Towards an Integrated Complaints System

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17 November 2015
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Process Overview

2014 Review
Technical review of loopholes + internal consultations (April-Sept)

Stakeholder consultations (Sept)

Draft integrated procedures (Oct)
Technical review of links and loopholes between complaints-related components of RSPO

‘Loopholes’ Review (1)

- Reviewed all RSPO documents (standards and procedures) that have or should have links to Complaints System
- Multiple pathways for complaints
  - Within RSPO: Certification Standing Committee, NPP, DSF, Remediation & Compensation, Complaints Panel, etc.
  - Outside of RSPO: company-level mechanism, ASI, HCV-Resource Network, ISEAL Alliance, etc.

MANY loopholes and inconsistencies ...
‘Loopholes’ Review (2)

Overarching & cross-cutting recommendations:

① Develop framework for integrated complaints system and streamline all related procedures and subsidiary bodies

② Develop clearinghouse and central monitoring system for complaints and Secretariat mechanism(s) for compliance

③ Ensure clear mandates and procedures for revising and developing documents; include provision for complaints concerning any / every RSPO standard and procedure

④ Establish clear labelling and filing system for all procedures and docs

⑤ Update all components and documents to reflect current terms
Key Changes

- Overall structure + new sections and annexes, e.g.:
  - Distinction between RSPO components that complaints concern vs. diverse ways (mechanisms) to address them
  - Central ‘clearinghouse’ for receiving and handling complaints: more onus on Secretariat, less on Panel
  - New Codes of Conduct for Secretariat, Complaints Panel members and parties to complaints

- Much more clear & detailed (but still flexible), e.g.:
  - Guiding principles
  - Comprehensive list of bases of complaints
  - Guidance about different mechanisms for addressing complaints
  - Revised Complaints Flowchart and Complaint Form

Contents

- Intro
- Governance & Management
- Draft ICS Procedures
- Mechanisms
- Procedures
- Process Flow
- Annexes
1) Introduction

- Background, objectives and scope (pretty similar)
- Basis of the ICS (new)
  - UN Guiding Principles on Business & Human Rights, ISEAL Alliance Code, GA Resolutions
- Guiding principles of the ICS (new)
  - Prevention, collective responsibility, subsidiarity, respectful engagement in good faith, adaptation and innovation
- Basis of complaints (revised, now covers all of RSPO)
  - 5 main categories (next pg)
- Standing (new)
- Accessibility (revised)
Basis of Complaints

Complaints may arise from or concern ANY of these ...

Contents

Draft ICS Procedures
2) Governance & Management

- **RSPO Secretariat (more detailed)**
  - Code of Conduct
  - ToR for Impacts Division as Complaints Secretariat
  - Complaints Clearinghouse

- **Board of Governors (new)**
  - Oversight of RSPO Secretariat’s performance
  - No decision-making powers in complaints

- **Communications and public announcements (revised)**
- **Reporting (new)**
  - BoG, closed complaints, annual report
Contents

Draft ICS Procedures

Mechanisms

Procedures

Governance & Management

Process Flow

Intro

Annexes
3) Complaints System Mechanisms

- Each complaint is a unique and dynamic process

Contents

- Intro
- Governance & Management
- Mechanisms
- Draft ICS Procedures
- Process Flow
- Procedures
- Annexes
4) Procedures for Complaints Arising Throughout RSPO

- Complaints re: procedures for RSPO Members
- Complaints re: procedures for standard-setting body
- Complaints re: certification standards
- Complaints re: certification procedures
- Complaints re: voluntary certification standards
- Emerging and future issues (media, jurisdictional cert.)
5) Process Flow

Submission: receipt & initial checks; possible interim measures → Determine legitimacy; possible fact-finding or inquiry → Identify possible means to address complaint; notify Panel → Develop + mutually consent to Action Plan → Escalate to Complaints Panel / Appeal if needed → Monitor implementation + revise Action Plan if needed → Transmit to relevant mechanisms + procedures → Closure

ICS Procedures

Broad Framework

Revision of Action Plan / closure of complaint → Independent Appeals Mechanism

Mechanisms to address complaints:
- Facilitated bilateral engagement
- Interim measures
- Mediation
- Independent fact-finding and inquiries
- Sanctions
- Third-party decision (Panel)

Development of Action Plan (Secretariat + parties to complaint)

Handling by suitable (a) procedure(s) & (b) mechanism(s)

Certification Procedures

Certification Standards

Statutes
- Codes of Conduct
- ACOPIs
- GA Resolutions

Voluntary Certification Standards

Procedures for Standard-Setting Body

Procedures for RSPO Members

RSPO-RED
- RSPO Rent
- GHS & HCS

P&C
- Nts
- Supply Chain Certification Standard
- Group Certification Standard
- Communications & Claims

Certification Systems
- NPP
- Supply Chain Certification Systems
- Remediation & Compensation

Complaints Clearinghouse (RSPO Secretariat)
6) Annexes

1. Broad Framework for ICS (new)
2. Complaints Process Flowchart (revised)
3. Complaint Form (revised)
4. Complaint Submission Checklist (new)
5. Code of Conduct for Parties to a Complaint (new)
6. Code of Conduct for Complaints Panel Members (new)
7. Complaints Panel Appointment Letter (new)
8. DSF Framework, ToR and Protocol + DSF Procedure Flowchart (unchanged from 2012, in need of revision)

Next Steps
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• Public consultation: 9 October to 9 December 2015

INTEGRATED COMPLAINTS SYSTEM PROCEDURES
ANNOUNCEMENT

Announcements, 12 October 2015

The public consultation of the RSPO Integrated Complaints System was conducted on 9th of September 2015 in Kuala Lumpur. Following to the public consultation, internal workshop with RSPO Secretariat was conducted on 10-11 September 2015 in RSPO Office. Ridge to Reef has developed a document based on the inputs and comments obtained during the public consultation and internal workshop.

The draft of document is now open for public comments for 60 days, starting from 9th October to 9th December 2015. The document and the Comments Form can be downloaded below.

Please send the comments form by 9 December 2015 to impactsidn@rspo.org.

| Comments form for Integrated Complaints System Procedure | English (83 KB) | DOWNLOAD |
| Integrated Complaints System Procedures - DRAFT | English (9 MB) | DOWNLOAD |
Next Steps

- Public consultation: 9 October to 9 December 2015
- Inputs to other consultation processes to ensure alignment
- Final ICS procedures hopefully ready in December / January (depending on scope of inputs)

Thank you / Terima kasih

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