



MSPO CERTIFICATION SUMMARY REPORT

APOGEE PLANTATION SDN BHD

SURVEILLANCE 01

Onsite Audit Date: 24/08/2020 – 25/08/2020

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MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Table of Contents

1.	INTRODUCTION	4
1.1.	Objective	4
1.2.	Scope	4
1.3.	Appointment and qualification of team members	4
2.	METHODOLOGY.....	8
3.	ORGANISATION INFORMATION	10
3.1.	Production volume	10
3.2.	Planting Statement	10
3.3.	Replanting program for each estate	10
3.4.	Maps of Company Location and Plantation	11
4.	CERTIFICATION ASSESSMENT	12
4.1.	ASA 01	12
4.2.	Stakeholders' Consultation	12
4.3.	Summary of Assessment	14
4.4.	Status of Non-Conformities Previously Identified	34
4.5.	Detail of Audit Findings in last audit	34
4.6.	Detail of Onsite Audit Findings Identified During This Audit	35
5.	CONCLUSION	38
6.	RECOMMENDATION	39
7.	LIST OF INTERVIEWEES	40
	Annex / Enclosures	41

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Abbreviations

CHRA	Chemical Health Risk Assessment
CPO	Crude Palm Oil
CSR	Corporate Social Responsibility
DOE	Department of Environment
EFB	Empty Fruit Bunch
EIA	Environment Impact Assessment
FFB	Fresh Fruit Bunch
GAP	Good Agricultural Practice
GPS	Global Positioning System
ISCC	International Sustainability & Carbon Certification
ISO	International Standard Organisation
MSPO	Malaysia Sustainable Palm Oil
NC	Non Conformity
OSH	Occupational Safety and Health
P&C	Principle and Criteria
PK	Palm Kernel
POME	Palm Oil Mill Effluent
PPE	Personal Protective Equipment
RSPO	Roundtable Sustainable Palm Oil
RTE	Rare, Threatened and Endangered Species
SA8000	Social Accountability 8000
SIA	Social Impact Assessment
SOP	Standard Operating Procedure
WHO	World Health Organization
MPOB	Malaysian Palm Oil Board
MPOCC	Malaysia Palm Oil Certification Council
SDS	Safety Data Sheet

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



1. INTRODUCTION

Apogee Plantation Sdn Bhd has commissioned TUV NORD (Malaysia) Sdn Bhd to conduct surveillance 01 audit for its oil palm estate according to MS 2530-3:2013 Part 3 General principles for Oil Palm Plantations and Organised Smallholders.

1.1. Objective

The objective of this surveillance 01 audit is to assess the Apogee Plantation Sdn Bhd estate by an independent certification body with the aim for compliance of the standards.

1.2. Scope

The certification is based on the documentation developed by the estate.

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

The documents and information are reviewed against the requirements and criteria based on MS 2530-3:2013 Part 3 General principles for Oil Palm Plantations and Organised Smallholders.

TUV NORD Malaysia has employed a risk-based approach in the audit, focusing on the identification of significant risks and reliability of the assessment and reporting.

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

1. Malaysian Sustainable Palm Oil Part 3: General Principles for Oil Palm Plantations and Organised Smallholders audit guidance;
2. Palm Oil Supply Chain Traceability Requirements

1.3. Appointment and qualification of team members

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

Qualification of the Lead Auditor: Ariff Bin Lokman

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

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Requirement	Qualifications
vii) Other relevant related fields	
At least five (5) years of work experience in the oil palm sector or related field in consultancy / auditing of similar industry or equivalent related to and as necessary for the certification process. (e.g., sustainability, palm oil management; agriculture, ecology; social science)	7 years working experience in oil palm plantations.
Successfully completed MS 2530 series of standards training	Successfully completed MS2530 series of standards training
Conducted at least three (3) MSPO or equivalent sustainability certification audits as Lead Auditor-in-training with a minimum of fifteen (15) man-days under the supervision of a qualified Lead Auditor for MSPO or equivalent sustainability certification schemes within the last two (2) years.	Qualified as auditor for MSPO scheme.
A good knowledge in handling and evaluating sources of information and data. Able to communicate in Bahasa Malaysia or any other local language.	Able to communicate in Bahasa Malaysia and English.
Field working experience in the palm oil sector, or demonstrable equivalent	7 years working experience in oil palm plantations.
Good Agricultural Practices (GAP), and Integrated Pest Management (IPM), pesticide and fertilizer use	7 years working experience in oil palm plantations.
Health and safety auditing on the farm and in processing facilities, for example ISO 45001 18001 or Occupational, Health & Safety Assurance System	Successfully completed IMS ISO 9001, 14001, 45001 Lead Auditor course
Worker welfare issues and social auditing experience, for example with SA8000 or related social or ethical accountability codes	Successfully completed Basic SA 8000 training.
Environmental and ecological auditing, for example experience with organic agriculture, ISO 14001 or Environmental Management Systems (EMS) or High Conservation Value (HCV)	Successfully completed IMS ISO 9001, 14001, 45001 LA course training attended.

Qualification of Team Members

Requirement	Assessor	Qualification	Compliance
Post-secondary education, college or university diploma / degree in one of the following	Mohd Nur Amin Bin Mohd Halim	Graduate in Office Management & Technology.	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Requirement	Assessor	Qualification	Compliance
i) Agriculture; ii) Science & Technology (e.g. Environmental Sciences, Life Sciences, Geological Sciences, Natural Sciences,); iii) Engineering, Process Technology; iv) Energy Management, Quality Management; v) Social Sciences and/or Anthropology; vi) Business Management; or vii) Other relevant related fields	Joseph Sim Siaw Seng	Graduate in Occupational Safety and Health Certificate	Yes
At least five (5) years of work experience in the oil palm sector or related field in consultancy / auditing of similar industry or equivalent related to and as necessary for the certification process. (e.g., sustainability, palm oil management; agriculture, ecology; social science)	Mohd Nur Amin Bin Mohd Halim	6 years 10 months of working experience in both upstream & downstream division on managing sustainability of oil palm industry.	Yes
	Joseph Sim Siaw Seng	4 years of working experience in Health and Safety and 3 years of working experience in plantations.	Yes
Successfully completed MS 2530 series of standards training	Mohd Nur Amin Bin Mohd Halim	Successfully completed MS 2530 series of standards training	Yes
	Joseph Sim Siaw Seng	Successfully completed MS2530 series of standards training.	Yes
Conducted a minimum six (6) on-site audits for a total of at least 20 man-days of audit experience as an auditor-in-training under the direction and guidance of a qualified Lead Auditor for MSPO or equivalent sustainability certification schemes.	Mohd Nur Amin Bin Mohd Halim	Qualified as auditor for MSPO scheme.	Yes
	Joseph Sim Siaw Seng	Auditor in training	Yes
A good knowledge in handling and evaluating sources of information and data. Able to communicate in Bahasa Malaysia, English and / or any other local language.	Mohd Nur Amin Bin Mohd Halim	Able to communicate in Bahasa Malaysia and English.	Yes
	Joseph Sim Siaw Seng	Able to communicate in Bahasa Malaysia, Mandarin and English.	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Requirement	Assessor	Qualification	Compliance
Field working experience in the palm oil sector, or demonstrable equivalent	Mohd Nur Amin Bin Mohd Halim	6 years 10 months of working experience in both upstream & downstream division on managing sustainability of oil palm industry.	Yes
	Joseph Sim Siaw Seng	4 years of working experience in Health and Safety and 3 years of working experience in plantations.	Yes
Good Agricultural Practices (GAP), and Integrated Pest Management (IPM), pesticide and fertilizer use	Mohd Nur Amin Bin Mohd Halim	6years 10 months of working experience in both upstream & downstream division on managing sustainability of oil palm industry.	Yes
	Joseph Sim Siaw Seng	4 years of working experience in Health and Safety and 3 years of working experience in plantations.	Yes
Health and safety auditing on the farm and in processing facilities, for example ISO 45001 or Occupational, Health & Safety Assurance System	Mohd Nur Amin Bin Mohd Halim	Successfully completed IMS ISO 9001, 14001, 45001 Lead Auditor course	Yes
	Joseph Sim Siaw Seng	Successfully completed IMS ISO 9001, 14001, 45001 Lead Auditor course	Yes
Worker welfare issues and social auditing experience, for example with SA8000 or related social or ethical accountability codes	Mohd Nur Amin Bin Mohd Halim	Successfully completed Basic SA 8000 training. Qualified as auditor for MSPO scheme.	Yes
	Joseph Sim Siaw Seng	Successfully completed Basic SA 8000 training.	Yes
Environmental and ecological auditing, for example experience with organic agriculture, ISO 14001 or Environmental Management Systems (EMS) or High Conservation Value (HCV)	Mohd Nur Amin Bin Mohd Halim	Successfully completed IMS ISO 9001, ISO 14001 and ISO 45001 LA course and auditor for MSPO scheme.	Yes
	Joseph Sim Siaw Seng	Successfully completed IMS ISO 9001, 14001, 45001 Lead Auditor course	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



2. METHODOLOGY

The audit approach onsite audit consists of the following steps:

- Contract review;
- Appointment of team members and technical reviewer;
- Contact client for relevant documentation according to the applicable MSPO standards;
- Audit planning;
- Background investigation, desk review of submitted documents;

Onsite Audit:

- On-Site assessment, inspections, interviews with operational personnel, stakeholders and its contractors; review of documentation;
- On-site reporting
- Resolution of non-conformance (NC) (if any)
- Draft audit reporting
- Technical review
- Final audit reporting
- Final approval, certification decision and issuance of certificate.

The surveillance audit is conducted in two stages in accordance to the certification procedure.

ASA 01:

ASA 01 is conducted on 24/08/2020 – 25/08/2020 at Apogee Plantation estate that covers desk review activities:

- Background investigation
- Review of documentation established but not limited to below
 - Group Operating Policies
 - Estate maps
 - Land titles
 - Standard Operating Procedures including Agricultural Manual
 - Work Flow Charts
 - Operating licenses and approvals
 - Operating records
 - Training records
 - Applicable Legislation Documents
- Interviews of relevant operation personnel
- Assessment reporting

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



ASA 01:

ASA 01 conducted on 24/08/2020 to 25/08/2020 for onsite covers the following activities but not limited to below:

Onsite:

- Onsite visit, observations and inspections of estate facilities and field activities;
- Interview operation personnel and field workers for understanding for the work assigned;
- Reviewed revised and updated documentation established and implemented;
- Operating records;
- Training records;
- Reports established;
- Stakeholders consultation meeting;
- Assessment reporting;

On-site Assessment

The audit of the estate is conducted according to the MS 2530-3:2013 Part 3 General principles for Oil Palm Plantations and Organised Smallholders.

The methodology for collection of objective evidence included physical site inspections, observation of tasks and processes, interviews of stakeholders, communities, staff, workers and their families, review of documentation and data. Checklists and questionnaires were used to guide the collection of information. The comments made by external stakeholders are taken into account in the assessment.

For the onsite, ASA 01, the selected estate based on the formula $S = 1.0\sqrt{n}$ where S = sample size and n = number of estates which is in accordance to MSPO certification procedure.

For the ASA 01, Apogee Plantation Sdn Bhd has 1 estate. Therefore, no selection required.

Table 2-1: List of Estate Selected

Name of Estate	Coordinates
Apogee Plantation Sdn Bhd	N 5°34'17.9", E 117°23'02.0"

Non-conformance:

On the basis of the desk review, evidences presented during the audits as well as from the onsite visits non-conformance (NC) Major, Minor and Opportunity for Improvement (OFI) may be raised during the audit. Major non-conformance shall be addressed and responded with 60 days from closing date of audit. For minor non-conformances raised and action plan to be submitted within 30 days from closing date of audit for review and acceptance. Implementation of Minor NC will be review and verify in the next audit.

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



3. ORGANISATION INFORMATION

Apogee Plantation Sdn Bhd is an oil palm plantation company located at block 5, lot 2 & 3, ground floor Bandar Indah, 90706 Sandakan, Sabah.

The details of the estate as below:

Name of Estate	Location	Coordinates
Apogee Plantation Sdn Bhd	Mile 69, Jalan Telupid, Telupid, Beluru, Sabah, Malaysia	N 5°34'17.9", E 117°23'02.0"

3.1. Production volume

Name of Estate	Area (Ha)		Projected FFB Production (mt) (Jan 2020 to Dec 2020)
	Total*	Production**	
Apogee Plantation	274.06 Ha	244.36 Ha	6,000.00 mt
Total	274.06 Ha	244.36 Ha	6,000.00 mt

*includes productive and non-productive area (infrastructures, conservation, HCV, housing & office compound use, set aside area etc.)

**Immature + Mature Area

3.2. Planting Statement

Year	Apogee Plantation (Ha)
2002	109.54
2003	123.89
2004	10.93
Total Mature	244.36
Total Immature	-
Total	244.36

3.3. Replanting program for each estate

Apogee Plantation Sdn Bhd has not establish replanting programme since the palms are still in the production phase.

Year of replanting	Planted area (ha) in each estate	Total area to be replanted (ha)
NIL	NIL	NIL

The expected 1st replanting is in year 2025.

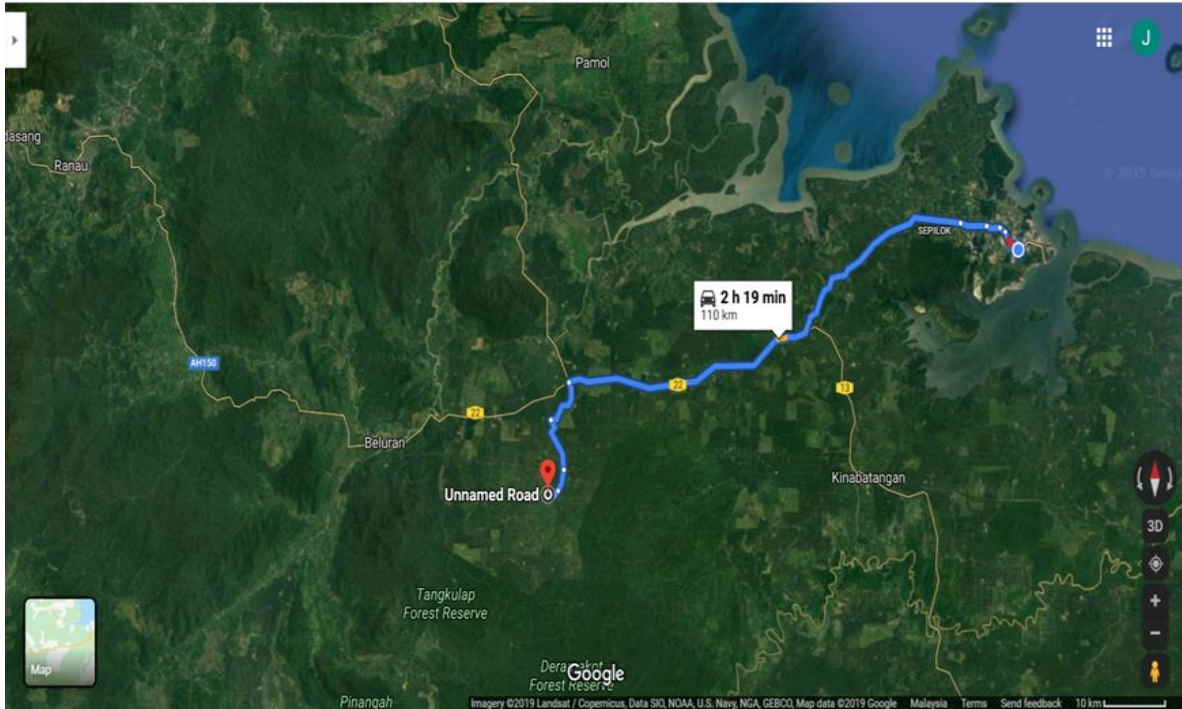
MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd
 Certifying Unit: Apogee Plantation Sdn Bhd
 Client Number: 92-091
 Audit Type: ASA 01
 Mode of Audit: Onsite

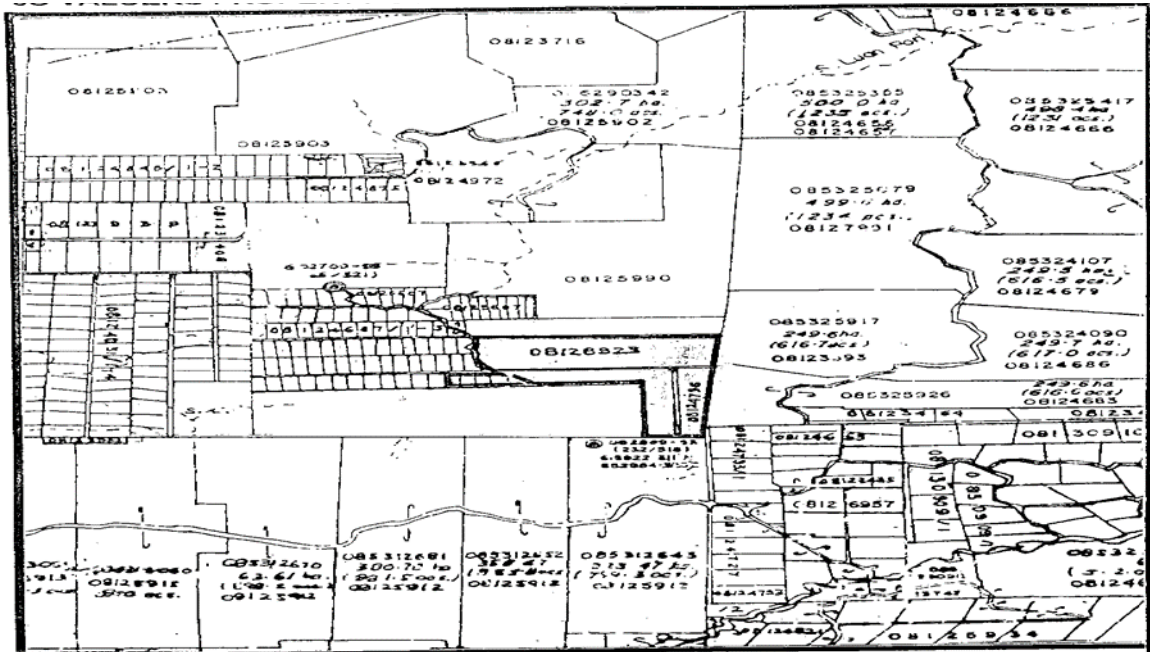


3.4. Maps of Company Location and Plantation

Map No. 1



Map no. 2



MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



4. CERTIFICATION ASSESSMENT

4.1. ASA 01

The objective of the audit is to assess the activities of the estate are in compliance with MS 2530-3:2013 Part 3 General principles for Oil Palm Plantations and Organised Smallholders.

4.1.1. ASA 01 Audit:

The onsite audit is conducted on 24/08/2020 to 25/08/2020 covering one estate.

During the onsite audit, there is 1 Major and 2 Opportunities for Improvement (OFI) are raised. The Major non-conformance raise during the audit are closed out by means of document review that are established, revised and implemented appropriately and preventive actions taken.

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

The audit findings if any, raised in this audit refer to Section 4.6 of this report.

4.2. Stakeholders' Consultation

TUV NORD (Malaysia) Sdn. Bhd., has published the public notification on 30/07/2020 as to accommodate stakeholder's consultation meeting for Apogee Plantation Sdn Bhd to provide comments. As at audit date on 24/08/2020 there are no comments received.

Invitation letters are sent on 30/07/2020 to invite relevant stakeholders to attend a local stakeholders' consultation on 24/08/2020 to gather information from the local communities in accordance to §7, 3.2 of the Certification Procedure requirements.

The topics of discussion are as below:

1. Introduction of MSPO certification.
2. Development of oil palm plantations
3. Community service and support provided
4. Wildlife management and wildlife corridor
5. Type of wildlife sighted at the plantations and wildlife corridor.
6. Local communities' development.

The following relevant Principles & Criteria of the applied standard are discussed during the stakeholders' consultation:

1. Principle 2 Criteria 2 Indicator 1: Consultation and Communication with stakeholders:
The stakeholders could confirm they have attended meetings with the company on MSPO certification.
2. Principle 4 Criteria 2 Indicator 3 & 4: A complaint form should be made available at the premises, where employees and affected stakeholders can make a complaint
The stakeholders' advice they are informed a logbook and form is available at the office to lodge any complaints or suggestions.

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



3. Principle 4 Criteria 3 Indicator 1: Contribute to local development in consultation with the local communities.

The local communities could confirm the company has provide assistance and support to communities.

4. Principle 6 Criteria 4 Indicator 1: Where contractors are engaged, they shall understand the MSPO requirements and shall provide the required documentation and information

The contractors who provides maintenance and service could confirm they are briefing on MSPO requirements.

There are no issues raised during the stakeholder's consultation in terms of tenure and/or use rights, social or environmental aspects of management and operations that need to be addressed by the certified unit. It can be concluded the relevant Principles and Criteria clauses of the applied standard are in compliance.

The list of stakeholders who attended the meeting refer to Table 7-1

Items	Subject discussed	Audit team findings	Company response and proposed action to be taken
1	Any information from Company as regards to the MSPO audit?	Stakeholders interviewed confirmed that they received the information from company in regards to MSPO audit. Stakeholders are aware of Apogee Plantation is in process for MSPO certification.	No Action Required
2	Social issues	Stakeholders interviewed confirmed there is no social issue or concern during stakeholders meeting.	No Action Required
3	Type of land title – Country Leased, Provisional Leased, Native title, Customary Land	Stakeholders interviewed not local communities. Therefore, no input for this topic.	No Action Required
4	Economy / livelihood Is there any impact on livelihood after the introduction of MSPO?	Stakeholders interviewed not local communities. Therefore, no input for this topic.	No Action Required
5	Does MSPO largely benefits the local community?	Stakeholders interviewed not local communities. Therefore, no input for this topic.	No Action Required
6	Environmental understanding	Stakeholders interviewed informed they have not encounter any negative impacts from the estate operation.	No Action Required

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Items	Subject discussed	Audit team findings	Company response and proposed action to be taken
7	Awareness towards species, habitats, and high conservation values	Stakeholders are aware on the wildlife surrounding the estates. They inform no hunting of any wildlife.	No Action Required
8	Are there any plantation management practices that affect you?	Stakeholders interviewed informed there is no management practices affecting them.	No Action Required
9	Do you consider any management is in conflict with the MSPO principles and criteria?	Stakeholders informed the management had taken effort to meet the MSPO requirements.	No Action Required
10	Do you have any suggestions for management?	No suggestion made by any stakeholders.	No Action Required

4.3. Summary of Assessment

Principle and Criteria Assessment Summary

The assessment team conduct a thorough assessment of each principle and criteria. Over the 5 years' period of the certificate cycle, there will be 4 annual surveillance audits with all criterions will be assessed. Evidences are sought for conformity with the MSPO 2530-3. The summary of the assessment as below, where the "Findings/Comments" column reflects the findings in accordance with each criteria and indicator or evidences and when non conformity is found. Summary of the non-conformity can be found below

Principle 1: Management Commitment & responsibility

Indicator	Summary of Assessment	Compliance
4.1.1.1	Apogee Plantation established the Sustainability Policy (MSPO policy) dated 01/01/2019 and signed by Managing Director. The policy available in Bahasa Malaysia and English and publicly available at office notice board. Policy briefing is conducted stakeholders meeting includes MSPO policy briefing dated 20/07/2020. Interview with workers they are understand the MSPO policy.	Yes
4.1.1.2	Apogee Plantation established the Sustainability Policy (MSPO policy) dated 01/01/2019 and signed by Managing Director. Apogee Plantation included a statement on commitment to continuous improvement in the Sustainability policy. The policy stated that "we are committed to adhere to MSPO Certification principles and criteria that will ensure sustainability and continuous improvement"	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 1: Management Commitment & responsibility		
Indicator	Summary of Assessment	Compliance
4.1.2.1	<p>Apogee Plantation established SOP for internal audit, updated 22/10/2019.</p> <p>The internal audit planning by quarterly and will be conducted time to time if necessary.</p> <p>Latest internal audit is conducted on 16/03/2020 and 15/06/2020.</p>	Yes
4.1.2.2	<p>Apogee Plantation established SOP for internal audit, updated 22/10/2019. The result of internal audit is identified based on Yes, No or Not applicable category.</p> <p>Finding: Disposal method of scheduled wastes.</p> <p>Root cause analysis: Availability of scheduled wastes authorised contractor</p> <p>Action plan: To dispose scheduled wastes via authorised contractor e SWIS. As audit date the status of disposal scheduled wastes are still pending.</p> <p>PIC: Plantation Manager</p> <p>Time frame: On going</p> <p>Latest internal audit is conducted on 15/06/2020.</p>	Yes
4.1.2.3	<p>Management review conducted on 21/07/2020.</p> <p>Results of Internal audit conducted on 15/06/2020 is discuss in the management review.</p>	Yes
4.1.3.1	<p>Apogee Plantation conducted management review dated 21/07/2020 includes:</p> <ul style="list-style-type: none"> • Internal audit review • MSPO compliance • Operation matters • Complaint and grievances issues • Employees safety & health issues • Employees welfare & benefits 	Yes
4.1.4.1	<p>Apogee Plantation established Continual Improvement Programme (CIP) dated 25/07/2020.</p> <p>The CIP includes:</p> <ul style="list-style-type: none"> • Environment • Waste reduction • Pollution and emission • Social impact 	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 1: Management Commitment & responsibility		
Indicator	Summary of Assessment	Compliance
	<p>Review on CIP table include activity, unit, time frame implement date, person in-charge, improvement action to be taken, expected outcome and completion date.</p> <p>Example:</p> <p>Improvement Action: Provide housing and other basic necessity for the employee</p> <p>Expected outcomes: Maintain and increase the living quality of the employee</p> <p>Time Frame: Continues program</p> <p>Review and monitor: Schedule inspection of the housing provided to ensure sustainability</p> <p>Location: Estate</p> <p>Responsibility: Estate Manager & Plantation Manager</p> <p>Status Review: Continuously monitored</p>	
4.1.4.2	<p>Apogee Plantation established the flowchart for new technology information and technique dated 29/03/2019.</p> <p>The flowchart includes the initial part of communication with new technology supply or product, implementation and monitoring for further improvement.</p> <p>The flowchart highlighted that worker will be informed on the new information, technique and technology when it is ready for implementation.</p>	Yes
4.1.4.3	<p>The flowchart highlighted that worker will be informed on the new information, technique and technology when it is ready for implementation</p>	Yes

Principle 2: Transparency		
Indicator	Summary of Assessment	Compliance
4.2.1.1	<p>Apogee Plantation established list of publicly available document and information dated 25/03/2019 and displayed at estate information board.</p> <p>The available documents are in both Bahasa Malaysia and English languages and displayed at estate notice board.</p> <p>As of audit date, no request of information observed in the record book.</p>	Yes
4.2.1.2	<p>Apogee Plantation establish list of publicly documents dated 25/03/2019.</p> <p>Example of publicly documents:</p> <ul style="list-style-type: none"> • Company Policies • Complaint and Grievances • Information procedure 	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 2: Transparency		
Indicator	Summary of Assessment	Compliance
	<p>Example of confidential documents:</p> <ul style="list-style-type: none"> Financial Statements Summary of land titles 	
4.2.2.1	<p>Apogee Plantation established Consultation and communication procedure updated 06/08/2019.</p> <p>The complaint / grievances is part of consultation and communication procedure</p> <p>Apogee Plantation defined the time frame for procedures as below:</p> <ul style="list-style-type: none"> Complaint and Grievance: 30 days. Sexual Harassment: 14 days <p>The procedure was communicated to stakeholders on 20/07/2020 morning for internal stakeholders and afternoon for external stakeholders.</p>	
4.2.2.2	<p>The office executive is the appointed person to handle consultation and communication and made known to stakeholders.</p>	Yes
4.2.2.3	<p>Apogee Plantation established list of stakeholders that include authorities, neighbouring estates, contractors, suppliers and mills.</p> <p>Review on the stakeholder request information log book, there is no request for information from stakeholders and this was confirmed with company director.</p>	Yes
4.2.3.1	<p>Apogee Plantation established standard operating procedure (SOP) on traceability system.</p> <p>List of documents involved in traceability was:</p> <ul style="list-style-type: none"> Harvesting records FFB Delivery Notes Weighbridge Tickets 	Yes
4.2.3.2	<p>Apogee Plantation monitor the traceability system records on daily basis at estate operation and monthly basis at head office.</p> <p>Latest monitoring inspection on checklist dated 15/08/2020 to crosscheck on records available in the estate.</p>	Yes
4.2.3.3	<p>Apogee Plantation appoints the Estate Manager as person in charge to maintain the traceability system records in estate as stated in Traceability of SOP.</p>	Yes
4.2.3.4	<p>Apogee Plantation maintain records of sales and delivery of FFBs.</p> <p>Records on 15/08/2020 are reviewed:</p> <p>Log sheet of FFB dispatch to mill records are crosscheck with daily harvesting records, total FFB bunches against weighbridge tickets on date received by mill and delivery note.</p>	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 2: Transparency		
Indicator	Summary of Assessment	Compliance
	The unique identification number is the delivery note number stated in the mill weighbridge ticket.	

Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
4.3.1.1	Apogee Plantation established master list of legal requirement dated 01/07/2020 and follow up on updates on validity of each license. Example of updated licenses: <ul style="list-style-type: none"> MPOB License No: 5023160200 valid until 31/07/2020 Trading license No: A 245072 valid until 31/12/2020 Labour license No: JTK.H.SDK.600-4/1/1/01261/002178 valid until 01/04/2021 	Yes
4.3.1.2	Apogee Plantation established master list of legal requirement dated 01/07/2020. The list has included all applicable laws for Sabah region. Example of laws and regulations listed: <ul style="list-style-type: none"> Employment Act 1955 Immigration Act 1959 Prevention and control of infectious diseases Act 342 	Yes
4.3.1.3	The summary of legal documents last updated on 01/07/2020. Example: Prevention and control of infectious diseases Act 342	Yes
4.3.1.4	Apogee Plantation has assign person appointed to update is the office executive.	Yes
4.3.2.1	Apogee Plantation established list of land titles and reviewed. All land titles are 100% native land. No diminish of land usage. Type of activity: the cultivation of an agricultural crop of economic value.	Yes
4.3.2.2	Land titles issued by Land Authority of Sabah are maintain on file. Land title are native titles as freehold with no period of tenure	Yes
4.3.2.3	Map of land was incorporated in the land title documents. The map indicates information such as district, locality, scales and coordinate number. Boundary markers are stated at the estate maps and are matching.Site observation boundary markers are well maintained.	Yes
4.3.2.4	Apogee Plantation land are purchased from previous owner have been approved for transfer by State Land Department. Therefore, no disputes found during document review.	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
4.3.3.1	<p>Apogee Plantation land titles are 100% Native Title issued by the Sabah State Land and Survey Office.</p> <p>There are no customary land title. Therefore, there are no land use rights issues.</p> <p>Land titles are native titles wholly owned by the company directors.</p> <p>Native titles are freehold with no period of tenure.</p>	Yes
4.3.3.2	<p>Apogee Plantation does not has any customary land, therefore, no map available.</p>	Yes
4.3.3.3	<p>Land titles have proper transfer from one party to another duly approved by the state land department.</p> <p>No FPIC involved.</p>	Yes

Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.1.1	<p>Apogee Plantation established SIA dated 01/07/2020.</p> <p>A table in the SIA report describing the positive impacts, promoting measure, negative impacts and mitigation measures. The identified negative impacts are address.</p> <p>Example:</p> <p>Request of water pump for shower / cleaning during drought season.</p> <p>Mitigation: Purchase of water pump to be used in the events of drought season for cleaning / showering purposes.</p> <p>Action Plan: Estate manager will actively monitor the estate needs and inform the Plantation Manager if more basic amenities are needed.</p> <p>The SIA report include feedback from internal and external stakeholder, impacts, action plan, person in charge and time frame.</p>	Yes
4.4.2.1	<p>Apogee Plantation established a flow chart for complaint and grievances dated 25/03/2019.</p> <p>The flowchart described the process of complaint and grievances starting from rising, receiving complaint form to resolution of complaint.</p> <p>Estate Manager appointed as person in charge to handle matters related to complaint and grievances.</p> <p>Site interviewed with workers informed they are aware of complaint process.</p>	Yes
4.4.2.2	<p>The complaint and grievance record book reviewed with no complaints and grievances lodged by internal and external stakeholders as of audit date.</p>	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 4: Social Responsibility, health, safety and employment conditions			
Indicator	Summary of Assessment	Compliance	
4.4.2.3	The complaint and grievance form and box located at estate office and security post gate.	Yes	
4.4.2.4	Apogee Plantation conducted stakeholders meeting on 20/07/2020 included complaints and grievances procedure. Interviewed with workers confirmed that they are aware and understood on the procedure.		
4.4.2.5	The complaint and grievance record book reviewed with no complaints and grievances lodged as at audit date. The complaint record is maintained since August 2019 until audit date.	Yes	
4.4.3.1	Apogee Plantation contributes to the local people by providing work opportunity to the local people as office and field supervision.	Yes	
4.4.4.1	Apogee Plantation established OSH policy dated 01/06/2019 signed by Managing Director. The policy states that "The company recognize its employees as the most important and biggest asset. It strives to continuously provide a safe and healthy environment in all company's workplaces. The joint effort of the management and all level of employees is very crucial in order to achieve this noble aspiration." The policy is displayed at the estate notice board. Internal and external stakeholders are briefed on the policy and safety management plan on 20/07/2020.	Yes	
4.4.4.2	a	OSH Policy is displayed at the estate notice board. Workers are brief on the policy on 20/07/2020.	Yes
	b	HIRARC is establish for respective operation activities applicable to the estate base on the risk assessment table, last updated 21/07/2020. The table with headings: Activity, Hazard, Risk and Effects, Risk Assessment (Consequences, Likelihood, Risk Risking), Existing Control, Risk Control Proposal, PIC, Risk Assessment after Control (Consequences, Likelihood, Risk rating, Description) Date review. Example: Activity: Pruning Hazard: fronds falls on the worker Risk and Effect: Cut or Injury Risk Assessment: Consequence: 4 Likelihood: 2 Risk Rating: 8	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>Existing Control: Training and briefing</p> <p>Risk Control Proposal: Engineering or Administrative</p> <p>Constant Monitoring</p> <p>PIC: Estate Manager / Mandore</p> <p>Risk Assessment after control:</p> <p>Consequence: 3 (low)</p>	
c i	<p>Workers are briefed on safe work practices SOP on 30/12/2019.</p> <p>Interviewed workers are aware of the safe work practices.</p>	Yes
c ii	<p>SDS is available at chemical, fertilizer and diesel stores.</p> <p>Example:</p> <p>Chemical Petronas Hydraulic 46 (mineral or synthetic oil) revision date 10/03/2017.</p> <p>SDS are available in English and Malaysia language.</p> <p>Chemical store is in good condition and locked. Liquid chemical placed in tray below and powder chemical placed on top.</p>	Yes
d	<p>Apogee Plantation established records of PPEs issuance and review on the records are maintained and updated.</p> <p>Type of PPE for activity in accordance to HIRARC and CHRA assessment is identified.</p> <p>Example: Chemical Application</p> <p>Goggles, Face Mask, Apron, Rubber Boots and Rubber Gloves</p> <p>Medical surgical mask is given to the worker for the precautionary of Covid-19.</p> <p>PPE medical face mask are issued to all worker for prevention of COVID-19.</p>	Yes
e	<p>Apogee Plantation established SOP for safe work procedure chemical mixing date 01/07/2019 with pictorial diagram made available at chemical store and pre-mixing area.</p> <p>CHRA is conducted on date 05/03/2019 and valid for 5 years.</p> <p>All chemicals have original labelling and in original packaging.</p>	Yes
f	<p>The estate manager is the appointed person in-charge of safety and health.</p>	Yes
g	<p>Apogee Plantation has a total number of 31 workers. Establishment of Safety and Health Committee is not applicable as per Occupational Safety and Health Act 1996 section 30 requirements.</p>	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>However, discussion on safety and health agenda and Covid-19 was documented in the minutes meeting of stakeholder consultation on 20/07/2020.</p>	
	<p>h Apogee Plantation established ERP in OSHMP section 4 Emergency Response and list of emergency contact persons and numbers.</p> <p>The emergency contact details are display at the estate office notice board.</p> <p>Sighted training record on emergency drill and fire drill on 20/07/2019 conducted by estate manager.</p> <p>Briefing record sighted on the prevention of Covid-19 has been conducted on 21/03/2020 and workers have been informed on the SOP and personal hygiene practices.</p>	Yes
	<p>i First aid training conducted on 23/06/2019 by Red Crescent Sandakan.</p> <p>The security post guard, estate clerk and estate supervisor are trained as first aiders.</p> <p>First aid kits available at work site, estate office and housing manage by estate manager and mandore.</p>	Yes
	<p>j Records of injuries are kept and maintained at estate office.</p> <p>Major Non conformity no. 1</p> <p>In year 2019, there is no accident occur. However, annual accident reporting record was not submitted to DOSH</p>	No
4.4.5.1	<p>Apogee Plantation established Human Rights Policy dated 01/01/2019 sign by Managing Director.</p> <p>The policy is displayed at estate notice board.</p> <p>Human Right policy was briefed to the stakeholder during the stakeholder meeting on 20/07/2020.</p> <p>Interview with workers informed they are aware on the Good Social Practice policy.</p>	Yes
4.4.5.2	<p>Apogee Plantation Recruitment and Selection Policy dated 01/01/2019 include a statement "Commit to the fair treatment of its staff or users of its services, regardless of nationality, age, gender, religion, responsibilities for dependents, age, physical and / or mental disability or offending background."</p> <p>Interviewed with workers no discrimination practices in estate.</p>	Yes
4.4.5.3	<p>Apogee Plantation adopted the minimum wage order 2020 as wage structure for HQ office staff and estate workers.</p>	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>Harvesters, manuring and chemical spraying are piece rated with rate duly agree by workers and management.</p> <p>Sighted the establish piece rates for harvesting, maintenance activities, field transport and loading duly agreed by the workers such as Harvesting rates are RM30 per ton.</p> <p>Example:</p> <p>Interview with Managing Director informed harvester rates RM30 per ton of FFB as from Feb 2020. Review workers' pay slips and against check roll the wages paid as per agreeable piece rates of harvesting.</p>	
4.4.5.4	<p>Apogee Plantation does not engage contractors for field activities in the plantation.</p> <p>Therefore, no documents established for review.</p>	Yes
4.4.5.5	<p>The summary list of workers established includes name, gender, DOB, Nationality, Passport no, DOJ and job description.</p>	Yes
4.4.5.6	<p>Work Contract is duly signed by both worker and management.</p> <p>Work Contract details in accordance to Sabah Labour requirements that include annual leave, public holidays, sick leave, maternity leave and working hours.</p>	Yes
4.4.5.7	<p>The daily check roll is used to monitor workers reporting to work.</p> <p>Working hours are displayed at estate office notice board.</p> <p>Interviewed with workers informed they aware on estate working hours</p>	Yes
4.4.5.8	<p>Apogee Plantation working hours are complying with Sabah Labour Ordinance 1950 (Chapter 67)</p> <p>Standard working hours throughout the estates within Apogee Plantation:</p> <p>Working hours: 6.00 am to 02.00 pm</p> <p>Break time: 11.00 am to 12.00 noon</p> <p>Observation and interview with workers informed hey are aware on working hours.</p>	Yes
4.4.5.9	<p>Apogee Plantation provide pay slip to all workers documenting wage for the month and any overtime performed.</p> <p>Workers are paid either piece rate or daily rate.</p> <p>Pay slip for workers was reviewed which of either daily or piece rate, overtime and deduction.</p>	Yes
4.4.5.10	<p>Apogee Plantation provides both local and foreign workers such as medical cost, annual leave, sick leave, insurance, SOCSO and public holidays as listed in the employment contract.</p>	Yes
4.4.5.11	<p>Apogee Plantation adopted the industry best practices for workers housing quarters with electricity and water supplies.</p>	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	Site observation the living quarters has basic amenities and sufficient space for the family or those unmarried.	
4.4.5.12	<p>Apogee Plantation establish Prevention and Eradication of Sexual Harassment in work place policy dated 01/01/2019 signed by Managing Director.</p> <p>The policy states the commitments and action taken on harassment complaints.</p> <p>There are no complaints related to sexual harassment.</p> <p>Interviewed workers aware and understand the Harassment policy. They confirmed no sexual harassment occur in their workplace</p>	Yes
4.4.5.13	<p>Apogee Plantation establish Equal Opportunity Employment & Freedom of Association policy dated 01/01/2019 signed by Managing Director.</p> <p>The policy include a statement "The freedom of association shall be initiated according to the Labour Laws and Immigration Act of Malaysia" and display at estate notice board.</p> <p>Workers are brief during internal stakeholders meeting on 20/07/2020 included Equal Opportunity Employment & Freedom of Association policy.</p>	Yes
4.4.5.14	<p>Apogee Plantation Recruitment and Selection policy dated 01/01/2019 include a statement the minimum employment age is 18 years and available at estate notice board.</p> <p>List of workers are reviewed and there are no underage workers employed by estates.</p> <p>Review on workers list and field observation indicates the no children or young persons hired by company.</p>	Yes
4.4.6.1	<p>Apogee Plantation established training procedure dated 10/08/2019 and annual training programme.</p> <p>Type of training conducted:</p> <ul style="list-style-type: none"> - Orientation and training for new estate worker/staff conducted on 05/03/2020. - Covid-19 Precautionary Measures and briefing for workers conducted on 21/03/2020. 	Yes
4.4.6.2	<p>Apogee Plantation conducted trainings for worker based on the job assigned.</p> <p>Example:</p> <ul style="list-style-type: none"> - Harvesting SOP conducted on 30/12/2019 for harvester. - Orientation and training for new estate worker/staff conducted on 05/03/2020. 	Yes
4.4.6.3	<p>Continuous Training programme established on 10/02/2020 which includes training for health, safety, environment and social.</p>	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>For examples:</p> <ul style="list-style-type: none"> MSPO Company Policies Briefing Demonstration of Emergency Procedure SOP Briefing on Related Work Scope/ Operation 	

Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
4.5.1.1	<p>Apogee Plantation established environmental quality policy updated 22/07/2020 signed by Managing Director.</p> <p>In the policy a statement “when required by legislation or when significant health, safety and environmental hazards exists, develop and maintain appropriate emergency response programme”.</p> <p>The management plan includes the objective to ensure conformation to all the activities are within the Law / Acts and legislation of State and Nation.</p> <p>Briefing on Environmental Quality Policy and Environmental Management Plan to workers was conducted on 22/07/2020.</p> <p>Sighted policy is displayed on the estate office notice board.</p>	Yes
4.5.1.2	<p>a The established environmental policy describes the purpose and objectives.</p> <p>Example: Integrate the consideration of environmental concerns and impacts into all of our decision making and activities.</p>	Yes
	<p>b Apogee Plantation environmental management plan updated 22/07/2020 describes Environmental Aspects and Impacts</p> <p>Risk analysis table establish</p> <p>Example:</p> <p>Activity: Storage of chemicals</p> <p>Aspect: Spillage of chemicals and subsequent release into the environment.</p> <p>Impacts: Pollution to soil quality</p> <p>Risk: Low</p> <p>Mitigation and Improvement Plan: Pre-mix room set up and also use for chemical storage with area locked and only accessible by authorized personnel. Any spillage of chemicals in this area will be self-contained.</p> <p>Monitoring Plan: Chemical movement report book.</p> <p>PIC: Estate Manager</p>	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
4.5.1.3	<p>Apogee Plantation established Environmental Management Plan that include the list negative impacts.</p> <p>The negative impacts listed are mitigated and monitored through an internal assessment on a yearly basis. The last inspection in on 15/06/2020.</p> <p>Example:</p> <p>Activity: Disposal of sparing equipment / containers</p> <p>Aspect: Incorrect disposal of contaminated containers.</p> <p>Negative Impact: Waste management issue</p> <p>Risk: High</p> <p>Mitigation and Improvement Plan: Chemical containers are stored and locked in Pre-mix room and assigned staff is trained to triple rinse all used chemical containers and to puncture them when not needed anymore.</p> <p>Monitoring Plan: Container movement report book.</p> <p>PIC: Estate Manager</p>	Yes
4.5.1.4	<p>There are two positive impacts identified for monitoring and to promote.</p> <p>Example:</p> <p>Activity: Waterways / stream and surrounding Land</p> <p>Positive Aspect: Protection and preservation of buffer zones in planted areas</p> <p>Positive Impact: Reduced pollution to water, biodiversity and community impacts.</p> <p>Risk: Moderate</p> <p>Promoting Plan: Training of estate workers and supervision not to do any chemical or weeding near the buffer zone.</p> <p>Monitoring Plan: yearly refresher training conducted and quarterly internal audit checklist.</p>	Yes
4.5.1.5	<p>Apogee Plantation conducted briefing on Environmental Policy and Sustainability Policy to workers was conducted on 22/07/2020.</p> <p>Interviewed workers informed their understanding of the policy and to dispose waste in landfill.</p>	
4.5.1.6	<p>Apogee Plantation conduct the latest environment meeting on 20/07/2020.</p> <p>Example of topics discussed scheduled wastes, open burning, riparian, environment policy and environment impact training.</p>	Yes
4.5.2.1	<p>Apogee Plantation established 3 years baseline fossil fuel usage for year 2017, 2018 and 2019 as baseline consumption to monitor non-renewable energy usage.</p>	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	Records for June 2020 is review with high diesel consumed due to high frequency of transportations movement ro deliver FFBs..	
4.5.2.2	Apogee Plantation established diesel records for year 2020 and update monthly. Records of diesel consumption on monthly basis is reviewed that include estimated diesel used and actual usage for comparison of operations and power generation.	Yes
4.5.2.3	Apogee Plantation installed solar panels as renewable energy for estate office usage to reduce diesel usage.	Yes
4.5.3.1	Apogee Plantation established Waste Management Plan updated 23/07/2020 that include the identified type of wastes, sources and disposal method. Example: <ul style="list-style-type: none"> • Type of Waste: Used engine oil • Waste source: Workshop • Disposal Method: Collect by authorized scheduled waste collector Monitoring record of waste generated established. Sighted records for empty chemical containers reused for chemical premix purpose or storage of rinsed water.	Yes
4.5.3.2	a Apogee Plantation waste management plan updated 23/07/2020 include the type of waste, pollution sources, monitoring plan and disposal method Sources of waste has been identified: <ul style="list-style-type: none"> • Gaseous waste – smoke • Solid waste – fertilizer bag • Liquid waste – mixing pesticide 	Yes
	b Apogee Plantation waste management plan include identification of wastes type that could be reduce, reuse & recycle Example: Pruned fronds: Recycle as nutrients for soil conditioning Plan & Monitoring: To implement correct method for fronds stacking to retain soil surface moisture and enhance the soil nutrient structure.	Yes
4.5.3.3	Apogee Plantation establish SOP for handling of used chemical for proper storage and disposal of used chemicals. Current practise adopted by estate is to dispose scheduled wastes through licensed collectors.	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	Monitoring records established to ensure quantities of the scheduled wastes are not more than 20 mt or 180 days to be kept.	
4.5.3.4	<p>Apogee Plantation established document for empty chemical container handling updated 23/07/2020.</p> <p>Empty chemical containers will be triple rinsed and marked with red ring for reused for premix, spraying activities or kept in the store.</p> <p>Sighted records of empty chemical containers either for reused for chemical spraying activities or punctured and stored for disposal.</p>	Yes
4.5.3.5	<p>Apogee Plantation established landfill area for domestic wastes disposal.</p> <p>Site visit verify that the landfill is away from waterways and workers housing. The landfill is fenced up and installed signboard with open date, and no burning</p>	Yes
4.5.4.1	<p>Apogee Plantation establish waste management plan that describe updated 23/07/2020 describe the 3 categories of wastes generated namely gas, solid and liquid.</p> <p>Example: Identification on the gases pollution</p> <ol style="list-style-type: none"> 1. Frond – Methane 2. Landfills -Methane 3. Tractor & vehicle -Carbon Monoxide 4. Fertilizer – Methane 5. Weeds - Methane <p>Example of disposal method for wastes:</p> <ol style="list-style-type: none"> 1. Used lubricant oil <p>Disposal method: Competent Contractor</p> <ol style="list-style-type: none"> 2. Domestic Waste <p>Disposal method: Landfill</p>	Yes
4.5.4.2	<p>Apogee Plantation established action plan to reduce identified significant pollutions and emissions and included in Continual Improvement Plan (CIP).</p> <p>Example: Tractor & vehicle</p> <p>Improvement action: Continuously monitoring of efficient used of fossil fuel</p> <p>Expected outcome: Continually monitoring diesel usage for all type of machineries and vehicles in the estate for efficient fuel consumption.</p> <p>Time frame: on going</p> <p>Review and monitor: Diesel use record</p> <p>Location: Estate</p>	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	Responsibility: Estate Manager & mandore Status review: Monthly record Review diesel consumption records for monitoring of usage confirm the increase of diesel usage as at June 2020.	
4.5.5.1	a Apogee Plantation establish water management plan includes identification of the sources and usage. The main source of water is rainwater for domestic and field operation usage. Rainfall data is collected to monitor there will be sufficient water for workers consumption. In the event there is shortage, water will be transported to the estate. Example: Estate operation – daily 200 litres	Yes
	b Apogee Plantation conduct water quality test for inlet and outlet of streams flowing through the estate. Test report dated 20/07/2020 with the results are within the national water quality index.	Yes
	c Water for washing and rinsing of chemical container is recycle for pre-mix usage. Rain harvesting is practice with additional tanks installed to improve the collection. Piping system are in good order during inspection at housing and facilities area.	Yes
	d Appropriate signage installed at buffer / riparian zones. Briefing for buffer zones to worker conducted on 20/07/2020 Interview with the workers informed that they are aware and understood that spraying and fertilizing activities are prohibited to be carry out on the buffer zone area.	Yes
	e From field observation, there are no vegetation removed from riparian zones. Riparian zones are well maintained.	Yes
	f There are no bore wells constructed to extract ground water. This could be observed during inspection of housing area and fields.	Yes
4.5.5.2	There are no bunds or weirs or dams constructed across river. This could be confirm during field visit.	Yes
4.5.5.3	Water harvesting is practice throughout the facilities and housing	Yes
4.5.6.1	a Apogee Plantation is not bordering with any forest area and no conservation area within the estate.	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	<p>The estate is surrounding by estates.</p> <p>Therefore, the plantation operation has not impact on wildlife</p> <p>Interview with the workers informed that they are aware on the type of wildlife and no any hunting or capturing activity allowed.</p>	
	b There are no wildlife sighted within the estate during field visit.	Yes
4.5.6.2	<p>a Apogee Plantation establish Sustainability Policy and Environmental Quality Policy include statement 'Ensure protection of RTEs species living in HCV areas, if any and ensure that biodiversity is protected and enhanced.'</p> <p>Apogee Plantation establish monitoring checklist to monitor any presence of wildlife at the estate blocks and housing area.</p> <p>Briefing on protection of Rare, Threatened and Endangered (RTE) species to stakeholders and workers were conducted on 20/07/2020.</p>	Yes
	<p>b Signage installed to inform public and workers on no hunting and capturing of any wildlife.</p> <p>Briefing on wildlife and the prohibitions to hunting and capturing to worker was conducted on 20/07/2020</p>	Yes
4.5.6.3	<p>A quarterly monitoring checklist is establish to monitor wildlife within the estate blocks, riparian reserve and buffer zones.</p> <p>Example: Latest monitoring on 23/07/2020 sighted the Red Jungle Fowl and Monitor Lizard.</p>	Yes
4.5.7.1	<p>Apogee Plantation established Environment Quality policy includes the statement of zero burning practice as per described in Malaysia Law (A1102 Act / Environmental Quality Act 2001) that state that there shall be no burning of any kind except where deemed necessary with prior approval of the relevant authorities. This include domestic wastes, agricultural wastes and biomass or by products generated by estate.</p> <p>No open burning sighted during site visit.</p>	Yes
4.5.7.2	During the site visit, there are no disease observed that required treatment by burning.	Yes
4.5.7.3	There are no disease observed that required treatment by burning. There is no replanting observed during the site visit.	Yes
4.5.7.4	Apogee Plantation has not start replanting based on site observation and review of planting statement. Therefore, no sighting of palm felled, chipped and mulched.	Yes

Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
4.6.1.1	Apogee Plantation established SOPs for best practices as follows:	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
	<p>The SOPs includes nursery, immature, mature, harvesting and others activities.</p> <p>Example of SOP:</p> <ol style="list-style-type: none"> 1. Manuring SOP, last amended : 01/07/2019 2. Spraying SOP last amended: 01/07/2019. 3. Chemical mixing, last amended 01/07/2019. 4. Harvesting SOP:, last amended 01/07/2019 <p>Training SOP has been conducted to ensure all workers are well trained.</p> <p>Example of training conducted:</p> <ul style="list-style-type: none"> • MSPO policy & Occupation Safety and Health training dated 30/12/2019 • Covid-19 precautionary measures and briefing dated 21/03/2020 <p>Site inspection at field sighted there are best practices implemented.</p> <p>Example:</p> <ol style="list-style-type: none"> 1. Fertilizer applied at frond stacking area 2. Good palm canopy and palm circle conditions 3. Planted of beneficial plant 	
4.6.1.2	<p>Apogee Plantation adopted the Field Handbook: Oil Palm Series for Immature Volume 2 & Mature Volume 3 which include the soil conservation measure.</p> <p>Handbook referred 108.1 Terrace and platform construction page 55 state to prevent erosion, cover plants should be established on slope as soon as possible after land clearing.</p> <p>Land cover crop should be planted along the spoil and face of the slope immediately after terraces construction.</p> <p>During site observation and crosscheck with topography map, there are planting on slopes according to Field Handbook.</p>	Yes
4.6.1.3	<p>Apogee Plantation established permanent block markers for each block that include block number, block size, date of planting and planting material.</p>	Yes
4.6.2.1	<p>Apogee Plantation has established management financial and budget allocate dated 25/01/2019 for 4 year from 2020 to 2023.</p> <p>The budget include crop projection and facilities improvement on housing, stores, etc.</p>	Yes
4.6.2.2	<p>Apogee Plantation do not established replanting programme since the palm are still in the production phase.</p> <p>The expected 1st replanting is in year 2025.</p>	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
4.6.2.3	<p>Apogee Plantation established 4 years financial management plan from 2020 to 2023 includes following:</p> <ul style="list-style-type: none"> • Cost per ton • Expected FFB output • Yield per ha • Price forecast <p>Apogee Plantation replanting program will be plan in year 2025</p>	Yes
4.6.2.4	<p>Apogee Plantation has established the monthly monitoring for the costing and FFB. The previous month actual had been used as the goal references to monitor the achievement.</p> <p>Apogee Plantation established the WhatApps group meeting to discuss the achievement of the crop production and financial performance.</p>	Yes
4.6.3.1	<p>Apogee Plantation Sdn. Bhd establishes pricing mechanism to monitor the purchases of products and services.</p> <p>Sighted quotation for purchasing of fertilizer that states the proposed price with purchasing order issued based on the agreed price.</p>	Yes
4.6.3.2	<p>Apogee Plantation purchases of products and services using a quotation and purchase order system.</p> <p>The payment is made based on terms and conditions stated in the quotation provided by the contractor and issuance of purchase order to acknowledge and confirmation of the price.</p>	Yes
4.6.4.1	<p>Apogee Plantation does not engaged contractors for field operations, transportation and others services.</p> <p>Therefore, no records of briefing established.</p>	Yes
4.6.4.2	<p>Apogee Plantation does not engage any contractors.</p> <p>Therefore, no contract agreement established</p>	Yes
4.6.4.3	<p>Apogee Plantation does not engage any contractors.</p> <p>Therefore, no contract agreement established</p>	Yes
4.6.4.4	<p>Apogee Plantation does not engage any contractors.</p> <p>Therefore, no contract agreement established</p>	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Principle 7: Development of new planting		
Indicator	Summary of Assessment	Compliance
4.7.1.1	Review of planting statements of Apogee Plantation, there is no new planting sighted. The last replanting stated in planting statement is year 2004. Therefore, no assessment conducted since there is no new planting.	Yes
4.7.1.2	The planting statement is review and there are no new planting and no replanting plan for the next 5 years.	Yes
4.7.2.1	The planting statement and map are review and there are no peat land. Site inspection sighted there are no peat land within the estate.	Yes
4.7.3.1	The planting statement is review and there is no new planting. Therefore, no SEIA conducted.	Yes
4.7.3.2	The planting statement is review and there is no new planting. Therefore, no SEIA conducted.	Yes
4.7.3.3	Review on planting statement and site inspection confirmed there are no new planting conducted, therefore no SEIA conducted.	Yes
4.7.3.4	There are no smallholders scheme in Apogee certification. Therefore, not applicable.	Yes
4.7.4.1	The planting statement is review and there is no new planting. Therefore, no maps established.	Yes
4.7.4.2	The planting statement is review and there is no new planting. Therefore, no maps established.	Yes
4.7.5.1	The planting statement is review and there is no new planting. Therefore, no maps establish and no permits available.	Yes
4.7.5.2	The planting statement is review and there is no new planting. Therefore, no plans established.	Yes
4.7.5.3	The planting statement is review and there is no new planting. Therefore, no soil map established.	Yes
4.7.6.1	The planting statement is review and there is no new planting. Therefore, no FPIC conducted and no communities affected.	Yes
4.7.6.2	The planting statement is review and there is no new planting. There are no scared sites, therefore, no management plan establish.	Yes
4.7.6.3	Planting statement, estate maps and land titles are reviewed. There is no new planting, therefore, no documentary proof of the transfer of rights and of payment or provision of agreed compensation establish.	Yes
4.7.6.4	The planting statement is review and there is no new planting. Therefore, no compensation and agreement established.	Yes
4.7.6.5	Planting statement, estate maps and land titles are reviewed. There is no new planting, therefore, no assessment of legal and recognized customary rights establish.	Yes

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



4.7.6.6	The planting statement is review and there is no new planting. Therefore, no system establish for calculating the compensation for distribution.	Yes
4.7.6.7	The planting statement is review and there is no new planting. Therefore, no compensation plan established.	Yes
4.7.6.8	The planting statement is review and there is no new planting. Therefore, no communities affected.	Yes

4.4. Status of Non-Conformities Previously Identified

	The stage 1 audit findings have been reviewed, in particular to assure appropriate corrective actions implemented to address the identified audit findings.
X	The last audit results of this system have been reviewed, in particular to assure appropriate corrections and corrective actions have implemented to address any nonconformity identified.
	The last audit results of this system have been reviewed, in particular to assure appropriate corrections and corrective actions have not been implemented effectively. The non-conformity will be re-raised.
	Not applicable. No non-conformity raised in previous audit.
<p><i>Note 1: If a minor non-conformity raised in last audit, is not closed out, then this finding will be re-raised to a Major non-conformity.</i></p> <p><i>Note 2: All minor NCs raise in last audit are required to capture in this report together with the closing of the non-compliance.</i></p>	

4.5. Detail of Audit Findings in last audit

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

Non Conformity Number < 1 >			
Indicator # and Description:	4.4.6.3: A continuous training programme should be planned and implemented to ensure that all employees are well trained in their job function and responsibility, in accordance to the documented training procedure. (MINOR)		
Location:	Estate		
Description of Finding / Objective Evidence:			
The continuous training program is not established			
Classification	<input type="checkbox"/> Major	<input checked="" type="checkbox"/> Minor	
Raise by:	Khairul Anwar bin Ismail	Date Raise:	06/08/2019
Deadline for implementation	Next Surveillance audit		
Root Cause Analysis (by company):			

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Non Conformity Number < 1 >	
This indicator and principle has been overlooked by the Company during its MSPO preparation and certification planning stages	
Correction (by company):	
The Company has since incorporated a continuous training program for all existing Estate Workers and also Orientation and Training program for all new Estate Workers / Staff. With the implementation, it is the Company's objective to ensure that all employees are well trained in their job function and responsibility	
Review of Correction & Corrective / Preventive Action	
Apogee Plantation has establish a continuous training program listing the type of training and period when it will be conduct. The plan includes induction & orientation and practical refresher & skills training.	
Closed: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Site verification : <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Name of Lead Auditor: Cheong, Chun Yuen (Robert)	Date of Closure: 24/08/2019
Review of Implementation	
Apogee Plantation established continuous training programme updated 10/08/2020. The training programme covered all activities in the estate in order to refresh and continuously upgrade the skill and knowledge of the existing workers. Records of training programme are available and documented. The implementation is consider appropriate.	
Name of Lead Auditor: Ariff Bin Lokman	Date of Review: 25/08/2020

4.6. Detail of Onsite Audit Findings Identified During This Audit

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

ONSITE AUDIT OUTCOME		
During this onsite audit,	1	MAJOR Non-Conformities
	0	MINOR Non-Conformities

Non Conformity Number < 01 >			
Indicator # and Description	4.4.4.2 The occupational safety and health plan shall cover the following: (j) Records shall be kept of all accidents and be reviewed periodically at quarterly intervals		
Location:	Office		
Description of Finding / Objective Evidence:			
In year 2019, there is no accident occur. However, annual accident reporting record was not submitted to DOSH			
Classification	<input checked="" type="checkbox"/> Major	<input type="checkbox"/> Minor	
Raise by:	Mohd Nur Amin Bin Mohd Halim	Date Raise:	25/08/2020

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Non Conformity Number < 01 >	
Deadline for implementation	25/10/2020
Root Cause Analysis (by company):	
Submission of annual accident reporting record to DOSH has been overlooked during the Annual MSPO Surveillance Audit	
Correction (by company):	
The company has subsequently submitted the Annual Accident Report online to DOSH and provided the record and evidences to the auditors for review.	
Corrective / Preventive Action (by company)	
The company has been reminded to submit Annual Accident Report to DOSH every year based on OSH Management Plan updated on 28/08/2020.	
Review of Correction & Corrective / Preventive Action	
Review on the annual accident report for year 2019 the submission is through online to DOSH with reporting reference number JKPP8/63318/2019 dated 26/08/2020 with no accident reported.	
The management will monitor on the submission based on OSH Management Plan established updated on 28/08/2020 which to be submitted before 31 st January of the following year.	
The effectiveness of accident reporting will be review on the next audit.	
Closed: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Site verification : <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Name of Auditor: Mohd Nur Amin Bin Mohd Halim	Date of Closure: 15/09/2020
Review of Implementation	
Name of Lead Auditor / Auditor:	Date of Review:

Nr.	Indicator	Description	Location	Opportunity for Improvement
1.	4.4.4.2 (i)	Employees trained in First Aid should be present at all field operations. A First Aid Kit equipped with approved contents should be available at each worksite	Office	Apogee Plantation may consider improve frequency of first aid kit inspection.
2.	4.5.3.3	The management shall establish Standard Operating Procedure for handling of used chemicals that are classified under	Estate	Apogee Plantation may consider improve on managing scheduled waste.

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



Nr.	Indicator	Description	Location	Opportunity for Improvement
		Environment Quality Regulations (Scheduled Waste) 2005, Environmental Quality Act, 1974 to ensure proper and safe handling, storage and disposal		

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



5. CONCLUSION

Apogee Plantation Sdn Bhd has commissioned TUV NORD (Malaysia) Sdn Bhd to conduct ASA 01 audit for its estate according to MSPO 2530-3:2013 Part 3 General principles for Oil Palm Plantations and Organised Smallholders.

There is one Major NC raise and closed out successfully.

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

In conclusion the certified unit has been established, implemented and continued to improve in managing the estates are in line with the Principles & Criteria of the applied standard of MS 2530-Part 3:2013 General Principles for Oil Palm Plantations and Organised Smallholders.

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

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

Total certified number of estates:	1
Total certified production area:	244.36 Ha
Certified FFBS January to July 2020:	2,905.00 Mt
Project FFBS August to December 2020	3,100.00 Mt

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



6. RECOMMENDATION

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

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

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

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

	Recommended for Certification
X	Recommended for Continuity of Certification
	Recommended for Suspension of Certification

Puchong, 01/10/2020

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

Puchong, 01/10/2020

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

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



7. LIST OF INTERVIEWEES

Table 7-1: List of Interviewed Stakeholders

No.	Organisation
1.	KS Parts Trading Co
2.	Loongsyn Sdn Bhd
3.	CH Tsong Sang Holding Sdn Bhd
4.	United Parts Agency Sdn Bhd

MSPO Certification Summary Report

Company Name: Apogee Plantation Sdn Bhd

Certifying Unit: Apogee Plantation Sdn Bhd

Client Number: 92-091

Audit Type: ASA 01

Mode of Audit: Onsite



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

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

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

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

Salvo clause:

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

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

Annex / Enclosures

Annex /
corresponding audit documentation

- P&C Audit Report / Checklists
- Audit Plan
- Additional annexes, number