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DOCUMENT AUTHORIZATION & REVISION HISTORY

Revision No.	Description of Change	Date of Release	Prepared By	Approved By
00	Initial Document	01/03/2024		
01	Revised document to include the requirement from MSPO Scheme Document	01/11/2024		
02	Change the company name to UGG Certification Sdn Bhd	01/04/2025		
03	Include the Evaluator competency criteria	01/10/2025		

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1 PURPOSE

- 1.1 To define a procedure for identifying the training needs and providing for the training and competence of all personnel performing activities affecting quality of conformity assessment/certification services operations.

2 SCOPE

- 2.1 This procedure applies to all company employees (Audit Staff and Non-Audit Staff and Part-time/Outsourced and Full-time Staff) involved in certification services operations based on ISO/IEC17021-1:2015 and ISO/IEC17065:2012 requirement

3 RESPONSIBILITY

- 3.1 General Manager (GM)
- 3.2 Operations Manager (OM)
- 3.3 All Staff (Full-time/Part-time)

4 REFERENCE

- 4.1 ISO 17021-1:2015- Conformity assessment- Requirements for bodies providing audit and certification of management systems
- 4.2 ISO17065:2012 - Conformity assessment- Requirements for bodies certifying products, processes and services
- 4.3 MSPO Certification Scheme Document- Date: 5 January 2023
- 4.4 IAF MD 10 IAF Mandatory Document for Assessment of Certification Body Management of Competence in Accordance with ISO/IEC 17021-1:2015

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5 PROCEDURE

5.1 General

- 5.1.1 UGG shall ensure that have access to the necessary technical expertise for advice on matters directly relating to certification for all technical areas, types of management system and geographic areas in which UGG operates.
- 5.1.2 UGG shall provide auditors and technical experts access to an updated documented procedures/training providing audit instructions and all relevant information on the certification activities.
- 5.1.3 UGG shall provide the GM/OM that takes the decision on granting, refusing, maintaining, renewing, suspending, restoring or withdrawing certification, or on expanding or reducing the scope of certification access to an updated documented procedures/training providing instructions and all relevant information on the certification activities.
- 5.1.4 The GM/OM shall understand the applicable standard and certification requirements and have demonstrated competence to evaluate the audit processes and related recommendations of the audit team.
- 5.1.5 Certification Bodies operating MSPO Certification Scheme shall ensure that:
- a) The Audit Team shall comprise of members competent in the areas of oil palm management certification, viz. agriculture, agronomy, technical, legal, environmental, High Conservation Value (HCV), social, occupational safety and health, greenhouse gas emission and economics (where applicable).
 - b) The auditors demonstrate ability to apply knowledge as per ISO 19011 Guidelines for Auditing Management Systems.
 - c) All lead auditors and auditors shall have:
 - i. The knowledge and understanding of general concepts of management systems, especially environmental, occupational safety and health, social and quality management systems;
 - ii. The knowledge and understanding of High Conservation Value (HCV), Social Impact Assessment (SIA) and Greenhouse Gas (GHG) emissions and calculations;
 - iii. The knowledge and understanding of the MSPO Standards and its related requirements under the MSPO Certification Scheme;
 - iv. Awareness of the contentious issues involved during the audit such as issues highlighted by the mass media and stakeholders, and areas of environmental and social significance in the management unit's area undergoing audit, and assess their impact on the oil palm management;
 - v. The knowledge and understanding of auditing principles, including the techniques used to evaluate the effectiveness of the oil palm management planning, implementation, monitoring and control processes;
 - vi. The ability to assess the application of laws, codes of practice, procedures and guidelines related to oil palm management;
 - vii. The ability to assess the organisation's operational context or situations including organisational size, structure, functions and relationships, general business processes and related terminology and cultural and social customs such as knowledge of the client's working language.

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5.1.6 Additional requirements for MSPO Standard MS2530 series - Part 4:

a) Auditors engaged by UGG should have the capacity to apply terminology, knowledge, understanding and skills in the following areas but not limited to:

- i. Requirements of the MSPO MS 2530 Standard Part 4 and its related requirements under the Malaysian Sustainable Palm Oil (MSPO) Certification Scheme;
- ii. Products, processes and practices in the specific sector, applied raw material flow, measurements and control measures;
- iii. Application of management systems to palm oil based and related industries and interaction between their components;
- iv. Information systems and technology for authorisation, security, distribution and control of documents, data and records;
- v. Product labels and claims;
- vi. Application of measures to avoid procurement of illegal raw material that are against risk assessment methodology and indicators;
- vii. The knowledge and understanding of applicable international legislation, country and state specific governance (application of laws, codes of practice, procedures and guidelines) relevant to palm-based raw material procurement, international treaties and conventions relating to the trade of palm oil products.

5.1.7 Technical experts may be engaged to be part of the audit team to cover and address sensitive issues. Sensitive issues are defined as issues that have a significant impact on achieving the desired outcome.

5.2 Determination of Competence Criteria

- 5.2.1 UGG has documented processes for initially evaluating the competence and evaluating the continued competence of all personnel involved in the management and performance of all certification functions.
- 5.2.2 The GM/OM shall be responsible for determining the competence criteria for personnel involved in the management and performance of audits and other certification activities.
- 5.2.3 The GM/OM shall refer to relevant certification document for reference to determine competence requirements for determining the competence criteria for personnel involved in the management and performance of audits and other certification activities.
- 5.2.4 All the personal for application review, contract review, decision maker and auditors will gone through the competency evaluation. (**UGG-FM(MSPO)-03- Competency Evaluation Form**).
- 5.2.5 Manager will ensure before approving the competency all personal is already fill up the and accept the **Impartiality and Confidentiality Declaration Form (UGG-FM(MSPO)-01A and UGG-FM(MSPO)01B)** and employee agreement.

5.3 Competency for Malaysian Sustainable Palm Oil (MSPO) Scheme

- 5.3.1 The competency criteria which lead auditors, auditors and technical experts shall comply with, are as stated below:

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5.3.2 Competency Criteria for Auditors, Lead Auditors and Technical Expert

a) Lead Auditor

- i. Education:
 - Post-secondary education, college or university diploma OR degree in one of the following: Agriculture; Science & Technology (e.g. Environmental Sciences, Life Sciences, Geological Sciences, Natural Sciences); Engineering, Process Technology; Energy Management, Quality Management; Social Sciences and/or Anthropology; Business Management; or other relevant fields.
 - ii. Work experience:
 - Post-Secondary education: At least seven (7) years of work experience in the oil palm sector OR ten (10) years in other relevant field (e.g. social, environment, occupational health and safety, and quality) OR five (5) years auditing experience in relevant accredited management systems (e.g. social, environment, occupational health and safety, and quality)
 - Tertiary education: At least five (5) years of work experience in the oil palm sector OR seven (7) years in other relevant field (e.g. social, environment, occupational health and safety, and quality) OR five (5) years auditing experience in relevant accredited management systems (e.g. social, environment, occupational health and safety, and quality)
 - iii. Training:
 - Successfully completed the scheme owner endorsed lead auditor training (5 days) and;
(NOTE: The above training certificate is valid for 5 years. Re-attend the lead auditor training is required before the expiry or whenever there are changes in the MSPO Standard)
 - Undergone 40 hours of lead auditor course in Quality Management Systems (QMS) AND one of the following: Environmental Management Systems (EMS); Occupational, Health and Safety Management Systems (OH&SMS); OR Lead Auditor for Integrated Management System (IMS).
 - iv. Auditing experience:
 - Conducted at least three (3) MSPO or equivalent sustainability certification audits OR a minimum of fifteen (15) man-days, whichever with more man-days, as lead auditor-in-training under the direction and guidance of a qualified lead auditor for MSPO.
 - Maintenance - Conducted a minimum of four (4) different on-site MSPO Certification audits annually as lead auditor.
- ii. Auditor**
- i. Education:
 - Post-secondary education, college or university diploma OR degree in one of the following: Agriculture; Science & Technology (e.g. Environmental Sciences, Life Sciences, Geological Sciences, Natural Sciences,); Engineering, Process Technology; Energy Management, Quality

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Management; Social Sciences and/or Anthropology; Business Management; or other relevant fields.

ii. Work experience:

- Post-Secondary education: At least five (5) years of work experience in the oil palm sector OR seven (7) years in other relevant field (e.g. social, environment, occupational health and safety, and quality) OR five (5) years auditing experience in relevant accredited management systems (e.g. social, environment, occupational health and safety, and quality)
- Tertiary education: At least three (3) years of work experience in the oil palm sector OR five (5) years in other relevant field (e.g. social, environment, occupational health and safety, and quality) OR three (3) years auditing experience in relevant accredited management systems (e.g. social, environment, occupational health and safety, and quality)

iii. Training

- Successfully completed the scheme owner endorsed lead auditor training (5 days) and;
(NOTE: The above training certificate is valid for 5 years. Re-attend the lead auditor training is required before the expiry or whenever there are changes in the MSPO Standard)
- Undergone 40 hours of auditor course in Quality Management Systems (QMS) AND one of the following: Environmental Management Systems (EMS); Occupational, Health and Safety Management Systems (OH&SMS); OR Lead Auditor for Integrated Management System (IMS).

iv. Auditing experience:

- Qualification - Conducted a minimum of four (4) on-site audits for a total of at least 20 man-days of audit experience as an auditor-in-training under the direction and guidance of a qualified lead auditor for MSPO.

Maintenance - Conducted a minimum of four (4) on-site MSPO Certification audits annually.

5.3.3 Audit Team Composition Requirements and Specific Qualification for Auditing Environment, HCV, GHG, OSH and Social Elements (Lead Auditor and / or Auditor): At least one of the team members are required to have each of the following minimum qualifications in accordance with the areas of expertise.

- Working experience in oil palm sector for a minimum of five (5) years OR auditing experience of 5 years in oil palm sustainability certification. In case none of the members have the above experience, technical experts shall be engaged.
- Environmental – Successfully completed ISO 14001 OR IMS Lead Auditor Training. Legal competency qualifications such as Environmental Officer should be acceptable.
- OSH elements – Successfully completed ISO 45001 OR IMS Lead Auditor Training. Legal competency qualifications such as Safety Officer should be acceptable.
- Social elements – Successfully completed SA 8000 (basic) OR other social certification scheme trainings approved by the scheme owner such as BSCI, SMETA or equivalent should be acceptable.

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- iv. HCV & GHG elements – attended the scheme owner endorsed HCV & GHG awareness trainings.

5.3.4 Technical Expert

- i) Education:

Post-secondary education, college or university diploma OR degree in one of the following: Agriculture; Science & Technology (e.g. Environmental Sciences, Life Sciences, Geological Sciences, Natural Sciences); Engineering, Process Technology; Energy Management, Quality Management; Social Sciences and/or Anthropology; Business Management; or other relevant fields.

- ii) Work experience:

At least ten (10) years of work experience in oil palm sector or related fields such as social, environment, occupational safety and health, and quality.

- iii) Training:

Successfully completed the scheme owner endorsed awareness training on MS 2530 series.

- iv) Specific Qualification for Auditing Environment, HCV, GHG, OSH and Social Elements

- v) Minimum 5 years of experience in the elements of Environment, HCV, GHG, OSH or social AND attended related awareness training endorsed by the scheme owner.

NOTE: All the existing qualified lead auditors, auditors and trainee auditors are required to re-take the MPOCC endorsed lead auditor training (5 days) with the purpose of updating skills and/or knowledge to a revised standard.

5.4 Circumstances Leading to the Need of Training

- 5.4.1 The following circumstances may lead to needs for staff training to enhance the competence:

- a) Introduction of new schemes, technology, and/or changes are introduced into the ISO 17021-1:2015 Management System and related Certification Schemes (e.g., MSPO MS 2530:2013 series).
- b) New recruitment of staff related to conformity assessment/certification services operations.
- c) Lack of skill/knowledge/competence in certain operational aspects.

5.5 Identification of Training Needs

- 5.5.1 The General Manager (GM) and various department heads shall be responsible to identify the training of their departments. The GM through the delegated Admin Clerk shall co-ordinate the training requirements from the various departments.
- 5.5.2 The training needs of the management and employees must be formalized into an Annual Training Program.
- 5.5.3 On-Job-Training (OJT) shall be carried out for new recruitment as well as whenever required by OM/GM as and when required.

5.6 Training Plan

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5.6.1 Operation Manager (OM) is responsible to evaluate the training needs requirements of full-time personnel.

5.6.2 As a guide, the followings may be considered when evaluating the training needs requirements for assessment personnel :

- a) When the person shows lack of skills in their job performance.
- b) When there are new system / procedures to be implemented.
- c) Potential of the staff to assume higher responsibilities.
- d) For continuous upgrading of knowledge to improve quality and to meet technological changes.
- e) From report review, feedback and complaint received from client or superior.

5.6.3 All training needs requirements is to be approved by General Manager.

5.6.4 All approved training needs requirements are to be recorded in the yearly Training Plan. If no training is identified, a 'nil' return will be maintained.

5.7 Conducting Training

5.7.1 The training shall be conducted as approved by the General Manager.

5.7.2 Training attendance and evaluation records shall be monitored by the Admin Manager and Operation Manager.

5.7.3 A general orientation programme for all newly hired assessment personnel is to be provided. The scope of training needed will depends on the extent of previous experience in the relevant field.

5.7.4 Upon satisfactory completion of the orientation programme and review of by newly hired assessment personnel, the Operation Manager will review and approve the following status as :

a) Trainee Auditor

As an assessor under training, a trainee auditor can conduct any visit as long as it is under the direct supervision of a Lead Auditor. UGG Trainee Auditor can not be the sole Auditor on a certification decision assessment.

5.7.5 For newly hired auditor who has experience in third-party audit and / or has been registered as an Assessor / a Lead Auditor with an internationally recognised institution (e.g. IRCA), Operation Manager will review the personnel qualification to ensure that the requirements as per of this procedure has been met.

5.7.6 For all auditor and non-auditor staff recruited, Operation Manager is to conduct the general orientation training which will cover the company's quality system and the employee's work objectives and methodology.

5.7.7 For any orientation that cannot be provided by in-house means, the respective Manager, in consultation with General Manager is to schedule the new staff for external courses. Record for orientation training is to be filed in the individual Personnel Record file.

5.7.8 Operation Manager is responsible to evaluate the performance of assessment personnel before the end of the probation period.

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5.8 Personnel Competence and Training Records

- 5.8.1 The General Manager shall maintain the Training Course Attendance Record, Training Programme, Training Certificates and related records to specified retention period according to the Master list of Records.
- 5.8.2 OM shall be responsible to maintain up-to-date personnel records, including relevant qualifications, training, experience, affiliations, professional status, competence and any relevant consultancy services that may have been provided.

5.9 Comptency Criteria for MSPO Peer review

5.9.1 General Requirements for Peer Review Process

This section outlines the competency, role and responsibilities of peer reviewers, the best practices of peer reviewing and documents the tasks and activities in conformance with best practices. The best practices in peer review processes seek to promote a measure of coherence and effectiveness to create integrity and mutual trust in the implementation of the national certification scheme for the palm oil industry.

- 5.9.2 The aim of a peer review process of the UGG audit report by an independent expert is to obtain a second opinion on the level of compliance of the management unit concerning the requirements of the agreed standards. The appointed peer reviewers shall be independent of the UGG (refer to clause 5.2.3 of ISO/IEC 17021-1 on risk of relationships documentation).
- 5.9.3 Peer reviewer(s) shall not be involved in any MSPO Certification audits and accreditation activities neither as auditor in training, auditor, or lead auditor with any CBs, ACBs or AB in the past three (3) years to avoid conflict of interest.
- 5.9.4 Peer reviewer(s) involved in the audit report review to be appointed by the UGG, based on the issues associated with the management unit being audited and shall not be based on permanent basis.
- 5.9.5 The scheme owner should register the peer reviewer(s) based on the minimum requirements stipulated in this scheme document.
- 5.9.6 UGG shall set a procedure for initial and periodic monitoring of the peer reviewer's competency and impartiality and the records shall be maintained. UGG shall provide annual harmonisation training including analysis on issues and comments and scheme requirements update with the appointed peer reviewers.
- 5.9.7 Peer reviewer training will only be conducted as and when required by the scheme owner. It is compulsory to be attended by all peer reviewers. The peer reviewers need to attend re-training every 5 years or whenever there are changes in the MSPO Standard OR Scheme Document. Failing to do so, the peer reviewer is not allowed to review reports.
- 5.9.8 The peer reviewing process is necessary for evaluating the audit report (for Stage 2 and recertification audit) prepared in conjunction with an application for certification under the MSPO Certification Scheme.
- 5.9.9 Role of Peer Reviewer(s)
- 5.9.9.1 The role of the peer reviewer(s) is to ensure that the audit report has the necessary content to act as the foundation for the award of a certificate and to confirm that:

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- i) The audit team has carried out an objective and professional audit of the management unit for certification against the requirements of the relevant MSPO Standard and related scheme documents;
- ii) The audit team has investigated adequate and relevant data sources and evidences;
- iii) The audit team has arrived at an appropriate conclusion and recommendation based on the evidence presented to it; and
- iv. The audit team has prepared a concise and comprehensive report to the requirements of the standards.

5.9.10 The peer reviewer(s) shall submit the following in a report to the UGG:

- i. Indicate that the disagreement and supporting reasons regarding any finding and/or Non-Conformity (NC) raised by the audit team have been addressed appropriately;
- ii. Indicate areas where the reviewer feels more information or clarification is necessary;
- iii. State whether the reviewer agrees or disagrees with the certification recommended by the auditors; and
- iv. Suggest actions for improvement that should be taken, or issues that should be considered relevant to the scope of the audit.

5.9.11 UGG shall ensure that all comments by the peer reviewers are resolved prior to finalisation of the final report and be made available to the client by the ACB.

5.9.12 The competency criteria which Peer Reviewer shall comply with, are as stated below.

i. Education:

- Post-secondary education, college or university diploma OR degree in one of the following: Agriculture; Science & Technology (e.g. Environmental Sciences, Life Sciences, Geological Sciences, Natural Sciences); Engineering, Process Technology; Energy Management, Quality Management; Social Sciences and/or Anthropology; Safety and Health; Business Management; or other relevant fields.

ii. Work experience:

- Have a minimum of ten (10) years of experience in oil palm management OR expertise related to various aspects of oil palm management such as but not limited to business management, social compliance, environmental management, OHS management, and agricultural management; At least three (3) years of work experience AND have the necessary knowledge to assess the adequacy of the audit reports submitted by the auditors.

iii. Training:

- Have undergone and successfully completed the required training by the scheme owner on the requirements of the MSPO Certification Scheme; Attended MPOCC endorsed MSPO Lead Auditor training would be an added advantage.

iv. Auditing experience:

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- Auditing experience of five (5) years in oil palm sustainability certification OR expertise related to various aspects of oil palm management such as agriculture, environmental sciences, geology, natural sciences, ecology, botany, zoology, sociology, anthropology, forestry, agriculture/forest engineering, engineering, process technology, energy management, quality management, business management, and agriculture/forest economics or other relevant fields.
- Have an understanding on the ACBs MSPO certification process will be an added advantage;
- In-depth knowledge on applicable local rules and regulations, and the condition of the oil palm plantation areas or sites audited including the oil palm management system being implemented would be an advantage;

5.10 Competency Criteria for Non- Auditor

5.10.1 Non- auditor staff who are involve in the certification process is Application Review, Contract Reviewer and Decision Maker.

5.10.2 The competency criteria are as per the ISO/IEC17021-1 Requirement below:

Knowledge and skills	Certification functions		
	Application reviewer/ Contract Reviewer	Reviewing audit reports and making certification decisions	Auditing and leading the audit team
Knowledge of business management Practices			X
Knowledge of audit principles, practices and techniques		X	X
Knowledge of specific management system standards/normative documents	X	X	X
Knowledge of certification body's processes	X	X	X
Knowledge of client's business sector	X	X	X
Knowledge of client products, processes and organization	X		X
Language skills appropriate to all levels within the client organization			X
Note-taking and report-writing skills			X
Presentation skills			X
Interviewing skills			X
Audit-management skills			X

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5.11 Recruitment

5.11.1 Selection of Auditor / Sub-contractor

5.11.1.1 Operation Manager is to screen the application of auditor / sub-contractor. He is to ensure that applicants meet the minimum entry requirements for auditor/ sub-contractor.

5.11.1.2 Upon short listing of candidates, Operation Manager are to interview the selected candidate(s).

5.11.1.3 Once approval is given by Managing Director to appoint the selected candidate(s),

5.11.1.4 Admin is to process the Confirmation letter for UGG's staff and Contract Agreement for sub-contractor.

5.11.1.5 The selected candidate(s) is to complete (**UGG-FM-03- Competency Evaluation Form**) in order to allocate the code holder. Operation Manager will be reviewed and approved to ensure that the auditor/sub contractor is fulfilled as per UGG, accreditation body and ISO/IEC 17021 requirements.

5.11.1.6 In defining the process for auditor qualification, the guidance within ISO/IEC17021-3 must be followed unless there is written justification of its variations. UGG must ensure auditor competence is defined and specific competence evaluation of auditor's performance at key stages, i.e. trainee to auditor, auditor to lead auditor must include on site assessment of assessment performance.

5.13.2 Recruitment of Other Staff (non-auditor)

15.13.2.1 Resource needs are identified by Operation Manager based on the workload and approved by General Manager. If a suitable candidate is already on file then the initial phase of sourcing / advertising is withdrawn and the candidate immediately interviewed. Potential staff may be interviewed once or twice by UGG before an offer is considered.

15.13.2.2 Once approval is given by Managing Director to appoint the selected candidate(s), HR / Admin is to process confirmation letter. The selected candidate(s) is to be placed on the general orientation programme.

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5.14 Competency criteria for Evaluator

5.14.1 General Competence

Criterion	Description
Ethical behavior	Demonstrates integrity, confidentiality, objectivity, and professionalism during evaluations.
Analytical thinking	Able to analyze complex systems, identify gaps, and assess effectiveness and risks.
Attention to detail	Observes accurately and thoroughly without overlooking relevant issues.
Time management	Manages audit/evaluation time efficiently while maintaining quality.
Communication skills	Clearly communicates findings in both written and verbal form, tailored to different stakeholders.
Conflict resolution	Handles disagreements or disputes professionally and diplomatically.

5.14.2 Knowledge Requirements

Area	Required Knowledge
Management System Standards	Comprehensive knowledge of relevant standards (e.g., ISO 9001, ISO 14001, ISO 45001, ISO/IEC 27001, etc.).
Audit principles & practices	Understanding of auditing methodologies (as per ISO 19011), sampling techniques, and audit types.
Organization's context	Awareness of the industry, operational processes, legal and regulatory environment.
Risk-based thinking	Understanding how to assess risks and opportunities in the management system context.
Compliance obligations	Knowledge of applicable laws, regulations, customer requirements relevant to the system.

5.14.3 Skill Requirements

Skill	Description
Planning and preparation	Able to prepare audit plans, checklists, and understand the scope and objectives.
Conducting audits	Efficiently gathers evidence through interviews, observation, and document review.
Reporting	Prepares clear, concise, factual, and objective reports on findings and conclusions.
Follow-up	Verifies corrective actions, assesses their effectiveness, and ensures closure.
Teamwork	Works effectively with audit teams and interacts constructively with auditees.

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15.14.4 Experience Requirements

Requirement	Details
Education	Minimum of secondary education; higher qualifications preferred in relevant fields.
Work experience	Minimum 4 years of professional experience, including at least 2 years in a relevant management system role.
Audit experience	Participation in a minimum number of audits (e.g., 4 complete audits covering all phases, totaling at least 20 audit days).
Technical competence	Sector-specific knowledge (e.g., manufacturing, plantation, construction) as required for the scope of audit.

15.14.5 Evaluator Attributes

Attribute	Indicators
Objectivity	Avoids bias, remains neutral, and bases findings on evidence.
Open-mindedness	Willing to consider alternative ideas or viewpoints.
Diplomacy	Manages sensitive issues tactfully.
Self-reliance	Works independently and confidently under pressure.
Cultural sensitivity	Respects and understands cultural differences during international or diverse audits.

Reference Records

- 1) Competency Evaluation Form (UGG-FM(MSPO)-03)
- 2) Impartiality and Confidentiality Declaration Form (UGG-FM(MSPO)-01A)
- 3) Impartiality and Confidentiality Declaration Form (UGG-FM(MSPO)-01B)