

MSPO CERTIFICATION SUMMARY REPORT

SPOC J33 SUNGAI BALANG

SURVEILLANCE 02

Remote Audit Date: 01/03/2021 – 03/03/2021

TUV NORD (Malaysia) Sdn Bhd
No. 9F-1A, 9th Floor, Tower 2 @ PFCC
Jalan Puteri ½, Bandar Puteri Puchong
47100 Puchong, Selangor.
Phone: +603 8600 4031/4032
Fax: +603 8600 4550

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



Table of Contents

1.	INTRODUCTION	4
1.1.	Objective	4
1.2.	Scope	4
1.3.	Appointment & Qualification of Audit Team Members	4
2.	METHODOLOGY.....	9
3.	ORGANISATION INFORMATION	13
4.	CERTIFICATION ASSESSMENT	17
4.1.	ASA 02	17
4.2.	Stakeholders' Consultation	17
4.3.	Summary of Assessment	18
4.4.	Status of Non-Conformities Previously Identified	26
4.5.	Detail of Audit Findings in last Audit	27
4.6.	Detail of Audit Findings Identified During This Audit	27
5.	CONCLUSION	28
6.	RECOMMENDATION	29
7.	LIST OF STAKEHOLDERS	30
	Distribution / Confidentiality / Rights of ownership / Limitations / Responsibilities / Audit Objectives	31
	Annex / Enclosures	31

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



ABBREVIATIONS

CHRA	Chemical Health Risk Assessment
CPO	Crude Palm Oil
CSR	Corporate Social Responsibility
DOE	Department of Environment
EFB	Empty Fruit Bunch
EIA	Environment Impact Assessment
FFB	Fresh Fruit Bunch
GAP	Good Agriculture Practices
GPS	Global Positioning System
HBV	High Biodiversity Value
IPM	Integrated Pest Management
ISO	International Standard Organisation
LKN	Latihan Khidmat Nasihat
MPOB	Malaysian Palm Oil Board
NC	Non Conformity
OSH	Occupational Safety and Health
P&C	Principle and Criteria
PPE	Personal Protective Equipment
RTE	Rate, Threatened and Endangered
SA8000	Social Accountability 8000
SIA	Social Impact Assessment
SOP	Standard Operating Procedure
SPOC	Sustainable Palm Oil Cluster
WHO	World Health Organization

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



1. INTRODUCTION

MPOB has commissioned TÜV NORD (Malaysia) Sdn Bhd to conduct surveillance audit for SPOC J33 Sungai Balang according to MS 2530-2:2013 Part 2 General Principles for Independent Smallholders.

1.1. Objective

The objective of this audit is to assess the MPOB Cawangan SPOC J33 Sungai Balang as group manager managing the independent smallholders by an independent certification body for compliance of the applied standard.

1.2. Scope

The assessment is based on the documentation established by MPOB Cawangan SPOC J33 Sungai Balang in managing the independent smallholders' scheme.

The supporting documents are provided to the audit team as well as information received by means of interviews and background investigation.

The documents and information are reviewed against the requirements and criteria mentioned below. TÜV NORD has employed a risk-based approach in the verification, focusing on the identification of significant risks and reliability of the monitoring and reporting.

The assessment is carried out on the basis of the MS 2530-2:2013: Part 2: General principles for independent smallholders.

The following references are used as part of the assessment; the compliance of the requirements out of the guidelines applied was checked.

1. Kod Amalan Baik (GAP) Perkebun Kecil, Malaysia Palm Oil Board
2. Guidelines for Development of a Standard Operating Procedure for Oil Palm Cultivation on Peat.

1.3. Appointment & Qualification of Audit Team Members

The audit team appointed consists of the team leader and two team members. The team contribute to the review of documents, assessment of the project activity and preparation of the report.

Qualification of the Lead Auditor: Ariff Bin Lokman

Requirement	Qualifications
Post-secondary education, college or university diploma / degree in one of the following i) Agriculture; ii) Science & Technology (e.g. Environmental Sciences, Life Sciences, Geological Sciences, Natural Sciences,); iii) Engineering, Process Technology; iv) Energy Management, Quality Management;	Graduate in Applied Science (Major in Plantation Industry and management)

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J33 Sungai Balang
 Client Number: 92-96
 Audit Type: ASA 02
 Mode of Audit: Remote audit



Requirement	Qualifications
v) Social Sciences and/or Anthropology; vi) Business Management; or vii) Other relevant related fields	
At least five (5) years of work experience in the oil palm sector or related field in consultancy / auditing of similar industry or equivalent related to and as necessary for the certification process. (e.g., sustainability, palm oil management; agriculture, ecology; social science)	7 years working experience in oil palm plantations.
Successfully completed MPOCC endorsed lead auditor training	Successfully completed MS2530 series of standards for Lead Auditors
Conducted at least three (3) MSPO or equivalent sustainability certification audits as Lead Auditor-in-training with a minimum of fifteen (15) man-days under the supervision of a qualified Lead Auditor for MSPO or equivalent sustainability certification schemes within the last two (2) years.	Qualified and appointed as lead auditor for MSPO scheme.
Field working experience in the palm oil sector, or demonstrable equivalent	7 years working experience in oil palm plantations.
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	7 years working experience in oil palm plantations.
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Successfully completed IMS ISO 9001, 14001 and 45001 Lead Auditor course.
Health and safety auditing on the farm and in processing facilities Or Successfully completed Occupational, Health & Safety Management System ISO 45001 standard	Successfully completed IMS ISO 9001, 14001 and 45001 Lead Auditor course.
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Successfully completed SA 8000 Basic training.
Environmental and ecological auditing or experience with organic agriculture. or Successfully completed Environmental Management Systems ISO 14001 standard	Successfully completed IMS ISO 9001, 14001 and 45001 Lead Auditor course.
Completed High Conversation Value assessment	Qualified as lead auditor for MSPO scheme.

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J33 Sungai Balang
 Client Number: 92-96
 Audit Type: ASA 02
 Mode of Audit: Remote audit



Requirement	Qualifications
Able to communicate in Bahasa Malaysia, English and / or any other local language.	Able to communicate in Bahasa Malaysia and English.

Qualification of Team Member(s)

Requirement	Name Assessor	Qualification	Compliance
Post-secondary education, college or university diploma / degree in one of the following i) Agriculture; ii) Science & Technology (e.g. Environmental Sciences, Life Sciences, Geological Sciences, Natural Sciences,); iii) Engineering, Process Technology; iv) Energy Management, Quality Management; v) Social Sciences and/or Anthropology; vi) Business Management; or vii) Other relevant related fields	Muhammad Khairul Anuar Bin Azizul Hasan	Graduate in Applied Science (Major in Plantation Industry and management)	Yes
	Mohd Nur Amin Bin Mohd Halim	Graduate in Office Management & Technology.	
At least five (5) years of work experience in the oil palm sector or related field in consultancy / auditing of similar industry or equivalent related to and as necessary for the certification process. (e.g., sustainability, palm oil management; agriculture, ecology; social science)	Muhammad Khairul Anuar Bin Azizul Hasan	7 years working experience in oil palm plantation.	Yes
	Mohd Nur Amin Bin Mohd Halim	6 years 10 months of working experience in both upstream & downstream division on managing sustainability of oil palm industry.	
Successfully completed MPOCC endorsed lead auditor / auditor trainings	Muhammad Khairul Anuar Bin Azizul Hasan	Successfully completed MS2530 series of standards for Lead Auditors	Yes
	Mohd Nur Amin Bin Mohd Halim	Successfully completed MS2530 series of	

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J33 Sungai Balang
 Client Number: 92-96
 Audit Type: ASA 02
 Mode of Audit: Remote audit



Requirement	Name Assessor	Qualification	Compliance
		standards for Lead Auditors	
Conducted a minimum six (6) on-site audits for a total of at least 20 man-days of audit experience as an auditor-in-training under the direction and guidance of a qualified Lead Auditor for MSPO or equivalent sustainability certification schemes.	Muhammad Khairul Anuar Bin Azizul Hasan	Qualified and appointed as auditor for MSPO scheme.	Yes
	Mohd Nur Amin Bin Mohd Halim	Qualified and appointed as auditor for MSPO scheme.	
Field working experience in the palm oil sector or demonstrable equivalent	Muhammad Khairul Anuar Bin Azizul Hasan	7 years working experience in oil palm plantation.	Yes
	Mohd Nur Amin Bin Mohd Halim	6 years 10 months of working experience in both upstream & downstream division on managing sustainability of oil palm industry.	
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	Muhammad Khairul Anuar Bin Azizul Hasan	7 years working experience in oil palm plantation.	Yes
	Mohd Nur Amin Bin Mohd Halim	6 years 10 months of working experience in both upstream & downstream division on managing sustainability of oil palm industry.	
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Muhammad Khairul Anuar Bin Azizul Hasan	Successfully completed IMS ISO 9001, 14001 and 45001 Lead Auditor course.	Yes
	Mohd Nur Amin Bin Mohd Halim	Successfully completed IMS ISO 9001, 14001 and 45001 Lead Auditor course.	
Health and safety auditing on the farms processes and activities Or Successfully completed Occupational, Health & Safety Management System ISO 45001 standard	Muhammad Khairul Anuar Bin Azizul Hasan	Successfully completed IMS ISO 9001, 14001 and 45001 Lead Auditor course.	Yes
	Mohd Nur Amin Bin Mohd Halim	Successfully completed IMS ISO 9001, 14001 and 45001 Lead Auditor course.	

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J33 Sungai Balang
 Client Number: 92-96
 Audit Type: ASA 02
 Mode of Audit: Remote audit



Requirement	Name Assessor	Qualification	Compliance
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Muhammad Khairul Anuar Bin Azizul Hasan	Successfully completed SA 8000 Basic training.	Yes
	Mohd Nur Amin Bin Mohd Halim	Successfully completed SA 8000 Basic training.	
Environmental and ecological auditing or experience with organic agriculture. or Successfully completed Environmental Management Systems ISO 14001 standard	Muhammad Khairul Anuar Bin Azizul Hasan	Successfully completed IMS ISO 9001, 14001 and 45001 Lead Auditor course.	Yes
	Mohd Nur Amin Bin Mohd Halim	Successfully completed IMS ISO 9001, 14001 and 45001 Lead Auditor course.	
Completed High Conversation Value assessment	Muhammad Khairul Anuar Bin Azizul Hasan	Qualified as Auditor for MSPO scheme.	Yes
	Mohd Nur Amin Bin Mohd Halim	Attended and completed the HCV-HCS for producers online course	
Able to communicate in Bahasa Malaysia, English and / or any other local language.	Muhammad Khairul Anuar Bin Azizul Hasan	Able to communicate in Bahasa Malaysia and English.	Yes
	Mohd Nur Amin Bin Mohd Halim	Able to communicate in Bahasa Malaysia and English.	

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



2. METHODOLOGY

The audit approach consists of the following steps:

- Appointment of team members;
- Contact client for relevant documentation according to the applicable MSPO standards;
- Latest smallholders list;
- Audit planning;
- Background investigation, desk review of submitted documents;
- Assessment, interviews SPOC personnel, contractors; review of documentation;
- Review of SPOC management system;
- Reporting
- Resolution of non-conformance (NC) (if any)
- Draft audit reporting
- Technical review
- Final audit reporting
- Final approval, certification decision and issuance of certificate.

Surveillance 02 Audit:

Surveillance 02 audit conducted remotely on 01/03/2021 – 03/03/2021 covering the following activities but not limited to below:

Remote:

- Confirmation of the appropriate interactive communication tools as describe in IAF MD4
- Desk documentation assessment;
- Virtual interview management;
- Virtual stakeholders communication; If required
- Virtual interview of smallholders; phone call interview
- Virtual inspection of farm; photos observation
- Production records
- Review revised and updated documentation;
- Training records
- Assessment reporting

Remote Assessment

The audit of the smallholders is conducted according to the MS 2530-2:2013 Part 2 General Principles for Independent Smallholders.

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



The methodology for collection of objective evidence by means of physical or virtual site inspections, observation of tasks and processes, interviews of smallholders, SPOC officers, review of documentation and data.

This remote audit is conducted in accordance to MPOCC Updated Circular (27 October 2020) Guidance on Remote Audits due to Covid-19 Pandemic on travelling restrictions.

The remote audit follow the IAF MD4:2018 and as guided by the ISO 9001 Auditing Practices Group Guidance on Remote Audits.

The communication tool applied for remote audit is Zoom / WhatsApp / Telephone.

MSPO guidance documents are used to guide the collection of information.

For this remote audit, the number of selected independent smallholders are based on example table of ACB – OPMC Issue 2 dated 04/09/2020

The group of smallholders consists of 84 new members and 503 existing members. The total number of smallholders for this audit are 587.

As per MPOB requirements the risk factor of 1.5 shall be applied. Therefore, the sample size $S = 1.5\sqrt{587} = 36.34$ round up to the next integral are 37.

As per OPMC 2 issue 2, from the sample size, the number of the new members are $84 \times 75\% = 28$ and number of existing members are $503 \times 25\% = 9$.

The list of smallholders selected for the remote assessment and inspection listed in Table 2-1 below:

Table 2-1: List of Sample Smallholders

Name	GPS Coordinates
Existing Members	
Ahmad Kamil	1.88775°N, 102.73674°E
Samsudin Bin Samat	1.92163°N, 102.77064°E
Harun Bin Tunan	1.92894°N, 102.78522°E
Sukor Ali	1.90018°N, 102.71482°E
Hasanuddin Hasan	1.93352°N, 102.74816°E
Jemaon Boayamin	1.89651°N, 102.77203°E
Mohd Noh Rosni	1.87378°N, 102.73426°E
Mohd Noh Koming	1.89783°N, 102.74984°E
Esa B. Baharom	1.87483°N, 102.72344°E

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



Name	GPS Coordinates
New Members	
Kasiman Bin Mohi	1.92072°N, 102.72573°E
Kamidon Bin Jumiran	1.89014°N, 102.69625°E
Mohd Noh Bin Hamin	1.89322°N, 102.70047°E
Sharifah Binti Abdullah	1.90008°N, 102.69831°E
Abd Bakar Bin Soradi	1.89731°N, 102.69681°E
Shahri Bin Dikin	1.89497°N, 102.75789°E
Fatimah Binti Abad Ishak	1.89411°N, 102.78428°E
Abd Ghani Bin Abdullah	1.91709°N, 102.74612°E
Noraini Binti Sarayani	1.90381°N, 102.72233°E
Law Ley See@ Law Ley Sam	1.90653°N, 102.71611°E
Hasnah Binti Dol	1.91017°N, 102.71892°E
Cheong Beng Chio	1.89625°N, 102.81606°E
Koh Yong Sing	1.93116°N, 102.78242°E
Bryan Zhao Qing	1.92534°N, 102.77315°E
Nurkhairah Binti Awang	1.88496°N, 102.69506°E
Rohaidah Binti Ibrahim	1.88822°N, 102.77822°E
Azlinazura Binti Abd Rashid	1.89755°N, 102.75461°E
Moin Bin Salam	1.906479°N, 102.73415°E
Chong Meng Ling	1.88909°N, 102.77496°E
Hamid Bin Abas	1.94964°N, 102.76275°E
Basiron Bin Moin	1.95069°N, 102.78014°E

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



Name	GPS Coordinates
Mohd Farid Bin Sarpan	1.90690°N, 102.780140°E
Koh Cheng Em	1.948998°N, 102.761163°E
Gan Ser Chok@ Gan Yong Jin	1.910470°N, 102.78076°E
Goh Peng Cheong	1.91444°N, 102.71716°E
Tan Kim Seng	1.913565°N, 102.720959°E
Chong Yeok Chyuan	1.877402°N, 102.68993°E
Rubinah Binti Ridzuan	1.92047°N, 102.77002°E

Non-conformance:

On the basis of the desk review, evidences presented during the audits as well as from the onsite visits non-conformance (NC) Major, Minor and Opportunity for Improvements (OFI) may be raised during the audit.

Major non-conformance shall be addressed and responded with 60 days from closing date of audit. For minor non-conformances action plan to be submitted within 30 days from closing date of audit for review and acceptance. Implementation of Minor NC will be review and verify during the next audit.

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit

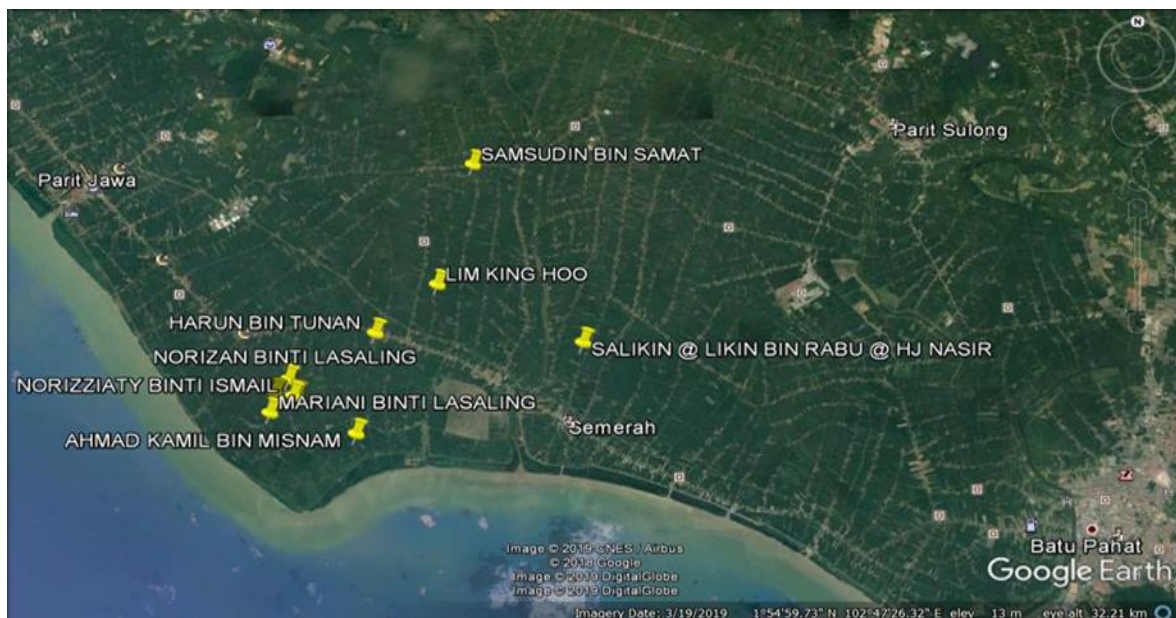


3. ORGANISATION INFORMATION

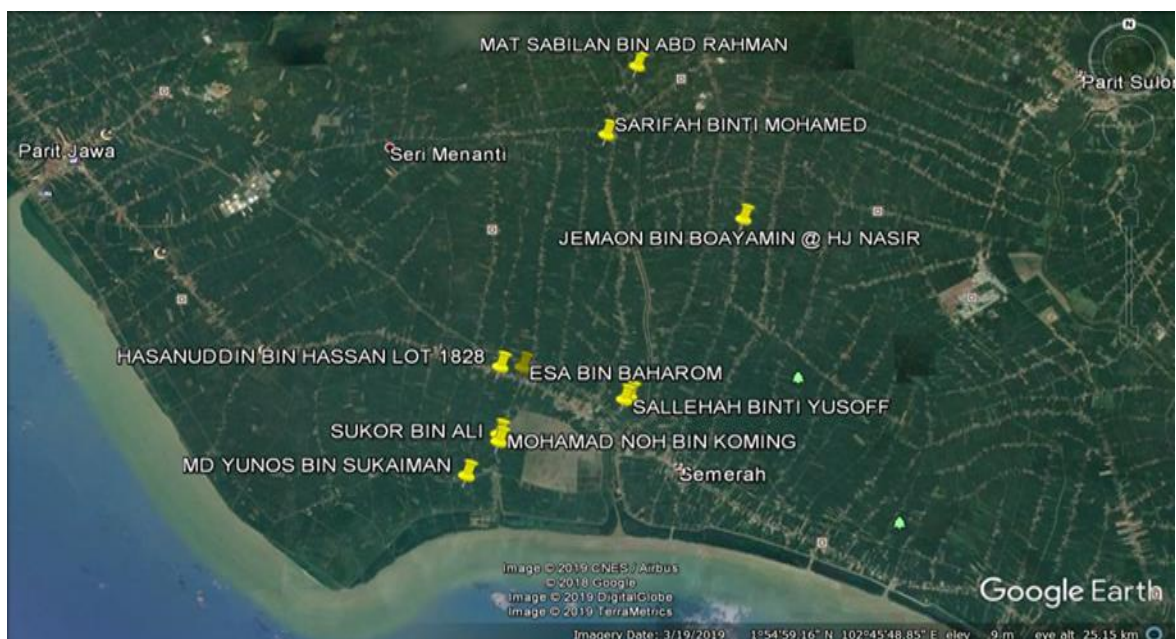
MPOB Cawangan SPOC J33 Sungai Balang, is a branch of MPOB located at No 33, Tingkat 1, Jalan Kasawari 21/7, Taman Sungai Abong Permai 2, 84000 Muar, Johor, coordinate 2.050556°N, 102.6067°E is managed by a group manager and supported by a team officers to manage the cluster providing technical support, estate management skills and training as well as develop the independent smallholders' scheme around the Muar district.

The smallholders are in Sungai Balang as shown in the below maps.

Map no. 1



Map no. 2



MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



Map no. 3



Map no. 4

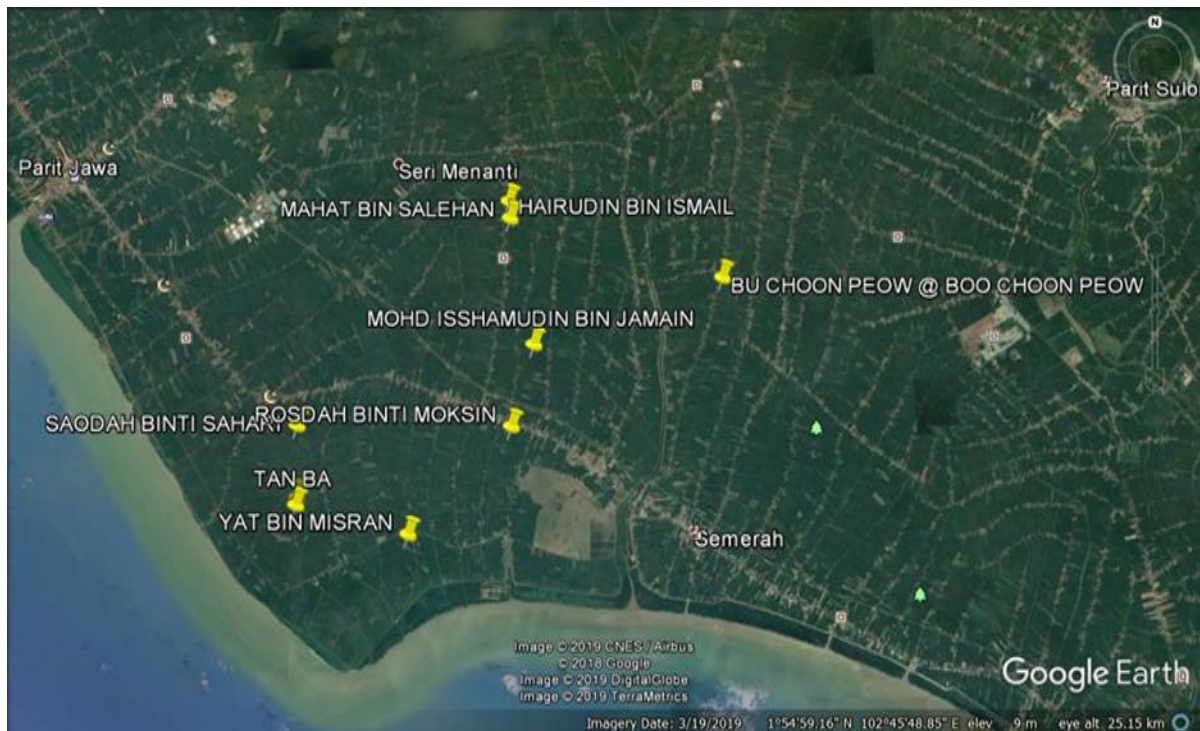


MSPO Certification Summary Report

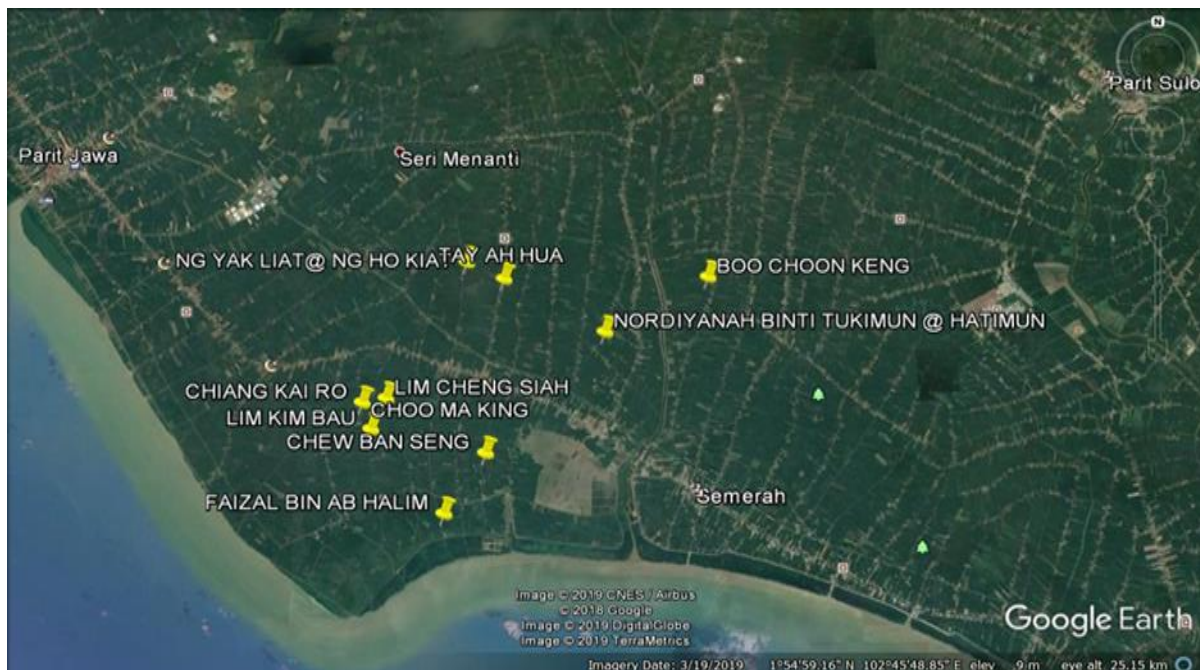
Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



Map no. 5



Map no. 6

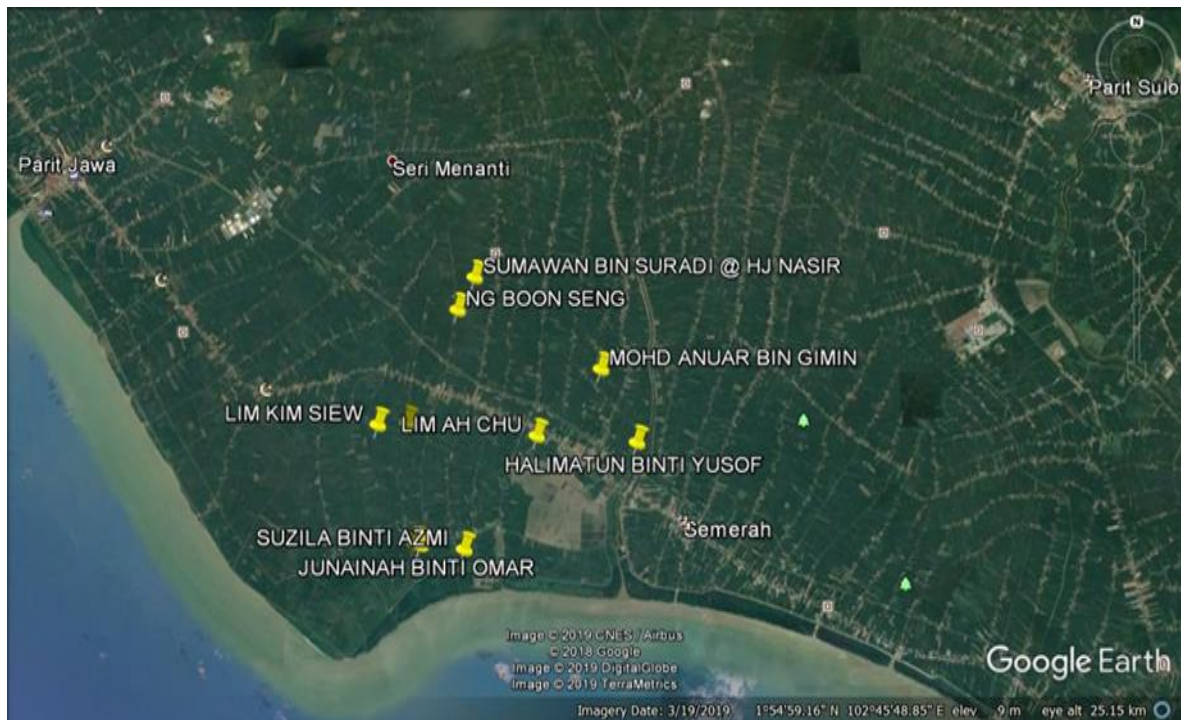


MSPO Certification Summary Report

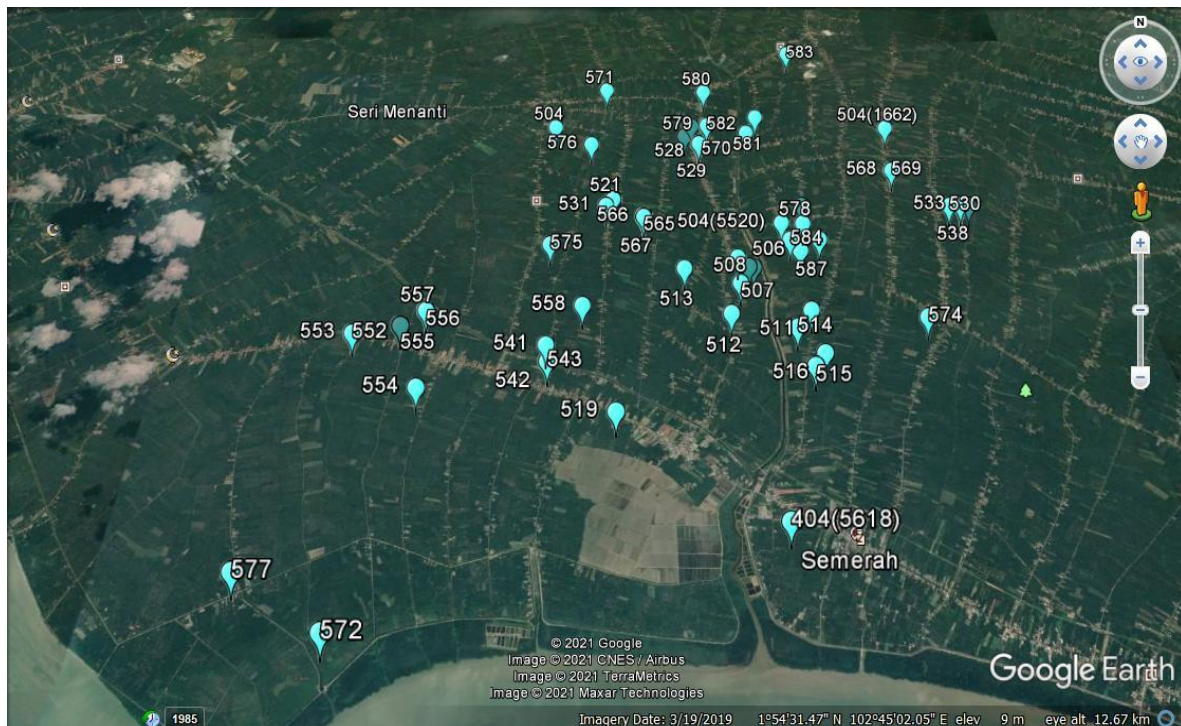
Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



Map no. 7



Map no.8



MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



4. CERTIFICATION ASSESSMENT

4.1. ASA 02

The objective of the audit is to assess the activities of MPOB Cawangan SPOC J33 Sungai Balang are in compliance with MS 2530-2: 2013 Part 2: General principles for independent smallholders' requirements.

4.1.1. Surveillance 02:

The surveillance 02 audit is conducted on 01/03/2021 to 03/03/2021.

The number of smallholders in this surveillance audit are 587.

The number of smallholders 503 remain the same for this surveillance audit.

The number of smallholders joined during this surveillance 02 audit are 84.

The audit team has applied the Malaysian Sustainable Palm Oil Part 2: General Principles for Independent Smallholders Audit Guidance to assess the establish documents against the Principles and Criteria of the standard.

The details of assessment of the indicators are at the summary of assessment in this report.

During the remote the following were verified but not limited to below:

1. Compliance to legal requirements on the land title, land use rights and customary rights
2. Training and competence
3. Environmental management
4. Waste management and disposal
5. Health and safety
6. Group Manager management system
7. Best practice – farm management including fertilising, chemical spraying and harvesting.

During the last surveillance audit, there are 0 Major or 0 Minor and 2 OFIs raised.

For this surveillance audit, there are no Major NC or Minor NC and 1 OFI raised.

For details of the assessment, refer summary of assessment for each indicator in section 4.3 of this report.

The number of audit findings raised in this audit refer to Section 4.6 of this audit report.

4.2. Stakeholders' Consultation

According to ACB – OPMC 4 Issue 2 dated 04/09/2020, Stakeholder Consultation Requirements Section 6: Consultation during audit, §6.1: During the stage 2 and recertification audit of the management unit, the CB shall carry out stakeholder consultation to ensure continued compliance with the requirements of the certification standards. However, stakeholders' consultation during surveillance audit may be limited to those stakeholders who have raised concerns, complaints or disputes prior to the audit.

Therefore, there is no stakeholders consultation conducted for this surveillance audit.

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



4.3. Summary of Assessment

Principle and Criteria Assessment Summary

The assessment team conducted a thorough assessment of each principle and criteria. Over the 5 years' period of the certificate cycle, there will be 4 annual surveillance audits with all criterions will be assessed. Evidences are sought for conformity with the applied MSPO 2530-2. The summary of the assessment is as below, where the "Findings/Comments" column reflects the findings in accordance with each indicator or evidences and when non conformity is found. Summary of the non-conformity can be found below in section 4.6.

Principle 1: Management Commitment & responsibility

Indicator	Summary of Assessment	Compliance
4.1.1.1	<p>SPOC J33 Sungai Balang adopted MPOB MSPO Policy document number MSPO/SSCC/POLISI-01, revision 2, updated 01/06/2020.</p> <p>Virtual inspection on photo provided confirmed, the policy is publicly available at MPOB office notice board.</p> <p>Remote document review on SPOC J33 Sungai Balang smallholders personal file, MSPO application form is available, signed and acknowledged by SPOC GM.</p> <p>Phone call interview with sampled smallholders informed they aware on the MSPO policy.</p>	Yes
4.1.2.1	<p>SPOC J33 Sungai Balang adopted MPOB list of social and environmental impact and action plan, document number MSPO/SPOC/L-04/ISP, issue no: 3, revision no: 3, effective date: 01/06/2020.</p> <p>Document review verify example social impact:</p> <p><u>Environment issue: negative</u></p> <p>Activity: Chemical praying</p> <p>Environmental impact: Erosion due to no GAP applied</p> <p>Action: Continuous improvement and Latihan Khidmat Nasihat (LKN) from Tunas Officer.</p> <p>Document review on annual program for year 2021, verify SPOC GM plan of continuous advisory visit on briefing of GAP to smallholders.</p> <p>Phone interview with sampled smallholders and photo review for site verification verify smallholders informed they recycle and reused the empty chemical containers for chemical spraying.</p>	Yes
4.1.2.2	<p>SPOC J33 Sungai Balang distribute latest Warta Sawit "Bil. 75 (2) May – August 2020" to smallholders during MSPO briefing on 09/08/2020.</p> <p>Phone call Interviewed with smallholders informed they obtained new information from group manager and received the Warta Sawit when attend training.</p>	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J33 Sungai Balang
 Client Number: 92-96
 Audit Type: ASA 02
 Mode of Audit: Remote audit



Principle 2: Transparency		
Indicator	Summary of Assessment	Compliance
4.2.1.1	<p>SPOC J33 Sungai Balang adopted MPOB Manual Prosedur Kerja MSPO Kelompok Minyak Sawit Mampan document number MSPO/SPOC/GP-01/PEK revision number 03, dated 01/06/2020 which include 'Carta Alir Kebolehejekan Perbelanjaan dan Pendapatan Pekebun Kecil' as a traceability procedure.</p> <p>The guideline includes the records of farm activities as follows:</p> <ol style="list-style-type: none"> 1. Rekod Penjualan Buah Tandan Segar 2. Rekod Penggunaan Baja / Racun 3. Rekod Perbelanjaan <p>Phone call interview with sampled smallholders informed they are aware and maintain the documents related to traceability.</p>	Yes
4.2.1.2	<p>SPOC J33 Sungai Balang adopted MPOB MSPO form for sales and production record document number MSPO/SPOC/GP-01/PEK, effective date 01/06/2020.</p> <p>Remote document review verify records of smallholders FFB sales to respective collection center or mills.</p> <p>Phone call interview with sampled smallholders informed FFB sales and delivery records copies are maintained.</p>	Yes

Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
4.3.1.1	<p>SPOC J33 Sungai Balang adopt MPOB legal register document number MSPO/SPOC/L-01/SKU, issue number: 3, rev: 4 dated 01/06/2020.</p> <p>SPOC J33 Sungai Balang establish list of applicable legal documents no. MSPO/SPOC/L-02/LLR, issue no.: 3, rev: 4 dated 01/06/2020.</p> <p>Example as follow:</p> <ol style="list-style-type: none"> 1. Akta 149: Akta Racun Makhluk Perosak 1974 2. Akta 226: Akta Taman Negara 1980 3. Akta 582: Akta MPOB 1998 Peraturan – peraturan Lembaga Minyak Sawit Malaysia (Pelesenan) 2005 4. Akta 342: Akta Pencegahan Dan Pengawalan Penyakit Berjangkit 1988' <p>Remote document review on sample smallholders verify, copy of MPOB license is maintained in the smallholders individual file with validity until 31/05/2025.</p> <p>Phone interview with sampled smallholders informed they are aware on legal requirement.</p>	Yes
4.3.2.1	<p>SPOC J33 Sungai Balang smallholders land titles are either freehold or lease title of 99 years issued by Muar Land District.</p>	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J33 Sungai Balang
 Client Number: 92-96
 Audit Type: ASA 02
 Mode of Audit: Remote audit



Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
	<p>Land use is for agricultural purposes or oil palm or rubber.</p> <p>Remote document review on letter from SPOC J33 group manager to MPOB HQ, dated 09/06/2020 follow up on 25/02/2021.</p> <p>Verify the letter describe on application of conversions for 200 land titles.</p>	
4.3.3.1	<p>SPOC J33 Sungai Balang smallholders are either having freehold title or lease title.</p> <p>Remote document review verify land status of SPOC J33 Sungai Balang smallholders with no customary right land.</p> <p>Phone interview with sampled smallholders informed they are no land dispute lodged to SPOC group manager.</p>	Yes
4.3.3.2	<p>SPOC J33 Sungai Balang smallholders are either having freehold title or lease title.</p> <p>Remote document review for sample smallholders land titles include a map, lot number, area size and boundary marking.</p>	Yes

Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.1.1	<p>SPOC J33 Sungai Balang adopted MPOB Guidelines Complaint and Grievance, document number MSPO/SPOC/SOP-01/AR, issue 03, revision 02 dated 01/06/2020.</p> <p>The SOP describes;</p> <ol style="list-style-type: none"> 1. The flow chart in the SOP describes grievance and complaint process is to be resolved within 14 days. 2. Group manager is in charge in handling the complaint and grievances. 3. Grievance and complaint records are archived and maintained. <p>Remote document review on LKN report verified the complaint and grievances procedure has been briefed to smallholders dated 15/02/2021.</p> <p>Phone call interview with sampled smallholders informed they are aware and understand the complaint and grievance procedure and process flow.</p>	Yes
4.4.1.2	<p>SPOC J33 Sungai Balang adopted MPOB Guidelines Complaint and Grievance, document number MSPO/SPOC/SOP-01/AR, issue 03, revision 02 dated 01/06/2020.</p> <p>Review the SOP stated time line to resolve disputes within 14 days.</p> <p>Stated in the SOP person in charge is Group Manager. The Group Manager is assigned for:</p> <ol style="list-style-type: none"> 1. Accepting the grievances 2. Analyzed and investigate on issue raised 	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J33 Sungai Balang
 Client Number: 92-96
 Audit Type: ASA 02
 Mode of Audit: Remote audit



Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>Any complaint outside the scope of the group manager it will refer to other parties or MPOB HQ.</p> <p>Phone call interview with sampled smallholders informed they are aware on complaint and grievance process and timelines to resolve the complaints.</p>	
4.4.2.1	<p>SPOC J33 Sungai Balang adopt MPOB Guidelines Occupational Safety & Health, document number MSPO/SPOC/GP-02/KKP, issue: 3, revision: 0 effective date: 01/06/2020.</p> <p>SOP describes:</p> <ol style="list-style-type: none"> 1. Responsibility of GM and smallholders regarding safety and health. 2. Procedure and type of PPE used for harvesting, manuring and spraying. <p>Remote document review on safety and health training has been conducted on 09/08/2020.</p> <p>Phone call interview with sampled smallholders informed they are aware importance of safety and health during working in field.</p> <p>Example:</p> <p>Wearing of PPE for chemical spraying activity: Apron, face mask, goggle, safety boot, rubber hand glove and safety helmet.</p>	Yes
4.4.3.1	<p>SPOC J33 Sungai Balang adopted MPOB Employment Terms document number MSPO/SPOC/SMP-01, rev-01 updated 01/10/2020.</p> <p>The form has includes payment rates for operational activities such as harvesting, chemical spraying, manuring and pruning.</p> <p>Phone call interview with sampled smallholders informed, they working by themselves or assisted by family members in carrying out field operations.</p>	Yes
4.4.3.2	<p>SPOC J33 Sungai Balang adopted MPOB MSPO application form with a statement "provide equal opportunity and treatment regardless of race, colour, sex, religion, political affiliation, nationality, social origin and shall not engage in or support discriminatory practices.</p> <p>SPOC J33 Sungai Balang adopted MPOB Employment Terms document number MSPO/SPOC/SMP-01, rev-01 updated 01/10/2020.</p> <p>The form describe:</p> <p>Against any form of discrimination, and implying human right in terms of opportunities, disregards of races, gender, religion, political affiliation, and nationality.</p> <p>There are no complaints related to discrimination during documents review.</p> <p>Phone call interview with sampled smallholders informed no discrimination occurs.</p>	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J33 Sungai Balang
 Client Number: 92-96
 Audit Type: ASA 02
 Mode of Audit: Remote audit



Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.3.3	SPOC J33 Sungai Balang adopted MPOB Employment Terms document number MSPO/SPOC/SMP-01, rev-01 updated 01/10/2020. The form has includes payment rates for operational activities such as harvesting, chemical spraying, manuring and pruning. Phone call interview with sampled smallholders informed, they are working by themselves or assisted by family members in carrying out field operations.	Yes
4.4.3.4	Phone call interview and photos verification of sampled smallholders SPOC J33 Sungai Balang, confirmed no on-site living quarters provided.	Yes
4.4.3.5	SPOC J33 Sungai Balang adopted MPOB Employment Terms document number MSPO/SPOC/SMP-01, rev-01 updated 01/10/2020. The form describe : <ul style="list-style-type: none"> Not to employ young workers below the age of 15-18 years old, for working in dangerous and heavy work. Phone call interview with sampled smallholders confirmed no presence of child workers in field. Smallholders aware and understand on legal restriction on hiring under age workers.	Yes
4.4.4.1	SPOC J33 Sungai Balang established training programme year 2021. The training programme include Taklimat MSPO, GAP and LKN visit. Example of training conducted: Title: Program MSPO Negeri Johor Bersama Kementerian Industri Utama Date: 09/08/2020 Remote documents on training photos and attendance verified conducted on 09/08/2020. Phone call interview confirmed smallholders has attended the MSPO training. Smallholders are able to demonstrate understanding of MSPO implementation in farms.	Yes

Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
4.5.1.1	SPOC J33 Sungai Balang adopted MPOB List of Social and Environmental Impact and Action Plan, document number MSPO/SSCC/I-04/ISP, revision 03, issue 03 dated 01/06/2020. Example of environmental impact and action plan: Activity: Chemical spraying Environmental impact: Empty chemical containers Action Plan: Empty chemical container to be triple rinse, punctured and stored.	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J33 Sungai Balang
 Client Number: 92-96
 Audit Type: ASA 02
 Mode of Audit: Remote audit



Principle 5: Environment, natural resources, biodiversity and ecosystem services								
Indicator	Summary of Assessment	Compliance						
	<p>Phone call interviewed with sampled smallholders informed the triple rinse, punctured and stored of empty chemical container is implemented.</p> <p>Virtual field observation through photos of sampled smallholders' fields verify there are no over spray activities observed in the field.</p> <p>Phone call interview with sampled smallholders informed LKN visit dated 17/02/2021 include briefing on environmental impact.</p>							
4.5.2.1	<p>Virtual field observation confirmed there is no renewal energy use by SPOC J33 Sungai Balang smallholders at field.</p> <p>Phone call interview with sampled smallholders informed they are not using any renewable energy at field.</p>	Yes						
4.5.3.1	<p>SPOC J33 Sungai Balang adopted MPOB List of Scheduled and Domestic Wastes MSPO/SPOC/L-03/SRD Issue 3 rev 0 effective date 01/06/2020.</p> <p>Example:</p> <table border="1"> <thead> <tr> <th>Agricultural input</th><th>Waste produced</th><th>Impact</th></tr> </thead> <tbody> <tr> <td>Herbicides</td><td>Empty chemical containers</td><td> <p>Breeding ground for mosquito if the empty chemical container not stored properly.</p> <p>Polluting water sources if the empty chemical container left in the field or near the waterways.</p> </td></tr> </tbody> </table> <p>Phone call interviewed with sampled smallholders informed they are aware of empty chemical containers can be recycle and reused after conducted triple rinsing.</p> <p>Remote document review verify LKN visit conducted at sampled smallholders field on 17/02/2021 include briefing on waste management and disposal.</p>	Agricultural input	Waste produced	Impact	Herbicides	Empty chemical containers	<p>Breeding ground for mosquito if the empty chemical container not stored properly.</p> <p>Polluting water sources if the empty chemical container left in the field or near the waterways.</p>	Yes
Agricultural input	Waste produced	Impact						
Herbicides	Empty chemical containers	<p>Breeding ground for mosquito if the empty chemical container not stored properly.</p> <p>Polluting water sources if the empty chemical container left in the field or near the waterways.</p>						
4.5.3.2	<p>SPOC J33 Sungai Balang adopted MPOB SOP for Scheduled Waste Management, document number MSPO/SPOC/SOP-03/BT issue 3 revision 3 effective date 01/06/2020.</p> <p>The SOP describe:</p> <ol style="list-style-type: none"> To conduct triple rinsing for each empty chemical container before disposed. To put marking on empty chemical container for chemical mixing purposes. All scheduled waste shall be disposal according to the Environmental Quality (Scheduled waste) Regulations, 2015. <p>Document "Rekod Pengurusan Bahan Buangan Terjadual Tahun 2020 and 2021" established by SPOC J33 Sg Balang for monitoring of scheduled waste generated.</p>	Yes						

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J33 Sungai Balang
 Client Number: 92-96
 Audit Type: ASA 02
 Mode of Audit: Remote audit



Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	<p>Virtual field observation through photos on sampled smallholders' field, confirmed there are no empty chemical containers left in the farm.</p> <p>Phone call interviewed with sampled smallholders informed empty chemical containers are use as water container for chemical spraying activity after conducted triple rinse.</p>	
4.5.4.1	<p>SPOC J33 Sungai Balang adopt MPOB Guidelines River Buffer Zone, document number MSPO/SPOC/GP-03/ZPS, issue 3, revision 0 dated 01/06/2020.</p> <p>The SOP describes:</p> <ol style="list-style-type: none"> 1. Guideline on buffer zone length. 2. No activities such as chemical spraying and manuring. 3. Flow chart on buffer zone establishment. <p>Remote document review verified briefing on environmental conducted on 17/02/2021 at sampled smallholders field.</p> <p>Phone call interview with sampled smallholders informed they are aware to maintain the water quality and its importance.</p>	Yes
4.5.4.2	<p>Rain harvesting is practice by sampled smallholders to collect rainwater for chemical spraying activity in the field.</p> <p>Phone call interviewed with sampled smallholders informed they are using drum to collect water for chemical spraying activities.</p> <p>Virtual field observation through photos of sampled smallholders' field verify drums are used for collecting rainwater.</p>	Yes
4.5.5.1	<p>SPOC J33 Sungai Balang adopted MPOB SOP, Manual Prosedur kerja MSPO Kelompok Minyak Sawit Mampan (SPOC), Senarai Impak Sosial, Persekitaran & Pelan Tindakan document number MSPO/SPOC/L-04/ISP, no. Issue: 3, no. revision: 3, effective dated 01/06/2020.</p> <p>SPOC J33 Sungai Balang group manager established the list of wildlife updated 04/01/2021.</p> <p>Example of wildlife:</p> <ol style="list-style-type: none"> 1. Wild boar 2. Squirrel 3. Monkey <p>Remote document review on LKN visit dated 17/02/2021 includes briefing of wildlife, environmental, safety and no hunting of wildlife.</p> <p>During phone call interview with sampled smallholders informed there are wild boar in the field and aware of no hunting of wildlife allowed.</p>	Yes
4.5.6.1	<p>SPOC J33 Sungai Balang adopted MPOB Guidelines Zero Burning Practices, document number MSPO/SPOC/GP-04/APS, issue 3 rev. 01, effective date 01/06/2020.</p>	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J33 Sungai Balang
 Client Number: 92-96
 Audit Type: ASA 02
 Mode of Audit: Remote audit



Principle 5: Environment, natural resources, biodiversity and ecosystem services

Indicator	Summary of Assessment	Compliance
	<p>SOP describes there is no open burning of any kind on the operating unit, except those comply with the Environmental Quality Order 2003 and obtain approval from Department of Environment. Remote document review verified briefing on zero burning to sampled smallholders conducted on 17/02/2021.</p> <p>Virtual field observation through photos of sampled smallholders' fields, verified no open burning occur.</p> <p>Phone call interviewed with sampled smallholders informed they are aware no open burning allowed within their farm.</p> <p>Remote document review on sampled smallholders year of planting and actual photos of oil palm confirmed there is no land preparation for oil palm cultivation or replanting carried out in year 2019 and 2020. Thus, no assessment on zero burning activity.</p>	

Principle 6: Best Practices

Indicator	Summary of Assessment	Compliance
4.6.1.1	<p>SPOC J33 Sungai Balang conduct LKN visit to smallholders' fields.</p> <p>Remote document review verify briefing on GAP, PPE usage and safety and health conducted to smallholders dated 17/02/2021.</p> <p>Virtual field observation through photos to smallholders' field verify the implementation of good agricultural practice such as:</p> <ol style="list-style-type: none"> 1. Proper stacking of fronds. 2. Good maintenance of harvesting path. 3. Proper palm pruning. <p>Phone call interview with smallholders informed they aware on good agricultural practices on their fields to meet MPOB guidelines.</p>	Yes
4.6.1.2	<p>SPOC J33 Sungai Balang established signage as reference system which includes information on smallholder name, field size, lot no, year of planting and GPS coordinate.</p> <p>Virtual field observation on photo provided, confirmed the signage of each sampled smallholders is established and displayed.</p>	Yes
4.6.2.1	<p>SPOC J33 Sungai Balang adopt MPOB Guideline Economic and Financial Plan, MSPO/SPOC/GP-01/PEK, issue 3, revision 3 dated 01/06/2020.</p> <p>Remote document review verify evidence of budget approval for MSPO training and LKN visit SPOC J33 Sg Balang. The budget includes MSPO training, LKN and miscellaneous expenses.</p>	Yes
4.6.3.1	<p>SPOC J33 Sungai Balang monitor FFB price through input from collection center for fair pricing.</p>	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



Principle 6: Best Practices

Indicator	Summary of Assessment	Compliance
	Phone call interview with sampled smallholders informed FFB price obtained through daily FFB price displayed at collection center notice board.	

Principle 7: Development of new planting

Indicator	Summary of Assessment	Compliance
4.7.1.1	Remote document review on list of smallholders and planting statements confirmed no new planting in SPOC J33 Sungai Balang. The first planting is in year 1980 and the latest new planting is in year 2018. There are no new plantings for existing and new members in year 2019 and 2020. Thus, there is no assessment on high biodiversity area.	Yes
4.7.2.1	Remote document review on list of smallholders and planting statements confirmed no new planting in SPOC J33 Sungai Balang. The first planting is in year 1980 and the latest new planting is in year 2018. There are no new plantings for existing and new members in year 2019 and 2020. Therefore, no soil survey or topography is required.	Yes
4.7.3.1	Remote document review on list of smallholders and planting statements confirmed no new planting in SPOC J33 Sungai Balang. The first planting is in year 1980 and the latest new planting is in year 2018. There are no new plantings for existing and new members in year 2019 and 2020. Therefore, no data for type of terrain available.	Yes

4.4. Status of Non-Conformities Previously Identified

	The stage 1 audit findings of this system have been reviewed, in particular to assure appropriate correction and corrective action HAS implemented to address identified audit findings. Details of the follow up action taken on stage 1 audit findings were recorded in the Stage 1 audit report.
	The last audit results of this system have been reviewed, in particular to assure appropriate correction and corrective action HAS implemented to address any nonconformity identified.
	The last audit results of this system have been reviewed, in particular to assure appropriate correction and corrective action HAS NOT been implemented effectively. Non-conformity will be re-raised.
X	No non-conformity raised in previous audit.

Note 1: If a minor non-conformity raised in last audit, is not closed out, the finding will be raised to a Major non-conformity.

Note 2: All major and minor NCs raised in last audit are required to capture in this report together with the review of the non-compliance implementation.

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



4.5. Detail of Audit Findings in last Audit

AUDIT OUTCOME		
During last audit	0	MAJOR Non-Conformities
	0	MINOR Non-Conformities

4.6. Detail of Audit Findings Identified During This Audit

This section gives an overview of the non-conformities raised during this audit.

REMOTE AUDIT OUTCOME		
During this remote audit	0	MAJOR Non-Conformities
	0	MINOR Non-Conformities

Nr.	Indicator	Description	Location	Opportunity for Improvement
1.	4.4.4.1	Independent smallholders are encouraged to seek knowledge to increase their competency in oil palm management.	Field	SPOC J33 Sungai Balang could consider improve knowledge in oil palm management. Example: 1. MSPO awareness 2. Chemical spraying activities.

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



5. CONCLUSION

Malaysia Palm Oil Board has commissioned TÜV NORD (Malaysia) Sdn Bhd to carry out the certification for the Sustainable Palm Oil Cluster (SPOC) for SPOC J33 Sungai Balang consisting of 587 independent smallholders according to MS 2530-2:2013 Part 2, General Principles for Independent Smallholders.

From the review of the standard operating procedures, guidelines, relevant forms, work flow charts established and implemented; the subsequent background investigation and interviews conducted during this surveillance audit have provided TÜV NORD (Malaysia) with sufficient evidence on the fulfilment of the applied standard Principles & Criteria.

In conclusion the certified organisation has been established, implement and continue to improve in managing the independent smallholders are in line with the Principles & Criteria of the applied standard MS 2530-2:2013 Part 2 General Principles for Independent Smallholders.

As a result of this audit, the audit team confirms that:

Total certified number of independent smallholders:	587
Total certified acreage of smallholders:	984.29 Ha
Certified FFBs output January to December 2020:	17,707.94 Mt
Projected FFBs output January to December 2021:	24,200.00 Mt

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



6. RECOMMENDATION

The audit team conducted a process-based audit focussing on significant aspects / risks and objectives required by the standard(s). The audit methods used are interviews, observations, sampling of activities, review of documentation and records.

Any audit is based on sampling within an organization's management system and therefore is not guarantee of 100 % conformity with requirements.

The structure of the audit is in accordance with the audit plan included with this summary report as an annex.

The audit team concludes that the organisation has established and maintained its management system in line with the requirements of the standard(s) and demonstrated the ability of the system to achieve requirements for production and management within the scope and the organisation's policies and objectives.

Therefore, the audit team recommends that, based on the results of this audit and the system demonstrated state of development and maturity that the certification to be

	Recommended for Certification
X	Recommended for Continuity of Certification
	Suspended of Certification

Puchong, 29/03/2021


Ariff Bin Lokman
TUV NORD (Malaysia) Sdn Bhd
Audit Team Leader

Puchong, 29/03/2021


Nur Amanina Binti Zahir
TUV NORD (Malaysia) Sdn Bhd
Certifier / Approver

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



7. LIST OF STAKEHOLDERS

No stakeholders' consultation conducted in accordance to ACB – OPMC 4 Issue 2 dated 04/09/2020, Stakeholder Consultation Requirements Section 6: Consultation during audit, §6.1: During the stage 2 and recertification audit. Therefore, no stakeholders listed.

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J33 Sungai Balang
Client Number: 92-96
Audit Type: ASA 02
Mode of Audit: Remote audit



Distribution / Confidentiality / Rights of ownership / Limitations / Responsibilities / Audit Objectives

This report is sent by the certification body to the members of the audit team and the audit representative of the organisation. All documents (such as this report) regarding the certification procedure are treated confidentially by the audit team and the certification body. This audit report remains the property of the certification body.

An audit is a procedure based on the principle of random sampling and cannot cover each detail of the management system. Therefore, nonconformities or weaknesses may still exist which were not expressly mentioned by the auditors in the final meeting or in the audit report.

The responsibility for continuous effective operation of the management system always rests solely with the audited and certified organisation.

Salvo clause:

The audit report will be left to the organisation at the end of the audit - subject to approval by the certification body. The independent release process may cause modifications or additions. In these cases a modified revision will be sent to the audited organisation.

The objective (goal) of the audit is to establish compliance of the management system of the aforementioned organization with the requirements of the aforementioned standard in order to achieve or maintain certification through an independent and accredited certification body. Identification of possibilities to improve the management system can also be a component of the audit and is considered simply to be an enhancement; it does not constitute consultancy or advice with regards to the management system.

Annex / Enclosures

Annex /
corresponding audit documentation

- ☒ P&C Audit Report / Checklist(s)
- ☒ Audit Plan