

RSPO CB INTERPRETATION FORUM

23-25 AUG 2023
KRABI, THAILAND



www.rspo.org



Sharing Session on "Mock Audit" Experiences

23-25 AUG 2023
KRABI, THAILAND



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RSPO RISS 2019 Auditors Training (4.8.6 f) 2023



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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.

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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 01 Determine your Category

A diagram titled "Step 1: Category" showing three categories: "INDIVIDUAL MEMBERSHIP", "ASSOCIATE MEMBERSHIP", and "AFFILIATE MEMBERSHIP". Each category has a list of requirements and benefits.

STEP 02 Determine your Group Manager

A photograph showing four people in a field. One person is kneeling and examining a pile of palm fronds, while the others stand around, looking on.

STEP 03 Apply for Membership

A flowchart titled "Step 3: Grower Application" showing the process from "Grower Application" to "Membership Application" and "Membership Approval".

STEP 04 Certification Palm Trace Trademark

Step 4: Certification/Credits/Trademark

1. Certified under RSPO Independent Smallholders Standard
2. Register Palm Trace account to sell credits
3. Apply for trademark license

Logos for RSPO, Palm Trace, and RSPO.

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)

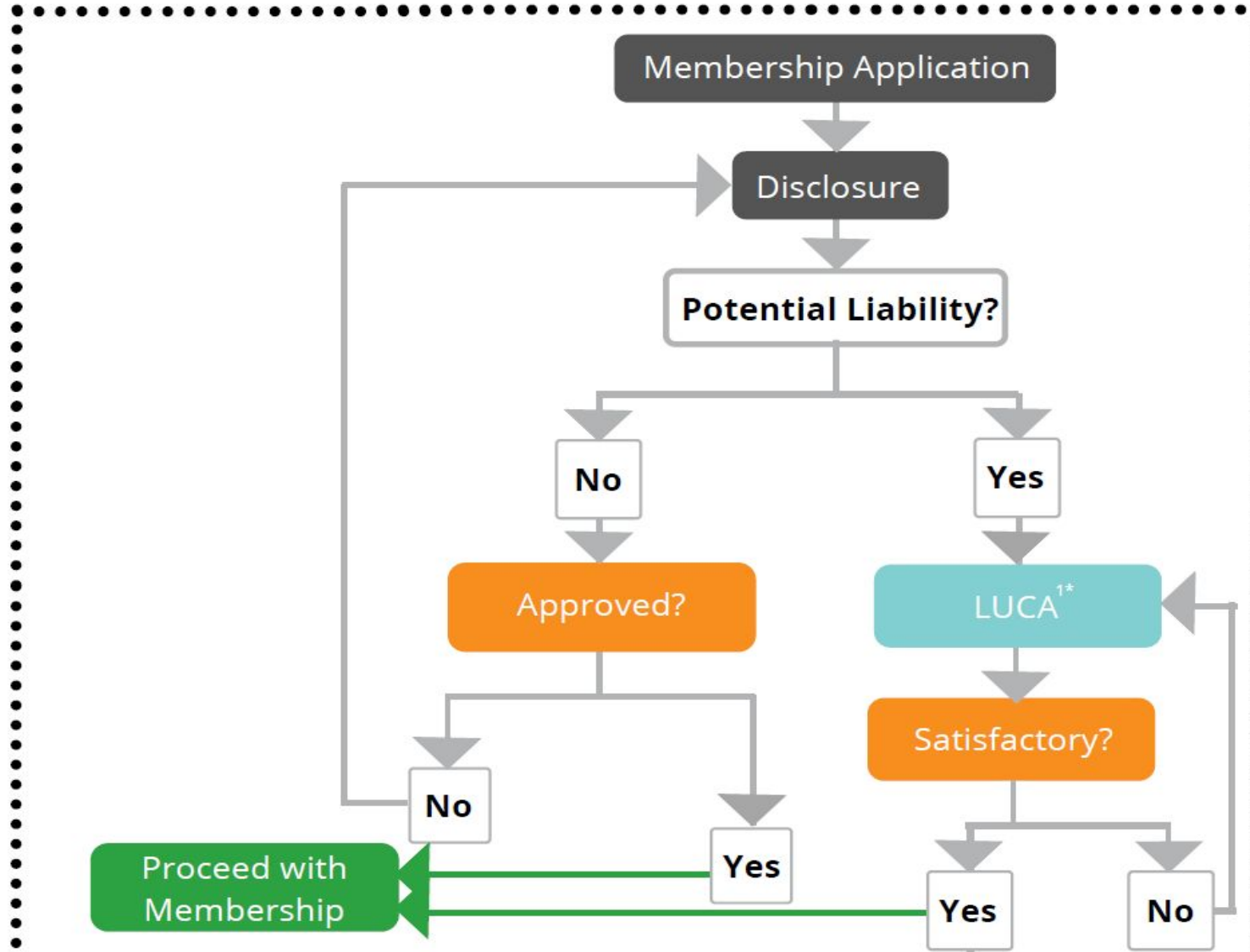


Documentation (Smallholders Group)

- 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 Oil Palm Growers 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
OLEODAVILA S.A.	Ecuador	2017-09-06	Ordinary
Re.Le.Vi S.p.A	Italy	2017-01-03	Ordinary
JTM Foods, LLC	United States	2017-08-06	Ordinary
Edelsa, Inc.	United States	2017-12-06	Associate
Baselkorn GmbH	Germany	2016-11-14	Ordinary

Guidance Documents

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

ABOUT	MEMBERSHIP	CERTIFICATION	SMALLHOLDERS	STANDARDS	IMPACT
RSPO / Members / Gapoktan Tanjung Sehati					
Membership No 1-0140-13-000-00					
Category Ordinary					
Sector Oil Palm Growers					
Country/Territory Indonesia					
Member since 09 July 2013					
Web http://kai@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				



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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).

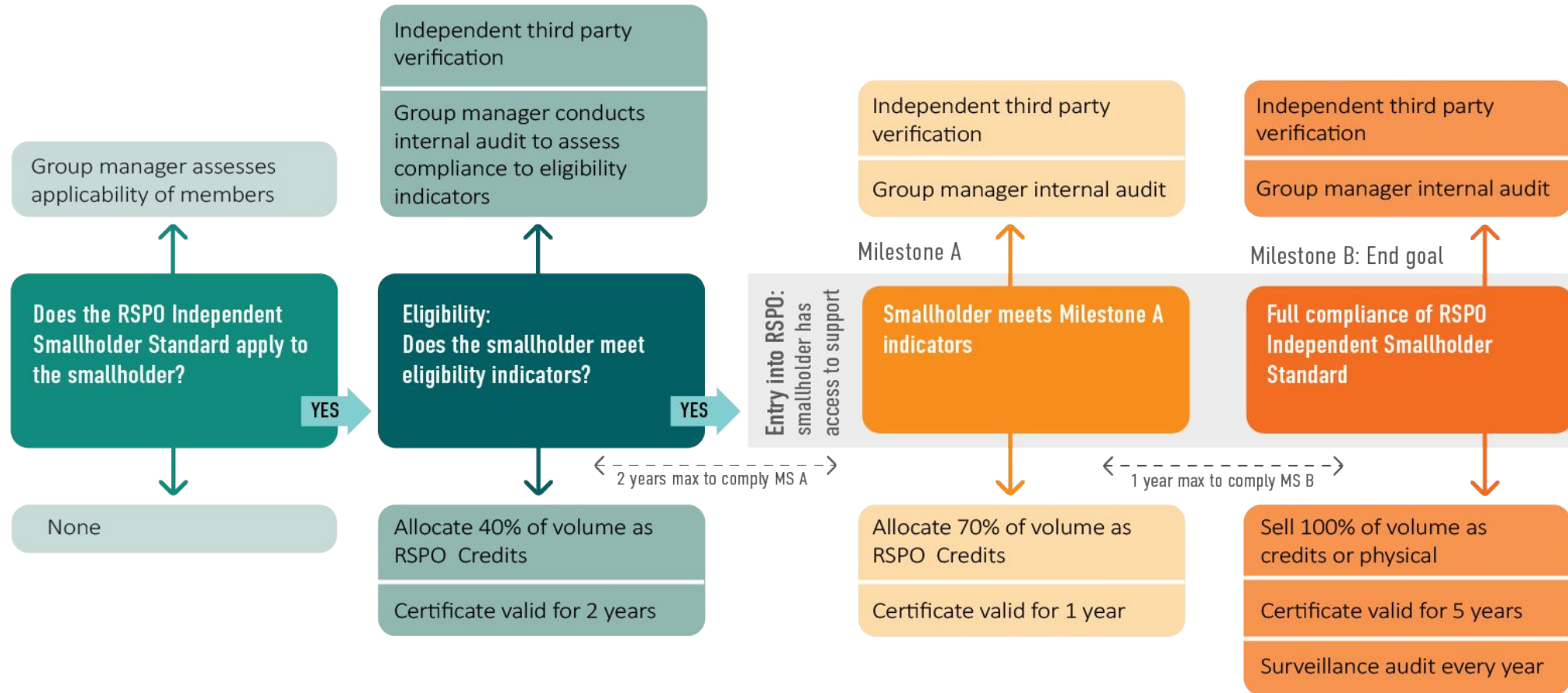
Phased Approach



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, or

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 certification criteria:

Section 3 - Certificate Settings:

Assessment Type:

Member Certificate Number:

Previous License Validity:

Start date of new license:

End date of new license:

Standard Audited:

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

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

Member Details

Member Name: RSPO_ORG_7626
Member ID: RSPO_PO1000014596
Holding Name: holdinnName637
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

Sarsongko Wachyutomo
Manager, Certification (Smallholder)



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 61 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

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Manager, Certification (Smallholder)



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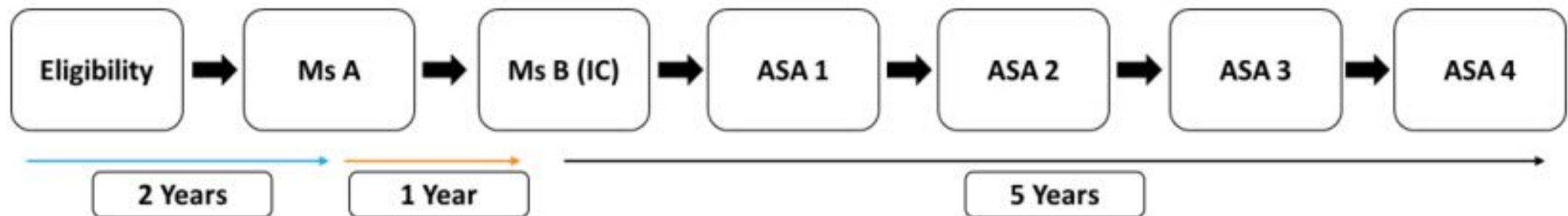


B1.1 - Internal Audit Interpretation of the ISH Standard

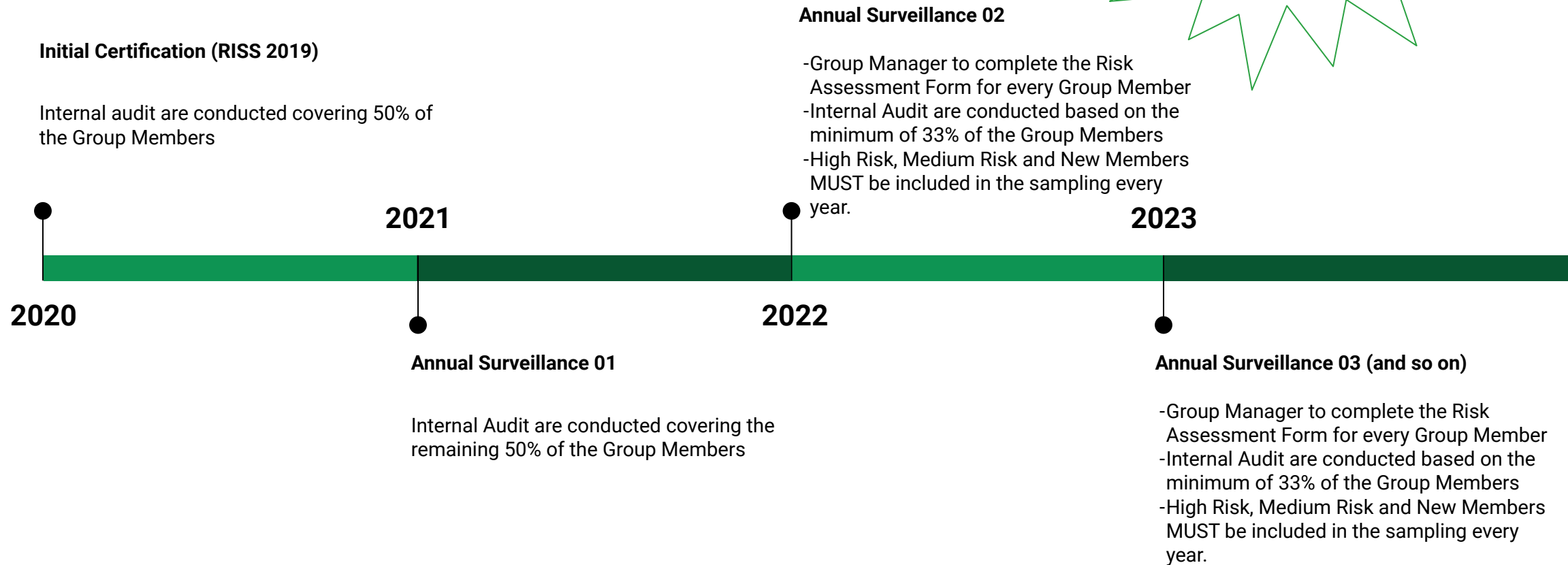
- RSPO ISH Standard 2019 requires ISH to carry out an **annual internal audit** for **ALL** group members at Milestone B. **(ICS B1.1 MS B)**
- The capacity and resources required to implement this requirement and audit all the group members annually poses a challenge for larger ISH groups.
- ISH Group 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 RISS 2019 Auditors Training (4.8.6 f) 2023

RSPO Independent Smallholder Standard 2019

Sarsongko Wachyutomo
Manager, Certification (Smallholder)



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?

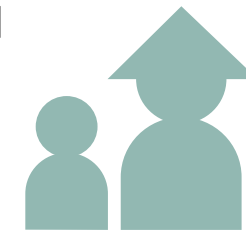
- Lower burden of entry into the RSPO system
 - Eligibility criteria
- Phased approach towards full compliance, with support for ISH
- P&Cs that are tailored to ISH context
- Simplified assessment and verification
- Easier and quicker access to markets

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 61 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

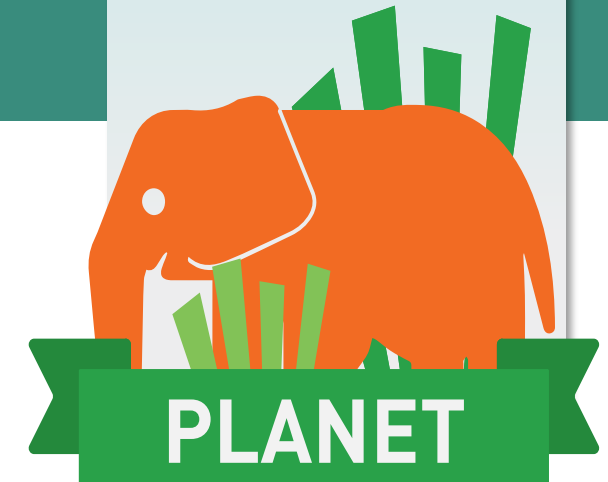
Principle 3:

Respect human rights, including workers' rights and conditions



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

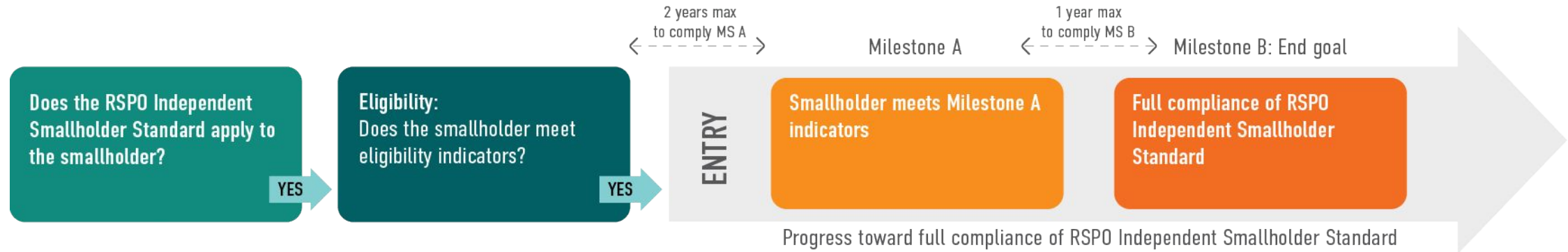
8 Indicators

- 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:

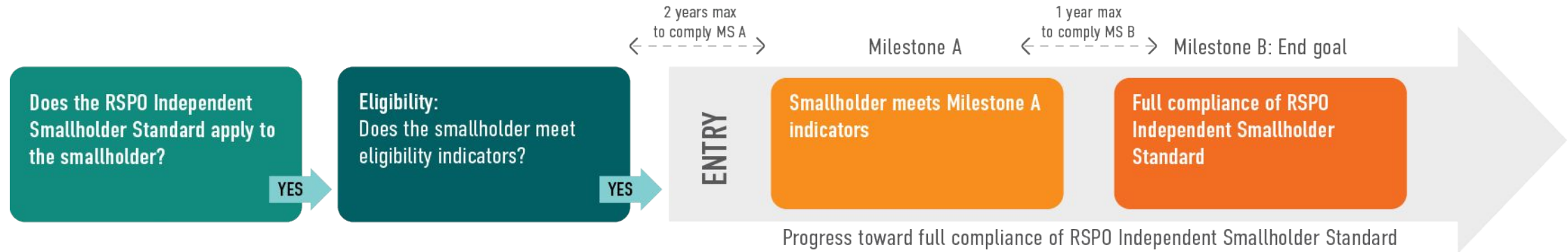
1.1. MS B Smallholder groups are operating in accordance to best management practices for groups, including:

- 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

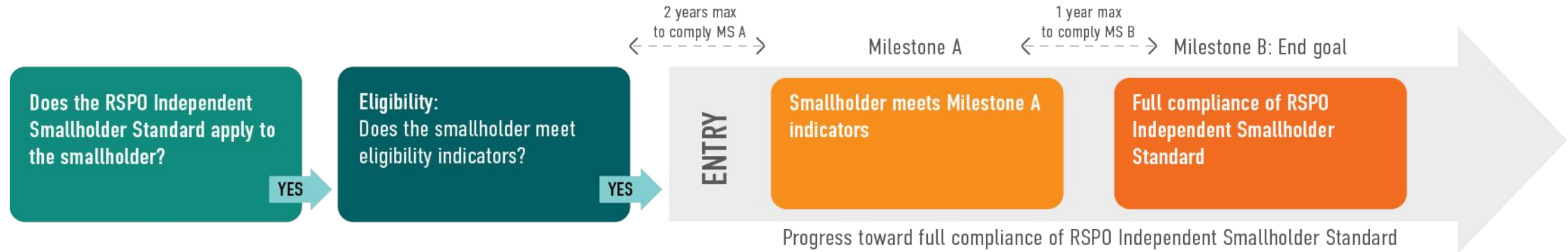
Milestone A:
1.2 MS A Smallholders complete training on farm business operations, monitoring and planning. The training includes capacity building on record keeping for production, including inputs and yields, transactions, and variety

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

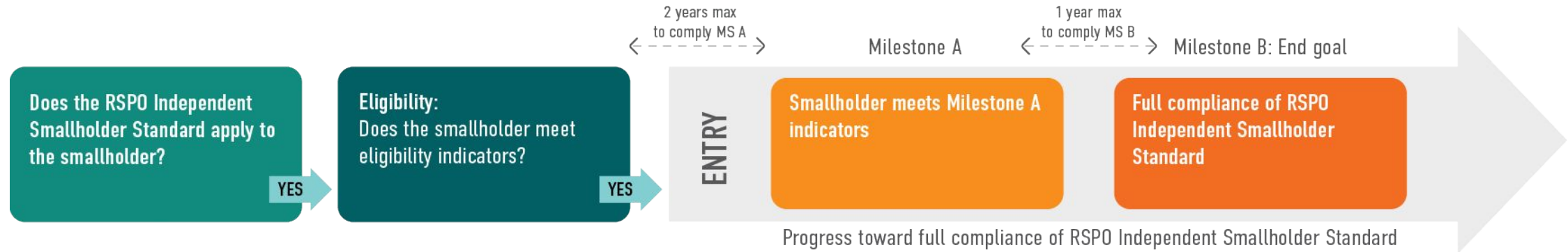
27 Indicators

- 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:

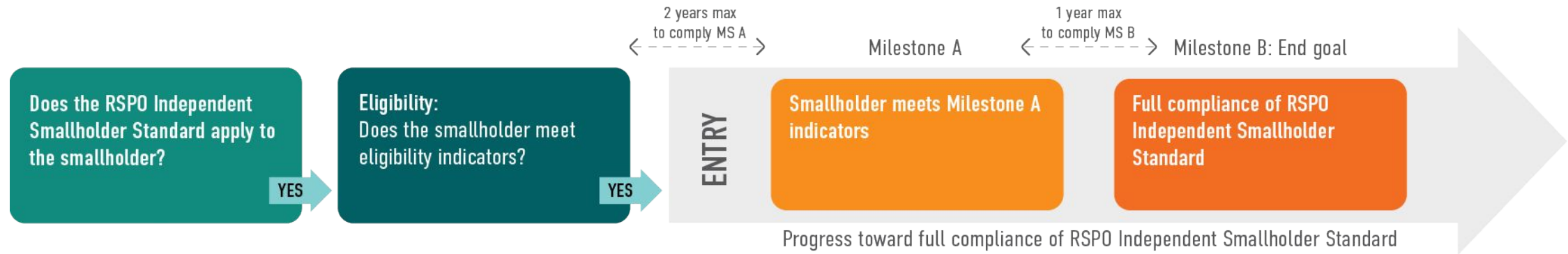
2.1 MS A Smallholders can demonstrate legal ownership or customary rights to use the land or demonstrate that they are in the process of legalisation of that right

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).

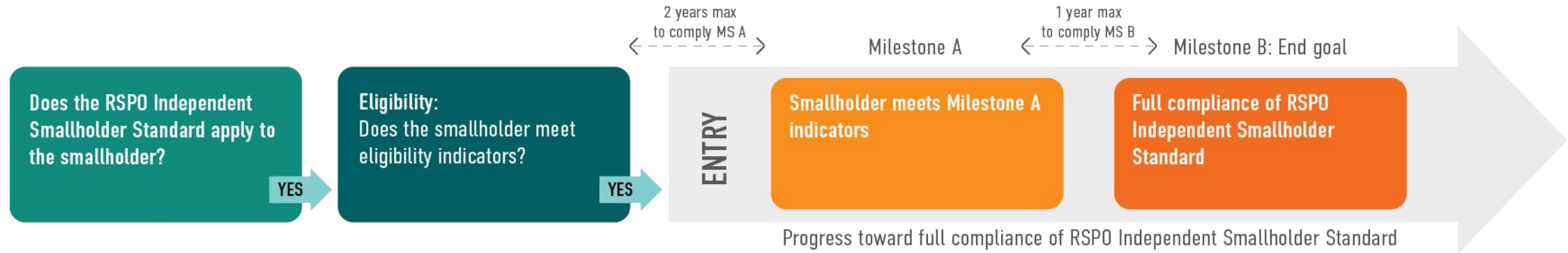
Milestone A:
2.2 MS A Same as Eligibility

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

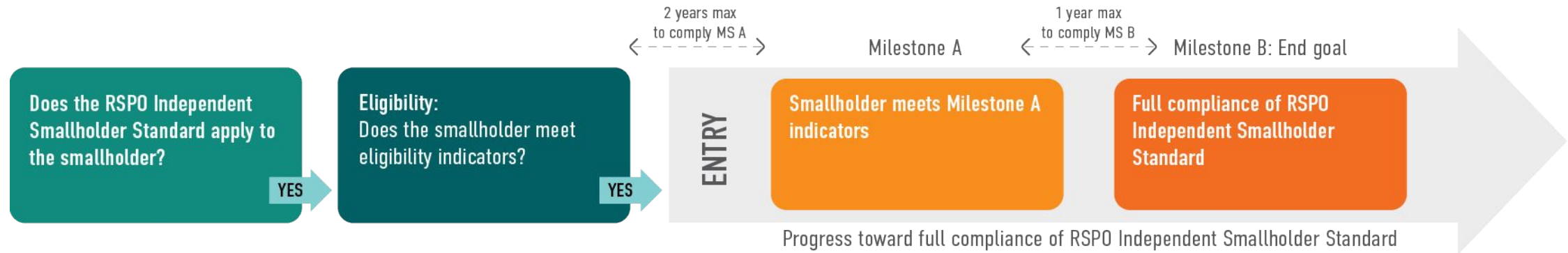
Milestone B:

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

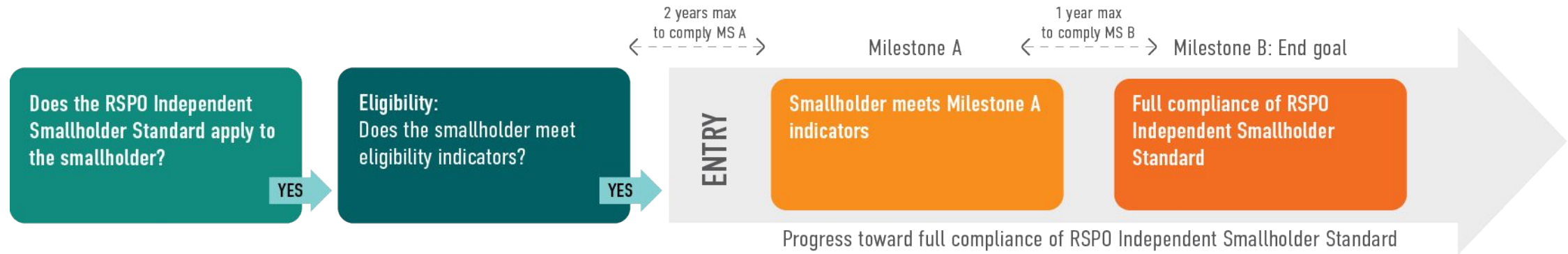
Milestone B:

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.

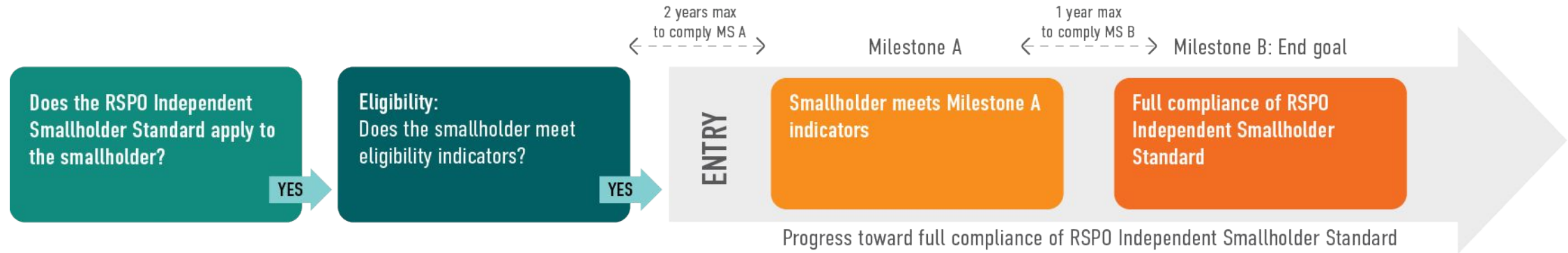
Milestone B:

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:

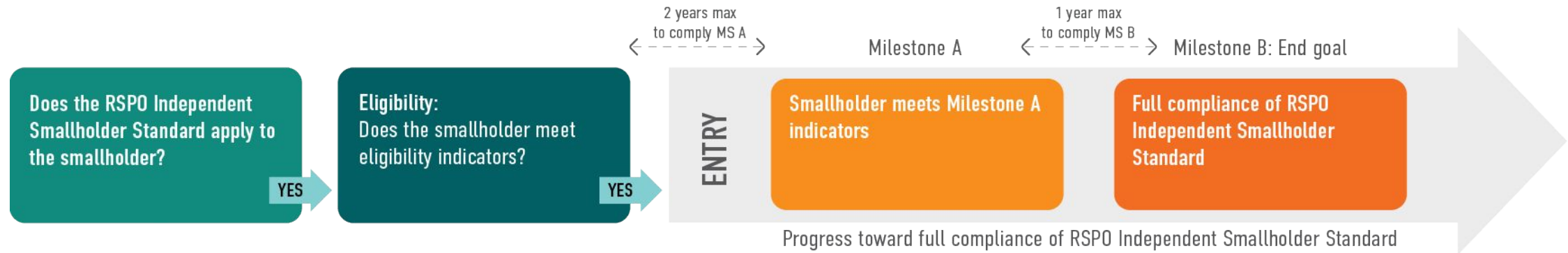
- Retention of identity documents or passports;
- Worker payment of recruitment fees;
- Contract substitution;
- Involuntary overtime;
- Lack of freedom of workers to resign;
- Penalty for termination of employment;
- Debt bondage;
- Withholding of wages

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.

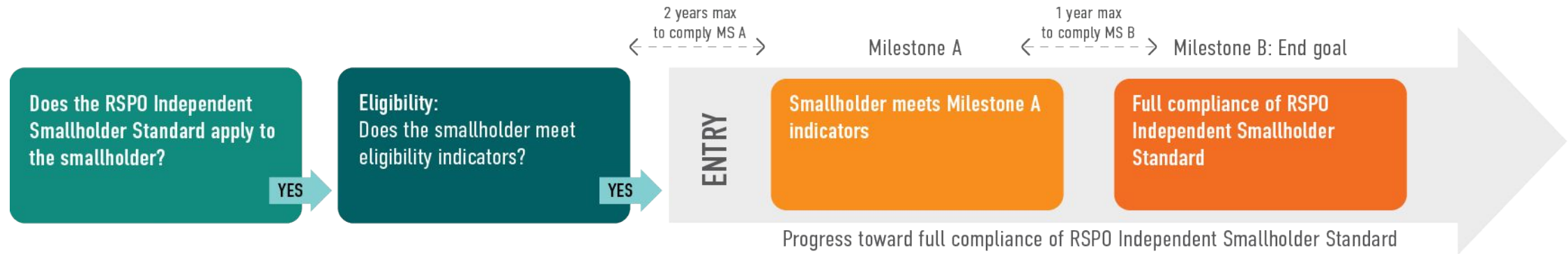
Milestone B:

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.

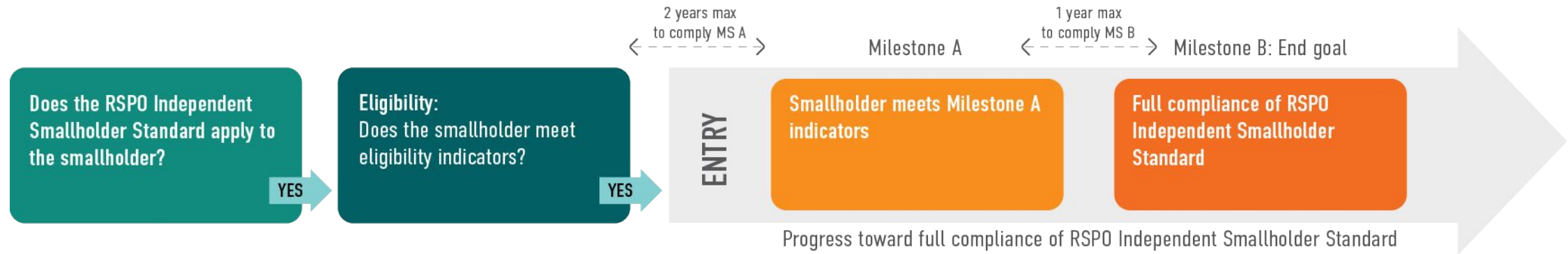
Milestone B:

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).

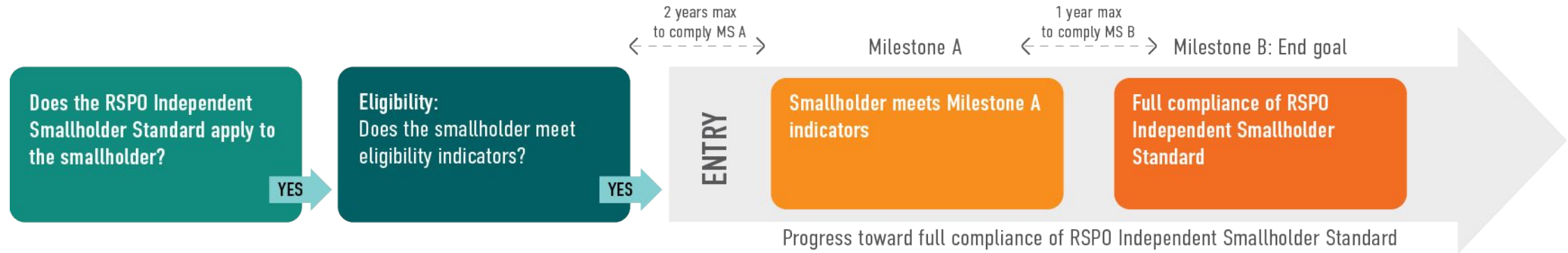
Milestone A:
3.4 MS A Smallholders complete training on workers' rights to file a complaint/grievance and communicate to workers the means to file a complaint/grievance

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:

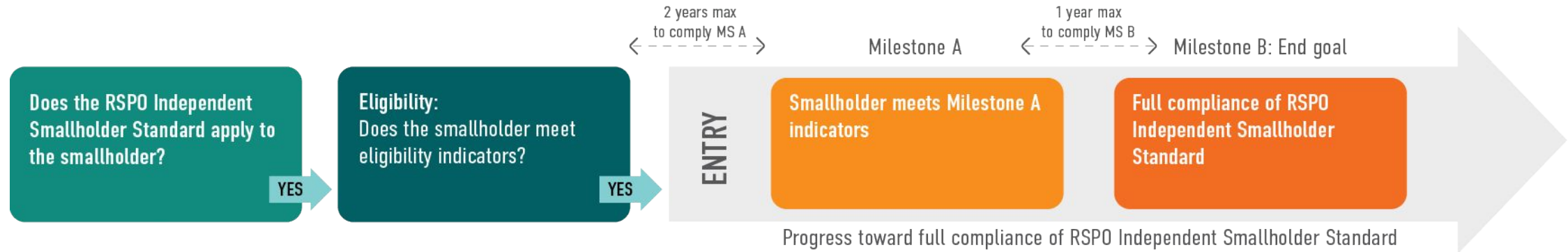
3.5 MS B Workers, including smallholder family members, have access to safe working conditions and amenities to include:

- 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

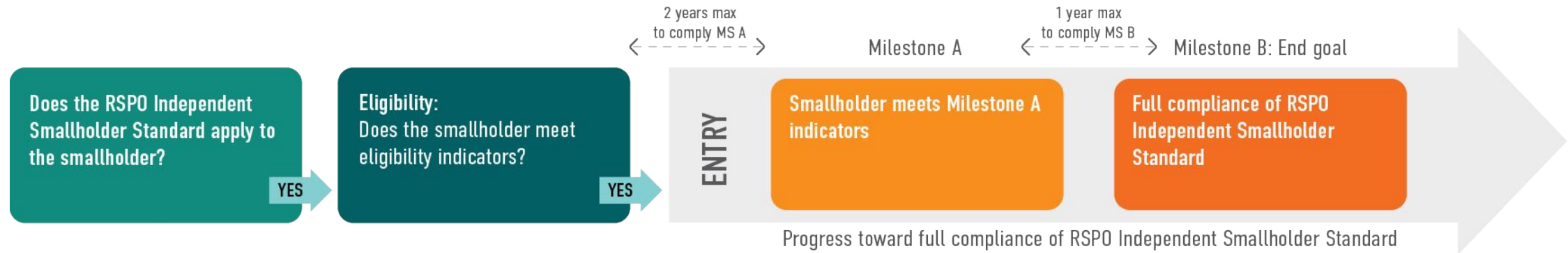
26 Indicators

- 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:

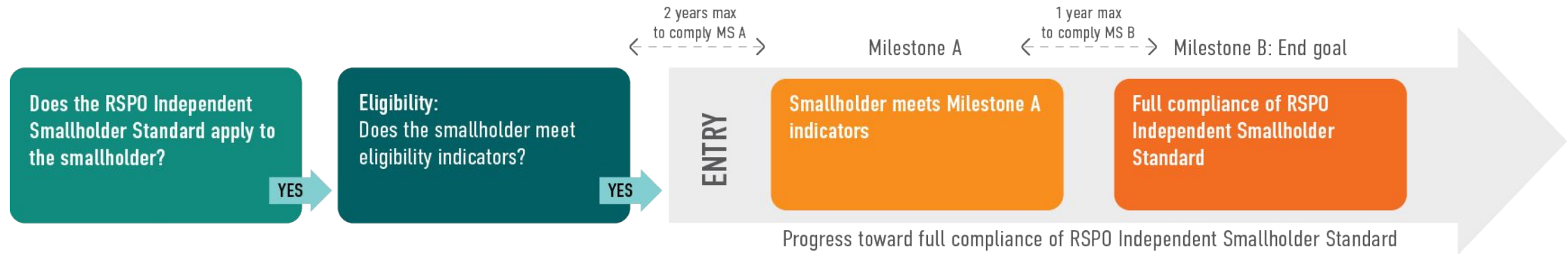
- the importance of maintaining and conserving HCVs and HCS forests;
- human-wildlife conflict and mitigation efforts
- rare, threatened and endangered species and important ecosystems

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

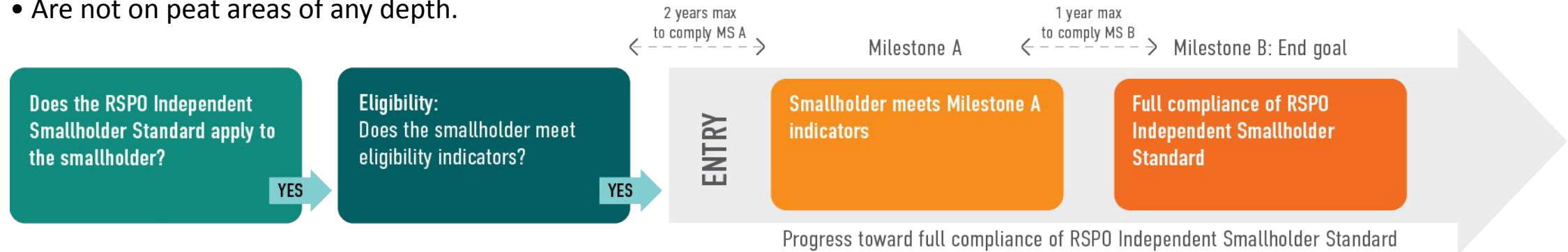
Milestone B:

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.

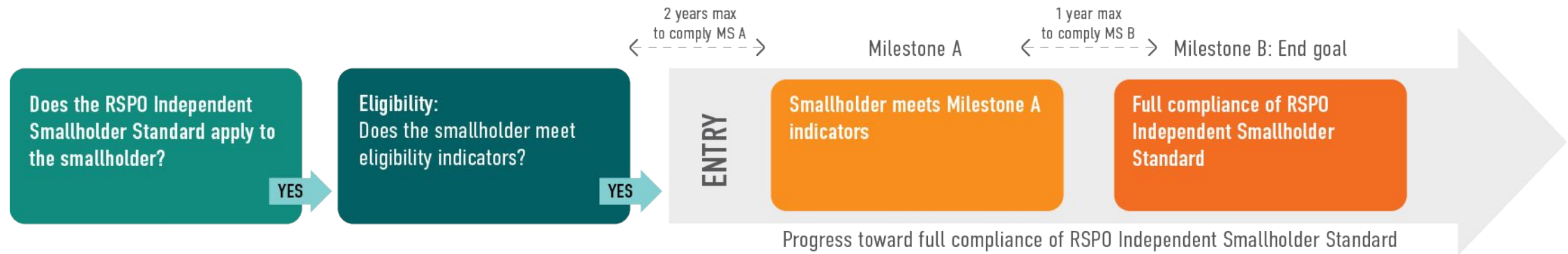
Milestone B:

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:

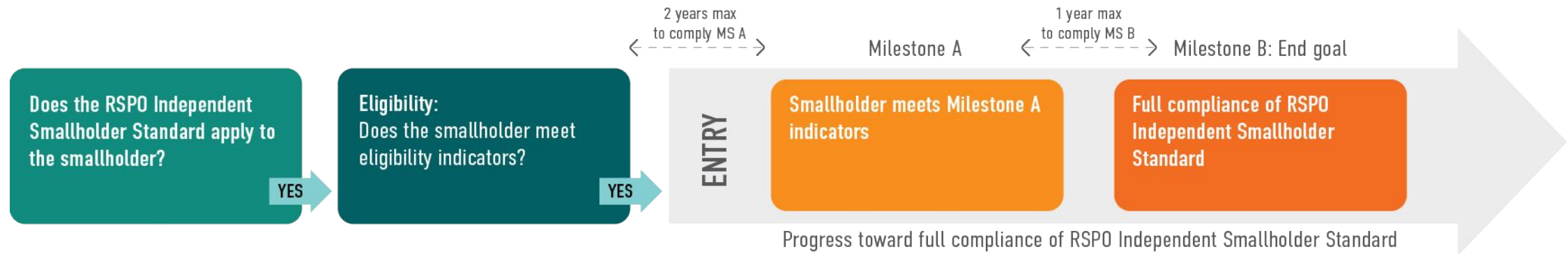
4.4 MS A Smallholders complete training on best management practices (BMPs) for peat. The group has an action plan to minimise risk of fire, to apply BMPs for plantings on peat and manage a water system in the certification unit.

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:

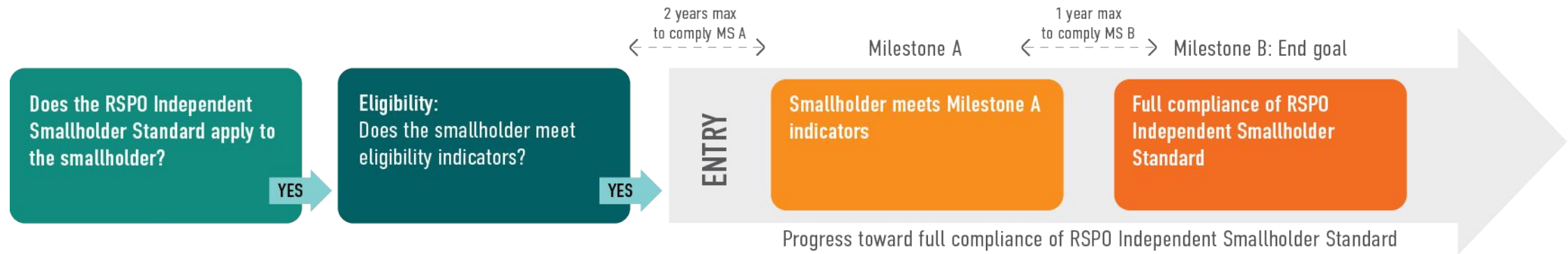
4.5 MS A Smallholders with plots on peat complete training on identification of future risks of flooding associated with subsidence and alternate land development strategies

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:

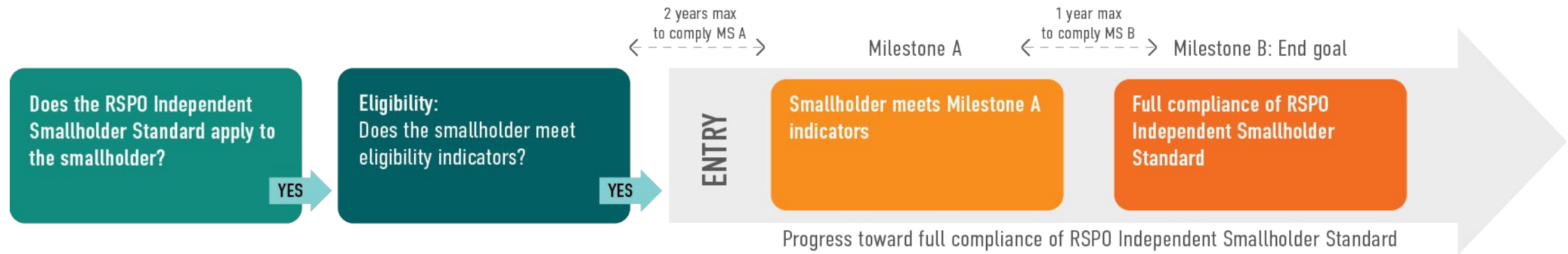
- Alternatives to fire for land preparation and farm waste management (where appropriate and possible)
- Alternatives to fire for pest control
- Fire prevention and how to respond to and manage fires in their community and village and manage fires in their community and village

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:

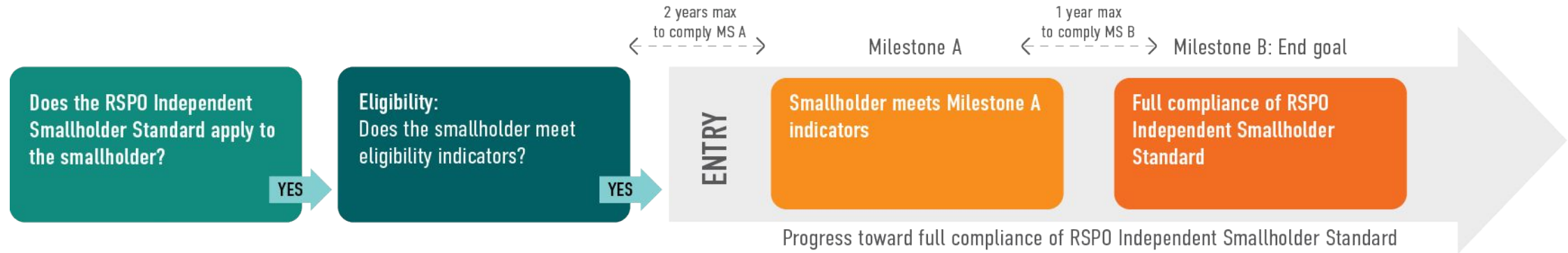
4.7 MS A Smallholders complete training on and are aware of riparian buffer zone management and the group has an action plan to maintain and/or enhance riparian buffer zones.

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).

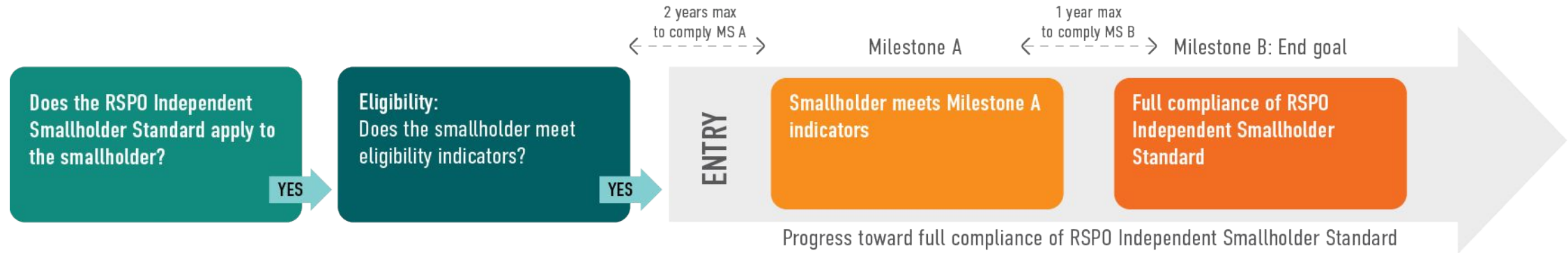
Milestone B:

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.

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 61 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

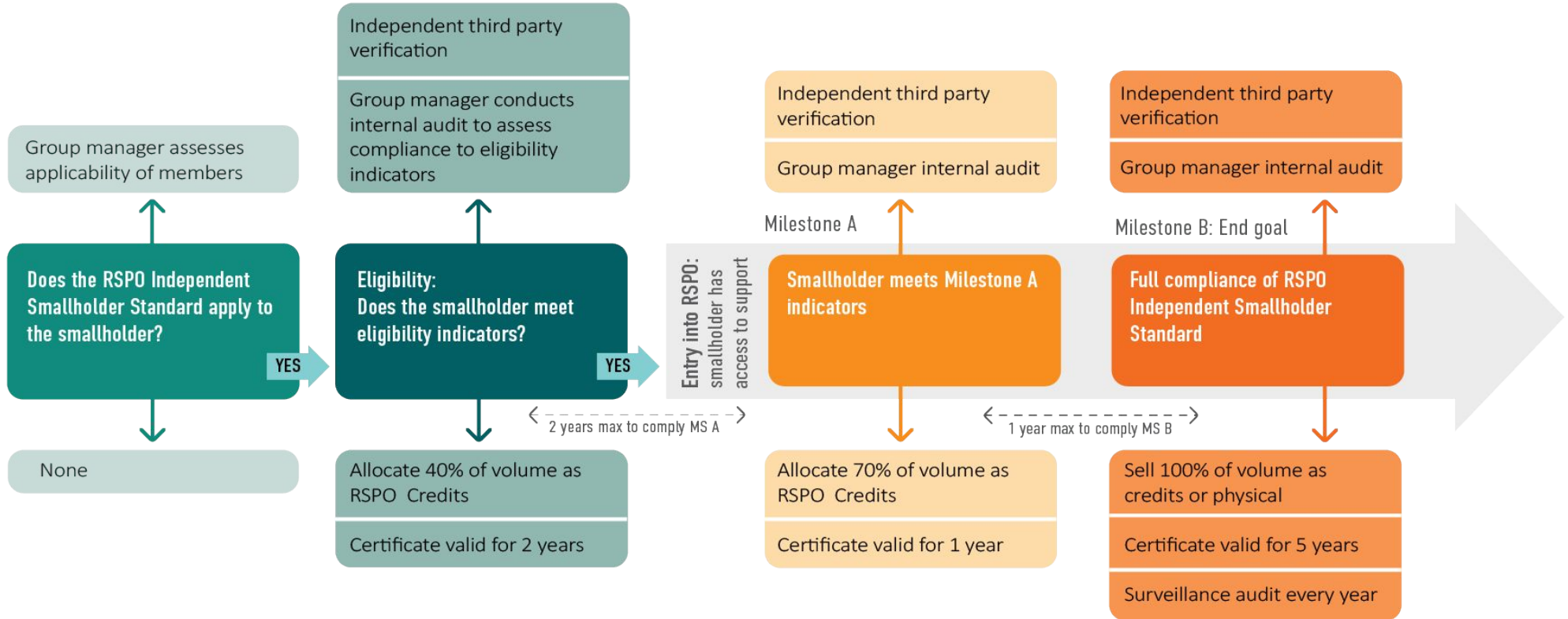
Assurance and Claims



Assurance

100% of smallholders compliant with indicators

Smallholder Credits



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.

RSPO RISS 2019 Auditors Training (4.8.6 f) 2023

QUESTION & ANSWER



www.rspo.org

Remediation and Compensation Procedure (RaCP) for Independent Smallholder

CB Interpretation Forum

Krabi, Thailand - August 2023



Outline

Introduction to Integrity Unit

Introduction of RaCP

RSPO Requirements – RaCP for
Independent Smallholder

RaCP Process Flow

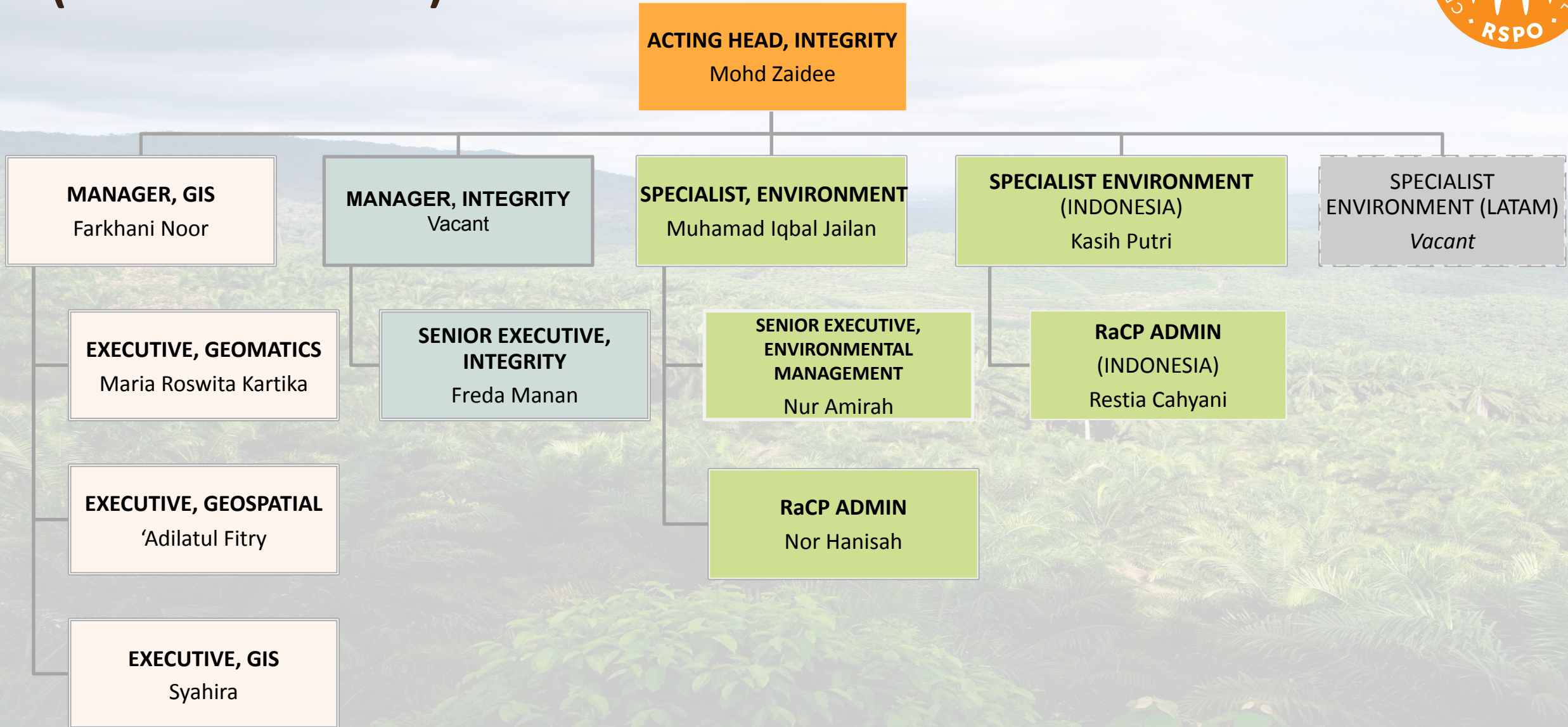
RaCP Documents





Introduction to Integrity Unit

Introduction to Integrity Unit (Assurance RSPO)



Introduction to Integrity Unit

INTEGRITY

- New Planting Procedure
- Palm GHG
- Assurance Standing Committee (ASC)



GIS

- LUCA RaCP & NPP
- Deforestation monitoring
- Hotspot Monitoring
- LURI
- Other related Geospatial task



SPECIALIST

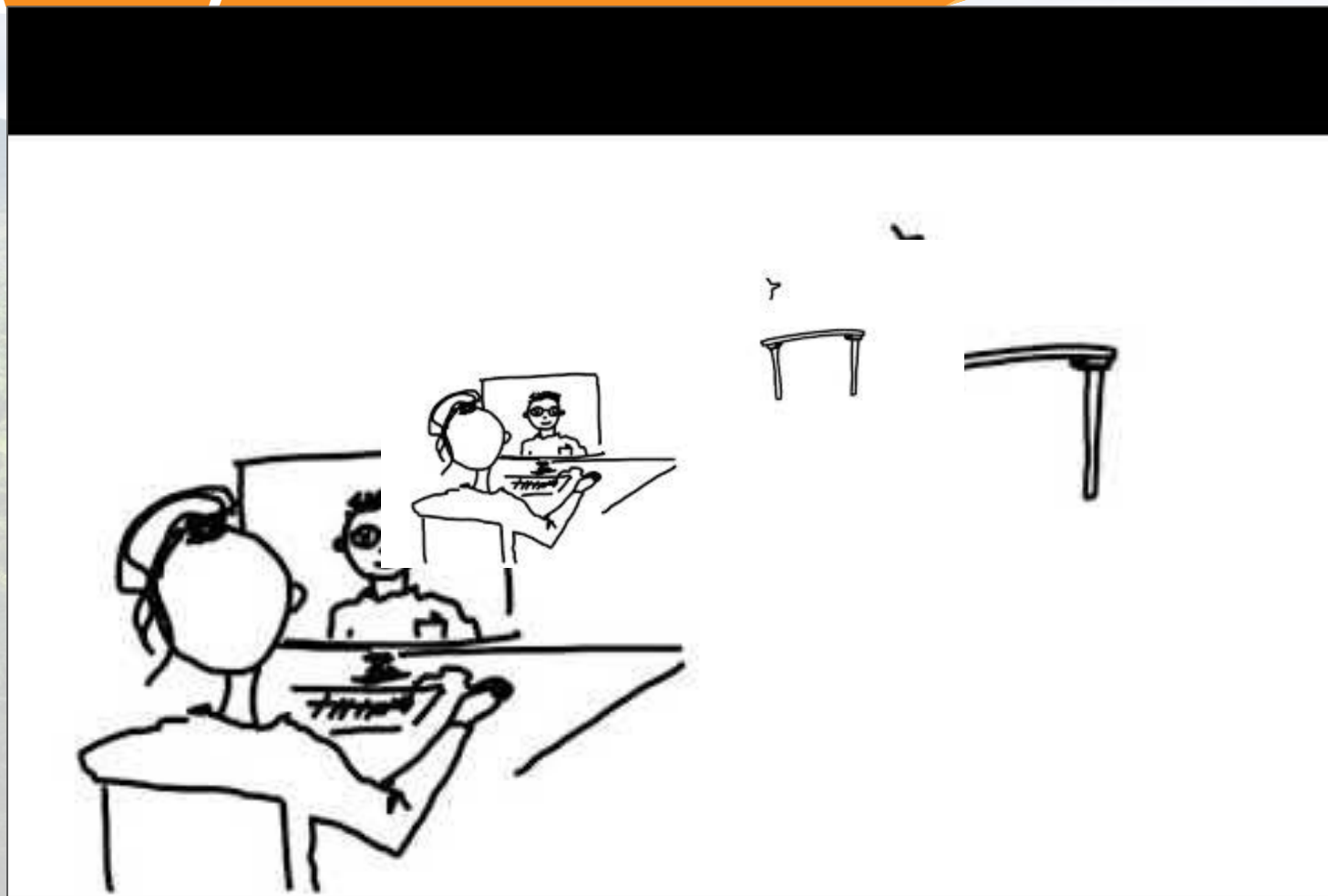
- Remediation and Compensation Procedure
- Drainability Assessment
- Peat Inventory
- Non-ALS HCV Review





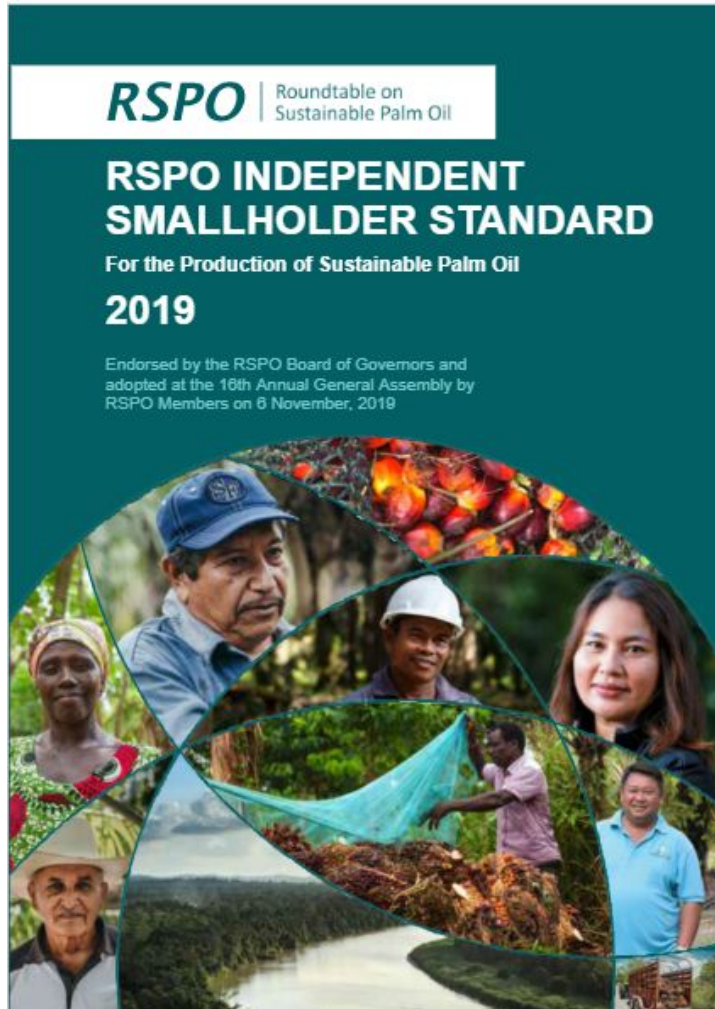
Introduction of RaCP

What is Remediation and Compensation Procedure (RaCP)?





RSPO Independent Smallholder Standard



RSPO INDEPENDENT SMALLHOLDER STANDARD

For the Production of Sustainable Palm Oil 2019

Endorsed by the RSPO Board of Governors and adopted at the 16th Annual General Assembly by RSPO Members on 6 November, 2019

This ISH Standard is applicable for:

- Existing plots under oil palm production; AND
- Plots that are allocated for replanting or new planting of oil palm; AND
- Plots that are, or may potentially, be allocated for new planting of oil palm.

(RISS; Page 9)



RSPO Independent Smallholder Standard

- They are **NOT a scheme smallholder** (see definition Annex 1).
- The total size of their oil palm production area is
 - **smaller than or equal to 50 hectares(ha) if no threshold is defined in a National Interpretation;**
 - **OR**
 - **smaller than or equal to the maximum size defined in a National Interpretation**
- They have the enforceable decision-making power on the operation of the land and production practices.
- They have the freedom to choose how they utilise the land, type of crops to plant, and how to manage them (how they organise, manage and finance the land).
- They meet any further criteria relative to the applicability of this standard as provided in the National Interpretation of their country.

(RISS, Page 8)

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).

(RISS, Page 9)



RSPO Requirements – RaCP for Independent Smallholders

RSPO Requirements – Applicability of RaCP



RSPO grower members, as well as growers applying for RSPO membership



Partial application to smallholders

RSPO Requirements – Applicability of RaCP for Independent Smallholder

	Impact Area ToC	ISH Standard
<p>PROSPERITY</p>	<p>PROSPERITY Competitive, resilient, and sustainable sector</p>	<p>Principle 1: Optimise productivity, efficiency, positive impacts and resilience</p>
<p>PEOPLE</p>	<p>PEOPLE Sustainable livelihoods & poverty reduction. Human rights protected, respected & remedied</p>	<p>Principle 2: Ensure Legality, Respect for Land Rights, and Community Wellbeing</p> <p>Principle 3: Respect workers' rights and conditions</p>
<p>PLANET</p>	<p>PLANET Conserved, protected and enhanced ecosystems that provide for the next generation</p>	<p>Principle 4: Protect, conserve and enhance ecosystems and the environment</p>

Preamble

RSPO INDEPENDENT SMALLHOLDER STANDARD (2019)

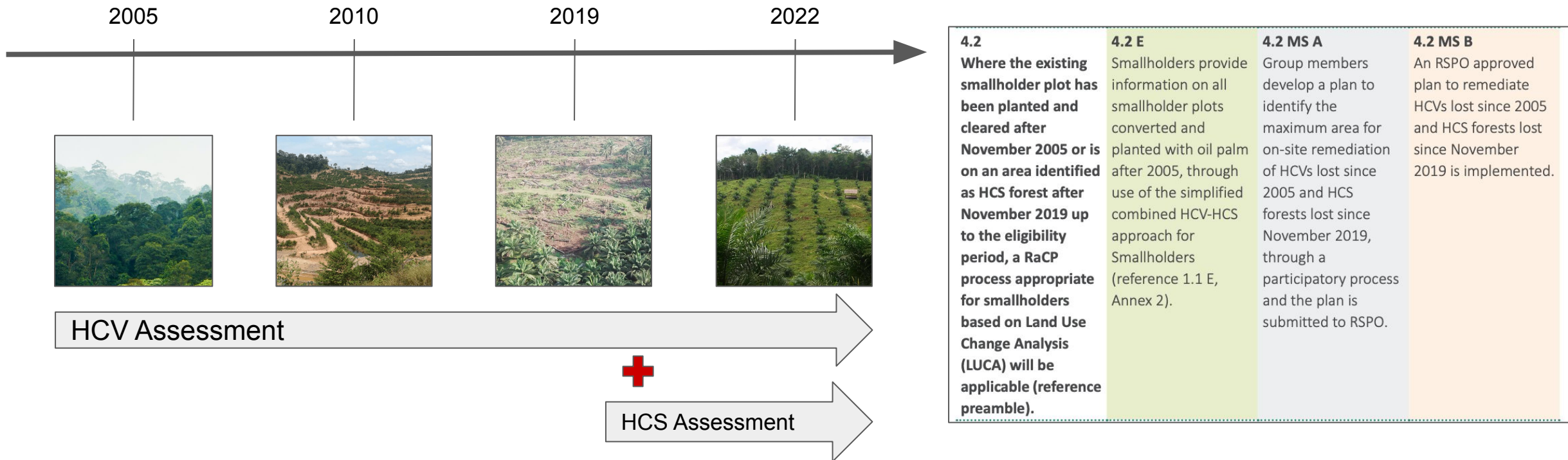
Remediation and Compensation Procedure (RaCP) Remediation and compensation are required for any clearance since November 2005 without prior HCV assessment (see criterion 4.2) and any clearance since November 2019 without prior HCS assessment.

- 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.**

(RISS, Page 41)

RSPO Requirements – RaCP for Independent Smallholders

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





RSPO Requirements – RaCP for Independent Smallholders

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

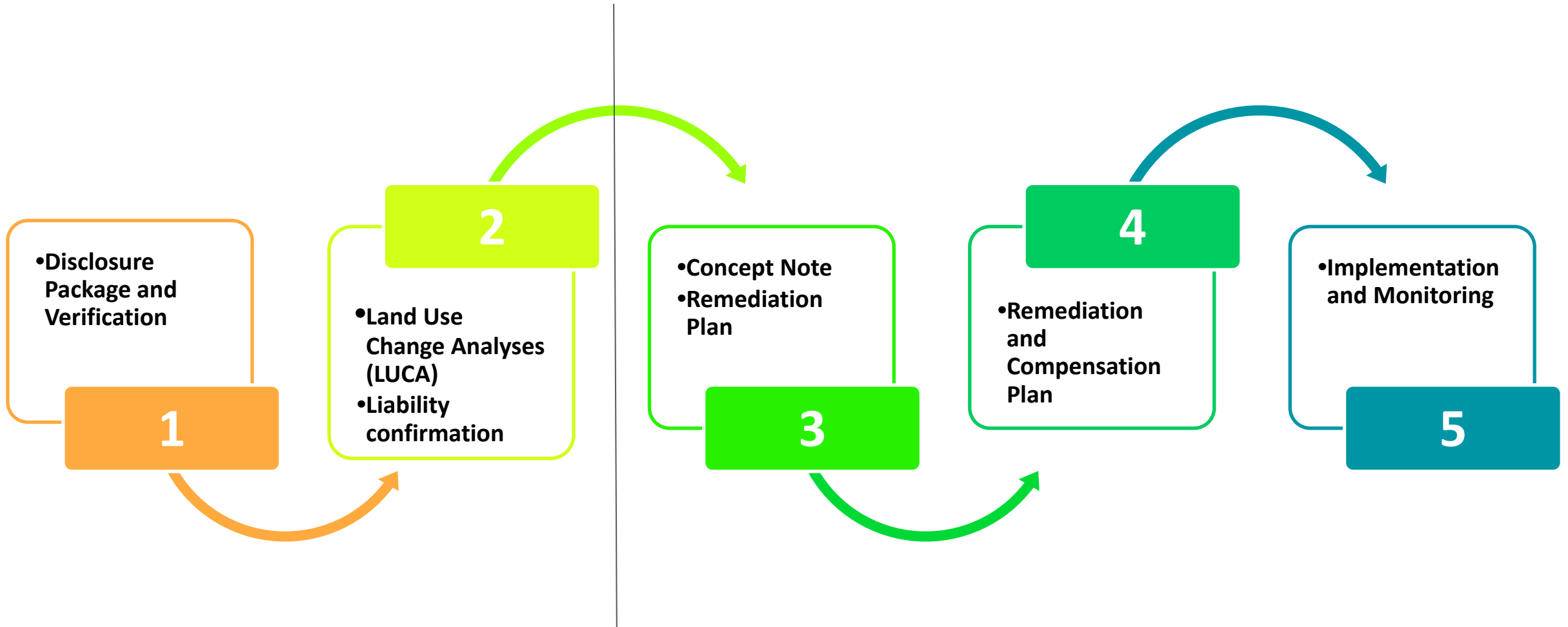
Indicator	Guidance for Group Manager	Guidance for Individual Member
<p>Criterion 4.2 Where the existing smallholder plot has been planted and cleared after November 2005 or is on an area identified as HCS forests after November 2019 up to the eligibility period, a RaCP appropriate for smallholders based 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

Guidance for Group Managers and Individual Group Members

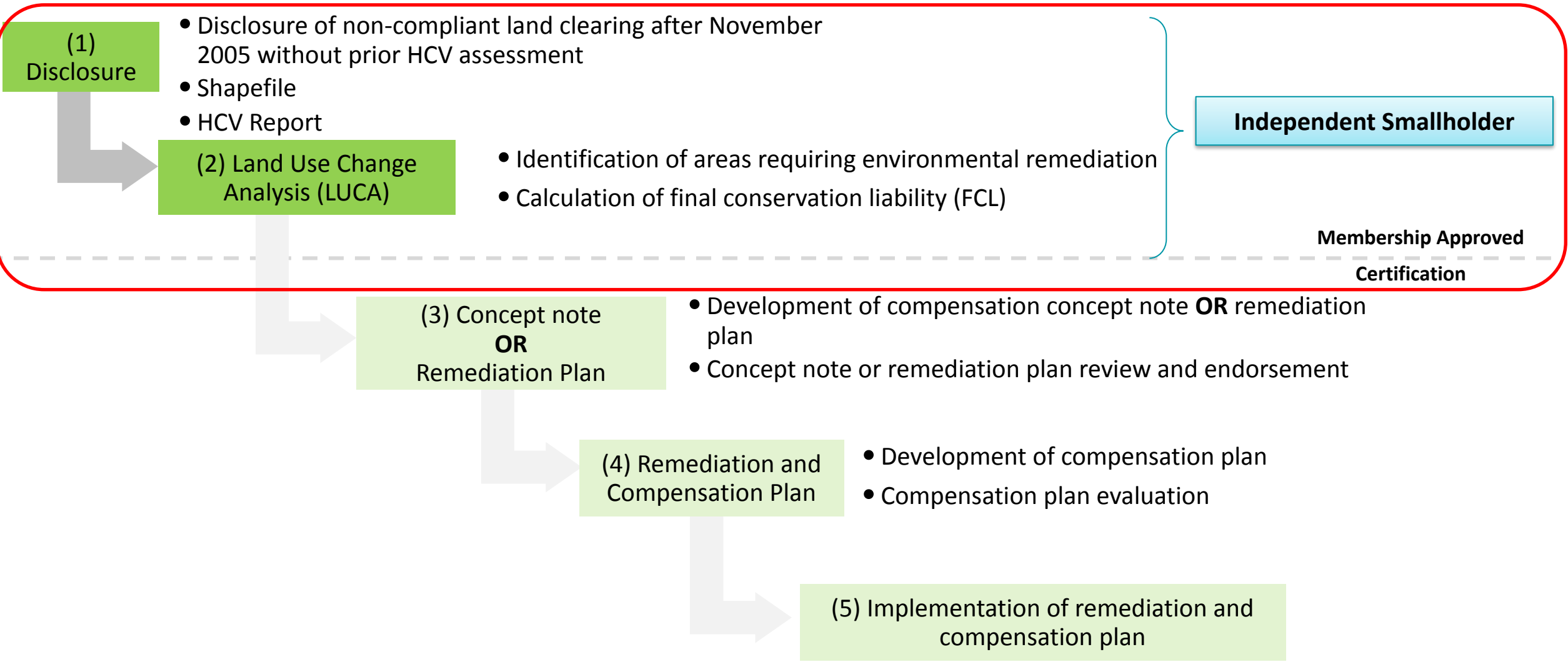


RaCP Process Flow

RaCP Process Flow



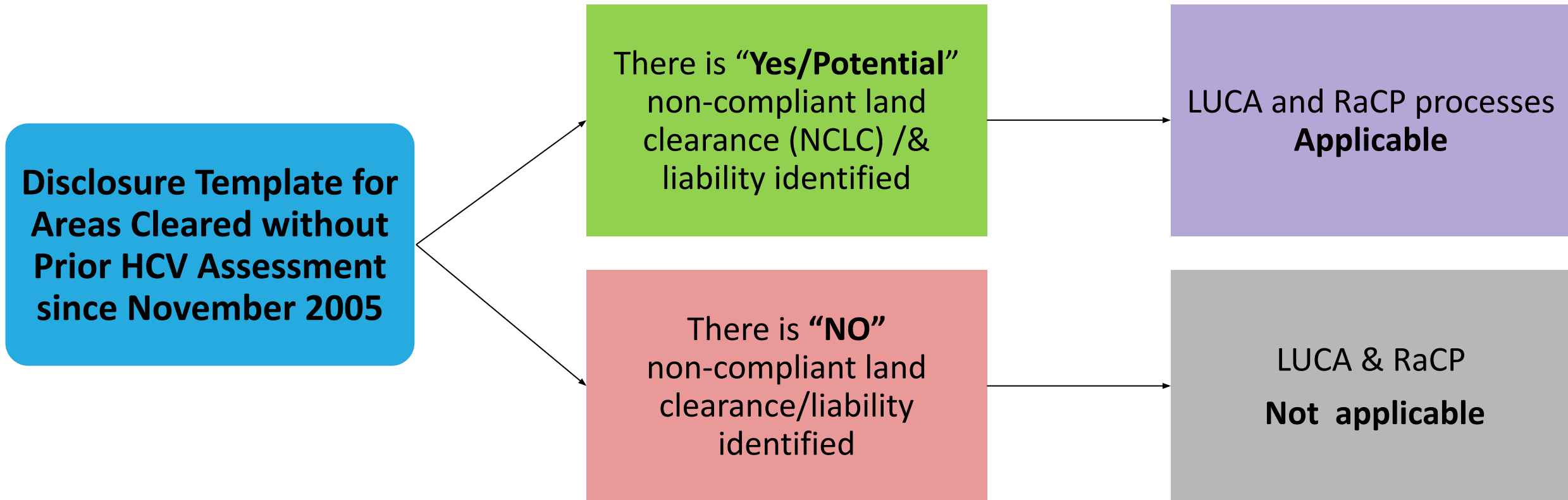
RaCP Process Flow – Independent Smallholder





RaCP Process Flow – (1) Disclosure

Findings of Disclosure Review



RaCP Process Flow – (2) Land Use Change Analysis (LUCA)



Findings of LUCA Review

Final Conservation Liability

- Conservation liability to compensate for the additional loss of environmental HCVs 1-3.

Environmental Remediation Liability

- Areas where clearing communities for the loss of HCVs 4-6 and vegetation and planting of oil palm is prohibited by the P&C (e.g. riparian zones, steep areas, fragile soils and peat areas).



RaCP Documents



RaCP Documents – RSPO Website

<https://rspo.org/resources/?category=remediation-compensation-procedure>

The screenshot shows the RSPO website interface. At the top, there is a navigation bar with links for Search members, Standards Review 2022-2023, News & events, Resources, Contact us, MyRSPO, and EN. Below this is the RSPO logo and the tagline 'Roundtable on Sustainable Palm Oil'. The main navigation menu includes 'WHY SUSTAINABLE PALM OIL?', 'WHO WE ARE', 'OUR IMPACT', and 'GET INVOLVED'. The breadcrumb trail indicates the current page is 'Resources > Remediation and Compensation Procedures (RaCP) > Remediation Compensation Procedure'. On the left, there is a 'Filter' section with a list of categories, including 'Remediation and Compensation Procedures (RaCP)'. The main content area displays a table of documents under the heading 'REMEDIATION COMPENSATION PROCEDURE'. The table has columns for TITLE, FILETYPE, FILE(S), LANGUAGE, and MODIFIED. A yellow box highlights the document 'Disclosure Template for Areas Cleared without Prior HCV Assessment since November 2005'.

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
Disclosure Template for Areas Cleared without Prior HCV Assessment since November 2005	docx		en	24 Feb 2020
Final Guidance on Social HCVs Identification	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

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



RaCP Documents - 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	Example A			2.5	Oil Palm	N/A	No		Aug-97	Aug-17	New farmer
2	Example B			10	Forest	Others (please specify in 'remarks' column)	Yes	Jan 2010, Feb 2014		N/A	New farmer
3	Example C			7.5	Rubber	Forest	Yes	Jan 2009, Dec 2011, March 2014		N/A	Existing farmer with new plot



RaCP Documents - ISH Disclosure Form

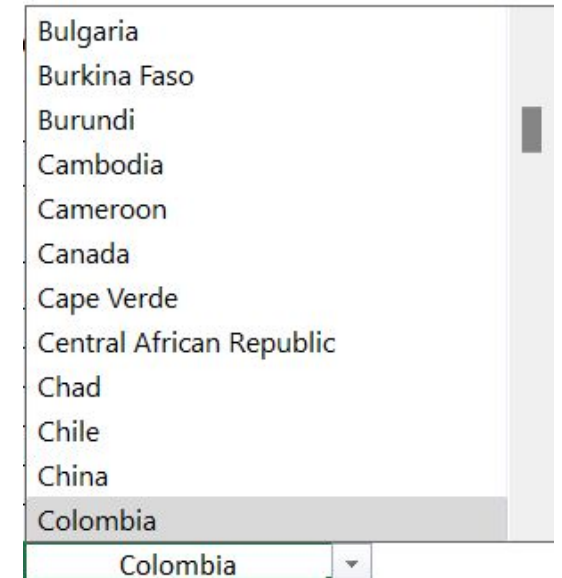
Reporting Template for Disclosure of Areas Cleared without Prior HCV Assessment since November 2005 (Independent Smallholders)

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.





RaCP Documents - ISH Disclosure Form

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

No.	Name of Farmer	Farmer ID	Total size of land managed	Total Area Planted	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	BOX A: Please state the planting month and year	BOX B: Please state the month	Please state the month and year of	Is the farmer new to the group or an existing with addition of plot(s)?
1	Example A			2.5	Oil Palm			N/A	No		Aug-97	Aug-17	New farmer
2	Example B			10	Forest	Others (please specify in 'remarks' column)		Savannah	Yes	Jan 2010, Feb 2014		N/A	New farmer
3	Example C			7.5	Rubber	Forest	Rice	N/A	Yes	Jan 2009, Dec 2011, March 2014		N/A	Existing farmer with new plot



Challenges and lesson learnt in RaCP Submission for Independent Smallholder



Challenges & Lesson learnt

- Shapefile submission

- Incorrect Shapefile ([Refer Guidance on Map Submission for Land Use Change Analysis \(LUCA\) for Independent Smallholders](#))
- Missing Shapefiles and Overlapping Shapefile.
- Shapefile information/Attribute table not in English and lack information (e.g to include Unique ID for one ISH with different plot)
- Shapefile and Disclosure Form not tally.

- HCV Assessment Report

- Incomplete, (e.g. No Maps or visual evidence)
- Do not reflect/include list of smallholder in the Disclosure Form

- Disclosure Form

- Disclosure Form not completed (e.g. Box A and Box B submitted is blank without information)
- Land Use status before it turns into oil palm is not clear
- Group Manager include the certified area into new group submission (e.g. Certified ISH without additional hectarage been disclose in new submission)



Sample Audit

Sample Audit



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

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).

<p>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).</p>		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N.A										
<p>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:</p> <table border="1"> <thead> <tr> <th>Period</th> <th>Land Use Change</th> </tr> </thead> <tbody> <tr> <td>2005 – 2007</td> <td>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.</td> </tr> <tr> <td>2007 – 2009</td> <td>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.</td> </tr> <tr> <td>Jan 2010 – May 2014</td> <td>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.</td> </tr> <tr> <td>May 2014 – Feb 2017</td> <td>No further conversion was noted during this period.</td> </tr> </tbody> </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.	<p>NCR No :</p>
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.											
<p>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</p>		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N.A										
<p>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</p>		<p>NCR No :</p>										

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.

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.

<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N.A
<p>NCR No :</p>



Find out more at
www.rspo.org

Land Use Change Analysis for Independent Smallholder (LUCA for ISH)

25 August 2023
Krabi, Thailand

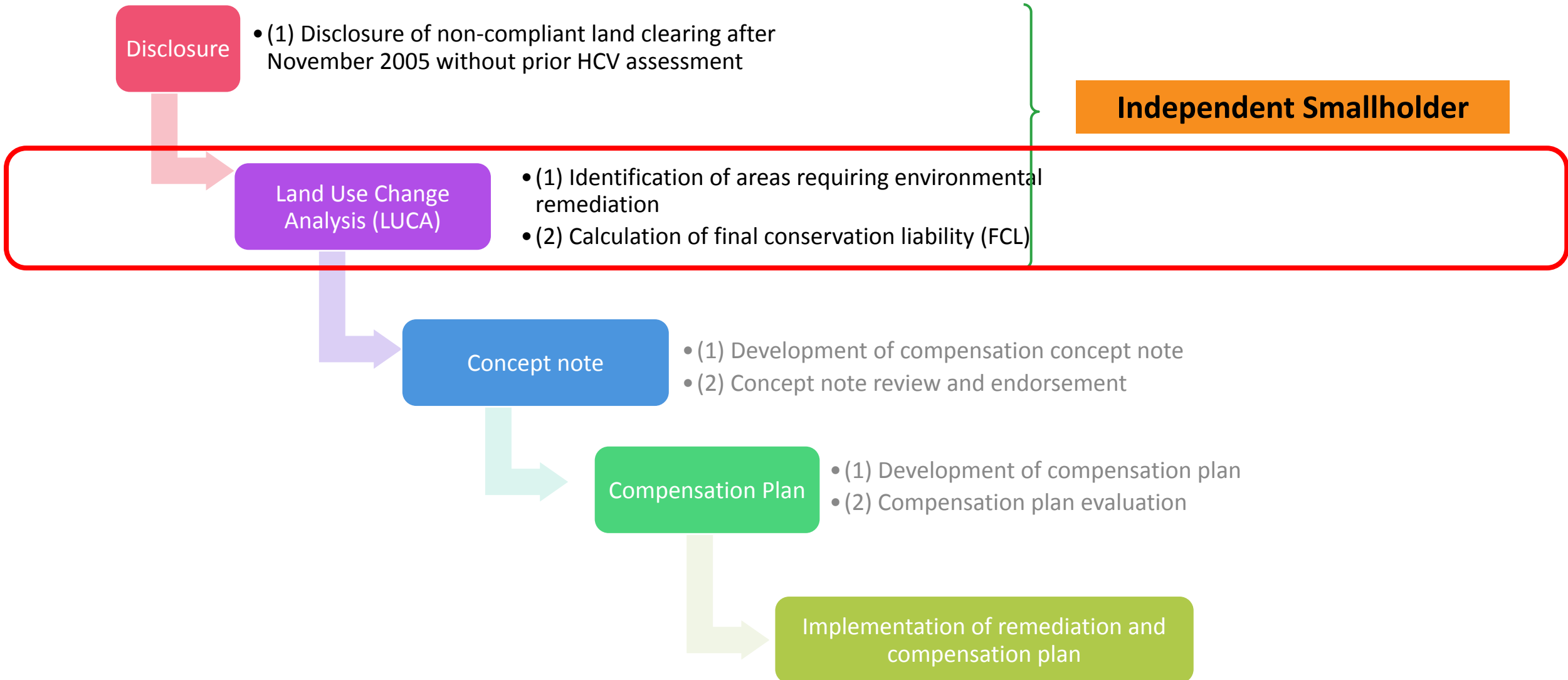


Outline



- Rationale
- LUCA Submission Process Flow
- Who is required to do the LUCA
- How to identify correct vegetation coefficient
- Information required with disclosure form
- Data requirements – specification for ISH
- LUCA Reporting Process & Requirements for ISH
- GIS Unit Role in RaCP

Key steps of RaCP for ISH



Rationale



Land Use Change Analysis (LUCA) is primarily intended to support RacP and NPP procedure to:

Encourage preservation of biodiversity, environmental, and socio-cultural HCVs

Safeguard the areas necessary to maintain them in the context of oil palm expansion

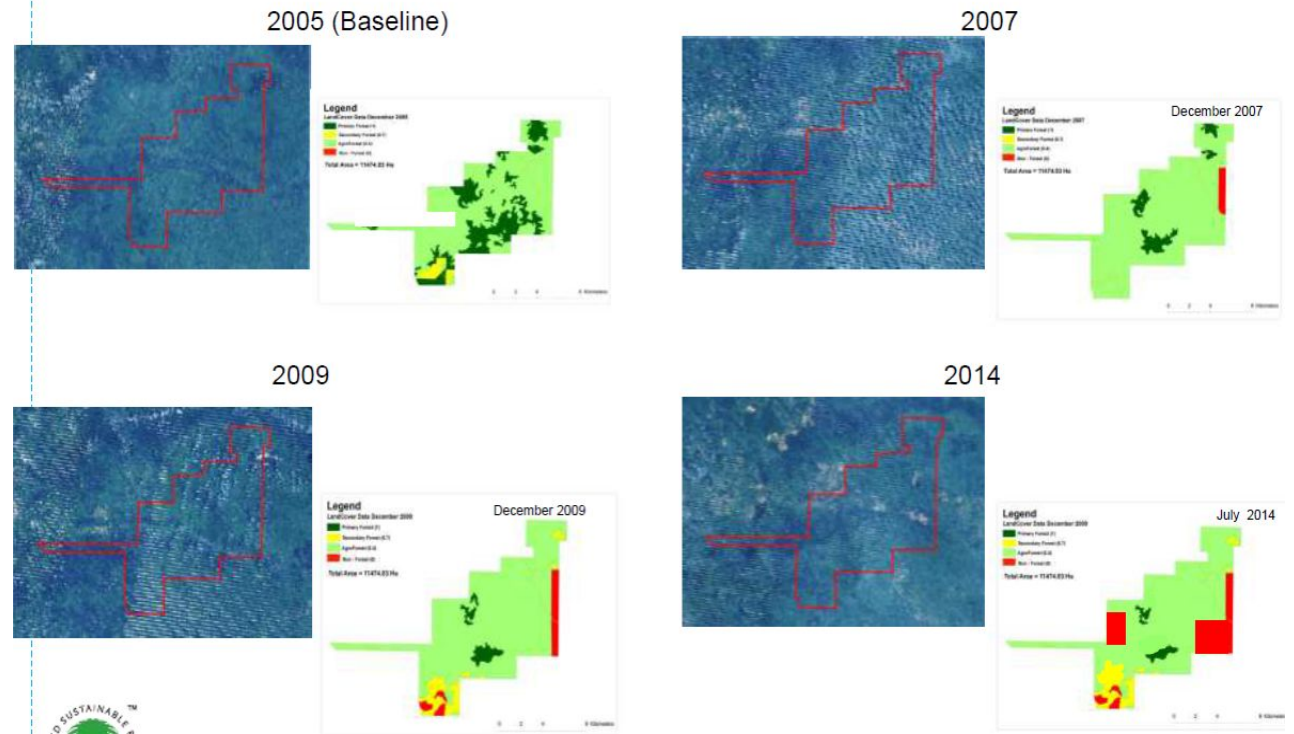
Protection for endangered animals, specific vegetation, prevent erosion, protecting riparian buffer

Land Use Change Analysis (LUCA) RaCP

LUCA enables growers to maximise positive environmental impact on-site.
The disclosed liability will be assessed and quantified in this process.

LUCA will analyse the whole area owned by the grower where the land opening did not comply to RSPO rule. i.e where

- the existing plot planted / cleared after November 2005, or
- the existing plot planted / cleared on an area identified as HCS forest after November 2019

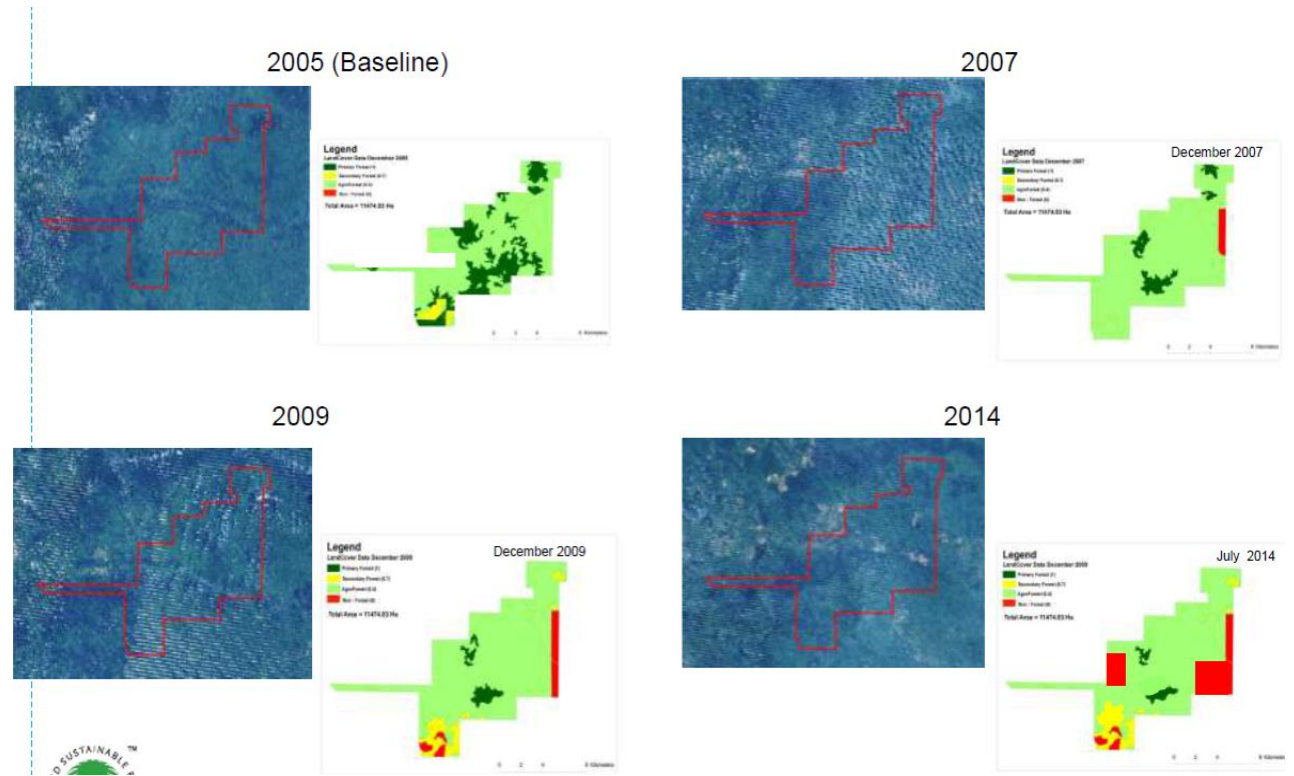


Land Use Change Analysis (LUCA) RaCP

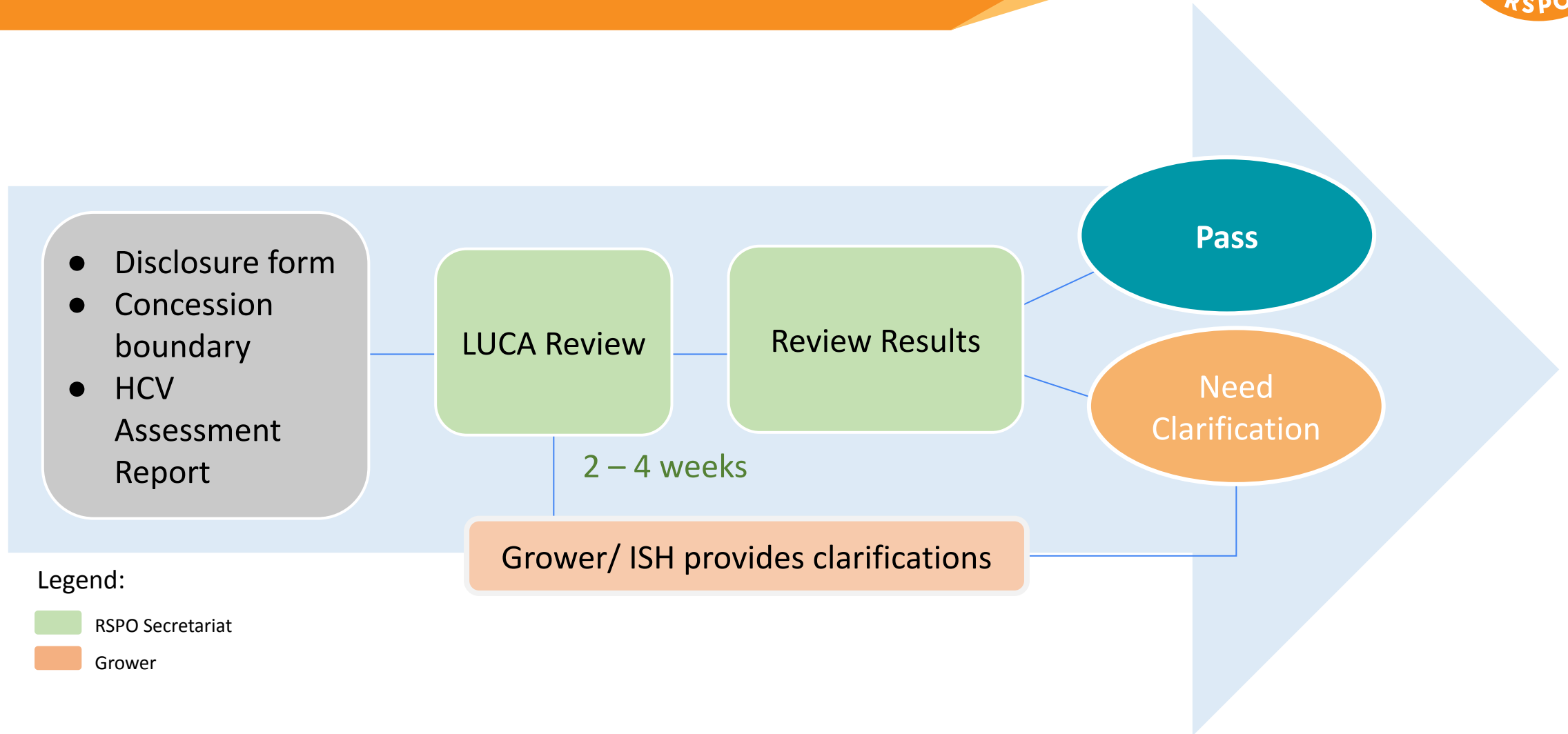
LUCA enables growers to maximise positive environmental impact on-site.
The disclosed liability will be assessed and quantified in this process.

LUCA will determine

- The area for remediation
- Final Conservation Liability (FCL), also known as conservation responsibilities



LUCA Submission Process Flow



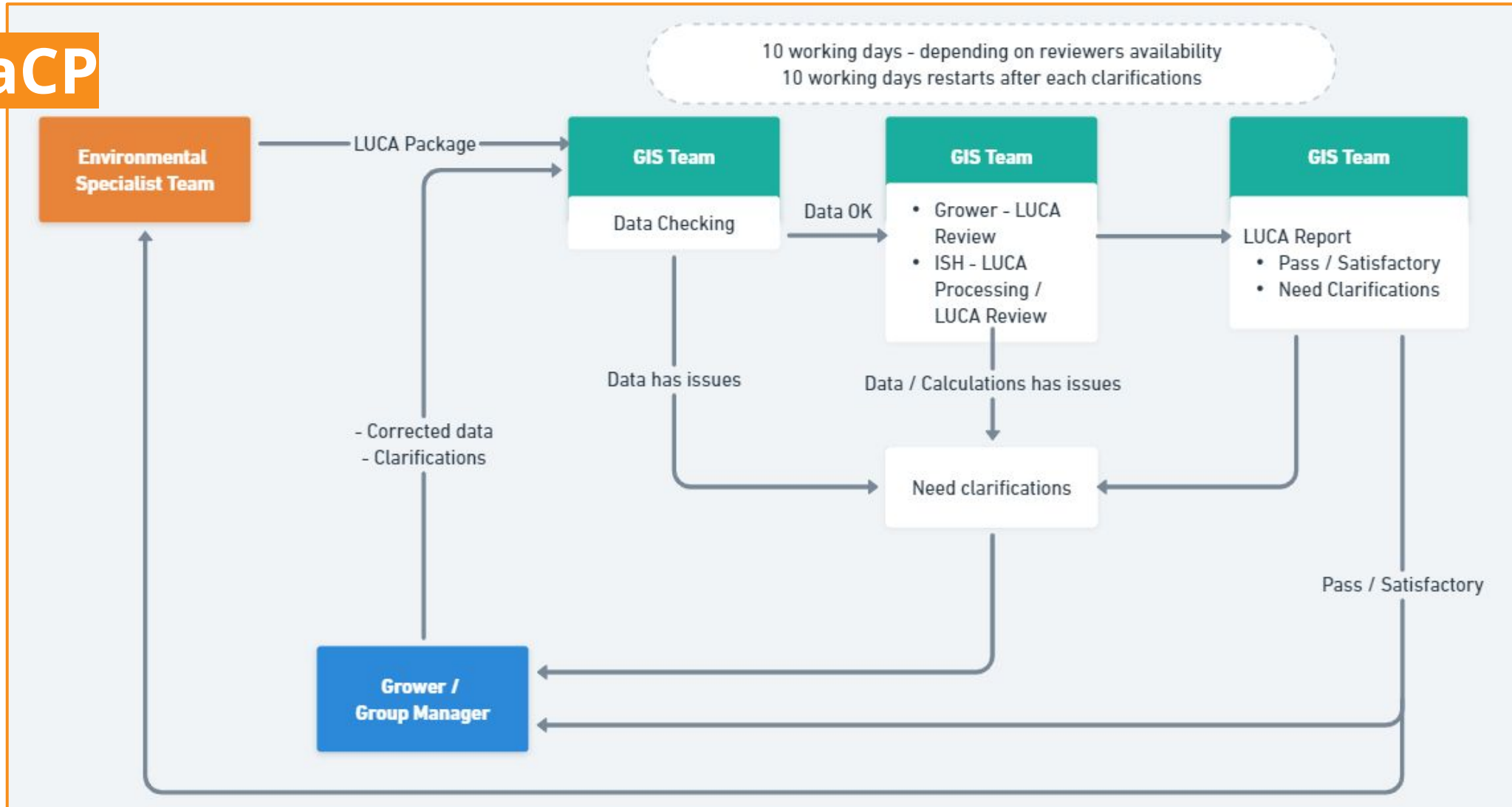
Legend:

- RSPO Secretariat
- Grower

GIS Team Roles in RaCP Process



RaCP



Who is required to do the LUCA?

LUCA is required for all management units with non-compliant land clearance (NCLC) i.e. Planting year after Nov 2005 & before HCV assessment

Land cover in November 2005 is used as proxy for the potential HCVs that may have been lost.

The LUC analysis will help determine remediation needs and compensation liabilities by identifying:

- Areas with potential loss of environmental HCVs (HCV 1-4).
- Areas where clearing vegetation and planting of oil palm is prohibited by the P&C
- Areas with potential loss of HCV 4-6 for affected communities [rarely and very limited in spatial analysis]

- Who owned/managed the area at the time of clearance?
- Was the clearance corporate or non-corporate?

	Land controlled by a non-member at time of clearance	Land controlled by a RSPO member at the time of clearance <i>Including land acquired from other RSPO members</i>
Land clearance after 9 May 2014	Twice the sum of all corporate clearance ⁹ without prior HCV assessment multiplied by their vegetation coefficient(s) in Nov. 2005	Expulsion from RSPO* If the areas are later acquired by another RSPO member and only if the seller was a member of RSPO before 9 May 2014, liability is as per "non-member"
Land cleared from 1 January 2010 to 9 May 2014	The sum of all corporate clearance without prior HCV assessment multiplied by their vegetation coefficient(s) in Nov. 2005	Twice the sum of all corporate clearance without prior HCV assessment multiplied by their vegetation coefficient(s) in Nov. 2005.
Land cleared from December 2007 to 31 December 2009	Half the sum of all corporate clearance without prior HCV assessment multiplied by their vegetation coefficient(s) in Nov. 2005	The sum of all corporate clearance without prior HCV assessment multiplied by their vegetation coefficient(s) in Nov. 2005
Land cleared from November 2005 to November 2007 ¹⁰	No additional conservation liability	No additional conservation liability

When did the clearance occur?

4. LUCA - Vegetation Coefficient

Land cover vegetation coefficients



Coefficient 1.0
*Structurally complex forest
with uneven or multi
layered canopy*



Coefficient 0.4
Multi-species agroforestry



Coefficient 0.7
*Structurally simplified or
degraded forest with even
or single layered canopy*



Coefficient 0.0
*Highly modified and/or
degraded areas retaining
little to no natural,
structurally intact
vegetation*

Final Conservation Liability

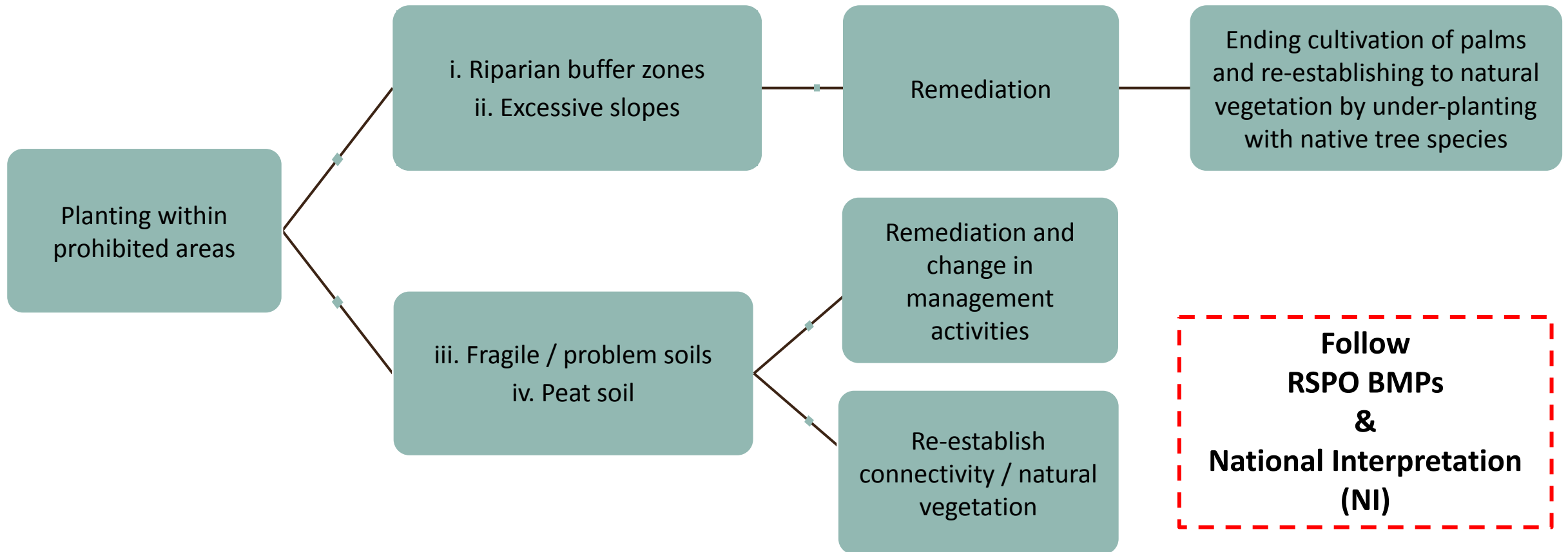


Final Conservation Liability

The results obtained from the Land Use Change Analysis is used to calculate the Final Conservation Liability (ha).

The Final Conservation Liability determines the scale of the conservation project which must be undertaken for the grower to meet their compensation liability and proceed with RSPO certification.

Prohibited Areas in LUCA - Identify & Quantify



LUCA Report for Auditors

2 March 2023 (Thursday)
Accra, Thailand

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Which part of LUCA report are useful for ISH audits?



RSPO Independent Smallholder Standard Auditor's Checklist

The RSPO Independent Smallholder Standard was developed in response to the growing recognition by stakeholders for the need to increase smallholders' inclusion into the RSPO system through a mechanism that takes into consideration the diversity of challenges and situations faced by smallholders globally, together with their varying needs and concerns.

The standard is applied to ISHs producing the fresh fruit bunches (FFB). It was designed to provide the principle, criteria, indicators and guidance for the production of sustainable palm oil. This checklist is a supporting document prepared to assist auditors in assessing compliance of each requirement. It can also be used by the ISH Group Manager to design their management system for adherence to the stated requirements.

Info

- a) This document is intended as a guide for certification bodies. It may also be used by group managers
- b) This is a final checklist for dissemination
- c) Non-compliances issued to an Independent Smallholder (ISH) group shall be for the non-compliance to the requirement of the RSPO ISH Standard.

Created by:

RSPO Secretariat

10/06/2020





Which part of LUCA report are useful for audits?

Outgrowers Association, Ghana	
RSPO Membership Number	N/A
Date of Joining RSPO	N/A
Date of First RSPO Certification	N/A
Total Number of smallholders	208 (279 plots)
Total certified area (ha)	0.0 ha
Total area to be certified (ha)	453.04 ha (production area as per HCV))
Date of HCV assessment completed	28 February 2017
Name of Group Manager	ABC Plantation Limited
Country	Ghana
Province and Region	Central Region & Atti Mokwaa
Land Clearing Prior HCV Assessment	Yes
Total Smallholdings Area analysed (ha)	453.04 ha (279 Plots)
Method Used for LUC Analysis	Supervised classification, Visual interpretation
Date When Data Completely Was Received	22 June 2022
Date When Report Was Prepared	30 June 2022
Kappa Accuracy Assessment Result (If Applicable)	N/A
Result of LUC Analysis Methodology Review	Satisfactory
Final Conservation Liability (ha)	0.0 ha
Environmental remediation areas (ha)	0.0 ha.

Table 3: Company Information Summary

LUCA enables independent smallholders to maximise positive environmental impact on-site.

The disclosed liability will be assessed and quantified in this process.

- ISH Group Information
- HCV information
- No. of plot
- LUCA status ¹³⁸
- Final Conservation Liability (FCL)
- Environmental Remediation Liability



Which part of LUCA report are useful for ISH audits?

Criteria		Indicator	
2.1	Smallholders have legal or customary rights to use the land in accordance with national and local laws and customary practices.	2.1 E	Smallholders provide the coordinates or maps of their plots and evidence of ownership or rights to use the land. (Reference indicator 1.1.E, Annex 2)

ISH plots will be verified before GIS Unit proceed with data processing - e.g. area size, plot owner information.

Any discrepancies will be highlighted and clarification/corrections will be done by Group Managers.



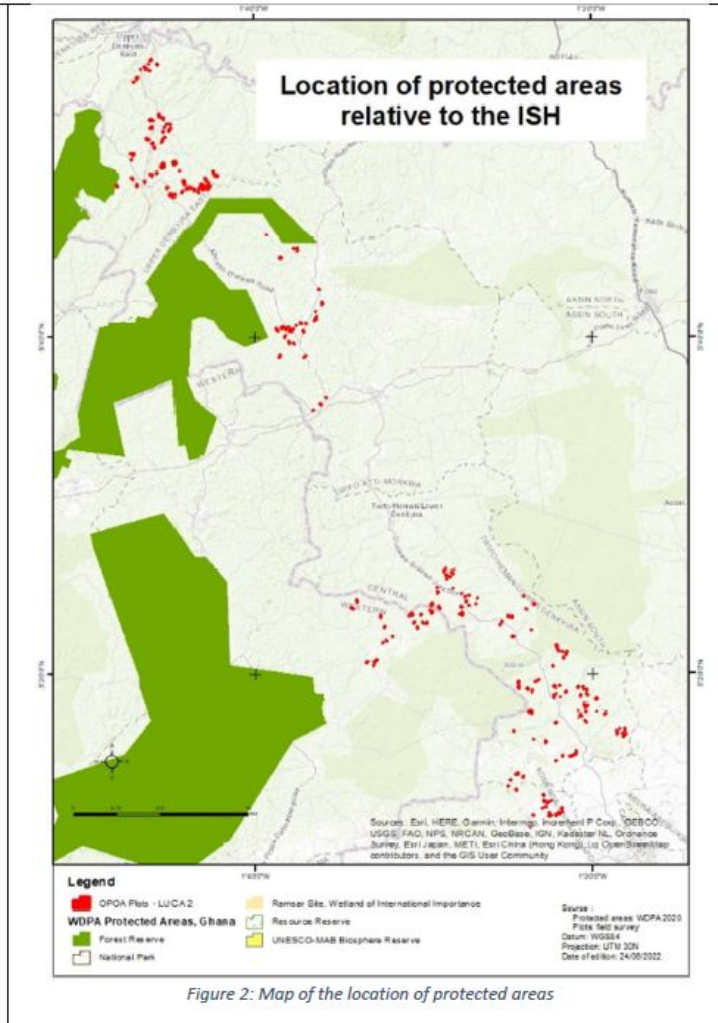
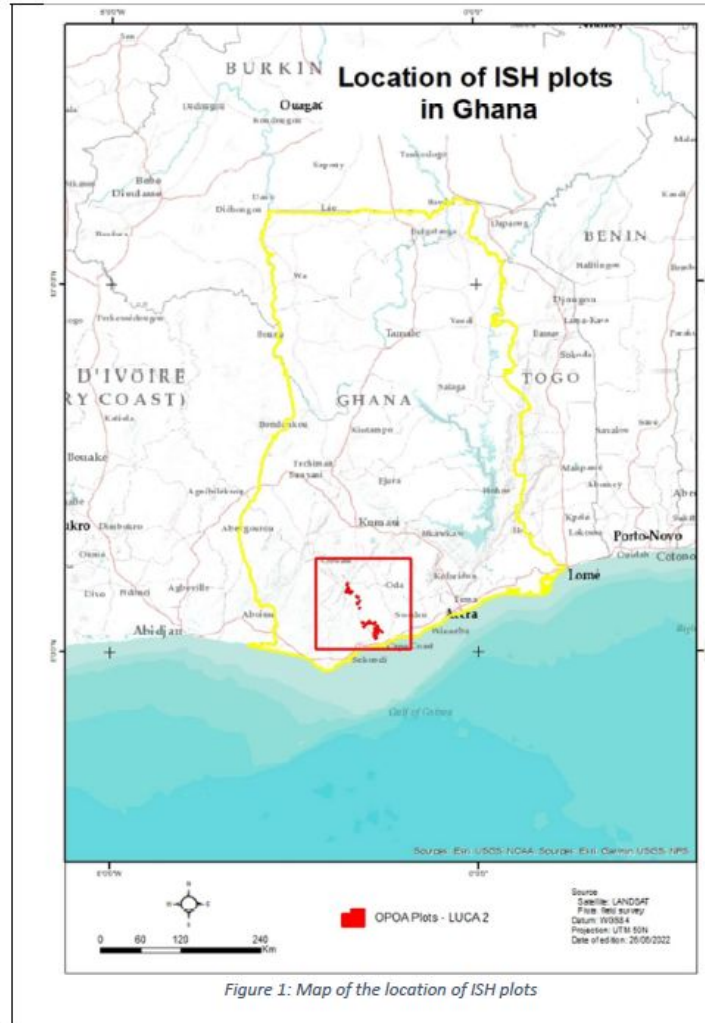
Which part of LUCA report are useful for ISH audits?

Criteria		Indicator		Checklist
2.4	Smallholder plots are located outside of areas classified as national parks or protected areas, as defined by national, regional or local law or as specified in National Interpretations.	2.4 E	Smallholder plots are located outside areas classified as national parks or protected areas as defined by national, regional or local law or as specified in National Interpretations (Ref 1.1.E, Annex 2).	<p>1. Are there any areas classified as national parks or protected areas as defined by national, regional or local law or as specified in National Interpretation in the group areas?</p> <p>2. Does the group manager maintain a list of members location?</p> <p>3. If yes, has the group manager verified the smallholder are outside these areas?</p> <p>Note: auditor to verify through onsite visit if there is areas classified in the indicators.</p>

ISH plots will be checked against protected areas i.e. forest, peat, riparian buffer

Local National Interpretation (NI) will be use, along with RSPO Best Management Practice for the Management and Rehabilitation of Riparian Reserves

Which part of LUCA report are useful for audits?



Which part of LUCA report are useful for audits?

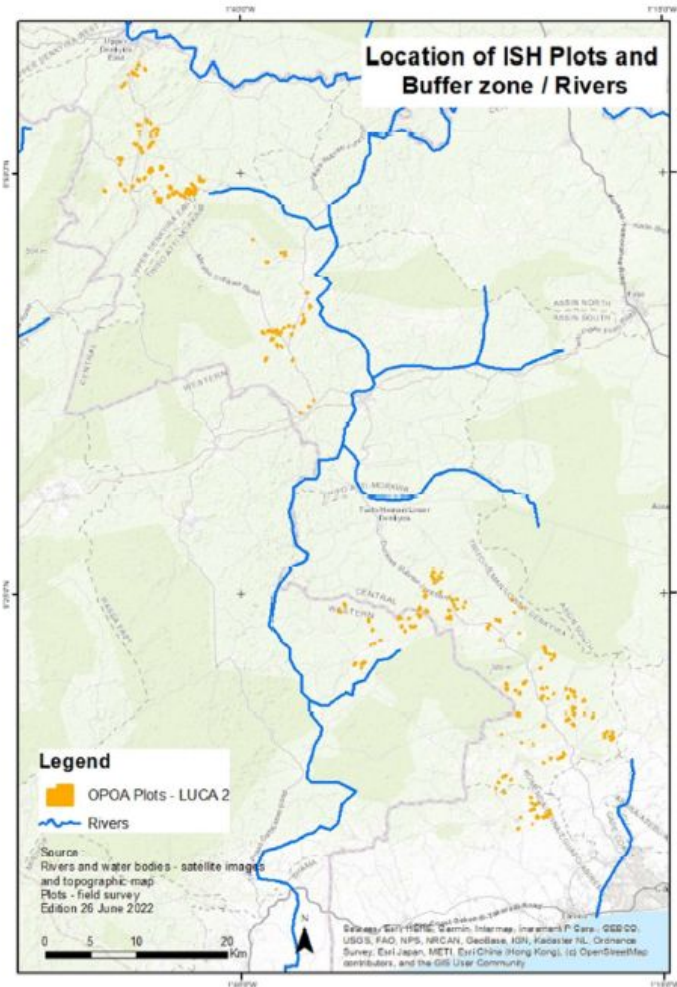


Figure 7: Maps showing no plots within riparian buffer zones

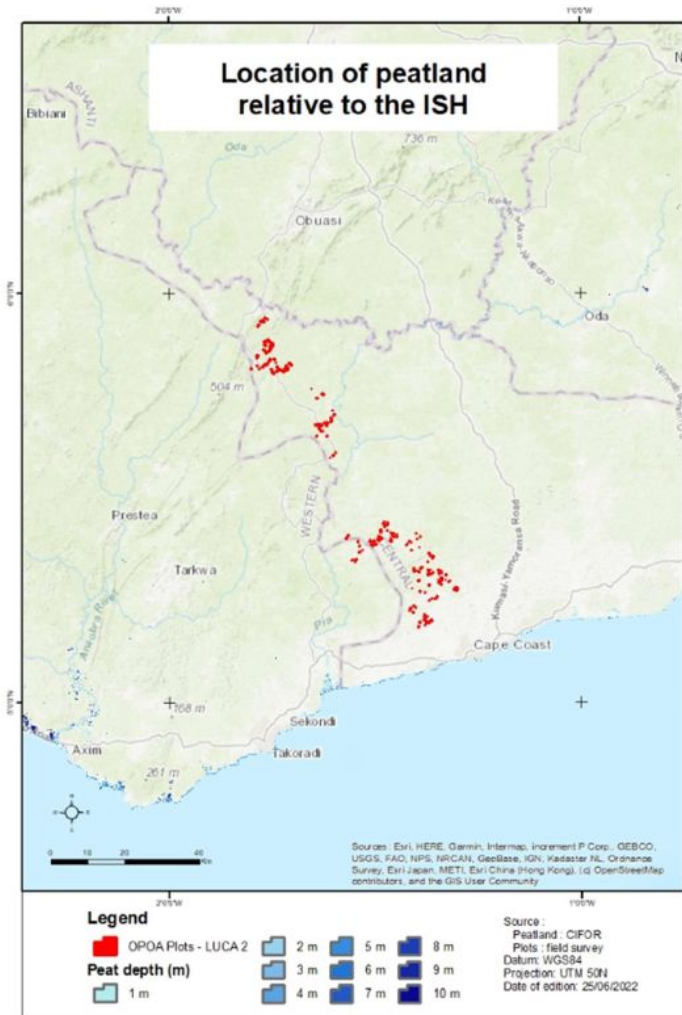


Figure 3: Map of the location of peatland¹

Which part of LUCA report are useful for ISH audits?



Criteria		Indicator		Checklist
4.2	Where the existing smallholder plot has been planted and cleared after November 2005 or is on an area identified as HCS forests after November 2019 up to the eligibility period, a remediation and compensation process appropriate for smallholders based on Land Use Change Analysis (LUCA) will be applicable (Reference preamble).	4.2 E	Smallholders provide information on all smallholder plots converted and planted with oil palm after 2005, through use of the simplified combined HCV-HCS approach for Smallholders. (Reference 1.1E, Annex 2).	1. Have the smallholders provided coordinates/maps of farm plots to group manager ? 2. Is there evidence that a simplified combined HCV-HCS approach has been used?
		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.	1. Have the group members identified areas for remediation ? If yes, has the plans for remediation been submitted to RSPO. Note: Auditor to verify if plans have been submitted to RSPO.

Coordinate/map/boundary verified, as per Criteria 2.1

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LUCA report will highlight and include information on the remediation areas

Which part of LUCA report are useful for ISH audits?



Criteria		Indicator		Checklist
4.3	<p>New plantings of independent smallholders, since November 2019:</p> <ul style="list-style-type: none"> • Do not replace any HCVs • Do not replace any HCS forests as defined by the simplified combined HCV-HCS approach • Are not on steep slopes (more than 25 degrees or as in NI) • Are not on peat areas of any depth. <p>Do any smallholders within the group have plans for new plantings of oil palm? If none, SKIP</p>	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).	<p>1. Have the smallholders provided information on all planned new plantings to the group manager ?</p> <p>2. Does the group manager retain the all planned new plantings information of the members?</p> <p>3. Have the smallholders signed a declaration to commit no new plantings on HCVs or HCS forests, on steep slopes or on peat ?</p>
		4.3 MS A	<p>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.</p> <p>Do any smallholders within the group have plans for new plantings of oil palm?</p>	<p>1. Are there any new plantings after November 2019 ?</p> <p>2. If yes to question 1, Have the smallholder develop an integrated management plan ?</p> <p>3. How was the development of the plan carried out and when was it carried out ?</p> <p>4. Was the simplified combined HCV and HCS approach used ?</p> <p>5. Has the integrated management plan been submitted to RSPO ?</p>

LUCA for NPP also verifies the plot/boundary information, and the protected areas.



Which part of LUCA report are useful for ISH audits?

Criteria		Indicator		Checklist
4.4	Where smallholder plots exist on peat, subsidence and degradation of peat soils is minimised by use of best management practices. Do any smallholders within the group have existing plots on peat? If no, SKIP	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).	<p>1. Has the group manager identified the existence of peat within the group members existing plots?</p> <p>2. How many of the group members have peat on their existing plots ?</p> <p>3. Have the smallholders signed a declaration to commit to using best management practices and minimizing subsidence and degradation of peat soils ?</p> <p>4. Is the group manager aware of best management practices for peat ?</p>

LUCA report will highlight and include information on peat areas



Which part of LUCA report are useful for ISH audits?

Criteria		Indicator	Checklist
4.5	Plots on peat are replanted only on areas with low risk of flooding, saline intrusion as demonstrated by a risk assessment. Do any smallholders within the group have plans for replanting plots that are located on peat? If no, SKIP	4.5 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.	<ul style="list-style-type: none"> 1. Is there replanting on peat by the smallholders in the group? 2. Has a risk assessment related to flooding associated with subsidence been carried out prior to replanting ? 3. What was the risks identified in the risk assesement ? 4. For high risk area, is there a plan that includes alternate land development strategies, preferencing alternative livelihood planning ? 5. Is the group manager aware of replanting activities (on peat) by group members ?

Land use change will be analysed over the years (Nov 2005 - HCV assessment) - replanting activities on any land use type can be seen from imageries

Planting on peat will be highlighted in LUCA report.

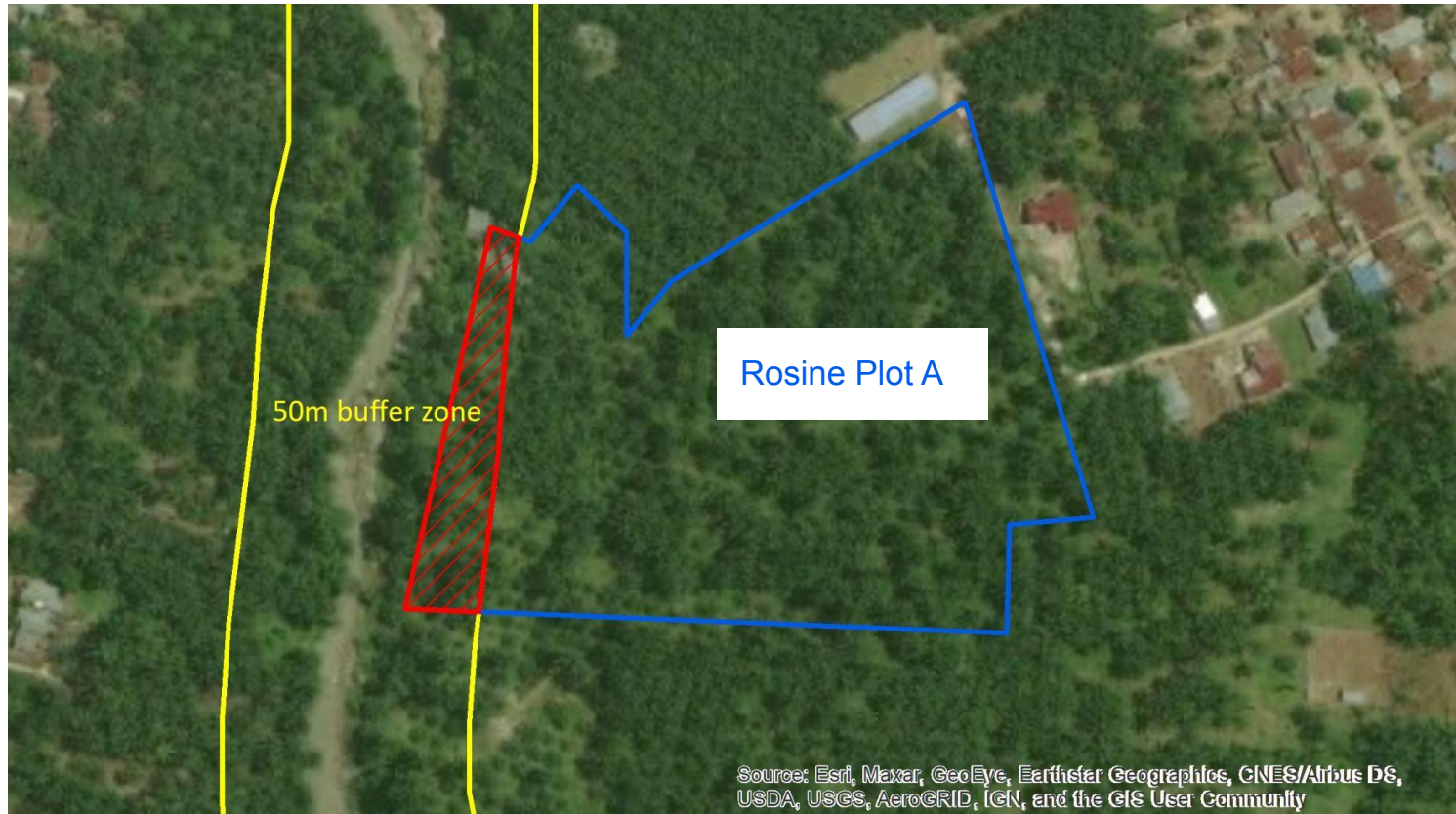


Which part of LUCA report are useful for ISH audits?

Criteria		Indicator		Checklist
4.7	Riparian buffer zones are identified and managed to ensure they are maintained and/or enhanced.	4.7 E	Group manager identifies riparian buffer zones within the group and smallholders commit to no new plantings in riparian zones (Reference 1.1.E, Annex 2)	1. Has the Group manager identified riparian buffer zones within the group ? 2. Have the smallholders signed a declaration to commit to no new plantings in riparian zones ?
		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.	1. Have smallholders participated in training on and are aware of riparian buffer zone management ? 2. Who provided the training ? 3. When was the training provided ? 4. What are the evidence of training ? 5. <u>Rosine Plot A</u> <u>ied an action plan to maintain and/or ones ?</u> 6. Are the smallholder aware of of riparian buffer zone management including the action plan to maintain and/or enhance riparian buffer zones ?

Buffer zones are highlighted in LUCA report.















example



Buffer zones are highlighted in LUCA report.



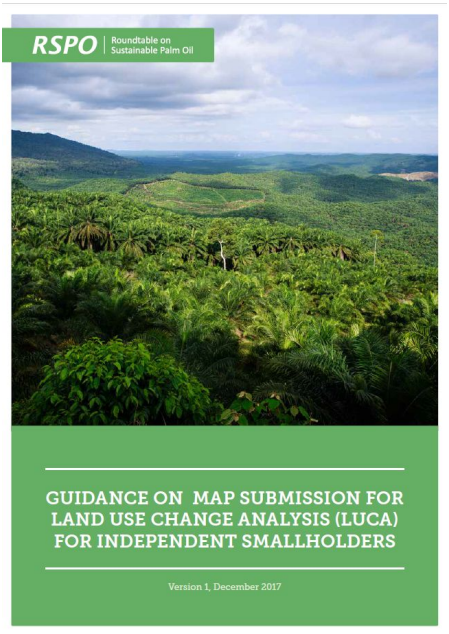
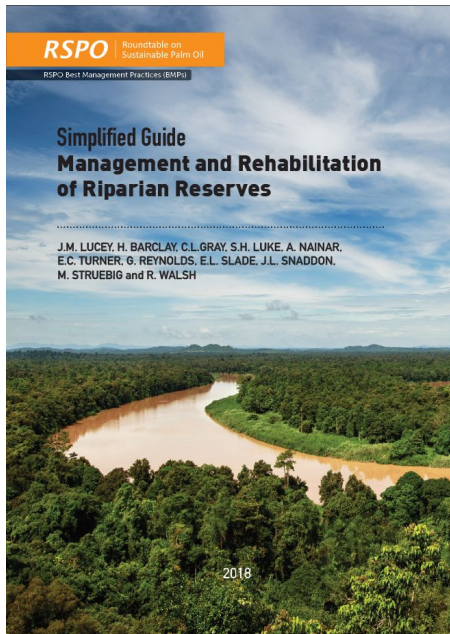
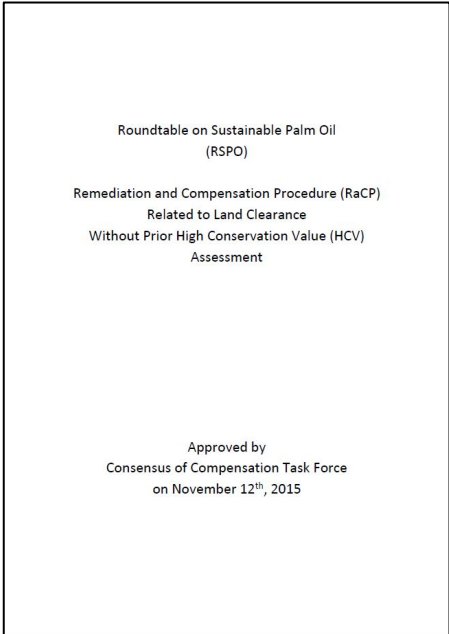
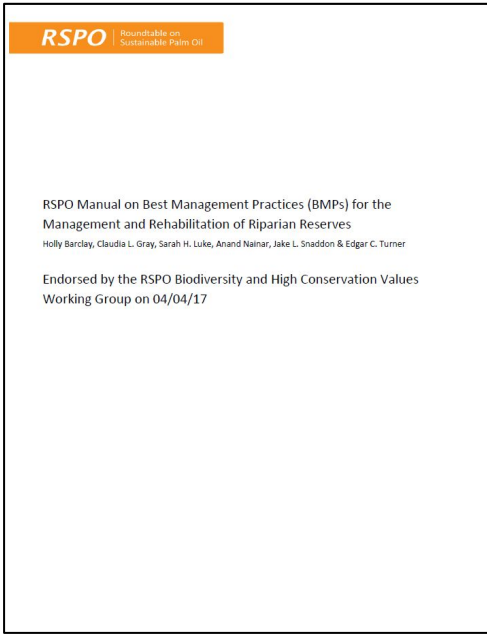
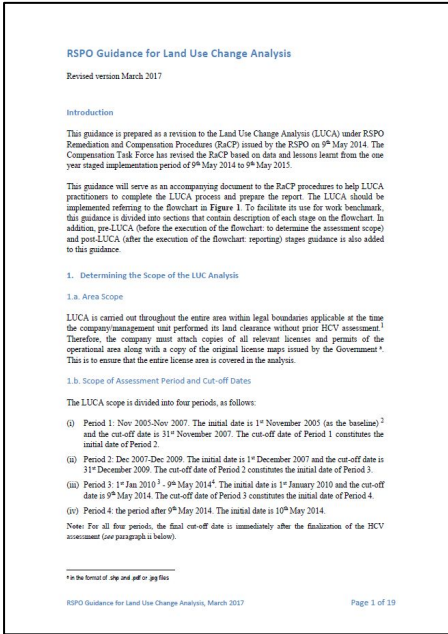
RaCP related documents: guidance & template

Title ▾	File(s)	Language	Modified* ▾
 RSPO Remediation and Compensation Procedure			27 Nov 2018
 Annex 1 History and Rationale of the RaCP		ENG	27 Nov 2018
 Annex 2 Disclosure of non-compliant land clearing		ENG	27 Nov 2018
 Disclosure Template for Areas Cleared without Prior HCV Assessment since November 2005			29 Nov 2021
 Final Guidance on Social HCVs Identification		ENG	27 Nov 2018
 Annex 3 LUCA Guidance Document		ENG	27 Nov 2018
 Annex 3a LUCA Reporting Template		ENG	28 Nov 2018
 Annex 4 LUCA Reporting Checklist Table		ENG	28 Nov 2018
 Annex 5 Reporting Template for LUCC		ENG	27 Nov 2018
 Annex 6 Project Criteria		ENG	27 Nov 2018
 Annex 7 Compensation Concept Note Format		ENG	28 Nov 2018
 Annex 8 Remediation and Compensation Plan Template		ENG	27 Nov 2018

<https://www.rspo.org/resources/remediation-and-compensation/remediation-compensation-procedure>



Documents for Reference



RSPO Guidance for Land Use Change Analysis

National Interpretation

RSPO Manual on Best Management Practices (BMPs) for the Management and Rehabilitation of Riparian Reserves

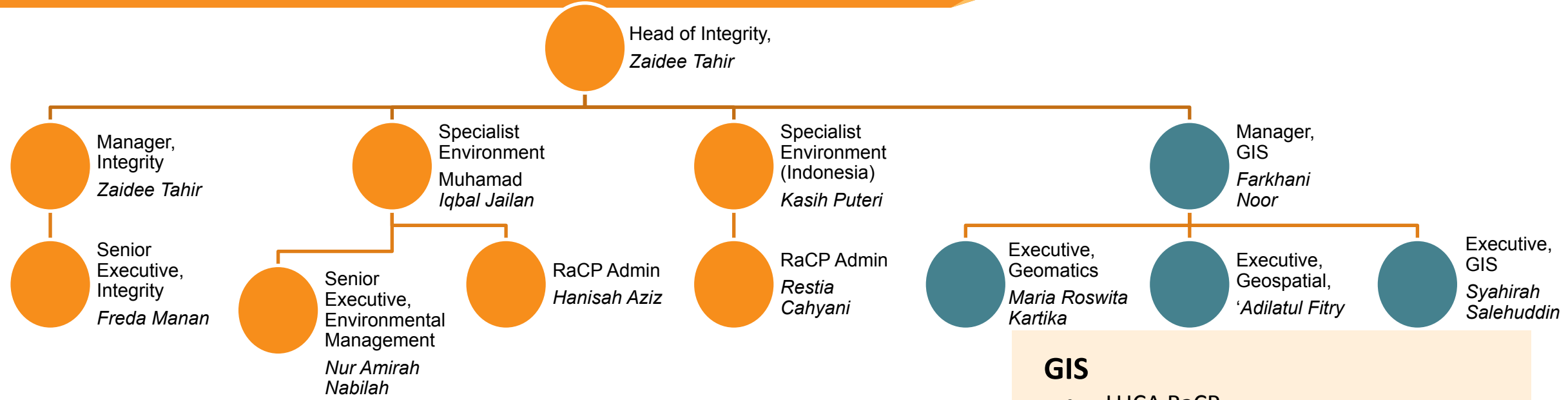
Remediation and Compensation Procedure (RaCP) Related to Land Clearance Without Prior High Conservation Value (HCV) Assessment

Simplified Guide: Management and Rehabilitation of Riparian Reserves

Guidance on Map Submission for Land Use Change Analysis (LUCA) for Independent Smallholders



Introduction to Integrity Unit



- GIS**
- LUCA RaCP
 - LUCA NPP
 - LURI
 - GeoRSPO
 - Firewatch & Hotspot Hub
 - HCV Probability
 - Investigation & Monitoring
 - Land Clearing
 - Deforestation
 - Fire

HCV Assessment Process for ISH

25 August 2023
Krabi, Thailand

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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



□ 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

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



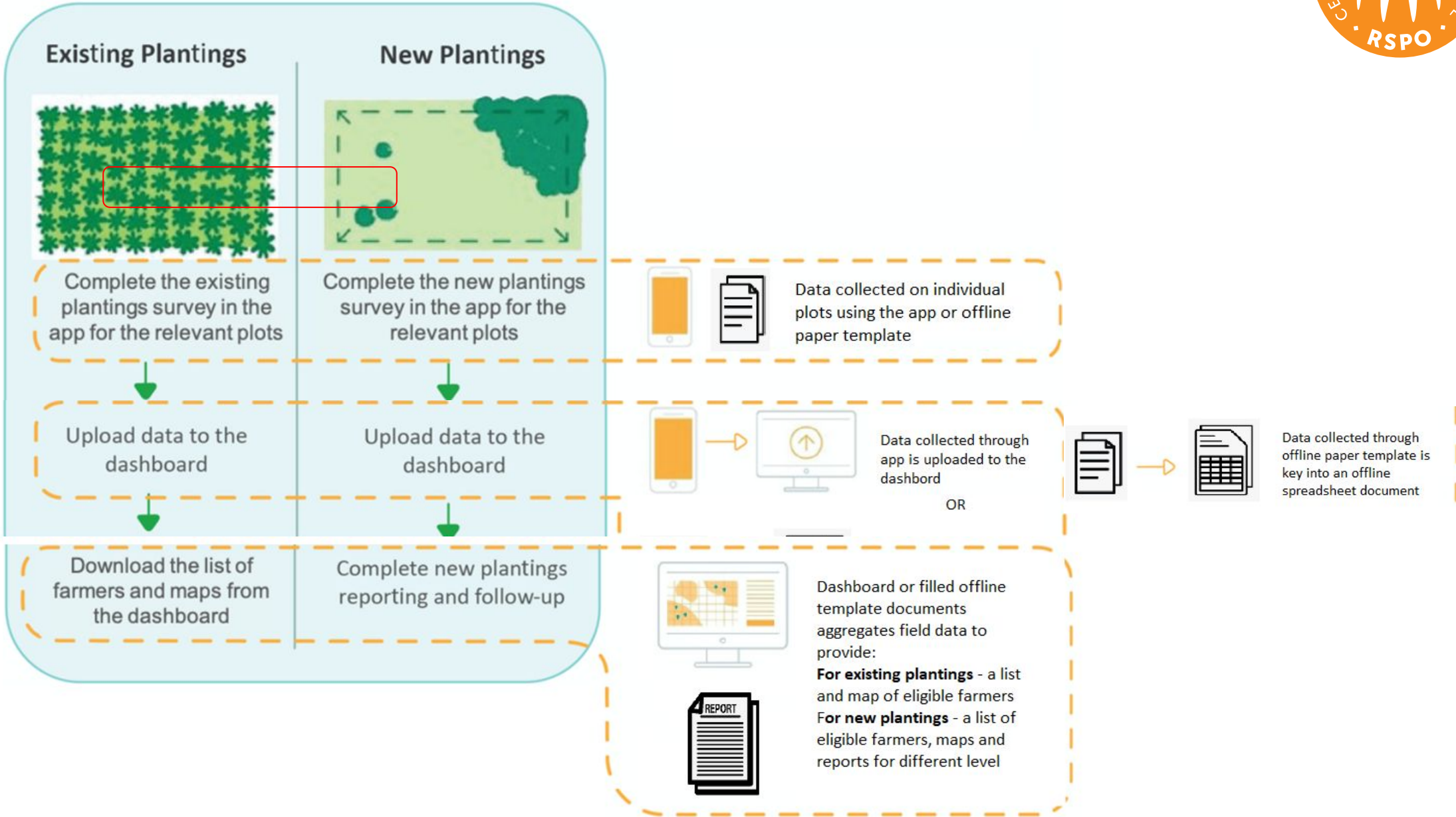
App and offline paper template can be used to collect basic member information



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



Simplified HCV Approach - Existing Plantings



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



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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

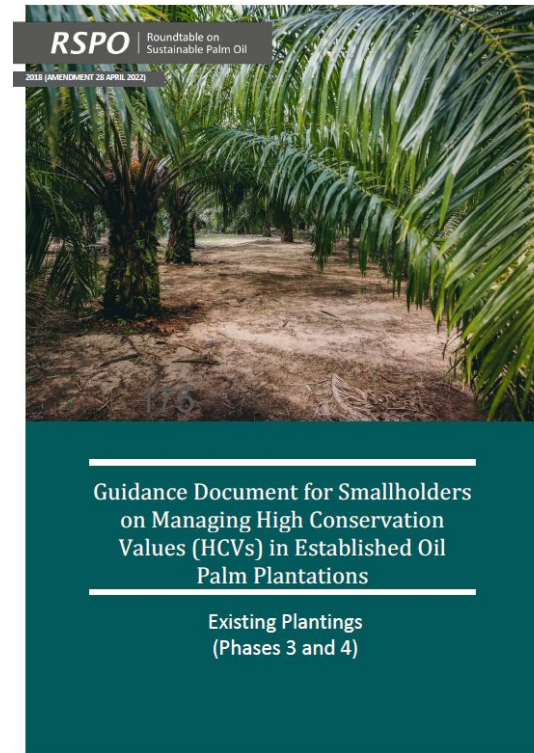
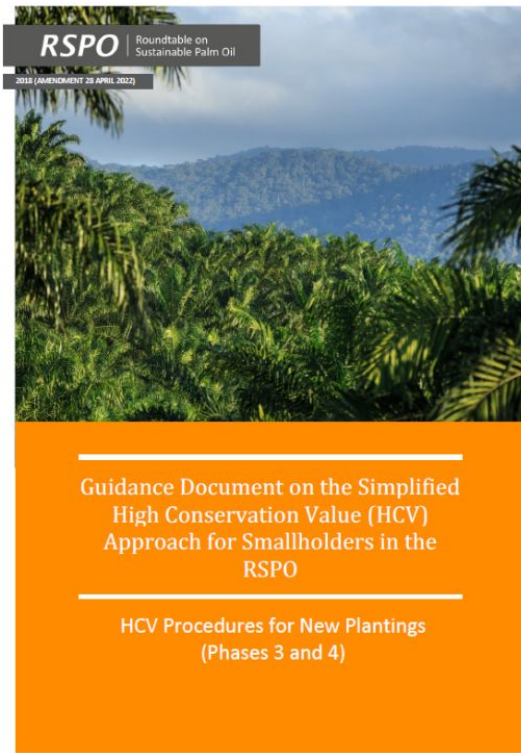
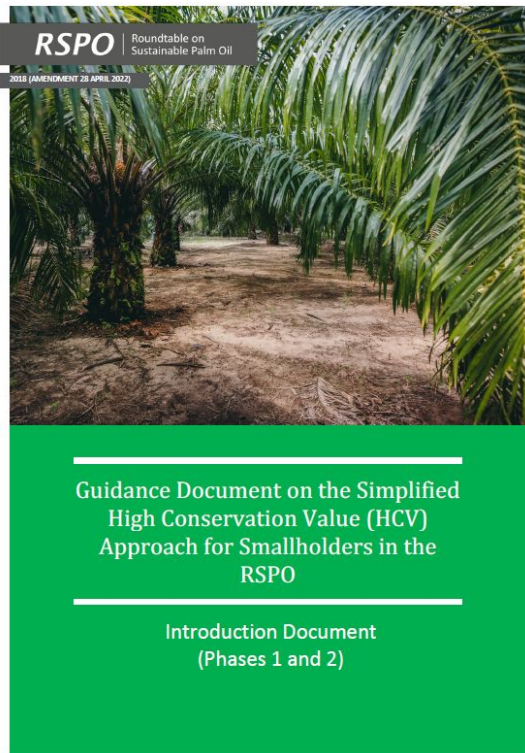
← [Smallholders](#)

- 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

<https://rspo.org/resources/?category=simplified-hcv-approach-for-smallholder>

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>



HCV App for Independent Smallholder (ISH)

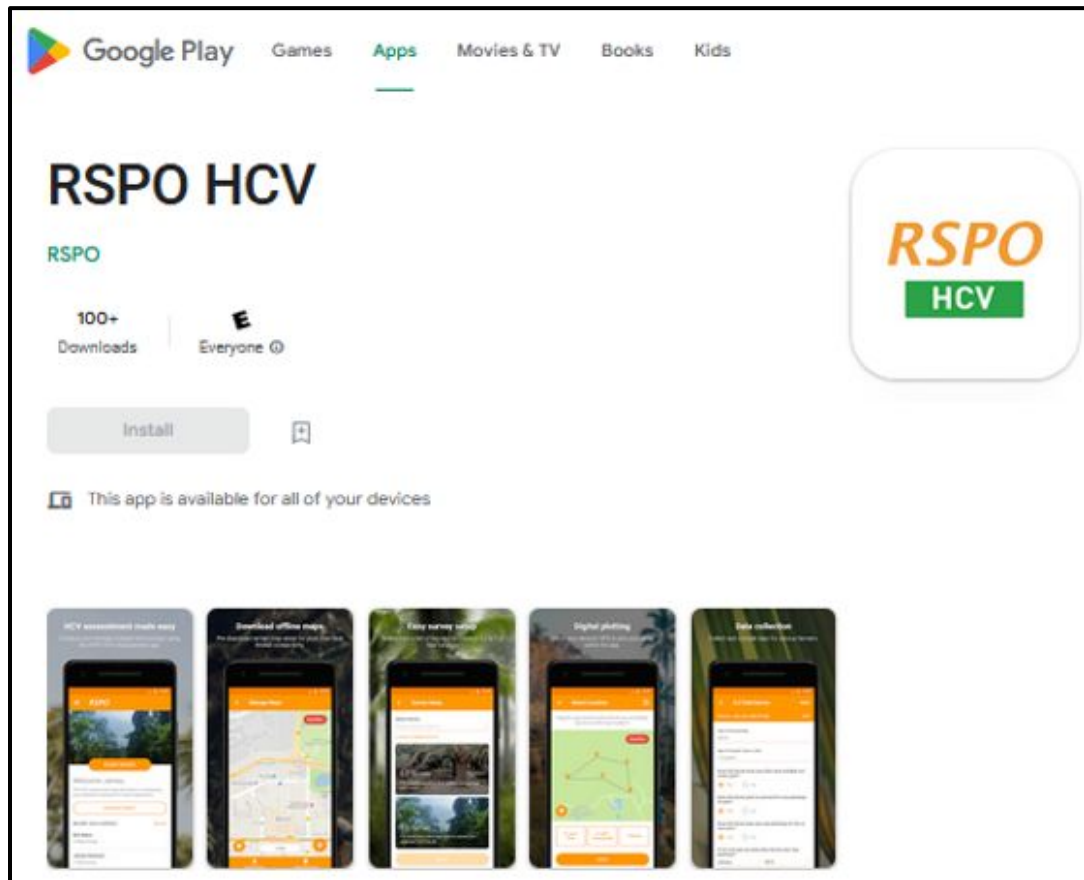
25 August 2023
Krabi, Thailand



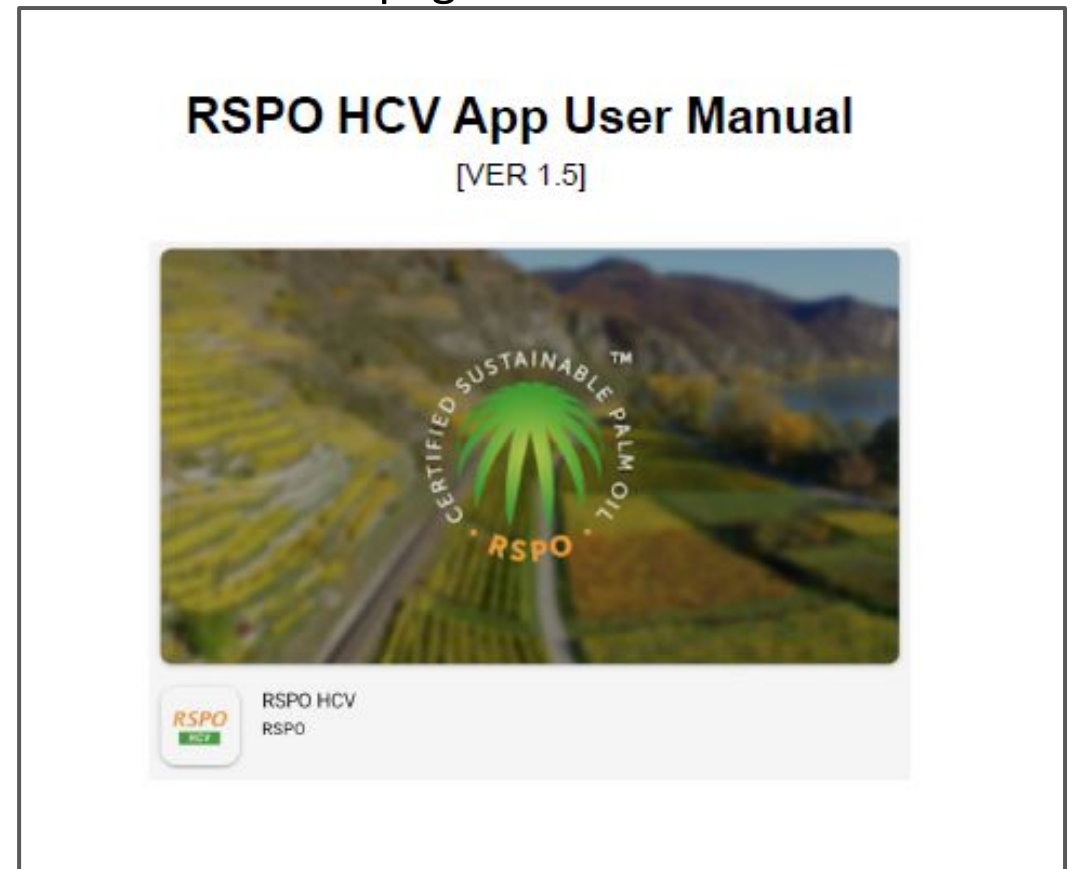
Resources



- 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/>

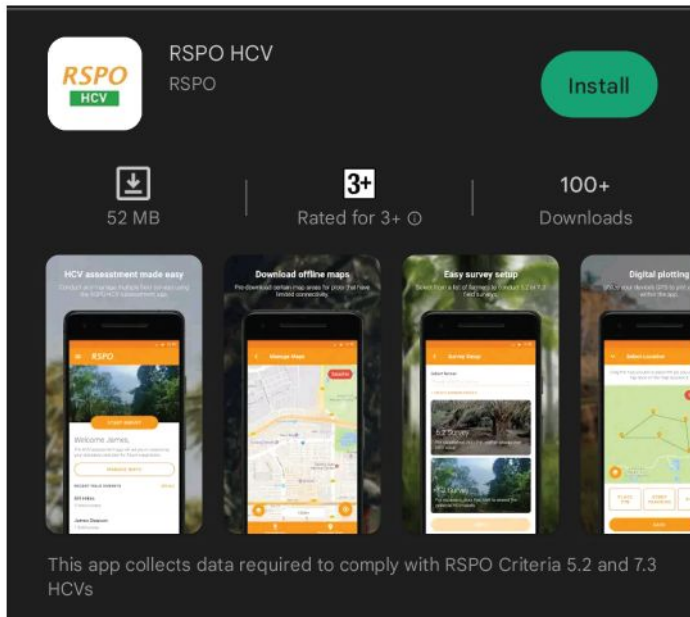
□ Offline report templates for new planting and existing planting can be download via link below

- <https://rspo.org/resources/smallholders-documents/smallholders-key-documents/simplified-hcv-approach-for-smallholders>

Resources

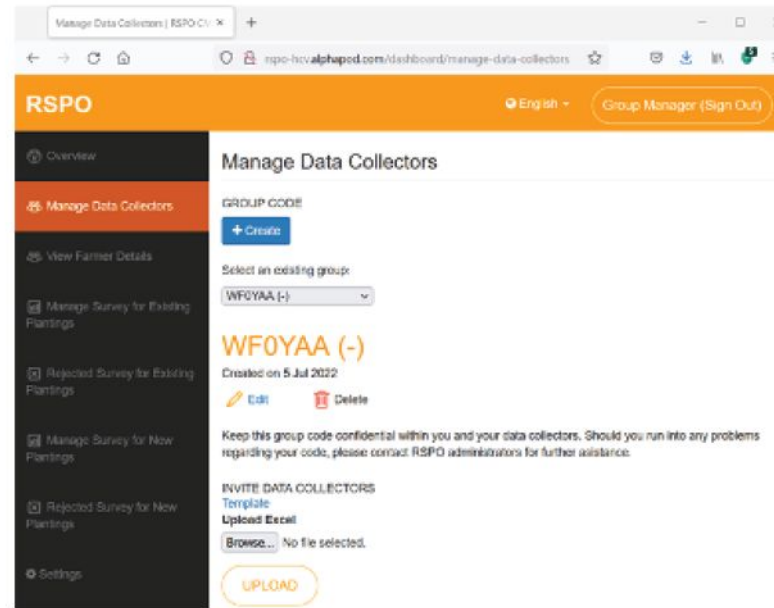


RSPO HCV APP



Data collectors can download the app to their mobile phone from Google Play Store and use it in the field for data collection and HCV assessment.

WEB DASHBOARD



Group manager can access data collected from the field via <https://hcv-sh-apps.rspo.org/dashboard/login> for review and to download summary report.

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 7 field surveys

[MANAGE DATA COLLECTORS](#)

SUMMARY FIELD SURVEY FOR EXISTING PLANTINGS

2 0.071
total plots total hectares

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

[MANAGE SURVEY FOR EXISTING PLANTINGS](#)

SUMMARY OF FIELD SURVEY FOR NEW PLANTINGS

4 0.769
total expansion plots total hectares

Low Level Jin Min Lee	0.136 hectares 7 Oct 2022
No Coordinate Jin Min Lee	0.178 hectares 7 Oct 2022
High Level Test Jin Min Lee	0.39 hectares 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.

Insert email

ADD EMAIL

LIST OF DATA COLLECTORS

Show 10 entries

Search



Web Dashboard Viewing/Managing 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

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 Search

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)

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

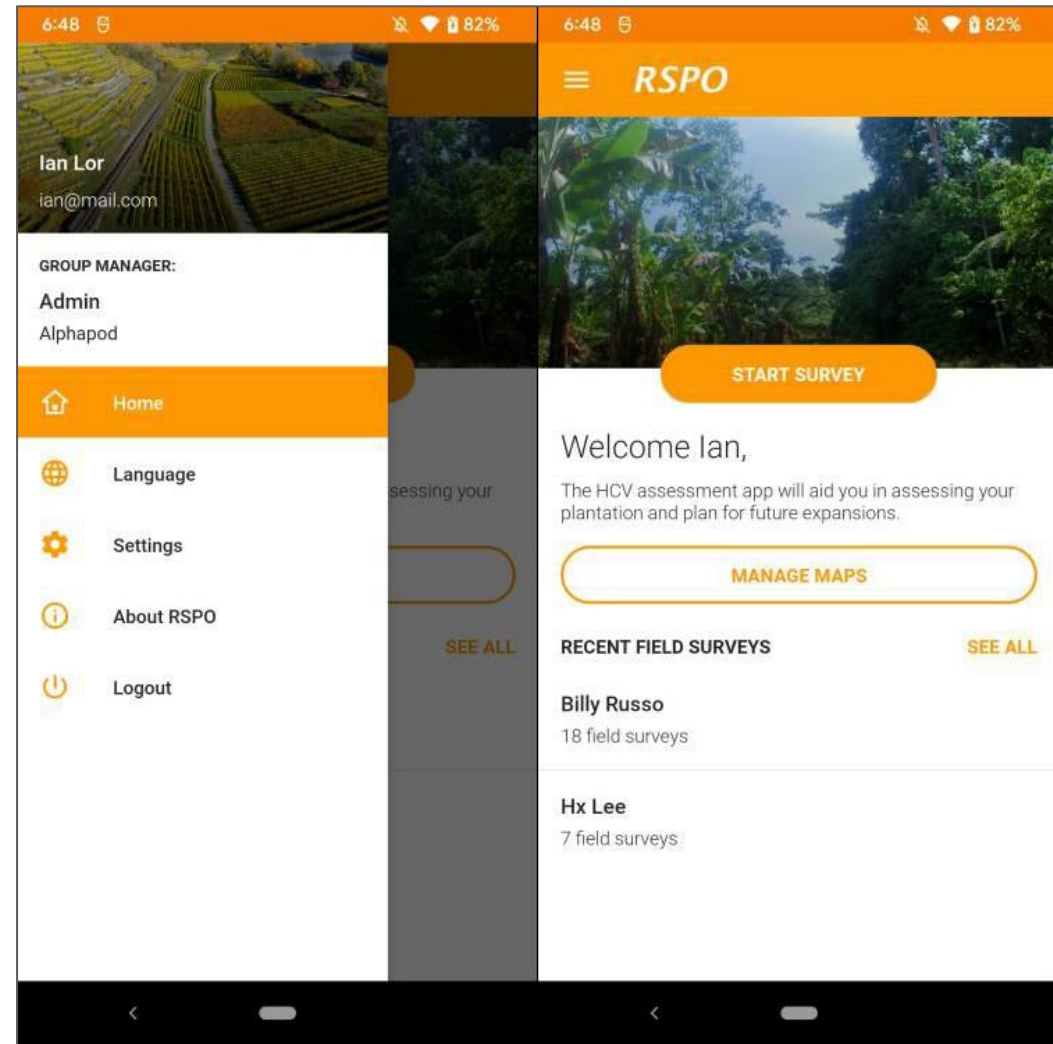
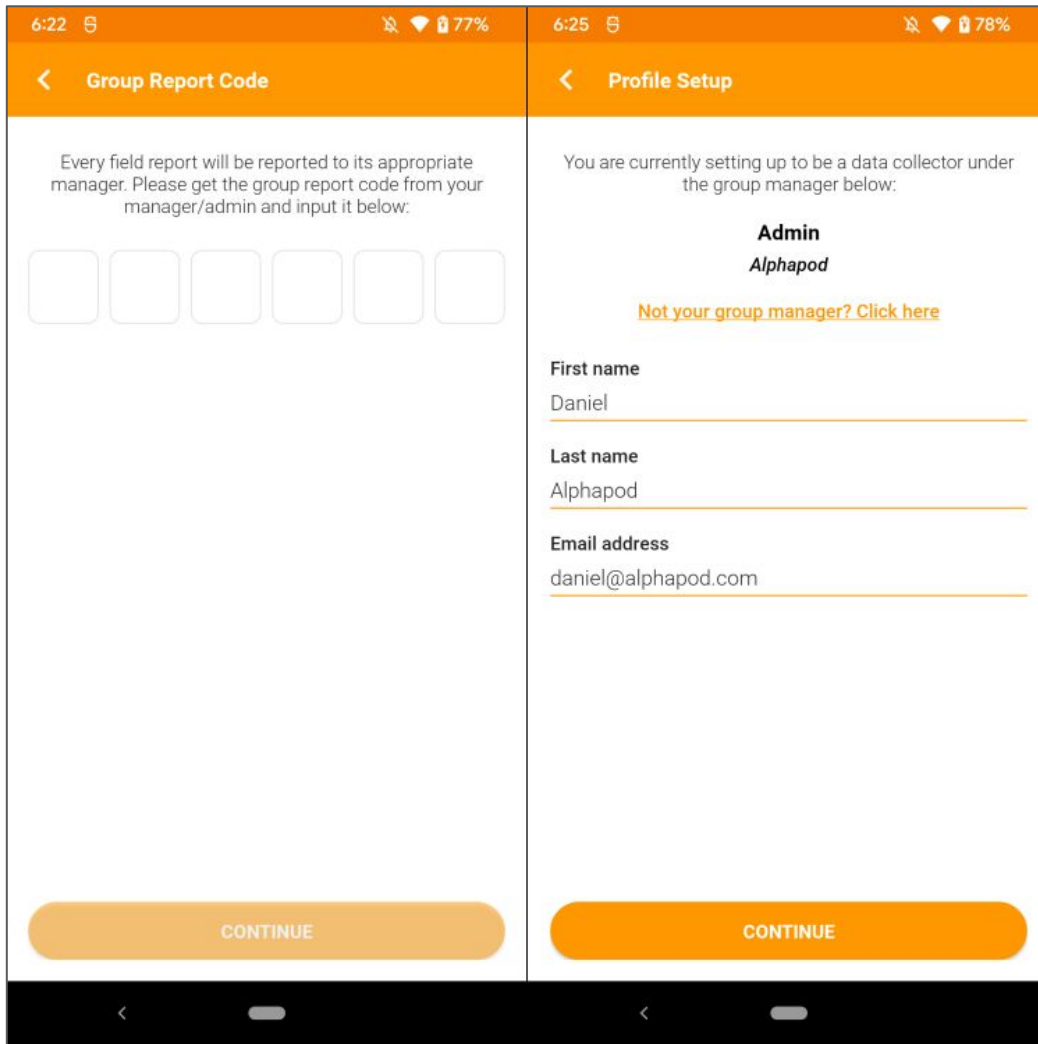
Search

Previous 1 Next

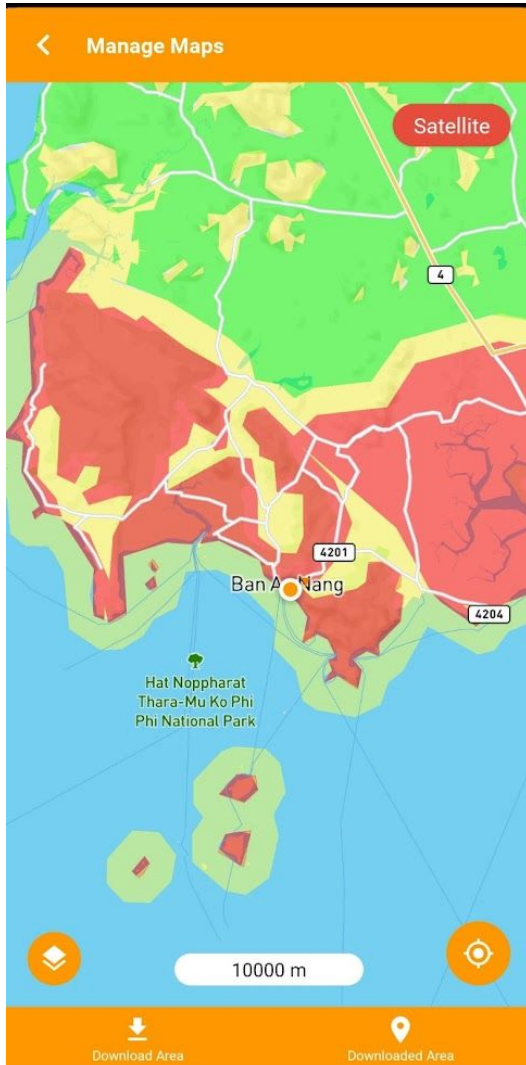
The size of an individual plot or cumulative plots exceed 50 ha*
 This is communal land.
* national definition of smallholders may differ

Navigation: 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




Mobile App Login & Home Screen



Mobile App Map Management & Download



Map Legend

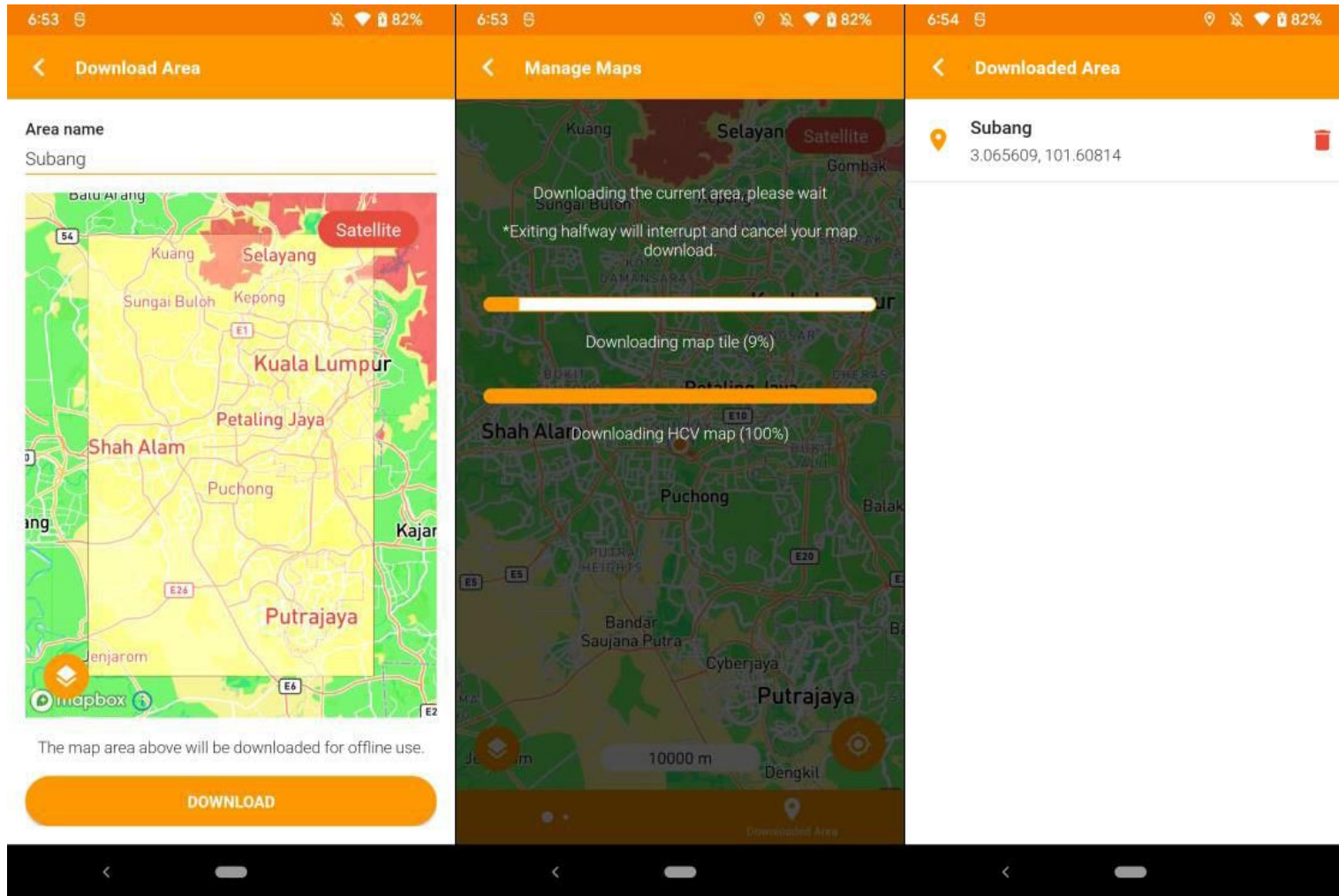
-  High HCV 1-3 Probability
-  Medium HCV 1-3 Probability
-  Low HCV 1-3 Probability

- 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 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" input field, 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



The image shows two side-by-side screenshots of a mobile application survey form. Both screenshots are titled "Expansion Details (3/4)" and show the same set of four questions. The first screenshot shows all radio button options as unselected. The second screenshot shows the following options selected: "No" for the first two questions, "Yes" for the third question, and "No" for the fourth question. Each question is followed by a "SAVE" button at the bottom of the form.

10:45 37%

Expansion Details (3/4)

Are there steep slopes (>25°) in (or within 20m of) the proposed expansion plot?

Yes No

Are there moderate slopes (>9°) in (or within 20m of) the proposed expansion plot?

Yes No

Are there un-drained wetlands or peat in (or within 20m of) the proposed expansion plot?

Yes No

Are there rivers or waterbodies in (or within 20m of) the proposed expansion plot? Including natural and artificial waterbodies, such as canals

Yes No

SAVE

10:45 37%

Expansion Details (3/4)

Are there steep slopes (>25°) in (or within 20m of) the proposed expansion plot?

Yes No

Are there moderate slopes (>9°) in (or within 20m of) the proposed expansion plot?

Yes No

Are there un-drained wetlands or peat in (or within 20m of) the proposed expansion plot?

Yes No

Are there rivers or waterbodies in (or within 20m of) the proposed expansion plot? Including natural and artificial waterbodies, such as canals

Yes No

SAVE

HCV 4 Section

Mobile App Survey



The image shows two side-by-side screenshots of a mobile application survey form. Both screenshots are titled "Expansion Details (4/4)" and show the same set of four questions. The first screenshot shows the "No" option selected for the first two questions, and the "Not Applicable" option selected for the last two. The second screenshot shows the "Yes" option selected for the first two questions, and the "Not Applicable" option selected for the last two. Each question has a help icon (a question mark in a circle) to its right. At the bottom of each screen is a large orange "SAVE" button.

10:46 Expansion Details (4/4)

Does the member have use/ownership rights for the proposed expansion area? ?
 Yes No

Is the use/ ownership of the land in the proposed expansion plot contested? ?
 Yes No

If people other than the group member hunt or collect products (wood, food, medicines, clothing) from in the proposed expansion plot, have they consented to the proposed new oil palm planting? ?
 Yes No Not Applicable

If there are sites of cultural or spiritual importance to people other than the group member in the proposed expansion area, have they consented to the proposed new oil palm planting? ?
 Yes No Not Applicable

SAVE

10:47 Expansion Details (4/4)

Does the member have use/ownership rights for the proposed expansion area? ?
 Yes No

Is the use/ ownership of the land in the proposed expansion plot contested? ?
 Yes No

If people other than the group member hunt or collect products (wood, food, medicines, clothing) from in the proposed expansion plot, have they consented to the proposed new oil palm planting? ?
 Yes No Not Applicable

If there are sites of cultural or spiritual importance to people other than the group member in the proposed expansion area, have they consented to the proposed new oil palm planting? ?
 Yes No Not Applicable

SAVE

HCV 5-6 Section



Contact GIS Unit at
maps@rspo.org
www.rspo.org

RSPO CB INTERPRETATION FORUM

THANK YOU!



www.rspo.org



RSPO PalmTrace

Certification Bodies

Nizar Wicaksono
Back Officer & RSPO Support
Rainforest Alliance

25th August 2023

Aonang Villa Resort



Agenda

- Introduction to RSPO PalmTrace
- Licensing-The Basics
- How to Request a License in the CB Area
- PalmTrace Updates/New Projects Launched in 2022-2023
- PalmTrace for ISH licenses

- Live RSPO PalmTrace Demo
- Q&As
- Practical Information





What is RSPO PalmTrace?

PalmTrace is RSPO's online **Traceability System** for certified oil palm products:

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





Areas in Rspo PalmTrace



- Upload audit reports
- Request licenses for members
- Indicate certified volumes for ISH, Outgrowers and Mills
- Define rights (processing & supply chain models) for members according to their Certificate



- Approve / deny license requests
- Approve CB transfers



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





Responsibilities in Rspo PalmTrace

Rspo

- Review license requests from Certificate Bodies.
- Publish Certificates on the Rspo Website.
- Review requests from Member Transfers.
- Publishes data on the Rspo website.

Rainforest Alliance

- Responsible for the development and maintenance of the system including changes.
- Member registrations
- Charges fees and Credits' invoices
- Monthly reporting to Rspo
- Webinars and trainings
- Helpdesk (chat box and palmtrace.support@ra.org)

Certification Bodies

- Request member licenses after an audit.
- Request time and volume extensions.
- Indicate certified volume for ISH, Outgrowers and Mills.
- Define rights (processing & supply chain models) for members according to their certificate.
- If necessary, suspend a member's license.
- Request a member transfer from another CB.
- Review members' registration of sales and processing.





LICENSING - THE BASICS



RSPO PalmTrace Manual

TRAINING MANUAL

RSPO PalmTrace – CB Area

April 2023



Go To:

“Downloads” Tab > CB Area



Welcome | Become a Member | Tracability System | SugarCRM | Member Directory | CB Directory | **Downloads** | Book and Claim

Downloads

Folders | My Documents | Recent Documents

Folders >

2. CB Area

Add Subfolder

Folder # of Folders

Showing 0 results.

Documents

Search Search this Folder Add Document Add Shortcut

Name

[RSPO PalmTrace CB Area Training Manual_Spanish.pdf](#)

[RSPO PalmTrace CB Area-Training Manual.pdf](#)

Showing 2 results.

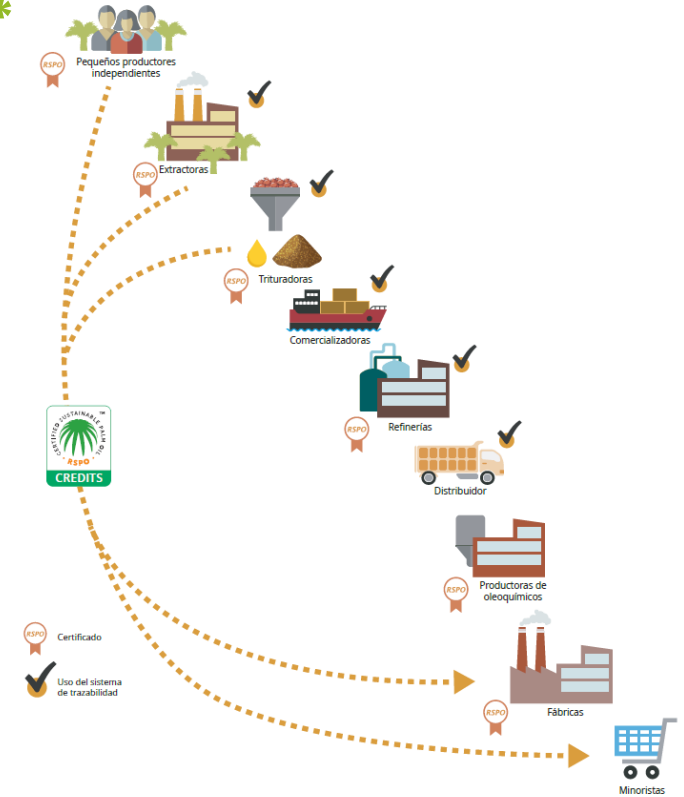




Who needs to be licensed in PalmTrace?

✓ CBs need to **license all units that are certified***

- Independent Smallholder Groups
- Mills with plantations (P&C)
- Independent Mills (SCC certified)
- Crushers
- Refiners
- Product Manufacturers
- Retailers



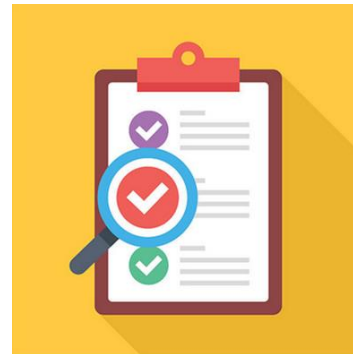
***Distributors** who do not unpack, repack or relabel products at any stage, and **Traders** who do not physically handle or store physical material, can apply for their license directly in PalmTrace.





One PalmTrace license per certification unit with processing rights

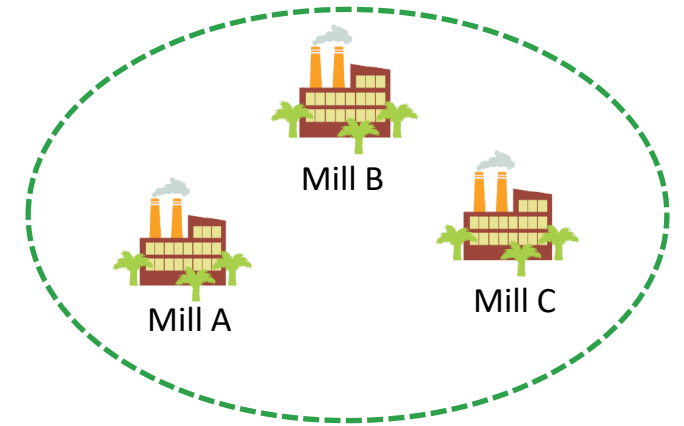
- Units that have **processing rights** (i.e. crushers, refineries) need to register separately in RSPO PalmTrace and be licensed separately.
 - Example: One license for an oil mill, one license for a palm kernel crusher, and one license for a refinery.
- Members should register with the **same name** as on the certificate.





Multi-Mill Certification (P&C)

- **All mills in a multi-mill certification need to register in Rspo PalmTrace and be licensed separately.**
- Certified and production area, volumes and information on smallholders need to be entered per mill in proportion to the capacity of each mill.
- Make calculations on the last license's volumes for the whole multi-mill and then split the volumes properly



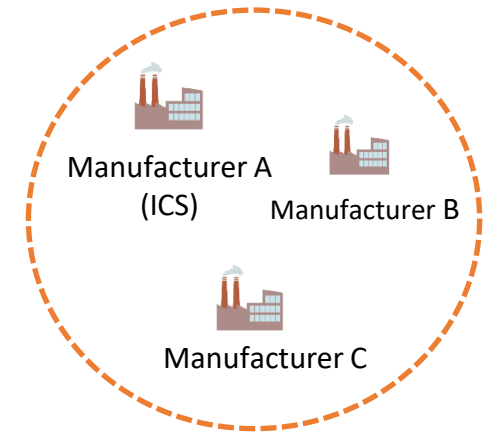
Multi-mill certification



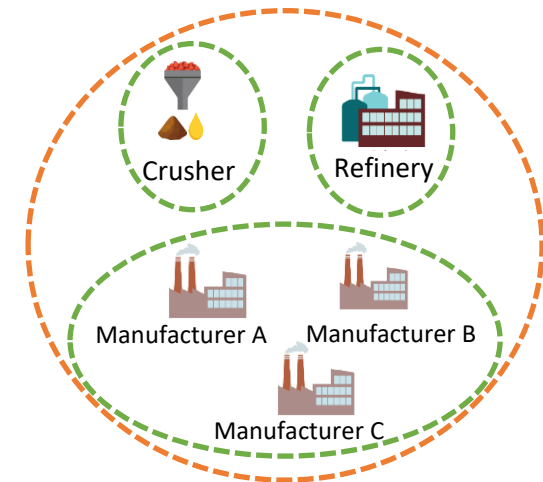


Multi-Site Licenses (SCC)

- **Sites that do not need processing rights (e.g. Manufacturers, oleochemical producers) can share one license.**
 - List all sites included in this license.
- The site that functions as Internal Control System (ICS) needs to be marked as such.
 - Example: 'Manufacturer A (ICS)'
- Each site that needs processing rights (Crusher, Refinery) must have a separate license.



Multi-site certification
1 license



Multi-site certification
3 licenses



How can we check the data on the RSPO PalmTrace?

D2

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

NA.

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.

D2.1 MS B

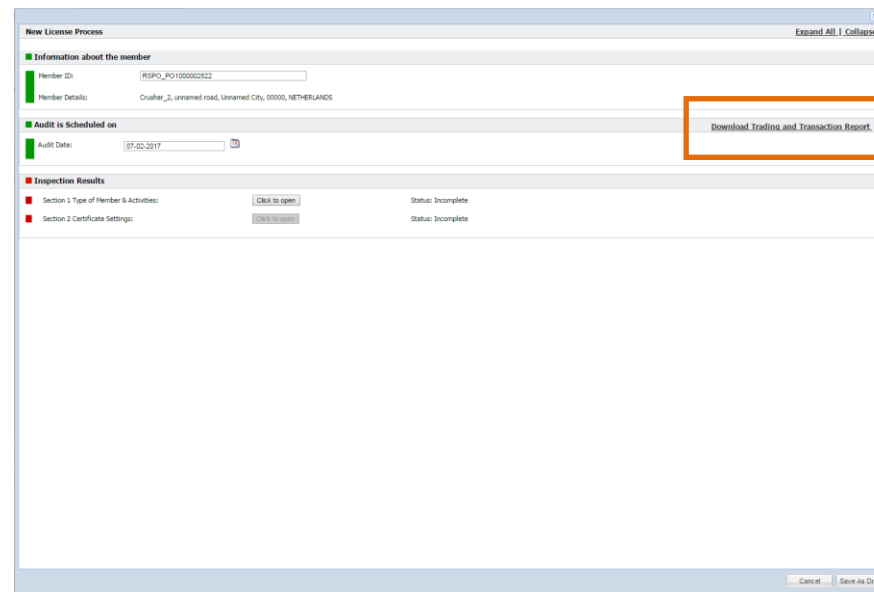
The group manager maintains annual production data and sales of certified volumes through physical or Book and Claim for the group based on actual receipts and sales for all members and 100% of all certified volumes.



Where to Check?

Before the audit:

- a) Ask the member to send you an Excel export of their:
 - a) **Finalized Transactions** (FFB announcements created & confirmed, trace activity)
 - b) **Stock Management Log** (conversions, downgrades, allocation to credits)
- b) Primary User of the CB account can download the **Trading and Transaction Report** from RSPO PalmTrace when starting the new license request.





What to Check During the Audit

Ask the member to log into their account. Look at:

- Trading & Stock
- Finalized Transactions
- Stock Management Log
- Inbox (for unconfirmed transactions)
- Claiming documents under Book and Claim





What to Audit?

Some examples:

- Did the member make (FFB/Shipping) Announcements for all the volume that was sold as RSPO certified?
- Did the member remove the volume that was sold as non-RSPO-certified?
- Which conversion ratios did the member choose?
 - These need to be real
- Did the member trace volume?
- Did the member downgrade their stock if they mixed volumes?
- Did the member purchase enough RSPO Credits, and did they use the Claim function to cover non-certified material?





HOW TO REQUEST A LICENSE



Start a New License

- Access your Rspo PalmTrace account
- Go to the CB Area
- Start a New License process
 - Select the Rspo_PO ID
 - Confirm the Rspo Membership Number

New License Process

Information about the member

Member ID * :	<input type="text" value="RSPO_PO1000007859"/>
Member Details:	ABC Palm Oil Mill, Unnamed Road, Seponti, Kayong, 00000, INDONESIA
RSPO Membership Number * :	<input type="text" value="4-1021-18-000-00"/> <input type="button" value="✎"/>
Parent Company:	Test inc., 10, Bangsar, Kuala Lumpur, 59000, Malaysia

I confirm that the given Rspo Membership Number / Parent Company information is correct.





Start a New License

- The list of membership numbers is connected to RSPO's membership system and only active members will appear on this list.
- When a parent company membership is inactive, their number will not appear on the list and units can therefore not be licensed.
- Always check if the membership number that appears is correct!
- In case you can't find a membership number on the list, please contact palmtrace.support@ra.org





Section 1-Type of Member and Activities

You need to indicate the following information:

1. Type of certificate holder

Type of Certificate Holder

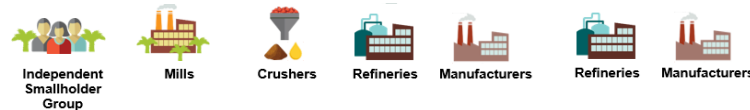
* Select the Type of Certificate Holder :

Outgrowers (P&C). Independent mills (SCC). Single site (SCC).

Independent smallholder group (P&C).

Mill plus supply base (P&C). Multi-site (SCC). Group certification (SCC).

2. Role of the certificate holder



	Independent Smallholder Group		Mills		Crushers		Refineries		Manufacturers		Refineries		Manufacturers	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No
Are you requesting this license for an outgrower, an independent mill, a group of independent smallholders or a mill plus supply base?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Does the license for mill plus supply base include RED?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Are you requesting this license for a supply chain actor other than an outgrower, independent mill, group of independent smallholders or a mill and supply base?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Is this supply chain actor a crusher, refiner or trader who needs conversion rights?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

3. Information about supply base, SCC multisite or Group members

4.1 Certified Volumes for P&Cs licenses

4.2 Processing activities for SCC licenses

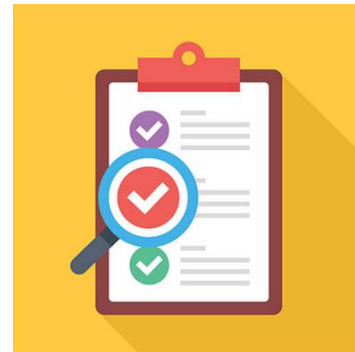




Section 2-Questionnaire

You need to indicate the following information:

1. Scope of Assessment
2. Production and Certified Areas (P&C licenses)
3. GPS coordinates for mills (P&C licenses)
4. Previous license volume information





Section 3- Certificate Settings

You need to indicate the following information:

1. Assessment Type
 - IC = Initial Certification
 - ASA 1 = Annual Surveillance Audit 1
 - RC = Re-certification
2. Certificate Number
3. Start and End License Date (365 days)
4. Upload Documents
 - Certificate → 5 years license validity
 - Audit report
 - Annex 1 → SCC licenses
5. Date of the First Certification





PALMTRACE UPDATES 2022/2023

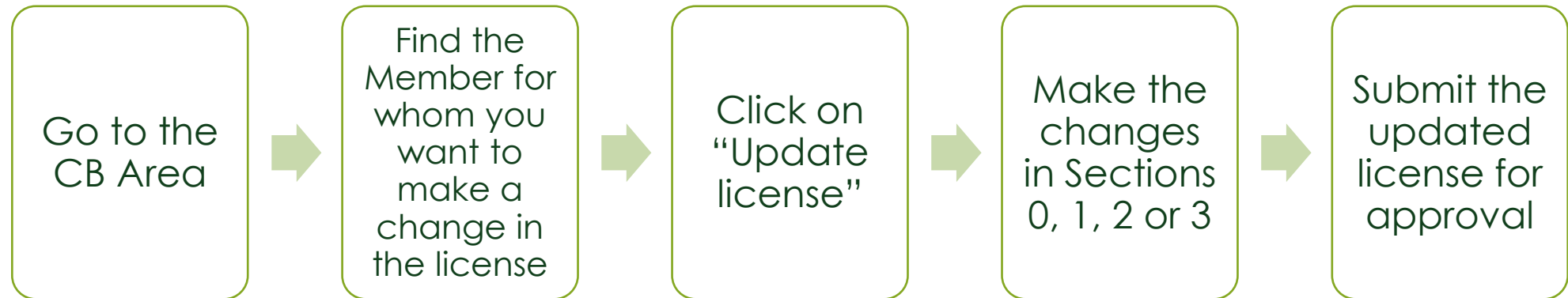
RELEVANT FOR CERTIFICATION BODIES



Update Active License Project in RSPO PalmTrace

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

Steps for updating an active license:





Multiple Phase License Submission

Project background

- Previously, the PalmTrace licensing system only allowed one license type per PalmTrace ID. It is now possible for an **ISH Group Manager** to have multiple phases of certification (E1, E2, MSA and/or MSB) reflected on the same license.
- You must specify the number of members in each subgroup as well as a manual allocation of certified volume to each group as per standards set by the ISH manager.





Multiple Phase License Submission

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

Section 3 - Certificate Settings:

Assessment Type:

Member Certificate Number:

Previous License Validity:

Start date of new license:

End date of new license:

Standard Audited:

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





Multiple Phase License Submission

1. Introduce the **volumes allocated for each one** of the assessment types in this section. These must match the total volumes of the products in Section 1 for FFB and IS-FFB.
2. Select the **Member Certificate Number** from the drop-down menu, the Start date and End date of the new license, and the Standard Audited:

Section 3 - Certificate Settings:

Assessment Type:

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

Total Members:

Total Volume:

Information Entered in Section-1:

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

Member Certificate Number:

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

Start date of new license:

End date of new license:

Standard Audited:





Mechanism to prevent sold volume from exceeding the actual production

Project background

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

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





Mechanism to prevent sold volume from exceeding the actual production

New Feature

Upon consultation with the RSPO, the following has been introduced:

As a part of the new change, **auto allocation shall be limited to 70%** by default.

- This will **generate a warning message** when an ISH allocates all their volume to Credits at the beginning of the license period.

The allocation of the remaining 30% of certified FFB into RSPO Credits (IS-CSPO; IS-CSPKO; IS-CSPKE) will need to be **manually completed** by the ISH.





Mechanism to prevent sold volume from exceeding the actual production

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

No

Yes





Mechanism to prevent sold volume from exceeding the actual production

New Feature

- An **Email notification** will be sent to the ISH Group when the new license is active and >70% Certified FFB has been allocated.

Dear Member

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

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

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

[← Reply](#) [→ Forward](#)





PALMTRACE UPDATES 2022/2023

RELEVANT FOR MEMBERS



EMAIL NOTIFICATION TO MEMBERS WHEN A CB SUBMITS A LICENSE REQUEST FOR RSPO APPROVAL

When your CB submits a request to renew your license to the RSPO, you will now receive an email notification:

Dear <FirstName> <LastName>,

We would like to inform you that the Certification Body <CB Account> submitted a new license request on RSPO's traceability system RSPO PalmTrace, with the Request ID <Request Id> for <Account>.

Once this request has been approved or denied by the RSPO Secretariat, you will receive an email notification.

If you have any questions, please do not hesitate to contact our support team at palmtrace.support@ra.org or call us at +31 20 820 8968.

With kind regards,
RSPO PalmTrace"





New Terms and Conditions in Book and Claim

The Rspo PalmTrace Terms & Conditions for Book and Claim have been updated. As an overview, there is a new **Collection Process** if buyers do not pay an invoice.

How was this communicated?

- This feature was introduced in **March 2023**
- An **email with the updated T&C** was sent to all Rspo PalmTrace members.
- This update was also **published** on the Rspo PalmTrace website.
- Buyers need to **accept** the new Terms & Conditions the first time they access their accounts in Book and Claim.





New Terms and Conditions in Book and Claim

1

After the match is done, the buyer has **14 days** to pay the invoice



2

If no full payment is received within 14 days after the date of sending the invoice, the Buyer will receive a first (send out on day 15th) and second reminder (send out on day 21st).

- No more action will be taken to force the Buyer to pay the invoice.
- Buyer access is blocked in the RSPO PalmTrace system, during which period the Buyer will not be able to submit bids.
- Seller is asked by the PalmTrace Support Team after RSPO's approval if they wish to cancel the match, if so, the match is cancelled, and the credits are returned to the Seller.



3

If no payment is received after **eight weeks**, the match is cancelled with RSPO approval. The RSPO Credits of the cancelled match are returned to the Seller's stock. The Buyer will not be able to submit bids to buy RSPO Credits for a period no longer than 6 months.



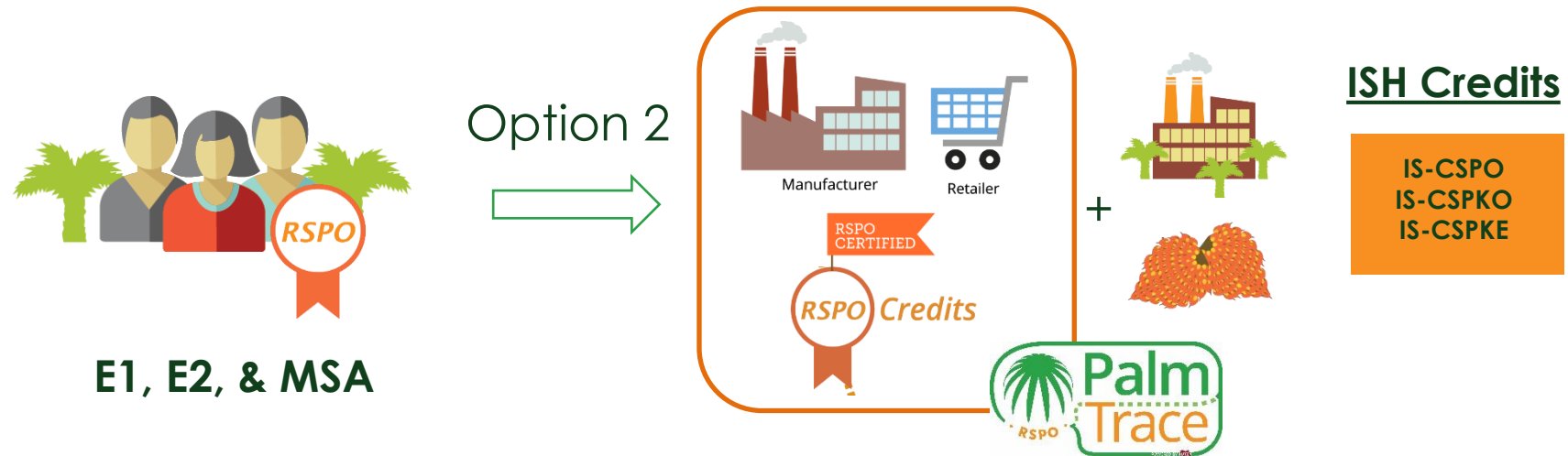


PALMTRACE FOR ISH GROUPS

FOR CERTIFICATION BODIES



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



- CBs will license volume of IS-FFB, IS-CSPKO, IS-CPKE, IS-CSPO
- ISH 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).
- For physical selling mills will confirm the announcement from the ISH.

Option 2



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





Physical Activities in Rspo Palmtrace



ISH- E1, E2 Y MSA

Allocate to Rspo credits

Sell Rspo credits



IC, ASA O RE

FFB Announcement

Remove FFB volume

Allocate to Rspo credits

Sell Rspo credits



OUTGROWERS

FFB Announcement

Remove FFB volume

Allocate to Rspo credits

Sell Rspo credits





**RSPO PALMTRACE
LIVE DEMO**



How to request a license in Rspo PalmTrace

- **General information in the CB Area**

- Downloads Tab
- Access to the CB Area
- How to add new users
- Update company information

- **How to request a license for an ISH Group**



IC, ASA & RC

FFB → 10.000 MT



Physical transactions for ISH Groups

- **General information in the Member Area**

- License Tab
- Transactions
- Trading and Stock Tab

- **Example physical transactions:**





Some practice...



Questions and Answers





THANK YOU

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