

SUPPLY CHAIN LEAD AUDITOR TRAINING SYLLABUS

10 NOVEMBER 2016

INTRODUCTORY NOTES FOR SCC LEAD AUDITORS COURSE PROVIDERS

This course is intended for participants who have the intention to become an RSPO SCC Lead Auditor (LA). The training syllabus, described in the next pages, is for training in the Supply Chain Certification of RSPO.

The training provider has to make sure that the trainees have the necessary basic knowledge of RSPO and its procedures before they are coming to the course.

The times shown are offered as guidance only and maybe varied to suite each training provider's syllabus providing the intent of the individual modules is delivered.

The training provider is reminded that this course is primarily for potential auditors and thus the material is to be presented in such a way as to show its relevance to the audit process.

The trainees who have successfully completed the course, have to be reminded that they have to attend a refresher training every three years. The duration of the refresher training is 8 hours and may be given as a webinar or as a class room training. The subjects will depend on the issuance of new procedures, documents and others as is seen as important by RSPO secretariat.

The endorsed training providers are expected to have the appropriate resources to conduct the SCC training: a minimum of two trainers, fluent in the language in which the course is been given. The tutors must have proven expertise in all subjects of the RSPO Supply Chain topics. Furthermore, the organisation must be such that enough administrative back up is present to facilitate the processes of invitations, venue arrangement, registration and financial settlement.

RSPO SCC LEAD AUDITOR TRAINING SYLLABUS

Course Objective

To provide participants with the ability to participate as a lead auditor of an audit team conducting a conformity assessment of an organisation claiming compliance with the RSPO Supply Chain Certification requirements.

Course Outcomes

Participants should have a good understanding of the:

1. Context in which the palm oil sector operates, including key sustainability issues affecting the palm oil sector.
2. The palm oil supply chain from plantation through to end user.
3. RSPO Supply Chain Certification Standard and System.
4. RSPO units of certification.
5. Certification requirements for differing supply chain models.
6. The certification audit process.

Course Prerequisites

Participants are required to possess the following basic knowledge prior to attending this course:

1. Understanding of the certification process and its contribution to the production of sustainable palm oil.
2. Certification processes in RSPO: P&C, NI's, RSPO NEXT, SCC, Group certification.
3. Facts on RSPO.
4. Facts and understanding of palm oil and palm kernel oil and its supply chains.
5. Understanding the SCC certification process and traceability.

The knowledge on these subjects has to be tested by way of e-modules to be studied by the trainees before the course. Alternatively, these subjects may be discussed in class room style. In all cases this shall be followed by a test on each subject. A successful result is a requirement to attend the actual class-room lead auditor course.

Course Content

The course includes the following content:

Introduction (0.5 hr). This is intended to provide an overview of the course and reinforce the prerequisites needed for entry. It will address the following topics:

- a. Content
- b. Outcomes
- c. Examination

Palm oil supply chain (1 hr). This section of the course is a summary of the relevant e-modules and provides participants with knowledge of those involved in the supply chain and their role, from the plantation to the mill, trader, transport and storage to the refinery, end product manufacturer, distributor and the retailer.

RSPO Certification Schemes (1.5 hrs). This section of the course provides participants with an overview of the RSPO certification standards and associated documents, including:

- a. Principles and Criteria and National Interpretation
- b. Group certification
- c. RSPO-NEXT

Before focusing on the:

- d. Supply chain certification standard
- e. Supply chain certification systems

RSPO SCC models (3 hrs). This section of the course will explain the supply chain models and their differences. It will address the following topics:

- a. Identity preserved
- b. Segregation
- c. Mass balance
- d. Book and claim
- e. Multi-site certification
- f. Group certification

Communications & Claims (1hr). This section will discuss the requirements and rules on the claims and communications the certified unit may make. The Rules on Market Communications & Claims is a standard which is part of the SCC audit.

Supply Chain Requirements for other sectors, e.g. Oleochemistry, retailers (1 hr). This section deals with the typical rules within the oleochemical industry and other sectors. The focus must be on the differences with the SCC standard as discussed under item 5.

Audit Management Program (2 hrs). This section of the course will outline the purpose and management of an audit program in the certification context. It will address the following topics:

- a. Establishing the audit program
- b. Initial and onsite audits
- c. Surveillance audits
- d. Recertification audits

Audit activities (5 hrs). This section of the course aims to provide participants with an understanding of the audit activities necessary to conduct an RSPO audit. It will address the following topics:

- a. Initiating the audit
- b. Preparing audit activities
- c. Conducting the audit activities
 - i. Acting as a lead auditor
 - ii. Integrity
 - iii. Fair presentation
 - iv. Due professional care
 - v. Confidentiality
 - vi. Independence
 - vii. Evidence based approach
 - viii. Impartiality,
 - ix. Competence,
 - x. Responsibility,
 - xi. Openness,
 - xii. Responsiveness to complaints

Report writing (1 hr). This section of the course aims to provide participants with the ability to write effective audit reports. It will address the following topics:

- a. Report content and its format
- b. Report review process
- c. Preparation and distribution of the audit report
- d. Non-conformances and corrective action request

Course Assessment

The knowledge and understanding of participants will be assessed through an examination of 1 hour duration based on fifteen multi choice questions taken from the whole syllabus and four written short answer questions and two long answer questions in which participants need to demonstrate understanding of audit scenarios. To obtain the RSPO Certificate, candidates will need a mark of at least 70% in the examination.

Course Duration

The course duration would be 16 contact hours excluding breaks and the examination, spread over 2 days.

The refreshers training is 8 contact hours excluding breaks and does not require an examination. This training can be given in the format of a webinar.

Course providers are encouraged to include mock audit so that participants can apply their knowledge in practice. Mock audit could be in a form of actual site visit to refinery or virtual audit which provides close similarities of what you should see in an actual site.

Course Numbers

A maximum of 15 participants per course using one course tutor is permissible.

Course Material

Each participant will receive a full set of course notes and this will be supplemented by notes taken during syndicate work, any site visit, where applicable, and other material generated by the participants.

Course Presenters

Course tutors need to be registered with RSPO by the course provider.

Course Recognition

Participants who pass the examination will receive a certificate from the course provider endorsed by the RSPO indicating successful completion of the course. Participants who do not pass the examination but participate in all activities will receive a certificate of attendance from the course provider.

A participant who fails the exam may be allowed to resit the examination once. In case of a second failure the trainee has to follow a new Lead Auditors course.

The course provider will send the list of names, designation and company of the successful participants to the RSPO secretariat.