

RSPO

Roundtable on Sustainable Palm Oil



RSPO Management System Requirements and Guidance for Group Certification of FFB Production

Revised Version

as endorsed by the Board of Governors on 8th March 2018

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Important: This document was prepared by Proforest under the direction of the RSPO Smallholder Working Group and the RSPO Board of Governors Subcommittee. It reflects comments/suggestions received during the first round of public consultation on the initial draft developed by Global Sustainability Associated, the second round of public consultation on the subsequent draft developed by Proforest and comments received by the RSPO Board of Governors. This document is now being re-submitted to the RSPO Board of Governors for approval and adoption.

RSPO Management System Requirements and Guidance for Group Certification of FFB Production March 2018

[Introduce standard set of information for all RSPO standards and policies]

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Timeline Entry into Force:

This document will be effective immediately from the date of endorsement (with a 12 (twelve) month grace period).

Section 1 Foreword, Scope and Applicability

1.1 Foreword and introduction to Group Certification

The RSPO Principles and Criteria (RSPO P&C 2013) are applicable to all growers of oil palm including smallholders. Small individual growers face additional challenges to implement the RSPO P&C 2013 on their own, because of a lack of resources and capacity and due to audit costs.

Therefore, the RSPO has developed a system of Group Certification which allows individual growers to certify their Fresh Fruit Bunches (FFB) against the RSPO P&C 2013 together under a single certificate.

Group Certification is a commonly used tool in the certification of natural resource management (e.g. organic production, good forest management, good agricultural practices). It allows individual growers to be certified under a single certificate, which is held by a central organization or individual (the Group Manager, group administrator or group entity). The Group Manager is responsible for establishing an Internal Control System which controls the group, and for carrying out a programme of internal assessments of members' performance in order to be certain that they are complying with the RSPO production requirements.

Under the RSPO Group Certification system all groups are required to meet group certification standards related to internal control systems in addition to the sustainable oil palm production standards of the RSPO.

RSPO members and mills are encouraged to support independent smallholders, whom they source FFB from, to obtain certification under the Group Certification system.

Under the Group Certification system, the Group Manager and a sample of the group members are assessed by an independent certification body against both the requirements of the Group Certification system and sustainable production requirements of RSPO (see Figure 1 for simplified illustration).

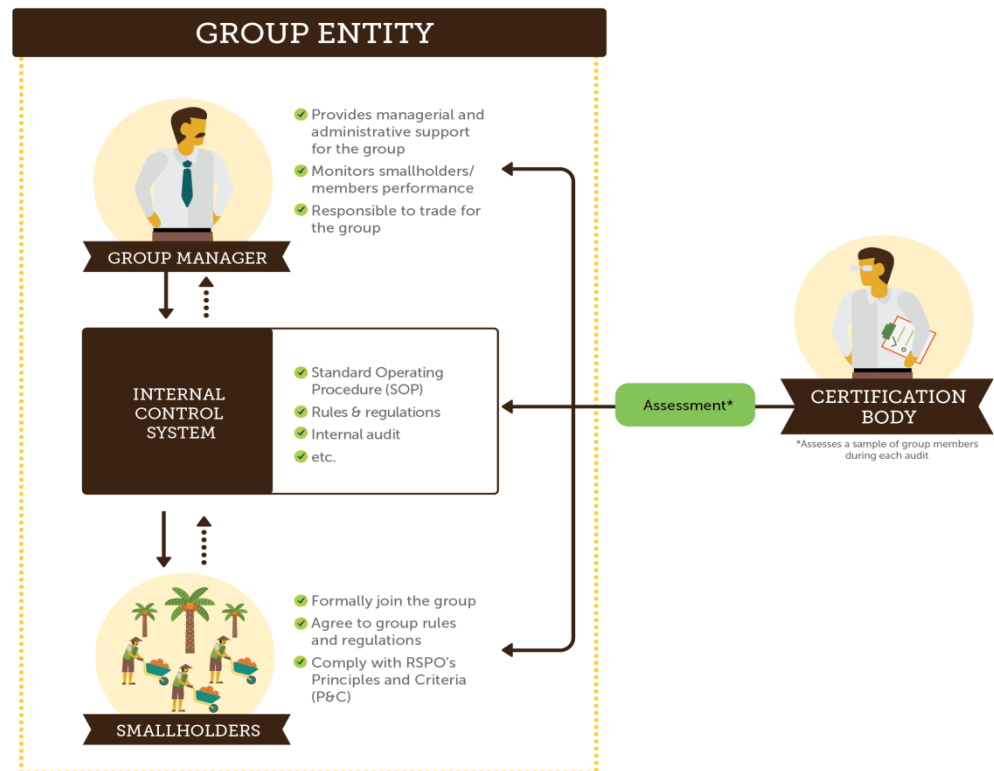


Figure 1: Group Certification Structure

1.2 Scope

This document presents the RSPO requirements for group certification of FFB, covering both the system requirements for group management and the requirements of the Group Manager and individual Group Members to demonstrate compliance with the RSPO P&C 2013. This document is applicable to all groups (i.e. individual/ independent growers, including smallholders, outgrowers and other independent growers) who seek certification of their FFB. Groups can contain growers of different sizes.

This document replaces the following RSPO documents:

- 1) RSPO Standard for Group Certification *Final – approved July 2010 (Amendment April 2013)*
- 2) RSPO Principles and Criteria for Sustainable Palm Oil Production - Guidance on Scheme Smallholders: Prepared by the Task Force on Smallholders Dated: 2nd July 2009

- 3) RSPO Principles and Criteria for Sustainable Palm Oil Production – Guidance for Independent Smallholders under Group Certification: Prepared by the Task Force on Smallholders Dated: 19th of June 2010
- 4) RSPO Accreditation and Certification Requirements for Group Certification 26 August 2010 [NOTE: Requirements concerning Group Certification will be included in the revised RSPO Certification Systems document]

1.3 Applicability

This document consists of three different sections:

- Section 1** Background information, scope and applicability of the document,
Section 2 System requirements for group management,
Section 3 Information needed to implement the RSPO P&C requirements.

Sections of particular relevance to specific users:

Table 1 Section relevance for different user groups

Group Managers	<u>Section 2: Instructions on how to set up and manage groups</u>
	<u>Section 3 - Table column 'Requirements for Group Managers':</u> requirements related to compliance with particular indicators in the RSPO Principles & Criteria.
	<u>Section 3 - Table column 'Guidance for Group Managers':</u> further supporting guidance to aid with the implementation of the P&C indicators.
Individual group members	a) up to 50ha under oil palm cultivation: <ul style="list-style-type: none"> • <u>Section 3 - Table column 'Requirements for Individual Members up to 50 ha':</u> requirements corresponding to them for P&C indicator compliance • <u>Section 3 - Table column 'Guidance for Individual Members up to 50 ha':</u> further supporting guidance to aid with the implementation of the P&C indicators
	b) above 50ha under oil palm cultivation: Individual group members with more than 50ha in size shall implement the indicators corresponding to growers (i.e. non-mill indicators) as per 'Principles and Criteria for the Production of Sustainable Palm Oil 2013 <i>Endorsed by the RSPO Executive Board and Accepted at the Extraordinary General Assembly by RSPO Members on April 25th 2013</i> ' (hereafter RSPO P&C 2013) (or NI where one is approved).
Auditors:	<u>Section 2 - at the bottom of each subsection:</u> guidance on auditing system requirements for group management for each system element.
	<u>Section 3 - Table column 'Guidance for Auditors':</u> guidance on auditing P&C implementation.
	The Annex of this document includes a full list of all policies and procedures required to meet the applicable RSPO P&C 2013 requirements that need to be developed for the group.

This document is applicable to independent growers who seek certification of their FFB. The Group Certification system allows independent growers to form Groups. Individual group members can be any independent growers, including smallholders, outgrowers and other independent growers. Groups can contain growers of different sizes.

The unit of certification shall be the Group Manager and 100% of the group members.

Mills with estates and plantations:

This document is not applicable to mills with their own estates/plantations (i.e. mills-with-supply-base)¹. They shall use the RSPO P&C 2013 to certify their CPO.

Individual growers:

Individual growers, whether independent, schemed or outgrowers, with up to 50 ha can also be part of a group. Such growers shall implement the requirements for 'Individual Member with up to 50ha of plantation size' as set out in Section 3 of this document.

Individual growers, whether independent, schemed or outgrowers, with more than 50ha can also be part of a group. However, such growers shall implement the requirements for growers as outlined in the RSPO P&C 2013, minus the requirements for mills.

Associated smallholders and outgrowers:

The 'RSPO Certification Systems - Final document approved by RSPO Executive Board 26 June 2007 (Approved by Executive Board on August 30, 2011 on Revised Procedure for Endorsement of the International Generic Criteria as a National Interpretation in small producing countries (Annex 1A)', requires members to ensure that all associated smallholders and outgrowers supplying a mill that is P&C certified must be certified themselves within three years of the mill obtaining its own certificate (section 4.3.2)

They should do this, if possible, by including these growers within their own P&C certificate or have the option to support these growers to get certified via the Group Certification system (for further details see below).

Two options are offered:

Option 1: Where the mill has direct management control over the land and/or operations carried out by the associated smallholders and outgrowers they should be included in the mill's RSPO P&C 2013 certification.

The mill will follow the requirements in the RSPO P&C 2013 for the mill, its own estates and all associated smallholders and/or outgrowers above 50ha in individual plantation size.

For growers with up to 50ha of individual plantation size 'the requirements and guidance for individual group members with up to 50 ha' as outlined in Section 3 of this document may be used.

¹ For the purpose of this document the term 'mill-with-supply-base' is used to refer to mills with own estate/plantation(s). Mills-with-supply-base need to follow the RSPO P&C certification for their own operations, whereas independent mills need only RSPO SCC certification. Mills-with-supply-base in the context of Group Certification is a relevant concept for the certification of associated smallholders and outgrowers (see section 1.3 of this document) and therefore this clearer differentiation is used.

OPTION 1:
Scheme/Associated Smallholders are certified as part of the mill to the **RSPO P&C Certification Standard**

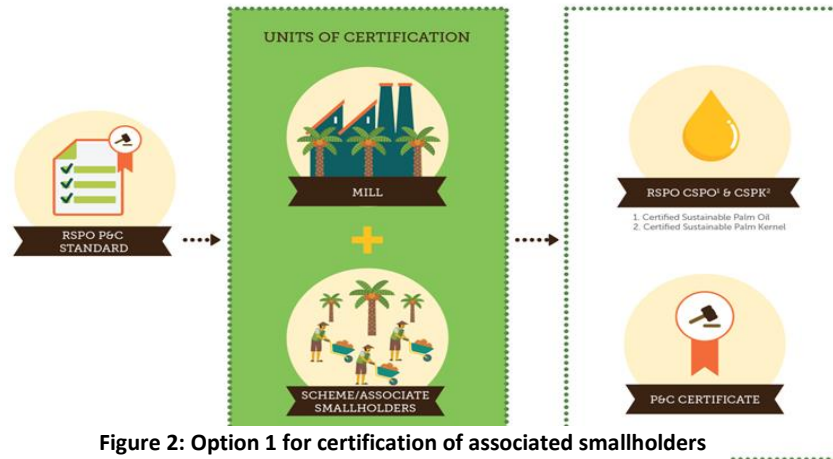


Figure 2: Option 1 for certification of associated smallholders

Option 2: In cases where the mill has no management control over either the land or operations undertaken by the associated smallholders and/or outgrowers on their own land they can all be certified using the group certification requirements as outlined in this document to obtain their own FFB group certificate.

Individual Group members with land above 50 ha will have to show compliance with P&C 2013

Individual Group members with up to 50 ha will have to show compliance with the 'requirements and guidance for individual group members with up to 50 ha' as outlined in Section 3 of this document.

Under Option 2 the mill should usually be the Group Manager unless there are very strong justifications against this and all associated smallholder and outgrower members must be included in the group certificate.

OPTION 2:
Certification of Scheme/Associated Smallholder following the **RSPO Group Certification Standard**

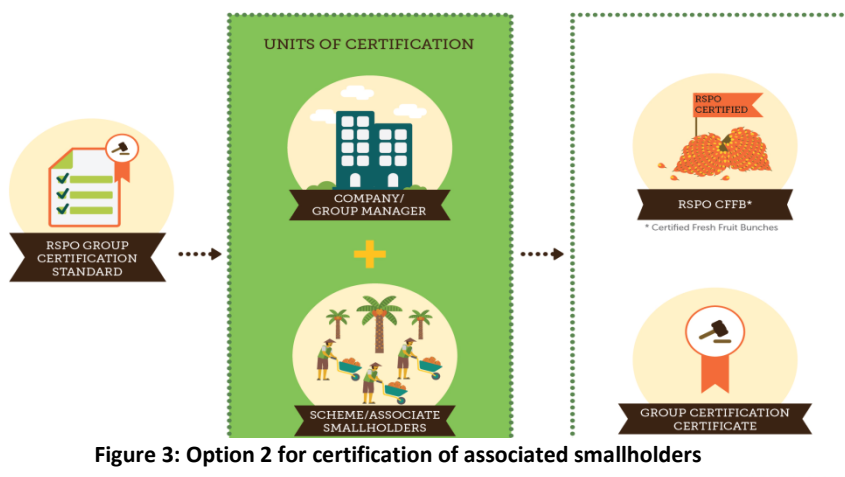
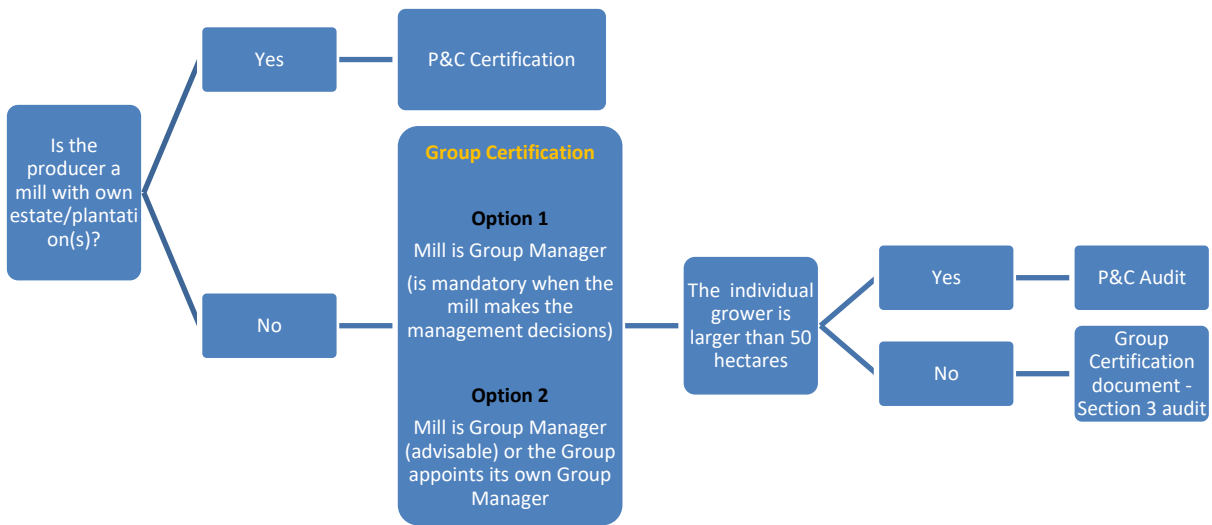


Figure 3: Option 2 for certification of associated smallholders

Mills may include independent growers under Option 2.

The figure below shows a diagram indicating which mechanism of certification should be used for the different scenarios, with further detailed examples provided in the table 2 below.

Figure 4 - Simplified Diagram on Certification Scenarios



The table below details the eligibility for the different certification options:

Table 2 Examples of certification scenarios for smallholders and outgrowers with different degrees of mill involvement

	<i>The growers have capacity and resources for certification</i>	<i>The growers don't have capacity and resources for certification</i>	<i>Growers are not involved in anything operational</i>
The mill-with-supply-base has management control on the planted land area and can enforce decisions on growers and their operations.	Growers should be certified under mill's P&C certificate.	Growers should be certified under mill's P&C certificate.	Growers should be certified under mill's P&C certificate.
The growers are land-owners and leased the land to a company that owns a mill and has developed palm on the growers' land. The growers receive dividends based on production on their applicable plot of land. The mill-with-supply-base makes decisions on behalf of the growers.	Production should be certified under mill's P&C certificate.	Production should be certified under mill's P&C certificate.	Production should be certified under mill's P&C certificate.

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<p>The mill is an independent mill, and has no management control on decisions of the growers on their operations, nor on the planted land; but still contractually buys from the growers</p>	<p>Growers should be certified under separate Group Certification certificate; the mill is certified separately under the RSPO Supply Chain Certification System.</p>	<p>Growers should be certified either under separate Group Certification certificate, with the mill as Group Manager, and the mill is certified separately under the RSPO Supply Chain Certification System, OR The mill and growers are certified together as mill-with-supply-base under the RSPO Principles & Criteria, using the respective National Interpretation where this exists, or in the absence thereof, under Local Interpretation.</p>	<p>NA</p>
<p>The growers do not have any contractual obligations with any mill, and operate on their own.</p>	<p>Growers should be certified under separate Group Certification certificate.</p>	<p>Growers should be certified under separate Group Certification certificate.</p>	<p>NA</p>
<p>The growers own a mill, but there is no contractual obligation for the growers to sell to the mill. The growers may or may not sell to the mill. The mill has no management control on decisions of the growers on their operations.</p>	<p>Growers should be certified under separate Group Certification certificate; the mill can act as Group Manager. The mill will be certified separately under the RSPO Supply Chain Certification, if independent, or under RSPO P&C if mill-with-supply-base (i.e. if the mills has other own estates/plantations).</p>	<p>Growers should be certified under separate Group Certification certificate; the mill can act as Group Manager. The mill will be certified separately under the RSPO Supply Chain Certification, if independent, or under RSPO P&C if mill-with-supply-base (i.e. if the mills has other own estates/plantations).</p>	<p>NA</p>
<p>The growers own a mill, and there is a clear proportion of the FFB that is sold to the mill. Management of the mill and the growers may be separate, though ownership is the same.</p>	<p>Growers can be certified either as separate Group Certification certificate, where the mill can act as Group Manager, and the mill will be certified separately under the RSPO Supply Chain Certification, if independent, or under RSPO P&C if mill-with-supply-base (i.e. if the mills has other own estates/plantations) OR The mill and growers are certified together as mill-with-supply-base under the RSPO Principles & Criteria, using the respective National Interpretation where this exists, or, in the absence thereof, under Local Interpretation</p>	<p>Growers can be certified either as separate Group Certification certificate, where the mill can act as Group Manager, and the mill will be certified separately under the RSPO Supply Chain Certification, if independent, or under RSPO P&C if mill-with-supply-base (i.e. if the mills has other own estates/plantations) OR The mill and growers are certified together as mill-with-supply-base under the RSPO Principles & Criteria, using the respective National Interpretation for smallholders where this exists, or, in the absence thereof, under Local Interpretation.</p>	<p>NA</p>

1.4 Associated documentation

These respective RSPO documents, and their subsequent revised versions, are relevant to all groups (i.e. individual/independent growers, including smallholders, outgrowers and other independent growers):

- Principles and Criteria for the Production of Sustainable Palm Oil 2013 *Endorsed by the RSPO Executive Board and Accepted at the Extraordinary General Assembly by RSPO Members on April 25th 2013*
- RSPO Certification Systems *Final document approved by RSPO Executive Board 26 June 2007 (Approved by Executive Board on August 30, 2011 on Revised Procedure for Endorsement of the International Generic Criteria as a National Interpretation in small producing countries (Annex 1A)*
- RSPO Supply Chain Certification Standard Final Document: As approved by RSPO Executive Board 21 November 2014

Further general RSPO requirements are also applicable to the entire group or all or part of the group members:

- **RSPO Code of Conduct for Members 2015** (RSPO-POL-F02-002 V1.0). Endorsed by the RSPO General Assembly GA12, on 19th November 2015 in Kuala Lumpur, Malaysia
- **Annual Communications of Progress (ACOP) 2015** (<http://acop-rspo.org/faq.php>)
- **RSPO New Plantings Procedure (NPP) 2015** (RSPO-PRO-T01-009 V1.0 ENG). Endorsed by the Board of Governors on 20th November 2015
- **RSPO Remediation and Compensation Procedures** (RSPO-PRO-T02-001 V2.0 ENG). Endorsed by BoG on 16th Nov 2015

Further guidance on their applicability will be developed and included as annexes to this document, bearing in mind that applicability and/or specific requirements may be determined by individual plantation sizes or nature of grower (e.g. some may only be applicable to scheme smallholders).

Other references:

- 1) Review of the RSPO Guidance for Smallholders: Document Review of Draft Generic Guidance and National Interpretations – Final Report 15 April 2009 (Proforest)
- 2) Independent smallholders and different RSPO supply systems; what needs to be changed? [28 March 2012 (*AidEnvironment*)]
- 3) ISEAL Alliance ‘Common Requirements for the Certification of Producer Groups’ P035 - Public Version 1 - November, 2008

Section 2. Group Certification Requirements

The following elements outline the requirements for the Group Certification System. There are three elements:

- Element 1: Group Entity and Group Management requirements
- Element 2: The Internal Control System – Policies and management
- Element 3: The Internal Control System – Operations

2.1. Element 1 (E1): Group Entity and Group Management Requirements

E1.1 The Group Entity shall be legally formed
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Rationale: In order to be able to have commercial relationships in the transactions of FFB certificates the group entity carries a liability, which requires it to be legally registered.

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)

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 membership.

- 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 5 years.

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.

Auditor Guidance:

The auditor should check:

- *The official document for Group Entity registration as per law in country of registration*
- *The RSPO registration number*
- *A document outlining the organization structure and its function*
- *All relevant membership documents*

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 this standard 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.

E1.2.2 The Group Manager shall be able to demonstrate sufficient resources and capacity for managing Group Certification and performance assessment against this Standard.

Guidance:

The Group Manager should ensure that all Group members are in compliance with this standard and RSPO Group Certification Requirements.

The Group Manager should have the capacity to control, monitor and evaluate all members as to their compliance to this RSPO standard 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 Internal Control System (ICS).*
- *define Group membership requirements.*
- *ensure compliance with this standard, including that any corrective actions raised by the certification body are adequately addressed within the agreed timeframe.*
- *ensure compliance with all other relevant RSPO requirements as outlined in the annexes for this document (See section 1.5), bearing in mind that applicability may depend on individual grower's plantation size or nature (e.g. scheme smallholder).*
- *demonstrate sufficient resources – i.e. human, financial, physical and other relevant resources – to enable effective and impartial technical and administrative management of the Group.*

E1.2.3 The Group Manager and / or their personnel shall be able to demonstrate competence and knowledge of:

- Principles and Criteria for the Production of Sustainable Palm Oil 2013 *Endorsed by the RSPO Executive Board and Accepted at the Extraordinary General Assembly by RSPO Members on April 25th 2013*
- RSPO Management System Requirements and Guidance for Group Certification of FFB Production – March 2016 [this standard].

- RSPO Supply Chain Certification Standard Final Document: As approved by RSPO Executive Board 21 November 2014
- Internal group procedures and policies.

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 to conditions or corrective actions issued by the certification body.
 - Explanation of any costs associated with group membership.
 - Other obligations of group membership.

Auditor Guidance:

Interview the Group Manager to ascertain his/her knowledge of relevant RSPO documents and the Group Members to check whether explanations for above points were given.

2.2. Element 2 (E2): Internal Control System – Policies and Management

E2.1 The Group Internal Control System shall contain documented policies and procedures for operational management.
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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) shall be defined.

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.
- Prepare and maintain the rules of the Group including the criteria for membership.
- Organise at least one group meeting annually (see also 8.1.1 of Section 3 on preparation of group management plan).
- Procedure for initial gap audit which can be a self-assessment.

E2.1.2 The Group Internal Control System shall contain Procedures for maintaining records for all Group members.

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. 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 that 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.

Guidance:

Records should be kept up to date at all times for all Group members.

E2.1.3 Relevant group records shall be archived for a minimum of 5 years using an appropriate secure system.

E2.1.4 The Group Internal Control System shall include an initial gap audit procedure (i.e. baseline assessment and needs for compliance) for applicants wishing to join the Group.

2.3. Element 3 (E3): The Internal Control System – Operations

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 develop and implement the internal audit programme, which includes, but not exclusively: timeline, operational plans, monitoring and evaluation records.

As a minimum the following shall be included:

- Establish, implement and maintain (a) procedure(s) for internal audits which must include (but not be limited to) the methodology, competence of internal auditors, audit criteria, frequency of internal audits, and addressing non-conformity.
- Conduct regular (at least annual) internal audits of Group members in order to confirm continued conformance with all the Group Certification requirements.
- Maintenance of all internal audit records.

Guidance:

Internal audits need to be a systematic and documented process.

The internal audit records needs to be maintained for a minimum of 5 years.

Additional internal audits should be scheduled when potential problems arise or when the Group Manager receives information from stakeholders about alleged non-conformities by Group members.

E3.1.2 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.

The risk assessment shall take into account:

- the diversity of the Group members (i.e. range of size, management structure, scattered members with diverse plantation landscape such as terrain, etc.)
- any perceived risk relating to the activities being undertaken (e.g. how much replanting or expansion is occurring, how many members are new and, for subsequent assessments, whether there is a history of non-conformities).

Guidance:

Low risk Groups are those where the Group is relatively homogeneous i.e. geographically as well as socioeconomically, and where there are no current replanting activities, no current expansion, no new members, the Group and its manager are well established and, for subsequent assessments, have no history of non-conformities.

Medium risk Groups are those where there is some homogeneity but it is not uniform across the Group. There is no replanting and or expansion but the Group management has a history of non-conformities.

High risk Groups are those where there is considerable heterogeneity in the Group (e.g. geographically or jurisdictionally separated, very different terrain, different levels of experience of oil palm cultivation, very diverse sizes of plantation, different socioeconomic situations amongst members, etc.), where there is recent expansion or replanting, and/or where the Group management has recently undergone changes.

The minimum sampling size should be 4. For groups with fewer than 4 members 100% of members shall be audited.

For groups composed of members with up to 50ha in individual plantation size and members with more than 50ha in plantation size, two separate samples will be calculated: one for those with up to 50ha and one for those with more than 50ha. This includes a separate risk assessment for each of the two subgroups following the risk level guidance below.

The former group will be assessed against the requirements as detailed in the column entitled 'Requirements for individual members with up to 50ha in plantation size' in section 3, whilst the latter will be assessed against the full RSPO P&C minus mill requirements.

The risk level of the size for the group is determined numerically by the formula below. For Guidance a 'risk level' shall be set at:

- Level 1 - low risk,
- Level 2 - medium risk,
- Level 3 - high risk.

The sample size should then be determined by the formula $(0.8\sqrt{y}) \times (z)$, where z is the multiplier defined by the risk assessment.

Multipliers are set as follows:

- Low risk = multiplier of 1,
- Medium risk = multiplier of 1.2,
- High risk = multiplier of 1.4.

Example of sample size calculation for group members in an internal assessment

Number of group members = y	Minimum (baseline) = $0.8\sqrt{y}$	Level 1 - Low risk = $(0.8\sqrt{y}) \times (1)$	Level 2 - Medium risk = $(0.8\sqrt{y}) \times (1.2)$	Level 3 - High risk = $(0.8\sqrt{y}) \times (1.4)$
8	n.a. minimum is always 4 (result is 2 only)	n.a. minimum is always 4 (result is 2 only)	n.a. minimum is always 4 (result is 3 only)	4
14	n.a. minimum is always 4 (result is 3 only)	n.a. minimum is always 4 (result is 3 only)	4	5
25	4	4	4	6
39	5	5	6	7
56	6	6	7	8
75	7	7	8	10
100	8	8	10	11
500	18	18	21	25
1000	26	26	30	35
2500	40	40	48	56
3600	48	48	58	67

Note: Sample sizes are always rounded up (e.g. 2.4 is rounded up to 3). Rounding up is done as final step in the calculation.

Scenario examples:

Example 1

A group is formed of 100 group members:

The Group has been together for 10 years under the same Group Manager and all of the smallholdings are of the same size and are all located in the same valley which has a flat terrain. All palms are between 6 and 15 years old and no Group members have loans or debts and the land is all under matriarchal ownership. This represents a low risk situation and all have a risk factor of 1. Therefore, the number of Group members to be audited is 8 out of 100 members.

Example 2

A group is formed of 100 group members:

The Group has been together for 10 years under the same Group Manager and all of the smallholdings are of the same size and all are located in the same valley which has a flat terrain. 80 of the Group Members have palms that are between 6 and 15 years old but 20 members are replanting. No Group members have loans or debts and the land is all under matriarchal ownership. This represents a low risk situation for the 80 Group members who have palms that are between 6 and 15 years old (risk factor

1 and therefore a sampling rate of 7 out of 80 Group members) and a high risk situation for the 20 members who are replanting (risk factor 3 and therefore a sampling rate of 5 out of 20 Group members from this high risk replanting Sub-Group). In total $7 + 5 = 12$ members will be audited.

Example 3

A group is formed of 100 group members:

The Group has been together for 10 years under the same Group Manager and all of the smallholdings are of the same size and are all located in the same valley which has a flat terrain. 80 of the Group Members have palms that are between 6 and 15 years old but 20 new members have just joined. No Group members have loans or debts and the land is all under matriarchal ownership. Of the 80 Group members who have palms between 6 and 15 years of age, 40 had previous non-conformities. This represents a low risk situation for the 40 members who have no history of non-conformities (risk factor 1 and sampling rate of 5 out of 40). There is a medium risk for the other 40 members who had previous non-conformities and therefore a risk factor of 2 and therefore a sampling rate of 6 out of 40 Group members. There is a high risk situation with the 20 new members who have joined the Group and these have a risk factor of 3 and therefore a sampling rate of 5 out of 20 for this Sub-Group. In total $5 + 6 + 5 = 16$ members will be audited.

Example 4

A group is formed of 100 group members:

The Group consists of 20 growers with over 50ha each in plantation size and 80 growers with up to 50ha each in plantation size. The larger growers in the group all have long established plantations in a long-established purely agricultural landscape, whilst half of the smaller growers only started oil palm operations a few years ago and are located in close proximity of an important watershed. The rest of the smaller growers are neighbours of the larger growers in the same long-established purely agricultural landscape. There is a low risk for the larger growers and for half of the smaller growers. However, the other half of the smaller growers constitute a high risk. The sample is calculated as follows: risk factor 1 is applied to the larger growers, resulting in 4 of the 20 to be audited; risk factor 1 is applied to half of the smaller growers, resulting in 6 of the 40 to be audited; risk factor 3 is applied to the other half of the smaller growers, resulting in 9 of the 40 to be audited. In total $4+6+9= 19$ will be audited.

E3.1.3 The Group Manager and the internal auditors shall jointly declare no conflict of interest for the internal audit process.

E3.1.4 The Group Manager shall conduct initial gap audits with any potential new member, to assess the following pre-requisites for membership:

- no plantings have replaced primary forest, or affected one or more High Conservation Values (HCVs) (RSPO P&C 2013 criteria 5.2 & 7.3) 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 and before 14th of May 2014. Following compliance with the compensation procedure, scheme smallholders may join the group.
- no existing land conflict.
- land title or right to use the land can be demonstrated.

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.

E3.2.2 There shall be a collective Group procedure for the sale of all certified FFB to ensure that non-certified FFB are not sold as RSPO certified FFB. If certified FFB is combined with non-certified FFB prior to the sale and delivery to a palm oil mill, a mass balance system shall be in place to ensure the quantity of FFB sold as Mass Balance is equal to the quantity of RSPO certified FFB in the mix.

E3.2.3 All sales of FFB originating from the plantations of Group members shall be documented and recorded.

This shall include:

- Invoices and receipts (purchase and sale).
- Information on transport (i.e. registration number/number plate).
- The relevant group members' group identification number.
- Classification of the FFB sold (i.e. RSPO certified or not), FFB volume and destination.
- Information of FFB price.

E3.2.4 The Group Manager shall maintain copies of all documentation and records mentioned in E3.2.3 related to Group FFB transactions for a period of a minimum of 5 years.

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. Traders of FFB are encouraged to be included within the Group certification control rather than obtain their own supply chain certification.

The Group Manager will ensure that the trader has clear procedures to ensure that mass balance calculations are accurate if applicable and that all FFB sold by the trader is traceable back to the Group members.

Guidance:

- *There shall be a contract between the FFB trader and the Group Manager.*
- *The FFB trader shall maintain complete purchase and sales records.*
- *If the FFB Trader is RSPO Supply Chain certified, a copy of the certificate shall be provided to the Group Manager.*

Section 3 Guidance for Compliance with the RSPO P & C 2013

This additional guidance is given to assist Group Managers, individual group members with up to 50ha of plantation size and certification bodies' auditors implementing and conducting audits of Groups of growers of oil palm.

P&C Indicator	Requirement for Individual Member with up to 50ha of plantation size	Guidance for Individual Members with up to 50 ha of plantation size and to be used by the Group Manager in the ICS audits	Requirement for Group Manager	Guidance for Group Managers	Guidance for Auditors
Principle 1: Commitment to Transparency					
Criterion 1.1 Growers and millers provide 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.					
<p>1.1.1 There shall be evidence that growers and millers provide adequate information on (Environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making.</p> <p>1.1.2 (M) Records of requests for information and responses shall be maintained.</p>	Demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.		<p>The Group Manager shall inform all Group members that all requests for information are referred to the Group Manager.</p> <p>The Group Manager shall provide adequate information on (Environmental, social and/or legal) issues relevant to RSPO Criteria to relevant stakeholders for effective participation in decision making (1.1.1).</p> <p>The Group Manager shall establish and maintain a system to keep records of requests for information and corresponding responses. (1.1.2)</p>	<p>Prepare books to record all visitors and all requests for information.</p> <ul style="list-style-type: none"> ▪ Date when the visit or request occurred. ▪ Name of the person visiting or requesting information. ▪ What information was requested. ▪ What information was supplied. ▪ Comments received. 	<p>Assessing Group Manager Check that the system is in place and functioning, by choosing a few requests, if any were received, and follow these through looking at the timeliness of the response and the completeness of the answers or documents provided.</p> <p>Assessing Individual Members Check a selection of members understanding that all requests for information are referred to the Group Manager.</p> <p>Assessing Stakeholders Check whether stakeholders have requested any information and if so, whether these have been responded to.</p>
Criterion 1.2 Management documents are publicly available, except where this is prevented by commercial confidentiality or where disclosure of information would result in negative environmental or social outcomes.					
<p>1.2.1 (M) Publicly available documents shall include, but are not necessarily limited to:</p> <ul style="list-style-type: none"> • 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); 	Demonstrate an understanding that all visitors and all requests for information are referred to the Group Manager.		<p>Group Managers shall list the following documents as publically available and keep copies centrally:</p> <p>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);</p>		<p>Assessing Group Manager Check that there is the complete list of documents and that all documents listed are available upon request.</p> <p>Assessing Individual Members Check a selection of members' understanding that all requests for publicly available information must be referred to the Group Manager.</p>

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P&C Indicator	Requirement for Individual Member with up to 50ha of plantation size	Guidance for Individual Members with up to 50 ha of plantation size and to be used by the Group Manager in the ICS audits	Requirement for Group Manager	Guidance for Group Managers	Guidance for Auditors
<ul style="list-style-type: none"> • 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); • Continuous improvement plans (Criterion 8.1); • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13). 			<p>HCV documentation (Criteria 5.2 and 7.3);</p> <p>Pollution prevention and reduction plans (Criterion 5.6);</p> <p>Details of complaints and grievances (Criterion 6.3);</p> <p>Negotiation procedures (Criterion 6.4);</p> <p>Continuous improvement plans (Criterion 8.1);</p> <p>Public summary of certification assessment report;</p> <p>Human Rights Policy (Criterion 6.13).</p>		
<p>Criterion 1.3 Growers and millers commit to ethical conduct in all business operations and transactions.</p>					
<p>1.3.1 There shall be a written policy committing to a code of ethical conduct and integrity in all operations and transactions, which shall be documented and communicated to all levels of the workforce and operations.</p>	<p>Individual members shall show that they have accepted and agreed the group's policy on ethical conduct</p>	<p>Guidance for Individual Members and to be used by the Group Manager in the ICS audits</p> <p>Individual members should be able to:</p> <ul style="list-style-type: none"> • Demonstrate they are aware of what ethical conduct is. • Demonstrate that they either received a document or printed information, or have attended a presentation or meeting where it was discussed. 	<p>The Group Manager shall develop a written policy committing the Group to a code of ethical conduct and integrity in all operations and transactions.</p>	<p>Applicable to all groups regardless of size.</p> <p>Group Managers should be able to show that:</p> <ul style="list-style-type: none"> • The policy should be set within the framework of the UN Convention Against Corruption, in particular Article 12. • They have obtained a copy of this framework and read it. <p>The policy should include as a minimum:</p> <ul style="list-style-type: none"> • A respect for fair conduct of business; • A prohibition of all forms of corruption, bribery and fraudulent use of funds and resources; • A proper disclosure of information in accordance with applicable regulations and accepted industry practices. <p>It must written in the language which Group members and their workers and staff can understand.</p> <p>Group members must acknowledge that they understand and comply with the Policy.</p>	<p>Assessing Group Manager</p> <p>Check that the policy is set within the framework of the UN Convention Against Corruption, in particular Article 12.</p> <p>Check the policy includes as a minimum:</p> <ul style="list-style-type: none"> • A respect for fair conduct of business; • A prohibition of all forms of corruption, bribery and fraudulent use of funds and resources; • A proper disclosure of information in accordance with applicable regulations and accepted industry practices. <p>Confirm how this has been communicated to the members of the Group.</p> <p>Check that the policy is in a language which they and their staff/workers can understand.</p> <p>Be aware of literacy issues and determine if the communication was appropriate for the Group.</p>

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				<p>Communicate this policy to the members of the Group and show records as to how it was communicated.</p> <p>If presented as a Group ensure that you record who attended, get individual members to sign that they attended or received the document.</p> <p>Simple diagrams showing what is acceptable practise or not may help with illiterate Group Members.</p>	<p>Assessing Individual Members Verify that individual members understand what ethical conduct is and the group policy. Confirm they received a document or printed information, or have attended a presentation or meeting where it was discussed.</p>
<p>Principle 2: Compliance with Applicable Laws and Regulations</p>					
<p>Criterion 2.1 There is compliance with all applicable local, national and ratified international laws and regulations.</p>					
<p>2.1.1 (M) Evidence of compliance with relevant legal requirements shall be available.</p> <p>2.1.2 A documented system, which includes written information on legal requirements, shall be maintained.</p> <p>2.1.3 A mechanism for ensuring compliance shall be implemented.</p> <p>2.1.4 A system for tracking any changes in the law shall be implemented.</p>	<p>Fulfil the requirements laid out by the Group Manager, such as attending relevant training, filling in the checklist/tools provided to guarantee legal compliance.</p> <p>Maintain corresponding physical documents according to provided checklist, e.g. relevant licenses.</p>		<p>Group Managers shall:</p> <p>Have a list/'legal register' of all applicable laws and regulations and state:</p> <ul style="list-style-type: none"> ▪ Where the laws were obtained from. ▪ How they are circulated and how often and record this communication. ▪ Who and how ensures that the laws are being implemented. ▪ Who monitors and updates the list and how often. ▪ Who records when updates are communicated. <p>Ensure you can demonstrate to a third party that the laws are understood and complied with by Group members.</p> <p>Develop tools such as checklists or booklets that your group members can use to help them implement the legal requirements.</p> <p>Demonstrate evidence of training on legal requirements such as record or</p>	<p>Refer to the NI/LI, where in existence, for initial list of applicable laws.</p> <p>If presented to a group ensure that you record who attended, get individual members to sign that they attended or received the document.</p> <p>Ensure that all office staff are aware of the legal register.</p>	<p>Assessing Group Manager Check whether a document entitled 'Legal register' or similar which lists applicable legislation or in larger Groups also outlines the key points is available.</p> <p>The Group Manager must be able to explain the process how he/she monitors changes in laws and regulations. It should be clear how the list was obtained and an identified responsible person should be looking after the list and reviewing it annually. This may be the Group Manager in small Groups or a staff member in larger.</p> <p>Assess whether the list is adequate for the size of the Group and contains laws which are material to the Group.</p> <p>For larger Groups check that the relevant parts of each law have been extracted and explained.</p> <p>A procedure on how this register is communicated is to be expected.</p>

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			handouts/printed materials/softcopy.		<p>Note extensive changes and ask why such changes were necessary.</p> <p>Check that copies of the laws are kept in a secured place and that all staff are aware of these documents</p> <p>Assessing Individual Members Check a selection of members' understanding of what laws apply to individual members.</p> <p>Check they received a hand-out or attended a presentation or meeting where it was discussed.</p>
<p>Criterion 2.2 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.</p>					
<p>2.2.1 (M) Documents showing legal ownership or lease, history of land tenure and the actual legal use of the land shall be available.</p> <p>2.2.2 Legal boundaries shall be clearly demarcated and visibly maintained.</p> <p>2.2.3 Where there are or have been disputes, additional proof of legal acquisition of title and evidence that fair compensation has been made to previous owners and occupants shall be available, and that these have been accepted with free, prior and informed consent (FPIC).</p> <p>2.2.4 (M) There shall be an absence of significant land conflict, unless requirements for acceptable conflict resolution processes (see Criteria 6.3 and 6.4) are implemented and accepted by the parties involved.</p> <p>2.2.5 For any conflict or dispute over the land, the extent of the</p>	<p>Individual members shall demarcate the boundaries of their land.</p> <p>If there are conflicts: Explain why and what is the current status. Update this status every quarter until finalised. Record all meetings and who attended.</p> <p>In each case, open a case file starting with a statement regarding the boundaries under dispute outlining the issues and the scope. Check that the titles or deeds allow the growing of oil palm where this is required by country legislation</p>	<p>Individual members should: Check that boundary markers are clear on the ground or other clear demarcation used. If not, identify those areas where it is unclear and begin action to clarify the situation.</p>	<p>The Group Manager shall demonstrate documentary evidence of legal ownership or lease, history of land tenure and the actual legal use of the land according to local laws.</p> <p>Maps showing the legal boundaries shall be kept.</p> <p>Check that boundaries are demarcated.</p> <p>If there are conflicts: The Group Manager shall ensure that there is an ongoing process to resolve the conflict and ensure records of meetings are being kept by the group member.</p>	<p>Applicable to all Groups regardless of size. Link with 2.3 Group Managers should have:</p> <ul style="list-style-type: none"> • Copies in a single file at an appropriate location. • Maps showing the legal boundaries. Cadastral boundary maps may be sufficient. The use of GPS for mapping is recommended. 	<p>Assessing Group Manager Link with 2.3 Check documents showing legal ownership or lease of the land. Check the land titles or deeds allow the growing of oil palm, where this is required by country legislation.</p> <p>It is expected that the Group can demonstrate that it is using the land in a legal way and that there is some recorded history of land use and ownership which is appropriate to the size of the Group.</p> <p>Check that copies of title deeds are easily accessible.</p> <p>Confirm that maps showing the legal boundaries are available and appropriate to the Group size (advise the Group Manager, if the Group increases in size, that improvements to the maps may be necessary).</p> <p>Confirm by sampling that a selection of boundary markers is physically present on the ground within the Group. If markers are not present</p>

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<p>disputed area shall be mapped out in a participatory way with involvement of affected parties (including neighbouring communities where applicable).</p> <p>2.2.6 (M) To avoid escalation of conflict, there shall be no evidence that palm oil operations have instigated violence in maintaining peace and order in their current and planned operations.</p>					<p>determine whether an attempt has been made to identify potential conflict areas or where the boundary is unclear. Good practice would be for the Group to use temporary markers in such areas.</p> <p>Check all records of meetings are present and correct. Confirm there are no current land conflicts. If there are conflicts are they adequately explained? Check on progress to resolution.</p> <p>Assessing Individual Members Link with 2.3 Check a selection of members to see if they have legal land titles or evidence of legal ownership or lease. Use the Group Manager's records and visit some of those members where there is conflict or absence of documentation.</p>
<p>Criterion 2.3 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.</p>					
<p>2.3.1 (M) Maps of an appropriate scale showing the extent of recognised legal, customary or user rights (Criteria 2.2, 7.5 and 7.6) shall be developed through participatory mapping involving affected parties (including neighbouring communities where applicable, and relevant authorities).</p> <p>2.3.2 Copies of negotiated agreements detailing the process of free, prior and informed consent (FPIC) (Criteria 2.2, 7.5 and 7.6) shall be available and shall include: a) Evidence that a plan has been developed through consultation and discussion with all affected Groups in the communities, and</p>	<p>2.3.2. Demonstrate that they have the right to use the land and or have customary rights over the land they farm.</p>		<p>Group Manager has to:</p> <p>2.3.1. Carry out the participatory mapping with involved parties (including neighbouring communities where applicable, and relevant authorities).</p> <p>2.3.2 Keep copies of negotiated agreements between individual members and affected stakeholders in appropriate languages.</p> <p>2.3.3 & 2.3.4: For these processes appropriate local language will be used and negotiations conducted with appropriate representatives.</p>	<p><u>For the participatory mapping:</u></p> <ul style="list-style-type: none"> Record all stakeholders with customary rights and clearly show on the map where these rights are. When legal, customary or user rights exist, growers will keep copies of negotiated agreements with affected stakeholders, including benefit sharing, and legal arrangements. Monitor compliance with the agreement if one exists. 	<p>Assessing Group Manager</p> <p>Use the Group Manager's records to confirm whether there are customary rights that need to be upheld over the land occupied by the Group and that the Group Manager's demonstration of this in the case files is satisfactory.</p> <p>Check the map and assess that the process to develop it was participatory and all areas of customary rights are clearly indicated on the map.</p> <p>Check whether the Group demonstrates compliance with any agreements.</p> <p>Confirm that copies of the agreement are retained and secure.</p>

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<p>that information has been provided to all affected Groups, including information on the steps that shall be taken to involve them in decision making;</p> <p>b) Evidence that the company has respected communities' decisions to give or withhold their consent to the operation at the time that this decision was taken;</p> <p>c) Evidence that the legal, economic, environmental and social implications for 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 company's title, concession or lease on the land.</p> <p>2.3.3 All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements.</p> <p>2.3.4 (M) Evidence shall be available to show that communities are represented through institutions or representatives of their own choosing, including legal counsel.</p>					<p>Look at the entire process and determine if monitored appropriately.</p> <p>Assessing Individual Members Check for any conflicts. If conflict is identified include the area in question in your audit sample and obtain evidence from affected parties about the process and resolution of the conflict.</p> <p>Investigate if the process of negotiated agreements including records of the process leading to consent is adequate for the size of the group member.</p> <p>Check a selection of members to see if they have any customary rights on the land they are farming.</p>
<p>Principle 3: Commitment to Long-Term Economic and Financial Viability</p>					
<p>Criterion 3.1 There is an implemented management plan that aims to achieve long-term economic and financial viability.</p>					
<p>3.1.1 (M) A business or management plan (minimum three years) shall be documented that includes, where appropriate, a business case for scheme smallholders.</p>	<p>This Criterion is not applicable to independent smallholders. See reference RSPO P&C 2013, under Criterion 3.1 Guidance.</p> <p>It is recommended for groups of smallholders to have a business plan for long-term economic viability of their operation, considering among others, cost of annual maintenance, replanting, potential expansion and long term sustainability of certification.</p>				

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<p>3.1.2 An annual replanting programme projected for a minimum of five years (but longer where necessary to reflect the management of fragile soils, see Criterion 4.3), with yearly review, shall be available.</p>					
<p>Principle 4: Use of Appropriate Best Practices by Growers and Millers</p>					
<p>Criterion 4.1 Operating procedures are appropriately documented, consistently implemented and monitored.</p>					
<p>4.1.1 (M) Standard Operating Procedures (SOPs) for estates and mills shall be documented.</p> <p>4.1.2 A mechanism to check consistent implementation of procedures shall be in place.</p> <p>4.1.3 Records of monitoring and any actions taken shall be maintained and available, as appropriate.</p> <p>4.1.4 (M) The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB).</p>	<p>4.1.3 Responsibility of individual members to keep record of their own SOP implementation as per defined in group SOPs.</p>	<p>Guidance for Individual Members and to be used by the Group Manager in the ICS audits Individual members should be able to :</p> <ul style="list-style-type: none"> • Demonstrate best practise based on group SOP relevant subjects at their farm. • Demonstrate that they have attended training presentations, open days or onsite instruction on how to manage oil palm and show records. • Show how many training days they have attended and prove this by providing certificates of Attendance for all training days attended. • Be able to explain when was the last time someone visited their farm to explain best practises. <p>A record keeping template can be provided by Group Manager.</p>	<p>4.1.1 Group Manager develops appropriate SOPs for the group:</p> <ul style="list-style-type: none"> • Ensure through a set procedure any pre-existing SOPs for BMP by current members, are compliant & consistent with the group SOPs • Keep a register of members who have pre-existing non-group SOPs that are accepted as compliant and consistent with group SOPs. <p>4.1.2 The Group Manager has regular checks using procedures set at group level for SOP implementation.</p> <p>4.1.3 Group Manager oversees the individual record keeping by members.</p> <p>4.1.4 Group Manager is responsible to identify where all individual member farms are located as a means to identify FFB origin.</p>	<p>Applicable to all Groups regardless of size but the details will vary depending on the size of the Group and the complexity of operations Group Managers should be able to:</p> <p>List all of the operations that will need to be covered and include mills (if applicable). Ensure that Standard Operating Procedures (SOPs) adequately outline the key tasks associated with each operation.</p> <p>Include sections on the following (but this is not an exhaustive list) :</p> <ul style="list-style-type: none"> • Land preparation for both new planting and for re-planting. Consider all aspects e.g. slicing palm trunks with an excavator. • Nursery practices. • Planting density, pattern and technique. • Soil Erosion controls. • Weeding and weed Control. • Management of agrochemicals. • Fertilising, leaf and soil sampling (if carried out) if not state how fertiliser requirements are met. • Pests & Disease control • Water management. • Pruning of fronds. • Harvesting. 	<p>Assessing Group Manager</p> <p>Cross check with the Group Manager's list of SOPs to ensure that they are all present and up to date.</p> <p>Check how implementation is monitored and that there is sufficient competency in the people monitoring.</p> <p>Check that the indicators chosen to monitor the process are adequate for the scale of operations and that the information obtained is used to improve practices.</p> <p>Cross check this SOP manual with the business plan, where one exists (see 3.1), for broad alignment.</p> <p>Pay particular attention to:</p> <ul style="list-style-type: none"> • Land preparation for both new planting and for re-planting. Consider all aspects e.g. slicing palm trunks with an excavator. • Nursery practices. • Planting density, pattern and technique. • Soil Erosion controls. • Weeding and weed Control. • Management of agrochemicals. • Fertilising, leaf and soil sampling (if carried out) if not

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				<ul style="list-style-type: none"> Road maintenance. <p>In each case state who is responsible and identify who is involved in the process. Outline who ensures implementation of best management practices and how this is done. Describe what actions are monitored and how the information gained is used.</p> <p>Cross check with 3.1 to ensure that there is an operational plan that reflects the 3-year business plan where one exists.</p> <p>Put all of the above into a document (manual) don't forget to include No fire policy (5.5).</p> <p>Call the document "Standard Operating Procedures":</p> <ul style="list-style-type: none"> Decide how this will be communicated to the members of the Group. Record how it was communicated. If presented to a Group ensure that you record who attended, get individual members to sign that they attended or received the document. <p>Cross link with the training plan (4.8) In the training of members in SOPs: consider training days on representative or demonstration farms and awarding certificates.</p> <p>Monitoring will require visits.</p> <p>Ensure both training attendance and visits are recorded against each farm.</p> <p>In the review look at the training days on an individual basis and see if these are adequate.</p>	<p>state how fertiliser requirements are met.</p> <ul style="list-style-type: none"> Pests & Disease control Water management. Pruning of fronds. Harvesting. Road maintenance. <p>Confirm that all the SOPs are in one place and safely stored.</p> <p>Assessing Individual Members Check a selection of members to see if they have had the appropriate SOPs explained. Not all may be relevant. Checking the formalities of training days (attendance or certificates awarded) may assist. Check the frequency of farm visits. All other field inspections as per normal commercial producer audits.</p>

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				Ensure that all office staff are aware of the requirement.	
Criterion 4.2 Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.					
<p>4.2.1 There shall be evidence that good agriculture practices, as contained in Standard Operating Procedures (SOPs), are followed to manage soil fertility to a level that ensures optimal and sustained yield, where possible.</p> <p>4.2.2 Records of fertiliser inputs shall be maintained.</p> <p>4.2.3 There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status.</p> <p>4.2.4 A nutrient recycling strategy shall be in place, and may include use of Empty Fruit Bunches (EFB), Palm Oil Mill Effluent (POME), and palm residues after replanting.</p>	<p>4.2.2 Responsibility of individual members to maintain fertilizer records.</p>	<p>Guidance for Individual Members and to be used by the Group Manager in the ICS audits</p> <p>Individual members should be able to:</p> <ul style="list-style-type: none"> • Confirm if fertiliser is used on the farm and state which types are used. • Demonstrate how it is stored and applied. • Explain who tells them how much to use and when to apply it. • Demonstrate that they have attended training presentations, open days or onsite instruction on how to manage oil palm and show records. • Show how many training days they have attended and prove this by providing certificates of Attendance for all training days attended. • Be able to explain when was the last time someone visited your farm to explain best practises. 	<p>4.2.1 Group Manager to maintain regular records of soil fertility practices by all members as per SOPs.</p> <p>4.2.2 Group Manager to provide template to record fertilizer usage and mill by-products usage.</p> <p>4.2.3 Group Manager conducts periodic tissue and soil sampling at minimum for a representative sample of group membership.</p> <p>4.2.4 Group Manager oversees and ensures implementation of nutrient recycling for the group.</p>	<p>Applicable to all Groups regardless of size but the details will vary depending on the size of the Group and the complexity of operations.</p> <p>Link with the appropriate SOP.</p> <p>For small Groups simple plans to maintain soil fertility as highlighted in the SOPs may be sufficient.</p> <p>It is expected that the larger the Group the more sophisticated the methods employed (within the resources of the Group) need to be.</p> <p>Group Managers should be able to:</p> <ul style="list-style-type: none"> • Demonstrate what the procedure to measure soil fertility is, giving details of who conducts the assessments, and at what frequency. • For larger groups a knowledge of the baseline measurement of organic matter in the soil will be expected. <p>Group Managers should be able to explain how the results used to make up fertiliser programmes.</p> <p>Demonstrate that application of fertiliser are in accordance with the results</p> <p>Provide fertiliser application records for members stating where, when and what quantities of mill by-products are used on the farms (if applicable).</p> <p>Write a simple procedure entitled: "Soil Fertility" stating how this is</p>	<p>Assessing Group Manager</p> <p>Is there a procedure present that covers the specific aspect of this criterion?</p> <p>Is it appropriate to the scale and resources available to the Group?</p> <p>Not all practises will be applicable.</p> <p>Key points would be the amount of fertiliser applied on a farm basis and that records are adequate.</p> <p>Assessing Individual Members</p> <p>Check a selection of members to see if they have had the appropriate SOPs for fertiliser explained to them and the quantities supplied have been applied.</p> <p>Not all may be relevant.</p> <p>Checking the formalities of training days (attendance or certificates awarded) may assist.</p> <p>Check the frequency of farm visits.</p> <p>All other field inspections as per normal commercial producer audits.</p>

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				<p>done. If nothing is done to measure or maintain soil fertility, then state this.</p> <p>There may be occasions when funds do not permit the purchase of fertiliser or when the weather does not permit the distribution or application. Ensure these dates are recorded.</p>	
Criterion 4.3 Practices minimise and control erosion and degradation of soils.					
<p>4.3.1 (M) Maps of any fragile soils shall be available.</p> <p>4.3.2 A management strategy shall be in place for plantings on slopes above a certain limit (this needs to be soil and climate specific).</p> <p>4.3.3 A road maintenance programme shall be in place.</p> <p>4.3.4 (M) Subsidence of peat soils shall be minimised and monitored. A documented water and ground cover management programme shall be in place.</p> <p>4.3.5 Drainability assessments shall be required prior to replanting on peat to determine the long term viability of the necessary drainage for oil palm growing.</p> <p>4.3.6 A management strategy shall be in place for other fragile and problem soils (e.g. sandy, low organic matter, acid sulphate soils).</p>	<p>4.3.1 Where available individual members shall provide soil maps of their own farm to the Group Manager.</p> <p>4.3.4 Individual members shall record water levels at regular basis as specified within group SOP</p>	<p>Guidance for Individual Members and to be used by the Group Manager in the ICS audits</p> <p>Individual members should be able to:</p> <p>Explain which parts of their farm are unsuitable for oil palm and why. Detail how they obtained this information.</p> <p>Point to areas of peat, fragile or marginal soils, or slopes explaining how SOPs differ on these areas.</p> <p>Explain how to manage plantings on different soil types and be able to show that their practices are consistent with the group SOP.</p> <p>Know what the limit is for planting on slopes.</p> <p>Know who maintains the road.</p> <p>Know what remedial action is required to prevent erosion and why year round ground cover is important.</p> <p>Demonstrate that they have attended training presentations, open days or onsite instruction on how to manage oil palm and show records.</p>	<p>4.3.1 Group Manager shall compile and maintain an overall soil map for the group.</p> <p>4.3.2 Group Manager develops a policy and procedure for planting on slopes.</p> <p>4.3.3 A road maintenance programme is maintained at Group level, this includes an approval process for any new roads being developed by individual members.</p> <p>4.3.4 Group manage to have monitoring procedure for peat subsidence and water management for plantings on peat where relevant</p> <p>4.3.5 Group Manager develops regular drainability assessment schedule for the group and implements this</p> <p>4.3.6 There is a group level policy and plan for managing fragile and problem soils occurring in the group. The Group Manager shall ensure implementation by individual group members.</p>	<p>Soil maps are available and in a format that is understandable. For small Groups cadastral boundary maps with hand drawn details may be sufficient. For larger Groups the use of GPS and other mapping tools will be expected.</p> <p>Link with the appropriate SOP.</p> <p>For small Groups simple plans to maintain soil fertility as highlighted in the SOPs may be sufficient.</p> <p>It is expected that the larger the Group the more sophisticated the methods employed (within the resources of the Group).</p> <p>Applicable to all Groups regardless of size but the details will vary depending on the size of the Group and the complexity of operations.</p> <p>Group Managers should be able to:</p> <ul style="list-style-type: none"> • Demonstrate that the Group has good agricultural practices to minimise erosion, soil compaction and to ensure ground cover Link in with 4.1, 4.6 and 4.8. • Map all roads and have procedures on how the roads are maintained. <p>For small Groups the maps can be</p>	<p>Assessing Group Manager</p> <p>Check that the soil maps are adequate for the size of the operation and that they contain sufficient detail to assist the members to adequately fulfil this criterion.</p> <p>Maps of individual members can be hand drawn.</p> <p>Field checks are required.</p> <p>Has the group adequately captured the mitigating methods employed in the field or are there gaps and is there evidence of this?</p> <p>Assessing Individual Members</p> <p>Check a selection of members to see if they have had the appropriate SOPs for peat, fragile, marginal and slope soils have been applied.</p> <p>Not all may be relevant.</p> <p>Checking the formalities of training days (attendance or certificates awarded) may assist.</p> <p>Check the frequency of farm visits. All other field inspections as per normal commercial producer audits.</p>

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P&C Indicator	Requirement for Individual Member with up to 50ha of plantation size	Guidance for Individual Members with up to 50 ha of plantation size and to be used by the Group Manager in the ICS audits	Requirement for Group Manager	Guidance for Group Managers	Guidance for Auditors
		<p>Show how many training days they have attended and prove this by providing certificates of attendance for all training days attended.</p> <p>Be able to explain when was the last time someone visited your farm to explain best practises.</p>		<p>hand drawn – use descriptions to differentiate soil types e.g. colour of the soil. Comment on the soils e.g. whether it gets waterlogged and for how long.</p> <p>For larger Groups the use of GPS to construct adequate maps will be expected.</p> <p>Include what steps are taken to reduce impact on the soil e.g. state that wheel barrows or buffalo are used for extraction of FFB to roadside as they have less impact on the soils than tractors or other extraction methods.</p> <p>Link to 4.1.</p> <p>Note many of the methods employed will also help minimise the Group's impact on the environment.</p>	
<p>Criterion 4.4 Practices maintain the quality and availability of surface and ground water.</p>					
<p>4.4.1 An implemented water management plan shall be in place.</p> <p>4.4.2 (M) Protection of water courses and wetlands, including maintaining and restoring appropriate riparian and other buffer zones (refer to national best practice and national guidelines) shall be demonstrated.</p> <p>4.4.3 Appropriate treatment of mill effluent to required levels and regular monitoring of discharge quality, especially Biochemical Oxygen Demand (BOD), shall be in compliance with national regulations (Criteria 2.1 and 5.6).</p>	<p>4.4.2 Where applicable individual members shall demonstrate maintaining and restoring riparian and other buffer zones as specified within group SOPs.</p>	<p>Guidance for Individual Members and to be used by the Group Manager in the ICS audits</p> <p>Individual members should be able to:</p> <p>Point to any part of the farm near water and if so explain how they protect the water from what they do on the land.</p> <p>If there are riparian buffer zones explain how these are maintained and what the things are they can and cannot do inside the riparian buffer zone.</p> <p>Demonstrate that they have attended training presentations, open days or onsite instruction on how to manage oil palm and show records.</p> <p>Show how many training days they have attended and prove this by</p>	<p>4.4.1 & 4.4.2 are the responsibility of Group Manager (4.4.3 and 4.4.4 are not applicable).</p> <p>4.4.1 Group Manager shall have Map of all water ways and water bodies and have procedures as part of water management plan.</p>	<p>The farms and mills demonstrate that they have good practices relating to water management.</p> <p>Applicable to all Groups regardless of size but the details will vary depending on the size of the Group and the complexity of operations.</p> <p>Link with the appropriate SOP.</p> <p>For most groups the use of GPS/GIS to construct adequate maps will be expected.</p> <p>The map of all water ways and water bodies can be hand drawn as long as there is clear justification that is consistent with the group procedures and membership in ICS.</p> <p>Ensure the use of descriptions to</p>	<p>Assessing Group Manager</p> <p>Check that the maps and water management plan are adequate for the size of the operation and that they contain sufficient detail to assist the members to adequately fulfil this criterion.</p> <p>Field checks are required, walking major river banks as necessary.</p> <p>Check the Water Management Plan has adequately captured the mitigating methods employed in the field or search for omissions.</p> <p>Assessing Individual Members</p> <p>Check a selection of members to see if they have had the appropriate SOPs for water management explained.</p>

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<p>4.4.4 Mill water use per tonne of Fresh Fruit Bunches (FFB) (see Criterion 5.6) shall be monitored.</p>		<p>providing certificates of Attendance for all training days attended.</p> <p>Be able to explain when was the last time someone visited your farm to explain best practises.</p>		<p>differentiate the different type of water and determine seasonal inundation.</p> <p>This can be linked to the soil maps to combine into one unified map.</p> <p>Group Managers should be able to:</p> <ul style="list-style-type: none"> ▪ Present maps which show all water bodies and the riparian zones. Explain how the Group manages the riparian zones. ▪ Present a prepared water management plan for all practices – linked to SOPs. ▪ Identify all effluent discharge points (if applicable). ▪ Know where the water comes from. ▪ Know if water use has any impact on the water source and if yes, what actions the Group are taking to mitigate that impact. ▪ Show records of rainfall and show how often and how rainfall is measured. ▪ Demonstrate how this information is used. <p>Identify all significant water courses passing through the farms. If possible, hand-draw them on a map. For larger Groups the use of GPS to construct adequate maps will be expected.</p> <p>If possible, monitor the quantity of the water entering the farms and again at a point where it leaves the farms at least twice per year.</p> <p>Demonstrate that the Group has good agricultural practices to minimise impacts and show how this has been communicated to the members of the Group.</p>	<p>Not all may be relevant. Checking the formalities of training days (attendance or certificates awarded) may assist.</p> <p>Check the frequency of farm visits.</p> <p>All other field inspections as per normal commercial producer audits.</p> <p>There should be evidence of a reporting mechanism which is understood by the individual members for issues concerning water.</p>

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				<p>Write a simple procedure entitled: "Water Management Plan" stating how this criterion is handled within the Group.</p> <p>If nothing is done to maintain the quality and availability of surface and ground water, then state this. Link with 4.1 and 5.1.</p> <p>Record how it was communicated.</p> <p>If presented to a Group ensure that you record who attended, get individual members to sign that they attended or received the document.</p> <p>Record all field visits.</p> <p>There should be evidence of a reporting mechanism which is understood by the individual members for issues concerning water.</p>	
<p>Criterion 4.5 Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.</p>					
<p>4.5.1 (M) Implementation of Integrated Pest Management (IPM) plans shall be monitored.</p> <p>4.5.2 Training of those involved in IPM implementation shall be demonstrated.</p>	<p>4.5.2 Individual members must attend training.</p>	<p>Guidance for Individual Members and to be used by the Group Manager in the ICS audits</p> <p>Combine with 4.6</p>	<p>4.5.1 is the responsibility of Group Manager. Have a written procedure on IPM.</p> <p>4.5.2 Group Manager to provide IPM training.</p>	<p>An Integrated Pest Management (IPM) plan is in place and implemented.</p> <p>For small Groups IPM may not be practical but a plan would be expected for larger Groups.</p> <p>Group Managers should be able to:</p> <ul style="list-style-type: none"> • Identify all pests and diseases affecting the Group. • Outline the action taken to monitor and control the significant pests. • Work towards biological controls of these pests and diseases. • Have a written procedure on IPM which details how and who monitors the effectiveness of the procedure. 	<p>Assessing Group Manager</p> <p>Confirm that a documented Integrated Pest Management plan is in place and being implemented in the field.</p> <p>If a plan is absent, check there is sufficient justification for its absence.</p> <p>Ensure the plan includes identification procedures of all pests and diseases and details the appropriate action to be taken.</p> <p>Check records and in the field to confirm the plan is being monitored for the above.</p>

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				<p>Write a simple procedure entitled: "Integrated Pest Management". If nothing is done, then state this.</p> <p>Detail the pests and diseases, biological controls in place and action taken when the pest or disease reach an economic threshold for mitigation action. Also detail how the pest and diseases are handled when the biological controls break down.</p> <p>Combine it with the procedures in 4.6 and ensure it is communicated appropriately to the Group.</p> <p>Record how it was communicated. If presented to a Group ensure that you record who attended, get individual members to sign that they attended or received the document.</p>	<p>Determine how its effectiveness is being monitored for the identified pests and diseases.</p> <p>Assessing Individual Members Combine with 4.6 Note field inspections will be necessary.</p>
Criterion 4.6 Pesticides are used in ways that do not endanger health or the environment					
<p>4.6.1 (M) Justification of all pesticides used shall be demonstrated. The use of selective products that are specific to the target pest, weed or disease and which have minimal effect on non-target species shall be used where available.</p> <p>4.6.2 (M) Records of pesticides use (including active ingredients used and their LD50, area treated, amount of active ingredients applied per ha and number of applications) shall be provided.</p> <p>4.6.3 (M) Any use of pesticides shall be minimised as part of a plan, and in accordance with Integrated Pest Management (IPM) plans. There shall be no prophylactic use of pesticides, except in specific situations</p>	<p>4.6.1 Individual members shall be able to demonstrate knowledge of pest & applicable chemical use.</p> <p>4.6.2 Individual members keep records of pesticides use.</p> <p>4.6.5 Individual members ensure that anyone handling chemicals has attended relevant training.</p> <p>4.6.6 Individual members store pesticides consistent with Group SOPs.</p> <p>4.6.10 Individual members must dispose of waste materials according to group SOPs.</p> <p>4.6.12 Individual members ensure no pregnant or breastfeeding women are handling pesticides.</p>	<p>Guidance for Individual Members and to be used by the Group Manager in the ICS audits Individual members should be able to:</p> <ul style="list-style-type: none"> Identify problem weeds or pest on the farm. Explain how these weeds or pests are controlled on your farm. Explain what you do if you see pests in the field. If pesticides are used, then list what chemicals are used. Explain when they were trained in their use. Show where and how they protect people from harm through chemicals. Explain what the main dangers are of using chemicals to themselves, family and workers (if appropriate) and to the environment. 	<p>4.6.1 Group Manager to develop manual for pest & chemical use and relevant training.</p> <p>4.6.11 Group Managers to monitor occurrence of illnesses and health conditions of members and their workers that are handling agrochemicals, to identify needs for medical check-up.</p> <p>4.6.3 ; 4.6.4 ; 4.6.7 ; 4.6.8 4.6.9 are the responsibility of the Group Manager.</p> <p>For 4.6.2 ; 4.6.5 ; 4.6.6 ; 4.6.10 ; 4.6.12 Group Manager has oversight responsibility.</p>	<p>Justification of all agrochemicals (pesticides and herbicides).</p> <p>Applicable to all Groups regardless of size but the details will vary depending on the size of the Group and the complexity of operations.</p> <p>Some Groups may opt to be pesticide free. If this is the case the Group Manager should write a simple explanation stating this and the reasons.</p> <p>Group Managers should be able to:</p> <ul style="list-style-type: none"> List all chemicals used in the Group. Identify what weeds and pests are present. Explain why they need to be controlled. List what are the appropriate agrochemicals for control of each 	<p>Assessing Group Manager Confirm the presence of a document which identifies and justifies all chemicals used and stored and that this links in with the IPM plan and that the plan is being implemented: As appropriate – does the plan include:</p> <ul style="list-style-type: none"> A list of all chemicals used in the Group An identification of weeds and pests and explains why they should be controlled. <p>Does the above information adequately justify the use of the Agrochemicals listed?</p> <p>Check whether the following is done:</p> <ul style="list-style-type: none"> List all chemicals used in the Group. Identify what weeds and pests are present. Explain why they need to be

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<p>identified in national Best Practice guidelines.</p> <p>4.6.4 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, except in specific situations identified in national Best Practice guidelines. The use of such pesticides shall be minimised and eliminated as part of a plan, and shall only be used in exceptional circumstances.</p> <p>4.6.5 (M) Pesticides shall only be handled, used or applied by persons who have completed the necessary training and shall always be applied in accordance with the product label. Appropriate safety and application equipment shall be provided and used. All precautions attached to the products shall be properly observed, applied, and understood by workers (see Criterion 4.7).</p> <p>4.6.6 (M) Storage of all pesticides shall be according to recognised best practices. All pesticide containers shall be properly disposed of and not used for other purposes (see Criterion 5.3).</p> <p>4.6.7 Application of pesticides shall be by proven methods that minimise risk and impacts.</p> <p>4.6.8 (M) Pesticides shall be applied aerially only where there is documented justification. Communities shall be informed of impending aerial pesticide</p>		<ul style="list-style-type: none"> • Explain why children and pregnant women should never be near or use chemicals. • Show where chemicals are stored. • Show where they are mixed. • Display the PPE they use, and explain when it is used and where they get replacements. • Know what a Material Safety Datasheet (MSDS) is. • Explain how to dispose of empty containers. • Be able to confirm if they have ever had a medical check arranged by the Group Manager. 		<p>weed and pest.</p> <ul style="list-style-type: none"> ▪ Know the active ingredient and the toxicity classification. ▪ List alternative methods of control such as mechanical. Justify why alternatives are not used. ▪ Include a statement on when and why aerial applications are used (if applicable). ▪ Justify the use of each chemical. ▪ Demonstrate how the Group ensures members and workers (if applicable) are properly trained and supervised. ▪ Show how chemicals are stored properly. ▪ Prove that MSDS leaflets are available for all workers and supervisors. Take into account literacy levels and appropriateness of information. ▪ List what Personal Protective Equipment is needed (link to 4.7.) including how it is replenished. ▪ Explain how and where empty containers are disposed of. ▪ Explain how, where and when medical check-ups are performed and why, including how the results of medical check-ups are used to protect workers. ▪ Provide a written statement on 'No work with pesticides shall be undertaken by pregnant or breast-feeding women' and explain how this is controlled. ▪ Keep records of pesticides used within the Group. <p>Write a simple procedure entitled: "Use of Pesticides". For each chemical used state why it is used. Include the above elements in Group training and place emphasis in implementing safety.</p>	<p>controlled.</p> <ul style="list-style-type: none"> ▪ List what are the appropriate agrochemicals for control of each weed and pest. ▪ Know the active ingredient and the toxicity classification. ▪ List alternative methods of control such as mechanical. Justify why alternatives are not used. ▪ Include a statement on when and why aerial applications are used (if applicable). ▪ Justify the use of each chemical. ▪ Demonstrate how the Group ensures members and workers (if applicable) are properly trained and supervised. ▪ Show how chemicals are stored properly. ▪ Prove that MSDS leaflets are available for all workers and supervisors. Take into account literacy levels and appropriateness of information. ▪ List what Personal Protective Equipment is needed (link to 4.7.) including how it is replenished. ▪ Explain how and where empty containers are disposed of. ▪ Explain how, where and when medical check-ups are performed and why, including how the results of medical check-ups are used to protect workers. ▪ Provide a written statement on 'No work with pesticides shall be undertaken by pregnant or breast-feeding women' and explain how this is controlled. ▪ Keep records of pesticides used within the Group. <p>Assessing Individual Members Individual members should be aware of safety measures associated with</p>

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<p>applications with all relevant information within reasonable time prior to application.</p> <p>4.6.9 Maintenance of employee and associated smallholder knowledge and skills on pesticide handling shall be demonstrated, including provision of appropriate information materials (see Criterion 4.8).</p> <p>4.6.10 Proper disposal of waste material, according to procedures that are fully understood by workers and managers shall be demonstrated (see Criterion 5.3).</p> <p>4.6.11 (M) Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated.</p> <p>4.6.12 (M) No work with pesticides shall be undertaken by pregnant or breast-feeding women.</p>				<p>Issue Attendance certificates for all training and record separately who was present and when the training was held along with the subject of the training.</p> <p>Develop a mechanism of feedback from the individual farms and subsequently analyse the data to improve performance.</p> <p><u>Points of note:</u> Chemical store: should have emergency showers; first aid kit, spill kits, be lockable and signage present.</p> <p>Consider mixing herbicides at a central point and distributing in 25 litre containers.</p> <p>Never mix near streams.</p> <p>Consider Ultra Low Volume (Controlled Droplet) application.</p> <p>Diagrams and photographs are best suited to explain many of these elements.</p>	<p>pesticide use and the role of IPM within the context of the farm.</p> <p>IPM is a difficult subject to understand if illiterate.</p> <p>Members should: Know which weeds are on the farm and explain how these are controlled including if there is an IPM alert of reporting system in place in the Group.</p> <p>Have undergone a training programme if they are applying agrochemicals.</p> <p>List which chemicals are in use on the farm and how they are stored and mixed and disposed of and how to keep anyone on the farm free from harm including which PPE is in use and how to replenish this.</p> <p>It is unlikely that illiterate farmers will be able to read an MSDS.</p> <p>Explain when their last medical check-up occurred.</p> <p>There should be evidence of a reporting mechanism which is understood by the individual members concerning pesticide accidents and environmental issues.</p>
Criterion 4.7 An occupational health and safety plan is documented, effectively communicated and implemented.					
<p>4.7.1 (M) A health and safety policy shall be in place. A health and safety plan covering all activities shall be documented and implemented, and its effectiveness monitored.</p> <p>4.7.2 (M) All operations where health and safety is an issue shall</p>	<p>Member shall collaborate with Group Manager to ensure dangers on farm are identified.</p> <p>Members shall provide input to the development of the OHS policy and management plan.</p>	<p>Demonstrate implementation of the management plan.</p>	<p>Group Manager shall conduct a risk assessment in collaboration with members.</p> <p>Based on the identified risks, an Occupational Health and Safety policy and/or plan shall be documented and implemented, including the need for medical</p>		<p>Assessing Group Manager</p> <p>Check that there is an OHS policy and management plan present.</p> <p>Check that the policy is implemented on the ground.</p> <p>Check for training and accident</p>

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<p>be risk assessed, and procedures and actions shall be documented and implemented to address the identified issues. All precautions attached to products shall be properly observed and applied to the workers.</p> <p>4.7.3 (M) All workers involved in the operation shall be adequately trained in safe working practices (see Criterion 4.8). Adequate and appropriate protective equipment shall be available to all workers at the place of work to cover all potentially hazardous operations, such as pesticide application, machine operations, and land preparation, harvesting and, if it is used, burning.</p> <p>4.7.4 (M) The responsible person/persons shall be identified. There shall be records of regular meetings between the responsible person/s and workers. Concerns of all parties about health, safety and welfare shall be discussed at these meetings, and any issues raised shall be recorded.</p> <p>4.7.5 Accident and emergency procedures shall exist and instructions shall be clearly understood by all workers. Accident procedures shall be available in the appropriate language of the workforce. Assigned operatives trained in First Aid should be present in both field and other operations, and first aid equipment shall be available at worksites. Records of all accidents shall be kept and periodically reviewed.</p>	<p>Members shall attend trainings related to OHS.</p> <p>Members shall implement the management plan and at least ensure the provision of PPE and medical check-ups for high risk workers. In the case of hazardous chemical use, a description of the relevant chemicals should be brought to the field.</p> <p>Members shall report accidents on the farm to the Group Manager.</p> <p>Each member ensures that there is a first aid kit available at the work site when there is operation going on in the field.</p> <p>Appropriate to scale, workers shall be provided with medical care and covered by medical insurance.</p> <p>If accidents occur involving casual workers, members shall be expected to provide medical care for the workers involved.</p>		<p>insurance for workers appropriate to scale.</p> <p>Group Managers shall develop OHS / First Aid manual and distribute to all individual members.</p> <p>Group Manager shall hold regular training based on Group OHS / First Aid manual for members and/or workers.</p> <p>Group Manager shall record members' accidents on the farm.</p> <p>Group Manager reviews the manual periodically.</p> <p>Appropriate to scale, consider forming an Occupational Health Committee.</p>		<p>records.</p> <p>Appropriate to scale, check for the presence and activities of the Occupational Health Committee.</p> <p>Appropriate to scale, check the insurance policies.</p> <p>Assessing Individual Members</p> <p>Interview members on their understanding of the main hazards for workers on the farm and how to deal with them.</p> <p>Check if workers handling hazardous chemicals bring along documentation describing the relevant chemicals and safety procedures. Check if the members report the accidents on the farm.</p> <p>Check if each member has a first aid kit.</p> <p>Appropriate to scale, check if the workers are provided with medical care and covered by medical insurance. For casual workers who are not tied to any farm, insurance may not be relevant/appropriate.</p>

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4.7.6 All workers shall be provided with medical care, and covered by accident insurance. 4.7.7 Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics					
Criterion 4.8 All staff, workers, smallholders and contract workers are appropriately trained.					
4.8.1(M) A formal training programme shall be in place that covers all aspects of the RSPO Principles and Criteria, and that includes regular assessments of training needs and documentation of the programme. 4.8.2 Records of training for each employee shall be maintained.	Anyone working on the farm shall be briefed on best practices relevant to the job they are doing. Members and workers shall participate in the trainings where appropriate. Members inform the Group Manager on participation of workers in training.		Group Manager shall ensure that all members are trained on the RSPO P&C and records of such training shall be kept. Appropriate to scale, Group Manager shall prepare a training plan. Appropriate to scale, training records shall be kept.	Depending on the size and the complexity of operations, the Group Manager should conduct training needs assessment.	Assessing Group Manager Check the availability of the training plan and records. Check if workers have been trained. Assessing Individual Members Interview members on their understanding of RSPO P&C and workers for the job they are doing.
Principle 5: Environmental Responsibility and Conservation of Natural Resources and Biodiversity					
Criterion 5.1 Aspects of plantation and mill management, including replanting, that have environmental impacts are identified, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.					
5.1.1 (M) An environmental impact assessment (EIA) shall be documented. 5.1.2 Where the identification of impacts requires changes in current practices, in order to mitigate negative effects, a timetable for change shall be developed and implemented within a Comprehensive management plan. The management plan shall identify the responsible person/persons. 5.1.3 This plan shall incorporate a monitoring protocol, adaptive to operational changes, which shall be implemented to monitor the effectiveness of the mitigation measures. The plan shall be reviewed as a minimum every two	<ul style="list-style-type: none"> Individual members shall demonstrate an understanding of the environmental risks of their operations. Individual members shall demonstrate an understanding of the mitigation plan to reduce the environmental impacts. Individual members shall contribute to the reduction of environmental impacts. 	Guidance for Individual Members and to be used by the Group Manager in the ICS audits Individual members should be able to: <ul style="list-style-type: none"> Show awareness and implement relevant SOPs where applicable. Explain how environmental issues are reported back to the Group Manager. Make sure all people working on their farm aware of this requirement. Inform the Group Manager if there is an environmental problem. 	<ul style="list-style-type: none"> Group Managers shall identify all activities that have an impact on the environment. Group Managers shall develop a mitigation plan to reduce environmental risks and review the plan every two years. Group Managers shall organise training for members on environmental risks and mitigation measures. Group Managers shall monitor implementation of mitigation plan. 	Impacts on the environment of all operations. Applicable to all Groups. Group Managers should be able to: <ul style="list-style-type: none"> Compile an Environmental risks register using this information. Develop an appropriate methodology to determine significant risks for each impact. Develop a mechanism for measuring and monitoring the mitigation action. Identify a person responsible for the monitoring of these mitigation strategies. Prepare training materials on environmental mitigation plan which is not covered under other SOPs. 	Assessing Group Manager Check if the environmental impact assessment report, mitigation plan and monitoring report are in place. Check training records (training materials and participants). Verify the implementation of the mitigation plan via sampling of smallholder plots. Is the documentation adequate for the scale of operations? Assessing Individual Members Members should be able to explain what the major environmental risks arising from their actions on the farm are. Members should be able to explain what they do to mitigate these risks.

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years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.					There should be evidence of a reporting mechanism which is understood by the individual members.
Criterion 5.2 The status of rare, threatened or endangered species and other High Conservation Value habitats, if any, that exist in the plantation or that could be affected by plantation or mill management, shall be identified and operations managed to best ensure that they are maintained and/or enhanced.					
<p>5.2.1 (M) Information shall be collated in a High Conservation Value (HCV) assessment that includes both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors).</p> <p>5.2.2 (M) Where rare, threatened or endangered (RTE) species, or HCVs, are present or are affected by plantation or mill operations, appropriate measures that are expected to maintain and/or enhance them shall be implemented through a management plan.</p> <p>5.2.3 There shall be a programme to regularly educate the workforce about the status of these RTE species, and appropriate disciplinary measures shall be instigated in accordance with company rules and national law if any individual working for the company is found to capture, harm, collect or kill these species.</p> <p>5.2.4 Where a management plan has been created there shall be ongoing monitoring:</p> <ul style="list-style-type: none"> • The status of HCV and RTE species that are affected by plantation or mill operations shall be documented and reported; • Outcomes of monitoring shall be fed back into the management plan. 	<ul style="list-style-type: none"> • Individual members shall demonstrate basic understanding of HCVs and RTEs and the need to protect them. • Individual members shall check with the Group Manager status of HCVs and RTEs of their farm based on the HCV assessment report. • Individual members shall participate in the HCV assessment. • Individual members shall be involved in the implementation of the HCV management and monitoring plan (to maintain and/or enhance HCVs). • Individual members shall make their workers aware of the status of RTE species and the applicable disciplinary measures. • Individual members shall be aware of the rights of other local communities that are related to identified HCVs and RTEs. 	<p>Guidance for Individual Members and to be used by the Group Manager in the ICS audits</p> <p>Individual members should:</p> <ul style="list-style-type: none"> • Be aware of the RTE species in and near their farm. • Describe what they have been told to do in relation to these RTE species. • Explain how sightings of RTE species are reported back to the Group Manager. • Explain how you have made all people working on your farm aware of this requirement. 	<ul style="list-style-type: none"> • HCV assessments shall be conducted by an independent party, or where applicable, an internal assessment can be facilitated by the Group Manager (refer to generic P&Cs or NIs where available; see guidance). • Group Managers shall develop action plans and SOPs (e.g. for RTE species, riparian areas) based on the HCV management and monitoring plan. • Group Managers shall implement a mechanism for individual members to report on threats to HCVs. • In cases where there is an overlap of local community rights and HCV areas, the Group Manager shall initiate the negotiation of an agreement that optimally safeguards both the HCVs and these rights. • Group Manager conducts training for their individual members and their workers about the status of HCV and RTE species and the applicable disciplinary measures. 	<ul style="list-style-type: none"> • The endorsed HCV Guidance for Smallholders (currently under development) should be referred to for further guidance. • Group Managers should ensure that stakeholder consultations are carried out during the HCV assessment. • Tools available for monitoring threats to HCVs (e.g. the SMART tool) may be utilised. • Group Managers may coordinate with respective government agencies and NGOs to confirm the status of RTE species (national and international) and improve their protection (including mitigation of human-wildlife conflicts). 	<p>Assessing Group Manager</p> <ul style="list-style-type: none"> • Check if the HCV assessment report, HCV management and monitoring plan, action plans and SOPs are in place. • Check if a person has been assigned for SOP and action plan implementation. • Check training records (training materials and participants). • Verify that consultation with affected parties (where applicable) and other relevant stakeholders has been conducted with participation of all affected parties and that there is sufficient objective evidence for this. • Check if the maps are appropriate and that the documentation is adequate for the scale of operations. • For internal HCV assessments, the maps can be hand drawn – use descriptions to differentiate areas e.g. land use types. • There should be evidence of a reporting mechanism which is understood by the individual members. <p>Assessing Individual Members</p> <ul style="list-style-type: none"> • Check a selection of members to see if they have had training in the appropriate SOPs or subject (not all may be relevant). • Members should be able to explain what the major threats to HCVs (including RTEs) arising from their actions on the farm are.

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<p>5.2.5 Where HCV set-asides with existing rights of local communities have been identified, there shall be evidence of a negotiated agreement that optimally safeguards both the HCVs and these rights.</p>					<ul style="list-style-type: none"> Members should be able to explain what they do to mitigate these threats. The reporting mechanism should be understood by the individual members. Verify the implementation of HCV management and monitoring plan with sampling (members and affected parties).
<p>Criterion 5.3 Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.</p>					
<p>5.3.1 (M) All waste products and sources of pollution shall be identified and documented.</p> <p>5.3.2 (M) All chemicals and their containers shall be disposed of responsibly.</p> <p>5.3.3 A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented.</p>	<p>Appropriate to scale, members shall have a documented waste management and disposal plan.</p> <p>Members shall communicate to all workers the waste management and disposal plan.</p> <p>Members shall ensure that all chemical containers are properly handled and disposed.</p> <p>Members shall ensure that the workers are trained on waste management and disposal. Records of such training shall be kept.</p>	<p>The plan should include identifying, monitoring sources of waste and pollution; improving efficiency of resource utilisation; appropriate management, disposal of hazardous chemicals and their containers as well as mitigation measures.</p>	<p>Appropriate to scale, the Group Manager shall ensure that there is a documented waste management and disposal plan in place.</p> <p>Group Manager shall communicate to all members on the waste management and disposal plan.</p> <p>The Group Manager shall ensure that all chemical containers are properly handled and disposed</p> <p>The Group Manager shall ensure that the members are trained on waste management and disposal. Records of such training shall be kept.</p>	<p>The plan should include identifying, monitoring sources of waste and pollution; improving efficiency of resource utilisation; appropriate management; disposal of hazardous chemicals and their containers as well as mitigation measures.</p> <p>Where possible, burning of domestic waste should be avoided.</p> <p>Appropriate to scale, for instance at workshops, it is recommended to have an interception of oil traps as part of their waste management plan.</p>	<p>Assessing Group Manager Check for the adequacy and implementation of the waste management and disposal plan</p> <p>Check for training records.</p> <p>Site visit.</p> <p>Assessing Individual Members Check for the adequacy and implementation of the waste management and disposal plan.</p> <p>Interview the individual members and their workers.</p> <p>Site visit.</p>
<p>Criterion 5.4 Efficiency of fossil fuel use and the use of renewable energy is optimised.</p>					
<p>5.4.1 A plan for improving efficiency of the use of fossil fuels and to optimise renewable energy shall be in place and monitored.</p>	<p>Appropriate to scale, members shall implement the actions as outlined in the Group's plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.</p>		<p>Appropriate to scale, Group Manager shall have a plan for improving and monitoring the efficiency of the use of fossil fuels and to optimise renewable energy.</p>	<p>The plan should include the assessment of direct energy use of their operation including fuel, electricity and on site machineries.</p> <p>The Group Manager should provide support to individual members to implement the actions as outlined in the plan.</p>	<p>Assessing Group Manager Appropriate to scale, check for the plan.</p> <p>Interview relevant person in charge.</p> <p>Site visit.</p> <p>Where appropriate, check for the records of the electricity, fuel and operational cost.</p> <p>Assessing Individual Members</p>

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					<p>Interview members.</p> <p>Site visit.</p> <p>Where appropriate, check for the records of the electricity, fuel and operational cost.</p>
Criterion 5.5 Use of fire for preparing land or replanting is avoided, except in specific situations as identified in the ASEAN guidelines or other regional best practice.					
<p>5.5.1 (M) There shall be no land preparation by burning, other than in specific situations as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.</p> <p>5.5.2 Where fire has been used for preparing land for replanting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.</p>	<p>5.5.1 Individual members shall provide evidence that they understand the No Burning Policy of the group.</p> <p>5.5.2 Individual members shall provide proposals for use of fire to the Group Manager for assessment and approval prior to burning.</p>	<p>Guidance for Individual Members and to be used by the Group Manager in the ICS audits</p> <p>Individual members should be able to demonstrate that they do not burn on preparing land and or replanting and be able to explain why.</p>	<p>5.5.1 The Group Manager shall:</p> <ul style="list-style-type: none"> Provide evidence of a no use of fire policy in group SOPs. Demonstrate that individual farms have been visited for this requirement. Explain how all the above is socialised to individual members of the Group. <p>5.5.2 The Group Manager shall:</p> <ul style="list-style-type: none"> Demonstrate that any use of fire by any individual member has been assessed to be justified under the ASEAN guidelines 'ASEAN Policy on Zero Burning' 2003. Provide written approval from the relevant environment authority on the use of fire in certain situations as prescribed by the ASEAN guidelines. 	<p>Applicable to all Groups</p> <p>Cross reference into the SOP manual (4.1). Write a simple policy entitled: "No burn policy and guidelines" Include all the above points.</p> <p>Link it with the training plan (4.8) and consider if any of the impacts in waste disposal (identified in 5.3) need to be mentioned.</p> <p>Include the above elements in Group training and place emphasis in implementing this policy and preventative plans.</p> <p>Provide and record training on this topic.</p> <p>Develop a mechanism of feedback from the individual farms and subsequently analyse the data to improve performance.</p> <p>Ensure that all office staff are aware of the requirement.</p>	<p>Assessing Group Manager</p> <p>Check group policy and SOP for no burning.</p> <p>Check records of fire use and that these are consistent with procedure for approval.</p> <p>Check training or information provided to group members.</p> <p>Assessing Individual Members</p> <p>Check individual members to see if they have sufficient understanding of the group policy and appropriate SOPs or subject.</p> <p>Verify ground conditions of the group members' farm.</p>
Criterion 5.6 Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.					
Note on smallholder context: The RSPO Emissions Reduction Working Group (ERWG) and the RSPO SHWG agree that there should be a simplified mechanism for smallholders for compliance on the GHG matters and that smallholders should not be overburdened due to their limited capacity. Further details will be developed.					
<p>5.6.1 (M) An assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent (see Criterion 4.4).</p>			<p>The Group Manager shall:</p> <ul style="list-style-type: none"> List significant pollutants and identify sources of emissions. Identify options to reduce pollutants and emissions and consider whether the group can implement any of 	<p>Issue attendance certificates for all training and record separately who was present and when the training was held along with the subject of the training.</p> <p>Establish if generators are used on</p>	<p>Assessing Group Manager</p> <p>Check the list of significant pollutants and identified sources of emissions.</p> <p>Check that possible options to reduce pollutants and emissions have been identified and whether the group</p>

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<p>5.6.2 (M) Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimise them implemented.</p> <p>5.6.3 A monitoring system shall be in place, with regular reporting on progress for these significant pollutants and emissions from estate and mill operations, using appropriate tools.</p>			<p>these.</p> <ul style="list-style-type: none"> Based on the above, where possible, mitigation measures shall be developed and implemented. Socialise the information to the group members. 	<p>farms and list them.</p> <p>Develop a mechanism of feedback from the individual farms if generators are used.</p> <p>Link it to the Environmental impacts document (5.1) and to the waste management document (5.3). There is no need for a separate document.</p>	<p>considered whether they can implement any of the measures.</p> <p>Check that information has been socialised to the group members.</p>
<p>Principle 6: Responsible Consideration of Employees and of Individuals and Communities Affected by Growers and Millers</p>					
<p>Criterion 6.1 Aspects of plantation and mill management that have social impacts, including replanting, are identified in a participatory way, and plans to mitigate the negative impacts and promote the positive ones are made, implemented and monitored, to demonstrate continual improvement.</p>					
<p>6.1.1 (M) A social impact assessment (SIA) including records of meetings shall be documented.</p> <p>6.1.2 (M) There shall be evidence that the assessment has been done with the participation of affected parties.</p> <p>6.1.3 (M) Plans for avoidance or mitigation of negative impacts and promotion of the positive ones, and monitoring of impacts identified, shall be developed in consultation with the affected parties, documented and timetabled, including responsibilities for implementation.</p> <p>6.1.4 The plans shall be reviewed as a minimum once every two years and updated as necessary, in those cases where the review has concluded that changes should be made to current practices. There shall be evidence that the review includes the participation of affected parties.</p>	<ul style="list-style-type: none"> Individual members shall demonstrate an understanding of the social risks of their operations. Individual members shall demonstrate an understanding of the mitigation plan to reduce the social impacts. Where applicable, individual members shall help to address negative social impacts in a consultative manner. 	<p>Guidance for Individual Members and to be used by the Group Manager in the ICS audits</p> <p>Activities of individual members should not be in conflict with basic human rights principles.</p> <p>Individual members should discuss amongst themselves about shared responsibilities at the landscape level and how to manage issues (e.g. water, waste management etc.) and who are responsible for implementation.</p>	<ul style="list-style-type: none"> Group Managers shall identify all activities that have social impacts with the participation of affected parties. Group Managers shall develop a mitigation plan (with clear timetable) to reduce social risks and review the plan every two years in consultation with the affected parties. Group Managers shall organise training for members on social risks and mitigation measures. Group Managers shall monitor implementation of mitigation plan. 	<p>Applicable to all Groups</p> <ul style="list-style-type: none"> Group Managers should have knowledge on conflict resolution mechanisms. Group Managers should facilitate discussion amongst individual members about shared responsibilities at the landscape level and how to manage issues (e.g. water, waste management etc.) and who are responsible for implementation. Group Managers should ensure that activities of individual members should not be in conflict with basic human rights principles. 	<p>Assessing Group Manager</p> <ul style="list-style-type: none"> Check if the social impact assessment report, mitigation plan and monitoring report are in place. Check training records (training materials and participants). Verify that consultation with affected parties (where applicable) and other relevant stakeholders have been conducted. Verify the implementation of the mitigation plan with sampling (members and affected parties). Is the documentation adequate for the scale of operations? Check that positive impacts are included as well as negative ones. Confirm that the assessment has been conducted with participation of all affected parties. <p>Assessing Individual Members</p> <ul style="list-style-type: none"> Members should be able to explain what are the major social risks arising from their actions on the farm. Members should be able to explain what they do to mitigate these risks. There should be evidence of a reporting

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6.1.5 Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme).					mechanism which is understood by the individual members.
Criterion 6.2 There are open and transparent methods for communication and consultation between growers and/or millers, local communities and other affected or interested parties.					
6.2.1 (M) Consultation and communication procedures shall be documented. 6.2.2 A management official responsible for these issues shall be nominated. 6.2.3 A list of stakeholders, records of all communication, including confirmation of receipt and that efforts are made to ensure understanding by affected parties, and records of actions taken in response to input from stakeholders, shall be maintained.	The individual member shall demonstrate understanding of the group's consultation and communication procedures.		The Group Manager shall develop a documented procedure for consultation and communication with local communities and other affected or interested parties. (6.2.1) The Group Manager shall ensure that individual group members are informed of the consultation and communication procedure. The Group Manager shall nominate an official responsible for these issues (6.2.2) The Group Manager shall make a list of stakeholders or construct a "stakeholder register" and keep records of all communication and actions taken. (6.2.3)	The Group Manager should consider distributing copies of the procedure and maintaining records of socialisation/training provided to members.	Assessing Group Manager Check that the procedure is in place. Check that the stakeholder list is in place and that stakeholders have been identified. Check that records are kept. Check that the Group Manager informed the individual members of the procedure. Check that an official responsible for these issues has been nominated. Assessing Individual Members Check that the individual members are aware of the procedure.
Criterion 6.3 There is a mutually agreed and documented system for dealing with complaints and grievances, which is implemented and accepted by all affected parties.					
6.3.1 (M) The system, open to all affected parties, shall resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistle-blowers', where requested. 6.3.2 (M) Documentation of both the process by which a dispute was resolved and the outcome shall be available.	Appropriate to scale, the member shall have a documented grievance mechanism in place. The workers shall understand the process. Appropriate to scale, the procedure shall provide documentation of both how the process of the dispute was resolved and the outcome.	Grievance procedure and/or system should be open to all affected parties, and will resolve disputes in an effective, timely and appropriate manner, ensuring anonymity of complainants and whistle-blowers', where requested (6.3 & 6.9.3).	The Group Manager shall have a documented grievance mechanism in place. The procedure shall provide documentation of both how the process of the dispute was resolved and the outcome. The Group Manager shall ensure members are familiar with the grievance procedure. Where necessary, the Group Manager shall support members to put in place documented grievance mechanism.	The system should aim to reduce the risks of reprisal. Where a resolution is not found mutually, a complaint can be brought to the attention of the RSPO Dispute Settlement Facility, then the Complaints Panel.	Assessing Group Manager Check if the documented grievance mechanism is adequate (at least open to any affected party, ensures anonymity of complainants, etc.) and are in place. Check if the procedure provides documentation of both the process of the dispute that was resolved and the outcome. Check if the members are familiar with the grievance procedure. Assessing Individual Members Appropriate to scale, check if the documented grievance mechanism is adequate (at least open to any

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					<p>affected party, ensures anonymity of complainants, etc.) and are in place.</p> <p>Appropriate to scale, check if the procedure provides documentation of both the process of the dispute that was resolved and the outcome.</p> <p>Check if the members are familiar with the grievance procedure.</p>
<p>Criterion 6.4 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.</p>					
<p>6.4.1 (M) A procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation, shall be in place.</p> <p>6.4.2 A procedure for calculating and distributing fair compensation (monetary or otherwise) shall be established and implemented, monitored and evaluated in a participatory way, and corrective actions taken as a result of this evaluation. This procedure shall take into account: gender differences in the power to claim rights, ownership and access to land; differences of trans-migrants and long-established communities; and differences in ethnic groups' proof of legal versus communal ownership of land.</p> <p>6.4.3 (M) The process and outcome of any negotiated agreements and compensation claims shall be documented, with evidence of the participation of affected parties, and made publicly available.</p>	<p>Individual group members formally request assistance by the Group Manager in this process to assure compliance with the procedures.</p>	<p>A formal notification should be submitted to the Group Manager.</p>	<p>6.4.1 & 6.4.2: The Group Manager develops a procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation and a procedure for calculating and distributing fair compensation.</p> <p>6.4.3: The Group Manager documents the process and outcome of any negotiated agreements and compensation claims with evidence of the participation of affected parties, and makes this publicly available.</p> <p>The Group Manager assists individual group members in these situations upon request by the member.</p>	<p>The Group Managers should analyse the following:</p> <ul style="list-style-type: none"> ▪ What procedure have you used to identify legal and customary rights? ▪ How do you identify any person entitled to compensation? ▪ Where are agreements documented and how are they made publicly available? <p>The Group Manager could consider referring to competent local authorities or organisations if mediation is needed or establish a system for this purpose.</p>	<p>Assessing Group Manager</p> <p>Check whether the Group Manager has both procedures (6.4.1 and 6.4.2) in place and check documentation of the process and outcome of any negotiated agreements and compensation (6.4.3).</p>
<p>Criterion 6.5 Pay and conditions for employees and for contract workers always meet at least legal or industry minimum standards and are sufficient to provide decent living wages.</p>					
<p>6.5.1 (M) Documentation of pay and conditions shall be available.</p>	<p>Appropriate to scale, the members shall keep their</p>	<p>Appropriate to scale, a written contract may not be applicable,</p>	<p>Appropriate to scale, the Group Manager shall ensure that members</p>	<p>Relevant National laws should be considered.</p>	<p>Assessing Group Manager</p>

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<p>6.5.2 (M) Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be available in the languages understood by the workers or explained carefully to them by a management official.</p> <p>6.5.3 Growers and millers shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible.</p> <p>6.5.4 Growers and millers shall make demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food.</p>	<p>documentation of pay and conditions.</p> <p>The pay shall meet at least the legal or industry standards minimum wage.</p> <p>If individual members employ workers or sub-contractors:</p> <ul style="list-style-type: none"> • employment contracts and conditions (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) shall be explained in the language they understand (6.5.2) • appropriate to scale, members shall provide adequate housing, water supplies, medical, educational and welfare amenities to national standards or above, where no such public facilities are available or accessible (6.5.3). • appropriate to scale, members shall make efforts to ensure access to food to workers, including providing allotment (space) for growing food. 	<p>particularly in the case of casual workers employed by members.</p> <p>The requirement for access to food is less relevant in situations where members employ casual workers.</p>	<p>comply with labour laws and conditions (6.5.2, 6.5.3 & 6.5.4).</p> <p>The Group Manager shall be aware of the legal or industry standards minimum wage.</p>		<p>Check if the Group Manager is aware of the legal or industry standards minimum wage.</p> <p>Check how the Group Manager ensures members comply to labour laws.</p> <p>Assessing Individual Members Check compliance with members on the labour laws and conditions (6.5.2, 6.5.3 & 6.5.4).</p> <p>Interview workers to verify if they understand the terms of their employment and their rights (see 6.5.2).</p> <p>Check if workers have access to basic amenities e.g. adequate housing, welfare etc. (see 6.5.3).</p>
<p>Criterion 6.6 The employer 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.</p>					
<p>6.6.1 (M) A published statement in local languages recognising freedom of association shall be available.</p> <p>6.6.2 Minutes of meetings with main trade unions or workers' representatives shall be documented.</p>	<p>If individual members employ workers:</p> <ul style="list-style-type: none"> • A published statement shall be available in local languages recognising freedom of association (to form and join trade unions) (6.6.1) • Minutes of the meeting with main trade unions or workers' representatives shall be documented and kept (6.6.2) 		<p>The Group Manager shall be aware of the statement, if applicable.</p>	<p>Where applicable, the Group Manager should ensure members allow their workers to form association or join trade unions.</p>	<p>Assessing Group Manager Where applicable, check if the Group Manager is aware of the statement.</p> <p>Assessing Individual Members If applicable, check the public statement of recognising freedom of association and minutes.</p> <p>If applicable, check for minutes of the meeting with main trade unions or workers' representatives.</p>

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Criterion 6.7 Children are not employed or exploited.					
<p>6.7.1 (M) There shall be documentary evidence that minimum age requirements are met.</p>	<p>Member shall be aware of the child labour policy and implement it.</p> <p>Member shall keep records of their employees including age, including copies of birth certificate/national identification card/passport.</p>	<p>If children work on your farm demonstrate that:</p> <ul style="list-style-type: none"> • they do so outside of school hours, • that they are family members, • they are under supervision • and doing only non-hazardous work. <p>Use employee records to demonstrate minimum age requirements of your workers.</p>	<p>Write a policy on Child Labour and keep records of documented evidence of awareness raising on child labour.</p> <p>The policy shall be clear that children can only work under supervision, are family members and not doing hazardous work.</p>	<p>Be clear that children only work on the farm during holidays, outside of school time, are family members, under supervision and only doing non-hazardous work.</p> <p>Ensure all group members and staff are aware of child labour policies.</p>	<p>Assessing Group Manager Check that there is a policy present.</p> <p>Check that the policy is implemented on the ground.</p> <p>Assessing Individual Members Check that the group members and staff are aware of the policy.</p> <p>Check the records for minimum age requirements.</p> <p>Interview members to see if they are aware, understand and implemented the policies.</p> <p>Check if children only work on the farm during holidays and outside of school time and that they are family members.</p>
Criterion 6.8 Any form of discrimination based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age, is prohibited.					
<p>6.8.1 (M) A publicly available equal opportunities policy including identification of relevant/affected Groups in the local environment shall be documented.</p> <p>6.8.2 (M) Evidence shall be provided that employees and Groups including local communities, women, and migrant workers have not been discriminated against.</p> <p>6.8.3 It shall be demonstrated that recruitment selection, hiring and promotion are based on skills, capabilities, qualities, and medical fitness necessary for the jobs available.</p>	<p>Members shall be aware of the equal opportunities policies and implement it.</p>	<p>Members should not discriminate against race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, or age.</p>	<p>Write a policy on equal opportunities and keep records of documented evidence of awareness raising on it.</p>	<p>If a complaint arises, please refer to Criterion 6.3.</p> <p>Ensure all group members and staff are aware of this policy.</p>	<p>Assessing Group Manager Check if there is a policy on equal opportunities.</p> <p>Check that the policy is implemented on the ground.</p> <p>Assessing Individual Members Interview members to see if they are aware, understand and have implemented the policies.</p>

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Criterion 6.9 There is no harassment or abuse in the work place, and reproductive rights are protected.					
<p>6.9.1 (M) A policy to prevent sexual and all other forms of harassment and violence shall be implemented and communicated to all levels of the workforce.</p> <p>6.9.2 (M) A policy to protect the reproductive rights of all, especially of women, shall be implemented and communicated to all levels of the workforce.</p> <p>6.9.3 A specific grievance mechanism which respects anonymity and protects complainants where requested shall be established, implemented, and communicated to all levels of the workforce.</p>	<p>Appropriate to scale, members shall develop the policy/policies and procedure to prevent sexual, all other forms of harassment, violence and protection of reproductive rights.</p> <p>Members shall make sure that all staff/workers are aware of the policies and procedures to prevent sexual, and all other forms of harassment and violence as well as of the policy of the protection of reproductive rights.</p> <p>Members shall be aware of the policy/policies and procedures for handling sexual and all other forms of harassment, violence and the protection of reproductive rights, in the language which the workers can understand (linked to 6.3).</p>	<p>Policies should be developed in consultation with employees, contract workers and other relevant stakeholders.</p> <p>Reference on reproductive rights linked to 4.6.12.</p> <p>Where appropriate, a gender committee should be put in place to ensure women rights.</p>	<p>Group Manager shall develop the Policy/Polices and procedure to prevent sexual, and all other forms of harassment, violence and protection of reproductive rights.</p> <p>The Group Manager shall make sure that all members are aware of the policies and procedures to prevent sexual, and all other forms of harassment, violence and protection of reproductive rights.</p> <p>The Group Manager shall ensure members are aware of the policy/polices and procedure for handling sexual and all other forms of harassment, violence and the protection of reproductive rights, in the language which the workers can understand (linked to 6.3).</p>	<p>Policies should be developed in consultation with members and relevant stakeholders.</p> <p>Reference on reproductive rights linked to 4.6.12.</p> <p>A gender committee should be put in place to ensure women's rights.</p>	<p>Assessing Group Manager Check if the documented policy is adequate and is implemented.</p> <p>Check the existence of the gender committee, minutes of meetings and records of complaints handled.</p> <p>Interview members and relevant stakeholders to confirm their participation on the development of the policies.</p> <p>Assessing Individual Members Check if the members are familiar with the policy and procedures.</p> <p>Where appropriate, check the existence of the gender committee, minutes of meeting and records of complaint handled.</p> <p>Interview workers and relevant stakeholders to confirm their participation on the development of the policies.</p>
Criterion 6.10 Growers and millers deal fairly and transparently with smallholders and other local businesses.					
<p>6.10.1 Current and past prices paid for Fresh Fruit Bunches (FFB) shall be publicly available.</p> <p>6.10.2 (M) Evidence shall be available that growers/millers have explained FFB pricing, and pricing mechanisms for FFB and inputs/services shall be documented (where these are under the control of the mill or plantation).</p> <p>6.10.3 Evidence shall be available that all parties understand the contractual agreements they enter</p>	<p>6.10.2 The individual member understands the pricing mechanism of the purchaser.</p> <p>6.10.4 Agreed payments to local businesses shall be made in a timely manner.</p>		<p>6.10.1: Where Group Managers sell the FFB on behalf of the group members, the Group Manager shall inform group members of the price of FFB obtained.</p> <p>6.10.2: The Group Manager shall record the general pricing mechanisms used by the purchaser/s of the FFB. The Group Manager shall record the corresponding information provided to the group members.</p> <p>6.10.3 Where Group Managers have the mandate to enter into contractual</p>	<p>Where individual members enter into contractual agreements with third parties independently, the Group Manager should consider informing their group members about contractual practises and be available to support the individual member so that they are dealt with in a fair, legal and transparent way.</p>	<p>Assessing Group Manager Check records of the prices where Group Managers sell FFB on behalf of the group.</p> <p>Check the records of the pricing mechanisms used by the purchaser/s of the FFB.</p> <p>Check records of the corresponding information provided to the group members.</p> <p>Check contracts to ensure that they are fair, legal, and transparent and understood by contractors and suppliers.</p>

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<p>into, and that contracts are fair, legal and transparent.</p> <p>6.10.4 Agreed payments shall be made in a timely manner.</p>			<p>agreements on behalf of the group, the Group Manager shall inform group members about their content and make them available.</p> <p>These contracts shall also be fair, legal and transparent for the contractors.</p> <p>Where no such mandate exists, the Group Manager has to seek agreement from group members prior to entering contractual agreements with third parties. These contracts shall also be fair, legal and transparent for the contractors.</p> <p>6.10.4 Agreed payments to local businesses shall be made in a timely manner.</p> <p>If the Group Manager receives payment for the FFB produced by group members, the Group Manager shall make payments to the individual group members in a timely manner.</p>		<p>Check if payments are made in a timely manner.</p> <p>Assessing Individual Members Check that individual members understand the pricing mechanism.</p> <p>Check that individual members make their payment to local businesses in a timely manner.</p>
Criterion 6.11 Growers and millers contribute to local sustainable development where appropriate.					
<p>6.11.1 Contributions to local development that are based on the results of consultation with local communities shall be demonstrated.</p> <p>6.11.2 Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve smallholder productivity.</p>	<p>The responsibility for meeting this requirement lies with the Group Manager.</p>		<p>6.11.1</p> <ul style="list-style-type: none"> Evidence of consultation with local communities and stakeholders. Where contributions have been identified as necessary based on the consultation carried out, the Group Manager shall ensure that these are implemented 	<p>Contributions to local communities. Applicable to all Groups. Link to 1.1 and 1.2 if appropriate, ethical conduct (1.3) and stakeholders list (6.2). Group Managers should be able to:</p> <ul style="list-style-type: none"> Identify who communicates with local communities to determine how you can contribute to sustainable development. Know what are community expectations and how are these measured. Evaluate and manage those expectations. <p>Consultation with the community is dependent on the type of group</p>	<p>Assessing Group Manager</p> <p>Is there a procedure present that covers the specific aspect of this criterion?</p> <p>Are the documents cross linked?</p> <p>Check that the contribution plan is consistent with the consultation conducted.</p> <p>Where a group consists of all members from the local community, this criterion may not be applicable.</p> <p>Assessing Individual Members Not applicable.</p>

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				<p>membership. For example, if a group is made up of all smallholders from the local community, then consultation may not be necessary.</p> <p>Include external communications in a simple procedure entitled: "Commitment to Transparency" (1.1).</p>	
Criterion 6.12 No forms of forced or trafficked labour are used.					
<p>6.12.1 (M) There shall be evidence that no forms of forced or trafficked labour are used.</p> <p>6.12.2 Where applicable, it shall be demonstrated that no contract substitution has occurred.</p> <p>6.12.3 (M) Where temporary or migrant workers are employed, a special labour policy and procedures shall be established and implemented.</p>	<p>Appropriate to scale, members shall have a policy on no forms of forced or trafficked labour.</p> <p>Members/workers shall be aware of the policy and ensure that no forms of forced or trafficked labour are used.</p> <p>Members shall keep relevant records of employment contracts.</p> <p>Where applicable, copies of post-arrival orientation programme and records of participation shall be kept.</p>	<p>Appropriate to scale, the policy should include a statement of no contract substitution, post-arrival orientation programme and decent living conditions.</p> <p>Where applicable, agent contracted in getting migrant workers should have and maintain proper documentation.</p> <p>Appropriate to scale, migrant workers should be legalised, separate employment agreement should be drawn up to meet immigration requirements for foreign workers and the international standard.</p> <p>Any deductions made should not jeopardise a decent living wage.</p>	<p>The Group Manager shall write a policy on no forms of forced or trafficked labour.</p> <p>The Group Manager shall ensure that members/workers are aware of the policy and that no forms of forced or trafficked labour are used.</p>	<p>The policy should include a statement of non-discriminatory practices, no contract substitution, post-arrival orientation programme and decent living conditions.</p> <p>Where applicable, agent contracted in getting migrant workers should have and maintain proper documentation.</p> <p>Appropriate to scale, migrant workers should be legalised, separate employment agreements should be drawn up to meet immigration requirements for foreign workers and the international standard. Any deductions made should not jeopardise a decent living wage.</p> <p>Where applicable, the Group Manager should ensure that members keep copies of post-arrival orientation programme.</p>	<p>Assessing Group Manager Check if the documented policy is adequate and is implemented.</p> <p>Interview members and relevant stakeholders to confirm their participation on the development of the policies.</p> <p>Assessing Individual Members Check the workers and migrant contracts.</p> <p>Where applicable, check for copies of post-arrival orientation programme.</p> <p>Interview workers to check their awareness of the policy.</p> <p>Check the records of their participation in the orientation programme.</p>
Criterion 6.13 Growers and millers respect human rights.					
<p>6.13.1 (M) A policy to respect human rights shall be documented and communicated to all levels of the workforce and operations (see Criteria 1.2 and 2.1).</p>	<p>6.13.1 Individual members to show evidence that they understand the policy.</p>	<p>Guidance for Individual Members and to be used by the Group Manager in the ICS audits Individual members should be able to explain what the Group's Policy is on Human Rights.</p>	<p>6.13.1 Group Manager to develop policy to respect human rights i.e. that workers are treated with respect and dignity, and ensure that this is communicated through group members.</p>	<p>Applicable to all Groups. Group Managers should be able to:</p> <p>Determine the communication of this policy to Group members.</p> <p>The policy addressing human rights can be combined with other social systems policies.</p>	<p>Assessing Group Manager Check the following: Is there a policy available that covers the specific aspect of this criterion? Is the policy adequate, appropriate to the scale and are resources available to the group?</p>

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				<p>You need to consider training in implementing this policy.</p> <p>Issue Attendance certificates for all training and record separately who was present and when the training was held along with the subject of the training.</p> <p>Consider how feedback from the individual farms can be collated Ensure that all office staff are aware of the requirement.</p> <p>NOTE: The RSPO WG on Human Rights will provide a mechanism to identify, prevent, mitigate and address human rights issues and impacts. The resulting Guidance will identify the relevant issues on human rights to all RSPO Members.</p>	<p>Check the level of understanding.</p> <p>Assessing Individual Members Check that individual members have sufficient knowledge or training in the appropriate policies.</p> <p>NOTE: The RSPO WG on Human Rights will provide a mechanism to identify, prevent, mitigate and address human rights issues and impacts. The resulting Guidance will identify the relevant issues on human rights to all RSPO Members.</p>
<p>Principle 7: Responsible Development of New Plantings</p>					
<p>Criterion 7.1 A comprehensive and participatory independent social and environmental impact assessment is undertaken prior to establishing new plantings or operations, or expanding existing ones, and the results incorporated into planning, management and operations.</p>					
<p>7.1.1 (M) An independent social and environmental impact assessment (SEIA), undertaken through a participatory methodology including the relevant affected stakeholders, shall be documented.</p> <p>7.1.2 Appropriate management planning and operational procedures shall be developed and implemented to avoid or mitigate identified potential negative impacts.</p> <p>7.1.3 Where the development includes an outgrower scheme, the impacts of the scheme and the implications of the way it is</p>	<ul style="list-style-type: none"> Individual members shall demonstrate an understanding of the environmental and social risks of their operations. Individual members shall demonstrate an understanding of the management plan to avoid or mitigate the social and environmental impacts. Where applicable, individual members shall help to address negative social and environmental impacts in a consultative manner. 	<p>Guidance for Individual Members and to be used by the Group Manager in the ICS audits</p> <ul style="list-style-type: none"> Smallholders should be aware of potential positive and negative impacts of new planting on natural ecosystems (e.g. HCVs, primary forests, wetlands, peat areas). Activities of individual members should not be in conflict with basic human rights principles. Individual members should discuss amongst themselves about shared responsibilities at the landscape level and how to manage issues (e.g. water, waste management etc.) and who are responsible for implementation. 	<ul style="list-style-type: none"> A comprehensive SEIA shall be conducted by an independent party, or where applicable, an internal assessment can be facilitated by the Group Manager (refer to generic P&Cs or NIs where available). Group Managers shall confirm land ownership and user rights within the new planting area. Group Managers shall identify all activities that have environmental and social impacts (positive and negative) with the participation of affected parties. Group Managers shall develop a plan to avoid or mitigate 	<ul style="list-style-type: none"> Group Managers should identify the relevant affected stakeholders. Group Managers should facilitate discussion amongst individual members about shared responsibilities at the landscape level and how to manage issues (e.g. water, waste management etc.) and who is responsible for implementation. The Group Manager may list all the environmental and social impacts (positive and negative) in a register identifying the cause, who is affected and what is the status of the mitigation. Keep records of all meetings and 	<p>Assessing Group Manager</p> <ul style="list-style-type: none"> Check if the SEIA report, mitigation and management plans are in place. Check training records (training materials and participants). Verify that consultation with affected parties (where applicable) and other relevant stakeholders has been conducted. Check if the documentation is adequate for the scale of operations and check that all significant aspects been identified. <p>Assessing Individual Members</p> <ul style="list-style-type: none"> Members should be able to explain what the major social risks arising from their actions on the farm are.

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managed shall be given particular attention.			<p>environmental and social risks in consultation with the affected parties.</p> <ul style="list-style-type: none"> Group Managers shall organise training for members on environmental and social risks and mitigation measures. Group Managers shall monitor implementation of SEIA management plan. 	who attended the meetings.	<ul style="list-style-type: none"> Members should be able to explain what they do to mitigate these risks. There should be evidence of a reporting mechanism which is understood by the individual members. Verify the implementation of mitigation and management plans with sampling (members). <p>Assessing Affected Parties</p> <ul style="list-style-type: none"> Verify the implementation of mitigation and management plans with sampling (affected parties).
Criterion 7.2 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.					
<p>7.2.1 (M) Soil suitability maps or soil surveys adequate to establish the long-term suitability of land for oil palm cultivation shall be available and taken into account in plans and operations.</p> <p>7.2.2 Topographic information adequate to guide the planning of drainage and irrigation systems, roads and other infrastructure shall be available and taken into account in plans and operations.</p>	7.2.1 and 7.2.2 individuals' members can show appropriate understanding of soil type and suitability	<p>Guidance for Individual Members and to be used by the Group Manager in the ICS audits</p> <p>Controlled by the Group Manager Individual members should be able to demonstrate an understanding that a soil survey has been carried out and why potential areas cannot be planted (if applicable).</p>	<p>7.2.1 Group Manager shall:</p> <ul style="list-style-type: none"> compile and maintain an overall soil map for the group provide required information and or training for individual members <p>7.2.2 overall soil map to include topographic information.</p>	<p>See 7. 1 Soil suitability is under the control of the Group Manager who will be responsible for its implementation.</p> <p>Applicable to all groups.</p> <p>For most groups the use of GPS/GIS to construct adequate maps will be expected. The soil map can be hand drawn as long as there is clear justification that it is consistent with the group procedures and membership in ICS.</p> <p>Group Managers must be able to:</p> <ul style="list-style-type: none"> Identify who has conducted a soil survey. Explain why the soils are suitable for oil palm development and identify those areas within the Group that are not suitable. Ensure that the document explains why they are unsuitable. Produce maps of soils and proposed roads. <p>Link directly to 7.1.</p>	<p>See 7.1 Assessing Group Manager Check if the maps are appropriate and that the documentation is adequate for the scale of operations.</p> <p>Have all significant aspects been identified and taken into account.</p> <p>Is it updated to reflect any proposed changes or additions to the group and has it been cross referenced to 1.2 and is publically available.</p> <p>Is the soil assessor competent? Check on their suitability and training?</p> <p>Has the assessment been conducted with participation of all affected parties and is their sufficient objective evidence for this?</p> <p>How were affected parties identified and engaged?</p> <p>Assessing Individual Members Very unlikely to be applicable except to understand that a soil survey has been completed.</p>

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				If the Group size changes or expands this will affect this criterion.	
Criterion 7.3 New plantings since November 2005 have not replaced primary forest or any area required to maintain or enhance one or more High Conservation Values.					
<p>7.3.1 (M) There shall be evidence that no new plantings have replaced primary forest, or any area required to maintain or enhance one or more High Conservation Values (HCVs), since November 2005. New plantings shall be planned and managed to best ensure the HCVs identified are maintained and/or enhanced (see Criterion 5.2).</p> <p>7.3.2 (M) A comprehensive HCV assessment, including stakeholder consultation, shall be conducted prior to any conversion or new planting. This shall include a land use change analysis to determine changes to the vegetation since November 2005. This analysis shall be used, with proxies, to indicate changes to HCV status.</p> <p>7.3.3 Dates of land preparation and commencement shall be recorded.</p> <p>7.3.4 (M) An action plan shall be developed that describes operational actions consequent to the findings of the HCV assessment, and that references the grower's relevant operational procedures (see Criterion 5.2).</p> <p>7.3.5 Areas required by affected communities to meet their basic needs, taking into account potential positive and negative changes in livelihood resulting from proposed operations, shall be identified in consultation with the communities and incorporated into</p>	<p>Individual members shall demonstrate basic understanding of primary forest and HCV and the need to avoid clearing of such areas.</p> <p>Individual members shall check with the Group Manager the primary forest and HCV status of their farm within the landscape (see guidance) based on the HCV assessment report.</p> <p>Individual members shall participate in the HCV assessment.</p> <p>Individual members shall be involved in the implementation of the HCV management and monitoring plan (to maintain and/or enhance HCVs).</p> <p>Individual members shall record dates of land preparation and commencement of their own farm.</p>		<p>The Group Manager shall demonstrate basic understanding of primary forest and HCV and inform individual members of the need to avoid clearing of such areas.</p> <p>Prior to new plantings, a comprehensive HCV assessment shall be conducted by an independent party, or where applicable, an internal assessment can be facilitated by the Group Manager (refer to generic P&Cs or NIs where available).</p> <p>The Group Manager shall develop SOPs for recording land preparation and commencement of farms by individual members.</p> <p>The Group Manager shall develop action plans and SOPs (e.g. for RTE species, riparian areas) based on the HCV management and monitoring plan.</p> <p>The Group Manager shall implement a mechanism for individual members to report on threats to HCVs.</p> <p>The Group Manager shall collate dates of land preparation and commencement of individual farms.</p> <p>The Group Manager conducts training for their individual members and their workers about the status of HCV.</p>	<p>The endorsed HCV Guidance for Smallholders (currently under development) should be referred to for further guidance.</p> <p>The Group Manager should ensure that stakeholder consultations are carried out during the HCV assessment.</p> <p>Tools available for monitoring threats to HCVs (e.g. the SMART tool) may be utilised.</p> <p>Scheme smallholders who undertook new plantings without HCV assessment since Nov 2005 may be eligible for certification if they comply with the RSPO Compensation & Remediation Procedure. Mills are responsible for the liability of their scheme smallholders.</p> <p>NOTE: Further guidance for compensation by Scheme and Independent SH will be developed.</p> <p>The Group Manager may coordinate with respective government agencies and NGOs to confirm the status of RTE species (national and international) and improve their protection (including mitigation of human-wildlife conflicts).</p>	<p>See 7.1</p> <p>Assessing Group Manager</p> <p>Check if the HCV assessment report, HCV management and monitoring plan, action plans and SOPs are in place.</p> <p>Check training records (training materials and participants).</p> <p>Verify that consultation with affected parties (where applicable) and other relevant stakeholders have been conducted.</p> <p>Verify the implementation of HCV management and monitoring plan with sampling (members and affected parties).</p> <p>Check if the maps are appropriate and that the documentation is adequate for the scale of operations</p> <p>For internal HCV assessments (where permissible), the maps can be hand drawn – use descriptions to differentiate areas e.g. land use types.</p> <p>There should be evidence of a reporting mechanism which is understood by the individual members.</p> <p>Check that records of land preparation and commencement of farms by members are kept.</p> <p>Assessing Individual Members</p> <p>Check a selection of members to see if they have had training in the appropriate SOPs or subject (Not all may be relevant).</p>

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HCV assessments and management plans (see Criterion 5.2).					<p>Members and workers (if appropriate) should be able to explain what the major threats to HCVs (including RTEs) arising from their actions on the farm are.</p> <p>Members should be able to explain what they do to mitigate these threats.</p> <p>Check that members report dates of land preparation and commencement of their farm to the Group Manager.</p>
Criterion 7.4 Extensive planting on steep terrain, and/or marginal and fragile soils, including peat, is avoided.					
<p>7.4.1 Maps identifying marginal and fragile soils, including excessive gradients and peat soils, shall be available and used to identify areas to be avoided</p> <p>7.4.2 (M) Where limited planting on fragile and marginal soils, including peat, is proposed, plans shall be developed and implemented to protect them without incurring adverse impacts.</p>	<p>7.4.1 and 7.4.2 individuals' members can show appropriate understanding of marginal and fragile soil, to be consistent with group SOP</p>	<p>Guidance for Individual Members and to be used by the Group Manager in the ICS audits</p> <p>Controlled by the Group Manager - Not applicable except to demonstrate an understanding as to why certain areas cannot be planted with oil palm.</p> <p>Individual members should be able to:</p> <ul style="list-style-type: none"> • Explain how you know not to plant. • Demonstrate that you have a certificate of attendance for all your training days. • Explain when the last time was that someone visited their farm to explain where you cannot plant. 	<p>7.4.1 Group Manager shall:</p> <ul style="list-style-type: none"> • compile and maintain an overall soil map for the group, including marginal and fragile soils - this can be part of the HCV map and assessment. • provide required information and or training for individual members. <p>7.4.2 The Group Manager maintains and oversees plans for new development based on overall soil map.</p>	<p>For new plantings it is expected that identification of marginal and fragile soils should be done under the HCV assessment.</p> <p>HCV assessment is under the control of the Group Manager who will be responsible for its implementation.</p> <p>Applicable to all Groups. Link to 1.2.</p> <p>For most groups the use of GPS/GIS to construct adequate maps will be expected. The HCV map including fragile and marginal soils (e.g.: steep areas) can be hand drawn as long as there is clear justification that is consistent with the group procedures, membership and ICS.</p> <p>The Group Manager must be able to:</p> <p>Produce maps of areas which are to be avoided and state on the map the reasons for avoiding them.</p> <p>Link directly with 7.1 and 7.2.</p>	<p>See 7.1</p> <p>Assessing Group Manager</p> <p>Check if the documentation is adequate for the scale of operations and that all significant aspects have been identified.</p> <p>Have there been any major changes and if so has it been updated and has it been cross referenced to 1.2 and is publically available.</p> <p>Check the document is updated when new members are added to the Group.</p> <p>Specifically check:</p> <ul style="list-style-type: none"> • Is the soil assessor competent? • Check on their suitability and training. • Are the maps produced appropriately? • Has the assessment been conducted with participation of all affected parties and is there sufficient objective evidence for this? • How were affected parties identified

P&C Indicator	Requirement for Individual Member with up to 50ha of plantation size	Guidance for Individual Members with up to 50 ha of plantation size and to be used by the Group Manager in the ICS audits	Requirement for Group Manager	Guidance for Group Managers	Guidance for Auditors
				<p>Issue an attendance certificates for all training and record separately who was present and when the training was held along with the subject of the training.</p> <p>Consider how feedback from the individual farms can be collated.</p> <p>Ensure that all office staff are aware of the requirement.</p>	<p>and engaged?</p> <p>Assessing Individual Members Check a selection of members to see if they have had training in the appropriate SOPs or subject.</p> <p>Check the formalities of training days (attendance or certificates awarded).</p> <p>Check the frequency of farm visits.</p>
<p>Criterion 7.5 No new plantings are established on local peoples' land where it can be demonstrated that there are legal, customary or user rights, without their free, prior and informed consent. This is dealt with through a documented system that enables these and other stakeholders to express their views through their own representative institutions.</p>					
<p>7.5.1 (M) Evidence shall be 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 grower/miller is signed and ratified by these local peoples.</p>			<p>The Group Manager shall develop a documented system detailing how FPIC is implemented and shall ensure that new group members are included in this.</p> <p>The Group Manager shall retain documentary evidence of participation by affected local peoples and their understanding of the right to say 'no'.</p>	<p>Link directly with 7.1 and the Social Impact assessment.</p> <p>Maps may help but you will need to demonstrate to a third party that the FPIC process proceeded to the community's satisfaction.</p> <p>All FPIC elements should be addressed, i.e.: free (=without any coercion), prior (=before any development), informed (=providing all relevant information in appropriate form & languages) consent (=right to say no).</p> <p>Group Managers should:</p> <ul style="list-style-type: none"> ▪ Keep records of all meetings and who attended the meetings – obtain signatures or thumb prints. ▪ Ask permission to take photos <p>Refer also to criteria 2.2, 2.3, 6.2, 6.4 and 7.6 for Indicators</p>	<p>Assessing Group Manager Check documented system of FPIC implementation and documentary evidence of participation by affected local peoples and their understanding of the right to say 'no'. Check the document is updated as new members are added to the group.</p> <p>Assessing affected local peoples Has the process of FPIC been conducted with participation of all affected parties and is there sufficient objective evidence for this?</p> <p>How were affected parties identified and engaged?</p> <p>Are all the social impacts of the operation identified and plans to mitigate and monitor the significant ones in place?</p> <p>Are positive impacts included in discussions?</p> <p>Assessing Individual Members Not applicable</p>

P&C Indicator	Requirement for Individual Member with up to 50ha of plantation size	Guidance for Individual Members with up to 50 ha of plantation size and to be used by the Group Manager in the ICS audits	Requirement for Group Manager	Guidance for Group Managers	Guidance for Auditors
Criterion 7.6 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 free, prior and informed consent and negotiated agreements.					
<p>7.6.1 (M) Documented identification and assessment of demonstrable legal, customary and user rights shall be available.</p> <p>7.6.2 (M) A system for identifying people entitled to compensation shall be in place.</p> <p>7.6.3 (M) A system for calculating and distributing fair compensation (monetary or otherwise) shall be in place.</p> <p>7.6.4 Communities that have lost access and rights to land for plantation expansion shall be given opportunities to benefit from plantation development.</p> <p>7.6.5 The process and outcome of any compensation claims shall be documented and made publicly available.</p> <p>7.6.6 Evidence shall be available that the affected communities and rights holders have 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.</p>	<p>Individual members shall retain copies of the documentary evidence of the process and outcome of compensation claims. (7.6.5)</p>		<p>The Group Manager shall:</p> <p>Document identification and assessment of demonstrable legal, customary and user rights (7.6.1).</p> <p>Establish a procedure for identifying people entitled to compensation. (7.6.2)</p> <p>Establish a procedure for calculating and distributing fair compensation. (7.6.3)</p> <p>Document the process and outcome of any compensation claims and make publicly available (7.6.5)</p> <p>Have documentary evidence that the affected communities and right holders have been informed that they have the right to access 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. (7.6.6)</p>	<p>The Group Manager should demonstrate compliance with agreements by keeping copies of negotiated agreements and documentation of the process leading to consent.</p>	<p>Assessing Group Manager</p> <p>Check the documentary evidence for:</p> <ul style="list-style-type: none"> • identification and assessment of demonstrable legal, customary and user rights (7.6.1). • a procedure for identifying people entitled to compensation. (7.6.2) • a procedure for calculating and distributing fair compensation. (7.6.3) • the process and outcome of any compensation claims and their public availability (7.6.5) • documentary evidence that the affected communities and right holders have been informed that they have the right to access 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. (7.6.6) <p>Assessing Individual Members</p> <p>Check that individual members haven copies of the documentary evidence of the process and outcome of compensation claims. (7.6.5)</p>
Criterion 7.7 No use of fire in the preparation of new plantings other than in specific situations, as identified in the ASEAN guidelines or other regional best practice.					
<p>7.7.1 (M) There shall be no land preparation by burning, other than in specific situations, as identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.</p>	<p>7.7.1 Individual members shall provide evidence that they understand the No Burning Policy of the group</p> <p>7.7.2 Individual members shall provide proposals for use of fire to the Group Manager for</p>	<p>Guidance for Individual Members and to be used by the Group Manager in the ICS audits</p> <p>Individual members should be able to demonstrate that you do not burn for preparing land.</p>	<p>7.7.1 The Group Manager shall:</p> <ul style="list-style-type: none"> ▪ Provide evidence of a no use of fire policy in group SOPs. ▪ Demonstrate that individual farms have been visited for this requirement. ▪ Explain how all the above is socialised to individual members 	<p>Link to training plan (4.8) environmental register (5.1) and the legal register if applicable (2.1) and national codes of practise.</p> <p>Cross reference into the SOP manual (4.1).</p>	<p>Assessing Group Manager</p> <p>Is the policy and documentation adequate for the scale of operations?</p> <p>Is the policy and documentation implemented?</p>

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P&C Indicator	Requirement for Individual Member with up to 50ha of plantation size	Guidance for Individual Members with up to 50 ha of plantation size and to be used by the Group Manager in the ICS audits	Requirement for Group Manager	Guidance for Group Managers	Guidance for Auditors
7.7.2 In exceptional cases where fire has to be used for preparing land for planting, there shall be evidence of prior approval of the controlled burning as specified in 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions.	assessment and approval prior to burning.		of the Group. 7.7.2 The Group Manager shall: <ul style="list-style-type: none"> ▪ Demonstrate that any use of fire by any individual member has been assessed to be justified under the ASEAN guidelines ASEAN Policy on Zero Burning' 2003. ▪ Provide written approval from the relevant environment authority on the use of fire in certain situations as prescribed by the ASEAN guidelines. 	Consider if a separate SOP and policy is required. Provide and record training on the subject.	Is the documentation regularly updated? Check the document is updated when new members are added to the Group. Is fire linked to the training plan (4.8) and environmental register (5.1) and the legal register if applicable (2.1) and national codes of practise? Ask Group Managers the following questions: <ul style="list-style-type: none"> • Have you included a no burning policy in the best practice for land preparation and for replanting? • Have you included a no fire use of fire policy in your SOPs? • If you use fire, can you justify it and do you have written approval from the environment authority? <p>Assessing Individual Members Check a selection of members to see if they have had training in the appropriate SOPs or subject.</p>
Criterion 7.8 New plantation developments are designed to minimise net greenhouse gas emissions.					
Note on smallholder context: The RSPO Emissions Reduction Working Group (ERWG) and the RSPO SHWG agree that there should be a simplified mechanism for smallholders for compliance on the GHG matters and that smallholders should not be overburdened due to their limited capacity. Further details will be developed.					
7.8.1 (M) The carbon stock of the proposed development area and major potential sources of emissions that may result directly from the development shall be identified and estimated. 7.8.2 There shall be a plan to minimise net GHG emissions which takes into account avoidance of land areas with high carbon stocks and/or sequestration options.	Individual members shall be able to explain how you know where not to plant.		<u>Maps:</u> The use of maps shall be expected which highlight the avoidance of peat areas and primary forests and where possible mineral soils have been selected for planting. <u>Reporting:</u> Demonstrate to a third party that new plantings which occurred after April 2013 have where possible been designed to minimise GHG emissions. Groups will need to report confidentially to the RSPO on actions	The Group Manager should carry out the GHG assessment according to the relevant procedure (more than 500ha full GHG assessment procedure, less than 500ha use simplified GHG assessment procedure). Map requirement is given within the procedure.	See 7.1 Assessing Group Manager Check if the documentation and maps are adequate for the scale of operations.

P&C Indicator	Requirement for Individual Member with up to 50ha of plantation size	Guidance for Individual Members with up to 50 ha of plantation size and to be used by the Group Manager in the ICS audits	Requirement for Group Manager	Guidance for Group Managers	Guidance for Auditors
			<p>taken to minimise net GHG emission from new plantation development.</p> <p>After 31. December 2016 these documents will need to be publicly available and linked to 1.2 & 5.6</p>		
<p>Principle 8: Commitment to Continuous Improvement in Key Areas of Activity</p>					
<p>Criterion 8.1 Growers and millers regularly monitor and review their activities, and develop and implement a Group Action Plan that allow demonstrable continual improvement in key operations.</p>					
<p>8.1.1 (M) The Group Action Plan for continuous improvement shall be implemented, based on a consideration of the main social and environmental impacts and opportunities of the grower/mill, and shall include a range of Indicators covered by these Principles and Criteria. As a minimum, these shall include, but are not necessarily be limited to:</p> <ul style="list-style-type: none"> • Reduction in use of pesticides (Criterion 4.6); • Environmental impacts (Criteria 4.3, 5.1 and 5.2); • Waste reduction (Criterion 5.3); • Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); • Social impacts (Criterion 6.1); • Optimising the yield of the supply base. 	<ul style="list-style-type: none"> • Members shall provide inputs to the Group Action Plan for continual improvement. • Members shall keep individual records of pesticide use, fertiliser application, FFB production etc. according to a standard template provided by the Group Manager. • Discuss with the Group Manager the timing of the replanting programme. 	<p>Guidance for Individual Members and to be used by the Group Manager in the ICS audits</p> <p>Individual members should be able to demonstrate their awareness of the Group Action Plan for continuous improvement, especially when they will replant.</p>	<ul style="list-style-type: none"> • Group Managers shall record information on environmental impacts, waste reduction, pollution & GHG and social impacts. • Group Managers shall periodically (e.g. quarterly) collate the records of individual members. • Group Managers shall facilitate the development of the Group Action Plan through an annual group meeting. • Group Managers shall be responsible for the continuous improvement in key operations. 	<p>The action plan for continuous improvement is under the control of the Group Manager who will be responsible for its implementation.</p> <p>Applicable to all Groups.</p> <p>Group Managers should be able to:</p> <p>Set timelines to the Group Action Plan (e.g. 3 years). Integrate this Group Action Plan with the business plan (3.1). Check the business plan against the listed items and identify which are applicable to the continuous improvement plan (e.g. use also internal audit system):</p> <ul style="list-style-type: none"> • All the laws? Criterion 3.1. • All SOPs? Criterion 4.1. • All agrochemicals? Criterion 4.6. • Hazards and risks? Criterion 4.7. • PPE? Criterion 4.7. • All training required? Criterion 4.8. • All operations that have an environmental impact? Criterion 5.1. • All HCV and RTEs? Criterion 5.2. • All sources of pollution? Criterion 5.3. • All social impacts? • All your policies? 	<p>Assessing Group Manager</p> <p>There should be an action plan for improvement adequate to the size of the Group. The plan should cover a suitable period (e.g. 3 years) and be updated annually. There may be the need for more than one plan if the Group is not composed of homogeneous membership.</p> <p>Determine if there is a link to other parts of the standard which are applicable to the continuous improvement plan based on outcomes of the NCRs in the internal audit:</p> <ul style="list-style-type: none"> • All the laws? Criterion 3.1. • All SOPs? Criterion 4.1. • All agrochemicals? Criterion 4.6. • Hazards and risks? Criterion 4.7. • PPE? Criterion 4.7. • All training required? Criterion 4.8. • All operations that have an environmental impact? Criterion 5.1. • All HCV and RTEs? Criterion 5.2. • All sources of pollution? Criterion 5.3. • All social impacts? • All your policies?

P&C Indicator	Requirement for Individual Member with up to 50ha of plantation size	Guidance for Individual Members with up to 50 ha of plantation size and to be used by the Group Manager in the ICS audits	Requirement for Group Manager	Guidance for Group Managers	Guidance for Auditors
				<p>Cross check in the Group Action Plan that you have included the items listed in the indicator.</p> <ul style="list-style-type: none"> • Reduction in use of pesticides (Criterion 4.6); • Environmental impacts (Criteria 4.3, 5.1 and 5.2); • Waste reduction (Criterion 5.3); • Pollution and greenhouse gas (GHG) emissions (Criteria 5.6 and 7.8); • Social impacts (Criterion 6.1); • Optimising the yield of the supply base. <p>Identify who is responsible for preparing and implementing action plans to take into account the above. Consider if more than one plan is need given the geography of the group.</p> <p>Explain:</p> <ul style="list-style-type: none"> • Who prepared this plan. • Will one plan cover all farms and or operations? • Who will ensure it is updated every year to make sure it is always a 3-year plan? • Who monitors the plan and how? 	<p>Linking to the business plan is to be encouraged where appropriate.</p> <p>Particular attention should be paid to the replanting programme which should last for 5 years.</p> <ul style="list-style-type: none"> ▪ Who prepared this plan? ▪ Will one plan cover all farms and or operations? ▪ Who will ensure it is updated every year to make sure it is always a 3-year plan? ▪ Who monitors the plan and how? <p>Ensure that all identified actions required are documented and included in the business plan. Link throughout the standard. As a minimum the action plan should include the aspects listed in the indicator.</p> <p>Assessing Individual Members Check a selection of members to see whether they have had the broad aims of the Group Action Plan explained to them. Specifically do they know when they will replant? Review the Group Manager's records and visit some of those members to confirm that there has been continuous improvement.</p>

Annex I - Terms and Definitions

The below definitions are a collation of definitions as previously used by RSPO (e.g. in the RSPO P&C) or drawn from international expert organisations.

Certification: A voluntary procedure that assesses, monitors and gives written assurance that a business, product, process, service, supply chain or management system conforms to specific requirements. (ISEAL)

Certification assessment: Process by which a certification body evaluates an operation against specific standards and/or other normative documents.

Certification Body (CB): Third party that assesses and certifies the conformity of organizations with respect to published standards or other normative documents.

Environmental Impact Assessment: A process of predicting and evaluating the effects of an action or series of actions on the environment, then using the conclusions as a tool in planning and decision-making.

Family farm: A farm operated and mostly owned by a family, for the growing of oil palm, sometimes along with subsistence production of other crops, and where the family provides the majority of the labour used. Such farms provide the principal source of income, and the planted area of oil palm is below 50 ha in size. Work by children is acceptable on family farms, under adult supervision; when not interfering with education programmes, when children are part of the family and when they are not exposed to hazardous working conditions.

Fundamental Failure: Fundamental failure is indicated by non-conformity which:

- Continues over a long period of time
- Is repeated or systematic
- Affects a wide area or causes significant damage
- Is indicated by the absence or a total breakdown of a system or
- Is not corrected or adequately responded to by the Group Manager once identified. (FSC)

Group:

Group Certification: Joint certification of a group of oil palm growers with the certification applying to the whole group.

Group Manager: Person, group of people or organisation responsible for running the internal control system and managing the group. This can be any individual or organisation, such as individual grower, an FFB trader, independent association, mill, etc., provided it meets the criteria outlined in Section 2 E.1.2).

Group members: The individual growers, who participate formally in a group seeking FFB certification under this standard.

Large groups: Large groups are those with a total production area of 500ha or above.

Small groups: Small groups are those with a total production area of less than 500ha.

High Conservation Value (HCV) Areas: the areas necessary to maintain or enhance one or more High Conservation Values (HCVs):

- **HCV 1 – Species diversity:** Concentrations of biological diversity including endemic species, and rare, threatened or endangered species, that are significant at global, regional or national levels.
- **HCV 2 – Landscape-level ecosystems and mosaics:** Large landscape-level ecosystems and ecosystem mosaics that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.
- **HCV 3 – Ecosystems and habitats:** Rare, threatened, or endangered ecosystems, habitats or refugia.
- **HCV 4 – Critical ecosystem services:** Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.
- **HCV 5 – Community needs:** Sites and resources fundamental for satisfying the basic necessities of local communities or indigenous peoples (for livelihoods, health, nutrition, water, etc.), identified through engagement with these communities or indigenous people.
- **HCV 6 – Cultural values:** Sites, resources, habitats and landscapes of global or national cultural archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities.

Independent Grower: The person or entity that owns and/or manages an oil palm development and who are not bound by any contract, credit agreement or planning to a particular mill.

Integrated Pest Management (IPM): IPM is the careful consideration of all available pest control techniques and subsequent integration of appropriate measures that discourage the development of pest populations and keep pesticides and other interventions to levels that are economically justified and reduce or minimize risks to human health and the environment. IPM emphasizes the growth of a healthy crop with the least possible disruption to agro-ecosystems and encourages natural pest control mechanism. (FAO 2013: <http://www.fao.org/agriculture/crops/core-themes/theme/pests/ipm/en/>)

Internal Auditor: Person or organization appointed by the Group Manager to carry out an internal inspection of the group members with regard to their compliance with the relevant RSPO standards and policies, and with group membership requirements.

Internal Control System – ICS: A documented set of procedures and processes that a group implements to achieve its specified requirements. The ICS can define the roles of the wider group, not directly involved in the certification, which can consist of FFB traders, Group Managers, transport providers etc.

Mill-with-supply-base: For the purpose of this document the term 'mill-with-supply-base' is used to refer to mills with own estate/plantation(s). Mills-with-supply-base need to follow the RSPO P&C certification for their own operations, whereas independent mills need only RSPO SCC certification. Mills-with-supply-base in the context of Group Certification is a relevant concept for the certification of associated smallholders and outgrowers (see section 1.3 of this document) and therefore this clearer differentiation is used.

National Interpretation: Interpretation of the RSPO Generic Principles & Criteria for a specific country.

Outgrowers: Farmers, where the sale of FFB is exclusively contracted to the grower/miller. Outgrowers can be smallholders.

Rights are legal, social, or ethical principles of freedom or entitlement:

- **Customary rights:** Patterns of long-standing community land and resource usage in accordance with indigenous peoples/ customary laws, values, customs and traditions, including seasonal or cyclical use rather than formal legal title to land and resources issued by the State (from World Bank Operational Policy 4.10).
- **Legal rights:** rights given to individual(s), entities and others through applicable local, national or ratified international laws and regulations.
- **User rights:** Rights for the use of land and resources that can be defined by local custom, mutual agreements, or prescribed by other entities holding access rights. (From FSC P&C).
- **Demonstrable rights** are those rights that are demonstrated through participatory user mapping as part of an FPIC process.

The below generic definitions for **smallholders** can be used as a guide in the absence of a National Interpretation. As part of the NI processes (including Local Interpretation and Small Producing Country NIs) these generic definitions of the above terms can be defined. If necessary, smallholders can be subdivided into independent, scheme or associated smallholders.

- **Smallholders:** Farmers growing oil palm, sometimes along with subsistence production of other crops, where the family provides the majority of labour and the farm provides the principal source of income and where the planted area of oil palm is usually below 50 hectares in size.
- **Scheme smallholders:** Smallholders that are structurally bound by contract, credit agreement and/or by planning to a particular mill, but the association is not necessarily limited to such linkages. [Note: An example for this is the Indonesian Plasma model. In many parts of the world, such as Latin America, this type of smallholder is also referred to as 'associated smallholder'.]
- **Independent smallholders:** Smallholders that are not bound by any contract, credit agreement or planning to a particular mill.

Stakeholders: An individual or group with a legitimate and/or demonstrable interest in, or who is directly affected by, the activities of an organisation and the consequences of those activities.

Annex II – List of documents to be developed, required to comply with RSPO P&C

Indicator	Documentation	Classification
1.1.2	Records on information request and responses to Stakeholders	Records
1.3.1	Policy Committing to a code of ethical conduct and integrity in all operations and transactions	Policy
2.1.2	A documented system about legal requirements	Documented System
2.2.5	Participatory mapping of extent of disputed area – where applicable	Map
2.3.1	Maps of an appropriate scale showing the extent of recognised legal, customary or user rights - where applicable	Map
3.1.1	Business or management plan ²	Plan
3.1.2	Replanting Program projected for 5 years	Plan
4.1.1	Standard Operating Procedures (SOPs)	Procedure
4.1.3	Records of monitoring and implementation of the SOPs	Records
4.2.1	Procedures for soil and fertility management	Procedure
4.2.2	Records of fertiliser inputs	Records
4.3.1	Maps of any fragile soils shall be available.	Map
4.3.3	A road maintenance programme	Plan
4.3.4	Documented water and ground cover management programme (for existing plantings on peat)	Plan
4.4.1.	Water Management Plan	Plan
4.5.1	Integrated Pest Management (IPM) Plan	Plan
4.6.2	Records of Pesticides Use (a.i., LD50, area treated, amount of a.i./ha and number of applications)	Records
4.6.3	Plan on Pesticides (minimize and exceptional circumstances)	Plan
4.6.8	Documented justification where pesticides are applied aerially.	Document
4.6.10	See 5.3.3 Waste disposal procedure	Procedure

² See table in Section 3 of this document; it is recommended for groups to have a business or management plan, however it is not a requirement

Indicator	Documentation	Classification
4.7.1	Health and safety policy & plan	Policy & Plan
4.7.2	Health and safety procedure	Procedure
4.7.4	Records of issues raised in meetings related to health, safety and welfare between responsible person/s and workers	Records
4.7.5	Accident and emergency procedures	Procedure
4.7.5 4.7.7	Record of all accidents and injuries (Lost time Accident)	Records
4.8.1	Training Program, including regular assessments of training needs	Plan
4.8.2	Record of training	Records
5.1.1	Environmental Impact Assessment (EIA)	Assessment
5.1.2	Environmental Management and Monitoring Plan based on the EIA	Plan
5.1.3	Records of Monitoring plan based on Environmental Management Plan	Records
5.2.1	HCV Assessment	Assessment
5.2.2 5.2.4	HCV Management and Monitoring Plan	Plan
5.2.3	Records of regularly education of workforce on RTE species	Registers
5.2.4	Records of HCV monitoring	Registers
5.2.5	Register of agreements with communities with rights to HCV set asides	Agreement
5.3.1	Documented information about all waste products and sources of pollution	Document
5.3.3	Waste management and disposal plan	Plan
5.4.1	Plan for improving efficiency of the use of fossil fuels and to optimise renewable energy	Plan
5.6.1	Assessment of all polluting activities shall be conducted, including gaseous emissions, particulate/soot emissions and effluent	Assessment
5.6.2	A plan to reduce or minimise identified significant pollutants and GHG emissions	Plan/
6.1.1	Social impact assessment (SIA) including records of meetings	Assessment
6.1.3	Plans for avoidance or mitigation of negative impacts and promotion of the positive ones, and monitoring of impacts identified	Plan

Indicator	Documentation	Classification
6.2.1	Consultation and communication procedures with interested parties	Procedure
6.2.3	List of stakeholders	List
6.2.3	Records of communication and actions taken in response to input from stakeholder	Records
6.4.1	Procedure for identifying legal, customary or user rights, and a procedure for identifying people entitled to compensation	Procedure
6.4.2	Procedure for calculating and distributing fair compensation	Procedure
6.6.1	Published statement in local languages recognising freedom of association shall be available	Statement
6.8.1	Policy of equal work opportunities	Policy
6.9.1	Policy to prevent sexual and all other forms of harassment and violence	Policy
6.9.2	Policy to protect the reproductive rights of all, especially of women	Policy
6.12.3	Labour policy and procedures for temporary or migrant workers	Policy & Procedure
6.13.1	Policy to respect human rights	Policy
7.1.1.	An independent social and environmental impact assessment (SEIA)	Assessment
7.1.2	Management plan based on SEIA	Procedure
7.2.1	Soil suitability maps or soil surveys adequate to establish the long-term suitability of land for oil palm cultivation	Map
7.3.2	A comprehensive HCV assessment	Assessment
7.3.4	HCV action plan	Plan
7.4.1	Maps identifying marginal and fragile soils, including excessive gradients and peat soils	Map
7.4.2	Plans to protect fragile and marginal soils, including peat	Plan
7.6.1	Documented identification and assessment of demonstrable legal, customary and user rights	Assessment
7.8.2	Plan to minimise net GHG emissions	Plan
8.1.1	Action plan for continual improvement	Plan