

Guidance Document for Smallholders on Managing High Conservation Values (HCVs) in Established Oil Palm Plantations

Existing Plantings (Phases 3 and 4)

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Values (HCVs) in Established Oil Palm Plantations (Existing Plantings

Phases 3 and 4)

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# Preamble

This precautionary practices procedure outlines a simplified HCV approach for smallholders and provides specific guidance for Phases 3 and 4 of the procedure. It is applicable for already established oil palm plantings.

The approach is based on and unifies previous work on HCV methodologies for smallholders by Conservation International (CI), the HCV Resource Network (HCVRN) and the SHARP Programme. In February 2015, both the Biodiversity and HCV (BHCV) Working Group and the Smallholder (SH) Working Group endorsed the controlled field testing of a unified, simplified HCV approach that merges elements of the HCVRN and CI methodologies. Trials with partners, coordinated by SHARP and the HCVRN, were conducted at four (4) different sites in Ghana, Honduras, Indonesia and Tanzania. RSPO has also conducted field trials based on the HCV methodologies developed by CI, with partners in Thailand, Indonesia, Malaysia and Ghana.

A task force with members from both RSPO working groups was established in March 2015 to oversee further development of the process. The results of the field testing were discussed with the task force and input was also solicited through individual consultation with most members of the task force.

The final smallholder procedures for meeting the RSPO requirements for existing plantings described in this document, were endorsed by the BHCV and SH Working Groups in November 2015; and were updated in April 2018 to take into account the fact that an app is now available to guide users through the procedure, and again in February 2022 to address the applicability of the document for both independent smallholders and scheme smallholders.

#### Is this the right document for you?

This document is a manual explaining the steps in Phases 3 and 4 of the RSPO Simplified HCV Approach for **existing oil palm plantings**. You should have completed Phases 1 and 2 (as explained in the 'Guidance Document on the Simplified High Conservation Value (HCV) Approach for Smallholders in the RSPO - Introduction Document (Phases 1 and 2)') before using this manual.

If there are group members planning to expand their plantations, this manual is not applicable to them. For those members, the new plantings process outlined in the 'Guidance Document on the Simplified High Conservation Value (HCV) Approach for Smallholders in the RSPO - HCV Procedures for New Plantings (Phases 3 and 4)' must be applied.

# Box 1: What process should I follow for existing certified plantations with new expansion?

If you have already completed certification for existing plantings for your members and you know that they now want to expand, you can proceed to the Guidance Document on the Simplified High Conservation Value (HCV) Approach for Smallholders in the RSPO - HCV Procedures for New Plantings (Phases 3 and 4).





# Are you coming here from the new plantings Phase 3 process?

If you are coming here from the new plantings Phase 3 process for guidance on managing and monitoring HCVs in newly established plantings, please proceed to Phase 4, Step 2 'Dialogue'.

All additional guidance for group managers who have applied the new plantings process outlined in the Guidance Document on the Simplified High Conservation Value (HCV) Approach for Smallholders in the RSPO - HCV Procedures for New Plantings (Phases 3 and 4), is presented in boxes in this document.

#### I have already started the certification process, what should I do?

The RSPO recognises that some groups may have already been certified or have started the certification process for some members. In this case you can either:

- Start at Phase 2 in the Guidance Document on the Simplified High Conservation Value (HCV)
  Approach for Smallholders in the RSPO Introduction Document (Phases 1 and 2): using the mobile
  application to map members' farms and then the dashboard to generate a map and list of the
  members; or
- 2. Proceed to existing plantings Phase 4 to implement precautionary practices [Guidance Document for Smallholders on Managing High Conservation Values (HCVs) in Established Oil Palm Plantations (Existing Plantings Phases 3 and 4)].

We strongly recommend to use Option 1, because the map and list of members that are part of the app may be useful when implementing precautionary practices (existing plantings Phases 3 and 4). Another advantage is that new members or members that decide to expand can easily be added to the app and the web dashboard.



# Section 1: Background

Costs and logistics prohibit smallholders and farmers from getting certified as individuals. To overcome these barriers, RSPO has developed specific procedures for certification of smallholders organised in associations, cooperatives or other groups. Groups may consist of independent smallholders (self-organised or grouped together and supported by NGOs or other third parties) wishing to be certified through the 2019<sup>1</sup> RSPO Independent Smallholder Standard (RISS), or groups of smallholders applying the requirements of the 2021 RSPO New Planting Procedure (NPP).

To get certified, growers must comply with the RSPO Principles and Criteria (P&C). Meeting requirements related to the maintenance of High Conservation Values (HCVs) has proven to be particularly challenging. The precautionary practices approach outlined in this document forms a set of simplified, yet robust procedures for identification, management and monitoring of HCVs within plantations, designed to allow smallholders to comply with Criterion 7.12 (2018 RSPO P&C) and Criterion 4.1 (2019 RISS).

**Criterion 7.12 (2018 RSPO P&C):** Land clearing does not cause deforestation or damage any area required to protect or enhance High Conservation Values (HCVs) or High Carbon Stock (HCS) forest. HCVs and HCS forests in the managed area are identified and protected or enhanced.

**Criterion 4.1 (2019 RISS):** High Conservation Values (HCVs) on the smallholder plot or within the managed area and High Carbon Stock (HCS) forests identified after November 2019 using the simplified combined HCV-HCS approach, are managed to ensure that they are maintained and/or enhanced.

Implementation assumes that an organised smallholder group exists, or that a group is being organised in line with the RSPO requirements for certification. Group managers play a key role in the process, requiring:

- Capacity to operate an effective system for management and decision-making.
- Skills to reach out and communicate with group members in speech and writing and to organise training where necessary.
- Capacity to visit group members and monitor their compliance with the RSPO standard.

Since HCV areas will be found unevenly distributed across the lands of group members, the costs of management (and in particular the avoidance of land clearance) may fall unevenly on members. Group managers must work with members to develop agreements about how the costs of management and monitoring are to be shared among members. Groups of independent smallholders implementing the precautionary practices approach may apply for assistance from the RSPO Smallholder Development Fund.

The precautionary practices approach, as outlined in this document, applies to groups of independent smallholders undergoing certification against the RSPO Independent Smallholder Standard. Managers of smallholder groups, undergoing certification against the RSPO P&C, are required to address Criterion 7.12 through ordinary HCV assessments as part of the company/mill responsibility.

<sup>&</sup>lt;sup>1</sup> The HCV app was previously developed to assist independent smallholder (ISH) groups in carrying out the HCV assessment for compliance towards the 2013 P&C HCV requirements. With the adoption of the 2019 RSPO ISH Standard, the HCV app is currently being used as part of the interim measure while the simplified combined HCV-HCS approach is being developed as per the requirement in the 2019 RSPO ISH Standard.



# Section 2: Overview

The precautionary practices approach is designed for use by smallholders in low risk contexts, defined here as all established smallholder holdings with no new clearing of natural vegetation for new plantings<sup>2</sup>. In such contexts, site-bound HCVs were most likely lost when the lands were originally converted to cultivation. The scale of operations is also small by definition, and compliance with precautionary practices as outlined in this document, and other provisions in the RSPO standard, helps to mitigate threats to remaining HCVs. Therefore, precautionary practices are considered to be applicable without the need for further risk assessments<sup>3</sup>.

Much like more formal HCV assessments, the application of precautionary practices starts with scoping and identification of potentially present and affected HCVs. The difference is that, instead of verifying the presence or absence of HCVs through assessments in the field, values are validated through dialogue with group members. Values that are not conclusively absent are assumed to be present in line with the precautionary principle.

The existing plantings precautionary practices are a continuation of the simplified HCV approach, and build on Phases 1 and 2 covered in the Introduction document. Phase 1 involves initial communication with group members about HCVs, and Phase 2 involves registering farmers in the mobile application and determining whether the existing or new plantings procedure applies. This document explains the steps in Phases 3 and 4 for existing palm plantings:

- Phase 3: Complete the existing plantings survey to map/register members' existing palm plantings, and use the dashboard to create a list and map of these farms.
- Phase 4: Implementation of precautionary practices through scoping, dialogue and verification steps.

#### Section 3: Phase 3 – Information collection

Phase 3 involves collecting further information on established/existing plantings, and generating a list and map of the plantings using the dashboard.

### 3.1 Step 1: Complete existing plantings field survey

This step must be completed for all members in the group with existing palm plantings, either by the group manager or by a designated representative/'lead farmer' (the group manager or designated representative/'lead farmer' will be referred to as 'you' in this document). The existing plantings field survey can either be a continuation of the site visit started in Phase 2, or it can be completed separately at a later time.

For each existing plot of palms, one (1) existing plantings survey must be completed in the app. A plot is defined as one (1) continuous block of land. A farmer may own multiple plots, e.g. if a farmer owns three

<sup>&</sup>lt;sup>3</sup> Over and beyond what the RSPO group certification procedures require to identify appropriate intensity of auditing – see Section 4.2.



<sup>&</sup>lt;sup>2</sup> New plantings established since November 2005 without prior HCV assessment also need to comply with the RSPO requirements on land use change analysis and procedures for remediation and compensation.

(3) separate plots of land planted with palms, the survey needs to be completed three (3) times. If the plots are relatively close together, you can complete the survey once.

To start the survey for each plot with existing palms, open and log in to the app. Then tap 'Start Survey', select the farmer in question, select 'Existing Plantings Survey' and tap 'Next'. Now proceed to answer the questions in the app.

#### Box 2

- Note that the existing plantings survey is NOT intended to identify HCVs.
- The purpose of the survey is to map the land and collect initial information about ownership status and year of planting.
- Identification of potentially present HCVs is done during existing plantings Phase 4.

You have now completed Step 1, including all necessary field data collection. Make sure that you tap 'Save' after completing the app survey for each group member.

If you have access to the internet or a decent mobile signal in the field, you can upload the completed surveys to the dashboard by clicking on the 'Submit Survey' button. If you do not have access to the internet or a decent mobile signal, then proceed to Step 2.

### 3.2 Step 2: Upload data to the dashboard

You can now upload the data from all completed field surveys to the dashboard. Your device must have a decent mobile signal or be connected to the internet to complete this step; it will automatically submit surveys when there is a strong enough connection.



Caution: Uploading the data from the survey using mobile data might incur charges or use up your data allowance.

To make sure that the completed surveys have been submitted, you can navigate to the homepage of the app, tap on 'Recent Field Surveys', then tap on each farmer to see if there are any 'Drafts'. If no, then they should have been submitted.

# 3.3 Step 3: Download the list of farmers and maps from the dashboard

This step is to be completed by the group manager.

You can now review the aggregated field data and download a summary report (including maps) and shapefiles of all plots. This is done using the 'dashboard'. We recommend switching from your mobile/tablet device to a laptop or computer because it is easier to view the dashboard information on a larger screen (not essential). The steps are as follows:

- 1. Open a web browser and go to the link: https://hcv-sh-apps.rspo.org/dashboard/login
- 2. Log in to the dashboard with the same username and password used previously
- 3. Once logged in, all the survey data collected in the field (existing and new plantings data) can be viewed on the 'homepage'. For Phase 3 of existing plantings, you will only need to view the 'Manage Existing Plantings Surveys' page.
- 4. Export the existing plantings report or shapefile by selecting the date range of surveys to export and then clicking on either 'Export Existing Plantings Report' or 'Export Existing Plantings Shapefiles'.



The exported report includes a list and maps of all existing plantings plots that were mapped, the name of the farmer, evidence of land ownership (where applicable) and information on the year of planting. This information may be useful during the certification process.

# Section 4: Phase 4 - Precautionary practices

Phase 4 is the actual implementation of precautionary practices, to be started upon completion of Phase 3.

#### 4.1 Step 1: Scoping

# 4.1.1. Identify the smallholder landscape

Basic RSPO group certification procedures require group managers to identify the geographical area covered by

Note: You can use the report, maps and shapefiles produced in Phase 3 for Phase 4; this documentation is to be presented during the certification process.

group members, and list the name, location, holding size and projected fresh fruit bunch (FFB) production of each group member. These data are also essential for planning group meetings and other outreach activities related to HCVs, as well as for efficient monitoring. Group managers are required to document land titles and/or rights to use the land for all members.

Additional scoping useful for implementing precautionary practices includes identification of communities that may have usage rights or claims that overlap with those of group members.

Group managers are also recommended to identify mills in the area, key entities and organisations with a legitimate stake in the management of HCVs (e.g. local authorities, Forest Service, Protected Area Rangers and NGOs).

Group managers should also familiarise themselves with features and properties of the wider landscape that may affect occurrence, management and maintenance of HCVs, such as protected areas and remaining larger tracts of forests and other natural ecosystems.

### 4.1.2 Identify basic ecosystem services and resources

Prepare background information and materials for discussions with group members about basic ecosystem services and resources (HCVs 4-6) potentially affected by smallholder activities.

Indicator	No	Yes
a) River or lake water important for drinking/washing/fishing?		
b) Presence of undrained wetlands or peat areas <sup>4</sup> ?		
c) Presence of steep <sup>5</sup> slope(s)?		
d) Permanent or shifting agriculture important for livelihoods?		
e) Products <sup>6</sup> from forests /grasslands/wetlands important for livelihoods?		
f) Sites or resources of cultural or spiritual importance?		

<sup>&</sup>lt;sup>4</sup> Here the emphasis is on the roles of wetlands in regulating water flow and on reducing eutrophication, siltation, etc.



<sup>&</sup>lt;sup>5</sup> Should identified so as to reflect the risk of soil erosion and/or mud-or landslides in the absence of stabilising vegetation.

<sup>&</sup>lt;sup>6</sup> Game, fish, nuts, medicinal plants, etc.

Use the checklist to pre-identify ecosystem services and resources that may be of value to smallholders (and other people living in the landscape). Prepare to discuss:

- Which of these values are important
- Why they are important
- What activities may be threats to these values
- What smallholders can do to avoid or mitigate such threats

### 4.1.3 Identify focal species

Identify nationally protected and other IUCN Red List Rare, Threatened or Endangered (RTE) species (potential HCVs 1 and 3) that are known to occur in the region. Select from these, a subset of 10-15 focal species (or groups of related species) that:

- May be found in smallholder oil palm plantations or landscapes with mosaics of oil palm and natural vegetation.
- May be negatively impacted by smallholder activities.
- Smallholders are familiar with and know how to identify.

Focal species may be iconic, wide-roaming mammals, birds and reptiles that move through or utilise oil palm plantations as part of a larger landscape. They may also be fish or other aquatic animals that are sensitive to siltation of rivers or leakage of pesticides.

Identify the most likely threats to these species, and potential measures to avoid, minimise or mitigate these threats. Prepare pictures of suggested focal species with common names in the local language.

Focal Species/Group	Threats
a)	
b)	
c)	
d)	
e)	

#### 4.2 Step 2: Dialogue



#### Are you coming here from the new plantings Phase 3 process?

If yes, there will be some overlap between this step and the initial communication you have conducted for Phase 1. Phase 1 should have covered most of Sections 4.2.1 and 4.2.2 below, so you can proceed to Section 4.2.3. In Sections 4.2.3-4.2.5, any additional actions required for newly established plantings are identified as additional new plantings guidance.

These additional requirements exist because it is necessary to apply stricter protections for new developments to avoid new impacts on natural ecosystems or social values. In comparison, conversion/planting has already happened in existing plantings, and the focus is therefore on managing existing plantings efficiently.



### 4.2.1 Invite group members to meetings

Schedule and invite group members to meetings. The objective is that, after these meetings, the smallholders will be aware of RTE species and HCVs that may be present in the area, and agree to implement a defined set of precautionary practices designed to maintain HCVs where they occur. The number of participants in each meeting should be limited to 20-25 people in order to encourage active participation. Group managers may need to convene a series of meetings or workshops with subgroups of smallholders to reach out to all members. In situations where there are too many smallholders for group managers to meet with in person, group managers may consider training a subset of lead farmers (e.g. one or two from each village) to undertake further outreach.

# 4.2.2 Raise awareness about certification and High Conservation Values<sup>7</sup>

Before discussing HCVs and measures to maintain them, smallholders need to have a basic understanding of RSPO and the concept of certification. Where this knowledge is not in place, e.g. where the implementation of Criterion 7.12 (2018 P&C)/4.1 (2019 RISS) is part of the process to organise smallholders and apply for a group certificate, certification should be the first point on the agenda for the meetings with smallholders. As RSPO certification is still unfamiliar in most regions, particularly outside of South-East Asia, group managers should take care to avoid raising unrealistic expectations of market-generated revenue (price premiums are unlikely, at least not in the short term), and rather focus on the benefits arising from good practices to the smallholders themselves and to the local environment that they depend on. RSPO has some information materials and presentations that may be of help. Group managers may need to simplify these materials and adapt them to suit the local context, as well as translate them to the relevant language.

Criterion 7.12 (2018 P&C)/4.1 (2019 RISS) requires that oil palm growers maintain any HCVs that may be present on their lands and that they also help to maintain these values in the surrounding landscape. To do so, smallholders need to understand the benefits arising from these values. The content is more important than the packaging, and there is no need to be formal or to insist on 'proper' terminology. In practice, HCVs for smallholders can be defined as:

- Rare and vulnerable animals and plants and their habitats (HCVs 1 and 3)
- Clean water, protection of top soil and protection against landslides (HCV 4)
- Food and other basic resources from forests and other natural ecosystems (HCV 5)
- Sites and resources of cultural or religious significance (HCV 6)

### 4.2.3 Discuss basic ecosystem services and resources and how to maintain them

Discuss and validate the basic ecosystem services and resources tentatively identified by the group manager (Section 4.1.2) and suggest measures to maintain them. The relative importance of HCVs 5 and 6 varies with the context and system of rights and tenure. In principle, smallholders may be expected to maintain such HCVs 5 and 6 that they value and benefit from out of self-interest – where this is the case there should be no need for further rules.

# Box 3: Additional new plantings guidance

For new plantings, members are required to comply with all HCV 4 'No-Go' areas identified in the new plantings report. This includes information on the size of 'No-Go' areas and prescriptions not to plant palms. Any other precautionary practices to be applied in these 'No-Go' areas need to be

<sup>&</sup>lt;sup>7</sup> More information about the HCV concept is available on the HCVN website https://www.hcvnetwork.org/.



agreed upon, based on the list below – example: no use of pesticides and fertilisers, and no dumping of waste.

If the new plantings report has identified potential HCV 5-6 resources or disputes, these should have been largely resolved during the new plantings Phase 3. However, it is recommended to continue regular consultations between the parties after the development of the land, to avoid further disputes.

The following precautionary practices (PPs) are designed to maintain HCV 4 areas where they occur. There is a large overlap with other requirements of the RSPO standard and with good agricultural practices in general. The formulations are generic and group meeting participants should be encouraged to propose changes, and to add precautionary practices where necessary, so that the rules make sense in the local context.

- PP.1 No use of pesticides or fertilisers<sup>8</sup> close to (less than 20 m from) rivers, ponds and lakes.
- PP.2 No dumping of waste or sewage into rivers, ponds or lakes.
- PP.3 Maintain vegetation cover close to rivers, ponds and lakes at all times (no bare soil).
- PP.4 No draining of natural wetlands or peat areas.
- PP.5 Maintain vegetation on steep slopes.
- PP.6 Respect the traditional use/access rights of others.

The table contains a list of generic precautionary practices in a condensed, shorthand format. Such 'do not' formulations are expected to be a final outcome of the discussions with smallholders rather than a recommended starting point – the intentions behind the precautionary practices are to achieve outcomes that are positive for people and nature.

#### 4.2.4 Discuss potentially present focal species and measures to maintain them

Discuss the list of potentially present focal species identified in Section 4.1.3, and validate the presence of each of them in turn. Have the farmers seen these species or noted their presence in other ways? How rare or common are they? When and where were they last seen? Are there other species that should be on the list? Why protect them? What are the main threats? What can smallholders do to minimise these threats?

Group managers should prepare for these discussions with robust arguments for species protection and conservation. Some species perform functions that are (directly or indirectly) beneficial for humans, such as pollination of crops or predation on rats and other competitors – these are the easy ones to argue for. Other, more 'neutral' species, may perform important ecosystem functions; this argument is only valid if a clear case can be made. In such cases, it may be better to point to legal obligations, importance for tourism economy, or in the absence of such rationales, a general aim to maintain the national biodiversity legacy. It is likely the most difficult to argue for the protection of species causing loss of livestock, or even posing danger to people. Such arguments are unlikely to be persuasive unless concrete measures can be taken to minimise or mitigate human-wildlife conflicts.

Ideally, the participants at a meeting will identify threats to species survival and suggest and agree on measures that can be taken to minimise or mitigate these threats. Compare these suggestions

<sup>&</sup>lt;sup>8</sup> Other than mulch/harvest residues.



with the generic precautionary practices outlined below and amend or complement these as necessary.

- PP.7 Do not hunt or kill focal species.
- PP.8 Do not buy, handle or eat bush meat of focal species.
- PP.9 Do not collect or trap focal species or use poison that may affect them.
- PP.10 Use human-wildlife conflict resolution measures as agreed upon with group manager.
- PP.11 Do not block access<sup>9</sup> or mobility of wild animals (beyond necessary fencing of livestock).
- PP.12 Do not clear land for any new plantings without prior agreement of the group manager<sup>10</sup>.

#### Box 4: Additional new plantings guidance

For new plantings, members are required to comply with all HCV 1-3 'No-Go' areas identified in the new plantings report. It is vital that members do not plant palms in these 'No-Go' areas or convert them for other uses — natural vegetation must be maintained. Members should agree on any other precautionary practices that should be applied in these 'No-Go' areas, based on the list below, and possible additional measures. These may include occasional monitoring of the areas to make sure that other people are not hunting, harvesting timber or clearing the areas.

Group members may be disappointed if some or all of their proposed expansion plot is a 'No-Go' area. In these cases, you must remind them that they may not be able to get certified if they clear 'No-Go' areas. If such members have other land, without forest or natural vegetation, you can suggest that they consider planting palms there instead (after following the new plantings HCV procedure for that area). If they do not have such land, you should consider supporting them in increasing yields of their established palms. You could also ask the RSPO for advice on possible compensation opportunities for smallholders that forego expansion opportunities.

#### 4.2.5 Agree on the final list of precautionary practices

Revisit, consolidate and agree on an outcome of the meetings, including final lists of focal species, ecosystem services, and agreed precautionary practices. For these to be robustly implemented (as required for certification), each smallholder in the group needs to know what to do, when and why. Discuss and agree on systems for self-verification and monitoring to make sure all group members follow the rules (see below).

Whilst the group manager responsibilities are limited to reach out to and support group certificate holders, the purpose of group certification and the agreed set of precautionary practices should also be communicated to other, non-member farmers where feasible. This serves to increase awareness and promote better practices at the landscape level and to help minimise friction between group members and non-members. Wider outreach may also encourage more farmers to join the group.

<sup>&</sup>lt;sup>10</sup> Such clearing is addressed by Criterion 7.12.1 and is outside the scope of this document. Though redundant in principle, PP.12 is included here to ensure that smallholders are aware of this restriction.



<sup>&</sup>lt;sup>9</sup> Beyond agreed measures to minimise human-wildlife conflicts.

#### 4.3 Step 3: Verification and monitoring

Compliance with precautionary practices is evaluated through a combination of simple smallholder self-verification systems, surveillance audits of compliance by group managers, and third-party certification body audits.

#### 4.3.1 Smallholder self-verification

The basic verification component is self-verification by group members. The smallholders themselves regularly (i.e. monthly or quarterly) tick off compliance with each agreed precautionary practice on a checklist provided by the group manager (the list may be based on pictures or symbols in cases of low literacy). The checklist should also include a simple template for reporting observations of focal species, and for recording threats to focal species and ecosystem services.

# 4.3.2 Surveillance by group managers

Group managers are responsible for validating the accuracy of smallholders' self-documentation through farm visits. This surveillance programme should be part of the Internal Control System required for RSPO group certification, and should include a protocol for auditing farmers' compliance with the precautionary practices.

Group managers shall identify an initial intensity of auditing based on the risk assessment criteria outlined in the RSPO group certification procedures. Indicators of higher risk prompting more intensive surveillance include high proportions of new members, high diversity of group members, high proportions of non-group members in the landscape, competition for supply from non-certified mills, and significant areas of remaining natural vegetation in the landscape. If any of these risk indicators are present, documentation and monitoring need to be in place to ensure that each smallholder does not deliver more FFB than matches the area and productivity of the farm (so that produce is not channelled from unauthorised expansion or from farmers who are not members of the group).

Group managers are recommended to initiate auditing as soon as farmers have started to fill in their self-verification protocols, so that non-conformances can be detected and addressed at an early stage. However, change is a process, and new behaviour may not be established overnight. Thus, initial audits may be considered as opportunities to educate and train non-compliant farmers, as well as to control compliance.

The auditing intensity (sampling frequency) and the focus of the surveillance should be adjusted over time to reflect the observed level of compliance. If there are significant non-conformances, follow-up group meetings may be necessary to further explain and remind members of their commitments and the consequences of persistent non-compliance. Where auditing by group managers cause friction that compromises other relations or interactions with group members, audits may be delegated to other competent parties, as long as the ultimate responsibility remains with the group manager.

# Box 5: Additional new plantings guidance

For HCVs 1-3 and HCV 4 'No-Go' areas identified in the new plantings report, you may need to apply more intensive surveillance, because these areas may face greater threats of conversion or hunting by other people.

You (the group manager) may need to provide extra support to members with large 'No-Go' areas on their land.



Other mobile applications or methodologies that could help monitor conversion or change over time could be used for this purpose. Examples include:

- 1. Tools such as the 'Forest Watcher' mobile app, developed by Global Forest Watch, could be used to easily monitor deforestation or fires in 'No-Go' areas. It is accessible here: http://forestwatcher.globalforestwatch.org/
- 2. The Forest Integrity Assessment tool (FIA) is a simple way of monitoring changes in forest quality over time. It is accessible here: https://www.hcvnetwork.org/library/forest-integrity-assessment-tool-fiat-manual

Surveillance for these 'No-Go' areas should ensure that the areas remain intact, with natural vegetation cover.

# 4.3.3 Evaluate the results of monitoring and take action where necessary

A basic requisite of good surveillance is quality documentation of the results – this is also necessary to demonstrate effective implementation to certification auditors. However, surveillance and monitoring are only meaningful if the results are regularly evaluated and measures are taken to address problems that are identified. A sign of a successful adaptive response is significant improvement with further surveillance and monitoring.



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.

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