

ROUNDTABLE CONFERENCE ON SUSTAINABLE PALM OIL

**Pertinent elements of the revised RSPO
Certification System Document
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**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

RSPO CERTIFICATION SYSTEMS DOCUMENT FOR PRINCIPLES & CRITERIA 2017



IMPORTANT HIGHLIGHTS



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

IMPORTANT HIGHLIGHTS



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 1st year, minor NC on 2nd year and major NC on 3rd year

Initial certification audit planning

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

IMPORTANT HIGHLIGHTS



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

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

IMPORTANT HIGHLIGHTS



Sampling

- 4 estates - all to be audited
- More than 4 estates - sampling based on risks analysis
- Minimum sample of x estates, $x = (0.8\sqrt{y}) \times (z)$, 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.

IMPORTANT HIGHLIGHTS



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.

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.

IMPORTANT HIGHLIGHTS



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.

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.

Thank You

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