

Name scheme: MSPO

References

- MSPO - Standard Setting and Review Procedure under the Malaysian Sustainable Palm Oil (MSPO) Certification Scheme, MSPOSSP 1/2018, 1 October 2018
- MSPO - Requirements for Certification Bodies Operating Supply Chain Certification under the Malaysian Sustainable Palm Oil (MSPO) Certification Scheme, ACB-SC/2018, 9 November 2018
- MSPO - Procedure for Notification of Certification Bodies Operating Oil Palm Management or Supply Chain Certification, NCB 1/2017, 4 April 2017
- MSPO - Dispute Resolution Procedure, DRP 1/2017, 5 January 2018
- MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme and its Implementation Arrangement, MSPOCS 1/2018, 1 June 2018 non normative!
- Standards Malaysia - ACB-OPMC 4; Stakeholder Consultation Requirements for Certification Bodies Operating Oil Palm Management Certification Under The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme
- COMBINED AUDIT CHECKLIST (MSPO AND RSPO P&C - MYN), June 2018
- MEANS OF ASSESSING COMPLIANCE for Malaysian Sustainable Palm Oil (MS2530-3) PART 3: GENERAL PRINCIPLES FOR OIL PALM PLANTATIONS AND ORGANIZED SMALLHOLDERS
- Standards Malaysia ACB – OPMCL; Issue 1, 01 August 2017 Competency Requirements for Certification Bodies Operating Oil Palm Management Certification under the Malaysian Sustainable Palm Oil (MSPO) Certification Scheme
- Standards Malaysia ACB – OPMCL; Issue 1, 01 August 2017 AUDIT DURATION FOR CERTIFICATION BODIES OPERATING
- Malaysian Sustainable Palm Oil (MSPO) Risk Management (Doc No: MPOB/MSPO/RMP/06 dated 19 Nov 2013); not available on website but mentioned in combined audit checklist RSPO - MSPO!
- Report: Forest peoples Programme, A comparison of leading palm oil standards, 2017
- Report: WWF (2018). Roundtable on Sustainable Palm Oil (RSPO) vs Malaysian Sustainable Palm Oil (MSPO). A comparison based on WWF's Certification Assessment Tool (CAT), 2018. Data RSPO from 2016, data MSPO from 2017
- MSPO - Malaysian Sustainable Palm Oil (MSPO) Part 2: General principles for independent smallholders, 2013
- MSPO, Malaysian Sustainable Palm Oil (MSPO) Part 3: General principles for oil palm plantations and organised smallholders, 2013
- MSPO, Malaysian Sustainable Palm Oil (MSPO) Part 4: General principles for palm oil mills, 2013
- SCHEME FOR THE ACCREDITATION OF CERTIFICATION BODIES (The ACB Scheme) ACB 7 Issue 6, 8 December 2015, The Conduct of Accreditation Assessments.
- ACB 7, Issue 6, 8 December 2015 THE CONDUCT OF ACCREDITATION ASSESSMENTS, Director General Department of Standards Malaysia

Scores	Interpretation
3	Strong
2	Good
1	Medium
0	Weak / non-compliant / non-existent
?	Information missing / not accessible
n.a.	Not applicable / relevant
	Yes or no : This gives <b>no indication</b> of the level of compliance: but indicates whether this element is part of the standard.

Assurance requirements

Scheme requirements

Score

Accreditation

<p>The accreditation or oversight body is independent from the scheme owner. It is responsible for decisions on the accreditation status of a certification body, including application, approval, suspension or termination.</p>	<p>* <b>MSPO - Requirements for Certification Bodies ...[...]</b>,  1.1. This document shall be used for the purpose of accreditation of a Certification Bodies (CBs) operating a supply chain certification programme under the Malaysian Sustainable Palm Oil (MSPO) Certification Scheme...[...].  1.3 Supply chain certification shall be carried out by certification bodies accredited by Standards Malaysia. Auditors must be qualified, trained and follow CBs procedures.  * <b>MSPO - Procedure for notification of certification bodies ...[...]</b>,  Scope As MPOCC is the owner of the MSPO Certification Scheme in which the certification body is providing recognised certification, the certification body shall apply to MPOCC to obtain the notification using the application form as shown in Appendix 1.  * <b>Website:</b> In addition to the Chairman, the members of the Board comprise representatives from the Ministry of Primary Industries (MPI), Malaysian Palm Oil Board (MPOB), academia, research and development institutions, non-governmental organisations, oil palm industry associations, smallholder's organisation and civil society.  * <b>Website:</b> The Department of Standards Malaysia (Standards Malaysia) is the National Standards Body and the National Accreditation Body. It is located within the Ministry of International Trade and Industry (MITI)  * <b>Forest peoples - oil palm certification standards</b>  Accreditation by MSPO Commission (not independent of MSPO).  <b>IAF ML 4:2016 Policies and Procedures for a MLA</b> Although Standards Malaysia is the national accreditation body, Standards Malaysia is subjected to peer auditing to provide confidence in the operation of their accreditation programs.  IAF ML 4:2016 Policies and Procedures for a MLA on the Level of Single Accreditation Bodies and on the Level of Regional Accreditation Groups  (Issue 8, issued on 11 May 2016; application from 11 May 2016)  (See also IAF GA Resolution 2016-24 (<a href="https://www.iaf.nu/upFiles/NewDelhiGAResolutionsFinal.pdf">https://www.iaf.nu/upFiles/NewDelhiGAResolutionsFinal.pdf</a>), which supersedes Note 2 of point 3.1.5 of this document).</p>	<p>1</p>
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<p>Accreditation of certification bodies takes place through one of the following approaches:  * Accreditation by a national accreditation body affiliated to the International Accreditation Forum (IAF) or;  * Accreditation by a full member of associate member of ISEAL or;  * Certification bodies accredited by Accreditation Services International (ASI)  * Accreditation by bodies having a bilateral agreement with the European co-operation for Accreditation (EA)  or;  * Certification bodies accredited by American National Standards Institute (ANSI)</p>	<p>* <b>MSPO - Requirements for Certification Bodies ...[...]</b>,  1.1. This document shall be used for the purpose of accreditation of a Certification Bodies (CBs) operating a supply chain certification programme under the Malaysian Sustainable Palm Oil (MSPO) Certification Scheme...[...].  1.3 Supply chain certification shall be carried out by certification bodies accredited by Standards Malaysia. Auditors must be qualified, trained and follow CBs procedures.  * <b>Website:</b> The Department of Standards Malaysia (Standards Malaysia) is the National Standards Body and the National Accreditation Body. It is located within the Ministry of International Trade and Industry (MITI)  * <b>MEMBERSHIP IN INTERNATIONAL STANDARDISATION BODIES</b>  At the international level, Standards Malaysia is a member of the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC). Malaysia, through Standards Malaysia has been elected as a member of ISO Council for the term 2007-2008 and recently re-elected for the term 2010-2011. With the trust given by the ISO member countries, Standards Malaysia now sits on the highest policy committee in the ISO.  * <b>MSPO - Procedure for Notification of Certification Bodies</b>,  The certification body applying for notification for operating supply chain certification under the MSPO Certification Scheme from MPOCC shall:  - for certification body within Malaysia, have a valid accreditation certificate issued by the Department of Standards Malaysia ("Standards Malaysia"), Malaysia's national accreditation body that is also signatory of the Multilateral Recognition Arrangement (MLA) for product certification of the International Accreditation Forum (IAF);  - for certification body outside Malaysia, have a valid accreditation certificate issued by accreditation bodies that are signatories of the Multilateral Recognition Arrangement (MLA) for product certification of IAF or IAF's Regional Accreditation Groups such as European co-operation for Accreditation (EA), Interamerican Accreditation Cooperation (IAAC), Pacific Accreditation Cooperation (PAC) and Southern African Development Community in Accreditation (SADCA);  The accreditation certificate shall be issued against the ISO/IEC 17065:2012 (Conformity assessment – Requirements for Bodies Certifying Products, Processes and Services) and the scope of the accreditation shall explicitly include the MSPO Supply Chain Certification standard.</p>	<p>3</p>
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<p>The accreditation organization monitors, conducts review and/or surveillance of accredited certification bodies.</p>	<p>* <b>WWF report:</b> The MSPO standard does not require that the accreditation organisation conduct risk based auditing and surveillance of accredited certification bodies, whereas RSPO does.  <b>SCHEME FOR THE ACCREDITATION OF CERTIFICATION BODIES (The ACB Scheme) ACB 7 Issue 6, 8 December 2015, The Conduct of Accreditation Assessments</b>,  7 MAINTAINING ACCREDITATION  7.1 Administrative support by Accreditation Officer  7.1.2 Upon accreditation, each CB is appointed an Accreditation Officer in charge of coordinating and monitoring their accreditation. The Accreditation Officer's shall assist in the following:  7.2 Surveillance and Re-assessment  7.2.1 The purpose of periodic surveillance and reassessment is to determine whether a CB is continuing to comply with the accreditation criteria. The general approach described in the previous paragraphs should be followed for the conduct of surveillance or reassessment.</p>	<p>3</p>
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Independency of audit

<p>The audits or verifications are carried out by an external third party (not the economic operator). This means that the auditor or verifier is free from conflict of interest, independent of the activity being audited and independent in providing, suspending or withdrawing certificates.</p>	<p>* <b>MSPO - Requirements for Certification Bodies ...[...]</b>,  2.2 Certification Bodies shall ensure that the auditors demonstrate ability to apply knowledge in the following areas as per ISO 19011 Guidelines for Auditing Management Systems...[...].  * <b>EN ISO 19011:2018: Guidelines for auditing management systems</b>  3.1 Definition audit: Systematic, independent and documented process for obtaining objective evidence  * <b>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme - Certification Body</b>  3.5 Oil palm management certification and supply chain certification under the MSPO Certification Scheme shall be carried out by impartial, competent and independent third parties (CBs) accredited by Standards Malaysia that cannot be involved in consultancy, or in the standard setting process as governing or decision making bodies, or in oil palm management, and are independent of the certified entity or entity to be certified [i.e. oil palm plantations, organised smallholdings, independent smallholdings, palm oil mills and processing facilities]  7.9 The decision on certification shall be made by a representative of the CB who did not participate in the audit. The decision shall be based on the written audit report.  7.11 The CB shall inform MPOCC about all the certificates that it has issued, and changes concerning the validity and scope of these certificates.</p>	<p>3</p>
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**Selection of and requirements to certification bodies**

<p>"The certification bodies to undertake audits on behalf of the scheme and the procedure to select or exclude certification bodies shall be described by the scheme owner</p>	<p>* <u>MSPO - Procedure for Notification of Certification Bodies ...[...]</u>  <b>2. Scope</b>                  This procedure covers the notification by MPOCC of certification bodies providing certification against the requirements of the MSPO Oil Palm Management Certification standards or Supply Chain Certification standard or subsequent editions of these standards. As MPOCC is the owner of the MSPO Certification Scheme in which the certification body is providing recognised certification, the certification body shall apply to MPOCC to obtain the notification ...[...].  <b>3. Conditions for MPOCC Notification</b>                  The certification body applying for notification for operating oil palm management certification under the MSPO Certification Scheme from MPOCC shall...[...].  <b>4. MPOCC Notification Issuance Procedures</b>  <b>6. Validity of MPOCC Notification</b>                  ...[...]. The MPOCC notification shall be valid for the period of the validity of the certification body's accreditation.                  The notification can be suspended by MPOCC if the certification body is suspected of violations of the MPOCC Notification Agreement (see conditions in Appendix II and Appendix III). If, after investigation, the suspicion is proven to be founded, the notification can be cancelled by MPOCC.</p>	<p>3</p>
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<p>The scheme owner requires certification bodies to be compliant with ISO/IEC 17065, ISO/IEC 17021, ISO/IEC 17020 or equivalent</p>	<p>* <u>MSPO - Requirements for Certification Bodies ...[...]</u>  <b>2. GENERAL REQUIREMENTS FOR CERTIFICATION BODIES</b>                  2.1 Certification Bodies shall be accredited by Standards Malaysia against ISO/IEC 17065 for Type 6 based on ISO/IEC 17067, Supply Chain Product certification. The CBs shall show proof that it has:                  i) Accredited to MS 2530-4                  ii) Certified a client to both MS 2530-4 and MSPO Supply Chain Certification Standard                  * <u>MSPO - Procedure for Notification of Certification Bodies ...[...]</u>                  The certification body applying for notification for <u>operating oil palm management certification</u> under the MSPO Certification Scheme from MPOCC shall...[...].be issued against the MS ISO/IEC 17021:2015 (Conformity assessment – Requirements for bodies providing audit and certification of management systems) and the scope of the accreditation shall explicitly include the MSPO Oil Palm Management Certification standards.                  The certification body applying for notification for <u>operating supply chain certification</u> under the MSPO Certification Scheme from MPOCC shall...[...]. The accreditation certificate shall be issued against the ISO/IEC 17065:2012 (Conformity assessment – Requirements for Bodies Certifying Products, Processes and Services) and the scope of the accreditation shall explicitly include the MSPO Supply Chain Certification standard.                  * <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme</u>  <b>8.2</b> The CB carrying out oil palm management certification shall be accredited based on MS ISO/IEC 17021:2015 and shall be covered by the accreditation scope, which specifies the standard(s) used in the MSPO Certification Scheme.  <b>8.3</b> The CB carrying out supply chain certification shall be accredited based on ISO/IEC 17065:2012 and shall be covered by the accreditation scope, which specifies the standard used in the MSPO Certification Scheme.</p>	<p>3</p>
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<p>There are quality requirements (competences) for auditors documented by the scheme.</p>	<p>* <u>MSPO - Requirements for Certification Bodies ...[...]</u>  <b>1.1</b> This document shall be used for the purpose of accreditation of a Certification Bodies (CBs) operating a supply chain certification programme under the Malaysian Sustainable Palm Oil (MSPO) Certification Scheme. ...[...].  <b>1.2</b> Auditors for supply chain certification are required to have the relevant knowledge, experience and skills to participate as an audit team member.  <b>1.3</b> Supply chain certification shall be carried out by certification bodies accredited by Standards Malaysia. Auditors must be qualified, trained and follow CBs procedures.                  * <b>2.2</b> Certification Bodies shall ensure that the auditors demonstrate ability to apply knowledge in the following areas as per ISO 19011 Guidelines for Auditing Management Systems.                  i. Audit principles, procedures and techniques ...[...].                  ii. Organisation's operational context or situations including organizational size...[...].                  iii. Applicable international legislation, country and state specific governance ...[...].                  * <b>2.3</b> Auditors engaged by certification body should have the capacity to apply terminology, knowledge, understanding and skills in the following areas of the Malaysian Sustainable Palm Oil (MSPO) Supply Chain Certification Standard (SCCs) and other equivalent standard but not limited to:                  i. Requirements of the MSPO SCCS and its related requirements under the Malaysian Sustainable Palm Oil (MSPO) ...[...].                  ii. Products, processes and practices in the specific sector, applied raw material flow, measurements and control measures                  iii. Application of management systems ...[...].  <b>3. ACADEMIC QUALIFICATION, WORK EXPERIENCE, TRAINING AND AUDITING EXPERIENCE REQUIREMENT FOR AUDITORS</b>                  * <u>Standards Malaysia ACB – OPMCI</u>  <b>2.1</b> The Audit Team shall comprise of at least one or more members competent in the areas of oil palm management certification, viz. agriculture, agronomy, technical, legal, environmental, social, Greenhouse gas emission and economics (where applicable).                  * <u>Forest peoples - palm oil certification standards</u>                  MSPO audit teams should consist of auditors who understand licensing requirements, palm oil plantations, good management practices, occupational health and safety sys terms, have an awareness of environmental, social and economic issues. They will carry out an annual surveillance audit each year which is peer reviewed.</p>	<p>3</p>
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**Standard requirements and compliance levels of standard**

<p>The certification standards of the voluntary scheme are revised at least every five years.</p>	<p>* <u>MSPO - Standard Setting and Review Procedure (2018)</u>  <b>7.1 IMPROVEMENT</b>                  The standards shall be reviewed and revised at least five years from its effective date. The standards are monitored and evaluated to ensure it contributes to the objectives of MSPO. This allows the MPOCC to incorporate learning from stakeholders' feedback. Performance levels will be adjusted over time to reflect the results of monitoring and evaluation activities, learning about sustainability and good agricultural/manufacturing practices.  <b>9.1 ASSESS NEEDS FOR NEW STANDARD(S) OR REVIEW/REVISION OF EXISTING STANDARD(S)</b>                  9.1.1 Standards are reviewed at least every five years to ensure continued relevance and effectiveness in meeting their stated sustainability objectives. A review may result in the standard being: confirmed, revised, amended, or withdrawn. The outcome of the review is implemented in a timely manner.                  * <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme</u>  <b>5.5</b> The certification standards shall be periodically reviewed in light of new knowledge and practical experience in order to ensure continuous improvement. The standards shall be reviewed at intervals that do not exceed a five-year period.</p>	<p>3</p>
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<p>The certification standard clearly distinguishes mandatory requirements from recommendations and guidance.</p>	<p>* <u>MSPO - Standard Setting and Review Procedure (2018)</u>  <b>7.3 REQUIRE</b>                  The requirements of the standards are based on performance that is likely to achieve the sustainability outcomes of the MSPO standards that results in measurable progress towards the MSPO scheme's sustainability objectives. The standards are based on impact (i.e. the issue that the stakeholders intends to minimize), principle (i.e. the guiding principle for addressing the impact), criteria (i.e. the areas to be focused on to address the impact), indicator (i.e. the measurement determining the extent of the impact) and requirement (i.e. the performance level that must be reached to determine if the desired impact is achieved).  <u>MSPO Part 03 - General principles for oil palm plantations &amp; organised smallholders</u>                  The standard distinguishes principles, criteria and indicators</p>	<p>3</p>
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<p>Requirements for compliance to achieve certification                  The sustainability criteria need to be fully complied with (100%) over a defined timeline. A certain flexibility is possible for economic operators with small scale, low intensity and/or low risk.</p>	<p>* <u>MEANS OF ASSESSING COMPLIANCE - PART 3: GENERAL PRINCIPLES FOR OIL PALM PLANTATIONS AND ORGANIZED SMALLHOLDERS</u>                  This document divides the indicators to major and minor.                  The means of assessing compliance includes guidelines elaborating the indicators and verifiers/objective evidence to guide the organization implementing MSPO standard and accredited certification bodies conducting compliance audits. The verifiers / objective evidence further listed into documentation (D), communication (C), site inspection (SI), or a combination of these. This document is a supporting document prepared to assist auditors in assessing compliance of each requirement in the MS2530-3                  There is a mandatory timeline for realizing certification: Certified entities (e.g. RSPO) have to obtain certification by 31 December 2018; oil palm entities without any certification will have to obtain MSPO certification by 30 June 2019; All independent and organized smallholders have to obtain MSPO certification by 31 December 2019. See: <a href="https://www.mpoc.org.my/mspo-mandatory-timeline">https://www.mpoc.org.my/mspo-mandatory-timeline</a></p>	<p>3</p>
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The scheme has a progressive entry level (this means 100% compliance with the criteria is not required from the start but should be reached over time)	There is a mandatory timeline for realizing certification: Certified entities (e.g. RSPO) have to obtain certification by 31 December 2018; oil palm entities without any certification will have to obtain MSPO certification by 30 June 2019; All independent and organized smallholders have to obtain MSPO certification by 31 December 2019. See: <a href="https://www.mpocc.org.my/mspo-mandatory-timeline">https://www.mpocc.org.my/mspo-mandatory-timeline</a>	YES (timeline for realizing certification)
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In case of a progressive entry level, the scheme owner has set clear requirements on how to increase the percentage of compliance over time.	No. There is a legal requirement. There is no further information on HOW the percentage of compliance should be realized in time.	0
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**Scope of certification at farm producer level**

External audits take place on a producer unit level (farm level). The audit scope is the full production unit. The producer level is the first point of certification in the chain of custody.	<p>* <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme - Applicants for Certification</u></p> <p>3.13. For oil palm management certification, the applicants shall be the managers of oil palm plantations and estates, organised smallholders and Sustainable Palm Oil Clusters (SPOCs), which are referred to as management units.</p> <p>3.14. The managers of the management units shall comply with the certification requirements and are also responsible for ensuring that the activities and operations of the contractors employed in the management units meet the certification criteria.</p> <p><b>5. Certification Standards</b></p> <p>5.1. For independent oil palm smallholders, the standard used is the Malaysian Sustainable Palm Oil (MSPO) Part 2: General principles for independent smallholders (MS 2530-2: 2013) or its replacement.</p> <p>5.2. For oil palm plantations and organised smallholders, the standard used is the Malaysian Sustainable Palm Oil (MSPO) Part 3: General principles for oil palm plantations and organised smallholders (MS 2530-3: 2013), or its replacement.</p> <p>5.3. For palm oil mills, the standard used is the Malaysian Sustainable Palm Oil (MSPO) Part 4: General principles for palm oil mills (MS 2530-4: 2013), or its replacement.</p>	3
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Partial certification of the farm area is not possible. Producers are required to certify their whole unit of certification, which shall include owned land, leased and rented land.	There is a mandatory timeline for realizing certification: Certified entities (e.g. RSPO) have to obtain certification by 31 December 2018; oil palm entities without any certification will have to obtain MSPO certification by 30 June 2019; All independent and organized smallholders have to obtain MSPO certification by 31 December 2019. See: <a href="https://www.mpocc.org.my/mspo-mandatory-timeline">https://www.mpocc.org.my/mspo-mandatory-timeline</a>	2 (on national level, due to legal timeline)
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Organisations are required to certify all (eligible) units under their control in accordance with a time-bound plan. This means that all subsidiaries of a parent company required to become certified (in time) against the P&C requirements.	<p>* <b>COMBINED AUDIT CHECKLIST</b></p> <p>N/A. Risk is lower once all plantations in Malaysia becomes certified as per the mandate set by the government</p> <p>* <b>WWF report (2016)</b>. The MSPO standard does not require its members to certify all eligible units under their control in accordance with a time-bound plan</p>	2 (on national level, due to legal timeline)
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Outsourcing of activities: The activities of third parties as outsourced activities fall in the scope of certification, and they shall fully comply with the relevant requirements of the standard.	<p>* <b>COMBINED AUDIT CHECKLIST (MSPO AND RSPO P&amp;C - MYNI), June 2018</b></p> <p>7.5 The applied certification and auditing procedures shall fulfil the requirements defined in the following documents:</p> <p>• MS ISO/IEC 17021-1:2015 (for oil palm management certification)</p> <p>ISO 17021-1 only discusses outsourcing at certificate holder level only during the application process. Therefore no requirement whether outsourcing activities is needed to be covered under the scope or not.</p> <p>9.1.1 c) identification of outsourced processes used by the organization that will affect conformity to requirements;</p> <p>* <b>MS250-3: PART 3: GENERAL PRINCIPLES FOR OIL PALM PLANTATIONS AND ORGANIZED SMALLHOLDERS</b></p> <p>4.6.4 Contractors</p> <p>4.6.4.1 Where contractors are engaged, they shall understand the MSPO requirements and shall provide the required documentation and information (Major)</p> <p>4.6.4.2 The management shall provide evidence of agreed contracts with the contractor (Major)</p> <p>4.6.4.3 The management shall accept MSPO approved auditors to verify assessments through a physical inspection if required (Minor)</p> <p>- Evidence of contractor agreed to be assessed by MSPO approved auditors to verify assessments through a physical inspection if required Ensure that Contractor is auditable.</p> <p>- The auditor may access and visit contractor premises (if applicable)</p> <p>4.6.4.4 The management shall be responsible for the observance of the control points applicable to the tasks performed by the contractor, by checking and signing the assessment of the contractor for each task and season contracted (Major).</p> <p>For MSPO SCCS, this is covered under 9 Outsourced Activities.</p> <p>* <b>The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme and Its Implementation Arrangement</b></p> <p>7.2 For oil palm management certification, three categories of audit findings will be used. The audit findings are categorised into the following as per ISO/IEC 17021:</p> <p>i) Major corrective action request / non-compliance: (i) Non-conformity that affects the capability of the management system to achieve the intended results; To be addressed with corrective action not exceeding a time frame of 3 months and verified by CB within 2 weeks</p> <p>ii) Minor corrective action request / non-compliance: Non-conformity that does not affect the capability of the management system to achieve the intended results; Corrective action plan to be submitted to CB and to be verified in the next surveillance audit.</p> <p>iii) Observation: Opportunity for improvement: For supply chain certification, two general categories 'corrective action request / non-compliance' and observation will be used.</p>	1
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**Complaints mechanism**

Certification bodies have formal and transparent, publicly available procedures in place for handling disputes and complaints related to certification and surveillance.	<p>* <b>MSPO - Dispute Resolution Procedure</b></p> <p><b>2. Scope</b></p> <p>...[...]. 2.4 Disputes relating to the decisions and activities of a certified entity, an accredited CB or an AB shall be dealt with by the dispute resolution procedures of the relevant accredited CB, AB, or by the International Accreditation Forum (IAF), respectively.</p> <p>ISO 17065: <a href="https://www.iso.org/obp/ui/#iso:std:iso-iec:17065:ed-1:v1:en">https://www.iso.org/obp/ui/#iso:std:iso-iec:17065:ed-1:v1:en</a></p> <p>7.13 on Appeals and complaints</p> <p>* <b>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme</b></p> <p>8.2 The CB carrying out oil palm management certification shall be accredited based on MS ISO/IEC 17021:2015 and shall be covered by the accreditation scope, which specifies the standard(s) used in the MSPO Certification Scheme.</p> <p>8.3 The CB carrying out supply chain certification shall be accredited based on ISO/IEC 17065:2012 and shall be covered by the accreditation scope, which specifies the standard used in the MSPO Certification Scheme.</p> <p>* <b>Feedback MSPO</b>. In ISO 17021, 9.8.1.1 states that the certification body shall determine, together with certified client and the complainant, whether and if so to what extent, the subject of the complaint and its resolution shall be made public</p>	0
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<p>The scheme owner has formal and transparent, publicly available procedures in place for handling disputes and complaints related to conflicts resulting from the relationship between a certification body and the organization or entity to be certified.</p>	<p>* <u>MSPO - Dispute Resolution Procedure</u>  <u>2. Scope</u>  2.1 The types of disputes that can be submitted to the MPOCC include:  i. disputes involving MPOCC as a result of decisions and/or activities of the MPOCC as the Scheme Owner which has overall responsibility for the implementation of the MSPO Certification Scheme; and  ii. disputes not involving MPOCC.  2.2 The disputes involving MPOCC would be activities related to the notification of the accredited certification bodies (CBs) and the issuance of logo usage licences for the MSPO logo to the holders of certificates issued by these CBs, and MPOCC's role in supporting and coordinating the standard-setting and review processes.  2.3 In addition, such disputes may involve other aspects of the MSPO Certification Scheme which do not come under the purview of the accredited CB or the accreditation body (AB), and thus may need to be referred to MPOCC for a resolution.  2.4 Disputes relating to the decisions and activities of a certified entity, an accredited CB or an AB shall be dealt with by the dispute resolution procedures of the relevant accredited CB, AB, or by the International Accreditation Forum (IAF), respectively.  <u>3. Dispute Resolution Committee (DRC)</u>  3.1 The DRC is the independent committee established by the Board of Trustees of the MPOCC to consider and resolve the types of disputes mentioned in these Procedures. The management of the MPOCC shall serve as the Secretariat for the DRC.  <u>5. Disputes Not Involving MPOCC</u>  ...[...].5.5.6 The DRC shall issue a statement of its decision within 20 working days of its decision to hear the dispute. The DRC shall inform the complainant, MPOCC and other responding parties about the outcome of the dispute resolution process, including recommendations or remedial actions, in writing.  * <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme</u>  11.3 The disputes involving MPOCC would be activities related to the notification of the accredited CBs and the issuance of the logo usage licenses for the MSPO Logo to the holders of certificates issued by the CBs, and MPOCC's role in supporting and coordinating the standard setting process.  11.4 In addition, such disputes may involve other aspects of the MSPO Certification Scheme which do not come under the purview of the accredited CB or the AB, and thus may need to be referred to MPOCC for a resolution.  11.5 Disputes relating to the decisions and activities of a certified entity, an accredited CB or an AB shall be dealt with by the dispute resolution procedures of the relevant accredited CB, AB, or by the IAF, respectively.  * <u>COMBINED AUDIT CHECKLIST RSP0 - MSPO</u>  In addition to the requirements as stated in Clause 9 of MS ISO/IEC 17021, the Certification Body shall notify the Scheme Owner of any complaints received. The Certification Body shall update the status of all the complaints to the Scheme Owner within six (6) months from the date of the complaints are received. Unresolved complaints will be handled by an Arbitration Committee (AC) set up by the Scheme Owner.  * <u>Report WWF (2018)</u> MSPO has clear time bound procedures in place to handle complaints against certification bodies, but not none were provided for MPOB or MPOCC  * <u>Report WWF (2018)</u> The MSPO standard does not provide a clear timeline for the handling of complaints in its "Procedures for Handling of Appeals and Complaints" document found in the MPOB; a timeline of 14 days was required of complainees to respond to the Investigating Officer with regards to "giving comments on the complaint and detailing the actions the organisation proposes or has taken to investigate and resolve the matter".</p>	<p>2</p>
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**Auditing (frequency) and risk assessment**

<p>There is a documented assessment methodology for certification bodies on how to assess compliance with the standards of the voluntary scheme</p>	<p>* <u>MSPO - Standard Setting and Review Procedure (2018)</u>  <u>5. AUDIT DURATION</u>  5.2 The recommended on-site audit duration for individual certification which includes the opening meeting, site auditing, document verification and closing meeting is shown in Table 2. The details in Table 2 excludes the time required for planning, preparation, travel, closing out of non-conformities and report writing...[...].  * <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme - 7. Certification Procedures</u>  7.1 For oil palm management certification, the manager of a management unit will need to apply to an accredited CB for the CB to conduct an audit on the management unit to ascertain its compliance with the requirements of the certification standard. The written audit report (for initial (stage 2) audit or recertification audit) will be subjected to comments by the applicant and a peer review process. ...[...]. If no major non-compliances are issued by the CB, the management unit will be eligible for the award of the certificate for compliance with the respective standard or in the case of a recertification audit, the renewal of the certificate.  7.4 The CB shall have established internal procedures for auditing and certification against the standards used in the MSPO Certification Scheme. It should also make publicly accessible, or provide upon request, information describing the auditing and certification processes for granting, maintaining, extending, renewing, reducing, suspending or withdrawing certification.  * <u>Standards Malaysia ACB - OPMC 2</u>  2.1 The audit duration identified in this document are appropriate to the oil palm management, accessibility and number of audit locations within the management unit. The audit duration is also influenced by the different activities, their complexity and frequency/occurrence within a stipulated time period.  * <u>COMBINED AUDIT CHECKLIST</u>  2.5 The applied certification and auditing procedures shall fulfil the requirements defined in the following documents:  * <u>MS ISO/IEC 17021:2015 (for oil palm management certification)</u>  Additional reference Section 9.4.2 of ISO/IEC 17021:2015</p>	<p>3</p>
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<p>As a general rule, a voluntary scheme should ensure that economic operators are audited before allowing them to participate in the scheme. Producer members (if applicable) should commit to the standard's P&amp;C</p>	<p>* <u>MSPO - Standard Setting and Review Procedure (2018)</u>  <u>5. AUDIT DURATION</u>  5.1 The Audit Programme shall include an initial audit, surveillance audits in the first, second, third and fourth years and a recertification audit in the fifth year prior to expiration of certification. The annual surveillance audit shall be conducted on-site and shall cover all MSPO Supply Chain Certification Standard and MPOCC scheme requirements.  * <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme - Appendix 1 (MSPO certification process flowchart)</u>  (1) Organization takes the following actions: Prepare standard operating procedure, conduct training, conduct internal audit, conduct management review of internal audit findings, (2) when ready for main audit: Organizations contracts CB and sets date for main audit, (3) CB conducts stage 1 audit and - when ready - stage 2 audit six months after stage 1, (4) when no major corrective action requests, CB prepares the draft audit report for peer review, (5) CB makes draft report available to organization for comments, (6) Final audit report, (7) CB certification committee agrees and CB awards organization with certificate.  <u>Forest people - palm oil certification standards</u>  Principle 6, Criterion 4 - Contractor, Indicator 3 - The management shall accept MSPO approved auditors to verify assessments through a physical inspection if required.</p>	<p>3</p>
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<p>Certification bodies are required to conduct annual or more frequent surveillance audits of certificate holders.</p>	<p>* <u>MSPO - Standard Setting and Review Procedure (2018)</u>  <u>5. AUDIT DURATION</u>  5.1 The Audit Programme shall include an initial audit, surveillance audits in the first, second, third and fourth years and a recertification audit in the fifth year prior to expiration of certification. The annual surveillance audit shall be conducted on-site and shall cover all MSPO Supply Chain Certification Standard and MPOCC scheme requirements.  * <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme</u>  7.13 For oil palm management certification and supply chain certification, the maximum period for the surveillance audit is one year and for the recertification audit is five (5) years.</p>	<p>3</p>
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<p>The audit is based in part on a risk assessment of the client. Certification bodies are required to adjust the intensity of auditing and surveillance to match observations in the field.</p>	<p>* <u>MSPO - Standard Setting and Review Procedure (2018)</u>  <u>Table 2: Recommended on-site durations (man-days) for Individual Certification</u>  Initial Audit: 1 day, Surveillance Audit: 1 day, Recertification Audit: 1 day  5.2 ...[...]. Additional man days may be required as per CB internal operating procedures on documentation review or conducting post audit follow up activities such as verification on non-compliances raised.  * <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme</u>  5.4 The formula for calculating sample size of the audit is explained in the risk classification determination as per Risk Management document (dated 19 November 2013) which is also mentioned in the ACB-OPMC 2 'Audit Duration for Certification Bodies Operating Oil Palm Management Certification under the MSPO Certification Scheme'.  * <u>ACB-OPMC 2 Audit Duration for Certification Bodies</u>  3.2 The recommended minimum on-site audit duration for individual and group certification respectively, which includes the opening meeting, site auditing, document verification, and closing meeting is shown in Table 1 and Table 2. Additional auditor days may be required for conducting post audit follow-up activities, such as verification on major non-conformities raised or addressing of any contentious stakeholder issues  3.3 The Certification Body shall define the risk classification of the client which will determine the audit duration and sample size (if applicable - for multi-site certification). For requirements on risk classification, the CB shall refer to the risk classification determination as per Malaysian Sustainable Palm Oil (MSPO) Risk Management (Doc No: MPOB/MSPO/RMP/06 dated 19 Nov 2013).  3.5 The Certification Body shall classify the certifiable entity under one of the three risk categories as follows...Low risk, medium risk, high risk...</p>	<p>3</p>
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The scheme owner requires economic operators (and/or its members) to allow, and entitles certification bodies to conduct unannounced audits	* <u>WWF report (2018)</u> : MSPO includes a scheme document by MPOB which requires all certificate holders to agree to unannounced on-site audits by recognised Certification Bodies, granting auditors unrestricted access to its land/premises. However, the document does not explicitly require such audits to be performed, rather, allowing for them when deemed necessary	2
Certificates are valid for no more than five years after which a new full certification audit is required.	* <u>MSPO - Standard Setting and Review Procedure (2018)</u> <b>5. AUDIT DURATION</b> 5.1 The Audit Programme shall include an initial audit, surveillance audits in the first, second, third and fourth years and a recertification audit in the fifth year prior to expiration of certification. The annual surveillance audit shall be conducted on-site and shall cover all MSPO Supply Chain Certification Standard and MPOCC scheme requirements. * <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme</u> 7.13 For oil palm management certification and supply chain certification, the maximum period for the surveillance audit is one year and for the recertification audit is five (5) years. * <u>ACB – OPMC 2 -3. AUDIT DURATION</u> 3.1 The time allocated to the various locations of a complex audit must be documented to justify the allocated audit duration. The Audit Programme shall include Stage 1 and Stage 2 audit, surveillance audits in the first, second, third and fourth years, and a recertification audit in the fifth year prior to expiration of certification.	3

**Stakeholder consultation**

Certification bodies are required to proactively consult with affected stakeholders during both certification and surveillance audits.	* <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme</u> 7.5 The audit carried out by the accredited CB will involve a document review, communication or consultation with stakeholders (where necessary) and a visit to the field or site. The stakeholder consultation process is defined in the MPOCC scheme document. 7.8 The audit evidence to determine the conformity with the certification standards shall include relevant information from external parties (e.g. government agencies, community groups, environmental and social non-governmental organisations, etc.) as appropriate. <u>DEPARTMENT OF STANDARDS MALAYSIA SCHEME FOR THE ACCREDITATION OF CERTIFICATION BODIES (The ACB Scheme)</u> * <u>ACB – OPMC 4. Issue 1, 01 August 2017</u> : Stakeholder Consultation Requirements for Certification Bodies Operating Oil Palm Management Certification 3.2 The CB shall consult with relevant stakeholder groups which can provide related information as to an applicant's compliance with the environmental, social and economic requirements of the MSPO certification standards for oil palm management under the MSPO Certification Scheme...[...]. 4.6 The CB shall take necessary step to inform the stakeholder groups identified in para 4.3 above on the following at least 30 days before the start date of the field audit:...[...]. <b>5. CONSULTATION DURING AUDIT</b> 5.1 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. * <u>Forest peoples - palm oil certification standards</u> MSPO also has stakeholder consultation but like ISPO this is only during the certification process, following the Stage 1 of the audit process. It is a one-off consultation, although stakeholders are notified 30 days prior to the field visit, there are seven further stages of the audit process that occur before certification. All certified premises are subject to one annual surveillance audit, these do not require public consultation only in case of minor or major non-conformities raised by stakeholders.	2
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**Non-conformities and sanctions**

The scheme owner has a procedure in place which describes how certification bodies are required to address non-conformities, including when a certificate or license is suspended or revoked. The scheme should describe what the implications are for any non-conformities identified during the audit.	* <u>MSPO - Standard Setting and Review Procedure (2018)</u> <b>5. AUDIT DURATION</b> 5.2 The recommended on-site audit duration for individual certification which includes the opening meeting, site auditing, document verification and closing meeting is shown in Table 2. The details in Table 2 excludes the time required for planning, preparation, travel, closing out of non-conformities and report writing. The details in Table 2 are developed to provide sufficient time under normal circumstances to adequately carry out auditing of an operating unit against the certification standard for supply chain under the MSPO Certification Scheme. The audit duration is calculated based on 8 hours per day. Audit working days will be calculated to the nearest full or half day....[...]. Additional man days may be required as per CB internal operating procedures on documentation review or conducting post audit follow up activities such as verification on non-compliances raised. * <u>COMBINED AUDIT CHECKLIST</u> 7.5 The applied certification and auditing procedures shall fulfil the requirements defined in the following documents: * <u>MS ISO/IEC 17021:2015</u> (for oil palm management certification) <b>9.4.9</b> cause analysis of nonconformities The certification body shall require the client to analyse the cause and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time. <b>9.4.10</b> Effectiveness of corrections and corrective actions: The certification body shall review the corrections, identified causes and corrective actions submitted by the client to determine if these are acceptable. The certification body shall verify the effectiveness of any correction and corrective actions taken. The evidence obtained to support the resolution of nonconformities shall be recorded. The client shall be informed of the result of the review and verification. The client shall be informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future audits) will be needed to verify effective correction and corrective actions. NOTE Verification of effectiveness of correction and corrective action can be carried out based on a review of documented information provided by the client, or where necessary, through verification on-site. Usually this activity is done by a member of the audit team. <b>9.5.3.2</b> If the certification body is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, the certification body shall conduct another stage 2 prior to recommending certification. <u>ISO/IEC 17021-1:2015</u> 9.5.2 Actions prior to making a decision The certification body shall have a process to conduct an effective review prior to making a decision for granting certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification, including that: [...]. * <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme - Appendix 1 (procedure)</u> Major Corrective Yes Action Request (CAR) raised? >> CB issues CAR Form to Organisation >> Organisation takes corrective action to address Major CAR within agreed time frame not exceeding 3 months >> Organisation informs CB on corrective action taken to address Major CAR >> CB conducts verification on corrective action taken to address Major CAR within 2 weeks >> Major CAR closed out? if yes: CB prepares Draft Audit Report (within 1 month after completion of Stage 2 or 2 weeks after successful verification on corrective action taken to address Major CAR). If no: Organisation takes corrective action to address Major CAR within agreed time frame not exceeding 3 months.	1
Certificate holders are required to rectify non-compliances identified during certification and surveillance audits within a set timeframe that does not exceed one year.	* <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme</u> 7.2 For oil palm management certification, three categories of audit findings will be used. The audit findings are categorised into the following as per ISO/IEC 17021: i) Major corrective action request / non-compliance: Non-conformity that affects the capability of the management system to achieve the intended results: To be addressed with corrective action not exceeding a time frame of 3 months and verified by CB within 2 weeks ii) Minor corrective action request / non-compliance: Non-conformity that does not affect the capability of the management system to achieve the intended results: Corrective action plan to be submitted to CB and to be verified in the next surveillance audit. iii) Observation: Opportunity for improvement	3

Severe (major) non-compliances that are not rectified in time lead to suspension or termination of the certificate	<p>* <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme</u></p> <p>7.2 For oil palm management certification, three categories of audit findings will be used. The audit findings are categorised into the following as per ISO/IEC 17021:</p> <p>i) Major corrective action request / non-compliance: Non-conformity that affects the capability of the management system to achieve the intended results: To be addressed with corrective action not exceeding a time frame of 3 months and verified by CB within 2 weeks. [...].</p> <p>* <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme - Appendix 1 (procedure - non normative)</u></p> <p>After Audit 2: Major Corrective Yes Action Request (CAR) raised? &gt;&gt; CB issues CAR Form to Organisation &gt;&gt; Organisation takes corrective action to address Major CAR within agreed time frame not exceeding 3 months &gt;&gt; Organisation informs CB on corrective action taken to address Major CAR &gt;&gt; CB conducts verification on corrective action taken to address Major CAR within 2 weeks &gt;&gt; Major CAR closed out? If yes: CB prepares Draft Audit Report (within 1 month after completion of Stage 2 or 2 weeks after successful verification on corrective action taken to address Major CAR). If no: Organisation takes corrective action to address Major CAR within agreed time frame not exceeding 3 months..</p> <p>* <u>COMBINED AUDIT CHECKLIST</u></p> <p><u>ISO/IEC 17021-1:2015</u></p> <p>...[...].9.6.5.2 The certification body shall suspend certification in cases when, for example:</p> <ul style="list-style-type: none"> <li>- the client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system;</li> <li>- the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies;</li> <li>- the certified client has voluntarily requested a suspension.</li> </ul> <p>9.6.5.3 Under suspension, the client's management system certification is temporarily invalid.</p> <p>9.6.5.4 The certification body shall restore the suspended certification if the issue that has resulted in the suspension has been resolved. Failure to resolve the issues that have resulted in the suspension in a time established by the certification body shall result in withdrawal or reduction of the scope of certification. NOTE In most cases, the suspension would not exceed six months.</p> <p>9.6.5.5 The certification body shall reduce the scope of certification to exclude the parts not meeting the requirements, when the certified client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification. Any such reduction shall be in line with the requirements of the standard used for certification..</p>	0
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Adequate sanctions are applied in situations where less severe (minor) non-compliances are not rectified in time.	<p>* <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme</u></p> <p>7.2 For oil palm management certification, three categories of audit findings will be used. The audit findings are categorised into the following as per ISO/IEC 17021: [...].</p> <p>ii) Minor corrective action request / non-compliance: Non-conformity that does not affect the capability of the management system to achieve the intended results: Corrective action plan to be submitted to CB and to be verified in the next surveillance audit. [...].</p> <p><u>DEPARTMENT OF STANDARDS MALAYSIA SCHEME FOR THE ACCREDITATION OF CERTIFICATION BODIES</u></p> <p>Nonconformity: The absence of, or the failure to implement and maintain, one or more requirements of the Standards Malaysia Accreditation Criteria, or a situation which would, on the basis of available objective evidence raise significant doubt as to the credibility of the certificates issued by the applicant body.</p> <p>a) Major nonconformity - <u>may be an individual nonconformity or a number of minor but related nonconformities, which when considered in total are judged to contribute to an overall system failure.</u></p> <p>b) Minor nonconformity - a single failure to comply with Standards Malaysia Accreditation Criteria, or with the certification body's own documented quality system, or if a series of minor but related discrepancies are observed, which together are judged to be a quality risk, without constituting an overall system failure in the area concerned.</p>	1
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**Group certification / verification**

The scheme allows for group certification or verification	<p>* <u>MSPO - Standard Setting and Review Procedure (2018) - scope of certification</u></p> <p><u>Smallholders</u></p> <p>Individual Certification: This category applies specifically for independent smallholder who is not organised into any group.</p> <p>Group Certification for Independent Smallholders [Sustainable Palm Oil Clusters (SPOCs): This category applies specifically for independent smallholders organised into groups. Independent smallholders are individual farmers who own or lease less than 40.46 hectares of an oil palm farm and manage the farm themselves.</p> <p>Group Certification for Organised Smallholders: This category applies specifically for smallholders organised under federal and state land development schemes such as FELDA, FELCRA, RISDA, SALCRA and SLDB.</p> <p><u>Plantations</u></p> <p>Individual Certification: This category applies to oil palm plantation which is not categorised under independent smallholders, SPOCs or Organised Smallholders.</p> <p>Group Certification: Group certification is defined as a group of plantation owners coming together for certification under a group manager or a group of estates under the same management unit coming together for certification.</p> <p><u>Palm Oil Mills / Processing Facilities</u></p> <p>Individual Certification: This category applies to palm oil mills as a unit of certification.</p> <p>Multi-site Certification: This category applies to an organisation with a network of multiple production sites. A multi-site organisation is defined as an organisation having an identified central function (central office) at which certain activities are planned, controlled and managed and a network of local offices or branches (sites) at which such activities are fully or partially carried out. Such sites may be a group of palm oil mills / processing facilities brought together under the central office, which can also be a participating site.</p>	Yes
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There is a sample size formula to determine the number of group members that is externally verified. The sample is determined by risk level.	<p>* <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme</u></p> <p>5.4. The formula for calculating sample size of the audit is explained in the risk classification determination as per Risk Management document (dated 19 November 2013) which is also mentioned in the ACB-OPMC 2 'Audit Duration for Certification Bodies Operating Oil Palm Management Certification under the MSPO Certification Scheme'.</p> <p>* <u>ACB-OPMC 2 'Audit Duration for Certification Bodies</u></p> <p>3.2 The recommended minimum on-site audit duration for individual and group certification respectively, which includes the opening meeting, site auditing, document verification, and closing meeting is shown in Table 1 and Table 2...Additional auditor days may be required for conducting post audit follow-up activities, such as verification on major non-conformities raised or addressing of any contentious stakeholder issues</p> <p>Table 2, Recommended minimum on-site audit durations (man-days) for Group Certification: This applies to:</p> <ul style="list-style-type: none"> <li>- Independent smallholder group (e.g. SPOC, Koperasi)</li> <li>- Organised smallholder</li> <li>- Mill and supply base</li> </ul> <p>3.3 The Certification Body shall define the risk classification of the client which will determine the audit duration and sample size (if applicable – for multi-site certification). For requirements on risk classification, the CB shall refer to the risk classification determination as per Malaysian Sustainable Palm Oil (MSPO) Risk Management (Doc No: MPO8/MSPO/RMP/06 dated 19 Nov 2013).</p> <p>* <u>Malaysian Sustainable Palm Oil (MSPO) Risk Management (Doc No: MPO8/MSPO/RMP/06 dated 19 Nov 2013)</u></p> <p>1.4 For group certification, the certification body shall select group members to be audited during Stage II audit based on random sampling of [risk factor] <math>\sqrt{n}</math>. The sample size is determined by the following formula:</p> $S = r\sqrt{n}, S = \text{sample size}, r = \text{risk factor}, n = \text{number of group members}$ <p>Whereas the following risk factors apply (see appendix VI, no. 4.3.3): Low risk: risk factor 1.0, Medium risk: risk factor 1.5 high risk: risk factor 2. The lowest possible sample size number is one. Based on the calculation above, the certification body shall use the sampling methodology described in IAF MD 1:2007 – IAF Mandatory Document for the Certification of Multiple Sites Based on Sampling.</p>	1
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As a minimum, it is required that a sample of at least the square root of the number of group members is audited individually annually (in line with the ISAL standard P03).	<p>* <u>ACB – OPMC 2 - 3. AUDIT DURATION</u></p> <p>3.1 The time allocated to the various locations of a complex audit must be documented to justify the allocated audit duration.</p> <p>The Audit Programme shall include Stage 1 and Stage 2 audit, surveillance audits in the first, second, third and fourth years, and a recertification audit in the fifth year prior to expiration of certification.</p> <p>* <u>Malaysian Sustainable Palm Oil (MSPO) Risk Management (Doc No: MPO8/MSPO/RMP/06 dated 19 Nov 2013)</u></p> <p>1.4 For group certification, the certification body shall select group members to be audited during Stage II audit based on random sampling of [risk factor] <math>\sqrt{n}</math>. The sample size is determined by the following formula:</p> $S = r\sqrt{n}, S = \text{sample size}, r = \text{risk factor}, n = \text{number of group members}$ <p>Whereas the following risk factors apply (see appendix VI, no. 4.3.3): Low risk: risk factor 1.0, Medium risk: risk factor 1.5 high risk: risk factor 2. The lowest possible sample size number is one. Based on the calculation above, the certification body shall use the sampling methodology described in IAF MD 1:2007 – IAF Mandatory Document for the Certification of Multiple Sites Based on Sampling.</p> <p>* <u>Under 4.8 Risk Approach</u>, certification bodies need to take into account the risks associated with providing competent, consistent and impartial certification. Risk may include but not limited to - objectives of the audit - sampling used in the audit process</p> <p><u>Clause 9.1.5 Multi Site Sampling</u> Whereby multi site sampling is used covering the same activity in various geographical locations, the certification body shall develop a sampling programme to ensure proper audit of the management system.</p>	1
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<p>The group is lead and supervised by a legal entity. This entity is managed by a group manager, responsible for ensuring that the group complies with the standard.</p>	<p>* <u>MSPO - Standard Setting and Review Procedure (2018) - scope of certification</u></p> <p><u>Smallholders</u>          ...[...].          Group Certification for Independent Smallholders (Sustainable Palm Oil Clusters (SPOCs): This category applies specifically for independent smallholders organised into groups. Independent smallholders are individual farmers who own or lease less than 40.46 hectares of an oil palm farm and manage the farm themselves.          Group Certification for Organised Smallholders: This category applies specifically for smallholders organised under federal and state land development schemes such as FELDA, FELCRA, RISDA, SALCRA and SLDB.</p> <p><u>Plantations</u>          ...[...].          Group Certification: Group certification is defined as a group of plantation owners coming together for certification under a group manager or a group of estates under the same management unit coming together for certification.</p> <p><u>Palm Oil Mills / Processing Facilities</u>          ...[...]. Multi-site Certification: This category applies to an organisation with a network of multiple production sites. A multi-site organisation is defined as an organisation having an identified central function (central office) at which certain activities are planned, controlled and managed and a network of local offices or branches (sites) at which such activities are fully or partially carried out. Such sites may be a group of palm oil mills / processing facilities brought together under the central office, which can also be a participating site.</p> <p>* <u>Malaysian Sustainable Palm Oil (MSPO) Part 2: General principles for independent smallholders</u>  <u>Scope</u> This Malaysian Standard provides the general principles for independent smallholders grouped into Sustainable Palm Oil Clusters (SPOC) and other forms of group management to establish and maintain a management system which enables each SPOC and the other groups to undertake a systematic approach in improving their operational practices...[...].</p> <p><u>3.10 Sustainable Palm Oil Cluster (SPOC)</u> Sustainable Palm Oil Cluster (SPOC) refers to a group of independent smallholders within a specific boundary who are committed to produce sustainable palm oil through the cooperative structure.</p> <p><u>3.6 group management</u> Group management is the administrative structure established by the smallholders group to manage their group activities.</p> <p>* <u>Malaysian Sustainable Palm Oil (MSPO) Part 3: General principles for oil palm plantations and organised smallholders</u>  <u>Scope:</u> This Malaysian Standard provides general principles on the requirements for plantations and organised smallholders to establish, maintain and improve their operational practices within a management system framework</p> <p><u>3.9 organised smallholders</u> Smallholdings managed by government agencies such as FELDA, FELCRA, RISDA, SALCRA, SLDB and other state agencies.</p>	<p>3</p>
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<p>The group must have an internal quality management system in place, which includes an internal audit system.</p>	<p>* <u>Malaysian Sustainable Palm Oil (MSPO) Part 2: General principles for independent smallholders</u>  <u>Scope</u> This Malaysian Standard provides the general principles for independent smallholders grouped into Sustainable Palm Oil Clusters (SPOC) and other forms of group management to establish and maintain a management system which enables each SPOC and the other groups to undertake a systematic approach in improving their operational practices...[...].</p> <p><u>4.1.2.2 Indicator 2:</u> Group management shall establish a system to improve practices in line with new information and techniques; and for disseminating this information throughout the group members.</p> <p><u>4.2.2.2 Indicator 1:</u> The group management shall commit itself to implement and maintain the requirements for traceability</p> <p><u>4.6.2.1 Indicator 1:</u> Group Manager shall establish a documented business or management plan to demonstrate attention to economic and financial viability.</p> <p>* <u>Malaysian Sustainable Palm Oil (MSPO) Part 3: General principles for oil palm plantations and organised smallholders</u>  <u>Scope:</u> This Malaysian Standard provides general principles on the requirements for plantations and organised smallholders to establish, maintain and improve their operational practices within a management system framework</p> <p><u>4.1.2 Criterion 2: Internal audit</u>  <u>4.1.2.1 Indicator 1:</u> Internal audit shall be planned and conducted regularly to determine the strong and weak points and potential area for further improvement.  <u>4.1.2.2 Indicator 2:</u> The internal audit procedures and audit results shall be documented and evaluated, followed by the identification of strengths and root causes of nonconformities, in order to implement the necessary corrective action.</p> <p><u>Malaysian Sustainable Palm Oil (MSPO) Part 4: General principles for palm oil mills</u>  <u>Scope:</u> This Malaysian Standard provides general principles on the requirements for the mill to establish, maintain and improve their operational practices within a management system framework, which enables the adoption</p> <p><u>4.1.2 Criterion 2: Internal audit</u>  <u>4.1.2.1 Indicator 1:</u> Internal audit shall be planned and conducted regularly to determine the strong and weak points and potential area for further improvement.  <u>4.1.2.2 Indicator 2:</u> The internal audit procedures and audit results shall be documented and evaluated, followed by the identification of strengths and root causes of nonconformities, in order to implement the necessary corrective action.</p>	<p>2</p>
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<p>The requirements on group certification/verification define the conditions under which a group (member) shall be suspended or removed from a group. A group sample cannot be changed (i.e. a single member can be excluded from the group) due to failure of an individual group member.</p>	<p>This is not specifically defined for groups and relies on the information about corrective actions. There is no information about consequences if, for example, one of the group members does not comply with one of the requirements. Requirements about audit procedures are principles and requirements in each of the standards.</p> <p>* <u>MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme - Appendix 1 (procedure)</u>  <u>Major Corrective Yes Action Request (CAR) raised? &gt;&gt; CB issues CAR Form to Organisation &gt;&gt; Organisation takes corrective action</u>          to address Major CAR within agreed time frame not exceeding 3 months &gt;&gt; Organisation informs CB on corrective action taken to address Major CAR &gt;&gt; CB conducts verification on corrective action taken to address Major CAR within 2 weeks &gt;&gt; Major CAR closed out? If yes: CB prepares Draft Audit Report (within 1 month after completion of Stage 2 or 2 weeks after successful verification on corrective action taken to address Major CAR). If no: Organisation takes corrective action to address Major CAR within agreed time frame not exceeding 3 months...</p>	<p>1</p>
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<p>Group auditing for compliance with the scheme's land related criteria is only acceptable when the areas concerned are relatively near each other and have similar characteristics (such as management practices).</p>	<p>* <u>Malaysian Sustainable Palm Oil (MSPO) Part 2: General principles for independent smallholders</u>  <u>Scope</u> This Malaysian Standard provides the general principles for independent smallholders grouped into Sustainable Palm Oil Clusters (SPOC) and other forms of group management to establish and maintain a management system which enables each SPOC and the other groups to undertake a systematic approach in improving their operational practices...[...].</p> <p><u>3.10 Sustainable Palm Oil Cluster (SPOC)</u> Sustainable Palm Oil Cluster (SPOC) refers to a group of independent smallholders within a specific boundary who are committed to produce sustainable palm oil through the cooperative structure.</p>	<p>1</p>
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**Cross-recognition**

<p>The scheme has signed a mutual recognition agreement with at least one other scheme, or accept other schemes</p>	<p>* <u>Timeline for mandatory certification (website)</u>          The timeline for mandatory certification is 31 December 2018 for oil palm entities with certification (e.g. RSPO, ISCC). The timeline for palm oil entities without certification is 30 June 2019.</p> <p>* <u>Combined audit checklist</u>          A set of combined audit checklist for plantations and organized smallholders (under MS2530-3:2013) and the RSPO Principles and Criteria National Interpretation for Malaysia (RSPO P&amp;C-MYNI) has been developed and tested. The checklist is appended as a guidance for Certification Bodies (CB), potential clients as well as other stakeholders. CBs are encouraged to develop their own checklist for conducting combined audits.</p> <p><u>Audit Programme</u>          i. The audit programme shall include a two-stage initial audit.          ii. Exemption of Stage I audit can be considered by the Certification Body for clients having other internationally recognised sustainability schemes, e.g. RSPO, RSB and ISCC.</p> <p>Additional reference Section 9.3 of ISO/IEC 17021-1:2015</p>	<p>NO</p>
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<p>The cross-recognition is based on a benchmark and on the requirement that the recognized scheme has equitable requirements or higher.</p>	<p>Not applicable</p>	<p>N.A.</p>
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<p>The scheme owner requires to certification bodies the verification of claims of other relevant (recognized) certification schemes to avoid double counting</p>	<p>Not applicable</p>	<p>N.A.</p>
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**Transparency**

<p>The scheme owner makes, or requires certification bodies to make, summary certification/verification reports (with personal and commercially sensitive information removed) publicly available</p>	<p>* <a href="#">MSPO - Procedure for Notification of Certification Bodies</a>  * <a href="#">5. Obligations of the MPOCC Notified Certification Body</a>  The MPOCC notified certification body <a href="#">operating oil palm management certification</a> shall...[...].  - provide MPOCC, without undue delay, information on every oil palm management certificate that the notified certification body issues to a client organisation covered by the MPOCC notification and/or information on any changes to currently issued certificates. The range of data is specified by MPOCC;  - make publicly available a summary of the audit report on its website and submit a copy of the final audit report to MPOCC...[...].  The notified certification body <a href="#">operating supply chain certification</a> shall:  - provide MPOCC, without undue delay, information on every supply chain certificate that the notified certification body issues to a client organisation covered by the MPOCC notification and/or information on any changes to currently issued certificates. The range of data is specified by MPOCC;  - make publicly available a summary of the audit report on its website and submit a copy of the final audit report to MPOCC...[...].  * <a href="#">MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme</a>  3.6. The CB is responsible for the following:...[...].(ix) make publicly available a summary of the audit report at CB's website (only for oil palm management) and submit a copy of the final audit report to MPOCC (both oil palm management and supply chain).  * <a href="#">CROSS-CHECK AUDIT CHECKLIST</a>  7.9 For oil palm management certification, a summary of the audit report, including a summary of findings on the auditee's conformity against the oil palm management certification standard, written by the CB, shall be made available to the public in a timely manner by the CB. The summary shall include a map of appropriate scale showing the location and external boundary of the certified oil palm area.  * <a href="#">Cross-check control union</a>: <a href="https://certifications.controuunion.com/en/certification-programs/certification-programs/mspo-malaysia-sustainable-palm-oil">https://certifications.controuunion.com/en/certification-programs/certification-programs/mspo-malaysia-sustainable-palm-oil</a> &gt;&gt; No certification reports available on CB's website</p>	<p>0</p>
<p>The scheme owner makes its certificates publicly available (on the website), including withdrawn ones. A database with information about the certified units is publicly available.</p>	<p>* <a href="#">MSPO - The Malaysian Sustainable Palm Oil (MSPO) Certification Scheme</a>  7.11 The CB shall inform MPOCC about all the certificates that it has issued, and changes concerning the validity and scope of these certificates.  7.12 In the case of oil palm management certification involving SPOCs or scheme smallholders, group certification or multi-site certification, the CB shall provide MPOCC with a list of all sites covered by the group certification or multi-site certification.  <a href="#">MSPO Website</a>:  The MSPO website shows the certified areas for a specific date (on December 12, the certified area from 30 November 2018 is shown). This goes hand in hand with information about the name of the parent company and the name of the certified cluster. There is, however, no information when the company was certified (date) so information on validity is missing.  A list of certified companies can be downloaded.  * <a href="#">WWF report (2018)</a>: Further, the MSPO standard has a searchable database with names, sizes and locations of all certified units, except the inclusion of expiry dates.</p>	<p>1</p>
<p>The standard documentation is publicly available. The standard documentation is available in a UN language.</p>	<p>The standard documentation is not available on the MPOCC website nor on Standards Malaysia (only a short summary)</p>	<p>0</p>