, members have access to a strategic platform to co-create and influence policies and key decisions. They also benefit from best practices on agricultural, environmental and social aspects.



Assurance and Third Party Validation

RSPO is a member of ISEAL, the world's most credible association of sustainability standards. We operate from the RSPO Secretariat based in Kuala Lumpur, Malaysia, which is ISO 9001 certified. All certification bodies conducting RSPO audits are accredited by [Assurance Services International \(ASI\)](#)



Step 1: Category



STEP 01

Determine your Category



STEP 02

Determine your Group Manager

Step 3b: Grower Application



STEP 03

Apply for Membership

Step 4: Certification/Credits/Trademark



STEP 04

Certification
Palm Trace
Trademark

Steps towards sustainable palm oil

Email your enquiry to membership@rspo.org

Step 1: Category



ORDINARY MEMBERSHIP

For organisations that are:

- ✓ Directly involved in palm oil
- ✓ Purchase, use or trade than 500 metric tonnes of palm oil
- ✓ Represents seven sectors



ASSOCIATE MEMBERSHIP

For organisations that are:

- ✓ Directly involved in palm oil
- ✓ Purchase, use or trade less than 500 metric tonnes of palm oil



AFFILIATE MEMBERSHIP

For organisations or individuals that are:

- ✓ Service providers or other organisations that are NOT directly involved in palm oil

Step 2: Smallholders Group Manager

Smallholder - Farmer growing oil palm where the total planted area of oil palm is below 50 hectares in size. Smallholders must form a group and assign a manager.

- i. An individual – the smallholder group must register itself as a legal entity before applying for membership.
- ii. An entity – the group manager as an entity shall apply for membership.



Application (Grower)

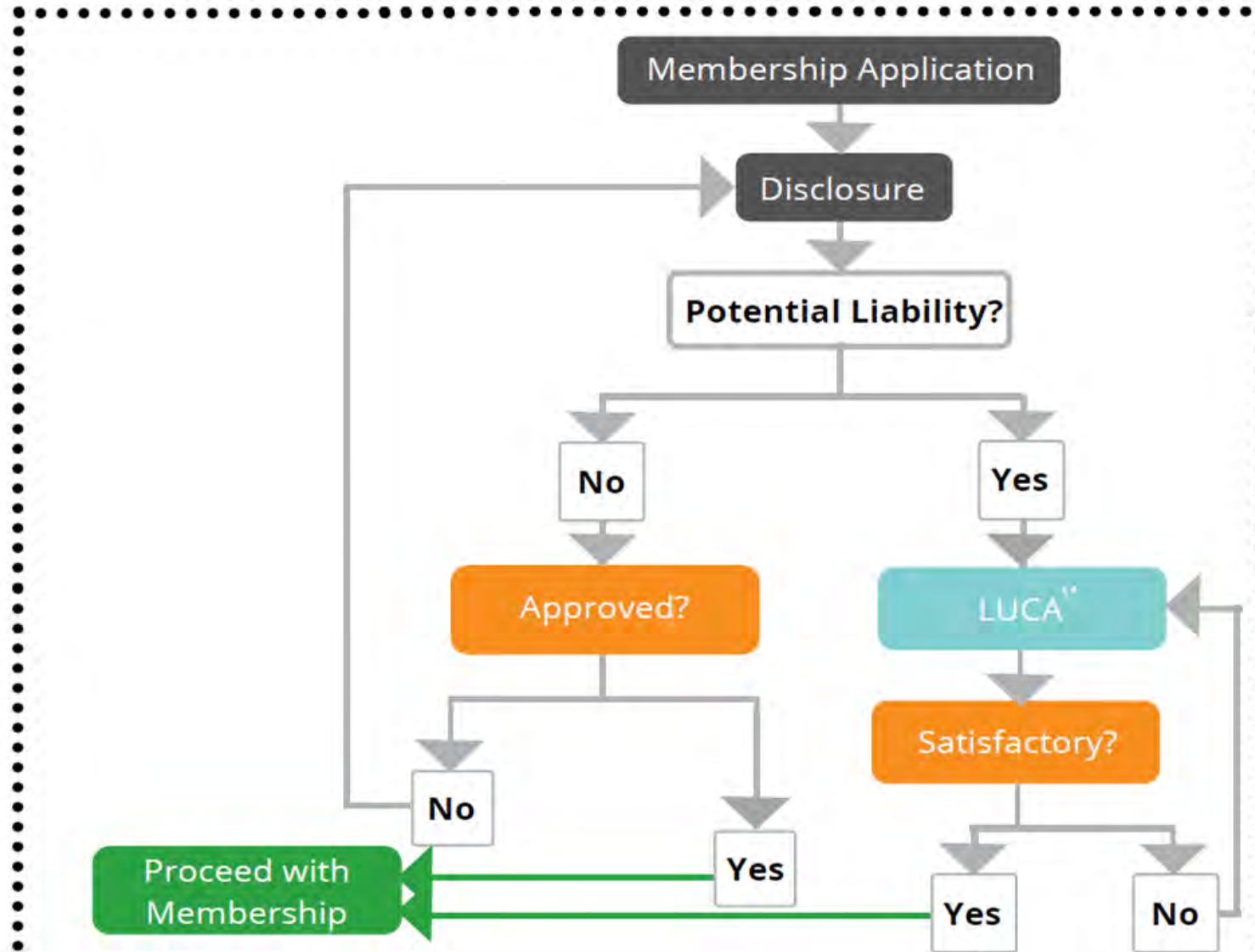


Documentation (Smallholders Group)

- 1 Proof of business registration
- 2 Reporting template for disclosure of areas cleared without prior HCV Assessment since November 2005 (Smallholders)
- 3 Clear evidence that members of the Smallholders Group has agreed to appoint the applicant to act as their Group Manager (e.g official minutes of meeting)
- 4 A statement by the Group Manager to declare that they will represent the Smallholders Group with integrity and commit to the RSPO standards.
- 5 A list of all members in the Smallholders Group with their individual land details (size of land and land registration number). This list must be signed by the appointed Group Manager.
- 6 Two names (either company or an individual) as reference for due diligence purposes.



Step 3b: Grower Application



| |
|------------------|
| Company |
| RSPO Secretariat |
| Third Party |
| Interpretation |

- (1) Land Use Change Analysis
- (2) Final Conservation Liability
- Reviewed case on case basis

Progression towards RSPO membership

RaCP process after LUCA approval to continue after membership approval, managed by the compensation desk.

Step 4: Certification/Credits/Trademark



- Certified under RSPO Independent Smallholders Standard
- Register Palm Trace account to sell credits
- Apply for trademark license



Member's Obligation



- Membership fee
- ACOP report submission
- Certification



Resource Library

RSPO Statutes

[LINK](#)

RSPO Membership Rules

[LINK](#)

RSPO Code of Conducts

[LINK](#)

[LINK \(For SCA\)](#)

Search Members

Enter Member Name:

Ordinary Members: All Countries:

| Name | Country | Member Since | Category |
|--|---------------|--------------|-----------|
| Best Foods Polska Spółka z Ograniczoną Odpowiedzialnością Spółka Komandytowa | Poland | 2021-10-21 | Associate |
| MODULUS COSMETICS PRIVATE LIMITED | India | 2021-10-07 | Ordinary |
| OLEDONILA S.A. | Ecuador | 2017-09-06 | Ordinary |
| Ri.Le.Vi S.p.A | Italy | 2017-01-03 | Ordinary |
| JTM Foods, LLC. | United States | 2017-08-06 | Ordinary |
| Edisla, Inc. | United States | 2017-12-06 | Associate |
| Smallholder Smiles | Common | 2015-01-01 | Ordinary |

Guidance Documents

- [Membership Application](#)
- [Group Membership Disclosure](#)
- [Adding subsidiary online](#)
- [First-Time-Login @ MyRSPO](#)

RSPO / Members / Gapoktan Tanjung Sehati

Membership No: 1-0145-13-005-00

Category: Ordinary

Sector: Oil Palm Growers

Country/Territory: Indonesia

Member since: 09 July 2013

Web: <http://ukl@setarajambi.org>

Gapoktan Tanjung Sehati

Profile SR Policies

Profile

ACOP Report Submissions

| ACOP Period | File Name |
|-------------|--|
| 2020 | Gapoktan_Tanjung_Sehati_ACOP2020 |
| 2019 | Gapoktan_Tanjung_Sehati_ACOP2019 |
| 2018 | smallholder-group-manager/Gapoktan_Tanjung_Sehati-ACOP2018.pdf |
| 2017 | gapoktan_tanjung_sehati-ACOP2017.pdf |
| 2015 | gapoktan_tanjung_sehati-ACOP2015.pdf |
| 2014 | gapoktan_tanjung_sehati-ACOP2014b.pdf |



Find out more at
www.rspo.org

RSPO RISS 2019 Auditors Training (4.8.6 f) 2023

Certification of ISH Groups against RISS 2019

Amirul Ariff
Manager, Certification (P&C)



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Certification of Independent Smallholders (ISH) Groups against RSPO Independent Smallholder Standard (RISS 2019)

RSPO Certification Systems for P&C and ISH Standard (Nov 2020)

RSPO RISS 2019 Auditors Training (4.8.6 f) 2023



RSPO ISH Standard 2019



How to define the total size of a palm production area?

The total size of the oil palm production area is defined by **accumulating all** plots owned by a smallholder, regardless of where they are located.

This includes existing plots with oil palm planting as well as areas available for replanting or areas allocated for new oil palm planting, that are **owned by an individual smallholder within or outside the unit of certification** (e.g. the group that the smallholder is part of).

This means if a smallholder owns and operates oil palm plots outside the group (unit of certification) that is being certified, even if this plot is in another village or another region, it is also counted as part of the cumulative hectares).

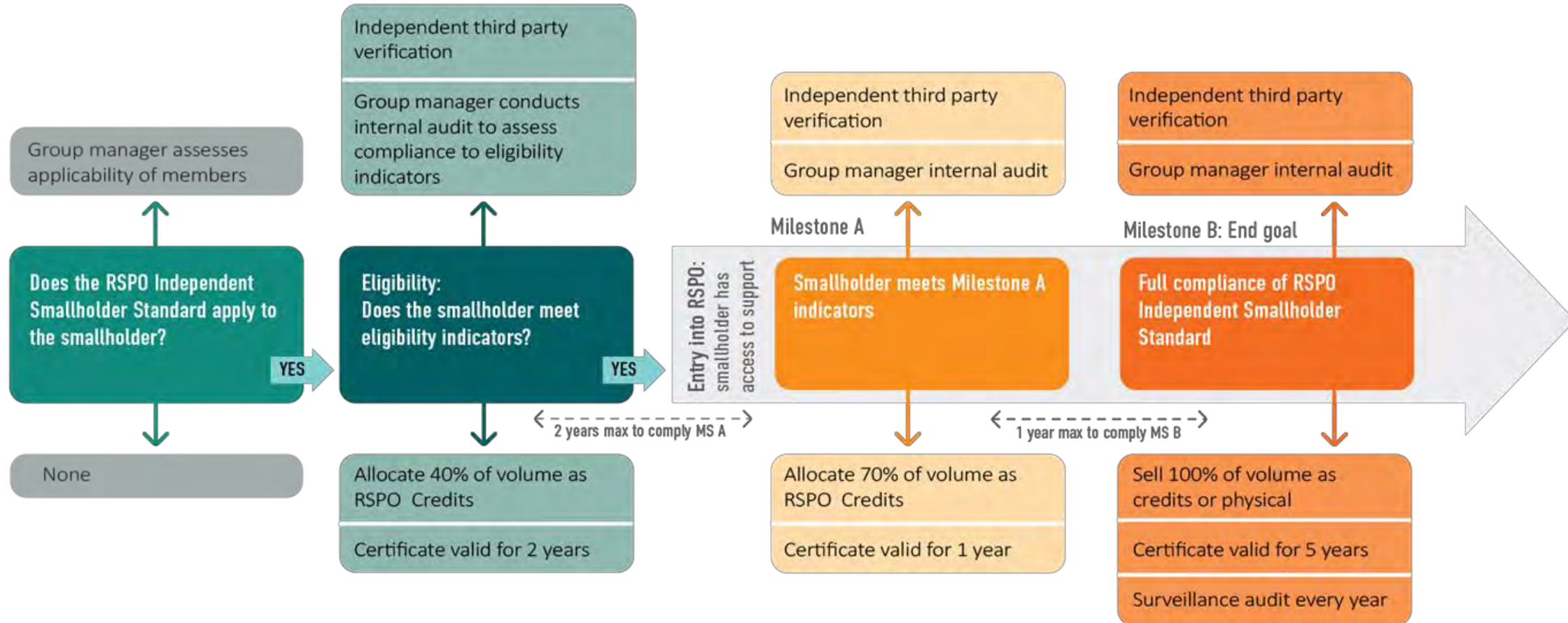
Phased Approach



Assurance

100% of smallholders compliant with indicators

Smallholder Credits



Snapshot of ISH requirements in Certification Systems Document 2020



| | |
|---|----|
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6. CERTIFICATION OF ISH GROUPS AGAINST RSPO ISH STANDARD

6.1 Introduction:

6.1.1 This section sets out the certification systems that shall be followed in the implementation of certification against the requirements of the RSPO ISH Standard. The general rules for the conduct of the audits as outlined in this document is also applicable to auditing the RSPO ISH Standard.

6.1.2 The RSPO ISH Standard introduces a phased approach to enable smallholders to achieve compliance over a specified period. The approach includes three (3) phases:

1. Eligibility (E)
2. Milestone A (MS A)
3. Milestone B (MS B, which is full compliance)

6.1.3 The phased approach allows the smallholder to enter the system once they are part of a group and meet all Eligibility indicators. This approach is designed to screen smallholders for the most unsustainable practices and then, for those who are eligible, allow time for continual improvement and progress towards meeting all requirements. Key requirements of this approach are:

- The group needs to demonstrate progress in moving from meeting Eligibility indicators, to indicators listed under MS A and finally meeting the indicators of MS B.
- Progress shall occur within a set time frame; a maximum of two (2) years is allowed for progressing from Eligibility to MS A and a maximum of one (1) year is allowed to progress from MS A to MS B.
- Compliance at every milestone is measured by fulfilling all the requirements of the current milestone and all preceding milestones, e.g. to be compliant with MS A, the smallholder group must demonstrate compliance to the Eligibility requirements and requirements of MS A.
- A smallholder can progress directly to MS B if at Eligibility or MS A they can demonstrate compliance with MS A and MS B. They can move forward and be audited for MS A and MS B at the same point of time as

Audit against RSPO ISH Standard



- Compliance at every milestone is measured by fulfilling all the requirements of the **current** milestone and all **preceding** milestones
- An Independent smallholder can **progress directly to MS B** if at Eligibility or MS A they can demonstrate compliance with MS A and MS B.
- At MS B, the smallholder will be audited against **all indicators** (including Eligibility & MS A)
- New members can **join the group at any stage** and shall be assessed according to their readiness to comply with the standard.
 - Eg: A group of Independent smallholders who are already at MS A can have new members who are at the Eligibility phase joining the group. The group will be assessed together but the requirements the members will be assessed for will be according to the Milestone they are complying with

Audit against RSPO ISH Standard



| | E | MS A | MS B |
|---------------------------|--|---|---|
| Public Notification | Yes | Yes | Yes |
| Name of audit | Pre-certification (CB issues Provisional Certificate) | Pre-certification (CB issues Provisional Certificate) | IC, ASA, RC |
| Audits | ONLY 1 time during the beginning | 1 time | Annually after IC |
| Certificate validity | 2 years | 1 year | 5 years |
| Planning Audits | <ul style="list-style-type: none"> • Audit on year 1 (E1) • No audit is required in year 2 | audit shall be carried out on the 20th month of the Eligibility certification | IC audit of MS B phase shall be conducted no later than five (5) months before the expiry of the MS A certificate |
| Sampling of Group Members | $(\sqrt{y}) \times (0.5)$ | $(\sqrt{y}) \times (0.8)$ | $x = (\sqrt{y}) \times (z)$, Z low risk = 1, medium risk = 1.2, high risk = 2 |

Audit against RSPO ISH Standard



| | E | MS A | MS B |
|---------------------------------------|--|---|---|
| Addressing non-compliances | within 12 months of the audit | at least 1 month before the expiration of the Eligibility certificate | at least two (2) months prior to the expiry of the MS A certificate |
| Palm Trace extension (Time Extension) | No | No | Yes – max 3 months |
| Certified Volume in certificate | IS-CSPO, IS-CSPKO and IS-CSPKE | IS-CSPO, IS-CSPKO and IS-CSPKE | FFB |
| | 40% of the group total estimated production volume | 70% of the group total estimated production volume | 100% FFB |

At Eligibility and MS A phase, the certified volume IS-CSPO, IS-CSPKO and IS-CSPKE shall be calculated based on the standard extraction of 20% of FFB for CSPO, 2.25% of FFB for CSPKO and 2.75% of FFB for CSPKE

Palm Trace



- When ISH is at E1, E2, MS A state the ISH will receive **FFB, IS-CSPKO, IS-CSPKE, IS-CSPO** volume as currently.
- An ISH within IC(MS B), ASA or RC state will receive their volume **ONLY** in **FFB**
- **For ISH Group in “E1” “E2” and “MSA” license status**
 - CB will give IS-FFB, IS-CSPKO, IS-CPKE, IS-CSPO volumes
 - ISH can **ONLY** sell as credits

Palm Trace



For ISH Group in “IC (MSB)” “ASA” and “RC” license status:

- CB’s will license only FFB volume
- ISH can choose to sell physical or credit’s
- ISH need to register physical sale volume in PT
 - This is only applicable when the license is renewed to the RSPO ISH Standard
 - While the ISH Group is still complying to Group Certification, the ISH volume can be added to the mill’s volume using volume extension by CB
- Mill’s approve ISH transactions
- Mill’s need to convert FFB to CSPO CSPK



Multiple Phase License Submission

- In Section 3 – Certificate Settings, in the Assessment Type, you can select all the applicable certificatic

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

1077, Suspended)



Multiple Phase License Submission

- 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.
- 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:

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:

Information Entered in Section-1:

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

Mechanism to prevent Oversold ISH Credits



- In supporting the compliance of the RSPO Independent Smallholder Standard 2019, RSPO PalmTrace has introduced a mechanism to prevent RSPO Credits sold not exceeding the actual FFB production during the current license period. This feature is applicable for the RSPO certified members against the RSPO Independent Smallholder Standard 2019.
- When the new license is active, the auto allocation of the certified FFB to the RSPO Credits (IS-CSPO, IS-CSPKO, IS-CSPKE) in the RSPO PalmTrace system will be set to 70% of the total certified FFB. The remaining certified FFB must be completed manually by an independent smallholder group.
- Please note that this feature serves **solely as a caution**, and smallholder groups can continue to trade RSPO Credits as usual.
- This feature is intended to remind independent smallholder groups to record their actual FFB production in accordance with their current SOP. Thereby, independent smallholder groups will be able to demonstrate that they met their actual Certified FFB Production at the end of the license period during the following annual audit.

Mechanism to prevent Oversold ISH Credits



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Mechanism to prevent Oversold ISH Credits



Allocate Credits

Allocate Credits

Member Details

Member Name: RSPO_ORG_7626
Member ID: RSPO_PO1000014596
Holding Name: holdingName637
RSPO Member Number:
Country:

Allocation Details

| Input Product | Supply Chain Model | Remaining Volume : 250 MT | Credit | Equivalent Credits |
|---------------|--------------------|---------------------------|-----------------|--------------------|
| FFB | Identity Preserved | | IS-CSPKO Credit | 150 |
| | | | IS-CSPKE Credit | 16 |
| | | | | 20 |

** FFB volume equivalent to the total no. of output credits will only be deducted upon conversion (not the entered volume).*

Yes, I am sure I want to allocate physical volume to credits.

Reset Cancel OK

Credit allocation exceeds 70.0% of certified volume. Please click 'Yes' to confirm that this is correct.

No Yes



Find out more at
www.rspo.org

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System Requirement for Group Manager

Shazaley Abdullah
Head, Certification



www.rspo.org



What's in the RSPO ISH Standard?

System Requirements for Group Formation

Criteria and Indicators for Group formation and Management to be implemented by Group Manager

Principles, Criteria And Indicators

4 principles, 23 criteria and 58 indicators organised along the RSPO impact areas, Prosperity, People, and Planet

Guidance for Group Managers

Guidance for group managers on how to comply with the PCIs of this Independent Smallholder Standard and what their responsibilities are

Assurance and Claims

Each phase has its own assurance requirements for assessing compliance, claims that the smallholder can make as well as benefits for the smallholder.



Section 3.2 System Requirement for Group Formation

It is the responsibility of the group manager that all systems presented in the indicators are complied with at each phase (Eligibility, Milestone A and Milestone B).

A: Group Entity and Group Management Requirements

- A1. The Group demonstrates that they are legally formed.
- A2. The Group Manager is responsible for managing the Group for certification.

B: Internal Control System – Policies and Management

- B1. The Group Internal Control System contains documented policies and procedures for operational management.

C: Group business planning

- C1. The group has a group Business Plan prepared with the participation and contributions of group members.
- C2. The ICS of the Group is integrated with the Group's Management Plan.

D: Group Trading System for Certified Volumes

- D1. The Group has a procedure and system in place for the tracking of Fresh Fruit Bunch (FFB).
- D2. The Group documents and implements a system for the tracking of FFB.
- D3. The Group has a procedure and system for premium distribution.



A – ICS: Group entity and group management requirements

A1 The group demonstrates that they are legally formed.

| | | |
|---|---|---|
| <p>Eligibility Indicators: A1.1 E The group has appointed a group manager.</p> | <p>Milestone A: A1.1 MS A Same as Eligibility</p> | <p>Milestone B: A1.1 MS B Same as Eligibility</p> |
| <p>Eligibility Indicators: A1.2 E The group manager has evidence of legal identity.</p> | <p>Milestone A: A1.2 MS A Same as Eligibility</p> | <p>Milestone B: A1.2 MS B Same as Eligibility</p> |
| <p>Eligibility Indicators: A1.3 E The group has membership requirements.</p> | <p>Milestone A: A1.3 MS A Same as Eligibility</p> | <p>Milestone B: A1.3 MS B Same as Eligibility</p> |
| <p>Eligibility Indicators: A1.4 E All members have signed and acknowledged membership requirements.</p> | <p>Milestone A: A1.4 MS A All members can demonstrate understanding of membership requirements.</p> | <p>Milestone B: A1.4 MS B N/A</p> |



B – ICS: Policies and management

B1 The group ICS contains documented policies and procedures for operational management.

Eligibility Indicators:

B1.1 E A group ICS is available for operational management including procedures of expulsion and sanctions for members who fail to comply, and a procedure to conduct internal audits.

Milestone A:

B1.1 MS A The ICS is implemented and an internal audit is conducted for at least half of the group members and all audit findings are closed.

Milestone B:

B1.1 MS B The ICS is implemented and an annual internal audit of the group is **conducted for ALL group members** and all audit findings are resolved.

Eligibility Indicators:

B1.2 E Basic information, farm information, production data, legal documentation of group members and signed Smallholder Declarations are available to the group manager.

Milestone A:

B1.2 MS A N/A

Milestone B:

B1.2 MS B N/A



C – ICS: Group business planning

C1 The group has a business plan prepared with the participation and contributions of all group members.

Eligibility Indicators:

C1.1 E An annual group business plan is available, which includes:

- production and income forecasting based on historical records
- plans for expansion.

Milestone A:

C1.1 MS A The group business plan is implemented and reviewed at least annually.

Milestone B:

C1.1 MS B The group demonstrates financial stability and growth and is able to support itself financially.



D – ICS: Group trading system for certified volumes

D1 The group has a procedure and system in place for the tracking of FFB.

Eligibility Indicators:

D1.1 E Record sheets to track the annual production and sales of certified volumes, covering traceability of producers and/or traders are available.

Milestone A:

D1.1 MS A Group manager maintains annual production records and sales of certified volumes.

Milestone B:

D1.1 MS B Group manager maintains annual production records and sales of certified volumes of all FFB sources.

D2 The group documents and implements a system for the tracking of FFB.

Eligibility Indicators:

D2.1 E N/A

Milestone A:

D2.1 MS A The group manager maintains annual production data and sales of certified volumes through Book and Claim for the group based on actual receipts for and sales by all members.

Milestone B:

D2.1 MS B The group manager maintains annual production data and sales of certified volumes through physical or Book and Claim for the group based on actual receipts and sales for all members and 100% of all certified volumes



D – ICS: Group trading system for certified volumes

D3 The group has a procedure and system for premium distribution.

Eligibility Indicators:

D3.1 E The group and group manager have agreed on how the premiums should be used and the agreement is recorded and communicated to the group members.

Prices, premiums, and timing of premium payment are clearly communicated and transparent to all group members.

Premiums disbursed to members at all stages are recorded and the premiums are paid in a timely and convenient manner.

Milestone A:

D3.1 MS A The disbursement of premiums, including price and timing of the disbursement to group members is clearly recorded.

Milestone B:

D3.1 MS B N/A

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RISS 2019 Internal Audit Interpretation

Shazaley Abdullah
Head, Certification



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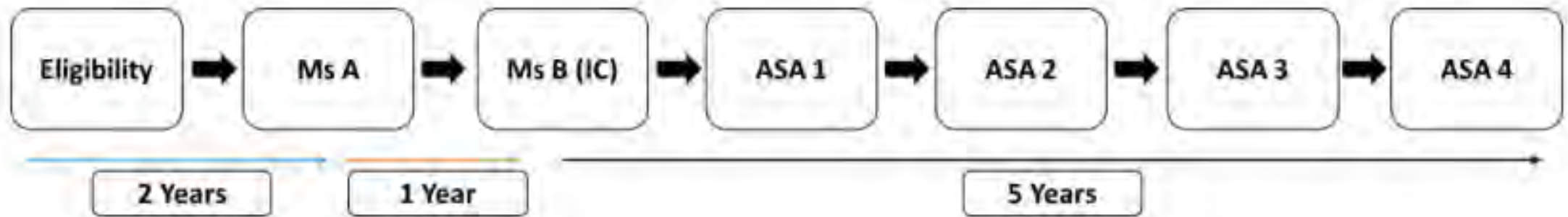


B1.1 - Internal Audit Interpretation of the ISH Standard

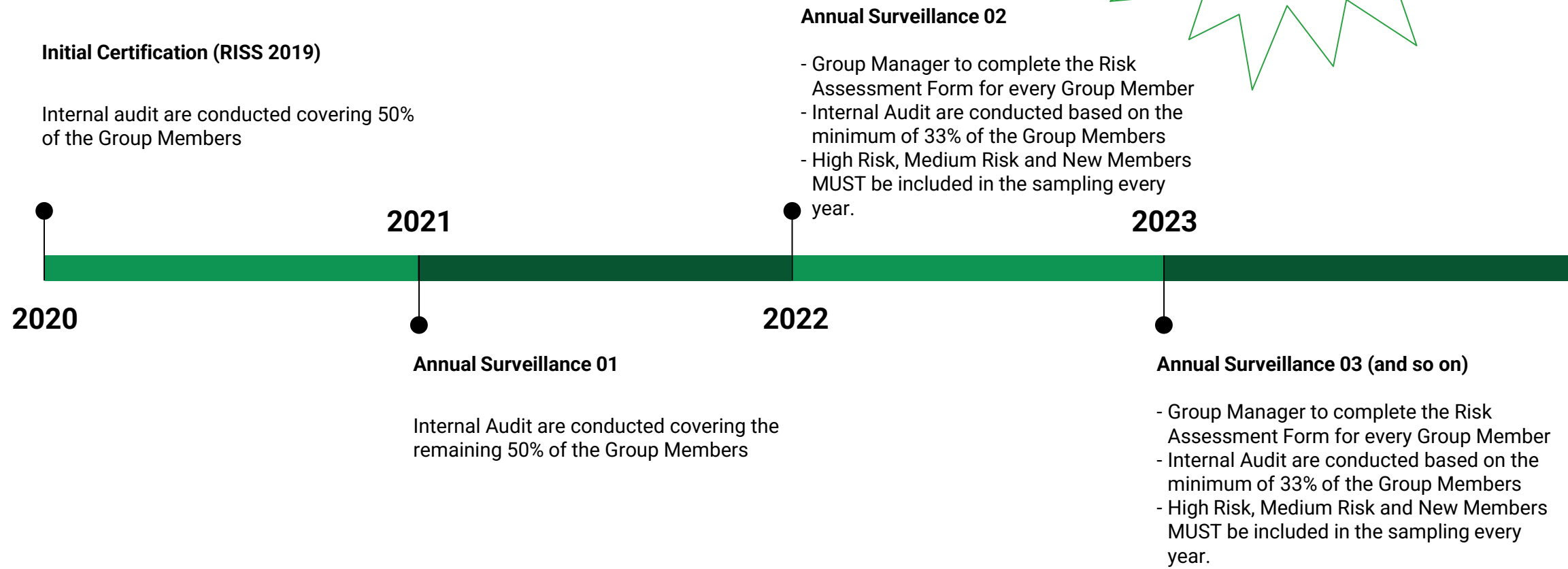
- RSPO ISH Standard 2019 requires ISH to carry out an **annual internal audit** for **ALL** group members at Milestone B. **(ICS B1.1 MS B)**
- The capacity and resources required to implement this requirement and audit all the group members annually poses a challenge for larger ISH groups.
- ISH Group that have been certified against Group Certification 2018 (until 2020) allows the Group Manager to perform annual internal audit based on a sampling formula. **(E3.1.2)**
- As a consequence, approximately 80% of the certified groups who have more than 100 members, will find it challenging to comply with this requirement and risk losing their certificate.
- The following interpretation has been endorsed by the RSPO Board of Governors for the requirement of ICS B1.1 MS B and announced in the RSPO Website on 1 Nov 2021.

B1.1 - Internal Audit Interpretation of the ISH Standard

- Compliance against the requirement of ICS **B1.1 MS B** shall be shown by completing an internal audit for all group members by:
 - The first Annual Surveillance Audit (i.e., ASA 1) for **New** ISH Groups.
 - The second Annual Surveillance Audit (i.e., ASA 2) for **Existing** ISH Groups transitioning from the RSPO Management System Requirements and Guidance for Group Certification of FFB Production to the RSPO ISH Standard.
- This effectively provides a two-year allowance to comply with the requirement of ICS B1.1 MS B. **At least 50%** of the ISH Group Members (New and Existing) shall be **audited during the first year**.



B1.1 - Internal Audit Interpretation of the ISH Standard



B1.1 - Internal Audit Interpretation of the ISH Standard



- For the consecutive ASA of the certificate, the group manager shall carry out a risk assessment of the ISH group members.
- The risk assessment carried out shall be in accordance with a standardized document provided by the RSPO.
- All **high and medium risk** group members, and all **new members** being added to the group in that year, shall be audited annually, regardless of number.
- The risk assessment to identify these 'high' and 'medium' risk group members shall consider diversity as well as the perceived risk relating to the activities undertaken by group members and previous year's internal and external audit results.
- When the total number of high and medium-risk group members, as well as new members, is below 33% of the group size, the low-risk group members shall be included as part of the annual internal audit to reach a **minimum of 33% of group members** being audited internally.



Standardized Risk Assessment Documents

Sheet 1: Overview and Guidance

Guidance

- This template is designed for a Group Manager to carry out a risk assessment of the individual independent smallholder members. Group Manager will be responsible to fill in this template based on the details provided by members and existing information that is available.
- Columns with the color GREEN is automated to be filled up with corresponding values according to information filled up and does not require filling up or insertion of data.
- Column E: Total number of members is formulated based on number of members filled up in section "3. ISH Member Risk Assessment"
- Column F, G and H: Indicates the total number of farmers with corresponding risk profile based in results in section "3. ISH Member Risk Assessment"
- Column I: Indicates the total land holding by all members in the ISH Group

| Group name | Address of group | Country | Name of group manager (Individual / Organisation) | Total number of members | ISH Member Risk | | | Total size of existing plots by group members (hectares) |
|------------|------------------|---------|--|-------------------------|-----------------|--------|------|--|
| | | | | | Low | Medium | High | |
| | | | | 1 | 0 | 0 | 1 | 12 |

Standardized Risk Assessment Documents



Sheet 3: ISH Members Risk Assessment

| Hired Labour | | | | | | | Are any of the plots located on peat | If YES, Are there plans for replanting on peat | Historical use of fire | Are any pesticides listed under WHO Class 1A or 1B and those listed by the Stockholm or Rotterdam Conventions used or in the process of being phased out. | Risk score (Automated Scoring) | Risk Level (Automated Risk Profiling) | Remarks |
|--------------------------------------|----------------|-----------------------------|--|------------|--------------|--------------------------------|--------------------------------------|--|------------------------|---|--------------------------------|---------------------------------------|---------|
| Is labour used on the plot (Yes/ No) | Type of Labour | Country of Origin of labour | If labour is used, State the Number of Labourers | Gender | | | | | | | | | |
| | | | | No of Male | No of Female | Nof of Other Gender Identities | | | | | | | |
| Yes | Full time | Migrant | 10 or more | 4 | 4 | 4 | Yes | Yes | Yes | Phasing Out | 24 | HIGH | |
| | | | | | | | | | | | 0 | #N/A | |
| | | | | | | | | | | | 0 | #N/A | |
| | | | | | | | | | | | 0 | #N/A | |
| | | | | | | | | | | | 0 | #N/A | |
| | | | | | | | | | | | 0 | #N/A | |
| | | | | | | | | | | | 0 | #N/A | |
| | | | | | | | | | | | 0 | #N/A | |
| | | | | | | | | | | | 0 | #N/A | |

cont'd

Standardized Risk Assessment Documents



Sheet 3: ISH Members Risk Assessment

| Group management plan | | | Procedure and system in place for the tracking of FFB. (Yes/No) | Annual production data and sales of certified volumes (Yes/No) | Procedure and system for premium distribution (Yes/No) | Remarks |
|---|--|--|---|--|--|---------|
| Training/capacity building plans to improve productivity of group members | Approach to strengthen links within the supply chain | Continuous improvement projects (yes/no) | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

cont'd



Questions & Answers

RSPO CB INTERPRETATION FORUM

23 - 25 May 2023

We will be back in

15:00



www.rspo.org



RSPO RISS 2019 Auditors Training (4.8.6 f) 2023

RSPO Independent Smallholder Standard 2019

Amirul Ariff
Manager, Certification (P&C)



www.rspo.org

RSPO Independent Smallholder (ISH) Standard 2019



A roadmap to empower Smallholders

June 2017: RSPO Smallholder Strategy approved by BoG; Objective 2 (of 3 objectives) is to develop a 'simplified approach for smallholder certification'



Objective 1
Smallholder
livelihoods are
improved

Objective 2
The number of
smallholders
within the RSPO
system is increased

Objective 3
The business case
for smallholder
inclusion in the
RSPO is made
through increased
support

Two Guiding Principles

01.

Promotion of **greater smallholder inclusion** into RSPO system



02.

Upholding **core sustainability requirements** (NDPE/P&C of Independent Smallholder Standard), to ensure credibility

Two separate RSPO Standards



Both standards contribute to the production of Certified Sustainable Palm Oil (CSPO)

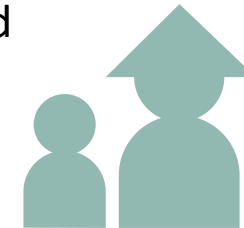
What's simplified?

- Lower burden of entry into the RSPO system
 - ☐ Eligibility criteria
- Phased approach towards full compliance, with support for ISH
- P&Cs that are tailored to ISH context
- Simplified assessment and verification
- Easier and quicker access to markets

NOTE: The RSPO ISH Standard is more than just the P&Cs. It proposes a **simplification of the overall process to certification**

I am an independent smallholder if:

- I am not a scheme smallholder
- The total size of my oil palm production areas is
 - \leq smaller or equal to 50 ha if no threshold is defined in National Interpretation; OR
 - \geq smaller or equal to the maximum size defined in National Interpretations
- I have the enforceable decision-making power on the operation of the land and production practices; and/or
- I have the freedom to choose how I utilize the land, type of crops to plant, and how I manage them (whether and how they organize, manage and finance the land).
- I meet any further criteria relative to the applicability of this standard as provided in the National Interpretation in my country.





What is oil palm production area?

The total size of the oil palm production area is defined by accumulating all plots owned by a smallholder.

These are existing plots as well as areas available for the expansion of new oil palm plantings, or areas allocated for new plantings, that are owned by one single smallholder - within the unit of certification (e.g. the group the smallholder is part of).

What's in the RSPO ISH Standard?



System Requirements for Group Formation

Criteria and Indicators for Group formation and Management to be implemented by Group Manager

Principles, Criteria And Indicators

4 principles, 23 criteria and 58 indicators organised along the RSPO impact areas, Prosperity, People, and Planet

Guidance for Group Managers

Guidance for group managers on how to comply with the PCIs of this Independent Smallholder Standard and what their responsibilities are

Assurance and Claims

Each phase has its own assurance requirements for assessing compliance, claims that the smallholder can make as well as benefits for the smallholder

Principles of the ISH Standard

Principle 1:

Optimise productivity, efficiency, positive impacts and resilience



Principle 2:

Ensure Legality, Respect for Land Rights and Community Wellbeing

Principle 3:

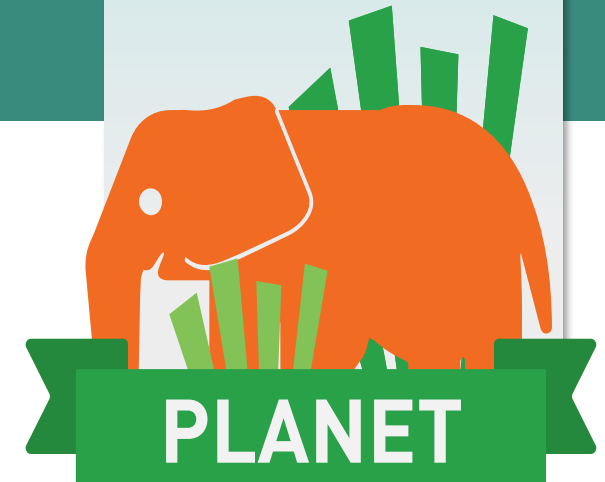
Respect human rights, including workers' rights and conditions



PEOPLE

Principle 4:

Protect, conserve and enhance ecosystems and the environment





Competitive, resilient, and sustainable sector

Principle 1: Optimise Productivity, Efficiency, Positive Impacts and Resilience

Implement professional and transparent operations to secure sustainable livelihood improvements



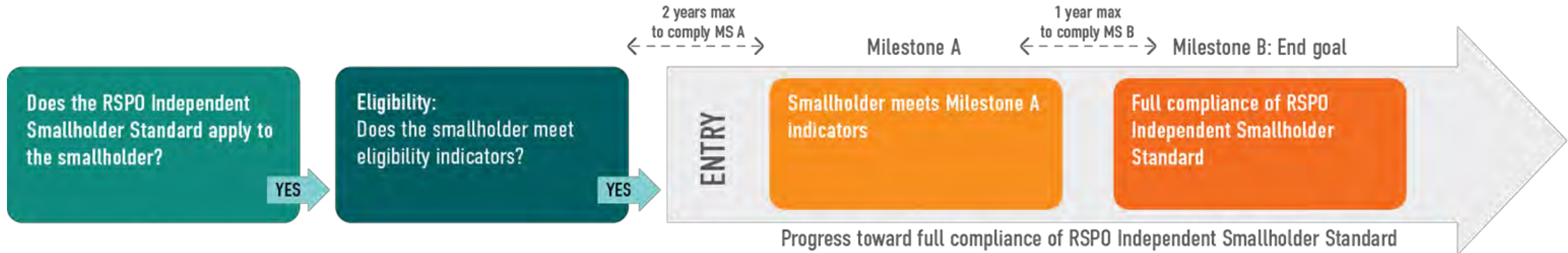
3 Criteria

8 Indicators

- Group governance and capacity to comply to standard
- Members commitment, effectively manage own farms
- Good Agricultural Practices (GAP)

Principle 1: Optimise Productivity, Efficiency, Positive Impacts and Resilience

Criteria 1.1 Smallholders establish a legal entity which has organisational capacity to comply with the RSPO ISH Standard.



Eligibility Indicators:

1.1 E Legally registered entities have documented evidence to include:

1. Legal formation (as per country requirements)
2. Fair and transparent decision making and governance
3. Additional documents per requirements for Group Formation and Management.
4. Signed or thumb printed Smallholder Declaration from all smallholder members, reference Annex 2.

Milestone A:

1.1 MS A Group manager and group members have an Internal Control System (ICS) that meets all the ICS Eligibility and MS A requirements (section 3.2 below) and complete training on oil palm pricing mechanisms, financial management, and best practices for smallholder organisations.

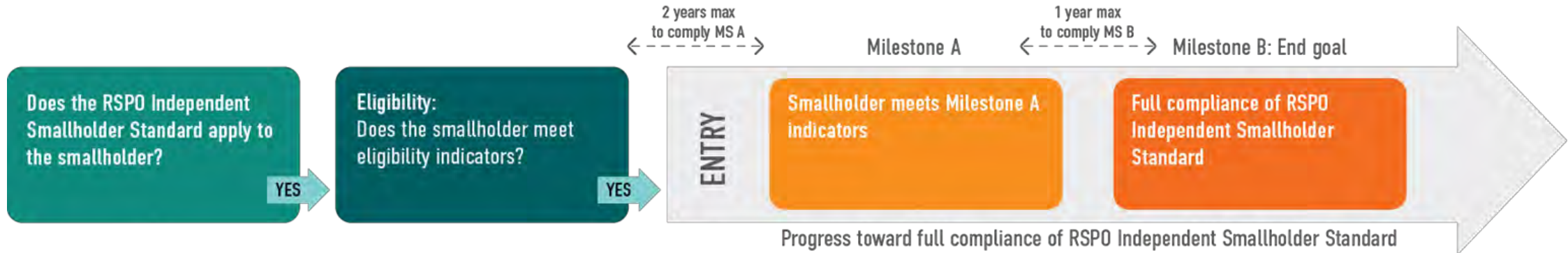
Milestone B:

1.1. MS B Smallholder groups are operating in accordance to best management practices for groups, including:

- Fair and transparent decision making and governance;
- Sustainable financial management

Principle 1: Optimise Productivity, Efficiency, Positive Impacts and Resilience

Criteria 1.2 Smallholders have capacity to effectively manage their farm.



Eligibility Indicators:

N/A

Milestone A:

1.2 MS A Smallholders complete training on farm business operations, monitoring and planning. The training includes capacity building on record keeping for production, including inputs and yields, transactions, and variety

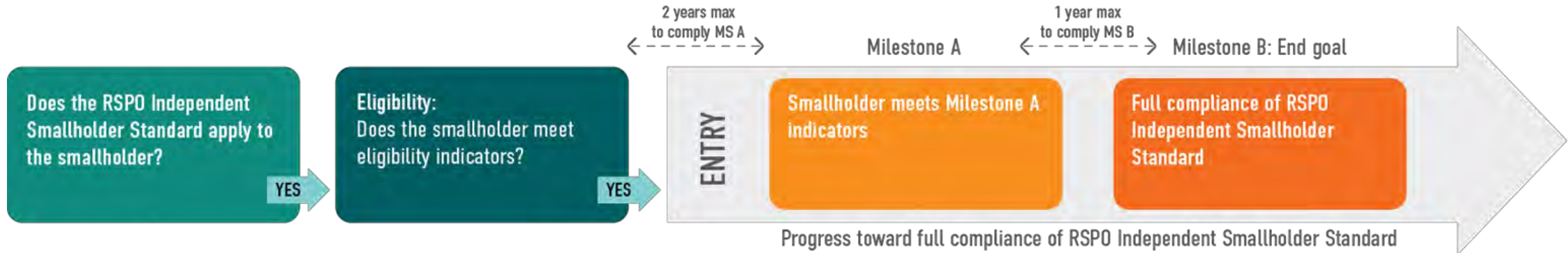
Milestone B:

1.2 MS B Smallholders are managing their farms effectively and maintain records of production and transaction data of all FFB sales



Principle 1: Optimise Productivity, Efficiency, Positive Impacts and Resilience

Criteria 1.3 Smallholders implement GAP on their farms.



Eligibility Indicators:

1.3 E Smallholders commit to implementing GAP on their farms. (Reference Smallholder Declaration, 1.1.E, Annex 2)

Milestone A:

1.3 MS A Smallholders complete training on GAP.

Milestone B:

1.3 MS B Smallholders have adopted GAP on their farms and are tracking productivity through, but not limited to, records of FFB sales.



Sustainable livelihoods and poverty reduction. Human rights protected, respected and remedied.

Principle 2: Ensure Legality, Respect for Land Rights and Community Wellbeing

Comply with the law and respect communities' rights

Principle 3: Respect Human Rights, including Workers' Rights and Conditions

Safeguard human rights and protect workers' rights, ensuring safe and decent working conditions



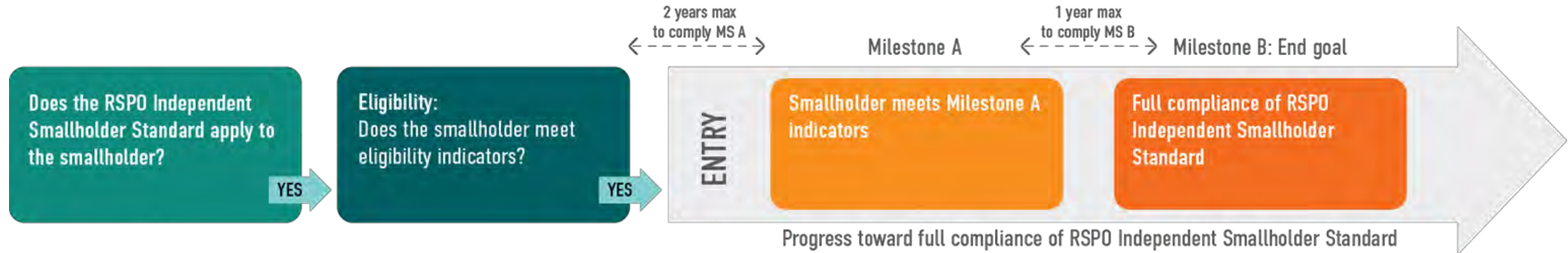
11 Criteria

27 Indicators

- Rights to land, no conflicts, free, prior and informed consent (FPIC)
- No forced labour, child labour
- Fair pay and no discrimination to workers
- OSH

Principle 2: Legality, Respect for Land Rights and Community Wellbeing

Criteria 2.1 Smallholders have legal or customary rights to use the land in accordance with national practice and local laws.



Eligibility Indicators:

2.1 E Smallholders provide the coordinates or maps of their plots and evidence of ownership or rights to use the land. (Reference indicator 1.1.E, Annex 2)

Milestone A:

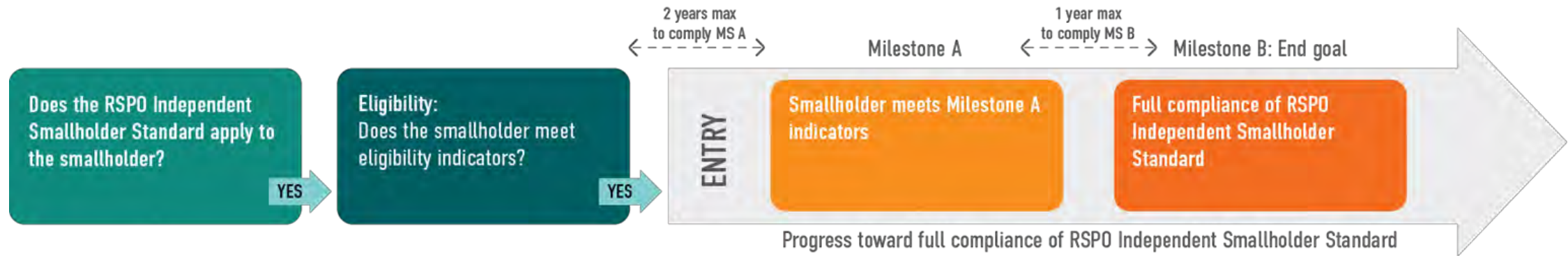
2.1 MS A Smallholders can demonstrate legal ownership or customary rights to use the land or demonstrate that they are in the process of legalisation of that right

Milestone B:

2.1. MS B Smallholder plots are clearly and visibly demarcated and maintained and the smallholders are operating only within these boundaries.

Principle 2: Legality, Respect for Land Rights and Community Wellbeing

Criteria 2.2 Smallholders have not acquired lands from indigenous peoples, local communities or other users without their free, prior and informed consent, based on a simplified FPIC approach.



Eligibility Indicators:
2.2 E For existing plots, smallholders can demonstrate that they have not acquired land without free, prior and informed consent of indigenous peoples, local communities or other users (Ref. Indicator 1.1 E, Annex 2).

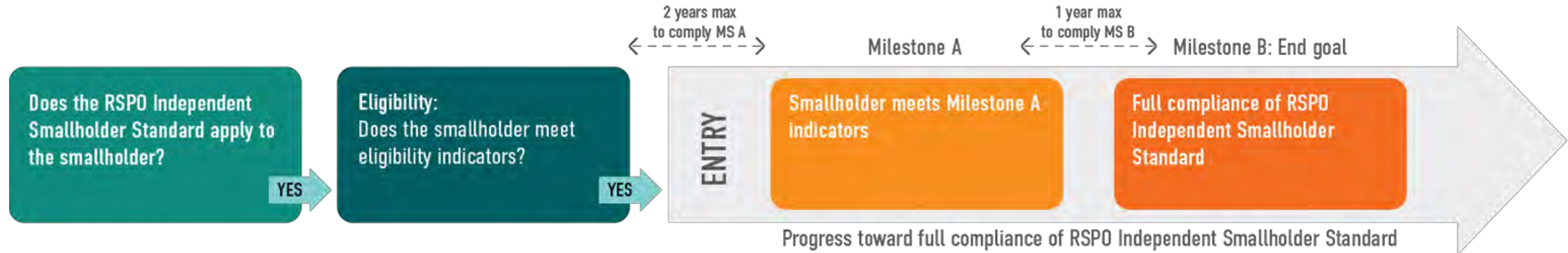
Milestone A:
2.2 MS A Same as Eligibility

Milestone B:
2.2 MS B Same as Eligibility



Principle 2: Legality, Respect for Land Rights and Community Wellbeing

Criteria 2.3 The right to use the land is not disputed by indigenous peoples, local communities or other users.



Eligibility Indicators:

2.3 E Smallholders declare any existing disputes, commit to resolving any existing disputes and provide information on the current status of those disputes. (Ref. indicators 1.1.E, Annex 2)

Milestone A:

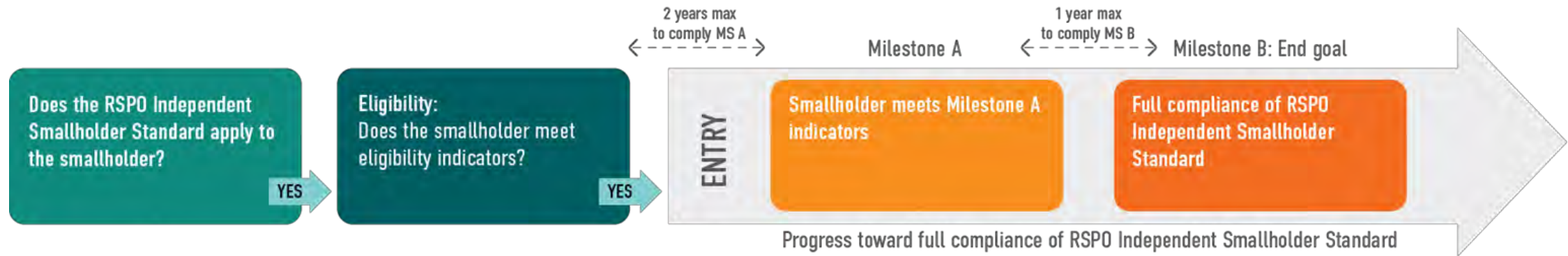
2.3 MS A There is an absence of disputes among indigenous peoples, local communities or other users, regarding land, resource-use and access rights; or where there is a dispute, dispute resolution processes are implemented and accepted by all parties involved

Milestone B:

2.3 MS B Same as Milestone A

Principle 2: Legality, Respect for Land Rights and Community Wellbeing

Criteria 2.4 Smallholder plots are located outside of areas classified as national parks or protected areas, as defined by national, regional or local law or as specified in National Interpretations.



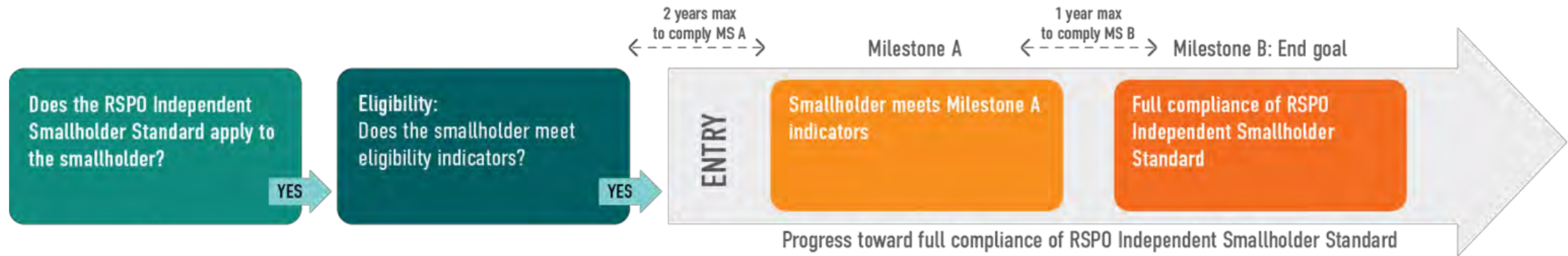
Eligibility Indicators:
2.4 E Smallholder plots are located outside areas classified as national parks or protected areas as defined by national, regional or local law or as specified in National Interpretations (Ref 1.1.E, Annex 2).

Milestone A:
2.4 MS A Same as Eligibility

Milestone B:
2.4 MS B Same as Eligibility

Principle 2: Legality, Respect for Land Rights and Community Wellbeing

Criteria 2.5 For new plantings, smallholders do not clear or acquire any land without obtaining FPIC, of local communities and indigenous people, based on a simplified FPIC approach.



Eligibility Indicators:

2.5 E For new oil palm plantings, smallholders commit not to clear or acquire land from indigenous people, local communities, or other users without their free, prior and informed consent, based on a simplified FPIC approach (Reference 1.1.E, Annex 2)

Milestone A:

Do any smallholders within the group have plans for new plantings of oil palm? If none, SKIP

2.5 MS A Smallholders complete training on how to conduct a simplified FPIC approach.

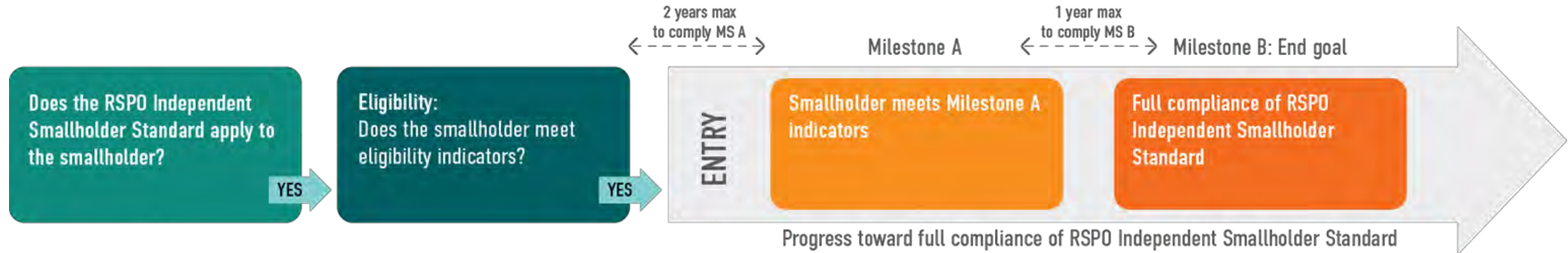
Milestone B:

Do any smallholders within the group have plans for new plantings of oil palm? If none, SKIP

2.5 MS B Based on a simplified FPIC approach, smallholders jointly agree on a plan with local communities and rights holders, including vulnerable groups, for new oil palm developments, if these involve land-use change.

Principle 3: Respect Human Rights, including Workers' Rights and Conditions

Criteria 3.1 There is no use of forced labour



Eligibility Indicators:

3.1 E Smallholders commit to no forced labour and ensure that any forced labour on the farm is terminated at Eligibility. They provide information on the source of labour on the farm, including the family, contract and hired labour. (Reference 1.1.E, Annex 2)

Milestone A:

3.1 MS A Smallholders complete training on fair labour and implement measures to ensure that all work is voluntary and following practices are prohibited:

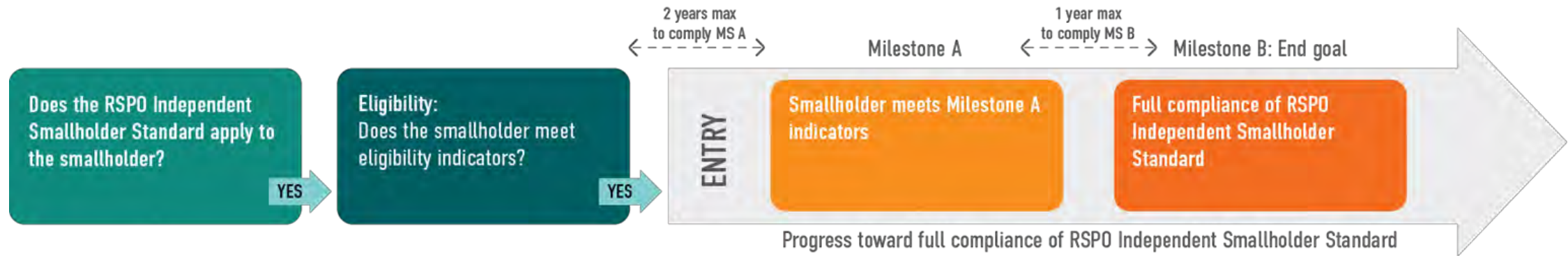
- Retention of identity documents or passports;
- Worker payment of recruitment fees;
- Contract substitution;
- Involuntary overtime;
- Lack of freedom of workers to resign;
- Penalty for termination of employment;
- Debt bondage;
- Withholding of wages

Milestone B:

3.1 MS B Workers on the farm, including their families, have completely unrestricted access to their identity documents, have freedom of movement and can declare that their employment is freely chosen.

Principle 3: Respect Human Rights, including Workers' Rights and Conditions

Criteria 3.2 Children are not employed or exploited. Work by children is acceptable on family farms, under adult supervision and when not interfering with education programmes. Children are not exposed to hazardous working conditions



Eligibility Indicators:

3.2 E Smallholders are aware of what child labour is and ensure any child labour in the farm operations are terminated at Eligibility. Awareness of child labour and commitment to no child labour includes:

1. Compliance with the minimum age of workers and as defined by local, state, or national law.
2. Not exposing children to hazardous work.
3. Providing adult supervision of young people working on the farm.
4. Ensuring the practice of children's rights to education is unrestricted and respected. (Reference 1.1. E, Annex 2)

Milestone A:

3.2 MS A Group managers and smallholders implement measures to protect children as follows:

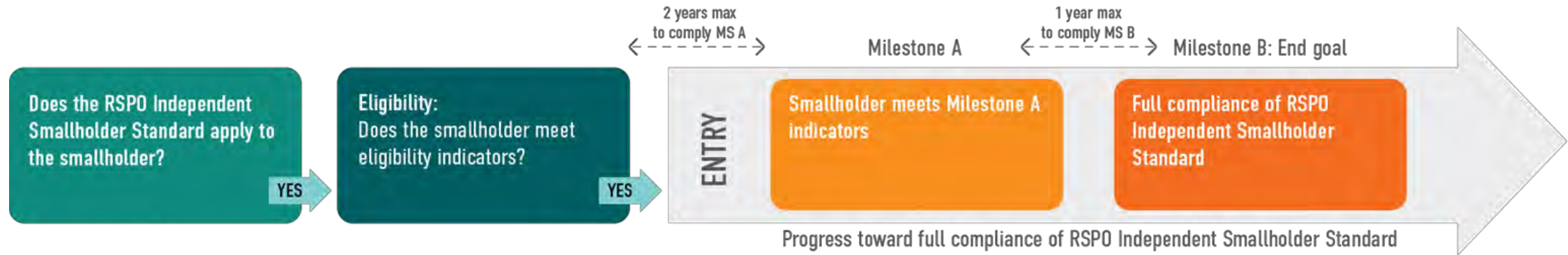
1. There are no workers on smallholder farms under the age of 15 or under the minimum age defined by local, state or national law, whichever is higher.
2. Children are only permitted to help on family farms and are not permitted to perform hazardous or heavy work.
3. If young workers are employed, their work is not mentally or physically harmful and does not interfere with their schooling, if applicable.

Milestone B:

3.2 MS B Same as Milestone A

Principle 3: Respect Human Rights, including Workers' Rights and Conditions

Criteria 3.3 Workers' pay complies with minimum legal requirements, mandatory industry standards as defined by national law or collective bargaining, whichever takes priority in local regulations.



Eligibility Indicators:

3.3 E Smallholders commit to pay workers according to minimum legal requirements or mandatory industry standards (Reference 1.1. E, Annex 2).

Milestone A:

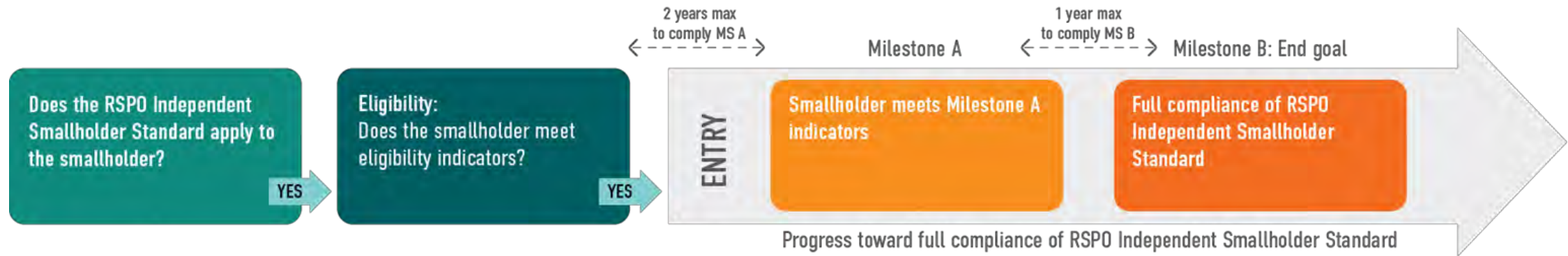
3.3 MS A Workers receive payments as expected and agreed in accordance with at least the legal minimum wage rate (excluding overtime premiums) and without discrimination against vulnerable groups, including women.

Milestone B:

3.3 MS A Workers receive payments as expected and agreed in accordance with at least the legal minimum wage rate (excluding overtime premiums) and without discrimination against vulnerable groups, including women.

Principle 3: Respect Human Rights, including Workers' Rights and Conditions

Criteria 3.4 Workers understand their rights and freedom to file a complaint to group manager or relevant third parties, including RSPO.



Eligibility Indicators:

3.4 E Smallholders commit to respect the rights of workers to file a complaint (Reference 1.1. E, Annex 2).

Milestone A:

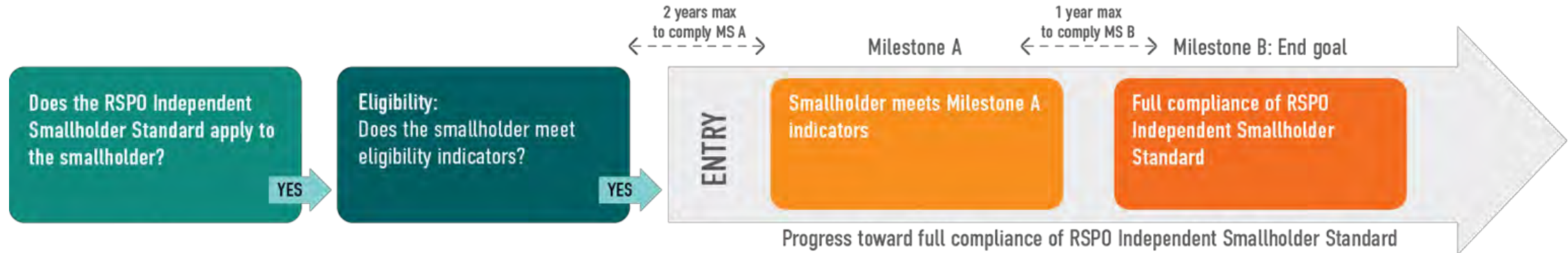
3.4 MS A Smallholders complete training on workers' rights to file a complaint/grievance and communicate to workers the means to file a complaint/grievance

Milestone B:

3.4 MS B Workers are aware of and have access to an effective means for filing a complaint/grievance.

Principle 3: Respect Human Rights, including Workers' Rights and Conditions

Criteria 3.5 Working conditions and facilities are safe and meet minimum legal requirements



Eligibility Indicators:

3.5 E Smallholders commit to providing safe working conditions and facilities (Reference 1.1. E, Annex 2).

Milestone A:

3.5 MS A Smallholders, workers, and family members complete training and aware of health and safety risks associated with farm work, (including that of pesticide use) and how to mitigate them

Milestone B:

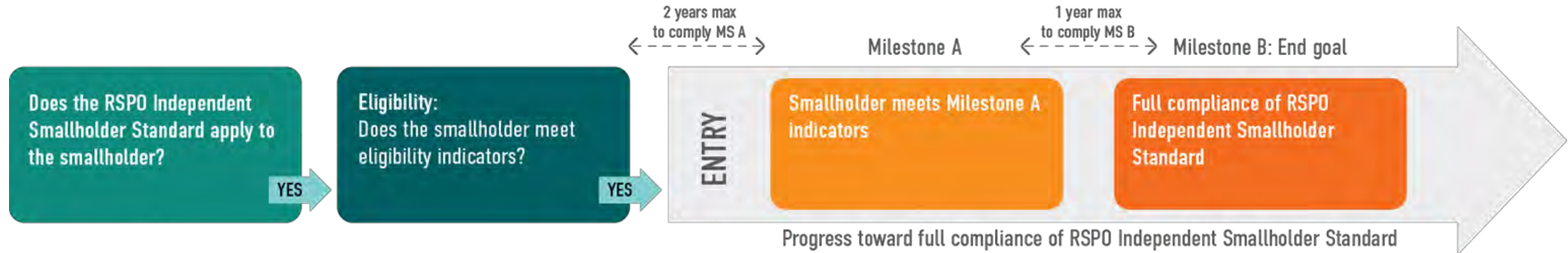
3.5 MS B Workers, including smallholder family members, have access to safe working conditions and amenities to include:

- Safe and adequate housing, where applicable,
- Access to basic first aid supplies,
- Health and safety equipment, including minimum personal protective equipment (PPE) if appropriate for the type of work,
- Adequate drinking water, and
- Access to toilets



Principle 3: Respect Human Rights, including Workers' Rights and Conditions

Criteria 3.6 There is no discrimination, harassment, or abuse on the farm.



Eligibility Indicators:

3.6 E Smallholders commit to no discrimination, harassment or abuse on the farm. (Reference 1.1. E, Annex 2)

Milestone A:

3.6 MS A Smallholders complete training of workplace discrimination, harassment and abuse and are aware of need for a safe workspace.

Milestone B:

3.6 MS B Workers freely express that they are working in a place that is free from discrimination, harassment or abuse.



Conserved, protected and enhanced ecosystems that provide for the next generation

Principle 4: Protect, conserve and enhance ecosystems and the environment

Protect the environment, conserve biodiversity, enhance ecosystems and ensure sustainable management of natural resources



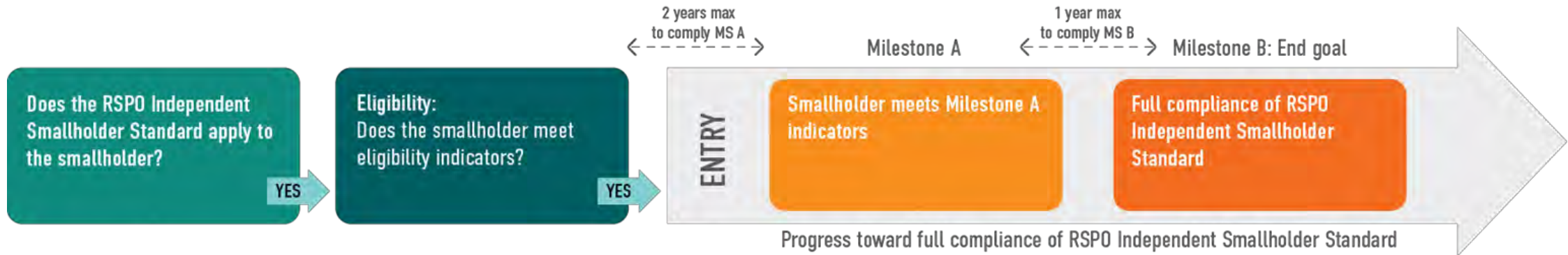
9 Criteria

26 Indicators

- HCV assessment, LUCA, NPP provisions
- Management for existing farms on peat
- No fire, manage riparian, soil protection
- IPM and pesticide use

Principle 4: Conserved, protected and enhanced ecosystems that provide for the next generation

Criteria 4.1 High Conservation Values (HCVs) on the smallholder plot or within the managed area and High Carbon Stock (HCS) forests identified after November 2019 using the simplified combined HCV-HCS approach are managed to ensure that they are maintained and/or enhanced.



Eligibility Indicators:

4.1 E Smallholders commit to protect HCVs and HCS forests through the precautionary practices approach (Reference 1.1.E, Annex 2)

Milestone A:

4.1 MS A Smallholders complete training on and are aware of:

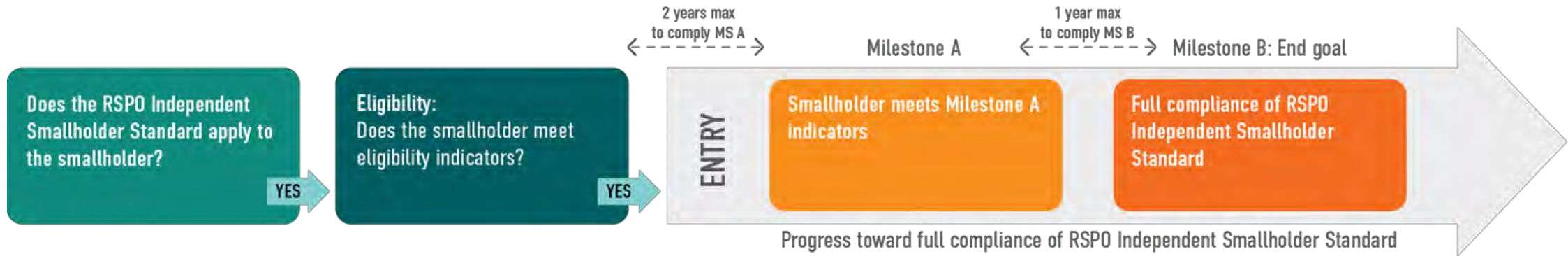
- the importance of maintaining and conserving HCVs and HCS forests;
- human-wildlife conflict and mitigation efforts
- rare, threatened and endangered species and important ecosystems

Milestone B:

4.1 MS B Smallholders implement precautionary practices and manage and maintain rare, threatened and endangered species, HCVs and HCS forests, where applicable.

Principle 4: Conserved, protected and enhanced ecosystems that provide for the next generation

Criteria 4.2 Where the existing smallholder plot has been planted and cleared after November 2005 or is on an area identified as HCS forests after November 2019 up to the eligibility period, a remediation and compensation process appropriate for smallholders based on Land Use Change Analysis (LUCA) will be applicable (Reference preamble).



Eligibility Indicators:

4.2 E Smallholders provide information on all smallholder plots converted and planted with oil palm after 2005, through use of the simplified combined HCV-HCS approach for Smallholders. (Reference 1.1E, Annex 2).

Milestone A:

4.2 MS A Group members develop a plan to identify the maximum area for on-site remediation of HCVs lost since 2005 and HCS forests lost since November 2019, through a participatory process and the plan is submitted to the RSPO

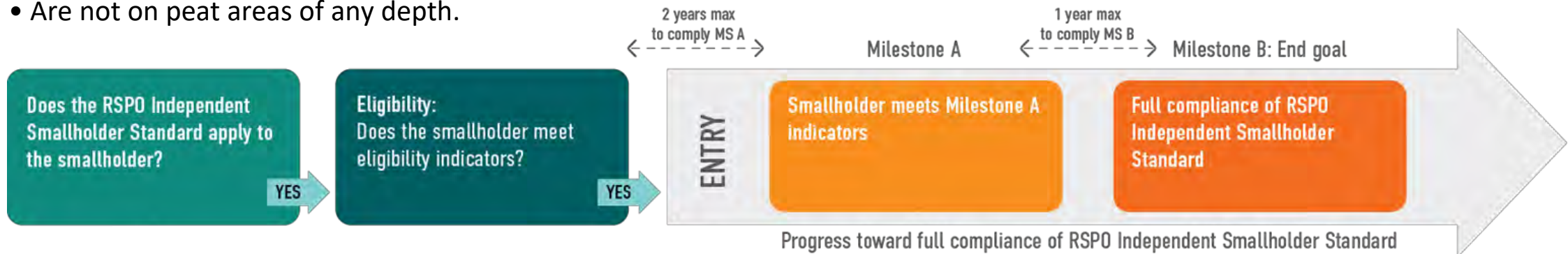
Milestone B:

4.2 MS B An RSPO-approved plan to remediate for HCVs lost since 2005 and HCS forests lost since November 2019 is implemented.

Principle 4: Conserved, protected and enhanced ecosystems that provide for the next generation

Criteria 4.3 New plantings of independent smallholders, since November 2019:

- Do not replace any HCVs
- Do not replace any HCS forests as defined by the simplified combined HCV-HCS approach
- Are not on steep slopes (more than 25 degrees or as in NI)
- Are not on peat areas of any depth.



Eligibility Indicators:

4.3 E Smallholders provide information on all planned new plantings and commit that no new plantings are on HCVs or HCS forests, on steep slopes (more than 25 degrees or as in NI) or on peat. (Reference 1.1.E, Annex 2).

Milestone A:

Do any smallholders within the group have plans for new planting of oil palm?

4.3 MS A Before any land preparation commences, group members develop an integrated management plan through a participatory approach to maintain or enhance HCVs as well as HCS forests identified after November 2019, as identified by the simplified combined HCV and HCS approach, before any land preparation commences.

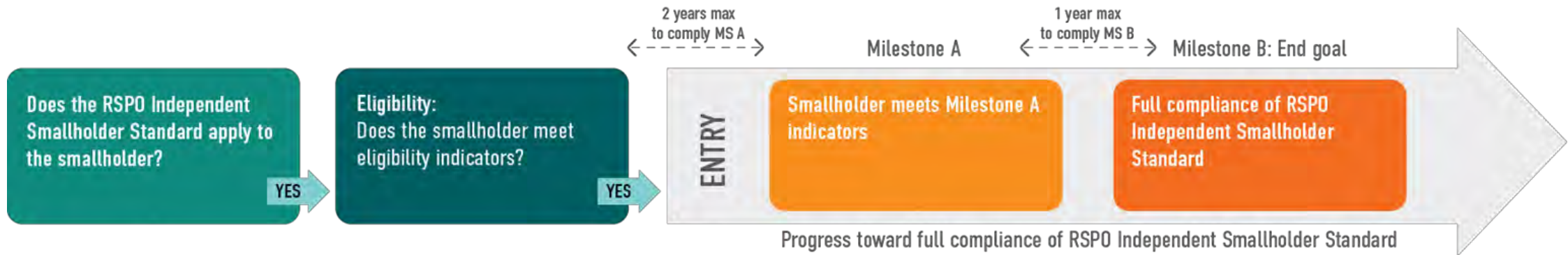
Milestone B:

Do any smallholders within the group have plans for new planting of oil palm?

4.3 MS B Smallholders have an RSPO approved integrated management plan for their planned new plantings and share a notice of this plan with those involved in the participatory mapping before any land preparation commences

Principle 4: Conserved, protected and enhanced ecosystems that provide for the next generation

Criteria 4.4 Where smallholder plots exist on peat, subsidence and degradation of peat soils is minimised by use of best management practices.



Eligibility Indicators:

4.4 E Group manager confirms presence of peat on existing plots within the group and smallholders on peat commit to using best management practices and minimizing subsidence and degradation of peat soils (Reference 1.1 E, Annex 2).

Milestone A:

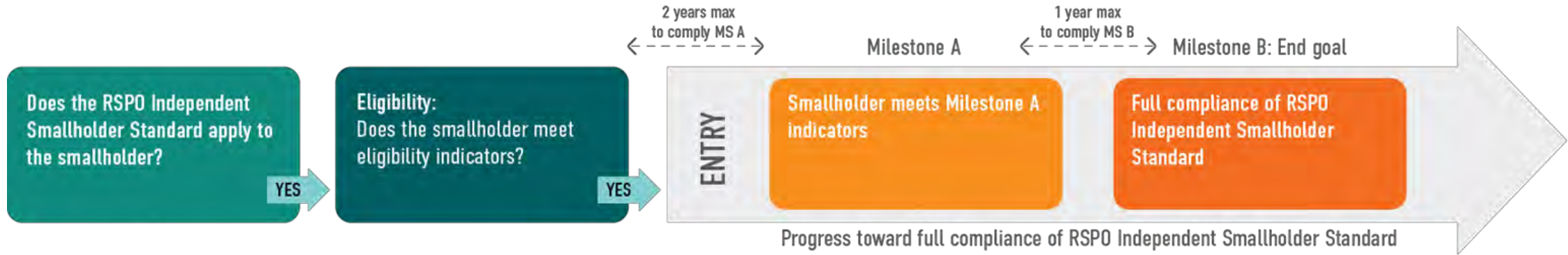
4.4 MS A Smallholders complete training on best management practices (BMPs) for peat. The group has an action plan to minimise risk of fire, to apply BMPs for plantings on peat and manage a water system in the certification unit.

Milestone B:

4.4 MS B Smallholders implement the group's action plan based on best management practices, including fire and water management and monitoring of subsidence rate for existing plantings on peat.

Principle 4: Conserved, protected and enhanced ecosystems that provide for the next generation

Criteria 4.5 Plots on peat are replanted only on areas with low risk of flooding, saline intrusion as demonstrated by a risk assessment.



Eligibility Indicators:

4.5 E Smallholders commit to provide information on all plans for replanting and commit that replanting will only be in areas with low risk of flooding and saline intrusion (Reference 1.1.E, Annex 2).

Milestone A:

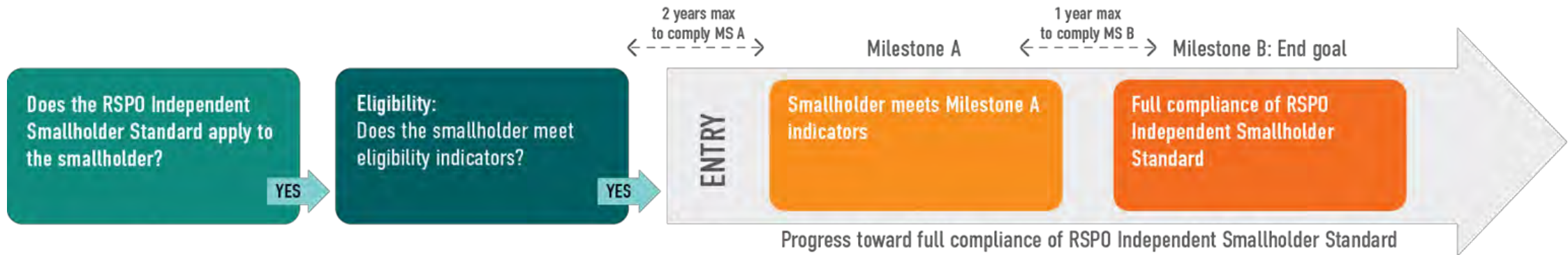
4.5 MS A Smallholders with plots on peat complete training on identification of future risks of flooding associated with subsidence and alternate land development strategies

Milestone B:

4.5 MS B Prior to replanting on peat smallholders complete a risk assessment related to flooding associated with subsidence and, where there is high risk, present a plan that includes alternate land development strategies, preferencing alternative livelihood planning.

Principle 4: Conserved, protected and enhanced ecosystems that provide for the next generation

Criteria 4.6 Fire is not used on the oil palm plot for preparing land or for pest control, nor open fire for waste management on the farm.



Eligibility Indicators:

4.6 E Smallholders commit to no burning for preparing land or for pest control, nor open fire for waste management. Group manager records evidence of prior burning of members joining the group (Reference 1.1.E, Annex 2).

Milestone A:

4.6 MS A There is no physical evidence of new burning (after eligibility) for land preparation for oil palm by smallholders. Smallholders complete training on and are aware of:

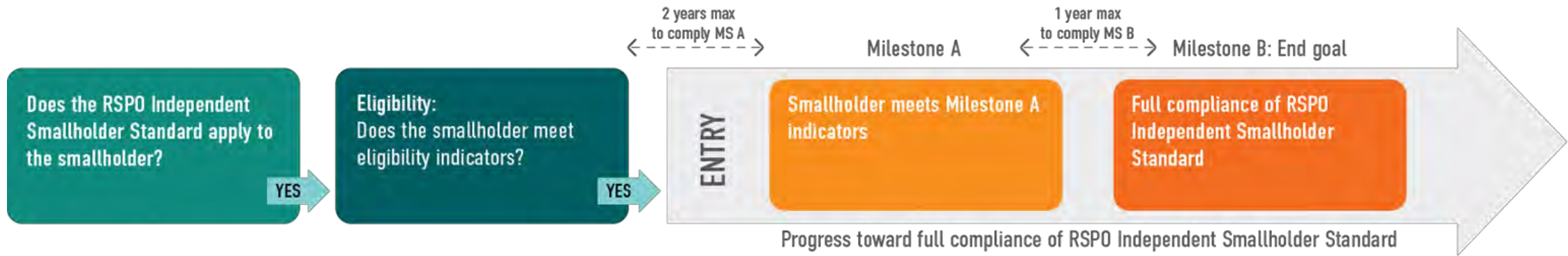
- Alternatives to fire for land preparation and farm waste management (where appropriate and possible)
- Alternatives to fire for pest control
- Fire prevention and how to respond to and manage fires in their community and village and manage fires in their community and village

Milestone B:

4.6 MS B Smallholders do not use fire or practice burning for land preparation, waste management or pest control on the farm. For pest control, fire may be used only in exceptional circumstances where no other effective measures exist and with prior approval of relevant authority.

Principle 4: Conserved, protected and enhanced ecosystems that provide for the next generation

Criteria 4.7 Riparian buffer zones are identified and managed to ensure they are maintained and/or enhanced.



Eligibility Indicators:

4.7 E Group manager identifies riparian buffer zones within the group and smallholders commit to no new plantings in riparian zones (Reference 1.1.E, Annex 2)

Milestone A:

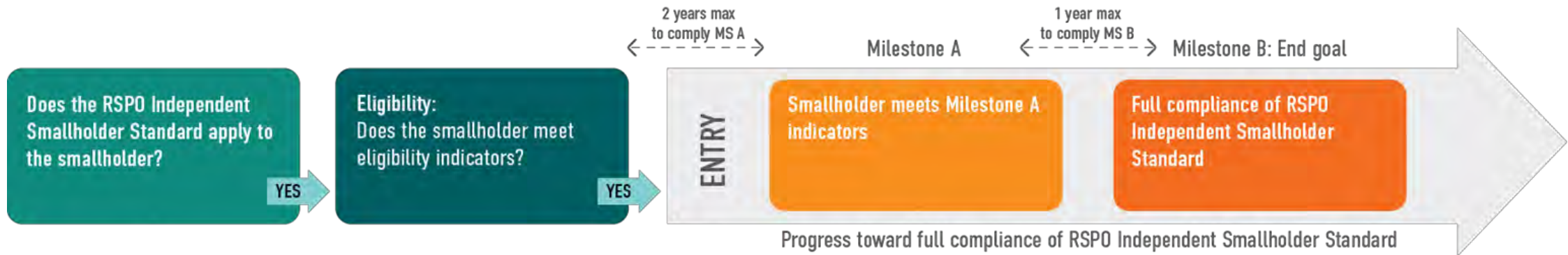
4.7 MS A Smallholders complete training on and are aware of riparian buffer zone management and the group has an action plan to maintain and/or enhance riparian buffer zones.

Milestone B:

4.7 MS B Smallholders maintain and/or enhance riparian buffer zone areas

Principle 4: Conserved, protected and enhanced ecosystems that provide for the next generation

Criteria 4.8 Pesticides are used in ways that do not endanger health of workers, family, communities or the environment.



Eligibility Indicators:

4.8 E Smallholders commit to phase out paraquat and pesticides categorized as WHO Class 1A or 1B and those listed by the Stockholm or Rotterdam Conventions by:

- Immediately stopping purchasing of these pesticides
- Phasing out use of remaining stock by MS A
- Providing information for the group manager to keep record of pesticide purchase and use.

(Reference 1.1.E, Annex 2)

Milestone A:

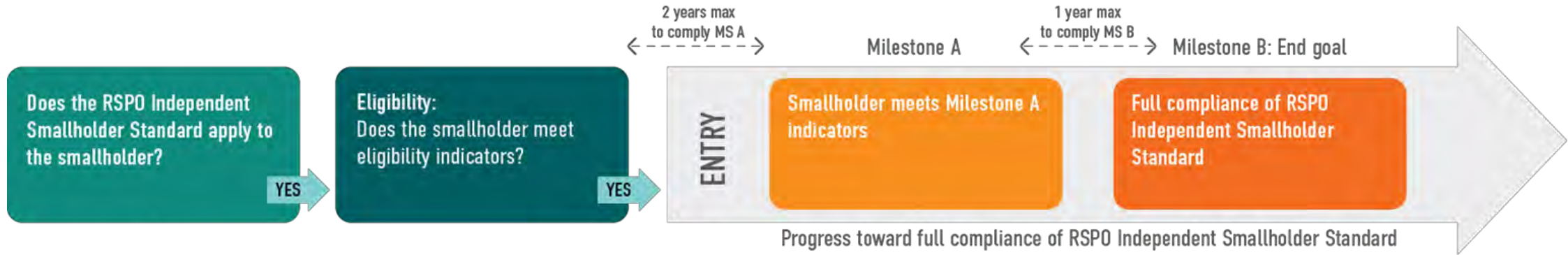
4.8 MS A Smallholders complete training on BMPs for pesticides including pesticide usage, awareness on risks for pregnant and breastfeeding women and young workers; storage and disposal; paraquat and pesticides listed by WHO Class 1A or 1B, the Stockholm or Rotterdam Conventions (and in compliance with 3.5).

Milestone B:

4.8 MS B Smallholders implement BMPs for all pesticide use, including prohibiting use of pesticides by pregnant and breastfeeding women and young workers, and exclusion of paraquat and pesticides that are categorised as WHO Class 1A or 1B, or those listed by the Stockholm or Rotterdam Conventions, unless when authorised by relevant authorities for pest outbreaks.

Principle 4: Conserved, protected and enhanced ecosystems that provide for the next generation

Criteria 4.9 Pesticides are used in ways that do not endanger health of workers, family, communities or the environment.



Eligibility Indicators:
4.9 E
NA

Milestone A:
4.9 MS A Smallholders complete training on and are aware of BMPs, including, but not limited to safe chemical use, IPM, weed and invasive species management.

Milestone B:
4.9 MS B The group and smallholders maximise use of IPM approaches to minimise use of pesticides and herbicides on their farm.

Smallholder Declaration



By signing this, I assert that:

A. I recognise the importance of sustainable production.

B. I will join a farmer group to pursue group certification of the RSPO ISH Standard and comply with the principles and their relevant criteria and indicators

C. I will provide the following information to my and group manager:

1. All land holdings
2. Location (coordinates) of all plots currently planted with oil palm
3. Information on all plots converted and planted with oil palm after 2005 (through use of the simplified combined HCV-HCS approach for Smallholders)
4. Any plots located on steep slopes
5. Any plots located on peat
6. Details on plans for replanting and expansion of oil palm
7. Any existing land disputes
8. Ownership and land use status
9. Source of farm labour.

D. I commit to the following:

1. Continue to progress along the standard and meet the required milestones for progress
2. Participate in trainings as required and actively participate in the group
3. Ensure no forced labour on farm operations and end any existing forced labour.
4. Pay national level minimum wage
5. Respect the rights of workers to file a complaint
6. Provide safe working conditions and facilities
7. No discrimination, harassment or abuse on the farm
8. Ensure no child labour on farm operations and end any existing child labour

Smallholder Declaration



By signing this, I assert that:

9. Not clearing or acquiring land from indigenous peoples, local communities, or other users without their free, prior and informed consent (FPIC), based on a simplified FPIC approach
10. Resolve any existing disputes
11. No new planting or no expansion of existing farms in primary forests, HCV areas, HCS forests, in riparian areas, or on steep slopes (more than 25 degrees or as in National Interpretation)
12. Protect HCVs and HCS forests through the precautionary practices approach
13. No new planting on peat and replanting on peat only in areas with low risk of flooding and saline intrusion
14. Use of best management practices for oil palm on peat
15. No burning for preparing land or pest control
16. Minimise and control erosion.

Smallholder Declaration



Smallholder Benefits

By adopting sustainable farming practices and complying to the RSPO ISH Standard, I understand I will have:

Knowledge on how to optimise productivity and yields by implementing the good and sustainable agricultural practices that I have been trained on;

Knowledge on how to trade and participate in the market for sustainable palm oil and manage my farm professionally and become financially sustainable;

Structure as well as agency to be able to take the necessary steps towards a sustainable livelihood for my family and my community.

I recognise I will have access to technical support and financial support as well as access to trade in the market for sustainable palm oil offered by the RSPO and its members, to enable me to realise the benefits of sustainable farming practices.



Questions & Answers

RSPO RISS 2019 Auditors Training (4.8.6 f) 2023

Ensuring Compliance on RaCP for ISH

Wan Muqtadir
Head, Integrity



www.rspo.org

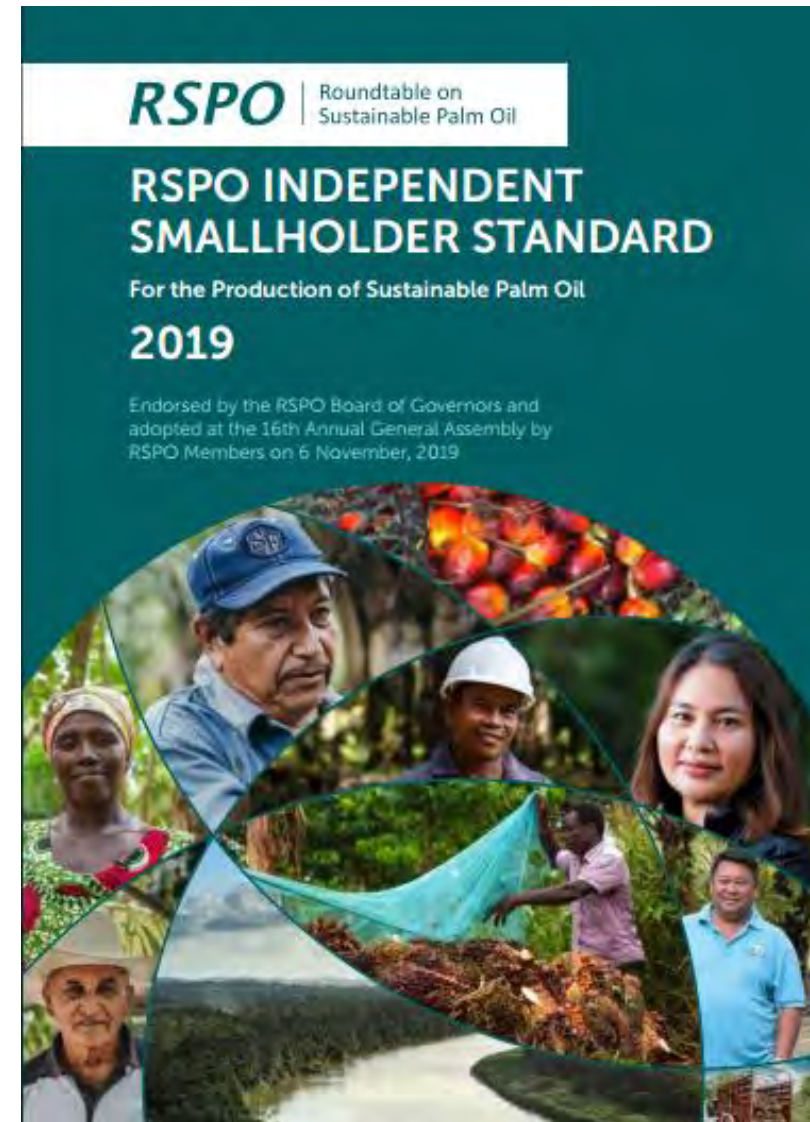
Remediation and Compensation Procedure (RaCP) for Independent Smallholders

Presentation to
Certification Bodies

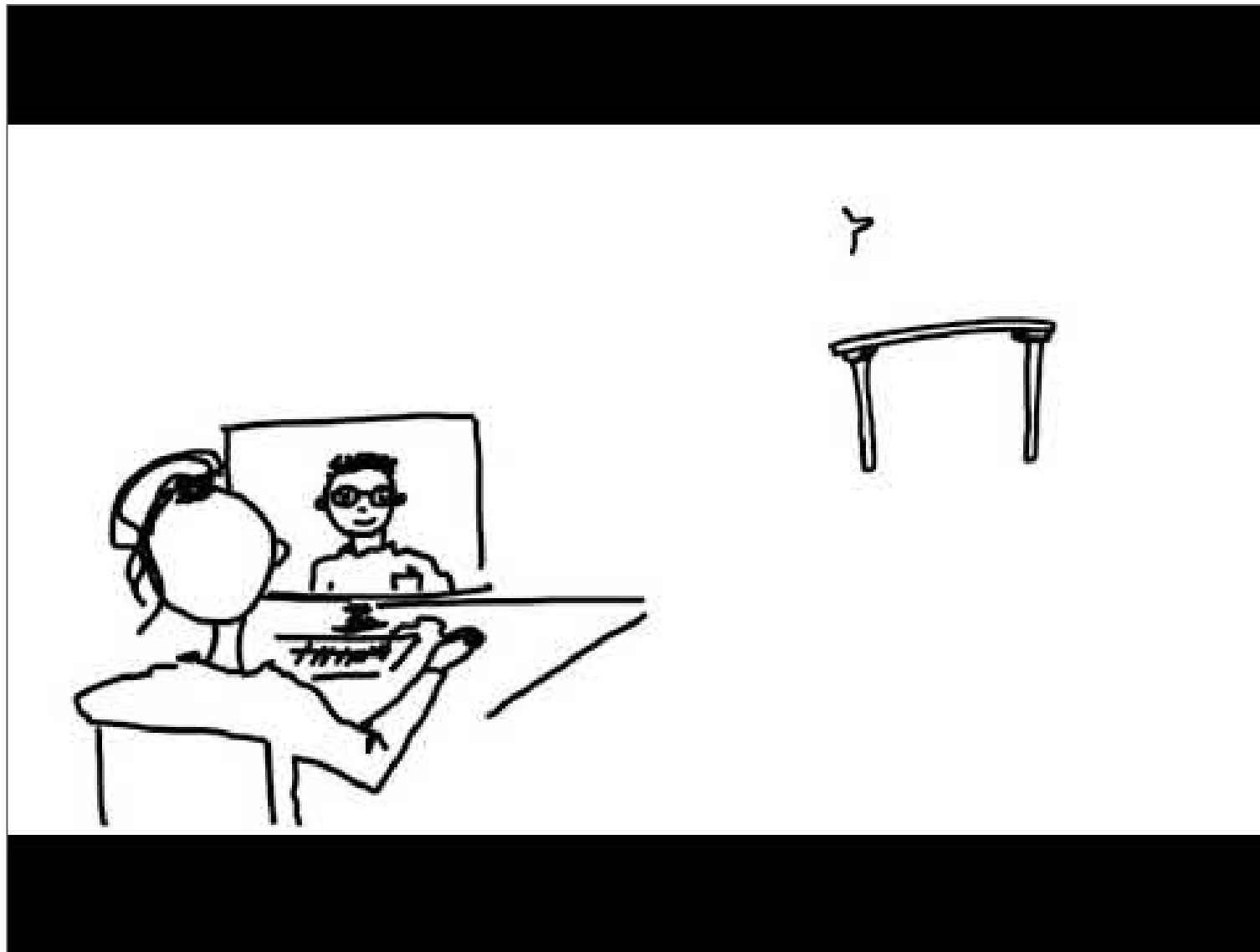
Bogota, Colombia 2023



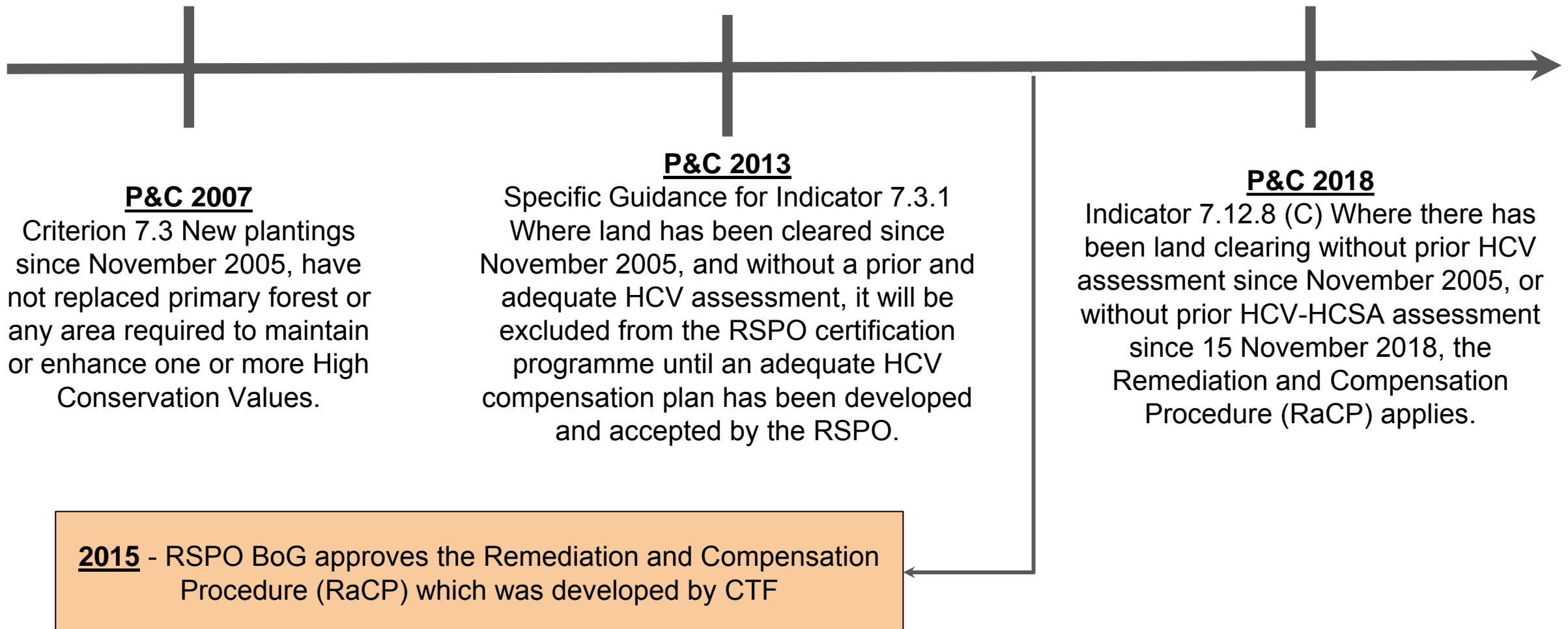
1. What is RaCP?
2. Requirements by the RSPO
3. Process Flow
4. Common errors in submission



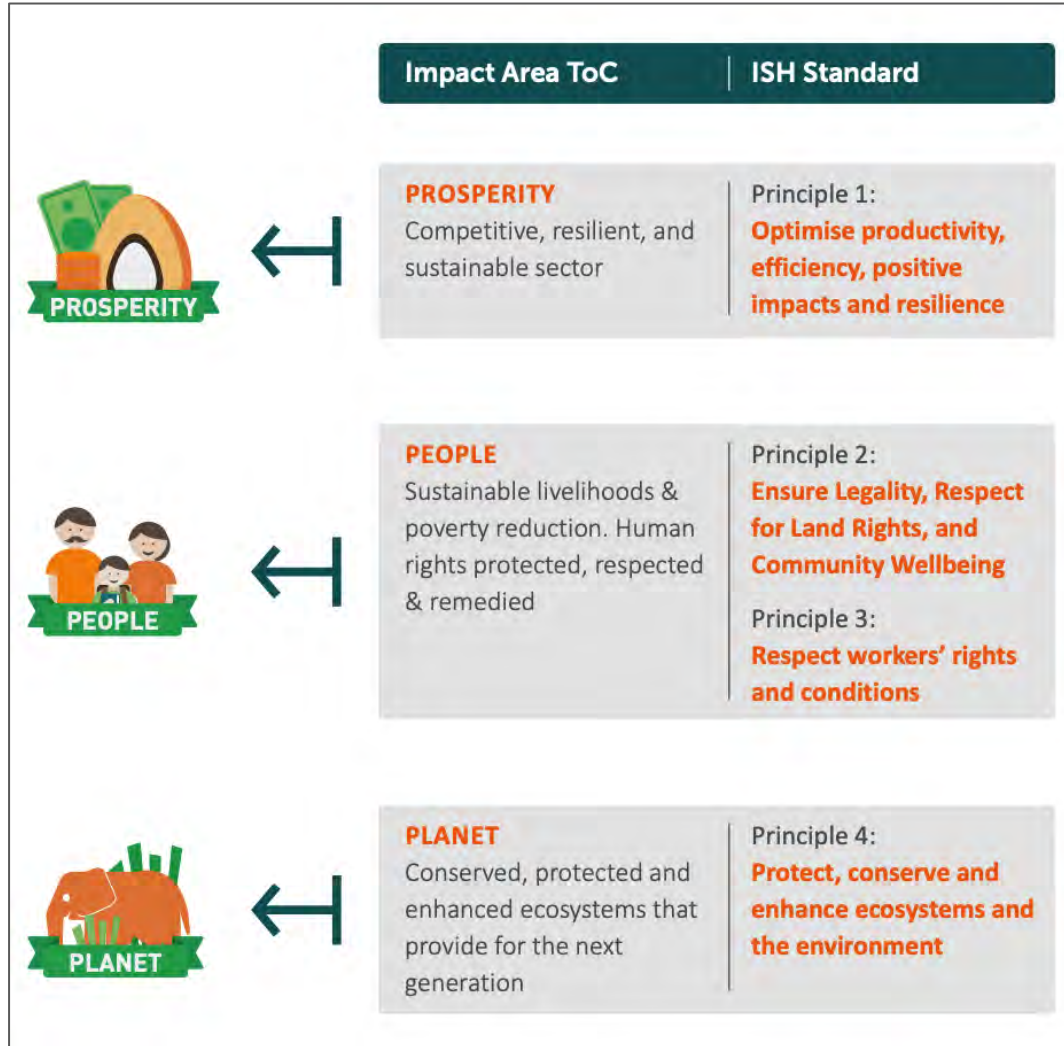
What is RaCP and why it is important



History of Remediation and Compensation



RSPO Impact Area and ISH Standard



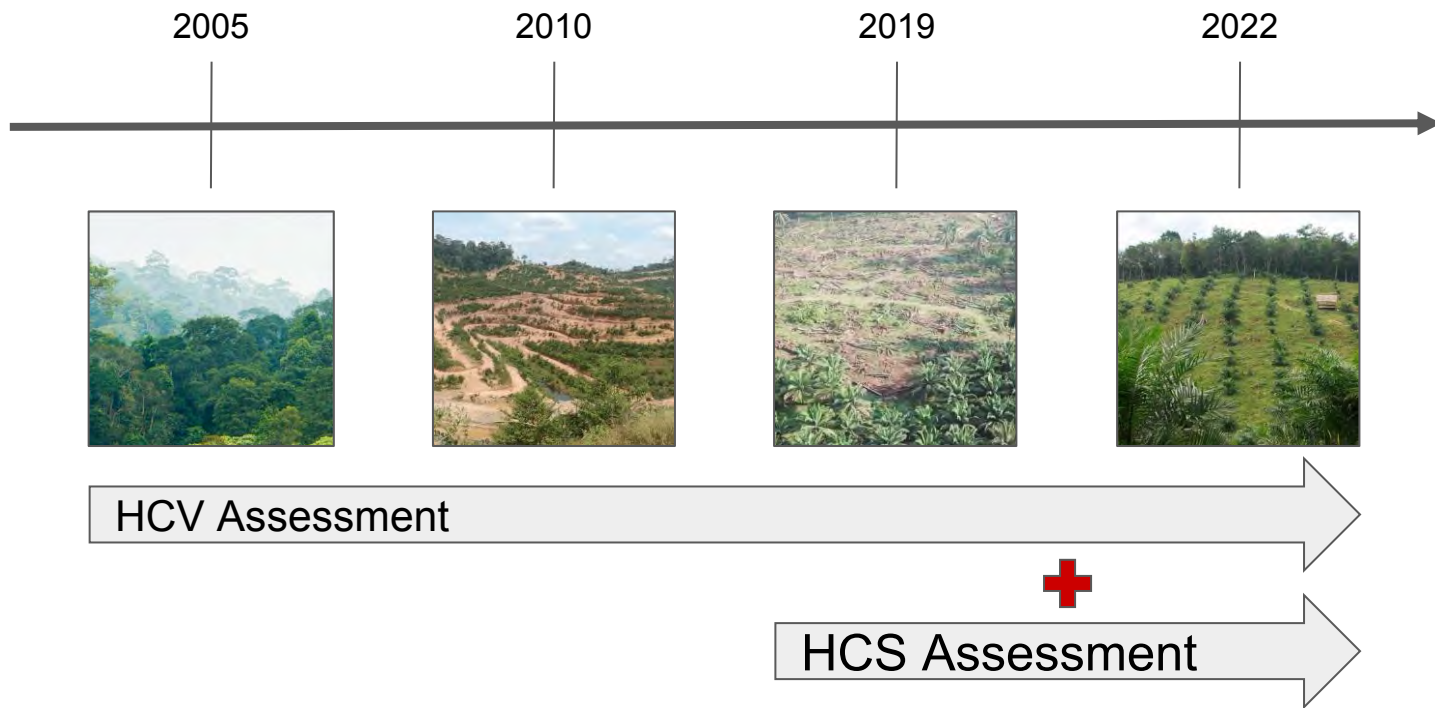
RSPO INDEPENDENT SMALLHOLDER STANDARD (2019)

Remediation and Compensation Procedure (RaCP) Remediation and compensation are required for any clearance since November 2005 without prior HCV assessment (see criterion 4.2) and any clearance since November 2019 without prior HCS assessment.

The requirements as outlined in the RaCP (2015) is **not fully applicable for independent smallholders**. For independent smallholders, this RSPO ISH Standard is focused on developing an appropriate RaCP mechanism such as on-site remediation (with funding mechanisms to be determined) as this is contextually appropriate to the scale of independent smallholder production and enables independent smallholders to maximise positive environmental impact on-site. **The requirement means that quantified liability is disclosed and assessed through a land use change analysis (LUCA) supported by the RSPO Secretariat.**

RSPO Requirements on RaCP for ISH

Remediation and compensation are required for **any clearance since November 2005 without prior HCV assessment** (see criterion 4.2) and **any clearance since November 2019 without prior HCS assessment**



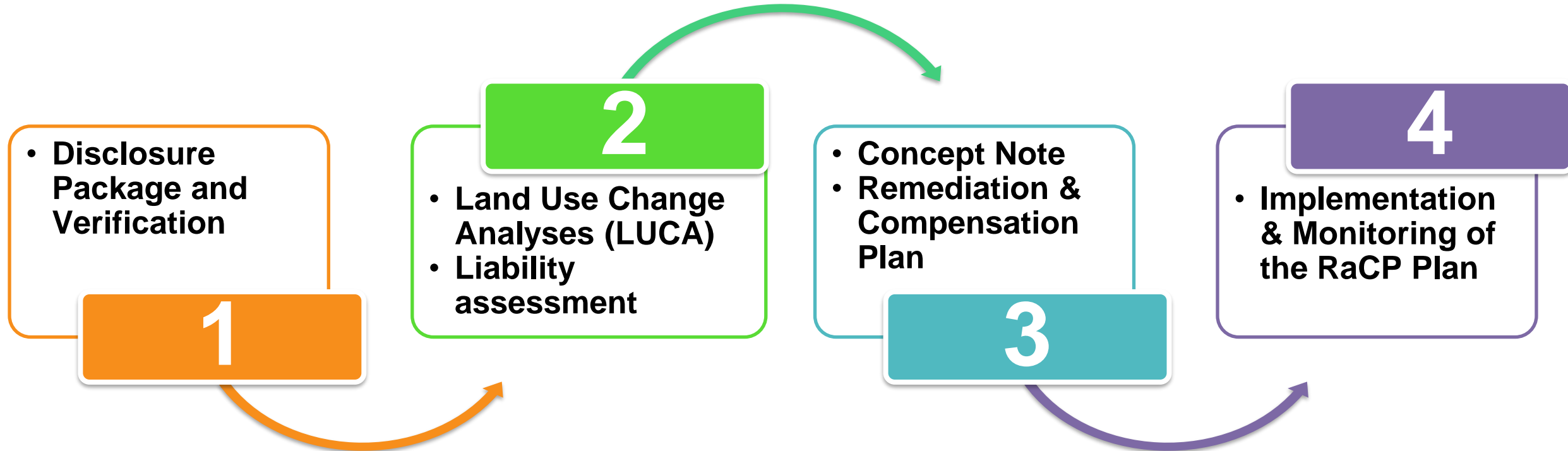
| | | | |
|--|--|---|---|
| <p>4.2 Where the existing smallholder plot has been planted and cleared after November 2005 or is on an area identified as HCS forest after November 2019 up to the eligibility period, a RaCP process appropriate for smallholders based on Land Use Change Analysis (LUCA) will be applicable (reference preamble).</p> | <p>4.2 E Smallholders provide information on all smallholder plots converted and planted with oil palm after 2005, through use of the simplified combined HCV-HCS approach for Smallholders (reference 1.1 E, Annex 2).</p> | <p>4.2 MS A Group members develop a plan to identify the maximum area for on-site remediation of HCVs lost since 2005 and HCS forests lost since November 2019, through a participatory process and the plan is submitted to RSPO.</p> | <p>4.2 MS B An RSPO approved plan to remediate HCVs lost since 2005 and HCS forests lost since November 2019 is implemented.</p> |
|--|--|---|---|

RSPO Requirements on RaCP for ISH (cont.)

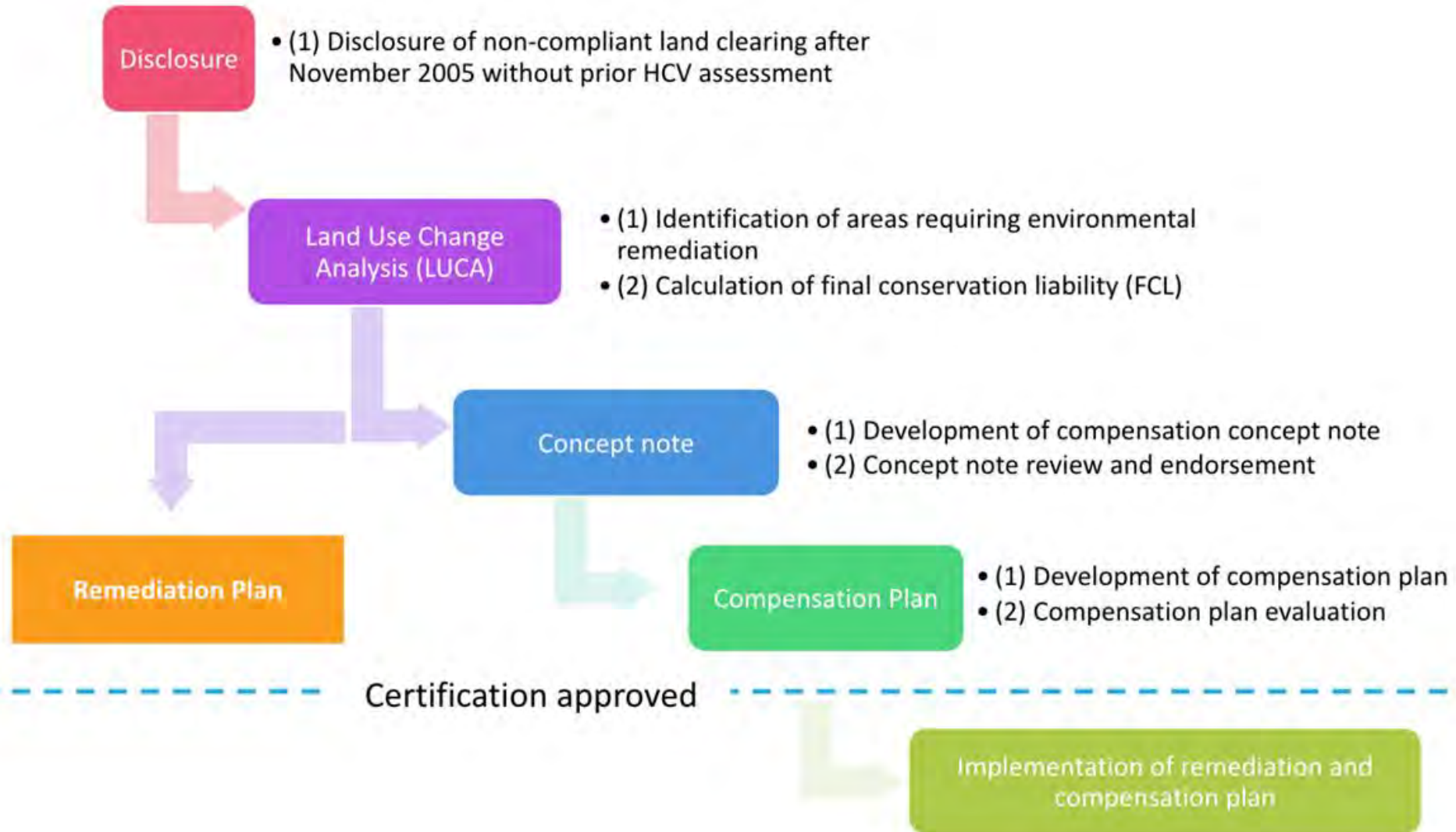
| Indicator | Guidance for Group Manager | Guidance for Individual Member |
|---|---|---|
| <p>Criterion 4.2 Where the existing smallholder plot has been planted and cleared after November 2005 or is on an area identified as HCS forests after November 2019 up to the eligibility period, a RaCP appropriate for smallholders based on Land Use Change Analysis (LUCA) will be applicable (reference preamble).</p> | | |
| 4.2 E | <ul style="list-style-type: none"> Collect and record information from members on conversion/start date of their oil palm plantings. Verify where possible Collect and record information on each plot where there was land conversion after 2005 and aggregate that information for all members in the group | <ul style="list-style-type: none"> As per 2.1 E Provide history of plot: landscape prior to conversion, start date of land clearing for palm cultivation |
| 4.2 MS A | <ul style="list-style-type: none"> Incorporate participatory process into group training plan and facilitate training Support understanding of group members of this criterion and coordinate the participatory process, following guidance provided by RSPO Secretariat Ensure FPIC process is carried out for site identification and confirmation | <ul style="list-style-type: none"> Participate and complete training Support and participate in mapping with group for identifying sites for remediation Ensure FPIC process is carried out for site identification and confirmation |

| Indicator | Guidance for Group Manager | Guidance for Individual Member |
|---|--|---|
| <p>Criterion 4.2 Where the existing smallholder plot has been planted and cleared after November 2005 or is on an area identified as HCS forests after November 2019 up to the eligibility period, a RaCP appropriate for smallholders based on Land Use Change Analysis (LUCA) will be applicable (reference preamble).</p> | | |
| 4.2 MS A | <ul style="list-style-type: none"> Facilitate the participatory process for group for consensus on onsite remediation and development of plan All members must participate in the consensus on onsite remediation Refer to RaCP procedure in the RSPO website | |
| 4.2 MS B | <ul style="list-style-type: none"> Coordinate development and implementation of plan for onsite remediation with the group Facilitate collaboration with external experts and stakeholders as required Refer to RaCP procedure for ISH in the RSPO website | <ul style="list-style-type: none"> Support development and ensure implementation of plan |

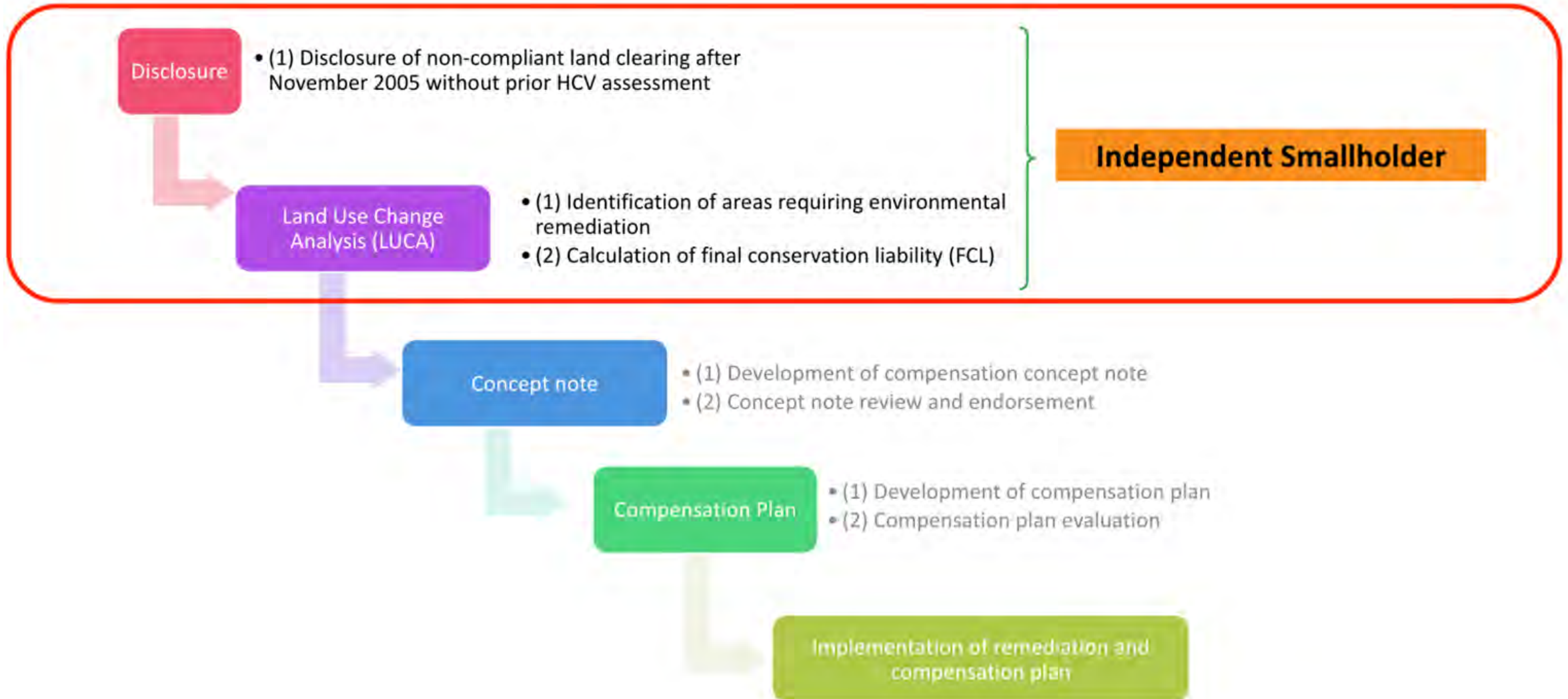
Key Requirements in RaCP



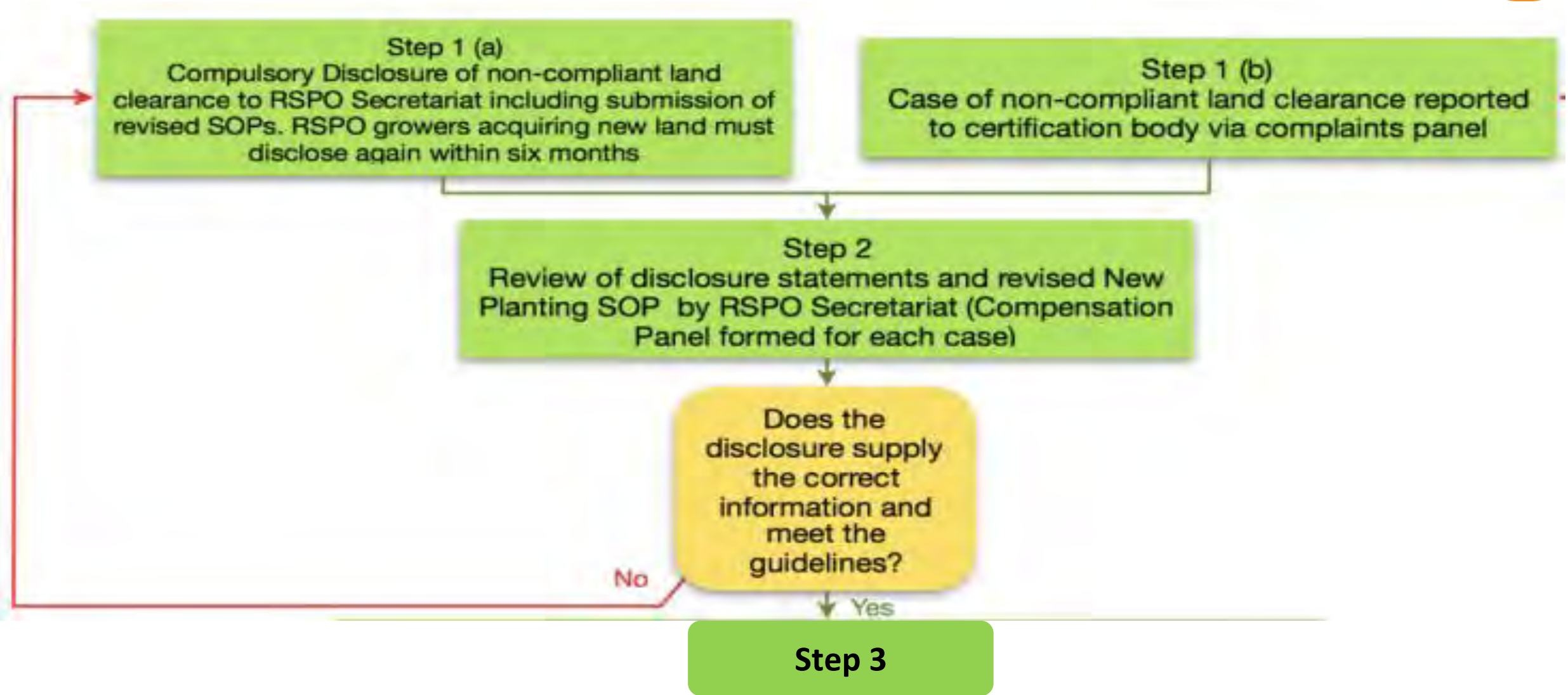
Process Overview (Growers)



Process Overview (ISH)

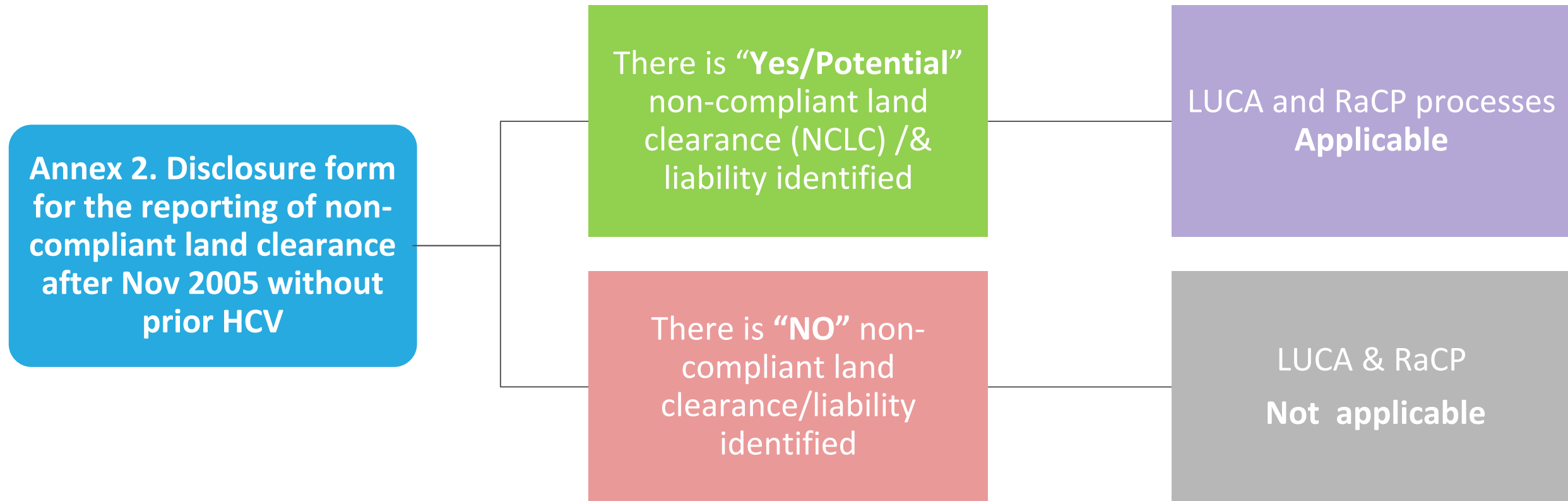


Disclosure

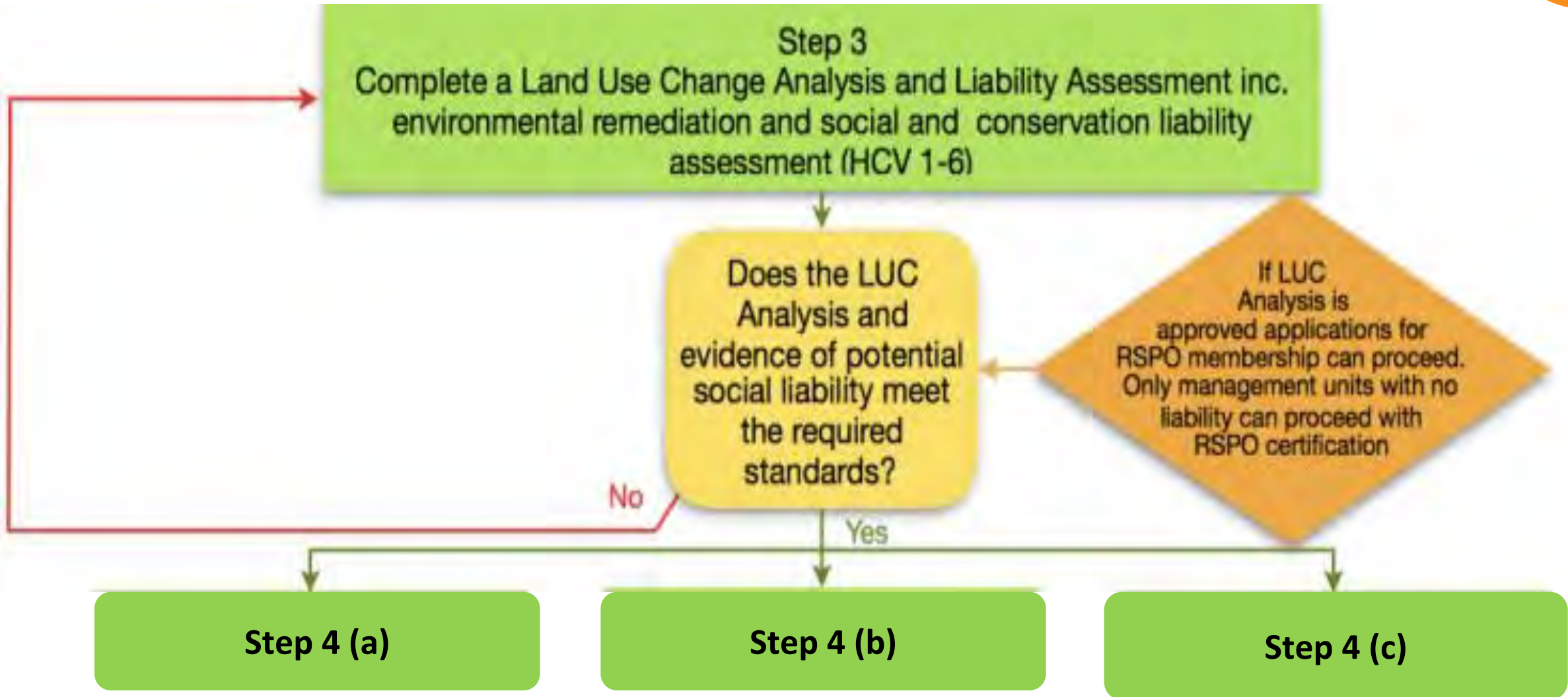


What will happen after Disclosure?

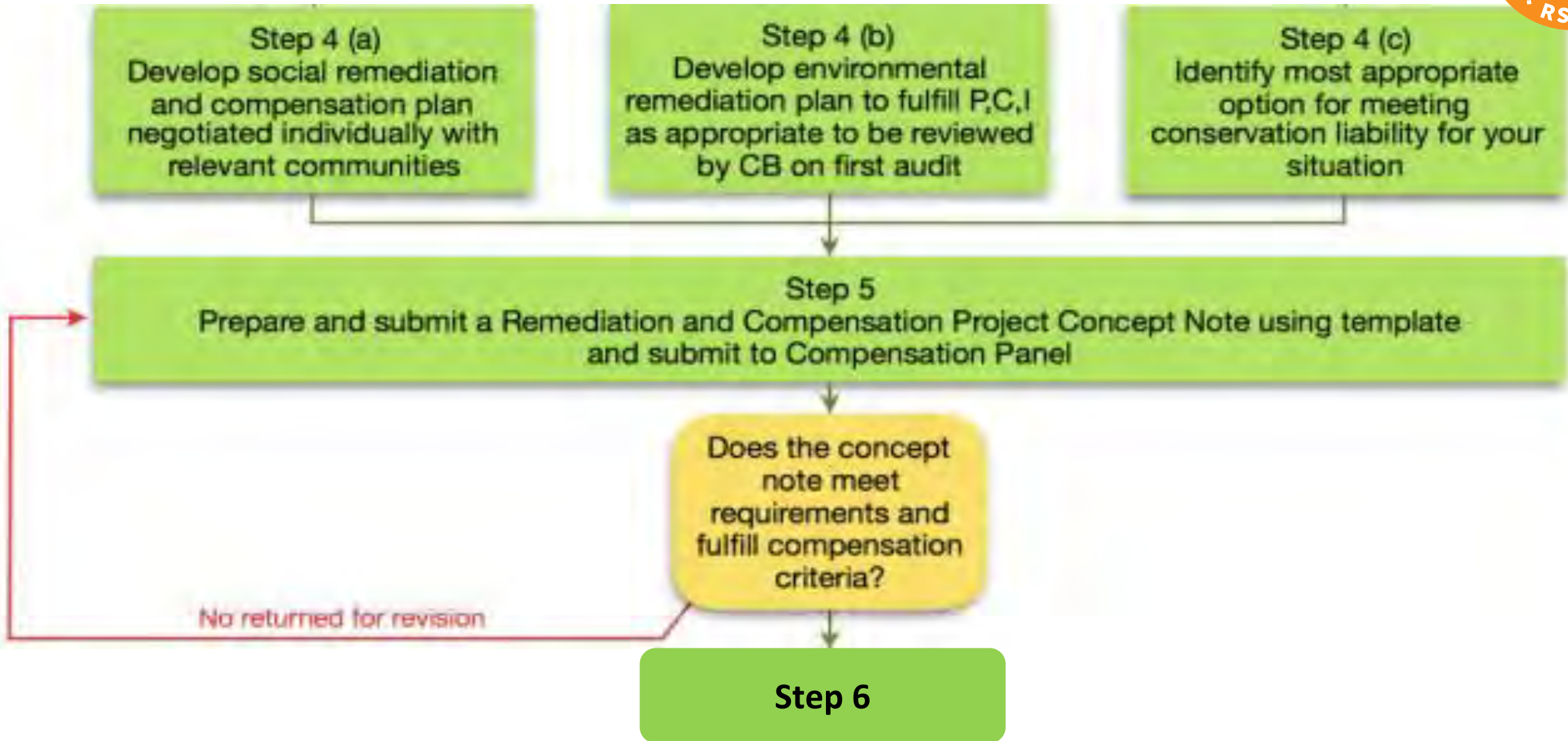
Findings of Disclosure Review



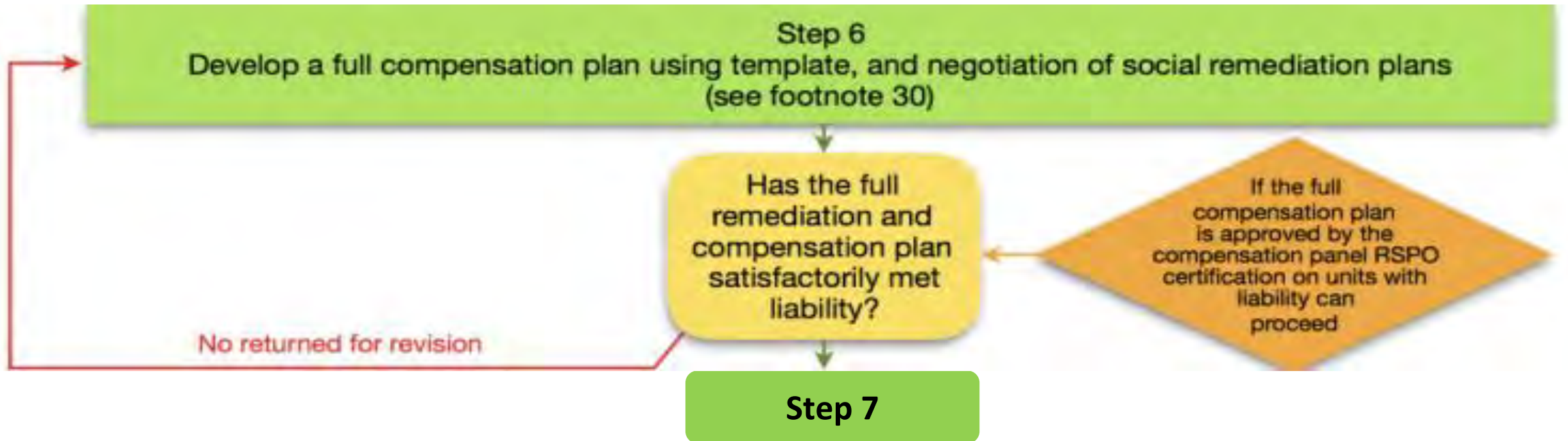
Liability Assessment



Concept Note



Remediation and Compensation Plans



Implementation and Monitoring

Step 1 (b)





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RSPO Roundtable on Sustainable Palm Oil WHY SUSTAINABLE PALM OIL? WHO WE ARE OUR IMPACT GET INVOLVED

Resources Remediation and Compensation Procedures (RaCP) Remediation Compensation Procedure

REMEDIATION COMPENSATION PROCEDURE

| TITLE | FILETYPE | FILE(S) | LANGUAGE | MODIFIED |
|--|----------|---------|----------|-------------|
| Annex 1 History and Rationale of the RaCP | pdf | | en | 27 Nov 2018 |
| Annex 2 Disclosure of non-compliant land clearing | xlsx | | en | 27 Nov 2018 |
| Annex 3 LUCA Guidance Document | pdf | | en | 27 Nov 2018 |
| Annex 3a LUCA Reporting Template | docx | | en | 28 Nov 2018 |
| Annex 4 LUCA Reporting Checklist Table | docx | | en | 28 Nov 2018 |
| Annex 5 Reporting Template for LUCC | xlsx | | en | 27 Nov 2018 |
| Annex 6 Project Criteria | pdf | | en | 27 Nov 2018 |
| Annex 7 Compensation Concept Note Format | docx | | en | 28 Nov 2018 |
| Annex 8 Remediation and Compensation Plan Template | pdf | | en | 27 Nov 2018 |
| Annex 9 Monitoring Report Template | docx | | en | 24 Feb 2020 |
| Disclosure Template for Areas Cleared without Prior HCV Assessment since November 2005 | xlsx | | en | 24 Feb 2020 |
| Final Guidance on Social HCVs Identification | pdf | | en | 27 Nov 2018 |
| RSPO Remediation and Compensation Procedure | pdf | | en | 27 Nov 2018 |

Filter

← Remediation and Compensation Procedures (RaCP)

Compensation Procedures Outreach Program Presentation Materials
Public Consultation On RACP Summary Reports Presentation Materials
Remediation Compensation Procedure

ISH Disclosure Form

Reporting Template for Disclosure of Areas Cleared without Prior HCV Assessment since November 2005 (Independent Smallholders)

1. Company Information (to be filled by Group Manager)

| | |
|--|------------|
| Name of RPSO Smallholder Group | |
| RSPO membership number* | |
| Date of joining RSPO* | DD/MM/YYYY |
| Date of first RSPO certification* | DD/MM/YYYY |
| Total certified area (Ha)* | |
| Total area of land planted with oil palm | 0,00 |
| Total number of smallholders | |
| Date of HCV assessment completed | |
| Name of Group Manager | |
| Country | Colombia |
| Province and district | |
| Maximum threshold for total area planted with oil palm by an independent smallholder | 50 |

New members will leave these fields blank.

Farmer ID (Column D): To use an appropriate ID such as existing ICS ID for group members

Rights (Column E): Legal or customary rights to use the land in accordance with national or local laws, and customary practices.

*if applicable

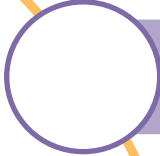
2. Summary of Non Compliant Land Clearance (to be filled by individual smallholders)

| No. | Name of Farmer | Farmer ID | Total size of land managed or land with rights to cultivate on | Total Area Planted with Oil Palm | Status of land use in November 2005 (land use can be more than one) *please use the drop down list | Remarks | Are there any areas planted with oil palm after Nov 2005? If "Yes", proceed to Box A If "No", proceed to Box B *please use the drop down list | BOX A: Please state the planting month and year | BOX B: Please state the month and year when area was first planted with oil palm. | Please state the month and year of oil palm replantation (If applicable) | Is the farmer new to the group or an existing with addition of plot(s)? | |
|-----|----------------|-----------|--|----------------------------------|---|---|--|---|---|--|---|-------------------------------|
| 1 | Alpha 1 | ZA001 | 2,5 | 2,5 | Oil Palm | N/A | No | | Aug-97 | Aug-17 | New farmer | |
| 2 | Alpha 2 | ZA001 | 10 | 10 | Forest | Others (please specify in 'remarks' column) | Savannah | Yes | Jan 2010, Feb 2014 | N/A | New farmer | |
| 3 | Beta | ZA002 | 8 | 7,5 | Rubber | Forest | Rice | N/A | Yes | Jan 2009, Dec 2011, March 2014 | N/A | Existing farmer with new plot |

Common Errors - CBs



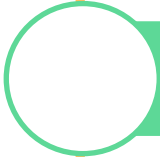
Key Things to Note



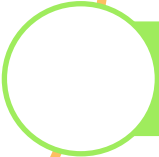
Land with liability - unsure in sampling factors



Incorrect Shapefile, Missing Shapefiles, Overlapping Shapefile



HCV assessment incomplete/simplified, NO Maps or visual evidence



Land Use status before it turns into oil palm is not clear. Please indicate if its monoculture or agroforest



Remediation area size consistency with LUCA liability results.

Sample Audit Report

| Criterion 4.2: Where the existing smallholder plot has been planted and cleared after November 2005 or is on an area identified of HCS forests after November 2019 up to the eligibility period, a RaCP process appropriate for smallholders based on Land Use Change Analysis (LUCA) will be applicable (reference pre-amble), | | | | |
|--|---|--|---|---------------------------|
| Eligibility (E) | E Smallholders provide information on all smallholder plots converted and planted with oil palm after 2005, through use of the simplified combined HCV-HCS approach for Smallholders. (Reference 1.1E, Annex 2). | Documents reviewed shows smallholder farms under the scope of this audit were all planted before November 2005. | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> | C NC C w/Obs N/A |
| Milestone A (MS A) | MS A Group manager develop a plan to identify the maximum area for on-site remediation of HCVs lost since 2005 and HCS forests lost since November 2019, through a participatory process and the plan is submitted to RSPO. | Not applicable Documents reviewed shows smallholder farms under the scope of this audit were all planted before November 2005. | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> | C NC C w/Obs N/A |
| Milestone B (MS B) | MS B An RSPO-approved plan to remediate for HCVs lost since 2005 and HCS forests lost since November 2019 is implemented. | Not applicable Documents reviewed shows smallholder farms under the scope of this audit were all planted before November 2005. | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> | C NC C w/Obs N/A |

Sample Audit Report

Criteria 4.2 Where the existing smallholder plot has been planted and cleared after November 2005 or is on an area identified as HCS forests after November 2019 up to the eligibility period, a remediation and compensation process appropriate for smallholders based on Land Use Change Analysis (LUCA) will be applicable (Reference preamble).

Indicator 4.2.E (R)
Smallholders provide information on all smallholder plots converted and planted with oil palm after November 2005, through use of the simplified combined HCV-HCS approach for Smallholders. (Reference 1.1E, Annex 2).

Yes
 No
 N.A

Findings :
Map and coordinates of ISH members were available and provided by Group Manager. Simplified Combined HCV-HCS approach has been used to identify a proper land use change analysis. According to LUCA report dated 29 June 2022, summary of land use change for ISH areas that covers about 453.04 ha is summarized in the following Table:

| Period | Land Use Change |
|---------------------|--|
| 2005 – 2007 | The smallholder area was dominated by fruit trees in 2005, with the other land uses being rice field and rubber plantation. About 22.63 ha was converted to oil palm from fruit trees and rubber in this period. |
| 2007 – 2009 | There was 115.75 ha converted to oil palm during this period, 110.02 ha from fruit trees areas, 1.61 ha from rice fields and 4.12 ha from rubber plantations. |
| Jan 2010 – May 2014 | All the remaining ISH plots were converted this period, 265.78 ha from fruit trees areas, 14.04 ha from rice fields and 34.84 ha from rubber plantations. |
| May 2014 – Feb 2017 | No further conversion was noted during this period. |

NCR
No :

Indicator 4.2.MS-A (R)
Group members develop a plan to identify the maximum area for on-site remediation of HCVs lost since November 2005 and HCS forests lost since November 2019, through a participatory process and the plan is submitted to the RSPO

Yes
 No
 N.A

Findings :
Communication with RSPO regarding LUCA, HCV and HCS regarding disclosure review had started since December 2021. As mentioned by GIS Executive GIS Unit of RSPO email dated

NCR
No :

30 June 2022, it was known that LUCA report for 279 plots of oil palm outgrower association (OPOA) dated 29 June 2022 is summarized as follows:

- Status: pass.
- Final conservation liability: 0 ha.
- Environmental remediation area: 0 ha.

Based on explanation above, it was known that there is zero liability in OPOA operational areas.

Indicator 4.2.MS-B (O)
An RSPO-approved plan to remediate for HCVs lost since November 2005 and HCS forests lost since November 2019 is implemented.

Yes
 No
 N.A

Findings :
As mentioned in Indicator 4.2. MS-A, it was known that there is zero liability for OPOA operational areas. Thus, this indicator is not applicable.

NCR
No :

RSPO CB INTERPRETATION FORUM

23 - 25 May 2023

We will be back in

1:30:00



www.rspo.org



RSPO RISS 2019 Auditors Training (4.8.6 f) 2023

**HCV Assessment Process for ISH,
Simplified HCV Tools**

Farkhani Noor
Manager, GIS



www.rspo.org

Content



1. Introduction to HCV and the simplified HCV approach
2. Overview structure of the simplified HCV approach
3. Procedure for the simplified HCV approach – New Plantings
4. Procedure for the simplified HCV approach – Existing Plantings
5. Resources



Introduction to HCV & The Simplified HCV Approach

Introduction



➤ **What is High Conservation Value (HCV)?**

Biological, ecological, social or cultural value of outstanding significance or critical importance

➤ **What is the HCV approach?**

1. Process to identify important environmental, social and cultural values (HCVs 1, 2, 3, 4 5, and 6) in landscapes (**Identification**)
2. Protect, manage and/or enhance for long term conservation of those values (**Management & Monitoring**)

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The 6 HCV Categories



HCV 2 Landscape-level ecosystems and mosaics

Large landscape-level ecosystems and ecosystem mosaics that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.

HCV 1 Species diversity

Concentrations of biological diversity including endemic species, and rare, threatened or endangered species (RTE), that are significant at global, regional or national levels.

HCV 6 Cultural values

Sites, resources, habitats and landscapes of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities or indigenous peoples, identified through engagement with these local communities or indigenous peoples.



HCV 3 Ecosystems and habitats

Rare, threatened, or endangered ecosystems (RTE), habitats or refugia.

HCV 4 Ecosystem services

Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.

HCV 5 Community needs

Sites and resources fundamental for satisfying the basic necessities of local communities or indigenous peoples (for livelihoods, health, nutrition, water, etc.), identified through engagement with these communities or indigenous peoples.

Simplified HCV approach for smallholders



- The RSPO requires growers to identify, maintain and enhance HCVs in their operations
- Simplified HCV approach was developed to help smallholders to implement these requirements
- Applicable for:
 - Smallholders pursuing RSPO Independent Smallholder Standard (RISS) 2019
 - Smallholders applying the requirements of RSPO New Planting Procedure (NPP) 2021
- Developed on the basis of the probabilities of HCVs being present, and impacted on
 - Differ between **existing plantations** and **new planting**
 - **Existing plantation** considered to have lower risk of HCVs being impacted
 - Areas allocated for proposed **new planting**, especially forested areas, have higher risk of HCVs being present and thereby being impacted

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Simplified HCV approach for smallholders



- There are additional external requirements based on the HCV risk level (for new plantings):
 - **low risk level** - no additional requirement
 - **medium risk level** & **high risk level** - assessment by an Assessor Licensing Scheme (ALS)-licensed assessor
- Tools:
 - A specialized HCV for smallholders smartphone app, and a web dashboard to generate reports
 - Offline report templates to collect and aggregate data on farmer group members and their plots



Key phases of the Simplified HCV Approach

Phase 1 and 2



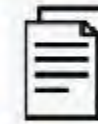
Phase 1:

Initial communication to inform members of HCV requirements (done at a group meeting)

Phase 2:

Field visit to register farmers and determine if the procedures for existing or new plantings apply:

- Visit each member and ask which scenarios apply
- Use app to register farmer and collect basic information



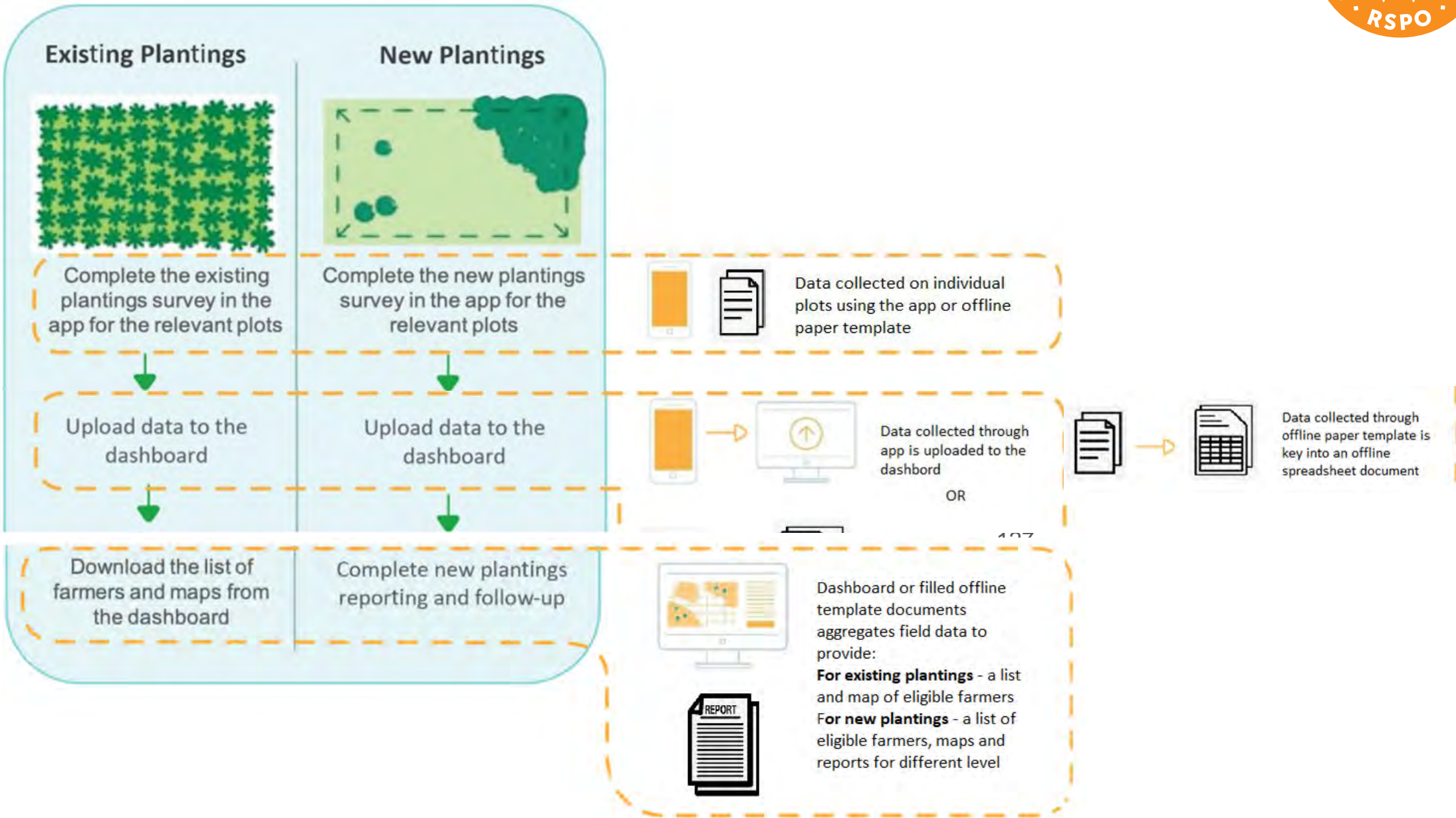
App and offline paper template can be used to collect basic member information



Phase 3



Phase 3:



Phase 4



Existing Plantings

New Plantings

Phase 4:

Implement existing plantings precautionary practices procedures

Manage HCVs using precautionary practices

List of precautionary practices

1. No use of pesticides or fertilisers (other than mulch/ harvest residues) close to (less than 20 m from) rivers, ponds and lakes.
2. No dumping of waste or sewage into rivers, ponds or lakes.
3. Maintain vegetation cover close to rivers, ponds and lakes at all times (no bare soil).
4. No draining of natural wetlands or peat areas.
5. Maintain vegetation on steep slopes.
6. Respect the traditional use/ access rights of others.
7. Do not hunt or kill focal species.
8. Do not buy, handle or eat bush meat of focal species.
9. Do not collect or trap focal species or use poison that may affect them.
10. Use human-wildlife conflict resolution measures as agreed upon with group manager.
11. Do not block access (beyond agreed measures to minimise human-wildlife conflicts) or mobility of wild animals (beyond necessary fencing of livestock).
12. Do not clear land for any new plantings without prior agreement of the group manager.



Procedure for the Simplified HCV Approach - New Plantings [Highlights]

Simplified HCV Approach - New Plantings



Step 1: Register farmer and collect general information on the plot

- I. Map boundaries and size of area proposed for development
- II. Collect information on plot ownership status
- III. Identify current land use of planned expansion plot



Simplified HCV Approach - New Plantings



Step 2: Complete the new plantings field surveys to assess the presence of HCVs



HCV 1-3

- Use HCV 1-3 probability map to determine HCV probability output
- Map and take 'ground-truthing' photos the 'No-Go' areas (e.g. forest/ natural vegetation or peat)



HCV 4

- Collect information through conversation with farmers and site survey
- Determine the presence of potential 'No-Go' areas related to HCV 4 by answering a list of questions on:
 - Buffer zones around rivers and waterbodies
 - Wetlands and peatlands
 - Slopes with a gradient of 25 degrees or greater



HCV 5-6

- Collect information through conversation with farmers and site survey
- Determine the presence of potential HCV 5-6 areas by answering a list of questions on:
 - Plot ownership status
 - Local communities' rights and land usage (e.g. for hunting, cultural purposes, etc.)



Simplified HCV Approach - New Plantings



Step 3: Ensure plot ownership rights/ usage is not contested

- Any conflict/ disputes must be addressed through consultation with local communities until Free, Prior and Informed Consent (FPIC) is obtained

Simplified HCV Approach - New Plantings

Step 4: Determine the HCV risk level of the plot

- HCV risk level is determined based on the following collected data
 - HCV 1-3 probability
 - Potential presence of HCVs 5-6
 - Size/ scale of area proposed for development

| Level | Combinations | | |
|---------------------|--|---|---|
| | 1 | 2 | 3 |
| Low (GM) | <ul style="list-style-type: none"> • HCVs 1-3: Low • HCVs 5-6: Low • Less than 500 ha cumulative expansion | NA | NA |
| Medium (ALS) | <ul style="list-style-type: none"> • HCVs 1-3: Medium • HCVs 5-6: Low or potential • Less than 500 ha cumulative expansion | <ul style="list-style-type: none"> • HCVs 1-3: Low • HCVs 5-6: Potential • Less than 500 ha cumulative expansion | <ul style="list-style-type: none"> • HCVs 1-3: High • HCVs 5-6: Low or potential • Less than 100 ha cumulative expansion |
| High (ALS) | <ul style="list-style-type: none"> • HCVs 1-3: Low or medium • HCVs 5-6: Low or potential • More than 500 ha cumulative expansion | <ul style="list-style-type: none"> • HCVs 1-3: High • HCVs 5-6: Low or potential • More than 500 ha cumulative expansion | NA |

Simplified HCV Approach - New Plantings



Step 5: Licensed ALS HCV-HCSA assessment

Determine whether an HCV-HCSA assessment by an ALS-licensed assessor is required

- Low risk level plot – **not required**
- Medium risk level plot – **required**
- **High risk level** plot – **required**

Simplified HCV Approach - New Plantings



Step 6: Prepare HCV management plan and implement

- I. Identified 'No-Go' areas must be managed and protected
- II. Discuss with farmers on ways to maintain HCVs and to agree on a final list of precautionary practices based on local context
- III. Farmers to:
 - Implement the final list precautionary practices
 - Comply with the HCV management requirements
 - Comply with RSPO requirements for 'No-Go' areas
- IV. Evaluate compliance through smallholder self-verification, surveillance by group manager and third-party certification body audits, with corrective actions taken where necessary based on the monitoring results



Procedure for the Simplified HCV Approach - Existing Plantings [Highlights]

Simplified HCV Approach - Existing Plantings

Step 1: Register farmer and collect general information on the plot

- i. Map boundaries and size of plot
- ii. Collect information on plot ownership status
- iii. Record year of planting



Step 2: Prepare a list and maps of all existing planting plots



Step 3: Prepare and implement HCV management



I. **Scoping:** Identify smallholder landscape, focal species (HCV 1-3), and basic ecosystem and resources (HCV 4-6) of the plot



II. **Dialogue:** Arrange a meeting with farmers and relay information to farmers regarding certification and HCV

III. **Dialogue:** Discuss with farmers on ways to maintain HCVs and to agree on a final list of precautionary practices based on local context

IV. Farmers to:

- Implement the final list precautionary practices
- Comply with the HCV management requirements
- Comply with RSPO requirements for 'No-Go' areas

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V. **Verification:** Evaluate compliance through smallholder self-verification, surveillance by group manager and third-party certification body audits, with corrective actions taken where necessary based on the monitoring results



Resources

Resources



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

Resources Smallholders Smallholders Key Documents Simplified HCV Approach for Smallholder

SIMPLIFIED HCV APPROACH FOR SMALLHOLDER

| TITLE | FILETYPE | FILE(S) | LANGUAGE | MODIFIED |
|---|----------|---------|----------|-------------|
| 1. HCV Guidance: Introduction | pdf | | en | 16 Jan 2023 |
| 2. HCV Procedures for New Plantings (Phases 3 and 4) | pdf | | en | 16 Jan 2023 |
| 3. HCV Guidance – Existing Plantings (Phases 3 and 4) | pdf | | en | 16 Jan 2023 |
| 4. HCV existing plantation survey offline report template | docx | | en | 17 Nov 2022 |
| 5. HCV New Plantings Offline Analysis | xlsx | | en | 17 Nov 2022 |
| 6. RSPO Simplified HCV Approach Factsheet | pdf | | en | 16 Jan 2023 |

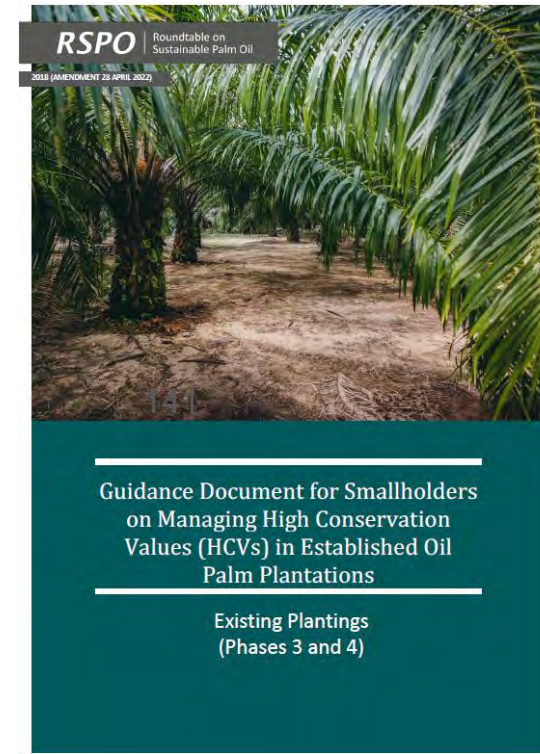
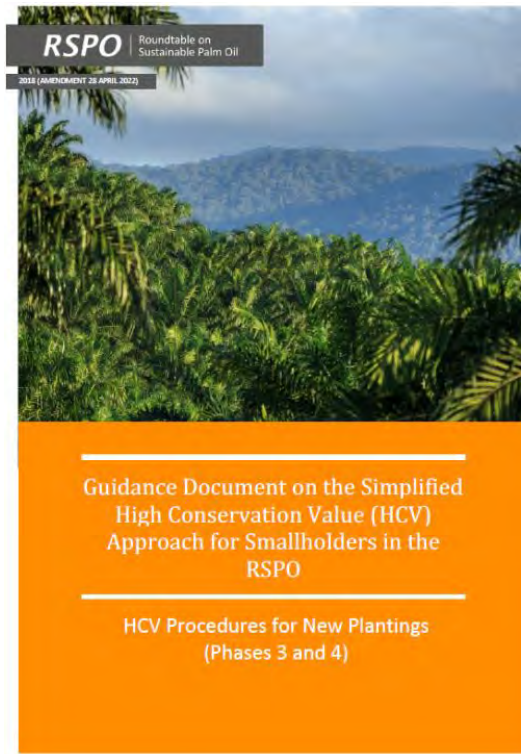
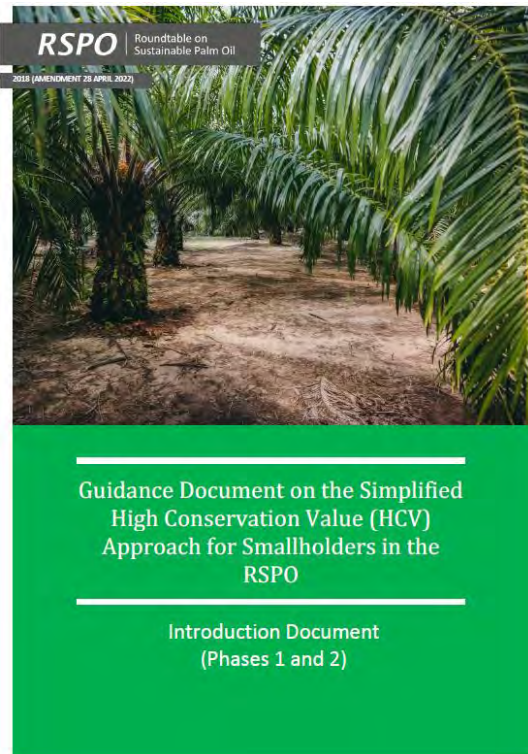
Filter

← Smallholders

- Disclosure Template
- Group Certification
- Guidance on HCV Criterion
- Internal Audit Interpretation Of The ISH Standard
- IS-LURI
- RSPO Management System Requirements and Guidance for Group Certification of FFB Production
- Simplified HCV Approach for Smallholder
- Smallholder Peat Best Management Practices Handbooks
- Templates

Resources

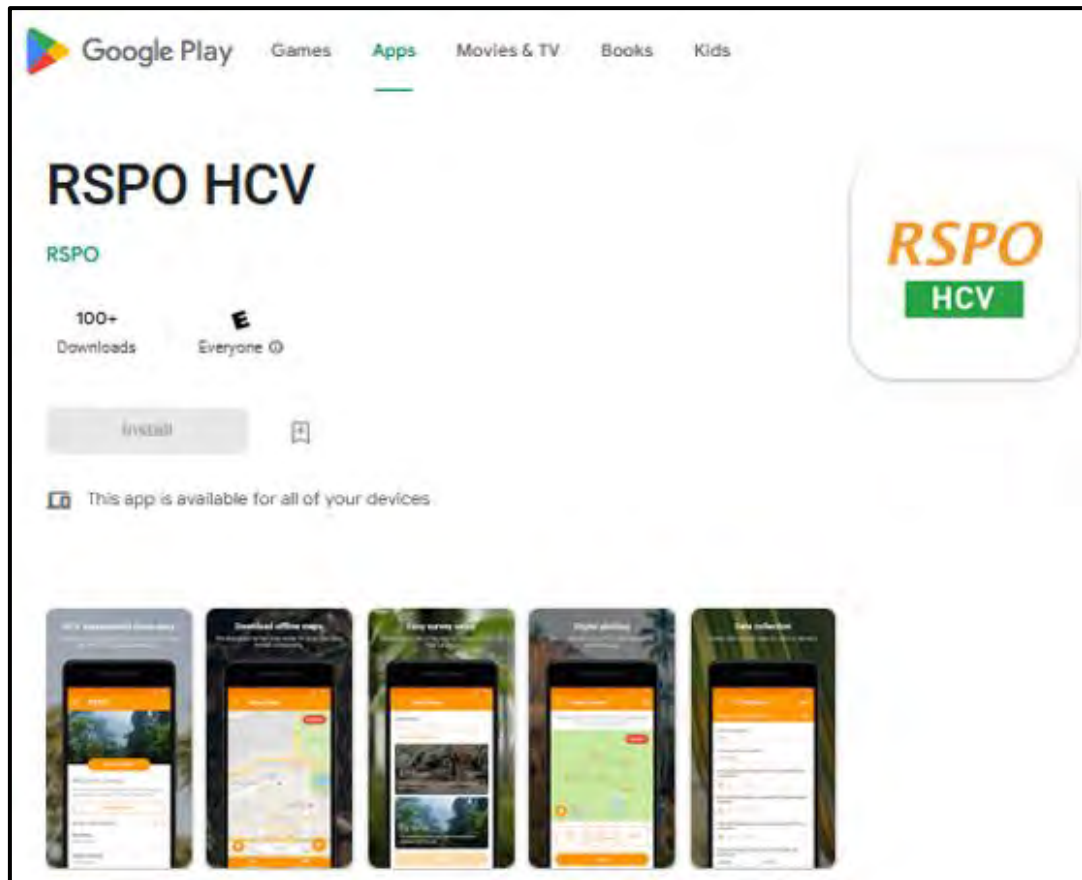
- Guidance documents (Introduction, HCV Procedures for New Plantings, and Existing Plantings)
 - Available in 6 languages (English, French, Indonesian, Malay, Spanish and Thai)
 - <https://rspo.org/resources/?category=simplified-hcv-approach-for-smallholder>



Resources



- RSPO HCV app can be downloaded from Google Play Store



- HCV app Use Manual can be downloaded from RSPO Resource page



Resources



- Web dashboard can be access via link below:
 - <https://rspo-hcv.alphapod.com/>
- Offline report templates for new planting and existing planting can be download via link below
 - <https://rspo.org/resources/smallholders-documents/smallholders-key-documents/simplified-hcv-approach-for-smallholders>

Web Dashboard Overview



RSPO English Group Manager (Sign Out)

Overview

- Manage Data Collectors
- View Farmer Details
- Manage Survey for Existing Plantings
- Rejected Survey for Existing Plantings
- Manage Survey for New Plantings
- Rejected Survey for New Plantings
- Settings
- Privacy Policy
- Terms of Use

Overview

DATA COLLECTORS SUMMARY

EISH9X 1 total data collectors

Created on 19 Aug 2022

Jin Min Lee Verified
jin0@hotmail.com field surveys

[MANAGE DATA COLLECTORS](#)

SUMMARY FIELD SURVEY FOR EXISTING PLANTINGS

2 total plots 0.071 total hectares

| | |
|---------------|----------------|
| No Coordinate | 0 hectares |
| Jin Min Lee | 6 Oct 2022 |
| Test | 0.037 hectares |
| Jin Min Lee | 11 Oct 2022 |
| Testing | 0.034 hectares |
| Jin Min Lee | 5 Jul 2022 |

[MANAGE SURVEY FOR EXISTING PLANTINGS](#)

SUMMARY OF FIELD SURVEY FOR NEW PLANTINGS

4 total expansion plots 0.769 total hectares

| | |
|-----------------|----------------|
| Low Level | 0.135 hectares |
| Jin Min Lee | 7 Oct 2022 |
| No Coordinate | 0.178 hectares |
| Jin Min Lee | 7 Oct 2022 |
| High Level Test | 0.39 hectares |
| Jin Min Lee | 11 Oct 2022 |

[MANAGE SURVEY FOR NEW PLANTINGS](#)

Web Dashboard Group Manager Adding Data Collectors



RSPO English Group Manager (Sign Out)

- Overview
- Manage Data Collectors**
- View Farmer Details
- Manage Survey for Existing Plantings
- Rejected Survey for Existing Plantings
- Manage Survey for New Plantings
- Rejected Survey for New Plantings
- Settings
- Privacy Policy
- Terms of Use

Manage Data Collectors

GROUP CODE
[+ Create](#)

Select an existing group:
ZZHILI (-) ▾

ZZHILI (-)

Created on 7 Oct 2022
[Edit](#)

Keep this group code confidential within you and your data collectors. Should you run into any problems regarding your code, please contact RSPO administrators for further assistance.

INVITE DATA COLLECTORS

[Template](#)
Upload Excel
[Choose File](#) No file chosen

[UPLOAD](#)

Upload a .xlsx file containing all your data collector's emails or manually add emails using the field below.

[ADD EMAIL](#)

LIST OF DATA COLLECTORS

Show **10** entries

Web Dashboard Viewing/Managing Data Collectors



RSPO English Group Manager (Sign Out)

ZZHILI (-)
Created on 7 Oct 2022
[Edit](#) [Delete](#)

Keep this group code confidential within you and your data collectors. Should you run into any problems regarding your code, please contact RSPO administrators for further assistance.

INVITE DATA COLLECTORS
Template
Upload Excel
[Choose File](#) No file chosen
UPLOAD

Upload a .xlsx file containing all your data collector's emails or manually add emails using the field below.

ADD EMAIL

LIST OF DATA COLLECTORS
Show **10** entries

| First Name | Last Name | Email | Status | |
|------------|-----------|------------------|------------|--|
| Jin Min | Lee | jin0@hotmail.com | Verified | Edit Delete |
| — | — | kar.mun@rspo.org | Unverified | Edit Delete |

Showing 1 to 10 of 311 entries Previous **1** 2 3 4 5 ... 32 Next

Web Dashboard

Viewing Farmer Details



RSPO English - Group Manager (Sign Out)

View Farmer Details

LIST OF FARMERS

Show **10** entries Search

| First Name | Last Name | Farmer ID | Location | Total Size of Survey Plot |
|------------|-----------|-----------|----------|---------------------------|
| Jin Min | Lee | TESTING | | 0.84 ha |

Showing 1 to 1 of 1 entries Previous **1** Next

The size of an individual plot or cumulative plots exceed 50 ha*



Web Dashboard

Existing Plantings Survey Details

RSPO English Group Manager (Sign Out)

- Overview
- Manage Data Collectors
- View Farmer Details
- Manage Survey for Existing Plantings**
- Rejected Survey for Existing Plantings
- Manage Survey for New Plantings
- Rejected Survey for New Plantings
- Settings
- Privacy Policy
- Terms of Use

Test

[< BACK TO SURVEY LIST](#)

| | | |
|---|-----------------------------|--------------------------------|
| FARMER NAME (ID) Jin Min Lee (TESTING) | SUBMITTED BY Jin Min Lee | COMMUNAL LAND STATUS No |
| DATE OF REGISTRATION 7 Oct 2022 | AGE OF PALM TREES 4-10 | YEAR OF FIRST PLANTING 2014 |

LOCATION OF ESTABLISHED PLOT

SIZE OF ESTABLISHED PLOT
3.2

Web Dashboard Managing New Plantings Surveys



RSPO English Group Manager (Sign Out)

Overview
Manage Data Collectors
View Farmer Details
Manage Survey for Existing Plantings
Rejected Survey for Existing Plantings
Manage Survey for New Plantings
Rejected Survey for New Plantings
Settings
Privacy Policy
Terms of Use

Manage Survey for New Plantings

Low Level (2) Medium Level (2) High Level (0)

Select date range to export

EXPORT LOW LEVEL REPORT SHAPE FILES VIEW LOW LEVEL MAP OVERVIEW

Filter by Group Code
ALL

Show 10 entries

| Submitted By/Updated At | Farmer | Plot Name | Size of Survey Plot | Group Code | Action |
|-------------------------|-------------|-------------------------------|---------------------|------------|--------|
| 2022-10-07 9:18:41 am | Jin Min Lee | Low Level | 0.136 ha | WF0YAA | |
| 2022-10-07 9:17:06 am | Jin Min Lee | No Coordinate | 0.178 ha | WF0YAA | |

Showing 1 to 2 of 2 entries

Search

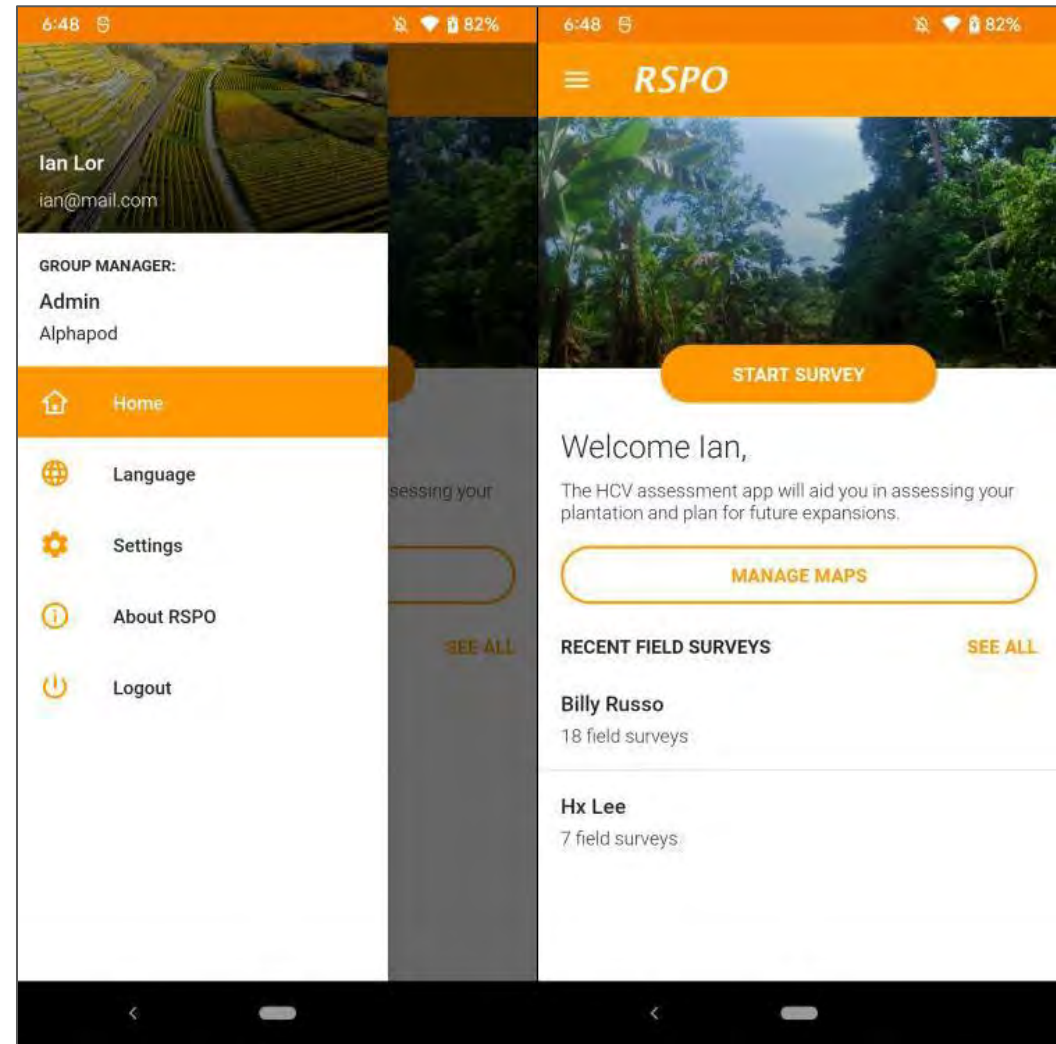
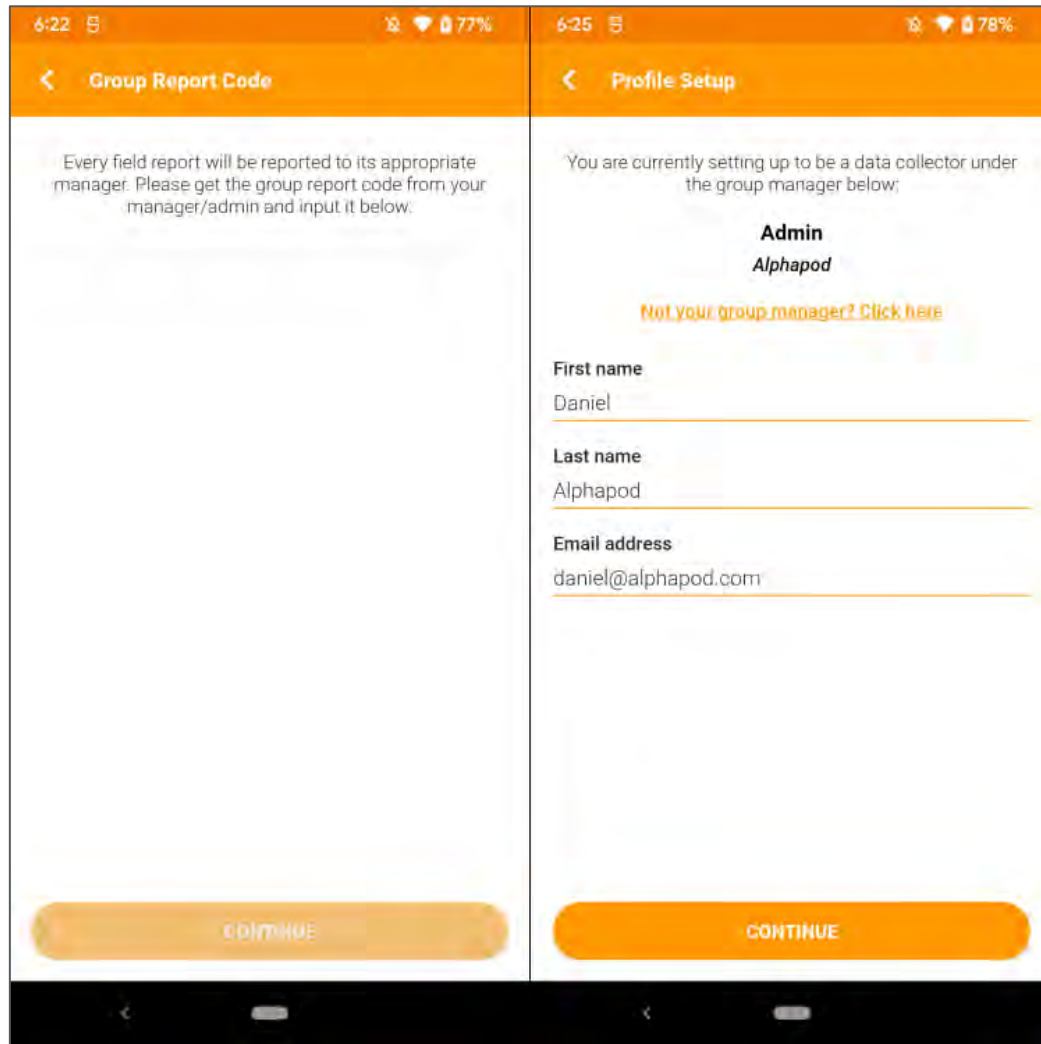
Previous 1 Next

The size of an individual plot or cumulative plots exceed 50 ha*

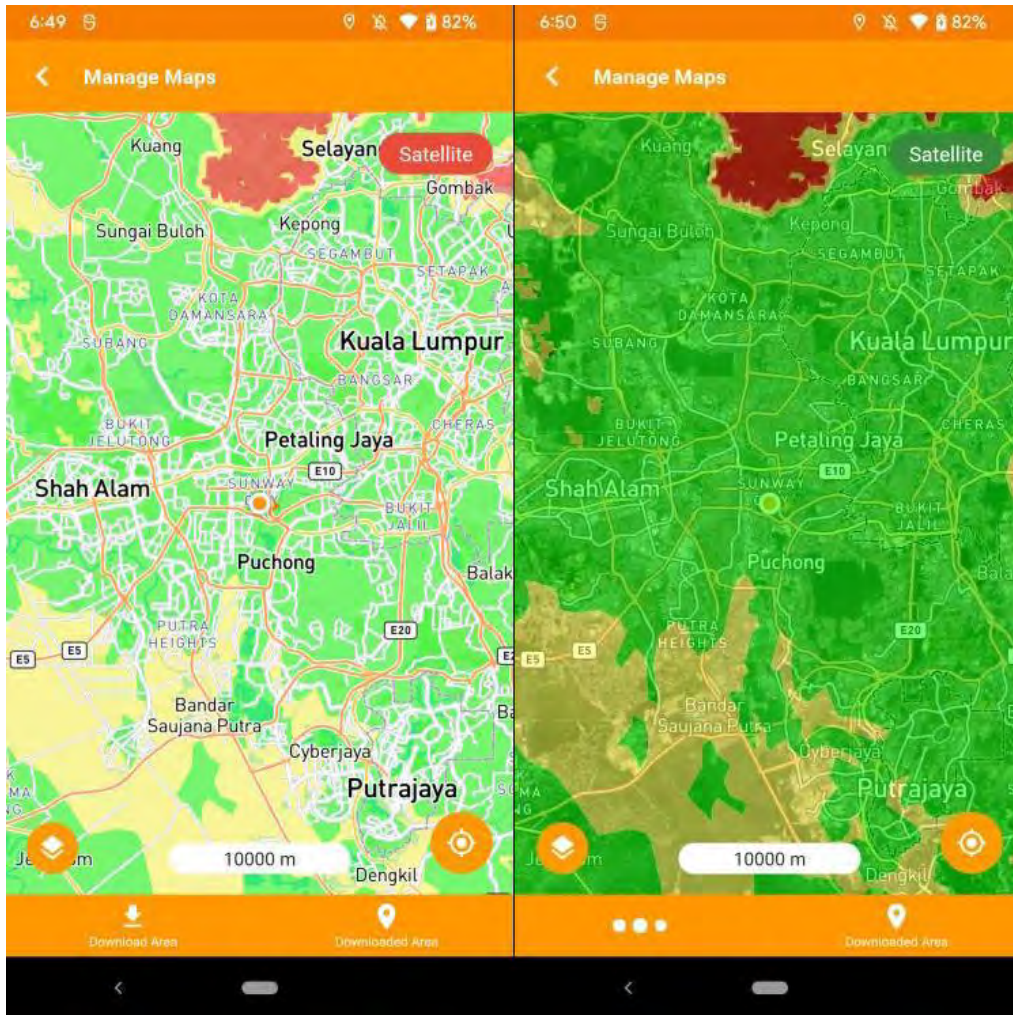
This is communal land.

* national definition of smallholders may differ

Mobile App Login & Home Screen

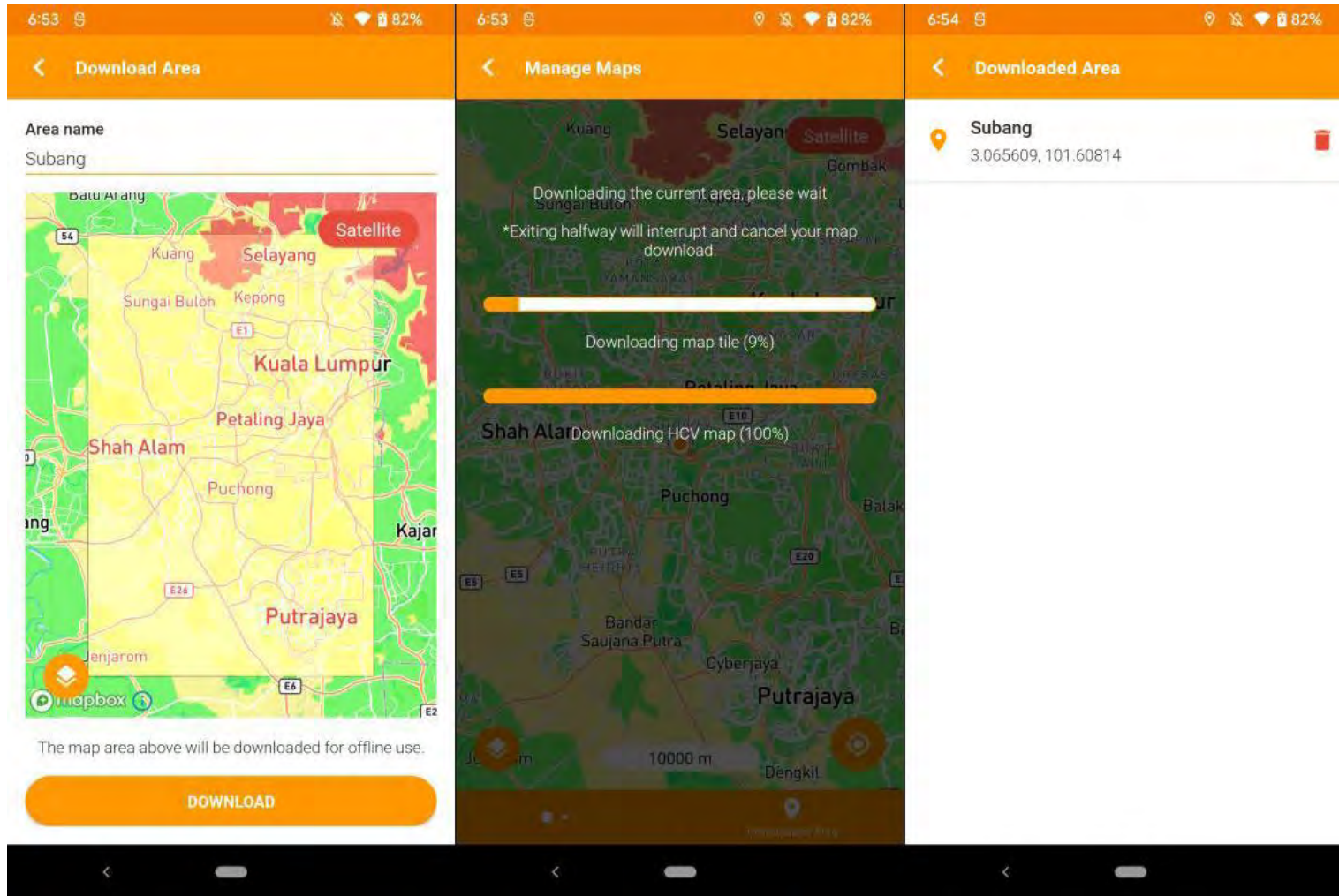


Mobile App Map Management & Download

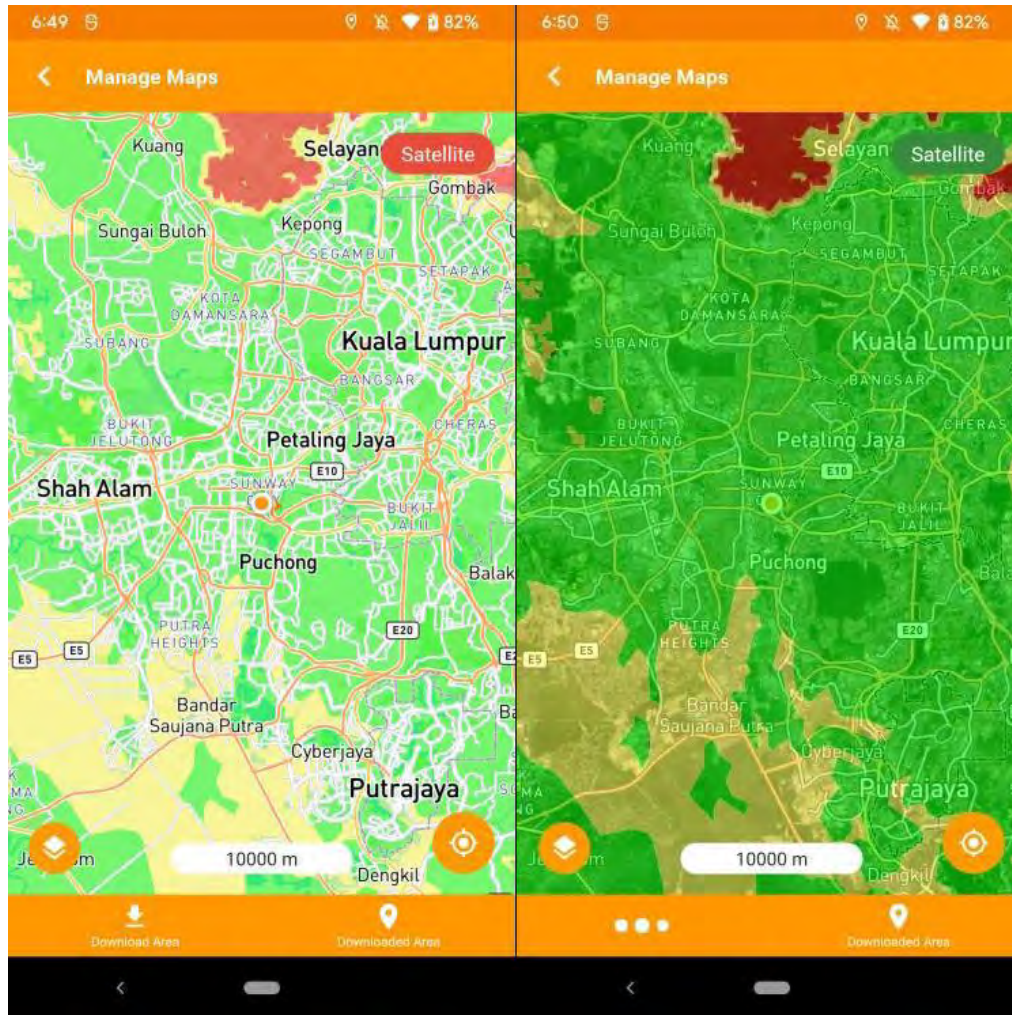


- Users may switch to “Satellite” mode to view satellite imagery overlaid on the map or view the HCV map
- The **HCV 1-3 probability maps** are represented by the following colour codes:
 - Green - Low HCV
 - Yellow - Medium HCV
 - Red - High HCV

Mobile App Map Management & Download



Mobile App Map Management & Download



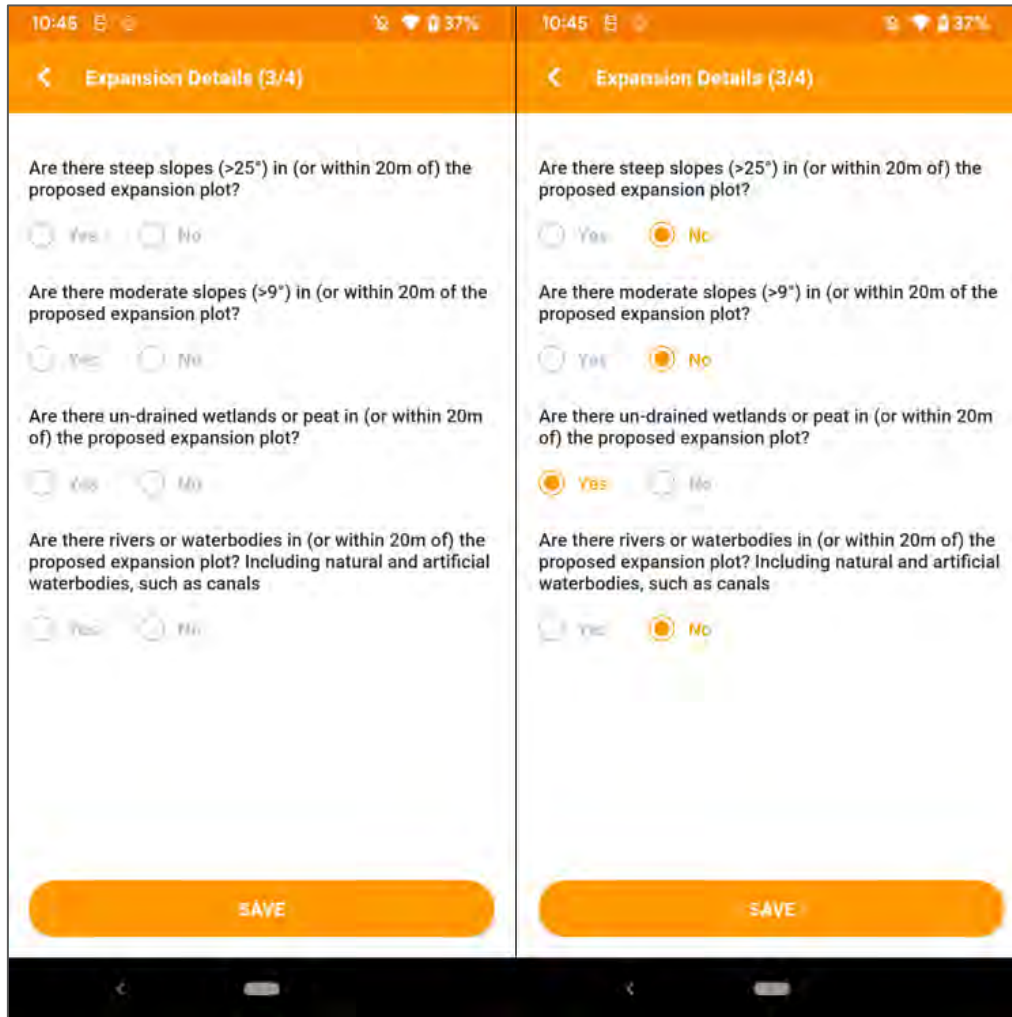
This presentation is intended for CB Interpretation Forum Ghana 2023. This slide is intended to guide the participants and viewers should always refer to the main documentation by the RSPO

Mobile App Survey

Two side-by-side screenshots of a mobile application interface for a survey. Both screens show the "Expansion Details (2/4)" section. The left screenshot shows the "HCV 1-3 probability of expansion area" set to "Low", "Are there forest/natural vegetation in the proposed expansion area?" with "No" selected, and "Is there peat in the proposed expansion area?" with "No" selected. The right screenshot shows the "HCV 1-3 probability of expansion area" set to "Medium", "Are there forest/natural vegetation in the proposed expansion area?" with "Yes" selected, "Does this cover the entire plot?" with "No" selected, a "Forest Area 1" dropdown menu, a "+ADD FOREST AREA" button, and "Is there peat in the proposed expansion area?" with "Yes" selected. Both screens have a "SAVE" button at the bottom.

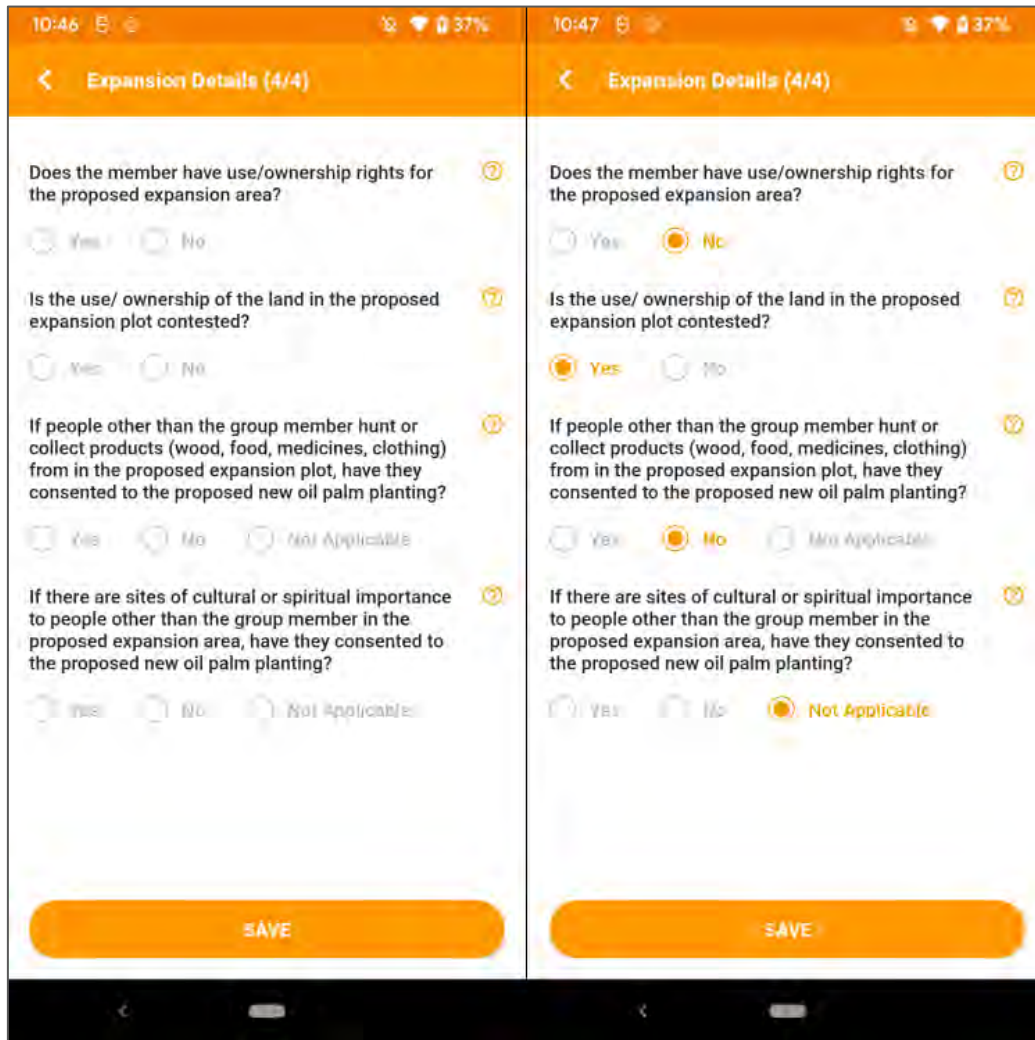
HCV 1-3 Section

Mobile App Survey



HCV 4 Section

Mobile App Survey



HCV 5-6 Section



Resources
maps@rspo.org

RSPO RISS 2019 Auditors Training (4.8.6 f) 2023

RSPO PalmTrace for ISH Group Manager

Amirul Ariff
Manager, Certification (P&C)



www.rspo.org



RSPO Palm Trace

FOR INDEPENDENT SMALLHOLDERS (ISH)

25/05/2023

RSPO CB Interpretation Forum, Bogota D.C



Agenda

- Introduction to Rspo Palmtrace
- Physical activities and credit trading options for ISH in Rspo PalmTrace

- Introduction to Book & Claim (B&C)
- Book & Claim Business Rules
- Q&A





INTRODUCTION

RSPO PALM TRACE



What is Rspo PalmTrace?

PalmTrace is Rspo's online traceability system for certified oil palm products:

- **Traceability System** that keeps track of certified volume through the supply chain.
- **Online Register** of transactions performed according to **the 4 models of the Rspo Supply Chain:**
 - Identity Preserved (IP)
 - Segregation (SG) □ Physical supply chain models
 - Mass Balance (MB)
 - Book and Claim (B&C) → Marketplace to buy and sell Rspo credits
- **Database** to search for certified Rspo members.
- Built on transparency and credibility: Rspo PalmTrace is connected to the Rspo website to publish the most recent and accurate information.





Platform to Trace Certified Volumes



- All certified units need an account in Palm Trace and to get licensed by a CB
- Members of the supply chain between mills and refineries are required to register physical sales and processing activities (IP, SG, MB)
- **Independent Smallholders, Outgrowers, Mills and Crushers** can sell Rspo Credits (Book and Claim)
- **Manufacturers and Retailers** can buy Rspo Credits (Book and Claim).





What are the roles of RSPO and the Rainforest Alliance in RSPO PalmTrace?





What does RSPo do in PalmTrace?

- Reviews license requests from certification bodies
- Publishes certificates with licenses on the RSPo website
- Reviews time and volume extensions
- Reviews requests from CBs for member transfers
- Publishes data on the RSPo website:
 - Certified volume/area
 - Uptake (first sales/certified volume)
 - Book and Claim





What does Rainforest Alliance do in PalmTrace?

- Responsible for the development and the maintenance of the system including changes.
- New member registrations.
- Charges administration fees.
- Pushes the marketplace information of RSPO Credits to www.rspo.org/PalmTrace
- Monthly reporting to RSPO
- Webinars and trainings
- Helpdesk (chat box and palmtrace.support@ra.org)





Areas in Rspo PalmTrace



- Upload the audit report
- Request the license for the member
- Indicate certified volume for ISH, Outgrowers and Mills
- Define rights (processing & supply chain models) for members according to the certificate



- Approve / deny license requests
- Approve CB transfers



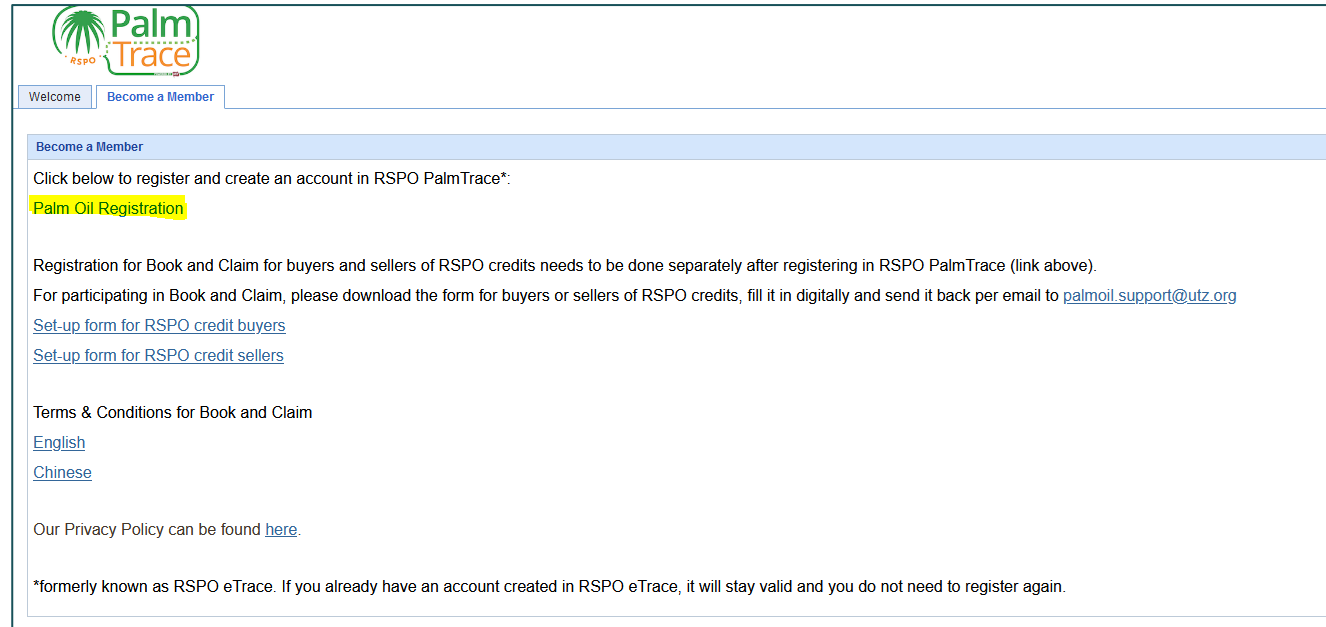
- Receive your PalmTrace license to use the traceability system
- Record trading & processing transactions





How to create an account in RSPO PalmTrace?

- 1) Go to <https://palmtrace.rspo.org/>
- 2) Click the [Become a Member](#) tab:



- 3) Fill in the information in the registration form
- 4) An email will be sent with the login credentials.





How to create an account in RSPO PalmTrace?

The registration form is available in different languages

Instructions :

Welcome to RSPO PalmTrace! Create an account by filling in below registration form – this is free of charge. If you need assistance, please do not hesitate to contact our support team at palmoil.support@utz.org or +31 (0)20 820 8968.

A few tips for filling in the form

Fields marked with an asterisk (*) are required to complete the registration.

Organisation Name: Needs to be identical with the organisation name on your certificate / used for RSPO Membership.

Parent Company / Membership Number: Please select your RSPO Membership Number from the list. If you are a subsidiary and not a member of the RSPO yourself, please select your mother company's RSPO Membership Number.

GPS Coordinates: Indicate your GPS location in the preferred format. Group or multi-site should indicate the GPS coordinates of the central location.

Contact Person Information: You can add several colleagues as users to your account. At least one contact person needs to be a primary contact. The primary user(s) will be able to add more users later.

General: Please avoid special characters and use a '+' and the country code in front of your telephone number.

It will take 1-2 working days for us to review your registration. We will then send each user their individual username and password to the indicated email address.

Account Information

Organisation Name * :

Type of Business * :

- Bulking Station
- Crusher
- Distributor
- Food service company
- Independent palm oil mill
- Independent smallholder
- Independent smallholder group
- Oil mill
- Outgrower
- Product manufacturer
- Refinery

Parent Company / RSPO Membership Number * :

- English
- Indonesian Bahasa
- Thai
- Spanish
- Portuguese





Access to RSPO PalmTrace

Welcome Become a Member

Welcome

Username
@username

Password

Remember Me

Sign In

Live Support
ONLINE
Live Chat Software by Kayako

[Forgot your password](#)

- **Login details:** received after the registration in PalmTrace.
- Internet connection.
- Online platform, no software needed.
- Access to traceability system: only with a valid license





Access to RSPO PalmTrace

Welcome

Become a Member

Traceability System

Online Training Traceability System

Member Directory

CB

Octopus



[Member Area](#)

Please click on above link to start using RSPO PalmTrace system. RSPO requires members to administrate their RSPO CSPO transactions to their best ability in RSPO PalmTrace. In line with our vision: "To transform markets to make sustainable palm oil the norm", welcome to RSPO PalmTrace. With the various significant milestones achieved with our member organizations in the past few years since certification began in 2008, we now are ready to progress to the next level to enhance and increase the visibility of the traceability of RSPO CSPO. Our collective mission: To advance the production, procurement, finance and use of sustainable palm oil products. To develop, implement, verify, assure and periodically review credible global standards for the entire supply chain of sustainable palm oil. To monitor and evaluate the economic, environmental and social impacts of the uptake of sustainable palm oil in the market. To engage and commit all stakeholders throughout the supply chain, including governments and consumers.





Access to Rspo PalmTrace

Transactions (1) | Trading & Stock | Licenses | Log | [Apply for License](#) | [Help](#) | [Contact](#) | [Settings](#) | [Exit](#)

Blanco Plantaciones, Guatemala

Inbox (1) | Outbox (0) | Finalized Transactions

All buyers | All Products | All Status | All Transaction Types

Search Records

This Week | This Month | This Quarter | This Year | All | Custom

No record found.

| Transaction ID | Seller | Seller Ref. | Buyer | Buyer Ref. | Product | Supply Chain Model | Volume* | Transaction Status | Type | B/L Number | Shipping/BL Date | Action |
|----------------|--------|-------------|-------|------------|---------|--------------------|---------|--------------------|------|------------|------------------|--------|
|----------------|--------|-------------|-------|------------|---------|--------------------|---------|--------------------|------|------------|------------------|--------|

*Volume in MT

Page 1 of 1 | [Print](#) | [Export to Excel](#)





**RSPO PALM TRACE FOR
INDEPENDENT SMALLHOLDER GROUPS:
A PHASED APPROACH**

**RSPO CREDIT TRADING AND
PHYSICAL TRANSACTIONS**



Independent smallholders with license status: E1, E2, & MSA

Eligibility: Up to 40% of FFB can be sold as credits

MSA: Up to 70% of FFB can be sold as credits



E1, E2, & MSA

Option 2



ISH Credits

- IS-CSPO
- IS-CSPKO
- IS-CSPKE

- CBs will allocate volumes of IS-FFB, IS-CSPKO, IS-CPKE, IS-CSPO in their license.
 - ☐ Certified volumes of IS-CSPKO, IS-CPKE, IS-CSPO are based on standard OER/KER
 - ☐ Example: 100 MT of FFB = 20MT of IS-CSPO = 20 IS-CSPO Credits
- The FFB produced cannot be sold as certified through the physical supply chain. ISH at this stage can only sell credits in PalmTrace





Independent smallholders with license status: IC, ASA, RC



IC, ASA & RC

Option 1



- The CB will license only FFB
- ISH can sell certified FFB volume as physical (FFB Announcement) or convert volume to Rspo credits
- For physical sales mills will confirm the announcement from the ISH.

Option 2



ISH Credits

IS-CSP
IS-CSPKO
IS-CSPKE

To sell IS-credits to a certified buyer and sell the same amount as conventional.





Physical and Trading Activities in Rspo Palmtrace

Option 2



E1, E2 AND MSA

Allocate volume to Rspo credits

Sell Rspo credits

Option 1 & 2



MSB IC, ASA AND RE

FFB Announcement

Remove FFB volume

Allocate volume to Rspo credits

Sell Rspo credits





BOOK AND CLAIM

INTRODUCTION AND BUSINESS RULES

Credit Types

Sellers



Buyers

- Palm Oil-derived:

| | | |
|-----------------|---|---|
| IS-CSPO or CSPO |  Independent Smallholders |  Mill |
|-----------------|---|---|
- Palm Kernel Oil-derived:

| | | |
|-------------------|---|--|
| IS-CSPKO or CSPKO |  Independent Smallholders |  Crusher |
|-------------------|---|--|
- Palm Kernel Expeller:

| | | |
|-------------------|---|--|
| IS-CSPKE or CSPKE |  Independent Smallholders |  Crusher |
|-------------------|---|--|

The credit type that the buyers need to buy depends on the palm ingredient present in their products.



Trading RSPO Credits

- Mills, Crushers, Independent Smallholders and Outgrowers can offer RSPO Credits
- Manufacturers and Retailers can place bids to purchase RSPO credits
- Buyers must be audited when claiming 500+ credits/year





Credits Represent Physical Volume

- 1 Rspo Credit = 1 MT of certified material (IS-CSPO, IS-CSPKO, IS-CSPKE)
- For ISH FFB volume is converted into Rspo Credits based on standard conversion ratios (OER/KER), subject to an auditor's verification and confirmation.

Example:

100 tonnes of FFB = 20 tonnes of IS-CSPO = 20 IS-CSPO credits
(Based on default OER 20%)

- When Credits are sold, the physical oil palm products related to those credits (FFB) can only enter the market as non-certified / without an Rspo claim.





Business Rules for Book and Claim

Credit Sellers

- Credit sellers can sell RSPO Credits only with a valid license
- Validity of the credits:
 - **Independent Smallholders:** subject to the license validity
 - **Outgrowers:** subject to the license validity
 - **Mills:** subject to the license validity
 - **Crushers:** credits do not expire with the license

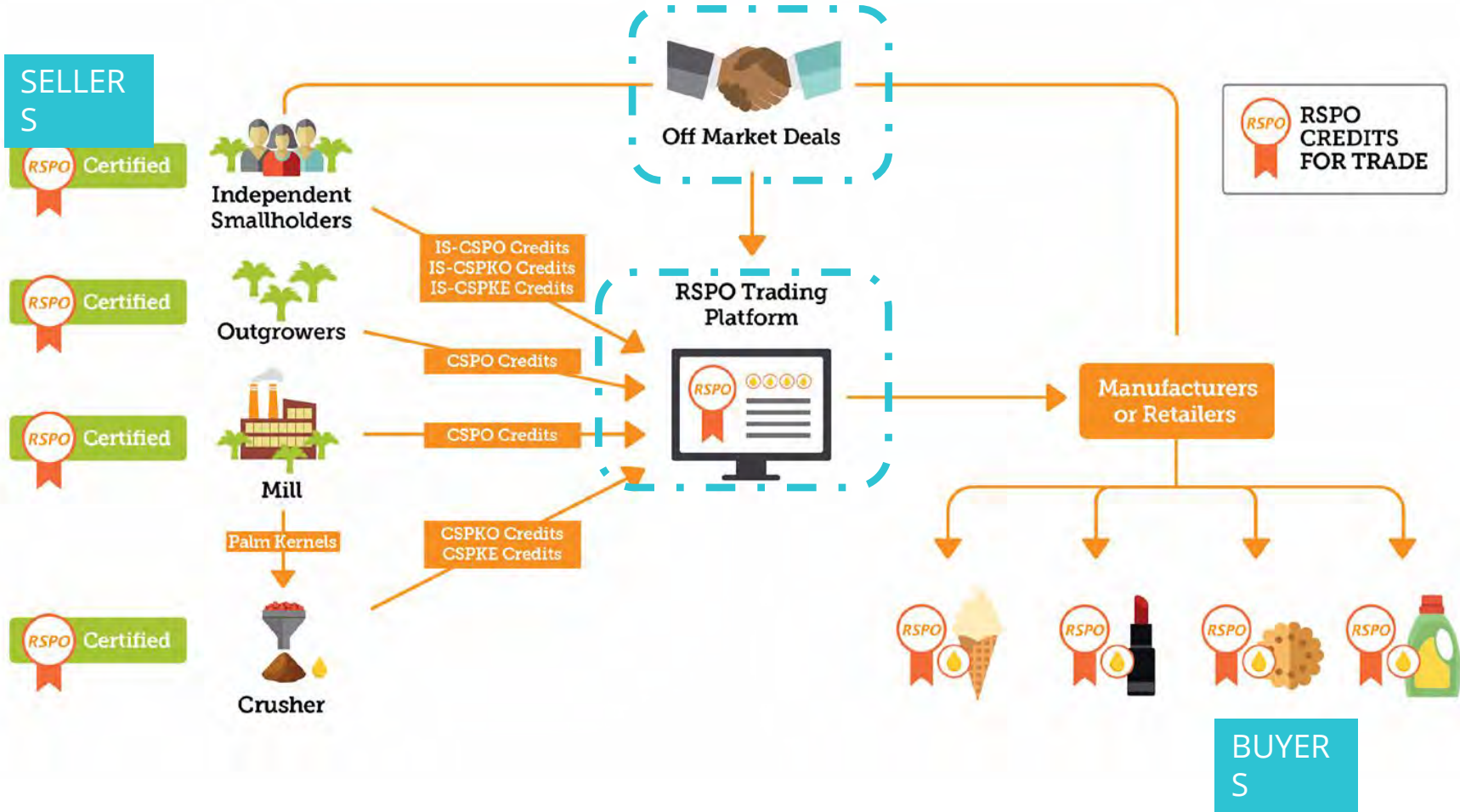
Credit Buyers

- Credit buyers must be RSPO members and cannot re-sell the credits
- **The Validity of the RSPO Credits** is of 1 year since the invoice is sent
- RSPO Credits can be purchased at any moment of the year to cover past or future use of oil palm products.
- Credits can be claimed for the current year, the upcoming year or 3 years in the past from purchase





Book and Claim for Rspo PalmTrace





On Market Trade

- Place an offer on the marketplace anonymously.
- Indicate quantity and the price per credit (in USD)
- **Advantage:** Sellers do not need to know a company that wants to buy credits from them. They get a match with a buyer automatically.
- You will know the identity of the other party when the match is made.





Off Market Deal

- If a seller and a buyer agree on a trade of RSPO Credits, they can create an Off-Market Deal
- One party registers the Off-Market Deal in RSPO PalmTrace
- The other party needs to confirm the Off-Market Deal





THANK YOU

For questions on RSPO PalmTrace, please contact our support team via Palmtree.support@ra.org or +31 (0)20 820 8968.

RSPO CB INTERPRETATION FORUM

23 - 25 May 2023

We will be back in

15:00



www.rspo.org



RSPO RISS 2019 Auditors Training (4.8.6 f) 2023

QUESTION & ANSWER



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RSPO CB INTERPRETATION FORUM

CLOSING REMARK

Diego Pierrend
Manager, Technical (LaTam)



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THANK YOU!



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