PRINCIPLE & CRITERIA LEAD AUDITOR TRAINING SYLLABUS

10 NOVEMBER 2016

INTRODUCTORY NOTES FOR P&C LEAD AUDITORS COURSE PROVIDERS

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

The training provider has to make sure that the trainees have the necessary basis knowledge of RSPO and its procedures before they are coming to the course. This is described under 3.0.

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

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

The trainees who have successfully completed the course, have to be reminded that they have to attend a refresher training every three year. The duration of the refresher training is 16 hours and may be given as a webinar or as a class room training. The subjects will depend on the issuance of new procedures, documents and others as is seen as important by RSPO secretariat.

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

RSPO P&C LEAD AUDITOR TRAINING SYLLABUS

Course Objective

To provide participants with the technical competences necessary to conduct a conformity assessment of an organisation claiming compliance with the RSPO P&C.

Course Outcomes

Participants should have an understanding of the:

1. Context in which the palm oil sector operates, including key sustainability issues affecting the palm oil sector, and the subsequent development of the RSPO and details of RSPO's ways of operation (sectors, BoG, working groups, secretariat).

2. Social, environmental and economic requirements within which an RSPO certified palm oil mill and its supply base operates and how to audit them

3. Legislative requirements within which a palm oil mill and its supply base operates, including international, national and local laws and land ownership, and how to audit them

4. Conservation, including HCV and associated processes, and how to audit them

5. Role of management systems, e.g. ISO 14001 and OHSAS18001, in managing the organisations environmental and health and safety risks and supporting the organisations commitment to the RSPO P&C, and how to audit them

6. Monitoring and measurement techniques needed to demonstrate the achievement of compliance with the RSPO P&C, and how to audit them

7. Specific standards and systems, their associated documents and tools and how to audit them:

   a. RSPO company membership & partial certification requirements
   b. RSPO P&C
   c. RSPO Certification Systems (P&C) and use of NI
   d. SCC for mills
   e. Group Certification
   f. RSPO NPP & Compensation Procedure
   g. RSPO GHG Procedure
   h. RSPO eTrace and certificate trading platform
   i. Existence of further documents such as RSPO NEXT and RSPO RED

8. Requirements for CBs and auditors as outlined in the RSPO Certification Systems document

9. Audit skills from preparation to field audit to reporting

Course Prerequisites

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

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

The knowledge on these subjects has to be tested by way of e-modules to be studied by the trainees before the course followed by a test, which draws on randomised questions, for each subject. A successful pass of the test is a requirement to proceed to the class-room portion of the lead auditor course.

Course Content

The course includes the following content:

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

a. Content
b. Outcomes
c. Examination

Palm oil context *(0.5 hrs)****.*** This section of the course is a summary of the relevant e-modules and provides participants with knowledge of the context in which oil palm is grown, processed, transported and used. It will address the following topics:

a. What is palm oil and where is it grown
b. Why is palm oil important for food security
c. Who are the stakeholders in the palm oil sector
d. How is palm oil perceived in the public domain
e. Future developments in the palm oil sector.

Certification, chain of custody and traceability *(1 hrs)*. This section of the course is a summary of the relevant e-modules and aims to provide participants with an understanding of supply chain custody and its role in supplying sustainable palm oil. It will address the following topics:

a. Standards, schemes and definitions
b. RSPO certification processes
c. Certification requirements for CBs and auditors as detailed in RSPO Certification Systems document (e.g. auditor requirements, team composition, accreditation)
d. National interpretations

e. Supply Chain models
f. Use of trademarks

Social**, *environmental, economic and legislative requirements* (8 hrs).** This section of the course provides participants with knowledge of the social, environmental, economic and legislative requirements related to palm oil operations and development. It will address the following topics.

    a. Economic considerations
       i. Development cycle (land clearing, planting, harvesting, processing and transportation)
      ii. Management, planning and economics of oil palm operations

    b. Social considerations
       i. Land tenure
      ii. FPIC
     iii. Community considerations
     iv. Labour rights
     v. Occupational safety and health incl. risk assessments
     vi. Staff training on all P&C aspects
    vii. Social impact assessment

    c. Environmental considerations
       i. Soil degradation and erosion
      ii. Land use change
     iii. Greenhouse gas emissions, carbon and operational activities
     iv. Water
     v. IPM
     vi. Agrochemicals
    vii. Energy efficiency
    viii. Waste

    d. Legislative considerations
       i. International laws
      ii. National, state and local laws
     iii. Customary land ownership

Conservation *(3 hrs)*. This section of the course will introduce participants to the identification and management of rare, endangered and threatened species and high conservation value habitats. It will address the following topics:

    a. HCV approach and corresponding RSPO requirements
       i. HCV approach
      ii. Auditing RSPO HCV requirements
         1. Primary forest and peat and its roles
         2. Riparian reserves
         3. Wildlife corridors
    b. Environmental impacts of oil palm establishments and operations

Auditing, monitoring and measurement *(3 hrs).* This section of the course aims to provide participants with an understanding of the management practices used to minimise the impact of oil palm operations and how they are monitored and measured. Focus will be on what evidence needs to be sought in the audit process for a range of topics, such as:

    a. Performance indicators (eco system services, biodiversity)
    b. Inspection and sampling techniques
    c. Water courses, columns and sediment monitoring
    d. IPM
    e. BMP
    f. Waste management
    g. Use of fire
    h. Greenhouse gas measuring using the Palm GHG tool

Audit activities *(12 hrs).* This section of the course aims to provide participants with an understanding of the audit activities necessary to conduct an RSPO audit. It will address the following topics:

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

Whilst a range of these may be addressed in the classroom setting, a critical part of this component is a 1 day realistic audit exercise with a host company. This exercise will be evaluated and contribute to the overall pass grade of the course. Focus will be on assessing auditor skills and evidence collection.

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

    a. Report content and its format
    b. Report review process
    c. Preparation and distribution of the audit report and summary report

Course Assessment

The knowledge and understanding of participants will be assessed through an examination of 3 hours duration based on fifteen multi choice questions taken from the whole syllabus and four written short answer questions and two long answer questions, in which participants are asked to demonstrate understanding of audit scenarios. To obtain the Certificate of successful completion of auditor training course, candidates will need a mark of at least 70% in the examination.

The practical field audit exercise is critical and assessed but contributes no more than 40% of the overall mark, including submission of a CAR or audit report.

Course Duration

The course duration would be 40 contact hours excluding breaks, including the plantation/oil mill visit, spread over 5 days, in addition to the online preparatory e-learning modules to be completed prior to attendance of the face-to-face portion of the course.

The refreshers training is 16 contact hours excluding breaks and does not require an examination.

Course Numbers

A maximum of 25 participants per course is permissible. The maximum tutor - participant ratio is 1 – 15.

Course Material

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

Course Presenters

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

Course Recognition

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

A participant who fails the exam and passes the practical exercise (based on the field mock audits) may be allowed to resit the examination once. No resit of the practical exercise is possible. In case of a second failure the trainee has to follow a new Lead Auditors course.

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