

RSPO

Supply Chain Certification

Systems

For accreditation and certification bodies

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1. Introduction

The Roundtable on Sustainable Palm Oil (RSPO) is a global, multi-stakeholder initiative on sustainable oil palm products. Members of RSPO and participants in its activities come from many different backgrounds, including plantation companies, manufacturers and retailers of oil palm products, environmental and social NGOs and from many countries that produce or use oil palm products. The principal objective of RSPO is “to promote the growth and use of sustainable palm oil through cooperation within the supply chain and open dialogue between its stakeholders”.

The methods used by the RSPO to deliver its objective include:

- The development of a standard for certification of sustainable oil palm production and associated models for verification of responsible oil palm production. The RSPO Standard for Sustainable Oil Palm Production is presented as a series of Principles, Criteria, Indicators and Guidance, and is designed to be used by oil palm producers to implement sustainable production practices, and by certification bodies for field verification.
- The development of an RSPO Supply Chain Certification Standard. This document describes requirements related to the control of RSPO certified oil palm products in the supply chain, including flows of material and associated claims.
- The RSPO Supply Chain Certification Standard is presented as a series of auditable requirements designed to be used by organizations in the palm value chain to demonstrate implemented systems for control of RSPO certified oil palm products. Downstream processors or users of RSPO certified sustainable oil palm products can claim the use of (or support of) RSPO certified oil palm products when they adhere to the requirements of the RSPO Supply Chain Certification Standard and the RSPO Rules on Market Communications and Claims. This is independently verified by an RSPO accredited certification body.

The purpose of this document is:

- To establish the minimum requirements of a consistent methodology for enabling certification against the requirements of the RSPO Supply Chain Certification Standard to enable all certification bodies to operate in a consistent and controlled manner.
- To provide documentation designed to assure long-term continuity and consistency of the delivery of certification against the requirements of the RSPO Supply Chain Certification Standard.

- To ensure that claims of RSPO members relating to the production, procurement and use of RSPO certified oil palm products are true.

This document is analogous to the RSPO Supply Chain Certification Standard which defines certification standard. This document shall be reviewed at intervals not greater than five (5) years.

1.1 Elements of a certification scheme

Certification schemes are usually made up of three key elements:

- Certification standards. This sets out the requirements which shall be met and against which certification audits are made. The RSPO chain of custody standards are detailed in the RSPO Supply Chain Certification Standards document.
- Accreditation requirements. This is the approval mechanism for ensuring that the organizations which undertake certification audits and surveillance audits are competent and produce credible, consistent results. The RSPO accreditation requirements are detailed in section 4 of this document.
- Certification process requirements. This is the process of establishing whether or not a set of requirements (i.e. the standard) has been met, usually carried out by a certification body. The RSPO Supply chain certification process requirements are detailed in section 5 of this document.

1.2 Scope

This document sets out certification systems for the RSPO requirements for Identity Preserved, Segregated, Mass Balance, and Book and Claim supply chain models:

- The requirements for a certification body to be accredited as being a competent body capable of undertaking audits and issuing certificates of conformance against the RSPO Supply Chain Certification Standard (Accreditation requirements).
- The way in which certification shall be carried out by such certification bodies (Certification process requirements).

2. Definitions

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| Accreditation Body (AB) | Organization responsible for auditing RSPO certification bodies against the requirements of <i>ISO/IEC Guide 17065:2012</i> . The organization shall be a signatory to the appropriate International Accreditation Forum (IAF) or Multilateral Recognition Arrangement (MLA), or a full member of the International Social and Environmental Accreditation and Labelling Alliance (ISEAL). |
| Annual Aggregated Volumes | CBs to confirm their clients' record on estimated volume of palm oil / palm kernel oil content (in separate categories) in the RSPO certified oil palm product. The record shall consist of the aggregated volume purchased (input) and claimed (output) over a period of twelve (12) months. |
| Applicant (or Client) | The operation seeking or holding certification. |
| Audit | Independent evaluation of compliance with the requirements of the RSPO supply chain certification standard by an RSPO accredited certification body as part of the certification process. |
| Book and Claim (BC) | Model that supports the production of RSPO-certified sustainable oil palm products through the sale of RSPO Credits. One (1) RSPO Credit represents one (1) metric tonne of RSPO certified sustainable oil palm product. For oleochemicals, ratios in the RSPO Rules for Oleochemicals and its Derivatives shall be used (www.rspo.org). See Annex 6: Book and Claim Audit Process Requirements. |
| Bulking Station | Interim storage facility for oil palm products. |
| Buyer | The next commercial entity in the supply chain; the supplier (or seller) is the previous commercial entity in the supply chain. |
| Certificate | Document issued by an RSPO accredited CB when a member complies with the requirements of RSPO Supply Chain Certification Standard. The certificate period is 5 years and it provides a means to request a license in the RSPO IT Platform. |

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| Certification Body (CB) | An independent body that is accredited by an accreditation body for RSPO to conduct certification audits against the requirements of the RSPO Supply Chain Certification Standard. |
| Claim | Any communication to any stakeholder group in any format of the presence of certified sustainable oil palm product in a specific product or product groups. |
| Code of Conduct | The RSPO Code of Conduct is a set of requirements that RSPO members shall abide by. The Code can be found on the RSPO website (www.rspo.org) |
| Complaints Procedure | The RSPO complaints system addresses complaints against RSPO and its members in a manner reflecting the nature, mission and goals of RSPO. See the RSPO website (www.rspo.org) |
| Crude Palm Oil (CPO) | First stage palm oil product produced from fresh fruit bunches (FFB) at a mill. |
| Crude Palm Oil Mill (CPO Mill) | A mill with legal relationship to specific plantations. This includes through parent or sister companies. |
| Dispatch | A transfer of ownership from one organization to another. |
| Distributors | Participant in the supply chain of RSPO certified oil palm products which takes legal ownership, store and sell products to their customer bases, but do not unpack, repack or relabel those products at any stages. Distributors are allowed to handle products physically without any modification to the end products and therefore, do not need supply chain certification. |
| End Product | Product that will have no further repackaging or processing prior to sale to the final consumer. |

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| <p>End Product Manufacturer</p> | <p>The manufacturer/processor that uses oil palm products for manufacturing products designed and intended for consumption or end use in any way without further repackaging or processing. For example, retailers when producing own label products in house, consumer goods manufacturers, biofuel producers, feed product manufacturers. Retailers and distributors of end products, where no further modification occurs, do not need Supply Chain Certification.</p> |
| <p>Fresh Fruit Bunches (FFB)</p> | <p>Bunches of palm fruits as harvested from oil palm plantations/farms.</p> |
| <p>Identity Preserved Palm Oil (IP)</p> | <p>The Identity Preserved (IP) supply chain model assures that the RSPO certified oil palm product delivered to the end user is uniquely identifiable to a single RSPO certified mill and its certified supply base.</p> |
| <p>Independent Mill</p> | <p>A mill operating independently of and with no legal relationship to any specific plantation. This includes through parent or sister companies.</p> |
| <p>Internal Control System (ICS)</p> | <p>A documented set of procedures and processes that defines how a supply chain certification system works, ensures that records are maintained, records internal audits and explains responsibilities. It defines which standards are applicable and ensures that non-compliances are dealt with according to a set of procedures and sanctions.</p> |
| <p>License</p> | <p>An annual request submitted by an RSPO CB in RSPO IT Platform when a certificate holder undergoes either an initial or re-certification or surveillance audit within the five years' certificate validity. Upon approval from RSPO Secretariat, the license allows certificate holder to carry out trading and record transactions. A license is valid for a year and needs to be renewed on every audit.</p> |
| <p>Legal Owner</p> | <p>Entity that has an enforceable claim or title to a property, and is recognized as such by law.</p> |

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| Mass Balance (MB) | Supply chain model that allows certified claims to be transferred from one oil palm product to another either through physical blending or administratively under strictly controlled circumstances. |
| Micro Users | Organizations which use low volume of oil palm products, of less than 1000KG of oil palm products per annum. |
| Multi-site Certification | A certification option for a group of sites that have a contractual link, a defined Central Office and a minimum of two (2) participating sites. Such sites may be groups of refineries, kernel crushers or processing etc., brought together under a Central Office and administered using an Internal Control System (ICS). Central Offices that also process is counted as both Central Office and a participating site. |
| Non-certified Mills | Mills that have not been certified by an RSPO accredited certification body. |
| Oil Palm Products | Products produced by the oil palm, including its fruits and kernels. Depending on the context, the phrase 'oil palm products' in this document can also refer to products such as shells, palm kernels, palm kernel expeller, palm kernel oil (PKO) or products derived thereof, palm fatty acids (PFAD), palm kernel fatty acids (PKFAD), olein, stearin or other products that are derived from fractionation of palm oil and palm kernel oil. |
| On-site Audit | Physical visit to a permanent located site by a (team of) representative(s) from an RSPO accredited certification body. |
| Owner | Person or entity that holds physical ownership of goods/plant/building etc. |
| Physical Handling | Activities which may include risk during receipt, storage and dispatch or where a product undergoes physical transformation or re-packing or re-labelling. |

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| <p>Processing Aids</p> | <p>a) Substances that are added to a food during the processing of such food but are removed in some manner from the food before it is packaged in its finished form.</p> <p>b) Substances that are added to a food during processing, are converted into constituents normally present in the food, and do not significantly increase the amount of the constituents naturally found in food.</p> <p>c) Substances that are added to a food for their technical or functional effect in the processing but are present in the finished food at insignificant levels and do not have any technical or functional effect in that food.</p> |
| <p>Receiving</p> | <p>Receipt of RSPO certified product at a site under the control of the organization (includes outsourced contractors).</p> |
| <p>Refinery</p> | <p>A production site that processes fats and oils into higher value fats and oils.</p> |
| <p>Remote Audit</p> | <p>Auditing process by which CBs gather information and electronic evidences while interacting with clients all without the need to be physically present.</p> |
| <p>Retailer</p> | <p>A business or person that sells end consumer products to the consumer, as opposed to a wholesaler or supplier, who normally sell their products to another business. Retailers of end products, where no further modification occurs, do not need Supply Chain Certification.</p> |
| <p>The Roundtable on Sustainable Palm Oil (or RSPO)</p> | <p>The not-for-profit Swiss-registered foundation working to improve the sustainability of global palm oil production and use.</p> |
| <p>RSPO Certified Sustainable Palm Oil (or RSPO CSPO)</p> | <p>Palm oil produced by a mill and its supply base that has been successfully certified to the RSPO Principles and Criteria by an RSPO accredited certification body, as being compliant with the criteria set out in the RSPO Certification Systems document.</p> |

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| RSPO Rules on Market Communication & Claims | Rules for use of communication and claims related to the use or support of RSPO certified oil palm products. |
| RSPO IT Platform | <p>Web-based system for tracing RSPO certified palm oil, palm kernel oil, fractions and palm fatty acids (PFAD), palm kernel fatty acids (PKFAD) and palm kernel expeller, throughout the supply chain from mill to refineries included, under the supply chain models of Mass Balance, Segregated and/or Identity Preserved.</p> <p>This IT Platform also allows the trading of RSPO Credits under the Book and Claim model.</p> |
| Scope | The activities covered by the organization's supply chain certification. |
| Segregated (SG) | The Segregated (SG) supply chain model assures that RSPO certified oil palm products delivered to the end user come only from RSPO certified sources. |
| Short Selling | Entering into a forward contract to supply product that has not yet been received. |
| Site | A single functional unit of an organization or a combination of units situated at one locality, which is geographically distinct from other units. |
| Supplier (or seller) | The previous commercial entity in the supply chain; the buyer (or customer) is the next commercial entity in the supply chain. |
| Supply Chain | The series of processes/steps through which agricultural raw materials pass from the primary producer through to the end product manufacturer (i.e. palm oil growing, palm oil milling, storage, transport, refining, manufacture, end product etc). |

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| <p>Supply Chain Certification Systems</p> | <p>Downstream processors or users of RSPO certified oil palm products can claim the use of (or support of) RSPO certified oil palm products when they adhere to the RSPO Supply Chain Certification Systems and where this is independently verified by an accredited certification body.</p> |
| <p>Supply Chain Group Certification</p> | <p>An option for RSPO Supply Chain Certification whereby the direct costs of certification are shared between the eligible members of a group.</p> |
| <p>Trader</p> | <p>Participant in the supply chain of RSPO certified oil palm products which takes legal ownership of oil palm products, derivatives and/or purchases and sells futures without physically handling the oil palm products.</p> |
| <p>Unit of Certification</p> | <p>All operators who take legal ownership and physically handle (including receipt into storage tanks) RSPO certified oil palm products need to be RSPO supply chain certified. This requirement applies up to and including the end product manufacturer.</p> |

3. Certification standards

The RSPO certification standards are as follows:

3.1 Sustainable production of oil palm products

3.1.1 Production of sustainable oil palm products is comprised of legal, economically viable, environmentally appropriate and socially beneficial management and operations. This is delivered through the application of the RSPO Principles and Criteria for Sustainable Palm Oil Production and the accompanying indicators and guidance, as set out in the document *RSPO Principles and Criteria for Sustainable Palm Oil Production including indicators and guidance* (available at www.rspo.org), (referred to collectively in this document as the 'RSPO Principles and Criteria' or 'RSPO P&C').

All of the RSPO Principles and Criteria apply to the management of oil palm. All relevant RSPO Principles and Criteria also apply to oil palm plantations and associated mills. Independent mills shall be certified against the requirements of the RSPO Supply Chain Certification Standard.

3.1.2 Where available, national interpretations of the international indicators and guidance shall be followed. In order to keep overall control of the quality of any set of national indicators and guidance claiming to be official interpretations, especially in the local legal context, national interpretations shall be endorsed or recognized by RSPO Board of Governors (BoG).

3.2 Supply chain requirements for sustainable oil palm products

3.2.1 The oil palm products may go through many production and logistical stages between oil palm plantations and the end product. Any individual batch of oil palm products can be traded through one of four supply chain models that are approved by RSPO:

- Identity Preserved (IP)
- Segregated (SG)
- Mass Balance (MB)
- Book and Claim (BC).

3.2.2 For the first three of these, Identity Preserved, Segregated and Mass Balance, supply chain controls from the plantation through to the end product are required, as defined in the *RSPO Supply Chain Certification Standard*.

All users of the RSPO Book and Claim model, who are not producers and claim more than 500 RSPO Credits for a period of twelve (12) months, need to show compliance with the rules for use of the RSPO Book and Claim model, which are covered in Annex 6 on Book and Claim Audit Process Requirements of this document.

This document sets out certification requirements for assessment against the RSPO Supply Chain Certification Standard.

4. Accreditation requirements: model for approval and monitoring of third party certification bodies

4.1 Accreditation overview

4.1.1 Any certification body (CB) that wishes to offer a service of certification audits against the RSPO Supply Chain Certification Standard shall be specifically accredited by an accreditation body (AB) that is operating on behalf of the RSPO. Individuals cannot be accredited as a certification body.

4.1.2 CB Accreditation for RSPO SCC shall refer to RSPO Supply Chain Certification Systems Document.

4.1.3 RSPO has made a provision that all CBs accredited for certification against the RSPO Principles and Criteria can also undertake supply chain audits against the requirements of the RSPO Supply Chain Standard only for CPO mills, provided that one of the audit team members has successfully completed an SCC lead auditor training course. This is in order to enable audit of supply chain requirements of CPO mills to be undertaken at the same time as P&C certification site visits.

This does not apply to independent mills, which do not have a fixed supply base and therefore are not included as part of a P&C assessment. Independent mills shall be audited against the Supply Chain Standard and a supply chain certificate is needed; in these cases, a CB accredited for certification against the SCC Standard shall undertake the supply chain audit. Independent and integrated palm kernel crushers cannot be part of a P&C certification unit and shall require a separate SSC Standard certification, by an SCC accredited CB. A palm kernel crushing plant cannot be part of a P&C certification and shall need a separate Supply Chain audit and certificate, by an SCC accredited CB.

4.1.4 The RSPO Secretariat and the AB, both publish a list of accredited certification bodies on their website.

4.2 Accreditation Body (AB) requirements

- 4.2.1 Any accreditation body shall be operating in accordance with the requirements of most recent revision of *ISO/IEC 17011 Conformity assessment – General Requirements for accreditation bodies accrediting conformity assessment bodies*. This shall be demonstrated either as a signatory to the appropriate International Accreditation Forum (IAF), Multilateral Recognition Arrangement (MLA) or through full membership of the International Social and Environmental Accreditation and Labelling Alliance (ISEAL).
- 4.2.2 The AB shall be responsible for decisions on the accreditation status of a CB, including application, approval, suspension, withdrawal or termination, as well as expanding and reducing the scope of accreditation.
- 4.2.3 The AB's documented systems and procedures shall include annual monitoring and reviews of CBs' competence and implementation of all RSPO-specific requirements. The AB shall publish its finalized SCC witness and compliance audit reports of accredited CB's on its website.
- 4.2.4 The AB is required to implement its accreditation processes in accordance with documented systems and procedures. These systems and procedures shall be designed to ensure that accredited RSPO CBs are operating in a manner consistent with the intent and requirements of *ISO/IEC 17065:2012 Conformity Assessment - Requirements for Bodies Certifying Products, Processes and Services* (ISO/IEC 17065), together with the specific RSPO requirements detailed in section 5 of this document.
- 4.2.5 The AB's documented systems and procedures shall include requirements relating to the transfer of the certification of an organization from one accredited CB to another, consistent with the requirements of *IAF MD2:2007 IAF Mandatory Document for the Transfer of Accredited Certification of Management Systems* (IAF MD2:2007) and as specified in section 3.5 of this document.
- 4.2.6 Assessments of the performance of the AB in relation to its defined systems and procedures, and any additional RSPO requirements, are conducted by the RSPO Secretariat biannually.
- 4.2.7 The accreditation body shall maintain and implement a written policy and procedures for avoidance of conflicts of interest.

- 4.2.8 The AB has a Dispute Management which primarily deals with the performance and decision-making of the certification bodies (CBs).
- 4.2.9 RSPO requires the AB to notify RSPO Secretariat if a complaint about the certification body is received from any RSPO stakeholder concerning their competency or process or the outcome of an accreditation audit or implementation. The accreditation body shall handle complaints in accordance with most recent revision of *ISO/IEC 17011*. Should the accreditation body fail to resolve a complaint within the given timeframe, it shall inform the RSPO Secretariat.

4.3 Suspension, withdrawal and termination of accreditation

- 4.3.1 The AB shall have a documented procedure in place for the suspension, withdrawal or termination of the accreditation of CBs.
- 4.3.2 The AB shall notify the RSPO Secretariat of the suspension, withdrawal or termination of accreditation for any CB within 24 hours. The RSPO Secretariat will inform RSPO members of such developments in two (2) days through announcements on the RSPO website. A suspended CB is only allowed to conduct annual surveillance audits, but is not permitted to undertake initial certification audits, re-certification audits or any verifications under the RSPO schemes, and shall inform all of its RSPO clients of its suspended status. From termination date, the terminated CB is not allowed to do any audits and verifications for the RSPO schemes.
- 4.3.3 Where a CB's accreditation is suspended, withdrawn, terminated, all certificates issued by that CB remain valid until the next surveillance date. In case when a CB's accreditation is being withdrawn, suspended or terminated within 4 months of company's next surveillance date, the company shall be given 3-months extension from the expiry date of certificate by RSPO. The CB shall inform all of its RSPO certificate holders within 14 days of this change in status, and shall comply with the AB's and RSPO's requirements for transfer of certification to other accredited CBs. If an audit is being performed before the withdrawal, termination or suspension date, but the certification process has not been completed, the RSPO Secretariat together with the AB will decide about the continuation of the process.

4.4 Accreditation requirements for certification bodies

- 4.4.1 Certification bodies are required to demonstrate that all aspects of their organization, systems and procedures for conducting certification against the intent and requirements of the RSPO Supply Chain Certification Systems are included in documented management systems, and conform to the provisions of RSPO's specific requirements detailed in section 5 of this document.
- 4.4.2 Certification bodies are required to demonstrate that all aspects of their organization, systems and procedures for conducting certification against the intent and requirements of the RSPO Supply Chain Certification Systems conform to the relevant provisions of the most recent revision of *ISO/IEC 17065*.
- 4.4.3 Conformity with the requirements detailed in sections 4.3.1 and 4.3.2 of this document is assessed prior to accreditation, and is then monitored annually.
- 4.4.4 The CB shall comply with the accreditation body requirements pertaining to accreditation decisions.

5. Certification Process Requirements of the RSPO Supply Chain Certification Systems

This section prescribes the process that a certification body (CB) shall follow in carrying out an audit of a site that is seeking certification to requirements of the RSPO Supply Chain Certification Standard.

5.1 Specific competencies of audit teams

- 5.1.1 The accredited CB shall implement all provisions, including legal arrangements, to ensure that any and all persons, subcontractors or other entities (e.g. permanently employed and freelance auditors, experts, consultants, etc.) engaged on its behalf in auditing against the requirements of the RSPO Supply Chain Certification Standard, are knowledgeable about the applicable processes, procedures and documents and comply with the requirements of the RSPO Supply Chain Certification Systems as a whole.
- 5.1.2 The CB shall define the minimum competencies of lead auditors and the requirements for audit teams. As a minimum, these shall be consistent with the specifications defined in the most recent revision of *ISO/IEC 17065*, with modifications to take into account the specific requirements of RSPO Supply Chain Certification, as described below.
- 5.1.3 Audit procedures for certification audits against the requirements of the RSPO Supply Chain Certification Standard shall require that CBs demonstrably include sufficient supply chain expertise to address all of the requirements of the RSPO Supply Chain Certification Standard.

Lead auditors shall demonstrate, as a minimum:

- Successful completion of an accredited lead auditor course e.g. most recent revision of ISO 9001 and/or ISO 14001 and/or OHSAS 18001 lead auditor course.
- Successful completion of an RSPO-endorsed Supply Chain Lead Auditor's course and a refresher course every three (3) years.
- Language skills suitable for verbal and written communication with the client and the client's relevant stakeholder groups.
- Field working experience in similar supply chains, or equivalent related to and as necessary for the certification process.

- A supervised period of training in practical auditing by a qualified lead auditor in similar certification schemes (i.e. including traceability), having successfully conducted a minimum of three (3) audits at different organizations.

5.2 Unit of certification

- 5.2.1 The General Chain of Custody requirements of the RSPO Supply Chain Standard shall apply to any organization in the supply chain that takes legal ownership and physically handles RSPO Certified Sustainable oil palm products at a location under the control of the organization including outsourced contractors. After the end product manufacturer, there is no further requirement for certification.
- 5.2.2 Any site that is looking for certification shall be operational at least three (3) months before an initial certification audit can be conducted.
- 5.2.3 The Supply Chain Certification shall take place at site level. Multi-site certification (Annex 2) or group certification (Annex 3) is possible under specific requirements.
- 5.2.4 Outsourced contractors shall be considered high risk if physically transforming products or if there is a risk of uncontrolled, non-deliberate or accidental cross-contamination resulting in mixing of certified and non-certified products.

5.3 Audit process requirements

Client application and contract

- 5.3.1 The CB shall ensure that any organization seeking or holding certification against the requirements of the RSPO is provided with necessary information concerning the RSPO Supply Chain Certification and the RSPO Rules on Market Communication and Claims. If potential clients have any further questions concerning the RSPO these shall be directed to the RSPO Secretariat.
- 5.3.2 The CB shall enter into a contractual agreement for certification services with the organization seeking or holding certification against the RSPO Supply Chain Standard and maintain all the records of all agreements before providing any service.

The contractual documents shall specify the scope, duration and costs related to the audit and outline the CB's and client's contractual rights and obligations. This shall include the client's right to object to the CB's audit process and this right shall be contained in the procedures of a CB. The contractual agreement shall include relevant provisions on confidentiality and declarations of interest.

Audit planning

- 5.3.3 The CB shall plan the on-site audit, consistent with the guidelines defined in the most recent revision of *ISO/IEC 17065*.
- 5.3.4 The CB may synchronise and combine RSPO Supply Chain audits with other on-site audits (such as food safety, quality, etc.) where possible and appropriate.
- 5.3.5 Certification bodies shall recognize certificates previously issued under RSPO Supply Chain Certification Systems by other RSPO accredited CBs.

Certification audit

- 5.3.6 The audit shall start with an opening meeting during which the CB shall inform the certification applicant about the certification process, agree logistics for the audit, confirm access to all relevant documents, field sites and personnel, explain confidentiality and conflicts of interest and agree on the timing of the closing meeting.
- 5.3.7 The CB shall review the management documentation of the applicant to ensure that all elements fully meet the requirements of the RSPO Supply Chain Certification Standard. The certification body shall clarify any issues or areas of concern with the organization seeking or holding certification.
- 5.3.8 The certification audit shall review whether the organizational systems, the management systems and the operational systems, including any documented policies and procedures of the organization seeking or holding certification, are sufficient and adequately implemented to meet the intent and requirements of the RSPO Supply Chain Certification Standard.

In cases where an organization seeking certification outsources activities to independent third parties, a risk assessment shall be done by the CB to determine whether an audit of the sub-contractor is required. If the outsourced contractor holds RSPO Supply Chain certification, then it does not require an additional audit.

- 5.3.9 The CB shall verify compliance of all outsourced activities (as specified in the RSPO SCC Standard) conducted by subcontractors engaged by an organization seeking or holding certification with the intent and requirements of the RSPO Supply Chain Certification Standard.
- 5.3.10 The certification audit shall review pertinent RSPO Supply Chain records relating to the receipt, processing and supply of certified oil palm products.

- 5.3.11 At the conclusion of the certification audit the CB shall conduct a closing meeting with the client's representative(s). During the closing meeting the CB shall ensure that:
- The client is informed that until they receive written confirmation of their RSPO Supply Chain certification and are awarded the certificate with an expiry date, they are not certified and cannot make any claims concerning certification.
 - The client is made aware of the findings of the audit team including any non-conformances which may result in a negative certification decision, or which requires further actions to be completed before a certification decision can be taken. Non-conformances issued for RSPO Supply Chain certification are all major.
 - A detailed record is compiled of the closing meeting including:
 - a list of the participants in the meeting;
 - a detailed description of the information supplied to the organization seeking or holding certification; and
 - a written record of the findings of the audit team and decision making by the duly designated representatives of the CB. The record of the closing meeting shall be signed (including by electronic signature) by the lead auditor and the most senior relevant management representative of the organization seeking or holding certification.
 - "No additional findings should be issued after the closing meeting record been signed by both parties"

Multi-site and group certifications

- 5.3.12 Multi-site and group certifications are permitted under certain circumstances. If a multi-site certification audit is conducted all rules in Annex 2 apply. If a group certification audit is conducted all rules in Annex 3 apply.
- 5.3.13 When a multi-site or group certification audit is conducted the CB(s) shall determine that the client's management system is adequate to ensure all sites under its control meet the RSPO Supply Chain Certification Standard and the intent thereof. A multi-site or group certification shall only be awarded if:
- The client's management system demonstrates it ensures compliance with the RSPO Supply Chain Certification Standard for all sites under its management; and
 - Compliance with the RSPO Supply Chain Certification Standard is established in all sites included in the audit sample.

Results

- 5.3.14 The CB or auditor shall prepare an audit report on the certification process against the requirements of the RSPO Supply Chain Certification Standard (see Annex 1 for minimum report content requirements).
- 5.3.15 All non-conformances shall be addressed to the satisfaction of the CB by the organization before certification is granted by the CB. If non-conformances are not satisfactorily addressed within three (3) months of the initial certification audit, a full re-audit shall be required. The CB shall assess the effectiveness of the corrective and/or preventive actions taken before closing out the non-conformances.
- 5.3.16 Where objective evidence indicates that there has been a demonstrable breakdown in the supply chain caused by the certified client's actions or inactions, and that oil palm products have been or are about to be shipped which are falsely identified as RSPO certified product, then immediate action shall be taken by the CB, and the RSPO Supply Chain certification shall be suspended until such time that the situation has been addressed. It is a requirement that the CB informs RSPO Secretariat within 24 hours of the decision to suspend certification.
- 5.3.17 If no non-conformances are observed at an audit or when the corrective action plan has satisfactorily addressed the raised non-conformance(s), the client shall be recommended for (re-)certification.
- 5.3.18 If certification is suspended or terminated, for example on the basis of lack of effective or non-satisfactory corrective actions, the site shall cease from making any certified product claim from the termination or suspension date and inform their supply chain clients within three (3) business days.
- 5.3.19 The CB shall forward the audit report to RSPO Secretariat within 14 days of closure of the last non-conformance.

Certification awarded

- 5.3.20 The CB shall prepare the Supply Chain Certificate according to the Certificate Template (Annex 4 of this document) and develop a Supply Chain Audit Report according to Annex 1 of this document.
- 5.3.21 Upon granting certification to the organization, The CB shall send a copy of the Supply Chain Certificate and the Supply Chain Audit Report to the RSPO Secretariat by uploading the documents and requesting for a license in the RSPO IT platform.

- 5.3.22 RSPO Secretariat will upload the Supply Chain Certificate on the RSPO website within 7 days. See RSPO website www.rspo.org.
- 5.3.23 The validity of Supply Chain Certificate shall be five (5) years with annual surveillance.

Surveillance audits

- 5.3.24 The CB shall undertake the first annual surveillance audit within twelve (12) months of the certificate issue date, but not earlier than eight (8) months after the certificate issue date. The subsequent annual surveillance audits shall be undertaken within twelve (12) months of the license expiration dates, but not earlier than eight (8) months after the expiration date.
- 5.3.25 A request for time extension of up to a maximum of three (3) months may be approved by the RSPO Secretariat. If a surveillance audit is not conducted within the required timeframe, unless due to the actions of the CB itself, the CB shall notify the organization and the RSPO Secretariat that the certificate is suspended, until the surveillance audit has been undertaken and the certification decision has been approved by RSPO Secretariat. The surveillance audit shall then be undertaken within six (6) months of the suspension date, otherwise an initial certification audit shall be carried out.
- 5.3.26 The surveillance audit shall review whether the organizational systems, the management systems and the operational systems, including any documented policies and procedures of the organization holding certification, are sufficient and adequately implemented to meet the intent and requirements of the RSPO Supply Chain Certification Standard.

In cases where an organization seeking certification outsources activities to independent third parties, a risk assessment shall be done by the CB to determine whether an audit of the sub-contractor is required. If the outsourced contractor holds RSPO Supply Chain certification, then it does not require an additional audit.
- 5.3.27 The surveillance audit shall review pertinent RSPO Supply Chain records relating to the receipt, processing and supply of certified oil palm products. These records shall be reviewed retrospectively to the date of the previous audit.

- 5.3.28 Non-conformances raised during surveillance audit against a certified organization are serious and the integrity of the RSPO Supply Chain Certification is at risk. A maximum of one (1) month is to be given to the certified organization to address the non-conformance. The CB shall assess the effectiveness of the corrective and/or preventive actions taken within 14 days after submission of the proposed corrective actions. Should the non-conformance not be satisfactorily addressed within the one (1) month plus 14 days timeframe, the certificate shall be suspended and subsequently terminated if the non-conformance is not addressed within an agreed timeframe as set by CB and client, not longer than three (3) months from the last day of the audit. A full re-audit shall then be necessary.
- 5.3.29 In order to maintain continuity of Supply Chain Certification, a full re-certification audit shall take place in the fifth year of the certification.
- 5.3.30 At every audit the CB shall verify the company's annual aggregated volume to determine whether the organization is under the correct RSPO membership category and that no overselling have taken place.
- 5.3.31 Only for audits involving mills, the CB shall assess whether an interim visit is required to confirm quantities if a site has informed them of a projected overproduction.
- 5.3.32 Only for audits involving mills, if the higher production volume is confirmed to be correct the CB shall provide the information to RSPO Secretariat through RSPO IT platform.
- 5.3.33 Only for audits involving mills, if there is underproduction, the CB shall provide the information to the RSPO Secretariat and the mill shall compensate the excess volume sold, should there be any, through buy-back of RSPO Credits.
- 5.3.34 Palm oil 'micro users' (organizations which use a very low volume of oil palm products, i.e. less than 1000KG of oil palm products per annum) shall undergo a remote audit by the CB instead of undergoing surveillance audits. Initial certification audits and recertification audits shall take place as normal, see Annex 3 of the RSPO Supply Chain Certification Standard.

5.4 Transfer of certification body

- 5.4.1 The new CB shall officially communicate with the previous CB.
- 5.4.2 The new CB shall be provided with the previous audit report, including details of any non-conformances.
- 5.4.3 Transfer of CB shall not be permitted until all non-conformances are closed or all financial obligations have been met.
- 5.4.4 After reviewing the documentation, a new certificate shall be issued to the organization by the new CB maintaining the previous certification expiry date. Upon issuance of the new certificate, the CB shall inform RSPO Secretariat by uploading the new certificate to the RSPO IT Platform.

5.5 Public availability of documentation

- 5.5.1 The following documents shall be made publicly available by the CB and/or the RSPO Secretariat upon request (and made available on the applicable website), as indicated:
- RSPO Supply Chain Certificate (RSPO Secretariat).
 - Procedures of the Certification Body for complaints and grievances and appeals, including resolution mechanisms (CB).
 - The list of certified organizations, which includes details of the scope of each certificate, i.e. which sites and/or processes are approved (RSPO Secretariat).

5.6 Conflict of interest

- 5.6.1 Procedures for identifying and managing conflicts of interest shall include provision for a specific independent committee, set up by the CB. The independent committee shall consist of at least three (3) external members, and shall meet at least annually with managers of the CB to formally review the CB's performance in this respect.
- 5.6.2 CBs and members of audit teams shall have maintained independence from the company or family of companies for a minimum of three (3) years to be considered not to have a conflict of interest. Independence in this context means neither having any family/personal relationships with people within the organization, nor having been employed in or by the organization being assessed, nor undertaking any consultancy activities or other service provision except for certification or verification activities.

- 5.6.3 The CB shall not use the same Lead Auditor for more than three (3) consecutive audits to the same organization, including if the lead auditor changes CB.
- 5.6.4 The CB shall not offer certification audits or surveillance audits for any organization to which it has provided management advice or technical support related to the scope of RSPO certification, or with whom it has any relationship which creates a threat to impartiality. This excludes the provision of RSPO-endorsed training.
- 5.6.5 Records of the conflict of interest committee's discussions, recommendations and consequent corrective actions shall be maintained for at least five (5) years.
- 5.6.6 Any person or entity engaged by the CB or the CB itself shall:
- Declare any and all interests which may potentially affect the certification process and/or which could possibly constitute a conflict of interest, in advance of engaging in a certification process against the requirements of the RSPO Supply Chain Certification Standard.
 - Report any circumstance or pressure that may influence its independence or confidentiality immediately to the executive management of the CB. The executive management of the CB shall notify the RSPO Secretariat and its chosen accreditation body of any such report and ensure that any such report is included in the certification report of the certification process and in the file of the client.
 - Only engage in services for a client if the CB can demonstrate that it has not engaged in certification of the same client against the RSPO Supply Chain Certification Systems. Doubtful cases shall be discussed with RSPO Secretariat, prior to engaging with the client.
- 5.6.7 The CB procedures shall include the contractual obligation for all personnel including subcontracted personnel such as consultants contributing to certification decisions to disclose in writing to the CB all possible and actual conflicts of interest, at the time that the conflict or possibility of conflict becomes evident. Note: a relationship that threatens the impartiality of the CB can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing and payment of a sales commission, or any other inducement for the referral of new clients etc. (See IAF definition of related body.)

5.7 Mechanisms for complaints and grievances

- 5.7.1 Procedures shall include a mechanism for complaints, grievances and appeals concerning certified organizations that is open to any interested party in accordance with the most recent revision of *ISO/IEC 17065*.

5.8 Control of claims

- 5.8.1 Certification audit, surveillance procedures, and Book and Claim audits shall include provision for ensuring compliance with RSPO requirements for the control of claims, as detailed in RSPO Rules on Market Communication and Claims. If multiple Supply Chain models are used in parallel, a sample of claims relating to the use of RSPO Certified Sustainable oil palm products shall be checked.

Annex 1: Supply Chain Audit Report

A.1.1 Content requirements

The audit report may be a compilation of several documents. The CB shall include the following minimum content requirements when preparing a supply chain certification report, which shall not be made public with exception to independent mill audit report which shall be made available publicly:

| | |
|--|--|
| <i>Certified company details</i> | Name, RSPO member number, and address of the organization certified and all relevant sites of organization(s) seeking or holding certification including contact details of the management representative responsible for overseeing the certification process and parent company if any. |
| <i>Certification body details</i> | CB certificate number, date of accreditation. |
| <i>Summary</i> | A summary of the report, including non-conformances, corrective actions, and the date of closure of NCs. |
| <i>Certificate details</i> | Certificate number, validity of certification (start and end date), and date of first certification. |
| <i>Background to the report</i> | <p>a) Auditor (s):</p> <ul style="list-style-type: none"> • The name(s) of the auditor(s) • The name(s) of the management representatives of the CB involved in making the certification decision. <p>b) Previous audits (if applicable):</p> <ul style="list-style-type: none"> • Summary of previous certification audits and conclusion, with recommendations or non-conformances. <p>c) On-site visits:</p> <ul style="list-style-type: none"> • Itinerary with dates • The main items and sites inspected • Names and affiliations of people consulted. |

| | |
|---|---|
| Scope | A clear description of the scope of the audit including the supply chain model(s) used. |
| Description of operation's management system | A clear description of the organizational systems, management systems and operational systems to ensure compliance with the RSPO Supply Chain Certification Systems. |
| Certified quantity purchased and claimed | <p>Company's confirmed annual aggregated volumes record based on the estimate volume of palm oil / palm kernel oil content (in separate categories) in the RSPO certified oil palm product and an up to date record of the aggregated volume purchased (input) and claimed (output) over a period of twelve (12) months.</p> <p>For organizations using the RSPO IT Platform, the trading records has to be verified.</p> |

A.1.2 Information requirements for mills

The public summary audit report of the mill shall contain the following in table format:

- Mill capacity (in terms of processing FFB)
- Records of certified Fresh Fruit Bunches (FFB) received on monthly basis.
- Last license year's certified volume CSPO and CSPK
- Last license year's actual sold volume CSPO and CSPK
- Last license year's actual sold volume PO and PK under other schemes
- Last license year's actual sold volume PO and PK as conventional
- New license year's certified volume CSPO and CSPK
- Model of certification (IP and/or MB)
- Name and location of certified units

Annex 2: Multi-site certification

A.2.1 Criteria for eligibility

- All facilities included in the multi-site certification shall be represented by a Central Office.
- The Central Office shall document and implement clear rules regarding eligibility for the participation of sites in the certificate.
- All participating sites shall have a legal and/or contractual relationship with the Central Office.
- Multi-site certification is not restricted to a single country and can be performed across borders.

A.2.2 Criteria for operation

- A common centrally administered and documented internal control system (ICS) shall be used and monitored by the Central Office.
- The Central Office shall appoint a management representative with overall responsibility for ensuring that all participating sites comply with the RSPO supply chain certification standard. Internal audits of all participating sites shall be carried out on an annual basis and shall be reviewed and recorded at the Central Office.
- Different operations within the multi-site certification shall be grouped by sets. The main sets shall operate a common management system and may be classified as follows:
 - Refining and blending
 - Kernel Crushing Plants
 - Storage and distribution
 - Processing (including secondary processing after the refinery)
 - Production (final manufacture of end product)
- At least one (1) site from each set shall be included in an audit sample.

- Central Office functions shall be audited annually.

A.2.3 Certificates

- Certificates of compliance shall be awarded to organizations who have been audited by the certification body (CB) and who have demonstrated full compliance.
- The certificate shall be issued in the name of the Central Office, listing all other participating sites.
- Certificates shall be valid for a period of five (5) years and subject to annual surveillance audits.

A.2.4 Sample audit formula

Certification audit

Square root of the total number of participating sites, rounded up to the next whole number, plus Central Office.

Surveillance audit

Square root of the total number of participating sites, multiplied by a coefficient of 0.6 rounded up to the next whole number, plus Central Office.

Re-certification audit

Square root of the total number of participating sites, multiplied by a coefficient of 0.8 rounded up to the next whole number, plus Central Office.

A.2.5 Scope extension

To add a site into an existing multi-site certification:

- Square root of number of participating sites to be added, rounded up to the next whole number, plus Central Office functions.
- Internal audits of the sites that are to be added shall be completed prior to adding to the multi-site certification.
- If the multi-site scope extension is combined with the existing surveillance audits then this shall be in addition to existing audit requirements (i.e. additional audits shall be needed to account for these additions).

A.2.6 Suspension/removal

If there is a non-conformance at one (1) participating site this can lead to suspension of the whole multi-site certificate. The Central Office has the option to voluntarily remove that participating site from the multi-site certificate.

To add the site back in, scope extension rules apply (see section A.2.5 on Scope extension, above).

Annex 3: Group certification

A.3.1 Criteria for eligibility

- All members included in the group certification shall be represented by a Group manager.
- The Group manager shall document and implement clear rules regarding eligibility for members' participation in the certificate.
- All group members shall have a legal and/or contractual relationship with the Group Manager.
- Group certification is not restricted to a single country and can be performed across borders.
- Group members shall be:
 - Separate legal entities
 - Use up to 500 MT of oil palm products per year
- Micro users can be part of group membership.
- Palm oil mills cannot join a group, with the exception of independent palm oil mills without their own supply base and producing up to 5000 MT palm oil products per year. (Modules D and E are therefore not applicable.)

A.3.2 Criteria for operation

The RSPO Supply Chain Certification system shall be operated by a Group Manager.

- A common centrally administered and documented internal control system (ICS) shall be used and monitored by the Group manager.
- The Group entity shall appoint a Group Manager who is appointed management representative with overall responsibility for ensuring that all group members comply with the RSPO Supply Chain Certification standard requirements. Internal audits of group members shall be carried out on an annual basis and shall be reviewed and recorded by the Group Manager.

- Different operations within the Group certification shall be grouped by sets. The main sets shall operate a common management system and may be classified as follows:
 - Refining and blending
 - Transport and distribution
 - Processing (including secondary processing after the refinery)
 - Production (final manufacture of end product)
- – At least one (1) site from each set shall be included in an audit sample.
- The Group Manager shall be audited annually.

A.3.3 Certification

- A certificate of compliance shall be awarded to Group entity who have been audited by the CB and who have demonstrated full compliance.
- The certificate shall be issued in the name of the Group entity listing all other Group members.
- Certificates shall be valid for a period of five (5) years and subject to annual surveillance audits.

A.3.4 Audit formula

Initial Group manager audit

Upon application, the Group manager shall be audited to ensure it can effectively manage a Group scheme and a maximum growth rate for the Group scheme for the first year is established between the CB and the Group Manager.

During the first year, the Group manager conducts internal audits on its group members and submits these to the CB who then adds the new members to the certificate up to the agreed maximum.

Group member initial audit

After twelve (12) months, the CB shall calculate the audit requirements for the Group scheme as follows;

The square root of the total number of members, rounded up to the next whole number plus Group manager audit.

A.3.5 Surveillance audits

After the first year, a group is allowed to grow by a maximum of double the number of members at the start of the year. At the end of the second year, or when the maximum growth is achieved, the audit sample is established for the following twelve (12) months, as follows.

Square root of number of existing members multiplied by 0.6 (or 0.8 in the fifth year the group has held certification and therefore recertification is required) rounded up to the next whole number plus square root of number of new members rounded up to the next whole number, plus Group manager audit.

This process is repeated every year the scheme grows. If in any year, the scheme does not grow or has negative growth then only one sample calculation is required.

To add a new member into an existing Group certification:

- Square root of number of group members to be added together with Group Manager to be audited.
- Internal audits of the sites that are to be added shall be completed prior to adding to the Group certification.
- The Group manager has to show evidence of an internal audit of the new site.

If the Group scope extension is combined with the existing surveillance audits then this shall be in addition to existing audit requirements.

A.3.6 Suspension / removal

If there is a non-conformance by a group member this can lead to suspension of the whole Group certificate. The Group Manager has the option to voluntarily remove that group member from the Group certificate.

To add the member back in, scope extension rules apply (see section A.3.5 on Scope extension).

Annex 4: Certificate – template

The following template shall be used. Important information shall be located in the centre of the certificate or with clear visibility so it can be easily read. The area around it may be used for the specific logo, colour scheme and further information that the CB wishes to include on the certificate.

Based on an audit according to the requirements stated in the RSPO Supply Chain Certification Systems, version [month, year], and a signed contract, [Name CB] herewith certifies that the site(s) listed below are found to be in compliance with the RSPO Supply Chain Certification Standard, version [month, year]. This guarantees that the criteria for processing RSPO certified oil palm products through one (1) or more of the supply chain models as stated in the RSPO Supply Chain Certification Systems have been met.

Name certified company ABCDEF Sdn. Bhd.
Full address certified company Oil Processing Road
 Industrial complex refinery
 12
 Selangor, Malaysia

RSPO number (if applicable)

Other sites certified (see second page) YES / NO

RSPO registered parent company (if applicable) KLMNOP Sdn. Bhd

RSPO Membership number of parent company 12-3456-000-00

Scope of Certification :

Purchase of RSPO certified palm oil and palm kernel oil, processing into derivatives and sales into the market

Certificate Start date DD-MM-YYYY
Certificate Expiration date DD-MM-YYYY
Date of first certification DD-MM-YYYY

Certificate number XYZ-123-456-789
Supply chain model Identity Preserved (IP)
 Segregation (SG)
 Mass Balance (MB)

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| |
| |

Issued by Certification Body
Authorised signatory name NAME
Authorised signature x x x x

[Name CB] was accredited to provide RSPO Supply Chain Certification on xxxx

This certificate remains property of [Name CB] and can be withdrawn in case of terminations as mentioned in the contract or in case of changes or deviations of the above-mentioned data. The licensee is obliged to inform [Name CB] immediately of any changes in the above-mentioned data. Only an original and signed certificate is valid.

Annex 5: Supply Chain Yield Schemes

A.5.1 Conversion One to One from Identity Preserved / Segregated to Mass Balance

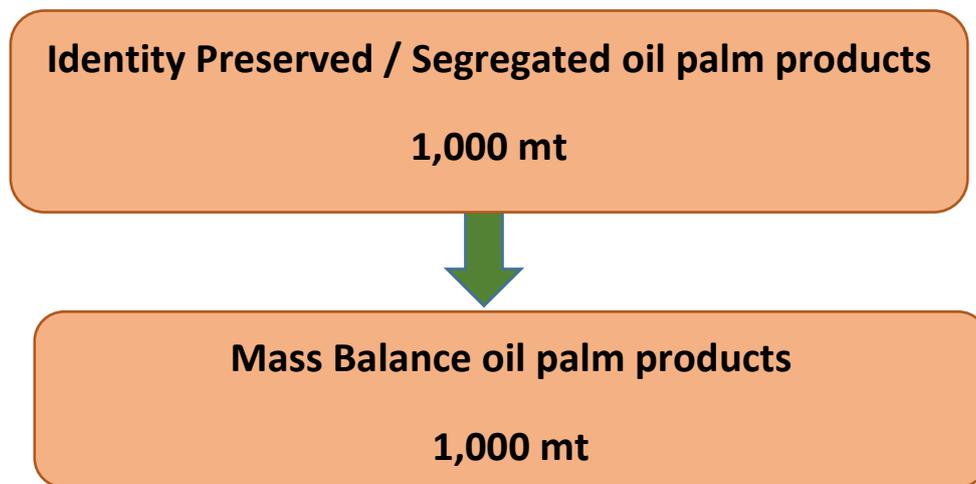


Figure 1: Conversion 1 to 1 IP/SG to MB

A.5.2 Palm Oil Yield Scheme

The values shown in the palm oil yield scheme below are fixed and cannot be modified. Organizations may use their own actual yields provided these can be justified during the audit. Otherwise the rates shown below shall be used as shown.

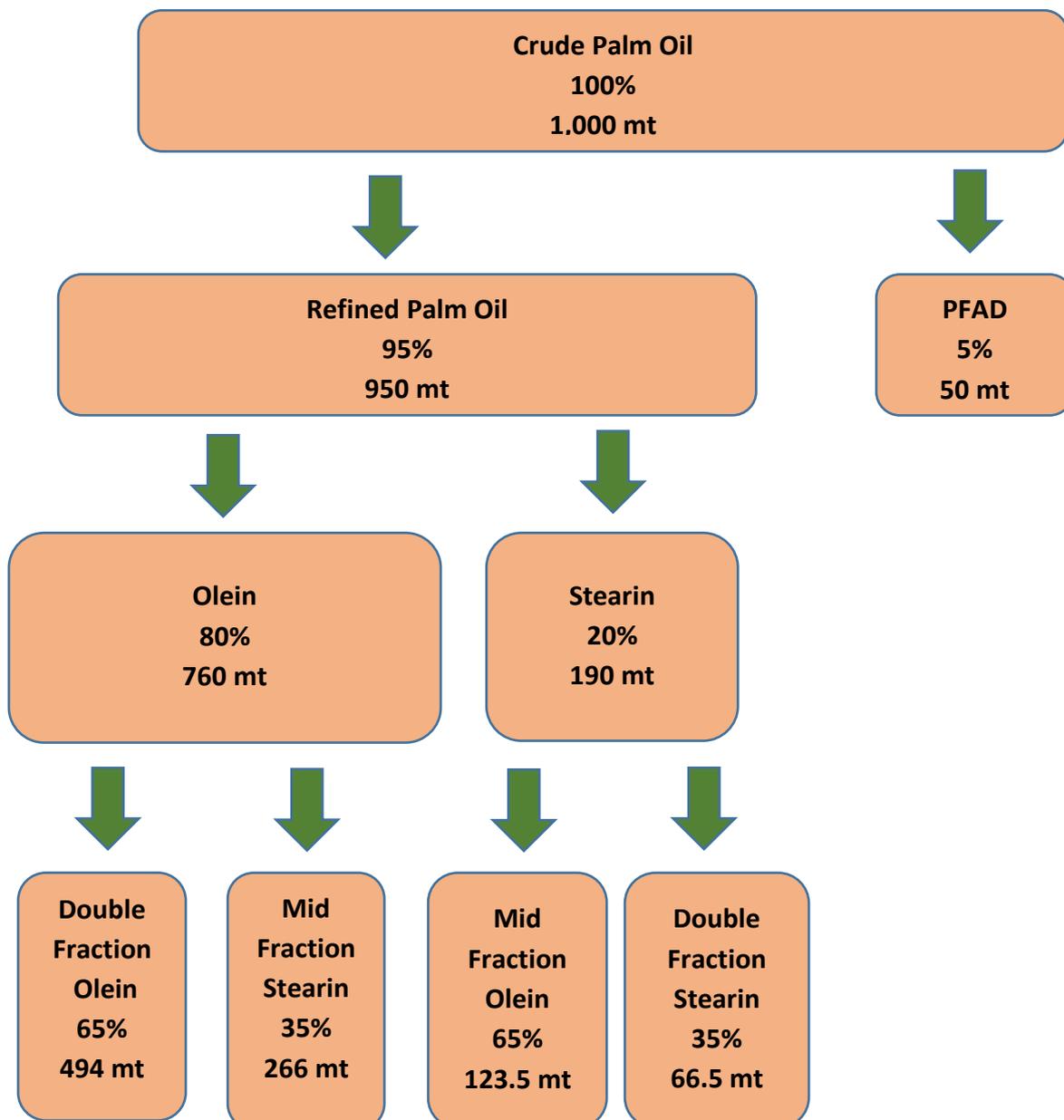


Figure 2: Palm Oil Yield Scheme

A.5.3 Palm Kernel Oil Yield Scheme

The values shown in the palm kernel oil yield scheme below are fixed and cannot be modified. Organizations may use their own actual yields provided these can be justified during the audit. Otherwise the rates shown below shall be used as shown.

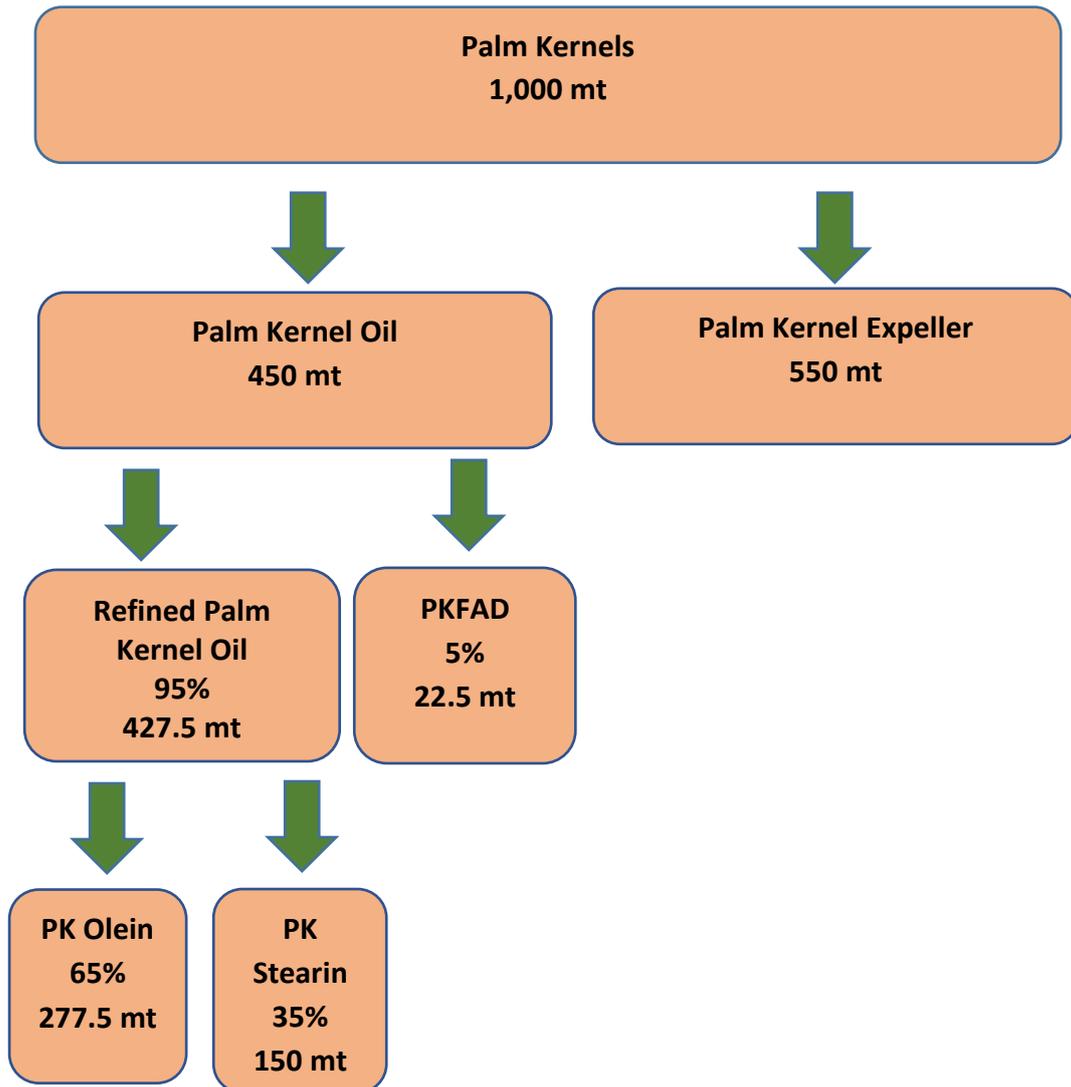


Figure 3: Palm Kernel Oil Yield Scheme

Annex 6: Book and Claim Audit Process Requirements

- A.6.1 Book and Claim audits shall be conducted once the qualifying level of 500 RSPO credits have been claimed for a period of twelve (12) months by an organization. Where the claim is transferred, the qualifying level of 500 RSPO Credits applies to the organization to which the claim is transferred.
- A.6.2 Once the qualifying level of 500 RSPO Credits have been claimed, organizations who have not completed the audit shall not be able to participate in the Book and Claim supply chain model.
- A.6.3 The Book and Claim audits shall either be conducted as a remote audit or combined with RSPO Supply Chain audits or other on-site audits (such as food safety, quality, etc) where possible and appropriate.
- A.6.4 Book and Claim audits shall review the volume of oil palm products used by the organization, volumes claimed under the Book and Claim supply chain model and claims made by the organization.
- A.6.5 The CB or auditor shall prepare an audit report on the outcomes of the audit.
- A.6.6 If non-conformances are found, a maximum of one (1) month is to be given to the organization to address the non-conformance. The CB shall assess the effectiveness of the corrective and/or preventive actions taken within 14 days after submission of the proposed corrective actions. Should the non-conformance not be satisfactorily addressed within the one (1) month plus 14 days timeframe, the organization shall not be able to participate in the Book and Claim supply chain model.
- A.6.7 If no non-conformances are observed at an audit or when the corrective action plan has satisfactorily addressed the raised non-conformance(s), the client shall be licensed to participate in the Book and Claim supply chain model.
- A.6.8 The CB shall forward the audit report to RSPO Secretariat within 14 days of closure of any non-conformance through the RSPO IT platform.