

MSPO CERTIFICATION SUMMARY REPORT

MPOB – SPOC C9 KUALA LIPIS

SURVEILLANCE 04

Onsite Audit Date: 14/02/2022 – 17/02/2022

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MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC C9 Kuala Lipis
Client Number: 92-037
Audit Type: ASA 04
Mode of Audit: Onsite



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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 04 audit for SPOC C9 Kuala Lipis 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 C9 Kuala Lipis 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 C9 Kuala Lipis 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 two team members. The team contribute to the review of documents, assessment of the project activity and preparation of the report.

Qualification of the Lead Auditor: Mohd Nur Amin Bin Mohd Halim

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;	Graduate in Office Management & Technology.

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Requirement	Qualifications
v) Social Sciences and/or Anthropology; vi) Business Management; or vii) Other relevant related fields	
At least five (5) years of work experience in the oil palm sector or related field in consultancy / auditing of similar industry or equivalent related to and as necessary for the certification process. (e.g., sustainability, palm oil management; agriculture, ecology; social science)	6 years 10 months of working experience in both upstream & downstream division on managing sustainability of oil palm industry.
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.	Qualified and appointed as lead auditor for MSPO scheme.
Field working experience in the palm oil sector, or demonstrable equivalent	6 years 10 months of working experience in managing sustainability for oil palm industry for both upstream and downstream division.
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	6 years 10 months of working experience in managing sustainability for oil palm industry for both upstream and downstream division.
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.

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Requirement	Qualifications
Completed High Conversation Value assessment	Attended and completed the HCV-HCS for producers online course
Able to communicate in Bahasa Malaysia, English and / or any other local language.	Able to communicate in Bahasa Malaysia and English.

Qualification of Team Member(s)

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
	Ariff Bin Lokman	Graduate in Plantation Industry and Management.	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)	Mohamad Norhisham Bin Mohd Salleh	5 years working experience in oil palm plantations.	Yes
	Ariff Bin Lokman	7 years working experience in oil palm plantations.	Yes
Successfully completed MPOCC endorsed lead auditor / auditor trainings	Mohamad Norhisham Bin Mohd Salleh	Successfully completed MS2530 series of standards for Lead Auditors	Yes
	Ariff Bin Lokman	Successfully completed MS2530 series of standards for Lead Auditors.	Yes
Conducted a minimum six (6) on-site audits for a total of at least 20 man-days of audit experience as an	Mohamad Norhisham Bin Mohd Salleh	Qualified as auditor based on audit log.	Yes

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Requirement	Name Assessor	Qualification	Compliance
auditor-in-training under the direction and guidance of a qualified Lead Auditor for MSPO or equivalent sustainability certification schemes.	Ariff Bin Lokman	Qualified and appointed as lead auditor for MSPO scheme.	Yes
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
	Ariff Bin Lokman	7 years working experience in oil palm plantations.	Yes
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
	Ariff Bin Lokman	7 years working experience in oil palm plantations.	Yes
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Mohamad Norhisham Bin Mohd Salleh	Successfully completed ISO 9001:2015 Lead Auditor course.	Yes
	Ariff Bin Lokman	Successfully completed IMS ISO 9001, 14001, 45001 Lead Auditor course.	Yes
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 ISO 45001:2018 Lead Auditor course.	Yes
	Ariff Bin Lokman	Successfully completed IMS ISO 9001, 14001, 45001 Lead Auditor course.	Yes
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Mohamad Norhisham Bin Mohd Salleh	Successfully completed Basic SA 8000 training.	Yes
	Ariff Bin Lokman	Successfully completed Basic SA 8000 training.	Yes
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 14001:2015 Lead auditor course and auditor for MSPO scheme	Yes
	Ariff Bin Lokman	Successfully completed IMS ISO 9001, 14001,	Yes

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Requirement	Name Assessor	Qualification	Compliance
		45001 Lead Auditor course.	
Completed High Conversation Value assessment	Mohamad Norhisham Bin Mohd Salleh	Attended and completed the HCV-HCS for producer online course.	Yes
	Ariff Bin Lokman	Attended and completed the HCV-HCS for producer online course.	Yes
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
	Ariff Bin Lokman	Able to communicate in Bahasa Malaysia and English.	Yes

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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, review of documentation;
- Review of SPOC management system;
- Reporting
- Resolution of non-conformance (NC)
- Draft audit reporting
- Technical review
- Final audit reporting
- Final approval, certification decision and issuance of certificate.

Surveillance Audit 04:

The surveillance audit 04 is conducted onsite on 14/02/2022 – 17/02/2022 covering the following activities but not limited to below:

Onsite:

- Onsite visit, observations and inspections of farms management and activities;
- Interview smallholders;
- Reviewed revised and updated documentation established and implemented;
- FFB production records;
- Training records;
- Land titles and land application approvals;
- Review and closed out of observations raised during stage 1 or stage 2 or SA audit;
- Assessment reporting;

Onsite

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

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

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In accordance to MPOCC Guidance on Remote Audits due to Covid-19 Pandemic Restrictions Version 4.0 dated 26/10/2021 with reference to the latest announcement by the Government on the interstate travel approval for fully vaccinated individual “Pergerakan rentas negeri – dibenarkan bagi yang lengkap vaksin” on the 11th October 2021, the Accredited Certification Bodies (ACBs) and Certification Bodies (CBs) shall in their best position strive to ensure that an on-site audit by the Audit Team be conducted.

All ACBs and CBs are to adhere to the National Security Council (NSC) announcement of the National Recovery Plan (NRP) and the Enhanced Movement Control Order (EMCO) by referring to their official website at: <https://www.mkn.gov.my/web/ms/covid-19/>.

NRP (PHASE 1 – PHASE 4)

All MSPO 2530 Series & Supply Chain on-site MSPO audits are allowed on all the NRP Phases, with the following conditions: -

- 50% capacity meeting room space and following strict SOPs.
- For Peninsular - Crossing-state borders and districts must adhere to the conditions and SOPs set by the NSC.
- For the States of Sabah & Sarawak, the Crossing-state borders are only allowed from 1st November 2021 onwards and must adhere to the conditions and SOPs set by the respective state NSC guidelines.

EMCO

- All MSPO 2530 Series & Supply Chain on-site audits are not allowed. The ACBs & CBs must conduct audit remotely.

The remote audit shall be guided by ICT Tools as per IAF MD4:2018 and ISO 9001 Auditing Practices Group on Remote Audits 2020.

For this onsite 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 140 new members and 874 existing members. The total number of smallholders for this audit are 1,014.

As per MPOB requirements the risk factor of 1.5 shall be applied. Therefore, the sample size $S = 1.5\sqrt{1,014} = 47.76$ round up to the next integral 48

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 onsite assessment and inspection listed in Table 2-1 below:

Table 2-1: List of Sample Smallholders

Name	GPS Coordinates
Existing member(s)	
Azman Bin Dollah	4.295705, 101.98409

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Name	GPS Coordinates
Existing member(s)	
Mat Noh Bin Yaakob	4.315391, 101.984282
Ros Aida Bt Mostapar	4.319911, 102.036751
Shamsudin Bin Mat Zahid	4.070971, 102.299731
Idris Mat Duyor	4.417633, 102.050035
Abd Rasid Md Yusoh	4.211667, 101.990278
Mohd Ali Hassan	4.209722, 101.991389
Awang Mat Bin Zainal	4.035142, 102.201897
Mohamad Razali Bin Bakar	4.274591, 101. 926281
Zuraida Binti Zakaria	4.077478, 102.266758
Masni Binti Mahidin	4.012338, 102.095827
Irwan Fairul Amir Bin Wan Ismail	4.012345, 102.097928

Name	GPS Coordinates
New member(s)	
Zaharin Bin Othman	4.014884, 102.009629
Zaida Binti Othman	4.012262, 102.013869
Azizah Binti Awang	4.042591, 102.090731
Mokhtar Bin Mat Yasin	4.036477, 102.101658
Mohamed Akhiruddin Bin Ibrahim	4.065031, 102.302341
Mohamad Fairus Bin Hassan	4.646421, 101.980021
Mustaffa Bin Mamat	4.640141, 102.002391

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Name	GPS Coordinates
New member(s)	
Muhammad Rosni Bin Mamat	4.599851, 101.994041
Siti Jarah @ Jawahir Binti Senil	4.639591, 102.001811
Ainatul Najihah Binti Nawang	4.624161, 101.999271
Salleh bin Mohd Jusoh	4.630341, 101.999031
Siti Hasmah Binti Abdullah	4.648211, 101.976981
Mazlan Bin Abdul Ghani	4.637721, 101.970341
Roziah Binti Abdul Rahman	4.218771, 101.859311
Rosmera Bin Yahya @ Yusoff	4.678911, 102.016661
Mohd Sapri Bin Khalib	4.662911, 101.999511
Mariam Minado Bt Abd Rahman	4.677511, 102.01392`
Rokema Binti Awang	4.071262, 102.270176
Zailan Bin Ibrahim	4.095602, 102.246211
AMH Agro Enterprise	4.086121, 102.286321
Nor Izar Bt Mohd Zain	4.017446, 102.033809
Zamri Bin Mohd Zain	4.018247, 102.035351
M Izhab Bin Abd Manaf	4.019167, 102.043145
Azrai Bin Shaari	4.011881, 102.082986
Abdul Razak Bin Seman	4.066061, 102.301311
Mohamad Nizam Bin Mohammad Ali	4.016661, 102.006931
Abdul Rahim Bin Silah	4.022381, 101.955851
Rushdan Bin Nordin @ Noordin	4.021351, 101.954551

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Name	GPS Coordinates
New member(s)	
Nazri Bin Mat Sila	3.988841, 101.982731
Noraini Binti Othman	4.014121, 102.007191
Roslan Bin Ab. Raffar	3.983591, 101.978451
Norah Bt Silah	3.983431, 101.980371
Baharum Shah Bin Mohamad	4.018208, 102.052213
Mohd Saidi Bin Awang Ngah	4.018159, 102.051901
Mat Ritaudin Bin Abdul Talib	4.342092, 102.031261
Mohd Zainizan Bin Sahdan	4.263171, 101.957234

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 C9 Kuala Lipis, is a branch of MPOB located at No 30, Tingkat 1, Pusat Perniagaan Raub, 27600 Raub Pahang, office's coordinate 3.789722 N, 101.8564 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 Kuala Lipis district.

The smallholders in Kuala Lipis as shown in the below maps.

Figure 1



Figure 2



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Figure 3



Figure 4



Figure 5





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Figure 9



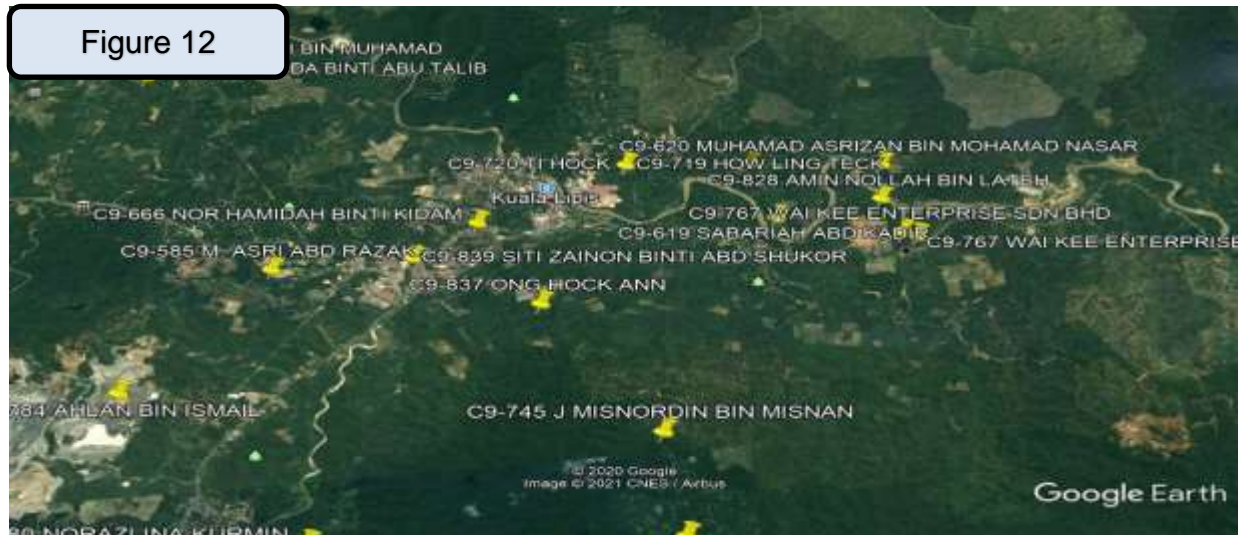
Figure 10



Figure 11



Company Name:	Malaysian Palm Oil Board
Certifying Unit:	SPOC C9 Kuala Lipis
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Figure 15



Figure 16



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4. CERTIFICATION ASSESSMENT

4.1. ASA 04

The objective of the audit is to assess the activities of MPOB Cawangan SPOC C9 Kuala Lipis are in compliance with MS 2530-2: 2013 Part 2: General principles for independent smallholders' requirements.

4.1.1. Surveillance 04:

The surveillance 04 audit is conducted on 14/02/2022 to 17/02/2022.

The number of smallholders in this surveillance 04 audit are 1,014.

The number of smallholders 874 remain the same for this surveillance 04 audit.

The number of smallholders joined during this surveillance 04 audit are 140.

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 onsite 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 this surveillance 04 audit, there are three OFIs raised.

For this audit, the three OFIs raised in the last surveillance 03 audit, the audit team has review by means of onsite inspection of smallholders' farms, conduct interviews, review and verify documents that are established, corrected and implemented appropriately by the SPOC team. The corrective measures implemented could be verified as appropriate.

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

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

4.2. Stakeholders' Consultation

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

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Therefore, there is no physical stakeholders consultation conducted for this surveillance audit. TUV NORD (Malaysia) Sdn. Bhd., has published the audit notification on 14/01/2022 to announce the audit of the certified unit. As at audit date on 14/02/2022 there are no comments received.

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 C9 Kuala Lipis adopted MPOB MSPO Policy document number MSPO/SPOC/POLISI-01 (rev 03). The policy was sign by SPOC C9 Kuala Lipis Group manager dated 16/12/2019.</p> <p>The MSPO policy is available in notice board at MPOB Raub Branch office.</p> <p>SPOC C9 Kuala Lipis adopted MPOB MSPO certification application with the MSPO policy included in the form duly agreed and signed by smallholders and acknowledged by SPOC C9 Kuala Lipis Group Manager.</p> <p>Onsite interview with SPOC C9 Kuala Lipis smallholders informed they have being briefed on the policy during MSPO briefing on 06/04/2021 and LKN visit to their farm on 03/12/2021.</p>	Yes						
4.1.2.1	<p>SPOC C9 Kuala Lipis adopted list of social and environmental impact and action plan, document number MSPO/SPOC/L-04/ISP, revision 04, issue 04 dated 01/06/2021.</p> <p>The table include topic on activity, social impact and improvement plan.</p> <p>Example of Environmental Impact and action:</p> <table><tr><td>Activity</td><td>Chemical spraying</td></tr><tr><td>Impact</td><td>Disposal of scheduled waste</td></tr><tr><td>Action plan</td><td>Triple rinsing and store at designated location.</td></tr></table> <p>Onsite visit and onsite interview with SPOC C9 Kuala Lipis smallholders informed they have being briefed and practice triple rinsing and label with 'X' for all reused empty chemical containers for chemical spraying and store at designated area.</p>	Activity	Chemical spraying	Impact	Disposal of scheduled waste	Action plan	Triple rinsing and store at designated location.	Yes
Activity	Chemical spraying							
Impact	Disposal of scheduled waste							
Action plan	Triple rinsing and store at designated location.							
4.1.2.2	<p>SPOC C9 Kuala Lipis distribute 'Warta Sawit' to smallholders on either via WhatsApp Group. Latest Warta Sawit available was Bil. 79 (3) Sept - Dis 2021.</p>	Yes						

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Principle 1: Management Commitment & responsibility		
Indicator	Summary of Assessment	Compliance
	<p>Onsite interview with SPOC C9 Kuala Lipis smallholders informed they obtained the new information on oil palm management during the LKN visit by group manager.</p> <p>Example:</p> <p>SPOC C9 Kuala Lipis group manager distribute the latest Warta Sawit to smallholders via WhatsApp Group dated 04/01/2022 and LKN visit to their farm on 03/12/2021.</p>	

Principle 2: Transparency		
Indicator	Summary of Assessment	Compliance
4.2.1.1	<p>SPOC C9 Kuala Lipis adopted MPOB 'Manual Prosedur Kerja MSPO Kelompok Minyak Sawit Mampan' document number MSPO/SPOC/GP-01/PEK revision number 04, dated 01/06/2021 which include 'Carta Alir Kebolehejekan Perbelanjaan dan Pendapatan Pekebun Kecil' as a traceability procedure.</p> <p>The traceability procedure describe smallholders provided with Buku Rekod Ladang (BRL) to record FFB sales.</p> <p>Onsite interview with smallholders informed FFB production, fertilizer and chemical application recorded in the BRL.</p> <p>Review the BRL of smallholders with information of FFB production.</p> <p>SPOC C9 Kuala Lipis maintain record of FFB sales in smallholders' individual file.</p>	Yes
4.2.1.2	<p>SPOC C9 Kuala Lipis established FFB production summary record by monthly basis for each smallholders updated as at December 2021.</p> <p>SPOC C9 Kuala Lipis maintain records of FFB sales and weighbridge ticket in smallholders' individual file.</p> <p>Interview with smallholders informed FFB sales receipts and weighbridge tickets are maintained.</p>	Yes

Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
4.3.1.1	<p>SPOC C9 Kuala Lipis adopted MPOB List of legal requirement, document number MSPO/SPOC/L-01/SKU revision number 07 dated 01/06/2021.</p> <p>Example:</p> <ol style="list-style-type: none">1. Akta 149: Akta Racun MakhluK Perosak 19742. Akta 342: Akta Pencegahan dan Pengawaln Penyakit Berjangkit 19883. Akta 350: Akta Kanak-Kanak dan Orang Muda (Pekerjaan) 1966.	Yes

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Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
	<p>SPOC C9 Kuala Lipis conducted MSPO briefing include legal requirement on 06/04/2021 and LKN visit to smallholders farm on 03/12/2021.</p> <p>Document review on sampled SPOC C9 Kuala Lipis smallholders verify copy of MPOB license is maintained.</p> <p>MPOB license SPOC C9 Kuala Lipis smallholders validity as below:-</p> <p>Example :</p> <ol style="list-style-type: none"> 1. Smallholders No.976 – license valid until 31/08/2026 2. Smallholders No.778 – license valid until 30/04/2024. <p>Onsite interview with sampled smallholders informed they have been briefed on legal requirement.</p>	
4.3.2.1	<p>SPOC C9 Kuala Lipis smallholders' have free hold, lease title or Tanah Orang Asli.</p> <p>Example for free hold title / Geran Mukim:</p> <p>Smallholders No. 903</p> <p>Title No.: 1059</p> <p>Lot No.: 845</p> <p>Land area: 1.8868 Hectare.</p> <p>Land tenure: Held in perpetuity by the owner</p> <p>Land use: For oil palm cultivation only</p> <p>Registered date: 08/09/1998.</p> <p>Document review, SPOC C9 Kuala Lipis established CIP dated 04/01/2022 include monitoring of the land use conversion. The status of land use conversion is in progress on approval from Pejabat Tanah & Galian (PTG) Pahang.</p> <p>Onsite interview with sampled smallholders, there are no disputes found and boundary stones or boundary drains used to indicate the boundary.</p>	Yes
4.3.3.1	<p>There are customary right land for SPOC C9 Kuala Lipis. The customary right land obtain by Orang Asli. All Orang Asli smallholders having Pengesahan Status Tanah from Jabatan Kemajuan Orang Asli Daerah Lipis as proof of land ownerships.</p> <p>Tanah Orang Asli or Customary Right Land example:</p> <p>Smallholders No.803</p> <p>Letter Acknowledgement: JAKOA Kuala Lipis</p> <p>Date of acknowledgement: 20/01/2020</p> <p>Letter Reference No.: JAKOA/L/B1/010 Jld 3 (112)</p> <p>Kampung: Kg. Koyan</p> <p>Land area: 8.0938 Hectare</p>	Yes

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Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
	Land status: Pahang State government land Land use: For oil palm cultivation only.	
4.3.3.2	SPOC C9 Kuala Lipis smallholders land titles are either customary right, lease or free hold have maps included with information available are such as land location, lot number, area size and boundary stone markers.	Yes

Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.1.1	<p>SPOC C9 Kuala Lipis adopted MPOB Guidelines Complaint and Grievance, doc no. MSPO/SPOC/SOP-01/AR, issue 04, revision 02 dated 01/06/2021.</p> <p>The SOP describes;</p> <ol style="list-style-type: none"> 1. Stated in the SOP timeline for addressing the grievance and complaint are within 14 days. 2. Group manager is in charge in handling the complaint and grievances. 3. All the grievance and complaint records are documented. <p>Document review on LKN report verified the complaint and grievances procedure has been briefed to smallholders dated 06/04/2021.</p> <p>Onsite interview with smallholders informed they are briefed and understand the complaint and grievance procedure and process flow.</p>	Yes
4.4.1.2	<p>SPOC C9 Kuala Lipis adopted MPOB Guidelines Complaint and Grievance, doc no. MSPO/SPOC/SOP-01/AR, issue 04, revision 02 dated 01/06/2021.</p> <p>Review the SOP stated time line to resolve disputes within 14 days.</p> <p>Stated in the SOP person in charge is Group Manager. The Group Manager is assigned for:</p> <ol style="list-style-type: none"> 1. Accepting the grievances 2. Analyzed and investigate on issue raised. <p>Any complaint outside the scope of the group manager it will refer to other parties or MPOB HQ.</p> <p>Interview with smallholders informed they are briefed on complaint and grievance process and timelines to resolve the complaints.</p>	Yes
4.4.2.1	<p>SPOC C9 Kuala Lipis adopt MPOB Guidelines Occupational Safety & Health, document no. MSPO/SPOC/GP-02/KKP, issue: 4, revision: 0 effective date: 01/06/2021.</p> <p>SOP describes:</p> <ol style="list-style-type: none"> 1. Responsibility of GM and smallholders regarding safety and health. 2. Procedure and type of PPE used for harvesting, manuring and spraying. 	Yes

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>Review on safety and health training has been conducted on 06/04/2021.</p> <p>Interview with smallholders informed they are briefed on importance of safety and health during working in field.</p> <p>Example:</p> <p>Wearing of PPE for chemical spraying activity: Apron, face mask, goggle, safety boot, rubber hand glove and safety helmet.</p>	
4.4.3.1	<p>SPOC C9 Kuala Lipis adopted MPOB Employment Terms document no: MSPO/SPOC/SMP-01, rev-01 updated 01/10/2020.</p> <p>The form has includes payment rates for operational activities such as harvesting, chemical spraying, manuring and pruning.</p> <p>Interview with smallholders informed, they working by themselves or assisted by family members in carrying out field operations.</p>	Yes
4.4.3.2	<p>SPOC C9 Kuala Lipis adopted MPOB MSPO application form with a statement “provide equal opportunity and treatment regardless of race, colour, sex, religion, political affiliation, nationality, social origin and shall not engage in or support discriminatory practices.</p> <p>SPOC C9 Kuala Lipis adopted MPOB Employment Terms document no: MSPO/SPOC/SMP-01, rev-01 updated 01/10/2020.</p> <p>The form describe :</p> <p>Against any form of discrimination, and implying human right in terms of opportunities, disregards of races, gender, religion, political affiliation, and nationality.</p> <p>There are no complaints related to discrimination during documents review.</p> <p>Interview with smallholders informed no discrimination occurs.</p>	Yes
4.4.3.3	<p>SPOC C9 Kuala Lipis adopted MPOB Employment Terms document no: MSPO/SPOC/SMP-01, rev-01 updated 01/10/2020.</p> <p>The form has includes payment rates for operational activities such as harvesting, spraying, manuring and pruning.</p> <p>Interview with smallholders informed, they are working by themselves or assisted by family members in carrying out field operations.</p>	Yes
4.4.3.4	<p>Interview with SPOC C9 Kuala Lipis smallholders and field visit to smallholder’s farm informed no on-site living quarters provided.</p>	Yes
4.4.3.5	<p>SPOC C9 Kuala Lipis adopted MPOB Employment Terms document no: MSPO/SPOC/SMP-01, rev-01 updated 01/10/2020.</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. 	Yes

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	Interview with smallholders informed no presence of child workers in field. Smallholders are briefed and understand on legal restriction on hiring under age workers.	
4.4.4.1	<p>SPOC C9 Kuala Lipis establish training programme year 2021 and 2022.</p> <p>The training programme include Taklimat MSPO, GAP and LKN visit.</p> <p>Example of training conducted:</p> <p>Title: MSPO introduction, Safety and Health and GAP.</p> <p>Date: 06/04/2021.</p> <p>Document review verified the LKN has been conducted on 03/12/2021.</p> <p>Interview with smallholders informed they has attended the MSPO training. Smallholders are able to demonstrate understanding of MSPO implementation in farms.</p>	Yes

Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
4.5.1.1	<p>SPOC C9 Kuala Lipis adopted MPOB List of Social and Environmental Impact and Action Plan, document number MSPO/SSCC/I-04/ISP, revision 04, issue 04 dated 01/08/2021.</p> <p>Environment impact had been identified and included in the SOP.</p> <p>Activity: Manuring / chemical spraying activities.</p> <p>Environmental impact: Water pollution can occur as a result of the use of pesticides near waterways.</p> <p>Action plan: Continuous GAP implementation and LKN visit by GM SPOC.</p> <p>Document review and interview, SPOC C9 Kuala Lipis smallholders informed they have been briefed on environmental impacts dated 06/04/2021 and LKN visit to smallholders farm on 03/12/2021.</p> <p>Onsite visit observed, there are no over spraying activities carry out.</p>	Yes
4.5.2.1	Onsite visit and interview at SPOC C9 Kuala Lipis smallholders informed they are not using any renewal energy at farm.	Yes
4.5.3.1	<p>SPOC C9 Kuala Lipis adopted MPOB List of Scheduled and Domestic Wastes MSPO/SPOC/L-03/SRD Issue 4 rev 1 effective date 01/08/2021.</p> <p>Document review verify the list consists of solid, liquids and gaseous wastes.</p> <p>Example:</p> <p>Agricultural input: Herbicides</p> <p>Waste produced: Empty chemical containers</p> <p>Impact: Polluting water source if the empty containers left in the field or near the water ways.</p>	Yes

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Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	<p>SPOC C9 Kuala Lipis established list of waste generated by smallholders. Type of waste generated are chemical containers and fertilizer bag.</p> <p>Records of scheduled waste has review.</p> <p>Example:</p> <ol style="list-style-type: none"> 1. Fertilizer bags disposal method recycle for loose fruit collection. 2. Empty chemical container method disposal triple rinse and reused for transport the water in the fields. <p>Document review and onsite interview with SPOC C9 Kuala Lipis smallholders informed they have been briefed on disposal, recycle or reused methods for managing empty chemical container and fertilizer bags to smallholders dated 06/04/2021 and LKN visit to their smallholders farm dated 03/12/2021.</p> <p>Onsite visit observed the empty chemical containers are utilize to store water for chemical spraying activities.</p>	
4.5.3.2	<p>SPOC C9 Kuala Lipis adopted MPOB SOP for Scheduled Waste Management, doc no: MSPO/SPOC/SOP-04/BT dated 01/08/2021.</p> <p>The SOP describe:</p> <ol style="list-style-type: none"> 1. To conduct triple rinsing for each empty chemical container before disposed. 2. To put marking on empty chemical container for chemical mixing purposes. 3. All scheduled waste shall be disposal according to the Environmental Quality (Scheduled waste) Regulations, 2015. <p>Document review and onsite interview with SPOC C9 Kuala Lipis smallholders informed they have been briefed on waste management and disposal with practice triple rinse for empty chemical containers and reused for chemical spraying dated 14/10/2021 and LKN visit to their farms on 03/12/2021.</p> <p>Onsite visit observed, the empty chemical containers are labelled with 'X' and stored at smallholders own store.</p>	Yes
4.5.4.1	<p>SPOC C9 Kuala Lipis adopted MPOB guidelines River Buffer Zone, doc no: MSPO/SPOC/GP-03/ZPS, issue 4 dated 01/08/2021.</p> <p>The procedure describes:</p> <ol style="list-style-type: none"> 1. Guideline for buffer zone length. 2. Non permitted activities are chemical spraying and manuring. 3. Flow chart on buffer zone establishment. <p>Document review and onsite interview with SPOC C9 Kuala Lipis smallholders informed they have been briefed on conserve of buffer zone areas from any chemical applications near the waterways dated 06/04/2021 and during LKN visit to their farms dated 03/12/2021.</p>	Yes

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Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
4.5.4.2	SPOC C9 Kuala Lipis smallholders practices collecting rain water at farms. Onsite interview with SPOC C9 Kuala Lipis smallholders informed they are practicing rain water harvesting using empty drums for chemical spraying activities.	Yes
4.5.5.1	SPOC C9 Kuala Lipis adopted list of protected wildlife from Wildlife Department of Kuala Lipis dated 04/01/2021. Document review, the list include wildlife such as Tapir and Pangolin / Tenggiling. Wildlife posters are displayed at the MPOB Raub notice board. Document review, SPOC C9 Kuala Lipis conducted briefing on protection of wildlife dated 06/04/2021 and LKN visit to smallholders farm on 03/12/2021. Onsite interview with smallholders informed they have sighted monkey and squirrel within their farms.	Yes
4.5.6.1	SPOC C9 Kuala Lipis adopted MPOB Guidelines Zero Burning Practices, doc. No. MSPO/SPOC/GP-04/APS, issue 4 rev. 1, effective date 01/06/2021. SOP describes there is no open burning of any kind on the operating unit, except those comply with the Environmental Quality Order 2003 and obtain approval from Department of Environment. From document review, SPOC C9 Kuala Lipis conducted briefing on zero burning dated 06/04/2021 and LKN visit to smallholders farm on 03/12/2021. Onsite visit observed and interviewed with SPOC C9 Kuala Lipis smallholders informed no open burning practices during replanting or new planting.	Yes

Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
4.6.1.1	SPOC C9 Kuala Lipis conducted Lawatan Khidmat Nasihat (LKN) covering GAP to sampled smallholders dated 03/12/2021. SPOC C9 Kuala Lipis sampled smallholders implement good agricultural practice such as: 1. Proper stacking of fronds. 2. Good maintenance of harvesting path. 3. Proper palm pruning. Interview with sampled smallholders informed they have been briefed on good agricultural practices by SPOC C9 Group Manager.	Yes

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Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
4.6.1.2	SPOC C9 Kuala Lipis established visual identification for each smallholder with information of smallholders' name, field address, GPS coordinates, lot size and year of planting.	Yes
4.6.2.1	SPOC C9 Kuala Lipis adopt MPOB Guideline Economic and Financial Plan, MSPO/SPOC/GP-01/PEK, issue 3, revision 3 dated 01/06/2020. Document review on budget approval for MSPO training and LKN visit SPOC C9 Kuala Lipis. The budget includes MSPO training, LKN and miscellaneous expenses.	Yes
4.6.3.1	SPOC C9 Kuala Lipis monitor FFB price through input from collection center for fair pricing. Interview with sampled smallholders informed the FFB pricing is displayed at collecting centre notice board.	Yes

Principle 7: Development of new planting		
Indicator	Summary of Assessment	Compliance
4.7.1.1	Document review on list of smallholders and planting statements no new planting in SPOC C9 Kuala Lipis. The first planting is in year 1986 and the latest new planting is in year 2018. There are no new plantings for existing and new members in year 2022. Thus, there is no assessment on high biodiversity area.	Yes
4.7.2.1	Document review on list of smallholders and planting statements confirmed no new planting in SPOC C9 Kuala Lipis. The first planting is in year 1986 and the latest new planting is in year 2018. There are no new plantings for existing and new members in year 2022. Therefore, no soil survey or topography is required.	Yes
4.7.3.1	Document review on list of smallholders and planting statements no new planting in SPOC C9 Kuala Lipis. The first planting is in year 1986 and the latest new planting is in year 2018. There are no new plantings for existing and new members in year 2022. Therefore, no data for type of terrain available.	Yes

4.4. Status of Non-Conformities Previously Identified

	The stage 1 audit findings of this system have been reviewed, in particular to assure appropriate correction and corrective action HAS implemented to address identified audit findings. Details of the follow up action taken on stage 1 audit findings were recorded in the Stage 1 audit report.
	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.

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	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.
X	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	0	MAJOR Non-Conformities
	0	MINOR Non-Conformities

4.6. Detail of Audit Findings Identified During This Audit

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

ON-SITE AUDIT OUTCOME		
During this onsite audit,	0	MAJOR Non-Conformities
	0	MINOR Non-Conformities

Nr.	Indicator	Description	Location	Opportunity for Improvement
1	4.3.1.1	Independent smallholders shall show awareness of compliance with all applicable local, state, national and ratified international laws and regulations.	Office	SPOC C9 Kuala Lipis may improve the monitoring of 'Senarai Keperluan Undang- Undang' and licenses status.
2	4.5.3.1	All waste products and sources of pollution shall be identified.	Office	SPOC C9 Kuala Lipis could improve on 'Rekod Pengurusan Bahan Buangan Terjadual' generated by smallholders.
3	4.6.1.1.	All independent smallholders oil palm farms shall implement best practices such as the MPOB Codes of Practice, Malaysian Standards, ISO Standards and and the Kod Amalan Baik (GAP) Pekebun Kecil.	Field	SPOC C9 Kuala Lipis could improve Good Agricultural Practices (GAP) on: 1. Pruning 2. Chemical spraying.

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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 C9 Kuala Lipis consisting of 1,014 independent smallholders according to MS 2530-2:2013 Part 2, General Principles for Independent Smallholders.

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

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

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

Total certified number of independent smallholders: 1,014

Total certified acreage of smallholders: 2,911.61 Ha

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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

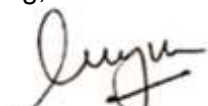
	Recommended for Certification / Recertification
X	Recommended for Continuity of Certification
	Suspended of Certification

Puchong, 11/03/2022



Mohd Nur Amin Bin Mohd Halim
TUV NORD (Malaysia) Sdn Bhd
Audit Team Leader

Puchong, 21/03/2022



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

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7. LIST OF STAKEHOLDERS

No stakeholders' consultation conducted in accordance 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. Therefore, no stakeholders listed.

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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