



MSPO CERTIFICATION SUMMARY REPORT

MPOB -SPOC Q29 BATU NIAH

SURVEILLANCE 03

Remote Audit Date: 29/11/2021 – 03/12/2021

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MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC Q29 Batu Niah
Client Number: 92-057
Audit Type: ASA 03
Mode of Audit: Remote



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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

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1. INTRODUCTION

MPOB has commissioned TÜV NORD (Malaysia) Sdn Bhd to conduct surveillance audit 03 audit for SPOC Q29 Batu Niah 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 Q29 Batu Niah 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 Q29 Batu Niah 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: Mohd Nur Amin Bin Mohd Halim

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; v) Social Sciences and/or Anthropology; vi) Business Management; or	Graduate in Office Management & Technology.

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Requirement	Qualifications
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)	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 trainings	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	6 years 10 months of working experience in managing sustainability for oil palm industry for both upstream and downstream division.
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	6 years 10 months of working experience in managing sustainability for oil palm industry for both upstream and downstream division.
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Successfully completed IMS ISO 9001, 14001, 45001 Lead Auditor course
Health and safety auditing on the estate processes and activities Or Successfully completed Occupational, Health & Safety Management System ISO 45001 standard	Successfully completed IMS ISO 9001, 14001, 45001 Lead Auditor course
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Successfully completed Basic SA 8000 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, 45001 LA course training attended.
Attended High Conversation Value Assessment training	Attended and completed the HCV-HCS for producers online course

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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 Members

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	Khairul Anwar Bin Ismail	Graduate in Agricultural Science	Yes
	Sheron Pui Wui Ling	Bachelor in Medical Science	Yes
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)	Khairul Anwar Bin Ismail	5 years working experience in oil palm plantations	Yes
	Sheron Pui Wui Ling	4 years working experience in QA, QMS and internal audit, and 2.5 years working experience in MSPO audit experience.	Yes
Successfully completed MPOCC endorsed lead auditor / auditor trainings	Khairul Anwar Bin Ismail	Successfully completed MS 2530 series standards for Lead Auditors.	Yes
	Sheron Pui Wui Ling	Successfully completed MS2530 series of standards for Lead Auditors	Yes
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.	Khairul Anwar Bin Ismail	Qualified as Lead auditor for MSPO scheme.	Yes
	Sheron Pui Wui Ling	Qualified and appointed as auditor for MSPO scheme.	Yes

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Requirement	Name Assessor	Qualification	Compliance
Field working experience in the palm oil sector or demonstrable equivalent	Khairul Anwar Bin Ismail	5 years working experience in oil palm plantation.	Yes
	Sheron Pui Wui Ling	Qualified and appointed as auditor for MSPO scheme.	Yes
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	Khairul Anwar Bin Ismail	5 years working experience in oil palm plantation.	Yes
	Sheron Pui Wui Ling	Qualified and appointed as auditor for MSPO scheme.	Yes
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Khairul Anwar Bin Ismail	Successfully completed IMS ISO 9001 Lead Auditor course.	Yes
	Sheron Pui Wui Ling	Successfully completed ISO 9001:2015 Lead Auditor course.	Yes
Health and safety auditing on the farms processes and activities Or Successfully completed Occupational, Health & Safety Management System ISO 45001 standard	Khairul Anwar Bin Ismail	Successfully completed IMS ISO 45001 Lead Auditor course.	Yes
	Sheron Pui Wui Ling	Successfully completed ISO 45001:2018 Lead Auditor course.	Yes
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Khairul Anwar Bin Ismail	Successfully completed SA 8000 Basic training.	Yes
	Sheron Pui Wui Ling	Successfully completed Basic SA 8000 training	Yes
Environmental and ecological auditing or experience with organic agriculture. or Successfully completed Environmental Management Systems ISO 14001 standard	Khairul Anwar Bin Ismail	Successfully completed IMS ISO 14001 Lead Auditor course.	Yes
	Sheron Pui Wui Ling	Successfully completed IMS ISO 14001:2015 Lead auditor course and auditor for MSPO scheme.	Yes
Completed High Conversation Value assessment	Khairul Anwar Bin Ismail	Attended and completed HCV-HCS for producers online course.	Yes

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Requirement	Name Assessor	Qualification	Compliance
	Sheron Pui Wui Ling	Attended and completed the HCV-HCS for producers online course	Yes
Able to communicate in Bahasa Malaysia, English and / or any other local language.	Khairul Anwar Bin Ismail	Able to communicate in Bahasa Malaysia and English.	Yes
	Sheron Pui Wui Ling	Able to communicate in Bahasa Malaysia, Mandarin and English.	Yes

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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, inspections, interviews SPOC personnel; review of documentation;
- Review of SPOC management system;
- Reporting
- Resolution of non-conformance (NC)
- Draft audit reporting
- Technical review
- Final audit reporting
- Final approval, certification decision and issuance of certificate.

Surveillance Audit 03:

The Surveillance audit 03 is conducted remotely on 29/11/2021 – 03/12/2021 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 phone call interview of smallholders;
- Virtual photo inspection of farm;
- 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.

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

In accordance to MPOCC Guidance on Remote Audits due to Covid-19 Pandemic Restrictions Version 4.0 dated 26/20/2021 with reference to the latest announcement by the Government on the interstate travel approval for fully vaccinated individual “Pergerakan rentas negeri – dibenarkan bagi yang lengkap vaksin” on the 11th October 2021, the Accredited Certification Bodies (ACBs) and Certification Bodies (CBs) shall in their best position strive to ensure that an on-site audit by the Audit Team be conducted.

All ACBs and CBs are to adhere to the National Security Council (NSC) announcement of the National Recovery Plan (NRP) and the Enhanced Movement Control Order (EMCO) by referring to their official website at: <https://www.mkn.gov.my/web/ms/covid-19/>.

NRP (PHASE 1 – PHASE 4)

All MSPO 2530 Series & Supply Chain on-site MSPO audits are allowed on all the NRP Phases, with the following conditions: -

- a. 50% capacity meeting room space and following strict SOPs.
- b. For Peninsular - Crossing-state borders and districts must adhere to the conditions and SOPs set by the NSC.
- c. For the States of Sabah & Sarawak, the Crossing-state borders are only allowed from 1st November 2021 onwards and must adhere to the conditions and SOPs set by the respective state NSC guidelines.

EMCO

- a. All MSPO 2530 Series & Supply Chain on-site audits are not allowed. The ACBs & CBs must conduct audit remotely.

The remote audit shall be guided by ICT Tools as per IAF MD4:2018 and ISO 9001 Auditing Practices Group on Remote Audits 2020.

The communication tool applied for remote audit is either Google meet / 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 680 new members and 1,251 old members. The total number of smallholders for this audit are 1,931.

As per MPOB requirements the risk factor of 1.5 shall be applied. Therefore, the sample size $S = 1.5\sqrt{1,931} = 65.91$ round up to the next integral or 66

As per OPMC 2 issue 2, from the sample size, the number of the new members are $66 \times 75\% = 50$ samples and number of existing members are $66 \times 25\% = 17$ samples.

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

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Table 2-1: List of Sample Smallholders

Name	GPS Coordinates
Existing member(s)	
Robert Anak Tugang	3.557104, 113.632507
Malizalema Ak Aling	3.513924, 113.582127
Jennifer Daya	3.553715, 113.630954
Silvia Anak Umar	3.556658, 113.634351
Aling Ak Nuing	3.559975, 113.631875
Meriam Ak Mmuti	3.500442, 113.582632
Rahmah Naja Abdullah	3.596037, 113.664951
Tom Anak Baling	3.599223, 113.659146
Joseph Thong	3.769397, 113.775656
Robert Thong	3.766792, 113.776967
Richard Anak Apo	3.594675, 113.667244
Randuk Ak Badi	3.599368, 113.663054
Christie Anak Isidore	3.559042, 113.630045
Florence Anak Jengak	3.501691, 113.549793
Panie Anak Renggan	3.716370, 113.760984
Utin A/P Jenah	3.673238, 113.723760
Mazelina Anak Nangai	3.754302, 113.740768

Name	GPS Coordinates
New member(s)	
Pawa Anak Bungin	3.781304, 113.768138

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Name	GPS Coordinates
New member(s)	
Sipan Anak Anyai	3.7771359, 113.791330
Daniel Anak Banyang	3.772051, 113.740520
Menda Anak Bunyak	3.7771918, 113.742077
Gelungan Anak Chaying	3.757363, 113.745317
Anneria Anak Mengga	3.755961, 113.743645
Santa Anak Indang	3.753450, 113.7428343
Mary Anak Dong	3.709384, 113.785905
Minda Anak Janting	3.772758, 113.742569
Dayang Anak Tinggie	3.772492, 113.741.239
Bermas Anak Gani	3.762429, 113.728728
Antang Anak Pirang	3.770892, 113.738885
Anam Anak Sultan	3.771046, 113.741936
Frederick Anak Jack	3.746346, 113.783213
Catherine Anak Liboi	3.770699, 113.797012
Kam Anak Baling	3.755711, 113.776487
Japar Anak Chaboh	3.754031, 113.776521
Jackie Anak Chaboh	3.754028, 113.777447
Pauline Anak Tebu	3.759441, 113.769591
Agong Anak Baling	3.757529, 113.784113
Moris Gindi	3.752010, 113.774667
Lawrence Anak Bana	3.753115, 113.793044

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Name	GPS Coordinates
New member(s)	
Musit Anak Umin	3.753963, 113.772666
Sempo Anak Untan	3.732350, 113.768543
Kenneth Kirk Anak Muyang	3.760654, 113.730595
Gloria Anak Muyang	3.746201, 113.757013
Patrick Liew Anak Lanjang	3.769374, 113.744216
Muyang Anak Wat	3.749722, 113.740657
Christopher Bajat Ak Endawie	3.766183, 113.736994
Enchana Anak Langi	3.766183, 113.786994
Endawie Anak Alep	3.766792, 113.735905
Ganya Anak Masin	3.761846, 113.730800
Pelipin Anak Mengga	3.752365, 113.746209
Rose Ak Madang	3.672715, 113.732936
Mariam @ Sylvester Mariam Ak Bana	3.667142, 113.731881
Zeberinah Bidah Ak Sylester Mariam	3.728356, 113.770436
Bujang Ak Changgol	3.758185, 113.724518
Mini Anak Jawen	3.735841, 113.761547
Siden Suli	3.764516, 113.771519
Sebastian Joseph Malang	3.767131, 113.776022
Thomas Anak Garai	3.767941, 113.77203
Duji Anak Untai	3.768193, 113.782017
Sandah Anak Baruwang	3.768245, 113.771136

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Name	GPS Coordinates
New member(s)	
Gasah Anak Kanai	3.768788, 113.778860
Robert Anak Jumbah	3.767833, 113.784168
Pada Anak Klumbu	3.752969, 113.788936
Liman Anak Seman	3.761174, 113.767930
Siminal Anak Engkilong	3.763876, 113.772920
Pathricia Anak Kilat	3.754711, 113.783989
Jamilah Anak Janang	3.723333, 113.768611

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.

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3. ORGANISATION INFORMATION

MPOB Cawangan SPOC Q29 Batu Niah, is a branch of MPOB located at Pejabat MPOB Cawangan Batu Niah, First Floor, Survey Lot 1838, (SUBLOT 2) Lot 647, 1223 & 1225, Block 8 Sepupok, 98200 Niah, Sarawak, coordinate 3°51'46.6"N 113°42'54.9"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 Batu Niah district.

The smallholders in Batu Niah as shown in the below maps.



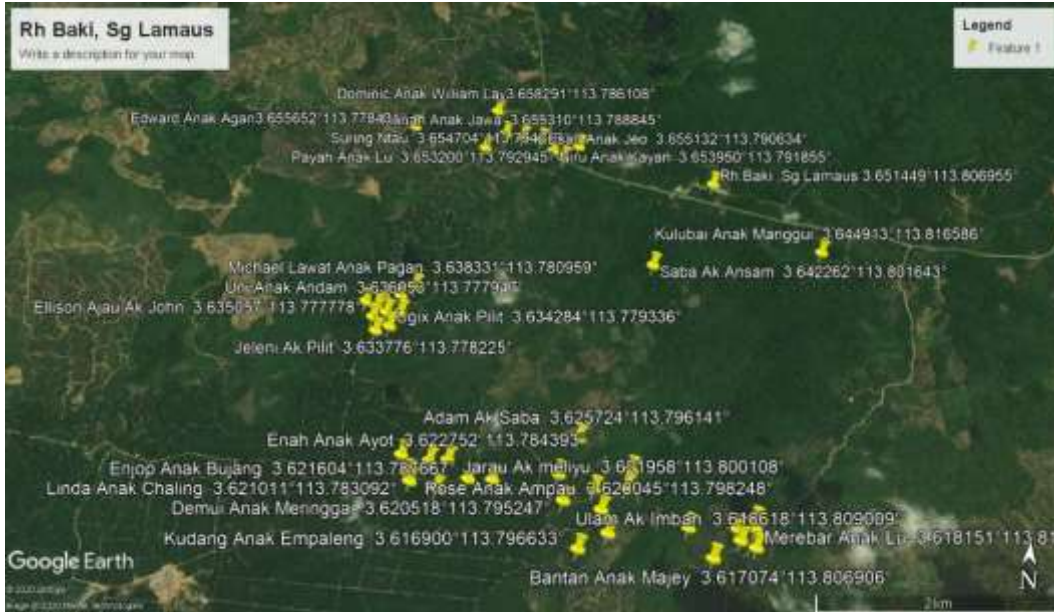
Map 01: Kampung Madinah/ Rh. Sepom



Map 02: Rh. Tulie, Batu 47

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Map 03: Rh. Baki, Sg Lamaus



Map 04: Rh. Patrick Libau

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Map 05: Rh. Pee Millo



Map 06: Rh. Robert Jambatan Suai

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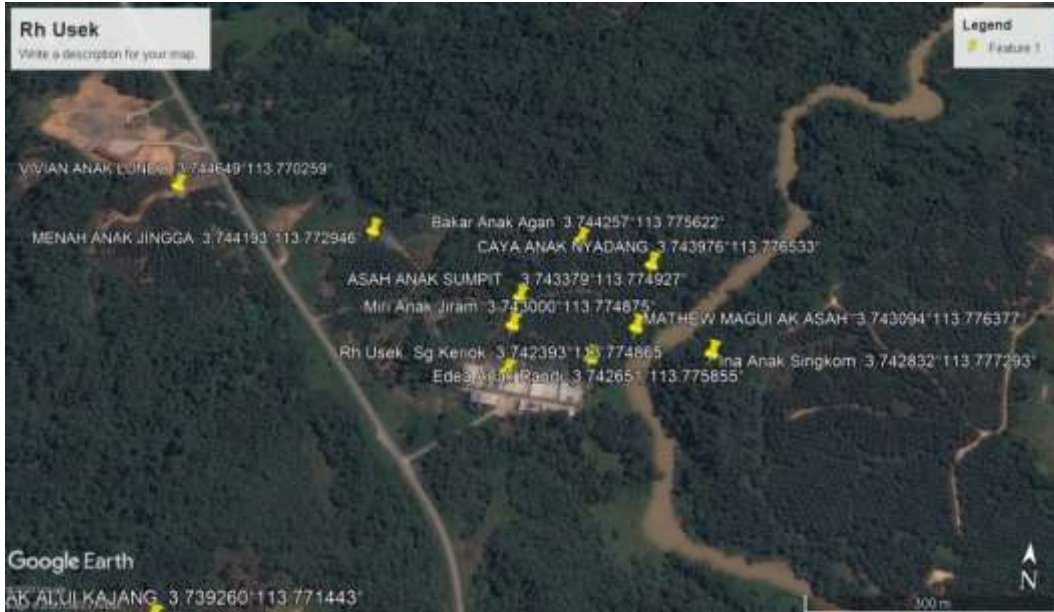
Map 07: Rh. Robert Jambatan Suai



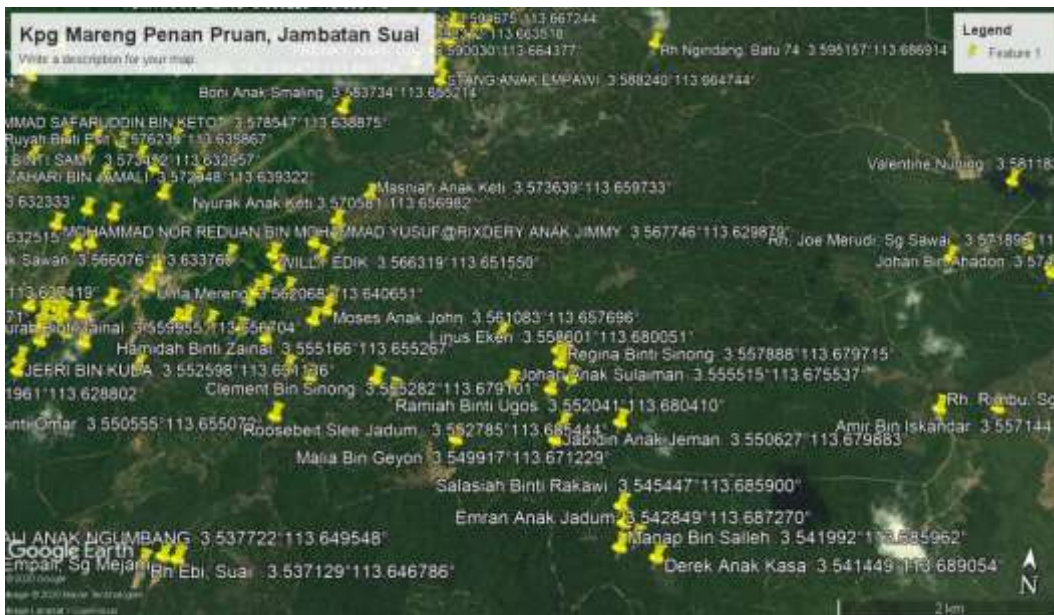
Map 08: Rh. Stephen Kedu

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Map 09: Rh. Usek



Map 10: Kpg. Mareng Penan Pruan, Jambatan Suai

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Map 11: Rh. Brain



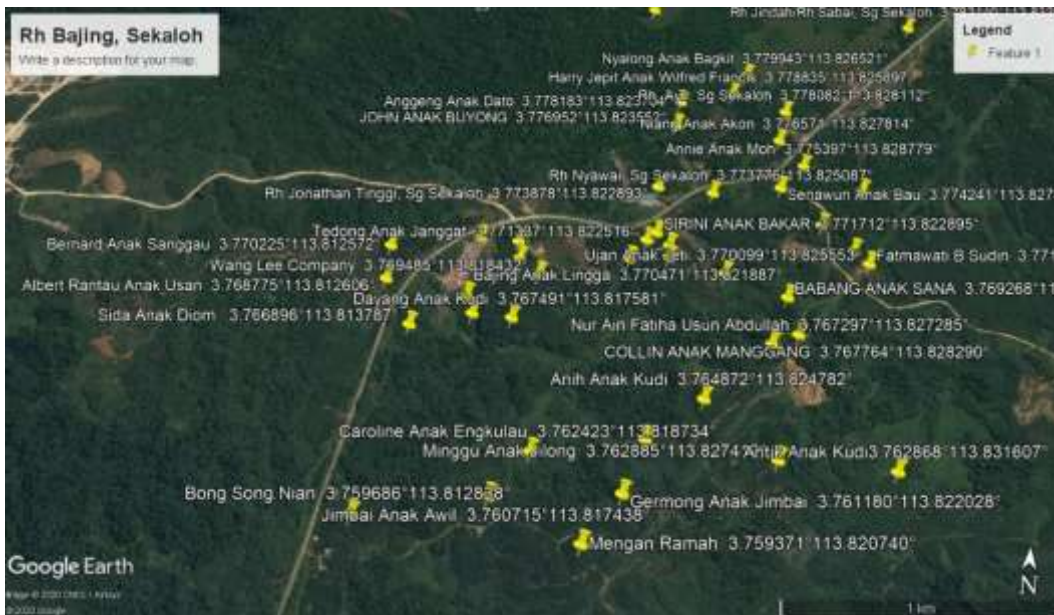
Map 12: Rh. Aing, Sg. Lamaus

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Map 13: Rh. Akai, Sg. Merusa



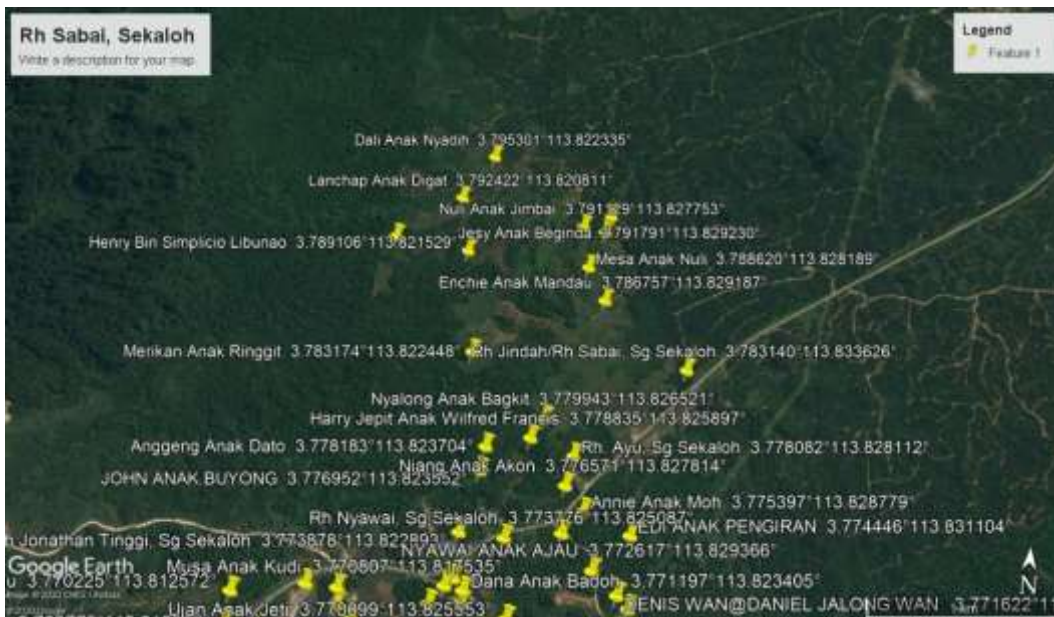
Map 14: Rh. Bajing, Sekaloh

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Map 15: Rh. Bajing, Sekaloh



Map 16: Rh. Sabai, Sekaloh

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Map 17: Rh. Sabang, Sg. Sawai



Map 18: Rh. Sube, Sg. Aping

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Map 19: Rh. Sube, Sg. Aping



Map 20: Rh. Clarence, Sg. Sawai

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Map 21: Rh. Changgai, Sg. Sah



Map 22: Rh. Belilie, Sg. Tema

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4. CERTIFICATION ASSESSMENT

4.1. ASA 03

The objective of the audit is to assess the activities of MPOB Cawangan SPOC Q29 Batu Niah are in compliance with MS 2530-2: 2013 Part 2: General principles for independent smallholders' requirements.

4.1.1. Surveillance 03:

The surveillance audit 03 is conducted on 29/11/2021 to 03/12/2021.

The number of smallholders in this surveillance audit are 1,931.

The number of smallholders 1,251 remain the same for this surveillance audit.

The number of smallholders joined during this surveillance audit 03 are 680.

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 this surveillance 03 audit, there are 0 Major, 0 Minor and 2 OFIs raised.

For this audit, the major non-compliance raised in the last surveillance 02 audit, the audit team has review by means of remote inspection of smallholders' farms, conduct interviews, review and verify documents that are established, corrected and implemented appropriately by the SPOC team. The corrective measures implemented could be verified as appropriate.

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.

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The audit team leader has reviewed the stakeholders' consultation feedback during the last surveillance audit and there are no concerns or complaints or disputes raised or any prior to this audit.

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

TUV NORD (Malaysia) Sdn. Bhd., has published the audit notification on 27/10/2021 to announce the audit of the certified unit. As at audit date on 29/11/2021 there are no comments received.

4.3. Summary of Assessment

Principle and Criteria Assessment Summary	
<p>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 criteria 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.</p>	

Principle 1: Management Commitment & responsibility								
Indicator	Summary of Assessment	Compliance						
4.1.1.1	<p>SPOC Q29 Batu Niah adopted MPOB MSPO Policy document number MSPO/SPOC/POLISI-01 (rev 03) dated 16/05/2019 signed by Group Manager and displayed at the noticeboard.</p> <p>SPOC Q29 Batu Niah adopted MPOB MSPO certification application with the MSPO policy included in the form duly agreed and signed by smallholders and acknowledged by SPOC Q29 Batu Niah Group Manager.</p> <p>Review on the training records, SPOC Q29 Batu Niah conducted briefing include the agenda of MSPO Policy on 14/10/2021.</p> <p>Phone called interview with SPOC Q29 Batu Niah smallholders informed they have being briefed on the policy during MSPO briefing.</p>	Yes						
4.1.2.1	<p>SPOC Q29 Batu Niah adopted List of social and environmental impact and action plan, document number MSPO/SPOC/L-04/ISP, revision 04, issue 04 dated 01/06/2021.</p> <p>The table include topic on activity, social impact and improvement plan.</p> <p>Example of Environmental Impact and action:</p> <table border="1" data-bbox="347 1720 1214 1865"> <tbody> <tr> <td>Activity</td> <td>Chemical spraying</td> </tr> <tr> <td>Impact</td> <td>Disposal of scheduled waste</td> </tr> <tr> <td>Action plan</td> <td>Triple rinsing and store at designated location.</td> </tr> </tbody> </table> <p>Photo review and phone call interviewed with SPOC Q29 Batu Niah smallholders informed they have being briefed and practice triple rinsing and label with 'X' for all reused empty chemical containers for chemical spraying and store at designated area.</p>	Activity	Chemical spraying	Impact	Disposal of scheduled waste	Action plan	Triple rinsing and store at designated location.	Yes
Activity	Chemical spraying							
Impact	Disposal of scheduled waste							
Action plan	Triple rinsing and store at designated location.							

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Principle 1: Management Commitment & responsibility		
Indicator	Summary of Assessment	Compliance
4.1.2.2	<p>SPOC Q29 Batu Niah distribute 'Warta Sawit' to smallholders on either via Latihan Khidmat Nasihat or taklimat / training. Latest Warta Sawit available was Bil. 78(2) May - Aug 2021.</p> <p>Phone call interview with SPOC Q29 Batu Niah smallholders informed they obtained the new information on oi palm management during the MSPO training and LKN visit by group manager.</p> <p>Example:</p> <p>SPOC Q29 Batu Niah group manager distribute the latest Warta Sawit to smallholders during MSPO training dated 14/10/2021.</p>	Yes

Principle 2: Transparency		
Indicator	Summary of Assessment	Compliance
4.2.1.1	<p>SPOC Q29 Batu Niah adopted MPOB Guidance for Financial and economy, document number MSPO/SPOC/GP-01/PEK, revision 4 dated 01/06/2021. The procedure has describe on:</p> <p>The guideline include flow chart describing the step approach for delivery of FFB to ramp operator / collection centre or mill with type of documents.</p> <ol style="list-style-type: none"> 1. Sale receipts 2. Weighbridge ticket 3. Enter BRL 4. Keep Receipt <p>From document review on sampled SPOC Q29 Batu Niah smallholders weighbridge tickets keep and record in the Buku Rekod Ladang (BRL).</p> <p>Phone call interviewed with sampled SPOC Q29 Batu Niah smallholders informed they keep the weighbridge ticket for traceability purposes.</p>	Yes
4.2.1.2	<p>SPOC Q29 Batu Niah smallholders maintain copy of FFB weighbridge ticket in their personal file.</p> <p>Phone call interviewed with sampled SPOC Q29 Batu Niah smallholders informed FFB weighbridge tickets are maintained.</p>	Yes

Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
4.3.1.1	<p>SPOC Q29 Batu Niah established the list of legal requirement, document number MSPO/SPOC/L-01/SKU revision number 07 dated 01/06/2021.</p> <p>Example:</p> <ol style="list-style-type: none"> 1. 'Akta 149: Akta Racun Makhluk Perosak 1974' 2. 'Akta 342: Perintah Pencegahan dan Pengawalan Penyakit Berjangkit (Pindaan Jadual Pertama) 2020' 3. 'Akta 350: Akta Kanak-Kanak dan Orang Muda (Pekerjaan) 1966' 	Yes

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Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
	<p>4. 'Undang-undang Sarawak : Kod Tanah (CAP 81) 1958'</p> <p>MSPO briefing include legal requirement conducted on 14/10/2021.</p> <p>Document review on sampled SPOC Q29 Batu Niah smallholders verify copy of MPOB license is maintained.</p> <p>Example MPOB license SPOC Q29 Batu Niah smallholders no. 470 with validity until 28/02/2023.</p> <p>Phone call interview with sampled smallholders informed they understand on legal requirement.</p>	
4.3.2.1	<p>SPOC Q29 Batu Niah smallholders' have native titles or Native Customary Rights land (NCR).</p> <p>Stated in native titles the land use for agricultural purposes.</p> <p>Review the 'Akuan Pengesahan Tanah NCR' form is signed by land owner and verified by 'Tuai Rumah'.</p> <p>During document verification, there is no dispute recorded for SPOC Q29 Batu Niah.</p>	Yes
4.3.3.1	<p>SPOC Q29 Batu Niah smallholders' have native title or Native Customary Rights land (NCR).</p> <p>Document review indicate 'Akuan Pengesahan Tanah NCR' is verified by 'Tuai Rumah'.</p>	Yes
4.3.3.2	<p>SPOC Q29 Batu Niah smallholders' have native title or NCR land verified by 'Tuai Rumah' as the rightful owner of the land.</p> <p>Photo review the native title map include in the land title with the detail of land ownership and boundary marker.</p> <p>Review the 'Akuan Pengesahan Tanah NCR' include sketch map of the field location.</p> <p>Photo review the boundary marker of sampled SPOC Q29 Batu Niah smallholders' field is installed with wooden red stick and maintained.</p>	Yes

Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.1.1	<p>SPOC Q29 Batu Niah adopted MPOB Guidelines Complaint and Grievance, document number MSPO/SPOC/SOP-01/AR, issue 04, revision 02 dated 01/06/2021.</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. 	Yes

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>During remote document review on 'Taklimat MSPO' report, complaint and grievances procedure has been briefed to smallholders dated 14/10/2021.</p> <p>Phone call interview with sampled smallholders informed they have been briefed on complaint and grievance procedure and process flow.</p>	
4.4.1.2	<p>SPOC Q29 Batu Niah adopted MPOB Guidelines Complaint and Grievance, document number MSPO/SPOC/SOP-01/AR, issue 04, revision 02 dated 01/06/2021.</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 <p>Any complaint outside the scope of the group manager it will refer to other parties or MPOB HQ.</p> <p>Document review no complaint lodged from year 2019 till 2020, only one complaint lodged on 28/10/2021 for year 2021 and resolved by group manager on 28/10/2021.</p> <p>Phone call interview with sampled smallholders informed they have been briefed on complaint and grievance process dated 14/10/2021.</p>	Yes
4.4.2.1	<p>SPOC Q29 Batu Niah adopt MPOB Guidelines Occupational Safety & Health, document number MSPO/SPOC/GP-02/KKP, issue: 4, revision: 0 effective date: 01/06/2021.</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>MSPO training conducted on 14/10/2021 include safety and health training.</p> <p>Phone call interview with sampled smallholders informed they have been briefed on safety and health during working in farm.</p> <p>Example:</p> <p>Wearing of PPE for chemical spraying activity: Apron, face mask, goggle, safety boot, hand glove and safety helmet.</p>	Yes
4.4.3.1	<p>SPOC Q29 Batu Niah adopted MPOB Employment Terms document number MSPO/SPOC/SMP-01, rev-02 updated 01/06/2021.</p> <p>The form has included payment rates for operational activities such as harvesting, chemical spraying, manuring and pruning.</p> <p>Interviewed with sampled smallholders informed, they operate by themselves or assisted by family members in carrying out field operations.</p>	Yes

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.3.2	<p>SPOC Q29 Batu Niah 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 Q29 Batu Niah adopted MPOB Employment Terms document number MSPO/SPOC/SMP-01, rev-02 updated 01/06/2021.</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
4.4.3.3	<p>SPOC Q29 Batu Niah adopted MPOB Employment Terms document number MSPO/SPOC/SMP-01, rev-02 updated 01/06/2021.</p> <p>The form includes payment rates for operational activities such as harvesting, chemical spraying, manuring and pruning.</p> <p>Phone call interview with sampled smallholders informed, they are working by themselves or assisted by family members in carrying out field operations.</p>	Yes
4.4.3.4	<p>Phone call interview and photos verification of sampled smallholders SPOC Q29 Batu Niah, there are no on-site living quarters.</p>	Yes
4.4.3.5	<p>SPOC Q29 Batu Niah adopted MPOB Employment Terms document number MSPO/SPOC/SMP-01, rev-02 updated 01/06/2021.</p> <p>The form describe:</p> <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. <p>Photos verification at sampled smallholder’s farm and phone call interview with sampled smallholders informed no hiring of underage workers in the field.</p>	Yes
4.4.4.1	<p>SPOC Q29 Batu Niah established training programme year 2021. The training programme include ‘Taklimat MSPO’, GAP and LKN visit.</p> <p>Remote document review on training record year 2021 verified there is training carried out for smallholders.</p> <p>Example:</p> <p>Title: Taklimat MSPO</p> <p>Date: 14/10/2021</p> <p>Phone call interview with sampled smallholders informed they have been briefed on MSPO implementation in farms.</p>	Yes

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Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
4.5.1.1	<p>SPOC Q29 Batu Niah adopted MPOB List of Social and Environmental Impact and Action Plan, document number MSPO/SSCC/I-04/ISP, revision 04, issue 04 dated 01/08/2021.</p> <p>Environment impact had been identified and included in the SOP.</p> <p>Activity: Manuring / chemical spraying activities.</p> <p>Environmental impact: Water pollution can occur as a result of the use of pesticides near waterways.</p> <p>Remote document review, SPOC Q29 Batu Niah conducted briefing on environmental impacts dated 14/10/2021</p> <p>Phone call interview with SPOC Q29 Batu Niah smallholders informed they have been briefed on the environment impacts.</p> <p>Remote photo reviewed, there are no over spraying activities carry out</p>	Yes
4.5.2.1	<p>Remote photo reviewed of SPOC Q29 Batu Niah smallholders' farms, there is no application of renewal energy.</p>	Yes
4.5.3.1	<p>SPOC Q29 Batu Niah adopted MPOB List of Scheduled and Domestic Wastes MSPO/SPOC/L-03/SRD Issue 4 rev 1 effective date 01/08/2021.</p> <p>Document review verify the list consists of solid, liquids and gaseous wastes.</p> <p>Example:</p> <p>Agricultural input: Herbicides</p> <p>Waste produced: Empty chemical containers</p> <p>Impact: Polluting water source if the empty containers left in the field or near the water ways.</p> <p>Remote document review, SPOC Q29 Batu Niah conducted briefing on waste management and disposal to smallholders dated 14/10/2021.</p> <p>Phone called interview with SPOC Q29 Batu Niah smallholders informed they have been briefed on disposal, recycle or reused methods for empty chemical containers.</p> <p>Remote photo reviewed, the empty chemical containers are utilize to stored water for chemical spraying activities.</p>	Yes
4.5.3.2	<p>SPOC Q29 Batu Niah adopted MPOB SOP for Scheduled Waste Management, doc no: MSPO/SPOC/SOP-04/BT dated 01/08/2021.</p> <p>The SOP describe:</p> <ol style="list-style-type: none"> 1. To conduct triple rinsing for each empty chemical container before disposed. 2. To put marking on empty chemical container for chemical mixing purposes. 3. All scheduled waste shall be disposal according to the Environmental Quality (Scheduled waste) Regulations, 2015. 	Yes

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Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	<p>Remote document review, SPOC Q29 Batu Niah conducted briefing on waste management and disposal to smallholders dated 14/10/2021.</p> <p>Remote photo reviewed, the empty chemical containers are labelled with 'X' and stored at smallholders store.</p> <p>Phone call interviewed SPOC Q29 Batu Niah smallholders informed they practice triple rinse for empty chemical containers and reused for chemical spraying.</p>	
4.5.4.1	<p>SPOC Q29 Batu Niah adopted MPOB guidelines River Buffer Zone, doc no: MSPO/SPOC/GP-03/ZPS, issue 4 dated 01/08/2021.</p> <p>The procedure describes:</p> <ol style="list-style-type: none"> Guideline for buffer zone length. Non permitted activities are chemical spraying and manuring. Flow chart on buffer zone establishment. <p>Remote document review, SPOC Q29 Batu Niah conducted briefing on conserve of buffer zone area dated 14/10/2021.</p> <p>Phone call interview with SPOC Q29 Batu Niah smallholders informed they understand the need to conserve the buffer zone areas and not to carry out any chemical spraying or manuring activity near the waterways.</p>	Yes
4.5.4.2	<p>SPOC Q29 Batu Niah smallholders practices collecting rain water at farms.</p> <p>Phone call interview with SPOC Q29 Batu Niah smallholders informed they are practices rain water harvesting using empty drums for chemical spraying activities.</p>	Yes
4.5.5.1	<p>SPOC Q29 Batu Niah adopted list of totally protected wildlife from Wildlife Department, document no.: JHL.KGU.100-0/1 jld. 13/30.</p> <p>Remote document review, SPOC Q29 Batu Niah conducted briefing on protection of wildlife dated 14/10/2021</p> <p>Phone called interview with smallholders informed they have sighted wild boar and bird within their farms.</p>	Yes
4.5.6.1	<p>SPOC Q29 Batu Niah adopted MPOB Guidelines Zero Burning Practices, doc. No. MSPO/SPOC/GP-04/APS, issue 4 rev. 1, effective date 01/08/2021.</p> <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.</p> <p>Remote document review, SPOC Q29 Batu Niah conducted briefing on zero burning to smallholders dated 14/10/2021.</p> <p>Remote photo reviewed and phone call interviewed SPOC Q29 Batu Niah smallholders informed no open burning practices during replanting or new planting.</p>	Yes

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Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
4.6.1.1	<p>SPOC Q29 Batu Niah conducted Lawatan Khidmat Nasihat (LKN) covering GAP to sampled smallholders dated 16/11/2021 and 17/11/2021.</p> <p>From document review on LKN reports, SPOC Q29 Batu Niah group manager conducted inspection at sampled smallholders' farm.</p> <p>Photo review and phone call interviewed with sampled SPOC Q29 Batu Niah smallholders informed they have been briefed on good agricultural practice include below topics:</p> <ol style="list-style-type: none"> 1. Manuring and chemical spraying techniques 2. Proper stacking of fronds. 3. Good maintenance of harvesting path. 4. Proper palm pruning. 	Yes
4.6.1.2	<p>SPOC Q29 Batu Niah smallholders established visual identification at their farm.</p> <p>Photo review, the Information included in signage are:</p> <ol style="list-style-type: none"> 1. Land owner 2. Lot number 3. Total area 4. Year planting 5. GPS coordinates 	Yes
4.6.2.1	<p>SPOC Q29 Batu Niah adopted SOP, 'Garis Panduan Pelan Daya Ekonomi dan Kewangan', doc no: MSPO/SPOC/GP-01/PEK, issue no: 4, date effective: 01/06/2021.</p> <p>From document review on MPOB budget program, SPOC Q29 Batu Niah is included in operation budgets for MSPO training, MSPO auditing, PPE and miscellaneous expenses.</p>	Yes
4.6.3.1	<p>SPOC Q29 Batu Niah monitor FFB pricing through input from collection centre and mill for fair pricing.</p> <p>Phone call interview with SPOC Q29 Batu Niah smallholders informed FFB price obtained through phone call and daily FFB price displayed at collection centre and mill notice board.</p>	Yes

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Principle 7: Development of new planting		
Indicator	Summary of Assessment	Compliance
4.7.1.1	SPOC Q29 Batu Niah established smallholders' database is review with 1 st planting in 1966 and latest replanting in year 2019. There are no new planting in year 2021. Thus, there is no assessment on high biodiversity area.	Yes
4.7.2.1	SPOC Q29 Batu Niah established smallholders' database is review with 1 st planting in 1966 and latest replanting in year 2019. There are no new planting in year 2021. Therefore, no soil type available.	Yes
4.7.3.1	SPOC Q29 Batu Niah established smallholders' database is review with 1 st planting in 1966 and latest replanting in year 2019. There are no new planting in year 2021. 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.
X	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.
	No non-conformity raised in previous audit.
<p><i>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.</i></p> <p><i>Note 2: All major and minor NCs raise in last audit are required to capture in this report together with the review of the non-compliance implementation.</i></p>	

4.5. Detail of Audit Findings in last Audit

AUDIT OUTCOME		
During last audit	1	MAJOR Non-Conformities
	0	MINOR Non-Conformities

Non Conformity Number 01	
Indicator # and Description	4.4.4.1 Independent smallholders are encouraged to seek knowledge to increase their competency in oil palm management.
Location:	Office
Description of Finding / Objective Evidence:	

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Non Conformity Number 01											
<p>Referring to Opportunity for Improvement (OFI) raised in last surveillance audit related to awareness on complaint and grievance procedure, no briefing conducted to brief smallholders on complaint and grievances procedure during training dated 09/01/2020, 05/02/2020 and 26/06/2020.</p> <p>Phone call interview with sampled smallholders confirmed the lack of awareness briefing related to complaint and grievances procedure.</p>											
Classification	<input checked="" type="checkbox"/> Major <input type="checkbox"/> Minor										
Raise by:	Khairul Anwar Bin Ismail Date Raise: 10/12/2020										
Deadline for implementation	10/02/2021										
Root Cause Analysis (by company):											
<p>We acknowledge that in 2020, the training provided to smallholders is not as comprehensive as in previous years. This is due to time constraints and movement due to the covid-19 pandemic. This includes training and information on Complaints and Complaints Procedures. Apart from that, training on complaints and grievances also does not have a specific slot which causes the possibility of smallholders not understanding.</p>											
Correction (by company):											
<p>Re-training on complaints and grievances has been made and continuously conduct from longhouse to longhouse. So far 4 long house has been visited, namely:</p> <table border="0"> <thead> <tr> <th><u>Rumah</u></th> <th><u>Date Visit</u></th> </tr> </thead> <tbody> <tr> <td>Rh.Sepom,Smpg BLD Suai,Niah</td> <td>05 Jan 2021</td> </tr> <tr> <td>Rh.Akai,Sg.Merusa,Suai Niah</td> <td>05 Jan 2021</td> </tr> <tr> <td>Rh.Changgai,Sg.Sah,Ulu Niah</td> <td>06 Jan 2021</td> </tr> <tr> <td>Rh.Micheal,Suai Niah</td> <td>06 Jan 2021</td> </tr> </tbody> </table> <p>Reports and Pictures of the visit are as in appendix 1.</p> <p>At this session as well, we have submitted complaints and grievance procedures to all smallholders under SPOC Q29. Proof of acceptance of complaints and grievance procedures as in appendix 2.</p> <p>We have also affixed MPOB complaint and grievance procedures to strategic locations in longhouses. A picture of the intended complaint and grievance procedure is as in appendix 3.</p> <p>The balance of the longhouse to be visited is as per Appendix 4 Visit Schedule.</p>		<u>Rumah</u>	<u>Date Visit</u>	Rh.Sepom,Smpg BLD Suai,Niah	05 Jan 2021	Rh.Akai,Sg.Merusa,Suai Niah	05 Jan 2021	Rh.Changgai,Sg.Sah,Ulu Niah	06 Jan 2021	Rh.Micheal,Suai Niah	06 Jan 2021
<u>Rumah</u>	<u>Date Visit</u>										
Rh.Sepom,Smpg BLD Suai,Niah	05 Jan 2021										
Rh.Akai,Sg.Merusa,Suai Niah	05 Jan 2021										
Rh.Changgai,Sg.Sah,Ulu Niah	06 Jan 2021										
Rh.Micheal,Suai Niah	06 Jan 2021										
Corrective / Preventive Action (by company)											
<p>To prevent this from happening again, we plan to create a special slot regarding complaints and grievances during training and briefing in upcoming training session. In addition, we will also explain comprehensively during the LKN – <i>Lawatan Khidmat Nasihat</i> session.</p>											
Review of Correction & Corrective / Preventive Action											
<p>Review documents submitted, the complaint and grievance procedures training had been conducted on 05/01/2021 to 06/01/2021 to brief the smallholders.</p> <p>The evidence provided sufficient to close the NC.</p> <p>Further verification will be conducted in the next surveillance audit.</p>											
Closed: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Site verification : <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No										

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Non Conformity Number 01	
Name of Auditor: Khairul Anwar Bin Ismail	Date of Closure: 08/01/2021
Review of Implementation	
Review the MSPO training record conducted on 14/10/2021. The training includes MSPO, safety and health, environmental, GAP and SOP such as complaint and grievances. The evidence provided and implementation is consider as appropriate.	
Name of Auditor: Sheron Pui Ling Wui	Date of Review: 02/12/2021

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	4.3.1.1	Independent smallholders shall show awareness of compliance with all applicable local, state, national and ratified international laws and regulations.	Documentat ion	SPOC Q29 Batu Niah may improve the monitoring of 'Senarai Keperluan Undang-Undang' and licenses status.
2	4.4.4.1	Independent smallholders are encouraged to seek knowledge to increase their competency in oil palm management.	Field	SPOC Q29 Batu Niah could improve awareness training on oil palm management.

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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 Q29 Batu Niah consisting of 1,913 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:	1,931
Total certified acreage of smallholders:	17,376.42 Ha

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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 / Recertification
X	Recommended for Continuity of Certification
	Suspended of Certification

Puchong, 13/12/2021

Mohd Nur Amin Bin Mohd Halim
TUV NORD (Malaysia) Sdn Bhd
Audit Team Leader

Puchong, 16/12/2021

Cheong, Chun Yuen (Robert)
TUV NORD (Malaysia) Sdn Bhd
Certifier / Approver

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC Q29 Batu Niah
Client Number: 92-057
Audit Type: ASA 03
Mode of Audit: Remote



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

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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	<input checked="" type="checkbox"/> P&C Audit Report / Checklist(s) <input checked="" type="checkbox"/> Audit Plan
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