

**Sample**

**RSPO Supply Chain**

**Certification procedures**

**June 2020**

**Guide**

**How to use this document**

You may use this document for inspiration on how to develop and structure your own company-specific RSPO Supply Chain Certification (SCC) procedures. Please be aware that this is a generic, fictional example and that you need to develop your own procedures that are specifically tailored to your company set-up and the scope of your certification.

Please note that references to a specific point in the applicable RSPO Standard are given in parentheses. These will help you to go directly to the relevant part of the SCC standard and find out why certain sections or elements have been included in the procedures.

**IMPORTANT**

This document is provided by NEPCon as a generic example of RSPO SCC procedures. The company presented in these procedures is fictional and the specific system details are provided merely as examples.

These sample procedures have been designed to help you to comply with the RSPO-STD-T05-00 V2 ENG Supply Chain Certification Standard by providing an example of how SCC procedures may be structured.

This is a support tool that you may use voluntarily as a basis for developing your own company-specific procedures. It cannot be applied directly. You always need to develop and tailor your own procedures.

Using this document is not mandatory for achieving certification and does not imply any guarantee or assurance regarding the conformance level of your actual company procedures.

Although we have made an effort to cover all Standard requirements, we do not provide any guarantee as to the completeness of these procedures.

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**RSPO SCC procedures for Oil Company Ltd**

1. **Introduction to the RSPO SCC manual**

In order to ensure our fulfilment of all applicable RSPO SCC requirements, Oil Company Ltd has compiled this RSPO Supply Chain Certification (SCC) manual. The manual is based on the RSPO-STD-T05-001 V1.1 ENG Supply Chain Certification Standard and it addresses all applicable requirements of this standard. The Production Manager is responsible for the maintenance and correct implementation of this manual (*RSPO SCC 5.3.1*)[[1]](#footnote-1).

This manual is prepared to help our employees to:

* control the flow of materials throughout reception, processing, packing and shipping processes so that all applicable RSPO SCC requirements are met; and
* ensure that we meet the requirements of RSPO-STD-T05-001 V2 ENG Supply Chain Certification Standard.

1. **Company background**

Oil Company Ltd was established in 2001 and is a medium-sized confectionary production company. The total turnover of the company in 2019 was 2.4 million EUR. We employ approximately 50 full-time staff.

Our company facilities include raw material storage, two production lines and final product storage facilities. More information about the company is available in our latest annual report.

1. **Responsibilities**

The person with overall responsibility and authority for compliance with all applicable RSPO SCC requirements is the Production Manager (*RSPO SCC 5.3.1).* The Production Manager is also responsible for implementing and maintaining up-to-date documented procedures covering the certification requirements applicable to Oil Company Ltd.’s certificate scope.

Responsibilities for separate areas are specified in each part of the procedures. Responsibilities are also summarised in the following table:

**Table 1. Responsibilities of staff**

|  |  |  |  |
| --- | --- | --- | --- |
| **Area** | **Responsible** | **Area** | **Responsible** |
| Training and staff awareness | Production Manager | Product labelling  Production of sales waybills | Production Team Leader |
| Supplier validation and material sourcing  Purchasing of raw material  Verification of purchase documents | Purchase Manager | Promotional and off-product use of trademarks  Preparation of sales contracts | Sales Manager |
| Material reception | Production Team Leader | Annual volume summary | Bookkeeper |
| Production and segregation in processing  Product group list | Production Manager | Preparation of sales invoices and shipping documentation | Bookkeeper |
| Volume control and conversion factors | Production Manager | Outsourcing | Production Manager |
| Occupational health and safety | Production Manager | Complaints procedure  Transaction registration | Sales Assistant |

*Note: The overall responsible person is responsible for any areas not specified in this table.*

1. **Training**

In our company, RSPO SCC-related training is relevant for all full-time employees, carrying out tasks critical to effective implementation of the supply chain requirements. Training covering the full SCC system and based on this manual is provided to all staff. Initial training is conducted before initial assessment and additional brief training is conducted once per year, when the results of the external RSPO SCC audit are available. New staff shall be personally introduced to this manual before they start work at Oil Company Ltd (*RSPO SCC 5.8.1*).

Training topics are specific and relevant to the tasks performed (*RSPO SCC 5.8.2*).

The Production Manager is responsible for implementing this training procedure.

For each training session, the date of the training, the list of participants, and a brief overview of the topics covered will be documented (*RSPO SCC 5.8.3*). Training of new staff is documented by the employee’s signature and the date of training on a separate staff instruction sheet.

1. **Records**

To enable us to effectively monitor the RSPO SCC system, we maintain records covering all steps and elements of our RSPO SCC system (*RSPO SCC 5.9.1*). Records can be available digitally or on paper in Oil Company Ltd. The minimum maintenance time for all records is two (2) years (*RSPO SCC 5.9.2*).

**Table 2. Summary of the records maintained by Oil Company Ltd related to our RSPO SCC certificate scope**

|  |  |
| --- | --- |
| **Record name** | **Location** |
| Raw material orders | Emails saved on server, in the folder ‘Production’ |
| Purchase waybill, purchase invoice | Digitally stored in the accounting programme |
| List of suppliers | Extracted from the accounting programme |
| Volume information of palm oil or palm kernel oil in the RSPO certified product, including conversion factors (*RSPO SCC 5.9.3, 5.10*) | Extractable from the accounting programme |
| Up-to-date record of volume purchased (input) and claimed (output) over a period of 12 months (*RSPO SCC 5.9.3*) | Extractable from the accounting programme |
| Production orders | Excel files stored on the server, in the folder ‘Production’ |
| Production work sheets | Entered into Excel based on paper sheets; Excel files are saved on the server, in the folder ‘Production’ |
| Stock inventory | Excel files stored on the server, in the folder ‘Inventory’ |
| Sales invoice | Digitally stored in the accounting programme |
| Delivery notes | Digitally stored in the accounting programme |
| Product label types used on products | Sample label designs stored on the server, in the folder ‘Production’ |
| Occupational health and safety | Hard copy stored in the Production Manager’s office and also presented on the message board |
| ***Specific RSPO SCC documents*** | |
| This document | Digitally stored on the server, in the folder ‘RSPO SCC’ |
| RSPO SCC training records | Annexed to this document. **Annex 2.** |
| RSPO SCC personnel training instruction sheet | Hard copy stored in the Production Manager’s office |
| Outsourcing agreement | Stored on the server, in the folder ‘Contracts’. **Annex 5.** |

1. **Procedure for handling complaints**

Oil Company Ltd ensures that complaints received regarding our conformity to the requirements applicable to the scope of our RSPO SCC certificate are adequately considered, including the following (*RSPO SCC 5.12.1*):

1. acknowledge receipt of the complaint to the complainant;
2. investigate the complaint and specify our proposed actions in response to the complaint;
3. take appropriate actions with respect to complaints and any deficiencies found in processes that affect conformity to the certification requirements;
4. notify the complainant when the complaint is successfully addressed and closed.
5. **Internal audit**

The Production Manager is responsible for conducting an annual internal audit of the RSPO SCC system to see whether we comply with both the requirements in the RSPO SCC Standard and the RSPO Market Communications and Claims document. We also check whether we effectively implement and maintain the requirements within our organisation (*RSPO SCC 5.3.2*). We have an internal audit plan in which we schedule the RSPO SCC to take place in February each year.

At a minimum, the following details must be audited:

* Sampling of incoming delivery notes and invoices since last internal/ external audit – Checking correct use of RSPO certificate code and supply chain model according to supplier list
* Sampling of outgoing delivery notes and invoices since last internal/ external audit – Checking correct use of RSPO SCC Code and supply chain model according to products purchased
* Interviews of staff involved in the RSPO SCC system, ensuring that all relevant staff have knowledge of and understand the procedures relevant to their area of responsibility

A report of the internal audit is prepared (see **Annex 7**), including details such as:

* Internal auditor’s name
* Date of the audit
* Names and functions of staff interviewed
* Conclusion – including a description of Non-Conformity Reports (NCRs) and observations
* List of corrective actions implemented to address NCRs
* Management signature

Our internal auditors are (*RSPO SCC 5.3.3*)

* + 1. familiar with the standard
    2. not auditing their own work
    3. issuing corrective actions that will be taken in a timely and appropriate manner

1. **Management review**

Oil Company Ltd will review our RSPO SCC management system annually (*RSPO SCC 5.3.4, 5.13.1*), in which we consider the following input (*RSPO SCC 5.13.2*):

1. Results of our internal audits for RSPO Supply Chain Certification
2. Feedback from our customers, suppliers or any other stakeholders
3. The status of preventive and corrective actions
4. Follow-up actions from previous management reviews
5. Changes possibly affecting the management system
6. Recommendations for improvement

The output from our management review includes any decisions and actions related to the improvement of the effectiveness of our management system and the related processes as well as to our possible resource needs (*RSPO SCC 5.13.3*).

1. **Purchasing and goods in**

The Purchase Manager is responsible for purchasing of raw material, for verifying the validity and scope of the supplier’s RSPO’s certificate, and for verifying purchase documents (*RSPO SCC 5.4.1*).

Oil Company Ltd purchases material with the following claims for its RSPO SCC production:

* SG (Segregated)
* MB (Mass Balance)

**Important:** we can only use the same supply chain model as our supplier or go to a less strict system. Declassification / downgrading can be done only in the following order: Identity Preserved / Segregated / Mass Balance (*RSPO SCC 5.2.1*).

Raw material is ordered based on the estimated need of material, which can be extracted from sales contracts. The Sales Manager, who prepares sales contracts in Excel, will mark ‘RSPO certified’ in the Comments field if the buyer wants the material to be RSPO-certified.

The Purchase Manager is responsible for preparing purchase orders for raw material. If certified material is needed, the following statement is included in the purchase order: ‘Ordered material must be RSPO SG or MB.

Before preparing the purchase order – and, in addition, on a regular basis every month (*RSPO SCC 5.4.3*) – the Purchase Manager must confirm that the supplier has a valid RSPO certificate, or, when purchased from a trader, a valid license (*RSPO SCC 5 5.4.3*). When we purchase from a trader, the trader passes on the certificate code and the supply chain model of the product manufacturer. This is done via the RSPO database (<https://www.rspo.org/certification/supply-chain-certificate-holders>). The Purchase Manager keeps a time-stamped ‘screen shot’ of the database as evidence that the verification occurred at least monthly (*RSPO SCC 5.4.3*).

1. **Incoming materials and stocks**

The Production Team Leader on duty is responsible for receiving incoming material and checking appropriate information on the associated delivery documentation including purchase waybills.

The Production Assistant is responsible for entering the correct volumes in the accounting programme and for checking that the invoices match the delivery documents (*RSPO SCC 5.4.1*).

The materials are delivered by trucks to our warehouse where the Production Team Leader receives it. When material is delivered as certified, the Production Team Leader shall check the following (*RSPO SCC 5.4.2*):

* The name and address of the Oil Company Ltd.
* The name and address of the supplier
* The loading or shipment / delivery date
* The date on which the documents were issued
* A description of the product, including the applicable supply chain model (Segregated or Mass Balance, or SG or MB)
* The quantities of the products delivered
* Any related transport documentation
* Supply Chain certificate code of the supplier (correct codes of the suppliers can be checked in the certified supplier list (see **Annex 3))**
* A unique identification number (invoice number)

If it is clear that the material is certified and corresponds with the ordered material – i.e. it meets the criteria listed above - the Production Team Leader will see the material unloaded to the appropriate tanks and will attach a label with the letters ‘RSPO’ to the tank so that certified material is clearly distinguishable and kept separate from other materials (*RSPO SCC A.3.1, B.2.1*). If we use both SG or MB, this distinction we will also need to make.

If any of the conditions mentioned in the points above are not fulfilled, the material **cannot** be accepted as certified and is not labelled with internal RSPO labels. If the supplier has labelled the material as certified, such labels shall then also be removed to avoid confusion.

At the end of each workday, the Production Team Leader takes the delivery documentation including purchase waybills to the office, where the Production Assistant registers the received material in the accounting programme so that it is added to the existing stock. When we receive an invoice, the Production Assistant shall check that the invoice contains the information shown above. If any information is missing, the material **cannot** be used as certified and corresponding corrections need to be made physically on material pallets and in the accounting programme.

1. **Material handling and supply chain model implementation**

Oil Company Ltd uses the Segregated system to produce RSPO SG-certified products (*RSPO SCC 6-B*), and the Mass Balance method (*RSPO SCC 6-C*) to produce RSPO MB-certified products. We keep all materials to be used for RSPO production physically separate from non-certified materials throughout reception, processing, packing and shipping.

The Production Manager, who prepares production orders, is responsible for ensuring that these documents are clearly marked ‘RSPO’, if the material has been ordered as and must be produced as RSPO-certified.

It is the responsibility of the Production Team Leader to ensure that only certified materials are used for orders of certified products.

At the end of each workday, the volumes of raw material used for production are added up. The Production Manager deducts these volumes from the raw material stock in the accounting programme.

**Segregated**

Certified material is always processed separately (in separate tanks or at separate times) from non-certified material (*RSPO SCC A.2.1, A.3.1, B.2.1, B.3.1)*.

After the first processing stage, a green tracking label with the letters ‘RSPO’ is attached to the tank. This ensures that RSPO SCC-certified material is always clearly distinguishable during production.

It is the responsibility of all staff to ensure that no non-certified material is mixed with certified material, i.e. for orders where green tracking labels are used (*RSPO SCC B.3.1*). Note that it is acceptable to use RSPO-certified material to produce non-certified products.

It is permissible to mix together RSPO SG from different sources or sell RSPO SG as MB (*RSPO SCC C.2*).

When a product is ready, the tracking label is taken by the relevant production worker to the Production Manager, who enters the final product details in the ‘final product stock’ in the accounting programme.

**Mass Balance**

We as Oil Company Ltd also have the option to use the Mass Balance system. This allows us to mix RSPO and non-RSPO certified palm oil products provided that overall site quantities are controlled (*RSPO SCC C.2*). We will reconcile the quantity of the RSPO-certified palm oil products purchased and the quantity of RSPO-certified palm oil products sold. This includes control of purchases and sales of RSPO-certified palm oil products and derivatives which shall be independently certified. If we choose this option, there are no requirements for separate storage, transportation or controls in the production process (*RSPO SCC C.2*).

1. **Volume control**

The Production Manager assumes overall responsibility for volume control. The Bookkeeper is responsible for preparing a correct annual volume summary over a period of twelve months starting from previous audit (*RSPO SCC 5.9.3*).

**The Production Manager is responsible for the following:**

* Received volumes, based on delivery documentation, are recorded under ‘raw material stock’ in the accounting programme.
* Volumes used for production are recorded daily by the Production Manager based on the production work sheets. These volumes are subtracted from the raw material stock in the programme.
* When a product is ready, final product details are entered in the ‘final product stock’ in the accounting programme, based on production work sheets.
* Updating the conversion factor calculations, at least once every quarter, based on the volume records of the past six (6) months. The conversion factor shall be calculated in the following manner: conversion factor = final products produced during the month / raw materials used for production. We calculate the conversion factor for the total production process (*RSPO SCC 5.10.1*).
* At least every quarter, the Production Manager shall check that the volume of certified final products sold corresponds with the raw material purchased and used for production, taking into consideration the conversion factor (*RSPO SCC 5.10.2*).

**The Bookkeeper is in charge of the following:**

* After material has been loaded for delivery to the Oil Company Ltd. and the sales invoice has been issued, the product volumes are subtracted from final product stock.
* Purchased and sold material can be filtered out in the accounting programme based on seller/ buyer, RSPO-certified / non-certified status of material, and/or any time period.

For all certified material, Oil Company Ltd uses separate accounting codes starting with the letter SG for RSPO Segregated-certified material or MB for RSPO Mass Balance-certified material. In this way it is always possible to separate and identify certified material from non-certified material in the accounting programme.

Volumes of purchased RSPO raw material can be extracted from the programme at any time by filtering for the letter SG or MB in the accounting code.

Each January, the Bookkeeper shall prepare an annual volume summary relating to the past 12 months, where the following volumes are summarised for each calendar year and shown for each supplier or buyer. The summary is sent to the Production Manager, who sends this information to our Certification Body prior to the audit (*RSPO SCC 5.9.3*).

**Special option for Mass Balance**

If we choose to mix RSPO-certified with non-certified material, we can also choose to keep a continuous accounting system and/or a fixed inventory period.

When we choose for a **continuous accounting system**, we ensure that the quantity of physical RSPO mass balance palm oil product inputs and outputs at the physical site are monitored on a real-time basis. We also ensure that the material accounting system is never overdrawn. Only RSPO data which has been recorded in the material accounting system shall be allocated to outputs supplied by the organisation (*RSPO SCC C.4.1, C.4.2*).

When we choose a **fixed inventory period**, we ensure that the quantity of RSPO mass balance palm oil product inputs and outputs (volume or weight) are balanced within a fixed inventory period which does not exceed three (3) months. We are also allowed to overdraw data when there is evidence that RSPO mass balance palm oil product purchases for delivery within the inventory period cover the RSPO output quantity supplied.

Unused credits can be carried over and recorded in the material accounting system for the following inventory period.

The Bookkeeper ensures that the material accounting system is not overdrawn at the end of inventory period. Only RSPO data which has been recorded in the material accounting system within the inventory period shall be allocated to outputs supplied within the inventory period. (*RSPO SCC C.5.1, C.5.2, C.5.3., C.5.4)*

**Conversion ratios**

We can overlook the refining losses in the Mass Balance system (*RSPO SCC C.5.2).*

Under the Mass Balance system, we deduct all volumes of palm oil and palm kernel oil fractions and derivatives that are delivered from the material accounting system according to conversion ratios as set out by RSPO; see **Annex 8** (*RSPO SCC C.5.1)*.

However, there is one exception to this rule: We can purchase a certain volume or weight of Identity Preserved or Segregated RSPO-certified palm oil and palm kernel oil product and use it to match the sales of equal volumes of palm oil product derivatives that then carry a Mass Balance claim without requiring a physical or chemical link between the acquired Identity Preserved or Segregated product and the derivative that is sold under Mass Balance. The conversion from Identity Preserved or Segregated products to Mass Balance is allowed upwards, sideways and downwards in the same product tree (*RSPO SCC C.5.3)*.

1. **Registration of transactions**

Since Oil Company Ltd is a refinery (*RSPO SCC 5.7.1)* we need to register our transactions and confirm upon receipt in the RSPO IT platform PalmTrace ([www.palmtrace.org](http://www.palmtrace.org)) (*RSPO SCC 5.7.2*). Our Sales Assistant is responsible for registering the transactions in PalmTrace.

We have to do the following:

1. Shipping announcements: when we sell RSPO volume as certified, the volumes that are in the yield scheme (see Annex 8), are registered in the Palmtrace system. The declaration time to do shipping announcements is based on our own operating procedures, so monthly (*RSPO SCC 5.7.2.*)
2. Trace: When RSPO-certified volumes are sold as RSPO-certified to our clients (after refinery), we trace the volume annually. Tracing triggers the generation of a trace document with a unique traceability number, which we store under our RSPO folder / traceability.
3. Remove: we remove RSPO-certified volumes sold under other schemes or as conventional, or in case of underproduction, loss or damage.
4. Confirm: we acknowledge the purchase of RSPO-certified volumes by confirming shipping announcements.
5. **Sales and delivery**

All products that we sell as certified are sold with the claim ‘RSPO SG’ or ‘RSPO MB’ (*RSPO SCC section 5.6.1*).

Before the material is loaded onto the truck to be delivered to the buyer, the Production Team Leader prepares a delivery note: Transport documents covering certified products include Oil Company Ltd’s RSPO certification code and the claim ‘RSPO SG’ or ‘RSPO MB’. This information is automatically generated on the sales invoice via the accounting programme when the correct type of certified product is selected.

A copy of the sales waybill is given to the Bookkeeper, who prepares a sales invoice according to the waybill. Oil Company Ltd invoices covering certified material include the following information:

1. Name and contact details of Oil Company Ltd – this information is permanently included in the invoice template.
2. Name and address of the customer – the specific buyer is selected from the accounting programme.
3. Date when the invoice was issued – this is entered by the Bookkeeper.
4. Loading or shipment/delivery date
5. Description of the product, including the applicable supply chain model (Identity Preserved, Segregated or Mass Balance or the approved abbreviations IP, SG or MB) – the same product code is selected as on the sales waybill.
6. Quantity of the products sold – entered by the Bookkeeper based on the sales waybill.
7. Oil Company Ltd’s RSPO SCC certificate code – the code appears automatically if the sales invoice template for certified material is selected.
8. RSPO SG or RSPO MB claim – the claim is tied to the product and the correct claim appears automatically when specific certified product types are selected from the accounting programme.
9. Invoice number

Each sales waybill and invoice may cover only exclusively certified or exclusively non-certified material. If both types of material are shipped to a customer, separate sales documents are prepared for certified and non-certified material. Material is always identifiable based on RSPO SCC and pallet numbers shown on the waybill.

1. **Outsourcing**

The Production Manager is in charge of our relationship with our subcontractors. In case we need to outsource activities to independent third parties (e.g. subcontractors for storage, transport or other outsourced activities), we ensure that our subcontractor complies with the requirements of the RSPO Supply Chain Certification Standard (*RSPO SCC 5.5.1*).

This is not applicable to outsourced storage facilities where the management of the palm oil product(s) and instructions for tank movements are controlled by Oil Company Ltd (not the tank farm manager).

We ensure the following (*RSPO SCC 5.5.2*):

1. We are legal owner of all input material to be included in outsourced processes;
2. We have an agreement covering the outsourced process with each subcontractor through a signed and enforceable agreement with the contractor (see **Annex 5**). This agreement contains a clause that certification bodies (CBs) have access to the outsourcing contractor or operation if an audit is deemed necessary.
3. We will communicate explicit procedures for the outsourced process to the relevant subcontractor.
4. We ensure (e.g. through contractual arrangements) that our subcontractors provide relevant access for duly accredited CBs to their respective operations, systems, and any and all information, when this is announced in advance.

We record the names and contact details of all subcontractors used for the processing or physical handling of RSPO-certified palm oil products; see **Annex 6** (*RSPO SCC 5.5.3*).

We will inform our CB of the names and contact details of any new subcontractor used for the processing or physical handling of RSPO-certified palm oil products, prior to the next audit (*RSPO SCC 5.5.4*).

1. **RSPO product list**

We have prepared a RSPO product list that describes which products we can produce as certified and specifies what products our certificate covers. All products that we sell as RSPO-certified are sold with the claim ‘RSPO SG’ or ‘RSPO MB’; see **Annex 4**.

The Production Manager is responsible for keeping the RSPO product list up-to-date.

1. **Claims**

OilCompany Ltd uses RSPO trademarks on product labels, and they may also be used for promotion of certified materials. The person responsible for the use of RSPO trademarks is the Sales Manager (*RSPO SCC 5.11*).

Before using any RSPO trademark, we will prepare a project in accordance with standard RSPO Rules on Market Communications and Claims and during the external audit, the certification Body’s auditor will evaluate these.

For on-product labelling, the responsible person shall ensure that the RSPO label is clearly visible on the product.

We have a trademark license agreement with RSPO and we received the license code that we need to use with each trademark use.

The unique RSPO trademark licence code of Oil Company Ltd is:

XXXXXXXX

1. **Annual external RSPO SCC audit**

Prior to the annual external RSPO SCC audit, the following documentation is prepared and submitted to our Certification Body contact person, at the latest three (3) days prior to the agreed audit date:

* Mandatory Excel sheet ‘RSPO Annex 1 Summary Template’ (*RSPO SCC 5.9.3*)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |
| **CERTIFIED QUANTITY PURCHASED AND CLAIMED** | | | | | |  |
|  | **Volumes Reported in KG or MT?** |  | ▼ | |  |  |
|  | **Reporting period is last 12 months ending (dd/mm/yyyy)** |  |  |  |  |  |
|  |  | **Palm Oil (CSPO)** |  | **Palm Kernel Oil (CSPKO)** |  |  |
| **IP** | Total estimated IP RSPO CERTIFIEDoil palm product volume **PURCHASED** |  |  |  | **IP** |  |
| Total estimated IP RSPO CERTIFIED oil palm product volume **CLAIMED** |  |  |  |  |
| **SG** | Total estimated SG RSPO CERTIFIEDoil palm product volume **PURCHASED** |  |  |  | **SG** |  |
| Total estimated SG RSPO CERTIFIED oil palm product volume **CLAIMED** |  |  |  |  |
| **MB** | Total estimated MB RSPO CERTIFIEDoil palm product volume **PURCHASED** |  |  |  | **MB** |  |
| Total estimated MB RSPO CERTIFIED oil palm product volume **CLAIMED** |  |  |  |  |
|  |  |  |  |  |  |  |
| **TOTAL** | Total estimated **RSPO CERTIFIED** oil palm product volume **PURCHASED** | - |  | - | **TOTAL** |  |
| Total estimated **RSPO CERTIFIED** oil palm product volume **CLAIMED** | - |  | - |  |
|  |  |  |  |  |  |  |
|  |  | **Palm Oil (PO)** |  | **Palm Kernel Oil (PKO)** |  |  |
|  | Of total oil palm volume **PURCHASED** annually, roughly what % is RSPO certified? |  |  |  |  |  |
|  | **TOTAL** estimated oil palm product volume **PURCHASED** |  |  |  |  |  |
|  | **TOTAL** estimated **NON-CERTIFIED** oil palm product **PURCHASED** |  |  |  |  |  |
|  |  | | | | |  |
|  |  |

* Updated RSPO SCC procedure (this document)
* Updated documentation for executed training (**Annex 2**)
* Updated supplier list (**Annex 3**)
* Annual volume summary, which at a minimum covers the following information, compiled per product group, product type and material category:
* Input purchased/ received
* Input used for production (if applicable)
* Input material still in stock
* Outputs sold
* Output material still in stock
* Outsourcing agreements (if applicable)
* List of subcontractors with RSPO SCC-certified production (if applicable)

# Annex 1: RSPO SCC Annex 1 Summary template

This is a mandatory template to be used for reporting the Volume and Non-Conformance requirements in "Annex 1: Supply Chain Audit Report" of the RSPO Supply Chain Certification Systems (Feb 2020). This template also serves as a means to request a license, in addition to the audit report and certificate, in the RSPO IT Platform. This template should be completed in its entirety (where applicable) and uploaded as an excel file into the RSPO IT Platform to be considered for license approval. Completed files should be saved with a title including the name of the audited company and the year. This information will not be made public with exception of the independent mill audit report.

See download section on this page:

<https://www.nepcon.org/certification/rspo/rspo-supply-chain-certification>

# Annex 2: Documentation for training of staff

The following members of staff have received training related to RSPO SCC certification as well as these RSPO SCC procedures:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name** | **Job title and function** | **Topic of the training** | **Training date** | **Name of the trainer/instructor** |
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# Annex 3: Supplier list

This list is verified every tmonth at <http://www.rspo.org>

Time-stamped ‘screen shots’ from <http://www.rspo.org> may be used for compiling and confirming the details on the supplier list.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Supplier**  (Name and address) | **Product type**  (Description of the product) | **Material category**  (SG or MB) | **RSPO SCC code** | **Date of latest verification** |
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# Annex 4: RSPO-certified product list

Date:

|  |  |  |  |
| --- | --- | --- | --- |
| **Product** | **Sales Claim** | **Input Material Claim** | **Supply Chain Model for RSPO Claim** |
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# Annex 5: RSPO SCC outsourcing agreement

**Outsourcing agreement for companies covered by Chain of Custody certification**

Companies covered by a Chain of Custody (RSPO SCC) certification are entitled to process and resell RSPO SCC-certified palm oil products with an RSPO claim. There may be situations where certified companies need to outsource to subcontractors certain services that are part of the manufacturing of certified products. RSPO SCC-certified companies may undertake such outsourcing subject to a written agreement between the certified company and the subcontractor (see the agreement form below).

**Certified company (name) :** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Certificate number (RSPO SCC code) :** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

As an RSPO SCC-certified company, we hereby agree to the following terms for outsourcing the processing and/or handling of RSPO certified products:

* All certified products sent to the subcontractor must be clearly marked as certified (e.g. paint, labels, etc.) and all accompanying documents (order forms, packing lists, delivery notes, etc.) must clearly state that the delivered items are certified.
* The certified products remain the property of the certified company while the products are processed/ handled by a non-certified party.
* It must be ensured that only the certified products delivered to the subcontractor are included in the outsourced production, and that the subcontractor does not allow non-certified palm oil products to be included in the production.
* It must be ensured that the subcontractor is fully aware of the conditions stated in this agreement.
* The annual report on certified production must describe the time and place of outsourced production and document the volumes shipped to and received from the subcontractor.
* A copy of this agreement must be sent to NEPCon.

**Company representative (name): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date and signature:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_­­­­­­­­­­­­­­­\_\_\_\_\_\_\_\_\_\_

**Subcontractor (name) :** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Address :** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Postcode and town :** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

As subcontractors, we agree that the processing of certified products is subject to the following conditions:

* It must be ensured that only the certified products supplied by the above-mentioned certified company are included in the outsourced production (unless otherwise agreed between the organisations), and that no non-certified palm oil is used in the production.
* It must be ensured that only the certified products supplied by the above-mentioned certified company are processed and returned as certified goods (unless otherwise agreed between the organisations).
* All certified products returned to the certified company must be clearly marked as certified (e.g. paint, pallet labels, etc.) and all accompanying documents (packing lists, delivery notes, etc.) must clearly state that the delivered items are certified.
* All outsourcing processes are delivered under our own approved RSPO SCC system (Only relevant if the subcontractor is RSPO SCC certified).
* Relevant information must be disclosed to NEPCon upon request.
* When RSPO labelling is part of the outsourcing agreement, the organisation's RSPO licence code is used.
* If an audit is deemed necessary, we give NEPCon access to our premises.

**Subcontractor representative (name):** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Date and signature:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

# Annex 6: List of subcontractors

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| --- | --- | --- | --- | --- |
| **Subcontractor** | **Address** | **Contact person** | **Contact details** | **RSPO SCC code (if applicable)** |
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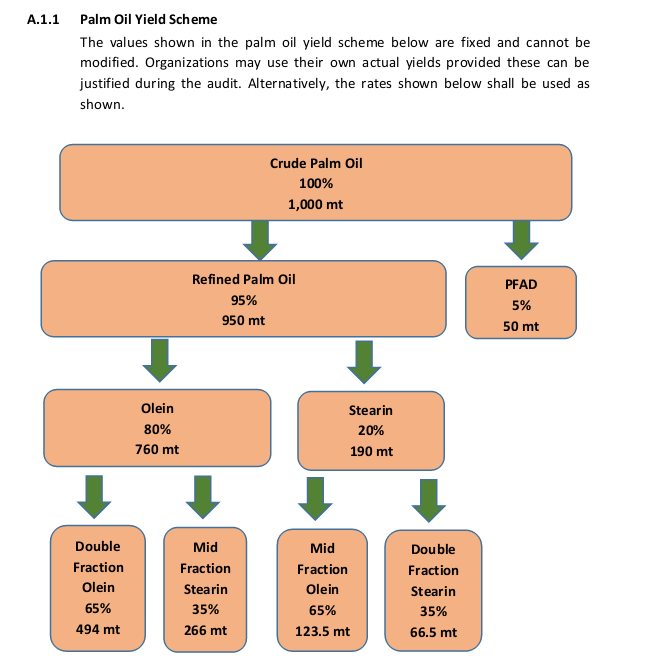
# Annex 7: Internal audit report

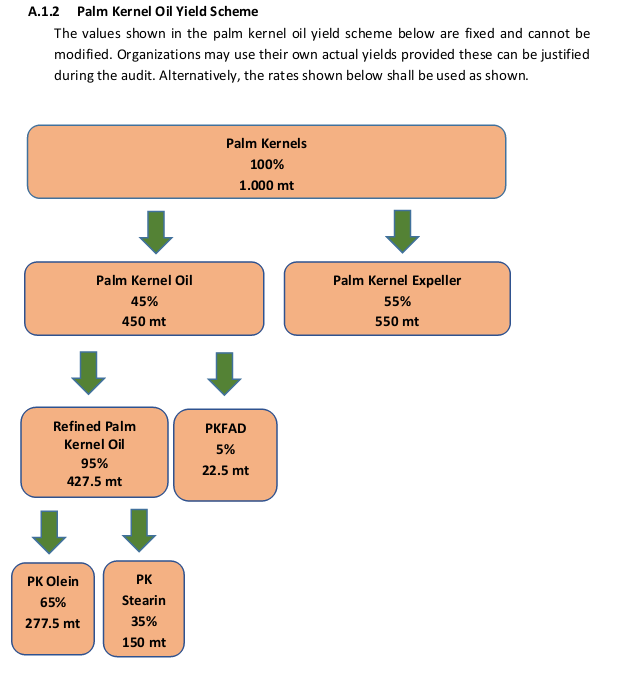
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| --- | --- | --- | --- |
| Audit date | XX-XX-XXXX | Name of internal auditor |  |
| Conclusion | | (Were any non-conformances found in the RSPO SCC system?) | |
| Interviews | | (Name and function of interviewed staff members) | |
| Documentation | | (Which documents were reviewed?) | |

|  |  |
| --- | --- |
| NCR number: | XX-2018 |
| Description of Non-conformance and related documentation/ evidence: | |
| (Describe form and scope of the observed non-conformance) | |
| Corrective Action Request: |  |
| Corrective Action: | (Which corrective actions have been implemented to close the non-conformance, and what has been done to ensure that the error does not occur again?) |
| NCR conformance deadline: |  |
| Comments (optional): |  |
|  | |
| OBS number: | XX-2018 |
| Description of Non-conformance and related documentation/ evidence: | |
| (Describe finding that lead to the Observation | |
| Observation: | |
|  | |
| Management signature: |  |

# Annex 8: Yield schemes

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



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





**www.nepcon.org**

**About NEPCon**

NEPCon (Nature Economy and People Connected) is an international non-profit organisation that works to build capacity and commitment for mainstreaming sustainability. For over 20 years, we have worked to foster sustainable land use and responsible trade in forest commodities. We do this through innovation projects, capacity building and sustainability services.

We are accredited certifiers for sustainability schemes such as FSC, PEFC, RSPO and SBP. We offer Chain of Custody certification according to the SAN / Rainforest Alliance Standard. We also certify to our own LegalSource™ and Carbon Footprint Management standards. A self-managing division of NEPCon promotes and delivers our certification services. Surplus from certification activities supports NEPCon’s non-profit activities.

NEPCon is recognised by the EU as a Monitoring Organisation under the EU Timber Regulation.

**Contact**

NEPCon OÜ

Filosoofi 31 l Tartu 50108 l Estonia

info@nepcon.org l www.nepcon.org

Phone: +372 7 380 723 l CVR: 10835645

Or the NEPCon head office’s contact details

FSC™ A000535 | PEFC/09-44-02

1. Please note that numbers in parentheses used throughout this document refer directly to the requirements included in the RSPO SCC standards. [↑](#footnote-ref-1)