

CB Interpretation Forum

Day 1: 14 March 2022



Opening Remarks

Tiur Rumondang, Director of Assurance





Things to Note

- Strict COVID-19 protection measures should be followed at all times.
- This event will be recorded for learning and minute-taking purposes.
- Q&A session will be held at the end of every presentation.
- To ask questions:
 - Virtual participants:
 - Q&A box - type in your questions. Panelists will answer verbally or in writing.
 - Raise hand icon - click on it and wait for the host to enable your mic.
 - Physical participants:
 - Raise your hand and wait for the emcee's cue.
- Minutes and pictures will be published on the RIF one month after this event.



CB Interpretation Forum
Day 1: 14 March 2022

Time	Duration	Topic	Presenter
9.10 am	35 mins	Updates from the RSPO Secretariat	Deputy Director, Compliance
9.45 am	45 mins	Highlight on Certification Systems Document 2020	Certification Unit
10.30 am	15 mins	Morning Break	-
10.45 am	45 mins	Updates from Integrity Unit	Integrity Unit
11.30 am	45 mins	New Planting Procedure 2021	Integrity Unit
12.15 pm	15 mins	NPP 2021 Exercise	Integrity Unit
12.30 pm	90 mins	Lunch Break	-
2.00 pm	45 mins	Updates on Standards	Standards Division
2.45 pm	30 mins	PalmTrace Review: Common Mistakes during License Submission	Certification Unit
3.15 pm	45 mins	Presentation from ASI	ASI
4.00 pm	15 mins	Afternoon Break	-
4.15 pm	45 mins	Presentation from ASI	ASI
End of Day 1			

Updates from the RSPO Secretariat



Updates from the RSPO Secretariat



- **Impact Page**
- **Time Bound Plan Revision approval process**
- **Interim Measure for Fulfilment of Indicator 2.3.2 of P&C 2018 - on Legality of Indirect FFB Supplies**
- **ISH inclusion in the P&C's mill certificate**
- **Auditor Competence**
- **Update on Contingency Audit Procedure v2.**
- **Update on Communication & Claim document**

Updates from the RSPO Secretariat



Volume & Certified Mills - CSPO (February 2022)

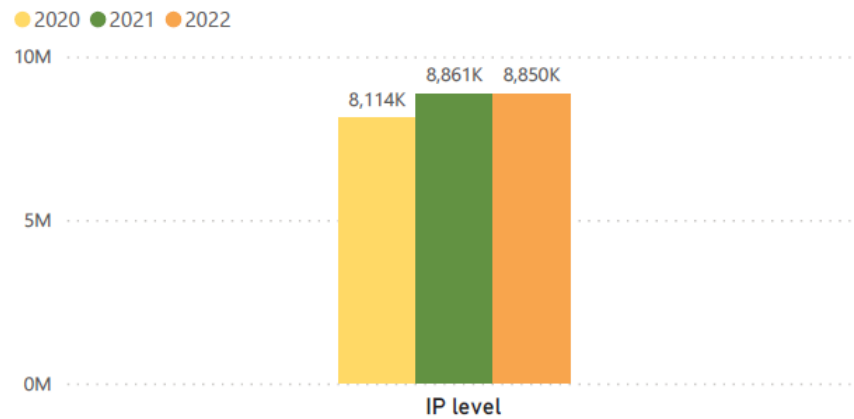
Member Country	# Mills	Certified Volume (CV)
+ Indonesia	231	11,118,739
+ Malaysia	135	4,891,051
+ Papua New Guinea	13	687,592
+ Guatemala	11	437,299
+ Colombia	23	419,214
+ Costa Rica	3	160,819
+ Brazil	5	157,562
+ Honduras	5	148,772
+ Gabon	2	106,349
+ Ecuador	6	96,694
+ Peru	1	59,636
+ Ghana	3	59,130
+ Cambodia	2	55,940
+ Thailand	8	55,772
+ Sierra Leone	2	47,681
+ Cameroon	2	42,459
+ Solomon Islands	1	38,010
+ Mexico	5	35,026
+ Nigeria	2	20,919
+ Cote D'ivoire	1	9,040
+ Sao Tome And Principe	1	2,150
+ Madagascar	1	825
Total	463	18,650,683

Updates from the RSPO Secretariat

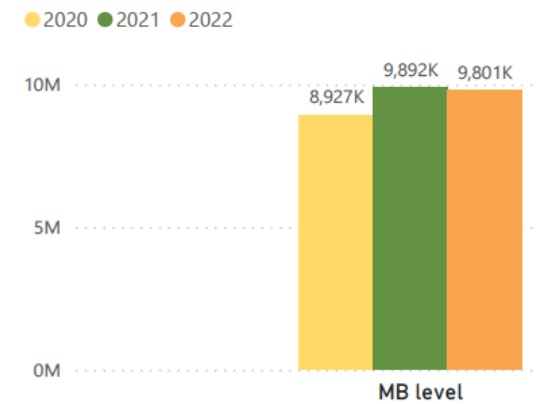


Certified Volume by Program Level for CSPO & IS-CSPO 2020-YTD 2022

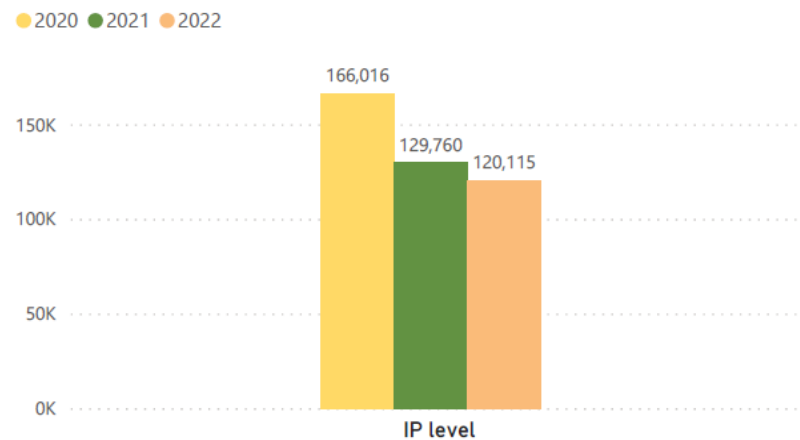
CSPO Certified Volume in MT, IP level



CSPO Certified Volume in MT, MB level



IS-CSPO Certified Volume in MT, IP level



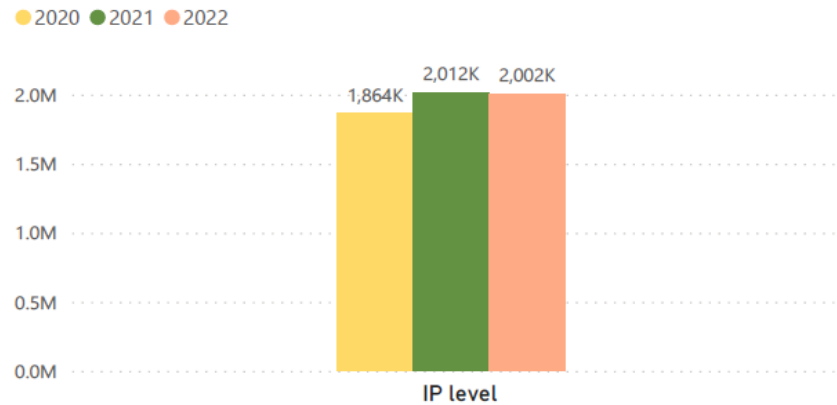
* Independent oil mills are excluded from calculations of Certified volume and mills.
** Out-growers and Independent plantation owners are excluded from calculation of mills.

Updates from the RSPO Secretariat

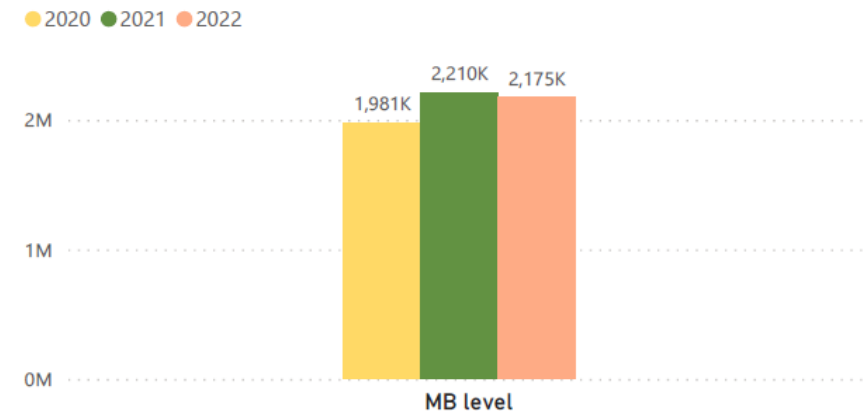


Certified Volume by Program Level for CSPK & IS-CSPKO 2020-YTD 2022

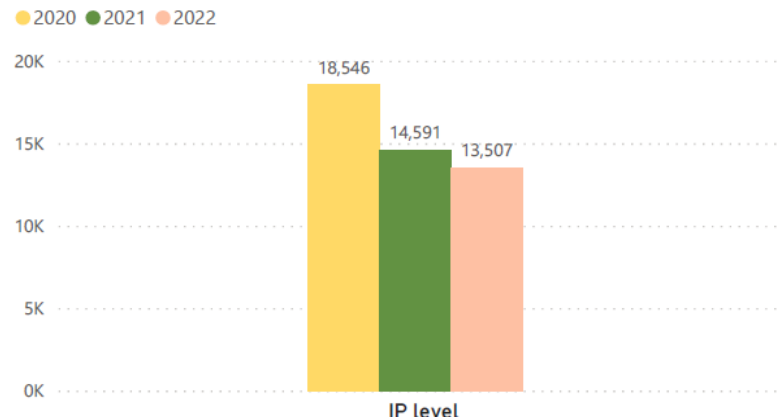
CSPK Certified Volume in MT, IP level



CSPK Certified Volume in MT, MB level



IS-CSPKO Certified Volume in MT, IP level

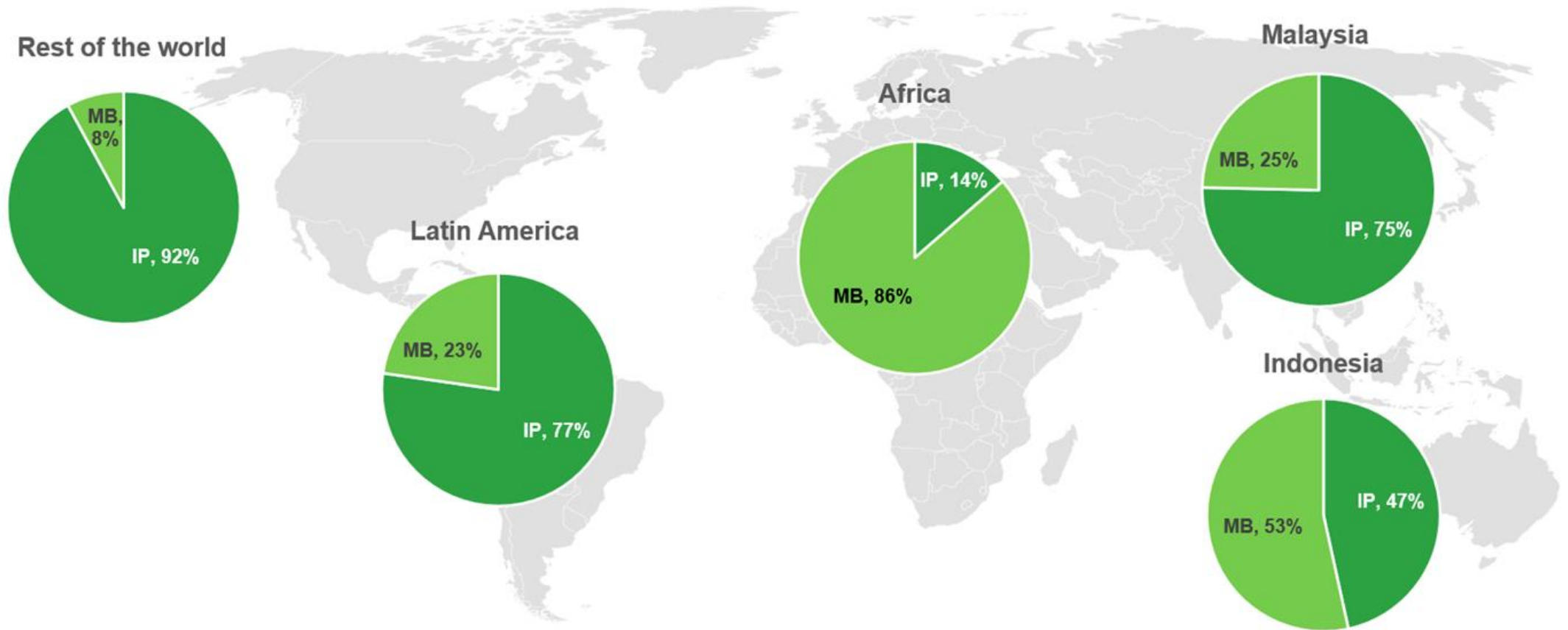


* Independent oil mills are excluded from calculations of Certified volume and mills.
** Out-growers and Independent plantation owners are excluded from calculation of mills.



Updates from the RSPO Secretariat

SHIPPING TRANSACTIONS - CSPO Past 12 months data



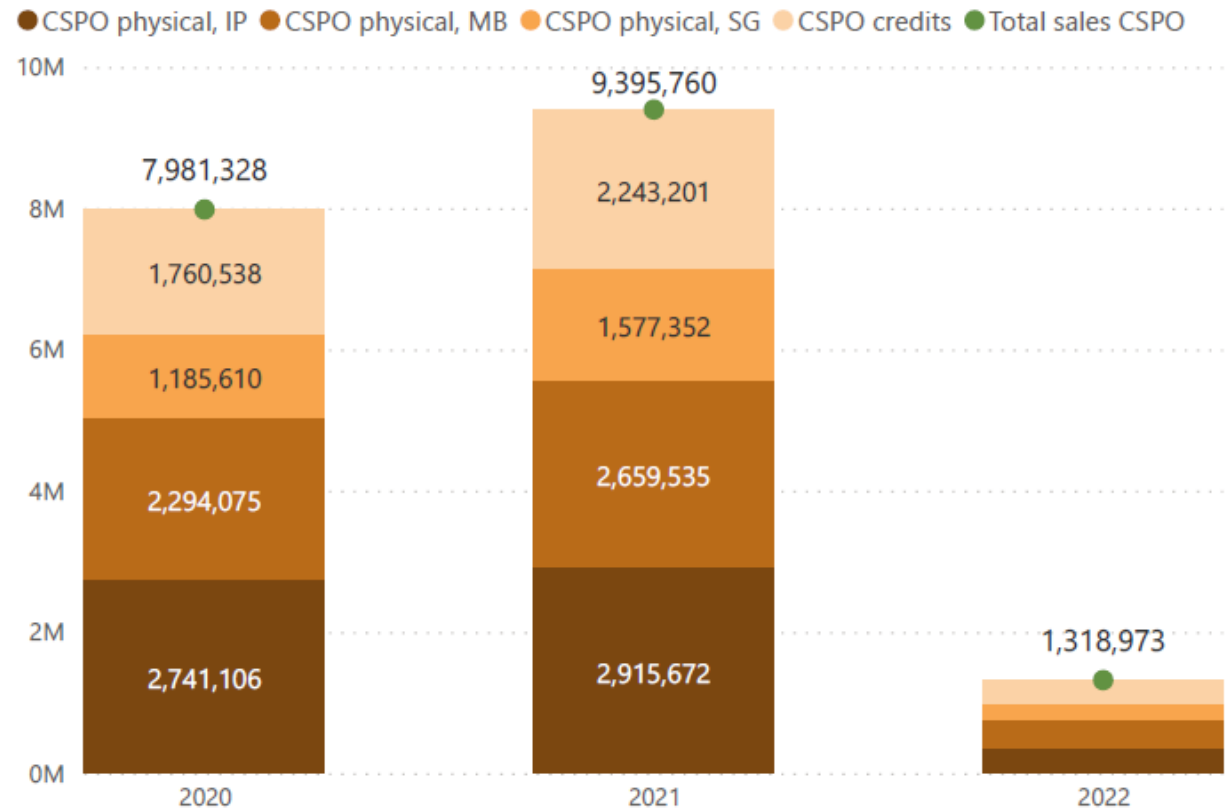
RSPO-certified sustainable palm oil production represents **an estimated 19.3% of global palm oil production**

**based on USDA 2022 Jan Data*

Updates from the RSPO Secretariat



TOTAL SALES, CSPO 2020-YTD 2022

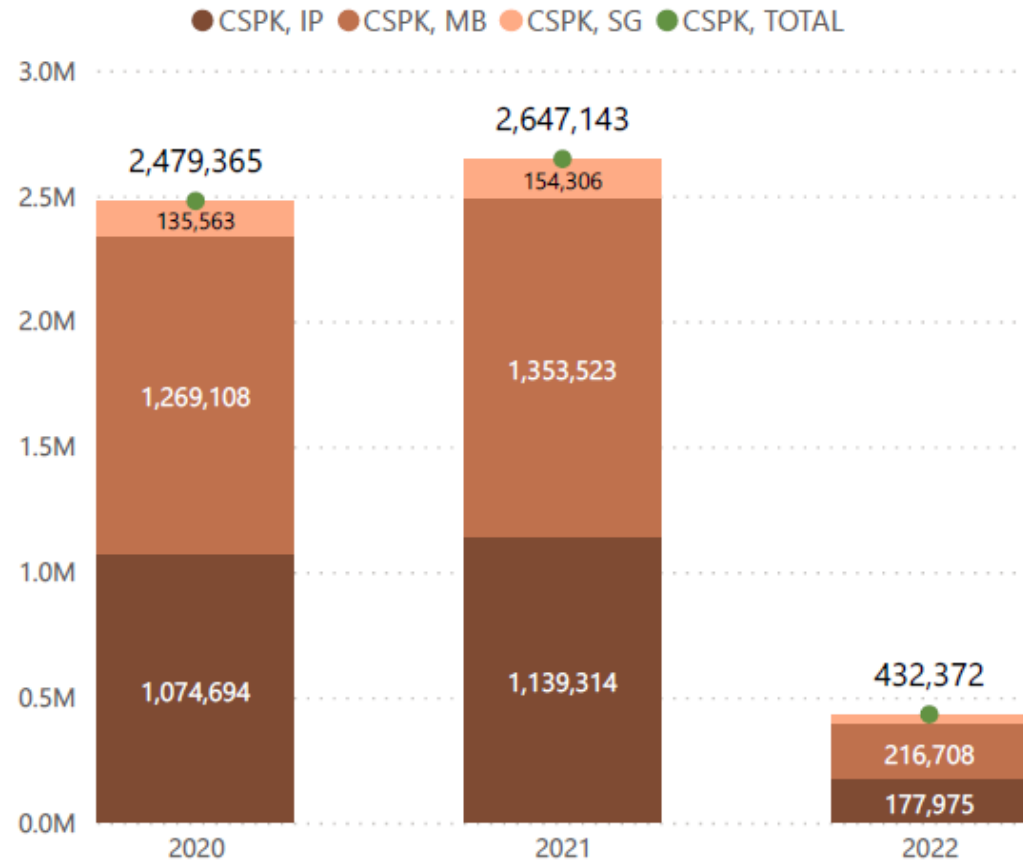


* Independent oil mills are excluded from calculations of Certified volume and mills.
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Updates from the RSPO Secretariat



TOTAL SALES, CSPK 2020-YTD 2022



* Independent oil mills are excluded from calculations of Certified volume and mills.
** Out-growers and Independent plantation owners are excluded from calculation of mills.

Updates from the RSPO Secretariat



Time Bound Plan Revision approval process

- Announcement been made on **21 December 2021**
- Go to this link: <https://www.rspo.org/news-and-events/announcements/rspo-announcement-for-time-bound-plan-revision>

Updates from the RSPO Secretariat



Interim Measure for Fulfilment of Indicator 2.3.2 of P&C 2018 - on Legality of Indirect FFB Supplies

- Announcement been made on **15 February 2022**
- Go to this link: <https://www.rspo.org/news-and-events/announcements/interim-measure-for-fulfilment-of-indicator-232-of-the-2018-rspo-principles-and-criteria--on-legality-of-indirect-ffb-supplies>

Updates from the RSPO Secretariat



ISH inclusion in the P&C's mill certificate

- **Lesson learn from Africa and Latam region cases**
- **Several discussions have been made among Standing Committees (ASC, SSC, SHSC) ~ temporary decision made to allow ISH stick with Mill P&C certificate until certain time**
- **Further follow up discussion being made on detail guidances for ISH to comply with P&C and/or transition to RISS.**

Updates from the RSPO Secretariat



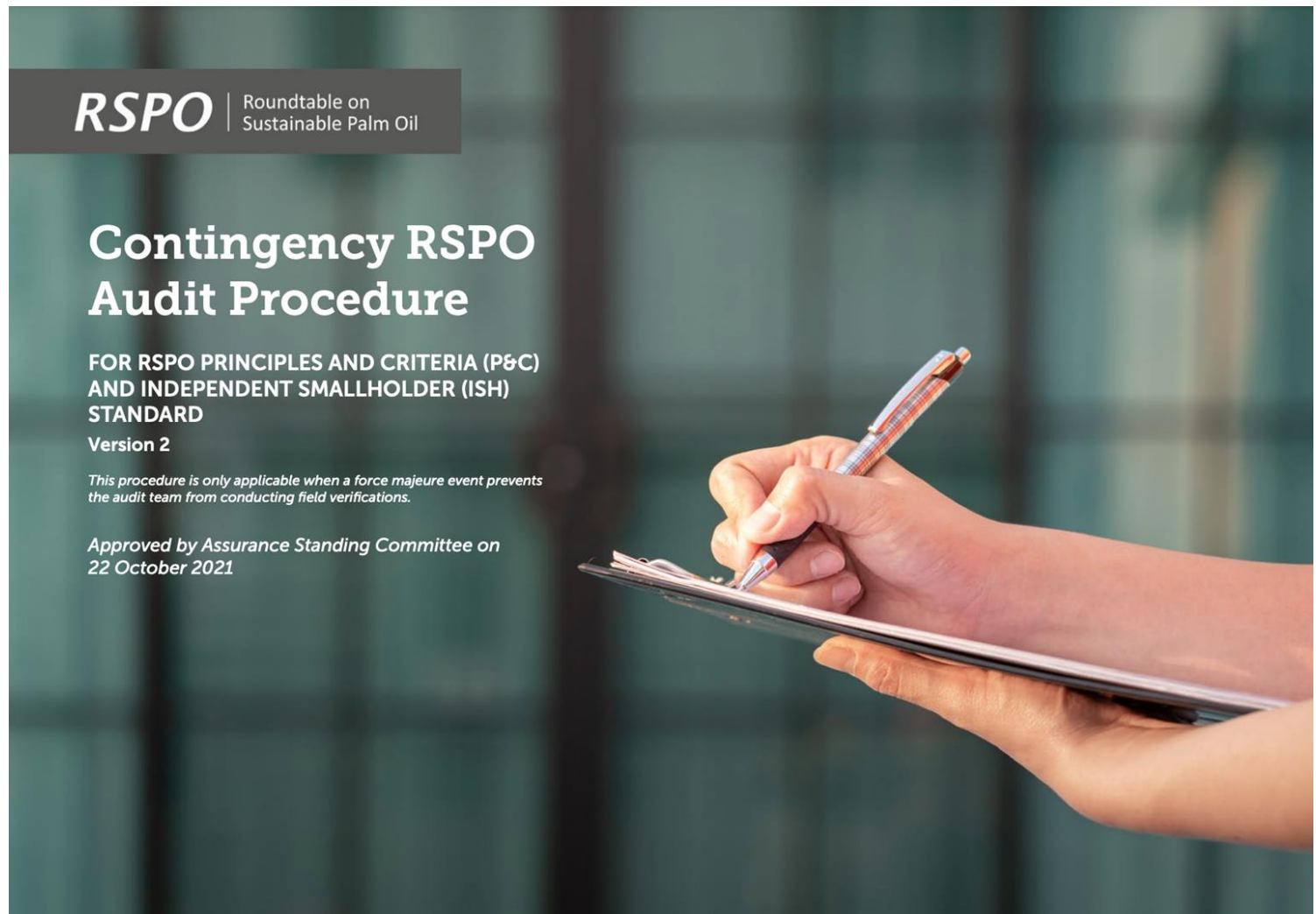
Updates from the RSPO Secretariat



Contingency RSPO Audit Procedure

The RSPO Secretariat has agreed to revise and replace the previous Contingency RSPO Audit Procedure (Version 1) with this version, to be used by all RSPO accredited CBs and Units of Certification (UoC) when conducting RSPO Principles and Criteria (P&C) and RSPO Independent Smallholder (ISH) standard audits in a situation of force majeure (e.g., pandemic, natural disaster, civil unrest, etc.) which prevented the audit team from conducting a field assessment, to maintain the credibility of the RSPO certification scheme.

The Contingency RSPO Audit Procedure (Version 2) can be used by the CBs and CHs after 23 November 2021 on a voluntary basis, and will formally replace the Contingency RSPO Audit Procedure (Version 1) on a date that will be further announced by the RSPO Secretariat. All requirements in the RSPO Certification System for the P&C and ISH Standard remain unchanged unless stated otherwise in this document.

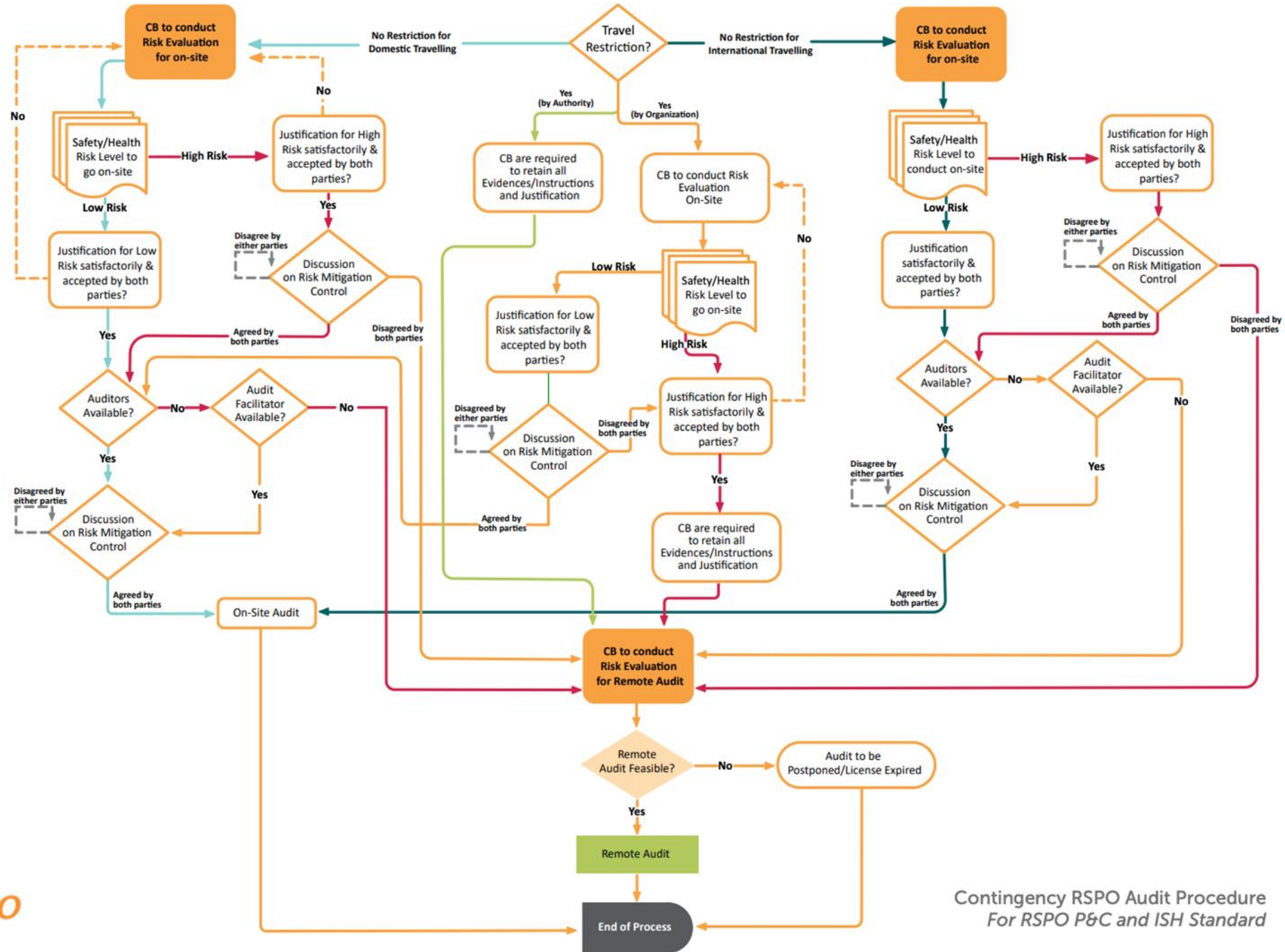


Introduction



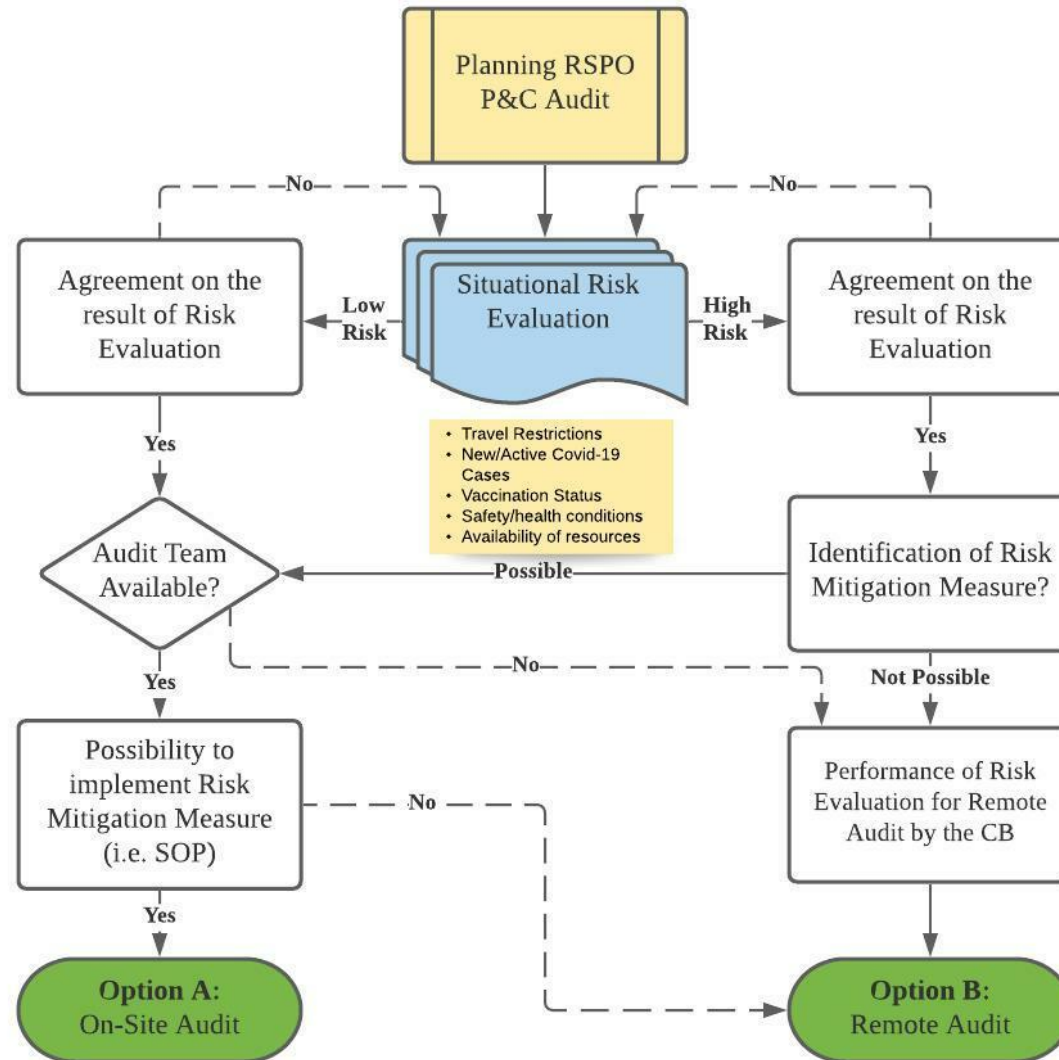
1. Introduces **two options** for conducting an RSPO P&C and ISH Standard audit:
 - **Option A:**
 - Audits are carried out on-site by the CB's audit team; or
 - Audits are carried out by the CB's audit team and audit facilitator (i.e. the CB's audit team conducts audits remotely, and supported by audit facilitator on-site at the same time)
 - **Option B:**
 - Audit is fully conducted remotely by the CB's audit team, with no assistance from audit facilitator and/or local expert on-site

CB Planning for RSPO P&C Audit



Process to Determine the Options

In a simpler version:



Situational Risk Evaluation



1. The CBs are responsible to conduct Risk Evaluations of contextual and business-specific risks to determine whether the Unit of Certification (UoC) qualifies for Remote Audit (**Option B**), or whether an On-Site Audit (**Option A**) is still feasible.
 - **Situational Risk Evaluation for On-Site Audit**
 - *i.e. Covid-19 Cases, travel restrictions, vaccination rates, health and safety, audit team, etc.*
 - **Situational Risk Evaluation for Remote Audit**
 - *i.e. sufficient resources and tools, ongoing formal complaint, etc.*
2. The CBs' risk evaluation results shall be discussed with the CH, and both parties must agree on the conclusion and justification.

Situational Risk Evaluation



A. Risk Evaluation for On-Site Audit

- Any force majeure situation (e.g. war, riots, fire, flood, hurricane, typhoon, earthquake, lightning, explosion, strikes, lockouts, slowdowns, pandemics) that may put the health and safety of the CB's audit team members, auditees and/or company staff at risk.
- Any travel restriction imposed by the authority, CBs and/or CH that prevents the CB's qualified audit team from conducting an on-site audit at the UoC (e.g. locality/district/state/country)
- Possibility to implement health and safety protocols during travelling and execution of the on-site audit (e.g. crowd control, engineering modification, safe operating procedures, etc.)
- Availability of the CB's audit team and/or audit facilitator(s) to travel for on-site audits
- For Pandemic Covid-19 Specific Case:
 - The number of new and active recorded COVID-19 cases (beyond isolated cases) within the last 14 days of the date of risk evaluation in the place of departure and arrival (e.g. from the CB's premises to the UoC)
 - The number of new and active COVID-19 cases recorded within the UoC, its surrounding area, and/or among the audit team members for the past 14 days
 - Vaccination status of the auditee and audit team. (Note: In case of a situation whereby the vaccination rate within the UoC is less than 80%, the CB should define whether an on-site audit is practical, or whether the CB can choose to implement effective measures before going on-site.)

In the event that the result of risk evaluation for on-site auditing is FEASIBLE, but the risk is high, the CB and CH should discuss and agree on relevant control measures to mitigate the risk level during the on-site audit. The CB should also have an internal system in place to respect the individual auditor's right to accept or decline the assigned onsite audit.

B. Risk Evaluation for Remote Audit

When the result for risk evaluation for on-site audit indicates that Option A is not feasible, the following factors need to be considered by the CB to evaluate the risk evaluation for remote audit (refer to Annex 1 – Contingency RSPO Audit Procedure Process Flow).

- The justification and agreement by the CB and CH for the on-site audit is not feasible are documented
- Availability of sufficient resources and tools (i.e. Internet connection, mobile network coverage, hardware, software, competence personnel, etc.) among the CB's audit team, UoC, surrounding communities, previous land users, and other stakeholders to facilitate the information gathering and collecting feedback during the remote audit
- Possibility to make the necessary tools for remote auditing available (e.g. local representative may be able to facilitate access for video calls with the communities)
- No ongoing formal complaint/legal cases related to the UoC

After taking into account (at a minimum) all of the risk elements listed above and determining that remote audits (Option B) is FEASIBLE, the justification must be documented and properly maintained, and the remote audits may proceed accordingly.

In the event that the CB observes that the risk is getting lower, and on-site audit seems feasible, the risk evaluation may be required to be repeated within 21 days prior to the agreed audit date to confirm if the decision to proceed with the remote audit is still applicable or not. The risk evaluation result shall be reviewed by the CB and agreed upon by both CB and CH.

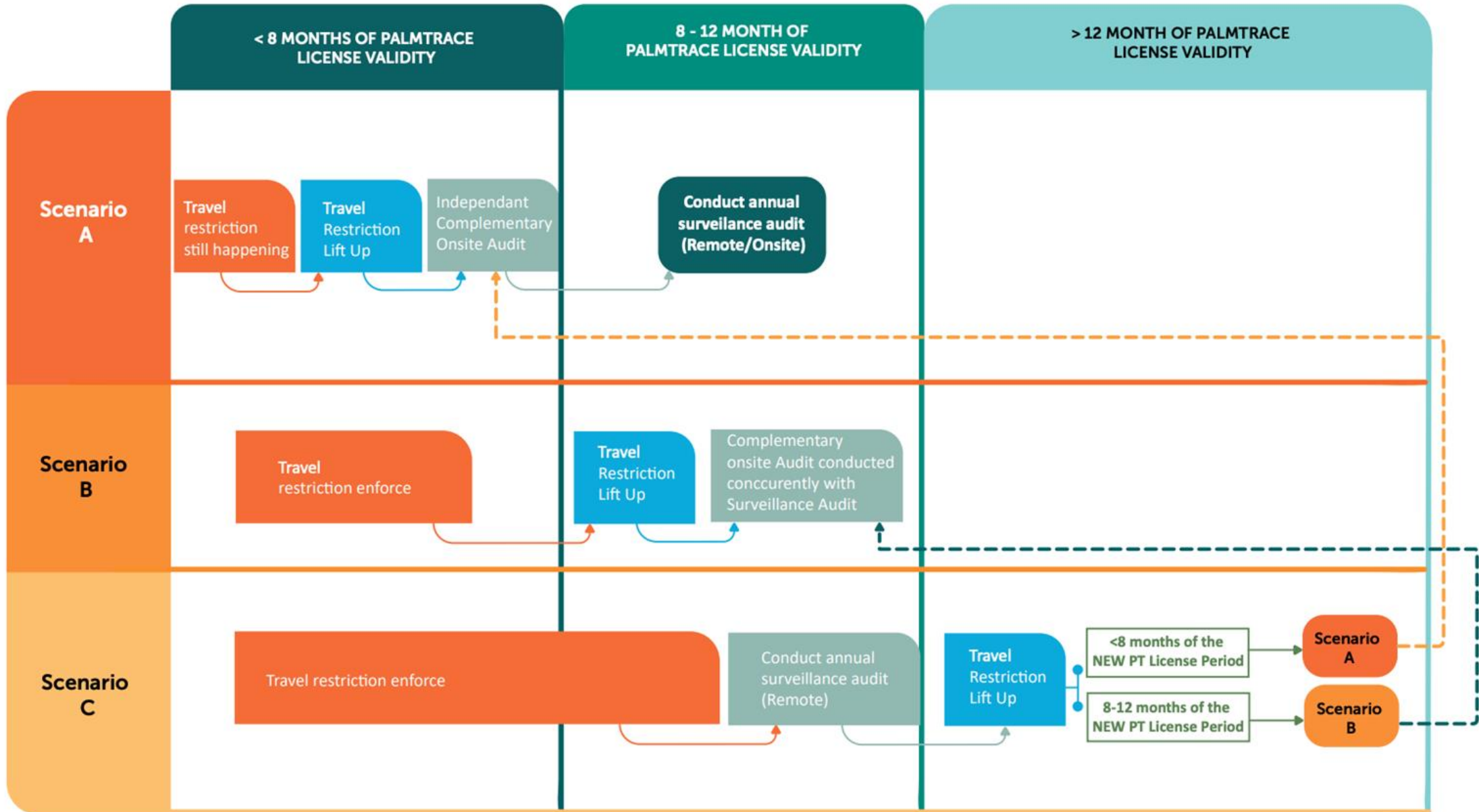
Initial Certification (Remote Audit)



1. The CBs conduct Risk Evaluations determine whether the Unit of Certification (UoC) qualifies for Remote Audit (**Option B**), or whether an On-Site Audit (**Option A**) is still feasible.
2. **Risk evaluation results** shall be discussed with the CH, and **agreed by both parties**. Justification and evidence of agreement shall be maintained by the CB.
3. Where the **Option B** (remote audit) is deemed as feasible, the IC can be conducted remotely following all requirements in the RSPO Certification Systems for P&C and RSPO ISH Standard except the following:
 - **Risk Assessment:**
 - Use **HIGH-RISK** multiplier (2.0) in the risk assessment for the sampling (5.7.3 and 5.7.4).
 - **On-Site Complementary Audit:** *within 60 days after the travel restriction is lifted*
 - by CB audit team/combination with audit facilitator
 - to complete the initial certification decision by the CB
 - to evaluate the effective implementation of the standard requirements through field inspection
 - possible to combine with ASA if the travel restriction lifted within 8-12 months of the license expiry (*refer flowchart for easier understanding*)



The on-site complementary audit, however, can be combined with the next on-site annual surveillance audit, if the travel restrictions are lifted and/or the situation permits within the period of eight (8) to twelve (12) months of the licence expiration date. This option is given to prevent two audits from being conducted too soon after each other. This is further explained in the following diagram :



Remote Audit Process



Planning

- Resources & Tools (e.g. *ICT, coverage, hardware, software, people*)
- Medium of Audit
- Data protection
- Contingency plan
- Flexibility of audit approach

Internal Audit by CH

- At least the last 12 months
- Not only 'tick-box' exercise
- Will be reviewed by the CB
- NC not necessarily to close during submission to CB
- Submitted to CB within 14 days before the remote audit date.

Document Submission

- Information/documents are submitted within 14 days
- CB to review within the 14 days period
- CB to define what information/documents to submit (e.g. *maps, RSPO Metric Template, grievances record, videos, photos, etc.*)

Sharing Platform

- ICT sharing platform/cloud storage (e.g. *Google Drive, OneDrive, iCloud, etc.*)
- Application/medium for remote audit (e.g. *Zoom, Gmeet, Teams, etc.*)
- Data protection
- Confidentiality
- Respect Local/National/regulations on information sharing.

Audit Execution

- 'live' visual feed and portable around the sites, operation area, facilities, etc.
- In case of limited connection:
 - CB to decide type if photo/video is acceptable as evidence (with geotagging)
 - live communication with auditee (*alternative office*)

Remote Audit Process



Information Gathering with workers/stakeholders

- CB's documented procedure to demonstrate 'proactive' approach to ensure inclusivity of stakeholders
- respect confidentiality, privacy & anonymity
- mechanism to connect with individual workers/stakeholders
- ability of the CB to verify the information and provide feedback (if necessary)

Sampling & Risk Factor

- Follow 5.7 and 6.4 of the Certification System document
- Increase the audit intensity (for the very first time remote audit conducted)
- Review allocated manday (if necessary)
- data reporting as per template provided

Audit Duration

- CB procedure to identify appropriate MDs for remote audit
- Guideline: 1 POM + 1 Estate = 9 MDs
- Allocated for:
 - 'test' session with CH,
 - review of information submission,
 - evaluation of compliance

Certification Decision

- Follow 5.8 of the Certification System document
- Result of Risk Evaluation as part of audit pack during Peer Review process

Audit Reporting

- Fulfill Annex 3 of the Certification System document
- Information on audit methodology, data gathering platform, sampling, etc.
- method of stakeholders inputs are compiled

Updates from the RSPO Secretariat



Update on Communication & Claim document

Highlights on RSPO Certification System (P&C and ISH) 2020



General Requirements for CB



4.6 Impartiality and Conflict of Interest:

- CB shall have documented procedure related to the identification and managing COI, including:
 - Composition of specific independent committee consist of at least 3 external members with professional experience in palm oil industry (i.e. Social, Environmental, Best Practices, etc.)
 - The committee shall meet at least annually to formally review the CB's implementation impartiality procedures and records related to its RSPO certification and verification activities
- The assessment team shall maintain independent from the client that they audited for **at least 3 years** to be considered as not having COI
- CB shall not use same lead auditor **as audit team leader for more than two (2) consecutive audits** (counting all types of audits, i.e. certification audits and surveillance audits) of a management unit, including if the lead auditor changes CB.
- If so, the same lead auditor **shall not participate or involve in any associated audit activities** (either as auditor or technical reviewer or decision maker) **of the same management unit for at least two (2) years.**

General Requirements for CB



4.6 Impartiality and Conflict of Interest:

- CB **shall not accept any contracts** from its certified client relating to **verification and/or investigation of complaints**. For complaints received via the CB's system, refer to 4.10.
- CB and its subcontractors, shall not have provided, or provide **management advice or technical support related to the scope of RSPO certification** to any organisation under contract with the CB for certification assessment services, or with whom it has any relationship that creates a threat to impartiality, for **at least three (3) years before certification services are provided**. This excludes the provision of RSPO-endorsed public training courses.

Resource Requirements



The CB shall take all measure to ensure all resources fulfil the following requirements:

Knowledgeable

All persons involved in RSPO audit (including freelance/technical experts) are trained and knowledgeable on processes, procedures, documents and RSPO Certification System requirements.

No. of Assessors

CB shall have access to sufficient no. of auditors (including LA and TE) to cover the RSPO certification activities.

Annual Training

CB shall identify and provide annual training needs to ensure all the resources are competent for the function they performed.

Local Expert

When local expert is used, e.g. for community consultations, the CB shall ensure that **the expert is aware of the RSPO requirements prior to the audit**

Registration

CB shall register all approved LA and auditors (including freelance) with the AB, including details of their qualifications and competences.

Performance Checking

Evaluate the performance of each LA and Auditors (witness assessments) at least once every three (3) years/upond complaint against the LA and/or auditor's performance.

General Requirements for CB



4.8 Resource Requirements:

- Qualification for RSPO P&C and ISH Auditors:
 - a. Possess a **bachelor's degree or tertiary education in related disciplines**, such as agriculture, environmental science or social sciences, etc;
 - b. At least **three (3) years of field experience in the palm oil sector**, health and safety, or environmental management. These include experience in HCV and HCS assessment, social auditing or involvement in human rights activities;
 - c. **Successfully completed an RSPO endorsed P&C lead auditor course;**
 - d. **Successfully completed the 5-day lead auditor course for ISO 9001 or ISO 14001 or ISO 45001;**
 - e. **Demonstrable understanding of the latest version of RSPO Certification Systems;**
 - f. For auditors **auditing the ISH standard**, auditors shall **additionally be trained on the ISH standard either by the endorsed trainer or RSPO;**
 - g. For auditors **verifying compliance with NPP procedures**, auditors shall **additionally be trained in the assessment of compliance with FPIC, HCV and HCS requirements in the context of RSPO NPP procedure.**
 - h. A **supervised (by a qualified auditor/lead auditor) period of training in practical audit** against the RSPO P&C, with a **minimum of 10 days of audit experience in at least two (2) audits.**

General Requirements for CB



4.8 Resource Requirements:

- Qualification for RSPO P&C and ISH Lead Auditors:
 - a. At least **five (5) years of field experience in the palm oil sector**, health and safety, or environmental management. These include experience in HCV and HCS assessment, social auditing or involvement in human rights activities;
 - b. A **supervised (by a qualified lead auditor) period of training in practical audits** against the RSPO P&C and/or RSPO ISH standard, with a **minimum of 15 days audit experience in at least three (3) audits**;
 - c. **Successfully completed a refresher course** for RSPO endorsed P&C lead auditor course **every three (3) years** after the initial qualification as lead auditor.

General Requirements for CB



4.10 Feedback Mechanism and Complaints process:

- CB shall have mechanism and system to collect feedback from their clients about the auditors and the audit performance
- CB shall established procedure for handling complaints and grievances (includes complaint against the client, or the decision by the CB) and made it publicly available on the websites.
- Any complaint received from the RSPO stakeholders concerning the auditors competency or implementation of certification assessment shall be notified to AB within 7 days.
- CB shall seek resolution of such complaint in 60 days. Should the CB fails to resolve a complaint within 60 days, it shall inform the AB immediately. Furthermore, the CB will inform the complainant about the AB Complaints Procedure, which is available on the AB's website

Certification Process Requirements



5.1 Unit of Certification (UoC)

- 5.1.1 The UoC shall be **the mill and its supply base**.

Where more than one mill shares the same supply base, deviations shall be requested from the RSPO Secretariat to include more than one mill on a single certificate (**Multi-mill**).

Where organisations are managing plantations only, with no integrated mill, or where the mill is not yet established, **the requirements in the P&C relating only to mills are not applicable**.

- 5.1.2 The UoC shall include both **directly managed land (and estates) and scheme smallholders and outgrowers**, where estates have been legally established with proportions of lands allocated to each. The **CB shall determine the status of the smallholders at the time of the assessment**.
- 5.1.3 The directly managed lands (or estates) shall be compliant with the P&C in order for a certificate to be awarded. The **mill shall develop and implement a time-bound plan to ensure that 100% of scheme smallholders and scheme outgrowers are compliant with the standard within three (3) years of the mill's initial certification**. In monitoring compliance with this timeline, the CB shall raise an OFI after one (1) year where 100% of the scheme smallholders and scheme outgrowers are not in compliance, a minor NC after two (2) years, and a major NC if this requirement is not met after three (3) years.

Certification Process Requirements



5.1 Unit of Certification (UoC)

- 5.1.4 For independent smallholders using the RSPO ISH standard, the unit of certification shall be the group manager and 100% of the ISH group members included in the scope of certification.
- 5.1.5 For group certification other than ISH, the RSPO Management System Requirements and Guidance for Group Certification of FFB Production is applicable. For group certification, the unit of certification shall be the group manager and the group members. (NOTE: Public consultation for 2021 version is announced [here](#))

Certification Process Requirements



5.5 Minimum requirements for multiple management units (not applicable for RSPO ISH Standard)

- 5.5.1 Organisations that have multiple management units, and/or a majority holding in and/or management control of more than one autonomous company growing oil palm, will be permitted to certify individual management units and/or subsidiary companies under certain conditions.

A majority shareholding is defined as the largest shareholding; where the largest shareholdings are equal (e.g. 50/50) this applies to the organisation that has management control. The requirements in 5.5.2 below will be applicable, whether the registered RSPO member is the holding company or one of its subsidiaries.

- 5.5.2 **Time-bound plan:** A TBP for certifying all its management units and/or entities, including the units where the organisation has management control and/or minor shareholding, is submitted to the CB during the initial certification audit.

Certification Process Requirements



5.5 Minimum requirements for multiple management units (not applicable for RSPO ISH Standard)

The time-bound plan shall contain a current list of all estates and mills.

- a. As a minimum, all estates and mills shall be certified **within five (5) years after obtaining RSPO membership**. Any new acquisitions shall be certified within a three-year time frame. **Any deviations from these maximum periods requires approval by the RSPO Secretariat.** (refer to latest RSPO Announcement on TBP [here](#))
- b. Progress towards this plan shall be verified and reported in subsequent annual surveillance audits by the CB. Where the CB conducting the surveillance audit is different from the CB that first accepted the time-bound plan, the later CB shall accept the appropriateness of the time-bound plan at the moment of first involvement and shall only check continued appropriateness.
- c. Any revision to the time-bound plan, including for the scheme smallholders and outgrowers, shall be reviewed by the CB. Changes to the time-bound plan are permitted only if the organisation can demonstrate to the CB that they are justified. The requirements will also apply to any newly acquired subsidiary from the moment the company is legally registered with the local notary or chamber of commerce (or equivalent).
- d. Where there are isolated lapses in the implementation of a time-bound plan, a minor non-compliance shall be raised. If there is evidence of fundamental failure to proceed with the implementation of the plan, a major non-compliance shall be raised.

Certification Process Requirements



5.5.3 Requirements for uncertified management units

The time-bound plan shall contain a current list of all estates and mills.

- a. **No replacement of primary forest or any area required to maintain or enhance HCVs and HCS** in accordance with RSPO P&C criterion 7.12. Any new plantings since 1 January 2010 shall comply with the RSPO New Planting Procedure (NPP). For each new planting development, compliance with the NPP shall be verified by an RSPO accredited CB.
- b. **Land conflicts**, if any, are being resolved through a mutually agreed process, such as the RSPO Complaints System or Dispute Settlement Facility, in accordance with RSPO P&C criteria 4.4, 4.5, 4.6, 4.7 and 4.8.
- c. **Labour disputes**, if any, are being resolved through a mutually agreed process, in accordance with RSPO P&C criterion 4.2.
- d. **Legal non-compliance**, if any, is being addressed through measures consistent with the requirements of RSPO P&C criterion 2.1.
- e. CBs shall assess compliance with these rules at each assessment of any of the applicable management units. **Assessment of compliance with the requirements 5.5.3 (a) - (d) above based on self-declarations by the company, with no other supporting documentation, shall not be acceptable.**

Certification Process Requirements



5.5.3(e)

Verification of compliance shall be based on the following approach:

- A **positive assurance statement** is made, based upon self-assessment (i.e. internal audit) by the organisation or assessment carried out by an accredited CB. Evidence of the assessment against each requirement shall be demonstrated and if there is non-compliance whether the non-compliance has been actively addressed or communicated to RSPO.
- Where applicable, **targeted stakeholder consultation**, including consultation with the relevant NGOs, will be carried out by the CB.
- **Desktop study**, e.g. web check on relevant complaints.
- If necessary, the CB may decide on **further stakeholder consultation or field inspection**, assessing the risk of any non-compliance with the requirements.



Example of Presented Report by CB

1.8.3 Requirements for Uncertified Management Units

Requirement	Findings/Compliance
<p>Is there any replacement of primary forest or any area required to maintain or enhance HCVs and HCS in accordance with RSPO P&C criterion 7.12?</p> <p>Any new plantings since 1st January 2010 shall comply with the RSPO New Plantings Procedure.</p> <p><i>Note: For each new planting development, compliance with the NPP shall be verified by an RSPO accredited CB</i></p>	<p>Based on the verification during the audit, the certification unit does not have any land cleared after November 2005. Current planting is at second cycle.</p>
<p>Any Land conflicts are being resolved through a mutually agreed process, such as RSPO Complaints System or Dispute Settlement Facility, in accordance with RSPO P&C criteria 4.4, 4.5, 4.6, 4.7 and 4.8.</p> <p><i>Note: Is case of issue related to land conflicts identified by BVC, details of the status/progress to resolve such matter shall be clearly explained.</i></p> <p><i>The RSPO RaCP tracker shall be checked to confirm for any land conflicts/Liabilities https://www.rspo.org/certification/remediation-and-compensation/racp-tracker</i></p> <p><i>The progress on the Liabilities shall be verified and reported. Please refer to BVC-RSPO Secretariat approval.</i></p>	<p>As to date of audit, the certification unit consist 01 Mill and 01 estate. No plan for the new acquisition in near future.</p>
<p>Is there any labour dispute reported/identified within any Un-Certified Management Unit belong to the RSPO Member?</p>	<p>As to date of audit, the certification unit consist 01 Mill and 01 estate. No plan for the new acquisition in near future.</p>

<p>If YES, has it being resolved through a mutually agreed process, in accordance with RSPO P&C criterion 4.2?</p> <p><i>Note: Is case of issue related to labour dispute identified by BVC, details of the status/progress to resolve such matter shall be clearly explained.</i></p>	
<p>Is there any legal non-compliance reported / identified within any Un-Certified Management Unit belong to the RSPO Member?</p> <p>If YES, has it being addressed through measures consistent with the requirements of RSPO P&C criterion 2.1?</p> <p><i>Note: Is case of issue related to legal non-compliance identified by BVC, details of the status/progress to resolve such matter shall be clearly explained.</i></p>	<p>As to date of audit, the certification unit consist 01 Mill and 01 estate. No plan for the new acquisition in near future.</p>
<p>IMPORTANT [REDACTED] shall assess compliance with these rules at each assessment of any of the applicable management units. Assessment of compliance with requirements listed above based on self-declarations only by the company, with no other supporting documentation, shall not be acceptable!</p> <p>Verification of compliance shall be based on the following approach: MANDATORY!</p>	
<p>Did the company conduct internal audit for those uncertified estates against the uncertified management units requirement and covering the RSPO P&C criterion 2.1 4.2, 4.4, 4.5, 4.6, 4.7, 4.8 and 7.12? If yes, a positive assurance statement shall be available and justified.</p> <p>Are there any Critical (Major) non-compliance raised against any of the RSPO P&C criterion 2.1 4.2, 4.4, 4.5, 4.6, 4.7, 4.8 and 7.12 during the last internal audit of the uncertified estates? If yes is the NC(s) actively addressed with RSPO?</p>	<p>As to date of audit, the certification unit consist 01 Mill and 01 estate. No plan for the new acquisition in near future.</p>
<p>Did [REDACTED] conduct targeted stakeholder consultation (including consultation with the relevant NGO's) to evaluate the compliance related to Requirements on Un-Certified Management Unit?</p>	<p>As to date of audit, the certification unit consist 01 Mill and 01 estate. No plan for the new acquisition in near future.</p>

- For requirements above, the definition of major and minor non-compliance is stated in the RSPO P&C. For example, if non-compliance against a major indicator in a non-certified holding/management unit is identified, the current certification assessment cannot proceed to a successful conclusion unless that is actively addressed;
- Failure to address any outstanding non-compliance may lead to certificate suspension(s), in accordance with the provisions of these Certification Systems.

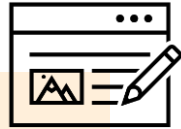


Example of Presented Report by CB

Un-Certified Units or Holdings		
No replacement of primary forest or any area required to maintain or enhance HCVs and HCS in accordance with RSPO P&C criterion 7.12.	Based on the time-bound plan, it was not identified that those uncertified units are due to RaCP. Mainly are due to awaiting to receive land titles at the Indonesia management units.	Complied
Any new plantings since January 1 st 2010 shall comply with the RSPO New Plantings Procedure.	<p>New plantings within Sime Darby Plantation Berhad that have completed NPP notification</p> <p>1. NBPOL (Poliamba Limited) 23/05/2020 – no comments https://rspo.org/certification/new-planting-procedure/public-consultations/sime-darby-plantation-berhad-nbpol-poliamba-limited</p> <p>2. NBPOL (Guadalcanal Plain Palm Oil Ltd) 06/04/2018 – no comments https://rspo.org/certification/new-planting-procedure/public-consultations/new-britain-palm-oil-a-subsiary-of-sime-darby-plantation-bhd-guadalcanal-plain-palm-oil-ltd</p>	Complied
Any Land conflicts are being resolved through a mutually agreed process, such as RSPO Complaints System or Dispute Settlement Facility, in accordance with RSPO P&C criteria 4.4, 4.5, 4.6, 4.7 and 4.8.	<p>No land conflicts. Both Liberia and Indonesia (PT Mitral Austral Sejahtera) has been excluded in the latest TBP as both sites was disposed.</p> <p>The RaCP tracker was checked. There are 21 Management units that have potential liabilities. There are some discrepancy between RaCP tracker and actual scenario due possibility of assets disposal. As per the data audited, there are 19 management units for the Indonesia Operations that requires LUCA. All LUCAs were submitted but the review was delayed due to change of RSPO reviewer. As of 14/07/2021, 10 LUCAs were approved with 0 conservation liability and remaining 9 are still pending from RSPO.</p>	Complied
Any Labor disputes are being resolved through a mutually agreed process, in accordance with	Sime Darby Plantation Berhad have published Grievance mechanism that is applied to all	Complied

RSPO P&C criterion 4.2	management units. Disputes related to labor, stakeholders and communities are to be dealt using this mechanism.	
Any Legal non- compliance is being addressed through measures consistent with the requirements of RSPO P&C criteria 2.1	Sime Darby Plantation maintain corporate governance to monitor and address any legal non-compliances. Through the published Code of Business Conduct and charters, the company is committed to delivery their business complying to the laws and regulations of the country.	Complied
Did the company conduct internal audit for those uncertified estates against the uncertified management units requirement and covering the RSPO P&C criterion 2.1 4.2, 4.4, 4.5, 4.6, 4.7, 4.8 and 7.12? If yes, a positive assurance statement shall be available and justified.	<p>Yes. The sustainability unit has conducted internal audits the uncertified units and updated in the compliance status of uncertified management unit. There is no replacement of primary forest or HCV area and no new planting after January 1st 2010. The issue are mainly awaiting for Land Titles. The last audit was conducted between July 2020 – August 2020.</p> <p>The Head of Sustainability has concluded in the uncertified unit compliance report that there is no land disputes and legal compliance is monitored during the internal audit as the positive assurance.</p>	Complied
Are there any Critical (Major) non-compliance raised against any of the RSPO P&C criterion 2.1 4.2, 4.4, 4.5, 4.6, 4.7, 4.8 and 7.12 during the last internal audit of the uncertified estates? If yes is the NC(s) actively addressed with RSPO?	No any critical (Major) non-compliance raised against any of the RSPO P&C criterion 2.1 4.2, 4.4, 4.5, 4.6, 4.7, 4.8 and 7.12 during the last internal audit of the uncertified estates.	Complied
Have there been any stakeholder (including NGO) consultation conducted?	Respective sites maintained stakeholder engagements as part of the estates/mills operations. Especially in Indonesia, socialization of company	Complied

Stakeholders Consultation



- IC and RC (for P&C)
- E, MS A, Initial (MS B) and RC (for RISS)
- Published in RSPO Website at least **1 month before audit date**
- Public Announcement request shall be **submitted at least 5 working days** to the RSPO Secretariat
- English and national language
- Minimum content is available in Annex 5

1

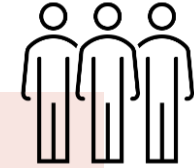
Public
Announcement



- Check the UoC's **liability status** (by CB)
- If **there is liability**, the PA shall only proceed when the **CN has been submitted** to the RSPO Secretariat. (*not applicable to the ISH group*)
- **Note:** If there is liability and the **audit has been conducted**, the certificate cannot be issued before **Compensation Plan is approved**

2

Checking
Point



- Procedures to gather evidence from relevant stakeholders
- Ensure that **all relevant issues concerning compliance with the RSPO P&C** are identified.
- A **summary of this evidence** shall be **incorporated into the public summary report** of the certification assessment.

3

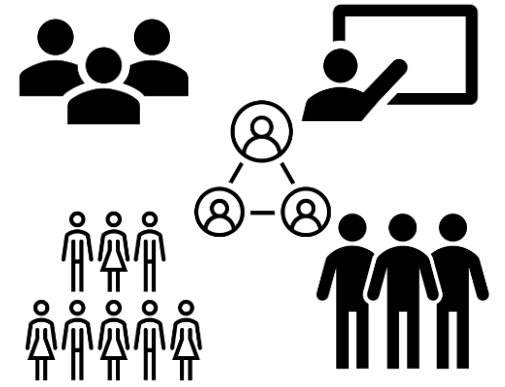
Conducting
Consultation

Certification Process Requirements



Relevant stakeholders include but are not limited to:

- statutory bodies
- indigenous peoples
- local communities (including women representatives, displaced communities)
- workers and workers' organisations (including migrant workers)
- smallholders
- local and national NGOs
- **PREVIOUS LAND USERS** (*The CB shall have a mechanism in place to identify the interested parties and ensure a represented samples size of the interested parties are consulted in each audit. The CB shall keep track which party that has been interviewed in the previous audits to ensure proper coverage of the parties throughout the certification cycle*)



Example of Presented Report by CB



Stakeholders interviewed	Evidence from stakeholder consultation
1) Employees / Workers Organizations (local / foreign / Orang Asli workers / male & female)	<p>Workers:</p> <ol style="list-style-type: none"> Workers work 6 days a week with one rest day (Sunday). They work 8 hours with a minimum of 30 minutes' break in between. All workers sampled confirmed that they received the minimum wage. They receive their salaries before 7th of every month. As of the date of this audit, all sampled workers understood on Minimum Wages. Any overtime work is mutually agreed between workers and management, and that there is no element of forcing. Foreign workers are not subjected to any recruitment fee. Foreign workers who choose to keep their passports at the office have done so with their written consent. Workers are generally satisfied with the way complaints lodged are acted upon. Delays in house repairs, if any, are usually due to the need to order repair parts. Workers, including foreign workers get to appoint their own representatives. There is no interference of influence exerted by the employer. For newly arrived foreign workers who do understand Bahasa or English, translations are provided during briefings.
2) Settlers	Not applicable.
3) Villagers / Local communities (including women representatives, displaced communities)	<ol style="list-style-type: none"> Jawatankuasa Pengurusan Komuniti Kampung (JPKK) from Kg Glouster Batu 6, Kampung Selabak Dalam, Kg. Pekan Trolak, Kg Rasau No land claims/disputes and no social issues. Harmonious co-existence.
4) Suppliers	Fair dealings with the SOU. Payments are made within 1 month of Invoice.
5) Contract workers (local / foreign / Orang Asli workers / male & female)	At time of visit there were no contract workers.
6) Local & national NGOs	Not available for this audit.
7) Government agencies / Statutory bodies	Not available for this audit.
8) Independent growers / Smallholders	<ol style="list-style-type: none"> No complaints. Fair & timely payments for FFB supplied.
9) Indigenous people	Tok Batin from Kg Sungai Bill and Tok Batin Kuala Bill (through phone call but not details as Tok Batin in a hurry for meeting with JAKOA). No land issues.

3 - Optimise productivity, efficiency, positive impacts and resilience	<p>Based on consultation to related government agencies, it is verified that company submit report periodically based on company obligation to respected government. They also confirmed that there are no environmental pollution issues and industrial relations dispute issues raised to company either from external or internal stakeholders in the last 2 years</p>	
4 - Respect community and human rights and deliver benefits	<p>During consultation to government agencies, it is verified that no land dispute from surrounding community to PT. Agowiyana – PT. Agro Mitra Madani. They also confirmed that company did not submit any proposal to revise/add company HGU to BPN. Based on updated data per October 2021 in Agricultural agency of Tanjung Jabung Barat, PT. AMM and PT. AGW did not propose any new agriculture business permit (IUP) to them.</p> <p>Based on consultation with surrounding community, they confirmed that no land dispute reported from their community to PT. Agrowiyana – PT. Agro Mitra Madani. Based on their observation also no land fire was happened inside company HGU or contamination to the environment. Some CSR program has been done such as:</p> <ul style="list-style-type: none"> - Provide material used for gate construction in Desa on March 25, 2021 - HCV socialization and Fire drill in coordination with community in Desa in early 2021 <p>Some requests were delivered through stakeholder consultation to Kelurahan and Desa. Representative from Kelurahan said that no CSR program were held around their area. Request has been submitted many years ago (before 2016) but since no response were given by company, they stop submitting request to PT. AGW-PT. AMM. For Desa, company made a CSR program for example distribute soya bean to them. They</p>	<p>Comment from stakeholder consultation regarding CSR program has been confirmed with PT. AGW-PT. AMM. They clarified that CSR program is focused to 2 village (Desa Talang Harapan and Desa Berasau) which are the closest village to PT. AGW-PT.AMM. CSR Program has been done once for Kelurahan Tebing Tinggi as there is evidence that company distribute food (sembako) as “bingkisan tali asih” to 20 to Kelurahan Tebing Tinggi on May 10, 2021. Even company focuses to conduct CSR program to closest village around</p>

Example of Presented Report by CB



3.3.2 List of stakeholders consulted prior to and during the audit.
 *For certification and re-certification audits there shall be included a requirement to gather evidence from relevant stakeholders, designed to ensure that all relevant issues concerning compliance with the RSPO P&C are identified. Relevant stakeholders include but not limited to displaced communities, workers and workers' organizations (including migrant workers), smallholders, and local and national NGOs. A summary of this evidence shall be incorporated into the public summary report of the certification assessment (see section 4.10.1 of this document).

The audit team shall review whether oil palm operations have been established in areas which were previously owned by other users and/or are subject to customary rights of local communities and indigenous peoples. If applicable, [redacted] shall consult directly with all of these parties to assess whether land transfers and/or land use agreements have been developed with their free, prior and informed consent and check compliance with the specific terms of such agreements.

Name	Category
STAKEHOLDERS	
Yesira Belinda Cruz	
Alberto Mejia	
Fundacion Prolansate	
Alex Vasquez	
Haydee Jimenez	
Jorge Tabora	
Juan Rafael	
Representante Partrono Cebu	
Norma Flores	
Geber Acosta	
Debis Quintanilla	
Geovanny cruz	
Noemy Guerrero	
GRUPO JAREMAR ADMINISTRATIVE	
Geovany Velasquez	System Coordinator
Alex Diaz	Area Manager
Franklin Alvarez	Manager of Mill Caicensa
Dennis Manu	System Coordinator
Suyapa Diaz	RSPO Certifications Coordinator
WORKES INTERVIEWED AT FARMS	
Leticia C	Loose fruit collection - Farm Cebu
Hecor E	Loose fruit collection - Farm Cebu
Fany C	Loose fruit collection - Farm Cebu
Ana A	Loose fruit collection - Farm Cebu
Ingrid A	Loose fruit collection - Farm Cebu
Felix C	Loose fruit collection - Farm Cebu
Gerson Palma	Supervisor - Farm Cebu
Alton Dioso	Loose fruit collection - Farm Cebu

Example of Presented Report by CB



1.9 Previous land users, if applicable to this assessment					
Section	Requirement	Yes/No	If "Yes"	If "No"	Findings
1.9.1	Are there any areas which were previously owned by other users and/or are subject to customary rights of local communities and indigenous peoples?	Yes	Go to 1.9.2	Section 1.9 is N/A	For Parit Sembada, the land was acquired from the previous company. For PT AMA and AKS, the latest acquisition was done in 2019.
1.9.2	Are list of previous land owners and contact details available?		Please fill up table below	-	List of previous landowners and contact details available, sighted in Document "Realisasi Ganti Rugi Lahan"
1.9.3	Were all the acquisitions done with a proper FPIC?		-	-	The acquisition process was conducted according to FPIC procedure. Company has established SOP "Prosedur Penyelesaian Sengketa Lahan" No. 6, Rev. 01 dated 10/08/2017 The SOP above respect FPIC (free, prior, and informed consent) principle
1.9.4	Are there any acquisition agreements available?		-	-	The acquisition agreements were

List of previous landowners			
OPP	Name	Year of acquisition	Contact details
OPP 1, OPP 2, OPP 3, OPP 4, OPP 5, OPP 6, OPP 7.	Confidential (101 previous landowners)	2002 - 2011	The document was available in HQ office. Auditor has contacted sampled previous landowners (3), by phone.

Note: contact details of previous landowners and consultation status under annex 5. All previous landowners were sampled, unless unreachable.

					6, Rev. 01 dated 10/08/2017 The SOP
--	--	--	--	--	-------------------------------------

Total Previous Land User within the Certification Unit			Total Previous Land User: 71	
Name of Previous Land User	Contact Details (address/telephone/email)	Total Area (Ha)	Consulted by	Result of discussion with Previous Land User
			No. Previous Land User to be Sampled in this audit, $x = [(\sqrt{71}) \times (2.0)] = 17$ Previous Land User	
			Please state the date	
Ms.Samli Makthungkha	Kron Sub-district, Sawi District, Chumporn	1.366	Yes - phone call (26/12/2019)	From talking to sampled previous land user, it was found that the change of rights in the land was with consent. Not forced to sell land to the company and the previous land user knows the purpose of the purchase of that land very well Which the selling price is according to the government regulations. Currently, the members in the family of the previous land user still have good interaction with the company. However, the contract of land transfer is not shown to auditor at the time of the interview. Since trading has been occurring for a long period of time The contract has already been lost.
Mr.Prisarn Thong-U-kong	Salui Subdistrict, Tha Sae district, Chomporn province.	4.92	Yes - phone call (26/12/2019)	
Ms.Preeda Nguanshoo	Kron Sub-district, Sawi District, Chumporn	7.35	Yes - phone call (26/12/2019)	
Yangthaipaktai Co., Ltd.	Salui Subdistrict, Tha Sae district, Chomporn province.	23.90	Yes - phone call (26/12/2019)	
Mr.Wirat Ratchavet	Kron Sub-district, Sawi District, Chumporn	4.45	Yes - phone call (26/12/2019)	
Mr.Bangjong Srithongkul	Kron Sub-district, Sawi District, Chumporn	13.03	Yes - phone call (26/12/2019)	
Mrs.Chantra Chayakul	Kron Sub-district, Sawi District, Chumporn	0.86	Yes - phone call (26/12/2019)	

Reporting and Communication



Peer Review

- Mandatory for IC and RC
- Peer Reviewer shall follow the guidelines in Annex 4

Submission

- 30 days from the closing meeting (No Major NC Case)
 - 2 weeks after last Major NC
- Additional 3 weeks for IC & RC

Annex 3

Describes the minimum information or contents that is required in the Audit Report

What to Submit?

- Submission on RSPO IT Platform
- 7 days after certificate issuance
- Audit Report
- Metrics Template
- Certificate

Reporting and Communication



Basic Information

Name of the POM and its Supply Bases included in the **scope of certification**

Description of UoC

- Location (including GPS)
- **Maps (acceptable quality)**
- Supply base information (Certified and Non-Certified)
- POM Information

Assessment Process

- Audit Team composition
- Competency of Assessor
- Peer Reviewer Name
- Audit Plan/Program

Stakeholders Consultation

- Date of Public Announcement
- **List of Stakeholders Consulted**
- Issues and responses by CB

Time-bound Plan

- 5 years after Membership
- 3 years after new acquisition
- **Positive assurance statement**
- All mills & estates

Findings

- Against each indicators!
- Compliance status
- List of NCs with RCA, CA and Closure of NC

Previous Audit Findings

List of all NCs raised (with all RCA, CA and closure) since the beginning of the certification cycle.

Sign-Off

Date of audit report and counter-signed by the company's management and CBs team leader

Maps of Acceptable Quality



RSPO Certification Systems for P&C and Independent Smallholder standard (2020) Annex 3 (b):
Details description of the certification unit that include maps of **acceptable quality**.

What are the appropriate maps to be attached of acceptable quality?

It is vital that the Audit report is accompanied with **clear and legible maps**. At minimum, the necessary elements for maps of acceptable quality as follow:

- **Language:** All presented maps information's must be in English
- **Title**
- **Scale Bar:** The reader must be able to determine the relationship between a unit of measure on the map and a unit of measure in the real world. Appropriate scale must be chosen to indicate the landscape of the areas. E.g 1:50,000 ; 1:160,000; 1:200,000
- **Quality of image:** For online publication of maps, the maps should be 150 dpi but for printing purposes it is always best to set the maps at 300dpi.
- **Orientation:** a map should include the north arrow
- **Gridlines**
- **Legend and symbology:** Distinguishable colours and patterns (i.e. symbology), with readable font sizes and clear labelling.
- **Map Credits:**
 - Source of data (especially on thematic maps)
 - Name of the cartographer
 - Date of the map creation/publication
 - Date of the map data
 - Datum/Projection of the map (especially small-scale maps)
- **Locator Map (Inset):** a locator map is needed if the area of the map is not easily recognizable or is of large scale.
- **Legibility:** use the appropriate font size, type and symbols so that the text or symbols appear clear and legible to the reader

Maps of Acceptable Quality



1.9 Location Map for this Certification Unit

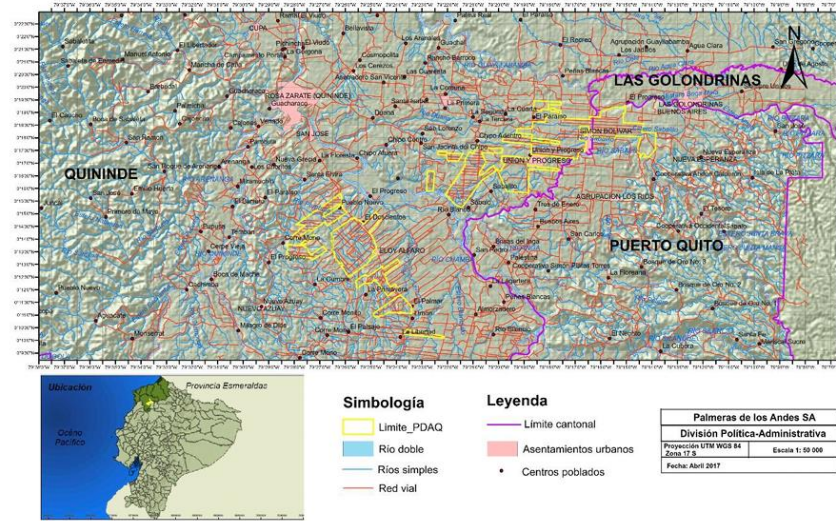
Note: Individual maps of the group members are available from the co-operatives but it is not practical to reproduce them here. Each area of oil palm is individually managed as an integral part of a farm holding and the adjacent crops are all agricultural.



PALMERAS DE LOS ANDES - SAN LORENZO



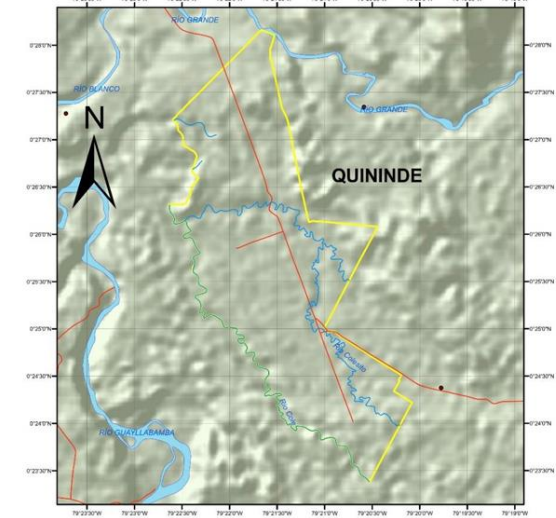
UNIDAD DE MANEJO DE PALMERAS DE LOS ANDES - QUININDE



MURRIN



UNIDAD DE MANEJO MURRIN



Simbología
 Limite_Murrin
 Red vial
 Rios dobles
 Rios simples

Leyenda
 Limite cantonal
 Centros poblados



THANK YOU

Morning Break

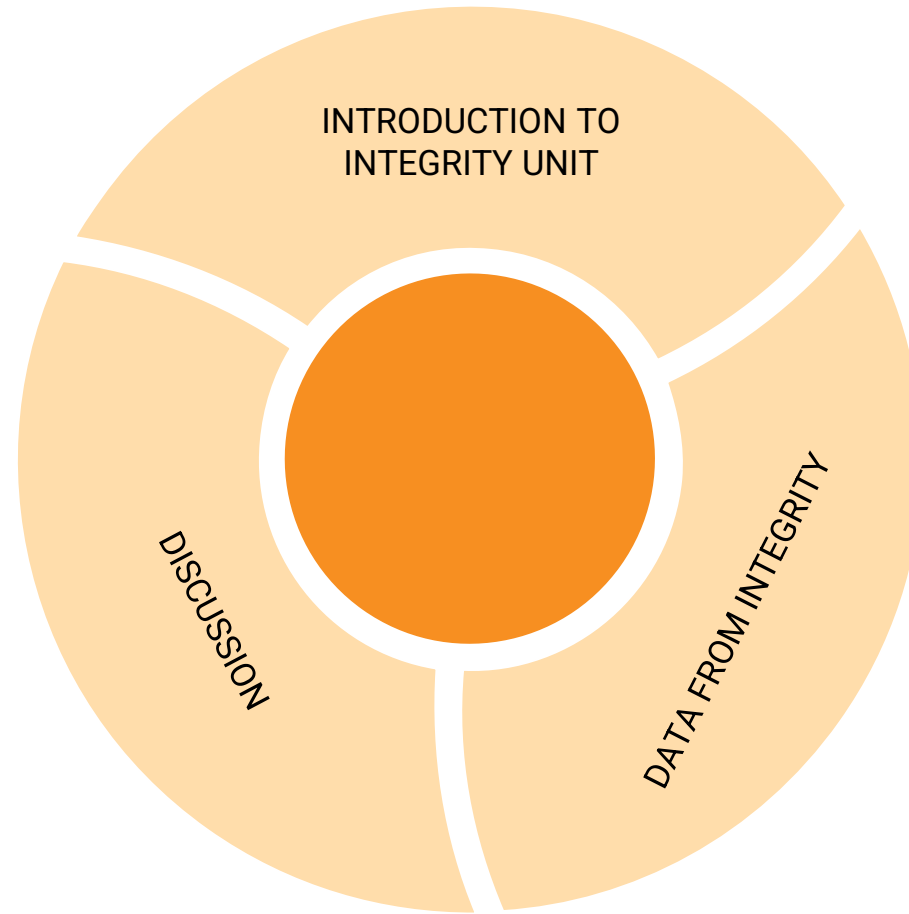


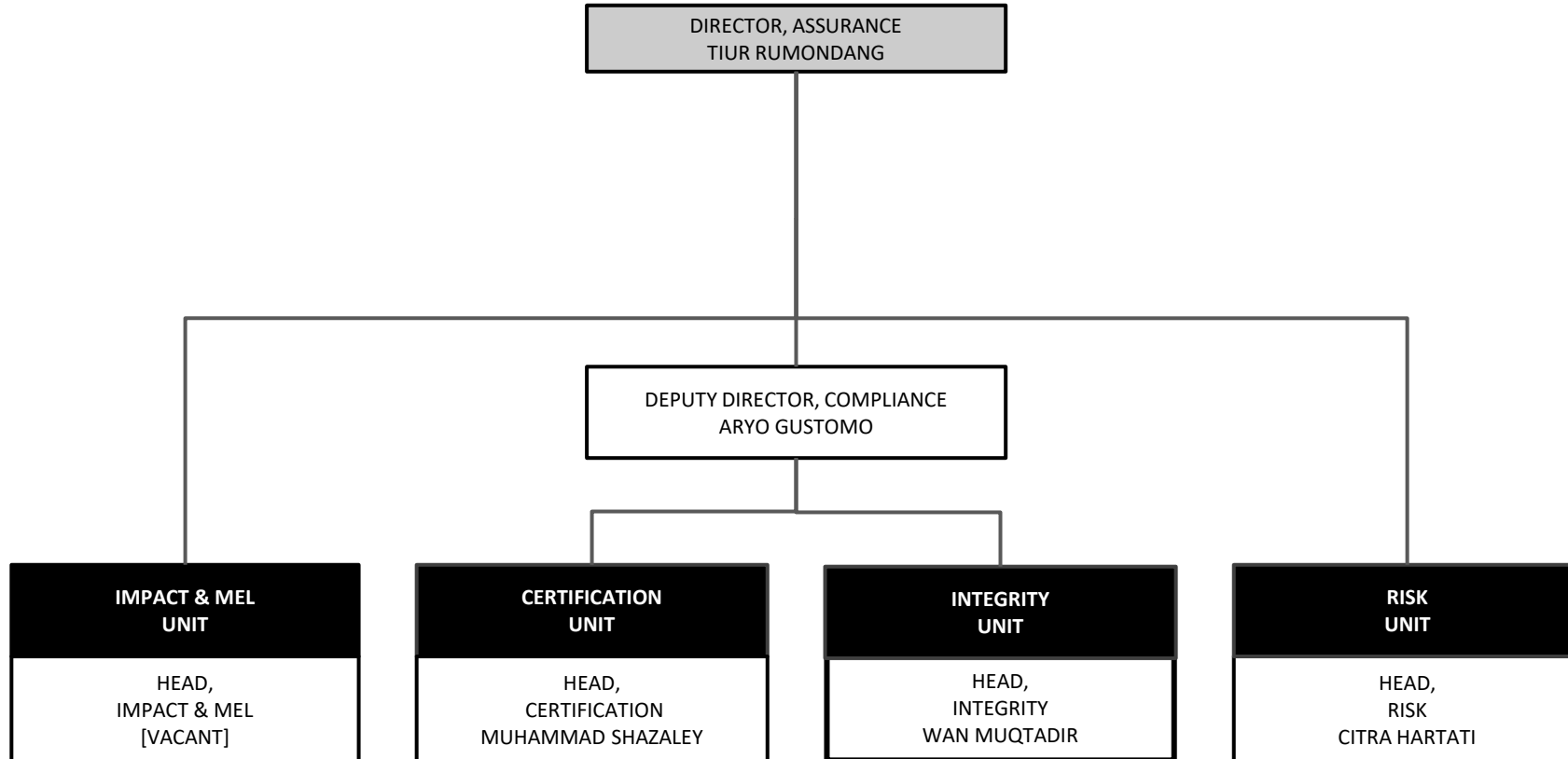
Updates from Integrity Unit

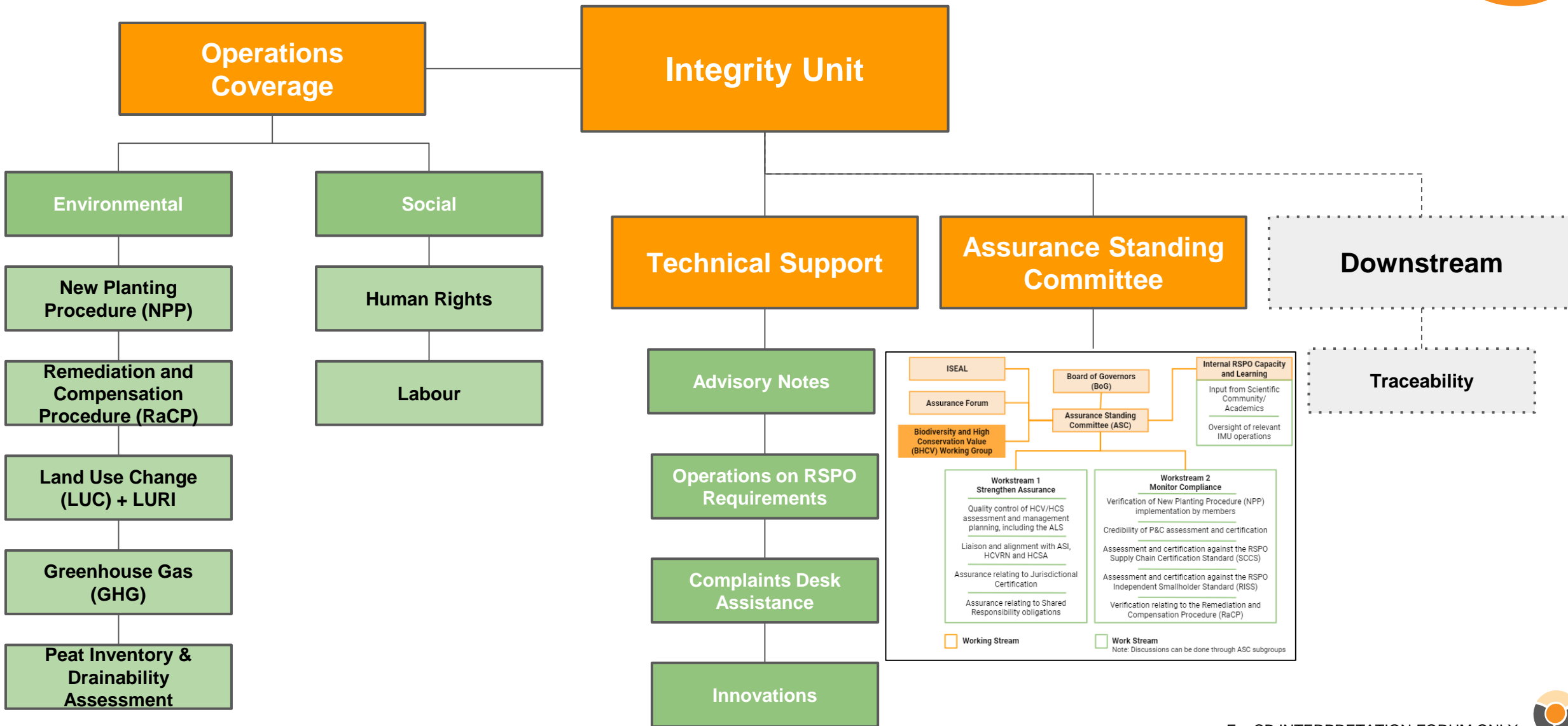
CB Interpretation Forum
March 2022

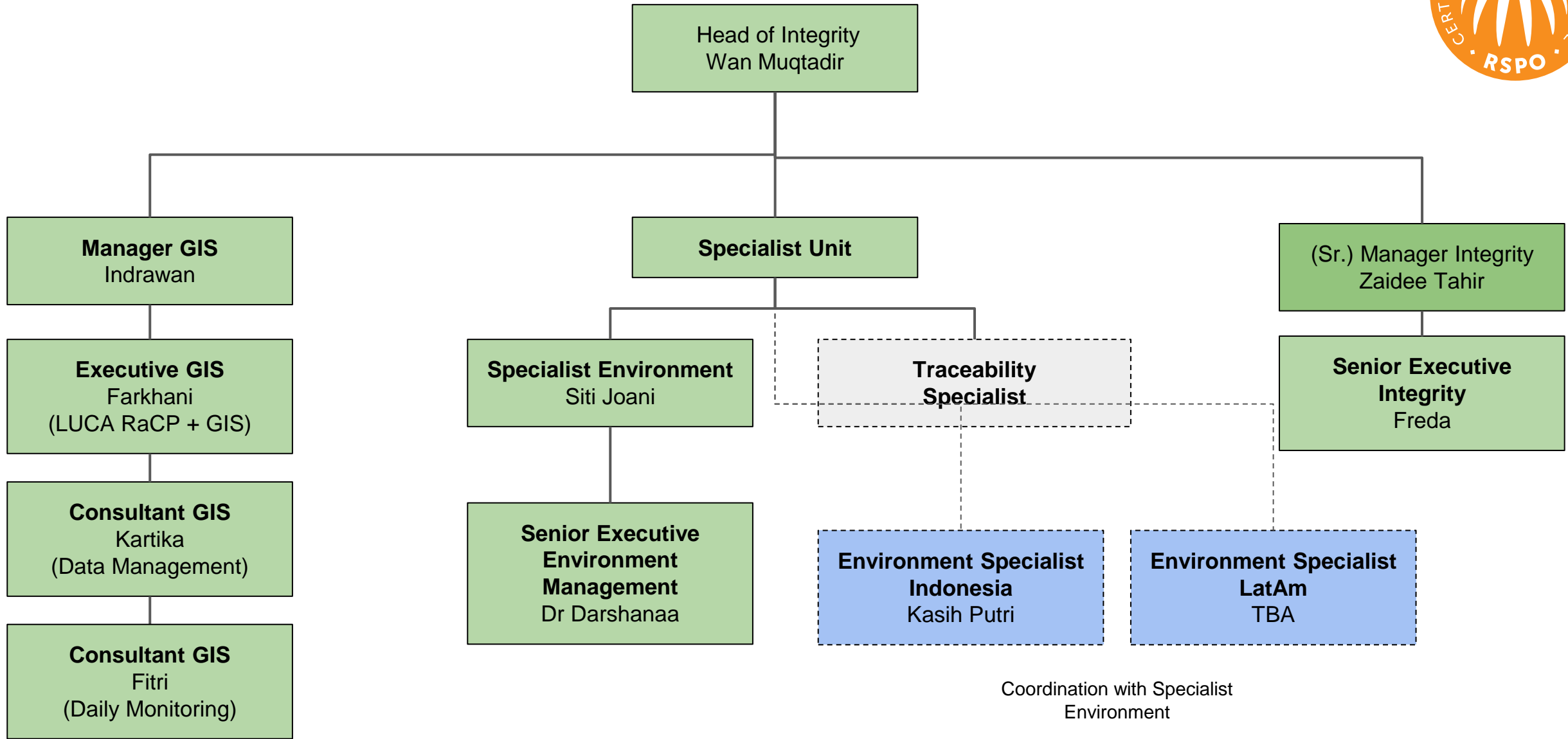


Agenda

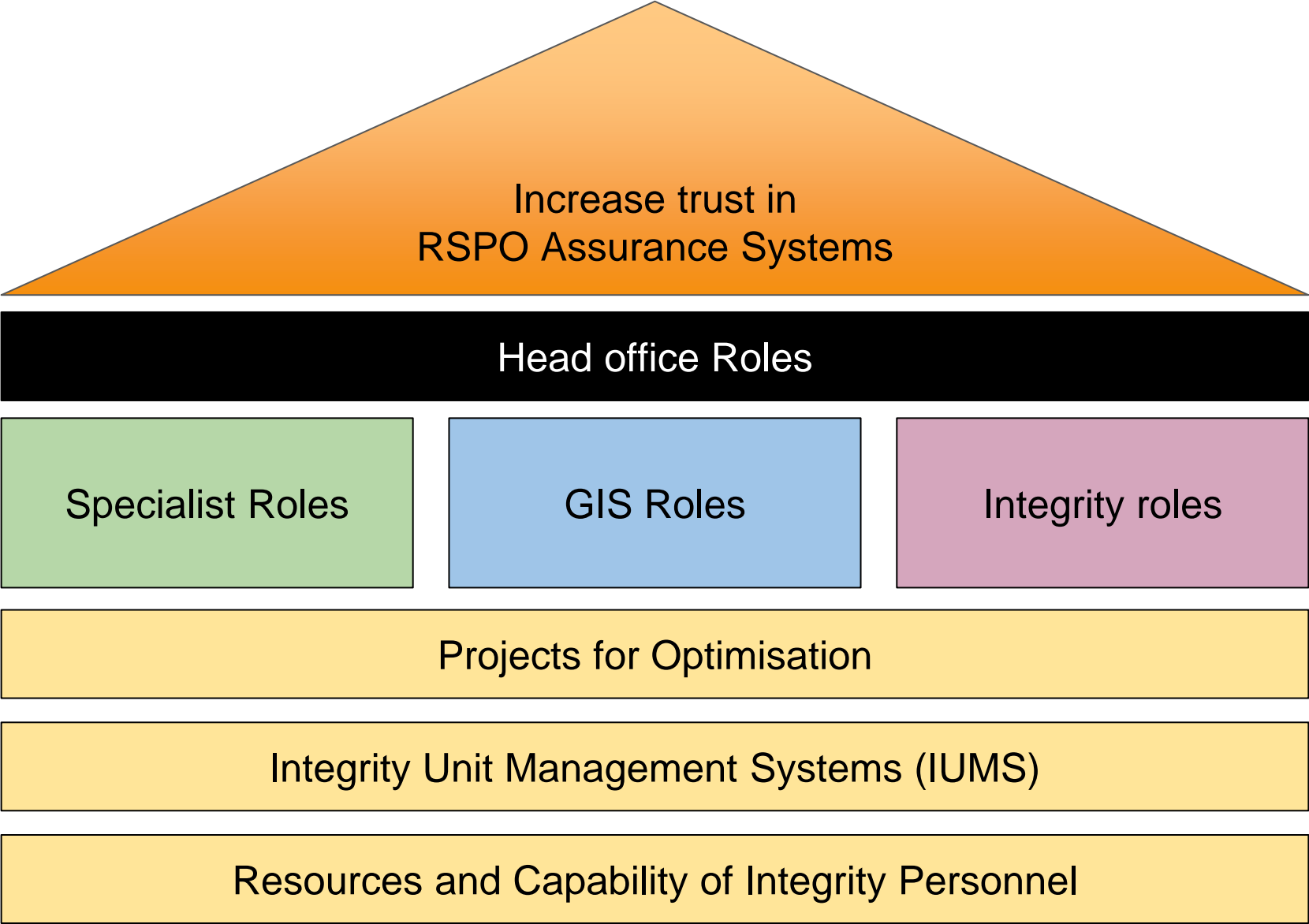









Integrity Unit House



Integrity roles




		Resources and Capability of Integrity Personnel	
New Planting Procedure			
PalmGHG Coordination			
Assurance Standing Committee (ASC)			
Advisory Note Management			

Specialist Roles



		Resources and Capability of Integrity Personnel	
Disclosure + RaCP			
Drainability assessment			
Peat Inventory			
Non-ALS HCV Review			

GIS Roles



Projects for Optimisation - RaCP Enhancement (LUCA, CN, CP, RP)		Resources and Capability of Integrity Personnel	
LUCA Disclosure + LUCA for RaCP			
LUCA for NPP		LURI	
Monitoring - Land Clearing, Fire, others			

Head Office

2021

2022

2023 For CB INTERPRETATION FORUM ONLY

Integrity Unit Visions of Tomorrow



Data Cleaning



Digitisation of Compliance



Enhancing Traceability

Updates from ASC



Definition of ISH in NI sometimes like a scheme SH

HCV-HCS guidance and the CB checklist

CSPK to CSPKO why people are not buying CSPKO?

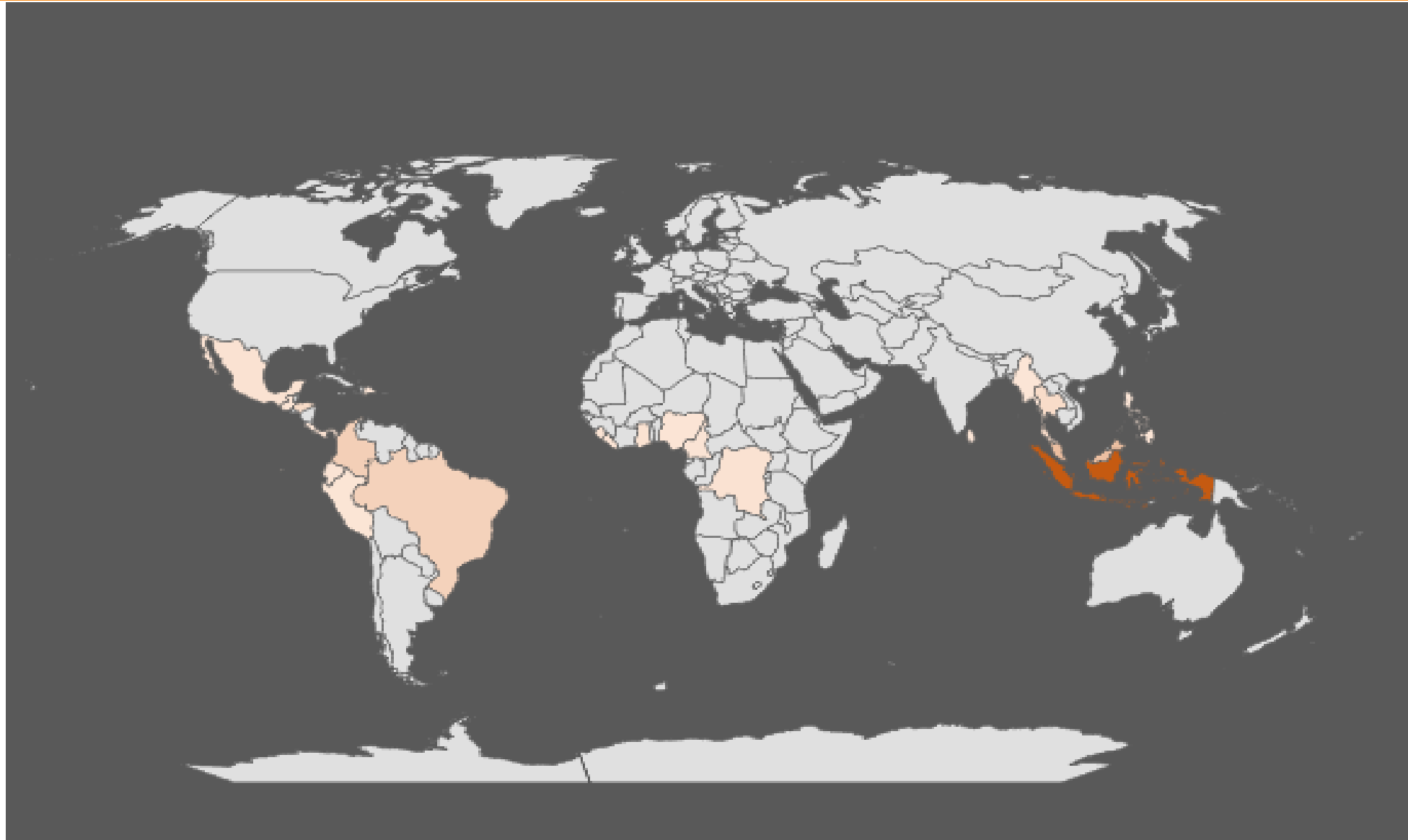
CBs' performance with respect to identifying social non-conformance during audits.

CBs Independence (Ghost of the past) - Delinking/decoupling

CBs participation in ASC Subgroup



RaCP Overview



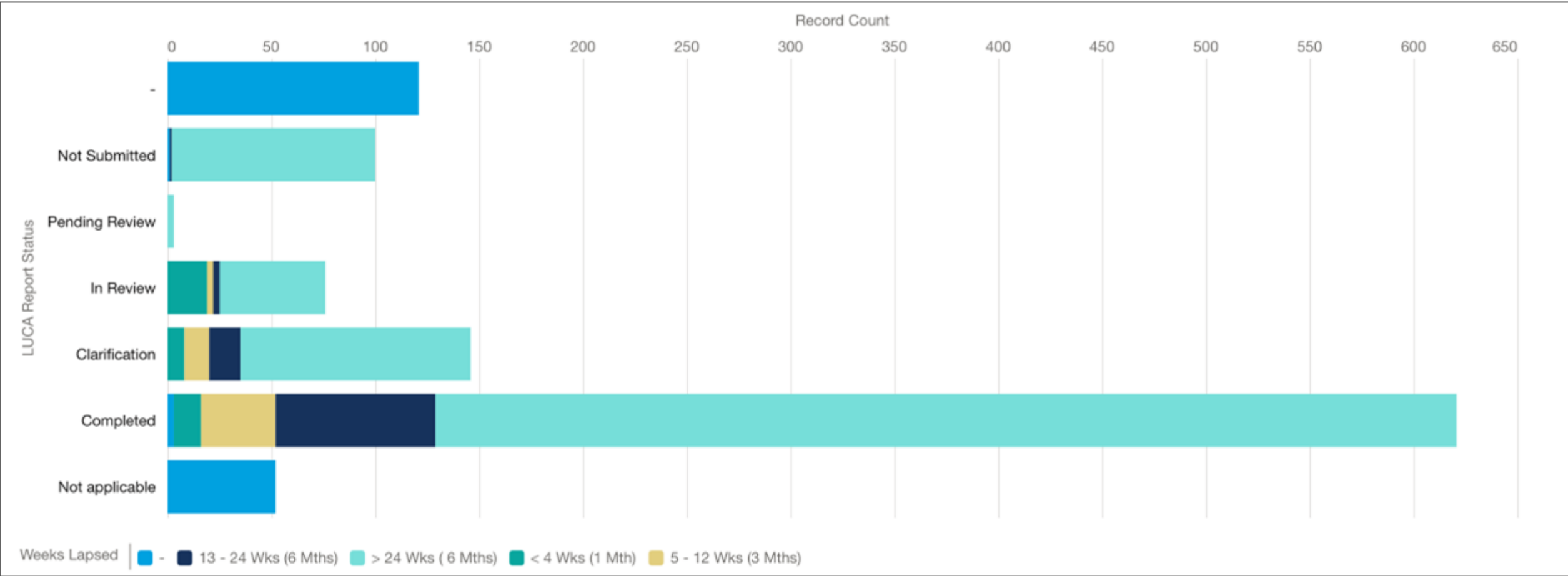
RaCP Overview



Country	Completed	Not Applicable	Ongoing	Total
Malaysia	9	882	100	991
Indonesia	112	449	368	929
Colombia	50	40	58	148
Honduras	67	38	28	133
Thailand	24	52	25	101
The RoW	146	140	142	428
Total RaCP Recorded				2730

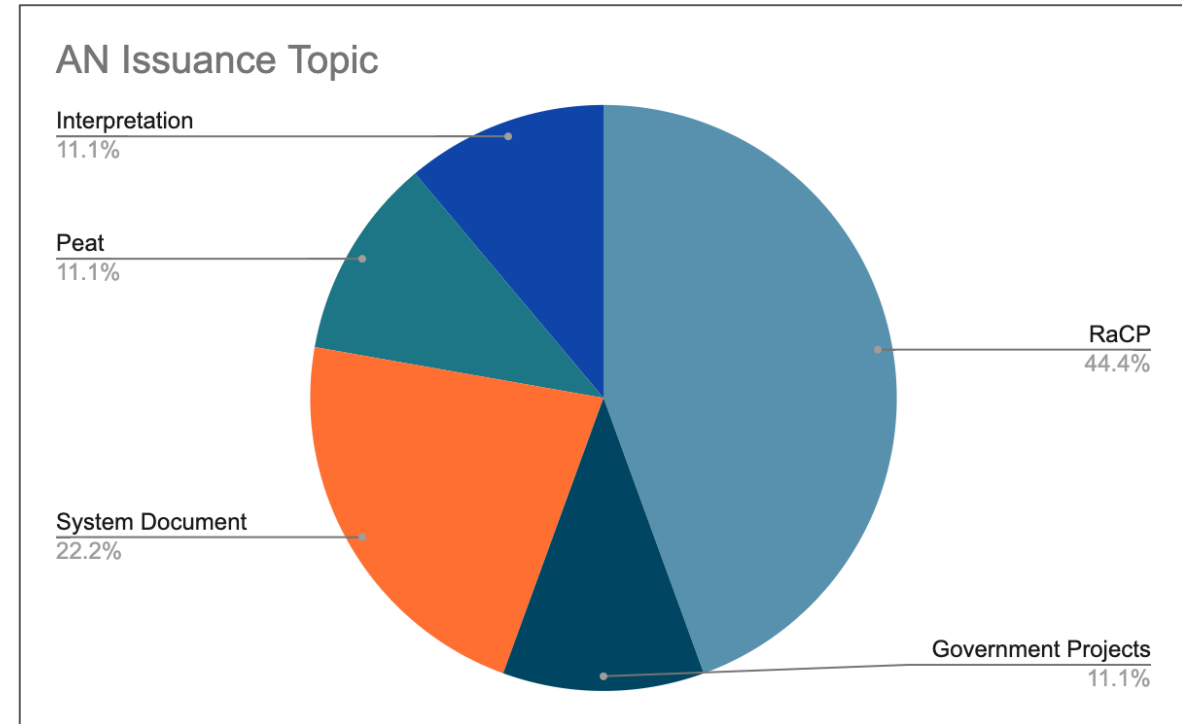


RaCP Overview



Advisory Note

- There have been cases where compliance to RSPO Standards and Requirements are held up due to:
 - Incomplete Information
 - Past Institutional decisions
 - Unclear SOP
 - Risk on RSPO assurance implementation
- Advisory Notes (AN) is created to ensure continuity of compliance can be achieved in future while acknowledging there is a gap from RSPO Internal processes
- This was created as an internal process within the Assurance Division with the intention to help and “nudge” RSPO members to perform better as part of process improvements
- We piloted the AN in 2021 and received appreciation from members on the recommendations given



RaCP Tracker

- What information is useful for you?

LUCA

- What is analysed during audit

Advisory Note

- Do we need it?

Social Auditing

- Share us the best practices on the ground

New Planting Procedure 2021

14 March 2022



Keep smiling - maybe the auditor will forget about those reports she asked for yesterday



Objectives



New Planting Procedure Outlook



To ensure completeness of NPP 2021 document submission



To have depth understanding when conducting NPP2021 review.

Content



01

NPP Overview (5 Minutes)

02

NPP: Notification Statements (5 minutes)

03

NPP: Summary of Assessment Reports (5 Minutes)

04

NPP: Integrated Management Plans (5 Minutes)

05

Theoretical Exercise (10 Minutes)

06

Let's Discuss (15 Minutes)

NPP Overview (as of March 2022)



196

Total Approved NPP



1,612,894 ha

Total NPP Area

321,451 ha

Total HCV Area



Average Days
Taken For NPP
Completion

124

67

2015

2021

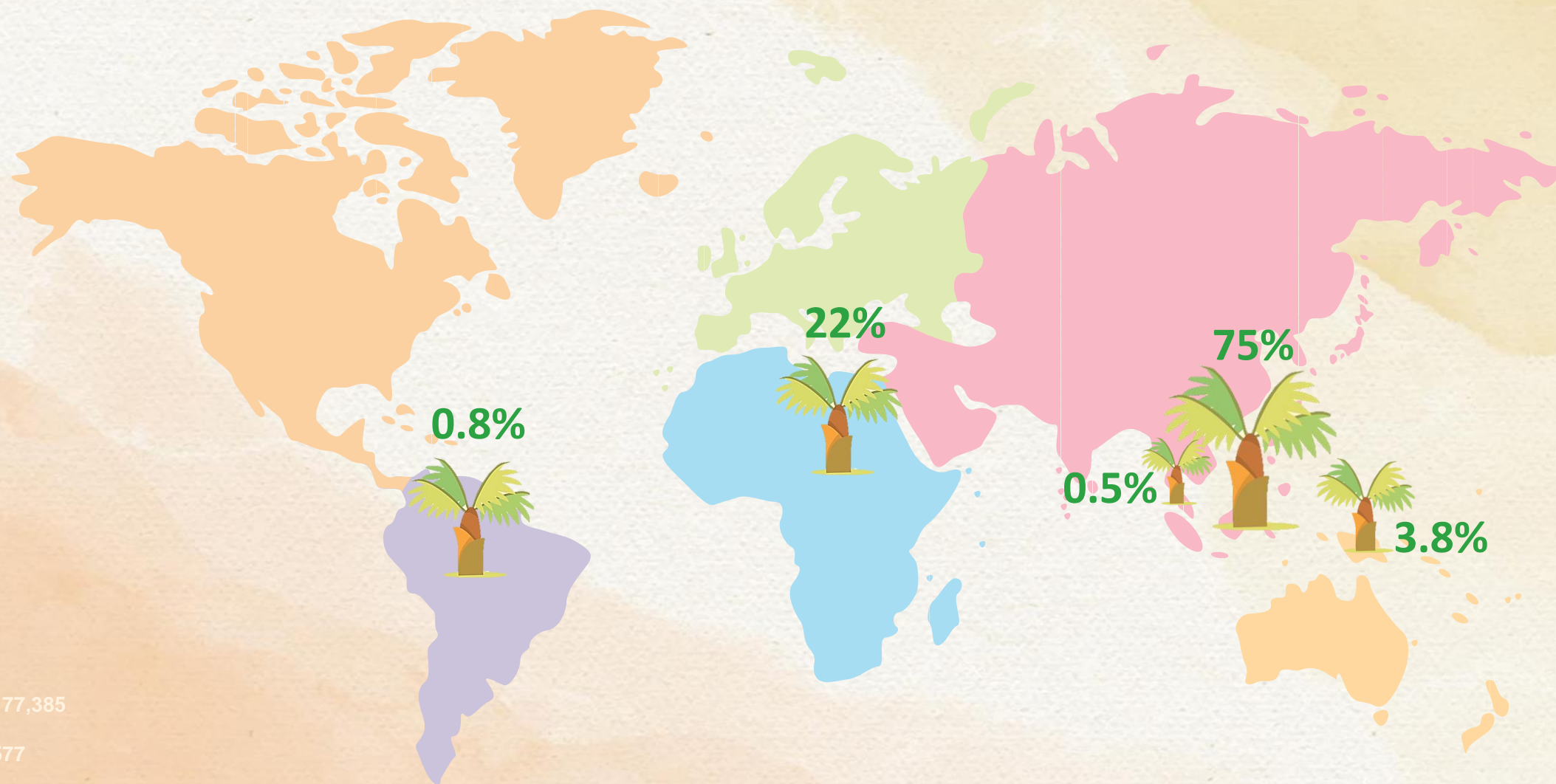


Backlog

NPP 2015: **3** in Review & **1** in Public Comments

NPP 2021: **1** in Public Comments

NPP Overview (as of March 2022)



Indonesia	1,177,385
Malaysia	8,577
LatAm	12,784

NPP: Reminder



NPP Notification Statement



Item
Reference Number
Country
RSPO Membership Number refer to https://rspo.org/members/all
Name of Subsidiary
Name of Management Unit
Name(s) of Estate(s) covered under this management plan
Location of NPP area (Country, State, District)
Address of NPP area
Business/operation Permit Reference Number and Issuing Authority:
Size information (ha) - Total area as per permit:
Size information (ha) - Area for new planting:
Size information (ha) - HCV area
Size information (ha) - HCS Forest
Size information (ha) - peatland area
Size information (ha) - Steep Terrain
Size information (ha) - Riparian Buffer
Size information (ha) - Marginal and Fragile Soil
Projected GHG emissions (in tonne CO2e, tCO2e/tFFB, or tCO2e/tCPO)
Geospatial Coordinates (Degree Minutes and Seconds)
Boundary Maps - Include clear relevant legends, title, scale
Areas and proposed time for new planting
Summary of the NPP Verification by CB
Acknowledgement by RSPO Member
Confirmation by Certification Body
Signatures

- Can be left blank if no subsidiary involved in the NPP
- Land permit covers the whole planting period
- Add new row as Other Areas eg. non-HCS conservation area
- Indicate which version of NPP GHG calculator was used
- Ensure correct date under signature

NPP Summary of Assessment



ITEMS

Reference Number

Country

RSPO Membership Number refer to <https://rspo.org/members/all>

Section 1: General Information

Does it have information on types of assessment conducted?

Does it have information on the location?

Does it have information on permits?

Does it have information on the rights to use the land?

Does it include land clearing plans? (land use & time plan for new planting)

Section 2: Maps

Boundary Maps owned by the company

Proposed NPP area Maps

Proposed NPP area Maps overlay with HCV and HCS areas

Does the concession area size match with HCVN public summary

Does all the maps are clearly made and readable?

Does the maps include legends suitable to describe the area?

→ Validity of land permits

→ Land clearing plan

→ minimum 300 dpi resolution

NPP Summary of Assessment



ITEMS

Section 3: SEIA

Does it describe the methodology used? (following national regulation? NI?)

Does it describe the people involved in the process?

Is there a date on when the assessment was conducted? period from when to when

Does it describe the findings?

Date of assessment

Name of assessor

Assessor Designation and Company

Is the assessment was done internally or using external? (if more than 500 ha. = external)

Section 4: HCV-HCSA Assessment; OR ALS HCV and Standalone HCSA assessment

Does it give reference to the full report?

Does it describe the methodology used? (which toolkit used)

Does it describe the people involved in the process? (consultation/assessor)

Is there a date on when the assessment was conducted? period from when to when

Does it describe the findings? (including total conservation area)

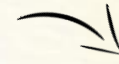
ALS Satisfactory Date Obtained (ALS HCV & HCV-HCSA assessment)

Name of Assessor

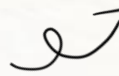
ALS Number

HCSA peer review completion date and link to HCSA summary report (HCSA website)

Is the assessment was done internally or using external?



- Assessment older than 3 years must be reviewed
- Social, Health & Environment Impact



Competent internal assessor; at least 3 assessments, expert in remote sensing, mapping and social aspects.



- New land clearing after 15 November 2018 must be preceded by HCV-HCSA Assessment.
- As per ALS

NPP Summary of Assessment



ITEMS

Section 5: FPIC

Does it describe about stakeholder mapping? (participatory?)

Does it describe the methodology used?

Does it describe the people involved in the process?

Is there a date on when the FPIC process begins? period from when to when

Does it describe the findings?

Is the assessment was done internally or using external?

Has the plan has been accepted by the affected right holders?

Section 6: Soil & Topography

Has identification of soil been made?

Does it describe about sampling points?

Does it describe about steep terrain? (if any)

Does it describe the methodology used?

Does it describe the people involved in the process?

Is there a date on when the survey was conducted? period from when to when

Date of assessment

Name of assessor

Assessor Designation and Company

Is the assessment was done internally or using external?



- Ensure development plan accepted by land owners.
- Evidence of communication and consent.

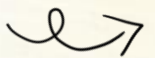


- Survey report can be older than 3 years.
- Describe marginal, fragile soils, riparian buffer, steep terrain and peatlands

NPP Summary of Assessment



ITEM
Section 7: Greenhouse Gas (GHG)
Does it describe the use of GHG Calculator for new development?
Does it identify significant sources and types of emissions?
Does it describe the methodology used?
Does it describe the people involved in the process?
Date of assessment
Name of assessor
Assessor Designation and Company
Is the assessment was done internally or using external?
Section 8: Land Use Change Analysis (LUCA)
Is there a map for the range of Nov 2005 – Nov 2007
Is there a map for the range of Dec 2007 – Dec 2009
Is there a map for the range of 1 Jan 2010 – 9 May 2014
Is there a map for the range of 9 May 2014 – 15 Nov 2018
Is there a map for the range of 15 Nov 2018 – Current (not more than two years)
Does it describe the methodology used? image processing information (geometric and radiometric correction) and image classification type (supervised, unsupervised, object-based)
Does it describe the people involved in the process?
Date of assessment
Name of assessor
Assessor Designation and Company
Is the assessment was done internally or using external?



- Carbon stock for proposed development and to minimised.
- Assessment not more than 3 years



If maps not clear, choose next best date between date range.



Not more than 2 years of NPP submission

NPP Summary of Assessment



ITEM

Section 9: Conclusions

Does it mentioned on how the findings from above is translated into management plans?

Do the company acknowledge the issues?

Does the company mentioned about prioritising the issues to be address?

Section 10: Confirmation of Reports

All findings are accepted by the grower?

Date of Completion

Signature

Name

Position

→ DO NOT FORGET!

NPP: Integrated Management Plan



Reference Number
Country
RSPO Membership Number refer to https://rspo.org/members/all
Does the company make reference to the management plan
Name(s) of estate(s) covered under this management plan
Key findings of the various assessments (e.g., potential minor environment and/or social risk requiring mitigation actions; total conservation areas).
Key mitigation and monitoring regime, covering both the environmental and social aspects
Evidence of FPIC and key agreements with local communities (if any).
An action plan describing operational actions consequent to the findings of the various assessments, referencing the grower's relevant operational procedures.
Name of Person Responsible
Designation
Signature
Date



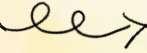
Make reference to the management plan that CB should check in the next audit



Include timeline for the mitigation & monitoring regime



Pictures of stakeholders engagement sessions, signed agreements



Ensure correct date



Best Practices

- Keep growers in the loop to ensure transparency.
- Manage record keeping properly (edit the correct version for each round of review, file name and etc)
- DOUBLE, TRIPLE check before submitting (typo, foreign language and etc.)

Exercise



“List down questions that you normally ask the growers when reviewing NPP documents”

Scan this QR code or click the link in the Q&A box



<https://forms.gle/ZdRiebD9Moj1q2H96>



THANK YOU

Find out more at www.rspo.org

Lunch Break

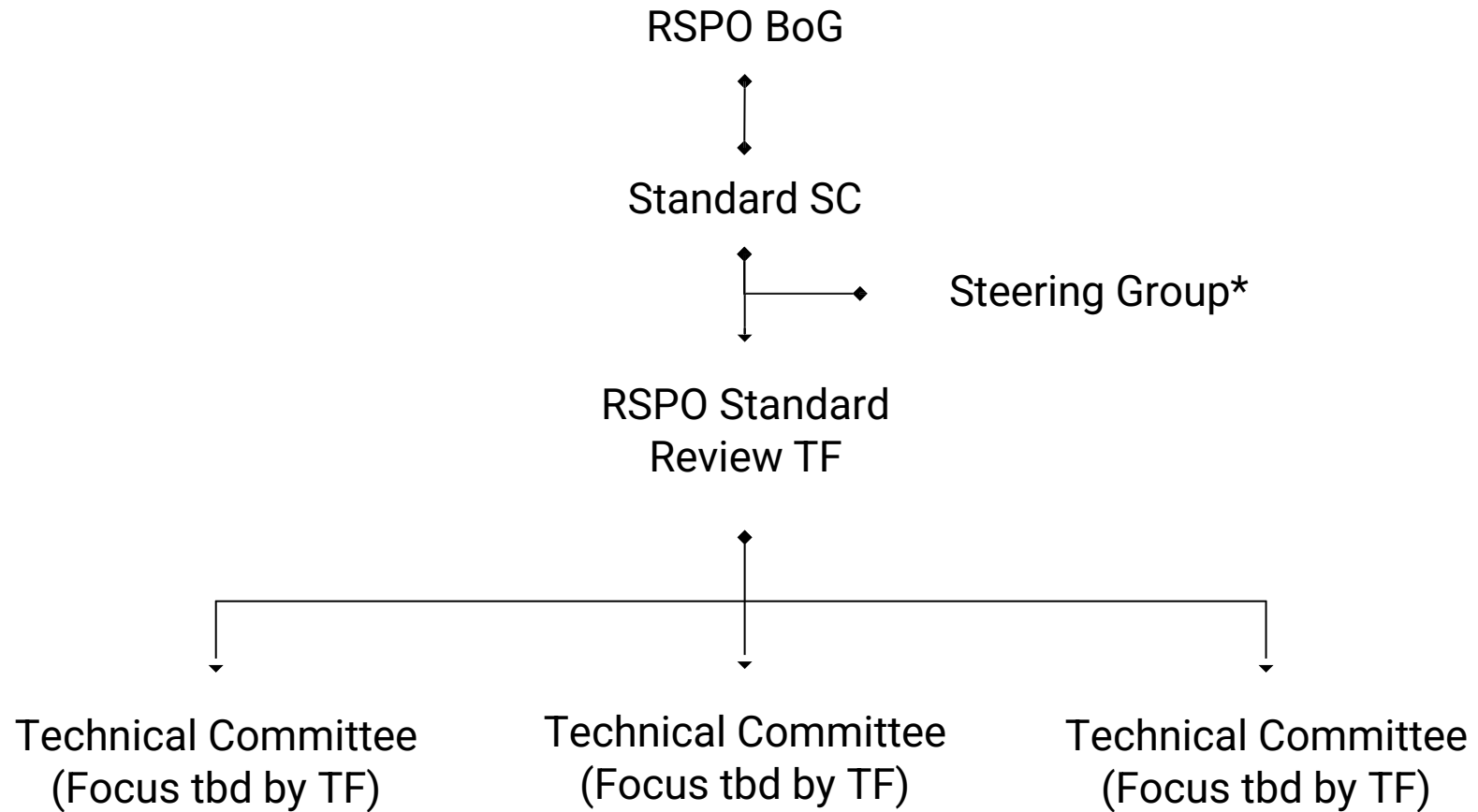


Standards Review Process (2023)

RSPO CB Interpretation Forum
14 March 2022



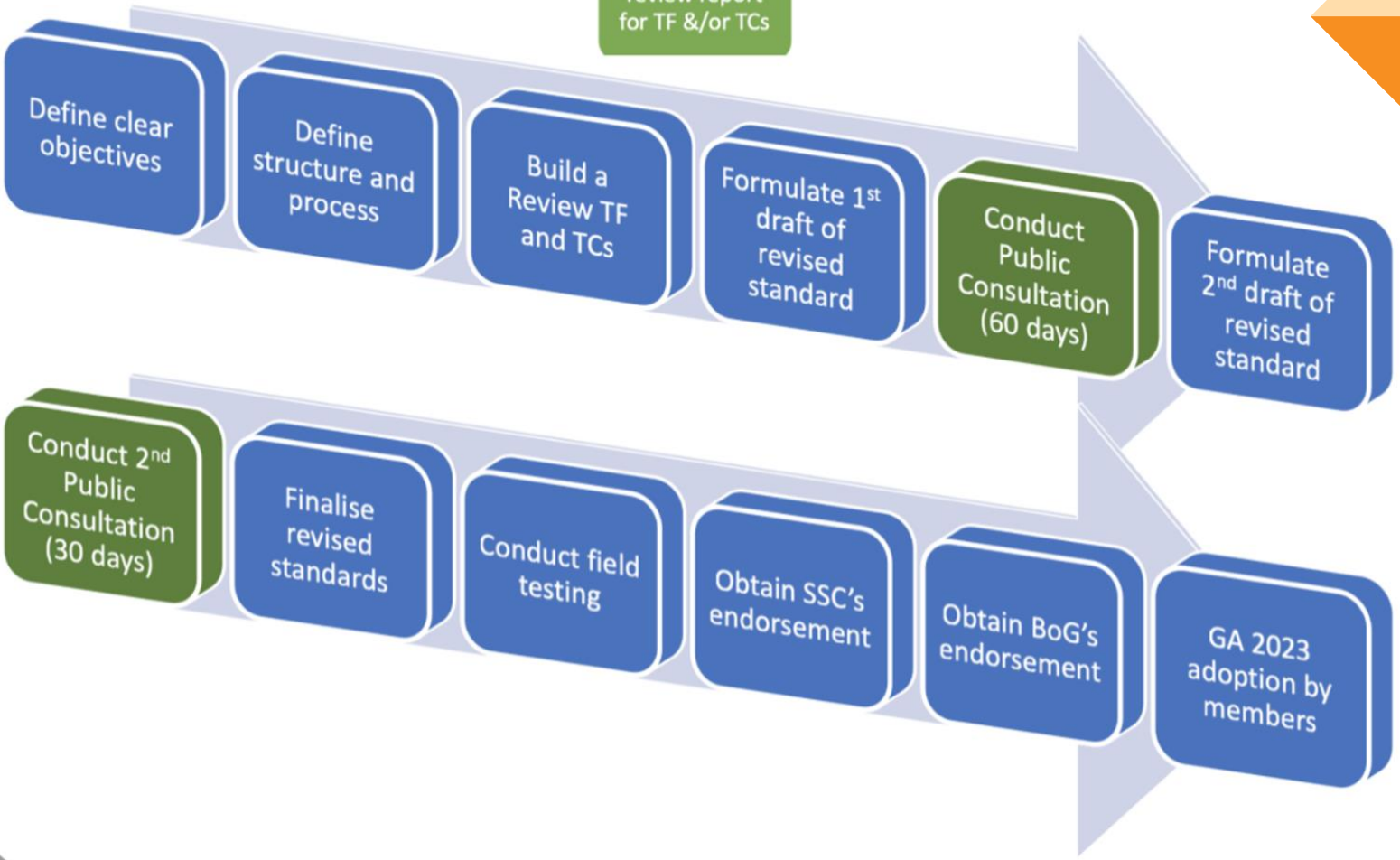
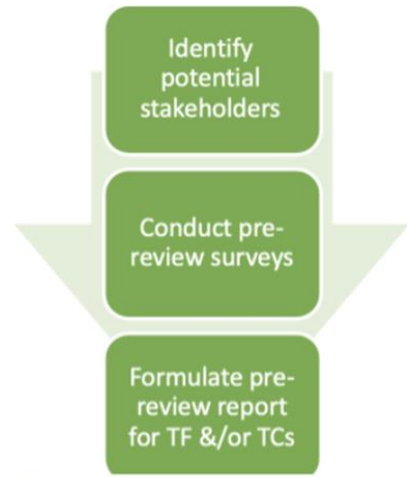
Governance Structure





Targeted Milestones

- Apr'22 - 1st TF meeting
- May'22 - 1st TC meeting
- Aug'22 - 1st consultation
- Feb'23 - 2nd consultation
- Aug'23 - SSC endorsement
- Oct'23 - BoG endorsement
- Nov'23 - GA adoption





“ The objective of this process is to review and streamline the production standard to ensure continued relevance and effectiveness in demonstrating that palm oil produced and sold as RSPO-certified Sustainable Palm Oil (CSPO) are credible and inclusive. ”

Focus of the Review:



- Balancing Standard comprehensiveness and complexity
- Ensuring the desired impact is achieved
- Better clarity on interpretations
- New technologies & innovation
- Supporting Shared Responsibility



Questions



LAUNCH TODAY!

STANDARDS
REVIEW
2023



Get Involved (1)



Survey

Feedback and comments from stakeholders and members are crucial in preparing for a comprehensive review of RSPO Standards. As such, a survey will be conducted in March 2022 among RSPO members via email, to collect feedback pertaining to:

- Implementation challenges of existing/ revised standards (Criteria/Indicator level)
- Auditability of existing/revised Criteria/ Indicators
- Any emerging issues including latest developments in the certification industry (outcome-, impact-, and/or risk-based approaches, climate resiliency, etc.)
- Any emerging issues including developments of the palm oil industry

[TAKE SURVEY](#)

Get Involved (2)



Technical Committees (TCs)

WHO:	Members of the TCs may or may not be an RSPO member. The opportunity will be for external parties and experts to participate in the TCs to ensure that the skills and experience needed are available. Each TC shall have at least two grower representatives and should aim to ensure that they are not dominated by stakeholders not directly impacted by changes to the P&C.
ROLES:	The TCs will assist in the formulation of the revised standard, in particular the development of Indicators, guidance, etc., to ensure the overarching Principles and Criteria are deliverable on the ground.
MEMBER APPOINTMENT:	Appointment of TCs members will be made by the TF based on their skills and experience according to the task requirements allocated to each TC.

Interested in serving on a TC?

Please send your contact details and CV [here](#).



Find out more at
www.rspo.org

PalmTrace Review: Common Mistakes during License Submission

14 March 2022





Objective of this session

“

To highlight common mistakes made in PalmTrace (PT) that causes denial of the licence request

”



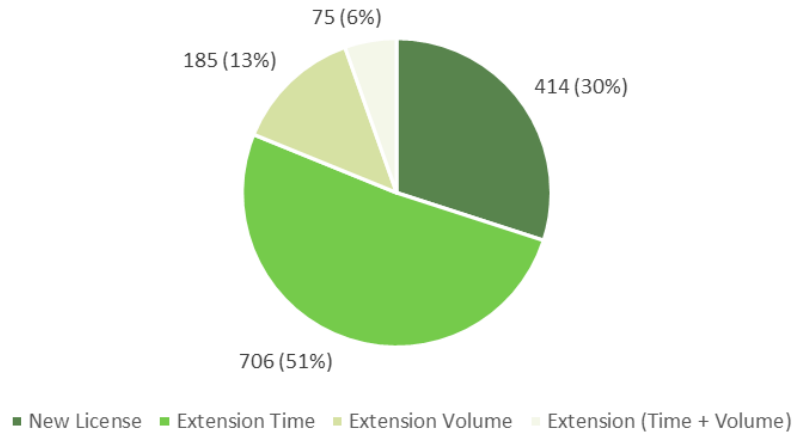
“

Continuous improvement and ensure the key PalmTrace personnel are up to date

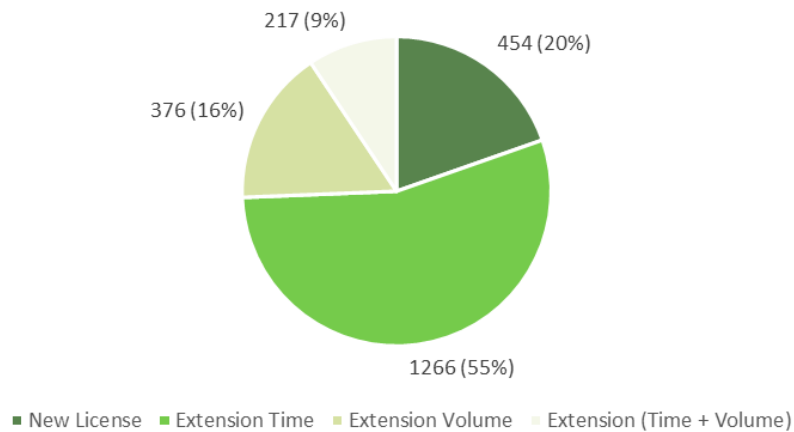
”

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

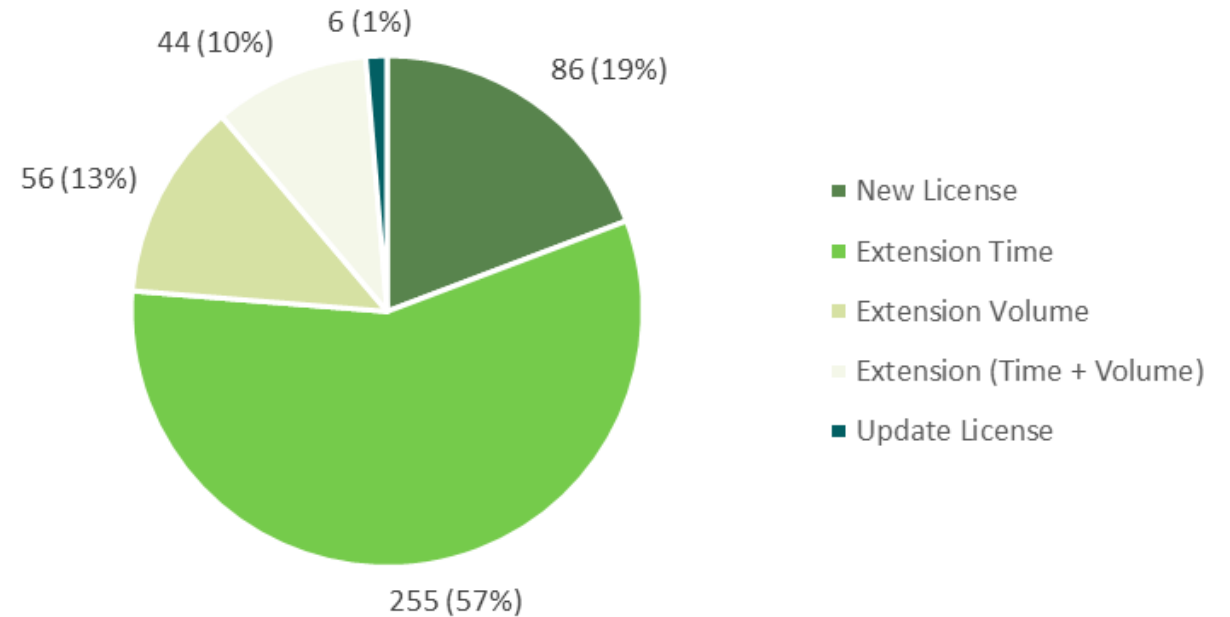
License Requested in 2020



License Requested in 2021



License Requested in 2022 (up to Feb 2022)



- New License
- Extension Time
- Extension Volume
- Extension (Time + Volume)
- Update License

Section 1 - Certified Volumes



- Certified volume is incomplete and not appropriate (cross check with OER, KER)
- Wrongly indicated Certified Volume for P&C and ISH
- Figure indicated not tally/same as in Certificate

Certified Volumes

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

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

Is RSPO NEXT Compliant? No

Product

FFB- Supply Chain Model: Identity Preserved- Certified Volume: 32,338.81 MT

Certified Volumes

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

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

Is RSPO NEXT Compliant? No

Product

CSPO- Supply Chain Model: Mass Balance- Certified Volume: 1,000 MT
CSPK- Supply Chain Model: Identity Preserved- Certified Volume: 4,634 MT
FFB_estates- Supply Chain Model: Identity Preserved- Certified Volume: 100,863 MT
CSPO- Supply Chain Model: Identity Preserved- Certified Volume: 23,256 MT
CSPK- Supply Chain Model: Mass Balance- Certified Volume: 194 MT
FFB_estates- Supply Chain Model: Mass Balance- Certified Volume: 4,598 MT

Section 1 - Certified Volumes

% Kernel Extraction Rate (KER)

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

FFB (107,244

MT)

$$= 0.13 \%$$



Certified Volumes

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

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

Is RSPO NEXT Compliant?

Product

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



Section 2 - Previous License Volume Information



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

7 Previous License Volume Information

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

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

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

Section 2 - Previous License Volume Information



For ISH

- Previous license information is for **physical sales transaction only**. If all the certified volume sold as credits, the information in this section should be = 0
- All figures must be **consistent** with all the documents provided and entry into PalmTrace

6 Previous License Volume Information

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

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



Section 3 - Standard Audited

- Correct Standard audited to be filled

Section 3 - Certificate Settings:

Assessment Type:	ASA 12
Member Certificate Number:	BMT-RSPO-000164
Previous License Validity:	20-11-2019 - 19-11-2020 (CB89833, Expired)
Start date of new license:	24-11-2020
End date of new license:	19-11-2021
Standard Audited:	<ul style="list-style-type: none">P&C 2013P&C 2018RISS 2019SCCS 2020



Volume & Time extension

- Volume extension and Time extension **ONLY** can be requested **within active licence period**
- **FFB volume field is mandatory** to be filled
- Check the **OER & KER**

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

P&C Multi-Mill and Multi Model



Multi-mill situation

- Each mill have its **own PalmTrace account**
- Each mill account will need to be assigned with **specific estate(s)**
- **Certified volumes, certified areas, production areas, and HCV areas** shall follow the estate assigned in section 1 of PalmTrace
- The supply chain model needs to be the same for all the mills

Multi Supply Chain Model

- IP & MB
- Assignment of certified volumes need to be provided for each supply chain model
- In section 2, the sold volumes of each SC model needs to be clearly separated
- Audit report – needs to be clear on how the handling of the process to ensure no contamination of IP product.
- This should include from FFB receiving, processing, storing and dispatch



BEST PRACTICES

- Always do **TRIPLE CHECKING**
- To make extremely sure, to verify for a third time
- Practices make perfect

“If you’re not making mistakes, then you’re not doing anything, I’m positive that a doer makes mistakes”

John Wooden



THANK YOU

Presentation from ASI





RSPO CB Interpretation Forum

March 2022

Jan Pierre Jarrin

Agenda

- High level updates
- P&C 2013, from 2016 to 2019
- What we have seen so far: 2019 – 2022
- ASI management of the NC's (RCA, CA & C
- RSPO CAB Performance Appraisal Framework
- CB's timeline in issuance of certification
- Peer Reviewer, the next level
- Integrity Investigations

Agenda

- **High level updates**
- The transition years: 2016 – 2019
- What we have seen so far: 2019 – 2022
- ASI management of the NC's (RCA, CA & C
- RSPO CAB Performance Appraisal Framework
- CB's timeline in issuance of certification
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- Integrity Investigations

High-level updates

- **ASI North America office established**
Provide international accreditation for CABs to certify against voluntary sustainability standards internationally. ASI Germany to provide oversight.
- **China**
Geographical scope reduction (by ASI) if the CAB has not been able to demonstrate compliance with local Chinese requirements for operating as a certification body within the country.
- **Changes**
Elyse Griem is the new Dispute Coordinator.
Evi Meteboer joins as Senior Director of Integrity.
Yopi Jaya Kusuma is a new Assessor for Indonesia.
Johana Lahr left for her maternity period and will be replaced by Evi Meteboer and Daniel Teng.

High-level updates

- **Russia scope suspended**
Following a review of the integrity risks, ASI has decided to temporarily suspend the geographical scope of “Russia” for all CABs that we work with.
- **Increased focus on risks and integrity**
ASI Social Competence Team will be increased. New assessment approaches have been introduced (e.g. unannounced compliance assessments, integrity investigations) and complementary tools are being piloted (e.g. stakeholder engagement tools).
- **Oversight during pandemic**
Remote assessments became the new normal and are – in part – here to stay. Assessments with “Facilitators” have been implemented. Presence in key countries/regions (e.g. Indonesia, Africa) will be strengthened.

121

AS

96

ASI assessments in 2021
(include extra assessments, all programs)

Minor NC's	181
Major NC's	51
OFI	86

31
Countries

ASI Audits 2021

SCC+P&C	10
P&C	2
SCC	11

4 SCC
1 P&C

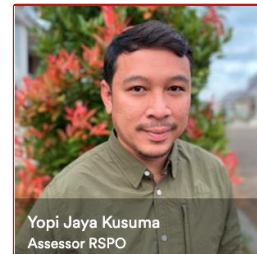
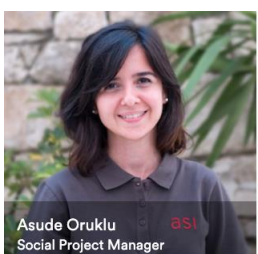
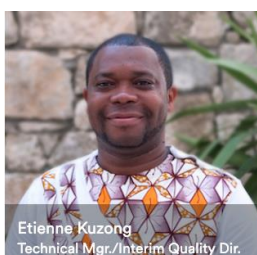
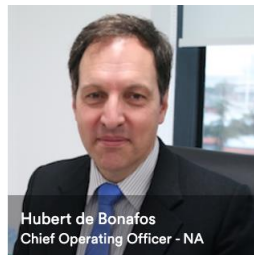
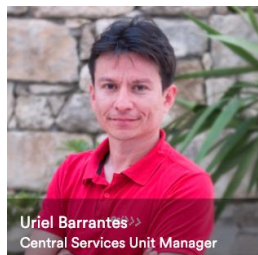
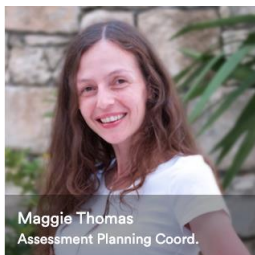
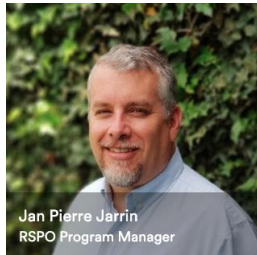
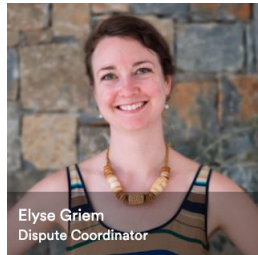
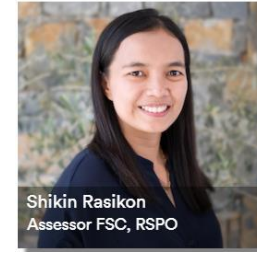
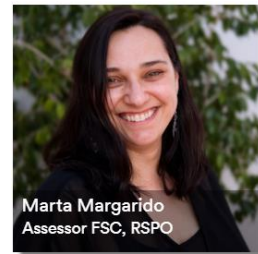
New RSPO Applicants

asi RSPO
23
Accredited
CABs

Current partial or full suspensions 0

Created with mapchart.net

RSPO Resources



Agenda

- High level updates
- **The transition years: 2016 – 2019**
- What we have seen so far: 2019 – 2022
- ASI management of the NC's (RCA, CA & C
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- Peer Reviewer, the next level

P&C 2013

From 2016 to 2019

During the P&C 2013, more than 2,500 audits were carried out. ASI is developing an evaluation of the findings found by the CAB's. This presentation focuses on the second half of the audit cycle, years 2016 to 2019, where the standard had already matured and all stakeholders have understood its scope.

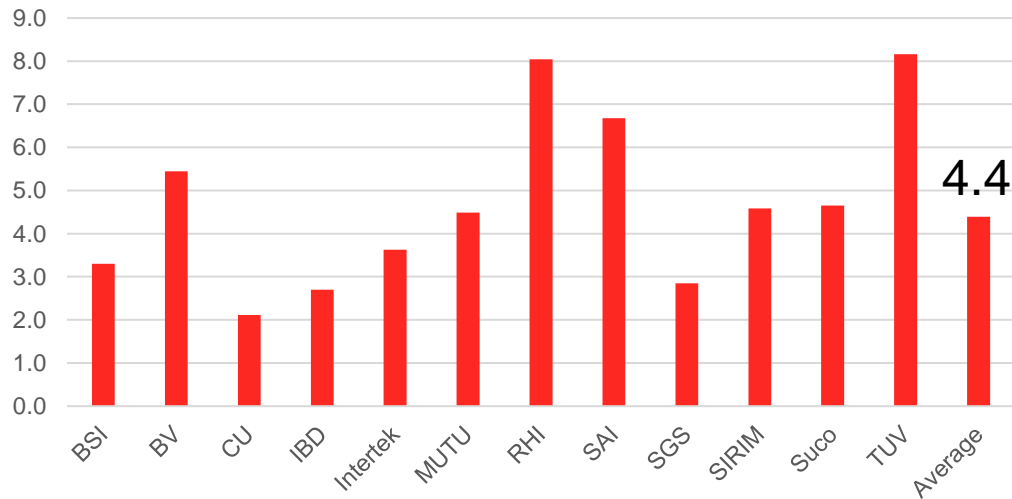
These are the main findings:

Standard	NC's
P&C-2013	6825
P&C-2018	1014
GROUP	436
NEXT	5
SCC	660
RULES ON M&C	5
OTHER	149
Grand Total	9094

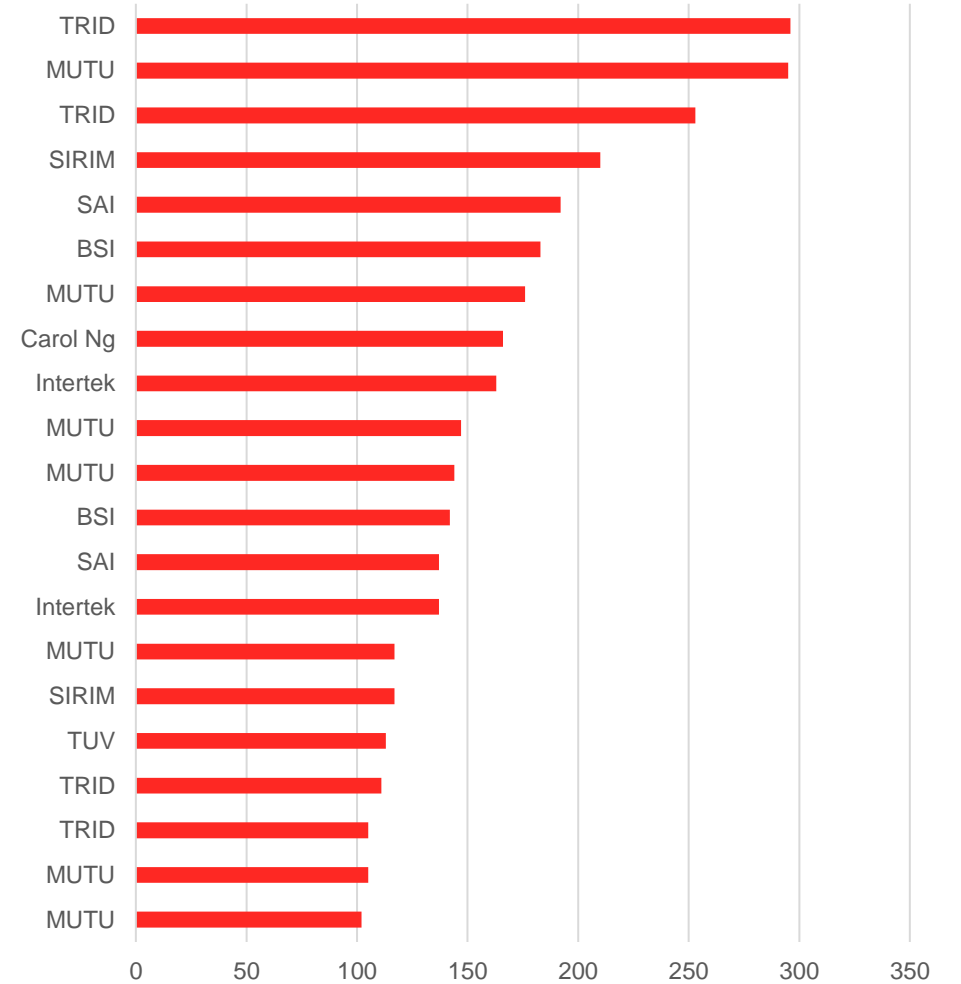
P&C 2013 in a glance

- 1.442 Audits in the period
- 137 Lead Auditors
- 29 Auditors never raised an NC
- 7.3.5, 7.6.5 and 7.6.6 Never been used

NCs / Audit

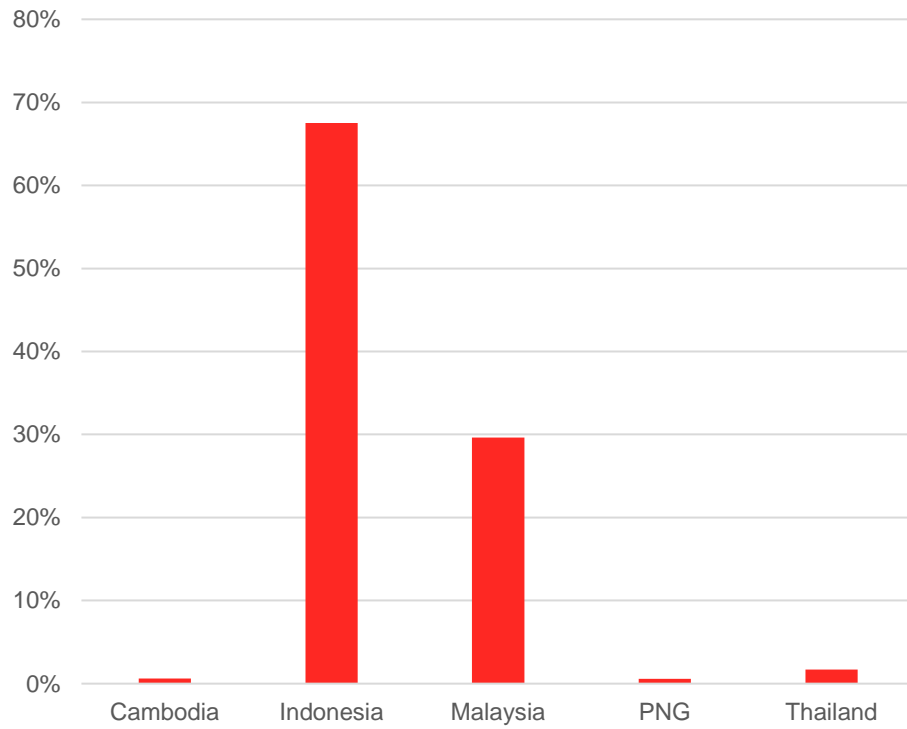


The experienced auditors

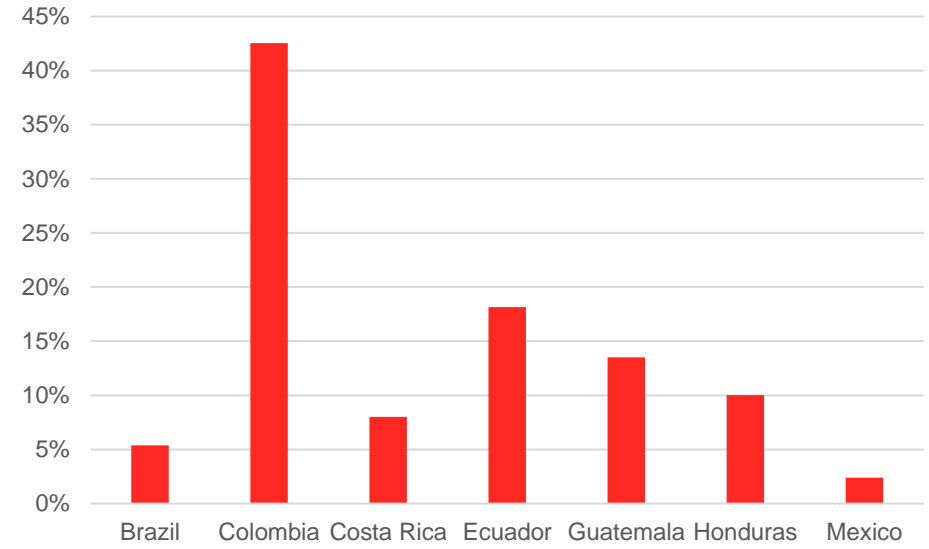


P&C NC by region

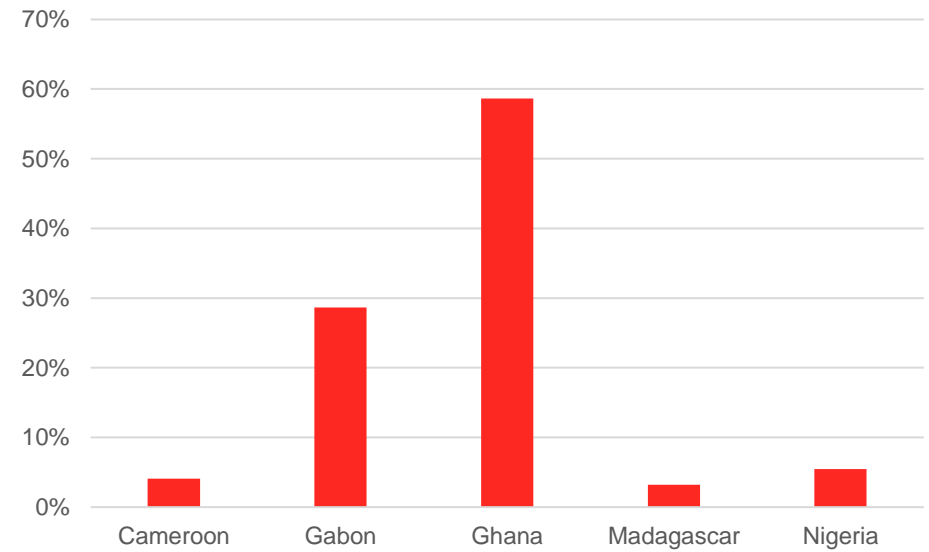
South East Asia



South America

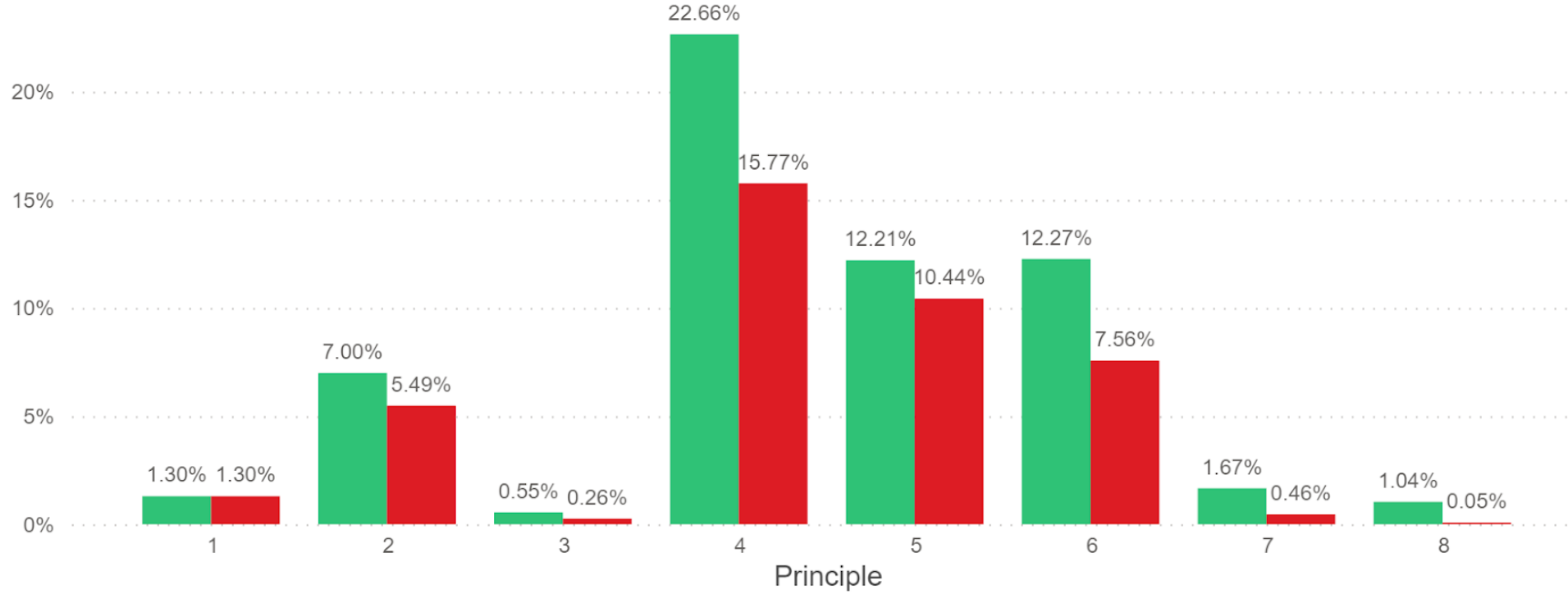


Africa



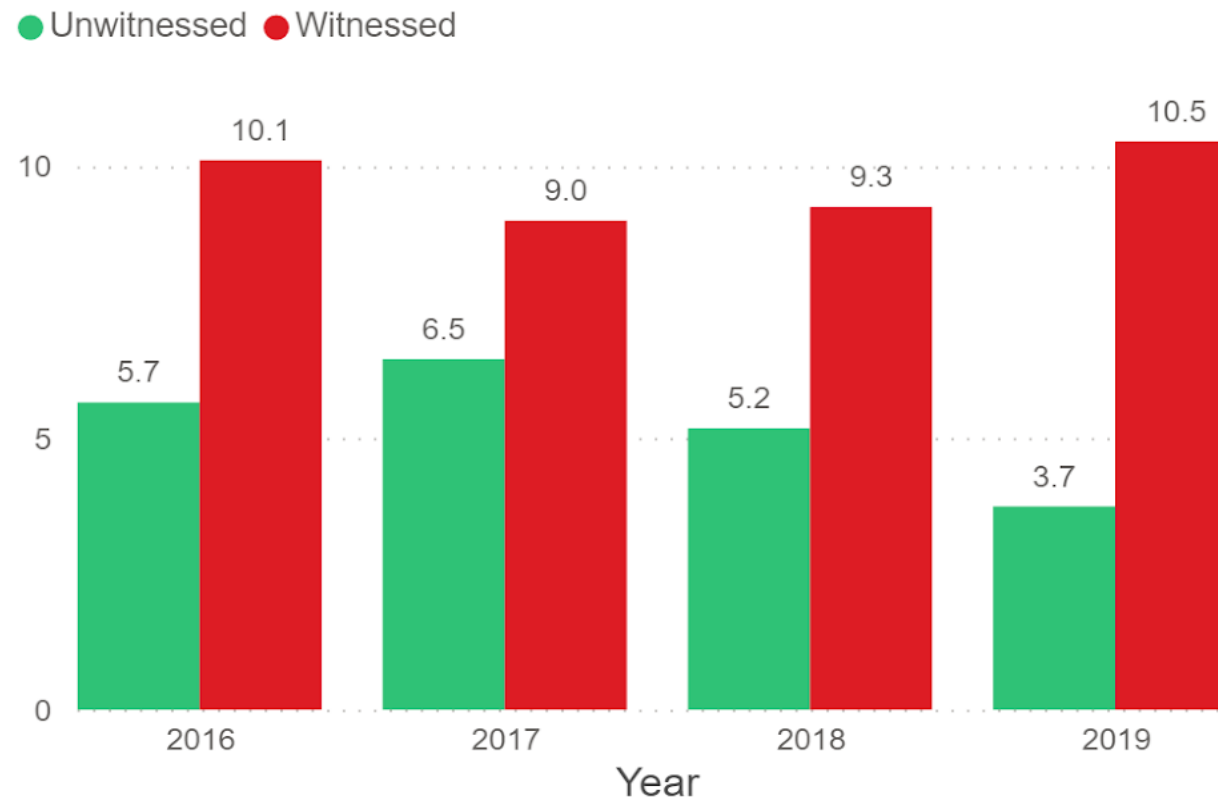
P&C 2013 Grading

Grade ● Major ● Minor

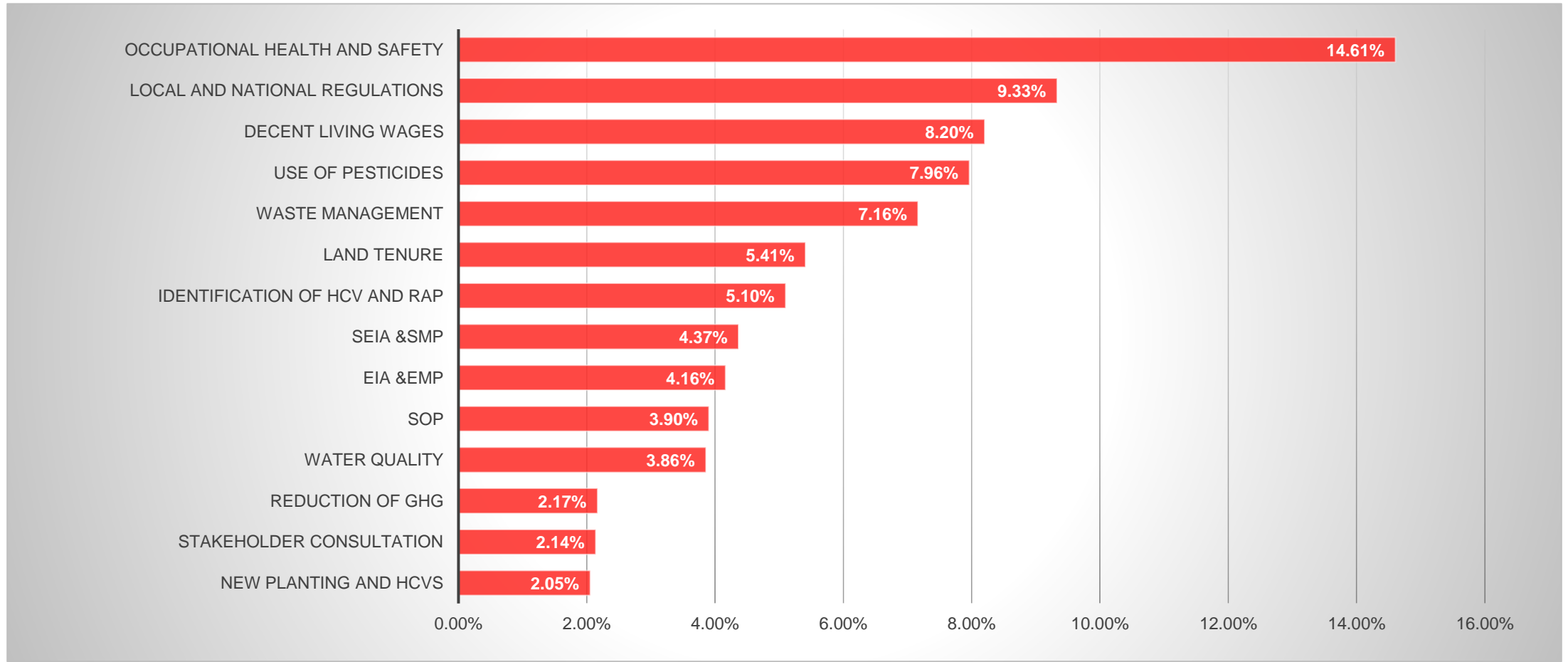


The Witness Effect

Only two CABs detected on average more NCs in unwitnessed audits than in ASI witnessed audits.



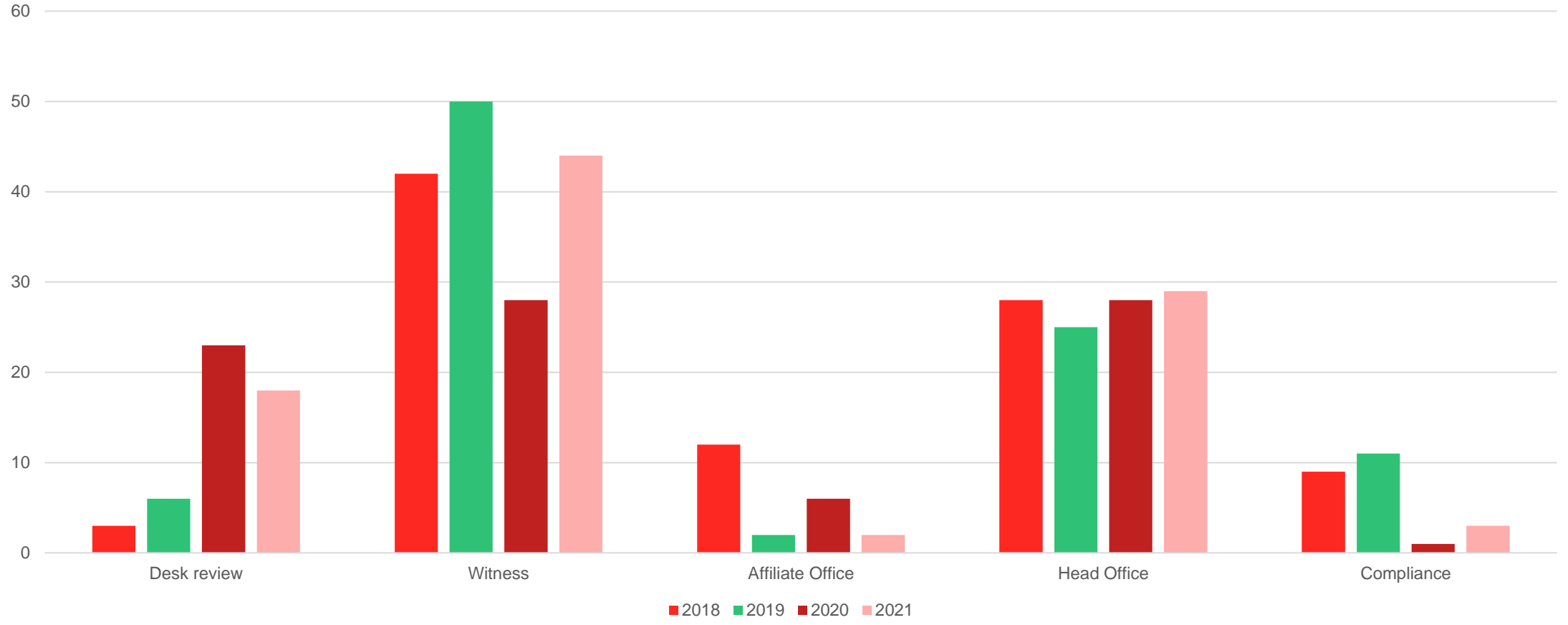
P&C 2013 Areas of Concern



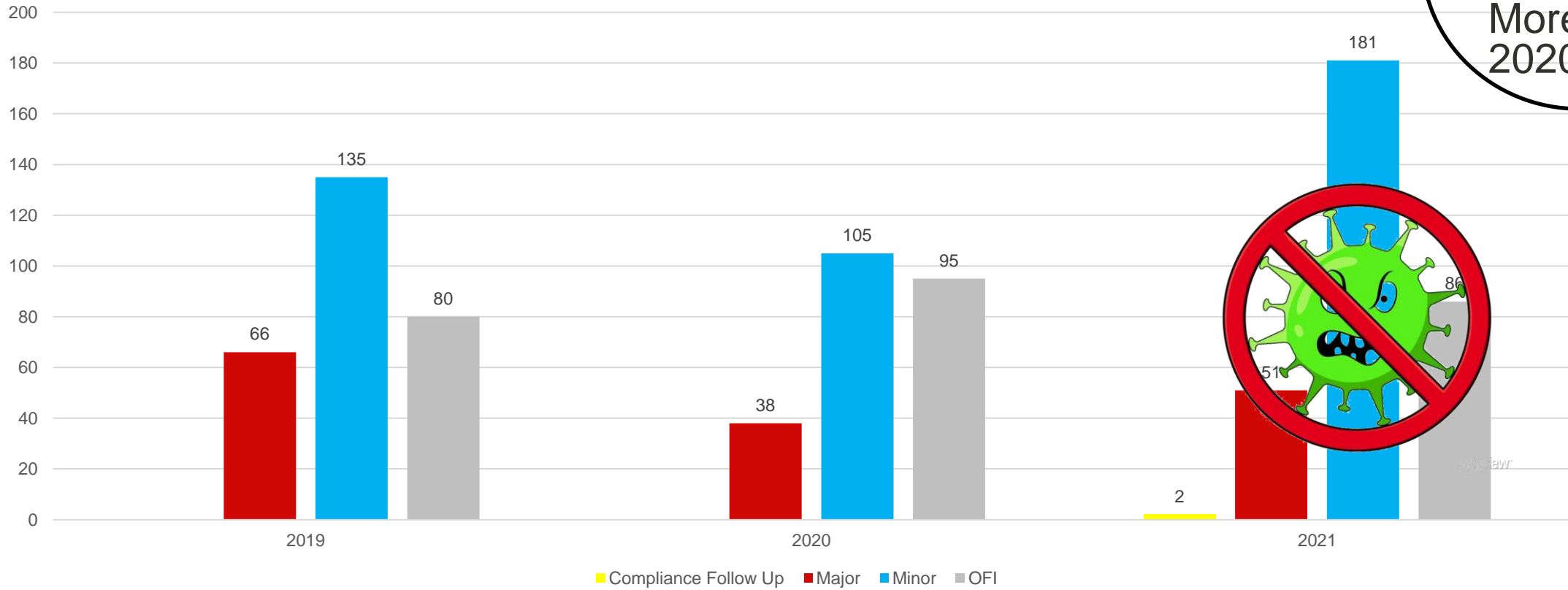
Agenda

- High level updates
- The transition years: 2016 – 2019
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RSPO Assessments



NC's Trends



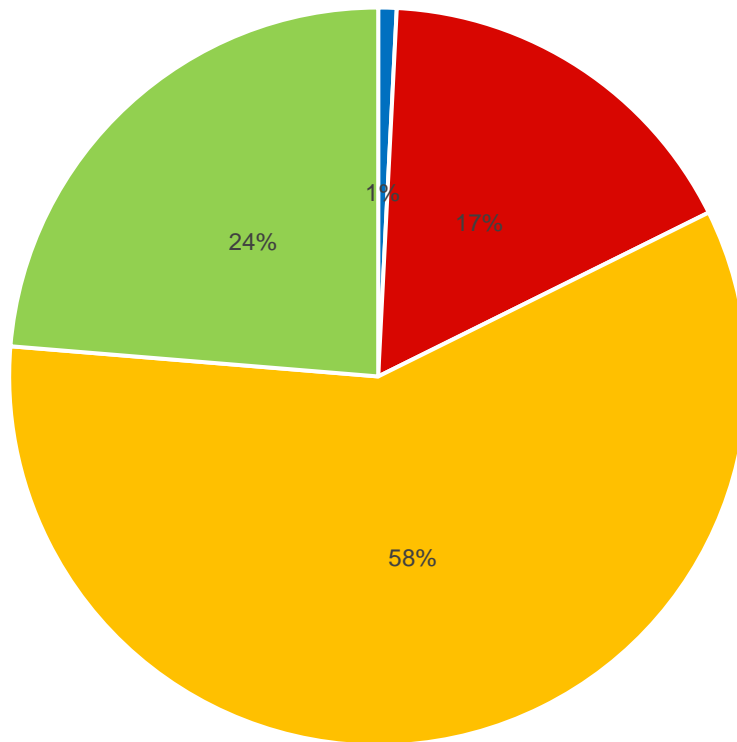
33%
More than
2020



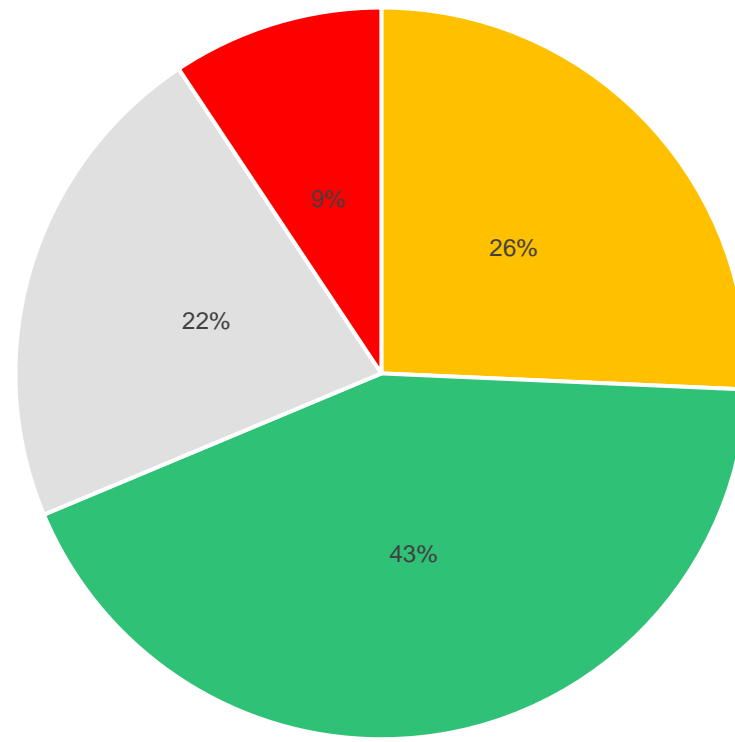
AS RSPO Assessments

Assessment type	Type				Grand Total
	Fully on-site	Fully remote	Partly remote and partly on-site	Remote with facilitator on-site	
RSPO P&C	8	29	2	9	48
Compliance	2			1	3
Desk review		11			11
Head Office	1	13			14
Witness	5	5	2	8	20
RSPO SCCS	3	40	1	4	48
Affiliate Office		2			2
Desk review		7			7
Head Office	1	13	1	1	16
Witness	2	18		3	23
Grand Total	11	69	3	13	96

RSPO Assessments in 2021

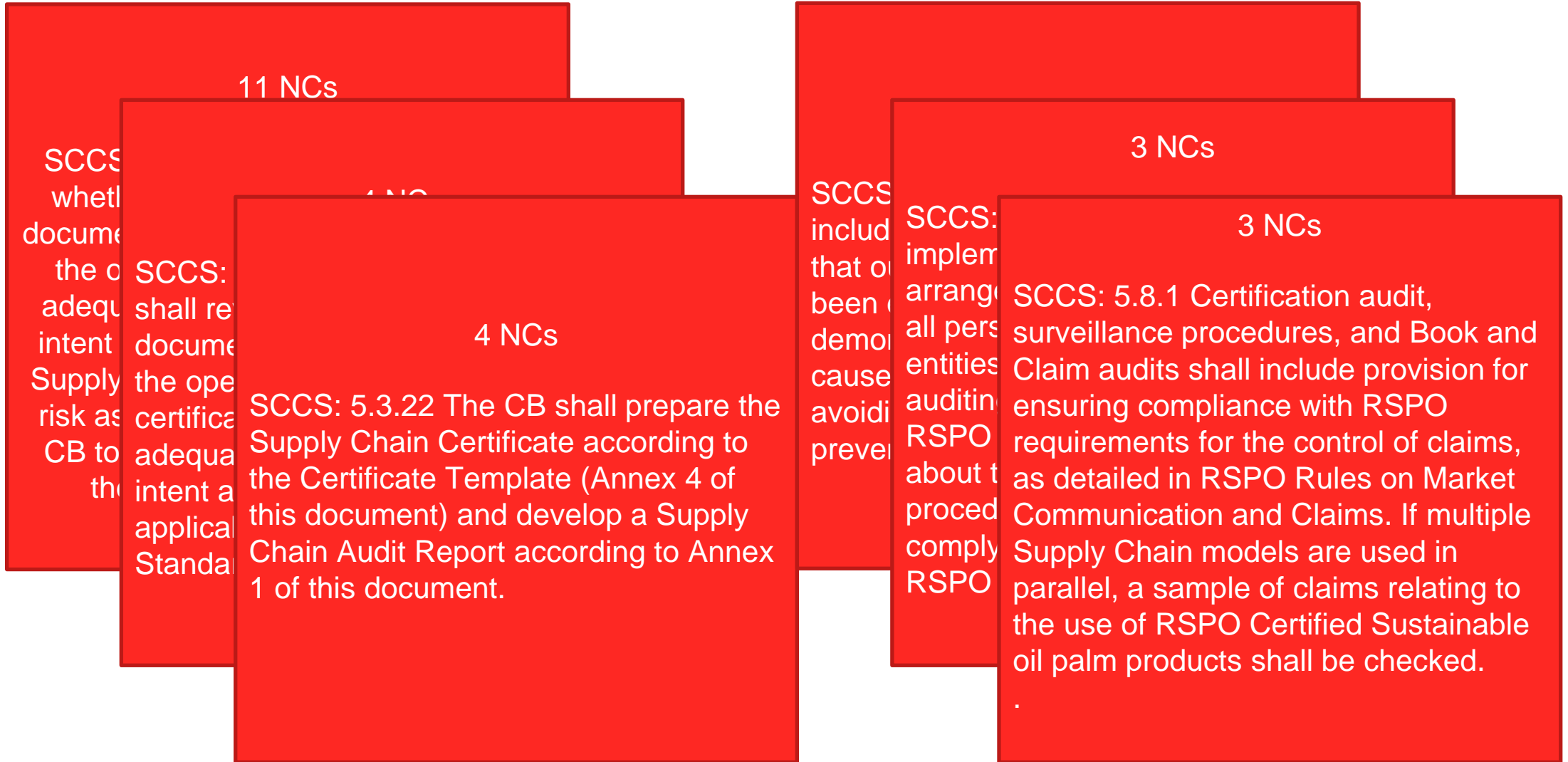


- Compliance follow up
- Minor nonconformity
- Major nonconformity
- Opportunity for improvement



- Supply Chain
- P&C
- ISO
- ASI Procedure

Top NC's SCCS in 2021



Afternoon Break



Presentation from ASI



Top NC's P&C CS in 2021

3 NCs

P&C CS: 5.6.5 The agreement shall contain the following:

- i. Scope of assessment, duration and costs related to the assessment services.
- ii. The CB's and client's contractual rights and obligations including the following;
 - The client's right to appeal in relation to the CB's assessment process including the decision-making;
 - the rights of CB's and AB's representatives to access the certificate holder's premises, documents, and records deemed necessary by the CB or its AB;
 - The right of the CB to conduct an unannounced audit (to investigate complaint) and to bring observers in the audit (where required);
 - The right of the AB to conduct witnessed assessment, compliance assessment, unannounced assessment, or a short notice assessment.

Top NC's P&C CS - Competence

3 4.8.7	<p>The RSPO lead auditor is a qualified RSPO auditor who shall have, as a minimum:</p> <ul style="list-style-type: none"> a. At least five (5) years of field experience in the palm oil sector, health and safety, or environmental management. These include experience in HCV and HCS assessment, social auditing or involvement in human rights activities; b. A supervised (by a qualified lead auditor) period of training in practical audits against the RSPO P&C and/or RSPO ISH standard, with a minimum of 15 days audit experience in at least three (3) audits; c. Successfully completed a refresher course for RSPO endorsed P&C lead auditor course every three (3) years after the initial qualification as lead auditor.
4 ISO 17065 6.1.2.1	<p>The certification body shall establish, implement and maintain a procedure for management of competencies of personnel involved in the certification process (see Clause 7). The procedure shall require the certification body to: d) formally authorize personnel for functions in the certification process</p>
6 ASI-PRO-20-112 3.7.3	<p>Auditors shall be registered in the CAB Portal. For each Auditor registered in the CAB Portal, the following mandatory information shall be entered: 7.3.1 Auditor first name(s) and surname(s); 7.3.2 Function; 7.3.3 Qualified scopes; 7.3.4 Initial date of qualification; 7.3.5 Status of qualification.</p>

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RSPO CAB Performance Appraisal Framework

Main Objectives

- ASI has a structured a CAB System Apraisal framework to evaluate the performance of RSPO accredited CABs.
- •The CSA Ensures a fair and independent assessment process and incentive mechanism for continuous improvement amongst RSPO accredited CABs.
- •The CSA will adjust ASI oversight (sampling level, sampling targets) according to performance and risks.
- •The CSA will increase transparency and foster calibration between parties (RSPO, CABs, ASI) for continuous improvement

Methodology

- Evaluation is based on applicable ISO and RSPO requirements, as well as ASI Procedures
- Appraisal takes place once a year.
- CABs are scored for various areas based on 5-tier system (e.g. Outstanding = 5, Weak = 1)
- NOTE: Procedure is being updated ([see ASI website](#)) but current scores still are based on prior methodology.

Results - Overview of all CAB scores per area

Outstanding	A
Above average	B
Average	C
Below Average	D
Weak	E
Not Evaluated	n/a

	Overall Score	CAB Competent resources	Internal Audit	Impartiality Management	Organizational Structure and QMS	Dispute Management	ASI Social Findings	ASI Environmental Findings		2020	2021
CAB											
P&C or P&C + SCC	CAB A	B	B	C	C	B	A	A		A	B
	CAB B	B	B	B	C	B	A	A		B	B
	CAB C	D	B	B	C	C	B	E	E	B	D
	CAB D	C	B	B	B	B	B	E	E	D	C
	CAB E	D	B	E	C	D	n/a	E	E	D	D
	CAB F	D	B	B	D	C	B	E	E	B	D
	CAB G	B	B	C	B	B	B	A	A	B	B
	CAB H	C	B	B	B	B	B	B	E	B	C
	CAB L	C	B	C	B	B	B	E	E	B	C
	CAB M	C	A	B	B	C	B	E	A	n/a	B
	CAB N	C	B	E	C	B	B	E	A	B	C
	CAB O	B	B	C	C	B	B	A	A	C	C
	CAB P	B	B	C	C	B	A	A	A	B	B
	SCC	CAB Q	B	A	B	B	A	A	n/a	n/a	B
CAB R		B	B	B	B	B	A	n/a	n/a	n/a	B
CAB S		C	A	B	C	D	C	n/a	n/a	n/a	B
CAB T		C	B	C	C	C	D	n/a	n/a	n/a	C
CAB U		B	A	B	C	B	A	n/a	n/a	n/a	C
CAB V		C	B	B	C	B	B	n/a	n/a	n/a	B
CAB W		B	A	B	C	B	B	n/a	n/a	n/a	C
CAB X		C	B	C	C	A	C	n/a	n/a	n/a	B
CAB Y		B	n/a	C	C	B	B	A	A	n/a	C
CAB Z		B	B	A	B	B	B	A	A	n/a	B
CAB I		C	B	C	C	D	C	n/a	n/a	n/a	C

Results

- Majority of CABs has “average” or “above average” scoring – as expected
- Trend shows a slight deterioration of scores from 2020 to 2021
- Few outliers (below average) for overall performance
- For Social and Environmental findings: several outliers but revision of methodology needed, data comparison with RSPO NC analysis to improve representativeness
- Need for calibration: scores for CAB competent resources vs. Social+Env. NCs vs. ASI witness effect
- CABs with weak performance have received a Sanction or increments on surveillance

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CBs timeline in issuance of certification

Main Objectives

- Improving the CBs timeline in issuance of certification - failure to do this will lead to late Turn Around Time of certificate.
- Establish the RC for the delays.

Methodology

- Assessors will increase surveillance during 2021
- Assessors to raise major NC's
- Query database for the period 2021
- Review the RCA and CA from the CAB

Scope

- P&C Certification Systems: 5.10.3
- SCC Certification Systems: 5.3.19

CBs timeline in issuance of certification

	CAB	2019	2020	2021	P&C 20221
P&C or P&C + SCC			Blue		
				Green	
		Orange		Green	
				Green	Yellow
			Blue		
					Yellow
				Green	
		Orange	Blue	Green	
					Yellow
SCC			Blue		
		Orange	Blue		
		Orange	Blue	Green	
		Orange		Green	
		Orange		Green	
		Orange		Green	
		Orange		Green	
		Orange	Blue	Green	
TOTAL		8	8	12	4

RCA:

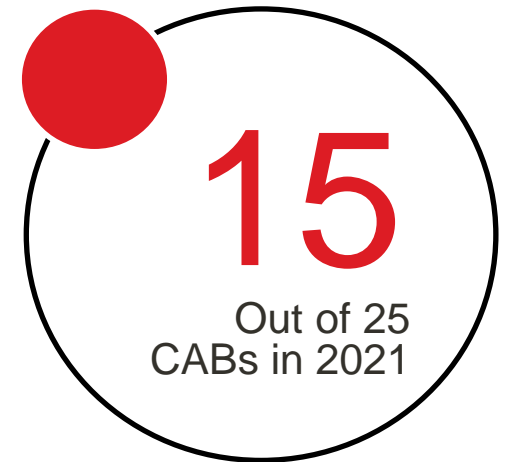
- Lack of resources, workload.
- Failure to follow own procedure or failure on the procedure.
- Personal performance.
- Lack of oversight
- Internal systematic problem

Scope:

P&C CS: 5.10.3
SCCS: 5.3.21

CA:

- Monitoring
- New Procedure
- Training
- More Resources



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Peer Reviewers

The primary function of the peer review process is to attest the technical credibility of the evaluation methodology of a certification assessment, to examine the conclusions made by the audit team and make comments regarding the adequacy of recommendations made by the audit team.

The peer review process is, critical in adding a second tier of professional expertise to the evaluation prior to the decision being taken as to whether a certificate should or should not be awarded to the management unit under evaluation.

Peer Reviewers

The CAB should have a documented system and procedure for the peer reviewer process.

The peer reviewer:

- Shall not be a permanent or temporary employee
- Shall have a clear term of reference including confidentiality, Independence and impartiality.
- At least 7 years of experience
- Successfully completed the RSPO endorsed P&C lead auditor course
- Endorsed training on RSPO Certification Systems for P&C and ISH estándar.
- Registered with the Accreditation Body (ASI)
- At least 8 hours training every year on RSPO P&C

Peer Reviewers

In april 2021:

- 10 Peer Reviewers qualified in ASI portal
 - 3 for Latam
 - 1 for Africa
 - 6 for South East Asia

The peer reviewer should:

- Identify any major omissions or shortcomings if the evaluation process.
- Identify incorrect technical assumptions
- Identify results that could undermine the credibility of the certificate

All certification and recertification audits has to be signed off by a peer reviewer.

Example: Q1 from Annex 4: Did the audit team have the necessary competence and experience to effectively undertake the audit?

Result: ASI has raised 17 nc for competence of the auditors in 2021

Thank you!

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End of Day 1

Thank You