



RSPO

Roundtable on Sustainable Palm Oil

RSPO Supply Chain Certification Systems

Final Document

As approved by RSPO Executive Board

25 November 2011



RSPO will transform markets to make sustainable palm oil the norm

History of Documents

These RSPO Supply Chain Certification Systems (SCCS) are based on the outcome of the supply chain models study adopted at RT4 (November 2006). The first version was finalised by the RSPO Trade and Traceability (T&T) group that was set up in January 2008 and approved by the RSPO Executive Board in August 2008. Within 12 months after its adoption, the document was reviewed again by the RSPO T&T in 2009 and adopted by the RSPO EB on 5 November 2009.

The RSPO SCCS document has been substantially revised in 2011 in order to incorporate the range of amendments that have been made to supply chain certification requirements since the document was issued.

Amendments issued since publication		
Amd. no.	Date	Description of amendment
A	May 2008	First draft
B	June 2008	Second draft for consultation
C	August 2008	Version 1
D	September 2008	Version 2 approved published in October 2008
E	July 2009	Rev 1 approved by RSPO Executive Board
F	November 2009	Final version Rev 1 approved by RSPO Executive Board
G	November 2011	Revision the RSPO Supply Chain Certification System documents based on expert input, approved by by RSPO Executive Board on 2011-11-25.

This document is written in the English language. The English language as written in this document shall be final and binding until revised by the RSPO. The RSPO does not assume any liability for errors or misunderstandings introduced, when this document is translated into other languages.

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Introduction

The Roundtable on Sustainable Palm Oil (RSPO) is a global, multi-stakeholder initiative on sustainable palm oil. Members of RSPO and participants in its activities come from many different backgrounds, including plantation companies, manufacturers and retailers of oil palm products, environmental NGOs and social NGOs and from many countries that produce or use oil palm products. The principal objective of RSPO is “to promote the growth and use of sustainable palm oil through cooperation within the supply chain and open dialogue between its stakeholders”.

The methods used by the RSPO to deliver its objective include:

- The development of a standard for sustainable oil palm production and associated mechanisms for verification of responsible oil palm production. The RSPO Standard for Sustainable Oil Palm Production, approved in October 2007, is presented as a series of Principles, Criteria, Indicators and Guidance, and is designed to be used by oil palm producers to implement sustainable production practices, and by certification bodies for field verification.
- The development of an RSPO Supply Chain Standard, which describes requirements related to the control of RSPO certified palm, palm derivatives and palm products along the supply chain, including flows of material and associated claims. The RSPO Supply Chain Standard is presented as a series of auditable requirements designed to be used by organisations in the palm value chain to demonstrate implemented systems for control of RSPO certified oil palm products. Downstream processors or users of RSPO certified sustainable oil palm products can claim the use of (or support of) RSPO certified oil palm products when they adhere to the requirements the RSPO Supply Chain Standard and this is independently verified by an RSPO approved and accredited certification body. For a schematic overview of the oil palm products supply chain see Annex 1 of this document.

The purpose of this document is:

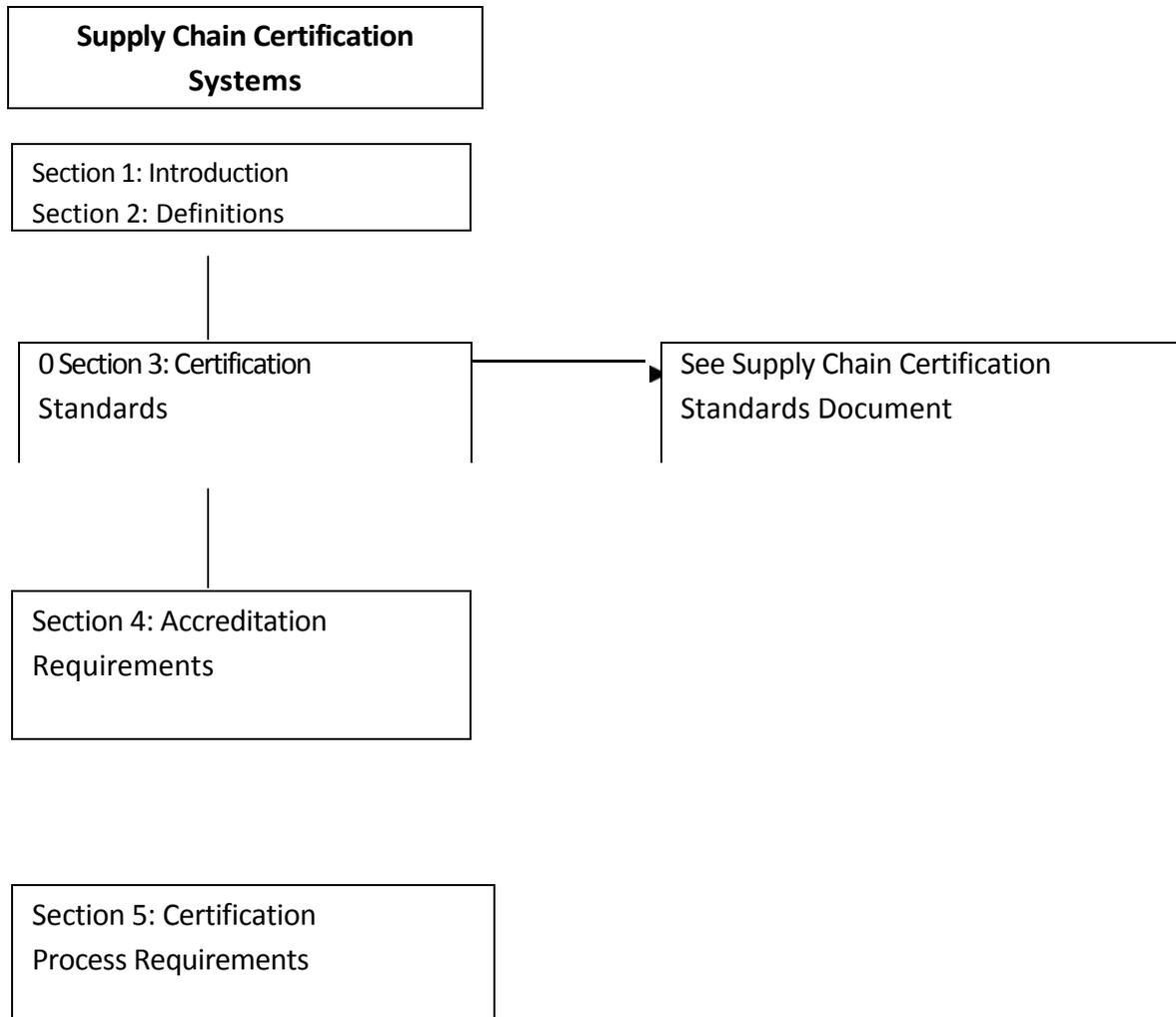
- To establish the minimum requirements of a consistent methodology for enabling certification against the intent and requirements of the RSPO Supply Chain Standard to enable all certification bodies to operate in a consistent and controlled manner.
- To provide documentation designed to assure long-term continuity and consistency of the delivery of certification against the requirements of the RSPO Supply Chain Standard.
- To ensure that claims of RSPO members relating to the production, procurement and use of RSPO certified oil palm products are true.

This document is analogous to the RSPO certification Systems (June 2007) which defines certification systems for assessment of compliance with the RSPO Principles and Criteria.

This document will be reviewed within one year from the date of implementation and thereafter at intervals not greater than five years.

1.1. Overview of this document

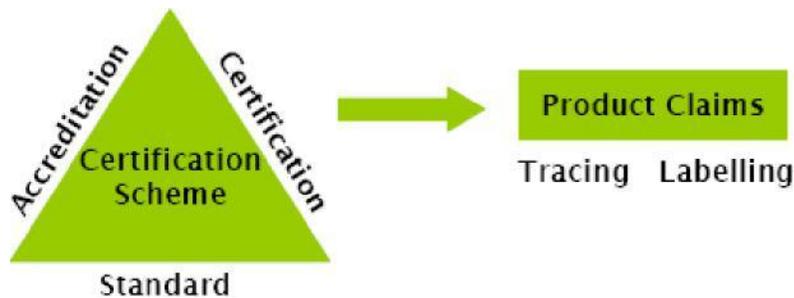
The following diagram shows the structure of this document, including the links to each annex:



1.2. Elements of a certification scheme

Certification schemes are usually made up of three key elements:

- **Certification standards.** This sets out the requirements which must be met and against which certification assessments are made. The RSPO standards are detailed in the Supply Chain Certification Standards document.
- **Accreditation requirements.** This is the approval mechanism for ensuring that the organisations which undertake certification are competent and produce credible, consistent results. The RSPO systems are detailed in section 4, below.
- **Certification process requirements.** This is the process of establishing whether or not a set of requirements (i.e. the standard) has been met, usually carried out by a certification body. The RSPO systems are detailed in section 5, below.



1.3. Scope

This document sets out certification systems for the RSPO requirements for Identity Preserved, Segregation, and Mass Balance supply chain systems:

- The requirements for a certification body to be accredited as being a competent body capable of undertaking assessments and issuing certificates of conformance against the RSPO Supply Chain Standard (Accreditation requirements).
- The way in which certification must be carried out by such certification bodies (Certification process requirements).

For users of the RSPO Book and Claim system will be subject to independent audit, as set out by guidance available on the GreenPalm website (Audit Checklist - <http://www.greenpalm.org/en/downloads>).

2. Definitions

Accreditation Body	Organization responsible for assessing and accrediting RSPO certification bodies against ISO/IEC Guide 17021:2006 and 65 and that is a member of the International Accreditation Forum (IAF) or a full member of the International Social and Environmental Certification Accreditation Forum (ISECAF)
Applicant	The operation seeking or holding certification
Audit	Independent assessment by an RSPO approved certification body as part of the certification process
Bill of Lading	Legal shipping document that gives legal title to goods that are being shipped.
Book and Claim (BC)	See Annex 5: Book and Claim Supply Chain Model (BC) of the Supply Chain Certification Standards
Bulking Station	Interim storage facility for palm oil.
Buyer	The next commercial entity in the supply chain - supplier (or seller) is the previous commercial entity in the supply chain.
Certification body (CB)	An independent body that is approved by RSPO to conduct certification assessments against the intent and requirements of the RSPO Supply Chain Certification Systems. See section 2 for more information the process of approval
Client	see Applicant.
Code of conduct	The RSPO Code of Conduct is a set of requirements RSPO–members are expected to abide by. The Code can be found on the website of RSPO: www.rspo.org
Complaints Procedure	See RSPO website (www.rspo.org)
Conventional Plantations	Mills and their respective supply bases that have not been certified by an RSPO approved certification body.
Crude Palm Oil (or CPO)	First stage palm oil product produced from fresh fruit bunches (FFB) at a mill.
Delivery (of a contract)	The physical execution of a contract to terms, time and price by a supplier to his customer.
End Product Manufacturer	The manufacturer/processor that uses palm oil based products for manufacturing products designed and intended for consumption or end-use in any way e.g. retailers when producing own label products- in house, consumer goods manufacturers, biofuel producers, feed product manufacturers. Retailer and distributors of finished products, where no further modification occurs, do not need Supply Chain Certification.
Facility	A single functional unit of an organisation or a combination of units situated at one locality, which is geographically distinct from other units.

FOSFA (Federation of Oils, Seeds and Fats	Global contract writing body for the international trade in fats and oils. See www.fosfa.org
Fresh Fruit Bunches (FFB)	Bunches of palm fruits as harvested from the trees in the oil palm plantations/farms.
Identity Preserved Palm Oil (IP)	See Annex 1: Identity Preserved Supply Chain Model (IP) of Supply Chain Certification Standards document
Interim Approval	Pragmatic, intermediate procedure to establish compliance with intent and

Procedure	requirements of the RSPO Supply Chain Certification Systems. See Chapter 5 for more details.
Legal owner	Entity that has an enforceable claim or title to a property, and is recognized as such by law.
Mass Balance (MB)	see Annex 3: Mass Balance Supply Chain Model (MB) of Supply Chain Certification Standards document
Multi-site Certification	A term used for groups of plantations, farms, mills or refineries etc. brought together under a Central Office and administered using an Internal Control System.
Oil Palm Products	Products produced from palm fruits and kernels. Depending on the context of the phrase 'oil palm products' in this document can also refer to products such as shells, palm kernels, palm kernel oil (PKO), palm kernel expeller or products derived thereof, olein, stearin palm fatty acids distillate (PFAD) that are derived from fractionation of
On-Site Audit	Physical visit to a permanent located facility by a (team of) representative(s) from an RSPO approved certification body.
Origin	Term used in the commodity trade to designate the geographic location/area in which a commodity (in this case CPO) was produced.
Owner	Person or entity that holds physical ownership of goods/plant/building etc.; examples include CPO, olein, stearin, processing facility etc.
Refinery	A refinery is a production facility that processes crude palm oil into products with more value like refined palm oil.
The Roundtable on Sustainable Palm Oil (or RSPO)	The not-for-profit Swiss registered foundation working to improve the sustainability of global palm oil production and use.
RSPO Certified Sustainable Palm Oil (or RSPO- CSPO)	Palm oil produced by a mill and its supply base that has been successfully audited to the RSPO Principles and Criteria by an RSPO approved certification body, as being compliant with the criteria set out in the RSPO Certification Systems document.
RSPO Guidelines on Communication & Claims	Rules for use of communication and claims related to the use or support of RSPO certified palm oil
RSPO IT System	Web-based system for tracing RSPO certified palm oil throughout the supply chain from mill to refinery, under the supply chain models of Mass Balance, Segregation and/or Identity Preserved
Segregation (SG)	see Annex 2: Segregation Supply Chain Model (SG) of Supply Chain Certification Standards document
Seller	see Supplier.
Site:	A single functional unit of an organisation or a combination of units situated at one locality, which is geographically distinct from other units.

String	The situation where several parties are involved in trading the product and take legal ownership of the physical product but do not actually take receipt of the physical product. In this case, the relevant RSPO documents will go directly from the first party in the string [often the shipper] to the final buyer. Although the payment for product follows the full string. The final buyer shall receive documents from the first party just before the arrival of the ship in the port of destination. He then becomes physical owner of the goods and documents.
Supplier (or seller):	The previous commercial entity in the supply chain - the buyer, or customer is the next commercial entity in the supply chain.
Supply Chain	The series of processes/steps through which agricultural raw materials pass

	from the primary producer through to the end product manufacturer (i.e. palm oil growing, milling, storage, transport, refining, manufacture, end product etc.).
Supply Chain Certification Systems	Downstream processors or users of RSPO certified palm oil can claim the use of (or support of) RSPO certified palm oil when they adhere to the RSPO Supply Chain Certification Systems and this is independently verified by an approved certification body.
Trader	Participant in the supply chain of RSPO-CSPO who purchases and sells palm oil or its derivatives and/or futures.
Unit of Certification	All operators who take legal ownership and physically handle (including receipt into storage tanks) RSPO Certified Sustainable oil palm products need to be RSPO supply chain certified. This requirement applies up to and including the end product manufacturer.

3. Certification standards

The RSPO certification standards are as follows:

3.1. Sustainable production of oil palm products

Production of sustainable oil palm products is comprised of legal, economically viable, environmentally appropriate and socially beneficial management and operations. This is delivered through the application of the RSPO Principles and Criteria for Sustainable Palm Oil Production, and the accompanying indicators and guidance (referred to collectively in this document as the 'RSPO Criteria'). All of the RSPO Criteria apply to the management of oil palm. All relevant RSPO Criteria also apply to mills.

National interpretations of the international indicators and guidance will also be developed; in order to keep overall control of the quality of any set of indicators and guidance claiming to be official interpretations, especially in the local legal context, national interpretations will require endorsement or recognition by RSPO.

3.2. Supply chain requirements for sustainable oil palm products

The oil palm products may go through many production and logistical stages between the grower and the product. Any individual batch of palm and palm kernel oil can be traded through one of four supply chain mechanisms that are approved by RSPO:

- Identity Preserved
- Segregated

- Mass balance
- Book and Claim

For the first three of these, Identity Preserved, Segregated and Mass Balance, supply chain controls from the plantation through to the certified end product are required, as defined in the RSPO Supply Chain Standard. This document sets out certification systems for assessment against the RSPO Supply Chain Standard.

Users of the RSPO Book and Claim system, who are not producers, need to show:

- Compliance with the rules for use of the RSPO Book and Claim system

4. Accreditation requirements: mechanism for approval and monitoring of third party certification bodies¹

Accreditation overview

4.1 Any certification body that wishes to offer a service of certification assessments against the RSPO Supply Chain standard must be specifically approved by RSPO (see 4.2 for an exception). Individuals cannot be approved as a certification body. The current service provider to RSPO for evaluation of certification bodies is Accreditation Services International GmbH (ASI).

4.2 RSPO has made an interim provision that all certification bodies approved by RSPO for certification against the Principles & Criteria can also undertake supply chain assessments against the requirements of the RSPO Supply Chain Standard for CPO mills. This is in order to enable assessment of supply chain requirements of CPO mills to be undertaken at the same time as P&C certification site visits²

4.3 RSPO publishes a list of approved certification bodies on its website (www.rspo.org).

Accreditation Body (AB) requirements

4.4 The current service provider to RSPO for evaluation of certification bodies is Accreditation Services International GmbH (ASI). Any such service provider, or accreditation body, must be operating in accordance with the requirements of ISO 17011:2004 *Conformity assessment general requirements for accreditation bodies accrediting conformity audit bodies*. This must be demonstrated either as a signatory to the appropriate International Accreditation Forum (IAF), Multilateral Recognition Arrangement (MLA) or through full membership of the International Social and Environmental Accreditation and Labelling Alliance (ISEAL).

4.5 RSPO requires ASI to notify RSPO if a complaint about the certification body is received from any RSPO stakeholder concerning their competency or process or the outcome of an accreditation audit or implementation. In accordance with ISO/IEC 17011 the accreditation body shall handle complaints within 60 days. Should any accreditation body fail to resolve a complaint within that timeframe, it shall inform the RSPO Secretariat.

Approval requirements for Certification Bodies

4.6 Certification bodies are required to demonstrate that all aspects of their organisation, systems and procedures for conducting certification against the intent and requirements of the RSPO Supply Chain Certification Systems are included in documented management systems, and conform to the provisions of RSPO's specific requirements detailed in section 5, below.

¹ RSPO arrangements for approval of certification bodies are currently in transition to full third party accreditation

² This is an interim procedure. This provision will be revised upon next revision of this document

4.7 Certification bodies are required to demonstrate that all aspects of their organisation, systems and procedures for conducting certification against the intent and requirements of the RSPO Supply Chain Certification Systems conform to the relevant provisions of either *ISO/IEC Guide 65: 1996 (General requirements for bodies operating product certification systems)* or *ISO 17021:2006 (Conformity assessment - Requirements for bodies providing audit and certification of management systems)*.

4.8 Conformity with the requirements detailed in sections 4.6 and 4.7 is assessed prior to approval by RSPO, and is then monitored annually.

4.9 The CB must comply with the Accreditation body requirements pertaining to accreditation decisions.

5. Certification Process Requirements of the RSPO Supply Chain Certification Systems

This section prescribes the process that a certification body shall follow in carrying out an audit of a facility that is seeking certification to requirements of the RSPO Supply Chain Standard.

5.1. *Specific competencies of assessment teams*

5.1.1. The certification body approved by the RSPO shall implement any and all provisions including legal arrangements, to ensure that any and all persons, subcontractors or other entities (e.g. permanently employed and freelance auditors, experts, consultants, etc.) engaged on its behalf in auditing against the intent and requirements of the RSPO Supply Chain Standard, are knowledgeable of, comply with the intent and requirements of the RSPO Supply Chain Certification Systems as a whole..

5.1.2. The certification body must define the minimum competencies of lead assessors and the requirements for assessment teams. As a minimum, these must be consistent with the specifications defined in *ISO 19011: 2002 Guidelines for quality and/or environmental management systems auditing*, with modifications to take into account the specific requirements of RSPO Supply Chain Certification, as described below.

5.1.3 Assessment procedures for certification assessments against the requirements of the RSPO Supply Chain Standard must require that auditors demonstrably include sufficient supply chain expertise to address all of the requirements of the RSPO Supply Chain Standard and must be fluent in the main languages relevant to the location where the specific assessment is taking place.

Lead assessors must have, as a minimum:

- Advanced post high school education degree or diploma or equivalent
- Technical skills and qualifications related to and as necessary for the certification process, like demonstrable relevant experience in other relevant certification schemes
- Demonstrable successful completion of a recognised lead assessor course e.g. a ISO 9000/19011 lead auditor course
- Demonstrable successful completion of an RSPO-endorsed RSPO Supply Chain Certification Systems training course³
- Language skills suitable for verbal and written communication with the client and the client's relevant stakeholder groups
- Demonstrable field working experience in similar supply chains, or equivalent related to and as necessary for the certification process
- Supervised period of training in practical auditing by a qualified lead auditor with at least 15 days audit experience in similar certification schemes (i.e. including traceability), achieving a minimum of 2 audits at different organisations.
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5.2. Unit of Certification

5.2.1. All operators who take legal ownership and physically handle (including receipt into storage tanks) RSPO Certified Sustainable oil palm products need to be RSPO supply chain certified. This requirement applies up to and including the end product manufacturer.

³ This is included in the 2011 Agreement with CBs, but courses have not yet been organised

5.2.2 Operators who take legal ownership and physically handle (including receipt into storage tanks) the RSPO Certified oil palm products also include mill operators. To achieve supply chain certification, a mill must demonstrate compliance with the intent and simplified version of the requirements of the RSPO Supply Chain Standard depending on which supply chain model(s) it is trading under.

5.2.3 The Supply Chain Certification audit shall take place on individual site level. Multi-site certification is possible under specific requirements on sampling (see paragraph 5.3.13 of this document)

5.3. Assessment process requirements

Client application and contract

5.3.1. The certification body shall ensure that any operation seeking or holding certification against the requirements of the RSPO are provided with all necessary information concerning the RSPO as a whole, the RSPO Supply Chain Certification Systems, the RSPO Guidelines on Communication and Claims, including the certification body's own standards, indicators, verifiers and checklists or equivalent and other documentation available. If potential clients have any further questions concerning the RSPO these shall be directed to the RSPO website at www.rspo.org.

5.3.2. The certification body shall enter into a contractual agreement for certification services with an operation seeking or holding certification against the RSPO Supply chain systems and maintain a record of any agreement before proceeding with any service provision. The contract shall specify the scope (supply chain model to be audited), duration and costs related to the audit and also outline the certification body's and client's contractual rights and obligations. This must include the client's right to object to the certification body's audit process and this right must be contained in the procedures of a CB. The contractual agreement shall include relevant provisions on confidentiality and declarations of interest.

5.3.3. The certification body shall review the management documentation of the applicant to ensure that all elements of the respective RSPO Supply Chain Systems are addressed satisfactorily and fully meet the intent of

the RSPO Supply Chain Certification Systems. The certification body shall clarify any issues or areas of concern with the operation seeking or holding certification.

Assessment planning

5.3.4 The certification body shall plan the on-site assessment, consistent with the specifications defined in ISO 19011.

5.3.5. The certification body shall take account of the supply chain model(s) selected, the organizational systems, the management systems and the operational systems used and any other certifications held (such as food safety, quality, etc.) by the operation seeking or holding certification when determining the level, details and planning of the assessment required to assess compliance with the intent and requirements of the RSPO Supply Chain Certification Standard.

5.3.6 The certification body may synchronise and combine RSPO Supply Chain audits with other on-site audits (such as food safety, quality, etc.) where possible and appropriate.

5.3.7. Certification bodies shall recognise certificates previously issued under RSPO Supply Chain Certification Systems by other RSPO approved certification bodies.

On-site assessment

5.3.8. The assessment shall start with an opening meeting during which the lead assessor shall inform the certification applicant about the certification process, agree logistics for the assessment, confirm access to all relevant documents, field sites and personnel, explain confidentiality and conflicts of interest and agree on the timing of the closing meeting.

5.3.9. The on-site audit shall: Review whether the organisational systems, the management systems and the operational systems, including any documented policies and procedures of the operation seeking or holding certification, are sufficient and adequately implemented to meet the intent and requirements of the RSPO Supply Chain Certification Systems. In cases where an operation seeking or holding certification outsources activities to independent third parties the auditor will assess whether a visit to the subcontractor is required.

5.3.10 Pertinent RSPO Supply Chain records relating to the receipt, processing and supply of certified oil palm products being supplied to buyers wishing to make a RSPO claim to the certified oil palm products shall be reviewed retrospectively until the previous audit.

5.3.11 The certification body shall verify compliance of all activities conducted by subcontractors engaged by an operation seeking or holding certification with the intent and requirements of the RSPO Supply Chain Standard.

5.3.12. At the conclusion of the on-site audit the certification body auditor shall conduct a closing meeting with the client's representative(s), including the management. During the closing meeting the certification body shall ensure that:

The client is informed that until they receive written confirmation of their RSPO Supply Chain certification registration

and its expiry date that they are not certified and cannot make any claims concerning certification; The client is made aware what actions they may have to complete before certification can proceed; and The client is made aware of the findings of the audit team including any deficiencies which may result in a negative certification decision or which may require further actions to be completed before a certification decision can be taken. A detailed record is compiled of the closing meeting including a list of the participants in the meeting, a detailed description of the information supplied to the operation seeking or holding certification, any information additionally supplied by the operation, and any other information exchanged, including a written record of the notice that the findings of the audit team are tentative pending review and decision making by the duly designated representatives of the certification body.

The record of the closing meeting shall be signed by the lead auditor and the most senior relevant management representative of the operation seeking or holding certification.

Multi-site certifications

5.3.13. Multi-site certifications are permitted under certain circumstances (see Annex 2). If a multi-site certification or audit is conducted all rules in Annex 2 apply.

5.3.14. When a multisite certification or audit is conducted the auditor(s) shall determine that the client's management system is adequate to ensure all facilities under its control meet the RSPO Supply Chain Certification Standard and the intent thereof. A multisite certification will only be awarded if:

The client's management system sufficiently demonstrates it ensures compliance with the RSPO Supply Chain Certification Standard for all facilities under its management and
Compliance with the RSPO Supply Chain Certification Standard is established in all of the facilities checked during the random audits.

Results

5.3.15. The certification body auditor shall prepare a certification report on the certification process against the RSPO Supply Chain Certification Standard (see Annex 5 for minimum report content requirements).

5.3.16. All non-conformances observed during an audit shall be classified as 'major' since all requirements for Supply Chain certification have to be met before granting certification.

5.3.17. All non-conformances shall be addressed satisfactorily by the operation before certification may be granted by the certification body. If non-conformances are not addressed within three (3) months of the audit, a full re-audit shall be required. The certification body shall assess the effectiveness of the corrective and/or preventive actions taken before closing out the non-conformances.

5.3.18. Non-conformances raised after the certification are serious (i.e. must be considered as a major) and the integrity of the RSPO Supply Chain Certification is at risk. . A maximum of one month is to be given to the certified client to satisfactorily address the non-conformance. The certification body shall assess the effectiveness of the corrective and/or or preventive actions taken. Should the non conformance not be addressed within the one month maximum timeframe, a suspension or withdrawal of the certificate and a full re-audit may be necessary.

5.3.19 Where objective evidence indicates that there has been a demonstrable breakdown in the supply chain caused by the certified client's actions or inactions, and that oil palm products have been or are about to be shipped which are falsely identified as RSPO certified product then immediate action needs to be taken by the certification body, and the RSPO Supply Chain certification should be suspended until such time that it has been addressed.

5.3.20. If no non-conformances are observed at an audit or when the corrective action plan has satisfactorily addressed raised non-conformance(s), the client shall be recommended for (re-) certification.

5.3.21. If certification is suspended or removed, for example on the basis of lack of effective corrective actions, the facility shall inform their supply chain customers immediately. If certification is granted subsequently then this can be communicated to the customer group.

Certification Awarded

5.3.22. The supply chain certification body shall fill out the Certificate Template as annexed to this document and develop a Supply Chain Certification Report according to Annex 1 of this document. .

5.3.23. Certification bodies shall issue certificates consistent with the information in Annex 3.

5.3.24. The certification body shall send a copy of the certificate and the Supply Chain Certification Report to the RSPO secretariat by e-mail upon granting certification to the company.

5.3.25. The certification body shall forward notification of the certificate and schedule to the RSPO within 10 days of the certificate being issued to enable the RSPO website to be updated. The RSPO will upload the certificate on the RSPO website and the RSPO IT System within 1 working week. See RSPO website for contact details.

Surveillance assessments

5.3.26. The surveillance audit shall: review whether the organisational systems, the management systems and the operational systems, including any documented policies and procedures of the operation seeking or holding certification, are sufficient and adequately implemented to meet the intent and requirements of the RSPO Supply Chain Certification Systems. In cases where an operation seeking or holding certification outsources activities to independent third parties the auditor will assess whether a visit to the subcontractor is required.

5.3.27. Pertinent RSPO Supply Chain records relating to the receipt, processing and supply of certified oil palm products being supplied to buyers wishing to make a RSPO claim to the certified oil palm products shall be reviewed retrospectively until the previous audit.

5.3.28. The validity of certificates shall be 5 years with annual surveillance.

5.3.29. Before the end of the initial certification period a full re-audit will need to occur in order to maintain continuity

of certification.

5.3.30. At the re-audit the certification body shall verify the company's annual summary records to determine whether not more RSPO certified oil palm products has been claimed than purchased within a specified period. The certification body shall confirm the amounts purchased and claimed as part of its audit report (see Annex 7).

5.3.31. The certification body shall assess whether an interim visit is required to confirm quantities if a facility has informed them of a projected overproduction.

5.3.32. If the higher production volume is confirmed to be correct the certification body shall provide the information to the RSPO IT System.

5.4. Transfer of Certification Body

5.4.1. The new CB shall officially communicate with the old CB and RSPO.

5.4.2. The old CB shall provide all reports, including non-conformance forms, to the new CB.

5.4.3. Transfer of CB shall not be permitted until all major non-conformances are closed or all financial obligations have been met.

5.4.4. The new CB shall conduct a new audit assessment using the previous report as guidance.

5.4.5. After conclusion of the audit, a new certificate shall be issued to the company by the new CB maintaining the previous expiry date. Upon issuance of the new certificate RSPO shall be informed.

5.4.6. Transfer of certification body is allowed at any stage of the certification cycle.

5.5. Public availability of documentation

5.5.1. The certification body must make the following documents publicly available upon request, and on the RSPO website and/or their own website:

- RSPO Supply Chain Certificate of conformance.
- Procedures of the Certification Body for complaints and grievances, including resolution mechanisms.
- The register of certified organizations, which must include details of the scope of each certificate, i.e. which sites and/or processes are approved.

5.6. Conflict of interest

5.6.1. Procedures for identifying and managing conflicts of interest must include provision for a specific independent committee, set up by the certification body. The independent committee must consist of at least three external members, and must meet at least annually with managers of the certification body to formally review the certification body's performance in this respect.

5.6.2. Certification bodies and members of assessment teams must have maintained independence from the company or family of companies for a minimum of three years to be considered not to have a conflict of interest. Independence in this context means neither having any family/personal relationships with people within the organization, nor having been employed in or by the organization being assessed, nor undertaking any consultancy activities or other service provision except for certification or verification activities.

5.6.3. The CB shall not offer assessment or surveillance audits for any organization to which it has provided management advice or technical support related to the scope of RSPO certification, or with whom it has any relationship which creates a threat to impartiality.

5.6.4. Records of the conflict of interest committee's discussions, recommendations and consequent corrective actions must be maintained for at least 5 years.

5.6.5a. Any person or entity engaged by the certification body or the certification body itself shall declare any and all interests which may potentially affect the certification process and/or which could possibly constitute a conflict of interest, in advance of engaging in a certification process against the requirements of the RSPO Supply Chain Standard.

5.6.5b. Any person or entity engaged by the certification body or the certification body itself shall report any circumstance or pressure that may influence its independence or confidentiality immediately to the executive management of the certification body.

5.6.5c. The executive management of the certification body shall notify the RSPO of any such report and ensure that any such report is included in the certification report of the certification process and in the file of the client.

5.6.5d. Any person or entity engaged by the certification body or the certification body itself shall only engage in services for a client if the certification body can demonstrate that it has not engaged in certification of the same client against the RSPO Supply Chain Certification Systems. Doubtful cases shall be discussed with RSPO, prior to engaging with the client.

5.6.6. The CB procedures must include the contractual obligation for all personnel including sub contracted personnel such as consultants contributing to certification decisions to disclose in writing to the CB all possible and actual conflicts of interest, at the time that the conflict of possibility of conflict becomes evident. Note: a relationship that threatens the impartiality of the CB can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing and payment of a sales commission, or any other inducement for the referral of new clients etc. (See IAF definition of related body).

5.7. Mechanisms for complaints and grievances

5.7.1. Procedures must include a mechanism for complaints and grievances concerning certified organizations that is open to any interested party.

5.8. Control of claims

5.8.1 Certification assessment and surveillance procedures must include provision for ensuring compliance with RSPO requirements for the control of claims, as detailed in RSPO Rules on Communication & Claims. If multiple SC models are used in parallel, all claims relating to the use of RSPO Certified Sustainable oil palm products need to be checked.

Identity Preserved, Segregation, Mass Balance

5.8.1a. No claims relating to RSPO certified oil palm products derived thereof shall be made without valid certification against the intent and requirements of the RSPO Supply Chain Certification Systems by a certification body approved by the RSPO. In supply chains working with IP and SG models the aim must be to achieve 100% segregation. However, the RSPO recognizes that especially in the early days of RSPO the Certified Sustainable oil palm product flows will be low and the necessary cleaning and clearing of facilities would present the supply chain with unusually high costs. For that reason a 95% minimum standard will be deemed acceptable to RSPO to qualify under the IP and

SG supply chain models. This minimum standard will be reviewed as volumes of Certified Sustainable oil palm products increase in the supply chain.

Book and Claim

5.8.1b. Users of the RSPO Book and Claim system shall ensure their claims comply with the intent and any and all requirements of the RSPO including the RSPO Rules on Communication & Claims. Certificates are created/based on CPO-equivalents (each GreenPalm certificate equals one metric ton of RSPO-certified Crude Palm Oil or one metric ton of RSPO-certified Crude Palm Kernel Oil).

Annex 1 : Supply Chain Certification Report

The certification body shall include the following minimum content requirements when preparing a supply chain certification report:

Certified Company details	Name, RSPO member number, and address of the operation certified and all relevant sites of operation(s) seeking or holding certification including contact details of the management representative responsible for overseeing the
Certification body details	CB Certificate number, Date of Approval by RSPO.
Summary	A summary of the report, including a brief description of the scope of the certification.
Conclusion	The final decision of the certification body. This section shall also include any recommendation, non-conformances/ non-compliances or conditions and a clear, unambiguous statement as to the certification status of the applicant
Certificate details	Certificate number, validity (start date and end date), and date of first certification
Background to the Report	<p>a) Author(s): The name(s) of the assessor(s). The name(s) of the management representatives of the certification body involved in making the certification decision.</p> <p>b) Previous Assessments (if applicable): Summary of previous certification assessments and conclusion, with recommendations or non-conformances.</p> <p>c) On-site Visits:</p>
Scope	<p>A clear description of the scope of the assessment including the supply chain model(s) used.</p> <p>The version of the RSPO Supply Chain Certification Systems the operation was</p>

<i>Description of Operation's management system</i>	A clear description of the organizational systems, management systems and operational systems to ensure compliance with the RSPO Supply Chain Certification Systems
<i>Certified volume purchased and claimed</i>	Confirmation of the company's summary of annual certified volume of RSPO certified palm oil or palm kernel oil over a specified period.

The following information must be included in the Supply Chain Certification Report

For the Mill

Mill capacity (in terms of producing CSPO) is reported in the front page of the report. Records of certified FFB received on monthly basis

Records of CSPO and certified PK produced

Records of CSPO and certified PK sold (under GreenPalm and UTZ system) to each buyer

For the refinery, manufacturer etc. Record of

raw material purchased/received

Supplier	RSPO certificate Number	Product	UTZ Number	Volume

Record of palm oil product sold

Buyer	RSPO certificate Number	Product	UTZ Number (if applicable)	Volume

Annex 2 : Multi-Site Certification

Criteria for Eligibility

- All facilities included in the multi-site certification shall be represented by a central office
- The central office shall document and implement clear rules regarding eligibility for the participation of sites in the certificate
- Multi-site certification is not restricted to a single country and can be performed across borders

Criteria for Operation

- The RSPO Supply Chain Certification system must be run from one identified facility - Central Office.
- All participating facilities shall have a legal and/or contractual relationship with the Central Office
- A common centrally administered and documented internal control and reporting system shall be used and monitored by the Central Office.
- The Central Office shall appoint a management representative with overall responsibility for ensuring that all operational units comply with the RSPO chain of custody requirements. Internal audits of all sites/operations will be carried out on an annual basis and will be reviewed and recorded at the Central Office.
- Different operations within the multi-site certification will be grouped by Sets. The main Sets will operate a common management system and may be classified as follows:
 - Milling
 - Refining
 - Transport and Distribution
 - Processing (including secondary processing after the refinery)
 - Production (final manufacture of end product)
 - Blending
 - Outsourcing (tank farms etc)
- A sample audit regime will apply for each of the Sets.
- A Central Office audit will also be conducted at least once per annum, depending on the complexity of the certification.

Certification

- Certificates of compliance to this RSPO SCCS Multi-Site Certification System will be awarded to companies who have been audited by the Certification Body and who have demonstrated full compliance with this system.
- The certificate will be issued in the name of the Central Office, listing all other companies/operations/sites.
- Certificates will be valid for a period of 5 years and subject to annual surveillance.

Sample Audit Formula (Based on FSC-STD-20-011, Section 5)

This is the suggested audit sample - it may be increased or decreased based on the supply chain models employed and the complexity and risk associated with the operations. A risk assessment will be carried out by the auditor.

All sites shall be audited within the 5 year certification period.

Initial Assessment

Square Root of the total number of sites, rounded up to a whole number for each Set x 0.8, plus Central Office

Surveillance

Square Root of the total number of sites, rounded up to a whole number for each Set x 0.6, plus Central Office

Re-Certification

Square Root of the total number of sites, rounded up to a whole number for each Set x 0.8, plus Central Office

Sample Examples: Initial Assessment A company has an integrated supply chain that is looking for initial assessment as follows:

- 1 Head Office = annual surveillance
- 4 mills = square root of 4 = 2 = 2 sites per year
- 10 refineries: square root of 10 = 3.16 rounded up = 4 sites per year
- 27 food manufacturers: square root of 27 = 5.20 = 6 sites per year.

Therefore in total this company would be audited 13 times a year including head office.

Surveillance

In case the certificate has a lifetime longer than five years, the sampling for surveillance can be as follows:

- 1 Head Office = annual surveillance
- 4 mills = square root of 4 = 2 x 0.6 = 1.2, rounded up = 2 sites per year
- 10 refineries: square root of 10 = 3.16 x 0.6 = 1.89, rounded up = 2 sites per year
- 27 food manufacturers: square root of 27 = 5.20 x 0.6 = 3.12, rounded up = 4 sites per year.

Therefore in total for this company would be audited 9 times a year including the central office.

Annex 3 : CERTIFICATE- Template

Based on an audit according to the regulations stated in the RSPO Supply Chain Certification Systems, version [month, year], and a signed contract, [Name CB] herewith certifies that the facility(s) listed below are found to be in compliance with the RSPO Supply Chain Certification Systems, version [month, year]. This guarantees that the criteria for processing RSPO certified sustainable palm oil and palm kernel oil through one or more of the supply chain models as stated in the RSPO Supply Chain Certification Systems have been met.

Certificate holder information

Name: [company name]	RSPO member number: [x digits]
Address of operation certified: [company address]	
Contact details of management representative responsible for overseeing the certification process: [contact details],	
RSPO registered parent company*: [company name], [(RSPO member number)]	

** Name of the RSPO registered member company of which the certificate holder is a subsidiary (if applicable).*

Certificate information

Name(s) of certified facility(s) included:[name(s)].....

Summary report, including brief description of the scope of assessment:

Supply chain model(s) assessed*:

- Identity Preserved
- Segregation
- Mass Balance

Validity of certificate starts: [date/month/year]

Validity of certificate ends:[date/month/year]

Date of first RSPO certification: [date/month/year]

** Select applicable box(es)*

Issued by

Name of the CB:[name]

CB Certificate number:

Issue date of certificate: [date/month/year]

Lead auditor:[name]

Signature lead auditor:

[Name CB] is accredited for ISO/IEC Guide 65: 1996 and approved by RSPO on xxxx.

This certificate remains property of [Name CB] and can be withdrawn in case of terminations as mentioned in the contract or in case of changes or deviations of the above-mentioned data. The licensee is obliged to inform [Name CB] immediately of any changes in the above-mentioned data. Only an original and signed certificate is valid.

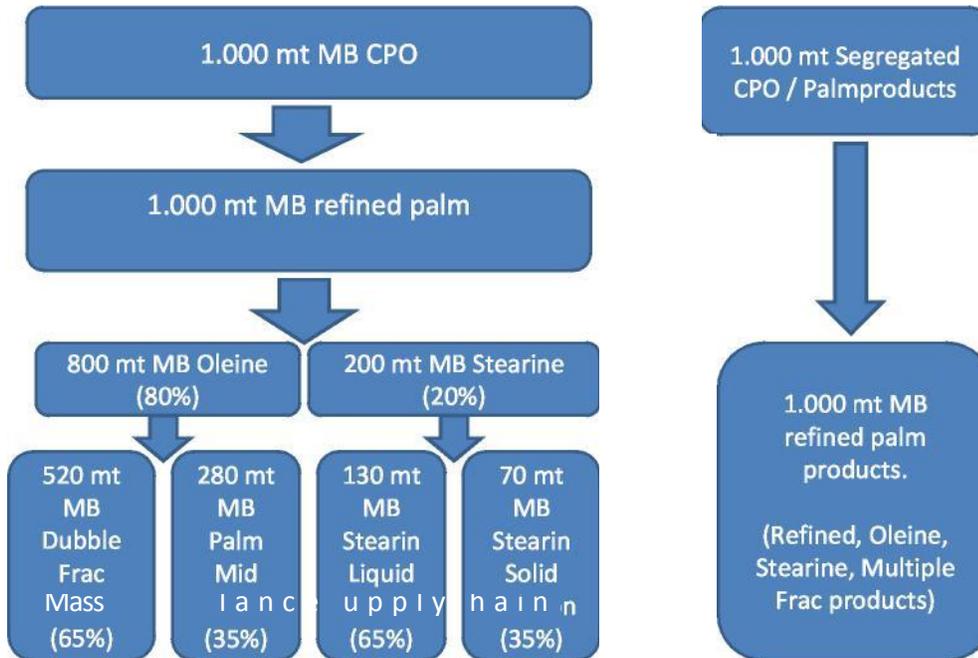
** Select the applicable ISO Guide(s) that applies
Body]*

[Logo or Name of Accreditation

Annex 4 : Yield Schemes

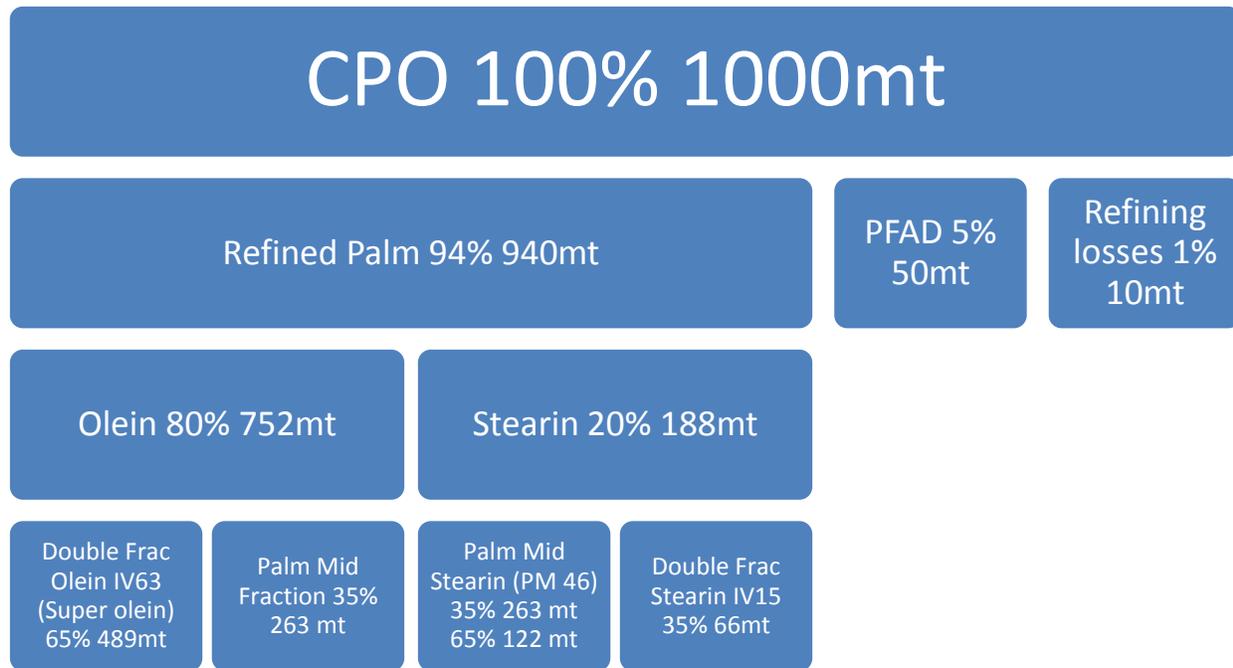
Annex 4.1 Mass Balance Supply Chain Model Yield Scheme

The values shown in the Mass Balance Supply Chain Model below are fixed and cannot be modified.



Annex 4.2 Segregated Supply Chain Model Yield Scheme

The percentages in the Segregated Supply Chain Model below are indicative and operators may adjust the values within a bandwidth of + and - 2%.



Annex 4.3 Palm Kernel Mass Balance Yield Scheme

Companies that purchase Mass Balance sustainable palm kernel products shall use the following harmonized yield scheme to calculate how much Mass Balance sustainable products they can sell or claim:

100 mt palm kernels > 45 mt palm kernel oil > 15.8 mt PKO stearin + 29.2 mt PKO olein.

Companies that purchase segregated sustainable palm kernel products can choose either of two options to calculate how much sustainable palm kernel products they can sell or claim:

1. Apply the Segregated claim to all subsequent derivatives;
2. Use the purchase of segregated palm kernel products to offset sales of equal volumes of specific Mass Balance palm kernel derivatives (not necessarily derived from the segregated product acquired).

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