



**RSPO ISH CERTIFICATION**

**AUDIT REPORT**

(NAME OF MANAGEMENT UNIT)

|  |  |
| --- | --- |
| **Audit Application Number:** | i.e. ISXX-YYYYYY |
| **Assessment Type:** | Please choose |
| **Phases** | Please choose |
| **Date of Assessment:** | DD Mmm YYYY - DD Mmm YYYY |
| **Audit Report Number:** |  |
| **Revision Number:** | REV 0 |
| **Audit Report Date:** | DD Mmm YYYY |

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# Certification Body Background

## 1.1 Description of Certification Body

|  |  |
| --- | --- |
| **Certification Body Information** | |
| Name of Certification Body |  |
| Address of Certification Body (Accredited Office) |  |
| Background of the Certification Body | e.g. history, mission, vision, geographical information |
| Phone Number (Accredited Office) |  |
| Websites |  |
| Contact Person Name | e.g. RSPO Programme Manager |
| Email |  |
| **Accreditation Information** | |
| ASI Code |  |
| Technical Scope |  |
| Geographical Scope |  |
| Accredited Since |  |

# Organisation Details and Certification Scope

## 2.1 Organisational Overview

|  |  |
| --- | --- |
| **Management Unit Information** | |
| **Name of Management Unit** |  |
| **Address of the Management Unit** |  |
| **Country** |  |
| **Website** |  |
| **Description of the Management Unit** | General description of the organisation (e.g., date of membership, number of ISH members, number of plots, geographical conditions, range of terrains) |
| **Management Representative Name** |  |
| **Management Representative Designation** |  |
| **Management Representative Email** |  |

## 2.2 RSPO Membership Information

|  |  |
| --- | --- |
| **RSPO Membership Information** | |
| RSPO Membership No. |  |
| Name of RSPO Member |  |
| Member Since | DD Mmm YYYY |

## 

## 2.3 Certificate Information

|  |  |  |
| --- | --- | --- |
| **Certificate Information** | | |
| Certificate No. |  |
| prisma Document Reference No. | *(N/A until June 2025)* |
| RSPO PalmTrace ID No. |  |
| prisma Trading Account ID | TAXX-XXXXXX |
| Scope of Certification |  |
| Supply Chain Model | **Identity Preserved (IP)** |
| Applicable Standards /  Normative Reference | RSPO Certification Systems for Principles & Criteria and RSPO Independent Smallholder Standard 2020  RSPO Independent Smallholder Standard 2019  RSPO Independent Smallholder Standard - Indonesia National Interpretation 2022  RSPO Independent Smallholder Standard - Côte d’Ivoire Local Interpretation |
| Initial Date of Certification | DD Mmm YYYY |
| Start Date of Certificate – Phase E | DD Mmm YYYY |
| Expiry Date of Certificate – Phase E | DD Mmm YYYY |
| Start Date of Certificate – Phase MS A | DD Mmm YYYY |
| Expiry Date of Certificate – Phase MS A | DD Mmm YYYY |
| Start Date of Certificate – Phase MS B | DD Mmm YYYY |
| Expiry Date of Certificate – Phase MS B | DD Mmm YYYY |
| Name of Peer Reviewer | Only for the case of IC or RC |

# Description of the Management Unit

| **Information of Independent Smallholder Group** | | | | | | |
| --- | --- | --- | --- | --- | --- | --- |
| **Name of Independent Smallholder Group** | **prisma ID** | **Address of Independent Smallholder Group** | **Area Summary (Ha)** | | **GPS Coordinates** | |
| **Total Certified Area** | **Total Planted Area** | **Latitude** | **Longitude** |
|  |  |  |  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Information of Independent Smallholder Group Members** | | | | | | | | | | | |  |
| **No.** | **Name of Smallholder** | **prisma Smallholder Profile ID** | **Smallholder Plot Name** | **Prisma Smallholder Plot ID** | **Location** | **Date of Joining** | **Phase** | **GPS Coordinates** | | **Area Summary (Ha)** | | **Forecasted Annual FFB Production** |
| **Latitude** | **Longitude** | **Total Certified Area** | **Total Planted Area** |
|  | *Add rows as necessary* |  |  |  |  | DD-Mmm-YYYY | Please choose | i.e. XX. XXXXX | i.e. XXX. XXXXX |  |  |  |
| Total | | | | | | | | | |  |  |  |
| **Remark:**  **Use different colours to highlight the smallholders sampled for each audit (Eligibility, Milestone A and Milestone B audits).** | | | | | | | | | | | | |

## 3.1. Area Statement of the Management Unit

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Name of the Independent Smallholder Group** | **Certified Area**  **(Ha)** | **Planted Area (Ha)** | | | **Un-Planted Area (Ha)** | | |
| **Oil Palm Planted on Non-Peatland** | **Oil Palm Planted on Peat** | **Other Crop(s)** | **HCV** | **Conservation** | **Facilities / Others\*** |
|  |  |  |  |  |  |  |  |
| **TOTAL** |  |  |  |  |  |  |  |
| **Remarks:**  **To include additional information wherever applicable.** | | | | | | | |

## 3.2. Age Profile of the Management Unit

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Name of the Independent Smallholder Group** | **Land size (Ha) by age of the Oil Palm** | | | | **Total Production Area**  **(Ha)** | **Total Planted**  **Area**  **(Ha)** |
| **0 - 3**  **Phase 1** | **4 – 6**  **Phase 2** | **7 – 18**  **Phase 3** | **>19**  **Phase 4** |
|  |  |  |  |  |  |  |

Note: This age profile range is used based on the common phase of oil palm age as referred in [*https://www.researchgate.net/publication/327527812*](https://www.researchgate.net/publication/327527812)*.*

## 3.3. Replanting Program of the Management Unit

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Name of the Independent Smallholder Group** | **Size of Land by Years (Ha)** | | | | | **Total Area**  **(Ha)** |
| 20xx  *(current year)* | 20xy  *(current year+1)* | 20xz  *(current year+2)* | 20xa  *(current year+3)* | 20xb  *(current year+4)* |
|  |  |  |  |  |  |  |
| Total Area (Ha) |  |  |  |  |  |  |

Notes: 1st year of the replanting programme will be the current year of the audit.

## 3.4. Projected Certified Volume for Next License

|  |  |  |
| --- | --- | --- |
| **Information of New License** | | |
| **Next License Period** | Start Date | DD Mmm YYYY |
| End Date | DD Mmm YYYY |
| **Projected IS-FFB Volume (MT) - Phase E** |  | |
| **Average Production Yield (MT/Ha) - Phase E** |  | |
| **Projected IS-CSPO Volume (MT)- Phase E** |  | |
| **Projected IS-CSPKO Volume (MT) - Phase E** |  | |
| **Projected IS-CSPKE Volume (MT) - Phase E** |  | |
| **Projected IS-FFB Volume (MT) - Phase MS A** |  | |
| **Average Production Yield (MT/Ha) - Phase MS A** |  | |
| **Projected IS-CSPO Volume (MT) - Phase MS A** |  | |
| **Projected IS-CSPKO Volume (MT) - Phase MS A** |  | |
| **Projected IS-CSPKE Volume (MT) - Phase MS A** |  | |
| **Projected FFB (ISH) Volume (MT) - Phase MS B** |  | |
| **Average Production Yield (MT/Ha) - Phase MS B** |  | |

## 3.5. Information of Previous & Current License

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Information of License** | **Previous Year License** | | **Current Year License** | |
| **License Period** | Start Date | DD Mmm YYYY | Start Date | DD Mmm YYYY |
| End Date | DD Mmm YYYY | End Date | DD Mmm YYYY |
| **Actual Production Period Reported** | Start Date | DD Mmm YYYY | Start Date | DD Mmm YYYY |
| End Date | DD Mmm YYYY | End Date | DD Mmm YYYY |
| **Projected IS-FFB Volume (MT) - (for phase E)** |  | |  | |
| **Projected IS-CSPO Volume (MT) - (for phase E)** |  | |  | |
| **Projected IS-CSPKO Volume (MT) - (for phase E)** |  | |  | |
| **Projected IS-CSPKE Volume (MT) - (for phase E)** |  | |  | |
| **Projected IS-FFB Volume (MT) - (for phase MS A)** |  | |  | |
| **Projected IS-CSPO Volume (MT) - (for phase MS A)** |  | |  | |
| **Projected IS-CSPKO Volume (MT) - (for phase MS A)** |  | |  | |
| **Projected IS-CSPKE Volume (MT) - (for phase MS A)** |  | |  | |
| **Projected FFB (ISH) Volume (MT) - (for phase MS B)** |  | |  | |
| **Actual Production of FFB** |  | |  | |
| **Actual FFB Volume Sold as RSPO Certified (MT) - (for phase MS B)** |  | |  | |
| **Actual FFB Volume Sold as Conventional (MT) - (for phase MS B)** |  | |  | |
| **Actual FFB Volume Sold as Other Scheme (MT) - (for phase MS B)** |  | |  | |
| **Total Actual FFB Volume Sold (MT) - (for phase MS B)** |  | |  | |
| **Actual IS-CSPO Credits Volume Sold** |  | |  | |
| **Actual IS-CSPKO Credits Volume Sold** |  | |  | |
| **Actual IS-CSPKE Credits Volume Sold** |  | |  | |

# Audit Programme

## 4.1 Audit Methodology

|  |
| --- |
| \*(Free text area for the CB to describe the audit methodology (ISO19011), location of the auditor (onsite/ remote). If remote, please provide justification audit conducted as per Contingency RSPO Remote Audit Procedure, audit activity, interview session, audit process, identified risk, etc. related to the audit conducted on the unit of certification.) |

## 4.2 Audit Team Member

|  |  |  |
| --- | --- | --- |
| **Auditor Name** | **Role** | **CAB Auditor Number** |
| *Rows can be added as necessary* |  | *Can be referred from ASI Portal* |

## 4.3 Audit Plan

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Date** | **Time** | **Auditor Profile ID** | **Location** | **Activity** |
| DD Mmm YYYY | 00.00 am/pm | e.g. Auditor’s ASI code | e.g. Plot Name |  |
| DD Mmm YYYY | 00.00 am/pm |  |  |  |
| DD Mmm YYYY | 00.00 am/pm |  |  |  |

## 4.4 Sampling Details

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **No. of Smallholders** | **Phase** | **Risk Factor** | **Sampling Calculation Result** | **Total Sampled** |
|  | **Eligibility**  **x = (√y) x 0.5** | **Not Applicable** |  |  |
|  | **Milestone A**  **x = (√y) x 0.8** | **Not Applicable** |  |  |
|  | **Milestone B**  **x = (√y) x (z)** | Please choose |  |  |

## 4.5 Sampling History of Current Certification Cycle

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Audit Programme** | | | | | |
| **Name of the** **Independent Smallholder Group** | **Year 1** | **Year 2** | **Year 3** | **Year 4** | **Year 5** |
| **(20xx)** | **(20xx)** | **(20xx)** | **(20xx)** | **(20xx)** |
| *Add rows as necessary* |  |  |  |  |  |
| **Remarks:**  **To indicate the number of sampling for each audit. Only applicable for MS B audits.** | | | | | |

## 4.6 Audit Team Leader and Audit Team Information

|  |  |
| --- | --- |
| **Audit Team Leader:** | |
| **Requirements** | **Description** |
| At least five (5) years of field experience in the palm oil sector, health and safety, or environmental management. These include experience in HCV and HCS assessment, social auditing or involvement in human rights activities; |  |
| A supervised (by a qualified lead auditor) period of training in practical audits against the RSPO P&C and/or RSPO ISH standard, with a minimum of 15 days audit experience in at least three (3) audits; |  |
| Successfully completed a refresher course for RSPO endorsed P&C lead auditor course every three (3) years after the initial qualification as lead auditor |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Audit Team Member(s):** | | | |
| **Requirements** | **CAB Auditor Number** | **Description** |
| Possess a bachelor’s degree or tertiary education in related disciplines, such as agriculture, environmental science or social sciences, etc; | Audit team Leader: |  |
| Audit team 1: |  |
| Audit team 2: |  |
| At least three (3) years of field experience in the palm oil sector, health and safety, or environmental management. These include experience in HCV and HCS assessment, social auditing or involvement in human rights activities | Audit team 1: |  |
| Audit team 2: |  |
| Successfully completed an RSPO endorsed P&C lead auditor course | Audit team Leader: |  |
| Audit team 1: |  |
| Audit team 2: |  |
| Successfully completed the 5-day lead auditor course for ISO 9001 or ISO 14001 or ISO 45001;. | Audit team Leader: |  |
| Audit team 1: |  |
| Audit team 2: |  |
| Demonstrable understanding of the latest version of RSPO Certification Systems | Audit team Leader: |  |
| Audit team 1: |  |
| Audit team 2: |  |
| For auditors auditing the ISH standard, auditors shall additionally be trained on the ISH standard either by the endorsed trainer or RSPO; | Audit team Leader: |  |
| Audit team 1: |  |
| Audit team 2: |  |
| A supervised (by a qualified auditor/lead auditor) period of training in practical audit against the RSPO P&C, with a minimum of 10 days of audit experience in at least two (2) audits. | Audit team 1: |  |
| Audit team 2: |
| Knowledgeable and experience of the local/regional laws | Audit team Leader: |  |
| Audit team 1: |  |
| Audit team 2: |  |
| Knowledgeable in Best Agricultural Practices, and Integrated Pest Management, pesticide and fertiliser use; | Audit team Leader: |  |
| Audit team 1: |  |
| Audit team 2: |  |
| Experience in health and safety auditing on the farm/plantation and in the palm oil mill, for example against the ISO 45001 Occupational Health and Safety Management standard; | Audit team Leader: |  |
| Audit team 1: |  |
| Audit team 2: |  |
| Experience in handling workers’ welfare or social auditing experience, such as experience with the SA8000 or other international sustainability scheme that has the social auditing requirements. The auditor auditing the social requirements shall have successfully attended the internationally recognised social auditing standard training, such as the SA8000, Social Systems (SMETA) Auditor Training or social training recognised by RSPO; | Audit team Leader: |  |
| Audit team 1: |  |
| Audit team 2: |  |
| Experience in handling of land rights, gender and indigenous peoples’ issues; | Audit team Leader: |  |
| Audit team 1: |  |
| Audit team 2: |  |
| Experience in environmental and ecological auditing or assessments, such as experience with High Conservation Value (HCV)/High Carbon Stock (HCS) assessments, organic agriculture or the ISO 14001 Environmental Management Systems standard; | Audit team Leader: |  |
| Audit team 1: |  |
| Audit team 2: |  |
| Where applicable, knowledge on the ISH context | Audit team Leader: |  |
| Audit team 1: |  |
| Audit team 2: |  |
| Fluent in one of the main national languages | Audit team Leader: |  |
| Audit team 1: |  |
| Audit team 2: |  |

# Audit Findings & Result

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Criterion / Indicator** | | **Audit Findings** | **Audit Findings (Public Summary)** | **Compliance** |
| **A-** **ICS: Group entity and group management requirements** | | | | |
| **A1:** The Group demonstrates that they are legally formed. | | | | |
| A1.1 | A1.1 E  The Group has appointed a group manager. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| A1.1 MS A  Same as Eligibility |  |  |  |
| A1.1 MS B  Same as Eligibility |  |  |  |
| A1.2 | A1.2 E  The Group manager has evidence of legal identity. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| A1.2 MS A  Same as Eligibility |  |  |  |
| A1.2 MS B  Same as Eligibility |  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| A1.3 | A1.3 E  The group has membership requirements. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| A1.3 MS A  Same as Eligibility. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| A1.3 MS B  Same as Eligibility |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| A1.4 | A1.4 E  All members have signed and acknowledged membership requirements. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| A1.4 MS A  All members can demonstrate understanding of membership requirements. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
|  | A1.4 MS B  Same as Eligibility & Milestone A |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **A2:** The Group Manager is responsible for managing the Group for certification. | | | | |
| A2.1 | A2.1 E  The group manager has planned for the implementation of the ICS |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
|  | A2.1 MS A  The group manager can demonstrate compliance of the ICS by individual members |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
|  | A2.1 MS B  Same as Eligibility & Milestone A |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| A2.2 | A2.2 E  The group manager demonstrates understanding of the ISH Standard, group certification and related topics and has sufficient resources to manage the group |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| A2.2 MS A  The Group manager can demonstrate capacity to manage and operate group certification requirements |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
|  | A2.2 MS B  Same as Eligibility & Milestone A |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| A2.3 | A2.3 E  A group annual training plan is available covering the RSPO ISH, group management (which includes group objectives, structure, relevant procedures and the certification process) and other topics as outlined in the ISH Standard. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| A2.3 MS A  The group manager implements a phased approach to ensure members have progressively attended training on the ISH Standard, group management and other topics as outlined in the ISH Standard according to the group annual training plan. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| A2.3 MS B  All members attended training and can demonstrate understanding of the ISH Standard, group management and certification requirements including awareness on BMOs, HCV, environmental protection, social welfare of workers and business operations. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **B -** **ICS: Policies and management** | | | | |
| **B1:** The group Internal Control System contains documented policies and procedures for operational management. | | | | |
| B1.1 | B1.1 E  A group Internal Control System is available for operational management including procedures of expulsion and sanctions for members who fail to comply, and a procedure to conduct internal audits |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| B1.1 MS A  The ICS is implemented and an internal audit is conducted for at least half of the group members and all audit findings are closed. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| B1.1 MS B  The ICS is implemented and an annual internal audit of the group is conducted for all members and all audit findings are resolved. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| B1.2 | B1.2 E  Basic information, farm information, production data, legal documentation of group members and signed Smallholder Declarations are available to the group manager |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
|  | B1.2 MS A  Same as Eligibility |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
|  | B1.2 MS B  Same as Eligibiity |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **C-** **ICS: Group business planning** | | | | |
| **C1:** The group has a Business Plan prepared with the participation and contributions of all group members. | | | | |
| C1.1 | C1.1 E  An annual group business plan is available, which includes:   * Production and income forecasting based on historical records. * Plans for expansion. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| C1.1 MS A  The group business plan is implemented and reviewed at least annually. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| C1.1 MS B  The group demonstrates financial stability and growth, and is able to support itself financially. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **C2:** The ICS of the group is integrated with the group’s management plan. | | | | |
| C2.1 | C2.1 E  A group management plan is available which includes:   * Training/capacity building plans to improve productivity of group members. * An approach to strengthen links within the supply chain. * Plan for continuous improvement projects (i.e. on waste, soil, etc.), if any. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| C2.1 MS A  The group management plan is implemented and reviewed at least annually. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| C2.1 MS B  The Group Manager demonstrates the group’s compliance with this ISH Standard. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **D ICS: Group trading system for certified volumes** | | | | |
| **D1:** The group has a procedure and system in place for the tracking of FFB. | | | | |
| D1.1 | D1.1 E  Record sheets to track the annual production and sales of certified volumes, covering traceability of producers and/or traders are available. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| D1.1 MS A  Group manager maintains annual production records and sales of certified volumes. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| D1.1 MS B  Group Manager maintains annual production records and sales of certified volumes of all FFB sources. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **D2:** The group documents and implements a system for the tracking of FFB. | | | | |
| D2.1 | D2.1 MS A  Group manager maintains annual production data and sales of certified volumes through Book and Claim for the group based on actual receipts for and sales by all members. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| D2.1 MS B  Group Manager maintains annual production data and sales of certified volumes through physical or Book and Claim for the group based on actual receipts and sales for all members and 100% all certified volumes. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **D3:** The group has a procedure and system for premium distribution. | | | | |
| D3.1 | D3.1 E  The group and group manager have agreed on how the premiums should be used and the agreement is recorded and communicated to the group members. Prices, premiums, and timing of premium payment are clearly communicated and transparent to al group members. Premiums disbursed to embers at all stages are recorded and the premiums are paid in a timely and convenient manner. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
|  | D3.1 MS A  The disbursement of premiums, including price and timing of the disbursement to group members is clearly recorded. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

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| **Criterion / Indicator** | | **Audit Findings** | **Audit Findings (Public Summary** | **Compliance** |
| **Principle 1: Competitive, resilient, and sustainable sector** | | | | |
| **Criterion 1.1:** Smallholders establish a legal entity which has organisational capacity to comply with the RSPO Independent Smallholder Standard | | | | |
| Eligibility (E) | Legally registered entities have documented evidence to include:  1. Legal formation (as per country requirements).  2. Fair and transparent decision making and governance.  3. Additional documents per requirements for Group Formation and Management.  4. Signed or thumb printed Smallholder Declaration from all smallholder member, reference Annex 2. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A Group manager and group members and group members have an Internal Control System (ICS) Eligibility and MS A requirements (section 3.2 below) and compete training on oil palm pricing mechanisms, financial management, and best practices for smallholder organizations. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required)  |  |  | | --- | --- | |  |  | |
| Milestone B (MS B) | Smallholder groups are operating in accordance to best management practices for groups, including:  • Fair and transparent decision making and governance; and  • Sustainable financial management |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

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| **Criterion 1.2:** Smallholders have the capacity to effectively manage their farm. | | | | |
| Eligibility (E) |  |  |  | |  |  | | --- | --- | |  |  | |
| Milestone A  (MS A) | MS A Smallholders compete training on farm business operations, monitoring and planning. The training includes capacity building on record keeping for production, including inputs and yields, transactions and variety. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required)  |  |  | | --- | --- | |  |  | |
| Milestone B  (MS B) | MS B Smallholders are managing their farms effectively and maintain records of production and transaction data of all FFB sales. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required)  |  |  | | --- | --- | |  |  | |
| **Criterion 1.3:**  Smallholders implement good agricultural practices) GAP) on their farms. | | | | |
| Eligibility (E) | Smallholders commit to implementing good agricultural practices on their farms.  Reference Smallholder Declaration, 1.1. E, Annex2) |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required)  |  |  | | --- | --- | |  |  | |
| Milestone A  (MS A) | MS A Smallholders complete training on Good Agricultural Practice (GAP) |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Smallholders have adopted GAP on their farms and tracking productivity through, but limited tom records of FFB sales. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

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| **Principle 2: Ensure Legality, Respect for Land Rights and Community Wellbeing** ***Comply with the law and respect communities’ rights.*** | | | | |
| **Criterion 2.1:** Smallholders have legal or customary rights to use the land in accordance with national and local laws, and customary practice. | | | | |
| Eligibility (E) | E Smallholders provide the coordinates or maps of their plots and evidence of ownership, or rights to use the land (Reference indicator 1.1 E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS B Smallholders can demonstrate legal ownership or native and/or customary rights to use the land or demonstrate that they are in the process of legislation of the right. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Smallholders plots are clearly and visibly demarcated and maintained, and the smallholders are operating within these boundaries. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

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| **Criterion 2.2:** Smallholders have not acquired lands from indigenous peoples, local communities or other users without their free, prior and informed consent, based on a simplified FPIC approach. | | | | |
| Eligibility (E) | For existing plots, smallholders can demonstrate that they have not acquired land without free, prior and informed consent of indigenous peoples, local communities to other users (Ref Indicator 1.1 E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A Same as Eligibility |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Same as Eligibility |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **Criterion 2.3:** The right to use the land is not disputed by indigenous peoples, local communities or other users. | | | | |
| Eligibility (E) | 2E Smallholders declare any existing disputes on the land commit to resolving said disputes and provide information on the current status of those disputes (if any). (Ref. Indicators 1.1 E, Annex 2) |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A There is an absence of disputes among indigenous peoples, local communities or other users, regarding land, resource-use and access rights; or where there is a dispute, dispute resolution processes are implemented, and the process is accepted by all parties involved. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B (MS B) | Same as Milestone A |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **Criterion 2.4:** The right to use the land is not disputed by indigenous peoples, local communities or other users. | | | | |
| Eligibility (E) | E Smallholders plots are located outside of areas classified as national parks or protected areas as defined by national, regional or local law or as specified in National Interpretations (Ref 1.1 E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A Same as Eligibility |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Same as Eligibility |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

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| **Criterion 2.5:** For new planting, smallholders do not clear or acquire any land without obtaining the free, prior and informed consent (FPIC), of indigenous people and/or local communities and/or other users, based on a simplified FPIC approach.  **\*\****Do any smallholders within the group have plans for new planting of oil palm? If none, SKIP.* | | | | |
| Eligibility (E) | E For new oil palm planting, smallholders commit not to clear or acquire land from indigenous people, local communities, or other users without free, prior and informed consent, based on a simplified FPIC approach (Reference 1.1E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | **\*\****Do any smallholders within the group have plans for new planting of oil palm? If none, SKIP.*  MS A Smallholders complete training on how to conduct a simplified FPIC approach. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | **\*\****Do any smallholders within the group have plans for new planting of oil palm? If none, SKIP.*  MS B Based on a simplified FPIC approach, smallholders jointly agree on a plan with the affected indigenous peoples and/or other right holders, including vulnerable groups, for new oil palm developments, if these involve land-use change. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

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| **Principle 3: Respect human rights, including workers’ rights and conditions** ***Safeguard human rights and protect workers’ rights, ensuring safe and decent working conditions.*** | | | | |
| **Criterion 3.1:** There is no use if forced labour. | | | | |
| Eligibility (E) | E Smallholders commit to no use of forced labour and ensure that any use if forced labour on the farm is terminated at Eligibility. They provide information on the source of labour on the farm, including family, contract and hired labour. (Reference 1.1E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A Smallholders complete training in free and fair labour and implement measures to ensure that all work is voluntary, and the following practices are prohibited:   * Retention of identity documents including but not limited to passports; * Payment of recruitment fees by workers; * Contract substitution; * Involuntary overtime; * Lack of freedom of workers to resign; * Penalty for termination of employment; * Debt bondage; * Withholding wages. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Workers on the farm, including their families, have unrestricted access to their identity documents, have freedom of movement and can. Declare that their employment is freely chosen. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **Criterion 3.2:** Children are not employed or exploited. Work by children is acceptable on family farms, under adult supervision and when not interfering with education programmes. Children are not exposed to hazardous working conditions. | | | | |
| Eligibility (E) | E Smallholders are aware of what defines child labour and ensure that any child labour in the farm operations is terminated at Eligibility.  Awareness of child labour and commitment to no child labour includes:  1. Compliance with the minimum age of workers and as defined by local, state or national law.  2. Not exposing children to hazardous work.  3. Providing adult supervision of young people working on the farm.  4. Ensuring the practice of children’s rights to education is unrestricted and respected. (Reference 1.1E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A Group managers and smallholders implement measures to protect children as follows:  1. There are no workers on smallholder farms under the age of 15 or under the minimum age defined by local, state or national law, whichever is higher.  2. Children are only permitted to help on family farms and are not permitted to perform dangerous, hazardous or heavy work.  3. If young workers are employed, their work is not mentally or physically harmful and does not interfere with their schooling, if applicable. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Same as Milestone A |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **Criterion 3.3:** Workers’ pay complies with minimum legal requirements, mandatory industry standards as defined by national law or collective bargaining, whichever takes priority in local regulations.  **\*\**Are there workers on the farm? If no, SKIP.*** | | | | |
| Eligibility (E) | E Smallholders commit to pay workers according to minimum legal requirements or mandatory industry standards (Reference 1.1E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A Workers receive payments as expected and agreed in accordance with at least the legal minimum wage rate (excluding overtime premiums) and without discrimination against vulnerable groups, including women. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Workers receive payments as expected and agreed in accordance with at least the legal minimum wage rate (excluding overtime premiums) and without discrimination against vulnerable groups, including women. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **Criterion 3.4:** Workers’ understand their rights and freedom to file a complaint/grievance to group manager or relevant third parties, including RSPO.  **\*\**Are there workers on the farm? If no, SKIP.*** | | | | |
| Eligibility (E) | E Smallholders commit to respect the rights of rights of workers to file a complaint/grievance. (Reference 1.1E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A Smallholders complete training on workers’ rights to file a complaint/grievance and communicate to workers the means to file a complaint/grievance. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Workers are aware of and have access for filing a complaint/grievance. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

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| **Criterion 3.5:** Working Conditions and facilities are safe and meet minimum legal requirements. | | | | |
| Eligibility (E) | Smallholders commit to providing safe working conditions and facilities (Reference 1.1. E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A Smallholders, workers, and family member complete training and aware of health and safety risks associated with farm work, (including that of pesticide use) and how to mitigate them. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Workers, including smallholder family members, have access to safe working conditions and amenities that include:   * Safe and adequate housing, where applicable * Access to basic first aid supplies * Health and safety equipment, including minimum personal protective equipment (PPE) if appropriate for the type of work * Adequate drinking water * Access to toilets |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

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| **Criterion 3.6:** There is no discrimination, harassment, or abuse on the farm.  ***\*\*Are there workers on the farm? If no, SKIP***. | | | | |
| Eligibility (E) | E Smallholders commit to no discrimination, harassment or abuse on the farm (Reference 1.1 E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A Smallholders complete training on workplace discrimination, harassment and abuse and are aware of need for a safe workspace. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Workers freely express that they are working on a place that is free from discrimination, harassment or abuse. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

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| **Principle 4: Protect, Conserve and enhance ecosystem and the environment** ***Protect the environment, conserve biodiversity, enhance ecosystems and ensure sustainable management of natural resources.*** | | | | |
| **Criterion 4.1:** High Conservation Values (HCV’s) 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 enhance. | | | | |
| Eligibility (E) | E Smallholders commit to protect HCVs and HCS forests through the precautionary practices approach. (Reference 1.1E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A Smallholders complete training on and are aware of:   * The importance of maintaining and conserving HCVs and HCS forests; * Human-wildlife conflict; and * rare, threatened and endangered species and important ecosystems. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Smallholders implement precautionary practices and managed and maintain rare, threatened and endangered species, HCVs and HCS forests, where applicable. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **Criterion 4.2:** Where the existing smallholder plot has been planted and cleared after November 2005 or is on an area identified of HCS forests after November 2019 up to the eligibility period, a RaCP process appropriate for smallholders based on Land Use Change Analysis (LUCA) will be applicable (reference pre-amble), | | | | |
| Eligibility (E) | E Smallholders provide information on all smallholder plots converted and planted with oil palm after 2005, through use of the simplified combined HCV-HCS approach for Smallholders. (Reference 1.1E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A Group manager develop a plan to identify the maximum area for on-site remediation of HCVs lost since 2005 and HCS forests lost since November 2019, through a participatory process and the plan is submitted to RSPO. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B An RSPO-approved plan to remediate for HCVs lost since 2005 and HCS forests lost since November 2019 is implemented. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **Criterion 4.3:** New planting of independent smallholders, since November 2019:  · Do not replace any HCVs  · Do not replace any HCS forests as defined by the simplified combined HCV-HCS approach  · Are not on steep sloped (more than 25 degrees or as in the National Interpretation)  · Are not on peat areas of any depth.  **\*\*Do any smallholders within the group have plans for new planting of oil palm? *If no, SKIP.*** | | | | |
| Eligibility (E) | E Smallholders provide information on all planned new plantings and commit that no new plantings are on HCV or HCS forests, on steep slopes (more than 25 degrees or as in the National Interpretation) or on peat. (Reference 1.1E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A Workers Before any land preparation commences, group members develop an integrated management plan through a participatory approach to maintain or enhance HCVs as well as HCS forests identified after November 2019, as identified by the simplified combined HCV and HCS approach, before any land preparation commences. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Smallholders have an RSPO approved integrated management plan for their planned new plantings and share a notice of this plan with those involved in the participatory mapping before any land preparation commences. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **Criterion 4.4:** Where smallholder plots exist on peat, subsidence and degradation of peat soils is minimized by the use of Best Management Practices.  **\*\**Do any smallholders within the group have existing plots on peat? If no, SKIP.*** | | | | |
| Eligibility (E) | E group Manager confirms presence of peat on existing plots within the group and smallholders on peat commit to using best management practices (BMPs), and minimizing subsidence and degradation of peat soils. (Reference 1.1E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A Smallholders complete training on best management practices (BMPs) for peat. The group has an action plan to minimize risk of fire, to apply BMPs for plantings on peat and manage water systems in the certification unit. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Smallholders implement the group’s action plan based on BMPs, including fire and water management, and monitoring of subsidence rate for existing planting on peat. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

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| **Criterion 4.5:** Plots on peat are replanted only on areas with low risk of flooding or saline intrusion as demonstrated by a risk assessment.  **\*\**Do any smallholders within the group have plans for replanting plots that are located on peat? If no, SKIP.*** | | | | |
| Eligibility (E) | Smallholders commit to provide information on all plans for replanting and commit that replanting will only be in areas with low risk of flooding or saline intrusion (Reference 1.1. E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A Smallholders with plots on peat complete training on identification of future risks of flooding or saline intrusion and alternate land development strategies. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Prior to replanting on peat smallholders complete a risk assessment related to flooding or saline intrusion and, where there is high risk, present a plan that includes alternate land development strategies, preferencing alternative livelihood planning. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **Criterion 4.6:** Fire is not used on the oil palm plot for preparing land or pest control, nor open fire for waste management on the farm. | | | | |
| Eligibility (E) | E Smallholders commit to no burning for preparing land or for pest control, nor open fire for waste management. Group manager records evidence of prior burning of members joining the group (Reference 1.1 E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A There is no physical evidence of new burning (after eligibility) for land preparation for oil palm by smallholders. Smallholders complete training on and are aware of:   * Alternatives to fire for land preparation and farm waste management (where appropriate possible) * Alternatives to fire for pest control * Fire prevention and how to respond to and manage fires in their plots. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Smallholders do not use fire or practice burning for land preparation, waste management or pest control on the farm. For pest control, fire may be used in exceptional circumstances i.e. where no other effective measures exist and with prior approval of relevant authority. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **Criterion 4.7:** Riparian buffer zones are identified and managed to ensure they are maintained and/or enhanced. | | | | |
| Eligibility (E) | E Group manager identifies riparian buffer zones within the group and smallholders commit to no new planting in riparian zones. (Reference 1.1 E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A Smallholders complete training on and are aware of riparian buffer zone management, and the group has an action plan to maintain and/or enhance riparian buffer zones. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Smallholders maintain and/or enhance riparian buffer zone areas. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **Criterion 4.8:** Pesticides are used in ways that do not endanger health of workers, family, communities or the environment. | | | | |
| Eligibility (E) | E Smallholders commit to phase out paraquat and pesticides categorized as WHO Class 1A or 1B and those listed by the Stockholm or Rotterdam Conventions by:   * Immediately stopping purchasing of these pesticides * Phasing out use of remaining stock by MSA * Providing information for the group manager to keep record of pesticide purchase and use.   (Reference 1.1 E, Annex 2). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone A  (MS A) | MS A Smallholders complete training on BMPs for pesticides including pesticides including pesticide usage, awareness on risks for pregnant and breastfeeding women and young workers; storage and disposal; paraquat and pesticides listed by WHI Class 1A or 1B, the Stockholm or Rotterdam Conventions (and in compliance with 3.5). |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B Smallholders implement BMPs for all pesticide use, including prohibiting use of pesticides by pregnant and breastfeeding women and young workers, and exclusion of paraquat and pesticides listed by WHI Class 1A or 1B, the Stockholm or Rotterdam Conventions, unless when authorized by relevant authorities for pest outbreaks. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **Criterion 4.9:** The group and smallholders manage pests, diseases, weeds and invasive introduced species using appropriate techniques, including but not limited to Integrated Pest Management (IPM) Techniques. | | | | |
| Eligibility (E) | E N/A |  |  |  |
| Milestone A  (MS A) | MS A Smallholders complete training on and are aware of BMPs, including, but not limited to safe chemical use, IPM, weed and invasive species management. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| Milestone B  (MS B) | MS B The group and smallholders maximise use of IPM approached to minimize use of pesticides and herbicides on their farm. |  |  | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

# 6. Summary of Audit Findings

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| **Principle** | **Major Nonconformities** | **Opportunity for Improvement** | **Total # findings** |
| **Principle 1: Optimize productivity, positive impacts, and resilience** |  |  |  |
| **Principle 2: Ensure Legality, Respect for Land Rights and Community Wellbeing** |  |  |  |
| **Principle 3: Respect human rights, including workers; rights and condition** |  |  |  |
| **Principle 4: Protect, conserve, and enhance ecosystem and the environment** |  |  |  |
| **Internal Control System** |  |  |  |
| **Total** |  |  |  |

# 7. Nonconformity(ies) Issue in This Audit

|  |  |
| --- | --- |
| **Indicator Number** |  |
| **Nonconformity Number** |  |
| **Nonconformity Category** | Major Nonconformity |
| **Recurring Nonconformity Category** | Yes  No |
| **Date of Nonconformity Issued** | DD Mmm YYYY |
| **Nonconformity Issued To** *(when more than one site/member)*: | |
| **Deadline:** | 3 months from date of closing meeting  12 months from date of closing meeting |
| **Mode of Nonconformity Closure** | Onsite  Off-site |
| **Standard Reference** |  |
| **Nonconformity Statement**: | |
| **Evidence:** | |
| **Root Cause Analysis** |  |
| **Correction(s)** |  |
| **Corrective Action Implemented** *(including any evidence submitted)* |  |
| **Date of Response:** | DD Mmm YYYY |
| **Audit Team Conclusion** *(including any evidence reviewed)* |  |
| **Status of Non-Conformity:** | Closed  Open |
| **Date of Closure** | DD Mmm YYYY |

*Add tables as necessary*

# 8. Opportunity for Improvement (OFI) Issue in This Audit

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| --- | --- |
| **Indicator Number** |  |
| **Opportunity for Improvement Number** |  |
| **Date of Opportunity for Improvement Issued** |  |
| **Opportunity for Improvement Issued To** *(when more than one site/member)*: | |
| **Standard Reference** |  |
| **Opportunity for Improvement Statement:** | |

*Add tables as necessary*

# 9. Non-conformity (ies) Raised in the Previous Audit

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Indicator No** | **NCR No** | **Evidence Observed / NCR Raised** | **Auditee Response - Correction / Corrective Action** | **Verification of Correction/ Corrective Action** | **Conclusion/Status** |
|
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

# 10. Stakeholder Consultation

CB should ensure that all relevant stakeholders are consulted. The relevant stakeholders include but are not limited to statutory bodies, indigenous peoples, local communities (including women representatives, and displaced communities), workers and workers’ organisations (including migrant workers), smallholders, and local and national NGOs.

Summary of stakeholder’s comments and the CB’s responses and findings are presented as per the table below:

## 10.1 For Audit Report

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **No** | **Consulted Stakeholders** *Name of Stakeholders* | **Date of Consultation/ Comment Received** | **Method of Consultation/Comment received** | **Feedback/Comments/Issue Raised Received from Stakeholders** | **CB’s Responses** |
| **1** |  | Dd Mmm Yyyy | E.g. Public announcement |  | E.g. Status of the issue raised |

## 10.2 For Public Summary Report

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **No** | **Consulted Stakeholders** *(Type of Stakeholders)* | **Date of Consultation/ Comment Received** | **Method of Consultation/Comment received** | **Feedback/Comments/Issue Raised Received from Stakeholders** | **CB’s Responses** |
| **1** | E.g. Institution/NGO/Community | Dd Mmm Yyyy | E.g, Public announcement |  | E.g. Status of the issue raised |

# 11. Audit Conclusion & Recommendation

|  |  |
| --- | --- |
| **Audit Findings** | |
|  | No nonconformity recorded. |
|  | Major NCR(s) recorded. Evidence of implementation of the corrective actions have been provided and accepted by the Audit Team. The NCR(s) have been satisfactorily closed out. |
| **Recommendation** | |
|  | Certification (Eligibility – Pre-audit Assessment or Milestone A – Pre-audit Assessment or Milestone B - Initial Certification) |
|  | Continue certification (Milestone B – Annual Surveillance Audit) |
|  | Renewal for certification (Milestone B – Recertification) |
|  | Not recommended for certification. Reason: (*Please provide the reason/justification)* |

# 12. Acknowledgment of Internal Responsibility and Formal Sign-off Assessment Findings

|  |  |  |
| --- | --- | --- |
| **Signing by the Management Unit** | | |
| I, the undersigned, being the most senior management representative of the operation seeking or holding certification, agree with the contents and audit findings presented in this document.  Furthermore, I confirm the following:   * Acceptance of responsibility in execution of the instructions given. * That this company was made aware that the recommendation of the Audit Team is tentative; pending review and decision by the Certification Decision Maker assigned by the CB. * That during the closing meeting all agenda items were covered by the Audit Team Leader. | | |
| Acknowledge by: | | Signature |
| Name |  |
| Position |  |
| Date |  |

|  |  |  |
| --- | --- | --- |
| **Signing by the Audit Team Leader** | | |
| I, the undersigned, being the Audit Team Leader, confirm that this report accurately reflects the findings and proceedings of the closing meeting. Furthermore, I affirm that the summary of the findings presented in this report is a true and accurate representation of the actual findings of the Audit Team. | | |
| Acknowledge by: | | Signature |
| Name |  |
| Position |  |
| Date |  |

|  |  |  |
| --- | --- | --- |
| **Signing by the Certification Decision Maker** | | |
| I, the undersigned, being the Certification Decision Maker, confirm that the information and conclusions contained in this report have been prepared in good faith and that the certification decision has been made based upon this information. | | |
| Acknowledge by: | | Signature |
| Name |  |
| Position |  |
| Date |  |

# 13. Appendix 1

**Appendix 1.1 Maps of Supply bases zoomed in on polygon**

A white square with a blue border

Description automatically generated

**Appendix 1.2 Map of Supply Base zoomed out**

A white square with a blue border

Description automatically generated

# 14. Appendix 2: History of the changes in the current certification cycle

|  |  |  |
| --- | --- | --- |
| **Assessment Type** | **Date of Audit** | **Changes** |
| Please choose | DD Mmm YYYY | e.g. additional of smallholder, removal of smallholder *etc.*  The row can be added as necessary |