



RSPO GUIDANCE

Participation of CB Audit Facilitator in the RSPO audits

25 August 2020

1. PURPOSE

- 1.1. This procedure may be used by the RSPO accredited Certification Bodies (CBs) to perform RSPO remote audit with the participation of one or more Audit Facilitator on-site.
- 1.2. The CB Audit Facilitator can only be used whenever the CB's audit team cannot travel to be on-site to perform the assessment or due to tight quarantine procedures imposed by the authority while site visits and interviews are required.
- 1.3. This process can be used for all types of audits including IC, ASA and RC of the P&C, NPP verification and audits of the ISH standard.

2. DEFINITIONS

- 2.1. CB Audit Facilitator : is either CB's employee or contractor, who is not qualified as RSPO auditor or lead auditor but supports the CB audit team performing on-site audit through the use of appropriate Information and Communications Technology (ICT), including but not limited to video conferences, remote interviews and site tours or verification.

3. ASSOCIATED DOCUMENTS

- 3.1. RSPO P&C 2018 and the applicable NI
- 3.2. RSPO ISH Standard 2019
- 3.3. RSPO P&C Certification System
- 3.4. NPP 2015

4. GENERAL

- 4.1. The CB shall have procedures for conducting RSPO audits including the remote audits and audits using audit facilitator(s).
- 4.2. The number of CB Audit Facilitators required for the audit shall be as appropriate to the number of auditors in the audit team.
- 4.3. The audit mandays of the Audit Facilitator shall not be accounted as audit mandays of the CB's audit team.
- 4.4. The CB Audit Facilitator shall not at any point replace or take over the role of the CB's audit team, even in case of a technology problem.

- 4.5. If at any point the RSPO audit team cannot carry on performing the assessment remotely due to technology limitation, the audit shall be postponed until the audit team can participate in the audit again.

5. COMPETENCE, QUALIFICATION AND SELECTION

- 5.1. CB shall ensure that the Audit Facilitator has appropriate skills to participate in the CB audit and support the audit team, without interfering in the audit process.
- 5.2. CB Audit Facilitator shall comply with the following minimum competence and qualification requirements:
- completed CB training on remote assessments,
 - possessed experience in performing audits through internal, second party or third-party audits or assessment,
 - speak fluently relevant local language. In case of multiple languages spoken in the region of the assessment, then a local translator may also be required.
- 5.3. The CB Audit Facilitator shall sign a contract, including confidentiality agreement and conflict of interest declaration for each participation in a CB audit, as per CB relevant procedure for auditors and experts.
- 5.4. The CB Audit Facilitator shall be independent from the CH being audited. Independence in this context means neither having any family/personal relationships with people within the organisation, nor having been employed in or by the organisation being assessed, nor undertaking any consultancy activities, or providing advisory and guidance services activities
- 5.5. The CB shall be responsible for the selection of the Audit Facilitators.

6. PLANNING AND SCHEDULING OF CB ASSESSMENT

- 6.1. Planning and scheduling of CB assessment with an on-site CB Audit Facilitator shall follow the relevant CB Remote Audit procedures.
- 6.2. The CH involved in the CB remote audit shall be informed that one or more CB Audit Facilitator will be participating in the CB audit.
- 6.3. The roles of the CB Audit Facilitator shall be clearly indicated in the audit plan.
- 6.4. The CH may reject the participation of a CB Audit Facilitator in case of conflict of interest or potential conflict of interest exist. The reasons for rejection shall be in a written form.
- 6.5. The CB Lead Auditor should allocate sufficient time in the audit plan for debriefing session(s) with the Audit Facilitator prior to and during the audit.
- 6.6. The CB Lead Auditor shall allocate sufficient time in the audit plan to ensure each auditor have sufficiently covered the indicators of the standards. When required the CB shall extend the audit days to achieve the audit objective.

7. OPENING & CLOSING MEETINGS

- 7.1. The opening and closing meetings shall be conducted by the CB Lead Auditor. The Lead Auditor shall explain the role of the CB Audit Facilitator to support the audit team in performing the CB audit. Special attention shall be given to confidentiality and Conflict of Interest (COI), and the Lead Auditor shall explain to the CH that the CB Audit Facilitator is bound by the CB confidentiality and COI procedures.
- 7.2. The CB Lead Auditor shall manage and lead the opening and closing meetings through the use of appropriate technology.
- 7.3. The CB Audit Facilitator shall not interfere in the opening and closing meetings but may provide clarification if required.

8. RECORDING EVIDENCE

- 8.1. The CB Audit Facilitator shall support the audit team in validating and recording appropriate evidence using the technology available during the remote audit.
- 8.2. CB Audit Facilitator shall not pick and choose the audit evidence to be recorded but should only record appropriate audit evidence at the request of the audit team. Audit evidence recorded shall be consistent with the normative requirements assessed.
- 8.3. Audit evidence shall be recorded using the technology used for the remote assessment (e.g. upload relevant document, photos of relevant evidence, short videos whenever relevant and appropriate).
- 8.4. Recording of audit evidence shall be done in line with contractual agreements with CH and respecting the confidentiality of information / proprietary rights of CH. Pictures may only be taken upon consent of the involved parties. Similarly, recording of videos or audio material can only be done upon consent of the involved parties.

9. PERFORMING INTERVIEWS

- 9.1. The CB Audit Facilitator shall support the audit team in performing interviews, at the request of the audit team, of relevant employees or stakeholders through appropriate use of the technology available.
- 9.2. While the CB Audit Facilitator can support the audit team in introducing the audit team and asking relevant interview questions as instructed by the audit team.
- 9.3. At the request of the audit team, the CB Audit Facilitator may coordinate with the CH to sample and interview relevant employees or stakeholders.
- 9.4. During CB interviews, the CB Audit Facilitator shall ensure that the CH representatives do not interfere and that the interviews can be performed in confidence and the workers' anonymity is maintained.

10. POST ASSESSMENT ACTIVITIES

- 10.1. At the end of the CB audit and before the closing meeting, the Lead Auditor and the audit team members shall organise a video call with the Audit Facilitator, in a pre-closing meeting, to clarify any points that may need to be clarified.
- 10.2. The CB Audit Facilitator may review the CB audit report or checklist before finalisation for any potential mistake or to clarify any point that may need to be clarified. However, the CB Audit Facilitator shall not participate in writing the CB audit report and/or the CB audit findings.