

# MSPO CERTIFICATION SUMMARY REPORT

## SPOC S10 KENINGAU

### SURVEILLANCE 4

Remote Audit Date: 14/12/2020 – 17/12/2020

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# MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board  
Certifying Unit: SPOC S10 Keningau  
Client Number: 92-069  
Audit Type: Annual Surveillance 4  
Mode of Audit: Remote

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### ABBREVIATIONS

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

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## 1. INTRODUCTION

MPOB has commissioned TÜV NORD (Malaysia) Sdn Bhd to conduct an annual surveillance audit for SPOC S10 Keningau 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 S10 Keningau 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 S10 Keningau 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 2 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: Chan Shi Lie

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;	Graduate in Bachelor of Media Technology (Major in Broadcasting)

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Requirement	Qualifications
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)	6 years working experience in oil palm plantations.
Successfully completed MPOCC endorsed lead auditor training	Successfully completed MS 2530:2013 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 as lead auditor based on audit log.
Field working experience in the palm oil sector, or demonstrable equivalent	6 years working experience in oil palm plantations.
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	6 years working experience in oil palm plantations.
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Successfully completed IMS ISO 9001, 14001 and 45001 LA 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 LA 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 LA course.
Completed High Conversation Value assessment	Qualified and appointed as auditor and lead auditor for MSPO scheme.

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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, Mandarin 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	Mohammad Norhisham Bin Mohd. Salleh	Graduate in Agrobiological Science	Yes
	Sheron Pui Wui Ling	Bachelor in Medical Science	
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)	Mohammad Norhisham Bin Mohd. Salleh	5 years working experience in oil palm plantation	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.	
Successfully completed MPOCC endorsed lead auditor / auditor trainings	Mohammad Norhisham Bin Mohd. Salleh	Successfully completed MS2530 series of standards for Lead Auditors.	Yes
	Sheron Pui Wui Ling	Successfully completed MS2530 series of 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	Mohammad Norhisham Bin Mohd. Salleh	Qualified and appointed as auditor for MSPO scheme.	Yes

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Requirement	Name Assessor	Qualification	Compliance
auditor-in-training under the direction and guidance of a qualified Lead Auditor for MSPO or equivalent sustainability certification schemes.	Sheron Pui Wui Ling	Qualified and appointed as auditor for MSPO scheme.	
Field working experience in the palm oil sector or demonstrable equivalent	Mohammad Norhisham Bin Mohd. Salleh	5 years working experience in oil palm plantation	Yes
	Sheron Pui Wui Ling	Qualified and appointed as auditor for MSPO scheme.	
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	Mohammad Norhisham Bin Mohd. Salleh	5 years working experience in oil palm plantation	Yes
	Sheron Pui Wui Ling	Qualified and appointed as auditor for MSPO scheme.	
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Mohammad Norhisham Bin Mohd. Salleh	Successfully completed IMS ISO 9001, 14001 and 45001 LA course.	Yes
	Sheron Pui Wui Ling	Successfully completed ISO 9001:2015 Lead Auditor course.	
Health and safety auditing on the farms processes and activities Or Successfully completed Occupational, Health & Safety Management System ISO 45001 standard	Mohammad Norhisham Bin Mohd. Salleh	Successfully completed IMS ISO 9001, 14001 and 45001 LA course.	Yes
	Sheron Pui Wui Ling	Successfully completed ISO 45001:2018 Lead Auditor course.	
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Mohammad Norhisham Bin Mohd. Salleh	Successfully completed Basic SA 8000 training	Yes
	Sheron Pui Wui Ling	Successfully completed Basic SA 8000 training	
Environmental and ecological auditing or experience with organic agriculture. or Successfully completed Environmental Management Systems ISO 14001 standard	Mohammad Norhisham Bin Mohd. Salleh	Successfully completed IMS ISO 9001, 14001 and 45001 LA course.	Yes
	Sheron Pui Wui Ling	Successfully completed IMS ISO 14001:2015 Lead auditor course and auditor for MSPO scheme.	

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Requirement	Name Assessor	Qualification	Compliance
Completed High Conversation Value assessment	Mohammad Norhisham Bin Mohd. Salleh	Qualified as Auditor for MSPO scheme.	Yes
	Sheron Pui Wui Ling	Attended and completed the HCV-HCS for producers online course	
Able to communicate in Bahasa Malaysia, English and / or any other local language.	Mohammad Norhisham Bin Mohd. Salleh	Able to communicate in Bahasa Malaysia and English.	Yes
	Sheron Pui Wui Ling	Able to communicate in Bahasa Malaysia, Mandarin and English.	



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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, 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 4 Audit:

Surveillance 4 audit conducted remotely on 14/12/2020 – 17/12/2020 covers 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 via mean of phone call
- Virtual inspection of farm via mean of videos and photos
- Production records
- Review revised and updated documentation;
- Training records
- Assessment reporting

### Remote Assessment

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

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 and Telephone.

For this 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 572 new members and 734 old members. The total number of smallholders for this audit are 1,306.

As per MPOB requirements the risk factor of 1.5 shall be applied. Therefore, the sample size  $S = 1.5\sqrt{1,306} = 54.2079$  round up to the next integral of 55.

As per OPMC 2 issue 2, from the sample size, the number of the new members are 55 x 75% and number of existing members are 55 x 25%.

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
Malidin Mogong	N 5.2455°, E 116.5272°
Mohd. Effendi Bin Abdullah	N 5.3161°, E 116.6355°
Masilin Bin Sahamid	N 5.4116°, E 116.5036°
Masirin Bin Dasmin	N 5.2977°, E 116.6661°
Matiun Bin Dingkur @ Gingur	N 5.3886°, E 116.6247°
Situl @ Joseph Bin Kalaka	N 5.2930°, E 116.6758°
Willton Bin Mir	N 5.4527°, E 116.4372°
Ainny Bintin Untung	N 5.4402°, E 116.4016°
Alex Amik	N 5.4502°, E 116.2797°
Rex Rowland Alex	N 5.4516°, E 116.2763°

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Name	GPS Coordinates
Johnny Tan Gin Zit	N 5.3152°, E 116.1202°
Tham Siaw Shiung	N 5.3152°, E 116.1202°
Francis Fung Yick Chung	N 5.2868°, E 116.2199°
Chong Sem Chan	N 5.3152°, E 116.1202°
Bostin Bin Bigun	N 5.2727°, E 116.4083°
Anita Binti Mentudok	N 5.2713°, E 116.4094°
Malina Salim	N 5.2741°, E 116.4166°
Aszmi Bin Osmera	N 5.1961°, E 116.3674°
Francis @ Mohd Redzuan Bin Kotong	N 5.3333°, E 116.6347°
Yong Kui Men	N 5.0251°, E 116.2556°
James Yong Kui Seng	N 5.0250°, E 116.2552°
Rupinah @ Rupiah Binti Maradan	N 5.2305°, E 116.3880°
Kupang Bin Gangos	N 5.2252°, E 116.3913°
Charles Tadi	N 5.3166°, E 116.0072°
Lucy Binti Majiun	N 5.2939°, E 116.4556°
Javelin Binti Bigun	N 5.2755°, E 116.4194°
Theresa Binti Joseph	N 5.3016°, E 116.4605°
Clarince Gane	N 5.30000°, E 116.4294°
Muhammad Hakimi Bin Gane	N 5.2834°, E 116.4583°
Bede Gane	N 5.30000°, E 116.4296°
Fernandez John Qasam	N 5.3061°, E 116.4189°
I'llijah Binti Duluminin	N 05.2918°, E 116.4231°

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Name	GPS Coordinates
Royce Bin Salimun	N 5.2241°, E 116.3774°
Ernee Binti Benus	N 5.2254°, E 116.3780°
Rinah @ Urimah Binti Solugung	N 5.1955°, E 116.3888°
Hamidun Bin Kisin	N 5.1925°, E 116.3883°
Hamijan Bin Kisin	N 5.1936°, E 116.3877°
Sahimin Bin Raimin	N 5.1916°, E 116.3997°
Faezan Azwan B. Richerd	N 5.1966°, E 116.3833°
Alexander Werson Bin Joseph	N 5.2423°, E 116.3549°
Elod @ Biti Bin Gambui	N 5.2307°, E 116.3480°
Betty Binti Joannes	N 5.2356°, E 116.3737°
Jelimi Binti Julian	N 5.2490°, E 116.3597°
Lomboting Gangus @ Joseph Osmund	N 5.2433°, E 116.3566°
Chen Shu Kong @ Tsen Shu Kong	N 5.48097°, E 116.2814°
Tham Thau Fatt	N 5.4288°, E 116.2286°
Tan Thong Seng	N 5.2772°, E 116.1596°
Ho Shin Hen	N 5.3531°, E 116. 1898°
Gan Kean Siong	N 5.1350°, E 116.2541°
Vun Fung Chew	N 5.3140°, E 116.0750°
Hwo Gwo Kiong	N 5.3636°, E 116.1296°
Ang Yan Yong	N 5.3935°, E 116.1366°
Woo Fui Nyen @ Mathew Woo	N 5.3530°, E 116.1052°E
Timothy Chee Su Ping	N 5.4996°, E 116.2565°

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Name	GPS Coordinates
Jonis Bin Gabi @ Sabli Abie	N 5.2135°, E 116.3498°

### 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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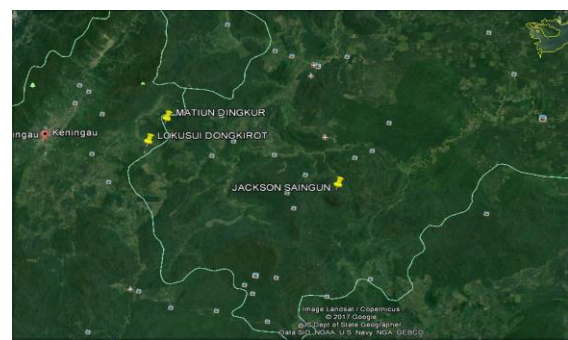
## 3. ORGANISATION INFORMATION

MPOB Cawangan SPOC S10 Keningau is a branch of MPOB located at Pejabat MPOB Caw. Keningau, Tingkat 1, Lot 13, Bariawa Shop House, Jalan Bnak Bumiputera, 89008 Keningau, Sabah, N 5°19'59" E 116°9'20" 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 Keningau district.

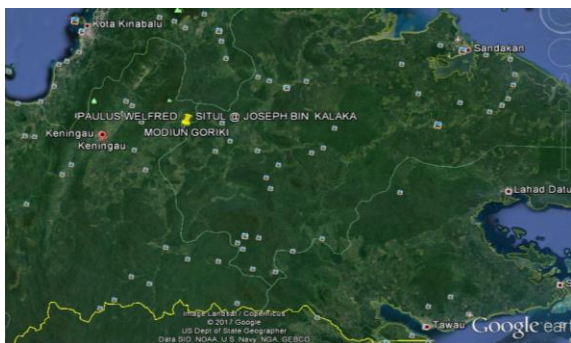
The smallholders are in Keningau as shown in the below maps.



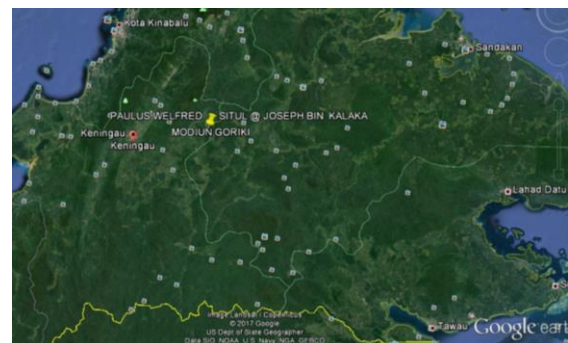
Map 1



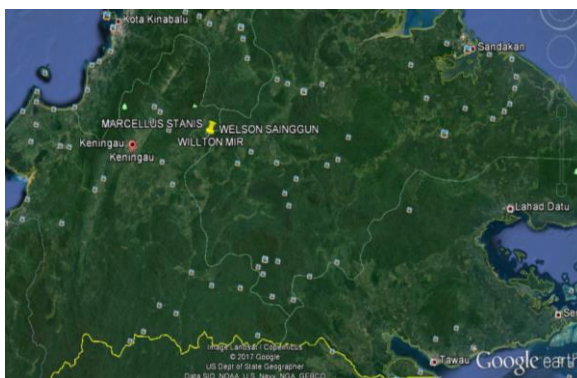
Map 2



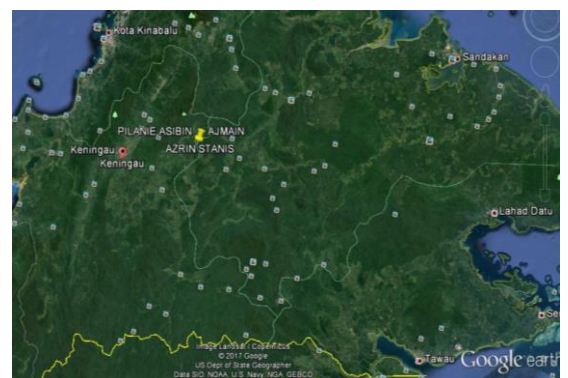
Map 3



Map 4



Map 5



Map 6



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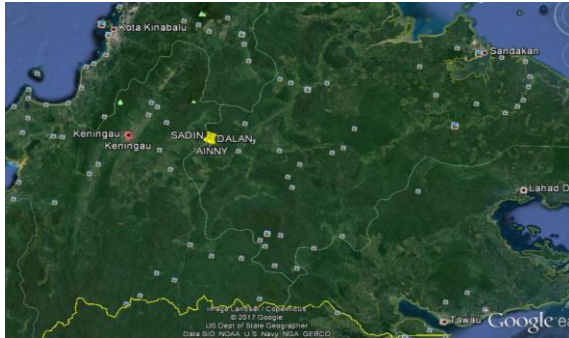
Company Name: Malaysian Palm Oil Board

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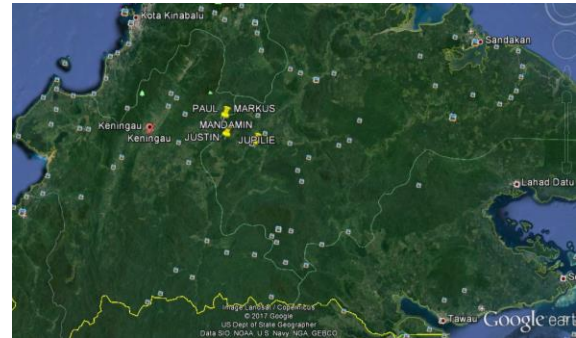
Client Number: 92-069

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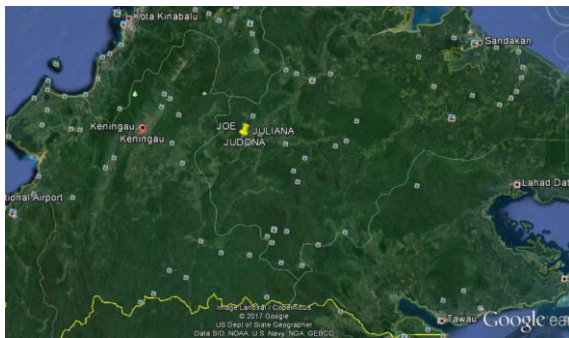
Mode of Audit: Remote



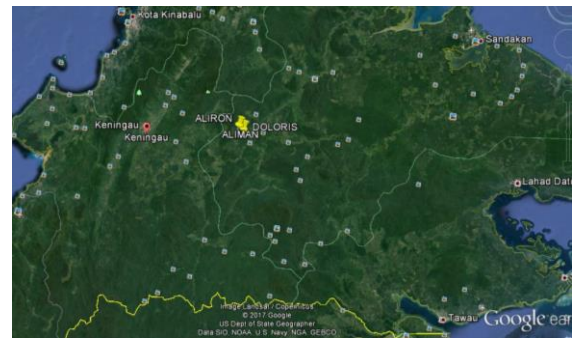
Map 7



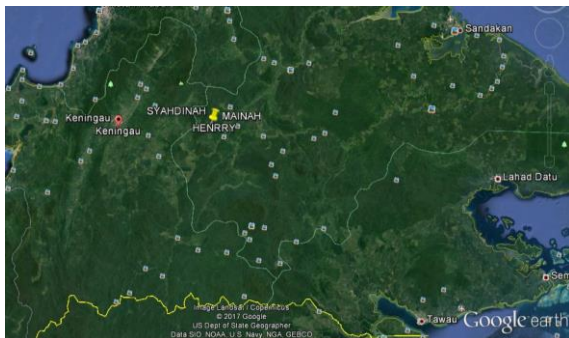
Map 8



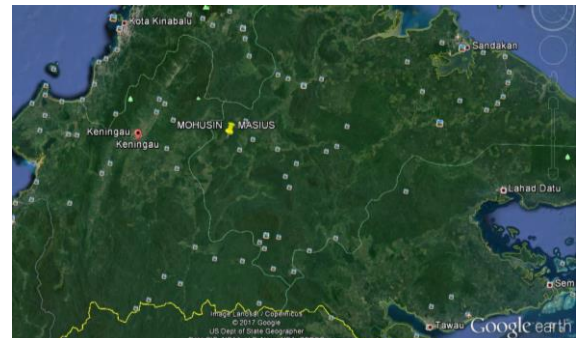
Map 9



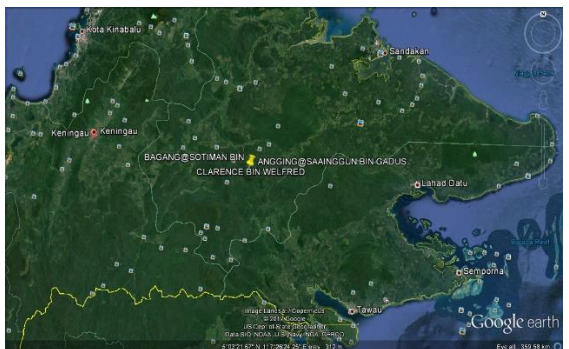
Map 10



Map 11



Map 12



Map 13



Map 14

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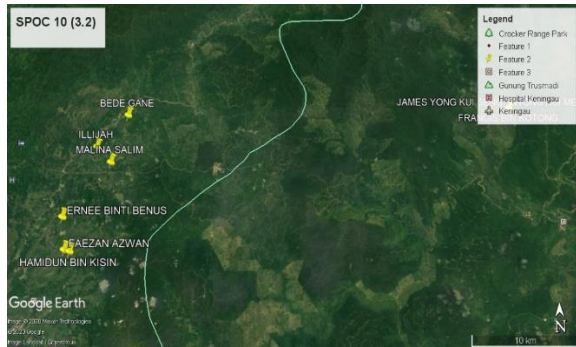
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Map 15



Map 16



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### 4. CERTIFICATION ASSESSMENT

#### 4.1. Annual Surveillance 4

The objective of the audit is to assess the activities of MPOB Cawangan SPOC S10 Keningau are in compliance with MS 2530-2: 2013 Part 2: General principles for independent smallholders' requirements.

##### 4.1.1. Annual Surveillance 4:

The surveillance audit is conducted on 14/12/2020 to 17/12/2020.

The number of smallholders in this surveillance audit are 1,306.

The number of smallholders 734 remain the same for this surveillance audit.

The number of smallholders joined during this surveillance audit are 572.

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 surveillance audit 04, there are 0 Major, 0 Minor and 1 OFI raised.

For this audit, the major and minor non-compliance raised in the last 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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Therefore, there is no stakeholders consultation conducted for this surveillance 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 S10 Keningau established MSPO Policy, document no: MSPO/SSCC/POLISI-01 dated 04/02/2020 signed by Group Manager (GM).</p> <p>SPOC S10 Keningau adopted MPOB MSPO certification application with the MSPO policy included in the form duly agreed and signed by smallholders and acknowledged by SPOC GM.</p> <p>Review on the copy of application form available in smallholders file signed and acknowledged by SPOC GM.</p> <p>Phone interviewed with smallholders feedback they aware and understood the MSPO policy.</p>	Yes
4.1.2.1	<p>SPOC S10 Keningau established continual improvement plan, "Senarai impak sosial, persekitaran &amp; pelan tindakan: document no: MSPO/SSCC/L-04/ISP, issue no: 2, rev 2 effective dated 01/06/2020.</p> <p>The table include topic</p> <p>Example:</p> <p>Social impact:</p> <p>Activity: Chemical spraying</p> <p>Social impact: Health conditions</p> <p>Action plan: Wearing right PPE when perform the chemical spraying activity</p> <p>Phone interview with smallholders feedback that when they carry out chemical spraying activities they will wear PPE such as face mask, glove, apron and goggle. Environment impact:</p> <p>Activity: Manuring</p> <p>Environment impact: Water way / streams pollution</p> <p>Action plan: Continuous training given to smallholders during LKN visit.</p> <p>Phone interview with smallholders feedback they aware excessive of fertilizer application will cause a pollution to the river.</p>	Yes

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Principle 1: Management Commitment & responsibility		
Indicator	Summary of Assessment	Compliance
	Review on the training record dated 29/09/2020 include topic for water ways protection.	
4.1.2.2	SPOC S10 Keningau distribute Warta Sawit to smallholders during MSPO training on 29/09/2020.  Phone interview with smallholders feedback they have received Warta Sawit.  Phone interviewed with smallholders feedback that GM has conducted LKN and smallholder explained that they get information on GAP practise during the LKN visit and MSPO training.	Yes

Principle 2: Transparency		
Indicator	Summary of Assessment	Compliance
4.2.1.1	SPOC S10 Keningau adopted MPOB “Manual Prosedur Kerja (MPK) Pensijilan Minyak Sawit mampan Malaysia” (MSPO doc no: MPK – rev 03 effective date 01/06/2020).  The MPK describe traceability process. The weighbridge tickets from smallholders are collected and recorded by SPOC Group Manager.  BRL logbook was provided to the smallholders during MSPO training to fill up the records of FFBs sales and delivery.  List of smallholders receive the BRL recorded. Review on the smallholders BRL records are maintain and updated. Phone interview with smallholders feedback they have received the BRL logbook from SPOC S10 GM.  SPOC S10 Keningau Group Manager monitor smallholders FFB sales and delivery using the BRL and summary of FFB record.	Yes
4.2.1.2	SPOC S10 Keningau adopted MPOB MSPO form for sales and production record doc. No: MSPO/SPOC/GP-01/PEK, effective date 01/06/2020.  Group Manager keep records of smallholders FFB sales to respective collection centre of mills.  Phone interviewed with smallholders confirmed FFB sales and delivery records available and copies are kept.	Yes

Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
4.3.1.1	SPOC S10 Keningau adopted MPOB “Senarai Keperluan Undang – Undang” document updated 01/10/2020.  The list includes laws applicable for the state of Sabah.  Example:  1. Sabah Labour Ordinance Cap 67	Yes

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Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
	2. MPOB Act 1998. 3. Prevention and Control Infectious Disease Act 1988. During individual file review the smallholders MPOB licenses are within validity period and copy available on the individual file. Phone interview with smallholders informed they aware of compliance to legal requirements.	
4.3.2.1	SPOC S10 Keningau smallholders land titles are country lease title, native title or PT land. The land use is for agricultural purposes. The CL land titles issue by Sabah Land Authority with tenure of 99 years. The native land titles are freehold status. All SPOC S10 Keningau smallholders under land title application has obtain the "Surat Pengesahan PT" from Lands and Surveys Department. There are no dispute recorded lodged for SPOC S10 Keningau.	Yes
4.3.3.1	SPOC S10 Keningau smallholders land titles are country lease title, native title or PT land. The native land titles are issued by Sabah Land Authority with freehold status. All SPOC S10 Keningau smallholders under land title application obtain the "Surat Pengesahan PT" from Lands and Surveys Department. During smallholder individual file review the smallholders obtained the "Surat Pengesahan PT" from Land and Survey Department state the status of PT under technical process. t. This is confirmed during interview with group manager and smallholders.	Yes
4.3.3.2	Maps in the land titles and individual file indicate land size, location and boundary marker.	Yes

Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.1.1	SPOC S10 Keningau adopted MPOB Complaint & Grievance guideline and flow chart, doc. no. MSPO/SPOC/SOP-01/AR dated 01/06/2020. The SOP describe on timeline in handling grievances: 1. Person in charge of handling complaint and grievance was group manager. 2. The timeline to accept and resolve grievance was within 14 days. 3. Group manager to acknowledge complainer any pending of issue which was not resolved after 14 days.	Yes

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>4. Group manager to refer to suitable in charge if the issue was beyond their ability to solve.</p> <p>Complaint and grievance file is review. There is one complaint lodged on 03/06/2020 and resolved by SPOC S10 group manager dated 05/06/2020.</p> <p>During interview with smallholders informed they are aware of complaint and grievances process brief by SPOC group manager during LKN visit dated 05/04/2020 and MSPO training dated 29/09/2020.</p>	
4.4.1.2	<p>SPOC S10 Keningau adopted MPOB Complaint &amp; Grievance guideline and flow chart, doc. no. MSPO/SPOC/SOP-01/AR dated 01/06/2020.</p> <p>The complaint and grievance has a table listing the activities to resolve any complaints.</p> <p>The group manager is the responsible person to handle and resolve any complaints.</p> <p>The flow chart in the SOP describe the normal complaint process is to be resolved within 14 days. If the complainant is not satisfied with the action taken the complaint will extend another 10 days for the response.</p> <p>SOP describe if complaint received not under the jurisdiction of group manager it will refer to relevant party or MPOB HQ to handle the matter.</p> <p>During phone interview with smallholders informed they are aware of complaint and grievances process to MPOB GM.</p>	Yes
4.4.2.1	<p>SPOC S10 Keningau adopted MPOB Complaint &amp; Grievance guideline and flow chart, doc. no. MSPO/SPOC/SOP-01/AR dated 01/06/2020.</p> <p>SOP describes responsibility of smallholders and guidelines when having field activities such as chemical spraying, harvesting and manuring.</p> <p>Training record review SPOC S10 Keningau conducted MSPO training on 29/09/2020 include safety and health.</p> <p>During phone interview with smallholders informed they are aware of importance to use PPE during working at field.</p> <p>Example of PPE use in farm are mask, apron, glove, goggle and safety helmet.</p>	Yes
4.4.3.1	<p>SPOC S10 Keningau adopted MPOB Employment Terms guideline document no: MSPO/SPOC/SMP-01 for hiring of field workers by smallholders.</p> <p>Example of requirement listed:</p> <ol style="list-style-type: none"> <li>Workers must having valid work permit.</li> <li>Non-permitted to hired children below 15 years old and young workers between 15-18 years old.</li> <li>The payment rate are agreeable by both parties.</li> <li>Workers must always focus on safety aspect during conducting.</li> </ol>	Yes

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>Smallholders hire worker by verbal agreement or by using Employment Term form whichever agree by both parties.</p> <p>Example of Employment guideline form signed by smallholder's no. 10 and worker dated 01/03/2020.</p> <p>The payment made by smallholders to the workers are based on agreeable rate per tonne FFB.</p> <p>During phone interview with smallholders informed most of them are operate in family basis or 'gotong-royong'. However smallholder that hired casual worker feedback will paid the casual worker as per rate agreed by both parties.</p>	
4.4.3.2	<p>SPOC S10 Keningau adopted MPOB Terms of Employment form, document no: MSPO/SPOC/TPP-01, rev-01 describes to provide equal opportunity and treatment regardless of race, religion, colour, sex, political affiliation, nationality, social origin and shall not engage in or support discriminatory practices.</p> <p>Review the training record the awareness on MSPO Policy conducted via MSPO training dated 29/09/2020.</p> <p>During phone interview with smallholders informed they understand the policy and no discriminatory practices.</p>	Yes
4.4.3.3	<p>SPOC S10 Keningau adopted MPOB Terms of Employment form, document no: MSPO/SPOC/TPP-01, rev-01 describe the payment method to the casual workers.</p> <ol style="list-style-type: none"> <li>1. Payment of wage are according to type of work as recommended by Group manager.</li> <li>2. Payment rate must be mutual agreed between smallholders and casual workers.</li> <li>3. Every payment performed must be recorded and signed by casual workers.</li> </ol> <p>Review the employment guideline form signed by smallholder's no. 10 and worker dated 01/03/2020. The document states the pay rate of RM 40 / tonnage which agree and signed by both parties.</p>	Yes
4.4.3.4	<p>SPOC S10 Keningau smallholders carried out their farm operation on family basis or hired casual worker. Thus, there is no living quarters available in the farm.</p> <p>During field photo review and phone interview informed no living quarters available in farm as majority of smallholders operate in family basis or 'gotong-royong'.</p> <p>Smallholders who hired casual worker feedback the worker live at their own house in the village.</p>	Yes
4.4.3.5	<p>SPOC S10 Keningau adopted MPOB Employment Terms guideline document no: MSPO/SPOC/SMP-01 for hiring of field workers by smallholders.</p>	Yes

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### Principle 4: Social Responsibility, health, safety and employment conditions

Indicator	Summary of Assessment	Compliance
	<p>The guideline document describes the requirement for children and young person as follows:</p> <p>Point no 2. Not at all allow / hire children under the age of 15 years.</p> <p>Point no 3. Does not at all allow / hire young people under the age of 15-18 years old to perform heavy work in the field.</p> <p>"Akta Kanak-Kanak dan Orang Muda (Pekerjaan) 1966" is included in updated Legal Register, dated 01/06/2020.</p> <p>Training record reviewed the MSPO training conducted on 29/09/2020 include the Employment Terms guidelines.</p> <p>During interview with smallholders informed they understand of no hiring of underage workers in the field.</p>	
4.4.4.1	<p>SPOC S10 Keningau established training program year 2020. The training programme includes:</p> <ol style="list-style-type: none"><li>1. MSPO Training for new members</li><li>2. "Lawatan Khidmat Nasihat" (LKN)</li></ol> <p>Training conducted to existing and new smallholders dated 29/09/2020 by SPOC S10 Keningau and other government agencies.</p> <p>During phone interview with smallholders feedback they attended the MSPO training or briefed by group manager during the LKN and aware the MSPO requirement.</p>	Yes

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

Indicator	Summary of Assessment	Compliance
4.5.1.1	<p>SPOC S10 Keningau adopted MPOB List of Social, Environmental impacts and action plan, document number: MSPO/SPOC/L-05/ISP, version: 03, dated 01/06/2020.</p> <p>Environmental impact and action plan:</p> <p>Activity: Fertilizer application and integrated farming.</p> <p>Environmental impacts: Improve on soil fertility.</p> <p>Action plan: Continuous.</p> <p>Activity: Chemical spraying.</p> <p>Environmental impacts: Disposal of scheduled wastes.</p> <p>Action plan: Following SOP; triple rinse, puncturing bottom of containers and stored at designated area.</p> <p>Interviewed smallholders by phone calls informed they understand and aware on environmental impact of their activities in field.</p>	Yes
4.5.2.1	<p>There are no renewal energy used by smallholders. It is confirmed through interviewed smallholders by phone calls and photos verification.</p>	Yes



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Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
4.5.3.1	<p>SPOC S10 Keningau adopted MPOB List of chemical and domestic waste, document number: MSPO/SPOC/L-03/SRD, version: 0 dated 01/06/2020.</p> <p>List of wastes generate from Agricultural input:</p> <ol style="list-style-type: none"> <li>1. Empty chemical containers.</li> <li>2. Used fertilizer bags.</li> </ol> <p>List of wastes (others)</p> <ol style="list-style-type: none"> <li>1. Domestic waste.</li> </ol> <p>SPOC S10 Keningau established list of wastes generated by smallholders.</p> <p>Type of wastes generated are chemical containers and fertilizer bag.</p> <p>Interviewed smallholders by phone calls informed they aware and understand on managing wastes.</p>	Yes
4.5.3.2	<p>SPOC S10 Keningau adopted MPOB SOP on Pengurusan Bahan Buangan Terjadual, document number: MSPO/SPOC/SOP-03/BT, no. Issue: 3, no. revision: 3 and effective dated: 01/06/2020.</p> <p>The SOP describe:</p> <p>Point no. 2: All empty chemical containers shall be triple rinsed before kept and disposed.</p> <p>Point no. 5: After triple rinsed, empty chemical containers are no longer categorized as scheduled waste as per stated in Environmental Quality Act (Scheduled waste) 2005. Additional letter from DOE dated 24 May 2018 reference number: JAS/91/110/619) are made available to support the definition of point no.5 of the SOP.</p> <p>Point no. 6: After triple rinsed, the base of empty containers are punctured to avoid reused for other purposes.</p> <p>Point no. 11: Empty chemical container is prohibit to be reused except for the purposed of chemical premix provided, the container shall be labelled accordingly.</p> <p>Group manager informed smallholders on generated waste and disposal method during the MSPO training and LKN visit.</p> <p>Interviewed smallholders informed they are aware and understand on managing empty chemical containers.</p>	Yes
4.5.4.1	<p>SPOC S10 Keningau adopted MPOB SOP Buffer zone, Document number: MSPO/SPOC/GP-03/ZPS, version: 0 dated 01/06/2020.</p> <p>The procedure describe:</p> <ul style="list-style-type: none"> <li>• Identification of river or stream within smallholders area</li> <li>• Monitoring and ensuring no activities, which may cause pollution on buffer area.</li> </ul>	Yes



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Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	Based on Interview with smallholders via phone calls and photo verification confirmed they are aware and understand the need to preserve buffer zone areas.	
4.5.4.2	Interviewed smallholders via phone calls and review on smallholder's field photos indicates smallholders practise rain harvesting for chemical spraying or washing purposes.	Yes
4.5.5.1	<p>SPOC S10 Keningau adopted MPOB SOP, Manual Prosedur kerja MSPO Kelompok Minyak Sawit Mampan (SPOC), Senarai Impak Sosial, Persekitaran &amp; Pelan Tindakan. Doc no MSPO/SPOC/L-04/ISP, no. Issue: 3, no. revision: 3, effective dated 01/06/2020.</p> <p>Environmental impact and action plan:</p> <p>Activity: Opening new planting in high biodiversity area.</p> <p>Impact: Sustainable agriculture at arid area create suitable ecosystem for flora and fauna.</p> <p>Action Plan: Continuously.</p> <p>Letter from Pejabat Hidupan Liar Sabah Cawangan Keningau, dated 16/11/2020. The letter includes types of endangered species in Keningau District.</p> <ol style="list-style-type: none"> <li>Beruang madu.</li> <li>Harimau dahan.</li> <li>Tenggiling.</li> <li>Gajah.</li> <li>Tembadau.</li> </ol> <p>Interviewed smallholders via phone calls informed they are aware and understand on the protection of wildlife and illegal hunting prohibited by laws.</p>	Yes
4.5.6.1	<p>SPOC S10 Keningau adopted MPOB's MSPO Policy, document number: MSPO/SSCC/POLISI-01. March 2019 sign by group manager.</p> <p>Policy states on zero burning and good agricultural practise.</p> <p>Interview smallholders via phone call and review on photos of smallholder's field condition informed they aware and do not practise open burning in their field.</p>	Yes

Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
4.6.1.1	<p>SPOC S10 Keningau conducted MSPO training for smallholders.</p> <ol style="list-style-type: none"> <li>MSPO Awareness conducted on 29/09/2020.</li> <li>LKN conducted individually by visiting smallholders field.</li> </ol>	Yes

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Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
	Interviewed smallholders via phone call informed they have attended training and awareness conducted by MPOB and they do implement GAP in their field.	
4.6.1.2	Photos of signage display at smallholder's field for SPOC S10 Keningau include owners' name, lot number, area, planting year, and geo coordinate.	Yes
4.6.2.1	SPOC S10 Keningau adopted MPOB SOP, 'Garis Panduan Pelan Daya Ekonomi dan Kewangan', doc no: MSPO/SSCC/GP-01/PEK, issue no: 3, date effective: 01/06/2020.  The procedure described the expenses and income management for smallholders.  Sighted letter for budget allocated for MSPO training, dated 10/07/2020.	Yes
4.6.3.1	SPOC S10 Keningau established monthly MPOB FFB reference price (Mill price) at office notice boards.  Interview with smallholders by phone calls informed they have access to the FFB prices via phone call, WhatsApp group, MPOB portal and FFB price display on mill or dealer's weighbridge.	Yes

Principle 7: Development of new planting		
Indicator	Summary of Assessment	Compliance
4.7.1.1	SPOC S10 Keningau smallholders database is review with 1 <sup>st</sup> planting in year 1996 and new planting in year 2019.  Group Manager has conducted site assessment using MPOB MSPO application form dated 17/07/2020.  Review on the photos submitted and MPOB MSPO application form observed that new planting is not planted on land with high biodiversity area.  Thus, there is no assessment on high biodiversity area.	Yes
4.7.2.1	SPOC S10 Keningau smallholders database is review with 1 <sup>st</sup> planting in year 1996 and new planting in year 2019.  Review MPOB MSPO application form dated 17/07/2020 for the new planting in 2019 states soil type is mineral.	Yes
4.7.3.1	SPOC S10 Keningau smallholders database is review with 1 <sup>st</sup> planting in year 1996 and new planting in year 2019.  Review MPOB MSPO application form dated 17/07/2020 for the new planting in 2019 states flat and undulating area.	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
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	findings. Details of the follow up action taken on stage 1 audit findings were recorded in the Stage 1 audit report.
<b>X</b>	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
	1	MINOR Non-Conformities

Non Conformity Number 1			
<b>Indicator # and Description</b>	4.5.3.2 Independent smallholders shall ensure that waste from the smallholdings is disposed of appropriately. Smallholders shall adopt local and national legislation to dispose of hazardous chemicals and their containers.		
<b>Location:</b>	SPOC S10 Keningau		
<b>Description of Finding / Objective Evidence:</b>			
<p>Observation on sampled smallholder, one of smallholder field found out empty chemical container are scattered. There is no labelled and punched on the containers to indicate either to be reused or disposed. This is against the SOP Pengurusan Bahan Buangan Terjadual document no: MSPO/SSCC/SOP-03/BT, revision 2, dated 10/07/2019.</p> <p>Point no 7: Bekas racun kosong hendaklah disimpan di tempat yang selamat bagi mengelakkan ianya digunakan untuk tujuan lain.</p> <p>Point no 11: Bekas racun kosong tidak boleh digunakan semula melainkan hanya dibenarkan untuk digunakan semula dengan meletakkan tanda amaran yang sesuai bagi tujuan bancuhan air racun sahaja.</p>			
<b>Classification</b>	<input checked="" type="checkbox"/> Major	<input type="checkbox"/> Minor	
<b>Raise by:</b>	Mohamad Norhisham Bin Mohd Salleh	<b>Date Raise:</b>	18/10/2019
<b>Deadline for implementation</b>		17/12/2019	
<b>Root Cause Analysis (by company):</b>			
Lack of understanding by individual in term of empty chemical container or disposal management.			
<b>Correction (by company):</b>			
Group Manager advise the smallholder by giving notification letter and annually training.			
<b>Corrective / Preventive Action (by company)</b>			

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Non Conformity Number 1	
Reminder will be given during scheduling training program for smallholder understanding of empty chemical container and disposal management.	
<b>Review of Correction &amp; Corrective / Preventive Action</b>	
Review document attachment 1a and 1b submitted that the group manager has visited and conducted Latihan Khidmat Nasihat (LKN) to smallholders regarding empty chemical containers left in the field without any sign or mark. Group manager provides evidence all the empty containers has been mark with X symbol for empty containers use for spraying operation only.	
The submitted attachment 2 of Kalendar Aktiviti Tahunan 2019 for SPOC S10 Keningau for smallholders SPOC S10 Keningau to ensure smallholders are aware on MSPO requirements. The evidence provided is sufficient to close the NC. Further verification will be conducted in the next surveillance audit.	
<b>Closed:</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>Site verification :</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>Name of Lead Auditor:</b> Ariff Bin Lokman	<b>Date of Closure:</b> 21/11/2019
<b>Review of Implementation</b>	
Latest Latihan Khidmat Nasihat (LKN) conducted on 29/09/2020 includes awareness on waste management.	
Phone interview with sampled smallholders and review on storage of used empty chemical containers confirmed they segregated, mark and reused the empty chemical containers for collecting water for chemical application in the field.	
Review on picture evidences provided by smallholders indicates the store of empty chemical containers are according to the MPOB SOP on "Pengurusan Bahan Buangan Terjadual", document no: MSPO/SPOC/SOP-03/BT dated 01/06/2020.	
Based on objective evidences provided, it is confirmed that the SPOC S10 Keningau smallholders has conduct the implementation accordingly.	
<b>Name of auditor:</b> Mohamad Norhisham Bin Mohd Salleh	<b>Date of Review:</b> 17/12/2020

Non Conformity Number 2	
<b>Indicator # and Description</b>	4.4.4.1 Independent smallholders are encouraged to seek knowledge to increase their competency in oil palm management.
<b>Location:</b>	SPOC S10 Keningau
<b>Description of Finding / Objective Evidence:</b>	
During site verification it was found out most of smallholders are not aware on complaint procedure. SPOC S10 Keningau has conducted training on 27/02/2019 and 25/07/2019. However, this indicator has been raised as OFI on last year audit (ASA02). Thus, it was elevated to minor non conformity.	
<b>Classification</b>	<input type="checkbox"/> Major <input checked="" type="checkbox"/> Minor
<b>Raise by:</b>	Ariff Bin Lokman
<b>Date Raise:</b>	18/10/2019
<b>Deadline for implementation</b>	17/11/2019

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Non Conformity Number 2	
<b>Root Cause Analysis (by company):</b>	
Lack of information given by Group Manager and misunderstanding among smallholder about complaint procedure even though most of them had been attending training.	
<b>Correction (by company):</b>	
Group Manager advise the smallholder by giving complaint form and SOP on how to raise a proper complaint.	
<b>Corrective / Preventive Action (by company)</b>	
Reminder will be given during scheduling training program for smallholder understanding of how to raise a proper complaint.	
<b>Review of Correction &amp; Corrective / Preventive Action</b>	
Group Manager has provided evidence of LKN conducted to smallholders and the training material of complaint procedure. The evidence provided in attachment 1a and 1b is sufficient to close the NC. Further verification will be conducted in the next surveillance audit.	
<b>Closed:</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>Site verification :</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>Name of Lead Auditor:</b> Ariff Bin Lokman	<b>Date of Closure:</b> 13/11/2019
<b>Review of Implementation</b>	
Review SPOC S10 Keningau training record dated 29/09/2020 include the complaint procedure. Phone interview with smallholders informed they are aware of complaint procedure. The implementation is verified and sufficient.	
<b>Name of Auditor:</b> Sheron Pui Ling Wui	<b>Date of Review:</b> 17/12/2020

### 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	4.3.2.1	Independent smallholders shall demonstrate rights to their landholdings and there is no evidence of major land disputes.	Office	SPOC S10 Keningau may consider improve the monitoring of the application status for land use conversion and PT.

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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 S10 Keningau consisting of 1,306 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:	1,306
Total certified acreage of smallholders:	6,671.31 Ha
Certified FFBs output January to December 2019:	76,086.18 Mt
Certified FFBs output January to November 2020:	63,423.45 Mt
Projected FFBs output December 2020:	9,584.14 Mt

## MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board  
Certifying Unit: SPOC S10 Keningau  
Client Number: 92-069  
Audit Type: Annual Surveillance 4  
Mode of Audit: Remote



### 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
<b>X</b>	Recommended for Continuity of Certification
	Suspended of Certification

Puchong, 31/12/2020

Name: Chan Shi Lie  
TUV NORD (Malaysia) Sdn Bhd  
Audit Team Leader

Puchong, 31/12/2020

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

## MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board  
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### 7. LIST OF STAKEHOLDERS

**Table 7-1: List of Stakeholders**

No.	Organization
	NA



## 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

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