

MSPO CERTIFICATION SUMMARY REPORT

MPOB – SPOC J32 SRI MENANTI

SURVEILLANCE 02

Remote Audit Date: 01/03/2021 – 03/03/2021

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MSPO Certification Summary Report

Company Name: Malaysia Palm Oil Board
Certifying Unit: SPOC J32 Sri Menanti
Client Number: 92-095
Audit Type: ASA 02
Mode of Audit: Remote



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ABBREVIATIONS

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

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1. INTRODUCTION

MPOB has commissioned TÜV NORD (Malaysia) Sdn Bhd to conduct surveillance audit for SPOC J32 Sri Menanti according to MS 2530-2:2013 Part 2 General Principles for Independent Smallholders.

1.1. Objective

The objective of this audit is to assess the MPOB Cawangan SPOC J32 Sri Menanti as group manager managing the independent smallholders by an independent certification body for compliance of the applied standard.

1.2. Scope

The assessment is based on the documentation established by MPOB Cawangan SPOC J32 Sri Menanti in managing the independent smallholders' scheme.

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

The documents and information are reviewed against the requirements and criteria mentioned below. TÜV NORD has employed a risk-based approach in the verification, focusing on the identification of significant risks and reliability of the monitoring and reporting.

The assessment is carried out on the basis of the MS 2530-2:2013: Part 2: General principles for independent smallholders.

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

1. Kod Amalan Baik (GAP) Perkebun Kecil, Malaysia Palm Oil Board
2. Guidelines for Development of a Standard Operating Procedure for Oil Palm Cultivation on Peat.

1.3. Appointment & Qualification of Audit Team Members

The audit team appointed consists of the team leader and 3 team members. The team contribute to the review of documents, assessment of the project activity and preparation of the report.

Qualification of the Trainee Lead Auditor: Joseph Sim Siaw Seng

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

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Requirement	Qualifications
vi) Business Management; or vii) Other relevant related fields	
At least five (5) years of work experience in the oil palm sector or related field in consultancy / auditing of similar industry or equivalent related to and as necessary for the certification process. (e.g., sustainability, palm oil management; agriculture, ecology; social science)	4 years of working experiences in Health and Safety and 3 years of working experiences in plantations.
Successfully completed MPOCC endorsed lead auditor training	Successfully completed MS2530 series of standards for Lead Auditors.
Conducted at least three (3) MSPO or equivalent sustainability certification audits as Lead Auditor-in-training with a minimum of fifteen (15) man-days under the supervision of a qualified Lead Auditor for MSPO or equivalent sustainability certification schemes within the last two (2) years.	Trainee Lead Auditor
Field working experience in the palm oil sector, or demonstrable equivalent	4 years of working experiences in Health and Safety and 3 years of working experiences in plantations.
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	4 years of working experiences in Health and Safety and 3 years of working experiences in plantations.
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Successfully completed IMS ISO 9001, 14001, 45001 Lead Auditor course.
Health and safety auditing on the farm and in processing facilities Or Successfully completed Occupational, Health & Safety Management System ISO 45001 standard	Successfully completed IMS ISO 9001, 14001, 45001 Lead Auditor course.
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Successfully completed Basic SA 8000 training.
Environmental and ecological auditing or experience with organic agriculture. or Successfully completed Environmental Management Systems ISO 14001 standard	Successfully completed IMS ISO 9001, 14001, 45001 LA course training attended.
Completed High Conversation Value assessment	Qualified and appointed as auditor for MSPO Scheme.

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Requirement	Qualifications
Able to communicate in Bahasa Malaysia, English and / or any other local language.	Able to communicate in Bahasa Malaysia, Mandarin and English.

Qualification of Team Members

Requirement	Name Assessor	Qualification	Compliance
Post-secondary education, college or university diploma / degree in one of the following i) Agriculture; ii) Science & Technology (e.g. Environmental Sciences, Life Sciences, Geological Sciences, Natural Sciences,); iii) Engineering, Process Technology; iv) Energy Management, Quality Management; v) Social Sciences and/or Anthropology; vi) Business Management; or vii) Other relevant related fields	Mohamad Norhisham Bin Mohd Salleh	Graduate in Applied Science (Major in Agrobiology).	Yes
	Sheron Pui Ling Wui	Bachelor in Medical Science.	
	Chan Shi Lie	Graduate in Technology Media.	
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)	Mohamad Norhisham Bin Mohd Salleh	5 years working experience in oil palm plantations.	Yes
	Sheron Pui Ling Wui	4 years working experience in QA, QMS and internal audit, and 2 years working experience in MSPO audit experience.	
	Chan Shi Lie	6 years working experience in oil palm plantations.	
Successfully completed MPOCC endorsed lead auditor / auditor trainings	Mohamad Norhisham Bin Mohd Salleh	Successfully completed MS2530 series of standards for Lead Auditors	Yes
	Sheron Pui Ling Wui		
	Chan Shi Lie		
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	Mohamad Norhisham Bin Mohd Salleh	Qualified as Lead auditor for MSPO scheme.	Yes
	Sheron Pui Ling Wui		
	Chan Shi Lie		

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Requirement	Name Assessor	Qualification	Compliance
Auditor for MSPO or equivalent sustainability certification schemes.			
Field working experience in the palm oil sector or demonstrable equivalent	Mohamad Norhisham Bin Mohd Salleh	5 years working experience in oil palm plantations.	Yes
	Sheron Pui Ling Wui	4 years working experience in QA, QMS and internal audit, and 2 years working experience in MSPO audit experience.	
	Chan Shi Lie	6 years working experience in oil palm plantations.	
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	Mohamad Norhisham Bin Mohd Salleh	5 years working experience in oil palm plantations.	Yes
	Sheron Pui Ling Wui	4 years working experience in QA, QMS and internal audit, and 2 years working experience in MSPO audit experience.	
	Chan Shi Lie	6 years working experience in oil palm plantations.	
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Mohamad Norhisham Bin Mohd Salleh	Successfully completed IMS ISO 9001 Lead Auditor course.	Yes
	Sheron Pui Ling Wui		
	Chan Shi Lie		
Health and safety auditing on the farms processes and activities Or Successfully completed Occupational, Health & Safety Management System ISO 45001 standard	Mohamad Norhisham Bin Mohd Salleh	Successfully completed IMS ISO 45001 Lead Auditor course.	Yes
	Sheron Pui Ling Wui		
	Chan Shi Lie		
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Mohamad Norhisham Bin Mohd Salleh	Successfully completed SA 8000 Basic training	Yes
	Sheron Pui Ling Wui		
	Chan Shi Lie		

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Requirement	Name Assessor	Qualification	Compliance
Environmental and ecological auditing or experience with organic agriculture. or Successfully completed Environmental Management Systems ISO 14001 standard	Mohamad Norhisham Bin Mohd Salleh	Successfully completed IMS ISO 14001 Lead Auditor course.	Yes
	Sheron Pui Ling Wui		
	Chan Shi Lie		
Completed High Conversation Value assessment	Mohamad Norhisham Bin Mohd Salleh	Qualified as Auditor for MSPO scheme.	Yes
	Sheron Pui Ling Wui	Successfully completed HCV-HCS training.	
	Chan Shi Lie	Qualified as Auditor for MSPO scheme.	
Able to communicate in Bahasa Malaysia, English and / or any other local language.	Mohamad Norhisham Bin Mohd Salleh	Able to communicate in Bahasa Malaysia and English.	Yes
	Sheron Pui Ling Wui	Able to communicate in Bahasa Malaysia,	
	Chan Shi Lie	Mandarin and English.	

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2. METHODOLOGY

The audit approach consists of the following steps:

- Appointment of team members;
- Contact client for relevant documentation according to the applicable MSPO standards;
- Latest smallholders list;
- Audit planning;
- Background investigation, desk review of submitted documents;
- Assessment, inspections, interviews SPOC personnel, contractors; review of documentation;
- Review of SPOC management system;
- Reporting
- Resolution of non-conformance (NC) (if any)
- Draft audit reporting
- Technical review
- Final audit reporting
- Final approval, certification decision and issuance of certificate.

Annual Surveillance Audit 02:

Annual surveillance audit conducted remotely on 01/03/2021 – 03/03/2021 covering the following activities but not limited to below:

Remote:

- Confirmation of the appropriate interactive communication tools as describe in IAF MD4
- Desk documentation assessment;
- Virtual interview management;
- Virtual stakeholders communication; If required
- Virtual interview of smallholders; method of communication phone calls and WhatsApp
- Virtual inspection of farm; objective evidences field photos
- Production records
- Review revised and updated documentation;
- Training records
- Assessment reporting

Remote Assessment

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

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

This remote audit is conducted in accordance to MPOCC Updated Circular (27 October 2020) Guidance on Remote Audits due to Covid-19 Pandemic on travelling restrictions.

The remote audit follow the IAF MD4:2018 and as guided by the ISO 9001 Auditing Practices Group Guidance on Remote Audits.

The communication tool applied for remote audit is Google meet, WhatsApp & Telephone.

MSPO guidance documents are used to guide the collection of information.

For this remote audit, the number of selected independent smallholders are based on example table of ACB – OPMC Issue 2 dated 04/09/2020

The group of smallholders consists of 295 new members and 656 existing members. The total number of smallholders for this audit are 951.

As per MPOB requirements the risk factor of 1.5 shall be applied. Therefore, the sample size $S = 1.5\sqrt{951} = 46.26$ round up to 48 samples.

As per OPMC 2 issue 2, from the sample size, the number of the new members are $48 \times 75\% = 36$ and number of existing members are $48 \times 25\% = 12$.

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

Table 2-1: List of Sample Smallholders

List of Existing Smallholders

Name	GPS Coordinates
Ser Hong Ann	1°55'10.704"N, 102°40'36.984"E
Chua Chat Chu	1°56'42.792"N, 102°39'15.804"E
Tok Wee Tang	1°56'53.484"N, 102°39'35.999"E
Abu Bin Jasman	1°56'34.296"N, 102°41'9.311"E
Mhd Yusof Bin Dalek	1°54'55.908"N, 102°42'14.111"E
Lim Wet	1°56'38.796"N, 102°38'54.383"E
Mohamad Aris Bin Abdullah	1°55'10.704"N, 102°40'18.695"E
Abdul Razak Bin Adnan	1°55'39.612"N, 102°40'22.583"E

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Name	GPS Coordinates
Ong Tey See	1°56'29.004"N, 102°40'2.891"E
Mohd Amin Nor Rashid Bin Muhain	1°58'35.616"N, 102°45'23.795"E
Tee Tong Jee	1°54'43.2"N, 102°40'38.784"E
Tee Tong Kar	1°54'45.108"N, 102°40'41.411"E

List of New Smallholders

Name	GPS Coordinates
Peng Cheun Hong	1°55'16.86"N, 102°39'18.935"E
En Kang	1°55'11.136"N, 102°42'7.92"E
Er Tong	1°55'31.188"N, 102°42'47.951"E
Er Chong Hong	1°55'12.36"N, 102°42'3.635"E
Teo Sian Cheh	1°57'44.46"N, 102°40'55.848"E
Hamidah Binti Said Abu	1°55'59.7"N, 102°39'48.095"E
Hasanon Bin Subari	1°54'40.032"N, 102°39'55.908"E
Ruzi Binti Bachok	1°56'24.36"N, 102°40'42.492"E
Md. Amin Bin H.Ma'osum	2°0'2.808"N, 102°45'7.128"E
Mohd. Azahri Bin Kasri	1°57'36.54"N, 102°44'39.048"E
Norulhuda Binti Simon	1°55'30.972"N, 102°39'9.648"E
Ng Cheng Hai	1°53'35.196"N, 102°40'57.107"E
Besiran Bin Sai'on	1°56'24.18"N, 102°42'38.828"E
Teo Bee Yan	1°55'9.588"N, 102°42'35.784"E
Teo Kwee Lam	1°55'7.68"N, 102°42'33.048"E
Ng Hwee Chung	1°57'49.896"N, 102°40'20.388"E

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Name	GPS Coordinates
Gan Chin Hoe	1°56'44.592"N, 102°40'1.704"E
Neo Siok Twan	1°54'44.316"N, 102°41'29.975"E
Tiong Oil Palm Sdn. Bhd.	1°56'28.104"N, 102°42'3.096"E
Takriman Bin Mashuri	1°59'38.904"N, 102°45'25.883"E
Peng Chun Hiang	1°54'55.98"N, 102°40'6.455"E
Lim Cheng Lay	1°54'31.824"N, 102°40'7.067"E
Tay Tong Poh	1°57'4.104"N, 102°39'47.267"E
Lee Jau Hau	1°58'15.996"N, 102°41'50.316"E
Hafizal Bin Abd Hamid	1°55'38.46"N, 102°40'7.607"E
Sapiah Binti Nemat	1°55'29.496"N, 102°40'1.307"E
Idris Bin Hussin	1°55'35.616"N, 102°40'3.899"E
Mohd Apandi Bin Subari	1°59'28.932"N, 102°45'7.667"E
Lim Han Jun	1°57'53.388"N, 102°43'5.987"E
Best Guan Sdn. Bhd.	1°53'48.048"N, 102°41'46.176"E
Soh Leh Chow	1°56'25.692"N, 102°39'13.103"E
Osman Bin Zainal	2°0'45.792"N, 102°44'57.695"E
Teo Sai Gean	1°55'43.968"N, 102°41'33.683"E
Rozita Binti Sanip	1°55'34.212"N, 102°40'28.776"E
Lim Hsu Teng	1°55'13.98"N, 102°41'18.744"E
Mohd Shah Bin Yunus	1°57'24.084"N, 102°40'34.104"E

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Non-conformance:

On the basis of the desk review, evidences presented during the audits as well as from the onsite visits non-conformance (NC) Major, Minor and Opportunity for Improvements (OFI) may be raised during the audit.

Major non-conformance shall be addressed and responded with 60 days from closing date of audit. For minor non-conformances action plan to be submitted within 30 days from closing date of audit for review and acceptance. Implementation of Minor NC will be review and verify during the next audit.

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3. ORGANISATION INFORMATION

MPOB Cawangan SPOC J32 Sri Menanti, is a branch of MPOB located No. 33 (Tingkat 1), Jalan Kasawari 21/7, Taman Sungai Abong Permai 2, 84000 Muar, Johor, Coordinate N 02°3'28"N, 102°36'24"E is managed by a group manager and supported by a team officers to manage the cluster providing technical support, estate management skills and training as well as develop the independent smallholders' scheme around the Muar district.

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

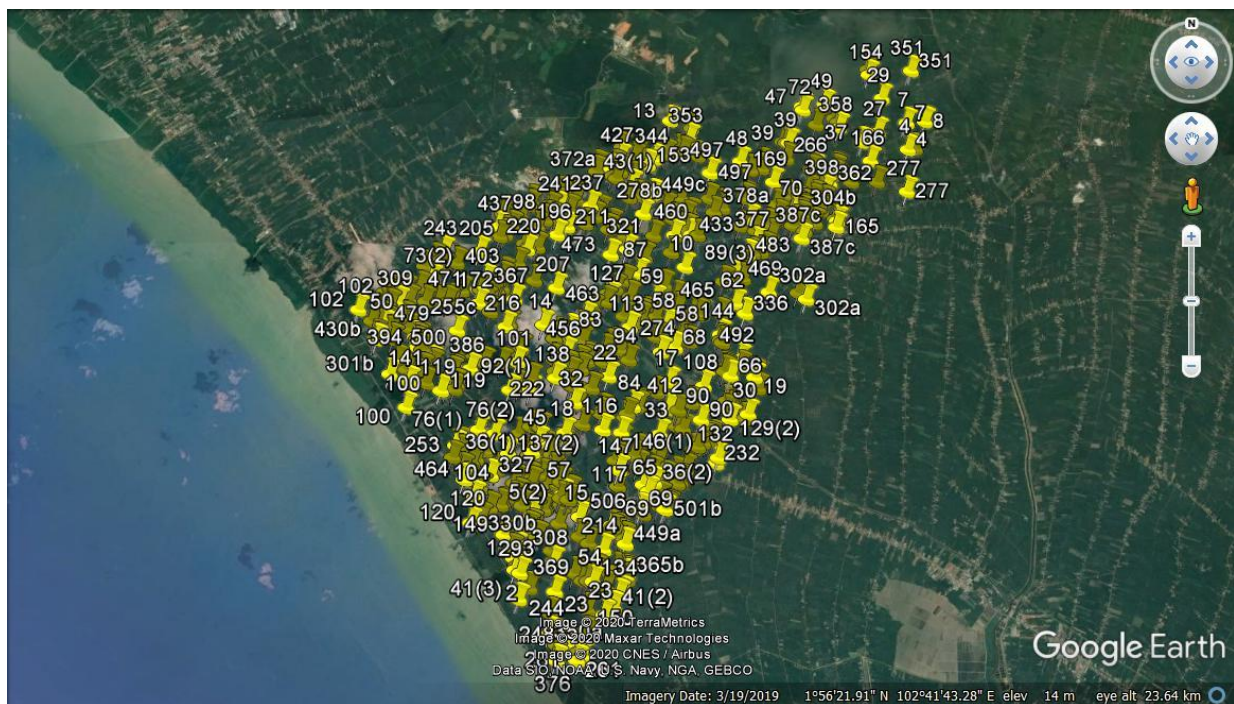


Figure 1

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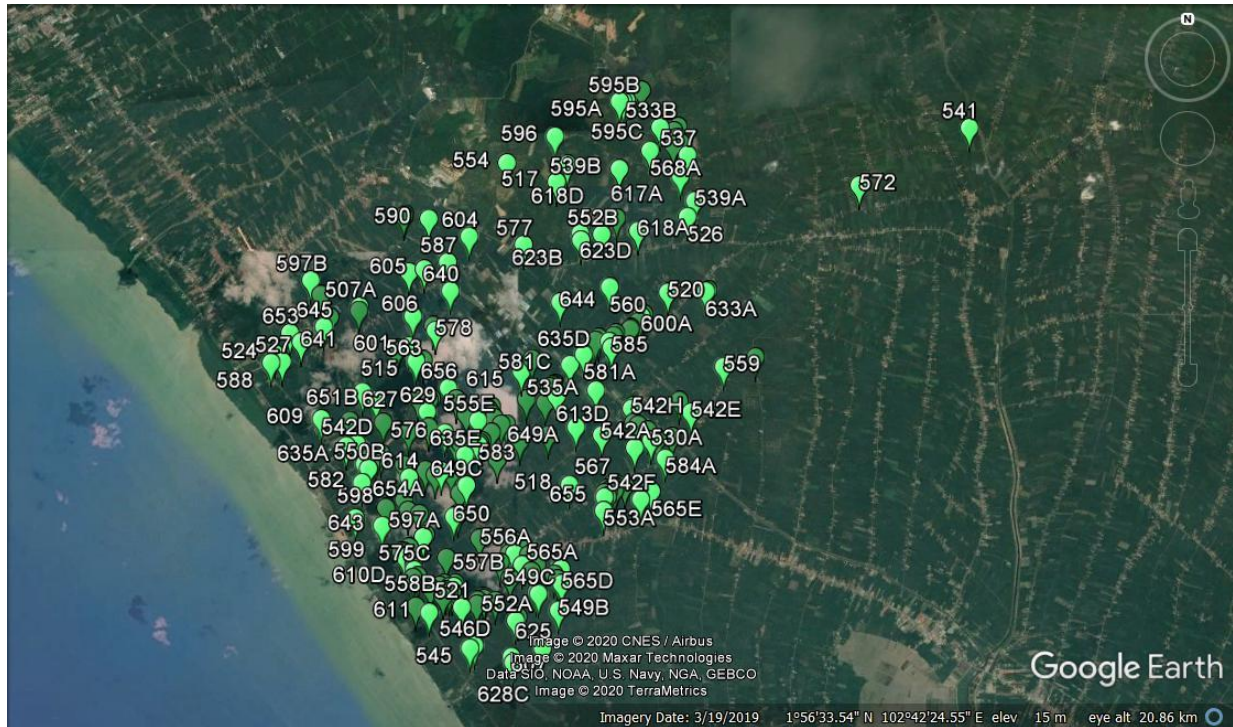


Figure 2

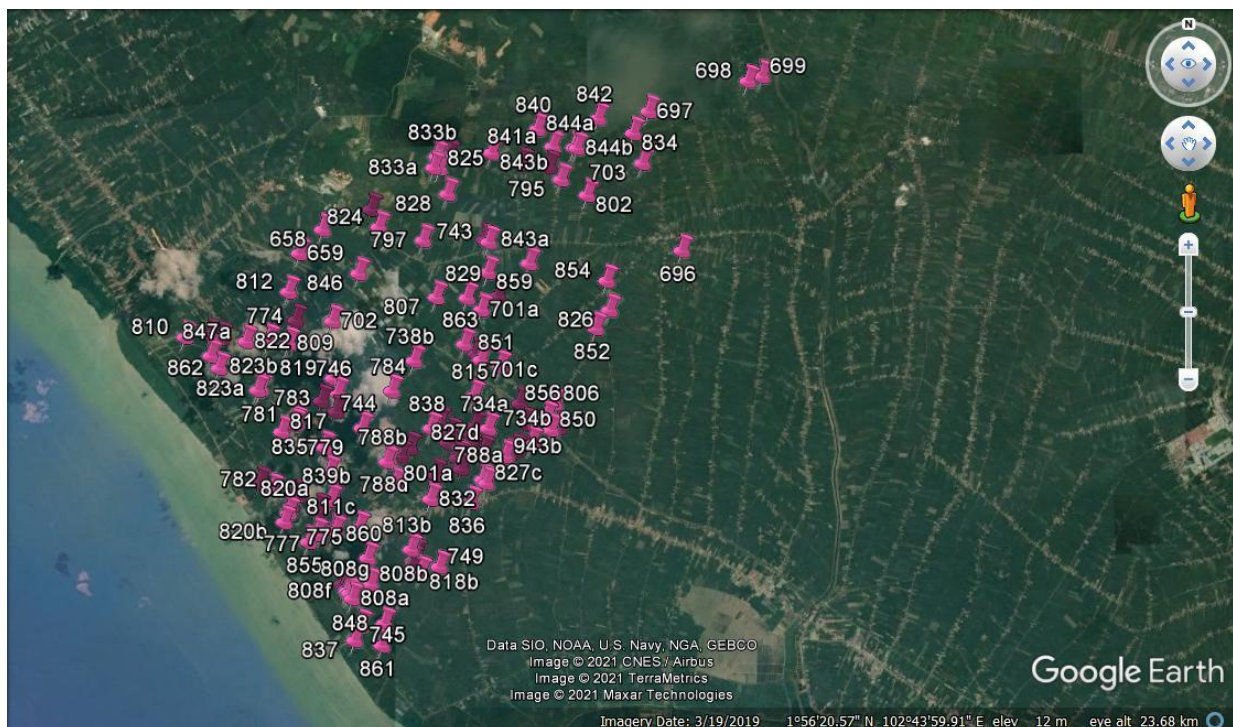


Figure 3

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4. CERTIFICATION ASSESSMENT

4.1. Annual Surveillance Audit

The objective of the audit is to assess the activities of MPOB Cawangan SPOC J32 Sri Menanti are in compliance with MS 2530-2: 2013 Part 2: General principles for independent smallholders' requirements.

4.1.1. ASA 02:

The surveillance audit is conducted on 01/03/2021 to 03/03/2021.

The number of smallholders in this surveillance audit are 951.

The number of smallholders 656 remain the same for this surveillance audit.

The number of smallholders joined during this surveillance audit are 295.

The audit team has applied the Malaysian Sustainable Palm Oil Part 2: General Principles for Independent Smallholders Audit Guidance to assess the establish documents against the Principles and Criteria of the standard.

The details of assessment of the indicators are at the summary of assessment in this report.

During the remote the following were verified but not limited to below:

1. Compliance to legal requirements on the land title, land use rights and customary rights
2. Training and competence
3. Environmental management
4. Waste management and disposal
5. Health and safety
6. Group Manager management system
7. Best practice – farm management including fertilising, chemical spraying and harvesting.

During the surveillance audit, there are 2 OFI raised.

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

The number of audit findings raised in this audit refer to Section 4.6 of this audit report.

4.2. Stakeholders' Consultation

According to ACB – OPMC 4 Issue 2 dated 04/09/2020, Stakeholder Consultation Requirements Section 6: Consultation during audit, §6.1: During the stage 2 and recertification audit of the management unit, the CB shall carry out stakeholder consultation to ensure continued compliance with the requirements of the certification standards. However, stakeholders' consultation during surveillance audit may be limited to those stakeholders who have raised concerns, complaints or disputes prior to the audit.

Therefore, there is no stakeholder's consultation conducted for this surveillance audit.

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4.3. Summary of Assessment

Principle and Criteria Assessment Summary

The assessment team conducted a thorough assessment of each principle and criteria. Over the 5 years' period of the certificate cycle, there will be 4 annual surveillance audits with all criterions will be assessed. Evidences are sought for conformity with the applied MSPO 2530-2. The summary of the assessment is as below, where the "Findings/Comments" column reflects the findings in accordance with each indicator or evidences and when non conformity is found. Summary of the non-conformity can be found below in section 4.6.

Principle 1: Management Commitment & responsibility

Indicator	Summary of Assessment	Compliance
4.1.1.1	<p>SPOC J32 Sri Menanti established MSPO policy dated 01/06/2020 signed by Group Manager.</p> <p>SPOC J32 Sri Menanti adopted MPOB MSPO certification application form with the MSPO policy included in the form duly agreed and signed by smallholders and acknowledged by Group Manager.</p> <p>Virtual inspection on photo provided confirmed, the policy is publicly displayed at MPOB office notice board.</p> <p>Remote document verifies, copy of application form in smallholders' files signed by SPOC J32 Sri Menanti Group Manager and smallholders.</p> <p>Phone call interview smallholders informed they are aware of the MSPO policy.</p>	Yes
4.1.2.1	<p>SPOC J32 Sri Menanti adopted MPOB List of Social and Environmental Impact and Action Plan document number MSPO/SPOC/I-04/ISP dated 01/06/2020.</p> <p>The table include topics on activity, impact and improvement plan.</p> <p>Example of Social Impact and Action Plan:</p> <p>Activity: Harvesting</p> <p>Social impact: Able to give new awareness to local community via systematic and discipline farm management.</p> <p>Action plan: Ongoing effort</p> <p>Remote reviewed on LKN records confirmed the manuring, chemical spraying and harvesting training conducted for smallholders during LKN visit dated 18/02/2021.</p>	Yes
4.1.2.2	<p>Remote documents reviewed SPOC J32 Sri Menanti records confirmed Warta Sawit is distributed to smallholders during LKN visit dated 18/02/2021.</p> <p>Interviewed smallholders by phone calls informed they obtain Warta Sawit and new information on oil palm management during LKN visit or through MPOB Facebook Page.</p>	Yes

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Principle 2: Transparency		
Indicator	Summary of Assessment	Compliance
4.2.1.1	<p>SPOC J32 Sri Menanti adopted MPOB 'Manual Prosedur Kerja MSPO Kelompok Minyak Sawit Mampan' document number MSPO/SPOC/GP-01/PEK revision number 03 dated 01/06/2020 which include 'Carta Alir Kebolehejakan Perbelanjaan dan Pendapatan Pekebun Kecil' as a traceability procedure.</p> <p>The traceability procedure describes smallholders provided with Buku Rekod Ladang (BRL) to record FFB sales.</p> <p>Phone call interview with smallholders and document review verified smallholders update the FFB production, fertilizer and chemical application on monthly basis in the BRL.</p>	Yes
4.2.1.2	<p>SPOC J32 Sri Menanti Group Manager maintain records of FFB production updated as at December 2020.</p> <p>Remote document review verifies, SPOC J32 Sri Menanti maintain records of FFB sales and weighbridge tickets in smallholders' individual file.</p> <p>Phone call interview with smallholders and document review on BRL logbook verified FFB sales receipts and weighbridge tickets are recorded and maintained.</p>	Yes

Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
4.3.1.1	<p>SPOC J32 Sri Menanti adopt legal register document no. MSPO/SPOC/L-01/SKU, issue no. 3, rev: 3 dated 01/06/2020.</p> <p>Example of laws and regulations:</p> <ol style="list-style-type: none"> 1. Akta Kualiti Alam Sekeliling 1974. 2. Akta Taman Negara 1980. 3. Akta Pekerjaan 1955. <p>Sampled smallholders' files review the MPOB licenses are valid.</p> <p>Example:</p> <p>MPOB license for smallholder no.: 593 valid from 19/03/2019 till 29/02/2024.</p> <p>During phone interview with smallholders inform they are aware on related legal requirement.</p>	Yes
4.3.2.1	<p>SPOC J32 Sri Menanti smallholders have either freehold or lease titles issued by Muar Land Office.</p> <p>The smallholders are the owner of the farm. This is confirmed through reviewed the smallholders files.</p> <p>The majority land title states land used for agricultural purpose or oil palm. There are some land titles under the application of land use to agricultural or oil palm.</p>	Yes

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Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
	Review on letter from SPOC J32 Sri Menanti group manager to MPOB HQ dated 25/02/2021. The letter describes the application changing of land use for existing and new smallholders. During phone interview with smallholders' feedback there is no land dispute lodged for SPOC J32 Sri Menanti.	
4.3.3.1	SPOC J32 Sri Menanti smallholders have freehold title or lease title. There is no customary right land for SPOC J32 Sri Menanti. The smallholders are the land owner. This is confirmed through review of individual files.	Yes
4.3.3.2	SPOC J32 Sri Menanti smallholders have either freehold or lease titles. There is no customary right land for SPOC J32 Sri Menanti. The sampled smallholders' land titles include map, lot number, area size and boundary stone numbering.	Yes

Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.1.1	SPOC J32 Sri Menanti adopted MPOB guidelines Complaint and Grievance doc no: MSPO/SPOC/SOP-01/AR, no issue: 02 dated 01/06/2020. SOP describe the objective is to 'Memantau dan memastikan aduan dan rungutan yang diterima daripada pihak berkepentingan diselidik dan diambil tindakan dalam tempoh yang telah ditetapkan dengan efektif. 1. Complaint and grievance form established doc no: MSPO/SSCC/F-01/AR issue number : 03 date effective: 01/06/2020 Section A: Aduan / rungutan 2. Section B: Tindakan Penyelesaian 3. Section C: Pengesahan Tindakan Penyelesaian Complain and grievances procedure had been briefed to Smallholders during Lawatan Khidmat Nasihat (LKN) by Group Manager dated 23/01/2021. Interviewed smallholders by phone calls informed there is no complaint lodge by them and they are aware about the complaint and grievance procedure	Yes
4.4.1.2	SPOC J32 Sri Menanti adopted MPOB guidelines Complaint and Grievance doc no: MSPO/SPOC/SOP-01/AR, issued number: 02 dated 01/06/2020. The SOP describes: 1. The group manager is the responsible person to handle and manage any complaints	Yes

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>2. The time line to resolve disputes within 14 days.</p> <p>3. In the situation where the complaint cannot be resolve by the SPOC within 14 days, it will be referred to other parties or MPOB headquarters to resolve the matters.</p> <p>Review on documents confirmed there is no grievance lodge by smallholders or stakeholders.</p> <p>Briefing of SOP complaint and grievance conducted during field visit dated 18/02/2020 to the smallholders.</p> <p>Interview smallholders by phone calls informed there are no complaints as at audit date.</p>	
4.4.2.1	<p>SPOC J32 Sri Menanti has adopted MPOB's Workers Safety and Health Guideline doc no: MSPO/SPOC/GP-02/KKP issued number: 03 dated 01/06/2020.</p> <p>SPCO J32 Sri Menanti established Training Programme 2021 dated 10/02/2021.</p> <p>LKN was conducted to smallholder individually, example smallholders number 152 dated 23/02/2021.</p> <p>The training includes awareness on SOP on Safety and Health.</p> <p>Example of new smallholders involved in the LKN are:</p> <ol style="list-style-type: none"> 1. Smallholder number: 152 dated 23/02/2021. 2. Smallholder number: 125 dated 18/02/2021. 3. Smallholder number: 124 dated 18/02/2021. <p>Interviews with smallholders by phone calls informed they understand the usage of PPE and used it on field when handling chemicals, fertilizer application, and COVID-19 awareness were established.</p>	Yes
4.4.3.1	<p>SPOC J32 Sri Menanti adopted MPOB guideline Employment Terms document no: MSPO/SSCC/SMP-01rev-01 dated 01/06/2020.</p> <p>The form include payment rates for harvesting, chemical spraying, manuring and pruning.</p> <p>Ssmallholders are operated by themselves or engage FFB dealers services for harvesting, chemical spraying or manuring.</p> <p>Interview with smallholders by phone call informed they paid RM 50.00 to RM70.00 per ton of FFB harvested.</p>	Yes
4.4.3.2	<p>SPOC J32 Sri Menanti adopted MPOB's MSPO Policy- states SPOC is against the practice of discrimination by exercising the right of equality in providing opportunities and services regardless of race and ethnicity, political views and nationality.</p> <p>SPOC J32 Sri Menanti conducted LKN that includes awareness on MSPO Policy dated 23/01/2021.</p>	Yes

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	Interviewed smallholders by phone calls informed they are aware about the policy on discrimination.	
4.4.3.3	<p>SPOC J32 Sri Menanti adopted MPOB Employment Terms document no: MSPO/SPOC/SMP-01 rev-01 updated 01/06/2020.</p> <p>The form included payment rates for harvesting, chemical spraying, manuring and pruning.</p> <p>Phone call interview with smallholders informed, they are working by themselves or pay others such as independent FFB collectors to manage their farm operations.</p>	Yes
4.4.3.4	Phone call interview with sampled smallholders and photos of farm overview confirmed no on-site living quarters provided.	Yes
4.4.3.5	<p>SPOC J32 Sri Menanti adopted MPOB Employment Terms document no: MSPO/SPOC/SMP-01 rev-01 updated 01/06/2020.</p> <p>The form describe:</p> <ul style="list-style-type: none"> Not to employ young workers below the age of 15-18 years old, for working in dangerous and heavy work. <p>Interview with smallholders and SPOC J32 Sri Menanti Group Manager by phone call informed no presence of child workers in field. Smallholders aware and understand on legal restriction on hiring under age workers.</p>	Yes
4.4.4.1	<p>SPOC J32 Sri Menanti established Training Programme 2021, dated 10/02/2021.</p> <p>Example of programme conducted:</p> <ol style="list-style-type: none"> MSPO Training. Field Visit (LKN). Oil Palm Technical training. <p>Remote document review verified the training has been conducted on 18/02/2020. Photos and attendance of training are documented and maintained.</p> <p>Phone call interview with smallholders informed they attended the MSPO training. Smallholders are able to explained MSPO requirements.</p>	Yes

Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
4.5.1.1	<p>SPOC J32 Sri Menanti adopted MPOB Social and Environment Impacts and Action Plan, document number: MSPO/SPOC/L-04/ISPno. Issue: 3, no. revision: 3 effective date 01/06/2020.</p> <p>Environment impact and action plan had been identified and included in the MPOB Social and Environment Impacts and Action Plan.</p> <p>Example:</p>	Yes

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Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	<p>Activity: Chemical spraying</p> <p>Environment impacts: Water source pollution</p> <p>Action plan: Conduct continuous awareness training to smallholders</p> <p>Phone interview with smallholders informed they aware on environmental impacts on their activities.</p> <p>SPOC J32 Sri Menanti Group manager informed smallholders on the environmental impact during LKN visit on 21/02/2021, 22/02/2021 and 24/02/2021.</p>	
4.5.2.1	<p>There is no renewable energy use by SPOC J32 Sri Menanti smallholders. These is confirmed through phone interviewed with smallholders and photos verification.</p>	Yes
4.5.3.1	<p>SPOC J32 Sri Menanti adopted MPOB List of Scheduled and Domestic Wastes, Doc. No. MSPO/SPOC/L-03/SRD, issue no.:3 dated 01/06/2020. The SOP described 2 types of waste generated by smallholders which are from agricultural or non-agricultural activities.</p> <p>List of waste generate from agriculture: Empty chemical containers</p> <p>List of waste (others): Used lubricant oil</p> <p>SPOC J32 Sri Menanti Group manager briefed smallholders on waste management on 21/02/2021, 22/02/2021 and 24/02/2021.</p> <p>Phone interviews with smallholders informed empty chemical containers will be recycle and reused after triple rinsing.</p>	Yes
4.5.3.2	<p>SPOC J32 Sri Menanti adopt MPOB SOP "Pengurusan Bahan Buangan Terjadual" doc. No. MSPO/SPOC/SOP-03/BT issue no.:3 dated 01/06/2020.</p> <p>The SOP describes as follows:</p> <ol style="list-style-type: none"> 1. To monitor and ensure the process if scheduled waste handling in proper manner. 2. All empty chemical containers are shall be triple rinsed before reused. <p>Phone interview with smallholders' feedback empty chemical containers will be kept at designated store. Smallholders informs empty chemical containers will be reused for chemical spraying activity.</p> <p>Briefing on disposal of empty chemical containers conducted during LKN visit by Group Manager J32 Sri Menanti on 21/02/2021, 22/02/2021 and 24/02/2021.</p>	Yes
4.5.4.1	<p>SPOC J32 Sri Menanti adopted MPOB Guidelines "Garis Panduan Zon Penampunan Sungai" MSPO/SPOC/GP-03/ZPS issue 3 dated 01/06/2020.</p> <p>Phone interview with smallholders' feedback they aware, understand and practice the restriction on chemical application at buffer zone area.</p>	Yes

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Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	Training on buffer zone protection conducted during LKN visit dated 21/02/2021, 22/02/2021 and 24/02/2021,	
4.5.4.2	SPOC J32 Sri Menanti smallholders practise rain harvesting by using drums or culvert for rain water collection.	Yes
4.5.5.1	SPOC J32 Sri Menanti established a list of wildlife at Muar district dated 20/03/2020. Example: Protected wildlife: Wild boar and monitor lizard Phone interview with smallholders informed sighted wild boars and ayam hutan in their field.	Yes
4.5.6.1	SPOC J32 Sri Menanti adopted MPOB Guidelines Garis Panduan Amalan Pembakaran Sifar doc. No. MSPO/SSCC/GP-04/APS issue 3 rev 3 dated 01/06/2020. Review on smallholder's field photos observed no sign of open burning. During phone interview with smallholders informed they understand no open burning is allowed. Briefing on zero burning awareness conducted during LKN visit dated 21/02/2021, 22/02/2021 and 24/02/2021.	Yes

Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
4.6.1.1	SPOC J32 Sri Menanti adopted MPOB Guideline "Garis Panduan Pelan Daya Ekonomi dan Kewangan", document number: MSPO/SPOC/GP-01/PEK issue 3 no. revised. 03 dated 01/06/2020. The procedure describes: 1. Good agricultural practice starting from land preparation until harvesting. 2. Dosage of fertilizer and chemical application on field. 3. Calculation on smallholders yield, RM / hectare / year. Review on the LKN form, group manager conduct field visit to sampled smallholders by using MSPO application form where point 5 describe field management included GAP criteria, coordinate, topography, surrounding of farm and status of preparation for certification. Example of LKN form for smallholder no. 808 dated 23/02/2021. Training GAP conducted dated 22/02/2021 and 24/02/2021. During photo review and smallholders interview feedback they follow GAP such as fronds stacking.	Yes
4.6.1.2	During photo verification for SPOC J32 Sri Menanti smallholders fields identification or signage installed with name of smallholder, lot number, area, year of planting and coordinate.	Yes

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Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
4.6.2.1	<p>SPOC J32 Sri Menanti adopt MPOB SOP 'Garis Panduan Pelan Daya Ekonomi dan Kewangan', doc no: MSPO/SPOC/GP-01/PEK issues no: 3 revision no: 3 effective date: 01/06/2020.</p> <p>Review on budget allocation for 2021 dated 31/12/2020 include MSPO training, stationary and PPE.</p> <p>All other operations budget and cost are under control of MPOB HQ.</p> <p>Training plan 2021 dated 10/02/2021 state the MSPO training plan on April 2021.</p>	Yes
4.6.3.1	<p>SPOC J32 group manager monitors FFB pricing on monthly basis through input from selected mills or ramps for fair price.</p> <p>Document review verify payment voucher from ramp or dealers kept in smallholders' files.</p> <p>During phone interview with smallholders confirm they have access to FFB prices via WhatsApp group, MPOB portal and mill or dealer weighbridge displayed.</p>	Yes

Principle 7: Development of new planting		
Indicator	Summary of Assessment	Compliance
4.7.1.1	<p>Remote document review on list of smallholders and planting statements confirmed no new planting in SPOC J32 Sri Menanti.</p> <p>The first planting is in year 1980 and the latest replanting is in year 2019.</p> <p>There are no new plantings for existing and new members in year 2020 and 2021.</p> <p>Thus, there is no assessment on high biodiversity.</p>	Yes
4.7.2.1	<p>Remote document review on list of smallholders and planting statements confirmed no new planting in SPOC J32 Sri Menanti.</p> <p>The first planting is in year 1980 and the latest replanting is in year 2019.</p> <p>There are no new plantings for existing and new members in year 2020 and 2021.</p> <p>Therefore, no soil survey or topography map is required.</p>	Yes
4.7.3.1	<p>Remote document review on list of smallholders and planting statements confirmed no new planting in SPOC J32 Sri Menanti.</p> <p>The first planting is in year 1980 and the latest replanting is in year 2019.</p> <p>There are no new plantings for existing and new members in year 2020 and 2021.</p> <p>Therefore, no data for type of terrain displayed.</p>	Yes

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4.4. Status of Non-Conformities Previously Identified

	The stage 1 audit findings of this system have been reviewed, in particular to assure appropriate correction and corrective action HAS implemented to address identified audit findings. Details of the follow up action taken on stage 1 audit findings were recorded in the Stage 1 audit report.
X	The last audit results of this system have been reviewed, in particular to assure appropriate correction and corrective action HAS implemented to address any nonconformity identified.
	The last audit results of this system have been reviewed, in particular to assure appropriate correction and corrective action HAS NOT been implemented effectively. Non-conformity will be re-raised.
	No non-conformity raised in previous audit.
<i>Note 1: If a minor non-conformity raised in last audit, is not closed out, the finding will be raised to a Major non-conformity.</i>	
<i>Note 2: All major and minor NCs raised in last audit are required to capture in this report together with the review of the non-compliance implementation.</i>	

4.5. Detail of Audit Findings in last Audit

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

Non Conformity Number 1						
Indicator # and Description	4.4.2.1 Independent smallholders need not have a formal health and safety plan but shall ensure that all work practices are safe. (MAJOR)					
Location:	Office					
Description of Finding / Objective Evidence:						
SPOC J32 Sri Menanti Activity Calendar 2020, dated 26/05/2020 shall include plan for awareness related to infectious diseases.						
Classification	<input checked="" type="checkbox"/> Major	<input type="checkbox"/> Minor				
Raise by:	Mohamad Norhisham Bin Mohd Salleh	Date Raise:	23/06/2020			
Deadline for implementation	22/08/2020					
Root Cause Analysis (by company):						
When the 'Kalendar Aktiviti' dated 26/5/2020 was established, there was no plan for awareness related to infectious diseases issued by the Management of MPOB.						
Correction (by company):						
Infectious disease control and prevention awareness training plan issued through the latest 'Kalendar Aktiviti' dated 24/6/2020.						
Through 'Latihan Khidmat Nasihat' (LKN), SPOC J32 Sri Menanti has added briefing materials in the 'Senarai Edaran Bahan Teknikal dan Bahan Taklimat SPOC J32 Sri Menanti' dated 29/6/2020 which contains SOPs for the prevention and control infectious diseases.						
Memorandum dated 15/7/2020 issued by MPOB Management also improved the existing plan.						

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Non Conformity Number 1	
Corrective / Preventive Action (by company)	
Through the 'Kalender Aktiviti' and Latihan Khidmat Nasihat (LKN), training to smallholders on awareness of infectious diseases will be done on an ongoing basis.	
Review of Correction & Corrective / Preventive Action	
SPOC J32 Sri Menanti updated Training schedule, dated 24/06/2020. Included in the list of training was awareness on Prevention and Control of Diseases Act 1988. Thus, the implementation could be considered as appropriate.	
Closed: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Site verification: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Name of Auditor: Mohamad Norhisham Bin Mohd Salleh	Date of Closure: 24/08/2020
Review of Implementation	
SPOC J32 Sri Menanti established yearly activities for 2021 includes awareness on Prevention and Control of Infectious Diseases Act 1988.	
Most recent briefing conducted during LKN visit on 18/02/2021.	
Interview smallholders by phone call informed on their awareness on infection disease such as Covid-19.	
Thus, based on the evidences provided, the implementation could be considered as appropriate.	
Name of Auditor: Mohamad Norhisham Bin Mohd Salleh	Date of Review: 01/03/2021

4.6. Detail of Audit Findings Identified During This Audit

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

REMOTE AUDIT OUTCOME		
During this remote audit	0	MAJOR Non-Conformities
	0	MINOR Non-Conformities

Nr.	Indicator	Description	Location	Opportunity for Improvement
1	4.2.1.1	The group management shall commit itself to implement and maintain the requirements for traceability.	Office	SPOC J32 Sri Menanti may consider improve on the record of smallholders' monthly FFB production.
2	4.4.4.1	Independent smallholders are encouraged to seek knowledge to increase their	Office	SPOC J32 Sri Menanti may consider improve on smallholder's knowledge in oil palm management, example: weed control.

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Nr.	Indicator	Description	Location	Opportunity for Improvement
		competency in oil palm management.		

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5. CONCLUSION

Malaysia Palm Oil Board has commissioned TÜV NORD (Malaysia) Sdn Bhd to carry out the certification for the Sustainable Palm Oil Cluster (SPOC) for SPOC J32 Sri Menanti consisting of 951 independent smallholders according to MS 2530-2:2013 Part 2, General Principles for Independent Smallholders.

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

In conclusion the certified organisation has been established, implement and continue to improve in managing the independent smallholders are in line with the Principles & Criteria of the applied standard MS 2530-2:2013 Part 2 General Principles for Independent Smallholders.

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

Total certified number of independent smallholders:	951
Total certified acreage of smallholders:	2,042.455 Ha
Certified FFBs output Jan to Dec 2020:	34,612.79 Mt
Projected FFBs output Jan to Dec 2021:	38,285.65 Mt

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6. RECOMMENDATION

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

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

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

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

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

	Recommended for Certification / Recertification
X	Recommended for Continuity of Certification
	Suspended of Certification

Puchong, 06/04/2021

Joseph Sim Siaw Seng
TUV NORD (Malaysia) Sdn Bhd
Trainee Audit Team Leader

Puchong, 06/04/2021

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

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7. LIST OF STAKEHOLDERS

According to ACB – OPMC 4 Issue 2 dated 04/09/2020, Stakeholder Consultation Requirements Section 6: Consultation during audit, §6.1: During the stage 2 and recertification audit of the management unit, the CB shall carry out stakeholder consultation to ensure continued compliance with the requirements of the certification standards.

Therefore, no stakeholders consultation for this surveillance audit

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

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

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

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

Salvo clause:

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

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

Annex / Enclosures

Annex /
corresponding audit documentation

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