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Description automatically generated

**RSPO P&C GROUP CERTIFICATION**

**AUDIT REPORT**

(NAME OF MANAGEMENT UNIT)

|  |  |
| --- | --- |
| **Audit Application Number:** |  |
| **Audit Type:** | Choose Audit Type |
| **Date of Audit:** | DD Mmm YYYY - DD Mmm YYYY |
| **Audit Report Number:** |  |
| **Revision Number:** |  |
| **Audit Report Date** | DD Mmm YYYY |

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# Certification Body Background

## 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

## Organisational Overview

|  |  |
| --- | --- |
| **Management Unit Information**  ***Note: Management Unit refers to unit of certification*** | |
| Name of Management Unit/s | i.e Name of Group |
| Address of the Management Unit/s | i.e address of Group |
| Country |  |
| Websites |  |
| Description of the Management Unit | General description of the organisation (e.g., operations, customers, products, ownership structure, function of the sites, date of membership, number of employees, summary of social aspects and stakeholders’ relationship) |
| Management Representative Name |  |
| Management Representative Designation |  |
| Management Representative Email |  |

## RSPO Membership Information

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

## Certificate Information

|  |  |
| --- | --- |
| **Certificate Information** | |
| Certificate No. |  |
| prisma Document Reference Number | *(N/A until June 2025)* |
| RSPO PalmTrace ID No. |  |
| prisma Trading ID | prisma auto-generated |
| Scope of Certification |  |
| Supply Chain Model | * Identity Preserved (IP) |
| Applicable Standards /  Normative Reference | * Principles and Criteria for the Production of Sustainable Palm Oil 2018 * RSPO Certification Systems for Principles & Criteria and RSPO Independent Smallholder Standard 2020 * RSPO Management System Requirements for Group Certification of FFB Production 2022 * RSPO Rules on Market Communication and Claims 2022 |
| National Interpretation (NI) | Not Applicable |
| Initial Date of Certification: | DD Mmm YYYY (Date of first RSPO certification) |
| Effective Date of Certificate: | DD Mmm YYYY |
| Expiry Date of Certificate: | DD Mmm YYYY |
| Name of Peer Reviewer | Only for the case of IC or RC |

# Description of the Management Unit

| **Information of Group Manager** | | | |
| --- | --- | --- | --- |
| **Name of Group Manager** | **Address of Group Manager** | **GPS Coordinates** | |
| **Latitude** | **Longitude** |
| *Add rows as necessary* |  |  |  |
| Remarks:  To include additional information wherever applicable | | | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Information of Group Members** | | | | | |
| **No** | **Name of Group Members** | **Address of Supply Bases** | **Type of Supply Bases** | **GPS Coordinates** | |
| **Latitude** | **Longitude** |
| *1* | *Add rows as necessary* |  | Choose an item. |  |  |

## Area Statement of the Management Unit

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Area Statement of Management Unit** | | | | | | | | | |
| **Name of the Group Members** | **Certified Area**  **(Ha)** | **Planted Area (Ha)** | | | **Unplanted Area (Ha)** | | | | |
| **Oil palm planted on non peatland** | **Oil Palm Planted on Peat** | **Other Crop(s)** | **HCV** | **HCS** | **HCV-HCS** | **Conservation** | **Facilities / Others\*** |
|  |  |  |  |  |  |  |  |  |  |
| *Add rows as necessary* |  |  |  |  |  |  |  |  |  |
| **TOTAL** |  |  |  |  |  |  |  |  |  |
| Remarks:  To include information wherever applicable | | | | | | | | | |

## Age Profile of the Management Unit

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Name of the Group Members** | **Land size (Ha) by age of the Oil Palm** | | | | **Production Area**  **(Ha)** | **Total Planted** **Area**  **(Ha)** |
| **0 - 3**  **Phase 1** | **4-6**  **Phase 2** | **7-18**  **Phase 3** | **≥19**  **Phase 4** |
| *Add rows as necessary* |  |  |  |  |  |  |
| **TOTAL (ha)** |  |  |  |  |  |  |
| **Remarks:** To include additional information wherever applicable | | | | | | |

Notes: This age profile range is used based on the common phase of oil palm age as referred in <https://www.researchgate.net/publication/327527812>.

## Replanting program of the Management Unit (5 Years)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Name of the Group Members** | **Land area (ha) by year** | | | | | **Total Area**  **(Ha)** |
| 20xx | 20xy | 20xz | 20xa | 20xb |
| *Add rows as necessary* |  |  |  |  |  |  |
| **TOTAL (ha)** |  |  |  |  |  |  |

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

## Projected Certified Volume for Next License

|  |  |  |
| --- | --- | --- |
| **Information of New License** | | |
| **Next License Period** | Start Date |  |
| End Date |  |
| **Projected FFB Volume (MT)** |  | |

## Information of Previous & Current License

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Information of License** | **Previous Year License** | | **Current Year License** | |
| **License Period** | Start Date |  | Start Date |  |
| End Date |  | End Date |  |
| **Actual Production Period Reported** | From |  | From |  |
| To |  | To |  |
| **Projected FFB Certified Volume (MT)** |  | |  | |
| **Actual FFB Produced Volume (MT)** |  | |  | |
| **Actual FFB Volume as RSPO Certified (MT)** |  | |  | |
| **Actual FFB Volume Sold as Conventional (MT)** |  | |  | |
| **Actual FFB Volume Sold as Other Scheme Certified (MT)** |  | |  | |
| **Actual CSPO Credits Volume Sold** |  | |  | |

# Audit Programme

## Audit Methodology

Free text area for the CB to describe the audit methodology, location of the auditor (onsite/ remote), audit objective, 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.

## Audit Team Member

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

## Audit Plan

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Date** | **Time** | **CAB Auditor Number** | **Location** | **Activity** |
| DD Mmm YYYY | 00.00 am -00.00 pm |  | e.g. Estate Name |  |
| DD Mmm YYYY | 00.00 am -00.00 pm |  |  |  |
| DD Mmm YYYY | 00.00 am -00.00 pm | *Add rows as necessary* |  |  |

Notes: Include the number of hours spent at the sample sites for each day of the audit, including the time for the opening and closing meeting

## Changes of the Initial Audit Plan (if applicable)

*Free text area for the CB to describe if any changes on initial audit plan e.g. change of lead auditor, change location*

## Sampling Details

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Description of Management Unit** | **Number of Estate/Members** | **Risk Factor** | **Result**  **x = (0.8√y) x (z)** | **Total Sampled** |
| ***Group Manager*** | NA | NA | NA | Group manager shall be audited. |
| ***Group Members*** | | | | |
| ***Own Estate*** |  | Choose an item |  |  |
| ***Managed Estate*** |  | Choose an item |  |  |
| ***Scheme smallholders*** |  | Choose an item |  |  |

Notes: Auditing is based on a sampling process of the available information

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Name of Group Member** | **Year 1** | **Year 2** | **Year 3** | **Year 4** | **Year 5** |
| **20xx** | **20xx** | **20xx** | **20xx** | **20xx** |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
| *Rows (including the tickbox) can be added as necessary* |  |  |  |  |  |

## Sampling History of Current Certification Cycle

## 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; | Kindly describe the requirements | |
| 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; | Kindly describe the requirements | |
| Successfully completed a refresher course for RSPO endorsed P&C lead auditor course every three (3) years after the initial qualification as lead auditor | Kindly describe the requirements | |
| **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: | Kindly describe the requirements |
| Audit Team Member 1: |  |
| Audit Team Member 2: | *The row can be added as necessary* |
| 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 Member 1: |  |
| Audit Team Member 2: | *The row can be added as necessary* |
| Successfully completed an RSPO endorsed P&C lead auditor course | Audit team Leader: |  |
| Audit Team Member 1: |  |
| Audit Team Member 2: |  |
| Successfully completed the 5-day lead auditor course for ISO 9001 or ISO 14001 or ISO 45001. | Audit team Leader: |  |
| Audit Team Member 1: |  |
| Audit Team Member 2: | *The row can be added as necessary* |
| Demonstrable understanding of the latest version of RSPO Certification Systems | Audit team Leader: |  |
| Audit Team Member 1: |  |
| Audit Team Member 2: | *The row can be added as necessary* |
| 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 Member 1: |  |
| Audit Team Member 2: |  |
| For auditors verifying compliance with NPP procedures, auditors shall additionally be trained in the assessment of compliance with FPIC, HCV and HCS requirements in the context of RSPO NPP procedure | Audit team Leader: |  |
| Audit Team Member 1: |  |
| Audit Team Member 2: | *The row can be added as necessary* |
| 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 Member 1: |  |
| Audit Team Member 2: |  |
| Knowledgeable and experience of the local/regional laws | Audit team Leader: |  |
| Audit Team Member 1: |  |
| Audit Team Member 2: | *The row can be added as necessary* |
| Knowledgeable in Best Agricultural Practices, and Integrated Pest Management, pesticide and fertiliser use; | Audit team Leader: |  |
| Audit Team Member 1: |  |
| Audit Team Member 2: | *The row can be added as necessary* |
| 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 Member 1: |  |
| Audit Team Member 2: | *The row can be added as necessary* |
| 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 Member 1: |  |
| Audit Team Member 2: | *The row can be added as necessary* |
| Experience in handling of land rights, gender and indigenous peoples’ issues; | Audit team Leader: |  |
| Audit Team Member 1: |  |
| Audit Team Member 2: | *The row can be added as necessary* |
| 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 Member 1: |  |
| Audit Team Member 2: | *The row can be added as necessary* |
| Where applicable, knowledge on the ISH context | Audit team Leader: |  |
| Audit Team Member 1: |  |
| Audit Team Member 2: | *The row can be added as necessary* |
| Fluent in one of the main national languages | Audit team Leader: |  |
| Audit Team Member 1: |  |
| Audit Team Member 2: | *The row can be added as necessary* |
| Knowledgeable in supply chain requirements of the palm oil mill. The auditor performing this task shall have successfully completed the RSPO endorsed SCC lead auditor training course.  Note: this does not apply for ISH or Group Certification. | Audit team Leader: |  |
| Audit Team Member 1: |  |
| Audit Team Member 2: | *The row can be added as necessary* |

# Audit Findings & Results

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requirements** | | **Audit Findings** | | | **Audit Findings (Public Summary)** | | **Results** |
| **Element 1 (E1): Group entity and group management requirements** | | | | | | | |
| **E1.1 The Group Entity shall be legally formed** | | | | | | | |
| E1.1.1: | There shall be documentary evidence of a clearly identified and legal entity. The Group Entity  shall:   * be a registered organisation as defined by law in the country of registration (e.g. as a * company or an organisation). * be a member of the RSPO * establish the structure of the organisation * appoint a Group Manager (see E1.2) | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement   Not Applicable (justification required) | |
| E1.1.2 | The Group Entity shall have documented membership requirements for the participation of  individual members in the Group which will also cover new members.   * There shall be documentary evidence that the group members have formally joined the group. * Formal members of the group shall sign an agreement with the Group Manager committing to achieving compliance with the applicable RSPO standards and requirements. * The Group Manager shall keep copies of the agreements and shall demonstrate that each member has received a copy thereof. * The Group Manager shall retain copies for a minimum of five years. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) | |
| E1.1.3 | The Group Manager shall keep evidence that the nature and structure of the group has been  communicated to all members of the Group in an appropriate manner. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) | |
| **E1.2 The Group shall be managed by a Group Manager** | | | | | | | |
| E1.2.1 | The appointed Group Manager shall be either an identified legal entity or an individual acting on behalf of the legal entity, i.e. the Group Entity (E1.1.1).  The Group Manager shall ensure the Group’s compliance with the Group Certification System   * requirements and is responsible for the preparation and implementation of the Internal Control System (ICS). * If the Group Manager is not an individual but an entity: * then the entity shall appoint an individual as management representative; and * there shall be a description of the general structure detailing the positions and responsibilities of all personnel involved. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement   Not Applicable (justification required) | |
| E1.2.2 | The Group Manager shall be able to demonstrate sufficient resources and capacity for  managing the group's performance towards compliance with the RSPO P&C.  *Guidance:*  *The Group Manager should have the capacity to control, monitor and evaluate all members*  *as to their compliance with the RSPO P&C, including communicating with them and visiting*  *them at the required frequencies.*  *Specifically, the Group Manager should be able to demonstrate the ability to:*   * manage the Group Procedures and Documentation known as the ICS. * define Group membership requirements. * ensure compliance with the Group Certification System and RSPO P&C, including any corrective actions raised by the certification body are adequately addressed within the agreed timeframe. * ensure compliance with all other relevant RSPO requirements outlined in Section 1.4, bearing in mind that applicability may depend on an individual grower’s plantation size or nature. * demonstrate sufficient resources – i.e. human, financial, physical and other relevant resources – to enable effective and impartial technical and administrative management of the Group. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement   Not Applicable (justification required) | |
| E1.2.3 | The Group Manager and/or their personnel shall be able to demonstrate competence and  knowledge of the latest versions of the:   * RSPO P&C and/or applicable National Interpretation * Certification System for the P&C and Independent Smallholder Standard * Group Certification System for FFB production * RSPO IT Platform (PalmTrace) for trading the group’s certified products for both physical and credit sales * Internal group procedures and policies | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement   Not Applicable (justification required) | |
| E1.2.4 | E1.2.4 The Group Manager shall provide potential and existing Group members with the following:   * an explanation of the RSPO certification process. * an explanation of the criteria for group membership. * an explanation as to the Group Manager’s needs and the rights of the certification body to access the group members' documentation and plantations for the purposes of evaluation and monitoring. * an explanation of the certification bodies and RSPO requirements with respect to public information. * an explanation of any obligations with respect to group membership, such as: * maintenance of information for monitoring purposes; * requirement to conform with conditions or corrective actions issued by the certification body. * any costs associated with group membership. * other obligations of group membership. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement   Not Applicable (justification required) | |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requirements** | | **Audit Findings** | | | **Audit Findings (Public Summary)** | | **Results** |
| **Element 2 (E2): Internal Control System – Policies and Management** | | | | | | | |
| **E.2.1 The Group Internal Control System shall contain documented policies and procedures for**  **operational management** | | | | | | | |
| E2.1.1 | The Group Internal Control System shall contain procedures for decision-making and responsibilities within the group (including the authority of the Group Manager). | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement   Not Applicable (justification required) | |
| E2.1.2 | The Group Manager shall manage the Group in a systematic and effective manner by:   * identifying the geographical area to be covered by the Group. * preparing, maintaining and documenting the Group management structure * clearly identifying the responsibilities of all individuals employed by the Group Manager * for the running of the Group. * preparing and maintaining the rules of the Group including the criteria for membership and procedures for expulsion and/or sanctions for members that do not comply with the group certification requirements. * organising at least one group meeting annually. * defining the procedure for the initial gap audit which can be a self assessment. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) | |
| E2.1.3 | The Group Internal Control System shall include an initial gap audit procedure (i.e., baseline  assessment and needs for compliance) as a prerequisite for applicants wishing to join the  Group. The initial gap audits with existing and any potential new members shall be carried  out to assess the following (at least):   * Land title or right to use the land can be demonstrated. * No existing land conflict(s). * No plantings have replaced primary forests or affected one or more High Conservation Value (HCV) and High Carbon Stock Area (HCSA) (RSPO P&C 2018, Criteria 7.12) *(Note: In* *the case of Scheme Smallholders, the company (owning/managing the mill) holds the* *liability for compensation for any new plantings undertaken since November 2005).* * Existing plantings on peatlands and/or steep terrains. * If there is/are existing planting(s) on peatland, the management regime and status. * No new planting(s) on peat land and/or status of existing planting(s) on peatland. * Status and sources of workers. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) | |
| E2.1.4 | The Group ICS shall contain procedures for maintaining records for all Group members.  Records shall be kept up to date at all times for all Group members. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) | |
| E2.1.5 | The Group Manager shall implement a system to maintain the following central records and  reports:   * List of names and full contact details of group members and applicable method of communication. * Location maps (including geo-location). Area of oil palm in hectares. * Land titles/right of use of the land. * A copy of the signed declaration of the grower becoming a member of the group, including the date. * Unique member registration numbers are assigned to individual members. * The date when the member signed the declaration of intent as stated in the Group Membership Requirements. * Date of leaving the Group if applicable and the reasons why. * Projected and actual FFB production in metric tonnes per annum. * Monitoring and training records. * Any corrective actions raised and actions taken to meet the requirements for compliance. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) | |
| E2.1.6 | Relevant group records shall be archived for a minimum of 5 years using an appropriate secure system, and should be kept up to date at all times for Group members. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) | |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requirements** | | **Audit Findings** | | | **Audit Findings (Public Summary)** | | **Results** |
| **Element 3 (E3): Internal Control System – Operation** | | | | | | | |
| **E3.1 The Group Internal Control System shall develop and implement an internal audit**  **programme of Group members.** | | | | | | | |
| E3.1.1 | The Group Manager shall establish, implement and maintain (a) procedure(s) for internal  audit. As a minimum the following information shall be included (but not limited to):   * The methodology, competence of internal auditors, audit criteria, frequency of internal audits, and addressing non-conformity. * Schedule annual internal audits of all Group members in order to confirm continued conformance with all the Group Certification requirements. * Maintenance of all internal audit records. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement   Not Applicable (justification required) | |
| E3.1.2 | The Group Manager shall conduct annual internal audits for all group members as planned. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) | |
| E3.1.3 | The Group Manager and the internal auditors shall jointly declare no conflict of interest for the internal audit process. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) | |
| E3.1.4 | The Group Manager shall carry out a risk assessment of Group members to identify an  appropriate sampling intensity of Group members for the certification assessment. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) | |
| **E3.2 The Group Internal Control System shall include a system in place to enable the trading of**  **RSPO certified Fresh Fruit Bunches (FFB) produced from the Group.** | | | | | | | |
| E3.2.1 | The Group Manager shall document and implement a system for the tracking and tracing of FFB produced by the group members, and intended to be sold as RSPO certified FFB. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) | |
| E3.2.2 | The Group shall produce 100% CFFB and trade under the RSPO Supply Chain System. There  shall be a collective Group procedure for the sale of all certified FFB and to ensure that noncertified  FFB are not mixed with the certified FFB.  Procedural Notes:  The Group should not mix the certified FFB with the non-certified one. If CFFB is combined with a non-certified FFB prior to the sale and delivery to a palm oil mill, then the whole FFB cannot be considered as certified.  Mill needs to know the volume of certified FFB that are dispatched to the mill. This is done  through weighing of the FFB which is normally measured at the mill site. If the certified and non-certified FFB are mixed at the collection point, it will not be feasible for the mill to determine the volume of certified and non-certified FFB.  The group can sell CSPO Credits, where the physical FFB will be traded as conventional (noncertified). | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) | |
| E3.2.3 | All sales of FFB originating from the plantations of Group members shall be documented and recorded.   * The relevant group members’ group identification number * Invoices and receipts (purchase and sale) * Information on transport (i.e., registration number/number plate) * Information on FFB price * Classification of the FFB sold (i.e., RSPO certified or not), FFB volume and destination * Information on geo-location of FFB origins * Proof of ownership status or the right/claim to the land by the grower/smallholder * Where applicable, valid planting/operating/trading license, or if it is part of a cooperative which allows the buying and selling of FFB. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) | |
| E3.2.4 | The Group Manager shall maintain copies of all documentation and records mentioned in E3.2.3 related to Group CFFB transactions for a minimum period of 5 years. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) | |
| E3.2.5 | Traders of FFB shall be either part of the Group management system following this guidance or be RSPO Supply Chain certified in order to sell certified FFB. If the FFB Trader is RSPO Supply Chain certified, a copy of the certificate shall be provided to the Group Manager. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) | |
| E3.2.6 | The Group Manager shall ensure that any trading done through a trader shall have clear procedures to ensure that calculations are accurate and that all FFB sold by the trader is traceable back to the Group members. There shall be a contract between the FFB trader and the Group Manager and the FFB trader shall maintain complete purchase and sales records. | |  |  | | * Conform * Major Nonconformity * Opportunity for Improvement * Not Applicable (justification required) | |

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| **Criterion / Indicator** | | **Audit Findings** | **Audit Findings (Public Summary)** | **Results** |
| **Principle 1: Behave Ethically and Transparently** | | | | |
| **Criterion 1.1:**  The unit of certification provides adequate information to relevant stakeholders on environmental, social and legal issues relevant to RSPO Criteria, in appropriate languages and forms to allow for effective participation in decision making. | | | | |
| 1.1.1 (C) | Management documents that are specified in the RSPO P&C are made publicly available and shall include (but are not necessarily limited to):   * Land titles/user rights (Criterion 2.2); * Occupational health and safety plans (Criterion 4.7); * Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); * HCV documentation (Criteria 5.2 and 7.3); * Pollution prevention and reduction plans (Criterion 5.6); * Details of complaints and grievances (Criterion 6.3); * Negotiation procedures (Criterion 6.4); * Continual improvement plans (Criterion 8.1); * Public summary of certification assessment report; Human Rights Policy (Criterion 6.13). |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
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| 1.1.2 | Information is provided in appropriate languages and made accessible to relevant stakeholders. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement   Not Applicable (justification required) |
| 1.1.3 (C) | Records of requests for information and responses shall be maintained. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| 1.1.4 (C) | Consultation and communication procedures are documented, disclosed, implemented, made available, and explained to all relevant stakeholders by a nominated management official. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement   Not Applicable (justification required) |
| 1.1.5 | There is a current list of contact and details of stakeholders and their nominated representatives. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement   Not Applicable (justification required) |

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| **Criterion 1.2:**  The unit of certification commits to ethical conduct in all business operations and transactions. | | | | |
| 1.2.1 | A policy for ethical conduct is in place and implemented in all business operations and transactions, including recruitment and contracts. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| 1.2.2 | A system is in place to monitor compliance and the implementation of the policy and overall ethical business practice. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

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| **Principle 2:**  **Operate legally and respect rights - Implement legal requirements as the basic principles of operation in any jurisdiction.** | | | | |
| **Criterion 2.1:**  There is compliance with all applicable local, national and ratified international laws and regulations. | | | | |
| 2.1.1 (C) | The unit of certification complies with applicable legal requirements. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement   Not Applicable (justification required) |
| 2.1.2 | A documented system for ensuring legal compliance is in place. This system has a means to track changes to the law and also includes listing and evidence of legal due diligence of all contracted third parties, recruitment agencies, service providers and labour contractors. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement   Not Applicable (justification required) |
| 2.1.3 | Legal or authorised boundaries are clearly demarcated and visibly maintained, and there is no planting beyond these legal or authorised boundaries. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement   Not Applicable (justification required) |

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| **Criterion 2.2:**  All contractors providing operational services and supplying labour, and Fresh Fruit Bunch (FFB) suppliers, comply with legal requirements. | | | | |
| 2.2.1 | A list of contracted parties is maintained. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| 2.2.2 | All contracts, including those for FFB supply, contain specific clauses on meeting applicable legal requirements, and this can be demonstrated by the third party. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| 2.2.3 | All contracts, including those for FFB supply, contain clauses disallowing child, forced and trafficked labour. Where young workers are employed, the contracts include a clause for their protection. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

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| **Criterion 2.3:**  All FFB supplies from outside the unit of certification are from legal sources. | | | | |
| 2.3.1 (C) | 2.3.1 (C) For all directly sourced FFB, the mill requires:   * Information on geo-location of FFB origins * Proof of the ownership status or the right/claim to the land by the grower/ smallholder * Where applicable, valid planting/ operating/ trading license, or is part of a cooperative which allows the buying and selling of FFB |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| 2.3.2 | For all indirectly sourced FFB, the unit of certification obtains from the collection centres, agents or other intermediaries, the evidence as listed in Indicator 2.3.1.  PROCEDURAL NOTE: For Implementation Procedure for 2.3.2 refer to Annex 4. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |

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| **Principle 3:**  **Optimise productivity, efficiency, positive impacts and resilience** | | | | |
| **Criterion 3.1:**  There is an implemented management plan for the unit of certification that aims to achieve long-term economic and financial viability. | | | | |
| 3.1.1 (C) | A business or management plan (minimum three years) shall be documented and includes, where applicable, a jointly developed business case for Scheme Smallholders. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| 3.1.2 | An annual replanting programme projected for a minimum of five years, is available. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| 3.1.3 | The unit of certification holds management reviews at planned intervals appropriate to the scale and nature of the activities undertaken and has agenda with the following minimum items:  Results of internal audits  Customer feedback  Process performance and product conformity  Status of preventive and corrective actions  Follow-up actions from management reviews  Changes that could affect the management system  Recommendations for improvement |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **Criterion 3.2:**  The unit of certification regularly monitors and reviews their economic, social and environmental performance and develops and implements action plans that allow demonstrable continuous improvement in key operations. | | | | |
| 3.2.1 (C) | The action plan for continuous improvement is implemented, based on consideration of the main social and environmental impacts and opportunities of the unit of certification.  Action plans include continual improvement for the following:  i. Optimising the yield of the supply base.  ii. Reduction in use of pesticides (Criterion 7.2)  iii. Environmental impacts (Criteria 3.4, 7.6 and 7.7)  iv. Waste reduction (Criterion 7.3)  v. Pollution and greenhouse gas (GHG) emissions (Criterion 7.10)  vi. Impacts on communities, workers and smallholders (Principle 6)  vii. Integrated management of HCV-HCS, peatland and other conservation areas (Criteria 7.7 and 7.12) |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| 3.2.2 | As part of the monitoring and continuous improvement process, annual reports are submitted to the RSPO Secretariat using the RSPO metrics template. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **Criterion 3.3:**  Operating procedures are appropriately documented, consistently implemented and monitored. | | | | |
| 3.3.1 (C) | Standard Operating Procedures (SOPs) for the unit of certification are in place. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| 3.3.2 | A mechanism to check consistent implementation of procedures is in place. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| 3.3.3 | Records of monitoring and any actions taken are maintained and available. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| **Criterion 3.4:**  A comprehensive Social and Environmental Impact Assessment (SEIA) is undertaken prior to new plantings or operations, and a social and environmental management and monitoring plan is implemented and regularly updated in ongoing operations. | | | | |
| 3.4.1 (C) | In new plantings or operations including mills, an independent SEIA, undertaken through a participatory methodology involving the affected stakeholders and including the impacts of any smallholder/outgrower scheme, is documented. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| 3.4.2 | For the unit of certification, a SEIA is available and social and environmental management and monitoring plans have been developed with participation of affected stakeholders. |  |  | * Conform * Major Nonconformity * Minor Nonconformity * Opportunity for Improvement * Not Applicable (justification required) |
| 3.4.3 (C) | The social and environmental management and monitoring plan is implemented, reviewed and updated regularly in a participatory way. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 3.5:**  A system for managing human resources is in place. | | | | |
| 3.5.1 | Employment procedures for recruitment, selection, hiring, promotion, retirement and termination are documented and made available to the workers and their representatives. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.5.2 | Employment procedures are implemented and records are maintained. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
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| 3.6.1 (C) | All operations are risk assessed to identify H&S issues. Mitigation plans and procedures are documented and implemented. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.6.2 (C) | The effectiveness of the H&S plan to address health and safety risks to people is monitored |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 3.7:**  All staff, workers, Scheme Smallholders, outgrowers, and contract workers are appropriately trained. | | | | |
| 3.7.1 (C) | A documented programme that provides training is in place, which is accessible to all staff, workers, Scheme Smallholders and outgrowers, taking into account gender-specific needs, and which covers applicable aspects of the RSPO P&C, in a form they understand, and which includes assessments of training.  Training for workers must cover, at minimum, the following:  - the health and environmental risks of pesticide exposure;  - recognition of acute and long-term exposure symptoms including the most vulnerable groups (e.g. young workers, pregnant women);  - International and national instruments or regulations that protect workers’ health;  - Productivity and best management practice;  - relevant SOPs. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.7.2 | Records of training are maintained, where appropriate on an individual basis. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.7.3 | Appropriate training is provided for personnel carrying out the tasks critical to the effective implementation of the Supply Chain Certification Standard (SCCS). Training is specific and relevant to the task(s) performed. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 3.8:**  Supply Chain Requirements for Mills | | | | |
| 3.8.1 | Identity Preserved Module  A mill is deemed to be IP is the FFB processed by the mill are sourced from plantations/estates that are certified against the RSPO P&C, or against a Group Certification Scheme  Certification for the CPO mills is necessary to verify the volumes and sourced of certified FFB entering the mill, the implementation of any processing control as and volume sales of RSPO certified products. If a mill processes certified and uncertified FFB without physically separating them, the inly MB Module is applicable. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.8.2 | Mass balance Module  A mill is deemed to be MB is the mill process FFB from both RSPO certified and uncertified plantations/estates. A mill may be taking delivery of FFB from uncertified growers, in addition to those from its own and 3rd party certified supply base. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.8.3 | The estimated tonnage of CPO and PK products that could potentially be produced by the certified mill shall be recorded by the CB in the public summary of the P&C certification report. This figure represents the total volume of certified oil palm product (CPO and PK) that the certified mill is allowed to deliver in a year. The actual tonnage produced shall then be recorded in each subsequent annual surveillance report. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.8.4 | The mill shall also meet all registration and reporting. Requirements for the appropriate supply chain through the RSPO IT platform |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.8.5 | Documented Procedures  The mill shall have written procedures and/or work instructions or equivalent to ensure the implementation of all elements of the applicable supply chain model specified. This shall include at minimum the following:   * 1. Complete and up to date procedures covering the implementation of all elements of the supply chain model requirements   2. Complete and up to date records and reports that demonstrate compliance with the supply chain model requirements (including training records)   3. Identification of the role of the person having the overall responsibility for and authority over the implementation of these requirements and compliance with all applicable requirements. This person shall be able to demonstrate awareness of the mill’s procedures for the implementation of this standard.   4. The mill shall have documented procedures for receiving and processing certified and non-certified FFB’s including ensuring no contamination in the IP mill. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.8.6 | Internal Audit   1. The mill shall have a written procedure to conduct an annual internal audit to determine whether the mill; 2. Conforms to the requirements in the RSPO SC requirements for mills and the RSPO Rules on Market Communication and Claims 3. Effectively implements and maintains the standard requirements within its organization. 4. Any con-conformities found as part of the internal audit shall be issued and required corrective action. The outcomes of the internal audits and all actions taken to correct non-conformities shall be subject to management review at least annually. The mills shall maintain the internal audit records and reports. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.8.7 | Purchasing and Goods In   1. The mill shall verify and document. The tonnage and sources of certified and the tonnage of non-certified FFB’s received. 2. The mill shall inform the CB immediately if there is a projected overproduction of certified volume 3. The ill shall have a mechanism in place for handling of non-conforming FFB and/or documents. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.8.8 | Sales and Goods Out  The supplying mill shall ensure that the following minimum information for RSPO certified products is made available in document form. The information shall be complete and can be presented either on a single-documents or across a range of documents issued for RSPO certified oil palm products (for example, delivery notes, shipping documentation and specification documentation):   1. The name and address of buyer; 2. The name and address of the seller 3. The leading or shipment/delivery date; 4. The date on which the documents were issued; 5. RSPO certificate number; 6. A description of the product, including the applicable supply chain model (IP or MB or the approved abbreviations); 7. The quantity of the products delivered; 8. Any related transport documentation 9. A unique identification number |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.8.9 | Outsourcing Activities   1. The mill shall not outsource its milling activities. In cases where the mill outsourced activities to independent third parties (e.g. subcontractors for storage, transport or other outsourced activities), the mill holding the certificate shall ensure that the independent third party complies with relevant requirements of this RSPO SC Certification. 2. The mill shall ensure the following: 3. The mill has legal ownership of all input material to be included in outsourced processes 4. The mill has an agreement or contract covering the outsourced process with each contractor through a signed and enforceable agreement with the contractor. The onus is on the mill to ensure that CB has access to the outsourcing contractor or operation if an audit is deemed necessary. 5. The mill has a documented control system with explicit procedures for the outsourced process which is communicated to the relevant contractor. 6. The mill shall furthermore ensure (e.g. through contractual arrangements) that independent third parties engaged provide relevant access for duly accredited CBs to the respective operations, systems, and all information, when this is announced in advance. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.8.10 | The mill shall record the names and contact t details of all contractors used for the physical handling of RSPO certified oil palm products. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.8.11 | The mill shall inform its CB in advance prior to conduct of its next audit of the names and contact details of any new contractor used for the physical handling of RSPO certified oil palm products. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.8.12 | Record Keeping   1. The mill shall maintain accurate, complete, up-to-date and accessible records and reports covering all aspects of this RSPO Supply Chain Certification Standard requirements. 2. Retention times for all records and reports shall be a minimum of two (2) years and shall comply with relevant legal and regulatory requirements and be able to confirm the certified status of raw materials or products held in stock. 3. For Identity Preserved Module, the mill shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a real-time basis. 4. For Mass Balance Module, the mill:    1. Shall record and balance all receipts of RSPO certified FFB and deliveries of RSPO certified CPO and PK on a real-time basis and / or three-monthly basis.    2. All volumes of certified CPO and PK that are delivered are deducted from the material accounting system according to conversion ratios stated by RSPO.    3. The mill can only deliver Mass Balance sales from a positive stock. Positive stock can include product ordered for delivery within three (3) months. However, a mill is allowed to sell short (i.e. product can be sold before it is in stock.) |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.8.13 | Extraction rate  The oil extraction rate (OER) and the kernel extraction rate (KER) shall be applied to provide a reliable estimate of the amount of certified CPO and PK from the associated inputs. Mill shall determine and set  their own extraction rates based upon past experience, documented and applied it consistently. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.8.14 | Extraction rates shall be updated periodically to ensure accuracy against actual performance or industry average if appropriate. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.8.15 | Processing  For Identity Preserved Module, the mill shall assure and verify through documented procedures and record keeping that the RSPO certified oil palm product is kept separated from non-certified oil palm products, including during transport and storage to strive for 100% separation. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.8.16 | Registration of Transactions   1. Shipping Announcement in the RSPO IT platform shall be carried out by the mills when RSPO certified products are sold as certified to refineries, crushers, and traders not more than three months after dispatch with the dispatch date being the Bill of Lading or the dispatch documentation date. 2. Remove: RSPO certified volumes sold under different scheme or as conventional, or in case of underproduction, loss or damage shall be removed in the RSPO IT platform |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 3.8.17 | Claims  The mill shall only make claims regarding the production of RSPO certified oil that are in compliance with the RSPO Rules on Market Communications and Claims. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |

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| **Criterion / Indicator** | | **Audit Findings** | **Audit Findings (Public Summary)** | **Results** |
| **Principle 4: Respect Community and Human Rights and Deliver Benefits** | | | | |
| **Criterion 4.1:**  The unit of certification respects human rights, which includes respecting the rights of Human Rights Defenders | | | | |
| 4.1.1 (C) | A policy to respect human rights, including prohibiting retaliation against Human Rights Defenders (HRD), is documented and communicated to all levels of the workforce, operations, supply chain and local communities and prohibits intimidation and harassment by the unit of certification and contracted services, including contracted security forces. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.1.2 | The unit of certification does not instigate violence or use any form of harassment, including the use of mercenaries and paramilitaries in their operations. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |

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| **Criterion 4.2:** **There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all affected parties.** | | | | | |
| 4.2.1 (C) | The mutually agreed system, open to all affected parties, resolves disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants, HRD, community spokespersons and whistleblowers, where requested, without risk of reprisal or intimidation and follows the RSPO policy on respect for HRD. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.2.2 | Procedures are in place to ensure that the system is understood by the affected parties, including by illiterate parties. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.2.3 | The unit of certification keeps parties to a grievance informed of its progress, including against agreed timeframe and the outcome is available and communicated to relevant stakeholders. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.2.4 | The conflict resolution mechanism includes the option of access to independent legal and technical advice, the ability for complainants to choose individuals or groups to support them and/or act as observers, as well as the option of a third-party mediator. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 4.3:** The unit of certification contributes to local sustainable development as agreed by local communities. | | | | | |
| 4.3.1 (C) | Contributions to community development that are based on the results of consultation with local communities are demonstrated. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |

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| **Criterion 4.4:**  Use of the land for oil palm does not diminish the legal, customary or user rights of other users without their free, prior and informed consent. | | | | |
| 4.4.1 (C) | Documents showing legal ownership or lease, or authorised use of customary land authorised by customary landowners through a Free, Prior and Informed Consent (FPIC) process. Documents related to the history of land tenure and the actual legal or customary use of the land are available. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.4.2 | Copies of documents evidencing agreement-making processes and negotiated agreements detailing the FPIC process are available and include.  a) Evidence that a plan has been developed through consultation and discussion in good faith with all affected groups in the communities, with particular assurance that vulnerable, minorities’ and gender groups are consulted, and that information has been provided to all affected groups, including information on the steps that are taken to involve them in decision making. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.4.3 (C) | Maps of an appropriate scale showing the extent of recognised legal, customary or user rights are developed through participatory mapping involving affected parties (including neighbouring communities where applicable, and relevant authorities). |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.4.4 | All relevant information is available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements.. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.4.5 (C) | Evidence is available to show that communities are represented through institutions or representatives of their own choosing, including by legal counsel if they so choose. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.4.6 | There is evidence that implementation of agreements negotiated through FPIC is annually reviewed in consultation with affected parties. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 4.5:**  No new plantings are established on local peoples’ land where it can be demonstrated that there are legal, customary or user rights, without their FPIC. This is dealt with through a documented system that enables these and other stakeholders to express their views through their own representative institutions | | | | |
| 4.5.1 (C) | Documents showing identification and assessment of demonstrable legal, customary and user rights are available |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.5.2 (C) | FPIC is obtained for all oil palm development through a comprehensive process, including in particular, full respect for their legal and customary rights to the territories, lands and resources via local communities’ own representative institutions, with all the relevant information and documents made available, with option of resourced access to independent advice through a documented, long-term and two-way process of consultation and negotiation. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.5.3 | Evidence is available that affected local peoples understand they have the right to say ‘no’ to operations planned on their lands before and during initial discussions, during the stage of information gathering and associated consultations, during negotiations, and up until an agreement with the unit of certification is signed and ratified by these local peoples. Negotiated agreements should be non-coercive and entered into voluntarily and carried out prior to new operations.  b) Evidence that the unit of certification has respected communities’ decisions to give or withhold their consent to the operation at the time that these decisions were taken.  c) Evidence that the legal, economic, environmental and social implications of permitting operations on their land have been understood and accepted by affected communities, including the implications for the legal status of their land at the expiry of the unit of certification’s title, concession or lease on the land. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.5.4 | To ensure local food and water security, as part of the FPIC process, participatory SEIA and participatory land-use planning with local peoples, the full range of food and water provisioning options are considered. There is transparency of the land allocation process. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.5.5 | Evidence is available that the affected communities and rights holders have had the option to access to information and advice that is independent of the project proponent, concerning the legal, economic, environmental and social implications of the proposed operations on their lands. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.5.6 | Evidence is available that the communities (or their representatives) gave consent to the initial planning phases of the operations prior to the issuance of a new concession or land title to the operator.. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.5.7 | New lands will not be acquired for plantations and mills after 15 November 2018 as a result of recent (2005 or later) expropriations in the national interest without consent (eminent domain), except in cases of smallholders benefitting from agrarian reform or anti-drug programmes. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.5.8 (C) | New lands are not acquired in areas inhabited by communities in voluntary isolation. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 4.6:**  Any negotiations concerning compensation for loss of legal, customary or user rights are dealt with through a documented system that enables indigenous peoples, local communities and other stakeholders to express their views through their own representative institutions. | | | | |
| 4.6.1 (C) | A mutually agreed procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, is in place. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.6.2 (C) | A mutually agreed procedure for calculating and distributing fair and gender-equal compensation (monetary or otherwise) is established and implemented, monitored and evaluated in a participatory way, and corrective actions taken as a result of this evaluation. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.6.3 | Evidence is available that equal opportunities are provided to both men and women to hold land titles for small holdings. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.6.4 | The process and outcomes of any negotiated agreements, compensation and payments are documented, with evidence of the participation of affected parties, and made publicly available to them. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 4.7:**  Where it can be demonstrated that local peoples have legal, customary or user rights, they are compensated for any agreed land acquisitions and relinquishment of rights, subject to their FPIC and negotiated agreements | | | | |
| 4.7.1 (C) | A mutually agreed procedure for identifying people entitled to compensation is in place. | . |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.7.2 (C) | A mutually agreed procedure for calculating and distributing fair compensation (monetary or otherwise) is in place and documented and made available to affected parties. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.7.3 | Communities that have lost access and rights to land for plantation expansion are given opportunities to benefit from plantation development. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 4.8:**  The right to use the land is demonstrated and is not legitimately contested by local people who can demonstrate that they have legal, customary, or user rights. | | | | |
| 4.8.1 | Where there are or have been disputes, proof of legal acquisition of title and evidence that mutually agreed compensation has been made to all people who held legal, customary, or user rights at the time of acquisition is available and provided to parties to a dispute, and that any compensation was accepted following a documented process of FPIC. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.8.2 (C) | Land conflict is not present in the area of the unit of certification. Where land conflict exists, acceptable conflict resolution processes (see Criteria 4.2 and 4.6) are implemented and accepted by the parties involved. In the case of newly acquired plantations, the unit of certification addresses any unresolved conflict through appropriate conflict resolution mechanisms. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.8.3 | Where there is evidence of acquisition through dispossession or forced abandonment of customary and user rights prior to the current operations and there remain parties with demonstrable customary and land use rights, these claims will be settled using the relevant requirements (Indicators 4.4.2, 4.4.3 and 4.4.4). |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 4.8.4 | For any conflict or dispute over the land, the extent of the disputed area is mapped out in a participatory way with involvement of affected parties (including neighbouring communities where applicable). |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |

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| **Principle 5: Support Smallholder Inclusion** | | | | | | |
| **Criterion 5.1:**  The unit of certification deals fairly and transparently with all smallholders (Independent and Scheme) and other local businesses. | | | | | | |
| 5.1.1 | Current and previous period prices paid for FFB are publicly available and accessible by smallholders. |  | |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 5.1.2 (C) | Evidence is available that the unit of certification regularly explains the FFB pricing to smallholders. |  | |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 5.1.3 (C) | Fair pricing, including premium pricing, when applicable, is agreed with smallholders in the supply base and documented. |  | |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 5.1.4 (C) | Evidence is available that all parties, including women and independent representative organisations assisting smallholders where requested, are involved in decision-making processes and understand the contracts. These include those involving finance, loans/credits, and repayments through FFB price reductions for replanting and or other support mechanisms where applicable. |  | |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 5.1.5 | Contracts are fair, legal and transparent and have an agreed timeframe. |  | |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 5.1.6 (C) | Agreed payments are made in a timely manner and receipts specifying price, weight, deductions and amount paid are given. |  | |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 5.1.7 | Weighing equipment is verified by an independent third party on a regular basis (this can be government). |  | |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 5.1.8 | The unit of certification supports Independent Smallholders with certification, where applicable, ensuring mutual agreements between the unit of certification and the smallholders on who runs the internal control system (ICS), who holds the certificates, and who holds and sells the certified material. |  | |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 5.1.9 (C) | The unit of certification has a grievance mechanism for smallholders and all grievances raised are dealt with in a timely manner. |  | |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| **Criterion 5.2:**  The unit of certification supports improved livelihoods of smallholders and their inclusion in sustainable palm oil value chains | | | | | | |
| 5.2.1 | The unit of certification consults with interested smallholders (irrespective of type) including women or other partners in their supply base to assess their needs for support to improve their livelihoods and their interest in RSPO certification. |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 5.2.2 | The unit of certification develops and implements livelihood improvement programmes, including at least capacity building to enhance productivity, quality, organisational and managerial competencies, and specific elements of RSPO certification (including the RSPO Standard for Independent Smallholder)  PROCEDURAL NOTE: The RSPO is currently developing a separate standard for Independent Smallholders. |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 5.2.3 | Where applicable, the unit of certification provides support to smallholders to promote legality of FFB production.. |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 5.2.4 (C) | Evidence exists that the unit of certification trains Scheme Smallholders on pesticide handling. |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 5.2.5 | The unit of certification regularly reviews and publicly reports on the progress of the smallholder support programme. |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |

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| **Principle 6:**  **Respect Workers Rights and Conditions** | | | | | | |
| **Criterion 6.1:**  Any form of discrimination is prohibited. | | | | | | |
| 6.1.1 (C) | Publicly available non-discrimination and equal opportunity policy is implemented in such a way to prevent discrimination based on ethnic origin, caste, national origin, religion, disability, gender, sexual orientation, gender identity, union membership, political affiliation or age. |  | |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 6.1.2 (C) | Evidence is provided that workers and groups including local communities, women, and migrant workers have not been discriminated against. Evidence includes migrant workers' non-payment of recruitment fees |  | |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 6.1.3 | The unit of certification demonstrates that recruitment selection, hiring, access to training and promotion are based on skills, capabilities, qualities and medical fitness necessary for the jobs available |  | |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 6.1.4 | Pregnancy testing is not conducted as a discriminatory measure and is only permissible when it is legally mandated. Alternative equivalent employment is offered for pregnant women |  | |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 6.1.5 (C) | A gender committee is in place specifically to raise awareness, identify and address issues of concern, as well as opportunities and improvements for women. |  | |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 6.1.6 | There is evidence of equal pay for the same work scope |  | |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 6.2:**  Pay and conditions for staff and workers and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages (DLW) | | | | | | |
| 6.2.1 (C) | Applicable labour laws, union and/or other collective agreements and documentation of pay and conditions are available to the workers in national languages and explained to them in language they understand. |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 6.2.2 (C) | Employment contracts and related documents detailing payments and conditions of employment (e.g. regular working hours, deductions, overtime, sick leave, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc. in compliance with national legal requirements) and payroll documents give accurate information on compensation for all work performed, including work done by family members |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 6.2.3 (C) | There is evidence of legal compliance for regular working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice and other legal labour requirements |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 6.2.4 (C) | The unit of certification provides adequate housing, sanitation facilities, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible. National laws, or in their absence the ILO Guidance on Workers’ Housing Recommendation No. 115, are used. In the case of acquisitions of non-certified units, a plan is developed detailing the upgrade of infrastructure. A reasonable time (5 years) is allowed to upgrade the infrastructure |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 6.2.5 | The unit of certification makes efforts to improve workers' access to adequate, sufficient and affordable food. |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 6.2.6 | A DLW is paid to all workers, including those on piece rate/quotas, for whom the calculation is based on achievable quotas during regular work hours.  PROCEDURAL NOTE: The RSPO Labour Task Force will prepare guidance on the DLW implementation, including details on how to calculate a DLW, expected for 2019. The RSPO Secretariat will endeavour to carry out DLW country benchmarks for palm oil producing countries in which RSPO members operate and for which no Global Living Wage Coalition (GLWC) benchmarks exist |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 6.2.7 | Permanent, full-time employment is used for all core work performed by the unit of certification. Casual, temporary and day labour is limited to jobs that are temporary or seasonal |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| **Criterion 6.3:**  The unit of certification respects the rights of all personnel to form and join trade unions of their choice and to bargain collectively. Where the right to freedom of association and collective bargaining are restricted under law, the employer facilitates parallel means of independent and free association and bargaining for all such personnel | | | | | | |
| 6.3.1 (C) | A published statement recognising freedom of association and right to collective bargaining in national languages is available and is explained to all workers in languages that they understand, and is demonstrably implemented |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 6.3.2 | Minutes of meetings between the unit of certification with trade unions or workers representatives, who are freely elected, are documented in national languages and made available upon request |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 6.3.3 | Management does not interfere with the formation or operation of registered unions/ labour organisations or associations, or other freely elected representatives for all workers including migrant and contract workers |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| **Criterion 6.4:**  Children are not employed or exploited. | | | | | | |
| 6.4.1 | A formal policy for the protection of children, including prohibition of child labour and remediation is in place, and included into service contracts and supplier agreements |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 6.4.2 (C) | There is evidence that minimum age requirements are met. Personnel files show that all workers are above the national minimum age or above company policy minimum age, whichever is higher. There is a documented age screening verification procedure |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 6.4.3 (C) | Young persons may be employed only for non-hazardous work, with protective restrictions in place for that work. |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 6.4.4 | The unit of certification demonstrates communication about its ‘no child labour policy and the negative effects of child labour, and promotes child protection to supervisors  and other key staff, smallholders, FFB suppliers and communities where workers live |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| **Criterion 6.5:**  Policies and procedures in place to protect workers’ rights. | | | | | | |
| 6.5.1 (C) | A policy to prevent sexual and all other forms of harassment and violence is implemented and communicated to all levels of the workforce |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 6.5.2 (C) | A policy to protect the reproductive rights of all, especially of women, is implemented and communicated to all levels of the workforce |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 6.5.3 | Management has assessed the needs of new mothers, in consultation with the new mothers, and actions are taken to address the needs that have been identified |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |
| 6.5.4 | Grievance mechanism, which respects anonymity and protects complainants where requested, is established, implemented and communicated to all levels of the workforce. |  |  | | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) | |

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| **Criterion 6.6:**  Work is voluntary and specific labor policy and procedures are implemented. | | | | |
| 6.6.1 (C) | All work is voluntary and following are prohibited:  • Retention of identity documents or passports  • Payment of recruitment fees  • Contract substitution  • Involuntary overtime  • Lack of freedom of workers to resign  • Penalty for termination of employment  • Debt bondage  • Withholding of wages |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 6.6.2 (C) | Where temporary or migrant workers are employed, a specific labour policy and procedures are established and implemented |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |

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| **Criterion 6.7:**  Appropriate health and safety measures are in place. | | | | |
| 6.7.1 (C) | The responsible person(s) for H&S is identified. There are records of regular meetings between the responsible person(s) and workers. Concerns of all parties about health, safety and welfare are discussed at these meetings, and any issues raised are recorded | . |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 6.7.2 | Accident and emergency procedures are in place and instructions are clearly understood by all workers. Accident procedures are available in the appropriate language of the workforce. Assigned operatives trained in first aid are present in both field and other operations, and first aid equipment is available at worksites. Records of all accidents are kept and periodically reviewed. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 6.7.3 (C) | Workers use appropriate personal protective equipment (PPE), which is provided free of charge to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, land preparation, and harvesting. Sanitation facilities for those applying pesticides are available, so that workers can change out of PPE, wash and put on their personal clothing. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 6.7.4 | All workers are provided with medical care and covered by accident insurance. Costs incurred from work related incidents leading to injury or sickness are covered in accordance with national law or by the unit of certification where national law does not offer protection |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 6.7.5 | Occupational injuries are recorded using Lost Time Accident (LTA) metrics |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |

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| **Principle 7: Protect, Conserve and Enhance Ecosystems and the Environment** | | | | | |
| **Criterion 7.1:**  IPM plans are implemented and monitored to ensure effective pest control. | | | | | |
| 7.1.1 (C) | | IPM plans are implemented and monitored to ensure effective pest control. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.1.2 | | Species referenced in the Global Invasive Species Database and CABI.org are not to be used in managed areas, unless plans to prevent and monitor their spread are implemented. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.1.3 | | There is no use of fire for pest control unless in exceptional circumstances, i.e. where no other effective methods exist, and with ap prior approval of government authorities. [For NI to define process] |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 7.2:**  Pesticides are used in ways that do not endanger health of workers, families, communities or the environment. | | | | | |
| 7.2.1 (C) | Justification of all pesticides used is demonstrated. Selective products and application methods that are specific to the target pest, weed or disease are prioritised. | |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.2.2 (C) | Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per ha and number of applications) are provided. | |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.2.3 (C) | Any use of pesticides is minimised as part of a plan, eliminated where possible, in accordance with IPM plans. | |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.2.4 | There is no prophylactic use of pesticides, unless in exceptional circumstances, as identified in national best practice guidelines. | |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.2.5 | Pesticides that are categorised as World Health Organisation Class 1A or 1B, or that are listed by the Stockholm or Rotterdam Conventions, and paraquat, are not used, unless unexceptional circumstances, as validated by a due diligence process, or when authorised by government authorities for pest outbreaks. The due diligence refers to:  a) Judgment of the threat and verify why this is a major threat  b) Why there is no other alternative which can be used  c) Which process was applied to verify why there is no other less hazardous alternative  d) What is the process to limit the negative impacts of the application 7.2.5  e) Estimation of the timescale of the application and steps taken to limit application to the specific outbreak. | |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.2.6 (C) | Pesticides are only handled, used or applied by persons who have completed the necessary training and are always applied in accordance with the product label. All precautions attached to the products are properly observed, applied, and understood by workers (see Criterion 3.6). Personnel applying pesticides must show evidence of regular updates on the knowledge about the activity they carry out. | |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.2.7 (C) | Storage of all pesticides is in accordance with recognised best practices. | |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.2.8 | All pesticide containers are properly disposed of and/or handled responsibly if used for other purposes. | |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.2.9 (C) | Aerial spraying of pesticides is prohibited, unless in exceptional circumstances where no other viable alternatives are available. This requires prior government authority approval. All relevant information is provided to affected local communities at least 48 hours prior to application of aerial spraying. | |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.2.10 (C) | Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, is demonstrated. | |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.2.11 (C) | No work with pesticides is undertaken by persons under the age of 18, pregnant or breastfeeding women or other people that have medical restrictions and they are offered alternative equivalent work. | |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |

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| **Criterion 7.3:**  Waste is reduced, recycled, reused and disposed of in an environmentally and socially responsible manner | | | | |
| 7.3.1 | A waste management plan which includes reduction, recycling, reusing, and disposal based on toxicity and hazardous characteristics, is documented and implemented. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.3.2 | Proper disposal of waste material, according to procedures that are fully understood by workers and managers, is demonstrated. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.3.3 | The unit of certification does not use open fire for waste disposal. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 7.4:**  Practice maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield. | | | | |
| 7.4.1 | Good agriculture practices, as contained in SOPs, are followed to manage soil fertility to optimise yield and minimise environmental impacts. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.4.2 | Periodic tissue and soil sampling is carried out to monitor and manage changes in soil fertility and plant health. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.4.3 | A nutrient recycling strategy is in place, which includes the recycling of Empty Fruit Bunches (EFB), Palm Oil Mill Effluent (POME), palm residues and optimal use of inorganic fertilisers. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.4.4 | Records of fertiliser inputs are maintained. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 7.5:**  Practices minimise and control erosion and degradation of soils | | | | |
| 7.5.1 (C) | Maps identifying marginal and fragile soils, including steep terrain, are available. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.5.2 | There is no extensive replanting of oil palm on steep terrain. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.5.3 | There is no new planting of oil palm on steep terrain. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 7.6:**  Soil surveys and topographic information are used for site planning in the establishment of new plantings, and the results are incorporated into plans and operations. | | | | |
| 7.6.1 (C) | To demonstrate the long-term suitability of land for palm oil cultivation, soil maps or soil surveys identifying marginal and fragile soils including steep terrain, are taken into account in plans and operations. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.6.2 | Extensive planting on marginal and fragile soils, is avoided, or, if necessary, done in accordance with the soil management plan for best practices. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.6.3 | Soil surveys and topographic information guide the planning of drainage and irrigation systems, roads and other infrastructure |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 7.7:**  No new planting on peat, regardless of depth after 15 November 2018 and all peatlands are managed responsibly. | | | | |
| 7.7.1 (C) | There is no new planting on peat regardless of depth after 15 November 2018 in existing and new development areas. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.7.2 | Areas of peat within the managed areas are inventoried, documented and reported (effective from 15 November 2018) to RSPO Secretariat. PROCEDURAL NOTE: Maps and other documentation of peat soils are provided, prepared and shared in line with RSPO Peatland Working Group (PLWG) audit guidance (see Procedural Note for 7.7.5 below). |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.7.2 (C) | Areas of peat within the managed areas are inventoried, documented and reported (effective from 15 November 2018) to RSPO Secretariat. PROCEDURAL NOTE: Maps and other documentation of peat soils are provided, prepared and shared in line with RSPO Peatland Working Group (PLWG) audit guidance (see Procedural Note for 7.7.5 below). |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.7.3 (C) | Subsidence of peat is monitored, documented and minimised. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.7.4 (C) | A documented water and ground cover management programme is in place. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.7.5 (C) | For plantations planted on peat, drainability assessments are conducted following the RSPO Drainability Assessment Procedure, or other RSPO recognised methods, at least five years prior to replanting. The assessment result is used to set the time frame for future replanting, as well as for phasing out of oil palm cultivation at least 40 years, or two cycles, whichever is greater, before reaching the natural gravity drainability limit for peat. When oil palm is phased out, it is replaced with crops suitable for a higher water table (paludiculture) or rehabilitated with natural vegetation.  PROCEDURAL NOTE: Full details of the RSPO Drainability Assessment Guidelines and related concepts and detailed actions are in the manual currently being fine-tuned/tested by PLWG. A final version should be approved by PLWG in January 2019 and will include additional guidance on the steps to be followed after the decision not to replant as well as implications for other stakeholders, smallholders, local communities and the unit of certification. It is recommended that a further twelve-month methodology trial period is proposed for all related management units (i.e. those with plantations on peat) to utilise the methodology and provide feedback to the PLWG to enable further refinement of procedure as appropriate before January 2020. Units of certification have the option to defer replanting till after the availability of the revised guidelines. Additional guidance on alternative crops and rehabilitation of natural vegetation will be provided by PLWG. PROCEDURAL NOTE: PLWG and the Smallholder Interim Group (SHIG) will collaboratively develop guidance for Independent Smallholders [cross links to SHIG and GHG issues] |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.7.6 © | All existing plantings on peat are managed according to the *‘RSPO Manual on Best Management Practices (BMTs) for existing oil palm cultivation on peat’, version 2 (2018)* and associated audit guidance. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.7.7 (C) | All areas of unplanted and set-aside peatlands in the managed area (regardless of depth) are protected as “peatland conservation areas”; new drainage, road building and power lines by the unit of certification on peat soils is prohibited; peatlands are managed in accordance with the ‘RSPO BMPs for Management and Rehabilitation of Natural Vegetation Associated with Oil Palm Cultivation on Peat’, version2 (2018) and associated audit guidance. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 7.8:**  Practices maintain the quality and availability of surface and groundwater. | | | | |
| 7.8.1 (C) | A water management plan is in place and implemented to promote more efficient use and continued availability of water sources and to avoid negative impacts on other users in the catchment. The plan addresses the following:  7.8.1a. The unit of certification does not restrict access to clean water or contribute to pollution of water used by communities.  7.8.1 b. Workers have adequate access to clean water |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.8.2 | 7.8.2 (C) Water courses and wetlands are protected, including maintaining and restoring appropriate riparian and other buffer zones in line with ‘RSPO Manual on BMPs for the management and rehabilitation of riparian reserves’ (April 2017). |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.8.3 | Mill effluent is treated to be in compliance with national regulations. Discharge quality of mill effluent, especially Biochemical Oxygen Demand (BOD), is regularly monitored. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required)   * required) |
| 7.8.4 | Mill water use per tonne of FFB is monitored and recorded. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 7.9:**  **Efficiency of fossil fuel use and the use of renewal energy is optimized.** | | | | |
| 7.9.1 | A plan for improving efficiency of the use of fossil fuels and to optimise renewable energy is in place, monitored and reported. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| **Criterion 7.10:**  Plans to reduce pollution and emissions, including greenhouse gases (GHG), are developed, implemented and monitored and new developments are designed to minimise GHG emissions | | | | |
| 7.10.1 (C) | GHG emissions are identified and assessed for the unit of certification. Plans to reduce or minimise them are implemented, monitored through the Palm GHG calculator and publicly reported. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.10.2 (C) | Starting 2014, the carbon stock of the proposed development area and major potential sources of emissions that may result directly from the development are estimated and a plan to minimise them prepared and implemented (following the RSPO GHG Assessment Procedure for New Development). |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.10.3 (C) | Other significant pollutants are identified and plans to reduce or minimize them implemented and monitored. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Criterion 7.11:**  Fire is not used for preparing land and is prevented in the managed area. | | | | |
| 7.11.1 (C) | Land for new planting or replanting is not prepared by burning. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.11.2 | The unit of certification establishes fire prevention and control measures for the areas directly managed by the unit of certification. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.11.3 | The unit of certification engages with adjacent stakeholders on fire prevention and control measures. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| PROCEDURAL NOTE for 7.12  The 2018 RSPO P&C include new requirements to ensure the effective contribution of RSPO to halting deforestation. This will be achieved by incorporating the High Carbon Stock Approach (HCSA) Toolkit in the revised standard.  The RSPO ToC also commits RSPO to balancing sustainable livelihoods and poverty reduction with the need to conserve, protect and enhance ecosystems.  High Forest Cover Countries (HFCCs) urgently require economic opportunities that enable communities to choose their own development path, while providing socio-economic benefits and safeguards.  Adapted procedures will be developed to support the sustainable development of palm oil by indigenous peoples and local communities with legal or customary rights. These will apply in specific HFCCs, and within those, in High Forest Cover Landscapes (HFCLs).  The development of these procedures will be guided by a No Deforestation Joint Steering Group (NDJSG) of RSPO and HCSA members. In HFCCs, RSPO will work through national and local participatory processes with governments, communities and other stakeholders to develop these procedures. A timeframe for these activities is stipulated in the Terms of Reference for the NDJSG and publicly available.  **Criteria 7.12:**  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. | | | | |
| 7.12.1 (C) | Land clearing since November 2005 has not damaged primary forest or any area required to protect or enhance HCVs. Land clearing since 15 November 2018 has not damaged HCVs or HCS forests. A historic Land Use Change Analysis (LUCA) is conducted prior to any new land clearing, in accordance with the RSPO LUCA guidance document. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.12.2 (C) | HCVs, HCS forests and other conservation areas are identified as follows:  a) For existing plantations with an HCV assessment conducted by an RSPO-approved assessor and no new land clearing after 15 November 2018, the current HCV assessment of those plantations remains valid. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.12.2 b) | Any new land clearing (in existing plantations or new plantings) after 15 November 2018 is preceded by an HCV-HCS assessment, using the HCSA Toolkit and the HCV-HCSA Assessment Manual. This will include stakeholder consultation and take into account wider landscape-level considerations. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.12.3 (C) | In High Forest Cover Landscapes (HFCLs) within HFCCs, a specific procedure will apply for legacy cases and development by indigenous peoples and local communities with legal or customary rights, taking into consideration regional and national multi-stakeholder processes. Until this procedure is developed and endorsed, 7.12.2 applies.  PROCEDURAL NOTE for 7.12.3: There should be demonstrable benefits to the local community; clear recognition of legal and customary lands based on participatory land use planning; development should be proportional to the needs of the local community; with a balance between conservation and development. This procedure will also cover planting on previous or abandoned agricultural land / plantations. All other P&C requirements apply, including FPIC and HCV requirements. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.12.4 (C) | Where HCVs, HCS forests after 15 November 2018, peatland and other conservation areas have been identified, they are protected and/or enhanced. An integrated management plan to protect and/or enhance HCVs, HCS forests, peatland and other conservation areas is developed, implemented and adapted where necessary, and contains monitoring requirements. The integrated management plan is reviewed at least once every five years. The integrated management plan is developed in consultation with relevant stakeholders and includes the directly managed area and any relevant wider landscape level considerations (where these are identified). |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.12.5 | Where rights of local communities have been identified in HCV areas, HCS forest after 15 November 2018, peatland and other conservation areas, there is no reduction of these rights without evidence of a negotiated agreement, obtained through FPIC, encouraging their involvement in the maintenance and management of these conservation areas. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.12.6 | All rare, threatened or endangered (RTE) species are protected, whether or not they are identified in an HCV assessment. A programme to regularly educate the workforce about the status of RTE species is in place. Appropriate disciplinary measures are taken and documented in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect, trade, possess or kill these species. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.12.7 | The status of HCVs, HCS forests after 15 November 2018, other natural ecosystems, peatland conservation areas and RTE species is monitored. Outcomes of this monitoring are fed back into the management plan. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |
| 7.12.8 (C) | Where there has been land clearing without prior HCV assessment since November 2005, or without prior HCV-HCSA assessment since 15 November 2018, the Remediation and Compensation Procedure (RaCP) applies. |  |  | Conform  Major Nonconformity  Minor Nonconformity  Opportunity for Improvement  Not Applicable (justification required) |

# Summary of Audit Findings

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Summary of nonconformities and opportunities for improvement** | | | | |
| **Principle/Requirement** | **Major** | **Minor** | **Opportunities for Improvement** | **Total No Findings** |
| **System Requirements for Group Management** | | | | |
| **Element 1: Group Entity and Group Management requirements** |  |  |  |  |
| **Element 2: Internal Control System – Policies and management** |  |  |  |  |
| **Element 3: Internal Control System – Operations** |  |  |  |  |
| **RSPO Principle & Criteria (P&C)** | | | | |
| **Principle 1: Behave Ethically and Transparently** |  |  |  |  |
| **Principle 2: Operate legally and respect rights - Implement legal requirements as the basic principles of operation in any jurisdiction.** |  |  |  |  |
| **Principle 3: Optimise productivity, efficiency, positive impacts and resilience *(Includes IP and/or MB Module)*** |  |  |  |  |
| **Principle 4: Respect Community and Human Rights and Deliver Benefits** |  |  |  |  |
| **Principle 5: Support Smallholder Inclusion** |  |  |  |  |
| **Principle 6: Respect Workers Rights and Conditions** |  |  |  |  |
| **Principle 7: Protect, Conserve and Enhance Ecosystems and the Environment** |  |  |  |  |
| **Systems Document** |  |  |  |  |
| **Total** |  |  |  |  |

## 

# Nonconformity(ies) Issue in this Audit

|  |  |
| --- | --- |
| **Indicator Number** |  |
| **Nonconformity Number** |  |
| **Nonconformity Category** | Major Nonconformity  Minor Nonconformity |
| **Recurring Nonconformity** | 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 Review** *(including any evidence reviewed)* |  |
| **Audit Team Representative** *(Name and Role)* |  |
| **Status of Nonconformity** | Closed  Open |
| **Date of Closure:** | Dd/Mmm/Yyyy |

*Add tables as necessary*

# Opportunity for Improvement (OFI) Issue in this Audit

|  |  |
| --- | --- |
| **Indicator/requirement 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*

# Nonconformities raised in the previous audit

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

## **Stakeholder Consultation Process**

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.

Date of public announcement made: Only for the case of IC or RC

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

* 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** |
|  | *Add rows as necessary* | DD Mmm YYYY | *E.g. public announcement* |  | *E.g. Status of the issue raised* |

* 1. 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** |
|  | *Add rows as necessary* | DD Mmm YYYY | *E.g. public announcement* |  | *E.g. Status of the issue raised* |

### Summary of workers interviewed, and the CB’s responses and findings are presented in the table below:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Total Workers in the Unit of Certification** | | |  | |
| **Sampled Worker Consulted/Interviewed in This Audit** | | |  | |
| **No** | **Type of Workers Consulted/Interviewed** | **Interview Method** | **Feedback/Comments/Issue Raised Received from Worker** | **CB’s Responses** |
|  | *The row can be added as necessary* |  |  |  |

### Consultation with Previous Land User

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Total Identified Previous Land User in the Unit of Certification** | | |  | |
| **Sampled Previous Land User in this audit** | | |  | |
| **Name of Previous Land User** | **Contact Details**  **(address/telephone/email)** | **Total Area (Ha)** | **Date of Consultation** | **Result of Discussion with Previous Land User** |
| *Add rows as necessary* |  |  | *DD Mmm YYYY* |  |

# Audit Conclusion & Recommendations

|  |  |
| --- | --- |
| **Audit findings** | |
|  | No nonconformity recorded. |
|  | Minor nonconformity recorded. A corrective action plan has been accepted. Verification of the nonconformity(ies) to be carried out in the next audit. |
|  | Major nonconformity recorded. Evidence of implementation of the corrective actions have been accepted by the audit team. The nonconformity(ies) have been satisfactorily closed out. |
| **Recommendation** | |
|  | Certification (Initial Certification) |
|  | Continue certification (Annual Surveillance Audit) |
|  | Renewal for certification (Recertification) |
|  | Not recommended for certification. Reason: (*Please provide the reason/ justification)* |

# 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 |  |

# Appendix 1: Location Map Unit of Certification and Group Member

 

*i.e figure: Map of Estate Xxx*

*i.e figure: Map of Unit of Certification*

 

*i.e figure: Map of Estate Xxx*

*i.e figure: Map of Estate Xxx*

# Appendix 2: Greenhouse Gas (GHG) Reporting Summary

The GHG emissions produced by the Unit of Certification (POM and its supply bases) in the period of MMyyyy until MMyyyy have been calculated using the RSPO PalmGHG Calculator (version 4). The assessment team had verified the data input in the PalmGHG Calculator against operations records. The Certification Unit has selected the following options from the PalmGHG Calculator when preparing inputs for the GHG emissions calculations:

Apply Full Version

Exclude LUC Emissions

The summary of the Net GHG emitted in mmYYYY for East POM and supply base are as following:

1. **Summary of Emissions**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Description** | **tCO2eq/t product** |  | **Extraction** | **tCO2e/t product** |
| CPO |  |  | OER |  |
| PK |  |  | KER |  |
| PKO |  |  | |  |
| PKE |  |  | |

1. **Summary of Plantation/Field Emissions and Sink**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Land Use** | **Ha** |  | **Production** | **t/year** |
| OP Planted Area |  |  | FFB Processed |  |
| OP Planted on Peat |  |  | CPO Produced |  |
| Conservation (Forested) |  |  | | |
| Conservation (Non-Forested) |  |
| **Total** |  |  |  |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Own Crop** | | **Group** | | **3rd Party** | | **Total** |
| tCO2e | tCO2e/  tFFB | tCO2e | tCO2e/  tFFB | tCO2e | tCO2e/  tFFB |
| Land Conversion |  |  |  |  |  |  |  |
| CO2 Emission from Fertilizer |  |  |  |  |  |  |  |
| N2O Emission |  |  |  |  |  |  |  |
| Fuel Consumption |  |  |  |  |  |  |  |
| Peat Oxidation |  |  |  |  |  |  |  |
| Crop Sequestration |  |  |  |  |  |  |  |
| Sequestration in Conservation Area |  |  |  |  |  |  |  |
| **Total** |  |  |  |  |  |  |  |

*\*Note: Includes both estates and smallholders (delete whichever not applicable)*

1. **Summary of Mill Emission and Credits**

|  |  |  |
| --- | --- | --- |
|  | tCO2 | tCO2e/t FFB |
| **Emission** | | |
| POME |  |  |
| Fuel Consumption |  |  |
| Grid Electricity Utilization |  |  |
| **Credit** | | |
| Export of Excess Electricity to Housing & Grid |  |  |
| Sales of PKS |  |  |
| Sales of EFB |  |  |
| **Total** |  |  |

1. **Palm Oil Mill Effluent (POME) Treatment**

|  |  |
| --- | --- |
| **Description** | **%** |
| Diverted to |  |
| Divert to anaerobic digestion |  |

1. **POME Diverted to Anaerobic Digestion**

|  |  |
| --- | --- |
| **Description** | **%** |
| Diverted to anaerobic pond |  |
| Diverted to methane capture (Flaring) |  |
| Diverted to methane capture (electricity generation) |  |