



SMALLHOLDER-FRIENDLY MANUAL FOR SOCIAL AND ENVIRONMENTAL IMPACT ASSESSMENT (SEIA) TOOL

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DISCLAIMER STATEMENT

To ensure consistency with the New Planting Procedure (NPP) for Smallholders document and/or any other related documents, the term '**planting**' in this document, may be used interchangeably with the term '**development**'.

New oil palm planting or new oil palm development is defined as planned or proposed planting (e.g. land clearing and preparation, including any associated development) on land not previously cultivated with oil palm.

For reference, users are encouraged to refer to the NPP 2015 document glossary for the correct interpretation of terms used in this document.

INTRODUCTION

SMALLHOLDER-FRIENDLY SEIA TOOL

This document is a simplified manual explaining how the smallholder-friendly Social and Environmental Impact Assessment (SEIA) tool works. To obtain RSPO certification, oil palm smallholder groups are required to conduct a simplified SEIA. To do so, this smallholder-friendly SEIA tool has been developed.

This tool consists of 2 parts:



A survey to assess the potential social and environmental impacts of the smallholder groups ([Smallholder Survey](#), [Group Manager Survey](#))



An [app](#) to develop a SEIA management plan

1. Smallholder-Friendly SEIA Survey

A SEIA survey has been developed to assess the potential social and environmental impacts of the smallholder groups.

Responsibility

The smallholder group manager is responsible for the correct application of the smallholder-friendly SEIA tool. The survey should be filled out in participation with the smallholder groups and in consultation of the affected parties and other relevant stakeholders.

The survey tool has two different versions:

1. **SEIA Survey for Smallholders.** This survey will be filled out by all smallholders. The results generated from this survey will be collated into universal/ general answers for each questions that in turn will accommodate the general manager's survey.
2. **SEIA Survey for Group Managers.** This survey should be filled out by the group manager only. Based on the findings from this survey, a management plan will be developed.

Applicability of Survey

The right application will be determined based on the questions asked at the beginning of the survey. This smallholder-friendly SEIA survey is applicable for independent smallholder groups in four distinct situations:

- | | | | |
|--|--|---|---|
| a.
Smallholder-friendly SEIA for smallholder group certification – to apply for RSPO certification | b.
Smallholder-friendly SEIA for new planting (more than 50 hectares (ha) but less than 500ha) – to apply for new planting | c.
Checklist for a small area of new planting (less than 50ha in 3 years' time) – to apply for new planting | d.
Checklist for smallholders with total accumulated land area more than 500ha (as a result of expansion or new members joining) – to assess for cumulative effects |
|--|--|---|---|

General Instructions

Please follow the instructions as indicated in the survey. The following details are required when completing the survey:

- Smallholder group name
- SEIA number (provided by the group manager)
- Size of current plantations in ha
- Smallholder name
- Details of the address

The survey can be saved during the stage and continued with at a later moment. If you wish to resume the survey at a later moment, please ensure that you use the same device, otherwise, errors could occur or you may lose data. If this is the case, please contact admin@rspo-seia.org for support. The survey cannot be submitted until all required questions have been answered.

The survey requires several forms of evidence (observations, maps, legal documents) to validate your answers. These can be uploaded after all survey questions are answered in the smallholder-friendly SEIA app. Please note that the survey is not considered as complete until all evidence has been uploaded and submitted.



It is very important that you save your password, otherwise you will not have access to the app. For revisiting assessors / smallholders, please enter the same password as previously used.

2. SEIA Tool App

The SEIA tool app is used to collect the information gathered in the survey and to develop a management plan. The SEIA tool app can be accessed [here](#).

The app can be used for the following:

01.



Downloading the report of the SEIA-assessment

Click/Tap 'Report'

02.



Downloading the management plan of the SEIA-assessment

Click/Tap 'Management Plan'

03.



Uploading the evidence needed for the SEIA-assessment

Click/Tap 'Evidence Upload'

04.



As an overview of submitted surveys by the smallholders

Click/Tap 'Smallholder Table'



General instruction for group manager:

To continue, please enter your assessor's name, your password, and the SEIA number on the left side. If you have forgotten your password, please write an email to admin@rspo-seia.org, and include your name (as written in the survey), the survey number, and the name of the smallholder group.

2.1. Report

In this tab, you will find a report with the results of the SEIA survey. This report is automatically developed based on the answers given in the survey. The report includes the details of the SEIA application such as location, size of land, and the reason for conducting this survey. For each of the social and environmental issues, a summary of the answers and scores indicating the risk level will be given (ranging from 'No Risk' - green, 'Minor Risk' - orange, 'Large Risk' - red).

The SEIA report can be downloaded by clicking the button 'download SEIA report' on the left side of the app.

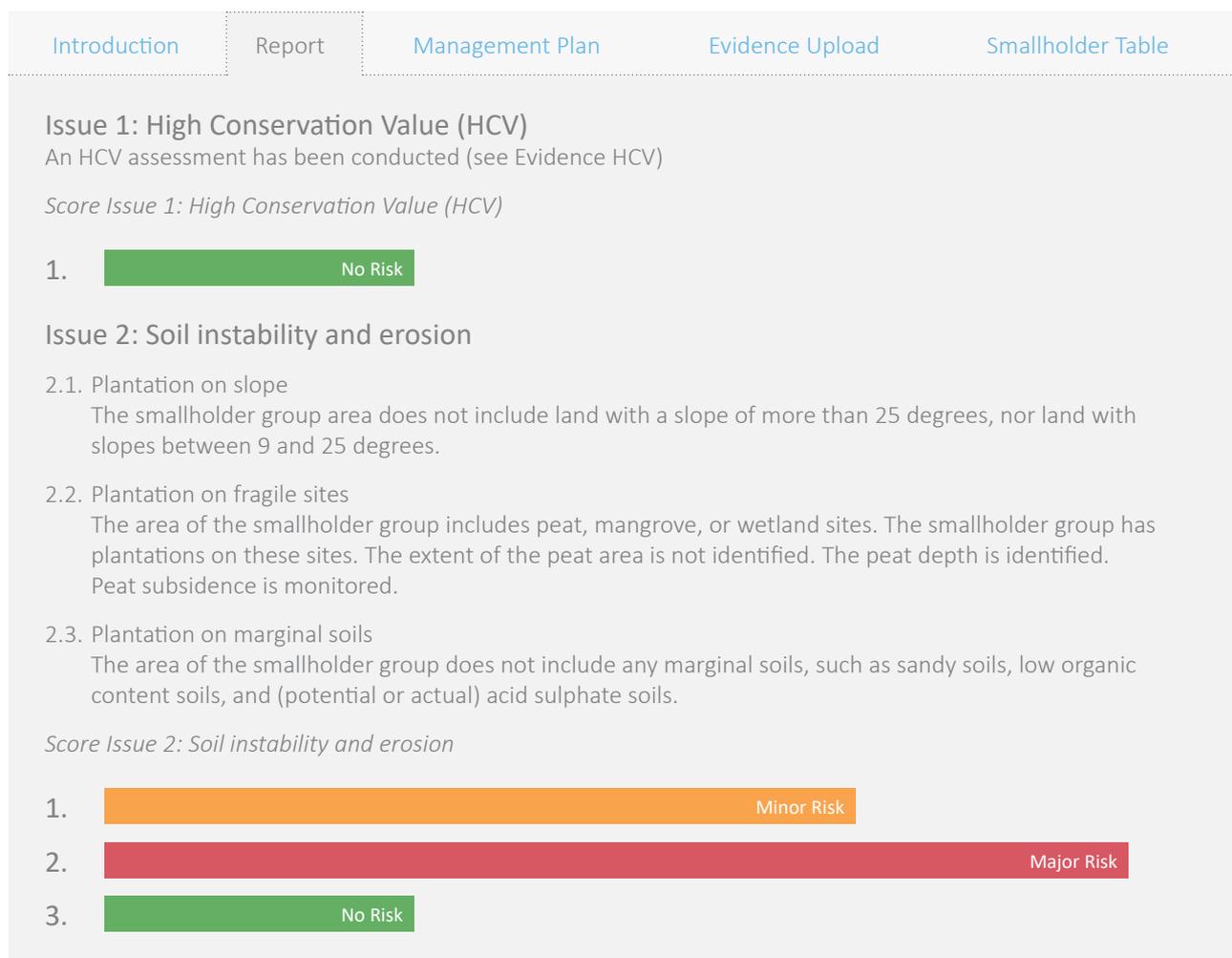


Figure 1: Example of SEIA report

2.2. Management Plan

To obtain RSPO certification, smallholder groups need to conduct a smallholder-friendly SEIA assessment. This is done by the group manager using the [SEIA survey](#). Based on the outcomes of the survey, potentially negative social and environmental impacts will be identified. To avoid or mitigate these negative social and environmental impacts, a management plan has to be developed. The smallholder-friendly SEIA management plan will include operational and planning procedures to avoid or mitigate the adverse impacts.

A management plan will be automatically developed based on the outcomes of the survey. In the management plan, the following aspects are provided:

- Issue (gives a description of the issue)
- Problem (gives a summary of the problem)
- Action (what needs to be done to avoid/mitigate the adverse impact)
- Person in charge (who is responsible for the execution of the activity)
- Whom (for whom is this activity applicable e.g. all smallholders, RSPO group manager etc.)
- Timeframe (when the activity should be carried out)
- Smallholder name (indicates the problem identified with a particular smallholder)

In the app, the management plan can be found after entering the assessor's name, password and SEIA number on the left side.

The SEIA management plan can be downloaded by clicking the button 'download SEIA Management Plan' on the left side of the app.

Introduction	Report	Management Plan	Evidence Upload	Smallholder Table		
<h3>Social and Environmental Impact Assessment (SEIA) Management Plan</h3> <p>The SEIA management plan includes operational and planning procedures to avoid or mitigate any potentially negative social and environmental impacts. For all issues identified during the SEIA, mitigation actions are developed to avoid, reduce, or offset negative impacts.</p>						
Issue	Problem	Action	Person in Charge	For Whom?	Timeframe	Smallholder Name
2.1: Slopes	Planting on lands with slopes more than 25 degrees ('steep slopes')	Ensure all smallholders avoid future expansion on slopes over 25 degrees through training, posters, and/or regular checks of expansion	Group Manager	All smallholders	Continuously	Ketut
2.2: Fragile Soils	Planting on peat soils, mangroves or wetlands	Smallholders are trained on risks of planting on fragile soils; and respective available Best Management Practices (BMPs) for planting on fragile soils	Accredited Trainer	At least two smallholders per farmer's group located on or near fragile soils	Training is given within 6 months of SEIA completion	Ketut
		Ensure all smallholders avoid future expansion on fragile soils through posters and/or regular checks of expansion	RSPO Group Manager	All smallholders	Continuously	Ketut
	The extent/size of peat is not identified/known	Conduct identification of the extent/size of peat	RSPO Group Manager	Smallholders located on peat	Extent/size of peat to be identified within 3 months of SEIA completion	Ketut

Figure 2: Example of SEIA Management Plan

Responsibility

The smallholder group manager is responsible for the development and implementation of the smallholder-friendly SEIA management plan. For the development of the SEIA management plan, the members of the smallholder group should be included.

Group managers must provide:

- A documented SEIA report, which will be automatically produced after the survey has been completed (can be downloaded from the app).
- A documented SEIA management plan (can be downloaded from smallholder-friendly tool app).

The auditor will check the quality of the SEIA management plan after having been conducted, as follows:

1. For smallholder groups that apply for RSPO certification: The auditor will check the SEIA report as part of the pre-certification audit, which is in line with the checklist for RSPO Management System Requirements and Guidance for Group Certification of Fresh Fruit Bunches (FFB) Production 2016. The management plan will also be checked, if there are any 'red lights' found in the SEIA report.
2. For smallholder groups that have been certified and want to undertake new plantings / expansion: The auditor will check the SEIA report as part of the annual audit, in accordance with the new planting procedures (NPP, 2015). The management plan will also be checked, if there are any 'red lights' found in the SEIA report.



Please note that the SEIA management plan is not considered complete until all evidence has been uploaded and submitted!

2.3. Evidence Upload

In this tab, the group manager can upload all the necessary evidence to verify the answers given in the survey. For each issue, the required evidence is indicated. Evidence can be uploaded by clicking on the 'browse' button and selecting the relevant document from your computer. The uploaded evidence can be viewed by clicking the 'show file' button.

A complete list of the required evidence for each smallholder group can be found on the left side of the app. All evidence can also be downloaded by clicking the button on the left side.

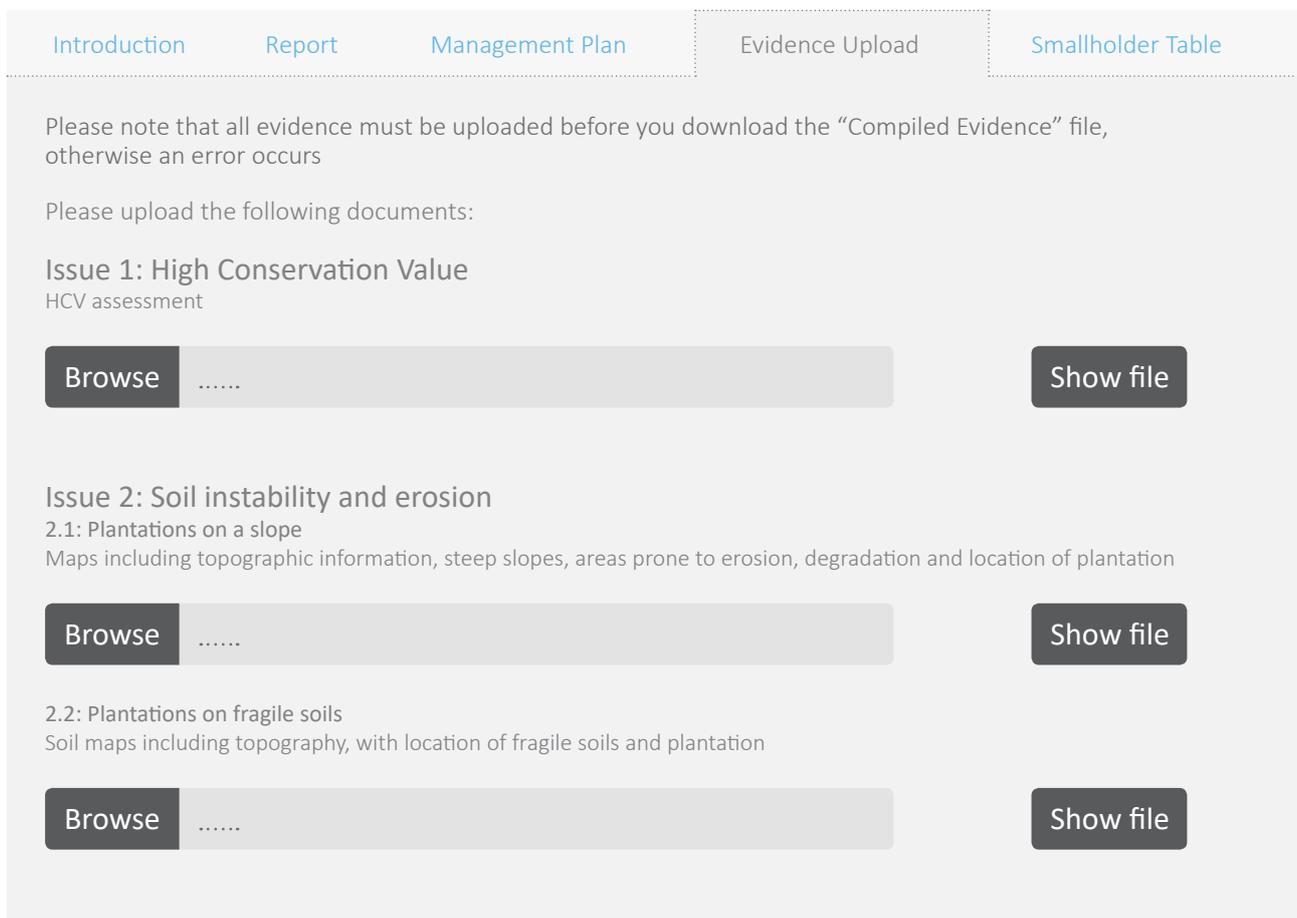


Figure 3: Example of Evidence Upload Tab

2.4. Smallholder Table

In this tab, you will find an overview of the smallholders who have submitted surveys, including their name and the size of their plantations.

Smallholder Name	Size of the Plantations (ha)
Ali	0.50
Wayan	42.00
Ketut	23.00
Total	65.50

Figure 4: Example of Smallholder Table

APPENDIX 1: Test SEIA Survey and APP Text Introduction Survey

Welcome to
the Social and
Environmental
Impact Assessment
(SEIA) Survey!



Smallholder-Friendly SEIA Tool

To obtain RSPO certification, oil palm smallholder groups are required to conduct a simplified Social and Environmental Impact Assessment (SEIA). To do so, this smallholder-friendly SEIA tool has been developed.

This tool consists of 2 parts:

1. A survey to assess the potential social and environmental impacts of the smallholder groups ([this is where you are now](#)).
2. An **app** to develop a SEIA management plan.

Responsibility

The smallholder group manager is responsible for the correct application of the smallholder-friendly SEIA tool. **The survey should be filled out and developed in participation with the smallholder groups and in consultation with the affected parties and other relevant stakeholders.**

Applicability

The right application will be determined based on the questions asked at the beginning of the survey. This smallholder-friendly SEIA is applicable for independent smallholder groups in four distinct situations:

1. Smallholder-friendly SEIA for smallholder group certification - to apply for RSPO certification;
2. Smallholder-friendly SEIA for new planting (more than 50ha but less than 500ha) – to apply for new planting
3. Checklist for a small area of new planting (less than 50ha in 3 years time) – to apply for new planting
4. Checklist for smallholders with total accumulated land area more than 500ha (as a result of expansion or new members joining) – to assess for cumulative effects.

Implementation of the Tool

According to the RSPO Principle and Criteria (P&C) 2013, this smallholder-friendly SEIA tool includes the following aspects:

- Assessment of the impacts of all major planned activities, including planting, mill operations, roads, and other infrastructure;
- Assessment, including stakeholder consultation of HCVs that could be negatively affected;
- Assessment of potential effects on adjacent natural ecosystems, including whether development or expansion will increase pressure on nearby natural ecosystems;
- Identification of watercourses and wetlands and assessment of potential effects on hydrology and land subsidence of planned developments;
- Assessment of potential effects on steep slopes, marginal and fragile soils, areas prone to erosion, degradation, subsidence, and flooding;
- Analysis of the type of land to be used (forest, degraded forest, cleared land);
- Analysis of land ownership and user rights;
- Analysis of current land use patterns;
- Assessment of potential social impacts on surrounding communities;
- Assessment of activities that may generate significant green house gases (GHG) emissions.

This smallholder-friendly SEIA includes a simple check as to whether a HCV assessment has been carried out. The HCV assessment and its requirements are not covered in this document but in the separate HCV procedures for independent smallholder farmers (ISHFs) for 5.2 (applicable as of January 2016) and 7.3 (in development). An explanation of when the 5.2 and 7.3 HCV procedures apply is given in the Introduction to Simplified HCV approach procedures.

Evidence

During the smallholder-friendly SEIA survey, the following types of evidence will be asked:

- Observations
- Brief interviews
- Maps (topographic information, soil information, location of plantings, waterways)
- HCV assessment document
- Photos
- Incidents reports (of farms)
- Ownership documents

Observations have to be done while filling out the survey. Other forms of evidence can be uploaded after the survey questions have been answered in the smallholder-friendly [SEIA app](#). Please note that the survey is not considered complete until all evidence has been uploaded and submitted.

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Please also note that the survey cannot be submitted until all required questions have been answered.

■ Text Introduction SEIA Tool App

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SEIA Tool App!



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Text Introduction Smallholder-Friendly SEIA Management Plan (Tab Management Plan)

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The management plan can be found below (after entering the assessor's name, password, and SEIA number).



Please note that the SEIA management plan is not considered complete until all evidence has been uploaded and submitted!

The RSPO is an international non-profit organisation formed in 2004 with the objective to promote the growth and use of sustainable oil palm products through credible global standards and engagement of stakeholders.

www.rspo.org

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