

# ROUNDTABLE CONFERENCE ON SUSTAINABLE PALM OIL

Pertinent elements of the revised RSPO Certification System Document By Aminah Ang, Head of Assurance, RSPO



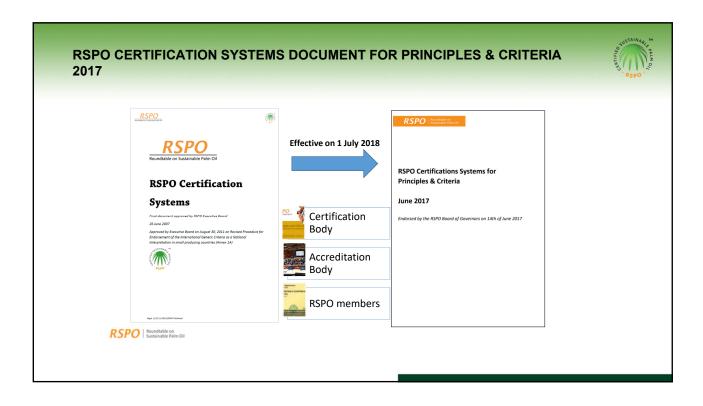
A Renewed Commitment to Achieving Market Transformation



# RSPO CERTIFICATION SYSTEMS DOCUMENT FOR PRINCIPLES & CRITERIA 2017



- This document sets out the requirements for the systems that shall be followed in the implementation of certification against the requirements of the RSPO P&C and/or its National Interpretations (including the certification of any sub-set of the RSPO P&C as required under the RSPO New Planting Procedure).
- Strengthening the whole assurance process
  - CB
  - Grower





#### **Transfer of certification between CBs**

- > At any time during certification cycle
- ➤ Only one time per cycle. If there is a need for second transfer, a written permission from RSPO secretariat must be obtained through a request made by the company or the CB
- > Open major NC's not allowed
- > Financial obligations have been met



#### Impartiality and conflict of interest

- > CB's auditor independence from the organization being assessed for a minimum of **three** years to be considered not to have a conflict of interest.
- ➤ CB shall not use the same lead auditor as audit team leader for more than three consecutive visits (counting all types of audits, i.e. certification audits and surveillance audits) to a management unit

## **IMPORTANT HIGHLIGHTS**



#### **Unit of certification**

- Multi mills are possible deviations may be requested from the RSPO Secretariat
- > The mill shall develop and implement a plan to ensure 100% of the scheme smallholders and scheme outgrowers are certified within 3 years of the mill's Initial Certification.
- The CB shall raised observation on 1<sup>st</sup> year, minor NC on 2<sup>nd</sup> year and major NC on 3<sup>rd</sup> year

#### Initial certification audit planning

Also determines compliance against other RSPO's procedures such as NPP and RaCP



#### Minimum requirements for multiple management units

Time Bound Plan (TBP)

- > Must declare all mills and estates
- > All mills and estates to be certified within 5 years of membership
- > New acquired must be certified within 3 years
- > Any deviations from these maximum periods requires approval by the RSPO Secretariat
- > Any revision to the time-bound plan or to the circumstances of the company shall cause the time-bound plan to be reviewed by the CB
- > isolated lapses in implementation of a time-bound plan, a minor non-compliance shall be raised
- > evidence of fundamental failure to proceed with implementation of the plan, a major non-compliance shall be raised



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## **IMPORTANT HIGHLIGHTS**



#### Minimum requirements for multiple management units

Non-certified units

- > No replacement of HCV
- > Land conflicts being resolved
- > Labor disputes being resolved
- > Legal non-compliance being addressed



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# Sampling

- > 4 estates all to be audited
- ➤ More than 4 estates sampling based on risks analysis
- Minimum sample of x estates,  $x = (0.8\sqrt{y}) x (z)$ , where y is the number of estates and where z is the multiplier defined by the risk assessment.
- ➤ This sampling intensity also applies to associated smallholders, where applicable.

## **IMPORTANT HIGHLIGHTS**



## Addressing major and minor non-compliances

- Certification submissions to the RSPO IT platform, cannot be based on audits performed more than twelve months before the date of submission.
- Major non-compliances raised during surveillance and re-certification audits shall be closed successfully within 90 days, or the certificate will be suspended, and subsequently withdrawn if the major non-compliances are not addressed within an agreed timeframe as set between CB and RSPO member, not longer than six months from the last day of the audit.
- Recurring major non-compliances on the same indicator in successive surveillance audits will automatically lead to immediate suspension of the certificate. This suspension shall be lifted when the non-compliances are successfully addressed.



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## Addressing major and minor non-compliances

- If there are five or more major non-compliances within one Principle being observed in an Annual Surveillance Audit or in a re-certification audit, this will lead to immediate suspension from the RSPO certification
- > The timeline for non-compliances is accounted from the date of the closing meeting.



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# **IMPORTANT HIGHLIGHTS**



#### Reporting

- > No major NC the CB shall finalise the full report within 30 days of the site assessment of the audit
- > With major NCs the full report to be finalised within two weeks of the closure of the last major NC, but no later than two weeks following the 90-day closure period.
- > For initial certifications and re-certifications an additional three weeks is allowed for the peer review.
- The CB shall submit a copy of the public summary report including the template and the certificate to the RSPO Secretariat within **seven days** of a certificate being issued, by uploading it onto the RSPO IT platform, which will subsequently be published on the RSPO website.



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# Suspension and withdrawal of certification

- ➤ Inform RSPO (Head of Certification) within 1 day together with the effective date and justification of suspension or withdrawal
- ➤ The RSPO will update and announce the status of the certificate in the RSPO website database based on the information given by the CB within seven days.
- ➤ The RSPO Secretariat may instruct a CB to suspend or withdraw a certificate. In such cases the CB will implement the request within five days. This must be based on the internal processes and decisions within the RSPO Secretariat.



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#### **IMPORTANT HIGHLIGHTS**



#### **Annual surveillance audits**

- ➤ 8 12 months after certificate issue date / to license expiration date
- > Include checks on communications and claims

#### **Recertification Audits**

- ➤ 8 12 months of the certificate issue date
- > time extension up to a maximum of three months may be approved by the RSPO Secretariat.
- If the recertification audit decision is taken later than the maximum time extension allowed, i.e. after three months, the certification period will follow a new cycle starting with date of the audit decision.



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# **Thank You**

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