RSPO P&C 2013:
Audit Checklist for assessing compliance

RSPO
Roundtable on Sustainable Palm Oil

CERTIFIED SUSTAINABLE PALM OIL™
RSPO

Purpose

RSPO Principles & Criteria (RSPO P&C) 2013 is a generic standard that provide global definition for the production of sustainable palm oil. The standard is applied to the crude palm oil mill as well as to the supply base producing the fresh fruit bunches (FFB). The standard was designed to provide the principle, criteria, indicators and guidance for the production of sustainable palm oil. This checklist is a supporting document prepared to aid auditors in assessing compliance of each requirement. It can also be used by the company to design their management system for adherence to the stated requirement.

Introduction

The Roundtable on Sustainable Palm Oil (RSPO) scheme, which is the main industry standard for sustainable palm oil, outline principles and critera that are decided and reviewed every five years by a committee/taskforce comprised of RSPO members. These are requirements that palm oil growers and millers must fufill in order to qualify as producers of Certified Sustainable Palm Oil (CSPO).

The approved Certification body (CB) by RSPO assessed/audited a certification unit (mill and its supply base) against the first set of P&C, Indicator and Guidance which have been applied since November 2007. Based on many years worth of experience, there are still inconsistency during the audit process that may results in different findings by the CBs.

Hence, the RSPO decided to produce a generic audit checklist which reflects to the minimum requirements to comply with RSPO P&C 2013. The objective of this document is to ensure that the assessments carried out by the RSPO accredited CBs are consistent and objective driven.

There are four sections in this document:

Section 1 – Template for Records
Section 2 – P&C Checklist
Section 3 – Checklist for Supply Chain Audit of the Mill
Section 4 – Checklist on elements stipulated in the RSPO System Document

It is the responsibility of the lead auditor to guide his/her team members (and local experts) to ensure that consistent and accurate assessment take place. The RSPO Secretariat encourages all accredited CBs to adopt this document for every assessments and incorporate the additional requirements of the NIs into the checklist.

This document will be updated from time to time by the RSPO Secretariat to reflect any additional or latest requirements. If further clarifications required, please contact the RSPO Secretariat.

Section 1 – Template for records

This table is a compilation of basic information on the certified unit and could be used as a starting point for an audit. The statistical information to be included are figures obtained through desk or field assessments but have been audited by the CB. The information captured must be consistent with those tabulated in the audit report, which is to be made publicly available. The document must be signed off by the lead auditor prior to submission to the RSPO IT trading platform (eTrace).

P&C CERTIFICATION : REPORT SUMMARY TABLE

1. CERTIFICATIONS DETAILS		
Name of RSPO Member		
RSPO Membership Number		
Name of Certification Unit		
Name of Certification Body		
Name of Lead Auditor		
Certificate		
Certificate number		
Start date certificate (dd/mm/yy)	** Certificate validity - Five years*	
End date certificate (dd/mm/yy)		
Audit		
Assessment Type	Initial Certification	** Please select from dropdown menu*
Date of Audit (dd/mm/yy)		
Start date License (dd/mm/yy)	** License validity - One year*	
End date License (dd/mm/yy)		
2. MILL'S DETAILS		
Name of Mill(s)		
Address		
City / Town		
State		
Country		
Mill GPS Location		
Contact Person		
Tel		
Email		
Mill Capacity (mt/hr)		
Program level / Supply Chain Model (IP/MB)		
3. GROUP CERTIFICATION DETAILS		
Name of Group		
Name of Group Manager		
Address		
City / Town		
State		
Country		
Contact Person		

Tel	
Email	

4. PRODUCTION

	Estate	Scheme/Associated SH	Independent SH	Outgrowers
Number of Production Unit				
Number of Individual Smallholders	n/a			n/a
Certified Area (ha)				
Production Area (ha)				
HCV Area (ha)				
Certified FFB Processed (mt)				
Mill Certified Volume (CSPO) (mt)		n/a	n/a	n/a
Mill Certified Volume (CSPK) (mt)		n/a	n/a	n/a

5. RSPO RED

	Estate	Scheme/Associated SH	Independent SH	Outgrowers
Certified Area (ha)		n/a	n/a	
Production Area (ha)		n/a	n/a	
Certified FFB Processed (mt)		n/a	n/a	
CSPO (mt)		n/a	n/a	
Number of Individual Smallholders	n/a	n/a	n/a	n/a
GHG emissions (gCO2e/MJ)				
Calculation option	Default	* Please select from dropdown menu		

6. Supply of Non-certified FFB from Associated/Scheme Smallholder

	Scheme/Associated SH	Scheme/Associated Outgrower		
Volume of non-certified FFB (mt)				
Production Area (ha)				
Number of Individual Smallholders/Outgrower				
Name of Cooperative/Association (if relevant)				

Prepared by :

Verified by :

Date of Submission to RSPO:

Note: RSPO Secretariat has the right to request for corrections (hence deny approval for annual license) if there are errors or inconsistency in the data/information submitted.

Section 2 – P&C Checklist

The checklist provided in the last column of the P&C table below are a series of minimum questions to be asked by the auditor while auditing compliance on the specific indicator. Failing to have satisfactory answer to the question may indicate non-compliance to the requirement.

NO.	CRITERION	INDICATOR	CHECKLIST
	Principle 1: Commitment To Transparency		
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.	**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. ***Specific Guidance:*** ***For 1.1.1:*** *Evidence should be provided that information is received in appropriate form(s) and language(s) by relevant stakeholders. Information will include information on the RSPO mechanisms for stakeholder involvement, including information on their rights and responsibilities.*	a. Does the company maintain a list of stakeholders? (E.g. listed by category and stakeholders listed should be site specific) b. What is the frequency of updating the stakeholder list? c. Is there evidence of stakeholder verification? d. What type of information is provided? (E.g. Environmental, social and legal) e. What is the frequency and level of access to this information? f. How and where is the information disseminated? g. Who is responsible for providing & updating information? h. Is there an SOP available to describe the process (of information sharing/dissemination)? i. Are stakeholders aware of the type of information available and the procedures for accessing the information?
		1.1.2 (M) Records of requests for information and responses shall be maintained. ***Guidance:*** *Growers and millers should have a Standard Operating Procedure (SOP) to respond constructively to stakeholders, including a specific timeframe to respond to requests for information. Growers and millers should respond constructively and promptly to requests for information from stakeholders.* *Growers and millers should ensure that sufficient objective evidence exists to demonstrate that the response is timely and appropriate.* *See Criterion 1.2 for requirements relating to publicly available documentation.* *See Criterion 6.2 on consultation.* *See Criterion 4.1 on SOPs.*	a. Does the company have an SOP to ensure constructive response to stakeholders? b. Who is the personnel in charge (PIC)? c. Does the SOP cover the elements under 1.1.1? d. Is there a clear time frame for response to request for information? e. Are records of requests for information and responses maintained? f. Are responses to requests for information timely and appropriate?
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.	**1.2.1** (M) Publicly available documents shall include, but are not necessarily limited to: • Land titles/user rights (Criterion 2.2); • Occupational health and safety plans (Criterion 4.7); • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); • HCV documentation (Criteria 5.2 and 7.3); • Pollution prevention and reduction plans (Criterion 5.6); • Details of complaints and grievances (Criterion 6.3); • Negotiation procedures (Criterion 6.4); • Continual improvement plans (Criterion 8.1); • Public summary of certification assessment report; • Human Rights Policy (Criterion 6.13).	a. How are the management documents listed in (c) below made publicly available? b. Where are the documents placed? c. Is the information provided adequate? Note: At minimum, an information summary of the document listed below should be made available. • Land titles/user rights (Criterion 2.2) -Legal boundaries ,land use, classification, total area, grant title, permit validity , NCR rights, • Occupational health and safety plans (Criterion 4.7); -risk assessment and mitigation ,emergency response plan, training, accident records • Plans and impact assessments relating to environmental and social impacts (Criteria 5.1, 6.1, 7.1 and 7.8); -main social and environmental impacts and mitigation measures, • HCV documentation (Criteria 5.2 and 7.3);

NO.	CRITERION	INDICATOR	CHECKLIST
		Guidance: *This concerns management documents relating to environmental, social and legal issues that are relevant to compliance with RSPO Criteria.* *Management documents will include monitoring reports.* *The auditors will comment on the adequacy of each of the documents listed in the public summary of the assessment report.* *Examples of commercially confidential information include financial data such as costs and income, and details relating to customers and/or suppliers. Data that affects personal privacy should also be confidential.* *Ongoing disputes (within or outside of a legal mechanism) can be considered as confidential information where disclosure could result in potential negative outcomes for all parties involved. However, affected stakeholders and those seeking resolution to conflict should have access to relevant information.* *Examples of information where disclosure could result in potential negative environmental or social outcomes include information on sites of rare species where disclosure could increase the risk of hunting or capture for trade, or sacred sites which a community wishes to maintain as private.* *Growers and millers should ensure that sufficient objective evidence exists to demonstrate that the level of measuring and monitoring of the management plan, and information, is appropriate and made available.*	-identification on HCV areas, maps, management and monitoring HCV • Pollution prevention and reduction plans (Criterion 5.6); -identification of pollutants, management and reduction measures • Details of complaints and grievances (Criterion 6.3); -nature of complaints, parties involved, status of case • Negotiation procedures (Criterion 6.4); -SOP, consultative, neutral, inclusiveness, timeframe, responsibility • Continual improvement plans (Criterion 8.1); - for all elements under 8.1, • Public summary of certification assessment report; - follow RSPO format • Human Rights Policy (Criterion 6.13). - policy statement should comply to the requirements of 6.13 d. Do the management documents contain monitoring plans and reports? e. Are all monitoring reports publicly available?
1.3[1]	Growers and millers commit to ethical conduct in all business operations and transactions.	**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. ***Guidance:*** *All levels of the operations will include contracted third parties (e.g. those involved in security). The policy should include as a minimum:* • *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.* *The policy should be set within the framework of the UN Convention Against Corruption, in particular Article 12.*	a. Is there a written policy committing to a code of ethical conduct and integrity in all operations and transactions? b. Does the policy include as a minimum: • 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? c. Is the policy documented and communicated to all levels of the workforce and operations, including contracted third parties? How is it communicated? d. Are the documentation and communication done in the appropriate languages? Note to auditor: The workforce should be interviewed to determine level of understanding of policy
	Principle 2: Compliance With Applicable Laws and Regulations		

[1] New Criteria - Growers and millers commit to ethical conduct in all business operations and transactions.

NO.	CRITERION	INDICATOR	CHECKLIST
2.1	There is compliance with all applicable local, national and ratified international laws and regulations.	**2.1.1** (M) Evidence of compliance with relevant legal requirements shall be available. ***Guidance:*** *Implementing all legal requirements is an essential baseline requirement for all growers whatever their location or size. Relevant legislation includes, but is not limited to: regulations governing land tenure and land-use rights, labour, agricultural practices (e.g. chemical use), environment (e.g. wildlife laws, pollution, environmental management and forestry laws), storage, transportation and processing practices. It also includes laws made pursuant to a country's obligations under international laws or conventions (e.g. the Convention on Biological Diversity (CBD), ILO core Conventions, UN Guiding Principles on Business and Human Rights). Furthermore, where countries have provisions to respect customary law, these will be taken into account.* *Key international laws and conventions are set out in Annex 1* *Contradictions and inconsistencies should be identified and solutions suggested.*	a. Is the complete list of legal requirements available? (Refer to relevant NIs or LIs for list of legal requirements) b. Does the company have copies of the legal requirements? Note to auditor: A due diligence on the company/area or management unit on legal compliance should be conducted prior to field audit. Any non-compliance should be verified during the field audit. Relevant legislation includes, but is not limited to: regulations governing land tenure and land-use rights, labour, agricultural practices (e.g. chemical use), environment (e.g. wildlife laws, pollution, environmental management and forestry laws), storage, transportation and processing practices. It also includes laws made pursuant to a country's obligations under international laws or conventions (e.g. the Convention on Biological Diversity (CBD), ILO core Conventions and UN Guiding Principles on Business and Human Rights.
		2.1.2 A documented system, which includes written information on legal requirements, shall be maintained.	a. Is there a document system which includes the following? - Personnel in charge to manage - Set of legal documents - Comprehensive list of international, national, sub-national and provincial laws which details the requirements of specific to the mill and estate operations. - Relevant sections within the law that is identified and linked to activities b. Are the documents available to all levels of management?
		2.1.3 A mechanism for ensuring compliance shall be implemented.	a. Is an internal audit for legal compliance conducted annually and documented?
		2.1.4 A system for tracking any changes in the law shall be implemented. ***Specific Guidance:*** ***For 2.1.4:*** *The systems used for tracking any changes in laws and regulations should be appropriate to the scale of the organisation.*	a. Is there a documented methodology (e.g.: personnel in charge (PIC), source of info, frequency of update) for tracking changes and communication of changes to relevant sections of the legislation?
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.	**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.	a. Are there documents showing legal ownership or lease of the land available? (e.g. land titles, lease documents) b. Are there documents showing history of land tenure available? (e.g. legal documents showing land status change, SIA and EIA reports, HCV assessment reports) c. Are there documents showing the actual legal use of the land available? d. Are the documents complete?

NO.	CRITERION	INDICATOR	CHECKLIST
		2.2.2 Legal boundaries shall be clearly demarcated and visibly maintained. ***Specific Guidance:*** ***For 2.2.2****: Plantation operations should cease on land planted beyond the legally determined area and there should be specific plans in place to address such issues for associated smallholders.*	a. Is there a legal map showing location of boundary markers? b. Is there physical presence of boundary markers? c. Is there an SOP for boundary demarcation and maintenance? Note to auditor: Ground verification of boundary markers using GPS should be conducted. Priority should be on boundaries with other estates, community areas, protected area and rivers <u>In the case of Associated Smallholders:</u> d. Are there documents showing that the boundaries of associated smallholders have been recorded and verified by the mill? e. In case of boundary breach, is there proof of a mitigation plan being implemented?
		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).	a. Are there, or have there been any land disputes? Note to auditor: Due diligence should be conducted on the management to provide evidence that there has been no historical or current land dispute b. If there are or have been disputes, are there: - Documents to proof legal acquisition? - Records of FPIC process? c. If there has been acquisition involving compensation, are there: - Records that Fair compensation has been provided and accepted by parties involved? - Records that all affected parties are consulted and represented? - Documents of negotiations/discussion available? Note to auditor: There should be direct verification of above with the affected parties
		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. ***Guidance*** *Where there is a conflict on the condition of land use as per land title, growers should show evidence that necessary action has been taken to resolve the conflict with relevant parties.* *A mechanism should be in place to resolve any conflict (Criteria 6.3 and 6.4).* *Where operations overlap with other rights holders, companies should resolve the issue with the appropriate authorities, consistent with Criteria 6.3 and 6.4.*	a. Does the company have cases of significant land conflict? (i.e. preventing the company from operating normally) b. If the company has cases of conflict, are records of the following available? - Status of conflict - SOP/ mechanism for conflict resolution - Implementation of SOP/mechanism - Acceptance of the procedures by all parties - Records of conflict resolution
		2.2.5 For any conflict or dispute over the land, the extent of the disputed area shall be mapped out in a participatory way with involvement of affected parties (including neighbouring communities where applicable).	a. Is there an SOP for participatory mapping of disputed area? b. Is a dispute map available? c. Is there documented evidence of involvement and acceptance by the affected parties? Note to auditor: Actual ground verification showing the accuracy of the dispute map should be conducted

NO.	CRITERION	INDICATOR	CHECKLIST
		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. ***Specific Guidance:*** ***For 2.2.6:*** *Company policy should prohibit the use of mercenaries and para-militaries in their operations. Company policy should prohibit extra-judicial intimidation and harassment by contracted security forces (see Criterion 6.13).*	a. Does the company have a policy to circumvent instigated violence to maintain peace and order in current and planned operations? b. Is there any evidence of: - The use of confrontation and intimidation by the company to maintain peace and order? - Use of para-militaries and mercenaries in the plantation?
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.	**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). ***Guidance:*** *All indicators will apply to current operations, but there are exceptions for long-established plantations which may not have records dating back to the time of the decision making, in particular for compliance with Indicators 2.3.1 and 2.3.2.* *Where there are legal or customary rights over land, the grower should demonstrate that these rights are understood and are not being threatened or reduced. This Criterion should be considered in conjunction with Criteria 6.4, 7.5 and 7.6. Where customary rights areas are unclear these should be established through participatory mapping exercises involving affected parties (including neighbouring communities and local authorities).* *This Criterion allows for sales and negotiated agreements to compensate other users for lost benefits and/or relinquished rights. Negotiated agreements should be non-coercive and entered into voluntarily, carried out prior to new investments or operations, and based on an open sharing of all relevant information. The representation of communities should be transparent and in open communication with other community members. Adequate time should be given for customary decision making and iterative negotiations allowed for, where requested. Negotiated agreements should be binding on all parties and enforceable in the courts. Establishing certainty in land negotiations is of long-term benefit for all parties.* *Companies should be especially careful where they are offered lands acquired from the State by its invoking the national interest (also known as 'eminent domain').* *Growers and millers should refer to the RSPO approved FPIC guidance ('FPIC and the RSPO: A Guide for Companies', October 2008)*	a. Does the company have an SOP on FPIC? b. Is there evidence that the identification of legal, customary or user rights has been done through FPIC process? c. Is there evidence that the FPIC process has been implemented in accordance to the company SOP? Where is this evidence recorded? (E.g.: Documents, Minutes of meeting, Records, Agreements, Maps etc.) d. Is there a map of the extent of legal, customary or user rights? Is this map of appropriate scale (1: 10,000)? e. Was the map produced through participatory mapping with reference to SIA and HCV assessment? f. Does the map have a title, legend, source, scale and projections/georeference? g. Are the maps accepted by the relevant communities?
		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 that information has been provided to all affected groups, including information on the steps that shall be taken to involve them in decision making; 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; c) Evidence that the legal, economic, environmental and social implications for permitting operations on their land have been understood and accepted by	a. Are copies of negotiated agreements with affected parties available? b. Is there evidence that the agreement is prepared through proper FPIC process? c. Does the agreement contain the following: - An action plan developed through consultation with affected parties, is inclusive and evidence that members of affected parties are well informed and involved in the decision making process - Evidence of options to give or withhold consent for development - Evidence that members of the affected communities understand and accept the implication involved in permitting/rejecting oil palm development on their land (E.g.: legal status, social, environmental, economic) - Evidence that the negotiated agreement was entered voluntarily without coercion by all parties

NO.	CRITERION	INDICATOR	CHECKLIST
		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.	- Evidence that adequate time was given for customary decision making and iterative negotiations - Clause which states that the negotiated agreement is legally binding
		2.3.3 All relevant information shall be available in appropriate forms and languages, including assessments of impacts, proposed benefit sharing, and legal arrangements.	a. Is there evidence that all the information (maps, agreement, records, impact assessment, benefit sharing and legal arrangements) is available in appropriate forms and languages, understood and accessible to affected parties? Note to auditor: this should be cross checked to a sample of the affected parties
		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. ***Specific Guidance:*** ***For 2.3.4:*** *Evidence should be available from the companies, communities or other relevant stakeholders.*	a. Who is the representative of the community in the negotiation process? b. Is the representative accepted by the community? c. Is the record of appointment to represent the community available and shared with other parties?
	Principle 3: Commitment to Long-term Economic and Financial Viability		

3.1	There is an implemented management plan that aims to achieve long-term economic and financial viability.	**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.
		Specific Guidance:
		• *For 3.1.1: The business or management plan should contain:*
		  • *Attention to quality of planting materials;*
		  • *Crop projection = Fresh Fruit Bunches (FFB) yield trends;*
		  • *Mill extraction rates = Oil Extraction Rate (OER) trends;*
		  • *Cost of Production = cost per tonne of Crude Palm Oil (CPO) trends;*
		  • *Forecast prices;*
		  • *Financial indicators.*
		  • *Suggested calculation: trends in 3-year running mean over the last decade (FFB trends may need to allow for low yield during major replanting programmes).*
		
		Guidance:
		• *Whilst it is recognised that long-term profitability is also affected by factors outside their direct control, top management should be able to demonstrate attention to economic and financial viability through long-term management planning. There should be longer term planning for plantations on peat, particularly in regards to subsidence and flooding issues (see Indicator 4.3.5).*
		• *Consideration of smallholders should be inherent in all management planning where applicable (see also Criteria 6.10 and 6.11). For scheme smallholders the content will vary from that suggested (refer to RSPO Guidance on Scheme Smallholders, July 2009).*
			a. Does the company have a documented business or management plan with a minimum planning period of 3 years?
			b. Does it include the following:
			  - Land area statement (planting years, non-planted areas, i.e. HCV, conservation areas, fragile soils, enclaves) with updated location maps. Maps should have title, legend, source, scale and projections/georeferenced
			  - Plan for management of scheme smallholders (where appropriate)
			  - Quality of planting materials
			  - Crop projection = Fresh Fruit Bunches (FFB) yield trends
			  - Mill extraction rates = Oil Extraction Rate (OER) trends
			  - Cost of Production = cost per tonne of Crude Palm Oil (CPO) trends
			  - Forecast prices
			  - Financial indicators – profitability forecast (income vs cost)
			  - Projected expansion (area, mill capacity, infrastructure, social amenities)
			  - General strategy and allocation for environmental and social management (refer to P5, P6 and P8)
			c. Is this management document subjected to an annual review?
			d. For plantations on peat, is there a long term viability plan – e.g. flooding, drainability assessments and subsidence issues? (see 4.3.5)

NO.	CRITERION	INDICATOR	CHECKLIST
		• *Growers should have a system to improve practices in line with new information and techniques. For smallholder schemes, the scheme management should be expected to provide their members with information on significant improvements.* This Criterion is not applicable to independent smallholders (refer to RSPO Guidance for Independent Smallholders under Group Certification, June 2010)	e. Does the grower have a system to improve practices in line with new information and techniques? - Has the personnel in charge (PIC) been identified? - How is the information updated? - Is there a documented SOP which requires monitoring and updating information to improve practices? - Is new information communicated to workers and scheme smallholders (where appropriate)? How is it communicated?
		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.	a. Is there an annual replanting programme projected for a minimum of five years? b. Has it been documented? c. Is the progress of implementation documented? d. How does the programme take into consideration fragile soils such as peat? Is there a longer projection period (see C4.3)? e. Is there evidence of a yearly review of the replanting programme?
	Principle 4: Use of Appropriate Best Practices by Growers and Millers		
4.1	Operating procedures are appropriately documented, consistently implemented and monitored.	**4.1.1** (M) Standard Operating Procedures (SOPs) for estates and mills shall be documented. ***Specific Guidance**:* ***For 4.1.1 and 4.1.4:** SOP and documentation for mills should include relevant supply chain requirements (see RSPO Supply Chain Certification Standard, Nov 2011).*	a. Have the SOPs for mills and plantation been documented? b. Does the SOP cover key processes, harvesting, transportation, manuring, IPM, GAP, Supply Chain requirements for the mill, etc.? c. Is a copy of the SOP available on site and is it documented in an appropriate language? d. Is there evidence that SOPs are implemented and understood by workers? e. Are the SOPs appropriate and adequately cover all estate and mill processes and activities? f. How are the SOPs made available at the point of use?
		4.1.2 A mechanism to check consistent implementation of procedures shall be in place. ***Guidance:*** *Mechanisms to check implementations could include documentation management systems and internal control procedures.*	a. Is there a master list of all SOPs? b. How does the company keep track of revisions? c. Is there mechanism for: - Translation of SOP into work instructions in appropriate languages? - Records of training for all levels? - Internal control (e.g. audit and review, field inspection) procedure in place to monitor consistent implementation of SOPs? - Trained and competent personnel assigned to carry out internal control activities? - Implementation audits to be carried out regularly covering implementation of all the SOPs? - Procedure to address non-compliance and corrective action for continuous improvement?

NO.	CRITERION	INDICATOR	CHECKLIST
		4.1.3 Records of monitoring and any actions taken shall be maintained and available, as appropriate.	a. Have the records been maintained on the following? - Measurements or results of internal control and monitoring activities (refer 4.1.2) - Records of corrective actions and improvement undertaken
		4.1.4 (M) The mill shall record the origins of all third-party sourced Fresh Fruit Bunches (FFB).	a. Is there an SOP for third-party FFB sourcing? b. Is there a list of approved third-party FFB suppliers? c. Is there proof of observed implementation of SOP? d. Is there daily and summary records of volume and origins of third-party FFB received? e. Have these records been verified against the available document?
4.2	Practices maintain soil fertility at, or where possible improve soil fertility to, a level that ensures optimal and sustained yield.	**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. ***Guidance:*** *Long-term fertility depends on maintaining the structure, organic matter content, nutrient status and microbiological health of the soil. Nutrient efficiency should take account of the age of plantations and soil conditions.*	a. Are there SOPs for Good Agricultural Practices in managing soil fertility? b. Is there evidence that the SOPs have been implemented and monitored?
		4.2.2 Records of fertiliser inputs shall be maintained.	a. Is records of fertiliser inputs maintained? b. Is there records to proof that the fertiliser program is linked to the agronomic report? c. Is there records of fertilizer usage per tonne of FFB production (>in Summary Table, specific types of fertilizers)?
		4.2.3 There shall be evidence of periodic tissue and soil sampling to monitor changes in nutrient status.	a. Is there SOPs for tissue and soil sampling? b. Is there evidence of implementation of the SOPs, including availability of records? c. Is there records of tissue and soil analysis? d. Is the results of the study incorporated into the fertilizer program?
		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. ***Guidance:*** *The nutrient recycling strategy should include any use of biomass for by-products or energy production.*	a. Is there a nutrient recycling strategy in place? b. Does the strategy include the following? • Clear objectives and time-bound targets • Inventory of - EFB - POME - Fibre - Boiler ash - Kernel shell - Palm residues from replanting • Biomass recycling program

NO.	CRITERION	INDICATOR	CHECKLIST
			• Implementation and monitoring records Note to auditor: Ground verification required
4.3	Practices minimise and control erosion and degradation of soils.	**4.3.1** (M) Maps of any fragile soils shall be available.	a. Is there soil maps showing presence of fragile soils and problem soils (refer to 4.3.6)? b. Are maps georeferenced and of appropriate scale (1:50,000)?
		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). ***Guidance:*** *Techniques that minimise soil erosion are well known and should be adopted, where appropriate. These should include practices such as ground cover management, biomass recycling, terracing, and natural regeneration or restoration instead of replanting.*	a. Is there a management strategy in place for plantings on slopes? b. Does the management strategy include the following? - Identification of steep areas not suitable for planting - Policy of planting on slopes - SOPs to minimise soil erosion based on local soil and climate conditions, e.g. ground cover management, biomass recycling, terracing, and natural regeneration or restoration instead of replanting c. Is there proof of records of field inspection on SOP implementation?
		4.3.3 A road maintenance programme shall be in place.	a. Is there a road maintenance programme in place with supporting budget and resources? b. Is there road maintenance records?
		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. ***Guidance:*** *Plantations on peat should be managed at least to the standard set out in the 'RSPO Manual on Best Management Practices (BMPs) for existing oil palm cultivation on peat', June 2012 (especially water management, fire avoidance, fertiliser use, subsidence and vegetation cover).* ***Specific Guidance:*** ***For 4.3.4:*** *For existing plantings on peat, the water table should be maintained at an average of 50cm (between 40 - 60cm) below ground surface measured with groundwater piezometer readings, or an average of 60cm (between 50 - 70cm) below ground surface as measured in water collection drains, through a network of appropriate water control structures e.g. weirs, sandbags, etc. in fields, and watergates at the discharge points of main drains (Criteria 4.4 and 7.4).*	a. Is there an SOP to provide guidance on subsidence management? b. Does the SOP make reference to the RSPO BMPs on peat? c. How is subsidence being monitored? d. Are there records of subsidence monitoring? e. How is subsidence being minimised? f. Is there a water management programme and evidence of implementation? *For existing plantings on peat, the water table should be maintained at an average of 50cm (between 40 - 60cm) below ground surface measured with groundwater piezometer readings, or an average of 60cm (between 50 - 70cm) below ground surface as measured in water collection drains, through a network of appropriate water control structures e.g. weirs, sandbags, etc. in fields, and watergates at the discharge points of main drains (Criteria 4.4 and 7.4).* g. Is there a ground cover management programme and is there evidence of implementation?
		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. ***Specific Guidance:*** ***For 4.3.5:*** *Where drainability assessments have identified areas unsuitable for oil palm replanting, plans should be in place for appropriate rehabilitation or alternative use of such areas. If the assessment indicates high risk of serious flooding and/or salt water intrusion within two crop cycles, growers and planters should consider ceasing replanting and implementing rehabilitation.*	a. Was a drainability assessment conducted before replanting on peat? b. Was a flood risk map provided as a result of the drainability assessment? c. If the drainability assessment shows that an area is unsuitable for replanting, are there alternative plans in place for rehabilitation and alternative use in accordance to the RSPO BMPs?

NO.	CRITERION	INDICATOR	CHECKLIST
		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).	a. Is there a management strategy in place for other fragile and problem soils? b. Does the management strategy include SOPs for the management of other fragile and problem soils? c. Is inspection and implementation records available?
4.4	Practices maintain the quality and availability of surface and ground water.	**4.4.1** An implemented water management plan shall be in place. ***Specific Guidance:*** ***For 4.4.1****: The water management plan will:* • *Take account of the efficiency of use and renewability of sources;* • *Ensure that the use and management of water by the operation does not result in adverse impacts on other users within the catchment area, including local communities and customary water users;* • *Aim to ensure local communities, workers and their families have access to adequate, clean water for drinking, cooking, bathing and cleaning purposes;* • *Avoid contamination of surface and ground water through run-off of soil, nutrients or chemicals, or as a result of inadequate disposal of waste including Palm Oil Mill Effluent (POME).* ***Guidance:*** *Growers and millers should address the effects of their use of water and the effects of their activities on local water resources.*	a. Is there a water management plan in place for mill and plantation with identified actions? b. Does the plan include the following? • Identification of water sources • Efficient use of water • Renewability of water source • Impacts on catchment area and local stakeholders • Access of clean drinking water all year round for stakeholders • Avoidance of surface and ground water contamination c. Have the identified actions in the plan been implemented?
		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. ***Specific Guidance:*** ***For 4.4.2:*** *Refer to the 'RSPO Manual On Best Management Practices (BMP) for management and rehabilitation of natural vegetation associated with oil palm cultivation on peat', July 2012.*	a. Is there a map identifying water courses and wetlands? b. Are the water courses and wetlands protected? c. Are the riparian and buffer zones maintained and restored in existing plantation and replanting areas? d. Is there SOP for riparian and buffer zone protection? e. Has the SOP been implemented?
		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).	a. Is the mill effluent treatment process in place? b. Is there a process in place for checking and monitoring water discharge quality, particularly BOD? c. Is the water discharge quality in compliance with national regulations? d. Does the mill have a license for treatment, discharge or land application of mill effluent, and is the mill in compliant with the requirements of the license?
		4.4.4 Mill water use per tonne of Fresh Fruit Bunches (FFB) (see Criterion 5.6) shall be monitored.	a. Are there procedures to measure mill water usage, and are the procedures implemented? b. Are there records of mill water use per tonne of Fresh Fruit Bunches (FFB)?
4.5	Pests, diseases, weeds and invasive introduced species are effectively managed using appropriate Integrated Pest Management techniques.	**4.5.1** (M) Implementation of Integrated Pest Management (IPM) plans shall be monitored. ***Guidance:*** *Growers should apply recognised IPM techniques, incorporating cultural, biological, mechanical and physical methods to minimise the use of chemicals.*	a. Is there a documented IPM plan? b. Does the IPM plan include the following? • Identification of potential pests and thresholds • What are the techniques used (cultural, biological, mechanical and physical methods)?

NO.	CRITERION	INDICATOR	CHECKLIST
		Native species should be used in biological control where possible.	• What are the native species used as part of the biological control method? • Does it help in reducing the use of chemicals over a period of time? • Prophylactic use of pesticides • Minimization of pesticide use • Review on the plans to suit the present condition such as replanting? c. Is there an SOP to implement the plan and monitor its effectiveness? d. Is there records of pest occurrence and control?
		4.5.2 Training of those involved in IPM implementation shall be demonstrated.	a. Is there records of training provided to those involved in the implementation of IPM?
4.6	Pesticides are used in ways that do not endanger health or the environment.	**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. ***Specific Guidance:*** ***For 4.6.1:*** *Measures to avoid the development of resistance (such as pesticide rotations) should be applied. The justification should consider less harmful alternatives and IPM.* ***Guidance:*** *The RSPO has identified some examples of alternatives to pesticide use, which include those listed in the 'Research project on Integrated Weed Management Strategies for Oil Palm; CABI, April 2011'.* *Due to problems in the accuracy of measurement, monitoring of pesticide toxicity is not applicable to independent smallholders (refer to 'Guidance for Independent Smallholders under Group Certification', June 2010).*	a. Does the organization have a policy on safe use of chemicals? b. Does the organization have SOPs for use of selective products that are specific to target pests, weeds, or diseases and which have minimal effect on non-target species? i. Measures to avoid the development of resistance (such as pesticide rotation) should be applied. ii. Is there a list of all pesticide with target species and justification of use? iii. The justification should consider less harmful alternatives and IPM. c. Is there evidence of implementation of SOP on the ground?
		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.	a. Does the company have a pesticide application program? b. Is records of pesticides use available? c. Do the records detail the active ingredients used and their LD50, area treated, amount of active ingredients applied per ha and number of applications?
		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 identified in national Best Practice guidelines. ***Specific guidance for 4.6.3:*** *Justification of the use of such pesticides will be included in the public summary report.*	a. Does the company have an IPM plan? b. Has that plan been implemented? c. Is the effectiveness of the IPM plan monitored? d. Are there records showing that the use of pesticides have been minimised in accordance with Integrated Pest Management (IPM) plan? e. Has there been prophylactic use of pesticides? If so, justification must be provided in accordance to National Best Practices.

NO.	CRITERION	INDICATOR	CHECKLIST
		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.	a. Does the company have a complete listing of WHO class 1A, class 1B, and Stockholm or Rotterdam Conventions pesticide? b. Is there a policy, procedure or management plan committing to minimise and eliminate use of these pesticides and paraquat? c. Are there records of minimisation of pesticides and paraquat use? d. Where there is the use of the above pesticides or paraquat, has justification in line with national best practice guidelines been documented? e. Does physical verification of inventory in the chemical store agree back to the inventory records?
		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).	a. Is there SOP for chemicals/pesticides handling? b. Is there a training plan and training records for workers who apply or handle pesticides? c. Is there evidence that training has been conducted in an appropriate language understood by the workers? d. Are pesticides handled, used or applied only by persons who have completed the necessary training? e. Are the workers involved in chemical handling or application able to demonstrate understanding of the hazards and risks related to chemicals used when interviewed? f. Are pesticides always applied in accordance with the product label? g. Are MSDS for pesticides used readily available for easy reference? h. Is appropriate safety and application equipment provided and used? i. Is PPE used appropriate according to recommendations in any risk assessments done? j. Is appropriate PPE provided and used, and can it be easily replaced if damaged? k. Does the management checked the workers usage of appropriate PPEs?
		4.6.6 (M) Storage of all pesticides shall be according to recognised best practices. All pesticide containers shall be properly disposed off and not used for other purposes (see Criterion 5.3). ***Specific guidance for 4.6.6:*** *Recognised best practice includes: Storage of all pesticides as prescribed in the FAO International Code of Conduct on the distribution and use of pesticides and its guidelines, and supplemented by relevant industry guidelines in support of the International Code (see Annex 1).*	a. Has the SOP for pesticide storage been documented and implemented? b. Are all pesticides stored according to recognised best practices? c. Is there evidence that empty pesticide containers are properly stored and disposed off and not used for other purposes? d. Is there evidence observed in the field that pesticide containers are indiscriminately disposed (in dump site) or used for other purposes, .e.g. as waste containers, flower pots?
		4.6.7 Application of pesticides shall be by proven methods that minimise risk and impacts.	a. Is there work instruction for pesticide application? b. Is there training provided on work instruction including risk and impacts of pesticide applications?
		4.6.8 (M) Pesticides shall be applied aerially only where there is documented justification. Communities shall be informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application.	a. Has aerial spray been applied? If yes, is there documented justification? b. Is the impact and risk associated with aerial application documented and made available? c. Are the identified affected communities informed of impending aerial pesticide applications with all relevant information within reasonable time prior to application?

NO.	CRITERION	INDICATOR	CHECKLIST
		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).	a. Has the company provided information materials on pesticide handling to all employees and associated smallholders (if any) (see Criterion 4.8)? b. Is there evidence of periodic training (in appropriate language) of employees and associated smallholders on pesticide handling? Note: Interview with workers and smallholders on their knowledge and skills in pesticides handling.
		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).	a. Is there an SOP for proper disposal of waste material? b. Is there training provided to workers and managers on proper waste disposal? c. Is there evidence of implementation of proper ways for waste disposal by the company?
		4.6.11 (M) Specific annual medical surveillance for pesticide operators, and documented action to treat related health conditions, shall be demonstrated.	a. Is there an updated list of pesticide operators? b. Is there records of annual medical surveillance of pesticide operators? c. Is there medical and treatment records of all pesticide operators?
		4.6.12 (M) No work with pesticides shall be undertaken by pregnant or breast-feeding women.	a. Is there a policy statement preventing pregnant and breast-feeding women from handling pesticides? b. Is there a lists of female workers handling pesticides available? c. Does the company have a system to identify pregnant and breast-feeding women? d. Is there evidence showing that pregnant and breast-feeding women are not allowed to handle pesticides?
4.7	An occupational health and safety plan is documented, effectively communicated and implemented.	**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. ***Guidance:*** *Growers and millers should ensure that the workplace, machinery, equipment, transport and processes under their control are safe and without undue risk to health. Growers and millers should ensure that the chemical, physical and biological substances and agents under their control are without undue risk to health when appropriate measures are taken. All indicators apply to all workers regardless of status.* *The health and safety plan should also reflect guidance in ILO Convention 184 (see Annex 1).*	a. Is there a health and safety policy in place? • Is it written in an appropriate language? • Has the policy been approved by an authorized personnel and dated? • Does the policy cover mitigation of risks to workers health and safety at all workplace activities? • Are the workers aware of and understand the policy? b. Is there a health and safety plan in place? • Does the plan include targets for improving occupational health and safety? • Does the plan reflect guidance provided in the ILO Convention 184 (see Annex 1)? c. Is there evidence of implementation of the plan? d. Is the effectiveness of the health and safety plan monitored? e. Is the health and safety plan made publicly available? f. Is there an action plan if targets are not achieved?
		4.7.2 (M) All operations where health and safety is an issue shall 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.	a. Have risk assessments been conducted for all operations where health and safety is an issue? b. Does the risk assessment cover all the organization's processes and activities? c. If any accidents had occurred, were these included in the risk assessments with action plans to prevent further recurrence? d. Have the procedures and action plans been documented and implemented to address the identified issues? e. Have all precautions attached to products been properly observed and applied to the workers?

NO.	CRITERION	INDICATOR	CHECKLIST
		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.	a. Are all workers involved in the operation appropriately trained in safe working practices (see Criterion 4.8)? b. Are OSH training programs and training records available and conducted by qualified persons? c. Is adequate and appropriate protective equipment 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? d. Is PPE provided to workers and replaced when damaged? • Does the organization maintain a list of PPE distribution? e. Are workers observed wearing appropriate PPE?
		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.	a. Has the company identified the responsible person/persons to implement OSH? b. Are meetings between the responsible persons and workers conducted on a regular basis, or as required by law, if any? c. Are minutes of meeting recording attendees and issues discussed available? d. Are concerns of all parties about health, safety and welfare discussed at these meetings? Note to Auditor: Interviews with workers reflect compliance to a-d above.
		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.	a. Are there SOPs for accidents and emergencies? • Do these cover all major potential emergencies, such as, but not limited to fire, chemical spillage, and potential natural disasters specific for the region, e.g. earthquakes, volcanoes, etc.? • Are accidents investigated and action taken to prevent recurrence? • Are accident records provided to the local authority in accordance with local legal requirements, if any? • Available in the appropriate language of the workforce? b. Are the instructions on emergency procedures clearly understood by all workers? c. Are assigned operators trained in First Aid present in both field and other operations? d. Is there records of training of the first aiders? e. Is first aid equipment available at worksites? Is the equipment available during conduct of field manual work? e. Are first aid kits adequately stocked and regularly checked in accordance with local legal requirements? f. Are records of all accidents kept and periodically reviewed for continuous improvement?

NO.	CRITERION	INDICATOR	CHECKLIST
		4.7.6 All workers shall be provided with medical care, and covered by accident insurance.	a. Is there evidence that all workers are provided with medical care (refer to Criterion 6.5.3), and covered by accident insurance by the company? For contract workers, the contract between the company and the contractor shall be in compliance. b. For accidents that have occurred, is there evidence that the affected workers received appropriate medical treatment, and was able to claim and receive compensation under the insurance policy (if relevant)? c. Is there evidence that the insurance policies are valid?
		4.7.7 Occupational injuries shall be recorded using Lost Time Accident (LTA) metrics. ***Specific Guidance for 4.7.7:*** *The National Interpretation will define the metrics for LTA. For countries where there are no national interpretations, the growers will determine their own metrics.*	a. Are occupational injuries recorded using Lost Time Accident (LTA) metrics?

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.
		Guidance:
		Workers should be adequately trained on: the health and environmental risks of pesticide exposure; recognition of acute and long-term exposure symptoms including the most vulnerable groups (e.g. young workers, pregnant women); ways to minimise exposure to workers and their families; and international and national instruments or regulations that protect workers' health.
		The training programme should include productivity and best management practice, and be appropriate to the scale of the organisation.
		Training should be given to all staff and workers by growers and millers to enable them to fulfil their jobs and responsibilities in accordance with documented procedures, and in compliance with the requirements of these Principles, Criteria, Indicators and Guidance.
		Contract workers should be selected for their ability to fulfil their jobs and responsibilities in accordance with documented procedures, and in compliance with the requirements of the RSPO Principles, Criteria, Indicators and Guidance.
		Growers and millers should demonstrate training activities for schemes smallholders who provide Fresh Fruit Bunches (FFB) on a contracted basis.
		Workers on smallholder plots also need adequate training and skills, and this can be achieved through extension activities of growers or millers that purchase fruit from them, by smallholders' organisations, or through collaboration with other institutions and organisations (refer to 'Guidance for Independent Smallholders under Group Certification', June 2010, and 'Guidance on Scheme Smallholders', July 2009)
		For individual smallholder operations, training records should not be required for their workers, but anyone working on the farm should be adequately trained for the job they are doing (refer to 'Guidance for Independent Smallholders under Group Certification', June 2010, and 'Guidance on Scheme Smallholders', July 2009).
			a. Does the company maintain a list of staff, workers, smallholders and contract workers whom training must be provided to?
			b. Is there a formal training programme in place that covers all aspects of the RSPO Principles and Criteria? Does the formal training program include:
			• Regular assessment of training needs of all staff, workers, smallholders and contract workers;
			• Training for workers on smallholder plots;
			• Documentation of all the training assessment needs, formal training conducted and the list of participants attending these formal training;
			• Does the training for workers cover, at minimum, to the following:
			  ○ The health and environmental risks of pesticide exposure;
			  ○ recognition of acute and long-term exposure symptoms including the most vulnerable groups (e.g. young workers, pregnant women);
			  ○ ways to minimise exposure to workers and their families;
			  ○ International and national instruments or regulations that protect workers' health; and
			  ○ Productivity and best management practice.
			Note to auditor: To interview staff, workers, smallholders and contract workers to verify that the training has been conducted effectively.

NO.	CRITERION	INDICATOR	CHECKLIST
		4.8.2 Records of training for each employee shall be maintained.	a. Are training records maintained for each employee?
	Principle 5: Environmental Responsibility and Conservation of Natural Resources and Biodiversity		
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. ***Guidance*** *The EIA should cover the following activities, where they are undertaken:* • *Building new roads, processing mills or other infrastructure;* • *Putting in drainage or irrigation systems;* • *Replanting and/or expansion of planting areas;* • *Management of mill effluents (Criterion 4.4);* • *Clearing of remaining natural vegetation;* • *Management of pests and diseased palms by controlled burning (Criteria 5.5 and 7.7).* *Impact assessment can be a non-restrictive format e.g. ISO 14001 EMS and/or EIA report incorporating elements spelt out in this Criterion and raised through stakeholder consultation.* *Environmental impacts should be identified on soil and water resources (Criteria 4.3 and 4.4), air quality, greenhouse gases (Criterion 5.6), biodiversity and ecosystems, and people's amenity (Criterion 6.1), both on and off-site.* *Stakeholder consultation has a key role in identifying environmental impacts. The inclusion of consultation should result in improved processes to identify impacts and to develop any required mitigation measures.* *For smallholder schemes, the scheme management has the responsibility to undertake impact assessment and to plan and operate in accordance with the results (refer to 'Guidance for Independent Smallholders under Group Certification', June 2010, and 'Guidance on Scheme Smallholders', July 2009).*	a. Has an EIA been conducted according to the scope of operation covering at minimum the following: • Building new roads, processing mills or other infrastructure; • Putting in drainage or irrigation systems; • Replanting and/or expansion of planting areas; • Management of mill effluents (Criterion 4.4); • Clearing of remaining natural vegetation; • Management of pests and diseased palms by controlled burning (Criteria 5.5 and 7.7). b. Has the EIA been conducted and documented according to local requirements? c. Does the assessment include consultation with relevant stakeholders to identify impacts and to develop any mitigation measures?
		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.	a. Is there an environmental management plan in place? b. Is the environmental management plan documented to include the following: • Identification of responsible person(s); • Potential impacts from current practices; • Measures to mitigate negative impacts; • Timetable for change (where changes in current practices are required). c. Has the environmental management plan been implemented?

NO.	CRITERION	INDICATOR	CHECKLIST
		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 years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts.	a. Does the plan incorporate a monitoring protocol? b. Is the monitoring protocol adaptive to operational changes? c. Is the monitoring protocol implemented to monitor the effectiveness of the mitigation measures? d. Is the plan reviewed at a minimum every two years to reflect the results of monitoring and where there are operational changes that may have positive and negative environmental impacts?
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.	**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). ***Specific Guidance:*** *This information will cover:* • *Presence of protected areas that could be significantly affected by the grower or miller;* • *Conservation status (e.g. IUCN status), legal protection, population status and habitat requirements of rare, threatened, or endangered (RTE) species that could be significantly affected by the grower or miller;* • *Identification of HCV habitats, such as rare and threatened ecosystems, that could be significantly affected by the grower or miller;* ***Guidance:*** *This information gathering should include checking available biological records and consultation with relevant government departments, research institutes and interested NGOs if appropriate. Depending on the biodiversity values that are present, and the level of available information, some additional field survey work may be required.* *Wherever HCV benefits can be realised outside of the management unit, collaboration and cooperation between other growers, governments and organisations should be considered.*	a. Has a High Conservation Value (HCV) assessment been conducted and cover the following: • Presence of protected areas that could be significantly affected by the grower or miller; • Conservation status (e.g. IUCN status), legal protection, population status and habitat requirements of rare, threatened, or endangered (RTE) species that could be significantly affected by the grower or miller. • Identification of HCV habitats, such as rare and threatened ecosystems, that could be significantly affected by the grower or miller; b. Was the HCV assessment performed by a qualified HCV assessor? c. Was the HCV assessment performed in consultation with relevant stakeholders? d. Does the HCV assessment include checking of available biological records? e. Does the HCV assessment include both the planted area itself and relevant wider landscape-level considerations (such as wildlife corridors)? f. Was the HCV assessment performed in accordance to the latest methodology available at global and national level? g. Are identified HCVs mapped?
		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. ***Specific Guidance:*** *These measures will include:* • *Ensuring that any legal requirements relating to the protection of the species or habitat are met;* • *Avoiding damage to and deterioration of HCV habitats such as by ensuring that HCV areas are connected, corridors are conserved, and buffer zones around HCV areas are created;* • *Controlling any illegal or inappropriate hunting, fishing or collecting activities, and developing responsible measures to resolve human-wildlife conflicts (e.g. incursions by elephants).*	a. Are HCVs and/or RTEs present? b. If HCVs and/or RTEs are present, has a management plan containing appropriate measures that are expected to maintain and/or enhance them been prepared? The measures should include the following: • Ensuring that any legal requirements relating to the protection of the species or habitat are met; • Avoiding damage to and deterioration of HCV habitats such as by ensuring that HCV areas are connected, corridors are conserved, and buffer zones around HCV areas are created; • Controlling any illegal or inappropriate hunting, fishing or collecting activities, and developing responsible measures to resolve human-wildlife conflicts (e.g. incursions by elephants). c. Are the measures contained in the management plan actively implemented to maintain and/or enhance HCV values?

NO.	CRITERION	INDICATOR	CHECKLIST
			d. Are the HCV values and the presence of RTEs periodically monitored? e. Are the field inspections conducted regularly to ensure implementation of mitigation plan (especially along areas bordering natural area)?
		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.	a. Does the company have policies or rules to protect RTE species? b. Is there a programme to regularly educate the workforce about the status of the RTE species? c. Is there evidence or action taken to implement the rules and programs? E.g. Inspections conducted to check no traps/snares put up within or nearby areas. d. Have appropriate disciplinary measures been imposed in accordance with company rules and national law, should any individual working for the company is found to have captured, harmed, collected or killed any RTE species?
		5.2.4 Where a management plan has been created there shall be ongoing monitoring: • 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.	a. Does the management plan contain ongoing monitoring of status of HCV and RTE species that are affected by plantation or mill operations? b. Is the status documented and reported? c. Are the outcomes of monitoring fed back into the management plan?
		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. ***Specific Guidance:*** ***For 5.2.5: If*** *a negotiated agreement cannot be reached, there should be evidence of sustained efforts to achieve such an agreement. These could include third party arbitration (see Criteria 2.3, 6.3 and 6.4).* ***Note:*** *Operators need to consider a variety of land management and tenure options to secure HCV management areas in ways that also secure local peoples' rights and livelihoods. Some areas are best allocated to community management and secured through customary or legal tenures, in other cases co-management options can be considered. Where communities are asked to relinquish rights so that HCVs can be maintained or enhanced by the companies or State agencies, then great care needs to be taken to ensure that communities retain access to adequate land and resources to secure their basic needs; all such relinquishment of rights must be subjected to their free, prior, and informed consent (see Criteria 2.2 and 2.3).*	a. Is there HCV set-asides with existing rights of local communities? b. Who are the affected communities? c. Is the identified HCV areas mapped? d. Is there evidence of stakeholder consultation and negotiated agreement, in accordance to FPIC principles, with local community to optimally safeguard both the HCVs and rights of local communities? e. If a negotiated agreement cannot be reached, is there evidence of sustained efforts to achieve an agreement? Refer to specific guidance for 5.2.5.
5.3	Waste is reduced, recycled, re-used and disposed of in an environmentally and socially responsible manner.	**5.3.1** (M) All waste products and sources of pollution shall be identified and documented.	a. Is there a registry/list of waste products produced? b. Is there a registry/list of pollution sources?

NO.	CRITERION	INDICATOR	CHECKLIST
		5.3.2 (M) All chemicals and their containers shall be disposed of responsibly.	a. Is there an inventory of chemicals and their containers that are used and kept on site? b. How are chemicals and their containers stored and disposed off? Is it in accordance to best practices? (as prescribed by manufacturers' labels, local requirement, national or international best practice) c. Are collection and disposal records of chemicals and their containers maintained?
		5.3.3 A waste management and disposal plan to avoid or reduce pollution shall be documented and implemented. ***Guidance:*** *The waste management and disposal plan should include measures for:* • *Identifying and monitoring sources of waste and pollution.* • *Improving the efficiency of resource utilisation and recycling potential wastes as nutrients or converting them into value-added products (e.g. through animal feeding programmes).* • *Appropriate management and disposal of hazardous chemicals and their containers. Surplus chemical containers should be reused, recycled or disposed of in an environmentally and socially responsible way using best available practices (e.g. returned to the vendor or cleaned using a triple rinse method), such that there is no risk of contamination of water sources or risk to human health. The disposal instructions on the manufacturers' labels should be adhered to.* *Use of open fire for waste disposal should be avoided.*	a. Is there a documented waste management and disposal plan to avoid or reduce pollution? b. Does the waste management and disposal plan, at minimum, include measures for: • Identifying and monitoring sources of waste and pollution? • Improving the efficiency of resource utilisation and recycling potential of wastes as nutrients or converting them into value-added products (e.g. through animal feeding programmes)? • Appropriate management and disposal of hazardous chemicals and their containers? • Reduction, re-use and recycle of waste? c. Is there evidence that the plan has been implemented? d. Is there evidence that waste has not been disposed off using open fire?
5.4	Efficiency of fossil fuel use and the use of renewable energy is optimised.	**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. ***Guidance:*** *Renewable energy use per tonne of Crude Palm Oil (CPO) or palm product in the mill should be monitored.* *Direct fossil fuel use per tonne of CPO or Fresh Fruit Bunches (FFB) should be monitored.* *Energy efficiency should be taken into account in the construction or upgrading of all operations.* *Growers and millers should assess the direct energy use of their operations, including fuel and electricity, and energy efficiency of their operations. This should include estimation of fuel use by on-site contract workers, including all transport and machinery operations.* *The feasibility of collecting and using biogas should be studied if possible.*	a. Is there a plan for improving efficiency of the use of fossil fuels and to optimise renewable energy? b. Has the plan been implemented and is it monitored? c. Does the monitoring system encompass the following : • Renewable energy use/tCPO or palm product; • Direct fossil fuel use/tCPO or tFFB; • Estimated fuel use by on-site contract workers and transport and machinery operations; • Electricity use in operations. d. Was energy efficiency taken into account during the construction or upgrading of all operations? e. Has studies on the feasibility of collecting and using biogas been carried out?

NO.	CRITERION	INDICATOR	CHECKLIST
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.	**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. ***Guidance:*** *Fire should be used only where an assessment has demonstrated that it is the most effective and least environmentally damaging option for minimising the risk of severe pest and disease outbreaks, and exceptional levels of caution should be required for use of fire on peat. This should be subject to regulatory provisions under respective national environmental legislation.* *Extension/training programmes for associated smallholders may be necessary.*	a. Does the company have a zero burning policy or any statement on zero burning? b. Does the company have SOPs for land preparation which mentions zero burning? c. Was land prepared using the burn method? If yes, was it based on the specific situations identified in the 'Guidelines for the Implementation of the ASEAN Policy on Zero Burning' 2003, or comparable guidelines in other regions? d. Has the policy been implemented throughout the operations? e. Is there training programmes for associated smallholders on zero burning where appropriate?
		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.	a. Where fire has been used for preparing land for replanting, is there 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? b. What was the justification for using fire?
5.6	*Preamble*	*Growers and millers commit to reporting on operational greenhouse gas emissions. However, it is recognised that these significant emissions cannot be monitored completely or measured accurately with current knowledge and methodology. It is also recognised that it is not always feasible or practical to reduce or minimise these emissions.* *Growers and millers commit to an implementation period until the end of December 2016 for promoting best practices in reporting to the RSPO, and thereafter to public reporting. Growers and millers make this commitment with the support of all other stakeholder groups of the RSPO.*	
5.6	Plans to reduce pollution and emissions, including greenhouse gases, are developed, implemented and monitored.	**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). ***Guidance:*** *Where practically feasible, operations should follow best management practices to measure and reduce emissions. Advice on this is available from the RSPO.*	a. Has an assessment of all polluting activities been conducted including gaseous emissions, particulate/soot emissions and effluent (see Criterion 4.4)? b. Is there a documented list of all identified polluting activities?
		5.6.2 (M) Significant pollutants and greenhouse gas (GHG) emissions shall be identified, and plans to reduce or minimise them implemented. ***Specific Guidance:*** ***For 5.6.2:*** *Plans will include objectives, targets and timelines. These should be responsive to context and any changes should be justified.* ***For 5.6.2 and 5.6.3:*** *The treatment methodology for POME will be recorded.*	a. Is there a documented list of all identified significant pollutants and GHG emissions? b. Are there plans to reduce or minimise the identified pollutants and GHG emissions? c. Do the plans include objectives, targets and timelines for reduction that are responsive to context? d. Are the plans being implemented? Was there any changes? Is it justified? e. Is the treatment methodology for POME recorded? (refer to C 4.4.3)

NO.	CRITERION	INDICATOR	CHECKLIST
		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. ***Specific Guidance:*** ***For 5.6.3 (GHG):*** *For the implementation period until December 31st 2016, an RSPO-endorsed modified version of PalmGHG which only includes emissions from operations (including land use practices) can be used as a monitoring tool.* ***For 5.6.3:*** *In addition, during the implementation period, growers will start to assess, monitor and report emissions arising from changes in carbon stocks within their operations, using the land use in November 2005 as the baseline. The implementation period for Indicator 5.6.3 is the same implementation period for Criterion 7.8.* *During the implementation period, reporting on GHG will be to a relevant RSPO working group (composed of all membership categories) which will use the information reported to review and fine tune the tools, emission factors and methodologies, and provide additional guidance for the process. Public reporting is desirable, but remains voluntary until the end of the implementation period.* *During the implementation period the RSPO working group will seek to continually improve PalmGHG, recognising the challenges associated with measuring GHG and carbon stock.* *PalmGHG or RSPO-endorsed equivalent will be used to assess, monitor and report GHG emissions. Parties seeking to use an alternative to PalmGHG will have to demonstrate its equivalence to the RSPO for endorsement.*	a. Is there a system in place to monitor emission of pollutants including greenhouse gases from estate (plantation) and mill operations? b. Is there regular reporting of the monitoring outcomes? How often and to whom is reporting done? c. Is the monitoring and reporting conducted using appropriate tools? What tool is being used to assess, monitor and report on GHG emissions? *Please refer to specific guidance for GHG requirements.*
	Principle 6: Responsible Consideration of Employees and of Individuals and Communities Affected by Growers and Millers		
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.	**6.1.1** (M) A social impact assessment (SIA) including records of meetings shall be documented. ***Guidance:*** *Identification of social impacts should be carried out by the grower with the participation of affected parties, including women and migrant workers as appropriate to the situation. The involvement of independent experts should be sought where this is considered necessary to ensure that all impacts (both positive and negative) are identified.* *Participation in this context means that affected parties are able to express their views through their own representative institutions, or freely chosen spokespersons, during the identification of impacts, reviewing findings and plans for mitigation, and monitoring the success of implemented plans.* *Potential social impacts may result from activities such as: building new roads, processing mills or other infrastructure; replanting with different crops or expansion of planting area; disposal of mill effluents; clearing of remaining natural vegetation; changes in employee numbers or employment terms; smallholder schemes.* *Plantation and mill management may have social impacts (positive or negative) on factors such as:* • *Access and use rights;* • *Economic livelihoods (e.g. paid employment) and working conditions;* • *Subsistence activities;* • *Cultural and religious values;*	a. Has an SIA been conducted? When was the last SIA conducted? b. Is the process in conducting the SIA and the findings documented? c. Does the SIA cover all of the potential impact factors, including: • Access and use rights; • Economic livelihoods (e.g. paid employment) and working conditions; • Subsistence activities; • Cultural and religious values; • Health and education facilities; • Other community values, resulting from changes such as improved transport /communication or arrival of substantial migrant labour force.

NO.	CRITERION	INDICATOR	CHECKLIST
		• *Health and education facilities;* • *Other community values, resulting from changes such as improved transport /communication or arrival of substantial migrant labour force.* *The review can be done (once every two years) internally or externally.*	
		6.1.2 (M) There shall be evidence that the assessment has been done with the participation of affected parties.	a. Does the assessment involve consultation with the affected parties? Who are the affected parties? b. Is there record of how the participatory assessment has been conducted? Were the affected parties able to express their views through their own representative institutions, or freely chosen spokespersons, during the identification of impacts, review of findings and planning for mitigation?
		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.	a. Is there any documented record to outline the plan on mitigation, implementation and monitoring according to the SIA report? b. Have plans for avoidance or mitigation of negative impacts and promotion of the positive ones, and monitoring of impacts been developed? c. Have these plans been documented, with clear timetables? Is the timeline reasonable? d. Have the persons responsible for implementation of the plans been identified?
		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.	a. Is the plan reviewed every two years? b. Has the plan been updated as necessary (i.e. in cases where the review has concluded that changes should be made to current practices)? c. Have the changes to the plan been implemented? d. Is there evidence that the review has been done with the participation of the affected parties? e. Has the process been recorded/documented?
		6.1.5 Particular attention shall be paid to the impacts of smallholder schemes (where the plantation includes such a scheme).	a. Are there schemed smallholders involved? b. Have they been considered and involved in the whole process of the SIA? c. What are the main impacts affecting these smallholders?
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. ***Guidance:*** *Decisions that the growers or mills are planning to make should be made clear, so that local communities and other interested parties understand the purpose of the communication and/or consultation.* *Communication and consultation mechanisms should be designed in collaboration with local communities and other affected or interested parties. These should consider the use of appropriate existing local mechanisms and languages. Consideration should be given to the existence/formation of a multi-stakeholder forum. Communications should take into account*	a. Does the company maintain a list of local communities and other affected or interested parties? b. Is there SOP being developed by the company for communication and consultation between the company and the local communities and other affected or interested parties? c. Is the FPIC approach incorporated in the SOP for communication and consultation with the local communities and other affected or interested parties? d. Has the SOP been developed together with the local communities and other affected or interested parties using appropriate existing local mechanisms and in languages understood by these parties? e. Has the SOP been socialized with the local communities and other affected or interested parties taking into account the differential access to information by women as compared to men, village

NO.	CRITERION	INDICATOR	CHECKLIST
		differential access to information by women as compared to men, village leaders as compared to day labourers, new versus established community groups, and different ethnic groups. *Consideration should be given to involving third parties, such as disinterested community groups, NGOs, or government (or a combination of these), to facilitate smallholder schemes and communities, and others as appropriate, in these communications.*	leaders as compared to day labourers, new versus established community groups, and different ethnic groups? f. Have interviews with affected parties been carried out to verify that the SOPs are effective?
		6.2.2 A management official responsible for these issues shall be nominated.	a. Who in the company is appointed to be responsible for communication and consultation with the affected parties? b. Has the position been made official with clear and proper job description? c. Have the affected parties been made aware and have access to the person in charge?
		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.	a. Is the following maintained? • List of stakeholders (local communities and other affected or interested parties etc.); • Records of all communication, including confirmation of receipt or endorsement; • Evidence that efforts have been made to ensure understanding by affected parties; • Record of actions taken in response to input from stakeholders.
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. ***Specific Guidance:*** ***For 6.3.1:*** *The system should aim to reduce the risks of reprisal.* ***Guidance:*** *See also to Criterion 1.2.* *Dispute resolution mechanisms should be established through open and consensual agreements with relevant affected parties.* *Complaints should be dealt with by mechanisms such as Joint Consultative Committees (JCC), with gender representation as necessary. Grievances may be internal (employees) or external.* *For scheme and independent smallholders, refer to 'Guidance for Independent Smallholders under Group Certification', June 2010, and 'Guidance on Scheme Smallholders', July 2009.* *Where a resolution is not found mutually, complaints can be brought to the attention of the RSPO Complaints System.* *Refer to helpful texts for guidance, such as the Human Rights Commission (HRC) endorsed 'Guiding Principles on Business and Human Rights: Implementing the UN "Protect, Respect and Remedy" Framework', 2011.*	a. Is there an system in place to deal with complaints and grievances for all affected parties? b. Who in the company is responsible to receive complaints and grievances? c. Is the existence of the system been made known and communicated to all parties? d. Is there evidence that the system is understood by all parties? e. Is training provided to the workers on the procedures/systems? f. Is the system effective to ensure that complaints or grievances are addressed or resolved in an effective, timely and appropriate manner? g. Does the mechanism or procedure provide a way for workers to report a grievance against a supervisor to someone other than the supervisor? h. How is a complaint or grievance investigated, addressed and resolved? Are complaints dealt with by mechanisms such as JCC? i. Is there a non-retaliation or non-reprisal policy that protects complainants or whistle-blowers? j. Is the privacy of parties protected? k. Where a resolution is not found mutually, is there a process for complaints to be brought to the RSPO Complaints System?

NO.	CRITERION	INDICATOR	CHECKLIST
		6.3.2 (M) Documentation of both the process by which a dispute was resolved and the outcome shall be available.	a. Is the complaints or grievance resolution process documented? b. Are outcomes or decisions reported to the parties? c. Who has access to the documentation of the process and/or outcomes?
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.	**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. ***Guidance:*** *This criterion should be considered in conjunction with Criteria 2.2 and 2.3, and the associated Guidance.*	a. Are procedures for identifying legal, customary or user rights in place? b. Are procedures for identifying people entitled to compensation in place? c. Are those procedures jointly developed, agreed and accepted by local communities?
		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 transmigrants and long-established communities; and differences in ethnic groups' proof of legal versus communal ownership of land. ***Specific Guidance:*** ***For 6.4.2:*** *Companies should make best efforts to ensure that equal opportunities have been provided to both female and male heads of households to hold land titles in smallholder schemes.*	a. Has a procedure for calculating and distributing fair compensation (monetary or otherwise) been established and implemented? b. Are the procedures jointly developed, agreed, accepted and clearly understood by affected parties? c. Is the procedure monitored and evaluated in a participatory way? Have corrective actions been taken as a result of this evaluation? d. Does this procedure take into account the following: • Gender differences in the power to claim rights; • Ownership and access to land; • Differences of transmigrants and long-established communities; • Differences in ethnic groups' proof of legal versus communal ownership of land. e. Where there are schemed smallholders, is there effort to ensure equal opportunity has been provided to .
		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.	a. Is the process and outcome of negotiated agreements and compensation claims documented? b. Does this documentation include evidence of the participation of affected parties? Is there any approval/signed by effected parties? c. Was consent obtained from all parties to make the documents publicly available?

NO.	CRITERION	INDICATOR	CHECKLIST
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.	**6.5.1** (M) Documentation of pay and conditions shall be available.	a. What types of employment arrangements are there in the company? (E.g. contractual, outsourced, apprenticeships, direct hires, piecemeal basis, etc.) b. Is there documentation of pay and conditions for each employee? c. Is there a definition for living wage in the country? If not, how was the decision on wage for employees and contract workers made?
		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.	a. Is the pay and conditions of employment clearly detailed in the employment or service contracts? (E.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) b. Is the contract prepared in languages understood by the workers, explained carefully to workers by management officials, and signed by both the authorised signatory of the company and employee? c. Does the pay and conditions provided in labour laws, union agreements or direct contracts of employment comply with: • The decent living wage as provided in the National Interpretation for the country; or • The local legal requirements in meeting the minimum wage; or • The industry minimum standard for a similar position or work responsibilities d. Is the pay received by the employee consistent with the terms of the contract and the law (relates to P2)? e. Have there been any cases recorded of breach by the company, or complaint made by employees against the company on unjust pay and conditions?
		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.	a. Have growers and millers provided adequate housing and other basic necessities such as that listed below to national standards or above, where no such public facilities are available or accessible? • adequate housing; • adequate electricity; • clean water supplies (availability of clear water all year round); • medical services (distance to health care facility i.e. clinic, hospital); • children education (distance to school and schooling attendance (%) of children under 12) • welfare amenities.
		6.5.4 Growers and millers shall make demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food.	a. Have growers and millers made demonstrable efforts to monitor and improve workers' access to adequate, sufficient and affordable food?

NO.	CRITERION	INDICATOR	CHECKLIST
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.	**6.6.1** (M) A published statement in local languages recognising freedom of association shall be available. ***Guidance:*** *The right of employees, including migrant and transmigrant workers and contract workers, to form associations and bargain collectively with their employer should be respected, in accordance with Conventions 87 and 98 of the International Labour Organisation (ILO).* *Labour laws and union agreements, or in their absence direct contracts of employment detailing payments and other conditions, should be available in the languages understood by the workers or explained carefully to them by a management official.*	a. Has the company published a statement in local languages recognising the rights of employees to freedom of association? b. Are the employees, including migrant and transmigrant workers and contract workers, allowed to form associations and bargain collectively with their employer? c. Was the outcome, if any, from the collective bargaining process between the company and the association respected, implemented and adopted in full or partially by the company? d. Are there Labour laws and union agreements, or in their absence direct contracts of employment detailing payments and other conditions, made available in the languages understood by the workers or explained carefully to them by a management official?
		6.6.2 Minutes of meetings with main trade unions or workers representatives shall be documented.	a. Are there documented minutes of meetings between the company and main trade unions or workers representatives? b. Are the minutes made readily available to employees upon request?
6.7	Children are not employed or exploited.	**6.7.1** (M) There shall be documentary evidence that minimum age requirements are met. ***Guidance:*** *Growers and millers should clearly define the minimum working age, together with working hours. Only workers above the minimum school leaving age in the country or who are at least 15 years old may be employed. The minimum age of workers will not be less than stated under national regulations. Any hazardous work should not be done by those under 18, as per International Labour Organisation (ILO) Convention 138.* *Please refer to 'Guidance for Independent Smallholders under Group Certification', June 2010, and 'Guidance on Scheme Smallholders', July 2009for additional guidance on family farms.*	a. Is the minimum working age for workers together with working hours clearly defined in the company's recruitment policy? b. Are workers employed above the minimum school leaving age of the country or who are at least 15 years of age? c. Is there evidence that the nature of work for workers under 18 is in accordance with International Labour Organisation (ILO) Convention 138? d. Does ground verification show evidence of employment of workers below the minimum working age?
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.	**6.8.1** (M) A publicly available equal opportunities policy including identification of relevant/affected groups in the local environment shall be documented. ***Guidance:*** *Examples of compliance can be appropriate documentation (e.g. job advertisements, job descriptions, appraisals, etc.), and/or information obtained via interviews with relevant stakeholders such as affected groups which may include women, local communities, foreign workers, and migrant workers, etc.* *Notwithstanding national legislation and regulation, medical conditions should not be used in a discriminatory way.* *The grievance procedures detailed in Criterion 6.3 apply. Positive discrimination to provide employment and benefits to specific communities is acceptable as part of negotiated agreements.*	a. Is there a company policy on non-discrimination and equal opportunities? Does it at least cover the items mentioned in the criteria (6.8)? b. Is the policy made publicly available for the relevant stakeholders? c. Is there evidence that the policy has been implemented?

NO.	CRITERION	INDICATOR	CHECKLIST
		6.8.2 (M) Evidence shall be provided that employees and groups including local communities, women, and migrant workers have not been discriminated against.	a. Is there evidence that employees and groups including local communities, women, and migrant workers have not been discriminated against? b. Are the employees and groups including local communities, women, and migrant workers happy with the way the company is treating them? c. Are there complaints against the company on issues relating to discrimination? d. What is the nature of complaints employees and groups including local communities, women, and migrant workers have lodged against the company, if any?
		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.	a. Does the company keep and maintain a record of their employees' work credentials and medical history? b. Does the company explicitly state the indiscriminatory policy during the recruitment selection, hiring and promotion process? c. Is the company's indiscriminatory policy reviewed regularly? d. Are the company's employees recruited and promoted based on skills, capabilities, qualities, and medical fitness necessary for the job? How is this evidenced?
6.9	There is no harassment or abuse in the work place, and reproductive rights are protected.	**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. ***Specific Guidance:*** ***For 6.9.1 and 6.9.2:*** *These policies should include education for women and awareness of the workforce. There should be programmes provided for particular issues faced by women, such as violence and sexual harassment in the workplace. A gender committee specifically to address areas of concern to women will be used to comply with this Criterion. This committee, which should include representatives from all areas of work, will consider matters such as: training on women's rights; counselling for women affected by violence; child care facilities to be provided by the growers and millers; women to be allowed to breastfeed up to nine months before resuming chemical spraying or usage tasks; and women to be given specific break times to enable effective breastfeeding.* ***Guidance:*** *There should be a clear policy developed in consultation with employees, contract workers and other relevant stakeholders, and the policy should be publicly available. Progress in implementing the policy should be regularly monitored, and the results of monitoring activities should be recorded.* *Notwithstanding national legislation and regulation, reproductive rights are respected.*	a. Does the company have the policy to prohibit any form of sexual and all other forms of harassment and violence? b. Has this policy been documented, implemented and communicated clearly to all levels of the workforce? c. Is there a clear protocol for the company to deal/handle such issues/complaints received from the workforce? d. Is there a list of awareness programs or training provided to the workforce in relation to these issues? e. Has the company formed a Gender Committee to address areas of concern to women? Is there a list of the members sitting in the committee? What are the Terms of Reference of the committee? Does it include the handling of issues such as: • training on women's rights; • counselling for women affected by violence; • child care facilities to be provided by the growers and millers; • women to be allowed to breastfeed up to nine months before resuming chemical spraying or usage tasks; and • women to be given specific break times to enable effective breastfeeding. f. Is the policy regularly reviewed?

NO.	CRITERION	INDICATOR	CHECKLIST
		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. ***Specific Guidance:*** ***For 6.9.2****: see Indicator 4.6.12.* ***Guidance:*** *Notwithstanding national legislation and regulation, reproductive rights are respected.*	a. Is there a policy to protect the reproductive rights of all, especially of women? b. Has this policy been documented, implemented and communicated clearly to all levels of the workforce? c. How is this policy communicated to all levels of the workforce?
		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.	a. Does the company have a mechanism to handle employment grievances, that respects anonymity and protects complainants where requested? b. Does the mechanism provide a way for workers to report a grievance against a supervisor to someone other than that supervisor? c. Is the mechanism documented, implemented and communicated clearly to all levels of the workforce? d. Has the company identified personnel who will be responsible to receive and manage complaints received from the workforce? e. Has the company received any reports or complaints of harassment or abuse? How was it addressed or resolved? f. Is the policy reviewed regularly?
6.10	Growers and millers deal fairly and transparently with smallholders and other local businesses.	**6.10.1** Current and past prices paid for Fresh Fruit Bunches (FFB) shall be publicly available. ***Guidance:*** *Transactions with smallholders should consider issues such as the role of middle men, transport and storage of FFB, quality and grading. The need to recycle the nutrients in FFB (see Criterion 4.2) should also be considered; where it is not practicable to recycle wastes to smallholders, compensation for the value of the nutrients exported can be made through the FFB price.* *Smallholders should have access to the grievance procedure under Criterion 6.3 if they consider that they are not receiving a fair price for FFB, whether or not middle men are involved.* *The need for a fair and transparent pricing mechanism is particularly important for outgrowers who are contractually obliged to sell all FFB to a particular mill.* *If mills require smallholders to change practices to meet the RSPO Principles and Criteria, consideration should be given to the costs of such changes, and the possibility of advance payments for FFB can be considered.*	a. How is the price of FFB determined? b. Is current and past prices paid for Fresh Fruit Bunches (FFB) publicly available? How? c. Was there any complaints on FFB pricing? d. How was the complaint handled? e. What was the solution?

NO.	CRITERION	INDICATOR	CHECKLIST
		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).	a. What is the mode of recording/documenting transactions between millers with middlemen and/or smallholders? b. Is there evidence that growers/millers have explained FFB pricing and pricing mechanisms for FFB? c. Are there any inputs/services rendered by the millers to smallholders/middle men? Are these inputs/services having any influence to the pricing and pricing mechanisms for FFB? d. Have inputs/services been documented (where these are under the control of the mill or plantation)? e. Where it is not practicable to smallholders to recycle waste (i.e. EFB), is there compensation for the value of the nutrients of EFB given to the smallholders? Is this translated into the pricing factors of FFB?
		6.10.3 Evidence shall be available that all parties understand the contractual agreements they enter into, and that contracts are fair, legal and transparent.	a. Is there a contractual agreement between the miller and smallholders/ middle men? b. Do all parties understand the contractual agreements they have entered into? c. Are all contractual agreements fair, legal and transparent? d. Who keeps the contractual agreements?
		6.10.4 Agreed payments shall be made in a timely manner.	a. How are all payments made to the smallholders/middle men? b. What is the mode of recording/documenting transactions between millers with middlemen and/or smallholders? c. Have agreed payments been made in a timely manner?
6.11	Growers and millers contribute to local sustainable development where appropriate.	**6.11.1** Contributions to local development that are based on the results of consultation with local communities shall be demonstrated. ***Guidance:*** *Contributions to local development should be based on the results of consultation with local communities. See also Criterion 6.2. Such consultation should be based on the principles of transparency, openness and participation, and should encourage communities to identify their own priorities and needs, including the different needs of men and women.* *Where candidates for employment are of equal merit, preference should always be given to members of local communities. Positive discrimination should not be recognised as conflicting with Criterion 6.8.* *Efforts should be made to identify independent smallholders in the supply base.* *Where sourcing of fruit is from identified independent smallholders, efforts should be made to contribute to the improvement of their farming practices.*	a. Have the local development needs and priorities been identified in consultation with local communities? (refer also to C 6.2) b. What are the contributions made to local development? Are they in accordance with the results of consultation? c. Are there efforts to improve or maximise employment opportunities at the company for local communities?
		6.11.2 Where there are scheme smallholders, there shall be evidence that efforts and/or resources have been allocated to improve smallholder productivity.	a. Is there a complete registry of independent smallholders in the supply base? b. Have efforts been made to improve the farming practices of independent smallholders? c. Where there are schemed smallholders, have efforts and/or resources been allocated to improve smallholder productivity?

NO.	CRITERION	INDICATOR	CHECKLIST
6.12	No forms of forced or trafficked labour are used. (Forced labour refers to situations in which persons are coerced to work through the use of violence or intimidation, or by more subtle means such as accumulated debt, retention of identity papers or threats of denunciation to immigration authorities)	**6.12.1** (M) There shall be evidence that no forms of forced or trafficked labour are used. ***Specific Guidance:*** ***For 6.12.1:*** *Workers should enter into employment voluntarily and freely, without the threat of a penalty, and should have the freedom to terminate employment without penalty given reasonable notice or as per agreement.* ***Guidance*** *Migrant workers should be legalised, and a separate employment agreement should be drawn up to meet immigration requirements for foreign workers and international standards. Any deductions made should not jeopardise a decent living wage.* *Passports should only be voluntarily surrendered.* *There should be evidence of due diligence in applying this to all sub-contract workers and suppliers.* *National guidance should be used on contract substitution.*	a. What is the company's policy on forced or trafficked labour? b. How does the company define forced or trafficked labour? c. What is the process of recruiting foreign/ migrant workers directly and/or through licenced outsourcing agencies/ labour suppliers? d. Who is the person responsible for selecting/ screening labour suppliers/ outsourcing agents? e. Do the foreign workers have to pay a fee to the employment recruitment agency or labour suppliers in the workers' countries of origin? If yes, does it jeopardise decent living wage? f. Are there restrictions on workers from leaving the mill or estate or their housing facilities outside working hours? g. What is the process if a worker wants to terminate their employment before their contract expires? In this case, who pays for the return transportation? h. What are the penalties imposed if the workers were terminated or fired before their contract expires? i. Who keeps the workers passports or identity documents? j. If workers do not keep their passports or identity documents, is this legally allowed? k. What is the process for workers' to hand over their passports or identity documents to the company? l. Do workers have unrestricted access to their passports or identity documents? Describe how workers are able to access their documents?
		6.12.2 Where applicable, it shall be demonstrated that no contract substitution has occurred.	a. Is there evidence of contract substitution occurring? b. Are foreign workers asked to sign a contract upon arriving in the receiving country? If yes, is that contract identical to the one signed in the country of origin? c. Are workers given a copy of their employment contracts? If yes, is the contract identical to the one signed at the time of recruitment?
		6.12.3 (M) Where temporary or migrant workers are employed, a special labour policy and procedures shall be established and implemented. ***Specific Guidance:*** ***For 6.12.3:*** *The special labour policy should include:* • *Statement of the non-discriminatory practices;* • *No contract substitution;* • *Post-arrival orientation programme to focus especially on language, safety, labour laws, cultural practices etc.;* • *Decent living conditions to be provided.*	a. What is the company's policy and procedures for temporary or foreign/migrant workers? Does the special labour policy include: • Statement of the non-discriminatory practices? • No contract substitution? • Post-arrival orientation programme with emphasis on language, safety, labour laws, cultural practices etc.? • The provision of decent living conditions? b. Have the policies and procedures been implemented?

NO.	CRITERION	INDICATOR	CHECKLIST
6.13	Growers and millers respect human rights.	**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). ***Guidance:*** *See also Criterion 6.3.* *All levels of operations will include contracted third parties (e.g. those involved in security).* ***Note:*** *From the UN Guiding Principles on Business and Human Rights:* *"The responsibility of business enterprises to respect human rights refers to internationally recognised human rights – understood, at a minimum, as those expressed in the International Bill of Human Rights and the principles concerning fundamental rights set out in the International Labour Organization's Declaration on Fundamental Principles and Rights at Work" ("The corporate responsibility to respect human rights" in Guiding Principles on Business and Human Rights).* *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.*	a. Is there a company policy on human rights? b. How is this communicated to all employees, including outsourced workers, customers and suppliers? If by training, how often is the training conducted? c. Who has the task of communicating the policy internally and externally? d. Does the company have any outstanding cases of human rights violations?
	Principle 7: Responsible Development of New Plantings		
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.	**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. ***Guidance:*** *See also Criteria 5.1 and 6.1.* *The terms of reference should be defined and impact assessment should be carried out by accredited independent experts, in order to ensure an objective process. Both should not be done by the same body. A participatory methodology including external stakeholder groups is essential to the identification of impacts, particularly social impacts. Stakeholders such as local communities, government departments and NGOs should be involved through the use of interviews and meetings, and by reviewing findings and plans for mitigation.* *It is recognised that oil palm development can cause both positive and negative impacts. These developments can lead to some indirect/secondary impacts which are not under the control of individual growers and millers. To this end, growers and millers should seek to identify the indirect/secondary impacts within the SEIA, and where possible work with partners to explore mechanisms to mitigate the negative indirect impacts and enhance the positive impacts.* *The potential impacts of all major proposed activities should be assessed in a participatory way prior to development. The assessment should include, in no order of preference and as a minimum:* • *Assessment of the impacts of all major planned activities, including planting, mill operations, roads and other infrastructure;* • *Assessment, including stakeholder consultation, of High Conservation Values (see Criterion 7.3) that could be negatively affected;* • *Assessment of potential effects on adjacent natural ecosystems of planned developments, including whether development or expansion will increase pressure on nearby natural ecosystems;*	a. Is there any new plantings or operations, or expanding existing ones by the company? What is the size of the new planting area? b. Has an independent social and environmental impact assessment (SEIA) been documented for the new plantings? c. Are the impact assessments prepared by accredited independent experts? d. Are all environmental and social impacts adequately identified? e. Is the SEIA undertaken based on the scope of operation? f. Is the SEIA undertaken in a participatory manner, including the relevant affected stakeholders? g. Does the SEIA assessment include and as a minimum: • Assessment of the impacts of all major planned activities, including planting, mill operations, roads and other infrastructure? • Assessment, including stakeholder consultation, of High Conservation Values (see Criterion 7.3) that could be negatively affected? • Assessment of potential effects on adjacent natural ecosystems of planned developments, including whether development or expansion will increase pressure on nearby natural ecosystems? • Identification of watercourses and wetlands and assessment of potential effects on hydrology and land subsidence of planned developments. Measures should be planned and implemented to maintain the quantity, quality and access to water and land resources? • Baseline soil surveys and topographic information, including the identification of steep slopes, marginal and fragile soils, areas prone to erosion, degradation, subsidence, and flooding? • Analysis of type of land to be used (forest, degraded forest, cleared land)?

NO.	CRITERION	INDICATOR	CHECKLIST
		• *Identification of watercourses and wetlands and assessment of potential effects on hydrology and land subsidence of planned developments. Measures should be planned and implemented to maintain the quantity, quality and access to water and land resources;* • *Baseline soil surveys and topographic information, including the identification of steep slopes, marginal and fragile soils, areas prone to erosion, degradation, subsidence, and flooding;* • *Analysis of type of land to be used (forest, degraded forest, cleared land);* • *Analysis of land ownership and user rights;* • *Analysis of current land use patterns;* • *Assessment of potential social impacts on surrounding communities of a plantation, including an analysis of potential effects on livelihoods, and differential effects on women versus men, ethnic communities, and migrant versus long-term residents;* • *Identification of activities which may generate significant GHG emissions.* *Plans and field operations should be developed and implemented to incorporate the results of the assessment. One potential outcome of the assessment process is that the development may not proceed because of the magnitude of potential impacts.* *For smallholder schemes, the scheme management should address this Criterion. For individual smallholders, this Criterion does not apply.* *Where there is no National Interpretation, for land areas greater than 500ha, a full independent assessment will be required. For land areas less than 500ha, an internal assessment using selected components of SEIA and HCV assessments can be used. Where such internal assessments identify significant environmentally or socially sensitive areas or issues, an independent assessment will be undertaken.*	• Analysis of land ownership and user rights? • Analysis of current land use patterns? • Assessment of potential social impacts on surrounding communities of a plantation, including an analysis of potential effects on livelihoods, and differential effects on women versus men, ethnic communities, and migrant versus long-term residents? • Identification of activities which may generate significant GHG emissions? h. What were the main findings of the assessment? i. Were secondary impacts of oil palm development identified in the SEIA?
		7.1.2 Appropriate management planning and operational procedures shall be developed and implemented to avoid or mitigate identified potential negative impacts.	a. Does the findings of the SEIA uncover any negative impacts? If yes, has a management plan and operational procedures been developed to mitigate the negative impacts? b. Has the management plan and operational procedures been implemented?
		7.1.3 Where the development includes an outgrower scheme, the impacts of the scheme and the implications of the way it is managed shall be given particular attention.	a. Are any outgrowers involved in the new plantings? b. Has management prepared a plan for the outgrower scheme? c. Does the SEIA include an assessment of impacts and the implications of the way the outgrower scheme is managed?
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.	**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. ***Guidance:*** *These activities can be linked to the Social and Environmental Impact Assessment (SEIA) (see Criterion 7.1) but need not be done by independent experts.* *Soil suitability maps or soil surveys should be appropriate to the scale of operation and should include information on soil types, topography, hydrology, rooting depth, moisture availability, stoniness and fertility to ensure long-term sustainability of the development. Soils requiring appropriate practices should be identified (see Criteria 4.3 and 7.4). This information should be used to plan planting programmes, etc. Measures should be planned to minimise erosion*	a. Are soil suitability/survey maps for the planted areas available or in place? • Is the map adequate to establish the long-term suitability of land for oil palm cultivation? • Are the soil suitability maps or soil surveys appropriate to the scale of operation? • Does the soil suitability maps or soil surveys include information on soil types, topography, and hydrology, rooting depth, moisture availability, stoniness and fertility? • Do the soil suitability maps or soil surveys identify soils requiring appropriate practices? b. Are there any areas located within the plantation perimeters that are considered unsuitable for long-term oil palm cultivation? • Are such areas delineated in the plans? • Are there areas set aside for conservation?

NO.	CRITERION	INDICATOR	CHECKLIST
		through appropriate use of heavy machinery, terracing on slopes, appropriate road construction, rapid establishment of cover, protection of riverbanks, etc. Areas located within the plantation perimeters that are considered unsuitable for long-term oil palm cultivation will be delineated in plans and included in operations for conservation or rehabilitation as appropriate (see Criterion 7.4). *Assessing soil suitability is also important for smallholders, particularly where there are significant numbers operating in a particular location. Information should be collected on soil suitability by companies planning to purchase Fresh Fruit Bunches (FFB) from potential developments of independent smallholders in a particular location. Companies should assess this information and provide information to independent smallholders on soil suitability, and/or in conjunction with relevant government/public institutions and other organisations (including NGOs) provide information in order to assist independent smallholders to grow oil palm sustainably.*	• Or are there plans for rehabilitation as appropriate? c. Does the company plan to purchase Fresh Fruit Bunches (FFB) from potential developments of independent suppliers in a particular location? d. If yes, the following information should be obtained: • Is information on soil suitability collected and assessed? • Has the company provided information on soil suitability to the independent smallholders in order to assist them to grow oil palm sustainably?
		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.	a. Does the area where plantings are done require drainage or irrigation? b. If yes, is there adequate topographic information to guide the planning of drainage and irrigation systems? c. Is the topographic information and best practices taken into consideration during the development of roads and infrastructure?
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.	**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). ***Specific Guidance:*** ***For 7.3.1:*** *Evidence should include historical remote sensing imagery which demonstrates that there has been no conversion of primary forest or any area required to maintain or enhance one or more HCV. Satellite or aerial photographs, land use maps and vegetation maps should be used to inform the HCV assessment.* *Where land has been cleared since November 2005, and without a prior and adequate HCV assessment, it will be excluded from the RSPO certification programme until an adequate HCV compensation plan has been developed and accepted by the RSPO.* ***Guidance:*** *This Criterion applies to forests and other vegetation types. This applies irrespective of any changes in land ownership or farm management that have taken place since November 2005. HCVs may be identified in restricted areas of a landholding, and in such cases new plantings can be planned to allow the HCVs to be maintained or enhanced.* *The HCV assessment process requires appropriate training and expertise, and will include consultation with local communities, particularly for identifying social HCVs. HCV assessments should be conducted according to the National Interpretation of the HCV criteria or according to the Global HCV Toolkit if a National Interpretation is not available (see Definitions).* *Developments should actively seek to utilise previously cleared and/or degraded land on mineral soil. Plantation development should not put indirect pressure on forests through the use of all available agricultural land in an area.*	a. Since November 2005, have any new plantings replaced primary forest, or any area required to maintain or enhance one or more High Conservation Values (HCVs)? If yes, was an adequate HCV assessment carried out prior to the clearing of the land? b. Where HCVs have been identified on the land that is intended for new plantings, have new plantings been planned and managed to best ensure the HCVs identified are maintained and/or enhanced (see Criterion 5.2)? c. Are there finalised HCV maps and areas endorsed/signed off by management showing type of HCV and area coverage (ha)? d. Has the company comply with NPP procedures? i.e. NPP documents was submitted and put for public notification. e. Is CB verification of NPP documents include field verification? If not, field verification of HCV is required during certification audit. f. Where land has been cleared since November 2005, and without a prior and adequate HCV assessment, is there evidence that an adequate HCV compensation plan for the affected area has been developed and accepted by the RSPO?

NO.	CRITERION	INDICATOR	CHECKLIST
		Where landscape level HCV maps have been developed, these should be taken into account in project planning, whether or not such maps form part of government land use plans. *In case of small areas located either in hydrologically sensitive landscapes or in HCV areas where conversion can jeopardise large areas or species, an independent assessment will be required. HCV areas can be very small.* *Once established, new developments should comply with Criterion 5.2.*	
		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.	a. Is the prepared HCV assessment comprehensive? Was the assessment prepared in consultation with the affected stakeholders prior to any conversion or new planting? b. Do the HCV assessments include 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)
		7.3.3 Dates of land preparation and commencement shall be recorded.	a. Are the dates of land preparation and commencement recorded?
		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).	a. Has the company developed an action plan that describes operational actions consequent to the findings of the HCV assessment? b. Does the action plan reference the grower's relevant operational procedures (see Criterion 5.2)?
		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 HCV assessments and management plans (see Criterion 5.2). ***Specific Guidance:*** ***For 7.3.5****: The management plan will be adaptive to changes in HCV 5 and 6. Decisions will be made in consultation with the affected communities.*	a. Have areas required by affected communities to meet their basic needs, taking into account potential positive and negative changes in livelihood resulting from proposed operations, been identified in consultation with the communities? b. Have these areas been incorporated into HCV assessments and management plans (see Criterion 5.2)?
7.4	Extensive planting on steep terrain, and/or marginal and fragile soils, including peat, is avoided.	**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. ***Guidance:*** *This activity should be integrated with the social and environmental impact assessment (SEIA) required by Criterion 7.1.* *Planting on extensive areas of peat soils and other fragile soils should be avoided (see Criterion 4.3). Adverse impacts may include hydrological risks or significantly increased risks (e.g. fire risk) in areas outside the plantation (see Criterion 5.5).*	a. Are there maps identifying marginal and fragile soils, including excessive gradients and peat soils? b. If peat is present, does the map show the extent, nature, and depth of peat? c. Are the maps used to identify areas that are inappropriate for planting? d. Have the maps been incorporated for use in the social and environmental impact assessment (SEIA)? e. Is there evidence that planting on extensive areas of peat soils and other fragile soils have been avoided?

NO.	CRITERION	INDICATOR	CHECKLIST
		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.	a. Are there plans to protect planted areas on fragile and marginal soils, including peat from adverse impacts? b. Does the plan take into consideration specific control and NI thresholds, including: • Slope limits; • List of soil types that need to be avoided, especially peat soil; • Proportion of plantation areas that can include marginal / fragile soil. c. Has the plan been implemented?
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.	**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. *Refer also to criteria 2.2, 2.3, 6.2, 6.4 and 7.6 for Indicators and Guidance on compliance.* ***Guidance:*** *This activity should be integrated with the Social and Environmental Impact Assessment (SEIA) required by Criterion 7.1.* *Where new plantings are considered to be acceptable, management plans and operations should maintain sacred sites. Agreements with indigenous peoples, local communities and other stakeholders should be made without coercion or other undue influence (see Guidance for Criterion 2.3).* *Relevant stakeholders include those affected by or concerned with the new plantings.* *Free, prior and informed consent (FPIC) is a guiding principle and should be applied to all RSPO members throughout the supply chain. Refer to RSPO approved FPIC guidance ('FPIC and the RSPO; A Guide for Companies', October 2008).* *Customary and user rights will be demonstrated through participatory user mapping as part of the FPIC process.*	a. Does the new planting area include 'local people's land'? b. If yes, has the community given their consent? c. Is there evidence to demonstrate that the consent/agreement has been given? d. Has the community been given the opportunity to say 'no' to the proposed development? e. Are the principles of the FPIC process followed?
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.	**7.6.1** (M) Documented identification and assessment of demonstrable legal, customary and user rights shall be available. ***Specific Guidance:*** ***For 7.6.1:*** *This activity shall be integrated with the social and environmental impact assessment (SEIA) required by Criterion 7.1.* ***Guidance:*** *Refer to Criteria 2.2, 2.3 and 6.4 and associated Guidance.* *This requirement includes indigenous peoples (see Annex 1).* *Refer to RSPO approved FPIC guidance ('FPIC and the RSPO; A Guide for Companies', October 2008)*	a. Does the SEIA include the identification and assessment of legal, customary and user rights of the area? b. Does the company have SOPs to identify and assess any legal, customary and user rights of the local peoples? c. Is there any known notification from the stakeholders claiming to have legal, customary and/or user rights on the land for the new planting area? d. Has the claim been identified and assess according to the protocol/SOP? Does the process follow and respect the FPIC principles? e. Has the process of identification and assessment been recorded/documented and made publicly available?

NO.	CRITERION	INDICATOR	CHECKLIST
		7.6.2 (M) A system for identifying people entitled to compensation shall be in place.	a. Does the company have a system in place to identify people and/or community groups entitled to compensation? b. Is the system documented? c. Does the system follow and respect the FPIC principles?
		7.6.3 (M) A system for calculating and distributing fair compensation (monetary or otherwise) shall be in place.	a. Does the company have a system in place to calculate and distribute fair compensation (monetary or otherwise)? b. Is the system documented and publicly made available? c. Does the system follow and respect the FPIC principles?
		7.6.4 Communities that have lost access and rights to land for plantation expansion shall be given opportunities to benefit from plantation development.	a. Does the company provide communities that have lost access and rights to land for plantation expansion opportunities to benefit from plantation development?
		7.6.5 The process and outcome of any compensation claims shall be documented and made publicly available.	a. Is the process and outcome of any compensation claims documented and made publicly available?
		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. **Specific Guidance:** **For 7.6.6:** Growers and millers will confirm that the communities (or their representatives) gave consent to the initial planning phases of the operations prior to the new issuance of a concession or land title to the operator.	a. Is there record to show that the community and rights holders have freedom to access information and independent advisor(s) concerning the legal, economic, environmental and social implications of the proposed operations on their lands? b. Is there evidence to show that the company has sought the community and the right holders' consent to the initial planning phases of the operations prior to the new issuance of a concession or land title? c. Did the communities (or their representatives) give consent to the initial planning phases of the operations prior to the new issuance of a concession or land title?
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.	**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. ***Guidance:*** *Fire should be used only where an assessment has demonstrated that it is the most effective and least environmentally damaging option for minimising the risk of severe pest and disease outbreaks, and exceptional levels of caution are required for use of fire on peat. This should be subject to regulatory provisions under respective national environmental legislation. Extension/training programmes for smallholders may be necessary.*	a. Is there evidence of land preparation by burning? (The auditors shall conduct site verification of the newly planted site which will include interviews with workers). b. Was land prepared using the burn method due to reasons or specific situations, as identified in the *'Guidelines for the Implementation of the ASEAN Policy on Zero Burnings' 2003*, or comparable guidelines in other regions? c. If the burn method has been used for land preparation, has the company complied with the requirements of 'Guidelines *for the Implementation of the ASEAN Policy on Zero Burning' 2003*, or comparable guidelines in other regions? d. Is document showing proper justification for such activity available?

NO.	CRITERION	INDICATOR	CHECKLIST
		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. ***Specific Guidance:*** ***For 7.7.2:*** *This activity shall be integrated with the social and environmental impact assessment (SEIA) required by Criterion 7.1.*	a. In exceptional cases where fire has to be used for preparing land for planting, is there 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? b. Was the activity incorporated in the SEIA report? c. What were the mitigation measures? Was it implemented?
7.8[2]	*Preamble*	*It is noted that oil palm and all other agricultural crops emit and sequester greenhouse gases (GHG). There has already been significant progress by the oil palm sector, especially in relation to reducing GHG emissions relating to operations. Acknowledging both the importance of GHGs, and the current difficulties of determining emissions, the following new Criterion is introduced to demonstrate RSPO's commitment to establishing a credible basis for the Principles and Criteria on GHGs.* *Growers and millers commit to reporting on projected GHG emissions associated with new developments. However, it is recognised that these emissions cannot be projected with accuracy with current knowledge and methodology.* *Growers and millers commit to plan development in such a way to minimise net GHG emissions towards a goal of low carbon development (noting the recommendations agreed by consensus of the RSPO GHG WG2).* *Growers and millers commit to an implementation period for promoting best practices in reporting to the RSPO, and after December 31st 2016 to public reporting. Growers and millers make these commitments with the support of all other stakeholder groups of the RSPO.*	
7.8[3]	New plantation developments are designed to minimise net greenhouse gas emissions.	**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. ***Specific Guidance:*** ***For 7.8.1:*** *GHG identification and estimates can be integrated into existing processes such as HCV and soil assessments.* *The RSPO carbon assessment tool for new plantings will be available to identify and estimate the carbon stocks. It is acknowledged that there are other tools and methodologies currently in use; the RSPO working group will not exclude these, and will include these in the review process.* *The RSPO PalmGHG tool or an RSPO-endorsed equivalent will be used to estimate future GHG emissions from new developments using, amongst others, the data from the RSPO carbon assessment tool for new plantings.*	a. Is there an assessment conducted to identify and estimate the carbon stock in the proposed development area and major potential sources of emissions that may result directly from the development? b. What are the tools and methodologies used to identify and estimate the carbon stock and potential sources of emission? c. Has the results of the carbon stock assessment been submitted and reported to RSPO according to RSPO procedures and timeline?

[2] New Criteria - Preamble
[3] New Criteria - New plantation developments are designed to minimize net greenhouse gas emissions.

NO.	CRITERION	INDICATOR	CHECKLIST
		Parties seeking to use an alternative tool for new plantings will have to demonstrate its equivalence to the RSPO for endorsement. ***Guidance*** *This Criterion covers plantations, mill operations, roads and other infrastructure. It is recognised that there may be significant changes between the planned and final development area, hence the assessment may need to be updated before the time of implementation.* *Public reporting is desirable, but remains voluntary until the end of the implementation period.* *During the implementation period until December 31st 2016 (as specified in Criterion 5.6), reporting on GHG will be to a relevant RSPO working group (composed of all membership categories) which will use the information reported to review and fine tune the tools, emission factors and methodologies, and provide additional guidance on the process. During the implementation period the RSPO working group will seek to further develop and continually improve the RSPO carbon assessment tool for new plantings, recognising the challenges associated with estimating carbon stocks and projecting GHG emissions from new developments.* *Thereafter growers and millers will ensure that new plantation developments are designed to minimise net GHG emissions and commit to reporting publicly on this.* *Once established, new developments should report on-going operational, land use and land use change emissions under Criterion 5.6.*	
		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. ***Specific Guidance:*** ***For 7.8.2:*** *Growers are strongly encouraged to establish new plantings on mineral soils, in low carbon stock areas, and cultivated areas, which the current users are willing to develop into oil palm. Millers are encouraged to adopt low-emission management practices (e.g. better management of palm oil mill effluent (POME), efficient boilers etc.) in new developments.* *Growers and millers should plan to implement RSPO best management practices for the minimisation of emissions during the development of new plantations.*	a. Is there a plan to minimise net GHG emissions from new development? b. Does this plan take into account avoidance of land areas with high carbon stocks, sequestration options and low-emission management practices?
	Principle 8: Commitment To Continual Improvement In Key Areas of Activity.		
8.1	Growers and millers regularly monitor and review their activities, and develop and implement action plans that allow demonstrable continual improvement in key operations.	**8.1.1** (M) The action plan for continual 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: • 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);	a. Is there an action plan for continual improvement? b. Describe the main components of the plan. c. Has the action plan been implemented? d. Provide examples of continual improvements that have been implemented. e. Are history records available to develop the action plan? f. Are records of implementation of the action plan available? g. Does the action plan include strategies for:

NO.	CRITERION	INDICATOR	CHECKLIST
		• Social impacts (Criterion 6.1); • Optimising the yield of the supply base. ***Guidance:*** *Growers should have a system to improve practices in line with new information and techniques, and a mechanism for disseminating this information throughout the workforce. For smallholders, there should be systematic guidance and training for continual improvement.*	• Reduction in use of pesticides (Criterion 4.6)? Is IPM widely implemented? • 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? h. Do growers have a system to improve practices in line with new information and techniques, and a mechanism for disseminating this information throughout the workforce?

Section 3 – Checklist for Supply Chain Audit of the Mill

No.	Elements	
1.0	Name of the mill	
	Are all FFB sources certified?	
	The mill is IP or MB, use Module D or E	
2.0	Estimated annual tonnage of the followings are available: • FFB received from each certified source (sub management unit) • CSPO produced • CSPK produced	
3.0	Registration with IT trading platform	
4.0	Standard operation procedures or work instruction covering all elements of supply chain model is available	
	The SOP is consistently implemented	
	Records and reports demonstrating compliance are available	
	The person in charge who has authority over the supply chain is identified.	
	The person are knowledgeable and competent in implementing the supply chain procedures	
	Evidence of training of employees on supply chain are available	
4.0	Documents recording tonnage and source of certified FFB received	
	Records of actual oil and kernel extraction rates (OER and KER) are maintained	
	Records of production and sales of CSPO and CSPK are available	
5.0	In the case of IP, the certified products are segregated all the way through, including the crude oil storage tanks	

Section 4 - Checklist on elements stipulated in the RSPO System Document

Follows are elements of RSPO Certification System (2007, amendment 2011) that need to be checked/audited by the CB while auditing a certification unit. The elements listed are a guidance for the CB in ensuring that the audit done take into considerations aspects highlighted in the system document. Non satisfactory compliance may results in issuance of findings.

Section	Elements for compliance	Evidence of compliance
	Audit is conducted on the : - Area of plantation to be certified, including the productive and non-productive (infrastructures, conservation, HCV, community use, set aside areas etc.) land within the concession - Estimated production of FFB produced by the supply bases. - Estimated CSPO and CSPK to be generated by the mill. - Supply from smallholders and outgrowers, if any.	
	Quality maps showing the concession boundary and its supply bases are available.	
	Audit team poses proper/adequate qualification and relevant to the certification unit being audited.	
	Audit plan and days allocated commensurate with the size of the area and issues to be audited.	
4.1	Assessment / audit team is qualified and without conflict of interest	
4.2.3	Unit of certification shall be the mill and its supply base	
	All FFB from the directly managed land shall be produced to certifiable standards. The mill will develop and implement a plan to ensure that 100% of associated smallholders and outgrowers are of certifiable standards within 3 years.	
4.2.4	A challenging Time Bound Plan (TBP) for certifying all its relevant entities (all managed land) is available is submitted to the CBs during the first audit.	
4.2.4 (b)	Progress towards this plan is verified will be verified at each audit.	
4.2.4 (c)	Any revision to the TBP is permitted only when the organisation can demonstrate that they are justified.	
4.2.4 (e)	Any new plantings after November 2005 must comply to RSPO New Planting Procedures (NPP).	
4.2.4 (f)	Land conflicts, if any, are being resolved through mutually agreed process.	
4.2.4 (g)	Labour conflicts are resolved through mutually agreed process.	
4.2.5	Issuance on non-compliance. Corrective actions issued during previous audits are closed on time. Justification for closing out the NCs are documented.	
4.2.9	Number of sub management unit audited is consistent and exceed compared to the sampling formula.	

4.3.1	Stakeholder list compiled include statutory bodies, indigenous peoples, local communities, workers organisations, smallholders, local and international NGOs.	
4.3.2	Stakeholder notification has been made one month prior to field assessment.	
	Comments made by the stakeholders are gathered and investigated. List of stakeholders contacted, responded and comments received.	
4.3.5	Monitoring or surveillance assessments are conducted at least annually and must include appropriate evidence gathering to verify corrective action or in repose to complaints.	
4.7	Is the claims being made by the company consistent with RSPO procedures?	

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