



CONTROLUNION

APPLICATION FORM

Carrying out Inspection and Certification of Compliance
under the Terms for

ROUNDTABLE ON SUSTAINABLE PALM OIL (RSPO)

RSPO SUPPLY CHAIN CERTIFICATION SYSTEMS



APPLICATION FORM – RSPO SCC

Please complete this application form and return it to your local Control Union office. We will provide you with an offer and discuss the best way in moving forward towards a certification audit.

INSTRUCTIONS TO APPLICANT

- This RSPO SCC Application form must be completed prior to us making an offer
- Kindly complete the form and sign the client declaration

CLIENT INFORMATION (AS REGISTERED WITH THE RSPO)

Organisation Name :

Address :

City :

Country :

Office Contact No. :

VAT No, if applicable :

RSPO Membership No :

Each PalmTrace ID for different activities /or sites :

PRIMARY CONTACT PERSON INFORMATION (THE PERSON RESPONSIBLE/IN-CHARGE)

Contact's Name :

Position / Title Held with the Company :

Office Direct Line No. :

Mobile No. :

E-mail Address :

GUIDANCE TO APPLICANT

Supply Chain Model

For the **Identity Preserved, Segregation and Mass Balance** supply chain models, either the operator at the facility level or its parent company that is seeking certification shall be a member of the RSPO



- **Identity Preserved (IP)**
The Identity Preserved Supply chain model assures that the RSPO certified oil palm products delivered to the end user is uniquely identifiable to a single mill and its supply base and is kept physically isolated from all other oil palm sources throughout the supply chain (including other segregated RSPOCSPO sources)
- **Segregation (SG)**
The Segregation supply chain model assures that RSPO certified oil palm products delivered to the end user comes only from RSPO certified sources. It permits the mixing of RSPO certified palm oil from a variety of sources
- **Mass balance (MB)**
The Mass balance supply chain model administratively monitors the trade of RSPO certified oil palm products throughout the entire supply chain, as a driver for mainstream trade in sustainable palm oil

General

- For members seeking certification for difference operational units that are not governed under one Central Office or ICS, separate application forms must be submitted for each operational unit
- Please give details of each operational unit with the correct set detail as listed below
- Add or subtract rows as necessary

TYPE OF CERTIFICATION

Type	Description	Double "click" on box to select
Micro Users	Organisations that use low volume of oil palm products, of less than 1000KG of oil palm products per annum	<input type="checkbox"/>
Single Site Only	For single-site certification, the scope of certification is limited to ONE operational unit per application	<input type="checkbox"/>
Multiple Sites	<ul style="list-style-type: none"> • A term used for groups of plantations, farms, mills or refineries etc brought together under a Central Office and administered using an Internal Control System (ICS) • All facilities included in the multi-site certification shall be represented by a Central Office • The Central Office shall document and implement clear rules regarding eligibility for the participation of sites in the certificate • All Participants sites shall have a legal and/or contractual relationship with the Central office • Multi-site certification is not restricted to a single country and can be performed across borders • A common centrally administered and documented internal control system (ICS) shall be used and shall be used and monitored by the Central Office • The Central Office shall appoint a management representative with overall responsibility for ensuring that all operational units comply with the RSPO chain of custody requirements. Internal audits of all sites/operations will be carried out on an annual basis and will be reviewed and recorded at the Central Office • Different operations within the multi-site certification will be grouped by "Sets". Each set will operate a common management system and maybe classified as follows: <ul style="list-style-type: none"> ○ Refining and blending ○ Kernel Crushing Plants 	<input type="checkbox"/>

	<ul style="list-style-type: none"> ○ Storage and Distribution ○ Processing (including secondary processing after the refinery) ○ Production (Final Manufacture of end product) ● At least 1 site from each set shall be included in an audit sample. <p>Central Office functions shall be audited annually</p>	
Group sites	<p>All members included in the group certification shall be represented by a Group manager.</p> <ul style="list-style-type: none"> ● The Group manager shall document and implement clear rules regarding eligibility for members' participation in the certificate. ● All group members shall have a legal and/or contractual relationship with the Group Manager. ● Group certification is not restricted to a single country and can be performed across borders. ● Group members shall be: <ul style="list-style-type: none"> ○ Separate legal entities ○ Use up to 500 MT of oil palm products per year ● Micro users can be a part of group membership. ● Palm oil mills cannot join a group, with the exception of independent palm oil mills without their own supply base and producing up to 5000 MT palm oil products per year) <p>The RSPO Supply Chain Certification system shall be operated by a Group Manager.</p> <ul style="list-style-type: none"> ● A common centrally administered and documented internal control system (ICS) shall be used and monitored by the Group Manager. ● The Group entity shall appoint a Group Manager who is appointed management representative with overall responsibility for ensuring that all group members comply with the RSPO Supply Chain Certification Standard requirements. Internal audits of group members shall be carried out on an annual basis and shall be reviewed and recorded by the Group Manager. ● Different operations within the Group certification shall be grouped by sets. The main sets shall operate a common management system and may be classified as follows: <ul style="list-style-type: none"> ○ Refining and blending ○ Transport and distribution ○ Processing (including secondary processing after the refinery) ○ Production (final manufacture of end product) ● At least one (1) site from each set shall be included in an audit sample. ● The Group Manager shall be audited annually. 	
Book & Claim	<p>Model that supports the production of RSPO certified sustainable oil palm products through the sale of RSPO Credits.</p> <ul style="list-style-type: none"> ● One RSPO Credit represents one metric tonne of RSPO certified sustainable oil palm product. <p>For Oleochemicals, ratios in the RSPO rules for Oleochemicals and its Derivatives shall be used. Refer to application form B&C.</p>	

Applying for additional services

Pre-assessment

(This visit gives you the opportunity to identify existing gaps before the first inspection/audit)

CU CODE	OPERATIONAL UNIT	DESCRIPTION	Please Click your Operation
REF	Refinery or Final Refinery	<ul style="list-style-type: none"> A refinery is a production facility that processes crude palm oil into products with more value like refined palm oil. A refinery or final refinery that refines CPO/CPKO into derivatives and may also produce a final product 	<input type="checkbox"/>
PRU	Processing	Intermediate production of a product that undergoes further processing into the final product	<input type="checkbox"/>
FPU	Final Production	Final manufacture of product that undergoes no further processing. The manufacturer/processor that uses palm oil-based products for manufacturing products designed and intended for consumption or end-use in any way e.g. Food manufacturers, retailers when producing own label products- in house, consumer goods manufacturers, biofuel producers, feed product manufacturers.	<input type="checkbox"/>
STO	Storage	Tanks, storage facilities of the products	<input type="checkbox"/>
OTU	Outsourcing	Tank farms and other services that might not be directly owned by the applicant company	<input type="checkbox"/>
TRD	Trading or Traders	Participant in the supply chain of RSPO certified oil palm products that takes legal ownership of oil palm products, derivatives, and/or purchases and sells futures without physically handling the oil palm products. When selling RSPO certified products, the Trader must pass on the certificate number of the product manufacturer and the applicable supply chain model. Traders not complying with this definition, need to hold a Supply Chain Certification.	<input type="checkbox"/>
ICS	Internal Control Systems	Internal Control System for multi-sites	<input type="checkbox"/>
IM	Independent mill	A mill operating independently of and with no legal relationship to any specific plantation. This includes through parent or sister companies.	<input type="checkbox"/>

FSC	Food Service Companies	Facility/facilities that serves any type of meals and/or snacks for immediate consumption onsite or for take away. This category includes full-service restaurant, fast food outlets, caterers, cafeterias and other places that prepare, serve and sell food to consumers or public. It also includes retail bakeries, as those located in supermarkets conducting par-baking and food service companies that deliver to institutions.	<input type="checkbox"/>
KCP	Kernel Crusher Plant	A plant that produces Palm Oil Kernel (PKO) and Palm Kernel Expeller (PKE).	<input type="checkbox"/>

For Outsourcing companies on the scope

Please answer the following questions:	Yes/No
The company is outsourcing a wide range of production related activities	
The company is outsourcing to a contractor or a number of contractors on a regular basis;	
The contractors (outsourced companies) grade and/or sort the material in the chain during outsourced processing;	
Outsourced company does not physically return the certified product following the outsourced activity;	
Contractors are physically transforming products	
The company is outsourcing processing across national borders	

OPERATIONAL UNIT(S) TO BE INCLUDED IN THIS AUDIT SCOPE (ADD/REMOVE LINES)

CU Code	Name of Facility	Location Address	Supply Chain Model

LOCATION ADDRESS FOR MULTI-SITE/Group Certification/Food service CERTIFICATION ONLY

Not applicable to Single Site Certification

CU code	Location address of the ICS (Applicable to Multi-Site Certification Only)
ICS	

OPERATIONAL UNIT(S) TO BE INCLUDED IN THIS AUDIT SCOPE (ADD/REMOVE LINES)

CU Code	Name of Facility	Location Address	Supply Chain Model

RSPO CERTIFICATION STATUS (APPLICABLE TO CERTIFICATION TRANSFERS ONLY)

Please confirm if the facility(s) in this Application Form was successfully certified previously by another Certification Body and this is a transfer of certification to Control Union.

Yes, this is a transfer of certification

No, this is a new application for certification

If YES, then kindly submit with this application the following documents:

- | | |
|--|--------------------------|
| 1) The RSPO SCC Certificate from the previous Certification Body | <input type="checkbox"/> |
| 2) The most recent RSPO SCC Public Summary Report | <input type="checkbox"/> |
| 3) Confirmation of communication to the other CB | |

ADDITIONAL INFORMATION ON CERTIFICATION TRANSFERS (IF APPLICABLE)

Details of any previous certification reports	
Details of all other certifications held, to include contact details of the certification bodies applicable	
Description of the company and the process for which the certification is sought	
Please provide details regarding location and travel logistics for the above ((For example: Nearest airport. Distance and time required from the airport and time between locations). If applicable, please specify per site or location.	

APPLICANT / CLIENT DECLARATION

I, the undersigned, being an authorised signatory for the organization, understand that the information given in this application is considered non-confidential and may be shared with other parties.

I confirm that I've been made aware that Control Union Certification BV.. is the primary registered office with the Roundtable on Sustainable Palm Oil (RSPO) that handles all accreditation matters and in accepting any potential offers from any Control Union office for RSPO certification services, the contracting and legal office is Control Union Certification BV. Furthermore, I confirm that this Application Form has been filled truthfully and shall be used as an integral part of the agreement between Control Union Certifications and the Client.

I declare that the information given in this application is complete and accurate and request an offer to potentially carry out the RSPO Supply Chain Certifications audit as required under the RSPO Supply Chain Certification Systems document.

Name :

Position :

Signature :

Date :