

MSPO CERTIFICATION SUMMARY REPORT

MPOB – SPOC J29 LINAU / PESERAI /
SIMPANG KANAN / BAGAN

SURVEILLANCE 02

Onsite Audit Date: 05/04/2021 – 08/04/2021

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MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
Client Number: 92 – 099
Audit Type: Annual Surveillance 02
Mode of Audit: Onsite



Table of Contents

1.	INTRODUCTION	4
1.1.	Objective	4
1.2.	Scope	4
1.3.	Appointment & Qualification of Audit Team Members	4
2.	METHODOLOGY.....	9
3.	ORGANISATION INFORMATION	13
4.	CERTIFICATION ASSESSMENT	15
4.1.	ASA 02	15
4.2.	Stakeholders' Consultation	15
4.3.	Summary of Assessment	16
4.4.	Status of Non-Conformities Previously Identified	23
4.5.	Detail of Audit Findings in last Audit	23
4.6.	Detail of Audit Findings Identified During This Audit	26
5.	CONCLUSION	28
6.	RECOMMENDATION	29
7.	LIST OF STAKEHOLDERS	30
	Distribution / Confidentiality / Rights of ownership / Limitations / Responsibilities / Audit Objectives	31
	Annex / Enclosures	31

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
Client Number: 92 – 099
Audit Type: Annual Surveillance 02
Mode of Audit: Onsite



ABBREVIATIONS

CHRA	Chemical Health Risk Assessment
CPO	Crude Palm Oil
CSR	Corporate Social Responsibility
DOE	Department of Environment
EFB	Empty Fruit Bunch
EIA	Environment Impact Assessment
FFB	Fresh Fruit Bunch
GAP	Good 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

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
Client Number: 92 – 099
Audit Type: Annual Surveillance 02
Mode of Audit: Onsite



1. INTRODUCTION

MPOB has commissioned TÜV NORD (Malaysia) Sdn Bhd to conduct surveillance audit for SPOC J29 Linau / Peserai / Simpang Kanan / Bagan 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 J29 Linau / Peserai / Simpang Kanan / Bagan 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 J29 Linau / Peserai / Simpang Kanan / Bagan 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 2 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: Muhammad Khairul Anuar bin Azizul Hasan

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 Plantation Industry and Management

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
 Client Number: 92 – 099
 Audit Type: Annual Surveillance 02
 Mode of Audit: Onsite



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)	7 years working experience in oil palm plantation.
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 as Lead Auditor for MSPO scheme.
Field working experience in the palm oil sector, or demonstrable equivalent	7 years working experience in oil palm plantation.
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	7 years working experience in oil palm plantation.
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Successfully completed IMS ISO 9001, ISO 14001 and ISO 45001 LA 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, ISO 14001 and ISO 45001 LA course.
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Successfully completed SA 8000 Basic training and Auditor for MSPO and RSPO scheme.
Environmental and ecological auditing or experience with organic agriculture. or Successfully completed Environmental Management Systems ISO 14001 standard	Successfully completed IMS ISO 9001, ISO 14001 and ISO 45001 LA course.
Completed High Conversation Value assessment	Successfully completed HCV – HCS for producers course.

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board

Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan

Client Number: 92 – 099

Audit Type: Annual Surveillance 02

Mode of Audit: Onsite



Requirement	Qualifications
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	Khairul Anwar bin Ismail	Graduate in Agricultural Science.	Yes
	Joseph Sim Siaw Seng	Graduate in Occupational Safety and Health	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)	Khairul Anwar bin Ismail	5 years working experience in oil palm plantations	Yes
	Joseph Sim Siaw Seng	4 years working experience in oil palm plantations.	Yes
Successfully completed MPOCC endorsed lead auditor / auditor trainings	Khairul Anwar bin Ismail	Successfully completed MS2530 series of standards for Lead Auditors	Yes
	Joseph Sim Siaw Seng	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 auditor-in-training under the direction and guidance of a qualified Lead Auditor for MSPO or equivalent sustainability certification schemes.	Khairul Anwar bin Ismail	Qualified as Auditor for MSPO scheme	Yes
	Joseph Sim Siaw Seng	Qualified as Auditor for MSPO scheme	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board

Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan

Client Number: 92 – 099

Audit Type: Annual Surveillance 02

Mode of Audit: Onsite



Requirement	Name Assessor	Qualification	Compliance
Field working experience in the palm oil sector or demonstrable equivalent	Khairul Anwar bin Ismail	5 years working experience in oil palm plantations.	Yes
	Joseph Sim Siaw Seng	4 years working experience in oil palm plantations.	Yes
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	Khairul Anwar bin Ismail	5 years working experience in oil palm plantations.	Yes
	Joseph Sim Siaw Seng	4 years working experience in oil palm plantations.	Yes
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Khairul Anwar bin Ismail	Successfully completed IMS ISO 9001, 14001 and 45001 LA course.	Yes
	Joseph Sim Siaw Seng	Successfully completed IMS ISO 9001, 14001 and 45001 LA course.	Yes
Health and safety auditing on the farms processes and activities Or Successfully completed Occupational, Health & Safety Management System ISO 45001 standard	Khairul Anwar bin Ismail	Successfully completed IMS ISO 9001, 14001 and 45001 LA course.	Yes
	Joseph Sim Siaw Seng	Successfully completed IMS ISO 9001, 14001 and 45001 LA course.	Yes
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Khairul Anwar bin Ismail	Successfully completed SA 8000 Basic training and Auditor for MSPO scheme.	Yes
	Joseph Sim Siaw Seng	Successfully completed SA 8000 Basic training and Auditor for MSPO scheme.	Yes
Environmental and ecological auditing or experience with organic agriculture. or Successfully completed Environmental Management Systems ISO 14001 standard	Khairul Anwar bin Ismail	Successfully completed IMS ISO 9001, 14001 and 45001 LA course.	Yes
	Joseph Sim Siaw Seng	Successfully completed IMS ISO 9001, 14001 and 45001 LA course.	Yes
Completed High Conversation Value assessment	Khairul Anwar bin Ismail	Successfully completed HCV – HCS for producers course.	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board

Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan

Client Number: 92 – 099

Audit Type: Annual Surveillance 02

Mode of Audit: Onsite



Requirement	Name Assessor	Qualification	Compliance
	Joseph Sim Siaw Seng	Successfully completed HCV – HCS for producers course.	Yes
Able to communicate in Bahasa Malaysia, English and / or any other local language.	Khairul Anwar bin Ismail	Able to communicate in Bahasa Malaysia and English.	Yes
	Joseph Sim Siaw Seng	Able to communicate in Mandarin, Bahasa Malaysia and English.	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
Client Number: 92 – 099
Audit Type: Annual Surveillance 02
Mode of Audit: Onsite



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) (if any)
- Draft audit reporting
- Technical review
- Final audit reporting
- Final approval, certification decision and issuance of certificate.

Surveillance Audit:

The surveillance audit was conducted onsite on 05/04/2021 – 08/04/2021 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 Ncs raised during ASA 01 audit;
- Assessment reporting;

On-site Assessment

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.

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
Client Number: 92 – 099
Audit Type: Annual Surveillance 02
Mode of Audit: Onsite



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 467 new members and 522 old members. The total number of smallholders for this audit are 989.

As per MPOB requirements the risk factor of 1.5 shall be applied. Therefore, the sample size $989 \div 1.5 = 659.33$ round up to the next integral of 660.

As per OPMC 2 issue 2, from the sample size, the number of the new members are $660 \times 75\% = 495$ and number of existing members are $660 \times 25\% = 165$.

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 Smallholders	
Ter Yin Joo	1.89585°N 102.91468°E
Goh Han Se	1.87017°N 102.85980°E
Teo Hon Lain@ Hoon Po	1.8726306°N 102.861661°E
Rosni Binti Hj Naim	1.852373°N 102.850088°E
Azizan Bin Omar @Jamil	1.863734°N 102.908610°E
Quek Kuan Hock	1.872965°N 102.974935°E
Mohammad Bin Samsudin	1.883880°N 102.884816°E
Tan Suan Kee	1.867655°N 102.889104°E
Tang Kok Lian	1.92956°N 103.03094°E
Tan Siew Hong	1.891910°N 102.981910°E
Low Boon San	1.897550°N 102.993810°E
Tung Kok Hwa	1.8866694°N 102.98769°E
New Smallholders	
Asmijah Binti Yakin	1.850385°N 102.850390°E

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board

Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan

Client Number: 92 – 099

Audit Type: Annual Surveillance 02

Mode of Audit: Onsite



Name	GPS Coordinates
Sharifah Binti Saleh	1.871338"N 102.844163"E
Mohamad Bin Abdul Ghani	1.853663"N 102.918132"E
Nurul Najwa Binti Ahmad Nazari	1.823600"N 102.883370"E
Amat Bin Saryadi	1.872235"N 102.876286"E
Noriah Binti Jamal	1.849645"N 102.8661313"E
Ismail Bin Mohd Raus	1.893438"N 102.868346"E
Abd Aziz Bin Ahmad	1.847831"N 102.864921"E
Kamin Bin Selamat	1.877166"N 102.869851"E
Mohd Hassan Bin Mohd Abu Bakar	1.832583"N 102.897445"E
Chua Ham Beng	1.864094"N 102.901216"E
Tiu Siew Mei	1.858350"N 102.852158"E
Mursyidah Bt Mohamad	1.865228"N 102.866848"E
Pungot Binti Sumar(Umar)	1.891346"N 102.875288"E
Koh Pee Huat	1.85189"N 102.87468"E
Azizah Binti Yusof	1.86715"N 102.86102"E
Yap Boon Teck	1.84507"N 102.89416"E
Teo Kim Eng	1.907700"N 102.960040"E
Yeo Kwang Chin	1.895490"N 103.018240"E
Teh Chin Woei	1.891490"N 102.990200"E
Nga (Ng) Ke Sing @ Ng Ke Sing	1.915800"N 102.968280"E
Eyo Ling Chui @ Yeo Kim Chua	1.889080"N 103.022030"E
Teo Hock Chuan	1.906510"N 102.914720"E

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
Client Number: 92 – 099
Audit Type: Annual Surveillance 02
Mode of Audit: Onsite



Name	GPS Coordinates
Ker Ee Ngo	1.907830"N 102.977450"E
Loo Siam Hia	1.913130"N 103.019430"E
Pua Mei Fuar	1.908150"N 103.020100"E
Tukiah Binti Bardan	1.936950"N 103.017880"E
Ng Han Ping	1.901960"N 102.960350"E
Lim Geok Leong	1.908580"N 102.974270"E
Jasni Bin Taib	1.907290"N 102.974100"E
Patulharun Bin Saghil	1.903030"N 102.974140"E
Lang Ah Kuan @ Lam Ah Kuan	1.904240"N 102.961050"E
Saedon Bin Daud	1.924920"N 102.967660"E
Lau Choon Hock	1.897740"N 102.974130"E
Teow @ Teo Hing Sing	1.899140"N 102.973670"E
Lim Geek Seng	1.921310"N 103.012240"E

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.

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board

Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan

Client Number: 92 – 099

Audit Type: Annual Surveillance 02

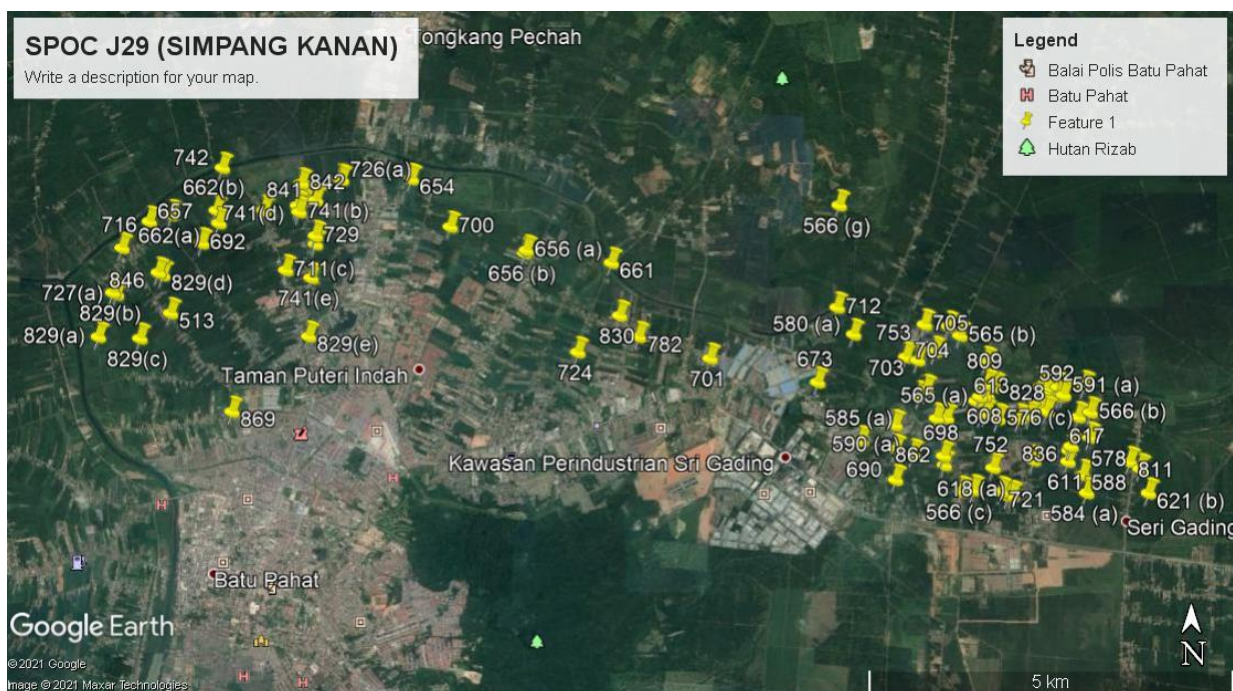
Mode of Audit: Onsite



3. ORGANISATION INFORMATION

MPOB Cawangan SPOC J29 Linau / Peserai / Simpang Kanan / Bagan is a branch of MPOB located at Pusat Perkhidmatan Pertanian Bersepadu, Sg. Dulang, Rengit, 83100 Batu Pahat, Johor with coordinate 1.685000°N 103.132800°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 Batu Pahat district.

The smallholders are located in Batu Pahat as shown in the below maps.



MSPO Certification Summary Report

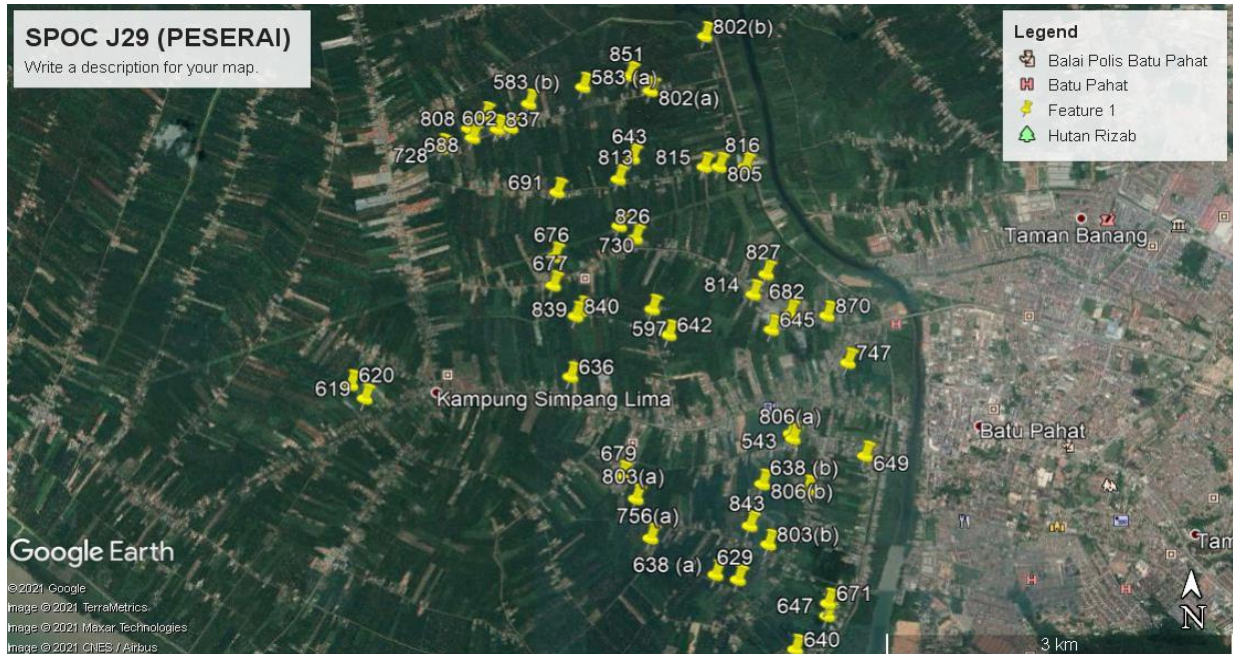
Company Name: Malaysian Palm Oil Board

Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan

Client Number: 92 – 099

Audit Type: Annual Surveillance 02

Mode of Audit: Onsite



MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
Client Number: 92 – 099
Audit Type: Annual Surveillance 02
Mode of Audit: Onsite



4. CERTIFICATION ASSESSMENT

4.1. ASA 02

The objective of the audit is to assess the activities of MPOB Cawangan SPOC J29 Linau / Peserai / Simpang Kanan / Bagan are in compliance with MS 2530-2: 2013 Part 2: General principles for independent smallholders' requirements.

4.1.1. Surveillance 02:

The surveillance audit is conducted on 05/04/2021 to 08/04/2021.

The number of smallholders in this surveillance audit are 989.

The number of smallholders 522 remain the same for this surveillance audit.

The number of smallholders joined during this surveillance audit are 467.

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 the surveillance 01 audit, there are 1 Major and 2 Minor NC raised.

For this audit, the major and minor non-compliance raised in the last 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. Action plan is submitted for Minor non-conformance with implementation review during the next audit.

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'

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
Client Number: 92 – 099
Audit Type: Annual Surveillance 02
Mode of Audit: Onsite



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 physical stakeholders consultation conducted for this surveillance audit.

TUV NORD (Malaysia) Sdn. Bhd., has published the audit notification on 08/03/2021 to announce the audit of the certified unit. As at audit date on 11/03/2021 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 J29 Linau adopted MPOB MSPO Policy, doc no: MSPO/SSCC/POLISI-01, revision 2, updated 01/06/2020.</p> <p>MSPO policy is publicly displayed at MPOB office notice board.</p> <p>Review on smallholders individual file, MSPO policy is include in MSPO application form signed by SPOC J29 Linau Group Manager and smallholders.</p> <p>Interview with smallholders informed they aware of the MSPO policy requirements.</p>			Yes												
4.1.2.1	<p>SPOC J29 Linau adopted MPOB list of social and environmental impact and action plan, document no: MSPO/SPOC/L-04/ISP, issue no: 3, revision no: 3, effective date: 01/06/2020.</p> <p>The table includes type of impact, activity, social and environmental impact and action plan.</p> <table><tr><th>Type</th><th>Activity</th><th>Impact</th><th>Action Plan</th></tr><tr><td>Social</td><td>Manuring, spraying</td><td>Theft of fertilizer and pesticide</td><td>Stored in the designated store.</td></tr><tr><td>Environment</td><td>Manuring, spraying</td><td>Polluting water source if activities conducted near the waterways</td><td>Avoid activities near the waterways.</td></tr></table>			Type	Activity	Impact	Action Plan	Social	Manuring, spraying	Theft of fertilizer and pesticide	Stored in the designated store.	Environment	Manuring, spraying	Polluting water source if activities conducted near the waterways	Avoid activities near the waterways.	Yes
Type	Activity	Impact	Action Plan													
Social	Manuring, spraying	Theft of fertilizer and pesticide	Stored in the designated store.													
Environment	Manuring, spraying	Polluting water source if activities conducted near the waterways	Avoid activities near the waterways.													
4.1.2.2	<p>SPOC J29 Linau distribute latest Warta Sawit “Bil. 75 (2) May – August 2020” to smallholders during MSPO briefing on 19/08/2020.</p> <p>Interviewed with smallholders informed they obtained new information from group manager and received the Warta Sawit through training conducted.</p>			Yes												

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
Client Number: 92 – 099
Audit Type: Annual Surveillance 02
Mode of Audit: Onsite



Principle 2: Transparency		
Indicator	Summary of Assessment	Compliance
4.2.1.1	<p>SPOC J29 Linau established Garis Panduan Pelan Daya Ekonomi dan Kewangan document number MSPO /SSCC/GP-01/PK effective date on 01/06/2020.</p> <p>FFB selling records includes;</p> <ul style="list-style-type: none">a) Dateb) Amountc) Price per mt <p>Flow chart 'Kebolehejekan perbelanjaan dan pendapatan pekebun kecil established dated 01/06/2020.</p> <p>The flow chart describes;</p> <ul style="list-style-type: none">- Menghantar BTS ke ramp- Menerima resit jualan- Simpan resit jualan/rekodkan di BRL- Pengurus Kumpulan SPOC akan menyemak rekod secara berkala. <p>Interview with smallholders informed FFB production, fertilizer and chemical application and operation expenses recorded in the BRL.</p> <p>Review the BRL of smallholders available with information of FFB production.</p> <p>During document review SPOC J29 Linau established and maintained record of FFB sales in smallholders' individual file.</p>	Yes
4.2.1.2	<p>SPOC J29 Linau established smallholders FFB records year 2020 and 2021.</p> <p>FFB records for all SPOC members includes FFB sales, delivery and prices recorded in BRL logbook.</p>	Yes

Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
4.3.1.1	<p>SPOC J29 Linau established Legal Register for Peninsula Malaysia, document no. MSPO/SSCC/L-01/SKU, dated 01/06/2020.</p> <p>Training on awareness of legal documents conducted for smallholders on 12/02/2020.</p> <p>Smallholders MPOB licenses are valid and copy of license available at smallholder's individual file.</p>	Yes
4.3.2.1	<p>SPOC J29 Linau smallholders land titles are Geran Mukim, Geran Hak Milik Sementara or Tanah Hak Milik Tetap issued by Batu Pahat Land Office.</p>	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
 Client Number: 92 – 099
 Audit Type: Annual Surveillance 02
 Mode of Audit: Onsite



Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
	MPOB HQ letter dated 27/02/2021 to land office on the list of smallholders were in process of changing the land usage from orchard to oil palm.	
4.3.3.1	SPOC J29 Linau smallholders land titles are Geran Mukim, Hak Milik Sementara and Tanah Hak Milik Tetap issued by Batu Pahat Land Office There is no customary land.	Yes
4.3.3.2	SPOC J29 Linau smallholders land titles are either lease or freehold have maps include location, lot number, area size and boundary stone markers. There are no customary land titles.	Yes

Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.1.1	SPOC J29 Linau adopted MPOB Guidelines Complaint and Grievance, document number MSPO/SPOC/SOP-01/AR, issue 03, revision 02 dated 01/06/2020. The SOP describes; 1. The flow chart in the SOP describes grievance and complaint process is to be resolved within 14 days. 2. Group manager is in charge in handling the complaint and grievances. 3. Grievance and complaint records are archived and maintained. Review on 'Taklimat MSPO" report verified the complaint and grievances procedure has been briefed to smallholders dated 19/08/2020. Interview with sampled smallholders informed they are understand the complaint and grievance procedure and process flow.	Yes
4.4.1.2	SPOC J29 Linau adopted MPOB Guidelines Complaint and Grievance, document number MSPO/SPOC/SOP-01/AR, issue 03, revision 02 dated 01/06/2020. Review the SOP stated time line to resolve disputes within 14 days. Stated in the SOP person in charge is Group Manager. The Group Manager is assigned for: 1. Accepting the grievances 2. Analysed and investigate on issue raised Any complaint outside the scope of the group manager it will refer to other parties or MPOB HQ. Interview with sampled smallholders informed they are aware on complaint and grievance process and timelines to resolve the complaints.	Yes
4.4.2.1	SPOC J29 Linau adopt MPOB Guidelines Occupational Safety & Health, document number MSPO/SPOC/GP-02/KKP, issue: 3, revision: 0 effective date: 01/06/2020.	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board

Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan

Client Number: 92 – 099

Audit Type: Annual Surveillance 02

Mode of Audit: Onsite



Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>SOP describes:</p> <ol style="list-style-type: none"> Responsibility of GM and smallholders regarding safety and health. Procedure and type of PPE used for harvesting, manuring and spraying. <p>Document review on safety and health training has been conducted on 19/08/2020.</p> <p>Interview with sampled smallholders informed they are aware importance of safety and health during working in field.</p> <p>Example:</p> <p>Wearing of PPE for chemical spraying activity: Apron, facemask, goggle, safety boot, rubber hand glove and safety helmet.</p>	
4.4.3.1	<p>SPOC J29 Linau adopted MPOB Employment Terms document number 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 sampled smallholders informed, they working by themselves or assisted by family members in carrying out field operations.</p>	Yes
4.4.3.2	<p>SPOC J29 Linau 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 J29 Linau adopted MPOB Employment Terms document number 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 sampled smallholders informed no discrimination occurs.</p>	Yes
4.4.3.3	<p>SPOC J29 Linau adopted MPOB Employment Terms document number 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 sampled smallholders informed, they are working by themselves or assisted by family members in carrying out field operations.</p>	Yes
4.4.3.4	<p>Site inspection on sampled smallholders SPOC J29 Linau farm, there is no on-site living quarters.</p>	Yes
4.4.3.5	<p>SPOC J29 Linau adopted MPOB Employment Terms document number MSPO/SPOC/SMP-01, rev-01 updated 01/10/2020.</p>	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
 Client Number: 92 – 099
 Audit Type: Annual Surveillance 02
 Mode of Audit: Onsite



Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<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>Site inspection at sampled smallholders farm, no presence of child workers. Smallholders aware and understand on legal restriction on hiring under age workers.</p>	
4.4.4.1	<p>SPOC J29 Linau established training programme year 2020 and 2021. The training programme include 'Taklimat MSPO, GAP and LKN visit.</p> <p>Review on training record year 2020 verified there is training carried out for smallholders.</p> <p>Example:</p> <p>Title: Taklimat MSPO</p> <p>Date: 19/08/2020</p> <p>Interview with sampled smallholders informed they has attended the MSPO training and 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 J29 Linau adopted MPOB List of Social, Environmental impacts and action plan, document number: MSPO/SPOC/L-05/ISP, version: 03, dated 01/06/2020.</p> <p>Environmental impact and action plan:</p> <p>Activity: Fertilizer application and integrated farming.</p> <p>Environmental impacts: Improve on soil fertility.</p> <p>Action plan: Continuous.</p> <p>Interview sampled smallholders informed they understand the environmental impacts.</p>	Yes
4.5.2.1	<p>There is no renewal energy use by SPOC J29 Linau smallholders. This is confirmed through interviewed with sampled smallholders and field visit verification.</p>	Yes
4.5.3.1	<p>SPOC J29 Linau adopted MPOB List of chemical and domestic waste, document number: MSPO/SPOC/L-03/SRD, version: 0 dated 01/06/2020.</p> <p>List of wastes generated from agriculture:</p> <ul style="list-style-type: none"> Empty chemical containers <p>List of wastes (others):</p> <ul style="list-style-type: none"> Domestic waste 	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
 Client Number: 92 – 099
 Audit Type: Annual Surveillance 02
 Mode of Audit: Onsite



Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	<p>SPOC J29 Linau established list of wastes generated by smallholders include the type of waste generated such as empty chemical containers and used fertilizer bag.</p> <p>Interview sampled smallholders informed they understand on managing of the wastes such as reused the fertilizer bag for loose fruit collection.</p> <p>Field visit verified the empty chemical containers are label with 'X' and kept at allocated area.</p>	
4.5.3.2	<p>SPOC J29 Linau adopted MPOB SOP on Pengurusan Bahan Buangan Terjadual, document number: MSPO/SPOC/SOP-03/BT, no. Issue: 3, no. revision: 3 and effective dated: 01/06/2020.</p> <p>The SOP describes as follows:</p> <ul style="list-style-type: none"> To monitor and ensure the process and scheduled waste handling in proper manner. All empty chemical containers shall be triple rinsed before reused. <p>Interview sampled smallholders informed empty chemical containers will be triple rinsed before reused for chemical spraying activity.</p> <p>Briefing on disposal of empty chemical containers conducted during MSPO Training dated 19/08/2020.</p>	Yes
4.5.4.1	<p>SPOC J29 Linau adopted MPOB SOP Buffer zone, Document number: MSPO/SPOC/GP-03/ZPS, version: 0 dated 01/06/2020.</p> <p>The procedure states:</p> <ul style="list-style-type: none"> Identification of river or stream within smallholder's area. Monitoring and ensuring no activities, which may cause pollution on buffer area. <p>Interview sampled smallholders informed they understand the need to conserve the buffer zone areas and not to carry out any chemical spraying or manuring activity near the waterways.</p>	Yes
4.5.4.2	<p>During site interview with SPOC J29 Linau sampled smallholders and field verification indicates they collecting rain water using drum or dug hole for spraying and washing purposes.</p>	Yes
4.5.5.1	<p>SPOC J29 Linau group manager established the list of wildlife updated 04/01/2021.</p> <p>Example of wildlife:</p> <ul style="list-style-type: none"> Wild boar Squirrel Snake <p>Review on training records on 19/08/2020 includes the briefing of wildlife, environmental, safety and no hunting.</p>	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
 Client Number: 92 – 099
 Audit Type: Annual Surveillance 02
 Mode of Audit: Onsite



Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	Interview sampled smallholders informed they sighted wild boar in the field and understand no hunting of wildlife.	
4.5.6.1	<p>SPOC J29 Linau adopted MPOB Guidelines Garis Panduan Amalan Pembakaran Sifar doc. No. MSPO/SSCC/GP-04/APS issue 3 rev 3 dated 01/06/2020.</p> <p>Field visit at smallholders farm and interview sampled smallholders informed they understand no open burning is allowed and no open burning practice sighted.</p>	Yes

Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
4.6.1.1	<p>SPOC J29 Linau conduct Advisory Visit (LKN) to smallholders' fields.</p> <p>Document review verify briefing records on GAP for harvesting, manuring, chemical application and PPE usage conducted to smallholders.</p> <p>Field visit at sampled smallholders' farm verified the implementation of good agricultural practice such as:</p> <ol style="list-style-type: none"> 1. Proper stacking of fronds. 2. Good maintenance of harvesting path. 3. Proper palm pruning. <p>Site interview with sampled smallholders informed they understand on good agricultural practices on their farm to meet MPOB guidelines.</p>	Yes
4.6.1.2	<p>SPOC J29 Linau established visual identification for each smallholder with information of smallholders' name, field address, GPS coordinates, lot size and year of planting.</p> <p>Field visit to sampled smallholders' farm verify that fields marking are established.</p>	Yes
4.6.2.1	<p>SPOC J29 Linau adopt MPOB Guideline Economic and Financial Plan, MSPO/SPOC/GP-01/PEK, issue 3, revision 3 dated 01/06/2020.</p> <p>Document review verify evidence of budget approval for MSPO training and LKN visit SPOC J29 Linau. The budget includes MSPO training, LKN and miscellaneous expenses.</p>	Yes
4.6.3.1	<p>SPOC J29 Linau monitors FFB pricing on monthly basis through input from selected mill and dealers for fair price.</p> <p>Site interview sampled smallholders informed the FFB price is displayed at collecting centre notice board.</p>	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
 Client Number: 92 – 099
 Audit Type: Annual Surveillance 02
 Mode of Audit: Onsite



Principle 7: Development of new planting		
Indicator	Summary of Assessment	Compliance
4.7.1.1	<p>SPOC J29 Linau smallholders planting statement with first planting in year 1983 and latest planting in year 2018.</p> <p>There is replanting in year 2020.</p> <p>There are no new plantings for existing and new members in year 2019 and 2020.</p> <p>Therefore, no assessment on high biodiversity value area.</p>	Yes
4.7.2.1	<p>SPOC J29 Linau established smallholders planting statement with first planting in year 1983 and latest planting in year 2018.</p> <p>There is replanting in year 2020.</p> <p>There are no new plantings for existing and new members in year 2019 and 2020.</p> <p>Therefore, no assessment on type of soil.</p>	Yes
4.7.3.1	<p>SPOC J29 Linau smallholders planting statement with first planting in year 1983 and latest planting in year 2018.</p> <p>There is replanting in year 2020.</p> <p>There are no new plantings for existing and new members in year 2019 and 2020.</p> <p>Therefore, no assessment on type of terrain required.</p>	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.
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.
<p>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.</p> <p>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.</p>	

4.5. Detail of Audit Findings in last Audit

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

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
 Client Number: 92 – 099
 Audit Type: Annual Surveillance 02
 Mode of Audit: Onsite



Non Conformity Number < 01 >			
Indicator # and Description	4.2.1.1 The group management shall commit itself to implement and maintain the requirements for traceability.		
Location:	SPOC J29 Linau		
Description of Finding / Objective Evidence:			
GM SPOC J29 Linau is not monitoring the implementation of traceability on smallholders Buku Rekod Ladang.			
Classification	<input checked="" type="checkbox"/> Major	<input type="checkbox"/> Minor	
Raise by:	Muhammad Khairul Anuar Bin Azizul Hasan	Date Raise:	04/03/2020
Deadline for implementation		02/05/2020	
Root Cause Analysis (by company):			
SPOC J29 management not fully monitor the smallholders FFB yield due to time constraints, shortage of staff and additional of new smallholder within a short period.			
Correction (by company):			
Smallholder FFB yield had been updated as showed in the SPOC J29 Smallholder FFB Yield Summary record.			
Corrective / Preventive Action (by company)			
Established monitoring program to monitor smallholders BRL year 2020.			
Review of Correction & Corrective / Preventive Action			
GM SPOC J29 Linau established summary of FFB sales and delivery derived from BRL old and new members. Beside GM SPOC J29 Linau established monitoring program to monitor smallholders BRL for year 2020.			
The action taken is sufficient to close the NC and further implementation will be verify during next audit.			
Closed: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		Site verification : <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Name of Auditor: Muhammad Khairul Anuar Bin Azizul Hasan		Date of Closure: 23/06/2020	
Review of Implementation			
Review on FFB sales and delivery receipt year 2020 verified the records has been maintained and updated in the smallholders 'Buku Rekod Ladang' (BRL).			
Interview with sampled smallholders informed they were kept the FFB sales and delivery receipt and recorded in the BRL.			
The implementation could be consider as appropriate.			
Name of Auditor: Khairul Anwar bin Ismail		Date of Review: 08/04/2021	

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
 Client Number: 92 – 099
 Audit Type: Annual Surveillance 02
 Mode of Audit: Onsite



Non Conformity Number < 02 >			
Indicator # and Description	4.4.4.1 Independent smallholders are encouraged to seek knowledge to increase their competency in oil palm management.		
Location:	Field		
Description of Finding / Objective Evidence:			
Smallholders interviewed informed most of them unable to explain their understanding on MSPO policy, environmental, wildlife and complaint & grievances procedure.			
Classification	<input type="checkbox"/> Major	<input checked="" type="checkbox"/> Minor	
Raise by:	Khairul Anwar Bin Ismail	Date Raise:	04/03/2020
Deadline for implementation		02/04/2020	
Root Cause Analysis (by company):			
Smallholders are unclear and are unable to provide effective feedback on understanding of MSPO policies, environment, complaints and grievances procedures.			
Correction (by company)			
Conducted the Advisory Training (LKN) and Talk for Smallholder as per programmed.			
Corrective / Preventive Action (by company)			
Training planning & advisory services for smallholders will be carried out in accordance with SPOC J29 2020 Activity Calendar.			
Review of Correction & Corrective / Preventive Action			
Corrective action plan submitted is sufficient to address the NC. Further implementation will be verify during next audit. .			
Closed: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		Site verification : <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Name of Trainee Lead Auditor Khairul Anwar Bin Ismail		Date of Closure: 23/06/2020	
Review of Implementation			
Review on LKN records year 2020 verified LKN has been carried out for smallholders as per Activity Calendar. Interviewed with sampled smallholders informed they are able to demonstrate importance of MSPO requirements and oil palm management. The implementation could be consider as appropriate.			
Name of Lead Auditor: Muhammad Khairul Anuar Bin Azizul Hasan		Date of Review: 08/04/2021	

Non Conformity Number < 03 >	
Indicator # and Description	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 the Kod Amalan Baik (GAP) Pekebun Kecil.

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
 Client Number: 92 – 099
 Audit Type: Annual Surveillance 02
 Mode of Audit: Onsite



Non Conformity Number < 03 >			
Location:	Field		
Description of Finding / Objective Evidence:			
Site inspection confirmed there is blanket chemical spraying carried out at smallholders field. This is not in accordance to Amalan Pertanian Baik (GAP).			
Classification	<input type="checkbox"/> Major	<input checked="" type="checkbox"/> Minor	
Raise by:	Arif Bin Lokman	Date Raise:	04/03/2020
Deadline for implementation		02/04/2020	
Root Cause Analysis (by company):			
Farmers are less clear about weed control as recommended by the Good Agricultural Practices (GAP).			
Correction (by company)			
Technical Advice & Technical Training on weed control provided to smallholders under SPOC J29.			
Corrective / Preventive Action (by company)			
Training planning & advisory services for smallholders will be carried out in accordance with SPOC J29 2020 Activity Calendar with emphasis on Good Agriculture Practices - Weed Control recommended by MPOB.			
Review of Correction & Corrective / Preventive Action			
The corrective action plan submitted is sufficient to address the NC.			
Actual implementation will be review and verify in next audit.			
Closed: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Site verification : <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Name of Auditor	Date of Closure:		
Arif Bin Lokman	23/06/2020		
Review of Implementation			
Review on LKN records year 2020 verified LKN has been carried out for smallholders as per Activity Calendar.			
Interviewed with sampled smallholders informed they are able to demonstrate importance of MSPO requirements and oil palm management.			
The implementation could be consider as appropriate.			
Name of Auditor:	Date of Review:		
Joseph Sim Siaw Seng	08/04/2021		

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

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board

Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan

Client Number: 92 – 099

Audit Type: Annual Surveillance 02

Mode of Audit: Onsite



Nr.	Indicator	Description	Location	Opportunity for Improvement
1.	4.5.3.2	Independent smallholders shall ensure that waste from the smallholdings is disposed of appropriately. Smallholders shall adopt local and national legislation to dispose of hazardous chemicals and their containers.	Field	SPOC J29 Linau could consider improve on smallholders understanding for empty chemical container disposal method.
2.	4.5.5.1	Independent smallholders should show a basic understanding of any species or habitats of concern, together with their conservation needs. Information on protected species and their habitat with high biodiversity value may be obtained from relevant government agencies, such as the Forestry Department, Forest Research Institute of Malaysia and the Wildlife Department. (MINOR)	Field	SPOC J29 Linau could consider improve in disseminating information list of wildlife to smallholders.

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
Client Number: 92 – 099
Audit Type: Annual Surveillance 02
Mode of Audit: Onsite



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 J29 Linau / Peserai / Simpang Kanan / Bagan consisting of 970 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:	989
Total certified acreage of smallholders:	1,690.09 Ha
Certified FFBs output January to December 2020:	28,386.19 Mt
Certified FFBs output January to February 2021:	4,729.90 Mt
Projected FFBs output March to December 2021:	26,970.00 Mt

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
Client Number: 92 – 099
Audit Type: Annual Surveillance 02
Mode of Audit: Onsite



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
X	Recommended for Continuity of Certification
	Suspended of Certification

Puchong, 28/04/2021

Muhammad Khairul Anuar bin Azizul
Hasan
TUV NORD (Malaysia) Sdn Bhd
Audit Team Leader

Puchong, 28/04/2021

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

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
Client Number: 92 – 099
Audit Type: Annual Surveillance 02
Mode of Audit: Onsite



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.

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J29 Linau / Peserai / Simpang Kanan / Bagan
Client Number: 92 – 099
Audit Type: Annual Surveillance 02
Mode of Audit: Onsite



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