Evaluation of the Roundtable on Sustainable Palm Oil’s (RSPO) Principles and Criteria 2018 with WWF Certification Assessment Tool 4.0 (CAT 4.0)

Commissioned by WWF-Malaysia
Study period: June – July 2019
Published in 2020
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Executive Summary

In line with ISEAL best practices, which requires the review of a standard at least every five (05) years for continued relevance and effectiveness, the RSPO P&C 2013 was reviewed in 2017. The standards review process took place from March 2017 – April 2018. It was undertaken by the RSPO P&C Review Task Force which comprised a balanced representatives of the different stakeholders with an interest in palm oil. These interest groups are namely; i) palm oil producers, ii) supply chain and investors, and iii) non-governmental organisations (NGOs). The standards review process considered the information gathered from stakeholder input, auditing results and organisational monitoring and evaluation, input from various working groups and the Task Force. The revised draft based on these input then went through a series of public consultation sessions before being finalised and ratified in the General Assembly of RSPO in November 2018.

Following this, WWF commissioned a study to evaluate the RSPO P&C 2018, its standard and the scheme’s strength and weaknesses in its application as a sustainability standard and to provide recommendations for continuous improvement. The study used the Certification Assessment Tool (CAT), a formalised methodology that evaluates standards requirements and a scheme’s governance, rules and procedures. The assessment was done by an independent assessor and is not affiliated with WWF, the RSPO or its members.

From the results, it was concluded that the RSPO P&C 2018 scored fairly well with a total score of 92% compared to 84% of RSPO P&C 2013. The score for Part 1 which evaluated the strength of RSPO’s system and governance scored 94% compared to a score of 89% for P&C 2013 and Part 2 which measured RSPO’s environmental as well as social strengths scored 90% compared to a score of 78% for P&C 2013. RSPO P&C 2018 performance is concluded as Good with recommendations on further improvements for Category E (Chain of Custody) in Part 1, Category F (Pollution, Waste and Greenhouse gas emissions), and Category H (Agriculture: Other Good Practices) in Part 2.
Introduction to the Certification Assessment Tool (CAT)

Certification schemes have an important role to play in conservation by improving mainstream production practices as well as enabling customers to choose products from plantations and operations that are managed in an economically, socially and environmentally responsible way.

To be effective, certification schemes need to have operational standards that are strong enough to deliver real positive impacts on the ground and they need to have a strong governance structure and systems in place to ensure that the standards are applied. The Certification Assessment Tool (CAT) developed by WWF is a formalised methodology to evaluate the strength of certification systems and their standards in achieving conservation goals and objectives that are likely to deliver the best social and environmental impact at scale. It assesses the standard’s requirements and a scheme’s governance, rules and procedures. The outcome is a better understanding of a certification system’s strengths and weaknesses.

By highlighting the strengths and areas for improvement in different certification schemes, the CAT enables WWF to monitor and advocate for continuous improvements of these schemes and their ability to deliver greater benefits for people and nature.

Note/Disclaimer: 1) The CAT is solely based on study of documents, thus it cannot directly assess the implementation of better production practices, resulting in the reduction of negative social and environmental impacts in practice. However, the indicators to assess a standard’s system strength can be seen as proxies for likelihood of field level implementation of a scheme’s requirements. 2) The assessment was commissioned by WWF-Malaysia and assessment was conducted based on the best available information obtained during time of the study (June – July 2019).
How is the CAT structured?

Part 1 – Scheme (System strength)

Part 1 of the CAT evaluates the system strength, which are the rules and procedures that regulate the system. This includes the development, management and its verification, control of the certification bodies, governance and grievance procedures, chain of custody and labelling issues. The CAT is based on WWF’s conservation objectives, expert opinion and existing research into the impacts of certification. For example, multi-stakeholder schemes in which different stakeholders such as communities, civil society organisations and environmental NGOs are actively involved, tend to score higher. Experience shows that multi-stakeholder schemes are more likely to drive dialogue on emerging issues, address relevant social and environmental matters and ensure that the certificate holders comply with the standards.

This section contains a total of 80 questions that are nested within 5 different categories:

A. Mission and Governance
B. Setting Standards
C. Certification
D. Accreditation
E. Chain of Custody

Part 2 – Standard (Standard Strength)

Part 2 evaluates the strengths of the environmental and social requirements of the standard that needs to be fulfilled to become certified. This is to ensure the operations meet conservation objectives covering issues such as biodiversity, water and soil management, pollution and greenhouse gas emissions, and social issues such as land tenure, community relations and workers’ rights. This section contains a total of 80 questions that are nested within 7 different categories:

A. Legality, Tenure and Use Rights
B. Community Relations
C. Workers’ Rights
D. Water and Soil
E. Biodiversity
F. Pollution, Waste and Greenhouse Gas Emissions
G. Planning and Transparency

The Methodology

The RSPO P&C 2018 is benchmarked against WWF’s Certification Assessment Tool (CAT). WWF uses CAT assessments to help identify areas for improvement so these can be addressed as part of a scheme’s efforts to further refine and strengthen their systems. Of 160 questions in total, 150 apply to all sectors, while the remaining 10 questions address sector specific issues for forestry or agriculture.

Evidence to support WWF CAT 4.0 assessment questions were sourced from the following materiality:

1. RSPO Principles and Criteria for the Production of Sustainable Palm Oil 2018
   https://rspo.org/library/lib_files/preview/842
2. RSPO P&C 2013: Audit Checklist for Assessing Compliance
   https://rspo.org/library/lib_files/preview/69
3. The Statues of the Roundtable on Sustainable Palm Oil Principles and Criteria 2018
   https://rspo.org/library/lib_files/preview/878
4. Code of Conduct for Members of the Roundtable on Sustainable Palm Oil 2017
   https://rspo.org/library/lib_files/preview/60
5. RSPO Standard Operating Procedure for Standard Setting and Review 2017
   https://rspo.org/library/lib_files/preview/507
6. RSPO Certification Systems for Principles & Criteria 2017
   https://rspo.org/library/lib_files/preview/96
7. RSPO Rules on Market Communications and Claims 2019
   https://rspo.org/library/lib_files/preview/267
8. RSPO Supply Chain Certification Standard 2017
   https://rspo.org/library/lib_files/preview/184
9. RSPO resource webpage:
   https://rspo.org/resources
10. Assurance Services International (ASI)
    website: http://www.asi-assurance.org/s/
A review of the literature stated above as well as further desktop-based research was conducted. Evidence from the literature is documented within the WWF CAT 4.0 evaluation spreadsheet in the ‘Proof of Rating’ columns. Satisfactory evidence for an indicator translates to a ‘True’ rating which is automatically scored towards a total percentage for each category, part and overall. ‘False’ or ‘N/A’ ratings are selected when unsatisfactory or contrary evidence is available to support an indicator requirement, these score 0. Ratings are automatically populated into the ‘Scoring Overview’ page where results are presented in a True/False/NA percentages pie chart, radar charts for Part 1 and 2, as well as multiple scoring tables. Each ‘False’ scored indicator is further evaluated and key areas of improvement are highlighted by part and category in the analysis/discussion chapter of this report.
Overview of Performance (RSPO P&C 2018)

Performance on All Questions

- True: 91%
- False: 7%
- N/A: 2%

Section 1:

RSPO P&C 2018

SECTION I: SCHEME OVERVIEW

A. MISSION AND GOVERNANCE
B. SETTING STANDARDS
C. CERTIFICATION
D. ACCREDITATION
E. CHAIN OF CUSTODY

RSPO P&C 2013
Section II:

RSPO P&C 2018
SECTION II: STANDARD

A. LEGALITY, TENURE AND USE RIGHTS
B. COMMUNITY RELATIONS
C. WORKERS’ RIGHTS
D. WATER AND SOIL
E. BIODIVERSITY
F. POLLUTION, WASTE AND GREENHOUSE GASES
G. PLANNING AND TRANSPARENCY
H. AGRICULTURE: OTHER GOOD PRACTISE
## RSPO CAT (COMPARISON BETWEEN P&C 2018 & 2013)

### Overall Score:

Total Number of Questions (160)

<table>
<thead>
<tr>
<th></th>
<th>RSPO P&amp;C 2018</th>
<th>RSPO P&amp;C 2013</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Number of Questions</td>
<td>156</td>
<td>158</td>
</tr>
<tr>
<td>true</td>
<td>145</td>
<td>132</td>
</tr>
<tr>
<td>false</td>
<td>11</td>
<td>26</td>
</tr>
<tr>
<td>n/a**</td>
<td>4</td>
<td>2</td>
</tr>
</tbody>
</table>

**CAT automatically excludes questions that are answered as N/A**

### Overall scores by Part

<table>
<thead>
<tr>
<th></th>
<th>RSPO P&amp;C 2018 (true)</th>
<th>RSPO P&amp;C 2013 (true)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Score</td>
<td>93%</td>
<td>84%</td>
</tr>
<tr>
<td>System Strength &amp; Governance Subsection</td>
<td>94%</td>
<td>89%</td>
</tr>
<tr>
<td>Environmental and Social Strength Subsection</td>
<td>92%</td>
<td>78%</td>
</tr>
</tbody>
</table>

### SECTION I: Scheme

<table>
<thead>
<tr>
<th></th>
<th>RSPO P&amp;C 2018 (true)</th>
<th>RSPO P&amp;C 2013 (true)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Mission and Governance</td>
<td>90%</td>
<td>90%</td>
</tr>
<tr>
<td>B. Setting Standards</td>
<td>100%</td>
<td>100%</td>
</tr>
<tr>
<td>C. Certification</td>
<td>95%</td>
<td>95%</td>
</tr>
<tr>
<td>D. Accreditation</td>
<td>100%</td>
<td>100%</td>
</tr>
<tr>
<td>E. Chain of Custody</td>
<td>80%</td>
<td>40%</td>
</tr>
</tbody>
</table>

### Section II: Standard

<table>
<thead>
<tr>
<th></th>
<th>RSPO P&amp;C 2018 (true)</th>
<th>RSPO P&amp;C 2013 (true)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Legality, Tenure and Rights</td>
<td>100%</td>
<td>90%</td>
</tr>
<tr>
<td>B. Community Relations</td>
<td>100%</td>
<td>100%</td>
</tr>
<tr>
<td>C. Workers' Rights</td>
<td>90%</td>
<td>80%</td>
</tr>
<tr>
<td>D. Water and Soil</td>
<td>100%</td>
<td>90%</td>
</tr>
<tr>
<td>E. Biodiversity</td>
<td>100%</td>
<td>80%</td>
</tr>
<tr>
<td>F. Pollution, Waste and Greenhouse Gas Emissions</td>
<td>89%</td>
<td>40%</td>
</tr>
<tr>
<td>G. Planning and Transparency</td>
<td>90%</td>
<td>100%</td>
</tr>
<tr>
<td>H. Agriculture: Other Good Practice</td>
<td>57%</td>
<td>38%</td>
</tr>
</tbody>
</table>
Analysis & Discussion on RSPO P&C 2018 based on CAT

SECTION A: SCHEME

Overall, the final results for Part 1 - Scheme - demonstrate a satisfactory performance based on CAT with a score of 94%. While Category B (Setting Standards) and Category E (Accreditation) scored full, Category A (Mission & Governance), Category E (Chain of Custody) and Category C (Certification) can be improved. Key areas for improvements are addressed as below:

<table>
<thead>
<tr>
<th>Category</th>
<th>Score</th>
<th>Indicators rated as ‘False’ #</th>
</tr>
</thead>
<tbody>
<tr>
<td>Part 1 – Scheme</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Mission and Governance</td>
<td>18/20</td>
<td>8, 10</td>
</tr>
<tr>
<td>B. Setting Standards</td>
<td>20/20</td>
<td>None</td>
</tr>
<tr>
<td>C. Certification</td>
<td>19/20</td>
<td>None</td>
</tr>
<tr>
<td>D. Accreditation</td>
<td>10/10</td>
<td>None</td>
</tr>
<tr>
<td>E. Chain of Custody</td>
<td>8/10</td>
<td>72, 78</td>
</tr>
</tbody>
</table>

➢ Mission & Governance

Under Mission & Governance, it can be noted the RSPO P&C 2018 maintained its score of 18/20 as same as the previous version, P&C 2013. In order to achieve a full score in this category, RSPO needs to improve its current practices and requirements of legal compliance to ILO Core conventions, Free, Prior and Informed Consent (FPIC) and on High Conservation Value (HCV) practices to strengthen RSPO’s robustness and credibility.

Recommendations:

- **Clarify under the** Members’ Code of Conduct **that members are required to legally comply and adhere to ILO core conventions, Free Prior and Informed Consent (FPIC) and the High Conservation Values (HCV) as defined by the HCV Resource Network.**

- **Establish** procedures to investigate, suspend or terminate membership for serious violations of the Code of Conduct against legal compliance, adherence to ILO core conventions\(^1\) and Free Prior and Informed Consent (FPIC), and maintenance of High Conservation Values (HCV) can be established as defined by the HCV Resource Network.

Note: *It should be noted that ILO core conventions are ratified by ILO member states’ (countries) and not by individual organisation or companies and as such, adherence by RSPO members may be subjected to their operating countries’ ratification or stand.*
• **Setting Standards**

Under **Setting Standards**, RSPO P&C 2018 maintained its full score of 20/20, the same score as its previous version, P&C 2013. RSPO standards addresses social and environmental impacts, workers’ conditions and rights, community relations, environmental services, conservation, as well as best management practices. As per an ideal scenario, RSPO requires participation of diverse representatives’ of economic, social and environmental interests to participate in the standard development processes and decision making is done in consensus with all parties. The development and revision of standards are in full compliance with the ISEAL Code of Good Practice.

➢ **Certification**

Under certification, RSPO P&C 2018 maintained the score from its previous version, which is 19/20. While RSPO fulfils most requirements under CAT such as certifications by independent third party certification bodies (CBs) operating in compliance with ISO requirements, annual or frequent surveillance audits by CBs, and stakeholder consultations by CBs, RSPO can further improve this category by strengthening its audit systems by including unannounced audits in high risk contexts. As per the current practice, RSPO does not mandate CBs to conduct unannounced audits in high risk contexts.

Recommendations:

- Explicitly mention the requirement for certification bodies to conduct unannounced audits in high risk contexts.
- Develop procedures or adopt best practices currently in practice by international accreditation bodies such as Assurance Services International (ASI). Guidelines on the scenarios/situation that poses as high risk contexts should also be developed accordingly.

➢ **Accreditation**

Under **Accreditation**, RSPO P&C 2018 maintains its full score of 10/10, similar to its previous version P&C 2013. RSPO has appointed Assurance Services International (ASI), a member of ISEAL alliance as a third-party accreditation body. Under ASI, there are mechanisms and procedures in place for verification and stakeholder input during assessments and surveillance audits. Summaries of accreditation assessments of CBs are made publicly available and there are formal and transparent procedures for dispute handling and complaints related to approval and accreditation. Certification and accreditation complaints procedures also include appeal mechanisms open to any party. While the evidences required to score in this category was found through accreditation procedures found in the ASI website, it is suggested that RSPO can articulate brief information on accreditation requirements in its website for better visibility.
Note: As the CAT is solely based on documents, thus it does not assess the field level implementation. However, the indicators to assess a standard’s system strength can be seen as proxies for likelihood of field level implementation of a scheme’s requirements.

- **Chain of Custody**

Under **Chain of Custody**, RSPO P&C 2018 scored 8/10, a significant improvement from its previous score of 4/10. P&C 2018 saw a significant improvement of its scheme procedures to assess risks related to origin of materials in its certified or labelled products. Critical control points along the supply chain are managed through the implementation Supply Chain Certification Standard (SCCS). CBs also surveyed the certificate holders’ operations and Chain of Custody (CoC) procedures.

Satisfactory evidence was found for 7 out of 10 indicators, see WWF CAT 4.0 RSPO evaluation spreadsheet for proof of ratings.

**Areas for Improvement:**
- Establish procedures for assessing risks related to the origins of the materials in labelled products (#72)
- Address illegally harvested or traded materials in products labelled certified (#78)

### SECTION B: STANDARD

<table>
<thead>
<tr>
<th>Category</th>
<th>Score</th>
<th>Indicators rated as ‘False’</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Legality, Tenure and Use Rights</td>
<td>10/10</td>
<td>None</td>
</tr>
<tr>
<td>B. Community Relations</td>
<td>10/10</td>
<td>None</td>
</tr>
<tr>
<td>C. Workers’ Rights</td>
<td>9/10</td>
<td>21</td>
</tr>
<tr>
<td>D. Water and Soil</td>
<td>10/10</td>
<td>None</td>
</tr>
<tr>
<td>E. Biodiversity</td>
<td>10/10</td>
<td>None</td>
</tr>
<tr>
<td>F. Pollution, Waste and Greenhouse Gas Emissions</td>
<td>8/9*</td>
<td>56, (N/A: 55)</td>
</tr>
<tr>
<td>G. Planning and Transparency</td>
<td>9/10</td>
<td>68</td>
</tr>
<tr>
<td>H. Agriculture (Other good practice)</td>
<td>4/7*</td>
<td>74, 75, 79 (N/A: 71, 72, 73)</td>
</tr>
</tbody>
</table>

*CAT automatically excludes answers rated as N/A

- **Legality, Tenure & Tenure Use Rights**

Under **Legality, Tenure & Tenure Use Rights**, RSPO P&C 2018 improved its score to 10/10 from 9/10 in its previous version, P&C 2013. RSPO requires its producers to comply with all applicable local, national and international laws and regulations and required to uphold legal and customary land rights of tenure, access and uses of other parties. Besides that, RSPO also requires its members’ to respect the rights, customs and culture of indigenous peoples as defined in the UN Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989).
➢ Community Relations

Under Community Relations, RSPO P&C 2018 maintained its full score of 10/10. As a means of sustainable and inclusive development, relationships and engagement with neighbouring communities is strongly encouraged by WWF CAT. This requirement is fulfilled by RSPO by having criteria and indicators in place that require producers to engage in dialogues with neighbouring communities and individuals, identify, reduce and address any grievances and provide fair compensation for negative impacts of operations on local communities, identify and respect cultural and religious sites of significance, assess and maintain High Conservation Values (HCV) category 5 (basic necessities for local communities), as well as support economic development of local communities by providing opportunities for local employment.

➢ Workers’ Rights

Under Workers’ Rights, RSPO P&C 2018 scored 9/10 compared to a score of 8/10 in its previous version. Improvement in the score was seen through adding requirements on producers to address grievances relating to working conditions and workers’ rights, and to provide compensation for occupational injuries. While RSPO fulfils requirements of CAT such as no child, forced and involuntary labour, no discrimination, allows freedom of association and rights for collective bargaining, ensures minimum/decent wages that are in compliance with law and address grievances related to working conditions, RSPO does not require producers’ declaration of ILO rights of workers as defined in the Declaration on Fundamental Principles and Rights at Work (1998). To achieve full score in this category, further improvements in this aspect is required.

Recommendations:

- RSPO can explicitly require members to declare respect of the core ILO rights of workers as defined in the Declaration on Fundamental Principles and Rights at Work (1998).

Note: As mentioned previously under Mission & Governance, it should be noted that ILO core conventions are ratified by ILO member states (countries) and not by individual organization or companies. As such, adherence by RSPO members may be subjected to their operating countries’ ratification or stand.

➢ Water and Soil

Under Water and Soil, RSPO P&C 2018 achieved full score of 10/10 which saw improvement from a score of 9/10 from its previous version. The improvement was achieved mainly by improving the requirement on maintenance and restoration of important water related areas, which includes wetlands. Besides that, under this category, RSPO fulfils other CAT requirements of taking appropriate measures to minimise and mitigate negative impacts from direct operations on water quality, minimise, monitor impacts of operations on soil quality as well as adapt necessary management practices for improvement.
- **Biodiversity**

Under **Biodiversity**, RSPO P&C 2018 saw a significant improvement with a score of 10/10 from a score of 8/10 in its previous version. With the introduction of No Deforestation, No Peat & No Exploitation (NDPE) commitments and adoption of High Carbon Stock (HCS) assessments and integrating it into existing High Conservation Value (HCV) assessments, RSPO managed to improve this category where conversion of native forests and areas of high above-ground carbon stocks are no longer allowed for oil palm expansion and cultivation. In addition, RSPO does not allow introduction or use of invasive alien species in the management unit. Species referred in the Global Invasive Species Database and CABI are banned unless plans to prevent and monitor their spread are implemented.

- **Pollution, Waste and Greenhouse Gas Emissions**

Under **Pollution, Waste and Greenhouse Gas Emissions**, RSPO P&C 2018 saw significant improvements in its score, with 8/10 compared to a score of 4/10 in RSPO P&C 2013. In order to reduce pollution and better manage emissions from the oil palm sector, RSPO took significant measures in improving its practices. Among the improvements made were requiring the implementation of Integrated Pest Management Practices (IPM) to minimise the use of pesticides, banning usage of hazardous chemicals as defined by World Health Organisation (WHO) 1A and B, Stockholm and Rotterdam conventions, and the requirement to document all applications of application, handling, storage and disposal of agrochemicals which complies with good/best practices or manufacturers’ recommendations. RSPO P&C 2018 also requires estimates of carbon sequestration and emissions of greenhouse gas emissions (GHG) of management units. Furthermore, introduction of NDPE policies bans expansion and cultivations of plantation on peat soils and on high carbon stock areas. RSPO P&C 2018 also bans the aerial spraying activities in plantations.

To achieve full score in this category, RSPO should further improve its pesticides application procedures, and implement measures to reduce negative impacts from severe climate events, and increase climate resilience.

**Recommendations:**

- RSPO can develop guidance for producers to establish climate change resilience strategies and mitigation measures in terms severe climate events such as floods, drought and increase in temperature)

- **Planning and Transparency**

Under **Planning and Transparency**, RSPO P&C 2018 achieved a score of 9/10. To ensure the standard’s credibility, planning and transparency have always been key components in RSPO. RSPO emphasises on producers having necessary management plans for its operations, such as
plans for commitment to long-term social, environmental and social viability, and ensuring summaries of management plans are made publicly available. Transparency is ensured through appointment of independent external expertise to assess social and environmental impacts (SEIA), conduct HCV-HCS assessments, as well as ensure of summaries of these reports be made publicly available. However, this category can be further improved to achieve the full score by strengthening its requirement on participation in catchment governance mechanisms, such as river basin management plans.

Recommendations:

- RSPO can include requirement for producers’ participation in catchment governance mechanisms, such as integrated river basin management plans.

*Note: WWF acknowledges that participation by producers in catchment governance mechanisms, such as river basin management plans, depends on the availability of such mechanisms and implementation in the operating countries.*

**Agriculture and Other Good Practices**

Under **Agriculture and Other Good Practices**, RSPO P&C 2018 scored a total of 4/10 compared to 3/10 in its previous version P&C 2013. Several CAT indicators under this category is not applicable to RSPO due to the nature of the oil palm sector which does not practice mix of genotypes or genetic modification. These criteria were rated as ‘Not Applicable’ whereby the CAT methodology will omit these from its calculations. While RSPO does address agricultural practice that is conscious of food security and water efficiency, it can further strengthen this category by including stringent requirements in pesticide usage as well as promoting intercropping.

Recommendations:

- Ban usage of hazardous chemicals WHO Toxicity class 2
- Ban usage of hazardous chemicals listed under PAN International list of Highly Hazardous Pesticides
- Encourage practice of intercropping or promote mixtures of crops and native species.

**Conclusion**

The total WWF CAT 4.0 score for the RSPO 2018 certification standard is 93%. Part 1 which evaluated the strength of RSPO’s system and governance scored 94%. Part 2 measured RSPO’s environmental as well as social strengths and scored 92%. The RSPO standard scored fairly well across all categories, where final scores were largely affected by Category A (Mission and Governance), Category E (Chain of Custody) in Part 1, Category C (Workers’ Rights), Category F (Pollution, Waste and Greenhouse gas emissions), and Category H (Agriculture: Other Good Practices) in Part 2.
In Part 1, results demonstrate that the RSPO standard can improve Members’ commitment to the ILO core convention, FPIC and HCV through the addition of an explicit statement in the Code of Conduct and establishment of procedures of investigation, violations and suspension/termination of violations of the Code of Conduct. Indicators on Chain of Custody, especially on market claims and labelling requirements, can be strengthened by improving supply chain traceability mechanisms to ensure illegally harvested or traded products can be traced or eliminated.

For Part 2, overall environmental performance of the standard is satisfactory but can be strengthened by beginning the ‘sector climate resilience’ conversation and promoting landscape and collaborative management approaches through policy. Clearer rules on chemical use, including explicit statements and guidance addressing WHO Toxicity Class 2 and PAN hazardous chemicals, will be useful guidance for Members. The social segment can be strengthened through a commitment to the ILO Core Convention Declaration on Fundamental Principles and Rights at Work.
# Appendix

<table>
<thead>
<tr>
<th>SECTION I: Scheme</th>
<th>P&amp;C 2018</th>
<th>P&amp;C 2013</th>
<th>%true</th>
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</thead>
<tbody>
<tr>
<td><strong>Section I Breakdown</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>A. MISSION AND GOVERNANCE</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>The scheme is set up to continuously improve the social, environmental and economic benefits of producing a specific commodity or category of commodities. The long term social, environmental and economic impacts are defined and documented</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>2</td>
<td>Scheme core normative documents, e.g. statutes, bylaws and principles and criteria (audit manual or comparable), are publicly available on a scheme website.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>3</td>
<td>The scheme is a (full or associate) member of ISEAL.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>4</td>
<td>The scheme has a resourced Secretariat with clearly defined staff and functions related to, at a minimum; finance, standard development, communication, membership/participant handling, quality assurance and complaints and the contact details are publically available online.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>5</td>
<td>The scheme is open to membership (and/or similar level of participation in governance) for all stakeholders who share the scheme's values and objectives.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>6</td>
<td>Names and affiliation of members are publicly available on a scheme website.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>7</td>
<td>Members and/or Participants are required to commit to scheme values and objectives through signing a Code of Conduct (or similar).</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>8</td>
<td>Member's Code of conduct requires legal compliance, adherence to ILO core conventions and Free Prior and Informed Consent and maintenance of High Conservation Values (HCVs) as defined by the HCV Resource Network.</td>
<td>False</td>
<td>False</td>
</tr>
<tr>
<td>9</td>
<td>Members from the private sector are required to develop and adhere to a time-bound plan towards certification and/or procurement of certified products, and report annually on progress.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>10</td>
<td>Procedures are in place to suspend or terminate membership for gross violations of the Code of Conduct, i.e against legal compliance, adherence to ILO core conventions and Free Prior and Informed Consent (FPIC) and maintenance of High Conservation Values (HCVs) as defined by the HCV Resource Network.</td>
<td>False</td>
<td>False</td>
</tr>
<tr>
<td>11</td>
<td>The scheme's highest decision-making forum is, or is formally mandated by, the membership/scheme participants.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>12</td>
<td>Highest decision-making forum procedures ensure that no single interest group (economic, social or environmental) can dominate governance decision-making.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>13</td>
<td>Highest decision-making forum procedures ensure that non-economic sector constituencies collectively have (at least) the same governance decision-making power as economic sector constituencies.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>14</td>
<td>Highest decision-making forum procedures ensure that constituencies representing economic, social and environmental interests have equal governance decision-making power.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>15</td>
<td>Highest governance decision-making forum requires balanced participation of economic, social and environmental representatives.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>Changes to core normative document require voting by the scheme members/participants.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>Executive (secretariat) functions are overseen by a Board of Directors or Trustees composed of individuals mandated by voting among scheme members / participants.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>Minutes of Board or Trustee meetings are publically available.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>There are procedures in place and clear time bound requirements for handling disputes and complaints by members / participants related to governance and executive functions.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>20</td>
<td>There are defined procedures for appealing the handling of disputes and complaints related to governance and executive functions open to all members / participants.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td><strong>B. SETTING STANDARDS</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>21</td>
<td>Nationally applicable certification standard(s) constitute, or are adapted from, a set of internationally, regionally or nationally applicable principles and criteria (or equivalent).</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>22</td>
<td>The Principles and Criteria (or equivalent) address as a minimum: social and environmental impacts, workers’ conditions and rights, community relations, environmental services, conservation of biodiversity and good management practices.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>23</td>
<td>Applicable certification standards are (or were) developed in accordance with formally defined scheme procedures.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>24</td>
<td>Representatives of major economic, social and environmental interests are actively invited to participate in the development of nationally applicable certification standards.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>25</td>
<td>Applicable certification standards are developed with a meaningful participation of economic, social and environmental representatives.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>26</td>
<td>Applicable certification standards are developed by consensus or in processes where no single interest group can dominate decision-making.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>27</td>
<td>Applicable certification standards taken in account the ISEAL Impact Code for the development and revisions.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>28</td>
<td>Draft certification standards are developed in processes where input is solicited from scientific and technical experts.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>29</td>
<td>Draft certification standards are subject to multiple rounds of public consultation.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>30</td>
<td>Input received in consultations on draft certification standards is documented and there is report back on how issues raised are addressed.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>31</td>
<td>Draft certification standards are formally approved by the scheme.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>32</td>
<td>Applicable certification standards are publicly available on a website.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>33</td>
<td>Applicable certification standards have auditable indicator(s) for each criterion.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>34</td>
<td>Most indicators of applicable certification standards require an absolute level of performance (as opposed to merely relative improvement or the existence of a process).</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>35</td>
<td>Applicable certification standards clearly distinguish mandatory requirements from recommendations and guidance.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>36</td>
<td>Applicable certification standards have separate requirements for small and/or medium sized management units and/or are formulated so as to take account of the scale and intensity of operations.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td>37</td>
<td>Applicable certification standards are revised at least every five years.</td>
<td>True  True</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
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<tr>
<td>---</td>
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<td></td>
</tr>
<tr>
<td>38</td>
<td>Applicable certification standards are developed and revised in full compliance with the ISEAL Code of Good Practice.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>39</td>
<td>The scheme either applies the same certification standard in all areas of operation, or has procedures for developing and harmonizing national/regional interpretations.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>40</td>
<td>The scheme either applies the same certification standard in all areas of operation, or has procedures for certification based on scheme principles and criteria (or equivalent) in countries that do not (yet) have national interpretations.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td></td>
<td><strong>C. CERTIFICATION</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>41</td>
<td>Producers are certified by independent third party certification bodies operating in compliance with ISO requirements.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>42</td>
<td>Producers are required to certify all (eligible) units under their control in accordance with a time-bound plan.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>43</td>
<td>Searchable databases with names, sizes and locations of all certified units, including expiry dates, are publicly available on a scheme website.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>44</td>
<td>Certification bodies post information about upcoming scheduled certification and surveillance audits on a common national and/or international scheme-operated website or mailing list.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>45</td>
<td>Certification bodies are required to conduct annual or more frequent surveillance audits of certificate holders.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>46</td>
<td>Certification bodies are required to proactively consult with affected stakeholders during both certification and surveillance audits.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>47</td>
<td>Certification bodies are required take account of stakeholders’ comments during certification and surveillance audits.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>48</td>
<td>Certification bodies are required conduct risk-based auditing and surveillance.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>49</td>
<td>Certification bodies are required to adjust the intensity of auditing and surveillance to match observations in the field.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>50</td>
<td>Certification bodies are required to conduct unannounced audits in high risk contexts.</td>
<td>False</td>
<td>False</td>
</tr>
<tr>
<td>51</td>
<td>Certificate holders are required to rectify non-compliances identified during certification and surveillance audits within a set timeframe that does not exceed one year.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>52</td>
<td>Adequate sanctions are applied in situations where less severe (minor) non-compliances are not rectified in time.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>53</td>
<td>Severe (major) non-compliances that are not rectified in time lead to suspension or termination of the certificate.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>54</td>
<td>Summary reports of certification and surveillance audits (including dates, locations and scope of auditing, team composition, main findings and corrective action requests) are publicly available in a UN language on a website.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>55</td>
<td>Summary reports of certification and surveillance audits (including dates, locations and scope of auditing, team composition, main findings and corrective action requests) are publicly available in a common local language on a website.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>56</td>
<td>Summary reports of certification and surveillance audits are made publicly available within ninety days after completion of the audit.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>57</td>
<td>Certificates are valid for no more than five years after which a new full certification audit is required.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td></td>
<td>Certification bodies implement formal and transparent, publicly available procedures for handling disputes and complaints related to certification and surveillance.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>59</td>
<td>Certification and surveillance complaints procedures have clear deadlines.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>60</td>
<td>Certification and surveillance complaints procedures include appeal mechanisms open to use by any affected party.</td>
<td>True</td>
<td>True</td>
</tr>
</tbody>
</table>

### D. ACCREDITATION

<table>
<thead>
<tr>
<th></th>
<th>Certification bodies are accredited by an ISEAL member accreditation organization.</th>
<th>True</th>
<th>True</th>
</tr>
</thead>
<tbody>
<tr>
<td>62</td>
<td>The accreditation organization(s) list(s) upcoming regular assessments and surveillance audits of certification bodies publically on a website.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>63</td>
<td>The accreditation organization provides mechanisms for stakeholder input during assessment and surveillance audits of certification bodies.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>64</td>
<td>The accreditation organization verifies that certification bodies engage effectively with stakeholders during auditing and surveillance.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>65</td>
<td>The accreditation organization conducts risk based auditing and surveillance of accredited certification bodies.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>66</td>
<td>Less severe (minor) non-compliances that are not rectified within the time set are escalated to severe (major) non-compliances.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>67</td>
<td>Severe (major) non-compliances that are not rectified within the time set lead to suspension or termination of the accreditation.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>68</td>
<td>Summaries of the accreditation assessments of certification bodies are publicly available.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>69</td>
<td>Accreditation organizations implement formal and transparent, publicly available procedures for handling disputes and complaints related to approval and accreditation of certification bodies.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>70</td>
<td>Certification and accreditation complaints procedures include appeal mechanisms open to any involved party.</td>
<td>True</td>
<td>True</td>
</tr>
</tbody>
</table>

### E. CHAIN OF CUSTODY

<table>
<thead>
<tr>
<th></th>
<th>There are scheme procedures for monitoring custody and trade of materials from certified producers (regardless of Chain of Custody model).</th>
<th>True</th>
<th>True</th>
</tr>
</thead>
<tbody>
<tr>
<td>72</td>
<td>There are scheme procedures for assessing risks related to the origin of materials in labelled products.</td>
<td>False</td>
<td>False</td>
</tr>
<tr>
<td>73</td>
<td>Certificate holders are required to manage critical control points along the supply chain with a scope and rigor that corresponds to the risks.</td>
<td>True</td>
<td>False</td>
</tr>
<tr>
<td>74</td>
<td>Certification bodies survey certificate holders’ operation of chain of custody procedures.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>75</td>
<td>Certification bodies survey certificate holders’ use of claims, trademarks and labels, on and off products.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>76</td>
<td>The scheme either only allows for claims on products consisting of fully segregated materials, or requires that claims associated with products containing a physical mix of certified and non-certified materials are clearly distinguished, e.g. by use of terms such as 'mixed', 'proportion' or 'contains...'.</td>
<td>True</td>
<td>True</td>
</tr>
<tr>
<td>77</td>
<td>The scheme either only allows for claims on products consisting of fully segregated materials, or requires that products of mixed origins do not any contain any (focus commodity) materials defined as controversial, ‘unacceptable’ or similar.</td>
<td>True</td>
<td>False</td>
</tr>
<tr>
<td>78</td>
<td>The scheme requires that products labelled or otherwise claimed as certified do not contain any (focus commodity) materials that are illegally harvested or traded.</td>
<td>False</td>
<td>False</td>
</tr>
<tr>
<td>79</td>
<td>The scheme requires that products labelled or otherwise claimed as certified do not contain any (focus commodity) materials from areas where traditional or civil rights are violated.</td>
<td>True</td>
<td>False</td>
</tr>
<tr>
<td>80</td>
<td>The scheme requires that products labelled or otherwise claimed as certified do not contain any (focus commodity) materials from areas where HCVs (1-6) are threatened.</td>
<td>True</td>
<td>False</td>
</tr>
</tbody>
</table>

**Section II Breakdown**

**A. LEGALITY, TENURE AND USE RIGHTS**

<p>| | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
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<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Producers are required to be legally defined entities.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Producers are required to have legal land tenure or title and valid resource use rights to use the management unit.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Producers are required to comply with all applicable local, national and international laws and regulations.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Producers are required to identify legal and customary rights of tenure, access and use of other parties that apply on the management unit.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Producers are required to uphold legal and customary rights of tenure, access and use of other parties, unless these rights are delegated through documented Free, Prior and Informed Consent.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Producers are required to respect the rights, customs and culture of indigenous peoples as defined in the UN Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989).</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Producers are required to engage with affected stakeholders and document measures taken to resolve disputes related to land tenure, access and use.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Producers are required to engage with affected stakeholders and document measures taken to resolve disputes related to water.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Producers are required to take measures against unauthorised or illegal activities and settlement on the management unit.</td>
<td>True</td>
<td>False</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Producers are required to commit in writing not to offer or receive bribes or engage in any other form of corruption.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
</tbody>
</table>

**B. COMMUNITY RELATIONS**

<p>| | | | | |</p>
<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>11</td>
<td>Producers are required to engage in dialogue with neighboring communities and individuals.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Producers are required to identify negative impacts from operations on communities and individuals.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Producers are required to take measures to minimise and mitigate negative impacts from operations on communities and individuals.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>Producers are required to address grievances and provide fair compensation for negative impacts of operations on local communities and individuals.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>Producers are required to assess potential impacts on communities and individuals, including impacts on food security and water availability, prior to any significant intensification or expansion of cultivation or infrastructure.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>Producers are required to identify and respect sites of cultural and religious significance in the management unit.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>Producers are required to assess and maintain High Conservation Values (HCVs) category 5 (basic necessities for local communities) in the management unit.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>Producers are required to support economic development by providing opportunities for local employment and provision of services.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>Producers are required to actively engage in welfare programs, where relevant to the social context.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Statement</td>
<td>C. WORKERS’ RIGHTS</td>
<td>D. WATER AND SOIL</td>
<td>E. BIODIVERSITY</td>
</tr>
<tr>
<td>---</td>
<td>---------------------------------------------------------------------------</td>
<td>---------------------</td>
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<td>-----------------</td>
</tr>
<tr>
<td>20</td>
<td>Producers are required to regularly monitor their impacts on the local economy and to adapt management as necessary for improvement.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>21</td>
<td>Producers are required to respect the core ILO rights of workers as defined in the Declaration on Fundamental Principles and Rights at Work (1998).</td>
<td>false</td>
<td>False</td>
<td></td>
</tr>
<tr>
<td>22</td>
<td>Producers are required to ensure that children under the age of 15 (or higher if stipulated in national law) do not carry out productive work in the management unit.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>23</td>
<td>Producers are not allowed to use forced or otherwise involuntary labor.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>24</td>
<td>Producers are required to ensure that there is no discrimination at work and that workers are not subject to any form of corporal punishment, abuse, harassment or intimidation.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>25</td>
<td>Producers are required to identify potential health and safety risks at work and take measures to avoid them.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>26</td>
<td>Producers are required to ensure that workers are adequately equipped, instructed and trained for their tasks, including safe use and handling of chemicals.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>27</td>
<td>Producers are required to respect workers’ freedom of association and right to collective bargaining.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>28</td>
<td>Producers are required to ensure that wages, working hours and leave comply with, or exceed, applicable legislation and sector minimum standards.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>29</td>
<td>Producers are required to address grievances related to working conditions and workers’ rights and to provide compensation for occupational injuries.</td>
<td>True</td>
<td>False</td>
<td></td>
</tr>
<tr>
<td>30</td>
<td>Producers are required to ensure access to safe drinking water, adequate and equitable sanitation and hygiene (WASH)</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>31</td>
<td>Producers are required to identify water resources potentially affected by operations, in as well as outside the management unit.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>32</td>
<td>Large scale Producers are required to assess the catchment context in order to identify key water risks or shared challenges.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>33</td>
<td>Producers are required to take measures to minimise and mitigate negative impacts from direct operations on water quality.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>34</td>
<td>Producers are not allowed to create or aggravate situations of water scarcity.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>35</td>
<td>Producers are required to maintain and to restore important water related areas including wetlands.</td>
<td>True</td>
<td>False</td>
<td></td>
</tr>
<tr>
<td>36</td>
<td>Producers are required to avoid or minimise run-off and siltation of watercourses.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>37</td>
<td>Producers are required to take measures to minimise negative impacts from operations on soil resources.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>38</td>
<td>Producers are required to avoid or minimise soil erosion.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>39</td>
<td>Producers are required to maintain or improve soil quality.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>40</td>
<td>Producers are required to regularly monitor their impacts on soil and water and to adapt management as necessary for improvement.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>41</td>
<td>Producers are required to identify and maintain biodiversity values, potentially affected by operations, in as well as outside the management unit.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>42</td>
<td>Producers are required to take measures to minimise and mitigate negative impacts from operations on biodiversity values.</td>
<td>True</td>
<td>True</td>
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<tr>
<td>43</td>
<td>Producers are required to assess potential impacts on biodiversity values prior to significant intensification or expansion of cultivation or infrastructure.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>44</td>
<td>Producers are required to protect rare and threatened species and their habitats in the management unit.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>45</td>
<td>Producers are required to assess and maintain HCVs category 1 (concentrations of rare and threatened species), 2 (large landscapes in a relatively natural state), 3 (rare and threatened ecosystems) in the management unit, and 4 (Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.)</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>46</td>
<td>Producers are not allowed to convert native forest and/or areas of high above-ground carbon stocks to expand cultivation or plantations.</td>
<td>True</td>
<td>False</td>
<td></td>
</tr>
<tr>
<td>47</td>
<td>Producers are required to maintain or restore native vegetation along streams and watercourses.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>48</td>
<td>Producers are required to take measures against any illegal or inappropriate hunting, fishing or collecting in the management unit.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>49</td>
<td>Producers are not allowed to introduce or use invasive alien species in the management unit.</td>
<td>True</td>
<td>False</td>
<td></td>
</tr>
<tr>
<td>50</td>
<td>Producers are required to regularly monitor their impacts on biodiversity and to adapt management as necessary for improvement.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td><strong>F. POLLUTION, WASTE AND GREENHOUSE GASES</strong></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>51</td>
<td>Producers are required to implement integrated pest management practices that minimise the use of pesticides.</td>
<td>True</td>
<td>False</td>
<td></td>
</tr>
<tr>
<td>52</td>
<td>Producers are not allowed to use Hazardous chemicals (as defined by WHO 1A and B and the Stockholm and Rotterdam conventions).</td>
<td>True</td>
<td>False</td>
<td></td>
</tr>
<tr>
<td>53</td>
<td>Producers are required to document all application, handling, storage and disposal of agrochemicals and to ensure that procedures comply with good practice and/or manufacturers’ recommendations.</td>
<td>True</td>
<td>False</td>
<td></td>
</tr>
<tr>
<td>54</td>
<td>Producers are required to take measures to avoid or minimise negative impacts of agrochemical use on human health and the environment.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>55</td>
<td>Producers are required to respect a 500 m minimum application distance of pesticides, growth promotes and liquid fertilizers to natural ecosystems and areas of human activities, if applied by helicopter or airplanes.</td>
<td>n/a</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>56</td>
<td>Producers are required to take measures to increase resilience and reduce negative impacts from severe climate events.</td>
<td>False</td>
<td>False</td>
<td></td>
</tr>
<tr>
<td>57</td>
<td>Producers are required to estimate sequestration and emissions of greenhouse gases from the management unit.</td>
<td>True</td>
<td>False</td>
<td></td>
</tr>
<tr>
<td>58</td>
<td>Producers are required to take measures to reduce any net emissions of greenhouse gases from the management unit.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>59</td>
<td>Producers are required to reduce waste through reuse, recycling or other environmentally appropriate utilisation.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>60</td>
<td>Producers are not allowed to expand cultivation or plantations on peat soils and/or areas of high below-ground carbon stocks.</td>
<td>True</td>
<td>False</td>
<td></td>
</tr>
<tr>
<td><strong>G. PLANNING AND TRANSPARENCY</strong></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>61</td>
<td>Producers are required to continuously improve key practices and operations.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td>62</td>
<td>Producers are required to have management plans appropriate to the scale and intensity of the operation that demonstrate commitment to long-term social, environmental and economic viability.</td>
<td>True</td>
<td>True</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Requirement</td>
<td>True/False/False</td>
<td></td>
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<tr>
<td>63</td>
<td>Producers are required to ensure that management plans account for future water resource conditions (i.e., climate change, demographic shifts, projected use increases, etc.)</td>
<td>True/True</td>
<td></td>
<td></td>
</tr>
<tr>
<td>64</td>
<td>Producers are required to make summaries of their management plans publicly available on their website (large producers) or by a request (small/middle producers).</td>
<td>True/True</td>
<td></td>
<td></td>
</tr>
<tr>
<td>65</td>
<td>Producers are required to use independent expertise for assessing social and environmental impacts prior to significant intensification or expansion of cultivation or infrastructure.</td>
<td>True/True</td>
<td></td>
<td></td>
</tr>
<tr>
<td>66</td>
<td>Producers are required to make summaries of their social and environmental impact assessments publicly available on their website (large producers) or by a request (small/middle producers).</td>
<td>True/True</td>
<td></td>
<td></td>
</tr>
<tr>
<td>67</td>
<td>Producers are required to identify HCVs (all six categories) prior to significant expansion of cultivation or plantations.</td>
<td>True/True</td>
<td></td>
<td></td>
</tr>
<tr>
<td>68</td>
<td>Producers are required to participate in catchment governance mechanisms such as integrated river basin management plans.</td>
<td>False/True</td>
<td></td>
<td></td>
</tr>
<tr>
<td>69</td>
<td>Producers are required to make summaries of their HCV assessments publicly available on their website (large producers) or through a request (small/middle producers).</td>
<td>True/True</td>
<td></td>
<td></td>
</tr>
<tr>
<td>70</td>
<td>Producers are not allowed to expand cultivation or establish plantations at the expense of one or more HCVs.</td>
<td>True/True</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**H. Agriculture: Other Good Practice**

<table>
<thead>
<tr>
<th></th>
<th>Requirement</th>
<th>True/False/False</th>
</tr>
</thead>
<tbody>
<tr>
<td>71</td>
<td>Producers are required to cultivate a mix of genotypes of each main crop.</td>
<td>n/a False</td>
</tr>
<tr>
<td>72</td>
<td>The standard does not allow the use of GMO crop species.</td>
<td>n/a n/a</td>
</tr>
<tr>
<td>73</td>
<td>The standard has a separated supply-chain for non-GMO</td>
<td>n/a n/a</td>
</tr>
<tr>
<td>74</td>
<td>Producers are not allowed to use hazardous chemicals class WHO 2.</td>
<td>false False</td>
</tr>
<tr>
<td>75</td>
<td>Producers are not allowed to use hazardous chemicals according to the PAN International list of Highly Hazardous Pesticides.</td>
<td>false False</td>
</tr>
<tr>
<td>76</td>
<td>Producers adopt agro-ecologic practices, including the non-use of pesticides, biological control of pests, etc.</td>
<td>True False</td>
</tr>
<tr>
<td>77</td>
<td>Large scale producers are not allowed to expand cultivation in ways that impact negatively on local food security.</td>
<td>True True</td>
</tr>
<tr>
<td>78</td>
<td>Producers are required to implement applicable and effective actions to ensure efficient irrigation.</td>
<td>True True</td>
</tr>
<tr>
<td>79</td>
<td>Producers of annual crops are required to practice crop rotation. Producers of perennial crops are required to practice intercropping or promote mixtures of crops and native species.</td>
<td>False False</td>
</tr>
<tr>
<td>80</td>
<td>Producers are required to adapt fertilisation to soil conditions and crop needs.</td>
<td>True True</td>
</tr>
</tbody>
</table>